Subrecipients of the NYS Department of Transportation (NYSDOT) under the FTA Section 5310 Program are required to submit semi-annually utilization reports to the Department of federally funded equipment. In addition, subrecipients are emailed and required to respond to a Pre-Site Visit Questionnaire once during a three year period.

The following are the NYSDOT risk assessment procedures used for a determination of the need for subrecipient review on-site:

1. Subrecipients are automatically selected if semi-annual reports are not submitted in a timely manner. They are forwarded a Pre-Visit Questionnaire for response that is followed by a Site Visit Review.
2. Subrecipients are automatically selected if they are forwarded a Pre-Site Visit Questionnaire that is not responded to within time frame provided to the subrecipient by the Department.
3. Subrecipients are selected based upon the risk assessment methodology that includes a mandatory Site Visit Review if 30% or more of the requirements are out of compliance or not being sufficiently met based upon the percentages outlined below:
   a. Inconsistent responses to the Pre-Site Visit Questionnaire as compared with the semi-annual reports provided, or other information received that indicate non-compliance with respect to Civil Rights requirements. (20%)
   b. Responses or other information received that indicate non-compliance with Transportation Coordination requirements. (10%)
   c. Responses or other information received that indicate Transportation Safety problems. (10%)
   d. Responses or other information received that indicate Vehicle Maintenance problems. (10%)
   e. Responses or other information received that indicate non-compliance with Charter Bus or School Bus Services requirements. (20%)
   f. Responses or other information received that indicate non-compliance with Drug and Alcohol Testing requirements. (10%)
   g. Responses or other information received that indicate non-compliance with Lobbying requirements. (10%)
   h. Responses or other information received that indicate non-compliance with ADA requirements. (10%)
4. Subrecipient is selected at the discretion of the Director of the Public Transportation Bureau.