



DIVISION OF TRANSPORTATION INVESTMENT MANAGEMENT (DTIM)

Bureau of Transit, Local Roads, Railroads and Harbors (BTLRRH)

Website: <https://wisconsindot.gov/pages/doing-bus/local-gov/astnce-pgms/transit/default.aspx>

General Transit Team Phone Number: 608.266.9400

Overview of Compliance Requirements: What You Need to Know

The Wisconsin Department of Transportation (WisDOT) is responsible for ensuring transit grant funds are used properly and that grantees, known as subrecipients, comply with requirements associated with receiving state and Federal Transit Administration (FTA) grant funds.

This document provides an overview of state and federal compliance requirements. Subrecipients must adhere to the following:

Section 1. Program Management

- Understand the type of federal and/or state funds received and how the funds are distributed to your agency's programs and services.
- Have a form of authorizing resolution approved by common council or a governing board that establishes organizational authority to accept federal/state funds for transit program purposes.
- Identify and establish who is delegated to sign contract/grant agreements, certifications, and assurances, etc.

Section 2. Financial Management

- Have written financial management and cash control procedures, especially when handling fair box revenues.
- Maintain separate accounts for federal and state transit related funds so expenses and revenues can easily be monitored.
- Regularly reconcile transit project budgets to ensure expenses and revenues are consistent with contract/grant agreements.
- Regularly review transit project budgets to ensure sufficient funds are set aside to cover project expenses and local match dollars until federal funds become available.
- Understand program income generated may not be used to reduce the local share of the grant from which it was earned but may use it for future grants.
- Prepare a single audit pursuant to OMB Circular A-133 when subrecipients expend \$1,000,000 or more in federal financial assistance.

Section 3. Procurement

- Follow WisDOT specified procurement procedures when purchasing goods or services with federal and/or state funds.
- Have some form of written procurement policies.

- Maintain all proper certifications for purchased vehicles on file to ensure that vehicles delivered have met contract specifications (i.e. Buy America Certification, Purchasers Requirement Certification, Federal Motor Vehicle Safety Standards Certification, Vehicle Diagnostic Report, Alignment Certification, Inspection Report, and Insurance Certification).
- Maintain adequate technical capacity and oversight of third-party contracts, including:
 - Written procedures to ensure that equipment, goods, and services are acquired and received as contracted;
 - Lobbying certifications in solicitations from all contractors awarded contracts in excess of \$100,000;
 - Documentation of Buy America on all purchases over \$150,000;
 - Review of the System for Award Management (SAM) found at <https://www.sam.gov> to ensure that none of their contractors are debarred, suspended, ineligible or voluntarily excluded from participating in federally funded transactions;
 - Collection and review of third-party service provider's driver's logs, dispatch records, reports, and invoices.

Section 4. Asset Management

- Ensure assets are used for their originally authorized and intended purpose.
- Maintain a complete and accurate inventory of vehicles, equipment, and facilities. Specifically, records must include:
 - Description
 - Acquisition Date
 - Location of Use
 - ID Number (if applicable)
 - Cost (federal/state and local share)
 - Condition
 - Title Information
 - Percentage of state or federal grant share
 - Disposition data include date of disposal, sale price, method of determining fair market value, and receipt of payment to Pay.gov if vehicle has been sold over \$5,000.
 - Procurement Source
 - Grant number/contract number
- Update vehicle mileage and condition on the Transit Management System (TMS).
- Prepare and update a vehicle, and facility/equipment maintenance plan.
 - If vehicles are leased, monitor maintenance by collecting maintenance summaries from lessee and ensuring adequate maintenance is performed on vehicles.
- Maintain a well-organized file of maintenance records.
- Subrecipients of 5311 and 5310 funding must develop a Transit Asset Management (TAM) plan for public transportation assets that included vehicles, facilities, equipment, and support infrastructure.
 - Subrecipients may develop their own TAM plan or participate in a group TAM plan.

Section 5. Service and Operations

- Provide service that is open to the general public. This can include a subset of the general public for seniors and individuals with a disability for 5310 funds.
- Count rides using actual counts.
- Have a method to track encounters of Limited English Proficiency (LEP) individuals.
- Adequately market transportation service.

- Keep records relating to service hours, passenger trips and other data required by WisDOT.
- Develop a Transportation Program Manual covering transportation service and operations policies (i.e. employee/volunteer training, passenger assistance, passenger behavior, service animals, oxygen tanks, etc.)

Section 6. School Bus and Charter Bus

- Notify WisDOT prior to conducting any form of school or charter service.
- While not prohibited, school and charter service are subject to specific regulations that must be strictly followed.

Section 7. Civil Rights

- Follow Title VI requirements to ensure no individual is subject to any form of discrimination.
- Develop and implement a Title VI Plan including:
 - Posting Title VI Public Notice in facilities, on the agency website, and all vehicles.
 - Developing a Complaint Form and Complaint Procedure
 - Preparing and implementing a Limited English Proficiency Plan
- Adhere to Disadvantaged Business Enterprise (DBE) requirements per 49 CFR Part 26, as amended including required contract language on federally funded contracts and setting contract specific DBE goals, as applicable.

Section 8. Americans with Disabilities Act (ADA)

- Follow federal Americans with Disabilities Act (ADA). Specific ADA requirements vary depending on service provided, however generally include:
 - Allowing service animals to accompany individuals with disabilities in vehicles and facilities.
 - Deploying lifts or ramps upon request, for standees as well as wheelchair-users.
 - Accommodating people who use a wide variety of mobility devices.
 - Making public information and communications available in accessible formats.
 - Accommodating persons using respirators or portable oxygen.
 - Training operators in the use of accessibility equipment as well as sensitivity to people with disabilities.
 - Allowing Personal Care Attendants (PCAs) to travel with person with disabilities at no cost.
 - Tracking all trip denials.
 - Developing and implementing a reasonable modification policy
- Prepare a Complimentary Paratransit Plan, if applicable.

Section 9. Safety and Drug and Alcohol – 5311 only

- Develop, implement, and maintain an updated USDOT/FTA compliant Drug and Alcohol Testing Policy for safety sensitive employees, participate in drug and alcohol testing, provide training to safety-sensitive employees, submit annual reports, and maintain records related to testing and training.
- Develop a Public Transportation Safety Plan (PTASP) as required by U.S.C. 49 Section 5329(d).

Section 10. Miscellaneous Provisions

- Provide employees/volunteers with adequate training to ensure service capacity is met.
- Develop and update a Local/Regional Human Service Transportation Coordinated Plan, if applicable.
- Maintain a copy of the US Department of Labor Special Section 5333(b) Labor Warranty, as well as post this warranty on an employee bulletin board.