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Compliance Review for Nebraska 5311 Subrecipient Onsite Review Checklist

Reviewer Name: George Gallardo
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Phone: 402-479-4368
Date of Site Visit: 1/7/2026
Site Visit No.: 2025-16
Review Checklist
Submitted to Agency on:
Action Plan needed?
If yes - Action Plan
established on:

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Section 1: Eligibility Oversight

1.	Are all transit services provided by the agency available to the public?				
Subrecipient Response:		Subrecipient provided their flyers and handouts to the city. Clear that transportation provided is open to the public and ADA accessible vehicles are available.			
NDOT Comment:		No additional action required.			
<input type="checkbox"/>	Corrective Action	<input type="checkbox"/>	Finding	<input checked="" type="checkbox"/>	Completed

2.	How are services advertised to the public?				
Subrecipient Response:		Subrecipient did show NDOT onsite flyers, website handouts.			
NDOT Comment:		No additional action required.			
<input type="checkbox"/>	Corrective Action	<input type="checkbox"/>	Finding	<input checked="" type="checkbox"/>	Completed

3.	Are all vehicles providing service as part of the public transit program marked with the agency name and contact information on both sides?				
Subrecipient Response:		While onsite, NDOT inspected (21) vehicles out of the fleet. Vehicles are marked with wraps.			
NDOT Comment:		No additional action required.			
<input type="checkbox"/>	Corrective Action	<input type="checkbox"/>	Finding	<input checked="" type="checkbox"/>	Completed

4.	Describe any "incidental" services (e.g., meal delivery) provided using Federally funded vehicle?				
Subrecipient Response:		Subrecipient told NDOT that they don't use vehicles for incidental service.			
NDOT Comment:		No additional action required.			
<input type="checkbox"/>	Corrective Action	<input type="checkbox"/>	Finding	<input checked="" type="checkbox"/>	Completed

4a.	Does the incidental service disrupt regular public transportation service?				
Subrecipient Response:		Subrecipient told NDOT that they don't use the vehicles for incidental service.			
NDOT Comment:		No additional action required.			
<input type="checkbox"/>	Corrective Action	<input type="checkbox"/>	Finding	<input checked="" type="checkbox"/>	Completed

4b.	Are the incidental services funded by a different program? If yes, which program?				
Subrecipient Response:		Subrecipient told NDOT that they don't use the vehicles for incidental service.			
NDOT Comment:		No additional action required.			
<input type="checkbox"/>	Corrective Action	<input type="checkbox"/>	Finding	<input checked="" type="checkbox"/>	Completed

5.	Does the public transportation system transport children to and from school? Is there an age restriction for the riders?			
If yes, please describe the service provided.				
Subrecipient Response:		Subrecipient does transport high school students, however, they call in like everyone else. Has a section in the rider handbook that states that under age 10 yrs old requires a Parent or guardian. Does not advertise school routes.		
NDOT Comment:		No additional action required.		
<input type="checkbox"/>	Corrective Action	<input type="checkbox"/>	Finding	<input checked="" type="checkbox"/> Completed

6.	Does your agency modify routes or schedules to accommodate school functions?			
Subrecipient Response:		Subrecipient operates an on-demand service therefore the reservations are made as they come in.		
NDOT Comment:		No additional action required.		
<input type="checkbox"/>	Corrective Action	<input type="checkbox"/>	Finding	<input checked="" type="checkbox"/> Completed

6a.	If yes to 6, is the modification open to the public and part of your regular service?			
Subrecipient Response:		Subrecipient does not modify route.		
NDOT Comment:		No additional action required.		
<input type="checkbox"/>	Corrective Action	<input type="checkbox"/>	Finding	<input checked="" type="checkbox"/> Completed

7.	Does the agency ever allow exclusive use of the transit vehicle (i.e., charter service)?			
Subrecipient Response:		Subrecipient has stated that no one has ever taken the vehicle.		
NDOT Comment:		No additional action required.		
<input type="checkbox"/>	Corrective Action	<input type="checkbox"/>	Finding	<input checked="" type="checkbox"/> Completed

Section 2: Title VI

9.	Is the Title VI Notice to the Public posted? If yes, where are they located? (office, vehicles, etc.) Is it posted on your website?			
Subrecipient Response:		The Subrecipient poster is located when you walk into the office. The vehicles all had the proper Title VI forms available.		
NDOT Comment:		No additional action required.		
<input type="checkbox"/>	Corrective Action	<input type="checkbox"/>	Finding	<input checked="" type="checkbox"/> Completed

10.	Are Title VI Complaint forms and complaint procedures available in the transit office, federally funded vehicles and on your website? If yes, list the locations.			
Subrecipient Response:		Subrecipient Title VI complaint forms are in the office, on vehicles, and on the website.		
NDOT Comment:		No additional action required.		

<input type="checkbox"/>	Corrective Action	<input type="checkbox"/>	Finding	<input checked="" type="checkbox"/>	Completed
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11.	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:		Subrecipient title VI complaint forms are in the office, on vehicles, and on the website in LEP.					
NDOT Comment:		No additional action required.					
<input type="checkbox"/>	Previous Finding	<input type="checkbox"/>	Corrective Action	<input type="checkbox"/>	Finding	<input checked="" type="checkbox"/>	Completed

12.	If the answer to question 11 is "yes," does the agency translate information into that language, including the Title VI Notice to the Public? Do you have a translator on staff or a service you use when a translator is needed?						
Subrecipient Response:		Subrecipient Title VI complaint forms are available in the office, in vehicles, and on the website. Google Translate is used when language assistance is needed.					
NDOT Comment:		No additional action required.					
<input type="checkbox"/>	Previous Finding	<input type="checkbox"/>	Corrective Action	<input type="checkbox"/>	Finding	<input checked="" type="checkbox"/>	Completed

13.	Are required EEO posters displayed at transit agency offices, contractors' offices, transit garage, etc.?				
Subrecipient Response:		Subrecipient has updated EEO poster on site.			
NDOT Comment:		No additional action required.			
<input type="checkbox"/>	Corrective Action	<input type="checkbox"/>	Finding	<input checked="" type="checkbox"/>	Completed

14.	Has your agency engaged in any public participation activities since your last review? Have you had any public meetings or forums to allow for public comment on fare rate changes? If yes, provide documentation of events including Legal Notice, Sign-in sheets, handouts, etc.				
Subrecipient Response:		Subrecipient has not engaged in any public activities since last review.			
NDOT Comment:		No additional action required.			
<input type="checkbox"/>	Corrective Action	<input type="checkbox"/>	Finding	<input checked="" type="checkbox"/>	Completed

15.	Are you familiar with NDOT's Disadvantaged Business Enterprise (DBE) program and requirements for subrecipients?				
Subrecipient Response:		Subrecipient was familiar with the DBE program and has had online training.			
NDOT Comment:		No additional action required.			
<input type="checkbox"/>	Corrective Action	<input type="checkbox"/>	Finding	<input checked="" type="checkbox"/>	Completed

16.	Do you currently have any federally funded contracts? If yes or plan to in the future, how do you communicate contracting and service opportunities to DBEs?				
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Subrecipient Response:	Subrecipient currently doesn't have any federal funded contracts.			
NDOT Comment:	No additional action required.			
<input type="checkbox"/>	Corrective Action	<input type="checkbox"/>	Finding	<input checked="" type="checkbox"/> Completed

17.	Have you used any DBEs vendors for services (bookkeeping, janitorial, maintenance, etc.)?			
Subrecipient Response:	Subrecipient does not currently and never had any federal funded contracts.			
NDOT Comment:	No additional action required.			
<input type="checkbox"/>	Corrective Action	<input type="checkbox"/>	Finding	<input checked="" type="checkbox"/> Completed

Section 3: Financial Management & Capacity

17.	What accounting system does the agency use? Does the accounting system track all revenues and expenses attributable to the public transit program?			
Subrecipient Response:	They use their own funds within the county's MIPS system. The treasurer keeps all revenues, and the clerk's office maintains all expenses.			
NDOT Comment:	No comment.			
<input type="checkbox"/>	Corrective Action	<input type="checkbox"/>	Finding	<input checked="" type="checkbox"/> Completed

18.	How are these revenues and expenses clearly identified and tracked in the accounting system as being related to the public transit program? Give an explanation.			
Subrecipient Response:	All transit activity is tracked within a dedicated 2200 fund. Revenues are identified through the chart of accounts, and expenses are coded using the Nebraska Auditor's public general ledger accounts.			
NDOT Comment:	No comment.			
<input type="checkbox"/>	Corrective Action	<input type="checkbox"/>	Finding	<input checked="" type="checkbox"/> Completed

19.	Are sources of non-federal funds identified and tracked separately in the accounting system?			
Subrecipient Response:	Yes. The chart of accounts is used, and any federal reimbursement received is recorded in a specific account.			
NDOT Comment:	No comment.			
<input type="checkbox"/>	Corrective Action	<input type="checkbox"/>	Finding	<input checked="" type="checkbox"/> Completed

20.	Does the accounting system provide for prompt and timely recording and reporting of all financial transactions?			
Subrecipient Response:	Transactions are recorded instantly in the treasurer's office.			
NDOT Comment:	No comment.			
<input type="checkbox"/>	Corrective Action	<input type="checkbox"/>	Finding	<input checked="" type="checkbox"/> Completed

21.	Does the agency have written policy and procedures to adequately administer Federal Grant programs? (Travel, Procurement, etc.) Does the agency have the same policy and procedures for accounting and expending Federal funds as it does for other agency funds?			
Subrecipient Response:		Policies and procedures are included in the county employee manual. All reviewed items were available and in place.		
NDOT Comment:		No comment.		
<input type="checkbox"/>	Corrective Action	<input type="checkbox"/>	Finding	<input checked="" type="checkbox"/> Completed
22.	Does the agency use a Chart of Accounts and Accounting Manual? Does the accounting manual describe the criteria for an obligation?			
Subrecipient Response:		Accounting is based on the MIPS system, and the chart of accounts was reviewed and is in place.		
NDOT Comment:		No comment.		
<input type="checkbox"/>	Corrective Action	<input type="checkbox"/>	Finding	<input checked="" type="checkbox"/> Completed

23.	Are the requests for reimbursement from the pass-through entity (NDOT) based on supporting documentation from the accounting system?			
Subrecipient Response:		Yes. A claims bank is completed for every expense, and each account is broken out using general ledger codes. Documentation is submitted to the clerk's office, which generates the checks and notifies the treasurer.		
NDOT Comment:		No comment.		
<input type="checkbox"/>	Corrective Action	<input type="checkbox"/>	Finding	<input checked="" type="checkbox"/> Completed

24.	Are the accounting records supported by source documentation? Do supporting documents accompany checks when they are submitted for signature?			
Subrecipient Response:		Yes. Invoices are always included with the claim, and the clerk's office also retains the supporting documentation.		
NDOT Comment:		No comment.		
<input type="checkbox"/>	Corrective Action	<input type="checkbox"/>	Finding	<input checked="" type="checkbox"/> Completed

25.	Are invoices or vouchers approved in advance by authorized officials?			
Subrecipient Response:		The transit manager approves invoices, and the clerk's office reviews them to ensure compliance with county guidelines.		
NDOT Comment:		No comment.		
<input type="checkbox"/>	Corrective Action	<input type="checkbox"/>	Finding	<input checked="" type="checkbox"/> Completed

26.	Are payment vouchers or supporting documents identified by grant number, dates and expense classification?			
Subrecipient Response:		Dates and expense classifications are included.		
NDOT Comment:		No comment.		
<input type="checkbox"/>	Corrective Action	<input type="checkbox"/>	Finding	<input checked="" type="checkbox"/> Completed

27.	Are all disbursements controlled by check registers?			
Subrecipient Response:		Yes. The clerk's office ensures all disbursements are properly reviewed and controlled.		
NDOT Comment:		No comment.		
<input type="checkbox"/>	Corrective Action	<input type="checkbox"/>	Finding	<input checked="" type="checkbox"/> Completed

28.	Are there sufficient internal controls in place to protect against waste, fraud, and abuse of federal funds (segregation of duties, etc.)?			
Subrecipient Response:		Yes. The county undergoes a Single Audit annually and prepares the SEFA report. The administrator reviews records nightly to ensure TripSpark data matches collected funds and driver reports. Gina, the accountant, verifies that all amounts reconcile.		
NDOT Comment:		No comment.		
<input type="checkbox"/>	Corrective Action	<input type="checkbox"/>	Finding	<input checked="" type="checkbox"/> Completed

29.	Does the Agency have a written Conflict of Interest policy for employees?			
Subrecipient Response:		Yes. All employees sign the state conflict of interest policy.		
NDOT Comment:		No comment.		
<input type="checkbox"/>	Corrective Action	<input type="checkbox"/>	Finding	<input checked="" type="checkbox"/> Completed

30.	Are supporting documents canceled to prevent reuse?			
Subrecipient Response:		They do not stamp or shred used documents, but the original copy of a document goes to the clerk's office. The system prevents reuse.		
NDOT Comment:		No comment.		
<input type="checkbox"/>	Corrective Action	<input type="checkbox"/>	Finding	<input checked="" type="checkbox"/> Completed

31.	What procedures does the agency follow to ensure that state and federal transit funds are spent only on costs attributable to the public transit program? Is there an approval process in those procedures? (travel, large dollar items, maintenance, etc.)			
Subrecipient Response:		Transit funds are maintained in a separate fund from the general fund. Deposits are tracked as state or federal funds, and expenses are broken down using general ledger codes.		
NDOT Comment:		No comment.		
<input type="checkbox"/>	Corrective Action	<input type="checkbox"/>	Finding	<input checked="" type="checkbox"/> Completed

32.	What procedures does the agency use to identify and account for federal property purchased with grant funds?			
Subrecipient Response:		The county maintains an inventory account for all items costing \$100 or more. The transit manager keeps all vehicle agreements and titles. Items such as desks are included on the inventory list.		
NDOT Comment:		They have a substantive inventory list.		
<input type="checkbox"/>	Corrective Action	<input type="checkbox"/>	Finding	<input checked="" type="checkbox"/> Completed

33.	Is the cash receipt's function performed by someone other than the person who is responsible for signing checks, reconciling bank accounts, or maintaining non-cash accounting records (i.e. ledgers or journals)?			
Subrecipient Response:		Yes. Deposits are made and then sent to the treasurer's office and the clerk's office. Written procedures for the cash receipt function were reviewed and are in place.		
NDOT Comment:		No comment.		
<input type="checkbox"/>	Corrective Action	<input type="checkbox"/>	Finding	<input checked="" type="checkbox"/> Completed

34.	Describe how fares are collected, recorded, and deposited. (What documents are collected? Who collects them? Who records them? Who takes the deposit to the bank? Who reconciles the bank statement, etc.)			
Subrecipient Response:		Paul verifies what drivers have in their bags. Gina, the accountant, prepares deposits and tracks them by FlexRoute and demand response using two accounts. The transit manager takes the deposit to the treasurer's office, and the county treasurer takes it to the bank.		
NDOT Comment:		No comment.		
<input type="checkbox"/>	Corrective Action	<input type="checkbox"/>	Finding	<input checked="" type="checkbox"/> Completed

35.	Does the transit use "fare" tickets? If yes, explain the purchase and tracking process.			
Subrecipient Response:		Yes. They use punch cards, daily passes, monthly passes, and trip tickets. Dispatchers maintain a spreadsheet showing which tickets go into each bag. Punch cards include the amount paid, rider name, and date. An unlimited monthly pass is available for \$45.		
NDOT Comment:		The only issue is they highlighted an issue which other agencies can have. The issue is, when having an unlimited monthly ticket, they face issues seeing how many trips were taken on that unlimited ticket.		
<input type="checkbox"/>	Corrective Action	<input type="checkbox"/>	Finding	<input checked="" type="checkbox"/> Completed

36.	Is the space occupied by the transit (office and /or Vehicle storage) shared use? If yes, what is the total square footage of the space that transit occupies? What is the total square footage of the space/ building? Has the Square Footage Calculation form been completed? If yes, please attach. If not, please complete and attach.			
Subrecipient Response:		Date Sq Ft Form Submitted:		
Transit Use Sq Ft		Entire Building Sq Ft		

NDOT Comment:	Cost allocation planned supplied.			
<input type="checkbox"/>	Corrective Action	<input type="checkbox"/>	Finding	<input checked="" type="checkbox"/> Completed

37.	If costs (rent, utilities, insurance, etc.) are shared, how was the cost allocation determined? Is the most current FY Cost Allocation plan on file with NDOT? (FY 2025)			
Subrecipient Response:				
Date submitted to NDOT				
NDOT Comment:		Subrecipient and other owner share utilities, cost allocation plane supplied.		
<input type="checkbox"/>	Corrective Action	<input type="checkbox"/>	Finding	<input checked="" type="checkbox"/> Completed

38.	Does the agency have adequate safeguards for preventing loss, damage, or theft of property held (inventory control, etc.)?			
Subrecipient Response:		Key card readers and security cameras are in place and are monitored by the county's communications center.		
NDOT Comment:		No comment.		
<input type="checkbox"/>	Corrective Action	<input type="checkbox"/>	Finding	<input checked="" type="checkbox"/> Completed

Section 4: General ADA

26.	Are ADA services' needs met with the current fleet? Confirm you current fleet, identify active fleet and backup fleet vehicles.			
Subrecipient Response:	Subrecipient's current fleet meets the ADA service. Has numerous vehicles with lifts and some vehicles with pull out ramps.			
NDOT Comment:	No further action required.			
<input type="checkbox"/>	Corrective Action	<input type="checkbox"/>	Finding	<input checked="" type="checkbox"/> Completed

27.	Is the facility accessible to all individuals with disabilities? Please explain. Are wheelchairs accepted in all the agency's ?			
Subrecipient Response:	Facility was not Handicap accessible.			
NDOT Comment:	<p>Subrecipient will need to send in detailed action plan on how a person with handicap disability can enter the transit facility.</p> <p>Per conversations with System Manager, a handicapped parking stall will be marked in front of the transit office for handicapped passengers. A sign in front of this stall will show a phone number to call for assistance entering the facility. The facility is on ground floor with no stairs to enter the facility.</p>			
<input type="checkbox"/>	Corrective Action	<input type="checkbox"/>	Finding	<input checked="" type="checkbox"/> Completed

28.	Does the agency require that wheelchairs be secured during transport?			
Subrecipient Response:	All passengers using mobility devices must have their device properly secured before the vehicle is in motion.			
NDOT Comment:	No additional action required.			
<input type="checkbox"/>	Corrective Action	<input type="checkbox"/>	Finding	<input checked="" type="checkbox"/> Completed

29.	Will the agency still transport if the driver is unable to secure a wheelchair? If not, what is done to provide service?			
Subrecipient Response:	All passengers using mobility devices must have their device properly secured before the vehicle is in motion. If a mobility device cannot be safely secured, the driver will not transport the passenger and will arrange for an alternative vehicle when available.			
NDOT Comment:	No additional action required.			
<input type="checkbox"/>	Corrective Action	<input type="checkbox"/>	Finding	<input checked="" type="checkbox"/> Completed

30.	What types of "service animals" are accepted aboard vehicles and in facilities?			
Subrecipient Response:	Subrecipient rider handbook covers this, they allow any animal to ride until it becomes disruptive to other passengers. Then they ask what service this animal does and certification.			
NDOT Comment:	No additional action required.			
<input type="checkbox"/>	Corrective Action	<input type="checkbox"/>	Finding	<input checked="" type="checkbox"/> Completed

31.	How does the agency determine if an animal is a “service animal”?			
Subrecipient Response:		Subrecipient rider handbook covers this, they allow any animal to ride until it becomes disruptive to other passengers. Then they ask what service this animal does and certification.		
NDOT Comment:		No additional action required.		
<input type="checkbox"/>	Corrective Action	<input type="checkbox"/>	Finding	<input checked="" type="checkbox"/> Completed

32.	Have all drivers been trained to use the wheelchair lifts/ramps and the wheelchair securement system(s)? Are all drivers accounted for in the NDOT Portal?			
Subrecipient Response:		Subrecipient told NDOT that all employees have training certificates PASS. Subrecipient did check portal and has 38 drives listed. He will need to delete the inactive ones.		
NDOT Comment:		Subrecipient will let us know when this task has been completed. System Manager emailed stating that the Drivers in the NDOT Portal are current.		
<input type="checkbox"/>	Corrective Action	<input type="checkbox"/>	Finding	<input checked="" type="checkbox"/> Completed

34.	Does the agency have an approved ADA policy, ADA complaint form, and complaint log? If yes, are they located on your website?			
Subrecipient Response:		Subrecipient submitted their ADA policy and complaint form prior to on-site review. It was adequate.		
NDOT Comment:		No additional action required.		
<input type="checkbox"/>	Corrective Action	<input type="checkbox"/>	Finding	<input checked="" type="checkbox"/> Completed

35.	Have you had any ADA complaints since your last compliance review, and if so, are they included on your ADA log?			
Subrecipient Response:		Subrecipient submitted their ADA policy and complaint form prior to on-site review. Subrecipient has not had any ADA complaints since the last compliance review.		
NDOT Comment:		No additional action required.		
<input type="checkbox"/>	Corrective Action	<input type="checkbox"/>	Finding	<input checked="" type="checkbox"/> Completed

36.	Does the agency have a “rider’s handbook”?			
Subrecipient Response:		Subrecipient’s rider handbook includes all of following.		
1. Does the handbook include?				
a. Agency’s policy and procedures: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>				
b. Policy on denial-of-service: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>				
c. Suspension policy for a pattern or practice of no shows: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>				
2. Is the handbook available on your website? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>				

NDOT Comment:	No additional action required.			
<input type="checkbox"/>	Corrective Action	<input type="checkbox"/>	Finding	<input checked="" type="checkbox"/> Completed

37.	How does the agency handle a caller who requests a ride at a time when the transit vehicle(s) is/are busy?			
Subrecipient Response:		Subrecipient has enough vehicles so that this does not happen.		
NDOT Comment:		No additional action required.		
<input type="checkbox"/>	Corrective Action	<input type="checkbox"/>	Finding	<input checked="" type="checkbox"/> Completed

38.	On average, how many denials does the agency have per month? How long does/ would such a denial of service last?			
Does the agency track the reasons for denials?				
Subrecipient Response:		Subrecipient has enough vehicles so that this does not happen.		
NDOT Comment:		No additional action required.		
<input type="checkbox"/>	Corrective Action	<input type="checkbox"/>	Finding	<input checked="" type="checkbox"/> Completed

Section 5: Drug and Alcohol

*Please note: A more in-depth review of your agency's drug and alcohol testing compliance will be conducted by a consultant at another time.

39.	Who is the DER for your agency?			
Subrecipient Response:		DER - Tera Perales		
NDOT Comment:		No additional action required.		
<input type="checkbox"/>	Corrective Action	<input type="checkbox"/>	Finding	<input checked="" type="checkbox"/> Completed

40.	Is the agency drug and alcohol policy with board approval on file in the transit office?			
Subrecipient Response:		Subrecipient has sent in their D&A policy that cover this question.		
NDOT Comment:		No additional action required.		
<input type="checkbox"/>	Corrective Action	<input type="checkbox"/>	Finding	<input checked="" type="checkbox"/> Completed

41.	Does the agency have signed documentation that each employee has received a copy of the testing policy? If yes, where are the records filed?			
Subrecipient Response:		Subrecipient showed NDOT the signed document by the employee that they received the policy.		
NDOT Comment:		No additional action required.		
<input type="checkbox"/>	Corrective Action	<input type="checkbox"/>	Finding	<input checked="" type="checkbox"/> Completed

42.	Does the agency keep a record of employees selected for random testing and whether the tests were conducted? If yes, where are the records filed? Are the records locked?			
Subrecipient Response:		Subrecipient had the files in a secure locked cabinet in the office.		
NDOT Comment:		No additional action required.		
<input type="checkbox"/>	Corrective Action	<input type="checkbox"/>	Finding	<input checked="" type="checkbox"/> Completed

43.	Does the agency use a form to document post-accident decisions regarding testing? If yes, where is this filed?			
Subrecipient Response:		Subrecipient showed NDOT the post-accident form document while onsite.		
NDOT Comment:		No additional action required.		
<input type="checkbox"/>	Corrective Action	<input type="checkbox"/>	Finding	<input checked="" type="checkbox"/> Completed

Section 6: Procurement

44.	Have any items or services charged to the public transit program, over the past three years, been purchased from businesses owned by the board or staff members of the agency, or by members of their families? If so, please explain how conflict of interest was avoided.			
Are there Conflict of Interest Affidavits on file? If so, where are they filed?				
Subrecipient Response:		Subrecipient has the Board conflict signed will need to send in, so we have a copy		
NDOT Comment:		Subrecipient needs to send in Conflict of interest form signed by the board. Subrecipient has sent in conflict of interest form with their operating/non-operating agreement.		
<input type="checkbox"/>	Corrective Action	<input type="checkbox"/>	Finding	<input checked="" type="checkbox"/> Completed

45.	Does the agency maintain a record of the history of each procurement charged to the transit program? If yes, where are the records filed?			
If so, what information is recorded?				
Subrecipient Response:		Subrecipient has never met this procurement threshold.		
NDOT Comment:		No additional action required.		
<input type="checkbox"/>	Corrective Action	<input type="checkbox"/>	Finding	<input checked="" type="checkbox"/> Completed

46.	If your agency entered into an agreement of \$150,000 or more since your last compliance review, please provide the Buy America certifications submitted by the bidders.			
Subrecipient Response:		Subrecipient has never met this procurement threshold.		
NDOT Comment:		No additional action required.		

<input type="checkbox"/>	Corrective Action	<input type="checkbox"/>	Finding	<input checked="" type="checkbox"/>	Completed
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47.	If your agency released a Request for Proposal to procure goods for transit, please provide all bid documents, evaluation forms, weight factors, etc., and any other information to ensure. Where are these filed?				
Subrecipient Response:		Subrecipient has never met this procurement threshold.			
NDOT Comment:		No additional action required.			
<input type="checkbox"/>	Corrective Action	<input type="checkbox"/>	Finding	<input checked="" type="checkbox"/>	Completed

48.	Has your agency entered into any sole source agreements since your last compliance review?				
Where are the agreements filed?					
Subrecipient Response:		Subrecipient has never meet this procurement threshold.			
NDOT Comment:		No additional action required.			
<input type="checkbox"/>	Corrective Action	<input type="checkbox"/>	Finding	<input checked="" type="checkbox"/>	Completed

49.	Please provide evidence that your agency has developed an independent cost estimate (ICE) for any procurement action.				
Subrecipient Response:		Subrecipient has never met this procurement threshold.			
NDOT Comment:		No additional action required.			
<input type="checkbox"/>	Corrective Action	<input type="checkbox"/>	Finding	<input checked="" type="checkbox"/>	Completed

Section 7: Maintenance

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

50.	Did you submit, to NDOT, your written maintenance plans for FTA-funded equipment?				
Subrecipient Response:		Subrecipient did send in maintenance plan prior to the visit. They did have all FTA vehicles listed.			
NDOT Comment:		No additional action required.			
<input type="checkbox"/>	Corrective Action	<input type="checkbox"/>	Finding	<input checked="" type="checkbox"/>	Completed

51.	Did you submit the preventative maintenance schedules that meet the minimums required by the manufacturer?				
Subrecipient Response:		Subrecipient sent in preventative maintenance schedule prior to the visit. They did have all FTA VIN and filled out to 150 thousand.			
NDOT Comment:		No additional action required.			
<input type="checkbox"/>	Corrective Action	<input type="checkbox"/>	Finding	<input checked="" type="checkbox"/>	Completed

52.	Are there maintenance records for each vehicle available for review? If so, where are they filed? Are they identified by the VIN number? If not, how are they identified?				
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Subrecipient Response:	Subrecipient sent in invoice record and VIN prior to visit.			
NDOT Comment:	No additional action required.			
<input type="checkbox"/>	Corrective Action	<input type="checkbox"/>	Finding	<input checked="" type="checkbox"/> Completed

53.	Does a comparison of three service invoices indicate that maintenance is being completed per the subrecipient's maintenance schedule (<i>within a 10% variance?</i>)?			
Subrecipient Response:	Subrecipient stated that the oil is changed every 5k miles.			
NDOT Comment:	No additional action required.			
<input type="checkbox"/>	Corrective Action	<input type="checkbox"/>	Finding	<input checked="" type="checkbox"/> Completed

54.	Are the titles and registrations for FTA-funded vehicles in the name of the subrecipient? If yes, where are these filed?			
Subrecipient Response:	Subrecipient did send in all titles, and they have the correct name on them.			
NDOT Comment:	Did send this in and it is adequate.			
<input type="checkbox"/>	Corrective Action	<input type="checkbox"/>	Finding	<input checked="" type="checkbox"/> Completed

55.	Do you use the pre-trip/ post-trip inspection checklist provided by NDOT? If no, why not and what do you use for those inspections?			
Subrecipient Response:	Subrecipient sent in checklist prior to the visit.			
NDOT Comment:	No additional action required.			
<input type="checkbox"/>	Corrective Action	<input type="checkbox"/>	Finding	<input checked="" type="checkbox"/> Completed

Section 8: Transit Asset Management

**Please Note-Equipment is defined as a unit valued at \$5,000 or more for financial statement purposes and includes vehicles, vehicle components, intellectual property including software, facility components, etc.*

56.	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:	Subrecipient has 5 new vehicles under warranty.			
NDOT Comment:	No additional action required.			
<input type="checkbox"/>	Corrective Action	<input type="checkbox"/>	Finding	<input checked="" type="checkbox"/> Completed

57.	Does the agency have a warranty file for each unit of equipment? If yes, where are they filed? How does the agency track warranty claims?			
Subrecipient Response:	Subrecipient maintains a warranty file for all equipment, tracked in a spreadsheet. He also keeps a Word document that records all warranty-related issues.			
NDOT Comment:	No additional action required.			

<input type="checkbox"/>	Corrective Action	<input type="checkbox"/>	Finding	<input checked="" type="checkbox"/>	Completed
58.	Do you have a policy in place for any future equipment purchases?				
Subrecipient Response:		Subrecipient has current policy in place for any future FTA vehicles.			
NDOT Comment:		No additional action required.			
<input type="checkbox"/>	Corrective Action	<input type="checkbox"/>	Finding	<input checked="" type="checkbox"/>	Completed

59.	Has the agency pursued any warranty claims for any equipment since the last NDOT compliance review? If yes, please provide documentation for the claim.				
Subrecipient Response:		Subrecipient has a warranty claim on VIN 39669. The rear heater core keeps leaking. He has a warranty file for each piece of equipment, which is kept in a spreadsheet. He also maintains a Word document that documents any warranty-related issues.			
NDOT Comment:		NDOT informed subrecipient to notify us of any claims via email so that we can track their progress.			
<input type="checkbox"/>	Corrective Action	<input type="checkbox"/>	Finding	<input checked="" type="checkbox"/>	Completed

60.	Are you aware of NDOT's Disposition process?				
Subrecipient Response:		Subrecipient has used the disposition process in the portal before.			
NDOT Comment:		No additional action required.			
<input type="checkbox"/>	Corrective Action	<input type="checkbox"/>	Finding	<input checked="" type="checkbox"/>	Completed

Section 9: School Bus

61.	Does the Subrecipient transport school age children?				
Subrecipient Response:		Subrecipient does transport school age children as per the handbook on requirements.			
NDOT Comment:		No additional action required.			
<input type="checkbox"/>	Corrective Action	<input type="checkbox"/>	Finding	<input checked="" type="checkbox"/>	Completed

61.	If yes, is Subrecipient providing exclusive school transportation or is it open to and advertised to the general public?				
Subrecipient Response:		Subrecipient does not provide exclusively for school age children.			
NDOT Comment:		No additional action required.			
<input type="checkbox"/>	Corrective Action	<input type="checkbox"/>	Finding	<input checked="" type="checkbox"/>	Completed

Section 10: Planning

61.	Working with a five-year planning horizon, describe how the agency will address service changes and develop operating budgets which include all revenue sources and capital expenditure needs.				
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Subrecipient Response:	<p>Based on their current board of commissioners, no additional taxes will be provided by the county for our transit budget. The subrecipient will continue to work with local municipalities, businesses, medical providers, and agencies that have or may be able to assist with funding. They have two funds within the County's accounting system. Their 2200 fund is for operating expenses, and our 2201 fund is their capital expenditures fund. When budgets are developed each year, they budget money in their 2201 fund for vehicle replacement and any other major capital projects they have planned for the year. Should their applications for vehicles not be approved or a project delayed, those funds remain available in subsequent years and can be added to the following year if needed. Their 2200 fund is their day-to-day operating account for all expenses associated with normal operations. They work closely with the County's Management Accountant and Board of Commissioners to develop a budget within the financial constraints required by the board and available tax revenue.</p> <p>They have several projects on the horizon that will require up front funding with the outcome producing revenue in perpetuity. These include developing an RFP to advertise on their vehicles and possibly on their website. Their cutaway buses could be outfitted with monitors that could provide riders with policies, schedules, closure notices, etc. while alternating with advertising from businesses. They do have some room on the exterior of their vehicles as well that could be sold for advertising.</p> <p>They are still actively working on grants, congressional appropriations, and other funding to build a new, larger transit facility. Ideally it will be more centrally located within their community and could be used as a multi-function facility to include: board of commissioners meetings, town hall meetings, polling location, evacuation shelter, storage for other agencies back up vehicles when they bring one to their community for repairs, base location for KCTS's Denver Airport shuttle buses to eliminate the need to deadhead from Kimball to Scottsbluff/Gering, etc. They could potentially generate revenue from the meeting room(s) as well from the private sector.</p>	
NDOT Comment:	No additional action required.	
<input type="checkbox"/> Corrective Action	<input type="checkbox"/> Finding	<input checked="" type="checkbox"/> Completed

62.	What changes in personnel or service will be required to address any projected revenue shortfalls?	
Subrecipient Response:	<p>The subcontractor maintains a warranty file for all equipment, tracked in a spreadsheet. He also keeps a Word document that records all warranty-related issues, route hours by 3 hours/day saving 12 hours/day of labor, fuel costs, reducing maintenance costs, etc. Additionally, the subrecipient is limiting their demand response service to 4 vehicles/day (down from 5 and often 6) to save labor, fuel, and maintenance costs as well.</p> <p>They are focusing on rider education regarding Medicaid transportation to encourage as many eligible riders as possible to use their Medicaid transportation benefit rather than paying for their trips. This should increase revenue significantly if the subrecipient can increase their participation. Their local hospital has experienced significant financial difficulties for the past 5 years or so. They will be approaching them again as they recover to discuss financial support that was previously provided and reiterate the value of the services of the subrecipient to them and the need for financial support.</p>	
NDOT Comment:	No additional action required.	
<input type="checkbox"/> Corrective Action	<input type="checkbox"/> Finding	<input checked="" type="checkbox"/> Completed

63.	Describe how the agency coordinates with other area transportation providers. Who do you coordinate with? Are there more opportunities to coordinate? If so, how do you plan to accomplish this?			
Subrecipient Response:		<p>The subrecipient tries to coordinate with other transit agencies that travel into Scotts Bluff County to the greatest extent possible (KCTS, Open Plains, Garden County, and others). They have discussed options for improving their coordination such as standardizing our scheduling/dispatching software, centralized scheduling/dispatching, etc. but operating under numerous boards (County and non-profit), it is difficult to fully integrate the services of the subrecipient. We occasionally provide first mile/last mile services for these agencies, and they will provide service to riders in their community when the subrecipient's agency is closed or their trips fall outside of our operating hours/area.</p> <p>Copy from his system</p>		
NDOT Comment:		No additional action required.		
<input type="checkbox"/>	Corrective Action	<input type="checkbox"/>	Finding	<input checked="" type="checkbox"/> Completed

64.	Does transit management or the governing body periodically consult with local planning agencies and governmental units? If yes, who are they consulting with? How often do they consult with them?			
Subrecipient Response:		<p>The subrecipient's governing body (County Board of Commissioners) is relatively hands-off with regard to their operations and defer to the Transit Manager to manage the department while providing regular updates at board meetings. The subrecipient has been working with the cities of Scottsbluff and Gering on issues such as secondary snow routes for their route corridors, input on grant applications such as transit needs for their Safe Streets. Subrecipient also receives operating assistance from the three communities within their route corridor and the subrecipient attends city council meetings to provide statistics and other pertinent information to their officials.</p>		
NDOT Comment:		No additional action required.		
<input type="checkbox"/>	Corrective Action	<input type="checkbox"/>	Finding	<input checked="" type="checkbox"/> Completed

Section 11: Intercity Bus Service

(These companies provide intercity bus service in Nebraska – Burlington Trailways, Express Arrow, Jefferson Lines, Open Plains Intercity Transit, KCTS Red Line)

65.	Are intercity bus stations/stops served by the transit system? If yes, at what locations and what times? If not, why not?				
Subrecipient Response:		N/S			
Location:			Times:		
NDOT Comment:		No further action required.			
<input type="checkbox"/>	Corrective Action	<input type="checkbox"/>	Finding	<input checked="" type="checkbox"/>	Completed

66.	Describe what public information/marketing efforts have been taken to alert riders, intercity bus travelers, and the public to service connections? (Examples: stop listed on schedules, connecting service discussed in service brochure, schedules displayed at intercity bus station)				
Subrecipient Response:		N/A			
Include Detail					
NDOT Comment:		No further action required.			
<input type="checkbox"/>	Corrective Action	<input type="checkbox"/>	Finding	<input checked="" type="checkbox"/>	Completed

67.	If intercity bus stops cannot be served at times that would allow for convenient connections, describe when service could be provided and what service adjustments would be required.				
Subrecipient Response:		N/A			
Include Detail					
NDOT Comment:		No further action required.			
<input type="checkbox"/>	Corrective Action	<input type="checkbox"/>	Finding	<input checked="" type="checkbox"/>	Completed

68.	What is the agency's policy regarding transporting baggage? (Are there weight limits, allowable number of bags, size restrictions, etc.?)				
Subrecipient Response:		N/A			
Include Detail					
NDOT Comment:		No further action required.			
<input type="checkbox"/>	Corrective Action	<input type="checkbox"/>	Finding	<input checked="" type="checkbox"/>	Completed