Virginia Department of Rail and Public Transportation

Grant Application Guidance and Grant Management Procedures

For Federal Transit Administration Section 5310: Enhanced Mobility of Seniors and Individuals with Disabilities Programs

Updated and effective as of December 1, 2021

Making Efficient + Responsible Investments In Transit

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GRANT APPLICATION GUIDANCE

The Virginia Department of Rail and Public Transportation (DRPT) has prepared this document to provide grant applicants and subrecipients of the Federal Transit Administration Section 5310: Enhanced Mobility of Seniors and Individuals with Disabilities program with information on the application requirements and procedures for managing an award.

This document is the primary resource for the Section 5310 program administered by DRPT, to assist with DRPT's grant application and post-award project management process. Other resources include DRPT's grant workshops held in the spring and fall. In addition, DRPT's staff is available anytime during the year to provide technical assistance and answer questions regarding specific grant programs.

State and federal grant funds administered by DRPT support Section 5310 services throughout the state and DRPT's core mission:

> *"To facilitate and improve the mobility of the citizens of Virginia and to promote the efficient transport of goods and people in a safe, reliable, and cost-effective manner."*

The Section 5310 program supports capital (including vehicles and equipment and mobility management) and operating costs of transportation services and transportation alternatives beyond those required by the Americans with Disabilities Act of 1990. The Section 5310 program includes three types of funding: capital, operating and mobility management. Capital projects for vehicles follow a specific purchasing process administered by DRPT. No funds are awarded for an agency to use on a vehicle purchase. Operating, mobility management, and other capital projects are paid on a reimbursement basis for eligible expenses.

Applications for funding are not officially approved until the Commonwealth Transportation Board (CTB) approves DRPT's Six Year Improvement Program (SYIP), usually at the CTB's June meeting. The funding for approved programs and projects will be available on October 1. All Section 5310 projects have a 12-month demonstration period; any funds not used as of September 30 of the demonstration period will be deobligated.

GRANT PROGRAM SCHEDULE

Each year, the application and award process for the Section 5310 program takes place between December 1, when the application period opens, and early June, when the Commonwealth Transportation Board (CTB) releases the final Six-Year Improvement Program (SYIP) that contains all approved grants. In order to qualify for these funding programs, potential applicants must complete a series of requirements during and outside of the open application period.

Table 1 highlights the major process steps, grantee requirements, and informational opportunities in DRPT's annual grant application and award process. Note that deadlines referring to the first day of the month (e.g. December 1 and February 1) are to be interpreted as the *first business day of the month.*

Table 1: Grant Application, Award, and Project Management Schedule

Responsible Party	Step	Type	FY 22 Schedule
Grant Applicant/ Grantee	**TransAM Data Update #1** *All assets in the statewide asset management system – TransAM – must be updated in order to quality for Section 5310 capital assistance*	**Requirement**	• July 15, 2021
Grant Applicant/ Grantee	**OLGA Ridership Reporting** *All Section 5310 grantees report the number of unlinked passenger trips provided in OLGA on a monthly basis; data is due by the 20th of each month for the preceding month (for example, July ridership data is due by August 20)*	**Requirement**	• Monthly, by the 20th of each month
Grant Applicant/ Grantee	**Application Assistance Available** *DRPT offers assistance developing applications to potential state and federal grant applicants*	**Informational**	• July 2021 – January 2022
Grant Applicant/ Grantee	**Grantee Outreach Workshop (Applications)** Provides applicants with information on the upcoming grant application process	**Informational**	• July and November 2021
Grant Applicant/ Grantee	**Human Service and Mobility Providers Coordination Meetings** All potential Section 5310 program applicants must attend a coordination meeting to be eligible for funding	**Requirement**	• November 2021
Grant Applicant/ Grantee	**FY21 State and Federal Grant Application Period** The grant application is open for all grant programs in the OLGA portal	**Process**	• December 1, 2021 – February 1, 2022
Grant Applicant/ Grantee	**TransAM Data Update #2** All assets in the statewide asset management system – TransAM – must be updated in order to quality for Section 5310 capital assistance	**Requirement**	• January 15, 2022
Grant Applicant/ Grantee	**5-year Capital Budgets Due** Grantees that receive Section 5310 capital support are required to submit 5-year capital budgets at the time of grant application submittal through the OLGA portal	**Requirement**	• February 1, 2022
DRPT	**DRPT Evaluates Grant Applications** Staff review grant applications, evaluate and score projects, and make funding recommendations	**Process**	• February – March 2022

DRPT	**DRPT Develops the Draft Six-Year Improvement Program (SYIP)** DRPT develops the draft SYIP, which contains all state and federal grants that have been awarded	**Process**	• February – April 2022
Commonwealth Transportation Board (CTB)	**Six-Year Improvement Program (SYIP) Public Review** Commonwealth Transportation Board (CTB) releases draft SYIP to the public for review and comment	**Process**	• April 2022
Commonwealth Transportation Board (CTB)	**Draft Six-Year Improvement Program (SYIP) Public Hearings** CTB holds public hearings to gather input on the draft SYIP	**Process**	• April – May 2022
Commonwealth Transportation Board (CTB)	**Six Year Improvement Program (SYIP) Adopted** CTB Approves final SYIP	**Process**	• June 2022 (typically)
DRPT	**DRPT Develops and Executes Grant Agreements:** DRPT staff develop contracts and work with grantees to execute them	**Process**	• June – October 2022
Grant Applicant/ Grantee	**Grantee Outreach Workshop (Grants Management):** Provides grantees with information on how to manage the grant funds that they have been awarded	**Informational**	• June 2022
Grant Applicant/ Grantee	**TransAM Data Update #3** All assets in the statewide asset management system – TransAM – must be updated	**Requirement**	• July 15, 2022
Grant Applicant/ Grantee	**Capital Applicants: Customize Vehicle Orders** Successful capital applicants will work with DRPT's vendor to customize the awarded vehicles and finalize the cost	**Requirement**	• August – October 2022
DRPT	**FY21 Grant Funds Available** Grantees may start spending awarded grant funds	**Process**	• October 2022
Grant Applicant/ Grantee	**Monthly Reimbursement Requests** Operating and mobility management grantee submits reimbursement requests on a monthly basis for funds awarded the previous month (i.e. reimbursement for funds spent in October 2021 is requested in November 2021) In January, April, July and October 2022, the completed work plan is due with the corresponding reimbursement request	**Requirement**	• Monthly: November 2022 – October 2023
Grant Applicant/ Grantee	**Capital Applicants: Local Match Due** Grantees with vehicle awards will be requested to provide the local match for the vehicles according to the vendor quote	**Requirement**	• September 2022 – February 2023
DRPT	**FY21 Grant Funds Available** Grantees may start spending awarded grant funds	**Process**	• October 2022
DRPT	**Capital Applicants: Vehicle Orders Placed** DRPT submits orders for awarded vehicles	**Process**	• October 2022 – March 2023
DRPT	**Capital Applicants: Vehicles Delivered** Vendor delivers vehicles to grantees	**Process**	• May – November 2023
Grant Applicant/ Grantee	**Project Closeout** Last day to spend Section 5310 operating or mobility management funding; any funds available at the close of September 30, 2022 will be deobligated by the	**Requirement**	• September 30, 2023

APPLICATION SUBMISSION PROCEDURES

Applications for funding for all of DRPT's grant programs must be submitted through DRPT's Online Grant Administration (OLGA) website **(**https://olga.drpt.virginia.gov**)**. DRPT will not accept applications in any other manner than through OLGA.

Organizations eligible to receive funding must set up an account and designate a Master User before they can submit an application. An OLGA account can be set up at any time of the year, and it is recommended that new applicants set up an OLGA account prior to the start of the grant application period.

Organizations are not permitted to apply for funding or vehicles on behalf of other organizations, which means that the organization that submits the application in OLGA must be the same agency that would ultimately receive funding for vehicles and sign the contract for the award. Any organizations that had been receiving funding or vehicles as pass-through from another agency must establish their own OLGA accounts for use moving forward.

HOW TO SET UP AN OLGA ACCOUNT

To set up an OLGA account, go to the OLGA website **(**https://olga.drpt.virginia.gov**)** and select "Getting Started" from the menu. First, check the Organizations drop-down list to determine whether your agency already has an OLGA account. If an account already exists, choose it from the drop-down list to find the agency's Master User. If the Master User is still employed by your agency, contact him/her to request access to OLGA. If the Master User is no longer employed by your agency, only a new Master User Agreement will be required; the agreement can be found in the Help section under "We need to change the master user on our account."

If no OLGA account exists for your agency, follow the instructions on the "Getting Started" page to submit a request for an OLGA account. Once DRPT verifies eligibility for an account, the applicant will receive an OLGA Access Agreement to designate a Master User. DRPT will notify the Master User designee when the OLGA account has been established. The Master User can then log in to OLGA and complete the account set-up, enter agency contact information, add additional users, and set user access and roles. The Master User can make changes to the account, its users, and contact information at any time. Instructions on managing the account can be found in the Help section on the OLGA website and within this document for specific functions.

THE BASICS OF GRANT APPLICATIONS IN OLGA

Once logged into your OLGA account, click on Grant Applications and then "Public Transportation/TDM Applications." The page will display a table of all available grant program applications. Scroll down to find the application you need, and click to create a new application. Applications may only be created and edited during the application period noted in Table 1: Grant Application, Award, and Project Management Schedule.

If you have an application already in progress, you will have dated application in progress that you can also open. Each applicant may only submit one application per grant program, so only one application needs to be started and submitted per program.

The Section 5310 program has one application for all three funding types: Capital, Operating, and Mobility Management. A program that seeks to apply for one, two, or all three types of funding needs to create and submit only one Section 5310 application. The single application will contain information about each of these three areas.

As you work on your application, be sure to save your work frequently. OLGA will time out after 30 minutes of inactivity, and any unsaved work will be lost. DRPT recommends copying out the application questions and working on answers in Microsoft Word or another program. Then, when complete, the answers can be copy and pasted into the application in OLGA.

Once an application is submitted, it cannot be edited. Applications that are missing required information as of the application due date will be scored accordingly.

Contact the DRPT Section 5310 Program Manager if you have questions regarding the application process or if you submitted an application before it was complete.

GRANT APPLICATION GUIDANCE: FTA SECTION 5310 PROGRAM

FAST Act

The United States Congress establishes funding for the FTA Programs through authorizing legislation that amends Chapter 53 of Title 49 of the U.S. Code. On December 4, 2015, President Obama signed the Fixing America's Surface Transportation (FAST) Act, reauthorizing surface transportation programs through Fiscal Year 2020. We are currently under a continuing resolution through Fiscal Year 2021 which provides funding for FY22 activity. We anticipate a continuing resolution to be available through Fiscal Year 2022 to provide funding for FY23 activity.

FAST Act – Designated Recipients; Applications to DRPT

Under the FAST Act, funds are apportioned based on each state's share of the targeted populations. Metropolitan Planning Organizations (MPOs) and other entities are allowed, under the FAST Act, to be designated recipients in large urbanized areas (over 200,000).

In accordance with Federal Transit Administration (FTA) guidance related to implementation of the FAST Act in large urbanized areas, and by mutual agreement, DRPT will serve as the designated recipient for the Richmond/Petersburg, Roanoke, and Hampton Roads Urbanized Areas. The Metropolitan Washington Council of Governments (MWCOG) will serve as the recipient of Section 5310 funds for the Washington D.C., MD, and VA Urbanized Area and applicants serving this area should apply for that program through MWCOG.

To be clear, all eligible applicants, including those in rural areas, small urban areas, and the large urbanized areas of Richmond/Petersburg, Roanoke, and Hampton Roads should apply to DRPT for funding to support projects under Section 5310 in accordance with this guidance document.

FTA GRANT PROGRAM COMMON APPLICATION REQUIREMENTS

All Section 5310 applications must include execution of the Annual List of Certifications and Assurances for FTA Grants and Cooperative Agreements (**FTA Certifications and Assurances**).

There are currently 21 categories of certifications and assurances, and every applicant to the Section 5310 program must certify all 21 categories. Each year, the federal document will describe which sections do not apply to the Section 5310 program.

1. Certifications and Assurances Required of Every Applicant
2. Public Transportation Agency Safety Plans
3. Tax Liability and Felony Convictions
4. Lobbying
5. Private Sector Protections
6. Transit Asset Management Plan
7. Rolling Stock Buy America Reviews and Bus Testing

8. Urbanized Areas Formula Grants Program
9. Formula Grants for Rural Areas
10. Fixed Guideway Capital Investment Grants and the Expedited Project Delivery for Capital Investment Grants Pilot Program
11. Grants for Buses and Bus Facilities and Low or No Emission Vehicle Deployment Grant Programs
12. Enhanced Mobility of Seniors and Individuals with Disabilities Programs
13. State of Good Repair Grants
14. Infrastructure Finance Programs
15. Alcohol and Controlled Substances Testing
16. Rail Safety Training and Oversight
17. Demand Responsive Service
18. Interest and Financing Costs
19. Construction Hiring Preferences
20. Cybersecurity Certification for Rail Rolling Stock and Operations
21. Tribal Transit Programs

FTA's annual certifications and assurances permit the applicant to submit a single certification to cover all of the programs for which it anticipates submitting an application. When available, the certification and assurances form will be included on the application screen in OLGA. Compliance with applicable certifications and assurances and circular provisions is required as a condition of funding. Electronic signature of the certifications and assurances will be enabled in OLGA when the effective edition of the document becomes available. **This document should only be signed by an agency's executive director, board chair, or another designated staff member who can provide documentation showing signing authority on behalf of the agency.**

FTA SECTION 5310: ENHANCED MOBILITY OF SENIORS AND INDIVIDUALS WITH DISABILITIES PROGRAM

This section provides a general overview of the FTA Section 5310 program, identifies who can apply, describes what types of projects could qualify for funding, and provides subrecipient terms and requirements.

The FTA Section 5310 program is authorized under the Fixing America's Surface Transportation (FAST) Act passed on December 3, 2015 (Statutory Reference: 49 U.S.C. Section 5310 / FAST Act Section 3006). There have been no rule changes since the FAST Act passed that affect the FTA Section 5310 program. On July 7, 2014, the Federal Transit Administration (FTA) published the Final FTA Circular FTA C 9070.1G, incorporating project types from the repealed New Freedom (FTA Section 5317) program.

Please refer to FTA's website and Circular (https://www.transit.dot.gov/regulations-and-guidance/fta-circulars/enhanced-mobility-seniors-and-individuals-disabilities) for specific compliance information and the full FTA Section 5310 program guidance.

DESIGNATED RECIPIENTS AND ELIGIBLE APPLICANTS (SUBRECIPIENTS)

DRPT administers the FTA Section 5310 program as the designated recipient, with direct oversight from FTA, for the following areas in Virginia:

- Rural Areas (less than 50,000 people)
- Small Urbanized Areas / UZAs (at least 50,000 people but less than 200,000 people)
- By mutual agreement, the Large Urbanized Areas / UZAs (200,000 or more people) of Hampton Roads, Richmond, and Roanoke

The Metropolitan Washington Council of Governments (COG) administers the FTA Section 5310 program for the Northern Virginia jurisdictions, including the City of Alexandria, Arlington County, City of Fairfax, Fairfax County, City of Falls Church, Loudoun County, City of Manassas, City of Manassas Park, and Prince William County. Eligible applicants serving the Northern Virginia area apply to the COG.

Federal guidelines allow DRPT to award FTA 5310 funds to subrecipients, as designated by DRPT. Eligible subrecipients include:

- Private nonprofit organizations
- State or local governments that (1) are approved by the state to coordinate services for seniors and individuals with disabilities, or (2) certifies that there are no nonprofit organizations readily available in the area to provide the service; or operators of public transportation that receive FTA 5310 grant funding indirectly through a recipient.
- Public transportation operators

Subrecipient eligibility is maintained by complying with grant requirements. Failure to comply with grant requirements, including mismanagement of grant funding, can result in the termination of the grant, refund of full or partial grant proceeds, and ineligibility for future grant opportunities with DRPT.

PROGRAM DESCRIPTION

The FTA Section 5310 grant program supports transportation services for seniors (ages 65 and older) and individuals with disabilities. This is a discretionary grant program, and applications are considered on an individual basis each year. An award of funding in any year does not guarantee future funding awards. It is expected that programs will identify and secure additional funding from other sources to support the cost of transportation services.

All demonstration periods under the FTA Section 5310 program are 12 months. These grants follow the federal fiscal year: all program periods begin on October 1 and end on September 30 of the following year.

PROGRAM GOALS

The purpose of the FTA Section 5310 program is to improve mobility for seniors and individuals with disabilities by removing barriers to transportation services and expanding the transportation mobility options available. The program requires coordination with other transportation programs and services in order to make the most efficient use of federal resources. This program is available to agencies that are proposing services outside of their current mission or operations. Funding is not available to subsidize general operations or replace (supplant) funding from another current or previous source.

There are three goal areas of the FTA Section 5310 program, and each applicant must demonstrate how their project attains at least one of these three:

1. Increase public transit projects that exceed ADA requirements (42 U.S.C. 12101 et seq.)

2. Improve access to fixed-route services and decrease reliance on paratransit

3. Alternatives to public transit that assist seniors and individual with disabilities with transportation

All applicants must demonstrate that the proposed transportation projects 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.

ALLOCATION OF FUNDS

Under the FTA Section 5310 formula, funds are allocated using U.S. Census data on seniors and individuals with disabilities. However, beginning in 2010, the Census Bureau stopped collecting this demographic information as part of its decennial census. Data on seniors and people with disabilities is now only available from the American Community Survey (ACS), which is conducted and published on a rolling basis.

Projects are determined to be rural, small urban, or urban based on who the project is serving and the place of performance. For an example, if the project begins in a rural area and takes those rural residents to locations in an urban area, yet does not pick up or transport residents in that urban area, it is considered a rural program.

Of the total FTA Section 5310 funds available, FTA apportions:

60% to Large Urbanized Areas

- Richmond, VA
- Roanoke, VA
- Hampton Roads, VA (Williamsburg, VA and Virginia Beach, VA urbanized areas)

20% to Small Urbanized Areas

- Blacksburg, VA
- Bristol-Bristol, TN-VA
- Charlottesville, VA
- Fredericksburg, VA
- Harrisonburg, VA
- Kingsport, TN-VA
- Lynchburg, VA
- Staunton-Waynesboro, VA
- Winchester, VA

20% to Rural Areas

FTA Section 5310 funding is highly competitive in the small urban and rural areas. Capital and operating requests in small urban and rural areas are expected to exceed funding availability.

COORDINATED HUMAN SERVICE MOBILITY PLAN

The Coordinated Human Service Mobility (CHSM) Plan (http://www.drpt.virginia.gov/transit/coordinated-human-services-mobility-plan/) identifies the transportation needs of individuals with disabilities, seniors, and people with low incomes; provides strategies for meeting those local needs; and prioritizes transportation services and projects for funding and implementation. The CHSM Plan is a single state plan that contains regional elements as chapters, with the regions following those utilized by other Commonwealth agencies providing support for transportation and transportation services. The CHSM Plan was developed and approved through a process that included participation by seniors, individuals with disabilities, representatives of public, private, nonprofit transportation and human services providers, and other members of the public.

Elements of a CHSM plan include:

- An assessment of available services that identifies current transportation providers (public, private, and nonprofit),
- An assessment of transportation needs for individuals with disabilities and seniors; this assessment can be based on the experiences and perceptions of the planning partners or more sophisticated data collection efforts, and gaps in service,
- Strategies, activities, and/or projects to address the identified gaps between current services and needs, as well as opportunities to achieve efficiencies in service delivery, and
- Priorities for implementation based on resources (from multiple program sources), time, and feasibility for implementing specific strategies and/or activities identified.

The FTA Section 5310 program requires projects selected for funding to be consistent with the approved CHSM Plan of any region within whose boundaries the project is located in whole or in part. FTA 5310 applicants are required to participate in the CHSM Team meetings each fall prior to the opening of the grant cycle.

The CHSM plan was updated in September 2019 and will be updated on an ongoing basis with participation from the public and stakeholder groups, which provide input on unmet needs and help identify strategies for action.

To view the state plan and its regional coordinated elements, visit the CHSM Plan's page on DRPT's website (http://www.drpt.virginia.gov/transit/coordinated-human-services-mobility-plan/).

TRADITIONAL SECTION 5310 PROJECTS

The FTA requires that at least 55% of any rural, small urbanized, and large urbanized area's annual apportionment be utilized for public transportation capital projects that are planned, designed, and carried out to meet the specific needs of seniors and individuals with disabilities when public transportation is insufficient, unavailable, or inappropriate. Further, the law provides that these funds may be allocated to:

1. A private nonprofit organization; or
2. A state or local governmental authority that:
    a. is approved by a state to coordinate services for seniors and individuals with disabilities; or
    b. certifies that there are no nonprofit organizations readily available in the area to provide the service.

TRADITIONAL PROJECTS (55% MINIMUM)

BUSES AND VANS, WHEELCHAIR LIFTS, RAMPS, AND SECUREMENT DEVICES

MOBILITY MANAGEMENT

OTHER CAPITAL PROJECTS

Eligible capital expenses that meet the 55% requirement include:

1. Rolling stock and related activities for FTA Section 5310 funded vehicles:
    a. Acquisition of expansion or replacement ADA accessible buses or vans, and related procurement, testing, inspection, and acceptance costs;
    b. Radios and communication equipment for the vehicle;
    c. Vehicle wheelchair lifts, ramps, and securement devices.
2. Support equipment for FTA Section 5310 funded vehicles:
    a. Computer hardware and software;
    b. Transit-related intelligent transportation systems (ITS);
    c. Dispatch systems;
    d. Fare collection systems.
3. Mobility management and coordination programs among public transportation providers and other human service agencies providing transportation, which enhance transportation access for populations beyond those served by one agency or organization within a community. For example, a nonprofit agency could receive FTA Section 5310 funding to

support the costs of sharing services it provides to its own clientele with other seniors and/or individuals with disabilities and coordinate usage of vehicles with other nonprofits, but not the operating costs of service. Mobility management is intended to build coordination among existing public transportation providers and other transportation service providers with the result of expanding the availability of service. Mobility management activities may include:

a. The promotion, enhancement, and facilitation of access to transportation services, including the integration and coordination of services for individuals with disabilities, seniors, and low-income individuals;
b. The operation of transportation brokerages to coordinate providers, funding agencies, and passengers;
c. The provision of coordination services, including employer-oriented transportation management organizations' and human service organizations' customer-oriented travel navigator systems and neighborhood travel coordination activities such as coordinating individualized travel training and trip planning activities for customers;
d. The development and operation of one-stop transportation traveler call centers or websites to coordinate transportation information on all travel modes and to manage eligibility requirements and arrangements for customers among supporting programs;
e. Operational planning for the acquisition and implementation of intelligent transportation technologies to help plan and operate coordinated systems inclusive of geographic information systems (GIS) mapping, global positioning system technology, coordinated vehicle scheduling, dispatching and monitoring technologies, technologies to track costs and billing in a coordinated system, and single smart customer payment systems. (Acquisition of technology is also eligible as a standalone capital expense).

NON-TRADITIONAL SECTION 5310 PROJECTS

The FTA allows up to 45% of rural, small urbanized area, and large urbanized areas' annual apportionments to be utilized for "non-traditional" or "other" eligible expenses.

Eligible operating expenses may include:

1. Public transportation projects planned, designed, and carried out to meet the special needs of seniors and individuals with disabilities when public transportation is insufficient, inappropriate, or unavailable;
2. Public transportation projects that exceed the requirements of ADA:
    a. Enhancing paratransit beyond minimum requirements of the ADA. ADA-complementary paratransit services can be eligible under the FTA Section 5310 program in several ways:

NON-TRADITIONAL PROJECTS

(UP TO 45%)

TRAVEL TRAINING, VOLUNTEER DRIVER PROGRAMS

EXPANSION OF PARATRANSIT SERVICE BEYOND REQUIRED ¾-MILE

OPERATING ASSISTANCE

i. Expansion of paratransit service parameters beyond the three-fourths of a mile required by the ADA;
ii. Expansion of current hours of operation for ADA paratransit services that are beyond those provided on the fixed-route services;
iii. The incremental cost of providing same-day service;
iv. The incremental cost (if any) of making door-to-door service available to all eligible ADA paratransit riders, but not on a case-by-case basis for individual riders in an otherwise curb-to-curb system;
v. Enhancement of the level of service by providing escorts or assisting riders through the door of their destination;

b. Feeder services. Accessible "feeder" service (transit service that provides access) to commuter rail, commuter bus, intercity rail, and intercity bus stations, for which complementary paratransit service is not required under the ADA.

3. Public transportation projects that improve access to fixed route service and decrease reliance by individuals with disabilities on ADA complementary paratransit service;
   a. Travel training: Training programs for individual users on awareness, knowledge, and skills of public and alternative transportation options available in their communities. This includes travel instruction and travel training services.
4. Alternatives to public transportation that assist seniors and individuals with disabilities with transportation. The following activities are examples of projects that are eligible public transportation alternatives.
   a. The FTA Section 5310 program can provide vouchers to seniors and individuals with disabilities to purchase rides, including: (a) mileage reimbursement (for use of personal vehicles at GSA rate) as part of a volunteer driver program; (b) a taxi trip; or (c) trips provided by a human service agency. Providers of transportation can then submit the voucher for reimbursement to the recipient for payment based on predetermined rates or contractual arrangements. Vouchers are an operational expense that require a 50/50 (federal/local) match. Transit passes for existing fixed route or ADA complementary paratransit service are not eligible.
5. Operating expenses limited to publicly available transportation that directly benefits seniors and individuals with disabilities. Programs that provide programmatic transportation to a set client base are not eligible for operating support. Eligible expenses include driver salaries, fuel expenses, and preventive maintenance (e.g. oil change), trip planning software service expenses, and limited administrative costs for administering the grant that are directly related to the transportation program for seniors and/or individuals with disabilities. Operating projects must be described and promoted as transportation services for seniors and individuals with disabilities on the agency's websites and in other public-facing publications.

FEDERAL AND LOCAL MATCHING REQUIREMENTS

Mobility management projects have a federal share of eighty percent (80%). As funds allow, the state provides a sixteen percent (16%) match from the state's paratransit funds. These projects require a four percent (4%) local match.

Operating projects have a federal share of fifty percent (50%). As funds allow, the state provides a forty percent (40%) match from the state's paratransit funds. These projects require a ten percent (10%) local match.

Capital vehicle projects have a federal share of eighty percent (80%). These projects require a twenty percent (20%) local match toward the actual vehicle cost or amount adopted in the Six-Year Improvement Program (SYIP), whichever is less. The local match is required before the vehicles are ordered, and is requested to be provided by check typically in the fall following the grant award. In no case will DRPT provide direct funding for an applicant to purchase a vehicle; all awarded vehicles will be purchased by DRPT following a standard process.

Vehicle costs are limited to the amount approved in the SYIP and are included in each year's grant application so that subrecipients can plan accordingly. Once an awarded vehicle is customized, if actual costs are greater than the amount approved in the SYIP, it is the responsibility of the subrecipient to provide the difference directly to the vendor. If actual costs are less than the amount approved in the SYIP, the difference will remain in DRPT's program fund.

It is the subrecipient's responsibility to verify DMV Sales Tax Exemption status. If the subrecipient is not exempt from sales tax, the sales tax can be added to the total vehicle amount so long as the total does not exceed the amount approved in the SYIP.

For Mobility Management, Operating, and Capital projects, all of the local match must be provided from sources other than U.S. Department of Transportation (DOT) funds. However, local match may be derived from other Federal funds that are eligible to be expended for transportation. It is up to each subrecipient to verify the eligibility of funding toward a local match.

GRANT PRIORITIES

DRPT has established four funding priorities in rank order.

The Section 5310 program is highly competitive. In all areas and for all project types, funding for applicants who are ineligible for FTA Section 5311 or other federal transportation funding is prioritized. Applicants who are eligible for Section 5311 funds should incorporate their projects into their standard operating and capital applications prior to seeking Section 5310 funding. Applicants who are eligible for Section 5311 or other federal funds and choose not to use these sources may not be awarded a Section 5310 grant and may not have their project incorporated into the Section 5311 application after the fact.

Priority One: To provide capital assistance to current FTA Section 5310 subrecipients for replacement vehicles where exists a continuing demand for transportation service for seniors and individuals with disabilities, a need for government subsidy, and a commitment of local financial and administrative support.

PRIORITES
1. Replacement Vehicles
2. Expansion Vehicles and Vehicles for New Programs
3. Existing Mobility Management and Operating
4. New Projects

Priority Two: To provide capital assistance to current FTA Section 5310 subrecipients for expansion vehicles, and to provide funding for replacement or expansion vehicles to new FTA Section 5310 applicants.

Priority Three: To provide capital assistance for Mobility Management projects or operating assistance to current FTA Section 5310 subrecipients where exists a continuing demand for transportation service for seniors and individuals with disabilities, a need for government subsidy, and a commitment of local financial and administrative support.

Priority Four: To provide funding of new mobility management, operating, and other capital projects. While this priority is ranked last, it should not be interpreted as an indication that a new project with strong local support and a demonstrated need would not be funded. In any case, applicants with new project proposals are strongly encouraged to contact the DRPT Human Services Transit Programs Manager to discuss their project prior to submitting an application.

SELECTION PROCESS

Before beginning the application process, please make sure your organization is eligible to apply for the FTA Section 5310 grant. Completed applications including all required attachments that are submitted on time will be included in DRPT's competitive selection process.

Projects will be evaluated based on (1) Grant Priority; (2) Project Needs/Goals and Objectives; (3) Technical Capacity; (4) Coordination Efforts; (5) Project Merit/Reach; and (6) Ability of Applicant to Comply with State and Federal Requirements (grant history). Ineligible applications will not be considered.

Additionally, DRPT will consider the following as part of its review:

- Applications for a replacement vehicle will be valuated based on the vehicle's age, which is calculated using the in-service date and not the date of manufacture, condition, and mileage. Applicants must identify in the grant application the vehicle identification number (VIN) of each vehicle that will be replaced. Applicants will be required to provide information on the usage of the vehicle, including ridership data, to evaluate vehicles for replacement or expansion. For requests for expansion vehicles, subrecipients must provide in the grant application sufficient data and analysis to demonstrate need for

expansion of its rolling stock (Priority #2). The existing vehicle must also be included in DRPT's Transit Asset Management (TransAM) system and have updated asset data, as required, by February 1. All monthly ridership data for the life of the vehicle should be updated in OLGA, as required, by February 1.

- The applicant's service area must have a documented need for transportation for seniors and individuals with disabilities, and the project must align with the current CHSM plan.
- The proposed service plan includes a maximum utilization of vehicles for transporting transit dependent seniors and/or passengers with disabilities in the area. Projects that propose to provide regular transportation with vehicles in use throughout the day will be prioritized over requests for vehicles that will be generally parked and used as needed. For example, a transportation program that provides medical trips Monday through Friday during business hours would receive precedence.
- The application includes supporting data such as ridership projections and trip purposes.
- DRPT encourages the creation of service coordination partnerships among transportation providers and/or organizations. Coordination agreements should be documented and signed by all participating agencies. Examples of written coordination agreements include memoranda of understanding (MOU) and lease agreements.
- Implementation of a sound comprehensive service management plan.
- Financial and management capabilities, particularly in assuring capital match and operating funds.

Upon completion of the evaluation process, DRPT includes the recommended applications and allocation in the Draft Six-Year Improvement Program (SYIP). Applicants may review the draft SYIP on DRPT's website to determine whether their application was recommended for funding. Upon final approval of the SYIP by the Commonwealth Transportation Board, DRPT will notify successful programs and include grant management guidance, as appropriate.

REQUIREMENTS AND RESPONSIBILITIES

VEHICLES

The FTA Section 5310 program for vehicle projects does not provide direct grant funding to subrecipients. DRPT will purchase all awarded vehicles using DRPT's vehicle contract(s). It is the responsibility of the subrecipient to complete the vehicle options sheet with the state's contractor after the grant has been awarded. Subrecipients must maintain a combined single limit of insurance coverage of at least $1 million on FTA-funded vehicles and must submit proof of insurance annually. Subrecipients must carry enough insurance to replace any FTA-funded equipment, such as van lifts and other apparatus.

INCIDENTAL USE OF VEHICLES

FTA encourages maximum use of vehicles funded under the program. In all instances, vehicles must be used first for program-related needs in accordance with the approved application. Federal policy does allow some incidental use if the other program or project uses are currently or were previously supported with federal funds. Further, the incidental service may not compete with a public transit service, and must not meet the definition of a charter service. This use is considered incidental as long as it does not interfere with the program use outlined in the application and is limited in time. Requests for incidental use of vehicles must be submitted to DRPT in writing for approval before engaging in such services.

If approved in writing by DRPT, the incidental use may begin and must be separately tracked from the Section 5310 service. Miles driven for incidental service do not count against the service life of the vehicle, and a report of incidental miles driven is required to be provided to DRPT on a semi-annual basis by January 15 and July 15.

Any costs associated with the incidental service must be covered by sources of funding other than the Section 5310 program and DRPT. In no case may Section 5310 funds be used to fund an incidental service.

MOBILITY MANAGEMENT PROJECTS

Mobility management grant budget requests shall not exceed two (2) employees' salaries. Employees funded under DRPT's mobility management program must primarily be responsible for understanding the community's mobility needs, planning and implementing coordinated transportation, trip planning (all travel modes), and transportation arrangements to fill gaps in service for seniors and individuals with disabilities.

Marketing and advertisement of transportation and/or mobility management services may not exceed 5% of the total project cost less equipment or $5,000, whichever is less. Marketing and advertisements must be directed toward the subrecipient's clients or client groups (specifically, seniors and individuals with disabilities) and must describe or promote the transportation services being offered. Eligible expenses include advertising, marketing, and promotional media; communication services (telephone service and postage); and printing and reproduction of marketing materials. Copies of any advertising, marketing, or promotional materials will be due to DRPT with reimbursement requests including the cost for these items.

Other capital projects such as scheduling and trip planning software and Intelligent Transportation Systems (ITS) must be identified under the Mobility Management section of the grant application. Awards for these project expenses are atypical; if considering seeking funding to support a capital expense other than vehicles or Mobility Management, contact the DRPT Human Services Transit Programs Manager to discuss the proposed project before submitting an application.

Note: Operating and Mobility Management grants are issued on a reimbursement basis. Costs must be incurred before payment is made. All costs charged to DRPT-assisted projects must be supported by properly executed payroll, time records, invoices, contracts, or vouchers (operating

grants only; vouchers are ineligible under mobility management) evidencing in detail the nature and propriety of the charges. Operating expenses are reimbursed based on net operating expenses (operating expenses less fare revenues).

BUDGETING

INELIGIBLE EXPENSES

The following is a non-exhaustive list of ineligible expenses. Direct any questions regarding specific expenses to the DRPT Human Services Transit Programs Manager and refer to 2 CFR 200: Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (https://www.ecfr.gov). Examples of ineligible expenses include but are not limited to:

- Transit passes or vouchers for use on existing fixed-route or ADA complementary paratransit service
- Operating assistance for required ADA complementary paratransit service
- Rent, mortgage, or other office-space related fees or expenses (see indirect cost section)
- Furniture, artwork, and other non-functional items
- Food, including business or outreach lunches and alcoholic beverages
- Clothing, including staff uniforms and cleaning fees
- Membership dues
- Training, certification, or credentialing fees, including notary registration and renewal
- Promotional giveaways, including gift cards and recognition gifts
- Gas cards
- Gas taxes or fees
- Employee mileage in personal vehicles, rented vehicles, or costs associated with the operation of an agency vehicle available for personnel use
- DMV registration
- State inspection
- Late fees for any purpose
- Non-routine maintenance, including transmission replacement/rebuild and engine replacement/rebuild
- Maintenance on vehicles that were not purchased through the Section 5310 program
- Gas for vehicles that were not purchased through the Section 5310 program
- Expenses related to any DRPT application or grant management process, including but not limited to costs to place public notices
- Event fees or expenses, whether hosted or attended by a DRPT subrecipient
- Fundraising expenses
- Certain marketing/promotional expenses, including the cost of promotional items or gifts

INDIRECT COSTS

Indirect costs are eligible for FTA Section 5310 funding, but must meet specific requirements and be approved by DRPT for funding.

Applicants that intend to request support for indirect costs must provide a Negotiated Indirect Cost Rate Agreement (NICRA) from a federal agency or use the de minimis rate of ten percent (10%) of modified total direct costs (MTDC) (2 CFR 200.68). MTDC for the purposes of these grants includes all direct salaries and wages, applicable fringe benefits, materials and supplies, and up to the first $25,000 of each subaward. Other expenses, such as travel and services, which are typically included in MTDC, are not eligible for reimbursement under this grant program because those direct expenses are not eligible under this grant program. Equipment and capital expenses are not included in MTDC.

Applicants with a NICRA with the FTA or other agencies may submit the approval documents with their application for consideration. Applicants electing to seek the de minimis rate may request up to ten percent (10%) of the application budget in indirect costs without providing a NICRA. Applicants requesting indirect support must explain in a budget narrative attachment what the costs will cover. If awarded support for indirect costs, the applicant cannot request reimbursement for any direct costs listed in the indirect cost plan.

For example, if an applicant elects to request ten percent (10%) of modified total direct costs to cover financial and administrative support, it may not request reimbursement for direct financial or administrative staff time.

Expenses that are solely eligible for indirect support include:

- Rent, mortgage, and expenses associated with office space, including depreciation, debt interest/service, and operations and maintenance expenses
- Utilities
- Administrative, clerical, and office maintenance and cleaning staff salaries and benefits
- Executive staff salaries

OPERATING AND MOBILITY MANAGEMENT PROJECT BUDGETS

Applicants requesting operating or mobility management funding must complete and attach a 12-month line-item budget using the provided template (see the appendix for a sample budget). The budget period is October 1 through September 30.

The Budget Excel file includes two tabs: “Budget” and “Fuel, Maint, Ins”:

- Budget Tab:
    - Using one row per item, list each item for which you are requesting funding and list the total amount requested in the appropriate column (Columns B through H).
        - Add more rows as needed to complete the spreadsheet.
    - For agencies requesting assistance with fuel, maintenance, or insurance, refer to the information regarding the “Fuel, Maint, Ins” tab, below.
    - For agencies requesting indirect/administrative assistance that have a Negotiated Indirect Cost Rate Agreement (NICRA), enter the NICRA percentage in G27. Agencies that do not have a NICRA may request up to the de minimis rate of ten percent (10%) and should enter this amount in G27.

- Fuel, Maint, Ins Tab
    - If requesting assistance with fuel, maintenance, or insurance, utilize this tab. This sheet will automatically calculate the project fuel, maintenance, and insurance and input the totals in the correct lines on the Budget tab.
        - Enter the total annual budget for each of these three expenses in column B.
        - Enter your agency's total fleet in column C.
        - In column D, enter the number of vehicles to be used for the proposed project.
        - Enter the total number of weekly service hours in column E.
        - Enter the proposed number of project service hours in column F.

PROCUREMENT

All items purchased using grant funds must comply with all federal procurement requirements. Before any advertisement or solicitation to purchase an item, the subrecipient must submit procurement documents to DRPT for review and approval. All Federal Contract Clauses are required to be included on proposals, contracts, and purchase orders. DRPT has developed checklists for Micro, Small, and Large purchases that must be completed by the subrecipient prior to solicitation.

INDEPENDENT COST ESTIMATE

Applicants must attach, along with their grant application in OLGA, an Independent Cost Estimate (ICE) for all procurements using grant funds. The ICE will be used to determine the eligible project cost and is required for all procurements with grant funds regardless of cost.

Acceptable methods to obtain an ICE include:

- Publicly published price lists
- Recently invoiced prices
- Comparable purchases by other agencies
- Outreach/market surveys
- Third Party Estimates

All ICEs must document the date of the estimate and name of person who developed it. A vendor that provides an estimate cannot be awarded the contract.

APPLICATION ATTACHMENTS

The following documents are required for the application:

- Articles of Incorporation/Charter
- IRS Letter of Exemption (501c3, etc.)
- Title VI plan dated within three years of the application due date

    - If the Title VI plan is outdated, the applicant should include information about its update process and include the date on which the new plan will be implemented
    - If the applicant is new and does not have a Title VI plan, it should include an attachment indicating the agency's agreement to establish a Title VI plan upon award; DRPT will provide a template for this purpose
- Copy of public notice printed in area newspaper, dated no later than two weeks before the application deadline
    - The public notice must be a true public notice printed in the legal section of an area newsletter; advertisements and columns are not acceptable
- List of local, public, and private human service and transportation agencies contacted
- One copy of the letter of notice to human service and transportation agencies
- Response letters from human service or transportation agencies
- Copy of letter of notice to MPO for your proposed service area, dated no later than December 31 (small and large urbanized areas only)
    - If your service area crosses multiple urbanized areas, then a letter must be sent to every MPO in your service area
- Copy of vehicle insurance package (capital applicants)
- Preventive Maintenance Plan and schedules (capital applicants)
- Budget (Excel file; template provided; mobility management and operating applicants)
- Independent cost estimates (mobility management and operating applicants)
- Job descriptions for any grant-supported position (mobility management and operating applicants)
- Appropriate Work Plan spreadsheet for this application year (Excel file; template provided; mobility management and operating applicants)
- Completed Work Plan spreadsheet for last grant year (existing mobility management and operating only; Excel file)
- Debarment check: a check of the organization's name on SAM.gov to demonstrate that the organization is not debarred
- Letters of commitment if the proposed application requires partnership(s) or other arrangement(s) with another organization to succeed – these should be true commitment letters and not letters of support

PLANS AND RECORDS

TITLE VI PLAN

Subrecipients are required to develop and implement a Title VI program. Applicants with existing Title VI plans are required to submit a copy of the plan dated within the three years prior to the application deadline. This plan is required prior to grant execution. For assistance with developing a Title VI plan, please contact DRPT's Civil Rights Officer.

PREVENTATIVE MAINTENANCE PLAN

Subrecipients must have a written maintenance plan for vehicles and related equipment. Elements of the plan must include the following:

- Standards for proper care and longevity for the vehicles, including defined intervals for preventative maintenance (such as oil changes at every 5,000-mile interval);
- Procedures to maintain project equipment at a high level of cleanliness, safety, and mechanical soundness;
- Procedures to maintain all accessibility features and equipment in good operating condition;
- Procedures to track when preventive maintenance inspections are due and to schedule preventive maintenance inspections in a timely manner (plans must specify mileage intervals for preventative maintenance);
- Procedures to maintain files that contains daily logs, inspection checklists, and repair records; and
- Procedures to maintain pre-trip inspection program that addresses vehicle condition, appearance and cleanliness, safety and ADA accessibility.

Preventive maintenance records will be inspected by DRPT to ensure proper maintenance and inspections are conducted when due.

PERFORMANCE DATA

Subrecipients of capital and operating grants are required to submit monthly ridership data on or before the 20th business day of each month for the previous month's activity. In OLGA, select "Human Service" for closed service ridership data (service not open to the general public; Section 5310 services may not be opened to the general public).

Ridership is counted as Unlinked Passenger Trips (UPT). Passengers are counted each time they board vehicles no matter how many vehicles they use to travel from their origin to their destination.

Taxicab operators must also provide passenger manifests and response times for each individual transported as part of its reimbursement backup in OLGA.

Mobility Management and Operating programs must complete and provide the appropriate Work Plan for the grant application year. Each program must develop relevant goals, strategies, and objectives, and track and report progress throughout the year. A sample Work Plan is included in the appendix. Quarterly data is due with reimbursement requests as follows:

- October through December data: due with January reimbursement request
- January through March data: due with April reimbursement request
- April through June data: due with July reimbursement request
- July through September data: due with October reimbursement request

ASSET DATA/TRANSAM

Subrecipients are required to record and maintain accurate asset inventory and data in DRPT's Transit Asset Management System (TransAM). When a subrecipient receives a vehicle that was purchased through a Section 5310 grant, the vehicle should be loaded into TransAM within two business days. The required inspection paperwork must be completed and emailed back to DRPT's Human Services Transit Program Manager within two business days.

Only vehicles purchased with funding managed by DRPT can be loaded into TransAM. Agencies may not use this system to manage vehicles that were purchased with non-DRPT or non-FTA funds. Any vehicles in the system that were purchased with other funds should be deleted.

The fleet of Section 5310 vehicles requires mileage, service status, and condition updates at least twice per year, by July 15 and January 15.

When an agency replaces a vehicle, the old vehicle should be marked as disposed in TransAM.

For additional guidance on TransAM, review the appendix.

PUBLIC NOTICE

Applicants are required to develop and publish a public notice of intent to apply for a FTA Section 5310 grant. This notice must be placed in the public notice/legal section of a newspaper of general circulation in the applicant's service area and should appear for a duration of at least one day and be placed at least 14 days before the application submittal deadline. For the FY 2023 grant cycle, the public notice should be advertised by or on January 18, 2022. The notice must include relevant application information, including the grant name, vehicle quantity (if applicable), and funding amount (all Section 5310 grants), as detailed in the example below. The notice may not be placed as an advertisement or as a notice of public meeting without providing the details of the application and method of providing comment. A scanned or downloaded copy of your notice as printed in your local paper must be attached to the application.

SAMPLE PUBLIC NOTICE

> Colonial Behavioral Health (CBH) in York provides transportation to/from CBH programs and community locations to seniors and individuals with developmental and other disabilities who live in James City, Poquoson, Williamsburg and York. CBH is requesting funds from the Commonwealth of Virginia to purchase two minivans with wheelchair ramps ($110,000) through the FTA Section 5310 program to continue this transportation service. The vehicles will be used regularly between 6:30 a.m. and 5:30 p.m. Monday-Friday and other times as needed. CBH invites interested public and private transit and paratransit operators in Hampton Roads to comment on the proposed vehicle replacements by sending written notice by Feb. 1, 2022 to: Virginia Department of Rail and Public Transportation – Public Transportation Division, 600 E. Main Street, Suite 2102, Richmond VA 23219 and to Colonial Behavioral Health, 473 McLaws Circle, Williamsburg, VA 23185.

NOTIFICATION TO LOCAL TRANSIT AND TRANSPORTATION PROVIDERS

Applicants are required to contact all local nonprofit human service, private, and public transit providers in their service area to advise them of their intent to apply for a grant. The agencies contacted should include, at a minimum, every agency that attends the applicant's regional CHSM meeting and any other transportation providers that can be found with a Google search.

Applicants are expected to look for opportunities to work with these other agencies to share resources and offer mutual support. It is a highest priority of the FTA Section 5310 program to ensure that the greatest amount of productivity possible will be realized for seniors and people with disabilities through these awards. It is often possible for agencies to coordinate transportation services to eliminate duplication, or to share equipment and resources.

Applicants should submit one sample letter of notification forwarded to each type of transportation provider in their service area and a list of all private nonprofit, private, and public transportation providers contacted and informed of your intent to apply for FTA Section 5310 funds.

Any return letters received from the agencies contacted should be included as attachments with the application. Letters of support should not be sent to DRPT; any letters received by DRPT will not be considered during the application review unless they are also attached to the application by the applicant.

SAMPLE LETTER OF NOTIFICATION TO LOCAL TRANSPORTATION PROVIDER

Dear Sir or Madam:

Pleasant View Home and Regional Center in Broadway, Virginia, intends to provide a fixed mini-bus route for people with developmental disabilities in the County of Rockingham, which includes the City of Harrisonburg, Towns of Broadway, Bridgewater, Dayton, Elkton, Grottoes, Mt. Crawford, and Timberville. The purpose is to transport these individuals to and from Developmental Day Programs, and other community integration and socialization projects that are deemed necessary to increase the independence of people with the developmental disabilities.

Funds are being requested from the Commonwealth of Virginia's Department of Rail and Public Transportation to purchase a 9-passenger van with lift through the FTA Section 5310 Program. It is the intent of this federal program to maximize coordination amongst transportation providers to the greatest extent possible to enhance resource-sharing opportunities.

We invite you, as a local provider within the Harrisonburg-Rockingham area, to comment on the proposed services. We are particularly interested in exploring opportunities to work with your agency to coordinate services, share resources, or pursue other activities that will mutually benefit our transportation programs. If you are interested in exploring this further, please notify us at the Pleasant View Home and Regional Center, P.O. Box 426, Broadway, Virginia 22815.

If you have any questions, please feel free to call me.

Sincerely,

John Doe
Executive Director

INTERGOVERNMENTAL REVIEW

NON-URBANIZED AREAS

Regional intergovernmental review of FTA Section 5310 projects in non-urbanized areas is not required, but applicants may choose to send a letter to their local Planning District Commission(s) to notify them of the proposed project and application.

URBANIZED AREAS

Applicants in the urbanized areas must notify their Metropolitan Planning Organization (MPO) of their intent to apply for FTA Section 5310 funds. Letters must be sent to the MPO no later than December 31. Applicants that do not send letters to the MPO or do not meet this deadline will not be eligible for funding.

As with the public notice, letters to the MPO must include the details of the grant program and application, including the amount sought.

FTA Section 5310 applicants must request that the proposed project be included in the annual element of the region's Transportation Improvement Program (TIP) **after** DRPT has

recommended the project for approval. A TIP is a transportation plan that must be developed for each urbanized area as a condition of funding. The comprehensive planning process results in plans and programs that are consistent with the development of the urbanized areas. The Annual Element is a list of transportation improvement projects proposed for implementation during each transportation program year. Each urbanized area has its own annual elements.

MPOs may send a return letter to the applicant acknowledging receipt of the letter of intent to apply, and stating that the project will be included in the TIP if funded. This is not a requirement of the MPOs, but something that may be done as a courtesy to the applicant to provide a letter to attach to the application.

SAMPLE LETTER TO METROPOLITAN PLANNING ORGANIZATIONS

Gary Christie
Executive Director
Central Virginia MPO
828 Main Street, 12th Floor
Lynchburg, VA 24504

Dear Mr. Christie:
The Central Virginia Area Agency on Aging (CVAAA) is seeking capital assistance from the Commonwealth of Virginia through the FTA Section 5310 Program to purchase transportation equipment. As part of the application process, we are required to notify our Metropolitan Transportation Planning Organization of our proposed grant request. If the project is approved by DRPT and included in its draft Six Year Improvement Program released in April, we request that the project be included in the annual element of the Transportation Improvement Program (TIP), if approved by DRPT. CVAAA is requesting funding to purchase three 9-passenger vans with lifts. The total cost of the project is approximately $150,000. The federal grant is for 80 percent of the total cost with CVAAA being responsible for the 20 percent balance.

Our plan is to provide demand-responsive transportation for our senior clients in the Lynchburg metropolitan area to agency-related activities, medical appointments, grocery stores, and other destinations.

DRPT will notify the MPO of the applications that will be considered for approval in April. At that time, we are requesting that the MPO incorporate the project in its TIP under FY22.

If you have any questions about our proposal, please feel free to call me.

Sincerely,

John Doe
Executive Director

VEHICLE MENU

Applicants requesting vehicles under the 5310 program will select and customize vehicles available on the current state contract. All vehicles are required to be wheelchair accessible. DRPT's program does not support stretcher transport, and vehicles may not be customized to provide this type of transportation.

The vendor will work with each grantee to customize the order, which will then be signed by the grantee and returned to DRPT.

Each grantee may customize each vehicle up to the budgeted award amount for that vehicle. Any amount over the budgeted award amount is the direct responsibility of the agency to the vendor. For example, if DRPT awards an agency $45,000 for a minivan and the agency customizes the vehicle to cost $50,000, then the agency will directly pay the vendor $5,000. DRPT will collect $9,000 based on the 20% local match required for a $45,000 award, and will supply the remaining $36,000 from federal funds.

As another example, if an agency receives a $45,000 award for a minivan and a $65,000 award for a 14-passenger vehicle and customizes the minivan to cost $40,000, then DRPT will collect $8,000 as the local match and supply the remaining $32,000 from federal funds. The balance of $5,000 between the final price and the award amount cannot be used to supplement the cost of the 14-passenger vehicle.

Once all vehicle orders are received, DRPT will contact all grantees to provide the required 20% local match. Upon receipt of all local matches, DRPT will order the vehicles on behalf of the grantees. This section describes the vehicles that are currently available to 5310 grantees. Funds are not awarded for any other vehicle purchases, and grantees may not purchase vehicles themselves and request reimbursement through DRPT.

MODIFIED MINIVAN WITH RAMP (5 PASSENGERS)

HIGH ROOF VAN WITH LIFT (9 PASSENGERS)

BODY ON CHASSIS VEHICLE WITH LIFT (13- TO 21-PASSENGER; CAN BE CUSTOMIZED TO INCLUDE MORE WHEELCHAIR TIEDOWNS AND REDUCE OVERALL PASSENGER COUNT)

The number and location of wheelchair placements will influence seating capacity for wheelchair accessible vehicles.

GRANT MANAGEMENT PROCEDURES

This document outlines procedures for recipients of state and federal grant funds under the FTA Section 5310 program administered by the Virginia Department of Rail and Public Transportation (DRPT). These procedures govern the administration of all active Section 5310 awards regardless of date of award. These procedures are updated as needed and are reviewed at least annually to ensure they align with current practice, regulation, and requirement.

The procedures described in this document apply to various staff at agencies and organizations receiving Section 5310 funding from DRPT, including staff that is involved with grant agreements, invoicing, funding administration and tracking, capital asset inventory, financial compliance, and project/program implementation and management. Employees working in these functions should read this document and follow the procedures within.

DEVELOPMENT AND APPROVAL OF THE SIX-YEAR IMPROVEMENT PROGRAM (SYIP)

Each spring the CTB reviews a Draft Six Year Improvement Program (SYIP), a detailed programming document listing the proposed allocation of funding for DRPT and Virginia Department of Transportation (VDOT) programs, and authorizes its release to the public for hearings. After considering comments received from the public, the CTB adopts a Final SYIP. By law, the CTB must adopt a SYIP by June 30. DRPT develops the transit portion of the SYIP based upon applications from potential recipients. The DRPT Director is a non-voting member of the CTB and serves as DRPT's liaison with the Secretary of Transportation and the CTB.

KEY STEPS

1. Application Submission: Applicants submit requests for funding using DRPT's On-Line Grant Administration (OLGA) System by 11:59pm February 1 or the first business day following February 1.

2. FTA Certifications and Assurances: Applicants must self-certify that they are following these requirements and submit this as part of the grant application process by "pinning" FTA's certifications and assurances document in OLGA. Contracts for federal funding will not be executed unless the FTA certifications and assurances are pinned in OLGA.

3. DRPT Evaluates Applications

4. DRPT Prepares and Presents the Draft SYIP to CTB: The Draft SYIP is typically presented to the CTB in late spring, typically on the third Tuesday of April or May.

5. Public Hearings: The CTB holds public hearings in the spring on the Draft SYIP. DRPT will post information about the meetings as they are scheduled.

6. Amendments to the Draft SYIP: The CTB takes into consideration public comments and may direct DRPT to make amendments to the Draft SYIP. Amendments to the draft can

also be made to correct any line items that are not properly presented; contact the DRPT Human Services Transit Programs Manager to request corrections.

7. Adoption of the Program: The Final SYIP is typically adopted by the CTB in June. DRPT Program Managers notify recipients about the CTB action and the Final SYIP is posted on DRPT's website. If any requests for funding were included in the Draft SYIP but not included in the Final SYIP, DRPT will inform the grant applicant in writing.

8. Following CTB approval, the recipient may begin incurring expenses on the project **at their own risk**. Funding is occasionally reduced due to General Assembly, CTB, or federal actions. DRPT's participation in projects may be altered based on these changes. The spending for all projects must correspond with the executed contract start and end date. Any expenses incurred or activities provided outside of the contract period will not be eligible for reimbursement.

PROJECT AGREEMENTS

STATE MASTER AGREEMENT

All subrecipients of FTA Section 5310 funding that receive state funding as part of the local match, as with the operating and mobility management awards, are required to execute a State Master Agreement for receipt of state funds. A standard agreement is used across all programs, and is approved through an extensive internal process at DRPT and the Office of the Attorney General. Because language in the State Master Agreement is standardized, it cannot be changed. As with the project-specific agreements and FTA Certifications and Assurances, State Master Agreements **must be signed by someone with the authority to sign on behalf of the subrecipient organization**.

PROJECT-SPECIFIC AGREEMENTS

DRPT is the direct recipient FTA Section 5310 program funds for rural and small urban areas, and the designated recipient for the large urban areas of Roanoke, Richmond, and Hampton Roads. These funds are then distributed to subrecipients throughout Virginia following a competitive, discretionary grant process using OLGA.

Following approval of the SYIP by the CTB, DRPT submits an application for funding to the FTA. Upon receipt of an executed FTA award number from the FTA, DRPT develops project agreements federal funds and state match. All Section 5310 projects begin on October 1 and end on September 30. DRPT will not request alterations to the contract periods or extensions of expired contract periods from the FTA except in extreme circumstances discussed in advance with the DRPT Human Services Transit Programs Manager.

Project agreements are subordinate to master agreements, and contractually specify the details of funded projects. Separate project agreements are executed for each project undertaken by a DRPT recipient. DRPT project agreements include a project agreement summary, the maximum

state or federal share of eligible expenses, the project schedule, and the project budget which specifies the project description for which the budget may be spent. The start date of the project agreement for federal funding or state match to federal funding cannot precede the approval date of the FTA award.

The agreements are prepared by DRPT's Financial Programming staff and submitted to the DRPT Legal Counsel for review. Agreements are then uploaded to OLGA for review and approval by the DRPT Program Manager, Division Administrator, and Finance Department, and are then released to the grant recipient for execution in OLGA. Once the agreement is executed by the grant recipient, the DRPT Director or CFO will execute the agreement. The fully executed agreement is then available in electronic format in OLGA and the project is open for reimbursement beginning on the date specified in the agreement. **The agreement must be signed only by grant recipient agency personnel with the authority to sign agreements and enter their agency into a binding agreement. DRPT will request proof of written authorization stating that the person executing the agreement has the authority to do so.**

PROJECT REIMBURSEMENTS

DRPT provides Section 5310 funding for approved projects on a reimbursement basis, after recipients incur expenses. After the project agreement has been fully executed, recipients can begin to submit reimbursement requests through OLGA. Every recipient of Section 5310 funds is required to submit one monthly reimbursement request per project. Request may not be submitted less frequently than monthly unless no expenses were incurred for one month or more.

The following is a high-level summary of what recipients must supply to DRPT when submitting a reimbursement request. Recipients must be sure to include all of the required information with their reimbursement request so that DRPT Program Managers are able to properly review the reimbursement request and consider approving for payment.

In all cases, expenditures must have been incurred and paid to be eligible for reimbursement. If the subrecipient cannot provide proof of payment for an expense, it will not be reimbursed.

KEY STEPS

1. When submitting a DRPT reimbursement request, the recipient must ensure the amounts submitted are appropriately supported and are for authorized activities in accordance with the Master Agreement and Project Agreement.

2. Grant recipients should verify that the expenses submitted on the reimbursement request were incurred during the designated period of the project.

3. The reimbursement request as well as all supporting documents pertaining to the reimbursement request, and those requested by DRPT Human Services Transit Programs Manger during the review process, must be uploaded to OLGA by the grant recipient.

4. Section 5310 subrecipients receive an approved summary spreadsheet to be used for reimbursements throughout the duration of the grant. The entire spreadsheet, in Excel format, completed up to the date of reimbursement being requested, must be uploaded to OLGA with the reimbursement request.

5. Section 5310 Mobility Management and Operating subrecipients must also attach the completed work plan spreadsheet, in Excel format, to the reimbursement request on at least a quarterly basis.
    - Data from:
        - October through December is due January
        - January through March is due April
        - April through June is due in July
        - July through September is due October

6. A copy of the general ledger or other financial summary document is required with each reimbursement request, and should include, at a minimum:
    - Date of paid invoice
    - Invoice number
    - Total amount of invoice
    - Amount charged to the reimbursement request
    - Name of vendor
    - Description of the expense
    - Explanation of why reimbursement of only part of the total expense is being requested, if applicable
    - Expense category
    - Total amount charged

    The total amount on the summary document must equal the total amount of the reimbursement request. If the amounts do not match, provide an explanation with the request documentation.

7. Supporting documentation for every expenditure included in the reimbursement is required to be submitted with the request through OLGA in the order listed on the summary sheet, and the amounts on the documentation must match or be less than the amount requested for reimbursement.

REIMBURSEMENT SUMMARY SHEET

All Section 5310 reimbursement requests must be accompanied by a summary spreadsheet developed using the DRPT-provided template.

Once funding has been approved for your project, you will receive an approved budget and reimbursement template from DRPT. You should use the approved budget to fill in the “Budget”

and “Fuel, Maint, Ins” (if applicable) tabs of the reimbursement template spreadsheet. The budget line items will automatically populate to the monthly tabs.

On a monthly basis, complete the expenditures portion of the appropriate monthly tab, Columns B-H, Cells 2-17. The “Spending Overview” tab will automatically update on a monthly basis.

If fares, donations, or other revenue was collected to offset the cost of rides, input the amount collected in Cell I32 so that it will be deducted from the reimbursement request.

After filling in the appropriate month’s tab, Cell I34 will display the amount to input to OLGA for reimbursement. This amount may not align with your monthly revenue and expenditure report, which is acceptable. However, you must submit all backup documentation to support the direct expenditures; backup documentation for indirect costs is not required.

Months in which a performance report is due with the reimbursement request are highlighted red.

The entire Excel spreadsheet should be uploaded to the reimbursement request. Do not upload a PDF, single page, or any other altered version of the spreadsheet. Only reimbursement requests with the full Excel file will be processed; all other requests will be held until the spreadsheet is uploaded.

Below is an example of a completed month’s reimbursement spreadsheet.

Budget Item (Insert more lines if needed) Personnel: List personnel by position, FTE or hours X hourly rate. Other Budget Items: Describe budget items and provide applicable quantities.	**Salaries and Wages**	**Fringe Benefits**	**Materials and Supplies**	**Fuel, Maintenance and Insurance**	**Marketing**	**Equipment**	**Other (Describe)**	**Indirect Cost Rate**
Driver	$2,917							
Dispatcher	$2,917							
Marketing Materials					$208			
Phone						$30		
0								
0								
0								
0								
0								
0								
0								
0								
0								
0								
0								
0								
Fuel				$250				
Maintenance				$100				
Insurance				$250				
Sub Totals:	$5,833	$0	$0	$600	$208	$30	$0	$838
Remaining Approved Balance:	$64,167	$3,000	$0	$9,400	$1,792	$330	$0	

COLOR CODES
Enter items and budget amounts into these fields.
These items auto sum. Do not enter text in these fields.
These items auto calculate. Do not enter text in these fields. If requesting assistance with fuel, maintenance, or insurance, provide the required information in the "Fuel, Maint, Ins" tab.
These items auto calculate using the indirect cost rate in cell G27. If requesting assistance with indirect costs, enter up to 10% in cell G27.
Enter any fares, fees for service, dontations, etc. that were received during the reimbursement period.
This auto calculates. Do not enter text in this field. This is the total reimbursement request for the month.

		$6,672	$838
		Modified Total Direct Cost:	$5,833
Enter indirect cost rate in G27 if using:	**10.0%**	**Indirect Costs:**	$583
		+	
		Budget Items Sub Total:	$6,672
		-	
		Fares, fees, etc.	$150
		REIMBURSEMENT REQUEST:	$7,105

SUPPORTING DOCUMENTATION

All reimbursement requests must include legible supporting documentation that details the expenses charged to the project and proof that those expenses are germane to the project. Sufficient supporting documentation attached to reimbursement requests is required to provide evidence and justification for every expense. Support documents provide DRPT staff and external auditors with assurance that expenses paid are in accordance with the terms of the Master Agreement and the Project Agreement.

The following is a summary list of documents that should be provided with a reimbursement request. The summary list does not include every document that must be provided with a reimbursement request, as some support documentation is specific to the program or project.

- Payroll: copies of paystubs or other pay information matching the request
- Gas: individual receipts or billing statements from gas cards (tax on gas is not reimbursable and must be deducted from the request; gas for non-Section 5310 vehicles is not eligible for reimbursement)
- Maintenance: receipts or invoices showing the VIN and work performed along with the date and total of the expenses (maintenance on non-Section 5310 vehicles is not eligible for reimbursement)
- Insurance: copy of insurance policy and bill showing which vehicles are supported with the expense (insurance on non-Section 5310 vehicles is not eligible for reimbursement)
- Paid invoices or receipts
- Copies of promotional items and marketing materials (e.g. print, radio, TV, online social media advertisements, fliers, and any other marketing items with an associated expense)
- Trip Sheets: all operating grant reimbursements must include a trip sheet for all rides provided during the reimbursement period. The trip sheet should include, at a minimum, the date of service, originating address, destination address, trip provider name/business, and cost. Names are not required, and initials can be provided, if needed.

Receipts and invoices must clearly state what was purchased or what the items are. Recipients may need to write a short description on the receipt or invoice to indicate what the item is, the purpose of the item, and how it was used. Just because an item was purchased for program purposes does not mean that it is eligible for reimbursement. Items outside of the approved budget should be discussed with the DRPT Human Services Transit Programs Manager prior to submitting a request for reimbursement.

Supporting documentation must be from an official source such as a receipt or a third-party invoice. The general ledger or financial system report is not sufficient to support an expenditure. Questions about supporting documentation should be forwarded to the DRPT Human Services Transit Programs Manager prior to submittal of a reimbursement request.

REIMBURSEMENT REQUEST TIMELINE

Reimbursement requests can only be submitted ***after*** the project agreement has been fully executed by all parties and the contract period has begun. Requests submitted prior to both of these occurring will be rejected. All expenses incurred outside of the contract period will be rejected.

All reimbursement request for the Section 5310 program must be submitted monthly, and no more than one request may be submitted each month for each project. In the event that a program incurs no expenses in a month, a reimbursement request is not required. However, a program may not hold requests for multiple months to request them in a block, such as on a quarterly basis. If expenses are incurred in a month, then they should be requested for reimbursement no later than the last business day of the following month.

Expenses requested for reimbursement more than 30 days after the end of the month in which they were incurred may be rejected.

DRPT will make every effort to review and remit payment within 30 days from submission of the reimbursement request that receives an Approval from the DRPT Human Services Transit Programs Manager. Approvals will take longer, and thus the payment may be made after 30 days, particularly if the proper support documentation is not included with the original reimbursement request. It may take five to ten business days from the time request is approved until the grant recipient receives payment.

All subrecipients will receive paper checks by mail unless the subrecipient completes the registration process for the Electronic Data Interchange Program through the Virginia Department of Accounts: https://www.doa.virginia.gov/reference.shtml#edi. This enrollment will enable the subrecipient to receive electronic payments through the Automated Clearing House network.

KEY STEPS

1. Reimbursement Request Submission: Reimbursement requests must be submitted through OLGA. All supporting documentation must be uploaded in OLGA with the request.

2. Reimbursement Request Review by DRPT: After a reimbursement request is submitted in OLGA, DRPT's accounting staff conducts a cursory review of the request to see if there is a Summary Sheet, support documentation, and if the expenses total the amount of the request. DRPT's accounting staff will note in DRPT's internal reimbursement review system if they saw any problems or concerns with the request and will then release the request to the DRPT Human Services Transit Programs Manager for a full review of the reimbursement request and all support documents. If the accounting staff determines that documentation is missing or the amounts do not match, the program manager may reject the request or request that the grantee attach additional documentation in OLGA, depending on the discrepancies.

3. Upload Additional Documents in OLGA as Needed or Requested: During the review process, the DRPT Human Services Transit Programs Manager may request additional support documents. In this case, the grant recipient must upload the additional documents in OLGA.

4. Reimbursement Request Action:

    a. Approved: The DRPT Human Services Transit Programs Manager will approve reimbursement requests only when they include all of the required documentation, the expenses total correctly, the expenses are eligible and necessary, and all applicable state and federal rules have been followed. Approval by the program manager means the request is deemed ready to be paid.

    b. Suspended: The DRPT Human Services Transit Programs Manager may suspend a request for reasons, such as: lack of or missing support documents, missing summary sheet, or if there are questions concerning one or more expenses. Suspending the request puts the reimbursement on hold until questions can be adequately answered or documentation provided. When a request is suspended, the DRPT Human Services Transit Programs Manager will contact the grant recipient to explain the reason for the suspension and what action is needed. Suspending a request is a temporary status – available for no more than 30 days. If the program manager is satisfied with the answers and additional documents received from the grant recipient, the program manager will approve the request for payment. If the program manager is not satisfied with the answers and documents, or if the concerns cannot be resolved within 30 days, the program manager will reject the request.

    c. Rejected: The DRPT Human Services Transit Programs Manager will "reject" a reimbursement request under the following circumstances:

        - There are one or more ineligible expenses
        - There is an error in the total amount of the expenses
        - The grant recipient cannot provide sufficient support documentation

    DRPT staff cannot make changes to the amount of a reimbursement request. Therefore, if there is any error in the request, the entire request must be rejected and resubmitted by the subrecipient. Once a Program Manager rejects a reimbursement request, that request is completed and no further action will be made. The designated OLGA contact will receive a notification to the email address listed in OLGA that the request has been rejected along with a reason for the rejection.

5. Resubmission of a Request: If the original reimbursement request was rejected, the grant recipient shall make the necessary corrections and resubmit the request. Resubmissions of prior reimbursement requests will not be counted against the one-a-month reimbursement submission rule.
6. Final Reimbursement: The final reimbursement request must be submitted in OLGA and marked as the final reimbursement. Subrecipients should follow the same 30-day submission deadline for final reimbursements as for standard reimbursements.
7. Reimbursement Payment: After a reimbursement request has been approved by the DRPT Program Manager, DRPT's accounting staff will process the payment and a check or electronic payment will be generated by the Treasurer of Virginia.

PROJECT TIME EXTENSION REQUESTS

All Section 5310 grants are provided for a one-year demonstration period beginning on October 1 and ending the following September 30. Project extensions will not be considered for operating or mobility management projects.

Capital grants for expenses other than vehicles may be eligible for a project extension if more time is needed than stated in the contract, but this should be discussed throughout the demonstration period with the DRPT Human Services Transit Programs Manager. Requests submitted at the end of the demonstration period with no previous indication of an issue with meeting the contracted end date will be denied.

If an extension request has been discussed with the DRPT Human Services Transit Programs Manager and is approved for submission, then the grant recipient must submit a project extension request in OLGA at least 30 days prior to the project's end date. DRPT will allow only one extension per project for a maximum period of up to 12 months from the original project end date. The DRPT Human Services Transit Programs Manager will review the extension request, with a greater number of DRPT internal approvals required if any of the following are true:

- Balance remaining of $1 million or more of state controlled funds
- Recipient made the request after the end date of the project had passed
- The extension request exceeds 12 months
- The grant has already been previously extended

Key determining factors in the approval of requests are the reasons provided by the recipient on why the project cannot be completed on time and the recipient's plan for completing the project in a timely manner. Approval of a time extension is not guaranteed.

Scope of work changes will not be considered as part of a request for a time extension.

KEY STEPS

1. Submit Extension Request: An extension request must be submitted in OLGA at least 30 calendar days prior to the original end date of the grant. The request must include a

detailed explanation of why an extension is needed, why the project could not be completed within the original timeline, a schedule of work with timeline to project completion, and a budget drawdown timeline.

2. DRPT Reviews Extension Request: The program manager will either approve or deny the request or contact the requestor for more information.

3. Notification of Decision: OLGA will notify the requestor of the decision by email. If the extension is denied, the requesting agency will have 10 business days from the date of notification to appeal the denial. Letters of appeal should be directed to DRPT's Chief of Public Transportation.

PROJECT BUDGET AND SCOPE CHANGES

A grant recipient may sometimes wish to change the scope of a project after it has been awarded. Budgets may not be increased after they are awarded, but Section 5310 Operating and Mobility Management programs may request changes to individual line items without a change in the total approved budget.

In order to maximize transparency and openness in DRPT's award process, it is vital that all projects be evaluated equally, that the SYIP be discussed in a public forum, as is legally required, and that the SYIP is approved as a whole whenever possible. In the majority of the cases where a scope change is being requested, DRPT will require the grant recipient to deobligate the fund balances and submit an application for the change requested (i.e. a new project) during the following grant cycle. If the recipient can justify why waiting until the next grant cycle is not practical, DRPT may consider approving the request off-cycle.

DRPT does not permit funds to be reprogrammed between different projects. Extra funding will be deobligated and will be incorporated in the pool of available funding for the next grant cycle.

Please note that verbal authorization for moving funds is not considered valid. During any compliance review, written authorization for such changes will be required.

BUDGET AND SCOPE CHANGE REQUESTS

KEY STEPS

1. Submit Request to Change Form: To request a minor scope change or line-item budget changes, contact the DRPT Human Services Transit Programs Manager for a Request to Change SYIP Allocation form. The form must be signed by an authorized signing agent of the recipient's agency and include a detailed justification with milestones and dates for the request. The program manager will review the request before forwarding it to the DRPT Executive Team, if required.

2. DRPT Reviews Request: DRPT will evaluate the request and communicate the decision to the requestor, in OLGA, within 40 business days. If the request is approved, the grant recipient will receive new grant documentation to reflect the approved funding situation.

3. Process for Denial of Request: If the request is denied, the requestor will be encouraged to apply for the requested funding during the next grant cycle and the current funding in question will be deobligated through OLGA.

TRAINING ASSISTANCE

DRPT administers the FTA Section 5311 Rural Transit Assistance Program (RTAP) scholarship, for which some Section 5310 subrecipients may be eligible. Subrecipients located in rural and small urban areas are eligible to apply, while only nonprofit human service transportation agencies in Roanoke, Richmond, and Hampton Roads are eligible to apply.

These RTAP funds are primarily available to Section 5311 programs, and these programs will be prioritized over Section 5310 applicants. However, Section 5310 programs may seek RTAP scholarships to further the development of project-relevant skills by attending transit training, seminars, workshops, and conferences. This program does not provide funding to establish baseline skills or to resolve internal conflicts through mediation. Programs approved for certificate programs will be required to provide proof of satisfactory completion prior to reimbursement.

Scholarships are available to reimburse organizations for courses, workshops, seminars, driver roadeos, and conferences with subject matter applicable to rural and specialized transportation and appropriate to the level of expertise of the person(s) attending. Scholarship funds may not be used for lobbying activity, and may not be passed through to for-profit organizations under contract to FTA Section 5310 subrecipients.

All RTAP requests must be submitted through the OLGA application process, and will be considered if the applicant organization submitted an RTAP training projection with its regular Section 5310 application. Organizations that do not plan ahead for training may be denied RTAP scholarships.

All approved RTAP grant scholarships will be reimbursed up to 100% of eligible expenses.

APPLICATION PROCEDURES

Please keep in mind the following as you complete the application request:

- Maximum reimbursement rates for hotel rooms, hotel taxes, and meals are limited to rates in the effective edition of the Federal General Services Administration (GSA) Travel Guidelines and should be included in the training assistance application.

- Meals provided as part of the conference or training should be identified and deducted per GSA Per Diem rates.
- Air, bus, and train fares must be booked at the lowest available coach rates. Consider possible airfare increases between the time of your application submittal and the time the request is approved. Estimated luggage fees should also be itemized.
- Include any registration fees in the request.
- Rental car fees and mileage are not eligible for reimbursement.
- Once the application is approved, increases cannot be made in the request.
- An agency staff member will only be considered for one out-of-state conference or training per year.

KEY STEPS

1. Application: Applications for training assistance should be submitted in OLGA at least 30 days prior to the requested program. A request should include the program to be attended, staff to attend, detailed description on how the program will benefit the agency and staff, an itemized list of estimated expenses, and an agenda or brochure describing the program to be attended.

2. Application Review: All applications will be reviewed by DRPT Human Services Transit Programs Manager for organization eligibility and program applicability. The individual submitting the application will be contacted by the DRPT Program Manager if additional information is needed.

3. Invoicing: When approved, an invoice will be created and located in OLGA under Grantee Management/ Reimbursement Requests.

4. Reimbursements: Reimbursement for expenses will be made to the agency, not the individual. In order to receive reimbursement, recipients should submit through OLGA a detailed list of daily expenses on agency letterhead or Excel spreadsheet. This information should include agency Federal ID# and enclose copies of hotel bills and receipts for all other travel expenses (except meals). These support documents need to be attachments to the request in OLGA as PDF or Excel files. The reimbursement request must be submitted to DRPT within 30 days of completion of travel.

5. Unspent balances: Unspent balances must be deobligated in OLGA.

PROJECT OVERSIGHT

The DRPT Human Services Transit Programs Manager ensures ongoing compliance with state and federal regulations through program oversight in two ways: site visits and triannual compliance reviews.

Site visits may be conducted at any time throughout the year, and at least one site visit is required per every three years. These are typically informal meetings that allow the program manager to learn more about an individual program and subrecipient, and are sometimes used

to clarify information included in an application package. These are scheduled in coordination with the subrecipient based upon a mutually available date.

Compliance reviews are in-depth program management reviews requiring prior completion of a workbook and associated documentation, which is reviewed prior to the on-site visit. Compliance review dates are assigned by DRPT at least 30 days in advance, and grantees are notified of their compliance review date by emailed letter on DRPT letterhead. The letter will also include instructions on how to complete the workbook (provided as an attachment) and where to send completed documentation. Compliance review dates may only be rescheduled in the event of serious conflict.

During the on-site visit for the compliance review, areas of concern are discussed in depth, program files are reviewed, and the vehicles and required postings are inspected. Upon conclusion of the review, DRPT will remit a summary report identifying all areas of concern (findings) and providing a 30-day remediation period to the subrecipient. After the subrecipient submits or completes all required remediation documentation or actions, DRPT will issue a final report closing the compliance review. Grantees who have significant findings during the compliance review and who have any findings related to preventative maintenance will have stricter ongoing oversight and reporting requirements than are outlined in this guidance. Those requirements will be explained on a case-by-case basis depending upon the outcome of the individual review.

GRANT CLOSE-OUT

When a project is complete the project must be closed-out by recipients in OLGA through either a final reimbursement request or a deobligation request.

KEY STEPS

1. Submission of Final Reimbursement Request: The final reimbursement request must be submitted through OLGA within 30 calendar days after the final expenditure. Projects are closed after 90 calendar days and no reimbursements are accepted after this time. The reimbursement request includes a box to be checked to indicate that it is the final reimbursement request.

2. Notification of Expiring and Expired Grants: DRPT's OLGA system automatically sends email notifications to alert the transit and TDM grant recipient's OLGA Master User when projects are about to expire, when the project has expired, and at the deadline for submitting a final reimbursement request. Approximately two months before the project end date an OLGA notification is sent to remind recipients of the project end date. Another notification is sent the day after the project expired alerting the recipient that the project has expired and any work performed after the project end date is not subject to reimbursement. A third email notification is sent as a reminder that only one week remains to submit the final reimbursement request. Ninety days after the project end

date, a fourth and final notification is sent, stating that the project has been closed and a deobligation request should be submitted, if needed.

3. Notification of Project Cancellation by Grant Recipient: If the grant recipient is cancelling a project tied to an executed grant, the recipient must deobligate the project in OLGA (see step 4 below).If the grant recipient is cancelling a project for which an agreement has never been executed, an agency's General Manager or Executive Director must submit a formal letter to DRPT on agency letterhead stating that the project will not be pursued.

4. Deobligation: All projects must be deobligated in OLGA when the project is complete regardless of whether there is a remaining balance. To deobligate, OLGA users must submit a deobligation request in OLGA.

5. DRPT Project Close Out: DRPT closes out the project in its accounting system. No further reimbursement requests will be processed after this action.

ASSET INVENTORY

TRANSAM

DRPT requires all Section 5310 subrecipients receiving capital assistance to enter their asset inventory information in TransAM, DRPT's online transportation asset management system. This information is used to verify recipients' capital assistance applications against the reported asset inventory needs and conditions and for determining asset replacement needs for the future.

New subrecipients should email the Human Services Transit Program Manager to request a TransAM account.

All vehicles purchased with Section 5310 funds must be logged in TransAM. Agencies should not enter vehicles, equipment, facilities, or other items that were not purchased with Section 5310 funds. This system is a state asset management system for tracking only those items for which DRPT is in some way responsible.

Updates to the Asset Inventory, including updated condition assessments, service status, and odometer readings must be entered into TransAM by July 15 and January 15 of each year.

DISPOSAL OF VEHICLES: HUMAN SERVICE AND RURAL PROVIDERS

Providers must use Section 5310 vehicles for approved project purposes for as long as the vehicles are owned by the subrecipient agency.

Once vehicles have reached their useful life (four years and 100,000 miles), agencies may choose to dispose of the vehicles by sale, donation, or other means. Subrecipients that apply for

replacement vehicles for Section 5310-funded vehicles are required to remove the vehicle to be replaced from regular service and may only use the vehicle as a back-up or spare for intermittent program use. These vehicles may not be used to provide other service or for any other purpose than was described in the original application that led to their award.

DRPT is responsible to the federal government for the appropriate usage and disposition of this equipment, so DRPT maintains the title on all Section 5310 vehicles for as long as they are owned and operated by the subrecipient. Only upon planned disposition of a vehicle may an agency request the release of a title and lien from DRPT. Liens will not be released on vehicles that will continue to be used by the agency.

When a subrecipient plans to dispose of a vehicle, the subrecipient should sent a written request for approval to dispose of the vehicle to the DRPT Human Services Transit Programs Manager listing the VIN, year, make, and model, in-service date, and current mileage.

Upon approval and if the original title is available, DRPT will provide the title with the signed lien release and a lien release letter. If the original title is unavailable, DRPT will provide a signed lien release letter than the subrecipient can use to request a new, duplicate title through DMV. In no event will DRPT request duplicate or replacement titles from DMV or pay any titling fees. These tasks and fees are the sole responsibility of the subrecipient agency. Upon receipt of the title or lien release letter, the subrecipient must immediately transfer the title into its agency name. The vehicle may not be sold or transferred to another agency until the title is transferred.

Once the subrecipient disposes of the vehicle, it is required to report the sales price to the DRPT Human Services Transit Programs Manager. The program manager will respond with whether the federal proceeds are to be used to reduce the gross project cost of other future Section 5310 capital awards or returned to DRPT. If the federal portion is retained by the subrecipient, it must record the receipt of proceeds in the subrecipient's accounting system and show that the funds are restricted for future use for Section 5310 purposes.

If new applications are not immediately anticipated, the recipient must inform the appropriate DRPT contact of the disposition within a reasonable amount of time. Otherwise, the subsequent capital application should contain information that the gross project cost has been reduced with proceeds from earlier capital disposition. DRPT will notify FTA as appropriate.

The subrecipient must update TransAM by recording the disposition, final mileage, sales price, and date. The subrecipient must also register the sale with the DMV. This can be completed online and it protects both the subrecipient and DRPT in case the vehicle purchaser does not complete the registration of the vehicle in their name.

Disposition of equipment before the end of useful life requires DRPT approval prior to the disposition; DRPT will then notify FTA. If a subrecipient no longer needs the vehicle for the purpose for which it was acquired and requests a title for a vehicle that is not past its useful life, DRPT will seek to have the vehicle transferred to another eligible subrecipient. The original subrecipient will be reimbursed for local interest of the fair market value of the vehicle by the new subrecipient. If DRPT cannot find an eligible subrecipient for the vehicle and DRPT and

FTA approve the sale of the vehicle by the original subrecipient, the federal interest of the proceeds of the vehicle sale must be returned to DRPT.

SUBMISSION OF AUDITED FINANCIAL STATEMENTS

On an annual basis, subrecipients are required to submit their audited financial statements to the DRPT Human Services Transit Programs Manager by email. The report must be sent within six months of the end of the subrecipient's fiscal year.

FINANCIAL REVIEW

DESK AUDIT

The DRPT Human Services Transit Programs Manager conducts desk audits of past reimbursements on an ongoing basis to provide financial technical assistance and ensure that DRPT and FTA program requirements, as documented in the Master Agreement and specific Project Agreements, are being met. During the reviews, the program manager will determine whether expenditures requested for reimbursement were eligible, germane to the project, not submitted in duplicate, and that the expenditures occurred within the project period.

In the event that the program manager identifies an issue with one or more reimbursement requests, he/she will consult with DRPT's Director of Statewide Transit Programs, Controller, and other financial staff. If the group determines that reimbursements were issued on expenses that were ineligible for any reason, the DRPT Human Services Transit Programs Manager will remit a letter to the subrecipient request repayment within 30 business days. During this time, no additional reimbursement requests from the subrecipient will be processed.

Once the ineligible funding is repaid, DRPT will resume processing reimbursement request for the agency. Any amount that is repaid to DRPT due to ineligibility will not be reimbursed in any subsequent project years.

FINANCIAL COMPLIANCE REVIEW

On a periodic basis, DRPT conducts financial compliance reviews of recipients to provide financial technical assistance and to ensure that DRPT program requirements, as documented in the Master Agreement and specific Project Agreements, are being met. Recipients that have had significant compliance issues in past compliance reviews will be subject to more frequent reviews.

KEY STEPS

1. Notification of Selection: A number of recipients are selected for compliance reviews on a quarterly basis. Selected recipients are notified approximately six weeks ahead of time, informed of the documentation to have available for review, and provided the option to contact the DRPT Audit Manager or consulting firm with any questions.

2. Consultation with Program Manager: The DRPT Audit Manager consults with the DRPT Human Services Transit Programs Manager to determine whether there are any issues that should be considered during the compliance review.

3. Desk Review: The DRPT Audit Manager or consulting firm will review all supporting documentation provided by the recipient related to the reimbursement requests selected as part of the sample for the upcoming compliance review to ensure that the recipient is conducting the grant-funded projects in compliance with the applicable agreements.

4. On-Site Review: After the desk review is completed, the DRPT Audit Manager or consulting firm will contact the recipient with any questions they may have. They will also set up the dates for the on-site portion of the compliance review process at this time.

5. Identification of Issues: If issues are identified, the DRPT Audit Manager or consulting firm will discuss them with the recipient and offer the opportunity to provide more documentation in hopes of resolving the potential issue.

6. Documentation of Findings: Each finding is documented on a standard form, which is called an Audit Issue Fact Sheet, which summarizes the project and the issues to be addressed. Recipients sign off on the finding, indicating that the finding was discussed with them. Signing this form does not indicate that the recipient agrees with the finding. The documented findings are summarized in a compliance review report.

7. Review of Report: A Draft DRPT Compliance Review Report will be created and sent to the recipient for their review. If a corrective action plan (CAP) is required, the recipient will be required to submit the CAP to DRPT. The compliance review report is then updated by the DRPT Audit Manager to include the CAP if needed. The Compliance Review Report is then submitted to DRPT management for review.

8. Approval and Transmittal of Report: After the Chief Financial Officer signs off on the final report, the DRPT Audit Manager will send it to the recipient with the CAP included as Appendix B.

CAPITAL BUDGETING

DRPT requires all recipients receiving Section 5310 capital assistance to enter their five-year capital budget in OLGA. This information is used to determine capital funding needs for the future Six-Year Improvement Programs. The capital budget is also an important tool in the preparation of the State Transportation Improvement Plan.

The transit capital budget is due by February 1 of each year. It must be entered in order for your capital application for that year to receive consideration for funding. Further, if DRPT does not receive a correct capital budget, the subrecipient's projects may not be included in the STIP, thus increasing the time required before DRPT can go to contract on any given project.

KEY STEPS

1. Enter Capital Budget: Log into OLGA and access the Capital Budget section. The subrecipient's current year capital application is year one, and the remaining five years of projections will be entered under the capital budget. For example, during fiscal year 2022, recipients would enter a capital application for fiscal year 2023, and their capital budget information will cover 2024 - 2027.

3. Update Budget Information: The next year, the system will pre-populate the capital budget fields with the information the recipients have entered during the previous year. The recipients should update this information as needed and enter the data for the new sixth year. Continuing with the example in 1, above, the recipient would put in an application for fiscal year 2024, update the data already entered during the previous year for 2025 – 2027, and enter data for 2028.

APPENDIX

GRANT APPLICATION SUPPLEMENTAL DOCUMENTS

LINE-ITEM BUDGET

Applicants requesting operating or mobility management funding must complete and attach a 12-month line item budget using the provided template. The budget period is October 1 through September 30. The budget excel file template provided in OLGA has two tabs: “Budget” and “Fuel, Maint, Ins.”

Example: Program XYZ proposes to add a new route, which includes a full-time driver’s salary and benefits, supplies, marketing for the new route, fuel, maintenance, insurance, and the de minimus indirect rate of 10%.

Budget Item (Insert more lines if needed) Personnel: List personnel by position, FTE or hours X hourly rate. Other Budget Items: Describe budget items and provide applicable quantities.	Salaries and Wages	Fringe Benefits	Materials and Supplies	Fuel, Maintenance and Insurance	Marketing	Equipment	Other (Describe)	Indirect Cost Rate
Driver salary (1 FTE)	$32,000							
Driver benefits		$11,200						
Miscellaneous Supplies			$2,000					
Marketing					$2,000			
Fuel (Complete "Fuel, Maint, Ins" tab)				$6,667				
Maintenance (Complete "Fuel, Maint, Ins" tab)				$8,889				
Insurance (Complete "Fuel, Maint, Ins" tab)				$5,556				
Sub Totals:	$32,000	$11,200	$2,000	$21,111	$2,000	$0	$0	$23,111
							$68,311	$23,111
							Modified Total Direct Cost:	$45,200
				Enter indirect cost rate in G27 if using:		**10.0%**	**Indirect Costs:**	$4,520
							+	
							Budget Items Sub Total:	$68,311
							TOTAL:	$72,831

COLOR CODES
These items auto sum. Do not enter text in these fields.
These items auto calculate. Do not enter text in these fields. If requesting assistance with fuel, maintenance, or insurance, provide the required information in the "Fuel, Maint, Ins" tab.
These items auto calculate using the indirect cost rate in cell G27. If requesting assistance with indirect costs, enter up to 10% in cell G27.

"Fuel, Maint, Ins" Tab Sample

Budget Item	Total Budget	Number of Vehicles Included in Budget	Number of Vehicles Used for Proposed Project	Number of Weekly Service Hours	Number of Weekly Service Hours for Project Vehicles
Fuel	150,000.00	15	1	60	40
Maintenance	200,000.00	15	1	60	40
Insurance	125,000.00	15	1	60	40

PERFORMANCE METRIC SPREADSHEET (WORK PLAN)

Mobility Management and Operating programs must complete and provide the appropriate Work Plan for the grant application year. Each program must develop relevant goals, strategies, and objectives, and tracking and report progress throughout the year.

For more guidance on developing a work plan, review the "Understanding, Choosing, and Tracking Performance Metrics for FTA Section 5310 Applicants and Subrecipients" document at the end of this guidance.

Agency Profile

Agency Name:	Agency XYZ
DRPT Project Number:	*To be assigned if awarded*
Staff Names and Titles:	John Smith, Transit Director
	Jenny Lewis, Transit Manager
	Samantha Doe, Dispatcher

Describe this operating program/project: Agency XYZ proposes to add a new demand-response service utilizing one vehicle to transport seniors and individuals with disabilities to non-emergency medical appointments. Rides are scheduled by calling Samantha Doe, Dispatcher, at least 24 hours in advance. The service will be operated Monday through Friday from 7 a.m. until 6 p.m.

Project Goals		Project Objectives		Project Objectives	
Goal 1:	Connect seniors and individuals with disabilities to non-emergency medical care	**Obj. 1 for Goal 1:**	Advertise the new service to the eligible population	**Obj. 2 for Goal 1:**	Provide trips to the eligible population
Goal 2:		**Obj. 1 for Goal 2:**		**Obj. 2 for Goal 2:**	
Goal 3:		**Obj. 1 for Goal 3:**		**Obj. 2 for Goal 3:**	
Goal 4:		**Obj. 1 for Goal 4:**		**Obj. 2 for Goal 4:**	
Goal 5:		**Obj. 1 for Goal 5:**		**Obj. 2 for Goal 5:**	
Goal 6:		**Obj. 1 for Goal 6:**		**Obj. 2 for Goal 6:**	

Operating Work Plan

Created: ***Last Updated:***

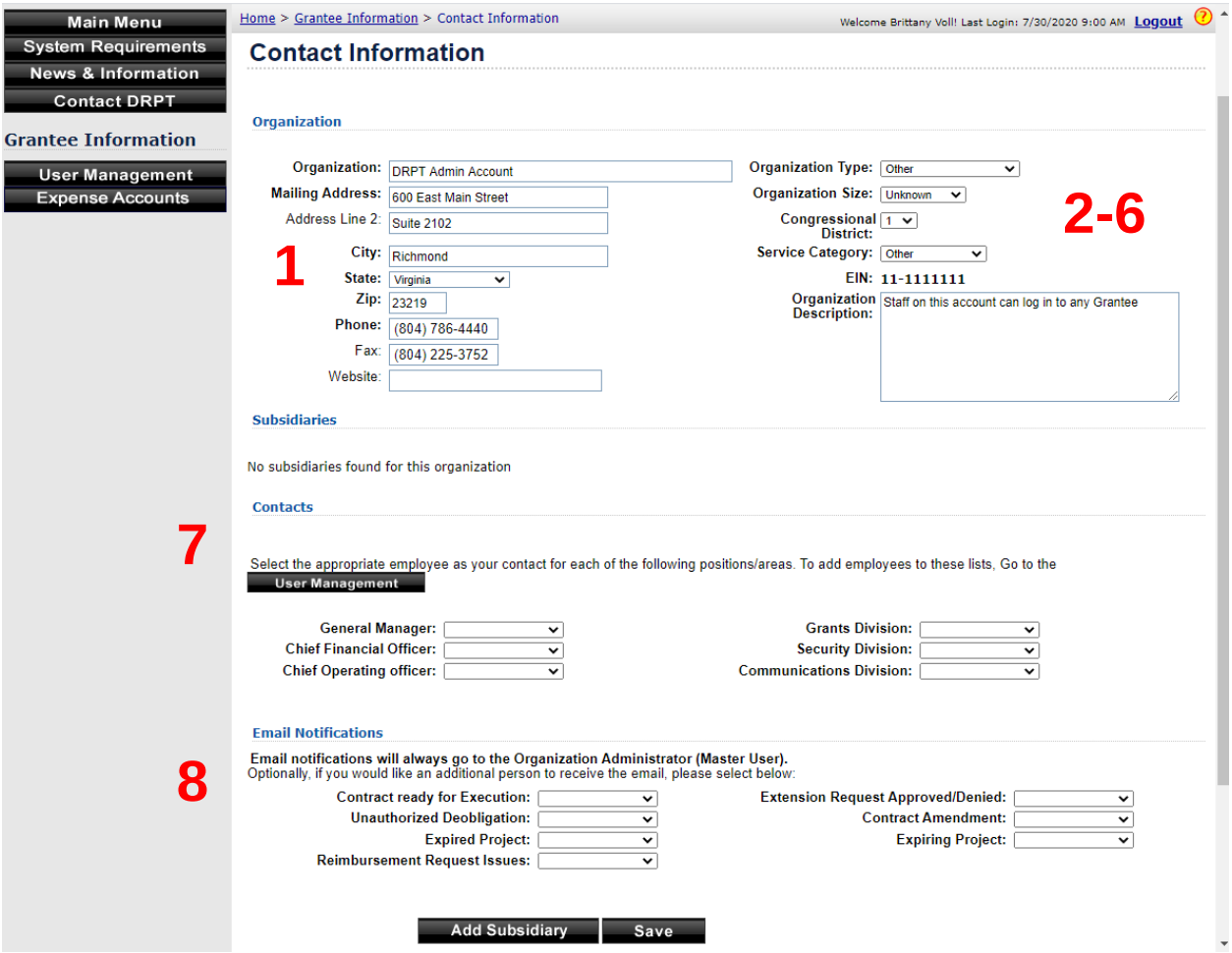
Activity Description	Indicator	Target / Actual		Q1 October - December (submit to DRPT in January's reimbursement request)	Q2 January - March (submit to DRPT in April's reimbursement request)	Q3 April - June (submit to DRPT in July's reimbursement request)	Q4 July - September (submit to DRPT in October's reimbursement request)	YTD Achievements	Goal and Objective Numbers	CHSM Plan Strategy	Staff (Lead / Support)
Describe an activity to help reach your proposed goals and objectives.	*List one indicator you plan to track for the activity. If you want to track more than one indicator per activity, use a new row.*	*Enter the target for the year in the highlighted cell below.*		*Enter your actual progress for the quarter in the highlighted cell below. Provide any comments in the appropriate cell.*	*Enter your actual progress for the quarter in the highlighted cell below. Provide any comments in the appropriate cell.*	*Enter your actual progress for the quarter in the highlighted cell below. Provide any comments in the appropriate cell.*	*Enter your actual progress for the quarter in the highlighted cell below. Provide any comments in the appropriate cell.*	*Highlight specific achievements from the year in the cells below.*	*With which goal and objective does this activity correspond?*	*Which CHSM plan strategy does this activity address?*	*Who is responsible for fulfilling or overseeing this activity?*
Advertise the new service	Design, print, and distribute 1,000 brochures about the new service	Target	1000	250	250	250	250		1.1	VA-1H; VA-1I; VA-1J	Jenny Lewis; John Smith to oversee
		Actual	0								
		Percent of Target	0.0%	0.0%	0.0%	0.0%	0.0%				
		Comments									
Advertise the new service	Design, print, and hang posters about the new service in 15 local medical offices	Target	15	4	4	4	4		1.1	VA-1H; VA-1I; VA-1J	Jenny Lewis; John Smith to oversee
		Actual	0								
		Percent of Target	0.0%	0.0%	0.0%	0.0%	0.0%				
		Comments									
Advertise the new service	Develop and print a newspaper ad to run two times during the grant year	Target	2	1	1	1	1		1.1	VA-1H; VA-1I; VA-1J	Jenny Lewis; John Smith to oversee
		Actual	0								
		Percent of Target	0.0%	0.0%	0.0%	0.0%	0.0%				
		Comments									
Advertise the new service	Run an ad/commercial on the local public access or government channel six times during the grant year	Target	6	2	2	2	2		1.1	VA-1H; VA-1I; VA-1J	Jenny Lewis; John Smith to oversee
		Actual	0								
		Percent of Target	0.0%	0.0%	0.0%	0.0%	0.0%				
		Comments									
Provide trips	Schedule 1,500 trips during the grant year	Target	1500	375	375	375	375		1.2	AL-4B; AL-4E	Samantha Doe; Jenny Lewis to oversee
		Actual	0								
		Percent of Target	0.0%	0.0%	0.0%	0.0%	0.0%				
		Comments									
Provide trips	Provide 80% (1,200) of the scheduled trips	Target	1200	300	300	300	300		1.2	AL-4B; AL-4E	Samantha Doe; Jenny Lewis to oversee
		Actual	0								
		Percent of Target	0.0%	0.0%	0.0%	0.0%	0.0%				
		Comments									

UPDATING AGENCY INFORMATION

The Master User should review the agency's Contact Information and Employee/User Management section regularly.

1. Once logged into OLGA, open the Grantee Information menu and choose Contact Information.
2. Ensure the address, phone number, fax number, and website are correct.
3. Organization Type depends on the agency's structure. For the Section 5310 program, eligible applicants include Non-profits, Government/Locality, and existing public transit agencies. The Organization Type in OLGA should correspond with one of these three agency types.
4. Organization Size corresponds with the area in which an agency would receive federal funding. For the Section 5310 program, funding is apportioned based on the U.S. Census by Rural, Small Urban, and Large Urban areas. Programs located in areas with populations of 50,000 or less are considered Rural; populations of 50,000 to 200,000 are considered Small Urban, and populations of over 200,000 in the Roanoke, Richmond, and Hampton Roads areas are considered Large Urban.
5. Congressional District corresponds with the Congressional District that best represents the majority of the agency's service area.
6. Service Category, as with Organization Type, depends on the agency's structure and services.
    a. Human Services: Any non-profit or local government that is solely providing transportation with Section 5310 funding or only provides limited transportation to specialized populations, such as seniors, individuals with disabilities, veterans, etc.
    b. Rural: For existing public transit agencies operating in Rural areas only.
    c. Urban: For existing public transit agencies operating in Urban areas only.
    d. Other: If the agency doesn't seem to fit under Human Services, Rural, or Urban, contact the Section 5310 Program Manager at DRPT for guidance.
7. Organization Description should provide an overview of the agency's general services, including transportation.
8. Contacts can be added for each of six areas after these employees have been added as users. See User Management to add users. When DRPT contacts an agency regarding a grant or other topic, these contacts are used to determine who should receive the communication.
9. Email Notifications allows each agency to choose additional staff to receive automated emails from OLGA. The Master User will always receive emails, but additional staff can be added for seven different notification types.

UPDATING AGENCY INFORMATION IN OLGA



USER MANAGEMENT

The agency's OLGA Master User can add, edit, and remove users at any time. This includes the ability for a Master User to edit his/her own access to OLGA, to include removing permissions. Once logged in, click on the Grantee Information menu and then choose "Employee/User Management." At the bottom of the Employee List is a button to "Add Employee"; click this button to add additional OLGA users or contacts. When adding an employee, the Master User can choose whether to give the employee access to OLGA or not. If an employee is added without OLGA access, he or she can still be listed as a contact.

DRPT strongly recommends that agencies add at least one additional OLGA user aside from the Master User. In the event of staff turnover, agencies with only a Master User will not be able to access OLGA until a new Master User is designated by completing the appropriate paperwork and submitting it to DRPT. **At no time are users permitted to share OLGA logins.**

When adding a new user with OLGA access, the Master User can designate specific areas of access to the user:

1. User Access, Contact Information, Inventory, Capital Budget/Six Year Plan, Grant Applications, Grant Administration, and Performance Data: These selections correspond with the Main Menu. Giving a user Update access will allow the user to perform any function available on the screen, while Read Only will allow the employee to see but not change the information, and No Access will prohibit the employee from accessing the information at all.
2. Submit Grant Applications: If checked, the employee will be able to submit grant applications. The user will also need Update or Read Only access to the Grant Applications section; see item 1, above.
3. Sign Certifications & Assurances: If checked, the employee will be able to certify and submit the annual federal certifications and assurances on behalf of the agency. The user will also need Update or Read Only access to the Grant Applications section; see item 1, above. **The person certifying this information each year should be the executive director, board chair, or another staff member who is specifically designated, in writing, to perform this function on behalf of the agency. DRPT will request documentation to verify this permission.**
4. Approve and Submit Reimbursement Requests: If checked, the employee will be able to approve and submit reimbursement requests in the Grants Management section. The user will also need Update or Read Only access to the Grant Administration section; see item 1, above.
5. Approve and Submit Extension Requests: If checked, the employee will be able to approve and submit extension requests in the Grants Management section. The user will also need Update or Read Only access to the Grant Administration section; see item 1, above.
6. Certify Grantee Information: If checked, the employee will be able to certify the Grantee Contact information in the Grantee Information section, which means the information has been checked for accuracy and is correct. The user will also need Update or Read Only access to the Contact Information section; see item 1, above.
7. Approve Contracts: If checked, the employee will be able to approve contracts for grants in the Grant Management section. The user will also need Update or Read Only access to the Grant Administration section; see item 1, above. As with the Certifications & Assurances, only the executive director, board chair, or other designated staff member may execute contracts. DRPT will request documentation to verify this permission.
8. View Tax Information: If checked, the employee will be able to view the tax identification number in the Contact Information section. The user will also need Update or Read Only access to the Contact Information section; see item 1, above.

The OLGA Master User can delete users to completely remove them from the agency's contact and user list, or Modify users to remove access to OLGA without deleting the employee completely or to reset a password on behalf of a user who is locked out of his or her account.

CREATING, EDITING, AND SUBMITTING AN APPLICATION

CREATING A SECTION 5310 APPLICATION IN OLGA

The OLGA Master User and other account Users who have Update access will be able to create applications in OLGA.

1. Once logged into OLGA, open the Grant Applications menu and then choose Public Transportation/TDM Applications.
2. Click on FTA Section 5310 – Create New.
    a. Every applicant to the Section 5310 program will complete one application for one to three projects: Capital, Operating, and Mobility Management. An applicant seeking funding for one type of project will complete only that budget section, while an applicant seeking funding for all three types of projects will complete all three budget sections. Do not create multiple applications for Section 5310 funding.

Applications can be saved in PDF format while in progress, but sometimes the PDF may not display current information. If this occurs, log out of OLGA, clear the cache and cookies from your internet browser, and then log back into OLGA to re-load the PDF.

EDITING A SECTION 5310 APPLICATION IN OLGA

As above, the OLGA Master User and other account Users who have Update access will be able to edit applications in OLGA.

1. Once logged into OLGA, open the Grant Applications menu and then choose Public Transportation/TDM Applications.
2. Click on FTA Section 5310 – In Process as of MM/DD/YYYY
    a. As explained above, each Section 5310 applicant will submit only one application for one to three programs, and the application may be edited up until the close of the application period. Do not create multiple applications for Section 5310 funding.
3. Edit any areas of the application that need updates. When a section is complete, meaning that every required question has some amount of text provided in response, a green checkbox will appear next to the tab in the application. This does not mean that all required information has been provided, so verify that the application is complete and every question is answered in its entirety before submitting.
4. Remember to Save frequently. OLGA times out after 30 minutes of inactivity and any unsaved changes will be lost.
    a. DRPT strongly recommends copying and pasting the application questions into Microsoft Word or a similar program for editing. Once the information is complete, copy and paste it back into the OLGA application and Save.

Applications can be downloaded in PDF format for saving or printing while in progress, but sometimes the PDF may not display current information due to information retained by the internet browser. If this occurs, log out of OLGA, clear the cache from your internet browser, and then log back into OLGA to re-load the PDF.

SUBMITTING A SECTION 5310 APPLICATION IN OLGA

The OLGA Master User and other account Users who have Update access and for whom the Submit Grant Applications checkbox is checked will be able to submit applications in OLGA.

1. Once logged into OLGA, open the Grant Applications menu and then choose Public Transportation/TDM Applications.
2. Click on FTA Section 5310 – In Process as of MM/DD/YYYY.
3. If all application tabs display green check marks next to the tab name, then OLGA will allow the application to be submitted.
4. Click Submit.

Applications can be downloaded in PDF format for saving or printing after submission, but sometimes the PDF may not display current information due to information retained by the internet browser. If this occurs, log out of OLGA, clear the cache from your internet browser, and then log back into OLGA to re-load the PDF.

SUBMITTING A REIMBURSEMENT REQUEST

The OLGA Master User and other account Users with appropriate permissions will be able to submit reimbursement requests in OLGA.

1. Once logged into OLGA, open the Grant Management menu and then choose Reimbursement Requests.
2. Any reimbursement requests previously processed will show at the top of the Reimbursement Request screen under the Status of Reimbursement Requests section. Below this section is the New Reimbursement Request section, which includes a drop-down list of active projects for which reimbursement requests can be submitted. Select the appropriate project from the drop-down list and click Add New Request.

Reimbursement Requests

Status of Reimbursement Requests

Submit Date	Number	Project	Amount	Status	View	Attach Count	Attach Add	Edit	Delete
Not Submitted	109981	99999-98 FY2006 99999-98 - Place Holder for PO's	$1,000	Created on 08/28/2017	PDF	5			
5/11/2020	116209	70119-26 FY2019 70119-26 - FY20 Compliance Reviews	$10	Submitted on 05/11/2020	PDF	1			

New Reimbursement Request

Project:

Add New Request

3. In the Amount Expended tab of the new reimbursement request, enter the total amount expended for the reimbursement period. This should match the summary document and all supporting backup that will be attached to the application. OLGA is pre-populated with the federal, state, and local funding split and will automatically calculate the appropriate portion of funding to request for each. These amounts cannot be changed. The local portion will not be reimbursed to the agency, meaning that the request for reimbursement will be reduced by the applicable local portion.
    a. If the request is the final one for the grant period, make sure to check the box next to Final Reimbursement Request before submitting.
4. Click Save.
5. Open the Supporting Documentation tab of the reimbursement request and upload all applicable documentation to support the request. After choosing each file, click Upload to attach the file to the request.
6. Once all documents have been added, click Submit.

DEOBLIGATING A GRANT

The OLGA Master User and other account Users with appropriate permissions will be able to deobligate grants in OLGA.

1. Once logged into OLGA, open the Grant Management menu and then choose Deobligate Funds.
2. Any deobligation requests previously processed will show at the top of the Deobligation Requests screen under the Status of Deobligation Requests section. Below this section is the New Deobligation Request section, which includes a drop-down list of active projects for which deobligation requests can be submitted. Select the appropriate project from the drop-down list and click Add New Request.
3. The project amounts will automatically populate with any remaining federal, state and local funds, as appropriate, and indicate a total remaining balance to be deobligated. At the bottom of the screen, click “Yes” in response to the question, “Do you want to Deobligate the Total Deobligation Amount?” and click Submit.

a. Any grants that remain open past the contract period may require deobligation, even if there is a $0 balance. Subrecipients should check for any grants eligible for deobligation at the end of a contract period and deobligate them, as appropriate. The DRPT Human Services Transit Programs Manager will also check for projects that need to be deobligated and will send an email requesting the deobligation.
    i. Subrecipients that fail to deobligate a grant when requested are not meeting program expectations, and DRPT will consider this during future funding cycles.

MONTHLY RIDERSHIP REPORTING

All subrecipients who provide transportation with Section 5310 funds or vehicles are required to report ridership in OLGA on a monthly basis. The ridership reports are due by the 20th of each month for the month prior. For example, by September 20, the ridership report is due for the entire month of August.

The OLGA Master User and other account Users with appropriate permissions will be able to submit ridership reports in OLGA.

1. Once logged into OLGA, open the Performance Data menu and then choose Transit.
2. In the Organization Data box, complete the following:
    a. Select Fiscal Year: Choose the appropriate fiscal year for which you are reporting. This will generally default to the correct year, except after the fiscal year changes. For example, when reporting mileage for June for an agency with a fiscal year end date of June 30, the system will default to fiscal year 2022 after July 1 and will need to be changed back to fiscal year 2021 to complete the June report.
    b. Transit System Name: Enter the subrecipient's name.
    c. Fiscal Year End Date: This option is locked and is completed by DRPT based on paperwork submitted by the subrecipient when establishing the OLGA account. If your fiscal year changes, please contact the DRPT Human Services Transit Programs Manager.
    d. Service Area Population: Enter the entire U.S. Census population for the service area. For example, if transportation is provided in the City of Richmond and Henrico County, enter the combined population for both of these localities.
    e. Service Area Type: Choose the appropriate service area type based on the actual services provided:
        i. Municipal: Transportation provided in one city.
        ii. Multi-County: Transportation provided in more than one city and/or county.
        iii. County: Transportation provided in one county.
        iv. Other: One of the first three options should describe the services provided. If you are not sure which to choose, contact the DRPT Human Services Transit Programs Manager.

3. Click Next Step.
4. In Step 2, Modes, select Human Service Transportation as the transit mode. Do not select any other option to describe a service provided with Section 5310 funding.
5. Click Enter Data.
6. In Step 3, enter the trips provided for the appropriate month.
    a. The system now populates the trips provided for the same month in the previous year and will require a reason for variance if the trips provided in the reporting year are higher or lower. Enter a reasonable explanation for any variances.
7. Click Save Monthly Data.
    a. If the data is saved, a message will display at the top of the screen stating, “Transit Performance Data Updated Successfully.”

This reporting module is used for a variety of transit providers, and also includes sections to capture files and passenger miles travelled. Neither of these items is required for Section 5310 subrecipients. However, agencies that choose to do so may upload the paper copies of their trip logs that support the numbers reported.

If data is reported in error or needs to be changed, follow the steps above to update the data. If the data being changed is for a locked quarter, then an amendment reason will be required before submission.

Step 1 Organization Data | Step 2 Modes | **Step 3 Performance Data** | Step 4 Summary Reports

Step 1 | Step 2 | Step 3 | Step 4

Human Service Transportation

Select Transit Mode Human Service Transportation

Quarterly Data - First Quarter

	July 2020	Aug 2020	Sept 2020
Total Unlinked Passenger Trips	10 +	100	100
	8	0	0

Reason for Variance: Demand for service increased; additional trips provided.

Select Quarter:

First | Second | Third | Fourth

Save Monthly Data

Attached files for this quarter

Existing Files

Upload a new file

New File: Choose File No file chosen

Upload File

Annual Data

Passenger Miles traveled during this Fiscal Year

Fiscal Year: 2021 **Miles traveled:** Submit Annual PMT

Passenger Miles Traveled (PMT) is the cumulative sum of the distances traveled by each passenger as reported annually to the National Transit Database. This metric is used to calculate the Commuter Rail Pool for DRPT Operating Assistance. Only agencies that report PMT directly to the National Transit Database must provide this data to DRPT. Annual PMT figures should be reported for each mode that the agency operates with the exception of Vanpool and Human Services Transportation. The deadline to submit annual PMT by mode is December 15th each year.

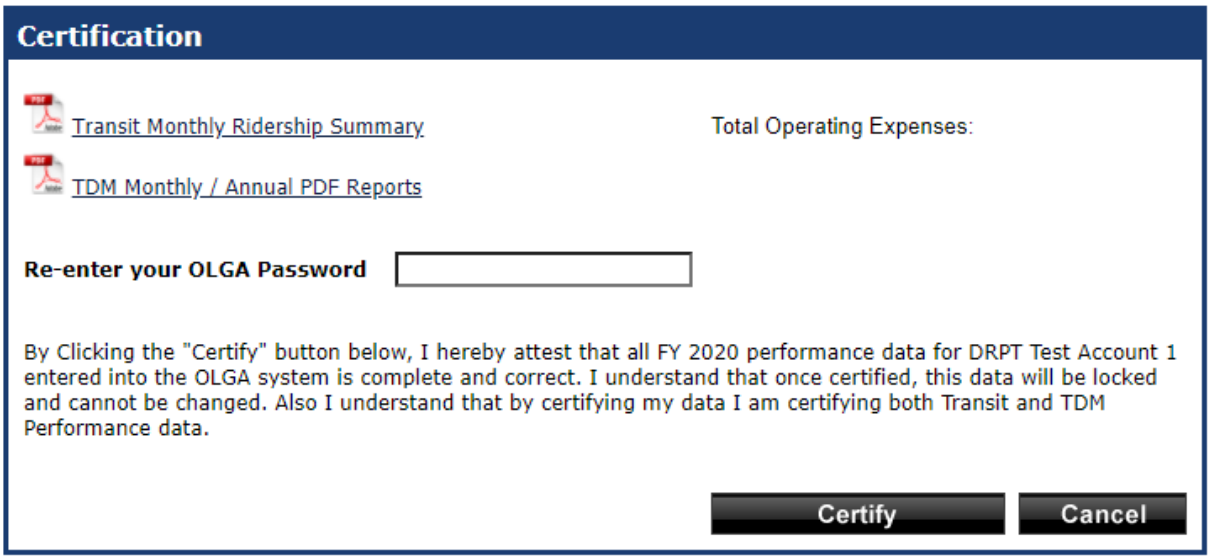
If you have questions about PMT reporting, please contact your DRPT Program Manager.

Previous Step | Next Step

CERTIFYING ANNUAL RIDERSHIP REPORTING

At the end of each fiscal year, Section 5310 subrecipients need to review, verify, and certify their monthly ridership data. The OLGA Master User and other account Users with appropriate permissions will be able to certify this data.

1. Once logged into OLGA, open the Performance Data menu and then choose Transit/TDM Certification.
2. Open and review the Transit Monthly Ridership Summary and compare it to the agency's ridership logs for the same time period.
    a. If the data matches: Re-enter your OLGA password and click Certify to verify its accuracy.
    b. If the data does not match: Follow the steps outlined in the Monthly Ridership Reporting section to correct any months for which the data is incorrect. After the data is correct, repeat the steps above to verify and certify the data.



TRANSAM

ACCOUNT MANAGEMENT

Every Section 5310 subrecipient who receives vehicles needs a TransAM account for asset management. Subrecipients who receive funding for operating, mobility management, or non-vehicle capital projects do not need a TransAM account and will not be provided one.

Each agency will need to identify one staff person to serve in a management role for the TransAM account. DRPT's Human Services Transit Programs Manager can establish TransAM accounts for those agencies that do not have them, and create a user to fill the management role for each account.

Once an agency has an established TransAM account with a manager assigned, the manager is responsible for adding and deleting additional staff.

If any changes to the account are needed, such as changing the address, business name, website, or email address syntax, contact the DRPT Human Services Transit Programs Manager. Beyond these basic account maintenance activities, the subrecipient is solely responsible for account maintenance and vehicle data.

USER MANAGEMENT

DRPT strongly recommends that each subrecipient have at least two TransAM users. Each user must have a separate account, which is tied to an individual email address. Shared accounts are not permitted.

The staff person assigned the manager role at the subrecipient agency may add, update, and deactivate additional account users. If a new staff person needs to be assigned the manager role, contact the DRPT Human Services Transit Programs Manager.

To make any changes to TransAM users, log in, click on the person icon at the top right, and then click Users.

To make changes to an existing user, find the user's name on the list and click on their last name to open their profile. At the top left, click on the Actions drop-down menu and choose the appropriate action from the list:

- Update Profile: Change the user's name, email address, title, phone number, time zone, or address.
    - Note: Only business email addresses that follow the account syntax are allowed. If the subrecipient agency changes its business emails, contact the DRPT Human Services Transit Programs Manager to make this change to the overall TransAM account prior to attempting to update a user's profile.
- Update Authorizations: Change the primary and secondary organizations and user role.
    - Agencies may only have access to this option if they manage more than one TransAM account.
- Reset Password: Send an automatic email to the user to allow a password change. The user may also initiate this process by following the Forgot Password process on the TransAM login screen.
- Deactivate: Immediately deactivates a user. Each time staff turns over, any previous staff should be deactivated.
    - Note: If an agency does not deactivate its users upon turnover and a previous employee logs in and changes data, DRPT will not be able to recover it.

ADDING A VEHICLE

Every Section 5310 vehicle subrecipient must record all vehicles funded with Section 5310 funding in TransAM. **No vehicles purchased with any other funding may be recorded in TransAM**; this is a state asset management system to be used for the sole purpose of tracking vehicles and other equipment for which DRPT provides oversight. For the Section 5310 program, this includes only those vehicles that are purchased by DRPT and have a DRPT listed as the lienholder.

Agencies have two business days from the date a vehicle is received to record it in TransAM.

Vehicles may be added in one of two ways: manual vehicle addition (for adding one or more vehicles at one time) or bulk vehicle addition (for adding two or more vehicles at one time).

MANUAL VEHICLE ADDITION

1. Once logged into TransAM, click on the bus icon at the top left and then choose Add Asset.
2. Under FTA Asset Class, choose Buses (Rubber Tire Vehicles).
    a. Regardless of the size and type of vehicle received, all Section 5310 vehicles are recorded as Buses (Rubber Tire Vehicles). Do not choose any other option.
3. Click Create New Asset.
4. On the asset information screen, complete all required information:
    a. Organization: The organization name will default to the subrecipient's name. If the subrecipient manages more than one TransAM account, choose the appropriate agency from the drop-down list.
    b. Service Status: For all new Section 5310 vehicles, the service status should be In Service.
        i. If an other than new vehicle is taken out of service for repairs or other reasons, it should be listed as Out of Service. A vehicle removed from service to be used as a spare should be listed as Spare.
    c. Vehicle Identification Number (VIN): The VIN number appearing on the vehicle's VIN plates and titles, as assigned by the manufacturer.
    d. Asset ID: The agency's identifying number for the vehicle. Do not use symbols in the asset ID.
    e. Class: All Section 5310 vehicles are recorded as Buses (Rubber Tire Vehicles) regardless of size.
    f. Type: Depending on the size of the vehicle, choose the appropriate vehicle type:
        i. Minibus: 9-passenger raised roof van and 14-, 15-, and 19-passenger body on chassis vehicles with lifts.
        ii. Minivan: 5-passenger minivan with ramp.
    g. Subtype: Depending on the size of the vehicle, choose the appropriate vehicle type:
        i. Bus < 30 ft: 14-, 15- and 19-passenger body on chassis vehicles with lifts.

ii. Van: 5-passenger minivan with ramp and 9-passenger raised roof van with lift.

h. Estimated Service Life (ESL) Category: All Section 5310 vehicles choose the Light Duty Small Bus, Cutaways, and Modified Van category regardless of size.
i. Cost (Purchase): The final total cost of the vehicle according to the purchase order provided by the state's vendor.
j. Funding Type: All Section 5310 vehicles are funded by the Enhanced Mobility for Seniors and Individuals with Disabilities (EMSID) program.
k. Direct Capital Responsibility: All Section 5310 subrecipients have direct capital responsibility and choose Yes.
l. Percent Capital Responsibility: All Section 5310 subrecipients have 100% capital responsibility for every Section 5310 vehicle.
m. Ownership Type: All Section 5310 vehicles are granted to a single agency for use. The ownership type is Owned Outright by Private Entity (OOPE).
n. Purchased New: All Section 5310 vehicles are purchased new.
o. Purchase Date: Enter the date the vehicle was delivered to the subrecipient agency.
p. Manufacturer: Refer to the delivery paperwork provided by the vendor with the new vehicle to determine the vehicle manufacturer (Braun, Ford, Elkhart, etc.). Do not choose Other. If the manufacturer is not listed, contact the DRPT Human Services Transit Programs Manager for assistance.
q. Model: The only model option is Other.
r. Model (Other): Enter the actual vehicle model according to the delivery paperwork.
s. Year of Manufacture: The year the vehicle was manufactured.
t. Fuel Type: The type of fuel used to run the vehicle. Do not choose other.
u. Dual Fuel Type: If Dual Fuel is selected as the Fuel Type, choose the specific Dual Fuel Type from the drop-down list.
v. Length: Refer to the vehicle manual or conduct a Google search to determine vehicle length. Enter the length in feet.
w. Length Units: Choose Feet.
x. Seating Capacity (ambulatory): Enter the vehicle's seated capacity. Do not count wheelchair tie-downs as seats.
y. Standing Capacity: Enter the standing capacity, if any.
z. ADA Accessible: All Section 5310 vehicles are ADA accessible.
aa. In Service Date: Enter the first date on which the vehicle is used to provide transportation services. This date may not correspond with the delivery date.
bb. Primary Mode: All Section 5310 vehicles are OR – Other Vehicles Operated.
cc. Service Type (Primary Mode): All Section 5310 vehicles are DO – Directly Operated.
dd. Dedicated Asset: All Section 5310 vehicles are dedicated assets.

5. Click Add Asset & Go to New Record. Verify that all of the information about the vehicle is correct.

BULK VEHICLE ADDITION

1. Once logged into TransAM, click on the bus icon at the top left and then click on Bulk Updates. At the upper left of the Bulk Updates page, click on Create a new Template.
2. Under Template Type, choose New Inventory.
3. For the FTA Asset Class, choose Buses (Rubber Tire Vehicles).
4. Click Create template.
5. Download the file (Excel) and open it. Navigate to the Revenue Vehicles tab and enter all information about the vehicle. Refer to the Manual Vehicle Addition section above for instructions about what to enter or choose for each piece of required information.
6. Save the file.
7. Return to TransAM and click the bus icon at the top left and then click on Bulk Updates. At the upper left, click on Upload a Template.
8. Under Spreadsheet Content, choose New Inventory.
9. Click Choose File to locate the completed file on your computer.
10. Click Upload spreadsheet.
11. TransAM will automatically upload all of the information included in the spreadsheet.
12. To verify that the information has been uploaded, click on the bus icon at the top left and then click on Revenue Vehicles. Review your asset list for accuracy.

EDITING A VEHICLE

Whenever a vehicle's information needs to be updated, such as the service status, condition, or mileage, these changes must be recorded in TransAM.

1. Once logged into TransAM, click on the bus icon at the top left, hover over Revenue Vehicles, and then choose Buses (Rubber Tire Vehicles) to view your asset list.
2. Find the asset to be updated on the list, and click its Asset ID to open the individual vehicle record.
3. Use the Actions menu at the upper right of the Revenue Vehicle Profile to Update or Record final disposition.
    a. Update:
        i. Condition: Record the current vehicle condition on a 0.0 to 5.0 point scale, with 5.0 being the highest condition rating.
        ii. Service Status: List the vehicle as being In Service and actively used, Out of Service for repairs or other issues, or Spare for intermittent programmatic use only.
        iii. Mileage: Record the current vehicle mileage.
        iv. Other items on this list: Subrecipients may choose to record additional information about vehicles using the items in the Update drop-down list. However, DRPT only provides support for Condition, Service Status, and Mileage updates. If your agency chooses to use other features, they could be changed or disabled at any time.
    b. Record final disposition: When a vehicle is being disposed of by the subrecipient by sale, scrap, etc., record the disposition in TransAM.

i. Record the date of disposition, disposition type, sales proceeds (if applicable), mileage at disposition, and provide any comments regarding the disposition.

4. Use the Edit button in the Profile section of the Revenue Vehicle Profile to edit the vehicle's Identification & Classification, Characteristics, Funding, Procurement & Purchase, Operations, and Registration & Title information.

BULK VEHICLE EDITS

1. Once logged into TransAM, click on the bus icon at the top left and then click on Bulk Updates. At the upper left of the Bulk Updates page, click on Create a new Template.
2. Under Template Type, choose Inventory Updates.
3. For the FTA Asset Class, choose Buses (Rubber Tire Vehicles).
4. Click Create template.
5. Download the file (Excel) and open it. Navigate to the Revenue Vehicles tab and enter all information about the vehicle. Refer to the Manual Vehicle Addition section above for instructions about what to enter or choose for each piece of required information.
6. Save the file.
7. Return to TransAM and click the bus icon at the top left and then click on Bulk Updates. At the upper left, click on Upload a Template.
8. Under Spreadsheet Content, choose Inventory Updates.
9. Click Choose File to locate the completed file on your computer.
10. Click Upload spreadsheet.
11. TransAM will automatically upload all of the information included in the spreadsheet.
12. To verify that the information has been uploaded, click on the bus icon at the top left and then click on Revenue Vehicles. Review the Life Cycle Action Date column for the applicable vehicle(s) to ensure the records were updated.

BIANNUAL MILEAGE, CONDITION, AND SERVICE STATUS REPORTING

Every Section 5310 vehicle subrecipient must provide biannual mileage, condition, and service status updates in TransAM by July 15 and January 15. These updates may be provided by bulk update or manually by following the steps above.

PREVENTATIVE MAINTENANCE UPDATES

Subrecipients may choose to update their preventative maintenance records in TransAM, to include oil changes and state inspections. This process may be completed using the bulk update or manual processes described above. For a bulk update, the template type is Maintenance Updates. Updating maintenance is not a requirement for the Section 5310 program unless specifically stated by your Transit Programs Manager.

TITLE VI AND AMERICANS WITH DISABILITIES ACT POLICIES AND PROCEDURES

As a designated recipient of Federal Transit Administration (FTA) funds, DRPT receives, administers, and allocates funds to subrecipients and is responsible for documenting compliance with Title VI of the Civil Rights Act of 1964 and the Americans with Disabilities Act (ADA).

Every Section 5310 subrecipient is required to develop and implement Title VI and ADA policies and procedures. Subrecipients must not discriminate on providing services based on race, color, national origin, or disability. Each subrecipient must have a process for members of the public to submit complaints pursuant to these two policies, and must post accessible information on its website about both of these policies.

DRPT will check annually for compliance with these requirements, and provides this guidance to help subrecipients understand the seven website requirements.

The following areas are examined annually on each subrecipient website to determine compliance with Title VI and the ADA:

- Title VI Notice
- Title VI Complaint Form
- Title VI Complaint Procedures
- Full Title VI Plan (signed by authorized official and board)
- ADA Notice with Reasonable Modification Statement
- ADA Complaint Form
- ADA Complaint Procedures

Additionally, the Title VI Notice and ADA Notice with Reasonable Modification Statement must be posted in common areas in each subrecipient agency, including in entry areas, conference and meeting rooms, notice boards, and in vehicles (if operated). Each agency that provides transportation service of any type should post Title VI and ADA notices in vehicles and keep a binder containing all Title VI and ADA information in the vehicle, including complaint forms.

DEVELOPING A TITLE VI PLAN OR ADA POLICY

New subrecipients that do not have a Title VI plan or ADA policy in place, or agencies that need to update either policy (Title VI is required to be updated every three years), should contact the DRPT Civil Rights Officer to request a template or other assistance.

SAMPLE TITLE VI NOTICE

RIGHTS UNDER TITLE VI

THE CITY OF USA TRANSIT AUTHORITY

The City of USA Transit Authority (the Authority) operates its programs and services without regard to race, color, and national origin in accordance with Title VI of the Civil Rights Act. Any person who believes they have been aggrieved by any unlawful discriminatory practice under Title VI may file a complaint with the Authority.

For more information on the Authority's civil rights program, and the procedures to file a complaint, please call XXX.XXX.XXXX, (TTY / TTD XXX.XXX. XXXX or 711); email title.vi. coordinator@city.ca.us; or visit our administrative office at XXX Main Street, City of USA, State XXXXX. For more information, visit www.city.xx.us

A complainant may file a complaint directly with the Federal Transit Administration by filing a complaint with the Office of Civil Rights, Attention: Title VI Program Coordinator, East Building, 5th Floor-TCR, 1200 New Jersey Avenue SE, Washington, DC 20590

If information is needed in another language, please call XXX.XXX.XXXX.

(make sure the sentence above is also provided in any language(s) spoken by Limited English Populations (LEP) that meets the safe harbor threshold (LEP language groups that constitute 5% or 1,000 persons, whichever is less, of your total population likely to be served))

Note: Only race, color, and national origin are covered by the Civil Rights Act of 1964. Do not expand the protected discrimination classes to include other classes (e.g. age, sex, etc.). Your agency may enact a separate non-discrimination policy for other classes however, only race, color, and national origin are covered by the Civil Rights Act of 1964.

Please make sure the Title VI Notice renders as HTML or accessible PDF document.

SAMPLE TITLE VI COMPLAINT FORM

TITLE VI COMPLAINT FORM

Section I:				
Name:				
Address:				
Telephone (Home):		Telephone (Work):		
Electronic Mail Address:				
Accessible Format Requirements?	Large Print		Audio Tape	
	TDD		Other	

Section II:		
Are you filing this complaint on your own behalf?	Yes*	No
*If you answered "yes" to this question, go to Section III.		
If not, please supply the name and relationship of the person for whom you are complaining:		
Please explain why you have filed for a third party: _____		
Please confirm that you have obtained the permission of the aggrieved party if you are filing on behalf of a third party.	Yes	No

Section III:

I believe the discrimination I experienced was based on (check all that apply):

[ ] Race [ ] Color [ ] National Origin

Date of Alleged Discrimination (Month, Day, Year): _____

Explain as clearly as possible what happened and why you believe you were discriminated against. Describe all persons who were involved. Include the name and contact information of the person(s) who discriminated against you (if known) as well as names and contact information of any witnesses. If more space is needed, please use the back of this form.

_____

_____

Section IV		
Have you previously filed a Title VI complaint with this agency?	Yes	No

Section V

Have you filed this complaint with any other Federal, State, or local agency, or with any Federal or State court?

[ ] Yes [ ] No

If yes, check all that apply:

[ ] Federal Agency: _____

[ ] Federal Court _____ [ ] State Agency _____

[ ] State Court _____ [ ] Local Agency _____

Please provide information about a contact person at the agency/court where the complaint was filed.

Name:

Title:

Agency:

Address:

Telephone:

Section VI

Name of agency complaint is against:

Contact person:

Title:

Telephone number:

You may attach any written materials or other information that you think is relevant to your complaint.

Signature and date required below

_____ _____

Signature Date

Please make sure the Title VI Complaint Form is in a downloadable PDF document.

TITLE VI COMPLAINT PROCEDURES

THE CITY OF USA TRANSIT AUTHORITY

Any person who believes they have been discriminated against on the basis of race, color, or national origin by the City of USA Transit Authority (the Authority) may file a Title VI complaint by completing and submitting the agency's Title VI complaint form. The Authority investigates complaints received no more than 180 days after the alleged incident. The Authority will process complaints that are complete.

Once the complaint is received, the Authority will review it to determine if our office has jurisdiction. The complainant will receive an acknowledgement letter informing them whether the complaint will be investigated by our office.

The Authority has 60 days to investigate the complaint. If more information is needed to resolve the case, the Authority may contact the complainant. The complainant has 10 business days from the date of the letter to send requested information to the investigator assigned to the case. If the investigator is not contacted by the complainant or does not receive the additional information within 10 business days, the Authority can administratively close the case. A case can be administratively closed also if the complainant no longer wishes to pursue their case.

After the investigator reviews the complaint, they will issue one of two letters to the complainant: a closure letter or a letter of finding (LOF). A closure letter summarizes the allegations and states that there was not a Title VI violation and that the case will be closed. An LOF summarizes the allegations and the interviews regarding the alleged incident, and explains whether any disciplinary action, additional training of the staff members, or other action will occur. If the complainant wishes to appeal the decision, they have 15 days after the date of the letter or the LOF to do so.

A person may also file a complaint directly with the Federal Transit Administration, at FTA Office of Civil Rights, 1200 New Jersey Avenue SE, Washington, DC 20590.

Please make sure the Title VI Complaint Procedures render as HTML or accessible PDF document.

SAMPLE ADA NOTICE

NOTICE UNDER THE AMERICANS WITH DISABILITIES ACT

THE CITY OF USA TRANSIT AUTHORITY

In accordance with the requirements of Title II of the Americans with Disabilities Act of 1990 (ADA), the City of USA Transit Authority (the Authority) will not discriminate against qualified individuals with disabilities on the basis of disability in its services, programs, or activities.

Employment: The Authority does not discriminate on the basis of disability in its hiring or employment practices and complies with all regulations by the U.S. Equal Employment Opportunity Commission.

Effective Communication: The Authority will generally, upon request, provide appropriate aids and services leading to effective communication for qualified persons with disabilities so they can participate equally in our programs, services, and activities, including qualified sign language interpreters, documents in Braille, and other ways of making information and communications accessible to people who have speech, hearing, or vision impairments.

Modifications to Policies and Procedures: The Authority will make all reasonable modifications to policies and programs to ensure that people with disabilities have an equal opportunity to enjoy all of its programs, services, and activities.

Anyone who requires an auxiliary aid or service for effective communication, or a modification of policies or procedures to participate in our program, service, or activity, should contact our ADA Coordinator at XXX.XXX.XXXX or title.vi.coordinator@city.ca.us as soon as possible but no later than 48 hours before the scheduled event.

The ADA does not require the Authority to take any action that would fundamentally alter the nature of its programs or services, or impose any undue financial or administrative burden.

Complaints that an Authority program, service, or activity is not accessible to persons with disabilities should be directed to our ADA Coordinator at XXX.XXX.XXXX or title.vi.coordinator@city.ca.us

The Authority will not place a surcharge on a particular individual with a disability or any group of individuals with disabilities to cover the cost of providing auxiliary aids / services or reasonable modifications of policy.

Please make sure the ADA Notice renders as HTML or accessible PDF document.

SAMPLE ADA COMPLAINT FORM

CITY OF FAIRFIELD
FAIRFIELD AND SUISUN TRANSIT (FAST)
Title II of the Americans with Disabilities Act
Section 504 of the Rehabilitation Act of 1973
Discrimination Complaint Form

- ☐ Please fill out this form completely.
- ☐ Print or type the information.
- ☐ Sign and return this form to the address shown below.

Complainant Name: _____

Address: _____

City, State, and Zip: _____

Home Phone: _____ Cell Phone: _____

Email: _____

Person discriminated against (if other than complainant): _____

Address: _____

City, State, and Zip: _____

Home Phone: _____ Cell Phone: _____

Email: _____

Government, organization, or institution which you believe has committed a discriminating act:

Complainant Name: _____

Address: _____

City, State, and Zip: _____

Home Phone: _____ Cell Phone: _____

Email: _____

When did the discrimination occur?

Date: _____ Time: _____

Where did the discrimination occur?

Location: _____

Describe the acts of discrimination providing names (where possible) of individuals along with details of the incident including the bus and route numbers (if applicable):

_____

Has the complaint been filed with the Department of Justice or any other Federal, State, or local civil rights agency or court?

Yes: _____ No: _____

If yes, please provide the following information:

Agency or Court: _____

Contact Person: _____

Address: _____

City, State, and Zip: _____

Note: This may be the same form used as the Title VI complaint form. However, it must include an additional checkbox to indicate the nature of the discrimination claimed (Race / Color / National Origin / Disability). A separate ADA complaint form may also be used (as shown above).

Please make sure the ADA Complaint Form is in a downloadable PDF document.

SAMPLE ADA COMPLAINT PROCEDURES

THE CITY OF USA TRANSIT AUTHORITY

This grievance procedure is established to meet the requirements of the Americans with Disabilities Act (ADA) of 1990. It may be used by anyone who wishes to file a complaint alleging discrimination on the basis of disability in the provision of services, activities, programs, or benefits by the City of USA Transit Authority (the Authority).

The complaint should be in writing and contain information about the alleged discrimination such as name, address, phone number of complainant; and location, date and description of the alleged discrimination. Alternative means of filing complaints, such as personal interviews or tape recording of the complaint will be made available for persons with disabilities upon request.

The complaint should be submitted no later than 60 calendar days after the alleged violation to:

ADA Coordinator, The City of USA Transit Authority
XXX Main Street, City of USA, State XXXXX
TTY / TDD XXX.XXX.XXXX or 711

Within 15 calendar days after receipt of the complaint, the ADA Coordinator or their designee will meet with the complainant to discuss the complaint and the possible resolution. Within 15 calendar days of the meeting, the ADA Coordinator or his designee will respond in writing, and where appropriate, in a format accessible to the complainant, such as large print, Braille, or audio tape. The response will explain the Authority's position and offer options for substantive resolution of the complaint.

If the Authority's response does not satisfactorily resolve the issue, the complainant may appeal the decision within 15 calendar days after receipt of the response to the Secretary of Transportation.

All written complaints received by the Authority, appeals to the Secretary of Transportation, and responses from these two offices will be retained by the Authority for at least three years.

Please make sure the ADA Complaint Procedures render as HTML or a PDF document.

SERVICE ANIMAL POLICY

Every Section 5310 vehicle subrecipient must enact a service animal policy to allow service animals on board federally funded vehicles. The service animal policy must follow the current Federal Transit Administration Americans with Disabilities Act (ADA) Guidance, Circular FTA C 4710.1 (https://www.transit.dot.gov/sites/fta.dot.gov/files/docs/Final_FTA_ADA_Circular_C_4710.1.pdf).

To determine whether an animal is a service animal, as opposed to a comfort, emotional support, or therapy animal, you may ask two questions: (1) if the animal is a service animal

required because of a disability and (2) what work or task the animal has been trained to perform.

DRUG-FREE WORKPLACE AND DRUG AND ALCOHOL TESTING

All recipients of Section 5310 funding are required under 49 CFR part 32 to maintain a drug-free workplace for all employees and to have an anti-drug policy, awareness program, and training program, as applicable.

Subrecipients that only receive Section 5310 funding are not subject to FTA's Drug and Alcohol testing rules, but must comply with the Federal Motor Carrier Safety Administration (FMCSA) rule for employees who hold commercial driver's licenses (CDL), 49 CFR part 382.

Section 5310 subrecipients that also receive funding under one of the covered FTA programs (Section 5307, 5309, or 5311) should include employees funded under Section 5310 projects in their testing program.

If your organization employs CDL drivers for Section 5310 service, please contact your DRPT program manager for additional guidance.

DRIVER TRAINING REQUIREMENTS (FOR CAPITAL AND OPERATING PROGRAMS)

All recipients of Section 5310 capital and/or operating funding are required to implement an appropriate driver training program. DRPT recommends utilizing the Passenger Assistance, Safety, and Sensitivity (PASS) training program through the Community Transportation Association of America, and may have RTAP funding available to support this expense. Please consult your Transit Programs Manager with questions.

If PASS training is not an option, training programs should include, at a minimum:

- Title VI training, including the process to file a Title VI complaint;
- ADA training, including the process to request an accommodation or file an ADA complaint;
- Securement;
- Driver safety, including defensive driving;
- Accident procedures;
- Passenger safety and sensitivity;
- Passenger assistance, if provided; and
- Any and all applicable transit policies instituted by the subrecipient organization.

All subrecipients providing this type of training are required to maintain records on staff who are trained, which could include a list of staff trained on a specific date or certificates provided through a training course. These are reviewed during the triennial compliance review process.

VEHICLE MAINTENANCE AND PRE-TRIP INSPECTION

Section 5310 vehicle subrecipients must have a written maintenance plan for vehicles and related equipment. Elements of the plan must include the following:

- Standards for proper care and longevity for the vehicles, including defined intervals for preventative maintenance (such as oil changes at every 5,000-mile interval);
- Procedures to maintain project equipment at a high level of cleanliness, safety, and mechanical soundness;
- Procedures to maintain all accessibility features and equipment in good operating condition;
- Procedures to track when preventive maintenance inspections are due and to schedule preventive maintenance inspections in a timely manner (plans must specify mileage intervals for preventative maintenance);
- Procedures to maintain files that contains daily logs, inspection checklists, and repair records; and
- Procedures to maintain pre-trip inspection program that addresses vehicle condition, appearance and cleanliness, safety and ADA accessibility.

Preventive maintenance records will be inspected by DRPT to ensure proper maintenance and inspections are conducted when due.

SAMPLE PRE-TRIP INSPECTION LOG

Vehicle #:	Inspection Month:		Tag Month:	ODO Reading:
PRE-TRIP INSPECTION INSTRUCTIONS: Driver must inspect their assigned vehicle to be sure all equipment is present and in good working condition. Report all damaged or missing property immediately to (insert contact). Place an (X) in the appropriate box for each item reviewed. If further explanation is necessary, write information in the comment box.				
		OK	NEEDS ATTENTION	COMMENTS
CELL PHONE	KEEP WITH YOU & ON!			
Gauges	Fuel			
	Temperature			
	Dash Warning Light			
Lights	Headlights			
	Brake Lights			
	Turn Signals			
	Hazard Lights			
Other	Windshield Wipers			
	Fans & Defroster			
	Brakes			
	Mirrors			
	Horn			
	Exhaust System			
Tires	Properly Inflated			
	Adequate Tread			
Leaks (under)	Oil			
	Other			
Fluids (Weekly)	Date checked_____			
	Oil			
	Brake			
	Radiator			
	Transmission			
Cleanliness	Interior (including trash)			
	Exterior			
Safety Eqiup.	Fire Extinguisher			
	First Aid Kit			
	Reflective Triangles			
	Seat Belt Web Cutter			
	Disinfectant			
	Fluid Spill Kit			
	Hand Sanitizer			
	Wheelchair Lift (cycle)			
Driver Signature:			Date:	

POST-ACCIDENT AND OUT-OF-SERVICE PROCEDURES

Every Section 5310 vehicle subrecipient should develop post-accident procedures to guide drivers in the event of an accident. The procedures should include specific guidance about how to handle accidents in Section 5310-funded vehicles.

If a Section 5310-funded vehicle is involved in an accident or other incident in which it is damaged, the subrecipient must notify DRPT's Human Services Transit Programs Manager within 24 hours. The notification should include information about how the accident occurred, what damage was incurred, and whether there were any injuries in the Section 5310 vehicle or other vehicles involved in the accident.

Where reparable vehicle damage occurs, the subrecipient agrees to utilize the full sum of any insurance settlement for the sole purpose of having the damage repaired in a timely manner by a reputable and qualified establishment. The subrecipient must furnish the DRPT Human Services Transit Programs Manager with evidence that the repairs have been completed.

Where the damage is irreparable or the vehicle is determined to be a total loss, the subrecipient shall hold the full amount of any insurance settlement until it receives instructions from the DRPT Human Services Transit Programs Manager regarding proper disposition of the money.

In no case shall the subrecipient fail to repair damage to a vehicle where repairs are possible, nor shall the subrecipient utilize any part of a settlement received from the loss of a vehicle for any purpose other than prescribed by DRPT.

Subrecipients should notify DRPT within 24 hours of the following:

- Vehicle needs major repairs to one or more components,
- Wheelchair lift is not functioning properly,
- Vehicle is damaged in a natural disaster, and/or
- There is a pending lawsuit regarding transportation.

PROPERTY DISPOSITION POLICY AND PROCEDURES

Every Section 5310 vehicle subrecipient should develop a property disposition policy and procedure for handling disposition of Section 5310-funded vehicles.

Providers must use Section 5310 vehicles for approved project purposes for as long as the vehicles are owned by the subrecipient agency.

Once vehicles have reached their useful life (four years and 100,000 miles), agencies may choose to dispose of the vehicles by sale, donation, or other means. Subrecipients that apply for replacement vehicles for Section 5310-funded vehicles are required to remove the vehicle to be replaced from regular service and may only use the vehicle as a back-up or spare for intermittent approved program use. These vehicles may not be used to provide other service or for any other purpose than was described in the original application that led to their award.

DRPT is responsible to the federal government for the appropriate usage and disposition of this equipment, so DRPT maintains the title on all Section 5310 vehicles for as long as they are owned and operated by the subrecipient. Only upon planned disposition of a vehicle may an agency request the release of a title and lien from DRPT. Liens will not be released on vehicles that will continue to be used by the agency.

When a subrecipient plans to dispose of a vehicle, the subrecipient should sent a written request for approval to dispose of the vehicle to the DRPT Human Services Transit Programs Manager listing the VIN, year, make, and model, in-service date, and current mileage.

Upon approval and if the original title is available, DRPT will provide the title with the signed lien release and a lien release letter. If the original title is unavailable, DRPT will provide a signed lien release letter than the subrecipient can use to request a new, duplicate title through DMV. In no event will DRPT request duplicate or replacement titles from DMV or pay any titling fees. These tasks and fees are the sole responsibility of the subrecipient agency. Upon receipt of the title or lien release letter, the subrecipient must immediately transfer the title into its agency name. The vehicle may not be sold or transferred to another agency until the title is transferred.

Once the subrecipient disposes of the vehicle, it is required to report the sales price to the DRPT Human Services Transit Programs Manager. Failing to report the proceeds of a sale of $5,000 or more will result in a finding in the organization's next compliance review. The program manager will respond with whether the federal proceeds are to be used to reduce the gross project cost of other future Section 5310 capital awards or returned to DRPT. If the federal portion is retained by the subrecipient, it must record the receipt of proceeds in the subrecipient's accounting system and show that the funds are restricted for future use for Section 5310 purposes.

If new applications are not immediately anticipated, the recipient must inform the appropriate DRPT contact of the disposition within a reasonable amount of time. Otherwise, the subsequent capital application should contain information that the gross project cost has been reduced with proceeds from earlier capital disposition. DRPT will notify FTA as appropriate.

The subrecipient must update TransAM by recording the disposition, final mileage, sales price, and date. The subrecipient must also register the sale with the DMV. This can be completed online and it protects both the subrecipient and DRPT in case the vehicle purchaser does not complete the registration of the vehicle in their name.

Disposition of equipment before the end of useful life requires DRPT approval prior to the disposition; DRPT will then notify FTA. If a subrecipient no longer needs the vehicle for the purpose for which it was acquired and requests a title for a vehicle that is not past its useful life, DRPT will seek to have the vehicle transferred to another eligible subrecipient. The original subrecipient will be reimbursed for local interest of the fair market value of the vehicle by the new subrecipient. If DRPT cannot find an eligible subrecipient for the vehicle and DRPT and FTA approve the sale of the vehicle by the original subrecipient, the federal interest of the proceeds of the vehicle sale must be returned to DRPT.

RECORD RETENTION

Every Section 5310 subrecipient must develop a record retention policy relating to Section 5310 projects.

All records related to Section 5310 projects are required to be retained for the life of the project plus three years.

Operating and mobility management projects are provided one-year demonstration periods ending on September 30. The record retention duration for an operating or mobility management project is the one-year demonstration period plus three years following the end of the period on September 30. For example, records for a project that begins on October 1, 2021 should be retained until September 30, 2025.

The record retention timeframe for vehicles funded through the Section 5310 program depends on the vehicle's use by an individual subrecipient. Records must be retained for as long as a Section 5310 vehicle is used by an agency plus three years. The shortest record retention timeframe for Section 5310 vehicle would be seven years if the agency only retained the vehicle until it reached the end of its four years of useful life and incurred 100,000 miles during that timeframe.

CHARTER AND SCHOOL BUS POLICY

Every Section 5310 subrecipient is required to enact a Charter and School Bus policy for its agency, stating that charter and school bus services may not be provided with Section 5310 funds or assets. The subrecipient may choose to write its own policy or use the sample text provided below.

SAMPLE CHARTER AND SCHOOL BUS POLICY

As a subrecipient of Section 5310: Enhanced Mobility of Seniors and Individuals with Disabilities funding, AGENCY NAME, is prohibited from using Section 5310 funds or vehicle assets to operate charter service or school bus transportation.

Charter Service

The Federal Transit Administration's (FTA) Charter Service Regulations (49 CFR Part 604), which implement 49 U.S.C. 5323(d), protect private charter operators from unauthorized competition from FTA grant recipients. The Virginia Department of Rail and Public Transportation (DRPT), as the direct recipient of Section 5310 funding from the FTA, enforces this protection by prohibiting its subrecipients, contractors, and lessees from offering charter service using funds or assets awarded through DRPT.

Charter service means, but does not include demand response service to individuals:

- Transportation provided by a recipient at the request of a third party for the exclusive use of a bus or van for a negotiated price. The following features may be characteristic of charter service:
    - A third party pays the transit provider a negotiated price for the group;
    - Any fares charged to individual members of the group are collected by a third party;

    - The service is not part of the transit provider's regularly scheduled service, or is offered for a limited period of time; or
    - A third party determines the origin and destination of the trip as well as scheduling; or
- Transportation provided by a recipient to the public for events or functions that occur on an irregular basis or for a limited duration and:
    - A premium fare is charged that is greater than the usual or customary fixed route fare; or
    - The service is paid for in whole or in part by a third party.

School Bus

Federally funded equipment or facilities cannot be used to provide exclusive school bus service. Further, DRPT prohibits subrecipients, contractors, and lessees of Section 5310 funding or vehicle assets from providing any school bus service, even if the service is incidental and does not interfere with the intent of the Section 5310 program.

For the purposes of this policy, school bus service is defined as transportation exclusively for school students, personnel, and equipment, and includes transporting individuals to or from a public or private school, including to or from a location in close proximity to the school that is not on a regular service route. School bus service includes service provided at any time during a school day or non-school day when a school function is scheduled, such as a field trip, sporting event, educational or other activity that would require an individual to travel to or from the school.

COMPLIANCE PROCESS

DRPT conducts ongoing compliance reviews of all Section 5310 subrecipients to ensure state and federal rules and regulations are being met. The compliance review process involves annual and triennial reviews, with the triennial process being the most comprehensive.

ANNUAL REVIEWS

WEBSITE REVIEW

DRPT conducts annual reviews of subrecipient websites in January for compliance with the Title VI and ADA requirements laid out in the Title VI and Americans with Disabilities Act Policies and Procedures section, above. When conducting the website reviews, DRPT uses a standardized form (below) to find and track any deficiencies. If a subrecipient is scheduled for a compliance review within the calendar year, then the website deficiencies are recorded as a finding and addressed at the time of the compliance review. If the subrecipient is not scheduled for a compliance review within the calendar year, then the deficiencies are addressed immediately following the January review period.

Annual Subrecipient Website Review

Subrecipient Name:

Website:

Review the subrecipient website for compliance with Title VI and ADA policies and procedures.

Question	Yes/No; Comment
1. Is the Title VI Plan posted on the website?	
a. Is the Title VI Plan easy to find? (Less than 2-3 clicks to access)	
b. Is the Title VI Plan current (Covers at least the current full year)	
c. Is the Title VI Plan signed by an authorizing official of the subrecipient organization?	
2. Is the Title VI notice posted on the website?	
a. Is the Title VI notice easy to find? (Less than 2-3 clicks to access)	
b. Does the Title VI notice name a point of contact and give contact information?	
3. Is the Title VI Complaint Form posted on the website?	
4. Is the ADA Notice posted on the website?	
a. Is the ADA Notice easy to find? (Less than 2-3 clicks to access)	
b. Does the ADA Notice name a point of contact and give contact information?	
5. Is the ADA Complaint Form posted on the website?	

SITE VISIT

TRIENNIAL REVIEWS

DRPT is required by the FTA to perform compliance, technical capacity and management proficiency reviews of its FTA Section 5310 program subrecipients. The reviews will be conducted virtually with the possibility of an additional on-site review following a desk review.

The reviews are designed to ensure that subrecipients are able to manage the FTA-funded programs in accordance with the grant application, the grant agreement, the FTA-approved State Management Plan, and all applicable laws and regulations using sound management practices. The review is intended to look behind the signed certifications and assurances submitted by subrecipients to ensure that subrecipients are adhering to all statutory and program requirements when expending federal and/or state funds on local projects.

DRPT considers the results of compliance reviews when making funding recommendations, and may result in additional reporting requirements based on identified deficiencies.
The review will primarily be used to:

- Assess the technical capacity of subrecipients to receive and manage federal and state funds.

- Assess the technical capacity of subrecipients to successfully adhere to governmental requirements for grant and program administration, including but not limited to property and financial management, training needs, security readiness and civil rights requirements.
- Clarify federal/state regulatory requirements.
- Improve the management efficiency and effectiveness of federal/state funded transportation programs.
- Identify areas where training and technical assistance may be warranted.

DRPT uses a standardized compliance workbook that contains a questionnaire to be completed by the subrecipient and a list of information and materials to be submitted to facilitate a pre-site visit desk review. The overall compliance review process involves the following steps:

- **Announce Compliance Review** – DRPT will email the subrecipient a letter stating that a compliance review of the organization will occur. The letter will provide the date of the virtual review and will accompany this workbook. The subrecipient will be given a date by which to email all requested documents and the completed workbook to DRPT, which will typically occur no less than three weeks prior to the virtual review date.
- **Conduct the Desk Review and Prepare for Virtual Review** – DRPT will conduct desk reviews of the documentation that subrecipients have provided to generate questions and discussion points for the virtual/on-site review.
- **Conduct Virtual Review** – The initial virtual review will be scheduled for one and a half hours and will focus solely on areas of interest or concern. Areas where the agency is at least meeting expectations will not be addressed during the virtual review but will be noted in the review report. The virtual review will include:
    - Entrance Conference with the Section 5310 Manager
    - Review of areas of interest or concern
    - Resolving remaining questions or arranging to resolve questions at a later time
    - Announcing whether an additional review date or on-site visit will be scheduled
    - Exit Interview and draft report
- **Corrective Action Plans** – Subrecipients will receive a draft report and be given 30 days to correct deficiencies and to submit to DRPT a corrective action plan that verifies actions taken or anticipated.
- **Final Report** - A final report matrix will prepared that includes the findings from the draft report, corrective actions taken by the subrecipient, and any pending issues that need DRPT follow-up.

The current version of the “Specialized Transportation Compliance Review for Federal Transit Administration Section 5310: Enhanced Mobility of Seniors and Individuals with Disabilities Programs” can be obtained by emailing the DRPT Transit Programs Manager administering the Section 5310 program, and is provided to new applicants and subrecipients as part of the education process.

UNDERSTANDING, CHOOSING, AND TRACKING PERFORMANCE METRICS FOR FTA SECTION 5310 APPLICANTS AND SUBRECIPIENTS

WHAT IS A PERFORMANCE METRIC?

Performance metric is a broad term for items you can measure to determine how successful your program is and how efficiently you are operating.[1] You can create or identify performance metrics to measure specific elements of your work and to help ensure your goals are clear. They solidify the specific actions your program will take to accomplish your goals.[2]

It is important to consider whether the performance metrics your program chooses are valid, meaning that they measure what you want them to measure. This can mean your metrics are valid to your organization internally, or that they help you decide whether your work has been successful. Your metrics may be more broadly valuable to your agency's performance in the eyes of other organizations or the populations you serve.[3] While there are performance metrics that are required for the Section 5310 application and reporting processes – such as unlinked passenger trips – your program should also choose as many metrics as you find valuable and that you can accurately track.

HOW CAN TRACKING PERFORMANCE METRICS HELP MY ORGANIZATION SUCCEED?

While performance metrics are necessary to include in the FTA Section 5310 application, they can also help your organization grow and thrive during your regular operation, and be useful when seeking funding from other sources. Here are a few ways that performance metrics can help your organization:

PERFORMANCE METRICS CAN MEASURE YOUR PROGRAM'S SUCCESS AND HELP FIND AREAS FOR IMPROVEMENT. Establishing performance metrics can help your program monitor if it is successful in fulfilling its intended goals, as well as evaluating whether a program needs to be improved to better serve the public. By looking into the numbers produced from your program, it can give your organization a better idea of your program's impact in the community.[6, 7, 8, 9] If there are certain areas where the numbers are lower than your organization had expected, then you can discuss opportunities for increasing those numbers.

KNOWING YOUR PROGRAM'S PERFORMANCE METRICS CAN HELP IMPROVE DISCUSSION WITHIN YOUR ORGANIZATION. When your program uses performance metrics to explain its activities, it can help those within your organization understand the impact of its services. If other members of your organization can see the numbers behind your program, it can help further discussions and potentially help your program gain additional internal resources improve service. You should strive to demonstrate successful results and effective leadership in your program, and tracking and reporting on performance metrics are one way of doing this.[3]

PERFORMANCE METRICS CAN BE USED TO SHOW OTHERS OUTSIDE YOUR ORGANIZATION HOW YOUR PROGRAM SUCCEEDS. Performance metrics can also help people outside of your organization understand your services, including programs with similar goals, individuals who use your

services, and the public at large. By tracking performance metrics and showing the outcomes of a provided service, you hold your program accountable to the public and, as a result, strengthen trust in your program.[5]

HOW DO I DECIDE WHICH PERFORMANCE METRICS TO USE WITH MY PROGRAM?

Choosing which performance metrics to track can seem difficult, but there are a few important considerations your team can draw on when choosing what is valuable to measure for your organization.

SOME PERFORMANCE METRICS ARE EASIER TO TRACK THAN OTHERS. Some performance metrics are easily trackable, but others can be harder to measure. The *number of people who received services* is easy to track, while *community impact* is too broad and hard to define. Begin with finding easily countable, quantifiable outputs rather than the harder to define outcomes.

SOME PERFORMANCE METRICS THAT MAY BE EASY TO TRACK INCLUDE:

UNLINKED PASSENGER TRIPS counts the number of total one-way trips provided to all riders during a specific period. For example, if one vehicle transports three individuals from their homes to the grocery store and then back home, six unlinked passenger trips were provided. DRPT requires all programs to report unlinked passenger trips on a monthly basis through OLGA.

NUMBER OF REQUESTS FOR SERVICE counts the total number of requests for transportation, whether trips were provided or not. This metric can be used to track demand for your transportation service and to determine when service needs to be increased or decreased depending on demand.

CANCELED OR NO-SHOW TRIPS counts the number of scheduled trips that were either canceled before they could be completed or for which the rider did not show up. These are valuable metrics when comparing total scheduled trips to total completed trips, and to determine whether some riders may have a pattern of canceling or not showing up for trips that needs to be discussed to prevent further service interruptions for other riders.

HOURS TRAVELED TO PROVIDE TRIPS is a count of the total transportation service hours, from the time a vehicle leaves your organization to the time it returns at the end of service. By tracking the number of trips provided during the hours of service, your organization can look for efficiency opportunities for future trips.

NUMBER OF INDIVIDUALS THAT RECEIVED TRAVEL TRAINING is a count of the total number of riders who completed travel training. With this basic performance metric tracked, your organization can then expand to other metrics that would be valuable to measuring the success of travel training.

SOME PERFORMANCE METRICS THAT MAY BE DIFFICULT TO TRACK INCLUDE:

SATISFACTION can be hard to measure with confidence, but there are approaches that can give you an idea of how satisfied your users are. Surveys can give you a percentage metric that can help gauge how happy a rider is with your service. Mobility management and operating programs can measure satisfaction.

SERVICE ACCESSIBILITY can help you determine the number of riders that would have struggled to find transportation without your service. For example, you could ask riders how they found transportation before using your mobility management service, or whether your travel training program gave them the confidence to ride fixed-route transit rather than paratransit, or even if your program helped them gain the confidence needed to access transportation more frequently.

RIDES FACILITATED can be measured by organizations that provide mobility management services but not direct transportation. Tracking the number of rides referred to a transportation provider and completed successfully can help show community impact and robust community relationships.

SOME METRICS ARE POSSIBLE TO COUNT AND NOT QUITE AS BROAD, BUT STILL HARD TO TRACK. Examples include *how often individuals use services you refer them to* and *changes in frequency of transit use after travel training* and *frequency of community engagement*. While each of these is quantifiable, each would require additional work and communication with individuals using transportation or other community service providers to measure. If you are able, it could help to discuss metrics like these within your organization and with community partners to determine whether a more difficult measure could be tracked.

YOU CAN GROUP MULTIPLE PERFORMANCE METRICS TO ADDRESS ONE ISSUE THAT IS IMPORTANT TO YOUR ORGANIZATION. The performance metrics your program chooses should be as comprehensive as possible in order to give a complete picture of your operations.[4] If there are performance metrics that may be difficult to measure on their own, using a combination of metrics may answer a question that is too difficult to answer with one metric. *Frequency of community engagement* could be measured by tracking the number of trips to social destinations as compared to the number of trips to medical or essential life trips. Adding in a qualitative measure like a survey could help identify whether riders feel more engaged in their community because of the availability of your transportation service.

THE PERFORMANCE METRICS YOU CHOOSE CAN BE USED IN MULTIPLE WAYS AND DO NOT HAVE TO BE DELEGATED TO ONLY ONE CATEGORY. Your organization should choose performance metrics that are clear and understandable to all of your administrators and that are relevant to your program, but that can also be flexible and used to show progress toward many of the goals of your program.[5] For example, the number of hours of travel training provided can be used to show community involvement and how your organization helps make transportation more accessible.

ONCE I DECIDE ON MY PERFORMANCE METRICS, HOW DO I KEEP TRACK OF THEM?

Once you determine which performance metrics would best represent your activities, the next step is to figure out how you will keep track of them.

USING TECHNOLOGY WHERE AVAILABLE. Technology has become a useful tool for tracking performance metrics. When considering various options for your own program, it is important to consider the following:

WHAT SOFTWARE IS ALREADY AVAILABLE TO YOU? Organizations may already be completing other functions using software that hasn't yet been applied to transportation. It is important to communicate with your organization to find out what software licenses the organization already owns that you may be able to use. Speaking with the appropriate staff at your organization could also result in a new software purchase if you are able to provide information about the benefits to your program.

HAVE YOU EXPLORED FREE OR LOW-COST OPTIONS? Organizations may not have resources to spend on new software, but that does not mean there are no technological options available. Using technology does not automatically mean that your program is expected to spend additional money, but it may require out-of-the-box thinking as you consider how to utilize tools that are already available to you. If your agency uses Gmail, for example, Google Sheets can be used to track performance metrics. Microsoft Excel can also be used to track and analyze data and to create a variety of charts and graphics to help tell your story.

TRACKING WITHOUT TECHNOLOGY. While technology can make performance metric tracking easier, you do not have to use software to track or analyze performance metrics. If you do not have access to software for tracking performance metrics, it is important to develop an organized system to manually track data. Your program's staff should determine which metrics will be tracked and provide training to each person who will be tracking data to ensure the tracking process is consistent across staff. Try to minimize changes to the tracking process to avoid fatiguing staff to the changing process. To support those staff who will be tracking data, create shared definitions and provide each person with a printed and electronic copy of the definitions, and provide one point of contact who can answer any questions that may come up. The documents used for tracking performance metrics should be maintained in a single location, and one person should be responsible for consolidating the data into one master file on a regular basis.

EXAMPLES OF PERFORMANCE METRICS TO SUPPORT SECTION 5310 PROGRAMS

While your organization should track performance metrics for its own benefit and not just for the purpose of Section 5310 applications and reporting, there are certain performance metrics your group will either be required to track or might find helpful.

RIDERSHIP, THROUGH UNLINKED PASSENGER TRIPS, measures each time a passenger uses your transportation services to get from Point A to Point B. A passenger riding to a doctor's

appointment represents one trip, and the passenger riding back home is counted as a second trip. Two passengers riding to the grocery store and then back home count as four trips. Ridership is required to be reported on a monthly basis through OLGA.

If your program uses volunteers, then tracking VOLUNTEER HOURS will help show your community's involvement in its success. Transportation funding is limited and volunteers help to minimize cost, maximize budgets, and maintain community relationships.

MILEAGE PER VEHICLE allows your organization to track the number of miles traveled while ensuring preventative maintenance is performed on time. Tracking this measure over time will help your agency project replacement dates for all of your project vehicles. Mileage is required to be reported for each 5310 vehicle twice per year through TransAM.

RIDE COMPLETION PERCENTAGE tracks the number of rides completed versus the number of rides requested. Ride completion percentage is valuable in assessing the need for more vehicles, staff, or volunteers to complete additional rides. It can also be helpful to track the reason why a ride wasn't completed to further identify program and communication needs.

DESTINATIONS TRAVELLED tracks where your users are going and can be combined with other metrics such as time to complete trips to determine possible processes to make service more efficient. This metric can help you describe how physically far-reaching your services are by showing the reach of your services, and can help you show how many businesses or services your organization helps support.

NUMBER OF ACCESSIBLE TRIPS REQUESTED can help your agency gauge whether your fleet of vehicles can sufficiently meet the demand for accessible trips.

SERVICE DEMAND BY TIME OR DAY tracks the number of requests for trips at a certain time of day or on a certain day of the week. By tracking when rides are most frequently requested, your program can shift resources to ensure staff are working when there is a higher demand for services. If very few trips are requested at certain times or on certain days, then you may decide to shift the hours your transportation service is available.

Not all performance metrics work for every organization. Organizations and programs that don't offer rides may not be able to track metrics like ridership, but they can track activities that help to facilitate rides and fill gaps in service in other ways. For organizations that do not offer rides themselves, it is important to track metrics relevant to what your organization does offer.

TRAINING AND INFORMATION SESSIONS PROVIDED is particularly useful for organizations that offer travel training, but can be tracked by any organization that offers regular training. Many organizations offer training or information sessions on their services or on services that help seniors or individuals with disabilities obtain access. Tracking these numbers can show awareness, which could be correlated with ridership and ride completion percentage. (Note: This type of training is not the same as the required training for staff of agencies that receive FTA Section 5310 funding.)

NUMBER OF ADVERTISEMENTS can help demonstrate program outreach, particularly if your program has a process for tracking response to ads by monitoring call volume or conducting surveys. This metric can track any advertising or awareness strategy your agency uses, including distributing fliers or brochures, placing paid newspaper ads, and others. Any action your organization takes to raise awareness of its Section 5310 program might be useful to track.

CONTACTS RECEIVED tracks the number of people who contact the organization or program to gain more information or schedule a ride. In conjunction with advertisements, this performance metric can support tracking overall awareness of the program, and can be used as a measure to gauge advertising success if you capture the referral source from each individual.

COMMUNITY OUTREACH CONTACTS can be tracked to demonstrate your program's efforts to educate and serve more individuals. This can be accomplished by tracking visits or calls to senior centers, doctors' offices, and other locations that seniors or individuals with a disability may regularly visit.

INTERACTIONS WITH COMMUNITY PARTNERS OR OTHER TRANSPORTATION PROVIDERS can help your program provide services through more collaborative efforts, and is a required component of the Section 5310 program. Engaging with community partners and other transportation providers outside of the meetings arranged by DRPT can lead to service improvements and consolidation, filling gaps in existing service, and providing for efficiency of travel for individuals using multiple transportation services to complete a longer trip. Your program can track the rates of meetings, conversations, and other interactions along with any service improvements.

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Virginia Department of Rail and Public Transportation

600 East Main Street, Suite 2102
Richmond, VA 23219
804-786-4440