



ITD

Public Transportation Office

Site Review Packet



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Overview

The Idaho Transportation Department – Public Transportation Office (ITD-PT), as a direct recipient of Federal Transit Administration (FTA) grant funding, is required to ensure compliance with all Federal and State requirements for funds administered through the ITD-PT office. As such, ITD-PT has implemented a Site Review Program. This program serves as a critical compliance and oversight tool, as well as allowing for technical assistance and the exchange of best practices between ITD-PT and public transportation providers.

This program is structured on a three-year basis, with technical assistance needs and/or previous site review findings being used to determine the frequency of visits (i.e. yearly, every two years, or every three years). ITD-PT Grants Officers perform the review, which takes place in three parts:

1. Desk Review

Performed prior to the site review, reviewing Grants Officer will request the required documentation as well as filled out questions in the site review packet. Subrecipients are provided 30 days to complete and return the site review packet. The packet and all documents will need to be submitted up to four weeks prior to the actual on-site visit.

2. Site Review

In person visit will consist of reviewing the provided responses to each of the Site Review Packet questions. ITD-PT will also review samples of files, inspect vehicles or facilities etc. upon request during the site visit.

3. Closeout Conference Call and Letter

Performed 30 days following in person site review. This will review final findings, recommendations, and needed corrections. A timeline for any needed corrections will be made at this time.



Subrecipient and Reviewer Information

Subrecipient Name	
Type of Organization	
Year Established	
Year Service Started	
Sam.Gov Unique Identifier	
Agency Website	

Subrecipient Contact	
Address	
Phone	
E-mail	

ITD Reviewing Grants Officer	
Phone	
E-mail	

Desk Review Date	
Site Visit Date	

Review Period	
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Pre-Desk Review Documents

Document	Received Y/N/NA
1. Organizational Chart	
2. Board Bylaws	
3. Board/Council Policy Manual	
4. Conflict of Interest Policy	
5. Example Board/Council Minutes	
6. Example Board/Council Financial Report	
7. Accounting Policy/Manual	
8. Cost Allocation Plan	
9. Procurement Manual	
10. Code of Conduct Governing Procurements	
11. Document Control and Retention Procedure	
12. Transportation Budget	
13. Budget Showing Actuals vs Expenditures	
14. Personnel Manual	
15. EEO Policy Statement	
16. Example Job Posting	
17. Transit Plan (if applicable)	
18. Marketing Plan (if applicable)	
19. Vehicle Operator Manual	
20. Fare Collection Procedure	
21. Rider's Guide	
22. Passenger Behavior Policy	
23. No Show Policy (if applicable)	
24. Title VI Policy/Program	
25. ADA Application and Guidelines	
26. Complaint Procedure	
27. Drug and Alcohol Policy	
28. Drug Free Workplace Policy	
29. Completed Drug & Alcohol Spreadsheet https://apps.itd.idaho.gov/apps/pt/compliance/DAP/DAPRandomTestingCharts.xls	
30. Written Vehicle Maintenance Plan	
31. Pre-trip Inspection Form	
32. Facility Maintenance Plan	
33. Public Transportation Agency Safety Plan (PTASP)	
34. Emergency Preparedness Plan	
35. Business Continuity/Disaster Recovery Plan	



General Service Information

(Include only information on ITD – PT funded areas)

Counties/Cities Served	
Total Service Area Population	
Total Service Area Square Miles	
Number of Routes	
Days and Hours of Operation	
Fares	
Number of Revenue Service Vehicles in Fleet	
Number of Employees	
Ridership for Most Recent Calendar Year	
Coordination/Transfer Points With Other Transit Providers	
Total Transit Operating Budget	
Mode(s) of Service Provided	

Facility Information

Facilities:	Qty:	Location of Each	Federal Interest (Y/N)
Administrative/Maintenance Facility			
Administrative Facility			
Maintenance Facility			
Intermodal Center			
Storage Facility			
Bus Shelters			



Scope of Work and General Agency Review

For Current Agreements

(To be filled out by ITD Grant Officer & discussed on-site)

Funding Source:	Scope of Work:	Status:

Current Technical Assistance Rating:	
Current Transit Asset Management (TAM) Status:	
Current Performance Reporting Status:	
Additional Noteworthy Items/Concerns:	



SWOT Analysis

Please answer prior to site visit

Note: Top two quadrants are internal to organization, bottom two are external.

Strengths	Weakness
<i>Example: Experienced Staff, Good Reputation, etc.</i>	<i>Example: Aging Fleet, Vulnerable To Staff Turnover</i>
Opportunities	Threats
<i>Example: New large employer located in area, Cooperative Local Government</i>	<i>Example: Severe weather, Technology Change</i>



Administration and Management:

Equal Employment Opportunity (EEO)

Subrecipients may not discriminate against any employee or applicant for employment because of race, color, religion, national origin, sex, age, or physical or mental disability. Subrecipients must post in conspicuous and accessible places and make available to employees and applicants for employment notices setting forth an equal employment opportunity (EEO) policy.

Subrecipients that employ between 50-99 transit-related employees and 1) request or receive capital or operating assistance in excess of \$1 million in the previous Federal fiscal year, or 2) request or receive planning assistance in excess of \$250,000 in the previous Federal fiscal year must prepare and maintain an abbreviated EEO Program. An abbreviated EEO Program includes the Statement of Policy, dissemination plan, designation of personnel, assessment of employment practices, and a monitoring and reporting system. (See FTA Circular 4704.1A Attachment 5 for an EEO Program Format Checklist.) Agencies that meet the thresholds for an abbreviated program are not required to conduct a utilization analysis with goals and timetables or to submit the EEO Program to FTA every four years. Instead, these programs are reviewed during FTA’s oversight reviews.

Review Documents can include:

- Number of employees working on/in the Federal Transit Administration (FTA)-funded program
- Organizational chart identifying EEO officer
- Designated employee and EEO officer job descriptions
- EEO complaint logs

For Full Program Only Documents:

- List of subrecipients that meet the threshold to develop an EEO program
- Sample documents used for internal dissemination of EEO program
- Most recent EEO program, if not uploaded to FTA’s Transit Award Management System (TrAMS)
- Standard performance evaluation for managers/supervisors
- “Employment Practices Chart” (or alternate documentation containing the same information) See FTA Circular 4704.1A Attachment 4 for the listed information
- Number of persons hired in areas of underutilization

1. Is the applicant required to have a full or abbreviated EEO Program based on criteria mentioned above?(FTA Circular 4704.1A Ch. 1.4 Applicability)	
2. If a full program was required did it have all elements and was it submitted to FTA?	



<p>3. Has the recipient appropriately designated an EEO Officer with direct reporting relationship to the CEO and publicized its contact information? (FTA Circular 4704.1A Ch. 2.2.3 Designation of Personnel Responsibility)</p>	
<p>4. Does the recipient disseminate its EEO policy internally and externally as required and as detailed in its EEO Program? (FTA Circular 4704.1A Ch. 2.2.2 Dissemination)</p>	
<p>5. Do all employees have a policies and procedures handbook? If so, is this EEO Policy included? (Title 49 Subtitle A Part 21 Appendix C)</p>	
<p>6. Are EEO statements included on your job applications and employment notices/job postings? (FTA Master Agreement Section 12. Civil Rights)</p>	
<p>7. Do you conduct periodic EEO trainings within 90 days of hire for new employees and regularly for all employees? (FTA Master Agreement Section 12. Civil Rights)</p>	
<p>8. How do you monitor and ensure EEO Compliance of all contractors and sub-recipients? (FTA Circular 4704.1A Ch. 2.2.7 Monitoring and Reporting)</p>	
<p>9. If requested, were reasonable accommodations made for hiring a person with disabilities in accordance with Title I of the ADA? (FTA Master Agreement Section 12. Civil Rights)</p>	
<p>10. Have any oversight reviews, audits, or investigations of the recipient conducted since the last Review?</p>	
<p>11. If so, has the review identified significant deficiencies, material weaknesses, and/or repeat deficiencies in EEO?</p>	
<p>12. Are any findings currently open?</p>	



Financial Management:

Financial Capacity

Subrecipients must have sufficient local resources to provide the required match and carry out the proposed project. Subrecipients must also have the financial management systems to account for and report on federal and state assistance. Subrecipients must practice sound financial management practices. The documents that correspond to this section are Organizational Chart; Transportation Budget; Accounting Policy/Manual; Most Recent Single Audit; Cost Allocation Plan, position/job descriptions etc.

<p>1. How do policies and procedures address internal control practices to prevent waste, loss and misuse of federal funds? (FTA Circular 5010.1E (f))</p>	
<p>2. Are reports showing actuals versus budgeted expenses and variances being reviewed on a monthly basis? Who performs? (2 CFR Part 200.302)</p>	
<p>3. Do you generate revenue through advertising? How much? Is this used as local match?</p> <ul style="list-style-type: none"> a. If the ITD subrecipient sought out advertising, were the contracts competitively awarded? (PT Staff Pull Contracts/Files) b. Does the agency have an adequate cash flow? If not, what steps are being taken to ensure this? c. Do you have reserves? How many months of operations will it cover? (FTA Circular 5010.1E, Ch. VI, Section 4) 	
<p>4. Does your organizational structure clearly define, assign, and delegate; appropriate for all financial duties and require that those duties are:</p> <ul style="list-style-type: none"> a. carried out by qualified personnel b. segregated within the organization and c. subject to review to ensure that adequate internal checks and balances exist? (FTA C. 5010.1E (f) (1), b), c), g), and h)) 	



<p>5. Does your financial management system allow you to prepare reports and trace funds adequately to establish compliance with award terms and conditions? (2 CFR Part 200.302 (f) Financial Management (a) (b) (1-5))</p>	
<p>6. Do you have an indirect cost rate that you are using to allocate expenses towards your ITD/FTA Awards? a. If so, do you have an approved Cost Allocation Plan (CAP), or Indirect Cost Rate Proposal (ICRP), OR have you elected to charge a de minimus rate of 10 percent of modified total direct costs (MTDC)? (2 CFR Part 200.56; Appendix III to 2 CFR Part 200, C.11 A (1); Appendix IV to 2 CFR 200, C. 2. a-c and g; Appendix V to 2 CFR 200, f.1 and 3; Appendix to 2 CFR Part 200, D. b. and d.; 2 CFR Part 200.414 (g); FTA C. 5010.1E, Appendix F, 3d; FTA C. 5010.1E, Appendix G, 3)</p>	
<p>7. Did you expend \$750,000 or more in Federal Grant Awards in this review period? a. Have you conducted your required Single Audit and submitted the required SF-SAC form to the Federal Clearinghouse at https://harvester.census.gov/facweb/? b. If so, when was it completed? c. If transit findings were found, did you submit the entire Single Audit? (2 CFR Part 200.512 (a); 2 CFR Part 200.512 (b); FTA C. 5010.1E, Ch. VI, Section 8b and 8d)</p>	
<p>8. What, if any, transit-related findings and corrective actions have been taken? (5010.1E, Ch. VI, Section 8d (3))</p>	
<p>9. Confirm/List the sources of local funding and amounts used to support transit programs. a. Does your local match come from eligible sources for FTA awards? (2 CFR 200.306)</p>	



<p>10. Do you correctly draw down and track the use of federal funds for eligible expenses?</p> <p>a. Did you receive any advance payments since your last site review? If so, did you disburse advance payment funds within 3 days? (2 CFR Part 200.302 (b)(4); FTA C 5010.1E 2 f (3)(b)7; FTA C 5010.1E Ch V (9)(d); FTA Master Agreement Section 10 (c))</p>	
<p>11. Do you have third party contracts?</p> <p>a. If so, do you have an oversight program to ensure third parties compliance with Federal regulations? (2 CFR Part 200.331 (d); 2 CFR Part 200.331 (a)(4); 2 CFR Part 200.331(f))</p>	
<p>12. What procedures are in place to ensure that costs coded to FTA grants/projects are reasonable, allowable, and allocable? (2 CFR 200)</p>	
<p>13. Does the agency maintain an up-to-date accounting policies and procedures manual that covers accounting for fixed assets, the budget process, accounts payable process, procurement, payroll, etc.</p>	
<p>14. Is an up-to-date chart of accounts maintained and does it completely describe the nature of each account?</p>	
<p>15. Do policies and procedures ensure that you are practicing accounting in accordance with Generally Accepted Accounting Principles (GAAP)? <i>*GAAP is the set of rules that encompasses the details, complexities, and legalities of business accounting and is the foundation for approved accounting methods and practices.</i> (2 CFR 200.49)</p>	



Financial Management:

Procurement

Subrecipients must comply with the relevant sections of FTA C 4220.1F and State of Idaho Code 67-9201 et seq. and IDAPA 38.05.01.01 et seq.

Subrecipients are prohibited from contracting for goods and services from individuals or organizations that have been suspended or debarred from receiving federally assisted contracts.

Each subrecipient of FTA funding seeking Federal assistance to acquire property or services in support of its proposed project shall certify to FTA, in accordance with 49 CFR 18.36 that its procurements and procurement system will comply with all applicable third party procurement provisions of Federal laws, regulations, and directives, except to the extent FTA has expressly approved otherwise in writing.

The subrecipient and/or operator of the transit service is responsible for preparing the bid contract and specification, advertising and soliciting bids, receiving and reviewing bids, and awarding the contract to the lowest responsible and responsive bidder. Documents that correspond to this section: Organizational Chart; Board/Council Policy Manual; Conflict of Interest Policy; Document Control and Retention Procedure; Credit Card Policy; Procurement Manual; Code of Conduct Governing Procurements; Personnel Manual.

1. Do you have written procurement policies and procedures that include required state, local, and Federal provisions? (2 CFR Part 200.317; 2 CFR Part 200.318 (a-j); 2 CFR Part 200.319(a-d), 2 CFR Part 200.320 (a-f); 2 CFR Part 200.321 (a-b); 2 CFR Part 200.322; 2 CFR Part 200.323 (a-d); 2 CFR Part 200.325 (a-c); 2 CFR Part 200.326; FTA C. 4220.1F Ch. III)	
2. Do you maintain written standards of conduct for its representatives engaged in the selection, award, and administration of FTA-funded contracts? (2 CFR Part 200.318 (c) (1&2); FTA Master Agreement (23), Section 4; FTA C. 4220.1F Chapter III)	
3. Do you have and follow written procurement protest procedures? (2 CFR 200.318 (k))	



<p>4. Do you ensure that you only make awards to responsible contractors? How do you determine if a bidder is responsible? (49 USC 5325 (j); 2 CFR 180.300; 2 CFR 180.310; FTA Master Agreement (23), Section 4(b); FTA C. 4220.1F Ch. III. D. (1)(c))</p>	
<p>5. Do you maintain records sufficient to detail the history of each procurement? (2 CFR 200.318(i))</p>	
<p>6. Did you document rationale for the chosen method(s) of procurement:</p> <ul style="list-style-type: none"> a. election of contract type, b. contractor selection or rejection, and c. basis for the contract price. 	
<p>7. Do you ensure that contractors perform in accordance with the terms, conditions and specifications of their contracts and purchase orders? (2 CFR 200.318(b))</p>	
<p>8. Do you ensure that all procurement transactions are conducted in a manner that provides full and open competition and not restrict competition in the procurement process? (49 USC 5325(a); 49 USC 5325(h); 2 CFR 200.319 (a-d); FTA Master Agreement (23), Section 16; FTA C. 4220.1F Chapter VI 2 (g); FTA C 4220.1F Chapter 2. B. (4))</p>	
<p>9. Did you ensure that you utilized the appropriate method for all procurements conducted since your last site review? (2 CFR 200.320 (a); FTA C. 4220.1F Chapter VI 3.a.(2)(b)(c); 2 CFR 200.320 (b-d,f); FTA C. 4220.1F Ch VI 3. i. (1)(b) 2; 2 CFR 200.318(i)(1))</p>	
<p>10. Have you procured Architectural or Engineering services since your last site review? If so, were those services procured in accordance with 49 U.S.C. §5325 (b)? (49 U.S.C. 5325 (b); 40 U.S.C. §§ 1101- 1104 (“Brooks Act”); 2 CFR § 200.320(d)(5); FTA Circular 4220.1F Chapter IV 2. h. (2) (a))</p>	
<p>11. Do you develop independent cost estimates and conduct cost and/or price analysis for each procurement action above the Simplified Acquisition Threshold? (2 CFR § 200.323 (a-d); FTA Circular 4220.1F Chapter VI 6. a.; FTA Circular 4220.1F Chapter VI 6. b.)</p>	



<p>12. Have you, since your last site review, included applicable federal clauses in FTA-funded procurements exceeding the micro-purchase limit and construction contracts over \$10,000? (APPENDIX II TO PART 200—CONTRACT PROVISIONS FOR NON-FEDERAL ENTITY CONTRACTS UNDER FEDERAL AWARDS) (FAR-2018-0011 Federal Acquisition Regulation: Increased Micro-Purchase and Simplified Acquisition Thresholds)</p>	
<p>13. Have you since your last site review include required certifications in solicitations and receive signed certifications from bidders as part of their bid or proposal, as applicable? (49 CFR 26.49 (a); FTA Circular 9030.1E Chapter V 11.; APPENDIX II TO PART 200—CONTRACT PROVISIONS FOR NON-FEDERAL ENTITY CONTRACTS UNDER FEDERAL AWARDS. (I) Byrd Anti-Lobbying Amendment (31 U.S.C. 1352); 49 CFR 661.6; 49 CFR 661.12)</p>	
<p>14. Have you appropriately include and account for liquidated damages in your procurements? (Master Agreement, section 39(c); FTA C. 4220.1F Chapter IV 2. B, (6) (b) 1)</p>	
<p>15. Since your last site review did you approve, evaluate, and document change orders to procurements? (FTA Circular 4220.1F Chapter VII 2. a. The Recipient’s Role and Responsibilities; FTA Circular 4220.1F Chapter VI 3. i. (1) (b))</p>	
<p>16. If you have included options in an FTA-funded procurement, did you base the quantity on its reasonably foreseeable need and evaluate the option price prior to awarding the contract? (2 CFR 200.318(d); FTA Circular 4220.1F Chapter IV. 1.b. Necessity; FTA Circular 4220.1F Chapter VI 7. b. (1). Evaluation Required)</p>	
<p>17. If you procured a vehicle or replacement parts with FTA funds, did it adhere to time limitations on placing orders against contracts? (49 USC § 5325(e) Multiyear rolling stock; FTA Circular 4220.1F Chapter IV 2. e. (10) Time Limits for Options on Rolling Stock Contracts)</p>	



<p>18. If you purchased FTA-funded assets through a “piggyback” procurement method, did you comply with applicable requirements regarding inclusion of Federal requirements, assignability and price, and no cardinal changes? (FTA Circular 4220.1F Chapter V (7)(2) Assignment of Contract Rights; FTA Circular 4220.1F Chapter V 7. a. (1) (b). Exercise of Options; FTA Circular 4220.1F Chapter V, Section 7. b. (2) (d))</p>	
<p>19. Did you ensure that appropriate FTA approval was acquired for advance payments and that adequate protection was exercised for progress payments? 2 CFR 200.305; 2 CFR Part 205; <i>FTA C. 5010.1E, page IV-15; FTA C. 4220.1F, Ch. IV, Sections 2. b. (5)(b) Advance Payments; FTA C. 4220.1F, Ch. IV, Sections 2. b. (5)(c) Progress Payments</i></p>	
<p>20. If you procured buses with FTA funds, did you comply with requirements for bus testing reports? (49 CFR 665.7)</p>	
<p>21. If you procured rolling stock with FTA funds, did you comply with pre-award and post-delivery audit requirements? (49 U.S.C. §5323(j); 49 CFR 663, “Subpart-B”; §663.2; §663.23; §663.25; §663.27; §663.31; §663.33; §663.35; §663.37; §663.39; §663.41; §663.43)</p>	
<p>22. Do you perform oversight of your subrecipients’ FTA-funded procurement activities? (2 CFR Part 200.331)</p>	
<p>23. Did you undertake any procurements where there was only a single offer?</p>	
<p>24. Was the Excluded Parties Listing System searched on sam.gov before awarding contracts exceeding \$25,000? (2 CFR 180.220(b)(1) and 2 CFR 1200.220)</p>	
<p>25. Have you undertaken any “sole source” procurements since the last site review?</p>	



Financial Management:

Disadvantaged Business Enterprise (DBE)

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

Subrecipient must not discriminate on the basis of race, color, creed, national origin, or sex in the award and performance of FTA-assisted contracts. Subrecipient must provide disadvantaged business enterprises (DBEs) the maximum opportunity to compete for and perform contracts and subcontracts financed in whole or in part with federal funds and State funds. (49 CFR Part 26).

Review Documents:

- Most recent DBE program, if not uploaded to TrAMS
- Current organizational chart that includes the DBELO
- DBELO job description
- Shortfall analysis and corrective action plan, if not required to be submitted to FTA
- List of any DBEs terminated/substituted on a project

<p>1. Does the recipient monitor and enforce contractual requirements consistent with its approved DBE Program? Do the reports indicate that the subrecipient has been successful in contracting with DBE's? (49 CFR Part 26).</p>	
<p>2. Has the recipient submitted the Uniform Report of DBE Awards or Commitments and Payments semi-annually by the required due dates? (49 CFR Part 26). <i>(subrecipients must submit semi-annual DBE activity reports to OCR Liaison)</i></p>	
<p>3. What good faith efforts have been taken to ensure DBE's had the maximum opportunity to compete and perform contracts or subcontracts financed in whole or part with FTA funds? (49 CFR Part 37)</p> <p><i>Examples of good faith efforts include advertising in newspapers that serve minority communities, maintaining a list of minority vendors, and contacting other agencies for potential DBE contractors.</i></p>	
<p>4. Have you searched ITD's DBE list on ITD's Office of Civil Rights' website? https://itd.idaho.gov/civilrights</p>	



<p>5. Have you purchased any vehicles since the last review? (49 CFR part 26)</p> <ul style="list-style-type: none"> a. Did vendor provide copies of TVM certification if purchased a vehicle? b. If the recipient or a subrecipient set a project-specific DBE goal on a transit vehicle procurement, did it receive prior Federal Transit Administration (FTA) approval? 	
<p>6. Is there currently a DBELO implementing the DBE program? (49 CFR 26.25)</p> <ul style="list-style-type: none"> a. Does the DBELO have direct and independent access to the CEO? 	
<p>7. Does the DBELO appear to have sufficient coordination with the recipient’s procurement department on issues such as contract goal-setting, race-neutral measures, inclusion of required contract clauses, and contract administration? (49 CFR Part 26)</p>	
<p>8. Has the recipient implemented the race-neutral measures noted in its DBE program, its overall goal methodology, and any shortfall analyses/corrective action plans? (49 CFR 26.47(c))</p>	
<p>9. Does the recipient include, monitor, and enforce prompt payment clauses in FTA-funded procurements? Have DBE subcontractors notified the recipient about issues with prompt payment or return of retainage? (49 CFR 26.29 (d))</p>	
<p>10. Were any DBE complaints received since the last review?</p> <ul style="list-style-type: none"> a. What is the process for handling and resolving such complaints? b. Were they forwarded to ITD-PT? 	
<p>11. Each recipient of USDOT funding is required to sign the Statement of Agreement recognizing ITD as the agency authorized to manage the Disadvantage Enterprise Program for the State of Idaho. Has this been executed by your agency?(49 CFR 26)</p> <p>https://apps.itd.idaho.gov/apps/ocr/documents/UCP.pdf</p>	



Service Provision:

Service Eligibility

Section 5311 services may be designed to maximize use by members of the general public who are transportation-disadvantaged, including elderly persons and persons with disabilities. Coordinated human service transportation which primarily serves elderly persons and persons with disabilities, but which is not restricted from carrying other members of the public, is considered available to the general public if it is promoted as public transit service.

States are responsible for ensuring that Section 5311 funds are being used to support eligible services. Subrecipients may use Section 5311 assistance to provide service to and from urbanized areas but not exclusively for urbanized areas. Subrecipients may provide incidental service with FTA-funded vehicles but the service must not interfere with the provision of transit service and must bear the costs of providing the service.

<p>1. Do you provide any forms of revenue contracts?</p> <p><i>*Revenue contracts are those in which the subrecipient provides access to public transportation assets for the primary purpose of either producing revenue in connection with an activity related to public transportation, or creating business opportunities with the use of FTA-assisted property.</i></p> <p>(2 CFR 200.319; 49 U.S.C. 5325(a). Contract Requirements; FTA Circular 4220.1F Chapter 2 b. (4) Revenue Contracts)</p>	
<p>2. Does the contract service interfere with the provision/operation of public transportation?</p>	
<p>3. How do you ensure that services are promoted and made known to the general public population? (FTA Circular 9040.1G Chapter III)</p>	
<p>4. Do you provide any service within an urbanized area? Do you use 5311 assistance to support the urban service? (FTA Circular 9040.1G, Chapter III, Section 2, d)</p>	
<p>5. Do you deliver meals or provide incidental services? If yes, please describe the service in detail (frequency, costs, times of day, etc.).</p>	



Service Provision:

Title VI – Non Discrimination in the Delivery of Service

The Civil Rights Restoration Act of 1987 clarified the original intent of Congress, with respect to Title VI and other Non-discrimination requirements (The Age Discrimination Act of 1975 (age), and Section 504 of the Rehabilitation Act of 1973 (disability)), by restoring the broad, institutional-wide scope of coverage of these non-discrimination statutes and requirements to include all programs and activities of ITD, so long as any portion of the program is Federally assisted.

Title VI is a federal statute and provides that no person in the United States, on the grounds of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving federal financial assistance. The recipient must ensure that no person shall, on the grounds of race, color, or national origin, be excluded from participating in, or be denied the benefits of, or be subject to discrimination under any program or activity receiving Federal financial assistance without regard to whether specific projects or services are federally funded. The recipient must ensure that all transit services and related benefits are distributed in an equitable manner.

<p>1. Do you have a Title VI Plan? Who is the designated Title VI contact person for your agency? (FTA Circular 4702.1B)</p>	
<p>2. How do you notify the public of its rights under Title VI? Are there Title VI notices in vehicles and public areas? <i>(FTA Circular 4702.1B Chapter III.5. Requirement to Notify Beneficiaries of Protection Under Title VI)</i> (PT Staff Visually Review Notifications)</p>	
<p>3. How do you notify beneficiaries of protection under Title VI, how to obtain additional information on nondiscrimination obligations, and how to file a complaint? <i>(FTA Circular 4702.1B Chapter III.5. Requirement to Notify Beneficiaries of Protection Under Title VI)</i></p>	



<p>4. Does the recipient use the complaint form(s) and instructions for filing complaints identified in its Title VI Program? <u>(FTA C. 4702.1B Chapter III 6. Requirement to Develop Title VI Complaint Procedures and Complaint Form)</u></p> <p>a. Are the complaint form and instructions available on the recipient’s website and at other locations described in its Title VI program?</p> <p>b. Are the complaint form and instructions translated into languages identified in the recipient’s LAP? <u>(FTA Circular 4702.1B Chapter III.5. b. (2) Document translation)</u></p> <p>c. Is the recipient processing complaints as described in its Title VI Program and its complaint instruction forms?</p>	
<p>5. Have you completed an analysis to determine LEP needs in your service area? <u>(FTA C. 4702.1B Chapter III.9.b Developing a Language Assistance Plan)</u></p> <p>a. Are schedules and other public information provided in languages other than English? If not, are services available if needed?</p>	
<p>6. How are you assisting Limited English Proficient (LEP) transit riders? <u>(FTA C. 4702.1B Chapter III.9.b Developing a Language Assistance Plan)</u> <i>FTA requires subrecipients to train employees in providing timely and reasonable language assistance to LEP populations.</i></p>	
<p>7. Recipients are required to incorporate Title VI and LEP considerations into the recipient’s established public participation plan or process. <u>(FTA C. 4702.1B Chapter III. 8. Promoting Inclusive Public Participation)</u></p>	



<p>8. How do you take Title VI into consideration when making changes in service? <i>(FTA C. 4702.1B Chapter IV.7 Requirement to Evaluate Service and Fare Changes)</i></p>	
<p>9. What outreach efforts were undertaken to identify minority groups and low-income persons? <i>(FTA C. 4702.1B Chapter III. 8. Promoting Inclusive Public Participation)</i></p>	
<p>10. The requirement for an equity analysis applies to projects requiring land acquisition and the displacement of persons from their residences and businesses. Facilities included in this provision include, but are not limited to, storage facilities, maintenance facilities, operations centers, etc. Has this been completed? <i>(FTA C. 4702.1B Chapter III 13 Determination of Site or Location of Facilities)</i></p>	
<p>11. How have you ensured that buses assigned, and the location of transit facilities and amenities are made without regard to race, color, national origin, or income? <i>(FTA C. 4702.1B Chapter III 13 Determination of Site or Location of Facilities)</i></p>	
<p>12. Do you provide services to areas with minority and low-income populations? How do you monitor the performance of your services for these populations? <i>(FTA C. 4702.1B Chapter IV.6 Requirement to Monitor Transit Service)</i></p>	
<p>13. Do you have procedures for investigating, tracking, and documenting Title VI complaints? Please describe. <i>Subrecipients must have a written procedure for tracking Title VI complaints.</i></p>	
<p>14. Have any complaints been received since the last review? If so, how were they identified and resolved, and did you maintain a record of the complaint? (PT Staff Pull Records)</p>	
<p>15. Have you completed an analysis to determine LEP needs in your service area?</p>	



<p>16. How are you assisting Limited English Proficient (LEP) transit riders? <i>FTA requires subrecipients to train employees in providing timely and reasonable language assistance to LEP populations.</i></p>	
<p>17. Are schedules and other public information provided in languages other than English? If not, are services available if needed?</p>	



Service Provision:

Americans with Disabilities Act (ADA)

Titles II and III of the Americans with Disabilities Act of 1990 (ADA) provide that no entity shall discriminate against an individual with a disability in connection with the provision of transportation service. The law sets forth specific requirements for vehicle and facility accessibility and the provision of service, including complementary paratransit. Documentation pertaining to this section can include: ADA complaint procedures; ADA complaint form; Complaint records; sample driver handbooks; record retention policy; sample internal service monitoring materials etc. The Department of Justice (DOJ) narrowed the definition of a service animal in amendments to its ADA regulations in 2010, 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.

<p>1. Do you provide driver training on ADA rules, regulations, and sensitivity to passengers? a. Operation of lifts and other accessibility equipment? <i>(49 CFR 37.173)</i></p>	
<p>2. Do you track, resolve, and respond to ADA-related complaints and what is your process of doing so? <i>(49 CFR 37.17)</i></p>	
<p>3. Have any complaints of discrimination due to disability been received from riders? If yes, describe in detail. <i>(PT Staff Pull Records)</i></p>	
<p>4. Is the process for filing a complaint advertised to the public and does it include the appropriate contact information? Are they accessible to and usable by individuals with disabilities? <i>(49 CFR 27 and 37)</i></p>	
<p>5. Are all facilities deemed open to the public ADA accessible? <i>(49 CFR 37.9; 49 CFR 37.41; 49 CFR 37.43)</i></p>	
<p>6. Do you retain all ADA-related complaints for one year and a summary of all ADA-related complaints for at least five years? <i>(49 CFR 27.121(b))</i></p>	
<p>7. Are all FTA funded vehicles ADA accessible? a. If you have any non-accessible vehicles, how do you ensure equivalent service is being met? <i>(49 CFR Part 37)</i></p>	
<p>8. How do you follow all of the following ADA provisions associated with service requirements:</p>	



<p>(49 CFR Part 37.161-169) *Note: please list response in regards to each item ‘a’ – ‘k’.</p> <ul style="list-style-type: none"> a. Stop announcements b. Route identification for those with visual impairment or other disability c. Wheelchair securement and location priority d. Wheelchair weight limits e. Ramp and lift requirements f. Respirator, concentrator, portable oxygen allowance g. Adequate time to board/disembark for those with disabilities h. Public information and communications available in accessible formats, upon request i. Reasonable modification statement in policy, practice, and procedure j. Initial and refresher training for employees k. Monitoring staff compliance with policies and procedures 	
<p>9. Have you denied service due to unavailability of accessible equipment? How do you accommodate individuals when the equipment is inoperative? (49 CFR 37.161; 49 CFR 37.163)</p>	
<p>10. Do you deny service to persons using wheelchairs due to “legitimate safety requirements?” (49 CFR 39.27; Appendix D to 49 CFR 37.165)</p> <ul style="list-style-type: none"> a. If yes, what do you consider “legitimate safety requirements?” <p>(PT Staff Pull Documents of Occurrence)</p>	
<p>11. Do you require wheelchairs to be secured? Do you deny transportation if it cannot be secured? (49 CFR 38.23; 49 CFR 37.165; FTA Circular 4070.1) Additional guidance/resource: https://www.transit.dot.gov/regulations-and-guidance/civil-rights-ada/questions-and-answers-concerning-wheelchairs-and-bus-and</p>	
<p>12. Do you require wheelchair users to wear a seat belt? (49 CFR 38.23; 49 CFR 37.5; FTA Circular 4070.1)</p>	



<p>13. Do drivers and personnel assist individuals with disabilities with the use of securement systems, ramps, and lifts? (49 CFR 37.165; FTA Circular 4070.1)</p>	
<p>14. Are service animals allowed on buses and do you require them to be certified? In control of the owner? (49 CFR 37.167(d))</p>	
<p>15. Have you had problems with passengers bringing animals that do not appear to be service animals? How did you address this?</p>	
<p>16. What is your policy regarding the time allowed for boarding? (49 CFR 37.167(i); 49 CFR 37.5)</p>	
<p>17. Do you provide route deviation service (for fixed route operators)? If yes, do materials/website clearly state procedures for requesting deviations and that this is available to the general public? (49 CFR 37.121; 49 CFR 37.77)</p>	
<p>18. Are operators required to report lift and ramp failures promptly? What are the procedures when a lift or accessibility feature is found to be inoperative? (49 CFR 37.163)</p>	
<p>19. Do you have priority seating marked to indicate it is such? Are persons sitting in priority seats requested to vacate when a person with a disability needs to use them? (49 CFR 38.27(a); 49 CFR 37.167(j))</p>	
<p>20. How do you monitor third party subrecipients and/or contracts (if applicable) to ensure they are meeting all of the applicable ADA requirements? (39 CFR Part 37)</p>	



Service Provision:

Americans with Disabilities Act - Complementary Paratransit

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. 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. Subrecipients 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. Support documentation may include the following: Dispatch reservation procedures, sample eligibility letters, ADA reasonable modification policy etc.

*Requirements for complementary paratransit do not apply to commuter bus.

All questions below can be found listed in this **Governing Directive**: 49 CFR Part 37; FTA Circular 4070.1, Chapter 8

<p>1. Do you provide complementary paratransit to at least one companion? Additional companions if space is available?</p> <p>a. If so, do you charge a fare and how much?</p> <p>*Only applies to complementary paratransit, not to regular fixed route or general public demand response services.</p>	
<p>2. Do you provide complementary paratransit to ADA eligible visitors for up to 21 days over a year’s period? (49 CFR Part 37.127)</p>	
<p>3. Do you provide complementary paratransit within ¾ of a mile of a fixed route and the core service area? (this is the minimum)</p>	
<p>4. Do you provide origin to destination service? Curb-to-curb or beyond the curb when necessary? (49 CFR Part 37.129(a)).</p>	
<p>5. Is complementary paratransit provided the same days and hours as fixed route services? (Part 37.131)</p>	
<p>6. Are the fares for complementary paratransit no more than twice the fares for fixed route?</p>	
<p>7. Is next day service provided? (49 CFR Part 37.131(b))</p>	



8. Are requests for reservations accepted during normal business hours? Even if the office is closed? (49 CFR Part 37.131(b))	
9. Are trips scheduled within one hour of requested time? (49 CFR Part 37.131(b)(2))	
10. Are trips that cannot be scheduled within one hour of requested time, tracked as a denial, even if the customer chooses an alternative time?	
11. When one leg of a round-trip cannot be reserved is it counted as two denied trips?	
12. Is a no show/late cancellation suspension policy used? If yes, what is the policy? (49 CFR 37/124(h)) <i>Not required but regulation is utilized if you do establish a policy.</i>	
13. Are financial penalties assessed? (49 CFR Part 37.124(h))	
14. Is there an appeals process?	
15. Do you have vacant seats, outside of reoccurring scheduled trips? Excess capacity?	
16. What percentage of requests are denied?	
17. Do you have standards for excessively long trips? *Performance Metrics established: “at least X percent of complementary paratransit trips shall have travel times equal to or less than comparable fixed route travel times”	
18. How do you ensure that only those who are unable to use the fixed route system are certified as eligible for ADA complimentary paratransit? (49 CFR 37.125)	
19. Are ADA complementary paratransit eligibility decisions made within 21 days of receipt of a complete application? If not, is eligibility granted until the decision is made? (49 CFR 37.125)	
20. Are persons who are denied eligibility given notice of their right to appeal? Is presumptive eligibility granted if the appeal is not decided within 30 days until eligibility is denied? (49 CFR 37.125)	



<p>21. Do you provide access for personal care attendants (PCA)? Do you charge the PCA a fare? <i>*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.</i></p>	
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Service Provision:

Drug & Alcohol

Subrecipients and their contractors must have an established program designed to help prevent accidents, injuries, and fatalities resulting from the misuse of alcohol and use of prohibited drugs by employees who perform safety-sensitive functions. This is to include a drug and alcohol-testing program. Maintenance contractors for providers in non-urbanized areas are not required to have a drug and alcohol-testing program. All questions below can be found listed in this **Governing Directive: 49 USC Part 655 as amended and 49 USC Part 40 as amended**

<p>1. Who is the person assigned to run the drug and alcohol program for your agency?</p>	
<p>2. Who is the consortium/third party administrator (TPA)? The consortium/TPA draws the random sample, contracts the medical review officer (MRO), and usually contract the collection site.</p> <ul style="list-style-type: none"> a. Do you have a contract with the consortium/TPA? b. Does the contract with the consortium/TPA specify that it must comply with USDOT and FTA drug and alcohol-testing requirements (49 CFR Part 40 and 49 CFR Part 655)? <p><i>The contract must specify that the testing program must be implemented in accordance with USDOT regulations, "Procedures for Transportation Workplace Drug Testing Programs" 49 CFR Part 40, as amended, and FTA regulations, "Prevention of Alcohol Misuse and Prohibited Drug Use in Transit Operations" 49 CFR Part 655, as amended.</i></p>	
<p>3. What is the name of the drug-testing lab?</p> <ul style="list-style-type: none"> a. Is the lab certified by the US Department of Health and Human Services (DHHS)? <p><i>The drug testing lab must be DHHS-certified. The current list of certified labs can be found at http://workplace.samhsa.gov/DrugTesting/Level_1_Pages/CertifiedLabs.aspx.</i></p>	



<p>4. Who is your Medical Review Officer (MRO)?</p>	
<p>a. Is the MRO a licensed physician (medical doctor or doctor of osteopathy), with appropriate medical training and knowledge of substance-abuse disorders?</p> <p><i>The MRO reviews the results of all positive drug tests to confirm that they are truly positive and provides a quality assurance review of the drug testing process. You can obtain the identity and qualifications of the MRO from your consortium/TPA. The MRO must be a licensed physician with appropriate medical training and knowledge of substance-abuse disorders. More information on the role of the MRO in the drug testing process can be found in 49 CFR 40.123.</i></p>	
<p>5. Who provides the breath alcohol technicians (BATs) or the non-evidentiary alcohol-screening testing technicians (STTs)?</p> <p>a. Are the technicians listed still under contract? If no:</p> <p>b. Has each new BAT and/or STT been trained with a National Highway Traffic Safety Administration (NHTSA)-approved course of instruction on the methodology, operation, and calibration of the specific evidential breath-testing device (EBT) and/or saliva-testing device (SD) being used by the subrecipient?</p> <p><i>The BAT and STT work for the collection site. The BAT conducts USDOT breath alcohol screening and confirmation tests while the STT conducts USDOT saliva alcohol screening tests. Each new BAT and STT must have been trained with a NHTSA-approved course of instruction on the methodology, operation, and calibration of the EBT or SD being used. Obtain the qualifications of these individuals from the collection site. More information on the role of the BAT and STT can be found in 49 CFR Part 40 Subparts J through N.</i></p>	



6. Who provides the urine collectors?	
7. Has each urine collector received qualifications training and passed his or her initial proficiency demonstration? a. Do you have the certificates/qualifications on file? <i>The urine collectors work for the collection site. The collectors must receive qualifications training in the steps necessary to complete a proper collection, problem collections, fatal flaws, and maintaining the integrity of the collection process. Collectors must then pass a proficiency demonstration consisting of five consecutive error-free collections.</i>	
8. Who is your substance abuse professional (SAP)? a. Is the SAP a licensed professional with knowledge of and clinical experience in the diagnosis and treatment of drug and alcohol-related disorders? <i>When an employee or applicant fails a drug or alcohol test, you must refer him or her to the SAP. The SAP conducts a clinical assessment and evaluation of employees that test positive for drugs or alcohol and recommends a treatment program. The SAP must be a licensed professional with knowledge of and clinical experience in the diagnosis and treatment of drug and alcohol-related disorders. If you do not have an SAP directly under contract, contact your third party administrator for his or her qualifications. More information on the role of the SAP can be found in 49 CFR Part 40 Subpart O.</i>	



<p>9. Is a copy of USDOT regulation, 49 CFR Part 40, “Procedures for Transportation Workplace Drug Testing Programs,” as amended, readily available to any employee who requests a copy?</p> <ol style="list-style-type: none"> a. Are all positions safety-sensitive? b. Are all safety-sensitive positions that support the transit program, including those in other departments such as a central maintenance department, included in the pool and covered by the transit drug and alcohol policy? <p><i>A copy of USDOT regulation, 49 CFR Part 40, “Procedures for Transportation Workplace Drug Testing Programs,” must be made available to employees upon request.</i></p>	
<p>10. How do you check on the drug and alcohol testing records of new hires and transfers that will work in safety-sensitive positions?</p>	
<p>11. What information do you obtain from previous employers?</p>	
<p>12. At what point in the hiring process are applicants placed in safety-sensitive positions?</p> <p><i>After obtaining the applicant’s consent, subrecipients must request and review the following information from DOT-regulated employers who have employed the employee during any period during the two years before the employee first performs safety-sensitive functions:</i></p> <ul style="list-style-type: none"> • <i>Alcohol tests with a result of 0.04 or higher alcohol concentration</i> • <i>Verified positive drug tests</i> • <i>Refusals to be tested (including verified adulterated or substituted drug test results)</i> • <i>Other violations of DOT agency drug and alcohol testing regulations</i> • <i>Successful completion of DOT return-to-duty requirements (including follow-up tests), if applicable</i> 	



13. How often are the names received for random testing from the third party administrator?
- a. Are random tests reasonably spread out during the draw period?
 - b. Are random tests reasonably distributed across all days and hours of service?
 - c. Are the date and time of notification and collection documented?

Random tests must be spread throughout the year, the draw period, and the hours of service. The date and time of notification and collection must be documented.

14. Do you make proper post-accident determinations in regard to testing?
- a. Are post-accident tests of accidents that do not meet the FTA definition of an accident performed under the agency’s own authority?

FTA defines accidents as follows:

Fatal accident: Employers must test all surviving covered employees on duty in the vehicle at the time of the accident and any other covered employee whose performance may have contributed to the accident.

Nonfatal accidents: Employers must test all covered employees on duty in the vehicle at the time of the accident and any other covered employee whose performance may have contributed to the accident unless the employer determines that an employee’s performance did not contribute to the accident. The employer must document the decision on whom to test and not to test.

15. Who maintains the drug and alcohol-testing program records?

16. Are they maintained in a secure location with controlled access?

Subrecipients must maintain drug and alcohol- testing records in a secure location with controlled access.



<p>17. Are the following records maintained for at least 1 year:</p> <ul style="list-style-type: none"> a. Alcohol test results less than 0.02 b. Verified negative drug test results 	
<p>18. Are the following records maintained for at least 2 years:</p> <ul style="list-style-type: none"> a. Collection process for alcohol-testing except calibration of evidentiary breath testing devices b. Collection process for drug testing c. Alcohol education and training records d. Drug education and training records 	
<p>19. Are the records from previous employers kept at least 3 years?</p>	
<p>20. Are the following records maintained for at least 5 years:</p> <ul style="list-style-type: none"> a. Alcohol test records with alcohol readings of 0.02 or greater b. Drug-test records with verified positive results c. Calibration documentation of evidentiary breath-testing devices d. SAP evaluations and referrals of employees for alcohol misuse e. Employee compliance with recommendations of the SAP for drug use and/or alcohol misuse, including results of return-to-duty and follow-up testing f. SAP evaluation and referrals of employees for drug use g. MIS reports h. Refusals 	
<p>21. Does the testing laboratory only release drug test results to the MRO?</p> <p><i>The testing laboratory should only release drug test results to the MRO.</i></p>	
<p>22. Is an employee’s permission obtained before releasing drug and alcohol-testing records (except to the MRO, SAP, or program manager)?</p> <p><i>An employee’s permission must be obtained before releasing drug and alcohol-testing records to someone other than the MRO, SAP, or program manager.</i></p>	



<p>23. Are the following types of drug and alcohol tests conducted?</p> <ul style="list-style-type: none">a. Pre-Employment (drugs only)b. Randomc. Post Accidentd. Reasonable Suspensione. Return to Dutyf. f. Follow-up	
<p>24. Are the following substances tested for:</p> <ul style="list-style-type: none">a. Marijuanab. Cocainec. Opioidsd. Phencyclidinee. Amphetaminesf. Alcohol	
<p>26. Are employees and applicants for safety-sensitive positions who have a verified positive drug-test result or a breath-alcohol concentration of 0.04 or greater referred to a SAP for evaluation even if they are to be terminated?</p> <p><i>Employees and applicants who have a verified positive drug-test result or a breath-alcohol concentration of 0.04 or greater must be referred to a SAP for evaluation even if they are to be terminated.</i></p>	
<p>27. Have all safety-sensitive employees received 60 minutes of training on the effects and consequence of prohibited drug use on the personal health, safety, and the work environment, and on the signs and symptoms that may indicate prohibited drug use? [Reviewer, examine training records.]</p> <ul style="list-style-type: none">a. When do you provide the training to new hires?b. Do you provide refresher training? If yes, how often? <p><i>Safety-sensitive employees must receive at least 60 minutes of training on the effects and consequences of prohibited drug use on the personal health, safety, and the work environment, and on the signs and symptoms that may indicate prohibited drug use.</i></p>	



<p>28. Have supervisors who are designated to determine whether reasonable suspicion exists to require a safety-sensitive employee to undergo alcohol and/or drug-testing been provided the following training?</p> <ul style="list-style-type: none"> a. At least 60 minutes of training on the physical, behavioral, speech, and performance indicators of probable alcohol misuse. b. At least 60 minutes of training on the physical, behavioral, and performance indicators of probable drug use. c. Do you provide refresher training? If yes, how often? <p><i>Supervisors and/or company officers authorized by the employer to make reasonable suspicion determinations shall receive at least 60 minutes of training on the physical, behavioral, and performance indicators of probable drug use and at least 60 minutes of training on the physical, behavioral, speech, and performance indicators of probable alcohol misuse.</i></p>	
<p>29. Have the annual calendar year management information system (MIS) reports been filed with ITD-PT?</p> <ul style="list-style-type: none"> a. Were the reports filed by March 15? <p><i>Reviewer, please list the reports since the last review that are on file with the state. Note whether the reports were submitted on time and any problems with the reports.</i></p>	
<p>30. Do you obtain and review for completeness and accuracy the employer copies of the custody and control forms and alcohol testing forms?</p>	
<p>31. If you find a problem with a form, do you follow up with the collection site in writing and ask for documentation of the corrective action?</p>	
<p>32. How are vendors (e.g., collection sites, MROs) monitored to ensure compliance with program requirements?</p> <p><i>Monitoring may include conducting periodic mock collections, observing tests, investigating reports by employees of flawed procedures, requiring detailed explanations for cancelled tests, and providing vendors with copies of USDOT and FTA handbooks and procedural manuals.</i></p>	



Service Provision:

Safety and Security

Subrecipients must document that drivers have a valid operator’s license, have a safe driving record, and have been trained in first aid. All safety devices must be maintained in operative condition. All vehicles must be outfitted with a blood-borne pathogens kit, first-aid kit, fire extinguisher, bi-directional reflective triangles, and web cutters. Drivers and passengers must wear seat belts. Smoking is prohibited on all vehicles. Drivers must focus on driving and limit distractions when vehicles are in motion.

All questions below can be found listed in this **Governing Directive**: FMCSA, OSHA, 2 CFR 200, Circular 5010.E, Circular 5100.1, Circular 9040.1G, Circular 9070.1G, Circular 9030.1E, 49 CFR 37.161, 49 USC 5329, 49 USC 5302, 49 USC 5327

1. Who is responsible for system safety? Security? What is their position?	
2. How is the importance of safety communicated to staff?	
3. Have safety roles and responsibilities been defined for all positions?	
4. What safety training is provided to staff? How is this documented and tracked?	
5. Do you provide training in recognizing and reporting suspicious behavior?	
6. Do you perform criminal background checks on new employees? Existing employees? How often?	
7. Do operations personnel receive training and retraining in crime prevention?	
8. Have you worked with law enforcement, fire departments, medical services, and emergency management on emergency response efforts? What is your role? a. Has the agency familiarized local law enforcement and fire personnel on all aspects of transit vehicle operation including fuel source, emergency exits, engine shut off, and wheelchair lifts?	
9. Does the organization have a written business continuity plan that addresses maintaining operations after a catastrophic event?	
10. Do you collect information on safety incidents?	
11. How are hazards identified and risks assessed?	



<p>12. What key safety issues have been identified and how were they addressed?</p>	
<p>13. Is documentation maintained which verifies that all drivers (owned, leased, loaned):</p> <ul style="list-style-type: none"> a. A valid, appropriate vehicle operator’s license (and current USDOT physical if the driver is a CDL holder) b. A safe driving record acceptable for insurance coverage. How often is this checked? c. First aid training to handle emergency health situations and accidental injuries. d. Received training in defensive driving techniques (i.e. Smith System) e. Received training in passenger assistance, sensitivity, and safety (i.e. CTAA PASS Training) (Required by FTA) f. Received training in operation of lifts and other accessibility equipment (Required by FTA) g. Received substance abuse training (Required by FTA) 	
<p>14. Are drivers required to complete pre-trip and post-trip vehicle inspections? <i>(Required by IDAPA & FMCSA)</i></p>	
<p>15. Does the pre-trip inspection address the following required safety equipment: <i>(Required by IDAPA, FMCSA, & OSHA)</i></p> <ul style="list-style-type: none"> a. blood-borne pathogens kit b. first-aid kit (full) c. fire extinguisher (charge and inspection date) d. bi-directional reflective triangles e. web cutters <p>All vehicles must be outfitted with a blood-borne pathogens kit, first-aid kit, fire extinguisher, bi-directional reflective triangles, and web cutters.</p>	
<p>16. Who is responsible for spot checking this? How often spot checking this occur?</p>	
<p>17. Who is responsible for ensuring that first-aid and blood-borne pathogen kits are restocked? Who is responsible for checking and replacement of expired items in these kits?</p>	



<p>18. Are all required safety devices or systems installed and functioning properly on vehicles?</p>	
<p>19. Are fire extinguishers secure, accessible, of the correct type, and in date? (PT Staff Sample)</p> <p><i>All safety devices must be maintained in operative condition. Fire extinguishers must be secure, accessible, and in date.</i></p>	
<p>20. Are your procedures for handling accidents and medical emergencies kept on board the vehicles?</p> <p><i>Subrecipients must have a written procedure for handling accidents and medical emergencies.</i></p>	
<p>21. Are drivers allowed to use a cell phone while the bus is in motion? Can they text while the bus is in motion?</p> <p><i>The National Safety Council has a model cell phone policy available at http://safety.nsc.org/cellphonekit.</i></p>	
<p>22. Do drivers check that all carry-on items are properly stowed before moving the vehicle?</p>	
<p>23. Have incidents and accidents been reported in your quarterly reports?</p>	
<p>24. What are the procedures for investigating an accident?</p>	
<p>25. Who is responsible for investigating an accident? What training have they received?</p>	
<p>26. How are passengers notified of service disruptions, including those due to inclement weather?</p>	
<p>27. Does the agency have specific procedures and guidelines for drivers to follow when operating in inclement weather conditions in the service area, and have these procedures been formally communicated to drivers? Passengers?</p>	
<p>28. Do you have a system in place to insure against loss/damage/theft? Please describe.</p>	
<p>29. Are drivers and staff trained on Human Trafficking Awareness? If so, how often are trainings conducted?</p>	
<p>30. What efforts is your agency making to combat human trafficking in your area?</p>	



Service Provision:

Marketing

Subrecipients may have a marketing program that attracts riders and promotes a positive image to the community. Public information should be attractive, widely distributed, and accessible in various formats.

Subrecipients who are actively marketing and advertising must comply with the requirements set forth in 2 CFR 200 subpart E §200.421, and 200.467.

<p>1. Are advertising costs specifically for the costs of advertising media and corollary administrative costs which includes magazines, newspapers, radio and television, direct mail, exhibits, electronic or computer transmittals, and the like? (Source: 2 CFR 200 subpart E §200.421)</p>	
<p>2. Are advertising cost utilized for one of the following? (Source: 2 CFR 200 subpart E §200.421)</p> <ul style="list-style-type: none"> a. The recruitment of personnel required by the non-Federal entity for performance of a Federal award (See also § 200.463 Recruiting costs); b. The procurement of goods and services for the performance of a Federal award; c. The disposal of scrap or surplus materials acquired in the performance of a Federal award except when non-Federal entities are reimbursed for disposal costs at a predetermined amount; or d. Program outreach and other specific purposes necessary to meet the requirements of the Federal award. 	



3. Are marketing funds designated for “public relations” utilized for community relations, meaning those activities dedicated to maintaining the image of the non-Federal entity or maintaining or promoting understanding and favorable relations with the community or public at large or any segment of the public? Do they meet one of the following criteria? (Source: 2 CFR 200 subpart E §200.421)
- a. Costs specifically required by the Federal award;
 - b. Costs of communicating with the public and press pertaining to specific activities or accomplishments which result from performance of the Federal award (these costs are considered necessary as part of the outreach effort for the Federal award); or
 - c. Costs of conducting general liaison with news media and government public relations officers, to the extent that such activities are limited to communication and liaison necessary to keep the public informed on matters of public concern, such as notices of funding opportunities, financial matters, etc.



Assets:

Continuing Control

Subrecipients must use FTA and ITD-PT funded equipment and facilities to provide public transportation. Subrecipients must carry comprehensive and collision insurance on FTA-and State-funded buses. Subrecipients must obtain prior written approval from ITD-PT before selling, leasing, or disposing of vehicles, equipment or facilities that have remaining FTA or State interest. The number of spare vehicles must be appropriate to the size and age of the fleet, the amount of peak demand, and the projected ridership growth.

All questions below can be found listed in these **Governing Directives:** 2 CFR 200, Circular 5010.E, IDAPA 11.13.01, State Management Plan

1. Is property (includes rolling stock, facilities, materials, equipment, etc.) that was purchased with FTA funds being used for transit purposes?	
2. Do you make incidental use of any FTA funded real property?	
3. If yes, what is the use, has FTA approved it, do you maintain continuing control over the property, and is the revenue used for transit purposes? Were they approved by ITD-PT prior to entering an agreement and the FTA?	
4. Are facility use or lease agreements current for all facilities?	
5. Was real property removed from the service originally intended or put to additional or substitutive use? Did you get ITD-PT approval?	
6. Did you dispose of any FTA or ITD funded real property? a. If yes, did you obtain FTA/ITD concurrence on the method of disposition and was FTA/ITD reimbursed for its share of the disposition proceeds?	
7. Can you account for all equipment or facilities purchased with FTA funds?	
8. Do you update your inventory on all of your quarterly reports?	
9. Does your inventory include equipment and facilities that were purchased with FTA or State funds as well as those paid for with any other funding source?	



10. What are your coverage limits for: a. Comprehensive and collision insurance? b. Commercial/comprehensive general liability insurance?	
11. If self-insured, how is the self-insurance funded?	
12. What is the number of revenue vehicles in your fleet?	
13. What is the number required for maximum service?	
14. What is the number of spare vehicles?	
15. What is the spare ratio (divide number of spare vehicles by number of vehicles required for maximum service)	
16. How often is the maximum number of vehicles required?	
17. Do you have a plan to continue to deliver service when breakdowns occur or during peak service times?	
18. Do future ridership projections indicate a need for expansion vehicles?	
19. Does your agency have a Transit Asset Management (TAM)_Plan or are you a participant in the State Sponsored TAM Plan?	



Assets:

Vehicle Maintenance

Subrecipients must maintain FTA- and ITD- funded vehicles, equipment, and facilities in a state of good repair. Subrecipients must keep ADA Accessibility features on all vehicles, equipment, and facilities in good working order. Subrecipients must have a written maintenance plan and must maintain project vehicles, equipment, and facilities at a high level of cleanliness, safety, and mechanical soundness. Subrecipients must maintain all accessibility features and equipment in operating condition. Subrecipients must have procedures to track when preventive maintenance inspections are due and to schedule preventive maintenance inspections in a timely manner. All questions below can be found listed in these **Governing Directives**: FMCSA, OSHA, 2 CFR 200, Circular 5010.E, Circular 5100.1, Circular 9040.1G, Circular 9070.1G, Circular 9030.1E, 49 CFR 37.161

<p>1. Who is responsible for maintenance? a. What education, training, and experience qualifies the individual response for this?</p>	
<p>2. Are maintenance personnel trained in the operation of specialized equipment (special tools, wrecker, others)?</p>	
<p>3. Do you have a vehicle maintenance plan for your fleet?</p>	
<p>4. Please describe the preventative maintenance program.</p>	
<p>5. Do preventative maintenance schedules for each type of vehicle in the fleet meet the manufacturer’s minimum requirements? <i>Preventive maintenance schedules must meet manufacturers’ minimum requirements for severe operations.</i></p>	
<p>6. Is a preventative maintenance program in place for lifts and other accessibility features? Please describe. <i>Subrecipients must maintain all accessibility features and equipment in operating condition.</i></p>	
<p>7. What procedures are used to track when preventative maintenance inspections are due and to schedule preventative maintenance inspections? <i>Subrecipients must have procedures to track when preventive maintenance inspections are due and to schedule preventive maintenance in a timely manner.</i></p>	



<p>8. Does a review of maintenance records indicate that maintenance is performed in accordance with procedures? Are files complete?</p> <p>(PT Staff look at 3 files)</p>	
<p>9. Are pre-trip inspections conducted prior to placing the vehicle back in service?</p> <p><i>Pre-trip inspections must be conducted prior to placing a vehicle in service.</i></p> <p>(PT staff pull files to verify)</p>	
<p>10. Does the pre-trip inspection address safety, vehicle operation, appearance, cleanliness and passenger comfort?</p> <p><i>The pre-trip inspection must address safety; vehicle operation, appearance, and cleanliness; and passenger comfort.</i></p>	
<p>11. Are deficiencies noted in pre-trip inspections repaired in a timely manner and properly reviewed by management?</p> <p><i>Deficiencies noted in pre-trip inspection must be repaired in a timely manner and properly reviewed by management.</i></p>	
<p>12. How does the agency document maintenance activity performed to correct the reported defect?</p> <p><i>The good practice is for the mechanic to sign and date the pre-trip inspection form noting that the reported defect has been repaired and to include the signed pre-trip form in the maintenance file with the work order.</i></p>	
<p>13. Does the pre-trip inspection ensure that all items, such as boxes with bi-directional reflective triangles and gallons of washer fluid, are secured to the vehicle?</p> <p><i>Safety and other equipment must be secured so that they do not become projectiles that injure a passenger or damage the vehicle.</i></p>	



14. Does the pre-trip inspection address lifts and other accessibility features?	
15. If a vehicle with an inoperable lift is kept in service, is it repaired within 5 days from the day which the lift is found to be inoperable?	
16. Are FTA funded vehicles leased to or operated by other providers? If yes, does the lease include maintenance standards? <i>ITD-PT requires subrecipients that lease FTA-funded vehicles to providers to require the lessee to adhere to manufacturer's maintenance standards.</i>	
17. Are work orders or histories maintained that document the work performed, parts used, time spent, mileage, and date?	
18. Are vehicle warranties on file and how are they tracked?	
19. Is there a system for responding to recalls?	
20. Is the preventive maintenance program reviewed for costs and effectiveness?	
21. Are maintenance histories for the fleet reviewed to uncover trends or problems?	
22. Are there indicators of repetitive occurrences of a particular type of problem in any one make of rolling stock?	
23. Are there repetitive occurrences (parts failures, road calls, others) of a particular type of failure fleet-wide?	
24. Are any features of the facilities or related equipment under warranty? Please list.	
25. Are warranty claims pursued?	



Assets:

Facility/Equipment Maintenance

All questions below can be found listed in these **Governing Directives:** FMCSA, OSHA, 2 CFR 200, Circular 5010.E, Circular 5100.1, Circular 9040.1G, Circular 9070.1G, Circular 9030.1E, 49 CFR 37.161

1. Do you have a written facility/equipment maintenance plan?	
2. Is there a written checklist to accompany the required written facilities maintenance plan?	
3. Are the facilities inspected at least once per year to determine what repairs and/or maintenance are needed to the equipment or building?	
4. When was the last inspection?	
5. Does the written plan or inspection checklist address equipment such as hydraulic lifts, bus washers, roofing systems, HVAC systems, and emergency generators?	
6. Does the written plan address equipment?	
7. Does the written plan or inspection checklist address maintenance of ADA accessibility features, such as power-assist doors, as required by ADA?	
8. Do preventative maintenance checklists follow the minimum requirements determined by the manufacturer, supplier or builder?	
9. For preventative maintenance performed by contractors, are checklists required to be completed before final signoff?	
10. Are files maintained on maintenance of facilities and equipment?	
11. Are any features of the facilities or related equipment under warranty? Please list.	
12. Are warranty claims pursued?	
13. Do the files indicate that preventive maintenance inspections of facilities and related equipment are conducted at the intervals required by the plan? To be filled out by ITD-PT staff	
14. Are facilities cleaned and well maintained? Are there any visible defects? To be filled out by ITD-PT staff	



Technology/Software:

Intelligent Transportation Systems

Subrecipients may choose to use intelligent transportation systems (ITS) in part or all of their system(s). ITS technology can supplement or enhance the transportation services that public transportation providers provide to the public. The Federal Transit Administration (FTA) supports the use of ITS to further enhance public transportation service in the United States.

All technology and software purchased with FTA grant dollars must be used and disposed of in accordance with the regulations set forth in 2 CFR 200 subpart D – Property Standards.

<p>1. Have you disposed of any FTA/ITD funded hardware or software since your last site review? If so, did you follow the guidelines for the disposition of that asset? (2 CFR 200.313, 200.315)</p>	
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Unique Services:

School Bus

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

1. Do you provide exclusive school bus service(s)?	
2. Do you provide school tripper service? (49 CFR § 605.13 - Tripper service)	
3. If yes, does the tripper service meet one of the following criteria: <ul style="list-style-type: none"> ● regularly scheduled public transportation service ● buses are clearly marked as open to the public ● buses have no special designation ● buses use regular stops ● service is noted on published schedules 	



Unique Services:

Charter Bus

Subrecipients are prohibited from using federally funded equipment and facilities to provide charter service if a registered private charter operator expresses interest in providing the service. Except under limited exceptions, subrecipients may not use FTA assistance to operate or maintain charter bus service. Exceptions and Procedures maybe found in 49 CFR 604.

Charter service is defined as:

(1) Transportation provided at the request of a third party for the exclusive use of a bus or van for a negotiated price. The following features may be characteristics of charter service:

- A third party pays a negotiated price for the group.
- Any fares charged to individual members of the group are collected by a third party.
- The service is not part of the regularly scheduled service, or is offered for a limited period of time.
- A third party determines the origin and destination of the trip as well as scheduling.

(2) Transportation provided to the public for events or functions that occur on an irregular basis or for a limited duration and:

- A premium fare is charged that is greater than the usual or customary fixed-route fare, or
- The service is paid for in whole or in part by a third party.

Examples of services that do not meet the definition of charter service and, therefore, are not considered charter service by FTA are:

- Service requested by a third party that is irregular or on a limited basis for an exclusive group of individuals and the recipient does not charge a premium fare for the service and there is no third party paying for the service in whole or in part.
- Shuttle service for a one-time event if the service is open to the public, the itinerary is determined by the recipient, the recipient charges its customary fixed-route fare and there is no third-party involvement.
- When a university pays the recipient a fixed charge to allow all faculty, staff, and students to ride the transit system for free so long as the recipient provides the service on a regular basis along a fixed route and the service is open to the public.
- When the recipient sees a need, and wants to provide service for a limited duration at the customary fixed-route fare.

1. Do you provide transportation for “program purposes,” that is, service that serves the needs of human service agencies or elderly persons, person with disabilities, or low income persons? If yes, please describe.	
2. Do you operate charter service? If yes, or not sure, describe the service in detail.	



3. Under what exception is the charter service operated?	
4. Did you follow the procedures required by the exception?	
5. Have you reported all charters to ITD?	
6. Do you maintain charter records for at least three years after the close of the FTA grant? (CFR-2010-title49-vol7-part606)	
7. Have any complaints been filed alleging that charters are in violation of FTA regulations?	
8. Is charter provided with locally owned, or FTA funded vehicles?	



Legal Information

ITD-PT must promptly notify the FTA of legal matters and additionally notify the U.S. DOT Office of Inspector General (OIG) of any instances relating to false claims under the False Claims Act or fraud. As a result, any subrecipient of federal funds through ITD, must notify ITD of such claims.

1. List of litigations, breaches, defaults, disputes or instances where the Federal Government was named as a party to litigation or a legal disagreement since the last review (Source: FTA Master Agreement, Section 39)	
2. Since the last Comprehensive Review, did the subrecipient promptly notify ITD-PT of any legal matters that may affect the FTA? (Source: FTA Master Agreement, Section 39)	
3. Listing of false claims received or criminal violation committed related to Federal assistance since the last review (Source: FTA Master Agreement, Section 39(3))	
4. Since the last Comprehensive Review, did the recipient promptly notify the ITD-PT of any instances relating to false claims under the False Claims Act or fraud? (Source: FTA Master Agreement, Section 39(3))	



Lobbying

The use of Federal funds for lobbying is prohibited. If lobbying services for transit purposes are procured with non-Federal funds, the recipient is required to submit the disclosure form, Office of Management and Budget (OMB) Standard Form LLL (Rev.7-97).

Activities that are required to be disclosed include the hiring of any third party (i.e., lobbyist) for the purpose of attempting to influence a covered Federal action. Disclosure is not required for activities performed by the subrecipient’s own regularly employed officers and employees. Covered Federal action means any of the following Federal actions:

- Awarding of any Federal contract or subcontract exceeding \$100,000
- Making of any Federal grant or subgrant exceeding \$100,000
- Making of any Federal loan exceeding \$150,000
- Entering into any Federal cooperative agreement exceeding \$100,000
- Extension, continuation, renewal, amendment, or modification of any Federal contract, grant, or cooperative agreement exceeding \$100,000 or of a loan exceeding \$150,000

Details regarding lobbying activity restrictions for federal grant recipients see 2 CFR 200 § 200.450.

1. Are FTA funds used for lobbying activities?	
2. Have you used nonfederal funds for lobbying? a. <i>If yes, have you filed with ITD the Standard Form – LLL, “Disclosure Form to Report Lobbying” and any necessary updates?</i>	