**South Dakota Department of Transportation**



File Review Date:

Site Review Date:

South Dakota DOT Compliance and Good Practices Review

Reviewer(s):

Grantee:

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# Purpose and Directions

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

SDDOT will conduct the review as follows:

SDDOT will email the review form to the grantee approximately 30 days prior to the onsite review. The grantee will answer the review questions within the review form. After completing the review form, the grantee will email it to SDDOT within **15 days of the review notification email**. If the question does not apply to the transit agency, put “NA” in the response box.

The requested documents listed below can be sent prior to the 15 day due date, but they must all be submitted for review by the 15 day due date.

Email the completed questionnaire to Lisa Donner at lisa.donner@state.sd.us and Sallie Doty at sallie.doty@state.sd.us

SDDOT will review the grantee’s responses and will request additional clarification or information to address the review questions or requested documents. SDDOT will review the documents, materials and reports on file at the SDDOT office prior to the site visit. SDDOT will address any concerns regarding the responses and documents during the site visit. SD DOT will also review the list of documents and files stated in the list below.

The site visit presents an opportunity for SDDOT to observe the service and operations first hand and provide an opportunity to address any questions the transit staff may have.

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

**Our office requests the following documents be sent to us prior to the review date. Number is () are the corresponding question(s):**

* Governance
* (2) Articles of Incorporation
* (3) Bylaws
* (7) Records of board meetings *(resolution adopting drug and alcohol policy, approval of grant submission to state, or other resolutions as requested)*
* (12) Sample financial reports submitted to board
* (13) Sample “funders” report
* (14) Most recent goals and objectives
* Control Environment
* (2) Internal Control Policy
* (4) Written Conflict of Interest Policy
* Financial Management
* (1) Local match tracking spreadsheet
* (6) Accounting policy and procedure manual
* (7) Travel policies
* ((17) Written budget procedures
* Technology and Information Systems
* (12) Policy governing personal use of work computer (Personnel Manual)
* Procurement
* (2)Code of conduct *(Part of procurement policy)*
* (4,5) Written procurement procedures
* Personnel
* (2,3) Personnel manual
* Service Provision
* (2,11) Service policy/operators’ manual
* (17) Standard complaint/comment form and procedures
* (18) Passenger standards of conduct (passenger handbook)
* Maintenance
* (3,5) Vehicle maintenance plan
* (19,20,21,22,23,24) Facility and equipment maintenance plan and inspection checklist
* Safety
* (2) Volunteer driver procedures if applicable
* (7) Accidental/medial emergency procedures
* (8, 9, 10, 11, 12) Safety\Operator Policies
* ADA
* (3) Reasonable Accommodation Process
* (7) ADA Complaint Form and procedures
* (9-17) Securement\Assistance Policies
* Drug and Alcohol Program
* (7) Drug and alcohol policy including board member approval.
* Nondiscrimination In Delivery of Service
* (5) Title VI Complaint procedures
* Marketing
* (1) Marketing plan

**The following documents our office would like to review on site. Please have organized and available:**

* Governance
* (8) Board orientation materials
* (9) Board handbook or Policy manual
* Managerial Capacity
* (1) Organizational chart
* (10) Labor Poster
* Control Environment
* (11) IRS 990 must be posted on website, if applicable
* (12) Single Audit is posted on website, if applicable
* Financial Management
* (3) Vendor Payments (For the last FFY)
* (8) List of chart of accounts
* (11) Timesheets (For the last FFY)
* (19-21) Budget approved by the board
* (27) Budget revisions for current year and past 2 years budgets
* Satisfactory Continuing Control
	+ (15) Equipment Tagged
* Personnel
* (6) Timesheets (*For the last FFY)*
* (4-5) Detailed Job Descriptions for all positions
* Service Provision
* (3, 9 & 10) Check training records for documentation of required training and current (Verify that the required training is current.)
* (15) Sample report of basic transit measurements
	+ Procurement
* (13) Review procurement files
* EEO
* (5) Sample job posting and advertisement with statement
* (7) Sample job application with statement
* Maintenance
* (6) Vehicle Pre-trip Inspection
* (24) Facility Inspection Form
	+ Charter Bus
* (3) Charter trip request and documentation
* Marketing
* (11) Sample of marketing materials *(schedules, brochures, newspaper ads, etc.)*
* (4 & 5) Most recent compilation of survey results
* ADA
* (7) Complaint form/process on website
* Drug and Alcohol
* (4) Qualifications for the MRO (*You can obtain the identity and qualifications of the MRO from your consortium/TPA.)*
* (5)Qualifications for the BATs/STTs (*Obtain the qualifications of these individuals from the collection site.)*
* (6)Qualifications for the SAP
* (8) Copy of 49 CFR Located onsite
* (13) Copies of tests performed from the year’s quarters
* Nondiscrimination In Delivery of Service
* (6) Complaint form/process posted on website

# Administration and Management

Governance

Grantees must have the legal capacity to receive federal and state grants. Grantees must have a designated body legally responsible for the overall organization, management and operation of the transportation system.

|  |  |  |
| --- | --- | --- |
| 1. What is the name of the designated body legally responsible for the overall organization management, and operation of the transit system?
 | Click here to enter text. |  |
| 1. Do the articles of incorporation specifically mention public transportation, coordination of transportation or other passenger transportation functions?

***Good practice*** | Click here to enter text. |  |
| 1. Does the board have written bylaws for its governance which include:
 | Click here to enter text. |  |
| 1. Duties and responsibilities
 | Click here to enter text. |  |
| 1. Method of member selection
 | Click here to enter text. |  |
| 1. Terms of office
 | Click here to enter text. |  |
| 1. Frequency and notification of meetings
 | Click here to enter text. |  |
| 1. Procedure for hiring manager
 | Click here to enter text. |  |
| 1. Avoiding conflict of interest in:
2. Selection of board members
 | Click here to enter text. |  |
| 1. Purchasing and doing business with service
 | Click here to enter text. |  |
| 1. Employment
 | Click here to enter text. |  |
| 1. How are members selected for the Board?
 | Click here to enter text. |  |
| 1. Is the board representative of the communities it serves?

***Good practice*** | Click here to enter text. |  |
| 1. # Members: Total
 | Click here to enter text. |  |
| 1. # Members: Private sector
 | Click here to enter text. |  |
| 1. # Members: Public sector
 | Click here to enter text. |  |
| 1. # Members: Elected officials
 | Click here to enter text. |  |
| 1. # Members: Consumers
 | Click here to enter text. |  |
| 1. # Members: Minorities
 | Click here to enter text. |  |
| 1. # Members: Male
 | Click here to enter text. |  |
| 1. # Members: Female
 | Click here to enter text. |  |
| 1. # Members: Disabled
 | Click here to enter text. |  |
| 1. # Members by key geographic areas or political subdivisions
 | Click here to enter text. |  |
| 1. Vacancies
 | Click here to enter text. |  |
| 1. What key skills or knowledge do Board members bring that can be leveraged by transit management at no cost to the agency?

***Good practice*** | Click here to enter text. |  |
| 1. Does the sample of board records indicated that board minutes are complete and signed by the elected or appointed secretary?
 | Click here to enter text. |  |
| 1. Are Board members given orientation and\or materials? How is this accomplished?

***Good practice*** | Click here to enter text. |  |
| 1. Are board members encouraged to ride the service?

***Good practice*** | Click here to enter text. |  |
| 1. Does a majority of board members regularly attend meetings?

***Good practice*** | Click here to enter text. |  |
| 1. Are financial reports submitted to the board for its review and action? How often?

***Good practice*** | Click here to enter text. |  |
| 1. Are periodic reports provided to funders providing information on cost, revenue, service and ridership?

***Good practice*** | Click here to enter text. |  |
| 1. Have goals, objectives, and targets which are reasonable for the resources available been adopted by the board for the transportation program?

If yes, what are the goals, objectives, and targets?How were they developed?***Good practice***  | Click here to enter text. |  |
| 1. How often does the board review and revise the goals, objectives, and targets? Annually as part of a market and goal assessment?

***Good practice*** | Click here to enter text. |  |
| 1. How often does the board review progress toward achievement of each goal, objective, and target?
 | Click here to enter text. |  |
| 1. How are goals, objectives, and targets integrated into the budgeting and financial planning processes?

***Good practice*** | Click here to enter text. |  |
| 1. How often is program policy determined?
 | Click here to enter text. |  |
| 1. Does the board involve itself in day-to-day operations?
 | Click here to enter text. |  |
| 1. Does the board formally review the performance of the chief executive officer, manager or executive director at least annually?

***Good practice*** | Click here to enter text. |  |
| 1. If you are a private non-profit agency that administers several programs or part of a city or county, is there a transit committee to advise the Board on transit policy?

***Good practice***  | Click here to enter text. |  |

Managerial Capacity

Subrecipients must have adequate staffing and resources to understand grant programs and requirements, financial controls that include various reports required by SDDOT for expenditures, ridership, capital expenditures, and coordination.

|  |  |  |
| --- | --- | --- |
| 1. Does the organizational chart show lines of authority and responsibility for all staff, administration, and the board? Is it reviewed annually and revised when necessary?

***Good practice*** | Click here to enter text. |  |
| 1. Who is responsible for the day-to-day management of the transit program?
 | Click here to enter text. |  |
| 1. Please describe the qualifications and experience of transportation program management and supervisory staff.
 | Click here to enter text. |  |
| 1. Describe your staffing and the responsibilities of key staff. Does the number of staff appear appropriate for the number and complexity of tasks and the size of the program?
 | Click here to enter text. |  |
| 1. Is decision-making performed at the correct organizational level?

Has the manager delegated smaller decisions to line supervisors and staff and do staff bring to line supervisors and to the manager decisions that have larger (policy, legal) ramifications for the organization? ***Good practice*** | Click here to enter text. |  |
| 1. Is the staff aware of the organizations mission statement? Does staff contribute to decision making and offer feedback?
 | Click here to enter text. |  |
| 1. Who is responsible for requesting vehicle orders?

Is there a systematic process for determining the number and size of vehicles for the fleet?Are decisions for expanding the fleet based on ridership projections? If yes, how are the projections developed?*SDDOT requires each transit to have a 3 to 5 year plan for vehicle and facility needs.* | Click here to enter text. |  |
| 1. Who is responsible for preparing and submitting the reports required by SD DOT?
 | Click here to enter text. |  |
| 1. Are all required reports submitted on time?

If no, what are the reasons for the delay?*e.g. charter, DBE, Coordination Plan, ridership, etc.*  | Click here to enter text. |  |
| 1. Is the special labor protection warranty (Section 5333(b)) posted clearly for all employees to see? ( For Unions) [*https://www.dol.gov/olms/regs/compliance/statute-sect5333b.htm*](https://www.dol.gov/olms/regs/compliance/statute-sect5333b.htm)
 | Click here to enter text. |  |
| 1. Have any special labor protection warranty complaints been received?

If yes, were they reported to SDDOT?How were the complaints resolved?*Grantees must report any special labor warranty complaints and how they were resolved to SDDOT.*  | Click here to enter text. |  |
| 1. Do you contract with private operators or other agencies? If yes, please identify.

Who is responsible for managing the contract?What procedures are used to ensure that quality service is provided?*Grantees must have procedures for managing service contractors to ensure that quality service is provided.*  | Click here to enter text. |  |

Control Environment

The Office of Management and Budget 2 CFR Part 200 states, “consideration should be given to the control environment over Federal programs and such factors as the expectation of management’s adherence to Federal statutes, regulations, and the terms and conditions of Federal awards and the competence and experience of personnel who administer the Federal programs.” Factors that influence an agency’s control environment include: corporate culture, transparency, code of ethics, documentation and adherence to agency policies, 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?
 | Click here to enter text. |  |
| 1. 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”?
 | Click here to enter text. |  |
| 1. How does management remain abreast of the requirements of laws and regulations pertinent to its business?
 | Click here to enter text. |  |
| 1. Is there a formal (written) conflict of interest policy or code of conduct in effect for employees?
 | Click here to enter text. |  |
| 1. How is it communicated to employees?

***Good practice*** | Click here to enter text. |  |
| 1. Who conducts background and reference checks of applicants? ***Good practice***
 | Click here to enter text. |  |
| 1. Has management established procedures to prevent unauthorized access to, or destruction of, documents, records, and assets? If yes, please describe.

***Good practice*** | Click here to enter text. |  |
| 1. Has management established policies for controlling access to computer programs and data files? If yes, please describe.
 | Click here to enter text. |  |
| 1. Are procedures in place to ensure that terminated employees do not have access to documents, records, and assets? If yes, please describe.
 | Click here to enter text. |  |
| 1. Do you inform the Board in a timely manner of sensitive information, investigation, and improper acts (e.g., significant litigation, investigations by regulatory agencies, embezzlement, misuses of corporate
 | Click here to enter text. |  |
| 1. If applicable, has the Internal Revenue Service Form 990 been filed in compliance with federal law? Is this displayed on your website?
 | Click here to enter text. |  |
| 1. If applicable, are you in compliance with the Single Audit Act, SDCL § 4-11-2., and are audits displayed on your website?
 | Click here to enter text. |  |

Financial Management

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

|  |  |
| --- | --- |
| **Financial Capacity**  |  |
| 1. It is required that subrecipients keep a list sources of local funding for operating, capital and operating buses expenses by section of funding.

Are the sources of local funding sufficient to operate the project and maintain transit’s assets? | Click here to enter text. |  |
| 1. Are operating expenses covered in a fiscally responsible and board-approved manner before being reimbursed by the state?
 | Click here to enter text. |  |
| 1. In the current Federal Fiscal Year (Oct –Sept), how many of your transit program vendors were paid within 30 days or by the due date on invoice?
 | Click here to enter text. |  |
| 1. In the current Federal Fiscal Year (Oct –Sept), have any transit employees not been paid when they were due? If yes, why?
 | Click here to enter text. |  |
| **Accounting Systems and Policies** |  |
| 1. What accounting software is used?

Which modules?  | Click here to enter text. |  |
| 1. Is an accounting policy and procedure manual maintained? If yes, does it contain written procedures for:
 | Click here to enter text. |  |
| 1. The retention of records
 | Click here to enter text. |  |
| 1. Reporting requirements, including a schedule of report deadlines
 |  |  |
| 1. Requirements and schedules for audits
 | Click here to enter text. |  |
| 1. Are there written travel policies for staff and board members which detail at a minimum:
2. Use of per diem rate or actual expenses, basis of reimbursement and reasonable dollar limits
 | Click here to enter text. |  |
| 1. Requirements for receipts for lodging and meals when reimbursement is made for actual cost
 | Click here to enter text. |  |
| 1. Requirements for approval of travel requests
 | Click here to enter text. |  |
| 1. Requirements for travel expense vouchers to show purpose of trip
 | Click here to enter text. |  |
| 1. Is an up-to-date chart of accounts maintained and does it completely describe the nature of each account?
 | Click here to enter text. |  |
| 1. Are the financial records being kept in accordance with Generally Accepted Accounting principles (GAAP)?

*GAAP principles are the basis of financial accounting and reflect federal financial accounting standards which include consistency, relevance, reliability, and comparability.*  | Click here to enter text. |  |
| 1. Are financial records retained for at least 3 years from the expiration of the grant?
 | Click here to enter text. |  |
| 1. Are timesheets approved by an official who is not responsible for their preparation and is outside the payroll department?

***Good practice*** | Click here to enter text. |  |
| 1. Are all employees who are responsible for signing checks, handling cash, and performing other accounting activities bonded?

***Good practice*** | Click here to enter text. |  |
| **Audits** |  |
| 1. If more than $750,000 in federal funds were expended during the last fiscal year, was a single audit conducted in accordance with 200 CFR?
 | Click here to enter text. |  |
| 1. Since the last site visit, have audit findings been submitted that relate to the transit program? If not, why not?
 | Click here to enter text. |  |
| 1. Are all findings resolved?
 | Click here to enter text. |  |
| **Indirect Costs**  |  |
| 1. Are indirect costs charged to grants?

If yes: *Per Office of Management and Budget (OMB) Circular A-87, indirect costs are costs that are incurred for a common or joint purpose that benefits more than one cost objective and are not readily assignable to the cost objectives specifically benefitted without effort disproportionate to the results achieved. Examples of indirect costs are accounting and personnel services. Grantees that charge indirect costs to grants must do so in accordance with an approved cost allocation plan that was developed in accordance with OMB Circular A-87 of A-122. The plan must be resubmitted for approval in any of the following circumstances:* * *The grantee has made a change in its accounting system, thereby affecting the previously approved cost allocation plan/indirect cost rate and its basis of application,*
* *The grantee’s proposed cost allocation plan/indirect cost rate exceeds the amounts approved previously by more than 20 percent, or*
* *The grantee changes the cost allocation plan/indirect cost rate proposal methodology.*
 | Click here to enter text. |  |
| 1. Is there a cost allocation plan to support indirect administration costs related to a grant program?
 | Click here to enter text. |  |
| 1. Was the plan developed in accordance with OMB Circular A-87 (public entities) or A-122 (non-profits)?
 | Click here to enter text. |  |
| 1. Has the plan been submitted to the state?

*The plan must be submitted to SDDOT*. | Click here to enter text. |  |
| 1. Have procedures been established to ensure that costs are classified as either direct or indirect (but not both)?
 | Click here to enter text. |  |
| 1. Has the plan been followed?
 | Click here to enter text. |  |
| 1. Has the rate been updated annually?

*In addition to the initial approval by the cognizant agency, the rate must be updated annually.* | Click here to enter text. |  |
| 1. Has the accounting system changed, thereby affecting the previously approved cost allocation plan/indirect cost rate and its basis of application?
 | Click here to enter text. |  |
| 1. Has the indirect cost rate changed by more than 20 percent of the previously approved rate?
 | Click here to enter text. |  |
| 1. Has the methodology changed used to calculate change since the plan was approved?
 | Click here to enter text. |  |
| **Budgeting**  |  |
| 1. Please describe the process used to develop the budget. Is the process documented? Who is responsible for developing the budget?
 | Click here to enter text. |  |
| 1. Are the goals, objectives, and targets approved by the board used to guide the development of the budget?
 | Click here to enter text. |  |
| 1. Does the board approve the budget?
 | Click here to enter text. |  |
| 1. Is the budget prepared in sufficient time to allow full review and interaction by the board?
 | Click here to enter text. |  |
| 1. Is the board provided a budget with sufficient detail to make decisions about the allocation of program resources?
 | Click here to enter text. |  |
| 1. Are long-range financial needs defined during the annual budget process and alternatives reviewed?
 | Click here to enter text. |  |
| 1. Are anticipated fare box revenue, contributions, grants, contracts, and other program income projected in the budget?
 | Click here to enter text. |  |
| 1. Are actual expenditures compared with budgeted expenditures to prevent budget overruns?

How often?Who performs this comparison?  | Click here to enter text. |  |
| 1. Are revenues from federal, state, and local government sources, service contracts, and fares compared with the projections in the budget?

How often?Who performs this comparison?  | Click here to enter text. |  |
| 1. Do you struggle to obtain sufficient local match to support federal funding match requirements?
 | Click here to enter text. |  |
| 1. Does the board review and approve budget revisions?

What is the threshold for board approval?  | Click here to enter text. |  |
| 1. Do you have reserves? If yes: What is the amount? How many months of operations will it cover?
 | Click here to enter text. |  |
| 1. Do your grant balances agree with SDDOT’s grant balances? If not, please provide an explanation.
 | Click here to enter text. |  |
| **Risk Management**  |  |
| 1. Do you carry risk, liability, workman’s compensation, and fire insurance?
 | Click here to enter text. |  |
| 1. Do you analyze alternative insurance programs including self-insurance and excess liability coverage for property damage and liability at least every 3 years? 9`
 | Click here to enter text. |  |
| 1. If self-insured, is there a self-insurance reserve account?
 | Click here to enter text. |  |
| 1. Is there a workers’ compensation management system which provides for verification of accident/injury, administration of benefits, vocational rehabilitation?
 | Click here to enter text. |  |

Technology and Information Systems

Grantees should use information technology to improve productivity and provide needed financial and performance information. Procedures should be in place to protect hardware and software. Policies should be in place governing personal use of public computers.

|  |  |  |
| --- | --- | --- |
| 1. What computer applications are used:
2. For finance?
 | Click here to enter text. |  |
| 1. For office use?
 | Click here to enter text. |  |
| 1. For transportation?
 | Click here to enter text. |  |
| 1. For maintenance?
 | Click here to enter text. |  |
| 1. For the operating system?
 | Click here to enter text. |  |
| 1. For security?
 | Click here to enter text. |  |
| 1. For anti-virus protection?
 | Click here to enter text. |  |
| 1. For a fire wall?
 | Click here to enter text. |  |
| 1. For backups?
 | Click here to enter text. |  |
| 1. Other?
 | Click here to enter text. |  |
| 1. Are computer applications current with respect to needs and appropriate to the hardware environment?

***Good practice*** | Click here to enter text. |  |
| 1. Who maintains the software?

Does this person/entity possess the necessary training, education, and experience to provide adequate technical support? | Click here to enter text. |  |
| 1. Is software regularly updated with patches and security updates?

How frequently?Are all security/patches current?***Good practices*** | Click here to enter text. |  |
| 1. How often are the servers/computers backed up?
 | Click here to enter text. |  |
| 1. How frequently are virus definitions updated?

Are virus definitions current?How frequently do you scan for viruses?***Good practices*** | Click here to enter text. |  |
| 1. Do you use a local area network?
 | Click here to enter text. |  |
| 1. Who maintains the hardware and network?

Does this person/entity have the necessary training, education, and experience to provide adequate technical support?  | Click here to enter text. |  |
| 1. Do the servers have an uninterruptible power supply (UPS)?

*A UPS allows a computer to run on battery power during short power interruptions and allows the user to shut down a computer properly during a power interruption. A UPS has a built-in surge protector.*  | Click here to enter text. |  |
| 1. Are all computer equipment items protected from power surges?

***Good practice*** | Click here to enter text. |  |
| 1. When was the last time the State Management Plan was accessed?
 | Click here to enter text. |  |
| 1. Do you have a written policy regarding personal use of the computer, including use of the Internet?

***Good practice*** | Click here to enter text. |  |
| 1. Are computers purchased with FTA funds being used to support the transit program?

Are they used to support other programs as well?*Computer equipment purchased with FTA funds must be used primarily to support the FTA programs.*  | Click here to enter text. |  |
| 1. Do you provide general computer/ application training? If yes, when was the last time that the training took place?

***Good practice***  | Click here to enter text. |  |

Satisfactory Continuing Control

Grantees must maintain control of FTA-funded equipment and facilities and use them to provide public transportation. Grantees must submit reports on vehicle use on each FTA funded vehicle and on any vehicle that uses FTA funds to operate. Grantees must obtain prior written approval from SDDOT before selling, transferring, leasing, or disposing of vehicles, equipment and facilities.

|  |  |  |
| --- | --- | --- |
| 1. Calculate the fleet spare ratio.
2. What is the number of revenue vehicles?
 | Click here to enter text. |  |
| 1. What is the number of vehicles required for maximum service?
 | Click here to enter text. |  |
| 1. What is the number of spare vehicles (a – b)?
 | Click here to enter text. |  |
| 1. What is the spare ratio (c/b)?
 | Click here to enter text. |  |
| 1. How often is the maximum number of vehicles required?
 | Click here to enter text. |  |
| 1. Does the spare ratio appear reasonable given the size and age of the fleet, the frequency of peak service demand, and the projected ridership growth?

Does the spare ratio indicate a need for additional vehicles? *SDDOT considers a spare ratio of approximately 20 percent reasonable.*  | Click here to enter text. |  |
| 1. Are the vehicles used appropriately for the type of service, ridership volumes, and scheduling patterns?
 | Click here to enter text. |  |
| 1. Do you anticipate additional ridership in the next 3 years? If yes, by how much?
 | Click here to enter text. |  |
| 1. Have “back-up” arrangements been made, such as a contract with a taxi company or another agency, to deliver service when breakdowns occur or during peak service times?
 | Click here to enter text. |  |
| 1. What is the average age of the fleet?
 | Click here to enter text. |  |
| 1. What is the average mileage of the fleet?
 | Click here to enter text. |  |
| 1. Has the five year asset plan been submitted to SD DOT annually?
 | Click here to enter text. |  |
| 1. Have you sold or disposed of any FTA-funded vehicles in the past year? If yes: Please list the vehicles.

Did you obtain approval from SDDOT?*Reviewer: Compare records.* | Click here to enter text. |  |
| 1. Are leases attached to FTA-funded vehicles?
 | Click here to enter text. |  |
| **Insurance**  |  |
| 1. Has an updated proof of insurance on each vehicle been provided to SDDOT annually?
 | Click here to enter text. |  |
| 1. Do you have a combined single limit of coverage of at least $1 million?

What insurance coverage do you have on FTA-funded facilities? If self-insured, how is the self-insurance funded?*SDDOT requires grantees to maintain a minimum of a combined single limit of coverage of $1 million on vehicles.*  | Click here to enter text. |  |
| **Inventory and Controls**  |  |
| 1. What procedures and practices are used to prevent loss, damage, or theft of property and inventory?

*(Examples of procedures include insurance, locks on doors, controlled access to supplies, fencing, lighting, inventory and tagging of all equipment, and annual physical inventories that are reconciled to inventory lists.)* | Click here to enter text. |  |
| 1. Is all equipment permanently tagged or stamped with an identification number?
 | Click here to enter text. |  |
| 1. Is there a current, complete inventory of all equipment?
 | Click here to enter text. |  |
| 1. What is the dollar threshold for inclusion in the asset inventory?
 | Click here to enter text. |  |
| 1. Is a physical inventory of equipment taken at least annually that is reconciled to the inventory records?
 | Click here to enter text. |  |
| 1. Are inventory item statistics maintained such as inventory level policy, consumption record, recorder points, economic order quantities, recent bidders and prices, and acquisition times?
 | Click here to enter text. |  |
| 1. Are facility uses or lease agreements current for all facilities?
 | Click here to enter text. |  |

Procurement

Grantees must comply with the relevant sections of FTA C 4220.1F. Grantees must obtain prior state approval for federally funded purchases of equipment and transportation service contracts. **For required certification and clauses see:** <https://www.transit.dot.gov/funding/grantee-resources/certifications-and-assurances/certifications-assurances> or use **RTAP Procurement Pro** <http://www.nationalrtap.org/Web-Apps/ProcurementPRO>

|  |  |  |
| --- | --- | --- |
| 1. Who is responsible for purchasing/leasing?

Is the person by reason of education, training, and experience qualified for the responsibility?  | Click here to enter text. |  |
| 1. Do you have a written code of conduct that governs the performance of officers, employees, or agents engaged in procurement in describing avoidance of conflict of interest?
 | Click here to enter text. |  |
| 1. 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?
 | Click here to enter text. |  |
| 1. Are procurement procedures written and approved by the board?
 | Click here to enter text. |  |
| 1. Do policies and procedures adequately address such matter as:
 | Click here to enter text. |  |
| 1. Need and use of formal advertising
 | Click here to enter text. |  |
| 1. Bidding
 | Click here to enter text. |  |
| 1. Negotiating
 | Click here to enter text. |  |
| 1. Use of sole source
 | Click here to enter text. |  |
| 1. Selection procedures
 | Click here to enter text. |  |
| 1. Required signatures
 | Click here to enter text. |  |
| 1. Review of procurement requests to avoid duplicative or unnecessary purchases
 | Click here to enter text. |  |
| 1. Award to responsible bidders/proposers
 | Click here to enter text. |  |
| 1. Protest procedures
 | Click here to enter text. |  |
| 1. Contract administration system
 | Click here to enter text. |  |
| 1. Settlement of contract issues and disputes
 | Click here to enter text. |  |
| 1. Documentation of procurement history
 | Click here to enter text. |  |
| 1. Are the quantity and quality of supplies, equipment, services verified against the purchase order or other system upon receipt?
 | Click here to enter text. |  |
| 1. Are technical specifications prepared at the appropriate level of detail to accommodate competitive bidding and user requirements?
 | Click here to enter text. |  |
| 1. Are qualified bidders lists and histories maintained for competitive bidding?
 | Click here to enter text. |  |
| 1. What is the dollar threshold for sealed bids?
 | Click here to enter text. |  |
| 1. What are the procedures for purchases for which sealed bids are not required?
 | Click here to enter text. |  |
| 1. Who reviews and approves purchases? What are the dollar thresholds?
 | Click here to enter text. |  |
| 1. Do the above procedures provide for full and open competition?
 | Click here to enter text. |  |
| 1. What purchases did you make with FTA funds since the last site visit?

What procedures were followed for each of the purchases?Did the procedures followed for full and open competition? Examples: fuel, maintenance services, vehicles, construction, professional services. | Click here to enter text. |  |

Debarment/Suspension

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

|  |  |
| --- | --- |
| Answer these questions only if you received a grant that exceeds $25,000.  |  |
| 1. Have you become aware of any new information, following the award of a contract or subcontract, that an excluded party is involved in any covered transactions? If yes, did you promptly inform SDDOT in writing?

*Grantees must provide immediate written notice to SDDOT for reporting to FTA if they learn that their certification or the certification of any contractors is no longer valid.*  | Click here to enter text. |  |
| 1. Was the required debarment and suspension certification clause included in all procurements exceeding $25,000?
 | Click here to enter text. |  |
| 1. Was the SAM.gov website checked to ensure that the bidder was not debarred or suspended?
 | Click here to enter text. |  |

Lobbying

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

|  |  |
| --- | --- |
| Answer these questions only if you received a grant that exceeded $100,000. |  |
| 1. Are FTA funds used for lobbying?
 | Click here to enter text. |  |
| 1. Have you used non-federal funds for lobbying?

If yes, have you filed with SDDOT the Standard Form LLL, “Disclosure Form to Report Lobbying” and any necessary updates?  | Click here to enter text. |  |
| 1. Have you obtain signed lobbying certifications with procurement solicitations exceeding $100,000?

*Grantees must obtain signed lobbying certifications with bids for contracts exceeding $100,000.*  | Click here to enter text. |  |

Disadvantaged Business Enterprise

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

|  |  |  |
| --- | --- | --- |
| 1. Did the grantee report on DBE activity in the biannual reports? If not, please list the report the grantee did not submit the information.
 | Click here to enter text. |  |
| 1. Do the reports indicate that the grantee has been successful in contracting with DBEs?
 | Click here to enter text. |  |
| 1. 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?

*Grantees must take good faith efforts to ensure that DBEs have the maximum opportunity to compete for and perform contracts and subcontracts financed in whole or in part with FTA funds. Examples of good faith efforts include advertising in newspapers that serve minority communities, maintaining a list of minority vendors, and contacting other agencies for potential DBE contractors.*  | Click here to enter text. |  |
| 1. Do you have a current SDDOT list of certified DBE firms?

<http://www.sddot.com/business/contractors/docs/DBEDirectory.pdf> | Click here to enter text. |  |
| 1. 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?  | Click here to enter text. |  |

Personnel

|  |  |  |
| --- | --- | --- |
| 1. Who is responsible for personnel management?
 | Click here to enter text. |  |
| 1. Are personnel policies written and approved by the board?

***Good practice*** | Click here to enter text. |  |
| 1. Do the policies address:
 |  |  |
| 1. Personnel selection and appointment
 | Click here to enter text. |  |
| 1. Grounds for dismissal/appeals
 | Click here to enter text. |  |
| 1. Grievance procedures
 | Click here to enter text. |  |
| 1. Hours of work
 | Click here to enter text. |  |
| 1. Annual and sick leave
 | Click here to enter text. |  |
| 1. Holidays
 | Click here to enter text. |  |
| 1. Insurance benefits
 | Click here to enter text. |  |
| 1. Retirement plans
 | Click here to enter text. |  |
| 1. Are there written job descriptions on file for all positions in the transportation program?

***Good practice*** | Click here to enter text. |  |
| 1. Do the job descriptions identify:
2. Job title
 | Click here to enter text. |  |
| 1. Primary responsibilities
 | Click here to enter text. |  |
| 1. Applicable performance standards
 | Click here to enter text. |  |
| 1. Are time and attendance records kept for and signed by all employees, including part-time and in-kind (or volunteer)?
 | Click here to enter text. |  |
| 1. Is each employee appraised on performance at least annually?

***Good practice*** | Click here to enter text. |  |
| 1. How do you protect personal identifying information (PII)?

*The Department of Homeland Security defines PII as any information that permits the identity of an individual to be directly or indirectly inferred, including any information that is linked or linkable to that individual, regardless of whether the individual is a U.S. citizen, legal permanent resident, visitor to the U.S. PII, which if lost, compromised, or disclosed without authorization, could result in substantial harm, embarrassment, inconvenience, or unfairness to an individual.* | Click here to enter text. |  |

Equal Employment Opportunity (EEO)

Grantees may not discriminate against any employee or applicant for employment because of race, color, religion, national origin, sex, age, or physical or mental disability. Providers that have between 50-99 transit-related employees are required to prepare and maintain an EEO Program that includes the statement policy, dissemination plan, and designation of personnel, assessment of employment practices and a monitoring and reporting system. SDDOT requires an EEO Program be submitted every three years, as part of the Title VI review.

|  |  |  |
| --- | --- | --- |
| **Questions 1-4 apply only if you employ between 50-99 employees:**  |  |  |
| 1. Do you have an EEO program that includes: a statement policy, dissemination plan, designation of personnel assessment of employment practices and a monitoring and reporting system?
 | Click here to enter text. |  |
| 1. Who is responsible for ensuring that EEO obligations are fulfilled?
 | Click here to enter text. |  |
| 1. Has an EEO officer been appointed?

Does this individual report to the CEO for EEO matters?*The CEO should designate an EEO officer and adequate staff to administer the program. The EEO officer should be an executive that reports directly to the CEO on EEO matters.* | Click here to enter text. |  |
| 1. Have you posted an EEO statement in a conspicuous place?

*\*\*\*This is required for a transit of 50-99 employees, and a* ***Good Practice*** *under 50.*  | Click here to enter text. |  |
| 1. Do all your job postings have an EEO statement?

*Job postings should include and EEO statement.* ***Good Practice*** | Click here to enter text. |  |
| 1. Is an EEO policy included in your personnel policies and/or employee handbook?

*An EEO policy should be included in personnel policies and/or employee handbook.* ***Good Practice*** | Click here to enter text. |  |
| 1. Are EEO statements included on your job applications and employment notices?

*Job applications and employment notices should include an EEO statement.* ***Good Practice***  | Click here to enter text. |  |
| 1. Were any EEO complaints received since the last site visit? If yes:

Describe the complaint and how it was resolved.What is the process for handling and resolving such complaints?  | Click here to enter text. |  |

# Operations and Service Provision

Service Provision

Grantees should have effective procedures to ensure quality service is being delivered to the public. A comprehensive training program is a key component of a quality assurance programs.

|  |  |  |
| --- | --- | --- |
| 1. Who is responsible for the day-to-day supervision of transit operations?
 | Click here to enter text. |  |
| 1. Do the procedures for monitory daily operations ensure that the schedule is adhered to, dispatchers and operators follow policy and procedures, and quality and courteous service provided?

***Good practice*** | Click here to enter text. |  |
| 1. What kind of training do you provide operators/drivers?

Schedulers/dispatchers? Is appropriate staff trained in the basics of transit?1. How to drive a bus?
2. How to take a reservation?
3. How to dispatch a trip?
4. How to complete driver paperwork?

 ***Good practice*** | Click here to enter text. |  |
| 1. Are only SDDOT approved routing rules being used? If not, please explain why.

*SDOT requires all routing rules to be approved by SDDOT prior to implementing them. If it is found that unapproved routing rules are being used 5311 funds may be reduced.* | Click here to enter text. |  |
| 1. Is the routing software being utilized in an efficient manner and all the functions of the program being utilized as directed?
 | Click here to enter text. |  |
| 1. Is the assignment of drivers and vehicles appropriate for service demands, equipment, training and other relevant factors?

***Good practice***  | Click here to enter text. |  |
| 1. Do the procedures for monitoring daily operations ensure that drivers provide quality and courteous service?

*Grantees must monitor service to ensure that drivers follow policy and procedures and provide quality service.* | Click here to enter text. |  |
| 1. If you suspend riders for unruly behavior or no-shows, what is your appeals process for suspensions?

 ***Good practice*** |  |  |
| 1. Does the training provided to operators/drivers address:
2. Received training in defensive driving
 | Click here to enter text. |  |
| 1. Received training in passenger assistance and safety
 | Click here to enter text. |  |
| 1. Operation of lifts or other accessibility features
 | Click here to enter text. |  |
| 1. Correct use of securement devices
 | Click here to enter text. |  |
| 1. Agency policies
 | Click here to enter text. |  |
| 1. How to complete driver paperwork
 | Click here to enter text. |  |
| 1. Have completed an American Red Cross, or equivalent, first aid program to handle emergency health situations and accidental injuries
 | Click here to enter text. |  |
| 1. Received training in operation of lifts and other accessibility equipment
 | Click here to enter text. |  |
| 1. Are files maintained that document when training was received and when refresher training is needed?
 |  Click here to enter text. |  |
| 1. Is there a written service policy or operators manual? Does the policy/manual accurately and completely document current policies governing the delivery of service?
 | Click here to enter text. |  |
| 1. For demand-response service, what are the procedures for scheduling and dispatching trips? Have there been denied trips? If so, are they tracked and periodically reviewed by management?

 ***Good practice*** | Click here to enter text. |  |
| 1. How are financial reports, service reports and statistical data used in day-to-day management of transit service?
 | Click here to enter text. |  |
| 1. Does the system maintain basic transit measurements?

***Good practice*** | Click here to enter text. |  |
| 1. Revenue miles
 | Click here to enter text. |  |
| 1. Revenue hours
 | Click here to enter text. |  |
| 1. Total passengers
 | Click here to enter text. |  |
| 1. Total fares
 | Click here to enter text. |  |
| 1. Total cost
 | Click here to enter text. |  |
| 1. Passengers per hour
 | Click here to enter text. |  |
| 1. Passengers per mile
 | Click here to enter text. |  |
| 1. Cost per mile
 | Click here to enter text. |  |
| 1. Cost per hour
 | Click here to enter text. |  |
| 1. Average system miles per hour
 | Click here to enter text. |  |
| 1. Average fare per passenger
 | Click here to enter text. |  |
| 1. Average cost per passenger
 | Click here to enter text. |  |
| 1. Fare box recovery ratio
 | Click here to enter text. |  |
| 1. To whom do you report this data and what key management decisions have been made with the above data? What data is reported to the board and how often? Does the reporting system contribute to each level of management in terms of timely, accurate, appropriately detailed information required to support management action? Is it tracked manually or electronically?

***Good practice*** | Click here to enter text. |  |
| 1. List the annual ridership figures for the past 5 years below. Please explain why ridership is increasing, decreasing, or staying the same.
 | Click here to enter text. |  |
| **Year** | **Ridership** |  |
| Click here to enter text. | Click here to enter text. |  |
| Click here to enter text. | Click here to enter text. |  |
| Click here to enter text. | Click here to enter text. |  |
| Click here to enter text. | Click here to enter text. |  |
| Click here to enter text. | Click here to enter text. |  |
| 1. Do you have board-approved passenger complaint/comment resolution procedures?

***Good practice***  | Click here to enter text. |  |
| 1. Do you have a board-approved policy governing standards of behavior by passengers on buses and transit property?
 | Click here to enter text. |  |

Inter City Bus

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

|  |  |  |
| --- | --- | --- |
| 1. Do you serve intercity bus or rail stations/ stops? If yes, at what locations and what times. If not, why not? *Jefferson Lines operate service in South Dakota*.
 | Click here to enter text. |  |
| 1. 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 displayed at the bus station)*
 | Click here to enter text. |  |
| 1. 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.
 | Click here to enter text. |  |
| 1. What is your policy regarding transporting baggage?
 | Click here to enter text. |  |

Maintenance

Grantees must maintain FTA-funded equipment and facilities. Grantees must have a written routine and preventive maintenance plan and must maintain project equipment and facilities at a high level of cleanliness, safety, and mechanical soundness. Grantees must maintain all accessibility features and equipment in operating condition. Vehicles and equipment must be monitored for preventive maintenance based on manufacturer’s recommendations.

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

Grantee must maintain a file on each FTA-funded vehicle that contains daily logs, pre-trip inspection checklists and repair records. Grantee must follow SDDOT’s preventive maintenance program unless SDDOT has approved an alternate program. Grantees that lease FTA-funded vehicles must require the lessee to adhere to SDDOTs maintenance standards.

|  |  |
| --- | --- |
| **Vehicle Maintenance**  |  |
| 1. Who is responsible for maintenance?

Is the person by reason of education, training, and experience qualified for the responsibility? | Click here to enter text. |  |
| 1. Are maintenance personnel trained in the operation of specialized equipment (special tools, wrecker, others)?
 | Click here to enter text. |  |
| 1. Is the maintenance plan written?
 | Click here to enter text. |  |
| 1. Is a preventive maintenance program in place for lifts and other accessibility features such as ramps, public announcement systems, and annunciators?
 | Click here to enter text. |  |
| 1. What procedures are used to track when preventive maintenance inspections are due and to schedule preventive maintenance inspections?
 | Click here to enter text. |  |
| 1. Are pre-trip inspections conducted prior to placing a vehicle in service?
 | Click here to enter text. |  |
| 1. Are deficiencies noted in pre-trip inspections repaired in a timely manner and properly reviewed by management?
 | Click here to enter text. |  |
| 1. 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 to service?

What alternative arrangements are made for riders? Is the inoperable lift fixed within 5 days?  | Click here to enter text. |  |
| 1. Are FTA-funded vehicles leased to providers? If yes:

Does the lease agreement require the lessee to adhere to SDDOT maintenance standards? *SDDOT requires grantees that lease FTA-funded vehicles to providers to require the lessee to adhere to SDDOT’s maintenance standards.*  | Click here to enter text. |  |
| 1. Are work orders or histories maintained that document the work performed, parts used, time spent, mileage, and date?

***Good practice*** | Click here to enter text. |  |
| 1. Has a maintenance quality control or assurance program been implemented to verify the execution and quality of repairs, examine the quality of new and used parts used in repairs, and ensure that repairs are fully documented?

***Good practice*** | Click here to enter text. |  |
| 1. Is there a system for identifying and pursuing warranty claims effectively and promptly to conclusion?
 | Click here to enter text. |  |
| 1. Is there a system for responding to recalls?

***Good practice*** | Click here to enter text. |  |
| 1. Is the preventive maintenance program reviewed for costs and effectiveness?

***Good practice*** | Click here to enter text. |  |
| 1. Are maintenance histories for the fleet reviewed for costs and effectiveness?

***Good practice*** | Click here to enter text. |  |
| 1. Are there indicators of repetitive occurrences of a particular type of problem in any one make of rolling stock?

***Good practice*** | Click here to enter text. |  |
| 1. Are there repetitive occurrences (parts failures, road calls, others) of a particular type of failure fleet wide?

***Good practice*** | Click here to enter text. |  |
| 1. Is there a system to monitor and evaluate vehicle energy consumption?

***Good practice*** | Click here to enter text. |  |
| **Facility and Equipment Maintenance** *The following questions are for grantees that operate out of an FTA-funded facility.*  |  |
| 1. Is there a written facility and equipment maintenance plan and inspection checklist?
 | Click here to enter text. |  |
| 1. Does the written plan or inspection checklist address equipment such as hydraulic lifts, bus washers, roofing systems, and HVAC systems?
 | Click here to enter text. |  |
| 1. Does the written plan or inspection checklist address maintenance of ADA accessibility features, such as power-assist doors, as required by ADA?
 | Click here to enter text. |  |
| 1. Do preventive maintenance checklists follow the minimum requirements determined by the manufacturer, supplier or builder?
 | Click here to enter text. |  |
| 1. Are files maintained on maintenance of facilities and related equipment?
 | Click here to enter text. |  |
| 1. Do the files indicate that preventive maintenance inspections of facilities and related equipment are conducted at the intervals required by the plan?
 | Click here to enter text. |  |
| 1. Are any features of facilities or related equipment under warranty? If yes, please list.

Are warranty claims pursued?  | Click here to enter text. |  |
| 1. What documentation does the service maintain to ensure compliance with applicable safety and environmental regulations (OSHA, fire prevention, insurance standards, etc.)?
 | Click here to enter text. |  |

Safety and Security

Grantees must document that drivers have a valid operator’s license, have a safe driving record, and have been trained in all the SD DOT required trainings. All safety devices must be maintained in operative condition. All drivers training must be current otherwise SD DOT may withhold funding from the transit provider.

|  |  |  |
| --- | --- | --- |
| 1. Is documentation maintained which verifies that all drivers of vehicles (owned, leased, loaned):
 |  |  |
| 1. Have a valid, appropriate operator’s license (and current US DOT physical if driver is a CDL holder)
 | Click here to enter text. |  |
| 1. Have a safe driving record acceptable for insurance coverage
 | Click here to enter text. |  |
| 1. Have written procedures been established to assure that project sponsored volunteers, whether reimbursement for expenses or not, driving privately-owned vehicles have:
 | Click here to enter text. |  |
| 1. A valid appropriate vehicles operator’s license (and current DOT physical if driver is a CDL holder)
 | Click here to enter text. |  |
| 1. A safe driving record
 | Click here to enter text. |  |
| 1. Personal automobile liability coverage that is appropriate for type of use
 | Click here to enter text. |  |
| 1. Who is responsible for system safety? Security?
 | Click here to enter text. |  |
| 1. Do you have a written safety plan? Security plan?
 | Click here to enter text. |  |
| 1. Do you have a call down list for use in an emergency? If yes, is it up-to-date? ***Good practice***
 | Click here to enter text. |  |
| 1. 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?  | Click here to enter text. |  |
| 1. Is there a written procedure to handle accidents and medical emergencies? If yes, are these procedures kept on board the vehicles?
 | Click here to enter text. |  |
| 1. Are passengers required to wear a seat belt?

*If yes, it must be stated in the passenger policy handbook.*  | Click here to enter text. |  |
| 1. Is smoking prohibited on vehicles?
 | Click here to enter text. |  |
| 1. Do you have polices regarding drivers consumption of food or beverages on board vehicles?

If yes, are drivers allowed to eat or drink while the bus is in motion? | Click here to enter text. |  |
| 1. Are drivers allowed to use a cell phone while the bus is in motion?

*SDDOT prohibits sending and receiving text messages while in operation.*  | Click here to enter text. |  |
| 1. Are all carry-on items properly stowed before moving vehicle?
 | Click here to enter text. |  |
| 1. Do operations personnel receive training and retraining in crime prevention?

What on-vehicle and at-facility crime prevention activities does the service employ? *Examples include video cameras, locks, fencing, lighting, and silent codes.* | Click here to enter text. |  |
| 1. What traffic accident analysis and prevention activities are undertaken?
 | Click here to enter text. |  |
| 1. Is there a safety awards and recognition program?
 | Click here to enter text. |  |

ADA

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

|  |  |  |
| --- | --- | --- |
| 1. What types of services (fixed route, deviated fixed route, commuter, university, and/or demand response) do you provide?
 | Click here to enter text. |  |
| 1. Have any complaints of discrimination due to disability been received from riders or employees? If yes, please describe the complaints.

What is the process to resolve the complaints? | Click here to enter text. |  |
| 1. Do you have a written process to make reasonable accommodations? Are staff trained on this process?

*See 49 CFR Parts 27 &37 for additional guidance* | Click here to enter text. |  |
| 1. Are facilities accessible?
 | Click here to enter text. |  |
| 1. If you have non-accessible vehicles in your fleet, how do you ensure that equivalent service is provided?

*ADA requires that service to individuals with disabilities to be equivalent to the service provided other individuals with respect to response time, fares, geographic service area, hours and days of service, and capacity.*  | Click here to enter text. |  |
| 1. Are system brochures, application forms, rider handbooks, and occasional bulletins available in alternative formats upon request?

What formats? | Click here to enter text. |  |
| 1. Do you have an ADA complaint form available on your website?
 | Click here to enter text. |  |
| 1. What is your policy for providing service if a mobility device cannot be secured?

*ADA requires that service must be provided even when a mobility device cannot be secured.*  | Click here to enter text. |  |
| 1. Do you require wheelchair users to transfer to a seat?

*ADA stipulates that operators may request but not require that wheelchair users transfer to a seat.*  | Click here to enter text. |  |
| 1. Do drivers provide assistance to passengers as necessary and upon request with ramps, lifts, and securement devices?
 | Click here to enter text. |  |
| 1. Do you permit individuals that do not use wheelchairs to use lifts?
 | Click here to enter text. |  |
| 1. What is your policy regarding service animals?

*ADA requires that operators permit service animals to travel with riders.*  | Click here to enter text. |  |
| 1. Do you provide service to persons using respirators or portable oxygen?

*ADA requires operators to provide service to persons using respirators or portable oxygen.*  | Click here to enter text. |  |
| 1. What is your policy regarding the time allowed for boarding and getting off?

*ADA requires that operators allow adequate time for passengers with disabilities to board and get off vehicles.*  | Click here to enter text. |  |
| 1. Do you require drivers to make use of all available accessibility equipment?
 | Click here to enter text. |  |
| 1. How are policies governing providing service to passengers covered under the ADA conveyed to drivers?
 | Click here to enter text. |  |
| 1. Do you place size or weight limitations on wheelchairs?

*The USDOT ADA regulations prohibit entities from setting weight or size limitations on wheelchairs it will transport that understate the weight capacity that the vehicle fleet can accommodate.* | Click here to enter text. |  |
| 1. 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.*  | Click here to enter text. |  |
| 1. When someone calls for a reservation, how many times does the phone ring before the scheduler answers the phone?

When one line is busy, do calls roll over to another line? If yes, how many lines do you have?Are callers put on hold? Do callers receive busy signals? | Click here to enter text. |  |
| 1. For next day service, at what time of day are reservations cut off?
 | Click here to enter text. |  |
| 1. What percent of trips are subscriptions?

Do you have excess non-subscription capacity? See subscription definition towards the end of document. *Subscription service may not exceed 50 percent of available resources if there is no excess non-subscription capacity. Refer to the Americans with Disabilities Act (ADA - 49 CFR Parts 27, 37 and 38 §37.133 for definition of Subscription Service.* | Click here to enter text. |  |
| 1. What percent of requests are denied? How do you monitor trip denials?
 | Click here to enter text. |  |
| 1. What do you consider an on-time trip?

How do you monitor on-time performance? What is your on-time performance rate? | Click here to enter text. |  |
| 1. How do you monitor missed trips? What percent of trips are missed?
 | Click here to enter text. |  |
| 1. Do you have standards for excessively long trips?

Do you monitor for excessively long trips? | Click here to enter text. |  |
| **The following questions 27-33 are for providers of deviated fixed routes. If doesn’t apply, answer “NA” in each response.** |  |
| 1. Do you provide deviated fixed-route service?

If yes, do public materials and bus schedules clearly state eligibility requirements and procedures for requesting deviated fixed-route service?  | Click here to enter text. |  |
| 1. Do you have a policy governing stop announcements?

Does it meet ADA requirements?*For fixed route and deviated fixed route service, ADA requires drivers to announce stops at transfer points with other fixed routes, major intersections and destination points, upon request, and at intervals along a route sufficient to permit individuals with visual impairments or other disabilities to be oriented to their location.*  | Click here to enter text. |  |
| 1. 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?
 | Click here to enter text. |  |
| 1. Are lifts/ramps deployed at any stop?

*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).*  | Click here to enter text. |  |
| 1. Are operators required to report lift failures promptly?
 | Click here to enter text. |  |
| 1. Is alternative service provided to persons stranded for more than 30 minutes due to failures?

*If a lift or ramp failure occurs on a route where the headway is greater than 30 minutes and the passenger cannot be served, the grantee is required to provide alternative service promptly.*  | Click here to enter text. |  |
| 1. Are persons sitting in priority seats requested to vacate those seats when a person with a disability needs to use them?

*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.*  | Click here to enter text. |  |

Drug and Alcohol Program

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

|  |  |  |
| --- | --- | --- |
| 1. Who is the person assigned to run the drug and alcohol program for your agency?
 | Click here to enter text. |  |
| 1. Who is the consortium/third party administrator (TPA)?

*The consortium/TPA draws the random sample, contracts the medical review officer (MRO), and usually contracts the collection site.* Do you have a contract with the consortium/TPA?Does the contract with specifiy that they must comply with FTA drug and alcohol-testing requirements (49 CFR Part 40 and 49 CFR Part 655)? | Click here to enter text. |  |
| 1. What is the name of the drug testing lab? Is the lab certified by the US Department of Health and Human Services (DHHS)? **Please provide proof.**

*The current list of certified labs can be found at* <http://beta.samhsa.gov/workplace/lab-list> | Click here to enter text. |  |
| 1. Is the person listed still your medical review officer (MRO)? If no:

Is the new MRO a licensed physician (medical doctor or doctor of osteopathy), with appropriate medical training and knowledge of substance-abuse disorders? | Click here to enter text. |  |
| 1. Who provides the breath alcohol technicians (BATs) or the non-evidentiary alcohol-screening testing technicians (STTs)?

Are the technicians listed under contract? If no:Has each new BAT and/or STT been trained with a National Highway Traffic Safety Administration (NHTSA)-approved course of instruction on the methodology, operation, and calibration of the specific evidential breath-testing device (EBT) and/or saliva-testing device (SD) being used by the grantee? | Click here to enter text. |  |
| 1. Who is your substance abuse professional (SAP)?

Is the SAP a licensed professional with knowledge of and clinical experience in the diagnosis and treatment of drug and alcohol-related disorders?  | Click here to enter text. |  |
| 1. Do you have a SD DOT approved drug and alcohol policy that contains the required elements? To reference the FTA Drug and Alcohol Policy Builder visit: <https://transit-safety.fta.dot.gov/DrugAndAlcohol/Tools/PolicyBuilder/CreatePolicy.aspx>
 | Click here to enter text. |  |
| 1. Is a copy of USDOT regulation, “Procedures for Transportation Workplace Drug Testing Programs” 49 CFR Part 40, as amended, readily available to any employee who requests a copy?
 | Click here to enter text. |  |
| 1. What positions are in the testing pool?

Are all positions safety-sensitive?Are all safety-sensitive positions that support the transit program, including those in other departments such as a central maintenance department, included in the pool and covered by the transit drug and alcohol policy? | Click here to enter text. |  |
| 1. How often are the names received for random testing from the third party administrator?

Are random tests reasonably spread out during the draw period?Are random tests reasonably distributed across all days and hours of service?Are the date and time of notification and collection documented?  | Click here to enter text. |  |
| 1. Do you make proper post-accident determinations in regard to testing?

*Fatal accident: Employers must test all surviving covered employees on duty in the vehicle at the time of the accident and any other covered employee whose performance may have contributed to the accident.* *Nonfatal accidents: Employers must test all covered employees on duty in the vehicle at the time of the accident and any other covered employee whose performance may have contributed to the accident unless the employer determines that an employee’s performance did not contribute to the accident.*  | Click here to enter text. |  |
| 1. Who maintains the drug and alcohol-testing program records? Are they maintained in a secure location with controlled access?
 | Click here to enter text. |  |
|

|  |
| --- |
| 1. Please enter the dates for the last 4 quarters that the drug and alcohol-testing reports received.

Do the reports indicate that the grantee conducts random testing? Were the tests conducted at least at the minimum random rates of 25 percent for drugs and 10 percent for alcohol? *The minimum random testing rate for drugs is 25 percent. & alcohol is 10 percent.*  |

 | Click here to enter text. |  |
| 1. Are the following records maintained for at least 1 year:
2. Alcohol test results less than 0.02
3. Verified negative drug test results
 | Click here to enter text. |  |
| 1. Are the following records maintained for at least 2 years:
2. Collection process for alcohol-testing except calibration of evidentiary breath testing devices
3. Collection process for drug testing
4. Alcohol education and training records
5. Drug education and training records
 | Click here to enter text. |  |
| 1. Are the records from previous employers kept at least 3 years?
 | Click here to enter text. |  |
| 1. Are the following records maintained for at least 5 years:
2. Alcohol test records with alcohol readings of 0.02 or greater
3. Drug-test records with verified positive results
4. Calibration documentation of evidentiary breath-testing devices
5. SAP evaluations and referrals of employees for alcohol misuse
6. Employee compliance with recommendations of the SAP for drug use and/or alcohol misuse, including results of return-to-duty and follow-up testing
7. SAP evaluation and referrals of employees for drug use
8. MIS reports
9. Refusals
 | Click here to enter text. |  |
| 1. Does the testing laboratory only release drug test results to the MRO?
 | Click here to enter text. |  |
| 1. Is an employee’s permission obtained before releasing drug and alcohol-testing records *(except to the MRO, SAP, or program manager)*?
 | Click here to enter text. |  |
| 1. How does the grantee check on the drug and alcohol testing records of new hires and transfers that will work in safety-sensitive positions?

What information do you obtain from previous employers? At what point in the hiring process are applicants placed in safety-sensitive positions?  | Click here to enter text. |  |
| 1. Are the following types of drug and alcohol tests conducted?
2. Pre-Employment (drugs only)
3. Random
4. Post-Accident
5. Reasonable Suspicion
6. Return to Duty
7. Follow-up
 | Click here to enter text. |  |
| 1. Are the following substances tested for:
2. Marijuana
3. Cocaine
4. Opiates
5. Phencyclidine
6. Amphetamines
7. Alcohol
 | Click here to enter text. |  |
| 1. Are employees and applicants for safety-sensitive positions who have verified positive drug-test results or a breath-alcohol concentration of 0.04 or greater referred to a SAP for evaluation even if they are to be terminated?
 | Click here to enter text. |  |
| 1. Have all safety-sensitive employees received 60 minutes of training on the effects and consequence of prohibited drug use on the personal health, safety, and the work environment, and on the signs and symptoms that may indicate prohibited drug use?

When do you provide the training to new hires?  | Click here to enter text. |  |
| 1. Have supervisors who are designated to determine whether reasonable suspicion exists to require a safety-sensitive employee to undergo alcohol and-or drug-testing been provided the following training?
2. At least 60 minutes of training on the physical, behavioral, speech, and performance indicators of probable alcohol misuse.
3. At least 60 minutes of training on the physical, behavioral, and performance indicators of probable drug use.
 | Click here to enter text. |  |
| 1. Have the annual calendar year management information system (MIS) reports been filed with SDDOT on time?
 | Click here to enter text. |  |
| 1. Do you obtain and review for completeness and accuracy the employer copies of the CCF and ATF testing forms?

If you find a problem with a form, do you follow up with the collection site in writing and ask for documentation of the corrective action?  | Click here to enter text. |  |
| 1. Is Drug Free Workplace signage posted visible to employees?
 | Click here to enter text. |  |

Charter Bus

Grantees are prohibited from using federally funded equipment and facilities to provide charter service except in accordance with allowable exemptions or exceptions. **Please refer to the Charter website.** <https://www.transit.dot.gov/regulations-and-guidance/access/charter-bus-service/charter-bus-service>

|  |  |  |
| --- | --- | --- |
| 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.

*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.*  | Click here to enter text. |  |
| 1. Do you operate charter service? If **yes**, describe the charter service provided.

*Charter service is defined as:**Transportation provided at the request of a third party for the exclusive use of a bus or van for a negotiated price; or**Transportation provided to the public for events or functions that occur on an irregular basis or for a limited duration and:** *A premium fare is charged that is greater than the usual or customary fixed route fare; or*
* *The service is paid for in whole or in part by a third party.*
 | Click here to enter text. |  |
| 1. Under what exceptions is the charter service operated? (Did you follow the procedures required by the exception?
 | Click here to enter text. |  |
| 1. Have you completed and submitted the Charter Service Reporting Form for each charter trip?

*Exception trips: service provided under the GO, QS, LE and WN exceptions.*  | Click here to enter text. |  |
| 1. Do you maintain charter records for at least three years? Are these procedures documented?
 | Click here to enter text. |  |
| 1. If you use charter profit for local match, how do you determine profit?
 | Click here to enter text. |  |
| 1. Have any complaints been filed alleging that the charters are in violation of the FTA regulations?
 | Click here to enter text. |  |
| 1. Is charter service provided with locally owned vehicles?

Is yes, are the vehicles maintained or stored in an FTA-funded facility?*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-funding facility, the service must be completely segregated from FTA-funded service.*  | Click here to enter text. |  |

School Bus

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

|  |  |  |
| --- | --- | --- |
| 1. Is exclusive school bus service operated? If yes, does it qualify for one of the three statutory exceptions?
* The grantee operates a school system and operates a separate and exclusive school bus service.
* Existing private school bus operators are unable to provide adequate, safe transportation.
* The grantee is a public body that operated school bus service prior to 1973.

Has the FTA administrator approved the service?Is it operated only with non-federally funded equipment and from non-federally funded facilities? *Grantees are prohibited from providing exclusive school bus service unless the service qualifies under and 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.*  | Click here to enter text. |  |
| 1. Are you a fixed-route operator that provides school “tripper” service? *A tripper is an extra bus that is added to a route to provide capacity or service that cannot be accommodated by the buses already in service.*

If yes, does the tripper service meet the following criteria to be considered public transit service?1. Regulatory scheduled mass transportation service?
2. Buses are clearly marked as open to the public?
3. Service has been modified to meet needs of students/school personnel?
4. Service uses various fare collection systems or subsidies?
5. Buses have no special designations (e.g., school bus, school special)?
6. Buses use regular bus stops?
7. Service is noted on published schedules?

*If not, the service does not qualify as public transit service and cannot be provided with FTA-funded equipment or out of FTA-funded facilities.*  | Click here to enter text. |  |

# Service Planning

Service Eligibility

Section 5311 funds must be used for public transportation projects and intercity projects in nonurbanized areas. Section 5310 funds must be used to support the special transportation needs of elderly individuals and individuals with disabilities.

|  |  |  |
| --- | --- | --- |
| 1. What types of contract and subscription service do you provide? With whom?

Do the contacts and subscription service interfere with the provision of public transit?Have you had to deny public transit trips because the contracts and subscription service utilized all available capacity? If yes, how often? | Click here to enter text. |  |
| 1. Does the ridership data indicate that the grantee identifies and is successful in attracting:
2. General public riders (5311 recipients)
 | Click here to enter text. |  |
| 1. Elderly persons and persons with disabilities (5310 recipients)
 | Click here to enter text. |  |
| 1. Do you provide service to the general public while providing contract and subscription services?
 | Click here to enter text. |  |
| 1. Do you rank trips by 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?  | Click here to enter text. |  |
| 1. Are the vehicles marked in any way that represents exclusive use for a specific organization or clientele?

*Vehicles may not display markings that imply exclusive use for a specific organization or clientele.*  | Click here to enter text. |  |
| 1. Have you advertised at least monthly regarding service is for use by the general public and operates during regular commute hours?

***Good Practice*** | Click here to enter text. |  |
| 1. Does the agency answer the phone in such a way that the general public knows it has contacted a public transit provider?

Do you have a direct line for transportation or do all transportation calls go through the general receptionist? | Click here to enter text. |  |
| 1. What sources are used to provide the public the Transit Provider phone number?
 | Click here to enter text. |  |
| 1. Do you provide meal delivery or other incidental services? If yes:

How many meals or other incidental services do you deliver?At what times of the day?Do the services interfere with the provision of transit service?Do the incidental services bear the costs of the service? | Click here to enter text. |  |
| 1. 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 nonurbanzied area service?*Grantees may not use Section 5311 assistance to provide service within an urbanized area. Grantees may provide service to and from urbanized areas. Grantees must have a state-approved methodology for allocating costs between the urban and rural service.* | Click here to enter text. |  |

Nondiscrimination in the Delivery of Service

FTA prohibits discrimination on the grounds of race, color, or national origin and on the grounds of low-income status-in accordance with Title VI of the Civil Rights Act of 1964. There are other federal statues, regulations, Executive Orders, and laws that prohibit discrimination on the basis of gender, age, religion, and disability.

*SD Law Chapter 20-13-1(16): "Unfair or discriminatory practice," any act or attempted act which because of race, color, creed, religion, sex, ancestry, disability, or national origin accords unequal treatment or separation or segregation of any person, or denies, prevents, limits, or otherwise adversely affects, or if accomplished would deny, prevent, limit, or otherwise adversely affect, the benefit or enjoyment by any person of employment, labor union membership, housing accommodations, property rights, education, public accommodations, and public services.*

|  |  |  |
| --- | --- | --- |
| 1. What is the racial make-up of your service area?
 | Click here to enter text. |  |
| 1. Do you provide service to areas with minority and limited English proficiency (LEP) populations?

Is it the same level and quality of service that is provided in areas without minority or LEP populations? | Click here to enter text. |  |
| 1. Please describe the location of transit services and facilities. Have you ensured that decisions on the location of transit services and facilities are made without regard to race, color, national origin, gender, age, religion, or disability?
 | Click here to enter text. |  |
| 1. List all complaints alleging discrimination in the delivery of service that were reported. Follow up on the status of complaints. Do the complaints indicate that the grantee may discriminate in the delivery of service?
 | Click here to enter text. |  |
| **Complaint Description** | **Date Filed** | **Status** |  |
| Click here to enter text. | Click here to enter text. | Click here to enter text. |  |
| 1. Have you adopted the SDDOT recommended Title VI complaint procedures?

Were the procedures approved by the board?Who investigates complaints?*SD DOT info.:* [*http://www.sddot.com/services/civil/titlevi.aspx*](http://www.sddot.com/services/civil/titlevi.aspx) | Click here to enter text. |  |
| 1. Do you have a Title VI Complaint Form separate from the general/ ADA Complaint Form? Is this form posted on your website? Is your complaint process posted on your website?
 | Click here to enter text. |  |
| 1. Is the required non-discrimination language posted on your website? Is it posted at your facility?
 | Click here to enter text. |  |
| 1. Is staff trained in Title VI requirements and the transit provider Title VI Non Discrimination plan?
 | Click here to enter text. |  |
| 1. Have any complaints concerning discrimination in the delivery of service been received since the last review?

If yes, how were the complaints identified and resolved?Did you report the complaints to SDDOT within 24 hours of receipt of the complaint? | Click here to enter text. |  |
| 1. How are individuals provided opportunities to participate in the transit planning and decision-making process without regard to race, color, national origin, gender, age, religion or disability?

Have representatives of these groups expressed a need for transportation improvements? If yes, please describe.  | Click here to enter text. |  |
| 1. How do you promote your service to minority and limited English proficiency (LEP) populations?

Please provide a copy of the materials used to promote your service to minority and LEP populations.  | Click here to enter text. |  |
| 1. Do public information materials such as signs on buses, facility, schedule, brochures, and your agency’s website notify beneficiaries of:
 | Click here to enter text. |  |
| 1. Protection under Title VI?
 | Click here to enter text. |  |
| 1. How to obtain additional information on nondiscrimination obligations?
 | Click here to enter text. |  |
| 1. How to file a complaint?

*Grantees must notify the public of its protection 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.*  | Click here to enter text. |  |
| 1. Have you assessed and addressed the ability of persons with limited English proficiency (LEP) to use transit services?
 | Click here to enter text. |  |
| 1. Do you deal with any non-English speaking individuals?

If so, how do you ensure accurate communication with those persons?Do you have any translation services available?  | Click here to enter text. |  |
| 1. Are the public information systems complete, easy to understand and available in alternative formats and languages?
 | Click here to enter text. |  |
| 1. Schedules and time tables
 | Click here to enter text. |  |
| 1. Route maps
 | Click here to enter text. |  |
| 1. Signage and other user aides
 | Click here to enter text. |  |
| 1. How-to-ride information
 | Click here to enter text. |  |
| 1. Telephone information system (including a dedicated number for general public service)
 | Click here to enter text. |  |

Public Involvement

|  |  |  |
| --- | --- | --- |
| 1. If the service has implemented substantial service or fare changes, was an opportunity for a public hearing afforded?
 | Click here to enter text. |  |
| 1. Have any public hearings for any reason been held in the last 3 years?
 | Click here to enter text. |  |
| 1. Were the hearings scheduled at a reasonable time and accessible place?
 | Click here to enter text. |  |
| 1. Are hearings conducted in accordance with due process procedures and are they fair and open?
 | Click here to enter text. |  |
| 1. Has the service adequately addressed comments that were made in the hearings?
 | Click here to enter text. |  |
| 1. Do you have a regular and systematic way to secure contractor, public and rider input into the system?

*For example, annual reviews, suggestion boxes, surveys, rides taken by management staff and board members to assess service and interact with the public.* | Click here to enter text. |  |
| 1. What outreach efforts were undertaken to identify minority persons, low-income persons, the elderly, and persons with disabilities?
 | Click here to enter text. |  |
| 1. Have special efforts been undertaken to involve low-income persons, minority groups, the elderly, and persons with disabilities in the planning process?
 | Click here to enter text. |  |
| 1. Have you cultivated working relationships with community leaders? For example, are you a member of the chamber of commerce and do you attend meetings regularly?

If there is a downtown or central business district (CBD) association do you meet with them periodically?Are you involved or do you periodically consult with local planning agencies and governmental units? | Click here to enter text. |  |
| 1. Have you developed coalitions to support transit? If yes, please describe activities such as developing relationships with volunteer organizations.

Have you used them as a source of funding or volunteers? Have you developed relationships with the league of women voters or other non-partisan advocacy groups? | Click here to enter text. |  |

Marketing

|  |  |  |
| --- | --- | --- |
| 1. How do you advertise your transit service?

What media are used and how often? | Click here to enter text. |  |
| 1. 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 disabledOther (please specify)  | Click here to enter text. |  |
| 1. Do you collect various data on a regular basis and use it in the marketing and planning process such as:
2. Cleanliness of vehicles
3. Cost, revenue and number of riders
4. Customer comments
5. Customer request for information
6. Other (please list)

***Good practice*** | Click here to enter text. |  |
| 1. Do you have a system in place to obtain information on rider and non-rider attitudes and demographics?

***Good practice*** | Click here to enter text. |  |
| 1. Do you conduct rider satisfaction surveys? How often?

When was the last survey?***Good practice*** | Click here to enter text. |  |
| 1. Please describe your fare structure.
 | Click here to enter text. |  |
| 1. Is the fare policy formally adopted by the board based on financial and socio-economic considerations?

***Good practice*** | Click here to enter text. |  |
| 1. Is the fare policy reviewed annually?

***Good practice***  | Click here to enter text. |  |
| 1. When was the last fare increase?
 | Click here to enter text. |  |
| 1. What activities are undertaken to enhance and draw attention to the public image of your service?
 | Click here to enter text. |  |
| 1. How and where are marketing materials (brochures, schedules) distributed?
 | Click here to enter text. |  |
| 1. Are they displayed at key public locations such as city halls, libraries, community centers, shopping malls?
 | Click here to enter text. |  |
| 1. Have arrangements been made with the institutions to notify you when the racks need replenishing?

***Good practice***  | Click here to enter text. |  |
| 1. Is there a regular schedule for replenishing the racks?

***Good practice***  | Click here to enter text. |  |
| 1. Do you have a website? If yes, does the website provide information on:
 | Click here to enter text. |  |
| 1. Hours and days of service?
 | Click here to enter text. |  |
| 1. Types of service?
 | Click here to enter text. |  |
| 1. Contact Information?
 | Click here to enter text. |  |
| 1. Bus schedules and maps?
 | Click here to enter text. |  |
| 1. Fare structure
 | Click here to enter text. |  |
| 1. Passenger Handbook
 | Click here to enter text. |  |
| 1. Public meetings and hearings?
 | Click here to enter text. |  |
| 1. Route and schedule changes?
 | Click here to enter text. |  |
| 1. Transit advisory committee participation and meetings?
 | Click here to enter text. |  |
| 1. List of board members?
 | Click here to enter text. |  |
| 1. Links to other transit system websites?
 | Click here to enter text. |  |
| 1. Relay SD number?
 | Click here to enter text. |  |
| 1. Link to providers’ social media pages?
 | Click here to enter text. |  |

Planning and Coordination

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

|  |  |  |
| --- | --- | --- |
| 1. Since submitting your plan\update, have any additional efforts been made to coordinate service? If yes, please describe. Are there more opportunities for coordinated activities?
 | Click here to enter text. |  |
| 1. What groups are represented on the local transportation advisory committee (TAC)? Are private-for-profit and private-nonprofit transportation providers represented on the TAC?
 | Click here to enter text. |  |
| 1. Did you provide reasonable notice to transportation providers when you submitted your plan?
 | Click here to enter text. |  |
| 1. Do you have a current list of all providers of passenger transportation in your service area?
 | Click here to enter text. |  |
| 1. Are you an active participant in your local (TAC)?
 | Click here to enter text. |  |
| 1. Have you considered or are you part of a transit authority in your service area?
 | Click here to enter text. |  |
| 1. Have you invited school districts to participate or be included in your transportation coordination efforts?
 | Click here to enter text. |  |
| 1. How is ridership estimated for applications?
 | Click here to enter text. |  |
| 1. List below all Section 5310 grantees that operate in your service area, how many vehicles they operate, the days and hours of operation, and the number of trips they provide. Please list your efforts to coordinate with each agency and the reasons for now coordinating with each agency.
 |  |
| **Section 5310 Grantee** | **Number of Vehicles** | **Days and Hours of Service\*** | **No. of Trips** | **Avg. Riders Per Mile** | **Coordination Efforts** |  |
| Click here to enter text. | Click here to enter text. | Click here to enter text. | Click here to enter text. | Click here to enter text. | Click here to enter text. |  |

Procurement File Review Sheet (For Reviewer Use)

|  |  |
| --- | --- |
| Contract number: |  |
| Award date: |  |
| Awarded to: |  |
| Amount: |  |
| Purpose: |  |
| Number of bids received: |  |
| Date file inspected:  |  |
| **Item** | **Yes** | **No** | **NA** |
| Does the file contain an index or checklist of items that it should contain? (Good practice) |  |  |  |
| Does the file contain the invitation for bids of 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, a 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 ensure that goods and service were received?  |  |  |  |
| Does the file include all contract modifications and amendments? |  |  |  |
| Does the file contain copies of all correspondence with the vendor?  |  |  |  |

Onsite Review Sheet (For Reviewer Use)

**Site:** \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Date:** \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

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| **Attendee(s) Names and title:** |
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| **State Inspection** |  |
| **Dispatching** |  |
| **Rides** |  |
| **Security\Securement** |  |
| **Customer Service** |  |
| **Title VI Poster (12)****Labor Poster (9)****Drug & Alcohol Signage (28)** |  |
| **Other** |  |

# Attendance Sheet (For Reviewer Use)

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| --- | --- | --- | --- |
| **Name** | **Title** | **Phone** | **Email** |
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