

Transit Agency:

Revised: *September 19, 2016*

Agency Representative Name:

Agency Contact Information:

Address:

Phone:

Email:

Compliance Review for Nebraska 5311 Subrecipient Onsite Review Checklist

Reviewer Name:

Email:

Phone:

Date of Site Visit:

Site Visit No.:

Table of Contents

Introduction

Required Documents

- Section 1: Eligibility
- Section 2: Civil Rights
- Section 3: Service Area
- Section 4: Financial
- Section 5: General ADA
- Section 6: Drug and Alcohol
- Section 7: Procurement
- Section 8: Maintenance

Introduction

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

Documentation will be requested before the site visit. Please forward all requested information by the deadline provided. Documents will also be reviewed onsite. Please ensure that all documents to be reviewed are readily available during the visit.

This checklist will be utilized by the reviewer during your visit. Please answer ALL questions on the checklist and return to the reviewer with the required documents by the due date.

After the review, a 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 the site visit and during the on-site 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. Rider handbook or passenger policies.
2. Reasonable modification/accommodation rule adopted by the agency.
3. Reasonable modification/accommodation rule complaint form template.
4. All reasonable modification/accommodation complaint forms submitted to the agency.
5. Maintenance plan adopted by the agency.
6. 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.
7. Invoices, mechanic inspection sheets, etc., that provide evidence that the correct maintenance is being performed at the correct intervals.
8. Copies of titles for FTA funded vehicles.
9. Copies of completed pre- or post-trip inspections.
10. Copies of completed documents that indicate lifts are being cycled (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, complaint form, etc.)
2. EEO poster
3. Transit accounting documents
4. Driver training records
5. Marketing materials
6. Passenger handbook and/other written policies
7. Drug and alcohol testing compliance records
8. Procurement policies
9. Maintenance records for all transit vehicles

Section 1: Eligibility

1. Are all transit services provided by the agency open to the general public? If not, please describe in detail.
Agency Response:
NDOR Comment:
<input type="checkbox"/> Previous Finding <input type="checkbox"/> Recommendation <input type="checkbox"/> Finding <input type="checkbox"/> Resolved onsite

2. How are services advertised to the general public?
Agency Response:
NDOR Comment:
<input type="checkbox"/> Previous Finding <input type="checkbox"/> Recommendation <input type="checkbox"/> Finding <input type="checkbox"/> Resolved onsite

3. Are all vehicles providing service as part of the public transit program marked with the agency name and contact information on both sides?
Agency Response:
NDOR Comment:
<input type="checkbox"/> Previous Finding <input type="checkbox"/> Recommendation <input type="checkbox"/> Finding <input type="checkbox"/> Resolved onsite

4. Describe any "incidental" services (e.g., meal delivery) provided using federally funded vehicle?
Agency Response:
NDOR Comment:
<input type="checkbox"/> Previous Finding <input type="checkbox"/> Recommendation <input type="checkbox"/> Finding <input type="checkbox"/> Resolved onsite

4a. Does the incidental service disrupt regular public transportation service?
Agency Response:
NDOR Comment:
<input type="checkbox"/> Previous Finding <input type="checkbox"/> Recommendation <input type="checkbox"/> Finding <input type="checkbox"/> Resolved onsite

4b. Is incidental service funded by a different program?
Agency Response:
NDOR Comment:
<input type="checkbox"/> Previous Finding <input type="checkbox"/> Recommendation <input type="checkbox"/> Finding <input type="checkbox"/> Resolved onsite

5. Does the public transportation system transport children to school? If yes, please describe the service provided.
Agency Response:
NDOR Comment:
<input type="checkbox"/> Previous Finding <input type="checkbox"/> Recommendation <input type="checkbox"/> Finding <input type="checkbox"/> Resolved onsite

6. Does the agency ever allow exclusive use of the transit vehicle (i.e., charter service)?
Agency Response:
NDOR Comment:
<input type="checkbox"/> Previous Finding <input type="checkbox"/> Recommendation <input type="checkbox"/> Finding <input type="checkbox"/> Resolved onsite

Section 2: Civil Rights

1. Is the Title VI Notice to the Public posted? If so, where?
Agency Response:
NDOR Comment:
<input type="checkbox"/> Previous Finding <input type="checkbox"/> Recommendation <input type="checkbox"/> Finding <input type="checkbox"/> Resolved onsite

2. Are Title VI Complaint forms and complaint procedures available in the transit office?
Agency Response:
NDOR Comment:
<input type="checkbox"/> Previous Finding <input type="checkbox"/> Recommendation <input type="checkbox"/> Finding <input type="checkbox"/> Resolved onsite

3. Are Title VI Complaint forms and complaint procedures available in each federally-funded vehicle?
Agency Response:
NDOR Comment:
<input type="checkbox"/> Previous Finding <input type="checkbox"/> Recommendation <input type="checkbox"/> Finding <input type="checkbox"/> Resolved onsite

4. Are Title VI Notice to the Public posters located in every federally-funded vehicle?
Agency Response:
NDOR Comment:
<input type="checkbox"/> Previous Finding <input type="checkbox"/> Recommendation <input type="checkbox"/> Finding <input type="checkbox"/> Resolved onsite

5. Are required EEO posters displayed at transit agency office, contractors' offices, transit garage, etc.?
Agency Response:
NDOR Comment:
<input type="checkbox"/> Previous Finding <input type="checkbox"/> Recommendation <input type="checkbox"/> Finding <input type="checkbox"/> Resolved onsite

Section 3: Service Area

1. Does the agency transport individuals across state lines with a commercial motor vehicle?
Agency Response:
NDOR Comment:
<input type="checkbox"/> Previous Finding <input type="checkbox"/> Recommendation <input type="checkbox"/> Finding <input type="checkbox"/> Resolved onsite

2. Has the agency registered as a motor carrier with the Federal Motor Carrier Safety Administration of USDOT?
Agency Response:
NDOR Comment:
<input type="checkbox"/> Previous Finding <input type="checkbox"/> Recommendation <input type="checkbox"/> Finding <input type="checkbox"/> Resolved onsite

3. If the agency is registered with the FMCSA, do the commercial motor vehicles display the assigned USDOT numbers?
Agency Response:
NDOR Comment:
<input type="checkbox"/> Previous Finding <input type="checkbox"/> Recommendation <input type="checkbox"/> Finding <input type="checkbox"/> Resolved onsite

Section 4: Financial

1. Does the agency's accounting system track all revenues and expenses attributable to the public transit program?
Agency Response:
NDOR Comment:
<input type="checkbox"/> Previous Finding <input type="checkbox"/> Recommendation <input type="checkbox"/> Finding <input type="checkbox"/> Resolved onsite

2. How are these revenues and expenses clearly identified as being related to the public transit program?
Agency Response:
NDOR Comment:
<input type="checkbox"/> Previous Finding <input type="checkbox"/> Recommendation <input type="checkbox"/> Finding <input type="checkbox"/> Resolved onsite

3. How does the agency ensure that the fully-allocated costs of providing incidental services are covered by other than state or federal transit funds?
Agency Response:
NDOR Comment:
<input type="checkbox"/> Previous Finding <input type="checkbox"/> Recommendation <input type="checkbox"/> Finding <input type="checkbox"/> Resolved onsite

4. How does the agency ensure that state and federal transit funds are spent only on costs attributable to the public transit program?
Agency Response:
NDOR Comment:
<input type="checkbox"/> Previous Finding <input type="checkbox"/> Recommendation <input type="checkbox"/> Finding <input type="checkbox"/> Resolved onsite

5. Describe how fares are collected, recorded and deposited. Who in your organization is responsible for handling fares from collection to deposit?
Agency Response:
NDOR Comment:
<input type="checkbox"/> Previous Finding <input type="checkbox"/> Recommendation <input type="checkbox"/> Finding <input type="checkbox"/> Resolved onsite

Section 5: General ADA

1. Are ADA services needs met with the current fleet?
Agency Response:
NDOR Comment:
<input type="checkbox"/> Previous Finding <input type="checkbox"/> Recommendation <input type="checkbox"/> Finding <input type="checkbox"/> Resolved onsite

2. Are wheelchairs accepted in all of the agency's service areas?
Agency Response:
NDOR Comment:
<input type="checkbox"/> Previous Finding <input type="checkbox"/> Recommendation <input type="checkbox"/> Finding <input type="checkbox"/> Resolved onsite

3. Does the agency require that wheelchairs be secured?
Agency Response:
NDOR Comment:
<input type="checkbox"/> Previous Finding <input type="checkbox"/> Recommendation <input type="checkbox"/> Finding <input type="checkbox"/> Resolved onsite

4. Will the agency still transport if driver is not able to secure wheelchair?
Agency Response:
NDOR Comment:
<input type="checkbox"/> Previous Finding <input type="checkbox"/> Recommendation <input type="checkbox"/> Finding <input type="checkbox"/> Resolved onsite

5. What types of "service animals" are accepted aboard vehicles and in facilities?
Agency Response:
NDOR Comment:
<input type="checkbox"/> Previous Finding <input type="checkbox"/> Recommendation <input type="checkbox"/> Finding <input type="checkbox"/> Resolved onsite

6. How does the agency determine if an animal is a “service animal?”
Agency Response:
NDOR Comment:
<input type="checkbox"/> Previous Finding <input type="checkbox"/> Recommendation <input type="checkbox"/> Finding <input type="checkbox"/> Resolved onsite

7. Can a person not using a wheelchair request to ride a wheelchair lift?
Agency Response:
NDOR Comment:
<input type="checkbox"/> Previous Finding <input type="checkbox"/> Recommendation <input type="checkbox"/> Finding <input type="checkbox"/> Resolved onsite

8. Have all drivers been trained to use the wheelchair lifts/ramps and the wheelchair securement system(s)?
Agency Response:
NDOR Comment:
<input type="checkbox"/> Previous Finding <input type="checkbox"/> Recommendation <input type="checkbox"/> Finding <input type="checkbox"/> Resolved onsite

9. Does all literature/advertising include information that all services are open to the general public, including persons with disabilities?
Agency Response:
NDOR Comment:
<input type="checkbox"/> Previous Finding <input type="checkbox"/> Recommendation <input type="checkbox"/> Finding <input type="checkbox"/> Resolved onsite

10. How does the agency handle a caller who requests a ride at a time when the transit vehicle(s) is/are busy?
Agency Response:
NDOR Comment:
<input type="checkbox"/> Previous Finding <input type="checkbox"/> Recommendation <input type="checkbox"/> Finding <input type="checkbox"/> Resolved onsite

11. Does the agency have a suspension policy for a pattern or practice of no shows?
Agency Response:
NDOR Comment:
<input type="checkbox"/> Previous Finding <input type="checkbox"/> Recommendation <input type="checkbox"/> Finding <input type="checkbox"/> Resolved onsite

12. On the average, how many denials does the agency have per month? Does the agency track the reasons for denials?
Agency Response:
NDOR Comment:
<input type="checkbox"/> Previous Finding <input type="checkbox"/> Recommendation <input type="checkbox"/> Finding <input type="checkbox"/> Resolved onsite

13. How long does/would such a denial of service last?
Agency Response:
NDOR Comment:
<input type="checkbox"/> Previous Finding <input type="checkbox"/> Recommendation <input type="checkbox"/> Finding <input type="checkbox"/> Resolved onsite

14. Who makes the decision on denial of service?
Agency Response:
NDOR Comment:
<input type="checkbox"/> Previous Finding <input type="checkbox"/> Recommendation <input type="checkbox"/> Finding <input type="checkbox"/> Resolved onsite

15. What opportunity for appeal or administrative review is offered?
Agency Response:
NDOR Comment:
<input type="checkbox"/> Previous Finding <input type="checkbox"/> Recommendation <input type="checkbox"/> Finding <input type="checkbox"/> Resolved onsite

16. How are the agency's policies on denial of service documented and communicated to the public?
Agency Response:
NDOR Comment:
<input type="checkbox"/> Previous Finding <input type="checkbox"/> Recommendation <input type="checkbox"/> Finding <input type="checkbox"/> Resolved onsite

17. Does the agency have a "rider's handbook" describing the agency's policies and procedures relating to the ADA paratransit services?
Agency Response:
NDOR Comment:
<input type="checkbox"/> Previous Finding <input type="checkbox"/> Recommendation <input type="checkbox"/> Finding <input type="checkbox"/> Resolved onsite

18. Does the agency have a written policy to comply with the reasonable modification/accommodation rule?
Agency Response:
NDOR Comment:
<input type="checkbox"/> Previous Finding <input type="checkbox"/> Recommendation <input type="checkbox"/> Finding <input type="checkbox"/> Resolved onsite

19. Does the agency have a complaint form for passengers to request a modification of service?
Agency Response:
NDOR Comment:
<input type="checkbox"/> Previous Finding <input type="checkbox"/> Recommendation <input type="checkbox"/> Finding <input type="checkbox"/> Resolved onsite

20. Who at the agency is designated to receive and review the complaint forms?
Agency Response:
NDOR Comment:
<input type="checkbox"/> Previous Finding <input type="checkbox"/> Recommendation <input type="checkbox"/> Finding <input type="checkbox"/> Resolved onsite

Section 6: Drug and Alcohol

1. Is the agency drug and alcohol policy and board approval on file in the transit office?
Agency Response:
NDOR Comment:
<input type="checkbox"/> Previous Finding <input type="checkbox"/> Recommendation <input type="checkbox"/> Finding <input type="checkbox"/> Resolved onsite

2. Does the agency have documentation that each employee has received a copy of the testing policy?
Agency Response:
NDOR Comment:
<input type="checkbox"/> Previous Finding <input type="checkbox"/> Recommendation <input type="checkbox"/> Finding <input type="checkbox"/> Resolved onsite

3. Does the agency keep a record of employees selected for random testing and whether the tests were actually conducted?
Agency Response:
NDOR Comment:
<input type="checkbox"/> Previous Finding <input type="checkbox"/> Recommendation <input type="checkbox"/> Finding <input type="checkbox"/> Resolved onsite

4. Are employee test records/results kept in a separate file cabinet with lock?
Agency Response:
NDOR Comment:
<input type="checkbox"/> Previous Finding <input type="checkbox"/> Recommendation <input type="checkbox"/> Finding <input type="checkbox"/> Resolved onsite

5. Who has access to these records/results?
Agency Response:
NDOR Comment:
<input type="checkbox"/> Previous Finding <input type="checkbox"/> Recommendation <input type="checkbox"/> Finding <input type="checkbox"/> Resolved onsite

6. Who makes the decision whether to send driver and/or others for collection following an accident that triggers an automatic test?
Agency Response:
NDOR Comment:
<input type="checkbox"/> Previous Finding <input type="checkbox"/> Recommendation <input type="checkbox"/> Finding <input type="checkbox"/> Resolved onsite

7. Does the agency use a form to document post-accident decisions regarding testing?
Agency Response:
NDOR Comment:
<input type="checkbox"/> Previous Finding <input type="checkbox"/> Recommendation <input type="checkbox"/> Finding <input type="checkbox"/> Resolved onsite

8. Who makes the decision on whether to send an employee for reasonable suspicion testing?
Agency Response:
NDOR Comment:
<input type="checkbox"/> Previous Finding <input type="checkbox"/> Recommendation <input type="checkbox"/> Finding <input type="checkbox"/> Resolved onsite

9. Does the agency have a form to document determination of reasonable suspicion?
Agency Response:
NDOR Comment:
<input type="checkbox"/> Previous Finding <input type="checkbox"/> Recommendation <input type="checkbox"/> Finding <input type="checkbox"/> Resolved onsite

Section 7: Procurement

1. Have any items charged to the public transit program over the past three years been purchased from businesses owned by board or staff members of the agency or by members of their families? If so, please explain how a conflict of interest was avoided.
Agency Response:
NDOR Comment:
<input type="checkbox"/> Previous Finding <input type="checkbox"/> Recommendation <input type="checkbox"/> Finding <input type="checkbox"/> Resolved onsite

2. Does the agency maintain a record of the history of each procurement charged to the transit program? If so, what information is recorded?
Agency Response:
NDOR Comment:
<input type="checkbox"/> Previous Finding <input type="checkbox"/> Recommendation <input type="checkbox"/> Finding <input type="checkbox"/> Resolved onsite

Section 8: Maintenance

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

1. Does the agency have written maintenance plans for FTA-funded transit facilities and equipment?
Agency Response:
NDOR Comment:
<input type="checkbox"/> Previous Finding <input type="checkbox"/> Recommendation <input type="checkbox"/> Finding <input type="checkbox"/> Resolved onsite
2. Do the preventative maintenance schedules in the plan meet the minimums required by the manufacturer or supplier?
Agency Response:
NDOR Comment:
<input type="checkbox"/> Previous Finding <input type="checkbox"/> Recommendation <input type="checkbox"/> Finding <input type="checkbox"/> Resolved onsite
3. Are there maintenance records for each vehicle available for review?
Agency Response:
NDOR Comment:
<input type="checkbox"/> Previous Finding <input type="checkbox"/> Recommendation <input type="checkbox"/> Finding <input type="checkbox"/> Resolved onsite
4. Are the vehicle records identified by the VIN number?
Agency Response:
NDOR Comment:
<input type="checkbox"/> Previous Finding <input type="checkbox"/> Recommendation <input type="checkbox"/> Finding <input type="checkbox"/> Resolved onsite
5. Does a comparison of three preventative maintenance schedules and invoices indicate that maintenance is being completed per the subrecipient's schedule (<i>within a 10% variance</i>)?
Agency Response:
NDOR Comment:
<input type="checkbox"/> Previous Finding <input type="checkbox"/> Recommendation <input type="checkbox"/> Finding <input type="checkbox"/> Resolved onsite

6. Are the titles for FTA funded vehicles in the name of the subrecipient/applicant?
Agency Response:
NDOR Comment:
<input type="checkbox"/> Previous Finding <input type="checkbox"/> Recommendation <input type="checkbox"/> Finding <input type="checkbox"/> Resolved onsite

7. Are there written records indicating that pre-trip and/or post-trip inspections are completed?
Agency Response:
NDOR Comment:
<input type="checkbox"/> Previous Finding <input type="checkbox"/> Recommendation <input type="checkbox"/> Finding <input type="checkbox"/> Resolved onsite

8. Is there documentation that drivers cycle the lifts each day prior to the vehicle being placed in service?
Agency Response:
NDOR Comment:
<input type="checkbox"/> Previous Finding <input type="checkbox"/> Recommendation <input type="checkbox"/> Finding <input type="checkbox"/> Resolved onsite

9. Is all work required by manufacturer's warranty provisions being performed? If not, why?
Agency Response:
NDOR Comment:
<input type="checkbox"/> Previous Finding <input type="checkbox"/> Recommendation <input type="checkbox"/> Finding <input type="checkbox"/> Resolved onsite

10. Is any FTA funded equipment under warranty and if so, what is the process for recovering warranty claims?
Agency Response:
NDOR Comment:
<input type="checkbox"/> Previous Finding <input type="checkbox"/> Recommendation <input type="checkbox"/> Finding <input type="checkbox"/> Resolved onsite