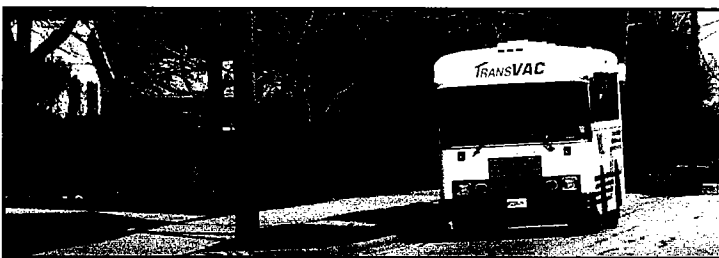
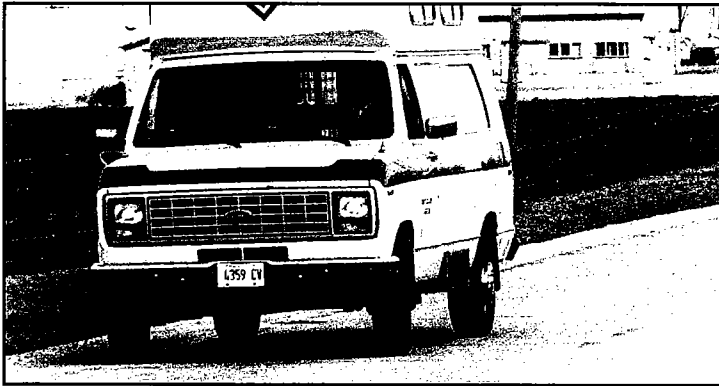


# 5310/5311 GRANT MANAGEMENT MANUAL



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# TABLE OF CONTENTS

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## 1 DEFINITIONS

---

---

## 2 STATE MANAGEMENT PLAN

---

### 2/1 FOREWORD

### 2/2 PROGRAM GOAL AND OBJECTIVES

2/2.1 SECTION 5310 PROGRAM

2/2.2 SECTION 5311 PROGRAM

### 2/3 ROLES AND RESPONSIBILITIES

2/3.1 FEDERAL TRANSIT ADMINISTRATION

2/3.2 STATE ADMINISTRATIVE AGENCY

2/3.3 GRANTEES

### 2/4 ELIGIBLE APPLICANTS

2/4.1 SECTION 5310

2/4.2 SECTION 5311

### 2/5 LOCAL SHARE AND LOCAL FUNDING REQUIREMENTS

2/5.1 SECTION 5310

2/5.2 SECTION 5311

### 2/6 PROJECT SELECTION AND METHOD OF DISTRIBUTING FUNDS

2/6.1 SECTION 5310

2/6.2 SECTION 5311

### 2/7 ELIGIBLE SERVICES AND SERVICE AREAS

2/7.1 SECTION 5310

2/7.2 SECTION 5311

### 2/8 ELIGIBLE ASSISTANCE CATEGORIES

2/8.1 SECTION 5310

2/8.2 SECTION 5311

### 2/9 ANNUAL PROGRAM DEVELOPMENT AND APPROVAL PROCESS

2/9.1 SECTION 5310

2/9.2 SECTION 5311

### 2/10 PROGRAM REQUIREMENTS

2/10.1 COORDINATION

2/10.2 PRIVATE SECTOR PARTICIPATION

2/10.3 CIVIL RIGHTS AND DISADVANTAGED BUSINESS ENTERPRISE (DBE)

2/10.4 SECTION 504 AND ADA REPORTING

2/10.5 RULES FOR CHARTER SERVICE

2/10.6 OTHER PROVISIONS

### 2/11 RURAL TRANSIT ASSISTANCE PROGRAM (RTAP)

### 2/12 STATE PROGRAM MANAGEMENT

---

## 3 PROGRAM MANAGEMENT

---

### 3/1 INTRODUCTION

3/1.1 PROGRAM GUIDANCE

### 3/2 OVERVIEW

3/2.1 LOCAL IMPLEMENTATION

3/2.2 APPLICANTS

3/2.3 GRANTEES

3/2.4 ILLINOIS DEPARTMENT OF TRANSPORTATION

### 3/3 RURAL TRANSIT ASSISTANCE PROGRAM (RTAP)

3/3.1 SECTION 5311

3/3.2 SECTION 5310

### 3/4 FUNDING, DISTRIBUTION AND ELIGIBILITY

3/4.1 FEDERAL DISTRIBUTION OF FUNDS

3/4.2 IDOT DISTRIBUTION OF FUNDS

### 3/5 APPLICATIONS

3/5.1 FILING PERIODS

3/5.2 JOINT APPLICATIONS (SECTION 5311)

3/5.3 REVIEW OF FINANCIAL ASSISTANCE APPLICATIONS

3/5.4 APPROVAL OF A PROGRAM OF PROPOSED EXPENDITURES

3/5.5 ACKNOWLEDGMENT OF APPLICATIONS

3/5.6 NOTIFICATION OF EVALUATION AND REVIEW

### 3/6 CONTRACTS AND FINANCIAL MANAGEMENT

3/6.1 THIRD PARTY CONTRACTING

3/6.2 STANDARDS

3/6.3 METHODS OF COMPETITIVE PROCUREMENT

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## PREFACE

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**T**he Federal Transit Administration (FTA) of the United States Department of Transportation provides limited federal financial assistance to support the operation and capital investment needs of public transportation systems in rural and small urban areas (Section 5311 Program) as well as capital assistance for both rural and urban providers of specialized elderly and disabled transportation (Section 5310 Program). Funds for these purposes are apportioned by FTA among the states and each state in turn is given primary responsibility for administering the programs. The Illinois Department of Transportation (IDOT) is authorized by state statute to receive and expend federal Section 5311 and Section 5310 funds allotted to Illinois.

This Grant Management Manual/State Management Plan is designed to assist current and potential grant recipients in fulfilling the various requirements of receiving federal financial assistance generally, and the Federal Transit Administration's Section 5311 (Circular 9040.1D) and Section 5310 (Circular 9070.1B) in particular. Its purpose is to outline IDOT's plan for administering the two programs and as a source of guidance to current grantees and interested parties.

**Inquiries concerning the Section 5310 Program should be directed to:**

**Attn: Program Manager  
Downstate Area Programs  
Illinois Department of Transportation  
Division of Public Transportation  
310 South Michigan Avenue - Suite 1608  
Chicago, Illinois 60604  
312-793-2116**

**Inquiries concerning the Section 5311 Program should be directed to:**

**Attn: Section Chief  
Statewide Non-Metro Program  
Illinois Department of Transportation  
Division of Public Transportation  
310 South Michigan Avenue - Suite 1608  
Chicago, Illinois 60604  
312-793-2116**

# DEFINITIONS

# 1

5310/5311 GRANT MANAGEMENT MANUAL



Illinois Department  
of Transportation



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# DEFINITIONS

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# 1

This section identifies common terms and definitions as used in this Manual. Many such terms are recurring to both the Section 5311 and Section 5310 Programs. Unless otherwise indicated, the following definitions are to be used interchangeably under either program.

**ACT** *Section 1* -- The Downstate Public Transportation Act (30 ILCS 740/1 et seq.).

**APPLICANT** A temporary designation for an entity which has submitted or proposes to submit a financial assistance application to IDOT as provided for in this Manual; and which has not achieved the status of grantee through approval of a financial assistance application.

**CAPITAL COST** A nonrecurring expenditure for either real or personal property having an initial acquisition cost greater than \$300; or any approved expenditure for physical facilities such as land acquisition, construction, major alterations, and landscaping; fixed equipment or systems; revenue and non-revenue rolling stock and any of the related costs of an approved capital acquisition program -- which can be classified under FTA guidelines, IDOT guidelines, or standard accounting practices as a capital asset.

**CONSOLIDATED VEHICLE PROCUREMENT (CVP) PROGRAM** The state program under which Section 5310 and 5311 grantees apply for and receive paratransit vehicles. Under this program grantees are not directly involved in the design and procurement of the paratransit vehicles. This program was developed to ensure that all vehicles purchased with Section 5310 and 5311 grantees meet federal and state procurement and ADA requirements.

**ELIGIBLE ADMINISTRATIVE EXPENSES** *Section 5311* -- Expenses required to provide public transportation, other than those defined as "eligible operating expenses", including, but not limited to, general, administrative and overhead costs such as salaries of the project director, office personnel such as secretary and bookkeeper, office supplies, facilities, rental, insurance, marketing, and interest on short-term loans for operating assistance.

**ELIGIBLE CAPITAL EXPENSES** *Section 5311* -- Any approved expenditure of moneys for capital items necessary for the provision of public transportation services, including expenditures for the purchase of revenue and non-revenue rolling stock; the purchase of maintenance and support equipment directly related to the support of such service operations (e.g. maintenance tools, fareboxes, wheelchair lifts, ramps, radios, etc.); and the purchase or construction of fixed facilities.

**ELIGIBLE OPERATING EXPENSES** Section 5311 -- Expenses required to provide public transportation, including drivers' wages and benefits, mechanics' wages and benefits, contract maintenance service, materials and supplies directly related to transit and maintenance of vehicles, fuels and lubricants, rentals or leases of vehicles, taxes other than income taxes, payment made for debt service (including principal and interest) on publicly owned equipment and facilities, and any other expenditure which is an operating expense according to standard accounting practices for the providing of public transportation.

**ELIGIBLE RURAL PUBLIC TRANSIT SERVICE** Section 5311 -- Any transportation service provided by bus, shared-ride taxi, or other publicly or privately owned conveyance, primarily serving the general public, on a regular basis, by or on behalf of an eligible grantee. Projects may constitute an entire public transit system, a particular service or function within that service, or an individual route or route segment. Service may include the transportation of nonurbanized residents to and from urbanized areas. However, such services may not include operations entirely within an urbanized area.

**FEDERAL FISCAL YEAR (FFY)** The fiscal year of the United States -- October 1 through September 30.

**FTA** The Federal Transit Administration of the US Department of Transportation.

**GRANTEE** The recipient of IDOT project funds or assets as evidenced by statutory or administrative authority to act as a grantee under a grant agreement with IDOT.

**IDOT** The Illinois Department of Transportation.

**LEAD APPLICANT** The primary applicant responsible for executing and thereby administering the requirements of an IDOT funded grant agreement under a joint application where two or more applicants have agreed upon and designated one such applicant to act as "lead".

**NONURBANIZED, RURAL OR SMALL URBAN AREAS** Section 5311 -- These terms are used synonymously for any area outside an urbanized area with a population of less than 50,000 inhabitants, as defined by the US Bureau of the Census.

**OPERATING DEFICITS** Section 5311 -- The amount by which eligible operating expenses exceed revenues from non-reimbursable fares, rental of properties, advertising, and any other amounts collected or received in the process of providing Section 5311 funded public transportation which, under FTA guidelines, IDOT guidelines, or standard accounting practices, are properly classified as operating revenue or operating income attributable to providing public transportation under the Act.

**OPERATOR** The entity or entities charged with the implementation, administration and ongoing management of a public or specialized transportation service. Operators may be either an instrumentality of a grantee or a third party contractor or contractors which provide both project management and transportation service.

## DEFINITIONS

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**OPERATING REVENUE** The revenues from non-reimbursable fares, reduced fare reimbursements, rentals of properties, advertising, contract income from for-profit entities and any other amounts collected or received in the process of providing public transportation which, under FTA guidelines, IDOT guidelines, or standard accounting practices, are properly classified as operating revenue or operating income; and any unrestricted federal, state or local funds received as a result of providing transportation services which are not used to match grant funds.

**PASS THROUGH OPERATOR** A not for profit agency that is the operator for a Section 5311 grantee whose services are not procured through third party contracting guidelines. This arrangement is only available to grantees which are County's or municipalities. Under this arrangement,

**PUBLIC TRANSPORTATION** Coordinated transportation service within the approved service area which is not designed nor operated in a manner which restricts service to any particular group or class of individuals; and which is openly marketed to the general public.

**PROGRAM OF PROJECTS (POP)** The federal programming document detailing the annual listing of local projects to be partly financed with FTA funds. The Program of Projects consists of brief project descriptions and proposed funding shares. It is submitted to FTA annually by IDOT for FTA approval.

**PROGRAM OF PROPOSED EXPENDITURES** As approved by IDOT, the services to be provided and the budget for the provision of those services by a grantee (i.e. Approved Project Budget).

**PROVIDER** The source of public or specialized transportation services typically provided on a unit or trip cost basis under a purchase of service contract with a grantee who retains implementation and grant administration responsibilities.

**SECTION 5310** Section 5310 (formerly known as Section 16) of the Federal Transit Act of 1992, as amended.

**SECTION 5311** Section 5311 (formerly known as Section 18) of the Federal Transit Act of 1992, as amended.

**STATE** The State of Illinois.

**STATE FISCAL YEAR (SFY)** The fiscal year of the State of Illinois -- July 1 through June 30.

**STATE MANAGEMENT PLAN (SMP)** The State Management Plan (also known as the Grants Management Manual) is a document which describes the state's policies and procedures for administering the Section 5311 and Section 5310 Transportation Assistance Programs. The SMP is intended to facilitate both state management and FTA oversight by documenting IDOT's implementation and management methods in a single reference.

## DEFINITIONS

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**SUBRECIPIENT** Also commonly referred to as subgrantee, this is the federal designation for the local recipient of financial assistance. For the Section 5310 and 5311 programs this grant methodology is employed through a designated state agency (IDOT) acting as the primary recipient which agrees to assume local funding distribution and oversight responsibilities over local project implementors or “subrecipients”. At the state implementation level, subrecipients are commonly referred to as Grantees.

**THIRD-PARTY CONTRACT** Any purchase order or contract awarded by a grantee to a vendor or contractor using financial assistance funds awarded by IDOT.

**URBANIZED AREA** Typically multi-jurisdictional areas (governed by more than one governmental entity) of equal to or greater than 50,000 inhabitants defined by the US Bureau of the Census as being Urbanized.

**URBAN PLACE** Typically single-jurisdictional areas of 2,500 inhabitants or more defined by the US Bureau of the Census as an Urban Place.

# STATE MANAGEMENT PLAN

# 2

5310/5311 GRANT MANAGEMENT MANUAL



