



**SECTION 5311 INTERCITY BUS
COMPLIANCE AND PERFORMANCE REVIEW
PACKAGE**

**Service Provider
Street Address
City, State, Zip**

FY2019

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OVERVIEW

The Missouri Department of Transportation (MoDOT) is required by the Federal Transit Administration (FTA) to ensure that subrecipients of FTA assistance comply with federal requirements. To meet this federal mandate, MoDOT conducts periodic reviews of its subrecipients. An additional objective of the reviews is to ensure compliance with State requirements.

This review package lists materials to be reviewed and contains questions to be answered. The questions address FTA and State requirements and good practices related to the funding you receive and the services you provide. This package will document the review from start to finish.

The review process is as follows:

1. **Desk review.** MoDOT reviews information in its files. The desk review is completed.
2. **Subrecipient pre-site visit preparation.** The subrecipient receives the review package, gathers the requested documents, answers the questions by typing the responses into the review package, and sends the requested documents and completed review package to the reviewer. *Please keep the review package in its MS Word format when answering the questions.*
3. **MoDOT/consultant pre-site visit preparation.** MoDOT and the consultant review your answers to the questions and the supporting documents submitted and note follow-up items in the package. Before the site visit, MoDOT or its consultant emails you the annotated review package for you to follow during the site visit. *Items to be discussed at the site visit will be highlighted.*
4. **Site visit.** MoDOT visits you to discuss the answers to the questions, tours your facility(ies), inspects vehicles, and reviews financial, procurement and maintenance files. The site visit begins with an entrance conference. The site visit ends with an exit conference at which preliminary findings are discussed.
5. **Report.** MoDOT issues a report, noting any deficiencies with associated corrective actions and timelines for implementation.
6. **Follow-up and close-out.** MoDOT and its consultant work with you to address any deficiencies identified during the review.

MoDOT has contracted Milligan & Company, LLC, to assist with the reviews.

Your site visit is scheduled for [Day, Date/Time]. Please send the requested documents and completed review package by [Day/Date] to [reviewer]. His/her contact information appears below. An electronic copy of the completed review package in MS Word format is required as the reviewers will add notes to the document. Electronic copies of additional documents are preferred. When sending documents in portable document format (pdf), please ensure that the document is in native pdf, that is, is searchable. Please email the requested documents to your reviewer. Please copy Mr. Bryan

Heckman, MoDOT 5311 Program Manager, at Bryan.Heckman@modot.mo.gov on all emails.

Name:
Milligan & Company, LLC
Email:
Phone:

Thank you for taking the time to participate in this review. We look forward to continuing our successful and productive relationship.

Sincerely,

Joan Roesler

Joan Roeseler
Administrator of Transit

SITE VISIT SCHEDULE

The table below presents the tentative site visit schedule. The review package sent to you before the site visit will contain the final schedule.

Tentative Site Visit Schedule

Day, Date	
9:00 – 12:00	Entrance Conference Discussion of Review Areas Exit Conference

REQUESTED DOCUMENTS

Unless noted, please send requested documents before the site visit. Electronic copies are preferred.

Documents	Comment
ADA	
Complaint policy/procedure	
Service policies relating to ADA (accessibility equipment, service animals, etc.)	
Asset Management	
Listing of MoDOT-funded vehicles	
Written vehicle maintenance plan (required)	
Vehicle pre-trip inspection form (if not included in the written plan)	
Maintenance records (MoDOT-funded vehicles only)	Have available for review for the site visit
EEO	
EEO policy statement	
Employment application form	
Sample job posting and advertisement	
Procurement	
Procurement policy manual (required)	
Code of conduct	
Procurement files for vehicles purchased with FTA funds	Have available for review for the site visit

BACKGROUND

REVIEW INFORMATION

Provider contact: Address: Office: Mobile: Email: Website:
Site visit dates: Day, Date & Time

INSTITUTIONAL STRUCTURE

Name:
Type of Organization: Private Intercity Carrier
Year established:
Year service started:

ASSETS AND SERVICE DESCRIPTION

Assets:	Number	Location	Federal and/or State Interest (yes or no)
MoDOT 5311(f)-funded buses			Yes

Number and description of routes operated in Missouri:
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REVIEW AREAS

PROJECT MANAGEMENT/GRANT ADMINISTRATION

Carriers must have the technical capacity to implement projects, manage grants, and comply with FTA and State requirements. To demonstrate technical capacity, the carriers must have an adequate number of staff; maintain adequate documentation of key policies; and submit timely, accurate, and complete quarterly reports. *FTA Annual Certifications and Assurances, FTA Master Agreement, Section 5; FTA Circular 9040.1G.*

<p>1. Who (job title) is responsible for preparing and submitting reports to MoDOT?</p>	
<p>2. Have any special labor protection warranty complaints been received?</p> <p>If yes, were they reported to MoDOT?</p> <p>How were the complaints resolved?</p> <p><i>Section 5311 subrecipients must report any special labor warranty complaints and how they were resolved to MoDOT.</i></p>	
<p>3. Are FTA funds used for lobbying activities?</p> <p><i>The use of federal funds for lobbying is prohibited (49 CFR 20.100).</i></p>	
<p>4. Have non-federal funds been used for lobbying?</p> <p>If yes, has the Standard Form-LLL, "Disclosure Form to Report Lobbying" and any necessary updates been filed with MoDOT?</p> <p><i>If lobbying services are procured with non-federal funds, the subrecipient is required to submit the disclosure form, OMB Standard Form LLL (Rev.7-97) to MoDOT for filing with FTA (49 CFR 20.110 and 2 CFR 200.331).</i></p>	

ASSET MANAGEMENT

Carriers must use FTA-funded equipment and facilities to provide public transportation. Subrecipients must maintain FTA-funded equipment and facilities at a high level of cleanliness, safety, and mechanical soundness in accordance with the manufacturers' minimum requirements.

SATISFACTORY CONTINUING CONTROL	
1. Is rolling stock that was purchased with FTA funds used for transportation purposes?	
2. Can you account for all equipment or facilities purchased with FTA funds?	
3. Describe the systems in place to insure against loss/damage/theft.	
VEHICLE MAINTENANCE	
4. Who (job title) is responsible for maintenance?	
5. Is the maintenance plan written?	
6. Does each vehicle have an identified preventive maintenance schedule at least as aggressive as the one provided by the manufacturer?	
7. What are the manufacturer's minimum requirements for each vehicle type? Do preventive maintenance schedules for each type of vehicle in the fleet meet the manufacturer's minimum requirements?	
8. Is a preventive maintenance program in place for lifts and other accessibility features such as ramps, public announcement systems, tie-downs, etc.? Please describe. <i>49 CFR 37.161 requires accessibility features and equipment be maintained in operating condition.</i>	
9. What procedures are used to track when preventive maintenance inspections are due and to schedule preventive maintenance inspections?	

<p>10. Does the review of vehicle maintenance records indicate that preventive maintenance (PM) service is performed in accordance with the vehicle manufacturer’s recommendation(s)?</p> <p><i>(Reviewer will answer after examining maintenance records. At least 80 percent of PM inspections must be performed on time. MoDOT allows a +10 percent or +500-mile variance, whichever is greater, when determining whether an inspection was performed on time.)</i></p>	
<p>11. Does the review of the maintenance records indicate that the files are complete and document the maintenance conducted?</p> <p><i>(Reviewer will answer.)</i></p>	
<p>12. Are pre-trip inspections conducted prior to placing a vehicle in service?</p>	
<p>13. Does the pre-trip inspection address safety; vehicle operation, appearance, and cleanliness; and passenger comfort?</p>	
<p>14. Does the pre-trip inspection ensure that all items, such as boxes with bi-directional reflective triangles and fire extinguishers are secured to the vehicle?</p>	
<p>15. Does the pre-trip inspection program address lifts and other accessibility features, such as ramps, public announcement systems, and tie-downs?</p> <p><i>49 CFR 37.163 requires public entities to establish a system of regular and frequent checks of accessibility features sufficient to determine if they are operative.</i></p>	
<p>16. As part of the pre-trip, do drivers check to ensure that tie-downs and straps are on board and clean?</p> <p>Where are tie-downs and straps stored on the vehicles?</p>	
<p>17. Are deficiencies noted in pre-trip inspections repaired timely and properly reviewed by management?</p> <p>Who reviews the inspections? How often?</p>	
<p>18. How does the carrier document maintenance activity performed to correct the reported defect?</p>	

<p>19. When a lift is found to be inoperative, is the vehicle taken out of service by the beginning of the next service day and repaired before returning it to service?</p> <p>What alternative arrangements are made for riders?</p> <p><i>49 CFR 37.203 requires that when a lift is discovered to be inoperative, the entity shall take the vehicle out of service before the beginning of the vehicle's next trip and ensure that the lift is repaired before the vehicle returns to service. If there is no other vehicle available to take the place of an over-the-road bus with an inoperable lift, such that taking the vehicle out of service before its next trip will reduce the transportation service the entity is able to provide, the entity may keep the vehicle in service with an inoperable lift for no more than five days from the day on which the lift is discovered to be inoperative.</i></p>	
<p>20. Are FTA-funded vehicles leased to or operated by other providers?</p> <p>If yes, does the lease or operating agreement include maintenance standards?</p>	
<p>21. Who is responsible for washing and cleaning the buses?</p> <p>What quality assurance or inspection procedures are in place to ensure buses are kept clean?</p>	
<p>22. Do the vehicles meet an acceptable level of cleanliness (exterior and interior)?</p>	
<p>23. What is the system for tracking warranty issues and recovering warranty claims?</p>	
<p>24. Are warranty claims pursued effectively and promptly to conclusion?</p>	
<p>25. Have there been any safety recall notices in the past two years? If yes, please describe the issue and its resolution.</p>	

AMERICANS WITH DISABILITIES ACT

Titles II and III of the Americans with Disabilities Act of 1990 (ADA) 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 service.

<p>1. Who is responsible for and what is the process for resolving an ADA complaint?</p> <p>Does the process provide for a prompt response to the complainant?</p> <p>How is the public informed on how to file an ADA complaint?</p> <p>Have any complaints of discrimination due to disability been received from riders? If yes, please describe the complaints, when the complaints occurred, and how the complaints were resolved.</p> <p>Were complaints reported to NYSDOT?</p> <p>How long are complaints maintained on file?</p> <p><i>49 CFR 27.13 and 37.17 require procedures for addressing ADA complaints that incorporate appropriate due process standards and provide for prompt and equitable resolution. Entities must sufficiently advertise the process for filing an ADA-related complaint and communicate a response promptly to any individual filing a complaint. The entity is not required to respond to all complaints in writing, but rather must ensure the response can be documented internally. Entities must retain copies of ADA-related complaints for at least one year and a summary of all ADA-related complaints for at least five years.</i></p>	
<p>2. Is the fleet 100 percent accessible? If not:</p>	
<p>a) How does a passenger arrange for an accessible vehicle?</p> <p><i>49 CFR 37.193 (a)(1)(i) allows over-the-road bus operators to require up to 48 hours advance notice. Per clause 2.4 of the joint service agreement, the carrier shall provide accessible services when requested. A vehicle on-demand is acceptable.</i></p>	

<p>b) If an individual with a disability does not provide advance notice, what efforts are made to provide the trip?</p> <p><i>If an individual with a disability does not provide the advance notice the over-the-road bus operator requires, 49 CFR 37.193 (a)(1)(ii) requires the operator to make a reasonable effort to provide the service.</i></p>	
<p>3. Is interline service provided? If yes, how does the carrier arrange for an accessible bus or equivalent service at each stage of the trip?</p> <p><i>49 CFR 37.187 requires the over-the-road bus operator with which the reservation is made to arrange for an accessible bus or equivalent service.</i></p>	
<p>4. Are intermediate or rest stops served? If yes:</p> <p><i>49 CFR 37.201 requires the over-the-road bus operator to allow individuals with disabilities, including individuals using a mobility device, to leave and return to the bus and to assist with boarding and alighting.</i></p>	
<p>a) Are individuals with disabilities, including individuals using a mobility device, allowed to leave and return to the bus?</p>	
<p>b) Do operators assist individuals with disabilities with boarding and alighting, as needed?</p>	
<p>5. Are system brochures, application forms, rider handbooks, and occasional bulletins available in accessible formats upon request?</p> <p>What formats, if any, have been requested?</p> <p><i>49 CFR 37.167(g) requires public information to be made available in alternative formats upon request. Examples of alternative formats include large type, audio-tapes, Braille, and information posted on the Internet.</i></p>	
<p>6. Does the carrier require all mobility devices to be secured?</p> <p><i>49 CFR 37.165(c)(3) allows entities to require all mobility devices to be secured.</i></p>	
<p>7. What is the policy for providing service if a mobility device cannot be secured?</p> <p><i>49 CFR 37.165(d) requires that service must be provided even when a mobility device cannot be secured.</i></p>	

<p>8. Does the carrier require mobility device users to transfer to a seat? <i>49 CFR 37.165(e) stipulates that entities may request, but not require, that mobility device users transfer to a seat.</i></p>	
<p>9. Does the carrier place size or weight limitations on mobility devices? <i>49 CFR 37.165(b) prohibits entities from setting weight or size limitations on mobility devices it will transport that understate the capacity that the vehicle fleet can accommodate.</i></p>	
<p>10. Do drivers provide assistance to passengers as necessary and upon request with lifts, ramps, and securement devices? <i>49 CFR 37.165(f) requires drivers and other personnel to provide assistance as necessary and upon request.</i></p>	
<p>11. Does the carrier permit individuals that do not use mobility devices to use lifts and ramps? <i>49 CFR 37.165(g) requires entities to deploy lifts for standees upon request.</i></p>	
<p>12. Are lifts/ramps deployed at any stop? <i>49 CFR 37.167(g) requires that the entity permit a passenger who uses a lift or ramp to board or disembark from a vehicle at any designated stop, unless the lift or ramp cannot be deployed, the lift will be damaged if it is deployed or temporary conditions preclude the safe use of the stop by all passengers (i.e., the stop is “closed” for the duration of such conditions).</i></p>	
<p>13. How and when do operators report lift and ramp failures? <i>49 CFR 37.203(b) requires operators to report immediately any in-service lift failures.</i></p>	
<p>14. Regarding service animals: <i>The USDOT ADA regulations (49 CFR 37.3) define a service animal as any guide dog, signal dog, or other animal individually trained to work or perform tasks for an individual with a disability, including, but not limited to, guiding individuals with impaired vision, alerting individuals with impaired hearing to intruders or sounds, providing minimal protection or rescue work, pulling a mobility device, or fetching dropped items.</i></p>	
<p>a) Are service animals allowed on the buses? <i>49 CFR 37.167(d) requires that entities permit service animals to travel with riders.</i></p>	

<p>b) Does the carrier require service animals to be certified?</p> <p><i>USDOT prohibits requiring service animals to be certified.</i></p>	
<p>c) Does the carrier require service animals to be under the control of the passenger?</p> <p><i>The USDOT allows entities to require that service animals be under the control of the passenger.</i></p>	
<p>15. Does the carrier provide service to persons using respirators or portable oxygen?</p> <p><i>49 CFR 37.167(h) requires entities to provide service to persons using respirators or portable oxygen.</i></p>	
<p>16. What is your policy regarding the time allowed for boarding and alighting?</p> <p><i>49 CFR 37.167(i) requires that entities allow adequate time for passengers with disabilities to board and alight vehicles.</i></p>	
<p>17. Are drivers trained:</p> <p>In the use of accessibility equipment?</p> <p>In properly assisting passengers with disabilities who use the service with respect, courtesy and sensitivity?</p> <p>How soon after being hired does the training occur?</p> <p><i>49 CFR 37.173 requires drivers to be trained to proficiency, as appropriate for their duties, so that they operate vehicles and equipment safely, and properly assist and treat individuals with disabilities who use the service with respect, courtesy, and sensitivity.</i></p>	
<p>18. Do you require drivers to make use of all available accessibility equipment?</p> <p><i>49 CFR 37.167(e) requires that entities make use of all available accessibility equipment when needed.</i></p>	
<p>19. How do you monitor drivers to ensure that they comply with ADA requirements?</p> <p>Example: Follow-up on complaints, ghost riders, road supervision, ADA advisory committee.</p>	

<p>20. Are mobility device locations and at least two forward-facing seats in the front of each bus designated as priority seating?</p> <p><i><u>49 CFR 38.27 Priority seating signs</u> requires that each vehicle contain sign(s) which indicate that seats in the front of the vehicle are priority seats for persons with disabilities, and that other passengers should make such seats available to those who wish to use them. At least one set of forward-facing seats shall be so designated. Each securement location shall have a sign designating it as such.</i></p>	
<p>21. Are persons sitting in priority seats requested to vacate those seats when a person with a disability needs to use them?</p> <p><i>When an individual with a disability needs to sit in a seat or occupy a mobility device securement location, <u>49 CFR 37.167(j)</u> requires the entity to ask the passenger to move in order to allow the individual with a disability to occupy the seat or securement location.</i></p>	

NONDISCRIMINATION IN THE DELIVERY OF SERVICE (TITLE VI)

Carriers must not discriminate on the grounds of race, color, or national origin in the delivery of public transportation services.

<p>1. How are clients, riders, and/or the public notified of their rights under Title VI? (Website, reception area, meeting rooms, schedules, signs or brochures on buses)</p> <p>Do you notify beneficiaries of:</p>	
<p>a. Protections under Title VI?</p>	
<p>b. How to obtain additional information on nondiscrimination obligations?</p>	
<p>c. How to file a complaint?</p>	
<p>d. That information on your Title VI obligations and complaint procedures will be translated as needed?</p> <p><i>Carriers must notify the public of its protections under Title VI, how to obtain additional information on nondiscrimination obligations, and how to file a complaint. Carriers should offer to translate the nondiscrimination obligations and complaint procedures as needed. At a minimum, recipients shall disseminate this information to the public by posting a Title VI notice on the carrier's website and in the public areas of the carrier's office(s), including the reception desk, meeting rooms, etc. Recipients should also post Title VI notices at stations or stops, and/or on transit vehicles.</i></p>	
<p>2. Have any complaints concerning discrimination in the delivery of service been received since the last review or last grant application?</p> <p>If yes:</p>	
<p>a. How were the complaints identified and resolved?</p>	
<p>b. Did you maintain a record of the complaints that includes:</p> <ul style="list-style-type: none"> ▪ the date of the complaint was filed? ▪ a summary of the allegations? ▪ the status of the investigation? ▪ the actions taken in response to the complaint? 	

<p>3. Have employees received the training in providing timely and reasonable language assistance to limited English proficient (LEP) populations?</p> <p><i>FTA requires carriers to train employees in providing timely and reasonable language assistance to LEP populations.</i></p>	
<p>4. Since the submittal of the carrier's Title VI plan to MoDOT, have you identified any additional language assistance needs? If yes, please describe.</p>	

EQUAL EMPLOYMENT OPPORTUNITY

Carriers may not discriminate against any employee or applicant for employment because of race, color, religion, national origin, sex, age, or physical or mental disability. Carriers must post in conspicuous and accessible places and make available to employees and applicants for employment notices setting forth an equal employment opportunity (EEO) policy.

<p>1. Does the carrier meet the threshold for submitting an EEO program plan to the state?</p> <p>If yes and the carrier does not receive funds directly from FTA:</p> <p>a. Has the carrier submitted an EEO program plan to MoDOT?</p> <p>b. Has the carrier notified MoDOT of any changes to its EEO policy?</p> <p><i>Per FTA Circular 4704.1A, "Equal Employment Opportunity Program Guidelines for Grant Recipients" unless a program is submitted directly to FTA, a carrier must submit an EEO program plan to MoDOT every three years if it has 50 or more transit-related employees and receives \$1 million or more in FTA capital and/or operating funds or \$250,000 in planning funds in a year. Carriers meeting the threshold for submitting an EEO program plan must notify MoDOT of any changes to the policy.</i></p>	
<p>2. Who is responsible for ensuring that EEO obligations are fulfilled?</p> <p>To whom does this individual report for EEO matters?</p>	
<p>3. Has an EEO statement been posted in a conspicuous and accessible place?</p> <p><i>An EEO statement must be posted in a conspicuous place where employers and job applicants will see it.</i></p>	
<p>4. Is an EEO policy included in your personnel policies and/or employee handbook?</p> <p><i>An EEO policy should be included in personnel policies and/or employee handbook.</i></p>	
<p>5. Do all employees have a policies and procedures handbook?</p>	

<p>6. Are EEO statements included on job applications and employment notices/job postings? <i>Job applications and employment notices should include an EEO statement.</i></p>	
<p>7. Were any EEO complaints or lawsuits received since the last site visit? If yes: Describe the complaint and how it was resolved. What is the process for handling and resolving such complaints? Was MoDOT notified of the complaint?</p>	

PROCUREMENT

Carriers purchasing equipment and/or services with FTA funds must comply with the relevant provisions of 2 CFR 200 and FTA Circular 4220.1F. Carriers are prohibited from contracting for goods and services from individuals or organizations that have been suspended or debarred from receiving federally assisted contracts.

1. Who (job title) is responsible for procurement activities?	
2. Does the carrier have <u>written</u> procurement procedures that include required state, local, and Federal provisions?	
3. Does the carrier have a written code of standards of ethical conduct governing the performance of employees engaged in the award and administration of contracts that prohibits any employer, officer, or carrier from participating in the selection, award, or administration of contracts?	
4. Do any potential conflicts of interest exist between policy Board members/employees and consultants/vendors/suppliers or between a management contractor and consultants/vendors/suppliers?	
5. What are the procurement thresholds and what are the requirements for each?	
6. Who (job title) reviews and approves purchases? What are the dollar thresholds?	
7. Are awards made only to responsible contractors? <i>Required by 49 USC 5325 (j)</i>	
8. Does the entity have and follow written procurement protest procedures? <i>Required by 2 CFR 200.318 (k)</i>	
9. Were there any non-competitive (sole source, single-bid) procurements since the last review?	
10. Does the entity maintain records sufficient to detail the history of each FTA-funded procurement? <i>Required by 2 CFR 200.318 (j)</i>	

<p>11. Does the entity have any revenue-producing contracts, such as for advertising on buses? If so, describe how the procurement was conducted.</p> <p><i>FTA Circular 4220.1F requires that revenue-producing contracts be competitively procured.</i></p>	
<p>12. Is the documentation for quotes, price sheets, etc., kept for three years after audit?</p>	
<p>13. Describe the vehicle procurement process from the development of specifications to the receipt and acceptance of the vehicles.</p>	
<p>14. Do any FTA-funded transit vehicle contracts exceed five years in length, including base and options?</p> <p><i>FTA limits rolling stock contracts, including base and options, to five years.</i></p>	
<p>15. What purchases were made with FTA funds since the last site visit? (Examples: fuel, maintenance services, transportation services, professional services such as legal or accounting/audit services, insurance on vehicles and property, etc.)</p>	
<p>a. What procedures were followed for each of the purchases?</p>	
<p>b. Did the procedures followed provide for full and open competition?</p> <p><i>Required by 2 CFR 200.319 (a)</i></p>	
<p>c. Who (job title) administers the contracts?</p>	
<p>16. Are FTA-required clauses included in all contracts exceeding \$10,000 (\$2,000 for construction contracts)?</p> <p><i>Required by 2 CFR 200 Appendix II</i></p>	
<p>17. For procurements greater than \$25,000, prior to award, does the entity have documentation that third party contractors are not suspended or debarred?</p> <p><i>Subrecipient shall document that it verified that bidders were not excluded or disqualified by:</i></p> <ul style="list-style-type: none"> • <i>checking SAM Exclusions (at SAM.gov), or</i> • <i>collecting a certification, or</i> • <i>adding a clause or condition to the covered transaction.</i> 	

<p>18. Has the entity become aware of any new information, following the award of a contract or subcontract, that an excluded party is involved in any covered transaction? If yes, was MoDOT promptly informed in writing?</p> <p><i>Subrecipients must provide immediate written notice to MoDOT for reporting to FTA if they learn that their certification or the certification of any contractors is no longer valid.</i></p>	
<p>19. Does the entity contract for transportation services in Missouri? If yes, has MoDOT been notified?</p> <p><i>MoDOT must be made aware of all transportation service contracts. MoDOT reserves the right to review and approve all contracts for transportation services.</i></p>	

PROCUREMENT FILE REVIEW SHEET

Awarded To: _____ Amount: _____
 Contract Number: _____ Purpose: _____
 Award Date: _____ Number of Bids Received: _____

Item	Yes	No	NA
Does the file contain an index or checklist of items that it should contain?			
Are materials filed in chronological order?			
Does the file contain an independent cost estimate (ICE)? <i>Required only for procurements >\$150,000.</i>			
Does the file contain the rationale for the method of procurement and contract type?			
Does the file contain the invitation for bids or the request for proposals?			
Does the file contain the notices and advertisements?			
Does the file include all bids received?			
Does the file document the evaluation method and the results of the evaluation?			
If a pre-bidders' conference was held, does the file document the bidders notified of the conference, the date and time of the conference, and the list of the attendees?			
If the procurement was a sole source, single bid, brand name, or award to other than low bidder, does the procurement file contain a justification for the award?			
Do the files contain a cost or price analysis? <i>Required only for procurements >\$150,000.</i>			
Does the file contain a signed contract?			
Do the files indicate that the subrecipient ensured that goods and services were received?			
Does the file include all contract modifications and amendments?			
Does the file contain all correspondence with the vendor?			
Were there were changes orders, or contract amendments? If yes: <ul style="list-style-type: none"> • Cost justification? • Within scope of the initial contract? • Approved by an authorized official? • All documentation with most current amended contract in file? 			

DISADVANTAGED BUSINESS ENTERPRISE

Subrecipients must ensure nondiscrimination in the award and administration of FTA-assisted contracts. Subrecipients also must create a level playing field on which disadvantaged business enterprises (DBEs) can compete fairly for FTA-assisted contracts. MoDOT provides searchable database of [DBE firms](#).

<p>1. Did the subrecipient report on DBE activity in the semi-annual reports?</p> <p><i>Subrecipients must submit semi-annual DBE activity reports to MoDOT on or before April 30 and October 30.</i></p>	
<p>2. Do the reports indicate that the subrecipient has been successful in contracting with DBEs?</p>	
<p>3. What efforts have been taken to ensure that DBEs have the maximum opportunity to compete for and perform contracts and subcontracts financed in whole or in part with FTA funds?</p> <p><i>Subrecipients must ensure that DBEs have the maximum opportunity to compete for and perform contracts and subcontracts financed in whole or in part with FTA funds. Examples of good faith efforts include advertising in newspapers that serve minority communities, maintaining a list of minority vendors, and contacting other agencies for potential DBE contractors.</i></p>	
<p>4. Were any DBE complaints received? If yes: Describe the complaint and how it was resolved. What is the process for handling and resolving such complaints? Was MoDOT notified?</p>	

ATTENDANCE SHEET

Name	Title	Phone	Email