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Header @ 1

General Information | Contact | Default Values | Discount | Document Information

Procurement Folder: 243221

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SO Doc ID: PTR1700000004

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Purchasing Division
2019 Washington Street East
Post Office Box 50130
Charleston, WV 25305-0130

State of West Virginia
Solicitation Response

Proc Folder : 243221

Solicitation Description : Coordination Drug & Alcohol Oversight

Proc Type : Central Master Agreement

Date issued	Solicitation Closes	Solicitation Response	Version
	2017-03-22 13:30:00	SR 0805 ESR03141700000004337	1

VENDOR

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RLS & ASSOCIATES INC

Solicitation Number: CRFQ 0805 PTR1700000004

Total Bid : \$93,712.00 Response Date: 2017-03-20 Response Time: 10:18:08

Comments:

FOR INFORMATION CONTACT THE BUYER

Melissa Pettrey
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Signature on File

FEIN #

DATE

All offers subject to all terms and conditions contained in this solicitation

Line	Comm Ln Desc	Qty	Unit Issue	Unit Price	Ln Total Or Contract Amount
1	Coordination Drug & Alcohol Oversight				\$93,712.00

Comm Code	Manufacturer	Specification	Model #
94131504			

Extended Description :	Coordination Drug & Alcohol Oversight
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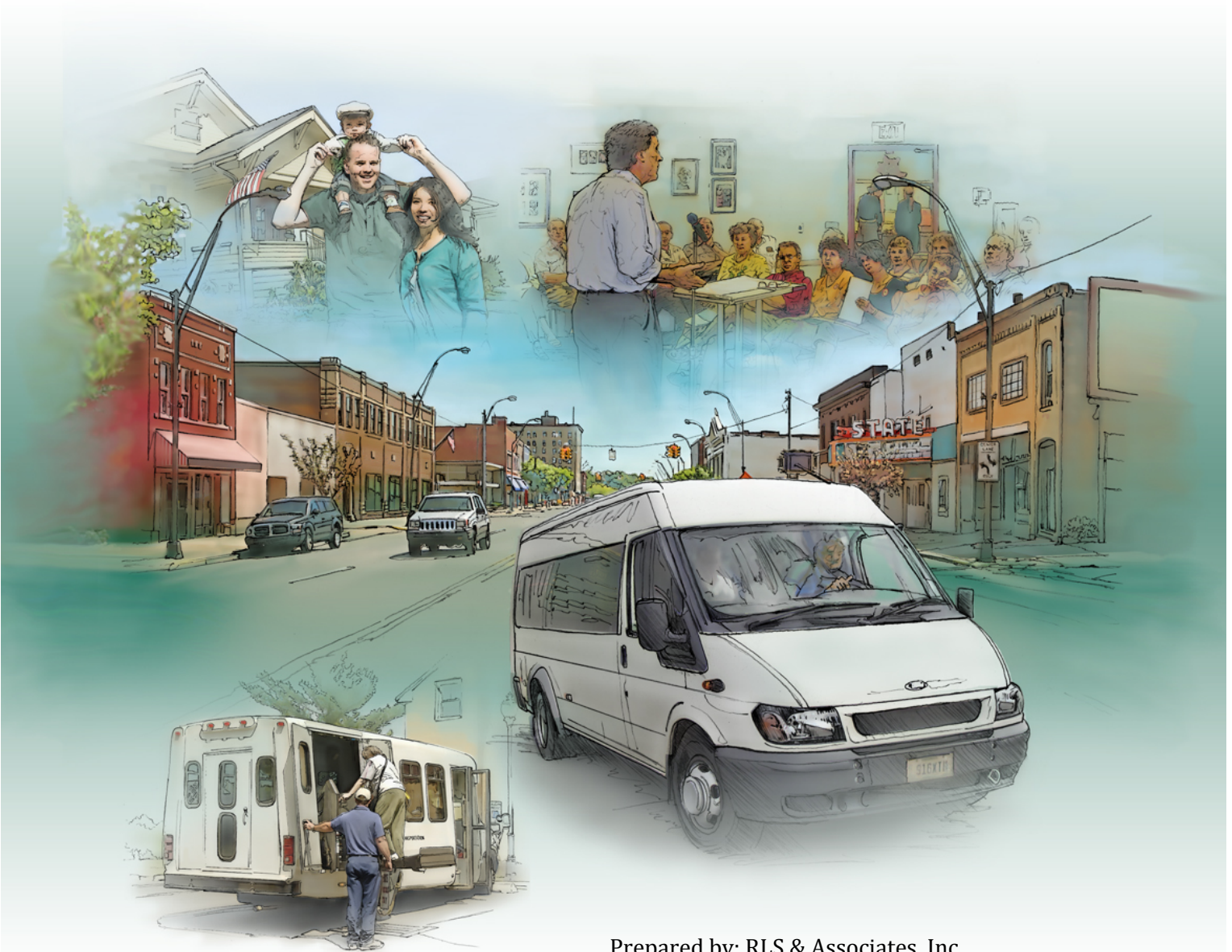
Comments: Contract amount is based on Exhibit A



**Request for Quotation: Coordination Drug &
Alcohol Oversight
CRFQ 0805 PTR1700000004**

**Prepared for the West Virginia Department of
Transportation (WVDOT), Division of Public Transit**

March 20, 2017



Prepared by: RLS & Associates, Inc.



Moving Public Transportation Into the Future

Ms. Melissa Pettrey, Senior Buyer
West Virginia DOT Division of Purchasing
2019 Washington Street East
Charleston, WV 25305

March 20, 2017

Dear Ms. Pettrey:

RLS & Associates, Inc. (RLS) is pleased to submit to the West Virginia Department of Transportation (WVDOT), Division of Public Transit (DPT) its proposal in response to Solicitation No. CRFQ 0805 PTR1700000004 – Coordination Drug & Alcohol Oversight.

RLS is a woman-owned, business enterprise, with DBE certifications in 34 states including West Virginia, established in September 1987, and incorporated in 1990 in the State of Ohio. Since its inception almost three decades ago, RLS has remained steadfast in its established mission to assist the transit community in identifying, facing, and meeting current and future challenges in an affordable, practical, and high quality manner while maintaining the highest standard of integrity and professionalism. RLS is not certified as an SWAM with the WV Purchasing Division.

RLS is one of the nation's foremost authorities on United States Department of Transportation (USDOT) and Federal Transit Administration (FTA) Drug and Alcohol Regulations, having conducted over 2,000 individual FTA drug and alcohol program and policy compliance reviews for State Departments of Transportation (DOTs) and FTA-covered transit systems across the country. Indeed, RLS has been one of the leaders in the provision of technical assistance and training in the field of USDOT/FTA Drug and Alcohol Program for over 25 years, well exceeding the minimum requirement of 3 years.

Ms. Robbie Sarles, Principal-in-Charge, and Mr. Sean Oswald, Senior Associate and Project Manager for this engagement, are not only knowledgeable and experienced in the FTA Drug and Alcohol Program in general, but very familiar and knowledgeable with West Virginia's program for its subrecipients. The remaining staff proposed for this project, and described in the enclosed proposal, are also very knowledgeable and experienced in the field of drug and alcohol and, together with Ms. Sarles and Mr. Oswald, comprise a team we believe is second to none in the required disciplines.

In addition, as a natural result of working since its inception on national transit projects, RLS has a solid and diverse network of contacts in the transit industry, including the FTA. RLS maintains a close working relationship with officials at the FTA and other industry experts that can provide additional insight and clarification on regulatory compliance and other issues that may arise during the conduct of this project, as well as benchmarks for establishing project recommendations and alternatives.

The enclosed proposal details RLS' qualifications as well as RLS' response to the mandatory requirements, established scope of work, and Exhibit A – Pricing Page.

RLS looks forward to the opportunity to continue its working relationship with the WVDOT/DPT. As President of RLS, I am the official representative and the individual authorized to negotiate this offer. You may contact me at (937) 299-5007 or rls@rlsandassoc.com.

Respectfully submitted,



Robbie L. Sarles, President

Enclosure



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1. PROJECT UNDERSTANDING

RLS & Associates, Inc. understands that the West Virginia Department of Transportation, Division of Public Transit (WVDOT/DPT) is seeking a vendor to conduct oversight activities regarding transit system compliance with USDOT Drug and Alcohol Testing Regulations, 49 CFR Parts 40 and 655. This oversight will include, but is not limited to, the review of policies and procedures at the State and local level, the conduct of on-site visits, the development and conduct of training and other tasks related to assisting the WVDOT/DPT with overseeing the compliance of the State's Drug and Testing program. Additional tasks include assistance with preparation for the FTA Drug and Alcohol program compliance audit, if scheduled, development of a Prescription and Over-the-Counter Medication Policy template, development of a computer module to meet the minimum FTA requirements for Reasonable Suspicion Training, and conducting a feasibility analysis of establishing a statewide third party administrator. Requested reports, as may be requested by the WVDOT/DPT, may include, but are not limited to, quantities purchased, agencies utilizing the contract, total contract expenditures by agency, etc.

RLS' complete detailed scope of work is included in Section 4 of this proposal.

2. PROJECT APPROACH

RLS' mission in all projects is to first, fully understand the client's needs; second, to produce a product that is uniquely designed to meet those needs; third, to not only meet the intent of the project, but to produce a product that is both realistic and implementable, and fourth and finally, perform the work on time and within the established budget. RLS has a documented record of success in meeting all of these goals. To accomplish this, RLS first draws from its corporate experience from close to three decades of assisting transportation organizations with diverse and challenging issues to develop a well-organized, clearly defined project management plan which will be critical to the conduct of the proposed work effort in the most effective, cost-efficient manner possible. As such, the RLS team that has been assembled has a collective experience in the transit industry and possesses expertise in the area of drug and alcohol program compliance for recipients of FTA §5311/5311(f) funding, as well as for FTA §5307 systems.

RLS & Associates, Inc. (RLS) will conduct a series of tasks as specified in Section 4, Mandatory Requirements of the RFQ. Efforts will be directed toward assisting WVDOT/DPT in ensuring that the State, as well as each subrecipient, is in compliance with all applicable Federal regulations related to the FTA Drug and Alcohol program. Once given the notice to proceed, RLS & Associates, Inc. (RLS) will immediately contact the WVDOT/DPT to schedule a kick-off teleconference so that work can begin as soon as possible. Concurrently, RLS will begin the development/compilation of deliverables in Section 4 for review by the WVDOT/DPT. RLS has had an established toll-free telephone line and email address for West Virginia DOT's Section 5311 subrecipients, therefore, there will be no interruption of technical assistance. Many of the current subrecipient managers are already familiar with and accustomed to reaching out to RLS for technical assistance needs and no doubt that will continue.

3. QUALIFICATIONS

In this Section, RLS details its almost three decades of work experience in the transit industry in general, and specifically, its over 25 years of experience with the FTA Drug and Alcohol regulations.

3.1 WORK EXPERIENCE

RLS has provided training, technical assistance, and oversight support to State DOTs across the country in the implementation and on-going administration of FTA Drug and Alcohol Oversight Programs. Ms. Sarles, the Project Principal for this work effort was a co-author of the *Implementation Guidelines for Drug and Alcohol Regulations in Mass Transit* and the *FTA Drug and Alcohol Best Practices Manual*. She was also the primary contributor to FTA's *Prescription and Over-the-Counter Medication Tool Kit*, developed in 2002 and updated in 2011. Ms. Sarles developed a model Fitness for Duty Policy that addresses prescription and over-the-counter medication use and led a national project to assess not only the impact prescription and over-the-counter medication use has on transit system safety, but to also quantify the number of systems that have implemented Rx/OTC policies and the extent that Rx/OTC medication use was addressed as part of post-accident investigations. Following this study, Ms. Sarles worked with the FTA TRACS Working Group that was tasked with assisting the FTA Drug and Alcohol Program Manager with reviewing the study and providing recommendations for improving the development of non-regulatory employer Rx/OTC policies, employee Rx/OTC notification, training, and employee reported information in accident/incident investigations. Ms. Sarles was for many years the editor for the RLS-produced *Drug and Alcohol Program Quarterly Updates*. She continues to write for this newsletter now published in-house by FTA.

Similar Projects

The following paragraphs represent a small sample of RLS' most recent firm qualifications that have aspects that are relevant to this project. All of the listed projects are either currently in progress or have been completed within the last three (3) years.

Indiana Department of Transportation

FTA D&A Program Oversight; Medical Qualification Program (2004 to Present)

RLS & Associates, Inc. has been contracted by the Indiana Department of Transportation's Office of Transit since 2004 to manage INDOT's FTA Drug and Alcohol Program Oversight Program, providing on-going drug and alcohol policy reviews, on-site compliance reviews, and technical assistance and training. In this capacity RLS provides multiple refresher trainings on substance abuse management and compliance with the FTA drug and alcohol regulations and reviewed drug and alcohol testing policies for each Section 5311 system. RLS has developed and continuously updated all required FTA forms for use in Indiana, including a model Prescription and Over-the-Counter Medication Policy. RLS also reviews DAMIS reports and assisted INDOT through an FTA Federal Drug and Alcohol audit by providing pre-audit and post-audit assistance. RLS was also instrumental in assisting INDOT with the development, implementation, and oversight of the Indiana Medical Qualification Program, the

first such program in the country that combines medical qualifications with fitness for duty requirements.

New York State Department of Transportation (NYSDOT)

FTA D&A Program Oversight, Technical Assistance, and Oversight

RLS assisted NYSDOT Section 5311 and 5311(f) subrecipients in achieving compliance with the Federal Transit Administration's drug and alcohol testing regulations. RLS' focus was on each subrecipient's drug and alcohol programs, policies, and oversight. On-site reviews were completed for all Section 5311/5311(f) subrecipients, and applicable service agents. Upon completion of the on-site reviews, RLS provided a detailed report of compliance efforts to NYSDOT's contract manager.

RLS then provided each subrecipient with the tools necessary to achieve compliance, along with instructions on how the system should proceed. Finally, RLS worked one-on-one with each system until regulatory compliance was achieved. In addition, RLS' project manager conducted regulatory compliance and reasonable suspicion training outlining the issues found during the on-site reviews. RLS also assisted NYSDOT through an FTA Federal Drug and Alcohol program audit by providing pre-audit and post-audit assistance.

Oregon Department of Transportation

FTA D&A Program Oversight, Technical Assistance, and Oversight, (2010 to Present)

RLS manages the Oregon DOT's FTA Drug and Alcohol Program Oversight Program, providing training, technical assistance and oversight to the DOT staff and Oregon's subrecipients. In addition, RLS developed an on-line, interactive training module originally developed for the Oregon DOT that fulfills the FTA's requirement for 60 minutes of training on substance abuse and alcohol misuse. This training module is now available nationwide through the National RTAP Program.

Ohio Department of Transportation - Drug and Alcohol Program

FTA D&A Program Oversight, Technical Assistance, and Oversight (1996 to Present)

RLS & Associates, Inc. has been contracted by the Ohio Department of Transportation's Office of Transit for over 20 years to provide drug and alcohol policy reviews, onsite compliance reviews, and technical assistance on an as needed basis. RLS also provides multiple one-day refresher training on substance abuse management and compliance with the FTA drug and alcohol regulations and reviewed drug and alcohol testing policies for each Section 5311 system. RLS staff also review DAMIS reports and assisted Ohio DOT through a FTA Federal Drug and Alcohol program audit by providing pre-audit and post-audit assistance.

West Virginia Specific Drug and Alcohol Projects

West Virginia Department of Transportation (WVDOT)

FTA D&A Program Oversight, Technical Assistance, and Oversight (2010 to Present)

RLS has previously been under contract to WVDOT to perform drug and alcohol compliance reviews for each of the transit system operators in the state. On-site reviews are currently underway. The review teams travel to each transit system location and perform a drug and alcohol program manager review, as well as a records management review. RLS focuses 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 reviews the service agents used to administer the program. RLS provides a detailed report of the compliance issues to the WVDOT/Division of Public Transit for review. In addition, RLS provides each transit system with the tools necessary to achieve compliance, along with instruction of how each system should proceed. At the request of the transit system and/or the WVDOT/DPT, RLS provides electronic copies of model policies, forms, tools, guidelines, and any other materials needed for compliance. RLS conducted numerous full-day trainings on the drug and alcohol testing regulations. RLS also assisted WVDOT through an FTA Federal Drug and Alcohol program audit by providing pre-audit and post-audit assistance.

Other State DOT D&A Projects

RLS has also provided on-going training, technical assistance, and oversight support to many other State DOTs, including but not limited to California, Georgia, Nevada, New Hampshire, and North Carolina. In addition, RLS, under its subsidiary Precision Compliance, Inc. has, or is currently providing similar assistance to Arizona, Colorado, New Mexico, North Dakota, Utah, and Wyoming. Additional information on these projects is available upon request.

3.2 MANAGEMENT AND TECHNICAL ABILITY

RLS understands that the first step in any project is the development of a well-organized, clearly defined project management plan, which is critical to the conduct of the proposed work effort in an effective, cost-efficient manner. To this end, a project team has been assembled with the best combination of experts with the extraordinary skills and expertise required for the areas specified in the Request for Quotation (RFQ). The RLS Project Principal, Robbie L. Sarles, and Project Manager, Sean K. Oswald, will work together to ensure that the project is completed on time and within or under budget and on the assignment of staff and production of deliverables. See the Staffing Section for staff bios. Resumes are included in the Appendix.

RLS prides itself on its experienced and professional staff that is proficient in a wide variety of disciplines, poising RLS to be able to quickly and effectively respond to its clients' needs. RLS has been providing drug and alcohol compliance oversight and technical assistance services since the inception of the Federal drug and alcohol regulations, perfecting the system and process and continuing to update and customize it as needed. It is this combination of staff and a tried and proven system of implementation and monitoring that places RLS ahead of many of its competitors. RLS has put together a team for this FTA project that continues RLS' history of success.

Cost Effective Consulting Services

RLS & Associates, Inc. has continuously strived to maintain a reasonable pricing and overhead rate structure throughout its corporate history. Because of RLS' in-depth knowledge and experience, the Scope of Work can be streamlined. This added efficiency will allow RLS to provide a unique and cost effective service to the WVDOT/DPT, with unparalleled results.

As with any consulting engagement undertaken outside RLS' home state of Ohio, expenses associated with travel to/from client locations is always an important issue and the firm is sensitive to this concern. RLS compensates for its out-of-state location with the following factors:

- ◆ Given the firm's specialization in this area, RLS personnel are generally more efficient than lesser qualified individuals who, although based in or near West Virginia, may need to charge more time to accomplish similar purposes. You will find RLS 'value added' service throughout this proposal, but it is highlighted in Section 5.
- ◆ RLS maintains one of the lowest corporate overhead rates among all transportation planning and management consulting firms in the United States. Even when RLS must travel from distant locations to a client jobsite, its overall costs are often lower than many in-state competitors due to RLS' low overhead expenses.

Project Team and Availability

In developing a response to this Request for Quotation, RLS has assembled a project team with extraordinary skills and expertise in the area of drug and alcohol program compliance. Proposed members have a proven record of not only conducting drug and alcohol reviews, but also communicating any identified deficiencies in a positive manner in order to facilitate compliance. Below are short descriptions for the RLS staff who will be assigned to this project. You will find full resumes for all staff included as an Appendix to this proposal.

Key Staff

Ms. Robbie L. Sarles, President, Project Principal

Ms. Robbie L. Sarles is President and owner of RLS. Ms. Sarles is a nationally-recognized trainer and expert in the Federal Transit Administration's (FTA's) drug and alcohol testing programs. She is the Principal-in-Charge for statewide drug and alcohol testing regulatory compliance assessments for twenty-five state DOTs and has personally conducted more than a thousand drug and alcohol program assessments, policy reviews, and training programs throughout the nation.

Mr. Sean K. Oswald, RLS Senior Associate, Project Manager

Mr. Sean Oswald is the Project Manager for RLS' drug and alcohol program engagements. In this capacity he provides overall project management as well as technical assistance, training, and compliance oversight related to the FTA Drug and Alcohol program for local transit systems and State Departments of Transportation. Mr. Oswald has developed extensive experience in Federal regulatory drug and alcohol compliance assessments, having conducted over 700 annual and quarterly compliance and policy reviews for over fifteen state DOTs. He also provides technical assistance to both local transit systems and the State Departments of Transportation during Federal drug and alcohol testing program audit procedures.

Ms. Linda De Herrera, Reviewer

Ms. Linda De Herrera is an experienced and nationally recognized professional in the field of FTA Drug and Alcohol program regulations, and has over 37 years of experience in the transit industry. As manager and supervisor for the Regional Transportation District in Denver, CO, Ms. De Herrera was responsible for the implementation and compliance of the RTD's drug and alcohol program for all safety-sensitive employees. For the past five and one-half years, she has assisted State DOTs and FTA subrecipients across the country with policy development, training, recordkeeping and compliance requirements for the FTA Drug and Alcohol program.

Ms. Vicky Warner, Reviewer

Ms. Vicky Warner has over 23 years of transit experience in the areas of training, technical assistance, and compliance. She is responsible for the administration and daily operations of RLS' Columbus, Indiana office and is project manager for the Indiana RTAP Program. In this capacity, Ms. Warner provides a comprehensive program of assistance through training and scholarships, technical assistance, and compliance oversight. She administers the Indiana DOT's state oversight program for drug and alcohol testing compliance for all Indiana rural and small urban systems, including the conduct of all FTA Drug and Alcohol program training and policy and compliance reviews. Ms. Warner is also overseeing the Indiana Medical Qualification Program, a state mandated fitness for duty program which includes a Prescription and Over-the-Counter Medication Use component. In addition, Ms. Warner conducts drug and alcohol program reviews for the states of California, Massachusetts, North Carolina, Oregon, and West Virginia; conducts drug and alcohol training for the Georgia DOT; and passenger assistance techniques training for the Ohio DOT.

Support Staff

The RLS Team will also include several support staff that will be available to provide assistance as needed; their resumes are included in the Appendix.

Staff Availability

As is the case in any long-term engagement of this type, there may be occasions when a previously assigned staff member is unable to undertake a previously assigned set of tasks. This situation may arise due to unforeseen illness, vacation scheduling, or excessive technical assistance demands from a previously completed task. In these circumstances, the RLS project manager will consult with the WVDOT/DPT Contract Administrator and re-assign the tasks. In all cases, the WVDOT/DPT shall have approval authority over all staff assignments.

4. MANDATORY REQUIREMENTS

In accordance with the Request for Quotations, RLS has in the paragraphs below outlined its plan to provide oversight activities for the WVDOT/DPT to ensure transit system compliance with USDOT Drug and Alcohol Testing Regulations, 49 CFR Parts 40 and 655.

Task 4.1.1 RLS will oversee compliance with 49 CFR Part 40 and Part 655 and FTA's interpretations of the regulations for West Virginia's Section 5311 subrecipients and rural transit systems. If specifically requested by the WVDOT/DPT, RLS will also oversee compliance for West Virginia's Section 5307 subrecipients and transit systems. To achieve this, RLS will conduct on-site visits to verify that all Section 5311 subrecipients are in compliance with the FTA regulations and to ensure that all subrecipients are performing the necessary oversight functions to verify that the FTA regulations are being followed.

Task 4.1.2 RLS will also review each subrecipient's oversight procedures for all collection facilities, testing laboratories, Breath Alcohol Technicians (BATS), Screen Testing Technicians (STTs), Medical Review Officers (MROs), Substance Abuse Professionals (SAPs) and other providers of drug and alcohol testing services employed by the subrecipients. RLS will conduct and perform its own review of the previously listed service agents to ensure that any deficiencies are identified and corrected by the facility and/or subrecipient.

Task 4.1.3 RLS will provide technical assistance and oversight to ensure that all drug and alcohol policies are current and in compliance with all FTA Drug and Alcohol program requirements.

Subtask 4.1.3.1 RLS will review and update as needed West Virginia's existing drug and alcohol policy template to ensure that it remains current with the regulations and any subsequent revisions. An updated, compliant template will be provided to the WVDOT/DPT for their use and distribution, as needed.

Subtask 4.1.3.2 RLS will then review each subrecipient's policy to ensure that it is compliant and will provide a list of any required revisions to the subrecipient. All of this will be documented in a monthly report to the WVDOT/DPT.

Subtask 4.1.3.3 Finally, RLS will develop and provide to the WVDOT/DPT for its use and distribution a sample Prescription and Over-the-Counter (Rx/OTC) Medication Policy template.

4.1 Deliverables: Correspondence (email, etc.) related to site visits; updated Drug and Alcohol policy template; list of required revisions, by subrecipient; monthly report; Rx/OTC Medication Policy template.

4.2 DETAILED PROJECT SCOPE AND OBJECTIVES

Task 4.2.1 – Develop Informational Letter

The RLS Project Manager will draft a letter containing all information required by the RFQ and will forward it to the WVDOT/DPT for approval. This letter will announce the contract. It will also clearly state RLS' position with the WVDOT/DPT as a contractor for this project and include pertinent information about RLS and its experience in related activities. This letter will also serve as a request for subrecipient drug and alcohol program information, including the subrecipient's policy, service agent information, and the date that the information is to be submitted. RLS will review all comments and changes made by the WVDOT/DPT, develop a final letter, and submit it to the WVDOT/DPT for final approval. RLS will then send the letter to all Section 5311 funded subrecipients. RLS will send the letter to any other identified subrecipients (Section 5307, new Section 5311, etc.) as directed by the WVDOT/DPT.

Task 4.2.2. Transit System Drug and Alcohol Policy

A. Ensure that the State's existing Drug and Alcohol policy remains current with any changes to the regulations; conduct reviews of all existing systems' policies.

RLS will conduct an initial review of the WVDOT/DPT's policy template and update it as necessary to ensure compliance with all current FTA Drug and Alcohol program regulations. Subrecipient policies will be reviewed as indicated below in C.

B. Assist any new transit system/grantee with policy development, review, and implementation.

As directed by the WVDOT/DPT, RLS will assist all new Section 5311 subrecipients with initial policy development, on-going review, and implementation of the policy. It is anticipated that up to four (4) new subrecipients will require assistance during the duration of the contract.

C. Review each system's policy to ensure it is compliant with current regulations.

Following completion of A, above, RLS will prepare a set of questions that will be used to determine the subrecipient's level of compliance with 49 CFR Part 655 and other technical needs. This questionnaire will be titled "Policy Review and Communication Questionnaire." RLS will collect all drug and alcohol policies from the subrecipients. This information will then be distributed to each investigator according to the on-site visits assigned. This will ensure that each investigator will review the policy of the system that he or she visits.

RLS is thoroughly familiar with policy review, regulatory requirements, and FTA-auditor expectations. Furthermore, RLS has the advantage of having previously reviewed the WVDOT/DPT's Section 5311 subrecipients' drug and alcohol policies since 2010. RLS' familiarity with and insights gained from previous reviews of the existing subrecipient's drug and alcohol policies will make RLS' review and analysis both efficient and unique. RLS will provide to the WVDOT/DPT an electronic draft report of each drug and alcohol policy review conducted during that month.

In order to ensure each subrecipient achieves policy compliance, each RLS investigator will maintain contact with appropriate personnel and supply tools and documentation as necessary. Throughout the contract period, each investigator will keep transit systems as well as WVDOT/DPT informed of any updates or changes that occur to the regulations which would require a policy modification.

RLS will extend this assistance to Section 5307 subrecipients, at the WVDOT/DPT's request and direction.

D. Development of a Prescription and Over-the-Counter (Rx/OTC) medication policy.

Concurrent with C, above, RLS will develop a model Rx/OTC medication policy template for use by the WVDOT/DPT and its subrecipients. This template will be based on RLS' experience with the development of similar policies as well as best practices collected from transit systems throughout the country. Once approved by the WVDOT/DPT, RLS can, at WVDOT/DPT's direction, work with subrecipients in the development, review, and implementation of an Rx/OTC medication policy locally.

Task 4.2.3. New Transit System/Grantee Drug and Alcohol Vendor Services

RLS will assist new Section 5311 transit systems/grantees or any 5307 recipients in identifying and evaluating vendor services in the transit system's local area (MRO, Lab, and SAP may be located outside of the transit system area). RLS will neither act as a TPA for the transit system, nor have any financial relationship with any vendor identified and evaluated. RLS will provide the new transit system with employee awareness training information and materials. It is anticipated that up to four (4) new systems could be assisted during the contract period.

Task 4.2.4. Transit System Operator Site Visits

A. Transit system site visits.

RLS will conduct site visits of all Section 5311 subrecipients, and others, as directed by the WVDOT/DPT, to ensure compliance with FTA Drug and Alcohol program regulations and that all established policies and procedures are being followed. It is envisioned that RLS will perform at minimum three (3) on-site visits to each subrecipient/transit system for the duration of the contract.

RLS has a proven method of administering questionnaires and conducting site visits when interviewing subrecipients and service agents, and will ensure that all site visits are conducted in an efficient, and the least intrusive manner possible to be respectful of each subrecipient's time and resources. The RLS Project Manager will prepare and submit the draft site visit questionnaires to the WVDOT/DPT for approval in accordance with the deliverable schedule. All questionnaires will be developed using a standard format intended to maintain uniform and well-constructed information. The questionnaires will be used as a basis for this assessment. RLS will submit site visit plans for approval by WVDOT/DPT. RLS will provide the proposed travel schedule to the WVDOT/DPT within a minimum of 14 days advance notice of site visits. Once WVDOT/DPT approves the travel schedule, RLS will provide a minimum of 10 days advance notice of the site visit to each subrecipient. RLS will send to each subrecipient an electronic notice that the interview will take place and a list of questions. The questionnaires that RLS will

use include Drug and Alcohol Program Management, Records Management, Urine Collection, Breath Alcohol Test and Saliva Test Technician, Medical Review Officer, Substance Abuse Professional, and Consortium/Third-Party Administrator.

The site visit plan will be developed geographically to allow grouping of transit systems into clusters providing for a uniform and more efficient use of resources. The on-site reviews will focus on ensuring that the procedures and requirements for USDOT-FTA Pre-Employment, Random, Post-Accident, Reasonable Suspicion, Return-to-Duty, Follow-Up drug/alcohol testing are in accordance with 49 CFR Parts 40 and 655; Interviewing the designated employer representative for assessment of system management and employee training; Conducting an evaluation to determine that the security of drug and alcohol test records is not compromised; reviewing records to determine if the retention requirements of the FTA and DOT have been met.

Monthly, RLS will prepare and submit to the WVDOT/DPT, a comprehensive report detailing any regulatory findings from these site visits. The report shall include the subrecipient's name, name of staff contacted, telephone number, email address, and date(s) and time(s) of contact. Any pressing issues discovered as part of the reviews that require the WVDOT/DPT's attention will be immediately reported.

B. Review of Transit System Oversight of MROs, SAPs, BATs, STTs, Collection Sites, and Laboratories.

RLS will also conduct reviews of the collection sites during the on-site visit. RLS investigators visit at least one collection facility for each subrecipient. Visits include a "mock alcohol test and mock urine collection" and interview with the corresponding technician. RLS also reviews the compliance of Medical Review Officers (MROs), Substance Abuse Professionals (SAPs), and Consortium/TPA (C/TPAs), as appropriate, and any other service agents. All questions asked by RLS investigators are in similar formats and will have been previously approved by the WVDOT/DPT. RLS will always employ the most expeditious and cost effective method possible when reviewing vendors; vendors located outside of West Virginia will be interviewed via telephone.

Monthly, RLS will prepare and submit to the WVDOT/DPT, a comprehensive report detailing any regulatory findings from these site visits. The report shall include the subrecipient's name, subcontractor/vendor reviewed, name of vendor staff contacted, telephone number, email address, and date(s) and time(s) of contact. Any pressing issues discovered as part of the reviews that require the WVDOT/DPT's attention will be immediately reported.

Subrecipients/subcontractors, service agents, and Consortium/Third Party Administrators (C/TPA) will be instructed that they have 60 days to achieve compliance. RLS will communicate verbally and in writing with each subrecipient/subcontractor, service agent, and C/TPA to review the findings and will provide direction and assistance to correct any deficiencies. In addition to a report including the questionnaire, subrecipients will be provided with tools and materials to be used as a guideline to ensure continued compliance of their program. RLS will verify appropriateness of all comments and recommendations with the WVDOT/DPT before

proceeding. There shall be updates presented to the WVDOT/DPT Contract Manager that will include the percentage of completion for each task. RLS will also immediately report any identified compliance issues which have the potential to negatively impact WVDOT/DPT's FTA funding and provide insight and advice to the WVDOT/DPT concerning needed action.

C. Consortium and/or Third Party Administrator Reviews.

If a consortium or third party administrator is used to perform drug and/or alcohol testing services or overall drug and/or alcohol program management, RLS will use the information obtained from the introductory letter required under Task 3.3.1 to determine the extent of services provided to the transit system by the consortium and/or TPA. Once the extent of service has been determined, RLS will, using appropriate review questions, determine whether the transit system has performed adequate oversight of the consortium and/or TPA. RLS' determination will be provided to each transit system and the WVDOT/DPT in a detailed report, consistent with the approved documentation on each consortium and/or TPA, identifying all strengths and deficiencies, if any, that require correction. The report will include the transit system name, the consortium or TPA reviewed, the name of the staff person(s) contacted, phone number, email, and the date(s) and time(s) of contact. The format of the report will have been developed and provided in advance to the WVDOT/DPT for approval. RLS will then work with each transit system and its vendor(s) to correct any deficiencies found and notify the WVDOT/DPT when all corrections have been completed.

D. Specialized Technical Assistance.

To ensure the flexibility required as part of the overall administration of a local drug and alcohol program, RLS will be available to provide specialized technical assistance or training to individual transit systems on an as needed basis and as may be required with short notice and outside the review plan and grouping of trips. Similarly, RLS will also be available to attend and/or present at meetings, conferences, as requested by the WVDOT/DPT that would also fall outside the site review schedule. The provision of any specialized technical assistance and/or presentations at conferences, meetings, etc. will be detailed in RLS' monthly reports to the WVDOT/DPT.

Task 4.2.5. Drug and Alcohol Program Certification Checklist.

To assist the WVDOT/DPT with its routine transit system site visits, RLS will develop and provide a detailed drug and alcohol certification checklist addressing all key areas of a compliant FTA Drug and Alcohol program, including a standard set of questions that will provide WVDOT/DPT with the tools to review and ensure that a subrecipient's drug and alcohol testing program, including vendors, are up to date and compliant with FTA regulations. RLS will submit the checklist to the WVDOT/DPT for approval of both the format and content.

Task 4.2.6. Telephone and E-Mail Access

RLS currently provides toll free 800 numbers and e-mail access to a number of clients, including the WVDOT/DPT. Because these services are already in place between RLS and WVDOT/DPT, the completion of this task will be immediate. The current 800 number and e-mail access meets all requirements of this task. In most cases, RLS is able to answer any drug and alcohol program

questions at the time of the call and/or email, but always by the next business day (i.e., within 24 hours). RLS will provide the WVDOT/DPT an updated log of questions and answers with the date and time of each response. This log will be sent electronically to the WVDOT/DPT at minimum on a semi-annual basis.

4.2.7. Drug and Alcohol Program Compliance Audit

- A. The staff at RLS are experts in the area of FTA drug and alcohol compliance audits and legal issues surrounding testing programs. Key staff have served on several FTA audit teams over the last two decades. Should a Federal audit occur, RLS will, after being notified by the WVDOT/DPT, assist with preparation for the audit, including, but not limited to, contacting each Section 5311 system selected for the audit; gathering and compiling materials from the WVDOT/DPT and the selected transit systems; performing on-site reviews as necessary to ensure that the system is prepared for the audit. RLS will submit to the WVDOT/DPT the requested documentation and responses to questions within a timeframe agreed upon between the WVDOT/DPT and RLS. Additionally, RLS will assist the WVDOT/DPT and the selected transit systems with resolving any audit issues and findings. RLS will provide the WVDOT/DPT and the transit systems with all tools and resources necessary to assist in the understanding of the regulations and creating a compliant system. RLS will also assist any non-Section 5311 rural (e.g., Section 5307 urban) systems with assistance in preparing for similar audits.
- B. RLS will assist the WVDOT/DPT, as requested, with any other miscellaneous administrative matters that may arise as a result of the FTA audit.
- C. RLS will be prepared to make additional transit system on-site visits as related to audit follow-up and resolution to findings to ensure a compliant Drug and Alcohol program.

4.2.8. Drug and Alcohol Training Sessions

RLS will conduct Drug and Alcohol training with emphasis placed on the specific areas and subjects that are unique to West Virginia's needs and the WVDOT/DPT's program requirements. RLS has the ability to quickly and comprehensively develop training for any drug and alcohol subject area and, at the request of the WVDOT/DPT, could deliver such trainings immediately. At minimum, RLS will, at the WVDOT/DPT's request and direction:

- A. Conduct up to four (4), half-day Supervisory Awareness Training sessions for those employees authorized to make reasonable suspicion determinations.
- B. Conduct four (4), full-day trainings on the Drug and Alcohol program regulations, that will include:
 - i. A review of any on-site findings;
 - ii. Updates and/or new regulation interpretations or regulation changes;
 - iii. Information for any new subrecipients/transit systems regarding FTA's Drug and Alcohol program regulations;
 - iv. An overview of the risks of using Rx/OTC medications.
- C. Conduct up to two, half-day urine collection technician service agent trainings, including qualified as specified in 49 CFR Part 40.
- D. RLS will meet with the WVDOT/DPT at its headquarters in Charleston, WV at least three times during the contract period. These meetings will be coordinated, where appropriate,

with training and/or on-site visits to minimize travel and expense. However, RLS will only do this with WVDOT/DPT's approval. (As required, RLS will also conduct at minimum three (3) on-site visits for each subrecipient/transit system during the contract period (See 4.2.4)). (Note: Costs for the on-site visits are included in 4.2.4 on Exhibit A.)

RLS will provide all training materials, including sign-in sheets, PowerPoint presentation, handouts, and training evaluation.

4.2.9. Update the Drug and Alcohol Testing Response Handbook

- A. RLS will update as necessary or requested by the WVDOT/DPT the current West Virginia Drug and Alcohol Testing Response Handbook, a quick reference tool for West Virginia transit system DAPMs and DERs. RLS will provide a list of all potential updates and/or changes to the Handbook to the WVDOT/DPT for review and, following WVDOT/DPT approval, will provide a draft Handbook for review. If the WVDOT/DPT desires, RLS can conduct a brief survey of the subrecipients for any input regarding revisions or improvements to the Handbook.
- B. Once the final Handbook is approved by the WVDOT/DPT, RLS will produce 150 copies of the handbook in an 8-1/2 X 11, three (3) ring binder format. RLS will also provide 150 copies of the Handbook on CD.

4.2.10. Technical Assistance

RLS will provide technical assistance to the WVDOT/DPT as well as its Section 5311 subrecipients/transit systems, and to its Section 5307 systems, as appropriate and requested. This technical assistance will include providing guidance and direction to both the WVDOT/DPT and transit systems for the development of programs to address Medical Qualification, Fitness for Duty, Post-Accident, and Rx/OTC medication programs as they relate to the USDOT and FTA regulations and safety initiatives. RLS will assist with the development of forms and reference materials, and can suggest other technical assistance aids/tools to enhance West Virginia's Drug and Alcohol program on an as-needed basis.

4.2.11. Development of a Computer-Based Training Module for Supervisors

RLS will at the WVDOT/DPT's request develop a computer-based, interactive training module related to the USDOT/FTA Drug and Testing regulations for Reasonable Suspicion Training for Supervisors. This training module will meet the minimum FTA supervisory reasonable suspicion training requirements of 120 minutes of training under 49 CFR Part 655, address the signs and symptoms of prohibited drug use and alcohol misuse, and identify the best practices in making a referral for reasonable suspicion testing. RLS will develop the training program by topic area that will include a set of 'test' questions that must be successfully completed before moving to the next topic. Supervisors will receive a certificate after completion of the program. RLS will develop this training in accordance with the requirements of the RFQ, however, neither this task nor the budget includes server hosting costs.

4.2.12. Feasibility Analysis

RLS will conduct a study and analysis of the feasibility of selecting one entity to provide third party administrative (TPA) services for a West Virginia Statewide Drug and Alcohol Testing program. RLS

will conduct a peer review of other states which have implemented such a system and will address the pros and cons of implementing such a system from a State perspective as well as from the local subrecipient level. RLS will produce an electronic written report formatted with both a narrative description and tabular formats for easy review and understanding of the findings.

4.2 Deliverables: Training materials; technical assistance memos and reports, as appropriate; 150 printed and electronic versions of an updated Quick Reference Handbook; Computer-Based Training Module for Supervisors; Feasibility Analysis report.

5. VALUE ADDED

Because of RLS' long history and experience working with the Federal Transit Administration as well as assisting State DOTs and transit systems across the country with the implementation of the FTA Drug and Alcohol program, RLS can offer a number of value added services that will enhance West Virginia's implementation and oversight of its Drug and Alcohol program.

STAFFING

First, is the RLS team itself proposed for this contract. Key and support staff represent over 150 years of experience in the transit industry, more than two-thirds of that working specifically with the FTA Drug and Alcohol program. Ms. Robbie L. Sarles, RLS President and Principal for this project is a nationally-recognized trainer and expert in the Federal Transit Administration's (FTA's) drug and alcohol testing programs. Ms. Sarles has worked in the field of transit drug and alcohol testing since the first version of the Federal Drug and Alcohol program regulations were issued. She was a co-author of the *Implementation Guidelines for Drug and Alcohol Regulations in Mass Transit* and the *FTA Drug and Alcohol Best Practices Manual*. She is also a recognized expert in two focus areas of this project: Prescription and Over-the-Counter Medications and their impact on transit system safety and Medical Qualification and its relation to Fitness-for-Duty and transit system safety. For the former, Ms. Sarles was the author of FTA's *Prescription and Over-the-Counter Medication Tool Kit*, developed in 2002 and updated in 2011. For the latter, Ms. Sarles was the lead researcher for the FTA's Prescription and Over-the-Counter Medication Study and was an advisor to the FTA Transit Rail Advisory Committee for Safety (TRACS) as it studied potential recommendations for addressing Rx/OTC medication use in the transit industry. Finally, Ms. Sarles assisted the Indiana DOT with the development and implementation of the Indiana Statewide Medical Qualification Program, the first program of its kind to mandate medical qualification requirements for Section 5311 safety-sensitive employees.

Mr. Sean Oswald, proposed Project Manager for this project, is the Program Manager for all RLS drug and alcohol program engagements. In this capacity he provides overall project management as well as technical assistance, training, and compliance oversight related to the FTA Drug and Alcohol program for local transit systems and State Departments of Transportation. In just under six years, Mr. Oswald has 'rose through the ranks' to become a respected expert in FTA's Drug and Alcohol regulations and program requirements. An experienced and nationally recognized trainer, Mr. Oswald developed the curriculum for the Drug and Alcohol Testing Industry Association's (DATIA) *Substance Abuse Professional Training Manual and Course* and continues to be a primary trainer on this topic. Other nationally significant projects that Mr. Oswald has led include an on-line, interactive training module originally developed for the Oregon DOT that fulfills the Federal Transit Administration's requirement for 60 minutes of training on substance abuse and alcohol misuse and now available nationwide through the National RTAP Program. He was also an investigator on the 2011-12 Prescription and Over-the-Counter and Post Accident Follow-Up Study for the FTA, and is a

CTAA Certified Safety and Security Officer and member of the RLS safety and security team that conducts transit safety and security reviews and assessments.

Ms. Linda De Herrera and Ms. Vicky Warner are seasoned Drug and Alcohol program reviewers and investigators. In addition, Ms. De Herrera is a TSI instructor Associate Instructor and Ms. Warner is a Certified Community Transit Manager (CCTM); Certified Passenger Assistance Techniques Instructor; CTAA PASS Master Trainer; and CTAA Certified Safety and Security Officer Training.

INDUSTRY INSIGHTS

Next, as a natural result of working for many years on national transit projects, RLS has a solid and diverse network of contacts in the transit industry, including the Federal Transit Administration. RLS maintains a close working relationship with FTA officials and other industry experts that can provide additional insight and clarification on regulatory compliance and other issues that may arise during the conduct of the project, as well as benchmarks for establishing project recommendations and alternatives. These contacts can be vital when important issues arise that need immediate attention or clarification.

Although the WVDOT/DPT already envisions what areas or issues of importance will be addressed by this contract, it is possible that findings may occur in unexpected areas. In these cases, the RLS team with its vast experience and network of contacts in the industry will prove to be an invaluable asset. Further, while RLS has crafted a team to specifically address the identified areas for this project, if issues arise that could benefit from the expertise of other RLS staff members, the WVDOT/DPT would have access to these individuals as well, if it so desires.

RESOURCES

Finally, RLS offers value added in the resources and tools it provides to enhance and improve the WVDOT/DPT's and its subrecipient's drug and alcohol programs, as illustrated below:

Questionnaires and Technical Materials

The effectiveness and efficiency of the scope of work listed within this RFQ is directly related to the quality of the underlying review documents used to conduct the different policy and program reviews. Two key aspects of conducting effective, efficient and value-added compliance reviews are (1) the comprehensiveness of the questionnaires used to conduct the compliance reviews and (2) the consistency with which those questionnaires can be applied across all WVDOT/DPT subrecipients that have varying levels of service, personnel, and resources. Because of RLS' vast experience in the field of drug and alcohol compliance, WVDOT/DPT will have the benefit of the most current technical documents and questionnaires available. The questionnaires have been proven consistently effective over the decades as RLS has used them in more than forty different states around the country. The questionnaires will serve as the basis for the reviews, with modifications made as necessary, to meet the WVDOT/DPT's specific requirements. All technical documents used will be based on the FTA's audit checklist and requirements.

All materials have been developed to ensure a standardized approach to the reviews and to ensure that all areas are reviewed thoroughly and with a high degree of understanding of the FTA Drug and

Alcohol Regulations and the required compliance. All questionnaires outlined below have already been developed using a standard format intended to maintain uniform and well-constructed information.

Questionnaires

The FTA originally developed all questionnaires. RLS modifies the format and content of the questionnaires to be used successfully in performing drug and alcohol reviews consistently across all subrecipients of multiple State DOTs. All sample questionnaires are set up in the same format to deliver the same purpose. Each questionnaire is broken down into columns. The first column states the compliance question to be asked. The second column will state the finding, including the answer to each question, and a yes/no to denote compliance with the Drug and Alcohol regulations. This section will be in bold print after the completion of the review to stand out from the rest of the questions. The third column cites the regulations and gives reference to the section it came from. Upon completion of each review, a fourth column will be added entitled "Action Item." The project investigator will use this space to explain the appropriate actions to be taken to correct the finding. The following questionnaires will be used:

- ◆ Policy Review and Communication Questionnaire
- ◆ Drug and Alcohol Program Management Questionnaire
- ◆ Records Management Questionnaire
- ◆ Urine Collection Questionnaire
- ◆ Breath Alcohol Test and Saliva Test Technician Questionnaire
- ◆ Medical Review Officer Questionnaire
- ◆ Substance Abuse Professional Questionnaire
- ◆ Consortium/Third Party Administrator Questionnaire

Technical Materials

The proposed project principal, Ms. Robbie L. Sarles, has personally authored or co-authored many resource materials published by FTA in regard to its Drug and Alcohol program. RLS has used many technical materials over the years to educate Section 5311 subrecipients on the FTA drug and alcohol requirements and regulations. Many of them were developed by RLS as requested by FTA. Following is a detailed description of the materials that RLS is proposing to use to perform drug and alcohol reviews/technical assistance in West Virginia:

- ◆ National Rural Transit Assistance Program's "Substance Abuse Awareness Training." This online training was originally developed by Oregon DOT in partnership with RLS & Associates, Inc., and has since been adapted by National RTAP for widespread use.
- ◆ "Drug and Alcohol Model Policy," written by RLS in 2004 and continually updated up until the present day. This is a policy to be used as a template to assist transit agencies in obtaining a compliant policy without having to "reinvent the wheel."
- ◆ "Implementation Guidelines for Drug and Alcohol Regulations in Mass Transit," written by RLS & Associates, Inc. under the supervision of the U.S. Department of Transportation in 1994, updated in 2002. Provides guidance on maintaining compliance with the FTA drug and alcohol regulations.
- ◆ "FTA Drug & Alcohol Regulation Updates," newsletter published by the FTA quarterly. Many of the articles are authored by RLS staff assigned to this project.

- ◆ Sample Model Forms. The model forms were all written by RLS and will be used as a reference when completing the reviews to assist transit agencies in meeting individual compliance requirements. These were developed with the express purpose, and have been proven effective since creation, to withstand challenge.
- ◆ “Best Practices Manual: FTA Drug and Testing Program,” written by EG&G Technical Services under supervision of the U.S. Department of Transportation, March 2002. Provides a guideline for the subrecipients of FTA funding to use in day-to-day operation of drug and alcohol programs.
- ◆ “Prescription and Over-the-Counter Medications Toolkit,” written by RLS & Associates, Inc. under contract to the U.S. Department of Transportation, Federal Transit Administration, March 2003 and updated April 2011. This document provides examples and descriptions of model prescription and over-the-counter medication policies and procedures.
- ◆ West Virginia’s own “Designated Employer Representative/Drug and Alcohol Program Manager Handbook,” developed by RLS & Associates, Inc. for use by DAPMs and DERs as an easy reference, action-oriented guide to assist them in efficiently managing their drug and alcohol testing programs in compliance with USDOT-FTA regulations.



6. Exhibit A

REQUEST FOR QUOTATION
Oversite Assistance for Drug & Alcohol Program
CRFQ PTR1700000004
EXHIBIT A

RLS & Associates, Inc.

Company Name

<i>Task Number</i>	<i>Description</i>	<i>Unit of measure</i>	<i>Unit Price</i>	<i># of Units</i>	<i>Extended Price</i>
4.2	Intro Letter	Each	\$8.00	10	\$80.00
4.2.2 A,C	Update "model" system policy and conduct follow-up reviews of system policies	Task	\$170.00	10	\$1,700.00
4.2.2 B	New system policy development	Each	\$203.00	4	\$812.00
4.2.2 D	New over the counter and prescription drug policy development	Task	\$700.00	1	\$700.00
4.2.3	New system vendor selection services/training/ implementation	Each	\$690.00	4	\$2,760.00
4.2.4	Transit system site visits, including vendor review, MRO phone review, MRO site review, SAP phone review, SAP site review, BAT phone review, BAT site review, STT phone review, STT site review, collection facility phone review, collection facility site review, laboratory oversight phone review, laboratory oversight site visit, TPA/consortium review site visit, and TPA/consortium oversight phone review	One Review	\$1,800.00	4	\$7,200.00
4.2.5	Certification Checklist	Task	\$162.00	1	\$162.00
4.2.6	800# & E-mail access	Task	\$1,000.00	1	\$1,000.00
4.2.7	Audit assistance/ Misc. Administrative assistance	Hour	\$120.00	40	\$4,800.00
4.2.7 C	Unplanned Transit system site visits	Task	\$2,200.00	1	\$2,200.00
4.2.8 A	Half-day supervisory awareness training	Each	\$1,660.00	4	\$6,640.00

REQUEST FOR QUOTATION
Oversite Assistance for Drug & Alcohol Program
CRFQ PTR1700000004
EXHIBIT A

RLS & Associates, Inc.

Company Name

<i>Task Number</i>	<i>Description</i>	<i>Unit of measure</i>	<i>Unit Price</i>	<i># of Units</i>	<i>Extended Price</i>
4.2.8 B	Full-day D & A Regulation Training	Each	\$2,147.00	4	\$8,588.00
4.2.8 C	Half-Day UCT Service Technician Training	Each	\$1,460.00	2	\$2,920.00
4.2.9	Update Testing Response Handbook	Task	\$4,850.00	1	\$4,850.00
4.2.9 B	Reproduction cost for updates to testing response handbook	Each	\$35.00	150	\$5,250.00
4.2.10	Technical assistance	Hour	\$150.00	40	\$6,000.00
4.2.11	Development of a computer based learning module for supervisor training	Task	\$35,000.00	1	\$35,000.00
4.2.12	Conduct feasibility analysis of selecting one firm to provide party administrative services	Task	\$3,050.00	1	\$3,050.00
	Total Bid Amount				\$93,712.00



7. Appendix: Resumes



Ms. Robbie Sarles is the Founder and President of RLS & Associates, Inc., (RLS) a transit consulting firm specializing in the provision of technical assistance to rural and urban transit systems, Federal agencies, and State Departments of Transportation (DOTs). Ms. Sarles has over 36 years of experience in transit operations, management, training, and consulting and is highly regarded in the transit industry for her development of sound, practical solutions that are both realistic and implementable. She is a highly regarded trainer and expert in the field of FTA's Drug and Alcohol testing regulations.

ROBBIE L. SARLES
President

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

YEARS OF TRANSPORTATION EXPERIENCE

36

AFFILIATIONS

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

PUBLICATIONS

"Prescription/Over-the-Counter Medications Toolkit," FTA 2002; updated 2011
"It's Time to Coordinate" Coordination Toolkit, West Virginia Department of Transportation, 2006
"Minnesota Coordination Study and Toolkit," Minnesota Department of Transportation, 2005
"Implementation Guidelines for Drug and Alcohol Regulations in Mass Transit," FTA 4/94; 2001
"A Handbook for Coordinating Transportation Services," Ohio Department of Transportation, October 1991; rev. October 1997
"A Guide for Implementing Coordinated Transportation Systems," Ohio Department of Transportation; October 1997

PROFESSIONAL EXPERIENCE

President, RLS & Associates, Inc. – 1987 to Present – During her career, Ms. Sarles has conducted hundreds of projects in the areas of drug and alcohol testing programs, service analysis, route and schedule design, transit plan development, regulatory compliance, mobility management, marketing, human service coordination, maintenance recordkeeping, Americans with Disabilities Act regulatory compliance, Title VI, safety and risk management, innovative services, and all aspects of operations. She has personally developed dozens of feasibility plans and customer surveys, coordination plans, and transit development and service plans to both implement new and enhance and expand existing transit service. Ms. Sarles is the Project Manager for RLS' current Ohio DOT OTAP task order contract, and the RTAP Contracts for Indiana, New Hampshire, and Wisconsin.

In addition, Ms. Sarles is a national expert for FTA's Drug and Alcohol Testing Regulations and a highly regarded and sought after trainer on a variety of topic areas, including Drug and Alcohol Regulations and Reasonable Suspicion Training, ADA, and Financial Management. She has served as the Principal in Charge for Drug and Alcohol Compliance Review and Training projects in Alaska, Nevada, Indiana, North Carolina, Oregon, West Virginia, Georgia, and New York. She conducts training across the country on a wide variety of topics including Drug and Alcohol, Title VI, Performance Measurements, Customer Service, and many, many more.

Finally, Ms. Sarles recently provided start-up technical assistance to the newly formed Section 5307 provider in Beckley, West Virginia, New River Transit Authority. In this capacity, Ms. Sarles, developed a short term operating plan, operating budgets, reviewed the vehicle inventory, operating contracts, and coordinated training and technical assistance for the New River General Manager and all operating staff. She is also providing input and oversight for the Crawford County, Ohio Transit Development Plan and Trumbull County five-year coordinated transportation plan for the Niles, Ohio area and is providing technical assistance for a Governor's initiative in Ohio to review and restructure the way human service transportation dollars are managed within the state and increase the coordination between existing human services, public transit, and all transportation providers. Ms. Sarles is facilitating the work of fourteen state agencies in this project with a goal of standardizing the fragmented delivery of human service transportation, including Medicaid-sponsored transportation, in established regions throughout the state.

A sampling of Ms. Sarles other projects includes the Principal-in-Charge and/or Project Manager for several State DOT engagements including the Oregon Compliance Reviews, Tennessee DOT Compliance Monitoring System, New Jersey Task Order Contract, North Carolina Compliance

Reviews, Illinois Federal Compliance Reviews for Grantees, and a West Virginia Safety and Training Project.

Transportation Management Services, Inc., a Division of Multisystems Manager, Support Services, June 1986 - September 1987 -

Ms. Sarles supervised and assisted TMSI managers in the performance of specific systems analysis, i.e., maintenance, scheduling, marketing, customer relations, service development, operations analysis, training, accounting, and NTD reporting. She also served as project director on other 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.

National Transit Services, Inc.

Director, East Coast Consulting Services, June 1983 - May 1986 -

Project Director of all East Coast consulting efforts. Responsible for support services to NTS consulting clients and management properties in the areas of service analysis, service planning, route and schedule design, marketing/public information programs, preparation of written documents, and oral presentations.

Central Ohio Transit Authority

Senior Service Analyst, December 1980 - May 1983 - Initiated and supervised a series of comprehensive transit corridor studies to determine transit demand, route productivity and service developments.



Mr. Oswald joined RLS & Associates, Inc. in 2011 with over five years of GIS analysis, management and training experience. Today, Mr. Oswald is Project Manager for all RLS' drug and alcohol projects for transit systems and State Departments of Transportation. He has quickly advanced to become a nationally respected and recognized expert on FTA Drug and Alcohol Program regulations. He developed a national training program on substance abuse program management and has delivered it at the local, state, and national transportation levels. In addition, he conducts comprehensive grant compliance monitoring reviews, and provides training and technical assistance to transit system and state DOT staffs across the country.

SEAN OSWALD
Senior Associate

EDUCATION

University of Cincinnati - B.S., Substance Abuse Counseling
U.S. Marine Corps - Honor Graduate: Analysis and Reporting Certificate
Course; Honors completion: Communication and Signals Collection;
GIS Training: Basic, Intermediate and Advanced Geospatial Metadata Analysis courses
CTAA Certified Safety and Security Officer

YEARS OF TRANSPORTATION EXPERIENCE

5.5

AFFILIATIONS

Board Member, Project Cure, Dayton, OH

PUBLICATIONS

West Virginia Drug & Alcohol Testing Response Handbook Update

PROFESSIONAL EXPERIENCE

Senior Associate, RLS & Associates, Inc. – June 2011 to Present – Mr. Oswald is the Project Manager for RLS' drug and alcohol (D&A) Program engagements with local transit systems and State Departments of Transportation across the country. He is an experienced trainer on all topics associated with FTA Drug and Alcohol Program requirements. And, he has extensive experience in Federal regulatory assessments, having conducted over 700 annual and quarterly compliance and policy reviews across the country. Specifically, Mr. Oswald:

- ◆ Serves as RLS Project manager for all drug and alcohol assignments, including assisting the Departments of Transportation in Alaska, Georgia, Ohio, Oregon, West Virginia, North Carolina, Nevada, California, Maine, and New York with establishing and/or maintaining a federal drug and alcohol testing program, compliance review process, and corresponding checklists for their rural, intercity, and urban transit systems. Further technical assistance is provided to both local transit systems and the State Departments of Transportation during Federal drug and alcohol testing program audit procedures.
- ◆ Is the Project Manager for the Nevada Technical Assistance Project, providing technical assistance and training on such topics as Title VI, DBE, Financial Management, Maintenance, State Management Plan Updates, FTA Program Guidance Updates, Transit Asset Management, and more.
- ◆ Assisted the New York State DOT with preparations for their FTA drug and alcohol audit.
- ◆ Serves as the program coordinator for a first of its kind, online, interactive training module that fulfills the Federal Transit Administration's requirement for 60 minutes of training on substance abuse and alcohol misuse. This training program is now hosted by National RTAP and used by states across the country.
- ◆ Developed a Federal Transit Administration/Department of Transportation drug and alcohol testing response handbook. This handbook was designed for the West Virginia Department of Transportation to give designated employer representatives and drug and alcohol program managers an easy reference, action-oriented, guide that assists them in efficiently managing their drug and alcohol testing program.
- ◆ Developed pocket-sized reference cards for Federal Transit Administration post-accident and reasonable suspicion determinations, customized drug and alcohol program forms, and a record keeping system. These resources were designed to capture all the necessary information and documentation necessary to effectively demonstrate compliance with

Federal regulations and to withstand challenge.

- ◆ Primary investigator on the 2011-12 Prescription and Over-the-Counter and Post Accident Follow-Up Study for the FTA. This study helped determine the extent that prescription and over-the-counter medication use can be documented in post-accident investigations and the potential impact this has on transit system safety. The study looked at the different prescription and over-the-counter medications documented as part of post-accident investigations and the most common side effects associated with these medications.

In addition, Mr. Oswald's diverse training experience and expertise in Federal drug and alcohol testing program administration enables him to provide high quality training sessions to a wide variety of audiences. His specific training experience includes the following:

- ◆ Developed the curriculum for the Drug and Alcohol Testing Industry Association's (DATIA) *Substance Abuse Professional* Training Manual and Course. Mr. Oswald is also the primary instructor for this curriculum, presenting it at the DATIA Training Conference in New Orleans, LA.
- ◆ Conducted multiple training sessions at the Oregon Transit Association's 2013 Oregon Public Transportation Conference. These sessions covered Oregon Department of Transportation's model Federal Transit Administration Drug & Alcohol Policy Template. It covered all aspects of the required elements of a USDOT-FTA compliant drug & alcohol policy and assisted attendees with developing their own agency policies, compliant with 49 CFR Part 40 and 49 CFR Part 655.
- ◆ Conducted several four-hour regulatory training sessions that enabled supervisors and company officials to make reasonable suspicion testing determinations, as required and in accordance with 49 CFR Part 655.14(b)(2). The session covered the facts, circumstances, physical evidence, physical signs and symptoms, patterns, and/or behaviors that are associated with prohibited drug use and/or alcohol misuse.
- ◆ Conducted a training session at the 2012 Ohio Public Transit Association Conference titled "How to Monitor Your Drug and Alcohol Testing Collection Site." This unique training session for drug and alcohol program managers gave an overview on how to provide oversight to drug and alcohol collection site service providers in order to ensure compliance with federal regulations.
- ◆ Conducted a full day training session at Oklahoma State University's 2011 Tribal Transportation Summit titled "Drug and Alcohol Training for Transit Professionals." This training session provided the attendants with an overview of the Federal Transit Administration's drug and alcohol testing program. It covered such topics as policy development and implementation, drug and alcohol testing procedures, procurement of testing services, employer/supervisor training, and record keeping among others. This training was also designed to keep transit managers up-to-date and knowledgeable about current federal drug and alcohol compliance issues and the federal audit process.
- ◆ Provided training support on multiple training sessions for Indiana Department of Transportation titled "Passenger Assistance Techniques for Transit Operations." Training included both classroom instruction and "hands-on" practice to address Americans with Disabilities Act (ADA) regulations and requirements, passenger sensitivity, lift operation, and

mobility aid securement.

Training Manager, United States Marine Corps –October 2008 to March 2011 – As the training manager for over 90 personnel, Mr. Oswald prepared, conducted and supervised required organizational training events; delivered vital training to 1,000 personnel on travel operational risk management, traffic safety, terrorism awareness, suicide awareness, and stress management; and prepared and disseminated policy and guidance for the conduct of training by planning, scheduling, and executing mission-related and directed requirements. Mr. Oswald provided an anchor within the organization's training division during a time of leadership transition that prevented any lapses in required training.

GIS Analyst, United States Marine Corps – April 2006 to March 2011 – Mr. Oswald created and implemented original processes and operating procedures in order to utilize new technology data within ArcGIS that previously had never been implemented. These operating procedures and processes became the standard for all similar companies and field-teams.

Signals Intelligence Analyst, United States Marine Corps – August 2006 to March 2011

On-Site GIS Trainer, United States Marine Corps – March 2008 to October 2008



Ms. Linda De Herrera is an experienced and nationally recognized professional in the field of FTA Drug and Alcohol Program regulations, and has over 37 years of experience in the transit industry. As manager and supervisor for the Regional Transportation District in Denver, CO, Ms. De Herrera was responsible for the implementation and compliance of the RTD's drug and alcohol program for all safety-sensitive employees. For the past five and one-half years, she has assisted State DOTs and FTA subrecipients across the country with policy development, training, recordkeeping and compliance requirements for the FTA Drug and Alcohol Program.

LINDA DE HERRERA

Senior Associate

EDUCATION

Associates in Business, Red Rocks Community College
Certificate from Parks Business School

YEARS OF TRANSPORTATION EXPERIENCE

37

AFFILIATIONS

TSI Associate Staff Instructor

PUBLICATIONS

AWARDS

2002 Outstanding Achievement Award – Regional Transportation District, Denver, CO

PROFESSIONAL EXPERIENCE

Senior Associate, RLS & Associates, Inc. – January 2017 – Present

Ms. De Herrera is a lead senior consultant for RLS' Drug and Alcohol Division, assisting DOTs across the country with training and compliance issues related to the requirements of FTA's Drug and Alcohol regulations. Additionally, she is a nationally recognized speaker and presenter on this topic.

Precision Compliance, Senior Consultant, July 2011 – December 2016

- Ms. De Herrera provided full service FTA drug and alcohol program compliance services to transit systems nationwide. These services included:

- Policy Development
- Employee & Management training
- Program implementation
- Program management and record keeping
- Technical assistance.

Transportation Safety Institute (TSI), Associate Staff Instructor – 1998 – Present

- Conducts the TSI Substance Abuse Management Training Course for transit agencies throughout the United States. The course is designed as an evaluation and self-assessment of the agency's substance abuse program and its compliance with FTA regulations.
- Documents and maintains training records for TSI-related courses.

Regional Transportation District (RTD), Manager & Supervisor, Substance Abuse Program, – 1980 – 2011

- Administered and enforced the RTD Drug and Alcohol Policy and Procedures.
- Planned and conducted orientation training for new employees on Drug and Alcohol testing procedures.
- Conducted on-site audits of contractors' Substance Abuse Programs and provided necessary feedback and technical assistance.
- Planned and conducted Reasonable Suspicion training for all Supervisors and Managers.

- Served as liaison with the Substance Abuse Professional and Employee Assistance Program.
- Provided expert advice for contractors who were obligated to meet Federal regulations.
- Maintained and updated all RTD materials associated with the Drug and Alcohol Policy and Procedures guide for testing.
- Managed support staff, both salaried and hourly.
- Hired, assigned work, evaluated performance, and enforced the RTD's discipline policies, as needed.
- Coordinated assignments and work load with staff absences and leave requests.
- Administered all budget-related activities for the Substance Abuse and Office Services departments.
- Managed Department of Transportation (DOT) files.



Ms. Warner has over 23 years of experience in the transit industry beginning her career at Developmental Services Inc. as a Transportation Coordinator and quickly moving into the Transportation Manager's role. In this capacity, Ms. Warner operated a sixteen route system in seven counties and supervised seventeen staff including a mechanic and maintenance facilities. After five years at DSI, Ms. Warner was instrumental in the creation of the drug and alcohol oversight program and the establishment of the third party administered consortium for the Indiana Rural Transportation Assistance Program. She is a Certified Community Transit Manager with CTAA and became a CTAA PASS Master Trainer in May 2015. Ms. Warner has been a volunteer firefighter with the East Columbus Independent Fire Department for seven (7) years. In 1994, she acquired the State of Indiana 2nd Class Firefighter Certification from the State Board of Fire Fighting Personnel Standards and Education Office.

VICKY WARNER

Associate/Indiana RTAP Coordinator

EDUCATION

Certified Community Transit Manager (CCTM)
Certified Passenger Assistance Techniques Instructor
CTAA PASS Master Trainer
CTAA Certified Safety and Security Officer Training

YEARS OF TRANSPORTATION EXPERIENCE

23

AFFILIATIONS

Certified Community Transit Manager

PUBLICATIONS

PROFESSIONAL EXPERIENCE

Associate/Indiana RTAP Manager, RLS & Associate, Inc. – 2004 to Present – Ms. Warner manages the RLS Columbus, Indiana office and the Indiana Rural Transportation Assistance Program. This program has been recognized by the Federal Transit Administration as an Outstanding State RTAP Program. As RTAP Coordinator, Ms. Warner provides consultation and technical assistance to Indiana's transit systems and special transportation providers, identifying needs, conducting research, coordinating training programs and serving as a liaison with local, state and federal agencies. Ms. Warner coordinates all substance abuse management oversight activities for Indiana's Section 5311 properties and assures compliance with the USDOT and FTA Drug and Alcohol program regulations (49 CFR Parts 40 and 655) and provides technical assistance as required. In addition, she administers the training fellowship program, identifying available training resources, disseminating information, and soliciting and evaluating fellowship applications and coordinates travel, registration, and reimbursement arrangements, facilitates peer-to-peer exchanges following trainings, and publishes a quarterly newsletter. She provides management oversight and training support to the Wisconsin and New Hampshire RTAP Programs, conducts Passenger Assistance Training and Train the Trainer sessions in Ohio and Nevada; drug and alcohol training in Georgia; and conducts drug and alcohol compliance reviews for California, Massachusetts, North Carolina, Oregon, and West Virginia.

Safety and Security Program Manager, Indiana University – 1997 to 2004 – Because of Ms. Warner's expertise in the safety and security areas of transportation, she coordinated all substance abuse management oversight activities for Indiana's Section 5311 properties and assured compliance with program regulations and provides technical assistance as needed and maintained the drug and alcohol files associated with reviews on behalf of INDOT. She also provided substance abuse awareness and reasonable suspicion supervisor training for transit systems, as needed. She also served as RTAP Coordinator. In this role, she:

- ♦ Planned project activities and developed work strategies. Monitored project level budgets and allocated resources to meet established objectives.
- ♦ Performed various activities to provide management assistance to operators of Indiana transit systems and social service transportation providers, primarily through on-site, phone, mail and electronic methods.

- ◆ Served as liaison between IUT, Indiana Department of Transportation (INDOT), and Indiana transit systems to exchange information and coordinate activities. Attended policy meetings and issued progress reports.
- ◆ Coordinated all substance abuse management oversight activities for Indiana's 5311 properties. Assured compliance with program regulations and provided technical assistance as required.
- ◆ Administered the training fellowship program. Identified available training resources, disseminated information, and solicited and evaluated fellowship applications. Coordinated travel, registration and reimbursement arrangements and facilitated information exchange with peers following training.
- ◆ Published a quarterly newsletter.
- ◆ Performed various activities to provide management assistance to operators of Indiana transit systems and human service transportation providers, primarily through on-site, phone, mail, and electronic methods.
- ◆ Surveyed transit providers to determine their training and technical assistance needs. Conducted informational research. Directed, coordinated, and implemented education and training programs to disseminate relevant research results and resolve transportation management problems.
- ◆ Administered training networks as established in Indiana. Coordinated trainer meetings, monitored training schedules, and ordered new supplies, as needed.
- ◆ Delivered presentations to transit association boards, project training programs, and other agencies or prospective clients.
- ◆ Served as first contact with counties and cities investigating transportation options. Provided technical assistance as required.
- ◆ Functioned as INDOT adjunct staff, as necessary.

**Transportation Manager, Developmental Services, Inc., Columbus, IN,
1993-1997**



Ms. Sara Trafton is an experienced transit and project manager with over 13 years of public transportation experience, as well as a sound background in strategic planning, executive management, Federal grant management, grant development and administration, resource development and marketing, labor union negotiations, and Federal and State regulatory compliance. Prior to joining RLS, Ms. Trafton was responsible for grant development and IT applications, public and private stakeholder relationship building, marketing and public relations, and community transportation development. She has also managed a staff of 90 and more than 79 volunteers as well as third party contract providers.

SARA TRAFTON

Associate

EDUCATION

- ◆ BS Communication, BA Sociology – 2005--University of Southern Maine
 - Concentrations in Labor Studies, Organizational Strategy and Public Relations)
- ◆ Community Transit Manager Certification – CTAA
- ◆ Mobility Management Coordination Certification – NTI
- ◆ Leadership Intensive, Omicron Class – Institute of Civic Leadership

YEARS OF TRANSPORTATION EXPERIENCE

13

AFFILIATIONS

- ◆ MTAP, Ohio Representative, 2016
- ◆ Mentor, Seeds of Independence, Jumpstart Program (2015)
- ◆ Clerk, Maine Transit Association (2014-2015)
- ◆ Chair, Portland Area Comprehensive Transportation System (PACTS) (2010-2012)
- ◆ President, Main Transit Association (2008-2011)
- ◆ Member, Brunswick Redevelopment Authority, Transportation Sub-Committee (2006-2008)
- ◆ Member, Meeting Basic Needs Council, United Way of Midcoast Maine (2005-2008)

PUBLICATIONS

PROFESSIONAL EXPERIENCE

Associate, RLS & Associates, Inc. – October 2015 to Present – Ms. Trafton is currently the lead Ohio Department of Transportation (ODOT) Office of Transit Rural Transit Representative on-site at the ODOT Headquarters in Columbus, Ohio. In this position she provides technical assistance and support to approximately 15-20 Section 5311 transit systems in grants management, invoicing and accounting, regulatory compliance, etc. In addition to her other responsibilities, Ms. Trafton assists with the Office's Drug and Alcohol Program oversight, reviewing the annual DAMIS reports. She also assisted the Office staff in their preparation for their recent FTA Drug and Alcohol Program audit. She was recently appointed as the Ohio representative to the Multi-State Technical Assistance Program (MTAP). In addition, Ms. Trafton is a member of the RLS Compliance Monitoring Team for on-site compliance reviews as a content expert in procurement and ADA and provides support to RLS Senior Associates on planning and coordination projects. Finally, Ms. Trafton is the lead consultant for several technical assistance tasks for the Nevada Department of Transportation.

Transportation Developer/Grant Coordinator, Community Concepts, Inc., 2014 – October 2015

- ◆ Community transportation system development
- ◆ Public and Private stakeholder relationship building
- ◆ Project implementation and management
- ◆ Marketing and public relations strategy

Transportation Consultant, SET Transportation Consulting, 2013 – May 2015

- ◆ Drafted FTA 5339 capital funding grant proposal for IT applications for YCCAC, Sanford, ME
- ◆ Created transportation market study and new service plan for YCCAC, Sanford, ME
- ◆ Developed Maine NET brokerage proposal & implementation plan for CCI, Lewiston, ME
- ◆ Developed and facilitated driver and staff training for YCCAC, Sanford, ME

Provider Relations Manager, Coordinated Transportation Solutions, 2012 - 2013

- ◆ Developed and maintained NET Provider Network for transportation brokerage
- ◆ Created Provider Operations Manuals
- ◆ Developed and implemented compliance program and process
- ◆ Facilitated NET Provider orientation and regional Advisory Council meetings
- ◆ Negotiated contracts with State DHHS and NET providers

Executive Director, Regional Transportation Program, 2009 – 2012

- ◆ Managed demand-response, ADA paratransit & fixed-flex route: Maine Transit Region 6
- ◆ Instituted system efficiency and performance benchmarks
- ◆ Created Transit Asset Management Plan for Maine DOT
- ◆ Developed policy & procedure guidelines
- ◆ Developed and guided FTA and DOT compliance review processes
- ◆ Administered state and federal contracts and compliance
- ◆ Supervised 90 staff people and 75+ volunteers
- ◆ Negotiated labor union (ATU) contracts
- ◆ Created and executed successful resource development and marketing plans

Assistant Director, York County Community Action, 2008 – 2009

- ◆ Negotiated and managed subcontracts with 3rd party agencies and vendors
- ◆ Provided guidance and oversight of regulatory compliance
- ◆ Executed resource development strategies and successful grant applications

Program Coordinator, People Plus, 2002 – 2005

- ◆ Created and executed marketing and public relations strategy
- ◆ Facilitated program development and team-building
- ◆ Built public-private partnerships



Ms. Sherman joined RLS & Associates, Inc. after graduating from Wright State University with a Bachelor of Arts in Urban Affairs and a Public and Social Service Transportation Certificate. Prior to joining RLS, Ms. Sherman was an Intern at Green CATS, the Section 5307 public transit system in Greene County, Ohio assisting the General Manager with various responsibilities.

LUCY SHERMAN

Associate

EDUCATION

B.A., Urban Affairs, Wright State University - 2015
Public and Social Services Transportation Certificate, Wright State University

YEARS OF TRANSPORTATION EXPERIENCE

1

AFFILIATIONS

PUBLICATIONS

PROFESSIONAL EXPERIENCE

Associate, RLS & Associates, Inc. - March 2016 to Present

Ms. Sherman joined RLS as a part-time intern and quickly advanced to full-time Associate. Her past and current projects include:

- ◆ Assisted in the update of a Federal Transit Administration (FTA)/Department of Transportation (DOT) drug and alcohol testing response handbook. This handbook was originally designed for the West Virginia Department of Transportation to give designated employer representatives and drug and alcohol program managers an easy reference, action-oriented, guide that assists them in efficiently managing their drug and alcohol testing program. It has been adopted as a best practice by several states.
- ◆ Conducted 16 drug and alcohol program compliance and policy reviews in Ohio and North Carolina.
- ◆ Attended Substance Abuse Management Training, Georgia DOT, May 2016
- ◆ Attended Reasonable Suspicion Supervisor Training, Georgia DOT, May 2016
- ◆ Reviewer, Greater Dayton RTA Performance Evaluations, working with RTA operations to evaluate drivers, ambassadors, and customer service staff performance levels.
- ◆ Data collection, Survey Distribution and Analysis for Greater Dayton RTA Title VI.

Greene CATS Public Transit

Intern/Part-Time, August 2015 - June 2016

- ◆ Reviewed RFPs.
- ◆ Verified driver manifests.
- ◆ Reviewed and evaluated existing Flex Routes' on-time performance.
- ◆ Coordinated and assisted with customer requests.

Old Navy

Sales Associate, July 2013 - April 2016

- ◆ Provided customer service.
- ◆ Performed money management.
- ◆ Coordinated store pricing and signage.
- ◆ Conducted shipment inventories.



Ms. Rosamary Amiet joined RLS & Associates after more than 31 years with the Ohio Department of Transportation (ODOT). During her ODOT tenure, Ms. Amiet was involved with virtually every aspect of the ODOT-managed Federal Transit Administration programs (Section 5303, 5307, 5310, 5311, 5311(f)) and the State's general revenue-funded transit assistance programs. As a program manager for these programs, she was also responsible for all Civil Rights and Title VI compliance requirements. Since joining RLS, Ms. Amiet has led projects for the Ohio, West Virginia, and Indiana Departments of Transportation on a variety of projects and provided technical assistance and support on dozens of other projects across the country.

ROSAMARY AMIET
Senior Associate

EDUCATION

Business Management Coursework
Franklin University

YEARS OF TRANSPORTATION EXPERIENCE

37

AFFILIATIONS

PUBLICATIONS

Minnesota Coordination Toolkit
WV "It's Time To Coordinate" Toolkit
FTA Prescription and Over-the-Counter
Medication Toolkit Update
ODOT Section 5311 Program Manual
INDOT Section 5311 Program Manual

PROFESSIONAL EXPERIENCE

Senior Associate, RLS & Associates, Inc. – December 2004 – Present

Ms. Amiet serves as the RLS Editor for quality assurance, reviewing and editing RLS products for consistency and conformity. Since joining RLS, Ms. Amiet has provided input, research, and support for several major transportation studies, including conducting public involvement and state agency interviews for the Ohio Mobility Improvement Study, and lead researcher for the West Virginia State Coordination Study; developed the West Virginia Statewide Coordinated Transportation Plans and Plan Updates; provided support for the Indiana Statewide Coordinated Transportation Plans and Plan Updates; and was lead researcher for the Minnesota Statewide Transportation Study. She developed JARC and New Freedom State Management Plans for the Indiana DOT and updated those plans to meet MAP-21 requirements. She was a lead contributor to the ODOT Transit 101 Training Curriculum, a 5-module training course for transit managers. She recently completed Section 5311 Manual updates for the Ohio and Indiana DOTs and recently developed a Section 5310 Program Manual for Indiana. She is currently the Project Manager for the update to the West Virginia Safety and Security Manual (SPIDER). Other major projects have included the development of the WV DER Handbook, the FTA Prescription and Over-the-Counter Medication Study and Toolkit; and two National Research projects, NCHRP Task 65 to study State DOT practices for vehicle replacement programs and NCHRP Task 66 to study State DOT practices in the use of FTA program administration funds. She also provides editing support and input for the development and production of Quarterly Newsletters for the Indiana and New Hampshire RTAP Programs and a semi-annual safety newsletter for the West Virginia DOT.

Interim Office Administrator, Ohio Department of Transportation for the Office of Transit – January 2003 - October 2003 While maintaining her other responsibilities, Ms. Amiet also directed the day-to-day operations of the Office of Transit, including budget developed and oversight of the Federal Transit Administration (FTA) transit planning and subsidy programs, Ohio Technical Assistance Program (OTAP/RTAP) the Ohio Public Transportation Grant Program, the Ohio Elderly and Disabled Transit Fare Assistance Program, and the Ohio Coordination Program. She was also the Statewide Transportation Coordination Task Force Chair.

Public Transportation Manager, Ohio Department of Transportation of the Office of Transit – October 1993 – May 2004 Ms. Amiet was responsible for directing Section 5310 and 5311 Programs and the Ohio Technical Assistance Program (OTAP), a program that uses State general revenue and Federal Rural Transit Assistance Program (RTAP) funds to provide technical assistance and training to ODOT grantees. She also developed the criteria and processes for the Ohio Coordination Program.

Transit Planning & Operations Coordinator, Ohio Department of Transportation, Office of Transit - 1979 - 1993



Alexander Ewers joined RLS & Associates, Inc. as an onsite grants management technician for the Ohio Department of Transportation. Mr. Ewers is a strong communicator and collaborator whose strengths are in research and analysis and quantitative data analysis.

ALEXANDER EWERS

Associate/Grants Management Technician

EDUCATION

M.P.A., Masters of Public Administration,
Wright State University (2016)
B.A. Political Science and History, The Ohio
State University (2013)

YEARS OF TRANSPORTATION EXPERIENCE

.75

AFFILIATIONS

PUBLICATIONS

PROFESSIONAL EXPERIENCE

Associate/Grants Management Technician, July 2016 to Present, RLS & Associates, Inc. – Mr. Ewers is working on site at the Ohio Department of Transportation Headquarters in Columbus, Ohio providing general grants management support to the Rural Transit Section. His duties include, but are not limited to, quarterly financial invoice reviews and analysis, grant application reviews, and technical assistance to assigned rural transit systems. Mr. Ewers has also worked on the TIGER VII project (Transit Tech Ohio) by assisting with the invoice review process and quarterly progress reporting, and the Enhanced Mobility for Seniors and Individuals with Disabilities program, reviewing grant applications and quarterly invoices.

City of Springfield Service Department

Intern, January 2016 – April 2016

Mr. Ewers worked on numerous projects including the Development Incentive Agreements audit, indigent burial records; performance analysis benchmarks, and the local government efficiency grant.

Wal-Mart

Sales Associate, September 2013 – January 2016

Mr. Ewers performed customer service and retail sales.



8. Required Forms

**REQUEST FOR QUOTATION
Drug & Alcohol Oversight**

**BID FORM #1
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 statements, or receiving stolen property;
3. Are not presently indicted for or otherwise criminally or civilly charged by a governmental 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 participant (applicant for an FTA grant, or cooperative agreement, or potential third party contractor) is unable to certify to any of the statements in this certification, the participant shall attach an explanation to this certification.)

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

**REQUEST FOR QUOTATION
Drug & Alcohol Oversight**

**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, sub grants, and contracts under grants, loans, and cooperative agreements) and that all sub recipients 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, Inc., certifies or affirms the truthfulness and accuracy of each statement of its certification and disclosure, if any. In addition, the Vendor understands and agrees that the provisions of 31 U.S.C. § 3801, et seq., apply to this certification and disclosure, if any.

3/15/2017

Date

Authorized Signature

STATE OF WEST VIRGINIA
Purchasing Division

PURCHASING AFFIDAVIT

MANDATE: Under W. Va. Code §5A-3-10a, no contract or renewal of any contract may be awarded by the state or any of its political subdivisions to any vendor or prospective vendor when the vendor or prospective vendor or a related party to the vendor or prospective vendor is a debtor and: (1) the debt owed is an amount greater than one thousand dollars in the aggregate; or (2) the debtor is in employer default.

EXCEPTION: The prohibition listed above does not apply where a vendor has contested any tax administered pursuant to chapter eleven of the W. Va. Code, workers' compensation premium, permit fee or environmental fee or assessment and the matter has not become final or where the vendor has entered into a payment plan or agreement and the vendor is not in default of any of the provisions of such plan or agreement.

DEFINITIONS:

"Debt" means any assessment, premium, penalty, fine, tax or other amount of money owed to the state or any of its political subdivisions because of a judgment, fine, permit violation, license assessment, defaulted workers' compensation premium, penalty or other assessment presently delinquent or due and required to be paid to the state or any of its political subdivisions, including any interest or additional penalties accrued thereon.

"Employer default" means having an outstanding balance or liability to the old fund or to the uninsured employers' fund or being in policy default, as defined in W. Va. Code § 23-2c-2, failure to maintain mandatory workers' compensation coverage, or failure to fully meet its obligations as a workers' compensation self-insured employer. An employer is not in employer default if it has entered into a repayment agreement with the Insurance Commissioner and remains in compliance with the obligations under the repayment agreement.

"Related party" means a party, whether an individual, corporation, partnership, association, limited liability company or any other form or business association or other entity whatsoever, related to any vendor by blood, marriage, ownership or contract through which the party has a relationship of ownership or other interest with the vendor so that the party will actually or by effect receive or control a portion of the benefit, profit or other consideration from performance of a vendor contract with the party receiving an amount that meets or exceeds five percent of the total contract amount.

AFFIRMATION: By signing this form, the vendor's authorized signer affirms and acknowledges under penalty of law for false swearing (W. Va. Code §61-5-3) that neither vendor nor any related party owe a debt as defined above and that neither vendor nor any related party are in employer default as defined above, unless the debt or employer default is permitted under the exception above.

WITNESS THE FOLLOWING SIGNATURE:

Vendor's Name: RLS & Associates, Inc.

Authorized Signature: [Signature] Date: 3/15/2017

State of OHIO

County of MONTGOMERY, to-wit:

Taken, subscribed, and sworn to before me this 15 day of MARCH, 2017.

My Commission expires August 31, 2021.



NOTARY PUBLIC [Signature]

ZACH KINCADE, Notary Public
In and for the State of Ohio
My Commission Expires Aug. 31, 2021

Purchasing Affidavit (Revised 08/01/2015)

State of West Virginia

VENDOR PREFERENCE CERTIFICATE

Certification and application is hereby made for Preference in accordance with **West Virginia Code, §5A-3-37**. (Does not apply to construction contracts). **West Virginia Code, §5A-3-37**, provides an opportunity for qualifying vendors to request (at the time of bid) preference for their residency status. Such preference is an evaluation method only and will be applied only to the cost bid in accordance with the **West Virginia Code**. This certificate for application is to be used to request such preference. The Purchasing Division will make the determination of the Vendor Preference, if applicable.

1. Application is made for 2.5% vendor preference for the reason checked:

- ☐ Bidder is an individual resident vendor and has resided continuously in West Virginia for four (4) years immediately preceding the date of this certification; or,
- ☐ Bidder is a partnership, association or corporation resident vendor and has maintained its headquarters or principal place of business continuously in West Virginia for four (4) years immediately preceding the date of this certification;
- ☐ Bidder is a resident vendor partnership, association, or corporation with at least eighty percent of ownership interest of bidder held by another entity that meets the applicable four year residency requirement; or,
- ☐ Bidder is a nonresident vendor which has an affiliate or subsidiary which employs a minimum of one hundred state residents and which has maintained its headquarters or principal place of business within West Virginia continuously for the four (4) years immediately preceding the date of this certification; or,

2. Application is made for 2.5% vendor preference for the reason checked:

- ☐ Bidder is a resident vendor who certifies that, during the life of the contract, on average at least 75% of the employees working on the project being bid are residents of West Virginia who have resided in the state continuously for the two years immediately preceding submission of this bid; or,

3. Application is made for 2.5% vendor preference for the reason checked:

- ☐ Bidder is a nonresident vendor that employs a minimum of one hundred state residents, or a nonresident vendor which has an affiliate or subsidiary which maintains its headquarters or principal place of business within West Virginia and employs a minimum of one hundred state residents, and for purposes of producing or distributing the commodities or completing the project which is the subject of the bidder's bid and continuously over the entire term of the project, on average at least seventy-five percent of the bidder's employees or the bidder's affiliate's or subsidiary's employees are residents of West Virginia who have resided in the state continuously for the two immediately preceding years and the vendor's bid; or,

4. Application is made for 5% vendor preference for the reason checked:

- ☐ Bidder meets either the requirement of both subdivisions (1) and (2) or subdivision (1) and (3) as stated above; or,

5. Application is made for 3.5% vendor preference who is a veteran for the reason checked:

- ☐ Bidder is an individual resident vendor who is a veteran of the United States armed forces, the reserves or the National Guard and has resided in West Virginia continuously for the four years immediately preceding the date on which the bid is submitted; or,

6. Application is made for 3.5% vendor preference who is a veteran for the reason checked:

- ☐ Bidder is a resident vendor who is a veteran of the United States armed forces, the reserves or the National Guard, if, for purposes of producing or distributing the commodities or completing the project which is the subject of the vendor's bid and continuously over the entire term of the project, on average at least seventy-five percent of the vendor's employees are residents of West Virginia who have resided in the state continuously for the two immediately preceding years.

7. Application is made for preference as a non-resident small, women- and minority-owned business, in accordance with **West Virginia Code §5A-3-59 and **West Virginia Code of State Rules**.**

- ☒ Bidder has been or expects to be approved prior to contract award by the Purchasing Division as a certified small, women- and minority-owned business.

Bidder understands if the Secretary of Revenue determines that a Bidder receiving preference has failed to continue to meet the requirements for such preference, the Secretary may order the Director of Purchasing to: (a) rescind the contract or purchase order; or (b) assess a penalty against such Bidder in an amount not to exceed 5% of the bid amount and that such penalty will be paid to the contracting agency or deducted from any unpaid balance on the contract or purchase order.

By submission of this certificate, Bidder agrees to disclose any reasonably requested information to the Purchasing Division and authorizes the Department of Revenue to disclose to the Director of Purchasing appropriate information verifying that Bidder has paid the required business taxes, provided that such information does not contain the amounts of taxes paid nor any other information deemed by the Tax Commissioner to be confidential.

Bidder hereby certifies that this certificate is true and accurate in all respects; and that if a contract is issued to Bidder and if anything contained within this certificate changes during the term of the contract, Bidder will notify the Purchasing Division in writing immediately.

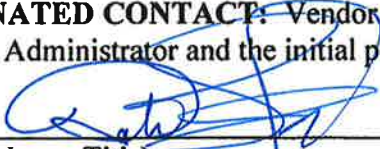
Bidder: Robbie L. Sarles

Signed: [Signature]

Date: 3/15/2017

Title: President

DESIGNATED CONTACT: Vendor appoints the individual identified in this Section as the Contract Administrator and the initial point of contact for matters relating to this Contract.



(Name, Title) PRESIDENT

Robbie L. Sarles, President

(Printed Name and Title)

3131 S. Dixie Hwy, Suite 545, Dayton, OH 45439

(Address)

937-299-5007 937-299-1055

(Phone Number) / (Fax Number)

rls@rlsandassoc.com

(email address)

CERTIFICATION AND SIGNATURE: By signing below, or submitting documentation through wvOASIS, I certify that I have reviewed this Solicitation in its entirety; that I understand the requirements, terms and conditions, and other information contained herein; that this bid, offer or proposal constitutes an offer to the State that cannot be unilaterally withdrawn; that the product or service proposed meets the mandatory requirements contained in the Solicitation for that product or service, unless otherwise stated herein; that the Vendor accepts the terms and conditions contained in the Solicitation, unless otherwise stated herein; that I am submitting this bid, offer or proposal for review and consideration; that I am authorized by the vendor to execute and submit this bid, offer, or proposal, or any documents related thereto on vendor's behalf; that I am authorized to bind the vendor in a contractual relationship; and that to the best of my knowledge, the vendor has properly registered with any State agency that may require registration.

RLS & Associates, Inc.

(Company)


(Authorized Signature) (Representative Name, Title) PRESIDENT

Robbie L. Sarles, President

(Printed Name and Title of Authorized Representative)

3/15/2017

(Date)

937-299-5007 937-299-1055

(Phone Number) (Fax Number)

REQUEST FOR QUOTATION
Drug & Alcohol Oversight

8.3.10 Failure to comply with any laws, rules, and ordinances applicable to the Contract Services provided under this Contract.

8.3.11 Failure to remedy deficient performance upon request.

8.4 The following remedies shall be available to Agency upon default.

8.4.8 Immediate cancellation of the Contract.

8.4.9 Immediate cancellation of one or more release orders issued under this Contract.

8.4.10 Any other remedies available in law or equity.

9 MISCELLANEOUS:

9.3 No Substitutions: Vendor shall supply only Contract Items submitted in response to the Solicitation unless a contract modification is approved in accordance with the provisions contained in this Contract.

9.4 Vendor Supply: Vendor must carry sufficient inventory of the Contract Items being offered to fulfill its obligations under this Contract. By signing its bid, Vendor certifies that it can supply the Contract Items contained in its bid response.

9.5 Reports: Vendor shall provide quarterly reports and annual summaries to the Agency showing the Agency's items purchased, quantities of items purchased, and total dollar value of the items purchased. Vendor shall also provide reports, upon request, showing the items purchased during the term of this Contract, the quantity purchased for each of those items, and the total value of purchases for each of those items. Failure to supply such reports may be grounds for cancellation of this Contract.

9.6 Contract Manager: During its performance of this Contract, Vendor must designate and maintain a primary contract manager responsible for overseeing Vendor's responsibilities under this Contract. The Contract manager must be available during normal business hours to address any customer service or other issues related to this Contract. Vendor should list its Contract manager and his or her contact information below.

Contract Manager: Robbie L. Sarles
Telephone Number: 937-299-5007
Fax Number: 937-299-1055
Email Address: rls@rlsandassoc.com