



REVIEW PACKAGE

Grantee

State Fiscal Year

Table of Contents

OVERVIEW	1
REQUESTED MATERIALS	3
BACKGROUND	5
REVIEW INFORMATION	5
INSTITUTIONAL STRUCTURE	5
SERVICE DESCRIPTION	6
FIXED ASSETS	6
PROJECT ACTIVITY	6
ADMINISTRATION AND MANAGEMENT	7
LEGAL AND GOVERNANCE	7
CONTROL ENVIRONMENT	9
PROJECT MANAGEMENT/GRANT ADMINISTRATION	10
FINANCIAL MANAGEMENT	12
SATISFACTORY CONTINUING CONTROL	22
PROCUREMENT	24
PROCUREMENT FILE REVIEW SHEET	26
LOBBYING	27
DISADVANTAGED BUSINESS ENTERPRISE	28
PERSONNEL	29
EQUAL EMPLOYMENT OPPORTUNITY	30
TECHNICAL ASSISTANCE	31
INFORMATION TECHNOLOGY	32
OPERATIONS AND SERVICE PROVISION	34
MAINTENANCE	34
SERVICE PROVISION	37
AMERICANS WITH DISABILITIES ACT	40
SAFETY AND SECURITY	48
CHARTER BUS	51
CHARTER BUS EXCEPTIONS AND REQUIREMENTS	53
SCHOOL BUS	56
INTERCITY BUS	57
PLANNING AND MARKETING	58
SERVICE ELIGIBILITY	58
MARKETING	60
NONDISCRIMINATION IN THE DELIVERY OF SERVICE	62
PLANNING AND COORDINATION	64
INTELLIGENT TRANSPORTATION SYSTEMS	66
SWOT ANALYSIS	67
ATTENDANCE SHEET	68
SUMMARY OF FINDINGS AND RECOMMENDATIONS	69

OVERVIEW

Alaska Community Transit (ACT) is required by the Federal Transit Administration (FTA) to ensure that recipients of FTA assistance comply with federal requirements. To meet this federal mandate, ACT conducts periodic reviews of its subrecipients. Additional objectives of the reviews are to ensure compliance with state requirements, identify and promote good practices, identify training and technical assistance needs and spend one-on-one time with recipients.

[Grantee] receives FTA funding for X. This review package lists materials to be reviewed and contains questions to be answered. The questions address FTA and state requirements and good practices related to the funding you receive and the services you provide. This package will document the review from start to finish.

The review process is as follows:

1. **Desk review.** ACT reviews materials and reports on file in its office and notes follow-up items in the review package.
2. **Subrecipient pre-site visit preparation.** The subrecipient gathers the requested documents, reviews the information entered by ACT, answers as many questions as possible by typing the responses into the review package, and sends the requested documents and completed review package to the reviewer.
3. **ACT pre-site visit preparation.** ACT reviews the documents submitted and your answers to the questions and notes follow-up items.
4. **Site visit.** ACT visits you to discuss the answers to the questions, tour your facility, inspect vehicles, and review financial, procurement and maintenance files. Before the site visit, ACT or its consultant emails you the annotated review package for you to follow along during the site visit. The site visit begins with an entrance conference. The site visit ends with an analysis of strengths, weaknesses, opportunities and threats (SWOT analysis) and an exit conference at which preliminary findings are discussed.
5. **Draft and final reports.** ACT will issue draft and final reports.
6. **Review follow-up and close-out.** ACT and its consultant work with you to address any deficiencies identified during the review.

ACT has contracted Milligan & Company, LLC, to assist with the reviews.

The desk review is completed. Your site visit is scheduled for **X**. Please send the requested documents and completed review package by **X** to Dan Wagner of Milligan & Company, LLC. His contact information appears below. Please either email or mail copies of requested documents. Electronic copies of documents are preferred. Please email an electronic copy of the completed review package in Word format. Please copy Debbi Howard on all emails.

Dan Wagner
Milligan & Company, LLC
5528 24th Street North
Arlington, VA 22205-3113
dwagner@milligancpa.com

Phone: (877) 479 8762
(703) 532-7629
Fax: (425) 790-3369

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

Sincerely,
J. Eric Taylor
Manager, Transit Programs

REQUESTED MATERIALS

Unless noted, please send requested documents before the site visit by **X**. Electronic copies are preferred.

Documents	Comment
Legal and Governance	
Organization chart that shows the reporting relationship to the Board	
Articles of incorporation (if a non-profit organization)	
Bylaws (if a non-profit organization)	
Sample board minutes	
Sample board/city manager financial report	
Board policy manual	
Control Environment	
Conflict of interest policy/code of conduct	
Project Management/Grant Administration	
Business continuity/disaster recovery plan	
Document control and retention procedures	
Financial Management	
Transportation budget for current year	
Accounting policy and procedures manual	
Most recently completed single audit	
Cost allocation plan (required if indirect costs are charged to FTA grants)	
Budget preparation timeline	
Fare collection procedures	
Credit card policy	
Procurement	
Procurement manual (required)	
Code of conduct governing procurements (required)	
Personnel	
Personnel manual	
Job descriptions	
EEO	
EEO policy statement	
Sample job application	

Documents	Comment
Sample job posting and advertisement	
Information Technology	
Policy governing computer and Internet use	
Maintenance	
Written vehicle maintenance plan (required)	
Vehicle pre-trip inspection form (if not included in the written plan)	
Written facility/equipment maintenance plan (required for FTA-funded facilities)	
Service Provision	
Service policy/operator manual	
Rider's guide	
Passenger behavior policy	
No-show policy	
Complaint resolution procedures	
Safety and Security	
Safety plan	
Security plan	
Emergency preparedness plan	
ADA	
ADA complementary paratransit application and guidelines, if applicable	
Marketing	
Marketing plan	
Sample marketing materials (schedules, brochures, newspaper ads, etc.)	
Planning and Coordination	
Transit planning studies	

BACKGROUND

REVIEW INFORMATION

State coordinator: Debbi Howard Phone: 907-465-2883 Fax: 907-465-6415 Email: debbi.howard@alaska.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 serviced:
Population:
Square miles:
Number of routes (if applicable):
Days and hours of operation:
Fares:
Number of revenue service vehicles in fleet:
Number of employees (full-time/part-time):
Ridership for most recent year:
Coordination/transfers with:
Transit operating budget for current year:

FIXED 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 were recently completed and are on-going or planned.
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ADMINISTRATION AND MANAGEMENT

LEGAL AND GOVERNANCE

Grantees must have the legal capacity to receive FTA and State grants. They must have a designated body legally responsible for the organization. The Board should meet regularly, conduct business in an open and transparent manner, set policy and goals and objectives, advise transit management, 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?	Drop for non-5311 review
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. Avoiding conflict of interest in:	
i) Selection of Board members	
ii) Purchasing and doing business with the agency	
iii) Employment	
4. 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?	
5. Do Board records indicate that Board minutes are complete and signed by the elected or appointed secretary?	
6. Does a majority of Board members regularly attend meetings?	
7. How many times in a year does the Board meet? (quarterly, monthly, etc.)?	
8. Are financial reports submitted to the Board for its review and action? How often?	
9. What performance data do you report to the Board? How often?	

<p>10. Does the Board involve itself in day-to-day operations?</p>	
<p>11. Has training been provided to the Board concerning its role and responsibilities? How is this accomplished?</p>	
<p>12. Are Board members provided a handbook or policy manual? If yes, what does it contain?</p>	
<p>13. If you are a private non-profit agency that administers several programs or part of a city or borough, is there a transit committee to advise the Board/council on transit policy?</p>	
<p>14. Are periodic reports provided to funders providing information on cost, revenue, service and ridership?</p>	

CONTROL ENVIRONMENT

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.

1. Does agency management adequately convey the message that integrity cannot be compromised? How is this communicated to employees?	
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"?	
3. How does management remain abreast of the requirements of laws and regulations pertinent to its business?	
4. Who conducts background and reference checks of applicants for financial, IT, and key management positions?	
5. Is there a formal (written) conflict of interest policy or code of conduct in effect? How is it communicated to employees?	
6. Are employees who handle cash, securities, and other valuable assets bonded or otherwise covered under an insurance policy?	
7. Does a process exist for informing 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)?	

PROJECT MANAGEMENT/GRANT ADMINISTRATION

Grantees must have the technical capacity to implement projects, manage grants, and comply with FTA and State requirements. To demonstrate technical capacity, grantees must have an adequate number of staff; maintain adequate documentation of key policies; and submit timely, accurate, and complete quarterly reports.

1. Who is responsible for the day-to-day management of the transit program?			
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?			
3. Who is the designated "back-up" person for the person responsible for the transit program? Is the person familiar with program rules and regulations? Does the person attend ACT-sponsored meetings and training sessions? If no, why not?			
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.)?			
5. What training has the manager and staff undertaken in the past year?			
6. How are financial reports, service reports and statistical data used in day-to-day management of transit service?			
7. Are procedures documented, up-to-date, and approved by the Board?			
8. Please address any comments or issues noted below regarding the last four quarterly reports.			
Report	Date Received	On Time	Comments/Issues
9. Who is responsible for preparing and submitting the reports?			
10. Were the reports submitted on time? If not, what are the reasons for the delay?			
11. What three management steps have you taken in the last twelve months that would demonstrate that		1.	
		2.	

you have effectively managed your program and displayed sound management practices?	3.
12. Does the organization have a written business continuity plan that addresses maintaining operations after a catastrophic event such as a flood, earthquake, tsunami or a fire?	
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. Has management established policies for controlling access to computer programs and data files? If yes, please describe.	
16. Are procedures in place to ensure that terminated employees do not have access to documents, records, and assets? If yes, please describe.	
17. 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>	
18. For Section 5311 grantees, have any special labor protection warranty complaints been received? If yes, were they reported to the ACT? How were the complaints resolved? <i>Section 5311 grantees must report any special labor warranty complaints and how they were resolved to ACT.</i>	
19. What are your procedures for procuring buses, including procedures for providing quality assurance and for ensuring that FTA and state requirements are met?	
20. What are your procedures for managing construction projects, including purchase and installation of bus shelters?	

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. Confirm the sources of local funding for operating and capital expenses. Note any changes.	Source	Amount per Application	Actual Amount
2. Are the sources of local funding sufficient to implement the project and maintain project equipment? <i>Grantees must have sufficient local resources to carry out the proposed project and maintain project equipment.</i>			
3. Do you use in-kind contributions for local match?			
<p>If yes, please list all in-kind contributions and how each is documented and supported, for example, time sheets for volunteer labor or a validation report from a certified real estate appraiser for building space that is used as in-kind building rent. Insert additional rows if necessary.</p> <p><i>Grantees must maintain supporting documentation for in-kind contributions used as local match. All in-kind contributions must have prior approval from ACT.</i></p>			
In-kind Contributions (Please List)		Supporting Documentation (Please List)	
4. Do you generate revenue through advertising?			
5. Does the agency have an adequate cash flow? If not, what steps are being taken to ensure this?			

<p>6. Do you have reserves? If yes: What is the amount? How many months of operations will it cover? <i>ACT recommends that grantees have at least one month's operating expenses in reserve. The best practice is to have at least three month's operating expenses in reserve.</i></p>	
<p>7. Since the last review, how many of your transit program vendors were paid within 30 days?</p>	
<p>8. Since the last review, have any transit employees not been paid when they were due? If yes, why?</p>	
ACCOUNTING SYSTEMS AND POLICIES	
<p>9. What accounting software is used?</p>	
<p>10. Which modules?</p>	
<p>11. Is information generated from the program sufficient to support expenditures to grants?</p>	
<p>12. Are there spreadsheets that support invoices and other financial reports generated from your system?</p>	
<p>13. Does the agency maintain an up-to-date accounting policies and procedures manual that covers accounting for fixed assets, the budget process, accounts payable process, procurement, payroll, etc.?</p>	
<p>14. Is an up-to-date chart of accounts maintained and does it completely describe the nature of each account?</p>	
<p>15. Are financial records kept in accordance with Generally Accepted Accounting Principles (GAAP)?</p>	
GRANT ACCOUNTING	
<p>16. Are grant expenditures tracked, reviewed, and billed on a timely basis?</p>	
<p>17. Is there a system in place for tracking encumbrances of grant expenditures?</p>	
<p>18. Is appropriate supporting documentation included in grant management files?</p>	
<p>19. Do 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></p>	
<p>20. What costs do you include in the cost per ride? Do you include in-kind expenditures?</p>	

21. Does the ACT review of reimbursement requests indicate that the reimbursement requests are accurate and include only eligible costs?		
AUDITS		
22. When is your next audit scheduled? Please provide the date.		
23. Have you submitted an audit to the state within nine months after the close of the fiscal year? If not, please provide a written explanation.		
24. If more than \$500,000 in federal funds were expended during the last fiscal year, was a single audit conducted in accordance with Office of Management and Budget (OMB) Circular A-133? <i>OMB Circular A-133 requires that any grantee that expends more than \$500,000 in federal funds in a year must have an independent single audit conducted.</i>		
25. Have corrective actions been implemented addressing the following financial or single audit findings?		
Finding	Corrective Action	Status
OVERHEAD/COST ALLOCATION		
26. How do you allocate costs between multiple funding sources?		
27. Are indirect costs charged to grants? If yes, please answer questions a – f.		
<i>Per Office of Management and Budget (OMB) Circular A-87 or A-122, 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>		
<i>Grantees that charge indirect costs to grants must do so in accordance with a cost allocation plan that was developed in accordance with OMB Circular A-87 or A-122. The rate must be updated annually. The plan must be reviewed by the single auditor.</i>		
a. Is there a cost allocation plan to support indirect administrative costs related to a grant program?		
b. Was the plan developed in accordance with OMB Circular A-87 or A-122?		

c. Has the plan been followed?	
d. Who approved the plan? When was it last approved?	
e. Has the plan been submitted to ACT?	
f. Has the rate been updated annually?	
g. Has the auditor reviewed the plan?	
BUDGET CONTROLS	
28. Are there written budget procedures detailing the timeline for development and approval of the budget? <i>Recommended by ACT.</i>	
29. Does the Board approve the budget?	
30. Is the budget prepared in sufficient time to allow full review and interaction by the Board?	
31. Is the Board provided a budget with sufficient detail to make decisions about the allocation of program resources?	
32. Are all anticipated farebox revenue, contributions, grants, contracts and other program income projected in the overall transportation budget?	
33. Are reports showing actual versus budgeted expenses and variances being reviewed on a monthly basis? Who performs the comparisons?	
34. When changes are made in the budget line items and funds are transferred between line items, is this being documented?	
35. How is the Board informed of budget changes?	
36. Are adequate steps taken to ensure that the system is able to operate within its yearly allocation?	
CASH MANAGEMENT	
37. 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? Who opens the mail?	
38. Does the employee who opens the mail:	
a. Place restrictive endorsements (e.g., For Deposit Only) on all checks received?	
b. Prepare a list of the money, checks, and other receipts?	

c. Forward all remittances to the person responsible for preparing and making bank deposits?	
d. Forward the total of all remittances to the person responsible for comparing it to the authenticated deposit ticket and amount recorded?	
39. How often are cash receipts deposited?	
40. Who makes bank deposits?	
41. Does an independent person verify the cash receipts listing against the deposit slips?	
42. Are authenticated deposit slips retained and reconciled to the corresponding amounts in the cash receipts records?	
43. Are banks instructed not to cash checks that are drawn to the order of the agency?	
44. Do remittances from various funding sources (state, local) contain enough information to properly record them against the amount due from each source?	
45. Do postings to the general ledger control accounts and subsidiary accounts include the date on which the remittance was received?	
46. Do your farebox collection procedures adequately address security and assurance?	
47. Please answer (describe where necessary) the following questions:	
a. Are there written procedures for collecting, processing and depositing fares?	
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?	

m. Who reconciles the fares, driver's logs, and scheduler sheets?	
48. If the drivers count fares and do reconciliations, have you designated transit system personnel to monitor these activities?	
49. Do you have written procedures governing up-front money that drivers have for making change or other expenditures such as bus washes?	
50. 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?	
51. Do you issue passes? If yes:	
a. Please describe.	
b. How do you maintain control over the passes?	
c. Are they individually numbered?	
52. 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?	
53. Is an independent review performed of monthly bank reconciliations? Who performs the review?	
ACCOUNTS PAYABLE	
54. 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?	
55. Are purchase orders used? If yes, what is the dollar threshold for issuing a purchase order?	
56. Are all cash disbursements made by check or credit card, except those made from petty cash?	
57. Are pre-numbered checks used and all check numbers accounted for?	

58. Are voided checks properly defaced and retained?	
59. Are two signatures required on all accounts (checking, savings, investment, etc.) and checks? Whose signatures are required? For checks, what is the dollar threshold for two signatures?	
a. Are the check signers independent of each other?	
b. Are invoices, vouchers, and other supporting documents presented to each check signer along with the checks needing signature?	
60. Is signing of blank checks prohibited?	
61. Are checks payable to "Cash" or "Bearer" prohibited?	
62. Is access to unused checks limited to authorized persons?	
63. Are supporting documents for checks properly canceled (e.g., stamped "Paid") to avoid duplicate payments?	
64. 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?	
65. Are check signers authorized by the Board?	
66. Are all checks promptly recorded upon issuance and listed in detail (e.g., in a check register)?	
67. Are vendors' invoices, receiving reports, and purchase orders matched (i.e., three-way match) before invoices are processed?	
68. Are vendor invoices checked as to:	
a. Prices?	
b. Extensions and footings?	
c. Freight charges or allowances?	
d. Credit terms?	
69. 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?	
70. Are statements from vendors regularly reviewed and reconciled against recorded liabilities?	
71. Do adjustments to accounts payable (e.g., write-off of debit balances) require the approval of a designated official?	

CREDIT CARDS	
72. Are purchases made using credit cards? If yes:	
a. Is there an up-to-date credit 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 card charges?	
c. How many agency credit 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?	
PAYROLL	
73. Are personnel/human resources records maintained independent of the payroll processing and timekeeping functions?	
74. Are salary and wage rates authorized in writing by a designated official and/or fixed by union contract?	
75. Are sick leave, vacations, and holidays reviewed for compliance with agency policy?	
76. What is your policy regarding carrying over sick and annual leave?	
77. Do you cap the amount of sick or annual leave an employee can carryover?	
78. What is your policy towards paying out accumulated sick and annual leave when employees leave?	
79. Do you have a contingent liability account for carryover sick leave and vacations?	
80. 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?	
81. Does the agency use a time clock and/or timesheets to capture payroll hours for:	
a. General office workers?	
b. Operations/maintenance workers?	
82. If the agency uses a time clock, are time cards:	
a. Punched by the employee in the presence of a designated supervisor?	

b. Signed by a supervisor at the end of the payroll period?	
83. 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?	
84. Are distributions of hours (direct and indirect) to activity or departments reviewed and approved by supervisory personnel?	
85. 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?	
86. 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?	
87. 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?	

88. Is a liability account set up for all wages that have remained unclaimed for a certain period of time? If yes:	
a. Have these wages been re-deposited in a special bank account?	
b. Is identification required to be presented at the time of their subsequent distribution?	
89. Are payroll accruals approved by a responsible official?	
RECORD RETENTION	
90. 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>	
INSURANCE	
91. Does management periodically review insurance coverage?	
92. Do you carry risk, liability, workman's compensation, and fire insurance?	
93. If self-insured, is there a self-insurance reserve account?	
94. Is there a workers' compensation management system which provides for verification of accident/injury, administration of benefits, vocational rehabilitation?	

SATISFACTORY CONTINUING CONTROL

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

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? If yes:	
a. What is the incidental use?	
b. Was FTA/ACT approval obtained?	
c. Do you maintain continuing control over the property?	
d. Is revenue used for transit planning, capital, or operating expenses?	
3. Was real property removed from the service originally intended at grant approval or put to additional or substitute uses?	
4. Did you dispose of any FTA or ACT funded real property? If yes:	
a. Did you obtain prior concurrence from the FTA/ACT in the method of disposition of real property?	
b. Was FTA/ACT reimbursed for its share of disposition proceeds, if required?	
5. Can you account for all equipment or facilities purchased with FTA funds?	
6. Do you update the ACT on-line vehicle inventory at least annually?	
7. Have you updated the inventory to include equipment and facilities that were purchased with other than FTA or AMHTA funds?	
8. 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?	

<p>b. Has the proof of insurance been submitted annually? <i>ACT requires grantees to submit proof of insurance annually.</i></p>	
<p>c. Does the liability insurance meet the \$500,000 state minimum? <i>The State of Alaska requires a minimum of \$500,000 in liability coverage. ACT recommends minimum coverage of \$1,000,000.</i></p>	
<p>9. 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>10. How often is the maximum number of vehicles required?</p>	
<p>11. How many vehicles were in use at the time of the visit? (Reviewer will answer.)</p>	
<p>12. How many vehicles were parked or in the garage at the time of the visit? (Reviewer will answer.) How many are operational? (Reviewer will answer.)</p>	
<p>13. Do future ridership projections indicate a need for expansion vehicles?</p>	
<p>14. 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?</p>	
<p>15. Are the vehicles used appropriate for the type of service, ridership volumes, and scheduling patterns?</p>	

PROCUREMENT

All grantees must comply with the relevant provisions of FTA Circular 4220.1F. Grantees must submit to ACT purchases of equipment and transportation service contracts for review and approval. Grantees are prohibited from contracting for goods and services from individuals or organizations that have been suspended or debarred from receiving federally assisted contracts.

1. Who is responsible for the procurement process?	
2. Do you have written procurement procedures? <i>Required by FTA/ACT.</i>	
3. Are procurement procedures approved by the Board?	
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? <i>Required by FTA/ACT.</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. What are your procurement thresholds and what are the requirements for each?	
7. Who reviews and approves purchases? What are the dollar thresholds?	
8. Do the procedures ensure the most efficient and economic purchase?	
9. Do procedures ensure awards are made only to responsible contractors?	
10. Do the procedures address protest procedures? <i>Required by FTA/ACT.</i>	
11. Do the procedures provide for settlement of contract issues and disputes? <i>Required by FTA/ACT.</i>	
12. Do the procedures provide for competition in the award of revenue contracts?	
13. Is the documentation for quotes, price sheets, etc., kept for three years after audit?	
14. What capitalized assets have been purchased this year? List the asset and the cost.	

15. Was the lowest responsive bidder taken in each case? If not, why?	
16. What purchases did you make with FTA funds since the last site visit? (Examples: fuel, maintenance services, transportation services, professional services (legal, accounting), etc.)	
a. What procedures were followed for each of the purchases?	
b. Did the procedures followed provide for full and open competition?	
c. Who administers the contracts?	
d. Do the files document the procurement history? Reviewer, use the attached procurement file review sheet.	
17. Are FTA-required clauses included in all contracts exceeding \$3,000 (\$2,000 for construction contracts)?	
18. Was the Excluded Parties Listing System (EPLS) searched before awarding contracts exceeding \$25,000?	
19. 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 ACT in writing? <i>Grantees must provide immediate written notice to ACT for reporting to FTA if they learn that their certification or the certification of any contractors is no longer valid.</i>	
20. Do any contracts exceed five years in length, including base and options? <i>ACT limits contracts, including base and options, to five years.</i>	
21. Do you have contracts for transportation services? If yes, have you notified ACT? <i>ACT must be made aware of all transportation service contracts. ACT reserves the right to review and approve all contracts for transportation services.</i>	

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? (<i>Good practice</i>)			
Does the file contain an 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?			
Does the file contain a signed contract?			
Are materials filed in chronological order?			
If a pre-bidders' conference was held, does the file document the bidders notified of the conference, the date and time of the conference, and the list of the attendees?			
If the procurement was a sole source, single bid, brand name, or award to other than low bidder, does the procurement file contain a justification for the award?			
Do the files contain a cost or price analysis?			
Do the files indicate that the grantee ensured that goods and services were received?			
Does the file include all contract modifications and amendments?			
Does the file contain copies of all correspondence with the vendor?			

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. Recipients who use local funds for lobbying must report on the lobbying activity.

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?	

DISADVANTAGED BUSINESS ENTERPRISE

Grantees must ensure nondiscrimination in the award and administration of FTA- and State-assisted contracts. Grantees also must create a level playing field on which disadvantaged business enterprises (DBEs) can compete fairly for FTA- and State-assisted contracts.

<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 15th and November 15th.</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. Do you have a current DOT&PF listing of certified DBE firms? <i>ACT provides a listing of certified DBE firms at http://www.dot.state.ak.us/cvlrts/directory.shtml.</i></p>	
<p>5. Were any DBE complaints received since the last review? If yes: Describe the complaint and how it was resolved. What is the process for handling and resolving such complaints?</p>	

PERSONNEL

Grantees should have Board-approved, comprehensive personnel policies. Current job descriptions should be on file for every position.

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. Applicable performance standards	
d. Wage rate or salary range	
e. Safety responsibilities	
f. Drug and alcohol testing (if applicable)	

EQUAL EMPLOYMENT OPPORTUNITY

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 equal employment opportunity (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. Posters are available from the State Department of Labor.</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 ACT of the complaint? <i>ACT requires grantees to inform it of EEO complaints.</i></p>	
<p>8. Do you require employees to attend sexual harassment training?</p>	

TECHNICAL ASSISTANCE

ACT administers a program of technical assistance for its grantees, including RTAP.

1. Do you have any training and/or technical assistance requests, needs or recommendations? (Please describe.)	
2. Do you have any suggestions on how RTAP funds should be used?	
3. Are you aware that ACT maintains a lending library of training materials?	
4. Have you used ACT training materials, including the videos? If yes, what materials? Did you find them useful?	

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- and ACT-funded computers must be used to support the transit program.

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

<p>10. Is all computer equipment protected from power surges?</p>	
<p>11. Do you have access to the Internet? Which employees have access to the Internet?</p>	
<p>12. Have you used the Internet to access FTA regulations and circulars?</p>	
<p>13. Do you have a written policy regarding personal use of the computer, including use of the Internet?</p>	
<p>14. Is access to data restricted to only those who require the data to perform their job?</p>	
<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>ACT encourages computer training which is an eligible expense under the FTA grant. Courses may be available in your local areas at community colleges.</i></p>	

OPERATIONS AND SERVICE PROVISION

MAINTENANCE

Grantees must have written plans for FTA- and State-funded equipment and facilities and must maintain FTA- and State-funded equipment and facilities at a high level of cleanliness, safety, and mechanical soundness.

VEHICLE MAINTENANCE	
1. Who is responsible for maintenance?	
2. Please describe the preventive maintenance program.	
3. Is the maintenance plan written? <i>Required by ACT.</i>	
4. Do preventive maintenance schedules for each type of vehicle in the fleet meet the manufacturer's minimum requirements for service operations?	
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>ADA requires accessibility features and equipment be maintained in operating condition.</i>	
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>	
7. Does the review of maintenance records indicate that maintenance is performed in accordance with procedures?	
8. Does the review of the maintenance records indicate that the files are complete and document the maintenance conducted?	
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>	
10. Does the pre-trip inspection address safety; vehicle operation, appearance, and cleanliness; and passenger comfort?	

<p>11. Does the pre-trip inspection ensure that all items, such as boxes with bi-directional reflective triangles and gallons of washer fluid, are secured to the vehicle?</p>	
<p>12. Does the pre-trip inspection program address lifts and other accessibility features, such as ramps, public announcement systems, and tie-downs? <i>ADA requires a regular system of checks and inspections for lifts and other accessibility features.</i></p>	
<p>13. Are deficiencies noted in pre-trip inspections repaired timely and properly reviewed by management? Who reviews the inspections? How often?</p>	
<p>14. Do your drivers cycle the lift or ramp 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>ADA requires vehicles with inoperative lifts to be removed from service before the next day unless no spare is available and taking the vehicle out of service would reduce the level of service. Alternative arrangements are required within 30 minutes if a vehicle with an inoperable lift is used on a fixed route and the headway to the next accessible vehicle exceeds 30 minutes.</i></p>	
<p>16. Are FTA-funded vehicles leased to or operated by other providers? If yes, does the lease or operating agreement include maintenance standards?</p>	
<p>17. Do the vehicles meet an acceptable level of cleanliness (exterior and interior)?</p>	
<p>18. Are the manufacturer's warranty provisions being followed?</p>	
<p>19. Are vehicle warranties on file?</p>	
<p>20. How are warranties tracked?</p>	
<p>21. Are warranty claims pursued effectively and promptly to conclusion?</p>	
<p>FACILITY MAINTENANCE <i>The following questions are for grantees that have an FTA-funded facility.</i></p>	
<p>22. Is there a written facility maintenance plan and inspection checklist? <i>FTA requires written maintenance plans for facilities and facility-related equipment.</i></p>	

<p>23. 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>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, 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. 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>	

SERVICE PROVISION

Grantees should have effective procedures for ensuring that 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 driver and dispatcher documenting the training received? Do you use the forms included in SPIDER?	
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 frequent and timely? When was the last time routes and schedules were revised for fixed and/or route deviation services?	

11. Is schedule-making coordinated with public information, dispatching and operations supervision?	
12. For demand response service, what are the procedures for scheduling and dispatching trips? Are denials tracked and periodically reviewed by management?	
13. Is the fare policy reviewed annually?	
14. Please describe your fare structure. When was your last fare increase?	
15. Please describe your procedures for collecting ridership information. Do you use the forms in SPIDER or Principles of Transit Management to collect the data?	
16. Besides ridership data, what other operational data are collected?	
17. How are financial reports, service reports and statistical data used in day-to-day management of transit service?	
18. To whom do you report the operational data and what key management decisions have been made with the operational data?	
19. What operational data are reported to the Board and how often?	
20. Does the data reported to ACT for National Transit Database (NTD) cover all operations, including those not supported with Section 5311 assistance? <i>Required of recipients of Section 5311 assistance only.</i>	
21. 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?	
22. Do you have a written rider's guide?	
23. Do you have a Board-approved policy governing standards of behavior by passengers on buses and transit property?	
24. How do you handle incidents of unruly behavior?	
25. Do you suspend passengers for unruly behavior? Who makes the decision?	
26. Do you track the incidents?	
27. Do you have a no-show policy? If yes, has it been approved by the Board?	

28. Do you have written complaint/comment resolution procedures? Are they Board-approved?	
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AMERICANS WITH DISABILITIES ACT

Titles II and III of the Americans with Disabilities Act of 1990 (ADA) provide that no entity shall discriminate against an individual with a disability in connection with the provision of transportation service. The law sets forth specific requirements for vehicle and facility accessibility and the provision of service, including complementary paratransit.

<p>1. Is your service fixed route, route deviation, and/or demand responsive?</p>	
<p>2. Have any complaints of discrimination due to disability been received from riders? If yes, please describe the complaints. What is the process to resolve the complaints?</p>	
<p>3. Are facilities accessible?</p>	
<p>4. Do you take steps to ensure that when planning new or rehabilitated facilities, they comply with ADA?</p>	
<p>5. If you have non-accessible vehicles in your demand-responsive fleet</p> <ul style="list-style-type: none"> a. How do you ensure that equivalent service is provided? b. Have you denied service due to unavailability of accessible equipment? <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>6. Are system brochures, application forms, rider handbooks, and occasional bulletins available in alternative formats upon request? <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>7. Are all accessible vehicles marked with the blue accessibility symbol? <i>ADA requires that all accessible vehicles be identified with the international accessibility symbol.</i></p>	
<p>8. Do all accessible vehicles have a securement system for wheelchairs? <i>ADA requires that all accessible vehicles have a securement system for wheelchairs.</i></p>	

<p>9. Do you require all wheelchairs to be secured? <i>ADA allows providers to require all wheelchairs to be secured.</i></p>	
<p>10. Do you place size or weight limitations on wheelchairs? Do you deny service to persons using wheelchairs due to a "legitimate safety requirement?" If yes, what do you consider legitimate safety requirements? <i>ADA requires transit providers to carry any wheelchair and occupant if the lift and vehicle can physically accommodate them, unless doing so is inconsistent with "legitimate safety requirements."</i></p>	
<p>11. Do drivers announce stops on fixed routes? <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></p>	
<p>12. 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>13. 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>14. 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>15. 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>16. 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>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 allows providers to require that service animals be under the control of the passenger.</i></p>	
<p>18. Have you had problems with passengers bringing animals that do not appear to be service animals? How did you address the problem?</p>	
<p>19. Are drivers required to deploy lifts at any designated stop unless the lift cannot be deployed, the lift will be damaged if deployed, or a temporary condition such as construction precludes the safe use of the lift? <i>Required by the ADA.</i></p>	
<p>20. 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>21. 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>22. 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>23. How are policies governing providing service to passengers covered under the ADA conveyed to drivers?</p>	
<p>24. 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>ADA requires that drivers receive training in the use of the accessibility equipment and properly assisting and treating individuals with disabilities who use the service with respect, courtesy and sensitivity.</i></p>	
<p>25. 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>26. Do you provide route deviation service? If yes, do public materials and bus schedules clearly state the procedures for requesting deviations 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>27. 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>28. 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>29. 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>30. Is alternative service provided to persons stranded for more than 30 minutes due to lift failures? <i>If a lift or ramp failure occurs on a route where the headway is greater than 30 minutes and the passenger cannot be served, the grantee is required to provide alternative service within 30 minutes.</i></p>	
<p>31. 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 questions apply to operators of ADA complementary paratransit service.</p>	
<p>32. 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"> • 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) • 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 • 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 	
<p>33. Are ADA complementary paratransit eligibility decisions made within 21 days of receipt of a complete application? If no, is presumptive eligibility granted? <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>34. Are persons who are denied eligibility given notice of their right of appeal? Is presumptive eligibility granted if the appeal is not decided within 30 days until eligibility is denied? <i>Persons denied eligibility must be given the notice of the right of appeal. If the decision takes longer than 30 days, 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)? Do you charge the PCA a fare? <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? Additional companions if space permits? <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>The base mode of complementary paratransit service can be curb-to-curb service but origin-to-destination must be provided 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. 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>g. Are riders allowed to contest no-shows?</p>	
<p>h. Is there an appeals process for suspensions? <i>The policy should allow riders to contest no-shows and there must be an appeals process for suspensions.</i></p>	
<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.</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. What do you consider an on-time trip? How do you monitor on-time performance? What is your on-time performance rate?</p>	
<p>54. How do you monitor missed trips? What percent of trips are missed?</p>	
<p>55. Do you have standards for excessively long trips? How do you monitor for excessively long trips?</p>	
<p>56. Do the answers to the above questions indicate that a capacity constraint exists?</p>	

SAFETY AND SECURITY

FTA and ACT promote development of effective safety and security programs and participation in local and regional emergency preparedness planning.

1. Who is responsible for system safety? Security?	
2. Do you have a written safety plan? Security plan? Emergency preparedness plan?	
3. How often do you use the SPIDER notebook? Do you have any suggestions for changes or additions?	
4. 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 What is the date of the last driver record check?	
c. Training in defensive driving techniques (Smith System)	
d. Training in passenger assistance and safety (CTAA PASS)	
e. Training in operation of lifts and other accessibility equipment <i>Required by ADA.</i>	
f. Training in substance misuse/abuse <i>Required by FTA.</i>	
g. Criminal background check	
5. Do you use the driver training documentation form in SPIDER?	
6. Is there a safety awards and recognition program?	
7. Are all vehicles outfitted with a blood-borne pathogens kit, first-aid kit, fire extinguisher, bi-directional reflective triangles, and web cutters?	
8. 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>9. 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>10. Have accidents been reported in quarterly reports? <i>ACT requires grantees to report accidents in quarterly reports.</i></p>	
<p>11. Are the procedures for handling accidents and medical emergencies kept on board the vehicles?</p>	
<p>12. Are passengers required to wear a seat belt? <i>Alaska requires passengers in vans to wear seat belts.</i></p>	
<p>13. Are drivers allowed to bring food or drinks on-board vehicles? If yes, are drivers allowed to eat or drink while the bus is in motion?</p>	
<p>14. Are drivers allowed to use a cell phone while the bus is in motion? Do you prohibit texting while the bus is in motion? <i>Alaska prohibits texting while driving.</i></p>	
<p>15. Are all carry-on items properly stowed before moving the vehicle?</p>	
<p>16. What are the procedures for investigating accidents?</p>	
<p>17. Who is responsible for investigating accidents?</p>	
<p>18. Are written reports made? If yes: To whom do the reports go? Do you use the accident/incident documentation form from SPIDER?</p>	
<p>19. What follow-up action is taken and by whom?</p>	
<p>20. Do you collect information on safety incidents? If yes, what is done with the data?</p>	
<p>21. What key safety issues have been identified and how are they being addressed?</p>	
<p>22. Is there a process for hazard identification?</p>	
<p>23. Are designated transfer points free of potential hazards?</p>	
<p>24. Do you perform criminal background checks on new hires? Employees? How often do you do this?</p>	

<p>25. What on-vehicle and at-facility crime prevention activities does the service employ? Examples include video cameras, locks, fencing, lighting, and silent codes.</p>	
<p>26. Do you have a system in place to insure against loss/damage/theft? Please describe.</p>	
<p>27. Have you worked with law enforcement, fire departments, medical services and emergency management agencies on emergency response efforts? What is your role in the plan?</p>	
<p>28. Have you conducted or participated in field drills, table top exercises, or assessments of potential emergency events? If yes, when? Please describe.</p>	
<p>29. Do you provide training in recognizing and reporting suspicious behavior?</p>	

CHARTER BUS

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

<p>1. Do you provide transportation for “program purposes,” that is, service that serves the needs of human service agencies or elderly persons, persons with disabilities, or low-income persons? If yes, please describe.</p> <p><i>For Sections 5310, 5311, 5316, and 5317, transportation for “program purposes,” that is, that serves the needs of either human service agencies or elderly persons, persons with disabilities, or low-income persons, is exempted from the regulation.</i></p>	
<p>2. Do you operate charter service? If yes, describe the charter service provided and answer the balance of the questions in this section.</p> <p>If no, go on to the School Bus section.</p> <p>If you are not sure, describe the service in question and the reviewer will determine whether the service was charter service and go through the balance of the questions with you during the site visit.</p> <p>[Reviewer, please review the most recent audit on file with the state for any charter revenue. Review service brochures to see if the grantee promotes charter service.]</p> <p><i>Charter service is defined as:</i></p> <p><i>Transportation provided at the request of a third party for the exclusive use of a bus or van for a negotiated price; or</i></p> <p><i>Transportation provided to the public for events or functions that occur on an irregular basis or for a limited duration and:</i></p> <ul style="list-style-type: none"> ▪ <i>A premium fare is charged that is greater than the usual or customary fixed route fare; or</i> ▪ <i>The service is paid for in whole or in part by a third party.</i> 	
<p>3. Under what exception is the charter service operated? (Please refer to the Charter Bus Exceptions and 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 reported all charters to ACT? <i>Required by FTA for service provided under the GO, QH, 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. Have any complaints been filed alleging that the charters are in violation of the FTA regulations?</p>	
<p>7. 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>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>Exception 604.8 – Leasing FTA funded equipment and drivers to a charter service operator (LE) only if the following conditions exist:</p> <ol style="list-style-type: none"> 1. The operator is registered on the FTA charter registration web site 2. The operator owns and operates buses or vans in a charter service business 3. The operator received a request for charter service that exceeds its capacity either of the number of vehicles operated or the number of accessible vehicles 4. The operator has exhausted all of the available vehicles for all registered charter providers in your geographic service area 	<p>Record the following information:</p> <ol style="list-style-type: none"> 1. Registered charter provider's name, address, telephone number, and email address 2. Number of vehicles leased, types of vehicles leased, and vehicle identification numbers 3. Documentation presented by the registered charter provider that the four conditions are satisfied. <p>Retain the record for three years.</p>

Exception	Procedure
<p>Exception 604.9 – When no registered charter provider responds to a notice posted on the FTA charter website (WN):</p> <ol style="list-style-type: none"> 1. Within 72 hours for charter service requested to be provided in less than 30 days, or 2. Within 14 calendar days for charter service requested to be provided in 30 days or more. 	<p>Include the in the e-mail notice sent to the list of registered charter providers:</p> <ol style="list-style-type: none"> 1. Customer name, address, phone number, and e-mail address (if available); 2. Requested date of service; 3. Approximate number of passengers 4. Type of equipment requested, bus(es) or van(s); 5. Trip itinerary and approximate duration; and 6. The intended fare to be charged for the service. <p>If an “undeliverable” notice is received in response to its e-mail notice, fax the notice.</p> <p>If service is provided, record the following information:</p> <ol style="list-style-type: none"> 1. The group’s name, address, phone number, and email address 2. Date and time of service 3. Number of passengers 4. Origin, destination, and trip length (miles and hours) 5. Fee collected, if any 6. Vehicle number (example, bus 102) <p>Retain all records (email sent, undeliverable notice, facsimile, record of charter) for three years.</p>
<p>Exception 604.10 – Agreement with registered charter providers</p> <p>If a new charter provider registers in the geographic service area, may continue to provider charter service for 90 days without an agreement with the newly registered charter provider.</p> <p>Any parties to an agreement may cancel at any time after providing a 90-day notice.</p>	<p>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 unless the service qualifies under an allowable exemption and is approved by the FTA Administrator. In no case can FTA-funded equipment or facilities be used to provide exclusive school bus service.

<p>1. Is exclusive school bus service operated? <i>Grantees are prohibited from providing exclusive school bus service unless the service qualifies under an allowable exemption and is approved by the FTA administrator. In no case can federally funded equipment or facilities be used to provide exclusive school bus service.</i></p>	
<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. Regularly scheduled mass transportation service? 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?</p> <p><i>Interior Alaska Bus Line provides three times a week shuttle service (Monday, Wednesday, and Friday) connecting Anchorage, Fairbanks, Tok, & Northway year round.</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 stops 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>	

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 promoted as public transit service. Grantees may not use Section 5311 assistance to provide service within an urbanized area. Grantees may use Section 5311 assistance to 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 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>3. Are vehicles clearly identified as general public transit service? Is the phone number to call for a ride on the vehicles? <i>Vehicles must be clearly identified as general public transit service.</i></p>	
<p>4. 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>5. 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>6. How are you listed in the phonebook?</p>	

<p>7. 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>8. 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>	
<p>d. Do the incidental services bear the costs of the service?</p>	
<p>e. How much is the transportation program reimbursed for meal delivery?</p>	

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.

1. How do you advertise your transit service? What media are used and how often?	
2. What other types of marketing/promotion are you doing for your transit program?	
3. 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)	
4. Do you collect various data on a regular basis and use it in the marketing and planning process such as:	
a. Customer comments	
b. Customer requests for information	
c. Other (please list)	
5. Do you conduct rider satisfaction surveys? How often? When was the last survey?	
6. Are the public information systems complete, easy to understand and available in alternative formats?	
a. Schedules and time tables	
b. Route maps	
c. Signage and other user aides	
d. How-to-ride information	
e. Telephone information system (including a dedicated number for general public service)	
7. Do schedules present:	
a. Route maps that list the time points?	
b. Transfer points to other systems?	
c. Telephone number?	
d. Web address?	
e. Other (please discuss)?	

8. What activities are undertaken to enhance and draw attention to the public image of your service?	
9. Have you cultivated working relationships with community leaders? For example, are you a member of the chamber of commerce and do you attend meetings regularly?	
10. How and where are marketing materials (brochures, schedules) distributed?	
11. Are they displayed at key public locations such as city halls, libraries, community centers, shopping malls?	
12. Have arrangements been made with the institutions to notify you when the racks need replenishing?	
13. What is the address of your website?	
14. Who maintains your website?	
15. Is your website formatted for a smart phone?	
16. How often do you review the website content and make changes?	
17. Are you able to make changes to your website directly or must you go through a contractor?	
18. Does the website provide information on:	
a. Hours and days of service?	
b. Types of service?	
c. How to plan a trip?	
d. Bus schedules and maps?	
e. Public meetings and hearings?	
f. Route and schedule changes?	
g. Transit advisory committee participation and meetings?	
h. List of Board members?	
i. Customer service number?	
j. Links to other transit system websites?	
k. Sign up for an email information list?	
l. On-line comment form?	
m. Protection under Title VI?	
n. Route deviation?	
o. ADA complementary paratransit?	
19. What types of social media do you use to market your system?	

NONDISCRIMINATION IN THE DELIVERY OF SERVICE

Grantees must not discriminate on the grounds of race, color, national origin, or low-income status in the delivery of public transit services.

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. Do you take Title VI into consideration when making changes in service?	
5. Do the answers to the above questions indicate any disparate impacts or treatment on the basis of race, color, national origin or income?	
6. How are individuals provided opportunities to participate in the transit planning and decision-making processes without regard to race, color, national origin or income? Have representatives of these groups expressed a need for transportation improvements? If yes, please describe.	
7. What outreach efforts were undertaken to identify minority groups and low income persons?	
8. How do you notify the public of its rights under Title VI? (Website, schedules, signs or brochures on buses)	
9. 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? <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. The notification may not be limited to a notice on the grantee's website.</i>	
10. Do you have procedures for investigating, tracking, and documenting Title VI complaints? If yes, please describe. <i>Grantees must have a written procedures for tracking Title VI complaints.</i>	

<p>11. Have any complaints concerning discrimination in the delivery of service been received since the last review or last grant application? If yes:</p>	
<p>a. How were the complaints identified and resolved?</p>	
<p>b. 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>12. How are you assisting limited English proficient (LEP) transit riders?</p>	
<p>13. Are schedules and other public information provided in languages other than English? If yes, what languages are provided?</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	
4. Please describe how you are coordinating with other transportation providers in the area.		
Providers	Coordination Efforts/Reasons for Not Coordinating	
5. Which of the following coordination activities occur? a. Central information center b. Centralized dispatch c. Mobility management d. Planning e. Maintenance f. Purchasing (vehicles, parts, fuel) g. Training h. Marketing i. Management (information systems, billing) j. Referrals k. Other (please describe)		List all letters that apply.
6. Are there more opportunities for coordination?		

<p>7. Since the last review, have you had a significant change in level of service or fares? If yes, how was the public involved in the decision-making process?</p>	
<p>8. Are you involved or do you periodically consult with local planning agencies and governmental units?</p>	
<p>9. Do you have a local transportation advisory committee (TAC or similar committee)? Are private-for-profit and private-nonprofit transportation providers represented on the TAC?</p>	
<p>10. Are you participating in public transit coordination efforts via the public transit human service coordination plan? What initiatives have resulted from the meetings?</p>	

INTELLIGENT TRANSPORTATION SYSTEMS

Intelligent Transportation Systems (ITS) are techniques and methods for relieving congestion, improving road and transit safety, and increasing economic productivity. ITS encompasses a variety of different technology based systems. Examples of ITS for transit include, but are not limited to, transit management, emergency management, incident management, driver assistance system, collision avoidance and collision notification systems, traveler information, electronic payment and pricing, crash prevention and safety, and information management.

1. What kind, if any, ITS does your agency currently use or have planned?	
2. What area of your operations has ITS helped your organization? (I.e., safety, mobility, efficiency, security, or organization?)	
3. What issues have you experienced in regarding to implementing ITS, if any? (i.e., institutional, technological or economic barriers?)	
4. Are there any operational issues with maintaining an ITS system?	

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 days/date.

Finding	Corrective Action/ Recommendation	Response	Response Days/ Date	Comment	Date Closed