

# ***MONTANA TRANSIT STATE MANAGEMENT PLAN***



Prepared by:



Montana Department of Transportation  
Transit Section  
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# MONTANA TRANSIT STATE MANAGEMENT PLAN

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## Executive Summary

The Montana State Management Plan (SMP) is a comprehensive plan required by the Federal Transit Administration (FTA) that outlines how the Montana Department of Transportation (MDT) administers its federal transit funding. As the state agency designated to administer these funds, MDT is required to have an approved state management plan for the Sections 5310, 5311, and 5339 programs on file with the FTA regional office and to update it regularly to incorporate any changes in program management or new requirements.

This SMP documents the state's policies and procedures for the federal programs managed by the state. The SMP's primary purpose is to serve as the basis for State management of the programs. It also provides public information on the State's administration of the transit programs.

The SMP is broken down into seven key areas: General Transit Program information, State Program Management, Technical Assistance and Training, Program of Projects, Grievance Procedures, and Compliances and Assurances.

General Transit Program information provides the public and transportation providers with a general overview of the transit programs regarding roles and responsibilities, eligibility, local funding requirements, coordination requirements, etc. This informs those interested parties whether or not they will be eligible to apply for funding.

The State Program Management section of the plan provides information to FTA on how MDT administers the grant programs to its subrecipients. This includes MDT's financial management, grant management, FTA reporting, capital assistance review, procurement, and vehicle disposition. The information provides the subrecipients better understanding on what is required of them once they receive funding.

As with all grant programs it is important to provide technical assistance and training to the subrecipients. MDT provides that training through transit workshops, compliance and good practices reviews, as well as bringing in national keynote speakers to present at the Montana Transit Association conferences.

Each grant program managed by MDT has a specific application process, timeline, minimum requirements, selection criteria for the grant application, reporting, and monitoring process. The Program of Projects explains in detail the differences between each program and informs the subrecipients about the process for applying for these program funds.

If a subrecipient feels that any portion of the transit management process is unfair and would like to dispute the decisions that were made a grievance process is in place for them to proceed.

For MDT to obtain any transit funding through FTA, MDT must adhere to the federal requirements listed in the compliances and assurances of FTA's Master Agreement. Those requirements are passed down through the grant process to the subrecipients. In order for MDT to issue any funding to a subrecipient they must comply with these requirements.

Finally, the State Management Plan serves as a management tool for federal government, state government and all of its local recipients. However, it is very important that it is continually updated to reflect the most current practices by MDT. At a minimum it should be updated every 3 years but as major policy changes occur it should be revisited more frequently.

DRAFT

# MONTANA TRANSIT STATE MANAGEMENT PLAN

## I. INTRODUCTION

The Federal Transit Administration (FTA) requires each state that receives and administers Federal funding under Section 5310, *Enhanced Mobility of Seniors and Individuals with Disabilities Program*, Section 5311, *Rural Area Formula Program*, and Section 5339, *Bus and Bus Facilities Formula Program: Guidance and Application Instructions*, to have an approved State Management Plan (SMP) on file with the appropriate regional FTA office. Each state must update the SMP regularly to incorporate management changes that occur.

The Montana Department of Transportation (MDT) was created in July 1991 through legislation that also authorized MDT to represent Montana on issues related to any mode of public transportation in a judicial or administrative forum of Montana or any other state, or the United States. The Montana Department of Commerce administered transit planning functions prior to 1991.

This SMP is intended to facilitate MDT's management and FTA's oversight of MDT's transit programs by documenting the State's policies, goals, objectives and operating procedures. This SMP supersedes all prior State Management Plans.

The primary objective of MDT's Transit Section, which is located within the Rail, Transit, & Planning Division, is to assist in the establishment and maintenance of public, private and non-profit passenger transportation systems. The Transit Section provides this assistance through a cooperative effort involving FTA, and State, local, and tribal agencies.

Montana's SMP documents the objectives, policies, procedures and administrative guidelines for the Section 5303/5304, 5310, 5311 and 5339 programs, the Rural Transit Assistance Program (RTAP), and the state-funded Transportation Assistance for the Disabled and Elderly (TransADE) Program.

Please see [Appendix A](#) for FTA definitions.

## II. GENERAL TRANSIT PROGRAM INFORMATION

### A. Goals and Objectives

#### 1. MDT Mission Statement and Goals

The Mission of the Montana Department of Transportation is to "serve the public by providing a transportation system and services that emphasize quality, safety, cost effectiveness, economic vitality and sensitivity to the environment."

The following Strategic Business Plan goals support the Department's mission:

- a. Deliver cost-effective transportation programs and services to the citizens of Montana.

- b. Enhance traveler mobility by providing a safe and efficient multimodal transportation system that supports Montana's economy and is sensitive to the environment.
- c. Maximize revenue streams and explore innovative funding options.
- d. Ensure investment decisions consider policy directions, customer input, available resources, system performance, and funding levels.
- e. Develop and maintain positive relationships with MDT customers through communication and responsiveness.
- f. Implement the policy goals and actions of TranPlan 21 and other policy initiatives to support commitments to MDT customers.
- g. Continuously strive to improve the effectiveness and efficiency of operations and processes.

## 2. Transit Section Goals and Objectives

### Goals

- a. Develop and support safe, drug-free, cost-effective, energy efficient transportation for the general public and transit dependent individuals. Transit dependent individuals may include the elderly, disabled, students, persons unable to drive, and those of limited income.
- b. Assist and encourage fixed-route and/or demand/responsive transportation systems which satisfy the day-to-day needs of local communities.
- c. Encourage the development of consolidated systems designed to serve both the general public and transit-dependent population.
- d. Establish public transportation policies for Montana's long range transportation plan: TranPlan 21. TranPlan 21 establishes statewide transportation policies within the Federally-required 20-year planning horizon. In addition to meeting the requirements of Section 135, 23 USC and 450 CFR, the policies reflect input from the public, transportation stakeholders, tribal governments, resource agencies, and others. TranPlan 21 is reviewed and updated on a biennial basis.

Transportation administrative and program objectives include the following:

### Administrative Objectives

- a. To supplement rather than supplant local resources in achieving the maximum benefit from available subsidies.
- b. To effect a fair and equitable distribution of funds across the State assuring that urban areas, Indian reservations and rural areas are all given an opportunity to participate.
- c. To recognize that the transportation dependency of individuals isolated from essential services should be a determinant in the distribution of funds.
- d. To encourage and facilitate the most efficient use of all funds through the consolidation or coordination of programs and services.
- e. To continue to identify those Disadvantaged Business Enterprise (DBE) firms in Montana, and give these firms the opportunity to provide products and services to transit providers.
- f. To involve community-based private sector transportation companies in the transportation planning processes and make provide them the maximum opportunity to provide service.

### Program Objectives

- a. Section 5303/5304
  - (1) Encourage the development of innovative approaches to planning, design and evaluation of transit services and facilities.
  - (2) Utilize Section 5303/5304 Program funding for planning and technical projects which serve Montana and local needs, including local operation of public transportation while considering FTA priorities.
- b. Section 5310
  - (1) Ensure that elderly persons and persons with disabilities have the same rights as all people to use transportation facilities and services.
  - (2) Undertake special efforts in the planning and design of transportation facilities and services to assure elderly persons and persons with disabilities the availability of transportation which they can effectively use.

- (3) Continue to provide for the special needs of elderly persons and persons with disabilities for whom transportation services are unavailable, insufficient or inappropriate.
- (4) Use incentives to encourage the consolidation and require the coordination of existing transportation services and human service transportation.
- (5) Select projects that are included in a locally developed, coordinated public transit-human services transportation plan.

c. Section 5311

- (1) Enhance access of people in nonurbanized areas to health care, shopping, education, employment, public services and recreation.
- (2) Assist in the maintenance, development, improvement, and use of public transportation systems in rural areas.
- (3) Maintain and expand intercity public transportation services through assistance to intercity transit operators that serve residents of nonurbanized areas.

d. 5311(b)(2) RTAP

- (1) Promote safe and effective delivery of public transportation in nonurbanized areas and make the most efficient use of public and private resources.
- (2) Monitor, evaluate and address the transportation-related training and technical assistance needs of rural and small urban areas.
- (3) Improve the familiarity, accessibility and quality of training information and technical assistance resource materials available to transit providers.
- (4) Perpetuate and facilitate transit provider self-help through training sessions and personal contact with local transit professionals.
- (5) Support the coordination of public, private, specialized, and human service transportation services.

e. TransADE

- (1) Enhance the access of elderly and persons with disabilities to health care, shopping, education, employment, public services and recreation.
- (2) Assist in maintenance, development, improvement, and use of specialized transportation systems areas.
- (3) Assist transportation providers in the expansion of their services to meet the unmet needs of elderly and persons with disabilities within their service area who are dependent upon specialized transportation.

f. Section 5339

- (1) Assist transit systems with capital such as passenger shelters, buses, and replacing buses as they meet their useful life.
- (2) Select projects that are included in a locally developed, coordinated public transit-human services transportation plan.
- (3) Assist in bus related facility upgrades and/or new constructions.

Transportation Advisory Committees and the Montana Transit Association (MTA) assist MDT's Transit Section in the review, establishment, and maintenance of long-term rural and small nonurbanized area transportation planning and service goals. Metropolitan Planning Organizations (MPOs) and MDT develop Section 5303/5304 related planning and Section 5310 service objectives for urbanized areas.

**B. Roles and Responsibilities**

1. FTA

The FTA headquarters office is responsible for providing overall policy and program guidance; apportioning funds annually to the state; developing and implementing financial management procedures; initiating and managing program support activities; and conducting national program review and evaluation.

FTA regional offices have the day-to-day responsibility for administration of programs. Regional office activities include: reviewing and approving state grant applications; obligating funds; managing grants; overseeing the state's implementation of the annual program of projects; receiving state certifications; reviewing and approving State Management Plans; providing technical

assistance and advice as needed; and performing state management reviews every three years, or as circumstances warrant.

## 2. Transit Section, MDT

The Transit Section within MDT's Rail, Transit and Planning Division has the primary responsibility for the administration of the FTA Section 5310, 5311, and 5339 programs and TransADE in accordance with Federal and State laws, regulations, and guidance.

Transit Section responsibilities include:

- Documenting procedures in the State Management Plan
- Planning for future transportation needs and ensuring integration and coordination among diverse transportation modes
- Developing program criteria and project eligibility
- Announcing the availability of funds
- Soliciting and reviewing applications
- Verifying the eligibility of project applicants and project activities
- Selecting projects
- Monitoring projects
- Ensuring timely implementation, program audit and closeout
- Ensuring adherence to Federal and State requirements by recipients

## 3. MTA

MTA is a nonprofit corporation whose membership is made up of transit operators representing urban, rural, general public and human service organizations. The primary responsibilities of the organization are:

- Encouraging cooperation among membership in dealing with transit issues,
- Representing to the people of Montana the importance of public transportation, and
- Advising local, state, and federal governments on transit issues.

The MTA assists MDT in the establishment of State transit goals and objectives; assists in addressing complaints; provides support for transit legislation; sponsors an annual transit conference and statewide bus rodeo; and promotes the education and training of Montana transit operators.

## 4. MPOs

Billings, Great Falls, and Missoula are urbanized areas with designated MPOs. Each of the MPOs is a recipient of Section 5303 planning assistance and responsible for coordination of FTA programs within their planning areas.

Requests for FTA funding from within an urbanized area are submitted to the MPO for inclusion in the MPO's Transportation Improvement Program (TIP). MPO staff reviews each application for coordination, conformity and fiscal constraint in relation to TIP goals and objectives.

5. Transportation Advisory Committee (TAC)

Each transportation service area must have a local TAC. There can be only **one** TAC per service area. These committees are made up of local transportation providers and interested community residents and have no supporting staff. The TAC is an advisory group or forum to assist local transportation providers rather than a governing body.

Because passenger transportation issues differ from one area to another, each community and/or service area must customize its TAC to address local transportation issues in a way that best meets those needs with the resources at hand. MDT recommends that all TACs include representatives from the following groups or agencies:

- Elderly
- Persons with disabilities
- Hospitals, nursing homes, retirement facilities, and mental health centers
- Local elected public officials
- Citizens interested in community transportation
- General public transportation provider (if applicable)

TAC responsibilities include:

- Promote and encourage passenger transportation communication and coordination of service within the service area.
- Serve as the local planning group that reviews and discusses transportation needs and resources for their service areas.
- Discuss community transportation issues including unmet passenger transportation needs; how to improve transportation with the service area; resources that exist with the service area, including hours of service; use of resources; schedules; and how to use existing resources within the community to their fullest potential.
- Review and approve all capital application funding requests prior to submittal to MDT.

Each TAC should elect a chairperson who will be responsible for calling meetings and keeping the minutes. MDT recommends that TACs meet quarterly.

If an agency is applying for capital assistance, it must notify the TAC that it is applying for Federal funding and include its application in the consolidated local application. If there are two or more organizations in a service area applying for capital assistance, the TAC should review all applications and prioritize requests in the local application.

6. Capital Assistance Review (CAR) Committee

The CAR Committee is made up of the following members: A representative from a Small Urbanized provider, a Section 5311 Rural General Public Provider, a Consumer who uses transit on a daily basis, the Health and Human Service (HHS) Transportation Coordinator, a HHS Aging Representative, a HHS Developmental Disability Representative, and a board member from the MTA who represents all transit systems in the state. Each member of the CAR committee rates each piece of equipment which has been requested. Each CAR member scores a total of 80 points and the Transit Section scores a total of 20 points, to make a combined 100 total available points. Of the 80 points, the CAR scores a total of 60 points for "Capital Need" and a total of 20 points for "Program Management." Of the 20 points, the Transit Section scores a total of 10 points for "Program Management" and a total of 10 points for "TAC Prioritization." These points are formula generated and represent required meetings attendance, timeliness of quarterly report submittals, and TAC prioritization. Ridership, fleet status, access to lifeline services, and alternative transportation options determine an agencies score on need. Compliance with state and federal requirements, safety, staff training, and coordination participation determine the agencies score on management practices. Once the committee has evaluated all pieces of equipment the scores are averaged and prioritized into a spreadsheet. Based on the available amounts of funding and the MDT management approval process, agencies are funded from the highest priority down until the available funding is completely spent. For a detailed account of the scoring please refer to the "CAR Instruction Sheet."

**C. Overview of Transit Programs**

1. Section 5303/5304

The Montana Section 5303/5304 Metropolitan Planning and State Planning and Research Programs provide for contracts and grants to local public agencies for the planning, engineering, designing, and evaluating of transit projects; for development of regional transportation plans; and for various other technical studies.

The Rail, Transit, & Planning Division's Statewide & Urban Planning Section administers the Section 5305 Grant Program. The Section 5304 portion of this grant is used by the Transit Section to conduct rural planning and technical studies and to meet the nonurban statewide planning needs. The Transit Section also provides Section 5304 planning and technical assistance to private nonprofit agencies in rural areas on a contract basis

State Section 5303 funding is provided to small urban (> 50,000 and < 200,000) areas for planning and technical support. The state has 3 MPO's, Billings, Great

Falls and Missoula. The state contracts annually with the MPO's for their planning needs,

2. Section 5310

The Transit Section, through its Section 5310 Program, provides grants to local government authorities, private non-profit organizations, or operators of public transportation that receive a grant indirectly through a recipient. The purpose of Section 5310 is to enhance mobility for seniors and persons with disabilities by providing funds for programs to serve the special needs of transit-dependent populations beyond traditional transportation services and Americans with Disabilities Act (ADA) complementary paratransit services.

Funds can be used for the purchase of vehicles and related capital equipment. The Section 5310 Program of Projects is included in the State Transportation Improvement Program (STIP) that MDT updates annually. Where applicable, projects are also included in a Metropolitan Transportation Improvement Program (TIP).

At least 55% of program funds must be used on capital projects that are planned, designed, and carried out to meet the special needs of seniors and individuals with disabilities when public transportation is insufficient, inappropriate, or unavailable. The remaining 45% may be used for operating under this program.

3. Section 5311

Through the Section 5311 Program, the Transit Section provides capital, planning and operating assistance to public transportation projects in rural areas where many residents often rely on public transit to reach their destinations. The goals of the program are to encourage the maintenance, development, improvement and use of public transportation systems; encourage and facilitate the most efficient use of all federal funds used to provide passenger transportation in non-urbanized areas through the coordination and consolidation of programs and services; assist in the development and support of intercity bus transportation; and provide for the participation of private transportation to the maximum extent feasible. The Section 5311 Program of Projects is included in the STIP that MDT updates annually.

4. Intercity Bus Section 5311(f)

Under this program, each state is required to spend fifteen percent of its annual Section 5311 apportionment "to carry out a program to develop and support intercity bus transportation," unless the Governor certifies that the intercity bus service needs of the state are being met adequately. Based on the needs of Montana we have pursued the waiver process by consulting with the current intercity providers and finally requesting a Governor's certification.

Montana established a program to provide support and connections between non-urbanized and large national systems. Agencies or companies expressing an interest in this program submit a request specifying their needs. Staff reviews the request, determines if further research or consultation is needed before approving or disapproving the request.

The Section 5311(f) Program of Projects is included in the STIP that MDT updates annually.

5. RTAP Section 5311(b)(2)

RTAP is a broad and flexible program of training, technical assistance, research, and other support services for non-urbanized transit. The Transit Section receives an annual allocation to develop and implement training and technical assistance programs in conjunction with the State's administration of the Section 5311 Program.

6. TransADE

This state funded program provides match or operating assistance to transportation providers that serve the disabled and elderly. The goal of the program is to enhance the access of elderly and persons with disabilities in Montana to health care, shopping, education, employment, public services and recreation; and to assist in the maintenance, development, improvement, and use of specialized transportation systems.

7. Section 5339

The Bus and Bus Facilities Formula Grants provides capital funding to replace, rehabilitate and purchase buses and related equipment and to construct bus-related facilities. This replaces the Section 5309 Bus and Bus Facility Program from SAFETEA-LU. The national distribution funds are eligible to be transferred by MDT to supplement the small urban and rural grant programs.

Section 5339 projects are prioritized by the CAR Committee and selected by MDT.

**D. Eligibility**

Eligible Service and Service Areas:

Eligible services include the provision of general public transportation services and consolidated human service transportation through a lead agency in nonurbanized areas, and intercity bus transportation projects. This includes incidental vehicle use for non-passenger transportation purposes, such as coordinating and assisting in providing meal delivery services for homebound persons if the meal delivery services do not conflict with the provision of transit

services or result in a reduction of service quality or availability of passenger transportation service.

The transit service area is established in the locally developed public transit-human services Coordination Plan. Generally the plan will cover a county or group of counties. Since most Montana counties are very rural, transportation systems may share routes through contiguous counties to the closest city or urbanized area. MDT encourages rural and urban systems to coordinate to the maximum extent feasible schedules, routes, and stops to facilitate the most cost-effective regional services. The development of a network of regional systems will be a major priority for MDT over the next several years. These linkages are critical to improving mobility options for residents of Montana and should promote a more efficient use of all resources.

Several subrecipients travel to destinations in other states for medical attention or to access other goods and services. The frequency of these trips is determined during the development and/or annual update of the Local Coordination Plan. Applicants are cautioned to observe Federal Motor Carrier Safety Administration rules that restrict the size of vehicles to those designed or used to transport 9 to 15 passengers, including the driver.

#### Eligible Assistance Categories:

MDT supports nonurbanized transportation providers by providing Administrative, Operating, Maintenance and Capital funding assistance. These programs are designed to meet the needs identified in the locally developed public transit-human services Coordination Plan. These plans are required to identify the transportation needs of the elderly, disabled, low income, minority and general public. MDT requires coordination and ultimately consolidation of these services under a single service provider to be eligible for financial aid through these programs.

1. Section 5303/5304  
5303-MPO's planning assistance contracted annually.  
5304-rural technical assistance contracted as needed.
2. Section 5310

Eligible recipients of this funding are local public bodies; private nonprofit organizations; Tribal governments and agencies; and operators of public transportation services.

3. Section 5311

Eligible recipients of this funding are local public bodies; private nonprofit organizations; Tribal governments and agencies; and operators of public transportation services.

4. 5311(b)(2) RTAP

MDT is the only eligible grant applicant for RTAP funds for Montana. MDT's Transit Section funds local agency activities relating to training, technical assistance, research and related support services. Local agencies may submit a request for RTAP funding to the Transit Section.

5. TransADE

Eligible recipients include counties, incorporated cities and towns, transportation districts, or non-profit organizations for transportation services for persons 60 years of age or older and persons with disabilities.

6. Section 5339

Eligible applicants for Section 5339 are states and designated recipients that operate or allocate funding to buses and bus facilities. Subrecipients that are public agencies or private non-profit organizations are also eligible for this funding.

**E. Local Share and Local Funding Requirements**

1. Federal/Local Match Ratio

a. Section 5303/5304

Federal Share – 80% of the project or study cost.

Local Match – 20% must be provided locally.

b. Section 5310

Federal Share – 80% of the cost of the project. The federal share is 85% if the project complies with the ADA or the CAA.

Local Match – 20% of the cost of the project is required. All of the local share must be cash provided from sources other than Federal funds except where specific Federal program requirements permits its funds to be used to match other Federal funds. The local share would be 15% if the project complies with the ADA or the CAA.

c. Section 5311

The Section 5311 Program requires matching funds for capital and operating projects. The State of Montana uses a sliding scale.

*Capital Expenses:*

Federal Share – Eligible facilities and equipment shall not exceed 86.58% of the net capital cost.

Local Match – A minimum of 13.42% is required of the net capital cost for eligible facilities and equipment.

*Operating Expenses:*

Federal Share – May not exceed 54.11%for operating, 80%for administration, and 80% for maintenance.

Local Match – At least 46.89%for operating, 20% for administration, and 20% for maintenance must be matched from local sources. The program allows funds received from service agreements with state or local public or private agencies to be used as match, even though the original source of such funds may have been from another non-DOT Federal program.

d. RTAP

The RTAP Program of Projects is determined by MDT with assistance from the Montana Transit Association.

e. Section 5311(f) – Intercity – The Section 5311(f) Program requires matching funds for capital, planning and operating projects.

*Capital Expenses:*

Federal Share – 86.58% for eligible capital.

Local Match - 13.42% for eligible capital.

*Planning Expenses:*

Federal Share – 80% of planning project.

Local Match – 20% of planning project.

*Operating Expenses:*

Federal Share – May not exceed 54.11%for operating, 80%for administration, and 80% for maintenance.

Local Match – At least 46.89%for operating, 20% for administration, and 20% for maintenance must be matched from local sources. The program allows funds received from service agreements with state or local public or private agencies to be

used as match, even though the original source of such funds may have been from another non-DOT Federal program.

f. TransADE

The TransADE Program can be used as operating similar to Section 5311 or as match if it meets states requirements. (MCA 7-14-112)

g. Section 5339

Federal Share – 80% of the cost of the project. The federal share is 85% if the project complies with the ADA or the CAA.

Local Match –20% percent must be provided locally. The local share would be 15% if the project complies with the ADA or the CAA.

2. State Administration

- a. Section 5303/5304 – Section 5303: No state administrative costs may be incurred for this program. Section 5304: The state may charge eligible grant administrative expenses.
- b. Section 5310 – The state may use an amount not to exceed 10% of its apportioned funds to administer the program.
- c. Section 5311 – The state may use an amount not to exceed 10% of its apportioned funds to administer the program and to provide technical assistance to local recipients.
- d. RTAP – No state administrative costs may be incurred for this program.
- e. Intercity – Montana does **not** take a portion of this funding for administrative purposes.
- f. TransADE – No state administrative costs may be incurred for this program.
- g. Section 5339 - No administrative costs may be incurred for this program.

\* Indirect Cost – Applicants must submit an indirect cost plan letter of approval for indirect cost rate from their cognizant agency. If the applicant is a not for profit and does not have such letter, they may submit a plan for indirect cost rate to MDT. MDT Accounting Controls Bureau will review the applicants plan for approval or denial.

## **F. Program and Service Coordination**

Montana's Coordination Policy states that recipients of FTA grants will coordinate and cooperate with other programs operating or planning to establish a transportation system in their service areas.

On the state level, MDT's Transit Section, in conjunction with the Montana Department of Public Health and Human Services and the Indian Affairs Office, coordinate activities that encourage coordination and consolidation. For example, representatives from each of these State agencies as well as a provider and/or consumer are included on the State CAR Committee which is responsible for the review, screening and ranking of applications for capital assistance.

Coordination is required and continues at the local project level. In order to reduce expenditures, increase service, use resources more efficiently and improve service, applicants for FTA funding must coordinate their proposed service plans. This is accomplished through their respective TACs in nonurbanized areas and MPOs in urbanized areas.

In addition to TAC and MPO coordination, State transportation programs require local agencies, particularly those submitting applications, to provide reasonable notice to transportation providers (includes private for profit, private nonprofit, and public agencies) regarding proposed and/or changes in transit services. Private transportation providers are encouraged, to participate in order that they may present their views concerning the development of local plans and programs. This coordination effort is examined during the Section 5310, Section 5311, Section 5339 and TransADE application review process.

With respect to Section 5303 and Section 5304, the Rail, Transit, & Planning Division, in its role as coordinator with the non-urbanized areas and MPOs, develops a single state grant application and work program each year.

The Statewide & Urban Planning Section also participates in MPO program reviews related to the Section 5303 Program.

## **G. Private Sector Participation**

It is the policy of the Rail, Transit, & Planning Division to encourage the use of the capabilities and resources of the private sector to meet the demand for transportation service in Montana; and to provide the opportunity for the private sector to participate in the planning process. The following describes the private sector participation process.

1. Local Planning Process and Program Development
  - a. Large Communities with a Formalized Planning Process

MPOs encourage private sector participation in the planning process to coordinate public and private transit services. The following outlines MPO procedures:

- (1) Establishment of a mailing list of private transportation providers within the service area and those outside the service area that have indicated an interest.
- (2) Involvement in the Unified Planning Work Program (UPWP) process requires that reasonable notice be given to private transportation providers regarding dates, times, and agendas for meetings of the TAC and Policy Coordinating Committee (PCC). This provides them an opportunity to review the UPWP for studies of particular interest and/or impact to the private operators.
- (3) Participation in the development of the Annual Element of the TIP is encouraged through correspondence with private operators regarding the planning and preparation process of the TIP. Private enterprise is advised of meetings of the TAC and PCC involving the TIP process.
- (4) Provision of reasonable notice of public hearings, forums, and meetings to allow comment concerning the development of local plans and programs.
- (5) Monitoring of activities of their transit districts to ensure that the transit districts are providing reasonable notification to private enterprise through correspondence, newsletters, newspapers, etc., of meetings and/or hearings regarding transit.
- (6) Monitoring of methods used by their transit districts certifying periodic review of existing services to determine whether they can be provided more efficiently by the private sector.
- (7) Reviewing any comments and/or proposals received by a respective transit district from the private sector to assure responses were provided in a timely manner.

b. Transit Districts

Montana transit districts provide the opportunity for using the capabilities and resources of the private sector to meet the demand for mass transportation service. The districts also provide opportunities for the private sector to participate in their planning process and consider contracting service when there is an expansion or change in service.

Actions implementing this policy include:

- (1) During program development, the districts provide reasonable notification to private transportation operators of all proposed new and/or expanded services using the following process:
  - (a) Notice to the public regarding proposed service changes.
  - (b) Reasonable time for comment once a proposed program has been developed.
  - (c) Opportunity for a public hearing.
  - (d) Planning and transit district personnel consider comments and views expressed in public hearings.
  - (e) The results are made available to the public.
- (4) Private operators are provided an opportunity to participate in the development of transit programs.
- (5) Private operators are given the opportunity to offer service proposals for consideration.
- (6) Transit districts maintain documentation of the participatory planning process and the rationale used in making public/private service decisions.
- (7) Existing transit service is reviewed annually to determine if such service can be provided more efficiently by the private sector.
- (8) Comparison of transit service proposals include an evaluation of all fully allocated costs of public and private transit services and proposals, including any operating subsidies, capital grants and the use of public facilities.

c. Small Communities and Rural Areas

- (1) Private operators are given an opportunity to participate through membership on local TAC committees.
- (2) Private operators are given an opportunity to participate in the development of transportation plans. Private operators are informed of the planning and preparation of Transit

Development Plans (TDPs) and notified of scheduled public meetings.

- (3) During the planning process Section 5303/5304, 5310, 5311, 5339 and TransADE potential recipients are encouraged to coordinate with public, private, and nonprofit local entities in the provision of coordinated transportation services, in order to enhance opportunities for private sector participation.
- (4) Public notification is required for all proposed new and/or expanded transit related services associated with local planning efforts. This notification process consists of the following steps:
  - (a) Notice to the public regarding proposed service changes
  - (b) Reasonable time for comment.
  - (c) Opportunity for a public hearing.
  - (d) Record comments and views expressed during the public hearing.
  - (e) The results of the hearing are made available to the public.
- (5) At the program development level private operators are given the opportunity to offer service proposals for consideration.
- (6) Section 5310 and Section 5311 operators are required to consider contracting service where it is determined that private transportation operators can provide efficient transit service. Comparison of transit service proposals include an evaluation of all fully allocated costs of public and private transit services and proposals, including any operating subsidies, capital grants and the use of public facilities.
- (7) Public and private nonprofit agencies are required to maintain documentation of the participatory planning process and rationale used in making public/private service decisions.

Agencies are responsible for identifying and documenting impediments to private sector participation. If the impediments are local, the agency is encouraged to resolve

the problems at the local level. In the event the impediment is at the State or Federal level, the agency reports the impediment to the Transit Section.

- (8) Existing transit services are reviewed annually or during review of TDPs to determine if services can be provided more efficiently by the private sector.
- (9) Private sector representatives wishing to express a grievance should do so through an established complaint procedure process at the local level. In the absence of established procedures at the local level, state complaint procedures shall apply as described in the following Program Complaint Procedure Section.

## 2. State Role

The Transit Section encourages, reviews and oversees local policies and procedures for achieving compliance with private sector participation requirements.

The Transit Section provides technical assistance to local agencies in the development of their private sector participation process.

Transit Section staff researches impediments to private participation at the state and federal level to assure maximum private participation opportunity.

## H. Program Complaint Procedures

The state requires all local transportation providers to have complaint procedures for resolving local disputes.

The Transit Section has established a Program Complaint Procedure Policy to resolve conflicts involving state-administered transit programs. This policy is included as [Appendix B](#).

## I. Charter Service

MDT does not condone or promote charter services by publicly funded transit operators in the State of Montana unless all requirements or exceptions have been met. All exceptions to charter service must be in accordance with 49 CFR Part 604 Subpart B-Exceptions. All exemptions must adhere to the provisions in 49 CFR 604.2.

### Exceptions

- Government officials – *Not to exceed 80 hours*
- Qualified human service organization
- Leasing to private charter operator
- No response by registered charter provider

- Agreement with all registered charter providers
- Petition to the Administrator

### Exemptions

- Transportation of employees, contractors, and government officials within service area for oversight functions
- Private charter operators
- Emergency preparedness planning and operation
- Section 5310 and 5311 program purposes
- Emergency response
- Transportation for training

MDT Transit requests quarterly from its transit subrecipients any charter exceptions that occurred during the last three months. This information is collected and reported in the FTA Charter Reporting Tool website.

## **III. STATE PROGRAM MANAGEMENT**

### **A. Financial Management**

The Transit Section, in conjunction with the MDT Accounting Control Bureau, maintains a system of accounting and internal controls to assure an accurate and timely cash flow to local projects.

#### **1. Reports**

Uniform reporting is required of all Sections 5303/5304, 5310, 5311, and 5339 projects with a separate project-agreement code established for each grant. The project codes are established per MDT standard accounting and record keeping procedures immediately upon notification of grant approval. Reconciliation is performed monthly by the Accounting Control Bureau (ACB) with a comparison of expenditures made between Montana Statewide Budgeting, Accounting and Human Resource System (SABHRS), and Cost Accounting Record Entry System (CARES) MDT's Accounting Controls Bureau uses CARES to compile the ECHO billing submitted to FTA on a monthly basis.

#### **2. Reimbursements**

Each agency is responsible for accurate and complete disclosure of its expenditures and revenues within 60-days of the end of each quarter. Appropriate reimbursement of eligible expenses for each Section 5311 operating agency is made quarterly by the MDT within thirty days of receipt of properly executed reimbursement request. Invoices for goods and services are reimbursed within thirty days of receiving a properly executed invoice.

Agencies receive reimbursement for no more than the amount of the grant total specified in their contract. Unspent funds or carry forward will be recalculated

for redistribution the following year. Extensions on any contract are only provided in cases of documented extreme hardship.

3. Transfers

When MDT transfers funds it follows FTA policies or guidance.

4. Single Audits

A single audit is required each year if an agency receives over \$750,000 in federal financial assistance in accordance with 2 CFR Part 200 Subpart F. MDT Internal Audit requests and reviews the single audits.

5. Risk Assessment

Section 5311 “new starts” are required to complete a risk assessment prior to grant approval per 2 CFR Part 200. The in-depth review shall assess the operating and financial capacity of the applicant. The following are items highlighted for review.

OPERATING CAPABILITY:

- List of owners, managers and/or board members
- Percent of ownership, if applicable
- Resumes for the owners, managers and/or board members
- Minimum of three business references
- Operating contingencies (back-up bus, fleet size, etc.)

FINANCIAL CAPACITY:

- Expected subsidies (i.e.: grants other than 5311 funds, etc.)
- Pro Forma balance sheet, income and cash flow statements for the next 2 years
- Source of capital used for startup operations
- Proof of at least 3-months cash reserves and sources
- Financial reference (i.e.: bank officer, major creditor or lawyer)
- List of owned fixed assets (i.e.: buses and building)
- Financial contingencies (i.e.: bus accident, unexpected major repairs)

6. Assigning Funding to Capital Projects

MDT will use Section 5310, 5311, and 5339 funding, when available, to procure capital for sub-recipients. Assigning funding types to individual capital projects is determined by the fiscal planner based on grant allowability and approved by the Transit Supervisor. However, it is a Transit initiative to fund capital projects awarded to “new starts” with Section 5310 funding in an effort to reduce risk of having to return capital in case sub-recipient may desire to transition from 5311 to 5310 provider.

## **B. Project Review and Monitoring**

### **1. Quarterly Reports**

Section 5303, 5310, 5311, TransADE, and 5339 projects are required to submit quarterly reports to MDT's Transit Section.

The following describes program reporting requirements:

The MPOs submit a quarterly Section 5303 planning status report describing work performed and a unified work program expenditure summary. In addition, each MPO, based on its quarterly report, submits a request for reimbursement (refer to [Appendix C](#) for an example report and requisition).

Section 5310, 5311, TransADE, and 5339 projects are required to submit quarterly reports relative to operations, ridership, performance, and financial costs. In addition, Section 5311 and TransADE operators are required to conduct a reimbursement calculation. Section 5311 and Section 5339 (if not buying buses) operators must determine DBE goal achievement. An example of the report is presented in [Appendix D](#).

### **2. Compliance and Good Practices Reviews**

The Transit Section's Compliance and Good Practices Review Process was originally financed through a grant from the FTA. The Transit Section revised and updated the process in 2015.

The purpose of the Compliance and Good Practices Review is to identify the strengths and weaknesses of a transit system and to ensure compliance with state and federal rules and regulations.

The review is designed to be used as one part of a technical assistance effort. That is, after completion of a review, technical assistance should be provided to the service to improve deficient areas and to document exemplary performance to share with other transit systems.

Three primary functional areas of a transit system are investigated during a review. These include: administration and management, operations and service provision, and service planning and marketing (refer to [Appendices G and H](#)).

### **3. Construction Management and Environmental Protection**

Construction management is the responsibility of the recipient agency. MDT participates in the project by assisting with and reviewing the recipient's application to FTA, reviewing requests for proposal and invitations for bid, providing insight at selection and screening of A&E applicants, and reviewing contract language between recipient and A&E. MDT also receives periodic progress reports from recipients, and participates in the final inspection of facilities.

The recipient agency is responsible for environmental analysis activities. The contract between MDT, FTA and the recipient agency addresses environmental analysis requirements. All projects must address environmental requirements in application to FTA. MDT reviews public involvement processes for each project. FTA reviews all applications.

MDT biennially inspects all facilities funded with funds that flow through MDT.

4. Termination of Contract

Construction contracts do not include a termination date. For all facilities funded with Section 5311, 5339, 5309 or ARRA, MDT will hold a lien on the deed of the facility and/or property. If the facility is sold or converted to a non-transit use, MDT shall obtain the fair market value via independent appraisal and determine the pro rata share of the original investment. MDT will contact FTA for assistance and approval of its value and how the funds from its sale will be re-entered into the Transit program by the subrecipient and MDT.

5. Motor Carrier Service Division Inspection

The Motor Carrier Service Division conducts vehicle inspections biennially for every transit sub-recipient that has vehicles under lien by MDT (refer to [Appendix AA](#)).

6. MPO Certifications

With each TIP submittal to FHWA and FTA, the MPO and state certifies that the transportation planning process is addressing the major issues in the transportation planning area and is being conducted in accordance with the requirements of 23 CFR 450.334 and 49 CFR 613, Subpart A. In addition, the Statewide & Urban Planning Section participates in planning process and Title VI reviews of the State's three MPOs every three years. Planning process reviews are conducted by FHWA with the participation of the FTA Community Planner and the Title VI reviews are conducted by MDT Civil Rights Bureau staff. Review of the MPO planning process considers MPO designation; geographic scope; MPO responsibilities; elements of its urban transportation planning process; use of Section 5303 funding support for the development and implementation of a transportation plan and TIP/annual or biennial element; Title VI requirements; private sector participation; and involvement of minority business enterprises in FTA funded projects.

7. Civil Rights

Title VI

All subrecipients must submit a signed Title VI plan and must also complete and signed the Title VI Non-Discrimination and Complaint Procedures form. MDT ensures compliance with Title VI requirements during triennial compliance reviews.

### Equal Employment Opportunity (EEO)

All subrecipients are required to follow federal EEO requirements. MDT ensures compliance with EEO requirements during triennial compliance reviews.

### DBE

All subrecipients are required to report DBE qualified expenses quarterly via the PTMS to MDT. Triennially, MDT submits its overall goal for the utilization of DBEs. The goal includes the contracting opportunity of the State and its subrecipients

## **C. FTA Reports**

### 1. Section 5303/5304

#### Milestone Reports

The Statewide & Urban Planning Section submits annual narrative progress reports to FTA electronically via the Transit Award Management System (TrAMS). The report includes significant events, relevant grant activities and any changes to or variances in the grant schedule or budget. This report is submitted to FTA within 30 days after the end of each fiscal year. (refer to [Appendix I](#)).

#### Quarterly Financial Report

Transit Section prepares FFR 425 and emails to Accounting System Operations for review and submits it to FTA electronically via TrAMS.

#### Single Audit Clearinghouse (SAC) Form

The audit must be completed and the data collection form and reporting package submitted to the Federal Audit Clearinghouse within the earlier of 30 calendar days after the receipt of the auditor's report(s) or nine months after the end of the audit period. For local governments and school districts, the Subrecipient will provide the report to the State of Montana, Department of Administration, and Local Government Services Bureau. All other Subrecipients such as Tribal Communities and Non-Profit Organizations will provide the report to the State of Montana, Department of Transportation, and Audit Services if audit findings are discovered.

#### Report of Significant Events

MDT immediately reports unforeseen events that impact the schedule, cost, capacity, usefulness or purpose of the project to FTA and includes the events in the next Milestone Report.

### 2. Section 5310/5311/5339

#### Milestone Report

The Transit Section electronically updates its milestone report for the program of projects of each active grant via TrAMS to FTA. The Transit Section updates the reports in TrAMS annually. (refer to [Appendix J](#)).

### Federal Financial Report

Transit Section prepares FFR 425 and emails to Accounting System Operations for review and submits it to FTA electronically via TrAMS. (refer to [Appendix K](#)).

#### 3. Title VI Plan

The MDT Civil Rights Bureau submits a plan to the FTA Regional Office every three years documenting the State's efforts to assure MDT's and its subrecipients' compliance with Title VI. MDT also submits Title VI plans completed by each subrecipient every three years. ([Appendix M](#)).

#### 4. Disadvantaged Business Enterprise (DBE) Report

Triennially, States meeting or exceeding a \$250,000 threshold of contracting opportunities with FTA funds, exclusive of transit vehicle purchases, must submit their overall goal for the utilization of DBEs. "MDT also submits semiannual DBE reports to FTA through TrAMS." The goal includes the contracting opportunity of the State and its subrecipients ([Appendix N](#)).

#### 5. Sections 5303/5304, 5310, 5339, and 5311 Project Closeout

When 100% of the grant funds are expended, the Statewide & Urban Planning Section, the Transit Section and the Accounting Systems Operations will initiate project closeout by verifying a zero balance, submitting final milestones, submitting the final FFR 425, submitting the final budget and program of projects, submitting rolling stock report for all capital, and requesting close out via TrAMS to FTA.

#### 6. NTD Reporting

The Transit Section is required to submit an annual report to the National Transit Database (NTD). The report contains statistical data on the Section 5311 transit services for Montana ([Appendix FF](#)). Data is collected from the quarterly reports and phone conversations with each sub-recipient.

The Transit Section submits the data on-line on the NTD website. Reports are due October 30 each year.

### **D. Newsletter and Public Notifications**

The Rail, Transit, and Planning Division produces a quarterly newsletter called the *Newsline*. Each edition of the *Newsline* includes information on current transit topics.

After each FTA program funding is awarded to local Transit providers a press release is sent out to all large daily newspapers in the state listing the entire award recipients and the amount of funding or capital awarded.

#### **E. Americans with Disabilities Act (ADA) Requirements**

Sections 5310, 5311, 5339, and TransADE recipients must comply with all aspects of the ADA. All systems that operate fixed routes must have a Paratransit Plan in place. The Transit Section requires that, before they begin service, all new fixed route operators must submit a plan for review by the Transit Section to ensure compliance with complementary paratransit requirements. The Transit Section will comment on the new proposed service and submit the proposal to FTA. The Transit Section ensures that all vehicles acquired are equipped, maintained and operated in accordance with ADA and that service does not discriminate against individuals with disabilities. Newly constructed facilities must comply with ADA accessibility standards.

The Transit Section ensures that Section 5310 and 5311 subrecipients comply with ADA-required service provisions by discussing these issues at the time of the triennial on-site review ([refer to Appendix M and N](#)).

#### **F. State Grant Application**

State grant applications to FTA are prepared each year and submitted electronically via TrAMS for Section 5303/5304, Section 5310, Section 5311, and Section 5339. Once FTA notifies MDT of the forthcoming year's program allocation, MDT commences the annual grant application process.

All agencies and vendors are checked to make sure that they are not excluded using SAM.gov webpage.

The following describes Montana's grant application process as it relates to each of the transit assistance programs. Specific application procedures are presented in the Program of Projects chapter.

##### **1. Section 5303/5304**

Upon FTA allocation notification, the Statewide & Urban Planning Section and Transit Section informally determine program needs and local agency needs.

At this same time, the Statewide & Urban Planning Section asks each MPO to review and update its current UPWP. After receiving the draft UPWPs, MDT conducts a review and transmits an action letter to each MPO.

If the draft UPWP is approved, the MPO requests are added to the Section 5303 program of projects.

Nonurbanized transit operators may request planning monies under the Section 5304 portion of this grant.

The Section 5303/5304 grant application process is executed through TrAMS as follows:

- MDT requests to apply for electronic grant.
- FTA assigns a grant number.
- MDT enters and submits the Application for Federal Assistance, Proposed Project Budget (by scope), Environmental Findings and the Fleet Status to FTA for their approval.
- FTA approves the grant.
- MDT accepts offer and executes grant.

Certifications and assurances for all FTA grants are attested to on a one-time, once-a-year basis via TrAMS.

## 2. Section 5310

Subsequent to FTA program allocation notification, the Transit Section provides a Fall Transit Management Workshop for two days annually for every transit provider who receives operating and/or capital funding. In addition, the Transit Section places program announcements in the Rail, Transit, & Planning Division quarterly newsletter.

Formal applications are distributed during the workshop or are available via the MDT website immediately following the workshop.

Upon formal application submittal (refer to [Appendix O](#)), Transit Section staff reviews, screens and ranks the formal applications on content. The CAR Committee ranks the formal applications on “need”. These scores are combined and averaged. The federal funding received by Montana determines how many of the highest ranked applicants are recommended to the Executive level for funding approval. MDT maintains a file for each grant year that contains a list of approved and rejected applicants. This list also identifies which applicants are minorities or provide service to minorities.

With the recommended applicant projects, the Transit Section staff prepares a Section 5310 program of projects and grant application package to be submitted electronically via TrAMS to FTA. The Section 5310 grant application process is executed through the TrAMS as follows:

- MDT applies for an electronic grant
- FTA assigns grant number
- MDT enters and submits the Application for Federal Assistance, Proposed Project Budget (by scope), Program of Projects

- including vehicle transfers, Environmental Findings and the Fleet Status to FTA for their approval.
- MDT submits and executes grant

Certifications and assurances for all FTA grants are attested to on a one-time, once-a-year basis via TrAMS.

The program of projects should be implemented within two years. In order to facilitate the grant development and approval process, the program of projects may include projects in three separate categories.

**Category A** This category contains projects certified by the State as having met all the statutory and administrative requirements for project approval.

**Category B** This category contains those projects the State intends to provide funding for, but which have not met all of the statutory or administrative requirements for project approval at the time the state grant application is submitted to FTA. The Transit Section will advance these projects to Category A when the necessary requirements are satisfied and at the same time notify FTA and provide the necessary certifications.

### 3. Section 5311

Once the Transit Section receives the State annual Section 5311 program allocation from FTA, the Transit Section determines the total amount of the Section 5311 allocation that will be available for administration, intercity bus, and sub-recipient distribution.

The Transit Section may use up to 10 percent of the Montana annual allocation to administer the program and provide technical assistance.

A set percentage of the allocation is dedicated for intercity bus projects based on a waiver we receive from FTA. The balance of the Section 5311 allocation is distributed to Montana's Section 5311 sub-recipients. Sub-recipients may apply for capital and/or operating monies under the Section 5311 Program.

Section 5311 application guidance packages for capital and/or operating assistance are sent to each current sub-recipient (refer to [Appendix P](#)).

Based on staff review and evaluation of the applications, a program of projects is developed. The Transit Section then prepares a state Section 5311 application and submits it to FTA via TrAMS. MDT maintains a file for each grant year that contains a list of approved and rejected

applicants. This list also identifies which applicants are minorities or provide service to minority populations.

The Transit Section executes the Section 5311 grant application process through TrAMS as follows:

- MDT applies for an electronic grant
- FTA assigns a grant number
- MDT enters and submits the Application for Federal Assistance, Proposed Project Budget (by scope), Program of Projects including vehicle transfers, Environmental Findings and the Fleet Status to FTA for their approval
- FTA approves the grant
- MDT submits and executes grant

Certifications and assurances for all FTA grants are attested to on a one-time, once-a-year basis via TrAMS. The Section 5311 contract for subrecipients includes language indicating that the subrecipients will comply with statutory or third party contracting requirements when making purchases with Federal funds including non-equipment purchases (refer to [Appendix Z](#)). The program of projects may include projects in Category A or B as described in Section III.F.2 of this document.

#### 4. RTAP

Upon notification by FTA of Montana's RTAP allocation, the Transit Section, with the priorities provided by MTA, develops an annual program of projects.

The Transit Section submits the RTAP program of projects in conjunction with the Section 5311 program application.

#### 5. Section 5339

Section 5339 will follow the same procedures as stated in this segment for Section 5310. As exception is that Section 5339 does not provide for different categories of funding (categories A or B).

#### G. Consolidated Application Process

MDT uses a consolidated application process ([Appendix O & P](#)). This process allowed for the lead agency to submit one consolidated application on behalf of the community to be considered for various FTA funding. This process promoted the coordination of services as a community ensuring that all transportation providers work together when submitting requests for funding.

#### H. Selection and Screening Process

1. Section 5303/5304

The Statewide & Urban Planning Section and Transit Section screens and selects Section 5303/5304 projects each year.

2. Section 5310

Applicants for Montana's Section 5310 Capital Assistance Program who meet minimum requirements for funding are considered for grant approval. All applications are reviewed by Transit Section staff on content and ranked on a 100-point scale.

The CAR Committee performs a second ranking of applications based on "need," management performance, and TAC priority of the service and/or equipment. These rankings of the Transit Section and CAR Committee are then averaged. The screening and ranking process is specifically described in the Program of Projects section of this document.

MDT will compile a record of approved and rejected funding requests that identifies the applicants that are minority organizations or provide assistance to minority. Any applicant that provides assistance to minority communities where the percentage of the minority population exceeds the statewide minority population will be designated as providing assistance to a minority community.

3. Section 5311

Section 5311 capital and operating assistance allocation is based on evaluations which include ridership and mileage. Capital requests are handled in the same manner as the Section 5310 program. A more precise description of this allocation process is presented in the Program of Projects section of this document.

MDT will compile a record of approved and rejected funding requests that identifies the applicants that are minority organizations or provide assistance to minority. Any applicant that provides assistance to minority communities where the percentage of the minority population exceeds the statewide minority population will be designated as providing assistance to a minority community.

4. 5311(b)(2)RTAP

Projects and requests for technical assistance and training are considered by Transit Section staff.

5. TransADE

Applicants for Montana's TransADE Program that meet minimum requirements for funding are considered for grant approval. The Transit sections reviews eligible applications based on need and development of their coordination system who have successfully met the program requirements. Funding is distributed equally among MDT's 5 Districts as required by state law. Ridership of the elderly and disabled is taken into consideration for funding. TransADE funding can also be used as match. Agencies receiving TransADE funding as match are only eligible to receive the amount equivalent to the required federal match for the current year operating grant.

6. Section 5339

Applicants for Montana's Section 5339 Bus and Bus Facility Program who meet minimum requirements for funding are considered for grant approval. All applications are reviewed by Transit Section staff on content and ranked on a 100-point scale.

The CAR Committee performs a second ranking of applications based only on "need" for the service and/or equipment. These rankings of the Transit Section and State Selection and Screening Committee are then averaged. The screening and ranking process is specifically described in the Program of Projects section of this document.

MDT will compile a record of approved and rejected funding requests that identifies the applicants that are minority organizations or provide assistance to minority communities. Any applicant that provides assistance to minority communities where the percentage of the minority population exceeds the statewide minority population will be designated as providing assistance to a minority community.

If a facility is awarded MDT will enter into an agreement and assist the recipient agency with the request for proposal process for architectural services and prime contractor, selection and screening, construction oversight, and final inspection.

Each recipient will report quarterly and submit invoices upon receipt. Invoices are reviewed and approved by MDT staff before payment is made to the recipient agency. MDT does not submit payments directly to the architect or prime contractor.

**I. Procurement**

Procurement procedures used by the Transit Section and its subrecipients comply with applicable State law and Federal requirements contained in FTA Procurement Circular 4220.1F. Every January, MDT Transit Section and Purchasing Bureaus obtain the most recent federal clauses and certifications from FTA and include them in the bid packet and purchase order.

Section 5311 subrecipients' purchasing activities are monitored by staff through the compliance review process (refer to [Appendices G and H](#)).

### *Vehicles and Equipment*

This Section presents applicant and MDT staff procedural responsibilities as they pertain to the vehicle and equipment procurement process. This process is divided into three stages which include the pre-bid opening phase, bid opening phase, and post bid opening phase.

#### *Pre-bid Opening Phase*

##### 1. Specifications

The ADA:

The Transit Section has implemented the following policy: "All vehicles purchased through Montana's capital assistance program will be either ramp or lift equipped."

An exception may be granted should the following occur: An agency has accessible vehicles providing transportation in the same service area where the new vehicle is scheduled to operate. An exception will **NOT** be made to an agency which claims none of its clients need accessible transportation. Requests for exemptions will be reviewed on a case-by-case basis. Montana does not use FTA funds to purchase non-accessible vehicles.

During the development of the Capital Assistance Grant Application, the applicant should make sure equipment needs are specified as closely as possible. This is to insure sufficient local and federal funds will be made available for the project.

1. Once the Section 5310 and Section 5311 capital project has been approved by FTA for funding, Transit Section staff provides technical assistance for the applicant in developing precise vehicle and equipment specifications for the procurement process.
2. The Transit Section gives final approval to all vehicles and equipment specifications to ensure vehicle specifications meet project cost parameters, safety, construction, accessibility, ADA, and other federal requirements.

##### 2. Purchasing Procedures

Most procurements are made through the sealed bid (formal advertising) method. All procurements must be conducted in accordance with MDT's Bus Contract Procedure policies ([Appendix R](#)).

In accordance with MDT's procurement policies and Federal requirements contained in FTA Circular 4220.1F, purchasing by sealed bids is required for vehicle and equipment purchases. The following bid procedures apply:

- (1) The Purchasing Services Section provides the Transit Section with a bid number.
- (2) A requisition form is filled out by Transit Section staff, and accounting personnel in the Rail, Transit, & Planning Division verifies that the funds are present.
- (3) The requisition form and vehicle specifications are sent to the Purchasing Bureau via e-mail.
- (4) The Purchasing Services Section inserts the vehicle specifications in the bid packet and sets a date for the bid opening. All documents are placed on the Internet.
- (5) Vendors are sent an auto-generated email from the eMAC electronic procurement system notifying them that a relevant rolling-stock bid has been solicited.
- (6) Sealed bids are mailed to the Purchasing Services Section and opened on the bid-opening day by Purchasing Section staff.

**The Invitation for Bid will contain (but not limited to):**

- \*MDT Standard Terms and Conditions
- \*Instruction to Bidders
- \*Term of Award
- \*Bid Response Form
- \*Client Reference Form
- \*Additional Bid Information Sheet
- \*Items to be submitted with Bid
- \*Anticipated Date of Delivery Agreement
- \*Appropriate required certifications
- \*Schematic drawing(s)

**Required Certification to include (but not limited to):**

- \*Bus Testing Certificate of Compliance (for buses only)
- \*Buy America Certification
- \*Component and subcomponent breakdown showing proposed domestic content, location of final assembly, and description of final assembly activities (does not apply to unmodified mass produced vans)
- \*FMVSS Certificate
- \*Lobbying Certification

\*TVM DBE Certification (does not apply to unmodified mass produced vans)

The Purchasing Services Section bidders' list consists of in-state and out-of-state vehicle and equipment dealers including DBE firms.

#### *Bid Opening Phase*

- (7) The Purchasing Services Section opens the bid on the established bid opening date. The Transit Section staff will review all bids received and consult with Purchasing Services Section on the awarding of the bid. The Purchasing Services Section may or may not call client references.
- (8) The Purchasing Services Section staff will complete the "Pre-award" certification sheet (refer to [Appendix S](#)) for the lowest bidder.
- (9) The Purchasing Services Section and the Transit Section are responsible for the final bid selection. The bid is awarded to lowest responsible vendor who meets all terms, conditions and specifications of the bid. All vendors submitting a bid are notified of bid selection.
- (10) Once a bid has been awarded, a purchase order will be issued by the Purchasing Services Section and sent to the award-winning vendor. (refer to [Appendix Q](#)) In return, the Transit Section obtains a preliminary order invoice from the vendor.

#### *Post Bid Opening Phase*

- (11) Transit Section staff will complete the Civil Rights Vehicle Accessibility template on MDT letterhead and email it to the regional FTA civil rights officer.
- (12) Transit Section staff prepares a contract in duplicate between MDT and applicant/sub-recipient and sends it for Legal and Civil Rights review and signatures (refer to [Appendix Z](#)). The contract in duplicate is then sent for applicant/sub-recipient agency signatures, and then sent back to MDT for final signature. MDT sends one final copy to the sub-recipient and places the remaining copy in the files.
- (13) Transit Section staff prepares a local share request and sends it to the local applicant agency. The applicant agency forwards the local share of the project matching funds to MDT's Accounting Services Bureau with the warrant made out to the Montana Department of Transportation. The Accounting Services Bureau

then deposits the local applicant/sub-recipient match in the proper account (refer to [Appendix Z](#)).

- (14) Prior to delivery the vendor provides to MDT a packet of information pertaining to the new vehicle. Items include the Manufacturer State of Origin, Dealer's bill of sale for a motor vehicle, Odometer disclosure statement, Invoice for the purchase, and warranty registration for all parts of the vehicle. These documents are copied and filed in the Transit Section folders. Original copies, with exception to the invoice, are delivered to the agency by the inspection agent(s) (Transit Section staff).
- (15) The Transit Section maintains copies of all bid and purchase documents including specifications, advertised bidding date, bidders list, bids, tabulation sheets, awards, inspection results, authorization to purchase and dealer warrants in the respective Section 5310 or Section 5311 project file.
- (16) Upon vehicle/equipment delivery, the Transit Section jointly inspects the vehicle/equipment with the applicant agency and the vendor. This inspection is to insure the delivered vehicle/equipment meets the bid specifications. A new vehicle delivery inspection sheet is completed by MDT and the applicant agency (refer to [Appendix T](#)). The "Post-delivery" certification sheet is completed and sent via "deadhead" mail to the Purchasing Services Section Supervisor for filing (refer to [Appendix S](#)). If the vehicle meets specifications, it is then turned over to the applicant agency. If not, the vendor will work toward compliancy while the Transit Section staff holds payment until completion.
- (17) Transit Section staff instructs the local applicant agency in the use of reporting forms and vehicle records.
- (18) Invoice approval. The Transit Section staff completes the Vehicle Acceptance Form (refer to [Appendix U](#)) and attaches it to the invoice for final payment approval by the Transit Section supervisor.

## **J. Capital Ownership and Title**

### **1. Title and Lien**

The dealer provides a Certificate of Origin for a vehicle (MSO), Dealer Bill of Sale, and Odometer Mileage Statement at the time of delivery. Each title must be in the name of the applicant/sub-recipient agency with the MDT/Rail, Transit, & Planning Division as the only lien holder. The MDT's Rail, Transit, & Planning Division represents the Federal Government on the lien for administrative purposes.

The completed lienholder portion of the MSO forces a lien on the vehicle (refer to appendix A of [Appendix V](#) “Vendors Delivery Sheet”). A “Notice of Security Interest or Lien Filing” form is then returned to the MDT by Motor Vehicles after the lien is in place.

The applicant/sub-recipient agency shall maintain the title for each program vehicle purchased through the Transit Section. The Notice of Lien Filing will be retained by the Transit Section and will not be released until the transit project is terminated.

2. Accountability

All vehicles and facilities will be accounted for until they reach the end of their useful life, are no longer used, or are incapable of being used for transit service. Under any of these conditions, the Transit Section will be contacted for disposition of the vehicle or facility.

The operator of each program vehicle and facility is subject to Transit Section reporting requirements. The reporting requirements of all programs include information relative to: operations, ridership, performance, and operational cost data (refer to [Appendix D](#)).

**K. Capital Inspection and Maintenance**

a) Vehicle

After a vehicle’s initial inspection at the time of purchase, the Motor Carrier Services (MCS) representative will inspect each project vehicle biennially at the sub-recipient agency location.

The MCS staff prepares a Vehicle Inspection Report (refer to [Appendix AA](#)) for each project vehicle. The inspection covers vehicle tires, glass, engine, transmission, brakes, steering, exterior and interior condition, as well as an inspection of the wheelchair lifts if the vehicle is lift-equipped.

The main purpose of the inspection is to determine if the vehicle has been properly maintained and is in a safe operating condition.

The Transit Section requires that all sub-recipients to have a written maintenance plan. This maintenance plan lists the agencies goals and objectives and at a minimum addresses all areas of the vehicle (chassis, body, wheelchair lift, securement stations, and all other ADA areas) through the form of daily, monthly, and annual checklists. ([Appendix E](#)). The agency must also have its maintenance plan adopted by its governing board. The Transit Section will review the maintenance plan during the application process for operating/capital funds or when the Transit Section does a compliance/good practices review on the agency.

At that time Transit Section staff will visit with the agency to determine if additions or deletions are needed.

b) Facility

After a facility has been constructed and the final punch list is complete, the Transit Section will inspect each facility biennially.

The Transit Section prepares an On-Site Facility Inspection Report for each facility and requires each facility to submit a written maintenance plan. The inspection covers all facility moving parts (room doors, garage doors, lifts), restrooms, ADA feature compliance, carpeting, paint, walls, flooring, and wash bays.

The main purpose of the inspection is to determine if the facility has been properly maintained and is in a safe operating condition.

**L. Insurance**

The Transit Section requires each applicant agency to have sufficient property damage and liability insurance to cover the vehicle, equipment and passengers at the time the agency takes possession of the vehicle and thereafter until vehicle disposition. The Transit Section will review verification of insurance and future insurance changes during on-site reviews. Verification, in the form of a "hard copy" certification of insurance, is required and imputed into PTMS annually and required prior to financial reimbursement.

**M. Vehicle Transfers**

The following procedures are to be followed for the transfer of program vehicles should a local agency wish to discontinue service or cease operation of a vehicle:

1. The local agency notifies the Transit Section in writing of its intention to request a transfer of a vehicle.
2. The Transit Section will attempt to find a qualified agency needing a vehicle. (This may be the next unfunded applicant on Capital Assistance Review priority list.)
3. The agency requesting the vehicle may choose to view the vehicle to be transferred noting rehabilitation and/or replacement needs.
4. Transit Section staff will determine the fair market value of the vehicle/equipment and obtain quotes for any required rehabilitation.
5. The new vehicle recipient is required to pay the local match share (if applicable) of the vehicle/equipment fair market value.

6. The original vehicle owner receives the local match share of the vehicle/equipment fair market value minus any costs involved to bring the vehicle up to a sufficient maintenance level and any required replacement costs. If these costs result in a total amount higher than the local match share through vehicle/equipment maintenance neglect, the original vehicle owner is liable for these additional costs.
7. If necessary, the Transit Section will have the transfer vehicle rehabilitated and initiate a title transfer. The GOJ "Release of Security Interest or Lien" form must be completed and submitted with the current vehicle title to initiate the title transfer (refer to [Appendix W](#)).
8. Upon completion of vehicle rehabilitation, the Transit Section and the new vehicle recipient will inspect the vehicle and obtain proof of vehicle insurance. The new agency then takes possession of the vehicle, the title, and the DOJ lien release form
9. When the new title had been applied for by the receiving agency, the Transit Section staff will: add the transfer to the program of projects under the current year's grant, make necessary changes to the vehicle project file, instruct the new agency in preparation of required reports, and transfer project reporting requirements to the new agency.

**N. Surplus Capital**

When vehicles, equipment, and/or real property are no longer needed for the original project or program and MDT holds title the capital will go to auction. The Transit Section will coordinate with the Department of Administration to list the capital on the state surplus website. Proceeds from the sale will go back into the transit grant program to be used on other capital needs.

**O. Useful Life**

The Transit Section has developed the following vehicle useful life policy for the purpose of evaluating vehicle disposition requests, lien releases, and capital replacement applications.

The vehicle useful life policy is as follows:

<u>Vehicle Classification</u>	<u>Useful Life Miles</u>	<u>Years</u>
<b>Light Duty</b> Mini Van	100,000	7

Conversion Van	100,000	7
Gas Extended Van	100,000	7
Diesel Extended Van	150,000	7
Gas Bus	100,000	7
Diesel Bus	150,000	7
Low Floor Bus	150,000	7
Hybrid Bus	150,000	7
Sprinter Van	175,000	8

**Medium Duty**

Raised Floor Bus	300,000	8
Low Floor Bus	300,000	8
Hybrid Bus	300,000	8

**Heavy Duty**

Transit Bus	350,000	10
Motor Coach	500,000	12

The primary criteria in determining the vehicle useful life is mileage. The model year of the vehicle will be considered only after the Transit Section determines that the vehicle's mileage has been at or greater than the mileages listed in the above table. MDT does not purchase used vehicles so no useful life is noted in this section.

On rare occasions, a local sub-recipient may have a vehicle that needs replacement prior to reaching its designated mileage. The Transit Section will consider these exceptions on a case-by-case basis.

Real property will have a minimum useful life of 40 years and any capital improvements to real property will be evaluated on a case-by-case basis to determine useful life.

**P. Disposition**

MDT requires involvement in the disposition of capital if that capital has not met the useful life and the assumed value greater than \$5,000. When vehicles, equipment, and/or real property are no longer needed for the original project or program, agencies must submit disposition actions to the Transit Section.

The preferred method of disposition is the transfer of vehicles to another Transit Section applicant/sub-recipient. Under a transfer arrangement, the sub-recipient disposing of the vehicle(s) shall receive payment for their pro-rata share of their local investment based on the fair market value of the vehicle(s) and/or equipment.

In the event of loss due to casualty, fire, or theft the insurance settlement will go toward the replacement of lost items.

Disposition of real property requires MDT to obtain the fair market value to determine the pro rata share of the original investment. Prior to the disposition, MDT will contact FTA for assistance and approval of its value and how the funds from its sale will be re-entered into the Transit program by the subrecipient and MDT.

1. Fair Market Value

Procedures for determining the fair market value of a vehicle are as follows:

- \* Vehicle Actual Total Cost times (X) Annual Depreciation Factor = Annual Depreciation
- \* Vehicle Actual Total Cost minus (-) Annual Depreciation = Fair Market Value

Annual Depreciation Factor

Year	1 – 25%
	2 – 10%
	3 – 10%
	4 – 10%
	5 – 10%
	6 – 10%
	7 – 10%
	8 – 10%
	9 – 5%

Added value is calculated for low mileage.

Fair market value for facilities will be determined by independent appraisal.

2. Disposing of Vehicles and Equipment

Vehicles purchased by the Transit Section as a representative and administering agent of the Federal Government are not subject to State of Montana property disposal laws since State funds were not involved in the purchase.

All vehicles will be disposed of and removed from the Transit Section's inventory and jurisdiction at the end of their useful life.

The Transit Section uses the following disposition procedures:

- a. At such time a program vehicle reaches the end of its useful life, Transit Section staff will make a determination as to whether:

- (1) The vehicle is wanted or needed by another Transit Section applicant/sub-recipient;
    - (2) The agency, if applying for a new vehicle, wishes to use its local match pro-rata share for trade-in value toward its local match for a new vehicle;
  - b. Under any of the above conditions, the Transit Section will initiate a release procedure and determine the fair market value of the vehicle to be disposed of.
  - c. Unless the Transit Section decides to rehabilitate the vehicle, the Transit Section will release the lien on the vehicle title.
  - d. The applicant agency either receives its local match pro-rata share of the vehicle disposal value at the time of vehicle sale or if the agency has an approved application the local match pro-rata share can be applied toward vehicle trade-in value.
  - e. If the vehicle is to be used for trade-in, the vendor subtracts the trade-in value from the cost of the new vehicle.
  - f. In any case where the vehicle is transferred, traded or sold and the appraised value of the vehicle is greater or equal to \$5,000, the Transit Section staff completes the "Vehicle Sale" form and files in the vehicle folder (refer to [Appendix X](#)).
3. Transit Section Release Procedure
- a. At the end of each calendar year and if a vehicles useful life has been met, the Transit Section will pull the vehicle project file with all pertinent records and vehicle lien.
  - b. Transit Section staff will determine the applicant agency's disposal preference, inspect the vehicle, and establish the fair market value of the vehicle to be disposed of.
  - c. Unless the vehicle is to be rehabilitated, the Transit Section in the month of January will release the lien to applicant/sub-recipient agency if the vehicle has met the useful life policy.
  - d. The Transit Section will remove the project reference from its inventory.
4. Early Lien Release
- a. If an agency requests the release of a vehicle that has not met the useful life policy the following must take place.

- (1) The sub-recipient must make a formal request in writing to the Transit Section requesting the release of the equipment. The request must include:
  - (a) The Montana vehicle project number and vehicle identification number
  - (b.) An explanation of what has happened to the equipment (i.e. Engine, Transmission, A/C-Heater system) to justify an early release. The agency must also provide an estimated cost of the repair.
  - (c.) The agency must provide its current maintenance plan and preventative maintenance file for the equipment that is being requested for release.
  - (d) The warranty of the equipment must have expired for a minimum of three years and the federal share of the repair costs must be more than the appraised value of the federal share of the equipment.
- (2) Once the Transit Section receives all documentation it will evaluate the information for disposition of the vehicle.

#### **IV. TECHNICAL ASSISTANCE AND TRAINING**

The Transit Section provides technical assistance and training to small urban and rural private and public transit operators. This assistance is geared toward developing competent transit management and improving the effectiveness of transit operations.

A variety of technical assistance services such as planning, vehicle and equipment procurement, project management, and management evaluation are provided. The Transit Section also maintains a library for technical reference by local operators and offers driver and passenger assistance training. Following is more information about these services:

##### **Technical Assistance**

##### **1. Planning and Project Development**

The Transit Section provides planning and project development assistance on request from a community or local agency.

Each applicant is required to address vehicle maintenance, scheduling and marketing in their TDP. In smaller communities and rural areas, the Transit Section provides technical assistance. The use of a consultant may be necessary in larger communities. In these cases, the Transit Section will provide assistance to applicants in developing a Request for Proposal (RFP) and recommending consulting firms.

## 2. Vehicle and Equipment Procurement

The Transit Section assists MDT's Purchasing Services Bureau with the procurement of grant-related equipment through specification writing and vehicle design, maintaining a vendor file, maintaining the federal requirements list, contacting vendors, capital equipment procurement, and performing vehicle inspections. Additional information concerning procurement involvement by the Transit Section is in Section III (H).

## 3. Project Management

The Transit Section provides information and technical assistance to its sub-recipients.

In addition to support provided through telephone conversations, email communication, and on-site meetings, the Transit Section has developed several publications, technical assistance papers, and forms that help sub-recipients with transportation project management.

The Transit Section also maintains a library for use by sub-recipients. Major subjects covered include: transit law and regulations, planning and design of transit systems, operations and management, marketing, maintenance, finance and accounting, insurance, safety, training and labor relations, special transit features, and transit organizational issues.

## 4. Compliance and Good Practices Reviews

The Transit Section conducts compliance and good practices reviews for selected sub-recipients ([Appendices G and H](#)). The reviews are part of a technical assistance effort. After completion of a review, the Transit Section provides technical assistance to improve a sub-recipient's deficient areas and to document exemplary performance to share with other transit systems.

## Training

The Transit Section conducts training for drivers, dispatchers and management. This training is performed by state staff, vendors supplying vehicles, or contracted with an outside individual or organization. The Transit Section has a training specialist on staff who researches, coordinates and presents training programs. This training is conducted statewide, regionally or individually.

The training consists of seminars and workshops on rural transit management operations topics. The Transit Section works directly with sub-recipients to identify training needs and develop a yearly training program. The Transit Section encourages sub-recipients to attend these training sessions and can be financially assisted through the Montana RTAP Scholarship Program.

The Transit Section provides the following training programs for sub-recipients:

1. Passenger Assistance Service and Safety Certification Training
2. Advanced Defensive Driving
3. Transit Orientation for new provider staff
4. Annual Fall Transit Management Workshop

In addition to the above training, the Small Urban and Rural Transit Center (SURTC) has an audio/visual library of training materials. The training materials in this library are used in conjunction with the above training for reinforcement. Sub-recipients also use the library materials for in-house training.

### **MTA Conference**

The MTA, in conjunction with the Transit Section, sponsors a spring conference each year which includes transit related topics and training sessions for rural and urban operators.

## **V. PROGRAM OF PROJECTS**

### **Section 5303/5304**

#### **1. Application Process**

Upon FTA allocation notification, the Statewide & Urban Planning Section and Transit Section informally determine program needs and local agency needs.

The Statewide & Urban Planning Section sends a letter to the three MPOs formally requesting a draft of their UPWP by July 1 of each year.

The Statewide & Urban Planning Section reviews the MPOs' draft UPWPs, provides written comments, and requests any changes, additions or deletions if needed. Depending on the action taken, the Statewide & Urban Planning Section transmits an approval letter to each MPO.

Upon approval of the UPWP, the MPO requests are added to the Section 5303 Program of Projects along with the Transit Section Planning program and local agency requests for the Section 5304 portion of the grant.

#### **2. Grant Time Line and Allocation**

- |         |   |  |
|---------|---|--|
| May 1-  | * | Request for UPWP update sent to MPOs                                 |
|         | * | Transit Section determines Section 5304 needs.                       |
| Jul. 1- | * | MPO draft UPWP due to Statewide & Urban Planning Section for review. |

- \* Statewide & Urban Planning Section & Transit Section draft of Section 5303/5304 needs completed for review.
- Jul. 15-
  - \* Review of completed MPO, Transit Section and local agency needs.
  - \* Statewide & Urban Planning Section sends letter approving UPWP to MPOs.
- Aug.
  - \* Statewide & Urban Planning & Transit Sections begin preparation of State Section 5303/5304 grant application to FTA.
- Sept. 30-
  - \* State application is completed and submitted to FTA upon final local approval of UPWPs.
  - \* Notification from FTA of State Section 5303/5304 application approval
  - \* State/FTA Section 5303/5304 contract execution.
  - \* Local Sub-recipient/State Section 5303/5304 contract execution.
- Oct. 1-
  - \* Section 5303/5304 grant funds available to the Statewide & Urban Planning Section & Transit Sections for allocation.
  - \* Contracts finalized and executed between State and MPOs.

### 3. Minimum Requirements

- a. Section 5303/5304 funds must be used for planning, engineering, designing, evaluation of urban public mass transportation projects, a development of transportation plans or other approved studies.
- b. Applicants filing for a pass through grant must be a local public body or agency.
- c. All local private for profit and nonprofit agencies must request Section 5304 funds through the Transit Section. These grants, if approved, will be administered on a contract basis through the Transit Section.

### 4. Selection Criteria for Grant Application

- a. There is no selection criteria for MPO proposed Section 5303 projects.
- b. Proposed local, MPO and State projects shall give consideration to FTA national emphasis areas.

- c. The Transit Section will give a high priority to projects involving preparation of TDPs for applicants (in communities over 20,000) it anticipates will be funded under Section 5310 or Section 5311.

## 5. Reporting

The three MPO's are required to submit a quarterly planning status report to the Statewide & Urban Planning Section describing Section 5303 work performed relative to their UPWP as well as a unified work program expenditure summary (refer to [Appendix C](#)).

Consultants are required to submit quarterly status and expenditure reports to be reimbursed for their services.

The Transit Section submits a Milestone Report and Financial Report (refer to [Appendix J](#)) to FTA via TrAMS including a summary of MPO activities.

## 6. Monitoring

The Statewide & Urban Planning Section and Transit Section perform a review of all quarterly status and expenditure reports.

If the staff has reason to question any submitted reports, they will investigate the projects before processing any further claims.

The Statewide & Urban Planning Section performs an MPO planning certification process and UPWP review.

All products resulting from Section 5303/5304 projects must be forwarded to the State when completed. State staff then reviews the products. The State disburses project grant funds including final payment to the agency if the products are in conformance with contract and work program requirements.

## Section 5310

### 1. Application Process

All Transit programs with coordinated plans are provided with applications for 5310 funding. The Transit Section provides training at the Fall Management workshops on how to apply for 5310 Capital.

Upon receiving the completed formal applications the Transit Section reviews, screens and ranks the applications on content according to a ranking process. The State CAR Committee performs a second ranking based on need for the project. These two scores are then averaged for each application. The number of applicants funded depends on federal

funding appropriated to the state. Final approval is provided by the MDT Director.

## 2. Grant Time Line and Allocation

- |           |   |  |
|-----------|---|--|
| October   | * | Transit Management Workshop  |
| Nov - Feb | * | Local agencies complete formal applications.   |
|           | * | Transit Section staff provide assistance to agencies in preparation of formal applications.    |
| March 1   | * | Applicants send applications to the Transit Section.   |
| Mar - May | * | Transit Section staff reviews and ranks applications.  |
| June      | * | The Capital Assistance Review Committee reviews and ranks applications based on need.          |
|           | * | Transit Section staff averages ranking scores and develops a Program of Projects.              |
|           | * | MDT Management is provided a priority list for review and approval.                            |
|           | * | Preparation of State Section 5310 Grant Application.   |
|           | * | Transit Section submits State Section 5310 Grant Application via TrAMS to FTA.                 |
|           | * | FTA approval notification of State Section 5310 Grant Application.                             |
| July 1    | * | State/FTA Section 5310 Contract Execution  |
|           | * | Local Sub-recipient/State Agreement Contract Execution (refer to <a href="#">Appendix Z</a> ). |

## 3. Minimum Requirements

- a. Applicants for Section 5310 funds must be:
  - (1) States (for all areas under 200,000 in population) and designated recipients

- (2) Subrecipients: states or local government authorities, private non-profit organizations, or operators of public transportation that receive a grant indirectly through a recipient.
- b. The applicant must show an established need for the project.
- c. The applicant must demonstrate the ability to work with the elderly and/or persons with disabilities.
- d. The elderly and persons with disabilities must be included in the decision-making process.
- e. The project must have the approval of the local transit operator, if applicable, and be designed to complement other systems of public transportation, including local bus and taxi systems.
- f. The project sponsor must be capable of providing dispatch, fuel, maintenance, insurance, personnel and any other operational costs.
- g. The project sponsor must provide matching funds, and have them available prior to vehicle delivery.
- h. The project sponsor must have good management, operational and accounting capabilities.
- i. The project sponsor should provide driver training which emphasizes:
  - (1) Special needs of the elderly and persons with disabilities;
  - (2) Defensive driving;
  - (3) First Aid and CPR;
  - (4) Public relations.
- j. The project sponsor must identify the service area including:
  - (1) The number of elderly and persons with disabilities to be served by the program in the area; and
  - (2) The extent to which the project is coordinated with existing public transportation, as well as existing elderly and persons with disabilities programs in the service area.
- k. The application must be part of a locally developed coordination plan and the local Transportation Advisory Committee (TAC) must endorse the Section 5310 application.

- l. Private operators in the applicant’s service area will be given an early opportunity to participate in the development of new transportation services.
- m. The Section 5310 applicant must have a complaint procedure in place to resolve any local disputes.

4. Selection Criteria for Grant Application

Applicants that satisfy program minimum requirements are considered as potential grant candidates.

Transit Section staff review applications for content and rank them on a 100-point scale according to the following criteria:

**CAPITAL ASSISTANCE REVIEW RATING CRITERIA**

<u>Criteria</u>	<u>Possible Points</u>
<b>Compliance</b>	70
<ul style="list-style-type: none"> <li>• Coordination Plan Participation</li> <li>• Timely Reporting</li> <li>• Application Submitted on time</li> <li>• Training (Recommended Best Practices)</li> </ul>	
<b>Need</b>	30
<ul style="list-style-type: none"> <li>• Outline Specific Use of Capital</li> <li>• Intended Use (Replacement/Expansion)</li> </ul>	
<b>TOTAL POINTS</b>	<b>100</b>

The Transit Section then averages the ranking scores of both the Transit Section and Capital Assistance Review Advisory Committee and totaled. The applicant with the highest average score is ranked first priority and the applicant with the lowest average score is ranked last.

5. Reporting

Transit Section and recipient staff inspects equipment before the equipment is turned over to the grant recipient.

Sub-recipients must keep daily passenger reports which record the number of elderly, disabled and other passengers who ride the vehicles as well as operational costs (refer to [Appendix D](#)).

Sub-recipients must enter into PTMS a quarterly report (refer to [Appendix D](#)) on a quarterly basis to the Transit Section that details project operations, ridership, performance and financial information.

Failure to report within 60 days of the close of the quarter could result in forfeiture of the equipment.

The Transit Section submits an Annual Program Status Report and Financial Status Report to FTA via TrAMS within 30 days after the end of the reporting period.

## 6. Monitoring

Motor Carrier Services staff inspects equipment purchased through the Montana Section 5310 Program biennially.

The Transit Section reviews and monitors all Section 5310 project quarterly reports through PTMS.

Transit Section staff also conduct a compliance review for each project every three years.

## Section 5311

### 1. Application Process

After the Transit Section receives the State annual Section 5311 program allocation level from FTA, the staff determines the total amount of Section 5311 allocation that will be available for intercity bus and Section 5311 sub-recipients. Fifteen percent of the appropriation is dedicated to the intercity bus program.

The Transit Section may reserve a portion of the annual apportionment to assist sub-recipients in complying with federal and state regulations and requirements. The balance is allocated to qualifying public transportation systems. A sub-recipient's allocation amount may be used for capital and/or operating assistance grants. However, the Transit Section gives priority to operating grants first and then allocates remaining funds to capital.

The Transit Section determines a base allocation amount calculated on Ridership and Mileage. Transit providers are divided into 4 brackets: over 100,000 rides, 50,000 to 100,000 rides, 10,000 to 50,000 rides and under 10,000 rides per year. Each bracket is provided with a percentage of 5311 operating funds based on historical amounts provided to transit services. Each service receives a percentage of that bracket's allocation based on a funding formula:

Ridership over 50,000 – formula based on 100% ridership  
50,000 – 100,000 – formula based on 100% ridership  
10,000 – 50,000 – 75% ridership, 25% mileage  
Less than 10,000 – 100% mileage

All current Section 5311 sub-recipients will receive funding that will equal one of the following:

- their formula amount
- 10% above the amount they expended in the last full year of data
- no increase greater than 15%
- no decrease more than 10%
- their request

A cap was placed on how much each transit provider could increase or decrease their funding allocation to prevent extreme fluctuations in grant amounts over a one year period. (see [Appendix BB](#) for FY2014 allocation table)

Upon receiving the applications, the Transit Section reviews each project's capital and/or operating assistance requests. After application review, the Transit Section prepares and electronically submits a program of projects and the Section 5311 grant application to FTA.

## 2. Grant Time Line and Allocation

- |            |   |  |
|------------|---|--|
| Nov. 1     | * | Transit Section updates MDT website with consolidated application establishing application submittal date deadline of Mar 1. |
| March 1    | * | Applicants submit consolidated applications to the Transit Section.  |
| Mar. – May | * | Transit Section staff reviews applications of current sub-recipients and makes selection based on selection criteria.        |
| May        | * | Transit Section notifies applicants of selection results.  |
| June       | * | Preparation of Section 5311 Grant Application.   |
|            | * | Submit State Section 5311 Grant Application to FTA.  |
|            | * | FTA approval notification of State Section 5311 Grant Application.   |
| July 1     | * | State/FTA Section 5311 Contract Execution  |
|            | * | Section 5311 grant funds available to the Transit Section for allocation.  |

\* Local Sub-recipient/State Contract Execution.

### 3. Minimum Requirements

- a. The applicant must be a public agency, a governing body of an Indian Tribe, a nonprofit organization or a private transportation operator under contract for services with a public agency.
- b. Local public officials must designate only one applicant in a service area.
- c. The proposed system must provide transportation service to the general public and must be full-time fixed route or a demand response dispatch system. The system must be equipped and available to serve the needs of the elderly, semi-ambulatory, wheelchair-confined and other disabled and transit-dependent public. The applicant is subject to the Americans with Disabilities Act of 1990, and Section 504 of the Rehabilitation Act of 1973, both of which address what the system must do to provide transportation to persons with disabilities.
- d. The proposed system must be available to provide service to the general public a minimum of 40 hours per week.
- e. The proposed system must advertise, at least monthly, in the local newspaper that the transportation service is for use by the general public and operates during regular commuter hours.
- f. The transit vehicles cannot be marked in any way that represents exclusive use for a specific organization or clientele.
- h. A first-time applicant must show that there will be an increase in the ridership or quality of service as a result of the requested Section 5311 grant.
- i. The applicant must have the legal, fiscal and managerial capabilities to receive and disburse Section 5311 funds. All recipients must meet OMB Circular A-133 requirements:

Non-federal entities that expend \$500,000 a year in Federal financial assistance shall have a single or program-specific audit conducted for that year.

Non-federal entities that expend less than \$500,000 a year in federal awards are exempt from Federal audit requirements for that year.

- j. The applicant must insure that adequate funds are available to match Section 5311 funds and to provide for ongoing operations.
- k. The applicant must be willing to sign a warrant assuring the State of Montana that labor protection standards issued by the Department of Labor (DOL) will be followed.

#### 4. Selection Criteria for Grant Application

The Transit Section evaluates Section 5311 applications based on the following criteria:

- a. The documentation of need for a public transportation system in a community;
- b. The demonstrated effort of a community to support and use a public transportation system;
- c. The extent of commitment from local organizations and existing transportation providers to coordinate services;
- d. The quality and thoroughness of the TDP or consolidated coordination plan;
- e. The innovative nature of the project;
- f. The efficient and practical justification of project revenues and expenses; and
- g. The extent to which the project will comply with federal regulations concerning EEO, Title VI, DBE, Section 13(c) and Section 504/ADA.

#### 5. Reporting

Section 5311 recipients must submit quarterly reports through the PTMS program relative to operations, ridership, performance, and financial costs. In addition, Section 5311 operators must conduct a reimbursement calculation and determine DBE goal achievement (refer to [Appendix D](#)). Failure to report within 60-days of the close of the quarter may result in non-payment of that quarters funding.

The Transit Section sends an Annual Program of Projects Status Report and Financial Status Report to FTA via TrAMS within 30 days after the 4<sup>th</sup> quarter reporting period (refer to [Appendix K & L](#)).

#### 6. Monitoring

Transit Section staff reviews the agency quarterly reports in PTMS upon submittal. Subject to Transit Section approval, the Transit Section reimburses sub-recipients for services performed. All four quarterly reports must be submitted even though project service reimbursement may take place in a shorter period of time.

Motor Carrier Services staff biennially inspects vehicles and/or equipment procured under the Section 5311 Program.

The Transit Section conducts compliance reviews with every three years using a comprehensive compliance review tool.

## 7. Drug and Alcohol Testing Policy and Procedures

Subrecipients and contractors of FTA Section 5311 funds must have a drug and alcohol testing program compliant with 49 CFR Part 40 and Part 655 as amended. Subrecipients and contractors must also have a compliant drug and alcohol policy statement that has been approved and adopted by their governing board. The Transit Section certifies their compliance and forwards the information to FTA.

The Transit Section assists public operators with drug and alcohol program policy development, reasonable suspicion supervisor training, and other support as requested.

Section 5311 sub-recipients must submit quarterly reports on PTMS containing the necessary information pertaining to the drug and alcohol testing activity during the quarter. The information entered in PTMS must be verified with written documentation before reimbursements will be dispersed.

The Transit Section has implemented the following procedures to ensure Section 5311 subrecipients comply with FTA's drug and alcohol testing program requirements:

- a. The Transit Section requires subrecipients and their contractors to maintain a file of credentials on the Medical Review Officer (MRO), Substance Abuse Professional (SAP), laboratory and collection personnel.
- b. Section 5311 agreements include language reflecting that the subrecipients must be in compliance with the FTA drug and alcohol rules ([refer to Appendix Z](#)).
- c. The Transit Section monitors the drug and alcohol programs of Section 5311 subrecipients in the following manner:

- (1) Section 5311 subrecipients must submit a quarterly drug and alcohol report on all testing activity to the Transit Section (refer to Appendix F).
- (2) Transit Section staff reviews Section 5311 drug and alcohol programs during on-site reviews.
- (3) The Transit Section provides mandatory training as needed and necessary to ensure that Section 5311 subrecipients have creditable drug and alcohol programs in place.
- (4) Transit section staff reviews collection facilities to ensure the facilities and collectors are in compliance with 40 CFR Part 40.
- (5) After receiving user names and passwords from FTA, subrecipients electronically enter drug and alcohol testing data on FTA's Management Information System (MIS) website. Transit staff reviews and approves or rejects the data entered by the subrecipients and their contractors.

## **RTAP**

### **1. Application Process**

With the recommendation and concurrence of the MTA, the Transit Section prepares a program of projects listing the types of activities to be accomplished under the two RTAP categories of training and technical assistance. The Transit Section submits an annual RTAP funding request to FTA which is included as an element of the annual Section 5311 grant application.

Transit Section or MTA staff conducts most of the training sessions in Montana.

### **2. Montana RTAP Scholarship Program**

#### **a. Program Description**

The Montana RTAP Scholarship Program provides financial assistance to any RTAP eligible transit system wishing to attend a training program, professional development program, or educational conference.

The purpose of the RTAP Scholarship Program is to help offset some of the costs associated with attending the training programs in order to encourage and further the development of the skills and abilities of those persons involved in transit in rural and small urban areas. Eligible

training includes courses, seminars, workshops and conferences with subject matter specifically related to the transit industry. Training can be in-house, in-state, or out-of-state.

b. Eligibility

All Montana transit providers receiving Sections 5304, 5311, 5310, and 5339 Federal grants as well as public transit operators in small urbanized areas are eligible as long as the activities are primarily designed and delivered to benefit nonurbanized transit providers.

c. Eligible Expenses

Scholarships for eligible recipients, and costs for meals, accommodations and/or mileage and registration fees may be reimbursed 100%. Scholarship reimbursement amounts may change due to budget adjustments at the discretion of the Transit Section. In addition, all reimbursed per diem rates cannot be higher than the federal allowable rates.

d. Reimbursement

The Transit Section reimburses after proof of successful completion of the program and the following information:

- (1) detailed expense information;
- (2) receipts of all eligible expenses except meals;
- (3) copy of the course agenda (if not included with the application form);
- (4) program summary/evaluation report.

e. Application Process

Applicants must use a Montana RTAP Scholarship Application Form. A brochure or other descriptive material should accompany the application.

f. Selection Process

Transit Section staff reviews applications. Applicants must receive prior approval from the Transit Section before attending the event.

The Transit Section will evaluate applications based on:

- (1) The balance of funds remaining in the Scholarship Program;

- (2) Applicant eligibility;
- (3) Program applicability;
- (4) Previous Montana RTAP scholarship awards;
- (5) The number of Montana rural transit providers already participating in the requested program;
- (6) Thoroughness and completeness of application.
- (7) Attendance at MDT sponsored trainings.

3. Grant Time Line and Allocation

Refer to Chapter V. Program of Projects C.2. of this document.

4. Minimum Requirements

Requirements as stated in the Montana RTAP Scholarship Program apply.

5. Selection Criteria for Grant Application

The only selection criteria associated with the RTAP program is for scholarships.

6. Reporting

Persons awarded scholarships must submit a narrative summary report of the training session attended as a condition of reimbursement. The narrative can be found on the RTAP Reimbursement Form.

7. Monitoring

The Transit Section provides evaluation forms for each training session and keeps records of the number of persons attending each training course.

**Intercity Bus Program – Section 5311(f)**

1. Application Process

After the Transit Section receives the State annual Section 5311 apportionment from FTA, the staff determines the total amount of Section 5311 allocation that will be available for intercity bus and Section 5311 sub-recipients. MDT works to dedicate 15 percent of the apportionment to the intercity bus program. However, MDT normally requests a waiver from FTA to dedicate a set percentage to the needs of our intercity providers. MDT uses the following consultation process to determine the needs of the state.

**CONSULTATION PROCESS**

A. Identification of intercity bus providers in the State.

MDT will identify intercity bus providers through the following sources:

- Russell's Official National Motor Coach Guide;
- Websites of private intercity bus operators;
- Bus Industry Directories;
- State regulatory agency listings; and
- Trade associations, such as the American Bus Association and the United Motorcoach Association.

B. Activities the State will perform as part of consultation with identified providers and the intercity bus industry:

- MDT will hold a yearly consultation meeting with intercity providers in conjunction with the Fall MDT Transit Management Training.
- Meet with individual intercity providers periodically.
- Notify providers either through electronic mail or advertise in various locations around the State of availability of funds for the current year's intercity bus program.
- Inform intercity bus providers about the development of the locally developed, coordinated public transit-human services transportation plans and encourage their participation.

C. Opportunity for intercity bus providers to submit proposals for funding as part of the State's distribution of its annual apportionment.

- All transit applications are due March 1. Intercity service providers will submit their applications in conjunction with rural providers.

D. Direct correlation between the results of the consultation process and a determination that the State's intercity service needs are adequately being met.

- If routes are identified that are determined to have a need for intercity service, a meeting will be held with intercity providers to determine their interest in providing service.

## PROCEDURES FOR ASSESSING STATEWIDE NEEDS:

- A. Consultation with intercity bus service providers
- B. Assessment of current providers
  - Review Existing ICB services
  - Support Existing ICB services
  - Determine Balance for ICB Services
  - Determine Funding for New Services
- C. Review of TranPlan21 Public Telephone and Stakeholder Survey
- D. Current transportation demand modules
  - Toolkit for Estimating Demand for Rural Intercity Bus Service (TCRP, 2011)

A sub-recipient's allocation amount may be used for capital and/or operating assistance grants. However, the Transit Section gives priority to operating grants first and then allocates remaining funds to capital.

### 2. Grant Time Line and Allocation

- |            |   |  |
|------------|---|--|
| Nov. 1     | * | Transit Section updates MDT website with consolidated application establishing application submittal date deadline of March 1. |
| March 1    | * | Applicants submit consolidated applications to the Transit Section.  |
| Mar. – May | * | Transit Section staff reviews applications of current sub-recipients and makes selection based on selection criteria.          |
| May        | * | Transit Section notifies applicants of selection results.  |
| June       | * | Preparation of Section 5311 Grant Application.   |
|            | * | Submit State Section 5311 Grant Application to FTA.  |
|            | * | FTA approval notification of State Section 5311 Grant Application.   |
| July 1     | * | State/FTA Section 5311 Contract Execution  |

\* Section 5311 grant funds available to the Transit Section for allocation.

\* Local Sub-recipient/State Contract Execution.

### 3. Minimum Requirements

- a. Applicant must be a public agency, a governing body of an Indian Nation, a nonprofit organization or an established private transportation provider.
- b. Applicant must use funds to enhance intercity transportation with capital or operating improvements.
- c. Applicant must have the legal, fiscal and managerial capabilities to receive and disburse intercity funds.
- d. Applicant must insure that adequate funds are available to match intercity funds and to provide for ongoing operations. The local match must be from sources other than federal funds.

### 4. Selection Criteria for Grant Application

The Transit Section evaluates intercity applications based on the following criteria:

- a. Documentation of need for intercity enhancement in the area;
- b. Innovative nature of the project;
- c. Justification of project expenses; and
- d. Extent the project will comply with federal regulations concerning EEO, Title VI, DBE and ADA.

### 5. Reporting

Section 5311(f) recipients must submit quarterly reports through PTMS relative to operations, ridership, performance, and financial costs. In addition, Section 5311 operators must conduct a reimbursement calculation and determine DBE goal achievement (refer to [Appendix D](#)). Failure to report within 60 days of the close of the quarter may result in non-payment of that quarters funding.

The Transit Section sends an Annual Program of Projects Status Report and Financial Status Report to FTA via TrAMS within 30 days after the 4<sup>th</sup> quarter reporting period (refer to [Appendix K & L](#)).

## 6. Monitoring

Transit Section staff reviews the agency quarterly reports in PTMS upon submittal. Subject to Transit Section approval, the Transit Section reimburses sub-recipients for services performed. All four quarterly reports must be submitted even though project service reimbursement may take place in a shorter period of time.

Motor Carrier Services staff biennially inspects vehicles and/or equipment procured under the Section 5311 Program.

The Transit Section conducts compliance reviews with every three years using a comprehensive compliance review tool.

## Section 5339

### 1. Application Process

All Transit programs with coordinated plans are provided with applications for 5339 funding. The Transit Section provides training at the Fall Management workshops on how to apply for 5339 Capital.

Upon receiving the completed formal applications the Transit Section reviews, screens and ranks the applications on content according to a ranking process. The CAR Committee performs a second ranking based on need for the project. These two scores are then averaged for each application. The number of applicants funded depends on federal funding appropriated to the state. Final approval is provided by the Director of the Montana Department of Transportation.

### 2. Grant Time Line and Allocation

October	*	Transit Management Workshop
Nov - Feb	*	Local agencies complete formal applications.
	*	Transit Section staff provide assistance to agencies in preparation of formal applications.
March 1	*	Applicants send applications to the Transit Section.
Mar - May	*	Transit Section staff reviews and ranks applications.
June	*	The CAR Committee reviews and ranks applications based on need.

- \* Transit Section staff averages ranking scores and develops a Program of Projects.
- \* MDT Management is provided a priority list for review and approval.
- \* Preparation of State Section 5339 Grant Application.
- \* Transit Section submits State Section 5339 Grant Application via TrAMS to FTA.
- \* FTA approval notification of State Section 5339 Grant Application.
- July 1 \* State/FTA Section 5339 Contract Execution
- \* Local Sub-recipient/State Agreement Contract Execution (refer to [Appendix Z](#)).

### 3. Minimum Requirements

- a. Applicants for Section 5339 funds must be:
  - (1) States (for all areas under 200,000 in population).
  - (2) Subrecipients: public agencies or private nonprofit organizations engaged in public transportation, including those providing services open to a segment of the general public, as defined by age, disability, or low income.
- b. The applicant must show an established need for the project.
- c. The project must have the approval of the local transit operator, if applicable, and be designed to complement other systems of public transportation, including local bus and taxi systems.
- d. The project sponsor must be capable of providing dispatch, fuel, maintenance, insurance, personnel and any other operational costs.
- e. The project sponsor must provide matching funds, and have them available prior to vehicle delivery.
- f. The project sponsor must have good management, operational and accounting capabilities.

- g. The project sponsor should provide driver training which emphasizes:
  - (1) Special needs of the elderly and persons with disabilities;
  - (2) Defensive driving;
  - (3) First Aid and CPR;
  - (4) Public relations.
- h. Private operators in the applicant's service area will be given an early opportunity to participate in the development of new transportation services.
- i. The Section 5339 applicant must have a complaint procedure in place to resolve any local disputes.

4. Selection Criteria for Grant Application

Applicants that satisfy program minimum requirements are considered as potential grant candidates.

Transit Section staff review applications for content and rank them on a 100-point scale according to the following criteria:

**CAPITAL ASSISTANCE REVIEW RATING CRITERIA**

<u>Criteria</u>	<u>Possible Points</u>
<b>Compliance</b>	70
<ul style="list-style-type: none"> <li>• Coordination Plan Participation</li> <li>• Timely Reporting</li> <li>• Application Submitted on time</li> <li>• Training (Recommended Best Practices)</li> </ul>	
<b>Need</b>	30
<ul style="list-style-type: none"> <li>• Outline Specific Use of Capital</li> <li>• Intended Use (Replacement/Expansion)</li> </ul>	
<b>TOTAL POINTS</b>	<b>100</b>

The Transit Section then averages the ranking scores of both the Transit Section and Capital Assistance Review Advisory Committee and totaled. The applicant with the highest average score is ranked first priority and the applicant with the lowest average score is ranked last.

5. Reporting

Transit Section and recipient staff inspects equipment before the equipment is turned over to the grant recipient.

Sub-recipients must enter into PTMS a quarterly report (refer to [Appendix D](#)) on a quarterly basis to the Transit Section that details project operations, ridership, performance and financial information. Failure to report within 60 days of the close of the quarter could result in forfeiture of the equipment.

The Transit Section submits an Annual Program Status Report and Federal Financial Report to FTA via TrAMS within 30 days after the end of the reporting period.

6. Monitoring

Motor Carrier Services staff inspects equipment purchased through the Montana Section 5339 Program biennially.

The Transit Section reviews and monitors all Section 5339 project quarterly reports through PTMS.

Transit Section staff also conduct a compliance review for each project every three years.

**VI. GRIEVANCE PROCESS**

Any applicant may dispute the denial of funding and/or capital awards or the amount of the award. The applicant must submit in writing a letter appealing the decision within 30 days to the MDT Director. The Director will conduct a review of the process and funding decision. A decision will be issued by MDT based on the Director's findings.

**VII. COMPLIANCES AND ASSURANCES**

All local and State applicants must comply with various Federal requirements. These compliances and assurances, which must be signed by an authorized public official, are part of a formal application when submitted to the Transit Section. If a local application is approved, these compliances and assurances become part of the applicant/sub-recipient project contract. The Transit Section, when submitting State grant applications to FTA, is also required to execute certifications and assurances both on behalf of the State and with respect to local applicants.

- A. MDT annually agrees to comply with all requirements of the Annual List of Certifications and Assurances for Federal Transit Administration Grants and Cooperative Agreements. (Refer to [Appendix CC](#))
- B. An opinion of counsel indicates the statutory authority, with citation, which created the applicant as a public body and establishes the legal eligibility of the applicant to apply for and receive a Federal grant, to execute the project, and to expend its own monies in connection with the proposed work program. (Refer to [Appendix DD](#))

- C. A resolution for the governing body of the applicant must be provided and the resolution must formally authorize the applicant to:
- (1) Execute and file an application with FTA;
  - (2) Execute and file any assurances or other documents required to be provided; and
  - (3) Execute a grant agreement with FTA.

Grant documents must be executed consistent with the resolution. (Refer to [Appendix EE](#))

## VIII. SUSPENSION AND TERMINATION

MDT may suspend or terminate a grant if the following criteria are met:

- A. Suspension. The suspension of a grant is an action by MDT which temporarily suspends Federal assistance for a project pending corrective action by the sub-recipient or pending a decision to terminate the grant by MDT. If MDT determines that the sub-recipient has failed to comply with the terms and conditions of the Grant Agreement, including the civil rights requirements, MDT notifies the sub-recipient in writing of its intent to suspend the grant. MDT may withhold further payments and/or prohibit the sub-recipient from incurring additional obligations pending corrective action by the sub-recipient or a decision to terminate the project for cause. This includes work being performed by third party contractors or consultants. Unless MDT notifies the sub-recipient otherwise, suspension will not invalidate obligations properly incurred by the sub-recipient prior to the date of suspension to the extent that they cannot be cancelled.
- B. Termination for Cause. MDT may terminate a grant, in whole or in part, at any time before project completion, whenever it determines that the sub-recipient failed to comply with the conditions of the grant including failure to make reasonable progress. MDT will promptly notify the sub-recipient in writing of its intent to terminate and the reasons therefore and the effective date. Payments made to the sub-recipient or recoveries by MDT are in accordance with the terms of the Grant Agreement and the legal rights and liabilities of both parties as defined in the agreement.
- C. Termination for Convenience. MDT or the sub-recipient may terminate a grant in whole or part, when both parties agree that continuation of the project would not produce results commensurate with the further expenditure of funds. By signing the Grant Agreement, the sub-recipient agrees at the outset to a

termination for convenience in the event MDT makes such a finding. Both parties must agree upon the termination conditions, including the effective date and, in case of partial termination, the portions to be terminated. The sub-recipient may not incur new obligations for the terminated portion after the effective date and must cancel as many outstanding obligations as possible. MDT evaluates each obligation to determine its eligibility for inclusion in project costs. Settlement is made in accordance with terms and conditions of the Grant Agreement. MDT allows full credit to the recipient for the Federal share of the obligations (that cannot be cancelled) properly incurred by the sub-recipient prior to termination.

- D. Partial Termination. In some cases, MDT may de-obligate funds in an approved grant before close-out because the funds are no longer needed to accomplish the grant purpose.

## **IX. AGENCY PHASE OUT**

- A. Once an agency has established that it is no longer going to provide transit services, MDT transit will:
1. Obtain backup documentation with reasoning for closure.
  2. Discuss with management other possible solutions.

If another provider in the community chooses to provide the service, the following items must be completed:

3. A viable timeframe will be established.
4. Sub-recipient will be notified.
5. Ensure a smooth transition.
6. Keep riders updated on a regular basis.
7. Vehicles will need to be reassigned to the new provider.
8. Make sure all financials are in order.
9. Close contract with existing provider.

## APPENDICES

- A. FTA definitions
- B. Program Complaint Procedures
- C. Section 5303 MPO Annual Report
- D. PTMS Quarterly Report
- E. Preventive Maintenance Plan
- F. PTMS Drug and Alcohol Quarterly Report
- G. Section 5311 Compliance and Good Practices Review
- H. Section 5310 Compliance and Good Practices Review
- I. Section 5303/5304 Milestone Report
- J. Section 5310 Milestone Report
- K. 425 Financial Status Report
- L. Section 5311 Milestone Report
- M. Title VI Plan
- N. DBE Semi-Annual Report
- O. Application for Financial Assistance & Coordination Plan Outline
- P. Guidance for Financial Assistance & Coordination Plan Outline
- Q. Purchase Order
- R. Bus Contract Procedure
- S. Pre-Award/Post Delivery
- T. MDT Delivery Inspection Sheet
- U. Vehicle Acceptance Form For Planners
- V. Vendors Delivery Sheet
- W. Release of Security Interest or Lien
- X. Vehicle Sale
- Y. Section 5310 and 5311 Contract-Local Agency Agreement (Example)
- Z. Local Share Request (Example)
- AA. MCS Vehicle Inspection Form
- BB. Section 5311 Allocation Formula (Example)
- CC. Annual List of Certifications and Assurance for FTA Grants/Agreements
- DD. Opinion of Counsel
- EE. Authorizing Resolution
- FF. NTD Reporting

Appendix A

<http://www.ntdprogram.gov/ntdprogram/Glossary.htm>  
<http://www.fta.dot.gov/documents/2 - Definitions.pdf>

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## Appendix B

### **PROGRAM COMPLAINT PROCEDURES AGENCY**

To resolve conflicts involving AGENCY, the following complaint procedure has been established by AGENCY. The objectives of this policy include:

1. To provide all complaints a consistent expeditious and equitable means of adjusting grievances.
2. To protect the complainants right to file grievances without fear of reprisal or prejudice.
3. To set up a forum for review and settlement of complainant grievances.

#### **DEFINITIONS**

1. Complaint- a senior program participation related grievance or dispute initiated by a person or agency regarding program procedures, process or lack of process.
2. Hearing Committee- a committee of three members appointed by AGENCY. One committee member must receive the concurrence of the complainant, one committee member must receive the concurrence of the Senior Program Manager and the final member must receive the concurrency of both the complainant the Director. This member will also chair the hearing committee.

#### **PROCEDURE**

An informal inquiry period procedure shall be considered prior to any formal (written) complaint or grievance.

##### **Step I: Inquiry period**

Every effort should be made to find an acceptable solution at the lowest possible grievance procedure level within 15 working days of knowledge of the alleged incident.

The agency having the grievance may consult with the Director for informal discussion, investigation and possible resolution of the grievance during this time.

The Director has five working days to respond informally to the complaint or grievance. If the Director fails to respond within that time or if the Director responds to the complainant's dissatisfaction, the complainant may begin the Formal Grievance and Complaint Procedure.

##### **Step II: Formal Grievance and Complaint Procedure**

Within five working days of the Directors informal response or failure to respond, the complainant may submit by certified mail, a formal written grievance to the Director and a copy to AGENCY. The formal written grievance must contain the following information:

1. Name of Person Initiating the Grievance
2. Position Title
3. Agency Name if Applicable
4. Agency Address
5. Phone Number
6. Complaint Description
7. Desired Solution

#### **HEARING COMMITTEE**

The AGENCY will make arrangements for the hearing. Selection of a committee must be completed within ten working days. A committee of three persons will act as arbitrators for the grievance Committee members will be selected as defined in the "Definitions" section.

The hearing committee will conduct an inquiry on the grievance within ten working days after selection of the final committee member. Once the hearing date is set, the complainant shall be notified of the hearing date, time, and place of meeting by certified mail.

A complainant has the right to assistance by a representative of the complainant's choice at any step of the Formal Grievance and Complaint Procedure. Costs of representation shall be paid by the complainant. Basic principle of due process will govern a hearing. Both parties shall have:

1. Notice of specific complaints or charges;
2. The right to produce evidence, both in writing and through witnesses;
3. The right to question others who produce evidence;
4. The right to a recommendation by the hearing committee made strictly on recorded evidence.

A majority vote of the committee will determine the final decision.

The complainant will receive a copy of the hearing committee's recommendation and may state acceptance or rejection of the hearing committee's recommendation.

Either party may request a typed transcript of the hearing recording. The party requesting a transcript shall bear the cost.

All actions and reports shall accompany the final recommendation of the hearing committee.

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# Appendix C

## FEDERAL FINANCIAL REPORT

(Follow form instructions)

1. Federal Agency and Organizational Element to Which Report is Submitted  FEDERAL TRANSIT ADMINISTRATION	2. Federal Grant or Other Identifying Number Assigned by Federal Agency (To report multiple grants, use FFR Attachment)  MT-80-X022	Page <b>1</b>	of  pages
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3. Recipient Organization (Name and complete address including Zip code)  
  
MONTANA DEPARTMENT OF TRANSPORTATION

4a. DUNS Number  809791320	4b. EIN	5. Recipient Account Number or Identifying Number (To report multiple grants, use FFR Attachment)	6. Report Type <input checked="" type="checkbox"/> Quarterly <input type="checkbox"/> Semi-Annual <input type="checkbox"/> Annual <input type="checkbox"/> Final	7. Basis of Accounting  <input type="checkbox"/> Cash <input checked="" type="checkbox"/> Accrual
----------------------------------	---------	---	--	---

8. Project/Grant Period From: (Month, Day, Year) 10/1/2014	To: (Month, Day, Year) 12/30/2016	9. Reporting Period End Date (Month, Day, Year) 9/30/2015
--	--------------------------------------	--

10. Transactions Cumulative

*(Use lines a-c for single or multiple grant reporting)*

<b>Federal Cash (To report multiple grants, also use FFR Attachment):</b>	
a. Cash Receipts	\$377,007.00
b. Cash Disbursements	\$377,007.00
c. Cash on Hand (line a minus b)	\$0.00

*(Use lines d-o for single grant reporting)*

<b>Federal Expenditures and Unobligated Balance:</b>	
d. Total Federal funds authorized	\$548,006.00
e. Federal share of expenditures	378,234.58
f. Federal share of unliquidated obligations	\$156,405.63
g. Total Federal share (sum of lines e and f)	\$534,640.21
h. Unobligated balance of Federal funds (line d minus g)	\$13,365.79

<b>Recipient Share:</b>	
i. Total recipient share required	\$125,429.00
j. Recipient share of expenditures	94,559.68
k. Remaining recipient share to be provided (line i minus j)	\$30,869.33

<b>Program Income:</b>	
l. Total Federal program income earned	\$0.00
m. Program income expended in accordance with the deduction alternative	\$0.00
n. Program income expended in accordance with the addition alternative	\$0.00
o. Unexpended program income (line l minus line m or line n)	\$0.00

	a. Type	b. Rate	c. Period From	Period To	d. Base	e. Amount Charged	f. Federal Share
	11. Indirect Expense	Fixed	10.37%	7/1/2015	6/30/2016	431,636.71	\$ 41,161.66
<b>g. Totals:</b>					\$431,636.71	\$ 41,161.66	\$32,929.33

12. Remarks: Attach any explanations deemed necessary or information required by Federal sponsoring agency in compliance with governing legislation:

13. Certification: By signing this report, I certify that it is true, complete, and accurate to the best of my knowledge. I am aware that any false, fictitious, or fraudulent information may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)

a. Typed or Printed Name and Title of Authorized Certifying Official	c. Telephone (Area code, number and extension)
	d. Email address
b. Signature of Authorized Certifying Official	e. Date Report Submitted (Month, Day, Year)

14. Agency use only:

Standard Form 425  
OMB Approval Number: 0348-0061  
Expiration Date: 10/31/2011

**Paperwork Burden Statement**  
According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB Control Number. The valid OMB control number for this information collection is 0348-0061. Public reporting burden for this collection of information is estimated to average 1.5 hours per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0061), Washington, DC 20503.

# Appendix D

MDTA
Public Transportation Management System

[Getting Started](#) | [FAQ](#)

### Welcome to the Department's Public Transportation Management System

The department administers Federal and State capital and operating grant programs to provide assistance to qualified organizations providing transportation to the rural general public, including the elderly and disabled. All transit grantees are required to submit reports on a quarterly basis. These reports show detailed performance and cost information about the system during that quarter.

**Using this Public Transportation Management System, transit grantees can:**

- Manage their Agency and Vehicle information.
- Create Capital or Operating Assistance quarterly reports.
- Submit Capital or Operating Assistance quarterly reports.
- View Capital or Operating Assistance quarterly reports.

**ePass Montana**  
[Login to PTMS Using ePass](#)

Your initial access to the Public Transportation Management System is a two-step process. To begin, you must have an [ePass Montana](#) account to use the Public Transportation Management System.

If you don't have an ePass account, click "Login to PTMS Using ePass" and click Login. Next, click "Create an ePass account", and enter all the required fields.

If you have an ePass account, click on "Login To PTMS Using ePass". If you are an Agency click "ePass Montana Login" or if you are a State of Montana employee, click "State Employee Login" and enter your Username and Password.

[More Online Services](#) | [Privacy & Security](#) | [Accessibility](#) | [Montana Department of Transportation](#) | [Contact Us](#)

MDTA
Public Transportation Management System

Agency | Vehicle | Quarterly | Summary | Reports | Users
Great Falls Transit

### Agency Information

**\*Required Fields**

<b>Agency Id:</b> 1	<b>*Legal Name:</b> Great Falls Transit District	<b>*Transit Program:</b> Great Falls Transit	<b>End Date:</b> <input type="text"/>
<b>Region:</b> Urbanized	<b>*Email Address:</b> gm@gftransit.com	<b>Drug And Alcohol:</b> <input type="checkbox"/>	<b>Vendor ID:</b> <input type="text"/>
<b>Last Compliance Review:</b> <input type="text"/>	<b>MDT Inspected Facility:</b> <input type="checkbox"/>	<b>Inspection Date:</b> <input type="text"/>	<b>Facility Condition:</b> <input type="text"/>

**Contact Information**

<b>Contact First Name:</b> Jim	<b>Contact Middle Initial:</b> <input type="text"/>	<b>Contact Last Name:</b> Helgeson	<b>Website Address:</b> http://gftransit.com
<b>Street Address:</b> 3905 North Star Blvd.	<b>City:</b> Great Falls	<b>State:</b> MT	<b>Zip:</b> 59405
<b>P.O. Box:</b> 2353	<b>City:</b> Great Falls	<b>State:</b> MT	<b>Zip:</b> 59403
<b>Main Phone - Extn:</b> (406)-727-0382	<b>Alternate Phone - Extn:</b> ( ) - - -	<b>Fax Number:</b> (406)-727-0386	<b>Cell Number:</b> ( ) - - -

**Agency Demographics**

<b>Tribal:</b> <input type="checkbox"/>	<b>Intercity:</b> <input type="checkbox"/>	<b>ADA Facility:</b> <input checked="" type="checkbox"/>	<b>Voucher Program:</b> <input type="checkbox"/>
<b>Operational Days/ Week:</b> 6	<b>Agency Type:</b> Public Agency (Not Sta)	<b>Service Area:</b> Other	<b>Describe:</b> Great Falls and Black Eagle
<b>Travel Mode:</b> <input type="checkbox"/> Bus	<input type="checkbox"/> Vanpool	<input checked="" type="checkbox"/> Demand Response	<input type="checkbox"/> Other
<b>Travel Type:</b> Select One			<b>Describe:</b> <input type="text"/>
<b>Voluntary Drivers:</b> <input type="text"/>	<b>Total Vehicles:</b> 8	<b>Total ADA Vehicles:</b> 8	<b>Personal Vehicles:</b> <input type="text"/>

Appendix E

PRE-TRIP CHECKLIST

Agency \_\_\_\_\_  
\_\_\_\_\_  
Vehicle Project No.: MT - \_\_\_\_\_  
Date \_\_\_\_\_  
Driver: \_\_\_\_\_

\* OK  
+ Adjustment Made  
-- Needs Attention

---

A. Mileage:

Beginning \_\_\_\_\_ Total Miles  
Ending \_\_\_\_\_

---

B. Check:

<input type="checkbox"/> tires	<input type="checkbox"/> steering
<input type="checkbox"/> lights	<input type="checkbox"/> transmission fluid
<input type="checkbox"/> head (high & low)	<input type="checkbox"/> oil level
<input type="checkbox"/> tail lights	<input type="checkbox"/> radiator level
<input type="checkbox"/> flashers, emergency	<input type="checkbox"/> battery level
<input type="checkbox"/> parking	<input type="checkbox"/> gauges
<input type="checkbox"/> back-up	<input type="checkbox"/> radio
<input type="checkbox"/> turn signal	<input type="checkbox"/> cleanliness
<input type="checkbox"/> wipers, washers	<input type="checkbox"/> body damage
<input type="checkbox"/> brakes	

---

C. Fuel:

Gasoline added \_\_\_\_\_ gallons Mileage at fueling  
Oil added \_\_\_\_\_ quarts

---

D. Maintenance performed and by whom:

## WHEELCHAIR LIFT

### PRE-OPERATIVE SAFETY CHECK

---

Date \_\_\_\_\_

#### **Daily:**

- \_\_\_ Run the lift through one complete cycle to be sure that it is operable before attempting to pick up a passenger, and also check for seal leakage and the binding of hardware.
  - \_\_\_ Check for frayed or damaged lift cables, hydraulic hoses, or chains.
  - \_\_\_ Check for physical damage and jerky operation. Look for hazardous protrusions, exposed edges, etc. Make sure that all such protrusions are adequately padded and protected.
  - \_\_\_ Check all fasteners. All bolts should be snug.
  - \_\_\_ Make sure lift is properly secured to the vehicle when stored.
  - \_\_\_ Clean the lift completely of dirt, mud, gravel and corrosive elements such as salt.
  - \_\_\_ Make all necessary repairs immediately. Do not use a lift in an unsafe condition.
- 

Date \_\_\_\_\_

#### **Weekly:**

- \_\_\_ Lubricate all rubbing and bearing surfaces.
- \_\_\_ Lubricate sliding extension channel.
- \_\_\_ Check and lubricate manual controls (only lubricate the lift with the manufacturer's specified lubrication material).

PREVENTIVE MAINTENANCE  
SUGGESTED GUIDELINE

Date \_\_\_\_\_ Vehicle No. MT B \_\_\_\_\_ Mileage \_\_\_\_\_

---

**Every 3,000 miles do the following:**

Vehicle Raised:

- |   |  |
|---|--|
| <input type="checkbox"/> Drain engine oil and change filter             | <input type="checkbox"/> Check for wear and damage on all wheels and tires |
| <input type="checkbox"/> Lube front axle spindle pins/ball joints       | <input type="checkbox"/> Inflate tires to proper pressure                  |
| <input type="checkbox"/> Lube U-joints and check drive shaft components | <input type="checkbox"/> Fluid leakage of all types at all locations       |
| <input type="checkbox"/> Lube rear axle springs                         | <input type="checkbox"/> Brake and exhaust system components               |
| <input type="checkbox"/> Lube steering linkage                          | <input type="checkbox"/> All springs and attaching parts                   |
| <input type="checkbox"/> Check differential lube level                  | <input type="checkbox"/> All shock absorbers and attaching parts           |
| <input type="checkbox"/> Check transmission oil level                   | <input type="checkbox"/> Engine and transmission mounts                    |
| <input type="checkbox"/> Clean differential breather                    |  |
- 

Vehicle Lowered:

- |   |  |
|---|--|
| <input type="checkbox"/> Install engine oil                           | <input type="checkbox"/> Check windshield washer reservoir                                     |
| <input type="checkbox"/> Clean air cleaner and oil cap                | <input type="checkbox"/> Disconnect battery cables from battery.                               |
| <input type="checkbox"/> Lube distributor shaft oil cup (if equipped) | <input type="checkbox"/> Clean posts and terminals. Check for volt leakage. Load test battery. |
| <input type="checkbox"/> Lube throttle and kickdown linkage           | <input type="checkbox"/> Check brake pedal reserve   |
| <input type="checkbox"/> Lube hood hinges and latch                   | <input type="checkbox"/> Check vacuum brake assist   |
| <input type="checkbox"/> Check brake master cylinder fluid level      | <input type="checkbox"/> Check steering wheel play   |
| <input type="checkbox"/> Lube exhaust control valve                   | <input type="checkbox"/> Check power steering reservoir  |
| <input type="checkbox"/> Check for proper operation.                  |  |
| <input type="checkbox"/> Check radiator coolant level and protection. |  |
- 

Start Engine:

- |   |   |
|---|---|
| <input type="checkbox"/> Check for oil leaks            | <input type="checkbox"/> Road test brakes and check for proper operation of all other systems |
| <input type="checkbox"/> Check transmission fluid level |   |
- 

**In addition, every 15,000-20,000 miles do the following:**

Vehicle Raised:

- |   |   |
|---|---|
| <input type="checkbox"/> Lube and adjust parking brake      | <input type="checkbox"/> Drain automatic transmission (if equipped) |
| <input type="checkbox"/> Check steering linkage play        | <input type="checkbox"/> Adjust automatic transmission bands, both  |
| <input type="checkbox"/> Adjust service brakes if necessary | <input type="checkbox"/> Change fuel filter                         |
| <input type="checkbox"/> Adjust clutch if equipped          | <input type="checkbox"/> Repack front wheel bearings if required    |
- 

Vehicle Lowered:

- |  |   |
|--|---|
| <input type="checkbox"/> Lube exhaust control valve check for proper operation | <input type="checkbox"/> Lube transmissions shift linkage   |
| <input type="checkbox"/> Lube choke and throttle controls and linkage          | <input type="checkbox"/> Lube door locks, hinges, striker plates, and glove box door. Adjust as required. |

Vehicle Lowered (continued)

- Check brake master cylinder fluid level. Refill as required.
- Check steering gear box oil level and/or power steering reservoir. Refill as required.
- Check and adjust automatic transmission manual and throttle linkage
- Check condition of, and adjust, fan belts. Replace if necessary.
- Torque alternator/generator mounting bolts
- Clean PCV valve. Replace if necessary.
- Tighten all vacuum hose clamps and fittings
- Torque intake manifold bolts
- Test modulator vacuum

- Replace fuel filter
- Pressure test cooling system for leaks
- Replace spark plugs (ignition points and and condenser, if equipped), and compression test cylinders
- Refill automatic transmission.
- Align headlights
- Torque lug nuts
- Balance wheels
- Align front end if required
- Polish bus
- Scope check engine
- Check governor setting (if equipped), adjust if required.
- Check starter amperage. Check alternator output.

**In addition, every 24,000 miles do the following:**

Vehicle Raised:

- Check lower speedometer lock. Replace if missing.
- Lube clutch throw out bearings (if equipped)
- Torque spring hanger bolts, U-bolts, differential carrier bolts, and drive line bolts
- Inspect front brakes
- Repack front wheel bearings, if required
- Inspect rear brakes

Every 24,000 miles steam clean engine.

PREVENTIVE MAINTENANCE INSPECTION FORM

Vehicle Project No.: MT-

OK

Date: \_\_\_\_\_

Adjustment Made

Mileage: \_\_\_\_\_

-- Needs Attention

Prepare for Inspection

- Check driver's report
- Review Maintenance History
- Wash Vehicle

Start Up and Drive: (Check operation of)

- Starting
- Parking brake
- Service brake
- Transmission
- Horn
- Speedometer

Remain in Vehicle: (Check operation of)

- \_\_\_ Fuel gauge
- \_\_\_ Oil gauge
- \_\_\_ Battery Charging Gauge
- \_\_\_ Windshield washer and wipers
- \_\_\_ Steering wheel free play
- \_\_\_ Registration
- \_\_\_ Headlights, high indicator
- \_\_\_ Headlights, low
- \_\_\_ Turn signal, indicators

- \_\_\_ 4-way flasher, indicators
- \_\_\_ Interior lights
- \_\_\_ Instrument panel lights
- \_\_\_ Heater and defroster
- \_\_\_ Air conditioner
- \_\_\_ All window glass
- \_\_\_ Doors
- \_\_\_ Seats
- \_\_\_ Safety equipment

Outside Inspection: (Check operation of)

- \_\_\_ Hood
- \_\_\_ Bumpers, body damage
- \_\_\_ All lights
- \_\_\_ Front end, king pins, wheel bearings tie rod ends

- \_\_\_ Outside mirrors
- \_\_\_ Wheels and rims, tighten lugs
- \_\_\_ Tires, check wear, cracks and pressure Record \_\_\_\_\_ lbs. per sq. in.

Under Hood: (Check operation of)

- \_\_\_ Air compressor, mounting and belt tension
- \_\_\_ Steering gear and shaft (lube)
- \_\_\_ Power steering hoses and oil level
- \_\_\_ Throttle linkage
- \_\_\_ Water pump and fan belt
- \_\_\_ Water pump and fan hub (lube)
- \_\_\_ PCV valve, clean/change
- \_\_\_ Air filter, change
- \_\_\_ Exhaust system, tighten
- \_\_\_ Engine oil, change
- \_\_\_ Oil filter, change

- \_\_\_ Fuel filter, change
- \_\_\_ Fuel leaks, correct
- \_\_\_ Radiator, check level
- \_\_\_ Radiator, pressure check
- \_\_\_ Radiator, clean front
- \_\_\_ Hoses, check and adjust
- \_\_\_ Antifreeze protected \_\_\_\_\_<sup>N</sup>
- \_\_\_ Alternator, belt tension, terminals, check and lube
- \_\_\_ Battery, check water level
- \_\_\_ Battery, clean cables
- \_\_\_ Master cylinder, fill
- \_\_\_ Lubricate all fittings

Under Chassis:

- \_\_\_ Engine and transmission mounting bolts (check and adjust)
- \_\_\_ Body mounting bolts (check and adjust)
- \_\_\_ Transmission, check gear oil level
- \_\_\_ Transmission, check cover, bell and seal areas for leaks

- \_\_\_ Exhaust muffler, tail pipe hangers, tighten if loose
- \_\_\_ Differential, check gear oil level and clean breather
- \_\_\_ Differential, check for leaks
- \_\_\_ Brakes, adjust if needed
- \_\_\_ Springs, shackles, U-bolts, check for cracks, rust B tighten

Drive Off and Park:





Appendix F



**Public Transportation Management System**

Agency | Vehicle | Quarterly | Summary | Reports City of Dillon   

### Drug Alcohol Response

**Agency Id:**

**Fiscal Year:**

**Quarter:**

**Date DAR Data Received:**  

**Total Safety Sensitive Employees:**

<b>Total Pre-Employment Tests:</b>	<b>Total Reasonable Suspicion Tests:</b>
Drug: <input type="text"/> Alcohol: <input type="text"/>	Drug: <input type="text"/> Alcohol: <input type="text"/>
<b>Total Post Accident Tests:</b>	<b>Total Random Tests:</b>
Drug: <input type="text"/> Alcohol: <input type="text"/>	Drug: <input type="text"/> Alcohol: <input type="text"/>
<b>Total Return to Duty Tests:</b>	<b>Total Follow-up Tests:</b>
Drug: <input type="text"/> Alcohol: <input type="text"/>	Drug: <input type="text"/> Alcohol: <input type="text"/>
<b>Total Positive Results:</b>	<b>Total Negative Results:</b>
Drug: <input type="text"/> Alcohol: <input type="text"/>	Drug: <input type="text"/> Alcohol: <input type="text"/>



Appendix G

Link: [http://www.mdt.mt.gov/publications/docs/forms/transit/5311\\_review.pdf](http://www.mdt.mt.gov/publications/docs/forms/transit/5311_review.pdf)



**MONTANA DEPARTMENT OF TRANSPORTATION**

**SECTION 5311 COMPLIANCE AND GOOD PRACTICES  
REVIEW**

**Grantee:** \_\_\_\_\_

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

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

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

Appendix H

Link: [http://www.mdt.mt.gov/publications/docs/forms/transit/5310\\_review.pdf](http://www.mdt.mt.gov/publications/docs/forms/transit/5310_review.pdf)



**MONTANA DEPARTMENT OF TRANSPORTATION**

**SECTION 5310 COMPLIANCE AND GOOD PRACTICES  
REVIEW**

Grantee: \_\_\_\_\_

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

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

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

# Appendix I

## Part 1: Recipient Information

Project Number:	MT-80-X022-01
Recipient ID:	1144
Recipient Name:	MONTANA DEPARTMENT OF TRANSPORTATION
Address:	2701 PROSPECT AVE. P.O.BOX 201001, HELENA, MT 59601 9748
Telephone:	(406) 444-3423
Facsimile:	(406) 444-7871

## Part 2: Project Information

Project No:	MT-80-X022-01
Brief Desc:	5303 GRANT FOR MONTANA
FTA Project Mgr:	Jennifer Stewart
Start/End Date:	Jul. 01, 2015 - Jun. 30, 2016
Gross Project Cost:	\$873,435
Adjustment Amt:	\$0
Total Eligible Cost:	\$873,435
Total FTA Amt:	\$548,008
Total State Amt:	\$0
Total Local Amt:	\$125,429
Other Federal Amt:	\$0

## Part 3: Federal Financial Report

### Financial Status

	Previous	This Period	Cumulative
A. Federal Cash on Hand at Beginning of Period			\$0
B. Federal Cash Receipts			\$0
C. Federal Cash Disbursements			\$0
D. Federal Cash on Hand at End of Period			\$0
E. Total Federal Funds Authorized			\$548,008
F. Federal Share of Expenditures	\$0	\$0	\$0
G. Recipient Share of Expenditures	\$0	\$0	\$0
H. Total Expenditures( F + G )	\$0	\$0	\$0
I. Federal Share of Unliquidated Obligations			\$0
J. Recipient Share of Unliquidated Obligations			\$0
K. Total Unliquidated Obligations( I + J )			\$0
L. Total Federal Share ( F + I )			\$0
M. Unobligated Balance of Federal Funds ( E - L )			\$548,008
N. Total Recipient Share Required			\$125,429
O. Remaining Recipient Share to be provided N - ( G + J )			\$125,429
P. Federal Program Income on Hand at Beginning of Period			\$0
Q. Total Federal Program income earned			\$0
R. Federal Program income expended in accordance with the deduction alternative			\$0
S. Federal Program income expended in accordance with the addition alternative			\$0
T. Federal Program income expended on allowable Transit Capital and Operating expenses			\$0
U. Federal Unexpended Program income ( P + Q - R or S or T )			\$0

### Indirect Expense

Type	N/A
Rate	0.00%
Base	\$0
Amount Charged	\$0
Federal Share	\$0

### Recipient Remarks

Submitted FSR in order to execute an amendment. Reports are done annually will do complete FSR in October.

## Part 4. Milestone/Progress Report

### Project Status Overview

10/27/2015 MPO's have performed all work elements through 09/30/2015. All three MPOs worked on and had their UPWPs for 2016 approved. I attached Great Falls MPO final report for FFY2015 and Billings 4th quarter report. Missoula MPO usually submits their report 4-6 weeks from end of quarter. No claims or change orders this quarter.

44.21.00 PROGRAM SUPPORT ADMINISTRATION Quantity 0 ETA Amount \$104,874 Elig. Proj. Cost \$131,092

	Milestone Description	Orig. Est. Comp. Date	Rev. Est. Comp. Date	# Rev	Actual Comp. Date	Cont. Code
1.	Contract Award Program Support DETAILED DESCRIPTION: 12/04/2014 UPWP costs are reimbursed on a quarterly basis. MPO staff will attend seminars, workshops and related training. Staff will participate in TAC, FCC, TPCC, citizen advisory boards and co-ordination meetings.	10/1/2014			10/1/2014	
2.	Contract Complete	9/30/2015			9/30/2015	

44.24.00 SHORT RANGE TRANSIT PLANNING Quantity 0 ETA Amount \$185,592 Elig. Proj. Cost \$231,990

	Milestone Description	Orig. Est. Comp. Date	Rev. Est. Comp. Date	# Rev	Actual Comp. Date	Cont. Code
1.	Contract Award	10/1/2014			10/1/2014	
2.	Contract Complete	9/30/2015			9/30/2015	

44.26.12 COORDINATION OF NON-EMERGENCY HUMAN SERVICE TRANSPORTATION Quantity 0 ETA Amount \$114,251 Elig. Proj. Cost \$142,814

	Milestone Description	Orig. Est. Comp. Date	Rev. Est. Comp. Date	# Rev	Actual Comp. Date	Cont. Code
1.	Contract Award DETAILED DESCRIPTION: 12/04/2014 MPO's will continue to investigate opportunities to coordinate Paratransit services. Staff will continue to research and develop the use of FTA funding, as provided in MAF-21. MPO's will continue to provide outreach and education for social service professionals in the community and with senior groups.	10/1/2014			10/1/2014	
2.	Contract Complete	9/30/2015			9/30/2015	

44.27.00 OTHER ACTIVITIES Quantity 0 ETA Amount \$6,598 Elig. Proj. Cost \$8,248

	Milestone Description	Orig. Est. Comp. Date	Rev. Est. Comp. Date	# Rev	Actual Comp. Date	Cont. Code
1.	Contract Award DETAILED DESCRIPTION: 12/04/2014 Mountain Line will incorporate air and water quality planning into local transportation planning programs.	10/1/2014			10/1/2014	
2.	Contract Complete	9/30/2015			9/30/2015	

44.23.01 LONGTERM TRANS PLAN - SYSTEM LEVEL Quantity 0 ETA Amount \$22,898 Elig. Proj. Cost \$28,923

	Milestone Description	Orig. Est. Comp. Date	Rev. Est. Comp. Date	# Rev	Actual Comp. Date	Cont. Code
1.	Contract Award DETAILED DESCRIPTION: 12/04/2014 Great Falls and Missoula will continue to review reports and ridership to better serve their communities. Look for new software to improve real time data.	10/1/2014			10/1/2014	
2.	Contract Complete	9/30/2015			9/30/2015	

44.25.00 TRANSPORTATION IMPROVEMENT PROGRAM Quantity 0 ETA Amount \$28,345 Elig. Proj. Cost \$35,431

	Milestone Description	Orig. Est. Comp. Date	Rev. Est. Comp. Date	# Rev	Actual Comp. Date	Cont. Code
1.	Contract Award DETAILED DESCRIPTION: 12/04/2014 2 MPO's have requested funding for their TIPS and amendments.	10/1/2014			10/1/2014	
2.	Contract Complete	9/30/2015			9/30/2015	

11.80.00 STATE OR PROGRAM ADMINISTRATION Quantity 0 ETA Amount \$46,292 Elig. Proj. Cost \$46,292

	Milestone Description	Orig. Est. Comp. Date	Rev. Est. Comp. Date	# Rev	Actual Comp. Date	Cont. Code
1.	Contract Award State Administr DETAILED DESCRIPTION: 10/27/2015 current indirect rate for the state is 10.37% for period 07/01/2015-06/30/2016. Current indirect rate for the state is 9.13% for period 07/01/2014-06/30/2015.	9/30/2014			9/30/2014	
2.	Contract Complete DETAILED DESCRIPTION: 10/27/2015 extended date to match state admin project end date.	10/1/2015	6/30/2016	1		

44.31.99 FHWA/FTA METRO/STATE PLNG Quantity 0 ETA Amount \$39,156 Elig. Proj. Cost \$48,945

	Milestone Description	Orig. Est. Comp. Date	Rev. Est. Comp. Date	# Rev	Actual Comp. Date	Cont. Code
1.	Contract Award State Admin	7/1/2015			7/1/2015	
2.	Contract Complete DETAILED DESCRIPTION: 07/10/2015 Staff time and expenses on planning activities.	6/30/2016				

DOT

8

FTA

U.S. Department of Transportation

Federal Transit Administration

Appendix J

Milestones Status Report						
Summary		Milestone Status		Remarks and Certification		
Scope-ALI	Seq No	Milestone Description	Orig. Est. Comp. Date	Rev. Est. Comp. Date	# Rev	Actual Comp. Date
61000-118000	1	Contract Award	7/1/2013		0	7/1/2013
	2	Contract Complete	6/30/2015	6/30/2016	1	
30000-300901	1	Contract Award	6/30/2015		0	7/1/2013
	2	Contract Complete	6/30/2015		0	6/30/2015
62000-117900	1	Contract Award	7/1/2013		0	7/1/2013
	2	Contract Complete	6/30/2015		0	6/30/2015
63400-300902	1	Contract Award	7/1/2013		0	7/1/2013
	2	Contract Complete	6/30/2015		0	6/30/2015

  

<b>Line Item:</b>			
<b>FTA Amount:</b>		<b>Total Eligible Cost:</b>	<b>Quantity:</b>
<b>3<sup>rd</sup> Party Contractor Code:</b>	<input type="text"/>		
<input type="checkbox"/> <b>Milestone Detail Description</b>	<input type="text"/>		
<input type="checkbox"/> <b>Milestone Progress</b>	<input type="text"/>		

# Appendix K

	A	B	C	D	E	F	G	H	I	J	K	L	M	O	P	Q	R	S	T	U	V	W	X
1	<b>FEDERAL FINANCIAL REPORT</b>																						
2	(Follow form instructions)																						
3																							
4	1. Federal Agency and Organizational Element to Which Report is Submitted										2. Federal Grant or Other Identifying Number Assigned by Federal Agency (To report multiple grants, use FFR Attachment)										Page		of
5																					1		
6																							pages
7	Federal Transit Administration										MT-18-X052-00												
8	3. Recipient Organization (Name and complete address including Zip code)																						
9	Montana Dept of Transportation 2701 Prospect Ave P.O. Box 201001 Helena MT. 59620-1001																						
10																							
11																							
12	4a. DUNS Number			4b. EIN			5. Recipient Account Number or Identifying Number (To report multiple grants, use FFR Attachment)						6. Report Type			7. Basis of Accounting							
13													<input type="checkbox"/> Quarterly <input type="checkbox"/> Semi-Annual <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final			<input type="checkbox"/> Cash <input checked="" type="checkbox"/> Accrual							
14	809791320			81-0302402																			
15	8. Project/Grant Period From: (Month, Day, Year)										To: (Month, Day, Year)					9. Reporting Period End Date (Month, Day, Year)							
16	07/01/2013										12/31/2015					09/30/2013							
17																							
18	10. Transactions										Cumulative												
19	<i>(Use lines a-c for single or multiple grant reporting)</i>																						
20	<b>Federal Cash. (To report multiple grants, also use FFR Attachment):</b>																						
21	a. Cash Receipts										7,491,168												
22	b. Cash Disbursements										7,491,168												
23	c. Cash on Hand (line a minus b)										0												
24	<i>(Use lines d-o for single grant reporting)</i>																						
25	<b>Federal Expenditures and Unobligated Balance:</b>																						
26	d. Total Federal funds authorized										9,900,659												
27	e. Federal share of expenditures										8,098,316												
28	f. Federal share of unliquidated obligations										1,802,343												
29	g. Total Federal share (sum of lines e and f)										9,900,659												
30	h. Unobligated balance of Federal funds (line d minus g)										(0)												
31	<b>Recipient Share:</b>																						
32	i. Total recipient share required										5,082,445												
33	j. Recipient share of expenditures										4,729,562												
34	k1. Recipient share of unliquidated obligations										352,883												
35	k. Remaining recipient share to be provided (line i minus j)										(0)												
36	<b>Program Income:</b>																						
37	l. Total Federal program income earned										0												
38	m. Program income expended in accordance with the deduction alternative										0												
39	n. Program income expended in accordance with the addition alternative																						
40	o. Unexpended program income (line l minus line m or line n)										0												
41		a. Type	b. Rate	c. Period From	Period To	d. Base	e. Amount Charged		f. Federal Share														
42	11. Indirect Expense	Fixed	10.37%	7/1/2015	6/30/2016	11,733,090	1,100,859		691,147														
43																							

Appendix L

Milestones Status Report						
Summary		Milestone Status		Remarks and Certification		
Scope-ALI	Seq No	Milestone Description	Orig. Est. Comp. Date	Rev. Est. Comp. Date	# Rev	Actual Comp. Date
61000-118000	1	Contract Award	7/1/2013		0	7/1/2013
	2	Contract Complete	6/30/2015	6/30/2016	1	
30000-300901	1	Contract Award	6/30/2015		0	7/1/2013
	2	Contract Complete	6/30/2015		0	6/30/2015
62000-117900	1	Contract Award	7/1/2013		0	7/1/2013
	2	Contract Complete	6/30/2015		0	6/30/2015
63400-300902	1	Contract Award	7/1/2013		0	7/1/2013
	2	Contract Complete	6/30/2015		0	6/30/2015

  

<b>Line Item:</b>			
<b>FTA Amount:</b>		<b>Total Eligible Cost:</b>	<b>Quantity:</b>
<b>3<sup>rd</sup> Party Contractor Code:</b>	<input type="text"/>		
<input type="checkbox"/> <b>Milestone Detail Description</b>	<input type="checkbox"/> <b>Milestone Progress</b>		
<input type="text"/>	<input type="text"/>		

## VI. FEDERAL TRANSIT ADMINISTRATION

### VII. TITLE VI PLAN

Agency: \_\_\_\_\_

**Title VI prohibits discrimination in all Federal Transit Administration (FTA) services, programs, or benefits on the basis of Race, Color, or National Origin.**

### **Title VI Program**

*FTA Circular 4702.1B, Chapter 3* for FTA Sub-Recipients:

[Title VI Requirements & Guidelines for FTA Recipients \(hyperlink\)](#)

The Federal Transit Administration has updated the Title VI Circular to 4702.1B. FTA's revised circular provides guidance to grantees on how to comply with Title VI regulations, as well as to ensure grantees provide meaningful language access to persons who are limited English proficient. The circular provides specific compliance information for each type of grantee and provides comprehensive appendices including additional guidance and examples to ensure recipients understand the requirements.

By filling out the required fields you are stating that your board of directors, appropriate governing entity, or officials responsible for policy decisions and/or approval of board meeting minutes understand the required *FTA Circular 4702.1B, Chapter 3* regulations and agree to adopt all Title VI Program guidelines:

**Date:** \_\_\_\_\_

**Title VI Contact Name:** \_\_\_\_\_

**Title VI Contact Phone:** \_\_\_\_\_

### **Title VI Program Requirements**

**SUB-RECIPIENT MDT TITLE VI PAMPHLET COMPLAINT FORM:**

<http://mdtwwwdev/other/civilrights/external/title-vi-complaint-form.pdf>

- MDT Title VI Pamphlet
- Copy of notice to passengers that indicates the recipient complies with Title VI and informs the public of protections against discrimination with Title VI. Must notify passengers that they can file complaint with the State or directly with the transit provider alleging discrimination based on race, color, or national origin.
- Post in appropriate locations such as in transit vehicles, online/websites, and office/reception areas. Additional requirements are at Chap. III-5. Of FTA Circular 4702.1B. List locations where posted:

**COMPLAINT FORM:**

[MDT Complaint Form \(hyperlink\)](#)

- Adopt MDT Complaint Form and Title VI Pamphlet Complaint Form.
- Complaint form includes instructions on how to file complaint. If significant LEP population then the complaint form should be in appropriate languages.

**COMPLAINT LOG:**

- List of Title VI related complaints, investigations, or lawsuits filed with transit provider since date of last submission.
- Adopt sub-recipient complaint log format below:

Investigation (I), Lawsuit (L) , or Complaint (C)	Date Filed	Allegations: Race (R), Color (C), or National Origin (NO)	Complainant Male (M) or Female (F)?	Status	Final Findings	Comments

**MINORITY REPRESENTATION ON PLANNING AND ADVISORY BODIES:**

If transit provider has a **non-elected** transit related planning board, advisory council, or committee, please submit:

- Complete table depicting racial breakdown of the membership.
- Adopt table below depicting racial breakdown:

Board, Council, or Committee Name	Member #	White (M/F)	American Indian (M/F)	Hispanic (M/F)	Black (M/F)	Pacific Islander (M/F)	Asian (M/F)

- Description of efforts made to encourage participation of minorities:  
*(Outreach efforts include identifying designated minority groups or populations (e.g.: Native American reservations, minority alliances) and contacting them regarding committee membership. If there are no designated groups or populations in your area indicate that a description is not applicable).*

**PUBLIC PARTICIPATION PLAN:**

Transit provider’s outreach plan to engage minority, LEP, or other traditionally underserved populations.

**Title VI Public Meetings form is available for use by providers:**

[Title VI Public Hearing Form \(hyperlink\)](#)

- Adopt Public Hearing Form
- Description of outreach to engage minority, LEP, or other traditionally underserved populations:  
*(Outreach efforts include public notices in local media, attending meetings of area minority populations or groups (e.g.: Native American reservations, minority alliances), limited English proficiency (LEP) groups, or other traditionally underserved populations (group homes, senior centers, nursing homes, etc.), creating mailing lists and disseminating information to groups on the list. If there are no designated groups or populations in your area indicate that a description is not applicable).*

**Public Participation Plan is available for use by providers:**

[Public Participation Plan \(hyperlink\)](#)

- Adopt MDT Public Involvement Plan. Some outreach and public participation efforts will have to be tailored to each sub-recipient depending on the agency.

List all facilities projects that required a Title VI Equity Analysis in determining the location of the facilities since last reporting period (January 1, 2013 to date).

**LIMITED ENGLISH PROFICIENCY (LEP) PLAN:**

[Limited English Proficiency Plan \(hyperlink\)](#)

- Adopt MDT LEP Plan

**For questions regarding Title VI Program Requirements:**

- **MDT Planning** - Tom Stuber (406) 444-9216 [[tstuber@mt.gov](mailto:tstuber@mt.gov)]
- **MDT Civil Rights** – Nicole Cosby (406) 444-6334 [[nicosby@mt.gov](mailto:nicosby@mt.gov)]

# Appendix N

	A	B	C	D	E	F	G	H	I	J
1	<b>UNIFORM REPORT OF DBE COMMITMENTS/AWARDS AND PAYMENTS</b>									
2	<b>**Please refer to the Instructions sheet for directions on filling out this form**</b>									
3	1. Submitted to (check only one): <input type="checkbox"/> FHWA <input type="checkbox"/> FAA <input type="checkbox"/> JTA--Vendor Number									
4	2. AIP Numbers (FAA Recipients Only):									
5										
6	3. Federal fiscal year in which reporting period falls: FY				4. Date This Report Submitted:					
7	5. Reporting Period <input type="checkbox"/> Report due June 1 (for period Oct. 1-Mar. 31)			<input type="checkbox"/> Report due Dec. 1 (for period April 1-Sept. 30)			<input type="checkbox"/> FAA annual report due Dec. 1			
8	6. Name and address of Recipient: Montana Department of Transportation									
9	7. Annual DBE Goal(s): Race Conscious Goal			Race Neutral Goal			OVERALL Goal			
10										
11	<b>AWARDS/COMMITMENTS MADE DURING THIS REPORTING PERIOD</b> <small>(total contracts and subcontracts committed during this reporting period)</small>									
12	A	B	C	D	E	F	G	H	I	
	Total Dollars	Total Number	Total to DBEs (dollars)	Total to DBEs (number)	Total to DBEs /Race Conscious (dollars)	Total to DBEs/Race Conscious (number)	Total to DBEs/Race Neutral (dollars)	Total to DBEs/Race Neutral (number)	Percentage of total dollars to DBEs	
13	8. Prime contracts awarded this period	\$8,359,830	39	\$0	0	\$0	0	\$0	0	0.0%
14	9. Subcontracts awarded/committed this period	\$0	0	\$0	0	\$0	0	\$0	0	
15	<b>TOTAL</b>									
16										
17	<b>DBE AWARDS/COMMITMENTS THIS REPORTING PERIOD-BREAKDOWN BY ETHNICITY &amp; GENDER</b>									
18	A	B	C	D	E	F	G	H	I	
	Black American	Hispanic American	Native American	Subcont. Asian American	Asian-Pacific American	Non-Minority Women	Other (i.e. not of any other group listed here)	TOTALS (for this reporting period only)	Year-End TOTALS	
19	10. Total Number of Contracts (Prime and Sub)	0	0	0	0	0	0			
20	11. Total Dollar Value	\$0	\$0	\$0	\$0	\$0	\$0			
21										
22	<b>ACTUAL PAYMENTS ON CONTRACTS COMPLETED THIS REPORTING PERIOD</b>									
23	A	B	C	D	E					
	Number of Prime Contracts Completed	Total Dollar Value of Prime Contracts Completed	DBE Participation Needed to Meet Goal (Dollars)	Total DBE Participation (Dollars)	Percentage of Total DBE Participation					
30	12. Race Conscious									
31	13. Race Neutral	40	\$7,754,607			\$0	0.0%			
32	14. Totals	40	\$7,754,607							
33	15. Submitted by (Print Name of Authorized Representative)				16. Signature of Authorized Representative					
34	17. Phone Number:				18. Fax Number:					



# Appendix O

The screenshot shows the Montana Grants and Loans website interface. At the top, there is a browser address bar with the URL <https://fundingmt.org/index.do>. Below the browser is the website header with the Montana logo and the text "Montana Grants and Loans".

The main content area is divided into two columns. The left column contains a "Login" form with fields for "User ID" and "Password", a "Login" button, and a "Forgot Password?" link. The right column features logos for various Montana state agencies: Department of Agriculture, Montana Fish, Wildlife & Parks, DNRC, Department of Commerce, Department of Labor & Industry, DES (Montana Disaster Emergency Services), and MDTA (Department of Transportation). Below the logos, there are links for "New to WebGrants - State of Montana? Register Here" and "Funding Opportunities Offered by Montana State Agencies Search Here".

At the bottom of the page, there is a navigation bar with links for "Menu", "Help", "Log Out", "Back", "Print", "Add", "Delete", "Edit", and "Save". Below this is a section titled "Submitted Applications" which includes a table of "Current Funding Opportunities".

**Submitted Applications**

[Current Funding Opportunities](#) | [Search Applications](#) | [Archived Funding Opportunities](#)

The Funding Opportunities in Editing, Posted, Closed, Test, and Suspended statuses appear below. Click the FO title to view the submitted applications.  
The App # column indicates the number of applications in Submitted, Withdrawn and Correcting statuses.  
The Search Applications link above will allow you to locate any application anywhere in the system.

ID	Status	Title	Program Area	Deadline	Apps #
37286	Posted	FFY2017 State Highway Traffic Safety	MDT - Highway Traffic Safety	03/01/2016	1
33847	Test	EMS - Emergency Medical Services (TEST FO)	MDT Test Program Area	Not Applicable	0
33892	Test	MDT - MINI Grants (TEST FO)	MDT Test Program Area	Not Applicable	0
34130	Test	MDT Test 5311 Transit Capital Grant - FY17	MDT Test Program Area	Not Applicable	1
35861	Test	Copy - Highway Traffic Safety Funding (TEST)	MDT Test Program Area	Not Applicable	0
36236	Test	MDT Test 5310 Limited Area Grant - FY17	MDT Test Program Area	03/01/2016	0
33675	Test	Highway Traffic Safety Funding (TEST)	MDT Test Program Area	03/01/2016	24
35005	Test	MDT Test 5310 Transit Capital Grant - FY17	MDT Test Program Area	03/01/2016	1
33033	Test	MDT Test 5311 Transit Operating Grant - FY17	MDT Test Program Area	03/01/2016	10
37050	Test	Occupant Protection Mini-grant	MDT Test Program Area	03/11/2016	1
37722	Posted	MDT Transit 5310 Capital Grant FY17	MDT Transit	03/01/2016	0
37296	Posted	MDT Transit 5311 Operating Grant FY17	MDT Transit	03/01/2016	2
37721	Posted	MDT Transit Public Providers Capital Grant FY17	MDT Transit	03/01/2016	1
37723	Posted	MDT Transit 5310 Capital Limited-Area Grant FY17	MDT Transit	03/01/2016	2
37898	Posted	MPO Capital Grant FY17	MDT Transit	03/31/2016	0

MONTANA.GOV  
OFFICIAL STATE WEBSITE  
[Contact Us](#)

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Appendix P

Link:

[http://www.mdt.mt.gov/publications/docs/manuals/coordplan\\_appbook\\_instructions.pdf](http://www.mdt.mt.gov/publications/docs/manuals/coordplan_appbook_instructions.pdf)

**Instructions for  
Financial Assistance Application  
& Coordination Plan**



**Montana Department of Transportation  
Fiscal Year 2017**



Appendix Q

STATE OF MONTANA Department of Transportation		PURCHASE ORDER			
ATTENTION VENDOR	This Purchase Order Number must appear on your invoice and all related correspondence.	PURCHASE ORDER DATE	4/28/2015	PURCHASE ORDER NO.	311580
<b>VENDOR:</b>					
BILLION AUTO GROUP 355 AUTOMOTIVE WAY BOZEMAN MT 59718		Price Request No.	Date		
		Invitation For Bid	#HWY-311580-RP	4/16/2015	
<b>BILL TO:</b>		<b>CIVIL RIGHTS:</b>			
PLANNING DIVISION MONTANA DEPARTMENT OF TRANSPORTATION PO BOX 201001 HELENA MT 59620-1001		The contractor must, in performance of work on this contract, fully comply with all applicable federal, state or local laws, rules and regulations. The contractor must comply with the provisions of all appropriate federal laws, including Title VI of the Civil Rights Act of 1964. Any subletting or subcontracting by the contractor subjects subcontractors to the same provisions of the appropriate federal laws, including Title VI of the Federal Civil Rights Act of 1964. In accordance with 49-3-207, MCA, the contractor agrees that the hiring of persons to perform work on this contract will be made on the basis of merit and qualifications and that there will be no discrimination on the basis of race, color, religion, creed, political ideas, sex, age, marital status, physical or mental disabilities or national origin by the persons performing the contract.			
F.O.B. LOCATION: LOCATIONS LISTED HEREIN					
<b>6-PASSENGER MINIVANS</b>					
Questions may be directed to Adam Kraft at (406) 444-6120 in Helena.					
<b>1.0. STANDARD TERMS AND CONDITIONS</b>					
By submitting a response to this invitation for bid, request for proposal, or acceptance of a contract, the vendor agrees to acceptance of the following Standard Terms and Conditions and any other provisions that are specific to this solicitation or contract.					
<b>1.1. ACCESS AND RETENTION OF RECORDS</b>					
The Contractor agrees to provide the Department, Legislative Auditor, or their authorized agents, access to any records necessary to determine contract compliance (Mont. Code Ann. § 18-1-118). The Contractor agrees to create and retain records supporting the services rendered or supplies delivered for a period of three years after either the completion date of the contract or the conclusion of any claim, litigation or exception relating to the contract taken by the State of Montana or third party.					



# Appendix R

## BUS CONTRACT PROCEDURE

1. Ensure 221 requisition is complete, all specifications included and signed.
  - Federal Funds are always used when purchasing buses.
  - Transit staff sends the bus specifications electronically.
  - Transit Staff calls Purchasing and they assign a bid number that is put on the requisition.
2. Oracle Purchasing Log
  - Fill in the purchasing log from the requisition information and make bid file.
  - After the bid is issued, complete the opening date.
  - Complete the Oracle purchasing log after the purchase order is issued and be sure to include any purchase order attachments.
3. Vendors List
  - Save the corresponding vendor list from the "S" drive, Transit Vehicles file with the bid.
  - Update the vendor list throughout the bid process to keep current.
4. IFB Form
  - Complete the corresponding Invitation for Bid form found in the purchasing "S" drive under Transit Vehicles. (15-passenger van, 12 and 2 passenger bus, etc.).
  - All the necessary language (Federal Funding) and Standard Terms and Conditions are already inserted into each bid form.
  - Insert the specifications that are sent electronically.
  - Include all the required certifications found on the "S" drive, Transit Vehicles with each bid and show them as attachments on the front of the bid.
  - The bus bids remain open for four (4) weeks.
5. Approved Equipment Equals Selection Process
  - Written requests for variations, deviations or approved equal substitutions are accepted, evaluated and answered by the Department.
  - All requests for approved equals/exceptions must be submitted in writing and received by the Department not later than ten (10) calendar days following the bid "issue" date.
  - All known bidders shall be informed, via addendum to the original specifications, of those requests determined by the Department to be equal or to exceed the minimum stated specifications a minimum of ten (10) calendar days prior to the bid opening.
  - Requests for approved equals should be directed to the Transit staff for review.
6. Bid Posting
  - Send an email to MDT Web Administrators requesting they convert the bid and attachments to pdf, once this is done the bid is posted to D of A's website.
  - Send a copy of the bid and attachments to the requestor.
  - Send out a bid announcement to all vendors.
  - If there are addendums to the bid, these are also converted to pdf, posted to D of A's website and sent to the requestor.
7. Bid Tab Sheet
  - Create the bid sheet and save it on the "S" drive in the correct file.
8. Correspondence
  - Any returned bid announcements or miscellaneous correspondence should be kept in the bid file.
9. Bid Opening
  - Transit staff usually does not attend bid openings.
  - If any vendors are present they must sign the "sign up" sheet.
  - Open all the bids that were received on time and date/time stamped, recording the prices on the tab sheet, noting if all requirements were met (addendums, testing, certifications).
  - If Transit staff has attended the bid opening, that staff member and purchasing staff member make a separate worksheet showing if each bid met the specifications and list any exceptions they may have taken. If Transit staff is unable to attend bid opening, Purchasing staff does this and then sends Transit staff the bid tab sheets and the bids for his review.
    - Check all signatures pages for completion. Signature pages include the final page of the IFB, the attached FTA Certifications and Clauses, and any addendums. The FTA Certifications and Clauses document has signature pages at the end. Each item must be signed for either compliance or non-compliance. Contact the Transit Planner if you have any questions.
  - Fax the preliminary tab sheet to the vendors.
10. Bid Award
  - Once the specifications have been examined by Purchasing Agent and Transit staff (if present) and has approved for award, the "FTA Pre-Award and Post-Delivery Certifications" will be signed, and the purchase order can be issued.
    - Complete the FTA Pre-Award section of the "FTA Pre-Award and Post-Delivery Certifications". The signed pages will be copied. One copy will be filed in the vehicle folder and the other copy will be sent to Transit Planner whom is responsible for writing the vehicle specifications and scheduling the vehicle delivery. After the vehicle has been delivered, the transit planner will complete by signing the Post-Delivery section of the "FTA Pre-Award and Post-Delivery Certifications" and send to the Purchasing main office for filing.
      - NOTE: Pay attention to vehicles that are not Buy America complaint, some of the certs do not pertain to these vehicles.
  - Make sure to note on the tab sheet who was awarded the bid.
  - Fax the final tab sheet showing who was awarded to the vendors.
11. Purchase Order
  - Create the purchase order using the blank purchase order found on the "S" drive, cutting and pasting the information from the bid.
  - Complete the General Information and Quote Section from vendor's bid.
  - Print out a Vendor copy, sign it and mail it to the vendor.
  - Print out a Purchasing Services Bureau copy, sign it and keep in the bid file.
  - Insert the Purchasing Agent's signature electronically and make this copy as the Requestor copy and send to the requestor.
  - Save the unsigned Vendor copy in the "S" drive.
12. Bid File
  - All paperwork in the bid file should be stamped "Master File Copy".
  - Make a note on the outside of the bid file listing all attachments (certifications) and any addendums.
  - Note on the file any changes or information that would be useful for the next bid.
13. Bus Order Forms
  - If we issued a purchase order that is in effect for a 1-year time period to order particular buses, an excel order form is then made.
  - The order form needs to be completed by Transit staff, a copy sent to the vendor, a copy for Transit staff's records and a copy is put in the purchasing file.
  - The bus order form is kept on the "Q" drive.
14. Miscellaneous Information
  - Any future correspondence regarding the purchase/receipt of a bus is kept in the original bid file.

# Appendix S

## FEDERAL TRANSIT ADMINISTRATION BEST PRACTICES PROCUREMENT MANUAL REQUIRED INTERNAL CERTIFICATIONS TABLE OF CONTENTS - Governing Documents

### A. Pre-Award Certifications

1. Buy America Compliance
2. Buy America Exemption
3. Purchaser's Requirements
4. FMVSS Compliance
5. FMVSS Exemption

### B. Post-Delivery Certifications

1. Buy America Compliance
2. Buy America Exemption
3. Purchaser's Requirements (More than 20 Buses or Modified Vans, or any Number of Unmodified Vans)
4. Purchaser's Requirements (20 or Fewer Buses or Modified Vans, or any Number of Unmodified Vans)
5. FMVSS Compliance
6. FMVSS Exemption

#### Exhibit A.1. Pre-Award Buy America Compliance Certification

<b>PRE-AWARD BUY AMERICA COMPLIANCE CERTIFICATION</b>
As required by Title 49 of the CFR, Part 663 – Subpart B, _____ (the recipient) is satisfied that the buses to be purchased, _____ (number and description of buses) from _____ (the manufacturer), meet the requirements of Section 165(b)(3) of the Surface Transportation Assistance Act of 1982, as amended. The recipient <input type="checkbox"/> , or its appointed analyst <input type="checkbox"/> (the analyst – not the manufacturer or its agent), has reviewed documentation provided by the manufacturer, which lists (1) the proposed component and subcomponent parts of the buses identified by manufacturer, country of origin, and cost; and (2) the proposed location of the final assembly point for the buses, including a description of the activities that will take place at the final assembly point and the cost of final assembly.
Date: _____
Signature: _____ Title: _____

#### Exhibit A.2. Pre-Award Buy America Exemption Certification

<b>PRE-AWARD BUY AMERICA EXEMPTION CERTIFICATION</b>
As required by Title 49 of the CFR, Part 663 – Subpart B, _____ (the recipient) certifies that there is a letter from FTA that grants a waiver to the buses to be purchased, _____ (number and description of buses), from the Buy America requirements under Section 165(b)(1), (b)(2), or (b)(4) of the Surface Transportation Assistance Act of 1982, as amended.
Date: _____
Signature: _____ Title: _____

Exhibit A.3. Pre-Award Purchaser's Requirements Certification

PRE-AWARD PURCHASER'S REQUIREMENTS CERTIFICATION

As required by Title 49 of the CFR, Part 663 – Subpart B, \_\_\_\_\_  
(the recipient) certifies that the buses to be purchased \_\_\_\_\_  
(number and description of buses) from \_\_\_\_\_  
(the manufacturer), are the same product described in the recipient's solicitation specification and that the proposed  
manufacturer is a responsible manufacturer with the capability to produce a bus that meets the specifications.

Date: \_\_\_\_\_

Signature: \_\_\_\_\_ Title: \_\_\_\_\_

Exhibit A.4. Pre-Award FMVSS Compliance Certification

PRE-AWARD FMVSS COMPLIANCE CERTIFICATION

As required by Title 49 of the CFR, Part 663 – Subpart D, \_\_\_\_\_  
(the recipient) certifies that it received, at the pre-award stage, a copy of \_\_\_\_\_  
's (the manufacturer) self-certification information stating that the buses,  
(number and description of buses), will comply with the relevant Federal Motor Vehicle Safety Standards issued by the National  
Highway Traffic Safety Administration in Title 49 of the Code of Federal Regulations, Part 571.

Date: \_\_\_\_\_

Signature: \_\_\_\_\_ Title: \_\_\_\_\_

Exhibit A.5. Pre-Award FMVSS Exemption Certification

PRE-AWARD FMVSS EXEMPTION CERTIFICATION

As required by Title 49 of the CFR, Part 663 – Subpart D, \_\_\_\_\_  
(the recipient) certifies that it received at the pre-award stage, a statement from \_\_\_\_\_  
's (the manufacturer) indicating that the buses, \_\_\_\_\_ (number and  
description of buses), will not be subject to the Federal Motor Vehicle Safety Standards issued by the National Highway Traffic  
Safety Administration in Title 49 Code of Federal Regulations, Part 571.

Date: \_\_\_\_\_

Signature: \_\_\_\_\_ Title: \_\_\_\_\_

Exhibit B.1. Post-Delivery Buy America Compliance Certification

POST-DELIVERY BUY AMERICA COMPLIANCE CERTIFICATION

As required by Title 49 of the CFR, Part 663 – Subpart C, \_\_\_\_\_  
(the recipient) certifies that it is satisfied that the buses received, \_\_\_\_\_  
(number and description of buses) from \_\_\_\_\_  
(the manufacturer), meet the requirements of Section 165(b)(3) of the Surface Transportation Assistance  
Act of 1982, as amended. The recipient , or its appointed analyst   
(the analyst – not the manufacturer or its agent), has reviewed documentation provided by the manufacturer, which lists (1) the  
actual component and subcomponent parts of the buses identified by the manufacturer, country of origin, and cost, and (2) the  
actual location of the final assembly point for the buses, including a description of the activities that took place at the final assembly  
point and the cost of final assembly.

Date: \_\_\_\_\_

Signature: \_\_\_\_\_ Title: \_\_\_\_\_

Exhibit B.2. Post-Delivery Buy America Exemption Certification

POST-DELIVERY BUY AMERICA EXEMPTION CERTIFICATION

As required by Title 49 of the CFR, Part 663 – Subpart C, \_\_\_\_\_  
(the recipient) certifies that there is a letter from FTA, which grants a waiver to the buses received,  
(manufacturer, number and description of buses), from the Buy America requirements under Section 165(b)(1), (b)(2), or (b)(4) of  
the Surface Transportation Assistance Act of 1982, as amended.

Date: \_\_\_\_\_

Signature: \_\_\_\_\_ Title: \_\_\_\_\_

Exhibit B.3. Post-Delivery Purchaser's Requirements Certification (More Than 20 Buses or Modified Vans)

POST-DELIVERY PURCHASER'S REQUIREMENTS CERTIFICATION

As required by Title 49 of the CFR, Part 663 – Subpart C, \_\_\_\_\_  
(the recipient) certifies that a resident inspector \_\_\_\_\_  
(the resident inspector – not an agent or employee of the manufacturer), was at \_\_\_\_\_ 's (the  
manufacturer) manufacturing site during the period of manufacture of the buses,  
(number and description of buses). The inspector monitored  
manufacturing and completed a report on the manufacture of the buses providing accurate records of all bus construction activities.  
The report addresses how the construction and operation of the buses fulfill the contract specifications. After reviewing the report,  
visually inspecting the buses, and road testing the buses, the recipient certifies that the buses meet the contract specifications.

Date: \_\_\_\_\_

Signature: \_\_\_\_\_ Title: \_\_\_\_\_

Exhibit B.4. Post-Delivery Purchaser's Requirements Certification (20 or Fewer Buses or Modified Vans, or any Number of Unmodified Vans)

POST-DELIVERY PURCHASER'S REQUIREMENTS CERTIFICATION

As required by Title 49 of the CFR, Part 663 – Subpart C, after visually inspecting and road testing the contract buses, \_\_\_\_\_ (the recipient) certifies that the buses, \_\_\_\_\_ (number and description of buses) from \_\_\_\_\_ (the manufacturer), meet the contract specifications.

Date: \_\_\_\_\_

Signature: \_\_\_\_\_ Title: \_\_\_\_\_

Exhibit B.5. Post-Delivery FMVSS Compliance Certification

POST-DELIVERY FMVSS COMPLIANCE CERTIFICATION

As required by Title 49 of the CFR, Part 663 – Subpart D, \_\_\_\_\_ (the recipient) certifies that it received, at the post-delivery stage, a copy of \_\_\_\_\_'s (the manufacturer) self-certification information stating that the buses, \_\_\_\_\_ (number and description of buses), comply with the relevant Federal Motor Vehicle Safety Standards issued by the National Highway Traffic Safety Administration in Title 49 Code of Federal Regulations, Part 571.

Date: \_\_\_\_\_

Signature: \_\_\_\_\_ Title: \_\_\_\_\_

Exhibit B.6. Post-Delivery FMVSS Exemption Certification

POST-DELIVERY FMVSS EXEMPTION CERTIFICATION

As required by Title 49 of the CFR, Part 663 – Subpart D, \_\_\_\_\_ (the recipient) certifies that it received, at the post-delivery stage, a statement from \_\_\_\_\_'s (the manufacturer) indicating that the buses, \_\_\_\_\_ (number and description of buses), are not subject to the Federal Motor Vehicle Safety Standards issued by the National Highway Traffic Safety Administration in Title 49 Code of Federal Regulations, Part 571.

Date: \_\_\_\_\_

Signature: \_\_\_\_\_ Title: \_\_\_\_\_

# Appendix T

		Montana Department of Transportation Rail, Transit & Planning Division Transit Section PO Box 201001 Helena, MT 59620-1001		<b>Vehicle Delivery Inspection Form</b>	
Agency Name:		Project Id #:	MT -		
Chassis/Body Make:		ODO Reading:			
Year Mfg.:		VIN:			
Passenger Capacity:		Vendor's Name:			
Total Purchase Cost:		Useful Life:			
# Wheelchair Positions:		2-Way Radio:	Yes <input type="checkbox"/>	No <input type="checkbox"/>	
Wheelchair Devices:	Lift <input type="checkbox"/>	Ramp <input type="checkbox"/>	None <input type="checkbox"/>	Fuel Type:	Gas <input type="checkbox"/> Diesel <input type="checkbox"/> Other <input type="checkbox"/>
<b>COMMENTS (For Details Refer to Page or Section Number of Specifications):</b>					
<b>GENERAL DIMENSIONS:</b>					
<b>CHASSIS:</b>					
<b>EXTERIOR BODY:</b>					
<b>INTERIOR:</b>					
<b>SPECIAL EQUIPMENT:</b>					
<b>OTHER:</b>					

Appendix U

**VEHICLE ACCEPTANCE FORM: PLANNING STAFF**

Purchase Order No: \_\_\_\_\_

Vendor Name: \_\_\_\_\_

Vehicle Description \_\_\_\_\_



**PAPERWORK RECEIVED:**

- Original Dealer's Bill of Sale
- Original Odometer Disclosure Statement
- Manufacturer's Statement of Origin (MSO)
- Original Buyer's Invoice

**IN COMPLIANCE:**

- Vehicle File
- Vehicle Specifications

Notes: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_



Planner: \_\_\_\_\_

Date: \_\_\_\_\_

*Transit Planner completes this form when ALL delivery requirements have been met. Attach this form with the vehicle invoice when submitting request for payment to the Transit Fiscal Planner.*



Appendix V



Montana Department of Transportation

Jim Lynch, Director

2960 Prospect Avenue  
PO Box 201001  
Helena, MT 59620-1001

Brian Schweitzer, Governor

Purchase Order No: \_\_\_\_\_  
Vendor Name: \_\_\_\_\_  
Address: \_\_\_\_\_  
Phone Number: \_\_\_\_\_  
Contact Name: \_\_\_\_\_  
Signature: \_\_\_\_\_



INCLUDED PAPERWORK:

- Original Dealer's Bill of Sale (copies are unacceptable)
- Original Odometer Disclosure Statement (approximations are acceptable when using a drive-away service)
- Manufacturer's Statement of Origin (MSO)
- Original Buyer's Invoice



MAIL TO:

Agency Name: Department of Transportation – Transit Section  
Address: 2960 Prospect Avenue, Helena, MT 59620-1001  
Attention: Adam Kraft

*Please include one completed copy of this form with the delivery paperwork packet.*

Multimodal Planning Bureau  
Phone: (406) 444-3423  
Fax: (406) 444-7671

An Equal Opportunity Employer

Rail, Transit and Planning Division  
TTY: (800) 338-7692  
Web Page: www.mdt.mt.gov

## Appendix W



Montana Department of Transportation

2701 Prospect  
PO Box 601001  
Helena MT 59620-1001

Michael T. Tooley, Director  
Steve Bullock, Governor

"Click here and type date"

"Click here and type name"

"Click here and type title"

"Click here and type address"

Subject:

Included in this package are: (1) the official MDT letter of vehicle release (2) the DMV original lien release form and (3) the vehicle sale form. Let the letter of vehicle release serve as notice that we hereby release all authority and interest in the vehicle listed below

MDT has faxed a copy of the lien release to the Deer Lodge DMV for their record retention. We strongly recommend that you attach the included original lien release form to the vehicle title at this time. If you intend to sell or transfer this vehicle, the title and lien release form must be both submitted to the new owner. The new owner needs these documents to release all interest when applying for the new title. Retain the vehicle sale form until you choose to sell the vehicle. At that time you will complete this form and return it to MDT.

The current quarter will be the last quarter for which you will be required to report on this vehicle unless you choose to continue operating the vehicle as part of your transit service and with the use of FTA funding.

If you have any questions, please call me at (406) 444-0886

Johannah Amestoy  
Transportation Planning- Transit  
(406) 444-0886

David Jacobs, Transit Supervisor	444-9192
Steven Potuzak, Western Regional Planner	444-4265
Tom Stuber, Northern Regional Planner	444-9216
Adam Kraft, Southern Regional Planner	444-6120



# Release of Security Interest or Lien

MVD Use Only

1003 Buckskin Drive, Deer Lodge, MT 59722-2375 • Phone (406) 846-6000 Fax (406) 846-6039 • [mvdtitleinfo@mt.gov](mailto:mvdtitleinfo@mt.gov)

For purposes of this document "vehicle" includes: a motor vehicle, trailer, semi-trailer, pole trailer, camper, motorboat, personal watercraft, sailboat and snowmobile.

**I certify that:**

- The security interest or lien against the following vehicle\* has been paid, and I direct the Department of Justice to mark the record satisfied in full:

Year: \_\_\_\_\_ Make: \_\_\_\_\_ Title Number: \_\_\_\_\_

Vehicle Identification Number:

Registered Owner: \_\_\_\_\_

File Date of the Security Interest or Lien shown on the title: \_\_\_\_\_

Security Interest Tracking Number: \_\_\_\_\_  
 (Found on the lien perfection document the lender receives when the security interest/lien is initially filed at the county.)

Secured Party Name: \_\_\_\_\_

\*Failure to provide any of the above information will delay processing.

- Under penalty of law (**MCA 45-7-203 Unsworn Falsification to Authorities**) the statements made on this form are true and correct to the best of my knowledge, information and belief, and if signing for a commercial entity, I have full authority to do so.

**Note:** MCA 61-3-103(5) requires that a secured party who has a perfected security interest or lien in a vehicle and who fails to file a satisfaction of the security interest or lien within 21 days after receiving final payment, must pay the department \$25 for each day that the secured party fails to file the satisfaction.

Secured Party Printed Name: \_\_\_\_\_

Secured Party Signature: \_\_\_\_\_ Date: \_\_\_\_\_  
 This is my legal signature

Appendix X



Montana Department of Transportation

2701 Prospect  
PO Box 101001  
Helena MT 59620-1001

Michael T. Tooley, Director  
Steve Bullock, Governor

VEHICLE SALE

Date of Sale: \_\_\_\_\_  
Agency (Seller): \_\_\_\_\_  
\_\_\_\_\_  
Address: \_\_\_\_\_  
\_\_\_\_\_  
VIN: \_\_\_\_\_  
Date of Lien Release: \_\_\_\_\_  
Sale Price: \_\_\_\_\_  
Purchaser: \_\_\_\_\_

**Sell and Use Proceeds for Other Capital Projects [49 U.S.C. 5334(h)(4)]**

After the useful life is met and with prior FTA approval, the grantee may sell project property for which there is no longer any public transportation purposes and use the proceeds to reduce the gross project cost of other FTA eligible capital transit grants. *The grantee is expected to record the receipt of the proceeds in the grantee's accounting system, showing that the funds are restricted for use in a subsequent capital grant, and reduce the liability as the proceeds are applied to one or more FTA approved capital grants. The subsequent capital grant application should contain information showing FTA that the gross project cost has been reduced with proceeds from the earlier transaction.*

I, \_\_\_\_\_ (your name), understand that in accordance with all state and federal regulations the proceeds from the sale of the above mentioned rolling stock will be used in the transportation system. After sale of vehicle, please complete and return a copy of this form letter to MDT Transit Section.

Signature: \_\_\_\_\_ Date: \_\_\_\_\_



## Appendix Y

### **SECTION 5310 CAPITAL CONTRACT #Contract # CFDA #20.513 Capital Assistance Program Enhanced Mobility of Older Adults and People with Disabilities**

THIS Contract is entered into between the State of Montana, DEPARTMENT OF TRANSPORTATION, TRANSPORTATION PLANNING DIVISION, 2701 Prospect Avenue, P.O. Box 201001, Helena, Montana (State) and Agency Name and Address and DUNS #DUNS # (Grantee). Liaison for the State is David Jacobs, Transit Supervisor. Liaison for the Grantee is Grantee Liaison.

The State, having been allocated grant monies of \$401,854 from the Federal Transit Administration (FTA) under FAIN #MT-16-X011, through Section 5310 of the Federal Transit Act for the Federal Fiscal Year of 2015 (October 1, 2014 – September 30, 2015), as amended, and desiring to assist the sub-recipient, enters into the following contract with sub-recipient. Actual award is contingent upon the availability of FTA funding.

#### **ARTICLE 1. PROJECT**

SECTION 1.1 Purpose of Contract. This Contract provides equipment or facilities assistance for the sub-recipients to enhance mobility of older adults and people with disabilities.

SECTION 1.2 Scope of Project. The sub-recipient shall implement and utilize project equipment as described in the SFYSFY Application for Capital Assistance and in accordance with the regulations of the Section 5310 program. The sub-recipient shall use its best efforts to efficiently and economically complete the Project.

SECTION 1.3 Project Description. [Project Description](#).

SECTION 1.4 Period of Performance. This Contract will be effective as of the last date on the signature page until retirement or transfer of the [Project Description](#).

SECTION 1.5 Cost of Project. The total cost of the Project shall be \$Total \$. The cost of the Project shall be shared as follows:

80.00% Federal and IDC	\$85% or 80%
20.00% Local Match	\$ 15% or 20%
State IDC - Local Share	\$ State IDC
Total	\$ Total

It is understood and agreed between the parties that:

Section 17-1-106, MCA, requires any state agency, including MDT, which receives non-general funds to identify and recover its indirect costs. These costs are in addition to direct project costs. MDT's indirect cost rate is determined annually as a percentage of the project's direct costs to cover the project's share of MDT's indirect costs as defined by 2 CFR Part 200, Appendix V. MDT's current indirect cost (IDC) rate is 10.37% for fiscal year 2016 (July 1, 2015 to June 30, 2016). In accordance with this statute, local agencies receiving Federal Transit Administration (FTA) funding are not subject to IDC on these funds and will be absorbed by the State. All federal funds are still subject to the current IDC rate.

The sub-recipient agrees to provide matching funds to assure payment of Project costs. Sub-recipient shall provide these funds when requested to meet Project costs. The sub-recipient will not refund or reduce its share of the project cost unless there is a corresponding proportional grant amount refund to the State. If payment is not received within thirty (30) days from the date requested, MDT may charge interest at the rate of 10% on the past due amount until paid in full.

**SECTION 5311 CAPITAL CONTRACT #Contract #  
CFDA #20.509 - Formula Grants for Other Than Urbanized Areas**

This contract is entered into between the State of Montana, DEPARTMENT OF TRANSPORTATION, TRANSPORTATION PLANNING DIVISION, 2701 Prospect Avenue, PO Box 201001, Helena, Montana (State) and Agency Name and complete Address and DUNS #DUNS # (Sub-recipient). Liaison for the State is David Jacobs, Transit Supervisor. Liaison for the sub-recipient is sub-recipient Liaison.

The State, having been allocated grant monies of \$9,966,436 from the Federal Transit Administration (FTA) under FAIN #FAIN #, through Section 5311 of the Federal Transit Act for the Federal Fiscal Year of 2015 (October 1, 2014 – September 30, 2015), as amended, and desiring to assist the sub-recipient, enters into the following contract with sub-recipient. Actual award is contingent upon the availability of FTA funding.

**ARTICLE 1. PROJECT**

SECTION 1.1 Purpose of Contract. This Contract provides assistance for the sub-recipient's public transportation service.

SECTION 1.2 Scope of Project. The sub-recipient shall implement and utilize project equipment as described in the SEYFiscal Year Application for Capital Assistance and in accordance with the regulations of the Section 5311 program. The sub-recipient shall use its best efforts to efficiently and economically complete the Project.

SECTION 1.3 Project Description. Project Description.

SECTION 1.4 Period of Performance. This Contract will be effective as of the last date on the signature page until retirement or transfer of the Project Description.

SECTION 1.5 Cost of Project. The total cost of the Project shall be \$Total Cost. The cost of the Project shall be shared as follows:

86.58% Federal and IDC	\$ <u>86.58%</u>
13.42% Local Match	\$ <u>13.42%</u>
State IDC - Local Share	\$ <u>State IDC</u>
Total	\$ <u>Total Cost</u>

It is understood and agreed between the parties that:

Section 17-1-106, MCA, requires any state agency, including MDT, which receives non-general funds to identify and recover its indirect costs. These costs are in addition to direct project costs. MDT's indirect cost rate is determined annually as a percentage of the project's direct costs to cover the project's share of MDT's indirect costs as calculated by 2 CFR Part 200, Appendix VII. MDT's current indirect cost (IDC) rate is 10.37% for fiscal year 2016 (July 1, 2015 to June 30, 2016). In accordance with this statute, local agencies receiving Federal Transit Administration (FTA) funding are not subject to IDC on these funds and will be absorbed by the State. All federal funds are still subject to the current IDC rate. [Note: If this project extends across more than one fiscal year, more than one annual rate will be involved, as the rates may change during the life of the project.]

The sub-recipient agrees to provide matching funds to assure payment of Project costs. Sub-recipient shall provide these funds when requested to meet Project costs. The sub-recipient will not refund or reduce its share of the project cost unless there is a corresponding proportional grant amount refund to the State. If payment is not received within thirty (30) days from the date requested, MDT may charge interest at the rate of 10% on the past due amount until paid in full.

## Appendix Z

January 15, 2016

Big Sky Transportation District  
David Kack  
PO Box 160099  
Big Sky, MT 59716

Subject: Contract #108733

David--

Enclosed is one copy of the above-noted contracts. Please have the signatory authority for your agency sign the contract and return it to me. When Lynn Zanto, the Rail, Transit, and Planning Administrator, has signed the contract, I will send a fully executed PDF copy back to you via email. If you do not wish to have a PDF copy, please make a copy of the contract and return two copies.

In addition, we are requesting the local match for the 45-Passenger ADA Medium Duty Bus.

Please issue a check in the amount of \$58,271.79 payable to the Montana Department of Transportation. Send your payment along with a copy of this letter using the enclosed address label; it will assure accurate processing of your local match funds.

Please contact your regional planner or myself if you have any questions.

Eric J. Romero, Transit Fiscal Planner  
Montana Dept. of Transportation  
Transit Section  
PH: 406-444-7645

Enclosures

cc: Collections – Org 500004  
Capital File



# Appendix AA



Montana Department of Transportation  
 Rail, Transit & Planning Division  
 Transit Section  
 PO Box 291001  
 Helena, MT 59629-1001

## MCS Onsite Vehicle Inspection Form

---

Agency Name:

Address:

Contact Person:

Phone:

Wheel Chair Lift Equipped: Yes  No

Inspection Date:

Vehicle Identification Number:

Body Make:

Chassis Make:

Year:

Fuel Type:  Gas  Diesel  Other

Mileage:

---

Equipment	Pass	Fail	Description of Failed Equipment - For Some Items Include Specific Location
<b>Exterior:</b>			
Windshield Free of Cracks	<input type="checkbox"/>	<input type="checkbox"/>	
Windshield Wipers Operable	<input type="checkbox"/>	<input type="checkbox"/>	
Drivers Mirrors	<input type="checkbox"/>	<input type="checkbox"/>	
Head Lights (High/Low)	<input type="checkbox"/>	<input type="checkbox"/>	
4-Way Flashers - Front, Rear	<input type="checkbox"/>	<input type="checkbox"/>	
Turn Signals - Front, Rear	<input type="checkbox"/>	<input type="checkbox"/>	
Tail/Brake Lights	<input type="checkbox"/>	<input type="checkbox"/>	
Back-Up Lights	<input type="checkbox"/>	<input type="checkbox"/>	
Marker Lamps (If Applicable)	<input type="checkbox"/>	<input type="checkbox"/>	
Tires - Check Tread Depth, Sidewall Damage	<input type="checkbox"/>	<input type="checkbox"/>	
Window Damage	<input type="checkbox"/>	<input type="checkbox"/>	
Properly Functioning Doors	<input type="checkbox"/>	<input type="checkbox"/>	
Body Damage	<input type="checkbox"/>	<input type="checkbox"/>	
Oil Level	<input type="checkbox"/>	<input type="checkbox"/>	
Brake Fluid	<input type="checkbox"/>	<input type="checkbox"/>	
Power Steering	<input type="checkbox"/>	<input type="checkbox"/>	
Transmission Level	<input type="checkbox"/>	<input type="checkbox"/>	
Radiator Level	<input type="checkbox"/>	<input type="checkbox"/>	
Ground (Free of Fluid Leaks?)	<input type="checkbox"/>	<input type="checkbox"/>	
<b>Interior:</b>			
Drivers Controls & Gauges All Functional	<input type="checkbox"/>	<input type="checkbox"/>	
Horn	<input type="checkbox"/>	<input type="checkbox"/>	
Defroster - Front, Rear (If Applicable)	<input type="checkbox"/>	<input type="checkbox"/>	
Heaters - Front, Rear	<input type="checkbox"/>	<input type="checkbox"/>	
A/C - Front, Rear	<input type="checkbox"/>	<input type="checkbox"/>	
Seats - Stained, Torn, Worn	<input type="checkbox"/>	<input type="checkbox"/>	
Functional Seat Belts - Driver, Passenger	<input type="checkbox"/>	<input type="checkbox"/>	
Interior Lights - Driver, Passenger	<input type="checkbox"/>	<input type="checkbox"/>	
Fire Extinguisher - Charged and Serviced	<input type="checkbox"/>	<input type="checkbox"/>	
First Aid Kit - Present	<input type="checkbox"/>	<input type="checkbox"/>	
Body Fluid Cleanup Kit - Present	<input type="checkbox"/>	<input type="checkbox"/>	
Reflective Triangles	<input type="checkbox"/>	<input type="checkbox"/>	
Fire Blanket	<input type="checkbox"/>	<input type="checkbox"/>	
Belt Cutter	<input type="checkbox"/>	<input type="checkbox"/>	
<b>Wheelchair Equipped Vehicles Only:</b>			
Priority Seating Signs (On All ADA Vehicles)	<input type="checkbox"/>	<input type="checkbox"/>	
Wheelchair Securement Location ADA Sign(s)	<input type="checkbox"/>	<input type="checkbox"/>	
Wheelchair Retractors Present for all Stations	<input type="checkbox"/>	<input type="checkbox"/>	
Operate Wheelchair Lift with Weight	<input type="checkbox"/>	<input type="checkbox"/>	
Wheelchair Lift and Remote Cable Damage	<input type="checkbox"/>	<input type="checkbox"/>	
Lift properly secured when stored (Loose?)	<input type="checkbox"/>	<input type="checkbox"/>	
<b>OVERALL VEHICLE CONDITION:</b>	Excellent <input type="checkbox"/>	Good <input type="checkbox"/>	Fair <input type="checkbox"/> Poor <input type="checkbox"/>
<b>Additional Comments:</b>			

Inspector: \_\_\_\_\_ Officer Number: \_\_\_\_\_

\*PASS = Properly working equipment, FAIL = Improperly working equipment  
 \*\*Note: This inspection does not meet DOT requirements as stated in 49 CFR 396.9.





## APPLICANT ORGANIZATION ASSURANCES

*The Montana Department of Transportation (MDT) and the Applicant understand and agree that not every provision of these certifications and assurances will apply to every Applicant or every project for which funding is provided. The type of project and the section of the statute authorizing Federal financial assistance for the project will determine which provisions apply. The terms of these certifications and assurances reflect applicable requirements of the MAP-21 (Moving Ahead for Progress) Chapter 53 of Title 49 Dated July 06, 2012.*

*The Applicant also understands and agrees that these certifications and assurances are special pre-award requirements specifically prescribed by Federal law or regulation and do not encompass all Federal laws, regulations, and directives that may apply to the Applicant or its project. A comprehensive list of those Federal laws, regulations, and directives is contained in the current FTA Master Agreement MA (19) for Federal Fiscal Year 2013 at the FTA website. The certifications and assurances in this document have been streamlined to remove most provisions not covered by statutory or regulatory certification or assurance requirements.*

### 1. FOR EACH APPLICANT

A. The Applicant assures that it meets the required Section 5310, Section 5311 or TransADE program requirements as specified in the Application Guide.

B. Assurance of Authority of the Applicant and Its Representative

The authorized representative of the Applicant who signs these certifications, assurances, and agreements affirm that both the Applicant and its authorized representative have adequate authority under applicable state and local law and the Applicant's by-laws or internal rules to:

- (1) Execute and file the application for Federal assistance on behalf of the Applicant;
- (2) Execute and file the required certifications, assurances, and agreements on behalf of the Applicant binding the Applicant; and
- (3) Execute grant agreements and cooperative agreements with MDT on behalf of the Applicant.

C. Standard Assurances

The Applicant assures that it will comply with all applicable Federal statutes and regulations in carrying out any project supported by an MDT grant. The Applicant agrees that it is under a continuing obligation to comply with the terms and conditions of the grant agreement or cooperative agreement issued for its project with MDT. The Applicant recognizes that Federal laws and regulations may be modified from time to time and those modifications may affect project implementation. The Applicant understands that Presidential executive orders and Federal directives, including Federal policies and program guidance may be issued concerning matters affecting the Applicant or its project. The Applicant agrees that the most recent Federal laws, regulations, and directives will apply to the project, unless MDT issues a written determination otherwise.

## Appendix DD



Montana Department of Transportation

2701 Prospect  
PO Box 201001  
Helena MT 59620-1001

Timothy W. Reardon, Director

Brian Schweitzer, Governor

October 23, 2012

Linda Gehrke  
Regional Administrator  
Federal Transit Administration  
12300 W. Dakota Avenue  
Suite 310  
Lakewood Colorado 80228-2583

Dear Ms. Gehrke:

This letter will serve as the Opinion of Counsel to be filed with the Federal Transit Administration, United States Department of Transportation, in connection with all applications submitted by the State of Montana, Department of Transportation, for Federal transportation assistance (whether operating, capital or project planning assistance) authorized by Title 49, chapter 53, title 23 United States Code; and other Federal statutes authorizing activities administered by the Federal Transit Administration.

Citations to laws, regulations, etc. establishing the legal authority of the Montana Department of Transportation to carry out transportation projects for which Federal assistance is sought is set forth below:

1. The Montana Department of Transportation is a public body, designated by § 2-15-104(1)(j), Montana Code Annotated (MCA) as a division of the executive branch.
2. Section 2-15-112(2)(c), MCA, grants the Director of the Montana Department of Transportation the power to "apply for, accept, administer, and expend funds, grants, gifts, and loans from the federal government or any other source in administering the department's functions."
3. Section 2-15-112(2)(d), MCA, grants the Director of the Montana Department of Transportation the power to "enter into agreements with federal, state, and local agencies necessary to carry out the department's functions."
4. Section 7-14-02, MCA, specifies that the Montana Department of Transportation shall allocate state funds appropriated by the Montana Legislature for public transportation purposes, and grants the Department rulemaking authority for that purpose.

I have reviewed the pertinent Federal and State laws and I have concluded that there is no legal impediment to the Montana Department of Transportation applying for and receiving financial assistance authorized by Title 49, chapter 53, title 23 United States Code; and other Federal statutes authorizing activities administered by the Federal Transit Administration. Furthermore, as a result of my examination, I find that there is no pending or threatened litigation or other

Director's Office  
Phone: (406) 444-6201  
Fax: (406) 444-7643

Web Page: [www.mdt.mt.gov](http://www.mdt.mt.gov)  
Road Report: (800) 226-7523 or 511  
TTY: (800) 335-7552

action which might in any way adversely affect any proposed project or the capability of the Montana Department of Transportation to carry out such projects.

Sincerely,

David L. Ohler  
Legal Counsel

## Resolution

Resolution authorizing the filing of applications with the Federal Transit Administration, an operating administration of the United States Department of Transportation, for Federal transportation assistance authorized by 49 U.S.C. chapter 53, title 23 United States Code and other Federal statutes administered by the Federal Transit Administration.

WHEREAS, the Federal Transit Administrator has been delegated authority to award Federal financial assistance for a transportation project;

WHEREAS, the grant or cooperative agreement for Federal Financial assistance will impose certain obligations upon the Applicant, and may require the Applicant to provide the local share of the project cost;

WHEREAS, the Applicant has or will provide all annual certifications and assurances to the Federal Transit Administration required for the project;

WHEREAS, the Legislature of the State of Montana, in Chapter L. 1991 created a Montana Department of Transportation; and

WHEREAS, the purpose of the Montana Department of Transportation is:

The legislature intends, through the creation of a Department of Transportation within the executive branch of state government, to provide the means to plan for the present and future transportation needs of the citizens of Montana to assure that transportation remains a viable element in the private sector of the economy to provide energy-efficient and ecologically compatible transportation services with optimum efficiency, effectiveness, and economy. It is the policy of the state of Montana that adequate, safe, and efficient transportation facilities and services of all modes are essential to the economic growth of the state and the well-being of its people and that the planning and development of those facilities and services be coordinated by a state Department of Transportation with overall responsibility for balanced transportation policy and planning.

And

WHEREAS, the Legislature of the State of Montana has passed Chapter 272, L. 1971 (as amended by Sec. 7., Ch. 358, L. 1973; Sec. 26, Ch. 285, L. 1977; and Sec. 1, Ch. 239, L. 1989 amd. Sec. 1, Ch. 601, L. 1993; amd. Sec. 7, Ch. 23, Sp. L. November 1993; amd. Sec. 1, Ch. 255, L. 2001.) which now in part reads:

Except as otherwise provided by law, each department head may:

(a) . . .

(b) delegate any of the functions vested in the department head to subordinate employees;

(c) apply for, accept, administer and expend funds, grants, gifts, and loans from the federal government or any other source in administering the department's functions;

(d) enter into agreements with federal, state, and local agencies necessary to carry out the department's functions.

NOW, THEREFORE, BE IT RESOLVED BY THE MONTANA DEPARTMENT OF TRANSPORTATION

1. The Director of the Montana Department of Transportation or his/her designee is authorized to execute and file application for Federal assistance on behalf of the Montana Department of Transportation with the Federal Transit Administration for Federal Assistance authorized by 49.U.S.C. chapter 53, Title 23, United States Code, or other Federal statutes authorizing a project administered by the Federal Transit Administration.
2. The Director of the Montana Department of Transportation or his/her designee is authorized to execute and file with its application the annual certification and assurances and other document the Federal Transportation Administration requires before awarding a Federal assistance grant or cooperative agreement.
3. The Director of the Montana Department of Transportation or his/her designee is authorized to execute grant and cooperative agreements with the Federal Transit Administration on behalf of Montana Department of Transportation.

CERTIFICATION

The Director of the Montana Department of Transportation certifies that the foregoing resolution has been duly and legally adopted by the State of Montana

  
\_\_\_\_\_  
Jim Lynch, Director  
Montana Department of Transportation  
3/9/10  
\_\_\_\_\_  
(Date)

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Appendix FF

<http://www.ntdprogram.gov/ntdprogram/2015Policy.htm>

<http://www.ntdprogram.gov/ntdprogram/pubs/safetyRM/2015/2015%20SS%20Reporting%20Manual%20-%20Final%20022315.pdf>

[http://www.ntdprogram.gov/ntdprogram/pubs/PolicyManual/2014/2014\\_Policy\\_Manual.pdf](http://www.ntdprogram.gov/ntdprogram/pubs/PolicyManual/2014/2014_Policy_Manual.pdf)

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