August 2024

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| --- | --- |
| Agency:  |       |
| Agency Representative Name: |       |
| Agency Contact Information:  |       |
|  | Address: |       |
|  |  |       |
|  | Phone: |       |
|  | Email: |       |
| **Compliance Review for****Nebraska 5310 Subrecipient****Onsite Review Checklist** |
| Reviewer Name: |       |
| Email: |       |
| Phone: |       |
| Date of Site Visit: |       |
| Site Visit No.:  |       |

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**Introduction**

The Nebraska Department of Transportation is required to provide oversight and technical assistance to subrecipients of funding from the Federal Transit Administration. Subrecipient compliance reviews are conducted at least once every three years as per the NDOT Transit Section State Management Plan.

Please answer ALL questions on the checklist and return to the reviewer with the required documents by the due date. Documents will also be discussed during the review. Please ensure that all documents to be reviewed are readily available.

After the review, follow-up report will be issued. The subrecipient will be required to take corrective action to address all findings.

**Required Documents**

Documents will be reviewed prior to and during the compliance review. Please ensure that the required documents are provided by the due date or available during the review. Use the checklist below to ensure the required documents are provided as needed.

Send these documents with the completed checklist by the due date:

1. Maintenance plan adopted by the agency.

2. Preventative maintenance (PM) schedules for FTA-funded vehicles (maximum of schedules for 10 vehicles is sufficient.) Provide active forms that indicate PM is scheduled and completed as required.

3. Invoices, mechanic inspection sheets, etc., that provide evidence that the correct maintenance is being performed at the correct intervals.

4. Copies of titles for FTA-funded vehicles.

5. Copies of completed pre- or post-trip inspections.

6. Copies of completed documents that indicate lifts are being cycled prior to being placed in service for the day (disregard if this action is part of the pre- or post-trip inspection.)

These records must be available during the on-site review:

1. Title VI documents (plan, posters, compliant form, etc.)

2. EEO poster

3. Maintenance records for all transit vehicles

4. Passenger handbook and/other written policies

5. ADA policy, complaint form and complaint log (include reasonable modification policy)

**Section 1: Eligibility**

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| 1. | Describe any "incidental" services (e.g., meal delivery) provided using the federally-funded vehicle? |
| Subrecipient Response ( Include Detail) |       |
| NDOT Comment: |       |
| [ ]  | Recommendation | [ ]  | Finding | [ ]  | Resolved onsite |

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| 2. | Do you transport children to school with the vehicle? |
| Subrecipient Response ( Include Detail): |       |
| NDOT Comment: |       |
| [ ]  | Recommendation | [ ]  | Finding | [ ]  | Resolved onsite |

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| 3. | Does your agency allow exclusive use of the vehicle? (i.e., charter service)? |
| Subrecipient Response ( Include Detail) |       |
| NDOT Comment: |       |
| [ ]  | Recommendation | [ ]  | Finding | [ ]  | Resolved onsite |

**Section 2: Civil Rights**

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| 1. | Is the Title VI Notice to the Public posted?  |
| Subrecipient Response ( Include Detail): |       |
| NDOT Comment: |       |
| [ ]  | Recommendation | [ ]  | Finding | [ ]  Resolved onsite  |

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| 2. | Are Title VI complaint forms and complaint procedures available in the agency's office? |
| Subrecipient Response ( Include Detail) |       |
| NDOT Comment: |       |
| [ ]  | Recommendation | [ ]  | Finding | [ ]  | Resolved onsite |

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| 3. | Are Title VI complaint forms and complaint procedures available in each federally-funded vehicle? |
| Subrecipient Response ( Include Detail) |       |
| NDOT Comment: |       |
| [ ]  | Recommendation | [ ]  | Finding | [ ]  | Resolved onsite |

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| 4. | Are Title VI Notice to the Public posters located in every federally-funded vehicle and in the agency's facility? |
| Subrecipient Response ( Include Detail) |       |
| NDOT Comment: |       |
| [ ]  | Recommendation | [ ]  | Finding | [ ]  | Resolved onsite |

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| 5. | Are the Title VI Notice to the Public and Title VI Complaint Form and Procedures posted on the agency's website? |
| Subrecipient Response ( Include Detail) |       |
| NDOT Comment: |       |
| [ ]  | Recommendation | [ ]  | Finding | [ ]  | Resolved onsite |

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| 6. | Does the agency Title VI plan identify 1,000 people or 5% of the population in the service area with limited English proficiency (LEP)? |
| Subrecipient Response ( Include Detail) |       |
| NDOT Comment: |       |
| [ ]  | Recommendation | [ ]  | Finding | [ ]  | Resolved onsite |

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| 7. | If the answer to question 4-6 is "yes," does the agency translate information into that language, including the Title VI Notice to the Public? |
| Subrecipient Response ( Include Detail) |       |
| NDOT Comment: |       |
| [ ]  | Recommendation | [ ]  | Finding | [ ]  | Resolved onsite |

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| 8. | Are required EEO posters displayed in the office? |
| Subrecipient Response ( Include Detail) |       |
| NDOT Comment: |       |
| [ ]  | Recommendation | [ ]  | Finding | [ ]  | Resolved onsite |

**Section 3: General ADA**

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| 1. | Are ADA services' needs met with the current fleet ? |
| Subrecipient Response ( Include Detail) |       |
| NDOT Comment: |       |
| [ ]  | Recommendation | [ ]  | Finding | [ ]  | Resolved onsite |

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| 2. | Is the agency’s building accessible to all persons with disabilities? |
| Subrecipient Response ( Include Detail) |       |
| NDOT Comment: |       |
| [ ]  | Recommendation | [ ]  | Finding | [ ]  | Resolved onsite |

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| 3. | Can a person not using a wheelchair request a ride in the wheelchair lift? |
| Subrecipient Response ( Include Detail) |       |
| NDOT Comment: |       |
| [ ]  | Recommendation | [ ]  | Finding | [ ]  | Resolved onsite |

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| 4. | Have all drivers been trained to use the wheelchair lift/ramps and wheelchair securement system? |
| Subrecipient Response ( Include Detail): |       |
| NDOT Comment: |       |
| [ ]  | Recommendation | [ ]  | Finding | [ ]  | Resolved onsite |

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| 5. | Does the agency require that wheelchairs be secured in the transit vehicle? |
| Subrecipient Response ( Include Detail) |       |
| NDOT Comment: |       |
| [ ]  | Recommendation | [ ]  | Finding | [ ]  | Resolved onsite |

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| 6. | Will the agency still provide transport if driver is unable to secure wheelchair? (i.e., riders request no tie downs)? |
| Subrecipient Response ( Include Detail) |       |
| NDOT Comment: |       |
| [ ]  | Recommendation | [ ]  | Finding | [ ]  | Resolved onsite |

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| 7.. | What type of "service animals" are accepted aboard vehicles and in facilities? |
| Subrecipient Response ( Include Detail) |       |
| NDOT Comment: |       |
| [ ]  | Recommendation | [ ]  | Finding | [ ]  | Resolved onsite |

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| 8. | How does the agency determine if an animal is a "service"? |
| Subrecipient Response ( Include Detail): |       |
| NDOT Comment: |       |
| [ ]  | Recommendation | [ ]  | Finding | [ ]  | Resolved onsite |

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| 9.. | Does the agency have a "rider's handbook" describing the agency's policies and procedures? |
| Subrecipient Response ( Include Detail) |       |
| NDOT Comment: |       |
| [ ]  | Recommendation | [ ]  | Finding | [ ]  | Resolved onsite |

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| 10. | Does the agency have an approved ADA policy, complaint form, and complaint log? |
| Subrecipient Response ( Include Detail) |       |
| NDOT Comment: |       |
| [ ]  | Recommendation | [ ]  | Finding | [ ]  | Resolved onsite |

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| 11. | Does the ADA policy include the process to receive and review requests for a reasonable modification of the agency's polices to ensure clients have access to services? |
| Subrecipient Response ( Include Detail) |       |
| NDOT Comment: |       |
| [ ]  | Recommendation | [ ]  | Finding | [ ]  | Resolved onsite |

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| 12. | Who is designated to review ADA complaints? |
| Subrecipient Response ( Include Detail) |       |
| NDOT Comment: |       |
| [ ]  | Recommendation | [ ]  | Finding | [ ]  | Resolved onsite |

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| 13. | Have you had any ADA complaints since your last compliance review, and if so, are they included on your ADA log? |
| Subrecipient Response ( Include Detail) |       |
| NDOT Comment: |       |
| [ ]  | Recommendation | [ ]  | Finding | [ ]  | Resolved onsite |

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| 14. | Are the agency's ADA complaint procedures on the agency website? |
| Subrecipient Response ( Include Detail) |       |
| NDOT Comment: |       |
| [ ]  | Recommendation | [ ]  | Finding | [ ]  | Resolved onsite |

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| 15. | Are agency's ADA coordinator name and contact information on the agency website? |
| Subrecipient Response ( Include Detail) |       |
| NDOT Comment: |       |
| [ ]  | Recommendation | [ ]  | Finding | [ ]  | Resolved onsite |

**Section 4: Maintenance**

*(Individual vehicle inspections and reports to be completed at site review.)*

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| 1. | Does the agency have written maintenance plans for FTA-funded vehicles? |
| Subrecipient Response ( Include Detail): |       |
| NDOT Comment: |       |
| [ ]  | Recommendation | [ ]  | Finding | [ ]  | Resolved onsite |

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| 2. | Do the preventative maintenance schedules in the plan meet the minimums required by the manufacturer or supplier? |
| Subrecipient Response ( Include Detail) |       |
| NDOT Comment: |       |
| [ ]  | Recommendation | [ ]  | Finding | [ ]  | Resolved onsite |

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| 3. | Are there maintenance records for each vehicle available for review? |
| Subrecipient Response ( Include Detail) |       |
| NDOT Comment: |       |
| [ ]  | Recommendation | [ ]  | Finding | [ ]  | Resolved onsite |

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| 4. | Are the vehicle records identified by the VIN? |
| Subrecipient Response ( Include Detail) |       |
| NDOT Comment: |       |
| [ ]  | Recommendation | [ ]  | Finding | [ ]  | Resolved onsite |

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| 5. | Does a comparison of three preventative maintenance schedules and invoices indicate that maintenance is being completed per the subrecipient’s schedule *(within a 10% variance?)*? |
| Subrecipient Response ( Include Detail) |       |
| NDOT Comment: |       |
| [ ]  | Recommendation | [ ]  | Finding | [ ]  | Resolved onsite |

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| 6 | Are the titles for FTA-funded vehicles in the name of the subrecipient/applicant? |
| Subrecipient Response ( Include Detail) |       |
| NDOT Comment: |       |
| [ ]  | Recommendation | [ ]  | Finding | [ ]  | Resolved onsite |

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| 7. | Are there written records indicating the pre- or post-trip inspections are completed? |
| Subrecipient Response ( Include Detail) |       |
| NDOT Comment: |       |
| [ ]  | Recommendation | [ ]  | Finding | [ ]  | Resolved onsite |

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| 8 | Is there documentation that drivers cycle the lifts each day prior to the vehicle being placed in service? |
| Subrecipient Response ( Include Detail) |       |
| NDOT Comment: |       |
| [ ]  | Recommendation | [ ]  | Finding | [ ]  | Resolved onsite |

**Section 5: Equipment**

Please note-Equipment is defined as a unit valued at $5,000 are more far financial statement purposes and includes vehicles, vehicle components, intellectual property including software, facility components, etc.

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| 1. | Does the agency have any FTA funded equipment under warranty as defined above? If yes, please provide a list of FTA funded equipment. |
| Subrecipient Response ( Include Detail) |       |
| NDOT Comment: |       |
| [ ]  | Recommendation | [ ]  | Finding | [ ]  | Resolved onsite |

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| 2. | Does the agency have a warranty file for each unit of equipment? |
| Subrecipient Response ( Include Detail) |       |
| NDOT Comment: |       |
| [ ]  | Recommendation | [ ]  | Finding | [ ]  | Resolved onsite |

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| 3. | How does the agency track warranty claims? |
| Subrecipient Response ( Include Detail) |       |
| NDOT Comment: |       |
| [ ]  | Recommendation | [ ]  | Finding | [ ]  | Resolved onsite |

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| 4. | Has the agency pursued any warranty claims for any equipment since the last NDOT compliance review? If yes, please provide documentation. |
| Subrecipient Response ( Include Detail) |       |
| NDOT Comment: |       |
| [ ]  | Recommendation | [ ]  | Finding | [ ]  | Resolved onsite |

**Section 6: Reporting**

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| 1. | Is the agency up to date with all monthly requirements (if applicable)? |       |
| Subrecipient Response ( Include Detail) |       |
| NDOT Comment: |       |
| [ ]  | Recommendation | [ ]  | Finding | [ ]  | Resolved onsite |

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| 2. | Is the agency up to date with all annual requirements (if applicable)? |       |
| Subrecipient Response ( Include Detail) |       |
| NDOT Comment: |       |
| [ ]  | Recommendation | [ ]  | Finding | [ ]  | Resolved onsite |