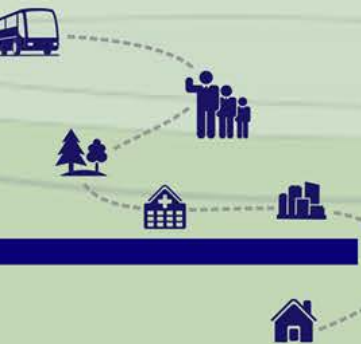


Compliance & Oversight Review

FY2019 Compliance & Oversight Review Schedule



2018 Subrecipient Workshop

- Waccamaw RTA 9/12-13/2018
- Bamberg COA 10/9/2018
- City of Seneca 11/7/2018
- Lancaster COA 12/11/2018
- City of Anderson 1/17/2019
- Pee Dee RTA 2/12-13/2019
- Fairfield County Transit 3/12/2019



Program Compliance Items of Importance

- *Completion of the Questionnaire prior to the review date.*
- **CONTROL ENVIRONMENT** (Control activities, such as segregation of duties, physical controls, and a system of approvals).
- **LEGAL AND GOVERNANCE** (Recipients must have a designated body legally responsible for the overall organization, management and operation of the transportation system).
- **PROCUREMENT** (Sub-recipients of federal funds must comply with the provisions of FTA Circular 4220.1F. In addition to other requirements Sub-recipients must have written procurement procedures, a written code of ethical conduct, and written protest procedures. Subsequent contracts are to include all applicable federally required clauses).
- **SUSPENSION/DEBARMENT** (Sub-recipients are prohibited from contracting for goods and services from individuals or organizations that have been suspended or debarred from receiving federally assisted contracts. Sub-recipients can search the list on the Internet at www.sam.gov).
- **LOBBYING** (Sub-recipients and contractors may not use federal funds to pay for influencing or attempting to influence an officer or employee of any federal department or agency).
- **SATISFACTORY CONTINUING CONTROL** (Sub-recipients must use FTA-funded equipment and facilities to provide public transportation).



BEST PRACTICES

- **Compartmentalized 6 part file folder for each vehicle in your fleet.**



COMPARTMENT ONE

•Vehicle Information

- a. **Copy of your vehicle registration**
- b. **Copy of your current proof of insurance**
- c. **Assigned agency number (Bumper Number)**
- d. **Equipment serial numbers (Wheelchair Lift)**
To include make and model



COMPARTMENT TWO

Vehicle Repair Records

- a. Facility Information
- b. Vehicle Information
 - 1. Make, model, and VIN
 - 2. Mileage
 - 3. Repairs performed
- c. Filed in sequence (newest to oldest)



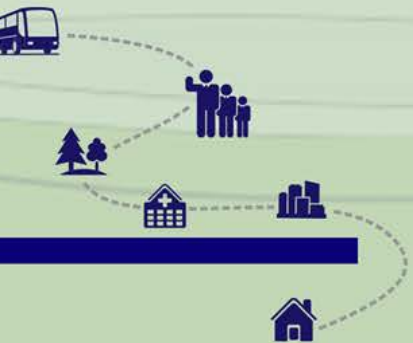
COMPARTMENT THREE

- Preventative Maintenance Records
 - a. Facility Information
 - b. Vehicle Information
 - 1. Make, model, and VIN
 - 2. Mileage
 - 3. Maintenance performed (Oil Change Etc.)
 - c. Filed in sequence (newest to oldest)



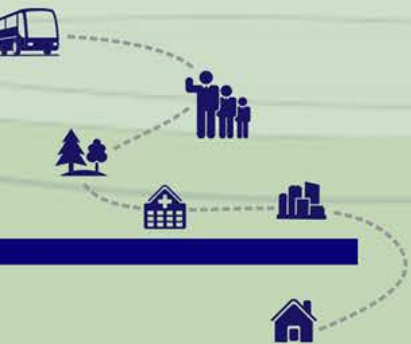
COMPARTMENT FOUR

- Warranty Repair Records (New FTA/OPT requirement)
 - a. Facility Information
 - 1. Must be a OEM certified repair facility
 - b. Vehicle Information
 - 1. Make, model, and VIN
 - 2. Mileage
 - c. Complete Warranty Claim Report and send to Asset Manager



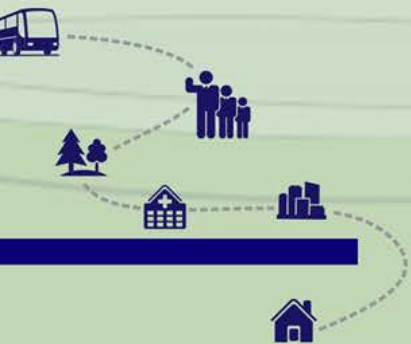
COMPARTMENT FIVE & SIX

- Pre-Post Trip Inspection Sheet (see handout)
- a. Completed “DAILY” by each driver
- b. Filed in sequence (newest date to oldest date)



Warranty Claim Reports

Subrecipients with capital assets funded by OPT are required to track all warranty claims and submit these claims to the designated regional OPT Asset Manager monthly. OPT will monitor monthly reports, at a minimum, for recurring issues, trends, and defects. Please see Appendix G for the Warranty Claim Report, Form 900.



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WARRANTY CLAIM REPORT

REASON: To fulfill preventive maintenance requirements as outlined by FTA and OPT's State Management Plan. (Page 105)

PURPOSE: To identify, track, and monitor recurring issues, trends, and defects in OPT funded assets.

AGENCY NAME & ADDRESS:

MAKE: _____ MODEL: _____

VIN: _____

DESCRIPTION OF WARRANTIED REPAIR: _____

AUTHORIZED REPAIR VENDOR: _____

ADDRESS OF AUTHORIZED REPAIR VENDOR: _____

FACILITY WARRANTIED REPAIR DESCRIPTION: _____

AUTHORIZED REPAIR CONTRACTOR: _____



- **BEST PRACTICES - WARRANTIES**

- I. Written warranties

- a. How long does the warranty last, when does it begin, when does it expire?
- b. Who do you contact to get warranty service?
- c. What will the company do if the product fails?
- d. What are the limitations on the warranty?



II. Preventing Warranty Problems

- a. Read your warranty on all install equipment.
- b. Perform required maintenance and inspections.
- c. Use the equipment according to manufacturers instructions.



III. Resolving warranty disputes.

- a. Call your vendor.
- b. Contact your regional sales representative.
- c. Call SCDOT



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