



U.S. Department
of Transportation
**Federal Transit
Administration**

REGION VI
Arkansas, Louisiana, New
Mexico, Oklahoma, Texas

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September 13, 2018

Ms. Carrin F. Patman
Chairman of the Board
Metropolitan Transit Authority of Harris County, Texas Inc.
1900 Main Street
P.O. Box 61429
Houston, TX 77701

Re: Federal Transit Administration FY 2018 Triennial Review – Final Report

Dear Ms. Patman:

The enclosed report documents the Federal Transit Administration's (FTA) Triennial Review of the Metropolitan Transit Authority of Harris County (METRO), in Houston Texas. This review is required by Chapter 53 of Title 49, United States Code, Section 5307. Although not an audit, the Triennial Review is the FTA's assessment of METRO's compliance with federal requirements, determined by examining a sample of award management and program implementation practices. As such, the Triennial Review is not intended as, nor does it constitute, a comprehensive and final review of compliance with award requirements.

The Triennial Review focused on METRO's compliance in twenty (20) areas. No deficiencies were found with the FTA requirements in fifteen (15) areas, and one (1) area was not applicable. Deficiencies were found in four (4) areas: Technical Capacity – Award Management, Maintenance, Title VI, and Americans with Disabilities Act (ADA) – General. METRO had no repeat deficiencies from the 2015 Triennial Review.

Subsequent to the site visit, METRO provided corrective action responses to address and close deficiencies noted in the Technical Capacity – Award Management and Title VI sections of the report that follows.

Please submit your corrective actions to Ms. Phyllis DeGarmo and Ms. Cheryle Tyson no later than the due date(s) identified in the report. In addition, please submit the corrective actions in the Title VI and ADA areas to the Region 6 Civil Rights Officer, Mr. Chris McNeith by email at Christopher.Macneith@dot.gov.

Thank you for your cooperation and assistance during this Triennial Review. If you need any technical assistance or have any questions, please do not hesitate to contact Cheryle Tyson, at 817-978-0568 or by email at Cheryle.Tyson@dot.gov.

Sincerely,

A handwritten signature in black ink, appearing to read "Rob Patrick", written over a white rectangular box.

Robert C. Patrick
Regional Administrator

CC: Thomas C. Lambert, CEO, METRO

FINAL REPORT

**FISCAL YEAR 2018
TRIENNIAL REVIEW**

of

**Metropolitan Transit Authority of Harris County
(METRO)
Houston, TX
Recipient ID: 1547**

Performed for:

**U.S. DEPARTMENT OF TRANSPORTATION
FEDERAL TRANSIT ADMINISTRATION
REGION 6**

Prepared By:

Calyptus Consulting Group, Inc.

Scoping Meeting Date: February 20, 2018

Site Visit Date: July 9-11, 2018

Final Report Date: September 13, 2018

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I. Executive Summary

This report documents the Federal Transit Administration’s (FTA) Triennial Review of the Metropolitan Transit Authority of Harris County (METRO) of Houston, Texas. The review was performed by Calyptus Consulting Group, Inc. During the site visit, administrative and statutory requirements were discussed and documents were reviewed. METRO’s transit facilities were toured to provide an overview of activities related to FTA-funded projects.

The Triennial Review focused on METRO’s compliance in twenty (20) areas. Deficiencies were found in the areas listed below.

Review Area	Deficiencies	
	Code	Description
Technical Capacity – Award Management	TC-AM4-1	Annual Status Reports missing or lacking required information
Maintenance	M1-2	No written facility/equipment maintenance plan
Title VI	TVI2-1	Language Assistance Plan deficiencies
	TVI3-1	Title VI public notification not disseminated
	TVI8-5	Policy-making officials’ review of Title VI monitoring not evident
Americans with Disabilities Act (ADA) – General	ADA1-1	Insufficient ADA complaint process
	ADA1-2	Insufficient ADA complaint record retention
	ADA7-10	Insufficient monitoring of operations for ADA service provisions.
	ADA10-3	Lacking between car barriers

II. Review Process and Background

1. Background

The United States Code, Chapter 53 of Title 49 (49 U.S.C. 5307(f) (2)) requires that “At least once every three years, the Secretary shall review and evaluate completely the performance of a grantee in carrying out its program, specifically referring to compliance with statutory and administrative requirements.”

The Triennial Review includes a review of the recipient’s compliance in twenty (20) areas. The basic requirements for each of these areas are summarized in Section IV.

This report presents the findings from the Triennial Review of METRO. The review concentrated on procedures and practices employed during the past three years; however, coverage was extended to earlier periods as needed to assess the policies in place and the management of grants. The specific documents reviewed and referenced in this report are available at FTA’s regional office or the recipient’s office.

2. Process

The Triennial Review process includes a pre-review assessment, a review scoping meeting with the FTA regional office, and an on-site visit to the recipient’s location. A Recipient Information Request (RIR) package was sent to METRO advising it of the review and site visit, and containing a list of items and questions that the recipient was required to submit to the reviewer. The review scoping meeting was conducted with the Region 6 Office on February 20, 2018. Additional files retained by the regional office were sent to the reviewer electronically. A Site Visit Agenda package was sent to METRO advising it of the site visit date and indicating information that would be needed and issues that would be discussed. The site visit to METRO occurred on July 9-11, 2018.

The onsite portion of the review began with an entrance conference, at which the purpose of the Triennial Review and the review process were discussed. The remaining time was spent discussing administrative and statutory requirements and reviewing documents. The reviewer visited METRO’s Kashmere Bus Operations Facility at 5700 Eastex Freeway and Rail Operations Center at 1601 West Bellfort to provide an overview of activities related to FTA-funded projects.

The reviewer examined a sample of maintenance records for FTA-funded vehicles and equipment. Upon completion of the review, FTA and the reviewer provided a summary of preliminary findings to METRO at an exit conference. Section VI of this report lists the individuals participating in the review.

3. Metrics

The metrics used to evaluate whether a recipient is meeting the requirements for each of the areas reviewed are:

- Not Deficient: An area is considered not deficient if, during the review, no findings were noted with the grantee's implementation of the requirements.
- Deficient: An area is considered deficient if any of the requirements within the area reviewed were not met.
- Not Applicable: An area can be deemed not applicable if, after an initial assessment, the grantee does not conduct activities for which the requirements of the respective area would be applicable.

III. Recipient Description

1. Organization and Services

METRO provides transit service in the communities of the Cities of Houston, Bellaire, Bunker Hill Village, El Lago, Hedwig Village, Hilshire Village, Humble, Hunters Creek Village, Katy, Missouri City, Piney Point Village, Southside Place, Spring Valley Village, Taylor Lake Village, West University Place, and certain portions of unincorporated Harris County. The population of its service area is approximately 3,527,625. METRO is an independent regional transit authority pursuant to the provisions of Article 1118x of the Texas Revised Civil Statutes. Its enabling legislation has been recodified as Chapter 451.1.1 Texas Transportation Code. METRO began service in 1979. Its Board of Directors has nine members, appointed by the mayor of Houston, the mayors of METRO's 14 other member cities, and by the Harris County Commissioners Court.

METRO provides bus, light rail, paratransit, and van pool services. METRO operates bus services from six operations/maintenance locations, of which five are directly operated by METRO. The sixth, Northwest Bus Operations Facility, is contracted out to First Transit, Inc. There are 21 transit centers throughout the region.

METRO directly operates its light rail line, and completely contracts out its paratransit service. This service is provided by two operators. First Transit and Greater Houston Transportation Company (DBA Yellow Cab) provide scheduled service for the ADA complementary paratransit service. First Transit (METROLift) utilizes a fleet of 163 federally funded vehicles and GHTC utilizes 239 minivans operated by owner/operators to provide dedicated complementary ADA paratransit services. In addition, Greater Houston Transportation Company and one other taxi cab company, Fiesta Cab Company, operate on-demand paratransit service. This on-demand service (back up Taxi Cab) is a supplemental service for the complementary ADA paratransit service. A separate, non-ADA required service that provides same day, on demand service through a voucher system was implemented by METRO in 1986. This voucher service, known as METROLift Subsidy Program (MSP), provides another transportation option for our customers.

In May 2015, METRO introduced its Southeast and East End Rail lines, with a new fleet of 39 CAF cars. In August 2015, METRO introduced a new, 'reimagined' operating pattern for its local fixed routes, providing more frequent service on many lines, better interface with rail facilities, and a more efficient operating grid. Evaluations are conducted and adjustments made with regular service changes.

At the time of the review, METRO operated a network of 114 weekday, 79 Saturday, and 79 Sunday fixed routes. Service is provided weekdays from 3:41 a.m. to 3:02 a.m. (next day). Weekend service is operated on Saturday from 3:48 a.m. to 2:02 a.m. and Sunday from 3:48 a.m. to 2:02 a.m. The ADA complementary paratransit service operates from 3:30 a.m. to 2:10 a.m. Monday through Thursday, 3:35 a.m. to 2:50 a.m. on Friday through Saturday and 3:35 a.m. to 2:10 a.m. on Sunday. The METROLift Subsidy Program (MSP) service is available before and after the hours listed above for those who require late night and early morning service.

METRO operates a light rail system of approximately 22.7 miles in length, with 42 stations. Of the total 75 car fleet, 57 are federally funded. Service is provided 3:35 a.m. through 1:24 a.m. Monday through Thursday; 3:35 a.m. to 3:40 a.m. on Friday; 4:29 a.m. to 3:40 a.m. on Saturday and 4:29 a.m. to 3:40 a.m. on Sunday. There are two rail maintenance centers in Houston – the Rail Operations Center on West Bellfort, and the inspection center on Texas Avenue.

The basic adult fare for bus service is \$1.25. A reduced fare of \$0.60 is offered at all times for senior citizens, persons with disabilities, Medicare card holders, and students. The fare for the complementary paratransit service is \$1.25 and \$2.50 for the extended non-ADA service area. No passes are accepted for the extended service area. METRO offers all approved METROLift customers the Freedom Q-card, which allows all eligible riders to utilize the local bus service, rail, and park and ride system free of charge. The MSP service is jointly funded by METRO and the passenger. The passenger pays the first \$1 and METRO pays up to the next \$8.00 of the meter fare. The passenger pays any fare amount over \$9.00.

2. Award and Project Activity

Below is a list of METRO’s open awards at the time of the review.

Grant Number	Grant Amount	Year Executed	Description
TX-03-0259	\$4,374,491	2004	3P&R:149 Cong Rec H 707 Vol 149#26
TX-03-0268	\$458,496,601	2014	North Corridor LRT FFGA
TX-03-0269	\$458,496,599	2014	Southeast Corridor LRT FFGA
TX-04-0025	\$26,384,101	2012	5309 Bus and Bus Facilities
TX-04-0103	\$11,142,488	2012	5309 Bus and Bus Facilities
TX-05-0138	\$67,871,901	2012	FY2007-09 Section 5309 FGM
TX-16-x025	\$2,059,682	2015	Houston 5310 Program
TX-34-0002	\$15,174,744	2015	2013,2014 BBF-NWTC
TX-37-x059	\$12,950,220	2012	Houston JARC Program
TX-37-x103	\$5,723,779	2014	Houston JARC Program
TX-54-0003	\$18,421,595	2015	State of Good Repair Rail Improvements
TX-57-x006	\$4,566,767	2011	Houston New Freedom Program
TX-57-x038	\$3,909,080	2014	Houston New Freedom Program
TX-95-x006	\$30,414,032	2014	CMAQ Funds
TX-2016-041	\$13,627,190	2016	Section 5339
TX-2016-046	\$5,311,144	2016	Section 5310
TX-2017-005	\$134,195,506	2017	Section 5307
TX-2017-046	\$6,824,000	2017	CMAQ Funds

Projects Completed

In the past few years, METRO has completed the following noteworthy project:

- El Dorado Park & Ride is a new facility in the Gulf Freeway corridor with 1,225 parking spaces and serves patrons from the southeast region commuting to downtown.

Ongoing Projects

METRO is currently in the process of implementing the following noteworthy projects:

- Magnolia Transit Center: The Magnolia Transit Center Modification project is a redesign of the existing transit center, within its current footprint, to allow for six bus bays within the center boarding area and expand the canopy and roof structure to provide cover to METRO patrons.
- West Bellfort P&R Expansion: This project intends to address the immediate need for parking expansion of the West Bellfort Park and Ride lot due to overcapacity and safety issues.
- FFGA Projects – North Corridor: The North Light Rail Transit Line (Red Line) is currently operational. METRO is working on Phase 2 of the FFGA projects that includes vehicle procurement, maintenance of way facility, and storage capacity expansion.
- FFGA Projects – Southeast Corridor: The Southeast Light Rail Transit Line (Purple Line) is currently operational. METRO is working on Phase 2 of the FFGA projects that includes vehicle procurement, maintenance of way facility, and storage capacity expansion.
- Cypress L-Ramp: This project includes right-of-way acquisition and construction of direct connector L-Ramp between the Cypress Park & Ride Lot and the US 290 Express Lane.
- Northwest Transit Center (NWTC) Modification and Expansion: This project includes the modification and expansion of the NWTC transit center to include expansion of the existing parking at the transit center from 195 to 496 spaces; redesign and expansion of the bus platform, including increasing the bus bays from 12 to 20, and pedestrian and bike amenities including enhanced crosswalks and bike parking.
- North Post Oak Road: This project connects the Uptown BRT project from NWTC to TxDOT's West Loop Bus Lanes.

Future Projects

METRO plans to pursue the following noteworthy project in the next three to five years:

- METRO has embarked on a long-range planning process called METRONext. This process will guide METRO's transit vision and investments for the Houston region through year 2040. This process is anticipated to be complete by summer of 2018, following which METRO will be able to identify priority projects.

IV. Results of the Review

1. Legal

Basic Requirement: The recipient must promptly notify the Federal Transit Administration (FTA) of legal matters and additionally notify the U.S. Department of Transportation (US DOT) Office of Inspector General (OIG) of any instances relating to false claims under the False Claims Act or fraud. Recipients must comply with restrictions on lobbying requirements.

Finding: During this Triennial Review of METRO, no deficiencies were found with the FTA requirements for Legal.

2. Financial Management and Capacity

Basic Requirement: The recipient must have financial policies and procedures; an organizational structure that defines, assigns and delegates authority; and financial management systems in place to match, manage, and charge only allowable cost to the award. The recipient must conduct required single audits and provide financial oversight of subrecipients.

Finding: During this Triennial Review of METRO, no deficiencies were found with the FTA requirements for Financial Management and Capacity.

3. Technical Capacity – Award Management

Basic Requirement: The recipient must report progress of projects in awards to the FTA timely.

During this Triennial Review of METRO, one (1) deficiency was found with the FTA requirements for Technical Capacity – Award Management.

Finding TC-AM4-1: Designated recipients of Sections 5310 funds, in large urbanized areas must submit program of projects status reports for each open award quarterly. METRO did not submit Annual Program of Projects Status Reports as required by FTA Circular 9070.1G, Chapter. VI, Section 23 (DEFICIENCY CODE TC-AM4-1: Annual Status Reports missing or lacking required information).

Corrective Action(s) and Schedule: By November 12, 2018, METRO must submit in TrAMS the Quarter 3 2018 Program of Projects Status Reports and submit to the FTA regional office procedures for submitting the reports with the required information at the required interval.

After the site visit, the recipient submitted documentation of updated procedures and the required Quarter 3 report. This finding is closed.

4. Technical Capacity – Program Management and Subrecipient Oversight

Basic Requirement: The recipient must follow the public involvement process for transportation plans; develop and submit a State Management Plan to the FTA for approval; report in the Federal Funding Accountability and Transparency Act Subaward Reporting System (FSRS) on subawards; and ensure subrecipients comply with the terms of the award.

Finding: During this Triennial Review of METRO, no deficiencies were found with the FTA requirements for Technical Capacity – Program Management and Subrecipient Oversight.

5. Technical Capacity – Project Management

Basic Requirement: The recipient must be able to implement FTA-funded projects in accordance with the award application, FTA Master Agreement, and all applicable laws and regulations, using sound management practices; and prepare force account plans.

Finding: During this Triennial Review of METRO, no deficiencies were found with the FTA requirements for Technical Capacity – Project Management.

6. Satisfactory Continuing Control

Basic Requirement: The recipient must ensure that FTA-funded property will remain available to be used for its originally authorized purpose throughout its useful life until disposition.

Finding: During this Triennial Review of METRO, no deficiencies were found with the FTA requirements for Satisfactory Continuing Control.

7. Maintenance

Basic Requirement: Recipients must keep federally funded vehicles, equipment, and facilities in good operating condition. Recipients must keep Americans with Disabilities Act (ADA) accessibility features on all vehicles, equipment, and facilities in good operating order.

During this Triennial Review of METRO, one (1) deficiency was found with the FTA requirements for Maintenance.

Finding M1-2: FTA Circular 5010.1E, Chapter IV, Section 4 (n) (4) requires recipients to have a written facility/equipment maintenance plan that describes a system of periodic inspections and preventive maintenance to be performed at certain defined intervals. METRO's facility maintenance plan does not include all mission critical items, such as FTA funded bus shelters (DEFICIENCY CODE M1-2: No written facility/equipment maintenance plan).

Corrective Action(s) and Schedule: By November 12, 2018, METRO must submit to the FTA regional office a written maintenance plan for FTA-funded facilities and equipment, including all mission critical items and evidence of implementation.

8. Procurement

Basic Requirement: The non-Federal entity must use its own documented procurement procedures which reflect applicable State, local, and tribal laws and regulations, and conform to applicable Federal law and the standards identified in 2 CFR part 200.

Finding: During this Triennial Review of METRO, no deficiencies were found with the FTA requirements for Procurement.

9. Disadvantaged Business Enterprise

Basic Requirement: Recipients must comply with 49 CFR Part 26 to ensure nondiscrimination in the award and administration of US DOT-assisted contracts. Recipients also must create a level playing field on which Disadvantaged Business Enterprises (DBEs) can compete fairly for US DOT-assisted contracts.

Finding: During this Triennial Review of METRO, no deficiencies were found with the U.S. Department of Transportation (US DOT) requirements for DBE.

10. Title VI

Basic Requirement: The recipient must ensure that no person shall, on the grounds of race, color, or national origin, be excluded from participating in, or be denied the benefits of, or be subject to discrimination under any program or activity receiving Federal financial assistance without regard to whether specific projects or services are federally funded. The recipient must ensure that all transit services and related benefits are distributed in an equitable manner.

During this Triennial Review of METRO, three (3) deficiencies were found with the FTA requirements for Title VI.

Finding TVI2-1: The Four Factor analysis included in METRO's September 2015 Title VI program did not specify all the Limited English Proficiency (LEP) language groups that exceeded the Safe Harbor Provision threshold of 5 percent or 1,000 persons, whichever is less, as described by FTA Circular 4702.1B Chapter III Section 9 (c). The Language Assistance Plan (LAP) did not justify which languages the vital documents would be translated into, based on the Four Factor analysis. Not all the vital documents, defined by FTA Circular 4702.1B Chapter III Section 9 (b) were translated (DEFICIENCY CODE TVI2-1: Language assistance plan deficiencies).

Corrective Action(s) and Schedule: By October 15, 2018, METRO must revise its four-factor analysis and submit to the FTA RCRO evidence that vital documents have been translated and made available to the public.

Finding TVI3-1: The Title VI notice published on the METRO website and in the RideStore is not the Title VI notice included in METRO's 2015 Title VI plan, contrary to FTA Circular 4702.1B, Chapter III, Section 4 and 5 (DEFICIENCY CODE TVI3-1: Title VI public notification not disseminated).

Corrective Action(s) and Schedule: By October 15, 2018, METRO must prepare and submit to the FTA RCRO documentation of having notified the public of its rights under Title VI as described in its Title VI Program.

Finding TVI8-5: FTA Circular 4702.1B, Chapter IV, Section 6 requires transit providers operating 50 or more fixed route vehicles in peak service and located in a UZA of 200,000 or more to monitor the performance of their transit system relative to their system-wide service standards and service policies, not less than every three years. METRO completed service monitoring but did not provide documentation that the Board had been briefed on and approved the results of the monitoring program, as required by FTA Circular 4702.1B, Chapter IV, Section 6 (DEFICIENCY CODE TVI8-5: Policy-making officials' review of Title VI monitoring not evident).

Corrective Action(s) and Schedule: By October 15, 2018, METRO must prepare and submit to the FTA RCRO evidence that it has briefed and received approval from its policy-making officials on Title VI service monitoring conducted, along with a plan to ensure that this briefing and approval occurs for future service monitoring efforts.

After the site visit, METRO provided documentation that the Board of Directors reviewed and approved the Title VI Service Standards analysis. This finding is closed.

11. Americans With Disabilities Act – General

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

During this Triennial Review of METRO, four (4) deficiencies were found with the FTA requirements for Americans With Disabilities Act (ADA) – General.

Finding ADA1-1: METRO does not provide sufficient information to the public on how to file an ADA complaint, including the name and contact details of the employee designated as responsible for coordinating the ADA complaint process, required by 49 CFR 37.17 (DEFICIENCY CODE ADA1-1: Insufficient ADA complaint process).

Corrective Action(s) and Schedule: By December 12, 2018, METRO must submit to the RCRO information for the public on filing an ADA complaint and documentation that the information has been made available to the public.

Finding ADA1-2: 49 CFR 27.121(b) requires recipients to retain all information about a complaint for one year, and a summary for five years. A sample of complaints were reviewed on site. Complaints are not classified as ADA complaints within the current database system. There is no field for noting when the respondent is contacted or when the resolution is communicated to the complainant. METRO's current process for logging complaints does not retain required information to fully document ADA complaints and their resolution (DEFICIENCY CODE ADA1-2: Insufficient ADA complaint record retention).

Corrective Action(s) and Schedule: By December 12, 2018, METRO must submit to the RCRO a procedure for retaining copies of ADA complaints for at least one year and summaries of ADA complaints for at least five years. METRO must provide documentation of implementation including evidence of tracking ADA complaints.

Finding ADA7-10: METRO does not monitor fixed route operators to ensure services are being performed in compliance with ADA requirements, as required by 49 CFR 37.167 and 2 CFR 200.303. METRO provided a draft ride along checklist, but a formal program covering all ADA service provisions had not been fully implemented at the time of the review (DEFICIENCY CODE ADA7-10: Insufficient monitoring of operations for ADA service provisions).

Corrective Action(s) and Schedule: By December 12, 2018, METRO must submit to the RCRO procedures for ensuring that its operations comply with ADA service provisions. METRO must provide evidence of monitoring.

Finding ADA10-3: METRO does not have between-car barriers, as required by 49 CFR 38.85 (DEFICIENCY CODE ADA 10-3: Lacking between car barriers).

Corrective Action(s) and Schedule: By December 12, 2018, METRO must submit to the RCRO a plan for retrofitting cars to implement between-car barrier requirements or another justified solution.

12. Americans With Disabilities Act – Complementary Paratransit

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

Finding: During this Triennial Review of METRO, no deficiencies were found with the US DOT requirements for ADA – Complementary Paratransit.

13. Equal Employment Opportunity

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

Finding: During this Triennial Review of METRO, no deficiencies were found with the FTA requirements for EEO.

14. School Bus

Basic Requirement: Recipients are prohibited from providing school bus service in competition with private school bus operators unless the service qualifies and is approved by the FTA Administrator under an allowable exemption. Federally funded equipment or facilities cannot be used to provide exclusive school bus service.

Finding: During this Triennial Review of METRO, no deficiencies were found with the FTA requirements for School Bus.

15. Charter Bus

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

Finding: During this Triennial Review of METRO, no deficiencies were found with the FTA requirements for Charter Bus.

16. Drug-Free Workplace Act

Basic Requirement: Recipients are required to maintain a drug-free workplace for all award-related employees; report any convictions occurring in the workplace timely; and have an ongoing drug-free awareness program.

Finding: During this Triennial Review of METRO, no deficiencies were found with the FTA requirements for Drug-Free Workplace Act.

17. Drug and Alcohol Program

Basic Requirement: Recipients receiving Section 5307, 5309, 5311, or 5339 funds that have safety-sensitive employees must have a drug and alcohol testing program in place for such employees.

Finding: During this Triennial Review of METRO, no deficiencies were found with the FTA requirements for Drug and Alcohol Program.

18. Section 5307 Program Requirements

Basic Requirements: For fixed-route service supported with Section 5307 assistance, fares charged seniors, persons with disabilities or an individual presenting a Medicare card during off peak hours will not be more than one half the peak hour fares.

Recipients are expected to have a written, locally developed process for soliciting and considering public comment before raising a fare or carrying out a major transportation service reduction.

Recipients shall develop, publish, afford an opportunity for a public hearing on, and submit for approval, a program of projects (POP).

Recipients must annually certify that they are spending at least one percent of such funds for transit security projects or that such expenditures for security systems are not necessary.

Recipients must ensure that least one percent of such funds are expended on associated transit enhancement projects.

Finding: During this Triennial Review of METRO, no deficiencies were found with the FTA requirements for Section 5307 Program Requirements.

19. Section 5310 Program Requirements

Basic Requirement: Recipients must expend funds on eligible projects that meet the specific needs of seniors and individuals with disabilities. Projects selected for funding under the Section 5310 program must be included in a locally developed, coordinated public transit-human services transportation plan. Recipients must approve all leases of Section 5310-funded vehicles and ensure that leases include required terms and conditions. Either the recipient or subrecipient must hold title to the leased vehicles.

Finding: During this Triennial Review of METRO, no deficiencies were found with the FTA requirements for Section 5310 Program Requirements.

20. Section 5311 Program Requirements

Basic Requirement: Recipients must expend funds on eligible projects to support rural public transportation services and intercity bus transportation.

This review area only applies to recipients that receive Section 5311 funds; therefore, the requirements of this review area are not applicable to the review of METRO.

V. Summary of Findings

Review Area	Deficiencies		Corrective Action	Response Due Date	Date Closed
	Code	Description			
1. Legal	ND				
2. Financial Management and Capacity	ND				
3. Technical Capacity – Award Management	TC-AM4-1	Annual Status Reports missing or lacking required information	METRO must submit in TrAMS the Quarter 3 Program of Projects Status Reports and submit to the FTA regional office procedures for submitting the reports with the required information at the required interval.	11/12/18	8/29/18
4. Technical Capacity – Program Management and Subrecipient Oversight	ND				
5. Technical Capacity – Project Management	ND				
6. Satisfactory Continuing Control	ND				
7. Maintenance	M1-2	No written facility/equipment maintenance plan	METRO must submit to the FTA regional office a written maintenance plan for FTA-funded facilities and equipment, including all mission critical items and evidence of implementation.	11/12/18	
8. Procurement	ND				
9. Disadvantaged Business Enterprise (DBE)	ND				
10. Title VI	TVI2-1	Language Assistance Plan deficiencies	METRO must revise its four-factor analysis and submit to the FTA RCRO evidence that vital documents have been translated and made available to the public.	10/15/18	
	TVI3-1	Title VI public notification not disseminated	METRO must prepare and submit to the FTA RCRO documentation of having notified the public of its rights under Title VI as described in its Title VI Program.	10/15/18	
	TVI8-5	Policy-making officials' review of Title VI monitoring not evident	METRO must prepare and submit to the FTA RCRO evidence that it has briefed and received approval from its policy-making officials on Title VI service monitoring conducted, along with a plan to ensure that this briefing and approval occurs for future service monitoring efforts.	10/15/18	9/5/18
11. Americans With Disabilities Act (ADA) - General	ADA1-1	Insufficient ADA complaint process	METRO must submit to the RCRO information for the public on filing an ADA complaint and documentation that the information has been made available to the public.	12/12/18	
	ADA1-2	Insufficient ADA complaint record retention	METRO must submit to the RCRO a procedure for retaining copies of ADA complaints for at least one year and summaries of ADA complaints for at least five	12/12/18	

			years. METRO must provide documentation of implementation including evidence of tracking ADA complaints.		
	ADA7-10	Insufficient monitoring of operations for ADA service provisions.	METRO must submit to the RCRO procedures for ensuring that its operations comply with ADA service provisions. METRO must provide evidence of monitoring.	12/12/18	
	ADA10-3	Lacking between car barriers	METRO must submit to the RCRO a plan for retrofitting cars to implement between-car barrier requirements or another justified solution.	12/12/18	
12. Americans With Disabilities Act (ADA) – Complementary Paratransit	ND				
13. Equal Employment Opportunity (EEO)	ND				
14. School Bus	ND				
15. Charter Bus	ND				
16. Drug-Free Workplace Act	ND				
17. Drug and Alcohol Policy	ND				
18. Section 5307 Program Requirements	ND				
19. Section 5310 Program Requirements	ND				
20. Section 5311 Program Requirements	NA				

VI. Attendees

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VII. Appendices

No appendices included in this report.

