

South Dakota Department of Transportation



Section 5311 and 5310 Compliance and Good Practices Follow-up Report and Findings

Grantee: Palace Transit

Reviewer(s): Lisa Donner & Sallie Doty

Site Review Date: 02/26/2019

File Review Date: 02/26/2019

Administration and Management

Governance

SD DOT Response: There were no findings in the Governance Section.

Managerial Capacity

SD DOT Response: There were no findings in the Managerial Capacity Section.

Control Environment

Is there a formal (written) conflict of interest policy or code of conduct in effect for employees?

SD DOT Response: The employee manual does not have a section labeled as Conflict of Interest addressing the required reporting requirement for council members and employees. Refer to CFR 200.112 for reference to reporting requirement.

Financial Management

In the current Federal Fiscal Year (Oct –Sept), how many of your transit program vendors were paid within 30 days or by the due date on invoice?

SD DOT Response: It was noted there were invoices not paid within 30 days or by the due date. SDDOT recommends Palace Transit staff discuss with other city departments the importance to pay vendors within 30 days or by the due date. In addition, SDDOT recommended Palace Transit staff date stamp the transit invoices to document the timeframe in which the payment was made.

Technology and Information Systems

SD DOT Response: There were no findings in the Technology and Information Systems Section.

Satisfactory Continuing Control

SD DOT Response: There were no findings in the Satisfactory Continuing Control Section.

Procurement

What is the dollar threshold for sealed bids?

SD DOT Response: Palace Transit procurement thresholds are required to meet the SD State Law and Federal Transit regulations (refer to the Transit Procurement Template).

What purchases did you make with FTA funds since the last site visit?

What procedures were followed for each of the purchases?

Did the procedures followed for full and open competition?

SD DOT Response: The procurement files reviewed did not contain all the required information. Refer to the procurement checklist in the SDDOT Transit Procurement template as to what should be kept in a procurement file and procurement procedures. For example, any required federal certification and clauses should be kept in the procurement file. A file should be kept for each procurement (The binder that has been started will work to maintain documentation.)

Wash Bay Lights- File should include the specifications, evaluation of bids and any required federal certifications and clauses.

Tires – The files contained information for several years. Files should be separated out by purchase or quote request. Include the quote evaluation, invoices to document receipt of project, procurement

checklist to ensure that the process was completed correctly, and the file contains the required information.

Fuel – The city performs the procurement and notifies Palace Transit of the lowest bidder. It is the responsibility of the transit staff to communicate with the city of any federal procurement requirements due to federal funds used to purchase fuel for transit.

Debarment/Suspension

SD DOT Response: There were no findings in the Debarment/Suspension Section.

Lobbying

SD DOT Response: There were no findings in the Lobbying Section.

Disadvantaged Business Enterprise

SD DOT Response: There were no findings in the Disadvantaged Business Enterprise Section.

Personnel

SD DOT Response: There were no findings in the Personnel Section.

Equal Employment Opportunity (EEO)

SD DOT Response: There were no findings in the Equal Employment Opportunity (EEO) Section.

Operations and Service Provision

Service Provision

Are only SDDOT approved routing rules being used? If not, please explain why.

SD DOT Response: It was noted at the review routes PC1, 2 and 3 were used. SDDOT does not have record of request for approval for these routing rules. If Palace Transit wants to continue to use these routing rules a request for approval must be submitted for review.

Inter City Bus

SD DOT Response: There were no findings in the Inter City Bus Section.

Maintenance

Vehicle Maintenance

SD DOT Response: There were no findings in the vehicle maintenance section.

Facility and Equipment Maintenance

SD DOT Response: There were no findings in the facility and equipment maintenance section.

Safety and Security

SD DOT Response: There were no findings in the Safety and Security Section.

ADA

SD DOT Response: There were no findings in the ADA Section.

Drug and Alcohol Program

SD DOT Response: There were no findings in the Drug and Alcohol Section.

Charter Bus

SD DOT Response: There were no findings in the Charter Bus Section.

School Bus

SD DOT Response: There were no findings in the School Bus Section.

Service Planning

Service Eligibility

SD DOT Response: There were no findings in the Service Eligibility Section.

Nondiscrimination in the Delivery of Service

SD DOT Response: There were no findings in the Nondiscrimination in the Delivery of Service Section.

Public Involvement

SD DOT Response: There were no findings in the Public Involvement Section.

Marketing

SD DOT Response: There were no findings in the Marketing Section.

Planning and Coordination

SD DOT Response: There were no findings in the Planning and Coordination Section.

Facility, Equipment and Vehicle Inspection Follow-up

SD DOT Response: The SD DOT noted the vehicles listed on the March 7, 2017 report were out of the bus facility during the time of the walk through. Therefore, it was determined that the issues noted with the vehicles have been corrected. With one exception, vehicle 91 was in the bus facility but was unable to check to determine if the battery was dead due to no keys. Confirmed with Palace Transit staff that the battery issue has been resolved. The wash bay walls have been painted and doors replaced.

SD DOT Ride Along

Overall the driver did a great job and was very friendly with the passengers. He was very accommodating. The bus was well kept considering the winter weather conditions

Submitted Document Review

SD DOT Response: Documents were presented to Palace Transit with corrections to make. The documents included bus operator's manual, passenger handbook, vehicle maintenance plan, facility and equipment maintenance plan and emergency procedures. The staff made the corrections before SD DOT was done with their review.

Please sign the acknowledgement form and return it within 30 days of receiving this along with your plan of action to correct the issues mentioned by March 31, 2019.