



U.S. Department  
of Transportation

**Federal Transit  
Administration**

# CIRCULAR

**FTA C 4710.1**

**November 4, 2015**

**Subject: AMERICANS WITH DISABILITIES ACT (ADA): GUIDANCE**

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1. **PURPOSE.** This circular provides guidance to recipients and subrecipients of Federal Transit Administration (FTA) financial assistance necessary to carry out provisions of the Americans with Disabilities Act (ADA) of 1990, Section 504 of the Rehabilitation Act of 1973, as amended, and the U.S. Department of Transportation's implementing regulations at 49 CFR Parts 27, 37, 38, and 39.
2. **CANCELLATION.** This is a new circular. It does not cancel any existing directive.
3. **SCOPE.** This circular applies to all assistance authorized by the Federal Transit Laws (49 U.S.C. Chapter 53) and all programs administered by FTA.
4. **AUTHORITIES.**
  - a. Americans with Disabilities Act of 1990
  - b. Section 504 of the Rehabilitation Act of 1973, as amended
  - c. 49 CFR Parts 27, 37, 38, and 39
  - d. Federal Transit Laws, 49 U.S.C. 5301 et seq.
5. **WAIVER.** FTA reserves the right to waive any requirements of this circular to the extent permitted by law.
6. **FEDERAL REGISTER NOTICE.** In conjunction with publication of this circular, FTA published a notice in the *Federal Register* on October 5, 2015, addressing comments received during development of the circular.
7. **AMENDMENTS TO THE CIRCULAR.** FTA reserves the right to update this circular to reflect changes in other revised or new guidance and regulations that undergo notice and comment, without further notice and comment on this circular. FTA will post updates on our website at [www.fta.dot.gov](http://www.fta.dot.gov). The website allows the public to register for notification when FTA issues *Federal Register* notices or new guidance. Please visit the website and click on "sign up for e-mail updates" for more information.
8. **49 CFR § 37.15 REVIEW.** The General Counsel of the Department of Transportation has reviewed this document and approved it as consistent with the language and intent of 49 CFR Parts 27, 37, 38, and/or 39, as applicable.
9. **ACCESSIBLE FORMATS.** This document is available in accessible formats upon request. To obtain paper copies of this circular as well as information regarding these accessible formats, call FTA's Administrative Services Help Desk, at 202-366-4865. Individuals with hearing impairments may contact the Federal Relay Service at 1-800-877-8339 for assistance with the call.

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- Facilities Checklist for New Construction and Alterations

### Chapter 4

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### Chapter 6

- On-Board Fixed Route Stop Announcement Data Collection Form
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### Chapter 7

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### Chapter 9

- Assessing Abilities to Use Fixed Route Transit Services
- Sample Unconditional ADA Paratransit Eligibility Letter
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### Chapter 10

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### Chapter 12

- Sample Comment Form

### Abbreviations and Acronyms

# Chapter 1 – Introduction and Applicability

## 1.1 Introduction

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The Federal Transit Administration (FTA) is one of 12 operating administrations within the U.S. Department of Transportation (DOT). Headed by an Administrator who is appointed by the President of the United States, FTA functions through a Washington, DC, headquarters office, 10 regional offices, and five metropolitan offices that assist transit agencies in all 50 states, the District of Columbia, Puerto Rico, the U.S. Virgin Islands, Guam, Northern Mariana Islands, and American Samoa.

FTA is charged with ensuring public transit providers comply with the DOT regulations implementing the transportation-related provisions of the Americans with Disabilities Act (ADA) of 1990 and Section 504 of the Rehabilitation Act of 1973, as amended. The regulations in 49 CFR Parts 27, 37, 38, and 39 set specific requirements transit providers must follow to ensure their services, vehicles, and facilities are accessible to and usable by individuals with disabilities.

The ADA applies to almost all providers of transportation service, whether private or public, and whether or not an entity receives Federal financial assistance. The purpose of this ADA Circular is to provide guidance to FTA grantees, that is, entities that receive funding through the agency, concerning the requirements of the DOT ADA regulations. FTA's goal is to help public transit providers meet their obligations under the ADA by outlining and explaining the vast body of requirements in an easy-to-use, consolidated format.

Because the DOT ADA regulations discussed in this Circular also apply to entities that are not Federal funding recipients, non-FTA grantees also may find the information in this document helpful.

This Circular primarily addresses the following types of public transit services:

- Fixed route bus
- Complementary paratransit
- Demand responsive
- Rail (rapid, light, and commuter)
- Water transportation/passenger ferries

This Circular does not alter, amend, supersede, or otherwise affect the DOT ADA regulations themselves or replace the need for readers to reference the detailed information in the regulations. FTA recommendations and examples of optional practices are included throughout the Circular and do not represent requirements. FTA recognizes there are many different ways agencies can implement the regulatory requirements and ensure the delivery of compliant service. FTA encourages transit agencies to engage riders with disabilities when making decisions about local transit service.

This introductory chapter highlights the regulations applicable to transit providers and the scope and organization of the Circular.

## 1.2 Regulations Applicable to Public Transit Providers

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### 1.2.1 DOT ADA Regulations

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The DOT ADA regulations span 49 CFR Parts 37, 38, and 39. A large part of this Circular focuses on [Part 37](#), which contains the service-related requirements for fixed route bus, complementary paratransit, demand responsive service, and rail systems, with the following six subparts applicable to public entities:

- General (Subpart A)
- Applicability (Subpart B)
- Transportation Facilities (Subpart C)
- Acquisition of Accessible Vehicles (Subpart D)
- Paratransit as a Complement to Fixed Route Service (Subpart F)
- Provision of Service (Subpart G)

[Appendix D](#) to Part 37 provides important supplemental information to help explain DOT’s interpretation of the regulatory text and is quoted throughout the Circular.

[Part 38](#) contains the design specifications for various types of buses, vans, and rail cars, and is the focus of Circular Chapter 4.

[Part 39](#) sets forth the general nondiscrimination and service-related requirements for passenger vessel operators (PVOs) that provide ferry and other water transportation services, and is covered in Circular Chapter 10.

### 1.2.2 DOT Section 504 Regulations

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#### Requirement

“For entities receiving Federal financial assistance from the Department of Transportation, compliance with applicable requirements of this part is a condition of compliance with Section 504 of the Rehabilitation Act of 1973 and of receiving financial assistance” ([§ 37.21\(b\)](#)).

#### Discussion

Prior to the passage of the ADA in 1990, the Rehabilitation Act of 1973—and Section 504 of that act—was implemented to prohibit discrimination against individuals with disabilities by entities that receive Federal funds. The purpose of the Rehabilitation Act is to ensure that individuals with disabilities are not excluded from, denied the benefits of, or subject to discrimination in any programs or activities receiving Federal financial assistance. The DOT regulations implementing Section 504 are found in [49 CFR Part 27](#).

The DOT regulations were amended as part of DOT’s ADA rulemaking to require ADA compliance as a condition of Section 504 compliance. In order to receive Federal funds, FTA grantees must comply with Section 504; in order to comply with DOT’s Section 504 regulations, grantees must comply with the DOT ADA regulations.

Part 27 contains general nondiscrimination requirements, which largely overlap with the more recent nondiscrimination requirements in Part 37, along with grantees’ local complaint process requirements and DOT compliance and enforcement provisions discussed in Circular Chapter 12.

### 1.2.3 DOT Regulations – In Summary

Table 1-1 summarizes the regulatory parts and subparts applicable to various types of transportation services FTA grantees provide. Requirements for general nondiscrimination, complaint handling, facility design, vehicle acquisition, and provision of service apply to all types of transportation services provided by grantees.

**Table 1-1 – Applicable DOT ADA/Section 504 Regulations for Transportation Services Provided By FTA Grantees**

| Type of Transportation Service             | Applicable Subparts and Sections of Regulations |   |                               |   |                   |                        |
|--|---|---|-------------------------------|---|-------------------|------------------------|
|  | General Non-discrimination                      | Applicability, Complaints & Enforcement | Facilities                    | Vehicle Acquisition & Specifications      | ADA Paratransit   | Service Provision      |
| Commuter Rail                              | Part 37 Subpart A; Part 27 Subpart A            | Part 37 Subpart B; Part 27 Subpart C    | Part 37 Subpart C, Appendix A | Part 37 Subpart D; Part 38 Subpart E      | Not Required      | Part 37 Subpart G      |
| Light and Rapid Rail                       | Part 37 Subpart A; Part 27 Subpart A            | Part 37 Subpart B; Part 27 Subpart C    | Part 37 Subpart C, Appendix A | Part 37 Subpart D; Part 38 Subparts C & D | Part 37 Subpart F | Part 37 Subpart G      |
| Fixed Route Bus                            | Part 37 Subpart A; Part 27 Subpart A            | Part 37 Subpart B; Part 27 Subpart C    | Part 37 Subpart C, Appendix A | Part 37 Subpart D; Part 38 Subpart B      | Part 37 Subpart F | Part 37 Subpart G      |
| Commuter Bus                               | Part 37 Subpart A; Part 27 Subpart A            | Part 37 Subpart B; Part 27 Subpart C    | Part 37 Subpart C, Appendix A | Part 37 Subpart D; Part 38 Subpart B      | Not Required      | Part 37 Subpart G      |
| Demand Responsive                          | Part 37 Subpart A; Part 27 Subpart A            | Part 37 Subpart B; Part 27 Subpart C    | Part 37 Subpart C, Appendix A | Part 37 Subpart D; Part 38 Subpart B      | Not Required      | Part 37 Subpart G      |
| Ferry Boats and Other Water Transportation | Part 39 Subpart B; Part 27 Subpart A            | Part 39 Subparts A & G                  | Part 39 Subpart D             | Part 39 Subpart E (Reserved)              | Not Required      | Part 39 Subparts C & F |

Complementary paratransit service is required where public entities provide fixed route service (bus and rail). [Section 37.121\(c\)](#) exempts commuter bus, commuter rail, and intercity rail (i.e., Amtrak) from the requirement for complementary paratransit service. (See Circular Section 8.2.)

Part 37 Subpart B explains the applicability of the DOT ADA regulations to various types of transportation.

### 1.2.4 DOJ ADA Regulations

#### Requirement

“Entities to which [Part 37] applies also may be subject to ADA regulations of the Department of Justice (28 CFR Parts 35 or 36, as applicable). The provisions of [Part 37] shall be interpreted in a manner that will make them consistent with applicable Department of Justice regulations. In any case of apparent inconsistency, the provisions of [Part 37] shall prevail” ([§ 37.21\(c\)](#)).

## Discussion

While the DOT ADA regulations apply to transportation services provided by FTA grantees, the Department of Justice (DOJ) ADA regulations apply to other types of services grantees may provide. As [Appendix D](#) to § 37.21 states,

Virtually all entities covered by this rule also are covered by DOJ rules, either under 28 CFR Part 36 as state and local program providers or under 28 CFR Part 35 as operators of places of public accommodation. Both sets of rules apply; one does not override the other. The DOT rules apply only to the entity's transportation facilities, vehicles, or services; the DOJ rules may cover the entity's activities more broadly. For example, if a public entity operates a transit system and a zoo, DOT's coverage would stop at the transit system's edge, while DOJ's rule would cover the zoo as well.

To address such instances, DOT and DOJ collaborated on the development of their ADA regulations to ensure both consistency of interpretation and efficiency of application. In situations where there are apparent inconsistencies between the two rules regarding the provision of transportation, however, DOT's Part 37 provisions prevail.

## 1.3 Applicability of the DOT Regulations

### 1.3.1 Applicability in General

#### Requirement

“[Part 37] applies to the following entities, whether or not they receive Federal financial assistance from the Department of Transportation:

- (1) Any public entity that provides designated public transportation or intercity or commuter rail transportation;
- (2) Any private entity that provides specified public transportation; and
- (3) Any private entity that is not primarily engaged in the business of transporting people but operates a demand responsive or fixed route system” ([§ 37.21\(a\)](#)).

#### Discussion

This requirement explains the entities covered by the DOT ADA regulations, noting that entities are subject to the regulations whether or not they receive Federal funds. Since FTA grantees primarily fall under the first category as public entities that provide designated public transportation, the DOT ADA regulations apply to them. [Section 37.3](#) provides the following definitions:

- *Public entity means* (1) Any state or local government; (2) Any department, agency, special purpose district, or other instrumentality of one or more state or local governments; and (3) The National Railroad Passenger Corporation (Amtrak) and any commuter authority.
- *Designated public transportation means* transportation provided by a public entity (other than public school transportation) by bus, rail, or other conveyance (other than transportation by aircraft or intercity or commuter rail transportation) that provides the general public with general or special service, including charter service, on a regular and continuing basis.

A private entity may receive FTA funds to provide public transportation as either a subrecipient or a contractor. In those circumstances, specific provisions of the regulations will apply to these private entities. These provisions are discussed below. As stated earlier, the ADA and the DOT ADA regulations

apply broadly to both public and private entities and to almost all types of transportation services. The discussion below describes how the various service arrangements determine which portions of the ADA regulations are applicable.

### 1.3.2 Services Under Contract or Other Arrangement

---

#### Requirement

“When a public entity enters into a contractual or other arrangement (including, but not limited to, a grant, subgrant, or cooperative agreement) or relationship with a private entity to operate fixed route or demand responsive service, the public entity shall ensure that the private entity meets the requirements of [Part 37] that would apply to the public entity if the public entity itself provided the service” ([§ 37.23\(a\)](#)).

“A private entity which purchases or leases new, used, or remanufactured vehicles, or remanufactures vehicles, for use, or in contemplation of use, in fixed route or demand responsive service under contract or other arrangement or relationship with a public entity, shall acquire accessible vehicles in all situations in which the public entity itself would be required to do so by [Part 37]” ([§ 37.23\(b\)](#)).

“A public entity which enters into a contractual or other arrangement (including, but not limited to, a grant, subgrant, or cooperative agreement) or relationship with a private entity to provide fixed route service shall ensure that the percentage of accessible vehicles operated by the public entity in its overall fixed route or demand responsive fleet is not diminished as a result” ([§ 37.23\(c\)](#)).

“A private entity that provides fixed route or demand responsive transportation service under contract or other arrangement (including, but not limited to, a grant, subgrant, or cooperative agreement) with another private entity shall be governed, for purposes of the transportation service involved, by the provisions of [Part 37] applicable to the other entity” ([§ 37.23\(d\)](#)).

#### Discussion

Many public transit agencies use contractors to operate some or all of their services. Section 37.23 obligates these agencies to ensure their contractors comply with the same Part 37 requirements the transit agencies would need to follow if they were running the services themselves. As explained in [Appendix D](#) to § 37.23, private entities (e.g., contractors) “stand in the shoes” of public entities with whom they contract to provide transportation services. Section 37.23 ensures that, while a public entity may contract out its service, it may not contract away its ADA responsibilities. Commonly known as the “stand-in-the-shoes requirements,” § 37.23 primarily applies to (1) provision of service and (2) vehicle acquisition.

Section 37.23 requires contractors to follow the public entity service requirements in Part 37 if they are operating service on behalf of a public entity. If a transit agency is using a contractor to run fixed route bus service, for example, the contractor would need to comply with the [§ 37.163](#) requirement to keep vehicle lifts in operative condition. As another example, consider a transit agency that uses a contractor to operate its commuter bus service. The requirements applicable to publicly operated commuter bus service take precedence over those that apply to over-the-road bus companies and services for the service provided on behalf of the public entity, even if the contractor also operates private intercity or charter/tour bus service.

Section 37.23 also applies to the fleets contractors use, which means ensuring the percentage of accessible vehicles in a public transit agency’s fixed route or demand responsive fleet is not diminished as a result of using a contractor. For example, if a public entity’s demand responsive bus fleet is 85 percent accessible, then at least 85 percent of its contractor’s vehicles used for the contract must be accessible. This requirement applies whether the vehicles to be acquired are new, used, or remanufactured. (See Circular Section 4.1.3.)

As discussed in [Appendix D](#) to § 37.23, the vehicle acquisition requirements may differ depending on the kind of service involved. For example, all new vehicles acquired for use in fixed route service must be accessible. In the case of demand responsive service, a public entity operating a demand responsive system is not required to buy an accessible vehicle if its system, when viewed in its entirety, provides service to individuals with disabilities equivalent to its service to other individuals. A private contractor providing a portion of demand responsive service would not necessarily have to acquire an accessible vehicle if this equivalency test is being met by the system as a whole. (See Circular Section 7.4.)

The stand-in-the-shoes requirements extend to subcontractors as well. For example, if a transit agency engages a contractor to provide complementary paratransit service, the contractor might subcontract with a private taxi company for some trips. In these instances, both the transit agency’s contractor and the taxi subcontractor are subject to the same Part 37 requirements applicable to the agency for providing complementary paratransit service.

The stand-in-the-shoes requirements not only apply to traditional contracts for service, but also apply to “other arrangements or relationships.” For example, a private utility company may have an agreement with a city to receive FTA funding as a subrecipient to the city to operate a fixed route service. As an FTA funding recipient, the city is responsible for ensuring the private utility company (the subrecipient) meets the DOT ADA requirements pertaining to fixed route service.

### When the Stand-in-the-Shoes Requirements Do Not Apply

The stand-in-the-shoes requirements, referenced in [Appendix D](#) to § 37.23, do not apply if private entities are merely regulated by public entities or receive a franchise or permit to operate from these entities. For example, if private taxi or shared-ride van services are only regulated by, or receive permits to operate from, a state, county, or municipal government or authority, then they are not required to comply with public entity provisions. In those circumstances, they are not operating service on behalf of the public entity. However, if the public entity’s control of the taxi system extends beyond mere regulation, the taxi system may be considered part of the public entity’s demand responsive transit system and the stand-in-the-shoes requirements would apply.

Similarly, the stand-in-the-shoes requirements do not apply in cases where public entities provide general subsidies to private companies to underwrite private transportation services. For example, a city may start a taxi voucher program for individuals 65 and older using local taxicabs. Accepting these vouchers does not mean the taxi companies stand in the shoes of the city. In operating such a program, however, to comply with the ADA general nondiscrimination requirements in [§ 37.5](#), the city—not the taxi company—would be required to ensure that its taxi voucher program does not discriminate against program participants with disabilities. (See Circular Section 2.2.) In this example, the city would have to ensure that program participants with disabilities, including those who use wheelchairs, have the same access to the program as nondisabled individuals during the same times and with the same fares and response times.<sup>1</sup>

### Private Entities Receiving § 5311 Funding

The stand-in-the shoes requirements apply to private entities that receive § 5311 funding (Formula Grants for Rural Areas), whether through subgrant agreements directly with state agencies, or through subrecipients who then enter into agreements with private contractors for service. The state agency provides funding through these agreements for public transportation services in rural parts of the state.

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<sup>1</sup> See the [Title II program access requirements](#) applicable to state and local governments under the ADA. In this example, in the event the taxi provider has no accessible taxis, the city may provide service to individuals who need accessible vehicles through alternative methods, such as contracting with a provider that has accessible vans.

Because these private contractors are providing services on behalf of the state (or the state’s subrecipient), they are standing in the shoes of the state, and the public entity provisions apply.

For example, state agencies using a private nonprofit provider to deliver demand responsive service are required under § 37.23 to ensure the provider’s services meet the general public demand responsive service requirements applicable to public entities contained in [§ 37.77](#). (See Circular Sections 4.2.4 and 7.3.) Similarly, for providers delivering fixed route service on their behalf, § 37.23 obligates state administering agencies to ensure the service meets the fixed route and complementary paratransit service requirements. (See Circular Chapter 8.)

Private entities may also operate as contractors to a subrecipient or as a contractor to a Tribal Transit direct recipient. In these cases, the same provisions applying to private contractors above would apply.

### Private Entities Receiving § 5310 Funding

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Private nonprofit entities that receive § 5310 funding (Enhanced Mobility for Seniors and Individuals with Disabilities) and provide closed-door service to their own clientele do not stand in the shoes of state administering agencies or designated recipients. “Closed-door service” is not open to the general public but rather is available only to the clients or members of a particular agency. The funding provided by state agencies or designated recipients for these projects allows § 5310 grant subrecipients to provide services to seniors and individuals with disabilities as defined by the subrecipient’s mission. As a result, these subrecipients are not providing services on behalf of the state or designated recipient.

These subrecipients are subject to the ADA requirements that apply to private entities, and in particular to Part 37 [Subpart E](#), which covers vehicle acquisition by private entities. For example, for subrecipients purchasing inaccessible vehicles with § 5310 funds, this means being prepared to demonstrate they are providing equivalent levels of service to individuals with disabilities, including those who use wheelchairs. If an award to a subrecipient that provides closed-door service to its own clientele includes inaccessible vehicles, the subrecipient must have a process in place to ensure that equivalent service is provided as needed, either by the private nonprofit that alters its vehicle fleet composition, or through a third-party contract or other arrangement with another subrecipient or contractor.

In contrast, private entities that receive § 5310 funding for projects that are open to the general public do stand in the shoes of the state or designated recipient and are subject to the requirements applicable to public entities providing fixed route or demand responsive services. If an award to a subrecipient that provides open-door service includes inaccessible vehicles, the state agency or designated recipient must have a process in place to ensure that equivalent service is provided, either by the private nonprofit that alters its vehicle fleet composition, or through a third-party contract or other arrangement with another subrecipient or contractor. In this case, the state or designated recipient is responsible for ensuring equivalent service in the service area. “Open-door service” includes service that is open to the general public or a segment of the general public defined by age, disability, or low-income, and thus includes public transportation service, as well as alternatives to public transportation that may require a passenger to be a senior or person with a disability but is not limited to clients or members of a particular agency.

## 1.4 Transportation Services Not Addressed in this Circular

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While this Circular is primarily addressed to FTA grantees, other transportation services are also referenced in and subject to the DOT ADA regulations or other ADA or disability-related regulations under the jurisdiction of other Federal agencies. These services are not addressed in the Circular and include:

- Intercity rail service (Amtrak), which is under the jurisdiction of both the Federal Railroad Administration (FRA) and DOJ.
- Fixed route and demand responsive transportation services operated by private entities primarily engaged in the business of transportation (e.g., private bus companies, airport shuttles, taxi companies, and nonprofit agencies incorporated specifically to provide transportation), when the private entity is not a subrecipient or contractor to an FTA recipient or subrecipient. These entities are subject to provisions of the DOT ADA regulations for private entities primarily engaged in the business of transportation. In such cases, enforcement of the DOT ADA regulations is carried out by DOJ; however, a DOT operating administration with regulatory jurisdiction over a particular mode, such as the Federal Motor Carrier Safety Administration, may exercise its oversight and enforcement authority to seek compliance.
- Fixed route and demand responsive transportation services operated by private entities not primarily engaged in the business of transportation (e.g., hotel shuttles, rental car shuttles, and transportation provided by human service agencies), when the private entity is not a subrecipient or contractor to an FTA recipient or subrecipient. These services are subject to provisions of both the DOT ADA regulations for private entities not primarily engaged in the business of transporting people and DOJ's Title III ADA regulations. In such cases, administrative and judicial enforcement of both DOT and DOJ's ADA regulations would be carried out by DOJ.
- Services provided by airlines, which are covered by the Air Carrier Access Act and are subject to regulations implemented by the [Aviation Consumer Protection Division](#) of DOT's Office of the Assistant General Counsel.
- Airport transportation systems, which may fall under the jurisdiction of the Federal Aviation Administration or DOJ.
- Transportation services for elementary and secondary education systems, which are covered by the Individuals with Disabilities Education Act and the regulations implemented by the [Department of Education](#).
- Services in public conveyances used primarily for recreational purposes, such as amusement park rides, ski lifts, or historic rail cars or trolleys operated in museum settings, which are covered by the DOJ Title III regulations ([28 CFR Part 36](#)).
- Services provided by employers exclusively for their employees, which are covered under the Equal Employment Opportunity Commission's Title I regulations ([29 CFR Part 1630](#)).

Almost all types of transportation providers are obligated to comply with Federal nondiscrimination regulations in one form or another. The only transportation services that fall outside the purview of the ADA and other nondiscrimination regulations are transportation services provided by religious organizations or entities controlled by religious organizations and transportation services provided by private clubs or establishments. (They are exempted from coverage under Section 307 of the ADA ([42 U.S.C. 12187](#))).

## 1.5 Organization of the Circular

The Circular includes 12 distinct chapters organized by topic. Because it is organized topically, the information presented does not necessarily follow the order the requirements appear in the DOT ADA regulations. The Circular is not intended to cover all of the provisions in the regulations but rather targets guidance to particular issues most relevant to the delivery of public transit service. Table 1-2 outlines the organization of the document.

**Table 1-2 – Circular Chapters**

| Chapter Title                              | Description   |
|--|---|
| 1 – Introduction and Applicability         | Overview of the scope and organization of the Circular and the regulations applicable to transit providers  |
| 2 – General Requirements                   | The fundamental nondiscrimination requirements, including examples of permitted and prohibited practices. Also includes crosscutting service provision requirements applicable to all modes of transportation (e.g., reasonable modification of policy, maintenance of accessible features, use of vehicle lifts, provision of accessible information, accommodation of service animals, and employee training) |
| 3 – Transportation Facilities              | The requirements that apply to new construction of transportation facilities and alterations at existing facilities, with a focus on common issues  |
| 4 – Vehicle Acquisition and Specifications | The requirements for acquiring new, used, and remanufactured transit buses, light rail vehicles, rapid rail vehicles, and commuter rail cars, along with vehicle design specifications  |
| 5 – Equivalent Facilitation                | The process for seeking a determination from the FTA Administrator that permits alternative ways—by use of other designs and technologies—to comply with the regulations for vehicles and transportation facilities   |
| 6 – Fixed Route Service                    | Service provision requirements specific to fixed route bus and rail, such as priority seating, alternative transportation when bus lifts are inoperable, and stop announcements and route identification  |
| 7 – Demand Responsive Service              | The requirements applicable to demand responsive services (other than complementary paratransit), including the equivalent service standard   |
| 8 – Complementary Paratransit Service      | The requirements for complementary paratransit service, including service criteria, absence of capacity constraints, and origin-to-destination service  |
| 9 – ADA Paratransit Eligibility            | The requirements pertaining to complementary paratransit eligibility, including eligibility criteria, basic process requirements, accommodation of companions and personal care attendants, and no-show suspensions   |
| 10 – Passenger Vessels                     | Guidance applicable to providing public transportation via passenger ferry services and accessibility requirements of landside facilities   |
| 11 – Other Modes                           | Overview of applicable requirements for less common vehicles and systems such as monorails and trams  |
| 12 – Oversight, Complaints, and Monitoring | Information on FTA’s oversight role, grantee complaint resolution requirements, and service monitoring  |

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## Chapter 2 – General Requirements

### 2.1 Introduction

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This chapter explains the U.S. Department of Transportation (DOT) Americans with Disabilities Act (ADA) regulations related to nondiscrimination and other broad crosscutting requirements applicable to fixed route (rail and non-rail), complementary paratransit, and demand responsive services. Regulations covered in this chapter are primarily from 49 CFR Part 37 Subparts A (General) and G (Provision of Service).

As the chapter outlining the broad general requirements that apply across transit modes, Chapter 2 is meant to accompany the specific service-focused chapters that follow and to be cross-referenced by the reader as needed.

This Circular does not alter, amend, supersede, or otherwise affect the DOT ADA regulations themselves or replace the need for readers to reference the detailed information in the regulations. FTA recommendations and examples of optional practices are included throughout the Circular and do not represent requirements. FTA recognizes there are many different ways agencies can implement the regulatory requirements and ensure the delivery of compliant service. FTA encourages transit agencies to engage riders with disabilities when making decisions about local transit service.

### 2.2 Nondiscrimination

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As a comprehensive civil rights law, the ADA grants the same rights and responsibilities to individuals with disabilities as are available to all individuals. Fundamentally, the overarching requirement of the law is that entities cannot discriminate against individuals with disabilities. Section 37.5 contains a general prohibition against discrimination and outlines several specific actions the regulations disallow.

#### 2.2.1 Prohibition Against Discrimination

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##### Requirement

“No entity shall discriminate against an individual with a disability in connection with the provision of transportation service” ([§ 37.5\(a\)](#)).

##### Discussion

Having a disability in no way diminishes an individual’s right to be treated equally and to benefit from public transit along with others in the community. This general nondiscrimination requirement represents the foundation upon which the rest of the regulatory requirements rest. In the absence of a specific provision covering a particular policy or operating issue, the general nondiscrimination requirement applies.

The following are examples of policies and practices FTA considers discriminatory under § 37.5(a):

- Refusing to provide service because of a person’s disability
- Requiring individuals with disabilities to use seat belts or shoulder harnesses when other riders on the same vehicle are not also required to do the same

- Requiring riders who use wheelchairs to wear a special body belt as a condition of using lifts on vehicles or riding on transportation systems
- Requiring riders who board a vehicle with a service animal to first disclose the nature of their disability to receive transportation
- Requiring adults to accompany children under a certain age in order to use complementary paratransit service without having the same age requirement to ride the fixed route system
- Prohibiting an individual with a disability from serving as a personal care attendant (PCA) for another rider with a disability

## 2.2.2 Right to Use General Public Transportation Services

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### Requirement

“Notwithstanding the provision of any special transportation service to individuals with disabilities, an entity shall not, on the basis of disability, deny to any individual with a disability the opportunity to use the entity’s transportation service for the general public, if the individual is capable of using that service” ([§ 37.5\(b\)](#)).

### Discussion

Section 37.5(b) prohibits a transit agency from denying to any individual with a disability the opportunity to use the agency’s transportation service for the general public if the individual is capable of using that service. An agency cannot compel an individual with a disability, for example, to use its complementary paratransit service, or otherwise prevent the individual from using fixed route service, based on a belief that he or she will “take too long” to board a bus.

An agency cannot deny service to a person with a disability based on what it perceives to be “safe” or “unsafe” for that individual. All riders take on some level of risk when traveling (e.g., standing while riding a bus, crossing busy streets, or walking along roadways with quickly moving traffic). Individuals with disabilities also have the right to decide the level of risk they are willing to take to travel independently.

To ensure nondiscrimination, an optional good practice is for an agency to have written rules of rider conduct and related internal policies. (See Circular Section 2.11.) Such policies would apply equally to complementary paratransit and fixed route, as well as to riders with and without disabilities. These policies are particularly important if it becomes necessary to refuse service to individual riders, as discussed in Circular Section 2.2.7.

## 2.2.3 Prohibition Against Requiring Use of Priority Seating

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### Requirement

“An entity shall not require an individual with a disability to use designated priority seats, if the individual does not choose to use these seats” ([§ 37.5\(c\)](#)).

### Discussion

Section 37.5(c) prohibits an agency from requiring an individual with a disability to use designated priority seats if the individual does not choose to use the seats. Individuals with disabilities have the same right as all other riders to decide where they would like to sit.

## 2.2.4 Prohibition Against Imposition of Special Charges

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### Requirement

“An entity shall not impose special charges, not authorized by [Part 37], on individuals with disabilities, including individuals who use wheelchairs, for providing services required by [Part 37] or otherwise necessary to accommodate them” ([§ 37.5\(d\)](#)).

### Discussion

A transit agency cannot impose special charges for providing required accessible services to individuals with disabilities. Examples of prohibited charges include:

- Charging individuals more to ride in lift-equipped vehicles than in sedans in demand responsive services that use both types of vehicles
- Charging individuals more for assistance beyond the curb when riding complementary paratransit, if such assistance is necessary to meet the origin-to-destination requirements of that service (See Circular Section 8.3.1.)
- Charging extra to riders who use wheelchairs to travel in an accessible vanpool vehicle
- Charging individuals for travel to in-person interviews or functional assessments that are required as part of the ADA paratransit eligibility process
- Charging ADA paratransit eligible riders for photo IDs or for travel to or from locations to obtain required ID cards
- Imposing a mandatory fee to complementary paratransit riders (and their companions) for cancelled trips or trips counted as no-shows (See Circular Section 9.12.5.)

Special charges are not the same as premium services for which agencies may charge extra fees. (See Circular Section 8.7.)

## 2.2.5 Prohibition Against Requiring Use of Attendants

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### Requirement

“An entity shall not require that an individual with disabilities be accompanied by an attendant” ([§ 37.5\(e\)](#)).

### Discussion

A transit agency cannot require an attendant to accompany an individual with disabilities. For example, an agency may not require a rider with a disability to travel with an attendant based on concerns about his or her safety. There is one exception. As discussed in Circular Section 2.2.7, § 37.5(h) permits agencies to refuse service to individuals with disabilities if they engage in violent, seriously disruptive, or illegal conduct, or if they pose a direct threat to the health or safety of others. As discussed in [Appendix D](#) to § 37.5,

This provision must also be considered in light of the fact that an entity may refuse service to someone who engages in violent, seriously disruptive, or illegal conduct. If an entity may legitimately refuse service to someone, it may condition service to him on actions that would mitigate the problem. The entity could require an attendant as a condition of providing service it otherwise had the right to refuse.

If a transit agency requires a rider to travel with an attendant as a condition of service under the circumstances described above, those conditions cannot be permanent. The agency would need to afford

the rider the future opportunity to demonstrate that circumstances have changed and he or she is now able to travel independently, i.e., without an attendant.

From a practical standpoint, some riders with disabilities will need to travel with an attendant to use the service, sometimes permanently. While [§ 37.165\(f\)](#) requires drivers to provide assistance with the use of lifts, ramps, and securement systems (see Circular Section 2.5.1), per [Appendix D](#) to § 37.5 they are not required to provide “attendant services.” This includes assisting with the use of oxygen or other medical equipment, administering medication, or helping with other personal needs. If unable to travel without this level of assistance, riders may need to bring along their own attendant.

## 2.2.6 Prohibition Against Refusing Service Due to Insurance Issues

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### Requirement

“An entity shall not refuse to serve an individual with a disability or require anything contrary to [Part 37] because its insurance company conditions coverage or rates on the absence of individuals with disabilities or requirements contrary to [Part 37]” ([§ 37.5\(g\)](#)).

### Discussion

If an insurer declines to provide liability coverage for required services to individuals with disabilities, a transit agency cannot use this decision as a basis for not providing the required services. This also applies if insurance companies require anything contrary to the regulations. The following examples illustrate possible issues related to insurance:

- A transit agency’s vehicle liability policy does not provide coverage for a driver to help push a rider using a manual wheelchair up the vehicle ramp.
- An insurance company refuses to provide coverage if riders travel with portable oxygen supplies, or classifies this situation as a form of medical transportation and charges higher rates.

In both instances, § 37.5(g) requires the transit agency to provide the required services to riders with disabilities and to refrain from using insurance company stipulations as reasons to deny service. Similarly, an agency cannot require individuals with disabilities to sign liability waivers as a condition of receiving service. For example, if an agency has a mandatory wheelchair securement policy, and a vehicle operator is unable to determine how best to secure a passenger’s wheelchair aboard a bus, the agency may not deny service or require the passenger to sign a waiver in order to ride.

## 2.2.7 Service Denial Due to Rider Conduct

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### Requirement

“It is not discrimination under this part for an entity to refuse to provide service to an individual with disabilities because that individual engages in violent, seriously disruptive, or illegal conduct, or represents a direct threat to the health or safety of others. However, an entity shall not refuse to provide service to an individual with disabilities solely because the individual’s disability results in appearance or involuntary behavior that may offend, annoy, or inconvenience employees of the entity or other persons” ([§ 37.5\(h\)](#)).

### Discussion

Section 37.5(h) permits transit agencies to refuse to provide service to an individual with disabilities because that individual engages in violent, seriously disruptive, or illegal conduct, or that individual constitutes a direct threat to others. Overlap among these four thresholds is common and therefore FTA recommends agencies consider them as a unit. Rarely is violent behavior such as physical assault, for

example, not also seriously disruptive, illegal, and a direct threat. Consider another example: a verbal outburst directed at a driver or other passengers may start out as seriously disruptive but become so threatening as to prevent a driver from safely operating the vehicle and, therefore, rise to a direct threat as well.

### Determining Seriously Disruptive Behavior

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It can be especially challenging to assess whether rider behavior rises to the level of “seriously disruptive.” Given that a service refusal can be a denial of a civil right, the threshold for seriously disruptive conduct, like the other denial bases, is an intentionally high standard. A transit agency cannot refuse service to individuals with disabilities solely because their appearance or involuntary behavior may offend, annoy, or inconvenience employees or other riders. As discussed in [Appendix D](#) to § 37.5, “some persons with Tourette’s syndrome may make involuntary profane exclamations. These may be very annoying or offensive to others, but would not be a ground for denial of service.” As another example, many agencies have asked FTA for guidance on serving riders with hygiene issues. It would not be appropriate to refuse service if the situation were merely unpleasant to other passengers or drivers. If the situation disrupts the provision of service, however, grounds for refusing service may exist.

### Determining a Direct Threat

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[Appendix D](#) to § 37.3 explains that transit agencies may refuse to transport individuals who pose a significant risk to the health or safety of others, stating:

The definition of “direct threat” is intended to be interpreted consistently with the parallel definition in the Department of Justice regulations. That is, Part 37 does not require a public entity to permit an individual to participate in or benefit from the services, programs, or activities of that public entity when that individual poses a direct threat to the health or safety of others. In determining whether an individual poses a direct threat to the health or safety of others, a public entity must make an individualized assessment, based on reasonable judgment, that relies on current medical knowledge or on the best available objective evidence, to ascertain: the nature, duration, and severity of the risk, the probability that the potential injury will actually occur, and whether reasonable modifications of policies, practices, or procedures or the provision of auxiliary aids or services will mitigate the risk.

Presuming certain conduct will occur based on specific disabilities is not appropriate. For example, it is incorrect to presume all riders with particular psychiatric disabilities will behave in a violent manner that constitutes a direct threat to others. If during the ADA paratransit eligibility process, however, an agency obtains documentation indicating a pattern of violent behavior that likely will recur, or documents an individual’s pattern or practice of violent behavior on its services, this information might be used to deny service or require such an individual to travel with an attendant, following the process in [Appendix D](#) to § 37.3 described above.

FTA emphasizes that the definition of direct threat refers to a direct threat to other individuals and not to the person with the disability.

### Steps to Take Before Refusing Service

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Before refusing service to an individual with a disability, FTA encourages transit agencies to make reasonable attempts to resolve issues with riders or, if appropriate, caregivers or guardians. Often, local disability organizations may be helpful in resolving issues so that individuals do not lose access to vital transportation services. FTA recommends that agencies document the incident or incidents leading to the service denial, substantiating how such an incident rises to the level of seriously disruptive or a direct threat, for example. When possible, FTA also recommends that agencies provide the rider with a written warning before denying service.

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## Right of Individuals to Contest Service Denials

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Access to public transit is a civil right and inherent in any civil right is the opportunity for due process. This means providing an individual who is denied service the opportunity to contest that decision, correct the situation, and resume service. Service refusals cannot be permanent unless an individual continues to pose a direct threat to the health or safety of others. Riders must have the opportunity to subsequently present information to the transit agency, demonstrating that issues have been resolved or presenting options to mitigate any problems, to have service reinstated.

This also means providing a rider required to travel with an attendant the opportunity to appeal such a requirement. As with service refusals, riders have the right to subsequently provide information demonstrating they have addressed the agency's concerns and can now travel without an attendant or propose other solutions that permit them to travel on their own.

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## 2.3 Equipment Requirements for Accessible Service

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### 2.3.1 Using Accessibility Features

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#### Requirement

“The entity shall ensure that vehicle operators and other personnel make use of accessibility-related equipment or features required by Part 38 of this title” ([§ 37.167\(e\)](#)).

#### Discussion

It is not enough for a transit agency to have accessibility-related equipment or features. Section 37.167(e) requires that agency employees use the equipment or feature in order to provide accessible service to riders. For example, this means that drivers deploy lifts or ramps when operating accessible vehicles or use the public address system if needed when making onboard stop announcements.

### 2.3.2 Maintaining Accessibility Features

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#### Requirement

“Public and private entities providing transportation services shall maintain in operative condition those features of facilities and vehicles that are required to make the vehicles and facilities readily accessible to and usable by individuals with disabilities. These features include, but are not limited to, lifts and other means of access to vehicles, securement devices, elevators, signage and systems to facilitate communications with persons with impaired vision or hearing” ([§ 37.161\(a\)](#)).

“Accessibility features shall be repaired promptly if they are damaged or out of order. When an accessibility feature is out of order, the entity shall take reasonable steps to accommodate individuals with disabilities who would otherwise use the feature” ([§ 37.161\(b\)](#)).

“This section does not prohibit isolated or temporary interruptions in service or access due to maintenance or repairs” ([§ 37.161\(c\)](#)).

#### Discussion

Section 37.161(a) requires a transit agency to maintain accessibility features in facilities and on vehicles in working condition. When accessibility features are damaged or out of order, § 37.161(b) requires the agency to repair them promptly. The regulations do not state a time limit for making particular repairs,

given the variety of circumstances involved. As [Appendix D](#) to § 37.161 notes, however, “repairing accessible features must be made a high priority.”

For vehicles, examples of accessibility features include:

- Lifts and ramps
- Lighting
- Mobility aid securement areas and systems
- Public address and other communications equipment
- Seat belts and shoulder harnesses (where securement systems are required)
- Signage

For facilities, examples of accessibility features include:

- Accessible paths to and within facilities
- Communications equipment
- Elevators
- Fare vending equipment and fare gates
- Platforms and handrails
- Ramps
- Signage

To meet the § 37.161(a) and (b) requirements, transit agencies are obligated to inspect all accessibility features often enough to ensure they are operational and to undertake repairs or other necessary actions when they are not.

Section 37.161(c) does not prohibit isolated or temporary interruptions in service or access due to maintenance or repairs. FTA recommends taking the following steps when planning maintenance activities that will result in temporary unavailability of an accessibility feature:

- Schedule maintenance during non-service hours or the lowest demand times (and include this timing stipulation in any maintenance contract).
- Consider the effect the maintenance activities (and potential outages) will have on systemwide accessibility and provide replacement service if necessary during such periods.
- Refrain from taking elevators out of service simultaneously at multiple busy rail station hubs.

### [Accommodating Riders Who Rely on Working Accessibility Features](#)

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When an accessibility feature is not working due to maintenance or repairs or unexpected outages, § 37.161(b) requires a transit agency to “take reasonable steps to accommodate individuals with disabilities who would otherwise use the feature.” The regulations do not prescribe a particular method for accommodating individuals, but the method an agency chooses must be effective.

An accommodation may be as simple as designating personnel to provide information to customers when a public address system is out of order. One of the most common accommodations, however, involves elevators. When a station elevator is out of service due to mechanical failures or for scheduled maintenance, accommodations are often needed in order to prevent riders from being stranded and to allow them to continue to use the system.

Appendix D to § 37.161 gives an example:

[W]hen a rail system discovers that an elevator is out of order, blocking access to one of its stations, it could accommodate users of the station by announcing the problem at other stations to

alert passengers and offer accessible shuttle bus service around the temporarily inaccessible station.

An agency may decide to use a combination of means to fulfill the requirement in § 37.161(b) to take “reasonable steps to accommodate individuals with disabilities” when an elevator is out of service. FTA recommends announcing the outage at other stations (both visually and audibly) to alert riders, in combination with providing accessible shuttle bus service. The shuttle vehicles may be any accessible vehicles, including the agency’s paratransit vehicles. The shuttle service can be standing by or on call.

Riders who know in advance about current elevator outages may be able to plan an alternative itinerary that would allow them to avoid the inconvenience of using the substitute bus service. Accordingly, good practices include providing elevator outage information on agency websites, through proper signage and recorded announcements at facilities, and through emails or text messages to rider notification lists, as well as through notifications to rider advocacy groups or others (for planned or longer term outages).

FTA also recommends providing sufficient staffing at affected locations to guide any riders needing shuttle service or information. In some systems, convenient fixed route bus service already runs between rail stations. FTA recommends ensuring that station personnel are trained on any connecting bus service and prepared to direct riders capable of using the fixed route bus to the correct bus stop and route number to bypass a station affected by an elevator outage. Riders may prefer this option to waiting for an on-call shuttle service.

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### Ensuring Accessibility Features Are Free from Obstructions

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An important part of maintaining accessibility features so that they are “accessible to and usable by individuals with disabilities” is ensuring they are free from obstructions. Agencies have an obligation to enforce parking bans and to keep accessible features clear if they have direct control over the area. This can include removing illegally parked vehicles occupying accessible parking spaces or access aisles in station parking lots, removing bicycles obstructing ramps and accessible routes, and removing snow from ramps and accessible routes.

Where a transit agency does not have direct control over the areas with accessibility features, FTA encourages coordination with other public entities or private property owners. For example, the Massachusetts Bay Transportation Authority (MBTA) has agreements with the municipalities in which its 15 highest ridership routes operate where the municipality prioritizes the clearing of snow from bus stops along these routes. For other bus stops, MBTA’s website provides contact information for the agency responsible for snow removal.

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### 2.3.3 Keeping Lifts/Ramps in Operative Condition

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#### Requirement

“The entity shall establish a system of regular and frequent maintenance checks of lifts sufficient to determine if they are operative” ([§ 37.163\(b\)](#)).

“The entity shall ensure that vehicle operators report to the entity, by the most immediate means available, any failure of a lift to operate in service” ([§ 37.163\(c\)](#)).

“Except as provided in paragraph (e) of this section, when a lift is discovered to be inoperative, the entity shall take the vehicle out of service before the beginning of the vehicle’s next service day and ensure that the lift is repaired before the vehicle returns to service” ([§ 37.163\(d\)](#)).

“If there is no spare vehicle available to take the place of a vehicle with an inoperable lift, such that taking the vehicle out of service will reduce the transportation service the entity is able to provide, the public entity may keep the vehicle in service with an inoperable lift for no more than five days (if the entity

serves an area of 50,000 or less population) or three days (if the entity serves an area of over 50,000 population) from the day on which the lift is discovered to be inoperative” ([§ 37.163\(e\)](#)).<sup>1</sup>

## Discussion

While [§ 37.161](#) outlines general requirements for maintaining accessibility features, § 37.163 establishes specific requirements for maintaining lifts used to board non-rail vehicles. FTA generally treats lifts and ramps interchangeably and applies these same requirements to maintaining ramps. An optional good practice for keeping lifts in working order is to have drivers cycle lifts (or ramps) as part of pre-trip inspections. Mechanics can repair any problems or, if necessary, assign spare accessible vehicles. Most transit agencies include lift cycling in all levels of vehicle inspection and maintenance.

While pre-trip lift cycling is an optional good practice, it is not a regulatory requirement. Some transit agencies design other procedures for making regular and frequent checks of lifts. An alternative approach may be necessary if the logistics of pullouts make it difficult for each driver to make checks at the time of pullout. Some agencies ensure lift reliability by having maintenance personnel perform daily checks to verify that lifts work properly.

Another optional good practice is to keep thorough records of lift operations checks. When transit agencies perform checks during pre-trip inspections, completed inspection forms serve as documentation. An additional optional good practice is for mechanics to document any lift inspections and include this information in each vehicle’s maintenance history.

## Reporting Lift Failures and Removing Vehicles from Service

When drivers discover that lifts or ramps are not working, § 37.163(c) requires that they report the outages to appropriate staff (e.g., dispatchers) as soon as possible. Based on this information, dispatchers and supervisors can decide the best course of action. In demand responsive services (complementary paratransit and general public service), drivers using vehicles with inoperable lifts may be able to continue to use such vehicles for the remainder of the day as long as any trips for riders needing lift-equipped vehicles can be reassigned to another lift-equipped vehicle.

In non-rail fixed route systems, except as discussed below, § 37.163(d) requires transit agencies to remove vehicles with inoperable lifts (and ramps) from service before the beginning of the vehicle’s next service day. An optional good practice, if possible, is to remove vehicles sooner (e.g., at the end of the run or driver’s shift).

As covered in the regulations and discussed in [Appendix D](#) to § 37.163, “[w]hen a lift is discovered to be inoperative, either because of an in-service failure or as the result of a maintenance check, the entity must take the vehicle out of service before the beginning of its next service day . . . and repair the lift before the vehicle is put back into service.” When agencies do not have sufficient accessible spare vehicles available, § 37.163(e) permits agencies to return vehicles with inoperable lifts to service for limited periods as follows:

- Vehicles with inoperable lifts may be returned to service for up to three days if there are no available spares and the transit agency’s service area has a population of more than 50,000.
- Vehicles with inoperable lifts may be returned to service for up to five days if there are no available spares and the transit agency’s service area has a population of 50,000 or less.

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<sup>1</sup> See Circular Section 6.2.1 for a discussion on § 37.163(f), which requires agencies to provide alternative transportation in some circumstances when a fixed route bus lift is inoperable.

A transit agency cannot continue to use vehicles with inoperable lifts after these specified timeframes, even when there are no spares. Section 37.163(e) requires the agency to remove these vehicles from service until the lifts are repaired.<sup>2</sup>

## 2.4 Lift/Ramp and Securement Use

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### 2.4.1 Accommodating Riders Using Wheelchairs

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#### Requirement

“Except as provided in this section, individuals using wheelchairs shall be transported in the entity’s vehicles or other conveyances.

(1) With respect to wheelchair/occupant combinations that are larger or heavier than those to which the design standards for vehicles and equipment of 49 CFR Part 38 refer, the entity must carry the wheelchair and occupant if the lift and vehicle can accommodate the wheelchair and occupant. The entity may decline to carry a wheelchair/occupant if the combined weight exceeds that of the lift specifications or if carriage of the wheelchair is demonstrated to be inconsistent with legitimate safety requirements.

(2) The entity is not required to permit [riders who use] wheelchairs to ride in places other than designated securement locations in the vehicle, where such locations exist” ([§ 37.165\(b\)](#)).

#### Discussion

Under § 37.165, transit agencies must transport individuals using wheelchairs if their devices meet the definition of a wheelchair and can be accommodated on the vehicle (e.g., they fit on the lift or ramp and in the securement area). Agencies may only decline to transport a wheelchair/occupant if doing so would be inconsistent with “legitimate safety requirements,” as discussed below. A vehicle that complies with the base [Part 38](#) specifications will be able to accommodate, at a minimum, all occupied wheelchairs weighing up to 600 pounds and measuring 30 inches in width and 48 inches in length (formerly known as a “common wheelchair”). Vehicles that exceed the minimum Part 38 specifications (e.g., those that have lifts with design loads of 800 pounds and securement areas larger than 30 x 48 inches) will accommodate larger, heavier devices.

#### Wheelchair Definition

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Section 37.165(b) requires transit agencies to allow riders who use wheelchairs to board and ride accessible vehicles. A wheelchair is defined in [§ 37.3](#) as “a mobility aid belonging to any class of three- or more-wheeled devices, usable indoors, designed or modified for and used by individuals with mobility impairments, whether operated manually or powered.”

The definition is consistent with the legislative history and intent to accommodate the wide range of devices used by individuals with mobility impairments. The definition does not include devices not intended for indoor use (e.g., golf carts or all-terrain vehicles) or devices not primarily designed to assist individuals with mobility impairments (e.g., bicycles or tricycles).

It is important to note that the definition of a wheelchair does not require specific elements or equipment such as front rigging (footplates or leg rests), wheel locks or brakes, push handles, or positioning belts or harnesses. Any transit agency policy, therefore, requiring wheelchairs to be equipped with specific

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<sup>2</sup> See Circular Section 6.2.1 for a discussion on § 37.163(f), which requires agencies to provide alternative transportation in some circumstances when a fixed route bus lift is inoperable.

features in order to be transported or allowing for the denial of service because of the perceived condition of a passenger's mobility device is not permitted under § 37.165(b) and would be a discriminatory policy prohibited by [§ 37.5\(a\)](#).

## Legitimate Safety Requirements

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Transit agencies may decline to carry a wheelchair/occupant if the combined weight exceeds that of the lift specifications or if carriage of the wheelchair is demonstrated to be inconsistent with “legitimate safety requirements.” The [preamble](#) to DOT’s 2011 final rule amending Parts 37 and 38 states that legitimate safety requirements include such circumstances as when “a wheelchair was of a size that would block an aisle or not be able to fully enter a rail car, thereby blocking the vestibule, and interfere with the safe evacuation of passengers in an emergency.”<sup>3</sup>

As discussed in [Appendix D](#) to § 37.165,

If a transportation provider has a vehicle and equipment that meets or exceeds standards based on Access Board guidelines, and the vehicle and equipment can in fact safely accommodate a given wheelchair, then it is not appropriate, under disability nondiscrimination law, for the transportation provider to refuse to transport the device and its user. Transportation providers must carry a wheelchair and its user, as long as the lift can accommodate the size and weight of the wheelchair and its user and there is space for the wheelchair on the vehicle. However, if in fact a lift or vehicle is unable to accommodate the wheelchair and its user, the transportation provider is not required to carry it.

For example, suppose that a bus or paratransit vehicle lift will safely accommodate an 800-pound wheelchair/passenger combination, but not a combination exceeding 800 pounds (i.e., a design load of 800 lbs.). The lift is one that exceeds the Part 38 design standard, which requires lifts to be able to accommodate a 600-pound wheelchair/passenger combination. The transportation provider could limit use of that lift to a combination of 800 pounds or less. Likewise, if a wheelchair or its attachments extends beyond the 30 x 48 inch footprint found in Part 38’s design standards but fits onto the lift and into the wheelchair securement area of the vehicle, the transportation provider would have to accommodate the wheelchair. However, if such a wheelchair was of a size that would block an aisle and interfere with the safe evacuation of passengers in an emergency, the operator could deny carriage of that wheelchair based on a legitimate safety requirement.

Other factors associated with transporting individuals using wheelchairs are not legitimate safety requirements under the DOT ADA regulations. For example, legitimate safety requirements do not apply to securement; an agency cannot impose a limitation on the transportation of wheelchairs and other mobility aids based on the inability of the securement system to secure the device to the satisfaction of the agency.

## Using Designated Securement Areas

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[Part 38](#) vehicle specifications include requirements for the minimum number of designated securement areas for riders using wheelchairs. One or two such areas are required in buses and vans depending on the length of the vehicle. Securement devices are not required on rail cars.

Under § 37.165(b), transit agencies operating buses and vans with designated securement locations are not required to allow riders who use wheelchairs to ride elsewhere in the vehicle. Rather, agencies may

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<sup>3</sup> DOT Final Rule, “Transportation for Individuals With Disabilities at Intercity, Commuter, and High Speed Passenger Railroad Station Platforms; Miscellaneous Amendments”; *Federal Register*, vol. 76, no. 181 (76 FR 57924, Sept. 19, 2011).

create policies requiring riders who use wheelchairs to ride in designated securement areas noting that wheelchairs must fit in these (compliant) areas.

### Maintaining an Inventory of Lifts/Ramps and Securement Areas

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To help comply with the § 37.165(b) requirements, FTA encourages transit agencies to maintain inventories of detailed design specifications and dimensions of lifts, ramps, and securement areas for all vehicles. Agencies can then use the capacity specifications together with service operating policies and procedures to determine the maximum sizes and weights of wheelchairs they can accommodate.

The § 37.165(b) requirements do not dictate that transit agencies operating a mixed fleet assign a particular vehicle to a route or dispatch a particular vehicle to a waiting customer. FTA encourages agencies, however, to provide up-to-date public information about the maximum sizes and weights of occupied wheelchairs the agencies' vehicles can safely accommodate so that riders can consider any system limitations when acquiring wheelchairs or deciding to use the service. Such information can be provided on schedules, in rider guides, and on agency websites, as well as through outreach to riders and agencies that serve individuals with disabilities. An agency might decide to install signs on the vehicles themselves indicating the maximum wheelchair size and weight that can be transported.

In cases where a rider's occupied wheelchair exceeds the maximum size or weight an agency's vehicles can safely accommodate, an agency may also use the ADA paratransit eligibility determination process as an opportunity to discuss service limitations with the rider. (See Circular Section 9.2.2.)

### Boarding Separately from a Wheelchair

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Some riders may be able to board separately from their wheelchairs to avoid having their combined weight exceed the design load of the vehicle lift. As discussed below, standees are expressly permitted on lifts. [Appendix E](#) to Part 37 (Reasonable Modification Requests) (see Circular Section 2.10) provides the following guidance regarding accommodating a wheelchair user's request to board a vehicle separately:

*Boarding Separately From Wheelchair.* A wheelchair user's request to board a fixed route or paratransit vehicle separately from his or her device when the occupied weight of the device exceeds the design load of the vehicle lift should generally be granted.

Vehicle operators, however, are not required to assume the controls of power wheelchairs to assist riders with boarding vehicles. Providing assistance with a power wheelchair falls under the category of attendant-type services, which the regulations do not require. Moreover, it would be unreasonable to expect a driver to know how to operate each rider's powered mobility device. While placing a power wheelchair in freewheeling mode may not be difficult, controlling it is a different matter. (See FTA response to [Complaint 10-0172](#) for an example of how FTA addressed a complainant's request for a driver to operate his power wheelchair.) Riders needing to board separately, and capable of doing so, may need to bring along a personal care attendant (PCA) to assist them.

### Boarding and Alighting Direction

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#### Requirement

"*Boarding direction.* The lift shall permit both inboard and outboard facing of wheelchair and mobility aid users" ([§ 38.23\(b\)\(11\)](#)).<sup>4</sup>

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<sup>4</sup> The same boarding directional requirements are found in [§ 38.83](#) for light rail and in [§ 38.95](#) for commuter rail cars.

## Discussion

The requirements applicable to boarding and alighting direction are covered in the Part 38 vehicle specifications and are discussed in [Appendix D](#) to § 37.165:

Wheelchair users, especially those using electric wheelchairs, often have a preference for entering a lift platform and vehicle in a particular direction (*e.g.*, backing on or going on frontwards). Except where the only way of successfully maneuvering a device onto a vehicle or into its securement area or an overriding safety concern (*i.e.*, a direct threat) requires one way of doing this or another, the transit provider should respect the passenger’s preference. We note that most electric wheelchairs are usually not equipped with rearview mirrors, and many individuals who use them are unable to rotate their heads sufficiently to see behind.

Complying with the § 38.23(b) requirement means purchasing lifts (or ramps) that accommodate wheelchair users wishing to board facing forward or facing rearward.

### 2.4.2 Accommodating Riders Using Other Mobility Devices

As discussed in [Appendix D](#) to § 37.3, “persons with mobility disabilities may use devices other than wheelchairs to assist with locomotion. Canes, crutches, and walkers, for example, are often used by people whose mobility disabilities do not require use of a wheelchair. These devices must be accommodated on the same basis as wheelchairs.”

As explained in the same section of Appendix D, transit agencies are not required to accommodate devices not primarily designed for use by individuals with mobility impairments.<sup>5</sup> This includes items such as shopping carts, bicycles, and skateboards. In addition, agencies are not required to permit other types of assistive devices to be used in ways that depart from or exceed their intended uses. For example, agencies are not required to permit riders who use walkers with built-in seats to ride in securement areas while seated on their walkers, meaning that transit agencies can require these individuals to transfer to a vehicle seat.

### 2.4.3 Use of Securement Devices

#### Requirement

“(1) For vehicles complying with Part 38 of this title, the entity shall use the securement system to secure wheelchairs as provided in that part.

(2) For other vehicles transporting individuals who use wheelchairs, the entity shall provide and use a securement system to ensure that the wheelchair remains within the securement area.

(3) The entity may require that an individual permit his or her wheelchair to be secured” ([§ 37.165\(c\)](#)).

“The entity may not deny transportation to a wheelchair or its user on the ground that the device cannot be secured or restrained satisfactorily by the vehicle’s securement system” ([§ 37.165\(d\)](#)).

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<sup>5</sup> See DOT Guidance, [“Use of ‘Segways’ on Transportation Vehicles”](#) (2005) for information on accommodating “Segways” on transit vehicles. By contrast, DOJ defines Segways as falling within the class of “Other-Power-Driven Mobility Devices” that are subject to specific requirements that are different from those applicable to wheelchairs. This distinction is not found in the DOT ADA regulations.

## Discussion

[Section 38.23\(d\)](#) requires all ADA-compliant buses and vans to be equipped with securement devices capable of accommodating wheelchairs and mobility aids. (See Circular Section 4.2.5.) Part 38 does not require securement devices on rail cars.

Under § 37.165(c), a transit agency may establish a policy requiring riders to allow drivers to secure their wheelchairs on buses and vans. If an agency establishes a mandatory securement policy, then the agency is permitted to deny service to an individual who refuses to allow his or her wheelchair to be secured. (Conversely, an agency may have a policy allowing riders to remain unsecured, provided that if a rider wishes to have his or her wheelchair secured, agency personnel provide assistance with the securement.)

However, § 37.165(d) prohibits an agency from refusing to serve riders on the ground that their wheelchairs cannot be secured or restrained satisfactorily by the vehicle's securement system. If the agency requires securement—or when riders ask to be secured—drivers are to do the best they can to secure wheelchairs with the available securement systems, as explained in [Appendix D](#) to § 37.165.

For more information on securement, see DOT guidance, “[Questions and Answers Concerning Wheelchairs and Bus and Rail Service](#)” (DOT Wheelchair Q&A Guidance).

### 2.4.4 Use of Seat Belts and Shoulder Harnesses

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#### Requirement

*“Seat belt and shoulder harness.* For each wheelchair or mobility aid securement device provided, a passenger seat belt and shoulder harness, complying with all applicable provisions of Part 571 of this title, shall also be provided for use by wheelchair or mobility aid users. Such seat belts and shoulder harnesses shall not be used in lieu of a device which secures the wheelchair or mobility aid itself” ([§ 38.23\(d\)\(7\)](#)).

#### Discussion

Bus and van securement areas must also have a passenger seat belt and shoulder harness. Under the broad nondiscrimination provisions of [§ 37.5](#), a transit agency is not permitted to mandate that individuals using wheelchairs use seat belts and shoulder harnesses, unless the agency mandates the use of these devices by all passengers on the vehicle, including those sitting in vehicle seats. For example, on fixed route buses, if none of the other passengers is required to wear a seat belt and shoulder harness then neither can the person in the mobility device be required to do so.

Transit agencies may establish a policy that requires the seat belt and shoulder harness to be used by all riders, including those who use wheelchairs as well as those who use vehicle seats, if seat belts and shoulder harnesses are provided at all seating locations.

When developing seat-belt-use policies, it must be stressed that [§ 38.23\(d\)\(7\)](#) prohibits the use of the seat belt and shoulder harness in lieu of securing the wheelchair itself. Wheelchairs must be secured separately with a securement system.

Transit agencies can require all riders in complementary paratransit vehicles to use seat belts and/or shoulder harnesses, even if there is not a similar requirement on larger fixed route vehicles. In some cases, state law could require an operator to adopt such a policy based on size/weight of the vehicle. Nevertheless, unless prohibited by state law, FTA encourages transit agencies to have a policy that allows a rider to present documentation demonstrating that using seat belts and shoulder harnesses would pose a health hazard and allow that rider to travel without a seat belt and shoulder harness. Some states have waiver processes for individuals to complete as well, where state law normally requires seat belt use due to the type of vehicle operated.

For more information on seat belts, see [DOT Wheelchair Q&A Guidance](#).

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## 2.4.5 Requesting that Riders Transfer to a Seat

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### Requirement

“The entity may recommend to a user of a wheelchair that the individual transfer to a vehicle seat. The entity may not require the individual to transfer” ([§ 37.165\(e\)](#)).

### Discussion

Transit agencies may recommend to a user of a wheelchair that the individual transfer to a vehicle seat, but § 37.165(e) prohibits requiring the individual to transfer. As [Appendix D](#) to § 37.165 states, “The final decision on whether to transfer is up to the passenger.”

The regulations do not address the opposite scenario of riders wishing to transfer from their wheelchairs into vehicle seats. In these situations, FTA suggests honoring the request, but drivers are not required to lift the person or provide other attendant-type services to facilitate the transfer.

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## 2.4.6 Allowing Standees on Lifts/Ramps

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### Requirement

“The entity shall permit individuals with disabilities who do not use wheelchairs, including standees, to use a vehicle’s lift or ramp to enter the vehicle. *Provided*, that an entity is not required to permit such individuals to use a lift Model 141 manufactured by EEC, Inc. If the entity chooses not to allow such individuals to use such a lift, it shall clearly notify consumers of this fact by signage on the exterior of the vehicle (adjacent to and of equivalent size with the accessibility symbol)” ([§ 37.165\(g\)](#)).

### Discussion

The requirement to allow standees on lifts applies to riders who use canes, crutches, walkers, or other assistive devices. It also includes riders with disabilities who do not use any type of assistive device or who may not have a visible or apparent disability. The [Part 38](#) vehicle specifications require handrails on lifts to facilitate use of lifts by standees.

If riders ask to use lifts or ramps, § 37.165(g) requires drivers to honor such requests. It is not appropriate for drivers to ask riders to disclose their disabilities before being allowed to board as standees. [Appendix D](#) to § 37.165 explains that “standees with disabilities who do not use wheelchairs but have difficulty using steps (*e.g.*, an elderly person who can walk on a level surface without use of a mobility aid but cannot raise his or her legs sufficiently to climb bus steps) must also be permitted to use the lift, on request.” The phrase “on request” is key.

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## 2.5 Assistance by Transit Agency Personnel

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### 2.5.1 Lifts/Ramps and Securement

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#### Requirement

“Where necessary or upon request, the entity’s personnel shall assist individuals with disabilities with the use of securement systems, ramps and lifts. If it is necessary for the personnel to leave their seats to provide this assistance, they shall do so” ([§ 37.165\(f\)](#)).

## Discussion

Required assistance, which can be provided by vehicle operators, conductors, or station attendants, includes acts such as deploying and stowing lifts and ramps, securing riders' wheelchairs, and assisting with seat belts and shoulder harnesses. Section 37.165(f) requires personnel to provide this assistance even if it is otherwise not customary for them to leave their seats.

Personnel may also need to assist riders who use manual wheelchairs on and off lift platforms, or up and down ramps. [Appendix D](#) to § 37.165 gives an example: “On a vehicle which uses a ramp for entry, the driver may have to assist in pushing a manual wheelchair up the ramp (particularly where the ramp slope is relatively steep).” The driver needs to assist an individual with using a ramp, assuming the level of assistance is reasonable and does not constitute a direct threat to the health or safety of the driver. The regulations do not set a minimum or maximum weight for an occupied wheelchair that drivers are obligated to help propel. Transit agencies will need to assess whether a particular level of assistance constitutes a direct threat on a case-by-case basis.

### 2.5.2 Other General Assistance

It is assumed that transit personnel are prepared to provide a reasonable level of assistance to customers with and without disabilities as part of their routine job of serving the public and in the interest of customer service. In the ADA context, personnel are not required to provide “attendant services” and take on the role typically provided by a PCA. The following examples from [Appendix E](#) to Part 37 (Reasonable Modification Requests) (see Circular Section 2.10) provide additional guidance regarding assisting individuals with disabilities:

- *Fare Handling.* A passenger's request for transit personnel (e.g., the driver, station attendant) to handle the fare media when the passenger with a disability cannot pay the fare by the generally established means should be granted on fixed route or paratransit service (e.g., in a situation where a bus passenger cannot reach or insert a fare into the farebox). Transit personnel are not required to reach into pockets or backpacks in order to extract the fare media.
- *Personal Care Attendant (PCA).* While PCAs may travel with a passenger with a disability, transportation agencies are not required to provide a personal care attendant or personal care attendant services to meet the needs of passengers with disabilities on paratransit or fixed route trips. For example, a passenger's request for a transportation entity's driver to remain with the passenger who, due to his or her disability, cannot be left alone without an attendant upon reaching his or her destination may be denied. It would be a fundamental alteration of the driver's function to provide PCA services of this kind.
- *Luggage and Packages.* A passenger's request for a fixed route or paratransit driver to assist with luggage or packages may be denied in those instances where it is not the normal policy or practice of the transportation agency to assist with luggage or packages. Such assistance is a matter for the passenger or PCA, and providing this assistance would be a fundamental alteration of the driver's function.
- *Hand-Carrying.* Except in emergency situations, a passenger's request for a driver to lift the passenger out of his or her mobility device should generally be denied because of the safety, dignity, and privacy issues implicated by hand-carrying a passenger. Hand-carrying a passenger is also a PCA-type service which is outside the scope of driver duties, and hence a fundamental alteration.

## 2.6 Service Animals

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### Requirement

“The entity shall permit service animals to accompany individuals with disabilities in vehicles and facilities” ([§ 37.167\(d\)](#)).

### Discussion

Per [§ 37.3](#), a service animal is:

[A]ny guide dog, signal dog, or other animal individually trained to work or perform tasks for an individual with a disability, including, but not limited to, guiding individuals with impaired vision, alerting individuals with impaired hearing to intruders or sounds, providing minimal protection or rescue work, pulling a wheelchair, or fetching dropped items.

The Department of Justice (DOJ) narrowed the definition of a service animal in amendments to its ADA regulations in 2010,<sup>6</sup> but the DOT ADA regulations were unaffected. Accordingly, public transit providers must follow the DOT definition in § 37.3 when assessing whether to accommodate a particular animal. While most service animals are dogs, DOT’s definition recognizes the possibility of other animals.

Service animals are animals that are “individually trained to work or perform tasks.” This training can be by an organization or by an individual, including the individual with a disability. Transit agencies are not required to transport animals that have not been individually trained to perform specific work or tasks. If an animal’s only function were to provide emotional support or comfort for the rider, for example, that animal would not fall under the regulatory training-based definition of a service animal. Simply providing comfort is something that an animal does passively, by its nature or through the perception of the owner. However, the ADA regulations do not prohibit a transit agency from choosing to accommodate pets and comfort animals, which would be a local decision. (See FTA response to [Complaint 15-0117](#) for an example of how FTA has addressed the issue of defining what constitutes a service animal.)

It is important that local policies and practices recognize that some persons with hidden disabilities do use animals that meet the regulatory definition of a service animal. This would include, for example, animals that are trained to alert individuals with seizure disorders to an oncoming seizure or respond to a seizure and animals that are trained to remind persons with depression to take their medication.

Transit agencies cannot have a policy requiring riders to provide documentation for their service animal before boarding a bus or train or entering a facility, but personnel may ask riders two questions: (1) is the animal a service animal required because of a disability? and (2) what work or task has the animal been trained to perform?

The following guidance also applies to service animals:

- Transit agencies may refuse to transport service animals that are deemed to pose a direct threat to the health or safety of drivers or other riders, create a seriously disruptive atmosphere, or are otherwise not under the rider’s control. For example, a rider with a service dog is responsible for ensuring the dog does not bite the driver or other riders. Conversely, a dog that barks occasionally would likely not be considered out of the owner’s control.

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<sup>6</sup> See DOJ’s [“Frequently Asked Questions about Service Animals and the ADA”](#) (July 20, 2015) for additional guidance on service animals. Transit providers are reminded, however, that the definition of a service animal in this FAQ does not apply to their services and some of the guidance is not applicable to the transit environment.

- A passenger's request that the driver take charge of a service animal may be denied. Caring for a service animal is the responsibility of the passenger or a PCA. (See [Appendix E](#) to Part 37, Example 15.)
- Section 37.167(d) does not prescribe limits on the number of service animals that accompany riders on a single trip. Different service animals may provide different services to a rider during trips or at the rider's destination.
- On complementary paratransit or other demand responsive services, transit agencies may ask riders for notification of their intent to ride with a service animal in order to help ensure adequate space is available for the animal. (An optional good practice is to keep such information in riders' files.)
- Other riders' or agency personnel's allergies to dogs or other animals would not be grounds for denying service to a person accompanied by a service animal. The regulations explicitly state that service animals must be allowed to accompany individuals on vehicles and in facilities. Encountering a service animal in the transit or other environment is an expected part of being in public.

## 2.7 Oxygen Supplies

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### Requirement

"The entity shall not prohibit an individual with a disability from traveling with a respirator or portable oxygen supply, consistent with applicable Department of Transportation rules on the transportation of hazardous materials (49 CFR Subtitle B, chapter 1, subchapter C)" ([§ 37.167\(h\)](#)).

### Discussion

As discussed in [Appendix D](#) to § 37.167, under the DOT hazardous materials rules, a passenger may bring a portable medical oxygen supply on board a vehicle. Specific requirements pertaining to compressed oxygen cylinders can be found in [49 CFR § 177.870\(e\)](#). However, the commonly used portable oxygen concentrators are not considered hazardous materials and do not require the same level of special handling as compressed oxygen cylinders. Transit agencies, therefore, cannot require riders to secure such concentrators in a particular space on the vehicle (e.g., behind forward-facing seats), and § 37.167(h) requires that agencies allow riders to use the concentrators as needed while aboard the vehicle. (See FTA response to [Complaint 09-0057](#) for an example of how FTA addressed a complainant's objection to restrictions on transporting her oxygen supply.)

Questions concerning the transportation of compressed oxygen cylinders should be directed to the [Pipeline and Hazardous Materials Safety Administration](#).

## 2.8 Accessible Information

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### Requirement

"The entity shall make available to individuals with disabilities adequate information concerning transportation services. This obligation includes making adequate communications capacity available, through accessible formats and technology, to enable users to obtain information and schedule service" ([§ 37.167\(f\)](#)).

## Discussion

All public transportation customers need access to adequate information to use a particular service. This requirement obligates transit agencies to ensure that individuals with disabilities also have access to adequate information, including schedules, routes, fares, service rules, and temporary changes. This broad crosscutting requirement applies to all modes. Parts 37, 38, and 39 each contain additional requirements related to information, which are covered elsewhere in this Circular.<sup>7</sup>

Providing information to individuals with sensory, and sometimes mobility and cognitive, disabilities can include the following:

- Providing written information in accessible formats
- Ensuring electronically published materials (e.g., websites) are accessible
- Ensuring alternatives to audio communications are available

### 2.8.1 Accessible Formats

For individuals who are blind or have low vision, accessible formats include, for example, large print, braille, audiotape, and electronic files usable with text-to-speech technology (also known as screen reader technology). As discussed in [Appendix D](#) to § 37.125 on paratransit eligibility, information “does not necessarily need to be made in the format a requester prefers, but it does have to be made available in a format the person can use. There is no use giving a computer disk to someone who does not have a computer, for instance, or a braille document to a person who does not read braille.”

FTA views this Appendix D discussion similarly to other requests for written information in accessible formats. In other words, if an individual requests schedule information on audiotape but can use electronic files (e.g., text files that can be rendered as speech, braille, or large print) with the same information, providing the information in electronic format is acceptable. Or a rider with a visual disability may need route and schedule information for bus service and request that information in audio format. Asking the rider which routes he or she will be using and creating audio files for only those routes rather than creating audio files for the entire set of bus routes is also acceptable if it meets the rider’s needs. FTA encourages agencies to work with individuals who request information to determine the most appropriate alternative formats.

In addition to this general requirement in § 37.167(f) for accessible formats, [§ 37.125\(b\)](#) contains specific format requirements for complementary paratransit materials. (See Circular Section 9.10.1.)

### 2.8.2 Accessible Websites

Transit agency websites are a primary source of information for riders. Having a fully accessible website is one of the best ways to ensure the adequate information required under § 37.167(f) is available to all riders. Website accessibility also reduces the need for an agency to provide alternate formats on a case-by-case basis. While the DOT ADA regulations do not set standards for website accessibility, FTA suggests that agencies review DOJ guidance, “[Accessibility of State and Local Government Websites to People with Disabilities](#),” which also notes general related obligations under the Rehabilitation Act of 1973 (Section 504). For technical guidance on making websites accessible, see the Access Board’s [Section 508 Standards for Electronic and Information Technology](#), which apply to the Federal government and address access to websites and other electronic information by people with physical,

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<sup>7</sup> For example, at rail stations and other passenger facilities, there are signage requirements to indicate accessible routes, accessible entrances, and means of egress, as discussed in Circular Chapter 3. Requirements for announcing stops and identifying routes on fixed route are discussed in Circular Chapter 6.

sensory, or cognitive disabilities. Other helpful information may be found in the [Web Content Accessibility Guidelines](#).

### 2.8.3 Alternatives to Audio Communications

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For individuals who are deaf or hard of hearing, or who have speech impairments, providing accessible information includes offering alternatives to voice telephone communications, such as using (and having appropriate personnel trained to use) the national “711” relay service or other relay services available through states or telecommunications companies. It can also include using dedicated equipment such as telecommunications devices for the deaf (TDDs) or other advanced technologies people with speech or hearing disabilities use. Where telephone communications are a critical part of using transit services (e.g., customer service and information services, or on-call demand responsive or complementary paratransit services), FTA encourages agencies to obtain equipment that makes direct communication possible in addition to having relay services available. As new technologies become available, FTA also encourages agencies to use a variety of these options to accommodate riders with different abilities and personal equipment. For example, as more people adopt new technologies, it remains important to continue to advertise relay service numbers for riders who do not have or cannot use the latest technologies.

Whichever technologies transit agencies use, the training requirements at [§ 37.173](#) obligate them to ensure employees using the technology “are trained to proficiency, as appropriate to their duties,” to operate it. (See Circular Section 2.9.) For TDDs, if used, this means providing proper training to those assigned responsibility for their use, including having familiarity with the particular terminology and shorthand that such device users typically employ. This also means having at least one trained staff person available to make and receive TDD calls during the hours in which the telephone lines are open.

When using public transportation, riders who are deaf or hard of hearing also rely on visual information. The ADA Standards for Transportation Facilities (discussed in Circular Chapter 3) state, “Where public address systems convey audible information to the public, the same or equivalent information shall be provided in a visual format.” (See DOT Standards [Section 810.7](#).)

## 2.9 Personnel Training

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### Requirement

“Each public or private entity which operates a fixed route or demand responsive system shall ensure that personnel are trained to proficiency, as appropriate to their duties, so that they operate vehicles and equipment safely and properly assist and treat individuals with disabilities who use the service in a respectful and courteous way, with appropriate attention to the difference among individuals with disabilities” ([§ 37.173](#)).

### Discussion

[Appendix D](#) to § 37.173 notes the importance of training, stating, “A well-trained workforce is essential in ensuring that the accessibility-related equipment and accommodations required by the ADA actually result in the delivery of good transportation service to individuals with disabilities.” At the same time, the Appendix highlights the importance of local flexibility, stating, “Each transportation provider is to design a training program which suits the needs of its particular operation.”

Training to proficiency means that, once trained, personnel can consistently and reliably operate accessibility features, provide appropriate assistance to individuals with disabilities, and treat riders in a respectful and courteous way.

Rider comments and complaints can be the ultimate tests of proficiency; comments that reveal issues with the provision of service may serve as good indicators that employees are not trained proficiently.

## 2.9.1 Types of Training

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A transit agency must provide training that is appropriate to the duties of each employee. The training must also address both technical tasks and human relations. As [Appendix D](#) to § 37.173 explains,

A paratransit dispatcher probably must know how to use a TDD and enough about various disabilities to know what sort of vehicle to dispatch. A bus driver must know how to operate lifts and securement devices properly. A mechanic who works on lifts must know how to maintain them. Cross-training, while useful in some instances, is not required, so long as each employee is trained to proficiency in what he or she does with respect to service to individuals with disabilities.

The following are examples of personnel training topics that are appropriate to different duties and responsibilities:

- Drivers – Properly operating all accessibility equipment and features; providing appropriate assistance to individuals with disabilities with boarding, alighting, and securement; communicating effectively with individuals with different types of disabilities; making stop announcements and route identification announcements; and positioning the bus so that the lift or ramp can be deployed and used.
- Vehicle mechanics – Maintaining all accessibility equipment on vehicles and keeping maintenance and repair records.
- Customer service agents, designated employees for responding to complaints, and call-takers – Communicating effectively with individuals with different types of disabilities; explaining the complaint-resolution process; and providing service information (e.g., routes, schedules, and fares) with special attention to the needs of individuals with disabilities.
- Vehicle dispatchers – Understanding all operating policies and procedures to effectively and properly assign and route vehicles, assisting drivers on issues that arise pertaining to accessible service, and communicating effectively with individuals with different types of disabilities.
- Managers and supervisors – Understanding all operating policies and procedures and supervising employees to ensure they provide proper and consistent levels of service to individuals with disabilities.

While cross-training is not required, an optional good practice is to train all employees in the agency's basic accessibility policies and procedures adopted in accordance with the Part 37 requirements.

## 2.9.2 Other Considerations

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### Involving Individuals with Disabilities

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As [Appendix D](#) to § 37.173 notes, “One of the best sources of information on how best to train personnel to interact appropriately with individuals with disabilities is the disability community itself.” FTA encourages transit agencies to collaborate with local disability organizations for assistance with employee training. Involving individuals with disabilities in agency training programs helps to demonstrate appropriate types of assistance and provides a forum for discussion of what does and does not work in practice.

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## Refresher Training

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The DOT ADA regulations do not specify how often personnel must receive training. [Appendix D](#) to § 37.173 states:

While there is no specific requirement for recurrent or refresher training, there is an obligation to ensure that, at any given time, employees are trained to proficiency. An employee who has forgotten what he was told in past training sessions, so that he or she does not know what needs to be done to serve individuals with disabilities, does not meet the standard of being trained to proficiency.

In addition to the initial job training, FTA recommends that agencies provide regular refresher training for all appropriate employees to ensure the requirements of § 37.173 are being met. Such training typically focuses on any recently raised issues from riders or employees, along with any new agency policies and procedures. Drivers and maintenance staff, in particular, benefit from refresher training after an agency procures new vehicles with different accessibility features (e.g., a switch from lift-equipped to low-floor, ramp-equipped buses). Effective refresher-training programs are not presented as punitive (i.e., solely in response to poor performance) but help to reinforce the agency’s mission of serving the travel needs of all riders. When an agency’s monitoring of service reveals specific issues, an optional good practice is to provide targeted refresher training to address such issues.

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## 2.10 Reasonable Modification of Policy

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### 2.10.1 Background

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#### Requirement

“Public entities that provide designated public transportation shall make reasonable modifications in policies, practices, or procedures when the modifications are necessary to avoid discrimination on the basis of disability or to provide program accessibility to their services, subject to the limitations of § 37.169(c)(1)–(3). This requirement applies to the means public entities use to meet their obligations under all provisions of this part” ([§37.5\(i\)\(3\)](#)).

#### Discussion

In 2015, DOT amended its ADA regulations by issuing the final rule on Reasonable Modification of Policies and Practices.<sup>8</sup> As stated in the final rule’s [preamble](#), reasonable modification means that “the nature of an individual’s disability cannot preclude a public transportation entity from providing full access to the entity’s service unless some exception applies.”

Reasonable modification is often best illustrated with examples. Consider a transit agency with a policy of only stopping buses at designated bus stops. As explained in the preamble, this policy would be modified for “an individual using a wheelchair who needs to access the bus even though sidewalk construction or snow prevents the individual from boarding the bus from the bus stop.” In this case, “the operator of the bus will need to slightly adjust the boarding location so that the individual using a wheelchair may board from an accessible location.” [Appendix E](#) to Part 37 contains 27 scenarios and provides guidance as to whether a particular passenger request should be granted or denied consistent with the final rule.

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<sup>8</sup> DOT Final Rule, “Transportation for Individuals With Disabilities; Reasonable Modification of Policies and Practices”; *Federal Register*, vol. 80, no. 49 (80 FR 13253, Mar. 13, 2015).

As part of the final rule, § 37.169 was added to Part 37. As stated in the preamble, “[§ 37.169 covers] the reasonable modification obligations of public entities providing designated public transportation, including fixed route, demand-responsive, and complementary paratransit service. The key requirement of [§ 37.169] is that these types of transportation entities implement their own processes for making decisions on and providing reasonable modifications to their policies and practices.”

## 2.10.2 Responding to Reasonable Modification Requests

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### Requirement

“(1) A public entity providing designated public transportation, in meeting the reasonable modification requirement of § 37.5(i)(3) with respect to its fixed route, demand responsive, and complementary paratransit services, shall respond to requests for reasonable modification to policies and practices consistent with this section.

(2) The public entity shall make information about how to contact the public entity to make requests for reasonable modifications readily available to the public through the same means it uses to inform the public about its policies and practices.

(3) This process shall be in operation no later than July 13, 2015” ([§ 37.169\(a\)](#)).

“The process shall provide a means, accessible to and usable by individuals with disabilities, to request a modification in the entity’s policies and practices applicable to its transportation services.

(1) Individuals requesting modifications shall describe what they need in order to use the service.

(2) Individuals requesting modifications are not required to use the term ‘reasonable modification’ when making a request.

(3) Whenever feasible, requests for modifications shall be made and determined in advance, before the transportation provider is expected to provide the modified service, for example, during the paratransit eligibility process, through customer service inquiries, or through the entity’s complaint process.

(4) Where a request for modification cannot practicably be made and determined in advance (*e.g.*, because of a condition or barrier at the destination of a paratransit or fixed route trip of which the individual with a disability was unaware until arriving), operating personnel of the entity shall make a determination of whether the modification should be provided at the time of the request. Operating personnel may consult with the entity’s management before making a determination to grant or deny the request” ([§ 37.169\(b\)](#)).

### Discussion

Section 37.169(a)(1) requires transit agencies to respond to requests for reasonable modification of policies and practices, and § 37.169(a)(2) requires agencies to make information about the process for requesting reasonable modifications readily available to the public. When making this information available to the public, a transit agency must use the same means it uses to inform the general public about its policies and procedures. For example, if an agency uses printed media and a website to inform customers about bus and complementary paratransit services, then it must use these means to inform people about the reasonable modification process. As stated in the [preamble](#), “like all communications, this information must be provided by means accessible to individuals with disabilities.”

Section 37.169(b) requires transit agencies to provide an accessible means by which individuals with disabilities can request a reasonable modification. Section 37.169(b)(1)–(2) explains that individuals requesting modifications only need to describe what they need in order to use the service and do not need to use the term “reasonable modification” to validly request such a modification.

Section 37.169(b)(3) encourages individuals requiring a reasonable modification to make their requests, and that the agency make the necessary determinations, in advance of the need for the modified service, whenever feasible. This is particularly appropriate where a permanent or long-term condition or barrier is the basis for the request (e.g., difficulty in access to a complementary paratransit vehicle from the passenger's residence, the need to occasionally eat a snack on a rail car to maintain a diabetic's blood sugar levels, or lack of an accessible path of travel to a designated bus stop due to sidewalk or road construction, resulting in a request to have the bus stop a short distance from the bus stop location).

The rule does not require that agencies establish a separate process for handling reasonable modification requests; procedures already in place may suffice. As stated in the [preamble](#), "In many cases, agencies are handling requests for modifications during the paratransit eligibility process, customer service inquiries, and through the long-existing requirement in the Department's Section 504 rule for a complaint process. Entities will need to review existing procedures and conform them to the new rule as needed."

Section § 37.169(b)(4) makes provisions for situations in which an advance request and determination are not feasible. In those situations, operating personnel are to make the determination of whether the modification should be provided at the time of the request. These situations are sometimes more difficult to handle than advance requests, but responding to them is necessary.

### 2.10.3 Exceptions to Granting Reasonable Modification Requests

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#### Requirement

"Requests for modification of a public entity's policies and practices may be denied only on one or more of the following grounds:

- (1) Granting the request would fundamentally alter the nature of the entity's services, programs, or activities;
- (2) Granting the request would create a direct threat to the health or safety of others;
- (3) Without the requested modification, the individual with a disability is able to fully use the entity's services, programs, or activities for their intended purpose" ([§ 37.169\(c\)](#)).

"In determining whether to grant a requested modification, public entities shall be guided by the provisions of Appendix E to this part" ([§ 37.169\(d\)](#)).

"In any case in which a public entity denies a request for a reasonable modification, the entity shall take, to the maximum extent possible, any other actions (that would not result in a direct threat or fundamental alteration) to ensure that the individual with a disability receives the services or benefit provided by the entity" ([§ 37.169\(e\)](#)).

Part 27, which is applicable only to agencies that receive Federal funding, states:

"Reasonable accommodations. A recipient shall make reasonable accommodations in policies, practices, or procedures when such accommodations are necessary to avoid discrimination on the basis of disability unless the recipient can demonstrate that making the accommodations would fundamentally alter the nature of the service, program, or activity or result in an undue financial and administrative burden. For the purposes of this section, the term reasonable accommodation shall be interpreted in a manner consistent with the term 'reasonable modifications' as set forth in the Americans with Disabilities Act Title II regulations at 28 CFR 35.130(b)(7), and not as it is defined or interpreted for the purposes of employment discrimination under Title I of the ADA (42 U.S.C. 12111–12112) and its implementing regulations at 29 CFR Part 1630" ([§ 27.7\(e\)](#)).

## Discussion

Section 37.169(c) states three grounds on which a transportation provider may deny a requested modification, which apply to both advance requests and on-the-spot requests. Section 27.7(e) adds a fourth exception involving undue financial and administrative burden. The grounds are:

- Granting the request for a modification would *fundamentally alter* the provider's services (e.g., a request for a dedicated vehicle in paratransit service, a request for a fixed route bus to deviate from its normal route to pick up someone) (§ 37.169(c)(1)).
- Granting the request for a modification would *create a direct threat* to the health or safety of others (e.g., a request that would require a driver to engage in a highly hazardous activity in order to assist a passenger, such as having to park a vehicle for a prolonged period of time in a no parking zone on a high-speed, high-volume highway that would expose the vehicle to a heightened probability of being involved in a crash) (§ 37.169(c)(2)).
- The requested modification *would not be necessary* to allow the passenger to fully use the entity's services, programs, or activities for their intended purpose (e.g., the modification might make transportation more convenient for the passenger, who could nevertheless use the service successfully to get where he or she is going without the modification) (§ 37.169(c)(3)).
- For FTA recipients, a request may also be denied if it would *create an undue financial or administrative burden* (§ 27.7(e)).

[Appendix E](#) to Part 37 provides additional examples of requested modifications that transportation providers usually would not be required to grant for one or more of the above-stated reasons.

Section 37.169(e) requires a transportation provider that has a sound basis for denying a reasonable modification request under the above-stated grounds to do what it can to enable the requester to receive the services and benefits it provides (e.g., a different work-around to avoid an obstacle to transportation from the one requested by the passenger).

## 2.11 Written Policies and Procedures

FTA encourages transit agencies to implement and update written policies and procedures for operations in accordance with the various parts of the regulations. This includes, for example, written policies and procedures consistent with the Part 37 [Subpart A](#) general nondiscrimination requirements and the Part 37 [Subpart G](#) provision of service requirements.

Written policies and procedures help ensure consistency in operations. They also help employees make objective (i.e., not arbitrary) decisions, which can help avoid unintentional discrimination. As noted above, training employees to proficiency in proper implementation of formal operating policies and procedures is paramount.

FTA also encourages transit agencies to involve individuals with disabilities in developing appropriate policies and procedures for meeting regulatory requirements.

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## Chapter 3 – Transportation Facilities

### 3.1 Introduction

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This chapter explains the U.S. Department of Transportation (DOT) Americans with Disabilities Act (ADA) requirements for transportation facilities with particular emphasis on the requirements for new construction and alterations. It also highlights common issues that FTA has identified in oversight reviews. As defined in [49 CFR § 37.3](#), a facility is “all or any portion of buildings, structures, sites, complexes, equipment, roads, walks, passageways, parking lots, or other real or personal property, including the site where the building, property, structure, or equipment is located.”

This Circular does not alter, amend, supersede, or otherwise affect the DOT ADA regulations themselves or replace the need for readers to reference the detailed information in the regulations. FTA recommendations and examples of optional practices are included throughout the Circular and do not represent requirements. FTA recognizes there are many different ways agencies can implement the regulatory requirements and ensure the delivery of compliant service. FTA encourages transit agencies to engage riders with disabilities when making decisions about local transit service.

#### 3.1.1 ADAAG and DOT Standards for Facilities

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##### Requirement

“For purposes of [Part 37], a transportation facility shall be considered to be readily accessible to and usable by individuals with disabilities if it meets the requirements of [Part 37] and the requirements set forth in Appendices B and D to 36 CFR Part 1191, which apply to buildings and facilities covered by the Americans with Disabilities Act, as modified by Appendix A to [Part 37]” ([§ 37.9\(a\)](#)).

“Facility alterations begun before January 26, 1992, in a good faith effort to make a facility accessible to individuals with disabilities may be used to meet the key station requirements set forth in §§ 37.47 and 37.51 of [Part 37], even if these alterations are not consistent with the requirements set forth in Appendices B and D to 36 CFR Part 1191 and Appendix A to [Part 37], if the modifications complied with the Uniform Federal Accessibility Standards (UFAS) or ANSI A117.1 (1980) (American National Standards Specification for Making Buildings and Facilities Accessible to and Usable by the Physically Handicapped). This paragraph applies only to alterations of individual elements and spaces and only to the extent that provisions covering those elements or spaces are contained in UFAS or ANSI A117.1, as applicable” ([§ 37.9\(b\)](#)).

“(1) New construction or alterations of buildings or facilities on which construction has begun, or all approvals for final design have been received, before November 29, 2006, are not required to be consistent with the requirements set forth in Appendices B and D to 36 CFR Part 1191 and Appendix A to [Part 37], if the construction or alterations comply with the former Appendix A to [Part 37], as codified in the October 1, 2006, edition of the Code of Federal Regulations.

(2) Existing buildings and facilities that are not altered after November 29, 2006, and which comply with the former Appendix A to [Part 37], are not required to be retrofitted to comply with the requirements set forth in Appendices B and D to 36 CFR Part 1191 and Appendix A to [Part 37]” (§ 37.9(c)).<sup>1</sup>

## Discussion

Under the ADA, the U.S. Architectural and Transportation Barriers Compliance Board (Access Board) is responsible for creating design guidelines for the accessibility of facilities and vehicles subject to ADA requirements. These guidelines form the basis for enforceable standards incorporated by other Federal agencies, including DOT, into their ADA regulations.

The Access Board issued its original ADA Accessibility Guidelines (ADAAG) in 1991 and, on the same day, DOT met its obligation to implement the ADA regulations through verbatim incorporation of ADAAG in Appendix A to Part 37. In 2004, the Access Board issued a major revision to ADAAG after an extensive notice and comment period.<sup>2</sup> In addition, the Access Board issued technical amendments to the revised guidelines.

In 2006, DOT issued a [final rule](#) adopting the Access Board’s 2004 revisions and subsequent technical amendments to ADAAG into Part 37 as standards. DOT made four additions or modifications to the Access Board’s version:

- Location of accessible routes ([Section 206.3](#)) – DOT retained an existing requirement that important elements of transportation facilities (ramps, elevators, or other circulation devices; fare vending or other ticketing areas; and fare collection areas) be located to minimize the distance that individuals with disabilities must travel to use them. This strengthens the concept that accessible routes coincide with or be located in the same general area as general circulation paths. This includes, for example, not locating elevators at the opposite end of a platform from stairways that provide a shorter route to the boarding areas.
- Detectable warning on curb ramps ([Section 406.8](#)) – DOT retained the requirement for detectable warnings on curb ramps.
- Bus boarding and alighting areas ([Section 810.2.2](#)) – This section retained an existing provision that the requirements for bus boarding and alighting areas apply “to the extent that construction specifications are within [the] control” of public entities; compliance is required to the greatest extent feasible.
- Rail station platforms ([Section 810.5.3](#)) – This section requires low-level platforms to be constructed at 8 inches above top of rail unless vehicles are boarded from sidewalks or at street level.

The requirements located in [Appendices B and D to 36 CFR Part 1191](#)<sup>3</sup> and in [Appendix A to Part 37](#) are together henceforth referred to as the ADA Standards for Transportation Facilities (DOT Standards). The DOT Standards, which are different from the Department of Justice’s 2010 standards, contain the requirements that apply to transportation facilities.<sup>4</sup>

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<sup>1</sup> See Circular Chapter 5 for a discussion of [§ 37.9\(d\)](#) (equivalent facilitation) related to transportation facilities.

<sup>2</sup> Because this revision also updated the standards under the Architectural Barriers Act of 1968, the new guidelines are technically known as the “ADA-ABA AG” or the “updated ADAAG.”

<sup>3</sup> Appendices B and D to 36 CFR Part 1191 constitute the ADA-ABA Accessibility Guidelines issued by the Access Board, upon which the DOT Standards are based.

<sup>4</sup> See FTA’s [“Requirements to Remember for ADA Compliance in Construction Projects”](#) for an overview of the applicability of the DOT Standards and regulations relevant to new construction and alterations.

Existing facilities built under and compliant with the original ADAAG do not have to be retrofitted to comply with the DOT Standards.<sup>5</sup> (See Circular Section 3.4.)

### 3.1.2 Transit Agency Jurisdiction

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Part 37 [Subpart C](#) obligates public entities to follow the [DOT Standards](#) when constructing new transportation facilities and when altering existing ones. Subpart C also obligates these entities to operate their transportation facilities in a manner that, when viewed in their entirety, are accessible to and usable by individuals with disabilities.

Transit facilities constructed or controlled by one entity often are used by others, or connect to transit facilities or services operated by another entity. For example, a bus transfer center may be constructed by a municipality for use by the operator of the bus system, with a connection to a commuter rail station beneath. In such cases, entities are encouraged to coordinate closely with each other, especially during the design and construction or alteration of transportation facilities, to ensure accessibility to the maximum extent possible.

#### Coordination with Other Entities

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Despite these jurisdictional challenges, when transit agencies undertake construction or alteration projects involving their own facilities, FTA encourages them to engage with other entities that control facility elements individuals with disabilities use or would use to access the transportation facility. It is to the transit agency's advantage to document such coordination efforts, in the event that questions arise as to which party is responsible for what elements.

The goal of such coordination efforts is to make sure that all entities involved with a transportation facility are working together to make the facility accessible. Construction projects often provide an opportunity that transit agencies can use to address accessibility issues by encouraging entities controlling adjacent facilities to participate in the project. This might include advising a municipality that controls sidewalks adjacent to a new rail station of identified barriers such as missing or noncompliant curb ramps. Where coordination cannot be obtained, transit agencies are encouraged to contact the FTA Office of Civil Rights. In these situations, FTA may be able to facilitate coordination in consultation with the Federal Railroad Administration (FRA), Federal Highway Administration (FHWA), or other counterparts.

#### Shared Intercity (Amtrak) and Commuter Rail Stations

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[Appendix D](#) to § 37.49 explains coordination requirements for shared Amtrak and commuter rail stations:

[Section 37.49] sets forth a mechanism for determining who bears the legal and financial responsibility for accessibility modifications to a commuter and/or intercity rail station. The final provision of the section is the most important. It authorizes all concerned parties to come to their own agreement concerning the allocation of responsibility. Such an agreement can allocate responsibility in any way acceptable to the parties. [DOT] strongly encourages parties to come to such an agreement.

Importantly, in the absence of such an agreement, the statute and regulations allocate responsibility. [Section 37.49\(b\)](#) provides that if a public entity (such as a public transit system) owns more than 50 percent of a rail facility that is used by both commuter and intercity rail, then the public entity is

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<sup>5</sup> DOT crafted language in [§ 37.9\(c\)\(1\)](#) to address projects, either new construction or alteration of an existing facility, underway in 2006. For projects already in progress (i.e., actual construction had already begun or the final design had received all necessary approvals) before November 29, 2006, original ADAAG applies.

responsible for making it accessible. If, however, a private entity owns more than 50 percent of such a rail facility, Amtrak and the operator of commuter rail share responsibility for making it accessible. (See [§ 37.49\(c\)](#).)

As discussed in Circular Chapter 1, private transportation providers' services are under Department of Justice (DOJ) jurisdiction, and Amtrak's services are under Federal Railroad Administration (FRA) and DOJ jurisdiction. Consistent with FRA policy, construction of new facilities or modifications to existing facilities owned by or shared with Amtrak require review and approval by FTA and FRA. Transit agencies constructing new commuter rail stations or making alterations to existing commuter rail stations are encouraged to coordinate their efforts with FTA and FRA early in the planning process.

### 3.1.3 Bus Stops

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[Section 810.2](#) of the DOT Standards applies to construction, alteration, or relocation of bus stops. This means, where practicable, siting bus stops at locations that will permit construction of a boarding and alighting area that complies with Section 810.2, which covers elements such as surface, dimensions, connections, and slope. Section 810.2 also requires:

- New, altered, or relocated bus stops must have a firm, stable surface and must provide a clear length of 96 inches (2,440 mm), measured perpendicular to the curb or vehicle roadway edge, and a clear width of 60 inches (1,525 mm), measured parallel to the vehicle roadway.
- Bus stops must also connect via an accessible route to streets, sidewalks, or pedestrian paths.
- The slope of the bus boarding and alighting area in the direction parallel to the roadway must be the same as that of the roadway to the maximum extent practicable. Perpendicular to the roadway, the slope must not exceed 1:48, that is, not more than 1 inch of rise over a horizontal distance of 48 inches.

As noted above, these requirements apply to the extent that construction specifications are within the control of public entities; compliance is required to the maximum extent practicable. If a transit agency does not own the right-of-way, but another public entity does own it, FTA encourages the transit agency to work with the public entity to come to an arrangement where a bus boarding and alighting area that complies with Section 810.2 to the maximum extent practicable is provided.

[Section 209.2.3](#) of the DOT Standards provides that bus stops located on streets without sidewalks are subject to the same Section 810.2 requirements to the maximum extent practicable. In these cases, this means constructing or locating bus stops with connections via an accessible route to the public right-of-way; if the only public right-of-way is a roadway, this means providing connections to the roadway.

#### Providing Accessible Routes to Bus Stops

While sidewalks and other features of pedestrian rights-of-way are often outside a transit agency's jurisdiction, an accessible pathway to a bus stop is nevertheless an essential element of overall accessible fixed route service. A lift-equipped bus or a bus stop with a level pad of the proper dimensions serves little value to an individual with a disability if the individual cannot reach the bus stop (to board a bus) or cannot travel beyond the bus stop (after alighting from a bus). An individual with a disability who could otherwise ride an accessible bus but cannot reach the bus stop due to the lack of an accessible route would be eligible for complementary paratransit, at least on a conditional basis. (See Circular Section 9.2.) FTA encourages transit agencies to inventory the location of their bus stops in relation to accessible pedestrian routes, and coordinate with owners of public rights-of-way (e.g., local municipalities) to help ensure connections to stops are as accessible as possible.

### Bus Shelters

Transit agencies usually have control over bus shelters. [Section 810.3](#) of the DOT Standards specifies that the minimum clear floor or ground space (as set forth in [Section 305](#)) must be entirely within the shelter to accommodate individuals using wheelchairs and must be connected to an accessible route that complies with [Section 402](#) to the boarding and alighting area.

### 3.1.4 BRT Facilities

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Bus facilities such as transfer stations and bus rapid transit (BRT) stations often employ “platforms” from which passengers board. Such “platforms” are subject to the requirements for bus stop boarding and alighting areas in [Section 810.2](#) of the DOT Standards. Where a facility provides multiple “platforms,” each must comply with these requirements.

## 3.2 Common Issues in Applying the DOT Standards

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The DOT Standards contain extensive requirements for scoping, access, parking, passenger and bus loading, path of travel to and within facilities, signage and communication, telephones and fare vending, and emergency egress and places of refuge. Part 37 Subpart C requires transit agencies to follow the DOT Standards when embarking upon any new construction or alteration projects. While the DOT Standards cover many topics, to help guide agencies in complying with the DOT Standards, this section presents information on the following commonly misapplied or misinterpreted elements of the DOT Standards:

- Number and location of accessible station parking spaces
- Access aisles for passenger loading zones
- Curb ramps
- Track crossings
- Station platforms

### 3.2.1 Common Issues with Station Parking

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Two common errors with respect to meeting station parking requirements are related to the number of accessible parking spaces and the proper location when more than one parking facility serves a station. Figure 3-1 illustrates both of these issues.

#### Number of Accessible Spaces

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Correctly computing the number of accessible parking spaces can be challenging. [Section 208.2](#) of the DOT Standards requires the use of [Table 208.2](#) to calculate the number of accessible spaces for a station parking facility. If multiple parking facilities serve a station, public entities are required to separately calculate the requirements for each parking facility. As illustrated in Figure 3-1, two parking lots and one parking garage together provide 2,295 spaces for a hypothetical station. To calculate the number of accessible spaces required, the table must be applied to each lot and the parking garage, and then the numbers of accessible spaces required for each are added together. Using Table 208.2, five accessible spaces are required for Lot 1, 11 accessible spaces are required for Lot 2, and 27 accessible spaces are required for the garage, for a total of 43 accessible spaces. If the accessible space requirements were computed based on the total parking supply (2,295 spaces), it would incorrectly yield 33 accessible parking spaces, 10 fewer spaces than required.

## Location of Accessible Spaces

Another challenge is ensuring accessible spaces are in the proper location. [Section 208.2](#) of the DOT Standards requires accessible parking spaces to be located on the shortest route to one or more accessible station entrances. Generally, if parking is located near more than one accessible station entrance, this means allocating accessible spaces to each accessible entrance. [Section 206.3](#) of the DOT Standards requires the accessible route to coincide with or be located in the same area as general circulation paths. In Figure 3-1, for example, better accessibility might result from locating the accessible parking for Lot 1 and the parking garage together in the parking garage, as it is located closer to the upper-level accessible platform entrance and under cover for weather, while locating the accessible spaces for Lot 2 within Lot 2 due to roadway access patterns.

In stations with multiple accessible entrances, an optional good practice is to consult riders with disabilities on where best to locate accessible parking, taking into account roadway access patterns, local climate, signage needs, and ease of circulation within parking facilities.

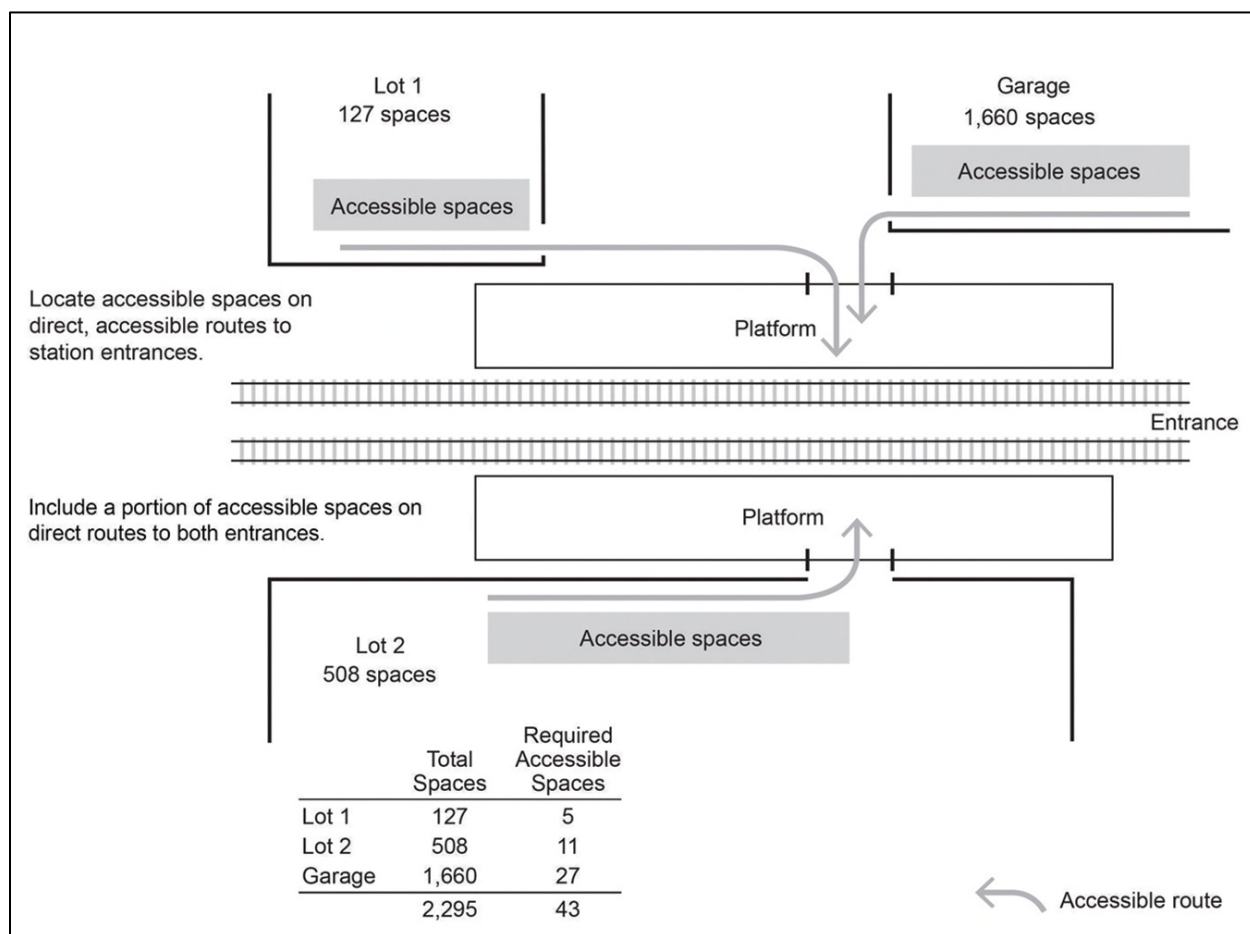


Figure 3-1 – Location and Number of Accessible Parking Spaces

### 3.2.2 Common Issues with Passenger Loading Zones

At stations with designated passenger loading zones, these zones require at least one passenger loading zone complying with DOT Standards [Section 503](#) in every continuous 100 linear feet (30 m) of loading zone space, or fraction thereof. An exception applies for passenger loading zones required to comply with

[Section 209.2.2](#) (Bus Loading Zones) and [Section 209.2.3](#) (On-Street Bus Stops). A common mistake is to simply designate a portion of curb as accessible without providing the required clearly marked 60-inch wide access aisle at the same level as the vehicle pull-up space. The DOT Standards do not permit changes in level between the access aisle and the vertical pull-up space, and they require the access aisle to be the full length of the vehicle pull-up space and on an accessible route to the facility entrance. (See [Section 503.4](#).) (See [Figure 3-2](#).)

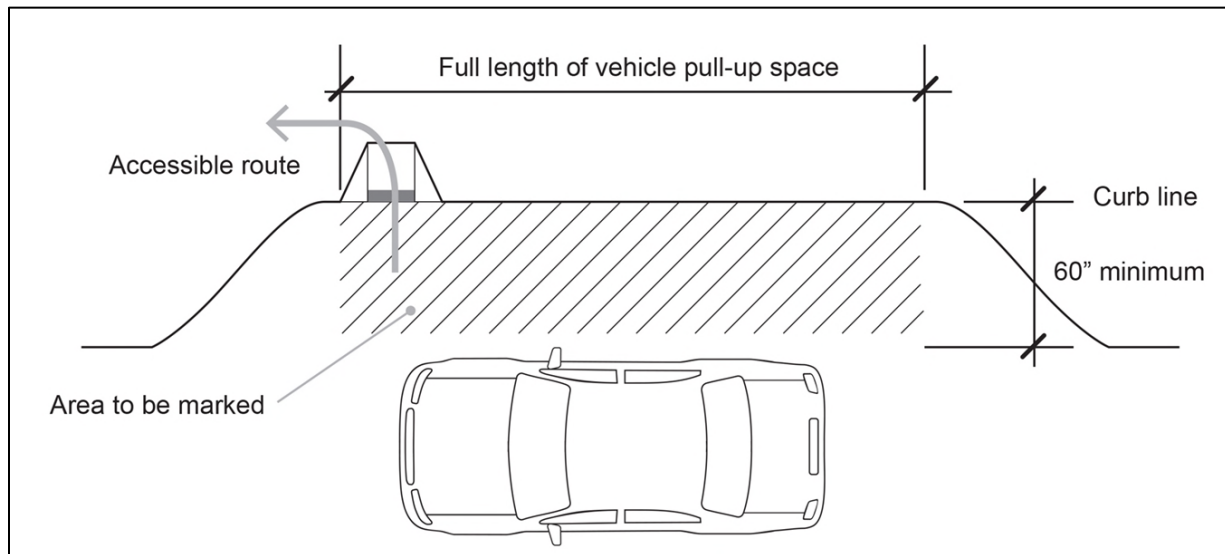


Figure 3-2 – Required Dimensions for Passenger Loading Zones and Access Aisle

### 3.2.3 Common Issues with Curb Ramps

The DOT Standards contain detailed requirements for curb ramps in [Section 406](#). Many issues with curb ramps result from construction practices that do not adhere to design specifications, particularly landings that are not level because of field conditions. Additional common deficiencies include top landings that are too small, ramps that are too steep, and counter slopes that are too steep. For example, if a counter slope to a curb ramp exceeds 5 percent (i.e., steeper than 1:20), this can cause a wheelchair to tip forward or flip over backwards. Other deficiencies commonly seen are vertical changes in level at the transition between the bottom of curb ramps and the roadway.

Another common deficiency is missing detectable warnings required by [Section 406.8](#). [Section 705](#) requires detectable warnings to be 24 inches deep measured from the back of the curb, to extend the full width of the curb ramp, to visually contrast with adjacent surfaces (either light-on-dark or dark-on-light), and to have a pattern of truncated domes that conform to [Section 705](#) specifications.<sup>6</sup> [Figure 3-3](#) illustrates the requirements for curb ramps as well as these common deficiencies.

Careful monitoring during construction is important to ensure compliance. An optional good practice is to include provisions in construction documents specifying the [Section 406](#) requirements (including detectable warnings) rather than simply directing contractors to construct ADA-compliant curb ramps.

<sup>6</sup> For additional guidance on curb ramps, see FHWA's [ADA/Section 504 website](#), which includes documents such as "Designing Sidewalks and Trails for Access."

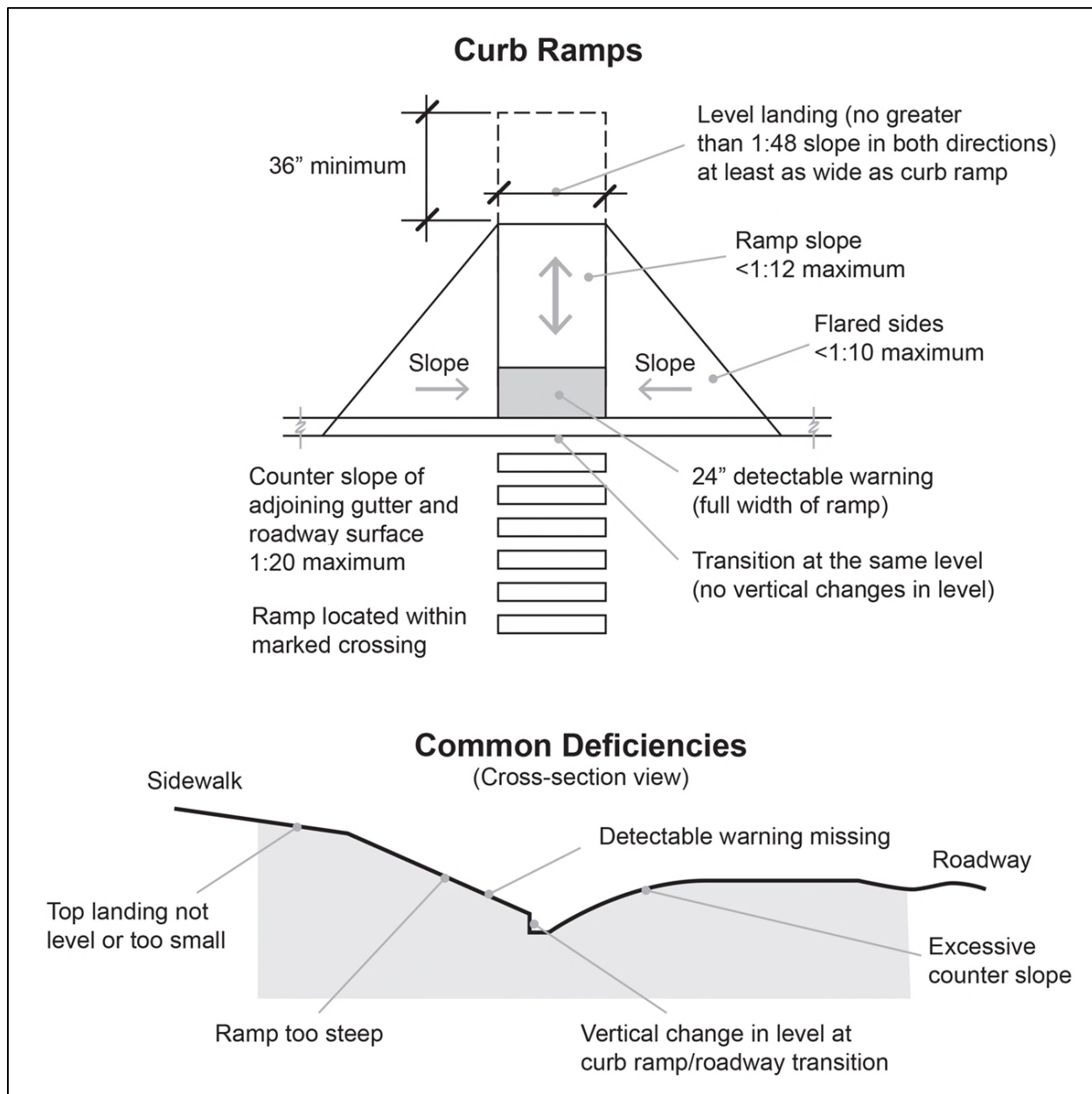


Figure 3-3 – Curb Ramp Requirements and Common Deficiencies

### 3.2.4 Common Issues with Track Crossings

The DOT Standards contain detailed requirements for track crossings in [Section 810.10](#). At rail stations where an accessible route to boarding platforms crosses tracks, the DOT Standards require the route to meet the [Section 402](#) accessible route requirements, with an exception that openings for wheel flanges are permitted to be a maximum of 2.5 inches wide. As part of an accessible route, the track crossing cannot have level changes greater than 1/4 inch vertical plus 1/4 inch if beveled at a 1:2 angle. (See [Section 303](#).) Thus, if the top of rail has beveled edges, it can extend up to 1/2 inch above the surface on either side of the flange gap, but the least possible level change is preferable. (See Figure 3-4.)

A common issue occurs when flangeway gaps exceed 2.5 inches. This can cause mobility devices to become caught or stopped within a track crossing, which is a critical safety consideration. In Part 37, [§ 37.161](#) requires that accessibility features be maintained in operative condition, and this includes track crossings. (See Circular Section 2.3.2.) Track crossings require regular maintenance because bituminous concrete (asphalt) may form raised ridges at the tracks or concrete pads between the tracks may shift. In such instances where the requirement for a maximum 2.5-inch gap cannot be met or maintained, other means of crossing the track may need to be explored.

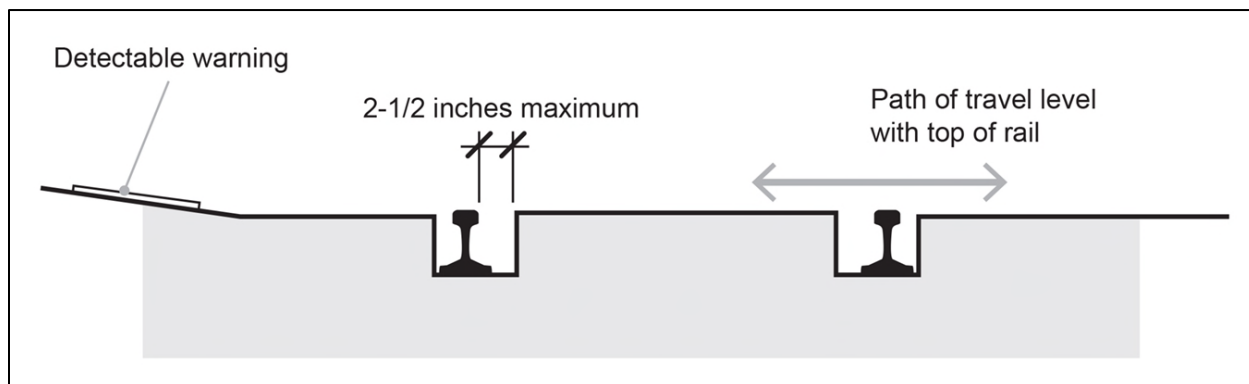


Figure 3-4 – Track Crossing Cross-Section

### 3.2.5 Common Issues with Station Platforms

The following discussion includes several common issues with station platforms:

- Detectable warnings
- Station name signage
- Directions to accessible means of egress

#### Detectable Warnings

Detectable warnings covered in [Section 705](#) of the DOT Standards specify requirements for truncated domes, including size, spacing, and contrast, as well as the dimensional requirements along platform edges. [Section 810.5.2](#) specifies requirements for platform boarding edges not protected by platform screens. A commonly misunderstood element of these requirements is that the orientation of the dome pattern is not part of the requirement; the detectable warnings are commonly aligned at 90 degrees to the platform edge but other orientations such as 45 degrees are also acceptable.

#### Station Name Signage

The DOT Standards contain detailed requirements for station name signs on platforms. The DOT Standards require signs to be visible so that riders can identify the station from within a train and know whether or not to get off the train. The DOT Standards require station names to be clearly visible and within the sight lines of standing and sitting riders from within the vehicle on both sides when not obstructed by another vehicle. (See [Section 810.6.3](#).) The DOT Standards also require text on signs to be sized to be legible at the distance from which train riders will view it. (See [Section 703.5](#).)

At stations with center platforms, a common issue is the lack of adequate station name signs opposite the platform. Signs must be clearly visible and within the sight lines of standing and sitting passengers from within the vehicle on both sides when not obstructed by another vehicle.

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## Directions to Accessible Means of Egress

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The DOT Standards require signs for navigating stations. In stations where some, but not all means of egress from platforms are accessible, signs are required on station platforms to direct people to the accessible means of egress. For example, in stations with stairs at one end of the platform and an accessible means of egress at the other end of the platform, clear directional signs are essential. (See [Section 216.4.3](#).) Such signs are also required to direct people along the accessible path to areas of refuge. (See Section 216.4.2.)

Signage is also required to provide direction to accessible emergency exits and areas of refuge (fire-resistance rated and smoke-protected areas where those unable to use stairs can register a call for evacuation assistance and await instructions or assistance). (See Section 216.4.2.) The International Building Code (IBC), which is incorporated by reference into the DOT Standards, requires that signs providing directions to accessible means of egress be placed at elevators serving accessible spaces and those exits that do not provide an accessible means of egress. These signs must meet requirements for visual signs in the DOT Standards (see Sections 216.3 and 216.4.3), as must any other directional egress signs provided, including egress route maps.

Doors at exit stairways, exit passageways, and exit discharge must be identified by tactile signs that include both raised characters and braille and meet the specified visual criteria. (See Section 216.4.1.)

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## 3.3 New Construction of Transportation Facilities

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### 3.3.1 Overview

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#### Requirement

“A public entity shall construct any new facility to be used in providing designated public transportation services so that the facility is readily accessible to and usable by individuals with disabilities, including individuals who use wheelchairs. This requirement also applies to the construction of a new station for use in intercity or commuter rail transportation. For purposes of this section, a facility or station is ‘new’ if its construction begins (i.e., issuance of notice to proceed) after January 25, 1992, or, in the case of intercity or commuter rail stations, after October 7, 1991” ([§ 37.41\(a\)](#)).

#### Discussion

For new facilities that public entities construct, this requirement obligates them to comply with the DOT Standards. In addition to new stations for use in public transit and intercity or commuter rail transportation, this requirement also applies to other types of facilities, such as bus boarding areas and intermodal centers. The DOT Standards contain detailed requirements for all elements of a facility. Attachment 3-1 contains an optional facilities checklist to facilitate the review of design and construction of new transportation facilities. This optional checklist is also helpful for reviewing elements of facility alterations. (See Circular Section 3.4.)

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### 3.3.2 Structural Impracticability

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#### Requirement

“(1) Full compliance with the requirements [for new construction] is not required where an entity can demonstrate that it is structurally impracticable to meet the requirements. Full compliance will be

considered structurally impracticable only in those rare circumstances when the unique characteristics of terrain prevent the incorporation of accessibility features.

(2) If full compliance with this section would be structurally impracticable, compliance with this section is required to the extent that it is not structurally impracticable. In that case, any portion of the facility that can be made accessible shall be made accessible to the extent that it is not structurally impracticable.

(3) If providing accessibility in conformance with this section to individuals with certain disabilities (e.g., those who use wheelchairs) would be structurally impracticable, accessibility shall nonetheless be ensured to persons with other types of disabilities (e.g., those who use crutches or who have sight, hearing, or mental impairments) in accordance with this section” ([§ 37.41\(b\)](#)).

## Discussion

The regulations at § 37.41(b)(1) provide public entities a limited exception to the requirement that new facilities be readily accessible in rare circumstances where the agency can demonstrate that it is structurally impracticable to fully comply. These rare circumstances may occur when the unique characteristics of terrain prevent the incorporation of accessibility features. In its final rule adopting the DOT Standards, DOT noted that for new construction, the structural impracticability standard may not be applied to a situation in which a facility is simply located in “hilly” terrain or on a plot of land with steep grades. This means that a facility located at the top of a steep hill, for example, must be accessible.

If it is not possible to meet all of the DOT Standards in all parts of the facility due to demonstrated structural impracticability, this requirement still obligates public entities to meet the DOT Standards to the greatest extent possible for the portions where there are structural constraints, and to comply fully in the other portions of the facility that are not structurally constrained.

FTA encourages transit agencies constructing new stations or stops in steeply sloped environments to make every effort to find a location that affords the greatest accessibility practicable. Because FTA must determine compliance with the DOT ADA regulations for grant-making purposes, FTA requires grantees to submit for review documentation substantiating any claim that compliance with a particular DOT Standard in new construction is structurally impracticable. FTA requires such documentation to describe all aspects of siting and design and to demonstrate compliance with the DOT Standards to the maximum extent possible. FTA encourages grantees with questions about matters of structural impracticability to contact the FTA Office of Civil Rights.

## 3.4 Alteration of Transportation Facilities

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Section 37.43(a) of DOT’s ADA regulations addresses two distinct types of alterations. First, in paragraph (a)(1) the regulations require that, to the maximum extent feasible, an alteration that affects the usability of the facility must be made such that the altered portions of the facility are accessible to and usable by individuals with disabilities, including individuals who use wheelchairs. Second, in paragraph (a)(2), the regulations address those circumstances where an entity is undertaking an alteration to a primary function area of the facility (e.g., platforms or waiting areas), and the entity must therefore ensure that the path of travel to the altered area is readily accessible as well, subject to a disproportionate cost analysis.

This section describes the distinction between these two provisions and when each provision applies.

It is important to note that the requirements for alterations are in addition to and separate from the requirements for key stations under §§ 37.47, 37.51, and 37.53. The requirements for alterations apply to any station that is undergoing alterations, whether it had previously been designated as “key” or not.

### 3.4.1 Maximum Extent Feasible

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#### Requirement

“As used in this section, the phrase to the maximum extent feasible applies to the occasional case where the nature of an existing facility makes it impossible to comply fully with applicable accessibility standards through a planned alteration. In these circumstances, the entity shall provide the maximum physical accessibility feasible. Any altered features of the facility or portion of the facility that can be made accessible shall be made accessible. If providing accessibility to certain individuals with disabilities (e.g., those who use wheelchairs) would not be feasible, the facility shall be made accessible to individuals with other types of disabilities (e.g., those who use crutches, those who have impaired vision or hearing, or those who have other impairments)” ([§ 37.43\(b\)](#)).

#### Discussion

Because there are circumstances where facility alterations are extremely complex, both the DOT ADA regulations and the DOT Standards discuss and define the phrase “maximum extent feasible.” This phrase within the meaning of Title II of the ADA and applicable regulations governing “alterations” of existing public transportation facilities refers to “technical infeasibility” rather than economic infeasibility.

The DOT Standards in [Section 106.5](#) define “technically infeasible” as follows:

With respect to an alteration of a building or a facility, something that has little likelihood of being accomplished because existing structural conditions would require removing or altering a load-bearing member that is an essential part of the structural frame; or because other existing physical or site constraints prohibit modification or addition of elements, spaces, or features that are in full and strict compliance with the minimum requirements.

If an entity determines that it is not feasible to make an altered area accessible, including a determination that it is not technically feasible to install an elevator, the entity must document this infeasibility. As part of the grant-making process or in a compliance review, FTA may request the information below in order to determine compliance with the regulations. Therefore, to ensure the entity has a complete record to demonstrate infeasibility, FTA recommends the following elements be thoroughly discussed and analyzed in a narrative format:

- A detailed project scope, which includes, and is not limited to, the type of activity and work, the extent of such activity and work, associated costs, etc. The project scope discussion must cover the full cost and scope of the project.
- A discussion of any existing accessible elements within the altered area.
- A discussion of the steps taken during the planning and design phase to ensure that the altered area is made accessible to the maximum extent feasible. Provide supporting documentation as appropriate.
- A discussion of coordination with other stakeholders (e.g., municipality or private property owners), as appropriate. Discuss this element in the narrative, and provide supporting documentation as appropriate.
- A discussion of any potential real estate acquisition possibilities, either through easement, condemnation, eminent domain, or other legal tools at the entities’ disposal.

- A discussion on the facility-specific conditions and any other controlling factors. (This includes presenting and analyzing how the factors impact the accessibility feasibility.)
- A step-by-step discussion on how the entity determined that the altered area could not be made accessible. This will include an analysis of alternatives considered, regardless of cost, for making the altered area accessible, and why those alternative approaches are also technically infeasible.
- Architectural drawing(s), photographs of the station, design plans, and neighborhood maps, as appropriate.
- In the case of an alteration that falls under § 37.43(a)(2), include the cost of alterations to the path of travel, restrooms, drinking fountains, etc., as compared to the cost of the total alteration. Include a discussion of how the provided design plans and drawings support this conclusion.
- Any other information the entity has used to determine that making the station fully accessible is technically infeasible.

### 3.4.2 General Alterations

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#### Requirement

“(1) When a public entity alters an existing facility or a part of an existing facility used in providing designated public transportation services in a way that affects or could affect the usability of the facility or part of the facility, the entity shall make the alterations (or ensure that the alterations are made) in such a manner, to the maximum extent feasible, that the altered portions of the facility are readily accessible to and usable by individuals with disabilities, including individuals who use wheelchairs, upon the completion of such alterations” [\(§ 37.43\(a\)\(1\)\)](#).

#### Discussion

Under the general alterations provision of § 37.43(a)(1), cost is not a consideration. When a public entity makes an alteration to a facility, the altered area must be accessible to the maximum extent feasible.

The DOT ADA regulations in [§ 37.3](#) define an “alteration” as follows:

[A] change to an existing facility, including, but not limited to, remodeling, renovation, rehabilitation, reconstruction, historic restoration, changes or rearrangements in structural parts or elements, and changes or rearrangement in the plan configuration of walls and full-height partitions. Normal maintenance, reroofing, painting or wallpapering, asbestos removal, or changes to mechanical and electrical systems are not alterations unless they affect the usability of the building or facility.

The DOT Standards in [Section 106.5](#) define “alteration” as follows:

A change to a building or facility that affects or could affect the usability of the building or facility or portion thereof. Alterations include, but are not limited to, remodeling, renovation, rehabilitation, reconstruction, historic restoration, resurfacing of circulation paths or vehicular ways, changes or rearrangement of the structural parts or elements, and changes or rearrangement in the plan configuration of walls and full-height partitions. Normal maintenance, reroofing, painting or wallpapering, or changes to mechanical and electrical systems are not alterations unless they affect the usability of the building or facility.

Within the meaning of Part 37, an “alteration” is a change that affects the usability of the facility involved. The definition of alteration specifically excludes normal maintenance. FTA expressly considers minor repairs to be maintenance. “Usability” in this context is broadly defined to include renovations that

affect the use of a facility in any way, and not simply changes that relate directly to access. Further, a facility or part of a facility does not have to be “unusable” for an alteration to affect usability. Resurfacing a platform or a stairway are alterations that make the platform or stairway safer and easier to use.

### 3.4.3 When the Altered Area Is the Path of Travel

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In some cases, the path of travel itself (e.g., sidewalks, pedestrian ramps, passageways between platforms, staircases, and escalators) will be the area that is undergoing alterations. In these instances, the element of the path of travel undergoing alteration will be subject to the general requirement of [§ 37.43\(a\)\(1\)](#) that the altered area be accessible to and usable by persons with disabilities, including wheelchair users, to the maximum extent feasible. Cost disproportionality does not apply.

For example, when a transit agency alters a sidewalk, it must include curb ramps complying with Section 406 of the DOT Standards, including detectable warnings. (See [Section 406.8](#).) Similarly, when a transit agency undertakes a station renovation project that includes replacing the staircases leading to and from the station platform, resurfacing concrete staircases, replacing a significant number of stair treads or risers, or replacing an escalator, the end result must be an accessible station entrance unless an analysis of site-specific conditions demonstrates that it is technically infeasible. In most cases, this will involve the installation of elevators but may include ramps or other level-change mechanisms. In this case, because this is a general alteration under [§ 37.43\(a\)\(1\)](#), the cost of installing elevators cannot be considered disproportionate.

If a rail transit station has multiple entrances and one is already fully accessible, in the event the transit agency alters the stairs or escalators at another station entrance, it is not required to add ramps or elevators at that entrance. (See Exception 1 to [Section 206.4](#).)

As noted above in Circular Section 3.4.1, where site-specific conditions render it infeasible to meet this requirement, FTA requires agencies to document such conditions for its review to ensure that the alteration is compliant with the regulations and, therefore, eligible for Federal funding.

### 3.4.4 Areas of Primary Function and Path of Travel

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#### Requirement

“(2) When a public entity undertakes an alteration that affects or could affect the usability of or access to an area of a facility containing a primary function, the entity shall make the alteration in such a manner that, to the maximum extent feasible, the path of travel to the altered area and the bathrooms, telephones, and drinking fountains serving the altered area are readily accessible to and usable by individuals with disabilities, including individuals who use wheelchairs, upon completion of the alterations. *Provided*, that alterations to the path of travel, drinking fountains, telephones and bathrooms are not required to be made readily accessible to and usable by individuals with disabilities, including individuals who use wheelchairs, if the cost and scope of doing so would be disproportionate” ([§ 37.43\(a\)](#)).

“As used in this section, a ‘primary function’ is a major activity for which the facility is intended. Areas of transportation facilities that involve primary functions include, but are not necessarily limited to, ticket purchase and collection areas, passenger waiting areas, train or bus platforms, baggage checking and return areas and employment areas (except those involving non-occupiable spaces accessed only by ladders, catwalks, crawl spaces, very narrow passageways, or freight (non-passenger) elevators which are frequented only by repair personnel)” ([§ 37.43\(c\)](#)).

“As used in this section, a ‘path of travel’ includes a continuous, unobstructed way of pedestrian passage by means of which the altered area may be approached, entered, and exited, and which connects the altered area with an exterior approach (including sidewalks, parking areas, and streets), an entrance to the facility, and other parts of the facility. The term also includes the restrooms, telephones, and drinking fountains serving the altered area. An accessible path of travel may include walks and sidewalks, curb ramps and other interior or exterior pedestrian ramps, clear floor paths through corridors, waiting areas, concourses, and other improved areas, parking access aisles, elevators and lifts, bridges, tunnels, or other passageways between platforms, or a combination of these and other elements” ([§ 37.43\(d\)](#)).

### Discussion

Under § 37.43(a)(2), if a transit agency is altering a primary function area, such as a station platform, then it must make the path of travel to that altered area accessible to the maximum extent feasible, subject to a cost analysis. Section 37.43(c) defines primary function as a major activity for which the facility is intended. Appendix D to § 37.43 explains that primary function areas include waiting areas, ticket purchase and collection areas, train or bus platforms, baggage checking and return areas, and employment areas (with some exceptions stated in the rule for areas that are used by service personnel and are very difficult to access).

[Appendix D](#) to § 37.43 also notes:

First, if the alteration is made to a primary function area, (or access to an area containing a primary function), the entity shall make the alteration in such a way as to ensure that the path of travel to the altered area and the restrooms, telephones and drinking fountains servicing the altered area are readily accessible to and usable by individuals with disabilities, including individuals who use wheelchairs.

Second, alterations to drinking fountains, telephones, and restrooms do not have to be completed if the cost and scope of making them accessible is disproportionate.

### 3.4.5 Disproportionate Costs

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#### Requirement

“(1) Alterations made to provide an accessible path of travel to the altered area will be deemed disproportionate to the overall alteration when the cost exceeds 20 percent of the cost of the alteration to the primary function area (without regard to the costs of accessibility modifications).

(2) Costs that may be counted as expenditures required to provide an accessible path of travel include:

- (i) Costs associated with providing an accessible entrance and an accessible route to the altered area (e.g., widening doorways and installing ramps);
- (ii) Costs associated with making restrooms accessible (e.g., grab bars, enlarged toilet stalls, accessible faucet controls);
- (iii) Costs associated with providing accessible telephones (e.g., relocation of phones to an accessible height, installation of amplification devices or TDDs);
- (iv) Costs associated with relocating an inaccessible drinking fountain” ([§ 37.43\(e\)](#)).

#### Discussion

A detailed analysis is necessary to determine whether the cost of making the path of travel to an altered area is “disproportionate.” Public entities are not required to complete alterations to the path of travel,

drinking fountains, telephones, and restrooms if the cost and scope of making them accessible is “disproportionate” to the overall cost of the alteration to the primary function area. (See § 37.43(a)(2).)

In other words, when altering a primary function area, if the costs of changes to the path of travel to that primary function area are disproportionate, then public entities are required only to complete those changes for which the costs are not disproportionate. As explained in § 37.43(e), alterations made to provide an accessible path of travel to the altered area are deemed disproportionate when the cost associated with the accessible path exceeds 20 percent of the cost of the alteration to the primary function area (without regard to the costs of accessibility modifications).

For example, consider a subway station that is not designated as a key station that only has stair access and the only way to provide access to individuals who use wheelchairs would be to install elevators. An alteration project to the platform areas might involve retiling the platform surface at a cost of \$150,000. Accordingly, costs to make alterations to provide an accessible path of travel to platforms that exceed \$30,000 would be disproportionate, and more costly path-of-travel improvements like elevators would not be required.<sup>7</sup> On the other hand, if extensive renovations to the platforms and mezzanine are planned, and elevators would increase the cost of the renovations by 20 percent or less, § 37.43(e) requires that elevators be included.

When altering a primary function area, only the costs of the additional alterations to the path of travel are relevant to calculating disproportionate costs. Section 37.43(a)(1) requires the altered area itself to be accessible.

In this context, “costs” include those necessary to bring the alteration project to its conclusion, such as design, engineering, and construction. Ongoing maintenance and other continuing operating expenses are not part of the calculation. For example, it would be appropriate to consider the total costs of designing, engineering, and construction for the alterations to the primary function area, including ADA compliance for the altered elements. The total would form the basis against which the costs of providing an accessible path of travel would be measured for purposes of determining disproportionality. But it would not be appropriate to include the ongoing expected maintenance costs (e.g., those associated with elevators) as part of the project costs.

### 3.4.6 Accessibility Improvements When Costs Are Disproportionate

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#### Requirement

“(1) When the cost of alterations necessary to make a path of travel to the altered area fully accessible is disproportionate to the cost of the overall alteration, then such areas shall be made accessible to the maximum extent without resulting in disproportionate costs;

(2) In this situation, the public entity should give priority to accessible elements that will provide the greatest access, in the following order:

- (i) An accessible entrance;
- (ii) An accessible route to the altered area;
- (iii) At least one accessible restroom for each sex or a single unisex restroom (where there are one or more restrooms);

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<sup>7</sup> Notably, as explained further in Circular Section 3.4.6, \$30,000 would need to be spent on other path of travel improvements to the maximum extent feasible, such as accessible restrooms, telephones, and drinking fountains.

- (iv) Accessible telephones;
- (v) Accessible drinking fountains;
- (vi) When possible, other accessible elements (e.g., parking, storage, alarms)” ([§ 37.43\(f\)](#)).

“If a public entity performs a series of small alterations to the area served by a single path of travel rather than making the alterations as part of a single undertaking, it shall nonetheless be responsible for providing an accessible path of travel” ([§ 37.43\(g\)](#)).

“(1) If an area containing a primary function has been altered without providing an accessible path of travel to that area, and subsequent alterations of that area, or a different area on the same path of travel, are undertaken within three years of the original alteration, the total cost of alteration to the primary function areas on that path of travel during the preceding three year period shall be considered in determining whether the cost of making that path of travel is disproportionate” ([§ 37.43\(h\)](#)).

## Discussion

Section 37.43(g) prohibits public entities from circumventing the requirements for path of travel alterations by making a series of small alterations to the area served by a single path of travel. Limitations also apply to alterations of different areas served by a single path of travel within three years of the original alteration. When considering undertaking subsequent alterations to primary function areas on a single path of travel within three years, § 37.43(h) obligates public entities to consider the total cost of alteration to the primary function areas on that path of travel during the preceding three-year period in determining whether the cost of making that path of travel accessible is disproportionate.

Public entities are encouraged to consider the cost-effectiveness of undertaking alterations of multiple elements. [Advisory 202.3](#) of the DOT Standards notes:

Although covered entities are permitted to limit the scope of an alteration to individual elements, the alteration of multiple elements within a room or space may provide a cost-effective opportunity to make the entire room or space accessible.

Finally, [Appendix D](#) to § 37.43 explains:

In looking at facility concepts like “disproportionality” and “to the maximum extent feasible,” [DOT] will consider any expenses related to accessibility for passengers. It is not relevant to consider non-passenger related improvements (e.g., installing a new track bed) or to permit “gold-plating” (attributing to accessibility costs the expense of non-related improvements, such as charging to accessibility costs the price of a whole new door, when only adding a new handle to the old door was needed for accessibility).

For example, if a transit agency’s renovation of a rail station includes the installation of a new track structure and track bed, then costs of these alterations are not attributable to the costs of making the path of travel to the altered passenger area accessible.

Transit agencies with questions about calculating disproportionate costs for facility alterations are encouraged to seek assistance from the FTA Office of Civil Rights.

## 3.5 Platform-Vehicle Coordination

For new construction and alteration projects, [Section 810.5.3](#) of the DOT Standards requires rail platforms to be positioned to coordinate with vehicles in accordance with the applicable requirements of [Part 38](#). With “level boarding” (see Figure 3-5), the platform height is coordinated with the height of the vehicle floor and gaps are minimized, ideally allowing persons who use wheelchairs to board independently. Where it is not operationally or structurally feasible to meet the horizontal gap or vertical difference requirements of Part 38, mini-high platforms, car-borne or platform-mounted lifts, ramps, bridge plates, or similarly manually deployed devices, meeting the requirements of Part 38, will suffice. Figure 3-6 includes examples of mini-high platforms, platform lifts, and bridge plates.



Figure 3-5 – Level Boarding

[Section 37.42\(e\)\(2\)](#) requires transit agencies to provide barriers to prevent the flow of pedestrian traffic through the area between the front of the mini-high platform and the train. The photo in the upper left of Figure 3-6 depicts an example of an appropriate barrier.



Mini-High Platform with Appropriate Barrier



Mini-High Platform



Bridge Plate



Platform Lift

Figure 3-6 – Mini-High Platforms, Bridge Plate, and Platform Lift

## 3.6 Rapid Rail Platforms

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Rapid-rail-specific requirements are provided in Part 38 [Subpart C](#).

### Requirement

*“Coordination with boarding platform—(1) Requirements.* Where new vehicles will operate in new stations, the design of vehicles shall be coordinated with the boarding platform design such that the horizontal gap between each vehicle door at rest and the platform shall be no greater than 3 inches and the height of the vehicle floor shall be within plus or minus 5/8 inch of the platform height under all normal passenger load conditions. Vertical alignment may be accomplished by vehicle air suspension or other suitable means of meeting the requirement.

(2) *Exception.* New vehicles operating in existing stations may have a floor height within plus or minus 1 1/2 inches of the platform height. At key stations, the horizontal gap between at least one door of each such vehicle and the platform shall be no greater than 3 inches.

(3) *Exception.* Retrofitted vehicles shall be coordinated with the platform in new and key stations such that the horizontal gap shall be no greater than 4 inches and the height of the vehicle floor, under 50% passenger load, shall be within plus or minus 2 inches of the platform height” ([§ 38.53\(d\)](#)).

### Discussion

The general standards for rail platforms can be found in [Section 810.5](#) of the DOT Standards; Section 810.5.3 references the platform-to-rail-car gap standards found in Part 38. For rapid rail, § 38.53(d) establishes the platform-to-rail-car gap required for new vehicles operating in new stations, new vehicles operating in existing stations, and retrofitted vehicles operating in new and key stations. Unlike commuter or light rail, there is no exception that permits platform configurations that do not provide level boarding. It is important to note that the platform-to-rail-car gap dimensions are a maximum standard, and may still present barriers to some persons with some disabilities. Project sponsors are encouraged to minimize the gap as much as possible.

## 3.7 Light Rail Platforms

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Light-rail-specific requirements can be found in Part 38 [Subpart D](#).

### Requirement

“(1) Vehicles intended to be operated solely in light rail systems confined entirely to a dedicated right-of-way, and for which all stations or stops are designed and constructed for revenue service after the effective date of standards for design and construction in §§ 37.21 and 37.23 of this title shall provide level boarding and shall comply with §§ 38.73(d)(1) and 38.85 of this part.

(2) Vehicles designed for, and operated on, pedestrian malls, city streets, or other areas where level boarding is not practicable shall provide wayside or car-borne lifts, mini-high platforms, or other means of access in compliance with § 38.83 (b) or (c) of this part” ([§ 38.71\(b\)](#)).

*“Coordination with boarding platform—(1) Requirements.* The design of level-entry vehicles shall be coordinated with the boarding platform or mini-high platform design so that the horizontal gap between a vehicle at rest and the platform shall be no greater than 3 inches and the height of the vehicle floor shall be within plus or minus 5/8 inch of the platform height. Vertical alignment may be accomplished by vehicle air suspension, automatic ramps or lifts, or any combination.

(2) *Exception.* New vehicles operating in existing stations may have a floor height within plus or minus 1 1/2 inches of the platform height. At key stations, the horizontal gap between at least one door of each such vehicle and the platform shall be no greater than 3 inches.

(3) *Exception.* Retrofitted vehicles shall be coordinated with the platform in new and key stations such that the horizontal gap shall be no greater than 4 inches and the height of the vehicle floor, under 50% passenger load, shall be within plus or minus 2 inches of the platform height.

(4) *Exception.* Where it is not operationally or structurally practicable to meet the horizontal or vertical requirements of paragraphs (d) (1), (2) or (3) of this section, platform or vehicle devices complying with § 38.83(b) or platform or vehicle mounted ramps or bridge plates complying with § 38.83(c) shall be provided” ([§ 38.73\(d\)](#)).

## Discussion

The general standards for rail platforms can be found in Section 810.5 of the DOT Standards; Section 810.5.3 references the platform-to-rail-car gap standards found in Part 38. For light rail, § 38.71(b) requires that light rail systems confined entirely to a dedicated right-of-way provide level boarding, and establishes standards for new vehicles in new stations, new vehicles in existing stations, and retrofitted vehicles in new and key stations.

There is an additional exception for light rail, under which platform or vehicle mounted ramps or bridge plates can be used where the vertical and/or horizontal gap requirements cannot be met.

Where light rail systems are operated on pedestrian malls, city streets, or other areas where level boarding is not practicable, then wayside or car-borne lifts, mini-high platforms, or other means of access such as ramps or bridge plates must be provided.

In its October 30, 2006, final rule adopting the DOT Standards for accessibility, DOT clarified a related section of 49 CFR Part 38 that has been the source of some misunderstanding. Section 38.71(b)(2) provides, “Vehicles designed for, and operated on, pedestrian malls, city streets, or other areas where level-entry boarding is not practicable shall provide wayside or car-borne lifts, mini-high platforms, or other means of access in compliance with § 38.83 (b) or (c) of this part.” DOT received suggestions that this provision should be interpreted to mean that, if there is any portion of a system in which level boarding is not practicable, then the entire system can use some method other than level boarding. Such an interpretation is incorrect. The authority to use alternatives to level boarding pertains only to those portions of a system in which rail vehicles are “operated on” an area where level boarding is not practicable.

For example, suppose a light rail system’s first three stops are on a pedestrian/transit mall where it is infeasible to provide level boarding. The transit system could use car-borne lifts, mini-high platforms, etc., to provide access at those three stops. The system’s next 10 stops are part of a right-of-way in which level boarding is practicable. In such a case, level boarding must be provided at those 10 stops. There is nothing inappropriate about the same system having different means of boarding in different locations, in such a case.

Section 810.5.3 of the DOT Standards requires low-level platforms to be at least 8 inches above top of rail. Where light rail vehicles are boarded from sidewalks or street-level, such as in streetcar operations, low-level platforms are permitted to be less than 8 inches.

Also note where level boarding is provided, § 38.85 requires the provision of between-car barriers to prevent, deter or warn individuals from inadvertently stepping off the platform between cars. These can

include, but are not limited to, pantograph gates, chains, motion detectors or other suitable devices. (See Circular Section 4.3.5.)

## 3.8 Intercity, Commuter, and High-Speed Rail Platforms

In September 2011, DOT amended its ADA regulations by adding § 37.42 to require intercity, commuter, and high-speed passenger railroads to ensure, at new and altered station platforms, that passengers with disabilities can enter and exit any accessible car of the train. Beginning in December 2011, and periodically afterwards, DOT has provided additional guidance on these requirements in [“Questions and Answers Concerning DOT Final Rule on Transportation for Individuals With Disabilities at Intercity, Commuter, and High-Speed Rail Platforms”](#) (DOT Rail Q&A Guidance). This document considers the following topics, among others:

- When does § 37.42 begin to apply
- What if a private entity owns the platform
- What constitutes an alteration to a platform
- Minimum platform height requirements
- Situations where level boarding is not feasible
- Plans for meeting service standards
- The obligations of a public entity that owns and controls track through a station
- Platform width guidance for level and non-level boarding

### Requirement

“In addition to meeting the requirements of Sections 37.9 and 37.41, an operator of a commuter, intercity, or high-speed rail system must ensure, at stations that are approved for entry into final design or that begin construction or alteration of platforms on or after February 1, 2012, that the following performance standard is met: individuals with disabilities, including individuals who use wheelchairs, must have access to all accessible cars available to passengers without disabilities in each train using the station” ([§ 37.42\(a\)](#)).

### Discussion

For new intercity, commuter, and high-speed rail stations approved for entry into final design or beginning construction after February 1, 2012, meeting this requirement means ensuring passengers with disabilities, including passengers who use wheelchairs, have access to the same accessible cars as passengers without disabilities. This standard applies to alterations as well as new construction. Alterations include reconstruction of a platform that replaces its surface, changes its height, or other changes that affect the platform’s usability. This requirement does not obligate commuter, intercity, or high-speed rail system operators to retrofit pre-existing platforms.

Track and station ownership is often relevant to commuter, intercity, and high-speed rail operators, because often the entity responsible for operating the service is not the owner of the facilities being used. Stations are often owned, controlled, or constructed by a third party, such as a freight railroad, another public entity such as a municipality or Amtrak, or a private entity. Where this is the case, § 37.57 requires the owner or person in control of an intercity or commuter rail station to provide reasonable cooperation to the intercity or commuter rail operator to comply with accessibility requirements.

## 3.8.1 Level Boarding

---

### Requirement

“For purposes of this part, level-entry boarding means a boarding platform design in which the horizontal gap between a car at rest and the platform is no more than 10 inches on tangent track and 13 inches on curves and the vertical height of the car floor is no more than 5.5 inches above the boarding platform. Where the horizontal gap is more than 3 inches and/or the vertical gap is more than 5/8 inch, measured when the vehicle is at rest, the horizontal and vertical gaps between the car floor and the boarding platform must be mitigated by a bridge plate, ramp, or other appropriate device consistent with 49 CFR 38.95(c) and 38.125(c)” ([§ 37.42\(f\)](#)).

### Discussion

For level boarding<sup>8</sup> at commuter and intercity rail stations, § 37.42(f) provides that the horizontal gap between the platform and a rail car cannot exceed 10 inches (13 inches on curves), and the car floor cannot be more than 5.5 inches above the platform. However, these maximum gaps are not intended to be the norm for new or altered platforms. DOT expects commuter and intercity rail providers to minimize platform gaps to the greatest extent possible. Where the horizontal gap exceeds 3 inches and the vertical difference is more than  $\pm 5/8$  inch, § 37.42(f) requires the gaps to be mitigated by using a bridge plate, ramp, or other appropriate device.

## 3.8.2 Stations Not Shared with Freight Rail Operations

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### Requirement

“For new or altered stations serving commuter, intercity, or high-speed rail lines or systems, in which no track passing through the station and adjacent to platforms is shared with existing freight rail operations, the performance standard of paragraph (a) of this section must be met by providing level-entry boarding to all accessible cars in each train that serves the station” ([§ 37.42\(b\)](#)).

### Discussion

This requirement means providing individuals with disabilities, including individuals who use wheelchairs, access to all accessible cars available to passengers without disabilities in each train using the station. Except where tracks adjacent to platforms are shared with freight rail service, meeting this requirement means meeting the performance standard by providing level boarding for all accessible cars in the train.

There may be some situations in which track adjacent to the platform is not shared with freight rail service, but level boarding may not be physically feasible, such as when curvature of the track is too great, or other situations that would result in a horizontal gap that exceeds the regulatory maximum. The [DOT Rail Q&A Guidance](#) explains that the railroad operator should consult with FTA or FRA as appropriate. The Q&A continues by stating that if either FTA or FRA agree that level boarding is not feasible, then the railroad would meet the accessibility performance standard of § 37.42(a) at the station through the means and process described in § 37.42(c)–(d) and explained in Circular Sections 3.8.3 and 3.8.4.

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<sup>8</sup> The terms “level boarding” and “level-entry boarding” are synonymous.

### 3.8.3 Stations Shared with Freight Rail Operations

---

#### Requirement

“For new or altered stations serving commuter, intercity, or high-speed rail lines or systems, in which track passing through the station and adjacent to platforms is shared with existing freight rail operations, the railroad operator may comply with the performance standard of [§ 37.42(a)] by use of one or more of the following means:

- (1) Level-entry boarding;
- (2) Car-borne lifts;
- (3) Bridge plates, ramps or other appropriate devices;
- (4) Mini-high platforms, with multiple mini-high platforms or multiple train stops, as needed, to permit access to all accessible cars available at that station; or
- (5) Station-based lifts” ([§ 37.42\(c\)](#)).

#### Discussion

This requirement permits railroad operators to employ a range of boarding methods at stations where track adjacent to passenger platforms is shared with freight rail operations. The regulations at § 37.42(a) provide a performance standard to ensure that passengers with disabilities can access each accessible train car that other passengers can board. DOT will apply this performance standard in its review of the agency’s proposed boarding system. The § 37.42(c) requirement applies on a station-by-station basis. DOT requires a separate plan for meeting the standard for each station or group of stations being constructed or altered together.

### 3.8.4 Process for Approval of Methods Other Than Level-Entry Boarding

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#### Requirement

“Before constructing or altering a platform at a station covered by [§ 37.42(c)], at which a railroad proposes to use a means other than level-entry boarding, the railroad must meet the following requirements:

- (1) If the railroad operator not using level-entry boarding chooses a means of meeting the performance standard other than using car-borne lifts, it must perform a comparison of the costs (capital, operating, and life-cycle costs) of car-borne lifts and the means chosen by the railroad operator, as well as a comparison of the relative ability of each of these alternatives to provide service to individuals with disabilities in an integrated, safe, timely, and reliable manner. The railroad operator must submit a copy of this analysis to FTA or FRA at the time it submits the plan required by paragraph [(2)] of this section.
- (2) The railroad operator must submit a plan to FRA and/or FTA, describing its proposed means to meet the performance standard of [§ 37.42(a)] at that station. The plan must demonstrate how boarding equipment or platforms would be deployed, maintained, and operated; and how personnel would be trained and deployed to ensure that service to individuals with disabilities is provided in an integrated, safe, timely, and reliable manner.
- (3) Before proceeding with constructing or modifying a station platform covered by [§ 37.42(c) & (d)], the railroad must obtain approval from the FTA (for commuter rail systems) or the FRA (for intercity rail systems). The agencies will evaluate the proposed plan and may approve, disapprove, or modify it. The

FTA and the FRA may make this determination jointly in any situation in which both a commuter rail system and an intercity or high-speed rail system use the tracks serving the platform. FTA and FRA will respond to the railroad's plan in a timely manner, in accordance with the timetable set forth in paragraphs (d)(3)(i) through (d)(3)(iii) of this paragraph.

- (i) FTA/FRA will provide an initial written response within 30 days of receiving a railroad's written proposal. This response will say either that the submission is complete or that additional information is needed.
- (ii) Once a complete package, including any requested additional information, is received, as acknowledged by FRA/FTA in writing, FRA/FTA will provide a substantive response accepting, rejecting, or modifying the proposal within 120 days.
- (iii) If FTA/FRA needs additional time to consider the railroad's proposal, FRA/FTA will provide a written communication to the railroad setting forth the reasons for the delay and an estimate of the additional time (not to exceed an additional 60 days) that FRA/FTA expect to take to finalize a substantive response to the proposal.
- (iv) In reviewing the plan, FRA and FTA will consider factors including, but not limited to, how the proposal maximizes accessibility to individuals with disabilities, any obstacles to the use of a method that could provide better service to individuals with disabilities, the safety and reliability of the approach and related technology proposed to be used, the suitability of the means proposed to the station and line and/or system on which it would be used, and the adequacy of equipment and maintenance and staff training and deployment" ([§ 37.42\(d\)](#)).

## Discussion

This requirement prescribes the process for entities to follow in order to propose a method other than level boarding for consideration and approval by FTA (for commuter rail) or FRA (for intercity or high-speed rail). For commuter rail stations shared with Amtrak, joint FTA/FRA approval may be required.

When level boarding is not feasible, the preferred alternative is car-borne lifts. Methods of providing access other than level boarding can be considered only after an analysis comparing costs and the ability of each of these alternatives to provide service to individuals with disabilities in an integrated, safe, timely, and reliable manner. (See § 37.42(d)(1).)

Before proceeding, § 37.42(d)(2) requires a facility owner to submit this analysis and a plan for deployment, maintenance, and operation of the alternative means of boarding and receive approval from FTA or FRA. The DOT Rail Q&A Guidance more thoroughly discusses the § 37.42(d)(2) requirement for submitting plans to meet performance standards. These plans must be completed on a station-by-station basis, and not in a generic fashion, as there are likely to be differences among stations, such as the design, layout, number of trains that stop at the station, and passenger volume. Plans must be submitted to the FTA Office of Civil Rights (1200 New Jersey Avenue SE, Room E54-312, Washington, DC 20590). For more information regarding the requirement for submitting plans to meet service standards, see the [DOT Rail Q&A Guidance](#).

## 3.8.5 Requirements for a Combination of Low and High Platforms

### Requirement

"In any situation using a combination of high and low platforms, a commuter or intercity rail operator shall not employ a solution that has the effect of channeling passengers into a narrow space between the face of the higher-level platform and the edge of the lower platform.

(1) Except as provided in [the next] paragraph, any obstructions on a platform (mini-high platforms, stairwells, elevator shafts, seats, etc.) shall be set at least six feet back from the edge of a platform.

(2) If the six-foot clearance is not feasible (e.g., where such a clearance would create an insurmountable gap on a mini-high platform or where the physical structure of an existing station does not allow such clearance), barriers must be used to prevent the flow of pedestrian traffic through these narrower areas” ([§ 37.42\(e\)](#)).

### Discussion

This requirement describes the steps for commuter or intercity rail operators to follow when low and high platforms (mini-high platforms) are in use. This includes the prohibition against employing a solution that has the effect of channeling passengers into a narrow space between the face of the higher-level platform and the edge of the lower platform.

Section 37.42(e)(1) requires operators to ensure that mini-high platforms are set at least 6 feet back from the edge of a platform. Where the 6-foot clearance is not feasible, such as where a 6-foot clearance would create an insurmountable gap on a mini-high platform or where the physical structure of an existing station does not allow that clearance, § 37.42(e)(2) requires operators to use barriers to prevent the flow of pedestrian traffic through narrower areas.

The 6-foot clearance requirement also applies to other structures, including elevators, stairs, or seats that may constrain the space at the platform edge.

Although the requirement applies to new construction or alterations, an optional good practice is to install barriers on all existing rail platforms where mini-high platforms or other obstructions create a narrow space along the platform edge.

### 3.8.6 Platform Width of New or Altered Platforms

The DOT Rail Q&A Guidance also provides recommendations regarding platform width of new passenger station platforms, both where non-level and level boarding are used.

The following guidance applies to a non-level boarding railroad passenger station platform. For a conventional platform with a railing or wall on the platform side opposite the track, the guidance suggests a minimum 12-foot platform width. For an end loading island platform between two tracks, the guidance suggests a minimum 14-foot platform width to account for the width of tactile strips. For an island passenger platform with vertical pedestrian access, the guidance suggests a minimum platform width calculated by the vertical access width plus twice 6 feet; this type of platform can be tapered to 14 feet at the ends of the platform.

The following guidance applies to a level boarding railroad passenger station platform. For a conventional platform with a railing or wall on the platform side opposite the track, the guidance suggests a minimum 8-foot platform width. For an end loading island platform between two tracks, the guidance suggests a minimum 10-foot platform width to account for the width of tactile strips. For an island passenger platform with vertical pedestrian access, the guidance suggests a minimum platform width calculated by the vertical access width plus twice 6 feet; this type of platform can be tapered to 10 feet at the ends of the platform. The guidance also states that a 15-inch high platform used by single-level passenger cars should follow the guidance for non-level boarding platforms.

For more information regarding recommended minimum platform widths for railroad passenger stations, see the [DOT Rail Q&A Guidance](#).

## 3.9 Key Stations

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Given that many fixed-guideway systems in the United States were constructed prior to enactment of the ADA, and recognizing that exclusive reliance on new construction and alterations would result in little-to-no improvement in accessibility for those systems, the ADA required public entities operating rapid and light rail systems and commuter rail systems to identify “key stations” that would be altered in the near term to ensure a basic degree of usability by individuals with disabilities ([42 U.S.C. § 12147\(b\)](#) for rapid rail and light rail and [42 U.S.C. § 12162\(e\)\(2\)\(a\)](#) for commuter rail). Stations that were not designated as key stations were not originally required to be made accessible; however, if non-key stations undergo alterations after January 26, 1992, the DOT Standards apply as discussed above in Circular Sections 3.3 and 3.4, respectively.

The DOT ADA regulations in [§§ 37.47–37.51](#) incorporated these requirements. By statute, the deadline for key station compliance was July 26, 1993. For rapid rail and light rail systems, the FTA Administrator could have extended this deadline until July 26, 2020, for extraordinarily expensive structural changes to or replacement of existing facilities, provided that two-thirds of a system’s key stations were compliant by July 26, 2010. For commuter rail systems, the FTA Administrator was permitted to extend the deadline to July 26, 2010.

The primary requirement for key stations is to alter the stations to provide at least one fully accessible entrance and accessible route to all areas necessary for the use of the transportation system. In many cases, this requires the installation of elevators, which may necessitate coordination with municipalities or other entities to acquire the necessary right-of-way.

Key stations must meet the DOT Standards in the same manner as other new or altered stations with several exceptions. The DOT Standards for key stations provide exceptions for route-specific entrances and direct connections to pre-existing non-transportation facilities. In addition, pre-existing escalators are not required to comply. Thus, upon completion of the required alterations to the key station, people using wheelchairs can reach all primary function areas needed to use the station (including platforms, ticketing, toilets, waiting rooms, drinking fountains, etc.), although their path of travel may vary from the general public access route. In addition, the key station must meet all other DOT Standards throughout for elements in place when the station was made accessible, including signs, detectable warnings on platform edges, accessible fare vending, text telephones, visual display of public address announcements, etc.

Any subsequent alterations transit agencies make to key stations must comply with the DOT Standards.

## 3.10 Public Transportation Programs and Activities in Existing Facilities

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### Requirement

“A public entity shall operate a designated public transportation program or activity conducted in an existing facility so that, when viewed in its entirety, the program or activity is readily accessible to and usable by individuals with disabilities” ([§ 37.61\(a\)](#)).

### Discussion

As discussed in [Appendix D](#) to § 37.61, “this provision is intended to cover activities and programs of an entity that do not rise to the level of alteration. Even if an entity is not making alterations to a facility, it has a responsibility to conduct its program in an accessible manner.”

The following are examples of accessible and usable programs and activities:

- User-friendly fare cards
- Accessible websites and mobile applications
- User-friendly schedules
- Edge detection on rail platforms
- Adequate lighting
- Use of telecommunication display devices (TDDs), 711 Relay telephones, broadcast text messaging, and similar devices for use by individuals with speech and hearing disabilities
- Enhanced wayfinding and signage for people with visual impairments, including public address announcements and text-to-speech devices
- Continuous pathways for individuals with visual disabilities, wheelchair users, or individuals with mobility disabilities, including the elimination of obstructions caused by trash cans, newspaper stands, and maintenance equipment
- Public address systems and clocks

According to [Appendix D](#), “[DOT] did not prescribe one list of things that would be appropriate for all stations.” FTA encourages transit agencies to consider as many actions short of alteration to accommodate the needs of individuals with disabilities.

## Attachment 3-1

# Optional Facilities Checklist for New Construction and Alterations

This optional checklist provides a format for design review of new or altered facilities and for inspection during construction. It can also be used for review of existing facilities to determine whether maintenance or corrective action is needed. The checklist includes all of the [Section 810](#) transportation facility requirements and the [Section 201](#) requirements for stairways. Other requirements in the DOT Standards apply if they are included in transportation facilities (e.g., public toilets and drinking fountains), but are not included in this checklist. In addition, this checklist does not address the exceptions in Section 206.4.4 specific to key stations.

## Contents

| Section |                                      | Page  | Complete for new or altered station elements   |
|---------|--------------------------------------|-------|--|
| 1       | Parking                              | 3A-2  | <input type="checkbox"/> Yes <input type="checkbox"/> No      Number of Facilities: ____   |
| 2       | Passenger Loading Zones              | 3A-3  | <input type="checkbox"/> Yes <input type="checkbox"/> No   |
| 3       | Bus Boarding and Alighting Areas     | 3A-4  | <input type="checkbox"/> Yes <input type="checkbox"/> No   |
| 4       | Accessible Routes                    | 3A-5  | Number of Route Segments: ____   |
| 5       | Directional Signs                    | 3A-7  |  |
| 6       | Curb Ramps                           | 3A-8  | <input type="checkbox"/> Yes <input type="checkbox"/> No   |
| 7       | Entrances                            | 3A-9  | Defined Entrance? <input type="checkbox"/> Yes <input type="checkbox"/> No<br>Undefined Entrance? <input type="checkbox"/> Yes <input type="checkbox"/> No   |
| 8       | Doors                                | 3A-10 | <input type="checkbox"/> Yes <input type="checkbox"/> No   |
| 9       | Ramps                                | 3A-11 | <input type="checkbox"/> Yes <input type="checkbox"/> No   |
| 10      | Stairs                               | 3A-13 |  |
| 11      | Elevators                            | 3A-14 | <input type="checkbox"/> Yes <input type="checkbox"/> No      Number of Elevators: ____  |
| 12      | Platform Lifts                       | 3A-16 | <input type="checkbox"/> Yes <input type="checkbox"/> No      Number of Lifts: ____  |
| 13      | Escalators (New Stations)            | 3A-17 | <input type="checkbox"/> Yes <input type="checkbox"/> No      Number of Escalators: ____   |
| 14      | Ticketing and Automatic Fare Vending | 3A-17 | Ticketing Area? <input type="checkbox"/> Yes <input type="checkbox"/> No<br>Automatic Fare Vending? <input type="checkbox"/> Yes <input type="checkbox"/> No<br>Fare Gates? <input type="checkbox"/> Yes <input type="checkbox"/> No |
| 15      | Platforms                            | 3A-20 | Side? <input type="checkbox"/> Yes <input type="checkbox"/> No      Number of Side Platforms: ____<br>Center? <input type="checkbox"/> Yes <input type="checkbox"/> No      Number of Center Platforms: ____                         |
| 16      | Mini-High Platforms                  | 3A-23 | <input type="checkbox"/> Yes <input type="checkbox"/> No      Number of Mini-highs: ____   |
| 17      | Public Address Systems               | 3A-24 | <input type="checkbox"/> Yes <input type="checkbox"/> No   |
| 18      | Clocks                               | 3A-24 |  |
| 19      | Telephones                           | 3A-25 | <input type="checkbox"/> Yes <input type="checkbox"/> No   |
| 20      | Areas of Refuge                      | 3A-26 | <input type="checkbox"/> Yes <input type="checkbox"/> No   |

# 1 Parking (DOT Standards 208, 502)

| Accessible Parking Spaces   |  |
|---|--|
| Are spaces provided for visitor self-parking?   | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| Are the spaces owned, leased, or operated by the transit agency? If yes, complete the following for each parking facility   | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| Total parking spaces provided   |  |
| Number of designated accessible parking spaces provided   |  |
| Number of accessible spaces required per table below (If parking is provided in multiple facilities, standards require accessible spaces to be calculated for each facility, and numbers rounded up to the next whole number (208.2)) |  |
| Number of designated van spaces provided  |  |
| Number of van spaces required (standards require one in every 6 accessible spaces, but not less than 1 to be designated "van accessible" (208.2.4))   |  |

| Total Spaces   | Minimum Accessible Spaces Required |
|----------------|------------------------------------|
| 1–25           | 1                                  |
| 26–50          | 2                                  |
| 51–75          | 3                                  |
| 76–100         | 4                                  |
| 101–150        | 5                                  |
| 151–200        | 6                                  |
| 201–300        | 7                                  |
| 301–400        | 8                                  |
| 401–500        | 9                                  |
| 501–1,000      | 2 percent of total                 |
| 1,001 and over | 20 plus 1 for each 100 over 1,000  |

| Accessible Parking Elements   | Note OK, No, or N/A.<br>Note dimensions if No |
|---|---|
| Note: Where parking serves more than one accessible entrance, the standards require parking spaces to be dispersed and located on the shortest accessible route to the accessible entrances (208.3.1) |   |
| <b>Location</b>   |   |
| Accessible parking spaces closest in lot to accessible entrance of building it serves (208.3.1)   |   |
| Accessible spaces adjacent to accessible route (206.2.1)  |   |
| Access aisle does not overlap vehicular way (502.3.4)   |   |
| <b>Width and Access Aisle</b>   |   |
| ≥ 96" for cars + 60" aisle (may be paired) (502.2, 502.3)   |   |
| ≥ 132" for vans + 60" aisle or ≥ 96" + 96" aisle (may be paired) (502.2)  |   |
| If angled van parking, access aisle on passenger side of space (502.3.4)  |   |
| Aisles marked to discourage parking in them (502.3.3)   |   |
| Entire access aisle at same level as parking space (502.4)  |   |
| <b>Vertical Clearance</b>   |   |
| Minimum for van: 98" for vehicular route from entrance to van space and access aisle (502.5)  |   |
| <b>Signage</b>  |   |
| International Symbol of Accessibility (ISA) symbol on sign mounted ≥ 60" from the ground to bottom of sign (502.6)  |   |
| ISA plus "van accessible" at van parking spaces mounted ≥ 60" from the ground to bottom of sign (502.6)   |   |
| <b>Surface</b>  |   |
| Parking space and access aisle: Stable, firm, and slip resistant (502.4) (302)  |   |
| Parking space and access aisle: Slope ≤ 1:48 (2.1%) (502.4)   |   |

## 2 Passenger Loading Zones (DOT Standards 209, 503)

| Number  | Note OK, No, or N/A. Note dimensions if No |
|---|--|
| Where loading zones are provided, at least one accessible loading zone space provided (209.2)   |  |
| At least one accessible space in every 100 linear feet of total loading zone space (209.2.1)  |  |
| <b>Vehicle Pull-up Space (503.2)</b>  |  |
| ≥ 96" wide and ≥ 20' long   |  |
| <b>Access Aisle Location (503.3)</b>  |  |
| Adjacent to vehicle pull-up space   |  |
| Adjoins/connects to an accessible route   |  |
| Does not overlap vehicular way  |  |
| <b>Access Aisle Dimensions</b>  |  |
| ≥ 60" wide (503.3.1)  |  |
| Extends full length of vehicle pull-up space it serves (503.3.2)  |  |
| <b>Surface</b>  |  |
| Access aisle marked with surface treatment to discourage parking in access aisle (503.3.3)  |  |
| Vehicle pull-up space and access aisle: Stable, firm, and slip resistant and no changes in level > ¼" (503.4) (302.1)   |  |
| Vehicle pull-up space and access aisle: Slope ≤ 1:48 (2.1%) in all directions (503.4)   |  |
| Vehicle pull-up space and access aisle at same level with no changes in level (503.4)   |  |
| <b>Vertical Clearance (503.5)</b>   |  |
| At least 114" vertical clearance at vehicle pull-up spaces, access aisles, and vehicular route from entrance to passenger loading zone, and from passenger loading zone to vehicular exit |  |

### 3 Bus Boarding and Alighting Areas (DOT Standards 209, 218.4, 810)

Identify bus boarding and alighting facilities within the scope of review and complete the following sheet for each of them. Where the transit entity does not control the facility and connections to and from it, coordination with the municipality or other controlling entity is recommended.

| Control  | Note OK, No, or N/A. Note dimensions if No |
|--|--|
| Does transit entity control the bus boarding/alighting facility? (209.2.2) (810.2)   |  |
| Connections  |  |
| Accessible route between all bus stops within site and accessible entrance (206.2.1)   |  |
| Accessible route to streets, sidewalks, and pedestrian paths (810.2.3)   |  |
| Boarding and Alighting Area (810.2.2)  |  |
| ≥ 96" perpendicular to the roadway, from curb or road edge   |  |
| ≥ 60" long parallel to the roadway   |  |
| Slope (810.2.4)  |  |
| Parallel to the roadway the slope is the same as the roadway, to the maximum extent practicable  |  |
| Perpendicular to the roadway the slope is ≤ 1:48 (2.1%)  |  |
| Bus Route Signs (810.4)  |  |
| Non-glare finish (703.5.1)   |  |
| Contrast between characters and background (703.5.1)   |  |
| Width of uppercase "O" is between ≥ 55% and ≤ 110% of the height of uppercase "I" (703.5.4)  |  |
| Character height meets 703.5.5 to maximum extent practicable (See Circular Facilities Checklist Section 14 – Ticketing and Automatic Fare Vending.) Note: Bus schedules, timetables, and maps not required to comply |  |
| Characters upper or lower case (703.5.2)   |  |
| Characters "conventional" in form: no italic, oblique, script, or highly decorative (703.5.2)  |  |
| Width of uppercase "I" ≥ 10% to ≤ 30% of the height (703.5.7)  |  |
| Closest characters spaced between ≥ 10% and ≤ 35% of the character height (703.5.8)  |  |
| Bus Shelters (218.4)   |  |
| Connected by an accessible route to bus boarding and alighting area (810.3)  |  |
| Clear floor space of ≥ 30" by ≥ 48" entirely within shelter (305.3) (810.3)  |  |
| One side of the clear floor space adjoins accessible route (305.6)   |  |
| If the clear floor space is confined on any of three sides, width ≥ 36" for front approach or length ≥ 60" for parallel approach (305.7)   |  |
| Clear floor space: Surface stable, firm, and slip resistant and no changes in level > ¼" (305.2) (302.1)   |  |

## 4 Accessible Routes (DOT Standards 206, 207, 402, 403)

Identify routes that people use to get from points of arrival to a platform and all station elements such as ticketing, telephones, bathrooms, etc. Using example below, prepare a sketch or use an available site plan and floor plans. Then number and name each route for use while walking, applying the checklist. For design review, mark accessible routes on plans.

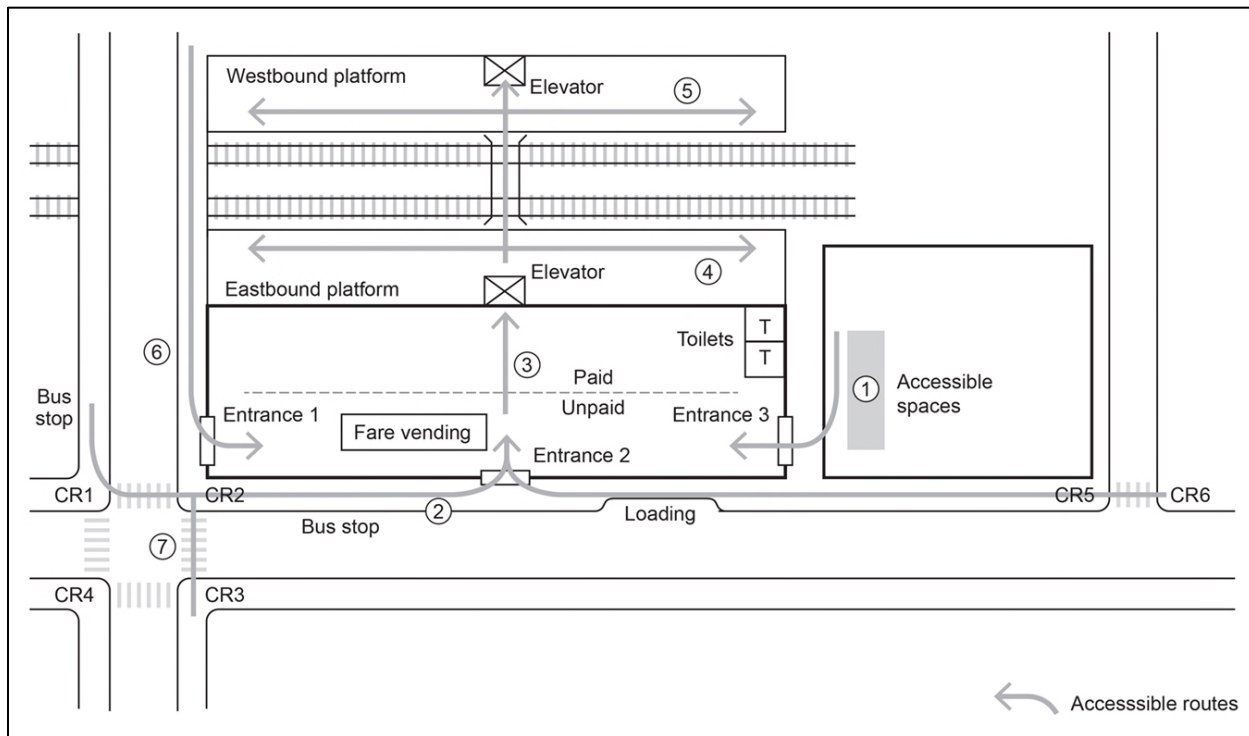
Note arrival points, including:

- Public sidewalks from adjacent land uses/city blocks (include curb ramps (CR) and street crossings adjacent to the facility)
- External bus loading for each adjacent bus route serving the facility
- Each separate area of accessible parking
- Each separate area of accessible loading
- Each accessible entrance

Note elements within the facility, including routes:

- To and along each internal bus platform
- To and along the full length of each rail platform
- To each separate area of waiting, ticket vending, telephones, toilet rooms, etc. (group these if appropriate to simplify number of routes)

Example: “Route 1 from accessible parking through station entrance to unpaid area; Route 2 from bus stop and loading to unpaid area; Route 3 from unpaid area via elevator to eastbound platform; Route 4 along length of eastbound platform; etc.”



Sample Drawing of Accessible Routes to Below-Grade Rail Station

| Assess each accessible route and note OK, No, or N/A<br>Note dimensions if No  | Route |   |   |   |   |   |
|--|-------|---|---|---|---|---|
|  | 1     | 2 | 3 | 4 | 5 | 6 |
| Accessible route coincides with general public route and minimizes distance relative to general public route (206.3 as modified by Part 37 Appendix A); If accessible route is longer, record distance |       |   |   |   |   |   |
| Accessible routes are interior where circulation paths are interior (206.3)  |       |   |   |   |   |   |
| At least one accessible route connects all transportation system elements required to be accessible at the same site (206.2.2)   |       |   |   |   |   |   |
| Doors $\geq 32"$ wide open to $90^\circ$ to opposite stop (404.2.3) (See Circular Facilities Checklist Section 8 – Doors)  |       |   |   |   |   |   |
| Route length no more than $24"$ if reduced to $32"$ wide min. (403.5.1)  |       |   |   |   |   |   |
| Reduced width segment separated by segments $\geq 36"$ wide for distance of $\geq 48"$ (403.5.1)   |       |   |   |   |   |   |
| If route is $< 60"$ wide, space $\geq 60"$ wide x $60"$ long at intervals do not exceed $200'$ (403.5.3)   |       |   |   |   |   |   |
| Where accessible route makes U-turn around an obstacle $\leq 48"$ wide,  |       |   |   |   |   |   |
| Pathway width is $\geq 42"$ on approaches (403.5.2)  |       |   |   |   |   |   |
| Pathway width is $\geq 48"$ in turn (403.5.2) EXCEPT where the clear width at the turn is $60"$ ( $1525$ mm) minimum compliance with 403.5.2 shall not be required                                     |       |   |   |   |   |   |
| Vertical clearance $\geq 80"$ except at door closers and door stops (307.4)  |       |   |   |   |   |   |
| Vertical clearance $\geq 78"$ at door closers and door stops (307.4)   |       |   |   |   |   |   |
| If area adjoining accessible route has vertical clearance $< 80"$ , cane-detectable barrier is $\leq 27"$ above floor (307.4)  |       |   |   |   |   |   |
| Objects protrude from walls into the accessible route $\leq 4"$ between $27"$ and $80"$ above the floor, EXCEPT handrails may protrude $\leq 4 \frac{1}{2}"$ (307.2)                                   |       |   |   |   |   |   |
| Objects protrude from posts or pylons into the circulation path $\leq 12"$ between $27"$ and $80"$ above the floor (307.3)   |       |   |   |   |   |   |
| Surface stable, firm, and slip resistant (302.1) and cross slope $\leq 1:48$ ( $2.1\%$ ) (403.3)   |       |   |   |   |   |   |
| Vertical changes $\leq \frac{1}{2}"$ (303.4)   |       |   |   |   |   |   |
| Vertical changes between $\frac{1}{4}"$ and $\frac{1}{2}"$ are beveled with slope $\leq 1:2$ (303.3)   |       |   |   |   |   |   |
| Untreated vertical changes $\leq \frac{1}{4}"$ (303.2)   |       |   |   |   |   |   |
| Any opening in floor, surface, or gratings: openings $\leq \frac{1}{2}"$ (302.3)   |       |   |   |   |   |   |
| Long dimension of openings perpendicular to direction of travel (302.3)  |       |   |   |   |   |   |
| At track crossings, horizontal gap on the inner edge of each rail $\leq 2 \frac{1}{2}"$ (810.10) and crossings comply with requirements for surface and level change                                   |       |   |   |   |   |   |

Sign/Route 6: \_\_\_\_\_

[illegible]

## 6 Curb Ramps (DOT Standard 406)

Curb ramps or ramps are required wherever there is a vertical change of  $\geq \frac{1}{2}$ " on an accessible path (303.4). Identify locations where curb ramps are on the accessible route and/or curbs where there are no ramps. Attach additional sheets for additional curb ramps and identify locations on map or diagram.

Curb Ramp 1: \_\_\_\_\_

Curb Ramp 4: \_\_\_\_\_

Curb Ramp 2: \_\_\_\_\_

Curb Ramp 5: \_\_\_\_\_

Curb Ramp 3: \_\_\_\_\_

Curb Ramp 6: \_\_\_\_\_

| Note OK, No, or N/A. Note dimensions if No   | Ramp Location |   |   |   |   |   |
|--|---------------|---|---|---|---|---|
|  | 1             | 2 | 3 | 4 | 5 | 6 |
| Ramps (except flared sides) at marked crossings are within the markings (406.5)  |               |   |   |   |   |   |
| Diagonal curb ramps at marked crossings have $\geq 48$ " clear from ramp bottom to the marking (406.6)                       |               |   |   |   |   |   |
| Ramp $\geq 36$ " wide, not including flared sides (406.1) (405.5)  |               |   |   |   |   |   |
| Landings $\geq 36$ " long and $\geq$ width of the curb ramp located at top of ramp (406.4)                                   |               |   |   |   |   |   |
| Transition to adjacent surfaces of walks, gutters, and streets shall be at the same level (406.2)                            |               |   |   |   |   |   |
| All ramp slopes, $\leq 1:12$ (8.3%) (406.1) (405.2)  |               |   |   |   |   |   |
| Side flares $\leq 1:10$ (10%) (406.3)  |               |   |   |   |   |   |
| Cross slope $\leq 1:48$ (2.1%) (405.3)   |               |   |   |   |   |   |
| Ramp slopes at sites where space limitations exist,  |               |   |   |   |   |   |
| $\geq 1:10$ (10%) to $\leq 1:8$ (12.5%) for $\leq 3$ " rise (405.2)  |               |   |   |   |   |   |
| $\geq 1:12$ (8.3%) to $\leq 1:10$ (10%) for $\leq 6$ " rise (405.2)  |               |   |   |   |   |   |
| Counter slope of adjoining gutter, road, or accessible route surface $\leq 1:20$ (5%) (406.2)                                |               |   |   |   |   |   |
| Islands at street crossings either:  |               |   |   |   |   |   |
| Cut through level with the street surface (406.7)  |               |   |   |   |   |   |
| Curb ramps provided at both sides of island with a $\geq 48$ " long $\geq 36$ " wide level area connecting the ramps (406.7) |               |   |   |   |   |   |
| <b>Detectable Warnings (406.8, 705)</b>  |               |   |   |   |   |   |
| Width: (406.8)   |               |   |   |   |   |   |
| Full depth of curb ramp or   |               |   |   |   |   |   |
| $\geq 24$ " from the back of curb  |               |   |   |   |   |   |
| The detectable warning contrasts visually with adjoining surfaces, either light-on-dark or dark-on-light (705.1.3)           |               |   |   |   |   |   |
| The detectable warning consists of raised truncated domes with:  |               |   |   |   |   |   |
| Base diameter $\geq 0.9$ " to $\leq 1.4$ " and top diameter 50% to 65% of base diameter (705.1.1)                            |               |   |   |   |   |   |
| Height of 0.2" (705.1.1)   |               |   |   |   |   |   |
| Center-to-center dome spacing $\geq 1.6$ " to $\leq 2.4$ " and base-to-base dome spacing $\geq 0.65$ " (705.1.2)             |               |   |   |   |   |   |

## 7 Entrances (DOT Standards 206, 207)

Label each entrance below (also note on sketch). Also label any exit doors that are not also entrances.

Entrance 1: \_\_\_\_\_ Entrance 2 \_\_\_\_\_ Entrance 3: \_\_\_\_\_  
Entrance 4: \_\_\_\_\_ Entrance 5 \_\_\_\_\_ Entrance 6: \_\_\_\_\_

| Note OK, No, or N/A. Note dimensions if No   | Entrance |   |   |   |   |   |
|--|----------|---|---|---|---|---|
|  | 1        | 2 | 3 | 4 | 5 | 6 |
| <b>Accessibility</b>   |          |   |   |   |   |   |
| At least 60% of all public entrances accessible (206.4.1)  |          |   |   |   |   |   |
| All direct access to facility from parking structure accessible (206.4.2)  |          |   |   |   |   |   |
| At least one accessible entrance for each group of transit routes (206.4.4.1)  |          |   |   |   |   |   |
| If direct connections to commercial, retail, or residential facilities, each must have an accessible route from point of connection to boarding platforms and accessible transportation elements (206.4.4.2). See Checklist Section 8 – Doors. |          |   |   |   |   |   |
| <b>Signage at Entrances (216.6)</b>  |          |   |   |   |   |   |
| If an entrance is not accessible, signage complying with 703.5 at entrance and along path accessible path of travel directs to nearest accessible entrance   |          |   |   |   |   |   |
| Accessible entrance, when not all entrances are accessible, is designated with ISA   |          |   |   |   |   |   |
| <b>Signage at Exit Doors (216.4)</b>   |          |   |   |   |   |   |
| Doors at exit passageways identified by tactile signs complying with 703.1, 703.2, and 703.5. See Advisory 216.4.1 regarding exit passageways.   |          |   |   |   |   |   |
| <b>Tactile Sign Location</b>   |          |   |   |   |   |   |
| If visual entrance sign ("station name" or "entrance") is provided at an entrance, then raised letter and braille signs are also provided at all such entrances in uniform location (810.6.1, 703.2, 703.4)                                    |          |   |   |   |   |   |
| Single door: Tactile sign is provided at latch side of door  |          |   |   |   |   |   |
| Double door two active leafs: Tactile sign is provided at right side of door   |          |   |   |   |   |   |
| Double door one active leaf: Tactile sign is provided on the inactive leaf   |          |   |   |   |   |   |
| Doors with closers and without hold-open devices: Tactile sign as described above, or push side of door  |          |   |   |   |   |   |
| If no wall space at prescribed location, sign on nearest adjacent wall   |          |   |   |   |   |   |
| <b>Signage for Stations with Undefined Entrances (810.6.1)</b>   |          |   |   |   |   |   |
| At least one tactile sign identifying the station is placed in a central location  |          |   |   |   |   |   |
| <b>Mounting</b>  |          |   |   |   |   |   |
| Mounting height $\geq 48"$ to base of lowest tactile character and $\leq 60"$ to base of highest tactile character (703.4.1)   |          |   |   |   |   |   |
| At doors: Signs containing tactile characters located so clear floor space $\geq 18"$ by $\geq 18"$ centered on tactile characters, provided beyond arc of door swing between closed position and $45^\circ$ open position (703.4.2)           |          |   |   |   |   |   |
| <b>Raised Characters</b>   |          |   |   |   |   |   |
| Characters raised $1/32"$ (703.2.1)  |          |   |   |   |   |   |
| Uppercase sans serif font (703.2.2) (703.2.3)  |          |   |   |   |   |   |
| Characters $\geq 5/8"$ to $\leq 2"$ high (703.2.5)   |          |   |   |   |   |   |
| $\geq 3/8"$ separation from borders and decorative elements (703.2.7)  |          |   |   |   |   |   |
| <b>Grade 2 Braille Characters</b>  |          |   |   |   |   |   |
| Below text; if multi-lined, below entire text (703.3.2)  |          |   |   |   |   |   |
| Separated from tactile characters and raised borders $\geq 3/8"$ (703.3.2)   |          |   |   |   |   |   |
| Braille dots domed or rounded shape (703.3.1)  |          |   |   |   |   |   |

## 8 Doors (DOT Standard 404)

Doors that are part of accessible route are required to be accessible (404.1). Identify configuration for each approach to each door (e.g., latch side pull) per Figure 404.2.4.1.

Door 1 \_\_\_\_\_ Door 4: \_\_\_\_\_

Door 2: \_\_\_\_\_ Door 5: \_\_\_\_\_

Door 3: \_\_\_\_\_

| Identify each door along each accessible route and note OK, No, or N/A.<br>Note dimensions if No   | Door |   |   |   |   |
|--|------|---|---|---|---|
|  | 1    | 2 | 3 | 4 | 5 |
| Revolving doors, revolving gates, or turnstiles not part of accessible route (404.2.1)   |      |   |   |   |   |
| <b>Clearances</b>  |      |   |   |   |   |
| Clear space needed for manual swinging doors and gates based on approach, parallel or perpendicular to doorway: varies depending on doorway configuration and approach. (See DOT Standards Figure 404.2.4.1) |      |   |   |   |   |
| Configuration (a) – (k)  |      |   |   |   |   |
| Minimum parallel clearance   |      |   |   |   |   |
| Actual parallel clearance  |      |   |   |   |   |
| Minimum perpendicular clearance  |      |   |   |   |   |
| Actual perpendicular clearance   |      |   |   |   |   |
| Two doors in series: Distance between doors $\geq 48"$ plus width of doors swinging into space between doors (404.2.6)   |      |   |   |   |   |
| <b>Thresholds</b>  |      |   |   |   |   |
| Thresholds (404.2.5) $\leq \frac{1}{2}"$ ; $\frac{1}{4}$ – $\frac{1}{2}"$ sloped 1:2; $\leq \frac{1}{4}"$ vertical   |      |   |   |   |   |
| Existing or altered thresholds $\leq \frac{3}{4}"$ with edges beveled $\leq 1:2$ slope (404.2.5)   |      |   |   |   |   |
| <b>Automatic and Power-Assisted Doors (404.3)</b>  |      |   |   |   |   |
| Automatic doors and automatic gates comply with 404.3. Full-powered automatic doors comply with ANSI/BHMA A156.10).  |      |   |   |   |   |
| Low-energy and power-assisted doors comply with ANSI/BHMA A156.19 (1997 or 2002 edition)   |      |   |   |   |   |
| <b>Door Clear Width (404.2.3)</b>  |      |   |   |   |   |
| Measured from door face to stop with door open at 90°  |      |   |   |   |   |
| All doors: $\geq 32"$ wide   |      |   |   |   |   |
| <b>Operation</b>   |      |   |   |   |   |
| Door hardware can be operated with one hand and not require tight grasping, pinching, or twisting of wrist (404.2.7) (309.4)   |      |   |   |   |   |
| Force needed to activate operable part $\leq 5$ pounds   |      |   |   |   |   |
| Operable parts of door hardware mounted $\geq 34"$ to $\leq 48"$ above ground (404.2.7)  |      |   |   |   |   |
| Interior hinged door opening force $\leq 5$ pounds (404.2.9); not applicable to exterior doors   |      |   |   |   |   |
| For fire doors, minimum force allowable by appropriate authority per applicable fire code. (404.2.9)   |      |   |   |   |   |
| Doors with closers: sweep period of $\geq 5$ seconds from 90° open position to point 12° from latch (404.2.8.1)  |      |   |   |   |   |
| Double-Leaf Doors and Gates: At least one of the active leaves of doorways with two leaves comply with 404.2.3 and 404.2.4   |      |   |   |   |   |

## 9 Ramps (DOT Standards 303, 405)

Change in level along accessible route greater than ½" requires ramp (303.4). Identify ramps and locations where ramps are required.

Ramp 1: \_\_\_\_\_

Ramp 3: \_\_\_\_\_

Ramp 2: \_\_\_\_\_

Ramp 4: \_\_\_\_\_

| Note OK, No, or N/A. Note dimensions if No   | 1 | 2 | 3 | 4 |
|--|---|---|---|---|
| <b>Clearances</b>  |   |   |   |   |
| Minimum clear width 36" (between handrails) (405.5)  |   |   |   |   |
| <b>Grade Slope</b>   |   |   |   |   |
| Running slope ≤ 1:12 (8.3%) (405.2) (See exception in 405.2 for existing facilities)   |   |   |   |   |
| Cross slope ≤ 1:48 (2.1%) (405.3)  |   |   |   |   |
| Vertical rise between landings not to exceed 30" (405.6); therefore, minimum ramp run length 30' to achieve 1:12 slope, 50' to achieve 1:20 slope                          |   |   |   |   |
| <b>Landings</b>  |   |   |   |   |
| Landings at top and bottom of each run (405.7)   |   |   |   |   |
| Landing length ≥ 60" long (405.7.3)  |   |   |   |   |
| Landing width along straight run ≥ width of ramp (405.7.2)   |   |   |   |   |
| Landings at a change of direction ≥ 60" x 60" (405.7.4)  |   |   |   |   |
| See Advisory 405.7 regarding ramps without level landings at changes in direction and potential for compound slopes that will not meet the requirements.                   |   |   |   |   |
| <b>Surface (405.4)</b>   |   |   |   |   |
| Stable, firm, and slip resistant   |   |   |   |   |
| No change in level on ramp runs, other than slope and cross slope  |   |   |   |   |
| <b>Handrails</b>   |   |   |   |   |
| Handrails provided on both sides for length of ramp, if ramp rise > 6" (405.8) (505.2)   |   |   |   |   |
| Handrail continuous (505.3)  |   |   |   |   |
| Outside rail continuous for length of each run   |   |   |   |   |
| Inside rail continuous between runs  |   |   |   |   |
| Handrails extend ≥ 12" horizontally beyond top and bottom of ramp (505.10.1).  |   |   |   |   |
| End of handrail returned to wall, guard, or floor (505.10.1)   |   |   |   |   |
| Handrail extension is not a protruding object and does not project more than 4 inches into the circulation path at a height more than 27 inches above finish floor (307.2) |   |   |   |   |
| Tops of handrails ≥ 34" to ≤ 38" above ground (505.4)  |   |   |   |   |
| Clearance ≥ 1 ½" between gripping surface and adjoining surface (505.5)  |   |   |   |   |
| Circular handrail diameter ≥ 1 ¼" and ≤ 2" (505.7.1)   |   |   |   |   |
| Non-circular handrail perimeter dimension ≥ 4" and ≤ 6 ¼" and diameter ≤ 2 ¼" (505.7.2)  |   |   |   |   |
| Handrail protrudes ≤ 4 ½" from wall (307.2)  |   |   |   |   |

| Edge Protection  |  |  |  |  |
|--|--|--|--|--|
| Edge protection (A or B below) provided on each side of ramp runs and landings if ramp rise > 6" (405.9) or drop-off > ½" within 10" of landing area (405.9) |  |  |  |  |
| A: Surface of run or landing extends ≥ 12" beyond inside surface of handrail (405.9.1)   |  |  |  |  |
| B: Curb or barrier that prevents passage of 4" diameter sphere any portion of which is within 4" of floor/ground surface (405.9.2)                           |  |  |  |  |
| Wet Conditions   |  |  |  |  |
| Ramp landings subject to wet conditions designed to prevent the accumulation of water (405.7)  |  |  |  |  |

## 10 Stairs (DOT Standards 210.1, 504, 302.1, 505)

In alterations, stairs between levels where an accessible route already exists are required to comply only with handrail requirements. (210.1 Exception 2)

| Note OK, No, or N/A. Note dimensions if No  | 1 | 2 | 3 | 4 |
|---|---|---|---|---|
| <b>Risers</b>   |   |   |   |   |
| Risers heights are uniform (504.2)  |   |   |   |   |
| Risers are 4 inches (100 mm) high minimum and 7 inches (180 mm) high maximum (504.2)  |   |   |   |   |
| No open risers (504.3)  |   |   |   |   |
| <b>Treads</b>   |   |   |   |   |
| Treads have uniform depths (504.2)  |   |   |   |   |
| Treads are 11 inches (280 mm) deep minimum (504.2)  |   |   |   |   |
| Surface stable, firm, and slip resistant and slope is $\leq 1:48$ (2.1%) (504.4)  |   |   |   |   |
| <b>Nosings</b>  |   |   |   |   |
| Radius of curvature at the leading edge of the tread $\frac{1}{2}$ " (13 mm) maximum (504.5)  |   |   |   |   |
| Nosings that project beyond risers the underside of the leading edge curved or beveled (504.5)  |   |   |   |   |
| Risers slope under the tread up to an angle of 30 degrees maximum from vertical (504.5)   |   |   |   |   |
| Permitted projection of the nosing extends $1\frac{1}{2}$ (38 mm) maximum over the tread below (504.5)  |   |   |   |   |
| <b>Handrails</b>  |   |   |   |   |
| Handrails provided on both sides of stairs (505.2)  |   |   |   |   |
| Handrail continuous (505.3)   |   |   |   |   |
| Outside rail continuous for length of each stair flight   |   |   |   |   |
| Inside rail continuous between flights  |   |   |   |   |
| At top, handrails extend $\geq 12$ " horizontally beyond first riser nosing (505.10.2)  |   |   |   |   |
| At bottom, handrails extend at slope of stair flight for a horizontal distance of at least one tread depth beyond last riser nosing. (505.10.3) |   |   |   |   |
| End of handrail returned to wall, guard, or floor (505.10.1)  |   |   |   |   |
| Tops of handrails $\geq 34$ " to $\leq 38$ " above stair nosing at consistent height (505.4)  |   |   |   |   |
| Clearance $\geq 1\frac{1}{2}$ " between gripping surface and adjoining surface (505.5)  |   |   |   |   |
| Circular handrail diameter $\geq 1\frac{1}{4}$ " and $\leq 2$ " (505.7.1)   |   |   |   |   |
| Non-circular handrail perimeter dimension $\geq 4$ " and $\leq 6\frac{1}{4}$ " and diameter $\leq 2\frac{1}{4}$ " (505.7.2)                     |   |   |   |   |
| <b>Wet Conditions</b>   |   |   |   |   |
| Stair treads and landings subject to wet conditions designed to prevent the accumulation of water (504.7)                                       |   |   |   |   |

## 11 Elevators (DOT Standard 206.6, 407)

A passenger elevator complying with the Standards is required to serve each story or mezzanine in all multi-story facilities not served by a ramp or other accessible route (206.2.3). Label elevators by location (use sketch if available).

Elevator 1: \_\_\_\_\_

Elevator 3: \_\_\_\_\_

Elevator 2: \_\_\_\_\_

Elevator 4: \_\_\_\_\_

| Note OK, No, or N/A. Note dimensions if No   | Elevator |   |   |   |
|--|----------|---|---|---|
|  | 1        | 2 | 3 | 4 |
| Location (206.3)   |          |   |   |   |
| Elevator located on an accessible route that coincides or is located in the same area as general circulation paths? (206.3)  |          |   |   |   |
| Hoistway Signage (407.2.3)   |          |   |   |   |
| Raised and Braille floor designations on both jambs (407.2.3.1)  |          |   |   |   |
| Mounting height $\geq 48$ " from ground to base of lowest tactile character and $\leq 60$ " to base of highest tactile character (703.4.1)                         |          |   |   |   |
| At main entry level, tactile star on both jambs (407.2.3.1)  |          |   |   |   |
| Characters   |          |   |   |   |
| Uppercase sans serif font (703.2.2) (703.2.3)  |          |   |   |   |
| Characters $\geq 2$ " high (407.2.3.1)   |          |   |   |   |
| Characters raised $1/32$ " (703.2.1)   |          |   |   |   |
| Accompanied by Grade 2 Braille (703.2)   |          |   |   |   |
| Hall Call Buttons (All Levels) (407.2.1)   |          |   |   |   |
| Clear floor area at call buttons $\geq 48$ " deep by $\geq 60$ " wide by $\geq 80$ " high (407.2.1.3) (305)  |          |   |   |   |
| Up button above the down button (407.2.1.4)  |          |   |   |   |
| Visible signals light up when call registered and extinguish when call answered (407.2.1.5)<br>Exception: existing elevators not required to comply with 407.2.1.5 |          |   |   |   |
| Centerline of lowest call button $\geq 15$ " above the floor (407.2.1.1) (308)   |          |   |   |   |
| Centerline of highest call button $\leq 48$ " above the floor (407.2.1.1) (308)  |          |   |   |   |
| Button $\geq 3/4$ " in smallest dimension (407.2.1.2)<br>Exception: in existing elevators, buttons not required to comply with 407.2.1.2                           |          |   |   |   |
| Buttons raised or flush (407.2.1)<br>Exception: existing elevators may have recessed buttons   |          |   |   |   |
| Hall Signals (All Levels) (407.2.2)  |          |   |   |   |
| Visible and audible signal at each hoistway entrance (407.2.2.1)   |          |   |   |   |
| Signal visible from area adjacent to the hall call button (407.2.2.1)  |          |   |   |   |
| Hall lantern fixtures $> 72$ " above the floor at centerline (407.2.2.2)   |          |   |   |   |
| Visible signal $\geq 2 \frac{1}{2}$ " high measured at centerline of signal (407.2.2.2)  |          |   |   |   |
| Audible signal one for "up" and two for "down" or verbal annunciators (407.2.2.3)  |          |   |   |   |
| Door Operations  |          |   |   |   |
| Time from notification that car is answering a call until doors begin to close $\geq 5$ seconds (407.3.4)  |          |   |   |   |
| Door remains fully open $\geq 3$ seconds (407.3.5)   |          |   |   |   |
| Horizontal gap between car and hall floors $\leq 1 \frac{1}{4}$ " at all levels (407.4.3)  |          |   |   |   |
| Vertical gap between car and hall floors $\leq \frac{1}{2}$ " at all levels (407.4.4)  |          |   |   |   |
| Reopening devices effective at heights of 5" and 29" above floor (407.3.3.1)   |          |   |   |   |
| Reopening devices do not require physical contact to be activated (407.3.3.2)  |          |   |   |   |
| Door reopening devices to remain effective for 20 seconds minimum (407.3.3.3)  |          |   |   |   |

| Note OK, No, or N/A. Note dimensions if No   | Elevator |   |   |   |
|--|----------|---|---|---|
|  | 1        | 2 | 3 | 4 |
| <b>Car Controls (407.4.6)</b>  |          |   |   |   |
| Emergency control buttons grouped at bottom of panel (407.4.6.4.2)   |          |   |   |   |
| Lowest button centerline $\geq 35"$ from floor (407.4.6.4.1)   |          |   |   |   |
| If $> 16$ buttons, highest button centerline $\leq 54"$ from floor (407.4.6.1)   |          |   |   |   |
| If $\leq 16$ buttons, highest button centerline $\leq 48"$ from floor (407.4.6.1) (308.2)  |          |   |   |   |
| Control buttons $\geq 3/4"$ in smallest dimension (407.4.6.2.1)  |          |   |   |   |
| Control buttons raised or flush (407.4.6.2)<br>Exception: existing elevators may have recessed buttons   |          |   |   |   |
| Raised character and braille designations immediately to the left of all buttons (407.4.7.1.2)   |          |   |   |   |
| <b>Raised Characters (703.2) - Car Controls</b>  |          |   |   |   |
| Uppercase sans serif font (703.2.2) (703.2.3)  |          |   |   |   |
| Characters raised $\geq 1/32"$ (703.2.1)   |          |   |   |   |
| Characters $\geq 5/8"$ to $\leq 2"$ high (703.2.5)   |          |   |   |   |
| $\geq 3/8"$ separation from borders and decorative elements (703.2.7)  |          |   |   |   |
| Tactile symbols identify main floor, emergency stop, alarm, door open and close, and phone (407.4.7.1.3)   |          |   |   |   |
| Floor buttons have visual signals that light when call is registered and extinguish when call answered (407.4.7.1.4)   |          |   |   |   |
| <b>Car Position Indicators (407.4.8)</b>   |          |   |   |   |
| Audible car position indicator provided  |          |   |   |   |
| Visual car position indicator provided above car control panel or door   |          |   |   |   |
| Visual indicator over door or over control panel, (407.4.8.1.2)  |          |   |   |   |
| Floor number on indicators $\geq 1/2"$ high (407.4.8.1.1)  |          |   |   |   |
| Visual and audible signal as car passes/stops at floor (407.4.8.1.3)   |          |   |   |   |
| <b>Elevator Car Requirements</b>   |          |   |   |   |
| Floor covering stable, firm, slip resistant, and no vertical changes (407.4.2) (302) (303)   |          |   |   |   |
| Illumination $\geq 5$ foot-candles (54 lux) (407.4.5)  |          |   |   |   |
| Inside dimensions of elevator cars and clear width of elevator doors comply with Table 407.4.1 (below)<br>Exception: Existing elevator car configurations that provide a clear floor area of 16 square feet (1.5 square meters) minimum and also provide an inside clear depth of 54" (1,370 mm) minimum and a clear width of 36" (915 mm) minimum are permitted |          |   |   |   |
| Width of elevator door complies with Table 407.4.1   |          |   |   |   |
| <b>Emergency Communication</b>   |          |   |   |   |
| Identified by tactile symbol and characters adjacent to device (407.4.9) and comply with 7.03.2 (see above)  |          |   |   |   |
| Highest operable part $\leq 48"$ above floor (407.4.9, 308)  |          |   |   |   |
| Lowest operable part $\geq 15"$ above floor (407.4.9, 308)   |          |   |   |   |

| Elevator Car and Door Dimensions  |                                 |                                  |                                       |  |
|---|---------------------------------|----------------------------------|---------------------------------------|--|
| Door Location   | Door Clear Width                | Minimum Dimensions               |                                       |  |
|   |                                 | Inside Car, Side to Side         | Inside Car, Back Wall to Front Return | Inside Car, Back Wall to Inside Face of Door |
| Centered  | 42 inches (1065 mm)             | 80 inches (2030 mm)              | 51 inches (1.295 mm)                  | 54 inches (1.370 mm)                         |
| Side (off-centered)   | 36 inches (915 mm) <sup>1</sup> | 68 inches (1725 mm)              | 51 inches (1.295 mm)                  | 54 inches (1.370 mm)                         |
| Any   | 36 inches (915 mm) <sup>1</sup> | 54 inches (1370 mm)              | 80 inches (2.030 mm)                  | 80 inches (2.030 mm)                         |
| Any   | 36 inches (915 mm) <sup>1</sup> | 60 inches (1525 mm) <sup>2</sup> | 60 inches (1.525 mm) <sup>2</sup>     | 60 inches (1.525 mm) <sup>2</sup>            |
| 1. A tolerance of minus 5/8" (16 mm) is permitted   |                                 |                                  |                                       |  |
| 2. Other car configurations that provide a turning space complying with Section 304 with door closed shall be permitted |                                 |                                  |                                       |  |

[Table 407.4.1](#)

## 12 Platform Lifts (DOT Standard 410)

Identify lifts along accessible routes.

Lift 1: \_\_\_\_\_

Lift 3: \_\_\_\_\_

Lift 2: \_\_\_\_\_

Lift 4: \_\_\_\_\_

| Note OK, No, or N/A. Note dimensions if No   | Lifts |   |   |   |
|--|-------|---|---|---|
|  | 1     | 2 | 3 | 4 |
| Platform lift permitted only where exterior site constraints make ramp or elevator infeasible (206.7.5)                    |       |   |   |   |
| Elevator located on an accessible route that coincides or is located in the same area as general circulation paths (206.3) |       |   |   |   |
| <b>Clearances</b>  |       |   |   |   |
| Clear floor area at operable parts outside of lift $\geq 30"$ by $\geq 48"$ (309.2, 305.7)                                 |       |   |   |   |
| End doors and gates $\geq 32"$ wide (410.6)  |       |   |   |   |
| Side doors and gates $\geq 42"$ wide (410.6)   |       |   |   |   |
| Clear floor space on lift platform $\geq 36" \times \geq 48"$ end door (in alcove) (410.3) (305)                           |       |   |   |   |
| Clear floor space on lift platform $\geq 36" \times \geq 60"$ side door (in alcove)  |       |   |   |   |
| Clear vertical clearance $\geq 80"$ (410.1)  |       |   |   |   |
| Horizontal gap between platform sill and landings $\leq 1 \frac{1}{4}"$ at all levels (410.4)                              |       |   |   |   |
| <b>Surface</b>   |       |   |   |   |
| Floor surface in lift is stable, firm, and slip resistant (410.2) (302) (303)  |       |   |   |   |
| <b>Controls</b>  |       |   |   |   |
| If horizontal obstruction $\leq 10"$ , controls mounted between $\geq 15"$ and $\leq 48"$ (308.2, 308.3)                   |       |   |   |   |
| If horizontal obstruction $> 10"$ to $\leq 24"$ , controls mounted between $\geq 15"$ and $\leq 44"$ (308.2.2)             |       |   |   |   |
| <b>Operation</b>   |       |   |   |   |
| Unassisted entry, operation, and exit (410.1)  |       |   |   |   |
| Controls are operable with one hand without grasping, pinching, or twisting (309.4)  |       |   |   |   |
| Force required for controls $\leq 5$ foot pounds (309.4)   |       |   |   |   |
| Doors remain open $\geq 20$ seconds (410.6)  |       |   |   |   |

## 13 Escalators (New Stations) (DOT Standard 810.9)

Identify escalators along accessible routes.

Escalator 1: \_\_\_\_\_

Escalator 3: \_\_\_\_\_

Escalator 2: \_\_\_\_\_

Escalator 4: \_\_\_\_\_

| Note OK, No, or N/A. Note dimensions if No  | Escalators |   |   |   |
|---|------------|---|---|---|
|   | 1          | 2 | 3 | 4 |
| Escalators clear width of $\geq 32"$ (810.9)  |            |   |   |   |
| At the top and bottom of each escalator run, $\geq 2$ and $\leq 4$ contiguous treads level beyond comb plate before risers begin to form (810.9, ASME A17.1 Sec. 6.1.3.6.5) |            |   |   |   |
| Slip resistant strip of contrasting color on the back and side of each tread $\geq 1 \frac{1}{2}"$ and $\leq 2"$ wide (810.9, ASME A17.1 Sec. 6.1.3.5.6)                    |            |   |   |   |

## 14 Ticketing and Automatic Fare Vending (DOT Standards 206, 220, 305, 404, 707, 904)

| Note OK, No, or N/A. Note dimensions if No  | Accessible Route |   |   |   |
|---|------------------|---|---|---|
|   | 1                | 2 | 3 | 4 |
| <b>Ticketing</b>  |                  |   |   |   |
| Located on an accessible route (206.2.4)  |                  |   |   |   |
| Ticketing, fare vending, and collection areas located on an accessible route that coincides with the route used by general public (206.2.4, 206.3)  |                  |   |   |   |
| Counter $\leq 36"$ high above the ground (904.4.1, 904.4.2)   |                  |   |   |   |
| Parallel approach: Counter $\geq 36"$ long with clear floor space complying with 305 parallel to $36"$ dimension (904.4.1)  |                  |   |   |   |
| Forward approach: Counter $\geq 30"$ long with clear floor space complying with 305 perpendicular to $30"$ dimension and knee and toe clearance complying with 306 below counter (904.4.2)              |                  |   |   |   |
| <b>Automatic Fare Vending and Fare Adjustment Devices</b>   |                  |   |   |   |
| Fare vending components adjoin or overlap an accessible route (206.3)   |                  |   |   |   |
| If self-service fare vending provided, $\geq 1$ accessible device of each type at each location (220.1)   |                  |   |   |   |
| If self-service fare adjustment provided, $\geq 1$ accessible device at each location (220.1)   |                  |   |   |   |
| If self-service fare collection provided, $\geq 1$ accessible device at each location (220.1)   |                  |   |   |   |
| Clear floor area in front of accessible fare device $\geq 80"$ high and $\geq 48"$ deep by $\geq 30"$ wide (forward approach) or $\geq 30"$ deep by $\geq 48"$ wide (parallel approach) (305.5) (707.2) |                  |   |   |   |
| If device in a confined space:  |                  |   |   |   |
| If forward approach depth $\geq 24"$ , approach $\geq 36"$ wide (305.7.1)   |                  |   |   |   |
| If side approach depth $\geq 15"$ , approach $\geq 60"$ wide (305.7.2)  |                  |   |   |   |

| Note OK, No, or N/A. Note dimensions if No   | Accessible Route |   |   |   |
|--|------------------|---|---|---|
|  | 1                | 2 | 3 | 4 |
| If coin or card slots or controls necessary for operation including top of touch-screen are provided:  |                  |   |   |   |
| If forward reach and obstruction ≤ 20" deep, then controls mounted between ≥ 15" and ≤ 48" (308.2.1)   |                  |   |   |   |
| If forward reach and obstruction > 20" to ≤ 25" deep, then controls mounted between ≥ 15" and ≤ 44" (308.2.2)  |                  |   |   |   |
| If side reach and obstruction ≤ 10" deep and ≤ 15" high, then controls mounted between ≥ 15" and ≤ 48" (308.3.1)                                     |                  |   |   |   |
| If side reach and obstruction > 10" to ≤ 24" deep and ≥ 15" to ≤ 34" high, then controls mounted > height of obstruction to ≤ 46" (308.3.2)          |                  |   |   |   |
| Controls and operating mechanisms are operable with one hand and do not require tight grasping, pinching, or twisting of the wrist (707.3, 309.4)    |                  |   |   |   |
| The force required to activate controls is no greater than 5 pounds (707.3) (309.4)  |                  |   |   |   |
| Instructions and information to complete all transactions are accessible and independently usable by individuals with vision impairments (707.5)     |                  |   |   |   |
| <b>Input Devices</b>   |                  |   |   |   |
| At least one tactilely discernable input control provided for each function (707.6.1)  |                  |   |   |   |
| Key surfaces raised (707.6.1)  |                  |   |   |   |
| Numeric keys arranged in ascending or descending telephone keypad layout with "5" key tactilely distinct (707.6.2)                                   |                  |   |   |   |
| Function keys contrast visually from background surfaces, light-on-dark, dark-on-light (707.6.3.1)   |                  |   |   |   |
| Characters and symbols on key surfaces contrast from key surfaces  |                  |   |   |   |
| Function key surfaces have tactile symbols as follows: (707.6.3.2)   |                  |   |   |   |
| Enter or Proceed key: Raised circle  |                  |   |   |   |
| Clear or Correct key: Raised left arrow  |                  |   |   |   |
| Cancel key: Raised letter "X"  |                  |   |   |   |
| Add Value key: Raised plus ("+") sign  |                  |   |   |   |
| Decrease Value key: Raised minus ("–") sign  |                  |   |   |   |
| <b>Speech Output</b>   |                  |   |   |   |
| Machine speech enabled (707.5)   |                  |   |   |   |
| Braille instructions for initiating speech mode provided and comply with 703.3 (707.8)   |                  |   |   |   |
| User can interrupt and repeat speech and control volume (707.5.1)  |                  |   |   |   |
| Where receipts provided, audible balance information, error messages, and information necessary to complete or verify transaction provided (707.5.2) |                  |   |   |   |
| <b>Display Screen</b>  |                  |   |   |   |
| Screen visible from a point 40" above the center of the clear floor space in front of the machine (707.7.1)  |                  |   |   |   |
| Sans serif font (707.7.2)  |                  |   |   |   |
| Uppercase "I" ≥ 3/16" high (707.7.2)   |                  |   |   |   |
| Characters contrast with background, light-on-dark or dark-on-light (707.7.2)  |                  |   |   |   |

| Note OK, No, or N/A. Note dimensions if No  | Accessible Route |   |   |   |
|---|------------------|---|---|---|
|   | 1                | 2 | 3 | 4 |
| <b>Fare Gate Components (404.2)</b>   |                  |   |   |   |
| <b>Landing</b>  |                  |   |   |   |
| Clear space needed for gates based on approach, parallel or perpendicular to gate. (See DOT Standards Figure 404.2.4.1)     |                  |   |   |   |
| Gate Location   |                  |   |   |   |
| Configuration (a) – (k)   |                  |   |   |   |
| Minimum parallel clearance  |                  |   |   |   |
| Actual parallel clearance   |                  |   |   |   |
| Minimum perpendicular clearance   |                  |   |   |   |
| Actual perpendicular clearance  |                  |   |   |   |
| <b>Gate</b>   |                  |   |   |   |
| Width (404.2.3) Measured from door face to opposite stop with door open at 90°  |                  |   |   |   |
| All doors ≥ 32" wide  |                  |   |   |   |
| Kick plate (404.2.10)   |                  |   |   |   |
| Gate surface on push side between the finish floor and a height of ≥ 10" has smooth surface on extending full width of gate |                  |   |   |   |
| Kick plate surface free of changes in depth at joints of ≥ 1/16"  |                  |   |   |   |
| Operable parts of hardware between ≥ 34" and ≤ 48" above floor (404.2.7)  |                  |   |   |   |
| Opening force ≤ 5 pounds for interior hinged gate (404.2.9)   |                  |   |   |   |

## 15 Platforms (DOT Standards 403, 810)

Fill out survey sheet for each platform assessed. Identify each platform below:

Platform 1: \_\_\_\_\_

Platform 3: \_\_\_\_\_

Platform 2: \_\_\_\_\_

Platform 4: \_\_\_\_\_

| Indicate OK, No, or N/A. Note dimensions if No   | 1 | 2 | 3 | 4 |
|--|---|---|---|---|
| <b>Clearances</b>  |   |   |   |   |
| Along the accessible route to the platform, clear width at least 36" wide, except:   |   |   |   |   |
| Clear width may be 32" wide to < 36" wide for distance of ≤ 24" provided that narrower segments are separated by segments of at least 48" (403.5.1)  |   |   |   |   |
| At intervals of ≤ 200', route clearance ≥ 60" wide for distance of ≥ 60" (passing space) (403.5.3)   |   |   |   |   |
| <b>Platform Width (§§ 37.9, 37.41-37.43, 38.125)</b>   |   |   |   |   |
| For a new or altered conventional non-level boarding side passenger platform with a railing or wall on the platform side opposite the track, minimum platform width at least 12 feet. (See <a href="#">DOT Rail Q&amp;A Guidance</a> ) |   |   |   |   |
| For a new or altered conventional level boarding side passenger platform with a railing or wall on the platform side opposite the track, minimum platform width at least 8 feet. (See <a href="#">DOT Rail Q&amp;A Guidance</a> )      |   |   |   |   |
| <b>Slope (810.5.1)</b>   |   |   |   |   |
| Parallel to the track the slope is ≤ 1:48 (2.1%)   |   |   |   |   |
| Exception: if existing track ≤ the slope of the track  |   |   |   |   |
| Perpendicular to track the slope is ≤ 1:48 (2.1%)  |   |   |   |   |
| <b>Detectable Warning</b>  |   |   |   |   |
| Platform boarding edges, not protected by screens or guards, have a detectable warning along the full length of the public use area of the platform (810.5.2, 705.2)   |   |   |   |   |
| The detectable warning contrasts visually with adjoining surfaces, either light-on-dark or dark-on-light (705.1.3)   |   |   |   |   |
| The detectable warning is 24" wide (705.2)   |   |   |   |   |
| The detectable warning consists of raised truncated domes with:  |   |   |   |   |
| Base diameter ≥ 0.9" to ≤ 1.4", top diameter 50% to 65% of base diameter (705.1.1)   |   |   |   |   |
| Height of 0.2" (705.1.1)   |   |   |   |   |
| Dome center-to-center spacing ≥ 1.6" to ≤ 2.4", base-to-base dome spacing ≥ 0.65" (705.1.2)  |   |   |   |   |
| <b>Platform Signs</b>  |   |   |   |   |
| At least one tactile sign with raised characters and braille on each platform or boarding area identifying the station (703.2, 703.3, 810.6.2). (See requirements below)   |   |   |   |   |
| Signs, to maximum extent practicable, in uniform locations within system (810.6.2)   |   |   |   |   |
| Mounting height ≥ 48" from ground to base of lowest tactile character and ≤ 60" to base of highest tactile character (703.4.1)   |   |   |   |   |
| Clear floor space ≥ 18" by ≥ 18" centered on the tactile characters (703.4.2)  |   |   |   |   |

| Indicate OK, No, or N/A. Note dimensions if No  | 1 | 2 | 3 | 4 |
|---|---|---|---|---|
| <b>Route and Destination Signs</b>  |   |   |   |   |
| Lists of stations, routes, and destinations served by the station and located in boarding areas, on platforms, or on mezzanines comply with 703.5 sign requirements below (810.6.2). Requirement does not apply to maps.    |   |   |   |   |
| Exception: Platform signs and Route and Destination signs are not required to comply with above requirements where audible signs are remotely transmitted to hand-held receivers or are user- or proximity actuated (810.6) |   |   |   |   |
| <b>Raised Characters and Braille (703.2, 703.3)</b>   |   |   |   |   |
| Characters raised $\geq 1/32"$ (703.2.1)  |   |   |   |   |
| Uppercase sans serif font (703.2.2) (703.2.3)   |   |   |   |   |
| Characters $\geq 5/8"$ to $\leq 2"$ high (703.2.5)  |   |   |   |   |
| $\geq 3/8"$ separation from borders and decorative elements (703.2.7)   |   |   |   |   |
| Accompanied by Grade 2 Braille (703.2)  |   |   |   |   |
| Braille characters below text; if multi-lined, below entire text (703.3.2)  |   |   |   |   |
| Braille characters are separated from tactile characters and raised borders $\geq 3/8"$ (703.3.2)   |   |   |   |   |
| Braille dots domed or rounded shape (703.3.1)   |   |   |   |   |
| <b>Station Name Signs</b>   |   |   |   |   |
| Name signs located at frequent intervals and clearly visible to sitting and standing passengers from within the vehicle on both sides when not obstructed by another vehicle (810.6.3)                                      |   |   |   |   |
| Station name signs comply with 703.5 sign requirements below (810.6.3)  |   |   |   |   |
| <b>Visual Characters (703.5)</b>  |   |   |   |   |
| Visual characters $\geq 40"$ above finish floor or ground (703.5.6)   |   |   |   |   |
| Character Height (703.5.5)  |   |   |   |   |
| For characters $\geq 40"$ and $\leq 70"$ above the ground, height of uppercase letter "I" $\geq 5/8"$ (703.5.5)   |   |   |   |   |
| For characters $> 70"$ and $\leq 120"$ above the ground, character height of uppercase letter "I" $\geq 2"$ (703.5.5)   |   |   |   |   |
| For signs $> 120"$ above the ground, character height of uppercase letter "I" $\geq 3"$ (703.5.5), except where sign space is limited (810.6.2)   |   |   |   |   |
| Characters and background have non-glare finish. Contrast between characters and background: Either light characters on dark background or dark characters on light background (703.5.1)                                    |   |   |   |   |
| Style: Characters in conventional form: Characters not Italic, oblique, script, highly decorative, or other unusual forms (703.5.3)   |   |   |   |   |
| Character Proportion: Width of uppercase "O" is between $\geq 55\%$ and $\leq 110\%$ of the height of uppercase "I" (703.5.4)   |   |   |   |   |
| Stroke: Width of uppercase "I" $\geq 10\%$ to $\leq 30\%$ of the height (703.5.7)   |   |   |   |   |
| Closest characters spaced between $\geq 10\%$ and $\leq 35\%$ of the character height (703.5.8)   |   |   |   |   |
| Spacing between the baselines of separate lines of characters within message spaced between $135\%$ and $170\%$ of character height (703.5.9)   |   |   |   |   |
| <b>Coordination with Vehicle Floor</b>  |   |   |   |   |
| <b>Rapid Rail</b>   |   |   |   |   |
| Platform edge within $3"$ horizontal of vehicle door and $\pm 5/8"$ vertical of vehicle floor under all normal operating conditions (§ 38.53(d))  |   |   |   |   |
| Exceptions: (1) $\pm 1\ 1/2"$ vertical for new vehicles in existing stations;<br>(2) $4"$ horizontal and $\pm 2"$ vertical for retrofitted car and new or key station, under 50% passenger load                             |   |   |   |   |

| Indicate OK, No, or N/A. Note dimensions if No  | 1 | 2 | 3 | 4 |
|---|---|---|---|---|
| <b>Light Rail</b>   |   |   |   |   |
| Platform edge within 3" horizontal of vehicle door and 5/8" vertical of vehicle floor under all normal operating conditions (§ 38.73(d))<br>Exceptions: (1) $\pm 1 \frac{1}{2}$ " vertical for new vehicles in existing stations;<br>(2) 4" horizontal and $\pm 2$ " vertical for retrofitted car and new or key station, under 50% passenger load  |   |   |   |   |
| Standards require platform to be $\geq 8$ " above top of rail except where vehicles are boarded from sidewalk or street level   |   |   |   |   |
| Note: If station is located on a pedestrian mall, city street, or other area where level boarding is infeasible, lifts, ramps, bridge plates or mini-high platforms are permissible (810.5, 810.5.3 as modified by Part 37 Appendix A). Consult with FTA in these situations.   |   |   |   |   |
| <b>Commuter Rail</b>  |   |   |   |   |
| For platforms serving a track not also used for existing freight service, platform edge within 3" horizontal of vehicle door and 5/8" vertical of vehicle floor under all normal operating conditions (§ 38.93(d)). See Part 37 <a href="#">Appendix D</a> to § 37.42 discussion of maximum gaps for level boarding and gap mitigation.<br>Exceptions: (1) $\pm 1 \frac{1}{2}$ " vertical for new vehicles in existing stations;<br>(2) 4" horizontal and $\pm 2$ " vertical for retrofitted car and new or key station, under 50% passenger load |   |   |   |   |
| For platforms serving a track that is also used for freight service, § 37.42(d) requires analysis. In addition, regulations require alternatives to level boarding to be approved by FTA and/or FRA as applicable. (See Circular Chapter 3.)  |   |   |   |   |

## 16 Mini-High Platforms

Identify each mini-high platform. Use Checklist Section 9 Ramps to survey mini-high ramps.

Note: Per § 37.42(c), mini-highs are allowable in new construction or altered platforms serving commuter, intercity or high-speed rail only where track is shared with freight service and only if analysis accepted by FTA and/or FRA (as applicable) indicates that level boarding, car-borne lifts, or bridge plates are not feasible.

Mini-high Platform 1: \_\_\_\_\_

Mini-high Platform 3: \_\_\_\_\_

Mini-high Platform 2: \_\_\_\_\_

Mini-high Platform 4: \_\_\_\_\_

| Note OK, No, or N/A. Note dimensions if No   | 1 | 2 | 3 | 4 |
|--|---|---|---|---|
| <b>Light Rail</b>  |   |   |   |   |
| Station is located on a pedestrian mall, city street, or other area where level boarding is infeasible (810.5, 810.5.3 as modified by Part 37 Appendix A). Mini-highs acceptable only at such stations, not other stations on the same line where level boarding is possible.                        |   |   |   |   |
| <b>Commuter Rail (applicable only for platforms adjacent to existing freight service)</b>  |   |   |   |   |
| Level boarding not structurally or operationally practicable and approval for use of mini-highs is obtained from FTA or FRA (§ 37.42(d), 36 CFR 1192.93(d))  |   |   |   |   |
| Section 37.42(e) requires space between platform edge and mini-high and other obstructions (stairwells, elevator shafts, seats, etc.) to be ≥ 6 feet, or if full clearance not feasible, regulations require barriers to prevent pedestrian traffic through narrower area. (See Circular Chapter 3.) |   |   |   |   |
| <b>Detectable Warning</b>  |   |   |   |   |
| Platform edges, not protected by screens or guards, have a detectable warning along the full length of the public use area of the platform (810.5.2, 705.2)  |   |   |   |   |
| Detectable warning conforms to 705.2<br>(See Circular Facilities Checklist Section 15 - Platforms)   |   |   |   |   |

## 17 Public Address Systems (DOT Standard 810.7)

|   | Note OK, No, or N/A |
|---|---------------------|
| If a public address system provides audible messages, the same or equivalent information is provided in a visual format (810.7) |                     |

## 18 Clocks (DOT Standard 810.8)

| Assess each clock and note OK, No, or N/A<br>Note dimensions if No   | Clock |   |   |   |   |
|--|-------|---|---|---|---|
|  | 1     | 2 | 3 | 4 | 5 |
| Where clocks are provided for use by the public, clock face is uncluttered so that its elements are clearly visible  |       |   |   |   |   |
| Hands, numerals and digits contrast with the background either light-on-dark or dark-on-light  |       |   |   |   |   |
| <b>Overhead Clocks (703.5)</b>   |       |   |   |   |   |
| Overhead clock numerals and digits comply with 703.5   |       |   |   |   |   |
| Characters and background have non-glare finish. Contrast between characters and background: Either light characters on dark background or dark characters on light background (703.5.1) |       |   |   |   |   |
| Style: Characters conventional in form. No italic, oblique, script, highly decorative, or other unusual forms (703.5.3)  |       |   |   |   |   |
| Character Proportion: Width of uppercase "O" is between $\geq 55\%$ and $\leq 110\%$ of the height of uppercase "I" (703.5.4)  |       |   |   |   |   |
| Stroke: Width of uppercase "I" $\geq 10\%$ to $\leq 30\%$ of its height (703.5.7)  |       |   |   |   |   |
| Closest characters spaced between $\geq 10\%$ and $\leq 35\%$ of the character height (703.5.8)  |       |   |   |   |   |
| Spacing between the baselines of separate lines of characters between 135% and 170% percent of character height (703.5.9)  |       |   |   |   |   |
| Character Height (703.5.5 and Table 703.5.5)   |       |   |   |   |   |
| For characters $\geq 40"$ and $\leq 70"$ above the ground and viewed from $< 72$ inches horizontal, height of uppercase letter "I" $\geq 5/8"$ (703.5.5)                                 |       |   |   |   |   |
| For characters $> 70"$ and $\leq 120"$ above the ground and viewed from $< 180$ inches horizontal, character height of uppercase letter "I" $\geq 2"$ (703.5.5)                          |       |   |   |   |   |
| For characters $> 120"$ above the ground and viewed from $< 21$ feet horizontal, character height of uppercase letter "I" $\geq 3"$ (703.5.5)  |       |   |   |   |   |
| Note: Use Table 703.5.5 to increase character height for longer horizontal viewing distances.  |       |   |   |   |   |

## 19 Telephones (DOT Standards 217, 704)

| Note OK, No, or N/A   | 1 | 2 | 3 | 4 |
|---|---|---|---|---|
| Where coin-operated public pay telephones, coinless public pay telephones, public closed-circuit telephones, public courtesy phones, or other types of public telephones are provided, public telephones must be provided in accordance with 217 for each type of public telephone provided.  |   |   |   |   |
| If a single public telephone or a bank of telephones provided on floor, level, or exterior site, at least one wheelchair accessible phone per floor, level, and exterior site provided (217.2)  |   |   |   |   |
| If two or more banks of phones are provided, at least one per bank is wheelchair accessible (217.2)   |   |   |   |   |
| For forward approach, accessible phone has clear floor space $\geq 48"$ deep and $\geq 30"$ wide and counter depth $\leq 20"$ (704.2.1.2) (305.5)   |   |   |   |   |
| For parallel approach, accessible phone has clear floor space $\geq 30"$ deep and $\geq 48"$ wide and counter depth $\leq 20"$ (704.2.1.1) (305.5)  |   |   |   |   |
| Highest operable part $\leq 48"$ (704.2.2) (308) (309)  |   |   |   |   |
| The cord from the telephone to the handset is 29 inches long  |   |   |   |   |
| Volume control is provided on all public phones (217.3)   |   |   |   |   |
| <b>TTYs</b>   |   |   |   |   |
| If a public pay telephone provided on floor, at least one TTY is provided (217.4.2)   |   |   |   |   |
| Where at least one public pay telephone serves an entrance, at least one TTY is provided to serve the entrance (217.4.7)  |   |   |   |   |
| If four or more public pay telephones are provided on exterior site, at least one TTY is provided on site (217.4.4)   |   |   |   |   |
| Where four or more public pay telephones are provided at a bank of telephones, at least one public TTY complying with 704.4 must be provided at the bank.<br><br>Exception: If the bank of public telephones is located $\leq 200'$ away from and on the same floor as a bank containing a TTY, a TTY is not required at this bank. (217.4.1) |   |   |   |   |
| TTY at a public pay telephone is permanently affixed within, or adjacent to, the telephone enclosure. Where an acoustic coupler is used, the telephone cord shall be sufficiently long to allow connection of the TTY and the telephone receiver. (704.4)   |   |   |   |   |
| If an interior bank of public pay telephones has three or more phones, at least one phone provides shelf and electrical outlet for portable TTY (217.5)   |   |   |   |   |
| The shelf and electrical outlet for a portable TTY is within or adjacent to the telephone enclosure. The telephone handset is capable of being placed flush on the surface of the shelf. The shelf is capable of accommodating a TTY and has 6 inches minimum vertical clearance above the area where the TTY is to be placed. (704.5)        |   |   |   |   |
| <b>Signs</b>  |   |   |   |   |
| Where signs provide directions to phones, they also provide directions to TTYs and include the International Symbol of TTY (216.9.2, 703.5, 703.7.2.2)  |   |   |   |   |
| At banks of public pay telephones which do not have a TTY, directions to nearest public TTY provided and include the International Symbol of TTY (216.9.2, 703.7.2.2)   |   |   |   |   |
| TTY identified by the International Symbol of TTY (216.9.1, 703.2.2)  |   |   |   |   |

## 20 Areas of Refuge (DOT Standard 207)

An area of refuge is required if any of the following conditions exist:

< 50 % of the exterior walls are open to the outside (207.1, IBC 2003)

☐ Yes ☐ No

The facility has no automatic sprinkler system (207.1, IBC 2003 – 903.3.1.1)

☐ Yes ☐ No

The emergency evacuation route is not accessible (207.1, IBC 2003)

☐ Yes ☐ No

Elevators or lifts on the emergency evacuation route do not have standby power (207.2)

☐ Yes ☐ No

Describe each area of rescue assistance:

Area of Refuge 1: \_\_\_\_\_

Area of Refuge 2: \_\_\_\_\_

| Note OK, No, or N/A. Note dimensions if No  | Area of Refuge 1 | Area of Refuge 2 |
|---|------------------|------------------|
| Each area of refuge provides at least one wheelchair space for each 200 potential occupants of the area served by the area of refuge, each being $\geq 30"$ by $\geq 48"$ (IBC 2003 1007.6.1)               |                  |                  |
| The wheelchair spaces do not encroach on the required exit width (IBC 2003 1007.6.1)  |                  |                  |
| Each stairway adjacent to an area of refuge has $\geq 48"$ clear width between the handrails (IBC 2003 1007.8.2)  |                  |                  |
| A method of two-way communication, with both visual and audible signals, provided between each area of refuge and the primary entry (IBC 2003 1007.6.3)   |                  |                  |
| Area of refuge identified by a visual sign that includes the words "Area of Refuge" and the International Symbol of Accessibility (illuminated when exit sign illumination is required) (IBC 2003 1007.6.5) |                  |                  |
| Signs displayed at all inaccessible exits and where necessary to identify the direction to areas of refuge (IBC 2003 1007.7)  |                  |                  |
| Instructions provided for use of the area posted near two-way communication system (IBC 2003 1007.6.4)  |                  |                  |

# Chapter 4 – Vehicle Acquisition and Specifications

## 4.1 Introduction

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Beginning in 1991, the U.S. Department of Transportation (DOT) Americans with Disabilities Act (ADA) regulations laid out a strategy for making public transportation vehicles accessible over time by requiring transportation providers to acquire vehicles that are “readily accessible to and usable by individuals with disabilities.” This phased-in compliance approach with the 49 CFR Part 38 [Accessibility Specifications for Transportation Vehicles](#)<sup>1</sup> tied to acquisition will eventually make fixed route vehicle fleets fully accessible as older inaccessible vehicles are replaced with accessible ones. Nearly 100 percent of transit buses and rapid rail cars and 87 percent of commuter rail and light rail cars were reported to be accessible as of 2013.<sup>2</sup>

This chapter highlights the design requirements for accessible buses and vans and for rapid, commuter, and light rail cars as outlined in Part 38, and discusses the vehicle acquisition requirements that apply to various types of service. It ends with suggestions for ensuring acquired vehicles are in fact accessible.

Vehicle acquisition includes both purchasing and leasing vehicles. It also includes vehicles that transit agencies receive through donations. The requirements vary depending on whether a transportation provider is a public entity (or an entity providing service on behalf of a public entity) or a private entity. As noted in Circular Chapter 1, public entities include state or local governments, special purpose districts, commuter authorities, and transit agencies, regardless of whether they are FTA grantees.

The requirements also vary depending on transportation modes an agency provides and, in some cases, whether or not an agency is acquiring new, used, or remanufactured vehicles for these services.

This Circular does not alter, amend, supersede, or otherwise affect the DOT ADA regulations themselves or replace the need for readers to reference the detailed information in the regulations. FTA recommendations and examples of optional practices are included throughout the Circular and do not represent requirements. FTA recognizes there are many different ways agencies can implement the regulatory requirements and ensure the delivery of compliant service. FTA encourages transit agencies to engage riders with disabilities when making decisions about local transit service.

### 4.1.1 Standards for Accessible Vehicles

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#### Requirement

“For purposes of this part, a vehicle shall be considered to be readily accessible to and usable by individuals with disabilities if it meets the requirements of this part and the standards set forth in Part 38 of this title” ([§ 37.7\(a\)](#)).

#### Discussion

An “accessible” vehicle under the ADA is by definition one that meets the [Part 38](#) design specifications. It is important to stress that public entities cannot depart from the specific technical and scoping

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<sup>1</sup> These vehicle requirements closely follow the guidelines developed by the Access Board and set forth in the “ADA Accessibility Guidelines for Transportation Vehicles” (36 CFR Part 1192).

<sup>2</sup> See American Public Transportation Association, “Public Transportation Fact Book” (2014).

requirements for vehicles in Part 38 without a signed determination of “equivalent facilitation” from the FTA Administrator. (See Circular Section 5.3.)

### 4.1.2 Elements of Accessible Vehicles

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Part 38 contains technical design requirements for each of the four surface vehicles typically run by FTA grantees. Each vehicle type has its own subpart in Part 38:

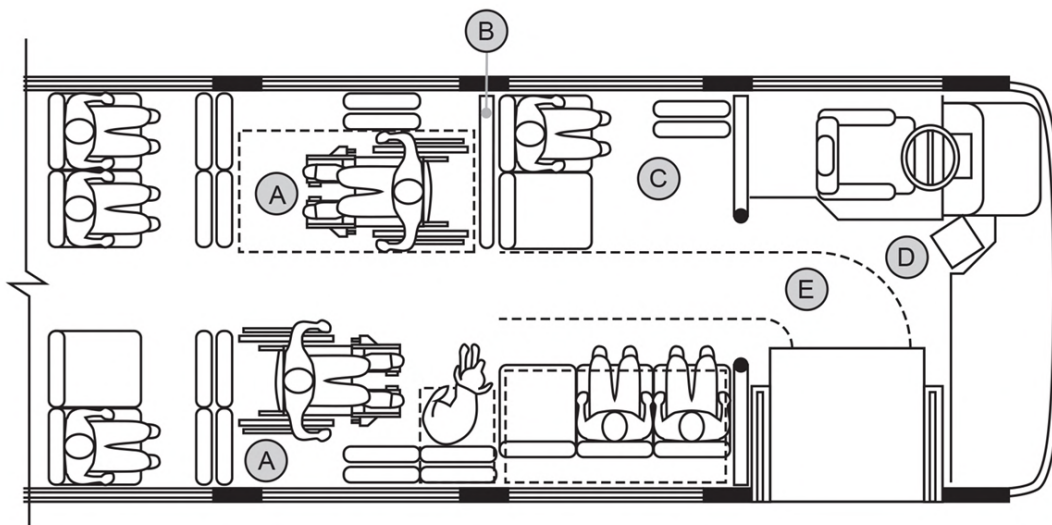
- Subpart B – Buses and Vans
- Subpart C – Rapid Rail Vehicles
- Subpart D – Light Rail Vehicles
- Subpart E – Commuter Rail Cars

Readers should refer to the relevant subpart for the technical design requirements. Because Part 38 is so expansive, this chapter focuses broadly on the crucial and sometimes overlooked accessibility elements. These accessibility elements are discussed below for each respective vehicle type, along with the relevant acquisition requirements.

Readers seeking information on standards for bus rapid transit (BRT) are reminded that “BRT vehicles” are buses, and should direct their attention to the relevant sections of this Circular. Similarly, readers seeking information for “streetcars” should direct their attention to the standards and requirements for light rail.

Although accessibility for buses and rail cars is commonly perceived to mean an individual using a wheelchair or mobility aid can board or alight the vehicle, this is a far from complete picture of accessibility. A fully accessible vehicle or rail car includes a number of additional important elements detailed in Part 38. The range of elements that make for an accessible vehicle is often best illustrated graphically. For example, as shown in Figures 4-1 and 4-2, for the respective interior and exterior elements of a bus, accessibility requirements include public address systems (on vehicles more than 22 feet in length), proper handrails, and stanchions. In addition, minimum overhead clearances, slip-resistant flooring, and sufficient lighting are part of vehicle accessibility.

## Interior Components of a Bus More Than 22 Feet in Length



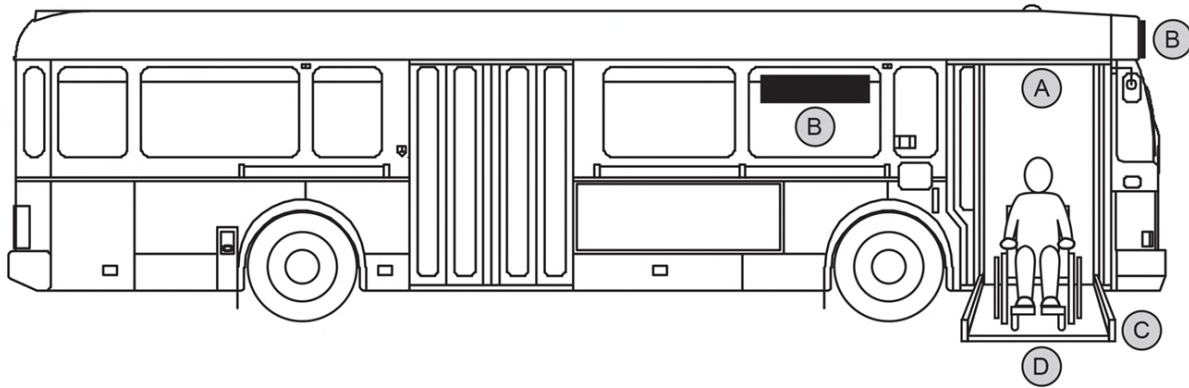
Specification Elements (See §§ 38.23–38.37)

|   |   |
|---|---|
| A | Securement areas and storage (including the number of areas, location of areas, size of securement areas, and orientation of mobility device) |
| B | Padded barrier (if rear-facing securement)  |
| C | Designated priority seating and signage   |
| * | Flooring (slip resistant)   |
| * | Seat edge markings  |
| * | Handrails and stanchions  |
| D | Farebox location and horizontal assist  |
| E | Clear path to/from securement areas   |
| * | Stop request system   |
| * | Public address system   |

\*Not labeled on figure

Figure 4-1 – Interior Accessibility Components of a Bus Longer Than 22 Feet

## Exterior Components of an Accessible Bus



Specification Elements (See §§ 38.23—38.37)

|   |  |
|---|--|
| A | Accessible door height                       |
| B | Destination/route information                |
| * | Lighting at accessible entrance              |
|   | Ramp Specification Elements (See § 38.23(c)) |
| * | Design Load                                  |
| * | Surface                                      |
| * | Width  |
| * | Slope  |
| * | Attachment to vehicle                        |
| * | Transition to vehicle floor                  |
| C | Side barriers                                |
| D | Transition from ground to ramp               |

\*Not labeled on figure

Figure 4-2 – Accessibility Components of a Bus Exterior

### 4.1.3 Stand-in-the-Shoes Acquisition Requirements

#### Requirement

“A private entity which purchases or leases new, used, or remanufactured vehicles, or remanufactures vehicles, for use, or in contemplation of use, in fixed route or demand responsive service under contract or other arrangement or relationship with a public entity, shall acquire accessible vehicles in all situations in which the public entity itself would be required to do so by this part” ([§ 37.23\(b\)](#)).

“A public entity which enters into a contractual or other arrangement (including, but not limited to, a grant, subgrant, or cooperative agreement) or relationship with a private entity to provide fixed route service shall ensure that the percentage of accessible vehicles operated by the public entity in its overall fixed route or demand responsive fleet is not diminished as a result” ([§ 37.23\(c\)](#)).

## Discussion

Many transit agencies use private contractors to operate all or some of their agency's services. As discussed in Circular Section 1.3.2, § 37.23 obligates these agencies to ensure their contractors comply with the DOT ADA regulations. These stand-in-the-shoes provisions not only apply to service delivery, but also specifically to vehicle acquisition. As discussed in [Appendix D](#) to § 37.23,

The “stand in the shoes” requirement applies not only to vehicles acquired by private entities explicitly under terms of an executed contract to provide service to a public entity, but also to vehicles acquired “in contemplation of use” for service under such a contract. This language is included to ensure good faith compliance with accessibility requirements for vehicles acquired before the execution of a contract. Whether a particular acquisition is in contemplation of use on a contract will be determined on a case-by-case basis. However, acquiring a vehicle a short time before a contract is executed and then using it for the contracted service is an indication that the vehicle was acquired in contemplation of use on the contract, as is acquiring a vehicle ostensibly for other service provided by the entity and then regularly rotating it into service under the contract.

Agencies must also ensure that the percentage of accessible vehicles in their fixed route or demand responsive fleet is not diminished as a result of using a contractor. For example, if a public entity's demand responsive bus fleet is 85 percent accessible, then at least 85 percent of its contractor's vehicles used for the contract must be accessible. This requirement applies whether the vehicles to be acquired are new, used, or remanufactured

### 4.1.4 Acquisition Requirements for Public Entities – In Summary

The acquisition requirements for public entities, summarized in Table 4-1, depend on the following factors:

- Service type – This includes fixed route bus, light or rapid rail, commuter rail, and demand responsive.
- Vehicle type – This is defined as rail or non-rail. Non-rail vehicles include buses and vans.
- Vehicle condition – This includes new, used, or remanufactured vehicles.

**Table 4-1 – Vehicle Acquisition Requirements for Public Entities**

| Service                  | Vehicle  | New/Used/<br>Remanufactured | 49 CFR<br>Section | Exceptions to Acquiring an Accessible<br>Vehicle  |
|--------------------------|----------|-----------------------------|-------------------|---|
| Fixed route              | Non-rail | New                         | 37.71             | None  |
| Fixed route              | Non-rail | Used                        | 37.73             | (1) Unable to acquire after good faith effort or (2) received as a donation   |
| Fixed route              | Non-rail | Remanufactured              | 37.75             | (1) Vehicle modifications would have a significant adverse effect on structural integrity (as demonstrated by engineering analysis), or (2) vehicle modifications would alter historic character* |
| Demand responsive        | Non-rail | New**                       | 37.77             | Demonstrate equivalent service for individuals with a disability (see Circular Chapter 7)   |
| Rapid rail or light rail | Rail car | New                         | 37.79             | None  |
| Rapid rail or light rail | Rail car | Used                        | 37.81             | Unable to acquire after good faith  |
| Rapid rail or light rail | Rail car | Remanufactured              | 37.83             | (1) Vehicle modifications would have a significant adverse effect on structural integrity (as demonstrated by engineering analysis), or (2) vehicle modifications would alter historic character* |
| Commuter rail            | Rail car | New                         | 37.85             | None  |
| Commuter rail            | Rail car | Used                        | 37.87             | Unable to acquire after good faith effort   |
| Commuter rail            | Rail car | Remanufactured              | 37.89             | Vehicle modifications would have a significant adverse effect on structural integrity (as demonstrated by engineering analysis)   |

\* Applicable only if a vehicle of historic character is operated solely on a segment of a fixed route that is included on the National Register of Historic Places

\*\*FTA also permits agencies to acquire inaccessible used vehicles. (See Circular Section 4.2.4.)

As shown in the table, for each type of service and vehicle listed, the applicable requirements obligate public entities to acquire vehicles that are accessible unless one of the exceptions applies. Each requirement is explained in the following sections. Note that some language is deliberately repeated for completeness. These requirements again also apply to contractors that may be “standing in the shoes” to provide service for a public entity. (See Circular Section 4.1.3.)

## 4.2 Buses and Vans

### 4.2.1 New Fixed Route Bus or Van Acquisition

#### Requirement

“Each public entity operating a fixed route system making a solicitation after August 25, 1990, to purchase or lease a new bus or other new vehicle for use on the system, shall ensure that the vehicle is readily accessible to and usable by individuals with disabilities, including individuals who use wheelchairs” ([§ 37.71\(a\)](#)).

## Discussion

New buses and vans acquired for fixed route service must be accessible; there are no exceptions. The requirement in § 37.71(a) applies to any solicitation for new non-rail vehicles (buses or vans) to ensure that the vehicles are designed and built to meet the applicable Part 38 specifications.

### 4.2.2 Used Fixed Route Bus or Van Acquisition

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#### Requirement

“Except as provided elsewhere in this section, each public entity operating a fixed route system purchasing or leasing, after August 25, 1990, a used bus or other used vehicle for use on the system, shall ensure that the vehicle is readily accessible to and usable by individuals with disabilities, including individuals who use wheelchairs” ([§ 37.73\(a\)](#)).

“A public entity may purchase or lease a used vehicle for use on its fixed route system that is not readily accessible to and usable by individuals with disabilities if, after making demonstrated good faith efforts to obtain an accessible vehicle, it is unable to do so” ([§ 37.73\(b\)](#)).

“Good faith efforts shall include at least the following steps:

- (1) An initial solicitation for used vehicles specifying that all used vehicles are to be lift-equipped and otherwise accessible to and usable by individuals with disabilities, or, if an initial solicitation is not used, a documented communication so stating;
- (2) A nationwide search for accessible vehicles, involving specific inquiries to used vehicle dealers and other transit providers; and
- (3) Advertising in trade publications and contacting trade associations” ([§ 37.73\(c\)](#)).

“Each public entity purchasing or leasing used vehicles that are not readily accessible to and usable by individuals with disabilities shall retain documentation of the specific good faith efforts it made for three years from the date the vehicles were purchased. These records shall be made available, on request, to the FTA Administrator and the public” ([§ 37.73\(d\)](#)).

#### Discussion

Used buses or vans acquired for fixed route use must be accessible unless the transit agency cannot obtain an accessible used vehicle or, in some cases, when it receives an inaccessible vehicle through a donation as described below. This requirement applies to any solicitation for used non-rail vehicles (buses or vans) to ensure that the vehicles meet the applicable Part 38 specifications.

FTA has encountered public entities interested in leasing or otherwise acquiring used inaccessible trolley replica buses that are designed to appear to be historic rail vehicles (e.g., mimicking cable cars) for use on fixed route service. These rubber-tired trolley replicas are considered the same as any other kind of bus and therefore cannot be acquired unless another accessible used vehicle cannot be found, an unlikely scenario.

Two exceptions apply to fixed route vehicle purchases. First, § 37.73(b) permits acquisition of an inaccessible used vehicle only after demonstrating and documenting a “good faith effort” to acquire accessible used vehicles that was ultimately unsuccessful. Given that most buses manufactured since 1990 are now accessible, this exception generally is no longer used.

For a transit agency, demonstrating good faith efforts described in § 37.73(c) includes specifying accessible used vehicles, specifically a vehicle that is “lift-equipped and otherwise accessible to and usable by individuals with disabilities,” in its initial solicitation for used vehicles. Good faith efforts also

include undertaking a nationwide search for accessible used vehicles and not limiting the search to a particular region. It is not enough to contact only a known manufacturer to see if it has accessible used buses.

Section 37.73(c)(3) requires public entities to advertise in trade publications and contact trade associations. This includes advertising in magazines such as *Passenger Transport* or *Community Transportation* and other national outlets to determine whether accessible used vehicles are available. Trade groups include the American Public Transportation Association (APTA) or the Community Transportation Association of America (CTAA), the respective publishers of the two magazines.

Section 37.73(d) requires public entities to document their good faith efforts to acquire accessible used vehicles, and to retain and make available this documentation to FTA and the public for three years.

Second, as discussed in [Appendix D](#) to § 37.73, “There is an exception to these requirements for donated vehicles. . . . Entities interested in accepting donated vehicles must submit a request to FTA to verify that the transaction is a donation.” This rare situation requires entities to submit documentation to the FTA Regional Civil Rights Officer for verification. Soliciting donations of inaccessible vehicles is not permitted.

### 4.2.3 Remanufactured Fixed Route Bus or Van Acquisition

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#### Requirement

“This section applies to any public entity operating a fixed route system which takes one of the following actions:

- (1) After August 25, 1990, remanufactures a bus or other vehicle so as to extend its useful life for five years or more or makes a solicitation for such remanufacturing; or
- (2) Purchases or leases a bus or other vehicle which has been remanufactured so as to extend its useful life for five years or more, where the purchase or lease occurs after August 25, 1990, and during the period in which the useful life of the vehicle is extended” ([§ 37.75\(a\)](#)).

“Vehicles acquired through the actions listed in paragraph (a) of this section shall, to the maximum extent feasible, be readily accessible to and usable by individuals with disabilities, including individuals who use wheelchairs” ([§ 37.75\(b\)](#)).

“For purposes of this section, it shall be considered feasible to remanufacture a bus or other motor vehicle so as to be readily accessible to and usable by individuals with disabilities, including individuals who use wheelchairs, unless an engineering analysis demonstrates that including accessibility features required by this part would have a significant adverse effect on the structural integrity of the vehicle” ([§ 37.75\(c\)](#)).

“If a public entity operates a fixed route system, any segment of which is included on the National Register of Historic Places, and if making a vehicle of historic character used solely on such segment readily accessible to and usable by individuals with disabilities would significantly alter the historic character of such vehicle, the public entity has only to make (or purchase or lease a remanufactured vehicle with) those modifications to make the vehicle accessible which do not alter the historic character of such vehicle, in consultation with the National Register of Historic Places” ([§ 37.75\(d\)](#)).

“A public entity operating a fixed route system as described in paragraph (d) of this section may apply in writing to the FTA Administrator for a determination of the historic character of the vehicle. The FTA Administrator shall refer such requests to the National Register of Historic Places, and shall rely on its advice in making determinations of the historic character of the vehicle” ([§ 37.75\(e\)](#)).

## Discussion

A fixed route bus or van that has been remanufactured must be made accessible to the maximum extent feasible. Like the acquisition of used inaccessible buses, remanufacturing of inaccessible buses has become rarer over time. As defined in § 37.3, a remanufactured vehicle is “a vehicle which has been structurally restored and has had new or rebuilt major components installed to extend its service life.”

[Appendix D](#) to § 37.75 further explains:

The term remanufacture, as used in the ADA context, is different from the use of the term in previously issued FTA guidance. The term has a specific meaning under the ADA: there must be structural work done to the vehicle and the work must extend the vehicle’s useful life by five years.

The ADA imposes no requirements on what FTA traditionally considers bus rehabilitation. Such work involves rebuilding a bus to original specifications and focuses on mechanical systems and interiors. Often this work includes replacing components. It is less extensive than remanufacture.

Some transit agencies have the capacity to perform major work, such as rebuilding a bus from the chassis up after an accident, with their own mechanics in their own maintenance facilities. As a result, they have complete control over the remanufacturing process. The requirement for a remanufactured vehicle to be accessible to the maximum extent feasible, however, applies regardless of whether the vehicle is remanufactured in-house by transit agency personnel or is acquired as a remanufactured vehicle from a third party.

## Historic Buses

While remanufactured buses typically must be made accessible to the maximum extent possible, § 37.75(d) has an exception for historic buses. [Appendix D](#) to § 37.75 states:

The statute, and the rule, includes an exception for the remanufacture of historical vehicles. This exception applies to the remanufacture of or purchase of a remanufactured vehicle that (1) is of historic character; (2) operates *solely* on a segment of a fixed route system which is on the National Register of Historic Places; and (3) making the vehicle accessible would significantly alter the historic character of the vehicle. The exception only extends to the remanufacture that would alter the historic character of the vehicle. All modifications that can be made without altering the historic character (such as slip resistant flooring) must be done.

Other modifications that may still need to be made to vehicles deemed historic, in addition to non-slip flooring, include audio speakers, which can be installed and still maintain the vehicle’s historic character. Section 37.75(e) requires agencies that wish to qualify for this exception to write to the FTA Administrator. FTA will consult with the National Register of Historic Places on the request and rely on its advice before allowing an exception.

## 4.2.4 Demand Responsive Bus or Van Acquisition of Inaccessible Vehicles

### Requirement

“Except as provided in this section, a public entity operating a demand responsive system for the general public making a solicitation after August 25, 1990, to purchase or lease a new bus or other new vehicle for use on the system, shall ensure that the vehicle is readily accessible to and usable by individuals with disabilities, including individuals who use wheelchairs” ([§ 37.77\(a\)](#)).

“If the system, when viewed in its entirety, provides a level of service to individuals with disabilities, including individuals who use wheelchairs, equivalent to the level of service it provides to individuals

without disabilities, it may purchase new vehicles that are not readily accessible to and usable by individuals with disabilities” ([§ 37.77\(b\)](#)).

## Discussion

For demand responsive systems for the general public, transit agencies may purchase inaccessible vehicles if the system as a whole provides “equivalent service” to persons with disabilities, including those who use wheelchairs.

Section 37.77(a) only specifically addresses the acquisition of new buses or other vehicles for use in demand responsive systems. FTA also permits agencies to acquire inaccessible used vehicles for use in demand responsive systems, as long as the equivalent service standards in § 37.77 are met.

FTA also allows agencies to acquire inaccessible sedans or other inaccessible vehicles for use in complementary paratransit service, for example, as long as accessible vehicles are dispatched to riders who need them, including non-wheelchair users who may require the vehicle lift or another accessibility element of the vehicle to use the service.

See Circular Chapter 7 for information on equivalent service requirements.

### 4.2.5 Considerations for Acquiring Accessible Buses and Vans

For buses and vans, the following discussion covers lifts, ramps, wheelchair securements, and priority seating, as these are the subjects most often raised to FTA. Refer to Part 38 [Subpart B](#) for the complete set of accessibility specifications for these vehicles. Attachment 4-1 includes an optional sample checklist used in FTA’s specialized ADA lift compliance reviews, which transit agencies can use to review a vendor’s design or to conduct a bus inspection.

Public entities cannot make any departures from the specific technical and scoping requirements for buses or vans without a signed determination of equivalent facilitation from the FTA Administrator. (See Circular Section 5.3.)

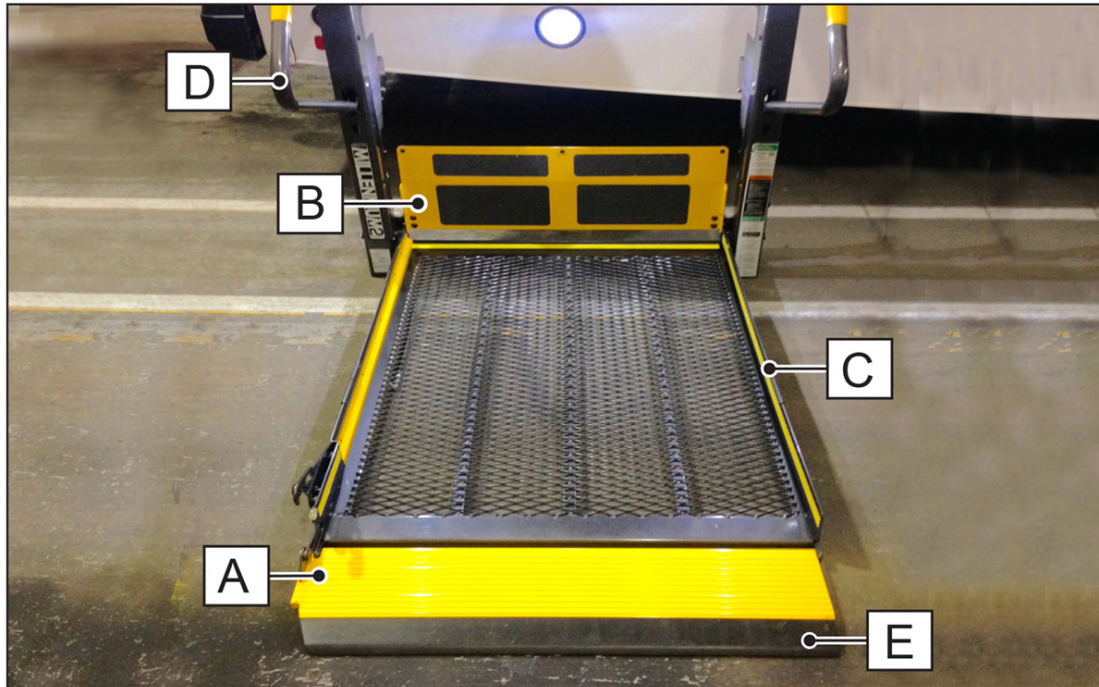
## Lifts

Figure 4-3 illustrates the components of a vehicle lift. It is helpful to understand the full range of lift specifications and design and performance dimensions of a lift. For example, § 38.23(b) sets a minimum design load for a lift (600 pounds), which is the maximum amount the lift is expected to accommodate. However, it also establishes minimum safety factors based on the ultimate strength of the material (six times the design load for working parts such as belts, pulleys, and shafts, and three times the design load for nonworking parts like the platform and frame). This means that a lift meeting the minimum 600-pound design load must have a safety factor of 1,800 pounds for nonworking parts and 3,600 pounds for working parts. It is important when specifying lifts to ensure that both the design load and the safety factors are addressed.

[Section 38.23\(b\)](#) includes specifications for the following aspects of a bus or van lift:

- Design load – minimum weight to carry and minimum strength of key components
- Controls – design for safety
- Emergency operation – manual control if primary power fails
- Power or equipment failure – limited descent rate if primary power fails
- Platform barriers – front, rear, and side platform barriers to keep the mobility aid from rolling off of lift
- Platform surface – minimal protrusions and required slip resistance

- Platform gaps – maximum gaps between lift platform and barriers, and between lift platform and vehicle floor
- Platform entrance ramp – maximum slope of lift platform entrance ramp when deployed on ground
- Platform deflection – maximum tilt of lift platform while loaded
- Platform movement – maximum speed of lift while carrying passenger and while deploying and stowing
- Boarding direction – available to board in either direction
- Use by standees – lifts must accommodate standees, with or without a mobility aid
- Handrails – minimum and maximum height, strength, size



Lift Specification Elements (See § 38.23(b))

|   |  |
|---|--|
| A | Outer barrier  |
| B | Inner barrier  |
| C | Side barrier   |
| D | Hand rail  |
| * | Design load and safety factors                                       |
| * | Controls and interlocks  |
| * | Emergency backup system  |
| * | Raise and lower speeds (and control in the event of a power failure) |
| * | Platform dimensions  |
| * | Transition to vehicle floor  |
| * | Maximum platform deflection  |
| E | Transition from ground to platform                                   |
| * | Boarding direction   |
| * | Boarding direction edge markings                                     |

\*Not labeled on figure

Figure 4-3 – Lift Specification Elements

## Ramps

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More and more transit agencies are choosing to acquire low-floor buses that use ramps to board individuals who use wheelchairs. These ramps also easily accommodate passengers who use other mobility aids as well as passengers who have difficulty climbing or descending steps. Advantages of ramps over lifts are their simpler design, simpler maintenance, and ease of manual operation by the driver if the primary power fails. However, a potential drawback of low-floor buses is that, for a given size bus, the seating capacity for a vehicle with a ramp is often less than the capacity for a vehicle with a lift.

Because of their simpler design and operation, there are fewer specifications for ramps than for lifts. Nevertheless, it is just as important to be familiar with these requirements.

[Section 38.23\(c\)](#) includes specifications for the following elements of a bus or van ramp:

- Design load – minimum weight to carry and minimum strength of key components
- Ramp surface – minimal protrusions and required slip resistance
- Ramp threshold – maximum vertical gap between ramp and street, ramp and vehicle floor
- Ramp barriers – side barriers to prevent mobility aid from rolling off
- Ramp slope – maximum ramp slope when deployed
- Attachment – maximum horizontal gap between ramp and vehicle floor
- Stowage – safe and non-obstructing location of ramp when stowed
- Handrails – minimum and maximum height, strength, size

As an optional good practice, some transit agencies have created a test pallet equal in weight to the specified weight capacity to verify that their lifts and ramps meet the design load specifications, particularly for those they have rebuilt.

Although it is not required, a kneeling feature on the bus reduces the slope of the ramp for individuals using wheelchairs and makes it easier for other riders to enter and exit the bus. This can be an important factor that may determine whether an individual passenger can use the fixed route system. In some situations, such as when deploying a ramp on the street rather than on the sidewalk, the use of the kneeling system may be necessary to achieve a compliant ramp slope.

## Securement Systems

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Securement systems for wheelchairs can vary considerably among different vendor offerings, even while meeting the DOT ADA regulations. Figure 4-4 illustrates the specification elements of securement and passenger restraint systems.

[Section 38.23\(d\)](#) requires all ADA-compliant vehicles to be equipped with securement devices capable of accommodating wheelchairs and mobility aids, as well as a separate seat belt and shoulder harness for use by wheelchair users. The securement system must limit the movement of an occupied wheelchair to no more than 2 inches in any direction under normal vehicle operating conditions.<sup>3</sup> The regulations do not mandate the installation of a specific type of securement device; any device, however, must meet the performance standards outlined in Part 38.

It is also important to note that while these performance standards may enable the securement system to provide a degree of safety in the event of a collision or similar incident, they are not intended to function

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<sup>3</sup> For vehicles with a Gross Vehicle Weight Rating (GVWR) of less than 30,000 lbs., securement systems must restrain a force in the forward direction of up to 2,500 lbs. per securement leg or clamping mechanism and a minimum of 5,000 lbs. for each mobility aid (for vehicles with a GVWR of greater than 30,000 lbs., these forces are 2,000 lbs. per securement leg or clamping mechanism and 4,000 lbs. per mobility aid).

as automotive safety devices and are not regulated as such by the National Highway Traffic Safety Administration. Their purpose is to provide accessibility for persons with disabilities by preventing the passenger's mobility device from moving around inside the vehicle under normal operating conditions.

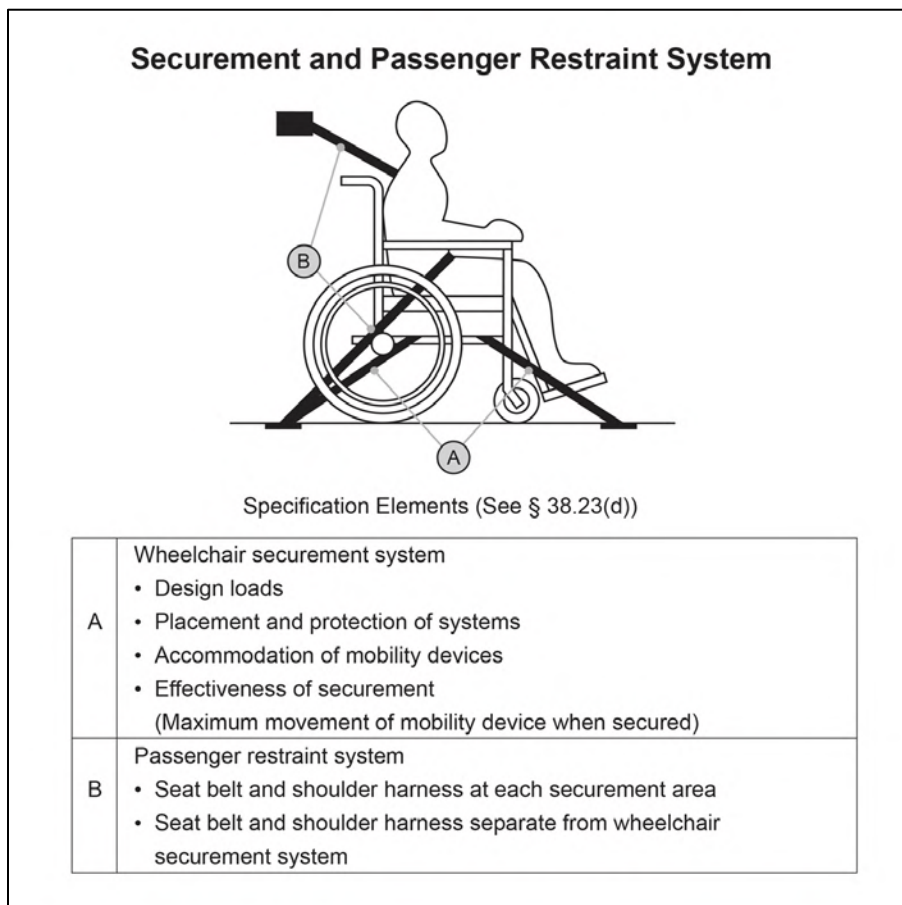


Figure 4-4 – Securement and Passenger Restraint System Specification Elements

FTA recommends transit agencies obtain design specifications, including compliance with appropriate industry standards, for any securement system under consideration. It is also useful for agencies to be aware of the wide variety of wheelchairs their securement system must accommodate.

[Section 38.23\(d\)](#) includes specifications for the following aspects of bus or van wheelchair securement systems:

- Design load – minimum force for securement system to restrain
- Location and size – location of securement areas and minimum floor space for each
- Mobility aids – ease of use of securement system to accommodate variety of mobility aids
- Orientation – at least one forward-facing securement area, with additional rearward-facing areas allowed if a rear-padded barrier is provided
- Movement – maximum allowable movement of wheelchair when secured
- Stowage – safe and non-obstructing securement system when not in use
- Seat belt and shoulder harness – requirements for lap belt and shoulder harness for each securement device

In order to ensure that the specified securement system is capable of securing the largest variety of wheelchairs possible, FTA recommends that transit agencies consider various types and configurations to

determine appropriate specifications. This includes consulting with other agencies that are using the same securement system. For example, a four-point strap-type tie-down system that relies on straps and hooks may be easier to use with some types of wheelchairs, but it may not be capable of reaching or attaching to appropriate attachment points on others.

As an optional good practice, some transit agencies provide regular riders who use wheelchairs the option to have tether straps installed on their wheelchairs. Other agencies provide these tether straps to drivers, who may use them to secure certain wheelchairs that otherwise could not be properly secured. Tether straps are also routinely used on wheelchairs that can be properly secured without them as a way to identify the best location for securement and to remove any guesswork for the driver. These practices provide convenient and easily identifiable attachment points for securing a rider's wheelchair to the bus. (See Circular Section 2.4.3.)

## Priority Seating Signs

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### Requirement

“Each vehicle shall contain sign(s) which indicate that seats in the front of the vehicle are priority seats for persons with disabilities, and that other passengers should make such seats available to those who wish to use them. At least one set of forward-facing seats shall be so designated” [§ 38.27\(a\)](#).

### Discussion

The language an agency places on its priority seating signs does not need to match exactly the text in § 38.27(a) but instead capture the general requirement.

With respect to the requirement for designating at least one set of forward-facing seats as priority seats, aisle-facing seats on many buses and vans are designated and signed as priority seats. This is an acceptable practice provided the first forward-facing seats are also designated and signed in accordance with the § 38.27(a) requirement. However, there are certain bus designs in which the first forward-facing seats are not close to the front of the bus but are instead in the elevated portion of a low floor bus and/or in the rear row, a configuration not contemplated when the rule was issued. FTA encourages transit agencies using buses with such seating configurations to designate the first aisle-facing seats reachable without steps as priority seats with accompanying signage for these seats.

## 4.3 Rapid and Light Rail Vehicles

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### 4.3.1 New Rapid or Light Rail Vehicle Acquisition

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#### Requirement

“Each public entity operating a rapid or light rail system making a solicitation after August 25, 1990, to purchase or lease a new rapid or light rail vehicle for use on the system shall ensure that the vehicle is readily accessible to and usable by individuals with disabilities, including individuals who use wheelchairs” ([§ 37.79](#)).

#### Discussion

New rapid rail cars and light rail vehicles must be accessible; there are no exceptions. This requirement in § 37.79 applies to any solicitation for new rapid rail or light rail cars to ensure that the vehicles are designed and built to meet the applicable Part 38 specifications.

## 4.3.2 Used Rapid or Light Rail Vehicle Acquisition

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### Requirement

“Except as provided elsewhere in this section, each public entity operating a rapid or light rail system which, after August 25, 1990, purchases or leases a used rapid or light rail vehicle for use on the system shall ensure that the vehicle is readily accessible to and usable by individuals with disabilities, including individuals who use wheelchairs” ([§ 37.81\(a\)](#)).

“A public entity may purchase or lease a used rapid or light rail vehicle for use on its rapid or light rail system that is not readily accessible to and usable by individuals if, after making demonstrated good faith efforts to obtain an accessible vehicle, it is unable to do so” ([§ 37.81\(b\)](#)).

“Good faith efforts shall include at least the following steps:

- (1) The initial solicitation for used vehicles made by the public entity specifying that all used vehicles were to be accessible to and usable by individuals with disabilities, or, if a solicitation is not used, a documented communication so stating;
- (2) A nationwide search for accessible vehicles, involving specific inquiries to manufacturers and other transit providers; and
- (3) Advertising in trade publications and contacting trade associations” ([§ 37.81\(c\)](#)).

“Each public entity purchasing or leasing used rapid or light rail vehicles that are not readily accessible to and usable by individuals with disabilities shall retain documentation of the specific good faith efforts it made for three years from the date the vehicles were purchased. These records shall be made available, on request, to the FTA Administrator and the public” ([§ 37.81\(d\)](#)).

### Discussion

Used rapid and light rail vehicles must be accessible unless the transit agency cannot obtain an accessible used vehicle or, in some cases, when it receives a donation as described below. This requirement applies to any solicitation for used rapid or light rail vehicles to ensure that the vehicles meet the applicable Part 38 specifications.

Two exceptions apply for rapid rail cars or light rail vehicle purchases. First, § 37.81(b) permits acquisition of an inaccessible vehicle after demonstrating and documenting having first made a “good faith effort” to acquire accessible rapid or light rail vehicles. Given that most rail cars manufactured since 1990 are now accessible, this exception generally is no longer used.

For a transit agency, demonstrating good faith efforts described in § 37.81(c) includes specifying in its initial solicitation for used vehicles that all vehicles must be accessible. Good faith efforts also include undertaking a nationwide search for accessible used vehicles and not limiting the search to a particular region. It is not enough to contact only a known manufacturer to see if it has accessible used rail cars.

Section 37.81(c)(3) requires public entities to advertise in trade publications and contact trade associations. This includes advertising in magazines such as *Passenger Transport* and other national outlets to determine whether accessible used vehicles are available. Trade groups include the American Public Transportation Association (APTA).

Section 37.81(d) requires public entities to document their good faith efforts to acquire accessible used vehicles, and to retain and make available this documentation to FTA and the public for three years.

There is another exception to these requirements for donated vehicles. In the rare circumstance that someone wishes to donate a vehicle to a public entity, the ADA does not prevent the transit operator from accepting a gift. Not all “zero dollar” transfers are donations, however. This rare situation requires entities

to submit documentation to the FTA Regional Civil Rights Officer for verification. Soliciting donations of inaccessible vehicles is not permitted.

### 4.3.3 Remanufactured Rapid or Light Rail Vehicle Acquisition

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#### Requirement

“This section applies to any public entity operating a rapid or light rail system which takes one of the following actions:

(1) After August 25, 1990, remanufactures a light or rapid rail vehicle so as to extend its useful life for five years or more or makes a solicitation for such remanufacturing;

(2) Purchases or leases a light or rapid rail vehicle which has been remanufactured so as to extend its useful life for five years or more, where the purchase or lease occurs after August 25, 1990, and during the period in which the useful life of the vehicle is extended” ([§ 37.83\(a\)](#)).

“Vehicles acquired through the actions listed in paragraph (a) of this section shall, to the maximum extent feasible, be readily accessible to and usable by individuals with disabilities, including individuals who use wheelchairs” ([§ 37.83\(b\)](#)).

“For purposes of this section, it shall be considered feasible to remanufacture a rapid or light rail vehicle so as to be readily accessible to and usable by individuals with disabilities, including individuals who use wheelchairs, unless an engineering analysis demonstrates that doing so would have a significant adverse effect on the structural integrity of the vehicle” ([§ 37.83\(c\)](#)).

“If a public entity operates a rapid or light rail system any segment of which is included on the National Register of Historic Places and if making a rapid or light rail vehicle of historic character used solely on such segment readily accessible to and usable by individuals with disabilities would significantly alter the historic character of such vehicle, the public entity need only make (or purchase or lease a remanufactured vehicle with) those modifications that do not alter the historic character of such vehicle” ([§ 37.83\(d\)](#)).

“A public entity operating a fixed route system as described in paragraph (d) of this section may apply in writing to the FTA Administrator for a determination of the historic character of the vehicle. The FTA Administrator shall refer such requests to the National Register of Historic Places and shall rely on its advice in making a determination of the historic character of the vehicle” ([§ 37.83\(e\)](#)).

#### Discussion

A rapid or light rail vehicle that has been remanufactured must be made accessible to the maximum extent feasible. According to [Appendix D](#) to § 37.83, this remanufacturing section for rapid or light rail vehicles “parallels the remanufacturing section for buses,” which is covered under § 37.75. (See Circular Section 4.2.3.) Thus, the Appendix D language to § 37.75 also applies to rapid or light rail vehicles:

The term remanufacture, as used in the ADA context, is different from the use of the term in previously issued FTA guidance. The term has a specific meaning under the ADA: there must be structural work done to the vehicle and the work must extend the vehicle’s useful life by five years.

The ADA imposes no requirements on what FTA traditionally considers “rehabilitation.” Such work involves rebuilding a [vehicle] to original specifications and focuses on mechanical systems and interiors. Often this work includes replacing components. It is less extensive than remanufacture.

The requirement for a remanufactured vehicle to be accessible to the maximum extent feasible applies regardless of whether the vehicle is remanufactured in-house by transit agency personnel or is acquired as a remanufactured vehicle from a third party.

### Historic Rapid or Light Rail Vehicles

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Similar to the historic buses exception outlined in Circular Section 4.2.3, there is also an exception for accessibility with respect to remanufactured historic rapid rail and light rail cars. As discussed in [Appendix D](#) to § 37.83,

This section parallels the remanufacturing section for buses, including the exception for historical vehicles. With respect to an entity having a class of historic vehicles that may meet the standards for the historic vehicle exception (e.g., San Francisco cable cars), the Department would not object to a request for application of the exception on a system-wide, as [opposed] to car-by-car, basis.

As with historic buses, remanufactured rapid or light rail vehicles deemed to be historic would not be required to become accessible to persons with disabilities if doing so would “significantly alter the historic character of such vehicle.” However, the transit agency would be required to make any modifications for accessibility that would not alter the historic character of the rapid or light rail vehicles. Section 37.83(e) requires agencies that wish to qualify for this exception to write to the FTA Administrator. FTA will consult with the National Register of Historic Places on the request and rely on its advice before allowing an exception.

### 4.3.4 Considerations for Acquiring Accessible Rapid Rail Cars

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For rapid rail vehicles, the Part 38 [Subpart C](#) specifications cover doorways, priority seating signs, interior circulation, floor surfaces, public information systems, and between-car barriers. This discussion highlights three areas that have been of interest to transit agencies and members of the public: doorway-platform gaps, priority seating signs and interior circulation, and between-car barriers.

Public entities cannot make any departures from the specific technical and scoping requirements for rapid rail vehicles without a signed determination of equivalent facilitation from the FTA Administrator. (See Circular Section 5.3.)

#### Doorway-Platform Gaps

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For transit agencies operating rapid rail service, [§ 38.53\(d\)](#) establishes standards for the horizontal and vertical gaps between the rail cars and the station platforms. The maximum allowable gap depends on whether the rail car is new or retrofitted and whether the platform is part of a station that is designated as existing, “key,” or new. (See Circular Section 3.6.) Table 4-2 presents the maximum allowable horizontal and vertical gaps.

**Table 4-2 – Allowable Gap Between Station Platform and Rapid Rail Vehicle**

| Vehicle                  | Station Designation | Horizontal Gap  | Vertical Gap            |
|--------------------------|---------------------|-----------------|-------------------------|
| New                      | New                 | 3 inches (max.) | ± 5/8 inch              |
| New                      | Key or existing     | 3 inches (max.) | ± 1 1/2 inches          |
| Retrofitted <sup>4</sup> | New or key          | 4 inches (max.) | ± 2 inches <sup>5</sup> |

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<sup>4</sup> Retrofitted vehicles are vehicles in service in 1990 that were modified to meet the one-car-per-train rule.

<sup>5</sup> For retrofitted vehicles, the vertical gap is measured under 50% passenger load.

It is important when acquiring rapid rail cars to ensure that they will meet the applicable platform-to-rail-car gap requirements. There are no exceptions for rapid rail that allow for the use of lifts, ramps, or bridge plates.

### Priority Seating Signs and Interior Circulation

[Section 38.55](#) establishes requirements for signs in each rapid rail car that identify priority seats and ask other passengers to make these seats available to those who need them. The language an agency places on its signs does not need to match exactly the text in § 38.55(a) but instead capture the general requirement. Part 38 Subpart C does not include requirements for rapid rail cars to have securement systems or specific seating locations for individuals who use wheelchairs. But § 38.57(b) specifies that rail cars must have sufficient interior clearances to permit at least two wheelchairs or mobility aids to reach clear space areas, each of which must measure at least 48 inches by 30 inches. (See Figure 4-6.) The regulations do not specify the location of the clear space areas; these areas may coincide with places where other passengers stand.

### Between-Car Barriers

Unless there are platform screens, [§ 38.63](#) requires rapid rail trains to have devices or systems that “prevent, deter or warn” passengers from accidentally stepping off the platform into the gaps between rail cars.

While the regulations do not prescribe a particular type of between-car barrier, currently available systems include pantograph gates, chains, and motion detectors. Figure 4-5 illustrates an example of a between-car barrier on a rapid rail car.



Figure 4-5 – Between-Car Barrier

### 4.3.5 Considerations for Acquiring Accessible Light Rail Vehicles

For light rail vehicles (including streetcars), the Part 38 [Subpart D](#) specifications cover doorway width, priority seating signs, interior circulation, lighting, public address systems, floor and step surfaces, doorway-platform gaps, mobility aid accessibility, and between-car barriers. This discussion highlights areas of particular interest in light rail systems: the doorway-platform gap, boarding devices, priority seating and interior circulation, and between-car barriers.

Public entities cannot make any departures from the specific technical and scoping requirements for light rail vehicles without a signed determination of equivalent facilitation from the FTA Administrator. (See Circular Section 5.3.)

#### Doorway-Platform Gaps

[Section 38.73\(d\)](#) specifies the platform-to-rail-car gap requirements for level boarding. The maximum allowable gap between the platform and the vehicle doorway depends on whether the vehicle is new or retrofitted and whether the platform is part of a station that is designated as existing, “key,” or new. (See Circular Section 3.7.) Table 4-3 presents the maximum allowable horizontal and vertical gaps, which allow for level boarding.

**Table 4-3 – Allowable Gap Between Platform and Light Rail Vehicle**

| Vehicle                  | Station Designation | Horizontal Gap                        | Vertical Gap            |
|--------------------------|---------------------|---------------------------------------|-------------------------|
| New                      | New                 | 3 inches (max.)                       | ± 5/8 inch              |
| New                      | Existing            | 3 inches (max.)                       | ± 1 1/2 inches          |
| New                      | Key                 | 3 inches (max.) for at least one door | ±1 1/2 inches           |
| Retrofitted <sup>6</sup> | New or key          | 4 inches (max.)                       | ± 2 inches <sup>7</sup> |

#### Boarding Devices

Unlike rapid rail, light rail systems often operate on city streets, pedestrian malls, or other areas where level boarding is not practicable. Under such circumstances, the Part 38 requirements allow for the use of various devices to board and alight wheelchair users and others who cannot climb steps. These devices include, for example:

- Car-borne lifts
- Ramps
- Bridge plates (plates that bridge the gap and may be kept on the platform or in the vehicle and are often manually placed by the vehicle conductor)
- Mini-high platforms (raised sections of the platform that are coordinated with the floor height of the rail car)
- Wayside lifts (portable lifts kept on the platform, also called station-based lifts)

Section 38.73(d)(4) permits public entities to use a lift, ramp, or bridge plate if “it is not operationally or structurally practicable to meet the horizontal or vertical requirements.” The specifications of the lift, ramp, or bridge plate can be found in [§ 38.83](#). Under § 38.83(a)(2), if lifts, ramps or bridge plates are provided on station platforms or other stops, or mini-high platforms are provided, the vehicle is not required to be equipped with a car-borne device.

<sup>6</sup> Retrofitted vehicles are vehicles in service in 1990 that were modified to meet the one-car-per-train rule.

<sup>7</sup> For retrofitted vehicles, the vertical gap is measured under 50% passenger load.

The Part 38 Subpart D requirements differentiate between the varying operating environments for light rail systems, including operations confined entirely to a dedicated right-of-way and vehicles operating in “pedestrian malls, city streets, or other areas where level boarding is not practicable.” (See [§ 38.71\(b\)](#).) When level boarding is not practicable, § 38.71(b)(2) requires vehicles to provide “wayside or car-borne lifts, mini-high platforms, or other means of access in compliance with § 38.83(b) or (c).” Other means of access include ramps and bridge plates.

Part 38 provides specifications for car-borne lifts in [§ 38.83\(b\)](#), covering elements such as design load, slope and platform surface. Section 38.83(c) specifies the requirements for light rail vehicle ramps and bridge plates.

### Priority Seating Signs and Interior Circulation

[Section 38.75](#) establishes requirements for signs in each light rail car that identify priority seats and ask other passengers to make these seats available for those who need them. The language an agency places on its signs does not need to match exactly the text in § 38.75(a) but instead capture the general requirement. Part 38 Subpart D does not include requirements for light rail vehicles to have securement systems or specific seating locations for individuals who use wheelchairs. But § 38.77(c) specifies that light rail vehicles must have sufficient interior clearances to permit at least two wheelchairs or mobility aids to reach clear space areas, each of which measures at least 48 inches by 30 inches. (See Figure 4-6.) The regulations do not specify the location of the clear space areas; these areas may coincide with places where other passengers stand.



Figure 4-6 – Clear Area Designated for Wheelchairs and Mobility Aids

### Between-Car Barriers

[Section 38.85](#) states, “Where vehicles operate in a high-platform, level-boarding mode, devices or systems shall be provided to prevent, deter or warn individuals from inadvertently stepping off the platform between cars.” While the regulations do not prescribe a particular type of between-car barrier, they state that suitable devices include pantograph gates, chains, and motion detectors. The purpose of

this provision is to stop an individual from mistaking the gap between cars for an open vehicle door and then stepping off the platform.

While regulations do not define what constitutes a “high platform,” the regulatory language links “high-platform” to “level-boarding mode” and must be considered in conjunction with other key parts of the regulations, which clearly point to the relationship between platform height and entrance to the vehicle floor. In a level-boarding/platform environment without between-car barriers, the hazard of falling to the track bed exists whenever a light rail system operates trains of more than one car. This represents a physical risk to the travelling public as well as a financial risk to a transit agency.

FTA notes that while the requirement for between-car barriers is found in the section of the DOT ADA regulations pertaining to light rail vehicles, the language in § 38.85 simply requires “devices or systems” to be “provided.” It does not state that such devices or systems are to be car-borne. As a result, many light rail systems where level boarding is provided have elected to implement platform-based between-car barriers. These generally take the form of bollards installed in the platform edge where they align with the gap between cars. Together with precise positioning of the train, these can provide an effective deterrent against mistaking the gap for a door. Examples of between-car barriers in light rail applications are shown in Figure 4-7. As an interim measure, some entities have stationed personnel on the platform to actively warn riders of the between-car gap. (See Figure 4-8.)

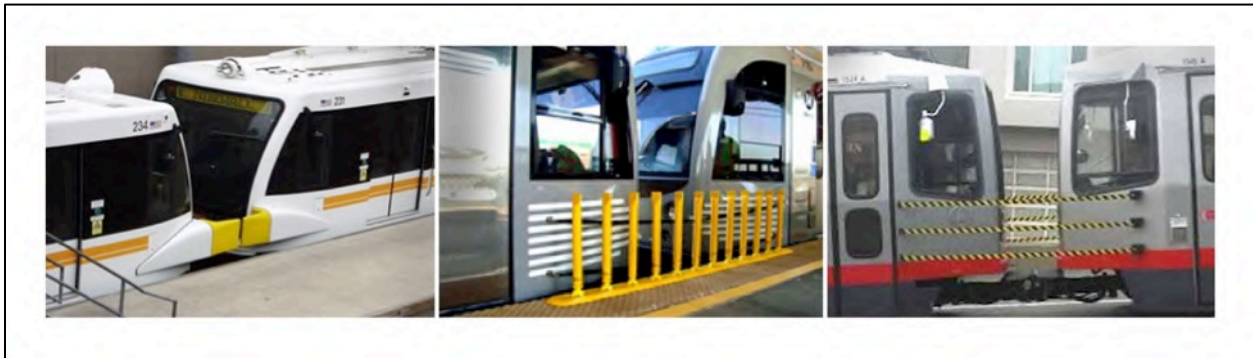


Figure 4-7 – Between-Car Barriers in Light Rail Applications



Figure 4-8 – Stationing of Transit Personnel in Lieu of Between-Car Barriers in Light Rail Applications

## 4.4 Commuter Rail Vehicles

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### 4.4.1 New Commuter Rail Car Acquisition

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#### Requirement

“Amtrak or a commuter authority making a solicitation after August 25, 1990, to purchase or lease a new intercity or commuter rail car for use on the system shall ensure that the vehicle is readily accessible to and usable by individuals with disabilities, including individuals who use wheelchairs” ([§ 37.85](#)).

#### Discussion

All new commuter rail cars must be accessible; there are no exceptions. The regulations require in § 37.85 any solicitation for new commuter rail cars ensure that the rail cars must be designed and built to meet the applicable Part 38 specifications.

### 4.4.2 Used Commuter Rail Car Acquisition

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#### Requirement

“Except as provided elsewhere in this section, Amtrak or a commuter authority purchasing or leasing a used intercity or commuter rail car after August 25, 1990, shall ensure that the car is readily accessible to and usable by individuals with disabilities, including individuals who use wheelchairs” ([§ 37.87\(a\)](#)).

“Amtrak or a commuter authority may purchase or lease a used intercity or commuter rail car that is not readily accessible to and usable by individuals if, after making demonstrated good faith efforts to obtain an accessible vehicle, it is unable to do so” ([§ 37.87\(b\)](#)).

“Good faith efforts shall include at least the following steps:

- (1) An initial solicitation for used vehicles specifying that all used vehicles accessible to and usable by individuals with disabilities;
- (2) A nationwide search for accessible vehicles, involving specific inquiries to used vehicle dealers and other transit providers; and
- (3) Advertising in trade publications and contacting trade associations” ([§ 37.87\(c\)](#)).

“When Amtrak or a commuter authority leases a used intercity or commuter rail car for a period of seven days or less, Amtrak or the commuter authority may make and document good faith efforts as provided in this paragraph instead of in the ways provided in paragraph (c) of this section:

- (1) By having and implementing, in its agreement with any intercity railroad or commuter authority that serves as a source of used intercity or commuter rail cars for a lease of seven days or less, a provision requiring that the lessor provide all available accessible rail cars before providing any inaccessible rail cars.
- (2) By documenting that, when there is more than one source of intercity or commuter rail cars for a lease of seven days or less, the lessee has obtained all available accessible intercity or commuter rail cars from all sources before obtaining inaccessible intercity or commuter rail cars from any source” ([§ 37.87\(d\)](#)).

“Amtrak and commuter authorities purchasing or leasing used intercity or commuter rail cars that are not readily accessible to and usable by individuals with disabilities shall retain documentation of the specific good faith efforts that were made for three years from the date the cars were purchased. These records shall be made available, on request, to the Federal Railroad Administration or FTA Administrator, as applicable. These records shall be made available to the public, on request” ([§ 37.87\(e\)](#)).

## Discussion

Used commuter rail cars must be accessible unless the transit agency cannot obtain an accessible used vehicle after making a demonstrated good faith effort to do so. The steps required for a “good faith effort” are set forth in § 37.87(c), and include specifying in the initial solicitation for used vehicles that all vehicles must be accessible, and undertaking a nationwide search for accessible used vehicles and not limiting the search to a particular region. It is not enough to contact only a known manufacturer to see if it has accessible used rail cars.

Section 37.87(c)(3) requires public entities to advertise in trade publications and contact trade associations. This includes advertising in magazines such as *Passenger Transport* and other national outlets to determine whether accessible used vehicles are available. Trade groups include the American Public Transportation Association (APTA).

Where inaccessible used cars are acquired, however, the entity must still have a sufficient number of accessible cars in its fleet to achieve at least one accessible car per train (see Circular Section 4.5). This could include acquiring a sufficient number of new, accessible rail cars to add to the fleet; modifying a sufficient number of the used rail cars to make them accessible; or relying on existing accessible vehicles in the entity’s fleet.

There are additional provisions concerning the short-term lease of rail cars by a commuter authority, as may be necessary as fill-ins for cars that need repairs; these requirements are found in § 37.87(d). As [Appendix D](#) to § 37.87 explains,

The section also parallels closely the requirements in the ADA for the purchase or lease of accessible used rail vehicles. We acknowledge that, in some situations, the statutory requirement for to make good faith efforts to acquire accessible used vehicles may create difficulties for rail operators attempting to lease rail cars quickly for a short time (e.g., as fill-ins for cars which need repairs). In some cases, it may be possible to mitigate these difficulties through means such as making good faith efforts with respect to an overall agreement between two rail operators to make cars available to one another when needed, rather than each time a car is provided under such an agreement.

With respect to such short-term leases (i.e., seven days or fewer), § 37.87(d) requires good faith efforts to include:

- Having an agreement that an intercity railroad or commuter authority leasing vehicles will supply all available accessible rail cars before providing any inaccessible rail cars.
- When more than one source of rail cars is available, documentation showing that the transit agency obtained all available accessible commuter rail cars from all sources before obtaining inaccessible commuter rail cars from any source.

There is an exception to these requirements for donated vehicles. In the rare circumstance that someone wishes to donate a vehicle to a public entity, the ADA does not prevent the transit operator from accepting a gift. Not all “zero dollar” transfers are donations, however. This rare situation requires entities to submit documentation to the FTA Regional Civil Rights Officer for verification. Soliciting donations of inaccessible vehicles is not permitted.

### 4.4.3 Remanufactured Commuter Rail Car Acquisition

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#### Requirement

“This section applies to Amtrak or a commuter authority which takes one of the following actions:

- (1) Remanufactures an intercity or commuter rail car so as to extend its useful life for ten years or more;
- (2) Purchases or leases an intercity or commuter rail car which has been remanufactured so as to extend its useful life for ten years or more” ([§ 37.89\(a\)](#)).

“Intercity and commuter rail cars listed in paragraph (a) of this section shall, to the maximum extent feasible, be readily accessible to and usable by individuals with disabilities, including individuals who use wheelchairs” ([§ 37.89\(b\)](#)).

“For purposes of this section, it shall be considered feasible to remanufacture an intercity or commuter rail car so as to be readily accessible to and usable by individuals with disabilities, including individuals who use wheelchairs, unless an engineering analysis demonstrates that remanufacturing the car to be accessible would have a significant adverse effect on the structural integrity of the car” ([§ 37.89\(c\)](#)).

#### Discussion

These requirements apply to the acquisition or lease of any remanufactured commuter rail car in order to extend its useful life by 10 years or more. Unless an engineering analysis shows that including a particular accessibility feature would have a significant adverse effect on the structural integrity of the vehicle, § 37.89 requires the remanufactured vehicle to be accessible.

Regular maintenance does not constitute remanufacturing. A typical mid-life overhaul—one that does not extend a vehicle’s normal life—does not constitute remanufacturing. Neither does replacement of components, even major items such as the wheels and axles.

The requirement for a remanufactured vehicle to be accessible to the maximum extent feasible applies regardless of whether the vehicle is remanufactured in-house by transit agency personnel or is acquired as a remanufactured vehicle from a third party.

#### Historic Commuter Rail Cars

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Unlike rapid and light rail systems, there is no exception for historic rail cars operated in commuter rail service. Such vehicles would be subject to the requirements for acquisition of used vehicles or for the remanufacture of or acquisition of remanufactured vehicles. The only historic exception is available to private entities that are primarily engaged in the business of transporting people (see [§ 37.107\(c\)](#)) and historic rail cars operated in museum settings. (See [§ 37.37\(c\)](#).)

### 4.4.4 Considerations for Acquiring Accessible Commuter Rail Cars

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For commuter rail cars, the Part 38 [Subpart E](#) requirements cover car doorway-platform gaps, mobility aid accessibility, priority seating signs, and between-car barriers.

Public entities cannot make any departures from the specific technical and scoping requirements for commuter rail vehicles without a signed determination of equivalent facilitation from the FTA Administrator. (See Circular Section 5.3.)

FTA reminds commuter rail operators that the requirement, per [§ 37.42](#), for accessible boarding at all accessible cars of a train applies to rail platforms constructed or altered after February 1, 2012. This may affect the specifications for commuter rail vehicles that provide service to these new platforms. (See Circular Section 3.8.)

## Doorway-Platform Gaps

[Section 38.93](#) establishes standards for the horizontal and vertical gaps between the rail cars and the station platform or mini-high platform applicable to public entities. The maximum allowable gaps depend on whether the rail car is new or retrofitted and whether the platform is part of an existing, new, or key station. (See Circular Section 3.8.) Table 4-4 presents the maximum allowable horizontal and vertical gaps for unassisted level boarding.

**Table 4-4 – Allowable Gaps between Platform and Commuter Rail Cars**

| Rail Car                 | Station Designation | Horizontal Gap                        | Vertical Gap            |
|--------------------------|---------------------|---------------------------------------|-------------------------|
| New                      | New                 | 3 inches (max.)                       | ± 5/8 inch              |
| New                      | Existing            | 3 inches (max.)                       | ± 1 1/2 inches          |
| New                      | Key                 | 3 inches (max.) for at least one door | ± 1 1/2 inches          |
| Retrofitted <sup>8</sup> | New or key          | 4 inches (max.)                       | ± 2 inches <sup>9</sup> |

## Boarding Devices

Unassisted level boarding is not always possible in commuter rail systems. The Part 38 requirements allow for the use of various devices to board and alight wheelchair users and others who cannot climb steps. These devices include, for example:

- Car-borne lifts
- Ramps
- Bridge plates (plates that bridge the gap and may be kept on the platform or in the vehicle and are often manually placed by the vehicle conductor)
- Mini-high platforms (raised sections of the platform coordinated with the height of the doorway of the rail car)
- Wayside lifts (portable lifts kept on the platform, also called station-based lifts)

Section 38.93(d)(4) permits public entities to use a lift, ramp, or bridge plate if “it is not operationally or structurally practicable to meet the horizontal or vertical requirements.” (The specifications of the lift, ramp, or bridge plate can be found in [§ 38.83](#).) Section 38.95(a)(1) specifies that all new commuter rail cars, other than level entry cars, must provide a compliant level-change mechanism or boarding device (e.g., lift, ramp, or bridge plate) for each. However, § 38.95(a)(2) states that where level-entry boarding is provided, or portable or platform lifts, ramps, or bridge plates, or mini-high platforms are provided, the car is not required to be equipped with a car-borne device.

Part 38 provides specifications for car-borne lifts in § 38.95(b), covering elements such as design load, slope, and platform surface. [Section 38.95\(c\)](#) specifies the requirements for commuter rail car ramps and bridge plates.

As discussed in Circular Section 3.8, § 37.42 establishes standards for platform-to-rail-car coordination for level boarding that accounts for the fact that clearance envelopes for freight traffic often do not permit the type of close coordination required for unassisted boarding.

## Priority Seating Signs and Interior Circulation

[Section 38.105](#) establishes requirements for signs in each commuter rail car that identify priority seats and ask other passengers to make these seats available to those who need them. The language an agency

<sup>8</sup> Retrofitted vehicles are vehicles in service in 1990 that were modified to meet the one-car-per-train rule.

<sup>9</sup> For retrofitted vehicles, the vertical gap is measured under 50% passenger load.

places on its signs does not need to match exactly the text in § 38.105(a) but instead capture the general requirement. Part 38 Subpart E does not include requirements for commuter rail vehicles to have securement systems or specific seating locations for individuals who use wheelchairs. But [§ 38.95\(d\)](#) establishes the following requirement for mobility aid seating in commuter rail cars: “Spaces for persons who wish to remain in their wheelchairs or mobility aids shall have a minimum clear floor space 48 inches by 30 inches.”

### Between-Car Barriers

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When a commuter rail station provides high-platform level boarding, [§ 38.109](#) requires commuter rail cars that do not have between-car bellows to have devices or systems that “prevent, deter or warn” passengers from accidentally stepping off the platform into the gaps between rail cars. Section 38.109 does not require between-car barriers if the platforms have screens that close off the platform edge and open only in correct alignment with the doors of the rail cars. While the regulations do not prescribe any particular type of between-car barrier, they list pantograph gates, chains, and motion detectors as examples.

## 4.5 One-Car-Per-Train Accessibility

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### Requirement

“The definition of accessible for purposes of meeting the one car per train rule is spelled out in the applicable subpart for each transportation system type in Part 38 of this title” ([§ 37.93\(a\)](#)).

“Each person providing intercity rail service and each commuter rail authority shall ensure that, as soon as practicable, but in no event later than July 26, 1995, that each train has one car that is readily accessible to and usable by individuals with disabilities, including individuals who use wheelchairs” ([§ 37.93\(b\)](#)).

“Each public entity providing light or rapid rail service shall ensure that each train, consisting of two or more vehicles, includes at least one car that is readily accessible to and usable by individuals with disabilities, including individuals who use wheelchairs, as soon as practicable but in no case later than July 25, 1995” ([§ 37.93\(c\)](#)).

### Discussion

The DOT ADA regulations anticipated that the replacement of vehicles over time would achieve full fleet accessibility. Because rail cars have a long service life, the regulations included a special requirement to provide a minimum level of accessibility in the interim. Section 37.93 required existing passenger rail system operators to provide at least one accessible car per train by July 26, 1995. Transit providers were supposed to accomplish this by purchasing new rail cars, by retrofitting existing rail cars in the fleet, or by some combination of the two. Public entities were expected to allocate their accessible rail cars so that individuals with disabilities would be able to use all trains.

The requirement for at least one accessible car per train is in addition to the requirement for all new, used, or remanufactured rail cars to be accessible to and usable by persons with disabilities, including wheelchair users. Over time, as existing fleets are replaced with accessible cars, every car in every train will become accessible. However, the one-car-per-train requirement continues to be relevant not only to existing rail systems that predated the ADA but also to new systems or expansions of existing service that are served by trains composed of used or remanufactured rail cars. While Part 37 Subpart D permits the acquisition of inaccessible used or remanufactured vehicles subject to the conditions described above, it is still necessary for public entities to ensure that they have a sufficient number of accessible rail cars in order to achieve at least one accessible car per train.

## 4.6 Ensuring Vehicles Are Compliant

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FTA offers a number of suggestions to ensure compliance with the DOT ADA regulations when acquiring vehicles. These include preparing complete bid packages, obtaining public input, and conducting pre-delivery inspections.

### 4.6.1 Preparing Complete Bid Packages

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FTA recommends that when transit agencies prepare the specifications for bid packages, these specifications spell out the specific accessibility requirements in detail. Simply providing a general statement that the vehicle “must meet all ADA requirements in Part 38” presumes that all potential bidders fully understand each specific requirement for each vehicle type. Spelling out the specific requirements ensures that other specifications do not conflict with ADA requirements. For example, if a bid package specifies a particular seating arrangement but does not specify the dimensions of the minimum required wheelchair securement area, potential bidders may overlook that requirement as they attempt to maximize the number of seats. Finally, by incorporating the required specifications into bid packages, individuals preparing the packages will gain a working understanding of the requirements necessary to ensure the acquired vehicles meet the Part 38 requirements.

In order to improve the accessibility of the fixed route system and make service easier for all passengers to use, transit agencies may choose to develop specifications that exceed the minimum requirements. For example, while [§ 38.23\(a\)](#) requires buses more than 22 feet in length to have at least two wheelchair securement locations, an agency may choose to purchase some buses with three securement locations for use on certain routes that serve a number of riders who use wheelchairs.

FTA recommends requiring bid packages to have documentation for all specifications that cannot be easily confirmed via observation or simple measurement. This includes product and material specifications, strength of components, and performance of systems. This required documentation might be test results from independent laboratories or product specifications from the original manufacturer, specifying, for example:

- The securement straps have required minimum load tolerances of 5,000 pounds. The vehicle vendor must document that the straps meet these load tolerances.
- The front doorway must have at least 2 foot-candles of lighting and the light on the outside of the doorway must have at least 1 foot-candle of lighting. The vendor must document that the vehicle meets these requirements.

### 4.6.2 Obtaining Public Input

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FTA recommends obtaining public input to ensure as many persons with disabilities as possible can use the new vehicles. Some transit agencies have asked vendors to develop partial, full-scale mockups of buses and rail cars that riders with disabilities can test by entering and exiting the proposed vehicle, using the lifts or ramps, maneuvering in the aisles, using the securement system, and observing the signage. Rider comments based on such testing often help improve the ultimate design of the vehicle.

While it may not be possible to respond to all of the feedback obtained from such an approach, performing this step can offer insights into potential design enhancements and minimize complaints and problems after the vehicles are in service. Having a more usable and workable design can also permit services to operate more efficiently. For example, boarding and alighting times will be reduced if passengers can easily get to and from securement areas and drivers can secure mobility devices faster.

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### 4.6.3 Inspecting Vehicles

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Once a vehicle vendor is selected, FTA recommends confirming that the vendor understands the complete bid package. At the appropriate time in the procurement cycle, transit agencies using FTA funds are required to conduct a factory inspection of the vehicles. (See [49 CFR 663.21](#).) FTA recommends that agencies follow this practice even when not using FTA funds. Agencies may use their own employees or a contractor with expertise in the type of vehicle being inspected. Any identified problems can be more easily remedied at this stage of production.

Based on the developed specification, a checklist will facilitate a pre-delivery inspection, and FTA recommends that this checklist include all elements related to accessibility. The Attachment 4-1 checklist is an example of what a transit agency may use in the factory inspection for buses.

Upon delivery, FTA recommends that transit agencies conduct a final inspection prior to acceptance (also using a checklist). This will ensure the vendor is providing the vehicle as specified. If there are any discrepancies, the vendor may be able to make minor changes locally. For larger issues, the vendor may need to return vehicles to the plant.

## Attachment 4-1

### Optional Vehicle Acquisition Checklist for Buses and Vans

|  |  |
|--|--|
| Name of Public Entity  |  |
| Fleet Number Assigned by Public Entity/Contractor (if applicable): |  |
| Type of Vehicle: (check one)                                       |  |
| • Van  |  |
| • Bus (22 feet or less in length)                                  |  |
| • Bus (more than 22 feet in length)                                |  |
| Make/Model   |  |
| Year   |  |
| Name of Person Reviewing Specifications                            |  |
| Signature  |  |
| Date   |  |

### Lift Specifications (if applicable)

| Meets/Does Not Meet/NA | Specification (Regulation)  | Note Actual Measurement |
|------------------------|---|-------------------------|
|                        | The design load of a lift must be at least 600 pounds. Working parts must have a safety factor of at least six. Non-working parts must have a safety factor of at least three. (49 CFR § 38.23(b)(1))         |                         |
|                        | Controls must be interlocked with the brakes, transmission, or door so that the vehicle cannot move unless the interlock is engaged. (§ 38.23(b)(2)(i))   |                         |
|                        | Controls must be "momentary contact type" (meaning they require constant pressure) and must allow the up/down cycle to be reversed without causing the platform to "stow" while occupied. (§ 38.23(b)(2)(i))  |                         |
|                        | Lifts must be equipped with an emergency method of deploying. This emergency backup system must be capable of being operated both up and down without the platforms "stowing" while occupied. (§ 38.23(b)(3)) |                         |
|                        | Must be designed so that in the event of a power failure, the platform cannot fall faster than 12 inches per second. (§ 38.23(b)(4))  |                         |
|                        | Must have an inner barrier or inherent design feature to prevent the mobility aid from rolling off the side closest to the vehicle until the platform is in its fully raised position. (§ 38.23(b)(5))        |                         |
|                        | Side barriers must be at least 1 1/2 inches high. (§ 38.23(b)(5))   |                         |

| Meets/Does Not Meet/NA | Specification (Regulation)  | Note Actual Measurement |
|------------------------|---|-------------------------|
|                        | The “loading-edge” (or outer) barrier must be sufficient to prevent a power wheelchair from riding over or otherwise defeating it. If this barrier is automatic, it must close when the platform is more than 3 inches off the ground. If the outer barrier is to be driver operated, it must have an interlock or inherent design that prevents the platform from being raised until the barrier is closed or other system is engaged. (§ 38.23(b)(5)) |                         |
|                        | The platform surface must be slip resistant with no protrusions over 1/4 inch high. (§ 38.23(b)(6))   |                         |
|                        | The platform must be at least 28 1/2-inches wide measured at the platform surface and at least 30 inches wide measured from 2 inches above the platform surface to 30 inches above the surface. It must also be at least 48 inches long measured from 2 inches above the surface to 30 inches above the surface. (§ 38.23(b)(6))  |                         |
|                        | Gaps between the platform surface and any barrier cannot be more than 5/8 inch. Semi-automatic lifts can have a handhold in the platform that measures no more than 1 1/2 inches by 4 1/2 inches. (§ 38.23(b)(7))   |                         |
|                        | When in the fully raised position, the platform surface must be vertically within 5/8 inch of the finished floor and horizontally within 1/2 inch of the finished floor. (§ 38.23(b)(7))  |                         |
|                        | The ramp from ground to platform (often the lowered outer barrier) must have a slope of no more than 1:8 for a maximum rise of 3 inches (i.e., if platform is 1 inch off the ground, ramp must be at least 8 inches long). If the threshold from ground to ramp (i.e., the thickness of the ramp material) is more than 1/4 inch, it must be beveled with a slope no greater than 1:2. (§ 38.23(b)(8))  |                         |
|                        | The platform must not deflect more than 3 degrees in any direction when a 600-pound load is placed on the center of the platform. (§ 38.23(b)(9))   |                         |
|                        | The platform must raise or lower in no more than 6 inches per second. The platform must be stowed or deployed in no more than 12 inches per second. Horizontal acceleration cannot be more than 0.3 g. (§ 38.23(b)(10))   |                         |
|                        | Components of a lift must be designed to allow boarding in either direction. (§ 38.23(b)(11))   |                         |
|                        | Must be equipped with two handrails that move in tandem with the lift platform. Handrails must be 30-38 inches above the platform surface and must have a usable grasping area of at least 8 inches. Handrails must be capable of supporting 100 pounds, must have a cross-sectional diameter of 1 1/4 to 1 1/2 inches, and must have at least 1 1/2 inches of “knuckle clearance.” (§ 38.23(b)(13))  |                         |
|                        | Lifts may be marked to identify the preferred standing position. (§ 38.23(b)(12))   |                         |

## Ramp Specifications (if applicable)

| Meets/Does Not Meet/NA | Specification (Regulation)   | Note Actual Measurement |
|------------------------|--|-------------------------|
|                        | Ramps 30 inches or greater in length must have a design load of 600 pounds. Ramps < 30" in length must have a design load of 300 pounds. (§ 38.23(c)(1))   |                         |
|                        | Ramp surface must be continuous and slip resistant. Protrusions cannot be more than 1/4 inch. (§ 38.23(c)(2))  |                         |
|                        | Ramps must be at least 30 inches wide. (§ 38.23(c)(2))   |                         |
|                        | Ramps must accommodate both three-wheeled and four-wheeled mobility aids. (§ 38.23(c)(2))  |                         |
|                        | If the threshold from the ground to the ramp surface exceeds 1/4 inch, it must be beveled with a maximum slope of 1:2. (§ 38.23(c)(3))   |                         |
|                        | Side barriers, at least 2 inches high, must be provided. (§ 38.23(c)(4))   |                         |
|                        | <p>Ramps must have the least slope practicable. When the ramp is deployed to ground, the slope cannot exceed 1:4 (i.e., for a vehicle with a finished floor 12 inches above the ground, a 48-inch ramp would be needed). When deployed to a 6-inch curb the following maximum slopes would apply:</p> <p>Finished floor height above 6-inch curb</p> <ul style="list-style-type: none"> <li>• 3 inches or less – maximum slope of 1:4</li> <li>• 6 inches or less, but more than 3 inches – maximum slope of 1:6</li> <li>• 9 inches or less, but more than 6 inches – maximum slope of 1:8</li> <li>• Greater than 9 inches – maximum slope of 1:12</li> </ul> <p>(§ 38.23(c)(5))</p> |                         |
|                        | The ramp must be firmly attached to the vehicle. (§ 38.23(c)(6))   |                         |
|                        | Gaps between the ramp and vehicle finish floor cannot be more than 5/8 inch. (§ 38.23(c)(6))   |                         |
|                        | A compartment or securement system must be provided for the ramp to keep it from impinging on the space set aside for mobility aid users and to keep it from becoming a hazard in the event of a sudden stop. (§ 38.23(c)(7))  |                         |
|                        | Handrails are not required. If they are provided, however, they must support 100 pounds, be 30 to 38 inches above the ramp surface, have a cross-sectional diameter of 1 1/4 to 1 1/2 inches, and be continuous for the full length of the ramp. (§ 38.23(c)(8))   |                         |

## Securement Area

| Meets/Does Not Meet/NA | Specification (Regulation)  | Note Actual Measurement |
|------------------------|---|-------------------------|
|                        | Vehicles more than 22 feet in length must have at least two (2) securement locations. Vehicles 22 feet or less in length must have at least one (1) securement location. (§ 38.23(a)) Vehicles are to be measured from the front-most part to the rear-most item (including the bumpers).   |                         |
|                        | <p>Wheelchairs and mobility aids must be oriented as follows:</p> <ul style="list-style-type: none"> <li>For vehicles more than 22 feet in length, at least one securement position must be forward facing. Other securement areas can be either forward or rear facing.</li> <li>For vehicles 22 feet or less in length, the one required position can be either forward or rear facing.</li> </ul> <p>(§ 38.23(d)(4))</p>   |                         |
|                        | If wheelchair and mobility-aid users are secured in a rear-facing orientation, a padded barrier must be provided. The barrier must be 18 inches wide and extend from 38 inches to 56 inches above the floor. (§ 38.23(d)(4))  |                         |
|                        | <p>Securement systems must have the following design loads:</p> <ul style="list-style-type: none"> <li>For vehicle with a GVWR of 30,000 pounds or more: 2,000 pounds for each strap/clamp and 4,000 pounds per mobility aid.</li> <li>For vehicles with a GVWR of less than 30,000 pounds: 2,500 pounds per clamp/strap and 5,000 pounds per mobility aid.</li> </ul> <p>(§ 38.23(d)(1))</p>   |                         |
|                        | Securement area must be located as close to the accessible entrance as possible. (§ 38.23(d)(2))  |                         |
|                        | A clear floor area of 30 inches wide by 48 inches long must be provided for each securement area. This can include an area up to 6 inches under a seat as long as there is a vertical clearance of at least 9 inches. If flip-seats are utilized, they cannot obstruct the required floor area. The required floor area can overlap the access path (the path of travel from the accessible entrance to the securement area). (§ 38.23(d)(2))   |                         |
|                        | <p>The securement system must accommodate all common wheelchairs and mobility aids (any mobility aid not exceeding 30 inches in width and 48 inches in length and weighing no more than 600 pounds when occupied)* and be operable by someone with average dexterity that is familiar with the system. [§ 38.23(d)(3)]</p> <p>*The “common wheelchair” concept was removed from Part 37, but the above dimensions/weight still represent the minimum a compliant lift must accommodate.</p> |                         |

| Meets/Does Not Meet/NA | Specification (Regulation)   | Note Actual Measurement |
|------------------------|--|-------------------------|
|                        | Securement systems must keep mobility aids from moving no more than 2 inches in any direction. (§ 38.23(d)(5))   |                         |
|                        | The securement system must be located to be readily accessed when needed but must not interfere with passenger movement or be a hazard to passengers. It should also be reasonably protected from vandalism. (§ 38.23(d)(6))   |                         |
|                        | A seat belt and shoulder harness must be provided for each securement position. The seat belt and shoulder harness must be separate from the securement system for the mobility aid. (§ 38.23(d)(7))   |                         |
|                        | Each securement location must have a sign designating it as such. Characters on these signs must have (1) a width-to-height ratio between 3:5 and 1:1; (2) a stroke width-to-height ratio between 1:5 and 1:10; (3) minimum height (using an uppercase "X") of 5/8 inch; (4) wide spacing (generally, the space between letters must be 1/16 the height of uppercase letters); and (5) contrast with the background, either light-on-dark or dark-on-light. (§ 38.27(b) and (c)) |                         |

## General Vehicle Specifications

| Meets/Does Not Meet/NA | Specification (Regulation)   | Note Actual Measurement |
|------------------------|--|-------------------------|
|                        | Aisles, steps, and floor areas must be slip resistant. (§ 38.25(a))  |                         |
|                        | Step edges, thresholds, and the boarding edge of ramps or lift platforms must have a band of color that contrasts with the step/floor surface. Typically, white or bright yellow is used to contrast against dark floors. (§ 38.25(b))   |                         |
|                        | <p>The height of doors at accessible entrances and the interior height along the path of travel between accessible entrances and securement areas must be as follows:</p> <ul style="list-style-type: none"> <li>For vehicles more than 22 feet in length, the clearance from the raised lift platform or the ramp surface to the top of the door must be at least 68 inches.</li> <li>For vehicles 22 feet or less in length, the overhead clearance must be at least 56 inches.</li> </ul> <p>(§ 38.25(c))</p> |                         |

| Meets/Does Not Meet/NA | Specification (Regulation)   | Note Actual Measurement |
|------------------------|--|-------------------------|
|                        | Signs for at least one set of forward-facing seats indicating that those seats are priority seats for persons with disabilities, and that other passengers should make such seats available to those who wish to use them. Characters on these signs must have (1) a width-to-height ratio between 3:5 and 1:1; (2) a stroke width-to-height ratio between 1:5 and 1:10; (3) minimum height (using an uppercase “X”) of 5/8 inch; (4) wide spacing (generally, the space between letters must be 1/16 the height of uppercase letters); and (5) contrast with the background, either light-on-dark or dark-on-light. (§ 38.27(a), § 38.27(c))                    |                         |
|                        | Interior handrails and stanchions must allow space for wheelchairs and other mobility aids to turn and maneuver to reach a securement location from the lift or ramp. (§ 38.29(a))   |                         |
|                        | Handrails and stanchions must be provided in the vehicle entrance so that a person with a disability can grasp the handrail or stanchion to board from outside the vehicle and then pay a fare. Handrails must (1) have a cross-sectional diameter of 1 1/4 to 1 1/2 inches or provide equivalent grasping service; (2) have eased edges with corner radii of at least 1/8 inch; and (3) be placed to provide a minimum of 1 1/2 inches of knuckle clearance from the nearest adjacent surface. On vehicles more than 22 feet in length with on-board fare collection systems, a horizontal assist must be provided across the front of the vehicle.(§ 38.29(b)) |                         |
|                        | For vehicles more than 22 feet in length, an overhead handrail or handrails must be provided which are continuous except for a gap at the rear doorway. (§ 38.29(c))   |                         |
|                        | Handrails and stanchions must be sufficient to permit safe boarding, on-board circulation, sitting and standing assistance, and exiting by persons with disabilities. (§ 38.29(d))   |                         |
|                        | For vehicles more than 22 feet in length with front-door lifts or ramps, vertical stanchions immediately behind the driver must either terminate at the lower edge of the aisle-facing seats or be “dog-legged” so that the floor attachment does not impede or interfere with wheelchair footrests. (§ 38.29(e))  |                         |
|                        | If a wheelchair user must pass the driver’s seat, the seat platform must not extend into the aisle or vestibule beyond the wheel housing, to the maximum extent practicable. (§ 38.29(e))  |                         |
|                        | Any stepwell or doorway with a lift or ramp, immediately adjacent to the driver must have—when the door is open—at least 2 foot-candles of lighting measured on the step tread or lift platform. (§ 38.31(a))  |                         |

| Meets/Does Not Meet/NA | Specification (Regulation)  | Note Actual Measurement |
|------------------------|---|-------------------------|
|                        | Other stepwells, and doorways with lifts or ramps must have at all times at least 2 foot-candles of lighting measured on the step tread or lift or ramp, when deployed at the vehicle floor level. (§ 38.31(b))   |                         |
|                        | All vehicle doorways must have outside lights that, when the door is open, provide at least 1 foot-candle of lighting on the street surface for a distance 3 feet (915 mm) perpendicular to the bottom step tread or lift outer edge. These lights must be shielded to protect the eyes of entering and exiting passengers. (§ 38.31(c))  |                         |
|                        | If present, a farebox must be located as far forward as practicable and must not obstruct traffic in the vestibule, especially for wheelchairs and mobility aids. (§ 38.33)   |                         |
|                        | If a vehicle is more than 22 feet in length and used in multiple-stop, fixed-route service, then it must be equipped with a public address system. (§ 38.35(a))   |                         |
|                        | Where passengers may choose to board or alight at multiple stops, vehicles more than 22 feet in length must provide controls adjacent to the securement location for requesting stops and alerting the driver that a mobility-aid user wishes to disembark (i.e., stop-request controls). The controls must (1) be mounted no higher than 48 inches and no lower than 15 inches above the floor; (2) be operable with one hand; (3) not require tight grasping, pinching, or twisting of the wrist; and (4) not require more than 5 lbf (22.2N) of force to activate. This system must provide auditory and visual indications that a request has been made. (§ 38.37)    |                         |
|                        | If destination or route information is displayed on a vehicle's exterior, then the vehicle must have illuminated signs on its front and boarding side. Characters on these signs must have (1) a width-to-height ratio between 3:5 and 1:1; (2) a stroke width-to-height ratio between 1:5 and 1:10; (3) a minimum character height (using an uppercase "X") of 1 inch for signs on the boarding side; (4) a minimum character height of 2 inches for front "heads signs"; (5) "wide" spacing (generally, the space between letters must be 1/16 the height of uppercase letters); and (6) contrast with the background, either dark-on-light or light-on-dark. (§ 38.39) |                         |

# Chapter 5 – Equivalent Facilitation

## 5.1 Introduction

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This chapter discusses the U.S. Department of Transportation (DOT) Americans with Disabilities Act (ADA) regulations covering requests for equivalent facilitation for transportation vehicles and transportation facilities. Equivalent facilitation is the process for requesting permission from FTA to depart from the technical standards in the DOT ADA regulations and to use alternative designs or technologies that provide equal or greater accessibility. It does not represent a mechanism for obtaining a “waiver” from compliance.<sup>1</sup>

In addition to presenting the requirements for equivalent facilitation, this chapter discusses important considerations for transit agencies and manufacturers considering such requests and includes recommendations for what to do and what not to do based on FTA’s experience.

This Circular does not alter, amend, supersede, or otherwise affect the DOT ADA regulations themselves or replace the need for readers to reference the detailed information in the regulations. FTA recommendations and examples of optional practices are included throughout the Circular and do not represent requirements. FTA recognizes there are many different ways agencies can implement the regulatory requirements and ensure the delivery of compliant service. FTA encourages transit agencies to engage riders with disabilities when making decisions about local transit service.

## 5.2 Important Considerations

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Equivalent facilitation is the means by which the DOT ADA regulations accommodate innovation in accessible design. Such innovations must provide equal or greater accessibility in comparison to the specific technical and scoping requirements contained in the regulations ([49 CFR Part 38](#) for vehicles and the [ADA Standards for Transportation Facilities](#) (DOT Standards) for facilities). It is important to understand that no such departures from the regulations can be made without a formal determination of equivalent facilitation from the FTA Administrator.

The requirement for an affirmative determination of equivalent facilitation serves two purposes. First, it ensures that any departure from the required standards fulfills the same function to an equal or greater degree. Second, it ensures that the equivalent facilitation provision does not become a mechanism for amending the regulations outside of the Federal rulemaking process.

There are a number of important considerations to take into account when seeking a determination of equivalent facilitation:

- The DOT ADA regulations for equivalent facilitation apply only to (1) the acquisition of transportation vehicles and (2) the construction or alteration of transportation facilities.
- The DOT ADA regulations for equivalent facilitation differ from those of the Department of Justice (DOJ). Under the DOJ ADA regulations, there is no requirement for an affirmative determination of equivalent facilitation. However, such an entity would be responsible for

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<sup>1</sup> Effective June 20, 1996, DOT amended 49 CFR §§ 37.7(b) and 37.9(d) to remove “inability to comply” as a basis for seeking a determination of equivalent facilitation.

demonstrating equal or greater accessibility or usability in the event of litigation or a DOJ inquiry. (See Circular Section 5.4.2.)

Under the equivalent facilitation requirements discussed in Circular Sections 5.3 and 5.4 for vehicles and facilities, respectively:

- Only the Administrator of the concerned DOT operating administration, with concurrence from the Office of the Secretary of Transportation, can make a determination of equivalent facilitation.
- A determination of equivalent facilitation pertains only to the specific situation for which the determination is made.
- Since determinations are made on a case-by-case basis, FTA requires each entity to document and submit its own request. Previous determinations are not applicable to subsequent requests, even if the circumstances appear similar.
- The Administrator is permitted to make a determination of equivalent facilitation for a class of situations concerning facilities. Such determinations will explicitly state where this is the case.
- A determination of equivalent facilitation is not a waiver of a standard. Rather, it is a finding that accessibility or usability are provided to an equal or greater degree in comparison to the required standard.
- Because the regulations require a determination of equivalent facilitation in order to depart from the vehicle and facility requirements, FTA strongly cautions against making any decisions or commitments to a vehicle or facility design that departs from the required standards prior to a determination.
- A determination of equivalent facilitation is not an endorsement of any product or method by the Federal government and cannot be claimed as such, for example, by a vehicle manufacturer.
- Requests for equivalent facilitation must be developed through a public process, including notice and comment and a public hearing.

Equivalent facilitation must not be confused with the “equivalent service” requirements that apply to vehicle acquisition for demand responsive systems. (See Circular Section 7.4.)

## 5.3 Equivalent Facilitation for Transportation Vehicles

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### 5.3.1 Part 38 Vehicle Specifications

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Equivalent facilitation allows for departures from the vehicle specifications in [49 CFR Part 38](#) (Accessibility Specifications for Transportation Vehicles). Section 38.2 states, “Departures from particular technical and scoping requirements of [the Part 38] guidelines by use of other designs and technologies are permitted where the alternative designs and technologies used will provide substantially equivalent or greater access to and usability of the vehicle.”

The FTA Administrator makes a determination of equivalent facilitation for transportation vehicles on a case-by-case basis, with concurrence from the Office of the Secretary of Transportation. No departures from the required standards can be made without a determination of equivalent facilitation.

### 5.3.2 Parties Eligible to Submit Requests

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#### Requirement

“(1) For purposes of implementing the equivalent facilitation provision in § 38.2 of this subtitle, the following parties may submit to the Administrator of the applicable operating administration a request for a determination of equivalent facilitation:

- (i) A public or private entity that provides transportation services and is subject to the provisions of Subpart D or Subpart E this part; or
- (ii) The manufacturer of a vehicle or a vehicle component or subsystem to be used by such entity to comply with this part” ([§ 37.7\(b\)](#)).

#### Discussion

Section 37.7(b) permits transportation entities (public or private) or the manufacturer of a vehicle or vehicle component or subsystem to request a determination of equivalent facilitation from the FTA Administrator. FTA strongly advises against making any decision or commitment to acquire a vehicle or component that departs from the Part 38 standards without first obtaining a determination of equivalent facilitation.

### 5.3.3 Submission Materials

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#### Requirement

“(2) The requesting party shall provide the following information with its request:

- (i) Entity name, address, contact person and telephone;
- (ii) Specific provision of Part 38 of this title concerning which the entity is seeking a determination of equivalent facilitation;
- (iii) [Reserved]
- (iv) Alternative method of compliance, with demonstration of how the alternative meets or exceeds the level of accessibility or usability of the vehicle provided in Part 38 of this subtitle; and
- (v) Documentation of the public participation used in developing an alternative method of compliance” ([§ 37.7\(b\)](#)).

#### Discussion

In order to make a determination of equivalent facilitation, the FTA Administrator must be able to conclude that the alternative method of compliance meets or exceeds the level of accessibility or usability of the vehicle or vehicle component specified in Part 38. A complete and thorough submission will contain sufficient evidence to support the request with hard data demonstrating the effectiveness of the proposed solution in providing equal or greater accessibility or usability by individuals with disabilities. FTA expects the request to document the testing of potential problems or failure modes. For example, what are the consequences if an individual using a mobility device deviates from a direct path of travel down a ramp that lacks side barriers? Properly documented requests consider the full spectrum of operating conditions (e.g., the normal range of vehicle loading conditions) and weather when relevant.

FTA encourages entities to submit additional materials to facilitate review. This can include detailed information such as drawings, data, photographs, and videos. In prior reviews of requests for a

determination of equivalent facilitation, FTA has found the use of photographs and videos of the testing process to be particularly valuable forms of documentation.

FTA requires each entity to present data specific to its request for equivalent facilitation. Reliance on another transit agency's equivalent facilitation data is not acceptable, regardless of any apparent similarities.

FTA requires submissions to be addressed to the FTA Administrator and requests a copy to be sent to the FTA Office of Civil Rights.

### 5.3.4 Public Participation

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#### Requirement

“(3) In the case of a request by a public entity that provides transportation services subject to the provisions of Subpart D of this part, the required public participation shall include the following:

- (i) The entity shall contact individuals with disabilities and groups representing them in the community. Consultation with these individuals and groups shall take place at all stages of the development of the request for equivalent facilitation. All documents and other information concerning the request shall be available, upon request, to members of the public.
- (ii) The entity shall make its proposed request available for public comment before the request is made final or transmitted to DOT. In making the request available for public review, the entity shall ensure that it is available, upon request, in accessible formats.
- (iii) The entity shall sponsor at least one public hearing on the request and shall provide adequate notice of the hearing, including advertisement in appropriate media, such as newspapers of general and special interest circulation and radio announcements.

(4) In the case of a request by a private entity that provides transportation services subject to the provisions of Subpart E of this part or a manufacturer, the private entity or manufacturer shall consult, in person, in writing, or by other appropriate means, with representatives of national and local organizations representing people with those disabilities who would be affected by the request” ([§ 37.7\(b\)](#)).

#### Discussion

For transit agencies pursuing equivalent facilitation, outreach goes beyond simple notification; it is an ongoing activity that provides an opportunity for obtaining direct input from potential users. It is not sufficient to present a fully formed equivalent facilitation request at a public meeting. The documentation of public participation required under § 37.7(b)(2) must include the input received during the public participation process.

Transit agencies are likely familiar with the process of contacting and consulting with individuals with disabilities and groups representing them in the community because they have an existing customer base of riders with disabilities who can provide input. Most agencies also have committees with which they coordinate on disability issues. These committees are often the best place to begin the outreach process, supplemented by contacting any organizations that committee members represent.

The public outreach requirements for manufacturers are different. Because vehicles and components may be used by more than one transit agency, § 37.7(b)(4) requires manufacturers seeking a determination of equivalent facilitation to consult, in person, in writing, or by other appropriate means with representatives of national and local organizations representing individuals with disabilities who would be affected by the request. As with transit agencies, the manufacturer submitting the request must document the steps taken to incorporate the input of those consulted.

Consultation might differ for a manufacturer depending on local conditions. A component may perform differently in locations with snow and ice conditions, for example, and operating practices that affect usability might also vary from place to place. Accordingly, public consultation on such a component would need to involve people who experience this kind of weather and are familiar with local conditions.

### 5.3.5 FTA Determinations

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#### Requirement

“(5) A determination of compliance will be made by the Administrator of the concerned operating administration on a case-by-case basis, with the concurrence of the Assistant Secretary for Policy and International Affairs.

(6) Determinations of equivalent facilitation are made only with respect to vehicles or vehicle components used in the provision of transportation services covered by Subpart D or Subpart E of this part, and pertain only to the specific situation concerning which the determination is made. Entities shall not cite these determinations as indicating that a product or method constitute equivalent facilitations in situations other than those to which the determinations specifically pertain. Entities shall not claim that a determination of equivalent facilitation indicates approval or endorsement of any product or method by the Federal government, the Department of Transportation, or any of its operating administrations”

[\(§ 37.7\(b\)\)](#).

#### Discussion

The FTA Administrator will make determinations of equivalent facilitation on a case-by-case basis, with the concurrence of the Office of the Secretary of Transportation. Determinations of equivalent facilitation are made in writing under the signature of the Administrator and describe the basis upon which the determination is made. A determination of equivalent facilitation pertains only to the specific situation for which it is made; it is not applicable to other entities or in other situations.

## 5.4 Equivalent Facilitation for Transportation Facilities

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### 5.4.1 DOT Standards

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In 2006, DOT issued a [final rule](#) adopting the Access Board’s 2004 revisions and subsequent technical amendments to the ADA Accessibility Guidelines (ADAAG) into Part 37 as DOT’s enforceable standards. (See Circular Section 3.1.1.) [Section 103](#) of the ADA Standards for Transportation Facilities (DOT Standards) states that the standards do not prevent the use of “designs, products, or technologies as alternatives to those prescribed, provided they result in substantially equivalent or greater accessibility and usability.”

The DOT Standards apply to new (i.e., post-ADA enactment) transportation facilities and alterations to existing facilities.<sup>2</sup> In the context of this Circular, a transportation facility is one that serves “designated public transportation,” (i.e., service to the public by bus, rail, or other conveyance other than aircraft). It

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<sup>2</sup> New construction or alterations of buildings and facilities on which construction has begun, or all approvals for final design have been received, after November 29, 2006, are required to comply with the requirements set forth in Appendices B and D to 36 CFR Part 1191 and Appendix A to 49 CFR Part 37. Buildings and facilities that were altered between February 26, 1992 and November 29, 2006, and that have not been altered since, are compliant if they meet the ADA Accessibility Guidelines (ADAAG) issued on September 6, 1991. Facility alterations begun before February 26, 1992, and that have not been altered since are compliant if they meet Uniform Federal Accessibility Standards (UFAS) in effect at that time.

also applies to facilities for commuter rail service. However, the facility itself may be owned by public entities, private entities, or a combination of the two.

The FTA Administrator makes a determination of equivalent facilitation for transportation facilities on a case-by-case basis, and each determination pertains only to the situation for which it is made—with one exception. Under [§ 37.9\(d\)\(6\)](#), with respect to a product or accessibility feature that the Administrator determines can provide equivalent facilitation in a class of situations, the Administrator may make an equivalent facilitation determination that applies to that class of situations. (See Circular Section 5.4.6.) Where equivalent facilitation is issued for a class of situations, it will be clearly stated in the letter granting the determination.

## 5.4.2 Public and Private Entities that Provide Transportation Facilities

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Where a private entity is responsible for construction or alteration of a transportation facility—for example, where a private real estate developer is constructing a light rail station as part of a mixed-use development project—the DOT requirements for seeking equivalent facilitation apply to the transportation facility. While commercial facilities that are part of the same project would be subject to the DOJ requirements for equivalent facilitation, which do not require a formal approval process, any departures from the specific ADA design requirements for the station would require FTA approval in advance.

## 5.4.3 Parties Eligible to Submit Requests

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### Requirement

“(1) For purposes of implementing the equivalent facilitation provision in ADA Chapter 1, Section 103, of Appendix B to 36 CFR Part 1191, the following parties may submit to the Administrator of the applicable operating administration a request for a determination of equivalent facilitation:

- (i)(A) A public or private entity that provides transportation facilities subject to the provisions of Subpart C of [Part 37], or other appropriate party with the concurrence of the Administrator.
- (B) With respect to airport facilities, an entity that is an airport operator subject to the requirements of 49 CFR Part 27 or regulations implementing the Americans with Disabilities Act, an air carrier subject to the requirements of 14 CFR Part 382, or other appropriate party with the concurrence of the Administrator.
- (ii) The manufacturer of a product or accessibility feature to be used in a transportation facility or facilities” ([§ 37.9\(d\)](#)).

### Discussion

Section 37.9(d)(1) permits a public or private entity that provides transportation facilities subject to Part 37 Subpart C (Transportation Facilities) to make a request to the appropriate DOT operating administration for a determination of equivalent facilitation. For transit facilities, this is FTA, but a request involving an Amtrak-owned station would be submitted to the Federal Railroad Administration, and a request involving a pedestrian right-of-way such as an overpass would be submitted to the Federal Highway Administration. Recipients of FTA funding who are participating in projects involving Amtrak or public rights-of-way are expected to notify FTA and other appropriate DOT operating administrations of such requests.

## 5.4.4 Submission Materials

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### Requirement

“(2) The requesting party shall provide the following information with its request:

- (i) Entity name, address, contact person and telephone;
- (ii) Specific provision(s) of Appendices B and D to 36 CFR Part 1191 or Appendix A to [Part 37] concerning which the entity is seeking a determination of equivalent facilitation;
- (iii) [Reserved]
- (iv) Alternative method of compliance, with demonstration of how the alternative meets or exceeds the level of accessibility or usability provided in Appendices B and D to 36 CFR Part 1191 or Appendix A to [Part 37]; and
- (v) Documentation of the public participation used in developing an alternative method of compliance” ([§ 37.9\(d\)](#)).

### Discussion

In order to make a determination of equivalent facilitation, the FTA Administrator must be able to conclude that the alternative method of compliance meets or exceeds the level of accessibility or usability of the facility element specified in the DOT Standards. A complete and thorough submission will contain sufficient evidence to support the request with hard data demonstrating the effectiveness of the proposed solution in providing equal or greater accessibility or usability by individuals with disabilities. This generally involves testing and data collection using, for example, a full-size mockup of a facility element such as a platform edge detectable warning, with the participation of an appropriate cross-section of individuals with disabilities from the local community.

FTA encourages entities to submit additional materials to facilitate review. This can include detailed information such as drawings, data, photographs, and videos. FTA has found the use of photographs and videos of the testing process to be particularly valuable forms of documentation.

As explained below, § 37.9(d)(6) requires each agency to present data specific to its request for equivalent facilitation. Reliance on another transit agency’s equivalent facilitation data is not acceptable, no matter how similar it may seem.

FTA requires submissions to be addressed to the FTA Administrator and requests a copy to be sent to the FTA Office of Civil Rights.

## 5.4.5 Public Participation

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### Requirement

“(3) In the case of a request by a public entity that provides transportation facilities (including an airport operator), or a request by an air carrier with respect to airport facilities, the required public participation shall include the following:

- (i) The entity shall contact individuals with disabilities and groups representing them in the community. Consultation with these individuals and groups shall take place at all stages of the development of the request for equivalent facilitation. All documents and other information concerning the request shall be available, upon request, to Department of Transportation officials and members of the public.

(ii) The entity shall make its proposed request available for public comment before the request is made final or transmitted to DOT. In making the request available for public review, the entity shall ensure that it is available, upon request, in accessible formats.

(iii) The entity shall sponsor at least one public hearing on the request and shall provide adequate notice of the hearing, including advertisement in appropriate media, such as newspapers of general and special interest circulation and radio announcements.

(4) In the case of a request by a manufacturer or a private entity other than an air carrier, the manufacturer or private entity shall consult, in person, in writing, or by other appropriate means, with representatives of national and local organizations representing people with those disabilities who would be affected by the request” ([§ 37.9\(d\)](#)).

## Discussion

For transit agencies pursuing equivalent facilitation, outreach goes beyond simple notification. Section 37.9(b)(3) requires a public participation process to be used to develop the alternative means of compliance. This is an ongoing activity that provides an opportunity for obtaining direct input from potential users; it is not sufficient to present a fully formed equivalent facilitation request at a public meeting. The documentation of public participation required under § 37.9(d)(2) must include the input received during the public participation process.

Most transit agencies are familiar with the process of contacting and consulting with individuals with disabilities and groups representing them in the community because they have an existing customer base of riders with disabilities who can provide input. Most transportation providers also have committees with which they coordinate on disability issues. These committees are often the best place to begin the outreach process, supplemented by contacting any organizations that committee members represent.

The outreach requirements for manufacturers are different. Because a facility element (e.g., automated ticket vending machine) may be used in more than one transit system, § 37.9(d)(4) requires manufacturers seeking a determination of equivalent facilitation to consult, in person, in writing, or by other appropriate means with representatives of national and local organizations representing individuals with those disabilities who would be affected by the request. As with public entities, these regulations require the manufacturer submitting the request to document the steps taken to incorporate the views of those consulted.

Consultation might differ for a manufacturer depending on local conditions. Some components might perform differently according to local factors such as climate (e.g., snow and ice), and operating practices that affect usability also may vary from place to place. Accordingly, public consultation on the component would need to involve people who experience different weather conditions and are familiar with local conditions.

## 5.4.6 FTA Determinations

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### Requirement

“(5) A determination of compliance will be made by the Administrator of the concerned operating administration on a case-by-case basis, with the concurrence of the Assistant Secretary for Transportation Policy.

(6)(i) Determinations of equivalent facilitation are made only with respect to transportation facilities, and pertain only to the specific situation concerning which the determination is made. *Provided, however*, that with respect to a product or accessibility feature that the Administrator determines can provide an

equivalent facilitation in a class of situations, the Administrator may make an equivalent facilitation determination applying to that class of situations.

(ii) Entities shall not cite these determinations as indicating that a product or method constitutes equivalent facilitation in situations, or classes of situations, other than those to which the determinations specifically pertain.

(iii) Entities shall not claim that a determination of equivalent facilitation indicates approval or endorsement of any product or method by the Federal government, the Department of Transportation, or any of its operating administrations” ([§ 37.9\(d\)](#)).

## Discussion

The FTA Administrator will make determinations of equivalent facilitation on a case-by-case basis, with the concurrence of the Office of the Secretary of Transportation. Determinations of equivalent facilitation are made in writing under the signature of the Administration and describe the basis upon which the determination is made. A determination of equivalent facilitation pertains only to the specific situation for which it is made; it is not applicable to other entities or in other situations. However, where the Administrator determines that a product or accessibility feature can provide equivalent facilitation in a class of situations, § 37.9(d)(6) permits the Administrator to issue a determination of equivalent facilitation with respect to that class of situations. Where equivalent facilitation is issued for a class of situations, it will be clearly stated in the letter granting the determination.

## 5.5 Suggested Dos and Don'ts for Equivalent Facilitation Requests

Based on FTA's experience with past requests for determinations of equivalent facilitation, FTA offers the following suggestions to those considering submitting a request for equivalent facilitation:

- Don't rely on an explanation of why it is difficult to comply with the regulatory standards; inability to comply is not a basis for a determination of equivalent facilitation.<sup>3</sup>
- Don't present only evidence from another system or from your own system in the past.
- Do provide your actual test results to support the assertion of equal or greater accessibility or usability.
- Do perform the testing with a realistic mockup and with a cross-section of potential passengers with varying types of disabilities and mobility aids.
- Do perform statistical analysis on a large enough sample of tests to demonstrate the reliability of the proposed solution.
- Do consider all potential failure points and use testing of a realistic mockup to demonstrate why these are not potential problems with the proposed solution.
- Do provide complete documentation of the public participation process used to develop the proposed solution, beginning early in the development of proposed alternatives, and include all input received.
- Don't combine requests for determination of equivalent facilitation for separate issues (e.g., vehicle ramp design and platform design); do submit separate requests for these determinations, with cross-references in each submission to present the overall situation clearly.

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<sup>3</sup> Effective June 20, 1996, DOT amended 49 CFR §§ 37.7(b) and 37.9(d) to remove “inability to comply” as a basis for seeking a determination of equivalent facilitation.

- Don't forget to include all information needed to make the request complete; do follow the requirements of the regulations and include:
  - a. The transportation entity name, address, and contact person
  - b. The specific provision of the standard for which you are proposing equivalent facilitation
  - c. A complete and detailed description of the alternative method of compliance, other alternatives considered, and technical analysis to support a determination of equal or greater accessibility or usability
  - d. A complete description of the public participation process, addressing all points listed in the regulation

## Chapter 6 – Fixed Route Service

### 6.1 Introduction

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This chapter explains the U.S. Department of Transportation (DOT) Americans with Disabilities Act (ADA) regulations in 49 CFR Part 37 specific to fixed route service. Fixed route service encompasses a variety of transit services and modes, including bus (local, express, commuter, and bus rapid transit (BRT)) and rail (light, rapid, and commuter rail).<sup>1</sup> These services are distinct from demand responsive services because they operate on prescribed routes according to a fixed schedule. Individuals wishing to ride a fixed route service board at a stop or station and then disembark at another stop or station along the route.

This chapter highlights the few regulatory service provisions that are specific and unique to fixed route services, including alternative transportation when bus lifts are inoperable, service to designated bus stops, priority seating, and stop announcements and route identification.

With this chapter, it is particularly important for the reader to reference Chapter 2 for the crosscutting service requirements that apply to all modes, including fixed route. Chapter 2 contains, for example, information on the following important provisions:

- Maintaining accessible features, such as elevators
- Keeping vehicle lifts/ramps in operative condition
- Using lifts and securement systems

This Circular does not alter, amend, supersede, or otherwise affect the DOT ADA regulations themselves or replace the need for readers to reference the detailed information in the regulations. FTA recommendations and examples of optional practices are included throughout the Circular and do not represent requirements. FTA recognizes there are many different ways agencies can implement the regulatory requirements and ensure the delivery of compliant service. FTA encourages transit agencies to engage riders with disabilities when making decisions about local transit service.

### 6.2 Lift/Ramp Issues Specific to Fixed Route

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#### 6.2.1 Providing Alternative Transportation When Bus Lifts Are Inoperable

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##### Requirement

“In any case in which a vehicle is operating on a fixed route with an inoperative lift, and the headway to the next accessible vehicle on the route exceeds 30 minutes, the entity shall promptly provide alternative transportation to individuals with disabilities who are unable to use the vehicle because its lift does not work” ([§ 37.163\(f\)](#)).

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<sup>1</sup> This Circular does not cover intercity rail (i.e., Amtrak), which is also a fixed route service. The Federal Railroad Administration and the Department of Justice oversees Amtrak.

## Discussion

This requirement obligates transit agencies that operate a bus without a working lift to promptly provide alternative transportation when the headway to the next accessible bus is more than 30 minutes.<sup>2</sup> As [Appendix D](#) to § 37.163 states,

This could be done, for example, by having a “shadow” accessible service available along the route or having the bus driver call in the minute he saw an accessible passenger he could not pick up (including the original passenger stranded by an in-service lift failure), with a short (i.e., less than 30-minute) response from an accessible vehicle dispatched to pick up the stranded passenger.

As Appendix D highlights, transit agencies can use a variety of means to meet the alternative transportation requirement, including dispatching a similar accessible vehicle with a working lift or ramp or dispatching a different accessible vehicle (e.g., a paratransit van). Some agencies have other accessible vehicles in their fleets such as ramp-equipped vans (often supervisor vehicles) that they dispatch to provide accessible trips. FTA encourages agencies to adopt policies requiring bus drivers to immediately call into dispatch upon encountering a rider he or she cannot pick up due to an inoperable lift and for the agency to be prepared to dispatch alternative accessible transportation as soon as a driver reports the need.

When a lift cannot be deployed to a waiting rider, drivers typically are instructed to contact dispatch to determine whether an accessible bus is scheduled to arrive within 30 minutes and, if not, what alternative transportation solution is planned. An optional good practice is for an agency to adopt a policy that instructs a driver in this situation to (1) inform the rider that he or she is contacting dispatch to obtain further information and then (2) inform the rider when another bus is scheduled to arrive (i.e., within 30 minutes) or communicate the alternative transportation plan.

Another optional good practice is for an agency to have procedures in place to record these occurrences, the communication protocol followed, and the resolution (i.e., what time the next vehicle picked up the rider).

Instructing riders to wait for a vehicle scheduled to arrive more than 30 minutes later without arranging for alternative transportation is prohibited. Similarly, it is not appropriate for drivers to tell waiting riders that they do not know when the next bus might arrive.

## Buses at Capacity

The requirement to provide alternative transportation does not apply if the only reason a bus cannot accommodate a rider who needs to use the lift is because the particular bus is full. “Full” can mean:

- The waiting rider needs to use a securement location, but all securement areas are already occupied by riders who use wheelchairs.
- The waiting rider needs to use a securement location, but securement areas are already occupied by riders whom the driver has asked to move but are unwilling to do so (absent a local mandatory-move policy discussed below).
- The bus is at capacity, with no space to accommodate any additional riders.

When there is no space on the bus, FTA encourages agencies to instruct drivers to explain the situation to waiting riders, so they are not left with the misperception they are simply being passed by. Agencies may, of course, adopt a local policy of dispatching alternative transportation in these situations.

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<sup>2</sup> A bus with an inoperable lift might be in operation as a result of an in-service failure or due to the no-spare exception in [§ 37.163\(e\)](#) discussed in Circular Section 2.3.3.

## Ramp-Equipped Buses

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As mentioned in Circular Chapter 2, while § 37.163 references “lifts,” FTA applies the same requirements to ramps and generally treats them interchangeably. For alternative transportation, however, there is an important difference. One advantage to ramp-equipped buses is that the ramps are typically easy to deploy manually if the automatic mechanism is out of order. Many transit agencies have policies directing drivers to manually deploy the ramp for the waiting rider instead of calling for alternative transportation. This solution is typically more efficient and expedient for both the agency and the rider. Moreover, the [Part 38](#) vehicle specifications do not require ramps to have a mechanical deployment feature; manual deployment is allowable. For these reasons, FTA considers local policies that direct drivers to manually deploy ramps in lieu of arranging for alternative transportation acceptable.

### 6.2.2 Deployment of Lifts/Ramps

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#### Requirement

“The entity shall not refuse to permit a passenger who uses a lift to disembark from a vehicle at any designated stop, unless the lift cannot be deployed, the lift will be damaged if it is deployed, or temporary conditions at the stop, not under the control of the entity, preclude the safe use of the stop by all passengers” ([§ 37.167\(g\)](#)).

#### Discussion

A transit agency cannot declare a stop “off limits” to individuals with disabilities unless one of the three conditions above is present. Under normal operating conditions, drivers must position vehicles in order to allow riders to use lifts or ramps. This means ensuring that deployment of the lift or ramp is not obstructed by signposts, street furniture, security bollards, or parked vehicles. In addition, sufficient clearance must be available to enable riders to use the lift or ramp and to ensure that riders are able to reach the lift or ramp without stepping off a curb.

Both lifts and ramps need a relatively level area to deploy, whether the rider is boarding or alighting. Lifts are more sensitive to the cross slope of the surface where they are being deployed. If the cross slope is too steep, a lift’s sensors may not detect that it has reached the ground and possibly may not release the front safety flap that prevents a wheelchair from rolling on or off the lift. It is preferable to deploy a ramp onto a sidewalk, as this creates a less steep slope for riders to navigate—whether using a wheelchair, another mobility device, or traveling without a mobility device.

The following example from [Appendix E](#) to Part 37 (Reasonable Modification Requests) (see Circular Section 2.10), covers moving a vehicle in order to avoid obstructions:

*Obstructions.* For fixed route services, a passenger’s request for a driver to position the vehicle to avoid obstructions to the passenger’s ability to enter or leave the vehicle at a designated stop location, such as parked cars, snow banks, and construction, should be granted so long as positioning the vehicle to avoid the obstruction does not pose a direct threat. To be granted, such a request should result in the vehicle stopping in reasonably close proximity to the designated stop location. Transportation entities are not required to pick up passengers with disabilities at non-designated locations. Fixed route operators would not have to establish flag stop or route-deviation policies, as these would be fundamental alterations to a fixed route system rather than reasonable modifications of a system.

As the [preamble](#) to DOT’s 2015 final rule on Reasonable Modification of Policies and Practices explained, when a bus stop is obstructed under this scenario “the operator of the bus will need to slightly

adjust the boarding location so that the individual using a wheelchair may board from an accessible location.”<sup>3</sup>

The phrase “reasonably close proximity” in the example implies moving the bus a small distance away from the designated stop location. This does not mean stopping at non-designated locations (e.g., establishing flag stops). As FTA has explained in webinars, “slightly adjust” means feet, not blocks—just enough to avoid whatever is blocking the bus stop boarding/alighting area. Where possible, FTA encourages transit agencies to work to relocate bus stops that present such deployment challenges (by coordinating with land owners as needed), particularly at locations that present safety issues for all riders.

## 6.3 Priority Seating and the Securement Area

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### Requirement

“(1) When an individual with a disability enters a vehicle, and because of a disability, the individual needs to sit in a seat or occupy a wheelchair securement location, the entity shall ask the following persons to move in order to allow the individual with a disability to occupy the seat or securement location:

- (i) Individuals, except other individuals with a disability or elderly persons, sitting in a location designated as priority seating for elderly and handicapped persons (or other seat as necessary);
- (ii) Individuals sitting in . . . a fold-down or other movable seat in a wheelchair securement location.

(2) This requirement applies to light rail, rapid rail, and commuter rail systems only to the extent practicable.

(3) The entity is not required to enforce the request that other passengers move from priority seating areas or wheelchair securement locations.

(4) In all signage designating priority seating areas for elderly persons and persons with disabilities, or designating wheelchair securement areas, the entity shall include language informing persons sitting in these locations that they should comply with requests by transit provider personnel to vacate their seats to make room for an individual with a disability. This requirement applies to all fixed route vehicles when they are acquired by the entity or to new or replacement signage in the entity’s existing fixed route vehicles” ([§ 37.167\(j\)](#)).

### Discussion

Priority seating and the securement area are intended to accommodate riders with disabilities. The regulations distinguish between individuals sitting in priority seating and those occupying the fold-down seats over the securement area, in terms of which individuals a driver may need to ask to move. For the fold-down seats, § 37.167(j)(1)(ii) does not include an exception for “other individuals with a disability or elderly persons.” The regulations, therefore, obligate drivers in some cases to ask ambulatory individuals with disabilities and seniors to move from the securement area if a wheelchair user needs to use the space. (See FTA response to [Complaint 11-0076](#) for an example of how FTA addressed an ambulatory complainant’s objection to being asked to move from the securement area.)

There are certain bus designs in which the only priority seats are fold-down seats that also serve as the securement area. When buses have this seating configuration, FTA encourages agencies to develop their

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<sup>3</sup> DOT Final Rule, “Transportation for Individuals With Disabilities; Reasonable Modification of Policies and Practices”; *Federal Register*, vol. 80, no. 49 (Mar. 13, 2015).

own policies to guide drivers regarding whom they ask to move from these seats if an individual who uses a wheelchair boards.

The regulations do not require drivers to proactively assist or lead riders with disabilities to the priority seating area. FTA encourages agencies to develop their own policies for drivers regarding serving riders who may need assistance, including riders without apparent disabilities.

Note that § 37.167(j)(1) requires a driver (or other transit personnel) to ask an individual to move, but § 37.167(j)(3) does not require a transit agency to enforce that request. An agency may establish its own mandatory-move policy requiring riders to vacate priority seats and wheelchair securement locations upon request. FTA encourages agencies that establish such policies to inform all riders and post signs reflecting these policies adjacent to the priority seats and wheelchair securement areas.

### 6.3.1 Applicability to Rail

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On rail systems, because rail operators or other personnel are not always present to carry out requests for others to vacate priority-seating locations, the § 37.167(j)(3) requirement to ask passengers to move applies only to the extent practicable. This means that when transit agency personnel are present in rail cars (e.g., collecting fares, monitoring service, providing security, or for other reasons), they are to ask passengers occupying priority seats to make such seats available to individuals with disabilities, if needed and practicable.

### 6.3.2 Placement Policies for Strollers and Other Items

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Many transit agencies also develop policies regarding the placement of strollers, luggage, and other items on vehicles. Because parents and caretakers, for example, commonly place strollers adjacent to or within fold-up seat/bench locations, an optional good practice is to develop a local policy regarding who has priority for the securement space. For example, a sample policy would state, “the placement of large items such as strollers is permitted in fold-up seat locations only if riders who use wheelchairs or other mobility devices do not need to use those areas.”<sup>4</sup>

## 6.4 Adequate Vehicle Boarding and Disembarking Time

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### Requirement

“The entity shall ensure that adequate time is provided to allow individuals with disabilities to complete boarding or disembarking from the vehicle” ([§ 37.167\(i\)](#)).

### Discussion

Ensuring riders with disabilities have adequate time to board and alight vehicles is more of a challenge on fixed route than demand responsive service, and more difficult on rail than bus. In order to ensure that adequate boarding and alighting time is provided, FTA encourages transit agencies to instruct personnel to pay attention to riders who need extra time. This applies to riders who use wheelchairs as well as others with ambulatory or sensory disabilities who may need extra time to board or disembark.

On rail vehicles, in situations when train personnel do not have visual contact with riders inside cars, FTA encourages transit agencies to establish wait-time standards or other procedures for personnel to follow that will give riders sufficient time to get to a seat or to situate their mobility device before proceeding.

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<sup>4</sup> For a detailed example of a local policy, see the District Department of Transportation’s [“Strollers on Circulator”](#) policy governing use of the securement space on its DC Circulator fixed route buses.

FTA also encourages agencies to train employees to provide sufficient time at station stops to permit riders with disabilities to leave a seat or securement area and completely clear vehicle doorways.

For rail operators using bridge plates, ramps, or other appropriate devices, personnel must be available (and trained to proficiency) to deploy these devices for passengers who require them. This also means aligning such devices with car doors to allow riders using mobility aids to enter and exit, and aligning bridge plates to minimize slopes in both the direction of travel and the cross slope.

In older trains, not all cars may be accessible. An optional good practice is for agencies to standardize the location of the accessible car(s) on all trains, and direct riders who need to board an accessible car to the appropriate location on the platform to wait (with signage and audio announcements). Absent such practices riders may decide to wait in a distant location and not have sufficient time to move down the platform to board an accessible car once the train arrives.

## 6.5 Other Boarding Considerations

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### 6.5.1 Boarding Assistance for Ambulatory Riders

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While some riders may not require lifts or ramps to board or alight buses, they may still have difficulty in stepping onto or off buses due to a disability. In these situations, FTA recommends that transit agencies adopt policies requiring drivers to use the kneeling feature available on most buses and pull close to the curb. Use of kneelers, combined with pulling as close to the curb as possible (when there is a sidewalk), allows certain riders greater ability to use fixed route buses consistent with the nondiscrimination requirements in [§ 37.5\(a\)–\(b\)](#). Some agencies have policies that require drivers to deploy the kneeler at any stop where the boarding or alighting is at street level.

### 6.5.2 Boarding Order of Riders

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Adopting a policy that covers the order in which individuals using wheelchairs are boarded along with other passengers waiting at a stop or station is permissible. If capacity is available for riders who need securement areas, however, vehicle operators must keep securement areas open for their use, regardless of whether riders who need securement areas board first or last, consistent with the nondiscrimination requirements in [§ 37.5\(a\)–\(b\)](#).

Establishing a policy that allows individuals who use wheelchairs or other mobility aids to board first at a given stop or station is also permissible. Such a policy may make it easier for riders who use wheelchairs to maneuver to securement areas. This does not mean giving boarding priority to riders with disabilities above other riders. For example, if riders with disabilities are waiting at a bus stop and a bus at full capacity arrives at the stop, drivers do not need to (and are advised not to) compel other riders to get off the bus in order to accommodate waiting riders. Conversely, policies that give lower boarding priority to riders who use mobility aids because they would occupy more space on the vehicle, or for any other reason, would also be discriminatory under [§ 37.5\(a\)–\(b\)](#). (See Circular Section 2.2.)

## 6.6 Stop Announcements

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### Requirement

“On fixed route systems, the entity shall announce stops as follows:

- (1) The entity shall announce at least at transfer points with other fixed routes, other major intersections and destination points, and intervals along a route sufficient to permit individuals with visual impairments or other disabilities to be oriented to their location.
- (2) The entity shall announce any stop on request of an individual with a disability” ([§ 37.167\(b\)](#)).

### Discussion

Section 37.167(b) requires a transit agency to make on-board stop announcements on fixed route bus and rail (including commuter service) in a way that allows people with visual impairments and other disabilities to be oriented to their location. Stop announcements benefit all riders, but failing to announce stops can present significant challenges to some riders in knowing when to get off the vehicle. The regulations specify the general locations where stops must be announced. [Appendix D](#) to § 37.167 explains:

On fixed route systems, the entity must announce stops. These stops include transfer points with other fixed routes. This means that any time a vehicle is to stop where a passenger can get off and transfer to another bus or rail line (or to another form of transportation, such as commuter rail or ferry), the stop would be announced. The announcement can be made personally by the vehicle operator or can be made by a recording system. If the vehicle is small enough so that the operator can make himself or herself heard without a P.A. system, it is not necessary to use the system.

Announcements also must be made at major intersections or destination points. The rule does not define what major intersections or destination points are. This is a judgmental matter best left to the local planning process. In addition, the entity must make announcements at sufficient intervals along a route to orient a visually impaired passenger to his or her location. The other required announcements may serve this function in many instances, but if there is a long distance between other announcements, fill-in orientation announcements would be called for. The entity must announce any stop requested by a passenger with a disability, even if it does not meet any of the other criteria for announcement.

Most transit agencies operating commuter rail and rapid rail systems announce all station stops, usually over public address systems. Practices vary for light rail systems. Agencies that have automated announcement systems on their light rail vehicles usually announce all station stops.

There is no requirement to visually display stop information inside fixed route vehicles. [Section 810.6.3](#) of the DOT Standards, however, requires transit agencies to provide rail station name signs that are clearly visible and within the sight lines of riders standing and sitting in the vehicle on both sides when not obstructed by another vehicle. (See Circular Section 3.2.5.) For buses, sighted individuals can orient themselves by looking out the window.

### 6.6.1 Transfer Points

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Section 37.167(b)(1) requires a transit agency to announce transfer points with other fixed routes (same or other mode). This does not mean an agency must announce the other routes, lines, or transportation services that its stop shares—only that it announce the stop itself (e.g., “State Street” or “Union Station”). If two bus routes or rail lines overlap and share a set of common stops or stations, applying the requirement to announce stops “at least at transfer points” also does not mean announcing all stops along

the intersecting route or line where transfers are possible. FTA recommends announcing the stops or stations where the routes or lines merge or diverge. In the example illustrated in Figure 6-1, when two bus routes (#11 and #22) both travel along the same road segment for 1 mile before the two routes diverge, this means at a minimum announcing (on both routes) the first stop that routes #11 and #22 share and the final stop that both routes share.

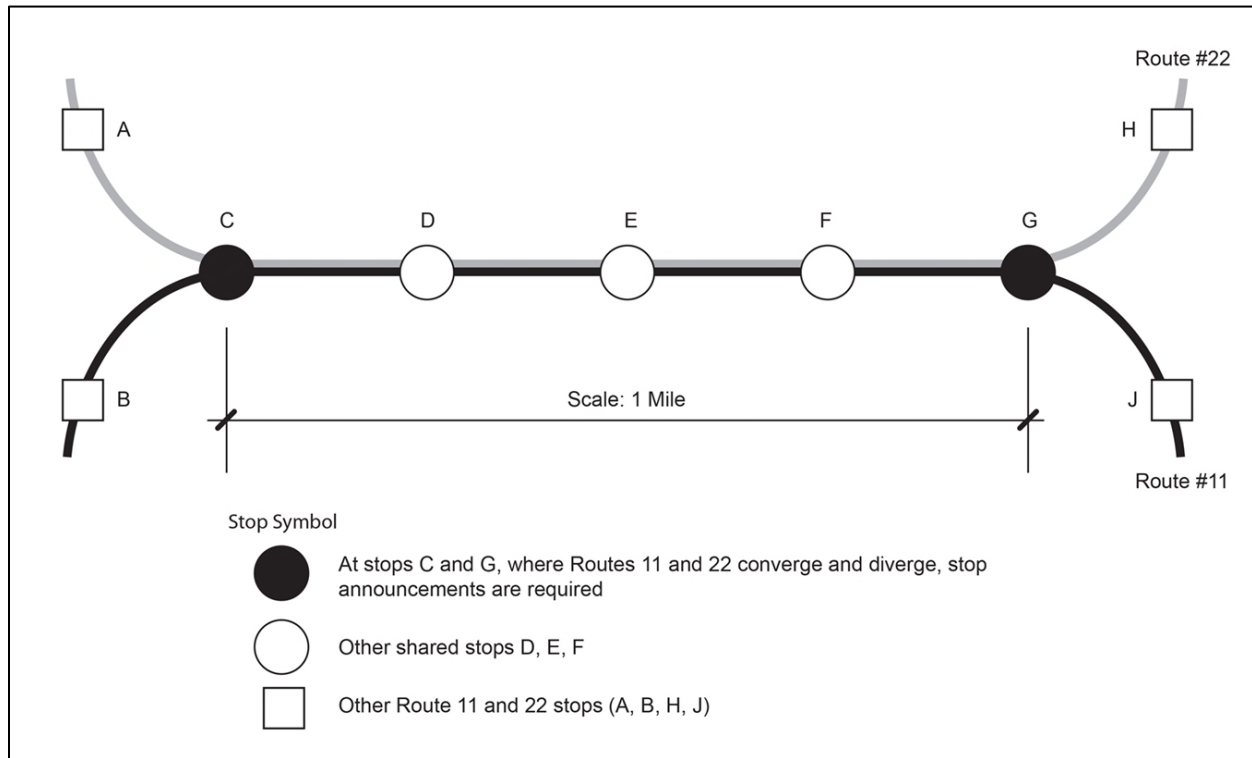


Figure 6-1 – Stop Announcements for Combined Bus Routes

## 6.6.2 Major Intersections and Major Destination Points

Section 37.167(b)(1) requires a transit agency to also announce stops at major intersections or destination points with appropriate orienting information (e.g., the destination name and the intersection location). As discussed in [Appendix D](#) to § 37.167, the selection of major intersections or destinations is deliberately left to the local planning process.

Many transit systems include the following types of locations for stop announcements, as applicable:

- Time points and cross streets published in schedules and on route maps
- Public facilities such as government offices, libraries, and schools
- Medical facilities
- Stores and shopping malls
- Cultural and entertainment venues
- Other popular destinations

## 6.6.3 Sufficient Intervals

In order to orient a visually impaired rider to his or her location, § 37.167(b) requires a transit agency to make announcements at sufficient intervals along the route. The regulations do not define the intervals, and agencies may tailor intervals to local conditions using metrics such as distance (e.g., at least every

half mile) or time (e.g., at least every 90 seconds). Regardless of the method chosen, FTA suggests agencies consider the implications for riders who miss their intended stop and would have to backtrack because the stop announcement did not take place at sufficient intervals.

#### 6.6.4 Stops Requested by Riders

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Section 37.167(b)(2) requires a transit agency to announce any stop or station that a rider with a disability requests. For agencies using automated stop announcement systems (described below), the requirement obligates bus drivers and rail operators to verbally announce a stop or station that is not on the technology's programmed list of announcements if the location is requested by a rider with a disability.

To ensure that rail operators announce a specific station, an optional good practice is to encourage riders to approach an agency employee (e.g., operator on light rail, operator on rapid rail, or conductor on commuter rail), when possible, and request the station announcement when the riders are boarding the vehicle. Alternatively, rail operators may announce all stations.

#### 6.6.5 Stop Announcement Considerations

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The following discussion of stop announcements covers optional good practices and considerations for ensuring compliance with the requirements. This includes developing stop lists, announcing all stops (particularly for rail stations), the use of public address systems, and the use of automated stop announcement systems.

Transit agencies must ensure stop announcements are clear, audible, and timely in order for them to be effective:

- Clear announcements enable riders unfamiliar with the route and neighborhood to understand the name of the stop.
- Audible announcements enable riders to hear the announcement from any location within the bus or train.
- Timely announcements provide riders with sufficient time to press the stop request device to enable drivers to stop at a desired location.

FTA also recommends that agencies ensure announcements are made consistently and worded in way familiar to riders:

- Consistently worded announcements are structured the same way for all stops; for stops served by multiple routes, vehicles on all routes announce the stop consistently. An optional good practice is to adopt the convention of only announcing cross streets. For example, if traveling on Broadway and intersecting with Market Street, announce, "Market Street." If turning onto Market Street from Broadway, the convention might be to announce, "Market Street at Broadway."
- Use of familiar names (e.g., "Target") to announce stops at major destinations rather than general but less familiar names (e.g., "Smith Street Mall") is helpful. FTA also encourages transit agencies to announce the intersecting street (consistent with the adopted style) along with the name of the destination for major destination stops also at intersections.

#### Developing and Maintaining Stop Lists

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Many transit agencies develop their own lists of stops to announce, called stop lists. FTA recommends considering the following optional good practices for developing and maintaining stop lists:

- Consult with groups that represent or work with individuals with visual and cognitive disabilities when developing the lists.
- Keep stop lists current for each route by incorporating any changes as soon as possible (e.g., new routing, added or removed stops, and temporary construction-related closures).

- As stop lists are updated, provide the lists to operators for the routes they serve (in both directions of travel) and ensure the lists readily available on their vehicles.

### Announcing All Stops

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As noted above, transit agencies operating rapid rail and commuter services typically announce all station stops for these services. Some agencies that operate light rail service also announce all station stops. Similarly, some agencies also announce all stops for fixed route bus service, but usually only agencies using automated systems do so. This practice eliminates the need to determine what is a “major intersection” or “major destination” or to judge sufficient “intervals along a route.” If an agency adopts this practice, riders might become accustomed to hearing an announcement for each stop and would similarly expect bus drivers to announce all stops whenever the automated system is not working. While limiting the announcements to only the stops that meet the criteria set forth in § 37.167(b) would be compliant, such practices might confuse some riders who are listening for the announcement of each stop.

### Using Public Address Systems

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The [Part 38](#) vehicle specifications require that all accessible rail vehicles (e.g., light rail, rapid rail, and commuter rail) and buses more than 22 feet in length have a public address system for amplifying announcements (See §§ 38.35, 38.61, 38.87, and 38.103, respectively). When needed for riders to be able to hear announcements, transit agencies must ensure their personnel use the public address system when making announcements. [Section 37.167\(e\)](#) requires personnel to use accessibility-related equipment. If the public address system, or automated announcement system is inoperable, fulfilling the stop announcement requirements means drivers or rail personnel must verbally announce stops.

### Automated Stop Announcement Systems

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As noted above, many transit agencies are now using automated systems to announce stops. Automated systems use global positioning systems and offer several benefits:

- When correctly programmed, automated systems provide clear and timely announcements.
- Automated systems can store announcement lists in each vehicle for all routes (and route variations).

As with any technology, an automated stop announcement system may occasionally not function or not be programmed correctly. Any of the following may lead to poor performance that could result in individuals with visual impairments or other disabilities not being oriented to their location:

- The stop list is out of date.
- The positioning signal is blocked, omitting geographic information.
- The positioning technology does not properly account for the direction or speed of the vehicle, leading to stop announcements that are too early or too late.
- The positioning technology uses incorrect coordinates to identify bus stop locations.

As discussed above, whenever the automated stop announcement system is not functioning properly, fulfilling the stop announcement requirements means drivers or rail personnel must verbally announce stops.

### 6.6.6 Monitoring Stop Announcements for Compliance

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To ensure compliance with the § 37.167(b) stop announcement requirements, transit agencies must sufficiently monitor their operators’ performance and the effectiveness of the announcement equipment. To perform such activities, agencies typically employ the following people to conduct field observations:

- Road supervisors or managers

- Agency employees commuting by fixed route
- Volunteer riders who record and submit their riding experiences (“secret” or “ghost” riders)
- Contracted secret riders

When road supervisors or managers perform in-service observations, they will be more effective if they are inconspicuous by not wearing uniforms or other identifying items. For transit agencies with multiple garages, an optional good practice is to assign road supervisors to observe employees from other garages or to “borrow” monitors from other agencies. For example, in Washington and Wisconsin, state transit associations have arranged to have supervisors from other member agencies act as secret riders.

### Stop Announcement Data Collection

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Attachment 6-1 presents an optional sample data collection form for recording stop announcement performance on bus service (which could be tailored easily to rail). Regardless of the specific data collection form used, FTA recommends obtaining the following key information for each observation:

- Date
- Route number and direction
- Vehicle number
- Time and stop when boarding the bus
- Time and stop when alighting the bus

The sample data collection form may include a list of all required stop announcement locations. To facilitate data collection, an optional good practice is to print the stop names on data forms. For each announcement, key data for observers to record include:

- Whether the announcement was made
- How the announcement was made (by the driver or by the automated system)
- Whether the announcement was audible
- Whether the announcements were timely (i.e., early enough for riders to press a stop request indicator button)

FTA recommends observers also note other relevant issues, including:

- Whether the driver used the public address system to announce stops
- Whether the driver (or automated system) announced stops not on the stop list
- Whether a rider asked the driver to announce a particular stop, and if the driver announced that stop properly
- Whether there are certain locations or stops for which announcements might be required by § 37.167(b) but are not being announced. Such announcements can include places along long intervals without any announcements, as well as route segments with several turns.

If observers sit in the middle or toward the rear of the vehicle, they will be able to confirm that announcements are audible from these locations.

For any given set of observations, observers do not need to ride the full route when part of a larger set of observations; 10–20 minutes on a vehicle observing a single driver is usually sufficient.

## 6.7 Route Identification

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### Requirement

“Where vehicles or other conveyances for more than one route serve the same stop, the entity shall provide a means by which an individual with a visual impairment or other disability can identify the proper vehicle to enter or be identified to the vehicle operator as a person seeking a ride on a particular route” ([§ 37.167\(c\)](#)).

### Discussion

Since DOT first issued the ADA regulations in 1991, the techniques commonly used to achieve route identification have changed. [Appendix D](#) to § 37.167 identifies techniques such as colored mitts or numbered cards that waiting riders would use to inform drivers which route they desired to use. Today, most buses and many rail cars are equipped with external speakers for announcing route information. At bus or rail stations, many transit agencies use the station’s public address system to identify arriving vehicles. Transit agencies using public address systems may also choose to make such announcements verbally or through automated systems.

Note that this requirement obligates transit agencies to identify routes only at stops or stations served by more than one route or line. This requirement also applies to rail stations that serve trains of the same route but that travel in opposite directions. Announcements are not required for a single line stop or station, but many transit agencies—particularly those that have automated announcement systems—identify the routes at all stations or stops, eliminating the need to determine which stops require route identification.

### 6.7.1 Methods of Announcing Routes

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Depending on available technology, the following are four ways in which transit agencies typically make the required route identification announcements:

- Bus drivers or rail vehicle personnel verbally announce the route by opening the door and speaking to waiting riders at the stop or station
- Bus drivers or rail vehicle personnel verbally announce the route by using external public address systems if vehicles are so equipped<sup>5</sup>
- Transit agencies equip their bus and rail vehicles with and use automated route identification systems
- Transit agencies announce the route from boarding areas rather than from arriving vehicles using automated systems or verbally (using public address systems or not)

To meet the requirement for route identification, FTA encourages transit agencies to ensure operators are instructed to announce routes even if waiting riders do not readily appear to have a visual impairment (e.g., someone not using a cane or without a service animal), as not all disabilities are apparent. FTA also encourages agencies to adopt policies requiring that operators always stop at bus stops with waiting passengers and not only when an individual at the stop waves or otherwise signals the operator to stop. Absent such a practice, individuals unable to see and signal the operator to pull over would be denied service. At busy transit hubs serving multiple bus routes, FTA similarly recommends that agencies adopt

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<sup>5</sup> While Part 38 Subpart B (Buses, Vans and Systems) does not require external speakers on buses, many transit agencies have acquired buses equipped with external speakers. Rapid rail cars serving more than one line must have external public address systems except where station announcement systems provide information on arriving trains. (See [§ 38.61\(a\)\(1\)–\(2\)](#).)

policies requiring operators always to pull up to their designated route stop and perform the route identification, even if it means waiting for a bus in front to depart the stop.

When practical, FTA encourages transit agencies using vehicles with external speakers to test speaker volume and fidelity in settings where announcements typically take place (e.g., transfer centers, commercial districts, and residential areas). Calibrating external speakers to field conditions helps to ensure that riders will be able to clearly hear announcements. Another option is to try to simulate the settings to determine whether riders will be able to hear announcements.

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### Automated Route Identification Systems

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Automated systems for route identification are typically paired with automated stop announcement systems. When correctly programmed, these systems provide clear, consistent, and timely announcements. Such systems can be programmed for use on multiple routes and route variations.

As with any technology, automated announcement systems may fail or be improperly programmed either through the software or by personnel entering the incorrect information. Fulfilling the route identification requirements in such instances means drivers or rail personnel must verbally announce and identify routes.

FTA encourages transit agencies to include a test of the announcement system during the operators' pre-trip inspections. If the announcement system or the external public address system is not working properly and cannot be repaired before pullout, the operator of that vehicle would then be required to announce routes unaided by a public address system.

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### Announcements at Stations and Platforms

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As noted above, external speakers are not required on rail cars where station announcement systems provide information on arriving trains. If a transit agency chooses to make route identification announcements that originate from a facility rather than from a vehicle, it is important that riders can hear these announcements at all stops and platforms, as well as from any waiting areas.

In addition, it should be noted that under [Section 810.7](#) of the DOT Standards, where public address systems convey audible information to the public, the same or equivalent information must be provided in a visual format. Often this is accomplished by signs on the station platforms indicating which track is for trains heading “uptown” and which is for “downtown,” for example, and by signs on the trains indicating whether it is a “red line” train or a “green line” train.

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## 6.7.2 Monitoring Route Identification for Compliance

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To ensure compliance with the route identification requirements, transit agencies must sufficiently monitor their operators' performance and the effectiveness of the announcement equipment. To perform such activities, agencies typically employ the following people to conduct field observations:

- Road supervisors or managers
- Agency employees commuting by fixed route
- Volunteer riders who record and submit their riding experiences (“secret” or “ghost” riders)
- Contracted secret riders

Road supervisors or managers who perform in-service observations will be more effective if they are inconspicuous by not wearing uniforms or other identifying items. Transit agencies with multiple garages often assign road supervisors to observe employees from other garages or from other agencies.

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## Route Identification Data Collection

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Attachment 6-2 presents a sample data collection form for recording route identification performance. For efficient data collection, observers may stand at stops or stations served by multiple routes or lines, such as major transfer centers or downtown locations. As each bus or train arrives, regardless of the specific data collection form used, FTA recommends obtaining the following key information for each observation:

- Vehicle number
- Route number or line name
- Time of arrival
- Whether an announcement of the route or line took place
- Whether the driver, another transit employee, or an automated system made the announcement
- Information included in the announcement

The number of routes and lines that serve each stop or station observation site and the operating schedule will determine how much data each observer can record.

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## 6.8 Commuter Bus, University Transportation, and Supplemental Services

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Fixed route is typically thought of in terms of non-commuter city bus service or rail service. The following discussion provides guidance on three other types of services that are also considered fixed route (including whether complementary paratransit is required for each) – commuter bus, university transportation, and supplemental service for other transportation modes.

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### 6.8.1 Commuter Bus Service

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Commuter bus is a common form of fixed route service but has a specific definition in the regulations, as follows:

*“Commuter bus service means fixed route bus service, characterized by service predominantly in one direction during peak periods, limited stops, use of multi-ride tickets, and routes of extended length, usually between the central business district and outlying suburbs. Commuter bus service may also include other service, characterized by a limited route structure, limited stops, and a coordinated relationship to another mode of transportation.”* (See [§ 37.3](#).)

As highlighted in Circular Section 8.2, the definition is important because under [§ 37.121\(c\)](#), commuter bus services are not subject to the requirement to provide complementary paratransit service. A bus route may have characteristics of commuter and non-commuter service. For example, if a bus route makes stops in a suburban service area and provides local service (i.e., local trips within the suburban service area), then the regulations require that local-service portion of the bus route to have complementary paratransit service. However, if this route proceeds on a highway with no intervening stop until arriving in a downtown where most riders alight, then a transit agency would not have to provide complementary paratransit service between the suburban service area and downtown.

A case-by-case assessment by the transit agency is needed to determine whether a specific bus route meets the definition of commuter bus service. During a complaint investigation or other oversight activity, FTA may require an agency to substantiate how a particular service meets the definition of

commuter bus. (See FTA response to [Complaint 14-0067](#) for an example of an FTA analysis of whether a particular service met the definition.)

## 6.8.2 University Transportation Systems

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### Requirement

“Transportation services operated by private institutions of higher education are subject to the provisions of [Part 37] governing private entities not primarily engaged in the business of transporting people” ([§ 37.25\(a\)](#)).

“Transportation systems operated by public institutions of higher education are subject to the provisions of [Part 37] governing public entities. If a public institution of higher education operates a fixed route system, the requirements of [Part 37] governing commuter bus service apply to that system” ([§ 37.25\(b\)](#)).

### Discussion

In some cases, public universities receive FTA funding to operate fixed route service. While this Circular covers such grantee services, the requirements vary depending on the type of service provided, as follows:

- When the fixed route service provided serves only the university (i.e., students, faculty, and staff), the service is considered analogous to commuter bus service in accordance with § 37.25(b). As such, the nondiscrimination requirements apply as well as those for facilities, vehicle acquisition, and service provision for public entities operating fixed route service. Under § 37.121(c), commuter bus services are not subject to the requirement to provide complementary paratransit service.
- When the fixed route service operated by the public university also provides service to the broader community, it is not a “university transportation system” and therefore complementary paratransit requirements apply.

In some cases, transit agencies that receive FTA funding may also operate fixed routes that serve public or private universities. The requirements in such instances will vary depending on the type of service provided, as follows:

- A route does not become “university service” simply because it serves or passes through a university. Such routes are part of the transit agency’s regular fixed route service and are subject to the requirements for complementary paratransit.
- If a transit agency operates a route or routes at the behest of, under contract to, funded by, and for the purposes of a university (i.e., closed-door service that provides transportation only for students, faculty and staff), such routes would be regarded as “university service” and the requirements for complementary paratransit would not apply.

## 6.8.3 Supplemental Service for Other Transportation Modes

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### Requirement

“Transportation service provided by bus or other vehicle by an intercity [or] commuter rail operator, as an extension of or supplement to its rail service, and which connects an intercity rail station and limited other points, is subject to the requirements of [Part 37] for fixed route commuter bus service operated by a public entity” ([§ 37.35\(a\)](#)).

“Dedicated bus service to commuter rail systems, with through ticketing arrangements and which is available only to users of the commuter rail system, is subject to the requirements of [Part 37] for fixed route commuter bus service operated by a public entity” ([§ 37.35\(b\)](#)).

## Discussion

Some commuter rail operators provide fixed route transportation services to supplement their rail services or connect rail stations with a limited number of other points. Such services are subject to the same requirements as public-entity-provided fixed route commuter bus services. In these instances, complementary paratransit service is not required.

Some transit agencies provide bus services to commuter rail systems with through-ticketing arrangements that are limited to commuter rail passengers. These services are also governed by the requirements for public-entity-provided commuter bus services, and complementary paratransit service is not required.

## Attachment 6-1

# Sample On-Board Fixed Route Stop Announcement Data Collection Form

[Section 37.167\(b\)](#) requires transit agencies to announce stops on fixed route systems, at least at transfer points with other fixed routes, other major intersections and destination points, and intervals along a route sufficient to permit individuals with visual impairments or other disabilities to be oriented to their location. (See Circular Section 6.6.)

The attached form is a sample data collection device for use in monitoring compliance with this requirement. FTA recognizes there are many different ways of collecting such data and monitoring compliance.

When monitoring stop announcements on fixed route vehicles, FTA recommends observers be as inconspicuous as possible and behave as regular riders.

For each announcement, FTA recommends observers record:

- Whether the announcement was made
- How the announcement was made (by the driver or by the automated system)
- Whether the announcement was audible
- Whether the announcements were timely (i.e., early enough for riders to press a stop request indicator button)

FTA recommends observers also note other relevant issues:

- Whether the driver used the public address system to announce stops
- Whether the driver (or automated system) announced stops not on the stop list
- Whether a rider asked the driver to announce a particular stop and if the driver announced that stop properly
- Whether the route includes certain locations or stops for which the regulations require announcements but they were not announced. Such announcements can include places along long intervals without any announcements, as well as route segments with several turns.

FTA recommends observers sit in the middle or toward the rear of the vehicle to confirm that announcements are audible from these locations.

For any given set of observations, FTA notes that observers do not need to ride the full route; 10–20 minutes on a vehicle observing a single driver is usually sufficient, when part of a larger set of observations.

| On-Board Fixed Route Stop Announcement Data Collection Form |           |                  |
|---|-----------|------------------|
| Date  |           | Bus No.          |
| Route No.   | Direction | Destination      |
| Boarded at:   |           | Disembarked at:  |
| Time (a.m./p.m.)  |           | Time (a.m./p.m.) |

Location: Include all stops called out by driver, in addition to all scheduled time points and transfer points

Stop type: Indicate major intersection, transfer, major destination, turn, etc.

| Location | Stop Type | On-board<br>Announcement<br>Made? Yes/No | Announcement<br>Method: Voice/PA/<br>Automated | Audible?<br>Yes/No | Timely?<br>Yes/No |
|----------|-----------|--|--|--------------------|-------------------|
|          |           |  |  |                    |                   |
|          |           |  |  |                    |                   |
|          |           |  |  |                    |                   |
|          |           |  |  |                    |                   |
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|          |           |  |  |                    |                   |
|          |           |  |  |                    |                   |
|          |           |  |  |                    |                   |

| Total<br>Locations | Made | Not<br>Made | Voice | PA | Automated | Audible | Not<br>Audible | Timely | Untimely |
|--------------------|------|-------------|-------|----|-----------|---------|----------------|--------|----------|
|                    |      |             |       |    |           |         |                |        |          |

Notes:

Name: \_\_\_\_\_

## Attachment 6-2

### Sample Route Identification Data Collection Form

[Section 37.167\(c\)](#) requires transit agencies to provide a means by which an individual with a visual impairment or other disability can identify the proper vehicle to enter or be identified to the vehicle operator as a person seeking a ride on a particular route when vehicles for more than one route serve the same stop. (See Circular Section 6.7.)

The attached two-page form is a sample data collection device for use in monitoring compliance with this requirement. FTA recognizes there are many different ways of collecting such data and monitoring compliance.

When monitoring route identification practices, FTA recommends that observers be as inconspicuous as possible while collecting data.

FTA recommends observers stand at stops or stations served by multiple routes or lines, such as major transfer centers or downtown locations. As each bus or train arrives, FTA recommends observers record:

- Vehicle number
- Route number or line name
- Time of arrival
- Whether an announcement of the route or line took place
- Whether the driver, another transit employee, or an automated system made the announcement
- Information included in the announcement

The number of routes and lines that serve each stop or station observation site and the operating schedule will determine how much data each observer can record.

| Route Identification Data Collection Form                     |                      |                      |                          |
|---|----------------------|----------------------|--------------------------|
| Stop/Station/Location   |                      | Date                 | Page No.<br>Total Pages: |
| 1   | Vehicle No.          | Route/Line No./Name  |                          |
|   | Time (a.m./p.m.)     | Route Announced? Y/N |                          |
|   | Text of Announcement |                      |                          |
| 2   | Vehicle No.          | Route/Line No./Name  |                          |
|   | Time (a.m./p.m.)     | Route Announced? Y/N |                          |
|   | Text of Announcement |                      |                          |
| 3   | Vehicle No.          | Route/Line No./Name  |                          |
|   | Time (a.m./p.m.)     | Route Announced? Y/N |                          |
|   | Text of Announcement |                      |                          |
| 4   | Vehicle No.          | Route/Line No./Name  |                          |
|   | Time (a.m./p.m.)     | Route Announced? Y/N |                          |
|   | Text of Announcement |                      |                          |
| 5   | Vehicle No.          | Route/Line No./Name  |                          |
|   | Time (a.m./p.m.)     | Route Announced? Y/N |                          |
|   | Text of Announcement |                      |                          |
| 6   | Vehicle No.          | Route/Line No./Name  |                          |
|   | Time (a.m./p.m.)     | Route Announced? Y/N |                          |
|   | Text of Announcement |                      |                          |
| 7   | Vehicle No.          | Route/Line No./Name  |                          |
|   | Time (a.m./p.m.)     | Route Announced? Y/N |                          |
|   | Text of Announcement |                      |                          |
| 8   | Vehicle No.          | Route/Line No./Name  |                          |
|   | Time (a.m./p.m.)     | Route Announced? Y/N |                          |
|   | Text of Announcement |                      |                          |
| 9   | Vehicle No.          | Route/Line No./Name  |                          |
|   | Time (a.m./p.m.)     | Route Announced? Y/N |                          |
|   | Text of Announcement |                      |                          |
| 10  | Vehicle No.          | Route/Line No./Name  |                          |
|   | Time (a.m./p.m.)     | Route Announced? Y/N |                          |
|   | Text of Announcement |                      |                          |
| Notes/observations (lift/ramp use, assistance provided, etc.) |                      |                      |                          |

Name: \_\_\_\_\_

| Route Identification Data Collection Form                     |                      |                      |                          |
|---|----------------------|----------------------|--------------------------|
| Stop/Station/Location   |                      | Date                 | Page No.<br>Total Pages: |
| 11  | Vehicle No.          | Route/Line No./Name  |                          |
|   | Time (a.m./p.m.)     | Route Announced? Y/N |                          |
|   | Text of Announcement |                      |                          |
| 12  | Vehicle No.          | Route/Line No./Name  |                          |
|   | Time (a.m./p.m.)     | Route Announced? Y/N |                          |
|   | Text of Announcement |                      |                          |
| 13  | Vehicle No.          | Route/Line No./Name  |                          |
|   | Time (a.m./p.m.)     | Route Announced? Y/N |                          |
|   | Text of Announcement |                      |                          |
| 14  | Vehicle No.          | Route/Line No./Name  |                          |
|   | Time (a.m./p.m.)     | Route Announced? Y/N |                          |
|   | Text of Announcement |                      |                          |
| 15  | Vehicle No.          | Route/Line No./Name  |                          |
|   | Time (a.m./p.m.)     | Route Announced? Y/N |                          |
|   | Text of Announcement |                      |                          |
| 16  | Vehicle No.          | Route/Line No./Name  |                          |
|   | Time (a.m./p.m.)     | Route Announced? Y/N |                          |
|   | Text of Announcement |                      |                          |
| 17  | Vehicle No.          | Route/Line No./Name  |                          |
|   | Time (a.m./p.m.)     | Route Announced? Y/N |                          |
|   | Text of Announcement |                      |                          |
| 18  | Vehicle No.          | Route/Line No./Name  |                          |
|   | Time (a.m./p.m.)     | Route Announced? Y/N |                          |
|   | Text of Announcement |                      |                          |
| 19  | Vehicle No.          | Route/Line No./Name  |                          |
|   | Time (a.m./p.m.)     | Route Announced? Y/N |                          |
|   | Text of Announcement |                      |                          |
| 20  | Vehicle No.          | Route/Line No./Name  |                          |
|   | Time (a.m./p.m.)     | Route Announced? Y/N |                          |
|   | Text of Announcement |                      |                          |
| Notes/observations (lift/ramp use, assistance provided, etc.) |                      |                      |                          |

Name: \_\_\_\_\_

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## Chapter 7 – Demand Responsive Service

### 7.1 Introduction

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This chapter explains the U.S. Department of Transportation (DOT) Americans with Disabilities Act (ADA) regulations that apply to demand responsive transportation systems, which are broadly defined as any system that is not fixed route. In [49 CFR § 37.3](#), demand responsive system and fixed route system are defined as follows:

- *Demand responsive system* means any system of transporting individuals, including the provision of designated public transportation service by public entities and the provision of transportation service by private entities, including but not limited to specified public transportation service, which is not a fixed route system.<sup>1</sup>
- *Fixed route system* means a system of transporting individuals (other than by aircraft), including the provision of designated public transportation service by public entities and the provision of transportation service by private entities, including, but not limited to, specified public transportation service, on which a vehicle is operated along a prescribed route according to a fixed schedule.

Demand responsive systems encompass a wide variety of service types, including traditional dial-a-ride service, taxi subsidy service, vanpool service, and route deviation service. Complementary paratransit service, also a type of demand responsive system, is covered separately in Circular Chapters 8 and 9. In addition, FTA reminds readers to consult the general requirements in Circular Chapter 2, which apply to all types of services, including demand responsive service.

This Circular does not alter, amend, supersede, or otherwise affect the DOT ADA regulations themselves or replace the need for readers to reference the detailed information in the regulations. FTA recommendations and examples of optional practices are included throughout the Circular and do not represent requirements. FTA recognizes there are many different ways agencies can implement the regulatory requirements and ensure the delivery of compliant service. FTA encourages transit agencies to engage riders with disabilities when making decisions about local transit service.

### 7.2 Characteristics of Demand Responsive Systems

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Determining whether service is demand responsive is usually, but not always, straightforward. An accurate determination is important because the ADA requirements differ between fixed route and demand responsive services. As discussed in [Appendix D](#) to § 37.3, a key factor in deciding whether a service is demand responsive rather than fixed route is whether riders must request service, typically by making a phone call:

With fixed route service, no action by the individual is needed to initiate public transportation. If an individual is at a bus stop at the time the bus is scheduled to appear, then that individual will

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<sup>1</sup> Under § 37.3, *designated public transportation* means “transportation provided by a public entity (other than public school transportation) by bus, rail, or other conveyance (other than transportation by aircraft or intercity or commuter rail transportation) that provides the general public with general or special service, including charter service, on a regular and continuing basis.” *Specified public transportation* means “transportation by bus, rail, or any other conveyance (other than aircraft) provided by a private entity to the general public, with general or special service (including charter service) on a regular and continuing basis.”

be able to access the transportation system. With demand-responsive service, an additional step must be taken by the individual before he or she can ride the bus, i.e., the individual must make a telephone call.

Other factors, such as the presence or absence of published schedules, or the variation of vehicle intervals in anticipation of differences in usage, are less important in making the distinction between the two types of service. If a service is provided along a given route, and a vehicle will arrive at certain times regardless of whether a passenger actively requests the vehicle, the service in most cases should be regarded as fixed route rather than demand responsive.

Not all interactions between riders and transportation providers make services demand responsive. For example, riders often call ahead when using intercity rail or bus services to purchase tickets or reserve seats. Because these interactions do not alter a service's route or schedule, they do not make the services demand responsive. Similarly, some fixed route services permit "flag stops," where riders can signal drivers and board a bus between designated stops. Because they still operate along fixed routes according to fixed schedules, such services are fixed route and not demand responsive. (Note that the services classified as demand responsive for purposes of this Circular are distinct from the definition of "demand response" for the purposes of FTA's National Transit Database.)

The definition of the service is particularly important because true demand responsive services, as covered in this chapter, do not require complementary paratransit. Similarly, because the DOT ADA regulations permit public entities to purchase a mix of accessible and inaccessible vehicles to deliver demand responsive services, understanding what is and is not demand responsive is critical in terms of ensuring riders with disabilities who wish to use these services receive equivalent service and are not subject to discrimination because of their disabilities.

## 7.3 Acquisition of Vehicles for Demand Responsive Systems

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### Requirement

"Except as provided in this section, a public entity operating a demand responsive system for the general public making a solicitation after August 25, 1990, to purchase or lease a new bus or other new vehicle for use on the system, shall ensure that the vehicle is readily accessible to and usable by individuals with disabilities, including individuals who use wheelchairs" ([§ 37.77\(a\)](#)).

"If the system, when viewed in its entirety, provides a level of service to individuals with disabilities, including individuals who use wheelchairs, equivalent to the level of service it provides to individuals without disabilities, it may purchase new vehicles that are not readily accessible to and usable by individuals with disabilities" ([§ 37.77\(b\)](#)).

### Discussion

In the DOT ADA regulations, the service requirements for demand responsive systems are directly tied to vehicle acquisition and, for public entities, are found in Part 37 [Subpart D](#) (Acquisition of Accessible Vehicles by Public Entities). Although many transit agencies procure only accessible vehicles for their fleets, the regulations permit agencies to purchase a mix of accessible and inaccessible vehicles for demand responsive services by requiring that the system "when viewed in its entirety" provides equivalent service.

## 7.4 Equivalent Service in the Most Integrated Setting

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### Requirement

“For purposes of this section, a demand responsive system, when viewed in its entirety, shall be deemed to provide equivalent service if the service available to individuals with disabilities, including individuals who use wheelchairs, is provided in the most integrated setting appropriate to the needs of the individual and is equivalent to the service provided other individuals with respect to the following service characteristics:

- (1) Response time;
- (2) Fares;
- (3) Geographic area of service;
- (4) Hours and days of service;
- (5) Restrictions or priorities based on trip purpose;
- (6) Availability of information and reservations capability; and
- (7) Any constraints on capacity or service availability” ([§ 37.77\(c\)](#)).

### Discussion

Equivalent service is an underlying measure of nondiscrimination for demand responsive service with inaccessible vehicles in the fleet. Demand responsive fleets are permitted to include inaccessible vehicles as long as the service to individuals with disabilities is provided in the “most integrated setting appropriate” and is equivalent to the service provided to individuals without disabilities. Circular Section 7.5 discusses common types of demand responsive services. Examples of issues related to equivalency are provided for each respective service.

In some cases, transit agencies procure all accessible vehicles for their fleets, meaning they meet the [Part 38](#) vehicle specifications discussed in Circular Chapter 4. Where all the vehicles in a demand responsive vehicle fleet are fully accessible, the equivalent service standard addressed in this chapter does not apply. The general nondiscrimination requirements in [§ 37.5](#) discussed in Circular Chapter 2, however, apply to all demand responsive services. It would be discriminatory, for example, in a system with a 100 percent accessible demand responsive fleet to charge a higher fare to riders with disabilities or provide them a poorer response time in comparison with the service provided to riders without disabilities.

### 7.4.1 Service in the Most Integrated Setting

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In general, providing service in the most integrated setting appropriate to the needs of the individual means providing service to individuals with disabilities on the same vehicles and together with all other riders. When the service provided is demand responsive, there might be limited circumstances when the use of a separate vehicle is necessary, but such instances would be extremely rare.

It is also important to keep service integration in mind when designing seating plans and preparing specifications for acquiring accessible vehicles. While it may be reasonable to acquire a small number of vehicles designed specifically to accommodate large groups of riders who use wheelchairs, FTA discourages transit agencies from segregating fleets into vehicles that accommodate ambulatory riders and those that only accommodate riders who use wheelchairs. Instead, FTA encourages agencies to acquire vehicles that accommodate a mix of all riders, a prerequisite to fulfilling the most integrated setting requirement.

Transit agencies are allowed to include inaccessible vehicles, such as sedans, in their overall demand responsive fleet. This enables agencies to serve some riders with smaller vehicles that cost less to operate.

In such instances, other riders traveling in an agency's fleet of accessible vans or buses would travel in an integrated setting.

## 7.4.2 Service Characteristics for Equivalency

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The seven § 37.77(c) service characteristics for determining equivalency for riders with disabilities, including those who use wheelchairs, are:

- Response time – The elapsed time between a request for service and the provision of service is the same for riders with and without disabilities, and days and hours to request service are the same.
- Fares – For a given trip, the fare is the same for all riders.
- Geographic area of service – Riders with disabilities are able to request trips in the same area or areas as other riders.
- Hours and days of service – Riders with disabilities are able to request trips on the same days and during the same hours as other riders.
- Restrictions or priorities based on trip purpose – For demand responsive service with restrictions or priorities based on trip purpose, the same restrictions or priorities apply to all riders. Establishing policies that restrict or prioritize service based on trip purpose (e.g., medical transportation only) is acceptable as long as transit agencies apply these policies in the same way for all riders.
- Availability of information and reservations capability – Riders with disabilities have access to the same information and reservation systems as other riders, including information in alternate formats (e.g., large print, braille, audio, or accessible electronic files for riders with vision disabilities). [Section 37.167\(f\)](#) requires agencies to make alternate formats available, usable by the individual, and appropriate to the intended use. This means providing individuals with hearing or speech disabilities equal access to trip reservation systems in order to request service. (See Circular Section 2.8.)
- Any constraints on capacity or service availability – In demand responsive services with service availability or capacity constraints, this means having the same constraints for all riders. The regulations do not prohibit demand responsive services from having trip denials or providing trips on a first-come, first-served basis. However, to be considered equivalent, riders with disabilities would encounter trip denials with the same frequency as riders without disabilities. Similarly, the regulations do not prohibit the use of waiting lists or trip caps, as long as riders with disabilities are not waitlisted more often or do not have more restrictive trip cap limitations. Finally, the regulations do not prohibit demand responsive services from having poor rates of on-time performance or having long ride times due to limited service capacity, as long as riders with disabilities do not experience lower on-time performance rates or longer ride times than other riders.

FTA notes that the above equivalency requirements are often confused with the service criteria for complementary paratransit. While these services can have similar characteristics, there is a fundamental difference in the requirements. As covered in Circular Chapter 8, a transit agency's complementary paratransit service provision is measured against its fixed route service. But in demand responsive service, the comparison is between riders with disabilities and riders without disabilities, and the regulations require the level of service provided to be "equivalent."

FTA also notes that as long as transit agencies provide equivalent service, providing higher levels of service to individuals with disabilities, such as prioritizing routes and schedules for riders with disabilities or offering them reduced fares, is a local decision. Accordingly, throughout this chapter, references to equivalent service being "the same" imply "the same or better."

### 7.4.3 Service When Viewed in Its Entirety

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Determining equivalency also considers the demand responsive service when viewed in its entirety. As explained in Appendix D to § 37.77, “when viewed in its entirety” means that “when all aspects of a transportation system are analyzed, equal opportunities for each individual with a disability to use the transportation system must exist.” For example, some transit agencies may use multiple service providers to operate demand responsive services. Each service provider could have a different mix of accessible and inaccessible vehicles. One provider might primarily use sedans (e.g., a taxi service), while another might operate a fleet of accessible vehicles. In such instances, equivalency determinations are based on all of the providers’ services combined. It is important for agencies using multiple providers—some of which are using inaccessible vehicles—to ensure that all providers operate with the same policies and practices. For example, one taxi provider might accommodate same-day service requests with sedans while another provider using accessible vans might require advance reservations. Providing equivalent service in this instance means riders who need to travel in an accessible van are not required to place reservations earlier than riders who use the taxi service do.

### 7.4.4 Considering the Next Potential Customer

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In some demand responsive services, all current riders might be ambulatory and able to travel in an inaccessible vehicle. This is often the case for vanpools. However, the next potential customer might require an accessible vehicle. Equivalent response time in such instances means being able to provide this person an accessible vehicle in the same timeframe as someone who does not need an accessible vehicle. To do so, agencies must have accessible vehicles in reserve or have plans in place to acquire such vehicles or arrange for their temporary use.

### 7.4.5 Certification of Equivalency Requirement

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#### Requirement

“A public entity receiving FTA funds under 49 U.S.C. 5311 or a public entity in a small urbanized area which receives FTA funds under 49 U.S.C. 5307 from a state administering agency rather than directly from FTA, which determines that its service to individuals with disabilities is equivalent to that provided other persons shall, before any procurement of an inaccessible vehicle, file with the appropriate state program office a certificate that it provides equivalent service meeting the standards of paragraph (c) of this section. Public entities operating demand responsive service receiving funds under any other section of the [Federal Transit Act] shall file the certificate with the appropriate FTA regional office. A public entity which does not receive FTA funds shall make such a certificate and retain it in its files, subject to inspection on request of FTA. All certificates under this paragraph may be made and filed in connection with a particular procurement or in advance of a procurement; however, no certificate shall be valid for more than one year” ([§ 37.77\(d\)](#)).

#### Discussion

Before acquiring inaccessible vehicles for use in a demand responsive service, the regulations require a public entity to certify that the service using a future fleet with the inaccessible vehicles being procured will be equivalent for riders with disabilities, including riders who use wheelchairs. Attachment 7-1 provides the certification form for entities to complete. Certifications are valid for one year, meaning the entity will have to recertify before acquiring additional inaccessible vehicles through future procurements.

The requirements for filing certifications vary depending on the type of funding received and the entity receiving funding. As discussed in [Appendix D](#) to § 37.77,

The Department has been asked specifically where an entity should send its “equivalent level of service” certifications. We provide the following: Equivalent level of service certifications should be submitted to the state program office if you are a public entity receiving FTA funds through the state. All other entities should submit their equivalent level of service certifications to the FTA regional office . . . Certifications must be submitted before the acquisition of the vehicles.

The following FTA circulars provide guidance for FTA funding recipients:

- Section 5307 Urbanized Area Program Grants – [Circular 9030.1E](#)
- Section 5310 Enhanced Mobility of Seniors and Individuals with Disabilities Grant Recipients – [Circular 9070.1G](#)
- Section 5311 Formula Grants for Rural Areas – [Circular 9040.1F](#)

Section 37.77(d) requires transit agencies that receive funds under any other section of the Federal Transit Act to file certificates with the appropriate FTA regional office.

### Subrecipient Certification and Monitoring

The § 37.77(d) certification requirements also apply to subrecipients. Because the FTA Master Agreement obligates FTA funding recipients to enter into written agreements with subrecipients that incorporate applicable Federal requirements, FTA requires state administering agencies to have review procedures in place to monitor subrecipients’ compliance with certification requirements.

When awarding inaccessible vehicles to subrecipients, monitoring compliance with certification requirements means asking funding applicants who request inaccessible vehicles to document equivalency of services. Such documentation addresses each area of equivalency: response time, fares, geographic areas of service, hours and days of service, trip purpose, information and reservation capability, and capacity and service availability.

When requesting and receiving inaccessible vehicles, accurately certifying that service is equivalent means reviewing policies and operating procedures to ensure that service is available in the same area, at the same times, with the same response time, and for the same trip purposes for all types of riders. This includes riders with disabilities who use wheelchairs as well as others who may need accessible vehicles. FTA encourages monitoring daily operations to ensure compliance with policies and operating procedures and that the service is equivalent.

FTA also expects subrecipients that obtain or plan to obtain inaccessible vehicles to gather and closely analyze service data to determine if service is the same for all riders. At a minimum, this would include comparing the following service data for riders who need accessible vehicles with riders who do not need accessible vehicles:

- Trip denials and missed trips
- Frequency of being wait-listed
- On-time performance
- On-board ride times
- Telephone hold times

## 7.5 Types of Demand Responsive Services

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Many types of services fall under the demand responsive category, including:

- Dial-a-ride service
- Taxi subsidy service
- Vanpool service
- Route deviation service

Transit agencies must ensure all applicable ADA requirements are being met for all services—not just equivalent service. This includes the general nondiscrimination requirements in Part 37 Subpart A ([§ 37.5](#)) along with the relevant service provisions in Part 37 Subpart G. With these services, agencies have the same obligations to ensure, for example, that service animals are allowed to accompany riders with disabilities and that portable oxygen is accommodated. The training requirements in [§ 37.173](#) can be particularly important. Vehicle operators, including taxi drivers and volunteer vanpool drivers, must be trained to proficiency on safely operating vehicles and equipment and on properly assisting and treating riders with disabilities. (See Circular Chapter 2 for the crosscutting requirements that apply to all modes.) The following descriptions of the most common demand responsive services highlight service options for consideration locally.

### 7.5.1 Dial-a-Ride Service

---

As perhaps the most common type of demand responsive service, dial-a-ride operates in a defined area such as a city, county, or transit agency jurisdiction, and during advertised days and hours. Pickups and drop-offs typically take place anywhere within the service area, and sometimes at important out-of-area locations. Riders call to request a pickup time and service providers develop schedules and routes according to these requests.

General public dial-a-ride services are commonly available in suburban and rural areas that do not have sufficient population density to support fixed route service. Sections 5311 and 5307 funds typically support general public dial-a-ride services.

Some agencies operate dial-a-ride services for seniors and individuals with disabilities. They often operate these services as a supplement to fixed route and complementary paratransit services and typically use § 5310 funding to support these services.

#### Subscription Vans

Subscription van service, a type of dial-a-ride service, provides a defined set of riders with ongoing transportation. This might include reverse commuters working in a common location or social service agency clients traveling to agency programs. Riders either call the service provider to request ongoing transportation or the programs or workplaces arrange transportation services with the providers.

Although the same group of riders may follow a similar daily route and schedule, the roster of van riders can change over time, leading to changes in routes and schedules. Thus, FTA considers subscription van service as demand responsive, not fixed route.

### Equivalency for Dial-a-Ride Services

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Many dial-a-ride services combine individual transportation and group transportation. Individual transportation services might enable trips for shopping, personal business, or medical appointments. Group trips such as those in subscription vans might serve those traveling to common destinations such as senior nutrition programs. Providing services in the most integrated setting is a particularly important issue for group trips that include social elements. For example, if transporting groups of seniors from a

meal center, it would not be in the most integrated setting to transport those seniors without disabilities home in one vehicle and use a separate accessible vehicle to transport the riders who use wheelchairs.

If multiple service providers with different mixes of accessible and inaccessible vehicles provide service, it is important to consider whether the providers with accessible vehicles operate all the days and hours and in all parts of the service area as providers that operate mainly inaccessible vehicles.

As discussed in Circular Section 7.4, equivalency also means that agencies cannot charge a higher fare to riders with disabilities. Even if service providers charge agencies more to provide trips in lift-equipped vans than in sedans or non-lift vans, such cost differences are internal to the agency and cannot be passed onto riders.

#### Using Dial-a-Ride Service to Also Provide Complementary Paratransit Service

Some transit agencies that operate both general public dial-a-ride and fixed route service use the general public dial-a-ride service (i.e., vehicles, drivers, scheduling, and dispatch) to meet all or part of their complementary paratransit service requirements. In these cases, the Part 37 [Subpart F](#) complementary paratransit requirements apply, including those covering capacity constraints, to the portion of the service used to meet the complementary paratransit requirements. (See Circular Chapters 8 and 9.) To ensure compliance with Subpart F, agencies must monitor the level of service the complementary paratransit riders are receiving. FTA recommends that agencies record and analyze trip requests and completed trips by type of rider—those determined ADA paratransit eligible versus others not ADA paratransit eligible. This permits agencies to document compliance with the Subpart F requirements during FTA oversight reviews, for example, even if the general public dial-a-ride portion of the service has capacity constraints.

If the general public dial-a-ride portion of a transit agency's service cannot accommodate all trip requests, complying with the Subpart F requirements means giving scheduling priority to ADA paratransit eligible riders and ensuring service for these riders operates without capacity constraints.

FTA recommends clearly describing both types of service (service available to the general public and service for ADA paratransit eligible riders) in public information so that individuals with disabilities understand the benefits of applying for ADA paratransit eligibility and the level of service they can expect to receive.

### 7.5.2 Taxi Subsidy Service

Taxi subsidy service, often classified as either user-side subsidy or provider-side subsidy service, is also a common type of demand responsive transportation. In both variations, transit agencies contract with taxi companies to provide service. In user-side taxi subsidy programs, agencies sell discounted vouchers (also known as scrip) to riders, who arrange trips directly with taxi companies and use the vouchers as payment for rides. In provider-side subsidy programs, riders may arrange trips through a transit agency. The agency then contracts with taxi companies for service and subsidizes a portion of the taxi fare through its direct payment to the taxi company; the rider pays a fare or agreed-upon amount for each trip.

#### Equivalency for Taxi Subsidy Services

Taxi subsidy programs administered by transit agencies using FTA funds are subject to the equivalent service requirements. In other words, agencies are responsible for providing equivalent service to individuals with disabilities, including those who use wheelchairs, who qualify for these services. Taxi subsidy programs that use only inaccessible taxicabs would not meet the regulatory requirements for equivalency. One way to provide equivalent service is to work with participating taxi companies to incorporate accessible vehicles into their taxicab fleets. Another way is to contract with other companies that can provide accessible service, and to negotiate terms so that the riders requiring accessible vehicles receive equivalent service without being charged a higher fare.

Transit agencies operating taxi subsidy programs must monitor response times for riders with disabilities, including those who use wheelchairs, to ensure these riders experience comparable response times to other riders. Achieving equivalent response times for all riders can be challenging when only a small portion of a total available taxi fleet is accessible. One option is to establish a central dispatch service and work with operators that have accessible taxicabs to prioritize the assignment of accessible taxicabs to riders who need accessible vehicles. Another option is to use a separate company that operates accessible vehicles to serve riders with disabilities. In such instances, service monitoring for equivalent response times is crucial.

With respect to fares, equivalency means that all riders pay the same fares for comparable trips regardless of the actual cost of providing taxicab service. For example, if more than one operator provides the taxi service and the accessible taxicab provider's fare structure is higher than the other operator, equivalency issues could arise. In programs with capped subsidies (e.g., the agency subsidizes the first \$10 and the rider pays any balance), riders who need accessible taxicabs through a more costly provider cannot be charged a higher fare than those receiving similar trips in less costly inaccessible taxicabs. In voucher programs, riders requiring service in more costly accessible taxicabs cannot be required to use more vouchers for comparable trips. Maintaining the required equivalency might obligate the agency to adopt remedies such as tying coupons to specific rides instead of to dollar values or providing higher subsidies to riders who require accessible taxicabs. (See Circular Section 7.6.)

### 7.5.3 Vanpool Service

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#### Requirement

"Vanpool systems which are operated by public entities, or in which public entities own or purchase or lease the vehicles, are subject to the requirements of [Part 37] for demand responsive service for the general public operated by public entities. A vanpool system in this category is deemed to be providing equivalent service to individuals with disabilities if a vehicle that an individual with disabilities can use is made available to and used by a vanpool in which such an individual chooses to participate" ([§ 37.31](#)).

#### Discussion

As defined in the [§ 37.3](#),

*Vanpool* means a voluntary commuter ridesharing arrangement, using vans with a seating capacity greater than 7 persons (including the driver) or buses, which provides transportation to a group of individuals traveling directly from their homes to their regular places of work within the same geographical area, and in which the commuter/driver does not receive compensation beyond reimbursement for his or her costs of providing the service.

Typically, entities that sponsor and administer vanpools coordinate the creation of vanpool rider groups, set the cost of the service, and collect regular payments from riders. Entities also purchase or lease, insure, and maintain the vans.

#### Equivalency for Vanpools

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Vanpool systems operated by public entities (in which the entities own, purchase, or lease the vehicles)<sup>2</sup> are subject to the equivalent service requirements that apply to general public demand responsive services. Meeting the vanpool equivalency requirement means being prepared to accommodate requests to participate in the vanpool from individuals with disabilities, including those who use wheelchairs.

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<sup>2</sup> "Operated by public entities" includes those situations in which the public entity owns, purchases, or leases the vehicles, or provides financial assistance to purchase or lease the vehicles.

If riders without disabilities can join an existing vanpool in one or two days, equivalent response time means riders who use wheelchairs can join a vanpool in the same timeframe. (See Circular Section 7.4.4.)

Equivalency for fares means charging all vanpool participants the same fees even if operating costs are higher for operating an accessible van. To make the contributions or fares the same, FTA suggests that sponsoring agencies consider further subsidizing vanpools that accommodate riders with disabilities or assessing a surcharge to all vanpools to offset any higher rider costs of accessible vanpools.

### 7.5.4 Route Deviation Service

Route deviation service operates along established routes that typically have designated stops. Between these stops, vehicles deviate from an established route to pick up or drop off riders within a defined off-route service area. Figure 7-1 illustrates the route deviation concept.

Transit agencies operating route deviation services typically ask riders to call in advance (e.g., 1–2 hours prior to desired pickup time) to request off-route pickups.

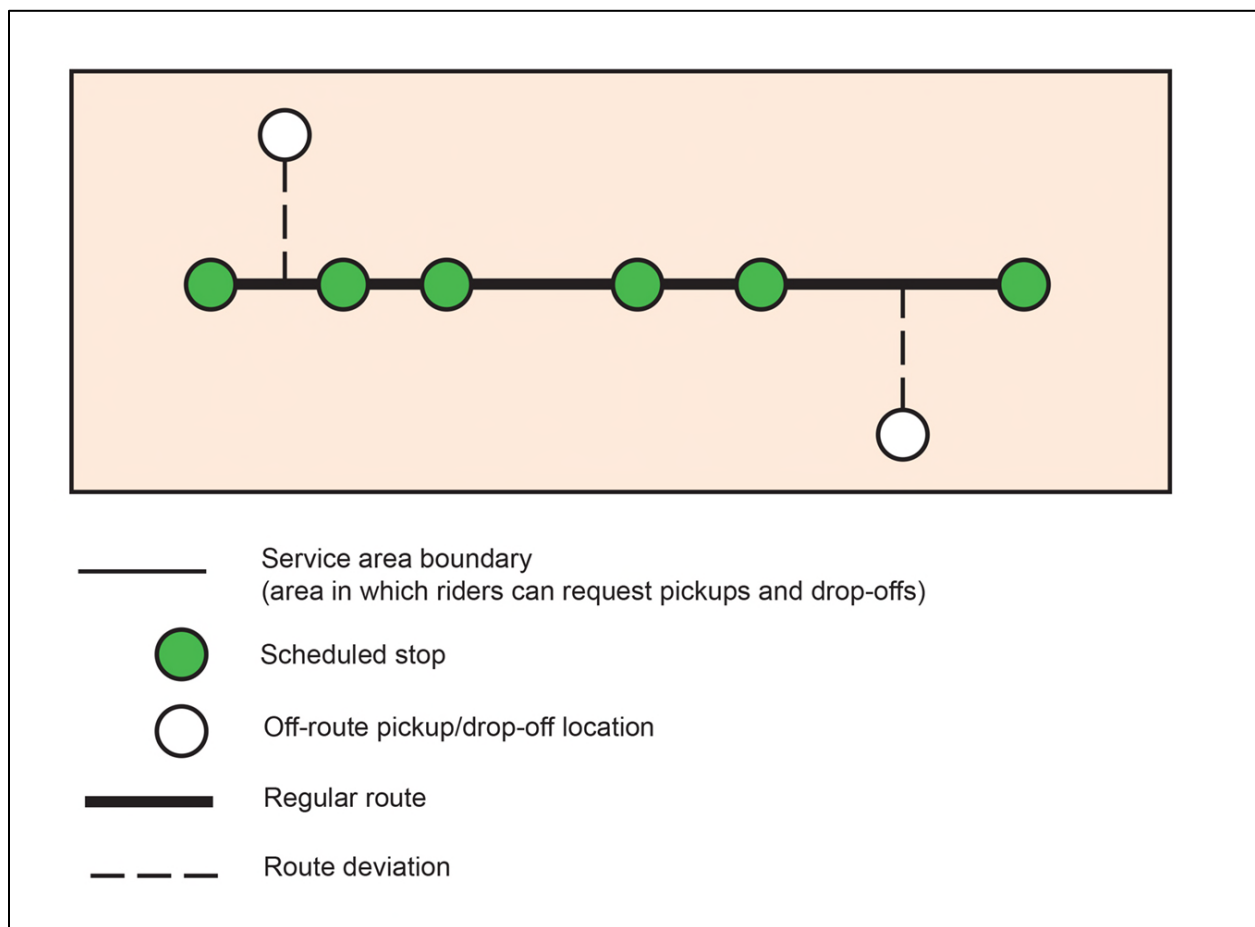


Figure 7-1 – Route Deviation Service<sup>3</sup>

<sup>3</sup> Transportation Research Board, Transit Cooperative Research Program Report 163, "[Strategy Guide to Enable and Promote the Use of Fixed-Route Transit by People with Disabilities](#)" (2014).

Typically, all vehicles used in route deviation service are accessible, as it would be difficult to provide equivalent service with a mixed fleet. Riders needing accessible vehicles would not have the same ability to catch the next bus at a scheduled stop if only certain runs were provided with accessible vehicles.

### Considerations for Route Deviation Service

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To be considered demand responsive rather than fixed route, route deviation services must accept deviation requests from all riders. Deviated fixed route services that limit route deviations only to riders with disabilities are not demand responsive services. These are fixed route services that require complementary paratransit.

Some transit agencies operate a mix of route deviation and fixed route services. FTA considers the routes that permit all riders to request deviations as demand responsive. Routes that do not allow deviations are fixed route, and therefore complementary paratransit is required.

Similarly, some transit agencies allow deviations only at certain times. For example, an agency may operate fixed route service during peak hours and limit deviation requests to off-peak hours when the schedule can accommodate off-route pickups and drop-offs. In such instances, the service is therefore fixed route during peak periods and demand responsive during the times that deviations are permissible. The Part 37 Subpart F complementary paratransit requirements apply during hours when the service is fixed route.

Operating route deviation services without limits can result in so many deviations that the fixed route portion of the service becomes unattractive to other riders. For this reason, route deviation services are often employed on longer runs in more rural areas where the time spent deviating can be made up along the way. Route deviation services are also sometimes supplemented by other demand responsive services to help meet off-route requests.

### Discriminatory Practices that Limit the Use of Route Deviation Service

The [§ 37.5](#) nondiscrimination requirements obligate transit agencies to ensure that their policies and practices do not discriminate against individuals with disabilities. (See Circular Section 2.2.) The following are examples of discriminatory practices in the delivery of route deviation service, and may leave the appearance that a route deviation service is “in name only” as a way to avoid providing complementary paratransit service:

- Designating services as route deviation in plans and other documents, but not advertising them as such. To ensure that riders are aware of and able to use the service, FTA requires that transit agencies advertise the availability of route deviations (e.g., including the information on schedules and in other public information).
- Establishing restrictive policies for deviations that would significantly limit the use of the service by individuals with disabilities who are not able to get to and from designated stops and can therefore only use the service by requesting deviations. This would include:
  - Charging excessive surcharges for deviations
  - Establishing overly restrictive areas within which riders can request deviations
  - Limiting deviations to only certain trip purposes
  - Unreasonably capping the number of permitted deviations

To avoid discriminating against riders with disabilities who may only be able to use the services by requesting deviations, transit agencies must:

- Apply only reasonable surcharges for deviations (e.g., no more than twice the base fare)
- Establish a reasonable service area within which deviations are permitted (e.g., 3/4 mile)
- Ensure that policies capping the number of allowable deviations per vehicle run do not significantly limit the service

### Operating Complementary Paratransit Through Route Deviation Service

Services that do not deviate for all riders must provide complementary paratransit service in full compliance with Part 37 [Subpart F](#). (See Circular Chapters 8 and 9.) This includes administering an eligibility determination process to determine who is ADA paratransit eligible. In very rural areas where demand is low, transit agencies might be able to meet the complementary paratransit requirements through off-route deviations.

The DOT ADA regulations do not require agencies to provide complementary paratransit and fixed route service in separate vehicles. In fact, comingling complementary paratransit and fixed route riders on the same vehicle has the benefit of providing service to riders with disabilities in a more integrated setting. Some agencies have long operated comingled service.

A comingled fixed route and complementary paratransit service using the same vehicle operates along a fixed route and deviates from the route only for ADA paratransit eligible riders. The deviation portion of the service is subject to the Subpart F requirements.

While agencies have the option to run complementary paratransit on the same vehicle as fixed route service, if this option is chosen, the agency must be prepared to demonstrate to FTA that it is fulfilling the Subpart F requirements. This would include, for example, ensuring complementary paratransit is provided within 3/4 mile of the fixed route and is free from capacity constraints.

### Operating Complementary Paratransit Through Supplemental Dial-A-Ride Service

Where demand is higher, a separate complementary paratransit service may be necessary. In some cases, rather than establishing a new service, transit agencies use existing dial-a-ride programs to meet the complementary paratransit requirements, especially in more rural areas. Both service design options might also be employed. Some complementary paratransit demand might be met by using route deviation vehicles to make off-route pickups and some demand might be met using an existing dial-a-ride program. FTA reminds agencies using these approaches to track and analyze the combined services (deviations and dial-a-ride trips) to ensure compliance with all Subpart F requirements, including the prohibitions against capacity constraints.

Service options are summarized in Table 7-1, including whether or not the Subpart F requirements apply.<sup>4</sup>

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<sup>4</sup> For more information on service delivery options, see [FTA letter](#) to the California Department of Transportation (Caltrans) (Dec. 8, 2014).

**Table 7-1 – Service Delivery Options**

| Service Delivery Option   | Route Deviations  | Part 37 Subpart F Requirements                         |
|---|---|--|
| Route deviation that is demand responsive   | Deviates for all riders, including those without disabilities<br><br>Publicly advertised as route deviation service | Do not apply   |
| Comingled complementary paratransit and fixed route service on the same vehicle   | Deviates only for ADA paratransit eligible riders   | Apply to trips for all ADA paratransit eligible riders |
| Fixed route service with separate complementary paratransit service (operated with separate vehicles or through existing dial-a-ride service) | None  | Apply  |

### 7.5.5 Other Types of Service

Transit agencies have developed other types of demand responsive services that may include some elements of user interaction. Some of these services are similar to the common services described above with variations. Agencies must evaluate these other services on a case-by-case basis and consult the [§ 37.3](#) definitions and [Appendix D](#) discussions referenced throughout this chapter to determine whether the services are demand responsive or fixed route.

FTA also recognizes the emergence of innovative types of transportation, especially in the realm of demand responsive service. As mentioned in Circular Chapter 1, nearly all types of publically or privately operated transportation are covered by the ADA one way or another, either through the DOT ADA regulations or the Department of Justice's. In some cases, the applicable regulatory requirements may not be immediately clear. FTA grantees contemplating nontraditional programs (e.g., on-demand car- or bike-sharing) are encouraged to contact the FTA Office of Civil Rights for any needed guidance on identifying the applicable requirements.

## 7.6 Suggestions for Monitoring Service

Transit agencies must sufficiently monitor their demand responsive service, provided in house or by contractors, in order to confirm the service is being delivered consistent with the ADA requirements. States must similarly monitor their subrecipients. FTA does not dictate the specifics of an agency's monitoring efforts. Approaches for monitoring demand responsive service will vary based on the characteristics of the service and local considerations.

### 7.6.1 Determining Equivalency

Table 7-2 offers suggestions for how to determine equivalency for each of the seven [§ 37.77](#) service characteristics when some of a transit agency's vehicles are not accessible to individuals with disabilities, including individuals who use wheelchairs. Agencies can determine the equivalency of basic service characteristics (such as response time, fares, service areas, days and hours, and trip purposes) by reviewing policy statements, public information, and other documents that define for agencies and the public how the service is operated and the rules for its use.

FTA suggests examining operating procedures and considering any differences between the policies and procedures used to serve riders with disabilities versus policies and procedures for serving riders without disabilities. For transit agencies using multiple providers, FTA also suggests comparing any variations in policies and procedures among contracted providers, including those with mixed fleets of accessible and inaccessible vehicles.

To evaluate the availability of information and reservation capacity, FTA suggests examining policies and procedures for preparing information in accessible formats. This includes reviewing the accessibility of systems used for trip reservations, such as telephone or online systems, and monitoring accessible communications practices to ensure that they are performed as efficiently as other types of communications. (See Circular Section 2.8.)

Determining equivalency in the area of service capacity and availability requires more detailed analysis of various service constraints and limitations, such as waiting lists, trip caps, trip denials, on-time performance, and on-board ride times. In each of these areas, FTA suggests that transit agencies compare the experiences of riders with disabilities, particularly those who use wheelchairs and need accessible vehicles, with the experiences of other riders.

**Table 7-2 – Suggested Approaches for Determining Equivalency with the § 37.77 Service Requirements**

| Service Requirement  | Suggested Approach for Determining Equivalency  |
|--|---|
| The same response time   | Review all policies that indicate how far in advance riders must request service and confirm that notification requirements are the same for individuals with disabilities. Consider all procedures for arranging service and confirm that individuals with disabilities receive service in the same amount of time. Monitor and observe the service to ensure adherence to policies and procedures and response time are equivalent in practice.   |
| The same fares   | Review all policies related to fares to confirm that riders with disabilities pay the same fares as riders without disabilities for similar trips. Confirm there are no additional charges that only riders with disabilities pay. Monitor and observe the service to ensure adherence to policies and fares are equivalent in practice.  |
| The same geographic area of service                              | Examine the availability of accessible vehicles throughout the service area. Review how the fleet is assigned and the mix of accessible and inaccessible vehicles in each part of the service area. Compare the service areas of different contractors who might have different mixes of accessible and inaccessible vehicles. Monitor and observe service to confirm adherence to policies and that service is provided on an equal basis.   |
| The same hours and days of service                               | Review all policies related to the days and hours of service to confirm that an adequate number of accessible vehicles is available during all hours of operation. If multiple contractors provide service, confirm that contractors using accessible vehicles operate at least as long as all other contractors. Monitor and observe the service to ensure that policies are followed.   |
| The same restrictions or priorities based on trip purpose        | Review all policies and operating procedures to confirm that riders with disabilities can request trips for the same trip purposes as all other riders. The regulations permit demand responsive services to have trip purpose restrictions or priorities, but the same restrictions or priorities must apply to all riders, including riders with disabilities. Monitor and observe the service to ensure that policies and procedures are followed and any trip purpose restrictions or priorities are applied on an equal basis. |
| The same availability of information and reservations capability | Confirm that public information is available in accessible formats so that riders with disabilities have the same information as all other riders and that reservation systems are accessible.  |

| Service Requirement                             | Suggested Approach for Determining Equivalency   |
|---|--|
| Constraints on capacity or service availability | <p>Waiting lists – Demand responsive services can have waiting lists, but the regulations require transit agencies to apply them equally to riders with and without disabilities. If using waiting lists, confirm that riders with disabilities are not waitlisted more frequently than other riders. Consider maintaining information about each rider’s disability status, particularly whether a rider uses a wheelchair and requires an accessible vehicle. Periodically review waitlists and calculate the percentage of riders by type who are waitlisted (the number of riders who require accessible vehicles on the waitlist divided by the total number of riders who require accessible vehicles vs. the number of riders who do not require accessible vehicles on the waitlist divided by the total number of riders who do not require accessible vehicles).</p> <p>Trip caps – Demand responsive services can have trip caps, but the regulations require transit agencies to apply them equally to riders with and without disabilities. Examine all policies related to trip caps to ensure that riders with disabilities are not subject to more restrictive trip caps.</p> <p>Trip denials – Demand responsive services can have trip denials, but the regulations prohibit riders with disabilities from experiencing a higher percentage of denied trip requests. Consider maintaining information about each rider’s disability status, particularly whether a rider uses a wheelchair and requires an accessible vehicle. Periodically review trip denials and calculate the percentage of trips requested by riders who require accessible vehicles that were denied (denied trips requested by riders who need accessible vehicles divided by the total trips requested by riders who need accessible vehicles). Compare this with the percentage of trips requested by riders who do not need accessible vehicles that were denied (denied trips requested by riders who do not need accessible vehicles divided by the total trips requested by riders who do not need accessible vehicles).</p> <p>On-time performance – The regulations require riders with disabilities, particularly those who use wheelchairs and require accessible vehicles, to experience the same on-time performance other riders experience. Consider analyzing on-time performance for riders who need accessible vehicles and compare this with the overall on-time performance for the service. FTA notes that given operational variances, equivalent on-time performance means similar, but not identical, on-time performance. For instance, if on-time performance for riders with disabilities over time is very close to the systemwide average, then this represents equivalent on-time performance.</p> <p>On-board ride times –The regulations require that on-board ride times that individuals with disabilities experience, particularly those who use wheelchairs and require accessible vehicles, be the same as the on-board ride times other riders experience for similar trips. FTA suggests analyzing the average on-board ride times for trips taken by riders who need accessible vehicles versus those who do not need accessible vehicles. If the averages differ significantly, consider possible reasons. Are riders with disabilities making different types of trips that are longer? Is the difference caused by more trip grouping on accessible vehicles (and therefore longer ride times) than on inaccessible vehicles?</p> |

## 7.6.2 Monitoring Suggestions for Specific Service Types

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### Comingled Dial-A-Ride and Complementary Paratransit Service

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When transit agencies use dial-a-ride services to provide complementary paratransit, FTA suggests coding general dial-a-ride riders and ADA paratransit eligible riders differently. This can be done in the eligibility determination process (e.g., the ID number for an ADA eligible rider might begin with an “A”). This will allow the agency to compare the level of service ADA paratransit eligible riders receive with other riders and demonstrate to FTA during oversight activity that the service is being monitored and is free of capacity constraints. For example, this could include generating and analyzing a list of all trip request denials to determine if any denials applied disproportionately to ADA paratransit eligible riders.

### Taxi Subsidy Service

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Monitoring provider-side taxi subsidy services, where a transit agency or call center contractor handles trips requests, is relatively straightforward. Transit agencies can require taxi companies participating in the program to report actual pickup and drop-off times for trips assigned to them as well as other statistics.

Because riders arrange trips directly with participating taxi companies, monitoring user-side taxi subsidy services requires other techniques. One suggested approach is to analyze a sample of voucher trip records and compare the time the rider requested the trip with the dispatch records for when the taxi driver accepted the trip assignment and to examine the actual pickup and drop-off times. This permits comparisons of response times and on-time performance with the levels of service provided to other riders.

### Demand Responsive Route Deviation Service

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For transit agencies that accept route deviation requests from all riders (i.e., regardless of disability), monitoring is more straightforward since the service is not fixed route. It is not necessary to monitor compliance with the complementary paratransit requirements. FTA suggests that transit agencies analyze how they handle route deviation requests to confirm that there are no restrictions in ways that might be discriminatory to those who can only use the service via off-route deviations.

## Attachment 7-1

### Certification of Equivalent Service – Appendix C to Part 37

The (name of agency) certifies that its demand responsive service offered to individuals with disabilities, including individuals who use wheelchairs, is equivalent to the level and quality of service offered to individuals without disabilities. Such service, when viewed in its entirety, is provided in the most integrated setting feasible and is equivalent with respect to:

- (1) Response time;
- (2) Fares;
- (3) Geographic service area;
- (4) Hours and days of service;
- (5) Restrictions on trip purpose;
- (6) Availability of information and reservation capability; and
- (7) Constraints on capacity or service availability.

In accordance with 49 CFR 37.77, public entities operating demand responsive systems for the general public which receive financial assistance under 49 U.S.C. 5311 or 5307 must file this certification with the appropriate state program office before procuring any inaccessible vehicle. Such public entities not receiving FTA funds shall also file the certification with the appropriate state program office. Such public entities receiving FTA funds under any other section of the FT Act must file the certification with the appropriate FTA regional office. This certification is valid for no longer than one year from its date of filing.

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(Name of authorized official)

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(Title)

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(Signature)

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## Chapter 8 – Complementary Paratransit Service

### 8.1 Introduction

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In crafting the Americans with Disabilities Act (ADA), Congress recognized that even when a fixed route transit system is fully accessible, there will be some individuals whose disabilities prevent them from using the system. Congress therefore created a “safety net” to ensure that these individuals have transportation available to them on the same basis as individuals using fixed route systems.

This chapter explains how the U.S. Department of Transportation (DOT) ADA regulations in 49 CFR Part 37 apply to complementary paratransit service in terms of required service criteria, types of service options, operational performance, and other factors. ADA paratransit eligibility is discussed separately in Circular Chapter 9. FTA reminds readers to consult the general requirements in Circular Chapter 2, which apply to all types of services, including complementary paratransit.

This Circular does not alter, amend, supersede, or otherwise affect the DOT ADA regulations themselves or replace the need for readers to reference the detailed information in the regulations. FTA recommendations and examples of optional practices are included throughout the Circular and do not represent requirements. FTA recognizes there are many different ways agencies can implement the regulatory requirements and ensure the delivery of compliant service. FTA encourages transit agencies to engage riders with disabilities when making decisions about local transit service.

### 8.2 Requirement for Complementary Paratransit Service

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#### Requirement

“*Paratransit* means comparable transportation service required by the ADA for individuals with disabilities who are unable to use fixed route transportation systems” ([§ 37.3](#)).

“Except as provided in paragraph (c) of this section, each public entity operating a fixed route system shall provide paratransit or other special service to individuals with disabilities that is comparable to the level of service provided to individuals without disabilities who use the fixed route system” ([§ 37.121\(a\)](#)).

“To be deemed comparable to fixed route service, a complementary paratransit system shall meet the requirements of §§ 37.123–37.133 of this subpart. The requirement to comply with § 37.131 may be modified in accordance with the provisions of this subpart relating to undue financial burden” ([§ 37.121\(b\)](#)).

“Requirements for complementary paratransit do not apply to commuter bus, commuter rail, or intercity rail systems” ([§ 37.121\(c\)](#)).

#### Discussion

Complementary paratransit service must be provided by any public entity operating fixed route service that is not otherwise exempt from the regulations. This paratransit service must be “comparable” to the fixed route service. To be considered comparable, it must meet the service criteria in §§ 37.123–37.133 discussed below.

The requirement for complementary paratransit service applies to all fixed route bus and rail transit service except for commuter bus, commuter rail, and intercity rail (Amtrak) services, which are

specifically exempt. Commuter rail service and Amtrak can be easily identified based on their definitions in Part 37. Determining whether a bus service is actually commuter bus is less straightforward because it requires an assessment of the service’s characteristics. [Section 37.3](#) provides the following definitions:

- “*Commuter rail transportation* means short-haul rail passenger service operating in metropolitan and suburban areas, whether within or across the geographical boundaries of a state, usually characterized by reduced fare, multiple ride, and commutation tickets and by morning and evening peak period operations. This term does not include light or rapid rail transportation.”
- “*Intercity rail* means transportation provided by Amtrak.”
- “*Commuter bus service* means fixed route bus service, characterized by service predominantly in one direction during peak periods, limited stops, use of multi-ride tickets, and routes of extended length, usually between the central business district and outlying suburbs. Commuter bus service may also include other service, characterized by a limited route structure, limited stops, and a coordinated relationship to another mode of transportation.”

As highlighted in Circular Chapter 6, a bus route might have some but not all of the characteristics of commuter bus service found in the § 37.3 definition. A case-by-case assessment by the transit agency is needed to determine whether a specific bus route meets the definition of commuter service. (See Circular Section 6.8.1.) During a complaint investigation or other oversight activity, FTA may require an agency to substantiate how a particular service meets the definition of commuter bus. (See FTA response to [Complaint 14-0067](#) for an example of an FTA analysis of whether a particular service met the definition.)

## 8.3 Types of Service

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### 8.3.1 Origin-to-Destination Service

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#### Requirement

“*Origin-to-destination service* means providing service from a passenger’s origin to the passenger’s destination. A provider may provide ADA complementary paratransit in a curb-to-curb or door-to-door mode. When an ADA paratransit operator chooses curb-to-curb as its primary means of providing service, it must provide assistance to those passengers who need assistance beyond the curb in order to use the service unless such assistance would result in a fundamental alteration or direct threat” ([§ 37.3](#)).

“Except as provided in this section, complementary paratransit service for ADA paratransit eligible persons shall be origin-to-destination service” ([§ 37.129\(a\)](#)).

#### Discussion

By definition, complementary paratransit service is an origin-to-destination service featuring a level of personnel assistance that enables all complementary paratransit riders to travel from their origins to their destinations. In 2005, DOT published “[Origin-to-Destination Service](#)” guidance that elaborates on the meaning of origin-to-destination service. In 2015, DOT’s Reasonable Modification of Policy final rule added the above definition of origin-to-destination service to the regulations. It also introduced [Appendix E](#) to Part 37 (Reasonable Modification Requests), which includes several examples specific to origin-to-destination service. (See Circular Section 2.10.)

#### Base Level of Service

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Transit agencies, through the public participation process, may set a “base level” of service for complementary paratransit, which may be defined as door-to-door or curb-to-curb service. Door-to-door service means assisting all riders beyond the curb. Setting the base level of service as curb-to-curb means

agencies will pick up and drop off riders at the curb. Where the local planning process establishes curb-to-curb service as the basic complementary paratransit service mode, however, agencies must provide assistance to ensure the service actually gets riders from their point of origin to their destination point. To meet this origin-to-destination requirement, agencies will need to provide service to some individuals, or at some locations, in a way that goes beyond curb-to-curb service.

### Rider Assistance Practices and Policies

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If transit agencies elect to provide assistance beyond the curb only on an as-needed basis, they may ask riders to inform them in advance if they will need additional assistance. However, assistance must also be provided if riders do not request it in advance. Riders may not know ahead of time what barriers exist at drop-off points. The § 37.169 reasonable modification requirements include making provisions for situations in which an advance request and determination are not feasible. As noted in Circular Section 2.10.2, these situations are likely to be more difficult to handle than advance requests, but agencies are required to respond to them regardless. An optional good practice is to include such information in a rider's file for future trips. Such information may also be obtained during the eligibility determination process. (See Circular Section 9.4.)

Transit agencies may set policies to ensure safety for drivers and other riders. Agencies may set a policy in which drivers must be able to maintain "effective continuing control" of the vehicle. This sometimes includes maintaining visual contact with the vehicle or not going more than a certain distance (e.g., X feet) from the vehicle. Agencies may also create a policy that prohibits drivers from entering a private residence or traveling beyond the lobby of a public building such as a hospital or traveling past the first exterior door of a building.

Once transit agencies establish policies for origin-to-destination service, they must ensure that all appropriate staff understand these policies and receive appropriate training consistent with [§ 37.173](#) to properly carry out these policies. (See Circular Section 2.9.)

### Origin-to-Destination Examples

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[Appendix E](#) to Part 37 introduces examples of the types of rider requests that, in most cases, will be reasonable or not. The examples cover the two basic elements of origin-to-destination service: first, the vehicle getting to the customer's location and, second, the operator leaving the vehicle and assisting the customer.

The following examples, quoted directly from Appendix E, apply specifically to the § 37.129(a) origin-to-destination service requirement:

*Snow and Ice.* Except in extreme conditions that rise to the level of a direct threat to the driver or others, a passenger's request for a paratransit driver to walk over a pathway that has not been fully cleared of snow and ice should be granted so that the driver can help the passenger with a disability navigate the pathway. For example, ambulatory blind passengers often have difficulty in icy conditions, and allowing the passenger to take the driver's arm will increase both the speed and safety of the passenger's walk from the door to the vehicle.

*Pick Up and Drop Off Locations with Multiple Entrances.* A paratransit rider's request to be picked up at home, but not at the front door of his or her home, should be granted, as long as the requested pickup location does not pose a direct threat. Similarly, in the case of frequently visited public places with multiple entrances (e.g., shopping malls, employment centers, schools, hospitals, airports), the paratransit operator should pick up and drop off the passenger at the entrance requested by the passenger, rather than meet them in a location that has been predetermined by the transportation agency, again assuming that doing so does not involve a direct threat.

*Private Property.* Paratransit passengers may sometimes seek to be picked up on private property (e.g., in a gated community or parking lot, mobile home community, business or government facility where vehicle access requires authorized passage through a security barrier). Even if the paratransit operator does not generally have a policy of picking up passengers on such private property, the paratransit operator should make every reasonable effort to gain access to such an area (e.g., work with the passenger to get the permission of the property owner to permit access for the paratransit vehicle). The paratransit operator is not required to violate the law or lawful access restrictions to meet the passenger's requests.

*Opening Building Doors.* For paratransit services, a passenger's request for the driver to open an exterior entry door to a building to provide boarding and/or alighting assistance to a passenger with a disability should generally be granted as long as providing this assistance would not pose a direct threat, or leave the vehicle unattended or out of visual observation for a lengthy period of time.<sup>1</sup>

*Hard-to-Maneuver Stops.* A passenger may request that a paratransit vehicle navigate to a pickup point to which it is difficult to maneuver a vehicle. A passenger's request to be picked up in a location that is difficult, but not impossible or impracticable, to access should generally be granted as long as picking up the passenger does not expose the vehicle to hazards that pose a direct threat (e.g., it is unsafe for the vehicle and its occupants to get to the pickup point without getting stuck or running off the road).

*Navigating an Incline or Around Obstacles.* A paratransit passenger's request for a driver to help him or her navigate an incline (e.g., a driveway or sidewalk) with the passenger's wheeled device should generally be granted. Likewise, assistance in traversing a difficult sidewalk (e.g., one where tree roots have made the sidewalk impassible for a wheelchair) should generally be granted, as should assistance around obstacles (e.g., snowdrifts, construction areas) between the vehicle and a door to a passenger's house or destination should generally be granted. These modifications would be granted subject, of course, to the proviso that such assistance would not cause a direct threat, or leave the vehicle unattended or out of visual observation for a lengthy period of time.

*Extreme Weather Assistance.* A passenger's request to be assisted from his or her door to a vehicle during extreme weather conditions should generally be granted so long as the driver leaving the vehicle to assist would not pose a direct threat, or leave the vehicle unattended or out of visual observation for a lengthy period of time. For example, in extreme weather (e.g., very windy or stormy conditions), a person who is blind or vision-impaired or a frail elderly person may have difficulty safely moving to and from a building.

*Unattended Passengers.* Where a passenger's request for assistance means that the driver will need to leave passengers aboard a vehicle unattended, transportation agencies should generally grant the request as long as accommodating the request would not leave the vehicle unattended or out of visual observation for a lengthy period of time, both of which could involve direct threats to the health or safety of the unattended passengers. It is important to keep in mind that, just as a driver is not required to act as a PCA for a passenger making a request for assistance, so a driver

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<sup>1</sup> Please see guidance issued on this topic. U.S. Department of Transportation, Origin-to-Destination Service, September 1, 2005, available at [http://www.fta.dot.gov/12325\\_3891.html](http://www.fta.dot.gov/12325_3891.html) (explaining that, "the Department does not view transit providers' obligations as extending to the provision of personal services... Nor would drivers, for lengthy periods of time, have to leave their vehicles unattended or lose the ability to keep their vehicles under visual observation, or take actions that would be clearly unsafe ...").

is not intended to act as a PCA for other passengers in the vehicle, such that he or she must remain in their physical presence at all times.

### Ensuring Origin-to-Destination Service When Transfers Are Required

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If different service providers or contractors operate a transit agency's complementary paratransit service with service divided into specific geographical areas, the agency is responsible for ensuring riders are able to travel from any point within its service area to any other point in its service area in a manner comparable with its fixed route service.

Transit agencies may meet the § 37.129(a) requirement by providing the trip in one vehicle or may establish transfer points within their complementary paratransit service area for efficiency or convenience. If an agency requires riders to transfer between two vehicles to complete the complementary paratransit trip within that agency's jurisdiction, then the agency is required to have an employee (driver or other individual) wait with any riders who cannot be left unattended. Not doing so would require the rider to travel with an attendant in order to travel safely, which would violate the [§ 37.5\(e\)](#) prohibition against requiring an individual with disabilities to be accompanied by an attendant. (See Circular Section 2.2.5.)

The requirement for attended transfers does not apply when an agency is dropping off a rider to be picked up by another provider to be taken outside the agency's jurisdiction.

### 8.3.2 Feeder Service

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#### Requirement

"Complementary paratransit service for ADA paratransit eligible persons described in § 37.123(e)(2) of [Part 37] may also be provided by on-call bus service or paratransit feeder service to an accessible fixed route, where such service enables the individual to use the fixed route bus system for his or her trip" ([§ 37.129\(b\)](#)).

"Complementary paratransit service for ADA eligible persons described in § 37.123(e)(3) of [Part 37] also may be provided by paratransit feeder service to and/or from an accessible fixed route" ([§ 37.129\(c\)](#)).

#### Discussion

The regulations permit transit agencies to use "feeder service" to transport certain complementary paratransit riders to and from the fixed route services. This includes using complementary paratransit to take individuals to bus stops if there are barriers in the pedestrian environment that prevent them from getting to stops or stations. It also includes taking individuals to nearby accessible stops or stations if the ones closest to them are not accessible.

Feeder service is a service-delivery option, not a type of eligibility. For individuals who can navigate the fixed route system and can use feeder service, a conditional eligibility determination would be appropriate for applicable trips. Appropriately placed conditions on an individual's eligibility identify the specific barriers that prevent use of fixed route service. When these conditions are present, transit agencies can then consider whether feeder service to access fixed route service is an appropriate option for particular trips.

Such an approach may involve evaluating individual riders and their trip requests to determine when feeder service is appropriate. Important considerations in evaluating whether using feeder service is appropriate for a particular trip include:

- Rider's functional abilities – A rider's functional abilities to independently complete the fixed route portion of the trip, based on the current assessment of the rider, must be confirmed.

- The total length of the trip – Providing feeder service for a very short trip can result in total travel time that could become a capacity constraint, i.e., excessive in length when compared to a comparable fixed route trip. (See Circular Section 8.5.5.)
- Distance between the alighting stop on the fixed route and the destination – As discussed in [Appendix D](#) to § 37.129,  
Given the more complicated logistics of such arrangements, and the potential for a mistake that would seriously inconvenience the passenger, the transit provider should consider carefully whether such a “double feeder” system, while permissible, is truly workable in its system (as opposed to a simpler system that used feeder service only at one end of a trip when the bus let the person off at a place from which he or she could independently get to the destination). There may be some situations in which origin to destination service is easier and less expensive.
- The headways of the fixed route service – Attempting feeder service with a route that runs infrequently could lead to an excessively long trip if the planned connection is missed.
- Amenities at the transfer point – If a rider may have to wait at the station or stop, it is important that the facility have a bench and/or shelter. Access to a telephone (or staff who can make a call) may also be important if the rider needs to contact the paratransit dispatch center about a connection issue.

## 8.4 Complementary Paratransit Service Criteria

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Comparability is defined and measured by the following characteristics:

- Hours and days of service (§ 37.131(e))
- Service area (§ 37.131(a))
- Response time (trip reservations) (§ 37.131(b))
- Fares (§ 37.131(c))
- Operating without regard to trip purpose (§ 37.131(d))
- Absence of capacity constraints (§ 37.131(f))

The regulations discussed in this section establish minimum levels of service. Transit agencies may set policies and performance standards that exceed these minimum service levels. (See Circular Section 8.7.) The discussion below explains each of the service characteristics and provides guidance on ensuring the related requirements are met.

### 8.4.1 Hours and Days of Service

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#### Requirement

“The complementary paratransit service shall be available throughout the same hours and days as the entity’s fixed route service” ([§ 37.131\(e\)](#)).

#### Discussion

As discussed in [Appendix D](#) to § 37.131,

This criterion says simply that if a person can travel to a given destination using a given fixed route at a given time of day, an ADA paratransit eligible person must be able to travel to that same destination on paratransit at that time of day. This criterion recognizes that the shape of the service area can change.

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## Setting Hours and Days of Service

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If riders can take a particular trip between two points on an agency's fixed route system at a specific time of day, § 37.131(e) requires the same trip to be available on complementary paratransit. A transit agency's complementary paratransit service area, therefore, may change by time of day and day of week when certain fixed routes are not in service. The service area may also expand and contract as individual bus routes or rail lines begin and end operation each day.

An agency that runs a bus route from 5 a.m. until 9 p.m., for example, must provide complementary paratransit service, at minimum, from 5 a.m. until 9 p.m. corresponding to that route. A rider's pickup time for paratransit is also dictated by the fixed route hours. For example, if the earliest time a rider could depart from a particular fixed route stop is at 6:45 a.m., comparable paratransit trips could be provided starting at 6:45 a.m. (subject to the requirement to negotiate pickup times under [§ 37.131\(b\)\(2\)](#)). (See Circular Section 8.4.5.)

If a transit agency runs fixed route service on weekends and holidays it must provide complementary paratransit on those days as well.

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## End of Service Day Considerations

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To ensure that complementary paratransit drivers can complete their drop-offs no later than the latest fixed route drop-off, establishing latest-available return-trip pickup times that reflect the likely travel times for requested trips is appropriate. For example, to ensure that the last drop-offs for complementary paratransit coincide with a last fixed route drop-off time of 10 p.m., transit agencies might limit the latest paratransit return-trip pickup times to 9:30 p.m. This would provide sufficient travel time (assuming the estimated trip time is approximately 30 minutes) to complete the last drop-off by 10 p.m.

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## Flexibility in Setting Service Hours

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For simplicity of operations, many transit agencies choose to not be overly precise in setting complementary paratransit service hours. Instead of taking a route-by-route approach and having dynamically changing service areas throughout the day and week, many agencies provide complementary paratransit throughout the overall service area whenever one or more fixed routes are operating. Others expand and contract their service areas more broadly by time of day and day of week, as follows:

- Service areas for weekday daytime
- Service areas for weekday nighttime
- Service areas for Saturday
- Service areas for Sunday

Weekday daytime service areas are typically the largest and Sunday service areas are typically the smallest. Such arrangements are appropriate as long as each of the service areas encompass all locations within 3/4 mile of all bus routes and rail stations that are in service during that time of day or day of week, and transit agencies provide service throughout such service areas from the time the earliest routes begin service until the last routes end. For example, if a weekday nighttime service area were generalized as between 7 p.m. and 11 p.m., then no fixed routes would operate past 11 p.m. on weekday evenings.

## 8.4.2 Service Area – Fixed Route Bus

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### Requirement

“*Service Area—(1) Bus.* (i) The entity shall provide complementary paratransit service to origins and destinations within corridors with a width of three-fourths of a mile on each side of each fixed route. The corridor shall include an area with a three-fourths of a mile radius at the ends of each fixed route.

(ii) Within the core service area, the entity also shall provide service to small areas not inside any of the corridors but which are surrounded by corridors.

(iii) Outside the core service area, the entity may designate corridors with widths from three-fourths of a mile up to one and one half miles on each side of a fixed route, based on local circumstances.

(iv) For purposes of this paragraph, the core service area is that area in which corridors with a width of three-fourths of a mile on each side of each fixed route merge together such that, with few and small exceptions, all origins and destinations within the area would be served” (§ 37.131(a)).

### Discussion

FTA considers the 3/4-mile requirement as a straight-line distance (“as the crow flies” for bus service). In addition to meeting the requirement to provide service within 3/4 mile of each side of each fixed route and a 3/4-mile radius of the ends of each fixed route, this requirement obligates transit agencies to also provide service throughout a “core service area.” This refers to the portion of agencies’ service areas where many bus routes intersect and/or overlap so that their respective 3/4-mile corridors cover virtually all destinations. For smaller agencies, the core service areas are usually downtown districts served by multiple bus routes. For larger agencies, the core service areas may encompass entire downtowns or suburban activity centers. Inside the fixed route bus core service areas, § 37.131(a)(1)(ii) requires the complementary paratransit service to also include any small areas not inside any of the corridors but which are surrounded by corridors.

“Core service area” is further explained in [Appendix D](#) to § 37.131:

Another concept involved in this service criterion is the core service area. Imagine a bus route map of a typical city. Color the bus routes and their corridors blue, against the white outline map. In the densely populated areas of the city, the routes (which, with their corridors attached, cut 1 1/2 mile swaths) merge together into a solid blue mass. There are few, if any, white spots left uncovered, and they are likely to be very small. Paratransit would serve all origins and destinations in the solid blue mass.

But what of the little white spots surrounded by various bus corridors? Because it would make [no] sense to avoid providing service to such small isolated areas, the rule requires paratransit service there as well. So color them in too.

Figure 8-1 illustrates a delineated service area with a core service area included.

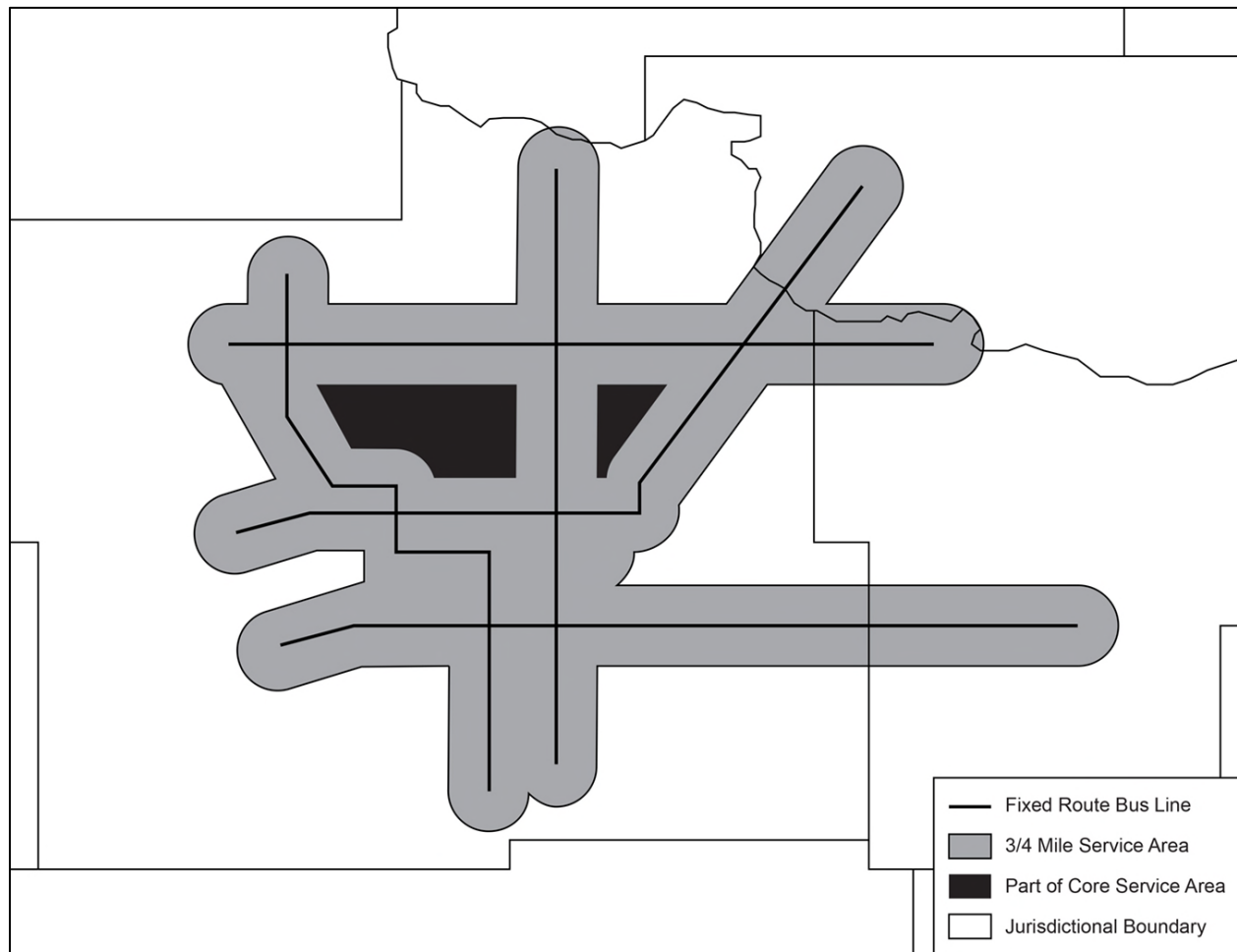


Figure 8-1 – Bus Route Service Area

For purposes of determining the complementary paratransit service area for bus rapid transit (BRT) service, BRT is considered as a fixed route bus service and the above requirements apply.

### 8.4.3 Service Area – Rail

#### Requirement

“Rail. (i) For rail systems, the service area shall consist of a circle with a radius of 3/4 of a mile around each station.

(ii) At end stations and other stations in outlying areas, the entity may designate circles with radii of up to 1 1/2 miles as part of its service area, based on local circumstances” ([§ 37.131\(a\)\(2\)](#)).

#### Discussion

The minimum rail service area for complementary paratransit—excluding commuter and intercity rail, which are exempt from the requirement—is defined as circles of 3/4-mile radius from the center of each station, as shown in Figure 8-2. FTA considers the 3/4-mile requirement as a straight-line distance (a radius around rail stations or “air miles”). This requirement obligates transit agencies to provide complementary paratransit trips from any point within one station circle to any point within the station

circle of another station (e.g., from point 1 to point 2 in Figure 8-2), but not between two points within the same station circle (e.g., from point 3 to point 4 or from point 5 to point 6 in Figure 8-2).

[Appendix D](#) to § 37.131 provides the following explanation of service area around rail stations:

Around each station on the line (whether or not a key station), the entity would draw a circle with a radius of 3/4 mile. Some circles may touch or overlap. The series of circles is the rail system's service area. (We recognize that, in systems where stations are close together, this could result in a service area that approached being a corridor like that of a bus line.) The rail system would provide paratransit service from any point in one circle to any point in any other circle. The entity would not have to provide service to two points within the same circle, since a trip between two points in the vicinity of the same station is not a trip that typically would be taken by train. Nor would the entity have to provide service to spaces between the circles.

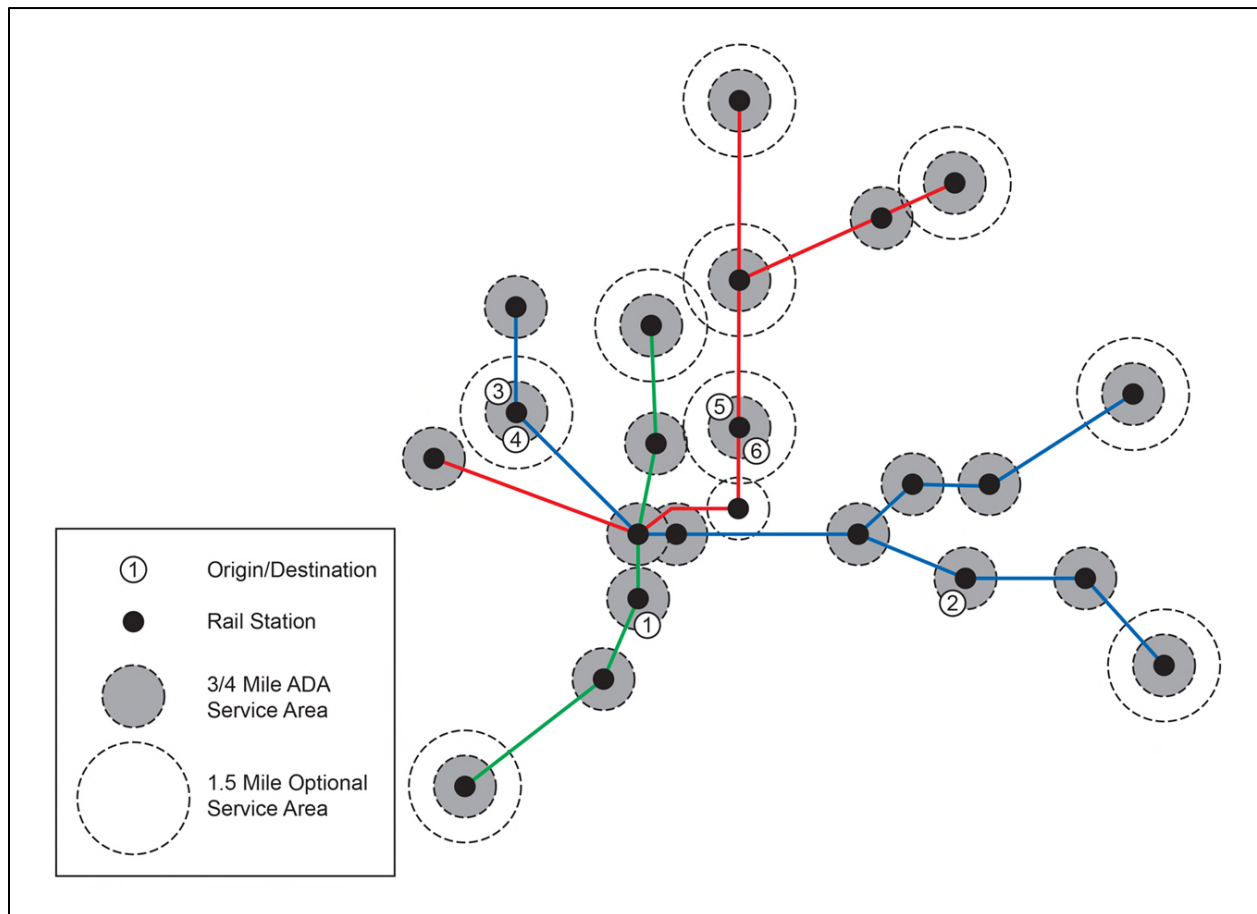


Figure 8-2 – Rail Station Service Area

#### 8.4.4 Jurisdictional Boundaries and Restricted Properties

##### Requirement

“Notwithstanding any other provision of this paragraph, an entity is not required to provide paratransit service in an area outside the boundaries of the jurisdiction(s) in which it operates, if the entity does not have legal authority to operate in that area. The entity shall take all practicable steps to provide paratransit service to any part of its service area” ([§ 37.131\(a\)\(3\)](#)).

## Discussion

The service areas encompass all points within the 3/4-mile range; where service areas extend beyond political boundaries of a transit agency's jurisdiction, this requirement obligates the agency to provide service to and from such points, except when legal prohibitions prevent service, as discussed below.

For example, "Transit Agency X" provides bus and rail service within 3/4 mile of the border with another state or county, but its vehicles do not have the legal authority to operate across the border. In this situation, § 37.131(a)(3) does not obligate the agency to provide complementary paratransit service in the neighboring state or county, even to locations within 3/4 mile of one of its fixed route services operating near the border. However, political boundaries alone do not constitute legal bars. Similarly, transit agency jurisdictional boundaries and taxing jurisdictions do not by themselves constitute legal bars.

As discussed in [Appendix D](#) to § 37.131,

There may be a part of the service area where part of one of the corridors overlaps a political boundary, resulting in a requirement to serve origins and destinations in a neighboring jurisdiction which the entity lacks legal authority to service. The entity is not required to serve such origins and destinations, even though the area on the other side of the political boundary is within a corridor. This exception to the service area criterion does not automatically apply whenever there is a political boundary, only when there is a legal bar to the entity providing service on the other side of the boundary.

The rule requires, in this situation, that the entity take all practicable steps to get around the problem so that it can provide service throughout its service area. The entity should work with the state or local governments involved, via coordination plans, reciprocity agreements, memoranda of understanding or other means to prevent political boundaries from becoming barriers to the travel of individuals with disabilities.

## Access to Private or Restricted Properties

[Appendix E](#) to Part 37 (Reasonable Modification Requests) includes the following example with respect to service to restricted properties:

*Private Property.* Paratransit passengers may sometimes seek to be picked up on private property (e.g., in a gated community or parking lot, mobile home community, business or government facility where vehicle access requires authorized passage through a security barrier). Even if the paratransit operator does not generally have a policy of picking up passengers on such private property, the paratransit operator should make every reasonable effort to gain access to such an area (e.g., work with the passenger to get the permission of the property owner to permit access for the paratransit vehicle). The paratransit operator is not required to violate the law or lawful access restrictions to meet the passenger's requests. A public or private entity that unreasonably denies access to a paratransit vehicle may be subject to a complaint to the U.S. Department of Justice or U.S. Department of Housing and Urban Development for discriminating against services for persons with disabilities.

## 8.4.5 Trip Reservations and Response Time

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### Requirement

“The entity shall schedule and provide paratransit service to any ADA paratransit eligible person at any requested time on a particular day in response to a request for service made the previous day.

Reservations may be taken by reservation agents or by mechanical means.

(1) The entity shall make reservation service available during at least all normal business hours of the entity’s administrative offices, as well as during times, comparable to normal business hours, on a day when the entity’s offices are not open before a service day.

(2) The entity may negotiate pickup times with the individual, but the entity shall not require an ADA paratransit eligible individual to schedule a trip to begin more than one hour before or after the individual’s desired departure time.

(3) The entity may use real-time scheduling in providing complementary paratransit service.

(4) The entity may permit advance reservations to be made up to 14 days in advance of an ADA paratransit eligible individual’s desired trips. When an entity proposes to change its reservations system, it shall comply with the public participation requirements equivalent to those of § 37.137 (b) and (c)”

[\(§ 37.131\(b\)\).](#)

### Discussion

These requirements cover a transit agency’s obligations to receive and negotiate complementary paratransit trip requests, and to confirm the pickup times, all of which are critical elements of scheduling paratransit service. The following discussion explains how to apply these response time requirements and presents optional good practices in trip scheduling.

### Next-Day Service

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For any day that a transit agency operates complementary paratransit, § 37.131(b) obligates it to allow individuals to reserve trips on the day before. For example, individuals can request a Wednesday trip by calling during normal business hours on Tuesday. Agencies may not require customers to reserve trips 24 hours in advance, a policy that [Appendix D](#) to § 37.131 describes as “inadequate.”

Transit agencies must also ensure that customers can reserve trips on a next-day basis even when the administrative office is closed and fixed route may not be running (e.g., on holidays). As discussed in [Appendix D](#) to § 37.131, “on days prior to a service day on which the administrative offices are not open at all (e.g., a Sunday prior to a Monday service day), the reservation service would also be open 9 to 5.” As explained below and in Appendix D, agencies may use voicemail to accept these reservations.

If a transit agency’s normal business hours for its administrative offices are 8 a.m. to 5 p.m. from Monday to Friday and it operates service Monday through Sunday, § 37.131(b) requires the agency—whether with reservation staff or other staff (e.g., dispatch)—to accept trip requests from 8 a.m. to 5 p.m. Sunday through Saturday.

Further, § 37.131(b) requires agencies to permit callers who request trips during these hours to be able to reserve trips for any time during the next service day. If an agency operates service past midnight—or operates service 24 hours a day—this also means allowing callers to call during normal business hours (i.e., during administrative office hours) the day before the trip to request a trip at any time the next day, including a trip that would begin just after midnight.

As noted in § 37.131(b)(4), while next-day service is the base requirement, agencies have the option to adopt a policy permitting advance reservations up to 14 days before a rider’s desired trip. If an agency adopts such a policy (e.g., allowing reservations 7 days before a desired trip) and later decides it wants to

change the advance reservation policy (e.g., scaling back the number of days to 3), it must follow the specific public participation requirements outlined in § 37.137 (b) and (c).

### Use of Voicemail for Trip Reservations

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Section 37.131(b) permits the use of “mechanical means” (e.g., voicemail) to accept trip requests, but doing so may affect a transit agency’s ability to negotiate the pickup time with the rider. Most larger agencies with high call volumes on all days have made arrangements to have staff available to accept trip requests every day, including on holidays. Some smaller agencies use voicemail for trip requests when the complementary paratransit office is closed and few calls are made (e.g., Sundays and holidays).

When a transit agency uses voicemail to accept trip requests, meeting the § 37.131(b) requirements means honoring all valid trip requests, i.e., providing the requested trips just as if the callers had spoken to a reservationist. For example, a caller who reaches an agency’s voicemail on a Monday holiday and requests a trip for Tuesday at 9 a.m. can expect the agency to provide the requested trip on Tuesday at 9 a.m. in a manner consistent with the agency’s operating policies (i.e., the on-time or pickup window, discussed below). In this example, if the agency finds it necessary to negotiate the pickup time or window, any call back must be made within a reasonable amount of time from the rider’s message. If the eligible rider cannot be reached, the agency is required to provide the trip at the time requested. Determining the amount of time that is reasonable for a customer to have to wait for the call back is a local decision to be made in consultation with the community served.

### Negotiating a Pickup Time with the Rider

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Per § 37.131(b)(2), while a transit agency may negotiate pickup times with the individual, it may not require an ADA paratransit eligible individual to schedule a trip to begin more than 1 hour before or after the individual’s desired departure time. For example, if a rider requests a trip with a 9 a.m. pickup time, the regulations permit the agency to offer a pickup time between 8 a.m. and 10 a.m.

This negotiation window, however, is subject to the rider’s practical travel needs. A true negotiation considers the rider’s time constraints. While some trips have inherent flexibility (e.g., shopping or recreation), other trips have constraints with respect to when they can begin (e.g., not before the end of the individual’s workday or not until after an appointment is over). For example, a rider may end his or her workday at 4 p.m. and request a 4 p.m. pickup. While § 37.131(b)(2) permits the agency to offer a pickup an hour before the requested time, doing so is not appropriate because the rider would still be working. In such instances, offering a pickup any time between 4 p.m. and 5 p.m. would be appropriate and consistent with the negotiation requirement.

Some transit agencies accept trip requests and do not create run schedules until the evening before the day of service when all requests have been received (commonly called batch scheduling with call-backs). In these instances, call-backs are typically made the evening before the day of service to inform riders of the exact scheduled time. Agencies that use this method of scheduling must have procedures that allow riders to negotiate the times offered consistent with § 37.131(b)(2).

### Pickup Windows

For practical purposes, FTA permits transit agencies to establish a reasonable “window” around the negotiated pickup time during which the vehicle may arrive and still be regarded as “on time,” to account for day-to-day variability in the operation of complementary paratransit. (See Circular Section 8.5.3.) Most agencies use pickup windows, which are typically 20–30 minutes in length and are also known as on-time windows. Some agencies place the full window after negotiated times, while others “bracket” windows around negotiated times (e.g., -15/+15 window). Either approach is allowable.

FTA considers pickup windows longer than 30 minutes in total to be unacceptable, because they require riders to wait an unreasonably long time for service.

An optional good practice when confirming trips during reservation calls is to restate the beginning and end of the pickup window instead of just the negotiated time. This step reminds riders to be ready throughout the window. For example, for a caller with a negotiated 9 a.m. pickup, a transit agency using a -15/+15 window would confirm the trip as follows: “We are confirming your trip from (origin) to (destination) on (date). The driver will arrive any time between 8:45 a.m. and 9:15 a.m.” instead of saying, “Your pickup is at 9 a.m.” This reinforces with the rider the concept that vehicles may arrive at any time during the window.

### Changing the Negotiated Pickup Time

Once a transit agency communicates the agreed-upon pickup time (and ideally the pickup window) with the rider, the negotiation is complete. Any changes in estimated times of arrival (ETAs) within the pickup window represent internal scheduling adjustments and require no further communication with the rider. The agency may make changes that affect the ETA, such as adding another shared-ride to the same run, but only within the agreed-upon pickup window. In other words, if a passenger agreed upon a 1 p.m. pickup time, and the pickup window is -15/+15 minutes, the vehicle could arrive as early as 12:45 p.m. or as late as 1:15 p.m. The agency may make changes to the associated run schedule on which the trip has been placed that move the ETA within that 30-minute window, but may not make changes to the negotiated trip time that cause the trip’s pickup window to change. In other words, the ETA may move to 1:10 p.m. as a result of changes to the run on which the trip was placed, but the negotiated time remains 1 p.m. and the pickup window—the time during which the rider has already been told the vehicle will arrive—remains 12:45–1:15 p.m.

However, if during the scheduling process it becomes necessary to change the pickup time enough to shift the pickup window forward or backward, the transit agency is obligated to renegotiate the pickup time with the rider. Meeting the § 37.131(b) response time requirement means conducting such renegotiations with the rider no later than the day before the scheduled travel day. Although there is no specific time by which an agency is obligated to contact the rider, FTA recommends doing so at a reasonable time up to the evening before the trip and to publicize such practices in rider guides and on websites. Agencies that have this practice generally place the calls to riders by 7 p.m. of the evening before the trip. Scheduling practices that routinely fail to protect the pickup window indicate a capacity constraint, which is prohibited.

Any negotiations are subject to rider acceptance; if the rider refuses, the agency is obligated to provide the trip as previously negotiated. Furthermore, if the agency cannot reach the rider, the agency is obligated to provide the trip as previously negotiated to avoid an agency missed trip or an inappropriately charged no-show penalty to the rider.

### Trip Requests with Appointment Times

While the regulations use the phrase “desired departure time,” riders are not always in a position to identify on their own or agree to an appropriate pickup time that will meet their time constraints. Certain trips are appointment driven (e.g., medical appointments, work events, and concerts), where arriving at a specific time is especially important. The desired departure time for riders in these cases becomes whatever time will get them to their destination on time. Transit agencies are in the best position to estimate how long a particular trip will take, considering factors such as how many other passengers will be on the vehicle and their destinations. On fixed route, most people check the schedule to see when the bus gets to the stop near their destination and work backwards to determine when they need to be at the bus stop to catch that particular bus. This level of precision is not always possible on complementary paratransit.

A discussion of the rider’s need to arrive on time for an appointment, therefore, will sometimes be part of the negotiation between the transit agency and the rider during the trip scheduling process. For example, a

rider may say, “I need to be at my doctor’s office for a 10 a.m. appointment.” In response, it would be appropriate for the agency to offer a pickup time based on expected travel time and service characteristics that lead to a drop-off time at or before 10 a.m. An agency’s negotiation and scheduling process must account for the fact that, for some riders taking some trips, arrival time is more important than departure time, and allow those riders to request either a desired pickup time or a desired drop-off time. “Going” trips with appointments are then scheduled to the stated appointment times while “return” trips are scheduled to the desired pickup time. For trips with requested drop-off times, this means scheduling the trips so that the riders will arrive at or before the requested time.

This does not mean, however, that the transit agency has to allow riders to also specify the pickup times for these trips. In short, when scheduling by appointment time, a rider may request either a pickup time or a drop-off time for a given trip, but not both.

Transit agencies have an implicit obligation to get riders to appointments on time (not late) and an explicit obligation to monitor performance to ensure that complementary paratransit service is operated without any operational pattern or practice that significantly limits the availability of service to ADA paratransit eligible persons. If trip reservation procedures and subsequent poor service performance cause riders to arrive late at appointments and riders are discouraged from using the service as a result, this would constitute a capacity constraint. (See Circular Section 8.5.6.)

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### Will-Call Trip Requests and No-Strand Policies

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As a service to riders who may not be able to predict their desired pickup time for return trips—often due to medical appointments—some transit agencies permit complementary paratransit riders to leave their exact pickup time for their return trips open (i.e., “will-call”). When riders know the time they will be ready for pickup, they contact the agency, which then dispatches a vehicle. Because will-call service is optional, agencies may apply trip purpose restrictions (e.g., limiting will-call availability to medical appointments) and charge higher fares.

In addition, a number of transit agencies have a “no strand” policy, to ensure a rider is not left stranded when he or she misses a scheduled pickup for any reason. Under this optional policy, the agency provides a return trip later than a previously scheduled return trip (but typically within regular service hours).

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## 8.4.6 Fares

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### Requirement

“The fare for a trip charged to an ADA paratransit eligible user of the complementary paratransit service shall not exceed twice the fare that would be charged to an individual paying full fare (i.e., without regard to discounts) for a trip of similar length, at a similar time of day, on the entity’s fixed route system.

(1) In calculating the full fare that would be paid by an individual using the fixed route system, the entity may include transfer and premium charges applicable to a trip of similar length, at a similar time of day, on the fixed route system.

(2) The fares for individuals accompanying ADA paratransit eligible individuals, who are provided service under § 37.123(f) of [Part 37], shall be the same as for the ADA paratransit eligible individuals they are accompanying.

(3) A personal care attendant shall not be charged for complementary paratransit service.

(4) The entity may charge a fare higher than otherwise permitted by this paragraph to a social service agency or other organization for agency trips (i.e., trips guaranteed to the organization)” ([§ 37.131\(c\)](#)).

## Discussion

Under § 37.131(c), the fare for a trip charged to an ADA paratransit eligible rider cannot exceed twice the fare that would be charged to an individual paying full fare (i.e., without regard for discounts) for a similar trip on the agency's fixed route system. The question then becomes what is a "similar trip" on fixed route. [Appendix D](#) to § 37.131 explains:

To calculate the proper paratransit fare, the entity would determine the route(s) that an individual would take to get from his or her origin to his or her destination on the fixed route system. At the time of day the person was traveling, what is the fare for that trip on those routes? Applicable charges like transfer fees or premium service charges may be added to the amount, but discounts (e.g., the half-fare discount for off-peak fixed route travel by elderly and handicapped persons) would not be subtracted. The transit provider could charge up to twice the resulting amount for the paratransit trip . . .

The system operates the same regardless of whether the paratransit trip is being provided in place of a bus or a rail trip the user cannot make on the fixed route system.

FTA has found that monthly passes (e.g., those providing unlimited rides) on fixed route are considered "discounts," which are not used to calculate the maximum complementary paratransit fare.

Transit agencies may determine locally whether to apply a flat fare or a varied fare for paratransit. For agencies with fare structures that vary by time of day or by distance, the § 37.131(c) maximum complementary paratransit fare provisions permit agencies to charge up to twice the fixed route fare. For simplicity and ease of administering fare policies, some agencies charge a flat fare for all complementary paratransit trips regardless of the time of day or distance travelled. In such instances, however, the flat fare cannot exceed twice the lowest non-discounted fixed route fare; otherwise, the complementary paratransit fare for the shortest trips and/or those during off-peak times would not meet the § 37.131(c) provisions. For example, if an agency's fixed route fare ranges from \$1.50 to \$3.50 (with some trips costing \$2.50), charging up to \$3, \$5, and \$7, respectively, for comparable paratransit trips is appropriate. However, if the agency charges a flat complementary paratransit fare, then the fare cannot exceed \$3.

## Determining Fares Where Multiple Fixed Route Paths Exist

[Appendix D](#) to § 37.131 discusses instances where fixed route riders can make trips between two points using different routes:

Where bus and rail systems are run by the same provider (or where the same bus provider runs parallel local and express buses along the same route), the comparison would be made to the mode on which a typical fixed route user would make the particular trip, based on schedule, length, convenience, avoidance of transfers, etc.

This situation is most common for transit agencies that operate both rail and bus service or operate routes with limited stops (not commuter bus) and local bus service, when there may be origin-destination pairs served by a combination of bus-only, bus-rail, and rail-only itineraries. For example, in a hypothetical large metropolitan system, fixed route riders might have alternative routing options via bus or via rapid rail that connect two points. During peak periods, the bus option is less costly (approximately \$2) and requires a transfer. Because the bus is operating in traffic and the trip requires a transfer, it takes 50 minutes to complete. The rail trip, which requires no transfer, costs approximately \$4.50, but takes half the time. In setting the fare for the complementary paratransit trip, this means considering which trip typical riders would make. In such instances, FTA recommends documenting in detail the methodology used for determining the fare for these types of trips.

Services provided by commuter bus or rail systems, which are not subject to complementary paratransit requirements, and services provided by other entities are not part of the basis for calculating comparable complementary paratransit fares.

### Free-Fare Zones

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Some transit agencies offer free trips on their fixed route system within a specific geographic area or on a specific route or set of routes. In cases where complementary paratransit riders are traveling between origins and destinations that are both within 3/4 mile of a zero-fare route, and the typical fixed route user would make use of this zero-fare route to make a comparable trip, applying the § 37.131(c) maximum fare provisions means the complementary paratransit fare for this trip is also zero. FTA recommends that agencies with free-fare zones that wish to determine whether a typical fixed route user would in fact take advantage of the free-fare option compare the following elements in their analysis:

- Regular fixed route fare (outside of free-fare zone)
- Frequency of the free service versus alternative service
- Need for transfers on the free versus alternative service
- Walking distances to and from the free service versus the alternative

Such an analysis would demonstrate that fixed route riders might walk to the nearest boarding point in the free-fare zone instead of boarding the nearest fixed route vehicle and transferring to the free-fare service. It might also demonstrate that individuals crossing the free-fare zone will typically use the regular fixed route system, while individuals traveling between points along the free-fare zone are more likely to use the free-fare service. This analysis would enable a transit agency to determine whether it may charge a fare for a given complementary paratransit trip from origins to destinations that are both within 3/4 mile of the free-fare zone.

In some cities, other entities such as downtown business districts or convention authorities assume the responsibility for paying the fixed route fare on a specific route or within a designated zone. Since from the perspective of the passenger, the fare is free, complementary paratransit fares within the designated zone would also be free, subject to the analysis outlined above. Therefore, FTA encourages transit agencies to consider including a requirement that the other entity also pay for complementary paratransit in any such arrangements they make.

### Fares for Personal Care Attendants and Companions

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When a personal care attendant (PCA) accompanies a complementary paratransit rider, the PCA must not be charged a fare. Transit agencies may charge a companion rider the same fare they charge the complementary paratransit rider, but a PCA must ride fare free. (See Circular Section 9.8.) The requirement for agencies to transport PCAs without charging a fare only applies to complementary paratransit and not to fixed route or general public demand responsive services.

### Negotiated Fares for Agency Trips

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Social service agencies and other organizations often have responsibilities for client transportation, and some of their clients may be ADA paratransit eligible. FTA encourages transit agencies and social service agencies to enter into coordinated service arrangements for these trips in such arrangements. Social service agencies often pay transit agencies for providing their clients with guaranteed rides to their programs. When providing agency trips, § 37.131(c)(4) states that “the entity may charge a fare higher than otherwise permitted by this paragraph to a social service agency or other organization for agency trips (i.e., trips guaranteed to the organization).” In other words, the negotiated reimbursement is not subject to the maximum complementary paratransit fare of twice the fixed route fare.

[Appendix D](#) to § 37.131 provides the following example:

If an agency wants 12 slots for a trip to the mall on Saturday for clients with disabilities, the agency makes the reservation for the trips in its name, the agency will be paying for the transportation, and the trips are reserved to the agency, for whichever 12 people the agency designates, the provider may then negotiate any price it can with the agency for the trips.

Agency trips may also include services that exceed the complementary paratransit requirements, including dictated rather than negotiated pickup times, direct travel between origins and destinations with no intervening pickups or drop-offs, service to and from points outside of the complementary paratransit service area, or service to individuals who are not ADA paratransit eligible.

When complementary paratransit riders travel to or from a social service agency or a program, such trips are not necessarily “agency trips” unless these trips are prearranged and funded as agency trips. Similarly, the fact that a social service agency employee assists a rider in making a trip reservation does not make the trip an agency trip. Appendix D also states:

We distinguish this situation from one in which an agency employee, as a service, calls and makes an individual reservation in the name of a client, where the client will be paying for the transportation.

## 8.4.7 Operating Without Regard to Trip Purpose

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### Requirement

“The entity shall not impose restrictions or priorities based on trip purpose” ([§ 37.131\(d\)](#)).

### Discussion

Just as individuals may ride a fixed route service for any purpose, complementary paratransit riders can also ride the complementary paratransit system for any purpose. Prioritizing one type of trip (e.g., work trips) over another (e.g., shopping trips) in the final scheduling and dispatching processes is prohibited.

As discussed in [Appendix D](#) § 37.131,

This is a simple and straightforward requirement. There can be no restrictions or priorities based on trip purpose in a comparable complementary paratransit system. When a user reserves a trip, the entity will need to know the origin, destination, time of travel, and how many people are traveling. The entity does not need to know why the person is traveling, and should not even ask.

The regulations permit a transit agency to set limitations based on trip purpose for any services it provides beyond the requirements. For example, an agency may limit subscription service or will-call trips to certain trip purposes. (See Circular Section 8.6.)

## 8.5 Avoiding Capacity Constraints

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### Requirement

“The entity shall not limit the availability of complementary paratransit service to ADA paratransit eligible individuals by any of the following:

- (1) Restrictions on the number of trips an individual will be provided;
- (2) Waiting lists for access to the service; or

(3) Any operational pattern or practice that significantly limits the availability of service to ADA paratransit eligible persons.

(i) Such patterns or practices include, but are not limited to, the following:

(A) Substantial numbers of significantly untimely pickups for initial or return trips;

(B) Substantial numbers of trip denials or missed trips;

(C) Substantial numbers of trips with excessive trip lengths.

(ii) Operational problems attributable to causes beyond the control of the entity (including, but not limited to, weather or traffic conditions affecting all vehicular traffic that were not anticipated at the time a trip was scheduled) shall not be a basis for determining that such a pattern or practice exists” ([§ 37.131\(f\)](#)).

## Discussion

As one of the most important complementary paratransit service requirements, § 37.131(f) prohibits a transit agency from operating complementary paratransit service in a manner that significantly limits the availability of the service through a “pattern or practice” of actions, commonly referred to as capacity constraints. Operational problems outside the control of the agency do not count as part of a pattern or practice under this provision.

### 8.5.1 Prohibition Against Limiting the Number of Trips

Policies that limit the number of trips, such as “no more than four trips per day,” would violate § 37.131(f)(1). It is appropriate for a transit agency, however, to consider in-vehicle times and pickup windows of two closely spaced trips by the same riders so they do not overlap. For example, a rider might request two trips: a pickup from home to travel to a store at 10 a.m. and a pickup at that store to go to a bank at 11 a.m. If the pickup window is 0/+30 minutes and the estimated travel time from home to the store is 35 minutes, an on-time pickup at 10:30 a.m. would deliver the rider to their first destination at 11:05 a.m., after the start of the second pickup window. For this particular origin-destination pair, an agency could justify not accepting the two trip requests separated by only 60 minutes. An appropriate trip policy in this instance would require the two trip requests to be at least 90 minutes apart (to allow a small amount of time at the destination).

### 8.5.2 Prohibition Against Waiting Lists

In the context of complementary paratransit operations, some reservation practices amount to waiting lists, which are prohibited by § 37.131(f)(2). Placing callers’ names on a list when the schedules are full and informing them they will be contacted if space becomes available would constitute a prohibited waiting list. Similarly, telling callers the schedules are full and suggesting they call back at a later time to see if space becomes available would be a waiting list.

Accepting a trip request during a reservation call and scheduling the trip later internally is not the same as placing a trip request on a prohibited waiting list. It may not always be possible for an agency to identify a scheduling solution during the course of a reservations call. In these instances, as long as the call-taker accepts the trip request and confirms the requested time with the rider, this is not a waiting list. Transit agencies that use this approach refer to these trips as “confirmed but unscheduled.” (See Circular Section 8.4.5.)

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### 8.5.3 Untimely Service – Prohibited Operational Practices

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As stated in § 37.131(f)(3)(i)(A), “substantial numbers of significantly untimely pickups for initial or return trips” are considered a capacity constraint and not permitted. The regulations do not provide an explicit threshold for what constitutes a “substantial number” or define “significantly untimely.”

Timely pickups and arrivals are fundamental elements of any transportation service. Poor on-time performance for complementary paratransit, whether for pickups or drop-offs (if scheduling to appointment times), may discourage riders from using such services and may discourage other individuals with disabilities from applying to become eligible riders.

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#### Pickup Windows and Timely Service

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As discussed in Circular Section 8.4.5, many transit agencies use pickup windows to enable shared-ride scheduling and manage the daily variability of complementary paratransit service. FTA considers pickups on time as long as drivers arrive at pickup locations within these established windows. For example, for a pickup window of 9–9:30 a.m., pickups at 9:01, 9:10, or 9:30 a.m. are all considered on time.

Many agencies have established a policy requiring drivers to wait at least 5 minutes for riders to board the vehicle after arriving at the pickup address. In such cases, it is important that such policies also require drivers to wait until the *start* of the pickup window to begin a 5-minute countdown and to wait until the full 5 minutes have elapsed before departing without the rider. For example, when the pickup window begins at 11 a.m. and the vehicle arrives at 10:55 a.m., the driver would wait for the rider at least until 11:05 a.m. before departing.

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#### On-Time, Early, and Late Pickups

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When assessing the timeliness of service, it is important to distinguish among on-time, early, and late pickups, as follows:

- On time – FTA considers pickups as on time when a driver arrives at the pickup location within the established pickup window.
- Early – FTA considers pickups early if a driver arrives and departs with the rider before the established pickup window begins.
- Late – FTA considers pickups late if a driver arrives after the end of the established pickup window and the rider boards the vehicle.

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#### Assessing On-Time Performance

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To maintain good service quality, most transit agencies establish a standard for on-time pickups, such as “X percent of pickups will be on-time (i.e., within the 30-minute window) or early.” In addition, some agencies have a standard related to very early pickups, such as “no more than Y percent of pickups will be more than Z minutes before the start of the on-time window.”

In order to ensure that a pattern or practice of substantial numbers of untimely pickups is not occurring, FTA expects transit agencies to document and analyze on-time performance. Analyzing on-time performance enables agencies to make appropriate operational changes when performance falls below an established standard. Ensuring that the number of significantly untimely pickups is not substantial means accurately recording arrival times in relation to scheduled pickup times and compiling this information for analysis. (Missed trips need their own separate analysis, which is discussed in Circular Section 8.5.4.)

When calculating on-time performance, transit agencies often combine early pickups together with on-time pickups when documenting on-time performance. While such an approach is appropriate for analysis purposes, it is not appropriate to pressure or require riders to board and depart earlier than the established pickup window. To avoid this, some agency policies direct drivers to wait “around the corner” and to not

attempt a pickup until the start of the window. For analysis purposes, transit agencies typically report this combined metric as “early arrivals plus on-time arrivals” and separately track the number and rate of early pickups, late pickups, and on-time pickups. FTA recommends that agencies review their scheduling practices and overall capacity whenever the analysis shows a high number and rate of early pickups (e.g., the vehicle consistently arrives before the start of a rider’s pickup window).

In addition, for the on-time performance analysis, FTA considers instances when drivers arrive on time and follow transit agency policies (e.g., wait the full 5 minutes), and riders are still no-shows, as on-time arrivals.

Operational problems attributable to causes beyond a transit agency’s control, such as weather or traffic conditions that could not be anticipated at the time the trip was scheduled, are not a basis for determining that capacity constraints exist. However, scheduling practices that fail to take into account regularly occurring traffic conditions (i.e., known peak-period traffic delays) could result in prohibited capacity constraints.

#### 8.5.4 Trip Denials and Missed Trips – Prohibited Operational Practices

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A transit agency cannot have substantial numbers of trip denials and missed trips, as they are also considered capacity constraints and are not permitted under § 37.131(f)(3)(i)(B).

##### Trip Denials

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Trip denials result when agencies do not accept trip requests. Avoiding denials means properly planning service, allocating resources, and managing operations in order to meet 100 percent of expected demand.

Examples of trip denials include:

- A rider requests a next-day trip and the transit agency says it cannot provide that trip.
- A rider requests a next-day trip and the transit agency can only offer a trip that is outside of the 1-hour negotiating window. This represents a denial regardless of whether the rider accepts such an offer.
- A rider requests a round-trip and the agency can only provide one leg of the trip. If the rider does not take the offered one-way trip, both portions of the trip are denials.

Counting the number of denials means accounting for *all* trips that the rider is unable to take because of a denial. For example, say a transit agency denies a rider the outbound portion of a requested round-trip and only offers a return trip. If the rider then elects not to travel at all, this represents two denials. However, if an agency denies a “going” trip and the rider accepts a return trip, then this is counted as one denial. The [preamble](#) to DOT’s September 2011 amendment to its ADA regulations offered the following statement with respect to counting trip denials and missed trips:

The Department believes that when a denied or missed trip makes a subsequent requested trip impossible, two opportunities to travel have been lost from the point of view of the passenger. In the context of a statute and regulation intended to protect the opportunities of passengers with disabilities to use transportation systems in a nondiscriminatory way, that is the point of view that most matters. To count denials otherwise would understate the performance deficit of the operator. The complementary paratransit operator obviously would not need to count as a denial a trip that was actually made (e.g., trip from Point A to Point B missed, passenger gets to Point B in a taxi, and complementary paratransit operator carries him from Point B back to Point A).

In order to ensure that a pattern or practice of substantial numbers of trip denials is not occurring, FTA expects transit agencies to document and analyze trip denials. FTA recommends including such details as the rider’s identification, date of request, date and time of requested trip(s), origin and destination, and

reason for denial. Reviewing the characteristics of these denials can help an agency determine their underlying causes in order to take steps necessary to prevent future denials.

## Missed Trips

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Missed trips, which are caused by agencies and not by riders, result from trips that are requested, confirmed, and scheduled, but do not take place because:

- The vehicle arrives and leaves before the beginning of the pickup window without picking up the rider and without any indication from the rider that he or she no longer wants to make the trip. Note that a rider is not obligated to board until the beginning of the pickup window or—for transit agencies that have a 5-minute wait-time policy—from the start of the pickup window until 5 minutes have elapsed.
- The vehicle does not wait the required time within the pickup window, there is no contact with the rider, and the vehicle departs without the rider. Note that if during the wait time the rider indicates he or she no longer wants to take the trip, this is typically recorded as a “cancel at the door.”
- The vehicle arrives after the end of the pickup window and departs without picking up the rider (either because the rider is not there or declines to take the trip because it is now late).
- The vehicle does not arrive at the pickup location.

Based on reviews conducted by the FTA Office of Civil Rights, transit agencies experiencing high rates of missed trips due to late arrivals often need to add capacity.

As discussed above, riders are not obligated to board the vehicle before the start of pickup windows. In addition, in cases when vehicles arrive after the end of pickup windows, riders can choose to board vehicles, but if they refuse trips because they are late, FTA considers these as missed trips and not no-shows or “late cancellations” on the part of riders. (See Circular Section 9.12.)

When riders do not board as scheduled, communication between drivers and dispatchers can often resolve issues. Dispatchers can verify the pickup location (through a combination of an automated vehicle location system and driver information), the vehicle arrival time, and the negotiated pickup time and associated on-time window. After confirming the information, dispatchers can then be confident in directing drivers and in documenting such events in their records. To help minimize the likelihood of both missed trips and passenger no-shows, dispatchers (and supervisors) can instruct drivers who arrive early to wait the full wait time (established by each transit agency) within the on-time window. Finally, it is important to ensure that dispatchers differentiate and record no-shows and missed trips appropriately.

Given the prohibition against a pattern or practice of a substantial number of missed trips, FTA expects transit agencies to document and analyze missed trips. Such analyses can identify potential geocoding errors or problems in the underlying maps used for scheduling trips. Analysis of actual vehicle arrival and departure times, as well as dispatcher notes, will also help to ensure that the documentation of events is accurate.

When missed trips arise from improper actions by drivers and dispatchers (e.g., dispatchers of a transit agency with a 5-minute wait time policy advise, “Wait 3 minutes, then you can leave,” or drivers leave early without first contacting dispatchers), the appropriate remedy is typically proper training or re-training (see Circular Section 2.9), any applicable disciplinary action, and subsequent performance monitoring.

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### 8.5.5 Excessive Trip Lengths – Prohibited Operational Practices

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The length of complementary paratransit trips (also called travel time, trip duration, on-board time, or in-vehicle time) is another important measure of service. A pattern or practice of substantial numbers of trips with excessive trip lengths is a form of capacity constraint per § 37.131(f)(3)(i)(C); excessively long trips may discourage riders from using complementary paratransit services.

It is important to understand that “excessive” is in comparison to the time required to make a similar trip using the fixed route system; while a 1-hour travel time for a 5-mile complementary paratransit trip may seem excessive in the abstract, if the same trip takes an hour using the fixed route system, it is comparable, not excessive. Complementary paratransit service is by nature a shared-ride service. The standard of service is not intended to reflect that of a taxi service, which typically transports passengers directly to their destination.

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#### Trip-Length Standards

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To help minimize the number of excessively long trips, transit agencies typically establish a trip-length performance standard, defined in relation to the length of comparable fixed route trips (as presented below). As with other policies, public input is valuable to inform such a standard.

FTA notes that transit agencies may consider all elements of fixed route trips between origins and destinations when determining comparability in paratransit travel time, including:

- Walking time to the stop/station from the origin address
- Waiting time
- In-vehicle time (for all trip segments)
- Transfer times (if any)
- Walking time from the final stop/station to the destination address

Some agencies have adopted policies based on absolute maximum trip lengths. Such standards do not properly reflect comparability to the length of time a specific trip would take on fixed route. For example, having a standard that no complementary paratransit trip can exceed 90 minutes is not appropriate for comparing short trips taken on the fixed route system.

Some agencies also allow complementary paratransit ride times to be up to a multiple of the fixed route ride time (e.g., twice as long). Such standards are not reasonable or appropriate for longer trips. Allowing rides on complementary paratransit to be up to 2 hours for trips that took 1 hour by fixed route would be outside the bounds of comparability. FTA encourages standards that are variable and consider trip distances and associated travel times on fixed route. Many transit agencies using scheduling software set system parameters to address trips of varying length (rather than just set single, global settings).

To account for in-vehicle time and transfer times that may vary by day of week and time of day, FTA encourages transit agencies to use performance standards that account for such variations. Many agencies now have online trip planners that estimate the varying travel times for specific trips. However, the calculation of trip lengths for comparable fixed route trips can be time consuming, even when aided by an online trip planner. FTA suggests analyzing a sample of complementary paratransit trip lengths periodically (weekly or monthly), focusing on trips longer than a certain duration (e.g., more than 45 or 60 minutes).

As with on-time performance, operational problems that are attributable to causes beyond the control of the transit agency are not a basis for determining that a pattern or practice of excessive trip length exists. However, effective complementary paratransit operations account for recurring factors such as known peak-period traffic conditions. FTA encourages transit agencies to establish travel time performance

standards, such as “at least X percent of complementary paratransit trips shall have travel times equal to or less than comparable fixed route travel times,” and expects agencies to closely monitor trip length performance. By monitoring and analyzing trip lengths, agencies can be aware of service issues and, if necessary, make operational adjustments to improve performance.

### 8.5.6 Other Potential Limits to Paratransit Service Availability

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While § 37.131(f)(3)(i) lists three examples of patterns or practices that significantly limit the availability of service, the regulations specifically prohibit “any operational pattern or practice that significantly limits the availability of service to ADA paratransit eligible persons” (§ 37.131(f)(3)). Other capacity constraints, including untimely drop-offs, poor telephone performance, and general practices that can discourage use of complementary paratransit, are discussed in this section.

#### Untimely Drop-Offs

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All travelers using a transportation provider to travel to a time-sensitive appointment want to have confidence in the provider’s reliability. This is also true for complementary paratransit. Frequently arriving late to appointments could discourage use of the service. As such, FTA considers a pattern or practice of untimely drop-offs for trips with stated appointment times as a capacity constraint. As in pickup performance, monitoring on-time performance for trips with requested drop-offs is necessary. If the analysis indicates a pattern of late drop-offs, agencies can then make appropriate operational changes.

FTA encourages establishing policies to drop off riders no more than 30 minutes before appointment times and no later than appointment times. Some transit agencies schedule drop-offs no later than 5 minutes before appointment times to allow riders time to get from vehicles to appointments.

#### Poor Telephone Performance

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Despite the increasing use of other technologies, the telephone remains the primary means for complementary paratransit riders to request trips and to check on the status of a ride. Poor telephone performance can limit the availability of complementary paratransit service to ADA paratransit eligible riders and has the potential to constitute a capacity constraint under § 37.131(f)(3)(i).

Properly functioning telephone systems for complementary paratransit have sufficient capacity to handle calls from riders, along with the appropriate staffing to answer calls in a timely manner; they do not have busy signals or excessively long hold times. For trip reservations, interactive voice response systems or online transactions offer alternatives to personal communications, but telephone calls with transit agency employees often remain the best communication method for many riders. Telephone conversations are especially helpful when riders have a complicated request or are checking on the status of a trip. (See Circular Section 2.8.3.)

Promptly responding to trip-status calls for late pickups, commonly known as “where’s my ride?” calls, is especially important. Riders may not be in a suitable position to remain on hold while waiting for a response from transit agency representatives.

Besides making reservations and checking on trip status, complementary paratransit riders may call transit agencies to:

- Cancel or revise previous reservations
- Confirm times for future trips
- Obtain information on eligibility and other service issues

While these calls may be less time sensitive than trip-status calls, good customer service also includes having the capacity to answer and respond to such requests in a timely manner.

Long secondary hold times can also be a constraint. Calls may be answered, but then put back on hold or transferred to another line where a long hold occurs. Tracking such secondary holds can be difficult and is typically done through first-hand observations of the service.

#### Setting Telephone Hold-Time Standards

To evaluate their telephone performance, many transit agencies have established performance standards for telephone hold times. An optional good practice is to define a minimum percentage (e.g., X percent) of calls with hold times shorter than a specific threshold (e.g., 2 minutes) and a second (higher) percentage (e.g., Y percent) of calls with hold times shorter than a longer threshold (e.g., 5 minutes).

FTA discourages the use of performance standards based on *average* hold times over a defined period because doing so can mask poor performance at certain times. If using average hold times, however, it is important to narrow the period within which the averages are calculated. Measuring averages over an entire day, week, or month can obscure any issues. FTA recommends measuring averages over hourly periods. The standard using average hold times would then be set as a minimum percentage (e.g., X percent) of hours for which the average hold times are shorter than one threshold (e.g., 1 minute), and a second (higher) percentage (e.g., Y percent) of hours for which the average hold times are shorter than a second (higher) threshold (e.g., 3 minutes).

When transit agencies direct calls to different lines depending on the purpose of the call (e.g., reservation lines and dispatch lines), applying these standards to all public lines provides transit agencies with a complete view of their phone service. Another optional good practice is for agencies to track performance for each telephone line separately.

#### Automatic Call Distribution Systems

Larger transit agencies use an automatic call distribution (ACD) system to measure the number and length of calls placed on hold. Besides assigning incoming calls to reservationists, such systems can measure hold times and the length of calls by time of day. These measurements enable agencies to analyze call patterns to determine the percentage of calls that exceeded the standard and identify when these calls took place. Based on this analysis, agencies can make suitable adjustments to reduce hold times.

Smaller transit agencies—or the contractors who accept calls on their behalf—may not have ACD technology. Instead, they may have telephone systems that forward incoming calls to available open lines. When using this approach, FTA encourages agencies to use other methods to determine if calls are placed on hold. A simple way to test telephone capacity is to place calls from outside locations during the busiest times to see if there are busy signals or if the calls are placed on hold. Agencies can also make first-hand observations in the reservation office and manually record hold times.

If hold times are excessive at particular periods during the week, FTA recommends first determining if sufficient telephone capacity and workstations exist to handle peak volumes. If the technology is sufficient, transit agencies might then add reservationists or reassign reservationists' hours to better match peak demand.

#### Taking Calls in Languages Other Than English

Transit agencies that receive federal funds also have obligations under Title VI of the Civil Rights Act of 1964 for ensuring individuals with limited English proficiency (LEP) can access their programs and activities. These obligations are described in FTA's [Title VI Circular 4702.1B](#), Chapter III-6. Because of these requirements, and in response to customer needs, some agencies employ reservationists who have been assessed for competency in English and a non-English language. An insufficient number of reservationists available to respond to calls in the caller's language can lead to longer-than-average hold times for these LEP callers and therefore may constitute a capacity constraint affecting this group. An

agency may also decide to subscribe to a remote interpreter service that provides real-time interpretation in multiple languages.

#### Limiting the Number of Trip Requests per Call

Some transit agencies have adopted the policy of limiting the number of trip reservations per call to reduce the amount of time reservationists spend with each caller. However, if riders want to make more trip reservations than a policy allows for a single call, they will simply make multiple calls. This places an unnecessary burden on riders and leads to higher call volumes. Often, multiple trip requests occur because riders are scheduling repeat trips for the next several days and subscription service is not available or is limited. If this is the case, FTA encourages agencies to consider making subscription service available, or expanding the amount of subscription service provided. (See Circular Section 8.6.)

#### Discouraging Use of the Service

Other practices that discourage individuals from applying for or using complementary paratransit may also constitute capacity constraints. Here are some examples of actions that potentially limit service:

- A transit agency omits the availability of complementary paratransit service from its public information.
- A transit agency operates demand responsive service for senior citizens in addition to its complementary paratransit service. For individuals who are 65 years or older, the agency only provides an application for its senior service when these individuals inquire about travel options.
- An individual lives in a private senior housing community that provides a van service on weekdays between 8 a.m. and 5 p.m. When that individual calls a transit agency to learn about how to get transportation on weekends, the agency suggests that they reschedule the trip for a weekday when the van service is operating.

At the same time, FTA encourages transit agencies to coordinate their complementary paratransit services with their other services available for individuals with disabilities, as well as transportation services provided and/or funded by other public agencies and private organizations. Similarly, FTA encourages agencies to inform current and potential complementary paratransit riders of the range of transportation options available in their service area. FTA especially encourages agencies to establish travel training programs that promote the use of fixed route services for individuals who have the ability to use the fixed route for a portion of their trips. Making sure people are aware of their transportation options so that they can make informed decisions is very different from discouraging complementary paratransit use.

### 8.5.7 Identifying and Addressing Patterns and Practices in Capacity Constraints

For any of the capacity constraints discussed earlier in this chapter, either due to policies or resulting from operational practices, FTA encourages transit agencies when monitoring their service delivery to consider performance, not only in terms of systemwide percentages and frequency, but to also in terms of potential patterns. Agencies can search for instances of patterns of poor service in the following areas:

- Certain portion(s) of the service area
- Certain destinations
- Certain day(s) of week or time(s) of day
- Ambulatory versus non-ambulatory riders (particularly when using a mix of accessible and inaccessible vehicles)
- Certain individuals

Below are several examples of patterns of poor service quality that are not necessarily apparent at the system level.

- A transit agency's on-time pickup performance might be very high on a systemwide basis. However, a more detailed analysis of performance may indicate that on-time performance on weekday mornings is significantly lower, or that trips for riders who need accessible vehicles have much lower rates of on-time performance. A reallocation of existing resources might remedy this problem, but in some cases this situation might require additional resources.
- A transit agency's overall telephone hold time might be very good. However, particular hours during the week may have significantly longer average hold times. This may result from higher call volume and/or lower staffing levels during these hours.

An agency can review these and other components of its complementary paratransit service for subsets of riders to identify potential patterns of poor service quality that could deny or limit service for them, and potentially discourage use of the service.

## 8.5.8 Circumstances Beyond a Transit Agency's Control

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As stated in § 37.131(f)(3)(ii), certain causes of poor complementary paratransit service are beyond a transit agency's control and, therefore, are not causes for determining whether a pattern or practice exists. These situations include, for example, severe inclement weather, unpredictable traffic delays, and occasional vehicle breakdowns. Although it is not possible to plan for all conditions that disrupt service, FTA encourages agencies to plan for disruptions or delays as follows:

- Rain or snow may cause vehicles to fall behind schedule. However, if there is snow on the roads from a previous storm, transit agencies can adjust schedules to account for slower vehicle speeds.
- Some traffic conditions cannot be anticipated. However, transit agencies can base their run schedules on the assumption that vehicles travel at lower speeds during peak periods—just as fixed route schedules assume longer travel times during the morning and afternoon peaks—or can determine where and when heavy traffic is predictable and incorporate such delays into scheduling.
- While vehicle breakdowns cannot be anticipated, many transit agencies have readily available backup capacity that allows for rapid response when breakdowns occur, such as “floater” vehicles, backup drivers, or supervisors who can respond with spare vehicles. Agencies can also contract with other providers for backup service on an as-needed basis.

An excessive number of breakdowns may be due to poor maintenance practices or running vehicles past their useful lives. Such instances are within transit agencies' control and are not justifications for poor performance.

## 8.6 Subscription Service

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### Requirement

“[Part 37] does not prohibit the use of subscription service by public entities as part of a complementary paratransit system, subject to the limitations in this section” ([§ 37.133\(a\)](#)).

“Subscription service may not absorb more than fifty percent of the number of trips available at a given time of day, unless there is non-subscription capacity” ([§ 37.133\(b\)](#)).

“Notwithstanding any other provision of [Part 37], the entity may establish waiting lists or other capacity constraints and trip purpose restrictions or priorities for participation in the subscription service only” ([§ 37.133\(c\)](#)).

## Discussion

This requirement establishes the parameters for implementing subscription service as a method of efficient reservations and scheduling for trips with a repeated pattern—same origin and destination, same pickup or drop-off time, and same day(s). Riders subscribe to the service once and then transit agencies provide the repeated service. Some agencies require riders to make a minimum number of trips per week to qualify for subscription service. Typical uses for subscription service include:

- Traveling to work or school each weekday
- Traveling to dialysis or other medical appointments several times per week
- Traveling to religious services once per week

After riders and transit agencies set up the subscription service, there is no need to make further arrangements until a rider's travel needs change.

Subscription service is helpful both to transit agencies and the riders who receive it. For agencies, such service provides predictability for a portion of their service, so they can assign these trips to vehicle runs in advance. Because riders only have to call once, subscription trips make traveling easier for riders and can lower call volumes for agencies.

While subscription service is generally beneficial, requests may need to be reviewed for efficiency. Some trips may run counter to the typical travel flows and may then not be able to be effectively grouped with other requests. In addition, placement of subscription trips on the most efficient runs may also change over time. An optional good practice is to have schedulers regularly review requests for subscription service and to actively manage subscription trips that have been accepted.

Subscription trips are still complementary paratransit trips. Even if transit agencies choose to reserve and schedule certain trips in this way, trips reserved and scheduled on a subscription basis remain subject to the regulatory requirements pertaining to service performance (e.g., agencies must ensure trip lengths are comparable to the fixed route and pickups are timely).

### 8.6.1 Limits on Subscription Trips Under Certain Circumstances

Section 37.133(b) allows a transit agency to provide subscription service as any proportion of its total complementary paratransit service as long as it has capacity for demand trips (i.e., non-subscription trips). However, when agencies experience capacity constraints on particular days or times, then subscription service may not absorb more than 50 percent of the number of trips available at a given time of day. For example, if an agency only has the capacity to provide 50 complementary paratransit trips between 8 a.m. and 9 a.m. Mondays, then the number of subscription trips during that period is limited to 25, since capacity constraints are present during that hour. Some agencies limit subscription service to 50 percent of available capacity even if they never experience capacity constraints.

## 8.7 Exceeding Minimum Requirements (Premium Service)

### Requirement

“Public entities may provide complementary paratransit service to ADA paratransit eligible individuals exceeding that provided for in this section. However, only the cost of service provided for in this section may be considered in a public entity's request for an undue financial burden waiver under §§ 37.151–37.155 of [Part 37]” ([§ 37.131\(g\)](#)).

## Discussion

The following are examples of services that can be viewed as a form of premium service:

- Same-day trips
- “Will-call” trips
- Trips beyond the defined service area
- Trips before or after the established service hours

Because premium services are optional under § 37.131(g) and otherwise do not fall under the complementary paratransit requirements, transit agencies may charge higher fares for premium service trips. For example, agencies may charge higher fares for trips requested on the same day of service. The exact fare for this extra service is a local decision.

In addition, transit agencies have the option to limit premium service to certain types of trips, where such a distinction would not be allowed for standard complementary paratransit service. For example:

- An agency provides out-of-area service, but only for trips associated with appointments to regional medical centers.
- An agency’s regular service hours on weekdays begin at 5 a.m., but its complementary paratransit service makes earlier pickups for riders going to dialysis treatment.

It is important to ensure that providing premium service does not lead to lower service quality for riders using the regular complementary paratransit service. For example, providing trips beyond the minimum service area is inadvisable if doing so might limit the service quality for trips within the 3/4-mile service area.

FTA recommends that transit agencies obtain public input when developing premium services, particularly when imposing premium fares. For more information on exceeding minimum requirements, see FTA Bulletin [“Premium Charges for Paratransit Services.”](#)

## 8.8 Complementary Paratransit Plans

Most of the Part 37 Subpart F requirements for complementary paratransit plans and related updates in [§§ 37.135–37.155](#) pertain to transit agencies’ transitions to compliance with the regulations, from issuance of the requirements in 1991 to full compliance by 1997. In 1996, DOT amended the regulations to eliminate the requirement for annual updates to complementary paratransit plans. While some agencies may continue to update their plans for their own internal planning purposes, the annual updates are no longer required under the regulations. Because the need to develop a complementary paratransit plan is now rare, this Circular does not discuss plan requirements in depth. There are three circumstances, however, where an agency may still be required to prepare a paratransit plan:

- An agency is starting up a new fixed route service that will require complementary paratransit service.
- A previously compliant transit agency has determined that it is falling short of compliance and reported the change in circumstances to FTA, as required.
- FTA determines or believes a transit agency may not be fully complying with all service criteria.

FTA notes that transit agencies are required to implement complementary paratransit service at the same time they introduce new fixed route service; implementation of complementary paratransit at a later date is not permitted.

## 8.9 Ongoing Public Participation

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### Requirement

“*Ongoing requirement.* The entity shall create an ongoing mechanism for the participation of individuals with disabilities in the continued development and assessment of services to persons with disabilities. This includes, but is not limited to, the development of the initial plan, any request for an undue financial burden waiver, and each annual submission” ([§ 37.137\(c\)](#)).

### Discussion

A transit agency must have ways to obtain feedback from the disability community on its paratransit service. Examples of ongoing participation mechanisms include citizen or rider committees and holding periodic meetings and workshops. This input is very important when transit agencies are considering modifications to complementary paratransit service policies, particularly when such modifications result in reductions in service.

In addition, when considering fare increases or major reductions in service, there are § 5307 requirements for public comment on fare and service changes. The law requires transit agencies receiving § 5307 urbanized area formula grants to certify that they have “a locally developed process to solicit and consider public comment before raising a fare or implementing a major reduction of public transportation service” ([49 U.S.C. § 5307\(d\)\(1\)\(D\)](#)). A major reduction in fixed route service must also include consideration of the impact on complementary paratransit service.

# Chapter 9 – ADA Paratransit Eligibility

## 9.1 Introduction

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As described in Circular Chapter 8, public entities that operate non-commuter fixed route bus or rail services are required to provide complementary paratransit services. This chapter explains the U.S. Department of Transportation (DOT) Americans with Disabilities Act (ADA) regulations in 49 CFR Part 37 Subpart F related to eligibility for complementary paratransit, covering who is eligible and the requirements for eligibility determinations.

This Circular does not alter, amend, supersede, or otherwise affect the DOT ADA regulations themselves or replace the need for readers to reference the detailed information in the regulations. FTA recommendations and examples of optional practices are included throughout the Circular and do not represent requirements. FTA recognizes there are many different ways agencies can implement the regulatory requirements and ensure the delivery of compliant service. FTA encourages transit agencies to engage riders with disabilities when making decisions about local transit service.

## 9.2 Eligibility Standards

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### Requirement

“[Transit agencies] required by § 37.121 . . . to provide complementary paratransit service shall provide the service to the ADA paratransit eligible individuals described in [§ 37.123(e)]” ([§ 37.123\(a\)](#)).

### Discussion

As a civil rights statute, the ADA emphasizes nondiscriminatory access to fixed route services. Complementary paratransit service is intended to serve as a “safety net” for individuals who, because of their disabilities, are unable to use fixed route services, as discussed in [Appendix D](#) to § 37.121. The criteria for ADA paratransit eligibility, spelled out in § 37.123 and discussed below, reflect the safety net role of complementary paratransit.

### 9.2.1 Eligible Individuals

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Eligibility for complementary paratransit is directly related to the functional ability of individuals with disabilities to use fixed route transit services. Eligibility is not based on a diagnosis or type of disability. Individuals with the same diagnosis or disability can have very different functional abilities to use fixed route services. Similarly, eligibility is not based on the type of mobility aids that individuals use. Use of a wheelchair does not imply automatic eligibility, for example, since many individuals who use wheelchairs are able to use fixed route services for many or all of their trips. Nor is ADA paratransit eligibility based on age, income, or whether or not individuals can drive or have access to private automobile transportation.

The regulations define criteria for determining whether individuals with disabilities are ADA paratransit eligible based on their ability to use fixed route services. [Appendix D](#) to § 37.123 breaks eligibility types into three categories, which are described further below.

## Eligibility Category 1 – Inability to Navigate System Independently

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### Requirement

“Any individual with a disability who is unable, as the result of a physical or mental impairment (including a vision impairment), and without the assistance of another individual (except the operator of a wheelchair lift or other boarding assistance device), to board, ride, or disembark from any vehicle on the system which is readily accessible to and usable by individuals with disabilities [is eligible for ADA paratransit]” ([§ 37.123\(e\)\(1\)](#)).

### Discussion

The first category of eligibility includes individuals who, because of their disabilities, cannot independently navigate and use accessible fixed route services. In determining eligibility under this category, basic required assistance from vehicle operators may be assumed (e.g., help with using vehicle lifts or ramps).

Examples of eligibility under this category include:

- Individuals with intellectual or cognitive disabilities who cannot navigate the system. These individuals may not be able to understand, remember, or independently undertake the actions necessary to plan and use fixed route transit services. They also may not be oriented to person, place, and time, which are necessary abilities for independent travel by fixed route transit.
- Individuals with intellectual or cognitive disabilities who may have the functional ability to use a single bus route, but who are unable to make complex trips that require transfers between routes.
- Individuals with vision disabilities who cannot navigate through complex transit stations.
- Individuals with intellectual, cognitive, or vision disabilities who have received travel training or orientation and mobility instruction to make specific trips, but who are unable to use fixed route service for trips they have not been successfully trained to take.
- Individuals with significant psychiatric disabilities who cannot complete the tasks necessary to ride fixed route service independently. For example, some individuals with severe anxiety disorders may experience overwhelming physical and psychiatric reactions that prevent them from concentrating on and completing the tasks needed to independently use fixed route transit.
- Individuals with physical disabilities who can ride while seated but not while standing on a moving vehicle and who cannot be guaranteed a seat on a vehicle at all times of the day.
- Individuals with psychiatric or seizure conditions whose medications affect balance, memory, or other functional abilities needed to independently use fixed route transit.
- Individuals with significant intellectual or psychiatric conditions that impair judgment and decisionmaking ability needed to travel safely and independently on fixed route services.

Regarding the last example above, the legislative history indicates that general public safety concerns such as using fixed route transit late at night or in certain high-crime areas are not a basis for conferring eligibility under this category. However, individuals whose judgment, awareness, and decisionmaking are significantly affected by a disability and who would be at unreasonable risk if they attempted to use the fixed route service independently are eligible. This might apply to an individual with an intellectual disability lacking the judgment and awareness to respond appropriately to strangers and thus could be at significant risk when using fixed route service independently.

To some degree, the size and complexity of the fixed route system and a transit agency’s operating policies may affect eligibility under this category. For example, individuals may be able to navigate a rural fixed route system with a limited number of routes or local community bus services, but they may not be able to independently navigate complex transit stations in larger cities. Similarly, individuals with

balance issues may be assured of getting a seat when riding buses in rural areas, but cannot be guaranteed a seat on crowded urban systems. However, if an agency were to adopt an operating policy ensuring all riders with disabilities a seat, such a policy might allow individuals with balance issues to use the agency's fixed route services.

## Eligibility Category 2 – Lack of Accessible Vehicles, Stations, or Bus Stops

### Requirement

“Any individual with a disability who needs the assistance of a wheelchair lift or other boarding assistance device and is able, with such assistance, to board, ride and disembark from any vehicle which is readily accessible to and usable by individuals with disabilities if the individual wants to travel on a route on the system during the hours of operation of the system at a time, or within a reasonable period of such time, when such a vehicle is not being used to provide designated public transportation on the route [is eligible for ADA paratransit].

(i) An individual is eligible under this paragraph with respect to travel on an otherwise accessible route on which the boarding or disembarking location which the individual would use is one at which boarding or disembarking from the vehicle is precluded as provided in § 37.167(g) of [Part 37].

(ii) An individual using a common wheelchair is eligible under this paragraph if the individual's wheelchair cannot be accommodated on an existing vehicle (e.g., because the vehicle's lift does not meet the standards of Part 38 of this title), even if that vehicle is accessible to other individuals with disabilities and their mobility wheelchairs.<sup>1</sup>

(iii) With respect to rail systems, an individual is eligible under this paragraph if the individual could use an accessible rail system, but—

(A) There is not yet one accessible car per train on the system; or

(B) Key stations have not yet been made accessible” ([§ 37.123\(e\)\(2\)](#)).

### Discussion

Individuals are eligible for complementary paratransit service under Category 2 if accessible vehicles are not being used to provide service on the bus route they wish to use, if a boarding or disembarking location is inaccessible, or if key stations are not yet accessible. (See Circular Section 3.9.) The determination under Category 2 is specific to the routes, stops, or stations that individuals need to use. As fixed route systems become more accessible, eligibility under this category will continue to become less common.

### Accessible Bus Service

A bus route is considered accessible under this category when *all* buses scheduled on the route are accessible. When only some of the runs on a route are accessible (e.g., every other run), the route itself is considered inaccessible, and individuals with disabilities who require accessible fixed route vehicles are eligible for complementary paratransit travel anywhere in that bus corridor.

[Section 37.7](#) considers fixed route buses to be accessible if they meet or exceed the [Part 38](#) vehicle specifications. (See Circular Section 4.2.) If buses do not have lifts, ramps, or securement systems that comply with the Part 38 standards, individuals who use wheelchairs who could otherwise travel on accessible vehicles are eligible for complementary paratransit service. This provision was more relevant immediately following the ADA's enactment in 1991, since many of the buses in use at the time were

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<sup>1</sup> When amending the DOT ADA regulations in 2011, DOT removed the “common wheelchair” concept. (See Circular Section 2.4.1.)

inaccessible. Because virtually all buses used in fixed route service are now accessible, this is no longer a significant factor in ADA paratransit eligibility.

### Bus Stop Accessibility

When drivers cannot deploy lifts or ramps at a particular bus stop, Category 2 applies to individuals whose trips involve using that stop. Category 2 also applies to a stop at which drivers can deploy lifts or ramps but individuals cannot use them because the stop itself is inaccessible. As discussed in [Appendix D](#) to § 37.123,

If the lift on a vehicle cannot be deployed at a particular stop, an individual is eligible for paratransit under this category with respect to the service to the inaccessible stop. If on otherwise accessible route 1, an individual wants to travel from Point A to Point E, and the lift cannot be deployed at E, the individual is eligible for paratransit for the trip. . . . This is true even though service from Point A to all other points on the line is fully accessible. In this circumstance, the entity should probably think seriously about working with the local government involved to have the stop moved or made accessible.

When we say that a lift cannot be deployed, we mean literally that the mechanism will not work at the location to permit a wheelchair user or other person with a disability to disembark or that the lift will be damaged if it is used there. It is not consistent with the rule for a transit provider to declare a stop off-limits to someone who uses the lift while allowing other passengers to use the stop. However, if temporary conditions not under the operator's control (e.g., construction, an accident, a landslide) make it so hazardous for anyone to disembark that the stop is temporarily out of service for all passengers . . . the operator [may] refuse to allow a passenger to disembark using the lift.

While nearly all fixed route buses are now accessible, most transit systems have some inaccessible bus stops, particularly in cases where someone else owns the stop (e.g., municipalities or other entities).

### Accessible Rail Service

For light rail and rapid rail systems, individuals are eligible under this category if the rail line they need to use does not have at least one accessible car per train or if stations on that line are not accessible.<sup>2</sup>

Eligibility based on the inaccessibility of a rail system is unchanged even when fully accessible fixed route bus service is also available in the area. As discussed in [Appendix D](#) to § 37.123, this is required because:

[P]eople use rail systems for different kinds of trips than bus systems. It would often take much more in the way of time, trouble, and transfers for a person to go on the buses of one or more transit authorities than to have a direct trip provided by the rail operator. Since bus route systems are often designed to feed rail systems rather than duplicate them, it may often be true that “you can’t get there from here” relying entirely on bus routes or the paratransit service area that parallels them.

FTA notes that accessibility of rail systems depends not just on having at least one accessible car per train and on having accessible stations, but also depends on the platform-to-car interface. Depending on whether new or retrofitted vehicles are operating in new, existing, or key stations, the platform-to-rail-car gap can be as large as 2 inches vertically and as much as 4 inches horizontally; individuals for whom this represents a barrier to the use of the station would be eligible for complementary paratransit when traveling to and from locations within 3/4 mile of two different rail stations. (See Circular Section 0.)

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<sup>2</sup> The deadline for compliance with the one-car-per train requirement expired on July 26, 1995; there should no longer be any circumstances under which a train with no accessible cars is encountered.

## Eligibility Category 3 – Inability to Reach a Boarding Point or Final Destination

### Requirement

“Any individual with a disability who has a specific impairment-related condition which prevents such individual from traveling to a boarding location or from a disembarking location on such system [is eligible for ADA paratransit].

(i) Only a specific impairment-related condition which prevents the individual from traveling to a boarding location or from a disembarking location is a basis for eligibility under this paragraph. A condition which makes traveling to boarding location or from a disembarking location more difficult for a person with a specific impairment-related condition than for an individual who does not have the condition, but does not prevent the travel, is not a basis for eligibility under this paragraph.

(ii) Architectural barriers not under the control of the public entity providing fixed route service and environmental barriers (e.g., distance, terrain, weather) do not, standing alone, form a basis for eligibility under this paragraph. The interaction of such barriers with an individual’s specific impairment-related condition may form a basis for eligibility under this paragraph, if the effect is to prevent the individual from traveling to a boarding location or from a disembarking location” ([§ 37.123\(e\)\(3\)](#)).

### Discussion

Under Category 3, individuals are ADA paratransit eligible only if their disability (“specific impairment-related condition”) prevents them from traveling to or from fixed route transit stops and stations. Individuals are not ADA paratransit eligible if getting to or from fixed route stops and stations is only more difficult or inconvenient. [Appendix D](#) to § 37.123 offers the following guidance on how to determine if travel to and from stops and stations is “prevented” or simply “difficult”:

Inevitably, some judgment is required to distinguish between situations in which travel is prevented and situations in which it is merely made more difficult. In the Department’s view, a case of “prevented travel” can be made not only where travel is literally impossible (e.g., someone cannot find the bus stop, someone cannot push a wheelchair through the foot of snow or up a steep hill) but also where the difficulties are so substantial that a reasonable person with the impairment-related condition in question would be deterred from making the trip.

Figure 9-1 illustrates this concept of a “reasonable person test.” At the left end of the spectrum, traveling to or from stops and stations rather than receiving origin-to-destination service may be more difficult or inconvenient and eligibility is not conferred. At the right end of the spectrum, it may be impossible for individuals with disabilities to get to or from stops and stations. At some point along this spectrum, getting to or from stops and stations becomes an unreasonable effort or risk for individuals with disabilities. It is at this point that ADA paratransit eligibility is granted.

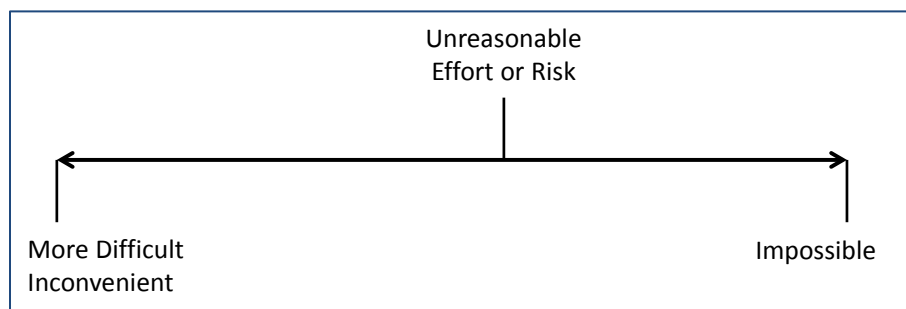


Figure 9-1 – Reasonable Person Test

Here are some examples of unreasonable travel expectations:

- Individuals with an ambulatory disability who use crutches can get to a bus stop four blocks away but doing so requires considerable exertion and leaves them exhausted
- Individuals with a vision disability may be able to cross a busy street where there is constant traffic turning right on the red signal, but in doing so they may be taking an unreasonable risk because they are not able to get an audible cue from the flow of traffic that allows them to know when it is safe to cross
- Individuals with cardiac conditions can walk five blocks to stops and stations, but doing so in very hot weather may put them at unreasonable risk

Under Category 3, the point at which the use of fixed route service becomes unreasonable to attempt varies for different individuals, depending on their particular disabilities or health conditions and their functional abilities. Reviewers determining eligibility need to identify the conditions under which it is reasonable to ask individuals to use fixed route services and when to provide complementary paratransit. Reviewers become the “reasonable people” making such judgments.

#### Consideration of Architectural Barriers and Environmental Conditions

Eligibility under this category considers the effects of architectural and environmental barriers on travel by individuals with disabilities. Even though such factors may not be under a transit agency’s control, the presence of these barriers, in combination with a person’s disability, can prevent use of fixed route services.

Examples of architectural and environmental barriers that, in combination with disabilities, might confer ADA paratransit eligibility include:

- A lack of curb ramps or alternative accessible pathways that would prevent individuals who use mobility devices from getting to or from stops and stations without traveling in the street (while others use the sidewalks)
- A lack of sidewalks along busy roadways, where reasonable people do not walk in the street, that would require individuals with disabilities to travel in the street to get to or from stops and stations
- Other barriers in pedestrian pathways to or from stops and stations. For individuals with physical disabilities, this may be sidewalks in poor condition or uneven or unstable surfaces. For individuals with vision disabilities, this may be pathways without detectable edges (e.g., open parking lots) that are not a safe distance from quickly moving traffic or have hazards that are not detectable (e.g., overhanging structures or guy wires)
- Long distances to or from stops and stations that individuals with disabilities cannot travel without an unreasonable level of effort (i.e., distances that would cause exhaustion or significant pain)
- Steep hills that prevent individuals with ambulatory disabilities or those who use manual wheelchairs from getting to or from stops and stations
- Snowy or icy conditions that may prevent individuals with disabilities from getting to or from stops and stations
- Extremes in temperature that may prevent individuals with certain disabilities or health conditions from traveling to or from stops and stations
- Complex intersections, busy streets, or wide streets that certain individuals with disabilities may not be able to cross

### Wayfinding Considerations

Individuals with certain types of disabilities may also be prevented from getting to or from stops and stations for other reasons, including:

- Individuals with intellectual, cognitive, or vision disabilities who are able to find their way along specific pedestrian routes, but who may not be able to find their way to or from stops and stations along unfamiliar routes
- Individuals with psychiatric disabilities who may be able to travel in certain settings (e.g., local routes within their neighborhood), but who may not be able to travel in unfamiliar areas or settings

Note that these individuals may also have issues navigating the transit system and may also have eligibility based on Category 1 considerations.

## 9.2.2 Eligibility Considerations – In General

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Important considerations when making ADA paratransit eligibility determinations follow.

### Ability to Use Fixed Route Independently

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Beyond the required assistance of vehicle operators (see Circular Section 2.5), eligibility is based on the independent ability of individuals to use the fixed route system. Eligibility is not based on the availability of other individuals, including personal care attendants, family, or friends who may be traveling with the passenger with a disability. (See below for a discussion of eligibility for young children.)

### Current Functional Ability

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Eligibility is based on current functional ability. While some individuals may learn to use fixed route services independently after participating in travel training, actual functional ability at the time of application is the basis for determining eligibility. FTA encourages transit agencies to offer travel training, but agencies cannot require individuals to participate. If an applicant indicates interest in travel training, an optional good practice is to confer temporary eligibility and then determine the applicant's longer-term eligibility if he or she successfully completes training. Agencies cannot limit or deny eligibility based on a presumption of functional ability with training or on an applicant's stated interest in participating in travel training.

### Most Limiting Conditions

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An applicant's eligibility must also be based on his or her most limiting condition, whether related to the environment or the variable nature of a disability. Determinations of ADA paratransit eligibility consider each applicant's ability to travel to any origins and destinations in the complementary paratransit service area under all conditions. A transit agency may not base initial determinations of ADA paratransit eligibility upon an applicant's ability to use fixed route service some of the time or under typical conditions. For example, if an individual could reasonably be expected to walk up to three blocks to get to and from bus stops, it would be inappropriate to deny eligibility because a bus stop was located only two blocks from her home. This decision incorrectly assumes the individual will only be traveling to and from his or her home and does not consider travel distances to all of the destinations he or she might visit at the other end of the trip.

Similarly, it would not be appropriate to deny eligibility to individuals because there was an accessible path of travel to the bus stop nearest their home. Again, such a denial does not account for architectural barriers elsewhere in the service area that would prevent travel to potential destinations.

The “most limiting condition” concept also applies to disabilities that may cause changes in functional ability from day to day. Determinations must consider the inherent variability of some disabilities. Basing a determination on an applicant’s “good day” would not be appropriate.

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### Considering the Appropriate Mobility Device(s)

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For all categories of eligibility, determinations are based on how individuals present themselves at the time of application. For example, some individuals may have both a manual wheelchair and a power wheelchair. They may choose to travel in the community with their manual wheelchair rather than their power wheelchair for a variety of reasons, such as destinations to which they are traveling (or the activities at those destinations) that may be more compatible with use of a manual wheelchair. In these cases, determinations of functional ability and eligibility are based on the mobility aid that individuals say they will use when they travel.

If an applicant states that he or she uses both types of mobility aids when traveling, eligibility determinations are based on the mobility device the applicant would use for particular trips. Alternatively, the transit agency could decide to simply grant the greater degree of eligibility regardless of which mobility device the applicant uses. It is not appropriate to require individuals to use specific mobility devices or to base eligibility decisions on devices that provide the greatest ability to use fixed route service if those mobility devices are not the devices applicants use when traveling.

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### Mobility Devices that Exceed Maximum Size or Weight

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Since ADA paratransit eligibility is based on an individual’s functional ability, denying eligibility solely because the applicant’s mobility device exceeds maximum vehicle size or weight capacities is not permitted. This means in some cases a transit agency will grant ADA paratransit eligibility to applicants but will not be able to transport them. In these situations, it is important for the agency to communicate the vehicle fleet capacity limitations to the affected eligible person, and for the person to understand that he or she may be able to start riding the service with a different (e.g., smaller/lighter mobility device) or other changed circumstances.

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### Eligibility for Young Children

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As discussed in Circular Section 2.2.1, [§ 37.5\(a\)](#) prohibits discrimination against an individual with a disability in connection with the provision of transportation service. Thus, policies limiting the availability of transit to children under a certain age or requiring children under a certain age to be accompanied by an adult cannot be created solely for complementary paratransit. Any policy would also need to apply to the fixed route service to avoid a discriminatory practice.

Transit agencies that have systemwide policies requiring all children under a certain age to travel with an adult (for fixed route transit as well as complementary paratransit) may apply these policies to eligibility determinations for children. For example, if an agency’s systemwide policy requires an adult to accompany all children under the age of 6, then eligibility determinations for children under 6 years old assume an accompanying adult. The abilities of the team (e.g., the child with a parent/guardian) are considered, rather than the independent ability of the child, since all children are required to travel with accompanying adults. In this example, a child’s age (not disability) would govern his or her inability to use the fixed route system independently. Agencies with such policies would then base eligibility determinations for children 6 and older on independent functional ability.

Some transit agencies have age-related fare policies such as “children under the age of 6 ride free when accompanied by a fare-paying adult.” While such policies provide free rides to children under 6, they do not by themselves represent a requirement for adults to accompany younger children.

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## Residence and Eligibility Determinations

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As discussed in [Appendix D](#) to § 37.123, “All fixed route operators providing complementary paratransit must make service available at least to individuals meeting these standards.” Limiting reviews of applications and determinations of eligibility to individuals residing within a transit agency’s service area is not appropriate.<sup>3</sup> If an otherwise eligible applicant is able to travel to a point within an agency’s complementary paratransit service area and wishes to use complementary paratransit within the service area, the Part 37 [Subpart F](#) requirements obligate the agency to grant the applicant eligibility and accommodate the trip request.

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## Half-Fare and Eligibility Determinations

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An applicant’s eligibility for a transit agency’s half-fare program on fixed route is not a basis for determining ADA paratransit eligibility. While there is a requirement for recipients of § 5307 funding to provide reduced fares for seniors and persons with disabilities riding fixed route during off-peak hours, it is not an ADA requirement; rather, it is a general requirement under 49 U.S.C. Chapter 53. The eligibility standards for reduced fare as outlined in [49 CFR Part 609](#) are very different from the ADA paratransit eligibility standards.

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# 9.3 Types of Eligibility

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Transit agencies generally grant unconditional or conditional eligibility and may apply temporary eligibility (see Circular Section 9.3.3) to either type.

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## 9.3.1 Unconditional Eligibility

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Sometimes called “unrestricted eligibility” or “all-trip eligibility,” unconditional eligibility means that an individual is unable to use fixed route transit services under any circumstances and is thus eligible to make all trips using complementary paratransit. Examples of applicants granted unconditional eligibility include:

- Individuals who cannot travel independently due to severe or profound intellectual disabilities or advanced dementia
- Individuals with physical disabilities who have limited functional ability (e.g., riders who use a manual wheelchair and who cannot sufficiently propel themselves)
- Individuals who have lost vision late in life and have not learned to travel independently in the community

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## 9.3.2 Conditional Eligibility

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### Requirement

“If an individual meets the eligibility criteria of this section with respect to some trips but not others, the individual shall be ADA paratransit eligible only for those trips for which he or she meets the criteria” ([§ 37.123\(b\)](#)).

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<sup>3</sup> In regions served by two or more transit agencies that coordinate service, it is appropriate to direct individuals to apply for eligibility with the agency providing complementary paratransit service to their residence.

## Discussion

ADA paratransit eligibility does not have to be an all or nothing decision. As Appendix D to § 37.123 explains, “A person may be ADA paratransit eligible for some trips but not others. Eligibility does not inhere in the individual or his or her disability, as such, but in meeting the functional criteria of inability to use the fixed route system established by the ADA. This inability is likely to change with differing circumstances.”

Sometimes called “restricted eligibility” or “some-trip eligibility,” conditional eligibility applies to individuals who are able to independently use fixed route transit services under some circumstances.

Factors for determining conditional eligibility typically include:

- The maximum distance that individuals are able to walk to get to or from stops and stations
- Environmental conditions that prevent use of fixed route service (e.g., heat, cold, snow, ice, or air quality)
- Architectural and path-of-travel barriers that prevent use of fixed route service (e.g., lack of sidewalks, lack of curb ramps, uneven or unstable surfaces, or steep hills)
- Types of intersections or streets (e.g., complex intersections, busy streets, or wide streets) that individuals cannot cross safely
- Complexity of fixed route trips (e.g., transfers are required)
- Unfamiliar locations (e.g., destinations to which individuals have not been successfully trained to travel via fixed route)
- Severe fatigue after receiving treatment, including the potential for experiencing severe fatigue at other times
- Other variable effects of individuals’ disabilities, such as increased symptoms of multiple sclerosis on certain days
- Time of day (for individuals affected by low or bright light or for those who require a seat on the bus in order to travel and a seat cannot be guaranteed during certain times, such as peak hours)
- Inaccessible fixed route vehicles or facilities (i.e., routes, lines, stations, or stops are not accessible)

For transit agencies using conditional eligibility or considering doing so, the following are examples of individuals who might be candidates for this type of eligibility:

- Individuals with intellectual disabilities who have learned how to make certain trips on fixed routes but cannot make all trips independently – They would not be eligible for the trips they have learned to take by fixed route, but would be eligible for all other trips.
- Individuals with physical disabilities who can reach a bus stop or rail station within four blocks when the route is accessible – An appropriate condition on eligibility in this instance is “when the distance to or from stops and stations is more than four blocks or when the route to stops and stations is inaccessible.”
- Individuals with health conditions who can get to and from stops and stations when the temperature is not too hot (e.g., less than 80°F) or the distance is not too far (e.g., closer than four blocks) – They would be ADA paratransit eligible when the temperature exceeds 80°F or the stop or station is more than four blocks away.<sup>4</sup>

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<sup>4</sup> 80°F is used as an example. Because climatic conditions (e.g., temperature and humidity) may vary by region, establishing thresholds for specific regions and individual applicants is appropriate.

Use of conditional eligibility is optional. If a transit agency's process does not include conditional eligibility, unconditional eligibility is granted to applicants who are only able to use fixed route under some conditions and who would otherwise be conditionally eligible. The individuals are not denied eligibility because they can use fixed route service some of the time.

Properly applying conditional eligibility (either on a full-term or temporary basis) means identifying the specific conditions under which each applicant is ADA paratransit eligible and communicating these conditions to the applicant.

As noted above, transit agencies may grant temporary eligibility to individuals whose health condition or disability is expected to change in the short term or whose mobility device will soon change. Temporary eligibility can be either unconditional or conditional, depending on the individual's functional ability.

### Considerations in Applying Conditional Eligibility

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Correctly applying conditional eligibility includes ensuring the stated conditions placed on the rider's eligibility are specific, measurable, and thorough. For example, conditions on eligibility such as "when the distance to or from bus stops is too far" or "when you are unable to safely cross the street" are too vague. Appropriate examples of thorough conditions of eligibility include "when the distance to or from fixed route stops and stations is more than three blocks" or "when you must cross streets wider than two lanes or intersections without traffic lights and pedestrian controls."

Conditions of eligibility reflect functional abilities, not trip purposes. For example, giving eligibility to riders who experience extreme fatigue due to end stage renal failure and associated treatments "for dialysis trips only" is not appropriate. Instead, an appropriate condition of eligibility is expressed as "when severe fatigue from your medical condition or treatment prevents you from using the fixed route service."

When granting conditional eligibility, it is also important to identify barriers that can affect travel. Not doing so would inappropriately limit an individual's eligibility. For example, individuals who use manual wheelchairs would likely be affected by distances to or from stops and stations, lack of sidewalks or curb ramps, steep hills, snowy or icy conditions, inaccessible bus routes and rail lines, and inaccessible stops and stations. If transit agencies attempted to simplify the process by only granting eligibility "when the distance to or from fixed route stops or stations is more than four blocks" and "when the presence of snow or ice prevents travel to or from bus stops or rail stations," this would be an inappropriate limitation of eligibility. It would imply that during non-winter months, as long as the distance to or from stops was no more than four blocks, individuals would never be prevented from using fixed route services. But this would be incorrect because path-of-travel barriers, steep hills, and bus stop and other system barriers could still prevent travel for some trips.

Individuals encountering architectural or environmental barriers that prevent them from reaching a bus stop often can use another path. For example, an individual using a wheelchair can often circumvent a lack of curb ramps by taking another, less direct route than an ambulatory person might take. This may involve more time, trouble, and effort, but the person can still reach the bus stop. If a reasonable alternative path were available, then that individual would not be eligible to use complementary paratransit for that trip.

### 9.3.3 Temporary Eligibility

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#### Requirement

“Individuals may be ADA paratransit eligible on the basis of a permanent or temporary disability” ([§ 37.123\(c\)](#)).

#### Discussion

Individuals who experience a temporary loss of functional ability that prevents them from using fixed route service may apply for temporary ADA paratransit eligibility. For example, an individual may need to undergo two months of treatment for a health condition, resulting in severe fatigue that prevents him or her from using fixed route service. This individual would be ADA paratransit eligible for the duration of the treatment period.

Temporary eligibility may also be appropriate if changes in functional ability are probable in the short term. For example, an individual who has had a stroke may be using a manual wheelchair immediately after the stroke and may not be able to independently self-propel the wheelchair to get to or from bus stops. If the individual were undergoing a year of prescribed therapy, one year of eligibility for all trips would be appropriate, with a review at the end of the year to determine if therapy or a change in mobility devices has changed the individual’s functional ability to use fixed route service.

## 9.4 Eligibility Determination Process

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#### Requirement

“Each public entity required to provide complementary paratransit service by § 37.121 of [Part 37] shall establish a process for determining ADA paratransit eligibility” ([§ 37.125](#)).

#### Discussion

While the DOT ADA regulations are specific in terms of who is ADA paratransit eligible, the regulations do not prescribe the determination process. Transit agencies, with input from the communities they serve, are to devise the specifics of their individual eligibility processes, while following the broad requirements in § 37.125 pertaining, for example, to timelines for decisions and appeal practices.

The following discussion covers the broad process requirements and considerations and provides examples of processes transit agencies have established.

### 9.4.1 Strictly Limiting Eligibility

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#### Requirement

“The process shall strictly limit ADA paratransit eligibility to individuals specified in § 37.123 of [Part 37]” ([§ 37.125\(a\)](#)).

#### Discussion

Transit agencies must strictly limit ADA paratransit eligibility to individuals who meet the regulatory criteria for eligibility. (See Circular Section 9.2.1.) This limitation supports the requirement in Title II of the ADA for agencies to provide services in the most appropriate integrated setting and is consistent with the concept that complementary paratransit is a “safety net” for those individuals unable to use fixed route

service. The requirement to strictly limit ADA paratransit eligibility, however, does not preclude agencies from providing paratransit service to other individuals. As explained in [Appendix D](#) to § 37.123:

This section sets forth the minimum requirements for eligibility for complementary paratransit service. All fixed route operators providing complementary paratransit must make service available at least to individuals meeting these standards. The ADA does not prohibit providing paratransit service to anyone. Entities may provide service to additional persons as well.

## 9.4.2 Types of Eligibility Determination Processes

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Designing eligibility processes that reflect local needs and circumstances is appropriate as long as these processes comply with the § 37.125 requirements. It is up to transit agencies and the communities they serve to design eligibility determination processes that meet the regulatory requirements.

Transit agencies that originally designed their eligibility determination processes as part of their complementary paratransit plans did so with the input of individuals with disabilities. Subsequently, if agencies implement new processes, or make significant changes to the existing process, FTA expects them to also incorporate a level of public participation that meets the [§ 37.137\(c\)](#) requirements.

## 9.4.3 Approaches for Determining Eligibility

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Transit agencies generally use any or a combination of the following three basic sources of information to determine eligibility:

- Information provided by applicants in the form of paper applications, responses to interview questions, or both.
- Information provided by qualified professionals familiar with the applicants. Transit agencies can provide applicants with forms for collecting the information or can accept information that the individuals may already have received from professionals. Alternatively, agencies can obtain the information by directly contacting professionals whom the applicants identify.
- Assessments of functional abilities. Transit agencies may ask applicants to participate in assessments designed to determine their functional abilities specific to the use of fixed route transit services.

This Circular does not comprehensively address the specifics of these determination approaches since they are not outlined in the regulations; general guidance is below. For technical assistance on the various types of eligibility determination processes, see Easter Seals Project ACTION, “[Determining ADA Paratransit Eligibility: An Approach, Guidance and Training Materials](#).”<sup>5</sup>

### Supplementing Paper Applications

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FTA notes that many transit agencies find that appropriate determinations of ADA paratransit eligibility, including the application of conditional trip-by-trip eligibility, often require more than a paper application. In-person interviews and functional assessments may be necessary to determine whether a particular individual can perform the functional tasks needed to use fixed route service independently. Interviews, whether in person or by phone, allow those making eligibility determinations to solicit additional information from applicants as needed. Properly designed and administered assessments can provide independent and objective measures of specific functions related to fixed route transit use. These can be important in determining the abilities of applicants who have never used fixed route transit and who may not be sure of their abilities to use these services.

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<sup>5</sup> This document, published in 2014, also includes a section on administering the Functional Assessment of Cognitive Transit Skills (FACTS).

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## Information Provided by Professionals

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Appropriate determinations of ADA paratransit eligibility are based on an applicant's functional abilities, not medical diagnoses of health conditions or disabilities. [Appendix D](#) to § 37.125 explains:

The substantive eligibility process is not aimed at making a medical or diagnostic determination. While evaluation by a physician (or professionals in rehabilitation or other relevant fields) may be used as part of the process, a diagnosis of a disability is not dispositive. What is needed is a determination of whether, as a practical matter, the individual can use fixed route transit in his or her own circumstances. That is a transportation decision primarily, not a medical decision.

At the same time, eligibility is based on functional limitations due to disability. Individuals must have a disability to qualify for ADA paratransit eligibility. Obtaining information about disability is therefore appropriate, particularly if a disability is not apparent, such as a psychiatric disability or a seizure condition. Information about the disability can also help transit agencies better understand and confirm the likely associated functional issues.

For transit agencies that solicit professional verification of disability and supporting information regarding pertinent functional abilities, an optional good practice is to accept professional verification from a wide array of professionals, rather than limiting the types of practitioners from whom verification is acceptable (e.g., only licensed physicians). Orientation and mobility specialists, therapists, clinical social workers, job coaches, and registered nurses, among others, may be able to verify the existence of a disability and may provide the best information about an applicant's functional abilities relevant to fixed route transit use.

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## List of Functional Tasks and Skills

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Regardless of the specific determination approach a transit agency adopts, an optional good practice is for the agency to work with individuals with disabilities and disability service organizations to develop a master list of functional transit tasks and skills. Such lists identify the various functional tasks involved in using the local area fixed route transit service and the various functional abilities needed to do so (e.g., physical abilities, cognitive abilities, and sensory abilities). Such lists benefit those involved in making eligibility determinations to ensure that they consider all appropriate issues during the determination process. Attachment 9-1 provides a sample task and skills list. An optional good practice is to refine and customize the sample list with input from individuals with disabilities to reflect local fixed route services and policies.

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## Emphasizing Ability to Use Fixed Route Transit

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Another optional good practice is to develop an eligibility determination process that stresses ability rather than disability. Transit agencies may elect to design holistic processes that assist applicants in identifying their abilities to use fixed route service and all available travel options, rather than processes that focus on applicants' limitations. To this end, some agencies refer to the process as a "transportation assessment" rather than an "ADA paratransit assessment" and incorporate other services into their process. For example, some agencies have co-located travel training and eligibility determination functions, which permits them to provide travel training to applicants who indicate an interest. Other agencies provide applicants with information about accessible fixed route service or other transportation programs as appropriate.

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### 9.4.4 Avoiding Unreasonable Burdens and User Fees

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Given the nature of ADA paratransit eligibility, an inherent degree of rigor and complexity in the process is often unavoidable. However, as discussed in [Appendix D](#) to § 37.125, "The process may not impose

unreasonable administrative burdens on applicants, and, since it is part of the entity’s nondiscrimination obligations, may not involve ‘user fees’ or application fees to the applicant.”

Examples of process requirements FTA considers burdensome include:

- Requiring applicants to appear in person for interviews on one day and then participate in functional assessments on a different day
- Requiring applicants to appear in person for interviews or functional assessments and then make a second trip to another location to have a photo taken for an ID card
- Requesting extraneous or irrelevant information that has no bearing on ADA paratransit eligibility
- Using complex application forms that require applicants to apply for multiple transportation programs or services (e.g., state transportation programs in addition to complementary paratransit)
- Requiring medical documentation unrelated to functional ability to use the fixed route transit service

Effective practices for minimizing administrative burdens include:

- Performing in-person interviews and any needed functional assessments at the same location on the same day
- Taking photos for ID cards during interviews and assessments and then creating and sending IDs to those determined eligible

[Appendix D](#) to § 37.125 also explains that the determination process may not involve “user fees” or “application fees.” This position is based on [§ 37.5\(d\)](#), which prohibits agencies from imposing “special charges, not authorized by [Part 37], on individuals with disabilities, including individuals who use wheelchairs, for providing services required by [Part 37] or otherwise necessary to accommodate them.”

The prohibition against fees applies to transportation costs. For transit agencies that require applicants to travel to an interview or assessment center as part of their process, this means offering transportation to and from the center at no charge. If agencies use the complementary paratransit service for this transportation, fares must be waived for applicants.

## 9.5 Eligibility Decisions

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Once a transit agency has received a complete application from an individual, the DOT ADA regulations specify timelines for making a determination of eligibility and for notifying the applicant regarding the determination, as discussed in this section.

### 9.5.1 Making Timely Determinations

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#### Requirement

“If, by a date 21 days following the submission of a complete application, the entity has not made a determination of eligibility, the applicant shall be treated as eligible and provided service until and unless the entity denies the application” ([§ 37.125\(c\)](#)).

## Discussion

The requirement for timely determination is explained in [Appendix D](#) to § 37.125:

When the application process is complete—all necessary actions by the applicant taken—the entity should process the application in 21 days. If it is unable to do so, it must begin to provide service to the applicant on the 22nd day, as if the application had been granted. Service may be terminated only if and when the entity denies the application.

FTA encourages transit agencies to make decisions within 21 days. If decisions take longer, however, agencies must have a process to automatically grant provisional eligibility and provide service beginning on the 22nd day. FTA expects agencies to include information about this right to provisional service in public information describing the ADA paratransit eligibility process, in cover letters accompanying application forms, and/or letters acknowledging the receipt of applications.

As is the case throughout the regulations, “days” means calendar days (unless indicated otherwise). The 21-day timeframe begins at “submission of a completed application.” For transit agencies that require in-person interviews and functional assessments, applications are considered complete at the conclusion of interviews and assessments, not when applications are received. As discussed in [Appendix D](#) to § 37.125, the application process is complete when the applicant has taken all necessary actions.

When scheduling interviews and assessment appointments, transit agencies are not responsible for delays created by applicants. For example, suppose an agency offers an appointment within seven days, but the applicant indicates he or she will be away and requests an appointment in 17 days. Although the interview is delayed in this case, the agency has met its obligation to offer an appointment within a reasonable period.

In designing eligibility determination processes, it is important to consider the total time necessary for applicants to complete the process, including time to schedule any required in-person interviews or assessments. FTA expects transit agencies that require applicants to first submit paper applications and then appear for in-person interviews or functional assessments to offer these appointments promptly (e.g., within 7–10 days) once applications have been received. FTA considers long wait times for interview appointments to be an unreasonable administrative burden.

## Treatment of Incomplete Applications

Some applicants may start but not complete the process of applying for ADA paratransit eligibility. They may submit application forms but leave out required information or they may submit an application form but fail to schedule or appear for a required interview or functional assessment. In such cases, FTA recommends returning the applications and explaining to applicants that the process cannot continue until they supply the missing information. When determining whether application forms are complete, it is important to distinguish between information needed to make an eligibility determination and other requested information such as emergency contact information. Secondary information, not pertinent to the determination, can be obtained at a later time in order to continue the processing of the application.

If applicants submit a completed application but fail to schedule or appear for in-person interviews or assessments, FTA recommends retaining the submitted information for a reasonable period and informing applicants of the time within which they need to complete the process. If applicants do not complete the process within that time, agencies can require them to reapply.

## 9.5.2 Written Notice of Eligibility Decisions

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### Requirement

“The entity’s determination concerning eligibility shall be in writing. If the determination is that the individual is ineligible, the determination shall state the reasons for the finding” ([§ 37.125\(d\)](#)).

“The public entity shall provide documentation to each eligible individual stating that he or she is ‘ADA Paratransit Eligible.’ The documentation shall include the name of the eligible individual, the name of the transit provider, the telephone number of the entity’s paratransit coordinator, an expiration date for eligibility, and any conditions or limitations on the individual’s eligibility including the use of a personal care attendant” ([§ 37.125\(e\)](#)).

### Discussion

This requirement obligates transit agencies to transmit eligibility determinations to applicants in writing, and in accessible formats as applicable per [§ 37.125\(b\)](#). (See Circular Section 9.10.1.)

### Documentation Provided to Applicants Found Eligible

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For applicants found eligible, § 37.125(e) requires the documentation provided by the transit agency to specifically state that the individuals are “ADA paratransit eligible” and also include:

- The name of the eligible individual
- The name of the transit agency issuing the documentation
- The telephone number of the transit agency’s paratransit coordinator
- An expiration date of the eligibility (if applicable)
- Any limitations or conditions placed on the individual’s eligibility
- Whether the applicant travels with a personal care attendant

FTA notes that while § 37.125 specifically calls for the telephone number of the transit agency’s paratransit coordinator, agencies may provide any appropriate telephone number. (See Circular Section 9.9.)

### Identification Cards

Although not required, many transit agencies issue identification cards to eligible riders. While agencies have the option to choose which information to include on these cards, § 37.125(e) obligates agencies to also issue letters of determination containing all of the required information if the cards contain some but not all of the required information.

### Determination Letters Provided to Applicants Found Ineligible

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When informing applicants that they are ineligible, § 37.125(d) obligates transit agencies to explain the reasons for the determination. FTA considers determinations of less than unconditional eligibility (i.e., conditional and temporary eligibility) to be degrees of ineligibility and therefore this requirement applies to any decision other than unconditional eligibility.

As explained in [Appendix D](#) to § 37.125, in the determination letter “the reasons must specifically relate the evidence in the matter to the eligibility criteria of this rule and of the entity’s process. A mere recital that the applicant can use fixed route transit is not sufficient.”

For example, an applicant may claim that arthritis affecting the knees prevents him or her from walking to and from bus stops, but information gathered from professionals or through functional assessments did not substantiate this claim. Section 37.125(d) requires the determination letter to provide specific reasons

for the denial. For example, “You indicated that you could not use fixed route services because arthritis in your knees prevented you from walking to and from bus stops. However, information from the professional you identified for verification of your disability indicated that you had mild osteoarthritis that did not limit your ability to walk to or from bus stops. The physical therapist who conducted the assessment of your walking ability also reported that you walked the 1/2-mile route at the assessment center without any apparent discomfort or change in gait.” In contrast, it would not be appropriate, for example, to offer the following explanation for a denial: “The information we obtained indicated that you were not prevented from using fixed route transit service.”

FTA recommends that those preparing determination letters put themselves in the applicant’s position and ask, “Am I providing enough details to allow an applicant to adequately prepare for an appeal should they choose to do so?” If determination letters do not identify which pieces of information were critical in making the decision, then applicants do not know how to challenge that decision.

When denying or granting less than unconditional eligibility (i.e., conditional or temporary eligibility), FTA requires the written determination to also explain an applicant’s right to appeal the decision and how to request an appeal. (See Circular Section 9.7.)

Attachment 9-2 provides sample determination letters that illustrate what information to include when making different types of determinations. This attachment includes sample letters for determinations of unconditional eligibility, conditional eligibility, temporary eligibility, and full eligibility denials.

## 9.6 Recertification

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### Requirement

“The entity may require recertification of the eligibility of ADA paratransit eligible individuals at reasonable intervals” ([§ 37.125\(f\)](#)).

### Discussion

Section 37.125(f) allows agencies to recertify the eligibility of ADA paratransit riders at reasonable intervals, recognizing that many factors might change over time that could affect the ability of individuals with disabilities to use fixed route transit service. These could include changes in the physical environment, changes in the accessibility of the fixed route system, or changes in riders’ functional abilities.

[Appendix D](#) to § 37.123 provides guidance on establishing reasonable intervals for recertification, noting that requiring recertification too frequently (e.g., more than once per year) would probably be overly burdensome to riders. Too frequent recertification may also prove costly to transit agencies. On the other hand, granting eligibility for very long periods might not be adequate to capture changes in riders’ abilities and conditions. Many agencies require recertification every 3 to 5 years as a balance between the need to determine current abilities and conditions and the cost of managing the recertification process.

Regardless of the recertification policies adopted, eligible individuals have the right to reapply at any time. [Appendix D](#) to § 37.123 explains that “a user of the service can apply to modify conditions on his or her eligibility at any time.” For example, individuals initially granted conditional eligibility might feel that their functional abilities have changed and the conditions established no longer reflect their abilities. They can request reconsideration of their eligibility by submitting new documentation or reapplying during their current term of eligibility. Determinations made during existing terms of eligibility, whether based on additional documentation or new applications, are considered new decisions and, as such, are appealable. (See Circular Section 9.7.) This right to reapply extends to anyone, including those denied eligibility.

Similarly, transit agencies may request that eligible individuals reapply if information shows a significant change in their functional abilities. For example, an individual may initially apply while using a manual wheelchair. At some point during the term of eligibility, the individual might obtain a power wheelchair that could overcome a previous inability to get to and from transit stops and stations. In this case, it would be acceptable for the agency to ask the individual to reapply so that eligibility could be appropriately adjusted. It would not be acceptable to ask or require an individual to reapply for eligibility based on casual anecdotal observations by people not trained in making eligibility determinations, such as drivers or other riders.

### 9.6.1 Optional Practices for Recertification

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Transit agencies have several local options for implementing recertification. An optional good practice is to remind riders of the need to reapply before the end of their term of eligibility. Many agencies send riders a notice 60 to 90 days before their current eligibility expires and include the materials needed to reapply. This reminder helps to avoid lapses in a riders' eligibility and facilitates a smooth recertification process.

Agencies may also decide to use a simplified recertification process for certain riders such as those who have been granted unconditional eligibility and whose functional abilities are not likely to change over time even with different mobility aids. Such simplified recertification forms ask riders to update their contact information and note any changes in their travel abilities or needs. Repeat in-person interviews and functional assessments may not be necessary for these riders. Appropriate use of simplified recertification forms and processes may reduce eligibility determination costs.

FTA notes that many transit agencies have strengthened and improved their eligibility determination processes in recent years. Such changes may result in changes to some individuals' long-standing eligibility determinations (e.g., from unconditional to conditional or even to not eligible) after recertification. FTA encourages agencies to consider the significant impact that such changes can have and to consider implementing recertification in a way that allows people to make necessary transitions, in consultation with the community they serve. This approach can include providing reasonable transition periods or offering travel training to those who express an interest.

## 9.7 Appeal Process

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### Requirement

“The entity shall establish an administrative appeal process through which individuals who are denied eligibility can obtain review of the denial.

- (1) The entity may require that an appeal be filed within 60 days of the denial of an individual's application.
- (2) The process shall include an opportunity to be heard and to present information and arguments, separation of functions (i.e., a decision by a person not involved with the initial decision to deny eligibility), and written notification of the decision, and the reasons for it.
- (3) The entity is not required to provide paratransit service to the individual pending the determination on appeal. However, if the entity has not made a decision within 30 days of the completion of the appeal process, the entity shall provide paratransit service from that time until and unless a decision to deny the appeal is issued” ([§ 37.125\(g\)](#)).

## Discussion

Section 37.125(g) obligates transit agencies to establish an administrative process through which individuals can appeal eligibility denials, including those determined conditionally eligible or only eligible on a temporary basis. The right to appeal also extends to decisions resulting from individuals choosing to reapply during their eligibility term.

### 9.7.1 Notification of Appeal Rights, Appeal Requests, and Right to Be Heard in Person

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Section 37.125(g) obligates transit agencies to provide riders the opportunity to appeal an ineligibility determination. FTA requires transit agencies to include notice of the right to appeal and how to request an appeal in letters communicating decisions that deny or limit eligibility in any way. An optional good practice is to also enclose an appeal request form with determination letters. (See Attachment 9-3 for a sample appeal request form.)

Section 37.125(g)(1) obligates transit agencies to accept appeal requests received within 60 days of the initial determinations. Policies that provide a longer period to request appeals are permitted. If an applicant misses the deadline or chooses not to appeal, however, he or she may reapply for service at any time.

Section 37.125(g)(2) requires transit agencies to include an opportunity to be heard in person. While it is appropriate to require individuals to submit requests for appeals in writing, agencies may not require such requests to include the basis or reasons for the appeal. The choice to submit written information in advance of or instead of an appeal hearing is for the appellant to make.

FTA encourages transit agencies to ensure that hearing locations are easy for appellants to reach. Some appellants may be discouraged or prevented from exercising their right to attend an appeal hearing if they have difficulty traveling to a hearing location or if they would incur a significant expense in getting there.

The DOT ADA regulations do not specify a deadline by which agencies must hold an in-person appeal after an applicant requests a hearing. FTA encourages transit agencies to hold the appeal hearing promptly (i.e., within 30 days of the initial request).

### 9.7.2 Separation of Functions

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Section 37.125(g)(2) requires a separation of functions, meaning that, to the extent practicable, the individuals deciding appeals were not involved with the applicant's initial eligibility determination, including working in the same office as, supervising, or working for the original decisionmaker.

One way to check for separation of function (and authority) is to examine a transit agency's organizational chart. A vertical line or lines connecting those involved in initial determinations and those deciding appeals means that these individuals are not sufficiently separated. Appropriate separation means individuals from the agency involved in appeals work in a different office or department from those making the initial decision. In smaller agencies where it is not feasible to fully separate functions, [Appendix D](#) to § 37.125 explains that "the second decisionmaker should at least be 'bubbled' with respect to the original decision (i.e., not have participated in the original decision or discussed it with the original decisionmaker)."

### 9.7.3 Timely Appeal Decisions

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Under § 37.125(g)(3), a transit agency is not required to provide complementary paratransit service to the appellant pending the determination on appeal. But if it has not made a decision within 30 days of the

completion of the appeal process, the agency is obligated to provide service until and unless it issues a decision to deny the appeal. Some agencies elect to continue to provide complementary paratransit service to current riders whose eligibility was denied or limited during recertification to avoid service interruptions should the appeal overturn the initial decision.

Once a decision is made, § 37.125(g)(2) obligates the agency to provide appellants with written appeal decisions (in accessible formats as appropriate) with specific reasons for the decision provided, similar to the level of detail provided in the initial determination letter.

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## 9.7.4 Suggestions for Appeals Practices

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### Selecting Individuals to Hear Appeals

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In selecting individuals to hear and decide appeals, FTA recommends that transit agencies consider the following general guidelines and suggestions, in consultation with the communities served:

- Select individuals for their ability to maintain objectivity in reviewing appeals; do not select them to “represent” one side or a particular point of view (e.g., the transit agency or the disability community). If agency staff or members of the disability community are selected to hear appeals, it is important they remain impartial throughout the process.
- Select individuals to hear and decide appeals who bring a high level of knowledge about the functional abilities of individuals with disabilities similar to those of appellants. An optional good practice is to compile a roster of specialists to call upon according to each appellant’s disability. For example, call on orientation and mobility specialists to hear appeals from individuals with vision disabilities. Call on psychiatrists, mental health professionals, or social workers to hear appeals from individuals with psychiatric or cognitive disabilities. Physical or occupational therapists would be qualified to hear appeals from individuals with physical disabilities.
- Select individuals who have a thorough understanding of the function and intent of complementary paratransit and the regulatory criteria for ADA paratransit eligibility; train them as necessary to ensure they fully understand the regulations.
- Select individuals who also have knowledge of fixed route transit and complementary paratransit policies. This will allow them to more accurately determine if appellants can perform all of the tasks required to use fixed route services and to understand the differences between use of fixed route transit and complementary paratransit.

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### Optional Internal Review Practices

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FTA encourages transit agencies to double-check any determinations that deny or limit eligibility before communicating the decision to the applicant. A second reviewer might review each file to ensure that the decision appears appropriate.

Similarly, when applicants request appeals, FTA encourages transit agencies to double-check applicants’ files and the initial decisions. If such internal reviews identify errors in initial determinations, agencies can quickly reverse the initial decisions and obviate the burden and cost of formal appeals.

It is important to note that these double-checks are internal and not considered part of the rider’s appeal, since they would be undertaken without additional information from the appellant and without an opportunity for the appellant to be heard in person, and might not meet the requirement for separation of functions. The results of such reviews would only be communicated to applicants if they determined that unconditional, full-term eligibility should have been granted. Otherwise, the appeal would be heard.

Communicating less than unconditional eligibility could cause applicants to interpret these internal reviews as an appeal decision and may discourage them from continuing with the appeal process. In such instances, FTA encourages undertaking these reviews within a day or two after receiving appeal requests.

If the internal review suggests less than unconditional eligibility, FTA encourages transit agencies to hold the appeal hearing promptly (i.e., within 30 days of the initial request).

## 9.8 Personal Care Attendants and Companions

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### Requirement

“Individuals accompanying an ADA paratransit eligible individual shall be provided service as follows:

(1) One other individual accompanying the ADA paratransit eligible individual shall be provided service—

(i) If the ADA paratransit eligible individual is traveling with a personal care attendant, the entity shall provide service to one other individual in addition to the attendant who is accompanying the eligible individual;

(ii) A family member or friend is regarded as a person accompanying the eligible individual, and not as a personal care attendant, unless the family member or friend registered is acting in the capacity of a personal care attendant;

(2) Additional individuals accompanying the ADA paratransit eligible individual shall be provided service, provided that space is available for them on the paratransit vehicle carrying the ADA paratransit eligible individual and that transportation of the additional individuals will not result in a denial of service to ADA paratransit eligible individuals;

(3) In order to be considered as ‘accompanying’ the eligible individual for purposes of this paragraph (f), the other individual(s) shall have the same origin and destination as the eligible individual” ([§ 37.123\(f\)](#)).

“In applications for ADA paratransit eligibility, the entity may require the applicant to indicate whether or not he or she travels with a personal care attendant” ([§ 37.125\(i\)](#)).

### Discussion

A personal care attendant (PCA), as explained in [Appendix D](#) to § 37.121, is “someone designated or employed specifically to help the eligible individual meet his or her personal needs.”<sup>6</sup> A PCA typically assists with one or more daily life activities such as providing personal care, performing manual tasks, or providing assistance with mobility or communication. PCA assistance is not always needed during a complementary paratransit trip itself; because of the nature of typical PCA functions, it is most likely the services provided by a PCA would be required throughout the day at the passenger’s destination.

PCAs are sometimes family members or friends. In some instances, PCAs are other individuals with a disability. This might be an individual with a physical disability who assists someone with a vision disability or who accompanies an individual with an intellectual disability who cannot travel independently.

Section 37.123(f)(1) grants complementary paratransit riders the right to be accompanied by “at least one” companion. Section 37.123(f)(2) obligates transit agencies to accommodate additional companions if space is available, meaning that they do not displace other eligible riders. Such companions can be a spouse, a child, a coworker, a friend, or anyone else traveling with riders.

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<sup>6</sup> State agency requirements governing attendant services that may be more restrictive (i.e., limited to certain paid or licensed individuals) are not relevant for complementary paratransit purposes. Transit agencies may not require attendants to be paid or deemed “attendants” by state agencies to qualify as a PCA.

PCAs differ from companions. While both accompany riders with disabilities, PCAs also assist riders with a daily life activity. [Appendix D](#) to § 37.123 notes, “a companion (e.g., friend or family member) does not count as a personal care attendant unless the eligible individual regularly makes use of a personal care attendant and the companion is actually acting in that capacity.”

To be viewed as “accompanying” an eligible rider, PCAs and companions must board and disembark at the same locations as eligible individuals. This means that transit agencies are not required to transport PCAs and companions to or from other locations.

To ensure space availability for all riders, it is appropriate for transit agencies to require riders making trip reservations to indicate that they will be traveling with a PCA or companion.

As noted in Circular Section 8.4.6, PCAs pay no fare but transit agencies are permitted to charge companions the same fare charged to ADA paratransit eligible riders. Agencies are not required under § 37.123(f) to allow a complementary paratransit rider to be accompanied by more than one PCA at a time. The section of the regulations references “a personal care attendant” in the singular. In some cases, however, a complementary paratransit rider might want to bring along more than one companion.

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### 9.8.1 Eligibility Considerations and PCAs

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During the eligibility determination process, a transit agency may ask applicants if they sometimes travel with a PCA. However, whether a rider travels with a PCA does not have a bearing on eligibility. As noted in [Appendix D](#) to § 37.123, this step is taken to “prevent potential abuse” of the PCA provision by documenting that the rider travels with a PCA. By noting the need for a PCA in a rider’s application, the agency can more easily determine if an individual traveling with the rider is a PCA or simply a companion, which in turn simplifies determining required fares, because a companion pays the fare while a PCA does not.

Even when applicants seeking ADA paratransit eligibility indicate they always need a PCA for travel, a transit agency-imposed requirement to always travel with a PCA is inconsistent with [§ 37.5\(e\)](#).<sup>7</sup> (See Circular Section 2.2.5.) Some riders may be able to use complementary paratransit unattended by a PCA for some trips (e.g., those ending at a destination familiar to them).

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## 9.9 Service for Visitors

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### Requirement

“Each public entity required to provide complementary paratransit service under § 37.121 of [Part 37] shall make the service available to visitors as provided in this section” ([§ 37.127\(a\)](#)).

“For purposes of this section, a visitor is an individual with disabilities who does not reside in the jurisdiction(s) served by the public entity or other entities with which the public entity provides coordinated complementary paratransit service within a region” ([§ 37.127\(b\)](#)).

### Discussion

This requirement obligates transit agencies to provide complementary paratransit service to individuals with disabilities visiting their area. Visitors are defined as individuals who reside outside an agency’s jurisdiction. In cases where multiple transit agencies have developed a coordinated regional paratransit

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<sup>7</sup> There is one exception. An agency may require an attendant as a condition of providing service to an individual it otherwise had the right to refuse for conduct reasons under [§ 37.5\(h\)](#). For more information, see Circular Section 2.2.5.

service, visitors are defined as those residing outside of the regional jurisdiction. [Appendix D](#) to § 37.127 explains:

[Section 37.127] requires each entity having a complementary paratransit system to provide service to visitors from out of town on the same basis as it is provided to local residents. By “on the same basis,” we mean under all the same conditions, service criteria, etc., without distinction. For the period of a visit, the visitor is treated exactly like an eligible local user, without any higher priority being given to either.

FTA notes that granting visitor eligibility is a fairly simple and quick process enabling individuals to contact the host agency to learn what is required and then being able to easily meet the requirements. This also means that upon receipt of any required documentation described below, transit agencies are to quickly enter necessary information into any databases or systems to permit visitors to place trip requests. FTA envisions this as a process that can often be completed the same day or no more than one day later.

### 9.9.1 Visitors with Eligibility from Another Transit Agency

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#### Requirement

“Each public entity shall treat as eligible for its complementary paratransit service all visitors who present documentation that they are ADA paratransit eligible, under the criteria of § 37.125 of [Part 37], in the jurisdiction in which they reside” ([§ 37.127\(c\)](#)).

#### Discussion

Individuals that other transit agencies have determined to be ADA paratransit eligible can present documentation of eligibility received from these other agencies. As discussed in [Appendix D](#) to § 37.123, host transit agencies “will give ‘full faith and credit’ to the ID card or other documentation from the other [transit agency].” Agencies must accept this documentation directly from the individual and not require that the documentation be provided directly from the individual’s home transit agency.

### 9.9.2 Visitors Without Eligibility from Another Transit Agency

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#### Requirement

“With respect to visitors with disabilities who do not present such documentation, the public entity may require the documentation of the individual’s place of residence and, if the individual’s disability is not apparent, of his or her disability. The entity shall provide paratransit service to individuals with disabilities who qualify as visitors under paragraph (b) of this section. The entity shall accept a certification by such individuals that they are unable to use fixed route transit” ([§ 37.127\(d\)](#)).

#### Discussion

Individuals with disabilities might not have documentation of ADA paratransit eligibility from another transit agency because they reside in areas without public transit or they have not applied for eligibility in their home area. Asking such individuals to provide proof of residence to verify they qualify as a visitor is appropriate. For visitors whose disability is apparent, § 37.127(d) prohibits agencies from requiring additional documentation. For visitors whose disability is not apparent (e.g., cognitive disability or cardiac condition), requiring documentation of disability, such as a letter from a medical professional or eligibility for other services based on a determination of disability, is permitted. Once this basic documentation is provided, [Appendix D](#) to § 37.127 states that “the local provider will make service available on the basis of the individual’s statement that he or she is unable to use the fixed route transit system.”

### 9.9.3 Duration of Visitor Eligibility

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#### Requirement

“A public entity shall make the service to a visitor required by this section available for any combination of 21 days during any 365-day period beginning with the visitor’s first use of the service during such 365-day period. In no case shall the public entity require a visitor to apply for or receive eligibility certification from the public entity before receiving the service required by this section” ([§ 37.127\(e\)](#)).

#### Discussion

This requirement obligates transit agencies to provide visitors with complementary paratransit service for any combination of 21 days during a 365-day period beginning with the visitor’s first use of the service. This requirement prohibits agencies from requiring visitors to apply for ADA paratransit eligibility. However, for visitors requesting service beyond the 21 days in the 365-day period, it is appropriate to ask such visitors to apply through the agency’s eligibility process. An optional good practice is to ask visitors when they first call if they expect to use the service for more than 21 days in the next 365-day period and to offer application materials if they answer in the affirmative.

## 9.10 Access to Information

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### 9.10.1 Providing Accessible Information and Materials

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#### Requirement

“All information about the process, materials necessary to apply for eligibility, and notices and determinations concerning eligibility shall be made available in accessible formats, upon request” ([§ 37.125\(b\)](#)).

#### Discussion

In addition to the general requirement in [§ 37.167\(f\)](#) for transit agencies to provide service information in accessible formats (see Circular Section 2.8), the DOT ADA regulations in § 37.125(b) specifically require ADA paratransit materials to be in accessible formats. This accessible format requirement covers brochures or public information describing ADA paratransit eligibility and the application process, the application form, letters of determination, and information on the appeal process, as well as other information and materials.

As discussed in [Appendix D](#) to § 37.125, “A document does not necessarily need to be made available in the format a requester prefers, but it does have to be made available in a format the person can use. There is no use giving a computer disk to someone who does not have a computer, for instance, or a braille document to a person who does not read braille.”

### 9.10.2 Providing Title VI Language Access

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Transit agencies that receive Federal funds also have obligations under Title VI of the Civil Rights Act of 1964 for ensuring individuals with limited English proficiency (LEP) can access their programs and activities. These obligations are described in [FTA Circular 4702.1B](#), Chapter III. Because of these requirements, agencies must ensure, for example, that LEP individuals are able to have access to information on complementary paratransit service and how to apply. The Title VI Circular notes specifically that agencies must translate vital text, including “an ADA complementary paratransit

eligibility application.” Agencies must also in some cases provide foreign language interpreter services so that LEP individuals may participate, for example, in interviews, assessments, and appeal processes related to eligibility denials or no-show suspensions. A failure to translate vital text or to provide foreign language interpreter services at no cost to an LEP individual could result in a denial of meaningful access by a transit agency to that individual in violation of Title VI. (See Circular Section 9.12.)

## 9.11 Other Process Considerations

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### 9.11.1 Confidentiality of Applicant Information

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Determination of ADA paratransit eligibility is likely to include collecting personally identifiable information (PII), including information about disabilities and health conditions. Transit agencies are not subject to the Health Insurance Portability and Accountability Act’s (HIPAA) privacy and security rules. However, according to the Transit Cooperative Research Program’s (TCRP) [Legal Research Digest 46](#):

[S]ome state statutes impose an obligation on a person or entity not to disclose health information without an individual’s reauthorization of its disclosure. Even in the absence of a state statute, persons or entities that disclose an individual’s health information may be subject to civil claims under state constitutional or statutory provisions or at common law for invasions of privacy and other claims in tort or for breach of contract.<sup>8</sup>

FTA recommends that transit agencies keep PII confidential, limit distribution to only those who need access, and keep application files in a secure location. FTA also recommends informing those involved in reviewing applications and making determinations of the need to maintain confidentiality.

Optional good practices include developing information security and confidentiality policies and plans, informing and training all employees who receive protected information of their responsibilities, and requiring all employees to sign statements acknowledging their responsibilities and agreeing to protect and keep information confidential. Such optional practices also apply to the appeal process, including requiring individuals hearing appeals to maintain strict confidentiality and requiring individuals involved in hearing appeals to sign confidentiality policy statements. Another optional good practice is to require those involved in hearing appeals to return all application information after deciding an appeal.

FTA notes that some transit agencies request social security numbers (SSNs) as part of the application process in order to establish a unique identifier for each applicant. FTA discourages agencies from requesting SSNs because the information is not needed for a determination of eligibility and collecting and storing SSNs creates additional data security responsibilities. FTA encourages agencies to use other unique identifiers.

In some instances, it is important to communicate rider information to drivers to ensure safe, appropriate service while maintaining confidentiality. In these cases, an optional good practice is to add information to run manifests without including specific information on the rider’s specific disability. This practice protects confidentiality while providing drivers important operational information.

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<sup>8</sup> Transportation Research Board, Transit Cooperative Research Program (TCRP), Legal Research Digest 46, “How the Health Insurance Portability and Accountability Act (HIPAA) and Other Privacy Laws Affect Public Transportation Operations” (July 2014).

## 9.11.2 Coordination of Eligibility Determination Processes

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FTA encourages transit agencies with contiguous service areas or serving a defined region to coordinate eligibility determinations to facilitate regional travel. An example of such coordination is in the San Francisco Bay area, which has a Regional Eligibility Database (RED). Approximately 20 area transit providers record eligibility data for their riders into the RED and then access this data to verify eligibility for riders approved by another provider.

## 9.12 No-Show Suspensions

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### Requirement

“The entity may establish an administrative process to suspend, for a reasonable period of time, the provision of complementary paratransit service to ADA eligible individuals who establish a pattern or practice of missing scheduled trips.

(1) Trips missed by the individual for reasons beyond his or her control (including, but not limited to, trips which are missed due to operator error) shall not be a basis for determining that such a pattern or practice exists.

(2) Before suspending service, the entity shall take the following steps:

(i) Notify the individual in writing that the entity proposes to suspend service, citing with specificity the basis of the proposed suspension and setting forth the proposed sanction.

(ii) Provide the individual an opportunity to be heard and to present information and arguments;

(iii) Provide the individual with written notification of the decision and the reasons for it.

(3) The appeals process of paragraph (g) of this section is available to an individual on whom sanctions have been imposed under this paragraph. The sanction is stayed pending the outcome of the appeal” ([§ 37.125\(h\)](#)).

### Discussion

Section 37.125(h) permits transit agencies to suspend riders who “establish a pattern or practice of missing scheduled trips” after providing a rider due process. As discussed in [Appendix D](#) to § 37.125, a “pattern or practice” involves “intentional, repeated or regular actions, not isolated, accidental, or singular incidents.” The purpose of a suspension process would be to deter or deal with chronic “no-shows.”

Only actions within the control of the individual may count as part of a pattern or practice. As Appendix D to § 37.125 explains,

Missed trips due to operator error are not attributable to the individual passenger for this purpose. If the vehicle arrives substantially after the scheduled pickup time, and the passenger has given up on the vehicle and taken a taxi or gone down the street to talk to a neighbor, that is not a missed trip attributable to the passenger. If the vehicle does not arrive at all, or is sent to the wrong address, or to the wrong entrance to a building, that is not a missed trip attributable to the passenger. There may be other circumstances beyond the individual’s control (e.g., a sudden turn for the worse in someone with a variable condition, a sudden family emergency) that make it impracticable for the individual to travel at the scheduled time and also for the individual to notify the entity in time to cancel the trip before the vehicle comes. Such circumstances also would not form part of a sanctionable pattern or practice.

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### 9.12.1 Late Cancellations

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The regulations only address proposed service suspensions due to a pattern or practice of missing scheduled trips. However, FTA permits transit agencies to count late cancellations as no-shows for trips cancelled less than 1 to 2 hours prior to the pickup time negotiated with the rider, and only under the same circumstances (i.e., not due to reasons beyond the rider’s control).

### 9.12.2 Establishing that a Pattern or Practice Exists

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In order to establish whether or not a particular rider has established a “pattern or practice” of missing scheduled trips, a transit agency must consider the rider’s frequency of use of the paratransit service. Three no-shows in 30 days for a regular rider who uses the service daily to commute to and from work as well as for other purposes, for example, is very different from three no-shows by a customer who schedules only five trips per month.

To help define what constitutes an abuse of the service, FTA recommends that transit agencies establish a two-step process for determining whether a pattern or practice exists. The first step is to establish thresholds for suspensions that represent multiples of the systemwide average. For example, if the systemwide average for no-shows is 5 percent of all scheduled trips, the threshold for potential suspensions might be greater than 10–15 percent.

The second part of this two-step process is to establish thresholds for the minimum number of no-shows within a given interval, below which suspensions would not be imposed. For example, a pattern or practice might be defined as three or more no-shows in a given month that exceed 10 percent of scheduled trips. If the policy only set a 10 percent frequency and did not also include at least three no-shows, a passenger taking only 10 trips in a month would face suspension after a single no-show, which would not represent a pattern or practice.

A sample no-show policy that offers an example of how to address both the absolute number and frequency of no-shows is provided in Attachment 9-4.

Regardless of the methodology chosen, agencies must be prepared to explain to FTA during oversight activity how their threshold represents a pattern or practice consistent with § 37.125(h).

Because transit agencies cannot use no-shows beyond a rider’s control as a basis for determining a pattern or practice of missing scheduled trips, an optional good practice is to include statements to this effect in all public information describing no-show policies.

### 9.12.3 Notifying Riders of Proposed Suspensions and Right to Appeal

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Section 37.125(h)(3) extends the appeal requirements (e.g., notification and an opportunity to be heard in person) for ADA paratransit eligibility denials under § 37.125(g) to suspensions for no-shows. As [Appendix D](#) to § 37.125 notes, “Once an entity has certified someone as eligible, the individual’s eligibility takes on the coloration of a property right. . . . Consequently, before eligibility may be removed ‘for cause’ under this provision, the entity must provide administrative due process to the individual.”

If a transit agency proposes to suspend a rider, it must first notify the individual in writing (using accessible formats where necessary) and cite with specificity the basis of the proposed suspension consistent with § 37.125(h)(2). As Appendix D to § 37.125 explains,

If the entity proposes to impose sanctions on someone, it must first notify the individual in writing (using accessible formats where necessary). The notice must specify the basis of the proposed action (e.g., Mr. Smith scheduled trips for 8 a.m. on May 15, 2 p.m. on June 3, 9 a.m. on June 21, and 9:20 p.m. on July 10, and on each occasion the vehicle appeared at the scheduled

time and Mr. Smith was nowhere to be found) and set forth the proposed sanction (e.g., Mr. Smith would not receive service for 15 days).

FTA recommends that the notifications also inform riders that no-shows beyond their control will not be counted and indicate how riders can explain the no-shows were beyond their control.

Section 37.125(g)(2) also obligates transit agencies to inform riders that they have the right to appeal the proposed suspension (with an option for an in-person appeal), consistent with the appeals process outlined in § 37.125(g). (See Circular Section 9.7.) This means including instructions on the appeal process, and how to request an appeal. Under § 37.125(h)(3), suspensions are stayed pending the outcome of the appeal.

An optional good practice is to regularly notify riders of individual no-show charges to allow them an opportunity to dispute or explain no-shows beyond their control, or have a mechanism in place for riders to call or otherwise proactively report why they missed specific trips. FTA notes, however, that riders can appeal the basis for proposed suspensions even if they elect not to dispute any individual no-show.

For riders who have accumulated several no-shows and may soon be facing service suspensions, another optional good practice is to send warning letters before a rider has reached the point of suspension. Effective no-show suspension warning letters list the no-shows recorded, note that additional no-shows could result in a suspension, and encourage riders to call if they feel any of the no-shows were recorded in error or were outside the rider's control. Providing this notification after only a few no-shows makes it easier for riders to recall the actual circumstances surrounding the no-shows and discourages future no-shows by the rider.

FTA recommends that transit agencies have robust procedures to verify that no-shows were recorded correctly before proposing service suspensions, including reviewing a vehicle's location and arrival and departure times for each trip, and to remove any incorrectly recorded no-shows. For example, for agencies that use 30-minute pickup windows and require drivers to wait at least 5 minutes before departing without a rider (see Circular Section 8.5.3), this means verifying that drivers did not:

- Arrive before the 30-minute window and depart before waiting at least 5 minutes within the 30-minute pickup window without picking up the rider (a missed trip)
- Arrive within the 30-minute window and depart before waiting at least 5 minutes without making contact with the rider (a missed trip)
- Arrive after the 30-minute window without picking up the rider (a missed trip)

This also means verifying trip addresses to ensure that trip-booking errors did not occur and that vehicles were at the correct location.

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### 9.12.4 Duration of Suspensions

Section 37.125(h) requires suspensions to be “for a reasonable period of time.” FTA considers up to 1 week for the first offense a reasonable duration. Subsequent offenses may justify longer suspensions. A second violation might result in a suspension for a few days longer than the first violation and so forth. While it is reasonable to gradually increase the duration of suspensions to address chronic no-shows, FTA generally considers suspensions longer than 30 days to be excessive.

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### 9.12.5 Prohibition Against Financial Penalties

While § 37.125(h) permits a transit agency to establish an administrative process to suspend, for a reasonable amount of time, complementary paratransit service to eligible individuals who establish a pattern or practice of missing scheduled trips, there are no provisions for imposing other types of penalties for no-shows. This includes financial penalties, including charging fares for trips scheduled but

not taken or requiring payment of a fine in order to restore complementary paratransit service. In some cases, however, agencies and riders facing suspensions have mutually agreed on payments for missed trips in lieu of suspensions. Where such arrangements are made voluntarily, FTA has elected not to intervene.

### 9.12.6 Round-Trips and No-Shows

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Because riders have an independent right to each trip, transit agencies that assess riders with no-shows for the outgoing portion of a round-trip are advised not to automatically assume that the return trip is not needed. Absent indications from riders or other reliable sources that they will not need return trips, FTA requires return trips and subsequent trips to remain on schedules. In these instances, an optional good practice is to attempt to contact riders who no-showed the outgoing trip to inquire about return trips to avoid the cost of sending vehicles unnecessarily and penalizing the rider for another no-show.

### 9.12.7 Optional Practices for Minimizing No-Shows

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FTA encourages transit agencies to develop operating procedures that minimize no-shows. Optional good practices include:

- Establishing a brief period (e.g., 5 minutes) within on-time pickup windows during which drivers will wait for riders before departing.
- Ensuring all drivers provide the same level of rider assistance. Inconsistencies can create rider expectations that result in no-shows if some drivers go to a rider's door while others only wait at the curb or if policies for assistance beyond the curb are not consistently implemented.
- Repeating and verifying key information during trip booking. This includes day and date, addresses, special pickup instructions (e.g., "side door"), and scheduled pickup times and windows.
- Making it easy for riders to cancel trips they no longer need. For example, transit agencies might provide a 24-hour trip cancellation phone number for riders to leave messages when the office is closed.
- Contacting riders who have repeat no-shows before a pattern or practice develops to determine if they understand how to use the service.
- Establishing a process to adjust subscription schedules for riders whose subscription trips are affected. No-shows often occur from a failure to adjust subscription schedules when temporary changes occur. For example, a rider who has subscription services may go on vacation and inform the transit agency of the vacation, but the subscription schedule may remain unchanged. Note that failure to properly manage subscription trips is an agency failure and would not be held against the rider.
- Maintaining close communications with agencies that may provide lists of riders who receive subscription service. No-shows sometimes occur if these lists are not updated or if agencies do not accurately communicate which riders are to be scheduled each day. Again, this would be a failure between the two agencies, not something that would be held against the rider.

# Attachment 9-1

## Assessing Abilities to Use Fixed Route Transit Services

### Sample/Draft Task List (to be Discussed and Refined with Local Input)

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Following is an optional draft list of tasks to be considered when developing a master task list with local input. Tasks must be performed independently, with the exception of transit personnel providing assistance with boarding, alighting, and operation of lifts, ramps and securement systems. With a reasonable level of effort or risk, can the applicant independently and consistently:

- Get and remember transit system information
- Walk/wheel to and from transit stop/station
  - Throughout area – up to 3/4 mile
  - Over various surfaces
  - Over various terrain
  - Up/down curbs
  - Up/down curb ramps
  - Cross streets of various widths and with various controls
  - Find way in familiar and unfamiliar settings
- Enter and exit transit stations
  - Flights of stairs
  - Elevators and escalators
  - Navigating complex stations
- Wait at a stop/station for transit vehicle with and without benches/shelters
- Locate and recognize bus/train to take Single route and multiple routes with transfers
- Board and exit vehicle
  - Inaccessible vehicles
  - Accessible vehicles (lift, ramp)
- Pay fare
- Get to seat/securement area
- Ride in seated or standing position
- Recognize destination
- Signal for stop
- Perform above tasks in various weather and environmental conditions
  - Snow, ice, rain, heat, humidity, cold, smog
  - Bright light, low light, background noise
- Handle unexpected situations
- Remain safe when traveling alone (related to personal judgment and safety skills, not general public safety)<sup>1</sup>

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<sup>1</sup> See Circular Section 9.2.1.

## Sample/Draft Functional Skills Lists (to be Discussed and Refined with Local Input)

### Physical Functional Skills List

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Physical functional abilities needed to perform tasks required to use fixed route transit system:

- Walking speed
- Endurance
- Coordination
- Strength
- Balance
- Gait
- Range of motion
- Dexterity

### Cognitive Functional Skills List

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Cognitive functional abilities needed to perform tasks required to use fixed route transit system:

- Orientation to person, place and time
- Judgment and safety skills
- Problem solving
- Coping skills
- Short and long-term memory
- Concentration (attention to task)
- Ability to seek and act on directions
- Ability to process information
- Ability to communicate needs
- Consistency
- Behavioral skills

### Sensory Functional Skills List

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Sensory functional abilities needed to perform tasks required to use fixed route transit system:

- Orientation to place
- Directional wayfinding
- Ability to detect changes on surfaces
- Ability to detect environmental cues (hearing)
- Proficiency in using mobility aids

## Attachment 9-2A

# Sample Unconditional ADA Paratransit Eligibility Letter

[On Transit Agency Letterhead]

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[Date]

[Name]

[Mailing Address]

Dear [Applicant Name]:

We have completed our review of your recent request for [name of complementary paratransit service], [transit agency's] ADA paratransit service. Based on the information provided, we have determined that you are **UNCONDITIONALLY ELIGIBLE** for [name of complementary paratransit service] service. This means that you can use [name of complementary paratransit service] for any trips you need to make.

We have noted in your rider file that you sometimes travel with a personal care attendant (PCA). A PCA is someone designated or employed specifically to help you meet your personal needs, and is different from a guest or a companion. Your PCA may accompany you at no additional charge.

Your eligibility for [name of complementary paratransit service] is valid through [EXPIRATION DATE], after which you will need to request a continuation of your eligibility. We will notify you in advance of this expiration date to remind you to reapply and will send you a recertification request form at that time.

Enclosed is a copy of [insert name of a rider's guide], which explains the [name of complementary paratransit service] service and how to use it. The rider's guide includes helpful tips for using the service, so please be sure to read it. If you have any questions about the service, please call our Customer Service office at [phone number].

In addition to using [name of complementary paratransit service], this letter of eligibility also entitles you to use similar ADA paratransit services at other transit systems across the country as a visitor for up to 21 days per year. Simply provide the transit agency in the city you plan to visit with a copy of this letter to obtain approval to travel as a visitor.

If you have any questions about this determination of eligibility, please call our ADA Paratransit Eligibility office at [phone number].

Sincerely,

[ADA Paratransit Eligibility Manager]

Attachment: Rider's Guide

## Attachment 9-2B

# Sample Conditional ADA Paratransit Eligibility Letter

[On Transit Agency Letterhead]

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[Date]

[Name]

[Mailing Address]

Dear [Applicant Name]:

We have completed our review of your recent request for [name of complementary paratransit service], the ADA paratransit service provided by the [transit agency's]. Based on the information provided, we have determined that you are **CONDITIONALLY ELIGIBLE** for [name of complementary paratransit service] service. This means we determined that you are able to use fixed route bus [and rail] service(s) under certain conditions and are eligible to use [name of complementary paratransit service] service when you are not able to use fixed route buses [and trains]. Please review the attached pages, which describe the conditions under which you can use the [name of complementary paratransit service] service as well as the basis for our determination.

We have noted in your rider file that you sometimes travel with a personal care attendant (PCA). A PCA is someone designated or employed specifically to help you meet your personal needs and is different from a guest or a companion. Your PCA may accompany you at no additional charge.

Your eligibility for [name of complementary paratransit service] is valid through [EXPIRATION DATE], after which you will need to request a continuation of your eligibility. We will notify you in advance of this expiration date to remind you to reapply, and will send you a copy of a recertification request form at that time.

Enclosed is a Rider's Guide that explains the [name of complementary paratransit service] service and how to use it. The Rider's Guide includes helpful tips for using the service, so please be sure to read it. If you have any questions about the service, please call our Customer Service Office at [phone number].

In addition to using [name of complementary paratransit service], this letter of eligibility also entitles you to use similar ADA paratransit services at other transit agencies across the country for up to 21 days of visitor service per year. Simply provide a copy of this letter to receive approval to travel as a visitor.

If you have any questions about this determination of eligibility, please call the [transit agency's] ADA Paratransit Eligibility Office at [phone number]. If you do not agree with the eligibility you have been granted, you have the right to appeal this determination. Requests for appeals must be submitted in writing. Copies of the Appeal Policy, as well as an Appeal Request Form, are attached.

Sincerely,

[ADA Paratransit Eligibility Manager]

Attachments:

Rider's Guide

Conditions of eligibility

Basis for the determination

Appeal policy and Appeal request form

## Conditions of Eligibility (Sample)

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### Example A

The following might be appropriate for an applicant who uses a manual wheelchair:

We determined that, because of your disability, you are not able to use the fixed route bus [and rail] service(s) under the following conditions. When these conditions exist, you are therefore eligible for [name of complementary paratransit service] service.

- You must travel more than 4 blocks to get to a bus stop [or train station], or from a bus stop [or train station] to your destination
- Sidewalks do not exist or are inaccessible (absence of curb ramps, broken pavement, or steep cross-slopes), which prevents you from getting to or from bus stops [or train stations]
- [Train stations that have stairs but no elevators prevent you from entering or exiting these stations]
- Steep hills prevent you from getting to or from bus stops [or train stations]
- The presence of snow or ice prevents you from getting to or from bus stops [or train stations]
- Conditions at bus stops you wish to use prevent bus drivers from deploying lifts or ramps at these stops

### Example B

The following might be appropriate for an applicant with an intellectual disability who has completed travel training to make one trip on the fixed route bus system:

You successfully completed travel training to use the fixed route bus service for some trips. Therefore, you are not eligible to use [name of complementary paratransit service] service for:

- Your trips from 50 Elm Street to 10 Main Street, or returning from 10 Main Street to 50 Elm Street (your trips to and from work)

Please continue to ride the fixed route bus for the above trips. For other trips, which you have not learned how to make by fixed route bus, you are eligible to use the [name of complementary paratransit service].

## Basis for the Determination (Sample)

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### Example A

The following language might be appropriate for a rider granted conditional eligibility:

You indicated in your application (and interview) that you are able to travel up to 4 blocks to get to and from bus stops [or train stations]. You also indicated that you are able to get to and from bus stops [and train stations] as long as the route features level, accessible sidewalks and curb ramps. You also indicated that when there is an accumulation of snow you are not able to get to or from bus stops [or train stations].

During your in-person assessment, you were able to travel along the outdoor route at the Transportation Assessment Center for the first 3 blocks at a steady pace and completed these 3 blocks in 10 minutes. Your pace slowed during the 4<sup>th</sup> block along the route and this fourth block took 4 minutes to complete. We also contacted [name of professional contacted to verify disability and functional abilities], who also indicated that you could go 4 blocks to get to or from bus stops and [train stations].

### Example B

The following language might be appropriate for a rider granted conditional eligibility:

You indicated in your application (and interview) that you had successfully completed travel training provided by the Center for Independent Living (CIL) and learned to take the bus from your home at 50 Elm Street to and from work at 10 Main Street. You said that you are currently using fixed route buses to make these trips to and from work. With your permission, we contacted the CIL and they confirmed that you completed travel training for these trips and that you are currently making these trips independently using fixed route buses.

Your score on the FACTS (Functional Assessment of Cognitive Transit Skills) test (115 out of 146 points), which you took at the Transportation Assessment Center, also confirmed that you are able to learn to make some trips by fixed route buses with instruction.

## Attachment 9-2C

# Sample Temporary ADA Paratransit Eligibility Letter

[On Transit Agency Letterhead]

---

Date

Name

[Mailing Address]

Dear [Applicant Name]:

We have completed our review of your recent request for [name of complementary paratransit service], [transit agency's] ADA paratransit service. Based on the information provided, we have determined that you are eligible for [name of complementary paratransit service] service on a TEMPORARY basis.

Your eligibility for [name of complementary paratransit service] is valid for [xx] months, through [EXPIRATION DATE]. Should you need [name of complementary paratransit service] service beyond this date, you will need to request a continuation of your eligibility.

We are granting you temporary eligibility because [indicate reasons for temporary eligibility, such as:] “this was the period of time you indicated your current condition would prevent you from using the fixed route transit service”; or “the information provided by you and [professional contacted] indicated that there could be a change in your ability to use the fixed route service after [xx] months as a result of treatment you are receiving”; or “your application materials indicated that you have the ability to use fixed route transit when provided instruction to use the service. Attached is information about our free travel training service. We recommend that you contact [contact person] to enroll in the service. We will determine your ongoing eligibility for [name of complementary paratransit service] after you have participated in the travel training program.”

We have noted in your rider file that you sometimes travel with a personal care attendant (PCA). A PCA is someone designated or employed specifically to help you meet your personal needs and is different from a guest or a companion. Your PCA may accompany you at no additional charge.

Enclosed is a Rider's Guide that explains the [name of complementary paratransit service] service and how to use it. The Rider's Guide includes helpful tips for using the service, so please be sure to read it. If you have any questions about the service, please call our Customer Service office at [phone number].

In addition to using [name of complementary paratransit service], this letter of eligibility also entitles you to use similar ADA paratransit services at other transit systems across the country as a visitor for up to 21 days per year. Simply provide the transit agency in the city you plan to visit with a copy of this letter to obtain approval to travel as a visitor.

If you have any questions about this determination of eligibility, please call the [transit agency's] ADA Paratransit Eligibility office at [phone number]. If you do not agree with this eligibility determination, you have the right to appeal this decision. We require that you request an appeal in writing. Copies of our appeal policy, as well as an appeal request form, are attached.

Sincerely,

[ADA Paratransit Eligibility Manager]

Attachments:

Rider's Guide

Appeal policy and Appeal request form

## Attachment 9-2D

# Sample Denial of ADA Paratransit Eligibility Letter

[On Transit Agency Letterhead]

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Date

Name

[Mailing Address]

Dear [Applicant Name]:

We have completed our review of your recent request for [name of complementary paratransit service], [transit agency's] ADA paratransit service. Based on the information provided, we have determined that you are able to use fixed route buses [and trains] and are not prevented by a disability from using the regular fixed route transit service. You are therefore NOT ELIGIBLE for [name of complementary paratransit service] service.

The basis for our decision is explained on the attached page, Basis for the Determination. If you do not agree with this eligibility determination, you have the right to appeal this decision. We require that you request an appeal in writing. Copies of our appeal policy, as well as an appeal request form, are attached.

Attached is information about [transit agency's] fixed route bus [and train] service(s). Also attached is information about our free Travel Training program, which is designed to assist people with using buses and trains. Please contact us if we can assist you with using our bus [or train] service. For information about bus and train schedules, or for assistance planning trips by bus or train, call our Customer Service office at [phone number].

If you have any questions about this eligibility determination, please call the [transit agency] ADA Paratransit Eligibility office at [phone number].

Sincerely,

[ADA Paratransit Eligibility Manager]

Attachments:

Basis for the Determination

Fixed route bus [and train] information

Travel training program information

Appeal policy and Appeal request form

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### Basis for the Determination (Sample)

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You did not indicate in your application (or interview) that you are prevented by a disability from using fixed route buses and trains. You indicated you could obtain, use and remember bus schedule information, find your way to and from bus stops and train stations, walk up to 12 blocks, and cross streets and intersections. You also indicated that you sometimes don't travel when it is too hot or cold, or when it is snowing. While these weather conditions make travel outside more difficult and uncomfortable, they do not prevent you from traveling outside. You indicated that your main problem was that buses and trains do not go to all the places you need to travel and that sometimes you would need to take several buses to get where you need to go.

With your permission, we contacted [name of professional who provided information], who confirmed that you have high blood pressure and hypertension and that you were taking medications for these health conditions, which were not serious enough to prevent you from using fixed route buses and trains.

You participated in the outdoor walk at the Transportation Assessment Center and were able to complete the 1/2-mile route in 16 minutes with no difficulty.

While using fixed route public transit may be less convenient than [name of complementary paratransit service] service, ADA paratransit eligibility is limited to people whose disabilities prevent them from using fixed route buses and trains.

## Attachment 9-3

### Sample ADA Paratransit Eligibility Determination Appeal Request Form

Please complete this form if you would like to appeal our determination regarding your eligibility for the [name of complementary paratransit service]. Once completed, please return it to the address listed below. Completed forms must be postmarked within 60 days of the date of your eligibility determination letter.

Name: \_\_\_\_\_

Street address: \_\_\_\_\_

City: \_\_\_\_\_ State \_\_\_\_\_ Zip \_\_\_\_\_

Telephone number with area code: (\_\_\_\_\_) - \_\_\_\_\_

Select one of the following:

- \_\_\_\_\_ I choose to submit additional information for the Appeal Panel to consider, but do not want to appeal in person. (If you choose this option, please send all additional information you would like the Appeal Panel to consider along with this form. Please consider the information on the page attached to your letter of determination titled “Basis for the Determination” when preparing additional information.)
- \_\_\_\_\_ I choose to appeal in person. (If you choose this option, we will contact you to schedule a mutually agreeable day and time for the appeal hearing. You may bring additional information to the hearing and can attend with others who are able to provide information on your behalf.)

Applicant signature: \_\_\_\_\_

Date: \_\_\_\_\_

Return completed form to:

[Office]  
[Transit agency]  
[Address]

## Attachment 9-4

### Sample No-Show Policy

#### [Transit Agency Instructions]

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FTA recommends that a transit agency's no-show policy include, at a minimum:<sup>1</sup>

- General policy statement
- Definition of no-shows
- Description of minimum driver wait times within pickup windows
- Definition of late cancellations and how to cancel trips (optional)
- Examples of no-shows (and late cancellations) beyond a rider's control and how riders should communicate such instances
- Statement that no-shows due to transit agency errors do not count
- Statement that subsequent trips after a no-show will not be automatically cancelled, and that passengers need to cancel any trips they do not intend to take
- The transit agency's process to notify riders of recorded no-shows (or late cancellations)
- What constitutes a pattern and practice of excessive no-shows
- Time periods of potential service suspensions
- Instructions for appealing proposed suspensions

---

<sup>1</sup> FTA recommends that transit agencies develop their no-show policies with input from complementary paratransit riders and other people with disabilities. (See Circular Section 9.12 for a discussion of the regulatory requirements related to § 37.125(h).)

## General Policy Statement on No-Shows (Sample)

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[Transit agency]<sup>2</sup> understands that because [name if complementary paratransit service] requires trips to be scheduled in advance, riders may sometimes miss scheduled rides or forget to cancel rides they no longer need. [Transit agency] also understands that riders may sometimes miss scheduled trips or be unable to cancel trips in a timely way for reasons that are beyond their control. However, repeatedly missing scheduled trips [or failing to cancel trips in a timely way] can lead to suspension of service. The following information explains [transit agency's] no-show policy.

### Definitions: No-Show, Pickup Window, and Late Cancellation (Sample)

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#### No-show

A no-show occurs when a rider fails to appear to board the vehicle for a scheduled trip. This presumes the vehicle arrives at the scheduled pickup location within the pickup window and the driver waits at least [5] minutes.

#### Pickup Window

The pickup window is defined as [from 15 minutes before the scheduled pickup time to 15 minutes after the scheduled pickup time]. Riders must be ready to board a vehicle that arrives within the pickup window. The driver will wait for a maximum of [5] minutes within the pickup window for the rider to appear.

#### Late Cancellation<sup>3</sup>

A late cancellation is defined as either: a cancellation made less than [1 hour]<sup>4</sup> before the scheduled pickup time or as a cancellation made at the door or a refusal to board a vehicle that has arrived within the pickup window.

### Definition: No-Shows Due to Operator Error or to Circumstances Beyond a Rider's Control (Sample)<sup>5</sup>

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[Transit agency] does not count as no-shows [or late cancellations] any missed trips due to our error, such as:

- Trips placed on the schedule in error
- Pickups scheduled at the wrong pickup location
- Drivers arriving and departing before the pickup window begins
- Drivers arriving late (after the end of the pickup window)
- Drivers arriving within the pickup window, but departing without waiting the required [5] minutes

[Transit agency] does not count as no-shows [or late cancellations] situations beyond a rider's control that prevent the rider from notifying us that the trip cannot be taken, such as:

- Medical emergency
- Family emergency

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<sup>2</sup> Information in brackets is subject to local agency input.

<sup>3</sup> For transit agencies that choose to count late cancellations as well as no-shows.

<sup>4</sup> FTA permits transit agencies to consider late cancellations as no-shows for trips cancelled less than 1 or 2 hours before the pickup time provided to the passenger at the time the trip was reserved, and only under the same circumstances (i.e., not due to circumstances beyond the rider's control).

<sup>5</sup> Agencies using this sample as a template for their own no-show suspension policies are advised to first familiarize themselves with the content of Circular Section 9.12, consult with the disability community to develop the variables, and ensure that the variables actually represent a pattern or practice of missing scheduled trips and a reasonable period of suspension.

- Sudden illness or change in condition
- Appointment that runs unexpectedly late without sufficient notice

Riders should contact the [complementary paratransit service name] operations center when experiencing no-shows [or late cancellations] due to circumstances beyond their control.

### Policy for Handling Subsequent Trips Following No-shows (Sample)

When a rider is a no-show for one trip, all subsequent trips on that day remain on the schedule unless the rider specifically cancels the trips. To avoid multiple no-shows on the same day, riders are strongly encouraged to cancel any subsequent trips they no longer need that day.

### Suspension Policies for a Pattern or Practice of Excessive No-shows and Late Cancellations (Sample)

[Transit agency] reviews all recorded no-shows [and late cancellations] to ensure accuracy before recording them in a rider's account.

Each verified no-show [or late cancellation] consistent with the above definitions counts as [1] penalty point. Riders will be subject to suspension after the meet all of the following conditions:

- Accumulate [x] penalty points in one calendar month
- Have booked at least [y] trips that month
- Have “no-showed” or “late cancelled” at least [xx] percent of those trips

A rider will be subject to suspension only if both the minimum number of trips booked and the minimum number of penalty points are reached during the calendar month. [Transit agency] will notify riders by telephone after they have accumulated [x] penalty points and would be subject to suspension should they accumulate [y] additional penalty point[s] that month consistent with the criteria listed in this section of the policy above.

All suspension notices include a copy of this policy, information on disputing no-shows [or late cancellations], and how to appeal suspensions.

Suspensions begin on [Mondays]. The [first violation in a calendar year triggers a warning letter but no suspension]. Subsequent violations result in the following suspensions:

- Second violation: [w-day] suspension
- Third violation: [x-day] suspension
- Fourth violation: [y-day] suspension
- Fifth and subsequent violations: [z-day] suspension

### Policy for Disputing Specific No-Shows or Late Cancellations (Sample)

Riders wishing to dispute specific no-shows [or late cancellations] must do so within [x] business days of receiving suspension letters. Riders should contact the [name of complementary paratransit service] operations center at [telephone number], [day] through [day] from [time] a.m. to [time] p.m. to explain the circumstance, and request the removal of the no-show or late cancellation.

### Policy for Appealing Proposed Suspensions (Sample)

Riders wishing to appeal suspensions under this policy have the right to file an appeal request, which must be in writing by letter or via email. Riders must submit written appeal requests within [x] business days of receiving suspension letters. Riders who miss the appeal request deadline will be suspended from [name of complementary paratransit service] on the date listed on the suspension notice.

All suspension appeals follow [transit agency's] appeal policy.

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# Chapter 10 – Passenger Vessels

## 10.1 Introduction

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This chapter covers passenger vessel service requirements in the U.S. Department of Transportation (DOT) Americans with Disabilities Act (ADA) regulations, which are focused on ensuring nondiscrimination in passenger vessel operations.

Regulations covered in this chapter are from 49 CFR Part 39 and include requirements pertaining to nondiscrimination and access to services, information for passengers, accessibility of landside facilities, assistance to passengers with disabilities, and vessel-related complaint procedures. In addition to FTA grantees that operate ferry service, Part 39 also covers cruise ships and other private entities that fall under the Department of Justice's jurisdiction under Title III of the ADA and its implementing regulations at 28 CFR Part 36. Some provisions in Part 39 are not typically relevant to public water transportation, such as requirements pertaining to reserving accessible cabins for overnight trips or requiring medical documentation of passengers. Other issues such as service animals differ between Part 39 and Part 37, meaning that there are some nuances to accommodating individuals with disabilities on boats versus buses.

The accessibility standards of the vessels themselves are currently reserved under Subpart E of Part 37. The U.S. Architectural and Transportation Barriers Access Board (Access Board), which is charged with establishing accessibility guidelines for the construction and alteration of passenger vessels covered by the ADA, is developing these guidelines, which have not yet been issued. Further information is available at the [Access Board's website](#).

This Circular does not alter, amend, supersede, or otherwise affect the DOT ADA regulations themselves or replace the need for readers to reference the detailed information in the regulations. FTA recommendations and examples of optional practices are included throughout the Circular and do not represent requirements. FTA recognizes there are many different ways agencies can implement the regulatory requirements and ensure the delivery of compliant service. FTA encourages transit agencies to engage riders with disabilities when making decisions about local transit service.

### 10.1.1 Marine Environments

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Compared to land-based transit modes, passenger vessel operators (PVOs) face unique challenges in complying with access requirements because of the marine context in which the vessels operate. The boarding facilities and vessels operate in dynamic marine environments that require site-specific approaches to ensure the safety of all passengers, including those with disabilities, under variable access conditions.

For example, in a salt water tidal context such as New York Harbor or Puget Sound in Washington, an accessible path of travel may differ from one site to another based on different tidal ranges or wind and weather exposure conditions. Passenger vessel operations in a river or lake may need to adapt boarding approaches to a different set of environmental conditions, such as seasonal changes in water levels.

Passenger vessels are also subject to regulatory requirements from multiple agencies on the Federal and local level. These may include Coast Guard licenses and inspection procedures for vessels and crew. New or altered passenger vessel facilities are subject to ADA requirements in addition to Army Corps of

Engineers and local environmental permitting requirements for constructing terminals, piers, and landings.

### 10.1.2 Applicability

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#### Requirement

“Except as provided in paragraph (b) . . . of this section, [Part 39] applies to you if you are the owner or operator of any passenger vessel, and you are:

- (1) A public entity that provides designated public transportation; or
- (2) A private entity primarily engaged in the business of transporting people whose operations affect commerce and that provides specified public transportation” ([§ 39.5\(a\)](#)).

“If you are the PVO of a foreign-flag passenger vessel, [Part 39] applies to you only if your vessel picks up passengers at a port in the United States, its territories, possessions, or commonwealths” ([§ 39.5\(b\)](#)).

#### Discussion

Part 39 covers any PVOs that receive FTA financial assistance to provide public transportation. Specifically, the requirements apply to public entities operating passenger vessels directly and to public or private entities providing services under contract to public entities. Such financial assistance may be used for terminal construction, terminal maintenance, vessel purchase, vessel maintenance, or vessel lease.

#### Public PVOs

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Examples of public PVOs include Washington State Ferries, New York City’s Staten Island Ferry, the Casco Bay Lines (Maine), and the San Francisco Bay Ferries. Other public PVOs include parks agencies that operate ferry services to and from park facilities such as the Boston Harbor Islands National Park. Parks agencies that receive FTA funding for vessels or terminals are also subject to the Part 39 requirements.

#### Private PVOs Operating Under Contract to Public Entities

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Private entities operating under contract to public entities are “standing in the shoes” of public entities and are therefore subject to the DOT ADA regulations. (See Circular Section 1.3.2.) Variations of such public/private passenger arrangements include:

- PVOs operating privately owned vessels under contract or franchise agreement to provide scheduled passenger services, using one or more public terminal facilities constructed with FTA funds. One such example is New York Waterways, which has leased terminal space through service franchise agreements with the City of New York and Monmouth County, New Jersey, to provide year-round public commuter ferry service.
- PVOs contracted to operate and maintain publicly owned vessels acquired with FTA funds and using public or private terminal facilities. One such example is Boston Harbor Cruises, which has had contracts with the Massachusetts Bay Transportation Authority (MBTA) to provide year-round commuter ferry service on MBTA-owned vessels.
- PVOs operating both commuter and non-commuter services using vessels acquired with FTA funds. One such example is Boston Harbor Cruises, which has operated a combined-scheduled ferry service and private excursion service under contract with the City of Salem, Massachusetts.

### 10.1.3 Services Not Covered in This Circular

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PVOs providing excursion services such as harbor tours, whale watches, dinner cruises, or charters are not covered in this Circular. Nor does this Circular address passenger vessel operators of U.S. or foreign-flag vessels, including cruise ships. Accordingly, references in the remainder of this chapter to PVOs are for public entities or their contractors.

## 10.2 Nondiscrimination and Access to Services

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### Requirement

“As a PVO, you must not do any of the following things, either directly or through a contractual, licensing, or other arrangement:

- (1) You must not discriminate against any qualified individual with a disability, by reason of such disability, with respect to the individual’s use of a vessel;
- (2) You must not require a qualified individual with a disability to accept special services that the individual does not request;
- (3) You must not exclude a qualified individual with a disability from or deny the person the benefit of any vessel transportation or related services that are available to other persons, except when specifically permitted by another section of [Part 39]; and
- (4) You must not take any action against an individual (e.g., refusing to provide transportation) because the individual asserts, on his or her own behalf or through or on behalf of others, rights protected by [Part 39] or the ADA” ([§ 39.21\(a\)](#)).

### Discussion

This general nondiscrimination requirement represents the foundation for the rest of the regulatory requirements. In the absence of a specific provision covering a particular policy or operating issue, the general nondiscrimination requirements would apply. Specific provisions applicable to PVOs covered under this Circular include:

- Refusing service due to legitimate safety requirements (See Circular Sections 10.2.2 and 10.2.3.)
- Limiting the number of passengers with disabilities on board vessels (See Circular Section 10.2.5.)
- Conditions under which requiring advance notification from passengers with disabilities is permitted (See Circular Section 10.2.6.)

### 10.2.1 Reasonable Modifications

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#### Requirement

“(1) As a PVO that is a private entity, you must make reasonable modifications in policies, practices, or procedures when such modifications are necessary to afford such goods, services, facilities, privileges, advantages, or accommodations to individuals with disabilities, unless you can demonstrate that making such modifications would fundamentally alter the nature of such goods, services, facilities, privileges, advantages, or accommodations.

(2) As a PVO that is a public entity, you must make reasonable modifications in policies, practices, or procedures when necessary to avoid discrimination on the basis of disability, unless you can demonstrate

that making the modifications would fundamentally alter the nature of the services, programs, or activities you offer” ([§ 39.21\(b\)](#)).

## Discussion

Section 39.21 requires PVOs to make reasonable modifications in policies, practices, or procedures when necessary to avoid discrimination on the basis of disability, unless they can demonstrate that making the modifications would fundamentally alter the nature of the services, programs, or activities they offer. An example of a reasonable modification might be for emergency evacuation plans.

For example, in collaboration with local public safety officials, the U.S. Coast Guard requires PVOs to have an evacuation plan for fires or emergencies at ferry terminals. For ferry terminals in a tidal coastal setting, the path of travel from terminal to vessel varies. Accordingly, PVOs could employ various systems to provide access under different tide conditions, including (1) multiple types of power-drive mechanical boarding systems including transfer bridges and ramp elevators, (2) non-mechanical ramps and transfer bridges, or (3) a combination of mechanical and non-mechanical ramps and transfer bridges to provide access for different tide conditions.

During an emergency and loss of shoreside power for access systems including mechanical devices, mechanical transfer systems may be shut off. PVOs are obligated to modify their evacuation policies, if necessary, to provide alternative means for passengers with disabilities or impairments to be safely evacuated from a vessel to shore (or alternatively from shore to vessel) by having alternative evacuation equipment and procedures in place. For example, the transfer points typically include one or a combination of the following: manual operating systems for the electrical transfer bridges or ramps, an alternative non-mechanical path of travel ramp system, and/or manually operated gangways. With such alternative equipment in place, a PVO’s policy modifications would need to include training programs for personnel to assist all passengers, including those with disabilities or impairments, in the event of mechanical failure of the boarding devices. In addition, policy modifications would also take into account the needs of passengers with visual, hearing, and other disabilities, so that evacuation information is available to all in the event of an emergency.

## 10.2.2 Refusing Service

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### Requirement

“As a PVO, you must not refuse to provide transportation or use of a vessel to a passenger with a disability on the basis of his or her disability, except as specifically permitted by this part” ([§ 39.25\(a\)](#)).

“You must not refuse to provide transportation or use of a vessel to a passenger with a disability because the person’s disability results in appearance or involuntary behavior that may offend, annoy, or inconvenience crewmembers or other passengers” ([§ 39.25\(b\)](#)).

“If you refuse to provide transportation or use of a vessel to a passenger on a basis relating to the individual’s disability, you must provide to the person a written statement of the reason for the refusal. This statement must include the specific basis for your opinion that the refusal meets the standards of § 39.27 or is otherwise specifically permitted by this part. You must provide this written statement to the person within 10 calendar days of the refusal of transportation or use of the vessel” ([§ 39.25\(c\)](#)).

### Discussion

The circumstances under which PVOs can refuse service are described in the following sections.

### 10.2.3 Refusing Service Based on Safety Concerns

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#### Requirement

“As a PVO, you may take action to deny transportation or restrict services to a passenger with a disability if necessitated by legitimate safety requirements. Safety requirements must be based on actual risks and not on mere speculation, stereotypes, or generalizations about individuals with disabilities.

*Example 1 to paragraph 39.27(a):* You may take such action in order to comply with Coast Guard safety regulations.

*Example 2 to paragraph 39.27(a):* You may take such action if accommodating a large or heavy wheelchair would, together with its occupant, create weight and balance problem that could affect adversely the seaworthiness of the vessel or impede emergency egress from the vessel.

*Example 3 to paragraph 39.27(a):* You could restrict access to a lifeboat for a mobility device that would limit access to the lifeboat for other passengers” ([§ 39.27\(a\)](#)).

“In taking action pursuant to legitimate safety requirements, you must take the action that imposes the minimum feasible burdens or limitations from the point of view of the passenger. For example, if you can meet legitimate safety requirements by a means short of refusing transportation to a passenger, you must do so” ([§ 39.27\(b\)](#)).

“You may take action to deny transportation or restrict services to a passenger if the passenger poses a direct threat to others. In determining whether an individual poses a direct threat to the health or safety of others, the PVO must make an individualized assessment, based on reasonable judgment that relies on current medical knowledge or on the best available objective evidence, to ascertain: The nature, duration, and severity of the risk; the probability that the potential injury will actually occur; and whether reasonable modifications of policies, practices, or procedures will mitigate the risk” ([§ 39.27\(c\)](#)).

### 10.2.4 Requiring Passengers to Provide Medical Certificates

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#### Requirement

“Except as provided in § 39.31, you must not require a passenger with a disability to have a medical certificate as a condition for being provided transportation on your vessel” ([§ 39.33](#)).

#### Discussion

Section 39.31 outlines specific instances under which PVOs may require passengers with disabilities to provide medical certificates to travel on a passenger vessel. These circumstances generally would not apply to passenger vessel services addressed in this Circular.

### 10.2.5 Limiting the Number of Passengers with Disabilities on Vessels

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#### Requirement

“As a PVO, you must not limit the number of passengers with a disability other than individuals with a mobility disability on your vessel. However, if in the Captain’s judgment, weight or stability issues are presented by the presence of mobility devices and would conflict with legitimate safety requirements pertaining to the vessel and its passengers, then the number of passengers with mobility aids may be limited, but only to the extent reasonable to . . . avoid such a conflict” ([§ 39.29](#)).

## 10.2.6 When Requiring Advance Notice from Passengers Is Permitted

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### Requirement

“As a PVO, you must not require a passenger with a disability to provide advance notice of the fact that he or she is traveling on or using a passenger vessel when the passenger is not seeking particular auxiliary aids or services, or special privileges or services, that in order to be provided need to be arranged before the passenger arrives to board the vessel. The PVO always has an obligation to provide effective communication between the PVO and individuals who are deaf or hard of hearing or blind or visually impaired through the use of appropriate auxiliary aids and services” ([§ 39.35](#)).

“Except as provided in this section, as a PVO you must not require a passenger with a disability to provide advance notice in order to obtain services or privileges required by this part” ([§ 39.37\(a\)](#)).

“If 10 or more passengers with a disability seek to travel as a group, you may require 72 hours advance notice for the group’s travel” ([§ 39.37\(b\)](#)).

“With respect to providing particular auxiliary aids and services, you may request reasonable advance notice to guarantee the availability of those aids or services” ([§ 39.37\(c\)](#)).

“Your reservation and other administrative systems must ensure that when passengers provide the advance notice that you require, consistent with this section, for services and privileges, the notice is communicated, clearly and on time, to the people responsible for providing the requested service or accommodation” ([§ 39.37\(d\)](#)).

### Discussion

The passenger vessel services addressed in this Circular are typically used for commuter purposes and are thus unlikely to serve large groups of passengers with disabilities.

## 10.3 Accessible Information for Passengers

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### 10.3.1 Auxiliary Aids and Services

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#### Requirement

“If you are a PVO that is a public entity, you must furnish appropriate auxiliary aids and services where necessary to afford an individual with a disability an equal opportunity to participate in, and enjoy the benefits of, a service, program or activity. In determining what type of auxiliary aid or service is necessary, you must give primary consideration to the requests of individuals with disabilities” ([§ 39.51\(a\)](#)).

“If you are a PVO that is a private entity, you must furnish appropriate auxiliary aids or services where necessary to ensure effective communication with individuals with disabilities” ([§ 39.51\(b\)](#)).

“If a provision of a particular auxiliary aid or service would result in a fundamental alteration in the nature of the goods, services, facilities, privileges, advantages, or accommodations being offered or in an undue burden, you shall provide an alternative auxiliary aid or service, if one exists, that would not result in a fundamental alteration or undue burden but would nevertheless ensure that, to the maximum extent possible, individuals with disabilities receive the goods, services, facilities, privileges, advantages, or accommodations you offer” ([§ 39.51\(c\)](#)).

“As a PVO, it is your responsibility, not that of a passenger with a disability, to provide needed auxiliary aids and services” ([§ 39.51\(d\)](#)).

## Discussion

PVOs providing designated public transportation are subject to the same requirements as all public transportation providers with respect to providing information in accessible formats.

In 2011, DOT provided additional guidance on auxiliary aids and services, “[Guidance Questions and Answers Concerning 49 CFR Part 39, ADA Rules Concerning Passenger Vessels](#)” (DOT Passenger Vessels Guidance). Although it is the responsibility of the PVO and not that of a passenger with a disability to provide needed auxiliary aids and services, DOT emphasized the importance of consulting passengers with disabilities to determine what type of auxiliary aid or service will ensure effective communication.

To facilitate arrangements, FTA encourages passengers to notify the PVO as soon as possible if they require a particular auxiliary aid or service (e.g., a document in braille or large print, use of a sign-language interpreter, or a TTY). (See Circular Section 2.8.)

### 10.3.2 Vessel-Specific Information

#### Requirement

“As a PVO, you must provide the following information to individuals who self-identify as having a disability (including those who are deaf or hard of hearing or who are blind or visually impaired) or who request disability-related information, or persons making inquiries on the behalf of such persons. The information you provide must, to the maximum extent feasible, be specific to the vessel a person is seeking to travel on or use.

The availability of accessible facilities on the vessel including, but not limited to, means of boarding the vessel, toilet rooms, staterooms, decks, dining, and recreational facilities” ([§ 39.53\(a\)](#)).

“Any limitations of the usability of the vessel or portions of the vessel by people with mobility impairments” ([§ 39.53\(b\)](#)).

“Any limitations on the accessibility of boarding and disembarking at ports at which the vessel will call (e.g., because of the use of inaccessible lighters or tenders as the means of coming to or from the vessel) ” ([§ 39.53\(c\)](#)).

“Any limitations on the accessibility of services or tours ancillary to the transportation provided by the vessel concerning which the PVO makes arrangements available to passengers” ([§ 39.53\(d\)](#)).

“Any limitations on the ability of a passenger to take a service animal off the vessel at foreign ports at which the vessel will call (e.g., because of quarantine regulations) and provisions for the care of an animal acceptable to the PVO that the passenger must meet when the passenger disembarks at a port at which the animal must remain aboard the vessel” ([§ 39.53\(e\)](#)).

“The services, including auxiliary aids and services, available to individuals who are deaf or hard of hearing or blind or visually impaired” ([§ 39.53\(f\)](#)).

“Any limitations on the ability of the vessel to accommodate passengers with a disability” ([§ 39.53\(g\)](#)).

“Any limitations on the accessibility of boarding and disembarking at ports at which the vessel will call and services or tours ancillary to the transportation provided by the vessel concerning which the PVO makes arrangements available to passengers” ([§ 39.53\(h\)](#)).

## Discussion

Section 39.53 requires PVOs to provide information about accessibility features of their vessels to individuals with a disability or to people making inquiries on the behalf of such individuals. An example of how the Woods Hole, Martha's Vineyard, and Nantucket Steamship Authority provides vessel-specific information for their vehicle and passenger ferries is included in the accessibility section of the Steamship Authority's website and as Attachment 10-1.

### 10.3.3 Accommodating Individuals with Hearing or Vision Impairments

#### Requirement

"This section applies to information and reservation services made available to persons in the United States.

If, as a PVO, you provide telephone reservation or information service to the public, you must make this service available to individuals who are deaf or hard-of-hearing and who use a text telephone (TTY) or a TTY relay service (TRS).

(1) You must make service to TTY/TRS users available during the same hours as telephone service for the general public.

(2) Your response time to TTY/TRS calls must be equivalent to your response time for your telephone service to the general public.

(3) You must meet this requirement by [date one year from the effective date of [Part 39]]" ([§ 39.55\(a\)](#)).

"If, as a PVO, you provide written (i.e., hard copy) information to the public, you must ensure that this information is able to be communicated effectively, on request, to persons with vision impairments. You must provide this information in the same language(s) in which you make it available to the general public" ([§ 39.55\(b\)](#)).

#### Discussion

Providing information in multiple formats gives users the option to suit their own personal communications needs. To better meet passenger needs, many PVOs are providing information about service and accessibility on their websites. As mobile personal communication devices with Internet connections have become increasingly available, individuals with vision or hearing impairments can benefit from well-organized websites that provide information about ADA accessibility, including information on making arrangements in advance of travel, relevant phone numbers and wayfinding guidance when approaching terminals and vessels. For example, the Steamship Authority website referenced above and the Washington State Ferries website both provide information about accessibility for their terminals and vessels.

## 10.4 Accessibility of Landside Facilities

Ferry terminal facilities vary widely, depending on factors such as the purpose and capacity of the ferry service and vessel, coastal conditions, and the types of vessels each terminal may handle. Examples of different types of facilities include:

- Terminals for high-capacity passenger-only ferries such as the Staten Island Ferry in New York
- Medium-capacity passenger-only commuter ferries such as the San Francisco Bay and Golden Gate Bridge Ferries

- Small-capacity passenger-only ferries such as those managed by the MBTA in Boston
- High-capacity passenger and vehicle ferries such as Washington State Ferries
- Small-capacity passenger and vehicle ferries such as the Maine State Ferry System

Terminals that serve vehicles and passengers are often more complex than passenger-only terminals. In addition, all terminals in tidal locations with tides of 5 feet or higher have more complex ramp or transfer bridge boarding systems compared to those with tide ranges of 5 feet or less. Terminals in river locations may need to provide varying access to accommodate seasonal changes in river levels.

### 10.4.1 New Facilities

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#### Requirement

“As a PVO, you must comply with the following requirements with respect to all terminal and other landside facilities you own, lease, or control in the United States (including its territories, possessions, and commonwealths):

With respect to new facilities, you must do the following:

- (1) You must ensure that terminal facilities are readily accessible to and usable by individuals with disabilities, including individuals who use wheeled mobility assistive devices. You are deemed to comply with this obligation if the facilities meet the requirements of 49 CFR 37.9, and the standards referenced in that section.
- (2) You must ensure that there is an accessible route between the terminal or other passenger waiting area and the boarding ramp or device used for the vessel. An accessible route is one meeting the requirements of the standards referenced in 49 CFR 37.9” ([§ 39.61\(a\)](#)).

#### Discussion

When constructing new terminals and other landside facilities, § 39.61(a) requires public or private PVOs to meet specific accessibility requirements. These requirements are based on the ADA Standards for Transportation Facilities (DOT Standards) covered in [§ 37.9](#) and discussed in Circular Chapter 3.

In addition to incorporating accessibility features covered by the ADA, § 39.61(a)(2) requires passenger vessel facilities to include an accessible route between the terminal or other passenger waiting area and the boarding ramp or device used for the vessel. An accessible route is one meeting the DOT Standards.

For example, as part of reconstruction following fire damage, the Staten Island Ferry Whitehall terminal incorporated a high-capacity accessible ramp and elevator system to accommodate very large crowds of pedestrians for boarding and unloading on multiple levels. The new high-capacity passenger-only access system replaced a combined vehicle and passenger access system.

### 10.4.2 Alterations

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#### Requirement

“When a facility is altered, the altered portion must meet the same standards that would apply to a new facility” ([§ 39.61\(b\)](#)).

#### Discussion

When altering existing terminal and other landside facilities, § 39.61(b) requires PVOs to meet the same standards that apply to a new facility. For example, when the Staten Island Ferry terminal at St. Georges underwent alterations, the project converted vehicle ramps into accessible passenger ramps and added

elevators. As another example, boarding systems at other locations such as Larkspur and the San Francisco Ferry Building in California have been constructed with either ramps and float systems or mechanical transfer bridges, depending on the vessels used on different routes.

### 10.4.3 Program Accessibility Requirements

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#### Requirement

“With respect to an existing facility, your obligations are the following:

- (1) If you are a public entity, you must ensure that your terminals and other landside facilities meet program accessibility requirements, consistent with Department of Justice requirements at 28 CFR 35.150.
- (2) If you are a private entity, you are required to remove architectural barriers where doing so is readily achievable, i.e., easily accomplishable and able to be carried out without much difficulty or expense, consistent with Department of Justice requirements at 28 CFR 36.304 or, if not readily achievable, ensure that your goods, services, facilities, privileges, advantages, or accommodations are available through alternative methods if those methods are readily achievable, consistent with Department of Justice regulations at 28 CFR 36.305” ([§ 39.61\(c\)](#)).

#### Discussion

Section 39.61(c)(1) requires public entities to conduct their programs in an accessible manner. The following are examples of accessible and usable programs and activities for passenger vessel services and terminals:

- Accessible fare cards and ticketing options
- Accessible websites and mobile applications
- Accessible ferry schedules
- Adequate lighting
- Enhanced wayfinding and signage for persons with speech and hearing impairments, including use of TDDs, 711 Relay telephones, broadcast text messaging, and similar devices
- Enhanced wayfinding and signage for individuals with visual impairments, including public address announcements and text-to-speech devices
- Continuous accessible pathways for individuals with visual and ambulatory impairments
- Public address systems and clocks
- User guidance in multiple formats on site-specific marine conditions that might affect boarding or use of the ferries for all passengers including people with disabilities. These might include weather reports, operating conditions, tide reports, and any variations in accessible paths of travel related to tide or weather factors.

### 10.4.4 Shared Facilities

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#### Requirement

“Where you share responsibility for ensuring accessibility of a facility with another entity, you and the other entity are jointly and severally responsible for meeting applicable accessibility requirements” ([§ 39.61\(d\)](#)).

## Discussion

When PVOs share a terminal facility with another entity, both entities share responsibility for ensuring accessibility of that facility. Some PVOs provide public transportation services that operate from privately owned landings that use publicly owned vessels acquired with FTA funds. Such shared terminal facilities are subject to the same access requirements as public terminals. For example, a privately owned ferry terminal at Fan Pier Cove in Boston Harbor was constructed in anticipation of publicly operated FTA-funded commuter ferries and includes boarding ramps and terminal facilities designed to comply with § 39.61(d).

### 10.4.5 Facility Requirements for Individuals with Hearing or Vision Impairments

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#### Requirement

“As a PVO, you must ensure that the information you provide to the general public at terminals and other landside facilities is effectively communicated to individuals who are blind or who have impaired vision and deaf or hard-of-hearing individuals, through the use of auxiliary aids and services. To the extent that this information is not available to these individuals through accessible signage and/or verbal public address announcements or other means, your personnel must promptly provide the information to such individuals on their request, in languages (e.g., English, Norwegian, Japanese) in which the information is provided to the general public” ([§ 39.63\(a\)](#)).

“The types of information you must make available include, but are not limited to, information concerning ticketing, fares, schedules and delays, and the checking and claiming of luggage” ([§ 39.63\(b\)](#)).

#### Discussion

In 2011, Washington State Ferries began implementing a [visual paging system](#) that displays important travel-related information on video screens for passengers with hearing impairments. This system, which transmits the same information via text message, is a good example of accessible activities discussed in Circular Section 10.4.3.

## 10.5 Assistance and Services

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### 10.5.1 Transfer Shuttle and Terminal Assistance

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#### Requirement

“As a PVO, if you provide, contract for, or otherwise arrange for transportation to and from a passenger vessel in the U.S. (e.g., a bus transfer from an airport to a vessel terminal), you must ensure that the transfer service is accessible to and usable by individuals with disabilities, as required by [Part 39]” ([§ 39.81\(a\)](#)).

“You must also provide assistance requested by or on behalf of a passenger with a disability in moving between the terminal entrance (or a vehicle drop-off point adjacent to the entrance) of a terminal in the U.S. and the place where people get on or off the passenger vessel. This requirement includes assistance in accessing key functional areas of the terminal, such as ticket counters and baggage checking/claim. It also includes a brief stop upon request at an accessible toilet room” ([§ 39.81\(b\)](#)).

## Discussion

Providing service to passengers with disabilities includes more than just on-board assistance. As with other elements of accessible service, it is useful to consider a passenger's entire trip. For those driving to a ferry terminal, the facility requirements for accessible parking spaces and accessible path of travel outlined in Circular Chapter 3 apply. Section 39.81(a) requires passengers traveling to and from ferry terminals by shuttle vehicle to have access to those shuttle vehicles. Finally, given the unique characteristics of boarding facilities, there are specific requirements for providing boarding assistance on land and on-board the vessel, as described below.

### 10.5.2 Boarding Assistance

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#### Requirement

“If a passenger with a disability can readily get on or off a passenger vessel without assistance, you are not required to provide such assistance to the passenger. You must not require such a passenger with a disability to accept assistance from you in getting on or off the vessel unless it is provided to all passengers as a matter of course” ([§ 39.83\(a\)](#)).

“With respect to a passenger with a disability who is not able to get on or off a passenger vessel without assistance, you must promptly provide assistance that ensures that the passenger can get on or off the vessel” ([§ 39.83\(b\)](#)).

“When you have to provide assistance to a passenger with a disability in getting on or off a passenger vessel, you may use any available means to which the passenger consents (e.g., lifts, ramps, boarding chairs, assistance by vessel personnel)” ([§ 39.83\(c\)](#)).

#### Discussion

The [DOT Passenger Vessels Guidance](#) provides additional information on providing boarding assistance to passengers with disabilities. Given that passengers with disabilities should expect to be able to experience the same aspects of a passenger vessel operation as passengers without disabilities, § 39.83(b) requires PVOs to provide needed assistance to passengers to enable them to get on or off the vessel. To meet this requirement, PVOs must be prepared to ask passengers whether they want or need assistance and what method of assistance they prefer.

However, DOT recognizes that there may be occasional circumstances where it is impracticable to ensure that a passenger can get on or off the vessel (e.g., because of adverse weather, tidal, or sea conditions). Part 39 does not require PVOs to transfer passengers to or from a vessel where a transfer would be contrary to legitimate safety requirements. Finally, except in emergencies, DOT strongly discourages hand carrying (i.e., PVO personnel physically picking up a passenger) as a means of providing assistance, since it raises serious safety and dignity concerns.

### 10.5.3 Service Animals

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#### Requirement

“As a PVO, you must permit service animals to accompany passengers with a disability” ([§ 39.91\(a\)](#)).

“You must permit the service animal to accompany the passenger in all locations that passengers can use on a vessel, including in lifeboats” ([§ 39.91\(b\)](#)).

“You must permit the passenger accompanied by the service animal to bring aboard a reasonable quantity of food for the animal aboard the vessel at no additional charge. If your vessel provides overnight accommodations, you must also provide reasonable refrigeration space for the service animal food” ([§ 39.91\(c\)](#)).

“You must accept the following as evidence that an animal is a service animal: Identification cards, other written documentation, presence of harnesses, tags, and/or the credible verbal assurances of a passenger with a disability using the animal” ([§ 39.91\(d\)](#)).

### Discussion

The [DOT Passenger Vessel Guidance](#) indicates that the service animal provisions of Part 39 are interpreted to be consistent with the service animal provisions of Department of Justice (DOJ) rules under Titles II and III of the ADA. While DOT’s definition of a service animal is different from DOJ’s in Part 37 when applied to fixed route and demand responsive surface transportation, the definition is the same as DOJ’s in the water transportation environment. The guidance explains, “Consequently, the Department understands a service animal to be any dog that is individually trained to do work or perform tasks for the benefit of an individual with a disability, including a physical, sensory, psychiatric, intellectual, or other mental disability. Other types of animals (e.g., cats, primates) are not considered service animals under DOJ rules.”

## 10.5.4 Wheelchairs and Other Assistive Devices

### Requirement

“As a PVO subject to Title III of the ADA, you must permit individuals with mobility disabilities to use wheelchairs and manually powered mobility aids, such as walkers, crutches, canes, braces, or other similar devices designed for use by individuals with mobility disabilities in any areas open to pedestrian use” ([§ 39.93\(a\)](#)).

“(1) As a PVO subject to Title III of the ADA, you must make reasonable modifications in your policies, practices, or procedures to permit the use of other power-driven mobility devices by individuals with mobility disabilities, unless you can demonstrate that a device cannot be operated on board the vessel consistent with legitimate safety requirements you have established for the vessel.

(2) In determining whether a particular other power-driven mobility device can be allowed on a specific vessel as a reasonable modification under [the previous paragraph], the PVO must consider:

- (i) The type, size, weight, dimensions, and speed of the device;
- (ii) The vessel’s volume of pedestrian traffic (which may vary at different times of the day, week, month, or year);
- (iii) The vessel’s design and operational characteristics (e.g., the size and balance requirements of the vessel, the density and placement of stationary devices, and the availability of storage for the device, if requested by the user);
- (iv) Whether legitimate safety requirements can be established to permit the safe operation of a device in the specific vessel” ([§ 39.93\(b\)](#)); and

“(1) As a PVO subject to Title III of the ADA, you must not ask an individual using a wheelchair or other power-driven mobility device questions about the nature and extent of the individual’s disability.

(2) You may ask a person using an other power-driven mobility device to provide a credible assurance that the mobility device is required because of the person’s disability. In response to this inquiry, you must accept the presentation of a valid, state-issued disability parking placard or card, or state-issued proof of disability as a credible assurance that the use of the other power-driven mobility device is for the

individual’s mobility disability. In lieu of a valid, state-issued disability parking placard or card or state-issued proof of disability, a PVO shall accept as a credible assurance a verbal representation not contradicted by observable fact, that the other power-driven mobility device is being used for a mobility disability” ([§ 39.93\(c\)](#)).

“As a PVO subject to Title II of the ADA, you must follow the requirements of paragraphs (a) through (c) of this section. In addition, any restriction you impose on the use of another powered mobility device on your vessel must be limited to the minimum necessary to meet a legitimate safety requirement. For example, if a device can be accommodated in some spaces of the vessel but not others because of a legitimate safety requirement, you could not completely exclude the device from the vessel” ([§ 39.93\(d\)](#)).

“As a PVO, you are not required to permit passengers with a disability to bring wheelchairs or other powered mobility devices into lifeboats or other survival craft, in the context of an emergency evacuation of the vessel” ([§ 39.93\(e\)](#)).

### Discussion

A PVO must accommodate wheelchairs on the vessel, which § 39.3 defines as “any mobility aid belonging to any class of three or four-wheeled devices, usable indoors, designed for and used by individuals with mobility impairments, whether operated manually or powered.” Wheelchairs, while many are powered as opposed to manual, are distinct from the concept of “other power-driven mobility devices.” (See Circular Section 2.4.1.)

## 10.5.5 Prohibition Against Limits on Liability

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### Requirement

“Consistent with any applicable requirements of international law, you must not apply any liability limits with respect to loss of or damage to wheeled mobility assistive devices or other assistive devices. The criterion for calculating the compensation for a lost, damaged, or destroyed wheelchair or other assistive device is the original purchase price of the device” ([§ 39.95](#)).

### Discussion

The [DOT Passenger Vessels Guidance](#) provides additional direction on compensation requirements for loss of or damage to wheelchairs, as follows:

Generally, a PVO must compensate a passenger with a disability for the full value (measured by the original purchase price) of a lost or damaged wheelchair or mobility device.

This obligation applies in any situation in which the device is under the control or care of the PVO or a party acting on behalf of the PVO (e.g., an agent or contractor).

However, there may be circumstances in which a wheelchair or mobility device is damaged as the result of action by the passenger, who is in control of the device at the time. For example, a passenger riding a scooter might run into a fixed object, damaging the scooter. In such a case, the PVO would not be responsible for compensating the owner.

## 10.6 Complaint Procedures

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The complaint reporting and resolution process for passenger vessels differs from land transit modes for several reasons. With some exceptions, most passenger vessel services are operated independently from bus and rail services. Compared with other transit modes, most passenger ferry operations are limited in scale, management, and location. Often, each ferry route essentially functions as an independent

transportation management entity. For example, a typical metropolitan area passenger ferry service operating between two terminals might use vessels with capacity for 150–400 passengers and a designated captain and a small crew (two to four members) for each vessel. Each vessel’s captain is responsible for all passengers, including passengers with disabilities, and in many cases the captain and crew are the only point of PVO contact on the vessel and at an unattended terminal.

## 10.6.1 Designating Complaints Resolution Officials

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### Requirement

“As a PVO, you must designate one or more Complaints Resolution Officials (CROs) ”  [\(§ 39.101\(a\)\)](#).

“You must make a CRO available for contact on each vessel and at each terminal that you serve. The CRO may be made available in person or via telephone, if at no cost to the passenger. If a telephone link to the CRO is used, TTY or TRS service must be available so that persons with hearing impairments may readily communicate with the CRO. You must make CRO service available in the language(s) in which you make your other services available to the general public”  [\(§ 39.101\(b\)\)](#).

“You must make passengers with a disability aware of the availability of a CRO and how to contact the CRO in the following circumstances:

(1) In any situation in which any person complains or raises a concern with your personnel about discrimination, policies, or services with respect to passengers with a disability, and your personnel do not immediately resolve the issue to the customer’s satisfaction or provide a requested accommodation, your personnel must immediately inform the passenger of the right to contact a CRO and the location and/or phone number of the CRO available on the vessel or at the terminal. Your personnel must provide this information to the passenger in a format he or she can use.

(2) Your reservation agents, contractors, and Web sites must provide information equivalent to that required by paragraph (c)(1) of this section to passengers with a disability using those services”  [\(§ 39.101\(c\)\)](#).

“Each CRO must be thoroughly familiar with the requirements of [Part 39] and the PVO’s procedures with respect to passengers with a disability. The CRO is intended to be the PVO’s ‘expert’ in compliance with the requirements of [Part 39] ”  [\(§ 39.101\(d\)\)](#).

“You must ensure that each of your CROs has the authority to make dispositive resolution of complaints on behalf of the PVO. This means that the CRO must have the power to overrule the decision of any other personnel, except that the CRO may not be given authority to countermand a decision of the master of a vessel with respect to safety matters”  [\(§ 39.101\(e\)\)](#).

### Discussion

Section 39.101(a)–(b) requires PVOs to designate one or more Complaints Resolution Officials (CRO), and have one available on each vessel. In passenger ferry operations, the CRO is most often the captain. CROs who cannot resolve complaints immediately must follow specific reporting requirements to the PVO. (See Circular Section 10.6.3.) The CRO requirement here is similar to that found in DOT’s regulations implementing the Air Carrier Access Act, which applies to airlines.

## 10.6.2 Responding to Direct Complaints

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### Requirement

“When a complaint is made directly to a CRO (e.g., orally, by phone, TTY) the CRO must promptly take dispositive action as follows:

“If the complaint is made to a CRO before the action or proposed action of PVO personnel has resulted in a violation of a provision of [Part 39], the CRO must take, or direct other PVO personnel to take, whatever action is necessary to ensure compliance with [Part 39]” ([§ 39.103\(a\)](#)).

“If an alleged violation of a provision of [Part 39] has already occurred, and the CRO agrees that a violation has occurred, the CRO must provide to the complainant a written statement setting forth a summary of the facts and what steps, if any, the PVO proposes to take in response to the violation” ([§ 39.103\(b\)](#)).

“If the CRO determines that the PVO’s action does not violate a provision of [Part 39], the CRO must provide to the complainant a written statement including a summary of the facts and the reasons, under [Part 39], for the determination” ([§ 39.103\(c\)](#)).

“The statements required to be provided under this section must inform the complainant of his or her right to complain to the Department of Transportation and/or Department of Justice. The CRO must provide the statement in person to the complainant in person if possible; otherwise, it must be transmitted to the complainant within 10 calendar days of the complaint” ([§ 39.103\(d\)](#)).

## Discussion

While § 39.103 specifically mentions contacting CROs in person or via telephone, the [DOT Passenger Vessels Guidance](#) explains that other equivalent means of communication are permitted, including electronic communications. But the guidance emphasizes that “the means of communication provided must ensure direct, interactive contact between the passenger and the CRO.” It is not sufficient only to provide an opportunity to leave a voicemail or email message for a CRO to return later.

The DOT Passenger Vessels Guidance explains the use of “dispositive” in the context of complaint resolution:

The word “dispositive” is used in its dictionary sense: “[an action] that disposes of, or settles, a dispute, question, etc.; conclusive; decisive.” It is intended to be the PVO’s final word on the matter. The dispositive response should summarize the facts of the matter, as the CRO understands them. The dispositive response then says one of two things:

- (1) The PVO acted in accordance with the regulation, or
- (2) The PVO did not act in accordance with the regulation.

It is possible that, with respect to some complaints, the CRO will conclude that the PVO acted in accordance with the regulation in some respects but not in others. In any case, the CRO’s responses should explain why the PVOs actions were consistent with the regulation or not. If the CRO concludes that the PVO did not act in accordance with the regulation, the response should offer appropriate redress to the passenger.

## 10.6.3 Responding to Written Complaints

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### Requirement

“As a PVO, you must respond to written complaints received by any means (e.g., letter, fax, e-mail, electronic instant message) concerning matters covered by [Part 39]” ([§ 39.105\(a\)](#)).

“A passenger making a written complaint, must state whether he or she had contacted a CRO in the matter, provide the name of the CRO and the date of the contact, if available, and enclose any written response received from the CRO” ([§ 39.105\(b\)](#)).

“As a PVO, you are not required to respond to a complaint from a passenger postmarked or transmitted more than 45 days after the date of the incident” ([§ 39.105\(c\)](#)).

“As a PVO, you must make a dispositive written response to a written disability complaint within 30 days of its receipt. The response must specifically admit or deny that a violation of [Part 39] has occurred. The response must be effectively communicated to the recipient.

(1) If you admit that a violation has occurred, you must provide to the complainant a written statement setting forth a summary of the facts and the steps, if any, you will take in response to the violation.

(2) If you deny that a violation has occurred, your response must include a summary of the facts and your reasons, under [Part 39], for the determination.

(3) Your response must also inform the complainant of his or her right to pursue DOT or DOJ enforcement action under [Part 39], as applicable. DOT has enforcement authority under Title II of the ADA for public entities and under Section 504 of the Rehabilitation Act for entities that receive Federal financial assistance; DOJ has enforcement authority under Title III of the ADA for private entities” ([§ 39.105\(d\)](#)).

## Discussion

The [DOT Passenger Vessels Guidance](#) offers additional direction on providing interim responses to complaints, as follows:

Complaints should be as detailed and specific as possible, and should be filed as soon as possible after the matter that gave rise to the complaint. If a written complaint is filed more than 45 days after the matter giving rise to the complaint, the CRO is not required to respond.

If the complaint does not have enough information to permit the CRO to make a decision, or if the CRO needs to make an extended factual inquiry to determine the facts of the matter, the CRO may provide an interim response to the complainant, within 30 days of receiving the complaint. The interim response should state the reasons for needing additional time and inform the complainant of when the CRO expects to issue a determination. [However, overuse] or abuse of interim responses (e.g., routine issuance of interim responses because of insufficient resources to respond in a timely manner) may result in a finding of noncompliance.

Attachment 10-2 includes a sample complaint resolution policy.

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## Attachment 10-1

### Sample Ferry Accessibility Information

#### Traditional Ferries

All passenger decks of all four of the Steamship Authority's traditional passenger/vehicle ferries (the M/V Eagle, the M/V Island Home, the M/V Martha's Vineyard and the M/V Nantucket) are fully accessible.

Each ferry is equipped with elevators that transport passengers between the vehicle deck and all passenger decks (including the food and beverage service area). Access to the elevator is by the transfer bridge that is used to load vehicles onto the ferry.

Passengers wishing to use the elevator should arrive at the ferry terminal 30 minutes prior to their scheduled departure time. Upon arriving, they should notify a Terminal Agent (or the terminal employee checking them in) that they require access to the elevator for boarding. This applies to all passengers who wish to use the elevator whether or not they are traveling with their vehicles.

Accessible rest rooms are also available on all four of our large passenger/vehicle ferries.

#### High Speed Ferry

The main passenger deck of the M/V Iyanough is fully accessible (including rest rooms and the food and beverage service area). Access to the M/V Iyanough's main passenger deck is by the transfer bridge that is used to board all passengers onto the ferry. The M/V Iyanough's upper deck is not accessible.

#### Ferries with Limited or No Accessibility

The Steamship Authority encourages passengers with disabilities to travel on our four traditional passenger/vehicle ferries and our high-speed passenger-only ferry, the M/V Iyanough, all of which are accessible and have passenger amenities, including food and beverage service and accessible rest rooms. However, because passengers with disabilities may also travel on our freight boats, please be aware that not all of them are accessible. The freight boats are described below:

M/V Governor & M/V Sankaty: Access to each of these freight boats is by the transfer bridge that is used to board all passengers and vehicles onto the ferry. The interior passenger compartment that is located on the vehicle deck and the rest rooms are also accessible. Vending machines that offer beverages and snacks are available on both of these vessels.

M/V Gay Head & M/V Katama: The[se] two freight boats are not accessible for passengers with disabilities who require assistance. Passengers will need to climb a set of stairs to reach the interior passenger compartment. Vending machines that offer beverages only are available on both of these vessels.

Source: Woods Hole, Martha's Vineyard, and Nantucket Steamship Authority

## Attachment 10-2

### Sample Ferry Complaint Resolution Policy

This example of a complaint resolution process is described in the Accessibility Section of the Woods Hole, Martha's Vineyard and Nantucket Steamship Authority's Customer Policy Handbook, available on its website:

In any situation when any person complains or raises a concern with a Steamship Authority employee about discrimination, policies or services with respect to passengers with a disability, and the employee (or the employee's supervisor) does not immediately resolve the issue to the customer's satisfaction or provide a requested accommodation, the customer has the right to contact our Complaints Resolution Official ("CRO"). The employee will provide the customer with the CRO's phone number and, if requested by the customer, the number of the Massachusetts TRS service (which is a relay service for individuals who use text telephones called "MassRelay"). The employee will also provide this information to the passenger in a format he or she can use.

The CRO will be available for contact on each vessel and at each terminal via telephone. The customer will be allowed to use a Steamship Authority phone (either the vessel's phone or the terminal's phone, as the case may be) to contact the CRO so that the call will be at no cost to the customer. In addition, the number for the MassRelay service will be available so that persons with hearing impairments may readily communicate with the CRO."

The CRO's name and contact information is also included in the written information.

Source: Woods Hole, Martha's Vineyard, and Nantucket Steamship Authority

# Chapter 11 – Other Modes

## 11.1 Introduction

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The U.S. Department of Transportation (DOT) Americans with Disabilities Act (ADA) regulations anticipated that entities may employ new and different types of vehicles and systems in transportation service, including modes that had yet to be envisioned. The regulations in 49 CFR Part 38, Subpart H, include basic standards for some of these modes, and establish a process for determining accessibility standards for others that have not yet been developed.

Basic accessibility standards are set forth in Subpart H for the following existing modes of transportation:

- Automated guideway transit vehicles and systems
- High-speed rail cars, monorails, and systems
- Trams and similar vehicles and systems

In addition, Subpart H also establishes a process for determining standards for new types of vehicles and systems that may be developed, for which specific accessibility standards do not yet exist.

This chapter introduces the two purposes of Subpart H.

This Circular does not alter, amend, supersede, or otherwise affect the DOT ADA regulations themselves or replace the need for readers to reference the detailed information in the regulations. FTA recommendations and examples of optional practices are included throughout the Circular and do not represent requirements. FTA recognizes there are many different ways agencies can implement the regulatory requirements and ensure the delivery of compliant service. FTA encourages transit agencies to engage riders with disabilities when making decisions about local transit service.

## 11.2 General Requirements

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### Requirement

“New, used and remanufactured vehicles and conveyances for systems not covered by other subparts of [Part 38], to be considered accessible by regulations in Part 37 of this title shall comply with this subpart” ([§ 38.171\(a\)](#)).

“If portions of the vehicle or conveyance are modified in a way that affects or could affect accessibility, each such portion shall comply, to the extent practicable, with the applicable provisions of this subpart. This provision does not require that inaccessible vehicles be retrofitted with lifts, ramps or other boarding devices” ([§ 38.171\(b\)](#)).

“Requirements for vehicles and systems not covered by [Part 38] shall be determined on a case-by-case basis by the Department of Transportation in consultation with the U.S. Architectural and Transportation Barriers Compliance Board (Access Board)” ([§ 38.171\(c\)](#)).

### Discussion

Because the DOT ADA regulations cover both public and private entities that operate transportation systems, they contain additional standards for modes of transportation that are not typically used by transit agencies, such as trams, automated guideway transit systems, and monorails. They also establish a process by which standards are to be developed for new forms of transportation that may not have been

developed at the time these regulations were written. To the extent that transit agencies use these types of vehicles and systems, § 38.171(a) obligates them to comply with Subpart H.

When modifying vehicles, § 38.171(b) requires agencies to make them accessible to the extent practicable. This can include removing stanchions that interfere with entry and exit by individuals using wheelchairs or other mobility aids, replacing fixed seating with fold-up seats to increase clear floor space, or replacing signage.

The regulations permit transit agencies to develop and operate new vehicles and modes of transportation through advances in technology and innovative methods of delivering services. Under § 38.171(c), DOT and the Access Board must establish accessibility standards and specifications for new vehicles, modes, and services on a case-by-case basis.

Transit agencies are encouraged to contact the FTA Office of Civil Rights with questions if they believe they will be operating a mode not covered by the existing regulations or acquiring vehicles not covered by the existing Part 38 specifications. FTA recommends that agencies review all elements of new services that they plan to operate to determine the applicability of Part 38. Similarly, FTA recommends that agencies review any new vehicles and systems to determine whether the Part 38 specifications in Subparts B, C, D, or E already apply.

## 11.3 Mode-Specific Requirements

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As noted above, in addition to establishing a process for determining standards for new modes of transportation, Subpart H sets requirements for three specific existing types of vehicles and systems.

- [Section 38.173](#) explains which vehicle specifications apply to automated guideway transit (AGT) vehicles and systems, with different specifications for vehicles operating (1) at 20 miles per hour (MPH) or less or (2) at more than 20 MPH. The section also establishes platform gaps and requirements for when open platforms are not protected by platform screens.
- [Section 38.175](#) explains the requirements for high-speed rail cars, monorails and systems, including but not limited to magnetic levitation, monorail, and high-speed steel-wheel-on-steel-rail technology. Where such systems are operated on dedicated rail (i.e., not used by freight trains) or guideway, they must be designed for high-platform, level boarding and comply with specific provisions found in the standards for intercity rail cars and systems. Maximum horizontal and vertical gaps are specified that must be met at rest under all normal passenger load conditions.
- [Section 38.179](#) explains the requirements for trams and similar vehicles and systems. Each tractor unit that accommodates passengers and each trailer unit must comply with requirements for doors, steps, and thresholds and for interior circulation, handrails, and stanchions specified in §§ 38.25 and 38.29 for buses, vans, and systems, and provide at least one space for wheelchair or mobility aid users complying with § 38.23(d) unless the complete operating unit (or “train”) can already accommodate at least two.

# Chapter 12 – Oversight, Complaints, and Monitoring

## 12.1 Introduction

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This chapter explains how FTA carries out its oversight and enforcement responsibilities, including complaint investigations, under the Americans with Disabilities Act (ADA), and covers transit agencies' own responsibilities for resolving and tracking disability-related complaints. This chapter also highlights topics in the Circular that include related information on the monitoring of service for compliance.

This Circular does not alter, amend, supersede, or otherwise affect the DOT ADA regulations themselves or replace the need for readers to reference the detailed information in the regulations. FTA recommendations and examples of optional practices are included throughout the Circular and do not represent requirements. FTA recognizes there are many different ways agencies can implement the regulatory requirements and ensure the delivery of compliant service. FTA encourages transit agencies to engage riders with disabilities when making decisions about local transit service.

## 12.2 FTA Oversight of Recipients

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### Requirement

“Recipients of Federal financial assistance from the Department of Transportation are subject to administrative enforcement of the requirements of [Part 37] under the provisions of 49 CFR Part 27, Subpart C” ([§ 37.11\(a\)](#)).

“Public entities, whether or not they receive Federal financial assistance, also are subject to enforcement action as provided by the Department of Justice” ([§ 37.11\(b\)](#)).

“Private entities, whether or not they receive Federal financial assistance, are also subject to enforcement action as provided in the regulations of the Department of Justice implementing title III of the ADA (28 CFR Part 36)” ([§ 37.11\(c\)](#)).

### Discussion

FTA is charged with ensuring recipients of Federal transit funding (grantees) do not discriminate against individuals with disabilities. The responsibility falls under 49 CFR § 37.11(a) and Subpart C (Enforcement) of 49 CFR Part 27.

Each grantee annually signs FTA's Master Agreement, thus agreeing it will comply with Federal law. In addition, each grantee annually signs FTA's certifications and assurances, self-certifying that it is complying with Federal law. FTA assesses compliance through grantee self-certification, as well as grant reviews, complaint investigations, and site visits such as:

- [Triennial Reviews](#) of grantees receiving § 5307 Urbanized Area Formula Grants
- [State Management Reviews](#) of grantees receiving § 5311 Non-Urbanized Area Formula Grants and § 5310 Enhanced Mobility for Seniors and Individuals with Disabilities Grants
- [Civil Rights Specialized Compliance Reviews](#) of grantees' fixed route, complementary paratransit, and rail service

FTA also conducts oversight reviews in specific areas when grantees either (1) are participating in special programs (e.g., Project Management Oversight reviews for grantees receiving § 5309 New Starts funding) or (2) may be at risk for deficiencies in specific areas, including the ADA. Further information on other program reviews is available on the [FTA website](#).

## 12.3 FTA Informal Resolution

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### Requirement

“Cooperation and assistance. The responsible Departmental official, to the fullest extent practicable, seeks the cooperation of recipients in securing compliance with this part and provides assistance and guidance to recipients to help them comply with [Part 27]” ([§ 27.121\(a\)](#)).

### Discussion

FTA’s role in overseeing ADA compliance is rooted in DOT’s overall administrative enforcement policy, as discussed in [Appendix D](#) to § 37.11:

In considering enforcement matters, the Department is guided by a policy that emphasizes compliance. The aim of enforcement action, as we see it, is to make sure that entities meet their obligations, not to impose sanctions for their own sake. The Department’s enforcement priority is on failures to comply with basic requirements and “pattern or practice” kinds of problems, rather than on isolated operational errors.

If through a compliance review, complaint investigation, or other means, FTA identifies a grantee’s failure to comply with applicable ADA requirements, it notifies the grantee, gives it an opportunity to correct the deficiency, and provides technical assistance if needed.

## 12.4 FTA Administrative Enforcement

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### Requirement

“Recipients of Federal financial assistance from the Department of Transportation are subject to administrative enforcement of the requirements of [Part 37] under the provisions of 49 CFR Part 27, Subpart C” ([§ 37.11\(a\)](#)).

“*General.* If there is reasonable cause for the responsible Departmental official to believe that there is a failure to comply with any provision of [Part 27] that cannot be corrected by informal means, the responsible Departmental official may recommend suspension or termination of, or refusal to grant or to continue Federal financial assistance, or take any other steps authorized by law. Such other steps may include, but are not limited to:

- (1) A referral to the Department of Justice with a recommendation that appropriate proceedings be brought to enforce any rights of the United States under any law of the United States (including other titles of the Act), or any assurance or other contractual undertaking; and
- (2) Any applicable proceeding under State or local law” ([§ 27.125\(a\)](#)).

“*Refusal of Federal financial assistance.* (1) No order suspending, terminating, or refusing to grant or continue Federal financial assistance becomes effective until:

- (i) The responsible Departmental official has advised the applicant or recipient of its failure to comply and has determined that compliance cannot be secured by voluntary means; and

(ii) There has been an express finding by the Secretary on the record, after opportunity for hearing, of a failure by the applicant or recipient to comply with a requirement imposed by or pursuant to [Part 27].

(2) Any action to suspend, terminate, or refuse to grant or to continue Federal financial assistance is limited to the particular recipient who has failed to comply, and is limited in its effect to the particular program or activity, or part thereof, in which noncompliance has been found” ([§ 27.125\(b\)](#)).

“*Other means authorized by law.* No other action is taken until: (1) The responsible Departmental official has determined that compliance cannot be secured by voluntary means;

(2) The recipient or other person has been notified by the responsible Departmental official of its failure to comply and of the proposed action;

(3) The expiration of at least 10 days from the mailing of such notice to the recipient or other person. During this period, additional efforts are made to persuade the recipient or other person to comply with the regulations and to take such corrective action as may be appropriate” ([§ 27.125\(c\)](#)).

## Discussion

If DOT/FTA determines a matter cannot be resolved voluntarily, DOT/FTA may take action, including suspension or termination of Federal financial assistance or referral of the matter to the Department of Justice (DOJ) for enforcement, or any other steps authorized by law.

In order to suspend or terminate Federal financial assistance, the regulations at § 27.125(b) require:

- DOT/FTA to determine that compliance cannot be secured by voluntary means
- DOT/FTA to advise the grantee of its failure to comply
- The Secretary of Transportation to make an express finding on the record, after opportunity for hearing, that the grantee has failed to comply

### 12.4.1 DOJ Authority

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DOJ may initiate action on a referral from DOT/FTA. Upon such referral, DOJ may conduct further investigation and legal analysis to determine what enforcement means are appropriate, including litigation. DOJ will then initiate its own efforts to resolve the matter without litigation, before proceeding with a court filing. DOJ may also entertain litigation by intervening into lawsuits already pending in the courts filed by private plaintiffs.

In addition, Part 35 of DOJ’s updated 2010 ADA Title II regulations (Nondiscrimination on the Basis of Disability in State and Local Government Services) includes a provision in Subpart G (Designated Agencies) that allows DOJ to investigate a complaint on its own, without referring the complaint to the designated agency. (See [28 CFR 35.190\(e\)](#).) This means an FTA grantee may be subject to a DOJ complaint investigation independent of FTA.

### 12.4.2 DOJ-FTA Memorandum of Understanding

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In 2005, FTA and DOJ executed a [Memorandum of Understanding](#) (MOU) to strengthen the respective enforcement efforts of both agencies, to eliminate possible duplication of effort, to streamline the enforcement process, and to ensure coordinated and consistent nationwide enforcement.

## 12.5 FTA On-Site Reviews

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### Requirement

“*Periodic compliance reviews.* The responsible Departmental official or his/her designee, from time to time, reviews the practices of recipients to determine whether they are complying with [Part 27]” ([§ 27.123\(a\)](#)).

### Discussion

FTA’s onsite reviews for ADA compliance include Triennial or State Management Reviews and a select number of discretionary compliance reviews. FTA conducts Triennial or State Management Reviews of all § 5307, § 5310, and § 5311 funding recipients on a rotating basis. Other reviews are conducted following the criteria outlined below.

### 12.5.1 Compliance Review Selection Criteria

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The following factors contribute to the selection of grantees for civil rights specialized reviews or enhanced reviews through the Triennial and State Management Review process:

- Risk factors identified by the FTA annual Grantee Oversight Assessment
- FTA complaints (triggered either by the volume of complaints or the scope of a specific complaint, requiring an in-person investigation)
- ADA findings or recommendations on prior Triennial, State Management, or other reviews that grantees have not sufficiently resolved or implemented, or repeat findings in any FTA review concerning ADA
- Lawsuits, complaints, or investigations conducted by organizations other than FTA alleging a grantee’s noncompliance
- Alleged noncompliance brought to FTA’s attention by other entities

### 12.5.2 Compliance Reporting and Follow-up

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After conducting an on-site review, FTA issues a report that includes findings of deficiency or no deficiency for each of the relevant requirements.

Transit agencies are required to undertake corrective actions to address findings of deficiency within a specified timeframe following finalization of the report. FTA works with agencies to confirm implementation of corrective actions.

## 12.6 FTA Complaint Process

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### Requirement

“*Complaints.* Any person who believes himself/herself or any specific class of individuals to be harmed by failure to comply with [Part 27] may, personally or through a representative, file a written complaint with the responsible Departmental official. A Complaint must be filed not later than 180 days from the date of the alleged discrimination, unless the time for filing is extended by the responsible Departmental official or his/her designee” ([§ 27.123\(b\)](#)).

“*Investigations.* The responsible Departmental official or his/her designee makes a prompt investigation whenever a compliance review, report, complaint, or any other information indicates a possible failure to

comply with [Part 27]. The investigation includes, where appropriate, a review of the pertinent practices and policies of the recipient, and the circumstances under which the possible noncompliance with [Part 27] occurred” ([§ 27.123\(c\)](#)).

*“Resolution of matters.* (1) If, after an investigation pursuant to paragraph (c) of this section, the responsible Departmental official finds reasonable cause to believe that there is a failure to comply with [Part 27], the responsible Departmental official will inform the recipient. The matter is resolved by informal means whenever possible. If the responsible Departmental official determines that the matter cannot be resolved by informal means, action is taken as provided in § 27.125.

(2) If an investigation does not warrant action pursuant to paragraph (d)(1) of this section, the responsible Departmental official or his/her designee so informs the recipient and the complainant, if any, in writing” ([§ 27.123\(d\)](#)).

## Discussion

As part of its ADA oversight responsibilities, FTA processes complaints filed against transit providers by members of the public alleging noncompliance. Under DOJ’s 2010 Title II regulations in [28 CFR § 37.172](#) FTA is charged with investigating complaints generally, not necessarily “each” complaint received as stated in DOJ’s 1991 regulations. With this rule change, FTA has discretion in determining which complaints it will investigate.

FTA does not represent the interests of individual complainants but rather the interests of the Federal government. FTA’s objective during the complaint process is to ensure grantees comply with the ADA requirements as a condition to receiving Federal funds and that they correct any deficiencies identified in order to provide ADA compliant service.

FTA also investigates complaints filed against non-grantees consistent with Part 37. This involvement is unique to the ADA, as generally civil rights statutes require the presence of Federal funding in order for FTA to intervene. [Appendix D](#) to § 37.11 states:

Under the DOJ rules implementing title II of the ADA (28 CFR Part 35), DOT is a “designated agency” for enforcement of complaints relating to transportation programs of public entities, even if they do not receive Federal financial assistance. When it receives such a complaint, the Department will investigate the complaint, attempt conciliation and, if conciliation is not possible, take action under Section 504 and/or refer the matter to the DOJ for possible further action.

### 12.6.1 Complaint Investigations

If FTA investigates a complaint, it contacts the affected transit agency, notifying it of the complaint and asking it to provide a response to the allegations, along with supplemental information. After reviewing all of the information gathered, FTA issues a decision letter detailing whether any concerns or deficiencies were identified through the investigation. For any deficiencies, FTA typically requests a response from the agency, usually within 30 days, outlining the corrective actions taken or a timetable for implementing changes. If FTA cannot work with an agency to resolve apparent violations of the ADA or the DOT ADA regulations by voluntary means, it may pursue the enforcement provisions discussed previously.

In responding to complaints, FTA considers the facts and circumstances at issue. Determinations resulting from FTA’s investigations are not intended to be an expression of an opinion about a transit agency’s overall compliance with ADA requirements.

To assist transit agencies and others, FTA publishes complaint decision letters on the [FTA website](#). Generally, these letters, which are normally addressed to a specific individual or agency, set forth FTA's determinations regarding an issue involving a specific factual situation. FTA notes that these determinations are applicable to only the specific facts in question and, as such, are not necessarily broadly applicable to other situations, which may or may not involve the same facts. References to FTA complaint decision letters provided in this Circular serve as illustrative examples of how regulations have been applied by FTA in specific instances.

In lieu of sending an information request to the transit provider and issuing a decision letter, FTA may address a complaint through a civil rights specialized review or a Triennial or State Management Review when the complaint allegations are within the scope of a recent or upcoming review. In this case, the final review report serves as the response to the complaint allegations.

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## 12.6.2 Administrative Closures

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FTA will generally administratively close ADA complaints, shortly after the intake stage or later in the investigative process, under any of the following circumstances:

- The complainant decides to withdraw the complaint.
- The complainant is not responsive to FTA's requests for information.
- FTA obtains credible information that the allegations raised by the complaint have been resolved.
- FTA has conducted or plans to conduct a related compliance review of the agency against which the complaint is lodged, as mentioned in Circular Section 12.6.1.
- The complaint has been investigated by another agency and the resolution of the complaint meets the DOT regulatory standards.
- The complaint allegations are foreclosed by previous decisions of the Federal courts, the Secretary, DOT policy determinations, or the DOT's Office of Civil Rights.
- The complaint is identified to be a continuation of a pattern of previously filed complaints involving the same or similar allegations against the same recipient or other recipients that have been found factually or legally insubstantial by FTA.
- The same complaint allegations have been filed with another Federal, state, or local agency, and FTA anticipates that the other agency will provide the complainant with a comparable resolution process under comparable legal standards.
- Litigation has been filed raising similar allegations involved in the complaint.<sup>1</sup>
- The death of the complainant or injured party makes it impossible to investigate the allegations fully.

Most administrative closures do not involve outreach to the affected transit agency.

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## 12.6.3 How to File a Complaint

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Individuals or any specific class of individuals, personally or through a representative, may submit a complaint to FTA. Those wishing to submit a complaint may do so independent of a transit agency's complaint process. FTA provides an optional [Civil Rights Complaint Form](#) on its website for complainants to complete within 180 days from the date of the alleged discrimination. FTA's practice is

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<sup>1</sup> FTA maintains its responsibility to ensure full compliance with Federal law by its grantees, and as such may renew an investigation of a complaint subject to litigation as part of its oversight responsibility, if a settlement agreement or other information suggests less than full compliance.

to encourage riders and others to resolve issues with local agencies when possible before filing a complaint with FTA.

## 12.7 Transit Agency Complaint Process

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While providing good customer service is a goal all transit agencies share, issues arise that lead to customer complaints. Many agencies have robust customer service programs in place to address such issues, and while these are important to agency activities, § 37.17 and § 27.13 require all agencies to designate an employee to coordinate Part 37 and Part 27 compliance, respectively, and to have procedures in place specifically to address complaints alleging ADA violations.

### 12.7.1 Designation of Responsible Employee

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#### Requirement

“*Designation of responsible employee.* Each public or private entity subject to [Part 37] shall designate at least one person to coordinate its efforts to comply with [Part 37]” ([§ 37.17\(a\)](#)).

This requirement is also in § 27.13(a).

#### Discussion

The regulations require transit agencies to designate at least one individual to coordinate ADA compliance. Many agencies designate this individual as the “ADA Coordinator.”

### 12.7.2 Complaint Procedures

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#### Requirement

“*Adoption of complaint procedures.* An entity shall adopt procedures that incorporate appropriate due process standards and provide for the prompt and equitable resolution of complaints alleging any action prohibited by this part and 49 CFR Parts 27, 38 and 39. The procedures shall meet the following requirements:

- (1) The process for filing a complaint, including the name, address, telephone number, and email address of the employee designated under paragraph (a) of this section, must be sufficiently advertised to the public, such as on the entity’s Web site;
- (2) The procedures must be accessible to and usable by individuals with disabilities;
- (3) The entity must promptly communicate its response to the complaint allegations, including its reasons for the response, to the complainant and must ensure that it has documented its response” ([§ 37.17\(b\)](#)).

This requirement is also in § 27.13(b).

#### Discussion

DOT’s 2015 Reasonable Modification of Policy and Practices final rule included revisions to the local complaint process requirement that affect the local handling of all complaints, not just those involving reasonable modification of policy. The Section 504 regulations have long required transit agencies to have administrative procedures in place that incorporate appropriate due process standards and provide for the prompt and equitable resolution of complaints. The regulations now require additional steps described below.

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## Advertising the Process for Filing a Complaint

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Section 37.17(b)(1) requires transit agencies to sufficiently advertise the process for filing a complaint, so that individuals know where to direct their complaints. Having a well-defined and advertised central point for collecting complaints helps prevent riders from mistakenly assuming they have filed formal complaints when communicating with transit personnel outside the established process. At the same time, the procedures help the agency ensure it provides appropriate due process for any actual ADA complaints received.

Agencies must advertise the process through means such as agency websites and include the contact information (name, address, telephone number, and email address) for the employee designated to coordinate compliance. In lieu of providing the name of an individual, FTA has found it acceptable to provide a title (e.g., “ADA Coordinator” or “Customer Complaint Representative”) so long as any communications to the job title are directed to the designated employee who can then promptly respond. This can be accomplished by forwarding telephone calls, retrieving recorded messages, forwarding emails, or other means.

Section 37.17(b)(2) requires a transit agency’s complaint procedures to be accessible to and usable by individuals with disabilities. Alternative formats must be provided to individuals as necessary. (See Circular Section 2.8.)

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## Communicating the Response to the Complainant

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One of the primary changes to the local complaint process requirement in the reasonable modification rule involves communication. Per § 37.17(b)(3), a transit agency must promptly communicate its response to the complainant, including the reasons for the response, and document this response for purposes of recordkeeping.

To facilitate prompt resolution, many transit agencies offer various means of communication, including written, electronic, in-person, and telephonic. Many agencies have also created interactive forms on their websites to receive complaints and use such procedures to share the information with the agency’s ADA Coordinator. Typically, such interactive forms also generate automated emails to the complainant acknowledging receipt of the complaint and indicating further communications will occur once the investigation is complete.

The regulations do not require a written response to the complainant. The agency, however, must communicate its response to the complaint allegations to the complainant and document its response to the complainant in its internal records or database.

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## Using Contracted Service Providers

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FTA notes that establishing complaint policies and procedures is the responsibility of the transit agency, not its contractors, meaning that complaint procedures apply to all transit service provided by the agency, whether directly or by contract. FTA cautions agencies against directing local complaints to their contracted service provider for resolution, since the agency itself is ultimately responsible for ADA compliance.

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## Combining ADA and Title VI Procedures

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Grantees have long been required to have procedures for processing complaints from members of the public alleging discrimination based on race, color, or national origin under Title VI of the Civil Rights Act of 1964. (See FTA’s [Title VI Circular 4702.1B](#).) FTA notes that agencies can use the same process for accepting and investigating ADA and Title VI complaints. While agencies may find consolidating the processes more efficient, ADA complaints must be categorized distinctly from Title VI complaints in

internal and external communications. For example, it is not appropriate to have a “Title VI Complaint Form” that includes “disability” as one of the bases for filing a complaint; this incorrectly implies that disability is a covered basis under Title VI. Instead, an agency may elect to have one “Discrimination Complaint Form,” or a similarly titled form, that covers both the Title VI and ADA bases and clearly distinguishes the two statutes.

### 12.7.3 Recordkeeping

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#### Requirement

“*Compliance reports.* Each recipient shall keep on file for one year all complaints of noncompliance received. A record of all such complaints, which may be in summary form, shall be kept for five years. Each recipient shall keep such other records and submit to the responsible Departmental official or his/her designee timely, complete, and accurate compliance reports at such times, and in such form, and containing such information as the responsible Department official may prescribe. In the case in which a primary recipient extends Federal financial assistance to any other recipient, the other recipient shall also submit compliance reports to the primary recipient so as to enable the primary recipient to prepare its report” ([§ 27.121\(b\)](#)).

#### Discussion

The regulations require transit agencies to keep all complaints of noncompliance on file for one year and a record of all such complaints (which may be in summary form) for five years. With the development of automated complaint-tracking systems, an optional good practice is to maintain an ongoing database of all complaints and to tag ADA-related complaints accordingly. This practice enables agencies to produce historical reports upon request.

It is important for transit agencies to distinguish between complaints that pertain to the DOT ADA requirements versus complaints about services or policies that do not—even if the complainant has a disability. For example, a complaint about wheelchair securements on fixed route buses not functioning properly is an ADA complaint, while a complaint about noisy passengers on a complementary paratransit vehicle is not. In addition, while complementary paratransit service is an ADA requirement, it is important to distinguish between service complaints (e.g., occasional late pickups) and complaints related to regulatory compliance such as a pattern or practice of significantly late pickups. (See Circular Section 8.5.6.)

While there are many potential areas of noncompliance, some of the more common types of ADA complaints include:

- Bus drivers passing by riders using wheelchairs waiting at a bus stop
- Vehicle operators not announcing stops or identifying routes
- Personnel refusing to allow a rider’s service animal in a station or on a vehicle
- ADA paratransit vehicles arriving late

The following examples of service-related complaints are not areas of ADA noncompliance:

- Comfort while riding (e.g., driving style)
- Lack of or limited fixed route service (e.g., not serving a particular location or limited evening or weekend service)

Many transit agencies have developed robust methods for resolving complaints. Circular Section 12.7.4 outlines optional good practices for complaint resolution.

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## 12.7.4 Complaint Filing and Resolution

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Section 37.17(b)(1) requires transit agencies to publicize their process for filing complaints. An optional good practice is to also publicize policies and procedures pertaining to the complaint-resolution process. This may include the information an agency needs to investigate a complaint, timelines for promptly resolving complaints, and details on how the resolution will be communicated to the complainant.

### Collecting Information

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To properly investigate complaints, transit agencies typically request the following information:

- Contact information (name, rider ID (if applicable), address, telephone, email, etc.)
- Mobility aid used (if any)
- Date, time, and location of the incident
- Transit mode and line/route
- Vehicle ID number
- Name(s) or ID numbers of agency employee(s) or others
- Description of what transpired
- Other documentation such as photographs

Because of the unique service requirements of complementary paratransit, many agencies also establish specific information requirements related to such topics as:

- Telephones (reservations, cancellations, “where’s my ride,” etc.)
- Lateness and missed trips
- On-board ride times

Transit agencies have flexibility in establishing the best format(s) for receiving ADA complaints. As described above, agencies may decide to have a separate ADA complaint process or combine ADA and Title VI (and any other nondiscrimination requirements) into one process. Some agencies also decide to collect ADA complaints through online comment forms that capture suggestions, compliments, and complaints related to any service issues. A general form can be used to accept ADA complaints; however, any agency using such a form will need to ensure procedures are in place for distinguishing ADA complaints from other service issues, advertising the process, and responding consistently with the complaint requirements in § 37.17. Attachment 12-1 provides a sample comment form that can be used to collect feedback.

### Setting Timelines

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The regulations do not establish specific timelines for complaint resolution, leaving transit agencies free to establish their own timelines for resolving complaints. However, § 37.17(b) requires agencies to resolve complaints in a manner that is both “prompt” and “equitable” so as not to discriminate against individuals with disabilities.

Regardless of local policies for timelines, an optional good practice is to keep track of dates throughout the complaint resolution process, including:

- Date of receipt
- Date of assignment for investigation
- Date of resolution
- Date of communication to complainant

Thoroughly investigating complaints and openly communicating the investigative process and results can help establish positive relationships with riders and potentially reduce the possibility of legal actions and complaints filed with FTA.

### Investigating Complaints

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FTA recommends that complaint investigations include communications with all parties involved (i.e., the complainant as well as pertinent operations staff). Many transit agencies extend their complaint investigation beyond in-person communication to include other information sources, such as:

- Video recordings from facility surveillance and on-board cameras
- Telephone call recordings
- Written communications (paper and electronic)
- System data including location tracking, dispatch records, and reservationist notes and input
- Driver manifests (paper or electronic)
- Interviews with transit agency or contractor employees and other riders who may be witnesses to the incident

As discussed above, it is important to distinguish between general service complaints and those that rise to the level of noncompliance and to fully investigate complaints of discrimination.

### Following Up Internally After Complaint Investigations

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[Section 37.173](#) requires transit agencies to ensure their personnel are trained to proficiency as appropriate to their duties. (See Circular Section 2.9.) Rider complaints that reveal issues with the provision of service can be indicators that employees may not be trained proficiently.

When complaint investigations confirm ADA violations, the following are optional good practices:

- Have established follow-up procedures in place. Transit agencies and their contractors typically employ progressive discipline measures, beginning with re-training and counseling followed by more punitive actions after repeat offenses.
- Use properly investigated complaint findings as case studies in training curricula; these offer real-world examples to trainees.
- Include supervisor monitoring and follow-up to confirm that employees understand and properly carry out their responsibilities.
- For ADA violations arising from issues with vehicles, accessibility equipment, or facilities, review operating procedures, maintenance procedures, and technical specifications to identify any needed changes.

## 12.8 Transit Agency Monitoring

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Transit agencies must sufficiently monitor their service, provided in house or by contractors, in order to confirm internally, and in some cases to FTA during oversight activity, that the service is being delivered consistent with the ADA requirements. State recipients are also responsible for ensuring the compliance of their subrecipients, as covered in Circular Chapter 1. FTA does not dictate the specifics of an agency or state's monitoring efforts. Approaches for monitoring will vary based on the characteristics of the service and local considerations.

When transit agencies contract with other entities (public or private), these other entities “stand in the shoes” of the agency. Section 37.23 requires the agency to ensure that the other entity meets the relevant Part 37 requirements. (See Circular Section 1.3.2.) FTA recommends that agencies enter into clearly

worded and concise contracts with explicit service provision requirements, including minimum performance standards, incentives and penalties, and regular reporting.

Table 12-1 lists the Circular chapters in which monitoring-related activities are discussed.

**Table 12-1 – Circular Chapters that Discuss Monitoring Activities**

| Chapter                                    | Monitoring Topics Discussed   |
|--|---|
| 1 – Introduction and Applicability         | Services under contract or other arrangement  |
| 2 – General Requirements                   | N/A   |
| 3 – Transportation Facilities              | Design review<br>Construction oversight   |
| 4 – Vehicle Acquisition and Specifications | Pre-delivery vehicle inspections  |
| 6 – Fixed Route Service                    | Stop announcements<br>Route identification announcements  |
| 7 – Demand Responsive Service              | Determining equivalency for each service requirement  |
| 8 – Complementary Paratransit Service      | On-time pickup performance<br>Denials and missed trips<br>Trip lengths<br>Telephone system performance  |
| 9 – ADA Paratransit Eligibility            | Timeliness of ADA paratransit eligibility determinations<br>Accuracy of no-show and missed trip coding  |
| 10 – Passenger Vessels                     | Accommodating passengers who use mobility aids<br>Providing on-board assistance<br>Complaint processing |
| 12 – Oversight, Complaints, and Monitoring | Complaint processing  |

To ensure compliant service, FTA recommends that transit agencies go beyond reviewing performance reports and data or conducting desk audits and observe actual service. Even when agency policies and procedures may be correct, actual practices may differ. Monitoring how transit employees interact with riders with disabilities is a key element in ensuring compliance. Some of these activities, such as whether vehicle operators announce stops, are relatively easy to monitor (e.g., through the use of secret riders). Other activities, such as properly deploying bus ramps at stops, occur less frequently. Approaches for monitoring compliance may depend on the frequency of activity that occurs in service.

# Attachment 12-1

## Sample Comment Form

[Transit Agency] is committed to providing you with safe and reliable transportation services and we want your feedback. Please use this form for suggestions, compliments, and complaints. You may also call us at [number], visit our Customer Service Center at [address], or contact us by email or U.S. postal mail at the addresses below. Please make sure to provide us with your contact information in order to receive a response. [Include Agency Name, Responsible Employee Name or Title, Address, Telephone, and Email link]

| SECTION I: TYPE OF COMMENT (Choose One)*   |                |                     |                   |                    |
|--|----------------|---------------------|-------------------|--------------------|
| Compliment____   | Suggestion____ | Complaint____       | Other:_____       | ADA Related? Y / N |
| SECTION II: CONTACT INFORMATION  |                |                     |                   |                    |
| Salutation [Mr./Mrs./Ms., etc.]:   |                |                     |                   |                    |
| Name:  |                |                     |                   |                    |
| Rider ID (if applicable):  |                |                     |                   |                    |
| Street Address:  |                |                     |                   |                    |
| City, State, Zip code:   |                |                     |                   |                    |
| Phone:   |                | Email:              |                   |                    |
| Accessible Format Requirements:  | Large Print__  | TDD/Relay__         | Audio Recording__ | Other_____         |
| SECTION III: COMMENT DETAILS   |                |                     |                   |                    |
| Transit Service (Choose One) [as applicable] [Bus/Subway/Paratransit]*   |                |                     |                   |                    |
| Date of Occurrence:  |                | Time of Occurrence: |                   |                    |
| Name/ID of Employee(s) or Others Involved:   |                |                     |                   |                    |
| Vehicle ID/Route Name or Number:   |                |                     |                   |                    |
| Direction of Travel:   |                |                     |                   |                    |
| Location of Incident:  |                |                     |                   |                    |
| Mobility Aid Used (if any):  |                |                     |                   |                    |
| If above information is unknown, please provide other descriptive information to help identify the employee:                             |                |                     |                   |                    |
| Description of Incident or Message [Text box on web form for narrative]:   |                |                     |                   |                    |
| SECTION IV: FOLLOW-UP  |                |                     |                   |                    |
| May we contact you if we need more details or information?   |                | Yes                 | No                |                    |
| What is the best way to reach you? (Choose One)*   | Phone          | Email               | Mail              |                    |
| If a phone call is preferred, what is the best day and time to reach you?  |                |                     |                   |                    |
| SECTION V: DESIRED RESPONSE (Choose One)*  |                |                     |                   |                    |
| <ul style="list-style-type: none"> <li>- Email response</li> <li>- Telephone response</li> <li>- Response by U.S. Postal Mail</li> </ul> |                |                     |                   |                    |

\* Drop-down menu on web forms

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## Abbreviations and Acronyms

ABA – Architectural Barriers Act of 1968

Access Board – U.S. Architectural and Transportation Barriers Compliance Board

ACD – Automatic Call Distribution

ADA – Americans with Disabilities Act

ADA-ABA AG – ADA-ABA Accessibility Guidelines of 2004

ADAAG – ADA Accessibility Guidelines

AGT – Automated Guideway Transit

ANSI – American National Standards Institute

BRT – Bus Rapid Transit

CFR – Code of Federal Regulations

CIL – Center for Independent Living

CR – Curb ramps

CRO – Complaints Resolution Official

DOJ – Department of Justice

DOT – Department of Transportation

DOT Standards – ADA Standards for Transportation Facilities (2006) incorporating ADA-ABA AG with additional modifications

FACTS – Functional Assessment of Cognitive Transit Skills

FHWA – Federal Highway Administration

FRA – Federal Railroad Administration

FTA – Federal Transit Administration

GVWR – Gross Vehicle Weight Rating

HIPAA – Health Insurance Portability and Accountability Act

IBC – International Building Code

ISA – International Symbol of Accessibility

LEP – Limited English Proficiency

MAP-21 – Moving Ahead for Progress in the 21st Century

MOU – Memorandum of Understanding

MPH – Miles per hour

PCA – Personal Care Assistant

PII – Personally Identifiable Information

PVO – Passenger Vehicle Operator

RED – Regional Eligibility Database

Section 504 – part of the Rehabilitation Act of 1973 pertaining to prohibition of discrimination

TCRP – Transit Cooperative Research Program

TDD – Telecommunications Device for the Deaf

Title VI – of the Civil Rights Act of 1964, protecting persons from discrimination

TRS – TTY (see below) Relay Service

TTY – Text Telephone

U.S.C. – United States Code

UFAS – Uniform Federal Accessibility Standards