NEW YORK STATE
DEPARTMENT OF TRANSPORTATION
Public Transportation Bureau

SITE VISIT PROCEDURES
FEDERAL SECTION 5310/5311/5316/5317 PROGRAMS
INTRODUCTION

New York State is conducting a site visit review for the State’s administration of Federal Transit Administration (FTA) Section 5311 (Nonurbanized Area Formula Program), Section 5316 (Jobs Access Reverse Commuter) and Section 5317 (New Freedoms). Some review items may not be applicable to 5316/5317 projects depending on project scope. The purpose of this site visit is to assess the State grantee’s management practices and program implementation to evaluate compliance with Federal and State requirements. The site visit consists of examining FTA and State funded facilities and equipment and to review necessary documentation.

ITEMS TO BE REVIEWED

There are 16 different review areas for a site visit. The following list details some of the questions and issues that will be discussed and the documents that should be made available for inspection during the site visit.

1. Legal Capacity

The grantee must be eligible and authorized under State and local law to request, receive, and to dispense FTA funds and to execute and administer FTA-funded projects. The authority to take all necessary action and responsibility on behalf of the grantee must be properly delegated and executed.

Please be prepared to discuss the following:

➢ Is there any pending legislation or litigation that threatens your eligibility to apply, receive, and execute a Federal grant for the Federal Transit Administration (FTA) Section 5311, 5316 or 5317 Programs

Please have the following documents available for examination during the site visit:

➢ Municipal system service description

2. Financial Capacity

The grantee must demonstrate the ability to match and manage FTA grant funds, to cover cost overruns, to cover operating deficits through long-term stable and reliable sources of revenue, to maintain and operate Federally funded facilities and equipment, and to conduct an annual independent organization-wide audit in accordance with the provisions of OMB Circular A-128.

Please be prepared to discuss the following:
Sources of your local funding and current financial status.

Any pending legislation that could affect financial capacity.

Status of any unresolved compliance issues in the past year’s “Single Audit” or any other audits.

Has any internal audit, or GAO audit completed in the past three years had any finding related to FTA program requirements?

Is there any anticipated significant changes in either the levels or sources of local funding for transit in the next few years?

Is there an anticipation of any significant changes in transit service levels in the next few years?

Please have copies of the following documents available at the site visit:

- Capital and Operating Budget for current fiscal year
- Three to five year financial plan
- Single Audit Reports for past three years
- Any internal or GAO audit reports with findings related to FTA programs for the past three years.

3. Technical Capacity

The grantee must be able to implement the FTA Section 5311 Nonurbanized Area Formula Program Project in accordance with the grant application, grant agreement, and all applicable Federal and State laws and regulations, using sound management practices.

Please be prepared to discuss the following:

- Who at your agency is responsible for grant administration?
- Describe your grant administration process, including implementation schedules, unobligated funds, and closeout procedures.
- What grants should be closed in the near future?

Please have the following documents available for examination during the scheduled site visit:

- Current organization chart for your municipality/organization
- A closeout schedule for open Section 5311 grants

4. Satisfactory Continuing Control

The grantee must maintain control over facilities and equipment and ensure that they are used in transit service that are open to the public.

Please be prepared to discuss the following:
Do inventory records contain the following required information: Item description, ID Number, Purchase Date, Purchase Cost, State PIN equipment was purchased under, Vested Title, Federal/State/Local percentage shares of cost, Location/Use/Condition of equipment/buildings, Disposition Action?

When was the last inventory of real and personal property conducted, and, were the results of the inventory reconciled with property records?

Please explain your process for tracking equipment purchased with Federal and State grant funds?

Is all real property owned by you and purchased with FTA funds in use for transit?

Please provide an updated detailed vehicle inventory including the disposition of all Federally-funded equipment or facilities removed from service within the last three (3) years and reimbursements (if any) to the FTA and State. Please include items sold or transferred to or from other transit systems.

What are your procedures for disposal of property?

Please describe your casualty insurance program and how your FTA/State-funded facilities and equipment are protected from casualty loss?

What is your total fleet size, the number of vehicles required for weekday peak service, and the size of your contingency fleet?

Please have copies of the following documents available at the site visit:

- Property records showing how FTA-funded equipment is controlled and monitored.
- An updated copy of your vehicle inventory and documentation of reconciliation of FTA-funded equipment and vehicles.
- A copy of your written procedures for disposition of real and personal property.

5. Maintenance

The grantee must keep Federally funded equipment and facilities in good operating order. During the site visit, an inspection will be made of the maintenance facilities where FTA and State funded rolling stock is maintained. In addition to the general walk-around inspection, a review will be made of maintenance records and reports during these visits. The municipality should plan to have knowledgeable personnel available to accompany the tour, answer maintenance related questions, and provide access to maintenance files.

Please be prepared to discuss the following:

- Are preventative maintenance (PM) inspections being done as scheduled?
- Do PM checklists follow minimum standards required by the manufacturer, supplier, or builder?
- Is there a PM plan for ADA-mandated accessibility equipment?
Is there a required system of maintenance checks for wheelchair lifts on vehicles in place? Are vehicles with inoperable lifts removed from service?

Is all work required by the manufacturer’s warranty provisions being performed? Are warranty claims, if any, pursued effectively and promptly to conclusion?

Is any FTA funded equipment operated under contract to a private operator? If so, how does the municipality monitor maintenance activities?

Please have copies of the following documents available at the site visit:

- Maintenance plan(s).
- Vehicle maintenance records, especially PM inspections
- Warranty recovery program documentation, including summary of warranty claims.
- Maintenance budget, staffing levels and organization chart
- If applicable, contract for services; RFP’s for contracted services and contractor maintenance records.

6. Elderly and Persons with Disabilities/Medicare Half Fare

Recipients may choose to charge fares for the elderly, persons with disabilities, and persons with a valid Medicare card during non-peak hours which do not exceed one-half the rates generally applicable to other persons at peak hours. (This is not a requirement for the 5311 program.)

Please have the documents that describe and publicize your half-fare program, if you do this, available for examination during the scheduled site visit.

7. Competitive Procurement

FTA grantees will use their own procurement procedures that reflect State and local laws and regulations provided that the process ensures competitive procurement and that the procurements conform to applicable Federal Law including 49 CFR Part 18, specifically Section 18.36 and FTA Circular 4220.1F, “Third Party Contracting Guidelines”. Grantees will maintain a contract administration system that ensures that contractors perform in accordance with terms, condition, and specification of their contracts or purchase orders.

NYSDOT reviews and approves all competitive procurement boilerplate and specifications documents during the application process for FTA Section 5311 funded equipment and facilities to ensure that all applicable FTA clauses are included in the bidding process.
Procurement files should be available for staff to review all documentation related to applicable purchases. (Most information will already be on file with NYSDOT as part of the procurement approval process)

8. **Public Comment on Fare/Service Changes**

Grantees may choose to develop a local process to solicit and consider public comment prior to a fare increase or major service reduction.

Please be prepared to discuss the following:

- Have any fare changes or major service reductions been implemented during the last three (3) years? Be prepared to discuss the process for solicitation of public comment.
- Discuss how public comments are incorporated into the fare and service change process.

Please have the following documents available for examination during the scheduled site visit:

- Written procedures for public comment on fare increases or major service reductions, if applicable.
- Published announcements of public hearings, if applicable.
- Transcripts or minutes of public hearings, if applicable.
- Applicable Board minutes, if any

9. **Charter Bus Protection**

Per Section § 604.4 (Charter service agreement), (a) A recipient seeking Federal assistance under the Federal Transit Laws to acquire or operate any public transportation equipment or facilities shall enter into a “Charter Service Agreement” as set out in paragraph (b) of this section. (b) A recipient shall enter into a Charter Service Agreement if it receives Federal funds for equipment or facilities under the Federal Transit Laws. The terms of the Charter Service Agreement are as follows: “The recipient agrees that it, and each of its subrecipients, and third party contractors at any level who use FTA-funded vehicles, may provide charter service using equipment or facilities acquired with Federal assistance authorized under the Federal Transit Laws only in compliance with the regulations set out in 49 CFR 604, the terms and conditions of which are incorporated herein by reference.” (c) The Charter Service Agreement is contained in the Certifications and Assurances published annually by FTA for applicants for Federal financial assistance. Once a recipient receives Federal funds, the Certifications and
Assurances become part of its Grant Agreement or Cooperative Agreement for Federal financial assistance. Please be prepared to discuss the following:

- Do you or any of your operators operate a charter bus service? If yes, under which exceptions is this service operated?

Exceptions:
49 CFR Section 604.6, 49 CFR Section 604.7, 49 CFR Section 604.8, 49 CFR Section 604.9, 49 CFR Section 604.10

Please have available a listing of all charter service (internal and external) operated during the past three (3) years, including identification of the private operator(s) and rates charged.

10. School Bus Protections

FTA grantees are prohibited from providing exclusive school bus service unless it qualifies under specific exceptions. In no case can federally funded equipment or facilities be used for exclusive school bus service.

Please be prepared to discuss the following:

- Do you or any of your operators provide any exclusive school bus service? If yes, does it qualify for one of the statutory exceptions?
- Do you or any of your operators provide any school bus “tripper” service?, If yes, be prepared to demonstrate that the tripper service meets the required FTA criteria.

11. Civil Rights

The grantee must ensure that no person in the United States shall on the grounds of race, color, creed, national origin, sex, age, or disability be excluded from participating in, or denied the benefits of, or be subject to discrimination under any project, program, or activity funded in whole or in part through FTA financial assistance. The provisions of this section apply to service delivery, employment and business opportunities and are considered to be in addition to and not in lieu of the provisions of Title VI of the Civil Rights Act of 1964.

You should have:
- Does the subrecipient(s) have a Title VI plan?
- Is there a notice to beneficiaries that informs the public of Title VI obligations?
- Is there a Public Participation Plan?
- Are there available Title VI discrimination complaint instructions?
Is there an available Title VI discrimination complaint form?
Is there a list of transportation-related Title VI investigations, complaints, or lawsuits filed since the last Title VI program submission?
Is there a plan/procedure to identify significant (more than 5% or 1,000 individuals) Limited English Proficiency (LEP) populations?
If LEP populations are identified, describe your plan/procedure on language assistant programs and public notices, and staff training.
Is a table depicting committee(s) membership breakdown by race?
Is/was there an equity analysis performed on planning, design and construction of facilities regarding access and location?
Are system wide service standards and policies for fixed route services set to guard against discriminatory service design or operating decisions?
Is demographic data collected and analyzed when changes to service are introduced?
Is a board resolution, minutes, or other documentation available as evidence the Title VI program was reviewed and approved?

Be prepared to discuss:

Who is responsible for ensuring that all civil rights obligations are fulfilled?
Is this responsibility a primary or collateral duty for the individual so designated and to whom does this individual report with regard to civil rights issues?
How do you make Title VI plan, statement and complaint system known to employees and passengers?
Describe your procedures to ensure the level (frequency & access) and quality (survey & efficiency/effectiveness evals) of service to any minority community in your service area is comparable to service in other non-minority areas.
Describe your procedure for public comment and outreach for new or changed services, fare increases, and capital facilities.
Are there any active lawsuits or complaints? If so, what is their status/outcome?
Has there been any civil rights compliance review activities conducted in the last three years?
Is the Title VI policy notice displayed where it is available to employees and applicants for employment?
If the grantee meets the threshold for a DBE program (over $250,000 federal assistance, exclusive of rolling stock), be prepared to provide the program and ensure it was submitted to OEODC.
If the grantee has a construction project with separate DBE goals, review the extent of attainment of the goals.
Discuss efforts which meet the necessary and reasonable steps criteria for DBE.

12. Safety and Drug-Free Workplace

FTA grantees are required to maintain a drug-free workplace for all employees. In
addition, the Secretary has the authority to investigate the operations of the grantee for any conditions that appear to create a serious hazard of death or injury, especially to patrons of the transit service.

Please be prepared to discuss the following:

- Do you have a written policy as prescribed by the Drug-Free Workplace Act?
- Have you notified employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the workplace?
- Have you notified employees of the sanctions that they might be subject to for violation of the Drug-Free Workplace requirements?
- Do you have an ongoing drug awareness program?
- Has any employee reported a criminal conviction for a drug statute violation that has occurred in the workplace?
- Do you have a written system safety program plan? How is it implemented and managed? Please describe key components of your plan, such as current safety issues, emergency preparedness drills, safety records, safety training and safety awards program.

Please have the following documents available for examination during the scheduled site visit:

- Drug-Free Workplace Policy.
- Correspondence/Notification to Employees.
- Employee Handbook
- Written System Safety Program Plan.
- Vehicle, passenger, employee accident data.

13. **Integrity**

To prevent fraud, waste, and abuse in Federal transactions, persons or entities which by defined events or behavior potentially threaten the integrity of Federally administered non-procurement programs are excluded from participation in FTA-assisted programs. FTA grantees are not only required to certify that they are not excluded from Federally assisted transactions, but also are required to ensure that none of the grantee’s “principals” (as defined in the governing regulation 49 CFR part 29 and FTA Circular 2015.1), subrecipients, and third-party contractors and subcontractors are debarred, suspended, or ineligible or voluntarily excluded from participation in Federally assisted transactions.

Please be prepared to discuss the following:

- Since submitting your certification to NYSDOT, have you learned that your
certification or the certifications of any of your subrecipients or contractors were erroneous when submitted or have become erroneous by reason of changed circumstances?

➢ Have you included the proper certifications in your procurements, if applicable?
   ▪ (Note: NYSDOT verifies this when reviewing bid specifications for approval)

14. Restrictions on Lobbying

Recipients of Federal grants and contracts exceeding $100,000 must certify compliance with Public Law 101-121, Section 319, Restrictions on Lobbying, before they can receive their funds. In addition, grantees are required to impose the lobbying restriction provisions on their contractors.

Please be prepared to discuss the following:

➢ Have you used non-Federal funds for lobbying?
➢ Have you included “Restrictions on Lobbying clauses in your procurement documents where appropriate?
➢ Have all subgrantees, contractors, subcontractors in receipt of $100,000 or more of Federal funds certified no Federal funds have been used for lobbying activities?

Please have the following documents available for examination during the scheduled site visit:

➢ Any standard Form-LLL “Disclosure Form to Report Lobbying” that have been filed or submitted.

15. Transportation Services for Individuals with Disabilities

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

Please be prepared to discuss the accessibility of the system, compliance with ADA, and the following issues and questions:

➢ Discuss the accessibility of transit facilities and vehicles.
➢ Have any complaints of discrimination due to disability been received during the past three (3) years.
Discuss and demonstrate that you and your transit operators have implemented the following service provisions required by ADA:

1. Maintenance of accessible features
2. Procedures to insure lift availability
3. Alternative options for an ADA individual in event of a breakdown or other occurrence preventing timely transport of the individual. This should accommodate to within 30 minutes of the occurrence.
4. Lift and securement use.
5. Announcements on vehicles of stops on fixed route systems.
6. Vehicle Identification Mechanisms
7. Service Animals
8. Use of Accessibility Features
9. Public Information/Communications
10. Lift deployment at any designated bus stop
11. Service for persons using respirators or portable oxygen
12. Adequate time for vehicle boarding/disembarking

Have drivers received special training in use of the ADA required equipment and sensitivity to the needs of the disabled rider?

Please have the following documents available for review during the scheduled site visit:

- Paratransit Operating Policies and Procedures.
- Driver Handbooks, notices, written procedures, etc. describing accessibility procedures including stop announcements, lift use, service animals etc.
- A summary of complaints from disabled persons regarding non-compliance with ADA requirements.

16. FTA Alcohol and Drug Program

Grantees receiving funds under Federal Transit Administration (FTA) Section 5311 Nonurbanized Area Formula Program must have a drug and alcohol testing policy and program in place prior to providing mass transportation services.

All “safety sensitive” employees must be subject to the provisions of this program. The FTA allows grantees to include additional employees in the program or additional elements to be incorporated in the policy, but the inclusion of those additional employees and elements must be clearly defined as occurring under the grantee’s authority rather than FTA’s authority. This review does not cover aspects of the grantee’s drug and alcohol testing program that apply to those additional employees or any additional elements that have been incorporated.
If your agency contracts either some or all of the drug and alcohol testing procedures to a contracted service provider, please insure that the provider has a knowledgeable representative available during the site visit, with copies of the key forms and documents mentioned in the following sections.

Please be prepared to discuss the following:

- Do you have a drug and alcohol policy as required by the FTA Drug and Alcohol Regulations 49 CFR Parts 655 and 40?
- Does the policy include the following elements: contact person; employee categories subject to testing; prohibited behavior; testing circumstances; testing procedures; required hours of compliance (alcohol); behavior constituting a refusal to take a test; consequences of misuse of drugs or alcohol; effects of alcohol? Are there any additional (optional) provisions not required by the FTA included in the policy?
- Has the policy been approved by your governing board or CEO?
- Did you and all or your safety sensitive subcontractors (if applicable) file with NYSDOT PTB by March 15th, the annual MIS reports summarizing test results?
- What types of drugs and alcohol testing are conducted? For what substances do you test?
- To whom are drug and alcohol test results released? How do you ensure that the testing laboratory only releases drug results to the Medical Review Officer (MRO)? How do you ensure that the MRO and Breath Alcohol Technician (BAT) only release test results to the Designated Employer Representative (DER) and to the employee who was tested? How do you obtain an employee’s permission before releasing records (except to the MRO, Substance Abuse Professional (SAP), DER, USDOT, NTSB, decision maker in lawsuit, or state oversight agency)?
- How are the records secured and who has access to records? Are the records maintained for the appropriate time frames? Please describe.
- Do you use the most recently approved U.S. D.O.T. Drug Testing Custody and Control Form and the most recently approved U.S. D.O.T. Breath Alcohol Testing Form?
- Do you use drug testing laboratories that are certified by the DHHS?
- Is your MRO a licensed physician (medical doctor or doctor of osteopathy) with the appropriate medical training and knowledge of substance abuse disorders and USDOT Drug and Alcohol Regulations? Has your MRO satisfactorily completed an exam and requalification training every 5 years?
- Is your SAP a licensed physician (medical doctor or doctor of osteopathy), or a licensed or certified psychologist, social worker, employee assistance professional, or addiction counselor (certified by the National Association of Alcoholism and Drug Abuse Counselors Certification Commission, NAADAC; or
International Certification Reciprocity Consortium/Alcohol and Other Drug Abuse, ICRC), with knowledge of and clinical experience in the diagnosis and treatment of drug and alcohol related disorders? Has your SAP received training on the USDOT Drug and Alcohol regulations and satisfactorily completed an exam and 12 hours of professional development education every 3 years since the exam?

➢ Are employees who have a verified positive drug test result or breath alcohol concentration of 0.04 or greater referred to a SAP for evaluation even if they are to be terminated?

➢ Do you utilize a National Highway Transportation Safety Administration (NHTSA) approved Evidential Breath Testing (EBT) device for initial and confirmation alcohol testing?

➢ Has each BAT or STT received training in accordance with the USDOT Model BAT or STT course and demonstrated proficiency by completing seven consecutive error-free mock tests (BATs) or five consecutive error-free tests (STTs)?

➢ Have safety sensitive employees received the 60 minutes of training on the effects and consequences of prohibited drug use on personal health, safety and the work environment, and on the signs and symptoms that may indicate prohibited drug use?

➢ Have supervisors who are designated to determine whether reasonable suspicion exists to require a safety-sensitive employee to undergo alcohol and/or drug testing been provided for the following training:

  - at least 60 minutes of training in physical, behavioral, speech, and performance indicators of probable alcohol misuse?

  - at least 60 minutes of training on the affects and consequences of prohibited drug use on personal health, safety, and the work environment, and on the signs and symptoms which may indicate prohibited drug use?

Please have the following documents available for review during the scheduled site visit:

➢ Drug and Alcohol Policy and Program Procedures
➢ FTA Implementation Guidelines for Drug & Alcohol Regulations in Mass Transit
➢ Annual MIS reports
➢ Testing Forms
➢ Training records
NEW YORK STATE
DEPARTMENT OF TRANSPORTATION
Public Transportation Bureau

FEDERAL SECTION 5311, 5316, 5317 SITE VISIT

System: ____________________________________________

Location of Visit: ________________________________

Directions: ______________________________________

Date of Visit: ____________________________________

PTD Staff Present: ________________________________

Region Staff Present: ______________________________

System Representative: ____________________________

Operator Representative: __________________________

Other Attendees: __________________________________

________________________________________________

________________________________________________

________________________________________________

________________________________________________
OFFICE VISIT

In Compliance?

1. Review of legal Capacity. YES___ NO___
2. Review of Financial Capacity YES___ NO___
3. Review of Technical Capacity. YES___ NO___
4. Satisfactory Continuing Control. YES___ NO___
5. Maintenance (see garage visit form). YES___ NO___
6. Elderly & Persons with Disabilities/Medicare Half Fare. YES___ NO ___
7. Competitive Procurement YES___ NO___
8. Public Comment YES___ NO___
9. Charter Bus YES___ NO___
10. School Bus YES___ NO___
11. Civil Rights (Overview of Procedures) YES___ NO___
   a. Is there a visible notice to beneficiaries? YES___ NO___
   b. Are there a public participation and LEP plans? YES___ NO___
   c. Is there a complaint instructions and form process? YES___ NO___
   d. Was a breakdown of committee members provided? YES___ NO___
   e. Number of discrimination lawsuits or complaints in last 3 yrs? _________
   f. If there were complaints or lawsuits in 11e, is there documentation on their status or resolution? YES___ NO___
   g. Any civil rights compliance reviews in last 3 yrs? YES___ NO___

12. Safety and Drug Free Workplace YES___ NO___
13. Integrity YES___ NO___
14. Restrictions on Lobbying YES___ NO___
15. Transportation Services for Individuals with Disabilities YES___ NO___
   (See ADA form)
16. FTA Drug and Alcohol Program (see Drug and Alcohol form) YES___ NO___
DRUG AND ALCOHOL TESTING PROGRAM

In Compliance?

Are the following items readily available at the transit system:

- Drug and Alcohol Testing Policy and Procedures, Yes No
- October 2009 FTA Implementation Guidelines for Drug and Alcohol Regulations in Mass Transit, Yes No
- Testing Forms Yes No
- Annual MIS Reports Yes No

When was the policy last updated ________ (date) and was it approved by the board, governing body or CEO? Yes No

Was the approved policy distributed to all covered employees? Yes No

Is there documentation that the policy was received by the employees? Yes No

Are individual employee testing records kept separate from personnel files and are the files secure with access limited to the DAPM and any staff designated as backup to the DAPM? Yes No

Select a few safety sensitive employees and check each employee’s testing records to determine if a pre-employment test was completed and a negative result is in the file prior to hire date or first performance of a safety sensitive function. Also check to see that the transit system requested information about the employee’s testing results from previous employers during the past two years. Are appropriate records on file? Yes No

Request to see the most recently completed random test list and then check a few of the employee’s testing records to determine if a test result (negative or positive) is in the file. Are appropriate records on file? Yes No

Has any reasonable suspicion testing been conducted by the system? Yes No

If #8 is yes, is there documentation in the file stating why the test was performed? Yes No

Has the system had any accidents that trigger post accident testing? Yes No

If #10 is yes, is the test result in the file or is there documentation stating why the driver was not tested? Yes No

-16- 1/4/13
Does the system have training records on file documenting that new employees have received the required 60 minutes of training on the effects of drug use and the indicators of drug use?  
Yes  No

Does the system have training records on file documenting that safety sensitive supervisors have received the required 60 minutes of training for the signs and symptoms of alcohol abuse and an additional 60 minutes for the signs and symptoms of drug abuse?  
Yes  No

Does the system have documentation that its service agents are qualified?

Medical Review Officer (MRO): Does the transit system utilize a licensed physician (Dr. of Medicine or Osteopathy) that is knowledgeable about and has clinical experience in controlled substances abuse disorders and is knowledgeable about DOT regulations? Is credential documentation available at the transit site?  
Yes  No

Does the transit system have documentation indicating the MRO has met the training requirements or requalification training and completed an examination administered by a nationally recognized MRO certification board? Did the training/requalification training and exam happen with the last 5 years?  
Yes  No

Substance Abuse Professional (SAP): Does the transit system utilize a SAP that is a licensed: physician, social worker, psychologist, employee assistance professional, or counselor certified by NAADAC (National Association of Alcoholism & Drug Abuse Counselors Certification Commission) or ICRC (International Certification Reciprocity Consortium/Alcohol and Other Drug Abuse) ? Is credential documentation available at the transit site?  
Yes  No

Does the transit system have documentation indicating the SAP has met the training requirements and completed an examination administered by a nationally recognized professional or training organization. Also, has the SAP met the 12 hours of professional development education required every three years since the exam and does the SAP have documentation of completion of the professional development?  
Yes  No

Breath Alcohol Technician (BAT): Does the system have documentation demonstrating the BAT has received qualification training in accordance with the DOT Model BAT Course and

-17-  Version 1.0
completed seven consecutive error-free mock tests with a EBT? Has the BAT completed refresher training in the last 5 years and is there documentation of completion?  

Collectors: Must have training on collection process, CCF completion and transmission, problem collections, fatal and correctable flaws, and integrity and security of process. Also must have five mock collections that have been monitored and evaluated by a qualified collector. Does the system have documentation to prove the collectors are trained and qualified? Has the training or refresher training happened in the last 5 years?  

Collection Site: Has the transit system documented that it has reviewed its collection site(s) to ensure there is a privacy enclosure for urine collection, bluing agent in toilet, a clean writing surface, restricted access to outside water sources and there are no stored cleaning products or other materials in the collection area during the collection process?  

Laboratory: Does the system utilize a testing laboratory certified by the DHHS under the National Laboratory Certification Program?  

Screen Testing Technician (STT) if applicable: If the system utilizes a STT, does the system have documentation demonstrating the STT has received qualification training in accordance with the DOT Model STT Course and completed five consecutive error-free mock tests with an ASD?  

Third Party Administrator (TPA) if applicable: If the system utilizes a TPA to administer all or part of its testing program, has the system documented that all service agents employed by the TPA are qualified?  

Does the system utilize any safety-sensitive subcontractors to provide service? This would include taxi’s under contract, ambulette’s providing paratransit service, etc.  

If #15 is yes, has the system ensured the safety-sensitive subcontractor is in compliance with 49 CFR Parts 40 and 655? Is there evidence that the system has reviewed and determined the subcontractor to be in compliance?  

Has the transit system had any positive tests in the past year?
If #17 is yes, did the employee(s) that tested positive get referred to a SAP and is there documentation on file of the referral(s)?

Yes  No

If a system has a second chance policy and an employee was returned to duty following completion of a treatment program recommended by the SAP, is there documentation in the employee’s file indicating the treatment program was completed and the employee had a negative return to duty test? Also, is there a schedule for follow up testing recommended by the SAP?

Yes  No

Is there a hot-line telephone number on display for employees to call for assistance with drug and alcohol problems?

Yes  No
GARAGE VISIT

Location of garage: ______________________________________________________

Directions: _____________________________________________________________

_______________________________________________________________________

Spot check one vehicle to see if it’s on DOT inventory. YES___ NO___

Operator’s bus number ______ VIN, or license number, of checked bus __________

Was this vehicle on the roster when you checked back at the office YES___ NO___

Is DOT inspection required on any vehicles? YES___ NO___

Overall condition of garage is good. YES___ NO___

Garage appears clean. YES___ NO___

Number of garage bays: __________

Existing capital equipment: Check each that applies.
Computers ___
Lifts ___
Pit ___
Supervisory Vehicle ___
Maintenance Truck ___
Bus Washers ___
Fare Boxes ___
Shelters ___

Notes from the Garage Visit:
_____________________________________________________________________
_____________________________________________________________________
_____________________________________________________________________
_____________________________________________________________________

_____________________________________________________________________

_____________________________________________________________________

_____________________________________________________________________

_____________________________________________________________________

-20- 
1/4/13
RIDE

The following is a summary of all rides.

Number of routes checked: ____
Which routes: ________________________________________________

Operator’s bus number of the bus(es) in which you rode. ____________________________

Service is open to the general public. YES___ NO___
There are adequate, visible, intelligible, bus stop signs. YES___ NO___
Schedules are readily available. YES___ NO___
The driver is courteous. YES___ NO___
The driver is proficient YES___ NO___
The route is followed according to the schedule. YES___ NO___
The bus is on time. YES___ NO___
Major stops are announced. (Fixed Routes) YES___ NO___
The bus is clean. Interior YES___ NO___
Exterior YES___ NO___
The bus has a valid inspection sticker. YES___ NO___ N/A___

If there was no garage visit at this time, fill in the following two lines; otherwise, leave blank:

VIN, or license numbers, of the bus(es) in which you rode. ____________________________

Was this vehicle on the roster when you checked back at the office YES___ NO___

Notes from the Ride: ________________________________________________________________
______________________________________________________________________________
______________________________________________________________________________
ADA FORM

Have any complaints of discrimination due to disability been received during the past three (3) years?  Yes No

Does the system deny requested trips? Is there a record of and documented appropriate reason for trip denials?  Yes No

Does the system have Paratransit Operating Policies and Procedures (This is not applicable for route deviation and dial-a-ride services)  Yes No

Does the system operate accessible vehicles on all fixed routes?  Yes No

Does the system operate accessible vehicles on all demand response service or certify that equivalent service is provided?  Yes No

Does the system provide paratransit service 3/4 mile on either side of a fixed route?  Yes No

If a system uses route deviation to meet ADA requirements, does the system deviate 3/4 mile on either side of the route for all individuals requesting pickup or drop off.  Yes No

Does the systems’ schedule and policy state that customers requesting paratransit or route deviation services must request a trip on the previous day for next day service?  Yes No

Does the system provide paratransit service for visitors?  Yes No

Is there a PM plan for ADA-mandated accessibility equipment?  Yes No

Is there a required system of maintenance checks for wheelchair lifts on vehicles in place? Are vehicles with inoperable lifts removed from service?  Yes No

Have drivers received special training in use of the ADA required equipment and sensitivity to the needs of the disabled rider?  Yes No