

## **NOTICE OF PROPOSED GUIDANCE DOCUMENT**

### **DTIM BTLRRH 37**

Pursuant to Wis. Stat. s. 227.112, the Wisconsin Department of Transportation is hereby seeking comment on DTIM BTLRRH 37, FTA Section 5310, a proposed guidance document.

### **PUBLIC COMMENTS AND DEADLINE FOR SUBMISSION**

Comments may be submitted to the Wisconsin Department of Transportation for 21 days by:

1. Department's website: <https://appengine.egov.com/apps/wi/dot/guidance-docs?guidDocId=DTIMBTLRRH37>

2. Mailing written comments to:

Division of Transportation Investment Management  
Wisconsin Department of Transportation  
4822 Madison Yards Way  
PO Box 7913  
Madison, WI 53707- 7913

### **WEBSITE LOCATION OF FINAL GUIDANCE DOCUMENT**

The final version of this guidance document will be posted at [wisconsindot.gov](http://wisconsindot.gov) to allow for ongoing comment.

### **AGENCY CONTACT**

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## State of Wisconsin Department of Transportation

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# Compliance Site Review (CSR) Program

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As a recipient of Federal Transit Administration (FTA) financial assistance, the Wisconsin Department of Transportation (WisDOT) Transit Section is required to comply with several Federal rules and regulations. Many FTA requirements flow through the State to subrecipients. WisDOT is responsible for ensuring that these entities are aware of and comply with the requirements established by FTA.

WisDOT must have an on-going system to ensure that subrecipients adhere to Federal requirements. While FTA does not prescribe specific monitoring activities for ensuring compliance, it does expect WisDOT to look beyond standard Federal certifications and assurances. FTA relies on each state to develop and implement effective systems for monitoring and ensuring compliance with requirements.

To meet FTA expectations of subrecipient compliance oversight, WisDOT has developed a

comprehensive Compliance Site Review (CSR) Program. This program covers eight Federal compliance focus areas, including:

1. Program Management
2. Financial Management
3. Procurement
4. Asset Management
5. Service and Operations
6. School Bus and Charter Bus
7. Civil Rights
8. Miscellaneous Requirements (Drug and Alcohol, Labor Warranty, Training, Safety, Coordination)

During the CSR, a subrecipient is asked to demonstrate their knowledge and understanding of the many requirements that accompany FTA financial assistance. Subrecipients submit documents supporting Federal compliance and are provided with a formal assessment report of their administration and implementation of their transit program. In the assessment report, subrecipients are asked to complete corrective action items to address areas of deficiency.

WisDOT views the CSR Program as an opportunity to provide one-on-one technical assistance, specifically tailored to the needs of each transit system, with the goal of reaching compliance in all Federal oversight areas. Onsite reviews are conducted to identify strengths, areas that need improvement and areas where subrecipients may need additional training. In addition, WisDOT collects data on all corrective action items identified during CSRs. This data informs the Transit Section of trends in non-compliance and allows the targeted use of technical resources – creating a more efficient and effective compliance oversight program.

## Resources

- [5310 WisDOT Compliance Site Reference Guide](#) (Updated April 2018)
- [5311 WisDOT Compliance Site Reference Guide](#) (Updated March 2019)
- [WisDOT Compliance Summary: What You Need to Know](#)

## Links

- [Federal Transit Programs: Compliance Requirements](#)

## WisDOT Compliance Manager

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(608) 266-8968

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