

Recipient Information Request (RIR) *Preparation and Submission* *Overview*

Fiscal Year 2022 Triennial Reviews

January 11, 2022

RLS & Associates, Inc.



RIR Webinars

- [January 11, 2022](#), from 2:00 pm-4:00 pm ET. This webinar will focus on civil rights topics.
- [January 12, 2022](#), from 2:00 pm-4:00 pm ET. This webinar will focus on non-civil rights topics.
- [January 13, 2022](#), from 2:00 pm-4:00 pm ET. This webinar will focus on recipients with annual operating expenses below \$100 million.



Welcome to the Webinar

- Download the documents attached to the webinar (RIR, Slide Deck)
- Ask questions throughout the presentation by typing your questions into the question box on your screen; questions will be answered after the presentation
- Monitor and respond to polling questions in a timely manner



Poll Question

How many Triennial Reviews have you previously participated in?

- This is my first review
- 1 – 2 previous reviews
- 3 – 4 previous reviews
- 5 or more reviews



Purpose of the Webinar

- Today's webinar is an overview of the Recipient Information Request (RIR)
 - What is the RIR?
 - Overview of information requested
 - Tips and Best Practices
- Please work with your reviewer and regional FTA office with regard to any specific questions that your agency has



Review Process

9 Basic Steps

Pre-Review	RIR	Scoping ERM	Virtual Site Visit Prep	Virtual Site Visit	Findings Summary	Draft Report	Final Report	Corrective Actions
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The RIR is the step in the review process in which the recipient is asked to provide information about itself in advance of the virtual review

Section A

Recipient Profile



Section A: Recipient Profile

- Five tables

1. Operations Profile (All)
2. States (Only)
3. Subrecipient Facilities
(Only if you have subs)
4. Award Activity for FTA
and Non-FTA-Funded
Projects (All)
5. Contact Information

- Objectives

- Helps describe your agency
- Provides reviewer a clear picture of agency size, modes of operation, etc.
- Helps reviewer determine the applicability of certain areas

- *Complete as accurately as possible*



Table I Example

TABLE I – OPERATIONS PROFILE					
Name of Organization / DBA: XYZ Transit Type of Organization: City Year Transit Service Established: 1950 Service Area Population: 250,000+ Does Agency have Subrecipients? No List Contractors and Lessees: <ul style="list-style-type: none"> • [Name, Service Provided (Funding Source)] 					
Paratransit Operating Contractor(s): 124 Transit, Inc - Paratransit Operating Sub Contractor(s): The following subcontractors support the paratransit operating contractor: Motor City Transportation, LLC, ABD Driving - Commuter Rail Operating Contractor(s): Brake Township Transportation USA, Inc.					
List Subrecipients (if applicable): <ul style="list-style-type: none"> • [Name, Service Provided (Funding Source)] 					
N/A					
Non-Rail Modes	Number of Routes	Number of Vehicles Operated during Peak Service	Number of Vehicles/Vessels		
			FTA funded	Locally funded	Federal Interest?
Motorbus <ul style="list-style-type: none"> • directly operated • provide funds for 	27	140	175	0	175

- Make sure that the information provided is consistent with the supporting documents that you submit
- List all subrecipients and contractors that you had at any point during the review period
- Include contractors and lessees that are locally funded as well

Table I Example

Span of Service:	Hours (differentiate by mode if applicable)				
	Fixed Route	Demand Response	Rail	Ferry	Others
Weekdays	4:30 AM to 1:15 AM	4:30 AM to 1:15 AM	5:00 AM to 2:00 AM	N/A	N/A
Saturdays	4:30 AM to 1:15 AM	4:30 AM to 1:15 AM	5:00 AM to 2:00 AM	N/A	N/A
Sundays	5:00 AM to 1:15 AM	5:00 AM to 1:15 AM	6:00 AM to 12:00 AM	N/A	N/A

Facilities	Number	FTA Interest? (Yes or No)	Names/Locations (Addresses)
Bus Garages	2	Yes	60 & 61 Driver St., Motor City
Rail Facilities	2	Yes	41 South St., 559 Main St.
Transit Centers	4	Yes	Turn Plaza – Downtown Transit City
		Yes	South Hub – Brake Township
		No	East Hub – Motor City
		Yes	West Hub – Transit City
Other Facilities	3	Yes	70 1 st St., 90 21 st St., 15 Central Parkway

- *Ensure span of service is start and stop times of operation, not total number of hours of service*
- *Ensure that each facility is or is not of FTA interest*

Table III: Subrecipient Facilities

List of all facilities constructed or renovated with FTA funds used in transit service by subrecipients

1. Subrecipient
2. Facility Description
3. Source(s) of FTA funds
4. Year completed
5. Location (address)

Table IV: Award Activity

TABLE IV - AWARD ACTIVITY FOR FTA AND NON-FTA-FUNDED PROJECTS

Indicate which projects were/are/will be FTA-funded.

Provide a brief description of noteworthy projects completed since your last Comprehensive Review.

1. Main Street Bridge: The Main Street Bridge is located in the northern portion of Motor City where the XYZ Transit rail line crosses Brake Creek. The project modified the existing railroad trestle by replacing 300 feet of the southern wooden trestle with a new in line, steel deck and concrete piers, single-track bridge. The project limits are at the south approach to Bridge 208.6 on the Transit City Subdivision. Construction started in August 2014 and construction was completed in August 2015.

Provide a brief description of noteworthy projects that are on-going.

1. Positive Train Control (PTC): PTC is a federally mandated integrated command, control, communications, and information system that can controls train movements, and even stop the train when conditions warrant. The PTC Project started in August 2012. In April 2017, XYZ Transit began the Initial Revenue Service Demonstration (RSD) testing phase. After success with this phase, XYZ was cleared to begin the Extended RSD phase of PTC, which commenced on all rail lines effective October 16, 2017. The rail trains that operate PTC have the full benefits of Positive Train Control during this RSD Phase. XYZ will continue in Extended RSD until the Federal Railroad Administration (FRA) certifies XYZ's PTC system. Full compliance with FRA certification is due by December 31, 2018 and XYZ is on track to meet that deadline.

Provide a brief description of noteworthy projects that are planned for the next three to five years.

1. XYZ Bus Replacement: XYZ's current replacement schedule for fixed route buses is:
 - 8 Buses in FY2018
 - 3 buses in FY 2019
 - 18 buses in FY2020
 - 11 buses in FY2021
 - 16 buses in FY2022

- Remember to indicate if projects are locally funded vs. FTA funded
- Take credit for completed projects
- Note future projects that will be new and/or difficult for your agency



Section B

Recipient Information Request



Section B: Document Upload

- Section-by-Section Organization
 1. Basic Requirement

2. FINANCIAL MANAGEMENT AND CAPACITY

BASIC REQUIREMENT: The recipient must have financial policies and procedures; an organizational structure that defines, assigns and delegates fiduciary authority; and financial management systems in place to manage, match, and charge only allowable cost to the award. The recipient must conduct required Single Audits, as required by 2 CFR part 200, and provide financial oversight of subrecipients.

NOTE: For files used to satisfy multiple requested documents, please indicate where in the file, i.e., page number, section, etc., the information can be found.

Required Documents	Applicability	Date Submitted	Electronic File Name	Comments from Recipient
a. Financial statements or comprehensive annual financial reports for the past three years	All recipients			
b. Internal audits for the past three years prepared by the recipient, if applicable	All recipients			

Section B: Document Upload

- Section-by-Section Organization

- 2. Document Table

- a. Document
 - b. Applicability
 - c. Date Submitted
 - d. File Name
 - e. Comments from Recipient

Required Documents	Applicability	Date Submitted	Electronic File Name	Comments from Recipient
a. Financial statements or comprehensive annual financial reports for the past three years	All recipients			
b. Internal audits for the past three years prepared by the recipient, if applicable	All recipients			

Section B: Document Upload

- Section-by-Section Organization
 3. Open-Ended Question(s)










Question

1. *Does the recipient have any plans to, or did it use Federal funds to construct buildings located in an area that has been identified as having special flood hazards and in which the sale of flood insurance has been made available under the National Flood Insurance Act of 1968? |*



Submitting Documents

Example: Folder/File Naming Convention

Review Area/ Document	Folder/File Name	
2. Financial Management and Capacity		2_Financial Management and Capacity
a. Financial statements or comprehensive annual financial reports for the past three years		2a1_FY19 FinStmts.doc
		2a2_FY18 FinStmts.doc
		2a3_FY17 FinStmts.doc
		2a4_FY19 CAFR.doc
b. Local Match – Amounts and Sources		2b1_StateMatch.doc
		2b2_CtyMatch.doc
c. Financial policies and procedures		2c1_FinPolGrt.doc
		2c2_FinProcCsh.doc

- Label the folders as shown so that the reviewers can easily identify the document
- Work with your reviewer on the preferred file sharing protocols
- Test the reviewer’s file sharing site now to ensure that your credentials work

Comprehensive Review Areas

Current Review Areas (*Review area added since FY2018)	Number of Questions
1. Legal	3
2. Financial Management and Capacity	9
3. Technical Capacity – Award Management	4
4. Technical Capacity – Program Management and Subrecipient Oversight	7
5. Technical Capacity – Project Management	4
6. Transit Asset Management (TAM)*	8
7. Satisfactory Continuing Control	12
8. Maintenance	5
9. Procurement	21
10. Disadvantaged Business Enterprise	14
11. Title VI	8

Comprehensive Review Areas

Current Review Areas (*Review area added since FY2018)	Number of Questions
12.ADA – General	14
13.ADA – Complementary Paratransit	8
14.Equal Employment Opportunity	5
15.School Bus	4
16.Charter Bus	3
17.Drug-Free Workplace Act	3
18.Drug and Alcohol Program	5
19.Section 5307 Program Requirements	5
20.Section 5310 Program Requirements	5
21.Section 5311 Program Requirements	3
22.Public Transportation Agency Safety Plan (PTASP)	6
23.Cybersecurity	1

10. Disadvantaged Business Enterprise

Guidance on Requested Documents

Document	Guidance
a. Most recent DBE Program, if not uploaded to TrAMS	
b. Current organizational chart which includes the DBELO	<ul style="list-style-type: none">• Chart should illustrate direct and independent access to the CEO
c. DBELO job description	
d. Documentation of implementation of small business element measures	<ul style="list-style-type: none">• Evidence agency has implemented this element of the DBE program
e. Shortfall analysis and corrective action plan, if not required to be submitted to FTA	<ul style="list-style-type: none">• Awards/commitments less than goal for three year period, shortfall analysis required
f. List of any DBEs terminated/ substituted on a project	<ul style="list-style-type: none">• See requirements of 49 CFR § 26.53(f)(i) actions/documentation to be maintained in event of termination

10. Disadvantaged Business Enterprise

Recipient Follow-up

- Information demonstrating that the recipient does not meet the threshold for DBE program submission
- Information that demonstrates when and on what subjects the DBELO and Chief Executive Officer (CEO) have direct and independent communications about the DBE program
- Documentation of notification to FTA of transit vehicle award(s)
- Documentation supporting the recipient's assessment that no DBE goal submission was necessary
- Written procedures for compiling/preparing the Uniform Report on DBE Awards, Commitments, and Payments
- Backup documentation for compiling/preparing selected Uniform Reports on DBE Awards, Commitments and Payments
- Missing reports that may not have been uploaded to TrAMS
- Evidence of reduced use of contract goals if DBE contract goals are used and overall agency DBE attainment exceeds overall agency goals
- Documented implementation of race-neutral measures
- Written certifications of monitoring, including onsite monitoring for sample contract files
- Documentation of prompt payment and return of retainage monitoring
- Certification files
- Records of training for certification staff



11. Title VI

Guidance on Requested Documents

Document	Guidance
a. Most recent Title VI Program, if not uploaded to TrAMS	
b. Listing of Title VI investigations, complaints, and lawsuits that have occurred since the latest Title VI Program submission	<ul style="list-style-type: none">• Transit program-related
c. List of language assistance training for staff	<ul style="list-style-type: none">• Details on training, tools, or other resources used to ensure LEP persons have access to transit system information/services
d. Examples of public participation activities performed since the last Comprehensive Review that align with the Title VI program	<ul style="list-style-type: none">• Efforts specifically undertaken to enhance minority and LEP populations involvement in public participation activities

11. Title VI

Guidance on Requested Documents

Document	Guidance
e. List of transit facilities sited since the last Comprehensive review and copies of corresponding equity analyses	
f. List of transit facilities to be constructed/leased in the upcoming three Federal fiscal years, and copies of equity analyses completed or schedule for equity analysis completion	
g. List of any fare changes or major service changes since the latest Title VI Program submission, dates of change, and brief descriptions of the changes	<ul style="list-style-type: none">• All recipients that provide fixed route public transportation meeting the peak vehicle and UZA threshold



11. Title VI

Guidance on Requested Documents

Document	Guidance
h. Any service equity or fare equity analyses conducted since submission of last Title VI Program for major service changes or any fare changes	<ul style="list-style-type: none">• All recipients that provide fixed route public transportation meeting the peak vehicle and UZA threshold
i. Any service equity or fare equity analyses conducted since submission of last Title VI Program for new fixed guideway service, New Starts or Small Starts projects	<ul style="list-style-type: none">• All recipients that provide fixed route public transportation meeting the peak vehicle and UZA threshold
j. Competitive selection or annual program of projects process	<ul style="list-style-type: none">• Applicable to states/state DOTs
k. List of all subrecipient applications received during the review period	<ul style="list-style-type: none">• Applicable to states and all MPO direct recipients• List: accepted/rejected; applicants that are minority organizations or serve minority/low-income areas; amount of funds



11. Title VI

Recipient Follow-up

- Documentation of Language Assistance Plan (LAP) implementation
- Title VI equity analysis for any new transit facilities planned for the next three fiscal years
- Results of monitoring activities that have occurred since the latest Title VI Program submission
- Approval from the recipient's policy-making officials of monitoring results that has occurred since the last Title VI Program submission
- Process for monitoring subrecipients and reviewing subrecipients' Title VI plans, if not included in the Title VI Program
- Title VI plans of subrecipients to be visited during onsite portion of the review
- Efforts within the review period to engage in outreach to diverse stakeholders regarding the availability of funds, and ensuring the competitive process is not itself a barrier to selection of minority applicants.
- Record of accepted and rejected applications identifying applicants that are minority organizations or that provide assistance to minority or low-income communities for the current review period
- Documentation of how the state identified the needs of minority communities in the Statewide Transportation Planning process
- Documentation of how the state has included minority communities in the planning process that has occurred since the last Title VI Program submission
- Documentation of how the metropolitan planning organization (MPO) identified the needs of minority communities in the transportation planning process
- Documentation of how the MPO has included minority communities in the planning process that has occurred since the last Title VI Program submission



12. Americans with Disabilities Act (ADA) - General

Guidance on Requested Documents

Document	Guidance
a. ADA complaint procedures	<ul style="list-style-type: none">• Website citation is acceptable; should be clear that complaint procedures apply to all services, including fixed route
b. ADA complaint form	<ul style="list-style-type: none">• Website citation is acceptable; form must mention ADA or disability and apply to all services
c. ADA complaint record retention procedures	
d. Driver handbooks/operating and training manuals/ADA-related service bulletins	
e. Sample internal service provision monitoring materials, such as surveys, checklists, interview forms, etc.	<ul style="list-style-type: none">• Monitoring materials for compliance elements that are not complementary paratransit (stop announcements, use of lifts, etc.)



12. Americans with Disabilities Act (ADA) - General

Guidance on Requested Documents

Document	Guidance
f. ADA reasonable modifications procedures	<ul style="list-style-type: none">• Website citation is acceptable
g. Rider's guides, including paratransit guides	<ul style="list-style-type: none">• Often information for general compliance issues, such as service animal accommodation or wheelchairs, is only found in paratransit information even though it is not specific to paratransit.• Information should clearly apply to all services, including fixed route.
h. List of new facilities constructed or facilities altered since the last review	
i. Current certification of equivalent service and supporting analysis	<ul style="list-style-type: none">• Demand response service providers that have acquired inaccessible vehicles since the last review

12. Americans with Disabilities Act (ADA) - General

Guidance on Requested Documents

Document	Guidance
j. Service contracts for contracted service*	*Not expressly asked for in the RIR, but your reviewer will want to see
k. Oversight tools for service provided under contract or other arrangement or relationship (including, but not limited to, an award, subaward or cooperative agreement), including required reports, questionnaires, and checklists*	
l. Copies of contracts or other arrangements, or terms of other relationships (including, but not limited to, awards, subawards or cooperative agreements) with private entities, including TNCs, to provide service (other than ADA complementary paratransit, which is addressed in the next section)*	
m. Oversight tools for subrecipients, including required reports, questionnaires, and checklists*	

12. Americans with Disabilities Act (ADA) - General

Recipient Follow-up

- Sample vehicle specifications/information on annunciators
- Documentation of structural impracticality
- Documentation of disproportionality regarding alterations to the path of travel to a facility if alterations were made to a primary function area
- Internal bulletins
- Lift/ramp specifications for the fleet
- Sample requests for reasonable modification
- Sample ADA-related complaint records
- Sample contract or other agreement, or terms of other relationships (including, but not limited to, awards, subawards, or cooperative agreements) with private entity to be visited that operates fixed-route or demand-response service, including microtransit and commuter bus

13. Americans with Disabilities Act (ADA) – Complementary Paratransit

Guidance on Requested Documents

Document	Guidance
a. Paratransit rider’s guide	<ul style="list-style-type: none"> All recipients that provide ADA complementary paratransit service
b. Paratransit application form	
c. Operations, dispatch, scheduling or reservation procedures	
d. Sample notification letter templates for conditional eligibility, temporary eligibility, and denials	
e. Definitions for denials, missed trips, on-time performance, and excessively long trips, along with the related data for the past year	
e. No-show policy and procedures*	*Not expressly asked for in the RIR, but your reviewer will want to see

13. Americans with Disabilities Act (ADA) – Complementary Paratransit

Guidance on Requested Documents

Document	Guidance
f. ADA complementary paratransit service contracts	<ul style="list-style-type: none">• Note that your reviewer will request any service contracts not related to complementary paratransit as well
g. Oversight tools for service provided under contract or other arrangement or relationship	<ul style="list-style-type: none">• Entities that contract or enter into other arrangements for the provision of complementary paratransit• Includes, but is not limited to, an award, subaward or cooperative agreement• Oversight tools include required reports, questionnaires, and checklists for ADA complementary paratransit service

13. Americans with Disabilities Act (ADA) – Complementary Paratransit

Guidance on Requested Documents

Document	Guidance
<p>h. Copies of contracts or other arrangements, or terms of other relationships (including, but not limited to, awards, subawards or cooperative agreements) with private entities to operate ADA complementary paratransit service</p>	<ul style="list-style-type: none"> • Entities that contract or enter into other arrangements for the provision of complementary paratransit
<p>i. Oversight tools for subrecipients, including required reports, questionnaires, and checklists for ADA complementary paratransit service</p>	<ul style="list-style-type: none"> • Entities that have subrecipients that are required to provide complementary paratransit

13. Americans with Disabilities Act (ADA) – Complementary Paratransit

Recipient Follow-up

- Service denials for the past three years by year
- No-show policy



14. Equal Employment Opportunity

Guidance on Requested Documents

Document	Guidance
a. Number of recipient employees working in the Federal Transit Administration (FTA)-funded program	<ul style="list-style-type: none">• Includes full- and part-time employees
b. Most recent EEO program, if not uploaded to FTA's Transit Award Management System (TrAMs)	<ul style="list-style-type: none">• All recipients that meet the threshold for an EEO program
c. Sample documents used for internal and external dissemination of EEO program	<ul style="list-style-type: none">• All recipients that meet the threshold of the EEO Program requirements to prepare and maintain an abbreviated EEO program
d. Organizational chart identifying EEO officer	<ul style="list-style-type: none">• All recipients that meet the threshold for an EEO program
e. Designated employee and EEO officer job descriptions	<ul style="list-style-type: none">• All recipients that meet the threshold for an EEO program



14. Equal Employment Opportunity

Guidance on Requested Documents

Document	Guidance
f. Standard performance evaluation for managers/supervisors	<ul style="list-style-type: none">• All recipients that meet the threshold for an EEO program
g. “Employment Practices Chart” (or alternate documentation containing the same information)	<ul style="list-style-type: none">• See FTA Circular 4704.1A Attachment 4 for the listed information
h. EEO complaint logs	<ul style="list-style-type: none">• Redact employee names for privacy considerations
i. Agendas, sign-in sheets for meetings conducted when the EEO policy and its implementation are explained	<ul style="list-style-type: none">• All recipients with subrecipients that meet the threshold for an EEO program
j. Agendas and sign-in sheets for EEO training or meetings with management	<ul style="list-style-type: none">• All recipients that meet the threshold for an EEO program

14. Equal Employment Opportunity

Guidance on Requested Documents

Document	Guidance
k. List of EEO training topics	<ul style="list-style-type: none">All recipients that meet the threshold for an EEO program
l. List of newly hired supervisors and managers who attended the EEO supervisory training	
m. Sample of recruitment entities and ads for job positions	
n. Log of recruitment locations and recruitment dates for the review period	
o. List of internal and external dissemination of the EEO Program for each year since the last EEO plan update	



14. Equal Employment Opportunity

Guidance on Requested Documents

Document	Guidance
p. List of meetings with affinity groups since the last EEO plan update	<ul style="list-style-type: none">• All recipients that meet the threshold for an EEO program
q. List of subrecipients and/or contractors that meet the threshold to develop an EEO program	<ul style="list-style-type: none">• All recipients that meet the threshold for an EEO program



14. Equal Employment Opportunity

Recipient Follow-up

- Documentation of review and oversight of EEO plans of sample subrecipient(s)



RIR Tips

- *Use the RIR as a review preparation tool*
 - *This will help you understand what the reviewers are looking for and why*
 - *Your Triennial Review is an open book test*
 - *When filling out a section of the RIR, consult the corresponding section of the Contractor Manual for Triennial and State Management Reviews*
 - *Review the questions, indicators of compliance, and recipient follow up*



RIR Tips

- *Use the “Comments from Recipients” column of each RIR section’s table as often as possible*
- *If you have questions about what you need to provide, contact your reviewer and ask*
- *Use links to your website and other websites/documents when appropriate*



RIR Tips

- *Try to be as accurate as possible when you answer questions about what assets or facilities have a federal interest*
 - *Answering these areas accurately help shape the review appropriately and prevent surprises*
- *Be as accurate as possible when indicating if you have subrecipients or contractors*
 - *Subrecipients are the non-federal entities that receive subawards from pass-through entities to carry out part of a Federal program (2 CFR § 200.93)*



RIR Tips

- *If you upload a document, please indicate where in the document the relevant piece of information can be found*
- *If possible, upload searchable documents*
- *If you don't have a written policy or procedure to attach, explain what the policy or procedure is in practice*
- *If a requested document does not apply, explain why*

RIR Tips

- *For files used to satisfy multiple requested documents, please indicate where in the file, i.e. page number, section, etc., the information can be found*
- *If no document is uploaded or no web link provided, please indicate why in comments*



RIR Tips

- *Make sure your documents are dated*
- *If a requested document is in the process of being revised, indicate that in the RIR comments*
- *If after the RIR submission, you have updated documents or new documents, submit them to your reviewer*
- *Keep your reviewer informed about any changes or additions to what is submitted*



RIR Tips

- *Make sure your documents are readable*
 - *Avoid proprietary formats*
 - *Do use standard office formats, .docx, .xlsx, .pdf, etc.*
 - *Do not lock or otherwise protect documents that will disable ability to search, bookmark, or highlight the uploaded document*



Poll Question

Did you find this webinar useful?

1. Definitely Yes
2. Mostly Yes
3. Neutral
4. Mostly No
5. Definitely No



Questions?

