



MONTANA DEPARTMENT OF TRANSPORTATION

COMPLIANCE AND GOOD PRACTICES REVIEW

Grantee: _____

Reviewer(s): _____

Desk Review Date: _____

Site Visit Date: _____

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PURPOSE AND DIRECTIONS

The Montana Department of Transportation (MDT) conducts compliance and good practices reviews of grantees to ensure that they meet the conditions of receipt of Federal Transit Administration (FTA) assistance, promote good management practices among public transportation providers and identify training and technical assistance needs.

MDT will conduct the reviews as follows:

1. MDT will review materials and reports on file in its office and will complete several sections of the workbook. MDT will note findings, agreed upon corrective actions and recommendations from the last review. MDT will email the partially completed workbook to the grantee.
2. The grantee will review the information entered by MDT, provide updates to the material listed, and answer as many questions as possible. After completing the workbook, the grantee will email it to MDT.
3. MDT will review the grantee's responses and will follow up on the responses during the site visit, which will last no more than one day. The site visit presents an opportunity for MDT to observe your service and operations first hand and provides you with an opportunity to have any questions that you may have answered. During the site visit, MDT will follow up on corrective actions taken for findings from the last review.

Please answer as many questions as you can and email the completed questionnaire to Tom Stuber at tstuber@mt.gov. MDT will review your answers and follow up during the site visit and will discuss your answers to the questions.

In addition to completing the questionnaire, please have the following documents available for the site visit.

- Governance
 - Articles of Incorporation, if updated since X
 - Bylaws, if updated since
 - Records of board meetings (resolution adopting drug and alcohol policy, approval of grant submission to state, or other resolutions as requested:
 - Most recent goals and objectives
 - Board orientation materials, if updated since X
 - Board handbook, if updated since X
 - Sample financial reports submitted to board
 - Sample "funders" report
- Technical Capacity
 - Organization chart
 - Contract with service provider

- Financial management
 - Financial audit if more recent than the one for the year ended X
 - Travel policies if updated since X
 - Written budget procedures if updated since X
 - Budget approved by the board
 - Budget revisions for current year
- Technology and Information Systems
 - Policy governing personal use of work computer if updated since X
- Procurement
 - Written procurement procedures if updated since X
 - Code of conduct if updated since X
- Personnel
 - Personnel manual if updated since X
- EEO
 - Sample job application
 - Sample job posting and advertisement
- Service Provision
 - Service policy/operators' manual if updated since X
 - Sample report of basic transit measurements
 - Complaint/comment resolution procedures if updated since X
 - Passenger standards of conduct if updated since X
- Maintenance
 - Fleet maintenance plan if updated since X
 - Facility maintenance plan if updated since X
- Title VI
 - Complaint procedures if updated since X
- Marketing
 - Marketing plan if updated since X
 - Sample customer survey
 - Most recent compilation of survey results
 - Sample of marketing materials (schedules, brochures, newspaper ads, etc)
- Safety
 - Road observation report if updated since X
 - Accident/medical emergency procedures if updated since X
- Drug and Alcohol Program
 - Drug and alcohol policy if updated since X
 - Contract with TPA if updated since X

- Qualifications for the MRO if not X
- Qualifications for the BATs/STTs if not X
- Qualifications for the SAP if not X

Thank you for your cooperation and we look forward to a productive site visit.

MDT

ADMINISTRATION AND MANAGEMENT

GOVERNANCE

Grantees must have the legal capacity to receive federal and state grants. Grantees must have a designated body legally responsible for the overall organization, management and operation of the transportation system. The Board should be both representative of the community to provide management with community advice and bring management and other expertise from which transit management can draw. The Board should meet regularly and must conduct business in an open and transparent manner. The Board should set policy and goals and objectives for the system and not involve itself in day-to-day operations.

1. What is the name of the designated body legally responsible for the overall organization, management, and operation of the transit system?	
2. Do the articles of incorporation specifically mention public transportation, coordination of transportation or other passenger transportation functions? <i>Good practice</i>	
3. Does the board have written bylaws for its governance which include:	
a. Duties and responsibilities	
b. Method of member selection	
c. Terms of office	
d. Frequency and notification of meetings	
e. Procedure for hiring manager	
f. Avoiding conflict of interest in:	
i) Selection of board members	
ii) Purchasing and doing business with service	
iii) Employment	
4. How are members selected for the Board?	
5. Is the board representative of the communities it serves? <i>Good practice</i>	
a) # Members total	
b) # Members: Private sector	
c) # Members : Public sector	
d) # Members: Elected officials	
e) # Members: Consumers	
f) # Members: Minorities	

g) # Members: Male	
h) # Members: Female	
i) # Members: Disabled	
j) # Members by key geographic areas or political subdivisions	
k) Vacancies	
6. What key skills or knowledge do Board members bring that can be leveraged by transit management (finance, legal, management, human services) at no cost to the agency? <i>Good practice</i>	
7. Does the sample of board records indicate that board minutes are complete and signed by the elected or appointed secretary? <i>Required</i>	
8. Are board members given orientation and ongoing information? How is this accomplished? <i>Good practice</i>	
9. Are Board member provided a handbook or policy manual? If yes, what does it contain? <i>Good practice</i>	
10. Are board members encouraged to ride the service? <i>Good practice</i>	
11. Does a majority of board members regularly attend meetings? <i>Good practice</i>	
12. Are financial reports submitted to the board for its review and action? How often? <i>Good practice</i>	
13. Are periodic reports provided to funders providing information on cost, revenue, service and ridership? <i>Good practice</i>	
14. Have goals, objectives, and targets which are reasonable for the resources available been adopted by the board for the transportation program? If yes, what are the goals, objectives, and targets? How were they developed? <i>Good practice</i>	
15. How often does the board review and revise the goals, objectives, and targets? Annually as part of a market and goal assessment? <i>Good practice</i>	

<p>16. How often does the board review progress toward achievement of each goal, objective, and target?</p>	
<p>17. How are goals, objectives, and targets integrated into the budgeting and financial planning processes? <i>Good practice</i></p>	
<p>18. How is program policy determined?</p>	
<p>19. Does the board involve itself in day-to-day operations? <i>The board should not involve itself in day-to-day operations.</i></p>	
<p>20. Does the board formally review the performance of the chief executive officer, manager or executive director at least annually? <i>Good practice</i></p>	
<p>21. If you are a private non-profit agency that administers several programs or part of a city or county, is there a transit committee to advise the Board on transit policy? <i>Good practice</i></p>	

TECHNICAL CAPACITY

Grantees must have the technical capacity to implement the project, manage grants, and comply with federal and state requirements. To demonstrate technical capacity, grantees must have an appropriate organizational structure; have an adequate number of staff; maintain adequate documentation of key policies; have a systematic process for determining the number and size of vehicles for the fleet; submit timely, accurate, and complete quarterly reports; and collect and analyze key performance data.

<p>1. Is there an organization chart? Does the current organization chart clearly show lines of authority and responsibility for all staff, administration, and the board? <i>Good practice</i></p>	
<p>2. Is the organization chart reviewed annually and revised when necessary? <i>Good practice</i></p>	
<p>3. Who is responsible for the day-to-day management of the transit program?</p>	
<p>4. Has the manager completed the initial training to receive the Montana transit manager certification and has the manager completed the continuing education requirements to maintain the certification? <i>MDT requires that transit managers complete the MDT transit manager training and meet continuing education requirements.</i></p>	
<p>5. Do the answers to the questions for the compliance and good practices review indicate the manager is qualified for the position by reason of training, education, and experience?</p>	
<p>6. Please describe your staffing and the responsibilities of key staff. Does the number of staff appear appropriate for the number and complexity of tasks and the size of the program? <i>MDT requires that grantees have sufficient staff to implement the program.</i></p>	
<p>7. Is decision-making performed at the correct organizational level? Has the manager delegated smaller decisions to line supervisors and staff and do staff bring to line supervisors and to the manager decisions that have larger (policy, legal) ramifications for the organization? <i>Good practice</i></p>	
<p>8. Discuss and assess the organization's ability to efficiently identify and solve non-routine problems at the appropriate level.</p>	

9. How curious are individuals and the working group as a whole? Are they seeking new information and new approaches for their services and procedures?	
10. Is there a sense of mission and purpose at this organization? In general do employees feel connected to the mission of the organization? Do people like their jobs?	
11. How does this organization view failure? Is it viewed as failure when goals and targets are not met?	
12. What is the biggest foul-up/snafu this organization has made? How did it handle it?	
13. Who is responsible for purchasing vehicles? Is there a systematic process for determining the number and size of vehicles for the fleet? Are decisions for expanding the fleet based on ridership projections and included in the TDP? <i>MDT considers the ability of the grantee to determine the appropriate number and type of vehicles when determining whether a grantee has the management and technical capability receive grants to buy buses.</i>	
14. Reviewer, please enter the grantee's rating for the submission of quarterly reports. <i>MDT requires that grantees submit complete, accurate, and timely quarterly reports.</i>	
15. Reviewer, please enter the following information for the past 4 quarterly reports.	
Quarter	Date Received
16. Who is responsible for preparing and submitting the quarterly reports?	
17. Are reports submitted on time? If no, what are the reasons for the delay?	
18. Reviewer, discuss any comments or issues with the reports. Grantee, please respond to the reviewer's comments.	
19. Is the special labor protection warranty (Section 5333(b)) posted clearly for all employees to see? <i>Grantees must post the special labor protection warranty where affected employees may see it.</i>	

<p>20. Have any special labor protection warranty complaints been received? If yes, were they reported to MDT? How were the complaints resolved? <i>Grantees must report any special labor warranty complaints and how they were resolved to MDT.</i></p>	
<p>21. Do you contract with private operators or other agencies? If yes, please identify. Who is responsible for managing the contract? What procedures are used to ensure that quality service is provided? <i>Grantees must have procedures for managing service contractors to ensure that quality service is provided.</i></p>	

FINANCIAL MANAGEMENT

Grantees must have sufficient local resources to provide the required match and carry out the proposed project. Grantees must also have the financial management systems to account for and report on federal and state assistance. Grantees must practice sound financial management practices.

FINANCIAL CAPACITY	
<p>1. Reviewer, list the sources of local funding from the application. Grantee, confirm the sources of local funding for operating and capital expenses. Note any changes. Are the sources of local funding sufficient to implement the project and maintain project equipment? <i>Grantees must have sufficient local resources to carry out the proposed project and maintain project equipment.</i></p>	
<p>2. Are operating expenses covered in a fiscally responsible and board-approved manner before being reimbursed by the state?</p>	
<p>3. Since the last review, how many of your transit program vendors were paid within 30 days? [Sample]</p>	
<p>4. Since the last review, have any transit employees not been paid when they were due? If yes, why?</p>	
ACCOUNTING SYSTEMS AND POLICIES	
<p>5. What accounting software is used? Which modules?</p>	
<p>6. Is an accounting policy and procedure manual maintained? If yes, does it contain written procedures for:</p>	
<p>a) The retention of records</p>	
<p>b) Reporting requirements, including a schedule of report deadlines</p>	
<p>c) Requirements and schedules for audits</p>	
<p>7. Are there written travel policies for staff and board members which detail at a minimum:</p>	
<p>a) Use of per diem rate or actual expenses, basis of reimbursement and reasonable dollar limits</p>	
<p>b) Requirements for receipts for lodging and meals when reimbursement is made for actual cost</p>	
<p>c) Requirement for approval of travel requests</p>	

<p>d) Requirement for travel expense vouchers to show purpose of trip</p>	
<p>8. Is an up-to-date chart of accounts maintained and does it completely describe the nature of each account? <i>Grantees must maintain an up-to-date chart of accounts.</i></p>	
<p>9. Are the financial records being kept in accordance with Generally Accepted Accounting principles (GAAP)? <i>Grantees must maintain financial records in accordance with GAAP principles. GAAP principles are the basis of financial accounting and reflect federal financial accounting standards which include consistency, relevance, reliability, and comparability. Read more: http://gaap-standard-accounting-practices.suite101.com/article.cfm/what_is_gaap#ixzz0l8pLsKS9&C.</i></p>	
<p>10. Refer to the table in the prior section. Do your grant balances agree with MDT's grant balances? If not, please provide an explanation. <i>Grantees must have the financial management systems to account for and report on grant balances.</i></p>	
<p>11. Are financial records retained for at least 3 years from the expiration date of the grant? <i>Grantees must maintain financial records for at least 3 years from the expiration date of the grant.</i></p>	
<p>12. Are timesheets approved by an official who is not responsible for their preparation and is outside the payroll department? <i>Good practice</i></p>	
<p>13. Are all employees who are responsible for signing checks, handling cash, and performing other accounting activities bonded? <i>Good practice</i></p>	
<p>AUDITS</p>	
<p>14. If more than \$500,000 in federal funds were expended during the last fiscal year, was a single audit conducted in accordance with Office of Management and Budget (OMB) Circular A-133? <i>OMB Circular A-133 requires that any grantee that expends more than \$500,000 in federal funds in a year must have an independent single audit conducted.</i></p>	

<p>15. Since the last site visit, have audit findings been submitted that relate to the transit program? If not, why not? <i>Grantees must submit audit findings that relate to the transit program to MDT.</i></p>		
<p>16. What is the status of the following findings from the audit? <i>Grantees must resolve audit findings in a timely manner.</i></p>		
<p style="text-align: center;">Finding*</p>	<p style="text-align: center;">Response*</p>	<p style="text-align: center;">Status</p>
<p>*To be completed by reviewer prior to sending the workbook to the grantee.</p>		
<p>INDIRECT COSTS</p>		
<p>17. Are indirect costs charged to grants? If yes: <i>Per Office of Management and Budget (OMB) Circular A-87, indirect costs are costs that are incurred for a common or joint purpose that benefits more than one cost objective and are not readily assignable to the cost objectives specifically benefited without effort disproportionate to the results achieved. Examples of indirect costs are accounting and personnel services. Grantees that charge indirect costs to grants must do so in accordance with an approved cost allocation plan that was developed in accordance with OMB Circular A-87 or A-122. The plan must be resubmitted for approval in any of the following circumstances:</i></p> <ul style="list-style-type: none"> ▪ <i>The grantee has made a change in its accounting system, thereby affecting the previously approved cost allocation plan/indirect cost rate and its basis of application,</i> ▪ <i>The grantee's proposed cost allocation plan/ indirect cost rate exceeds the amounts approved previously by more than 20 percent, or</i> ▪ <i>The grantee changes the cost allocation plan/indirect cost rate proposal methodology.</i> 		
<p>a. Is there a cost allocation plan to support indirect administrative costs related to a grant program?</p>		
<p>b. Was the plan developed in accordance with OMB Circular A-87 (public entities) or A-122 (non-profits)?</p>		
<p>c. Has the plan been submitted to the state? <i>The plan must be submitted to MDT.</i></p>		
<p>d. Have procedures been established to ensure that costs are classified as either direct or indirect (but not both)?</p>		
<p>e. Has the plan been followed?</p>		

f. Has the rate been updated annually? <i>In addition to the initial approval by the cognizant agency, the rate must be updated annually.</i>	
g. Has the accounting system changed, thereby affecting the previously approved cost allocation plan/indirect cost rate and its basis of application?	
h. Has the indirect cost rate changed by more than 20 percent of the previously approved rate?	
i. Has the methodology changed used to calculate changed since the plan was approved?	
BUDGETING	
18. Please describe the process used to develop the budget. Is the process documented? Who is responsible for developing the budget?	
19. Are the goals, objectives, and targets approved by the board used to guide the development of the budget?	
20. Does the board approve the budget?	
21. Is the budget prepared in sufficient time to allow full review and interaction by the board?	
22. Is the board provided a budget with sufficient detail to make decisions about the allocation of program resources?	
23. Are long-range financial needs defined during the annual budget process and alternatives reviewed?	
24. Are anticipated farebox revenue, contributions, grants, contracts, and other program income projected in the budget?	
25. Are actual expenditures compared with budgeted expenditures to prevent budget overruns? How often? Who performs this comparison?	
26. Are revenues from federal, state, and local government sources, service contracts, and fares compared with the projections in the budget? How often? Who performs this comparison?	
27. Does the board review and approve budget revisions? What is the threshold for board approval?	

RISK MANAGEMENT	
28. Do you carry risk, liability, workman's compensation, and fire insurance?	
29. Do you analyze alternative insurance programs including self-insurance and excess liability coverage for property damage and liability at least every 3 years?	
30. If self-insured, is there a self-insurance reserve account?	
31. Is there a workers' compensation management system which provides for verification of accident/injury, administration of benefits, vocational rehabilitation?	

TECHNOLOGY AND INFORMATION SYSTEMS

Grantees should use information technology to improve productivity and provide needed financial and performance information. Procedures should be in place to protect hardware and software. Policies should be in place governing personal use of public computers. FTA-funded computers must be used to support the transit program. All grantees must have a disaster recovery program.

1. What computer applications are used: a. For finance?	
b. For office use?	
c. For transportation?	
d. For maintenance?	
e. For the operating system?	
f. For security?	
g. For anti-virus protection?	
h. For a fire wall?	
i. For back ups?	
j. Other?	
1. Are computer applications current with respect to needs and appropriate to the hardware environment? <i>Good practice</i>	
2. Who maintains the software? Does this person/entity possess the necessary training, education, and experience to provide adequate technical support?	
3. Is software regularly updated with patches and security updates? How frequently? Are all security/patches current? <i>Good practices</i>	
4. How often are the servers/computers backed up?	
5. How frequently are virus definitions updated? Are virus definitions current? How frequently do you scan for viruses? <i>Good practices</i>	
6. Do you use a local area network?	
7. Who maintains the hardware and network? Does this person/entity have the necessary training, education, and experience to provide adequate technical support?	

<p>8. Do the servers have an uninterruptible power supply (UPS)? <i>A UPS allows a computer to run on battery power during short power interruptions and allows the user to shut down a computer properly during a power interruption. A UPS has a built-in surge protector.</i></p>	
<p>9. Are all computer equipment items protected from power surges? <i>Good practice</i></p>	
<p>10. Do you have access to the Internet? Which employees have access to the Internet?</p>	
<p>11. Have you used the Internet to access FTA regulations and circulars?</p>	
<p>12. Do you have a written policy regarding personal use of the computer, including use of the Internet? <i>Good practice</i></p>	
<p>13. Do you have a website? If yes: What is the address? Who maintains it?</p>	
<p>14. Is access to data restricted to only those who require the data to perform their job? <i>Good practice</i></p>	
<p>15. Are the procedures for information security adequate to protect the integrity of the data? <i>Good practice</i></p>	
<p>16. Are computers purchased with FTA funds being used to support the transit program? Are they used to support other programs as well? <i>Computer equipment purchased with FTA must be used primarily to support the FTA programs.</i></p>	
<p>17. Do you provide general computer/ application training? If yes, when was the last time that the training took place? <i>Good practice</i></p>	

SATISFACTORY CONTINUING CONTROL

Grantees must maintain control of FTA-funded equipment and facilities and use them to provide public transportation.

FLEET AND VEHICLE CHARACTERISTICS				
Vehicle*	Date of Last Quarterly Grant Vehicle Report*	Odometer reading from last quarterly report*	Date of last certificate of insurance*	Comments Concerning Use*
*To be completed by reviewer prior to sending the workbook to the grantee after reviewing the quarterly vehicle reports for the last year.				
1. Calculate the fleet spare ratio.				
a) What is the number of revenue vehicles?				
b) What is the number of vehicles required for maximum service?				
c) What is the number of spare vehicles (a minus b)?				
d) What is the spare ratio (c divided by b)?				
2. How often is the maximum number of vehicles required?				
3. Does the spare ratio appear reasonable given the size and age of the fleet, the frequency of peak service demand, and the projected ridership growth? Does the spare ratio indicate a need for additional vehicles? <i>MDT considers a spare ratio of approximately 20 percent reasonable.</i>				
4. Are the vehicles used appropriate for the type of service, ridership volumes, and scheduling patterns?				
5. Have "back-up" arrangements been made, such as a contract with a taxi company or another agency, to deliver service when breakdowns occur or during peak service times?				

6. What is the average age of the fleet?	
7. What is the average mileage of the fleet?	
8. Is there a fleet replacement plan?	
9. Have you sold or disposed of any FTA-funded vehicles in the past year? If yes: Please list the vehicles. Did you obtain approval from MDT? <i>MDT requires that grantees obtain approval before selling or disposing of vehicles on which it holds a lien.</i> [Reviewers, please list the vehicles for which the grantee requested approval for disposition since the last site visit.]	
10. Are leases attached to FTA-funded vehicles? If yes, did MDT approve the leases in writing? <i>MDT requires that grantees obtain written approval for leases of vehicles on which it holds a lien.</i> [Reviewers, please list the vehicles for which the grantee asked for approval since the last site visit.]	
INSURANCE	
11. Has an updated proof of insurance on each vehicle been provided to MDT? <i>MDT requires that grantees provide annual proof of insurance on FTA-funded equipment.</i>	
12. Do you have a combined single limit of coverage of at least \$1 million? What insurance coverage do you have on FTA-funded facilities? If self-insured, how is the self-insurance funded? <i>MDT requires grantees to maintain a minimum of a combined single limit of coverage of \$1 million on vehicles.</i>	
INVENTORY AND CONTROLS	
13. What procedures and practices are used to prevent loss, damage, or theft of property and inventory? <i>Grantees must have procedures to prevent loss, damage, or theft of property and inventory.</i> Examples of procedures include insurance, locks on doors, controlled access to supplies, fencing, lighting, inventory and tagging of all equipment, and annual physical inventories that are reconciled to inventory lists.	
14. Is all equipment permanently tagged or stamped with an identification number?	

15. Is there a current, complete inventory of all equipment?	
16. What is the dollar threshold for inclusion in the asset inventory?	
17. Is a physical inventory of equipment taken at least annually that is reconciled to the inventory records?	
18. Are inventory item statistics maintained such as inventory level policy, consumption record, reorder points, economic order quantities, recent bidders and prices, and acquisition times?	
19. Are facility use or lease agreements current for all facilities?	

PROCUREMENT

Grantees must: comply with the relevant sections of FTA C 4220.1F. Grantees must obtain prior state approval for purchases of equipment and transportation service contracts.

<p>1. Who is responsible for purchasing/ leasing? Is the person by reason of education, training, and experience qualified for the responsibility?</p>	
<p>2. Do you have a written code of conduct that governs the performance of officers, employees, or agents engaged in procurement exists describing avoidance of conflict of interest? <i>Grantees that are private nonprofit agencies must have a written code of conduct. Grantees that are public entities are covered by the Montana Code of Ethics in Title 2, Chapter 2, Part 1 of the Montana Code Annotated which can be accessed at http://data.opi.state.mt.us/bills/mca_toc/2_2_1.htm.</i></p>	
<p>3. Do any potential conflicts of interest exist between policy board members/ employees and consultants/vendors/ suppliers or between a management contractor and consultants/vendors/ suppliers?</p>	
<p>4. Are procurement procedures written and approved by the board? <i>Grantees that are private nonprofit agencies must have written procurement procedures.</i></p>	
<p>5. Do policies and procedures adequately address such matters as: <i>Required</i></p>	
<p>a) Need and use of formal advertising</p>	
<p>b) Bidding</p>	
<p>c) Negotiating</p>	
<p>d) Use of sole source</p>	
<p>e) Selection procedures</p>	
<p>f) Required signatures</p>	
<p>g) Review of procurement requests to avoid duplicative or unnecessary purchases</p>	
<p>h) Award to responsible bidders/proposers</p>	
<p>i) Protest procedures</p>	
<p>j) Contract administration system</p>	
<p>k) Settlement of contract issues and disputes</p>	
<p>l) Documentation of procurement history</p>	

6. Are the quantity and quality of supplies, equipment, services verified against the purchase order or other system upon receipt? <i>Required</i>	
7. Are technical specifications prepared at the appropriate level of detail to accommodate competitive bidding and user requirements? <i>Required</i>	
8. Are qualified bidders lists and histories maintained for competitive bidding?	
9. What is the dollar threshold for sealed bids?	
10. What are the procedures for purchases for which sealed bids are not required?	
11. Who reviews and approves purchases? What are the dollar thresholds?	
12. Do the above procedures provide for full and open competition? <i>Procurement procedures must provide for free and open competition.</i>	
13. Please list all procurements for which the grantee requested state approval since the last site visit.	
Item	Amount
14. What purchases did you make with FTA funds since the last site visit? (Examples: fuel, maintenance services, vehicles, construction, professional services) What procedures were followed for each of the purchases? Did the procedures followed provide for full and open competition? <i>Procurement procedures must provide for free and open competition.</i> <i>[Reviewer, review a sample of procurement files using the procurement file review sheet to confirm that the grantee provided for free and open competition.]</i>	
15. Was state approval obtained for all equipment purchased directly? <i>MDT must approve all equipment purchases.</i>	

<p>16. Was state approval obtained for all contracts for transportation services? <i>MDT must approve all transportation service contracts.</i></p>	
<p>17. Do all vehicle purchases, formal procurements (sealed bids) and transportation service contracts include all federally required clauses? <i>Grantees must include federally required clauses in all FTA-funded formal procurements.</i> <i>[Reviewer, please review the procurements for the past year using the clause checklist in the appendix.]</i></p>	
<p>18. Are there any clauses that unduly restrict competition, such as in-state or local preference clauses? <i>Use of in-state or local preference clauses is prohibited.</i></p>	
<p>19. Are there any bus procurement contracts that exceed 5 years in total length, including base and options? If yes, identify. Was written FTA permission received through MDT before entering into the contract? <i>Prior FTA approval through MDT must be obtained for bus procurements using FTA funds that exceed 5 years.</i></p>	

PROCUREMENT FILE REVIEW SHEET

Contract number:			
Award date:			
Awarded to:			
Amount:			
Purpose:			
Number of bids received:			
Date file inspected:			
Item	Yes	No	NA
Does the file contain an index or checklist of items that it should contain? (Good practice)			
Does the file contain the invitation for bids or the request for proposals?			
Does the file contain the notices and advertisements?			
Does the file include all bids received?			
Does the file document the evaluation and the results of the evaluation?			
Does the file contain a signed contract?			
Are materials filed in chronological order?			
If a pre-bidders' conference was held, does the file document the bidders notified of the conference, the date and time of the conference, and the list of the attendees?			
If the procurement was a sole source, single bid, brand name, or award to other than low bidder, does the procurement file contain a justification for the award?			
Do the files contain a cost or price analysis?			
Do the files indicate that the grantee ensured that goods and services were received?			
Does the file include all contract modifications and amendments?			
Does the file contain copies of all correspondence with the vendor?			

DEBARMENT/SUSPENSION

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

Answer these questions only if you received a grant that exceeds \$25,000.	
<p>1. Have you become aware of any new information, following the award of a contract or subcontract, that an excluded party is involved in any covered transaction? If yes, did you promptly inform MDT in writing?</p> <p><i>Grantees must provide immediate written notice to MDT for reporting to FTA if they learn that their certification or the certification of any contractors is no longer valid.</i></p>	
<p>2. Was the required certification clause included in all procurements exceeding \$25,000? [See clause checklist]</p> <p><i>The debarment and suspension certification clause must be included in all procurements exceeding the federal small purchase threshold, currently \$25,000.</i></p>	
<p>3. Was the GSA website checked to ensure that the bidder was not debarred or suspended?</p> <p><i>Grantees must search the Excluded Parties Listing Service at http://epls.arnet.gov for contracts exceeding \$25,000 before entering into any third party contracts exceeding \$25,000.</i></p>	

LOBBYING

Recipients of grants and contracts exceeding \$100,000 must certify that they have not and will not use federal funds to pay for lobbying. Grantees certify to MDT. Contractors certify to the grantee.

Answer these questions only if you received a grant that exceeded \$100,000.	
1. Are FTA funds used for lobbying? <i>Grantees may not use federal funds for lobbying.</i>	
2. Have you used non-federal funds for lobbying? If yes, have you filed with MDT the Standard Form LLL, "Disclosure Form to Report Lobbying" and any necessary updates?	
3. Have you obtain signed lobbying certifications with procurement solicitations exceeding \$100,000? <i>Grantees must obtain signed lobbying certifications with bids for contracts exceeding \$100,000.</i>	

DISADVANTAGED BUSINESS ENTERPRISE

Grantees must not discriminate on the basis of race, color, creed, national origin, or sex in the award and performance of FTA-assisted contracts. Grantees must provide disadvantaged business enterprises (DBEs) the maximum opportunity to compete for and perform contracts and subcontracts financed in whole or in part with federal funds. Grantees that expend more than \$250,000 in FTA funds on third-party contracts must meet additional requirements as determined by MDT in consultation with FTA.

<p>1. Did the grantee report on DBE activity in the quarterly reports? If not, please list the quarters the grantee did not submit the information. <i>Grantees must submit quarterly DBE activity reports.</i></p>	
<p>2. Do the reports indicate that the grantee has been successful in contracting with DBEs?</p>	
<p>3. What good faith efforts have been taken to ensure that DBEs have the maximum opportunity to compete for and perform contracts and subcontracts financed in whole or in part with FTA funds? <i>Grantees must take good faith efforts to ensure that DBEs have the maximum opportunity to compete for and perform contracts and subcontracts financed in whole or in part with FTA funds. Examples of good faith efforts include advertising in newspapers that serve minority communities, maintaining a list of minority vendors, and contacting other agencies for potential DBE contractors.</i></p>	
<p>4. Do you have a current MDT listing of certified DBE firms? <i>MDT provides all grantees a listing of certified DBE firms at http://www3.mdt.mt.gov:7782/mttplc/mttplc.tplk0002.contractor_init.</i></p>	
<p>5. Were any DBE complaints received since the last review? If yes: Describe the complaint and how it was resolved. What is the process for handling and resolving such complaints?</p>	

PERSONNEL

1. Who is responsible for personnel management? Is the person by reason of education, training, and experience qualified for the responsibility?	
2. Are personnel policies written and approved by the board? <i>Good practice</i>	
3. Do the policies address:	
a) Personnel selection and appointment	
b) Required probationary period before permanent appointment	
c) Grounds for dismissal/appeals	
d) Grievance procedures	
e) Hours of work	
f) Annual and sick leave	
g) Holidays	
h) Promotion and/or salary increases	
i) Insurance benefits	
j) Retirement plans	
4. Are there written job descriptions on file for all positions in the transportation program? <i>Good practice</i>	
5. Do the job descriptions identify:	
a) Job title	
b) Primary responsibilities	
c) Applicable performance standards	
d) Wage rate or salary range	
6. Are time and attendance records kept for and signed by all employees, including part-time, and in-kind (or volunteer)? [Sample] <i>Required</i>	
7. Is each employee appraised on performance at least annually <i>Good practice</i>	

EQUAL EMPLOYMENT OPPORTUNITY (EEO)

Grantees may not discriminate against any employee or applicant for employment because of race, color, religion, national origin, sex, age, or physical or mental disability.

<p>1. Who is responsible for ensuring that EEO obligations are fulfilled? Does this individual report to the CEO for EEO matters? <i>The CEO should designate an EEO officer and adequate staff to administer the program. The EEO officer should be an executive that reports directly to the CEO on EEO matters.</i></p>	
<p>2. Have you posted an EEO statement in a conspicuous place? <i>An EEO statement must be posted in a conspicuous place where employers and applicants will see it.</i></p>	
<p>3. Do your job postings have an EEO statement? <i>Job postings should include an EEO statement.</i></p>	
<p>4. Is an EEO policy included in your personnel policies and/or employee handbook? <i>An EEO policy should be included in personnel policies and/or employee handbook.</i></p>	
<p>5. Are EEO statements included on your job applications and employment notices? [Sample] <i>Job applications and employment notices should include an EEO statement.</i></p>	
<p>6. If requested, were reasonable accommodations made for hiring a person with disabilities in accordance with Title III of the ADA? <i>Title I of the ADA prohibits discrimination in employment and requires grantees to make reasonable accommodations for qualified employees and candidates.</i></p>	
<p>7. Were any EEO complaints received since the last site visit? If yes: Describe the complaint and how it was resolved. What is the process for handling and resolving such complaints?</p>	

OPERATIONS AND SERVICE PROVISION

SERVICE PROVISION

Grantees should have effective procedures for ensuring quality service is delivered to the public. A comprehensive training program is a key component of a quality assurance programs. Grantees should collect and use financial and operating data to monitor the effectiveness and efficiency of operations. Key financial and operating data should be reported to the Board.

<p>1. Who is responsible for the day-to-day supervision of transit operations? Is the person by reason of education, training, and experience qualified for the responsibility?</p>	
<p>2. Do the procedures for monitoring daily operations ensure that the schedule is adhered to, dispatchers and operators follow policy and procedures, and quality and courteous service is provided? <i>Good practice</i></p>	
<p>3. What kind of training do you provide operators/drivers? Schedulers/dispatchers? Is appropriate staff trained in the basics of transit? a) How to drive a bus? b) How to take a reservation? c) How to dispatch a trip? d) How to complete driver paperwork? <i>Good practice</i></p>	
<p>4. Is there a written service policy or operators' manual? Please note the topics the manual addresses. Does the policy/manual accurately and completely document current policies governing the delivery of service? <i>Good practice</i></p>	
<p>5. Is the assignment of drivers and vehicles appropriate for service demands, equipment, training and other relevant factors? <i>Good practice</i></p>	
<p>6. Is schedule making and service frequent and timely? When was the last time routes and schedules were revised for fixed route services?</p>	
<p>7. Is schedule making coordinated with public information, dispatching and operations supervision? <i>Good practice</i></p>	

<p>8. For demand-response service, what are the procedures for scheduling and dispatching trips? Are “no-can-dos” tracked and periodically reviewed by management? <i>Good practice</i></p>	
<p>22. How are financial reports, service reports and statistical data used in day-to-day management of transit service? <i>Good practice</i></p>	
<p>23. Does the system maintain basic transit measurements (attach relevant report) <i>Good practice</i></p>	
<p>a) Revenue miles</p>	
<p>b) Revenue hours</p>	
<p>c) Total passengers</p>	
<p>d) Total seats available per hour and per mile</p>	
<p>e) Total fares</p>	
<p>f) Total cost</p>	
<p>g) Passengers per hour</p>	
<p>h) Passengers per mile</p>	
<p>i) Cost per mile</p>	
<p>j) Cost per hour</p>	
<p>k) Average system miles per hour</p>	
<p>l) Percent use of available seats</p>	
<p>m) Average fare per passenger</p>	
<p>n) Average cost per passenger</p>	
<p>o) Farebox recovery ratio</p>	
<p>24. To whom do you report these data and what key management decisions have been made with the above data? What data are reported to the board and how often? Does the reporting system contribute to each level of management in terms of timely, accurate, appropriately detailed information required to support management action? <i>Good practice</i></p>	
<p>25. List the annual ridership figures for the past 5 years below. Please explain why ridership is increasing, decreasing, or staying the same.</p>	
<p style="text-align: center;">Year</p>	<p style="text-align: center;">Ridership</p>

<p>26. Do you have board-approved passenger complaint/ comment resolution procedures? <i>Good practice</i></p>	
<p>27. Do you have a board-approved policy governing standards of behavior by passengers on buses and transit property? <i>Good practice</i></p>	

MAINTENANCE

Grantees must maintain FTA-funded equipment and facilities. Grantees must have a written maintenance plan and must maintain project equipment and facilities at a high level of cleanliness, safety, and mechanical soundness. Grantees must maintain all accessibility features and equipment in operating condition. Grantees must have procedures to track when preventive maintenance inspections are due and to schedule preventive maintenance inspections in a timely manner.

VEHICLE MAINTENANCE	
1. Review the files for the 3 vehicles using the vehicle file review sheet. Note deficiencies for each file inspected.	
2. Who is responsible for maintenance? Is the person by reason of education, training, and experience qualified for the responsibility?	
3. Are maintenance personnel trained in the operation of specialized equipment (special tools, wrecker, others)?	
4. Please describe the preventive maintenance program. Note whether the grantee follows the MDT program or follows a program it developed. Is the maintenance plan written? <i>Grantees must have a written vehicle maintenance program.</i>	
5. Do preventive maintenance schedules for each type of vehicle in the fleet meet the manufacturer's minimum requirements for severe operations? <i>Preventive maintenance schedules must meet manufacturers' minimum requirements for severe operations.</i>	
6. Is a preventive maintenance program in place for lifts and other accessibility features such as ramps, public announcement systems, and annunciators? <i>Grantees must maintain all accessibility features and equipment in operating condition.</i>	
7. What procedures are used to track when preventive maintenance inspections are due and to schedule preventive maintenance inspections? <i>Grantees must have procedures to track when preventive maintenance inspections are due and to schedule preventive maintenance in a timely manner.</i>	

<p>8. Review the files for the same 3 vehicles reviewed in question 2. Note the date and mileage of all preventive maintenance inspections since the last site visit using the preventive maintenance review sheet.</p> <p>Does the review of the maintenance records indicate that at least 80 percent of the inspections are performed on time? Please allow a 10 percent or 500-mile variance, whichever is greater, when deciding whether an inspection was performed on time.</p> <p><i>MDT requires that at least 80 percent of preventative maintenance inspections must be performed at the intervals required by the plan.</i></p>	
<p>9. Are pre-trip inspections conducted prior to placing a vehicle in service?</p> <p><i>Pre-trip inspections must be conducted prior to placing a vehicle in service.</i></p>	
<p>10. Is the MDT pre-trip inspection form used?</p> <p>If no, does the pre-trip inspection address safety; vehicle operation, appearance, and cleanliness; and passenger comfort?</p> <p><i>The pre-trip inspection must address safety; vehicle operation, appearance, and cleanliness; and passenger comfort.</i></p>	
<p>11. Are deficiencies noted in pre-trip inspections repaired in a timely manner and properly reviewed by management?</p> <p><i>Deficiencies noted in pre-trip inspection must be repaired in a timely manner and properly reviewed by management.</i></p>	
<p>12. Does the pre-trip inspection ensure that all items, such as boxes with bi-directional reflective triangles and gallons of washer fluid, are secured to the vehicle?</p> <p><i>Safety and other equipment must be secured so that they are not loose to injure a passenger or damage the vehicle.</i></p>	
<p>13. Does the pre-trip inspection program address lifts and other accessibility features, such as ramps, public announcement systems, and tie-downs?</p> <p><i>Grantees must have a regular system of checks and inspections for lifts and other accessibility features.</i></p>	

<p>14. When a lift is found to be inoperative, is the vehicle taken out of service by the beginning of the next service day and repaired before returning it to service?</p> <p>What alternative arrangements are made for riders?</p> <p><i>Grantees must remove vehicles with inoperative lifts from service before the next day unless no spare is available and taking the vehicle out of service would reduce the level of service. Alternative arrangements are required if a vehicle with an inoperable lift is used on a fixed route and the headway to the next accessible vehicle exceeds 30 minutes.</i></p>	
<p>15. If a vehicle with an inoperable lift is kept in service, is it repaired within 5 days from the day which the lift is found to be inoperative?</p> <p><i>Grantees in areas of less than 50,000 must repair the lift within 5 days.</i></p>	
<p>16. Are FTA-funded vehicles leased to providers? If yes:</p> <p>Does the lease agreement require the lessee to adhere to MDT's maintenance standards?</p> <p><i>MDT requires grantees that lease FTA-funded vehicles to providers to require the lessee to adhere to MDT's maintenance standards.</i></p>	
<p>17. Are work orders or histories maintained that document the work performed, parts used, time spent, mileage, and date?</p>	
<p>18. Has a maintenance quality control or assurance program been implemented to verify the execution and quality of repairs, examine the quality of new and used parts used in repairs, and ensure that repairs are fully documented?</p>	
<p>19. Is there a system for identifying and pursuing warranty claims effectively and promptly to conclusion?</p>	
<p>20. Is there a system for responding to recalls?</p>	
<p>21. Is the preventive maintenance program reviewed for costs and effectiveness?</p>	
<p>22. Are maintenance histories for the fleet reviewed to uncover trends or problems?</p>	
<p>23. Are there indicators of repetitive occurrences of a particular type of problem in any one make of rolling stock?</p>	
<p>24. Are there repetitive occurrences (parts failures, road calls, others) of a particular type of failure fleetwide?</p>	

25. Is there a system to monitor and evaluate vehicle energy consumption?	
<p>FACILITY MAINTENANCE</p> <p><i>The following questions are for grantees that operate out of an FTA-funded facility.</i></p>	
<p>26. Is there a written facility maintenance plan and inspection checklist?</p> <p><i>Grantees must have a written facility maintenance program for FTA-funded facilities and facility-related equipment.</i></p>	
<p>27. Are the facilities inspected at least once a year to determine what repairs and/or maintenance are needed to the equipment or building?</p> <p>What was the date of the last inspection?</p>	
<p>28. Does the written plan or inspection checklist address equipment such as hydraulic lifts, bus washers, roofing systems, and HVAC systems?</p>	
<p>29. Does the written plan or inspection checklist address maintenance of ADA accessibility features, such as power-assist doors, as required by ADA?</p>	
<p>30. Do preventive maintenance checklists follow the minimum requirements determined by the manufacturer, supplier or builder?</p>	
<p>31. Are files maintained on maintenance of facilities and related equipment?</p>	
<p>32. Do the files indicate that preventive maintenance inspections of facilities and related equipment are conducted at the intervals required by the plan? [Reviewer, sample maintenance records.]</p>	
<p>33. Are any features of facilities or related equipment under warranty? If yes, please list.</p> <p>Are warranty claims pursued?</p>	
<p>34. Reviewer: Are the facilities clean and well maintained? Are there any visible defects? Does the facility need to be painted? If yes, when is this scheduled?</p>	
<p>35. What documentation does the service maintain to ensure compliance with applicable safety and environmental regulations (OSHA, fire prevention, insurance standards, etc.)?</p>	

VEHICLE FILE REVIEW SHEET

Grantee:

Vehicle:

Date File Inspected:

Reviewer:

Question	Yes	No
Are the files in chronological order?		
Do the files contain the MDT daily log?		
Do the files contain the MDT-provided or an MDT-approved pre-trip inspection checklist?		
Are they signed and dated?		
Do the files contain the MDT-provided vehicle maintenance record?		
For lift-equipped vehicles, do the files contain the daily pre-trip wheelchair lift safety check?		
If the grantee maintains the vehicles in-house, are preventive maintenance checklists:		
Completed		
Signed?		
Dated?		
Do the work orders fully document vehicle maintenance?		
Is the date and mileage noted on each work order?		

Reviewer Comments:

SAFETY AND SECURITY

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

1. Is documentation maintained which verifies that all drivers of vehicles (owned, leased, loaned): <i>Good practice</i>	
a) Have a valid, appropriate vehicle operator's license (and current US DOT physical if driver is a CDL holder)	
b) Have a safe driving record acceptable for insurance coverage	
c) Have completed an American Red Cross, or equivalent, first aid program to handle emergency health situations and accidental injuries	
d) Received training in defensive driving techniques	
e) Received training in passenger assistance and safety	
f) Received training in operation of lifts and other accessibility equipment	
g) Received substance abuse training	
2. Have written procedures have been established to assure that project sponsored volunteers, whether reimbursed for expenses or not, driving privately-owned vehicles have: <i>Required</i>	
a) A valid appropriate vehicle operator's license (and current DOT physical if driver is a CDL holder)	
b) A safe driving record	
c) Personal automobile liability coverage that is appropriate for type of use	

<p>3. Does the pre-trip inspection address the following required safety equipment:</p> <ul style="list-style-type: none"> ▪ blood-borne pathogen kit ▪ first aid kit (full) ▪ fire extinguisher (charge and inspection date) ▪ bi-directional reflective triangles ▪ web cutters <p><i>All vehicles must be outfitted with a blood-borne pathogens kit, first-aid kit, fire extinguisher, bi-directional reflective triangles, and web cutters.</i></p>	
<p>4. Are all required safety devices or systems installed and functioning properly on vehicles? Are fire extinguishers secure, accessible, of the correct type, and in date? (Sample)</p> <p><i>All safety devices must be maintained in operative condition. Fire extinguishers must be secure, accessible, and in date.</i></p>	
<p>5. Is there a written procedure to handle accidents and medical emergencies? If yes, are these procedures kept on board the vehicles?</p> <p><i>Grantees must have a written procedure for handling accidents and medical emergencies.</i></p>	
<p>6. Are passengers required to wear a seat belt?</p> <p><i>All passengers must wear seat belts.</i></p>	
<p>7. Is smoking prohibited on vehicles?</p> <p><i>Smoking is prohibited on all vehicles.</i></p>	
<p>8. Are drivers allowed to bring food or drinks on board vehicles? If yes, are drivers allowed to eat or drink while the bus is in motion?</p> <p><i>MDT prohibits operation of a vehicle while eating or drinking.</i></p>	
<p>9. Are drivers allowed to use a cell phone while the bus is in motion?</p> <p><i>MDT prohibits operation of a vehicles while using a cell phone unless the call is work-related. Sending and receiving text messages is prohibited.</i></p>	
<p>10. Are all carry-on items properly stowed before moving vehicle?</p> <p><i>MDT requires that all carry-on items be properly stowed before moving a vehicle.</i></p>	

<p>11. Do operations personnel receive training and retraining in crime prevention? What on-vehicle and at-facility crime prevention activities does the service employ? Examples include video cameras, locks, fencing, lighting, and silent codes.</p>	
<p>12. What traffic accident analysis and prevention activities are undertaken?</p>	
<p>13. Is there a safety awards and recognition program?</p>	

ADA

Titles II and III of the Americans with Disabilities Act of 1990 (ADA) provide that no entity shall discriminate against an individual with a disability in connection with the provision of transportation service. The law sets forth specific requirements for vehicle and facility accessibility. Entities operating a fixed-route system must provide paratransit or other special service that is comparable to the level of service provided to individuals without disabilities who use the fixed-route system.

<p>1. What types of services (fixed route, deviated fixed route, commuter, university, and/or demand response) do you provide?</p>	
<p>2. Have any complaints of discrimination due to disability been received from riders or employees? If yes, please describe the complaints. What is the process to resolve the complaints?</p>	
<p>3. Are facilities accessible?</p>	
<p>4. If you have non-accessible vehicles in your fleet, how do you ensure that equivalent service is provided? <i>ADA requires that service to individuals with disabilities be equivalent to the service provided other individuals with respect to response time, fares, geographic service area, hours and days of service, and capacity.</i></p>	
<p>5. Are system brochures, application forms, rider handbooks, and occasional bulletins available in alternative formats upon request? What formats? <i>ADA requires public information to be made available in alternative formats upon request. Examples of alternative formats include large type, audio-tapes, and Braille.</i></p>	
<p>6. Is your system's TDD number printed on all public materials where your voice telephone number appears? <i>The TDD number should be listed wherever the voice telephone number appears.</i></p>	
<p>7. Are all accessible vehicles marked with the blue accessibility symbol? <i>ADA requires that all accessible vehicles be identified with the international accessibility symbol.</i></p>	
<p>8. Do all accessible vehicles have a securement system for wheelchairs? <i>ADA requires that all accessible vehicles have a securement system for wheelchairs.</i></p>	

<p>9. What is your policy for providing service if a mobility device cannot be secured? <i>ADA requires that service must be provided even when a mobility device cannot be secured.</i></p>	
<p>10. Do you require wheelchair users to transfer to a seat? <i>ADA stipulates that operators may request but not require that wheelchair users transfer to a seat.</i></p>	
<p>11. Do drivers provide assistance to passengers as necessary and upon request with ramps, lifts, and securement devices? <i>ADA requires drivers and other personnel to provide assistance as necessary and upon request.</i></p>	
<p>12. Do you permit individuals that do not use wheelchairs to use lifts? <i>ADA requires operators to deploy lifts for standees upon request.</i></p>	
<p>13. What is your policy regarding service animals? <i>ADA requires that operators permit service animals to travel with riders.</i></p>	
<p>14. Do you provide service to persons using respirators or portable oxygen? <i>ADA requires operators to provide service to persons using respirators or portable oxygen.</i></p>	
<p>15. What is your policy regarding the time allowed for boarding and alighting? <i>ADA requires that operators allow adequate time for passengers with disabilities to board and alight vehicles.</i></p>	
<p>16. Do you require drivers to make use of all available accessibility equipment? <i>ADA requires that operators make use of all available accessibility equipment when needed.</i></p>	
<p>17. How are policies governing providing service to passengers covered under the ADA conveyed to drivers?</p>	
<p>18. Are drivers trained in passenger assistance and sensitivity? How soon after being hired does the training occur? <i>ADA requires that drivers receive training in passenger assistance and sensitivity.</i></p>	
<p>19. Are drivers trained in use of accessibility equipment? How soon after being hired does the training occur? <i>ADA requires that drivers receive training in the use of the accessibility equipment.</i></p>	

<p>20. How do you monitor drivers to ensure that they comply with ADA requirements? Examples: Follow-up on complaints, ghost riders, road supervision, ADA advisory committee.</p>	
<p>21. Do you provide deviated fixed-route service? If yes, do public materials and bus schedules clearly state eligibility requirements and procedures for requesting deviated fixed-route service?</p>	
<p>22. Do you have a policy governing stop announcements? Does it meet ADA requirements? <i>For fixed route and deviated fixed route service, ADA requires drivers to announce stops at transfer points with other fixed routes, major intersections and destination points, upon request, and at intervals along a route sufficient to permit individuals with visual impairments or other disabilities to be oriented to their location.</i></p>	
<p>23. When multiple routes serve the same stop, what mechanism is in place to alert individuals with visual impairments or other disabilities to the route number and destination? <i>ADA requires that operators have such a mechanism.</i></p>	
<p>24. Are lifts/ramps deployed at any stop? <i>ADA requires that operators permit a passenger who uses a lift or ramp to board or disembark from a vehicle at any designated stop, unless the lift or ramp cannot be deployed, the lift will be damaged if it is deployed or temporary conditions preclude the safe use of the stop by all passengers (i.e., the stop is "closed" for the duration of such conditions).</i></p>	
<p>25. Are operators required to report lift failures promptly? <i>Operators must report immediately any in-service lift and ramp failures.</i></p>	
<p>26. Is alternative service provided to persons stranded for more than 30 minutes due to failures? <i>If a lift or ramp failure occurs on a route where the headway is greater than 30 minutes and the passenger cannot be served, the grantee is required to provide alternative service promptly.</i></p>	

<p>27. Are persons sitting in priority seats requested to vacate those seats when a person with a disability needs to use them?</p> <p><i>When an individual with a disability needs to sit in a seat or occupy a wheelchair securement location, the grantee shall ask the passenger to move in order to allow the individual with a disability to occupy the seat or securement location.</i></p>	
<p>The following questions are for providers of fixed-route service (excluding commuter and university service).</p>	
<p>28. Describe the eligibility process.</p> <p>How do you ensure that only those who are unable to use the fixed route system are certified as eligible?</p> <p><i>Eligibility is to be strictly limited to certain categories of individuals:</i></p> <ul style="list-style-type: none"> • <i>Any person with a disability who is unable to board, ride, or disembark from an accessible vehicle without the assistance of another person (except for the operator of a lift or other boarding device)</i> • <i>Any person with a disability who could ride an accessible vehicle but the route is not accessible or the lift does not meet ADA standards</i> • <i>Any person with a disability who has a specific impairment related condition that prevents the person from traveling to or from a boarding/disembarking location</i> 	
<p>29. Are ADA complementary paratransit eligibility decisions made within 21 days of receipt of a complete application?</p> <p>If no, is presumptive eligibility granted?</p> <p><i>Eligibility decisions must be made within 21 days of receipt of an application; if not then presumptive eligibility must be granted until an eligibility decision is made.</i></p>	
<p>30. Are persons who are denied eligibility given notice of their right of appeal?</p> <p>Is presumptive eligibility granted if the appeal is not decided within 30 days until eligibility is denied?</p> <p><i>Persons denied eligibility must be given the notice of the right of appeal. If the appeal is not decided within 30 days, presumptive eligibility must be granted until the appeal is decided.</i></p>	
<p>31. Do you provide complementary paratransit service to ADA eligible individuals and their personal care attendants (PCA)?</p> <p>Do you charge the PCA a fare?</p> <p><i>ADA requires that you provide complementary paratransit service to a PCA and prohibits charging the PCA a fare.</i></p>	

<p>32. Do you provide complementary paratransit service to ADA eligible individuals and at least one companion? Additional companions if space permits? <i>ADA requires the provision of service to at least one companion and additional companions if space permits.</i></p>	
<p>33. Do you provide complementary paratransit to ADA-eligible visitors for up to 21 days over a year's period? <i>ADA requires service to be provided to ADA-eligible visitors for up to 21 days over a year's period.</i></p>	
<p>34. Do you provide service within ¾ miles of fixed routes and the core service area? <i>Complementary paratransit service must be provided with ¾ miles of fixed routes and the core service area.</i></p>	
<p>35. At a minimum, do you provide curb-to-curb service? Origin-to-destination when necessary? <i>At a minimum, complementary paratransit service must be curb-to-curb service but must be origin-to-destination when needed.</i></p>	
<p>36. Is service provided the same days and hours as fixed-route service? <i>Complementary paratransit must be provided the same days and hours as fixed-route service.</i></p>	
<p>37. Are the fares no more than twice the fares for fixed-route service? <i>Fares for complementary paratransit service cannot be more than twice the fares for fixed-route service.</i></p>	
<p>38. Do you place restrictions or priorities based on trip purpose? <i>Providers may not place restrictions or priorities based on trip purpose.</i></p>	
<p>39. Is next day service provided? If yes, what percent of reservations are made for the next day? <i>At a minimum, next day service must be provided.</i></p>	
<p>40. Are requests for reservations accepted during normal business hours on all days prior to days of service, even if the administrative office is closed? How are reservations accepted when the administrative office is closed? <i>Requests for reservations must be accepted during normal business hours on all days prior to days of service, even if the administrative office is closed. Answering machines can be used to take reservations.</i></p>	

<p>41. Are trips scheduled within one hour of requested trip time? <i>Trips must be schedule within one hour of the requested trip time.</i></p>	
<p>42. Are rides that are not scheduled in a one-hour window tracked as denials even if the rider accepts an alternative time? When one leg of a trip cannot be reserved, is it tracked as two denials when the rider declines the trip? <i>Rides not scheduled in a one-hour window must be tracked as denials even if the rider accepts an alternative time. Trips where when one leg of a trip cannot be reserved and the rider declines the trip must be tracked as two denials.</i></p>	
<p>43. Is a no-show suspension/late cancellation suspension policy used? If yes: <i>ADA allows providers to temporarily suspend service for a pattern or practice of no-shows. Only no-shows that are under the rider's normal control should be counted against the rider.</i></p>	
<p>a. What is the suspension policy for no-shows?</p>	
<p>b. How does the state or subrecipient determine whether or not no-shows are under the rider's control?</p>	
<p>c. Are no-shows caused by operator error counted against the rider?</p>	
<p>d. What are the thresholds for a cancellation before it is considered a no-show?</p>	
<p>e. Are only riders who have demonstrated a true pattern or practice of no-shows suspended?</p>	
<p>f. Are financial penalties assessed for no-shows? <i>Systems may not impose a financial penalty as part of a no-show policy, including charging the fare for the no-show trip.</i></p>	
<p>g. Are riders allowed to contest no-shows?</p>	
<p>h. Is there an appeals process for suspensions? <i>The policy should allow riders to contest no-shows and there must be an appeals process for suspensions.</i></p>	

The purpose of the following questions is to determine if there is a capacity constraint. Grantees may not restrict capacity to limit the number of complementary paratransit trips.

<p>44. When someone calls for reservation, how many times does the phone ring before the schedule answers the phone? When one line is busy, do calls roll over to another line? If yes, how many lines do you have? Are callers put on hold? Do callers receive busy signals?</p>	
<p>45. For next day service, at what time of day are reservations cut off?</p>	
<p>46. What percent of trips are subscription? Do you have excess non-subscription capacity? <i>Subscription service may not exceed 50 percent of available resources if there is no excess non-subscription capacity.</i></p>	
<p>47. What percent of requests are denied? How do you monitor trip denials?</p>	
<p>48. What do you consider an on-time trip? How do you monitor on-time performance? What is your on-time performance rate?</p>	
<p>49. How do you monitor missed trips? What percent of trips are missed?</p>	
<p>50. Do you have standards for excessively long trips? Do you monitor for excessively long trips?</p>	
<p>51. Do the answers to the above questions indicate that a capacity constraint exists?</p>	

DRUG AND ALCOHOL PROGRAM

Grantees and their contractors must have a drug and alcohol-testing program in place for all safety-sensitive employees. Maintenance contractors for providers in nonurbanized areas are not required to have a drug and alcohol-testing program.

<p>1. Who is the person assigned to run the drug and alcohol program for your agency?</p>	
<p>2. Who is the consortium/third party administrator (TPA)? The consortium/TPA draws the random sample, contracts the medical review officer (MRO), and usually contract the collection site.</p> <p>Do you have a contract with the consortium/TPA?</p> <p>Does the contract with the consortium/TPA specify that they must comply with FTA drug and alcohol-testing requirements (49 CFR Part 40 and 49 CFR Part 655)?</p> <p><i>The contract must specify that the testing program must be implemented in accordance with USDOT regulation, "Procedures for Transportation Workplace Drug Testing Programs" 49 CFR Part 40, as amended, and FTA regulations, "Prevention of Alcohol Misuse and Prohibited Drug Use in Transit Operations" 49 CFR Part 655.</i></p>	
<p>3. What is the name of the drug-testing lab?</p> <p>Is the lab certified by the US Department of Health and Human Services (DHHS)?</p> <p><i>The drug testing lab must be DHHS-certified. The current list of certified labs can be found at http://workplace.samhsa.gov/DrugTesting/Level_1/Pages/CertifiedLabs.aspx.</i></p>	
<p>4. Is the person listed still your medical review officer (MRO)? If no:</p> <p>Who is your new MRO?</p> <p>Is the new MRO a licensed physician (medical doctor or doctor of osteopathy), with appropriate medical training and knowledge of substance-abuse disorders?</p> <p><i>The MRO reviews the results of all positive drug tests to confirm that they are truly positive and provides a quality assurance review of the drug testing process. You can obtain the identity and qualifications of the MRO from your consortium/TPA. The MRO must be a licensed physician with appropriate medical training and knowledge of substance-abuse disorders. More information on the role of the MRO in the drug testing process can be found in §40.123 of 49 CFR Part 40.</i></p>	

<p>5. Who provides the breath alcohol technicians (BATs) or the non-evidentiary alcohol-screening testing technicians (STTs)?</p> <p>Are the technicians listed still under contract? If no:</p> <p>Has each new BAT and/or STT been trained with a National Highway Traffic Safety Administration (NHTSA)-approved course of instruction on the methodology, operation, and calibration of the specific evidential breath-testing device (EBT) and/or saliva-testing device (SD) being used by the grantee?</p> <p><i>The BAT and STT work for the collection site. The BAT conducts DOT breath alcohol screening and confirmation tests while the STT conducts saliva alcohol screening tests. Each new BAT and STT must have been trained with a NHTSA-approved course of instruction on the methodology, operation, and calibration of the EBT or SD being used. Obtain the qualifications of these individuals from the collection site. More information on the role of the BAT and STT can be found 49 CFR Subparts J through N.</i></p>	
<p>6. Is the person listed still the substance abuse professional (SAP)? If no:</p> <p>Who is the new SAP?</p> <p>Is the new SAP a licensed professional with knowledge of and clinical experience in the diagnosis and treatment of drug and alcohol-related disorders?</p> <p><i>When an employee or applicant fails a drug or alcohol test, you must refer him or her to the SAP. The SAP conducts a clinical assessment and evaluation of employees that test positive for drugs or alcohol and recommends a treatment program. The SAP must be a licensed professional with knowledge of and clinical experience in the diagnosis and treatment of drug and alcohol-related disorders. If you do not have a SAP directly under contract, contact your third party administrator for his or her qualifications. More information on the role of the SAP can be found in 49 CFR Subpart O.</i></p>	
<p>7. Do you have a drug and alcohol policy that contains the following elements:</p> <p>a) Approval by governing board with effective date indicated</p>	
<p>b) Identity of contact person designated by the employer to answer questions about the anti-drug and alcohol-misuse program</p>	

<p>c) Safety sensitive functions subject to testing and list of covered job titles</p> <p><i>Safety-sensitive functions are:</i></p> <ul style="list-style-type: none"> ▪ <i>Operation of a revenue service vehicle while in or out of revenue service</i> ▪ <i>Operation of a vehicle that requires a commercial driver's license (CDL)</i> ▪ <i>Controlling the movement or dispatch of a revenue service vehicle</i> ▪ <i>Maintenance of a revenue service vehicle (not if contracted)</i> ▪ <i>Security personnel who carry firearms</i> <p><i>Your policy must list the safety-sensitive functions performed by your agency and the job titles of persons who perform the safety-sensitive functions.</i></p>	
<p>d) Prohibited behavior, including when the regulations prohibit the use of alcohol and drugs</p>	
<p>e) Testing circumstances for drugs and alcohol</p> <p><i>Your policy must discuss the FTA-required types of testing you perform: pre-employment, random, reasonable suspicion, post-accident, return to duty (if you have a second chance policy) and follow up (if you have a second chance policy).</i></p>	
<p>f) Testing procedures</p> <p><i>The policy should reference USDOT regulation, "Procedures for Transportation Workplace Drug Testing Programs" 49 CFR Part 40 as amended.</i></p>	
<p>g) Requirement that covered employees submit to testing administered in accordance with 49 CFR Part 655</p>	
<p>h) Description of the behavior and circumstances that constitute a refusal to take a drug and/or alcohol test and a statement that refusals constitute a verified positive test</p> <p><i>The policy must list all the refusals or state that refusals to test are listed in 49 CFR 40.191 for urine collections and 40.261 for breath tests.</i></p>	
<p>i) Consequences for an employee who has a verified positive test. If the grantee has a second chance policy, a description of the evaluation and treatment processes must be included.</p>	
<p>j) Consequences for an employee found to have a breath alcohol concentration of 0.02 or greater but less than 0.04</p>	

<p>k) Negative dilute retesting policy <i>Per 40.197, the policy must state whether or not immediate retesting for negative dilutes is required and, if required, that the second test will be the test of record.</i></p>	
<p>8. Is a copy of USDOT regulation, "Procedures for Transportation Workplace Drug Testing Programs" 49 CFR Part 40, as amended, readily available to any employee who requests a copy? <i>A copy of USDOT regulation, "Procedures for Transportation Workplace Drug Testing Programs" 49 CFR Part 40 must be made available to employees upon request.</i></p>	
<p>9. What positions are in the testing pool? Are all positions safety-sensitive? Are all safety-sensitive positions that support the transit program, including those in other departments such as a central maintenance department, included in the pool and covered by the transit drug and alcohol policy?</p>	
<p>Reviewer, please enter dates for the last 4 quarters that the drug and alcohol-testing reports were received.</p>	
<p style="text-align: center;">Quarter</p>	<p style="text-align: center;">Date Submitted</p>
<p>10. Were quarterly drug and alcohol reports submitted on time for the past 4 quarters? Do the reports indicate that the grantee conducts random testing? <i>Were the tests conducted at a random rate of 25 percent for drugs and 10 percent for alcohol?</i></p>	
<p>11. How often are the names received for random testing from the third party administrator? Are random tests reasonably spread out during the draw period? Are random tests reasonably distributed across all days and hours of service? Are the date and time of notification and collection documented? <i>Random tests must be spread throughout the year, the draw period, and the hours of service. The date and time of notification and collection must be documented.</i></p>	

<p>12. Do you make proper post-accident determinations in regard to testing?</p> <p><i>Fatal accident: Employers must test all surviving covered employees on duty in the vehicle at the time of the accident and any other covered employee whose performance may have contributed to the accident.</i></p> <p><i>Nonfatal accidents: Employers must test all covered employees on duty in the vehicle at the time of the accident and any other covered employee whose performance may have contributed to the accident unless the employer determines that an employee's performance did not contribute to the accident. The employer must document the decision on whom to test and not to test.</i></p>	
<p>13. Who maintains the drug and alcohol-testing program records?</p> <p>Are they maintained in a secure location with controlled access?</p> <p><i>Grantees must maintain drug and alcohol- testing records in a secure location with controlled access.</i></p>	
<p>14. Are the following records maintained for at least 1 year:</p> <ul style="list-style-type: none"> a) Alcohol test results less than 0.02 b) Verified negative drug test results 	
<p>15. Are the following records maintained for at least 2 years:</p> <ul style="list-style-type: none"> a) Collection process for alcohol-testing except calibration of evidentiary breath testing devices b) Collection process for drug testing c) Alcohol education and training records d) Drug education and training records 	
<p>16. Are the records from previous employers kept at least 3 years?</p>	

<p>17. Are the following records maintained for at least 5 years:</p> <ul style="list-style-type: none"> a) Alcohol test records with alcohol readings of 0.02 or greater b) Drug-test records with verified positive results c) Calibration documentation of evidentiary breath-testing devices d) SAP evaluations and referrals of employees for alcohol misuse e) Employee compliance with recommendations of the SAP for drug use and/or alcohol misuse, including results of return-to-duty and follow-up testing f) SAP evaluation and referrals of employees for drug use g) MIS reports h) Refusals 	
<p>18. Does the testing laboratory only release drug test results to the MRO? <i>The testing laboratory should only release drug test results to the MRO.</i></p>	
<p>19. Is an employee's permission obtained before releasing drug and alcohol-testing records (except to the MRO, SAP, or program manager)? <i>An employee's permission must be obtained before releasing drug and alcohol-testing records to someone other than the MRO, SAP, or program manager.</i></p>	
<p>20. Are the following types of drug and alcohol tests conducted?</p> <ul style="list-style-type: none"> a) Pre-Employment (drugs only) b) Random c) Post Accident d) Reasonable Suspension e) Return to Duty f) Follow-up 	
<p>21. Are the following substances tested for:</p> <ul style="list-style-type: none"> a) Marijuana b) Cocaine c) Opiates d) Phencyclidine e) Amphetamines f) Alcohol 	

<p>22. Are employees and applicants for safety-sensitive positions who have a verified positive drug-test result or a breath-alcohol concentration of 0.04 or greater referred to a SAP for evaluation even if they are to be terminated?</p> <p><i>Employees and applicants who have a verified positive drug-test result or a breath-alcohol concentration of 0.04 or greater must be referred to a SAP for evaluation even if they are to be terminated.</i></p>	
<p>23. Have all safety-sensitive employees received 60 minutes of training on the effects and consequence of prohibited drug use on the personal health, safety, and the work environment, and on the signs and symptoms that may indicate prohibited drug use?</p> <p>When do you provide the training to new hires?</p>	
<p>24. Have supervisors who are designated to determine whether reasonable suspicion exists to require a safety-sensitive employee to undergo alcohol and/or drug-testing been provided the following training?</p> <p>a) At least 60 minutes of training on the physical, behavioral, speech, and performance indicators of probable alcohol misuse.</p> <p>b) At least 60 minutes of training on the physical, behavioral, and performance indicators of probable drug use.</p>	
<p>25. Have the annual calendar year management information system (MIS) reports been filed with MDT?</p> <p>Were the reports filed on time?</p> <p><i>Reviewer, please list the reports since the last review that are on file with the state. Note whether the reports were submitted on time and any problems with the reports.</i></p>	
<p>26. Do you obtain and review for completeness and accuracy the employer copies of the custody and control forms and alcohol testing forms?</p> <p>If you find a problem with a form, do you follow up with the collection site in writing and ask for documentation of the corrective action?</p>	
<p>27. How are vendors (e.g., collection sites, MROs) monitored to ensure compliance with program requirements?</p> <p><i>Monitoring may include conducting periodic mock collections, observing tests, investigating reports by employees of flawed procedures, requiring detailed explanations for cancelled tests, and providing vendors with copies of USDOT and FTA handbooks and procedural manuals.</i></p>	

CHARTER BUS

Grantees are prohibited from using federally funded equipment and facilities to provide charter service except in accordance with allowable exemptions or exceptions.

<p>1. Do you provide transportation for “program purposes,” that is, service that serves the needs of human service agencies or elderly persons, persons with disabilities, or low-income persons? If yes, please describe.</p> <p><i>For Sections 5310, 5311, 5316, and 5317, transportation for “program purposes,” that is, that serves the needs of either human service agencies or elderly persons, persons with disabilities, or low-income persons, is exempted from the regulation.</i></p>	
<p>2. Do you operate charter service? If yes, describe the charter service provided and answer the balance of the questions in this section.</p> <p>If no, go on to the School Bus section.</p> <p>If you are not sure, describe the service in question and the reviewer will determine whether the service was charter service and go through the balance of the questions with you during the site visit.</p> <p>[Reviewer, please review the most recent audit on file with the state for any charter revenue. Review service brochures to see if the grantee promotes charter service.]</p> <p><i>Charter service is defined as:</i></p> <p><i>Transportation provided at the request of a third party for the exclusive use of a bus or van for a negotiated price; or</i></p> <p><i>Transportation provided to the public for events or functions that occur on an irregular basis or for a limited duration and:</i></p> <ul style="list-style-type: none"> ▪ <i>A premium fare is charged that is greater than the usual or customary fixed route fare; or</i> ▪ <i>The service is paid for in whole or in part by a third party.</i> 	
<p>3. Under what exception is the charter service operated? (Please refer to the Charter Bus Exceptions and Requirements table.)</p> <p>Did you follow the procedures required by the exception?</p> <p>Please have the paperwork ready for the site visit documenting that you have complied with the procedures.</p>	

<p>4. Have you completed and submitted the Charter Service Reporting Form for each charter (to be submitted with Monthly Project Expenditure Report?)</p> <p><i>Required by MDT for service provided under the GO, QS, LE and WN exceptions. Please refer to the Charter Bus Exceptions and Requirements table.</i></p>	
<p>5. Do you maintain charter records for at least three years? Are these procedures documented?</p> <p><i>Charter records must be maintained for at least 3 years.</i></p>	
<p>6. If you use charter profit for local match, how do you determine profit?</p>	
<p>7. Have any complaints been filed alleging that the charters are in violation of the FTA regulations?</p>	
<p>8. Is charter service provided with locally owned vehicles?</p> <p>If yes, are the vehicles maintained or stored in an FTA-funded facility?</p> <p><i>Charter service using locally-owned vehicles that are maintained or stored in an FTA-funded facility must comply with the charter regulations. If maintained or stored in a non-FTA-funded facility, the service must be completely segregated from FTA-funded service.</i></p>	

CHARTER BUS EXCEPTIONS AND REQUIREMENTS

Exception	Procedure
<p>Exception 604.6 – Government officials on official government business (GO)</p> <p>(1) Is restricted to its geographic service area</p> <p>(2) Must not generate revenue, except as required by law</p> <p>(3) Is limited to 80 hours annually. May petition for additional charter hours.</p>	<p>Record the following information:</p> <ol style="list-style-type: none"> 1. Government organization's name, address, phone number, and email address 2. Date and time of service 3. Number of government officials and other passengers 4. Origin, destination, and trip length (miles and hours) 5. The fee collected, if any 6. Vehicle number (example, bus 102) <p>Retain the record for three years.</p>
<p>Exception 604.7 – Qualified human service organizations (QH)</p> <p>Service to persons:</p> <p>(1) With mobility limitations related to advanced age,</p> <p>(2) With disabilities, or</p> <p>(3) With low income.</p> <p>Organization must register if it does not receive funds from programs listed in Appendix A of the charter regulation.</p>	<p>Ensure that the human service agency is qualified, that is, it receives funds from programs listed in Appendix A of the charter regulation or has registered on the FTA charter website at least 60 days before the charter request.</p> <p>Record the following information:</p> <ol style="list-style-type: none"> 1. Qualified human service organization's name, address, phone number, and email address 2. Date and time of service 3. Number of passengers 4. Origin, destination, and trip length (miles and hours) 5. The fee collected, if any 6. Vehicle number (example, bus 102) <p>Retain the record for three years.</p>
<p>Exception 604.8 – Leasing FTA funded equipment and drivers to a charter service operator (LE) only if the following conditions exist:</p> <ol style="list-style-type: none"> 1. The operator is registered on the FTA charter registration web site 2. The operator owns and operates buses or vans in a charter service business 3. The operator received a request for charter service that exceeds its capacity either of the number of vehicles operated or the number of accessible vehicles 4. The operator has exhausted all of the available vehicles for all registered charter providers in your geographic service area. 	<p>Record the following information:</p> <ol style="list-style-type: none"> 1. Registered charter provider's name, address, telephone number, and email address 2. Number of vehicles leased, types of vehicles leased, and vehicle identification numbers 3. Documentation presented by the registered charter provider that the four conditions are satisfied. <p>Retain the record for three years.</p>

Exception	Procedure
<p>Exception 604.9 – When no registered charter provider responds to a notice posted on the FTA charter website (WN):</p> <ol style="list-style-type: none"> 1. Within 72 hours for charter service requested to be provided in less than 30 days, or 2. Within 14 calendar days for charter service requested to be provided in 30 days or more. 	<p>Include the in the e-mail notice sent to the list of registered charter providers:</p> <ol style="list-style-type: none"> 1. Customer name, address, phone number, and e-mail address (if available); 2. Requested date of service; 3. Approximate number of passengers 4. Type of equipment requested, bus(es) or van(s); 5. Trip itinerary and approximate duration; and 6. The intended fare to be charged for the service. <p>If an “undeliverable” notice is received in response to its e-mail notice, fax the notice.</p> <p>If service is provided, record the following information:</p> <ol style="list-style-type: none"> 1. The group’s name, address, phone number, and email address 2. Date and time of service 3. Number of passengers 4. Origin, destination, and trip length (miles and hours) 5. Fee collected, if any 6. Vehicle number (example, bus 102) <p>Retain all records (email sent, undeliverable notice, facsimile, record of charter) for three years.</p>
<p>Exception 604.10 – Agreement with registered charter providers</p> <p>If a new charter provider registers in the geographic service area, may continue to provider charter service for 90 days without an agreement with the newly registered charter provider.</p> <p>Any parties to an agreement may cancel at any time after providing a 90-day notice.</p>	<p>Retain records of the agreements for three years.</p>
<p>Exception 604.11 – Petitions to the Administrator for:</p> <ol style="list-style-type: none"> 1. Events of regional or national significance 2. Hardship (<200,000 population only) 3. Unique and time sensitive events that are in the public interest 	<p>For an event of regional or national significance, the petition shall describe how registered charter providers were consulted and will be utilized, include a certification that the recipient has exhausted all the registered charter providers in its service area, and submit the petition at least 90 days before the first day of the event.</p> <p>For a hardship request, the exception must be for deadhead time that exceeds total trip time from initial pick-up to final drop-off, including wait time and shall describe how the minimum duration would create a hardship on the group requesting the charter.</p> <p>For a unique and time sensitive event, the petition shall describe why the event is unique and time sensitive and would be in the public’s interest.</p> <p>Maintain records of the charters for three years.</p>
<p>Note: Charter service hours include: time spent transporting passengers, time spent waiting for passengers and “deadhead” hours.</p>	

SCHOOL BUS

Grantees are prohibited from providing exclusive school bus service unless the service qualifies under an allowable exemption and is approved by the FTA Administrator. In no case can federally funded equipment or facilities be used to provide exclusive school bus service. Head Start transportation is considered human service transportation, not school bus service.

<p>1. Is exclusive school bus service operated? If yes, does it qualify for one of the three statutory exceptions?</p> <ul style="list-style-type: none">▪ The grantee operates a school system and operates a separate and exclusive school bus service.▪ Existing private school bus operators are unable to provide adequate, safe transportation.▪ The grantee is a public body that operated school bus service prior to 1973. <p>Has the FTA administrator approved the service? Is it operated only with non-federally funded equipment and from non-federally funded facilities? <i>Grantees are prohibited from providing exclusive school bus service unless the service qualifies under an allowable exemption and is approved by the FTA administrator. In no case can federally funded equipment or facilities be used to provide exclusive school bus service.</i></p>	
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2. Are you a fixed-route operator that provides school “tripper” service? *A tripper is an extra bus that is added to a route to provide capacity or service that cannot be accommodated by the buses already in service.* If yes, does the tripper service meet the following criteria to be considered public transit service?

- a) Regularly scheduled mass transportation service?
- b) Buses are clearly marked as open to the public?
- c) Service has been modified to meet needs of students/school personnel?
- d) Service uses various fare collection systems or subsidies?
- e) Buses have no special designations (e.g., school bus, school special)?
- f) Buses use regular bus stops?
- g) Service is noted on published schedules?

If not, the service does not qualify as public transit service and cannot be provided with FTA-funded equipment or out of FTA-funded facilities.

Reviewer: please review all schedules and signs used on buses to ensure that the tripper service complies with the stated criteria.

SERVICE PLANNING AND MARKETING

SERVICE ELIGIBILITY

Section 5311 funds must be used for public transportation projects and intercity projects in nonurbanized areas. Section 5310 funds must be used to support the special transportation needs of elderly individuals and individuals with disabilities. Section 5316 funds must be used to support transportation services designed to transport low-income individuals to and from jobs and activities related to their employment and to support reverse commute projects. Section 5317 funds must be used to support new public transportation services beyond those required by the ADA and new public transportation alternatives beyond those required by the ADA designed to assist individuals with disabilities with accessing transportation service, including transportation to and from jobs and employment support services.

<p>1. What types of contract and subscription service do you provide? With whom? Do the contracts and subscription service interfere with the provision of public transit? Have you had to deny public transit trips because the contracts and subscription service utilized all available capacity? If yes, how often?</p>	
<p>2. Do the ridership data from the last quarterly reports indicate that the grantee identifies and is successful in attracting: a) General public riders (5311 recipients)</p>	
<p>b) Elderly persons and persons with disabilities (5310 recipients)</p>	
<p>c) Low-income riders for employment related trips (JARC recipients)</p>	
<p>d) Persons with disabilities (New Freedom recipients)</p>	
<p>3. Do you provide service to the general public at least 40 hours per week? Is the service available during normal commute times? <i>Section 5311 service must be provided to the general public at least 40 hours per week and be available during normal commute times.</i></p>	
<p>4. Do you rank trips by trip purpose? If yes, please provide the order of priority. Does the ranking of trips discourage the general public from using the service? Have you denied service because a trip with a lower-ranked purpose could not be accommodated? If yes, how often?</p>	

<p>5. Are vehicles clearly identified as general public transit service? Is the phone number to call for a ride on the vehicles? <i>Vehicles must be clearly identified as general public transit service.</i></p>	
<p>6. Are the vehicles marked in any way that represents exclusive use for a specific organization or clientele? <i>Vehicles may not display markings that imply exclusive use for a specific organization or clientele.</i></p>	
<p>7. Have annual updates of the marketing plan been submitted with applications? Annual updates to the marketing plan must be submitted with the application. Has the plan been implemented? [Reviewer, review the annual update submitted with the application and describe the marketing plans for the year.] <i>Annual updates to the marketing plan must be submitted with the application and the plan must be implemented.</i></p>	
<p>8. Have you advertised at least monthly in the local newspaper that the service is for use by the general public and operates during regular commute hours? <i>Grantees must advertise at least monthly in the local newspaper that the service is for use by the general public and operates during regular commute hours.</i> [Examine the newspaper file during site visit.]</p>	
<p>9. Does the agency answer the phone in such a way that the general public knows that it has contacted a public transit provider? Do you have a direct line for transportation or do all transportation calls go through the general receptionist?</p>	
<p>10. How are you listed in the phonebook?</p>	
<p>11. Do you provide meal delivery or other incidental services? If yes: How many meals or other incidental services do you deliver? At what times of the day? Do the services interfere with the provision of transit service? Do the incidental services bear the costs of the service? <i>Grantees may provide incidental service with FTA-funded vehicles but the service must not interfere with the provision of transit service and must bear the costs of providing the service.</i></p>	

12. Do you provide any service within an urbanized area (population > 50,000)? If yes:

Please describe the service.

Do you use Section 5311 assistance to support the service?

How do you allocate costs between the urbanized and nonurbanized area service?

Grantees may not use Section 5311 assistance to provide service within an urbanized area. Grantees may provide service to and from urbanized areas.

Grantees must have a state-approved methodology for allocating costs between the urban and rural service.

NONDISCRIMINATION IN THE DELIVERY OF SERVICE

FTA prohibits discrimination on the grounds of race, color, or national origin and on the grounds of low-income status. The Montana Human Rights Act prohibits discrimination on the basis of race, creed, religion, color, national origin, age, physical or mental handicap, marital status or sex. The Governor’s Executive Order No. 41-2008 prohibits discrimination on the basis of ancestry, social origin or condition, culture and sexual orientation.

1. What is the racial make up of your service area?		
2. Do you provide service to areas with minority populations? Is it the same level and quality of service that is provided areas without minority populations?		
3. Please describe the location of transit services and facilities. Have you ensured that decisions on the location of transit services and facilities are made without regard to race, creed, religion, color, national origin, age, physical or mental handicap, marital status or sex?		
4. Please review the Title VI general reporting information submitted with the last application. List all complaints alleging discrimination in the delivery of service that were reported. Follow up on the status of the complaints. Do the complaints indicate that the grantee may discriminate in the delivery of service?		
Complaint Description	Date Filed	Status
5. Have you adopted the MDT recommended Title VI complaint procedures? Were the procedures approved by the board? Who investigates complaints? <i>The Board must adopt the MDT Title VI complaint procedures.</i>		
6. Have any complaints concerning discrimination in the delivery of service been received since the last review? If yes, how were the complaints identified and resolved? Did you report the complaints to MDT within 24 hours of receipt of the complaint? <i>Title VI complaints must be reported to MDT within 24 hours of receipt of the complaint.</i>		

<p>7. How are individuals provided opportunities to participate in the transit planning and decision-making processes without regard to race, creed, religion, color, national origin, age, physical or mental handicap, marital status, sex, ancestry, social origin or condition, culture or sexual orientation?</p> <p>Have representatives of these groups expressed a need for transportation improvements? If yes, please describe.</p>	
<p>8. How do you promote your service to minority populations?</p> <p>Please provide a copy of the materials used to promote your service to minority populations.</p>	
<p>9. Do public information materials such as signs on buses, schedules, brochures, and your agency's website notify beneficiaries of:</p>	
<p>a. Protection under Title VI?</p>	
<p>b. How to obtain additional information on nondiscrimination obligations?</p>	
<p>c. How to file a complaint?</p> <p><i>Grantees must notify the public of its protections under Title IV, how to obtain additional information on nondiscrimination obligations, and how to file a complaint. The notification may not be limited to a notice on the grantee's website.</i></p>	
<p>10. Have you assessed and addressed the ability of persons with limited English proficiency (LEP) to use transit services?</p> <p><i>Grantees must assess and address the ability of persons with limited English proficiency (LEP) to use transit services.</i></p>	
<p>11. Do you deal with any non-English speaking individuals?</p> <p>If so, how do you ensure accurate communication with those persons?</p> <p><i>If needed, MDT has a list of interpreters and language identification devices.</i></p>	
<p>12. Are schedules and other public information provided in languages other than English? If yes, what languages are provided?</p>	

PUBLIC INVOLVEMENT

<p>1. If the service has implemented substantial service or fare changes, was an opportunity for a public hearing afforded?</p>	
<p>2. Have any public hearings for any reason been held in the last 3 years?</p>	
<p>3. Were the hearings scheduled at a reasonable time and accessible place?</p>	
<p>4. Are hearings conducted in accordance with due process procedures and are they fair and open?</p>	
<p>5. Has the service adequately addressed comments that were made in the hearings?</p>	
<p>6. Do you have a regular and systematic way to secure contractor, public and rider input into the system (such as annual reviews, suggestion boxes, surveys, rides by management staff and board members to assess service and interact with the public)</p>	
<p>7. What outreach efforts were undertaken to identify minority groups, low income persons, the elderly, and persons with disabilities?</p>	
<p>8. Have special efforts been undertaken to involve low income persons, minority groups, the elderly, and persons with disabilities in the planning process?</p>	
<p>9. Have you cultivated working relationships with community leaders? For example, are you a member of the chamber of commerce and do you attend meetings regularly? If there is a downtown or central business district (CBD) association do you meet with them periodically? Are you involved or do you periodically consult with local planning agencies and governmental units?</p>	
<p>10. Have you developed coalitions to support transit? If yes, please describe activities such as developing relationships with volunteer organizations. Have you used them as a source of funding or volunteers? Have you developed relationships with the league of women voters or other non-partisan advocacy groups?</p>	

MARKETING

1. How do you advertise your transit service? What media are used and how often?	
2. What group from the following list has the most knowledge and name recognition of your service? Older adults (age 60+) Youth (up to age 16) Other ages (age 16-60) Developmentally disabled Other (please specify)	
3. What other types of marketing/promotion are you doing for your transit program?	
4. Do you collect various data on a regular basis and use it in the marketing and planning process such as: a) Cleanliness of vehicles b) Cost, revenue and number of riders c) Customer comments d) Customer requests for information e) Other (please list) <i>Good practice</i>	
5. Do you have a system in place to obtain information on rider and non-rider attitudes and demographics? <i>Good practice</i>	
6. Do you conduct rider satisfaction surveys? How often? When was the last survey? <i>Good practice</i>	
7. Please describe your fare structure.	
8. Is the fare policy formally adopted by the board based on financial and socio-economic considerations? <i>Good practice</i>	
9. Is the fare policy reviewed annually? <i>Good practice</i>	
10. When was your last fare increase?	
11. What activities are undertaken to enhance and draw attention to the public image of your service?	
12. Are the public information systems complete, easy to understand and available in alternative formats?	
a. Schedules and time tables	
b. Route maps	
c. Signage and other user aides	

d. How-to-ride information	
e. Telephone information system (including a dedicated number for general public service)	
13. How and where are marketing materials (brochures, schedules) distributed?	
14. Are they displayed at key public locations such as city halls, libraries, community centers, shopping malls?	
15. Have arrangements been made with the institutions to notify you when the racks need replenishing? <i>Good practice</i>	
16. Is there a regular schedule for replenishing the racks? <i>Good practice</i>	
17. Do you have a website? If yes, does the website provide information on:	
a. Hours and days of service?	
b. Types of service?	
c. How to plan a trip?	
d. Bus schedules and maps?	
e. Public meetings and hearings?	
f. Route and schedule changes?	
g. Transit advisory committee participation and meetings?	
h. List of Board members and telephone numbers?	
i. Customer service number?	
j. Links to other transit system websites?	
k. TDD number?	
l. Sign up for an email information list?	
m. Protection under Title VI?	
n. How to file a compliment, complaint, or suggestion, including a Title VI complaint?	
o. How to obtain additional information on Title VI obligations?	
p. ADA complementary paratransit	

PLANNING AND COORDINATION

Grantees must submit annual updates to the coordination plan with the application. Grantees must coordinate to the maximum extent feasible with transportation assisted from other federal sources. Grantees located in the planning area of a metropolitan planning organization (MPO) must ensure that their program of projects is included in a transportation improvement program (TIP) for the area.

<p>1. Have annual coordination plan updates been submitted with applications? <i>Required</i></p>	
<p>2. Reviewer, please refer to the explanation in the application and describe how the grantee coordinates with other transportation providers in the area. Grantee, since submitting your application, have any additional efforts been made to coordinate service? If yes, please describe.</p>	
<p>3. Are there more opportunities for coordination?</p>	
<p>4. What groups are represented on the local transportation advisory committee (TAC)? Are private-for-profit and private-nonprofit transportation providers represented on the TAC?</p>	
<p>5. Did you provide reasonable notice to transportation providers when you submitted your application?</p>	
<p>6. Are you participating in a TransADE project?</p>	
<p>7. Do you have a current list of all providers of passenger transportation in your service area?</p>	
<p>8. Are you an active participant in your local Transportation Advisory Committee (TAC)?</p>	
<p>9. Have you considered or are you a part of a transit authority in your service area?</p>	
<p>10. If you are not a transit authority what do you view as the principal problems associated with establishing an authority?</p>	
<p>11. Have you invited school districts to participate or be included in your transportation coordination efforts?</p>	

<p>12. Which of the following coordination activities occur?</p> <ul style="list-style-type: none"> a) Consolidated purchase of service b) Central information center c) Centralized dispatch d) Planning e) Maintenance f) Purchasing (vehicles, parts, fuel) g) Training h) Management (information system, billing) i) Marketing j) Other (please describe) 	
<p>13. Are there more opportunities for coordinated activities?</p>	

SWOT ANALYSIS

The reviewer will analyze strengths, weaknesses, opportunities, and threats with the grantee during the site visit.

Strengths	Weaknesses
Opportunities	Threats

CORRECTIVE ACTIONS AND RECOMMENDED IMPROVEMENTS

Finding	Corrective Actions/ Recommended Improvement	Response	Response Date	Comment	Date Closed

LIST OF FEDERALLY-REQUIRED CLAUSES

Procurements Examined
1.
2.
3.
CLAUSE TABLE LEGEND: X – included; O - not included; NA - does not apply

REQUIREMENT	COMMENTS	MASTER AGREEMENT REFERENCE	1	2	3
All FTA-Assisted Third-Party Contracts and Subcontracts					
No Federal government obligations to third-parties by use of a disclaimer		§2.f			
Program fraud and false or fraudulent statements and related acts		§3.f			
Access to Records		§15.t			
Federal changes		§2.c(1)			
Civil Rights (EEO, Title VI & ADA)		§12			
Disadvantaged Business Enterprises (DBEs)	Contracts awarded on the basis of a bid or proposal offering to use DBEs	§12.d			
Incorporation of FTA Terms	Per FTA C 4220.1F	§15.a			
Awards Exceeding \$10,000					
Termination provisions	49 CFR §18	§11			
Awards Exceeding \$25,000					
Debarment and Suspension	Contracts >\$25,000	§3.b			
Awards Exceeding the Simplified Acquisition Threshold (\$100,000)					
Buy America	When tangible property or construction will be acquired	§14.a			
Provisions for resolution of disputes, breaches, or other litigation		§53			
Awards Exceeding \$100,000 (by Statute)					
Lobbying		§3.d			
Clean Air		§25.b			
Clean Water		§25.c			

REQUIREMENT	COMMENTS	MASTER AGREEMENT REFERENCE	1	2	3
Transport of Property or Persons					
Cargo Preference	When acquiring property suitable for shipment by ocean vessel	§14.b			
Fly America	When property or persons transported by air between U.S. and foreign destinations, or between foreign locations	§14.c			
Construction Activities					
Davis Bacon Act	Except for contracts <\$2,000 or third party contracts for supplies, materials, or articles ordinarily available on the open market	§24.a			
Copeland Anti-Kickback Act	Contracts >\$100,000	§24.a			
Contract Work Hours & Safety Standards Act	Contracts >\$100,000	§24.a			
Bonding for construction activities exceeding \$100,000	5% bid guarantee; 100% performance bond; and Payment bond equal to: <ul style="list-style-type: none"> • 50% for contracts < \$1 M • 40% for contracts > \$1 M, but < \$5 M • \$2.5 M for contracts > \$5 M 	§15.o(1)			
Seismic Safety	Contracts for construction of new buildings or additions to existing buildings	§23.e			
Nonconstruction Activities					
Nonconstruction Employee Protection (Contract Work Hours and Safety Standards Act)	Applicable to all turnkey, rolling stock and operational contracts (excluding contracts for transportation services) > \$100,000	§24.b			
Transit Operations					
Transit Employee Protective Arrangements	Applicable to Section 5307, 5309, 5311 and 5316 projects	§24.d			
Charter Service Operations		§28			
School Bus Operations		§29			
Drug and Alcohol Testing	Safety sensitive functions. Does not apply to Section 5310, 5316 and 5317 projects.	§32.b			
Planning, Research, Development, and Documentation Projects					
Patent Rights		§17			
Rights in Data and Copyrights		§18			

REQUIREMENT	COMMENTS	MASTER AGREEMENT REFERENCE	1	2	3
Miscellaneous Special Requirements					
Energy Conservation		§26			
Recycled Products	Contracts for items designated by EPA, when procuring \$10,000 or more per year	§15.k			
ADA Access	Contracts for rolling stock or facilities construction/ renovation	§12.g			
Assignability Clause	Piggyback procurements	§15.a			
Special Notification Requirements for States					
Special Notification Requirements for States		§38			