

# Grant Management Training

## Modules

<a href="#">1</a>	Resources	<a href="#">7</a>	5311
<a href="#">2</a>	Compliance	<a href="#">8</a>	5304
<a href="#">3</a>	Using OPTIS	<a href="#">9</a>	Relief Funding
<a href="#">4</a>	Regional	<a href="#">10</a>	State Programs
<a href="#">5</a>	Procurement	<a href="#">11</a>	Specialty Reporting
<a href="#">6</a>	5310 and 5339		

Click on the module number to watch the recorded webinar.

2021-23

# Grant Management Training

## Question & Answer

*This comprehensive question and answer document has combined inquiries captured throughout this 12 module training series. (11 training modules and 1 module dedicated to questions and answers)*

### Special Transportation Fund (STF)

#### [STF Guidebook](#)

**Q: Can we use STF to reimburse mileage directly to an individual driver? Can STF Committee members receive travel reimbursement for attending STF meetings?**

**A:** Yes to both questions.

#### [Information on the consolidation and the rules advisory committee.](#)

[Senate Bill 1601](#) required consolidation of STF fund sources into the STIF program.

### Statewide Transportation Improvement Fund (STIF)

#### [STIF Background, Resources, Schedule](#)

**Q: Will there be another oversight guide when the STF and STIF programs are combined?**

**A:** Yes, this guidance will be issued in spring of 2022 and take effect on 7/1/23. All review guides will be updated in spring of 2022.

**Q: What are the STIF PTSP requirements? Do they have to be voting members on STIF Advisory Committees?**

**A:** Oregon Administrative Rule 732-040-0035 requires Qualified Entities, except for Tribes, to include at least one member on its STIF Advisory Committee who represents Public Transportation Service Providers or non-profit entities which provide public transportation services. Additionally, per STIF OAR 732-042-0010(d) Qualified Entities shall work collaboratively with Public Transportation Service Providers and other potential Sub-Recipients, as relevant, to develop a method for sub-allocating STIF Formula Fund moneys to Public Transportation Service Providers.

**Q: What form should we use when purchasing vehicles with STIF Formula funds?**

A: Agencies must complete the [Vehicle Form](#) which is found on PTD's [Vehicle Reimbursement webpage](#).

**Q Is the Low-Income Impact Mitigation report new? When is it due?**

A: This is not a new requirement; it was instituted with the creation of STIF and is required annually per statute. The [Low-Income Impact Mitigation Form](#) and [Cover Letter](#) are due with the 4th quarter SPR each year (Nov 15, 2022, for the 2021-23 biennium). Going forward, all Low-Income Mitigation documents will be due in August 45 days after the end of the fiscal year.

**Q: Is there an example of the PTSP mitigation report?**

A: [PTSP Low-Income Impact Mitigation Form](#)

In addition, the QE is required to fill out a [Low-Income Impact Mitigation Cover Letter](#).

**Q: Does the STIF Capital Asset List have to be included in the Agency Periodic Report (APR)?**

A: This list is a standard part of the APR through the asset and condition inventory that is reported quarterly in the APR. This requirement predates the STIF Program, but it is still relevant. Using the STIF capital asset listing, PTD uses the OPTIS asset register, ensuring that any STIF-funded asset (vehicle, shelter, facility) is recorded in the asset register as a PTD-funded asset.

**Q: What is the STIF Agreed-Upon Audit Procedures (AUP)? Are PTSPs also required to submit an AUP to ODOT?**

A: The AUP is part of the audit requirements for STIF formula QEs and PTSPs. Each year, both QEs and PTSPs are required to audit their STIF funds and may use the AUP form to report the audit using this [template](#).

PTSPs are also required to submit the AUP to ODOT and should copy the QE in that communication. ODOT also offers an option for the PTSP to provide the AUP only to their QE, and the QE would submit it to ODOT.

**Q: If a PTSP does not complete any projects in a STIF Formula biennium, what guidance could you give the QE for working with the PTSP in the new biennium?**

A: RTCs are the best resource and can help track smaller milestones and goals to see if they are being achieved throughout the biennium. Schedule a meeting with them to talk about ways to better support the PTSP, and options for structuring future projects to make sure that outcomes are achievable.

**Q: QEs have a compliance role, but they are not intended to audit PTSPs, correct?**

**A:** That is correct. QEs, in their compliance role, are allowed to do expenditure testing for SPRs and other submitted documentation.

**Q: Are there any changes in the STIF reporting forms this biennium?**

**A:** There will be minor tweaks to the SPR form as we try to make it easier to complete. For example, the program criteria with seven areas of emphasis for STIF Formula funding will auto populate based on the value on the STIF plan, but it can still be edited. All other features will largely be the same.

**Q: In the 2021-23 STIF grant solicitation webinar, there was information about keeping separate bank accounts for STIF Formula, STIF Discretionary, and STIF Intercommunity funds. Since STIF Discretionary and Intercommunity funds are provided on a reimbursement basis, are separate accounts necessary? Also, do we need a separate bank account for an in-district reserve vs. an out-of-district reserve?**

**A:** [OAR 732-040-0020\(2\)](#) requires STIF funds to be managed in separate governmental accounts. However, separate physical bank accounts is not necessary if the recipient can track current balances and interest apportionment for each fund, as applicable, on a real time basis. For questions or additional information, contact David at [David.J.GRAF@odot.state.or.us](mailto:David.J.GRAF@odot.state.or.us).

**Q: What are the differences between STIF Formula and Discretionary requirements for rolling stock, related to delivery, acceptance, and payment of invoice within respective biennium?**

**A:** Both programs use the same [Vehicle Purchase Reimbursement](#) form. However, the STIF Formula program requires relevant documents to be submitted as an attachment to the STIF Plan Report (SPR), rather than the reimbursement request. Since bus purchases using Discretionary funds are reimbursements, all of these documents will need to be attached to your reimbursement request (e.g. pre and post). If the purchase is made outside the quarter and the APR is not due yet, your RTC can typically still approve a reimbursement payment because it is a large expense and not all agencies can wait until the end of a quarter for reimbursement. There may be different required attachments for vehicles funded at least in part with federal funds. Please work with your RTC or Capital Program Coordinator to ensure appropriate documentation is provided for your vehicle purchase.

**Q: When match funds for rolling stock are from STIF, do we still need to provide full delivery, asset, and other documentation?**

**A:** The best practice is to attach these, with a notation in the comment field that the vehicle(s) were purchased with federal grants (noting the specific program) and that STIF funds are providing matching funds. This will not create a secondary asset, since PTD staff check to see if an asset is already in OPTIS.

**Q: Can we request a STIF Plan amendment the same way we amend other grants?**

**A:** STIF Plans cannot be amended and any unspent funds will be carried forward for the Qualified Entity to use during the following STIF Plan period. However, under certain circumstances, QEs may, with prior approval from ODOT, shift funds between projects and/or between tasks within a project. QEs should email their RTC or a member of the STIF team. Please see this [Guidance](#) for more information.

## FTA Section 5310

### FY2022-24 Section 5310 Discretionary webinar

**Q: Can we use Section 5310 funds to replace non-PTD-funded vehicles?**

**A:** Yes, as long as the vehicle being replaced is currently used in public transportation and has not previously been replaced.

**Q: What organizations will be eligible for the FY2022-24 5310 discretionary rural program?**

**A:** It will be a statewide competitive grant program, for FTA funding, not including any flexed funds from the Surface Transportation Block Grant (STGB). Only rural agencies or agencies operating rural service are eligible to apply.

**Q: Can you explain the 5310 formula funding allocation? Is it based on total population or population of seniors and persons with disabilities?**

**A:** PTD established the 5310 program as a base source of ongoing funding to support coordinated transportation plans and to assist communities in providing mobility choices for seniors and individuals with disabilities. The criteria, developed with stakeholder input, uses a population-based formula: 50 percent based on the STF Agency area population in proportion to the state population, and 50 percent based on the area's proportionate ratio of seniors.

**Q: What are eligible expenses for purchased services under 5310?**

**A:** Contracted or purchased services, procured through a process which meets federal procurement requirements are eligible under 5310. Contracted or purchased services can include all operational costs, inclusive of administration, mobility management, preventive maintenance, and other general operating expenses. Work that is being contracted should be clearly outlined in the contract with the primary subrecipient.

**Q: If a 5310 grant has multiple tasks but no project administration line item, how should indirect costs be included? Can they be proportionately spread across all tasks or should it be separately itemized?**

**A:** Indirect costs, for those agencies with an approved indirect cost rate or de minimis letter, can be charged in-line with each task as applicable (i.e., direct expenses + indirect rate = total request; note – indirect costs cannot be added to capital purchases!). That would be a ‘spread like butter approach’. Alternatively, if a recipient does not have a negotiated rate or de minimis letter, the recipient would need to file a cost allocation plan with ODOT using direct cost allocation method (such as per employee, or per square foot) to include expenses within a specific line item as allowable. Project administration is not an eligible expense under the 5310 program. If costs are not allowed within the line items on the grant agreement, they are not reimbursable.

## FTA Section 5311

**Q: We are interested in receiving 5311 funds. How does this program work?**

**A:** This fund includes a start-up program for general public transportation services in rural areas that are currently unserved or not funded by 5311. For example, a senior center that currently serves only its members could apply for 5311 funds if the program was expanded to serve the general public. Discuss these options with your RTC if you are interested in this program.

**Q: What is meant by not being able to use earned funds in year earned?**

**A:** This is a complicated issue and we recommend talking to your accounting person or RTC about your situation. According to the [FTA](#), the Master Agreement lists permissible sources of local share as: (1) Undistributed cash surpluses, (2) a replacement or depreciation cash fund or reserve, or (3) new capital. New capital would include a loan from any of various financial sources.

**Q: When we apply for grants, we are typically required to specify amounts for Administration, Planning, Operations, or Preventative Maintenance (PM). Since there are different match rates, how flexible are these funds after the grant has been awarded or executed? For example, months have gone by and we don't have any remaining operations funding, but we planned for \$50,000 in PM that we are not going to use. Can we use these PM funds for operations?**

**A:** After grant funds have been awarded and executed, only an amendment will allow you to move expenditures between activities. PTD will not reimburse for an activity line item unless it match the amount listed in the grant agreement. Also, not all funds can be moved. For example, funds cannot be reallocated from operations to preventive maintenance because of the different match rate

requirements. A request to move vehicle funds to preventive maintenance will be considered on a case-by-case basis. Involve your RTC early if you need to request an amendment.

**Q: Can we use Section 5311 funds for design work for shelters?**

**A:** Yes. Planning and design work for bus stop amenities, including shelters, can be included in the Scope of Work (SOW) for a Section 5311 grant agreement. Please consult with your Regional Transit Coordinator to ensure the project is appropriately described.

## FTA Section 5304

**Q: Which agencies are eligible to apply for 5304 funds?**

**A:** [Federal law](#) lists cities, counties, council of governments, transit districts in rural areas, tribal governments, small urban MPOs, and ODOT as eligible to apply for the funds.

**Q: How often is 5304 funding available for applications? Just each biennium?**

**A:** 5304 solicitations are held on an irregular basis. The previous year was in 2014. ODOT considers our federation appropriation, statewide planning needs and other factors before deciding whether or not to offer a competitive solicitation for FTA Section 5304.

**Q: What size of awards are typical under 5304? Are TGM Grants the same? Approximately how much is the total amount available in 5304 funds each biennium?**

**A:** This biennium we have had plans ranging from \$20,000 up to over \$150,000; it depends on the types of plans. The Transportation Growth Management program is separate from the FTA Section 5304 funding. TGM grants are through the ODOT Planning, Data and Analysis Division and are awarded by that Division. There was a total of \$1,031,820 available in the 21-23 Section 5304 grant cycle.

**Q: Can these funds be used for transit studies, operations analysis, and strategic business plans?**

**A:** These grants can be used for a wide variety of projects, potentially including each of these examples. The funding emphasis is established for each grant cycle. We recommend that you coordinate with your RTC to consider whether to submit an application.

## Special Funding Questions

**Q: Will ODOT be including large agencies for CRRSAA funding for our rural programs?**

**A:** Recipients of FTA Section 5307 funding will receive the CRRSAA funding directly from the FTA. Large transit agencies that provide transit access outside their district boundaries using Section 5311 funds, or who receive Section 5310 funding for required Non-Emergent Medical Care, may also receive CRRSAA funding from PTD. Please find the FTA's CRRSAA apportionment [here](#).

**Q: What is the best resource to get updates and information about ARP as it comes out?**

**A:** The best resource is the relevant [FTA website](#) because things change rapidly.

**Q: Will off-year funding be formula or discretionary? How will PTD share this process?**

**A:** The specifics have not yet been determined. Agencies will receive this information through a GovDelivery message and their regional transit coordinators.

## OPTIS

**User Guide:** <https://www.oregon.gov/odot/PTD/PTD%20Document%20Library/OPTIS-User-Guide.pdf>

**APR/RR Attachments Guide:** <https://www.oregon.gov/odot/PTD/PTD%20Document%20Library/APR-RR-Attachments.pdf>

**eResponse Keyword Form:**

<https://www.oregon.gov/odot/PTD/PTD%20Document%20Library/OPTISeResponseKeyword.docx>

**OPTIS Production:** [https://optisprod-ordot.msapproxy.net/open\\_grants.dll/welcome](https://optisprod-ordot.msapproxy.net/open_grants.dll/welcome)

**OPTIS Training:** [https://optistrain-ordot.msapproxy.net/open\\_grants.dll/welcome](https://optistrain-ordot.msapproxy.net/open_grants.dll/welcome)

**Oregon Traffic Accident and Insurance Report:** <https://www.oregon.gov/odot/Forms/DMV/32fill.pdf>

**OPTIS Administrator:** [OPTIS@odot.state.or.us](mailto:OPTIS@odot.state.or.us)

**ODOT Reporting Inbox:** [ODOTPTDReporting@odot.state.or.us](mailto:ODOTPTDReporting@odot.state.or.us)

## FTA Section 5339

**Q: When will the next 5339 solicitation be issued?**

**A:** For the national competitive FTA Section 5339 solicitation, rural agencies must apply through PTD by November 4, 2021. Materials for the competitive solicitation for Oregon’s state apportionment will be released in November 2021 and applications will be due February 2022.

## Procurement and Assets

[APRs/Vehicle Asset Management Title Release Request Form](#)

[Asset Disposal Notice Form](#)

[Preventive Maintenance – Capital Expense Invoice](#)

[Vehicle Purchase Reimbursement Instructions](#)

[Assets Flowchart](#)

[OPTIS Vehicle Information Form](#)

**Q: What is the typical turnaround time for ordering and receiving buses? Should we order our vehicles for next year now if we have funding, rather than waiting until FY2023-25?**

**A:** The time to order and receive a vehicle typically takes 6 months (for a small vehicle) to a year (for larger vehicles). A delay in the supply chain could add an additional 6 - 12 months to the process, potentially longer, especially for electric buses. We have reports of delays of more than one year. Delays could improve or continue to get worse depending on how the pandemic and economy/supply chains progress.

If you have an agreement for the 2021-23 biennium, we recommend you place your orders now to help ensure they arrive on time, especially if the funding is from a discretionary grant. PTD does not typically grant extensions for these grants. If you are making a large purchase or purchasing multiple vehicles, check with your RTC to make sure all the funding is in place –because some federal funding can be spent over a two year period.

Vendors have mentioned the below information:

***As of September 17, 2021, this is what we have been hearing:***

*The big picture looks like we will be affected through 2022, if not well into 2023. My best advice would be for agencies to get their RFQs out early and subsequent POs placed ASAP. The order queue is full, and we need to get in line.*

*It is just too uncertain to guarantee anything though. My vendors are telling me Ford E- and F-series chassis (CATs D and C) are arriving, but at a very reduced rate. Ford Transit chassis (CAT E-1) may not be available until 2022. Forecast is that it may be 2 years before Ford is at peak production again.*

*Freightliner and International chassis (CAT B) are slowed too. About double the lead-time to get one (120 days).*

**Q: Do all procurements have to go through the PTD Capital Program Coordinator? Or does this requirement just apply to procurements over a certain dollar amount? Should an agency also involve an RTC in procurements for planning or professional services?**

**A:** Office supplies or other small purchases would not need to go through PTD. However, if you need guidance or have questions, please consult the Capital Program Coordinator or your RTC. They can answer questions about using PTD funding and vehicle purchases. All vehicle purchases utilizing the state price agreement must go through PTD; it is also recommended that vehicle procurements not utilizing the state price agreement and other intermediate or large procurements go through PTD review.

**Q: Our Agency has a requirement to include solicitation documents in our procurement files. We have received these documents in the past but that are not available through state price agreements.**

**A:** If you need these those documents, please contact Brent Lutz at the Department of Administrative Services (DAS) [Brent.L.LUTZ@oregon.gov](mailto:Brent.L.LUTZ@oregon.gov)

**Q: Do we have to get a purchase order for smaller capital purchases like computer upgrades or an electric gate?**

**A:** The answer will depend on the cost, as well as your local procurement processes. We have some resources with thresholds for different types of purchases. We have a purchase order online for vehicles. The only item ODOT PTD requires a purchase order for is vehicles, ODOT PTD will send the signed PO to the vendor for vehicles, copying you. However, different types of purchases may require different documentation be submitted to PTD, other than a formal purchase order, so please work with your RTC when making capital purchases.

**Q: Can we send an RFQ to a vendor that has had poor performance in the past with new vehicle condition?**

**A:** With the limited number of vendors on the state price agreement, you're required to send RFQs to at least three vendors. For smaller vehicles, there may only be three approved vendors total. If you are having issues with a vendor, let PTD's Capital Program Coordinator know. The Capital Program Coordinator tracks that kind of information and communicates regularly with the vendors. The Capital Program Coordinator may also be able to advocate to get issues corrected, especially if you are having trouble communicating with the vendor.

**Q: What is the process for a purchase order? Does the Capital Program Coordinator issue the agency's purchase order to the vendor directly?**

**A:** After scoring your RFQ and making your selection, send this information to the Capital Program Coordinator. They will review this information and ask for a signed PO if the materials are satisfactory. The Capital Program Coordinator will review and sign the PO, then send it, with the vendor's RFQ, to the vendor, copying you. This will place the order for the vehicle(s).

#### [Buying a bus with federal funds](#)

**Q: What is the maximum extension we can get if a bus is not delivered in time? How much longer can the agreements be extended?**

**A:** Agreements can typically be extended for twelve months, even if the vendor only predicts a six-month delay. This avoids the need for an additional extension in the event of further delays. Amendments are granted on a case-by-case basis so please consult with your RTC. Typically, amendments are not granted for competitive, discretionary grants or operating grants.

**Q: Do you have a cheat sheet for the FTA clauses required in contracts? I have one but I want to make sure it is the most current.**

**A:** National RTAP has one on their website. Also available from RTAP is the Procurement Pro program that will provide all the required clauses based on the information you provide it.

<https://www.nationalrtap.org/Technology-Tools/ProcurementPRO>

**Q: In the past the state price agreements (SPAs) listed on ORPIN had a link access to the original solicitation docs and files. Currently the SPAs listed on OregonBuys don't seem to have that capability. Our FTA audit requirements include having a copy of the solicitation and supplier responses in our file – how do we access that?**

**A:** If those documents are needed for procurement files you will need to contact Brent Lutz at Department of Administrative Services (DAS) [Brent.L.LUTZ@oregon.gov](mailto:Brent.L.LUTZ@oregon.gov)

**Q: For reporting STIF Capital Asset List, do the formats/forms in the APR include the required reporting elements listed in the OAR? (Description of the Capital Asset, date of purchase or lease, purchase price, amount of STIF moneys contributed to the purchase or lease, the source of other funds, the authorized use, the Recipient or Sub-Recipient using the Capital Asset, and the condition of the asset, etc.)**

**Also, does a QE report STIF Capital Assets on their own APR and PTSPs report within their own APR? What if the asset is equipment/signs/shelters?**

**A: The APR will populate with asset information entered into OPTIS by PTD, when the asset is purchased.** For vehicles, ODOT will be listed as the first security interest holder and the QE would be second security interest holder or operator.

PTSPs provide QEs with the necessary quarterly capital asset information and documentation to be submitted as part of the QE's APR

All assets are in OPTIS that PTD has funded. Additionally, for Transit Asset Management Group Plan participants, all vehicles not funded by PTD should be entered into OPTIS. This will include equipment, shop vehicles of any value, and any equipment over \$50,000 that is used in public transportation.

**Q. What are the current procurement thresholds?**

**A:** Current FTA procurement thresholds (updated in 2018) are:

- Micro purchases - \$10,000 (increased from \$3,000)
- Small Procurements - \$250,000 (increased from \$150,000)
- Large Procurements - \$250,000+

These thresholds do not affect Buy America thresholds.

**Q. Who can dispose of Non-PTD-funded asset in OPTIS? Is the grant recipient responsible for recording disposal of Non-PTD-funded asset in OPTIS?**

**A.** Grant recipients with the correct privileges and an eResponse keyword can mark a non-PTD-funded vehicle as disposed in the OPTIS asset register.

**Q. Is there an RFP template for purchasing software or technologies?**

**A.** An RFP template for this purpose is not currently available; however, PTD expects technology consultant assistance will be available during the third quarter of 2022. These services will help agencies issue more efficient and appropriate procurements for these complicated appropriate technologies. Consultant services will provide assistance throughout the technology procurement process to help review proposals and contract negotiations. In the interim, RTCs can help provide examples of technology procurements.

**Q: Can PTD provide a matrix outlining pros and cons of different technologies and specifically fleet management software and scheduling software?**

**A:** PTD provides tools to educate and guide; the local decisions are the preference of the agencies.

What one agency may consider a benefit of technology, another may find as a hindrance.

**Q: In the FTA Section 5304 webinar, the micro procurement amount limit was \$10,000 but an FTA link showed \$3,000. Can you explain?**

**A:** The \$10,000 is the correct amount. FTA guidance lists \$3,000 but is out of date. The overarching federal guidance was updated, but FTA just has not revised all circulars yet.

## General Questions

### General Information

### RTC Regions

**Q: What is the link for signing up for GovDelivery emails?**

**A:** <https://public.govdelivery.com/accounts/ORDOT/subscriber/topics>

**Q: When are the quarterly reporting due dates for APRs and SPRs?**

**A:** APRs and SPRs are due 45 days after the end of a quarter. The typical reporting schedule is:

Quarter 1 (July-September) → Submit by November 14

Quarter 2 (October-December) → Submit by February 14

Quarter 3 (January-March) → Submit by May 15

Quarter 4 (April-June) → Submit by August 14

**Q: When are updates on FTA requirements provided? Where are they on the PTD website? Will PTD notify us when requirements change?**

**A:** PTD does not provide an update for every change to federal requirements but provides periodic topical trainings and state GovDelivery notices for major changes. We recommend that you sign up for FTA updates directly with FTA. <https://public.govdelivery.com/accounts/usdotfta/subscriber/new>

**Q: Can non-direct recipients sign their staff up for the triennial review workshops through FTA? I find the training a particularly good overview for new staff.**

**A:** Yes you can find additional information on [triennial review workshops](#) directly on the FTA website.

**Q: Do Coordinated Plans have to be updated every three years to get Federal grant funding?**

**A:** For FTA Section 5310 funding, the answer is yes, an agency should review Coordinated Plans every three years and update plans every five years, to reflect changes in the community. You would also want to review all funding requirements that include Coordinated Plans to ensure you address each required element. Federal transit law requires projects selected for funding under the Section 5310 program be included in a locally developed coordinated public transit-human services transportation plan, or Coordinated Plan. The primary purpose of the Coordinated Plan is to establish priorities that are used to guide the allocation of federal and state moneys.

**Q: Does a non-profit need to have a *de minimis* letter? Do they need to establish an indirect rate?**

**A:** Any entity charging an indirect cost *rate* needs either a *de minimis* rate election letter on file or needs to submit a negotiated indirect cost rate each year. PTD prefers that recipients to use a *direct cost allocation method/plan* (i.e., *hours, square footage, etc.*) because it vastly simplifies reporting and accounting.

**Q When would a transit agency use the PTD DMV customer number?**

**A:** DMV forms require you to provide a customer number when you file a DMV application for title and registration.

**Q: What is the difference in automated vs. manual accounting systems? What are examples?**

**A:** Manual accounting is done in traditional paper registers/account books/vouchers. Automated accounting systems use a computerized system with established controls and rules that govern the accounting of transactions (e.g., Intacct, Dynamics GP, Denali, or a proprietary system).

**Q: How long does it normally take to get quarterly reports approved?**

**A:** PTD does not “approve” APRs – they are reviewed after they are submitted in OPTIS. The workflow of Agency Periodic Reports (APR) varies based on the process the agency chooses. Some agencies have one person create and finalize (submit) reports using an eResponse keyword. Other agencies have one person (or sub-agency) create reports and another person (or sub-agency) finalize (submit) them. If your report is not complete, contact the people at your agency involved in the process or check the workflow history in OPTIS to see who worked on it last. STIF SPRs are also reviewed, and any inconsistencies or non-compliant elements are flagged for QEs.

**Q: How can grant subrecipients use OPTIS to monitor performance on pass-through funding?**

Agencies in OPTIS are established in a hierarchical schema that displays the lead agency and affiliated organizations. Each organization may be listed under only one organization, but may have multiple organizations under it.

If you are a lead agency with sub-agencies, you can search for documents just for your agency or for documents for all agencies associated with you. The *Find by Organization* option will provide a master list of all documents, including those of all agencies in your hierarchy. Designation of the lead agency can be modified.

A lead agency may ask sub-agencies to provide reporting data to them, but the sub-agency can only create a report for itself. For example:

**TriMet can create APRs for any of their sub-agencies**

**Create Periodic Report**  
(Test)

? Select the organization responsible for the document.

**Organization** Next

Issued By: \* **City of Canby 11016**  
City of Oregon City 11087  
City of Sandy 10994  
Clackamas County 10979  
Milwaukie Center Transportation 10981  
Northwest Portland Ministries, Inc. 10982  
Ride Connection, Inc. 10987  
South Clackamas Transportation District 10883  
Tri County Metropolitan Transportation District of Oregon 10881  
Wilsonville, City of 11001

**However, Milwaukie Center Transportation can only create an APR for itself**

**Create Periodic Report**  
(Test)

? Select the organization responsible for the document.

**Organization** Next

Issued By: \* **Milwaukie Center Transportation 10981**

Also see [OPTIS training](#) (see page 7)

**Q: How do we request an amendment to the scope of an existing grant? How much time will this take?**

**A:** 1. Contact your RTC to discuss the need for an amendment. Approval will depend on the agreement, type of contract, scope of work and status of the agreement. Typically, amendments are not granted for competitive, discretionary grants or operating grants. Your RTC can advise you on your particular case.

2. Once you have discussed your request with your RTC the RTC determines that the request is eligible and appropriate, the agency needs to make a formal request, by email, for an extension or amendment.

3. If the formal amendment request is approved by the Public Transportation Policy & Implementation Manager, the RTC will create an internal ODOT document for support analysts and finance staff to make the amendment.

4. PTD will email the agency a grant agreement amendment for signature and return to PTD, similar to the process for new grant agreements. Once fully executed, the amended grant will replace the original agreement.

The time needed for this review and approval will depend on the timing of the amendment. If the timing of the amendment overlaps with a solicitation process, an agency should expect the amendment to take about 45 days. Some amendments will only take a few weeks, but regardless, amendments are typically not granted less than 45 days before the end of the biennium or agreement expiration.

**Q: Do we have to have an executed grant before purchasing services or capital assets?**

**A:** Yes. A fully executed grant agreement must be fully executed before an agency can make any purchases. In very rare cases, with extenuating circumstances, PTD may grant pre-award authority for federal grant agreements so an agency can begin the purchase process prior to agreement execution.

**Q: What are the U.S. Department of Labor reporting requirements?**

**A:** The U.S. Department of Labor requires reporting from FTA Section 5311, 5311(f), and 5339 recipients. Each spring, PTD will send providers a request for information, with instructions; this information is due in May.

## GLOSSARY

**OPTP** - Oregon Public Transportation Plan

**QE** - Qualified Entity (QEs are the direct recipients of STIF Formula funds.)

**PTSP** - Public Transportation Service Provider

**RTC** – Regional Transit Coordinator