



**Washington State  
Department of Transportation**

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# **Public Transportation Grant Guidebook**

## **Chapter 11: Compliance site visits**

DRAFT

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**Public Transportation Division**

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# Chapter 11: Compliance site visits

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This chapter covers requirements for all compliance site visits. Regardless of funding type, you must also follow the requirements for all grants in chapters 1, 2, and 3, depending on the source of your funding, and chapters 4, 5, 6, 7, or 8, depending on your type of project.

This chapter covers the following sections:

- 11.1 [Site visits](#)
- 11.2 [Site visits components](#)
- 11.3 [Frequency of site visits](#)
- 11.4 [Expectations during site visits](#)
- 11.5 [Maintenance record standards](#)
- 11.6 [Site visit deficiencies](#)

## 11.1 Site visits

WSDOT conducts either in-person or virtual site visits of all organizations receiving grant funding awarded through the Consolidated Grant, Rural Transit Assistance, and Intercity Bus programs to ensure compliance with both federally and state-funded grant program regulations.

The purpose of site visits is to:

- Verify your organization's compliance with the regulations associated with receiving state and federal funds.
- Review your financial records and processes.
- Examine other records associated with your grant-funded project.
- Review required written policies.
- Inspect preventative maintenance records and examine vehicles, equipment, and facilities purchased with state or federal funds.
- Confirm the status of your projects.
- Provide an opportunity to consult with WSDOT staff.
- Offer technical assistance, as needed.

Site visits may last up to a full day, depending on the type of grants and projects awarded and the issues identified during the visit.

Source: [2024-2027 State Management Plan](#); POL-512

## 11.2 Site visits components

WSDOT breaks site visits into four components: administrative, financial, capital, and FTA drug and alcohol. Depending on your project type and funding source, you may be required to undergo one or more of these. The information below outlines what WSDOT reviews within each site visit component.

### 11.2.1 Administrative review

- Civil rights (i.e., ADA, Title VI, and Equal Employment Opportunity) policies and practices.
- General policies.
- Charter services.

### 11.2.2 Financial review

- Financial records to support operating invoices.
- Indirect and in-kind backup.
- Policies related to financial activity.

### 11.2.3 Capital review

- Vehicle and equipment inspections.
- Facility inspections.
- Maintenance records.
- Procurement records inspection.

### 11.2.4 FTA drug and alcohol review

- Testing program procedures and management.
- Review documentation of third-party service agents and collectors.
- Program records and retention.
- Policy review.

## 11.3 Frequency of site visits

The frequency of site visits depends on the type of project, funding source, site visit review type, and your organization's risk scores. Below is general information on the applicability and frequency of the different types of site visits:

| Site visit type               | Applicability                                                                | Frequency                                                                                                |
|-------------------------------|------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------|
| Administrative                | Operating, mobility management, planning, and technical assistance projects. | At least once every four years on active projects based on your organization's risk score.               |
| Financial                     | Operating, mobility management, planning, and technical assistance projects. | At least once every four years on active projects based on your organization's risk score.               |
| Capital vehicle and equipment | Capital vehicle and equipment projects.                                      | Once every biennium for active projects through the minimum useful life of the vehicle and/or equipment. |
| Capital construction          | Capital construction projects.                                               | As needed throughout the life of the project.                                                            |
| Drug and alcohol              | Grantees awarded Section 5339 and 5311 funding.                              | Once every biennium.                                                                                     |

## 11.4 Expectations during site visits

When conducting site visits, WSDOT staff use a checklist to ensure they review all requirements.

WSDOT will contact you to schedule a site visit and provide a 30-day notice whenever possible.

WSDOT will send an email to you with the following information:

- Date of the site visit.
- Names of your staff members who must be present.
- Request for any applicable policy updates you may have.

If your organization is a capital vehicle grantee, this email will include a list of vehicles you must have available for inspection on the day of the site visit.

## 11.5 Maintenance record standards

When conducting capital vehicle site visits, WSDOT will randomly select at least 10 percent of the grant-funded vehicles, that WSDOT has a legal interest in, and review their maintenance records.

To comply, your organization must complete at least 80 percent of regularly scheduled vehicle maintenance on time and adhere to the standards described in your Vehicle Maintenance Plan or Transit Asset Management Plan. Refer to **Chapter 1** for more information on the Transit Asset Management and Vehicle Maintenance plans.

## 11.6 Site visit deficiencies

WSDOT staff will document any deficiencies identified during the site visit and may discuss them with you on-site. Within 30 days of the visit, WSDOT will send you a

deficiency letter outlining the issues found, unmet requirements, and required or recommended actions your organization must take to address these deficiencies.

Your organization must complete all required actions within the timeline specified in the deficiency letter. WSDOT typically requires that you perform follow-up activities (e.g., submission of missing or updated policies to WSDOT) within 60 days of receiving the deficiency letter. However, WSDOT may grant more time if necessary.

Once you have addressed all deficiencies, you must send all required documentation to WSDOT. After WSDOT staff review and approve the documentation, WSDOT will send you a letter confirming the resolution of any deficiencies identified during the site visit.

Refer to your grant agreement or the [In Good Standing Policy](#) for more information on the ramifications of noncompliance.

#### 11.6.1 Preparing for a site visit, review, or inspection

Prior to the site visit, you should review and answer the list of questions on the administrative, financial, capital, or FTA drug and alcohol site visit checklist provided to you by the assigned WSDOT community transportation planner or subject matter expert. You must also submit all requested documents and information to WSDOT.

**Note:** If you're not able to thoroughly respond to all checklist questions, it does not necessarily indicate non-compliance.

Additionally, you should ensure that the appropriate staff are available during the entire site visit, including, but not limited to:

- General manager.
- Operations manager.
- Project manager.
- Finance director (for financial site visits).
- Drug and alcohol program manager (for drug and alcohol program reviews).
- Maintenance director (for capital project reviews).

## English

### Title VI Notice to Public

It is the Washington State Department of Transportation's (WSDOT) policy to assure that no person shall, on the grounds of race, color, national origin, as provided by Title VI of the Civil Rights Act of 1964, be excluded from participation in, be denied the benefits of, or be otherwise discriminated against under any of its programs and activities. Any person who believes his/her Title VI protection has been violated, may file a complaint with WSDOT's Office of Equity and Civil Rights (OECR). For additional information regarding Title VI complaint procedures and/or information regarding our non-discrimination obligations, please contact OECR's Title VI Coordinator at (360) 705-7090.

### Americans with Disabilities Act (ADA) Information

This material can be made available in an alternate format by emailing the Office of Equity and Civil Rights at [wsdotada@wsdot.wa.gov](mailto:wsdotada@wsdot.wa.gov) or by calling toll free, 855-362-4ADA(4232). Persons who are deaf or hard of hearing may make a request by calling the Washington State Relay at 711.

## Español

### Notificación de Título VI al Público

La política del Departamento de Transporte del Estado de Washington (Washington State Department of Transportation, WSDOT) es garantizar que ninguna persona, por motivos de raza, color u origen nacional, según lo dispuesto en el Título VI de la Ley de Derechos Civiles de 1964, sea excluida de la participación, se le nieguen los beneficios o se le discrimine de otro modo en cualquiera de sus programas y actividades. Cualquier persona que considere que se ha violado su protección del Título VI puede presentar una queja ante la Oficina de Equidad y Derechos Civiles (Office of Equity and Civil Rights, OECR) del WSDOT. Para obtener más información sobre los procedimientos de queja del Título VI o información sobre nuestras obligaciones contra la discriminación, comuníquese con el coordinador del Título VI de la OECR al (360) 705-7090.

### Información de la Ley sobre Estadounidenses con Discapacidades (ADA, por sus siglas en inglés)

Este material puede estar disponible en un formato alternativo al enviar un correo electrónico a la Oficina de Equidad y Derechos Civiles a [wsdotada@wsdot.wa.gov](mailto:wsdotada@wsdot.wa.gov) o llamando a la línea sin cargo 855-362-4ADA(4232). Personas sordas o con discapacidad auditiva pueden solicitar la misma información llamando al Washington State Relay al 711.

## 한국어-Korean

### 제 6 조 관련 공지사항

워싱턴 주 교통부(WSDOT)는 1964 년 민권법 타이틀 VI 규정에 따라, 누구도 인종, 피부색 또는 출신 국가를 근거로 본 부서의 모든 프로그램 및 활동에 대한 참여가 배제되거나 혜택이 거부되거나, 또는 달리 차별받지 않도록 하는 것을 정책으로 하고 있습니다. 타이틀 VI 에 따른 그/그녀에 대한 보호 조항이 위반되었다고 생각된다면 누구든지 WSDOT 의 평등 및 민권 사무국(OECR)에 민원을 제기할 수 있습니다. 타이틀 VI 에 따른 민원 처리 절차에 관한 보다 자세한 정보 및/또는 본 부서의 차별금지 의무에 관한 정보를 원하신다면, (360) 705-7090 으로 OECR 의 타이틀 VI 담당자에게 연락해주시요.

### 미국 장애인법(ADA) 정보

본 자료는 또한 평등 및 민권 사무국에 이메일 [wsdotada@wsdot.wa.gov](mailto:wsdotada@wsdot.wa.gov) 을 보내시거나 무료 전화 855-362-4ADA(4232)로 연락하셔서 대체 형식으로 받아보실 수 있습니다. 청각장애인은 워싱턴주 중계 711 로 전화하여 요청하실 수 있습니다.

## русский-Russian

### Раздел VI Общественное заявление

Политика Департамента транспорта штата Вашингтон (WSDOT) заключается в том, чтобы исключить любые случаи дискриминации по признаку расы, цвета кожи или национального происхождения, как это предусмотрено Разделом VI Закона о гражданских правах 1964 года, а также случаи недопущения участия, лишения льгот или другие формы дискриминации в рамках любой из своих программ и мероприятий. Любое лицо, которое считает, что его

средства защиты в рамках раздела VI были нарушены, может подать жалобу в Ведомство по вопросам равенства и гражданских прав WSDOT (OECR). Для дополнительной информации о процедуре подачи жалобы на несоблюдение требований раздела VI, а также получения информации о наших обязательствах по борьбе с дискриминацией, пожалуйста, свяжитесь с координатором OECR по разделу VI по телефону (360) 705-7090.

## Закон США о защите прав граждан с ограниченными возможностями (ADA)

Эту информацию можно получить в альтернативном формате, отправив электронное письмо в Ведомство по вопросам равенства и гражданских прав по адресу [wslotada@wsdot.wa.gov](mailto:wslotada@wsdot.wa.gov) или позвонив по бесплатному телефону 855-362-4ADA(4232). Глухие и слабослышащие лица могут сделать запрос, позвонив в специальную диспетчерскую службу штата Вашингтон по номеру 711.

### tiếng Việt-Vietnamese

#### Thông báo Khoản VI dành cho công chúng

Chính sách của Sở Giao Thông Vận Tải Tiểu Bang Washington (WSDOT) là bảo đảm không để cho ai bị loại khỏi sự tham gia, bị từ khước quyền lợi, hoặc bị kỳ thị trong bất cứ chương trình hay hoạt động nào vì lý do chủng tộc, màu da, hoặc nguồn gốc quốc gia, theo như quy định trong Mục VI của Đạo Luật Dân Quyền năm 1964. Bất cứ ai tin rằng quyền bảo vệ trong Mục VI của họ bị vi phạm, đều có thể nộp đơn khiếu nại cho Văn Phòng Bảo Vệ Dân Quyền và Bình Đẳng (OECR) của WSDOT. Muốn biết thêm chi tiết liên quan đến thủ tục khiếu nại Mục VI và/hoặc chi tiết liên quan đến trách nhiệm không kỳ thị của chúng tôi, xin liên lạc với Phái Trí Viên Mục VI của OECR số (360) 705-7090.

#### Thông tin về Đạo luật Người Mỹ tàn tật (Americans with Disabilities Act, ADA)

Tài liệu này có thể thực hiện bằng một hình thức khác bằng cách email cho Văn Phòng Bảo Vệ Dân Quyền và Bình Đẳng [wslotada@wsdot.wa.gov](mailto:wslotada@wsdot.wa.gov) hoặc gọi điện thoại miễn phí số, 855-362- 4ADA(4232). Người điếc hoặc khiếm thính có thể yêu cầu bằng cách gọi cho Dịch vụ Tiếp âm Tiểu bang Washington theo số 711.

### العربية - Arabic

في ضمان عدم استبعاد أي شخص، على أساس العرق أو اللون أو الأصل القومي من المشاركة في أي من (WSDOT) إشعار للجمهور تتمثل سياسة وزارة النقل في الولاية واشنطن 6 العنوان ويمكن إلى شخص 1964. برامجها وأنشطتها أو الحرمان من الفوائد المتاحة بموجبها أو التعرض للتمييز فيها بخلاف ذلك، كما هو منصوص عليه في الباب السادس من قانون الحقوق المدنية لعام للحصول على معلومات إضافية بشأن إجراءات. التابع لوزارة النقل في الولاية واشنطن (OECR) يعتقد أنه تم انتهاك حقوقه التي يكفلها الباب السادس تقديم شكوى إلى مكتب المساواة والحقوق المدنية أو بشأن التزاماتنا بعدم التمييز بموجب الباب السادس، يرجى الاتصال بمندوب الباب/الشكاوى و السادس في مكتب المساواة والحقوق المدنية على الرقم (360) 705-7090.

#### معلومات قانون الأمريكيين ذوي الإعاقة (ADA)

:أو عن طريق الاتصال بالرقم المجاني [wslotada@wsdot.wa.gov](mailto:wslotada@wsdot.wa.gov) يمكن توفير هذه المواد في تنسيق بديل عن طريق إرسال رسالة بريد إلكتروني إلى مكتب المساواة والحقوق المدنية على يمكن للأشخاص (4232) 855-362-4ADA. على الرقم Washington State Relay الصم أو ضعاف السمع تقديم طلب عن طريق الاتصال بخدمة 711.

### 中文 – Chinese

#### 《权利法案》Title VI 公告

<華盛頓州交通部(WSDOT)政策規定，按照《1964 年民權法案》第六篇規定，確保無人因種族、膚色或國籍而被排除在 WSDOT 任何計畫和活動之外，被剝奪相關權益或以其他方式遭到歧視。如任何人認為其第六篇保護權益遭到侵犯，則可向 WSDOT 的公平和民權辦公室 (OECR)提交投訴。如需關於第六篇投訴程式的更多資訊和/或關於我們非歧視義務的資訊，請聯絡 OECR 的第六篇協調員，電話 (360) 705-7090。

#### 《美国残疾人法案》(ADA)信息

可向公平和民權辦公室發送電子郵件 [wslotada@wsdot.wa.gov](mailto:wslotada@wsdot.wa.gov) 或撥打免費電話

855-362-4ADA(4232)，以其他格式獲取此資料。听力丧失或听觉障碍人士可拨打 711 联系 Washington 州转接站。

### Af-soomaaliga – Somali

#### Ciwaanka VI Ogeysiiska Dadweynaha

Waa siyaasada Waaxda Gaadiidka Gobolka Washington (WSDOT) in la xaqiijiyo in aan qofna, ayadoo la cuskanaayo sababo la xariira isir, midab, ama wadanku kasoo jeedo, sida ku qoran Title VI (Qodobka VI) ee Sharciga Xaquuqda Madaniga ah oo soo baxay 1964, laga saarin ka qaybgalka, loo diidin faa'iidooyinka, ama si kale loogu takoorin barnaamijyadeeda iyo shaqooyinkeeda. Qof kasta oo aaminsan in difaacista Title VI la jebiyay, ayaa cabasho u gudbin kara Xafiiska Sinaanta iyo Xaquuqda Madaniga ah (OECR) ee WSDOT. Si aad u hesho xog dheeraad ah oo ku saabsan hanaannada cabashada Title VI iyo/ama xogta la xariirta waajibaadkeena ka caagan takoorka, fadlan la xariir Iskuduwaha Title VI ee OECR oo aad ka wacayso (360) 705-7090.

#### Macluumaadka Xeerka Naafada Marykanka (ADA)

Agabkaan ayaad ku heli kartaa qaab kale adoo iimeel u diraa Xafiiska Sinaanta iyo Xaquuqda Madaniga ah oo aad ka helayso [wslotada@wsdot.wa.gov](mailto:wslotada@wsdot.wa.gov) ama adoo wacaaya laynka bilaashka ah, 855-362-4ADA(4232). Dadka naafada maqalka ama maqalku ku adag yahay waxay ku codsan karaan wicitaanka Adeega Gudbinta Gobolka Washington 711.



## Translation Services

If you have difficulty understanding English, you may, free of charge, request language assistance services by calling 360-705-7921 or email us at: [PubTrans@wsdot.wa.gov](mailto:PubTrans@wsdot.wa.gov)

### Español - Spanish

#### Servicios de traducción

Aviso a personas con dominio limitado del idioma inglés: Si usted tiene alguna dificultad en entender el idioma inglés, puede, sin costo alguno, solicitar asistencia lingüística con respecto a esta información llamando al 360-705-7921, o envíe un mensaje de correo electrónico a: [PubTrans@wsdot.wa.gov](mailto:PubTrans@wsdot.wa.gov)

### tiếng Việt-Vietnamese

#### các dịch vụ dịch thuật

Nếu quý vị không hiểu tiếng Anh, quý vị có thể yêu cầu dịch vụ trợ giúp ngôn ngữ, miễn phí, bằng cách gọi số 360-705-7921 hoặc email cho chúng tôi tại: [PubTrans@wsdot.wa.gov](mailto:PubTrans@wsdot.wa.gov)

### 한국어-Korean

#### 번역 서비스

영어로 소통하는 것이 불편하시다면, 360-705-7921 으로 전화하시거나 다음 이메일로 연락하셔서 무료 언어 지원 서비스를 요청하실 수 있습니다: [PubTrans@wsdot.wa.gov](mailto:PubTrans@wsdot.wa.gov)

### русский-Russian

#### Услуги перевода

Если вам трудно понимать английский язык, вы можете запросить бесплатные языковые услуги, позвонив по телефону 360-705-7921 или написав нам на электронную почту: [PubTrans@wsdot.wa.gov](mailto:PubTrans@wsdot.wa.gov)

### العربية - Arabic

#### الترجمة خدمات

عن اللغوية المساعدة خدمات طلباً ما فيمكنك، الإنجليزية اللغة فهم في صعوبة تجد كنت إذا

الإلكتروني البريد عبر مراسلتنا أو 7921-705-360 بالرقم الاتصال بق طر: [PubTrans@wsdot.wa.gov](mailto:PubTrans@wsdot.wa.gov)

### Af-soomaaliga - Somali

#### Adeegyada Turjumaada

Haddii ay kugu adag tahay inaad fahamtid Ingiriisida, waxaad, bilaash, ku codsan kartaa adeegyada caawimada luuqada adoo wacaaya 360-705-7921 ama iimayl noogu soo dir: [PubTrans@wsdot.wa.gov](mailto:PubTrans@wsdot.wa.gov)

### 中文 - Chinese

#### 翻译服务

如果您难以理解英文，则请致电：360-705-7921，或给我们发送电子邮件： [PubTrans@wsdot.wa.gov](mailto:PubTrans@wsdot.wa.gov)，请求获取免费语言援助服务