**DAY 1 – XXXX XX, XXXX**

- **9:00 - 9:30 am**
  *Introductions and background* on federal and state review process

- **9:30 am 10:30 am**
  **Legal-Financial-Technical Capacity Review** – Staffing from legal and finance as well as those responsible for program administration should be present for this part of the review.

  Questions will pertain to: organization structure; budgeting and approval process; receipt and distribution of federal and state funding; distribution plans; accounting practices and location of transit accounts; local match requirements and their auditable trail; other sources of revenue and contractual arrangements; fare structure and collection procedures; day to day operations; and staff responsibilities.

  *Documentation to have on hand:* Program Management Plan (PMP), Organizational Chart, Local Match Process, Fare policy, current schedules, and other in-place policies.

- **10:30 – 11:30 am**
  **Procurement** - Staffing responsible for procurement of equipment and services (administration & procurement officers) will need to be present.

  Questions will pertain to: policies and procedures in-place to assure equipment and services are procured in accordance with federal and state guidelines. This will include written procurement policies and the internal controls and flow process in-place to monitor procurement throughout its duration.

  *Documentation to have on hand:* Procurement files for last three years pertaining to all acquisitions involving FTA dollars. Written procurement policy and procedures including, flow chart of local management and approval process for all acquisitions involving federal FTA dollars.

- **11:30 – 12:30 pm**
  **Civil Right-DBE-EEO** – Staff responsible for adhering to Civil Rights, DBE and EEO requirements should be present as well as program administration staff.

  Questions will pertain to: producing policies and procedures in-place to assure compliance. How location of services, service changes, complaints, and planning processes take representatives of these areas into account. Locations and placement of information, and outreach practices to limited English proficiency populations.

  *Documentation to have on hand:* Written Civil Rights and DBE policy and procedures for public awareness, adherence and monitoring.

  **Lunch Break - 12:30-1:15 pm**

- **1:15 – 2:30 am**
  **Americans with Disabilities Act (ADA)** – Staffing responsible for ADA compliance and program administration should be present for this part of the review.
Questions will pertain to: service accessibility, vehicle and facility accessibility, securement systems, driver assistance, informational handouts, complaints and procedures in-place to address them, arranging scheduled services, driver training and policy manuals.

*Documentation to have on hand:* Written ADA policy and procedures for public awareness, adherence and monitoring.

- 2:30 -3:30 pm
  *Satisfactory Continuing Control* – Staffing responsible for program administration, vehicle and facility maintenance and inspection procedures will need to be present.

Questions will pertain to: policies and procedures in-place to assure equipment is maintained, program compliance is upheld, charter and school bus restrictions are adhered too, communication and dissemination of program information and the in-place flow down process to communicate changes and updates to sub-recipients.

*Documentation to have on hand:* Asset Management Plan, Preventative Maintenance Plan, Facility Maintenance Plan, Pre-Post Trip Inspections Procedures.

**DAY 2 – XXXXXXX XX, XXXX**

- 9:00 -10:00 am
  *Maintenance* Staffing responsible for program administration and maintenance will need to be present.

Questions will pertain to: equipment maintenance practices, pre and post trip inspection procedures, preventative maintenance plans and procedures for implementing service and repairs.

*Documentation to have on hand:* Maintenance records of all active FTA funded equipment will need to be available for review.

- 10:00 – 11:00 am
  *Facility Review, Document Collection and General Q&A* – As applicable facility visits and additional documentation will be collected and follow-up questions will be addressed.

- 11:00 – 12:00 am
  *Review Wrap-up* – Overview of findings and expectations for corrective actions.

This last day will also serve for NYSDOT staff performing additional service reviews by means of bus rides, and other observations they deem necessary. Staff will not be required to be on call for these activities unless prior arrangements have been made.

*Concurrent Sessions throughout the site review days will occur with NYSDOT Safety and Drug and Alcohol Staff as appropriate. These sessions will be inserted during days and times when sponsor staff can split off and address multiple topics efficiently.*