

WEST VIRGINIA DIVISION OF PUBLIC TRANSIT



SECTION 5311 COMPLIANCE REVIEW WORKBOOK

Subrecipient

Fiscal Year 2023

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OVERVIEW

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

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

1. The Division conducts a desk review of information on file in its office and prepares and uploads to Dropbox a partially completed workbook and the documents submitted for the last review.
2. You review the information entered by the Division, review your answers from the last visit, answer any new questions, check the documents from the last review to determine if they are current and, if not, replace them with the current version, and upload the completed workbook and additional requested documents to Dropbox.
3. The Division reviews your responses and follows up with you during a site visit, which should last no more than one day. During the site visit, the Division discusses answers to selected questions, tours your facility, reviews procurement and maintenance records, and follows up on corrective actions taken for findings from the last review. The site visit ends with an analysis of strengths, weaknesses, opportunities, and threats (SWOT analysis).
4. After the site visit, the Division uploads to Dropbox the final site visit workbook which includes a table listing findings, corrective actions, and recommendations. No corrective action will be made for those items labeled good practices; however, suggestions may be made regarding these items. The corrective actions will have a specified timeframe for implementation.

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

William C. Robinson
Executive Director

REQUESTED MATERIALS

The following documents from your last site visit have been uploaded to Dropbox. Please review the documents to ensure that they are current and, if not, please replace the outdated version. Please upload any missing documents.

Documents	Comment
Legal and Governance	
Organization chart that shows the reporting relationship to the Board	
Articles of incorporation, ordinance or order(s)	
Bylaws (if transit authority or non-profit organization)	
Sample board minutes	
Sample board financial report	
Board policy manual	Please have available for the site visit
Board-approved guidelines governing the acceptance of advertising (required if ads are accepted)	
Narrative/milestone history, if maintained	
Control Environment	
Conflict of interest policy/code of conduct	
Project Management/Award Administration	
Business continuity/disaster recovery plan (required)	
Document control/records retention procedures	The Division plans to develop model procedures
Financial Management	
Accounting policy and procedures manual (required)	
Cost allocation plan (nonprofits only)	
Fare/pass/ticket control procedures (required)	
P-card agreement with the State	
Credit card policy	

Documents	Comment
Travel policies (if separate from DPT's policy)	
Satisfactory Continuing Control	
Certificates of insurance for: Commercial/comprehensive general liability Comprehensive and collision insurance FTA-funded facilities	
Procurement	
Procurement manual (required)	
Code of conduct governing procurements (required)	
Personnel	
Personnel manual	
Job descriptions	
Equal Employment Opportunity (EEO)	
EEO policy statement	
Sample job application	
Sample job posting and advertisement	
Information Technology	
Policy governing computer and Internet use	
Maintenance	
Written vehicle maintenance plan (required)	
Written facility/equipment maintenance plan (required for FTA-funded facilities)	
Statistical report on vehicle breakdowns, if produced	
Service Provision	
Service policy/operator manual	
Form(s) for tracking boardings by stop	
Passenger rules/behavior policy	

Documents	Comment
No-show policy	
Suspension appeals policy	
Complaint resolution procedures (required)	
Safety and Security	
Safety, Security and Emergency Preparedness Plan (SSEPP) (required)	
Accident procedures	
Cell phone/texting policy (required)	
Americans with Disability Act (ADA)	
ADA reasonable modification policy	
ADA stop announcement policy (fixed-route and route-deviation service only) (required)	
ADA Complementary Paratransit	
ADA complementary paratransit application and guidelines	
Acceptance, conditional eligibility, temporary eligibility, and denial letter templates	
ADA - Ferry Operations	
ADA reasonable modification policy	
Marketing	
Sample marketing materials (schedules, brochures, newspaper ads, etc.).	For items that cannot be uploaded, please have them available for the site visit
Title VI	
Title VI plan	

BACKGROUND

REVIEW INFORMATION

Provider contact: Address: Phone: Fax: Email:
Review Date Site visit:

INSTITUTIONAL STRUCTURE

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

SERVICE DESCRIPTION

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

PROJECT ACTIVITY

Please provide a brief description of noteworthy projects completed since your last visit and that are on-going or planned.

ADMINISTRATION AND MANAGEMENT

LEGAL AND GOVERNANCE

Subrecipients must have the legal capacity to receive federal and state awards. Subrecipients must have a designated body legally responsible for the overall organization, management, and operation of the transportation system. The Board should meet regularly and must conduct business in an open and transparent manner. The Board should set policy and goals and objectives for the service and not involve itself in day-to-day operations.

1. What is the name of the designated body legally responsible for the overall organization, management, and operation of the transit system?	
2. Do the articles of incorporation or ordinance specifically mention public transportation, coordination of transportation or other passenger transportation functions?	
3. Does the Board have written bylaws for its governance which include (<i>Answer yes or no</i>):	
a. Duties and responsibilities	
b. Method of member selection	
c. Terms of office	
d. Frequency and notification of meetings	
e. Remote attendance (video, phone)	
f. Procedure for appointing manager or Board-approved succession plan	
4. What is the size of the Board? Are there any vacancies? If yes, how long have the positions been vacant?	
5. Are there issues with Board turnover?	
6. What key skills or knowledge do Board members bring that can be leveraged by transit management (finance, legal, management, human services) at no cost to the agency?	

7. For public entities, what steps are taken to ensure Board meetings are conducted to in accordance with the Open Governmental Proceedings Act (§6-9A-1-12)? <i>Public notice of the meeting date and agenda must be made available in advance of a meeting to the public and news media. Every public agency must establish rules for giving advance notice of all regularly scheduled and special meetings. When a governing body meets in accordance with a fixed schedule, such as the second and fourth Monday of each month, it may comply with the meeting notice requirement in the Act by annually posting notice of the date, time and place of these regular meetings or regular committee meetings for the coming year, and keeping this notice posted throughout the year. For local governing bodies which do not have a fixed schedule, these bodies may comply with the Open Meetings Act by posting a notice three business days in advance of the meeting. When a local governing body meets on an irregular schedule, or needs to meet before the next regularly scheduled meeting to address matters that do not involve an emergency, these are considered special meetings. Notice must be posted two business days in advance of the meeting. Notice must include the date, time and place of the meeting. For special meetings or emergency meetings, the notice must state the purpose.</i> <i>A governing body complies with the Act by posting its meeting agenda for each regularly scheduled meeting in a public place at its central office, as well as having copies of the agenda available to be picked up at the same location during regular business hours. In addition, in its discretion, it may distribute agendas to the news media by mail, telephone facsimile or E-mail, or the agenda may be posted on the governing body's internet web-site, if it has one. While additional dissemination to the public and the media is encouraged, failure to provide an agenda by such additional means will not invalidate an otherwise proper public meeting.</i>	
8. How many times in a year does the Board meet? (quarterly, monthly, etc.)?	
9. Does a majority of Board members regularly attend meetings?	
10. Do Board records indicate that Board minutes are complete and signed by the elected or appointed secretary?	
11. Are financial reports submitted to the Board for its review and action? How often?	
12. Do you report your performance indicators to the Board? How often?	

13. Does the Board involve itself in day-to-day operations?	
14. Has training been provided to the Board concerning its role and responsibilities? How is this accomplished?	
15. Are Board members provided a handbook or policy manual? If yes, what does it contain?	
16. Are Board members provided an agency email address with which to conduct agency business and receive agency communications?	
17. 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?	
18. Do you generate revenue through advertising? If yes, do you have Board-approved guidelines governing the acceptance of advertisements? <i>DPT requires Board-approved guidelines governing the acceptance of advertising. Vehicles with state plates cannot carry paid political ads according to the Secretary of State. Ads for bus levies are permissible.</i>	
19. Does the transit agency maintain a narrative history of the organization or a list of key milestones?	
20. Are periodic reports provided to local funders providing information on cost, revenue, service, and ridership?	
21. Have you used federal funds to lobby for federal funds? <i>Federal funds cannot be used to hire a lobbyist to lobby for federal funds.</i>	
22. Have you used nonfederal funds to lobby for federal transit funds? If yes, has the initial Standard Form-LLL, "Disclosure Form to Report Lobbying" and any necessary updates been filed with DPT? <i>If non-federal funds are used to hire a lobbyist to lobby for federal transit funds, the recipient is required to submit the disclosure form, OMB Standard Form LLL (Rev. 7-97) to DPT for forwarding to FTA.</i>	
23. Is there any pending litigation (disputes, breaches, defaults or other litigation) where the State or Federal government is named or FTA-funded assets could be affected? If yes, was DPT notified?	

24. Have there been any instances of a member of the governing board, employee, agent or third-party contractor submitted a false claim or engaged in fraudulent activity?

If yes, was DPT notified?

If the subrecipient has credible evidence that a principal, official, employee, agent, or third party participant of the subrecipient, or other person has submitted a false claim under the False Claims Act, [31 U.S.C. §3729](#) et seq., or has committed a criminal or civil violation of law pertaining to such matters as fraud, conflict of interest, bribery, gratuity, or similar misconduct involving federal assistance, the subrecipient must promptly notify DPT so that it can notify the U.S. DOT Inspector General, in addition to the FTA Chief Counsel or Regional Counsel.

CONTROL ENVIRONMENT

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

1. Does agency management adequately convey the message that integrity cannot be compromised? How is this communicated to employees?	
2. How does management promulgate internal controls and enforce those controls-throughout the agency (e.g., checks and balances, authorizations and approvals, segregation of duties, etc.), and a positive "tone at the top"?	
3. Is there a formal (written) conflict of interest policy or code of conduct in effect? How is it communicated to employees?	
4. How does management remain abreast of the requirements of laws and regulations pertinent to its business?	
5. Who conducts background and reference checks of applicants for financial, IT, and key management positions?	
6. Are employees who handle cash, securities, and other valuable assets bonded or otherwise covered under an insurance policy?	
7. Has management established procedures to prevent unauthorized access to, or destruction of, documents, records, and assets? If yes, please describe.	
8. Has management established policies for controlling access to computer programs and data files? If yes, please describe.	

9. Are procedures in place to ensure that employees who are terminated or resign do not have access to hard copy documents, hard copy records, and assets? If yes, please describe.	
10. Do you inform the Board in a timely manner of sensitive information, investigation, and improper acts (e.g., significant litigation, investigations by regulatory agencies, embezzlement, misuses of corporate assets)?	

PROJECT MANAGEMENT/AWARD ADMINISTRATION

Subrecipients must have the technical capacity to implement the project, manage awards, and comply with federal and state requirements. To demonstrate technical capacity, subrecipients must have an adequate staff with the skills and training to perform their jobs. They must comply with the provisions of the special labor protection warranty (Section 5333(b)).

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

manage your program and employ sound management practices?	
8. Does the organization have a written business continuity plan that addresses maintaining operations after a catastrophic event such as a flood or a fire? <i>Required by DPT.</i>	
9. Do you have document control and retention procedures? If yes, do they address:	
a. Records filing and storage	
b. Naming, storing, and backing up electronic files	
c. Security	
d. Retention <u>West Virginia County Records Management Manual</u>	
e. Destruction	
10. Is the special labor protection warranty [Section 5333(b)] posted clearly for all employees to see? <i>Section 5311 subrecipients must post the special labor protection warranty where affected employees may see it. Reviewer will check for posting.</i>	
11. Have any special labor protection warranty complaints been received? If yes, were they reported to the DPT? How were the complaints resolved? <i>Section 5311 subrecipients must report any special labor warranty complaints and how they were resolved to DPT.</i>	

FINANCIAL MANAGEMENT

Subrecipients must have sufficient local resources to provide the required match and carry out the proposed project, have the financial management systems to account for and report on FTA and State assistance, and employ sound financial management practices.

FINANCIAL CAPACITY	
1. Does the agency have an adequate cash flow? If not, what steps are being taken to ensure this?	
2. Do you have reserves? If yes: What is the amount? How many months of operations will it cover? <i>DPT requires subrecipients to have one month's operating expenses in reserve. The Division strongly recommends that subrecipients have at least three month's operating expenses in reserve.</i>	
3. Since the last review, were all transit program vendors paid within 30 days?	
4. Are you able to make payroll?	
ACCOUNTING SYSTEMS AND POLICIES	
5. What accounting software is used?	
6. Which modules?	
7. Is information generated from the program sufficient to support expenditures to awards?	
8. Does the agency maintain an up-to-date accounting policies and procedures manual that covers accounting for fixed assets, budgeting, accounts payable, procurement, payroll, record retention, reporting requirements, and requirements and schedules for audits? <i>Required by DPT.</i>	
9. Is an up-to-date chart of accounts maintained and does it completely describe the nature of each account?	
10. Are the financial records being kept in accordance with Generally Accepted Accounting Principles (GAAP)?	

AWARD ACCOUNTING		
11. Are award expenditures tracked, reviewed, and billed on a timely basis?		
12. Is there a system in place for tracking encumbrances of award expenditures?		
13. Is appropriate supporting documentation included in award management files?		
14. Do the financial management systems adequately account for expenses and revenues by award/project? <i>Subrecipients must have the financial management systems to account for and report on award balances.</i>		
15. Who is responsible for preparing and submitting the project expenditure reports?		
16. Please address any comments or issues with the required project expenditure reports.	Desk review	
17. Does the DPT review of back-up documentation for project expenditure reports indicate that the reports are accurate and include only eligible costs?	Desk review	
AUDITS		
18. When is your next audit scheduled? Please provide the date.		
19. Have you submitted an audit to DPT nine months after the close of the fiscal year? If not, please provide a written explanation. <i>DPT requires a financial audit to be conducted at the end of the contract year. If the subrecipient expends more than \$750,000 in federal funds in a fiscal year, 2 CFR 200 requires an independent single audit be conducted. Audits must be submitted to DPT within nine months of the end of the subrecipient's fiscal year or within 30 days of completion, whichever is sooner.</i>		
20. Have corrective actions been implemented addressing the following financial or single audit findings?	Desk review	
Finding	Corrective Action	Status

OVERHEAD/COST ALLOCATION		
21. How do you allocate costs between multiple funding sources?		
22. Are indirect costs charged to awards? If yes, please answer questions a – g.		
<i>Per Office of Management and Budget (OMB) 2 CFR Part 200, indirect costs are costs that are incurred for a common or joint purpose that benefits more than one cost objective and are not readily assignable to the cost objectives specifically benefited without effort disproportionate to the results achieved. Examples of indirect costs are accounting and personnel services.</i> <i>Subrecipients that charge indirect costs to awards must do so in accordance with a cost allocation plan that was developed in accordance with OMB 2 CFR 200. The rate must be updated annually. The plan must be reviewed by the auditor.</i>		
a. Is there a cost allocation plan or indirect cost rate proposal to support indirect administrative costs related to an award program?		
b. Was the plan developed in accordance with 2 CFR 200?		
c. Who approved the plan? When was it last approved?		
d. Has the plan been submitted to DPT?		
e. Has the plan been followed?		
f. Has the rate been updated annually?		
g. Has the auditor reviewed the plan?		
BUDGET CONTROLS		
23. Does the Board approve the budget?		
24. What is the timeline for development of the transit budget?		
25. Is the budget prepared in sufficient time to allow full review and interaction by the Board?		

26. Is the Board provided a budget with sufficient detail to make decisions about the allocation of program resources?	
27. Are all anticipated farebox revenue, contributions, awards, contracts and other program income projected in the overall transportation budget?	
28. Are reports showing actual versus budgeted revenues and expenses and variances being reviewed regularly? How often? Who performs the comparisons?	
29. When changes are made in the budget line items and funds are transferred between line items, is this being documented? Do you use the DPT budget revision form in the financial package?	
30. How is the Board informed of budget changes?	
31. What steps are taken to ensure that the system is able to operate within its yearly allocation?	
CASH MANAGEMENT	
32. Who opens the mail? Is the agency's mail opened by someone other than the cashier, accounts receivable accountant, or other accounting employees who may initiate or post journal entries?	
33. Does the employee who opens the mail:	
a. Place restrictive endorsements (e.g., For Deposit Only) on all checks received?	
b. Prepare a list of the money, checks, and other receipts?	
c. Forward all remittances to the person responsible for preparing and making bank deposits?	
d. Forward the total of all remittances to the person responsible for comparing it to the authenticated deposit ticket and amount recorded?	
34. How often are cash receipts deposited?	
35. Who prepares the bank deposits?	

36. Who makes bank deposits?	
37. Does an independent person verify the cash receipts listing against the deposit slips?	
38. Are authenticated deposit slips retained and reconciled to the corresponding amounts in the cash receipts records?	
39. Are banks instructed not to cash checks that are drawn to the order of the agency?	
40. Do remittances from various funding sources (state, local, NEMT) contain enough information to properly record them against the amount due from each source?	
41. Do postings to the general ledger control accounts and subsidiary accounts include the date on which the remittance was received?	
42. Do bank account reconciliation procedures include:	
a. Accounting for the sequence of all check numbers?	
b. Examination of paid checks for date, name, endorsement, and cancellation and comparison to the cash disbursements journal?	
c. Comparison of bank deposit detail to cash receipts records?	
d. Investigation of other reconciling items (e.g., checks returned for insufficient funds)?	
e. Follow-up on old outstanding checks?	
43. Is an independent review performed of monthly bank reconciliations? Who performs the review?	
44. Are late fees and interest payments due to late payments tracked in a separate account? Are they identified as an ineligible award expense?	
FARES AND PASSES	
45. Please answer (describe where necessary) the following questions:	

a. Are there written procedures for collecting, processing and depositing fares? <i>Required by DPT.</i>	
b. What are the procedures for drivers/others to turn in the fares? How often do drivers/others turn in fares?	
c. Is there a requirement that more than one person be present when fares are counted? <i>DPT requires two individuals to count fares.</i>	
d. Who reconciles the fares, driver's logs, and scheduler sheets?	
e. Where are fares stored until a deposit is made? Is this a secure location?	
f. Who has access to the keys to the vaults or fareboxes?	
g. Where are the keys kept?	
h. How often are the fares deposited?	
i. Who makes the deposit?	
46. If drivers count and reconcile fares , have you designated transit system personnel to monitor these activities?	
47. Do the persons who count the fares initial and date the tally sheets? Do the persons who recount the fares and review the counts initial and date the tally sheets?	
48. Do you have written procedures governing up-front money that drivers have for making change or other expenditures such as bus washes?	
49. What risk management procedures, such as estimating how much a route should produce based on passenger counts, are used to ensure the transit system is receiving the proper amount of farebox revenue? <i>Required by DPT.</i>	
50. Do you issue passes or tickets? If yes:	
a. Please describe.	

b. Are they individually numbered? <i>Required by DPT.</i>	
c. Are they professionally printed with anti-counterfeit measures?	
d. Who sells the passes or tickets?	
e. What are the procedures for selling, controlling, and reconciling passes/ tickets?	
f. Are signoffs required at each step of the process?	
g. Are the procedures written? <i>Required by DPT.</i>	
ACCOUNTS PAYABLE	
51. Do you have a petty cash fund? If yes, are there written policies and procedures in place for petty cash expenditures which include what it is used for and who is eligible to withdraw funds?	
52. Are purchase orders used? If yes, what is the dollar threshold for issuing a purchase order?	
53. Are all cash disbursements made by check, except those made from petty cash or P-cards?	
54. Are pre-numbered checks used and all check numbers accounted for?	
55. Are voided checks properly defaced and retained?	
56. Are two signatures required on all accounts (checking, savings, investment, etc.) and checks? <i>Required by DPT.</i> Whose signatures are required? For checks, what is the dollar threshold for two signatures?	
a. Are the check signers independent of each other?	
b. Are invoices, vouchers, and other supporting documents presented to each check signer along with the checks needing signature?	
57. Are check signers authorized by the Board?	

58. Is signing of blank checks prohibited?	
59. Are checks payable to "Cash" or "Bearer" prohibited?	
60. Is access to unused checks limited to authorized persons?	
61. Are supporting documents for checks properly canceled (e.g., stamped "Paid") to avoid duplicate payments?	
62. Do proper safeguards exist to prevent checks that have been mailed from returning to the accounts payable accountant or to the employee who drew the checks?	
63. Are all checks promptly recorded upon issuance and listed in detail (e.g., in a check register)?	
64. Are vendors' invoices and purchase orders matched before invoices are processed?	
65. Are vendor invoices checked as to:	
a. Prices?	
b. Extensions and footings?	
c. Freight charges or allowances?	
d. Credit terms?	
66. Are procedures in place to ensure that costs coded to FTA awards/projects are reasonable, allowable, and allocable? If yes, is the coding to FTA awards/projects reviewed and approved prior to posting?	
67. Are statements from vendors regularly reviewed and reconciled against recorded liabilities?	
68. Do adjustments to accounts payable (e.g., write-off of debit balances) require the approval of a designated official?	
CREDIT/DEBIT CARDS	
69. Are purchases made using credit/debit cards? If yes:	

a. Is there an up-to-date credit/debit card policy outlining permitted uses, required approvals, required supporting documentation, and dollar limits?	
b. Is personal use of the cards prohibited?	
c. Who is responsible for authorizing credit/debit card charges?	
d. How many agency credit/debit cards are currently issued?	
e. To whom are they assigned?	
f. What is the purchase dollar limit?	
g. What are the credit limits on each of the cards?	
70. Are P-card and other credit card rebates used to reduce the operating deficit?	
PAYROLL	
71. Are personnel/human resources records maintained independent of the payroll processing and timekeeping functions?	
72. Are salary and wage rates authorized in writing by a designated official and/or fixed by union contract?	
73. Are sick leave, vacations, and holidays reviewed for compliance with agency policy?	
74. What is your policy regarding carrying over sick and annual leave?	
75. What is your policy towards paying out accumulated sick and annual leave when employees leave?	
76. Are detailed records maintained of the agency's liability for vacation pay and sick pay? If yes, are they reconciled to the general ledger accounts periodically?	
77. Are payroll accruals approved by a responsible official?	
78. Does the agency use a time clock and/or timesheets to capture payroll hours for:	
a. General office workers?	

b. Operations/maintenance workers?	
79. If the agency uses a time clock, are timecards signed by a supervisor at the end of the payroll period?	
80. If the agency uses timesheets, are they:	
a. Signed by the employee at the end of the payroll period?	
b. Signed by a supervisor at the end of the payroll period?	
81. Are distributions of hours (direct and indirect) to activity or departments reviewed and approved by supervisory personnel?	
82. Before payroll is disbursed, are payroll registers reviewed and approved for:	
a. Names of employees?	
b. Hours worked?	
c. Wage rates?	
d. Deductions?	
e. Agreement with payroll checks?	
83. If payroll checks are not direct deposited:	
a. Are payroll checks pre-numbered and issued in numerical sequence?	
b. Is access to un-issued payroll checks restricted?	
c. Are checks drawn and signed by designated officials who do not: Prepare the payroll? Have access to the accounting records? Have custody of cash funds?	
d. Are payroll checks distributed by someone other than the: Department heads or supervisors that approve time cards or time sheets? Persons who prepare the payroll?	
e. Is the distribution of the payroll rotated periodically to different employees without prior notice?	

84. Are employees paid out of a separate payroll bank account? If yes, is the payroll bank account reconciled by a designated employee who:	
a. Is not involved in preparing the payroll?	
b. Does not sign the checks?	
c. Does not handle the check distributions?	
85. Are terminated employees paid on or before the next regular payday? <i>Required by West Virginia code §21-5-4.</i>	
RECORD RETENTION	
86. Are financial records retained for at least three years after audit? <i>Subrecipients must maintain financial records for at least three years after the fiscal year contract has been audited.</i>	
INSURANCE	
87. Does management periodically review insurance coverage?	
88. Do you carry risk, liability, workman's compensation, and fire insurance?	
89. If self-insured, is there a self-insurance reserve account?	
90. Is there a workers' compensation management system which provides for verification of accident/injury, administration of benefits, vocational rehabilitation?	

SATISFACTORY CONTINUING CONTROL

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

1. Is property (includes rolling stock, facilities, materials, equipment, etc.) that was purchased with FTA funds being used for transit purposes?	
2. Do you make incidental use of any FTA funded real property (facility, land)? If yes:	
a. What is the incidental use?	
b. Was FTA/DPT approval obtained?	
c. Do you maintain continuing control over the property?	
d. Is revenue used for transit planning, capital, or operating expenses?	
3. Is a physical inventory of equipment taken at least annually that is reconciled to the Division's inventory records? Have the inventories conducted since the last review discovered missing items? If yes, please explain.	
4. Is the Division's inventory up-to-date?	
5. Do you have a system in place to ensure against loss/damage/theft? Please describe. <i>Examples include video cameras, locks, fencing, lighting, and silent codes.</i>	
6. Please identify all locations where vehicles are stored. Are the vehicles stored at ALL times out of the flood plain or areas prone to flooding? <i>DPT requires that all vehicles be stored out of the flood plain.</i>	

7. What are your coverage limits for: Commercial/comprehensive general liability insurance Comprehensive and collision insurance FTA-funded facilities	Desk review
a. Are the limits sufficient to replace FTA-funded vehicles, facilities, and equipment? <i>DPT requires insurance coverage sufficient to replace the cost of the vehicle.</i>	
b. Has the proof of insurance been submitted annually? <i>DPT requires subrecipients to submit proof of insurance annually.</i>	
8. Regarding your revenue service fleet:	
a. What is the number of revenue vehicles?	
b. What is the number of vehicles required for maximum service?	
c. What is the number of spare vehicles (a minus b)?	
d. What is the spare ratio (c divided by b)?	
9. How often is the maximum number of vehicles required?	
10. How many vehicles were in use at the time of the visit? <i>(Reviewer will answer.)</i>	
11. Do ridership projections indicate a need for additional vehicles?	
12. Does the spare ratio appear reasonable given the size and age of the fleet, the frequency of peak service demand, and the projected ridership growth? <i>DPT considers a spare ratio of approximately 20 percent reasonable.</i>	
13. Are the vehicles used appropriate for the type of service, ridership volumes, and scheduling patterns?	
14. Have you sent in proof of sale for retired vehicles?	

PROCUREMENT

All subrecipients must comply with the relevant provisions of FTA Circular 4220.1F. All vehicle, construction, consultant, and various other items will be procured by the Division. Subrecipients must submit all procurements estimated to cost over \$25,000 to the Division prior to bid.

1. Who is responsible for the procurement process?	
2. Do you have a written code of standards of ethical conduct governing the performance of employees engaged in the award and administration of contracts that prohibits any employee, officer, or agent from participating in the selection, award, or administration of contracts? <i>Transit authorities created under Chapter 8, Article 27, and the City of Bluefield are covered by the State Ethics Act. For others, FTA requires the code to:</i> • <i>Preclude any employee, officer, agent, or board member or his or her immediate family member, partner, or organization that employs or is about to employ any of the foregoing from participating in the selection, award, or administration of a contract supported with FTA assistance.</i> • <i>Include information that the subrecipient's officers, employees, agents, or board members may neither solicit nor accept gifts, gratuities, favors, or anything of monetary value from contractors, potential contractors, or parties to subagreements. The policy may set minimum rules for when the financial interest is not substantial or the gift is an unsolicited item of nominal intrinsic value.</i> • <i>Provide for penalties, sanctions, or other disciplinary action for violation of such standards to the extent permitted by state or local law or regulations.</i>	
3. Do any potential conflicts of interest exist between policy Board members/employees and consultants/vendors/suppliers or between a management contractor and consultants/vendors/suppliers?	
4. Do you have written procurement policies and procedures? <i>Required by FTA/DPT.</i>	
5. Are procurement policies approved by the Board?	

6. Do the procedures address protest procedures? <i>Required by FTA/DPT.</i>	
7. Do the procedures provide for settlement of contract issues and disputes? <i>Required by FTA/DPT for procurements that exceed the federal simplified acquisition threshold, currently \$250,000.</i>	
8. Do the procedures provide for competition in the award of revenue contracts? <i>Revenue contracts involve the use of contractors for the sale of advertising on buses and in transit facilities. If you do not procure revenue contracts, a procedure is not required.</i>	
9. For purchases between \$3,000 and \$10,000, do you obtain verbal quotes from at least three qualified sources? For purchases between \$10,000 and \$25,000, do you obtain written quotes from at least three qualified sources? For purchase greater than \$25,000, do you conduct formal procurements (invitations for bids, requests for proposals, etc.) <i>Required by DPT.</i>	
10. Who reviews and approves purchases? What are the dollar thresholds?	
11. How is it determined that vendors are responsive and responsible? <i>FTA requires subrecipients to award FTA-assisted contracts to responsible contractors possessing the ability, willingness, and integrity to perform successfully under the terms and conditions of the contract.</i>	
12. Is the documentation for quotes, price sheets, etc., kept for three years after audit?	
13. What purchases did you make with FTA funds since the last site visit? (Examples: capital items not purchased by DPT, fuel, maintenance services, vehicles, construction, professional services (legal, accounting), etc.)	
a. What procedures were followed for each of the purchases?	

b. Did the procedures followed provide for full and open competition?	
c. Who administers the contracts?	
d. Do the files document the procurement history? <i>(Reviewer will examine procurement files.)</i>	
e. Have you attached the current federal terms and conditions to purchase orders >\$10,000? <i>Required by FTA for purchased greater than \$10,000. DPT provides an updated version annually.</i>	
f. Did you submit all procurements estimated to cost over \$25,000 (including insurance bids) to the Division of Public Transit prior to bid? <i>Required by DPT. Brick Street and BRIM are exempt.</i>	
g. Were capital items that cost over \$5,000 been added to AVIS? <i>DPT requires all capital items over \$5,000 cost, excluding computers, be added to AVIS.</i>	
14. Do any contracts exceed three years in length, including base and options? <i>DPT limits contracts, including base and options, to three years.</i>	
15. For procurements greater than \$25,000: a. Was the System for Award Management (www.sam.gov) searched to see if the vendor was debarred or suspended? <i>Subrecipients must search SAM before awarding contracts > \$25,000.</i>	
b. What proof of the search do you maintain in the procurement file?	
c. Have you become aware of any new information, following the award of a contract or subcontract, that an excluded party is involved in any covered transaction? If yes, did you promptly inform DPT in writing? <i>Subrecipients must provide immediate written notice to DPT for reporting to FTA if they learn that their certification or the certification of any contractors is no longer valid.</i>	

16. Have you obtained signed lobbying certifications with procurement solicitations exceeding \$100,000?	
17. As part of the post-delivery review, have you visually inspected and road-tested vehicles received from DPT to ensure that they meet the contract specifications?	
18. Have you returned the Vehicle Inspection Checklist as soon as possible but no later than 30 days after you have received the vehicle? If no, why not? <i>Reviewer will check DPT files.</i>	
19. Have you returned the Agency Equipment Acceptance Form as soon as possible but no later than 30 days after you have received the equipment? If no, why not?	

PROCUREMENT FILE REVIEW SHEET

(Completed by reviewer) Awarded To: _____

Amount: _____

Contract Number: _____

Purpose: _____

Award Date: _____

Number of Bids/Proposals Received: _____

Item	Yes	No	NA
Does the file contain an index or checklist of items that it should contain?			
Are materials filed in chronological order?			
Does the file contain an independent cost estimate (ICE)? (procurements >\$250,000)			
Does the file contain the rationale for the method of procurement and contract type?			
Does the file contain the invitation for bids or the request for proposals?			
Does the file contain the notices and advertisements?			
If a pre-bidders'/proposers' conference was held, does the file document the potential vendors notified of the conference, the date and time of the conference, and the list of the attendees?			
Does the file include all bids/proposals received?			
Does the file document the evaluation and the results of the evaluation?			
Was a responsibility determination made?			
If the procurement was a sole source, single bid, brand name, or award to other than low bidder, does the procurement file contain a justification for the award?			
Does the file contain a cost or price analysis? (>\$250,000, noncompetitive procurements, piggyback procurements)			
Does the file contain a signed contract?			
Does the file indicate that the subrecipient ensured that goods and services were received?			

Does the file include all contract modifications and amendments?			
Does the file contain copies of all correspondence with the vendor?			
If there were change orders >\$250,000, were independent cost estimates developed and cost/price analyses conducted?			

DISADVANTAGED BUSINESS ENTERPRISE (DBE)

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

1. Are semi-annual DBE activity reports submitted on time and completed correctly? <i>Subrecipients must submit semi-annual DBE activity reports on or before April 15 and October 15.</i>	Desk review
2. Has the subrecipient has been successful in contracting with DBEs?	
3. What efforts have been taken to ensure that DBEs have the maximum opportunity to compete for and perform contracts and subcontracts financed in whole or in part with FTA funds? <i>Subrecipients must 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 include advertising in newspapers that serve minority communities, maintaining a list of minority vendors, and contacting other agencies for potential DBE contractors.</i>	
4. Were any DBE complaints received since the last review? If yes: Describe the complaint and how it was resolved. What is the process for handling and resolving such complaints? <i>DPT requires that it be notified of complaints within 24 hours of receipt.</i>	

PERSONNEL

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

1. Who is responsible for personnel management? Is the person by reason of education, training, and experience qualified for the responsibility?	
2. Are personnel policies written and approved by the Board?	
3. Does the Board approve changes in the personnel policies?	
4. Do you review your personnel policies on a periodic basis to ensure compliance with all applicable laws or regulations?	
5. Do all employees sign an acknowledgment of receipt of the personnel policies?	
6. Do you have employee grievance procedures?	
7. Are there written job descriptions on file for all positions in the transportation program? If yes, do job descriptions identify:	
a. Job title	
b. Primary responsibilities	
c. Performance standards	
d. Work conditions	
e. Physical requirements	
f. Safety responsibilities	
g. Drug and alcohol testing (safety sensitive positions)	
8. How do you monitor employee performance?	
9. Does the agency provide documented coaching, counseling, re-training, and discipline based on unsatisfactory employee performance?	

10. Where is the employment poster provided by DPT displayed? <i>DPT requires subrecipients to display the poster in a conspicuous place in the workplace.</i>	
11. How do you protect personal identifying information (PII)? <i>The Department of Homeland Security defines PII as any information that permits the identity of an individual to be directly or indirectly inferred, including any information that is linked or linkable to that individual, regardless of whether the individual is a U.S. citizen, legal permanent resident, visitor to the U.S. PII, which if lost, compromised, or disclosed without authorization, could result in substantial harm, embarrassment, inconvenience, or unfairness to an individual.</i>	

EQUAL EMPLOYMENT OPPORTUNITY (EEO)

Subrecipients may not discriminate against any employee or applicant for employment because of race, color, religion, national origin, sex, age, or physical or mental disability. They must post in conspicuous and accessible places and make available to employees and applicants for employment notices setting forth an EEO policy.

1. Who is responsible for ensuring that EEO obligations are fulfilled? To whom does this individual report for EEO matters?	
2. Have you posted an EEO statement in a conspicuous and accessible place? <i>An EEO statement must be posted in a conspicuous place where employers and job applicants will see it.</i>	
3. Is an EEO policy included in your personnel policies and/or employee handbook? <i>An EEO policy should be included in personnel policies and/or employee handbook.</i>	
4. Are EEO statements included on your job applications and employment notices/job postings? <i>Job applications and employment notices should include an EEO statement.</i>	
5. If job openings are posted on the agency website, is the EEO statement also posted?	
6. Were any EEO complaints or lawsuits received since the last site visit? If yes: Describe the complaint and how it was resolved. What is the process for handling and resolving such complaints? Did you notify DPT of the complaint? <i>DPT requires subrecipients to inform it of EEO complaints.</i>	
7. Do you require employees to attend sexual harassment training?	

INFORMATION TECHNOLOGY

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

1. Are computer applications current with respect to needs and appropriate to the hardware environment?	
2. Who maintains the software? Does this person/entity possess the necessary training, education, and experience to provide adequate technical support?	
3. Is software regularly updated with patches and security updates? How frequently? Are all security/patches current?	
4. How often are the servers/computers backed up?	
5. How frequently are virus definitions updated? Are virus definitions current? How frequently do you scan for viruses?	
6. Do you use a local area network?	
7. Does the system administrator have access to the hard drives of all computers?	
8. Are the procedures for information security adequate to protect the integrity of the data?	
9. Who maintains the hardware and network? Does this person/entity have the necessary training, education, and experience to provide adequate technical support?	
10. Do the servers and all computers have an uninterruptible power supply (UPS)?	
11. Is all computer equipment protected from power surges?	
12. Which employees have access to the Internet?	

13. Is access to data restricted to only those who require the data to perform their job?	
14. Do you have a written policy regarding personal use of the computer, including use of the Internet?	
15. Do employees have agency email addresses?	
16. Are computers purchased with FTA funds being used to support the transit program? Are they used to support other programs as well?	
17. Do you provide general computer/ application training? If yes, when was the last time that the training took place? <i>DPT encourages computer training which is an eligible expense under the Section 5311 award. Courses may be available in your local areas at community colleges.</i>	
18. What features of WVTIMS are you using?	
19. For each feature that is not used, please explain why.	
20. Do you have any suggestions for enhancements?	

OPERATIONS AND SERVICE PROVISION

MAINTENANCE

Subrecipients must maintain FTA-funded equipment and facilities; have written maintenance plans for vehicles, facilities, and facility-related equipment; maintain project equipment and facilities at a high level of cleanliness, safety, and mechanical soundness; maintain all accessibility features and equipment in operating condition; repair accessibility features promptly and take reasonable steps to serve persons with disabilities until repairs are made; track when preventive maintenance inspections are due; schedule preventive maintenance inspections timely, and maintain a file on each piece of equipment that documents maintenance history.

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

VEHICLE MAINTENANCE	
1. Who is responsible for maintenance?	
2. Is the maintenance plan written? <i>Subrecipients must have a written maintenance plan.</i>	
3. What are the preventive maintenance schedules for each type of vehicle in the fleet? Do they meet the manufacturer's minimum requirements? <i>Preventive maintenance schedules must meet manufacturers' minimum requirements.</i>	
4. Where are the owner's manuals and manufacturer specifications filed?	
5. Is a preventive maintenance program in place for lifts and other accessibility features such as ramps, public announcement systems, etc.? Please describe. <i>Subrecipients must maintain all accessibility features and equipment in operating condition.</i>	
6. Where are tiedowns and straps stored on vehicles?	

7. Is an inspection program in place for on-board systems, such as cameras, video recorders, or passenger counters? Please describe.	
8. Is an inspection program in place for bus bodies? Please describe.	
9. What procedures are used to track when preventive maintenance inspections are due and to schedule preventive maintenance inspections? <i>Subrecipients must have procedures to track when preventive maintenance inspections are due and to schedule preventive maintenance timely .</i>	
10. Does the review of the maintenance records indicate that inspections are performed in accordance with procedures? <i>(Reviewer will examine maintenance records.)</i> <i>The Division allows a 10 percent or 500-mile variance, whichever is greater, when deciding whether an inspection was performed on time.</i>	
11. Does the review of the maintenance records indicate that the files are complete and document the maintenance conducted? <i>(Reviewer will examine maintenance records.)</i>	
12. Is fuel consumption tracked by bus? If yes, how?	
13. Are pre-trip inspections conducted prior to placing a vehicle in service? <i>Pre-trip inspections must be conducted prior to placing a vehicle in service.</i>	
14. What Is the process for determining if a vehicle should be pulled out of service when a driver reports a safety-related defect? Who makes the determination?	
15. Do you use TripMaster or Zonar for pre-trip inspections?	
16. Does the pre-trip inspection:	
a. Address tire worthiness? <i>The pre-trip inspection must address safety, vehicle operation, appearance, cleanliness, and passenger comfort. SPIDER provides a sample pre-trip inspection checklist.</i>	

b. Address lifts and other accessibility features, such as ramps, public announcement systems, and tiedowns? <i>Subrecipients must have a regular system of checks and inspections for lifts and other accessibility features.</i>	
17. Where are tie-downs and straps stored on the vehicles?	
18. Are potential projectiles, such as boxes with bi-directional reflective triangles and gallons of washer fluid, secured to the vehicle?	
19. Are deficiencies noted in pre-trip inspections repaired timely and properly reviewed by management? Who reviews the inspections? How often? <i>Deficiencies noted in pre-trip inspections must be repaired timely and properly reviewed by management.</i>	
20. How does the agency document maintenance activity performed to correct the reported defect? <i>Maintenance activity performed to correct the reported defect must be entered into TripMaster or Zonar. SPIDER has a sample vehicle defect and correction form (Form 12).</i>	
21. When a lift is found to be inoperative, is the vehicle taken out of service by the beginning of the next service day and repaired before returning it to service? What alternative arrangements are made for riders? <i>Subrecipients must remove vehicles with inoperative lifts from service before the next day unless no spare is available and taking the vehicle out of service would reduce the level of service.</i>	
22. Are emergency window exits and pop-up roof hatches tested periodically to ensure that they are in working order? If yes: How often? How is the check documented?	
23. Does the agency periodically review statistics on breakdowns for the purpose of identifying issues and improving performance? If yes: Who performs the analysis?	

24. Who is responsible for washing and cleaning the buses? How often are buses washed? What quality assurance or inspection procedures are in place to ensure buses are kept clean?	
25. What COVID-related cleaning measures have been implemented?	
26. Do the vehicles meet an acceptable level of cleanliness (exterior and interior)? <i>(Reviewer will answer.)</i>	
27. What is the system for tracking warranty issues and recovering warranty claims?	
28. Are warranty claims pursued effectively and promptly to conclusion?	
29. Who is registered with the manufacturers for recall notices?	
30. Have you submitted documentation to the DPT that all deficiencies contained in recall notices have been corrected?	
FACILITY MAINTENANCE <i>The following questions are for subrecipients that operate out of an FTA-funded facility.</i>	
31. Is there a written facility maintenance plan and inspection checklist? <i>Required by FTA/DPT.</i>	
32. Are the facilities inspected at least once a year to determine what repairs and/or maintenance are needed to the equipment or building? What was the date of the last inspection?	
33. Is the checklist submitted to DPT at least annually?	
34. Does the written plan or inspection checklist address equipment such as hydraulic lifts, bus washers, roofing systems, HVAC systems, emergency generators, and security systems?	
35. Does the written plan or inspection checklist address maintenance of ADA accessibility features, such as power-assisted doors and elevators? <i>USDOT ADA regulations (49 CFR 37.161) require maintenance of accessibility features.</i>	

36. Do preventive maintenance checklists follow the minimum requirements determined by the manufacturer, supplier, or builder?	
37. For preventive maintenance performed by contractors, are the contractors required to complete checklists documenting the checks performed?	
38. What are the procedures for inspecting, cleaning, and maintaining bus shelters and benches?	
39. Are files maintained on maintenance of facilities and related equipment?	
40. Do the files indicate that preventive maintenance inspections of facilities and related equipment are conducted at the intervals required by the plan? <i>(Reviewer will sample maintenance records.)</i>	
41. Are any features of facilities or related equipment under warranty? If yes, please list. Are warranty claims pursued?	
42. Are the facilities clean and well maintained? Are there any visible defects? Does the facility need to be painted? If yes, when is this scheduled? <i>(Reviewer will tour the facilities.)</i>	

SERVICE PROVISION

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

1. Who is responsible for the day-to-day supervision of transit operations? Is the person by reason of education, training, and experience qualified for the responsibility?	
2. What training do you provide operators/ drivers?	
3. What training do you provide schedulers/ dispatchers?	
4. Do you retain a record of who attended the training including names, sign-in sheet, and the content of the training including a list of any videos shown? <i>(Reviewer will examine training files.)</i>	
5. Do you keep records by employee documenting the training received? <i>(Reviewer will examine training files.)</i>	
6. Are all drivers provided a "hands-on" orientation of every agency vehicle type they may be asked to operate and is this orientation formally documented?	
7. Are behind-the-wheel evaluations to assess driver skills and adherence to agency policies and traffic laws being conducted? If yes, how are these evaluations documented?	
8. Is there a written service policy or operators' manual? When was it last updated? Does the policy/manual accurately and completely document current policies governing the delivery of service?	
9. When was the last time routes and schedules were revised for fixed and/or deviated route services? Do schedules need to be evaluated?	

10. Is schedule making coordinated with public information, dispatching and operations supervision?	
11. For demand-response service, what are the procedures for scheduling and dispatching trips? Are denials tracked and periodically reviewed by management?	
12. If service is scheduled in advance, have you made arrangements to have an answering machine take calls after business hours to schedule or cancel a ride?	
13. Please describe the pickup window for general public demand response service, route deviations, and ADA complementary paratransit service.	
How long do drivers wait for the passenger after having arrived within the pickup window?	
Do drivers note arrival and departure times on the manifest?	
14. Please describe your fare structure.	
15. What is your policy regarding transfers? Do you charge a fare for transfers? If yes, what is the transfer charge?	
16. Are fares reviewed annually?	
17. When was the last fare increase?	
18. How often is the operational data that is reported on the Monthly Project Expenditure Report reviewed and discussed with management and employees?	
19. For fixed-route and route-deviation services, do you track boarding and/or alightings by stop?	
20. Besides ridership data, what other operational data are collected?	
21. To whom do you report the operational data? What key management decisions have been made with the operational data?	
22. Do you have a written rider guide? If no, how is the public informed of agency policies?	

23. Do you have a Board/council-approved policy governing standards of behavior by passengers on buses and transit property? Does the policy address personal hygiene?	
24. How do you handle violations of the passenger behavior policy?	
25. Do you have a no-show policy? If yes, has it been approved by the Board?	
26. If you suspend riders for behavior policy violations or no-shows, what is your appeals process for suspensions? <i>DPT requires an appeal process for suspensions.</i>	
27. Who receives complaints and how are they processed? How do you follow up with the complainant? Do you keep a record of complaints?	
28. Are the complaint/comment resolution procedures written? <i>DPT requires written complaint/ comment resolution procedures.</i>	
29. Describe the progress that you are making towards ensuring that your performance indicators fall within the acceptable or successful categories (see table below)?	

SECTION 5311 PERFORMANCE INDICATORS

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

ACTUAL PERFORMANCE						
Measure	FY 2020	S/A/N	FY 2021	S/A/N	FY 2022	S/A/N
Operating Cost per Hour						
Operating Cost per Mile						
Operating Cost per Passenger Trip						
Farebox Recovery Ratio (percent)						
Passenger Trips per Mile						
Passenger Trips per Hour						

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

SAFETY AND SECURITY

Subrecipients must document that drivers have a valid operator's license, have a safe driving record, and have been trained in the CTAA PASS course. DPT requires that all drivers have at least eight hours of documented safety training per year and a physical annually. All safety devices must be maintained in operative condition. Drivers, and in some instances passengers, must wear seat belts. Smoking is prohibited on all vehicles. Drivers must focus on driving and limit distractions when vehicles are in motion.

Subrecipients must have a safety, security, and emergency preparedness plan (SSEPP).

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

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

e. Training in passenger assistance and safety (CTAA PASS course) Was this course completed by all new hires within three months of the hire date per the operating contract? <i>Required by DPT.</i> <i>(Reviewer will sample training records.)</i>	
f. Training in operation of lifts and other accessibility equipment <i>Required by ADA.</i>	
g. Criminal background check <i>Required for all new hires.</i>	
6. Can you document at least 8 hours of safety training each fiscal year for every driver (full and part-time)? <i>Required by DPT. CPR and First Aid training counts as a maximum of two hours towards the eight hours.</i> <i>(Reviewer will sample training records.)</i>	
7. What safety equipment do you have on-board buses? <i>Vehicles purchased off the DPT contract are equipped with safety vest, first aid kit, triangle reflectors (3), tire chains, fire extinguisher, blood fluid clean-up kit, web cutter, jumper cables, wheel jack and lug wrench, two mylar blankets, and two wool blankets.</i> <i>(Reviewers will inspect vehicles.)</i>	
8. Who spot checks buses to ensure that safety equipment is on the vehicles? How often? How is the check documented?	
9. Are all required safety devices or systems installed and functioning properly on vehicles? Are fire extinguishers secure, accessible, of the correct type, and in date? <i>All safety devices must be maintained in operative condition. Fire extinguishers must be secure, accessible, and in date.</i> <i>(Reviewers will inspect vehicles.)</i>	

10. Have monthly accident reports been submitted? <i>DPT requires subrecipients to submit a monthly accident report with the monthly expenditure report when accidents occur.</i>	
11. What is the agency policy regarding how passenger injuries and medical emergencies are to be handled? Is there documented training on the policy?	
12. Are the procedures for handling accidents and medical emergencies kept on board the vehicles?	
13. Are passengers required to wear a seat belt? If yes, how are passengers notified of the policy? <i>All passengers should be encouraged to wear seat belts. Agencies are encouraged to require that seat belts be worn at all times. By law, passengers in some vehicles, such as mini vans, must wear seat belts.</i>	
14. Are drivers allowed to bring food or drinks onboard vehicles? If yes, are drivers allowed to eat or drink while the bus is in motion? <i>DPT discourages the operation of a vehicle while eating or drinking.</i>	
15. Do you prohibit drivers from using a cell phone for calls or texting while the bus is in motion? <i>West Virginia prohibits the operation of a vehicle while texting or using a cell phone unless there is an emergency.</i>	
16. Do you have “hands-free” cell phone capability for drivers?	
17. Are all carry-on items properly stowed before moving the vehicle? <i>DPT recommends that all carry-on items be properly stowed before moving a vehicle.</i>	
18. Is there a methodology for identifying severe weather or other hazards that could affect agency operations and potentially trigger transit service shutdown?	
19. How are passengers notified of service disruptions, including those due to inclement weather?	

20. Does the agency have specific procedures and guidelines for drivers to follow when operating in inclement weather conditions in the service area, and have these procedures been formally communicated to drivers? Passengers?	
21. Who is responsible for investigating accidents?	
22. What are the procedures for investigating accidents?	
23. Does the agency have a post-accident packet for each supervisor that may investigate an accident; containing necessary forms and documents to ensure compliance with all post-accident policies?	
24. Are written reports made? To whom do the reports go?	
25. What follow-up action is taken and by whom?	
26. Do you collect information on safety incidents? If yes, what is done with the data?	
27. What key safety issues have been identified and how are they being addressed?	
28. Has the agency familiarized local law enforcement and fire personnel on all aspects of transit vehicle operation including emergency exits, engine shut off, and wheelchair lifts?	
29. Have you worked with local law enforcement, fire departments, medical services, and county emergency management agencies on county/regional emergency response efforts? What is your role in the plan?	
30. What traffic accident analysis and prevention activities are undertaken?	
31. Is there a safety awards and recognition program beyond DPT's Safe Driving Program?	

AMERICANS WITH DISABILITIES ACT (ADA)

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

1. Is your service fixed route, route deviation, and/or demand responsive?	
2. If you provide route deviation service, do public materials and bus schedules clearly state the procedures for requesting deviated fixed-route service and that the service is available to the general public? <i>Per FTA Circular 4710.1 Americans with Disabilities Act (ADA): Guidance, Chapter 7, Paragraph 7.5.4. Route Deviation Service, deviation service must be open and promoted to the general public.</i>	
3. Who is responsible for and what is the process for resolving ADA complaints? How is the public informed on how to file an ADA complaint? Is the contact information of the designated responsible employee for ADA complaint coordination sufficiently advertised? Have any complaints of discrimination due to disability been received from riders? If yes, please describe the complaints. Did you report the complaints to DPT? How long are complaints maintained on file? <i>USDOT ADA regulations (49 CFR 27.13 and 37.17) require procedures for addressing ADA complaints that incorporate appropriate due process standards and provide for prompt and equitable resolution. Subrecipients must sufficiently advertise the process for filing an ADA-related complaint and communicate a response promptly to any individual filing a complaint. The subrecipient is not required to respond to all complaints in writing, but rather must ensure the response can be documented internally. Subrecipients must retain copies of ADA-related complaints for at least one year and a summary of all ADA-related complaints for at least five years.</i> <i>DPT requires that it be notified of complaints within 24 hours of receipt.</i>	
4. Are facilities accessible?	

5. Do you have bus stops or shelters? If yes, are there plans to make the paths to stops and shelters accessible?	
6. Is adequate information made available to individuals with disabilities, including making adequate communications capacity available, through accessible formats and technology to enable users to obtain information and schedule service? If yes, how? <i>USDOT ADA regulations (49 CFR 37.167(f)) require making adequate communications capacity available, through accessible formats and technology, to enable users to obtain information and schedule service.</i>	
7. Is your system's TDD number printed on all public materials where your voice telephone number appears? <i>The TDD number should be listed on public materials wherever the voice telephone number appears.</i>	
8. What is the process to request a reasonable modification? How is the public informed on how to make requests for reasonable modifications? <i>USDOT ADA regulations (49 CFR 37.169) require a process for requesting reasonable modification to policies and practices to accommodate a person with a disability. Information on the reasonable modification process must be readily available to the public, and must be accessible. Advance notice can be required, but flexibility is also needed to handle requests that are only practicable on the spot. Individuals requesting modifications are not required to use the term "reasonable modification."</i>	
9. Do you require all wheelchairs to be secured? If yes, how is the public informed of the policy? <i>US DOT ADA regulations (49 CFR 37.165(c)(3)) allow providers to require all wheelchairs to be secured.</i>	
10. What is your policy for providing service if a wheelchair cannot be secured? <i>US DOT ADA regulations (49 CFR 37.165(d)) require that service be provided even when a wheelchair cannot be secured.</i>	

11. Do you require wheelchair users to transfer to a seat? <i>US DOT ADA regulations (49 CFR 37.165(e)) stipulate that operators may request but not require that wheelchair users transfer to a seat.</i>	
12. Do you require wheelchair users to wear a seatbelt? If yes, are all passengers required to wear a seatbelt? <i>Under the USDOT ADA nondiscrimination provisions (49 CFR 27.7 and 37.5), unless ALL passengers are required to wear a seatbelt, you may request but not require that wheelchairs use a seatbelt.</i>	
13. Do you place size or weight limitations on wheelchairs? Have you experienced problems with lifts or ramps not being able to accommodate an individual in a wheelchair? If yes, how did you address the problem? <i>US DOT ADA (49 CFR 37.165(b)) regulations prohibit public entities from setting weight or size limitations on wheelchairs it will transport that understate the weight capacity that the vehicle fleet can accommodate.</i>	
14. Do drivers provide assistance to passengers as necessary and upon request with lifts and securement devices? <i>US DOT ADA regulations (49 CFR 37.165(f)) require drivers and other personnel to provide assistance as necessary and upon request.</i>	
15. Do you permit individuals that do not use wheelchairs to use lifts? <i>US DOT ADA regulations (49 CFR 37.165(g)) require operators to deploy lifts for standees upon request.</i>	
16. Are operators required to report lift and ramp failures promptly? <i>USDOT ADA regulations (49 CFR 37.163(c)) require operators to report immediately any in-service lift and ramp failures.</i>	

17. Regarding service animals: <i>The USDOT ADA regulations (49 CFR 37.3) define a service animals as any guide dog, signal dog, or other animal individually trained to work or perform tasks for an individual with a disability, including, but not limited to, guiding individuals with impaired vision, alerting individuals with impaired hearing to intruders or sounds, providing minimal protection or rescue work, pulling a wheelchair, or fetching dropped items.</i>	
a. Are service animals allowed on the buses? <i>The USDOT ADA regulations (49 CFR 37.167(d)) require that operators permit service animals to travel with riders.</i>	
b. Do you require service animals to be certified? <i>The USDOT prohibits requiring service animals to be certified.</i>	
c. Do you require service animals to be under the control of the passenger? Where is this policy documented? How is the public informed of the policy? <i>US DOT allows providers to require that service animals be under the control of the passenger.</i>	
d. Have you had problems with passengers bringing animals that do not appear to be service animals? How did you address the problem?	
18. Do you provide service to persons using respirators or portable oxygen? <i>US DOT ADA regulations (49 CFR 37.167(h)) require operators to provide service to persons using respirators or portable oxygen.</i>	
19. What is your policy regarding the time allowed for boarding and alighting? <i>US DOT ADA regulations (49 CFR 37.167(i)) require that operators allow adequate time for passengers with disabilities to board and alight vehicles.</i>	
20. Do you require drivers to make use of all available accessibility equipment? <i>US DOT ADA regulations (49 CFR 37.167(e)) require that operators make use of all available accessibility equipment when needed.</i>	

21. 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.	
22. Do accessible buses have signage designating priority seating for seniors and individuals with disabilities? For wheelchair securement locations? <i>(The reviewers will inspect a sample of buses to ensure that priority seating and wheelchair securement locations are designated.)</i> <i>The USDOT ADA regulations (49 CFR 38.27) require that accessible vehicles have signs designating priority seating for elderly persons and persons with disabilities. At least two forward-facing seats must be designated. Wheelchair securement locations must be designated.</i>	
23. Are persons sitting in priority seats requested to vacate those seats when a person with a disability needs to use them? <i>When an individual with a disability needs to sit in a seat or occupy a wheelchair securement location, the subrecipient shall ask the passenger to move in order to allow the individual with a disability to occupy the seat or securement location (49 CFR 37.167(j)).</i>	
24. For fixed-route and route-deviation service: a. Do you have a written policy governing stop announcements? Does it meet ADA requirements? <i>US DOT ADA regulations (49 CFR 37.167(b)) require drivers to announce stops at transfer points with other fixed routes, major intersections and destination points, upon request, and at intervals along a route sufficient to permit individuals with visual impairments or other disabilities to be oriented to their location.</i> <i>DPT requires a written ADA stop announcement policy.</i>	
b. When multiple routes serve the same stop, what mechanism is in place to alert individuals with visual impairments or other disabilities to the route number and destination? <i>US DOT ADA regulations (49 CFR 37.167(c)) require that operators have such a mechanism.</i>	

c. Are lifts/ramps deployed at any stop? <i>US DOT ADA regulations (49 CFR 37.167(g)) require that operators permit a passenger who uses a lift or ramp to board or disembark from a vehicle at any designated stop, unless the lift or ramp cannot be deployed, the lift will be damaged if it is deployed or temporary conditions preclude the safe use of the stop by all passengers (i.e., the stop is “closed” for the duration of such conditions).</i>	
d. Is alternative service provided to persons when a lift fails in service and headways are greater than 30 minutes? Is the service provided within 30 minutes? <i>If a lift or ramp failure occurs on a route where the headway is greater than 30 minutes and the passenger cannot be served, the subrecipient is required to provide alternative service within 30 minutes (49 CFR 37.163(f)).</i>	

ADA COMPLEMENTARY PARATRANSIT SERVICE

Providers of fixed-route service must provide service that is comparable to individuals whose disability prevents them riding fixed-route service. Service provided in accordance with [49 CFR Part 37 Subpart F](#) is considered comparable.

1. Describe the eligibility process. How do you ensure that only those who are unable to use the fixed route system are certified as eligible? Are architectural and environmental barriers or conditions considered when determining eligibility? <i>The USDOT ADA regulations (49 CFR 37.123) restrict eligibility to certain categories of individuals:</i> • Any person with a disability who is unable to board, ride, or disembark from an accessible vehicle without the assistance of another person (except for the operator of a lift or other boarding device) • Any person with a disability who could ride an accessible vehicle but the route is not accessible or the lift does not meet ADA standards • Any person with a disability who has a specific impairment related condition that prevents the person from traveling to or from a boarding/disembarking location	
2. Is place of residence an eligibility criterion? <i>Place of residence is not an eligibility criterion.</i>	
3. Is paratransit service provided to others, such as seniors? If yes Is ADA eligibility determined for these individuals? Are these riders counted as ADA trips? <i>Providers must determine ADA eligibility for all applicants, even if those applicants are eligible for paratransit under other criteria.</i>	
4. Are ADA complementary paratransit eligibility decisions made within 21 days of receipt of a complete application? If no, is presumptive eligibility awarded? <i>The USDOT ADA regulations (49 CFR 37.125(c)) require eligibility decisions must be made within 21 days of receipt of an application, if not then presumptive eligibility must be awarded until an eligibility decision is made.</i>	

5. Are applicants who are awarded eligibility given a written documentation of the decision? Are they provided documentation that includes the required information? <i>The USDOT ADA regulations (49 CFR 37.125(d)) require eligibility decisions to be made in writing. 49 CFR 37.125(e) requires the documentation of eligibility to include at least the following information:</i> <i>• The individual's name</i> <i>• The name of the transit provider</i> <i>• The telephone number of the entity's paratransit coordinator</i> <i>• An expiration date for eligibility, if applicable</i> <i>• Any conditions or limitations on the individual's eligibility</i> <i>(Reviewers will examine application files.)</i>	
6. Are applicants who are denied eligibility or given conditional or temporary eligibility: Given a written notice with specific reasons for the decision? Given notice of the right to appeal? <i>For persons awarded less than unconditional eligibility, the USDOT ADA regulations (49 CFR 37.125(d) and (g)) require the notification to state the specific reason for the decision and notify the applicant of the right to appeal.</i>	
7. Is presumptive eligibility awarded if the appeal is not decided within 30 days of completion of the appeals process? <i>If the appeal is not decided within 30 days of completion of the appeals process, presumptive eligibility must be awarded until the appeal is decided (49 CFR 37.125(g)).</i>	

8. For visitors who wish to use the ADA complementary paratransit service: a. What documentation is required for service? <i>The USDOT ADA regulations (49 CFR 37.127) require that ADA service be provided to visitors. A visitor can become eligible in one of two ways:</i> <i>1. The visitor can present documentation from his or her "home" jurisdiction's ADA complementary paratransit system that he or she is eligible. The local provider will give "full faith and credit" to the identification card or other documentation from the other entity.</i> <i>2. The visitor can present, if the individual's disability is not apparent, proof of the disability (e.g., a letter from a doctor or rehabilitation professional) and, if required by the local provider, proof of visitor status (i.e., proof of residence somewhere else). Once the documentation is presented and is satisfactory, the local provider will make service available on the basis of the individual's statement that he or she is unable to use the fixed-route transit system, that is, the local provider cannot require functional testing.</i>	
b. How long does the eligibility determination usually take? <i>Per FTA Circular 4710.1 Americans with Disabilities Act (ADA): Guidance, (Chapter 9, Section 9.9 Service for Visitors), awarding visitor eligibility is a fairly simple and quick process enabling individuals to contact the host agency to learn what is required and then being able to easily meet the requirements. This also means that upon receipt of any required documentation described above, transit agencies are to quickly enter necessary information into any databases or systems to permit visitors to place trip requests. FTA envisions this as a process that can often be completed the same day or no more than one day later.</i>	
c. Is service provided to ADA-eligible visitors for up to 21 days in a 365-day period? <i>Per the USDOT ADA regulations (49 CFR 37.127(e)), the entity is not required to provide more than 21 days of service within a 365-day period. It may request that the visitor apply for eligibility in order to receive additional service beyond this number of days.</i>	
d. How is the public informed of visitor eligibility? <i>Public information regarding visitor eligibility and the application process should be readily available.</i>	

9. Do you provide complementary paratransit service to ADA eligible individuals and their personal care attendants (PCA)? Do you charge the PCA a fare? Do you require the passenger to travel with a PCA? <i>The USDOT ADA regulations (49 CFR 37.123(f)) require the provision of service to PCAs. PCAs are not charged a fare. (49 CFR 37.131(c)(3)).</i> <i>The USDOT ADA regulations (49 CFR 37.5(e)) consider it discriminatory to require a rider to travel with a PCA.</i>	
10. Do you provide complementary paratransit service to ADA eligible individuals and at least one companion? Additional companions if space permits? What is the fare for a companion? <i>The USDOT ADA regulations (49 CFR 37.123(f)) require the provision of service to at least one companion and additional companions if space permits. A PCA is not considered a companion. Companions are charged the same fare as the ADA eligible rider. (49 CFR 37.131(c)(2)).</i>	
11. Do you provide service within $\frac{3}{4}$ miles of fixed routes and the core service area? <i>The USDOT ADA regulations (49 CFR 37.131(a)) require complementary paratransit service must be provided within $\frac{3}{4}$ miles of fixed routes and the core service area.</i>	
12. At a minimum, do you provide curb-to-curb service? Origin-to-destination when necessary? <i>The USDOT ADA regulations (49 CFR 37.129(a)) allow the base mode of complementary paratransit service to be curb-to-curb service but must be origin-to-destination when needed.</i>	
13. Is service provided the same days and hours as fixed-route service? <i>The USDOT ADA regulations (40 CFR 37.131(e)) require complementary paratransit to be provided the same days and hours as fixed-route service.</i>	
14. Are the fares no more than twice the fares for fixed-route service? <i>The USDOT ADA regulations (49 CFR 37.131(c)) cap fares for complementary paratransit service at twice the fares for fixed-route service.</i>	

15. Is service restricted or trips ranked by trip purpose? <i>The USDOT ADA regulations (49 CFR 37.131(d)) prohibit restrictions or priorities based on trip purpose.</i>	
16. Is next-day service provided? <i>The USDOT ADA regulations (49 CFR 37.131(b)) require, at a minimum, next day service to be provided.</i>	
17. Are requests for reservations accepted during normal business hours on all days prior to days of service? For next-day service, at what time of day are reservations cut off? How are reservations accepted on days when the administrative office is closed? <i>The USDOT ADA regulations (49 CFR 37.131(b)) require requests for reservations to be accepted during normal business hours on all days prior to days of service, even if the administrative office is closed. Answering machines can be used to take reservations.</i>	
18. Are pickups that cannot be accommodated at the time the passenger requests negotiated with the passenger and scheduled within one hour of requested time? <i>The USDOT ADA regulations (49 CFR 37.131(b)) require trips to be negotiated with the passenger and scheduled within one hour of the requested trip time.</i>	
19. Are rides that are not scheduled in a one-hour window tracked as denials even if the rider accepts an alternative time? When one leg of a roundtrip cannot be reserved, is it tracked as two denials when the rider declines the trip? <i>Per FTA Circular 4710.1 Americans with Disabilities Act (ADA): Guidance, (Chapter 8, paragraph 8.5.4 Trip Denials and Missed Trips – Prohibited Operational Practices), rides not scheduled in a one-hour window must be tracked as denials even if the rider accepts an alternative time. Refusals to take a roundtrip when one leg of a trip cannot be reserved must be tracked as two denials.</i>	
20. Is a no-show suspension/late cancellation suspension policy used? If yes: <i>The USDOT ADA regulations (49 CFR 37.125(h)) allow the temporary suspension of service for a pattern or practice of no-shows.</i>	

a. What is the suspension policy for no-shows?	
b. How is it determined whether or not no-shows are under the rider's control? <i>Only no-shows that are under the rider's normal control should be counted against the rider.</i>	
c. Are no-shows caused by operator error counted against the rider? <i>No-shows caused by reasons beyond the rider's control (e.g., scheduling problems, late pickups, and operational problems on the part of the transit provider or a family emergency or sudden turn for the worse in a variable medical condition) or operator error must not be counted against the rider.</i>	
d. What are the thresholds for a cancellation before it is considered a no-show? <i>FTA permits transit providers to include late cancellations in their suspension policy, but only trips cancelled within two hours of the scheduled pickup.</i>	
e. Are only riders who have demonstrated a true pattern or practice of no-shows suspended? <i>A no-show policy must be narrowly tailored to ensure that suspension is only imposed for a true pattern or practice of missing scheduled trips.</i>	
f. Does the policy take into account frequency of rides? <i>The no-show policy must take into account frequency of rides.</i>	
g. Are financial penalties assessed for no-shows? <i>Systems may not impose a financial penalty as part of a no-show policy, including charging the fare for the no-show trip. With the rider's consent, systems may charge patrons the fares for missed trips in lieu of a suspension.</i>	
h. Are riders allowed to contest no-shows? <i>Riders must be allowed to contest no-shows.</i>	
i. Is there an appeals process for suspensions? <i>The policy must allow riders to contest no-shows and there must be an appeals process for suspensions.</i>	

j. Do you provide service during the appeal process? <i>The USDOT ADA regulations require the sanction to be stayed pending the outcome of the appeal.</i>	
The purpose of the following questions is to determine if there is a pattern or practice of capacity constraints. <i>The USDOT ADA Regulations (40 CFR 37.131(f)) prohibit subrecipients from limiting the availability of ADA complementary paratransit capacity.</i>	
21. What is the average telephone wait time for a reservation?	
22. For next-day service, at what time of day are reservations cut off? <i>Reservations must be taken during administrative office hours.</i>	
23. At peak times, can a caller reach the reservation office?	
24. What percent of requests are denied? How do you monitor trip denials?	
25. What do you consider an on-time trip? How do you monitor on-time performance? What is your on-time performance rate?	
26. How do you monitor missed trips? What percentage of trips are missed?	
27. What do you consider an excessively long trip? Do you monitor for excessively long trips? What percentage of trips are excessively long?	
28. Do the answers to the above questions indicate a pattern or practice of capacity constraints?	
29. If you provide paratransit service to non-ADA-eligible individuals, are capacity data tracked separately for ADA and non-ADA trips?	

ADA – FERRY OPERATIONS

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. 49 CFR part 39 prohibits owners and operators of passenger vessels from discriminating against passengers on the basis of disability, requires vessels and related facilities to be accessible, and requires owners and operators of vessels to take steps to accommodate passengers with disabilities.

1. Who is responsible for and what is the process for resolving ADA complaints? How is the public informed on how to file an ADA complaint? Have any complaints of discrimination due to disability been received from riders? If yes, please describe the complaints. Did you report the complaints to DPT? How long to you maintain the complaints on file? <i>USDOT ADA regulations (49 CFR 27.13) requires procedures for addressing ADA complaints that incorporate appropriate due process standards and provide for prompt and equitable resolution. Subrecipients must sufficiently advertise the process for filing an ADA-related complaint and communicate a response promptly to any individual filing a complaint. The subrecipient is not required to respond to all complaints in writing, but rather must ensure the response can be documented internally. Subrecipients must retain copies of ADA-related complaints for at least one year and a summary of all ADA-related complaints for at least five years.</i> <i>DPT requires that it be notified of complaints within 24 hours of receipt.</i>	
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2. How does the entity make a designated complaints resolution official (CRO) available for contact on the vessel? Does the CRO have the power to overrule the decisions of any other personnel except for the master of the vessel with respect to safety matters? <i>49 CFR 39.101 requires passenger vessel operators to make a designated complaints resolution official (CRO) available for contact on each vessel and at each terminal. The CRO may be available in person or via telephone, if at no cost to the passenger. If a telephone link is used, text telephone (TTY) or telecommunications relay service (TRS) must be available so that persons with hearing impairments are able to communicate readily with the CRO. The CRO must have the authority to make dispositive resolution of complaints on the entity's behalf, including the power to overrule the decisions of any other personnel, but may not countermand a decision of the master of the vessel with respect to safety matters.</i>	
3. What is the process to request a reasonable modification in policies, practices, or procedures? Are requests accommodated unless such modifications would fundamentally alter the nature of the service? How does the public know that it can request a reasonable modification? <i>49 CFR 39.21(b)(2) requires public operators of passenger vessels to make reasonable modifications in policies, practices, or procedures when necessary to accommodate individuals with disabilities, unless they can demonstrate that making such modifications would fundamentally alter the nature of the service.</i>	
4. Is the number of persons with disabilities limited? <i>Per 49 CFR 39.29, passenger vessel operators may not limit the number of persons with disabilities on a vessel.</i>	
5. Is medical documentation or advance notice from a passenger with a disability required? <i>Per 49 CFR 39.33, passenger vessel operators may not require medical documentation from a passenger with a disability. Per 49 CFR 39.35, passenger vessel operators may not require a passenger with a disability to provide advance notice.</i>	

6. Is a passenger with a disability required to travel with another person? <i>Per 49 CFR 39.41, passenger vessel operators may not require a passenger with a disability to travel with another person.</i>	
7. How is prompt assistance to passengers with disabilities who are not able to board or disembark without assistance provided? <i>49 CFR 39.83 requires passenger vessel operators to promptly provide assistance to passengers with disabilities who are not able to get on or off a vessel without assistance, and may use any means to which the passenger consents (such as lifts, ramps, boarding chairs, or assistance by vessel personnel). However, the entity cannot require a passenger with a disability to accept assistance if he or she is readily able to get on or off of the vessel independently.</i>	
8. Are passengers with wheelchairs or mobility aids, such as walkers, crutches, canes, braces or similar devices, restricted from using areas that are open to pedestrians? <i>Per 49 CFR 39.45(b)(1), passenger vessel operators must permit individuals with mobility disabilities to use power and manual wheelchairs and other mobility aids such as walkers, crutches, canes, braces, or similar devices in any areas that are open to pedestrian use.</i>	

CHARTER BUS

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

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. <i>For Sections 5310 and 5311, transportation for “program purposes,” that is, that serves the needs of either human service agencies or seniors, persons with disabilities, or low-income persons, is exempted from the regulation.</i>	
2. Do you operate charter service? If yes, describe the charter service provided and answer the balance of the questions in this section. If no, go on to the School Bus section. If you are not sure, describe the service in question and the reviewer will determine whether the service was charter service and go through the balance of the questions with you during the site visit. [Reviewer, please review the most recent audit on file with the state for any charter revenue. Review service brochures to see if the subrecipient promotes charter service.] <i>Charter service is defined as:</i> <i>Transportation provided at the request of a third party for the exclusive use of a bus or van for a negotiated price; or</i> <i>Transportation provided to the public for events or functions that occur on an irregular basis or for a limited duration and:</i> ▪ <i>A premium fare is charged that is greater than the usual or customary fixed route fare; or</i> ▪ <i>The service is paid for in whole or in part by a third party.</i>	

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

CHARTER BUS EXCEPTIONS AND REQUIREMENTS

Exception	Procedure
Exception 604.6 – Government officials on official government business (GO) (1) Is restricted to its geographic service area (2) Must not generate revenue, except as required by law (3) Is limited to 80 hours annually. May petition for additional charter hours.	Record the following information: 1. Government organization's name, address, phone number, and email address 2. Date and time of service 3. Number of government officials and other passengers 4. Origin, destination, and trip length (miles and hours) 5. The fee collected, if any 6. Vehicle number (example, bus 102) Retain the record for three years. Complete and submit to DPT the Charter Service Reporting Form with the Monthly Project Expenditure Report.
Exception 604.7 – Qualified human service organizations (QH) Service to persons: (1) With mobility limitations related to advanced age, (2) With disabilities, or (3) With low income. Organization must register if it does not receive funds from programs listed in Appendix A of the charter regulation.	Ensure that the human service agency is qualified, that is, it receives funds from programs listed in Appendix A of the charter regulation or has registered on the FTA charter website at least 60 days before the charter request. Record the following information: 1. QHSO's name, address, phone number, and email address 2. Date and time of service 3. Number of passengers 4. Origin, destination, and trip length (miles and hours) 5. The fee collected, if any 6. Vehicle number (example, bus 102) Retain the record for three years. Complete and submit to DPT the Charter Service Reporting Form with the Monthly Project Expenditure Report.

Exception	Procedure
Exception 604.8 – Leasing FTA funded equipment and drivers to a charter service operator (LE) only if the following conditions exist: 1. The operator is registered on the FTA charter registration web site 2. The operator owns and operates buses or vans in a charter service business 3. The operator received a request for charter service that exceeds its capacity either of the number of vehicles operated or the number of accessible vehicles 4. The operator has exhausted all of the available vehicles for all registered charter providers in your geographic service area	Record the following information: 1. Registered charter provider's name, address, telephone number, and email address 2. Number of vehicles leased, types of vehicles leased, and vehicle identification numbers 3. Documentation presented by the registered charter provider that the four conditions are satisfied. Retain the record for three years. Complete and submit to DPT the Charter Service Reporting Form with the Monthly Project Expenditure Report.
Exception 604.9 – When no registered charter provider responds to a notice posted on the FTA charter website (WN): 1. Within 72 hours for charter service requested to be provided in less than 30 days, or 2. Within 14 calendar days for charter service requested to be provided in 30 days or more.	Include the in the e-mail notice sent to the list of registered charter providers: 1. Customer name, address, phone number, and e-mail address (if available); 2. Requested date of service; 3. Approximate number of passengers 4. Type of equipment requested, bus(es) or van(s); 5. Trip itinerary and approximate duration; and 6. The intended fare to be charged for the service. If an "undeliverable" notice is received in response to its e-mail notice, fax the notice. If service is provided, record the following information: 1. The group's name, address, phone number, and email address 2. Date and time of service 3. Number of passengers 4. Origin, destination, and trip length (miles and hours) 5. Fee collected, if any 6. Vehicle number (example, bus 102) Retain all records (email sent, undeliverable notice, facsimile, record of charter) for three years. Complete and submit to DPT the Charter Service Reporting Form with the Monthly Project Expenditure Report.

Exception	Procedure
Exception 604.10 – Agreement with registered charter providers If a new charter provider registers in the geographic service area, may continue to provide charter service for 90 days without an agreement with the newly registered charter provider. Any parties to an agreement may cancel at any time after providing a 90-day notice.	Record the following information: 1. The group's name, address, phone number, and email address 2. Date and time of service 3. Number of passengers 4. Origin, destination, and trip length (miles and hours) 5. Fee collected, if any 6. Vehicle number (example, bus 102) Retain the record for three years.
Exception 604.11 – Petitions to the Administrator for: 1. Events of regional or national significance 2. Hardship (<200,000 population only) 3. Unique and time sensitive events that are in the public interest	For an event of regional or national significance, the petition shall describe how registered charter providers were consulted and will be utilized, include a certification that the recipient has exhausted all the registered charter providers in its service area, and submit the petition at least 90 days before the first day of the event. For a hardship request, the exception must be for deadhead time that exceeds total trip time from initial pick-up to final drop-off, including wait time and shall describe how the minimum duration would create a hardship on the group requesting the charter. For a unique and time sensitive event, the petition shall describe why the event is unique and time sensitive and would be in the public's interest. Record the following information: 1. The group's name, address, phone number, and email address 2. Date and time of service 3. Number of passengers 4. Origin, destination, and trip length (miles and hours) 5. Fee collected, if any 6. Vehicle number (example, bus 102) Retain the record for three years.
Note: Charter service hours include: time spent transporting passengers, time spent waiting for passengers and "deadhead" hours.	

SCHOOL BUS

Subrecipients are prohibited from providing exclusive school bus service. In no case can federally funded equipment or facilities be used to provide exclusive school bus service. Head Start transportation is considered human service transportation, not school bus service.

1. Is exclusive school bus service operated? <i>Subrecipients are prohibited from providing exclusive school bus service. In no case can federally funded equipment or facilities be used to provide exclusive school bus service.</i>	
2. Do you provide school “tripper” service? <i>A tripper is an extra bus that is added to a route to provide capacity or service that cannot be accommodated by the buses already in service.</i> If yes, does the tripper service meet the following criteria to be considered public transit service: a. Service is regularly scheduled? b. Buses are clearly marked as open to the public? c. Buses have no special designations (e.g., school bus, school special)? d. Buses use regular bus stops? e. Service is noted on published schedules? <i>If not, the service does not qualify as public transit service and cannot be provided with FTA-funded equipment or out of FTA-funded facilities.</i> Reviewer: Please review all schedules and signs used on buses to ensure that the tripper service complies with the stated criteria.	

INTERCITY BUS

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

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

PLANNING AND MARKETING

SERVICE ELIGIBILITY

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

1. What types of contract service do you provide? With whom? Does the contract service interfere with the provision of public transit? Have you had to deny public transit trips because the contract service utilized all available capacity? If yes, how often?			
2. Do the ridership data from the last year-end report indicate that the subrecipient is successful in attracting general public riders? <i>DPT requires that non-senior ridership be at least 20 – 25 percent.</i>		Category	Total
		60 +	
		Disabled	
		< 60	
		Total	
3. Do you provide service to the general public at least 40 hours per week? Is the service available during normal commute times? <i>Service must be provided to the general public at least 40 hours per week and be available during normal commute times.</i>			

4. Do you rank trips by trip purpose? If yes, please provide the order of priority. Does the ranking of trips discourage the general public from using the service? Have you denied service because a trip with a lower-ranked purpose could not be accommodated? If yes, how often?	
5. Are vehicles clearly identified as general public transit service? Do vehicles display the agency phone number? Do vehicles display the website address? <i>Vehicles must be clearly identified as general public transit service.</i>	
6. Are the vehicles marked in any way that represents exclusive use for a specific organization or clientele? <i>Vehicles may not display markings that imply exclusive use for a specific organization or clientele.</i>	
7. If you are a nonprofit: How does the agency answer the phone? Do you have a direct line for transportation or do all transportation calls go through the general receptionist? Do you have a transit email address?	
8. Do you provide any service within an urbanized area (population > 50,000)? If yes: Please describe the service. Do you use Section 5311 assistance to support the service? How do you allocate costs between the urbanized and nonurbanized area service? <i>Subrecipients may not use Section 5311 assistance to provide service within an urbanized area. Subrecipients may provide service to and from urbanized areas. Subrecipients must have a state-approved methodology for allocating costs between the urban and rural service.</i>	
9. Do you deliver meals or provide incidental services? If yes, then please answer the following:	

a. How many meals or other incidental services do you deliver?	
b. At what times of the day?	
c. Do the services interfere with the provision of transit service?	
d. Do the incidental services bear the costs of the service?	
e. How much is the transportation program reimbursed for meal delivery?	

MARKETING

Subrecipients should have a marketing program that attracts riders and promotes a positive image to the community. Public information should be attractive, widely distributed, and accessible in various formats. The Division supports a statewide transit marketing program.

1. Is all branding removed from vehicles before disposition?	
2. How do you advertise your transit service? What media are used and how often?	
3. What activities are undertaken to enhance and draw attention to the public image of your service?	
4. What group from the following list has the most knowledge and name recognition of your service? Older adults (age 60+) Youth (up to age 16) Other ages (age 16-60) Developmentally disabled Other group (Please specify)	
5. Do you conduct rider satisfaction surveys? How often? When was the last survey?	
6. Do schedules present:	
a. Route maps that list the time points	
b. Transfer points to other routes and systems	
c. Telephone number	
d. TDD number	
e. Web address	
f. Other (please discuss)	
7. Are bus stops two-sided so that passengers walking from any direction, especially the opposite direction of the bus, easily find the closest bus stop?	
8. How and where are marketing materials (brochures, schedules) distributed?	

9. Is there a regular schedule for replenishing the racks?	
10. Have arrangements been made with the institutions to notify you when the racks need replenishing?	
11. Who maintains your website?	
12. How often do you review the website content and make changes?	
13. Are you able to make changes to your website directly or must you go through a contractor?	
14. Is the web address on printed materials and business cards?	
15. How is website registration managed?	
16. Does the website provide information on:	
a. Hours and days of service	
b. Types of service	
c. Fares	
d. Transfer policy/charges	
e. How to plan a trip	
f. Bus schedules and maps	
g. Rider guide	
h. Public meetings and hearings	
i. Route and schedule changes	
j. Transit advisory committee participation and meetings	
k. Telephone number	
l. TDD number (<i>required</i>)	
m. Links to other transit system websites	
n. Sign-up for email or other alerts	

o. On-line comment form Is it an embedded form not tied to Outlook so that it can be accessed by persons using smart phones and tablets?	
p. Generic email address To whom do the emails go? <i>DPT recommends that emails go to at least three positions to ensure that emails are addressed timely.</i>	
q. Protections under Title VI <i>(required)</i>	
r. Title VI/ADA complaint form(s) <i>(required)</i>	
s. Route deviation <i>(required)</i>	
t. ADA complementary paratransit <i>(required)</i>	
u. ADA reasonable modification <i>(required)</i>	
17. Are website documents in native pdf or HTML so that they are accessible to persons using readers?	
18. Does the website automatically format to fit the device of the user (responsive design)?	
19. Have you worked with local agencies, such as city and county governments, chambers of commerce, and human service agencies to have a link to your website on their websites? Which agencies have a link to your website?	
20. What types of social media do you use to market your system? Do the website and printed material list the social media symbols (Facebook, Twitter, Instagram, etc.)?	
21. If on Facebook: a. Have you boosted your page? If yes, what were the results?	
b. Does the website have a live Facebook feed?	
22. Do you maintain GTFS data? If yes, does your website have an associated trip planner?	

TITLE VI--NONDISCRIMINATION IN THE DELIVERY OF SERVICE

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

1. Provide documentation that you have been implementing the public outreach efforts described in the approved plan on file with the Division.	
2. How do you notify the public of its rights under Title VI? (Website, reception area, meeting rooms, schedules, signs or brochures on buses) Do you notify beneficiaries of:	
a. Protection under Title VI?	
b. How to obtain additional information on nondiscrimination obligations?	
c. How to file a complaint?	
d. That information on your Title VI obligations and complaint procedures will be translated as needed? <i>Subrecipients must notify the public of its protections under Title VI, how to obtain additional information on nondiscrimination obligations, and how to file a complaint, and offer to translate the nondiscrimination obligations and complaint procedures as needed. At a minimum, subrecipients shall disseminate this information to the public by posting a Title VI notice on the agency's website and in the public areas of the agency's office(s), including the reception desk, meeting rooms, etc. Recipients should also post Title VI notices at stations or stops, and/or on transit vehicles. DPT provides Title VI stickers for posting on the interior of vehicles.</i>	
3. Are the Title VI complaint form and instructions available on the website? <i>Subrecipients must post the Title VI complaint form and instructions to the website.</i>	

4. Have any complaints concerning discrimination in the delivery of service been received since the last review or application? If yes:	
a. How were the complaints identified and resolved? Did you follow the complaint processing procedures in your Title VI plan?	
b. Did you report the complaints to DPT within 24 hours of receipt of the complaint? <i>Title VI complaints must be reported to DPT within 24 hours of receipt of the complaint.</i>	
c. Did you maintain a record of the complaints that includes: ▪ the date of the complaint was filed ▪ a summary of the allegations ▪ the status of the investigation ▪ the actions taken in response to the complaint	
5. Have employees received the training in providing timely and reasonable language assistance to LEP populations? <i>FTA requires subrecipients to train employees in providing timely and reasonable language assistance to LEP populations.</i>	
6. Since you submitted your Title VI plan, have you identified any additional language assistance needs? If yes, please describe.	

PLANNING AND COORDINATION

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

1. Please explain why ridership is increasing, decreasing, or staying the same.		
Fiscal Year	Ridership	
2022	Desk review	
2021		
2020		
2019		
2018		
2. Please describe how you are coordinating with other transportation providers in the area. Examples are centralized information/dispatch, maintenance, training, and referrals.		
Providers	Coordination Efforts/Reasons for Not Coordinating	
3. Are there more opportunities for coordination?		
4. Are you participating in public transit coordination efforts via the public transit human service coordination plan? What initiatives have resulted from the meetings?		

PUBLIC INVOLVEMENT

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

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

TECHNICAL ASSISTANCE

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

1. Do you have any training and/or technical assistance requests, needs or recommendations? (Please describe.)	
2. Do you have any suggestions on how RTAP funds should be used?	

SWOT ANALYSIS

Strengths	Weaknesses
Opportunities	Threats

ATTENDANCE SHEET

Name	Title	Phone	Email

SUMMARY OF FINDINGS AND RECOMMENDATIONS

Please state that you will implement the recommendation or the reason why you will not implement it.

[illegible]