

OVERVIEW OF MDT 5310 REVIEW PROGRAM

MDT has implemented a revised compliance and good practices review program. The goal of the review program is to promote quality service to transit riders. To that end, the reviews ensure compliance with federal and state requirements and promote good management practices.

There are separate compliance and good practices reviews.

REVIEW PROCESS

As illustrated in Figure 1, the review process has 8 steps:

- Notification and scheduling
- Desk review
- Grantee self-review
- Pre-visit analysis
- Site visit and presentation of preliminary findings
- Documentation of findings
- Response from grantee
- Close out of findings and review

Notification and Scheduling

MDT notifies the board and transit manager by letter that the grantee is scheduled for a compliance review, good practices review, or both. Attached to the letter is a program overview. After sending the letter, MDT calls the grantee to schedule the review.

Desk Review

MDT enters data from the application, annual audits, quarterly reports, and review files into the electronic workbook, a Word document. MDT notes any issues from analysis of the application and quarterly report data and notes deficiencies and corrective actions from the last review. The reviewer prepares a list of materials needed to be sent by the grantee before the site visit, including any updates to materials that are on file. After entering the information, MDT emails the workbook to the grantee. The workbook includes the list of requested materials.

Grantee Self-Review

The grantee conducts a self review by entering responses to the questions in the electronic workbook, emails the workbook back to MDT, and mails requested materials to MDT.

Pre-Visit Analysis

MDT reviews the materials sent by the grantee, evaluates the grantee self-review, and enters additional notes into the electronic workbook.

Site Visit

MDT conducts the one-day site visit during which it reviews responses to questions with the grantee, inspects all vehicles and a sample of maintenance records and procurement files, and develops preliminary findings and recommendations. MDT gives each corrective action or recommendation a timeframe for implementation using the following priorities:

- **Priority 1** (Response time: 1 day) Fire, life, health, safety, security issues that directly impact the life and health of passengers, employees or others associated with the direct delivery of services.
- **Priority 2** (Response Time: 1 week) Activities that might disrupt or interfere with the passenger transportation process. (Burned out interior lights, lack of forms, air conditioner problems, etc.) or those administrative and compliance activities that might interfere with the purchasing or grant process and the delivery of services. Regulatory or compliance issues regarding insurance, licensing or other activities impacting the legal or financial health of the organization.
- **Priority 3** (Response time: 30 days) Convenience work orders or general maintenance items or general administrative and compliance issues. (Examples: oil change past due, dirty vehicle interior, etc.)
- **Priority 4** (Response time: 90 days) Items which are not in need of immediate attention but will improve delivery of service . (Examples: Design new form, repaint bus interior, update documentation, etc.)
- **Priority 5** (Response time: Ongoing) Monitor and report on activities whose implementation will require time and results will be noticed over time. (Example: Develop and implement procedures to ensure that preventive maintenance inspections are conducted on time.)

If a Section 5310 grantee contracts with a provider for public transportation service or leases FTA-funded equipment to another provider, the site visit will include a visit to the contractor or lessee. During the site visit, MDT will conduct the following sections from the compliance workbooks:

- Maintenance
- Safety
- ADA
- Drug and alcohol testing
- Charter bus

- School bus

After completing the questionnaire, the reviewer works with the grantee to analyze strengths, weaknesses, opportunities, and threats (SWOT analysis).

At the end of the site visit, the reviewer presents the preliminary findings of the review and the SWOT analysis to a representative of the board and management.

Documentation of Findings

MDT enters notes from the site visit, findings, and corrective actions with timeframes into the electronic workbook and emails it to the grantee.

Response from Grantee

The grantee enters concurrence with the findings or additional information into the workbook and emails it back to MDT. The grantee mails documentation of corrective actions to MDT as they are implemented.

Close Out of Findings and Review

MDT reviews the materials submitted and enters notes regarding the corrective action into the workbook and either closes the finding and notifies the grantee that the finding is closed or informs the grantee that the response was insufficient to close the finding. When all findings are closed, MDT notifies the board and management in writing that the review is closed. A sample letter is presented in the appendix. The completed electronic workbook documents the review from start to finish.

REVIEW DELIVERABLES AND PRODUCTS

MDT will deliver to the grantee:

- A letter notifying the grantee that they are scheduled for a review this year.
- A table of preliminary findings and recommendations from the review and SWOT analysis at the end of the site visit.
- A completed workbook documenting all answers to questions and findings and recommendations that includes a final table of findings and recommendations from the review and SWOT analysis within a week of the site visit.
- A letter notifying the board and management that all findings from the review are closed.

Figure 1: Review Process Steps

Notification and Scheduling

MDT notifies the board and the transit manager by letter that a review is scheduled. Attached to the letter is a program overview. MDT calls and schedules the review with the grantee.

Desk Review

MDT conducts the desk review, enters the data into an electronic workbook, and emails the workbook to the grantee.

Grantee Self-Review

The grantee reviews data from the desk review, conducts a self review by entering responses to questions in the electronic workbook, emails the workbook back to MDT, and mails requested materials to MDT.

Pre-Visit Analysis

MDT reviews the materials sent by the grantee, evaluates the grantee self-review, and enters additional notes into the electronic workbook.

Site Visit

MDT conducts the site visit during which it reviews responses to questions with the grantee, inspects vehicles and maintenance records, inspects procurement files, and reports findings to the board and management.

Documentation of Findings

MDT enters notes from the site visit, findings, and corrective actions with timeframes into the electronic workbook and emails it to the grantee.

Response from Grantee

The grantee enters concurrence with the findings or additional information into the workbook and emails it back to MDT. The grantee mails documentation of corrective actions to MDT as they are implemented.

Close Out of Findings and Review

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