



**MONTANA DEPARTMENT OF TRANSPORTATION**

**SECTION 5310  
COMPLIANCE AND GOOD PRACTICES REVIEW**

**Subrecipient:** \_\_\_\_\_

**Reviewer(s):** \_\_\_\_\_

**Desk Review Date:** \_\_\_\_\_

**Site Visit Date:** \_\_\_\_\_

**MONTANA DEPARTMENT OF TRANSPORTATION  
SECTION 5310 COMPLIANCE AND GOOD PRACTICES REVIEW**

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## **PURPOSE AND DIRECTIONS**

The Montana Department of Transportation (MDT) conducts compliance and good practices reviews of Section 5310 subrecipients to ensure that they meet the conditions of receipt of Federal Transit Administration (FTA) assistance, promote good practices, and identify training and technical assistance needs.

MDT conducts the reviews as follows:

1. MDT reviews materials and reports on file in its office and completes several sections of the review package. MDT notes findings, agreed upon corrective actions, and recommendations from the last review. MDT emails the partially completed package to the subrecipient.
2. The subrecipient reviews the information entered by MDT, updates the material listed, and answers as many questions as possible. After completing the review package, the subrecipient emails it to MDT.
3. MDT reviews the subrecipient's responses and follows up on the responses during the site visit, which will last no more than a half day. The site visit presents an opportunity for MDT to observe your service and operations first-hand and provides you with an opportunity to have any questions that you may have answered. During the site visit, MDT follows up on corrective actions taken for findings from the last review.

Please email the completed questionnaire to Tom Stuber at [tstuber@mt.gov](mailto:tstuber@mt.gov).

Thank you for your cooperation and we look forward to a productive site visit.

MDT

# ATTENDANCE SHEET

Name	Title	Phone	Email

# ADMINISTRATION AND MANAGEMENT

## LEGAL AND FINANCIAL CAPACITY

Subrecipients must have the legal capacity to receive federal and State grants. They must have sufficient local resources to provide the required match and carry out the proposed project.

Subrecipients must disclose use of local funds for federal lobbying activities, pending litigation where the State or federal government is named or FTA-funded assets could be affected, and instances of false claims or fraudulent activity.

<p>1. What are the sources of funding for operating the buses? Are they sufficient to implement the project and maintain project equipment?</p>	
<p>2. Are FTA funds used for lobbying for federal funds? The use of federal funds for lobbying is prohibited.</p>	
<p>3. Have you used nonfederal funds for lobbying? If yes, have you filed with the Division the Standard Form-LLL, "Disclosure Form to Report Lobbying" and any necessary updates?  If lobbying services are procured with non-federal funds, the subrecipient is required to submit the disclosure form, OMB Standard Form LLL (Rev.7-97) to MDT for filing with FTA.</p>	
<p>4. Is there any pending litigation (disputes, breaches, defaults or other litigation) where the State or Federal government is named or FTA-funded assets could be affected?  If yes, was MDT notified?</p>	

5. Have there been any instances of a member of the governing body, employee, agent or third-party contractor submitted a false claim or engaged in fraudulent activity?

If yes, was MDT notified?

*If the subrecipient has credible evidence that a principal, official, employee, agent, or third party participant of the recipient, or other person has submitted a false claim under the False Claims Act, [31 U.S.C. §3729](#) et seq., or has committed a criminal or civil violation of law pertaining to such matters as fraud, conflict of interest, bribery, gratuity, or similar misconduct involving federal assistance, the subrecipient must promptly notify MDT so that it can notify the U.S. DOT Inspector General, in addition to the FTA Chief Counsel or Regional Counsel.*

## SATISFACTORY CONTINUING CONTROL

Subrecipients must use FTA-funded equipment and facilities to provide transportation to individuals. Subrecipients must maintain comprehensive and collision insurance on FTA-funded equipment and must submit certifications of insurance annually. Subrecipients must submit reports of vehicle use on each FTA-funded vehicle quarterly. Subrecipients must obtain prior written approval from MDT before selling, leasing, or disposing of vehicles.

<p>1. Have you sold or disposed of any FTA-funded vehicles in the past year? If yes: Please list the vehicles. Did you obtain approval from MDT? <i>MDT requires that subrecipients obtain approval before selling or disposing of vehicles on which it holds a lien.</i> [Reviewers, please list the vehicles for which the subrecipient requested approval for disposition since the last site visit.]</p>	
<p>2. Are leases attached to FTA-funded assets? If yes, did MDT approve the leases in writing? <i>MDT must approve all leases of FTA-funded vehicles in writing.</i> [Reviewers, please list the vehicles for which the subrecipient asked for approval since the last site visit.]</p>	
<p>3. What procedures and practices are used to prevent loss, damage, or theft of FTA-funded vehicles and equipment? Examples of procedures include insurance, locks on doors, fencing, lighting, inventory and tagging of all equipment, and annual inventories that are reconciled to inventory lists.</p>	

4. Enter the ridership data from the last 4 quarterly reports in the table below. Do the ridership data indicate that the subrecipient is using the vehicles to their full capacity?									
Category	Contracted				Non-Contracted				Total
60 +									
< 60									
Disabled									
Total									

## EQUAL EMPLOYMENT OPPORTUNITY (EEO)

Subrecipients may not discriminate against any employee or applicant for employment because of race, color, creed, national origin, sex, age, or disability. Subrecipients must post in conspicuous places and make available to employees and applicants for employment notices setting forth an EEO policy.

<p>1. Who is responsible for ensuring that EEO obligations are fulfilled? To whom does this individual report for EEO matters?</p>	
<p>2. Have you posted an EEO statement in a conspicuous place? <i>An EEO statement must be posted in a conspicuous place where employers and applicants will see it.</i></p>	
<p>3. Is an EEO policy included in your personnel policies and/or employee handbook? <i>An EEO policy should be included in personnel policies and/or employee handbook.</i></p>	
<p>4. Are EEO statements included on your job applications and employment notices? <i>Job applications and employment notices should include an EEO statement.</i></p>	
<p>5. Were any EEO complaints received since the last site visit? If yes: Describe the complaint and how it was resolved. What is the process for handling and resolving such complaints?</p>	

# OPERATIONS AND SERVICE PROVISION

## TRANSPORTATION MANAGEMENT

Subrecipients must be able have the managerial capability to implement the project and comply with federal and state requirements. To demonstrate managerial capability, subrecipients must have adequate number of staff to implement the project; management staff with the requisite skills, education, training, and experience; adequate documentation of key policies; and the ability to submit timely, complete, and accurate quarterly reports. Subrecipients must monitor service to ensure that drivers follow policy and procedures and provide quality service. Subrecipients must have a training program for drivers and must track training that drivers have received. Subrecipients should have a written operators' policy and procedures manual.

<p>1. Who is responsible for the day-to-day management of the transportation program?</p>	
<p>2. Please describe the qualifications and experience of transportation program management and supervisory staff. Is the staff qualified by reason of training, education, and experience?</p> <p><i>Qualifications of management and supervisory staff are a key indicator of management and technical capability.</i></p>	
<p>3. Please describe your staffing and the responsibilities of key staff. Does the number of staff appear appropriate for the number and complexity of tasks and the size of the program?</p> <p><i>MDT requires that subrecipients have sufficient staff to implement the program.</i></p>	
<p>4. Are program staff or dedicated drivers used to drive the vehicles?</p>	
<p>5. How does the agency formally document its transportation policies?</p> <p><i>Subrecipients should have written transportation policies.</i></p>	
<p>6. Have transportation policies been distributed to all transportation employees and signatures obtained for receipt of the policies?</p> <p><i>Employees should receive a copy of the transportation policies.</i></p>	

<p>7. Who is responsible for purchasing buses and vans?</p> <p>What is the process for determining the number and size of vehicles for the fleet?</p> <p>Are decisions for expanding the fleet based on ridership projections? If yes, how are the projections developed?</p>		
<p>8. Reviewer, please enter the subrecipient's rating for the submission of quarterly reports.</p> <p><i>MDT requires that subrecipients submit complete, accurate, and timely quarterly reports.</i></p>		
<p>9. Please enter the following information for the past 4 quarterly reports.</p>		
<p><b>Quarter</b></p>	<p><b>Date Received</b></p>	<p><b>Comments/Issues</b></p>
<p>10. Who is responsible for preparing and submitting the quarterly reports?</p>		
<p>11. Are reports submitted on time? If no, what are the reasons for the delay?</p>		
<p>12. Reviewer, discuss any comments or issues with the reports.</p> <p>Subrecipient, please respond to the reviewer's comments.</p>		
<p>13. How are daily operations monitored to ensure that drivers follow policy and procedures and provide quality and courteous service?</p> <p><i>Subrecipients should monitor service to ensure that drivers follow policy and procedures and provide quality service.</i></p>		
<p>14. Does the training provided to operators/drivers address:</p> <p>a) defensive driving</p>		
<p>b) passenger assistance and safety</p>		

c) operation of lifts or other accessibility features	
d) correct use of securement devices	
e) agency policies	
f) how to complete driver paperwork	
g) substance abuse policy (if operate vehicles that require a CDL)	
<p>15. Are files maintained that document when training was received and when refresher training is needed?</p> <p><i>Subrecipients must track training received by operator.</i></p>	

## MAINTENANCE

Subrecipients must maintain FTA-funded equipment. They must have a written maintenance plan and maintain project equipment and facilities at a high level of cleanliness, safety, and mechanical soundness. They must maintain all accessibility features and equipment in operating condition. They must have procedures to track when preventive maintenance inspections are due and to schedule preventive maintenance inspections in a timely manner.

Subrecipients must have a pre-trip inspection program that addresses vehicle condition, appearance, cleanliness, safety, and ADA accessibility equipment. Deficiencies noted in a pre-trip inspection must be repaired in a timely manner and properly reviewed by management.

Subrecipients must maintain a file on each FTA-funded vehicle that contains daily logs, pre-trip inspection checklists, and repair records. They must follow MDT's preventive maintenance program unless MDT has approved an alternative program. They must use MDT provided forms unless MDT has approved alternative forms. They that lease FTA-funded vehicles must require the lessee to adhere to MDT's maintenance standards.

1. Please use MDT's inspection sheet to inspect all vehicles. Note deficiencies on the sheet. Compare the completed sheet to the sheets that the subrecipient has on file. Note whether the subrecipient has noted the same items.	
2. Review the files for 2 vehicles. Note deficiencies for each file inspected.	
3. Who is responsible for maintenance?  Is the person by reason of education, training, and experience qualified for the responsibility?	
4. Please describe the preventive maintenance program. Note whether the subrecipient follows the MDT program or follows a program it developed.  Is the maintenance plan written?  <i>MDT requires a written fleet maintenance plan.</i>  [Reviewer, refer to the copy of the maintenance plan submitted with the application.]	
5. Do preventive maintenance schedules for each type of vehicle in the fleet meet or exceed the manufacturer's minimum requirements?  <i>Preventive maintenance schedules must meet manufacturers' minimum requirements.</i>	
6. Where are the owner's manuals and manufacturer specifications filed?	

<p>7. Is a preventive maintenance program in place for lifts and other accessibility features such as ramps, public announcement systems, and annunciators?</p> <p><i>Subrecipients must maintain all accessibility features and equipment in operating condition.</i></p>	
<p>8. Is a preventive maintenance program or system of checks in place for on-board security systems? Please describe.</p>	
<p>9. What procedures are used to track when preventive maintenance inspections are due and to schedule preventive maintenance inspections?</p> <p><i>Subrecipients must have procedures to track when preventive maintenance inspections are due and to schedule preventive maintenance in a timely manner.</i></p>	
<p>10. Review the files for the 2 vehicles reviewed in question 2. Note the date and mileage of all preventive maintenance inspections since the last site visit using the attached form.</p> <p>Does the review of the maintenance records indicate that at least 80 percent of the inspections are performed on time? Please allow a 10 percent or 500-mile variance, whichever is greater, when deciding whether an inspection was performed on time.</p> <p><i>MDT requires that at least 80 percent of preventative maintenance inspections must be performed at the intervals required by the plan.</i></p>	
<p>11. Does the review of the maintenance file indicate that the files are complete and document maintenance performed?</p>	
<p>12. Are emergency exits and pop-up roof hatches tested periodically to ensure that they are in working order?</p> <p>How often?</p> <p>How is the check documented?</p>	
<p>13. Are pre-trip inspections conducted prior to placing a vehicle in service?</p> <p><i>Pre-trip inspections must be conducted prior to placing a vehicle in service.</i></p>	
<p>Is the MDT pre-trip inspection form used? <b>If no:</b></p>	

<p>a. Does the pre-trip inspection address safety; vehicle operation, appearance, and cleanliness; and passenger comfort?</p> <p><i>The pre-trip inspection must address safety; vehicle operation, appearance, and cleanliness; and passenger comfort.</i></p>	
<p>b. Does the pre-trip inspection ensure that all items, such as boxes with bi-directional reflective triangles and gallons of washer fluid, are secured to the vehicle?</p> <p><i>Safety and other equipment must be secured so that they do not become projectiles that injure a passenger or damage the vehicle.</i></p>	
<p>c. Does the pre-trip inspection program address lifts and other accessibility features, such as ramps, public announcement systems, and tie-downs?</p> <p><i>Subrecipients must ensure that accessibility features are maintained in operative condition.</i></p>	
<p>14. Are deficiencies noted in pre-trip inspections repaired in a timely manner and properly reviewed by management?</p> <p><i>Deficiencies noted in pre-trip inspection must be repaired in a timely manner and properly reviewed by management.</i></p>	
<p>15. How does the agency document maintenance activity performed to correct the reported defect?</p> <p><i>The good practice is for the mechanic to sign and date the pre-trip inspection form noting that the reported defect has been repaired and to include the signed pre-trip form in the maintenance file with the work order.</i></p>	
<p>16. Are FTA-funded vehicles leased to providers?</p> <p>If yes, does the lease agreement require the lessee to adhere to MDT's maintenance standards?</p> <p><i>MDT requires subrecipients that lease FTA-funded vehicles to providers to require the lessee to adhere to MDT's maintenance standards.</i></p>	
<p>17. Who is responsible for washing and cleaning the buses?</p> <p>How often are buses washed?</p> <p>What quality assurance or inspection procedures are in place to ensure buses are kept clean?</p>	

<p>18. Do the vehicles meet an acceptable level of cleanliness (exterior and interior)?</p> <p><i>Reviewer will answer.</i></p>	
<p>19. Has a maintenance quality control or assurance program been implemented to verify the execution and quality of repairs, examine the quality of new and used parts used in repairs, and ensure that repairs are fully documented?</p>	
<p>20. Is there a system for identifying and pursuing warranty claims effectively and promptly to conclusion?</p>	
<p>21. Is there a system for responding to recalls?</p>	

## VEHICLE FILE REVIEW SHEET

Subrecipient:

Vehicle:

Date File Inspected

Reviewer:

Question	Yes	No
Are the files in chronological order?		
Do the files contain the MDT daily log?		
Do the files contain the MDT-provided or an MDT-approved pre-trip inspection checklist?		
Are the pre-trip checklists signed and dated?		
Do the files contain the MDT-provided vehicle maintenance record?		
For lift-equipped vehicles, do the files contain the daily pre-trip wheelchair lift safety check?		
Are preventive maintenance checklists:		
Completed?		
Signed?		
Dated?		
Do the work orders fully document vehicle maintenance?		
Are work orders signed and dated?		
Is the date and mileage noted on each work order?		

Reviewer comments:



## SAFETY

Subrecipients must document that drivers have a valid operator's license, have a safe driving record, and have been trained in first aid. All safety devices must be maintained in operating condition. All vehicles must be outfitted with a blood-borne pathogens kit, first-aid kit, fire extinguisher, bi-directional reflective triangles, and web cutters. Drivers and passengers must wear seat belts. Drivers must focus on driving and limit distractions when vehicles are in motion.

1. Is documentation maintained which verifies that all drivers of vehicles (owned, leased, loaned):	
a) Have a valid, appropriate vehicle operator's license (and current US DOT physical if driver is a CDL holder)	
b) Have a safe driving record acceptable for insurance coverage	
c) Received training in agency policies and procedures?	
d) Completed an American Red Cross, or equivalent, first aid program to handle emergency health situations and accidental injuries	
e) Received training in defensive driving techniques	
f) Received training in passenger assistance and safety	
g) Received training in operation of lifts and other accessibility equipment	
<p>2. If the agency does not use the MDT pre-trip form, does the pre-trip inspection address the following required safety equipment:</p> <ul style="list-style-type: none"> <li>▪ blood-borne pathogen kit</li> <li>▪ first aid kit</li> <li>▪ fire extinguisher (charge and inspection date)</li> <li>▪ bi-directional reflective triangles</li> <li>▪ web cutters</li> </ul> <p><i>All vehicles must be outfitted with a blood-borne pathogens kit, first-aid kit, fire extinguisher, bi-directional reflective triangles, and web cutters.</i></p>	

<p>3. Are all required safety devices or systems installed and functioning properly on vehicles?</p> <p>Are fire extinguishers secure, accessible, of the correct type, and in date? (Sample)</p> <p><i>All safety devices must be maintained in operative condition. Fire extinguishers must be secure, accessible, and in date.</i></p>	
<p>4. Is there a written procedure to handle accidents and medical emergencies?</p> <p>If yes, are these procedures in each vehicle?</p> <p><i>Subrecipients must have a written procedure for handling accidents and medical emergencies.</i></p>	
<p>5. Are passengers required to wear a seat belt?</p> <p><i>All passengers must wear seat belts.</i></p>	
<p>6. Are drivers allowed to bring food or drinks on board vehicles?</p> <p>If yes, are drivers allowed to eat or drink while the bus is in motion?</p> <p><i>MDT prohibits operation of a vehicle while eating or drinking.</i></p>	
<p>7. Are drivers allowed to use a cell phone while the bus is in motion?</p> <p><i>MDT prohibits operation of a vehicle while using a cell phone unless the call is work-related. Sending and receiving text messages is prohibited. The National Safety Council has a model policy available at <a href="http://safety.nsc.org/cellphonekit">http://safety.nsc.org/cellphonekit</a>.</i></p>	
<p>8. Are all carryon items properly stowed before moving vehicle?</p> <p><i>MDT requires that all carry-on items be properly stowed before moving a vehicle.</i></p>	
<p>9. Is there a methodology for identifying severe weather or other hazards that could affect agency operations and potentially trigger transit service shutdown?</p> <p><i>Good practice</i></p>	

## FLEET AND VEHICLE CHARACTERISTICS

The fleet should be appropriate for the type of service, ridership volumes, and scheduling patterns. The vehicle spare ratio must be reasonable for the type of service, the size and age of the fleet, service demand, and current and projected ridership. Subrecipients should have a fleet replacement plan.

1. Are the vehicles used appropriate for the type of service, ridership volumes, and scheduling patterns?	
2. Calculate the fleet spare ratio.	
a) What is the number of vehicles in passenger service?	
b) What is the number of vehicles required for maximum service?	
c) What is the number of spare vehicles (a-b)?	
d) What is the spare ratio (c/b)?	
3. How often is the maximum number of vehicles required?	
4. Do you anticipate additional ridership in the next 3 years? If yes, by how much?	
5. Does the spare ratio appear reasonable given the size and age of the fleet, the frequency of peak service demand, and the projected ridership growth?	
6. Have other arrangements been made such as a contract with a taxi company or another agency to deliver service when breakdowns occur or during peak service times?	
7. What is the average age of the fleet?	
8. What is the average mileage of fleet?	
9. Is there a fleet replacement plan? If yes, how often is it updated?	

# AMERICANS WITH DISABILITIES ACT

Titles II and III of the Americans with Disabilities Act of 1990 provide that no entity shall discriminate against an individual with a disability in connection with the provision of transportation service. The law sets forth specific requirements for vehicle and facility accessibility and service provision.

<p>1. Who is responsible for and what is the process for resolving ADA complaints?</p> <p>How are your clients informed on how to file an ADA complaint?</p> <p>Have any complaints of discrimination due to disability been received from riders? If yes:</p> <p>Please describe the complaints.</p> <p>What is the process to resolve the complaints?</p> <p>How long to you maintain the complaints on file?</p> <p><i>MDT requires that it be notified of complaints. USDOT regulations ((9 CFR <a href="#">27.13</a> and <a href="#">37.17</a>) require procedures for addressing ADA complaints that incorporate appropriate due process standards and provide for prompt and equitable resolution. ADA complaints to be maintained on file for at least a year and a log of ADA complaints at least five years.</i></p>	
<p>2. Are facilities accessible?</p>	
<p>3. If you have non-accessible vehicles in your fleet, how do you ensure that equivalent service is provided?</p> <p>Have you denied service due to unavailability of accessible equipment?</p> <p><i>MDT requires that it be notified of service denials due to unavailability of accessible equipment. USDOT ADA regulations (<a href="#">49 CFR 37.105</a>) require that service to individuals with disabilities be equivalent to the service provided other individuals with respect to response time, fares, geographic service area, hours and days of service, and capacity.</i></p>	
<p>4. What is your policy for providing service if a wheelchair cannot be secured?</p> <p><i>USDOT ADA regulations (<a href="#">49 CFR 37.165(d)</a>) require that service must be provided even when a wheelchair cannot be secured.</i></p>	

<p>5. Do you require wheelchair users to transfer to a seat?</p> <p><i>USDOT ADA regulations (<a href="#">49 CFR 37.165(e)</a>) stipulate that operators may request but not require that wheelchair users transfer to a seat.</i></p>	
<p>6. Do drivers provide assistance to passengers as necessary and upon request with ramps, lifts, and securement devices?</p> <p><i>USDOT ADA regulations (<a href="#">49 CFR 37.165(f)</a>) require drivers and other personnel to provide this assistance as necessary and upon request.</i></p>	
<p>7. Do you require drivers to make use of all available accessibility equipment?</p> <p><i>USDOT ADA regulations (<a href="#">49 CFR 37.167(e)</a>) require operators to make use of all available accessibility equipment when needed.</i></p>	
<p>8. Are operators required to report lift failures immediately?</p> <p><i>USDOT ADA regulations (<a href="#">49 CFR 37.163(c)</a>) require bus operators to report immediately any in-service lift and ramp failures.</i></p>	
<p>9. How are policies governing providing service to passengers covered under the ADA conveyed to drivers?</p>	
<p>10. Are drivers trained in passenger assistance and sensitivity?</p> <p>How soon after being hired does the training occur?</p> <p><i>USDOT ADA regulations (<a href="#">49 CFR 37.173</a>) require that drivers receive training in passenger assistance and sensitivity?</i></p>	
<p>11. Are drivers trained in use of accessibility equipment?</p> <p>How soon after being hired does the training occur?</p> <p><i>USDOT ADA regulations (<a href="#">49 CFR 37.173</a>) require that drivers receive training in the use of the accessibility equipment.</i></p>	
<p>12. How do you monitor drivers to ensure that they comply with ADA requirements?</p> <p><i>Examples: Follow-up on complaints, ghost riders, road supervision, ADA advisory committee</i></p>	

## CHARTER BUS

Subrecipients are prohibited from using federally funded equipment and facilities to provide charter service except in accordance with allowable exemptions or exceptions.

<p>1. Do you operate charter service?</p> <p><i>Charter service is defined as:</i></p> <p><i>Transportation provided at the request of a third party for the exclusive use of a bus or van for a negotiated price; or</i></p> <p><i>Transportation provided to the public for events or functions that occur on an irregular basis or for a limited duration and:</i></p> <ul style="list-style-type: none"> <li>▪ <i>A premium fare is charged that is greater than the usual or customary fixed route fare; or</i></li> <li>▪ <i>The service is paid for in whole or in part by a third party.</i></li> </ul>	
<p>2. Under what exception is the charter service operated? (<b>Please refer to the Charter Bus Exceptions and Requirements table.</b>)</p> <p>Did you follow the procedures required by the exception?</p> <p>Please have the paperwork ready for the site visit documenting that you have complied with the procedures.</p>	
<p>3. Have you reported charter service quarterly?</p> <p><i>Required for service provided under the GO, QS, LE and WN exceptions. Please refer to the Charter Bus Exceptions and Requirements table.</i></p>	
<p>4. Do you maintain charter records for at least three years?</p> <p>Are these procedures documented?</p> <p><i>Charter records must be maintained for at least 3 years.</i></p>	

## CHARTER BUS EXCEPTIONS AND REQUIREMENTS

Exception	Procedure
<p><b>Exception 604.6</b> – Government officials on official government business (<b>GO</b>)</p> <p>(1) Is restricted to its geographic service area</p> <p>(2) Must not generate revenue, except as required by law</p> <p>(3) Is limited to 80 hours annually. May petition for additional charter hours.</p>	<p>Record the following information:</p> <ol style="list-style-type: none"> <li>1. Government organization’s name, address, phone number, and email address</li> <li>2. Date and time of service</li> <li>3. Number of government officials and other passengers</li> <li>4. Origin, destination, and trip length (miles and hours)</li> <li>5. The fee collected, if any</li> <li>6. Vehicle number (example, bus 102)</li> </ol> <p>Retain the record for three years.</p>
<p><b>Exception 604.7</b> – Qualified human service organizations (<b>QH</b>)</p> <p>Service to persons:</p> <p>(1) With mobility limitations related to advanced age,</p> <p>(2) With disabilities, or</p> <p>(3) With low income.</p> <p>Organization must register if it does not receive funds from programs listed in Appendix A of the charter regulation.</p>	<p>Ensure that the human service agency is qualified, that is, it receives funds from programs listed in Appendix A of the charter regulation or has registered on the FTA charter website at least 60 days before the charter request.</p> <p>Record the following information:</p> <ol style="list-style-type: none"> <li>1. Qualified human service organization’s name, address, phone number, and email address</li> <li>2. Date and time of service</li> <li>3. Number of passengers</li> <li>4. Origin, destination, and trip length (miles and hours)</li> <li>5. The fee collected, if any</li> <li>6. Vehicle number (example, bus 102)</li> </ol> <p>Retain the record for three years.</p>
<p><b>Exception 604.8</b> – Leasing FTA funded equipment and drivers to a charter service operator (<b>LE</b>) only if the following conditions exist:</p> <ol style="list-style-type: none"> <li>1. The operator is registered on the FTA charter registration web site</li> <li>2. The operator owns and operates buses or vans in a charter service business</li> <li>3. The operator received a request for charter service that exceeds its capacity either of the number of vehicles operated or the number of accessible vehicles</li> <li>4. The operator has exhausted all of the available vehicles for all registered charter providers in your geographic service area.</li> </ol>	<p>Record the following information:</p> <ol style="list-style-type: none"> <li>1. Registered charter provider’s name, address, telephone number, and email address</li> <li>2. Number of vehicles leased, types of vehicles leased, and vehicle identification numbers</li> <li>3. Documentation presented by the registered charter provider that the four conditions are satisfied.</li> </ol> <p>Retain the record for three years.</p>

Exception	Procedure
<p><b>Exception 604.9</b> – When no registered charter provider responds to a notice posted on the FTA charter website (<b>WN</b>):</p> <ol style="list-style-type: none"> <li>1. Within 72 hours for charter service requested to be provided in less than 30 days, or</li> <li>2. Within 14 calendar days for charter service requested to be provided in 30 days or more.</li> </ol>	<p>Include the in the e-mail notice sent to the list of registered charter providers:</p> <ol style="list-style-type: none"> <li>1. Customer name, address, phone number, and e-mail address (if available);</li> <li>2. Requested date of service;</li> <li>3. Approximate number of passengers</li> <li>4. Type of equipment requested, bus(es) or van(s);</li> <li>5. Trip itinerary and approximate duration; and</li> <li>6. The intended fare to be charged for the service.</li> </ol> <p>If an “undeliverable” notice is received in response to its e-mail notice, fax the notice.</p> <p>If service is provided, record the following information:</p> <ol style="list-style-type: none"> <li>1. The group’s name, address, phone number, and email address</li> <li>2. Date and time of service</li> <li>3. Number of passengers</li> <li>4. Origin, destination, and trip length (miles and hours)</li> <li>5. Fee collected, if any</li> <li>6. Vehicle number (example, bus 102)</li> </ol> <p>Retain all records (email sent, undeliverable notice, facsimile, record of charter) for three years.</p>
<p>▪ <b>Exception 604.10</b> – Agreement with registered charter providers</p> <p>If a new charter provider registers in the geographic service area, may continue to provider charter service for 90 days without an agreement with the newly registered charter provider.</p> <p>Any parties to an agreement may cancel at any time after providing a 90-day notice.</p>	<p>Retain records of the agreements for three years.</p>
<p>▪ <b>Exception 604.11</b> – Petitions to the Administrator for:</p> <ol style="list-style-type: none"> <li>1. Events of regional or national significance</li> <li>2. Hardship (&lt;200,000 population only)</li> <li>3. Unique and time sensitive events that are in the public interest</li> </ol>	<p>For an event of regional or national significance, the petition shall describe how registered charter providers were consulted and will be utilized, include a certification that the recipient has exhausted all the registered charter providers in its service area, and submit the petition at least 90 days before the first day of the event.</p> <p>For a hardship request, the exception must be for deadhead time that exceeds total trip time from initial pick-up to final drop-off, including wait time and shall describe how the minimum duration would create a hardship on the group requesting the charter.</p> <p>For a unique and time sensitive event, the petition shall describe why the event is unique and time sensitive and would be in the public’s interest.</p> <p>Maintain records of the charters for three years.</p>
<p>Note: Charter service hours include: time spent transporting passengers, time spent waiting for passengers and “deadhead” hours.</p>	

## SCHOOL BUS

Subrecipients are prohibited from providing exclusive school bus service unless the service qualifies under an allowable exemption and is approved by the FTA Administrator. In no case can federally-funded equipment or facilities be used to provide exclusive school bus service. Head Start transportation is considered human service transportation, not school bus service.

<p>1. Is exclusive school bus service operated?</p> <p><i>Subrecipients are prohibited from providing exclusive school bus service unless the service qualifies under an allowable exemption and is approved by the FTA administrator. In no case can federally funded equipment or facilities be used to provide exclusive school bus service.</i></p>	
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# PLANNING AND COORDINATION

## TITLE VI--NONDISCRIMINATION IN THE DELIVERY OF SERVICE

FTA and Montana prohibit discrimination on the grounds of race, color, national origin, sex, age, physical or mental disability, or religion in the delivery of public transit services. FTA also prohibits discrimination on the grounds of low income status. Montana also prohibits discrimination on the basis of marital status. The governing body must adopt Title VI complaint procedures. Title VI complaints must be reported to MDT within 24 hours of receipt of the complaint.

<p>1. Have any complaints concerning discrimination in the delivery of service been received since the last review?</p> <p>If yes, how were the complaints identified and resolved?</p> <p>Did you report the complaints to MDT within 24 hours of receipt of the complaint?</p> <p><i>Title VI complaints must be reported to MDT within 24 hours of receipt of the complaint.</i></p>	
<p>2. The reviewer will ensure that the Title VI notice is posted as discussed in the Title VI plan on file with MDT.</p> <p><i>At a minimum, subrecipients shall disseminate this information to the public by posting a Title VI notice on the agency's website and in the public areas of the agency's office(s), including the reception desk, meeting rooms, etc. Subrecipients should also post Title VI notices at stations or stops, and/or on transit vehicles.</i></p>	
<p>3. Have employees received the training in providing timely and reasonable language assistance to LEP populations?</p> <p><i>FTA requires subrecipients to train employees in providing timely and reasonable language assistance to LEP populations.</i></p>	

## COORDINATION

Subrecipients must coordinate to the maximum extent feasible with transportation assisted from other federal sources. Subrecipients located in the planning area of a metropolitan planning organization (MPO) must ensure that their projects are included in a transportation improvement program (TIP) for the area.

<p>1. Reviewer, please refer to the explanation in the application and describe how the subrecipient coordinates with other transportation providers in the area.</p> <p>Subrecipient, since submitting your application, have any additional efforts been made to coordinate service? If yes, please describe.</p>	
<p>2. Which of the following coordination activities occur?</p> <ul style="list-style-type: none"> <li>a) Consolidated purchase of service</li> <li>b) Central information center</li> <li>c) Centralized dispatch</li> <li>d) Planning</li> <li>e) Maintenance</li> <li>f) Purchasing (vehicles, parts, fuel)</li> <li>g) Training</li> <li>h) Management (marketing, information system, billing)</li> <li>i) Other (please describe)</li> </ul>	
<p>3. Are there more opportunities for coordination?</p>	
<p>4. Are you participating in the in public coordination human services coordination plan effort?</p> <p>What initiatives have resulted from the meetings?</p>	

## SUMMARY OF CORRECTIVE ACTIONS

Finding	Corrective Action	Response	Response Days/ Date	Comment	Date Closed