Rail and Public Transit Division **PROCEDURE**	NUMBER **OPT-X-019**	SUPERSEDES **New**
	EFFECTIVE DATE **03/02/2017**	PAGE NUMBER **Page 1 of 8**
SUBJECT **Agency Periodic Reports - OPTIS - External User Entry**	APPROVED BY /s/ Marsha Hoskins	
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PURPOSE

To describe the steps used by providers to submit agency periodic reports using the Oregon Public Transit Information System (OPTIS) grant management software.

POLICY

An agency periodic report is required from each agency receiving federal or state grant funds through an active agreement with the Oregon Department of Transportation (ODOT) Rail and Public Transit Division (RPTD). A report is also required from each agency operating a vehicle purchased using federal grant funds for as long as the vehicle is in active transportation service. Reports should be entered into OPTIS by the agency's authorized representative no later than 45 days following the end of each quarter.

GENERAL INFORMATION (Background/Scope)

Agency Periodic Reports (APRs) are also sometimes referred to as quarterly reports.

APRs may be entered into OPTIS at the same time as a request for reimbursement but are not to be used as a reimbursement request form.

Other types of progress reports and special purpose reports are not currently tracked in OPTIS and must be submitted manually or attached to the APR or reimbursement request in OPTIS.

Only OPTIS users who have document creation privileges may create documents. Users must also be 'validated for eResponse' before the system will allow them to create and/or submit documents on behalf of their agencies. This validation activates links to screens in OPTIS not visible to non-validated users. See definitions section for more information.

GUIDELINES

The standard reporting schedule for a state fiscal period is as follows:

Quarter 1 (July-Sept) → Submit by Nov 15
Quarter 2 (Oct-Dec) → Submit by Feb 15
Quarter 3 (Jan-Mar) → Submit by May 15
Quarter 4 (April-June) → Submit by Aug 15

REFERENCES/CONTACTS

OPTIS (Click the OPTIS logo and then select the green logo to access the production site.)

OPTIS Administrator: Maile Boals 503-986-3372

RPTD Transit Reporting Inbox (ODOTPTDReporting@odot.state.or.us)

Transit Website

DEFINITIONS

Agency Periodic Report: The online document in OPTIS used for quarterly reporting to RPTD. It details revenue, expenses, matching funds, performance data, vehicle data, and other information associated with grant agreements for transportation projects. This report is required once every quarter from each agency receiving federal or state grant funds through RPTD. The reporting period begins on the first operating day of the quarter and ends on the last operating day of the quarter. Reports are due in OPTIS no later than 45 days following the end of each quarter.

Fiscal Period: For the purposes of this procedure, a period from July 1st to June 30th.

Navigation Menu: The main list of options and program features available to a user in OPTIS. This list appears at the far left of the OPTIS Home screen in the grey area as well as on individual document screens. This menu will display different features for different user roles.

OPTIS: Oregon Public Transit Information System. The electronic grant management system used to administer state and federal programs on behalf of the public and participating service providers in Oregon.

Quarter: A three month period based on the state fiscal year. Quarter 1 runs from July 1st to September 30th; Quarter 2 runs from October 1st to December 31st; Quarter 3 runs from January 1st to March 31st; Quarter 4 runs from April 1st to June 30th.

Validation for eResponse: Validation is a security process used by RPTD to certify that agencies and individual users are legitimate. After an agency has requested and received *company* eResponse privileges (completed during the registration process by the OPTIS Administrator), the prime contact *person's* classification is set to 'validated user of an authenticated company' and that person is given system privileges to submit electronic documents and request reimbursement. Each user who must submit documents via OPTIS is assigned an eResponse keyword (different from the OPTIS login password) which functions like an electronic signature and must be entered when submitting documents on behalf of an agency.

Authorization for eResponse keywords is required using the "eResponse Keyword Request" form on the OPTIS page of the RPTD website.

PROCEDURE

1. Log in to OPTIS.

To verify that all assets have been recorded in OPTIS and that asset information is correct before creating your report:

2. Access OPTIS Asset Register by selecting "Asset Search" from the Navigation menu.

3. At the Find Asset screen, leave all fields blank and click "Submit." A list of current assets recorded for your agency will appear below the search criteria.

4. Compare this list of assets to your records to determine if all assets have been recorded in OPTIS. (Individual assets may be opened by clicking on the underlined Asset # to see more details.)

   NOTES:
   - Asset number is a unique number assigned by the system.
   - Plate number and VIN should match your records.
   - "Step" indicates the status of the record: 'Completed' = Initial Asset entry is complete;

‘Change Posted’ = Asset record has been edited and completed; ‘Review Change’ = Asset entry or editing is in progress and there may be issues or questions pending.

5. *Once all assets are verified,* confirm that the current quarterly report to be entered does not already exist in OPTIS (step 7. below.)

6. *If the asset register is incorrect or incomplete*, contact RPTD to update the information. When all assets have been entered correctly, confirm that the current quarterly report to be entered does not already exist in OPTIS (step 7. below.)

To verify that the current report to be entered does not already exist in OPTIS (Optional):

7. Report Verification, *Option One*:

   From the OPTIS Navigation Menu, select “My Documents” / “Document Search.”

   In the “Search By” field, select “Find by Document Number.” Type in “APR” (Agency Period Report) in “Document Number” field. Click Submit. A list of reports for all providers in your agency’s hierarchy appears. Scroll through the list to verify that a report does not already exist for the year and quarter you are preparing to enter. (You may narrow your search, if desired, by entering begin and end dates for the period in the Date Range fields. Use mm/dd/yyyy format.)

   NOTE: A status of Complete means the report is finished (issued); a status of Issue means the report has not been finalized (it is at the Issue step.) If the report is at the issue step, we may be waiting for clarifying information before completing the document.

8. Report Verification, *Option Two*:

   In the “Search By” field, select “Find by Organization Hierarchy.” Select “Periodic Report” in “Document Type” field. Select “All” in “Document Status” field. Click Search.

   A list of reports for all providers in your agency’s hierarchy appears. Scroll through the list to verify that a report does not already exist for the year and quarter you are preparing to enter. (You may narrow your search, if desired, by entering begin and end dates for the period in the Date Range fields. Use mm/dd/yyyy format.)

9. If you find a report for the same year and quarter, open it by clicking on the document number. Carefully review the information. If the data in OPTIS are identical to what you were preparing to enter, the current report is a duplicate and should not be re-entered. If the fiscal year and quarter are the same, but the data is not identical, this indicates the need for a revised or amended report. If no record appears for the specified report/period, enter a new report following the steps below.

To enter a new report:

10. From the Navigation Menu, select ‘Create Documents’; select ‘Create Periodic Report.’

11. At “Create Periodic Report” screen, using the drop down menu, select the correct agency for this report. Click ‘‘Next.’’ The ‘Create Periodic Report’ screen reappears with the correct agency name inserted in the “Issued By” field. Verify the “Issued By” agency.

12. Select or verify the correct biennium/fiscal period for this report from the drop-down menu.

    If you have not verified that all assets have been entered into OPTIS, return to the Asset Search screen and follow steps 2. through 6. before continuing.

    If you know that you have taken delivery of a new asset since your last report, and the asset has not been entered, contact RPTD. Leaving the "Create Periodic Report" screen before clicking "Create" means the report has not been created yet. You will need to begin again at step 10. after the asset entry is complete.

    If you have no new assets to report, check the box next to verification statement, '*I have verified that all assets to be reported have been entered into the system.'* Click "Create."

13. A verification screen appears documenting that the initial report has been created. (Record the form number, if desired, for future reference and/or searching purposes.)

    NOTE: APR-19-XXXX = **A**gency **P**eriodic **R**eport + Beginning Year of Biennium + Four Digit OPTIS-Generated Number. All APR numbers begin with *APR*.

    Click "Continue."

14. Begin the Periodic Report Wizard. Use the back button at any time to return to the previous step. Be sure to click "Next" or "Save" after entering information in each step to continuously save input.

15. Wizard Step 1 – Number

    This screen simply displays the auto-generated number for this report which cannot be changed. Click ''Next.''

16. Wizard Step 2 - Periodic Report Details

    In "Document Date" field, today's date appears. In "Periodic Report Quarter" the quarter for which you are reporting appears. You will notice the title which displays on this screen contains a quarter designation. OPTIS assumes and then indicates, based on the reports already entered, which quarter you are entering.

    Click ''Next.''

17. Wizard Step 3 - Volunteer & Non-Cash Resources.

    If your agency uses Volunteers, complete the table as follows, using the tab key to move from field to field. If your agency does not use volunteers, click "Next" to move to the next page.

    Line 1, Drivers –

    Column 1, # of Units (hrs/qty) – Enter total volunteer driver HOURS

    Column 2, Unit Value – Enter hourly RATE

    Column 3 – Total Value - OPTIS auto-calculates

    Line 2, Schedulers/Dispatchers –

    Column 1, # of Units (hrs/qty) – Enter total volunteer scheduler and/or volunteer dispatcher HOURS

    Column 2, Unit Value – Enter hourly RATE

    Column 3 – Total Value - OPTIS auto-calculates

    Line 3, Office Help –

    Column 1, # of Units (hrs/qty) – Enter total office help HOURS

    Column 2, Unit Value – Enter hourly RATE

    Column 3 – Total Value - OPTIS auto-calculates

    Line 4, Vehicle Maintenance –

    Column 1, # of Units (hrs/qty) – Enter total volunteer HOURS spent performing vehicle maintenance such as cleaning, repair, etc.

    Column 2, Unit Value – Enter hourly RATE

    Column 3 – Total Value - OPTIS auto-calculates

    Line 5, Contributed Professional Services* –

    Column 1 – Enter TYPE of PROFESSIONAL SERVICE donated such as legal advice, accounting services, advertising, etc.

    Column 2 – Enter number of volunteered service hrs

    Column 3 – Enter hourly RATE services.

    Column 4 – OPTIS auto-calculates the Total Value

    Line 6, Other In-Kind Services –

    Column 1 – Enter TYPE of OTHER IN-KIND SERVICE or MATERIALS

    Column 2 – Enter number of service hrs/qty

    Column 3 – Enter hourly RATE of services OR NUMBER/QUANTITY of MATERIALS

    Click "Next."

*If you need to report professional services or donated materials with more than one rate, please enter them on separate lines. To add a new line, place your cursor in the current box and press Enter.

18. Wizard Step 4 – Service Data (aka *Performance Data*)

    Enter reported rides, hours, mileage, and other information.

    1. Rides
    Total Passenger One-Way Rides (Fixed Route)
    Total Passenger One-Way Rides (non-Fixed Route)
    Elderly & Disabled One-Way Rides (Fixed Route)
    Elderly & Disabled One-Way Rides (non-Fixed Route)

    2. Hours
    Revenue Operation Hours (Fixed Route)
    Revenue Operation Hours (non-Fixed Route)

    3. Mileage
    Revenue Service Mileage (Fixed Route)
    Revenue Service Mileage (non-Fixed Route)

    4. Other Information
    Answer Yes or No to the question, 'Are you aware of other RPTD grantees that may also be reporting these service data? If Yes, enter name(s) of agency(ies) in comment box. If No, leave comment box blank.

    Click "Next."

19. Wizard Step 5 - Financial Statement Section. Enter all reported revenue and expense information. All fields are required to be filled; enter a zero in any field for which you have nothing to report.

    Revenue
    Fare Revenue
    Contract Revenue
    RPTD Federal Assistance
    Other Federal Assistance
    RPTD State Assistance
    Other State Assistance
    Local Assistance
    Federal Income Earned
    Donations (Cash)

    Expense
    Administration Expenses
    Operations Expenses
    Capital Expenses
    Planning Expenses

    Click "Next."

20. Wizard Step 6 - Grant Information (optional.)

    If progress on projects has been made since the last report, describe the activity by entering a narrative in each Update/Status box. This information is grant agreement specific and optional.

    Click "Next."

21. Wizard Step 7 – Assets - Vehicles

Enter vehicle information, even if it has not changed since your last report:

1. For your entire vehicle inventory:

Number of vehicles in service;

Number of spares or backups; and

Number of vehicles out of service.

2. For RPTD-funded vehicles only:

Enter latest odometer reading, date of reading, and vehicle condition for each vehicle.

Click ''Next.''

NOTE: OPTIS will display an error message if the mileage entered is lower than the previous mileage reported. Adjust the mileage accordingly.

Select "Out of Service" for any asset purchased with grant funds that has been idle for more than ninety days. Setting the vehicle condition to "Out of Service" will populate a corresponding table in a report which can be requested from RPTD.

For "Out of Service" assets, enter the dates assets were disposed or transferred. If the asset is not expected to return to service, enter the return date as 12/31/2025.

22. Wizard Step 8 - Accident Reporting

Answer "Yes" or "No" to the question, *'Has your agency had any vehicle accidents related to your transit service?*

If your agency has had an injury event involving a vehicle, answer "Yes" or "No" to the question, *'Were injuries involved?'*

If you answered yes to any question, click 'Add Accident' button. Enter VIN of vehicle involved in the accident.

Select type of occurrence from drop-down menu. For clarification on what constitutes an incident, a minor accident, and a major accident, contact your grant manager.

Enter number of fatalities, and number of injuries, if any.

If a drug and alcohol (D & A) test was performed, click in the box, if not, leave the box blank.

Key in a description of the accident or incident and what follow up, if any, occurred in the Comments box.

If a *required* DMV accident report was filed, scan and attach it to OPTIS in the Attachments section (Asset Wizard Step 11) or, if you are not able to scan the report, indicate in the Comments box that a copy is being sent via fax or email. Follow up by sending the DMV accident report to: RPTD Transit Section fax 503-986-4189 or odotptdreporting@odot.state.or.us

NOTES: It is only necessary to attach DMV accident reports that DMV requires; if your agency has a policy to file a report for any incident, no matter how minor, those do not need to be attached to OPTIS.

NOTE: The "Delete" button should only be checked if you have mistakenly entered accident information and wish to delete it.

Click ''Next.''

23. Wizard Step 9 - Civil Rights

    Answer “Yes” or “No” to the question, ‘Did your agency receive any Civil Rights complaints?’ If yes, in the area provided, identify the specific complaint(s) and the current status (outcome) of each.

    Answer “Yes” or “No” to the question, ‘Are you reporting on complaints from a prior quarter?’

    Click ‘‘Next.’’

24. Wizard Step 10 - Optional Agency Narrative.

    Tell us about your agency’s entire transit program. This is the appropriate place to inform us about a new service, a new service partner, a service cut back or to enter something for historical or record-keeping purposes.

    Click ‘‘Next.’’

25. Wizard Step 11 - Attachments.

    Attach any necessary documentation by scanning documents and saving them to your computer. Then browse to find, and click on "Open" to attach. Enter the name of the document in the “Attachment Title” field. For progress reports and forms, click on the “Supporting Documents & Forms” link to access RPTD’s website.

    Click “Finish.” The completed quarterly report appears.

26. Review and verify all information for accuracy. If errors are found when reviewing the report, select “Maintain” from the Navigation Menu and open the correct section of the Periodic Report Wizard. Make change(s) and click “Finish” when complete.

    NOTE: OPTIS helps validate the report data to verify the completeness (not the accuracy). It can be done in two ways.

    1. Select “Actions” and then “Check Integrity” from the Navigation Menu, or
    2. Select “Complete Step” from the Navigation Menu.

    If there are any incomplete fields which are required by OPTIS, they will be displayed. For most issues, the failure reason will also be linked to the area where it can be modified. If nothing is displayed, all required fields have been completed.

27. If you are the authorized representative for your agency with signatory authority, click “Complete Step” when finished; the “Review/Approve screen appears. Check the certifying statement box. Enter your eResponse keyword. Click "Submit."

28. If you are not the authorized representative for your agency, forward the document to the authorizing person (Actions/Forward/Select Person/Submit) who will complete the steps above.

29. If you need to delete an entire report from OPTIS (and it has not been finalized,) select the document, select “Actions” from the Navigation Menu, select “Delete,” and select “Submit/Return” at the Delete screen. Refresh the screen to verify that the report no longer exists.