

DRAFT REPORT

FY2008 TRIENNIAL REVIEW

of the
City of Jonesboro
(JETSs)
Jonesboro, Arkansas

Desk Review: January 16, 2008
Site Visit: April 29-30, 2008

April 2008

Prepared for the
Federal Transit Administration
Region VI
Fort Worth, Texas

by

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I. TRIENNIAL REVIEW BACKGROUND

The United States Code, chapter 53 of title 49, requires the Federal Transit Administration (FTA) of the United States Department of Transportation (USDOT) to perform reviews and evaluations of Urbanized Area Formula Grant activities at least every three years. This requirement is contained in 49 U.S.C. 5307(i).

- (2) At least once every 3 years, the Secretary shall review and evaluate completely the performance of a recipient in carrying out the recipient's program, specifically referring to compliance with statutory and administrative requirements and the extent to which actual program activities are consistent with the activities proposed under subsection (d) of this section and the planning process required under sections 5303-5306 of this title.
- (3) The Secretary may take appropriate action consistent with the review, audit and evaluation under this subsection, including making an appropriate adjustment in the amount of a grant or withdrawing the grant.

The Triennial Review includes a review of the grantee's compliance in 23 different areas. The basic requirements for each of the 23 areas reviewed are summarized below.

This report presents the findings from the Triennial Review of the City of Jonesboro, Arkansas. This review was performed in accordance with FTA procedures (published in FTA Order 9010.1B, April 5, 1993) and included preliminary reviews of documents on file at the Region VI Office in Fort Worth and on-site discussions and review of the procedures, practices, and records of the City as deemed necessary. The review concentrated primarily on procedures and practices employed during the past three years; however, coverage was extended to earlier periods as needed to assess the policies in place and the management of grants. During the visit, administrative and statutory requirements were discussed, documents were reviewed, and facilities were toured. Specific documents examined during the Triennial Review are available in FTA's and the City's files.

II. REVIEW PROCESS

The desk review was conducted in the Region VI Office on January 16, 2008. Following the desk review, an agenda package was sent to the City advising it of the site visit and indicating additional information that would be needed and issues that would be discussed.

The site visit to the City occurred April 29-30, 2008. The individuals participating in the review are listed in Section VII of this report.

At the entrance conference, the purpose of the Triennial Review and the review process were discussed. During the site visit, urbanized area formula grant program administrative and

statutory requirements were discussed and documents were reviewed. The City transit facilities were toured to provide an overview of activities related to FTA-funded projects. A sample of FTA-funded vehicles was inspected during the site visit.

On completion of the review, an exit conference was held with the City staff to discuss findings as well as corrective actions and schedules. This information is summarized in the table in Section V of this report. A draft copy of this report was provided to the City at the exit conference.

III. DESCRIPTION OF THE GRANTEE

The transportation system in the City of Jonesboro began as a county wide effort called Northeast Arkansas Transit (NEAT). This effort was put to the Craighead County Quorum Court in 2004 where it failed to be approved by the governing body of Craighead County.

In 2005, the Mayor of the City of Jonesboro and the City Council agreed to take up the cause of transit within the city. As a department of the City of Jonesboro, the transit system would only operate within the city limits and provide services as directed by the Mayor and Council. Preliminary budgets and applications for federal funding were established in 2005 with the intent of beginning services on April 1 of 2006.

In January of 2006, a new Transit Coordinator was assigned to the Transit Department of the City of Jonesboro. Using the groundwork laid out by the previous department head, the original NEAT board, the Mayor and the City Council, the Department was built.

Since late 2005, the department has developed from one employee to over 25. The department received its first vehicles in April of 2006 and began providing services to the citizens of the City of Jonesboro on May 1, 2006. The moniker for the City's transit system is JETS.

The department has established transit routes and has purchased transit assets (to include, but not limited to: vehicles, shelters, fare vending system, computers and office furnishings). The department has established a full service repair facility and has purchased the tools and equipment necessary to accomplish the task of accurately maintaining the transit department's vehicles.

Fixed route service is provided weekdays from 5:30am to 7:30pm and Saturdays from 8:00am to 5:00 pm.. Complementary paratransit service is provided during the same hours as fixed route. JETS also provided open-to-the-public Dial-A-Ride service for individuals living beyond the ¾ mile of fixed route service.

JETS operates a fleet vehicles for fixed route service and two vehicles each for complementary paratransit service and Dial-A-Ride. All vehicles are titled to the Arkansas Highway Transportation Department and funded with 5309 funds.

JETSs operates from an administration and maintenance facility at 110 South Gee Street. The facility is leased with FTA funds.

The fare structure for JETS includes \$1.00 for fixed route. Half fare is offered at \$.50 at all hours of operation. Complementary Paratransit and Dial-A-Ride are offered at \$2.00 for each one-way trip.

The City of Jonesboro received a waiver regarding its 2006 National Transit Database Report .

Noteworthy projects that are ongoing for the City's transit department include establishing an on-site fuel dispensing system acquiring an up-to-date communications system.

Over the next 3 to 5 years, the department will work toward purchasing a permanent facility and will continue to work toward providing expanded services to better cover the City of Jonesboro. In addition, the department will begin working toward providing services outside of the city limits of the City of Jonesboro to the communities of Bay, Bono, Monette and Lake City. The department will also consider services outside of the county to include cities such as Brookland and Walnut Ridge.

IV. RESULTS OF THE REVIEW

The Triennial Review focused on Handitran's compliance in 23 different areas. This section provides a discussion of the basic requirements and findings in each area. No deficiencies were found in 12 of the 23 areas reviewed. Deficiencies were found with the FTA requirements in the following 11 areas reviewed: *Legal, Financial, Technical, Maintenance, Procurement, DBE, Buy America, Suspension/Debarment, Lobbying, Planning/Program of Projects, and NTD. Advisory comments were offered in the Safety and Security review section.*

1. Legal

Basic Requirement: The grantee must be eligible and authorized under state and local law to request, receive, and dispense FTA funds and to execute and administer FTA funded projects. The authority to take all necessary action and responsibility on behalf of the grantee must be properly delegated and executed.

Findings: During this Triennial Review of the City, deficiencies were found with the FTA requirements for Legal.

While the City PINned its Certifications and Assurances October, 2007, the Transit Coordinator also PINned for the Attorney. A written hardcopy of the Attorney's Affirmation could not be found in the City's files.

Corrective Action and Schedule: Within 30 days for the issuance of this final report, or by June 30, 2008, the City is to submit to the FTA Region VI office, a signed copy of the Attorney's Affirmation for the 2008 Certification and Assurances.

Within 90 days or by August 28, 2008, the City is to revise and submit to the regional office, its grant administration procedures that describe how it will ensure it is properly executing its annual PINning of the Certification and Assurances.

2. Financial

Basic Requirement: The grantee must demonstrate the ability to match and manage FTA grant funds, to cover cost overruns, to cover operating deficits through long-term stable and reliable sources of revenue, to maintain and operate federally funded facilities and equipment, and to conduct an annual independent organization-wide audit in accordance with the provisions of OMB C A-133.

Findings: During this Triennial Review of the City, deficiencies were found with the FTA requirements for Financial.

A review of the City's ECHO documentation noted deficiencies in its support documentation for ECHO drawdowns. A review of documentation to support an ECHO drawdown dated 2/21/08 for \$228,201 noted that there was no reconciliation completed to arrive at the amount.

Further, a review of this same ECHO drawdown noted that it was drawn against the wrong grant number, AR-90-X066. It should have been drawn down against grant AR-90-X076.

A review of the City's 2006 A-133 Single Audit noted a deficiency regarding the City not filing its Milestone Progress Reports and Financial Status Reports. As noted under Review Section 3- Technical of this report, the City has not corrected this deficiency as MPRs and FSRs have not been filed for the City's open grants.

Corrective Action and Schedule: Within 30 days of the final report or by June 30, 2008, the City is to amend its ECHO drawdown to refund \$228,202 to Grant No. AR-90-X066 and prepare an ECHO drawdown of \$228,201 from Grant No. AR-90-X076.

Within 60 days of the final report or by July 29, 2008, the City is to revise its financial procedures to ensure documentation is completed to support its drawdowns and submit its revised procedures to the FTA Region VI Office.

Within 90 days of the final report or by August 28, 2008, the City is to develop and submit to the FTA Region VI Office, grant administration procedures that address administration requirements as found in FTA Circular 5010.1C; specifically, the filing requirements for MPRs and FSRs.

3. Technical

Basic Requirement: The grantee must be able to implement the Urbanized Area Formula Grant Program of Projects in accordance with the grant application, Master Agreement, and all applicable laws and regulations, using sound management practices.

Findings: During this Triennial Review of the City, deficiencies were found with the FTA requirements for Technical.

A review in TEAM found that no Milestone Progress Reports (MPRs) or Financial Status Reports (FSRs) were filed for the City's two open grants, AR-90-X066 and AR-90-X076.

During the site visit, a discussion was held between City staff and the reviewers regarding the City's process for managing grants. The task of filing MPRs and FSRs was assigned to a staff person that left abruptly in December 2007. Management staff had just recently realized that the yearly reports were not filed.

Further discussion with staff noted that it did not have a clear projection of when the grant line item activities would be completed; thus a close-out schedule could not be determined during the site visit.

The City uses FTA funds to support a capital lease of the administration and maintenance facility. During the site visit, it was noted that the City had not documented a written comparison of the cost to lease versus the cost to purchase or construct.

Corrective Action and Schedule: Within 30 days of the final report or by June 30, 2008, the City is to submit in TEAM, its MPR and FSR for each of its two open grants.

Within 90 days of the final report or by August 28, 2008, the City is to develop and submit to the FTA Region VI Office, grant administration procedures that address administration requirements as found in FTA Circular 5010.1C. and develop and submit a grant close-out schedule

Within 60 days of the final report or by July 29, 2008, the City is to develop, and submit to the regional office, its cost comparison analysis to support its capital lease.

Advisory Comment: During the discussion, the review team recommended that the City revisit its grant, AR-90-X076 to determine whether all capital ALI's were still projected to be needed. The City expressed its desire to look into moving funds from capital ALIs to its operating funding. The City is encouraged to contact Regional staff for assistance.

4. Satisfactory Continuing Control

Basic Requirement: The grantee must maintain control over real property, facilities and equipment and ensure that they are used in transit service.

Findings: During this Triennial Review of the City, no deficiencies were found with the FTA requirements for Satisfactory Continuing Control.

5. Maintenance

Basic Requirement: The grantee must keep federally funded equipment and facilities in good operating order.

Findings: During this Triennial Review of the City, deficiencies were found with the FTA requirements for Maintenance.

A review of the City's maintenance manual noted that it did not include checklists used to support various preventive maintenance activities. Discussions with staff found that the City had not utilized the Original Equipment Manufacturer's (OEM) checklists to perform preventive maintenance.

During the review of preventive maintenance activities, it could not be determined whether the City was performing these activities in accordance with its established maintenance schedule. It was discovered that the daily recording of vehicle mileage was not accurately documented.

Corrective Action and Schedule: Within 60 days of the final report or by July 29, 2008, the City is to revise and submit to the FTA Region VI Office, its vehicle maintenance manual. The manual, at a minimum, should describe the fleet (vans, cutaways, service vehicles, etc.) and the corresponding preventive maintenance activities associated with that vehicle type. Further, the manual should contain preventive maintenance checklists for the various service intervals. If the City has vehicles under warranty, the maintenance manual should reflect the OEM requirements. Once the vehicle is out of warranty, the City can establish its own maintenance requirements, given that the maintenance program must be managed to ensure the useful life of the vehicle is achieved. If the City has more strict servicing requirements than the OEM, this is an acceptable practice as OEM standards are minimum requirements.

By August 15, 2008, the City is to submit to the regional office, preventive maintenance statistics demonstrating onetime PM performance for the months of June and July.

6. Procurement

Basic Requirement: FTA grantees will use their own procurement procedures that reflect applicable state and local laws and regulations, provided that the process ensures competitive

procurement and that the procedures conform to applicable federal law including 49 CFR Part 18, specifically Section 18.36 and FTA C 4220.1E, "Third Party Contracting Requirements." Grantees will maintain a contract administration system that ensures that contractors perform in accordance with terms, conditions, and specifications of their contracts or purchase orders.

Findings: During this Triennial Review of the City, deficiencies were found with the FTA requirements for Procurement.

The procurement function is shared between the Transit Manager and the City's Procurement Office. While the City's transit staff prepare the technical specifications, the City's procurement office manages activities from finalizing the document to reviewing bids and/or proposals.

A review of several procurements from 2005 to 2007 noted that all procurements were missing a majority of federal clauses.

Corrective Actions and Schedule: Since the procurement function is shared between City transit staff and City procurement staff, within 90 days of the final report or by August 28, 2008, the City is to develop and submit to the regional office, procurement procedures outlining roles and responsibilities to ensure compliance with FTA Circular 42201.E, and as amended.

In addition, the City is to revise and submit to the FTA Region VI Office, its procurement procedures to ensure appropriate federal clauses are included in its solicitations.

7. Disadvantaged Business Enterprise (DBE)

Basic Requirement: The grantee must comply with the policy of USDOT that DBEs, as defined in 49 CFR Part 26, are ensured nondiscrimination in the award and administration of USDOT-assisted contracts. Grantees also must create a level playing field on which DBEs can compete fairly for USDOT-assisted contracts; ensure that only firms that fully meet eligibility standards are permitted to participate as DBEs; help remove barriers to the participation of DBEs; and assist the development of firms that can compete successfully in the marketplace outside the DBE program.

Findings: During this Triennial Review of the City, deficiencies were found with USDOT requirements for DBE.

While the City works with the Arkansas Highway and Transportation Department regarding available DBEs, the City does not have an executed Unified Certification Program (UCP).

Corrective Actions and Schedule: Within 90 days of the final report or by August 28, 2008, the City is to execute and submit to the FTA Region VI Office, its UCP agreement.

8. Buy America

Basic Requirement: Per Buy America law, federal funds may not be obligated unless steel, iron, and manufactured products used in FTA-funded projects are produced in the United States, unless FTA has granted a waiver, or the product is subject to a general waiver. Rolling stock must have a 60 percent domestic content and final assembly must take place in the United States.

Findings: During this Triennial Review of the City, deficiencies were found with the FTA requirements for Buy America.

A review of several procurements from 2005 to 2007 noted that while a Buy America clause was included in the solicitation, the solicitation did not provide a means for prospective bidders/proposers to certify compliance.

Corrective Actions and Schedule: Within 90 days of the final report or by August 28, 2008, the City is to revise and submit to the FTA Region VI Office, its procurement procedures to ensure appropriate federal clauses are included in its solicitations and that properly signed certifications are retained in the file.

9. Suspension/Debarment

Basic Requirement: To prevent fraud, waste, and abuse in federal transactions, persons or entities, which by defined events or behavior, potentially threaten the integrity of federally administered programs, are excluded from participating in FTA-assisted programs. FTA grantees are required to ensure to the best of their knowledge and belief that none of the grantee's "principals" (as defined in the governing regulation 49 CFR Part 29), subrecipients, and third-party contractors and subcontractors is debarred, suspended, ineligible or voluntarily excluded from participation in federally assisted transactions. Grantees are required to review the Excluded Parties Listing System (<http://epls.arnet.gov/>) before entering into any third party contracts.

Findings: During this Triennial Review of the City, deficiencies were found with the FTA requirements for Suspension/Debarment.

A review of several procurements from 2005 to 2007 noted that solicitations did not include the required clause.

Corrective Actions and Schedule: Within 90 days of the final report or by August 28, 2008, the City is to revise and submit to the FTA Region VI Office, its procurement procedures to ensure appropriate federal clauses are included in its solicitations.

10. Lobbying

Basic Requirement: Recipients of federal grants and contracts exceeding \$100,000 must certify compliance with Restrictions on Lobbying before they can receive funds. In addition, grantees are required to impose the lobbying restriction provisions on their contractors.

Findings: During this Triennial Review of the City, deficiencies were found with the FTA requirements for Lobbying.

A review of several procurements from 2005 to 2007 the Lobbying clause and certification were not included in the solicitations.

Corrective Actions and Schedule: Within 90 days of the final report or by August 28, 2008, the City is to revise and submit to the FTA Region VI Office, its procurement procedures to ensure appropriate federal clauses are included in its solicitations and that properly signed certifications for Lobbying are retained in the file.

11. Planning/Program of Projects

Basic Requirement: The grantee must participate in the transportation planning process in accordance with FTA requirements, Metropolitan Statewide Planning Final Rule, and Management Systems Interim Final Rule (Transportation Planning Regulations [TPR]), as revised.

Findings: During this Triennial Review of the City, deficiencies were found with the FTA requirements for Planning/POP.

The City utilizes the MPO's public participation process for the STIP/TIP to satisfy its public participation process for its Program of Projects. During the review, it was found that the MPO was not publishing its notice yearly, and that the notice did not have an explicit statement that the public participation process for the TIP would satisfy the public participation process for the POP.

Corrective Action and Schedule: Within 90 days of the final report or by August 28, 2008, the City is to submit to the FTA Region VI Office its efforts to ensure it is meeting the basic requirements for Planning/Program of Projects.

12. Title VI

Basic Requirement: The grantee must ensure that no person in the United States shall, on the ground of race, color, or national origin, be excluded from participating in, or denied the benefits of, or be subject to discrimination under any program or activity receiving federal

financial assistance. The grantee must ensure that federally supported transit service and related benefits are distributed in an equitable manner.

Findings: During this Triennial Review of the City, no deficiencies were found with the FTA requirements for Title VI.

13. Public Comment Process for Fare and Service Changes

Basic Requirement: The grantee must have a locally developed process to solicit and consider public comment before raising a fare or carrying out a major reduction of transportation.

Findings: During this Triennial Review of the City, no deficiencies were found with the FTA requirements for Public Comment Process for Fare and Service Changes.

14. Half Fare

Basic Requirement: Grantees must ensure that elderly persons and persons with disabilities, or an individual presenting a Medicare card, will be charged during non-peak hours for transportation using or involving a facility or equipment of a project financed under Section 5307 not more than 50 percent of the peak hour fare.

Findings: During this Triennial Review of the City, no deficiencies were found with the FTA requirements for Half Fare.

15. ADA

Basic Requirement: Titles II and III of the Americans with Disabilities Act of 1990 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 complementary paratransit service.

Findings: During this Triennial Review of the City, no deficiencies were found with the FTA requirements for ADA.

Advisory Comment: During the review it was noted that the City provides general public, dial-a-ride service in addition to complementary paratransit service. The DAR service is provided beyond the ¾ mile of fixed route service. The City had always classified this service as “paratransit.” Since the service is open to the general public, it was recommended that the City revisit its public information to clearly define services available.

Further, the City is encouraged to revise its performance measures to ensure it is accurately accounting for those performance parameters unique to complementary paratransit service, such as trip denials, missed trips, excessively long trips, and telephone wait times.

16. Charter Bus

Basic Requirement: Grantees are prohibited from using federally funded equipment and facilities to provide charter service except on an incidental basis and when one or more of applicable exceptions for urban areas set forth in the charter service regulation at 49 CFR 604.9 (b) applies.

Findings: During this Triennial Review of the City, no deficiencies were found with the FTA requirements for Charter Bus.

17. School Bus

Basic Requirement: Grantees are prohibited from providing exclusive school bus service unless the grantee qualifies under specified exceptions. In no case can federally funded equipment or facilities be used.

Findings: During this Triennial Review of the City, no deficiencies were found with the FTA requirements for School Bus.

18. National Transit Database (NTD)

Basic Requirement: The grantee must collect, record, and report financial and non-financial data in accordance with the Uniform System of Accounts (USOA) and updated with the *National Transit Database (NTD) Reporting Manual* as required by 49 USC 5335(a).

Findings: During this Triennial Review of the City, deficiencies were found with the FTA requirements for National Transit Database.

During the site visit, it was noted that the City, in accordance with a July 19, 2007 letter from FTA, was to submit its 2007 annual report. Discussions with City staff noted that the City is operating less than nine vehicles and could request a waiver from FTA.

Corrective Action and Schedule: Within 30 days of the final report or by June 30, 2008, the City is to inform the FTA Region VI office of its intent to comply with the NTD reporting requirements.

19. Safety and Security

Basic Requirement: Any recipient of Urbanized Area Formula Grant Program funds must annually certify that it is spending one percent of such funds for transit security projects or that such expenditures for security systems are not necessary.

Under the safety authority provisions in the federal transit laws, the Secretary has the authority to investigate the operations of the grantee for any conditions that appear to create a serious hazard of death or injury especially to patrons of the transit service. However, FTA has no specific requirements for transit safety. States are required to oversee the safety of rail fixed guideway systems through a designated oversight agency. Under security, FTA has adopted the "Top 20 Security Program Action Items for Transit Agencies." The action items are measures recommended by FTA for immediate consideration and implementation by transit agencies to improve both security and emergency preparedness.

Findings: During this Triennial Review of the City, no deficiencies were found with the FTA requirements for Safety and Security.

Advisory Comment: The City is encouraged to consider providing its riding public with security information. Free material is available from FTA at the following website: <http://transit-safety.volpe.dot.gov/>

20. Drug-Free Workplace

Basic Requirement: Grantees are required to maintain a drug-free workplace for all employees and to have an ongoing drug-free awareness program.

Findings: During this Triennial Review of the City, no deficiencies were found with the FTA requirements for Drug-Free Workplace.

21. Drug and Alcohol Program

Basic Requirement: Grantees receiving FTA funds under Capital Grant, Urbanized Area Formula Grant, or Non-Urbanized Area Formula Grant Programs must have a drug and alcohol testing program in place for all safety-sensitive employees.

Findings: During this Triennial Review of the City, no deficiencies were found with the FTA requirements for the Drug and Alcohol Program.

22. Equal Employment Opportunity (EEO)

Basic Requirement: The grantee must ensure that no person in the United States shall, on the ground of race, color, creed, national origin, sex, age, or disability be excluded from participating in, denied the benefits of, or be subject to discrimination in employment under any project, program or activity receiving federal financial assistance from the federal transit laws.

Findings: During this Triennial Review of the City, no deficiencies were found with the FTA requirements for EEO.

23. ITS Architecture

Basic Requirement: Intelligent Transportation Systems (ITS) projects funded by the Highway Trust Fund and the Mass Transit Account must conform to the National ITS Architecture, as well as to U. S. Department of Transportation (DOT) adopted ITS standards.

Findings: During this Triennial Review of the City, no deficiencies were found with the FTA requirements for ITS Architecture.

V. SUMMARY OF FINDINGS AND CORRECTIVE ACTIONS

Review Area	Finding	Deficiency	Corrective Action	Response Days/Date	Date Closed
1. Legal	D	05 – Improperly completed Annual List of Certifications and Assurances	<p>The City is to submit to the FTA Region VI office, a signed copy of the Attorney’s Affirmation for the 2008 Certification and Assurances.</p> <p>The City is to revise and submit to the regional office, its grant administration procedures that describe how it will ensure it is properly executing its annual PINning of the Certification and Assurances.</p>	<p>30 6/30/08</p> <p>90 8/28/08</p>	
2. Financial	D	<p>99 – Improper drawdown</p> <p>16 – ECHO documentation deficient</p> <p>10 – Outstanding annual audit deficiencies</p>	<p>The City is to amend its ECHO drawdown to refund \$228,202 to Grant No. AR-90-X066 and prepare an ECHO drawdown of \$228,201 from Grant No. AR-90-X076.</p> <p>The City is to revise its financial procedures to ensure documentation is completed to support its drawdowns and submit its revised procedures to the FTA Region VI Office.</p> <p>The City is to develop and submit to the FTA Region VI Office, grant administration procedures that address administration requirements as found in FTA Circular 5010.1C; specifically, the filing requirements for MPRs and FSRs.</p>	<p>30 6/30/08</p> <p>60 7/29/08</p> <p>90 8/28/08</p>	

Review Area	Finding	Deficiency	Corrective Action	Response Days/Date	Date Closed
3. Technical	D	99 – No MPR/FSRs	The City is to submit in TEAM, its MPR and FSR for each of its two open grants.	30 6/30/08	
		01 – Inadequate grant administration/ procedures	The City is to develop and submit to the FTA Region VI Office, grant administration procedures that address administration requirements as found in FTA Circular 5010.1C. and develop and submit a grant close-out schedule	90 8/28/08	
		07 – No cost effectiveness documentation for capital lease	The City is to develop, and submit to the regional office, its cost comparison analysis to support its capital lease.	60 7/29/08	
4. Satisfactory Continuing Control	ND				
5. Maintenance	D	02 – Vehicle maintenance plan incomplete or out of date	The City is to revise and submit to the FTA Region VI Office, its vehicle maintenance manual.	60 7/29/08	
		99- Unable to determine ontime performance of PM activities	The City is to submit to the regional office, preventive maintenance statistics demonstrating ontime PM performance for the months of June and July.	8/15/08	
6. Procurement	D	02 – Procurement procedures not followed	Since the procurement function is shared between City transit staff and City procurement staff, the City is to develop and submit to the regional office, procurement procedures outlining roles and responsibilities to ensure compliance with FTA Circular 42201.E, and as amended.	90 8/28/08	
		3 – No FTA clauses	The City is to revise and submit to the FTA Region VI Office, its procurement procedures to ensure appropriate federal clauses are included in its solicitations.	90 8/28/08	

Review Area	Finding	Deficiency	Corrective Action	Response Days/Date	Date Closed
7. Disadvantaged Business Enterprise	D	11 – Not participating in UCP	The City is to execute and submit to the FTA Region VI Office, its UCP agreement.	90 8/28/08	
8. Buy America	D	01 – Buy America provision not in solicitation and/or contract 02 – Contract files lacking Buy America certifications	The City is to revise and submit to the FTA Region VI Office, its procurement procedures to ensure appropriate federal clauses are included in its solicitations and that properly signed certifications are retained in the file.	90 8/28/08	
9. Suspension/Debarment	D	04 Certification clauses not included in agreement/procurement solicitations	The City is to revise and submit to the FTA Region VI Office, its procurement procedures to ensure appropriate federal clauses are included in its solicitations and that properly signed certifications are retained in the file.	90 8/28/08	
10. Lobbying	D	01 – Certification not included in agreements/procurement solicitations	The City is to revise and submit to the FTA Region VI Office, its procurement procedures to ensure appropriate federal clauses are included in its solicitations and that properly signed certifications are retained in the file.	90 8/28/08	
11. Planning/POP	D	04 – Public notice deficiencies	The City is to submit to the FTA Region VI Office its efforts to ensure it is meeting the basic requirements for Planning/Program of Projects.	90 8/28/08	
12. Title VI	ND				
13. Public Comment for Fare and Service Changes	ND				
14. Half Fare	ND				

Review Area	Finding	Deficiency	Corrective Action	Response Days/Date	Date Closed
15. ADA	ND AC		The City is encouraged to revise its performance measures to ensure it is accurately accounting for those performance parameters unique to complementary paratransit service, such as trip denials, missed trips, excessively long trips, and telephone wait times.		
16. Charter Bus	ND				
17. School Bus	ND				
18. National Transit Database	D	99-Final Report determination	The City is to inform the FTA Region VI office of its intent to comply with the NTD reporting requirements.	30 6/30/08	
19. Safety and Security	ND AC	AC: 27 Security information for passengers	The City is encouraged to consider providing its riding public with security information. Free material is available from FTA at the following website: http://transit-safety.volpe.dot.gov/		
20. Drug-Free Workplace	ND				
21. Drug and Alcohol Program	ND				
22. Equal Employment Opportunity	ND				
23. ITS Architecture	ND				

Findings: ND = No Deficiencies; D = Deficient; AC = Advisory Comment; NA = Not Applicable; NR = Not Reviewed

VI. TRANSIT SECURITY EXPENDITURES

Does the grantee expend one percent or more of its Section 5307 Urbanized Area Formula Grant funds for transit security? Yes No

If no, why does the grantee consider such expenditure unnecessary (check all that apply):

No deficiency found from a threat and vulnerability assessment

FTA Top 20 Security Action Items met or exceeded

Other: City funds used for security projects.

Security Funding	FTA Section 5307 Funds (in Dollars)		
	FY 2005	FY 2006	FY 2007
Total amount of 5307 Funds expended		\$224,863	\$600,731
Amount of 5307 Funds expended on security		\$26,606	\$33,027
Percent of 5307 Funds expended on security		11.8%	5.4%
Lighting, Fencing & Perimeter Control			\$10,290
CCTV and Surveillance Technology		\$17,375	\$12,657
Communications Systems			
Security Planning*			
Drills & Tabletop Exercises*			
Employee Security Training*			
Other Security-Related Infrastructure & Capital Improvements (please list): Fueling Security System			
Operating/Personnel Expenditures (can only be used by agencies in areas with populations UNDER 200,000):			
Contracted Security Force			
In-house Security Force			
Other Security-Related Operating Expenditures (please list): _____			

* SAFETEA-LU amended the definition of a capital project to include:

- projects to refine and develop security and emergency response plans;
- the conduct of emergency response drills with public transportation agencies and local first response agencies; and
- security training for public transportation employees.

VII. ATTENDEES

Name	Title/Organization	Phone Number	e-mail address
<i>Grantee</i>			
Joel Gardner	Transit Coordinator	870.935.5387	jgardner@jonesboro.org
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<i>Reviewer</i>			
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