****

**COMPLIANCE SITE REVIEW (CSR)**

**REFERENCE WORKBOOK**

**Section 5310 Subrecipients**

**Wisconsin Department of Transportation (WisDOT)**

**Bureau of Transit, Local Roads, Rails and Harbors**

**Last Revised:**

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**\*This document is a working draft. Changes to this document will be made when revisions are suggested or found to be necessary.**

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#  INTRODUCTION – WisDOT COMPLIANCE REVIEW PROGRAM

## OBJECTIVE

The objective of the Wisconsin Department of Transportation (WisDOT) - Bureau of Transit, Local Roads, Rails and Harbors Compliance Review Program is to provide a consistent and thorough review of the compliance practices of WisDOT subrecipients that receive Federal funding under the Section 5310 Program. The Compliance Site Review (CSR) is designed to assist WisDOT and its subrecipients in assessing the administration and implementation of transit programs and services in Wisconsin. All subrecipients with Section 5310 capital grants and/or active assets that were purchased with funds distributed by WisDOT will be monitored through a compliance review. Reviews will also be conducted for Section 5310 subrecipients with operating and/or Mobility Management grants. Compliance Site Reviews will typically be conducted by a Consultant that is under contract with WisDOT.

WisDOT views these compliance reviews as an opportunity to provide one-on-one technical assistance, specifically tailored to the needs of each transit system, with the goal of reaching compliance in all federal oversight areas. The reviews are conducted to identify strengths, areas needing improvement and areas where subrecipients may need additional training and/or technical assistance from WisDOT staff and/or its consultant. The WisDOT CSR Reference Workbook will be utilized during the review to ensure all topic areas are covered during each CSR.

## HISTORY

The WisDOT Compliance Review Program has been established on a five-year cycle. A portion of the WisDOT Section 5310 systems have undergone a CSR over the past five years (2015-2020). The second five-year review cycle was initiated in the fall of 2020. Note that due to COVID-19, reviews will be conducted by **remote, video conference**. Given the on‐going nature of the COVID‐19 pandemic, WisDOT may opt to continue conducting reviews using this format to satisfy its obligations to ensure adequate oversight of subrecipients. Section 5310 subrecipients with a small number of vehicles will likely continue to be conducted remotely or possibly by desk review only.

The desk review allows WisDOT and/or its consultant to become familiar with your organization and identify any areas needing further attention**. Subrecipients will have three (3) weeks from the date of receipt to complete the 5310 CSR Reference Workbook** and to submit supporting documents as part of an off-site desk review. Supporting documents required for upload are listed on a separate page vi of the Workbook. Subrecipients should check the UPLOADED Document box ([ ]  Upload document to BlackCat complete) throughout the sections of the Workbook to ensure all documents have been uploaded for review.

The Consultant will schedule the remote review for a date and time that is convenient for all participants. Your organization will be asked to ensure that key staff members are available for interview during the review. The timing of the interviews is flexible to limit impact on daily operations.

## SCOPE OF REVIEW

TheCSR Reference Workbook is designed to assist WisDOT and its Consultant assess how Wisconsin Section 5310 funded systems meet the varied compliance requirements imposed by the Federal Transit Administration (FTA) and WisDOT. The overall goal of the program is to improve the agency’s compliance with applicable regulations while strengthening managements’ abilities in these areas. The review is organized into the following nine major areas:

(1) Program Management/Oversight

(2) Financial Management

(3) Procurement

(4) Asset Management

(5) Service and Operations

(6) Charter and School Bus

(7) Civil Rights

(8) Americans with Disabilities Act (ADA)

(9) Miscellaneous Provisions

In those situations where a subrecipient passes grant funds to a lower‐tier entity (e.g. contractor) that will actually operate transit services on behalf of the subrecipient, the review will begin with the subrecipient’s responsibilities to monitor compliance requirements that cannot be passed to the lower‐tier operating entity. It must be verified that the primary subrecipient of FTA funds exercises satisfactory continuing control over all Federally‐funded assets used in the project and maintains title to all project equipment. Once this portion of the review is completed, the remainder of the review will focus on the entity that operates the service.

## Pre-Review Activities

***Prepare the Site Review Package***

The WisDOT Consultant will transmit a CSR notification letter to each subrecipient, providing the subrecipient with two weeks to respond and establish a tentative CSR date that is convenient for all participants. Following the subrecipient’s response to the notification letter, the Consultant will send a CSR Package to the subrecipient that includes the WisDOT CSR Reference Workbook, the CSR Schedule, and a list of documents that should be submitted via BlackCat. The subrecipient will be provided three weeks to upload the requested documents to BlackCat, including a completed CSR Reference Workbook. For the remote reviews, WisDOT and its Consultant will determine the most appropriate software platform (GoToMeeting, Zoom, Skype, etc.) to conduct the remote/video conference and log in information will be provided prior to the review.

***Desk Review***

Subrecipients will be asked to submit documents prior to the review as part of an off-site desk review to be conducted by the Consultant. During the initial remote review period, WisDOT will rely more heavily on the desk review aspects of the program. The desk review will allow WisDOT and/or its consultant to become familiar with the subrecipient and identify any areas needing further attention prior to the review. Subrecipients should upload the applicable listed documents below to BlackCat at least one week prior to the date of the review.

|  |  |  |
| --- | --- | --- |
|  | [ ]   | Copy of most recent Section 5310 grant application submitted to WisDOT |
|  | [ ]   | Authorizing Resolution |
|  | [ ]   | Vehicle lease agreement(s)  |
|  | [ ]   | Financial management policy and procedures\*(Mobility Management and/or Operating funds received) |
|  | [ ]   | Contract with human service agencies (if applicable) |
|  | [ ]   | Approved Cost Allocation Plan\* (If applicable -Mobility Management and/or Operating funds received) |
|  | [ ]   | Sample invoice – supporting documentation for that sample. |
|  | [ ]   | Approved budget\* (Last approved budget – Mobility Management and/or Operating funds received) |
|  | [ ]   | Quarterly reports (last 4 Quarters) |
|  | [ ]   | Quarterly Reimbursement requests \* (last 4 quarters) |
|  | [ ]   | Quarterly Service Outcomes and Milestones Report\* (last 4 quarters) |
|  | [ ]   | Annual financial audit\*(Mobility Management and/or Operating funds received) |
|  | [ ]   | Written procurement policy and procedures |
|  | [ ]   | Contracts with provider (if applicable) |
|  | [ ]   | Asset inventory-funded capital items  |
|  | [ ]   | Vehicle Maintenance Plan |
|  | [ ]  | Randomly selected vehicle maintenance records  |
|  | [ ]   | Completed Vehicle Visual Inspection Forms (2) |
|  | [ ]   | Vehicle Replacement Schedule |
|  | [ ]   | Vehicle accident records |
|  | [ ]   | Vehicle insurance documentation |
|  | [ ]   | Employee Manual  |
|  | [ ]   | Training programs and/or volunteer program manual |
|  | [ ]   | Sample of Employee training record log (one) |
|  | [ ]   | Employee job descriptions (driver, dispatcher, mobility manager) |
|  | [ ]   | Operator on-board procedures/Operators Manual (Drivers manual) |
|  | [ ]   | Title VI policy/program and complaint records/files (Transit Title VI) |
|  | [ ]   | Marketing materials including brochures |
|  | [ ]   | ADA policies and procedures (if applicable) Note that there are ADA requirements that apply to all public and private entities providing public transportation service (49 CFR Part 37- Subpart G). Having written ADA policies and procedures would be a best practice for a Section 5310 subrecipient, not a requirement. |
|  | [ ]   | Service Animal Policy |
|  | [ ]   | Passenger disruptive conduct policy  |
|  | [ ]   | Pre-& post-trip inspection records (1 copy sample – the form you give your drivers) |
|  | [ ]   | Seat belt and child seat procedures (if you require seat belt use you should have a written policy) |
|  | [ ]   | Wheel chair securement procedures  |
|  | [ ]   | State and Federal Motor Carrier compliance information (if applicable – pertains to CDL drivers) |

***\**Only applicable if Section 5310 funds used for Mobility Management or operations.**

Please **UPLOAD** the requested documents to the Black Cat Grants Management System under the “Resources” tab, 2021-2022 Compliance Review file, click on the add button, and select file (this system does not allow you to upload multiple documents at one time, you will need to place all of your documents into a zip folder on your computer before uploading to upload multiple files. Please feel free to contact Judy Egnor with WisDOT at judy.egnor@dot.wi.gov if you need assistance with uploading to BlackCat.

***Schedule the Site Visit/Remote Review***

WisDOT and/or its consultant will schedule a site visit/remote review for a time that is convenient for all participants. Typically, the review will be limited to one day. The subrecipient will be asked to ensure that key staff is available for interviews during the review. The timing of the individual interviews is flexible to limit impact on daily operations. For those subrecipients that contract their operations to a lower‐tier entity/contractor, the subrecipient should ensure that the contractor participates in the review.

## The Review

***Entrance Conference***

The CSR begins with an entrance conference with subrecipient staff, WisDOT and/or its Consultant. The entrance conference is an orientation and introduction to the review, a time for defining the scope of the CSR, the role of WisDOT and the Consultant in the review, the day’s schedule, and objectives for the review.

***Review***

The CSR for Section 5310 subrecipients generally takes about four hours or less. For larger or more complex subrecipients, the review schedule could take longer. This CSR Reference Workbook will focus discussion during the site review, outlining key topic areas and questions that will be asked. Also, each review will include vehicle and facilities inspection (if applicable) to verify that assets are in good condition and in transit use.

For the remote reviews, screenshots or screen sharing capabilities of the software platforms will be

used as necessary to exchange or verify information when electronic files are not available. As appropriate, the subrecipient may be requested to take pictures of specific and narrowly‐defined portions of records (e.g.,

vehicle history, work order) using a smartphone or other device readily accessible by the subrecipient

when electronic files are not available. Pictures of vehicles and related equipment may also be needed for the remote reviews. WisDOT and/or the Consultant may provide subrecipients with templates or “best practice” sample material to assist subrecipients develop FTA-compliant documents and programs.

***Exit Conference***

An exit conference with subrecipient representatives will be conducted to discuss compliance deficiencies/findings and advisory recommendations. A finding simply represents an area of Federal or state compliance that is currently not addressed appropriately. Some of the initial findings discussed at the exit interview could change after additional information and documentation is provided, or with further analysis. It is also possible that a finding will require a follow-up for additional review.

## Post Review

WisDOT’s goal is to send the subrecipient a draft Corrective Action Plan (CAP) within two weeks of completion of the Compliance Site Review or remote review. This document lists WisDOT’s findings, advisory recommendations, recommended timeframe for resolution of the deficiencies, and provides a column for the subrecipient to note the action steps to correct the findings. The subrecipient will be provided one week to review the draft CAP and provide comments to the Consultant. Notwithstanding any subrecipient rebuttal to the Corrective Action Plan, at the end of the one-week review period, the report will be accepted by the subrecipient and WisDOT and an implicit cooperative commitment to remedy the compliance deficiencies will be established between WisDOT, the Consultant and the subrecipient.

The subrecipient will then have two weeks (14 days) to prepare written action steps and submit a CAP noting these action steps. Following the consultant’s review of the action steps, there will be a 90-day remediation period during which WisDOT expects the transit system to satisfactorily resolve all compliance findings. During the period, the review consultant will be available to assist the system; provide examples of policies, procedures, and best practices; and review subrecipient proposals for compliance remedies.

The review consultant, working closely with WisDOT staff, will monitor the subrecipient’s status toward the

closure of all findings. WisDOT and its consultant will review and approve the action steps. After acceptance of the action steps, theconsultant will maintain regular contact with the subrecipient and provide the technical assistance necessary to ensure the CAP is completed and all findings closed. The subrecipient should submit documentation/evidence to the reviewconsultant to address the recommended actions/action steps as the prepared documentation/evidence is finalized.

Note that in those situations where the subrecipient has a finding it would like to contest, the subrecipient should identify the finding and submit documentation to WisDOT and the consultant substantiating why the finding is in error.

WisDOT will strive to close all CSRs within 90 days of the initial site visit/remote review.**Instructions and Information**

⮊ All questions contained in the workbook must be answered.

* The workbook is set up, so you may answer the questions within the document. Check boxes are to the left of each “yes or no” answer. A shaded space is in place to type in answers that require a name, date, or explanation etc.
* Subrecipients should check the UPLOADED Document box ([ ]  Upload document to BlackCat complete) throughout the sections of the Workbook to ensure all documents have been uploaded for review.

⮊ Responder should answer questions as completely as necessary for the REVIEWER to make an assessment.

⮊ Responder may use “N/A”, if the question is not applicable to their organization. However, if the reviewer finds that the question must be answered you will be asked to fill in that information.

⮊ Read the narrative descriptions for each review category prior to answering the questions.

**⮊** Questions regarding the workbook may be directed to Charles Glover, RLS & Associates, Inc.,

 cglover@rlsandassoc.com or 919-971-5668.

**⮊** Electronic submission of the work and requested documents are required.

Requested documents (pg. ii-iii) and the completed workbook can be uploaded through BlackCat. (<https://secure.blackcatgrants.com/Default.aspx?site=widot> ). Your completed workbook and additional materials can be uploaded under the resources tab, click on the 2021-2022 Compliance Review file.

After completion of the upload to BlackCat you must email the RLS consultant – cglover@rlsandassoc.com requesting a review of the documents submitted.

*Please Note: Non-completion of the Compliance Review Program and the Corrective Action Plan Recommended Action items will be considered non-compliant and will be evaluated during future application processes.  A non-compliant rating on the Compliance Review will affect current quarterly reimbursements and/or future grant awards.*

Subrecipient Information

Please fill in the information in the adjacent column

|  |  |
| --- | --- |
| **Subrecipient:** |  |
|  Address: |       |
|  Phone No. (include area code) |       |
|  Fax: |       |
|  Website: |       |
| **Contact Person:** |       |
|  Phone No. (include area code) |       |
|  Email: |       |
| **Contract Service Provider (if applicable):** |       |
|  Contact Name: |       |
|  Phone No. (include area code) |       |
|  Email: |       |
| **Organizational Structure:** |  |
|  Non-Profit  |[ ]
|  Government Entity |[ ]
| **Brief Description of Transportation Service Funded:** |       |
| **Approved Service Area (from coordinated plan)**: |       |
| **Federal/State Funding Received in the past three years****(check all that apply)** | [ ] 5310 Operating funds [ ] 5310 Capital funds – vehicles[ ] 5310 Capital funds – purchase of service[ ] 5310 Mobility Management funds [ ] 85.21 State Funds – County[ ] 85.215 State Funds – Tribal Transport Elderly[ ] 85.22 State Funds – Capital  |

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**Please note: Because this is a Word document that allows you to fill in form, the page numbers may not be exact as you add information. The section numbering will stay consistent**.

# PROGRAM MANAGEMENT Section 1

## 1.1 | General Eligibility

Eligible recipients of FTA Section 5310 funds from WisDOT include private non-profit organizations and state or local governmental authorities if they are approved by WisDOT to coordinate services for seniors and individuals with disabilities; or if there are no non-profit organizations readily available in the area to provide the service.

1. **What is the name of the agency that is party to your organization grant agreement with WisDOT?**

1. **What is the organizational status of the entity that is party to your organization grant agreement with WisDOT?**

[ ] Private non-profit organizations

[ ] Local public bodies that:

* Certify that there are no non-profit organizations readily available in the area to provide the service. **or**
* Are approved by the State to coordinate services for seniors and individual with disabilities and certified that the local public body is approved as the coordinator of transportation services in the proposed service area. This approval must come from **either** a Transportation Coordinating Committee or all county boards covering the service area.
1. **If a private non-profit organization, are there articles of incorporation to establish the existence of the organization?** [ ] Yes [ ] No
2. **What capital, Vehicle or Mobility Management, projects were funded under Section 5310?**

\_\_\_\_\_\_\_\_\_

1. **Has your organization published a public notice in local newspapers serving the proposed service area describing its most recent Federal grant application?**

[ ] Yes [ ] No

1. **Does your organization contract service to a third-party provider who is the operator and/or provider of the public transit services?**

[ ] Yes [ ] No If yes provide name:

## 1.2 | Legal Authority

Subrecipients must have designated a body legally responsible for the overall organization, management and operation of the transportation system. The officials acting on behalf of subrecipients must have the appropriate authority. This is usually documented in an authorizing resolution passed by the governing body.

1. **Does your organization have written authorization documents (Authorizing Resolution)?**

[ ] Yes [ ] No [ ]  Upload of document to BlackCat complete

1. **Identify individuals responsible for each item:**

|  |  |
| --- | --- |
| * Designated Authority (highest ranking official):
 |       |
| * Authorized Official (person delegated to execute agreements, sign legally binding documents, etc.):
 |       |
| * Responsible for the financial management of the transit program:
 |       |
| * Who signs the Certifications and Assurances?
 |       |
| * Is responsible for the day-to-day management of transit related responsibilities:
 |       |
| * Maintains oversight of the third-party contractor or lessee, if applicable:
 |       |

1. **Is there a governing board resolution or other appropriate action that approves this delegation of authority?**

**Name of governing board** \_\_\_\_\_

1. **Are agency employees (skilled and trained to perform the duties associated with their job functions (e.g., daily management of staff, accounting functions, delivery of services)?**

[ ] Yes [ ] No

1. **If you contract with a third-party contractor or lessee to operate the transit service, how do you maintain oversight of your third-party contractor or (e.g., operational reports, financial reports, communications, meeting schedule, vehicle maintenance records, etc.)?**

\_\_\_\_\_

1. **Do you have vehicle lease agreement(s) in those situations where the grantee has another entity operates your agency owned vehicle(s)?**

[ ] Yes [ ] No [ ]  Upload of all lease agreements to BlackCat complete

**1.3 | Certifications and Assurances**

To receive a grant under any FTA-administered programs, WisDOT must annually assure FTA that WisDOT and subrecipients meet certain requirements. WisDOT is responsible for maintaining adequate files documenting the basis for all assurances which it makes to FTA. Each fiscal year, FTA publishes the required certifications and assurances in the *Federal Register.* This notice indicates which certifications and assurances apply to all grantees or to certain kinds of awards, and which are required for grants under specific sections. WisDOT, as the FTA recipient, must electronically submit the appropriate certifications and assurances each fiscal year for all active grants and new grants that it expects FTA to make during that fiscal year. Subrecipients are also expected to submit appropriate certifications and assurances to WisDOT.

|  |  |  |
| --- | --- | --- |
|  | **Has the subrecipient submitted the properly completed Annual Certifications and Assurances?** | [ ]  **Yes** [ ]  **No** |
|  | **Were the Annual Certifications and Assurances signed by an authorized official with proper authority?** | [ ]  **Yes** [ ]  **No** |
| If “yes,” provide name and position:       |

# FINANCIAL MANAGEMENT Section 2

|  |
| --- |
| **Does your organization have written financial management and cash control procedures?**[ ] Yes [ ] No**Does your organization receive operating funding or mobility management funding?**[ ] Yes [ ] No**If yes, you must answer all the question in this financial management section.****Does your organization receive vehicle only funding** [ ] Yes [ ] No **If yes to vehicle funding only– skip to 2 .5 | Budget** |

All subrecipients are required to establish and maintain an accounting system to which all transportation-related costs, revenues and operating costs are recorded so that they may be clearly identified, easily traced and substantially documented. The fully allocated cost of the public transit program must be clearly identified regardless of the operational nature of the agency.

## 2.1 | Accounting Practices (OPERATING AND MOBILITY MANAGEMENT GRANTS ONLY)

Grantees and third-party contractors are responsible for establishing and maintaining adequate internal control over all their functions that relate to project administration and execution.

[CFR Super Circular Part 200 (OMB A-87)](http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr200_main_02.tpl) indicates that reports reflecting the distribution of activity for each employee must be maintained for all staff members whose compensation is charged, in whole or in part, directly to a grant award.

Time charged to FTA funded programs must:

* Reflect after‐the‐fact determination of actual activity (not percentage);
* Account for the total activity of the employee;
* Be signed by the individual employee; and
* Be prepared at least monthly and coincide with one or more pay periods.

Financial records, supporting documentation and all other records pertinent to a grant must be retained by your organization and must be made readily available to authorized representatives of the U.S.DOT and the Comptroller General of the United States for a period of three (3) years plus current year following closure of the grant.

If any litigation, claim or audit is started before the expiration of the three‐year period, the records must be retained beyond three (3) years, until all litigation, claims or audit findings involving the records have been resolved.

1. **Does your organization have written financial management and cash control procedures?**

[ ] Yes [ ] No

Describe how cash is handled in your office. \_\_\_\_\_

1. **Are your charts of accounts sufficiently detailed to accumulate project revenues and expenses in detail?**

[ ] Yes [ ] No

1. **Is the chart of accounts sufficiently detailed to distinguish between project capital (Vehicle) and operating and Mobility Management expenses, if applicable?**

[ ] Yes [ ] No [ ] N/A (Only one activity - Vehicle **or** Mobility Management)

1. **Federal cost principles require that all costs incurred under a grant must be “reasonable and necessary.” Does your organization have a process in place to determine reasonable and necessary costs prior to making the expenditure?** [ ] Yes [ ] No

If “Yes,” what are these procedures? \_\_\_\_\_

1. **Does your organization adhere to the requirement that all financial records pertaining to a Federal grant be retained for three (3) years plus current year following the final payment?**

[ ] Yes [ ] No

1. **Does your agency provide service under contract to human service agencies?**

[ ] Yes [ ] No [ ]  Upload of contract to BlackCat complete

**If yes, what is the frequency for issuing invoices to the contracting organization?**

\_\_\_\_\_

1. D**oes your agency incur costs for the administration and management of the grant(s) that are billed to WisDOT?**

[ ] Yes [ ] No

## 2.2 | Indirect Costs (OPERATING AND MOBILITY MANAGEMENT GRANTS ONLY)

Indirect costs are those: (a) incurred for a common or joint purpose benefiting more than one cost objective, and (b) not readily assignable to the cost objectives specifically benefitted, without effort disproportionate to the results achieved. The term "indirect costs," applies to costs of this type originating in the grantee department, as well as those incurred by other departments in supplying goods, services and facilities.

1. **Does your organization seek reimbursement of indirect costs in its claims under its various Federal grant awards?**

[ ] Yes [ ] No

If yes, does your organization have an Indirect Cost Allocation Plan (CAP) that has been submitted for approval to a cognizant Federal agency? [ ] Yes [ ] No [ ]  Upload of CAP to BlackCat complete

1. **Is the Cost Allocation Plan (CAP) updated annually or on a multi-year period as required by the cognizant agency for indirect cost?**

[ ] Yes [ ] No [ ] N/A

**What is the date on the latest approved CAP?**

1. **Are claims for reimbursement of indirect costs made in accordance with the latest approved indirect cost rate?**

[ ] Yes [ ] No [ ] N/A

## 2.3 | Internal Controls (OPERATING AND MOBILITY MANAGEMENT GRANTS ONLY)

Subrecipients are responsible for establishing and maintaining adequate internal controls over all functions that affect implementation of a grant. To ensure proper accountability for grant funds, internal controls must be integrated with the management systems used by the grantee to regulate and guide its operations.

1. **Does your organization’s formal organizational structure clearly define, assign and delegate appropriate authority for all financial management duties? (For example, consider how is the security of financial data maintained?)**

[ ] Yes [ ] No

1. **Given the size of your organization, is there sufficient segregation of duties in financial management functions to ensure the adequate internal checks and balances exist?**

[ ] Yes [ ] No

If yes, what are these procedures? (who receives invoice, writes checks, signs checks)

\_\_\_\_\_

1. **Who has access to financial records?** \_\_\_\_\_
2. **How often is the financial system backed-up?** \_\_\_\_\_
3. **Is it backed-up to an off-site location? (i.e. cloud or off-site server)** [ ] Yes [ ] No
4. **Does your organization require pre-authorization for all reimbursable expenses to employees?**

[ ] Yes [ ] No

1. **Are bank accounts reconciled on a regular basis?**

[ ] Yes [ ] No **How often? \_\_\_\_\_\_**

**Name and title of person who performs the reconciliation? \_\_\_\_\_\_**

1. **Does anyone in the organization oversee and/or review the work of the individual assigned to reconcile bank statements (e.g., is there sufficient separation of function)?**

[ ] Yes [ ] No **Title of person who oversee? \_\_\_\_\_\_**

## 2.4 | Documentation of Costs (OPERATING AND MOBILITY MANAGEMENT GRANTS ONLY)

There are special requirements for the documentation of personnel expenses, particularly those employees whose time is split between (a) more than one Federal award; (b) a Federal award and a non‐Federal award; (c) an indirect cost activity and a direct cost activity; (d) two or more indirect activities which are allocated using different allocation bases; or (e) an unallowable activity and a direct or indirect cost activity.

1. **Does your organization maintain proper supporting documentation for routine purchases?**

[ ] Yes [ ] No [ ]  Upload sample invoice and supporting documentation to BlackCat complete

**Does a sample invoice include the proper supporting documentation?**

 [ ] Yes [ ] No

1. **How does your organization support personnel charges made to Federal grants particularly with volunteer hours charged as in-kind match?**

[ ] N/A **Explain:**

1. **Do the impacted personnel maintain personal activity reports/timesheets consistent with Office of Management and Budget (OMB) requirements:**

[ ]  Reflect an after-the-fact distribution of the actual activity of each employee.

[ ]  Account for the total activity for which each employee is compensated.

[ ]  Are the reports prepared at least monthly and must coincide with one or more pay periods?

[ ]  Are the reports signed by the employee?

## 2.5 | Budget

Applicable Office of Management and Budget (OMB) cost principles, as stated in [CFR Super Circular Part 200 (OMB A-87)](http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr200_main_02.tpl), agency program regulations, and the terms of grant and subgrant agreements will be followed in determining what costs can be charged to the grant program.

Accounting records must be supported by such source documentation as cancelled checks, paid bills, payrolls, time and attendance records, contracts, and subgrant award documents. (**Budget paragraph defined above pertains to Mobility Management/Operating. Questions below pertain to all agencies.**

 [ ]  Upload last approved transit budget to BlackCat complete

1. **Who is responsible for developing the budget?**

**Name(s):**

1. **How is the budget developed?**

**Explain:**

1. **Who is responsible for approving the budget?**

**Name(s):**

1. **How is the budget managed throughout the year?**

**Explain:**

## 2.6 | Financial Reporting

Subrecipients that contract service through competitive procurement are required to maintain and report their own administrative expenses plus amounts paid to the contract operator. Contract operators may continue to use their own accounting system, so long as that system reports financial information in accordance with WisDOT’s standardized account code structure.

1. **Does your organization submit its 5310 Quarterly Ridership Report within 30 days of the close of each quarter?** [ ] Yes [ ] No [ ]  Upload document to BlackCat complete (last 4 quarters)
2. **Does your organization submit its 5310 Quarterly Reimbursement Requests on time (Mobility Management/Operating)?** [ ] Yes [ ] No [ ]  Upload document to BlackCat complete (last 4 quarters)
3. **Does your organization submit its 5310 Quarterly Service Outcomes and Milestones Report on time (Mobility Management/Operating)?** [ ] Yes [ ] No [ ]  Upload document to BlackCat complete (last 4 quarters)
4. **Does your organization utilize monthly financial reports and/or variance reports to monitor budget adherence? (Mobility Management/Operating)**

[ ] Yes [ ] No

## 2.7 | Local Match

The local share must come from non-U.S. DOT sources, except for Federal Lands Highway Program funds. FTA permits the use of the following as local share: cash (or in-kind contribution); non-farebox revenues from transit operations (e.g., advertising and concession revenues); amounts received under a service contract with a state, local or private social service agency or organization; undistributed cash surpluses; replacement or depreciation cash funds; reserves available in cash or new capital; in-kind contributions; revenue bond proceeds (capital only); transportation development (toll) credits; program income generated from an earlier grant; Temporary Assistance for Needy Families (TANF) funds; and other non-DOT federal funds, such as Community Development Block Grant funds, if authorized by the originating program to be used for transportation.

Under Section5310 non-cash share such as donations, volunteered services or in-kind contributions can be counted toward the local match if the value of each is documented and supported, the non-cash share represents a capital cost which would otherwise be eligible under the program and is included in the net project costs in the project budget.

1. **Explain how your organization ensures sufficient funds are set aside to cover program expenses and local match dollars: (Where does your local match come from?)**

1. **What are the sources of funds being used to generate the local match? (check all that apply)**

**Statutorily Defined Sources**

[ ]  Undistributed agency cash surplus

[ ]  Replacement or depreciation cash fund or reserve

[ ]  State or local appropriations

[ ]  Dedicated tax revenue

[ ]  Private donations

[ ]  Net income derived from advertising and/or concessions

[ ]  Other:

**Other Federal funds that are unrestricted in their use as match:**

[ ]  Funds received pursuant to a service agreement with a state or local social services agency or private social service organization

[ ]  Other:

**In-Kind Contributed Services:**

[ ]  In-Kind - Describe

[ ]  Volunteer

1. **How did your organization assign fair market value to the donated or contributed service?**

[ ] N/A **Explain:**

## 2.8 | A-133 Audit

**Subrecipients expending $750,000 or more in Federal financial assistance from all sources in your organization’s fiscal year must prepare a single audit pursuant to 2 CFR part 200.500**

The legally authorized auditing body for all primary recipients is the State Board of Accounts. Primary recipients that contract with non-profit organizations via “pass‐through” arrangements to operate the transit service must require that these organizations provide WisDOT with their own A‐133 audit, if applicable. The grantee is responsible for reviewing all subcontractors’ audit reports and appropriately resolving any findings. The subcontractors’ audits must be available for review by WisDOT, upon request.

Subrecipients are responsible for prompt resolution of all audit findings and recommendations. This responsibility requires that the grantee:

* Promptly evaluate the report; determine the appropriate follow‐up actions and establish a date for their completion and complete all required actions within the established period of time.

Deficiencies or opportunities for improvement identified in an audit must be resolved by your organization. The audit is not resolved until WisDOT concurs in the documentation of steps taken to implement any needed corrective actions. The status of outstanding audit findings and recommendations should be monitored and reported by the grantee in quarterly progress reports and, where appropriate, significant events reported.

Note that all Wisconsin municipalities and counties are required to file an electronic financial report/financial statement with the Wisconsin Department of Revenue (DOR).  Municipalities and counties with a population over 25,000 must also submit an auditor’s opinion of the financial report.  These requirements can be found in State statutes 86.303(5) and 73.10 (plus DOR policies & procedures). There may be other reasons a financial report is completed. For example, a town board may request to have a financial report completed or nonprofit bylaws may require it. If an audit or financial report is completed, requirements in the WisDOT grant agreement allow WisDOT access to the audit/financial report.

1. **Did your organization receive more than $750,000 in Federal funds annually (from all sources) during any one of the last three fiscal years?**[ ] Yes [ ] No

If Yes,” did your organization prepare a single audit?

 [ ]  Yes [ ] No [ ]  Upload of single audit to BlackCat complete

If yes, does the audit contain any findings relative to your organization use of WisDOT/FTA funds?

[ ] Yes [ ] No

If "Yes," has your organization submitted a remedial action plan to WisDOT and/or resolved the findings?[ ] Yes [ ] No

1. **If transit services are contracted to a private provider, has the contractor prepared an audit and provided a copy to your agency for review?** [ ] Yes [ ] No

# PROCUREMENT Section 3

Subrecipients must comply with all federal, state and local laws, ordinances, regulations and policies regarding procurement and contracting. Circular 4220.1F documents the FTA’s procurement requirements.

Additional procurement information can be found at [https://wisconsindot.gov/Pages/doing-bus/local-gov/astnce-pgms/transit/procure.aspx](http://apwmad0p4145:37108/Pages/doing-bus/local-gov/astnce-pgms/transit/procure.aspx)

1. **Does your organization make vehicle purchases exclusively from the State Human Service Vehicle (HSV) Contract list with FTA/State funds?** [ ] Yes [ ] No
2. **Has your organization made purchases other than vehicles or vehicles independent of the HSV with FTA/State funds?**

[ ] Yes [ ] No

If yes, did your organization follow its procurement policy?

[ ] Yes [ ] No

1. **Does the subrecipient maintain a written history of every procurement?**

[ ] Yes [ ] No

## 3.1 | Standards of Conduct

The Common Grant Rules found in 49 CFR part 18 and 49 CFR part 19 require each subrecipient to maintain written standards of conduct governing the performance of its employees engaged in the award and administration of contracts.

1. **Does your organization have written procurement policies and procedures (i.e. procurement manual)?**

[ ] Yes [ ] No [ ]  Upload of document to BlackCat complete

1. **Does your organization maintain written standards of conduct governing the performance of its employees that are engaged in the award and administration of contracts? (i.e no gift policy)**

[ ] Yes [ ] No [ ]  Upload of document to BlackCat complete

If yes, Does the written policy cover officers, agents, or board members, or their immediate family members, partners, or organizations that employ or are about to employ any of the foregoing individuals? [ ] Yes [ ] No

## 3.2 | Pre-Award and Post Delivery Audit

Subrecipients purchasing vehicles through the State Vehicle Contract will be required to submit the post-delivery documentation to WisDOT. Those subrecipients that purchase vehicles independently will be responsible for both the pre‐award and post-delivery review.

[https://wisconsindot.gov/Pages/doing-bus/local-gov/astnce-pgms/transit/procure.aspx](http://apwmad0p4145:37108/Pages/doing-bus/local-gov/astnce-pgms/transit/procure.aspx)

1. **Are you aware of WisDOT’s pre-award and post -delivery review and certification process?**

[ ] Yes [ ] No

1. **Explain a typical visual vehicle inspection at delivery?**

**Who inspects?**

**How are Inspections/road tests documented?**

## 3.3 | Purchase of Service Contracts (5310 Operating only)

[https://wisconsindot.gov/Pages/doing-bus/local-gov/astnce-pgms/transit/procure-ifb.aspx](http://apwmad0p4145:37108/Pages/doing-bus/local-gov/astnce-pgms/transit/procure-ifb.aspx)

Subrecipients may purchase service from private sector transportation providers as well as public providers. Under such arrangements, certain special conditions apply to the purchase of service agreement.

The purchase of service contracts must be either a cost reimbursement or fixed price contract. (Limit or term or contract? i.e. 5 years)

* Fixed price contracts should have the cost calculated on a service or route specific basis, either vehicle or passenger miles, or a combination of both. It is not subject to any adjustment based on a contractor's cost experience in performing the contract.
* Cost reimbursement contracts should allow for a periodic evaluation of the fixed rate to accommodate changes in transportation costs. These contracts establish an estimate of total cost for obligating funds and establishing a ceiling that the contractor may not exceed (except at its own risk) without approval.
1. **Has your organization entered into any purchase of service contracts** (provider contracts)**?**

[ ] Yes [ ] No

1. **If yes, what type of contract did your organization use with the service provider?**

[ ]  Fixed price contract

[ ]  Cost reimbursement contract

1. **Explain how your organization provides oversight of contract provider (e.g., operational reports, financial reports, communications, meeting schedule, etc.)?**

\_\_\_\_\_\_

# ASSET MANAGEMENT Section 4

All property acquired using Federal funds shall be utilized and disposed of in accordance with the applicable FTA program circular, FTA Circular 5010.1D (as amended), and 49 CFR part 1201. . Title to all property purchased with Federal funds shall be vested in the name of the grantee/subrecipient.

The subrecipient and/or designated operator shall have the requisite fiscal and technical capacity to carry out the project and be responsible for maintaining required insurance coverage, property records, conducting physical inventories, implementing adequate property control systems, and maintaining the equipment in proper working condition. Documentation must be available upon request. Note that information regarding minimum Wisconsin vehicle insurance requirements can be found at [https://wisconsindot.gov/Pages/dmv/com-drv-vehs/mtr-car-trkr/mc-ins.aspx](http://apwmad0p4145:37108/Pages/dmv/com-drv-vehs/mtr-car-trkr/mc-ins.aspx).

Federally‐funded equipment and facilities must be kept in good operating order. Meal delivery or other incidental services provided by the grantee cannot conflict with the provision of public transit service or result in a reduction of service to transit passengers. If incidental service is provided, then the subrecipient or operator must ensure that it fully recovers the cost of service.

|  |
| --- |
| Does your organization have any vehicles that were funded through the 5310 Grant Program?[ ] Yes [ ] No  If YES, continue to the next question. If NO, skip to Section 7 Civil Rights |

## 4.1 | Continuing Control of Assets (Vehicles)

***Vehicle Maintenance Records***

 24. Does your organization maintain an inventory for all equipment acquired with FTA funds? [ ] Yes [ ] No

* Upload of vehicle inventory to BlackCat complete
1. **Does your organization have a written vehicle maintenance plan?**

[ ] Yes [ ] No [ ]  Upload of vehicle maintenance plan to BlackCat complete

Date written or last updated:

Maintenance Manager’s Name and Title:

[https://wisconsindot.gov/Pages/doing-bus/local-gov/astnce-pgms/transit/compliance/asset.aspx](http://apwmad0p4145:37108/Pages/doing-bus/local-gov/astnce-pgms/transit/compliance/asset.aspx)(maintenance)

1. **Is there any incidental use on any of the vehicles, such as meal delivery?**

[ ] Yes [ ] No

If yes, explain how subrecipient ensures that incidental use is within program requirements and no riders are displaced:

1. **Are the vehicles leased to another entity?**

[ ] Yes [ ] No (all vehicle leases should be uploaded)

If yes, explain how vehicle condition and maintenance is monitored by your agency (contractor oversight):

1. **How does your organization seek warranty claims on vehicle assets?**

Explain:

1. **Are there indicators of repetitive occurrences of any problem in any one make/model of vehicles?**

[ ] Yes [ ] No

If yes, has this been reported to WisDOT? [ ] Yes [ ] No

1. **Vehicle Inspection - Use the Inspection form (separate from workbook – attachment original to email)**
* Inspect two (2) vehicles using the form that is supplied – complete a form for each vehicle and upload to BlackCat. [ ]  Upload of vehicle inspection to BlackCat complete

***Vehicle Records Review***

1. **Provide vehicle maintenance records for three vehicles going back 18 months:**
* **Year       VIN**
* **Year       VIN**
* **Year       VIN**  [ ]  Upload of maintenance records to BlackCat complete
1. **Are maintenance records easily retrieved and well-organized?**

[ ] Yes [ ] No

1. **How do you schedule the maintenance of your vehicles?**

[ ]  Mileage [ ]  Time [ ]  Both

1. **What is the established mileage and/or time interval between preventive maintenance events?**
2. **Is the maintenance interval adhered to?**

[ ] Yes [ ] No

1. **Who inspects vehicles for mechanical issues? Name and title**

**How is this monitored?**

1. **Does your preventive maintenance program also include specific action to ensure that a vehicle’s associability features (i.e. lifts, ramps, tie downs), are maintained in good working order?**

[ ] Yes [ ] No

1. **Does your agency use WisDOT’s disposal process for your 5310 funded vehicles?**

[ ] Yes [ ] No

If no, Explain:

*Vehicles must be disposed of through BlackCat – disposal instruction are located under “Resources” here:*

[*https://wisconsindot.gov/Pages/doing-bus/local-gov/astnce-pgms/transit/compliance/asset.aspx*](http://apwmad0p4145:37108/Pages/doing-bus/local-gov/astnce-pgms/transit/compliance/asset.aspx)

1. **Does your agency have a vehicle replacement schedule?**

[ ] Yes [ ] No [ ]  Upload of document to BlackCat complete

If no, Vehicle replacement schedule template can found under “templates” here: [https://wisconsindot.gov/Pages/doing-bus/local-gov/astnce-pgms/transit/compliance/safety-bus.aspx](http://apwmad0p4145:37108/Pages/doing-bus/local-gov/astnce-pgms/transit/compliance/safety-bus.aspx)

1. **Have you suffered any causality loss of project equipment during the last 3 years?**

[ ] Yes [ ] No [ ]  Upload of accident records to BlackCat complete

If yes, did you receive an insurance settlement? [ ] Yes [ ] No

If yes, did you request guidance from WisDOT on the procedures for re-investment to replace the vehicle? [ ] Yes [ ] No

1. **Is there adequate insurance provided for all FTA funded vehicles?**

[ ] Yes [ ] No [ ]  Upload proof of insurance to BlackCat complete

1. **Does management periodically review insurance coverage?**

[ ] Yes [ ] No How often?

**Vehicle Visual Inspection Form (Note for remote reviews the form should be completed for at least two vehicles and photos provided as evidence that vehicles are properly equipped.)**

|  |  |  |
| --- | --- | --- |
| **Vehicle Review #:**       | **Reviewed by:**       | **Date:**       |
| **Vehicle Model/Make:**       | **Year:** | **VIN:**      |
| **Mileage:**       | **License Plate #:**       |
|  |
| 1. **Is the vehicle branded and/or properly marked with the subrecipient name?** [ ]  **Yes** [ ]  **No**

Name:       |
| 1. **Does the vehicle show signs of excessive wear or lack of care?** [ ]  **Yes** [ ]  **No**
 |
| 1. **Is the exterior clean and free of damage and rust?** [ ]  **Yes** [ ]  **No**
 |
| 1. **Are doors, mirror, lights, wipers and horn working in good condition?** [ ]  **Yes** [ ]  **No**
 |
| 1. **Does the emergency door and safety interlock system work?** [ ]  **Yes** [ ]  **No**
 |
| 1. **Does the interlock system prevent vehicle movement when the lift is deployed?** [ ]  **Yes** [ ]  **No**
 |
| 1. **Is the ground free of excessive fluid leakage where vehicles are parked?** [ ]  **Yes** [ ]  **No**
 |
| 1. **Is the interior clean, and is upholstery, floor covering, securement areas and railings in good condition?** [ ]  **Yes** [ ]  **No**
 |
| 1. **Are tires unevenly worn, or show Lincoln’s head on a penny?** [ ]  **Yes** [ ]  **No**
 |
| 1. **Does the vehicle start easily and run smoothly, without excessive exhaust?** [ ]  **Yes** [ ]  **No**
 |
| 1. **Does the vehicle have a Title VI public notice?** [ ]  **Yes** [ ]  **No**
 |
| 1. **Is the vehicle equipped with: fire extinguisher** [ ] **, 3 reflective triangles or 3 liquid-burning flares** [ ] **, first aid kit** [ ] **, bloodborne pathogen kit** [ ] **, strap cutter** [ ] **.**
 |
| **Comments:**      |
|  |
| **Photos taken:** [ ]  **Yes** [ ]  **No** |

# SERVICE AND OPERATIONS Section 5

The questions in this section relate to the operational efficiencies and effectiveness in the system’s various operational policies. This section addresses organization and staffing, transit operations, scheduling, dispatching, customer service, safety and security, operations planning, marketing, complaint management, and service evaluation.

## 5.1 | Service Records

1. **What method does your organization use to count rides?**

[ ]  actual counts

[ ]  estimated counts

Explain:

1. **Do you or your subcontractor and/or lessee have a method for tracking Limited English Proficient (LEP) persons?**

[ ] Yes [ ] No

Describe who keeps the information and the method of tracking LEP:

1. **Is LEP tracking information shared with the WisDOT Transit Title VI plan coordinator?**

[ ] Yes [ ] No

1. **Who is responsible for maintaining service and ridership records?**

Name/Title:

1. **Is the schedule/dispatch log compared to passenger and/or operational reports on a regular basis?**

[ ] Yes [ ] No

1. **Do your procedures account for all requests for service, including ride refusals?**

[ ] Yes [ ] No

1. **Does the system have an adequate number of dedicated phone lines for transportation reservations?**

[ ] Yes [ ] No

1. **Does dispatch operate during all hours when vehicles are in revenue service?**

[ ] Yes [ ] No

## 5.2 | Operational Efficiencies, Goals and Data Collection

1. **Does your organization use data collected to monitor operations and to develop efficiencies in providing transit services?** [ ] Yes [ ] No
2. **What is the maximum number of vehicles used at one time and how many spare vehicles result from this service level?**       **Maximum Vehicles**       **Spare Vehicles**

## 5.3 | Operational Employees

1. **Does your organization have a defined employee/volunteer training program?**

[ ] Yes [ ] No [ ]  Upload of document to BlackCat complete

1. **Are there sufficient staff resources to safely and efficiently operate transit services?**

[ ] Yes [ ] No

1. **Does your organization maintain current training records on all employees?**

[ ] Yes [ ] No [ ]  Upload one sample of training record keeping document to BlackCat complete

1. **Does the training include the following? Check all that apply:**

|  |  |  |  |
| --- | --- | --- | --- |
| [ ]  defensive driving | [ ]  passenger assistance | [ ]  ADA requirements | [ ]  passenger relations |
| [ ]  evacuation and emergency procedures | [ ]  behind the wheel orientation[ ]  Title VI | [ ]  drug and alcohol program and policy prevention  | [ ]  customer service |
| [ ]  other:        |

1. **Does your organization have a written job description for every employee and volunteer position?**

[ ] Yes [ ] No [ ]  Upload of job description(s) to BlackCat complete

1. **What is the extent of driver training prior to being permitted to drive independently?**

Training Component       (hours)

Classroom Training       (hours)

Behind the Wheel Training       (hours)

1. **Do your agency or contracted service have a written service policy or operators’ manual?**

[ ] Yes [ ] No [ ]  Upload of document to BlackCat complete

# Charter Bus and School Bus Section 6

**Charter Services**

* "Transportation provided by a recipient at the request of a third party for the exclusive use of a bus or van for a negotiated price. The following features may be characteristic of charter service:
	1. Third party pays the transit provider a negotiated price for the group;
	2. Any fares charged to individual members of the group are collected by a third party;
	3. The service is not part of the transit provider’s regularly scheduled service or is offered for a limited period; or (d) A third party determines the origin and destination of the trip as well as scheduling; or
* Transportation provided by a recipient to the public for events or functions that occur on an irregular basis or for a limited duration and:
	1. A premium fare is charged that is greater than the usual or customary fixed route fare; or
	2. The service is paid for in whole or in part by a third party.

**Vehicles purchased with 5310 funding must ensure that appropriate protocols are met before they begin charter services. Subrecipients should notify their program manager in advance of engaging in charter service to ensure the appropriate actions are taken.**

## 6.1 | Charter Bus

1. **Does your organization use federally funded equipment, or operating funds to support charter operations, defined as:**
* Transportation provided at the request of a third-party for the exclusive use of a bus or van for a negotiated price? [ ] Yes [ ] No Name of the Third-Party(ies):
* Transportation provided on an irregular basis or limited duration with a premium fare or paid for by a third party? [ ] Yes [ ] No Name of the Third-Party(ies):
1. **If yes to either question above, describe the service arrangement including passengers, frequency, fees and trip purpose for any charter bus service:**
2. **Does the service fall into one of the limited exceptions under which subrecipients may provide community-based charter services?**
* Government officials on official government business [ ] Yes [ ] No
* Qualified Human Service Organizations (QHSO) [ ] Yes [ ] No
* No Leasing FTA Funded Equipment and Drivers [ ] Yes [ ] No
* When no registered charter provider responds to notice from a recipient [ ] Yes [ ] No
* Agreement with registered charter providers [ ] Yes [ ] No
* A petition has been made to the administrator for an exception to charter service regulations

 [ ] Yes [ ] No

## 6.2 | School Bus

1. **Does your organization and/or its transit system have an agreement with local schools for transportation services?**

[ ] Yes [ ] No

1. **Does your organization use federally funded equipment or operating funds to offer exclusive** **school bus services to students? Are vehicles specifically used to transport students only to and from school and not open to the general public?**

[ ] Yes [ ] No

If yes, does the agreement satisfy any of the three exemptions below?

* + The grantee operates a school system in the area and operates a separate and exclusive school bus service for that school system. [ ] Yes [ ] No
	+ Existing private school bus operators are unable to provide adequate, safe transportation. [ ] Yes [ ] No
	+ The grantee, a public entity, has operated the service prior to August 12th, 1973 or has received a grant for facilities before November 26th, 1974 [ ] Yes [ ] No

# Civil Rights Section 7

Federal civil rights requirements are encompassed in laws, regulations, and Executive Orders. The

objective of FTA's oversight in this area is to:

* Ensure that the level and quality of transportation service is provided without regard to race, color, or national origin;
* Identify and address, as appropriate, disproportionately high and adverse human health and environmental effects, including social and economic effects of programs and activities on minority populations and low‐income populations;
* Promote the full and fair participation of all affected populations in transportation decision making;
* Prevent the denial, reduction, or delay in benefits related to programs and activities that benefit minority populations or low‐income populations; and
* Ensure meaningful access to programs and activities by persons with Limited English Proficiency.

## 7.1 | Title VI

Title VI is a federal statute and provides that no person in the United States, on the grounds of race, color or national origin, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving federal financial assistance.

Any programs or activities that receive federal transit funding must comply with Title VI. Any agency receiving federal dollars either directly from FTA, indirectly through WisDOT or both, must:

* Promote full and fair participation in transportation decision-making without regard to race, color or national origin
* Ensure meaningful access to transit-related programs and activities by persons with limited English proficiency
* Ensure the level and quality of transportation service is provided in a nondiscriminatory manner
* Prepare and submit a Transit Title VI Plan to WisDOT

Transit Title VI requirements are available on the WisDOT website: [https://wisconsindot.gov/Pages/doing-bus/local-gov/astnce-pgms/transit/compliance/title6.aspx](http://apwmad0p4145:37108/Pages/doing-bus/local-gov/astnce-pgms/transit/compliance/title6.aspx)

1. **Does your organization have a WisDOT approved Transit Title VI-ADA Plan?** [ ] Yes [ ] No

If yes, what is the date of the Transit Title VI Plan?       [ ]  Upload of document to BlackCat complete

1. **How is the Transit Title VI-ADA Plan promoted to the public?** (upload marketing materials provide web page link) \_\_\_\_\_\_

 [ ]  Upload of brochures/document to BlackCat complete

1. **Are employees informed and/or trained on Title VI and LEP requirements?** [ ] Yes [ ] No

 68. **Does the subrecipient have a public Notice of Nondiscrimination that includes:**

* A statement that the agency operates programs without regard to race, color, and national origin. [ ] Yes [ ] No
* A description of the procedures that members of the public should follow in order to request additional information on the subrecipient’s nondiscrimination obligations. [ ] Yes [ ] No
* A description of the procedures that members of the public should follow in order to file a discrimination complaint against the subrecipient.

## 7.2 | Equal Employment Opportunity (EEO)

WisDOT must ensure that their subrecipients do not discriminate against any employees or applicants for employment because of race, color, religion, national origin, sex or age. In addition, recipients and subrecipients must take affirmative actions to employ minorities and women.

An EEO program is required of all subrecipients that both:

* Employ 100 or more transit-related employees (including temporary, full, and part-time), and
* Received capital or operating assistance in excess of $1 million or planning assistance in excess of $250,000 in the previous federal fiscal year.

**69. Does your organization receive federal operating or capital funds more than $1 million or planning assistance funds in excess of $250,000 and employ 100 or more transit-related employees?**

[ ] Yes [ ] No

*\*If yes to both, your organization should have an EEO program. Please contact WisDOT for further information.*

**70. Has your organization posted an EEO statement in a conspicuous and accessible place in the workplace?** [**https://www1.eeoc.gov/employers/upload/eeoc\_self\_print\_poster.pdf**](https://www1.eeoc.gov/employers/upload/eeoc_self_print_poster.pdf)

[ ] Yes [ ] No Location of statement:

**71. Is your organization's EEO policy included in personnel policies and/or employee handbook?**

[ ] Yes [ ] No

**72.Are EEO statements included on your organization’s job applications and employment notices/job postings?**

[ ] Yes [ ] No

**73. Has your organization received any EEO/Title VI complaints in the past three years?** [ ] Yes [ ] No

[ ] If “yes,” describe the nature of the complaint or lawsuit. \_\_\_\_\_\_\_

 If “yes,” Did the subrecipient report the complaint or lawsuit to WisDOT? [ ] Yes [ ] No

**74. How does your organization ensure non-discrimination for ADA-eligible persons in terms of employment?**

# Americans with Disabilities Act (ADA) Section 8

Under the Federal Department of Transportation (DOT) Americans with Disabilities Act of 1990 (ADA) regulations, public and private transportation providers are required to operate services in a way that does not discriminate against persons with disabilities. The regulations include general nondiscrimination provisions that apply to all types of agencies and services. This civil rights law sets forth specific requirements for public transportation services, vehicle and facility accessibility, and the provision of complementary paratransit service, as well as overall requirements for a complaint process, codified by U.S. DOT in 49 CFR Part 37.

Federal DOT ADA regulations (49 CFR 37.161-167) detail specific general service requirements that apply across modes. WisDOT must monitor subrecipients for compliance with applicable ADA service provision and training requirements. All public and private transportation providers must:

* Allow service animals to accompany individuals with disabilities in vehicles and facilities
* Deploy the lift or ramp upon request, for standees as well as wheelchair-users
* Accommodate people who use a wide variety of mobility devices
* Not deny an individual transportation because a vehicle’s securement system is unable to secure the mobility device
* Make public information and communications available in accessible formats
* Accommodate persons using respirators or portable oxygen
* Train operators in the use of accessibility equipment as well as sensitivity to people with disabilities

ADA compliance responsibilities will also vary depending on the type of transportation service provided by your organization.

* 1. **| Nondiscrimination**

**75. Does your organization provide information to the public regarding the availability of accessible services?**

[ ] Yes [ ] No How is the information provided:

**76. Is your organization’s staff knowledgeable regarding ADA service requirements appropriate to the specific services offered by your organization to the public?** [ ] Yes [ ] No

**77. Have the vehicle operators and other relevant staff been trained to interact with individuals with disabilities?**

[ ] Yes [ ] No If yes, title of training

1. **Do you have a mechanism to capture, investigate and track ADA complaints?**

[ ]  Yes [ ]  No

1. **Have there been any complaints or lawsuits alleging discrimination based on disability?**

[ ] Yes [ ] No

If yes, what is the status or resolution of these complaints or lawsuits?

Describe:

1. **Does your agency provide specific fare schedule for riders with disabilities?**

[ ] Yes [ ] No

Describe:

1. **Have you encountered any circumstances where your insurance provider would not cover a potential rider?**

[ ] Yes [ ] No

If yes, how did you address this issue?

Describe:

1. **Does your organization require the driver to assist passengers with disabilities, if they need assistance, to board and de-board the vehicle?** [ ] Yes [ ] No
2. **Does your organization allow service animals to travel with persons with disabilities?**

[ ] Yes [ ] No [ ]  Upload of service animal policy to BlackCat complete

1. **Do your organization’s policies ensure adequate time for boarding and de-boarding for persons with disabilities?**

[ ] Yes [ ] No

1. **Does your organization require individuals with disabilities to use designated priority seats?**

[ ] Yes [ ] No

1. **Does your organization have a policy for dealing with individuals who engage in violent, seriously disruptive or illegal conduct?**

[ ] Yes [ ] No [ ]  Upload of document to BlackCat complete

If yes, are supervisors, dispatchers, and vehicle operators trained on this policy?

[ ] Yes [ ] No

1. **Is there an appropriate appeal process for any service refusals?**

[ ] Yes [ ] No

Where can this be found:

**8.2 Vehicles – General**

1. **Does your organizations pre-trip checklist include cycling the lift to ensure that it is in working order and checking for the presence and condition of the tie-downs in the securement area?**

[ ] Yes [ ] No [ ]  Upload 1 sample of pre-trip/post trip form to BlackCat complete

1. **Does your organization require use of securements?** [ ] Yes [ ] No

If yes, does your organization have a written policy requiring use of securements/seatbelts?

[ ] Yes [ ] No [ ]  Upload of document to BlackCat complete

1. **Does your organization allow the lift to be used by standees to board/de-board the vehicle?**

[ ] Yes [ ] No

1. **Are there any restrictions on the type of mobility devices allowed on the vehicles?**

[ ] Yes [ ] No

Describe:

1. **How do you respond to a vehicle mechanical issues (failures) to the lift or ramp while the vehicle is in service?**

Describe:

1. **What is the response time to providing service when a vehicle mechanical issues is found ?**
2. **How many days, on average, is the vehicle out of service?**
3. **Are there other accessible vehicles to fill in when a vehicle is out of service?**

[ ] Yes [ ] No

1. **Does your organization allow Personal Care Attendants (PCA) to travel with persons with disabilities and at no cost?** [ ] Yes [ ] No
2. **Does your organization allow persons with disabilities using respirators or portable oxygen?**

[ ] Yes [ ] No

1. **Who can accompany ADA paratransit eligible passengers?**
2. **Are fares charged to accompany individuals?** [ ] Yes [ ] No
3. **Does your organization have any non-accessible vehicles in your fleet?**

[ ] Yes [ ] No

1. **In those situations where only non-accessible vehicles are available, how do you ensure that the needs of non-ambulatory persons are met?**

**Describe: \_\_\_\_**

**8.3 Demand-Response Services: Equivalent Service Standards**

For an agency to purchase a non-accessible vehicle with 5310 funding the agency must determine that the services they will be providing after the purchase of the non-accessible vehicles is equivalent to the current ADA accessible service.

1. **Does your agency vehicle inventory include non-accessible vehicles?**

[ ] Yes [ ] No

1. **Is the demand response service provided for persons with disabilities equivalent to the service provided other individuals with respect to the following service characteristics?**
* **Response time** [ ] Yes [ ] No
* **Fares** [ ] Yes [ ] No
* **Geographic area of service** [ ] Yes [ ] No
* **Hours and days of service** [ ] Yes [ ] No
* **Availability of information** [ ] Yes [ ] No
* **Reservations capability** [ ] Yes [ ] No
* **Constraints on capacity or service availability** [ ] Yes [ ] No
* **Restrictions/priorities based on trip purpose** [ ] Yes [ ] No
1. **What is the makeup of your fleet regarding accessibility? (number of vehicles, vehicle type, number of wheelchair spaces and ambulatory spaces per vehicle.**

Describe:

1. **Are trip denials documented?**

*Trip denial definition: A rider requests a trip and the transit agency can only offer a trip that is outside the one-hour negotiating window (before or after the individual's desired departure time). This represents a denial regardless of whether the rider accepts such an offer.*

[ ] Yes [ ] No

If yes, is the FTA definition of a trip denial used to document the denials? [ ] Yes [ ] No

1. **Does the service operate without a substantial number of trip denials?** [ ] Yes [ ] No

**Number of denials in last year:**

1. **Are the reasons for trip denials documented?** [ ] Yes [ ] No
2. **Is it documented whether the trip request was made by a person with disabilities?**

[ ] Yes [ ] No

1. **Do the reasons for trip denials include equipment?** [ ] Yes [ ] No
2. **Does your organization have a process for making reasonable accommodation requests readily available to the public and in an accessible format?** [ ] Yes [ ] No

If Yes, how is the information communicated to the public?

##  8.4 | Reasonable Modification

Transit agencies are required to make reasonable modifications to policies, practices, and procedures to avoid discrimination and ensure that their programs are accessible to individuals with disabilities. Reasonable modification applies to an agency’s policies/practices, not the regulatory requirements.

**111. Is the subrecipient’s process for making reasonable modification requests readily available to the public and in an accessible format?** [ ]  **Yes** [ ]  **No**

* If “yes,”how is this information communicated to the public? **\_\_\_\_\_\_\_**

**112. Has the subrecipient designated an individual/job position to handle reasonable modification requests?**

[ ]  **Yes** [ ]  **No**

* If “Yes,” is the individual’s contact information contained on the transit system’s website or otherwise sufficiently promoted to the public?

**113. Does the request process for reasonable modification require advanced notice?** [ ]  **Yes** [ ]  **No**

* If “Yes,” is there adequate flexibility to accommodate request that would reasonably occur spontaneously?

[ ]  **Yes** [ ]  **No**

**114. Does the request process require the use of the term “reasonable modification” by the requestor?** [ ]  **Yes** [ ]  **No**

**115. Does the subrecipient sufficiently advertise the process for filing an FTA complaint?** [ ]  **Yes** [ ]  **No**

If “yes,” describe the advertising methods**. \_\_\_\_\_\_\_**

# Miscellaneous Provisions Section 9

## 9.1 | Transportation Coordination

Federal transit law, as amended by SAFETEA–LU (2005) and continued in MAP-21 (2012), requires that projects selected for funding under the Section 5310, be “derived from a locally developed, coordinated public transit-human services transportation plan”. Transportation coordination will: Develop and improve transportation options; improve access; minimize service duplication and facilitate appropriate cost-effective transportation with available resources.

In response to this requirement, WisDOT collaborated with Regional Planning Commission (RPC) planners to develop a coordination planning process and toolkit. <http://www.dot.wisconsin.gov/localgov/coordination/index.htm>

**116. Regardless of funding source, does your organization coordinate with others to reduce operating costs, reduce duplication of services and gain service contracts financed with state and federal funds or to serve more people?** [ ] Yes [ ] No

Explain further:

**117.Is your organization familiar with the Transportation Coordination requirement for 5310 subrecipients?**

[ ] Yes [ ] No <http://www.dot.wisconsin.gov/localgov/coordination/plans.htm>

**118.Has your organization participated in developing a local or regional human service/transportation coordinated plan?** [ ] Yes [ ] No

If Yes, does your organization’s project fall under one or more of the goals included in the coordinated plan?

[ ] Yes [ ] No

**119. Are your organization’s board members (or equivalent) knowledgeable of the adopted Coordinated Plan?**

[ ] Yes [ ] No

**120. Does your organization’s board (or equivalent) use the Coordinated Plan’s priorities to evaluate current transit performance and to plan for new services?** [ ] Yes [ ] No

**121. Is the agency a member of a local Transportation Advisory Committee (TAC) or equivalent in your area?**

[ ] Yes [ ] No

**122. Did your organization notify other transportation providers prior to submitting application?**

[ ] Yes [ ] No

## 9.2 | Training

FTA requires states to inform subrecipients of applicable federal requirements and provide technical assistance in meeting those requirements. Several FTA topic areas (including ADA and Drug & Alcohol) have specific requirements for subrecipients to train their own staff.

**123. What training is provided to staff?**

[ ]  Drug and Alcohol

[ ]  Safety

[ ]  ADA

[ ]  Passenger Assistance

[ ]  Title VI/LEP

[ ]  Other:

Explain these trainings in detail:

**124. What training is provided to and or required by your third-party contractor or lessee to ensure compliance with FTA requirements?**

[ ]  Drug and Alcohol

[ ]  ADA

[ ]  Passenger Assistance

[ ]  Title VI/LEP

[ ]  Safety

[ ]  Other:

Explain how this training is implemented:

## 9.3 | Drug and Alcohol

Subrecipients that receive only Section 5310 program assistance **must comply with the Federal Motor Carrier Safety Administration (FMCSA) rule for all employees who hold commercial driver’s licenses (49 CFR part 382).**

**125. Does your organization operate vehicles that require the driver to hold a Commercial Driver’s License?**

[ ] Yes [ ] No

**126. Does your organization and/or its service provider have a policy that it disseminates to its employees that meets the requirements of 49 CFR part 382?** [ ] Yes [ ] No

Additional drug and alcohol question may apply if your agency is a Section 5310 recipient that receives funding under one of the covered FTA programs (Section 5307, 5309, or 5311). These FTA funded programs should include any employees funded under Section 5310 projects in their testing program who conduct safety-sensitive functions as defined by 49 CFR Part 655.

|  |
| --- |
| **When the workbook is complete.** Please **UPLOAD** the completed workbook along with supporting documents to the BlackCat Grants Management System under the “Resources” tab. (click on the 2021-2022 Compliance Review folder. You can upload files by clicking on the “Add” button).**Send an email to** **cglover@rlsandassoc.com** **when this step is complete.**  |

**Survey**

**If you have time, please answer the survey questions below?**

1. **Was the format of this workbook easy to follow?** [ ] Yes [ ] No

**Comments:**

1. **Did the explanation of each section of the workbook provide you with an understanding of that section?**

[ ] Yes [ ] No **Comments:**

1. **Were the questions easy to understand?** [ ] Yes [ ] No

**Comments:**       \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

1. **Was the format of this workbook easy to fill in and answer the questions?** [ ] Yes [ ] No

**Comments:**       \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

1. **Was the WisDOT Staff member and/or consultant available to answer your questions?** [ ] Yes [ ] No

**Comments:**       \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

1. **Question or comments you may have on the WisDOT Compliance Desktop Review?**       \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_