SECTION 5310
STATE MANAGEMENT PLAN

FEDERAL CAPITAL ASSISTANCE FOR THE TRANSPORTATION OF ELDERLY PERSONS AND PERSONS WITH DISABILITIES

INDIANA DEPARTMENT OF TRANSPORTATION
TRANSIT OFFICE
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SECTION 5310
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FEDERAL CAPITAL ASSISTANCE FOR THE TRANSPORTATION OF ELDERLY PERSONS AND PERSONS WITH DISABILITIES

State of Indiana
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SECTION ONE: PROGRAM BACKGROUND

A. INTRODUCTION

Section 5310 of the Federal Transit Act, declares as national policy that elderly persons and persons with disabilities have the same right to access transportation services as other persons. Section 5310 authorizes federal capital assistance grants to meet the special needs of elderly persons and persons with disabilities where public mass transportation services are unavailable, insufficient or inappropriate. Eligible applicants include private non-profit organizations and public bodies that coordinate specialized transportation services.

The Section 5310 program supplements other Federal Transit Administration capital assistance programs by funding equipment for transporting elderly persons and persons with disabilities.

Indiana annually receives about $2 million in federal funds to distribute on an 80% federal and 20% local matching basis. The Governor of Indiana has designated the Indiana Department of Transportation (INDOT) as the agency responsible for administering Indiana's Section 5310 allocation.

The Indiana Department of Transportation, Transit Office solicits Section 5310 applications, selects projects, executes grant awards, buys equipment and monitors vehicle operation. To participate in the Section 5310 program, an applicant must submit an application that meets the criteria listed in Section 2, Part D "Award Selection". Eligible equipment requests include passenger vehicles, accessibility equipment and communication systems.

Receiving a vehicle under the Section 5310 program is a lengthy process and may take up to two years from application to receipt of vehicle (see Process Chart, Appendix A). Applicants should plan accordingly when preparing their request.

The **Section 5310 State Management Plan** explains the policies and procedures used by INDOT to implement the Section 5310 program. INDOT recommends that all previous and future applicants for Section 5310 capital assistance review this guide.

B. DEFINITIONS

This section identifies several common terms and definitions about the Section 5310 program.

Eligible Applicants

A ***private non-profit corporation*** that provides or desires to provide transportation services to elderly persons and/or persons with disabilities. This is defined as an organization incorporated as a private non-profit corporation with the Indiana Secretary of State and receiving tax exempt status, from the Secretary of the Treasury, under 26 U.S.C. Section 501(c)3. Non-profit corporations must certify their non-profit status by providing INDOT a copy of their Certificate of Incorporation filed with the Secretary of State, at the time of application for grant funds.

A Public Body that certifies to INDOT that no non-profit corporations or associations are readily available in an area to provide the service. These public bodies must provide INDOT with letters from local private non-profit organizations stating that they do not provide transportation services in the proposed service area.

A Public Body approved by the state to coordinate services for elderly persons and persons with disabilities. An example of an eligible public body would be a county department on aging or a public transit provider. The public body should be designated - through a local ordinance - as the local agency responsible for coordinating transportation for elderly persons and persons with disabilities.

Disabled

As defined by the Americans with Disabilities Act, the term "disabled" means:

- A permanent or temporary physical or mental impairment that substantially limits one or more of the major life activities of such individual. This includes any physiological disorder or condition, cosmetic disfigurement, or anatomical loss affecting one or more of the following body systems: neurological, musculoskeletal, special sense organs, respiratory including speech organs, cardiovascular, reproductive, digestive, genito-urinary, hemic and lymphatic, skin, and endocrine.

  This also includes any mental or psychological disorder, such as mental retardation, organic brain syndrome, emotional or mental illness, and specific learning disabilities. The term "physical or mental impairment" includes, but is not limited to, such contagious or noncontagious diseases and conditions as orthopedic, visual, speech, and hearing impairments; cerebral palsy, epilepsy, muscular dystrophy, multiple sclerosis, cancer, heart disease, diabetes, mental retardation, emotional illness, specific learning disabilities, HIV disease, tuberculosis, drug addiction (but not including the current use of illegal drugs) and alcoholism. "Major life activities" means functions such as caring for one's

self, performing manual tasks, walking, seeing, hearing, speaking, breathing, learning, and working;

- A record of such an impairment. This means a history of, or classification or misclassification, as having a mental or physical impairment that substantially limits one or more major life activities;

- Being regarded as having such an impairment. This means a) having a physical or mental impairment that does not substantially limit major life activities, but which is treated as constituting such a limitation, b) having a physical or mental impairment that substantially limits a major life activity only as a result of the attitudes of others toward such an impairment, or c) having none of the impairments set forth in this definition but being treated as having such an impairment.

Elderly

An individual who has reached or surpassed 60 years of age.

Urbanized Area

One or more places and the adjacent densely settled surrounding territory that together have a population of more than 50,000 persons. Urbanized areas in the State are designated by the U.S. Bureau of Census in the current decennial census.

Non-urbanized or Rural Area

Interchangeable terms meaning any area outside an urbanized area (as defined by the U.S. Census) with a population of less than 50,000.

C. ROLES AND RESPONSIBILITIES

Applicant/Grantee

The applicant/grantee is responsible for developing the Section 5310 grant application and support documentation as required by INDOT. The applicant/grantee must also accept responsibility for operation of the vehicle. A further discussion of responsibilities is in located in Sections Two and Three.

Local Transportation Advisory Committee (TAC)

INDOT requires all applicants to participate in any existing Transportation Advisory Committee (TAC), or establish a TAC should none exist. Many areas already have groups that perform the functions of a TAC. These groups are acceptable as long as they have the proper representation and perform the activities required of a TAC.

The local TAC should consist of representatives from all sectors interested in the delivery of transportation services to elderly persons and persons with disabilities. Suggested representation includes:

1. Private for-profit and private non-profit transportation operators
2. Public non-profit transportation operators
3. Public transit providers
4. Social service agencies
5. Local elected officials
6. Consumers of elderly/disabled transportation services
7. Local and/or regional planners

TACs are discussed in further detail in Section Two, Part C "Coordination."

Metropolitan Planning Organization (MPO)

The Metropolitan Planning Organization exists only in urbanized areas as a function of a local governmental unit or separate non-profit planning corporation. INDOT requires applicants from an urbanized area to submit their Section 5310 application to the MPO for inclusion in the Transportation Improvement Program (TIP). The purpose of a TIP is to describe and prioritize all publicly funded highway and transit projects into a single, comprehensive document.

The MPO reviews the application in relation to the goals and objectives of the TIP. The MPO (or local TAC) must prioritize any two or more Section 5310 applications from the urbanized area. MPOs can also serve as a catalyst for coordination of transit services within their planning area.

Indiana Department of Transportation (INDOT)

As the Section 5310 administrative agency, the INDOT is responsible for:

1. Developing program criteria;
2. Soliciting, reviewing and approving applications;
3. Procurement and monitoring of equipment throughout its useful life;
4. Improving the coordination of specialized transportation services at the state and local levels;

Indiana Specialized Transportation Advisory Group (ISTAG)

INDOT has established the Indiana Specialized Transportation Advisory Group (ISTAG) to facilitate cooperation and coordination between other state administered transportation programs. The purpose of this group is two-fold: 1) to assist INDOT in the review and selection of Section 5310 grant applications, and 2) to provide a forum for discussing strategies and policies that may assist specialized transportation assistance programs at the state and local levels.

The ISTAG consist of representatives from state agencies involved in the provision of specialized transportation services.

Federal Transit Administration (FTA)

The Federal Transit Administration is the federal agency responsible for oversight of the Section 5310 program. FTA reviews the statewide application before releasing the State's allocation of funding. The FTA Regional office requires annual program and financial reports to ensure that each state is meeting program objectives. FTA has issued guidelines (Circular FTA 9070) which INDOT uses for administering the Section 5310 program.

FTA Section 5311 Program

The Section 5311 program makes federal operating and capital assistance available to rural areas for the development, improvement and use of public transportation systems. INDOT administers this program on behalf of the Federal Transit Administration.

Many Section 5311 recipients or operators in Indiana are non-profit organizations or public bodies. These agencies are eligible to receive assistance through the Section 5310 program. INDOT encourages Section 5310 applicants to participate in coordinating transportation with Section 5311 grantees as long as coordinated services will continue to meet the purposes of both programs.

For further information on the Section 5311 program, contact the INDOT Section 5311 Program Manager at 317/232-1483.

Surface Transportation Program

The federal Surface Transportation Program (STP) is a source of flexible funds for both highways and transit projects. At a state's discretion, it may use STP funds for transit capital projects that meet the needs of elderly persons and persons with disabilities. In addition, local STP funds may be used for similar transit capital projects.

D. GOALS

INDOT has identified the following goals to provide direction in the implementation of the Section 5310 program.

- To improve the access of elderly persons and persons with disabilities to shopping, education, employment, health care, recreation and all other community services;
- To promote safe, effective and efficient delivery of transportation services for elderly persons and persons with disabilities;
- To assist in the maintenance, development and improvement of transportation services for elderly persons and persons with disabilities;
- To promote the maximum feasible coordination of Section 5310 funded services with other federal/state funding program and local transportation providers.

SECTION TWO: GRANT APPLICATION PROCESS

A. FUNDING

Allocation of Funds

The Federal Transit Administration (FTA) distributes Section 5310 funding based on each state's share of the number of elderly persons and persons with disabilities within the United States. Based on the latest Census data, Indiana receives about $2 million dollars each year. These funds are available for distribution on an 80% federal basis and 20% local (applicant) matching basis, which are awarded annually by INDOT on a competitive basis. The evaluation criteria for awarding these funds are found in Section D "Awards Selection".

INDOT may use up to 10% of the state's annual Section 5310 allocation for state administration and technical assistance.

Local Share Funding Requirements

INDOT requires the applicant to provide 20% of the total cost of the equipment described in the application package. To help the applicant in determining the amount of local share, INDOT provides cost estimates in the application package. INDOT bases these estimates on the expected cost of the equipment at the time of purchase.

The applicant must provide the local share as cash match to INDOT before procurement. The following are examples of eligible sources for match funding:

- grant or appropriation from a unit of government;
- income from purchase of service contracts;
- grants from service groups, foundations, individuals, United Way, etc.;
- Other state funds eligible to match federal funds;
- local fund raising efforts

Applicants may not use federal funds as local cash match for Section 5310 capital awards. Applicants must certify the availability of their share with a resolution passed by their Board of Directors or Governing Board. All applicants must list the funding source(s) dedicated to the project.

B. APPLICATION

Section 5310 funds are available to potential applicants on an annual basis. A mailing list of potential applicants is maintained by INDOT. Interested organizations may be put on this mailing list by calling, faxing or mailing INDOT its agency name and address.

INDOT mails solicitation letters to potential applicants each October. In addition, INDOT puts public notices in newspapers (in Indiana) that serve minorities. Potential

applicants then have one month to mail/fax INDOT a letter requesting an application package. INDOT distributes an application to interested applicants in early November. Applicants then have until the following February to complete the application.

Eligible equipment requests include passenger vehicles, accessibility equipment and communication systems. INDOT includes a brief description for these items in the application package. Applicants may choose only from the vehicle options offered in the application package. By standardizing equipment, INDOT can take advantage of cost savings associated with volume purchasing. INDOT encourages applicants to provide input into the development of vehicle specifications. The best time to offer suggestions is in July or August, prior to solicitation of bids for vehicles awarded during the previous grant cycle.

Under the Americans with Disabilities Act, applicants may request **non lift-equipped** vehicles if they can certify the transportation service provided to persons with disabilities is equivalent to service provided to ambulatory persons. This certification is included with the grant application package and is in effect for the useful life of the vehicle.

Technical Assistance

In concert with the mailing of the application, INDOT conducts an application assistance workshop in December. INDOT contracts for technical assistance through the Indiana Rural Transportation Assistance Program (RTAP). RTAP periodically sponsors seminars, workshops, and training sessions. Interested agencies can contact:

Indiana RTAP Coordinator
1531 13th Street
Columbus, IN 47201
1-800-709-9981

Application Content

The applicant must demonstrate service coordination, a need for requested equipment, and the fiscal and managerial capability to provide the service proposed in the application.

Applicants serving the same geographical area are encouraged to file jointly. Items such as Project Justification, Project Description, Provider Notification Letter and Public Notice should reflect the joint nature of the application.

All Applications must contain the following items:

Coordination

- Application Information Form
- Inclusion in local Transportation Improvement Plan (urban areas only)
- Local Transportation Advisory Committee membership, minutes and recent activities
- Local Transportation Advisory Committee prioritization of applications (if needed)
- Notification Letter to public and private transportation providers
- Responses to negative comments/service proposal from providers
- Public Hearing (Public Bodies only)

Project Justification

- Coordination/Needs
- Project Description
- Additional support materials (pictures, maintenance records, etc.)
- Vehicle Inventory

Fiscal/Managerial Capability

- Fiscal/Managerial documentation
- Estimated capital budget
- Estimated Annual operating costs (this is not a request for operating assistance)

Certification

- Certificate of Incorporation
- Authorizing Resolution
- Standard Federal Assurances/Certifications
- Certification of Equivalent Service (if requesting a non lift-equipped vehicle)
- Lobbying Certification (if requesting over $100,000 in federal funds)
- Section 13(c) Labor Protection Certification (if the applicant receives other FTA funding)

Further information on the individual items required in an application are discussed in the annual Section 5310 Application package available from INDOT.

C. COORDINATION

Coordination is considered the heart of the Section 5310 Application. Because demand for Section 5310 funds exceeds the annual allocation, it is imperative that potential applicants maximize the transportation resources available in their service area.

Transportation Advisory Committee

The foundation for maximizing transportation resources is the local Transportation Advisory Committee (TAC). As noted earlier, INDOT requires all applicants to participate in any existing TAC or to establish a TAC. The local Transportation Advisory

Committee serves as an advisory and information resource to the applicant. INDOT charges each TAC with the following activities and responsibilities:

1. Assisting the applicant in assessing and identifying transit needs and resources within their service area.

2. Establishing goals and objectives for coordinated transportation service delivery.

3. Assessing the relevance of each Section 5310 application to established goals and objectives for coordinated transportation service. This includes prioritizing Section 5310 applications submitted by TAC members.

4. Conducting meetings - at a minimum - on a quarterly basis.

5. Establishing procedures for complaint resolution of private sector proposals for providing transportation services.

6. Serving as a coordinator/host for technical assistance efforts, including training, workshops and seminar.

All these activities are part of an on-going process designed to assist the applicant in effectively using and coordinating local transportation resources. As part of the evaluation criteria, INDOT reviews the minutes of the local TAC meetings.

In addition to regularly scheduled TAC meetings, applicants should pursue a variety of coordination activities with other public transportation providers in their service area. Examples of these activities include:

- Joint training efforts (first aid, driver, passenger assistance techniques, etc.);
- Sharing or leasing vehicles with other agencies during normal down time;
- Joint marketing and outreach efforts;
- "Trading" passengers among agencies in cases where services overlap in a particular service area;
- Working together to obtain better prices on vehicle repairs, parts, fuel, insurance, etc.;
- Referring individuals to other agencies in your service area;
- Providing transportation services under contract to other non-profit organizations in your service area.

INDOT encourages all applicants to explore these and other methods for coordinating transportation services. Successful coordination may result in the commitment of other local agencies to purchase service, share resources and fully utilize the transportation services available in your area.

Notification of local transportation providers

All applicants (non-profit and public bodies) must send notification to all public, private for-profit and private non-profit transit providers in their service area. An example of a notification letter is provided with the Section 5310 application package. Applicants may contact the Section 5310 Program Manager if they need assistance in locating providers in their service area. Applicants may also use internet search engines for locating transit providers in their service area.

Your agency must mail out the notification letters four to six weeks before submitting an application to INDOT.

All applicants must successfully address any negative comments or service proposals it receives as a result of their notification effort. INDOT will review all service proposals and the applicant's response as part of the application review process.

Public Hearing Notice (Public Bodies only)

Public Bodies must afford an adequate opportunity for a public hearing. The hearing must be held if anyone with a significant economic, social or environmental interest in the application requests a hearing.

Leasing Vehicles

As part of the coordination process, applicants may request that INDOT allow their agency to lease the proposed vehicle(s) to another public or private transportation provider. INDOT will allow this as long as the applicant will maintain **control and responsibility** for the operation of the vehicle. INDOT must agree, in writing, to the lease between the Section 5310 applicant and the transportation provider.

D. AWARD SELECTION

Application Review

INDOT conducts a preliminary review to ensure each application has all the necessary information. INDOT then forwards the applications to the Indiana State Transportation Advisory Group (ISTAG) for review/comment and scoring.

The ISTAG is comprised of following members:

- Family & Social Services Administration – Division of Disability and Rehabilitation Services
- Family & Social Services Administration – Division of Aging
- Family & Social Services Administration – Office of Medicaid
- Governor's Council for Persons with Disabilities
- Indiana Department of Transportation/Transit Office – Section 5310 Program Manager (Chair)
- Indiana Department of Transportation/Transit Office – Transit Planner

Each application is reviewed and independently scored by each ISTAG member using the Section 5310 grant evaluation criteria. Applications are then ranked based on their cumulative score from ISTAG members. Funds are then awarded to the top-ranked applications until available funding runs out.

INDOT expects applicants to submit a complete application. Failure to address every requirement will exclude the application from consideration. Applicants not approved for funding may appeal the decision to the Manager of INDOT's Transit Office. For further information on the grant appeal process, see "Notification" later in this section.

INDOT will use the following criteria for the evaluation and selection of applications for Section 5310 assistance. Carefully plan the development of your application based on the following criteria. Describe efforts to meet these criteria in as much detail as possible. Statistics, pictures, charts or graphs will help INDOT determine your agency's degree of coordination, quality of service and financial capability.

Weight Factor	**Evaluation Criteria**
0 - 10 points	Coordination/Needs: Survey of existing transportation services. Documented service gaps and or/needs. A proven working relationship with local public and private transit and paratransit providers: Written cooperative agreements with other agencies, participation in local Transportation Advisory Committees, local priority of application, creative program strategies to effect coordinated transportation.
0 - 10 points	Project Justification: Maximum vehicle use and ridership through effective operation and service delivery. Capability to provide responsive transportation to elderly & disabled public within service area. Extent and urgency of need for requested capital equipment. Age/miles/condition of vehicle(s) to be replaced, fleet condition, accessibility needs & availability of alternative vehicle funding sources. Priority is given to replacement of unsafe vehicles.
0 – 10 points	Fiscal and managerial capability: Ability to comply with contract provisions including submission of reports, provide local capital match (20%), vehicle operation and maintenance funding, driver training, administrative oversight and organizational stability.

Total possible points: 30

Evaluations will be based upon the information included in the application. Insufficient documentation will merit a "0" poor/incomplete rating.

Because of limited program funds, INDOT has designed the application review process to identify projects of exceptional merit. INDOT receives about 50 to 60 applications each year and makes full or partial grant awards to an average of 30 to 35 applicants.

Notification

Applicants will receive written notification of INDOT's decision 3 to 4 months after the application deadline. INDOT incorporates approved applications into a statewide application (Program of Projects), which it then submits to the Federal Transit Administration. Receipt of FTA approval takes up to three months.

Any applicant not receiving approval of their application may appeal the selection decision to the Manager of INDOT's Transit Office. The Manager of INDOT's Transit Office will review all appeals. The process for filing an appeal is as follows:

1. The affected applicant must send, by certified mail, an appeal within 15 calendar days after receiving notification of INDOT's decision. The appeal should be mailed to:

   Indiana Department of Transportation
   Transit Office Manager
   100 North Senate
   Indianapolis, IN 46204

2. INDOT will conduct a preliminary review within five working days, and if necessary, request by certified mail additional information from the applicant;
3. INDOT will allow five working days for receipt of additional materials;
4. The Manager of INDOT's Transit Office will make a final decision within 15 working days from the receipt of the appeal request, or within 15 working days from the receipt of additional materials;
5. INDOT will notify the applicant in writing within five working days of its final decision;
6. The applicant may appeal INDOT's final decision in accordance with Indiana Code 4-21.5-3-1, et seq.

E. CONTRACT EXECUTION

Once INDOT receives FTA approval of the statewide application, INDOT will execute a grant contract with each applicant. The applicant will then become a grantee and is referred to as such for the remainder of this document.

The contract describes the responsibilities of each party, the equipment INDOT will purchase on behalf of the grantee, and the project budget. The President of the Grantee's Board of Directors/Governing Board must sign the contract, while the Board Secretary/Treasurer must attest the Board President's signature. INDOT, State Budget Agency, Indiana Department of Administration and the Attorney General's Office then

sign the contract. The contract execution process takes approximately three months. INDOT returns a copy of the fully signed contract to the grantee.

F. EQUIPMENT PROCUREMENT AND LOCAL SHARE REQUIREMENT

INDOT purchases all equipment on behalf of the grantee. Equipment is purchased through Indiana Department of Administration (IDOA) Quantity Purchase Awards (QPAs). IDOA is responsible for soliciting, reviewing and approving all bids for vehicles. The process of awarding bids to vendors is typically completed by the end of December. **Actual delivery of the vehicles will occur 6 to 12 months after bid award.**

Vehicle Options

After INDOT determines the actual price of the vehicle, INDOT will mail a "Vehicle Options Checklist" to the Grantee. The grantee will select the available options and mail the checklist back to INDOT.

Local Share

After INDOT receives the "Vehicle Option Checklist" from the grantee, INDOT will mail a Local Share Invoice to the Grantee. The Grantee then has 30 calendar days to submit the local cash share to INDOT. This request for local share typically occurs during the December and January following the grant award. After this 30-day period for submitting local share, INDOT will place orders for the vehicles.

Any interest earned on the grantee's share of funding - between receipt of funds and project closeout - remains the property of the State of Indiana.

Delivery/Inspection Responsibilities

Delivery of vehicles is made to a central location, depending on the type of vehicle ordered. After the vendor notifies INDOT, INDOT will call the grantee to give instructions/directions on how and where to pick up the vehicle. In accordance with federal regulations, INDOT will perform an inspection of the vehicle to ensure it is in working order and delivered as specified.

Vendor Payment/Closeout

INDOT is responsible for payment and closeout of the vendor purchase agreements. INDOT will reconcile the financial portion of the INDOT/Grantee contract after delivery of equipment, and refund any unused local share. The operating, reporting and disposition requirements of the contract remain valid throughout the useful life of the vehicle.

SECTION THREE: VEHICLE USE, MONITORING AND DISPOSITION

A. VEHICLE OPERATION

Title

Grantees are responsible for the licensing and title of Section 5310 vehicles. The State Bureau of Motor Vehicles will issue the title in the name of the Grantee. INDOT places a lien on all vehicles to reflect FTA's 80% interest in the vehicle. INDOT holds the original title until the vehicle has reached its useful life (as defined in Section C "Vehicle Disposition"), or until other disposition arrangements are enacted.

Many grantees qualify for municipal license plates. These are available free of charge to rehabilitation facilities, Community Action Agencies, Area Agencies on Aging and County Councils on Aging. Contact your local license branch or the Special Sales Division of the State Bureau of Motor Vehicles at 317/591-5301.

Insurance

INDOT requires all grantees to maintain adequate insurance coverage as required by federal, state and local law and to provide assurance of coverage to protect FTA's 80% interest in the vehicle. The grantee is to safeguard against loss, damage or theft of equipment.

Operation

The grantee must use the equipment to provide service within the service area and to the population groups described in the application. The grantee must use, maintain and dispose of the equipment in accordance with the grant contract and this State Management Plan.

Use of the vehicle is not limited to your agency clientele. The intent is to serve the needs of all elderly and persons with disabilities through coordinated efforts. INDOT encourages grantees to make vehicles available for shared use with other agencies and programs. The grantee can make the equipment available to service the transportation needs of the general public or to provide non-passenger services (Meals-on-Wheels). However, such services must not interfere with the provision of transportation services to the elderly and persons with disabilities.

Grantees that operate non lift-equipped Section 5310 vehicles must also provide an equivalent level of service to persons with disabilities as to those without disabilities. Equivalent services is measured using the following seven criteria: 1) response time, 2) fares, 3) geographic service area, 4) hours and days of service, 5) restrictions on trip purpose, 6) availability of information and reservation capability, and 7) constraints on capacity or service availability.

Leasing Vehicles

Grantees may operate their equipment through a lease agreement with another public or private transportation provider. However, the grantee must maintain **control and responsibility** for operation of the vehicle. All training, insurance, control, responsibility, maintenance, record keeping and reporting requirements must be certified and monitored through a lease contract with the transportation provider. Other uses of the vehicle are permitted as long as such uses do not interfere with service to the elderly and persons with disabilities.

INDOT must agree, in writing, to the lease between the Section 5310 grantee and the transportation provider.

Maintenance

INDOT requires grantees to perform preventative maintenance as recommended by the equipment manufacturer. Qualified personnel should perform all necessary maintenance.

As a condition for accepting Section 5310 vehicles, the grantee must maintain in operative condition those features of vehicles that are required to make the vehicles readily accessible to and usable by individuals with disabilities. These features include, but are not limited to, lifts and other means of access to vehicles, securement devices, signage and systems to facilitate communications with persons with impaired vision or hearing.

Accessibility features shall be repaired promptly if they are damaged or out of order. When an accessibility feature is out of order, the Grantee shall take reasonable steps to accommodate individuals with disabilities who would otherwise use the feature. This does not prohibit isolated or temporary interruptions in service or access due to maintenance or repairs.

Grantees interested in further information about maintenance should contact the Section 5310 Program Manager and request a copy of the Indiana Preventative Maintenance Manual.

Fees, Program Income and Donations

INDOT encourages grantees to generate program income to defray operating costs. However, grantees may not use Section 5310 equipment to compete unfairly with private for-profit transportation providers. Grantees may charge fees or request donations from their riders. A grantee may charge a cost per ride or per mile to another social service agency or funding source (such as Medicaid) for providing transportation service.

B. REPORTING REQUIREMENTS/PROGRAM MONITORING

Record Keeping and Reporting

The grantee must maintain proper records, including drivers daily records, passenger trip records, operating expense information, inventory control and maintenance records. INDOT and FTA reserve the right to inspect records for completeness and accuracy at any time.

INDOT permits grantees to set up capital reserve accounts to replace existing equipment as long as non-federal revenues fund such accounts. It is allowable for the grantee to amortize the 20% local share as an agency expense.

INDOT will distribute a **Semi-Annual Report** forms to each grantee upon delivery of their vehicle(s). For each vehicle, the grantee must collect ridership, operating and financial information, as well as attest to appropriate vehicle use and management procedures.

Computerized and manual data collection procedures are available from the Rural Transportation Assistance Program at 800/709-9981. Grantees must submit Section 5310 Semi-Annual Monitoring Reports by the 18th day of the month following the close of each reporting period.

Chronic failure to complete semi-annual reports accurately and promptly may result in termination of the contract, repossession of project equipment and/or a penalty assessed to subsequent grant applications. Grantees must submit Quarterly Monitoring Reports throughout the "useful life" of the vehicle as defined in Section C "Vehicle Disposition".

Program Monitoring by INDOT

As part of the grant contract, the Grantee shall permit INDOT, FTA or any of their authorized representatives, full access to any books, documents, papers and records relevant to the project. INDOT maintains the right to inspect all project equipment and property. The Grantee, INDOT, FTA or any party with a vested interest in the project, may call a meeting to review or discuss project activities.

As part of its monitoring efforts, INDOT will conduct an on-site review of the grantee's project once every four years. During this review, INDOT will inspect the equipment and related documentation to ensure the grantee is compliant in the following areas:

- Vehicle maintenance, including accessibility equipment;
- That the grantee is maintaining continuing control and responsibility over the equipment;
- Coordination (the grantee has made efforts to coordinate services with other transportation providers);

- Meal Delivery and other incidental services (that this does not conflict with provision of services to the elderly and persons with disabilities);
- ADA service provision (that the grantee is providing equivalent service to persons with disabilities);
- School bus service (the grantee, if providing exclusive school bus service, is in compliance with all FTA and state regulations);
- Title VI (Nondiscrimination in the provision of service) and Equal Employment Opportunity requirements;
- Debarment and Suspension (that the grantee, its principals, subrecipients or third parties/subcontractors have not been excluded from federally assisted transactions), and whether the agency has any unresolved audit finding(s) related to the Section 5310 program.

The procedure for the Program Review is as follows: 1) desk review of the grantee, and 2) site review of the grantee. The following is an explanation of each of the individual proceedings:

- Desk Review: INDOT officials will conduct a desk review of the grantee. The review will include the following materials: grant applications, contracts, quarterly reports, vehicle inventory and other materials deemed necessary.

- Site Review: This part of the review proceedings will be conducted at the agency. The review will take about one hour. The questionnaire used by INDOT will be mailed to the agency one week before the on-site review. INDOT will discuss comments and develop a remediation plan, if applicable. The Grantee will follow up in accordance with a remediation plan, if necessary. If long-term remedies are prescribed, the reviewer may schedule follow-up at appropriate intervals

The mission objective of the compliance review is twofold: 1) to evaluate an agency's compliance with state and federal rules, laws and regulations; and 2) improve the INDOT-grantee relationship through cooperation and technical assistance.

A copy of the Section 5310 Program Review Questionnaire is contained in Appendix C.

C. VEHICLE DISPOSITION

Vehicle Replacement

Grantees may apply through the Section 5310 program for vehicle replacement, as their existing vehicle nears the end of its useful life. However, INDOT does not guarantee any funding to replace the vehicle. All requests for vehicles, whether replacement of a Section 5310 vehicle or a locally purchased vehicle, are evaluated using all the criteria mentioned previously in this document.

INDOT recommends that grantees establish a long-range capital replacement plan and investigate a variety of amortization and capital assistance options.

Useful Life

The grantee is accountable to INDOT throughout the "useful life" of the Section 5310 funded vehicle. INDOT has developed a policy on vehicle classification and useful life to evaluate requests to terminate the contract (i.e., the 80% federal interest) for a particular vehicle.

When a vehicle attains the year or mileage requirements listed below, the grantee may contact INDOT and request permission to remove the vehicle from contractual obligation. **The primary criteria INDOT will use in making its decision is mileage.**

	Useful Life	
Vehicle Type	Miles	Years
Mini-van	100,000	4
Modified Mini-van	100,000	4
Standard Van	100,000	4
Modified Van (with or without lift)	100,000	4
Small, Medium or Large Transit Vehicle	100,000	4

As evidence of its approval, INDOT will sign off on the lien and send the title to the Grantee.

INDOT's release of the lien does not make the vehicle automatically eligible for replacement through the Section 5310 program. As noted previously, INDOT does not guarantee funding to replace any vehicle. All requests for vehicles, whether replacement of a Section 5310 vehicle or a locally purchased vehicle, are evaluated using the criteria mentioned previously in this document.

After receiving the title, grantees no longer need to submit a Section 5310 Semi Annual Report Form on the operation of the vehicle.

The grantee should continue to use the vehicle to transport the elderly and persons with disabilities until the grantee judges the vehicle unfit for further use. At that time, the

grantee then may dispose of the vehicle without any financial obligation to INDOT. If the grantee decides to sell the vehicle, it should (but is not required to) use the proceeds for transportation purposes.

Disposition Prior to Meeting Useful Life Criteria

Occasionally, a need arises to dispose of or transfer a vehicle before its useful life has ended. In those instances, the grantee must notify INDOT of the need to change the contractual agreement.

In order to make this revision, a grantee must determine the fair market value of the vehicle. A vehicle that does not meet the mileage and/or age criteria on the useful life chart must be disposed of in accordance with instructions from INDOT. Grantees must receive written approval from INDOT before any disposition action.

Determination of Fair Market Value

To carry out a disposition option before the vehicle meets the end of its useful life, the grantee must obtain an estimate of the vehicle's fair market value. This will be done by use of the straight-line depreciation method, or by averaging two (2) independent appraisals. The straight-line depreciation method is based on the useful life and the original cost of the vehicle. Useful life guidelines are mentioned previously in this Section. The grantee may obtain the original cost of the vehicle by contacting INDOT.

The grantee must provide these appraisals/depreciation estimates to INDOT along with its written request for releasing the contractual obligations for the vehicle. INDOT will provide guidance that will follow the options listed below.

Disposition Options

1. **Title Transfer** - In this instance, the grantee transfers the vehicle's title to another non-profit organization or public body that transports the elderly and persons with disabilities. INDOT can assist the grantee with finding another organization. The grantee must get two assessments of the vehicle's fair market value, or use the straight-line depreciation method. These two assessment/depreciation estimates are then reconciled in cooperation with INDOT and the agency receiving the vehicle.

   INDOT then allows the other organization to "buy out" the grantee's contract for 20% of the fair market value. This action will buy up the grantee's share of the vehicle. INDOT will amend grant contracts to reflect the transfer of the contractual responsibility. If no other provider can be found, the vehicle may be sold using a competitive bid as described below.

2. **Program Transfer** - In this instance, the grantee wishes to use the vehicle for a purpose other than originally intended prior to reaching the end of the vehicle's useful life. For example, the grantee may wish to convert the vehicle into a cargo van or for exclusive use in a Meals-on-Wheels program. INDOT will allow the grantee to "buy out" their contract. The grantee needs two assessments of the

vehicle's fair market value, or uses the straight-line depreciation method. These estimates are then reconciled and the grantee pays INDOT 80% of that amount. INDOT will then distribute these proceeds through the next Section 5310 application cycle.

3. **Competitive Bid** - In other instances where the grantee wants to dispose of their vehicle before the end of useful life, INDOT will allow the grantee to offer the vehicle for sale. The grantee will then sell the vehicle using proper sales procedures that provide for honest competition and result in an award to the highest bidder. The grantee then keeps 20% of the bid price and uses these funds for transportation services. The grantee returns the 80% federal balance to INDOT, where the funds are distributed through the next Section 5310 application cycle.

Insurance Settlements

Grantees may replace vehicles that are damaged beyond repair due to an accident, fire, or theft.

After receiving confirmation from their insurance carrier that the vehicle is a total loss, the grantee should contact - via telephone and written letter - the Section 5310 Program Manager. The grantee must inform INDOT of the estimated amount of the insurance settlement from the insurance carrier.

INDOT, with concurrence from the grantee, may apply the entire insurance settlement toward the replacement vehicle if it will provide the same service as specified in the project application and contract. INDOT will then amend the contract to reflect this change. INDOT will sign off on the lien and send the title to the grantee.

INDOT will then purchase the replacement vehicle. The grantee may purchase the replacement vehicle with written approval from INDOT. Any replacement vehicle will have INDOT listed as the first lienholder to reflect the federal 80% interest in the vehicle.

Should a grantee wish to use the insurance amount for purposes other than replacing their Section 5310 vehicle, 80% of the settlement amount is refunded to INDOT. INDOT will then distribute these proceeds through the next Section 5310 application cycle. The grantee's remaining 20% balance is then applied to the grantee's transportation program.

NOTE: GRANTEES MUST RECEIVE WRITTEN APPROVAL FROM INDOT BEFORE ANY DISPOSITION ACTION.

APPENDIX A - SECTION 5310 PROCESS CHART

(Note: These dates are for the 2007 Section 5310 Grant Cycle and may vary slightly from year to year)

Activity	Actor	Time Frame
Mail solicitation of Interest letter to potential applicants	INDOT	October 1, 2006
Request application package	Applicant	October 2006
Distribute application package/ application assistance workshop	INDOT	November 2006
Meet with local Transportation Advisory Committee	Applicant	Quarterly
Meet with local Metropolitan Planning Organizations for TIP approval	Applicant (urban areas only)	Dec '06 - Feb '07
Mail notification letters to local transportation providers	Applicant	Dec '06 - Feb '07
Application due to INDOT	Applicant	February 9, 2007
TIP certifications due	Applicant/MPO	March 2007
Indiana Transportation Advisory Group Review	INDOT/ISTAG	April 2007
Statewide application to FTA	INDOT	May 2007
Notify applicants of awards	INDOT	May 2007
Execute grantee contracts	INDOT/Grantee	Summer 2007
Develop vehicle specifications	INDOT	Summer 2007
Solicit and award bids for vehicles	INDOT/IDOA	July - Dec 2007
FTA approves statewide grant	FTA	September 2007
Execute purchase orders for vehicles	INDOT	January 2008
Mail Local share to INDOT	Grantee	January 2008
Vendors deliver vehicles	INDOT/Vendors	March - Dec 2008
Perform financial closeout	INDOT	March - Dec 2008
Submit Semi-Annual Reports	Grantee	July and January (throughout vehicle useful life)

EXHIBIT B - SEMI-ANNUAL REPORT & INSTRUCTIONS

	SEMI-ANNUAL REPORT FOR SECTION 5310 VEHICLES **PTS Form 5310e (R/02-05)**	This report is due on the 18th of the month following the end of the reporting half for each Section 5310 vehicle	E-Mail completed report to: BJONES@INDOT.IN.GOV Phone #317/232-1493

Name of Agency: Your Agency

Period covered by this report (indicate year/half)

01/01/____ to 6/30/____ **OR** 07/01/____ to 12/31/____

INDOT Grant Number	**Vehicle Serial Number:**
160xxxxC	Insert VIN#

SECTION 1 - OPERATING CHARACTERISTICS

A. Total mileage	A	0
B. Number of gallons of fuel consumed	B	0
C. Odometer reading at the end of this half	C	0
D. Number of days the vehicle was operated	D	0
E. Average number of hours per day vehicle was operated	E	0

SECTION 2 - RIDERSHIP (ONE WAY PASSENGER TRIPS)*

F. Elderly (non-disabled)	F	0
G. Elderly (disabled)	G	0
H. Disabled (under 60 years of age)	H	0
I. Other (neither elderly or disabled)	I	0
J. Total number of trips (add lines F through I)	J	0

** A passenger trip is defined as one origin-to-destination trip for each passenger. Thus, the return trip is a separate passenger-trip.*

K. Meal delivery trips (see back of form for explanation)	K	0

SECTION 3 - FINANCIAL DATA

L. Total costs this half for this vehicle (fuel & oil, service & repair, driver wages, insurance, tires, etc.)	L	$ -
M. Donations/Revenues	M	$ -
N. Net Cost (subtract line M from line L)	N	$ -

SECTION 4 - ASSURANCES

I certify that:

1. The above information is true and verifiable.
2. Our agency continues to operate and maintain the vehicle for the purpose originally stated in the grant application and contract.
3. Our transportation service, when viewed in its entirety, provides equivalent service to individuals with disabilities.
4. The vehicle has not been damaged or taken out of service.

Any exceptions to these statements must be explained in your e-mail to INDOT.

Name of Executive Director or authorized representative:	**Today's Date:**
Authorized Representative	6/30/2005

SEMI-ANNUAL MONITORING REPORT INSTRUCTIONS

Name of Agency — Your agency's full name - as stated on your grant contract

Period Covered — Indicate which time period

INDOT Grant Number — Enter the grant number associated with the particular vehicle

Serial Number — Manufacturer's serial number located on a metal plate in the lower left hand corner of the windshield

Operating Characteristics

A. *Total Mileage* is the difference between the odometer reading at the end of the last half and this half.

B. *Number of Gallons* ... is the number of gallons of fuel used in the vehicle during the past six months.

C. *Odometer reading* ... is the odometer reading taken at the end of the reporting half.

D. *Number of days* ... is the total number of days during the half that the vehicle was used for transportation purposes.

E. *Average number of hours* ... is the average number of hours per day that the vehicle was providing transportation services

Ridership

Ridership figures should reflect the number of one-way passenger trips carried. A passenger trip is one origin-to-destination for each passenger. Thus, the return trip would be a separate passenger trip.

F. *Elderly (non-disabled):* One-way trips involving persons who are 60 or over, and without a disability.

G. *Elderly (disabled):* One-way trips involving persons who are 60 or over, and disabled. Disabled means those disabilities covered under the Americans with Disabilities Act.

H. *Disabled:* One-way trips persons under age 60. Disabled means those disabilities covered under the Americans with Disabilities Act.

I. *Other:* One-way trips persons neither elderly and/or disabled

J. *Total Number of trips:* Add lines F through J

K. *Meal delivery trips:* Any trip that provides meal delivery. A meal delivery trip is one origin-to-origin trip for the vehicle. For example, the vehicle leaves your agency to deliver meals and returns to your agency - this counts as one trip. If the vehicle goes out again to deliver more meals and returns, that counts as one trip. Meal delivery trips **do not** count as a passenger trip.

Financial Data

L. *Total costs for this vehicle:* Include fuel, oil, service and repair, driver wages, insurance, tires, etc., during the past six months

M. *Donations/Revenue:* Income from donations, fares, fees, reimbursements, etc., as a result of the passenger service provided by the vehicle.

N. *Net Costs*: Total cost minus donations/revenue (N = L - M)

Assurances: INDOT requires certification that the grantee is using the vehicle responsibly. The grantee must full describe any exception to items 1 through 4 and submit it with the quarterly report form.

Person submitting report: Agency representative submitting report to INDOT.

Date: Please provide the date this report was completed.

APPENDIX C
SECTION 5310 PROGRAM REVIEW QUESTIONNAIRE

On-site Review Date: _____ Reviewer: _____

Grantee: _____

Active Section 5310 Grants: _____

1. COORDINATION

Yes No Documented participation in four (4) Transportation Advisory Committee meetings in the past year.

Other evidence of coordinated effort: _____

_____

Purpose:	**To determine whether the grantee is continuing - after receiving the grant award - to participate in efforts to coordinate transportation services.**
Explanation:	*The Federal Section 5310 Circular states that "The program seeks to enhance coordination of federally assisted programs and services in order to encourage the most efficient use of Federal resources and achieve the national goal of improved mobility for elderly persons and persons with disabilities.* *The Section 5310 Program Guide states grantees must conduct or attend Transportation Advisory Committee meetings on a quarterly basis.* *The Section 5310 Grant Contract states in Part II, Section 9, Part N "The grantee has and will, to the maximum extent feasible, coordinate with other transportation providers and users, including social service agencies authorized to purchase transit service."*

2. VEHICLE USE

Yes No Semi Annual Reports are on file at INDOT, and are complete & current.

Yes No Significant service gaps identified in semi annual reports are justified.

Purpose:	**To determine that the grantee is using the vehicle to primarily transport the elderly and disabled, that the grantee is filing semi annual reports in a timely manner, and that the grantee has sufficiently explained any significant service gaps in use of the vehicle.**
Explanation:	*In the Section Section 5310 grant contract, under Part II, Section 8, Use of Equipment and Property, Paragraph F, states that "The Grantee shall submit to the INDOT at the end of each six months a certification that the Project equipment and facilities continue to be used in accordance with the terms of this Agreement."*

3. PROPERTY RECORDS

Yes No Grantee vehicle records are consistent with INDOT vehicle inventory records

Yes No Titles are on file with INDOT.

Yes No Grant contract(s) are on file with Grantee.

Purpose:	**To determine that the grantee's vehicle records are the same as INDOT's, that the titles are on file with INDOT, and that the grantee has an executed copy of the grant contract.**
Explanation:	*In the Section 5310 Grant Contract, under Section 3, Accounting Records, Part A - Submission of Reports, Proceedings, Contracts and Other Documents, "The Grantee shall establish and maintain accounts for this Project within its existing accounting system or set them up independently.* *The Federal Section 5310 Circular gives states the option to hold title to vehicles.*

4. VEHICLE/ACCESSIBILITY EQUIPMENT MAINTENANCE AND REPAIR

Yes No Agency maintenance records reflect compliance with manufacturer's recommended preventative maintenance schedules.

Yes No Agency pre-trip inspection records are available for inspection (pre-trip form)

Yes No Does the agency perform pre-trip inspection of lift equipment?

Yes No Does the agency have a regular maintenance schedule for lift equipment?

Purpose:	**To examine the grantee's vehicle maintenance records and ensure that vehicles are being properly maintained.**
Explanation:	*As referenced in the INDOT Section 5310 grant contract, Part II, Section 8, Use of Equipment and Property, Paragraph E states that "During the useful life of the equipment and facilities the Grantee shall maintain such Project equipment and facilities at a high level of cleanliness, safety, and mechanical soundness and in accordance with guidelines or regulations which the Grantor Agency may issue. The Grantor Agency shall have the right to conduct periodic inspections for the purpose of confirming proper maintenance pursuant to this Section."* *Part II, Section 8, Use of Equipment and Property, Paragraph F states that "The Grantee shall maintain sufficient records documenting the use of equipment, facilities and property and submit to the Grantor Agency upon request such information as is required in order to assure compliance with this Section..."*

5. INSURANCE

Yes No Grantee has valid Certificate of Insurance on file.

Yes No Insurance meets Indiana minimums and protects FTA interest (80%).

Purpose:	**To determine whether the vehicles used by the grantee are insured, that amounts listed will meet Indiana minimums, and that the insurance will reimburse INDOT/grantee for the market value of the vehicle in case of an accident.**
Explanation:	*Section 5 of the Section 5310 Grant Contract states that the Grantee shall comply with all applicable insurance, surety bonds, and qualifications of self-insurer, and provisions of Federal, State and local law. The Grantee also certifies protection of the Federal interest (80%) in the Project equipment, and that it shall safeguard against loss, damage or theft of equipment.*

6. CONTROL OF EQUIPMENT

Yes No Grantee maintains control of and responsibility for vehicle(s).

Yes No Copy of applicable sub-lease and/or vehicle sharing agreements are on file with agency and INDOT.

Purpose:	**To determine whether grantee retains control and responsibility for the vehicle(s) and that INDOT /grantee has a copy of any vehicle lease/sharing agreement.**
Explanation:	*The Federal Section 5310 Circular allows vehicles to be leased to other entities. However, the lease between the grantee and entity must contain the terms and conditions that must be met in providing transportation to the elderly and disabled. Other uses of the vehicle by the entity are allowed, only to the extent that they do not interfere with provision of services to the elderly and disabled.* *Control and responsibility for the operation of the vehicles must remain with the grantee, unless transfer to another eligible agency (of the control and responsibility) has been authorized by INDOT.* *Any leases or vehicle-sharing agreements must be approved by INDOT prior to grant award. The grantee and INDOT must maintain a copy in their grant files. The agreement must contain, by reference, all federal/state regulations, laws and statutes contained in the contract between INDOT and the grantee.*

7. INCIDENTAL USE

Yes No Vehicle(s) is used for non-passenger transportation trips (meals, equipment, supplies, etc.). Percentage of time: _____

Yes No Vehicle(s) is used for school bus service. Percentage of time: _____

Purpose:	**To determine whether grantee uses the vehicle for any non-passenger transportation (FTA Circular page VI-1) or exclusive school bus service (Section 5323(f) of Federal Transit Act).**
Explanation:	*The Federal Section 5310 Circular allows grantees to provide non-passenger transportation, but only if the service does not conflict with the provision of transit services, or result in the reduction of services.* *Section 5323(f) of the Federal Transit Act allows grantees to provide school bus service. However, this service cannot be exclusive (school children only) and cannot compete with private school bus providers.*

8. ADA COMPLIANCE

Yes No Does grantee provide equivalent transportation service to persons with disabilities (response time, fares, geographic service are, hours and days of service, restrictions on trip purpose, availability of information and reservation capability, constraints on capacity or service availability)

Yes No Any ADA-related complaints or lawsuits filed against the grantee?

Yes No Does grantee have written policies regarding transporting of service animals, personal care attendants and portable oxygen?

Purpose:	**To determine if the grantee is complying with provisions of the American with Disabilities Act.**
Explanation:	*The Americans with Disabilities Act prohibits discrimination against persons with disabilities. The grantee cannot prohibit an individual with a disability from traveling with a service animal, personal care attendant, or portable oxygen. The grantee cannot charge for transporting a personal care attendant.*

9. CIVIL RIGHTS

Yes No Does Grantee have any complaints or pending lawsuits which allege discrimination on the basis of race, color, or national origin with respect to service or other transportation benefit.

Yes No Has Grantee participated in a civil rights compliance review within the past three years?

Purpose:	**To determine if the grantee is complying with provisions of Title VI of the Civil Rights Act of 1964.**
Explanation:	*Title VI of the Civil Rights Act of 1964 prohibits discrimination on the basis of race, color or national origin.*

10. AGENCY FISCAL AND ADMINISTRATIVE RESPONSIBILITY

Yes No Does the Grantee continue to be eligible to receive federal assistance (no debarment, suspension, bankruptcy, lawsuits, etc.)

Yes No Any unresolved findings in most recent agency audit related to the Section 5310 program? *(Grantee should provide reviewer with most recent copy of agency audit)*

Purpose:	**To determine if the grantee continues to be eligible to receive federal assistance.**
Explanation:	*As required by USDOT Regulations on Governmentwide Debarment and Suspension (Nonprocurement) at 49 CFR 29.510.*

GENERAL COMMENTS:

_____

_____

_____

RECOMMENDATIONS/REMEDIAL ACTIONS **DATE COMPLETED**

_____

_____

_____

Based on the above desk audit, site visit and follow-up activity (if required), I hereby certify that the above grantee is in compliance with applicable requirements of the federal Section 5310 Capital Assistance Program.

Reviewer: _____ Date: _____

ADA TRANSPORTATION SERVICE PROVISIONS:

(To be handed out to grantees at the program review)

All Section 5310 grantees are expected to meet the following transportation-related provisions of the Americans with Disabilities Act:

- All common wheelchairs and their users shall be transported.
- Wheelchairs shall be placed in designated securement locations.
- Service cannot be denied because the wheelchair cannot be satisfactorily secured or restrained by the vehicle's securement system.
- The grantee may recommend to a user of a wheelchair that the individual transfer to a vehicle seat. However, the grantee may not require the individual to transfer.
- Where necessary or upon request, the grantee's personnel shall assist individuals with disabilities with the use of the securement systems, ramps and lifts. If it is necessary for the personnel to leave their seats to provide this assistance, they shall do so.
- The grantee shall permit individuals with disabilities who do not use wheelchairs, including standees, to use a vehicle's lift or ramp to enter the vehicle.
- The grantee shall permit service animals to accompany individuals with disabilities in vehicles and facilities.
- The grantee shall ensure that vehicle operators and other personnel make use of accessibility-related equipment or features.
- The grantee shall make available to individuals with disabilities adequate information concerning transportation services. This obligation includes making adequate communications capacity available through accessible formats and technology, to enable users to obtain information and schedule service.
- The grantee shall not refuse to permit a passenger who uses a lift to disembark from a vehicle at any designated stop, unless the lift cannot be deployed, the lift will be damaged if it is deployed, or temporary conditions at the stop, not under the control of the grantee, preclude the safe use of the stop by all passengers.
- The grantee shall not prohibit an individual with disabilities from traveling with a respirator or portable oxygen supply, consistent with applicable Department of Transportation rules on the transportation of hazardous materials (49 CFR subtitle B, chapter 1, subchapter C).
- The grantee shall ensure that adequate time is provided to allow individuals with disabilities to complete boarding or disembarking form the vehicle.
- The Grantee shall maintain in operative condition those features of facilities and vehicles that are required to make the vehicles and facilities readily accessible to and usable by individuals with disabilities. These features include, but are not limited to, lifts and other means of access to vehicles, securement devices, elevators, signage and systems to facilitate communications with persons with impaired vision or hearing.
- Accessibility features shall be repaired promptly if they are damaged or out of order. When an accessibility feature is out of order, the Grantee shall take reasonable steps to accommodate individuals with disabilities who would otherwise use the feature. This does not prohibit isolated or temporary interruptions in service or access due to maintenance or repairs.

APPENDIX D

Technical Review Checklist
Section 5310 Program IN-16-00xx (calendar year xx)

Applicant: _____ **Project Number: _____**

Vehicles Requested by this agency:

«Request1»	**«Funds1»**
«Request2»	**«Funds2»**
«Request3»	**«Funds3»**
«Request4»	**«Funds4»**
«Request5»	**«Funds5»**
«Request6»	**«Funds6»**
TOTAL FUNDS REQUESTED:	***«Totshare»***

Information	Complete	Incomplete	Comments
Applicant Info. Form (Exhibit B)	()	()	Trips/yr _____ Tot Veh Mi/yr _____ Total Op. Exp/year: $ _____
Coordination			
TAC Membership List (name/title/org)	()	()	_____
TAC Minutes (4 mtgs)	()	()	_____
TAC Prioritization	()	()	() not applicable _____
Other Coordination (note other efforts)			_____
TIP approval (urban)	()	()	() not applicable_____
Provider Notification (letter & mailing list)	()	()	_____
Notification Response (provider response to negative comments/service proposals?)	()	()	# of Negative comments/service proposals____ () Yes () No
Justification			
Coordination/Needs	()	()	_____
Project Description	()	()	_____
			_____
Vehicle Inventory (Exhibit C)	()	()	_____ # of Vehicles _____ Avg Age _____

«Applicant» **«App_#»**

Vehicles they want to replace:

Type _____ Age _____ Mileage _____ Cond. _____ ID# _____

Type _____ Age _____ Mileage _____ Cond. _____ ID# _____

Type _____ Age _____ Mileage _____ Cond. _____ ID# _____

Expansion Justification: _____

Vehicles on order/received from last year's grant: _____

Financial

Fiscal/Managerial Capability () () _____

Operating Statistics (trips, miles, expenses) included? ( ) Yes ( ) No

Capital Budget (Exhibit D) () () Sources: _____

Operating Budget (Exhibit E) () () Sources: _____

_____

Certifications

Certif. of Incorporation () () From Indiana Secretary of State
(a letter from the IRS noting their 501(c)(3) status does not count)

Authorizing Resolution (Exhibit F) () () _____

Assurances (Exhibit G) () () _____

ADA Certification (Exhibit H) () () () not applicable _____

Lobbying Certification (Exhibit I) () () () not applicable _____

Reviewer _____

Date _____

APPENDIX E

Indiana State Transportation Advisory Group Section 5310 Grant Scoring Sheet

Score	Evaluation Criteria *(each criteria worth 0 – 10 points)*
_____	Coordination/Needs: Survey of existing transportation services. Documented service gaps and or/needs. A proven working relationship with local public and private transit and paratransit providers: Written cooperative agreements with other agencies, participation in local Transportation Advisory Committees, local priority of application, creative program strategies to effect coordinated transportation.
_____	Project Justification: Maximum vehicle use and ridership through effective operation and service delivery. Capability to provide responsive transportation to elderly & disabled public within service area. Extent and urgency of need for requested capital equipment. Age/miles/condition of vehicle(s) to be replaced, fleet condition, accessibility needs & availability of alternative vehicle funding sources. Priority is given to replacement of unsafe vehicles.
_____	Fiscal and managerial capability: Ability to comply with contract provisions, provide local capital match (20%), vehicle operation and maintenance funding, driver training, administrative oversight and organizational stability.
_____	TOTAL SCORE

Total possible points: 30

Example: To obtain all possible points for the "Coordination/Needs" Evaluation Criteria, an applicant must clearly demonstrate 1) a survey of existing transportation services, 2) document any service gaps or needs, and 3) proven working relationship with local transit/paratransit providers. The application would receive a total of 10 points.

INDOT/PTS 4/06