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## INFORMATION MEMORANDUM

To: Recipients and Subrecipients of Section 5310 Program Funds  
From: The Federal Transit Administration Office of Transit Programs (TPM-10)  
Contact: David Schneider (202) 366-2053  
Re: Reminder to submit Section 5310 Performance Measures on October 31, 2009 and Instructions on Reporting.

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This memorandum is intended to remind recipients of the Transportation for Elderly Individuals and Individuals with Disabilities (Section 5310) Program of the program's requirement that each direct recipient submit, on an annual basis, program measures that pertain to the performance of Section 5310 funded services provided by subrecipients. This requirement is contained in Chapter VI, part 17(d) of FTA's Circular 9070.1F, effective May 1, 2007. Although this provision has been in place for over two years, recent oversight reviews have found that few States have submitted the required performance information to FTA. The performance information that you provide will help FTA comply with the Government Performance and Results Act (GPRA) and will help stakeholders working on the next surface transportation authorization to make well-informed decisions about the recent performance of the program and its future in the next transportation legislation.

Chapter VI part 17(a) of Circular 9070.1F requires each State to submit to FTA by October 31 a program status report for each active grant covering the 12 month period ending, September 30. In addition to a milestone activity report and a financial status report, the program status report should contain information pertaining to the following program measures:

1. Gaps in service filed. Provision of transportation options that would not otherwise be available for older adults and individuals with disabilities measured in numbers of older adults and people with disabilities afforded mobility they would not have without program support.
2. Ridership. Actual or estimated number of rides (as measured by one-way trips) provided annually for individuals with disabilities and older adults on Section 5310 supported vehicles.

The state should ensure that the above information is reported for all recipients and subrecipients of Section 5310 funding in projects selected by the State, including those that were transferred to Section 5307 or Section 5311 for administration. The State may consolidate information for all projects in the annual report for any open Section 5310 grant awarded to the designated recipient. If Section 5310 funds have been awarded to other direct recipients pursuant to a supplemental agreement with the State, that direct grantee may report on behalf of itself and any subrecipients.

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This transmittal provides the following additional instructions on collecting and reporting Section 5310 performance information:

1. Subrecipients should estimate the number of rides provided only by those vehicles that were funded under the Section 5310 program. If a subrecipient has a cost-allocation method in place, it should apply its existing method to estimating the number of rides provided on Section 5310-funded vehicles. Otherwise, the number of rides attributed to Section 5310-funded services can be estimated by taking the total number of one-way trips provided by the subrecipient over the course of FY 2009 and dividing this number by the proportion of the subrecipient's fleet that has been funded by the Section 5310 program.
  - Example: A subrecipient provided 2,000 one-way trips in FY 2009 with a fleet of 10 vehicles, 8 of which were funded by the Section 5310 program and two of which were funded by a local grant program. The number of rides that can be attributed to Section 5310 funded vehicles =  $2000 \times \frac{8}{10}$  or 1600 one-way trips.

In addition, subrecipients should provide information on rides provided by Section 5310-funded services in operation in Fiscal Year 2009, regardless of the year that the services received funds under the Section 5310 program.

2. Subrecipients should report on "gaps in service filled" by providing the number of individuals that had access to services provided by the subrecipient in the fiscal year. This can be reported in one of two ways:
  - a. If a subrecipient provides transportation services to a specific list of clients, the subrecipient can report the number of clients that are eligible to receive transportation services in Fiscal Year 2009.
  - b. If a subrecipient provides service to older adults and people with disabilities living among the public at large, the subrecipient should provide 2000 Census data on the population of older adults and people with disabilities that reside in the counties served by the subrecipient. State DOTs should provide technical assistance to subrecipients, as necessary, on how to identify Census information for the counties served by subrecipients.
3. All subrecipients should provide the names of the counties that are served by Section 5310 funded-services, even if only a portion of the county is served by the Section 5310 program. This information will allow FTA and other stakeholders to better understand the geographic reach of the Section 5310 program.
4. The State's report on Section 5310 services should be submitted electronically in TEAM and paperclipped to the States' most recent Section 5310 award from FTA. The report on program measures should consist of a spreadsheet that will

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allow FTA to review information reported on a subrecipient-by-subrecipient basis. The attached template provides a framework for reporting performance information.

5. The information submitted in the report due October 31, 2009 should cover one way trips and number of individuals served only by those services in operation in Federal Fiscal Year 2009 (October 1, 2008 through September 30, 2009). States that have not submitted Section 5310 program information for Federal Fiscal Year 2008 should submit this information in a separate report through TEAM. This report is also due by October 31, 2009.

We appreciate your attention to this matter and your efforts to provide information on the performance of the Section 5310 program. If you have any questions about the program measures requirement or on the guidance in this document, please contact the FTA Office of Transit Programs or your FTA Regional Office.

Attachments:

Reporting Template

Circular 9070.1F, Chapter VI Part 17

**Section 5310 Program Measures Reporting Template**

Recipient: Name of State

Recipient Contact Person:

Recipient Contact information:

Subrecipient Name	Subrecipient Address	Names of Counties Served	Estimated one way trips	Number of individuals eligible to be served
Subrecipient A				
Subrecipient B				
Subrecipient C				
Subrecipient D				
Subrecipient E				
Subrecipient F				

requirement for an A-133 audit, the State may wish to review A-133 audit reports prepared for subrecipients that are required to be audited because the total Federal funds from all sources exceed the threshold (currently \$500,000). At a minimum States should require subrecipients to bring to the attention of the State any audit findings relevant to their use of FTA funds.

OMB has issued an audit compliance supplement for FTA grants. It should be noted, however, that while the guidance contained in the supplement may be helpful to auditors, it is specific to the Section 5307, 5309, 5311 programs, and not all of the provisions are applicable to the Section 5310 program. The State may wish to make the current version of FTA Circular 9040.1 and relevant State program guidance available to auditors of its subrecipients.

15. REAL PROPERTY. Real property acquisition standards are included in the current FTA Circular 5010.1, "Grant Management Guidelines" and in Chapter VIII, "Other Provisions." Subrecipients may use the State's staff appraisers to prepare required independent appraisals.
16. CONSTRUCTION MANAGEMENT AND OVERSIGHT. The responsibility for construction management and oversight lies with the State. FTA does not approve design plans for construction projects.
17. REPORTING REQUIREMENTS.
  - a. Annual Program of Projects Status Reports. By October 31 each year, the State should submit to FTA a program status report for each active grant, covering the 12-month period ending September 30. The status reports should be submitted electronically in TEAM and are intended to meet minimal program information needs at the regional and national levels. Reports should include an updated POP for each approved grant which contains active projects. The updated POP should reflect revised project descriptions, changes in projects from one category to another, and adjustments within budget categories. The updated POP can be imported as text into the project summary section of the electronic status report. If revisions to the POP result in changes to the line item budget for the grant, these changes should be submitted as budget revisions. Significant civil rights compliance issues occurring during the year (such as Title VI, Equal Employment Opportunity (EEO), or Disadvantaged Business Enterprise (DBE) complaints against the State or subrecipients) should be addressed in the annual status report. In addition, the State may report notable accomplishments or problems involving Section 5310 subrecipients.
  - b. Milestone Activity Reports. For activity line items (ALIs) for which milestones were required at the time of grant application (for example, for vehicle procurements, construction projects, and program reserve), the recipient should enter revised milestone dates as part of the annual report. If the estimated completion date for the grant has changed, the revised date should be entered, with an explanation as to why the date was changed.

- c. Financial Status Report. The State must submit electronically an annual Financial Status Report for each active grant, for the period ending September 30. For the purpose of this report, funds are considered encumbered when agreements are signed with subrecipients. Reports should be prepared using the accrual method of accounting.
- d. Program Measures. As indicated in Chapter 2, FTA will be capturing overall program measures to be used with the Government Performance Results Act (GPRA) and the Performance Assessment Rating Tool process for the Office of Management and Budget. The following indicators are targeted to capture overarching program information as part of the annual report that each State submits to FTA. The State should submit both quantitative and qualitative information as available on each of the following measures:
  - (1) Gaps in Service Filled. Provision of transportation options that would not otherwise be available for older adults and individuals with disabilities measured in numbers of older adults and people with disabilities afforded mobility they would not have without program support.
  - (2) Ridership. Actual or estimated number of rides (as measured by one-way trips) provided annually for individuals with disabilities and older adults on Section 5310—supported vehicles and services.

The State should ensure that the above information is reported for all recipients and subrecipients of Section 5310 funding in projects selected by the State, including those that were transferred to Section 5307 or 5311 for administration. The State may consolidate information for all projects in the annual report for any open Section 5310 grant awarded to the designated recipient. If Section 5310 funds have been awarded to other direct recipients pursuant to a supplemental agreement with the State, that direct grantee may report on behalf of itself and any subrecipients.

- e. Disadvantaged Business Enterprise (DBE) Reports. If the State receives planning, capital, and/or operating assistance and awards prime contracts exceeding \$250,000 in FTA funds in a fiscal year, DOT regulations require the State have a DBE program. All subrecipients that receive planning, capital, and/or operating assistance and award prime contracts exceeding \$250,000 in FTA funds in a fiscal year must also have a DBE program. FTA recipients that meet the thresholds above must submit a DBE program goal to FTA for review by the first of August of each year. Detailed requirements are described in Chapter VIII, "Other Provisions."
18. STATE MANAGEMENT PLAN. The State Management Plan (SMP) is a document that describes the State's policies and procedures for administering the Section 5310 program. The SMP required for the Section 5310, 5311 (Non-Urbanized Area Formula), Job Access and Reverse Commute (JARC), and New Freedom programs may be included in the same document. All States are required to have an approved SMP on file in the FTA regional office. Additions or amendments to the SMP must be made and submitted to FTA.