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# Triennial Review

5307 only (Block Grant) Subrecipients

FLORIDA DEPARTMENT OF TRANSPORTATION  
OFFICE OF FREIGHT, LOGISTICS AND PASSENGER OPERATIONS



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# **TRIENNIAL REVIEW PROCESS**

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## PURPOSE

The Triennial Review Process outlines the areas to be covered when District Project Managers conduct triennial onsite reviews of federal/state program grantees. The required areas for review include:

- Maintenance activities
- Single Audit compliance
- ADA compliance
- DBE Program compliance
- Title VI Program compliance
- Procurement compliance
- Charter and School Bus Program compliance
- Reporting (Progress/Quarterly and NTD)
- Safety/Security
- Drug and Alcohol
- Financial Compliance

## DISTRICT RESPONSIBILITIES

Triennial oversight visits are conducted in conjunction with other required activities such as Bus System Safety Reviews and Triennial Maintenance Audits. It is recommended that District Project Managers use the **Triennial Review Guide** when conducting their Triennial oversight visits. If the Triennial Review Guide is not used or modified, then the District will submit the proposed review materials to the Central Office for review prior to conducting the Triennial Reviews.

District Project Managers will contact, in writing, sub-recipient agencies to schedule the activities associated with the Triennial oversight visit, regardless of whether the reviews are being done by Department or Consultant staff. At a minimum, a District Project Manager must participate in the entrance and exit interviews associated with the review.

If the review is conducted by a Consultant Team, the Team will provide a draft report, including any identified findings or recommendations, to the District. The draft report must include all attachments related to or documenting any of the findings and/or recommendations. The report will include three sections: General Grant Requirements, Maintenance Audit and System Safety Review. The District must accept the draft report. It is acceptable to ask for clarifications or changes prior to accepting the report. The District accepted final report will be sent to the grantee with a cover letter, on Department letterhead, outlining the timeframe in which the grantee needs to provide a

plan to the District which resolves findings identified in the final report. The grantee response to the District must include a timeline in which the grantee plans to have all of the identified findings resolved and closed.

The District can accept the sub-recipient corrective action plan or identify in writing what is not acceptable in the sub-recipient corrective action plan. District Project Managers are encouraged to request assistance from their Consultant Teams or Central Office staff at any point in the process. It is not acceptable to have unresolved findings continually show up on the same sub-recipient's Triennial Review.

The Central Office has also provided the ***Maintenance Oversight Review Process***; the ***Third-Party Procurement Review Process***; the ***Single Audit Compliance Process***; the ***Title VI Program Compliance Process***; and the ***Charter Service Technical Assistance, Monitoring, and Reporting Process*** to assist in determining if a Grantee is in compliance.

District Project staff will complete the ***Grantee Compliance Report*** by April 1 annually. The ***Grantee Compliance Report*** allows the District to record areas of concern with Grantees, identify areas where additional technical assistance is needed and keep a record of Grantee compliance with all program requirements. The ***Grantee Compliance Report*** will be sent to the Central Office by April 1 annually for inclusion in our Federal Transit Administration reporting.

### **Finding Prioritization**

The following is an overview of how the Department desires to have findings categorized. Each consulting firm will prioritize the findings identified in the report. Anything that is considered a clear and present danger to the public and/or grantee employees, or is clearly an illegal use of public funds, must be reported immediately to the District Office Project Manager. All other findings will be placed into the following ranking system. Time limits on corrective actions can vary depending on the type of finding. Agencies understand local limitations better than anyone so they should propose the time needed to complete the corrective actions. Each District has the right to reject those proposals based on legitimate concerns.

- **Priority 1 Finding:** Corrective actions that require immediate action from the grantee and requires district site monitoring until complete. These type of findings typically consist of safety related findings that have the potential of becoming a danger to the public and/or agency employees. Priority 1 findings are top priority and should be the initial main focus of any corrective action plan.
- **Priority 2 Finding:** Corrective actions that require action taken in a reasonable amount of time (typically 30 to 90 days) requiring multiple and/or sequential actions. For example, if a grantee is not following its own procedure they may need to do employee training that spans over a 30-90 day time period. They will need time to develop the curriculum, implement the training, and monitor its



success before clearing the finding. Districts will monitor each step to verify that the grantee is making progress.

- **Priority 3 Finding:** Category three findings usually require a change in policy and/or operational actions taken. An example is an incomplete, or nonexistent, plan such as a System Safety Plan, Maintenance Plan, etc. The grantee will need to write the plan and then submit for approval. The District will then need to verify that the grantee implemented and practices the requirements. These are usually findings that require long term corrective actions. No corrective action should exceed beyond a twelve month period without concurrence from both the Central and District Offices.
- **Priority 4 Findings:** Corrective actions that involve minimal effort and are not time sensitive. An example is missing documents that are easily obtainable.

**Note: Consulting firms performing reviews for the department.** - *The Department is responsible for oversight compliance therefore each district has the right to accept or reject a review, remove findings, add findings, or modify the report. The Department owns the report. All communications with the agencies must have district concurrence. All approvals or rejections are made by the Department, but consulting services must be available to answer questions on any review they performed until all findings are closed.*

## **CENTRAL OFFICE RESPONSIBILITIES**

The Central Office Subject Matter Experts (SMEs) will develop tools, technical assistance and training for District Project Managers and Grantees based on District identification of areas of concern. Central Office SMEs will coordinate and provide training in each oversight area for District Project Managers. The training will focus on spotting “red flags” during oversight reviews. Program specific training will be provided to Grantees as requested. The Central Office will provide a statewide contract that Districts may purchase services from that ensures qualified consultants are available for the District Triennial Reviews. The Central Office Federal Grant Programs Manager will file the annual **Grantee Compliance Reports** with FTA annually.

## **RESOURCES**

**Maintenance Compliance:** The Central Office created a contract that provides the technical resources for the District to complete Triennial Maintenance Reviews. To access these services the District needs to contact the Transit Operations Administrator to request services and schedule reviews. The Central Office covers the cost of these services. The Central Office also provide technical resources to grantees for the development of Maintenance Plans, Best Practices and training. To request technical assistance or training on Maintenance Compliance, please contact the Transit Operations Administrator. *References: SMP Process MRP 100; [49 CFR 18.32\(a\)](#), [18.32\(b\)](#); [FTA C](#)*

[9040.1F](#), Ch. VI; [FTA C 9070.1G](#), Ch. VI; [FTA C 9050.1](#), Ch. VI; [FTA C 9045.1](#), Ch. VI; and [FTA C 5010.1D](#), Ch. II

**Single Audit Compliance:** The Single Audit Process outlines how the Department does oversight of its grantees in regards to Single Audit requirements. Additional assistance is provided by the Single Audit Specialist. *References:* [SMP Process SAP 100](#); [49 CFR Part 18](#); [Single Audit Act Amendment of 1996](#); [OMB Circular A-133](#); [FTA C 9040.1F](#); [FTA C 9070.1G](#); [FTA C 9050.1](#); and [FTA C 9045.1](#)

**ADA Compliance:** ADA Compliance responsibilities fall under several different program areas. The Central Office has contracted for ADA issue assistance. Technical assistance in ADA issues can be requested by contacting the Transit Operations Administrator. *References:* [Titles II and III of the Americans with Disabilities Act of 1990](#); [49 CFR Part 27](#); [49 CFR Part 37](#); [49 CFR Part 38\(b\)](#); [FTA C 9040.1F](#); [FTA C 9070.1G](#); [FTA C 9050.1](#); and [FTA C 9045.1](#)

**DBE Program Compliance:** The Federal Grants Manager heads up the Transit Office team dealing with DBE Compliance. If you have DBE Program Compliance questions please contact the Federal Grants Manager. If you want to request grantee training, please contact the Grant Programs Administrator. *References:* [SMP Process DBE 100](#); [FTA Master Agreement](#); [49 CFR Part 26](#); [Executive Order 11988](#); [FTA C 9040.1F](#); [FTA C 9070.1G](#); [FTA C 9050.1](#); and [FTA C 9045.1](#)

**Title VI Program Compliance:** The Central Office and District 2, under contracts with CUTR and HDR, have developed several tools to assist with Title VI Compliance. There is an instructional power point available that explains the Title VI program and what is required in a Title VI Plan. There is also a Title VI Plan Template available for use by grantees. If you wish to request Title VI training, please contact the Grant Programs Administrator. *References:* [SMP Process T6P 100](#); [Title VI of the Civil Rights Act of 1964](#); [49 CFR Part 21](#); [FTA C4702.1B](#); [Executive Order 13166, Improving Access to Services for Persons with Limited English Proficiency](#); [FTA C 9040.1F](#); [FTA C 9070.1G](#); [FTA C 9050.1](#); and [FTA C 9045.1](#)

**Procurement Compliance:** The Central Office has developed several tools to assist grantees in complying with State and Federal purchasing requirements. The Procurement Process and checklist are a part of the State Management Plan. There is a Procurement Handbook and a Procurement Policy template available for use by grantees. To request Procurement Compliance technical assistance or training, please contact the Florida TRIPS Manager. *References:* [SMP Process PP 100](#); [29 CFR Parts 4 and 5](#); [41 CFR Parts 50-201 and 50-206](#); [49 CFR Part 18.36](#); [FTA C 4220.1F](#); [FTA C 9040.1F](#); [FTA C 9070.1G](#); [FTA C 9050.1](#); [FTA C 9045.1](#); [FTA C 9300.1B](#); and [FTA C 8100.1C](#)

**Charter and School Bus Program Compliance:** The Central Office has developed several tools for District staff and grantees to assist with compliance issues associated with

Charter and School Bus Program requirements. These resources are a part of the State Management Plan. To request technical assistance and/or training on the Charter or School Bus Program Compliance issues, please contact the Grant Programs Administrator. *References:* [SMP Process CSP 100](#); [49 CFR Part 604, Charter Service Final Rule](#); [49 CFR Part 605, School Bus Operations](#); [FTA Master Agreement](#); [FTA C 9040.1F](#); [FTA C 9070.1G](#); [FTA C 9050.1](#); and [FTA C 9045.1](#)

**Reporting:** For assistance with issues on grantee compliance reporting, please contact the Transit Operations Administrator or the Section 5310 contact person. For assistance with Rural NTD reporting issues, please contact the Florida RTAP Manager. For assistance with Urban NTD issues, please contact the Urban NTD Program Specialist Transit Planner. *References:* [FTA C 9070.1G](#); [FTA C 9030.1E](#); [FTA C 5010.1D](#); [FTA C 9040.1G](#); [FTA C 8100.1C](#); [FTA Master Agreement](#); [49 CFR Part 18](#); [Public Law 109-282, Federal Funding Accountability and Transparency Act of 2006](#); [49 CFR Part 20](#); [OMB Standard Form LLL](#); [49 CFR Part 633](#); [Executive Order 11988](#); [49 CFR Part 26](#); and [49 CFR Part 604, Charter Service Final Rule](#)

**Safety/Security:** The Central Office provides several resources in the areas of Safety and Security Compliance. A System Safety Plan template is available for use by grantees. To request technical and oversight monitoring assistance, please contact the Transit Safety Programs Manager. *References:* [SMP Process SSP 100](#); [F.S. 341.061\(2\)](#); [Rule 14-90, F.A.C.](#); and [Transit Office Procedure 725-030-009](#)

**Drug and Alcohol Program Compliance:** The Central Office contracts with the Center for Urban Transportation Research to provide Drug and Alcohol Program Compliance. For technical assistance and training, please contact the Transit Safety Programs Manager or Diana Byrnes at 813-426-6980. *References:* [49 CFR Part 655](#); and [49 CFR Part 40](#)

**Financial Compliance:** Triennial Reviews will be conducted in a manner to verify that the grantee is financially sound. A review of grantee records should be conducted to ensure federal requirements are being met and expenses are being supported and reported in an appropriate manner. *References:* [FTA C 9070.1G](#); [FTA C 9030.1E](#); [FTA C 5010.1D](#); [FTA C 9040.1G](#); [FTA C 8100.1C](#); [FTA Master Agreement](#)

## The Central Office Subject Matter Experts (SMEs) Contact List

Title:	Contact Information:
Federal Grants Manager	Jon Ausman 850-414-4519 <a href="mailto:jon.ausman@dot.state.fl.us">jon.ausman@dot.state.fl.us</a>
Florida TRIPS Manager	Erin Schepers 850-414-4526 <a href="mailto:erin.schepers@dot.state.fl.us">erin.schepers@dot.state.fl.us</a>
Grant Programs Administrator	Liz Stutts 850-414-4530 <a href="mailto:Elizabeth.Stutts@dot.state.fl.us">Elizabeth.Stutts@dot.state.fl.us</a>
Section 5310	Kristin Gladwin 850-414-4239 <a href="mailto:kristin.gladwin@dot.state.fl.us">kristin.gladwin@dot.state.fl.us</a>
Single Audit Specialist	Sandy Watson 850-414-4325 <a href="mailto:Sandy.Watson@dot.state.fl.us">Sandy.Watson@dot.state.fl.us</a>
Statewide CAP & Florida RTAP Manager	Mike Wright 850-414-4529 <a href="mailto:michael.wright1@dot.state.fl.us">michael.wright1@dot.state.fl.us</a>
Transit Operations Administrator	Bobby Westbrook 850-414-4533 <a href="mailto:Robert.Westbrook@dot.state.fl.us">Robert.Westbrook@dot.state.fl.us</a>
Transit Safety Programs Manager	Victor Wiley 850-414-4525 <a href="mailto:Victor.Wiley@dot.state.fl.us">Victor.Wiley@dot.state.fl.us</a>
Urban NTD Program Specialist	Chris Wiglesworth 850-414-4532 <a href="mailto:chris.wiglesworth@dot.state.fl.us">chris.wiglesworth@dot.state.fl.us</a>



# **TRIENNIAL REVIEW GUIDE**

**5307 only (Block Grant) SUBRECIPIENTS**

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## INTRODUCTION

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### FDOT COMPLIANCE MONITORING PROGRAM

#### Goal

The goal of the Florida Department of Transportation Compliance Monitoring Program (CMP) is to provide a consistent and thorough review of the compliance practices of FDOT subrecipients that receive Federal funding under 49 U.S.C. § 5305 (d), 5310, 5311 and those 5307 grantees that receive State funding under the Block Grant, Service Development, Transit Corridor, Park and Ride Lot or Commuter Assistance programs. All parties completing Triennial Reviews for the Department must perform them in a manner compliant with the Triennial Review Process and each subsequent process listed in the State Management Plan (SMP).

#### General Approach

FDOT will adopt a risk-based approach in conducting on-site periodic compliance reviews of its federally funded subrecipients/grantees. In this approach, FDOT will conduct compliance reviews of **all** subrecipients in the Section 5305(d), 5310, and 5311, programs once every three years (100 percent sample coverage). The FDOT will also conduct compliance reviews of state funded public transit systems subject to the requirements of F.A.C., Rule 14-90 once every three years.

FDOT District offices may employ the services of its technical assistance consultant to conduct the reviews. This will ensure impartiality in the conduct of the reviews and ensure that the reviewers possess the technical competence to conduct the reviews. FDOT will accompany the consultants on each review.

A principle tenant of the FDOT approach to the Compliance Monitoring Program is the provision of technical assistance. The consultant team will be required to assist each grantee under review to understand the requirements of any particular circular, rule, regulation or law, to provide copies of relevant regulatory citations and technical assistance materials, and to render additional assistance in grantee remedy of findings, as necessary.

The process will consist of both a desk review and an on-site visit by the review team and FDOT. Following each site visit, the consultant review team will issue a report outlining the areas reviewed, compliance deficiencies, actions necessary by the grantee to remedy the deficiency, and the timeframe for corrective action.

The grantee must be **notified by the FDOT District Office, in writing, at least 45 days prior to a triennial review (formal email notification, with a FDOT District Office signed document attachment is acceptable)**. The district office should coordinate scheduling of the onsite review with the grantee prior to written notification.

Written notification to the grantee should also include a request for pre-audit materials for the desk review. The review team will complete the desk review and then, with the District's assistance, coordinate the on-site review with the grantee. Documentation requested will allow the reviewers to maximize its familiarity with the grantee and to create onsite review checklists and review agenda prior to beginning on-site review activities. This process will ensure maximum utilization of on-site review time. Additional materials and/or follow up materials to those provided by the grantee may be required during the on-site review, including more detailed records and documents. Please note that some documents, materials, and other items requested in the pre-audit request may not have the exact name at the grantee, so grantee personnel should feel free to state, or to suggest an alternate item/document that contains the information requested. The grantee should clearly note location of items requested if contained within the SSPP or other safety plan document. Pre-audit materials that should be requested by the review team for reviews of systems receiving 5307 and 5311 funds should include, but not limited to:

1. General Information

- a. Organizational Chart with position responsibility (should cover from General Manager/Director to operating employees)
- b. Operational standards and procedures
- c. Employee handbook
- d. Dispatch policies/procedures
- e. Routes and Service schedules
- f. Bus driver selection policies and procedures
- g. Records retention policy

2. Asset Inventories

- a. List of all vehicles, make, models
- b. List of all items purchased with state and/or federal funds

3. The Approved System Safety Program Plan and associated procedures and policies. (Bus Transit System Operational Standards -Rule 14-90.004 F.A.C.). If the following are not part of your printed SSP, please include these as well:

- a. Safety policy documents and any Current Safety Bulletins
- b. Wireless Communications Policy/Plan
- c. Driver hours of service policy/procedures (driving hours and work period's policy)



- d. Background check policy / procedures
  - e. License check policy/procedures
  - f. Copy of Accident/Event investigation policies and procedures
  - g. Include a list of Investigations for the last three years (select at least 10%, but no less than 5 complete files, to review onsite). Review investigation files for at least 3 major events. Review of files should include notifications, investigation activities, determination and any findings, corrective actions, and follow up activities (opened and close during the last three years).
  - h. Hazard identification and resolution policy/procedure
    - i. Copy of hazard analyses and/or investigations for the last three years (select at least 10%, but no less than 5 complete files to review onsite). Review of files should include analysis and/or investigation activities, determination and any findings, corrective actions, and follow up activities (opened and close during the last three years).
  - i. Any annual and/or periodic safety and hazard reports & analyses of data prepared for management
  - j. SSPP polices/requirements for contractors
  - k. Medical Examinations policy/procedures
    - i. Request a copy of the medical form/standards use by the Grantee. (Driver completed medical certifications are reviewed onsite only)
    - ii. Grantee Should provide the Medical Examiner Office and address
  - l. Any safety certification materials
    - i. Drug Free Workplace Policy (reviewed by Mrs. Diana Byrnes, C-SAPA)
    - ii. Substance Abuse Management Policy (reviewed by Diana Byrnes, C-SAPA)
4. Transportation service policies
    - a. Complimentary ADA paratransit plan (if applicable)
  5. Title VI program plan
  6. Vehicle Maintenance Plan
    - a. 12-month history of vehicle maintenance files

- b. Sampling of pre- and post-trip inspection forms
  - c. Sampling of road call reports
- 7. Facility Maintenance Plan
  - a. List and location of all grantee maintenance and operating facilities
- 8. Project management documentation
  - a. Lobbying certifications
- 9. Financial management documentation
  - a. Appropriate match
  - b. In-kind match verification
- 10. Procurement Policy
  - a. Procurement files
  - b. Third-party contract approvals
- 11. DBE program, including reports
- 12. ADA policies, including complimentary ADA service plan if operating fixed route service
- 13. EEO program, if applicable
- 14. Drug Free Workplace Policy
- 15. Employee training policies, procedures, and manuals (include list of courses and syllabuses)
  - a. Copy of initial and refresher course syllabuses
- 16. Internal audit reports, findings, and corrective action plans implemented during the last three years (opened and closed)
- 17. Other items that the review team and/or FDOT District Office believes relevant to the review

Both FDOT and the grantees will be provided 30 days to compile and upload desk review items. The review consultants will have a minimum of 14 days desk review time prior to conducting the site visit.

### **Standardized Review Guide**

To ensure equitable treatment and consistency among the various review teams that will be used by the compliance consultant, FDOT or its consultant will use a standard Triennial Review guide that will explain the review process and provide the grantee with all questions and subject areas that will be part of the compliance review.

## TECHNICAL ASSISTANCE

The focus of the Compliance Monitoring Program will be both compliance *and* technical assistance. Technical assistance will be provided:

- ◆ As necessary during the data compilation period (assistance with data uploads);
- ◆ On-site while explaining preliminary compliance findings during an exit conference;
- ◆ After release of the draft report, assisting the grantee understand the nature of the deficiency;
- ◆ In the development of grantee remedial action to the deficiency; and
- ◆ To FDOT as systemic compliance problems arise in the course of the reviews.

## COMPLIANCE REPORTS

Draft and final reports will be issued.

### **Draft Report**

The draft Triennial Review report will be organized by subject matter, consistent with the organization of the Triennial Review Guide. Some subject areas may be consolidated for efficiency in the on-site review process.

Within 30 days after the site review, the review consultant will issue the draft compliance report for review by the District Office. The report will provide narrative on the following subject areas:

- ◆ Overview of the process
- ◆ Participants in the process
- ◆ An overview of the general compliance elements of each subject
- ◆ The results of the review in each subject area
- ◆ Identification of deficiencies in the subject area
- ◆ Recommended remedial actions
- ◆ Timeframe for grantee remedy.

At the end of each report, all compliance findings will be summarized in tabular form.

The District Office will have 15 days to complete its review of the draft report and provide it to the grantee.

### **Grantee Review and Response**

The grantee will have 30 days to review the draft final report.

During this review period, the grantee may present additional information regarding compliance actions in the event the grantee disagrees with a review finding. Any such

rebuttals will be mutually reviewed by FDOT and the review consultants so that a final determination may be made.

During the review period, the grantee will have opportunity to begin remedy of the finding. To the extent possible, FDOT will encourage grantee to utilize the review period to prepare remedies for identified compliance deficiencies.

The grantee's response, along with all proposed remedial actions that may have been accomplished during the review period, will be submitted to the review consultant for determination of potential closure of the finding.

### **Final Report**

Following receipt of the grantee's response, the District will issue the Final Report.

The final report will document which findings have been satisfactorily addressed and closed during the review period. For all remaining open findings, the grantee will have agreed to the proposed timeframe for remedy and will initiate work on corrective actions pursuant to that schedule.

The District will be responsible for monitoring subsequent corrective actions and findings closure after issuance of the final report. The District will report to the Central Office any grantee who fails to remediate any finding within the specified timeline for further action.

In the sections that follow, the subject areas and questions that may be asked during the review are detailed.

#### **1. The formal review report shall contain the following:**

- a. Name and address of the Grantee, the dates the review was conducted, and the name of each reviewer.
- b. Specific items reviewed and a description of any deficiencies, unsafe conditions, or areas of concern.
- c. A requirement for the bus transit system to develop and submit a corrective action plan (CAP) and implementation schedule for each deficiency and /or area of concern within 30-calendar days from the date of the final report.
- d. A requirement that the bus transit system verify in writing, completion of required corrective action(s).
- e. A description of any Department planned follow-up activities
- f. The district must notify the Grantee of its approval or rejection of each corrective action and implementation schedule within 15-calendar days of receiving the plan. In the event the district office rejects a CAP, the district office shall state its reasons in writing and recommend revisions. The district shall require the bus transit system to submit a revised CAP and

implementation schedule, for each CAP not approved, no later than 15-calendar days following receipt of the notification.

- g. (Rule 14-90.012, F.A.C.) – If the District determine during the review that the Grantee that a deficiency or unsafe condition exist, to the extent that the continued operation of the system, or a portion thereof, poses an immediate danger or threat to public safety, they are required to:
- Immediately notify the Grantee of the unsafe condition, followed by a certified letter describing the deficiency or unsafe condition. The notification shall include the following. (The normal 30-day window is not required)
    - The immediate required corrective action for the deficiency or unsafe condition.
    - The requirement for the bus transit system to certify, in writing to the Department, the completion of the required corrective action in accordance with an established implementation schedule
    - Conduct an on-site review of the Grantee to verify the correction of the deficiency in accordance with this rule and the established implementation schedule.
    - Suspend affected passenger service operations if the Grantee fails to correct the deficiency in accordance with this rule and the established implementation schedule.
2. If a deficiency or unsafe condition is immediately corrected prior to the final report, a complete description of the deficiency, unsafe condition, or threat and completed corrective action will be documented in the final report. For other deficiencies, a detailed Corrective Action Plan (CAP) and implementation schedule for each item is required to be developed by the Grantee within 30-calendar days of the date of the final report and submitted to the District for approval. (Please allow time for delivery of the final report).
3. The District Office must reserve the right to conduct a follow-up review to verify completion of corrective action(s) that resulted from the safety and security review. The District Office should conduct a follow-up review to verify completion of a corrective action that resulted from a deficiency or unsafe condition that existed to the extent that continued operation of system or a portion thereof, posed an immediate danger or threat to public safety.

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## SECTION 1. SELECTION AND ELIGIBILITY/ELIGIBLE SERVICES

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### FTA FUNDS RECEIVED BY GRANTEE

States and grantees must be eligible under the specific requirements of the FTA programs and have the legal, financial, and technical capacity to carry out the proposed program of projects.

1. What are the Federal funds received by this grantee during the last three years (check all that apply)?

- Section 5311     Section 5310     Section 5305(d)     New Freedom  
 Section 5307     Transit Corridor     Service Development     JARC  
 Other \_\_\_\_\_

2. What best describes this project? Please provide a short description (For example, for 5310 public transportation projects that improve access to fixed-route service and decrease reliance on complementary paratransit etc.)

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3. Does the grantee receive any state funds from the Block Grant, Commuter Assistance, Park and Ride Lot, Service Development or Transit Corridor programs?

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### ORGANIZATIONAL STATUS OF THE GRANTEE

4. What is the organizational status of the grantee and does this grantee qualify as an eligible grantee the Federal funds received by this grantee? Provide a short description. (For example, for 5310 is the grantee a private nonprofit organization, local government etc.)

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5. What type of activities were funded under:

a. Section 5311:

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b. Section 5310:

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c. Section 5305(d):

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d. Section 5307:

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e. New Freedom:

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f. JARC:

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g. Transit Corridor:

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h. Service Development:

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i. Other:

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## LOCAL MATCH/FINANCIAL CAPABILITY

Funds may be used to finance capital and operating expenses. The federal share of eligible capital costs shall be in an amount equal to 80 percent of the net cost of the activity. The federal share of the eligible operating costs may not exceed 50 percent of the net operating costs of the activity.

The local share may be provided from an undistributed cash surplus, a replacement or depreciation cash fund or reserve, a service agreement with a state or local service agency or private social service organization. Some examples of these sources of local match include: state or local appropriations; dedicated tax revenues; private donations; revenue from service contracts; transportation development credits; and net income generated from advertising and concessions. Non-cash share such as donations, volunteered services, or in-kind contributions is eligible to be counted toward the local match as long as the value of each is documented and supported, represents a cost which would otherwise be eligible under the program, and is included in the net project costs in the project budget.

Income from contracts to provide human service transportation may be used either to reduce the net project cost (treated as revenue) or to provide local match for operating assistance. In either case, the cost of providing the contract service is included in the total project cost. No FTA program funds can be used as a source of local match for other FTA programs, even when used to contract for service. All sources of local match must be identified and described in the grant application at the time of grant award.

In addition, the local share may be derived from federal programs that are eligible to be expended for transportation, other than DOT programs, or from DOT's Federal Lands Highway program. Examples of types of programs that are potential sources of local match include: employment, training, aging, medical, community services, and rehabilitation services. Specific program information for other types of federal funding is available at [www.unitedweride.gov](http://www.unitedweride.gov).

It is also imperative to determine if the grantee has the financial capability to accept and manage the federal funds.

1. What are the sources funds being used to generate the local match? Are these sources non-Federal as defined above?

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2. Is the grantee generating sufficient local match for the grant?

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3. Does the grantee appear financial sound?

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4. Do grantee financial records appear to be maintained using Generally Accepted Accounting Principles? Can funds be traced to level of expenditures?

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5. Is the grantee charging indirect costs? If so, has the District approved their indirect cost rates/plan?

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6. Sample invoice to ensure reported expenditures are supported by the proper documentation?

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7. Project Management:

a) Is recipient implementing a capital grant with its own workforce? If so, does the grantee meet the requirements of needing a force account plan?

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b) If recipient is doing facility construction or rehabilitation, review their monitoring and oversight process for the construction project.

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## SECTION 2. EQUIPMENT MANAGEMENT

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### EQUIPMENT – GENERAL (NON-VEHICLE OR FACILITY)

Any property (equipment, furniture and fixtures, vehicles, buildings, and land) purchased with Federal or state funds administered by the FDOT and valued at \$5,000 or more must be accounted for in the grantee fixed asset listing. The asset listing is to contain the federally required information outlined in the Common Rule and generally accepted accounting principles, as appropriate.

Each capital items shall be assigned a unique identification number throughout its life; the identification number should not be reused. Equipment purchased as an integral part of the vehicle does not need to be separately inventoried; for example, a lift or destination sign that is purchased as part of a vehicle does not need to be inventoried. Capital items are to be depreciated in accordance with generally accepted accounting principles. However, depreciation expense is not an allowable reimbursable cost to Federal programs if purchased, in part or in whole, with federal funds.

#### **Guidance Regarding Useful Life of Equipment**

FTA provides a useful life policy for rolling stock, trolleys, ferries, facilities, and some equipment. Where a useful life policy has not been defined by FTA, the grantee, in consultation with the FTA regional or metropolitan office shall “make the case” by identifying a useful life period for all equipment and facilities with an acquisition value greater than \$5,000 to be procured with Federal funds. Because the FDOT is the grantee, our grantees must propose and identify a useful life for the capital asset to be purchased with Federal funds. The grantee should identify the method used to determine the useful life. Acceptable methods to determine useful life include but are not limited to:

- *Generally accepted accounting principles.*
- *Independent evaluation.*
- *Manufacturer’s estimated useful life.*
- [Internal Revenue Service guidelines](#)
- *Industry standards.*
- *Grantee experience.*
- *The grantee’s independent auditor who needs to concur that the useful life is reasonable for depreciation purposes.*
- *Proven useful life developed at a Federal test facility.*

FTA approval of the Department’s grant and the execution of the grantee joint participation agreement represents FTA concurrence of the final determination of useful life for the purpose of project property acquisition. This in turn will identify the useful life of the Federal interest for the disposition of the project property in later years.

## Determining Useful Life for Project Property

For all State administered programs the State is responsible for approving the useful life proposed by the grantee. In the grant application, the grantee shall propose and identify a useful life for the capital asset to be purchased with Federal funds. The department recommends using [Internal Revenue Service guidelines](#) when determining useful life for project property/equipment. The grantee should make sure to check these guidelines for changes on a regular basis.

1. Does the grantee use all equipment acquired with FTA or state funds in a manner consistent with the original project application or purpose?

Yes    No

2. Does the grantee have any project equipment that is no longer needed for transportation purposes?

Yes    No

If "Yes," has the grantee notified FDOT that the equipment is no longer needed for program purposes?

Yes    No

3. How does the grantee document inventory of non-vehicle assets with a federal or state interest?

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4. Has the grantee disposed of any project equipment during the last three years?

Yes    No

If "Yes," had the equipment exceeded its useful life as determined by FDOT?

Yes    No

If "No," did the grantee notify FDOT for transfer to another transit program?

Yes    No

5. Does the grantee maintain property/asset records for all equipment acquired with FTA funds?

Yes    No

If "Yes," are all the required data elements contained in the inventory record?

Yes	No	Requirement
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<input type="checkbox"/>	<input type="checkbox"/>	Description of the property
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<input type="checkbox"/>	<input type="checkbox"/>	Serial number or other identification numbers
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Yes	No	Requirement
<input type="checkbox"/>	<input type="checkbox"/>	Source of the property (grant source, program number)
<input type="checkbox"/>	<input type="checkbox"/>	Name of the title holder
<input type="checkbox"/>	<input type="checkbox"/>	Acquisition date
<input type="checkbox"/>	<input type="checkbox"/>	Cost
<input type="checkbox"/>	<input type="checkbox"/>	Percentage of Federal participation in the cost of the property
<input type="checkbox"/>	<input type="checkbox"/>	Location of the equipment
<input type="checkbox"/>	<input type="checkbox"/>	Use and current condition
<input type="checkbox"/>	<input type="checkbox"/>	Disposition information (if applicable), including date of disposal and sales price

6. If the grantee disposed of any project equipment prior to the end of useful life via a transfer to another project, what methods were used to establish fair market value?

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7. Has the grantee transferred any project equipment with remaining useful life to another entity?

Yes     No

If "Yes," did the grantee transfer real property to another entity eligible to receive assistance under 49 U.S.C. Chapter 53?

Yes     No

If "Yes," Did FDOT approve of the transfer?

Yes     No

## PROPERTY MANAGEMENT AND CONTROL (VEHICLE AND FACILITY)

The Common Rule requires all recipients and grantees adopt property management standards for all equipment acquired under any program. Property management records must adhere to the elements specified in this section.

A control system shall be in effect to insure adequate safeguards to prevent loss, damage, or theft of the equipment. Any loss, damage, or theft of equipment shall be investigated and fully documented; if the equipment was purchased with FDOT administered federal or at least 50% state funds, and had not passed the end of its useful life, the grantee shall promptly notify FDOT.

Grantees shall, at a minimum, provide the equivalent insurance coverage for real property and equipment acquired with Federal funds or 50% state funds as provided to property owned by the recipient.

Grantees must carry insurance on vehicles, equipment, and facilities to cover the federal interest and state interest in the asset.

If a vehicle is out of service more than 30 days, transit providers must provide written notification to the appropriate FDOT Program Manager. For the period of time the vehicle is out of service, the transit provider must ensure that the time does not count toward the minimum useful life; accounting must stop the depreciation calculation. Additionally, incidental service mileage does not count toward the minimum useful life mileage.

1. Does the grantee maintain satisfactory continuing control over all FDOT administered federally funded assets (e.g., maintains direct control over the asset)?

Yes     No

If "No," has the grantee leased equipment to another entity?

Yes     No

If "Yes," is there a formal agreement between the parties?

Yes     No

If "Yes," does the lease:

Yes	No	Lease Requirement
<input type="checkbox"/>	<input type="checkbox"/>	Specify FDOT interest in the vehicle?
<input type="checkbox"/>	<input type="checkbox"/>	Specifies permissible/non-permissible incidental use of the vehicle?
<input type="checkbox"/>	<input type="checkbox"/>	Require lessee to perform vehicle maintenance in accordance with OEM recommendations?
<input type="checkbox"/>	<input type="checkbox"/>	Assign insurance responsibility and all appropriate hold-harmless/indemnification provisions?

**Yes    No    Lease Requirement**

       Have a finite period of performance?

       Notification protocols in the event the vehicle is involved in an accident?

2. Has the grantee suffered any casualty loss of project equipment during the last three years?

Yes     No

If "Yes," did the grantee receive an insurance settlement?

Yes     No

Did the grantee request guidance from FDOT on the procedures for re-investing the settlement proceeds in a replacement vehicle?

Yes     No

3. Does the grantee utilize project equipment for use on other projects or programs supported directly or indirectly by the Federal government?

Yes     No

## EQUIPMENT MAINTENANCE

Grantees are required to certify that any property purchased under the project shall be used for the provision of specialized transportation services within the grantee's service area or other areas as described in the grant application, and for the life of the equipment or facility in compliance with the property management standards of 49 CFR part 19.30 through 19.37.

FDOT requires all grantees who utilize assets purchased with federal and/or state funds to submit a comprehensive maintenance plan that will include, at a minimum, procedure for maintaining vehicles, facilities and ADA accessibility features.

Grantees must maintain an up-to-date vehicle file for each vehicle containing key identification information and all information about maintenance events.

The grantee must insure that all vehicles under its control and all required accessories on the vehicles, are regularly checked and inspected, maintained, and lubricated to ensure that they are in safe operating condition. The grantee must have a means of indicating the types on inspection, maintenance, and lubrication operation to be performed on each vehicle and the date or mileage that these operations are due. The Triennial Maintenance Audit will review all areas associated with vehicle maintenance for both state and federally funded vehicles.

1. Does the grantee preventative maintenance plan include the required elements?

Yes     No

2. Does the grantee have a facility maintenance plan for federally or state funded facilities?

Yes     No

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## SECTION 3. PROJECT AND FINANCIAL MANAGEMENT

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### AUDIT

1. Review the grantee’s most recent A-133 audit performed in accordance with the Single Audit Act. Ask the grantee if there are any audit exceptions included in the audit, and discuss these with the grantee to determine the nature and severity of the exceptions. Review the Recipient/Grantee Single Audit Procedure No. 450-010-001. Contact the Statewide Grant Coordinators at 850-414-4391 to determine if there are additional single audit issues that need to be resolved. *(An A-133 audit is required for any entity that exceeds \$750,000 or more in Federal awards in a single year. If the entity expends less than \$750,000 in Federal awards in a year they are exempt from the Federal audit requirements for that year.)*
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## SECTION 4. PROCUREMENT

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### ACQUISITION METHODS

Grantees must comply with state procurement requirements contained in the current Florida Statutes, Chapter 287. States and designated recipients are responsible for ensuring that grantees are aware of and comply with these additional requirements.

1. Does the grantee have an agency purchasing policy?

Yes     No

If “Yes”, does the grantee’s purchasing policy incorporate Federal and state purchasing rules?

Yes     No

2. Has the grantee made any other purchases?

Yes     No

If “Yes”, review a sampling of procurements to determine if the grantee followed their purchasing policy and utilized the Third Party Checklist found in the Procurement Guidance for Transit Agencies.

Yes     No

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## SECTION 5. OTHER PROVISIONS

### CONTRACTING AND INVOICING RELATED QUESTIONS

1. List the types of funds grantee receives

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2. Fill out the following matrix for each funding program or contract (as applicable)

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Funding Program:		Contract/s:	
Review Item	Status	Comments	Action Item
Missing Documents in files			
Invoice issues			
Time extension/SJPA needs			
Work Program discussion			
Any other relevant topics (specify _____)			

Funding Program:		Contract/s:	
Review Item	Status	Comments	Action Item
Missing Documents in files			
Invoice issues			
Time extension/SJPA needs			
Work Program discussion			
Any other relevant topics (specify _____)			

Funding Program:	Contract/s:
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<b>Review Item</b>	<b>Status</b>	<b>Comments</b>	<b>Action Item</b>
Missing Documents in files			
Invoice issues			
Time extension/SJPA needs			
Work Program discussion			
Any other relevant topics (specify_____)			

At the end of the visit, ask the recipient if they have any questions about or problems with DOT policies and procedures that they need to discuss further. If questions arise that you are unable to answer immediately, make the commitment to follow up quickly.

## REPORTING (5307, 5311 & BLOCK GRANT)

Recipients that receive Section 5307, 5311, and State Public Transit Block grant funds must collect, record and report financial and non-financial data in accordance with the Uniform System of Accounts (USOA) and the National Transit Database (NTD) Reporting Manual. (49 USC 5335(a) and F.S. Chapter 341.052).

All other recipients are required to report based on reporting requirements identified in their JPAs (typically in Exhibit A for JPAs and Attachment A for SJPA).

1. When was the Recipient's last progress or quarterly report? Is it timely and consistent with the JPA/SJPA? Was it entered into or uploaded into TransCIP? (Recipient's projects in TransCIP should be reviewed prior to the on-site review.)

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2. When did the recipient last provide a complete report to NTD of all transit operations?

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3. How does the grantee ensure correct reporting of operating expenses for ADA complementary paratransit?

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4. What is the system for collecting unlinked passenger trip and passenger mile information? If the grantee uses automatic passenger counters (APCs), verify the agreement with NTD and note in this section. How does the grantee validate the counts throughout the year?

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## BLOCK GRANT RELATED QUESTIONS

1. Prior to conducting the site visit, review all block grant files pertaining to the recipient. Become familiar with the status of each project, fund balances, audit exceptions, Transit Development Plans, etc. Note any problems that have arisen in the past.

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2. What is the status of the TDP at the time of the visit? Has the TDP been adopted by the policy board and been reviewed by the MPO?

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3. Are recommendations for service changes in the TDP being adopted?

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4. Has FTA, the A-133 auditors or the Office of the Inspector General taken exception to or disallowed any of the recipient's National Transit Database (NTD) data in the past? If so what corrective actions have been taken?

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<<<<<<The following 5307 Maintenance Compliance Workbook will be used to evaluate the maintenance department during a maintenance review>>>>>>

## **MAINTENANCE REVIEW COMPLIANCE WORKBOOK FOR 5307 AGENCIES**

**2014-2015**

### **Preventative Maintenance Planning, Training, and Technical Assistance Program**



FLORIDA STATE UNIVERSITY  
COLLEGE OF BUSINESS  
Institute for Applied Business Research



This document was developed as a tool for compliance reviews pertaining to bus maintenance using state and federal requirements as outlined in the *FDOT Preventative Maintenance Standards Manual* and *Chapter 14-90 of State of Florida Statutes*. This workbook contains general standards against which these compliance reviews will be held.



<b>Grantee/Agency Being Reviewed:</b>	
<b>Date(s) of Review:</b>	
<b>Reviewer(s)</b>	

The following individuals were interviewed during the course of this review.

<b>Person</b>	<b>Title/Position</b>	<b>Date of Interview</b>

The following maintenance documents will be reviewed as part of the Bus System, Safety, and Security Review. Whenever possible, these documents will be reviewed prior to the site visit.

Document	Does the Grantee have one?		Has a copy been obtained?	
	Yes	No	Yes	No
<i>Maintenance Plan</i>				
<i>Fleet Roster</i>				
<i>Inspection Form(s)</i>				
<i>Driver's Pre-Trip/ Post-Trip Form</i>				
<i>Additional Forms Used (Specify Below)</i>				
<b>Number of Operational Buses:</b>				

<b>Vehicles that are Wheelchair Accessible:</b>	
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**Preliminary Review Notes:**

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## Review Questions

1. Who is primarily responsible for the maintenance oversight of the fleet?

2. How many locations do the buses operate out of?

Please identify the locations from which buses operate in the table below:

Primary Location	
Location 2 (if applicable)	
Location 3 (if applicable)	
Location 4 (if applicable)	

**CH. 14-90.004 (h)(4)(b) stipulates:**

*(b) That a recording and tracking system is established for the types of inspections, maintenance, and lubrication intervals, including the date or mileage when these services are due. Required maintenance inspections shall be more comprehensive than daily inspections performed by the driver.*

3. How is it determined when the buses are due for service? Computerized system or calculated manually?

4. Are all maintenance activities tracked and analyzed regularly? If so, who is responsible? How often does this occur?

**CH. 14-90.004 (h)(4)(c) stipulates:**

*(c) That proper preventive maintenance is performed when a bus is assigned away from the system's regular maintenance facility, or when maintenance services are performed under contract.*

5. Is any maintenance outsourced? YES or NO

If "YES," please explain?

**CH. 14-90.004 (h)(4)(d)(5) specifies that agencies record:**

*5. The name and address of any entity or contractor performing an inspection, maintenance, lubrication, or repair.*

6. What are the names of the shops used for outsourcing maintenance?

Name of Shop	Address	Specialty

**CH. 14-90.004 (h)(4)(d)** stipulates:

*(d) That records are maintained and provide written documentation of preventive maintenance, regular maintenance, inspections, lubrication, and repairs performed for each bus under their control. Such records shall be maintained by the bus transit system for at least four years.*

7. Where are the vehicle history files located? Are all maintenance files together or are there different files for warranty, annual inspections, etc.?
  
  
  
  
  
  
  
  
  
  
8. What are the target mileage/hours for the preventive maintenance inspections?
  
  
  
  
  
  
  
  
  
  
9. If any repairs are required as a result of a preventive maintenance inspection, how is that work scheduled (e.g. during the inspection or at a later date, different shop, etc.)?





15. Are any components replaced before failure? If so, what determined this procedure?

16. Are there any wear tolerance policies in place? (Tires, brakes, etc.) If so, what are they?

17. How are the buses fueled? How often are fluids checked between preventive maintenance inspections?

**CH. 14-90.006(7) stipulates that:**

*(7) Bus transit systems shall require preoperational or daily inspection and reporting of all defects and deficiencies likely to affect safe operation or cause mechanical malfunctions.*

18. During the driver's pre-trip inspection, is there a procedure in place if a safety defect is found?

19. After the driver's pre-trip inspection is completed, is the form turned in or does it remain with the driver until the end of the day? If turned in before departure, how are post-trip defects documented and recorded?

20. When the driver's Pre/post-trip Inspection Forms are turned in, where are they placed?

21. Who is responsible for reviewing the forms?

22. When are the driver's Pre/post-trip Inspection Forms reviewed?

**CH. 14-90.006 (7)(a)(1-12) stipulates that:**

*(a) An inspection or test shall be made of the following parts and devices to ascertain that they are in safe condition and in good working order:*

23. At a minimum, the driver’s Pre-trip Inspection Form must ensure that specific vehicle components are safe for operation. Does the form identify and record the condition of the following items?

Vehicle Component(s)	Yes	No
Service Brakes		
Parking Brakes		
Tires & Wheels		
Steering		
Horn		
Lighting Devices		
Windshield Wipers		
Rear Vision Mirrors		
Passenger Doors		
Exhaust System		
Equipment for Transporting Wheelchairs		
Safety, Security, and Emergency Equipment		

**CH. 14-90.006 (7)(b) stipulates that:**

*(b) Bus transit systems shall review daily inspection reports and document corrective actions taken as a result of any deficiencies identified by daily inspections.*

24. If a safety defect was found on a driver's Pre/post-trip Inspection Form during the review of the form, what is the procedure to ensure the defect is repaired before the bus returns to service?

25. After the defect is repaired, how is the repair verified on the Pre-trip Inspection Form? Check which of the following applies.

- Pre-Trip Inspection Form is signed and dated by the person conducting the repair.***
- Repair Order is attached to the pre-trip inspection form***

Please provide any additional notes as necessary.

**CH. 14-90.006 (7)(c) stipulates that:**

*(c) Bus transit systems shall retain records of daily bus inspections and any corrective action documentation a minimum of two weeks.*

26. How long are the driver's Pre/post-trip Inspection Forms kept on file?

**CH. 14-90.009 (1) stipulates that:**

*(1) Each bus transit system shall require that all buses operated by such bus transit system, and all buses operated by a private contract transit provider, be inspected at least annually in accordance with bus inspection procedures set forth in this rule.*

27. What is the procedure for the annual inspections? Be as specific as possible.

**CH. 14-90.009 (3)(a-u) stipulates that:**

*(3) Each bus receiving a safety inspection shall be checked for compliance with the safety devices and equipment requirements as referenced or specified herein. Specific operable equipment and devices as required by this rule chapter include the following (as applicable to Type I and II bus(es)):*

28. At a minimum, the Annual Safety Inspection Form will include an inspection of items identified in the table below. Does the Annual Safety Inspection Form include these items?

Item/Component	Is it included on the Annual Inspection Form?	
	Yes	No
Horn		
Windshield Wipers		
Mirrors		
Wiring and Battery(ies)		
Service and Parking Brakes		
Warning Devices		
Directional Signals		
Hazard Warning Signals		
Lighting Systems and Signaling Devices		



Handrails and Stanchions		
Standee Line & Warning Signage		
Doors and Interlock Devices		
Step Wells & Flooring		
Emergency Exits		
Tires & Wheels		
Suspension System		
Steering System		
Exhaust System		
Seat Belts		
Safety Equipment		
Equipment for Transporting Wheelchairs		

**CH. 14-90.009 (4)(a-f) stipulates that:**

*(4) A safety inspection report shall be prepared by the individual(s) performing the inspection which shall include the following:*

29. Does the Annual Safety Inspection Form include the following:

	Yes	No
Signature Line for inspector?		
Grantee/Agency identification?		
Date of the inspection?		
Bus ID/Unit #?		
Identification of equipment and devices inspected?		
Corrective action/Date?		

**CH. 14-90.009 (5) stipulates that:**

*(5) Records of annual safety inspections and documentation of any required corrective actions shall be retained a minimum of four years by the bus transit system for compliance review.*

30. How long are annual inspections kept on file?

**VEHICLE and FILE REVIEW**

31. How are files stored?

Files are located in: File folders \_\_\_\_\_ Binders \_\_\_\_\_ Other \_\_\_\_\_

32. What are the date ranges of files?

Date range of files reviewed: \_\_\_\_\_

33. Where are archived files kept?

Archived files are kept \_\_\_\_\_ for \_\_\_\_\_ years.

34. What type of forms are kept on file?

Form Name/Title	Description (if applicable)

35. The following vehicle files were reviewed.

Unit #*	Description if applicable

*\*Unit numbers are assigned by the grantee.*

Notes on files:

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36. The following vehicles were visually inspected.

Unit #*	Description if applicable

*\*Unit numbers are assigned by the grantee.*



Notes on vehicle condition:

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**EXIT INTERVIEW**

<b>Date(s) of Exit Interview:</b>	
<b>Interviewer(s)</b>	

The following individuals participated in the exit interview.

<b>Interviewee</b>	<b>Title/Position</b>	<b>Date if different than above</b>

Discussion Notes:

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Grantee/Agency contacts and contact information for future correspondence.

Person	Phone	E-mail

Notes:

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**System Safety Review Form**

1. **Drug Free Workplace (*Rule 14-90.004(3)(h), F.A.C.*):** In accordance with Florida Administrative Code, Rule 14.90; each Florida Bus Transit System (GRANTEE) is required to comply with the Federal Transit Administration regulations concerning the Prevention of Alcohol Misuse and Prohibited Drug Use in Transit Operations (49 CFR Part 655), as well as the USDOT regulations that detail the required procedures for workplace drug and alcohol testing (49 CFR Part 40). The following checklist identifies a partial listing of documents that are commonly used to measure transit agency compliance to the Substance Abuse Management regulations referenced above. The collected documentation and information must be forwarded for further review, to: Mrs. Diana Byrnes, C-SAPA, Center for Urban Transportation Research, 4202 E. Fowler Ave. Cut 100, Tampa, FL 33620. Electronic format of the documentation is preferred and should be emailed to: [byrnes@cutr.usf.edu](mailto:byrnes@cutr.usf.edu).

All documents submitted for review will be held confidentially. Should an employee’s personal information be contained on any of the requested documents; agency representatives may alter the document so as to conceal an employee’s identity or personal information, prior to providing the documents for review.

**a) Collection of General Information: (checklist may be completed during pre-audit review period and onsite).**

- The transit agency Designated Employer Representative (DER) is the individual responsible for the management of the drug and alcohol program, and the recipient of drug and alcohol test results. Please provide below the contact information for the Grantee DER.
  - Name: \_\_\_\_\_
  - Phone: \_\_\_\_\_
  - Email: \_\_\_\_\_
- Record the number of safety sensitive\* (FTA covered) employees currently employed at the Grantee: \_\_\_\_\_
  - Note: Safety-sensitive employees are those employees that perform, or may be called upon to perform, one or more of the following job functions:
    - Operate a revenue service vehicle (even if not in service)

- Perform maintenance of a revenue service vehicle
- Control the movement of a revenue service vehicle
- Operate an ancillary vehicle that requires the operator to hold a Commercial Driver's License (CDL)
- Carry a firearm as part of transit security detail
- Record the hours of operation that safety-sensitive functions are performed with this agency. (Note: this usually the hours of the day in which service is offered, however maintenance hours may extend beyond the hours of service. Record the hours of the day and days of the week in which ANY safety-sensitive function is being performed. For example: 5 am through midnight, six days per week.)

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- Does the Grantee utilize the services of a Third Party Administrator (TPA) to aid in the management of their drug and alcohol testing program? (Note: TPA is an outside vendor that assist the Grantee with task such as the generating random selections, identification of collection site resources, laboratories, etc.). Please check one of the following:
    - Yes, the Grantee uses a TPA: \_\_\_\_\_
    - No, the Grantee does not use a TPA: \_\_\_\_\_
    - If yes, please identify the TPA: \_\_\_\_\_

**b) Documents to be obtained and forwarded for review. Note: The Grantee Designated Employer Representative (DER) will likely maintain these items.**

- A copy of the Grantee's most current FTA Drug and Alcohol Program Audit final Report, as prepared by the FTA audit team members. (Note: an FTA Drug and Alcohol Program Audit is separated from an FTA Triennial, and focuses solely on the compliance to drug and alcohol testing regulations).
  - OR, for rural transit agencies (5311): the most current FDOT Substance Abuse Management Review Report will be reviewed in lieu of an FTA Drug and Alcohol Program Audit Final Report. Please contact Mrs. Diana Byrnes is there questions concerning the applicability of these audit reports.

- A copy of the Grantee’s most current Substance Abuse Policy, adopted by the governing board or highest ranking agency official.
- A copy of the Grantee’s most recent Drug and Alcohol Management Information Systems report (commonly referred to as an “MIS” report). This report is submitted to FTA electronically, on an annual basis. The Grantee is required to submit testing data on all of the drug and alcohol testing that the Grantee conducted within the previous year. The report must be submitted to FTA no later than March 15th of each year and must be retained for no less than 5 years from the date of submission.)
- A blank (unused) copy of the Release of Information form. This is the form that the grantee uses to request drug and alcohol information from an applicant’s previous U.S. DOT employers (49 CFR Part 40.25).
- A blank (unused) copy of the Grantee’s “notice to Test” or “Testing Notification” form. This is the form on which the grantee documents written notification/direction to the employee to proceed to a collection site for an FTA/DOT required urine collection or alcohol test.
- A blank (unused) copy of the Grantee’s Post Accident Decision and Documentation form, used to determine if an event (accident) meets the FTA threshold requiring Post Accident drug and alcohol testing.
- A sample of 3-5 Post Accident Decision and Documentation forms that were completed within the previous 12-month period, in where the accident met the FTA criteria for testing. (Please be sure to redact names and any other personal information and discuss with Mrs. Byrnes on any confidentially concerns).

**c) Designated Employer Representative (DER) Questionnaire**

- What training tools does this Grantee use to ensure that all safety-sensitive employees receive a minimum of sixty minutes of training of the effects and consequences of prohibited drug use? (List the name of training tools used below).

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- What training tools does the Grantee use to ensure that selected supervisory personnel and other designated Grantee officials receive

the required training to become authorized to make reasonable suspicion testing referrals? (List the name of the training tools used below).

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- With regard to the Grantee’s Random Testing Program:
  - How often are random selections generated? (Ex: quarterly, monthly). \_\_\_\_\_
  - How does the Grantee ensure that every safety-sensitive employee is included in the random testing pool prior to each random draw (such as new hires and transferees)?

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- How does the Grantee ensure that random testing is performed sporadically throughout the testing period, so as not to reveal any predictable pattern of testing?

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- How does the Grantee ensure that random testing is spread reasonable throughout all hours of operation, so as not to create and predictable pattern of testing? (Is testing performed in the early morning, late evening, weekends, and holidays?).

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**d) Closing:**

- Reviews of the information provided for this section will be reviewed by Mrs. Byrnes and comments provided to the District Office and review team leader for inclusion in the draft and final reports.
- Please discuss Subrecipient review dates with Mrs. Byrnes so that she may be able to arrange time on her schedule to appropriately review the documents provided to her by the review team within the required review time frame. Please be sure to provide Mrs. Byrnes a copy of the formal agenda for the review.
- Technical Assistance: Advise the Grantee that assistance and training on the topics of Substance Abuse Management is available as part of the Florida Department of Transportation Substance Abuse Management Oversight and Technical Assistance Program. The Grantee may contact Mrs. Diana Byrnes directly to request on-site training or technical assistance meetings: byrnes@cutr.usf.edu or 813-426-6980.
- The Grantee should also be referred to the Florida DOT Substance Abuse Management Resource Website: <http://sam.cutr.usf.edu>

**2. Trend analysis:**

- a) Perform a trend analysis of all data collected and areas observed. Performing a trend analysis of data provides the ability to determine the effectiveness of the organization in managing its activities and improving its proficiency in safety efforts. Completing a trend analysis on the program elements provides a summary of compliance rates, areas of violation, schedule adherence, and summary of corrective action plan activities and follow activities.

**Security Items, policies, procedures**

**(All security sensitive items and files must be REVIEWED ONSITE ONLY). The Grantee should prepare the following items for review as applicable.**

1. Security policies, goals, and objectives: The overall goal of a Security Program Plan is to identify, eliminate, minimize and control security hazards and their risks by establishing requirements, lines of authority, levels of responsibility and accountability, and methods of documentation for the organization. This overall theme should be express in the Grantee SPP. The Grantee should begin with this overall goal and should have developed specific goals applicable to its own program. Goals should be system-specific goals, tailored to the individual needs of the Grantee.

- b) Goals expressed should be long-term. Goals can be adjusted, but those expressed in the SPP must have a broad and continual relevance throughout the life of the Grantee.
  - c) Goals expressed should be meaningful.
  - d) Goals expressed should be realizable. Any goal expressed in the first two bullets but cannot be attained is meaningless.
2. The Approved SPP must be adopted (dated and signed by the Chief Executive Officer/General Manager of the Grantee) and clearly comply with or exceed the established standards outlined in Rule 14-90, F.A.C.
  3. Organization, roles, and responsibilities:
    - a) a detailed organizational diagrams/chart showing the title of each position (should cover from General Manager/Director to operating employees)
    - b) a diagram of the structure of the Grantee safety unit identifying the key positions and showing the relationship and lines of communications between the safety unit and other units of the grantee
  4. Procedures for investigation of events described under subsection 14-90.004(5), F.A.C.
  5. Emergency management processes and procedures for mitigation, preparedness, response, and recovery. Plans must be in place for prevention and also for response and recovery should an event occurs. This may also be included in the Grantee interagency planning. Be sure to look for an alternate location should it be needed by the Grantee.
  6. Interagency Coordination: it is important that the GRANTEE address communications process relative to safety, security, and emergency issues. Check for:
    - a) Procedures for the establishment of interfaces with emergency response organizations.
    - b) Procedures for interagency coordination with local law enforcement jurisdictions.
    - c) At a minimum, the Grantee must have a list of agencies with which regular contact and coordination is or may be required. Such items as training of emergency response personnel, emergency drills (internal and with external agencies) and familiarization processes, and procedures for actual emergencies should be developed in coordination with these agencies. The procedures must be documented, exercised and administered on a regular basis.

**7. Employee security and threat awareness training programs.**

- a) Security and threat awareness training should be included in the Subrecipient training program/syllabus and topics outlined in the SPP. This part is especially important in the “new employee orientation training”.
- b) Some of the training to look for are:
  - Overall security awareness, such as explaining the importance of observing, identifying and reporting suspicious people or behavior
  - transit system threats and vulnerabilities such as identifying general security threats, vulnerabilities, and potential consequences to the Grantee property and assets
  - Security concerns such as trespassing, workplace violence, vandalism, and theft.
  - How to recognize, react, and report transit crime and other security related activities.
  - Grantee employee roles in following agency security policies and procedures, such wearing and looking for proper employee ID and uniforms.

**8. Security data acquisition and analysis:**

- a) Did the Grantee conduct a threat and vulnerability assessment? A threat and vulnerability assessment is an analysis of safety hazards and security threats including vehicle and workplace accidents; acts of nature; criminal acts; terrorism; and other risks that can cause loss of life, personal injuries, and property damage and disrupt operations.
- b) Do the Grantee have a process for conducting trend analysis? Note: this process may be included in the SSPP section.
  - The review should also make an analysis and look for trends in information reviewed onsite.

**9. Requirements for private contract transit providers that engage in continuous or recurring transportation services for compensation as a result of a contractual agreement with the bus transit system.**

**10. Procedures for SPP maintenance and distribution.**

- a) The SPP and associated documents are secure items and the GRANTEE is prohibited by Section 119.071(3)(a), F.S., from publicly disclosing the SPP or the security portion of the SSPP, as applicable, under any circumstance.

- b) The Grantee must have procedures in place that document who and how the security documents are maintain, by whom, and how they are distributed.
- 11.** Each Grantee that engages in a contract with a private contract transit provider must have:
- a) Establish minimum security requirements which apply to their private contract transit providers
  - b) Monitor and assure that each private contract transit provider complies with the established security requirements during the term of the contract.
  - c) Description of transit security qualifications and training requirements
  - d) Organization and general duties of transit security assigned to bus services.
  - e) Identification of transit security personal equipment and transit security department vehicles and equipment.
  - f) Identification of existing surveillance equipment and physical areas of surveillance responsibility. (where, what, and who)
  - g) Results of internal security audits, including findings and corrective actions (open and closed over the last 3-years).

### **Development of onsite Agenda and Checklist**

- 1.** The purpose of the agenda and checklist is to provide a planned, organized method for conducting the audit and to document the results. During the onsite review, the checklist allows the reviewers to stay focused on the issues. However, reviewers should not limit themselves to specific questions or items listed on the checklist but should maintain the option to expand the checklist, if necessary, to assure conformance to the safety issue.
  - a. The experience and judgment of the reviewer contributes significantly toward developing the checklist. The lead reviewer must consider and discuss with the FDOT Central and District Office as necessary, and issues in development of the checklists.
    - The reviewer must evaluate any constraints and exceptions for written procedures or requirements governing the issue area
    - Regulatory requirements
    - Grantee plan requirements (the grantee may establish standards and programs that exceed regulatory requirements). The review must consider standards that the grantee has certified to be compliant with.

- Previous reviews conducted by FDOT
- Overall and specific area elements to be reviewed
- Sample size, as applicable
- Facility/location(s) to be reviewed
- Bus routes to be reviewed
- Grantee and review team contact information/include all reviewers who will review the specific area
- Method of verification
- Reference criteria

## **2. Types of Verification:**

- a. During the onsite review to ensure implantation and compliance with Rule 14-90, F.A.C., and the Grantee approved SSPP and SPP, sufficient information and documentation must be gathered and reviewed to support a reasonable determination of the safety and/or security issue being examined. The review team leader should discuss with the Grantee and area leader(s) as early as possible, a description of other onsite documents and/or records that will be required to be reviewed and during the onsite audit.
- b. Data and information can also be acquired through inspections, observations, interviews and tests.

## **Onsite Review**

### **4. Entrance Meeting:**

- a. On the date of the scheduled safety and security on-site review the first order of business shall be an entrance meeting between the review team and the Grantee Director, the Safety Director, Authorized Official and/or others as the grantee deems necessary. The purpose of this meeting is to finalize the safety review schedule and answer any preliminary questions regarding any aspect of the review process and/or assessment materials. The grantee should assign a staff member(s) to accompany each group of the review team throughout the on-site review process.
- b. Introductions- review team and grantee personnel.
- c. Go over the agenda and make any necessary adjustments and/or request
- d. Outline areas of review and answer any questions

- e. Go over review process: how and who on the review team will conduct the specific area review
- f. Discuss interviews – Management, Supervisors, drivers, etc.
- g. Observations- bus, maintenance, dispatch, etc.
- h. Bus Inspections
- i. Route Checks
- j. Record checks
- k. Request for follow documents, plans and procedures
- l. Explain when the final draft report will be issued to the grantee (required within 45-days of completion of the onsite review). {Report is due to the agency within 3-business days if the review was conducted as a 'noncompliance review
- m. Explain that the grantee will have 30 days to review the final draft report
- n. Explain that following receipt of the subrecipient's response to the draft report, the review District will issue the Final Report
- o. Explain levels audit findings thresholds: deficiency, Areas of Concern, Observations, Recommendations
- p. Explain requirements for a Corrective Actions Plan (CAP): The grantee will have 30-days to develop a CAP and reasonable implementation schedule for all identified deficiencies and areas of concern. Note: the grantee can correct a finding at any time, but the allowed 30-day window should be used to develop the required CAP(s) and reasonable implementation schedule to correct each deficiency and/or area of concern. The grantee must submit their CAPs and implantation schedule for each CAP to the Department/District for approval. {The Department/District provides the corrective action and implementation for all deficiencies and areas of concern resulting from a noncompliance review. This also applies in a regular review where the Department/District believes the deficiency and/or results in immediate danger to the public and/or employee safety}
- q. Explain the option to address any observation made by the Department/District. (Note: If the District feels strongly about an issue and believes it needs to be addressed by the grantee, please list the issue as an area of concern in the final report).

5. Onsite records review: Note: The grantee must maintain Driver Records, Maintenance Records, Safety Inspections Records, Investigation Reporting and Investigation Records, and Medical Records for a minimum of 4 years.

- a. Records selected for review should be random and cover the grantee last 3-year period.
- b. The reviewer/district must select the driver records for review:
- c. Randomly select grantee driver records based on the following percentage range:

Range (Agency drivers)	Selection Sample	Minimum Selection	Maximum Selection
0- 125	30%	10	25
126 - 325	20%	26	60
326 - 525	15%	61	75
526 and above	10%	76	100

- d. If applicable, up to 33% of the driver selection must be new hires (bus operators hired within the last 3 years and not currently in training). If the reviewer notices a major problem in a specific review area, an additional selection sample of driver records should be reviewed. If the additional review produces the same troubling results, then all grantee records for the review section must be reviewed. If during their review of an area, the reviewer notices an issue with a specific record not included in the sample selection, they have the option to expand their review to include that particular record in their review.
- e. Driver Licenses:
  - Visually check license; picture, CDL class as applicable, endorsement, expiration date, and any restrictions.
  - Cross check date of hire with date issued.
  - Make sure license is current: run a free online check at:

<https://services.flhsmv.gov/DLCheck/DLCheckResultView.aspx>

f. Medical Certifications:

- Medical Certification (Rule 14-90.0041. F.A.C.). Verify expiration date, completion of form, and signature of qualified medical examiner and bus operator.
- The grantee driver files should contain only the driver medical certifications and no medical forms.
- Cross check date of hire with date on the medical certificate.

g. Hours of Service Records and Schedules:

- Carefully review the hours of service requirements outlined in Rule 14-90.006. A driver is not permitted or required to driver more than 12-hours in a 24-hours period, or drive after having been on duty for 16 hours in a 24-hours period. After reaching these limits, a driver must have 8 consecutive hours off duty to end this period.
  - Also note that a driver shall not be required or permitted to be on duty more 72 hours in any period of seven consecutive dates; a driver must be off duty 24 consecutive hours to end this period.
- Review bus operator schedules to ensure scheduling compliance by grantee.
- Review actual bus driver work records for hours of service compliance.
  - Select at least **2 separate** (not in the same year) **2-week periods** over the prior 3-year review range for review.
- Driver Event Investigation Records: Review for a sample of Investigations for the last three years. Each review should include any findings and corrective actions (opened and close during the last three years). Look for trends, patterns, and other issues when reviewing reports. Files should be complete and contain information other than the local law enforcement report. Select one additional sample selection if no records of events exist for the initial sample selected. Look for trends, patterns, and other issues when reviewing reports.
- Hazard Investigation Records: Review a sample of hazard analyses and/or investigations for the last three years (review onsite if this information is too sensitive or too big to transmit). Each review should include any findings and corrective actions (opened and close



during the last three years). Look for trends, patterns, and other issues when reviewing reports.

h. Operations and transit facility inspections:

- Identify and locate all facilities and equipment with safety-related characteristics. This will include fire protection equipment, emergency communications equipment, and employee safety devices.
- Facility inspections should be closely coordinated with the hazard analysis.

i. Observations:

- Be ready to come in early and stay late to observe start up and closing procedures.
- Review interaction and monitoring of drivers as they report for duty.
- Monitor bus pre-inspections (go out to the bus).
- Observe yard operations for safety.
- Take the opportunity to communicate with bus drivers, supervisor, maintenance personnel, and supervisors.
- Observe training classes.
- Observe dispatch operations.

j. Route/run and driver performance Checks: Riding the bus route/run to review coverage area, bus stop locations, and to assess the bus driver performance in order to verify compliance with road traffic laws, ADA regulations, Rule 14-90, and the grantee policies, procedures and training, is one of the most important components of the safety and security review process. Reviewers should select bus driver schedules and routes/run schedules that covers various times of the day, morning, noon, evening, and night. Select 30% of grantee routes/runs for review. The minimum selection should be 5 and the maximum 15. The District may include additional routes/runs for review based on prior grantee review, current observations and/or District discretion. Where possible, the sample route/run selection should include drivers selected in the driver sample. The reviewer must schedule adequate time, no less than 1-hour, to conduct a thorough route/run and driver performance check. **Please comment “yes”, “no”, or “na” (non applicable) where appropriate on each checked item and also provide comment where appropriate.** Reviewer must include a selection of morning and evening/night shifts. The pre-trip inspection review should not be included in the 1-hour onboard review minimum.

- Bus stop locations:
  - Review for safe location (too close to electrical lines, too close to road/intersection, in a ditch, low hanging limbs, etc.). Many of these observations can be made with consideration and review of incident/event records.
- Observe that the driver:
  - Is not impaired or likely to be impaired by fatigue, illness, or other causes likely to create an unsafe condition.
  - Performs a pre-trip inspection and completely fills out the pre-trip inspection form before starting the first run of the day. Items are outlined in Rule 14-90.006(8)(a) F.A.C.
    - Service brakes.
    - Parking brakes.
    - Tires and Wheels
    - Steering
    - Horn
    - Lighting devices
    - Windshield wipers
    - Rear vision mirrors
    - Passenger doors
    - Exhaust system
    - Equipment for transporting Wheelchairs
    - Safety Security, and emergency equipment
  - Makes sure nothing is on the dashboard, rear view mirror, or sun visors that could create a hazardous situation.
  - When required, the driver safely attaches tie down straps into floor tracks, and use the four-point tie down on wheelchairs.
  - Removes tie downs from floor after each use. Stores tie down straps in their proper place.
  - The driver assists the wheelchair passenger on or off the bus (if needed). Renders correct assistance to passengers in wheelchairs, using all precautions with lift while moving passenger off vehicle.
  - Personal wireless communications devices are not used and turned off with any earpieces removed from the driver's ear while occupying the driver seat. When using a wireless

communications device (this would also include a grantee issued radio) it does not interfere with the driver performing their safety related duties.

- Attends to all other passengers requesting or requiring assistance. Acts courteously, offers help.
- Stops the vehicle (6) six inches or (4) four feet from curb to keep passengers from falling off the vehicle as they load and unload. (This may depend on the stopping or parking situation).
- Uses correct language under ADA guidelines.
- The driver is not slouching in their seat while driving.
- Arms and/or hands are not extended beyond the window frame while the bus is in motion.
- The driver wears seat belt and uses it correctly at all times when the bus is in motion.
- Both hands are on the steering wheel during operation (at the 9 and 3 or the 10 and 2 position).
- Adjusts mirrors before starting out on their route for the day for safety and visibility, (mirrors should be checked and adjusted if needed anytime the driver starts out for the first time with a bus during his/her shift.
- The driver appears observant of road conditions and keeps eyes moving at all times to observe surroundings while the bus is in motion.
- Uses signals for all maneuvers in traffic and signals at proper distance for an intended turn. Cancels signal when maneuver is completed. Leaves (himself/herself) an out when making adjustments in traffic.
- Does not jerk the vehicle when stopping and starting. Uses the brakes without stomping or slamming (stops vehicle smoothly).
- Does not whip around corners. Slows the bus down appropriately when turning corners. Positions the bus for proper safe turns.

- Does not start into the intersection without proper caution (looks both ways in traffic), uses the four second rule. Keeps safety cushion under control.
- Does not travel too slow or too fast for conditions on the road (weather, heavy traffic, slowed traffic, etc.) or for the posted speed limit.
- Keeps proper distance between vehicles ahead.
- Slows down appropriately (less than the posted speed limit) when approaching a traffic light and noticing that the green light has been green for some time at a distance.
- Makes sure passenger are seated and/or properly position to support themselves before proceeding.
- Stops bus behind the plane of a street intersection and does not cross over the intersection when stopping for red traffic light.
- Stops bus vehicle within 50 feet but not less than 15 feet from the nearest rail of the railroad and while stopped, listens and looks in both directions along the track for any approaching train, and for signals indicating the approach of a train, does not proceed until he/she can do so safely (opens doors when possible).
- Answers grantee radio properly. Uses proper radio language and does not use profanity. Uses grantee 10-codes where applicable.
- Monitors passengers and report misbehavior in the vehicle.
- Keeps schedule safely and does not jeopardize safety for schedule.
- Does not operate the bus with any passenger door in the open position.
- The bus is at a complete stop before doors are opened. (Doors must also be completely closed before the bus pulls away from a stop).
- Passengers are not standing forward of the standee line when the bus is in motion. (Passengers should be completely behind the standee line before the bus moves forward.  
\*\*\*\*Reviewers, grantee personnel, to include trainers and

safety personnel should not be forward of the standee line when the bus is in motion).

- During darkness, the interior lighting in step-wells is on and sufficient.
- Does not allow passengers to stand in step-wells while the bus is in motion.
- Does not leave the bus unattended with passengers aboard for longer than 15 minutes.
- The parking brake device is properly set anytime the bus is left unattended.
- The bus is not left in an unsafe condition at any time.
- Doors are not locked preventing passengers from exiting the bus when the driver is away from the bus (\*\*\*\*\*passengers must always have a way to exit the bus in case of an emergency).
- Reviews should include any additional items as necessary to conduct a thorough route and driver performance review.

**6. Exit Briefing: Reviewers** (District/Contractors), Grantee Executives and other personnel: The purpose of the exit briefing is to ensure that the grantee is presented with all results, both positive and negative. The Review Team leader is responsible to assure the attendees understand all the findings deficiencies, areas of concern, and recommendations.

- a. Provide a summary of findings and any immediate need for correction action
- b. Make request for any additional documents and/or other items
- c. Answer any questions/concerns the subrecipient may have
- d. Discuss Final report- submittal to subrecipient
  - Explain when the final draft report will be issued to the grantee (required within 45-days of completion of the onsite review). {Report is due to the grantee within 3-business days if the review was conducted as a 'noncompliance review
  - Explain that the grantee will have 30 days to review the final draft report
  - Explain that following receipt of the subrecipient's response to the draft report, the review District will issue the Final Report

- Explain requirements for a Corrective Actions Plan (CAP): The grantee will have 30-days to develop a CAP and reasonable implementation schedule for all identified deficiencies and areas of concern
- e. The District Office must submit to the grantee a corrective action plan (CAP) close-out letter within 30 calendar days of completion and implementation of ALL corrective actions resulting from the review
- f. Thank everyone for their time!

**7. Important Notes to District Office:**

- a. The safety and security formal review report must be submitted to the person directly responsible for management of the bus transit system by a cover letter or email authorized by the District Modal Development/Public Transportation Manager.
- b. The draft report must be prepared and submitted to the bus transit system within 45-calendar days following the completion of the on-site review. Submission of the formal review report may be delayed an additional 7 calendar days in order to request and receive additional information that would provide clarification on materials gathered during the onsite review.

**8. The formal review report shall contain the following:**

- h. Name and address of the bus transit system, the dates the review was conducted, and the name of each reviewer.
- i. Specific items reviewed and a description of any deficiencies, unsafe conditions, or areas of concern.
- j. A requirement for the bus transit system to develop and submit a corrective action plan (CAP) and implementation schedule for each deficiency and /or area of concern within 30-calendar days from the date of the final report.
- k. A requirement that the bus transit system verify in writing, completion of required corrective action(s).
- l. A description of any Department planned follow-up activities
- m. The district must notify the grantee of its approval or rejection of each corrective action and implementation schedule within 15-calendar days of receiving the plan. In the event the district office rejects a CAP, the district office shall state its reasons in writing and recommend revisions. The district shall require the bus transit system to submit a revised CAP and implementation schedule, for each CAP not approved, no later than 15-calendar days following receipt of the notification.

- n. (Rule 14-90.012, F.A.C.) – If the District determine during the review that the grantee that a deficiency or unsafe condition exist, to the extent that the continued operation of the system, or a portion thereof, poses an immediate danger or threat to public safety, they are required to:
- Immediately notify the grantee of the unsafe condition, followed by a certified letter describing the deficiency or unsafe condition. The notification shall include the following. (The normal 30-day window is not required)
    - The immediate required corrective action for the deficiency or unsafe condition.
    - The requirement for the bus transit system to certify, in writing to the Department, the completion of the required corrective action in accordance with an established implementation schedule
    - Conduct an on-site review of the grantee to verify the correction of the deficiency in accordance with this rule and the established implementation schedule.
    - Suspend affected passenger service operations if the grantee fails to correct the deficiency in accordance with this rule and the established implementation schedule.
- 9.** If a deficiency or unsafe condition is immediately corrected prior to the final report, a complete description of the deficiency, unsafe condition, or threat and completed corrective action will be documented in the final report. For other deficiencies, a detailed Corrective Action Plan (CAP) and implementation schedule for each item is required to be developed by the grantee within 30-calendar days of the date of the final report and submitted to the District for approval. (Please allow time for delivery of the final report).
- 10.** The District Office must reserve the right to conduct a follow-up review to verify completion of corrective action(s) that resulted from the safety and security review. The District Office should conduct a follow-up review to verify completion of a corrective action that resulted from a deficiency or unsafe condition that existed to the extent that continued operation of system or a portion thereof, posed an immediate danger or threat to public safety.

## SERVICE DEVELOPMENT RELATED QUESTIONS

1. Prior to conducting the site visit, review all Service Development files pertaining to the recipient. Become familiar with the status of each project, fund balances, audit exceptions, etc. Note any problems that have arisen in the past.

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2. List recipient's current Service Development projects.

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3. Consult with the recipient on the reported progress in meeting objectives and milestones of project/s.

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## COMMUTER ASSISTANCE RELATED QUESTIONS

1. Prior to conducting the site visit, review all Commuter Assistance files pertaining to the recipient. Become familiar with the status of each project, fund balances, audit exceptions, etc. Note any problems that have arisen in the past.

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2. List recipient's current Commuter Assistance projects.

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3. Consult with the recipient on the reported progress in meeting objectives and milestones of project/s.

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**END OF GUIDE**

