

WEST VIRGINIA DIVISION OF PUBLIC TRANSIT



**SECTION 5311 COMPLIANCE REVIEW
WORKBOOK**

Grantee

Fiscal Year 2016

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OVERVIEW

The West Virginia Division of Public Transit is required by the Federal Transit Administration (FTA) to ensure that recipients of Section 5311 and other FTA assistance comply with federal requirements. To meet this federal mandate, the Division conducts periodic reviews of its Section 5311 grantees. Additional objectives of the reviews are to ensure compliance with state requirements, encourage progress toward achieving the established performance measures, and identify training and technical assistance needs.

The Division uses a workbook which contains a series of questions to be answered and lists materials to be reviewed. Most of the questions address FTA and state requirements. Some questions address good practices. The review process is as follows:

1. The Division reviews materials and reports on file in its office and answers as many questions in the workbook that it can. The Division notes findings from the last review and the agreed upon corrective actions. The Division emails the workbook to you.
2. You review the information entered by the Division, provide any updates to the material listed, and answer as many questions as possible. After completing the workbook, you email it to the Division and/or to the Division's designee.
3. The Division reviews your responses and follows up with you during a site visit, which should last no more than one day. During the site visit, the Division discusses answers to selected questions, tours your facility, reviews maintenance records, and follows up on corrective actions taken for findings from the last review. The site visit will end with an analysis of strengths, weaknesses, opportunities, and threats (SWOT analysis)
4. After the site visit, the Division emails a table listing findings, corrective actions, and recommendations. No corrective action will be made for those items labeled good practices; however, suggestions may be made regarding these items. The corrective actions will have a specified timeframe for implementation.

Thank you for taking the time to participate in this review. We look forward to continuing our successful and productive relationship.

William C. Robinson
Executive Director

REQUESTED MATERIALS

Please have updated or missing documents available for the site visit.

Documents	In State Files		Comment
	Y or N	Date	
Legal and Governance			
Organization chart that shows the reporting relationship to the Board			
Articles of incorporation, ordinance or order(s)			
Bylaws (if transit authority or non-profit organization)			
Sample board minutes			
Sample board financial report			
Board policy manual			
Narrative/milestone history, if maintained			
Control Environment			
Conflict of interest policy/code of conduct			
Project Management/Grant Administration			
Business continuity/disaster recovery plan (required)			
Document control/records retention procedures			
Financial Management			
Board-approved guidelines governing the acceptance of advertising (required if ads are accepted)			
Accounting policy and procedures manual (required)			
Cost allocation plan (required)			
Fare collection policies (required)			
Credit card policy			
Travel policies (if separate from DPT's policy)			
Procurement			
Procurement manual (required)			
Code of conduct governing procurements (required)			
Personnel			
Personnel manual			

Documents	In State Files		Comment
	Y or N	Date	
Job descriptions			
EEO			
EEO policy statement			
Sample job application			
Sample job posting and advertisement			
Information Technology			
Policy governing computer and Internet use			
Maintenance			
Written vehicle maintenance plan (required)			
Written facility/equipment maintenance plan (required for FTA-funded facilities)			
Service Provision			
Service policy/operator manual			
Complaint resolution procedures (required)			
Passenger rules/behavior policy			
Suspension appeals policy			
Safety and Security			
Safety, Security and Emergency Preparedness Plan (SSEPP) (required)			
Accident procedures			
Cell phone/texting policy (required)			
ADA			
ADA stop announcement policy (fixed-route service only) (required)			
ADA plan updates (CENTRA and FMCTA only)			
ADA complementary paratransit application and guidelines (CENTRA and FMCTA only)			
Marketing			
Sample marketing materials (schedules, brochures, newspaper ads, etc.). These materials must be updated at time of review.			

BACKGROUND

REVIEW INFORMATION

State coordinator: Cindy Fish Phone: 304-558-0428 Fax: 304-558-0174 Email: Cindy.E.Fish@wv.gov
Provider contact: Address: Phone: Fax: Email:
Review Dates Desk review: Site visit dates: Review closed:

INSTITUTIONAL STRUCTURE

Name:
Type of Organization (<i>City, Transit Authority, Non-Profit, etc.</i>):
Year established: Year service started:
List of Contractors (<i>if applicable</i>): - Management Contractor - Fixed Route Operating Contractor(s) - Paratransit Operating Contractor(s) - Maintenance Contractor(s):

SERVICE DESCRIPTION

Areas/communities served:
Population:
Square miles:
Number of routes:
Days and hours of operation:
Number of revenue service vehicles in fleet:
Number of employees (full-time/part-time):
Ridership for most recent year:
Coordination/transfers with:

ASSETS

Facilities:	No. of Facilities	Name/Location	Federal and/or State Interest (yes or no)
Administrative/Maintenance Facility			
Administrative Facilities			
Maintenance Facility			
Service Vehicles			
Transfer/Intermodal Center			
Storage Facility			
Bus Shelters			

PROJECT ACTIVITY

Please provide a brief description of noteworthy projects that are on-going or planned.
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ADMINISTRATION AND MANAGEMENT

LEGAL AND 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 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 or ordinance specifically mention public transportation, coordination of transportation or other passenger transportation functions?	
3. Does the Board have written bylaws for its governance which include <i>(Answer Yes or No)</i> :	
a. Duties and responsibilities	
b. Method of member selection	
c. Terms of office	
d. Frequency and notification of meetings	
e. Procedure for appointing manager	
f. Avoiding conflict of interest in:	
i) Selection of Board members	
ii) Purchasing and doing business with the agency	
iii) Employment	
4. What is the size of the Board? Are there any vacancies? If yes, how long have the positions been vacant?	
5. 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?	
6. Do Board records indicate that Board minutes are complete and signed by the elected or appointed secretary?	
7. For public entities, what steps are taken to ensure Board meetings are conducted to in accordance with the Open Governmental Proceedings Act (§6-9A-1-12)?	

8. Does a majority of Board members regularly attend meetings?	
9. How many times in a year does the Board meet? (quarterly, monthly, etc.)?	
10. Are financial reports submitted to the Board for its review and action? How often?	
11. Do you report your performance indicators to the Board? How often?	
12. Does the Board involve itself in day-to-day operations?	
13. Has training been provided to the Board concerning its role and responsibilities? How is this accomplished?	
14. Are Board members provided a handbook or policy manual? If yes, what does it contain?	
15. Are Board members provided an agency email address with which to conduct agency business and receive agency communications?	
16. 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?	
17. Does the transit agency maintain a narrative history of the organization or a list of key milestones?	
18. Are periodic reports provided to local funders providing information on cost, revenue, service and ridership?	

CONTROL ENVIRONMENT

Office of Management and Budget 2 CFR Part 200 states, “consideration should be given to the control environment over Federal programs and such factors as the expectation of management’s adherence to Federal statutes, regulations, and the terms and conditions of Federal awards and the competence and experience of personnel who administer the Federal programs.” An agency’s overall control environment sets the tone of the organization and influences the control consciousness of its employees. To successfully address risks and achieve its objectives, agency management must institute various control activities, such as segregation of duties, physical controls, and a system of approvals.

<p>1. Does agency management adequately convey the message that integrity cannot be compromised? How is this communicated to employees?</p>	
<p>2. How does management promulgate internal controls and enforce those controls-throughout the agency (e.g., checks and balances, authorizations and approvals, segregation of duties, etc.), and a positive "tone at the top?"</p>	
<p>3. How does management remain abreast of the requirements of laws and regulations pertinent to its business?</p>	
<p>4. Who conducts background and reference checks of applicants for financial, IT, and key management positions?</p>	
<p>5. Is there a formal (written) conflict of interest policy or code of conduct in effect? How is it communicated to employees?</p>	
<p>6. Are employees who handle cash, securities, and other valuable assets bonded or otherwise covered under an insurance policy?</p>	
<p>7. Do you inform the Board in a timely manner of sensitive information, investigation, and improper acts (e.g., significant litigation, investigations by regulatory agencies, embezzlement, misuses of corporate assets)?</p>	

PROJECT MANAGEMENT/GRANT ADMINISTRATION

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 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; and submit timely, accurate, and complete quarterly reports. Grantees must comply with the provisions of the special labor protection warranty [Section 5333(b)]. Grantees must have procedures for managing transit service contractors to ensure that quality service is provided.

<p>1. Who is responsible for the day-to-day management of the transit program?</p>	
<p>2. Please describe your staffing and the responsibilities of key staff. If you operate from multiple sites, please discuss the staffing and responsibilities at each site. Reviewer: Does the number of staff appear appropriate for the number and complexity of tasks and the size of the program? Is the number of staff adequate to meet FTA and state requirements? <i>DPT requires that grantees have sufficient staff to implement the program.</i></p>	
<p>3. Who is the designated “back-up” person? Is the person familiar with program rules and regulations? Does the person attend DPT-sponsored meetings and training sessions? If no, why not? <i>DPT requires that back-up personnel be trained in the program rules and regulations. It is the responsibility of the recipient agency to ensure that training is provided to these individuals.</i></p>	
<p>4. Are agency employees skilled and trained to perform the duties associated with their particular job functions (e.g., daily management of staff, accounting functions, delivery of services, etc.)?</p>	
<p>5. What training has the manager and staff undertaken in the past year?</p>	
<p>6. How are financial reports, service reports and statistical data used in day-to-day management of transit service?</p>	
<p>7. Are procedures documented, up-to-date, and approved by the Board?</p>	
<p>8. Who is responsible for preparing and submitting the project expenditure reports?</p>	

<p>9. Reviewer, please enter the following information for the past 4 required project expenditure reports. <i>DPT requires that grantees submit complete, accurate and timely project expenditure reports.</i></p>			
Report	Date Received	On Time	Comments/Issues
10. Please address any comments or issues.			
11. What three management steps have you taken in the last twelve months that would demonstrate that you have effectively managed your program and displayed sound management practices?		1.	
		2.	
		3.	
12. Does the organization have a written business continuity plan that addresses maintaining operations after a catastrophic event such as a flood or a fire? <i>Required by DPT.</i>			
13. Do you have document control and retention procedures? If yes, do they address:			
a. Records filing and storage			
b. Naming, storing, and backing up electronic files			
c. Document security			
d. Document destruction			
14. Has management established procedures to prevent unauthorized access to, or destruction of, documents, records, and assets? If yes, please describe.			
15. Are there procedures in place to ensure that terminated employees do not have access to documents, records, and assets? If yes, please describe.			
16. For 5311 grantees, is the special labor protection warranty [Section 5333(b)] posted clearly for all employees to see? <i>Section 5311 grantees must post the special labor protection warranty where affected employees may see it. Reviewer will check for posting.</i>			

<p>17. For Section 5311 grantees, have any special labor protection warranty complaints been received? If yes, were they reported to the DPT? How were the complaints resolved? <i>Section 5311 grantees must report any special labor warranty complaints and how they were resolved to DPT.</i></p>	
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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 FTA and state assistance. Grantees must practice sound financial management practices.

FINANCIAL CAPACITY	
1. Does the agency have an adequate cash flow? If not, what steps are being taken to ensure this?	
2. Do you have reserves? If yes: What is the amount? How many months of operations will it cover? <i>DPT requires grantees to have one month's operating expenses in reserve. The Division strongly recommends that grantees have at least three month's operating expenses in reserve.</i>	
3. Since the last review, were all transit program vendors paid within 30 days? If not, why not?	
4. Since the last review, have any transit employees not been paid when they were due? If yes, why?	
5. Do you generate revenue through advertising? If yes, do you have Board-approved guidelines governing the acceptance of advertisements? <i>DPT requires Board-approved guidelines governing the acceptance of advertising. Vehicles with state plates cannot carry paid political ads according to the Secretary of State. Ads for bus levies are permissible.</i>	
ACCOUNTING SYSTEMS AND POLICIES	
6. What accounting software is used?	
7. Which modules?	
8. Is information generated from the program sufficient to support expenditures to grants?	
9. Does the agency maintain an up-to-date accounting policies and procedures manual that covers accounting for fixed assets, the budget process, accounts payable process, procurement, payroll, etc.? <i>Required by DPT.</i>	
10. Is an up-to-date chart of accounts maintained and does it completely describe the nature of each account?	

11. Are the financial records being kept in accordance with Generally Accepted Accounting Principles (GAAP)?		
GRANT ACCOUNTING		
12. Are grant expenditures tracked, reviewed, and billed on a timely basis?		
13. Is there a system in place for tracking encumbrances of grant expenditures?		
14. Is appropriate supporting documentation included in grant management files?		
15. Do the financial management systems adequately account for expenses and revenues by grant/project? <i>Grantees must have the financial management systems to account for and report on grant balances.</i>		
16. Does DPT periodic review of reimbursement requests indicate that the reimbursement requests are accurate and include only eligible costs?	Desk review	
AUDITS		
17. When is your next audit scheduled? Please provide the date.		
18. Have you submitted an audit to DPT nine months after the close of the fiscal year? If not, please provide a written explanation.		
19. 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) 2 CFR 200? <i>2 CFR 200 requires that any grantee that expends more than \$500,000 in federal funds in a year must have an independent single audit conducted.</i>		
20. Have corrective actions been implemented addressing the following financial or single audit findings?		
Finding	Corrective Action	Status
OVERHEAD/COST ALLOCATION		
21. How do you allocate costs between multiple funding sources?		

<p>22. Are indirect costs charged to grants? If yes, please answer questions a – i.</p>	
<p><i>[Per Office of Management and Budget (OMB) 2 CFR Part 200, 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.]</i></p> <p><i>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 2 CFR Part 200. In addition to the initial approval by the cognizant agency, the rate must be updated annually and the plan/indirect cost rate 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 2 CFR 200?</p>	
<p>c. Who approved the plan? When was it last approved?</p>	
<p>d. Has the plan been submitted to DPT?</p>	
<p>e. Has the plan been followed?</p>	
<p>f. Has the rate been updated annually?</p>	
<p>g. Has the accounting system changed, thereby affecting the previously approved cost allocation plan/indirect cost rate and its basis of application?</p>	
<p>h. Has the indirect cost rate changed by more than 20 percent of the previously approved rate?</p>	
<p>i. Has the methodology used to calculate changed since the plan was approved?</p>	
<p>BUDGET CONTROLS</p>	
<p>23. Does the Board approve the budget?</p>	
<p>24. What is the timeline for development of the transit budget?</p>	
<p>25. Is the budget prepared in sufficient time to allow full review and interaction by the Board?</p>	
<p>26. Is the Board provided a budget with sufficient detail to make decisions about the allocation of program resources?</p>	
<p>27. Are all anticipated farebox revenue, contributions, grants, contracts and other program income projected in the overall transportation budget?</p>	

<p>28. Are reports showing actual versus budgeted expenses and variances being reviewed on a monthly basis? Who performs the comparisons?</p>	
<p>29. When changes are made in the budget line items and funds are transferred between line items, is this being documented?</p>	
<p>30. How is the Board informed of budget changes? <i>A sample form is included in the financial package.</i></p>	
<p>31. Are adequate steps taken to ensure that the system is able to operate within its yearly allocation?</p>	
<p>CASH MANAGEMENT</p>	
<p>32. Who opens the mail? Is the agency's mail opened by someone other than the cashier, accounts receivable accountant, or other accounting employees who may initiate or post journal entries?</p>	
<p>33. Does the employee who opens the mail:</p>	
<p>a. Place restrictive endorsements (e.g., For Deposit Only) on all checks received?</p>	
<p>b. Prepare a list of the money, checks, and other receipts?</p>	
<p>c. Forward all remittances to the person responsible for preparing and making bank deposits?</p>	
<p>d. Forward the total of all remittances to the person responsible for comparing it to the authenticated deposit ticket and amount recorded?</p>	
<p>34. How often are cash receipts deposited?</p>	
<p>35. Who prepares the bank deposits?</p>	
<p>36. Who makes bank deposits?</p>	
<p>37. Does an independent person verify the cash receipts listing against the deposit slips?</p>	
<p>38. Are authenticated deposit slips retained and reconciled to the corresponding amounts in the cash receipts records?</p>	
<p>39. Are banks instructed not to cash checks that are drawn to the order of the agency?</p>	
<p>40. Do remittances from various funding sources (state, local, NEMT) contain enough information to properly record them against the amount due from each source?</p>	

41. Do postings to the general ledger control accounts and subsidiary accounts include the date on which the remittance was received?	
42. Do bank account reconciliation procedures include:	
a. Accounting for the sequence of all check numbers?	
b. Examination of paid checks for date, name, endorsement, and cancellation and comparison to the cash disbursements journal?	
c. Comparison of bank deposit detail to cash receipts records?	
d. Investigation of other reconciling items (e.g., checks returned for insufficient funds)?	
e. Follow-up on old outstanding checks?	
43. Is an independent review performed of monthly bank reconciliations? Who performs the review?	
FARES AND PASSES	
44. Please answer (describe where necessary) the following questions:	
a. Are there written procedures for collecting, processing and depositing fares? <i>Required by DPT.</i>	
b. How often are the fareboxes pulled?	
c. Are there procedures in place to control cash collected by drivers/operators in the farebox?	
d. What are the procedures for the driver to turn in the fares?	
e. How often are drivers required to turn in the fares?	
f. Where are fares stored until a deposit is made?	
g. How often are the fares deposited?	
h. Who has the keys to the vaults or fare boxes?	
i. Where are the keys kept?	
j. Is this a secure location?	
k. Who makes the deposit?	
l. Is there a requirement that more than one person be present when fares are counted? <i>DPT requires two individuals to count fares.</i>	
m. Who reconciles the fares, driver's logs, and scheduler sheets?	

<p>45. If the drivers count fares and do reconciliations, have you designated transit system personnel to monitor these activities?</p>	
<p>46. Do you have written procedures governing up-front money that drivers have for making change or other expenditures such as bus washes?</p>	
<p>47. Have you implemented risk management procedures such as estimating how much a route should produce based on passenger counts to ensure the transit system is receiving the proper amount of farebox revenue? If yes, please describe. <i>Required by DPT.</i></p>	
<p>48. Do you issue passes? If yes:</p>	
<p>a. Please describe.</p>	
<p>b. How do you maintain control over the passes?</p>	
<p>c. Are they individually numbered? <i>Required by DPT.</i></p>	
<p>ACCOUNTS PAYABLE</p>	
<p>49. Do you have a petty cash fund? If yes, are there written policies and procedures in place for petty cash expenditures which include what it is used for and who is eligible to withdraw funds?</p>	
<p>50. Are purchase orders used? If yes, what is the dollar threshold for issuing a purchase order?</p>	
<p>51. Are all cash disbursements made by check, except those made from petty cash?</p>	
<p>52. Are pre-numbered checks used and all check numbers accounted for?</p>	
<p>53. Are voided checks properly defaced and retained?</p>	
<p>54. Are two signatures required on all accounts (checking, savings, investment, etc.) and checks? <i>Required by DPT.</i> Whose signatures are required? For checks, what is the dollar threshold for two signatures?</p>	
<p>a. Are the check signers independent of each other?</p>	
<p>b. Are invoices, vouchers, and other supporting documents presented to each check signer along with the checks needing signature?</p>	
<p>55. Is signing of blank checks prohibited?</p>	

56. Are checks payable to "Cash" or "Bearer" prohibited?	
57. Is access to unused checks limited to authorized persons?	
58. Are supporting documents for checks properly canceled (e.g., stamped "Paid") to avoid duplicate payments?	
59. Do proper safeguards exist to prevent checks that have been mailed from returning to the accounts payable accountant or to the employee who drew the checks?	
60. Are check signers authorized by the Board?	
61. Are all checks promptly recorded upon issuance and listed in detail (e.g., in a check register)?	
62. Are vendors' invoices, receiving reports, and purchase orders matched (i.e., three-way match) before invoices are processed?	
63. Are vendor invoices checked as to:	
a. Prices?	
b. Extensions and footings?	
c. Freight charges or allowances?	
d. Credit terms?	
64. Are there procedures in place to ensure that costs coded to FTA grants/projects are reasonable, allowable, and allocable? If yes, is the coding to FTA grants/projects reviewed and approved prior to posting?	
65. Are statements from vendors regularly reviewed and reconciled against recorded liabilities?	
66. Do adjustments to accounts payable (e.g., write-off of debit balances) require the approval of a designated official?	
CREDIT CARDS	
67. Are purchases made using credit/debit cards? If yes:	
a. Is there an up-to-date credit/debit card policy outlining procedures for making charges, obtaining documentation, and posting credit card charges to the general ledger?	
b. Who is responsible for authorizing credit/debit card charges?	
c. How many agency credit/debit cards are currently issued?	
d. To whom are they assigned?	

e. What is the purchase dollar limit?	
f. What are the credit limits on each of the cards?	
68. Are P-card and other credit card rebates used to reduce the operating deficit?	
PAYROLL	
69. Are personnel/human resources records maintained independent of the payroll processing and timekeeping functions?	
70. Are salary and wage rates authorized in writing by a designated official and/or fixed by union contract?	
71. Are sick leave, vacations, and holidays reviewed for compliance with agency policy?	
72. What is your policy regarding carrying over sick and annual leave?	
73. Do you cap the amount of sick or annual leave an employee can carryover?	
74. What is your policy towards paying out accumulated sick and annual leave when employees leave?	
75. Do you have a contingent liability account for carryover sick leave and vacation?	
76. Are detailed records maintained of the agency's liability for vacation pay and sick pay? If yes, are they reconciled to the general ledger accounts periodically?	
77. Are payroll accruals approved by a responsible official?	
78. Does the agency use a time clock and/or timesheets to capture payroll hours for:	
a. General office workers?	
b. Operations/maintenance workers?	
79. If the agency uses a time clock, are time cards signed by a supervisor at the end of the payroll period?	
80. If the agency uses time sheets, are they:	
a. Signed by the employee at the end of the payroll period?	
b. Signed by a supervisor at the end of the payroll period?	
81. Are distributions of hours (direct and indirect) to activity or departments reviewed and approved by supervisory personnel?	

82. Before payroll is disbursed, are payroll registers reviewed and approved for:	
a. Names of employees?	
b. Hours worked?	
c. Wage rates?	
d. Deductions?	
e. Agreement with payroll checks?	
83. If payroll checks are not direct deposited:	
a. Are payroll checks pre-numbered and issued in numerical sequence?	
b. Is access to un-issued payroll checks restricted?	
c. Are checks drawn and signed by designated officials who do not: Prepare the payroll? Have access to the accounting records? Have custody of cash funds?	
d. Are payroll checks distributed by someone other than the: Department heads or supervisors that approve time cards or time sheets? Persons who prepare the payroll?	
e. Is the distribution of the payroll rotated periodically to different employees without prior notice?	
84. Are employees paid out of a separate payroll bank account? If yes, is the payroll bank account reconciled by a designated employee who:	
a. Is not involved in preparing the payroll?	
b. Does not sign the checks?	
c. Does not handle the check distributions?	
85. Are terminated employees paid by the next regular payday or within four business days, whichever comes first? <i>Required by West Virginia code §21-5-4.</i>	
RECORD RETENTION	
86. Are financial records retained for at least three years after audit? <i>Grantees must maintain financial records for at least three years after the fiscal year contract has been audited.</i>	

<p>INSURANCE</p>	
<p>87. Does management periodically review insurance coverage?</p>	
<p>88. Do you carry risk, liability, workman's compensation, and fire insurance?</p>	
<p>89. If self-insured, is there a self-insurance reserve account?</p>	
<p>90. Is there a workers' compensation management system which provides for verification of accident/injury, administration of benefits, vocational rehabilitation?</p>	

SATISFACTORY CONTINUING CONTROL

Grantees must use FTA-funded equipment and facilities to provide public transportation. The number of spare vehicles must be appropriate to the size and age of the fleet, the amount of peak demand, and the projected ridership growth. Grantees must submit proof of insurance annually. Grantees must carry enough insurance to replace any FTA-funded facility or equipment such as bus washers, bus lifts, etc. Grantees must obtain prior written approval from DPT before selling, leasing, or disposing of vehicles, equipment or facilities that have remaining federal interest. Grantees must have procedures to prevent loss, damage, or theft of FTA-funded property and inventory.

1. Is property (includes rolling stock, facilities, materials, equipment, etc.) that was purchased with FTA funds being used for transit purposes?	
2. Do you make incidental use of any FTA funded real property (facility, land)? If yes:	
a. What is the incidental use?	
b. Was FTA/DPT approval obtained?	
c. Do you maintain continuing control over the property?	
d. Is revenue used for transit planning, capital, or operating expenses?	
3. Can you account for all equipment or facilities purchased with FTA funds?	
4. Is a physical inventory of equipment taken at least annually that is reconciled to the Division's inventory records?	
5. Is the Division's inventory up-to-date?	
6. Do you have a system in place to ensure against loss/damage/theft? Please describe. <i>Examples include video cameras, locks, fencing, lighting, and silent codes.</i>	
7. What are your coverage limits for: Comprehensive and collision insurance? Commercial/comprehensive general liability insurance?	
a. Are the limits sufficient to replace FTA-funded vehicles, facilities, and equipment? <i>DPT requires insurance coverage sufficient to replace the cost of the vehicle.</i>	
b. Has the proof of insurance been submitted annually? <i>DPT requires grantees to submit proof of insurance annually.</i>	

<p>8. Regarding your revenue service fleet: a. What is the number of revenue vehicles?</p>	
<p>b. What is the number of vehicles required for maximum service?</p>	
<p>c. What is the number of spare vehicles (a minus b)?</p>	
<p>d. What is the spare ratio (c divided by b)?</p>	
<p>9. How often is the maximum number of vehicles required?</p>	
<p>10. How many vehicles were in use at the time of the visit? (Reviewer will answer.)</p>	
<p>11. How many vehicles were parked or in the garage at the time of the visit? (Reviewer will answer.)</p>	
<p>12. Do future ridership projections indicate a need for additional vehicles?</p>	
<p>13. 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? <i>DPT considers a spare ratio of approximately 20 percent reasonable.</i></p>	
<p>14. Are the vehicles used appropriate for the type of service, ridership volumes, and scheduling patterns?</p>	
<p>15. Have you sent in proof of sale for retired vehicles?</p>	

PROCUREMENT

All grantees must comply with the relevant provisions of FTA Circular 4220.1F. All vehicle, construction, consultant and various other items will be procured by the Division. Grantees must obtain prior state approval for purchases of equipment and transportation service contracts. Grantees must submit all procurements estimated to cost over \$5,000 to the Division prior to bid.

1. Who is responsible for the procurement process?	
2. Do you have written procurement procedures? <i>Required by FTA/DPT.</i>	
3. Are procurement procedures approved by the Board?	
<p>4. Do you have a written code of standards of ethical conduct governing the performance of employees engaged in the award and administration of contracts that prohibits any employer, officer, or agency from participating in the selection, award, or administration of contracts?</p> <p><i>Transit authorities created under Chapter 8, Article 27, are covered by the State Ethics Act. For others, FTA requires the code to:</i></p> <ul style="list-style-type: none"> • <i>Preclude any employee, officer, agent, or board member or his or her immediate family member, partner, or organization that employs or is about to employ any of the foregoing from participating in the selection, award, or administration of a contract supported with FTA assistance.</i> • <i>Include information that the grantee's officers, employees, agents, or board members may neither solicit nor accept gifts, gratuities, favors, or anything of monetary value from contractors, potential contractors, or parties to subagreements. The policy may set minimum rules for when the financial interest is not substantial or the gift is an unsolicited item of nominal intrinsic value.</i> • <i>Provide for penalties, sanctions, or other disciplinary action for violation of such standards to the extent permitted by state or local law or regulations.</i> 	
5. 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?	
6. Are contracts split to avoid competition?	

<p>7. For purchases between \$3,000 and \$5,000, do you obtain price or rate quotations from three qualified sources? <i>Required by DPT.</i></p>	
<p>8. Who reviews and approves purchases? What are the dollar thresholds?</p>	
<p>9. Do the procedures ensure the most efficient and economic purchase?</p>	
<p>10. Do procedures ensure awards are made only to responsible contractors?</p>	
<p>11. Do the procedures address protest procedures? <i>Required by FTA/DPT.</i></p>	
<p>12. Do the procedures provide for settlement of contract issues and disputes? <i>Required by FTA/DPT.</i></p>	
<p>13. Do the procedures provide for competition in the award of revenue contracts? <i>Revenue contracts involve the use of contractors for the sale of advertising on buses and in transit facilities. If you do not procure revenue contracts, a procedure is not required.</i></p>	
<p>14. Have you attached the current federal terms and conditions to all purchase orders? <i>Required by FTA for purchased greater than \$3,000. DPT provides an updated version annually.</i></p>	
<p>15. Have you submitted procurements estimated to cost over \$5,000 (including insurance bids) to the Division of Public Transit <u>prior to bid</u>? <i>Required by DPT. Brick Street and BRIM are exempt.</i></p>	
<p>16. Is the documentation for quotes, price sheets, etc., kept for three years after audit?</p>	
<p>17. What capitalized assets have been purchased this year? List the asset and the cost. Do not list what has been received from DPT. Have capital items that cost over \$5,000 been added to AVIS? <i>DPT requires all capital items over \$5,000 cost, excluding computers, be added to AVIS.</i></p>	
<p>18. Was the lowest responsive bidder taken in each case? If not, why?</p>	
<p>19. What purchases did you make with FTA funds since the last site visit? (Examples: fuel, maintenance services, vehicles, construction, professional services (legal, accounting), etc.)</p>	

<p>a. What procedures were followed for each of the purchases?</p>	
<p>b. Did the procedures followed provide for full and open competition?</p>	
<p>c. Who administers the contracts?</p>	
<p>d. Do the files document the procurement history? Reviewer, use the attached procurement file review sheet.</p>	
<p>20. Do any contracts exceed three years in length, including base and options? <i>DPT limits contracts, including base and options, to three years.</i></p>	
<p>21. For procurements greater than \$25,000, was the System for Award Management (www.sam.gov) searched to see if the vendor was debarred or suspended? What proof of the search do you maintain in the procurement file? <i>Recipients must search SAM before awarding contracts > \$25,000.</i></p>	
<p>22. 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 DPT in writing? <i>Grantees must provide immediate written notice to DPT for reporting to FTA if they learn that their certification or the certification of any contractors is no longer valid.</i></p>	
<p>23. As part of the post-delivery review, have you visually inspected and road tested vehicles received from DPT to ensure that they meet the contract specifications?</p>	
<p>24. Have you returned the Vehicle Inspection Checklist as soon as possible but no later than 30 days after you have received the vehicle? If no, why not? <i>Reviewer will check DPT files.</i></p>	
<p>25. Have you returned the Agency Equipment Acceptance Form as soon as possible but no later than 30 days after you have received the equipment? If no, why not?</p>	

PROCUREMENT FILE REVIEW SHEET

Awarded To: _____ Amount: _____
 Contract Number: _____ Purpose: _____
 Award Date: _____ Number of Bids Received: _____

Item	Yes	No	NA
Does the file contain an index or checklist of items that it should contain?			
Are materials filed in chronological order?			
Does the file contain in independent cost estimate?			
Does the file contain the rationale for the method of procurement and contract type?			
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?			
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?			
Does the file contain a signed contract?			
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?			
If there were changes orders, were an ICE developed and a cost/price analysis conducted?			

LOBBYING

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

1. Are FTA funds used for lobbying activities?	
2. Have you used nonfederal funds for lobbying? If yes, have you filed with the Division the Standard Form-LLL, "Disclosure Form to Report Lobbying" and any necessary updates?	
3. Have you obtained signed lobbying certifications with procurement solicitations exceeding \$100,000?	

DISADVANTAGED BUSINESS ENTERPRISE (DBE)

Grantees must not discriminate on the basis of race, color, national origin, or sex in the award and performance of FTA-assisted contracts. Grantees must provide DBEs the maximum opportunity to compete for and perform contracts and subcontracts financed in whole or in part with federal funds. A list of certified DBE firms is on the [DOT website](#). Grantees must submit semi-annual DBE reports.

<p>1. Did the grantee report on DBE activity in the semi-annual reports? <i>Grantees must submit semi-annual DBE activity reports on or before April 15 and October 15.</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 make 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. 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

Grantees should have Board-approved, comprehensive personnel policies. Current job descriptions should be on file for every position. Time and attendance records should be kept on every employee.

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?	
3. Does the Board approve changes in the personnel policies?	
4. Do you review your personnel policies on a periodic basis to ensure compliance with all applicable laws or regulations?	
5. Do you have employee grievance procedures?	
6. Are there written job descriptions on file for all positions in the transportation program?	
7. Do the job descriptions identify:	
a. Job title	
b. Primary responsibilities	
c. Performance standards	
d. Work conditions	
e. Physical requirements	
f. Safety responsibilities <i>(Note: recommendation will appear in Safety and Security.)</i>	
8. Where is the employment poster provided by DPT displayed? <i>DPT requires grantees to display the poster in a conspicuous place in the workplace.</i>	
9. How do you protect personal identifying information (PII)? <i>The Department of Homeland Security defines PII as any information that permits the identity of an individual to be directly or indirectly inferred, including any information that is linked or linkable to that individual, regardless of whether the individual is a U.S. citizen, legal permanent resident, visitor to the U.S. PII, which if lost, compromised, or disclosed without authorization, could result in substantial harm, embarrassment, inconvenience, or unfairness to an individual.</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. Grantees must post in conspicuous and accessible places and make available to employees and applicants for employment notices setting forth an EEO policy.

<p>1. Who is responsible for ensuring that EEO obligations are fulfilled? To whom does this individual report for EEO matters?</p>	
<p>2. Have you posted an EEO statement in a conspicuous and accessible place? <i>An EEO statement must be posted in a conspicuous place where employers and job applicants will see it.</i></p>	
<p>3. 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>4. Do all employees have a policies and procedures handbook?</p>	
<p>5. Are EEO statements included on your job applications and employment notices/job postings? <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 I of the ADA? <i>Title I of the ADA prohibits discrimination in employment and requires grantees to make reasonable accommodations for qualified employees and applicants.</i></p>	
<p>7. Were any EEO complaints or lawsuits 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? Did you notify DPT of the complaint? <i>DPT requires grantees to inform it of EEO complaints.</i></p>	
<p>8. Do you require employees to attend sexual harassment training?</p>	

TECHNICAL ASSISTANCE

The Division administers a program of technical assistance for its grantees, including Rural Transportation Assistance Program (RTAP).

<p>1. Do you have any training and/or technical assistance requests, needs or recommendations? (Please describe.)</p>	
<p>2. Do you have any suggestions on how RTAP funds should be used?</p>	
<p>3. How are you using the SPIDER Web? What topics would you suggest for future issues? Should it be continued?</p>	

INFORMATION TECHNOLOGY

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.

1. Are computer applications current with respect to needs and appropriate to the hardware environment?	
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?	
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?	
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?	
8. Do the servers and all computers have an uninterruptible power supply (UPS)?	
9. Is all computer equipment protected from power surges?	
10. Do you have access to the Internet? Which employees have access to the Internet?	
11. Have you used the Internet to access FTA regulations and circulars?	
12. Do you have a written policy regarding personal use of the computer, including use of the Internet?	
13. Has management established procedures for controlling access to computer programs and data files? If yes, please describe.	
14. Is access to data restricted to only those who require the data to perform their job?	

<p>15. Are the procedures for information security adequate to protect the integrity of the data?</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?</p>	
<p>17. Do you provide general computer/ application training? If yes, when was the last time that the training took place? <i>DPT encourages computer training which is an eligible expense under the Section 5311 grant. Courses may be available in your local areas at community colleges.</i></p>	

OPERATIONS AND SERVICE PROVISION

MAINTENANCE

Grantees must maintain FTA-funded equipment and facilities. Grantees must have a written maintenance plan for vehicles and facilities and facility-related equipment. Grantees 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 good operating condition. Grantees must have procedures to track when preventive maintenance inspections are due and to schedule preventive maintenance inspections in a timely manner.

Grantees must have a pre-trip inspection program that addresses vehicle condition, appearance, cleanliness, safety, and ADA accessibility equipment. Deficiencies noted in a pre-trip inspection must be repaired in a timely manner and properly reviewed by management.

Grantees must repair accessibility features promptly and take reasonable steps to continue service to persons with disabilities while repairs are being made. Grantees must maintain a file on each piece of equipment that contains daily logs, inspection checklists, and repair records.

VEHICLE MAINTENANCE	
1. Who is responsible for maintenance?	
2. Is the maintenance plan written? <i>Grantees must have a written maintenance plan.</i>	
3. What are the preventive maintenance schedules for each type of vehicle in the fleet?	
4. Do they meet the manufacturer’s minimum requirements for severe operations? <i>Preventive maintenance schedules must meet manufacturers’ minimum requirements for severe operations.</i>	
5. Is a preventive maintenance program in place for lifts and other accessibility features such as ramps, public announcement systems, tie-downs, etc.? Please describe. <i>Grantees must maintain all accessibility features and equipment in operating condition.</i>	

<p>6. 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>	
<p>7. Does the review of the maintenance records indicate that at least 80 percent of the inspections are performed on time? <i>The Division allows a 10 percent or 500-mile variance, whichever is greater, when deciding whether an inspection was performed on time.</i></p>	
<p>8. Does the review of the maintenance records indicate that the files are complete and document the maintenance conducted?</p>	
<p>9. Are pre-trip inspections conducted prior to placing a vehicle in service? <i>Pre-trip inspections must be conducted prior to placing a vehicle in service.</i></p>	
<p>10. Do you use Zonar for pre-trip inspections? If no:</p>	
<p>a. Does the pre-trip inspection address safety; vehicle operation, appearance, and cleanliness; and passenger comfort? <i>The pre-trip inspection must address safety, vehicle operation, appearance, cleanliness, and passenger comfort. SPIDER provides a sample pre-trip inspection checklist.</i></p>	
<p>b. 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? <i>Safety and other equipment must be secured so that it cannot become a projectile.</i></p>	
<p>c. Does the pre-trip inspection program address lifts and other accessibility features, such as ramps, public announcement systems, and tie-downs? <i>Grantees must have a regular system of checks and inspections for lifts and other accessibility features.</i></p>	
<p>d. As part of the pre-trip, do drivers check to ensure that tie-downs and straps are on board and clean? Where are tie-downs and straps stored on the vehicles?</p>	
<p>11. What has been your experience with Zonar?</p>	

<p>12. Are deficiencies noted in pre-trip inspections repaired timely and properly reviewed by management? Who reviews the inspections? How often? <i>Deficiencies noted in pre-trip inspections must be repaired timely and properly reviewed by management.</i></p>	
<p>13. How does the agency document maintenance activity performed to correct the reported defect? <i>SPIDER has a sample vehicle defect and correction form (Form 12).</i></p>	
<p>14. Do your drivers cycle the lift daily to keep it in good working order?</p>	
<p>15. 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? What alternative arrangements are made for riders? <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.</i></p>	
<p>16. Who is responsible for washing and cleaning the buses? How often are buses washed? What quality assurance or inspection procedures are in place to ensure buses are kept clean?</p>	
<p>17. Do the vehicles meet an acceptable level of cleanliness (exterior and interior)? (Reviewer will answer.)</p>	
<p>18. What is the system for tracking warranty issues and recovering warranty claims?</p>	
<p>19. Are warranty claims pursued effectively and promptly to conclusion?</p>	
<p>20. Have you submitted documentation to the DPT that all deficiencies contained in recall notices have been corrected?</p>	
<p>FACILITY MAINTENANCE <i>The following questions are for grantees that operate out of an FTA-funded facility.</i></p>	
<p>21. Is there a written facility maintenance plan and inspection checklist? <i>Required by FTA/DPT.</i></p>	
<p>22. Are the facilities inspected at least once a year to determine what repairs and/or maintenance are needed to the equipment or building? What was the date of the last inspection?</p>	
<p>23. Is the checklist submitted to DPT at least annually?</p>	

<p>24. Does the written plan or inspection checklist address equipment such as hydraulic lifts, bus washers, roofing systems, and HVAC systems?</p>	
<p>25. Does the written plan or inspection checklist address maintenance of ADA accessibility features, such as power-assist doors, as required by ADA?</p>	
<p>26. Do preventive maintenance checklists follow the minimum requirements determined by the manufacturer, supplier, or builder?</p>	
<p>27. For preventive maintenance performed by contractors, are the contractors required to complete checklists documenting the checks performed?</p>	
<p>28. Are files maintained on maintenance of facilities and related equipment?</p>	
<p>29. Do the files indicate that preventive maintenance inspections of facilities and related equipment are conducted at the intervals required by the plan? [Reviewer will sample maintenance records.]</p>	
<p>30. Are any features of facilities or related equipment under warranty? If yes, please list. Are warranty claims pursued?</p>	
<p>31. 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>	

PREVENTIVE MAINTENANCE REVIEW SHEET

SAMPLE:		
VEHICLE:		
Percentage of inspections completed on time (within a 10 percent or 500-mile variance, whichever is greater):		
Date	Mileage	Mileage Since Last Inspection
VEHICLE:		
Percentage of inspections completed on time (within a 10 percent or 500-mile variance, whichever is greater):		
Date	Mileage	Mileage Since Last Inspection
VEHICLE:		
Percentage of inspections completed on time (within a 10 percent or 500-mile variance, whichever is greater):		
Date	Mileage	Mileage Since Last Inspection

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 program. 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.

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?	
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?	
3. What kind of training do you provide operators/ drivers?	
4. What kind of training do you provide schedulers/ dispatchers?	
5. Is 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?	
6. Do you retain a record of who attended the training including names, sign-in sheet, and the content of the training including a list of any videos shown?	
7. Do you keep records by employee documenting the training received?	
8. Is there a written service policy or operators' manual? When was it last updated? Does the policy/manual accurately and completely document current policies governing the delivery of service?	
9. Is the assignment of drivers and vehicles appropriate for service demands, equipment, training and other relevant factors?	
10. Is schedule-making and service revision frequent and timely? When was the last time routes and schedules were revised for fixed and/or deviated route services?	

<p>11. Is schedule making coordinated with public information, dispatching and operations supervision?</p>	
<p>12. For demand-response service, what are the procedures for scheduling and dispatching trips? Are denials tracked and periodically reviewed by management?</p>	
<p>13. If service is scheduled in advance, have you made arrangements to have an answering machine take calls after business hours to schedule or cancel a ride?</p>	
<p>14. Please describe your fare structure.</p>	
<p>15. Are fares reviewed annually?</p>	
<p>16. When was your last fare increase?</p>	
<p>17. How often is the operational data that is reported on the Monthly Project Expenditure Report reviewed and discussed with management and employees?</p>	
<p>18. To whom do you report the operational data and what key management decisions have been made with the operational data?</p>	
<p>19. What operational data are reported to the Board and how often?</p>	
<p>20. Who receives complaints and how are they processed? Do you keep a record of complaints?</p>	
<p>21. Are the complaint/comment resolution procedures written? <i>DPT requires written complaint/ comment resolution procedures.</i></p>	
<p>22. Do you have a written rider's guide?</p>	
<p>23. Do the communities in which you operate have a municipal ordinance that prohibits interfering with the safe operation of a transit vehicle?</p>	
<p>24. Do you have a Board-approved policy governing standards of behavior by passengers on buses and transit property? If yes, do the procedures allow for the suspension of passengers?</p>	
<p>25. How do you handle incidents of unruly behavior? If you suspend passengers for unruly behavior, who makes the decision?</p>	
<p>26. Do you have a no-show policy? If yes, has it been approved by the Board?</p>	

<p>27. If you suspend riders for unruly behavior or no-shows, what is your appeals process for suspensions? <i>DPT requires an appeal process for suspensions.</i></p>	
<p>28. For Section 5311, describe the progress that you are making towards ensuring that your performance indicators fall within the acceptable or successful categories (see table below)?</p>	

SECTION 5311 PERFORMANCE INDICATORS

PERFORMANCE STANDARDS			
Measure	Successful	Acceptable	Needs Review
Operating Cost per Hour	< \$30	\$30-\$40	> \$40
Operating Cost per Mile	< \$1.80	\$1.80-\$3.50	> \$3.50
Operating Cost per Passenger Trip	< \$9.00	\$9.00-\$13.00	> \$13.00
Farebox Recovery Ratio	> 15%	12%-14%	< 12%
Passenger Trips per Mile	> 0.35	0.10-0.35	< 0.10
Passenger Trips per Hour	> 4	2.5 - 4	< 2.5

ACTUAL PERFORMANCE						
Measure	FY 2013	S/A/N	FY 2014	S/A/N	FY 2015	S/A/N
Operating Cost per Hour						
Operating Cost per Mile						
Operating Cost per Passenger Trip						
Farebox Recovery Ratio (percent)						
Passenger Trips per Mile						
Passenger Trips per Hour						

S = Successful, A = Acceptable, N = Needs Review

SAFETY AND SECURITY

Grantees must document that drivers have a valid operator’s license, have a safe driving record, and have been trained in the CTAA PASS course. DPT requires that all drivers have at least six hours of documented safety training per year and a physical every two years. 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 in some instances passengers must wear seat belts. Smoking is prohibited on all vehicles. Drivers must focus on driving and limit distractions when vehicles are in motion.

Section 5311 grantees must have a safety, security, and emergency preparedness plan (SSEPP).

Drivers and other personnel must understand the need for vigilance in public transportation settings to help prevent terrorism, deter crime, and increase safety throughout transit systems. Criminal background checks must be performed on applicants.

1. Who is responsible for system safety? Security?	
2. When was the safety, security, and emergency preparedness plan (SSEPP) last updated?	
3. Is the call down list current?	
4. How often do you use the SPIDER notebook? Do you have any suggestions for changes or additions?	
5. Is the following documentation maintained for all drivers of vehicles:	
a. A valid, appropriate vehicle operator's license and current annual physical	
b. A safe driving record acceptable for insurance coverage Provide the date of the last driver record check. <i>DPT requires that driving records be checked yearly.</i>	
c. If an NEMT driver, documentation of successful completion an American Red Cross, or equivalent, first aid and CPR program to handle emergency health situations and accidental injuries Do you require all drivers have these certifications?	
d. Training in defensive driving techniques	

<p>e. Training in passenger assistance and safety (CTAA PASS course) Was this course completed by all new hires within three months of the hire date per the operating contract? <i>Required by DPT.</i></p>	
<p>f. Training in operation of lifts and other accessibility equipment <i>Required by ADA.</i></p>	
<p>g. Training in substance misuse/abuse <i>Required by FTA.</i></p>	
<p>h. Criminal background check</p>	
<p>6. Do you retain a record of who attended the safety/security training including names, sign-in sheet and the content of the training including a list of any videos shown?</p>	
<p>7. Can you document at least 8 hours of safety training each year for every driver (full and part-time)? <i>Required by DPT and reviewer will verify. SPIDER has a sample.</i></p>	
<p>8. Are all vehicles outfitted with a blood-borne pathogens kit, first-aid kit, fire extinguisher, bi-directional reflective triangles, and web cutters?</p>	
<p>9. How often does the manager or the person responsible for system safety spot check these items to ensure that they are on the vehicles?</p>	
<p>10. 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? <i>All safety devices must be maintained in operative condition. Fire extinguishers must be secure, accessible, and in date.</i></p>	
<p>11. Have monthly accident reports been submitted? <i>DPT requires grantees to submit a monthly accident report with the monthly expenditure report when accidents occur.</i></p>	
<p>12. Are the procedures for handling accidents and medical emergencies kept on board the vehicles?</p>	
<p>13. Are passengers required to wear a seat belt? <i>All passengers should be encouraged to wear seat belts. Agencies are encouraged to require that seat belts be worn at all times.</i></p>	

<p>14. 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? <i>DPT discourages the operation of a vehicle while eating or drinking.</i></p>	
<p>15. Do you prohibit drivers from using a cell phone for calls or texting while the bus is in motion? <i>West Virginia prohibits the operation of a vehicle while testing or using a cell phone unless there is an emergency.</i></p>	
<p>16. Do you have "hands-free" cell phone capability for drivers?</p>	
<p>17. Are all carry-on items properly stowed before moving the vehicle? <i>DPT recommends that all carry-on items be properly stowed before moving a vehicle.</i></p>	
<p>18. Is there a methodology for identifying severe weather or other hazards that could affect agency operations and potentially trigger transit service shutdown?</p>	
<p>19. How are passengers notified of service disruptions, including those due to inclement weather?</p>	
<p>20. Does the agency have specific procedures and guidelines for drivers to follow when operating in inclement weather conditions in the service area, and have these procedures been formally communicated to drivers? Passengers?</p>	
<p>21. Who is responsible for investigating accidents?</p>	
<p>22. What are the procedures for investigating accidents?</p>	
<p>23. Does the agency have a post-accident packet for each supervisor that may investigate an accident; containing necessary forms and documents to ensure compliance with all post-accident policies?</p>	
<p>24. Are written reports made? To whom do the reports go?</p>	
<p>25. What follow-up action is taken and by whom?</p>	
<p>26. Do you collect information on safety incidents? If yes, what is done with the data?</p>	
<p>27. What key safety issues have been identified and how are they being addressed?</p>	
<p>28. Is there a process for hazard identification?</p>	

<p>29. Do you perform criminal background checks on applicants? How often do you do this? <i>Required for all new hires.</i></p>	
<p>30. Please identify all locations where vehicles are stored. Are the vehicles stored at ALL times out of the flood plain or areas prone to flooding? <i>DPT requires that all vehicles be stored out of the flood plain.</i></p>	
<p>31. Do operations personnel receive training and retraining in crime prevention?</p>	
<p>32. Has the agency familiarized local law enforcement and fire personnel on all aspects of transit vehicle operation including emergency exits, engine shut off, and wheelchair lifts?</p>	
<p>33. Have you worked with local law enforcement, fire departments, medical services, and county emergency management agencies on county/regional emergency response efforts? What is your role in the plan?</p>	
<p>34. What traffic accident analysis and prevention activities are undertaken?</p>	
<p>35. Is there a safety awards and recognition program beyond DPT's Safe Driving Program?</p>	

AMERICANS WITH DISABILITIES ACT (ADA)

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

<p>1. Is your service fixed route, route deviation, and/or demand responsive?</p>	
<p>2. Who is responsible for and what is the process for resolving ADA complaints?</p> <p>How is the public informed on how to file an ADA complaint?</p> <p>Have any complaints of discrimination due to disability been received from riders? If yes, please describe the complaints.</p> <p>Did you report the complaints to DPT?</p> <p>How long to you maintain the complaints on file?</p> <p><i>USDOT regulations (49 CFR 27.13 and 37.17) require procedures for addressing ADA complaints that incorporate appropriate due process standards and provide for prompt and equitable resolution. Grantees must sufficiently advertise the process for filing an ADA-related complaint and communicate a response promptly to any individual filing a complaint. The grantee is not required to respond to all complaints in writing, but rather must ensure the response can be documented internally. Grantees must retain copies of ADA-related complaints for at least one year and a summary of all ADA-related complaints for at least five years.</i></p> <p><i>DPT requires that it be notified of complaints within 24 hours of receipt.</i></p>	
<p>3. Are facilities accessible?</p>	
<p>4. If you have non-accessible vehicles in your demand-responsive fleet</p> <p>a. How do you ensure that equivalent service is provided?</p> <p>b. Have you denied service due to unavailability of accessible equipment?</p> <p><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? If yes, 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, Braille, and information posted on the Internet.</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 on public materials wherever the voice telephone number appears.</i></p>	
<p>7. What is the process to request a reasonable modification? How is the public informed on how to make requests for reasonable modifications? <i>USDOT ADA regulations (49 CFR 37.169) require a process for requesting reasonable modification to policies and practices to accommodate a person with a disability. Information on the reasonable modification process must be readily available to the public, and must be accessible. Advance notice can be required, but flexibility is also needed to handle requests that are only practicable on the spot. Individuals requesting modifications are not required to use the term “reasonable modification”</i></p>	
<p>8. Do you require all wheelchairs to be secured? <i>ADA allows providers to require all wheelchairs to be secured.</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 you require wheelchair users to wear a seat belt? <i>Unless ALL passengers are required to wear a seatbelt, you may request but not require that wheelchairs use a seatbelt.</i></p>	

<p>12. Do you place size or weight limitations on wheelchairs? <i>ADA regulations prohibit public entities from setting weight or size limitations on wheelchairs it will transport that understate the weight capacity that the vehicle fleet can accommodate.</i></p>	
<p>13. Do drivers provide assistance to passengers as necessary and upon request with lifts, and securement devices? <i>ADA requires drivers and other personnel to provide assistance as necessary and upon request.</i></p>	
<p>14. 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>15. 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>16. Are operators required to report lift and ramp failures promptly? <i>Operators must report immediately any in-service lift and ramp failures.</i></p>	
<p>17. Regarding service animals:</p>	
<p>a. Are service animals allowed on the buses? <i>ADA requires that operators permit service animals to travel with riders.</i></p>	
<p>b. Do you require service animals to be certified? <i>You may not require service animals to be certified.</i></p>	
<p>c. Do you require service animals to be under the control of the passenger? <i>ADA regulations allow providers to require that service animals be under the control of the passenger.</i></p>	
<p>d. Have you had problems with passengers bringing animals that do not appear to be service animals? How did you address the problem?</p>	
<p>18. 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>19. 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>20. 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>21. How are policies governing providing service to passengers covered under the ADA conveyed to drivers?</p>	
<p>22. Are all drivers trained in CTAA PASS and are new employees trained in PASS within three months after being hired? <i>ADA requires that drivers receive training in passenger assistance and sensitivity. DPT requires that drivers receive PASS training within three months of hire.</i></p>	
<p>23. Are drivers trained in the use of accessibility equipment? In properly assisting passengers with disabilities who use the service with respect, courtesy and sensitivity? How soon after being hired does the training occur? <i>The ADA requires that drivers are trained to proficiency, as appropriate for their duties, so that they operate vehicles and equipment safely, and properly assist and treat individuals with disabilities who use the service with respect, courtesy, and sensitivity.</i></p>	
<p>24. 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>25. Do you provide route deviation service? If yes, do public materials and bus schedules clearly state the procedures for requesting deviated fixed-route service and that the service is available to the general public? <i>FTA requires that route deviation service be open and promoted to the general public.</i></p>	
<p>26. 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>27. Is alternative service provided to persons when a lift fails in service and headways are greater than 30 minutes? Is the service provided within 30 minutes? <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 within 30 minutes.</i></p>	
<p>28. Are persons sitting in priority seats requested to vacate those seats when a person with a disability needs to use them? <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 only apply to operators of fixed route service (CENTRA and FMCTA). All other grantees can skip to the Charter section.</p>	
<p>29. Do you have a written policy governing stop announcements? Does it meet ADA requirements? <i>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> <i>DPT requires a written ADA stop announcement policy.</i></p>	
<p>30. Describe the eligibility process. How do you ensure that only those who are unable to use the fixed route system are certified as eligible? <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>31. Is paratransit service provided to others, such as seniors? If yes, is ADA eligibility determined for these individuals? Are these riders counted as ADA trips?</p> <p><i>Providers must determine ADA eligibility for all applicants, even if those applicants are eligibility under other criteria.</i></p>	
<p>32. 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>33. Are persons who are denied eligibility or given conditional or temporary eligibility given a written notice with specific reasons for the decision?</p> <p><i>The applicant must be given a written reason for the determination. The written determination cannot just state that it has been determined that the applicant can use fixed route service.</i></p>	
<p>34. 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 of completion of the appeals process?</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 of completion of the appeals process, presumptive eligibility must be granted until the appeal is decided.</i></p>	
<p>35. 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>36. Do you provide complementary paratransit service to ADA eligible individuals and at least one companion?</p> <p>Additional companions if space permits?</p> <p><i>ADA requires the provision of service to at least one companion and additional companions if space permits. A PCA is not considered a companion.</i></p>	

<p>37. Do you provide complementary paratransit to ADA-eligible visitors for up to 21 days in a 365-day 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>38. Do you provide service within ¼ miles of fixed routes and the core service area? <i>Complementary paratransit service must be provided within ¼ miles of fixed routes and the core service area.</i></p>	
<p>39. 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>40. 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>41. 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>42. Is service restricted or trips ranked by trip purpose? <i>Providers may not place restrictions or priorities based on trip purpose.</i></p>	
<p>43. Is next day service provided? What percent of reservations are made for the next day? <i>At a minimum, next day service must be provided.</i></p>	
<p>44. Are requests for reservations accepted during normal business hours on all days prior to days of service, even if the administrative office is closed? If yes, how? <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>45. Are trips scheduled within one hour of requested trip time? <i>Trips must be scheduled within one hour of the requested trip time.</i></p>	

<p>46. 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 roundtrip 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. Refusals to take a roundtrip when one leg of a trip cannot be reserved must be tracked as two denials.</i></p>	
<p>47. 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 is it determined 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. Does the policy take into account frequency of rides? <i>The no-show policy must take into account frequency of rides.</i></p>	
<p>g. 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. With the riders consent, systems may charge patrons the fares for missed trips in lieu of a suspension.</i></p>	
<p>h. Are riders allowed to contest no-shows?</p>	
<p>i. 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>	
<p>The purpose of the following 10 questions is to determine if there is a capacity constraint. Grantees may not restrict capacity to limit the number of complementary paratransit trips. These questions apply to CENTRA and FMCTA only.</p>	
<p>48. What is the average telephone wait time for a reservation?</p>	

<p>49. For next day service, at what time of day are reservations cut off? <i>Reservations must be taken during administrative office hours.</i></p>	
<p>50. At peak times, can a caller reach the reservation office?</p>	
<p>51. Do you have excess non-subscription capacity? If no, does subscription service exceed 50 percent of available resources? <i>Subscription service may not exceed 50 percent of available resources if there is no excess non-subscription capacity.</i></p>	
<p>52. What percent of requests are denied? How do you monitor trip denials?</p>	
<p>53. If you provide paratransit to other than ADA eligible riders (e.g., seniors, trips provided outside the ADA service area) are denials tracked separately for ADA eligible and non-ADA eligible trips?</p>	
<p>54. What do you consider an on-time trip? How do you monitor on-time performance? What is your on-time performance rate?</p>	
<p>55. How do you monitor missed trips? What percent of trips are missed?</p>	
<p>56. Do you have standards for excessively long trips? Do you monitor for excessively long trips?</p>	
<p>57. Do the answers to the above questions indicate that a capacity constraint exists?</p>	
<p>58. If you provide paratransit service to non-ADA-eligible individuals, are capacity data tracked separately for ADA and non-ADA trips?</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 and 5311 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 Procedures chart.)</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?) <i>Required by DPT 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? <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? If yes, are the vehicles maintained or stored in an FTA-funded facility? <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>Complete and submit to DPT the Charter Service Reporting Form with the Monthly Project Expenditure Report.</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. QHSO'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>Complete and submit to DPT the Charter Service Reporting Form with the Monthly Project Expenditure Report.</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> <p>Complete and submit to DPT the Charter Service Reporting Form with the Monthly Project Expenditure Report.</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>Complete and submit to DPT the Charter Service Reporting Form with the Monthly Project Expenditure Report.</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>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 the record for three years.</p>

Exception	Procedure
<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>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 the record 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. 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? <i>Grantees are prohibited from providing exclusive school bus service. In no case can federally funded equipment or facilities be used to provide exclusive school bus service.</i></p>	
<p>2. Do you provide school “tripper” service? <i>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.</i> If yes, does the tripper service meet the following criteria to be considered public transit service:</p> <ul style="list-style-type: none"> a. Service is regularly scheduled? b. Buses are clearly marked as open to the public? c. Buses have no special designations (e.g., school bus, school special)? d. Buses use regular bus stops? e. Service is noted on published schedules? <p><i>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.</i></p> <p>Reviewer: Please review all schedules and signs used on buses to ensure that the tripper service complies with the stated criteria.</p>	

INTERCITY BUS

Grantees are encouraged to provide meaningful connections to the intercity bus network.

<p>1. Do you serve intercity bus stations/stops? If yes, at what locations and what times. If not, why not? <i>Intercity bus service operates to Charleston, Huntington, Parkersburg, Beckley, Bluefield, Fairmont, Clarksburg, Morgantown, and Wheeling.</i></p>	
<p>2. Please describe what public information/ marketing efforts you have undertaken to alert your riders, intercity bus travelers, and the general public to service connections? (Examples: stop listed on schedules, service discussed in service brochure, schedules list bus station stop, schedules displayed at the bus station)</p>	
<p>3. If you do not serve the intercity bus station at times that would allow for convenient transfers, please describe what times you could serve and what service adjustments would be required.</p>	
<p>4. What is your policy regarding transporting baggage?</p>	
<p>5. What is your policy regarding transporting packages?</p>	

PLANNING AND MARKETING

SERVICE ELIGIBILITY

Section 5311 funds can be used for public transportation projects and intercity projects in nonurbanized areas. Section 5311 services may be designed to maximize use by members of the general public who are transportation-disadvantaged, including elderly persons and persons with disabilities. Coordinated human service transportation which primarily serves elderly persons and persons with disabilities, but which is not restricted from carrying other members of the public, is considered available to the general public if it is marketed as public transit 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 may provide incidental service with FTA-funded vehicles but the service must not interfere with the provision of transit service and must bear the costs of providing the service.

<p>1. What types of contract service do you provide? With whom? Does the contract service interfere with the provision of public transit? Have you had to deny public transit trips because the contract service utilized all available capacity? If yes, how often?</p>			
<p>2. Do the ridership data from the last quarterly report indicate that the grantee is successful in attracting general public riders? <i>DPT requires that non-senior ridership be at least 20 – 25%</i></p>		Category	Total
		60 +	
		Disabled	
		< 60	
		Total	
<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>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? Is the web address 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. If you are a private, non-profit, have you advertised at least twice yearly in the local newspaper (not legal notice) that the service is for use by the general public and operates during regular commute hours? <i>Grantees who are private, non-profit organizations must advertise at least twice yearly 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>8. If you are a nonprofit: How does the agency answer the phone? Do you have a direct line for transportation or do all transportation calls go through the general receptionist?</p>	
<p>9. How are you listed in the phonebook?</p>	
<p>10. 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? <i>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.</i></p>	
<p>11. Do you deliver meals or provide incidental services? If yes, then please answer the following:</p>	
<p>a. How many meals or other incidental services do you deliver?</p>	
<p>b. At what times of the day?</p>	
<p>c. Do the services interfere with the provision of transit service?</p>	

d. Do the incidental services bear the costs of the service?	
e. How much is the transportation program reimbursed for meal delivery?	

MARKETING

Section 5311 grantees should have a marketing program that attracts riders and promotes a positive image to the community. Public information should be attractive, widely distributed, and accessible in various formats. The Division supports a statewide transit marketing program. Annual updates to the marketing plan must be submitted with the annual grant application.

1. How do you spend the one percent required for marketing? <i>DPT requires at least one percent of the grant to be spent on marketing.</i>	
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 group (Please specify)	
3. Do you conduct rider satisfaction surveys? How often? When was the last survey?	
4. Do schedules present:	
a. Route maps that list the time points?	
b. Transfer points to other routes and systems?	
c. Telephone number?	
d. TDD number?	
e. Web address	
f. Other (please discuss)?	
5. What activities are undertaken to enhance and draw attention to the public image of your service?	
6. How and where are marketing materials (brochures, schedules) distributed?	
7. Are they displayed at key public locations such as city halls, libraries, community centers, shopping malls?	
8. Is there a regular schedule for replenishing the racks?	
9. Have arrangements been made with the institutions to notify you when the racks need replenishing?	
18. Who maintains your website?	
19. How often do you review the website content and make changes?	

20. Are you able to make changes to your website directly or must you go through a contractor?	
10. Is the web address on the buses, printed materials, and business cards?	
21. 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? Are bus schedules in HTML format so that they are accessible for persons with visual impairments who use readers?	
e. Public meetings and hearings?	
f. Route and schedule changes?	
g. Transit advisory committee participation and meetings?	
h. List of Board members?	
i. Telephone number?	
j. TDD number? (required)	
k. Links to other transit system websites?	
l. Sign-up for email or other alerts?	
m. On-line comment form?	
n. Protection under Title VI? (required)	
o. Route deviation?(required)	
p. ADA complementary paratransit?(required)	
22. Is the website provided in a mobile friendly layout?	
23. What types of social media do you use to market your system? Does the website and printed material list the social media symbol (Facebook "f", twitter bird, etc.?)	
24. Do you use QR codes? If so, where are they displayed?	

TITLE VI--NONDISCRIMINATION IN THE DELIVERY OF SERVICE

FTA and DPT prohibit discrimination on the grounds of race, color, or national origin, in the delivery of public transit services. FTA also prohibits discrimination on the grounds of low-income status. Title VI complaints must be reported to DPT within 24 hours of receipt of the complaint.

1. Do you provide service to areas with minority and low-income populations?	
2. How are buses assigned to routes? Does the process ensure that assignments are made without regard to race, color, national origin, or income?	
3. Please describe the location of transit services, facilities, and amenities such as shelters. Have you ensured that decisions on the location of transit services and facilities are made without regard to race, color, national origin, or income?	
4. How do you notify the public of its rights under Title VI? (Website, reception area, meeting rooms, schedules, signs or brochures on buses) Do you notify beneficiaries of:	
a. Protection under Title VI?	
b. How to obtain additional information on nondiscrimination obligations?	
c. How to file a complaint?	
d. That information on your Title VI obligations and complaint procedures will be translated as needed? <i>Grantees must notify the public of its protections under Title VI, how to obtain additional information on nondiscrimination obligations, and how to file a complaint, and offer to translate the nondiscrimination obligations and complaint procedures as needed. At a minimum, recipients shall disseminate this information to the public by posting a Title VI notice on the agency's website and in the public areas of the agency's office(s), including the reception desk, meeting rooms, etc. Recipients should also post Title VI notices at stations or stops, and/or on transit vehicles.</i>	
5. Have any complaints concerning discrimination in the delivery of service been received since the last review or last grant application? If yes:	
a. How were the complaints identified and resolved?	

<p>b. Did you report the complaints to DPT within 24 hours of receipt of the complaint? <i>Title VI complaints must be reported to DPT within 24 hours of receipt of the complaint.</i></p>	
<p>c. Did you follow the complaint processing procedures in your Title VI plan?</p>	
<p>d. Did you maintain a record of the complaints that includes:</p> <ul style="list-style-type: none"> ▪ the date of the complaint was filed? ▪ a summary of the allegations? ▪ the status of the investigation? ▪ the actions taken in response to the complaint? 	
<p>6. Have employees received the training in providing timely and reasonable language assistance to LEP populations? <i>FTA requires grantees to train employees in providing timely and reasonable language assistance to LEP populations.</i></p>	
<p>7. Since you submitted your Title VI plan, have you identified any additional language assistance needs? If yes, please describe.</p>	

PLANNING AND COORDINATION

Grantees must incorporate planning activities in the administration of their grants. Grantees must coordinate to the maximum extent feasible with transportation assisted from other federal sources.

1. Working with a five-year planning horizon, please describe how your agency will address service changes and develop operating budgets which includes all revenue sources and capital expenditures needs?	
2. What changes will you have to make in personnel or service, to address any projected revenue shortfalls (federal, state, local, farebox or contract)?	
3. Please explain why ridership is increasing, decreasing, or staying the same.	
Fiscal Year	Ridership
2015	
2014	
2013	
2012	
2011	
4. Please describe how you are coordinating with other transportation providers in the area.	
5. Which of the following coordination activities occur? a. Central information center b. Centralized dispatch c. Planning d. Maintenance e. Purchasing (vehicles, parts, fuel) f. Training g. Marketing h. Management (information systems, billing) i. Referrals j. Other (please describe)	List all letters that apply.
6. Are there more opportunities for coordination?	
7. Are you participating in public transit coordination efforts via the public transit human service coordination plan? What initiatives have resulted from the meetings?	

PUBLIC INVOLVEMENT

Grantees must involve the public in service planning. An effective public involvement program addresses transit riders, the non-riding public, special populations, community leaders, and civic groups.

<p>1. If the service has implemented a fare increase/decrease or service change:</p> <p>a. Was the Division notified in writing at least 60 days ahead of time?</p> <p><i>DPT requires grantees to give the Division at least a 60-day written notice prior to any fare or service change.</i></p>	
<p>b. Was the public notified at least 30 days before the change through at least two of the following: website, flyers, posters, notices on buses, ads? What media were used?</p> <p><i>DPT requires grantees to give the public at least a 30-day notice before any fare or service change through at least two of the following media: website, flyers, posters, notices on buses, ads.</i></p>	
<p>2. Have special efforts been undertaken to involve low income persons, minority groups, the elderly, and persons with disabilities in the planning process?</p>	
<p>3. 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?</p> <p>Are you involved or do you periodically consult with local planning agencies and governmental units?</p>	
<p>4. Have you developed coalitions to support transit?</p> <p>Have you used them as a source of funding or volunteers?</p>	

SWOT ANALYSIS

Please answer prior to the site visit.

Strengths	Weaknesses
Opportunities	Threats

ATTENDANCE SHEET

Name	Title	Phone	Email

SUMMARY OF FINDINGS AND RECOMMENDATIONS

Please note that recommendations do not have any response date.

Finding/ Recommendation	Corrective Action	Response	Response Date	Comment	Date Closed