



Triennial Review Workshop Fiscal Year 2020



U.S. Department of Transportation
Federal Transit Administration

Welcome

- Opening remarks/introductions
- Housekeeping
- Hotel emergency procedures
- Workshop format

*Note: The contents of this document do not have the force and effect of law and are not meant to bind the public in any way. This document is intended only to provide clarity to the public regarding existing requirements under the law or agency policies.

Objectives

- Explain the new review process
- Provide guidance/technical assistance
- Answer your questions
- Reduce the number of deficiencies
- Encourage interaction/networking with peers
- Improve your ability to provide technical assistance to and oversee contractors and subrecipients

Agenda

- Insert agenda for the specific workshop

Introductions

- What is your name, agency, and job?
- Is this your first review?
- What are your responsibilities for the upcoming review?
- What specific topics or part of the process are you interested in?

Comprehensive Reviews

- Triennial Review
- State Management Review
- Combined Triennial/State Management Review

Program-specific Reviews

- Procurement
- Buy America
- Financial Management
- Real Estate
- Safety and Security
 - Drug and Alcohol Program
 - State Safety Oversight
 - Security Readiness Assessment
- Americans with Disabilities Act (ADA)
 - Complementary Paratransit
 - Fixed-route Operations
- Equal Employment Opportunity (EEO)
- Disadvantaged Business Enterprise (DBE)
- Title VI

Project-level Reviews

- Project Management Oversight
- Financial Capacity Assessment

Purpose

- Fulfills statutory requirement for Section 5307
- Fulfills FTA's fiduciary responsibility to prevent and identify improper payments and to ensure every dollar goes toward improving public transit
- Confirms and promotes recipient compliance with program requirements
- Helps address Congressional and public questions about the use of Federal funds
- Strengthens the capacity of FTA-funded recipients to improve public transit for America's communities

Themes

- Understanding Federal requirements
 - FAST Act
 - OMB Circular 2 CFR parts 200 and 1201 (Uniform Guidance)
 - US DOT regulations
 - FTA circulars
- Policies and procedures
- Oversight of subrecipients, contractors, and lessees

2 CFR parts 200 and 1201

- Took effect December 26, 2014
- Supersedes OMB circulars A-12, A-87, A-89, A-102, A-110, A-122, and A-133
- Replaces US DOT implementing regulations
49 CFR parts 18 and 19

2 CFR parts 200 and 1201

- Provide specific latitude for states to follow their own procedures in:
 - Financial management
 - Equipment management, including maintenance
 - Procurement

New Terminology

- “Recipients” instead of “grantees”
- “Awards” instead of “grants”

One Contractors Manual

- Ensures consistency between Triennial and State Management reviews
- Groups questions more logically and to better align with recipient organizations
- Allows use for other comprehensive reviews

One Process

- Tailored Recipient Information Request (RIR)
- No separate questionnaire
- Enhanced Review Modules (ERMs)

Comprehensive Review

Prior Review Areas	Current Review Areas
1. Financial Management and Capacity	2. Financial Management and Capacity
2. Technical Capacity	3. TC – Award Management 4. TC – Program Management 5. TC – Project Management 20. Section 5310 Program Requirements 21. Section 5311 Program Requirements
3. Maintenance	8. Maintenance
4. ADA	12. ADA – General 13. ADA – Complementary Paratransit
5. Title VI	11. Title VI
6. Procurement	9. Procurement
7. DBE	10. DBE

Comprehensive Review

Prior Review Areas	Current Review Areas
8. Legal	1. Legal
9. Satisfactory Continuing Control	7. Satisfactory Continuing Control
10. Planning/Program of Projects	19. Section 5307 Program Requirements
11. Public Comment on Fare Increases and Major Service Reductions	
12. Half Fare	
15. Security	
13. Charter Bus	16. Charter Bus
14. School Bus	15. School Bus
16. Drug-Free Workplace and Drug and Alcohol Program	17. Drug-Free Workplace Act 18. Drug and Alcohol Program
17. EEO	14. EEO
	6. Transit Asset Management



FEDERAL TRANSIT ADMINISTRATION

Review Area Format

- Introductory page that lists:
 - Purpose of the review area
 - Questions to be examined
 - Information needed from the recipient
- Questions
- Issues/areas of concern for FTA awareness
- References
- Useful weblinks

Question Format

- Question
- Basic requirement
- Applicability
- Detailed explanation for reviewer
- Indicators of compliance
- Instructions for reviewer
- Potential deficiency determinations
- Governing directive(s)

Enhanced Review Modules

- Address high risk areas
- Involve additional questions and document requests
- Involve participation of “subject matter expert”

Enhanced Review Modules

- Financial Management and Capacity
- Technical Capacity
- Maintenance
- Procurement
- DBE
- ADA – General
- ADA – Complementary Paratransit
- Title VI
- EEO

FY 21 - Oversight Tracking System

- FTA will deploy an oversight system (OTrak)
- OTrak will have the look and feel of TrAMS
- OTrak will include:
 - Contractors Manual for Conducting Triennial and State Management Reviews
 - Indicators of compliance
 - Answers to questions
 - Submitted documents

FY21 - Oversight Tracking System

- FTA will use OTrak to:
 - Issue Recipient Information Request (RIR)
 - Issue draft and final reports
 - Follow up on and close deficiencies

FY21 - Oversight Tracking System

- Recipients will use OTrak to:
 - Submit completed RIR
 - Submit requested documents
 - Submit documentation of implementation of corrective actions

Review Process

9 Basic Steps



FTA and contractor

- Review past performance
- Review current status
- Contact recipient regarding possible site visit dates
- Prepare and send RIR to recipient



Review Process

9 Basic Steps



Recipient completes and returns to the reviewer by **date, 2020**

- Recipient profile
- Documents requested
- Ancillary questions
- Preliminary site visit schedule

U.S. DEPARTMENT OF TRANSPORTATION
FEDERAL TRANSIT ADMINISTRATION
RECIPIENT INFORMATION REQUEST (RIR)

FY 2020 [Triennial/State Management/Combined Triennial and State Management] Review
of the

[RECIPIENT NAME]

[CITY, STATE]

RECIPIENT ID: [XXXX]

RECIPIENT WEBSITE: [XXXX]

Site Visit Dates: [DATES]

Contractor

[Reviewer Name]
[Contractor Firm]

[Reviewer Phone Number]
[Reviewer Email Address]

Review Process

9 Basic Steps



FTA and contractor discuss background research and RIR responses and evaluate need for and scope of ERMs

- Repeat/open findings
- Other review/audit findings
- Problems in closing past findings
- Inadequate reporting to FTA
- Complaints
- Significant number of contractors or subrecipients
- Events that are unusual or generate news
- Multiple issues in an area

Review Process

9 Basic Steps



- Contractor prepares for the site visit
- Contractor may request additional information

Review Process

9 Basic Steps



Site visit agenda sent to recipient at least 10 business days before site visit

- Final proposed schedule
- Follow-up questions and document requests
- Selected records and documents for further review
- ERM questions and document requests (if applicable)



Review Process

9 Basic Steps



Most Triennial Reviews last 2 days

Most State Management Reviews last 4 days

Most Combined Reviews last 5 days



- Entrance conference
- Interviews
- Facility tours and record sampling
- Subrecipients/contractors/lessees visits
- Exit conference



Review Process

9 Basic Steps



Subrecipient/contractor/lessee site visits

- Tour facility and inspect vehicles
- Informally discuss compliance with FTA requirements
- Confirm recipient oversight
- Review back-up documents as applicable (maintenance records, procurement files, back-up documentation for invoice to the recipient, Title VI notice, qualifications of drug and alcohol program vendors)



Review Process

9 Basic Steps



- Issue at exit conference
- Discuss corrective action deadlines
 - Obtain recipient input on timeframe
 - Ensure adequate time for implementation and continued compliance

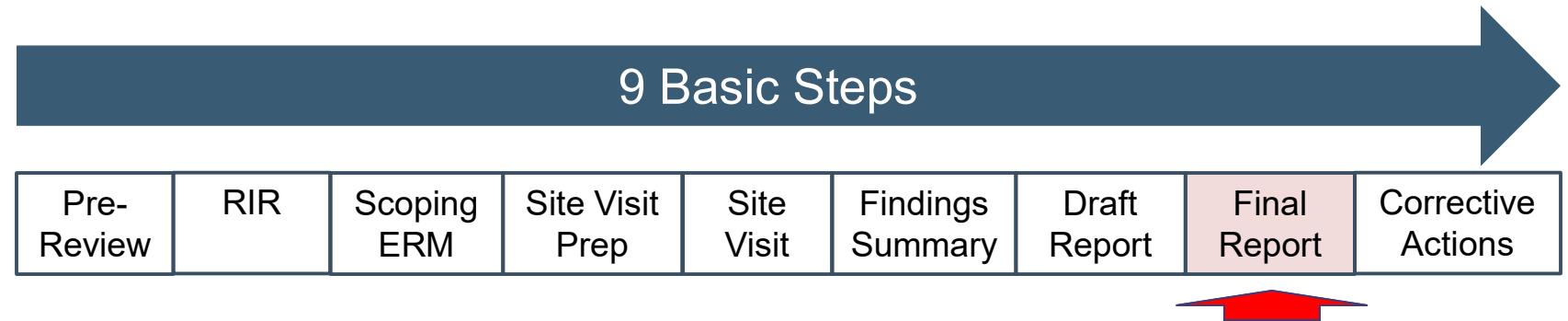


Review Process



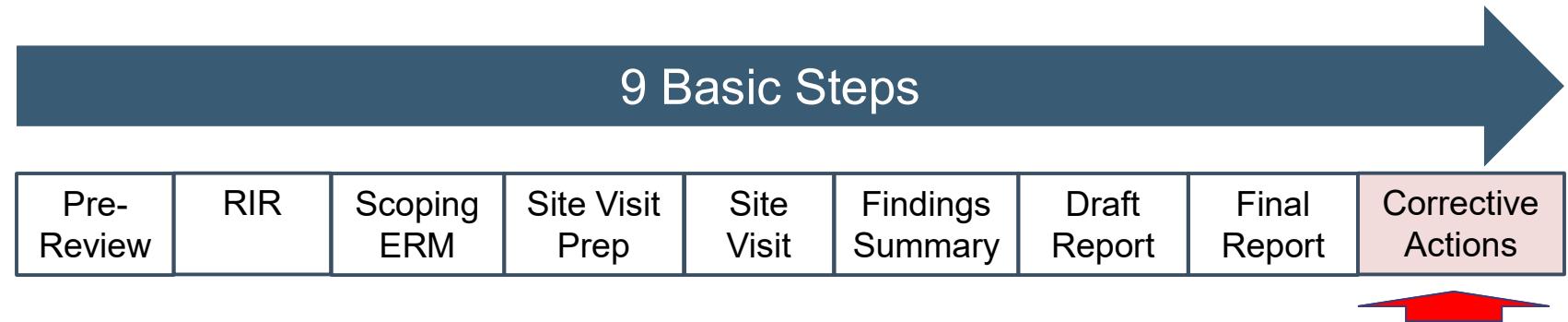
- Issued within 21 business days of exit conference
- Check for accuracy and comments within 10 business days
- Includes ERM findings

Review Process



- Issued by FTA within 45 business days after the exit conference
- Includes final determination of findings and corrective actions

Review Process



- Submit by due date or earlier
- Open findings or late corrective actions can lead to program-specific review(s) and/or ERM(s) in next review

Resources

- Contractors Manual for Conducting Triennial and State Management Reviews
- Email updates

Contractors Manual for Conducting Triennial and State Management Reviews



For a digital copy, go to www.transit.dot.gov and type in **Contractors Manual** in search box.



Email Updates



U.S. DEPARTMENT OF TRANSPORTATION

Federal Transit Administration
1200 NEW JERSEY AVENUE, SE
WASHINGTON, DC 20590
202-366-4043

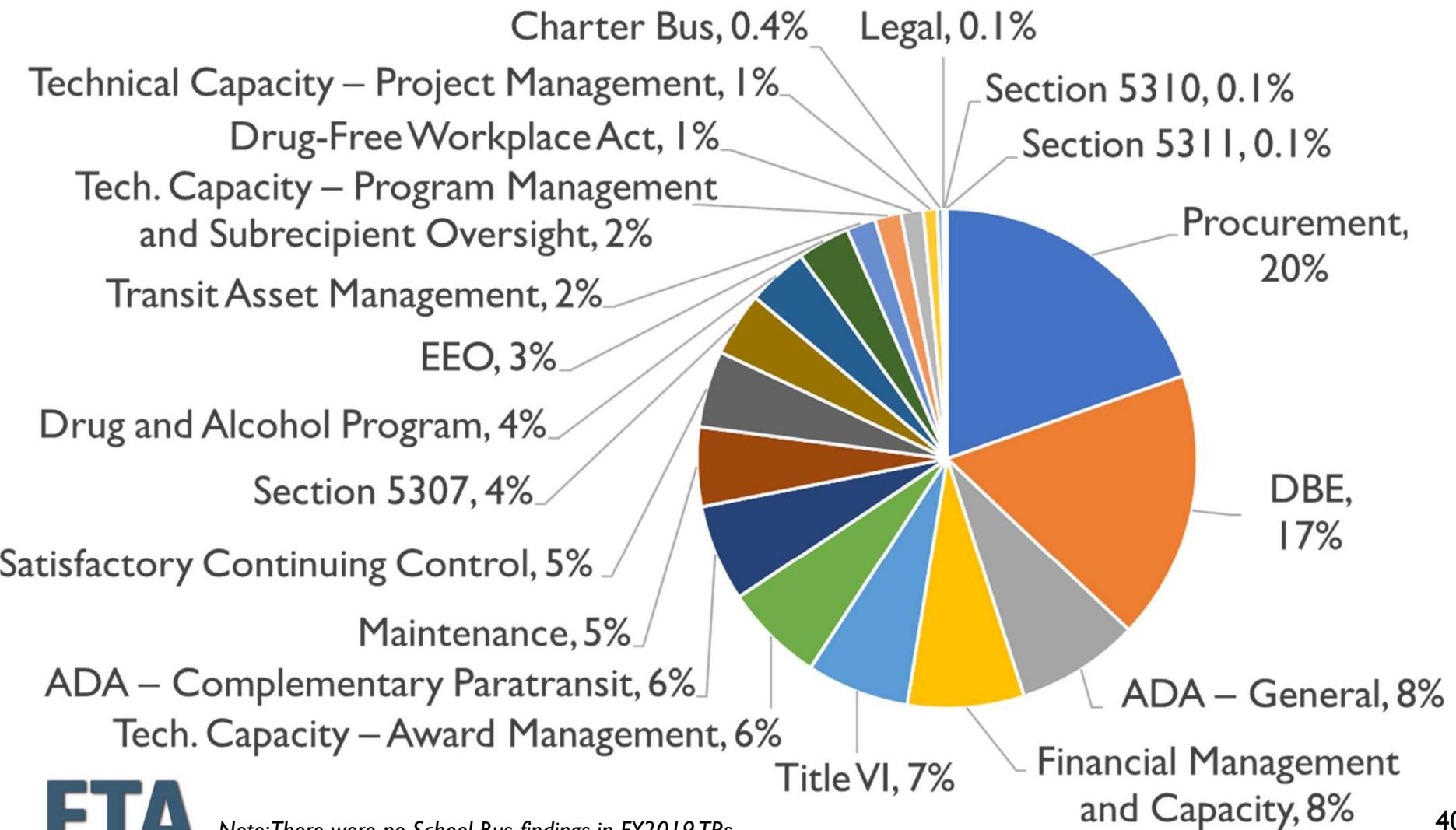


- ▶ FTA News
- ▶ FTA Grant Programs
- ▶ FTA Funding & Finance
- ▶ Contact Us
- ▶ Request a Meeting
- ▶ Subscribe to Email
- Updates
- ▶ FOIA
- ▶ Privacy
- ▶ Accessibility
- ▶ Ethics
- ▶ Web Policies
- ▶ Data.gov
- ▶ Federal Register
- ▶ Grants.gov
- ▶ OIG Hotline
- ▶ Regulations.gov
- ▶ WhiteHouse.gov
- ▶ USA.gov

Resources

- Prior reviews
- FTA website
- FTA updates
- FTA regional office
- Peers
- Co-workers
- National RTAP
- MTAP/AASHTO
- CTAA/APTA
- RTB/NCHRP

FY2019 Deficiencies

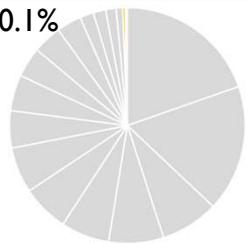


Note: There were no School Bus findings in FY2019 TRs.

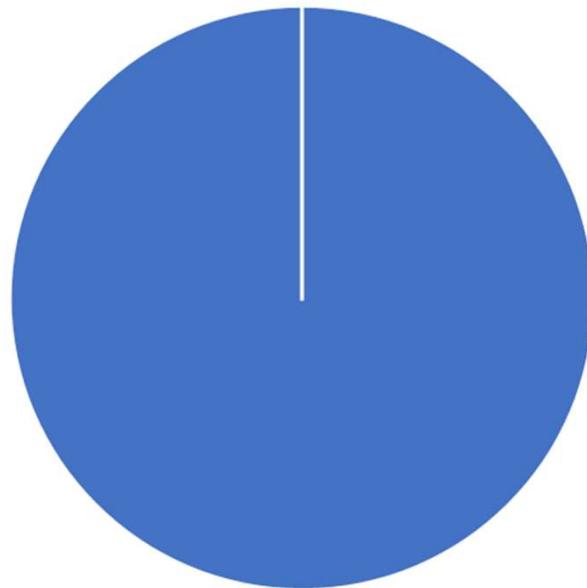
Questions, Concerns & Comments?



0.1%



1. Legal



False claim, civil or criminal
crime not reported, I

1. Legal

- I. Did the recipient promptly notify FTA of any legal matters that may affect the FTA?

APPLICABILITY

- All recipients

INDICATOR(S) OF COMPLIANCE

- a. Legal matters where the Federal government was named as a party or FTA-funded assets could be affected
- b. FTA notification

POTENTIAL DEFICIENCY DETERMINATION(S)

- Failure to notify FTA of pending litigation

1. Legal

2. Did the recipient promptly notify the FTA and U.S. DOT OIG of any instances relating to false claims under the False Claims Act or fraud?

APPLICABILITY

- All recipients

INDICATOR(S) OF COMPLIANCE

- a. Evidence of a false claim or criminal or civil violation of law
- b. Evidence that the FTA Chief Counsel, regional counsel and US DOT OIG had been notified

POTENTIAL DEFICIENCY DETERMINATION(S)

- False claim, civil or criminal crime not reported



1. Legal

3. Did the recipient and any subrecipients use only non-appropriated funds for any lobbying activities and did each file the required disclosure form?

APPLICABILITY

- All recipients

INDICATOR(S) OF COMPLIANCE

- a. Lobbying activities
- b. Sources of funds and disclosures
- c. Oversight of subrecipients, contractors, and subcontractors
- d. Subrecipient, contractor, and subcontractor disclosures

1. Legal

3. Did the recipient and any subrecipients use only non-appropriated funds for any lobbying activities and did each file the required disclosure form?

POTENTIAL DEFICIENCY DETERMINATION(S)

- Federal funds used for lobbying
- Recipient did not submit OMB SF LLL/quarterly update
- Subrecipient, contractor, or subcontractor did not submit OMB SF LLL/quarterly update

1. Legal

4. Does the recipient include clauses in its third party and subrecipient agreements that require notification of any legal matter that may affect the Federal government?

APPLICABILITY

- All recipients

INDICATOR(S) OF COMPLIANCE

- a. Standard terms for non-procurement awards
- b. Standard terms for procurement transactions of at least \$25,000

1. Legal

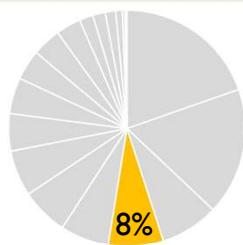
4. Does the recipient include clauses in its third party and subrecipient agreements that require notification of any legal matter that may affect the Federal government?

POTENTIAL DEFICIENCY DETERMINATION(S)

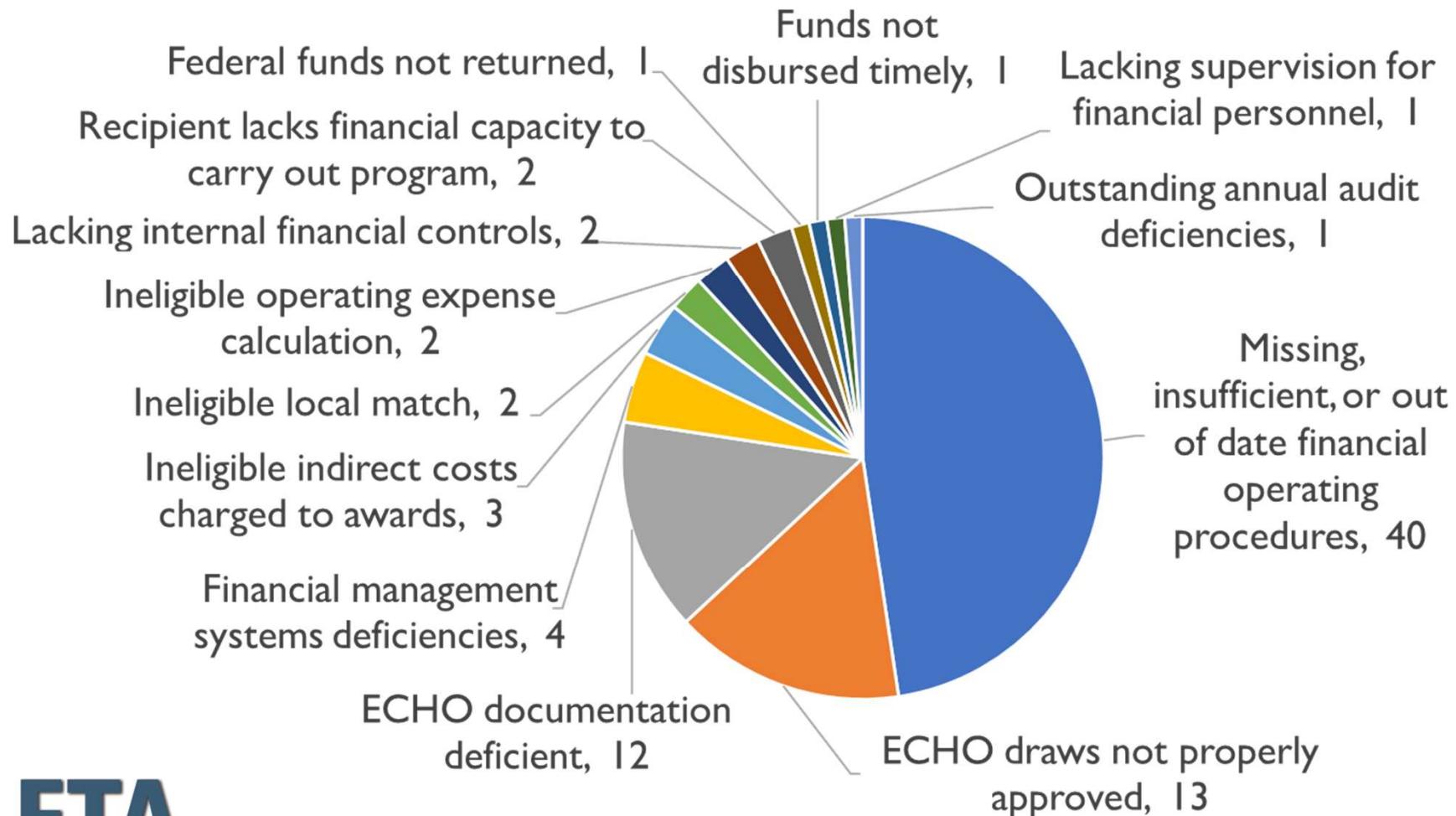
- Notice of legal matters (non-procurement)
- Notice of legal matters (procurement)

1. Legal

- Information needed from recipient
- Issues/areas of concern for FTA awareness
- Questions?



2. Financial Management and Capacity



2. Financial Management and Capacity

- I. Does the recipient have policies and procedures in place for managing federal awards, establishing internal controls, ensuring timely distribution of funds, and determining allowability of costs?

APPLICABILITY

- All recipients

INDICATOR(S) OF COMPLIANCE

- a. Written financial policies and procedures
- b. Internal controls

2. Financial Management and Capacity

- I. Does the recipient have policies and procedures in place for managing federal awards, establishing internal controls, ensuring timely distribution of funds, and determining allowability of costs?

POTENTIAL DEFICIENCY DETERMINATION(S)

- Missing, insufficient, or out-of-date financial operating procedures
- Lacking internal financial controls

2. Financial Management and Capacity

2. Does the recipient's organizational structure clearly define, assign, and delegate appropriate authority for all financial duties and require that those duties are: 1) carried out by properly qualified personnel, 2) segregated within the organization, and 3) subject to review to ensure that adequate internal checks and balances exist?

APPLICABILITY

- All recipients

INDICATOR(S) OF COMPLIANCE

- a. Organizational structure
- b. Minimum qualifications

2. Financial Management and Capacity

2. Does the recipient's organizational structure clearly define, assign, and delegate appropriate authority for all financial duties and require that those duties are: 1) carried out by properly qualified personnel, 2) segregated within the organization, and 3) subject to review to ensure that adequate internal checks and balances exist?

INDICATOR(S) OF COMPLIANCE

- c. Segregation of duties
- d. Financial supervision
- e. Internal checks and balances

2. Financial Management and Capacity

2. Does the recipient's organizational structure clearly define, assign, and delegate appropriate authority for all financial duties and require that those duties are: 1) carried out by properly qualified personnel, 2) segregated within the organization, and 3) subject to review to ensure that adequate internal checks and balances exist?

POTENTIAL DEFICIENCY DETERMINATION(S)

- No segregation of financial duties and functions
- Missing financial qualifications
- ECHO draws not properly approved
- Lacking supervision for financial personnel
- Inadequate internal checks and balances

2. Financial Management and Capacity

3. Does the recipient's financial management system allow it to prepare reports and trace funds adequately to establish compliance with award terms and conditions?

APPLICABILITY

- All recipients

INDICATOR(S) OF COMPLIANCE

- a. Tracking and accounting
- b. Award information
- c. Records
- d. Reports
- e. Budget variance analysis

2. Financial Management and Capacity

3. Does the recipient's financial management system allow it to prepare reports and trace funds adequately to establish compliance with award terms and conditions?

POTENTIAL DEFICIENCY DETERMINATION(S)

- Financial management system deficiencies

2. Financial Management and Capacity

4. Does the recipient correctly draw down and track the use of Federal funds for eligible expenses and disburse advance payment funds within three business days?

APPLICABILITY

- All recipients

INDICATOR(S) OF COMPLIANCE

- a. Activity line item tracking
- b. Backup documentation
- c. Expense eligibility
- d. Draws > \$50 M and \$500 M
- e. Returns

2. Financial Management and Capacity

4. Does the recipient correctly draw down and track the use of Federal funds for eligible expenses and disburse advance payment funds within three business days?

POTENTIAL DEFICIENCY DETERMINATION(S)

- ECHO documentation deficient
- Funds not disbursed timely
- Federal funds not returned

2. Financial Management and Capacity

5. Has the recipient complied with requirements for charging indirect costs to FTA awards?

APPLICABILITY

- All recipients

INDICATOR(S) OF COMPLIANCE

- a. Indirect costs
- b. De minimis rate
- c. Approved CAP and/or ICRP
- d. CAP and/or ICRP submissions
- e. Central services costs

2. Financial Management and Capacity

5. Has the recipient complied with requirements for charging indirect costs to FTA awards?

POTENTIAL DEFICIENCY DETERMINATION(S)

- Ineligible indirect costs charged to awards

2. Financial Management and Capacity

6. Has the recipient conducted the required Single Audits, submitted the required documentation to the FAC and FTA, and resolved any identified issues?

APPLICABILITY

- All recipients

INDICATOR(S) OF COMPLIANCE

- a. Years submission required
- b. Submission timeliness
- c. FTA/DOT-related findings

2. Financial Management and Capacity

6. Has the recipient conducted the required single audits, submitted the required documentation to the FAC and FTA, and resolved any identified issues?

POTENTIAL DEFICIENCY DETERMINATION(S)

- Annual audit not conducted
- Outstanding annual audit deficiencies

2. Financial Management and Capacity

7. Does the recipient have financial resources to provide local share for active awards and to adequately maintain and operate FTA-funded assets?

APPLICABILITY

- All recipients

INDICATOR(S) OF COMPLIANCE

- a. Actual sources and amounts of local share
- b. Anticipated sources and amounts of local share
- c. Expense and revenue budgeting
- d. Funding impacts since last review
- e. Short-term assumptions

2. Financial Management and Capacity

7. Does the recipient have financial resources to provide local share for active awards and to adequately maintain and operate FTA-funded assets?

INDICATOR(S) OF COMPLIANCE

- f. Deficits, layoffs, service cuts, or deferred or late maintenance
- g. Capital funds used for operating deficits

POTENTIAL DEFICIENCY DETERMINATION(S)

- Recipient lacks financial capacity to carry out program
- Ineligible local match

2. Financial Management and Capacity

8. For recipients receiving operating assistance, is the amount eligible for operating assistance calculated in compliance with FTA guidance?

APPLICABILITY

- All recipients of operating assistance that provide service

INDICATOR(S) OF COMPLIANCE

- a. Operating assistance
- b. Calculations
- c. Ineligible costs

2. Financial Management and Capacity

8. For recipients receiving operating assistance, is the amount eligible for operating assistance calculated in compliance with FTA guidance?

POTENTIAL DEFICIENCY DETERMINATION(S)

- Ineligible operating expense calculation

2. Financial Management and Capacity

9. Does the recipient adequately ensure financial oversight of subrecipients?

APPLICABILITY

- Recipients with subrecipients

INDICATOR(S) OF COMPLIANCE

- a. Financial capacity
- b. Match eligibility
- c. Financial controls
- d. Indirect costs
- e. Single audits
- f. Operating assistance calculation

2. Financial Management and Capacity

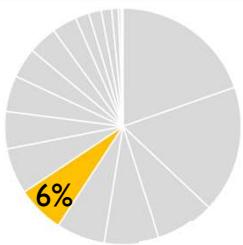
9. Does the recipient adequately ensure financial oversight of subrecipients?

POTENTIAL DEFICIENCY DETERMINATION(S)

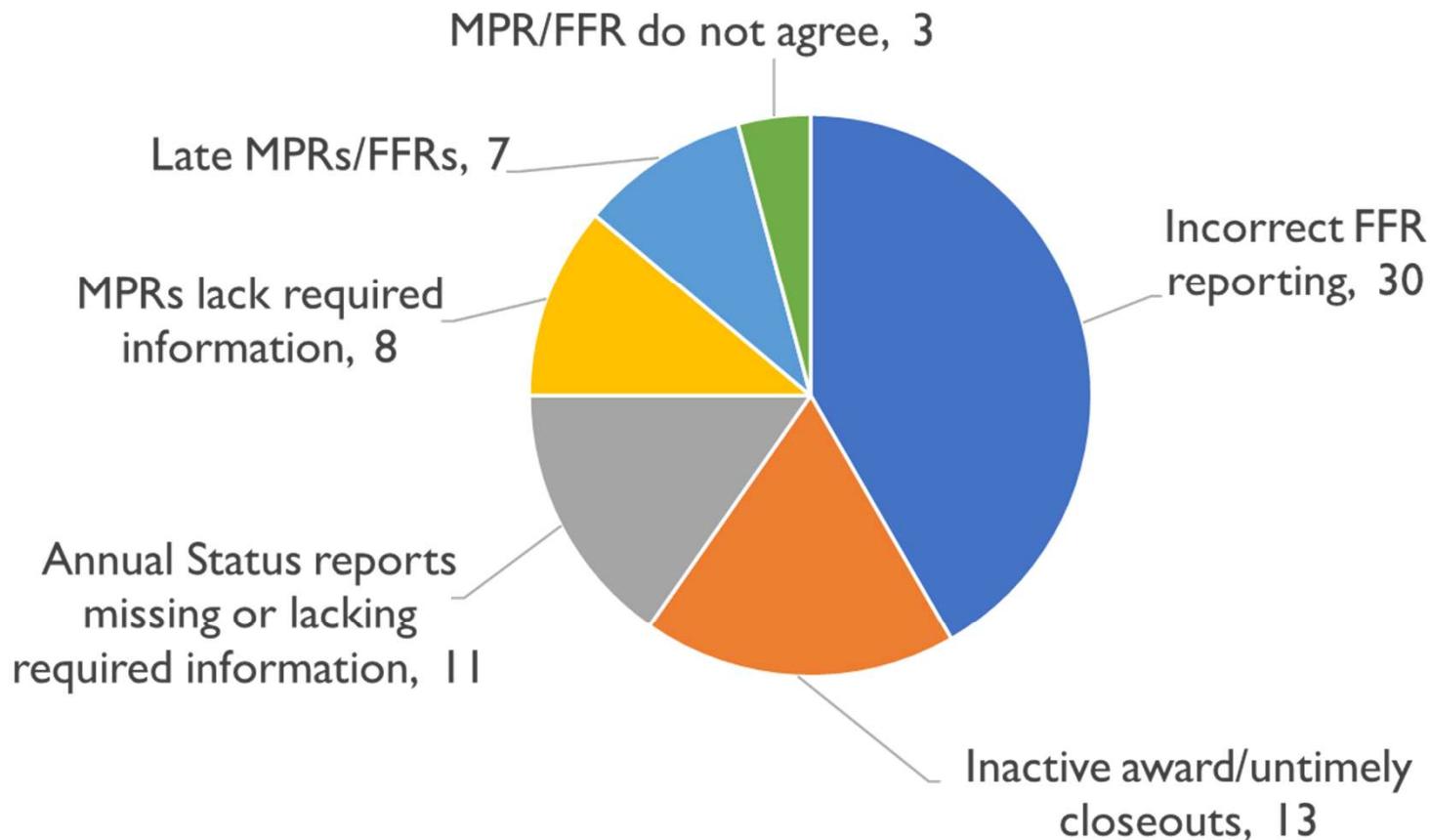
- Insufficient oversight of subrecipient financial capacity
- Insufficient oversight of subrecipient match funds
- Insufficient oversight of subrecipient financial management systems
- Insufficient oversight of subrecipient indirect cost
- Insufficient oversight of subrecipient audits
- Insufficient oversight of subrecipient operating assistance calculations

2. Financial Management and Capacity

- Information needed from recipient
- Issues/areas of concern for FTA awareness
- Questions?



3. Award Management



3. Award Management

- I. Has the recipient submitted MPRs and FFRs to FTA on time?

APPLICABILITY

- All recipients

INDICATOR(S) OF COMPLIANCE

- a. Required reporting frequency
- b. Reporting timeliness

POTENTIAL DEFICIENCY DETERMINATION(S)

- Late MPRs/FFRs

3. Award Management

2. Are the recipient's FFRs complete and accurate?

APPLICABILITY

- All recipients

INDICATOR(S) OF COMPLIANCE

- a. Cash basis reporting
- b. Accrual basis reporting
- c. Cost overruns or savings
- d. Cash on hand
- e. Unliquidated obligations
- f. Indirect costs
- g. MPR and FFR discrepancies
- h. Responses to FTA comments



FEDERAL TRANSIT ADMINISTRATION

3. Award Management

2. Are the recipient's FFRs complete and accurate?

POTENTIAL DEFICIENCY DETERMINATION(S)

- Incorrect FFR reporting
- MPR/FFR do not agree

3. Award Management

3. Are the recipient's MPRs complete and accurate?

APPLICABILITY

- All recipients

INDICATOR(S) OF COMPLIANCE

- Milestone status
- Activity narrative
- Budget changes
- Cost variances
- Schedule changes
- Rolling stock contract award milestone
- Claims

3. Award Management

3. Are the recipient's MPRs complete and accurate?

INDICATOR(S) OF COMPLIANCE

- h. Change orders
- i. Real property

POTENTIAL DEFICIENCY DETERMINATION(S)

- MPRs lack required information

3. Award Management

- 4. Has the recipient submitted complete POP Status Reports on time?**

APPLICABILITY

- Designated 5310 and 5311 recipients with subrecipients**

INDICATOR(S) OF COMPLIANCE

- a. Reporting timeliness**
- b. Updated POPs**
- c. POP contents**
- d. Budget revisions**
- e. Significant civil rights compliance issues**

3. Award Management

4. Has the recipient submitted complete POP Status Reports on time?

POTENTIAL DEFICIENCY DETERMINATION(S)

- Annual status reports missing or lacking required information

3. Award Management

- 5. Does the recipient ensure timely expenditure of funds and close out of awards?**

APPLICABILITY

- All recipients**

INDICATOR(S) OF COMPLIANCE

- a. Available funding in existing awards**
- b. Subrecipient project status**
- c. Delayed or inactive awards**
- d. Subrecipient project closeout**
- e. Recipient award closeout**

3. Award Management

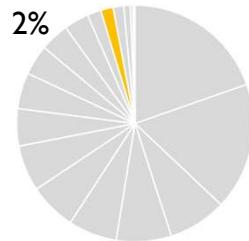
5. Does the recipient ensure timely expenditure of funds and close out of awards?

POTENTIAL DEFICIENCY DETERMINATION(S)

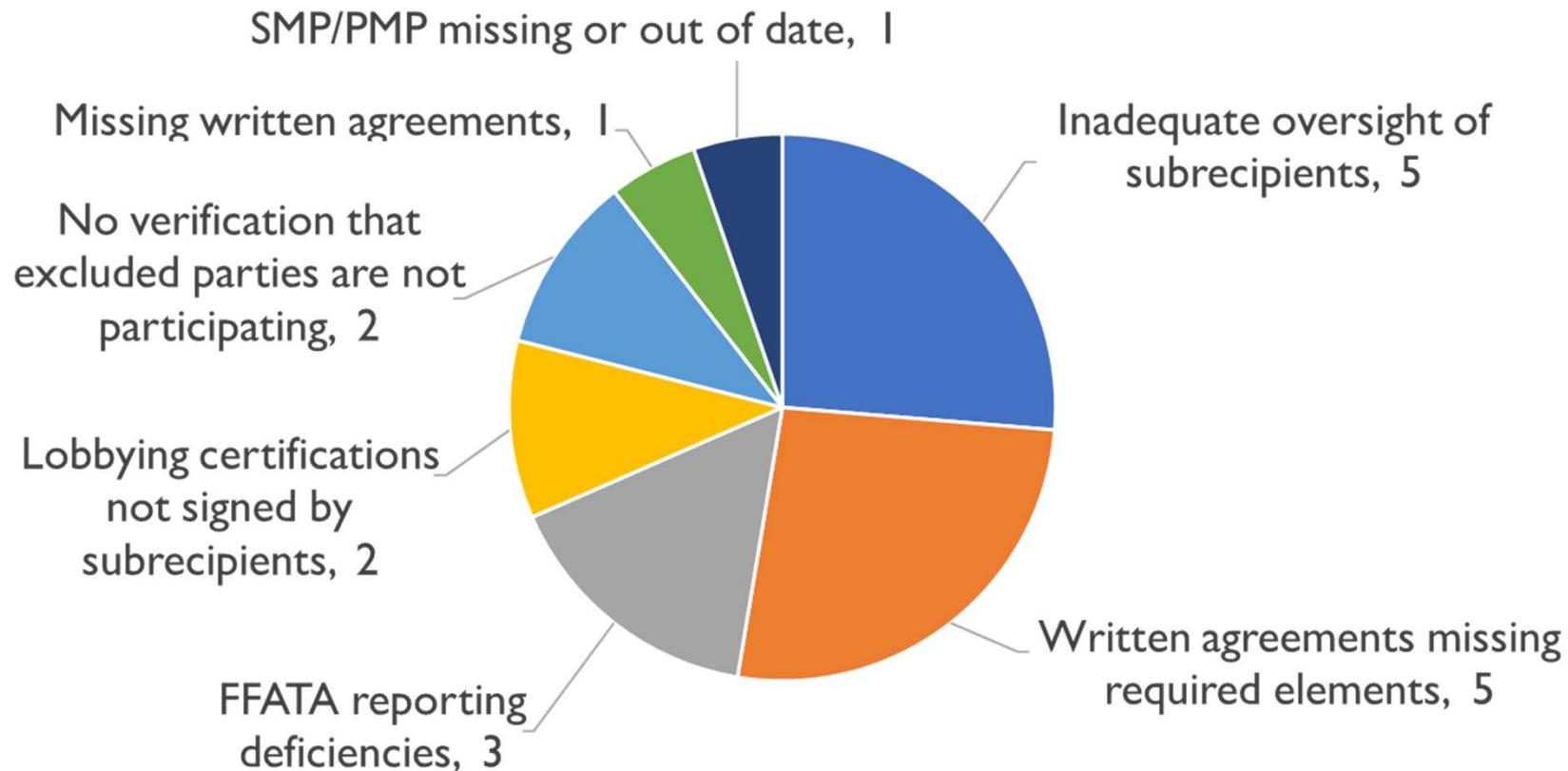
- Inactive award/untimely closeouts

3. Award Management

- Information needed from recipient
- Issues/areas of concern for FTA awareness
- Questions?



4. Program Management and Subrecipient Oversight



4. Program Management and Subrecipient Oversight

- I. Does the state involve transit providers and nonmetropolitan local officials in the development of the long-range transportation plan and the STIP?

APPLICABILITY

- States

INDICATOR(S) OF COMPLIANCE

- a. Involvement process for the public and transit providers
- b. Involvement process for nonmetropolitan local officials
- c. Involvement opportunities for nonmetropolitan local officials

4. Program Management and Subrecipient Oversight

- I. Does the state involve transit providers and nonmetropolitan local officials in the development of the long-range transportation plan and the STIP?

POTENTIAL DEFICIENCY DETERMINATION(S)

- State transportation planning process lacking involvement by transit providers and/or local officials

4. Program Management and Subrecipient Oversight

- 2. Does the recipient have an FTA-approved SMP/ PMP that documents the recipient's policies and procedures for administering the Sections 5310, 5311, and/or 5339 programs?**

APPLICABILITY

- Designated recipients of Section 5311 funds**
- Designated recipients of Sections 5310 or 5339 funds with subrecipients**

4. Program Management and Subrecipient Oversight

- 2. Does the recipient have an FTA-approved SMP/ PMP that documents the recipient's policies and procedures for administering the Sections 5310, 5311, and/or 5339 programs?**

INDICATOR(S) OF COMPLIANCE

- a. FTA-approved plan**
- b. Program changes since FTA approval**
- c. Plan pending FTA approval**
- d. Public comment for significant changes**
- e. Plan contents**

4. Program Management and Subrecipient Oversight

- 2. Does the recipient have an FTA-approved SMP/ PMP that documents the recipient's policies and procedures for administering the Section 5310, 5311, and/or 5339 programs?**

POTENTIAL DEFICIENCY DETERMINATION(S)

- SMP/PMP missing or out of date
- SMP/PMP incomplete
- No evidence of solicitation of public comment for significant SMP/PMP revisions

4. Program Management and Subrecipient Oversight

3. Has the recipient entered into agreements with each subrecipient that includes all the information required by FTA and 2 CFR part 200?

APPLICABILITY

- Recipients with subrecipients

INDICATOR(S) OF COMPLIANCE

- a. Written agreements
- b. Agreement contents

POTENTIAL DEFICIENCY DETERMINATION(S)

- Missing written agreements
- Written agreements missing required elements



FEDERAL TRANSIT ADMINISTRATION

4. Program Management and Subrecipient Oversight

- 4. Did the recipient obtain lobbying certifications from subrecipients before entering into agreements exceeding \$100,000?**

APPLICABILITY

- Recipients with subrecipients**

INDICATOR(S) OF COMPLIANCE

- a. Signed lobbying certifications**

POTENTIAL DEFICIENCY DETERMINATION(S)

- Lobbying certifications not signed by subrecipients**

4. Program Management and Subrecipient Oversight

5. Did the recipient confirm that its subrecipients were not suspended, debarred, ineligible or voluntarily excluded from participation in federally assisted transactions or procurements before entering into agreements exceeding \$25,000?

APPLICABILITY

- Recipients with subrecipients

INDICATOR(S) OF COMPLIANCE

- a. Suspension/debarment verification
- b. Contract extension/renewal to suspended/debarred subrecipient

4. Program Management and Subrecipient Oversight

5. Did the recipient confirm that its subrecipients were not suspended, debarred, ineligible or voluntarily excluded from participation in federally assisted transactions or procurements before entering into agreements exceeding \$25,000?

POTENTIAL DEFICIENCY DETERMINATION(S)

- No verification that excluded parties are not participating
- Excluded parties participating in covered transactions

4. Program Management and Subrecipient Oversight

- 6. Has the recipient reported subaward information to FSRS for all subawards over \$25,000 timely?**

APPLICABILITY

- Recipients with subrecipients**

INDICATOR(S) OF COMPLIANCE

- a. Reporting**
- b. Timeliness**

POTENTIAL DEFICIENCY DETERMINATION(S)

- FFATA reporting deficiencies**

4. Program Management and Subrecipient Oversight

7. Does the recipient's oversight program ensure subrecipient compliance with Federal requirements and performance goals, and provide for evaluation of subrecipient risk of noncompliance with those requirements?

APPLICABILITY

- Recipients with subrecipients

INDICATOR(S) OF COMPLIANCE

- a. Oversight program
- b. Risk assessment process
- c. Risk assessment conducted

4. Program Management and Subrecipient Oversight

- 7. Does the recipient's oversight program ensure subrecipient compliance with Federal requirements and performance goals, and provide for evaluation of subrecipient risk of noncompliance with those requirements?**

INDICATOR(S) OF COMPLIANCE

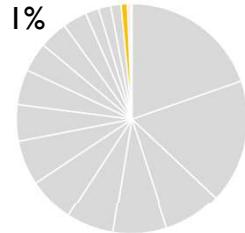
- d. Performance evaluation**
- e. Risk assessment outcomes**
- f. Follow-up actions**

POTENTIAL DEFICIENCY DETERMINATION(S)

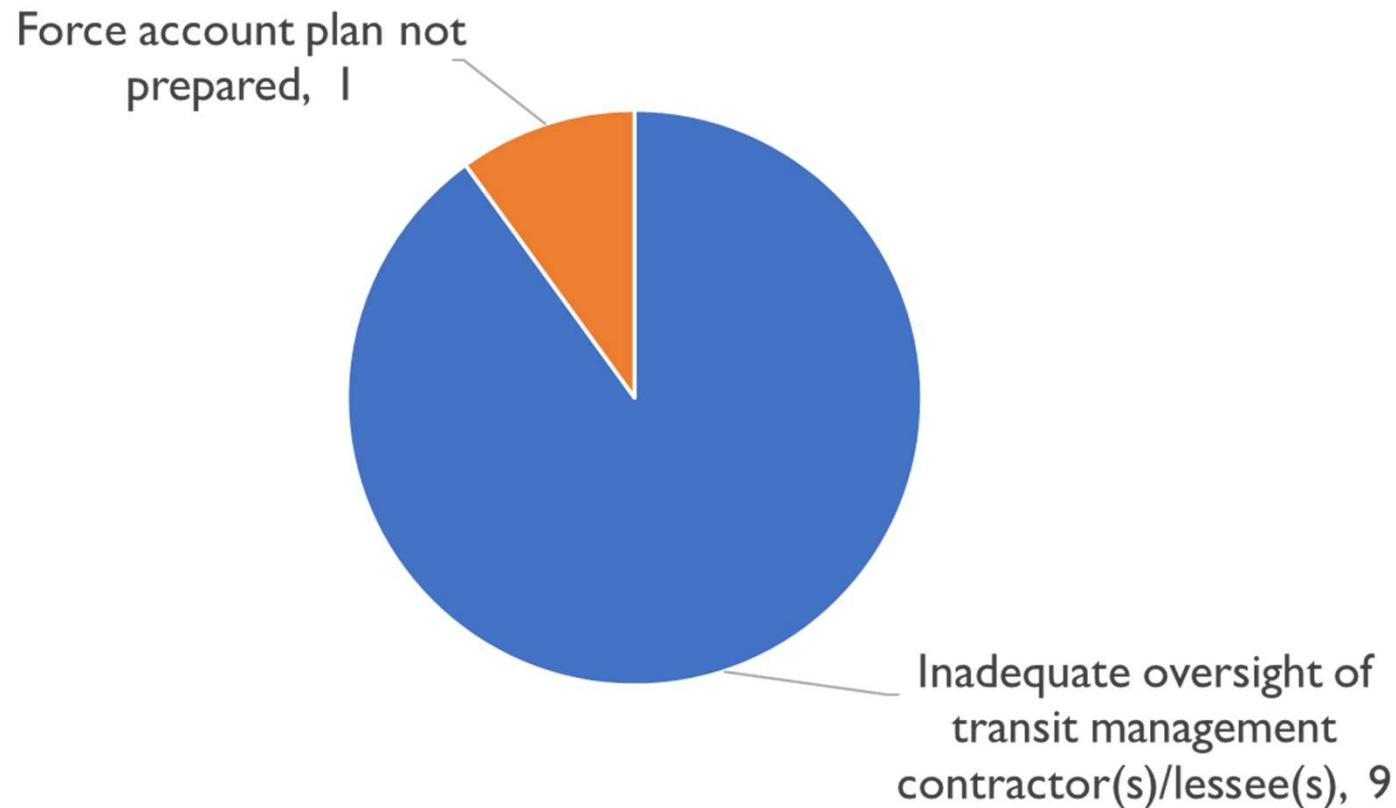
- Inadequate oversight of subrecipients**

4. Program Management and Subrecipient Oversight

- Information needed from recipient
- Issues/areas of concern for FTA awareness
- Questions?



5. Project Management



5. Project Management

- I. Did/does the recipient ensure project schedules, budgets, and performance objectives are achieved; provide technical inspection and supervision of all projects in progress; ensure conformity and compliance with all applicable Federal, state, and local regulations; and obtain all necessary approvals prior to incurring costs?

APPLICABILITY

- All recipients

INDICATOR(S) OF COMPLIANCE

- a. Administrative and management support
- b. Technical inspection and supervision
- c. Necessary approvals

5. Project Management

- I. For projects undertaken since the last Comprehensive Review, did/does the recipient: ensure project schedules, budgets, and performance objectives are achieved; provide technical inspection and supervision of all projects in progress; ensure conformity and compliance with all applicable Federal, state, and local regulations; and obtain all necessary approvals prior to incurring costs?

INDICATOR(S) OF COMPLIANCE

- d. Conformity to statutes, codes, ordinances, and safety standards
- e. Statute, code, ordinance or safety standard violations
- f. Schedule and performance monitoring
- g. Budget management
- h. Contractor/lessee oversight

5. Project Management

- I. For projects undertaken since the last Comprehensive Review, did/does the recipient: ensure project schedules, budgets, and performance objectives are achieved; provide technical inspection and supervision of all projects in progress; ensure conformity and compliance with all applicable Federal, state, and local regulations; and obtain all necessary approvals prior to incurring costs?

POTENTIAL DEFICIENCY DETERMINATION(S)

- Delay/cost overrun in project implementation
- Statute, code, ordinance or safety standard violation
- Inadequate oversight of transit management

5. Project Management

2. If the recipient or subrecipient used force account labor for an FTA-funded capital project, did it comply with FTA requirements and follow the plan?

APPLICABILITY

- All recipients

INDICATOR(S) OF COMPLIANCE

- i. Force account work >\$1 million but <\$10 million
- ii. Force account work of \$10 million or more

5. Project Management

2. Since the last Comprehensive Review, if the recipient or subrecipient used force account labor for an FTA-funded capital project, did it comply with FTA requirements and follow the plan?

POTENTIAL DEFICIENCY DETERMINATION(S)

- Force account plan not prepared/justification not submitted
- No approval of force account plan

5. Project Management

3. If a subrecipient implemented a capital or planning project, did the recipient provide technical inspection and supervision of the project(s)?

APPLICABILITY

- Recipients with subrecipients

INDICATOR(S) OF COMPLIANCE

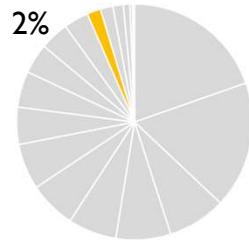
- a. Oversight

POTENTIAL DEFICIENCY DETERMINATION(S)

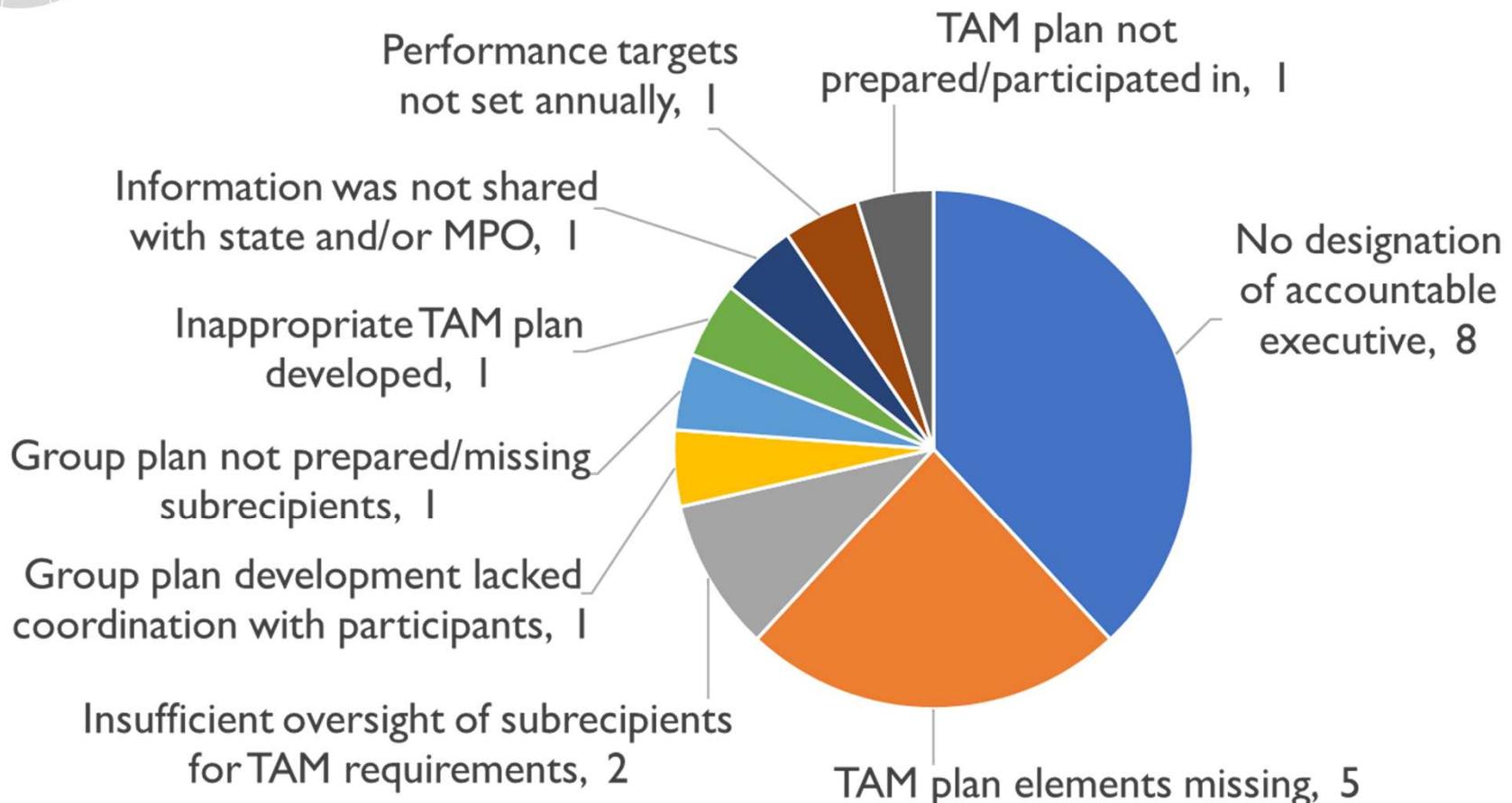
- Oversight of subrecipient projects lacking

5. Project Management

- Information needed from recipient
- Issues/areas of concern for FTA awareness
- Questions?



6. Transit Asset Management



6. Transit Asset Management

I. Has the recipient developed a TAM plan?

APPLICABILITY

- Recipients that own, operate, or manage capital assets used for providing public transportation

INDICATOR(S) OF COMPLIANCE

- a. Written plan/plan participation
- b. Subrecipients

POTENTIAL DEFICIENCY DETERMINATION(S)

- TAM plan not prepared/participated in
- Group plan not prepared/missing subrecipients

6. Transit Asset Management

2. Did the recipient develop the appropriate tier plan and does the plan have the required elements?

APPLICABILITY

- Recipients that own, operate, or manage capital assets used for providing public transportation and are not a group plan participant

INDICATOR(S) OF COMPLIANCE

- a. Modes operated
- b. Vehicles in peak revenue service
- c. Plan type (Tier I or II)
- d. Plan contents

6. Transit Asset Management

2. Did the recipient develop the appropriate tier plan and does the plan have the required elements?

POTENTIAL DEFICIENCY DETERMINATION(S)

- Inappropriate TAM plan developed
- TAM plan elements missing

6. Transit Asset Management

3. Have TAM responsibilities been assigned to an accountable executive?

APPLICABILITY

- Recipients that own, operate, or manage capital assets used for providing public transportation

INDICATOR(S) OF COMPLIANCE

- a. Accountable executive designation
- b. Accountable executive responsibilities

POTENTIAL DEFICIENCY DETERMINATION(S)

- No designation of accountable executive
- Accountable executive responsibilities not implemented

6. Transit Asset Management

4. Has the group plan sponsor fulfilled its obligations in the development of the group TAM plan?

APPLICABILITY

- Recipients with Tier II subrecipients

INDICATOR(S) OF COMPLIANCE

- a. Plan participants
- b. Accountable executive for plan participants
- c. Plan development
- d. Plan availability

6. Transit Asset Management

4. Has the group plan sponsor fulfilled its obligations in the development of the group TAM plan?

POTENTIAL DEFICIENCY DETERMINATION(S)

- Group plan missing Tier II subrecipients
- No designation of accountable executive by group plan participant
- Group plan development lacked coordination with participants
- Group plan not available to plan participants

6. Transit Asset Management

5. Have group plan participants fulfilled their obligations in the development and implementation of the group TAM plan?

APPLICABILITY

- Group plan participants

INDICATOR(S) OF COMPLIANCE

- a. Single group plan participation
- b. Participation in group plan development

POTENTIAL DEFICIENCY DETERMINATION(S)

- Participating in more than one group TAM plan
- Information not provided by group plan participant

6. Transit Asset Management

6. Has the recipient set performance targets annually?

APPLICABILITY

- Recipients that own, operate, or manage capital assets used for providing public transportation and are not a group plan participant

INDICATOR(S) OF COMPLIANCE

- a. Performance targets
- b. Annual targets

POTENTIAL DEFICIENCY DETERMINATION(S)

- No calculations for performance targets
- Performance targets not set annually
- Performance targets not approved by the accountable executive

6. Transit Asset Management

7. Does the recipient share its TAM plan, any supporting records or documents, performance targets, investment strategies, and annual condition assessment report with the state and/or MPO that provides funding?

APPLICABILITY

- Recipients that own, operate, or manage capital assets used for providing public transportation and are not a group plan participant

INDICATOR(S) OF COMPLIANCE

- a. Plan sharing

POTENTIAL DEFICIENCY DETERMINATION(S)

- Information was not shared with state and/or MPO

6. Transit Asset Management

8. Does the recipient monitor subrecipients for compliance with TAM requirements?

APPLICABILITY

- Recipients with subrecipients that have opted out of the group plan

INDICATOR(S) OF COMPLIANCE

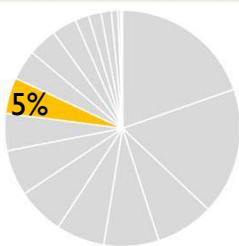
- a. Monitoring
- b. Plan review
- c. Accountable executive designation
- d. Information needed for planning

POTENTIAL DEFICIENCY DETERMINATION(S)

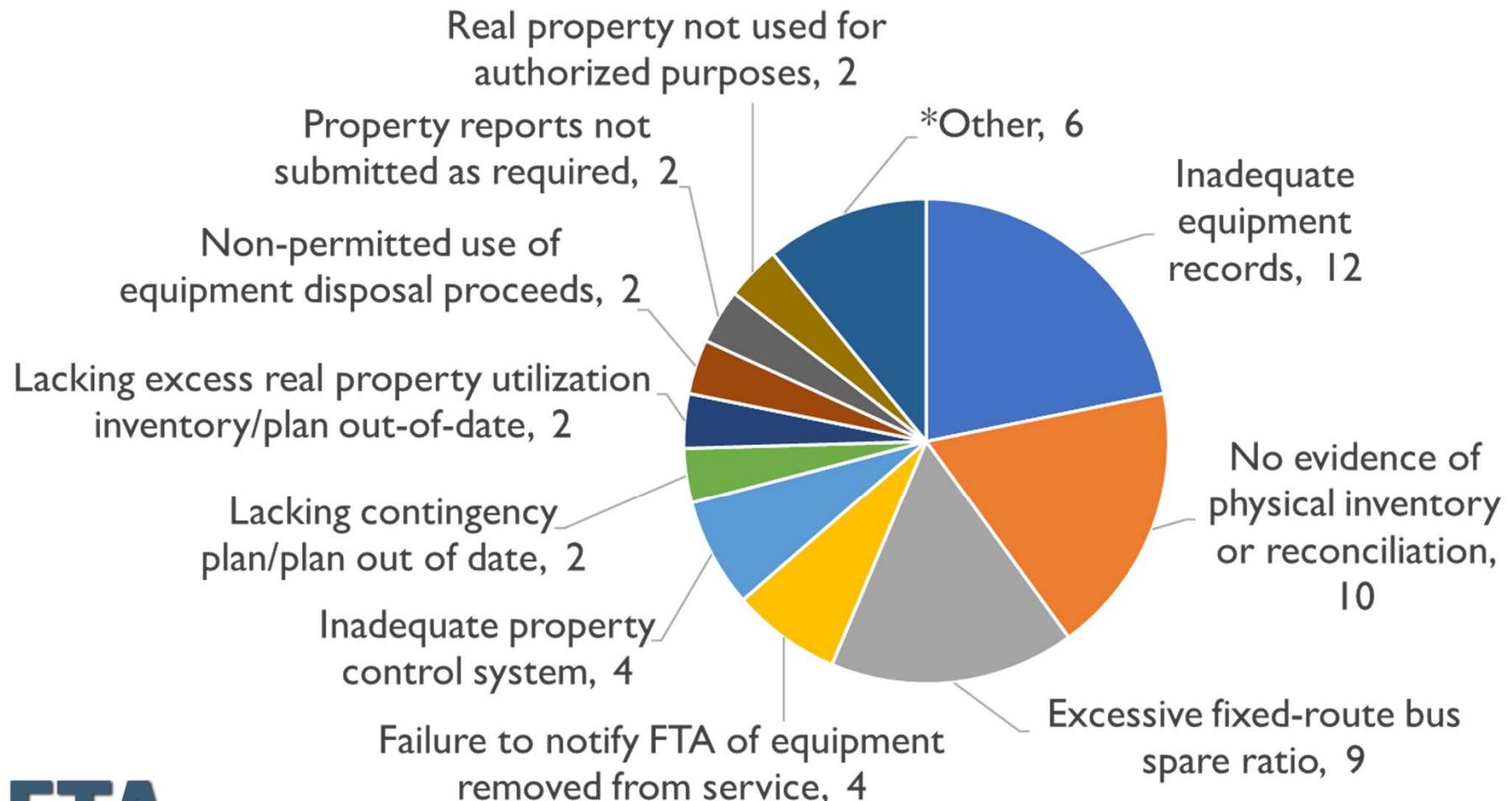
- Insufficient oversight of subrecipients for TAM requirements

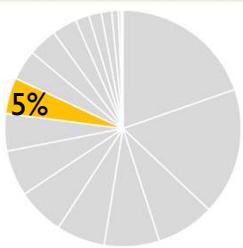
6. Transit Asset Management

- Information needed from recipient
- Issues/areas of concern for FTA awareness
- Questions?



7. Satisfactory Continuing Control





7. Satisfactory Continuing Control

*Other:

- Idle facility cost charged to an award (I)
- Inadequate control of subrecipient equipment (I)
- Incidental use income not used for eligible expenses (I)
- Lacking plans for idle facilities (I)
- Lacking rail fleet management plan/plan out of date (I)
- Non-permitted use of insurance proceeds (I)

7. Satisfactory Continuing Control

- I. For FTA-funded real property purchased under an award made on or after December 26, 2014, does the recipient maintain adequate records on the status of real property and submit required reports to FTA?

APPLICABILITY

- Recipients with FTA-funded real property and with subrecipients with FTA-funded real property

INDICATOR(S) OF COMPLIANCE

- a. Recipient real property inventory
- b. Subrecipient real property inventory
- c. Report filing

7. Satisfactory Continuing Control

- I. For FTA-funded real property purchased under an award made on or after December 26, 2014, does the recipient maintain adequate records on the status of real property and submit required reports to FTA?

POTENTIAL DEFICIENCY DETERMINATION(S)

- Property records missing information
- Property records missing subrecipient information
- Property reports not submitted as required

7. Satisfactory Continuing Control

- 2. For FTA-funded excess real property purchased under an award made before December 26, 2014, did the recipient prepare and update an excess property inventory and utilization plan?**

APPLICABILITY

- Recipients with FTA-funded real property**

INDICATOR(S) OF COMPLIANCE

- a. Plan development/updates**
- b. Plan contents**

POTENTIAL DEFICIENCY DETERMINATION(S)

- Lacking excess real property utilization inventory/plan out-of-date**

7. Satisfactory Continuing Control

3. Did the recipient follow FTA requirements for incidental use of real property?

APPLICABILITY

- Recipients with FTA-funded real property

INDICATOR(S) OF COMPLIANCE

- a. Incidental uses
- b. Incidental use compatibility with project
- c. Continuing control
- d. Proceeds

7. Satisfactory Continuing Control

3. Did the recipient follow FTA requirements for incidental use of real property?

POTENTIAL DEFICIENCY DETERMINATION(S)

- Incidental use affects transit capacity or use
- Incidental use interferes with property control
- Incidental use income not used for eligible expenses

7. Satisfactory Continuing Control

- 4. Has the recipient made appropriate efforts to use, lease, or dispose of idle facilities?**

APPLICABILITY

- Recipients with FTA-funded real property**

INDICATOR(S) OF COMPLIANCE

- a. Idle facilities**
- b. Efforts to use, lease, or dispose**
- c. Idle facility costs**

POTENTIAL DEFICIENCY DETERMINATION(S)

- Lacking plans for idle facilities**
- Idle facility cost charged to an award**



FEDERAL TRANSIT ADMINISTRATION

7. Satisfactory Continuing Control

5. Is FTA-funded real property used solely for its originally authorized purpose?

APPLICABILITY

- Recipients with FTA-funded real property

INDICATOR(S) OF COMPLIANCE

- a. Removal or substitute uses
- b. FTA notification

POTENTIAL DEFICIENCY DETERMINATION(S)

- Real property not used for authorized purpose

7. Satisfactory Continuing Control

- 6. If the recipient disposed of FTA-funded real property since the last Comprehensive Review, were FTA requirements followed?**

APPLICABILITY

- Recipients with FTA-funded real property
- Recipient with subrecipients with FTA-funded real property

INDICATOR(S) OF COMPLIANCE

- a. FTA prior approval
- b. FTA reimbursement

POTENTIAL DEFICIENCY DETERMINATION(S)

- Failure to obtain FTA approval for real property disposal
- Failure to reimburse FTA after disposal of real property

7. Satisfactory Continuing Control

- 7.** Does the recipient have flood insurance for any FTA-funded buildings located in areas that have been identified as having special flood hazards and in which the sale of flood insurance has been made available under the National Flood Insurance Act of 1968?

APPLICABILITY

- Recipients with FTA-funded real property

INDICATOR(S) OF COMPLIANCE

- a. Buildings/plans for buildings in special flood hazard zones
- b. Flood insurance

7. Satisfactory Continuing Control

7. Does the recipient have flood insurance for any FTA-funded buildings located in areas that have been identified as having special flood hazards and in which the sale of flood insurance has been made available under the National Flood Insurance Act of 1968?

POTENTIAL DEFICIENCY DETERMINATION(S)

- Insufficient flood insurance

7. Satisfactory Continuing Control

8. Does the recipient maintain control over FTA-funded equipment?

APPLICABILITY

- Recipients that operate or lease FTA-funded equipment

INDICATOR(S) OF COMPLIANCE

- a. State procedures
- b. Non-state recipient equipment records
- c. Non-state recipient physical inventories
- d. Procedures and systems to prevent loss, damage, or theft
- e. Lease approval
- f. Lease provisions

7. Satisfactory Continuing Control

8. Does the recipient maintain control over FTA-funded equipment?

POTENTIAL DEFICIENCY DETERMINATION(S)

- No state procedures for FTA-funded equipment
- State equipment procedures not followed
- Inadequate equipment records
- No evidence of physical inventory or reconciliation
- Inadequate property control system
- No FTA concurrence for leases
- Lease missing required provisions

7. Satisfactory Continuing Control

9. Was equipment withdrawn from use and disposed of in accordance with 2 CFR 200 and FTA requirements?

APPLICABILITY

- Non-state recipients

INDICATOR(S) OF COMPLIANCE

- a. FTA notification
- b. FTA approval
- c. FTA reimbursement
- d. Retained proceeds
- e. Insurance proceeds

7. Satisfactory Continuing Control

9. Was equipment withdrawn from use and disposed of in accordance with 2 CFR 200 and FTA requirements?

POTENTIAL DEFICIENCY DETERMINATION(S)

- Failure to notify FTA of equipment removed from service
- Non-permitted use of equipment disposal proceeds
- Non-permitted use of insurance proceeds

7. Satisfactory Continuing Control

10. Are bus fleets managed in accordance with FTA requirements for spare ratios and contingency fleets?

APPLICABILITY

- Recipients providing urban fixed-route bus service

INDICATOR(S) OF COMPLIANCE

- a. Fixed-route spare ratio
- b. Fixed-route fleets of 50 or more
- c. Bus contingency fleet

POTENTIAL DEFICIENCY DETERMINATION(S)

- Excessive fixed-route bus spare ratio
- Lacking contingency plan/plan out of date

7. Satisfactory Continuing Control

II. Does the rail fleet management plan meet FTA requirements?

APPLICABILITY

- Recipients providing rail service

INDICATOR(S) OF COMPLIANCE

- a. Required elements
- b. Current operating environment

POTENTIAL DEFICIENCY DETERMINATION(S)

- Lacking rail fleet management plan/plan out of date

7. Satisfactory Continuing Control

12. Does the recipient maintain control over FTA-funded property and ensure that subrecipients use FTA-funded property for project purposes?

APPLICABILITY

- Recipients with subrecipients

INDICATOR(S) OF COMPLIANCE

Real property

- | | |
|-------------------|--------------------|
| a. Excess | d. Use |
| b. Incidental use | e. Disposition |
| c. Idle | f. Flood insurance |

7. Satisfactory Continuing Control

12. Does the recipient maintain control over FTA-funded property and ensure that subrecipients use FTA-funded property for project purposes?

INDICATOR(S) OF COMPLIANCE

Equipment

- g. State procedures
- h. Non-state procedures

POTENTIAL DEFICIENCY DETERMINATION(S)

- Inadequate oversight of subrecipient excess real property
- Inadequate oversight of subrecipient incidental use of real property

7. Satisfactory Continuing Control

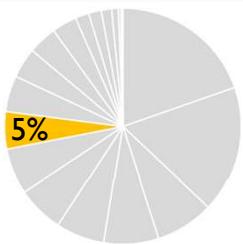
12. Does the recipient maintain control over FTA-funded property and ensure that subrecipients use FTA-funded property for project purposes?

POTENTIAL DEFICIENCY DETERMINATION(S)

- Inadequate control of subrecipient real property
- Inadequate oversight of subrecipient incidental use
- Inadequate control of subrecipient equipment

7. Satisfactory Continuing Control

- Information needed from recipient
- Issues/areas of concern for FTA awareness
- Questions?



8. Maintenance

Preventive maintenance program for accessible features not followed, 1

No warranty recovery system, 1

No written vehicle/vessel maintenance plan, 2

Accessible features not addressed in preventive maintenance program, 2

No system of periodic inspections and preventive maintenance identified in vehicle/vessel maintenance plan, 5

No written facility/equipment maintenance plan, 8

No system of periodic inspections and preventive maintenance identified in facility or equipment maintenance plan, 9

Inadequate oversight of subrecipient, contractor or lessee maintenance activities, 10

Late vehicle/vessel preventive maintenance, 10

Late facility/equipment preventive maintenance, 9

8. Maintenance

- I. Does the recipient have a written maintenance plan for FTA-funded assets (including vehicles/vessels, facilities, and equipment)?

APPLICABILITY

- Recipients with direct control over FTA-funded assets

INDICATOR(S) OF COMPLIANCE

- a. Written plans
- b. Periodic inspections and preventive maintenance

8. Maintenance

- I. Does the recipient have a written maintenance plan(s) for FTA-funded assets (including vehicles/vessels, facilities, and equipment)?

POTENTIAL DEFICIENCY DETERMINATION(S)

- No written vehicle/vessel maintenance plan
- No written facility/equipment maintenance plan
- No system of periodic inspections and preventive maintenance identified in vehicle/vessel maintenance plan
- No system of periodic inspections and preventive maintenance identified in facility or equipment maintenance plan

8. Maintenance

2. Is the recipient following its program for preventive maintenance inspections for FTA-funded assets?

APPLICABILITY

- Recipients with direct control over FTA-funded assets

INDICATOR(S) OF COMPLIANCE

- a. Vehicles/vessels
- b. Facility/equipment

POTENTIAL DEFICIENCY DETERMINATION(S)

- Late vehicle/vessel preventive maintenance
- Late facility/equipment preventive maintenance

8. Maintenance

3. Does the recipient's vehicles maintenance program address maintenance of wheelchair lifts and other accessibility features?

APPLICABILITY

- Recipients with direct control over FTA-funded assets

INDICATOR(S) OF COMPLIANCE

- a. Vehicle wheelchair lifts and ramps
- b. Other vehicle accessibility features
- c. Facility accessibility features

8. Maintenance

3. Does the recipient's vehicles maintenance program address maintenance of wheelchair lifts and other accessibility features?

POTENTIAL DEFICIENCY DETERMINATION(S)

- Accessible features not addressed in preventive maintenance program
- Preventive maintenance program for accessible features not followed
- Accessibility features not maintained

8. Maintenance

4. Does the recipient have a system for tracking warranty issues and does the recipient actively pursue warranty claims?

APPLICABILITY

- Non-state recipients with direct control over FTA-funded assets

INDICATOR(S) OF COMPLIANCE

- a. Assets under warranty
- b. Warranty program
- c. Warranty claims

8. Maintenance

4. Does the recipient have a system for tracking warranty issues and does the recipient actively pursue warranty claims?

POTENTIAL DEFICIENCY DETERMINATION(S)

- No warranty recovery system
- Warranty claims not pursued

8. Maintenance

5. Do recipients have an effective mechanism for monitoring subrecipients', contractors', and lessees' maintenance activities?

APPLICABILITY

- Recipients with subrecipients, contractors, and lessees with FTA-funded assets

INDICATOR(S) OF COMPLIANCE

- a. State requirements for vehicles and equipment
- b. Non-state requirements for vehicles and equipment
- c. Facility maintenance plans
- d. Oversight

8. Maintenance

5. Do recipients have an effective mechanism for monitoring subrecipients', contractors', and lessees' maintenance activities?

INDICATOR(S) OF COMPLIANCE

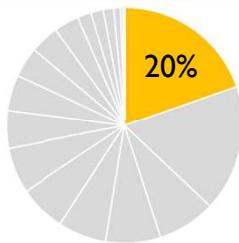
- e. Non-state oversight of vehicle warranty programs
- f. Oversight of facility warranty programs

POTENTIAL DEFICIENCY DETERMINATION(S)

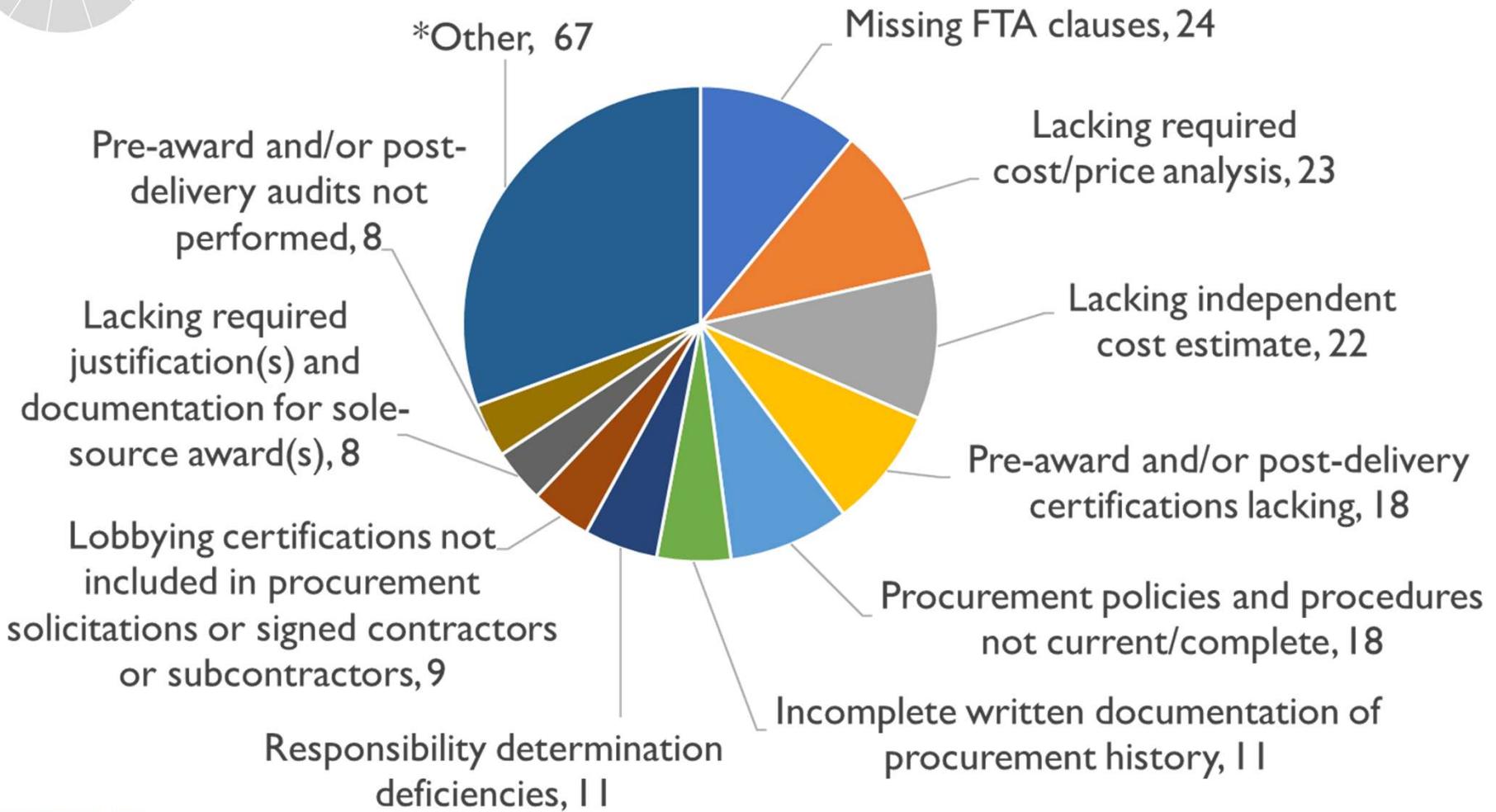
- Inadequate oversight of subrecipient, contractor or lessee maintenance

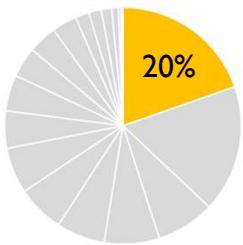
8. Maintenance

- Information needed from recipient
- Issues/areas of concern for FTA awareness
- Questions?



9. Procurement

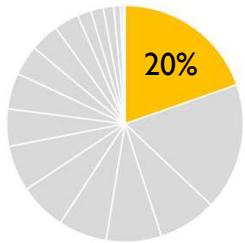




9. Procurement

*Other:

- Lacking required justification(s) and documentation for single-bid award(s) (7)
- No verification that excluded parties are not participating (7)
- Contract files lacking signed Buy America certifications (5)
- Improper use of liquidated damage clause (5)
- No TVM certification (4)
- Procurement transaction procedures missing or incomplete (4)
- Improper piggyback purchase (3)
- Improper small purchase procedures used (3)
- Lacking full and open competition for one or more methods of procurement (3)
- Options exercised not evaluated (3)
- Buy America provisions not in solicitation and/or contract (2)
- Improper micro-purchase procedures used (2)
- Improper use of geographic preferences (2)



9. Procurement

*Other:

- Inadequate prequalification criteria (2)
- Incomplete standards of conduct (2)
- Insufficient documentation to support change orders (2)
- Recipient has A&E procurement deficiencies (2)
- Buy America domestic content deficiencies (1)
- Contract awarded without Buy America waiver (1)
- Improper competitive proposal procedures used (1)
- Improper sealed bid procedures used (1)
- Insufficient oversight of subrecipient procurements (1)
- Missing documentation of bus model testing (1)
- No written protest procedures (1)
- Procurement policies and procedures not evident (1)
- Protest procedures not accessible to potential bidders (1)

9. Procurement

- I. Does the recipient have written procurement policies and procedures that include required state, local, and Federal provisions?

APPLICABILITY

- All recipients

INDICATOR(S) OF COMPLIANCE

- a. Written procurement policies and procedures
- b. Conformance with 2 CFR 200.318 through 200.326

9. Procurement

- I. Does the recipient have written procurement policies and procedures that include required state, local, and Federal provisions?

POTENTIAL DEFICIENCY DETERMINATION(S)

- Policies and procedures not evident
- Procurement transaction procedures missing or incomplete
- Procurement policies and procedures not current/complete

9. Procurement

2. Does the recipient maintain written standards of conduct for its representatives engaged in the selection, award, and administration of FTA-funded contracts?

APPLICABILITY

- All recipients

INDICATOR(S) OF COMPLIANCE

- a. Written standards of conduct
- b. Standards of conduct elements

POTENTIAL DEFICIENCY DETERMINATION(S)

- No written standards of conduct
- Incomplete standards of conduct



9. Procurement

3. Does the recipient have and follow written procurement protest procedures?

APPLICABILITY

- All recipients

INDICATOR(S) OF COMPLIANCE

- a. Public availability
- b. Written protest procedures
- c. Protests

9. Procurement

3. Does the recipient have and follow written procurement protest procedures?

POTENTIAL DEFICIENCY DETERMINATION(S)

- Protest procedures not accessible to potential bidders
- No written protest procedures
- Protest procedures not followed

9. Procurement

4. Does the recipient make awards only to responsible contractors as described in its policies and procedures and in compliance with the requirements of 49 U.S.C. 5325(j)?

APPLICABILITY

- All recipients

INDICATOR(S) OF COMPLIANCE

- a. Written responsibility determinations
- b. Debarment/suspension determinations
- c. Contract extensions

9. Procurement

4. Does the recipient make awards only to responsible contractors as described in its policies and procedures and in compliance with the requirements of 49 U.S.C. 5325(j)?

POTENTIAL DEFICIENCY DETERMINATION(S)

- Responsibility determination deficiencies
- No verification that excluded parties are not participating
- Excluded parties participation/no verification

9. Procurement

5. Does the recipient maintain records sufficient to detail the history of each procurement as described in its policies and procedures and in compliance with 2 CFR Part 200?

APPLICABILITY

- All recipients

INDICATOR(S) OF COMPLIANCE

- a. Procurement files

POTENTIAL DEFICIENCY DETERMINATION(S)

- Incomplete written documentation of procurement history

9. Procurement

6. Does the recipient ensure that contractors perform in accordance with the terms, conditions, and specifications of their contracts or purchase orders in its policies and procedures and in compliance with 2 CFR Part 200?

APPLICABILITY

- All recipients

INDICATOR(S) OF COMPLIANCE

- a. Contractor oversight

POTENTIAL DEFICIENCY DETERMINATION(S)

- Contractor administration system lacking

9. Procurement

7. Does the recipient ensure that it conducts all procurement transactions in a manner that provides full and open competition and does not unduly restrict competition in its procurement process and as described in its policies and procedures and in compliance with 2 CFR Part 200?

APPLICABILITY

- All recipients

INDICATOR(S) OF COMPLIANCE

- a. Potential restrictive practices
- b. Geographic preferences
- c. Prequalification lists

9. Procurement

7. Does the recipient ensure that it conducts all procurement transactions in a manner that provides full and open competition and does not unduly restrict competition in its procurement process and as described in its policies and procedures and in compliance with 2 CFR Part 200?

POTENTIAL DEFICIENCY DETERMINATION(S)

- Lacking full and open competition for one or more methods of procurement
- Improper use of geographic preferences
- Inadequate prequalification criteria

9. Procurement

8. Did the recipient appropriately use each method of procurement as described in its policies and procedures and in compliance with 2 CFR Part 200?

APPLICABILITY

- All recipients

INDICATOR(S) OF COMPLIANCE

- Micro-purchase
- Small purchase
- Sealed bid
- Competitive proposal

9. Procurement

8. Did the recipient appropriately use each method of procurement as described in its policies and procedures and in compliance with 2 CFR Part 200?

INDICATOR(S) OF COMPLIANCE

- Non-competitive/sole source
- Single bid
- Time and materials

9. Procurement

8. Did the recipient appropriately use each method of procurement as described in its policies and procedures and in compliance with 2 CFR Part 200?

POTENTIAL DEFICIENCY DETERMINATION(S)

- Improper micro-purchase procedure used
- Improper small purchase procedures used
- Improper sealed bid procedures used
- Improper competitive proposal procedures used
- Lacking required justification(s) and documentation for sole-source award(s)
- Lacking required justification(s) and documentation for single-bid award(s)
- Improper time and materials contract

9. Procurement

9. Does the recipient procure Architectural Engineering (A&E) Services in accordance with 49 U.S.C. § 5325(b)?

APPLICABILITY

- All recipients

INDICATOR(S) OF COMPLIANCE

- a. State statute
- b. Brooks Act

POTENTIAL DEFICIENCY DETERMINATION(S)

- Recipient has A&E procurement deficiencies

9. Procurement

10. Does the recipient develop independent cost estimates and conduct a cost and/or price analysis as described in its policies and procedures and for each procurement action above the Simplified Acquisition Threshold?

APPLICABILITY

- All recipients

INDICATOR(S) OF COMPLIANCE

- a. Independent cost estimate (ICE)
- b. Cost and/or price analysis

9. Procurement

10. Does the recipient develop independent cost estimates and conduct a cost and/or price analysis as described in its policies and procedures and for each procurement action above the Simplified Acquisition Threshold?

POTENTIAL DEFICIENCY DETERMINATION(S)

- Lacking independent cost estimate
- Lacking required cost/price analysis

9. Procurement

II. Did the recipient include applicable Federal clauses in FTA-funded procurements exceeding the micro-purchase limit and construction contracts over \$2,000?

APPLICABILITY

- All recipients

INDICATOR(S) OF COMPLIANCE

- a. Required clauses

POTENTIAL DEFICIENCY DETERMINATION(S)

- Missing FTA clauses

9. Procurement

12. Did the recipient include required certifications in solicitations and receive signed certifications from bidders as part of their bid or proposal, as applicable?

APPLICABILITY

- All recipients

INDICATOR(S) OF COMPLIANCE

- a. DBE TVM certifications
- b. Lobbying certifications
- c. Buy America certifications

9. Procurement

12. Did the recipient include required certifications in solicitations and receive signed certifications from bidders as part of their bid or proposal, as applicable?

POTENTIAL DEFICIENCY DETERMINATION(S)

- No TVM certification
- Lobbying certification not included in procurement solicitations or signed by contractors or subcontractors
- Buy America provisions not included in solicitation and/or contract
- Contract files lacking signed Buy America certifications
- Contract awarded without Buy America waiver

9. Procurement

I3. If the recipient included liquidated damages in its procurements, did it do so appropriately?

APPLICABILITY

- All recipients

INDICATOR(S) OF COMPLIANCE

- a. Liquidated damages rate
- b. Account for damages

POTENTIAL DEFICIENCY DETERMINATION(S)

- Improper use of liquidated damage clause
- Improper accounting for recovered liquidated damages

9. Procurement

14. Did the recipient approve, evaluate, and document change orders to procurements as described in its policies and procedures?

APPLICABILITY

- All recipients

INDICATOR(S) OF COMPLIANCE

- a. Change order scope
- b. Evaluation and documentation

POTENTIAL DEFICIENCY DETERMINATION(S)

- Insufficient documentation to support change orders

9. Procurement

15. If the recipient included options in an FTA-funded procurement, did it base the number of options on its reasonably foreseeable need and evaluate the option price prior to awarding the contract?

APPLICABILITY

- All recipients

INDICATOR(S) OF COMPLIANCE

- a. Foreseeable need
- b. Option price evaluation

9. Procurement

15. If the recipient included options in an FTA-funded procurement, did it base the number of options on its reasonably foreseeable need and evaluate the option price prior to awarding the contract?

POTENTIAL DEFICIENCY DETERMINATION(S)

- Contract quantities not based on need
- Options exercised not evaluated

9. Procurement

16. If the recipient procured bus or rail rolling stock or replacement parts with FTA funds, did it adhere to the time limitations on placing orders against the contracts?

INDICATOR(S) OF COMPLIANCE

- a. Contract term

POTENTIAL DEFICIENCY DETERMINATION(S)

- Contract(s) period of performance exceeds limitation

9. Procurement

17. If the recipient purchased FTA-funded assets through an assignment of options (a/k/a “piggyback”), did the underlying contract comply with applicable Federal requirements regarding excessive options, inclusion of Federal requirements, assignability, price, and no cardinal changes?

APPLICABILITY

- All recipients

INDICATOR(S) OF COMPLIANCE

- a. Underlying contract compliance
- b. Assignability clause and quantity availability
- c. Fair and reasonable price

9. Procurement

17. If the recipient purchased FTA-funded assets through an assignment of options (a/k/a “piggyback”), did the underlying contract comply with applicable Federal requirements regarding excessive options, inclusion of Federal requirements, assignability, price, and no cardinal changes?

INDICATOR(S) OF COMPLIANCE

- d. Cardinal changes
- e. Domestic content

POTENTIAL DEFICIENCY DETERMINATION(S)

- Improper piggyback purchase
- Domestic content requirements not met in piggyback purchase

9. Procurement

18. Did the recipient ensure that appropriate FTA approval was acquired for advance payments and that adequate protection was exercised for progress payments?

APPLICABILITY

- All recipients

INDICATOR(S) OF COMPLIANCE

- a. Advance payments
- b. Progress payments

POTENTIAL DEFICIENCY DETERMINATION(S)

- No FTA approval for advance payments
- Federal interest not protected in advance/progress payments

9. Procurement

19. If the recipient procured buses with FTA funds, did it comply with requirements for bus testing reports?

APPLICABILITY

- All recipients

INDICATOR(S) OF COMPLIANCE

- a. Bus models tested
- b. Receipt of test report

POTENTIAL DEFICIENCY DETERMINATION(S)

- Deficiency with bus model testing requirements
- Missing documentation of bus model testing

9. Procurement

20. If the recipient procured rolling stock with FTA funds, did it comply with the requirements of 49 CFR Part 663, including pre-award and post-delivery Buy America audit requirements, resident inspector requirements, and purchaser's certifications?

APPLICABILITY

- All recipients

INDICATOR(S) OF COMPLIANCE

- a. Domestic content
- b. Pre-award and post-delivery audits
- c. Pre-award and post-delivery certifications

9. Procurement

20. If the recipient procured rolling stock with FTA funds, did it comply with the requirements of 49 CFR Part 663, including pre-award and post-delivery Buy America audit requirements, resident inspector requirements, and purchaser's certifications?

POTENTIAL DEFICIENCY DETERMINATION(S)

- Buy America domestic content deficiencies
- Pre-award and/or post-delivery audits not performed
- Pre-award and/or post-delivery certifications lacking

9. Procurement

21. Does the recipient perform oversight of its subrecipients' FTA-funded procurement activities as described in its policies and procedures?

APPLICABILITY

- Recipients with subrecipients

INDICATOR(S) OF COMPLIANCE

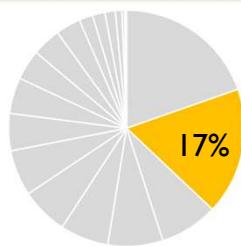
- a. Oversight
- b. Adequacy of oversight

POTENTIAL DEFICIENCY DETERMINATION(S)

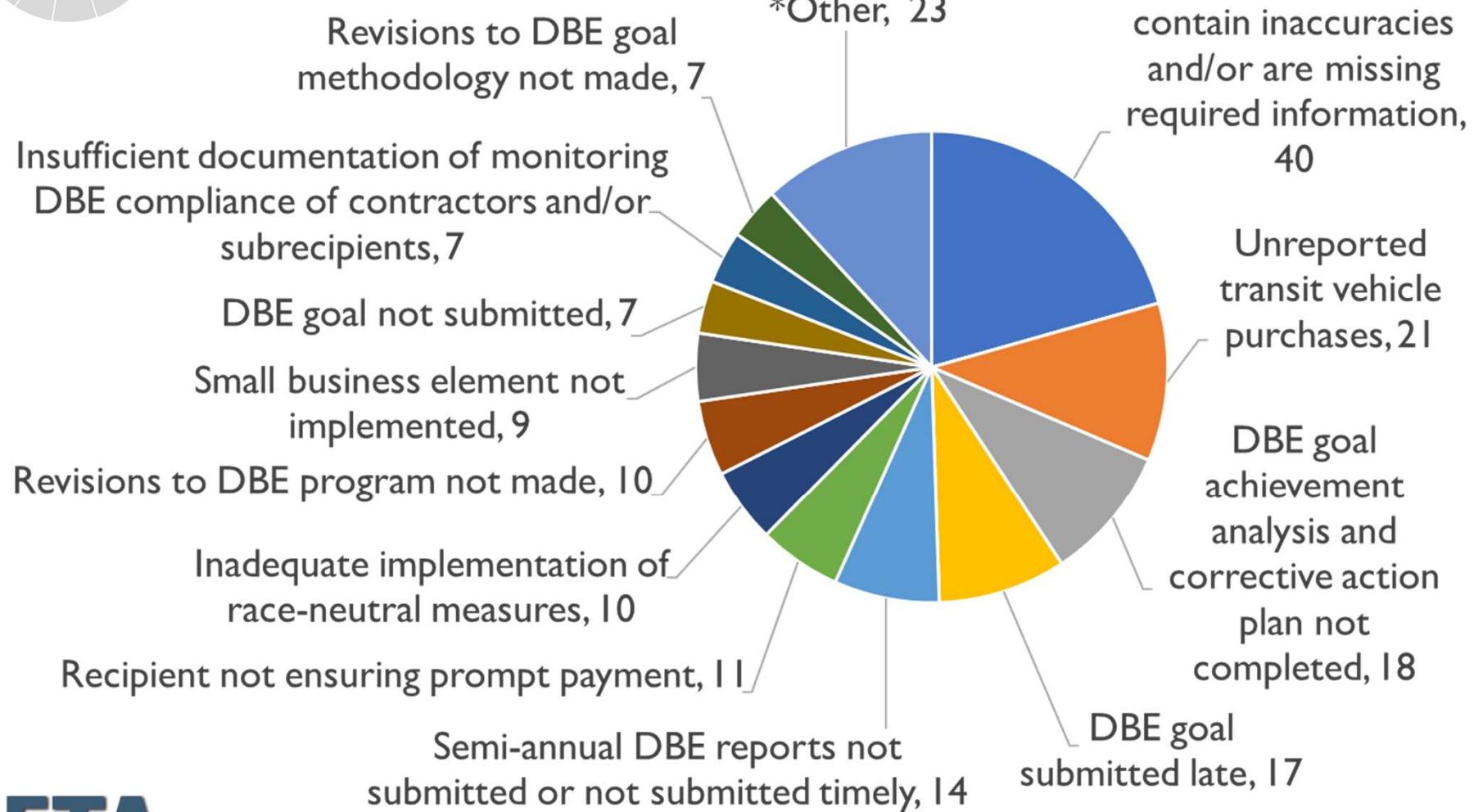
- Insufficient oversight of subrecipient procurements

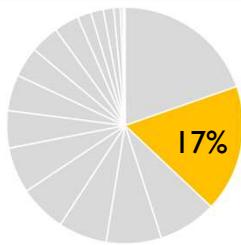
9. Procurement

- Information needed from recipient
- Issues/areas of concern for FTA awareness
- Questions?



10. DBE





10. DBE

*Other:

- DBE goal achievement analysis and corrective action plan do not include all required elements (5)
- Insufficient documentation of written certifications of DBE monitoring (5)
- Inadequate designation of DBE Officer (4)
- Insufficient documentation of monitoring DBE work (4)
- Inadequate good faith efforts determination (2)
- DBE goal achievement analysis and corrective action plan not submitted timely (1)
- No approved DBE program (1)
- Recipient does not implement DBE termination/substitution provisions (1)

10. DBE

- I. Did the recipient submit a current DBE program for approval?

APPLICABILITY

- Recipients that meet the DBE threshold

INDICATOR(S) OF COMPLIANCE

- a. Threshold met
- b. Date of program
- c. Required revisions

POTENTIAL DEFICIENCY DETERMINATION(S)

- No approved DBE program
 - Revisions to DBE program not made

10. DBE

2. Has the DBELO been designated and given proper resources and authority?

APPLICABILITY

- Recipients that meet the DBE threshold

INDICATOR(S) OF COMPLIANCE

- a. DBELO designation
- b. DBELO direct and independent access
- c. Appropriate authority and adequate resources for implementation

POTENTIAL DEFICIENCY DETERMINATION(S)

- Inadequate designation of DBE officer
- Insufficient resources to administer the DBE program

10. DBE

3. Did the recipient submit its latest goal in TrAMS by August 1 prior to the beginning of the applicable Federal fiscal year?

APPLICABILITY

- Recipients that meet the DBE threshold

INDICATOR(S) OF COMPLIANCE

- a. Timely submittal
- b. No submission
- c. Goal submission revisions

10. DBE

3. Did the recipient submit its latest goal in TrAMS by August 1 prior to the beginning of the applicable Federal fiscal year?

POTENTIAL DEFICIENCY DETERMINATION(S)

- DBE goal submitted late
- DBE goal not submitted
- Revisions to DBE goal methodology not made

10. DBE

4. Has the recipient submitted the Uniform Report of DBE Awards or Commitments and Payments semi-annually by the required due dates of June 1 and December 1?

APPLICABILITY

- Recipients that meet the DBE threshold

INDICATOR(S) OF COMPLIANCE

- a. Timely submittal
- b. No/missing submission(s)

POTENTIAL DEFICIENCY DETERMINATION(S)

- Semi-annual DBE reports not submitted or not submitted timely

10. DBE

5. Are the semiannual Uniform Reports of DBE Awards or Commitments and Payments completed accurately?

APPLICABILITY

- Recipients that meet the DBE threshold

INDICATOR(S) OF COMPLIANCE

- a. Accuracy

POTENTIAL DEFICIENCY DETERMINATION(S)

- DBE uniform reports contain inaccuracies and/or missing required information

10. DBE

6. For each of the past three completed Federal fiscal years, if the recipient's DBE achievements (based on contract awards) were below the overall goal for the applicable year, did the recipient complete the required shortfall analysis and corrective action plan?

APPLICABILITY

- Recipients that meet the DBE threshold

INDICATOR(S) OF COMPLIANCE

- a. Shortfall analysis
- b. Top 50 timely submission
- c. Not top 50 shortfall analysis and plan elements

10. DBE

6. For each of the past three completed Federal fiscal years, if the recipient's DBE achievements (based on contract awards) were below the overall goal for the applicable year, did the recipient complete the required shortfall analysis and corrective action plan?

POTENTIAL DEFICIENCY DETERMINATION(S)

- DBE goal achievement analysis and corrective action plan not completed
- DBE goal achievement analysis and corrective action plan not submitted timely
- DBE goal achievement analysis and corrective action plan do not include all required elements

10. DBE

7. If the recipient exceeded its overall goal using contract goals in Federal fiscal years 2017 and 2018, did it make appropriate procurement adjustments?

APPLICABILITY

- Recipients that meet the DBE threshold

INDICATOR(S) OF COMPLIANCE

- a. Race-conscious goal adjustments

POTENTIAL DEFICIENCY DETERMINATION(S)

- No proportionate reduction of race-conscious goals

10. DBE

8. Has the recipient implemented steps to meet the maximum feasible portions of its overall goal race neutrally?

APPLICABILITY

- Recipients that meet the DBE threshold

INDICATOR(S) OF COMPLIANCE

- a. Race-neutral measures implementation
- b. Small business element implementation

POTENTIAL DEFICIENCY DETERMINATION(S)

- Inadequate implementation of race-neutral measures
- Small business element not implemented

10. DBE

9. When including a DBE goal in a solicitation, is the recipient ensuring that the contract is only awarded to a bidder that meets the goal or makes good faith efforts to meet the goal?

APPLICABILITY

- Recipients that meet the DBE threshold

INDICATOR(S) OF COMPLIANCE

- a. DBE information from bidders/proposers
- b. Good faith efforts documentation

POTENTIAL DEFICIENCY DETERMINATION(S)

- Inadequate timeframe for DBE responsibility determination
- Inadequate good faith efforts determination

10. DBE

10. If the recipient or a subrecipient set a project-specific DBE goal, or a goal on a transit vehicle procurement, did it receive prior FTA approval?

APPLICABILITY

- Recipients that meet the DBE threshold

INDICATOR(S) OF COMPLIANCE

- a. FTA approval for project-specific DBE goal
- b. FTA approval for transit vehicle DBE goal

POTENTIAL DEFICIENCY DETERMINATION(S)

- Unapproved DBE goals on transit vehicle purchases
- Implemented a DBE project-specific goal without FTA permission

10. DBE

II. Did the recipient properly report all FTA-funded transit vehicle awards?

APPLICABILITY

- Recipients that meet the DBE threshold

INDICATOR(S) OF COMPLIANCE

- a. FTA notification

POTENTIAL DEFICIENCY DETERMINATION(S)

- Unreported transit vehicle purchases

10. DBE

12. Does the recipient monitor the performance of contractors and enforce contractual requirements consistent with its approved DBE program?

APPLICABILITY

- Recipients that meet the DBE threshold

INDICATOR(S) OF COMPLIANCE

- a. Contractor and subrecipient monitoring
- b. Project monitoring
- c. Certification of monitoring activities
- d. Prompt payment monitoring
- e. DBE termination or substitution

10. DBE

12. Does the recipient monitor the performance of contractors and enforce contractual requirements consistent with its approved DBE program?

POTENTIAL DEFICIENCY DETERMINATION(S)

- Insufficient documentation of monitoring DBE compliance of contractors and/or subrecipients
- Insufficient documentation of monitoring DBE work
- Insufficient documentation of written certifications of DBE monitoring
- Recipient not ensuring prompt payment
- Recipient does not implement DBE termination/substitution provisions

10. DBE

I3. Does the recipient implement DBE certification standards and procedures in accordance with the DBE regulation?

APPLICABILITY

- Recipients that certify DBEs

INDICATOR(S) OF COMPLIANCE

- a. Uniform certification application form
- b. Personal net worth form
- c. Site visits
- d. 30-day notification letter for complete application
- e. 90-day determination for instate applicants
- f. 60-day determination for interstate applicants
- g. NAICS codes entries
- h. Certifying staff is trained

10. DBE

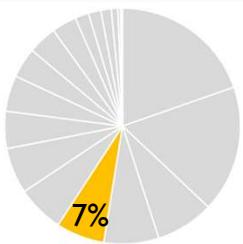
I3. Does the recipient implement DBE certification standards and procedures in accordance with the DBE regulation?

POTENTIAL DEFICIENCY DETERMINATION(S)

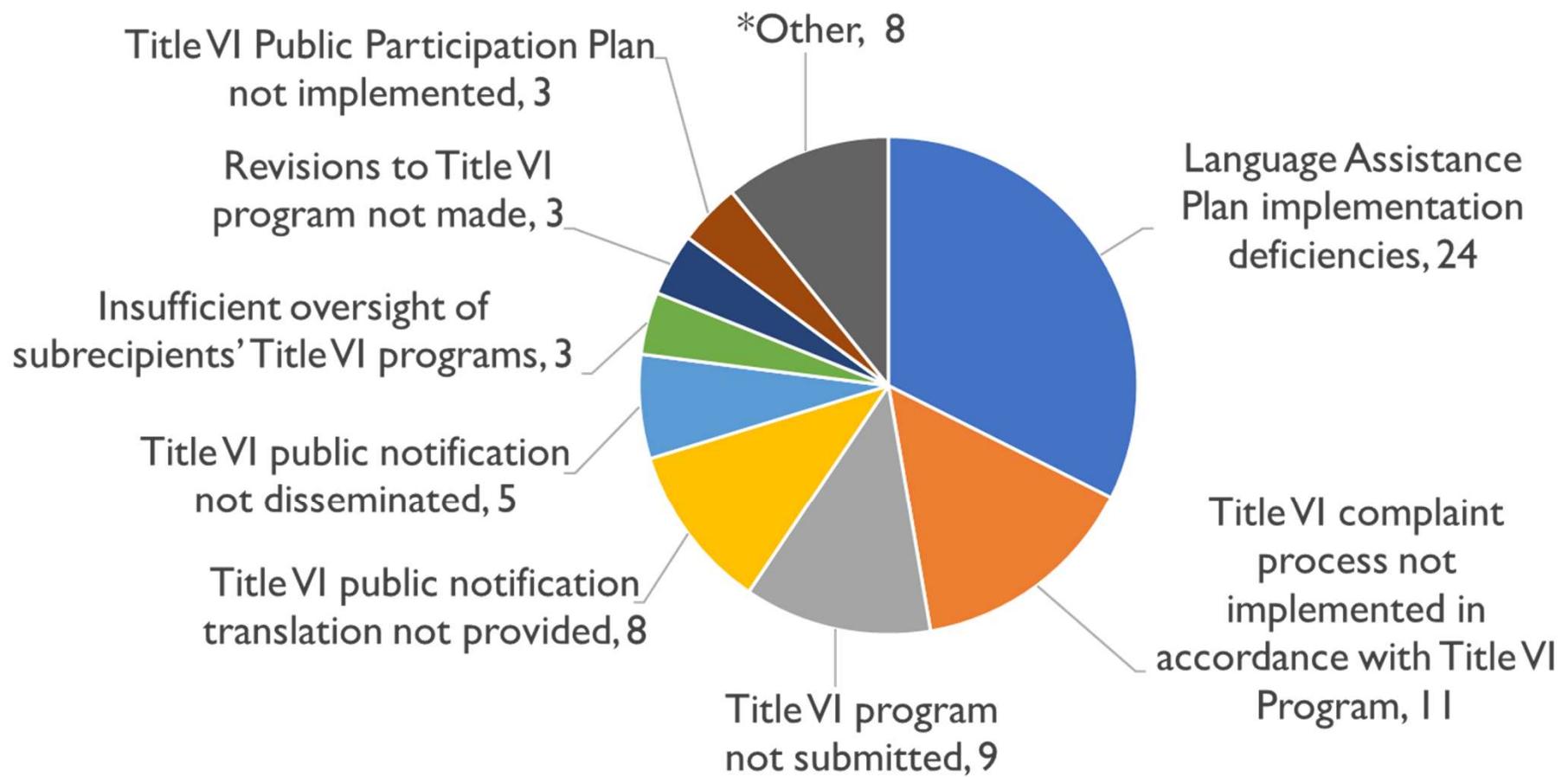
- Recipient does not use correct DBE certification form
- Recipient does not use correct DBE PNW form
- Recipient does not conduct on-site visits
- DBE directory does not include correct NAICS codes
- UCP does not perform timely review of certification applications
- UCP staff not trained

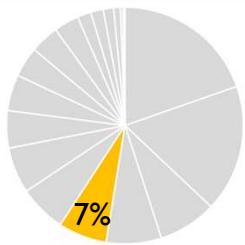
10. DBE

- Information needed from recipient
- Issues/areas of concern for FTA awareness
- Questions?



11. Title VI





11. Title VI

*Other:

- Impact of fare and/or service changes not adequately examined (2)
- Not implementing Title VI monitoring of service or amenities (2)
- Subrecipient Title VI plans not reviewed or not reviewed for required elements (2)
- Policy-making officials' review of Title VI monitoring not evident (1)
- Title VI equity analysis not conducted for facility site or location (1)

11. Title VI

I. Did the recipient prepare and submit a Title VI program?

APPLICABILITY

- All recipients

INDICATOR(S) OF COMPLIANCE

- a. Submission
- b. Revisions

POTENTIAL DEFICIENCY DETERMINATION(S)

- Title VI program not submitted
- Revisions to Title VI program not made

11. Title VI

- 2. Does the recipient provide meaningful access to LEP persons?**

APPLICABILITY

- All recipients**

INDICATOR(S) OF COMPLIANCE

- a. LAP implementation**

POTENTIAL DEFICIENCY DETERMINATION(S)

- Language assistance plan deficiencies**

11. Title VI

3. Does the recipient notify the public of its rights under Title VI?

APPLICABILITY

- All recipients

INDICATOR(S) OF COMPLIANCE

- a. Dissemination
- b. Translation

POTENTIAL DEFICIENCY DETERMINATION(S)

- Title VI public notification not disseminated
- Title VI public notification translation not provided

11. Title VI

4. Does the recipient implement complaint procedures as described in its Title VI program?

APPLICABILITY

- All recipients

INDICATOR(S) OF COMPLIANCE

- a. Forms and instructions
- b. Dissemination
- c. Translations
- d. Complaint processing

POTENTIAL DEFICIENCY DETERMINATION(S)

- Title VI complaint process not implemented in accordance with Title VI program

11. Title VI

5. Has the recipient implemented the public participation plan from its Title VI program in its public participation activities?

APPLICABILITY

- All recipients

INDICATOR(S) OF COMPLIANCE

- a. Public participation and outreach activities

POTENTIAL DEFICIENCY DETERMINATION(S)

- Title VI public participation plan not implemented

11. Title VI

6. Does the recipient monitor its subrecipients for compliance with Title VI requirements?

APPLICABILITY

- Recipients with subrecipients

INDICATOR(S) OF COMPLIANCE

- a. Subrecipient Title VI plans
- b. Subrecipient monitoring

POTENTIAL DEFICIENCY DETERMINATION(S)

- Subrecipient Title VI plans not reviewed or not reviewed for required elements
- Insufficient oversight of subrecipients Title VI programs

11. Title VI

7. Has the recipient conducted the required equity analysis for any new transit facilities sited since the last Comprehensive Review?

APPLICABILITY

- All recipients

INDICATOR(S) OF COMPLIANCE

- a. New transit facilities
- b. Equity analysis completion
- c. Equity analysis elements

POTENTIAL DEFICIENCY DETERMINATION(S)

- Title VI equity analysis not conducted for facility site or location
- Incomplete equity analysis for facility site or location determination

11. Title VI

8. Has the recipient evaluated fare and major service changes and monitored transit service?

APPLICABILITY

- Recipients that operate 50 vehicles in peak fixed-route service and operate in a UZA of 200,000 or more in population

INDICATOR(S) OF COMPLIANCE

- a. Applicability
- b. Fare or major service change
- c. New fixed-guideway service
- d. Service
- e. Amenities

11. Title VI

8. Has the recipient evaluated fare and major service changes and monitored transit service?

POTENTIAL DEFICIENCY DETERMINATION(S)

- Impact of fare and/or service changes not adequately examined
- Impact of fare and/or service changes not reviewed by governing body
- New Starts or new fixed guideway service and equity analyses not completed
- Not implementing Title VI monitoring of service or amenities
- Policy-making officials' review of Title VI monitoring not evident

11. Title VI

9. Does the recipient include the needs of minorities in planning activities; document that it passes FTA funds through to subrecipients without regard to race, color, or national origin; and assure that minority populations are not being denied the benefits of or excluded from participation in FTA-funded programs?

APPLICABILITY

- States and MPOs

INDICATOR(S) OF COMPLIANCE

- a. Planning process engagement
- b. Identification of needs
- c. Subrecipient award process
- d. Subrecipient application assistance

11. Title VI

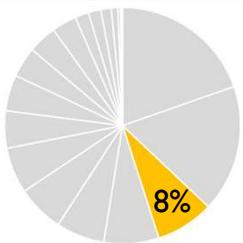
9. Does the recipient include the needs of minorities in planning activities; document that it passes FTA funds through to subrecipients without regard to race, color, or national origin; and assure that minority populations are not being denied the benefits of or excluded from participation in FTA-funded programs?

POTENTIAL DEFICIENCY DETERMINATION(S)

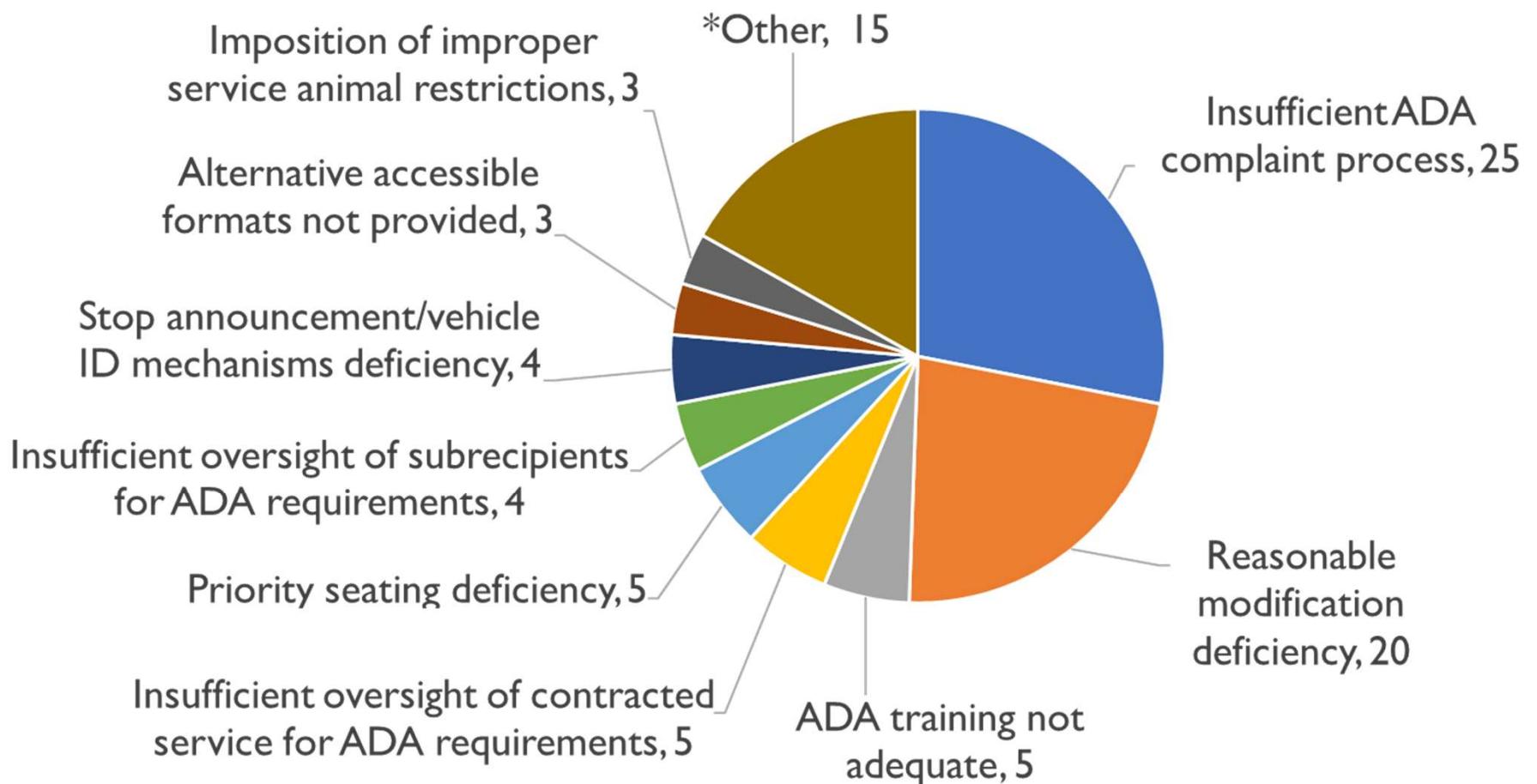
- Needs of minority communities not identified in statewide or metropolitan planning process
- Minority communities not included in the statewide or metropolitan transportation planning process
- No basis for determining equitable distribution of funds
- Assistance not provided to potential subrecipients

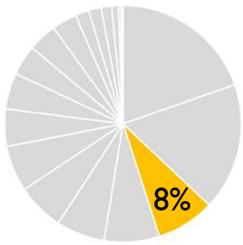
11. Title VI

- Information needed from recipient
- Issues/areas of concern for FTA awareness
- Questions?



12. ADA - General





12. ADA - General

*Other:

- Alternative accessible service not provided (2)
- Insufficient ADA complaint record retention (2)
- Lift/ramp deployment deficiency (2)
- Route-deviation service not provided/promoted to the general public (2)
- Weight/size limitations on wheelchairs (2)
- Facility accessibility standards deficiency (1)
- Ferry service safety information provision deficiencies (1)
- Inappropriate conditions required for transportation of wheelchairs (1)
- Insufficient monitoring of operations for ADA service provisions (1)
- Vehicles with inoperative lift/ramp not removed from service (1)

12. ADA - General

- I. Does the recipient track, resolve, and respond to ADA-related complaints?

APPLICABILITY

- All recipients

INDICATOR(S) OF COMPLIANCE

- a. Process
- b. Identification
- c. Public availability
- d. Accessibility
- e. Resolution
- f. Retention

12. ADA - General

- I. Does the recipient track, resolve, and respond to ADA-related complaints?

POTENTIAL DEFICIENCY DETERMINATION(S)

- Insufficient ADA complaint process
- Insufficient ADA complaint record retention

12. ADA - General

2. Do all bus and rail vehicles acquired for use in fixed-route service by public entities since the last Comprehensive Review meet the accessibility requirements of 49 CFR part 38?

APPLICABILITY

- All recipients

INDICATOR(S) OF COMPLIANCE

- a. New vehicles
- b. Used vehicles
- c. Remanufactured vehicles

12. ADA - General

2. Do all bus and rail vehicles acquired for use in fixed-route service by public entities since the last Comprehensive Review meet the accessibility requirements of 49 CFR part 38?

POTENTIAL DEFICIENCY DETERMINATION(S)

- New vehicle accessibility standards deficiency
- Used vehicle accessibility standards deficiency
- Remanufactured vehicle accessibility standards deficiency

12. ADA - General

3. Are vehicles used in contracted fixed-route service, including microtransit and commuter bus service, accessible?

APPLICABILITY

- Recipients who contract for fixed-route service

INDICATOR(S) OF COMPLIANCE

- a. Contract specifications

POTENTIAL DEFICIENCY DETERMINATION(S)

- Contracted service vehicle accessibility standards deficiency

12. ADA - General

4. Since the last Comprehensive Review, if vehicles were purchased for demand-response service, other than for ADA complementary paratransit service, were the requirements of 49 CFR part 37 met?

APPLICABILITY

- Recipients who provide demand-response service

INDICATOR(S) OF COMPLIANCE

- a. Equivalent service documentation

POTENTIAL DEFICIENCY DETERMINATION(S)

- Demand-response vehicle accessibility standards deficiency

12. ADA - General

5. Since the last Comprehensive Review, if the recipient has engaged the services of a taxi company, transportation network company, or other private entity to operate demand-response service, including microtransit, on its behalf or in conjunction with its services, is equivalent service provided?

APPLICABILITY

- Recipients who provide demand-response service

INDICATOR(S) OF COMPLIANCE

- a. Equivalent service

POTENTIAL DEFICIENCY DETERMINATION(S)

- Demand-response service deficiency

12. ADA - General

6. Are facilities for providing public transportation that were constructed since the last Comprehensive Review readily accessible to and usable by individuals with disabilities?

APPLICABILITY

- Recipients who provide service

INDICATOR(S) OF COMPLIANCE

- a. Facility accessibility

POTENTIAL DEFICIENCY DETERMINATION(S)

- New facility accessibility standards deficiency

12. ADA - General

7. Are facilities for providing public transportation that were altered since the last Comprehensive Review readily accessible to and usable by individuals with disabilities?

APPLICABILITY

- Recipients who provide service

INDICATOR(S) OF COMPLIANCE

- a. Facility accessibility
- b. Maximum extent feasible
- c. Accessible path of travel

POTENTIAL DEFICIENCY DETERMINATION(S)

- Facility accessibility standards deficiency

12. ADA - General

8. Does the recipient follow ADA provision of service requirements?

APPLICABILITY

- Recipients who provide service

INDICATOR(S) OF COMPLIANCE

- a. Stop announcements
- b. Route identification
- c. Service animals
- d. Priority seating
- e. Wheelchair locations

12. ADA - General

8. Does the recipient follow ADA provision of service requirements?

INDICATOR(S) OF COMPLIANCE

- f. Lift or ramp deployment
- g. Respirators, concentrators, portable oxygen
- h. Accessible information
- i. Reasonable modification
- j. Training
- k. Monitoring

12. ADA - General

8. Does the recipient follow ADA provision of service requirements?

POTENTIAL DEFICIENCY DETERMINATION(S)

- Stop announcement/vehicle ID mechanisms deficiency
- Imposition of improper service animal restrictions
- Priority seating deficiency
- Weight/size limitations on wheelchairs
- Inappropriate conditions required for transportation of wheelchairs
- Lift/ramp deployment deficiency
- Portable oxygen and respirators deficiency
- Alternative accessible formats not provided
- Reasonable modification deficiency
- ADA training not adequate
- Insufficient monitoring of operations for ADA service provision

12. ADA - General

9. Does the recipient accommodate individuals who rely on accessible equipment when the equipment is inoperative?

APPLICABILITY

- Recipients who provide service

INDICATOR(S) OF COMPLIANCE

- a. Elevators
- b. Wheelchair lifts and ramps
- c. Lift and ramp failures
- d. Alternative accessible service

12. ADA - General

9. Does the recipient accommodate individuals who rely on accessible equipment when the equipment is inoperative?

POTENTIAL DEFICIENCY DETERMINATION(S)

- Elevator service deficiency
- Vehicles with inoperative lift/ramp placed in service
- Lift/ramp failures not reported immediately
- Vehicles with inoperative lift/ramp not removed from service
- Alternative accessible service not provided
- Usability of accessible paths not maintained

12. ADA - General

10. Is general route-deviation service open to the general public?

APPLICABILITY

- Route-deviation service to the general public

INDICATOR(S) OF COMPLIANCE

- a. Public information
- b. Equivalent service documentation

POTENTIAL DEFICIENCY DETERMINATION(S)

- Route-deviation service not provided/promoted to the general public
- Equivalent route-deviation service not provided

12. ADA - General

II. Is rail service accessible to and usable by persons with disabilities?

APPLICABILITY

- Rail operations, including light, rapid, and commuter

INDICATOR(S) OF COMPLIANCE

- a. Train accessibility
- b. Single-point accessible boarding
- c. Between-car barriers
- d. New commuter rail stations

12. ADA - General

II. Is rail service accessible to and usable by persons with disabilities?

POTENTIAL DEFICIENCY DETERMINATION(S)

- One-car-per-train rule deficiency
- Accessible boarding not provided
- Lacking between-car barriers
- Commuter rail level boarding deficiency

12. ADA - General

12. Is ferry service accessible to and usable by persons with disabilities?

APPLICABILITY

- Ferry operations

INDICATOR(S) OF COMPLIANCE

- a. Complaint resolution official availability
- b. Reasonable modification
- c. Number limitations
- d. Medical documentation or advance warning
- e. Required travel companion

12. ADA - General

12. Is ferry service accessible to and usable by persons with disabilities?

INDICATOR(S) OF COMPLIANCE

- f. Accessible service to and from the ferry
- g. Passenger assistance to and from the ferry
- h. Passenger assistance boarding and disembarking
- i. Movement restrictions
- j. Briefing accessibility

12. ADA - General

12. Is ferry service accessible to and usable by persons with disabilities?

POTENTIAL DEFICIENCY DETERMINATION(S)

- CRO missing or lacking authority
- Reasonable modification not provided for ferry service
- Limits on passengers with disabilities on ferry service
- Excessive requirements placed on passenger with disabilities on ferry service
- Non-accessible transportation to/from vessel
- Assistance not provided to passengers with disabilities
- Ferry service safety information provision deficiencies
- Restrictions on passengers with wheelchairs or mobility aids

12. ADA - General

13. Does the recipient monitor service provided under contract or other arrangement or relationship, or service provided by another public entity on the recipient's behalf for compliance with the US DOT ADA regulations?

APPLICABILITY

- Recipients who contract out, lease vehicles, or otherwise rely on another public entity to provide service

INDICATOR(S) OF COMPLIANCE

1. Complaint procedures
2. Vehicle acquisition
3. Facility construction and alterations

12. ADA - General

13. Does the recipient monitor service provided under contract or other arrangement or relationship, or service provided by another public entity on the recipient's behalf for compliance with the US DOT ADA regulations?

INDICATOR(S) OF COMPLIANCE

4. Service provision, including training
5. Maintenance of accessible features
6. Route-deviation service
7. Rail service
8. Ferry service

12. ADA - General

13. Does the recipient monitor service provided under contract or other arrangement or relationship, or service provided by another public entity on the recipient's behalf for compliance with the US DOT ADA regulations?

POTENTIAL DEFICIENCY DETERMINATION(S)

- Insufficient oversight of contracted service for ADA requirements

12. ADA - General

- I4. Does the recipient monitor service provided by subrecipients for compliance with the US DOT ADA regulations?**

APPLICABILITY

- Recipients with subrecipients

INDICATOR(S) OF COMPLIANCE

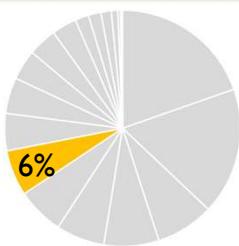
- a. Oversight
- b. Certifications of equivalent service

POTENTIAL DEFICIENCY DETERMINATION(S)

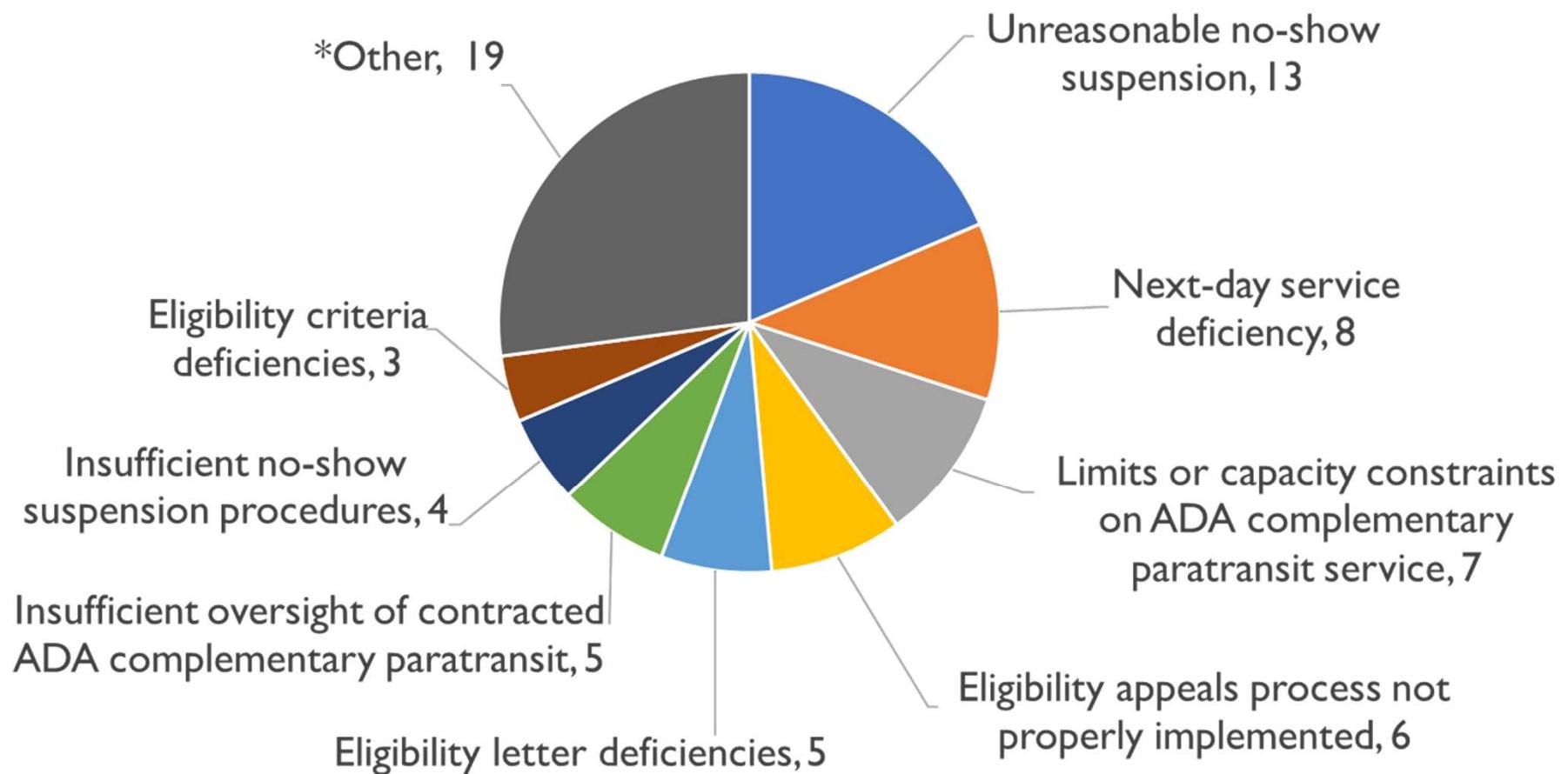
- Insufficient oversight of subrecipients for ADA requirements
- Insufficient oversight of ADA vehicle accessibility requirements

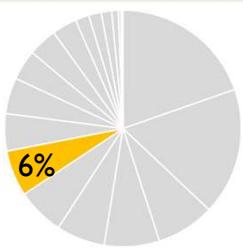
12. ADA - General

- Information needed from recipient
- Issues/areas of concern for FTA awareness
- Questions?



13. ADA – Complementary Paratransit





13. ADA – Complementary Paratransit

*Other:

- Failure to provide complementary paratransit (2)
- Insufficient oversight of subrecipients for ADA complementary paratransit (2)
- Paratransit fare deficiency (2)
- Personal care attendant deficiencies (2)
- Restrictions on companions (2)
- Service not provided to visitors with apparent or documented disabilities (2)
- ADA complementary paratransit scheduling deficiencies (1)
- ADA complementary paratransit service denial tracking deficiencies (1)
- Financial penalty imposed for no-shows (1)
- Origin-to-destination service deficiency (1)
- Paratransit service hours and days do not match those of fixed-route service (1)
- Service to visitors not provided for at least 21 days (1)
- Suspension based on no-shows not under rider control (1)

13. ADA – Complementary Paratransit

I. Is the recipient a public operator of fixed-route service?

APPLICABILITY

- Public providers of fixed-route service (other than commuter rail or commuter bus)
- Recipients that have subrecipients who are public providers of fixed-route service

INDICATOR(S) OF COMPLIANCE

- a. Applicability
- b. ADA complementary paratransit service

POTENTIAL DEFICIENCY DETERMINATION(S)

- Failure to provide complementary paratransit

13. ADA – Complementary Paratransit

2. Does the recipient's paratransit eligibility determination process meet ADA complementary paratransit service requirements?

APPLICABILITY

- Public providers of fixed-route service

INDICATOR(S) OF COMPLIANCE

- a. 21-day timeframe
- b. Determination letters
- c. Appeals
- d. Eligibility criteria
- e. PCAs

13. ADA – Complementary Paratransit

2. Does the recipient's paratransit eligibility determination process meet ADA complementary paratransit service requirements?

POTENTIAL DEFICIENCY DETERMINATION(S)

- Presumptive eligibility deficiencies
- Eligibility letter deficiencies
- Eligibility appeals process not properly implemented
- Eligibility criteria deficiencies
- Personal care attendant deficiencies

13. ADA – Complementary Paratransit

3. Does the recipient provide ADA complementary paratransit service to out-of-town visitors?

APPLICABILITY

- Public providers of fixed-route service

INDICATOR(S) OF COMPLIANCE

- a. Certified visitors
- b. Non-certified visitors
- c. 21 days of service
- d. Visitors' service requests

13. ADA – Complementary Paratransit

3. Does the recipient provide ADA complementary paratransit service to out-of-town visitors?

POTENTIAL DEFICIENCY DETERMINATION(S)

- Home jurisdiction eligibility documentation not accepted or not accepted directly from the visitor
- Service not provided to visitors with apparent or documented disabilities
- Service to visitors not provided for at least 21 days
- Service to visitors not provided under same conditions as eligible riders

13. ADA – Complementary Paratransit

4. Does the recipient's paratransit service meet the ADA complementary paratransit service requirements?

APPLICABILITY

- Public providers of fixed-route service

INDICATOR(S) OF COMPLIANCE

- a. Origin-to-destination service
- b. Service area
- c. Next-day service
- d. Fare
- e. Trip purpose
- f. Days and hours
- g. Companions



FEDERAL TRANSIT ADMINISTRATION

13. ADA – Complementary Paratransit

4. Does the recipient's paratransit service meet the ADA complementary paratransit service requirements?

POTENTIAL DEFICIENCY DETERMINATION(S)

- Origin-to-destination service deficiency
- Service area deficiency
- Next-day service deficiency
- Paratransit fare deficiency
- Trip purpose restrictions or prioritization
- Paratransit service hours and days do not match those of fixed-route service
- Restrictions on companions

13. ADA – Complementary Paratransit

5. If the recipient has a no-show/late cancellation policy for ADA complementary paratransit service, does it meet the ADA complementary paratransit service requirements?

APPLICABILITY

- Public providers of fixed-route service

INDICATOR(S) OF COMPLIANCE

- a. Suspension period
- b. Financial penalties
- c. No-show assessments
- d. Notification/appeal

13. ADA – Complementary Paratransit

5. If the recipient has a no-show/late cancellation policy for ADA complementary paratransit service, does it meet the ADA complementary paratransit service requirements?

POTENTIAL DEFICIENCY DETERMINATION(S)

- Unreasonable no-show suspension
- Financial penalty imposed for no-shows
- Suspension based on no-shows not under the rider control
- Insufficient no-show suspension procedures

13. ADA – Complementary Paratransit

6. Does the recipient place limits on the availability of service to ADA paratransit eligible individuals?

APPLICABILITY

- Public providers of fixed-route service

INDICATOR(S) OF COMPLIANCE

- a. Negotiated trip times
- b. Restrictions on number of trips
- c. Waiting lists
- d. Availability of service

13. ADA – Complementary Paratransit

6. Does the recipient place limits on the availability of service to ADA paratransit eligible individuals?

POTENTIAL DEFICIENCY DETERMINATION(S)

- ADA complementary paratransit scheduling deficiencies
- ADA complementary paratransit service denial tracking deficiencies
- ADA complementary paratransit service restricted for eligible individuals
- ADA complementary paratransit service waiting lists
- Limits or capacity constraints on ADA complementary paratransit service

13. ADA – Complementary Paratransit

7. Does the recipient monitor service provided under contract or other arrangement or relationship, or service provided by another entity on the recipient's behalf for compliance with the US DOT ADA paratransit regulations?

APPLICABILITY

- Public providers of fixed-route service

INDICATOR(S) OF COMPLIANCE

- a. Oversight

POTENTIAL DEFICIENCY DETERMINATION(S)

- Insufficient oversight of contracted ADA complementary paratransit

13. ADA – Complementary Paratransit

8. Does the recipient monitor ADA complementary paratransit service provided by subrecipients for compliance with the US DOT ADA regulations?

APPLICABILITY

- Recipients with subrecipients that are public providers of fixed-route service

INDICATOR(S) OF COMPLIANCE

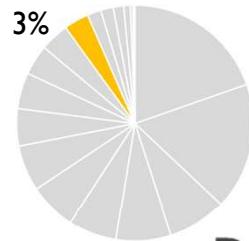
- a. Oversight

POTENTIAL DEFICIENCY DETERMINATION(S)

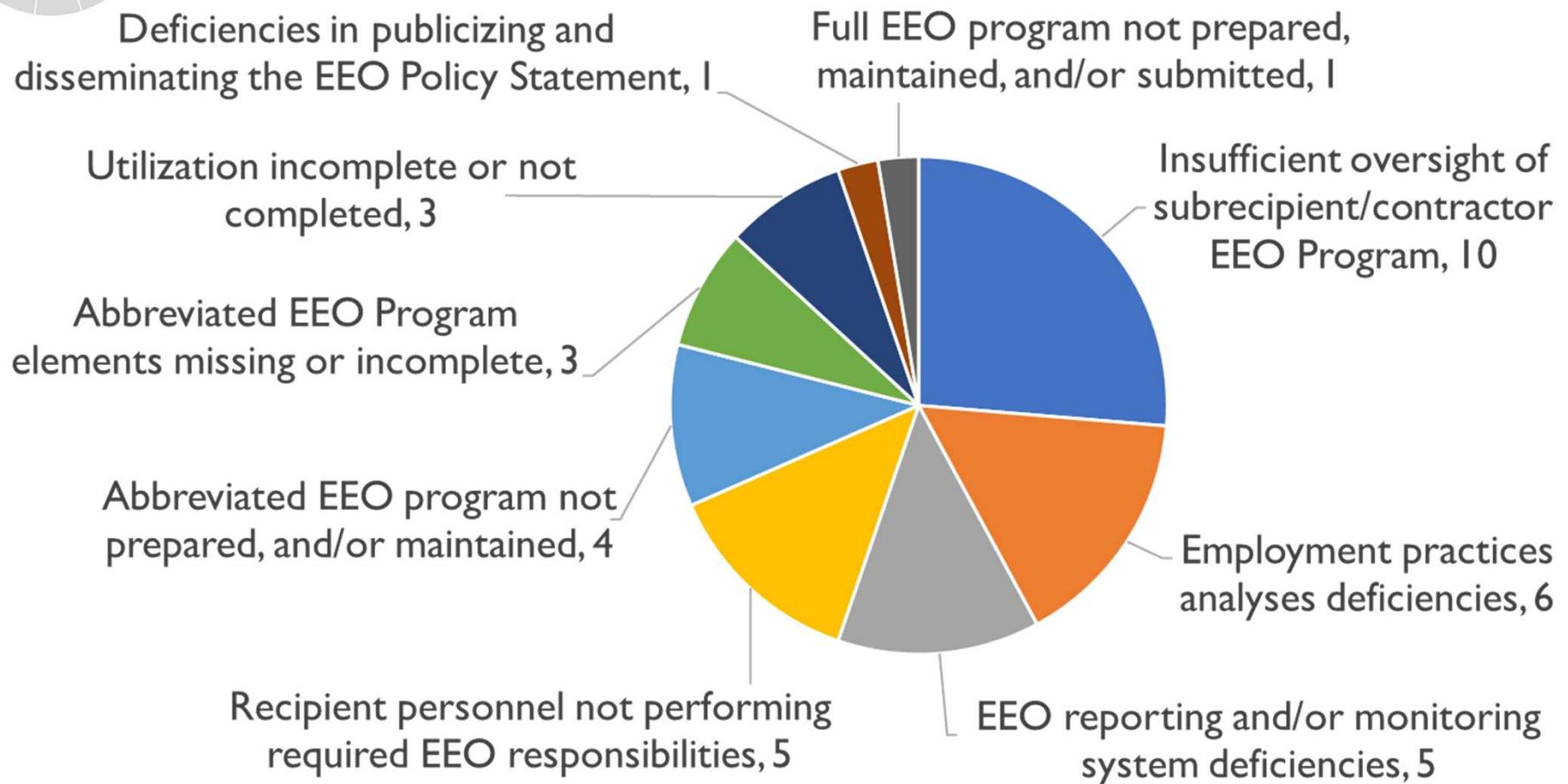
- Insufficient oversight of subrecipients for ADA complementary paratransit

13. ADA – Complementary Paratransit

- Information needed from recipient
- Issues/areas of concern for FTA awareness
- Questions?



14. EEO



14. EEO

- I. Has the recipient developed the appropriate EEO program?

APPLICABILITY

- All recipients

INDICATOR(S) OF COMPLIANCE

- a. Full EEO program
- b. Abbreviated EEO program
- c. EEO program revisions

POTENTIAL DEFICIENCY DETERMINATION(S)

- Full EEO program not prepared, maintained, and/or submitted
- Abbreviated EEO program not prepared or maintained
- Revisions to EEO program not made

14. EEO

2. Does the recipient's abbreviated EEO Program contain the required elements?

APPLICABILITY

- Recipients that meet the abbreviated EEO program threshold

INDICATOR(S) OF COMPLIANCE

- a. Required elements

POTENTIAL DEFICIENCY DETERMINATION(S)

- Abbreviated EEO program elements missing or incomplete

14. EEO

3. Does the recipient ensure proper personnel assignments are made to ensure EEO Program implementation?

APPLICABILITY

- Recipients that meet the EEO program threshold

INDICATOR(S) OF COMPLIANCE

- a. EEO officer reporting relationship and contact information
- b. Designated program personnel

POTENTIAL DEFICIENCY DETERMINATION(S)

- Inadequate designation of EEO officer
- Recipient personnel not performing required EEO responsibilities

14. EEO

4. Does the recipient ensure the required elements of its EEO Program are properly implemented?

APPLICABILITY

- Recipients that meet the EEO program threshold

INDICATOR(S) OF COMPLIANCE

- a. EEO policy dissemination
- b. Narrative and statistical assessment of employment practices
- c. Monitoring and reporting
- d. Utilization analysis (full plans only)
- e. Underutilization strategies (full plans only)

14. EEO

4. Does the recipient ensure the required elements of its EEO program are properly implemented?

POTENTIAL DEFICIENCY DETERMINATION(S)

- Deficiencies in publicizing and disseminating the EEO policy statement
- Employment practices analyses deficiencies
- EEO reporting and/or monitoring system deficiencies
- Utilization incomplete or not completed (full plans only)
- EEO goal deficiencies (full plans only)

14. EEO

5. Does the recipient provide oversight of subrecipients and/or contractors who meet the EEO Program threshold?

APPLICABILITY

- Recipients with subrecipients/contractors

INDICATOR(S) OF COMPLIANCE

- a. EEO plans of subrecipients/contractors

POTENTIAL DEFICIENCY DETERMINATION(S)

- Insufficient oversight of subrecipient/contractor EEO program

14. EEO

- Information needed from recipient
- Issues/areas of concern for FTA awareness
- Questions?

15. School Bus

No FY2019 TR findings.

15. School Bus

- I. If the recipient operates school bus service, does it meet one of the allowable exemptions, have FTA approval, and use only locally-funded assets?

APPLICABILITY

- Recipients that provide bus service

INDICATOR(S) OF COMPLIANCE

- a. School bus service
- b. Administrator authorization
- c. Assets used to provide the service

15. School Bus

- I. If the recipient operates school bus service, does it meet one of the allowable exemptions, have FTA approval, and use only locally-funded assets?

POTENTIAL DEFICIENCY DETERMINATION(S)

- Operates school bus service without FTA authorization
- FTA-funded equipment used in school bus service

15. School Bus

2. If the recipient operates tripper service, does it meet FTA requirements?

APPLICABILITY

- Recipients that provide bus service

INDICATOR(S) OF COMPLIANCE

- a. Tripper service operated?
- b. Tripper service characteristics

POTENTIAL DEFICIENCY DETERMINATION(S)

- Tripper violations

15. School Bus

3. Does the recipient ensure that subrecipients, contractors, and lessees that operate school bus service do so in accordance with the FTA regulations?

APPLICABILITY

- Recipients with subrecipients, contractors, or lessees

INDICATOR(S) OF COMPLIANCE

- a. Oversight of contractor/lessees
- b. Oversight of subrecipients

POTENTIAL DEFICIENCY DETERMINATION(S)

- Insufficient oversight of contractors and lessees who operate school bus service with FTA-funded assets
- Insufficient oversight of subrecipients who operate school bus service

15. School Bus

4. Does the recipient ensure that subrecipients, contractors, and lessees that operate tripper service in accordance with the FTA regulations?

APPLICABILITY

- Recipients with subrecipients, contractors, or lessees

INDICATOR(S) OF COMPLIANCE

- a. Oversight of contractor/lessees
- b. Oversight of subrecipients

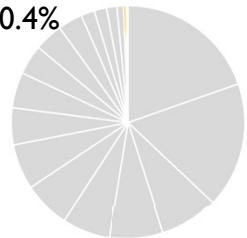
POTENTIAL DEFICIENCY DETERMINATION(S)

- Insufficient oversight of subrecipients, contractors, and lessees who operate tripper service

15. School Bus

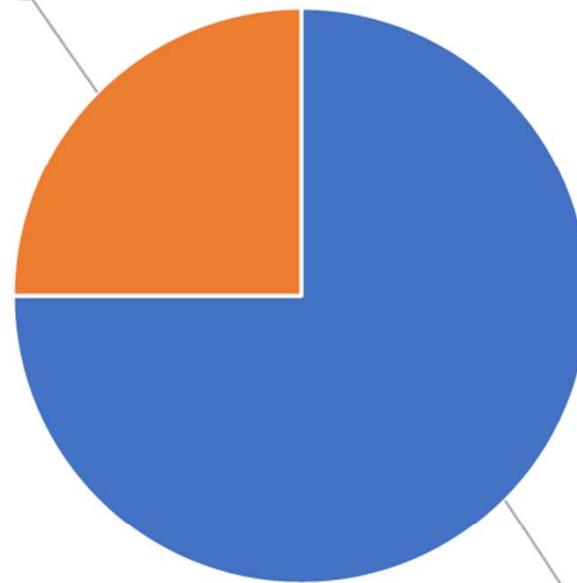
- Information needed from recipient
- Issues/areas of concern for FTA awareness
- Questions?

0.4%



16. Charter Bus

Charter service not
operated under exemption
or exception, I



Charter reports not
submitted on time, 3

16. Charter Bus

- I. Does the recipient operate or maintain charter bus service outside of an exemption or exception?

APPLICABILITY

- Recipients that provide bus service

INDICATOR(S) OF COMPLIANCE

- a. Charter service
- b. Exemptions
- c. Exceptions
- d. Locally-funded assets

POTENTIAL DEFICIENCY DETERMINATION(S)

- Charter service not operated under exemption or exception
- FTA-funded facility(ies) used in charter service

16. Charter Bus

2. If the recipient operates charter bus service under an authorized exception, does it maintain notices and records and has it reported charter bus service to the FTA on time?

APPLICABILITY

- Recipients that provide bus service

INDICATOR(S) OF COMPLIANCE

- a. Records
- b. Reporting

POTENTIAL DEFICIENCY DETERMINATION(S)

- Charter bus records and notices not maintained
- Charter reports not submitted on time

16. Charter Bus

3. Does the recipient ensure subrecipient, contractor, or lessee compliance with charter bus service and records requirements?

APPLICABILITY

- Recipients with subrecipients, contractors, or lessees

INDICATOR(S) OF COMPLIANCE

- a. Oversight of contractor and lessee charter service
- b. Oversight of contractor and lessee records
- c. Oversight of subrecipient charter service
- d. Oversight of subrecipient records

16. Charter Bus

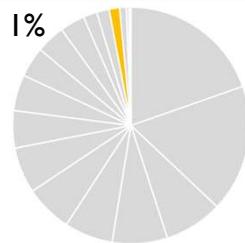
3. Does the recipient ensure subrecipient, contractor, or lessee compliance with charter bus service and records requirements?

POTENTIAL DEFICIENCY DETERMINATION(S)

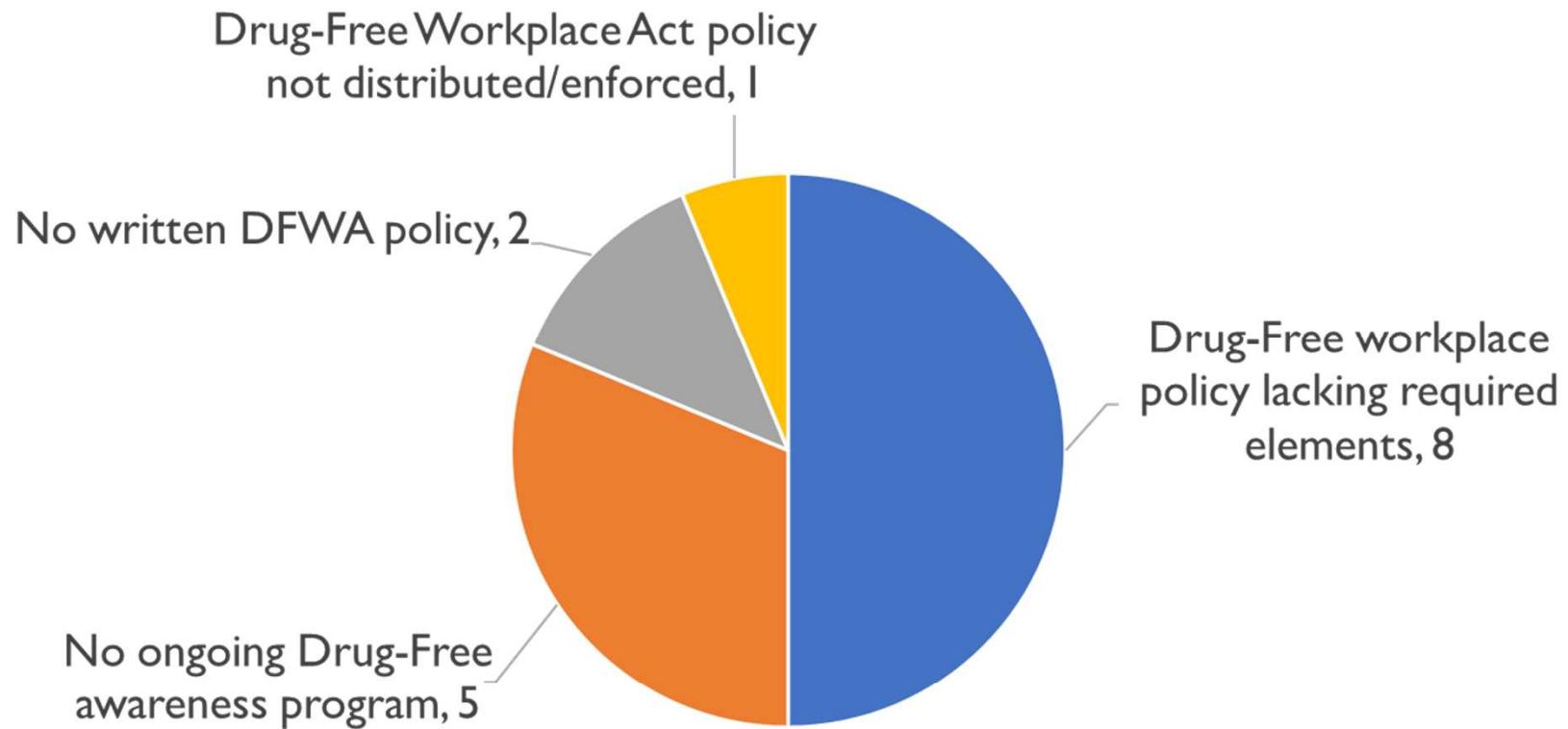
- Insufficient oversight of contractor and/or lessee charter service
- Insufficient oversight of contractor and/or lessee charter service records and reporting
- Insufficient oversight of subrecipient charter service
- Insufficient oversight of subrecipient charter records and reporting

16. Charter Bus

- Information needed from recipient
- Issues/areas of concern for FTA awareness
- Questions?



17. Drug-Free Workplace Act



17. Drug-Free Workplace Act

- I. Does the recipient have a written policy as prescribed in the Drug-Free Workplace Act that is distributed to all award-related employees?

APPLICABILITY

- All recipients

INDICATOR(S) OF COMPLIANCE

- a. Written policy
- b. Policy elements
- c. Policy distribution

17. Drug-Free Workplace Act

- I. Does the recipient have a written policy as prescribed in the Drug-Free Workplace Act that is distributed to all award-related employees?

POTENTIAL DEFICIENCY DETERMINATION(S)

- No written DFWA policy
- Drug-free workplace policy lacking required elements
- Drug-Free Workplace Act Policy not distributed/enforced

17. Drug-Free Workplace Act

2. Does the recipient have an on-going drug-free awareness program?

APPLICABILITY

- All recipients

INDICATOR(S) OF COMPLIANCE

- a. Employee information

POTENTIAL DEFICIENCY DETERMINATION(S)

- No on-going drug-free awareness program

17. Drug-Free Workplace Act

3. Does the recipient report to FTA all criminal convictions of award-related employees for a drug statute violation that occurred in the workplace since the last Comprehensive Review?

APPLICABILITY

- All recipients

INDICATOR(S) OF COMPLIANCE

- a. Reporting by employee
- b. Reporting to FTA
- c. Employee discipline

POTENTIAL DEFICIENCY DETERMINATION(S)

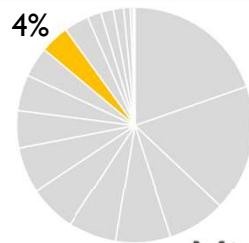


FEDERAL TRANSIT ADMINISTRATION

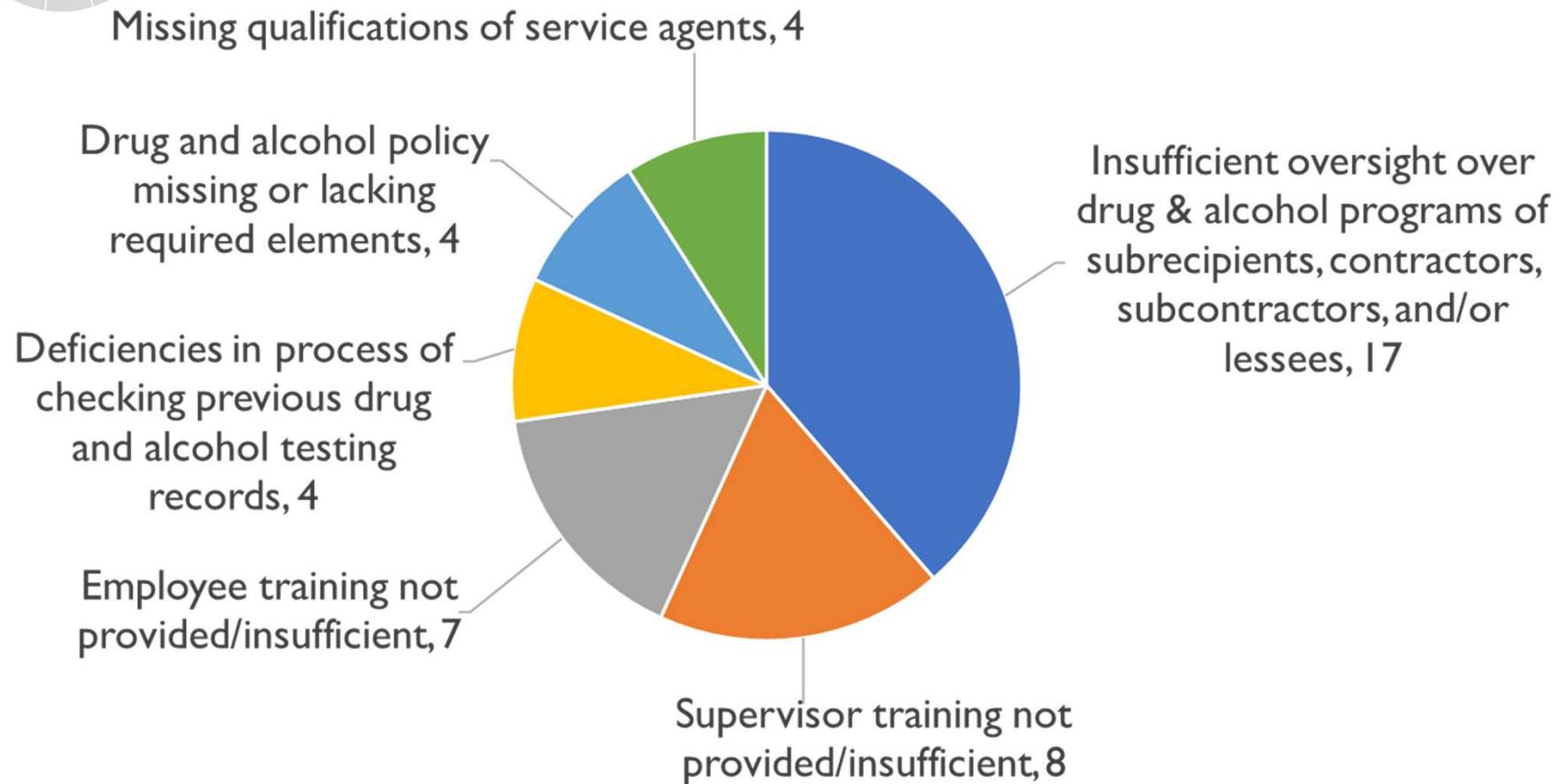
- Inadequate criminal drug statute violation reporting

17. Drug-Free Workplace Act

- Information needed from recipient
- Issues/areas of concern for FTA awareness
- Questions?



18. Drug and Alcohol Program



18. Drug and Alcohol Program

- I. Does the recipient have a board-adopted drug and alcohol misuse policy?

APPLICABILITY

- Recipients with safety-sensitive employees excluding commuter rail-only providers

INDICATOR(S) OF COMPLIANCE

- a. Drug and alcohol policy
- b. Board adoption
- c. Policy elements
- d. Policy distribution

18. Drug and Alcohol Program

- I. Does the recipient have a board-adopted drug and alcohol misuse policy?

POTENTIAL DEFICIENCY DETERMINATION(S)

- Drug and alcohol policy missing or lacking required elements

18. Drug and Alcohol Program

2. Does the recipient provide the minimum required training for all covered employees and supervisors/officers?

APPLICABILITY

- Recipients with safety-sensitive employees excluding commuter rail-only providers

INDICATOR(S) OF COMPLIANCE

- a. Employee training
- b. Employee training topics
- c. Supervisory training
- d. Supervisory training topics

18. Drug and Alcohol Program

2. Does the recipient provide the minimum required training for all covered employees and supervisors/officers?

POTENTIAL DEFICIENCY DETERMINATION(S)

- Employee training not provided/insufficient
- Supervisor training not provided/insufficient

18. Drug and Alcohol Program

3. Does the recipient obtain drug and alcohol testing records from employees' prior employers and are all records stored in a secure location with controlled access?

APPLICABILITY

- Recipients with safety-sensitive employees excluding commuter rail-only providers

INDICATOR(S) OF COMPLIANCE

- a. Prior employment records
- b. Records storage

18. Drug and Alcohol Program

3. Does the recipient obtain drug and alcohol testing records from employees' prior employers and are all records stored in a secure location with controlled access?

POTENTIAL DEFICIENCY DETERMINATION(S)

- Deficiencies in process of checking previous drug and alcohol testing records
- Drug and alcohol program records not secure

18. Drug and Alcohol Program

4. Do all medical review officers, substance abuse professionals, breath alcohol technicians, and collectors in the drug and alcohol testing program have the required certifications?

APPLICABILITY

- Recipients with safety-sensitive employees excluding commuter rail-only providers

INDICATOR(S) OF COMPLIANCE

- a. Qualifications

POTENTIAL DEFICIENCY DETERMINATION(S)

- Missing qualifications of service agents

18. Drug and Alcohol Program

5. Does the recipient ensure that the drug and alcohol testing programs of subrecipients, contractors, subcontractors, and lessees with safety-sensitive employees administer their drug and alcohol programs in accordance with 49 CFR parts 40 and 655?

APPLICABILITY

- Recipients with subrecipients, contractors, subcontractors, and lessees with safety-sensitive employees

INDICATOR(S) OF COMPLIANCE

- a. Contractor, subcontractor, and lessee MIS reporting
- b. Subrecipient MIS reporting
- c. Service agent qualifications

18. Drug and Alcohol Program

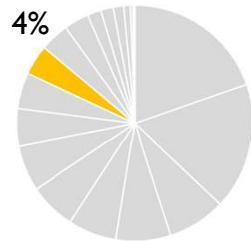
5. Does the recipient ensure that the drug and alcohol testing programs of subrecipients, contractors, subcontractors, and lessees with safety-sensitive employees administer their drug and alcohol programs in accordance with 49 CFR parts 40 and 655?

POTENTIAL DEFICIENCY DETERMINATION(S)

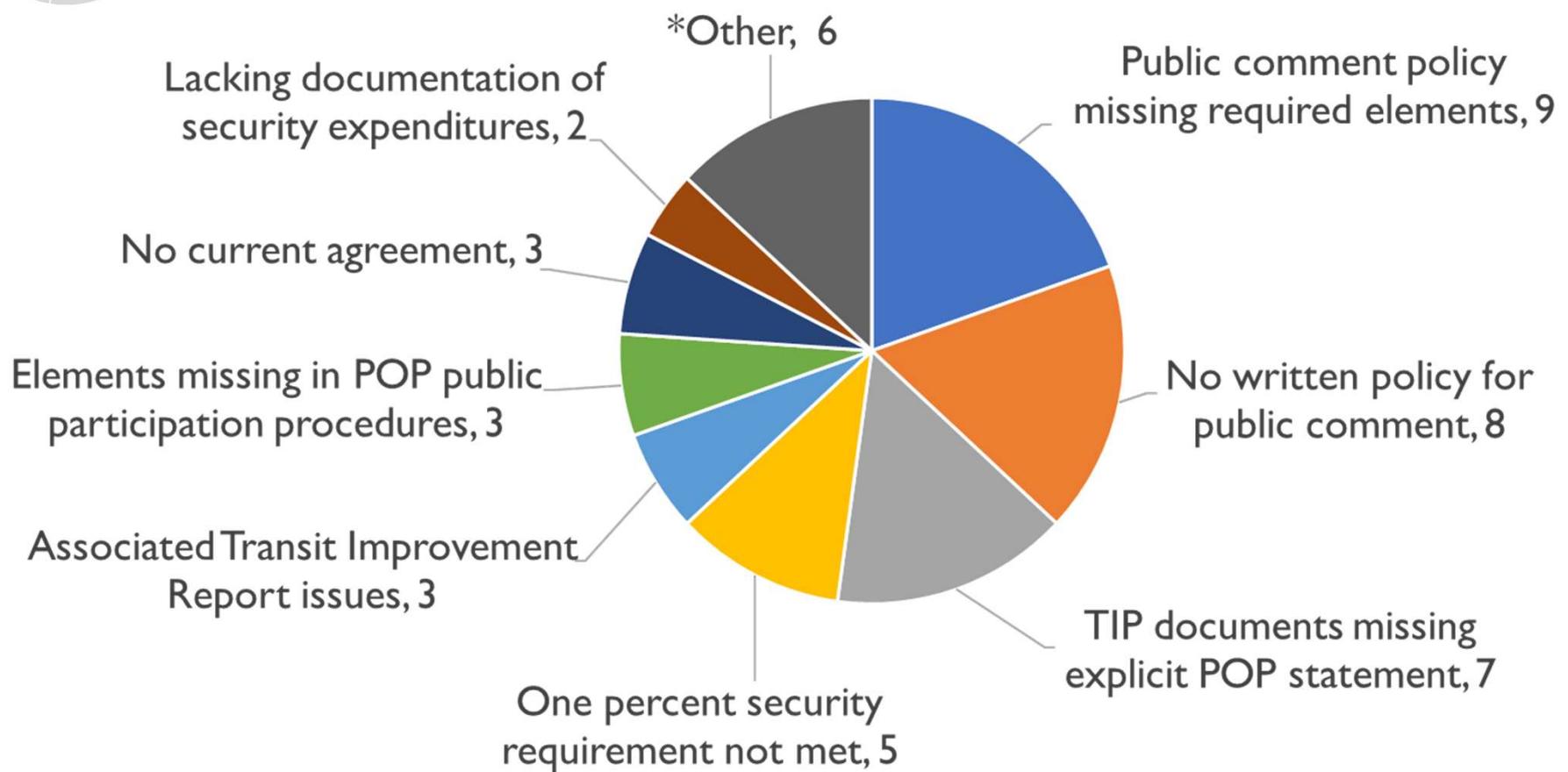
- Insufficient oversight over drug and alcohol programs of subrecipients, contractors, subcontractors, and/or lessees

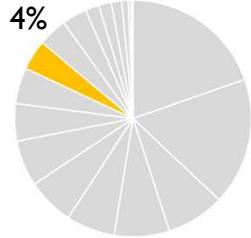
18. Drug and Alcohol Program

- Information needed from recipient
- Issues/areas of concern for FTA awareness
- Questions?



19. Section 5307





19. Section 5307

*Other:

- Associated transit improvement commitments not met (I)
- Deficiencies in agreement with MPO (I)
- Half fare not offered on applicable services (I)
- Half-fare public information not provided (I)
- Insufficient oversight of fare increases and major service reductions (I)
- No MPO public participation plan that describes the minimum elements (I)

19. Section 5307

- I. Does the recipient have a written agreement with the MPO that determines their mutual responsibilities in carrying out the metropolitan planning process?

APPLICABILITY

- Section 5307 recipients who did not receive a PCR during the review period

INDICATOR(S) OF COMPLIANCE

- a. Party to the agreement
- b. Agreement contents

POTENTIAL DEFICIENCY DETERMINATION(S)

- No current agreement
- Deficiencies in agreement with MPO
- All parties not signatory to the MPO agreement

19. Section 5307

2. Does the recipient provide information about its available funding under Section 5307 to the public and provide for public involvement in the POP it proposes to undertake?

APPLICABILITY

- Section 5307 recipients

INDICATOR(S) OF COMPLIANCE

- a. MPO public participation process
- b. POP public participation process

POTENTIAL DEFICIENCY DETERMINATION(S)

- No MPO public participation plan that describes the minimum elements
- TIP documents missing explicit POP statements
- Elements missing in POP public participation procedures

19. Section 5307

3. Does the recipient have a written policy that describes the public comment process on increases in the basic fare structure or implementing a major service reduction that addresses the required elements?

APPLICABILITY

- Section 5307 recipients

INDICATOR(S) OF COMPLIANCE

- a. Written policy
- b. Major service reduction definition
- c. Opportunity for public comment
- d. Public comment consideration
- e. Compliance with policy



FEDERAL TRANSIT ADMINISTRATION

19. Section 5307

3. Does the recipient have a written policy that describes the public comment process on increases in the basic fare structure or implementing a major service reduction that addresses the required elements?

POTENTIAL DEFICIENCY DETERMINATION(S)

- No written policy for public comment
- Public comment policy missing required elements
- Public comment process not followed

19. Section 5307

4. For Section 5307-funded fixed-route service, does the recipient charge no more than half the peak-hour fare for seniors, persons with disabilities, and Medicare cardholders during off-peak hours?

APPLICABILITY

- Recipients with 5307-funded fixed-route service

INDICATOR(S) OF COMPLIANCE

- a. Off-peak-hour fares
- b. Public information
- c. Full and half fares
- d. Peak and off-peak hours

19. Section 5307

4. For Section 5307-funded fixed-route service, does the recipient charge no more than half the peak-hour fare for seniors, persons with disabilities, and Medicare cardholders during off-peak hours?

INDICATOR(S) OF COMPLIANCE

- e. Service not included in half fare program
- f. Proof of eligibility
- g. ID locations

19. Section 5307

4. For Section 5307-funded fixed-route service, does the recipient charge no more than half the peak-hour fare for seniors, persons with disabilities, and Medicare cardholders during off-peak hours?

POTENTIAL DEFICIENCY DETERMINATION(S)

- Half fare not offered on applicable services
- Half-fare information not provided
- Medicare card not accepted for half-fare eligibility

19. Section 5307

5. Does the recipient ensure that subrecipients, contractors, and lessees that receive Section 5307 funds or use Section 5307-funded property comply with Section 5307 half fare and public comment requirements?

APPLICABILITY

- Section 5307 recipients with 5307 subrecipients, contractors, and lessees

INDICATOR(S) OF COMPLIANCE

- a. Oversight of contractors and lessees
- b. Oversight of subrecipients

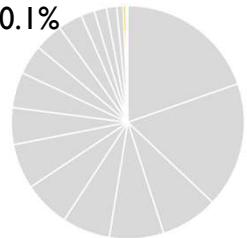
POTENTIAL DEFICIENCY DETERMINATION(S)

- Insufficient oversight of fare increases and major service reductions
- Insufficient oversight of half fare

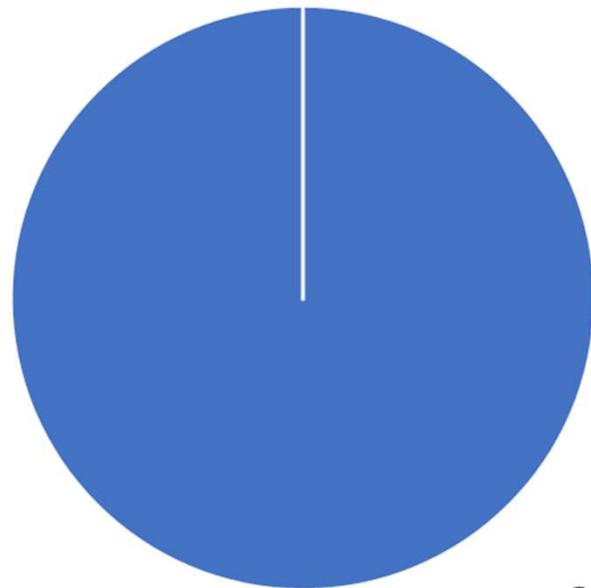
19. Section 5307

- Information needed from recipient
- Issues/areas of concern for FTA awareness
- Questions?

0.1%



20. Section 5310



Section 5310 funds
inappropriately transferred, I

20. Section 5310

- I. Does the distribution of funds meet Section 5310 program requirements?

APPLICABILITY

- State recipients of Section 5310 funds except insular areas

INDICATOR(S) OF COMPLIANCE

- a. Funds tracking
- b. Funds transfers

POTENTIAL DEFICIENCY DETERMINATION(S)

- Section 5310 projects not tracked by apportionment
 - Section 5310 funds inappropriately transferred

20. Section 5310

2. Are at least 55 percent of Section 5310 apportionments applied to “traditional” projects?

APPLICABILITY

- Designated recipients of Section 5310 funds except insular areas

INDICATOR(S) OF COMPLIANCE

- a. 55 percent
- b. Governmental authorities

POTENTIAL DEFICIENCY DETERMINATION(S)

- Section 5310 traditional project requirements not met
- No documentation for governmental authorities

20. Section 5310

3. Are all Section 5310 projects included in a locally developed, coordinated public transit-human service transportation plan per Section 5310 program requirements?

APPLICABILITY

- Section 5310 recipients

INDICATOR(S) OF COMPLIANCE

- a. Plan projects
- b. Plan elements
- c. Plan development

20. Section 5310

3. Are all Section 5310 projects included in a locally developed, coordinated public transit-human service transportation plan per Section 5310 program requirements?

POTENTIAL DEFICIENCY DETERMINATION(S)

- Section 5310 projects not included in coordinated plans
- Coordinated plans missing required elements
- Inadequate public involvement efforts for coordinated plans

20. Section 5310

4. Are all Section 5310 funds used for services that meet the specific needs of seniors and individuals with disabilities?

APPLICABILITY

- Section 5310 recipients

INDICATOR(S) OF COMPLIANCE

- a. Subrecipient service
- b. Directly-operated service

POTENTIAL DEFICIENCY DETERMINATION(S)

- Ineligible Section 5310 services
- Insufficient monitoring of Section 5310 subrecipient eligible services
- Insufficient monitoring of Section 5310 incidental service

20. Section 5310

5. Does the recipient agree in writing to all subrecipient lease agreements, ensure that lease agreements contain required provisions, and ensure leases to private operators are awarded through a competitive process?

APPLICABILITY

- Section 5310 recipients with Section 5310 subrecipients

INDICATOR(S) OF COMPLIANCE

- a. Written approval
- b. Lease provisions
- c. Title to leased vehicles
- d. Private entity leases

20. Section 5310

5. Does the recipient agree in writing to all subrecipient lease agreements, ensure that lease agreements contain required provisions, and ensure leases to private operators are awarded through a competitive process?

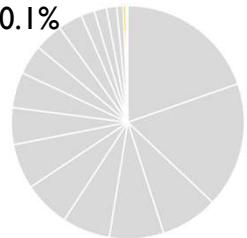
POTENTIAL DEFICIENCY DETERMINATION(S)

- Section 5310 lease agreements not agreed to in writing
- Section 5310 lease agreements missing required provisions
- Title not held in Section 5310 leases
- Leases to private operators not awarded through a competitive process

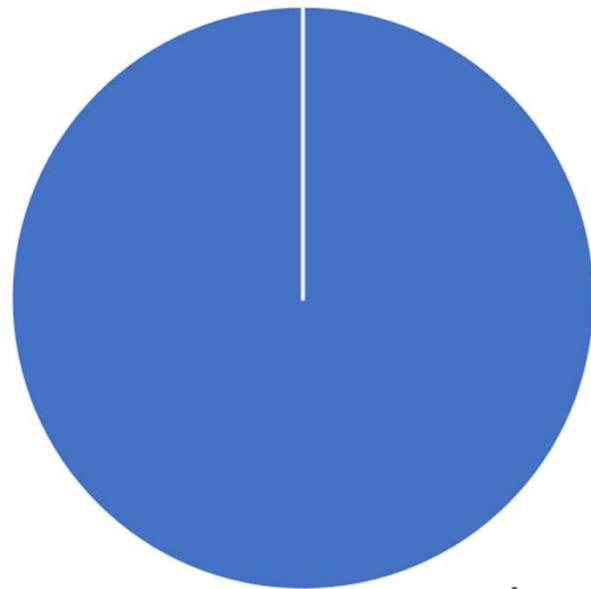
20. Section 5310

- Information needed from recipient
- Issues/areas of concern for FTA awareness
- Questions?

0.1%



21. Section 5311



Insufficient monitoring of
general public service, I

21. Section 5311

- I. Are all Section 5311 funds used for public transportation projects, including job access and reverse commute projects, in rural areas?

APPLICABILITY

- States

INDICATOR(S) OF COMPLIANCE

- a. Subrecipient monitoring
- b. Directly-operated service

21. Section 5311

- I. Are all Section 5311 funds used for public transportation projects, including job access and reverse commute projects, in rural areas?

POTENTIAL DEFICIENCY DETERMINATION(S)

- Ineligible Section 5311 services
- Insufficient monitoring of general public service
- Insufficient monitoring of rural vs urban service
- Insufficient monitoring of incidental service

21. Section 5311

2. Does the state allow Indian tribes, even those that participate in the Tribal Transit Program, to participate in its Section 5311 program?

APPLICABILITY

- States

INDICATOR(S) OF COMPLIANCE

- a. Tribal eligibility

POTENTIAL DEFICIENCY DETERMINATION(S)

- Indian tribes excluded from Section 5311 program

21. Section 5311

3. Has the state programmed at least 15 percent of its apportionment on eligible intercity bus projects?

APPLICABILITY

- States excluding insular areas

INDICATOR(S) OF COMPLIANCE

- a. Eligibility
- b. Governor's certification
- c. Consultation with intercity bus providers

21. Section 5311

3. Has the state programmed at least 15 percent of its apportionment on eligible intercity bus projects?

POTENTIAL DEFICIENCY DETERMINATION(S)

- Ineligible intercity bus projects
- Lacking intercity bus projects
- Intercity bus certification lacking
- No intercity bus consultative process

21. Section 5311

- Information needed from recipient
- Issues/areas of concern for FTA awareness
- Questions?

Preparing for Reviews

- Send requested documents
- Respond to follow-up requests for information
- Ensure staff availability
- Ensure staff and/or documentation from other offices/entities are available (city, county, state, contractors, subrecipients)

Improving Compliance

- Implement corrective actions
- Submit documentation to FTA regional office
- Use the regional office and other recipients as technical resources
- Train staff in requirements
- Monitor changes, and make adjustments to process/procedures

Wrap-up

- Questions
- Evaluations
- Certificates

Thank You

