

# **Recipient Information Request (RIR)** *Preparation and Submission* *Overview*

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**Fiscal Year 2022 Triennial Reviews**

**January 6, 2022**

**RLS & Associates, Inc.**



# RIR Webinars

- [January 6, 2022](#), from 2:00 pm-4:00 pm ET. This webinar will focus on State Departments of Transportation.
- [January 11, 2022](#), from 2:00 pm-4:00 pm ET. This webinar will focus on civil rights topics.
- [January 12, 2022](#), from 2:00 pm-4:00 pm ET. This webinar will focus on non-civil rights topics.
- [January 13, 2022](#), from 2:00 pm-4:00 pm ET. This webinar will focus on recipients with annual operating expenses below \$100 million.



# Welcome to the Webinar

- Download the documents attached to the webinar (RIR, Slide Deck)
- Ask questions throughout the presentation by typing your questions into the question box on your screen; questions will be answered after the presentation
- Monitor and respond to polling questions in a timely manner



# Poll Question

How many Triennial Reviews have you previously participated in?

- This is my first review
- 1 – 2 previous reviews
- 3 – 4 previous reviews
- 5 or more reviews



# Purpose of the Webinar

- Today's webinar is an overview of the Recipient Information Request (RIR)
  - What is the RIR?
  - Overview of information requested
  - Tips and Best Practices
- Please work with your reviewer and regional FTA office with regard to any specific questions that your agency has

# Review Process

9 Basic Steps

Pre-Review	RIR	Scoping ERM	Virtual Site Visit Prep	Virtual Site Visit	Findings Summary	Draft Report	Final Report	Corrective Actions
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The RIR is the step in the review process in which the recipient is asked to provide information about itself in advance of the virtual review

# Section A

## Recipient Profile



# Section A: Recipient Profile

- Five tables

1. Operations Profile (All)
2. States (Only)
3. Subrecipient Facilities  
(Only if you have subs)
4. Award Activity for FTA  
and Non-FTA-Funded  
Projects (All)
5. Contact Information

- Objectives

- Helps describe your agency
- Provides reviewer a clear picture of agency size, modes of operation, etc.
- Helps reviewer determine the applicability of certain areas

- *Complete as accurately as possible*





# Table I Example

<b>TABLE I – OPERATIONS PROFILE</b>					
<b>Name of Organization / DBA:</b> XYZ Transit <b>Type of Organization:</b> City <b>Year Transit Service Established:</b> 1950 <b>Service Area Population:</b> 250,000+ <b>Does Agency have Subrecipients?</b> No <b>List Contractors and Lessees:</b> <ul style="list-style-type: none"> <li>• [Name, Service Provided (Funding Source)]</li> </ul>					
<b>Paratransit Operating Contractor(s):</b> 124 Transit, Inc - <b>Paratransit Operating Sub Contractor(s):</b> The following subcontractors support the paratransit operating contractor: Motor City Transportation, LLC, ABD Driving - <b>Commuter Rail Operating Contractor(s):</b> Brake Township Transportation USA, Inc.					
<b>List Subrecipients (if applicable):</b> <ul style="list-style-type: none"> <li>• [Name, Service Provided (Funding Source)]</li> </ul>					
N/A					
Non-Rail Modes	Number of Routes	Number of Vehicles Operated during Peak Service	Number of Vehicles/Vessels		
			FTA funded	Locally funded	Federal Interest?
Motorbus • directly operated • provide funds for	27	140	175	0	175

- Make sure that the information provided is consistent with the supporting documents that you submit
- List all subrecipients and contractors that you had at any point during the review period
- Include contractors and lessees that are locally funded as well

# Table I Example

Span of Service:	Hours (differentiate by mode if applicable)				
	Fixed Route	Demand Response	Rail	Ferry	Others
Weekdays	4:30 AM to 1:15 AM	4:30 AM to 1:15 AM	5:00 AM to 2:00 AM	N/A	N/A
Saturdays	4:30 AM to 1:15 AM	4:30 AM to 1:15 AM	5:00 AM to 2:00 AM	N/A	N/A
Sundays	5:00 AM to 1:15 AM	5:00 AM to 1:15 AM	6:00 AM to 12:00 AM	N/A	N/A

Facilities	Number	FTA Interest? (Yes or No)	Names/Locations (Addresses)
Bus Garages	2	Yes	60 & 61 Driver St., Motor City
Rail Facilities	2	Yes	41 South St., 559 Main St.
Transit Centers	4	Yes	Turn Plaza – Downtown Transit City
		Yes	South Hub – Brake Township
		No	East Hub – Motor City
		Yes	West Hub – Transit City
Other Facilities	3	Yes	70 1 <sup>st</sup> St., 90 21 <sup>st</sup> St., 15 Central Parkway

- *Ensure span of service is start and stop times of operation, not total number of hours of service*
- *Ensure that each facility is or is not of FTA interest*

# Table III: Subrecipient Facilities

List of all facilities constructed or renovated with FTA funds used in transit service by subrecipients

1. Subrecipient
2. Facility Description
3. Source(s) of FTA funds
4. Year completed
5. Location (address)

# Table IV: Award Activity

**TABLE IV - AWARD ACTIVITY FOR FTA AND NON-FTA-FUNDED PROJECTS**

*Indicate which projects were/are/will be FTA-funded.*

**Provide a brief description of noteworthy projects completed since your last Comprehensive Review.**

1. Main Street Bridge: The Main Street Bridge is located in the northern portion of Motor City where the XYZ Transit rail line crosses Brake Creek. The project modified the existing railroad trestle by replacing 300 feet of the southern wooden trestle with a new in line, steel deck and concrete piers, single-track bridge. The project limits are at the south approach to Bridge 208.6 on the Transit City Subdivision. Construction started in August 2014 and construction was completed in August 2015.

**Provide a brief description of noteworthy projects that are on-going.**

1. Positive Train Control (PTC): PTC is a federally mandated integrated command, control, communications, and information system that can controls train movements, and even stop the train when conditions warrant. The PTC Project started in August 2012. In April 2017, XYZ Transit began the Initial Revenue Service Demonstration (RSD) testing phase. After success with this phase, XYZ was cleared to begin the Extended RSD phase of PTC, which commenced on all rail lines effective October 16, 2017. The rail trains that operate PTC have the full benefits of Positive Train Control during this RSD Phase. XYZ will continue in Extended RSD until the Federal Railroad Administration (FRA) certifies XYZ's PTC system. Full compliance with FRA certification is due by December 31, 2018 and XYZ is on track to meet that deadline.

**Provide a brief description of noteworthy projects that are planned for the next three to five years.**

1. XYZ Bus Replacement: XYZ's current replacement schedule for fixed route buses is:
  - 8 Buses in FY2018
  - 3 buses in FY 2019
  - 18 buses in FY2020
  - 11 buses in FY2021
  - 16 buses in FY2022

- Remember to indicate if projects are locally funded vs. FTA funded
- Take credit for completed projects
- Note future projects that will be new and/or difficult for your agency



# Poll Question

What is your primary topic of focus for this Triennial Review?

1. Civil Rights (ADA, DBE, Title VI and EEO)
2. Procurement
3. Maintenance, Transit Asset Management, and Satisfactory Continuing Control
4. Financial Management and Technical Capacity
5. Legal, School Bus, Charter Bus, DFWA, Drug and Alcohol Program
6. Section 5307 or 5310 Program Requirements
7. All of the Above



# Section B

## Recipient Information Request



# Section B: Document Upload

- Section-by-Section Organization
  1. Basic Requirement

## 2. FINANCIAL MANAGEMENT AND CAPACITY

**BASIC REQUIREMENT:** The recipient must have financial policies and procedures; an organizational structure that defines, assigns and delegates fiduciary authority; and financial management systems in place to manage, match, and charge only allowable cost to the award. The recipient must conduct required Single Audits, as required by 2 CFR part 200, and provide financial oversight of subrecipients.

*NOTE: For files used to satisfy multiple requested documents, please indicate where in the file, i.e., page number, section, etc., the information can be found.*

Required Documents	Applicability	Date Submitted	Electronic File Name	Comments from Recipient
a. Financial statements or comprehensive annual financial reports for the past three years	All recipients			
b. Internal audits for the past three years prepared by the recipient, if applicable	All recipients			

# Section B: Document Upload

- Section-by-Section Organization

- 2. Document Table

- a. Document
    - b. Applicability
    - c. Date Submitted
    - d. File Name
    - e. Comments from Recipient

Required Documents	Applicability	Date Submitted	Electronic File Name	Comments from Recipient
a. Financial statements or comprehensive annual financial reports for the past three years	All recipients			
b. Internal audits for the past three years prepared by the recipient, if applicable	All recipients			



# Section B: Document Upload

- Section-by-Section Organization
  3. Open-Ended Question(s)










## **Question**

1. *Does the recipient have any plans to, or did it use Federal funds to construct buildings located in an area that has been identified as having special flood hazards and in which the sale of flood insurance has been made available under the National Flood Insurance Act of 1968? |*



# Submitting Documents

## Example: Folder/File Naming Convention

Review Area/ Document	Folder/File Name	
2. Financial Management and Capacity		2_Financial Management and Capacity
a. Financial statements or comprehensive annual financial reports for the past three years		2a1_FY19 FinStmts.doc
		2a2_FY18 FinStmts.doc
		2a3_FY17 FinStmts.doc
		2a4_FY19 CAFR.doc
b. Local Match – Amounts and Sources		2b1_StateMatch.doc
		2b2_CtyMatch.doc
c. Financial policies and procedures		2c1_FinPolGrt.doc
		2c2_FinProcCsh.doc

- Label the folders as shown so that the reviewers can easily identify the document
- Work with your reviewer on the preferred file sharing protocols
- Test the reviewer’s file sharing site now to ensure that your credentials work

# Comprehensive Review Areas

<b>Current Review Areas</b> (*Review area added since FY2018)	<b>Number of Questions</b>
1. Legal	3
2. Financial Management and Capacity	9
3. Technical Capacity – Award Management	4
4. Technical Capacity – Program Management and Subrecipient Oversight	7
5. Technical Capacity – Project Management	4
6. Transit Asset Management (TAM)*	8
7. Satisfactory Continuing Control	12
8. Maintenance	5
9. Procurement	21
10. Disadvantaged Business Enterprise	14
11. Title VI	8

# Comprehensive Review Areas

Current Review Areas (*Review area added since FY2018)	Number of Questions
12.ADA – General	14
13.ADA – Complementary Paratransit	8
14.Equal Employment Opportunity	5
15.School Bus	4
16.Charter Bus	3
17.Drug-Free Workplace Act	3
18.Drug and Alcohol Program	5
19.Section 5307 Program Requirements	5
20.Section 5310 Program Requirements	5
21.Section 5311 Program Requirements	3
22.Public Transportation Agency Safety Plan (PTASP)*	6
23.Cybersecurity*	1

# 1. Legal

## Guidance on Requested Documents

Document	Guidance
a. List of litigations, breaches, defaults, disputes or instances where the Federal government was named as a party to litigation or a legal disagreement since the last review	<ul style="list-style-type: none"><li>• <u>Transit</u> related litigation, breaches, defaults, or disputes</li><li>• Coordinate list development with legal counsel</li><li>• Notices to FTA Chief Counsel or FTA Regional Counsel</li></ul>
b. List of false claims received, or criminal violation committed related to Federal assistance, since the last review	<ul style="list-style-type: none"><li>• Claims under the False Claims Act</li><li>• Instances of fraud, waste, or abuse</li><li>• Coordinate list development with legal counsel</li><li>• Notices to FTA Chief Counsel or FTA Regional Counsel</li></ul>
c. List of law enforcement investigations concerning the recipient's federally-funded projects, to the extent known to the recipient	<ul style="list-style-type: none"><li>• Coordinate list development with legal counsel</li></ul>

# 1. Legal

## Guidance on Requested Documents

Document	Guidance
d. Office of Management and Budget Standard Form LLL (OMB LLL)	
e. Documentation of lobbying activities conducted by subrecipients, contractors, and subcontractors	



# RIR Tips

- *For files used to satisfy multiple requested documents, please indicate where in the file, i.e. page number, section, etc., the information can be found*
- *If no document is uploaded or no web link provided, please indicate why in comments*



# Example

Requested Documents	Applicability	Date Submitted	Electronic File Name	Comments from Recipient
a. List of litigations, breaches, defaults, disputes, or instances where the Federal government was named as a party to litigation or a legal disagreement since the last review	All recipients		N/A	XYZ Transit has not had any litigations, breaches, defaults, disputes, or instances where the Federal government was named as a party to litigation.
b. List of false claims received or criminal violation committed related to Federal assistance since the last review	All recipients		N/A	XYZ Transit has not received any false claims or committed criminal violations related to Federal assistance since the last review

- *Shows good use of comment boxes*
- *Explains why no files were submitted*





# 2. Financial Management and Capacity

## Guidance on Requested Documents

Document	Guidance
a. Financial statements or comprehensive annual financial reports for the past three years	<ul style="list-style-type: none"><li>• Ensure you include the compliance supplement if issued as a separate report</li><li>• For FY 2022 reviews, use past <u>four</u> years</li></ul>
b. Internal audits for the past three years prepared by the recipient, if applicable	<ul style="list-style-type: none"><li>• May only apply to larger recipients with an internal audit department</li></ul>
c. List of funds to support transit programs for the last three years and next three years	<ul style="list-style-type: none"><li>• List source, amounts, status of funding source, and potential changes that may affect funding source</li><li>• Note sunseting provisions, etc.</li></ul>
d. Financial management policies and procedures that include determining allowability of costs and the timely distribution of funds	<ul style="list-style-type: none"><li>• Policy that implements 2 CFR § 200.302(b)(7)</li><li>• Policy that describes fund disbursements within three business days</li></ul>

# 2. Financial Management and Capacity

## Guidance on Requested Documents

Document	Guidance
e. Cash Management Improvement Act of 1990 (CMIA) Agreement	<ul style="list-style-type: none"><li>• States only</li><li>• Annual agreement – ensure upload of the most recent agreement</li></ul>
f. Organizational chart for organization as a whole and financial office(s)	<ul style="list-style-type: none"><li>• Send <u>current</u> organizational chart for both the organization as a whole and the finance department</li><li>• If possible, list job titles and names in the chart</li></ul>
g. Position and job descriptions for award-related senior financial and accounting staff with financial duties for managing FTA funds	<ul style="list-style-type: none"><li>• Key financial staff who manage FTA funds</li></ul>
h. Resumes of award-related senior financial and accounting staff with financial duties	<ul style="list-style-type: none"><li>• Resumes for the same positions listed in Item #g</li></ul>

# 2. Financial Management and Capacity

## Guidance on Requested Documents

Document	Guidance
i. Sample record from financial system identifying the required elements	<ul style="list-style-type: none"><li>• FTA awards with the award title and number, FAIN (Federal award identification number) and year, name of the awarding Federal agency, and name of the pass-through entity, if any</li><li>• See 2 CFR § 200.302(b)(1) for management system requirements</li></ul>
j. Sample financial record including Federal award information, amounts awarded, authorized, encumbered, and expended; including income earned	<ul style="list-style-type: none"><li>• See 2 CFR § 200.302(b)(3) for management system requirements</li><li>• Upload sample report from accounting system that contains the requested information</li></ul>
k. Most recent variance report(s) demonstrating that budget/actual comparisons are completed for FTA awards	<ul style="list-style-type: none"><li>• See 2 CFR § 200.302(b)(5) for management system requirements</li><li>• Upload sample report from accounting system that contains the requested information</li></ul>

# 2. Financial Management and Capacity

## Guidance on Requested Documents

Document	Guidance
l. Sample worksheets used to calculate operating expenses	<ul style="list-style-type: none"><li>• Applicable to recipients of FTA operating assistance</li><li>• Applicable to CARES Act funding if used for operations</li><li>• See FTA Circular 9030.1E, Appendix C-2 of Operating Expense Worksheet</li></ul>
m. Financial plan projecting revenues and expenses for the next three years	<ul style="list-style-type: none"><li>• Upload applicable sections of short-range financial plan</li><li>• Longer-range plans acceptable</li><li>• Include the assumptions and notes to the financial plan</li></ul>
n. Operating and capital budgets for the past three years with comparison to actual results	<ul style="list-style-type: none"><li>• Year-end report from financial software</li></ul>

# 2. Financial Management and Capacity

## Guidance on Requested Documents

Document	Guidance
o. Listing of local or state legislation, with sunset provisions, impacting transit funding	<ul style="list-style-type: none"><li>• Goal – Identify funding sources “at risk” that could impact transit service provision</li></ul>
q. Annual budget to actual reconciliation reports for the entire transit program for the review period	
r. List of subrecipients that charge indirect cost to the recipient	<ul style="list-style-type: none"><li>• Will be N/A if no subrecipients</li></ul>

# RIR Tips

- *Use the RIR as a review preparation tool*
  - *This will help you understand what the reviewers are looking for and why*
  - *Your Triennial Review is an open book test*
  - *When filling out a section of the RIR, consult the corresponding section of the Contractor Manual for Triennial and State Management Reviews*
  - *Review the questions, indicators of compliance, and recipient follow up*



# 3. Technical Capacity – Award Management

## Guidance on Requested Documents

Document	Guidance
a. If written, award management and reporting procedures not included in financial procedures	<ul style="list-style-type: none"><li>• Policies and procedures on completing FFRs and MPRs;</li><li>• Policies and procedures relating to developing ECHO draws;</li><li>• Policies and procedures relating to submitting and managing Single Audits</li></ul>
b. Closeout schedule for all open awards	<ul style="list-style-type: none"><li>• Pertinent to older, completed, or fully expended grants</li></ul>

# 4. Technical Capacity – Program Management and Subrecipient Oversight

## Guidance on Requested Documents

Document	Guidance
a. Public involvement process for development of the long-range statewide transportation plan and STIP	<ul style="list-style-type: none"><li>• States only</li></ul>
b. Process for cooperating with nonmetropolitan local officials in the development of the long-range statewide transportation plan and STIP	<ul style="list-style-type: none"><li>• States only</li></ul>
c. Documentation of public involvement activities (sample meeting minutes, publications of activities)	<ul style="list-style-type: none"><li>• Sample meeting minutes, publications of activities, meeting dates/locations in service</li></ul>



# 4. Technical Capacity – Program Management and Subrecipient Oversight

## Guidance on Requested Documents

Document	Guidance
d. State/program management plan(s)	<ul style="list-style-type: none"> <li>States or designated recipients with Section 5310 or Section 5339 subrecipients (Program Management Plans)</li> </ul>
e. Standard subrecipient application and award document for each program	<ul style="list-style-type: none"> <li>Recipients with subrecipients</li> <li>If standard application/award templates, upload those documents</li> </ul>
f. List of all subrecipients within the past three years	<ul style="list-style-type: none"> <li>Recipients with subrecipients</li> <li>List <u>by program</u></li> </ul>
g. Subrecipient oversight schedule for the past three and the next three years	<ul style="list-style-type: none"> <li>Recipients with subrecipients</li> <li>Detail meeting dates/meeting purpose</li> </ul>
h. Oversight procedures	<ul style="list-style-type: none"> <li>Recipients with subrecipients</li> <li>Upload sample reports, oversight checklists/monitoring materials and training materials/manuals for subrecipients</li> </ul>

# 5. Technical Capacity – Project Management

## Guidance on Requested Documents

Document	Guidance
a. List of FTA-funded capital projects undertaken during the past three years	<ul style="list-style-type: none"><li>• Include the type of project and total project cost</li></ul>
b. Project management plans, if written	<ul style="list-style-type: none"><li>• Not required in all projects</li></ul>
c. Quality control procedures, if written	<ul style="list-style-type: none"><li>• Written procedures that document actions of the recipient to ensure performance and adherence to project requirements</li></ul>
d. Identify FTA-funded capital projects with significant (33%) delays and/or cost increases	<ul style="list-style-type: none"><li>• Requirement extends beyond construction projects</li></ul>
e. List of subrecipient projects with significant (33%) delays and/or cost increases	<ul style="list-style-type: none"><li>• Recipients with subrecipients</li><li>• List all capital projects that fall into this category</li></ul>



# 5. Technical Capacity – Project Management

## Guidance on Requested Documents

Document	Guidance
f. Procedures for administering and monitoring construction projects, bus procurements, and other capital projects, if written	<ul style="list-style-type: none"><li>• Written contract administration procedures or similar documents</li></ul>
g. List of FTA-funded projects for which the recipient and/or subrecipients used force account labor	<ul style="list-style-type: none"><li>• Applicable only to recipients that use force account labor or that have subrecipients that use force account labor</li></ul>
h. List of transit service contractors and lessees	<ul style="list-style-type: none"><li>• Recipients with service contractors and/or lessees</li></ul>
i. Standard transit management or service operator contract and/or lease agreement	<ul style="list-style-type: none"><li>• Recipients with service contractors and/or lessees</li></ul>



# 5. Technical Capacity – Project Management

## Guidance on Requested Documents

Document	Guidance
j. Oversight procedures including sample oversight checklists/ monitoring materials for transit management or service contractors/ lessees	<ul style="list-style-type: none"><li>• Recipients with service contractors and/or lessees</li><li>• Monitoring visit procedures</li><li>• Checklists or other oversight guides used to ensure contractor compliance</li></ul>

# RIR Tips

- *If you upload a document, please indicate where in the document the relevant piece of information can be found*
- *If possible, upload searchable documents*
- *If you don't have a written policy or procedure to attach, explain what the policy or procedure is in practice*
- *If a requested document does not apply, explain why*

# 6. Transit Asset Management

## Guidance on Requested Documents

Document	Guidance
a. TAM plan	<ul style="list-style-type: none"><li>• Recipients with individual TAM plans and group TAM plan</li></ul>
b. National Transit Database (NTD) target report	<ul style="list-style-type: none"><li>• Annual NTD report on rolling stock, equipment, facilities, and infrastructure (rail systems)</li></ul>
c. Documentation of performance measures and targets set annually	<ul style="list-style-type: none"><li>• Annual NTD report on rolling stock, equipment, facilities, and infrastructure</li><li>• Performance target calculations (percent vehicles and equipment =&gt; ULB, facilities below asset condition 3 (TERM scale), and % track segments with performance restrictions)</li></ul>
d. Position and job description for accountable executive	<ul style="list-style-type: none"><li>• Should include responsibility for TAM plan development and execution</li></ul>



# 6. Transit Asset Management

## Guidance on Requested Documents

Document	Guidance
e. Evidence that the TAM plan was shared with the State and/or MPO that provides funding	<ul style="list-style-type: none"><li>• Correspondence, email, or other documentation that demonstrates the TAM plan and related information has been sent to the state or MPO</li></ul>
f. Supporting records or documents of the recipient's TAM plan	<ul style="list-style-type: none"><li>• Include performance targets, investment strategies/plans, and/or annual condition assessment report</li></ul>
g. Documentation of coordination with group plan participants	<ul style="list-style-type: none"><li>• Documentation that all Tier II subrecipients were included in the plan's development; documentation of coordination with participants; and documentation that group plan was made available to subrecipients.</li></ul>
h. Notification from each group plan participant's accountable executive that the participant approves the group plan	<ul style="list-style-type: none"><li>• Group TAM plan sponsors</li><li>• Correspondence , email, or other documentation that demonstrates notification with plan participants</li></ul>



# 6. Transit Asset Management

## Guidance on Requested Documents

Document	Guidance
i. A list of subrecipients that have opted out of a group plan and copies of all group plan opt-out letters	<ul style="list-style-type: none"><li>• Group TAM plan sponsors</li><li>• Correspondence, email, or other documentation that demonstrates notification of opting out of group plan</li></ul>
j. Documentation of the group plan sponsor making the TAM plan available to all participants in an easily accessible format	<ul style="list-style-type: none"><li>• Group TAM plan sponsors</li><li>• Correspondence , email, or other documentation that demonstrates plan provided in easily accessible format</li></ul>
k. Evidence that the recipient is participating in a group TAM plan, such as a listing of group plan participants	<ul style="list-style-type: none"><li>• Group TAM plan sponsors</li><li>• Extracted page from group plan listing plan participants</li></ul>
l. Position and job description for accountable executive	





# 6. Transit Asset Management

## Guidance on Requested Documents

Document	Guidance
m. Oversight tools (checklists, site visit questionnaires) relating to TAM plans	<ul style="list-style-type: none"><li>Recipients with Tier I subrecipients or Tier II subrecipients who opted out of the group plan and are not direct recipients of FTA funds</li></ul>

# 7. Satisfactory Continuing Control

## Guidance on Requested Documents

Document	Guidance
a. Property management procedures (if written)	
b. A listing of FTA-funded real property purchased	<ul style="list-style-type: none"><li>• Inventory (see 2 CFR § 200 for required elements)</li><li>• Reports on the status of real property acquired after December 26, 2014</li><li>• Includes land, improvements, structures, and appurtenances</li><li>• Include property with incidental use; is operated/managed by contractors or lessees; is owned/managed by subrecipients; was constructed or renovated since the last review; or is idle for more than one year</li></ul>
c. Excess FTA-funded real property plan	<ul style="list-style-type: none"><li>• If property is excess, the recipient must identify the reasons for having excess property and describe procedures for utilization and/or disposition</li></ul>
d. Sample real property incidental use agreements	<ul style="list-style-type: none"><li>• Copies of agreements, if applicable</li></ul>



# 7. Satisfactory Continuing Control

## Guidance on Requested Documents

Document	Guidance
e. List of FTA-funded facilities planned to be constructed or renovated	<ul style="list-style-type: none"><li>• Describe projected and actual start date; projected and actual completion date; and FTA portion and total project cost</li></ul>
f. Procedures to determine which federally assisted buildings and/or building content are located in a special flood hazard area	<ul style="list-style-type: none"><li>• Document facility site on FEMA flood hazard maps</li><li>• Document sufficient insurance coverage (must cover federal interest in building)</li></ul>
g. Procedures for determining sufficient levels of insurance	<ul style="list-style-type: none"><li>• Risk assessment procedures</li><li>• Most recent internal assessment of insurance coverage</li></ul>
h. Evidence of flood insurance	<ul style="list-style-type: none"><li>• Policy documentation</li></ul>



# 7. Satisfactory Continuing Control

## Guidance on Requested Documents

Document	Guidance
i. Equipment management procedures	<ul style="list-style-type: none"><li>• Non-state recipients</li><li>• Document inventory control procedures, loss prevention requirements, insurance requirements, and disposition procedures</li></ul>
j. Documentation of last physical inventory conducted along with documentation that an inventory reconciliation was completed	<ul style="list-style-type: none"><li>• Recipients of FTA-funded real equipment</li><li>• See 2 CFR § 200.313(d) for inventory and reconciliation procedures</li></ul>
k. List of vehicles	<ul style="list-style-type: none"><li>• Identify: status (active, contingency, awaiting disposition), FTA or locally funded; FTA program (if FTA-funded); directly operated or leased; third-party maintenance contractor (if applicable); warranty; and any incidental use</li><li>• Tabular presentation with all required fields preferred</li></ul>



# 7. Satisfactory Continuing Control

## Guidance on Requested Documents

Document	Guidance
l. List of FTA funded equipment disposed of within past three years	<ul style="list-style-type: none"><li>• Identify: remaining useful life at time of disposition; value at disposition; use of disposition proceeds</li><li>• Tabular presentation with all required fields preferred</li></ul>
m. Documentation of peak fixed-route bus service requirements, such as rolling stock roster, documentation from scheduling software or other dispatch records documenting the peak	<ul style="list-style-type: none"><li>• Fixed route operators</li><li>• Provide date of peak period reporting</li><li>• Add explanation is report peak vehicles different from NTD and/or other sources</li></ul>
n. Deviation request or special dispensation for spare ratio	<ul style="list-style-type: none"><li>• If recipient exceeded spare vehicle ratio and requested a temporary exception to the 20% standard, documentation of correspondence with FTA approving the deviation</li></ul>



# 7. Satisfactory Continuing Control

## Guidance on Requested Documents

Document	Guidance
o. Contingency fleet plan	<ul style="list-style-type: none"><li>• Document that identifies vehicles beyond their useful life but stockpiled for potential use in emergencies</li><li>• Document should justify need for the contingency fleet, storage practices, and maintenance policies to maintain contingency fleet status</li></ul>
p. Rail fleet management plan	<ul style="list-style-type: none"><li>• Recipients with rail operation</li><li>• A required document that must address six required elements, including: operating policies, peak requirements, maintenance/overhaul program, system and service expansions, railcar procurements, and spare vehicle justification</li></ul>
q. Sample lease agreement with private operator, if applicable	<ul style="list-style-type: none"><li>• Recipients with service contractors and/or lessees</li></ul>



# RIR Tips

- *Try to be as accurate as possible when you answer questions about what assets or facilities have a federal interest*
  - *Answering these areas accurately help shape the review appropriately and prevent surprises*
- *Be as accurate as possible when indicating if you have subrecipients or contractors*
  - *Subrecipients are the non-federal entities that receive subawards from pass-through entities to carry out part of a Federal program (2 CFR § 200.93)*



# 8. Maintenance

## Guidance on Requested Documents

Document	Guidance
a. Written vehicle (including vessels) and equipment maintenance plans	<ul style="list-style-type: none"><li>• All recipients with direct control over FTA-funded vehicles and/or equipment</li><li>• Written documents that demonstrates the agency's goals and objectives for the maintenance program; organization and assignment of responsibility for maintenance; system of periodic inspections and events to be performed at prescribed intervals; warranties; and data/recordkeeping that reflects when and what work was actually performed</li><li>• Plan must reflect current fleet configuration</li></ul>
b. Written facility maintenance plan	<ul style="list-style-type: none"><li>• All recipients with direct control over FTA-funded facilities</li><li>• Plan should demonstrate/verify how the agency documents completed facility maintenance events</li></ul>



# 9. Procurement

## Guidance on Requested Documents

Document	Guidance
a. Current procurement policies and procedures	<ul style="list-style-type: none"><li>Local government ordinances may not include federal requirements; ensure if agency has adopted supplemental procedures to reflect FTA-funded procurements that all applicable guidance is provided to the reviewer</li></ul>
b. State statute regarding A&E (qualifications-based) procurements (States only)	<ul style="list-style-type: none"><li>Recipients, including states, may use equivalent qualifications-based procedures if adopted before August 10, 2005</li></ul>
c. Procurement standards of conduct	<ul style="list-style-type: none"><li>COI provision, covered individuals, acceptance of gifts, disciplinary actions</li></ul>
d. Procurement protest procedures	<ul style="list-style-type: none"><li>If not address in Item #1, upload separate document</li></ul>



# 9. Procurement

## Guidance on Requested Documents

Document	Guidance
e. List of FTA-funded procurements awarded since the last review	<ul style="list-style-type: none"><li>• Tabular format appropriate; include all requested fields noted in RIR Item #e</li></ul>
f. List of change orders executed over \$250,000 since last review	
g. List of protests received or decided since the last review	
h. List of capital leases awarded since the last review	
i. List of claims	

# 10. Disadvantaged Business Enterprise

## Guidance on Requested Documents

Document	Guidance
a. Most recent DBE Program, if not uploaded to TrAMS	
b. Current organizational chart which includes the DBELO	<ul style="list-style-type: none"><li>• Chart should illustrate direct and independent access to the CEO</li></ul>
c. DBELO job description	
d. Documentation of implementation of small business element measures	<ul style="list-style-type: none"><li>• Evidence agency has implemented this element of the DBE program</li></ul>
e. Shortfall analysis and corrective action plan, if not required to be submitted to FTA	<ul style="list-style-type: none"><li>• Awards/commitments less than goal for three year period, shortfall analysis required</li></ul>
f. List of any DBEs terminated/ substituted on a project	<ul style="list-style-type: none"><li>• See requirements of 49 CFR § 26.53(f)(i) actions/documentation to be maintained in event of termination</li></ul>

# 11. Title VI

## Guidance on Requested Documents

Document	Guidance
a. Most recent Title VI Program, if not uploaded to TrAMS	
b. Listing of Title VI investigations, complaints, and lawsuits that have occurred <b>since</b> the latest Title VI Program submission	<ul style="list-style-type: none"><li>• Transit program-related</li></ul>
c. List of language assistance training for staff	<ul style="list-style-type: none"><li>• Details on training, tools, or other resources used to ensure LEP persons have access to transit system information/services</li></ul>
d. Examples of public participation activities performed since the last Comprehensive Review that align with the Title VI program	<ul style="list-style-type: none"><li>• Efforts specifically undertaken to enhance minority and LEP populations involvement in public participation activities</li></ul>



# 11. Title VI

## Guidance on Requested Documents

Document	Guidance
e. List of transit facilities sited since the last Comprehensive review and copies of corresponding equity analyses	
f. List of transit facilities to be constructed/leased in the upcoming three Federal fiscal years, and copies of equity analyses completed or schedule for equity analysis completion	
g. List of any fare changes or major service changes since the latest Title VI Program submission, dates of change, and brief descriptions of the changes	<ul style="list-style-type: none"><li>• All recipients that provide fixed route public transportation meeting the peak vehicle and UZA threshold</li></ul>

# 11. Title VI

## Guidance on Requested Documents

Document	Guidance
h. Any service equity or fare equity analyses conducted since submission of last Title VI Program for major service changes or any fare changes	<ul style="list-style-type: none"><li>• All recipients that provide fixed route public transportation meeting the peak vehicle and UZA threshold</li></ul>
i. Any service equity or fare equity analyses conducted since submission of last Title VI Program for new fixed guideway service, New Starts or Small Starts projects	<ul style="list-style-type: none"><li>• All recipients that provide fixed route public transportation meeting the peak vehicle and UZA threshold</li></ul>
j. Competitive selection or annual program of projects process	<ul style="list-style-type: none"><li>• Applicable to states/state DOTs</li></ul>
k. List of all subrecipient applications received during the review period	<ul style="list-style-type: none"><li>• Applicable to states and all MPO direct recipients</li><li>• List: accepted/rejected; applicants that are minority organizations or serve minority/low-income areas; amount of funds</li></ul>



# RIR Tips

- *Use the “Comments from Recipients” column of each RIR section’s table as often as possible*
- *If you have questions about what you need to provide, contact your reviewer and ask*
- *Use links to your website and other websites/documents when appropriate*



# 12. Americans with Disabilities Act (ADA) - General

## Guidance on Requested Documents

Document	Guidance
a. ADA complaint procedures	<ul style="list-style-type: none"><li>• Website citation is acceptable; should be clear that complaint procedures apply to all services, including fixed route</li></ul>
b. ADA complaint form	<ul style="list-style-type: none"><li>• Website citation is acceptable; form must mention ADA or disability and apply to all services</li></ul>
c. ADA complaint record retention procedures	
d. Driver handbooks/operating and training manuals/ADA-related service bulletins	
e. Sample internal service provision monitoring materials, such as surveys, checklists, interview forms, etc.	<ul style="list-style-type: none"><li>• Monitoring materials for compliance elements that are not complementary paratransit (stop announcements, use of lifts, etc.)</li></ul>





# 12. Americans with Disabilities Act (ADA) - General

## Guidance on Requested Documents

Document	Guidance
f. ADA reasonable modifications procedures	<ul style="list-style-type: none"><li>• Website citation is acceptable</li></ul>
g. Rider's guides, including paratransit guides	<ul style="list-style-type: none"><li>• Often information for general compliance issues, such as service animal accommodation or wheelchairs, is only found in paratransit information even though it is not specific to paratransit.</li><li>• Information should clearly apply to all services, including fixed route.</li></ul>
h. List of new facilities constructed or facilities altered since the last review	
i. Current certification of equivalent service and supporting analysis	<ul style="list-style-type: none"><li>• Demand response service providers that have acquired inaccessible vehicles since the last review</li></ul>



# 13. Americans with Disabilities Act (ADA) – Complementary Paratransit

## Guidance on Requested Documents

Document	Guidance
a. Paratransit rider's guide	<ul style="list-style-type: none"><li>All recipients that provide ADA complementary paratransit service</li></ul>
b. Paratransit application form	
c. Operations, dispatch, scheduling or reservation procedures	
d. Sample notification letter templates for conditional eligibility, temporary eligibility, and denials	
e. Definitions for denials, missed trips, on-time performance, and excessively long trips, along with the related data for the past year	



# 13. Americans with Disabilities Act (ADA) – Complementary Paratransit

## Guidance on Requested Documents

Document	Guidance
f. ADA complementary paratransit service contracts	<ul style="list-style-type: none"><li>• Note that your reviewer will request any service contracts not related to complementary paratransit as well</li></ul>
g. Oversight tools for service provided under contract or other arrangement or relationship	<ul style="list-style-type: none"><li>• Entities that contract or enter into other arrangements for the provision of complementary paratransit</li><li>• Includes, but is not limited to, an award, subaward or cooperative agreement</li><li>• Oversight tools include required reports, questionnaires, and checklists for ADA complementary paratransit service</li></ul>

# 13. Americans with Disabilities Act (ADA) – Complementary Paratransit

## Guidance on Requested Documents

Document	Guidance
<p>h. Copies of contracts or other arrangements, or terms of other relationships (including, but not limited to, awards, subawards or cooperative agreements) with private entities to operate ADA complementary paratransit service</p>	<ul style="list-style-type: none"> <li>• Entities that contract or enter into other arrangements for the provision of complementary paratransit</li> </ul>
<p>i. Oversight tools for subrecipients, including required reports, questionnaires, and checklists for ADA complementary paratransit service</p>	<ul style="list-style-type: none"> <li>• Entities that have subrecipients that are required to provide complementary paratransit</li> </ul>

# 14. Equal Employment Opportunity

## Guidance on Requested Documents

Document	Guidance
a. Number of recipient employees working in the Federal Transit Administration (FTA)-funded program	<ul style="list-style-type: none"><li>• Includes full- and part-time employees</li></ul>
b. Most recent EEO program, if not uploaded to FTA's Transit Award Management System (TrAMs)	<ul style="list-style-type: none"><li>• All recipients that meet the threshold for an EEO program</li></ul>
c. Sample documents used for internal and external dissemination of EEO program	<ul style="list-style-type: none"><li>• All recipients that meet the threshold of the EEO Program requirements to prepare and maintain an abbreviated EEO program</li></ul>
d. Organizational chart identifying EEO officer	<ul style="list-style-type: none"><li>• All recipients that meet the threshold for an EEO program</li></ul>
e. Designated employee and EEO officer job descriptions	<ul style="list-style-type: none"><li>• All recipients that meet the threshold for an EEO program</li></ul>



# 14. Equal Employment Opportunity

## Guidance on Requested Documents

Document	Guidance
f. Standard performance evaluation for managers/supervisors	<ul style="list-style-type: none"><li>• All recipients that meet the threshold for an EEO program</li></ul>
g. “Employment Practices Chart” (or alternate documentation containing the same information)	<ul style="list-style-type: none"><li>• See FTA Circular 4704.1A Attachment 4 for the listed information</li></ul>
h. EEO complaint logs	<ul style="list-style-type: none"><li>• Redact employee names for privacy considerations</li></ul>
i. Agendas, sign-in sheets for meetings conducted when the EEO policy and its implementation are explained	<ul style="list-style-type: none"><li>• All recipients with subrecipients that meet the threshold for an EEO program</li></ul>
j. Agendas and sign-in sheets for EEO training or meetings with management	<ul style="list-style-type: none"><li>• All recipients that meet the threshold for an EEO program</li></ul>

# 14. Equal Employment Opportunity

## Guidance on Requested Documents

Document	Guidance
k. List of EEO training topics	<ul style="list-style-type: none"><li>All recipients that meet the threshold for an EEO program</li></ul>
l. List of newly hired supervisors and managers who attended the EEO supervisory training	
m. Sample of recruitment entities and ads for job positions	
n. Log of recruitment locations and recruitment dates for the review period	
o. List of internal and external dissemination of the EEO Program for each year since the last EEO plan update	



# 14. Equal Employment Opportunity

## Guidance on Requested Documents

Document	Guidance
p. List of meetings with affinity groups since the last EEO plan update	<ul style="list-style-type: none"><li>• All recipients that meet the threshold for an EEO program</li></ul>
q. List of subrecipients and/or contractors that meet the threshold to develop an EEO program	<ul style="list-style-type: none"><li>• All recipients that meet the threshold for an EEO program</li></ul>





# RIR Tips

- *Make sure your documents are dated*
- *If a requested document is in the process of being revised, indicate that in the RIR comments*
- *If after the RIR submission, you have updated documents or new documents, submit them to your reviewer*
- *Keep your reviewer informed about any changes or additions to what is submitted*



# 15. School Bus

## Guidance on Requested Documents

Document	Guidance
a. List of assets used in exclusive school bus operations	<ul style="list-style-type: none"><li>List recipients, subrecipients, contractors, and/or lessees</li></ul>
b. List of subrecipients, contractors, and lessees that operate exclusive school bus service	
c. List of any complaints received relating to school bus service	



# 16. Charter Bus

## Guidance on Requested Documents

Document	Guidance
a. Charter service log, along with a clear statement identifying which exception the recipient relied upon when it provided charter service	<ul style="list-style-type: none"><li data-bbox="1021 439 2346 482">• Agencies that provide charter service consistent with 49 CFR § 604</li></ul>
b. List of real property (including facilities) and equipment used in charter bus operations for:	
c. List of subrecipients, contractors, and lessees that operate charter service	
d. List of any complaints received related to charter bus service	

# 17. Drug-Free Workplace Act

## Guidance on Requested Documents

Document	Guidance
a. Written drug free workplace policy	<ul style="list-style-type: none"><li>• DFWA policy (not the drug and alcohol testing policy)</li></ul>
b. Examples of drug free awareness notifications	<ul style="list-style-type: none"><li>• Upload brochures, posters, information on bulletin boards, employee assistance programs, or other materials that demonstrate dissemination of information or resources</li></ul>
c. Number of employees with a Federal or State criminal drug statute conviction during the review period	<ul style="list-style-type: none"><li>• Reporting requirement applicable when drug statute violation occurred in the workplace</li></ul>

# 18. Drug and Alcohol Program

## Guidance on Requested Documents

Document	Guidance
a. Copy of board-adopted drug and alcohol policy with date of board adoption	<ul style="list-style-type: none"><li>• All recipients of Sections 5307, 5309, 5311, or 5339 funds with safety-sensitive employees</li><li>• Commuter rail-only providers excluded</li></ul>
b. List of covered employees placed in safety-sensitive positions and supervisors or company officials charged with making reasonable suspicion determinations during the review period	<ul style="list-style-type: none"><li>• Include name and date placed in position or first began making reasonable suspicion determinations</li></ul>
c. Training programs for covered employees and supervisors	
d. Certificates of service agents	



# 18. Drug and Alcohol Program

## Guidance on Requested Documents

Document	Guidance
e. List of subrecipients, contractors, subcontractors, and lessees with safety-sensitive employees	<ul style="list-style-type: none"><li>Recipients with subrecipients, contractors, subcontractors, and lessees with safety-sensitive employees who receive Section 5307, 5309, or 5311 funds directly from the recipient</li></ul>



# 19. Section 5307 Program Requirements

## Guidance on Requested Documents

Document	Guidance
a. Signed metropolitan transportation planning agreement between the recipient, MPO, state(s), and public providers of public transportation	<ul style="list-style-type: none"><li>• Recipients in small UZAs</li><li>• Include agreement on developing/sharing performance information if not addressed in planning agreement</li></ul>
b. MPO public participation plan and TIPs and TIP notices published since the last review	<ul style="list-style-type: none"><li>• Recipients that rely on the TIP public participation process</li></ul>
c. POP public notices, coordination processes, list of complaints, final and amended POPs	<ul style="list-style-type: none"><li>• Recipient that rely on its own Section 5307 public involvement process</li></ul>

# 19. Section 5307 Program Requirements

## Guidance on Requested Documents

Document	Guidance
d. Written policy for soliciting public comment prior to implementing a fare increase or major service reduction	
e. Half fare/special identification card application	
f. List of fare increases and major service reductions implemented since last review with date of implementation	



# RIR Tips

- *Make sure your documents are readable*
  - *Avoid proprietary formats*
  - *Do use standard office formats, .docx, .xlsx, .pdf, etc.*
  - *Do not lock or otherwise protect documents that will disable ability to search, bookmark, or highlight the uploaded document*



# 20. Section 5310 Program Requirements

## Guidance on Requested Documents

Document	Guidance
a. State correspondence approving a public body to coordinate services for seniors and persons with disabilities, if applicable	<ul style="list-style-type: none"><li>• State and designated recipients of Section 5310 funds</li></ul>
b. Certification documentation that no nonprofits are readily available, if applicable	<ul style="list-style-type: none"><li>• State and designated recipients of Section 5310 funds</li></ul>
c. Sample Section 5310 vehicle lease	<ul style="list-style-type: none"><li>• State and designated recipients of Section 5310 funds</li></ul>

# 21. Section 5311 Program Requirements

## Guidance on Requested Documents

Document	Guidance
a. Governor's certifications for intercity bus for the review period, if applicable	<ul style="list-style-type: none"><li>• States</li></ul>
b. Intercity bus studies	<ul style="list-style-type: none"><li>• States</li></ul>

# 22. Public Transportation Agency Safety Plan

## Guidance on Requested Documents

Document	Guidance
a. ASP(s) and all referenced documents, including policies and/or procedures	
b. Documentation of the recipient's Board of Directors' or Equivalent Authority's approval of the ASP	
c. Documentation of the ASP approval by the State Safety Oversight Agency (SSOA)	<ul style="list-style-type: none"><li>• Rail transit agencies only</li></ul>
d. Organizational chart or other documentation of the CSO/SMS Executive's uninterrupted line of reporting to the Accountable Executive, if not included in the ASP	

# 22. Public Transportation Agency Safety Plan

## Guidance on Requested Documents

Document	Guidance
e. Emergency Preparedness and Response Plan, if not included in the ASP (rail transit mode only)	<ul style="list-style-type: none"><li>• Rail transit agencies only</li></ul>
f. List of small public transportation providers for which the State developed ASPs, if applicable	<ul style="list-style-type: none"><li>• States only</li></ul>
g. Small public transportation provider State ASP opt out letter, if applicable	<ul style="list-style-type: none"><li>• States only</li></ul>

# 23. Cybersecurity

**Applicable to recipients that operate rail service; no requested documents**

# Poll Question

Did you find this webinar useful?

1. Definitely Yes
2. Mostly Yes
3. Neutral
4. Mostly No
5. Definitely No



**Questions?**

