

Compliance Review for Kansas 5311 Sub-recipient

Transit Agency:

Agency Representative Name:

Agency Contact Information:

Address:

Phone:

Email:

Instructions for Use: Complete all applicable information and forward this questionnaire and the requested documents prior to the scheduled site visit date. Please respond to every question.

If you have any questions, please contact the reviewer.

Reviewer Name:

Email:

Phone:

Date of Site Visit:

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Introduction

1. **Description of Agency** (include organizational structure, hours of operation, number of full and part-time employees and if they are administrative, maintenance, drivers, volunteers, types of services provided, service area, etc.).
2. **Description of All Services** (include main services, services under contract, services where a vehicle is leased to another agency, services where the transit system leases a vehicle from another agency, etc. Please be as descriptive as possible, including days and hours of operation, passenger fare, which agency provides the drivers, does the service have a history of providing incidental service, etc.). Please list each service separately:
3. **Highlight New Projects** (describe any new projects the transit system has been working on and include success stories as well as failures)
4. **Required Documentation.** The following checklist indicates that some documentation should be provided to the reviewer prior to the site visit and other documentation must be available on-site during the review.

SECTION 1: Eligibility

Eligibility Questions	Response	Documents Provided Before Site Visit	To Be Addressed at Site Visit
1. Are all transit services provided by the agency open to the general public? (If yes, go to Question 3.)			✓
2. If not, describe any services not open to the public and why they are not.			✓
3. How are services advertised to the general public?		✓ (Please forward samples of literature/advertising)	
4. Does the agency own all vehicles used to provide public transportation services?			✓
5. Are all vehicles (owned/not owned) providing service as part of the public transit program marked with the agency name on both sides?			✓
6. Describe any "incidental" services (e.g., meal delivery) that the agency or its subcontractors provide, and when those services are provided. (Include anything not advertised and operated open to the public.)			✓ (Documents)
7. Are these incidental services provided with federally funded vehicles?			✓ (Documents)
8. Does the agency, including sub-providers, provide any charter services? If yes which sub-providers?			✓

Eligibility Questions	Response	Documents Provided Before Site Visit	To Be Addressed at Site Visit
9. Does the transit system or its sub-contractors operate exclusive school bus service? If yes, does the service qualify for one of the statutory exemptions? Has the system received approval from the FTA Administrator? Does the service operate only with non-FTA funded equipment and facilities? How does the system ensure that sub-contractors comply with school bus regulations?			✓
10. Has the agency's Title VI plan been forwarded to KDOT?		✓ (Please forward a copy of the Plan)	
11. If so, does the Title VI plan contain the required elements:		✓	
<p> <input type="checkbox"/> Notice of Rights under Title VI <input type="checkbox"/> How to file a complaint, copy of complaint form <input type="checkbox"/> List of Title VI investigations, complaints or lawsuits <input type="checkbox"/> Public Participation Plan <input type="checkbox"/> Limited English Proficiency Plan (LEP) <input type="checkbox"/> Board of Directors' resolution or meeting minutes demonstrating the Board approved the Title VI Plan <input type="checkbox"/> Racial breakdown of Non-elected Advisory Councils </p>			
12. If submitted, does the LEP Plan contain the required elements?		✓	
<p> <input type="checkbox"/> Results of the Four Factor Analysis <input type="checkbox"/> Description of how the sub-recipient provides language assistance services by language <input type="checkbox"/> Description of how the sub-recipient monitors, evaluates and updates the language access plan <input type="checkbox"/> Description of how the sub-recipient trains employees to provide timely and reasonable language assistance to LEP populations </p>			
13. Where are Title VI posters located?			✓
14. Where are Title VI brochures located?			✓
15. Where are Title VI complaint forms located?			✓

SECTION 2: Management

Eligibility Questions	Response	Documents Provided Before Site Visit	To Be Addressed at Site Visit
1. Are required EEO posters displayed at transit agency office, contractors' offices, transit garage, etc.?			✓
2. Does the agency have receipts for KDOT reimbursement requests?			✓ (Documents)
3. Does the agency have proof of payroll taxes deducted from employee's paycheck?			✓ (Documents)
4. Does the agency transport individuals across state lines with a KDOT funded vehicle? (If no, skip Questions 5-7 and go to Section 3.)			✓
5. Is the agency a city or county government that directly operates public transportation services? (If yes, skip Questions 6-7 and go to Section 3.)			✓
6. Does the agency use a vehicle with a capacity of more than 8-persons for trips across state lines? (If no, skip Question 7 and go to Section 3.)			✓
7. Describe the type of trips being offered. What is the capacity of the vehicle(s)? Are they registered with the KCC? Do the vehicles have a DOT# and a federal MC#?			✓

SECTION 3: Financial

Eligibility Questions	Response	Documents Provided Before Site Visit	To Be Addressed at Site Visit
1. Does the agency's accounting system track all revenues and expenses attributable to the public transit program?			✓ (Documents)
2. How are these revenues and expenses clearly identified as being related to the public transit program?			✓ (Documents)
3. What other sources of funding are received for the transit services?			✓ (Documents)
4. How does the agency ensure that the fully-allocated costs of providing incidental services are covered by other than state or federal transit funds?			✓ (Documents)
5. How does the agency ensure that state and federal transit funds are spent only on costs attributable to the public transit program?			✓ (Documents)

SECTION 4: General ADA

Eligibility Questions	Response	Documents Provided Before Site Visit	To Be Addressed at Site Visit
1. Does the agency have non-ADA vehicles? If yes, how many?			✓ (Documents)
2. Are ADA service needs met with the current fleet?			✓
3. Are wheelchair users, and other persons with disabilities, charged the same fare as other persons of like age/situation?			✓ (Documents)
4. Are wheelchairs accepted in all of the agency's service areas?			✓ (Documents)
5. How does the agency			✓

Eligibility Questions	Response	Documents Provided Before Site Visit	To Be Addressed at Site Visit
handle the situation if the agency receives a ride request from a person using a wheelchair in an area or at a time when a non-ADA vehicle is normally used?			(Documents)
6. Does the agency require that wheelchairs be secured?			✓ (Documents)
7. Will the agency still transport if driver is not able to secure wheelchair?			✓ (Documents)
8. Is there a formal policy on accepting "service animals" aboard vehicles and in facilities?			✓ (Documents)
9. How does the agency determine if an animal is a "service animal"?			✓ (Documents)
10. Can a person not using a wheelchair request to ride a wheelchair lift?			✓ (Documents)
11. Do you allow persons to carry compressed oxygen canisters and respirators aboard your vehicles?			✓ (Documents)
12. How does the agency handle a caller who requests a ride at a time when the paratransit vehicle(s) is/are busy?			✓ (Documents)
13. Does the agency have a suspension policy for a pattern or practice of no shows?			✓ (Documents)
14. On the average, how many denials does the agency have per month? Does the agency track the reasons for denials?			✓ (Documents)
15. Describe any other policies the agency has which would cause ADA eligible persons to be denied service.			✓ (Documents)
16. How long does/would such a denial of service last?			✓ (Documents)
17. Who makes the decision on denial of service?			✓ (Documents)
18. What opportunity for appeal or administrative review is			✓ (Documents)

Eligibility Questions	Response	Documents Provided Before Site Visit	To Be Addressed at Site Visit
offered?			
19. How are the agency's policies on denial of service documented and communicated to the public?			✓ (Documents)
20. Does the agency have a "rider's handbook" describing the agency's policies and procedures relating to the ADA paratransit services?		✓ (Please forward a copy of the "Handbook")	
21. Are the agency's buildings accessible to all persons with disabilities?			✓ (Documents)

SECTION 4.1: ADA Fixed-route (if applicable)

Eligibility Questions	Response	Documents Provided Before Site Visit	To Be Addressed at Site Visit
1. Do the agency's drivers announce all major intersections, major stops and transfer points?			✓ (Documents)
2. Will drivers announce other specific stops/locations, if requested by riders?			✓ (Documents)
3. How does the agency verify compliance with this requirement?			✓ (Documents)
4. Will drivers deploy lift for persons not in wheelchair upon request?			✓ (Documents)
5. How quickly are vehicles removed from route service once a nonfunctional lift is reported?			✓ (Documents)
6. Does the agency allow buses with inoperable lifts to be assigned to route service?			✓ (Documents)
7. How long might the agency allow a vehicle with a non-functioning lift			✓ (Documents)

Eligibility Questions	Response	Documents Provided Before Site Visit	To Be Addressed at Site Visit
to be assigned for route service?			
8. Does the agency have passenger shelters, and if so, how many?			<p style="text-align: center;">✓ (Documents)</p>
9. Are all passenger shelters accessible to wheelchairs? (Accessible pathway /interior space) If not, how many are not?			<p style="text-align: center;">✓</p>

SECTION 5: Procurement

Eligibility Questions	Response	Documents Provided Before Site Visit	To Be Addressed at Site Visit
1. Has the agency adopted a written code of ethics or standard of conduct to govern the activities of employees, board members, or agents involved in procurements financed with FTA funds?			<p style="text-align: center;">✓ (Documents)</p>
2. Does the agency's code of ethics standard of conduct detail sanctions or disciplinary actions that shall be taken for violations?			<p style="text-align: center;">✓</p>
3. Is the agency's code of ethics standard of conduct explicit with regard to how potential personal conflicts of interest are to be reported (by whom/to whom) and how the situation will be resolved?			<p style="text-align: center;">✓</p>
4. Have any items charged to the public transit program over the past three years been purchased from			<p style="text-align: center;">✓</p>

Eligibility Questions	Response	Documents Provided Before Site Visit	To Be Addressed at Site Visit
businesses owned by board or staff members of the agency or by members of their families? If so, please explain how a conflict of interest was avoided.			
5. Does the agency maintain a record of the history of each procurement charged to the transit program? If so what information is recorded? How long is the information retained?			<p style="text-align: center;">✓ (Documents)</p>

SECTION 6: Maintenance

Eligibility Questions	Response	Documents Provided Before Site Visit	To Be Addressed at Site Visit
1. Does the agency have written maintenance plans for FTA funded transit facilities and equipment? How often are the plans reviewed and updated?			<p style="text-align: center;">✓ (Documents)</p>
2. Does the maintenance program prescribe a recordkeeping system so that the maintenance history of facility and equipment is permanently recorded?			<p style="text-align: center;">✓ (Documents)</p>
3. Are there maintenance records for each vehicle available for review?			<p style="text-align: center;">✓ (Please provide an example of maintenance records)</p>
4. Are the vehicle records identified by the VIN number?			<p style="text-align: center;">✓ (Documents)</p>
5. Does the agency have written preventative maintenance plans for FTA-funded vehicles?			<p style="text-align: center;">✓ (Please provide an example of maintenance plan)</p>

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6. Do the preventative maintenance schedules in the plan meet the minimums required by the manufacturer or supplier?			<p style="text-align: center;">✓</p> <p style="text-align: center;">(Documents)</p>
7. Is preventative maintenance being done as scheduled? If not, why?			<p style="text-align: center;">✓</p> <p style="text-align: center;">(Please make available a maintenance plan with a corresponding maintenance record)</p>
8. Are the titles for FTA funded vehicles in the name of the sub-recipient/applicant?		<p style="text-align: center;">✓</p> <p style="text-align: center;">(Please forward copies of titles or registrations)</p>	
9. Are there written records indicating that pre-trip and/or post-trip inspections are completed?			<p style="text-align: center;">✓</p> <p style="text-align: center;">(Please forward sample copies of records for the previous 3 months)</p>
10. Have all drivers been trained to use the wheelchair lifts/ramps and the wheelchair securement system(s)?			<p style="text-align: center;">✓</p> <p style="text-align: center;">(Please provide any documentation)</p>
11. Is there documentation that the drivers or mechanics cycle the lifts each day prior to the vehicle being placed in service?			<p style="text-align: center;">✓</p> <p style="text-align: center;">(Please have documentation available)</p>
12. Is all work required by manufacturer's warranty provisions being performed? If not, why?			<p style="text-align: center;">✓</p> <p style="text-align: center;">(Documents)</p>
13. Is any FTA funded equipment under warranty and if so what is the process for recovering warranty claims?			<p style="text-align: center;">✓</p> <p style="text-align: center;">(Please provide a written description of the process)</p>
14. Does the agency have vehicles which are currently out of service due to mechanical problems or damage? (If no, go to Question 14)			<p style="text-align: center;">✓</p>

Eligibility Questions	Response	Documents Provided Before Site Visit	To Be Addressed at Site Visit
15. How long have they been out of service?			✓
16. Does the agency have any federally-funded vehicles which traveled less than 2,500 miles last year? If the agency does, provide a utilization plan for the vehicle(s).		✓ (Please provide documentation)	
17. Is the agency aware of how to dispose of a FTA-funded vehicle?			

SECTION 7: Safety and Security

Eligibility Questions	Response	Documents Provided Before Site Visit	To Be Addressed at Site Visit
1. Does the agency have a written safety plan for the agency?			✓ (Please provide a copy)
2. Does the agency have a written security and emergency management plan? (If no, skip Question 3.)			✓ (Please provide a copy)
3. Is the emergency management plan coordinated with local agencies?			✓ (Please have documentation available)
4. Does the agency currently have any child safety seats available for the KDOT vehicles? If so, how many?			✓