

# Grant Administration Procedures

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## For Public Transportation and Commuter Assistance Programs

**Purple Book**

Grant Administration Guidance for Fiscal Year 2026  
July 1, 2025 – June 30, 2026

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# Chapter 1: Introduction and Overview

**This document outlines procedures for recipients of state and federal grants under programs administered by the Virginia Department of Rail and Public Transportation (DRPT). These procedures govern the administration of all transit, commuter assistance, and planning programs/projects funded by DRPT from the date projects included in DRPT’s Six Year Improvement Program (SYIP) are approved by the Commonwealth Transportation Board (CTB) until the projects close.**

The procedures described in this document apply to various staff at agencies and organizations receiving funding from DRPT. Agency staff involved with grant agreements, invoicing, funding administration and tracking, capital asset inventory, financial compliance, and project/program implementation and management should read this document and follow the procedures within. The procedures in this document cover the following grant programs:

DRPT Grant Programs:	Other Federal Funds Administered or Allocated by DRPT:	Federal Aid Programs Allocated by MPOs or VDOT and Administered by DRPT:
<ul style="list-style-type: none"> <li>• Transit Operating Assistance (MERIT)</li> <li>• Transit Capital Assistance (MERIT)</li> <li>• Demonstration Project Assistance (MERIT)</li> <li>• Technical Assistance</li> <li>• Workforce Development Program (MERIT)</li> <li>• Commuter Assistance Program Operating Assistance (CAP)</li> <li>• Commuter Assistance Program Project Assistance (CAP)</li> <li>• Metropolitan Transportation Planning (FTA Section 5303)</li> </ul>	<ul style="list-style-type: none"> <li>• Urbanized Area Formula Grants (FTA Section 5307 Governor’s Apportionment)</li> <li>• Formula Grants for Rural Areas (FTA Section 5311)</li> <li>• Bus and Bus Facilities Program (FTA Section 5339)</li> </ul>	<ul style="list-style-type: none"> <li>• Congestion Mitigation and Air Quality Improvement Program (CMAQ)</li> <li>• Regional Surface Transportation Program (RSTP)</li> </ul>

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|--|--|--|
| <ul style="list-style-type: none"><li>• Transit Ridership Incentive Program (TRIP)</li></ul> |  |  |
|--|--|--|

This document is just one of the several available resources created for grant applicants and recipients to assist with DRPT’s grant application and post-award grant administration processes. Other helpful resources include **DRPT’s Grant Program Application Guidance document (Blue Book)** and DRPT’s grant workshops held each year. In addition, DRPT’s staff are available throughout the year to provide technical assistance and answer questions regarding specific grant programs and procedures.

### Changes for FY2026

Though not exhaustive, the following list outlines several changes to DRPT grant administration policies or processes for the upcoming fiscal year:

- Chapter 4: Grants with Federal Funding from FTA
  - Additional guidance on cost allocation plans for transit providers operating urban and rural service.
- Chapter 10: Project Oversight
  - Additional guidance for Section 5311 funded construction projects.
- Chapter 12: Asset Management
  - New guidance for the disposal of non-FTA 5311 funded vehicles.
- Chapter 13: Public Transportation Agency Safety Plan
  - Clarification of PTASP requirements.
- Chapter 15: Financial Compliance Review
  - Changes to the Financial Compliance Review process to utilize the WebGrants platform.

# Chapter 2: Development and Approval of Six Year Improvement Program

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



To learn more about the SYIP process and to access the final FY2026 SYIP, visit DRPT's [Open Data Portal](#).

## Key Steps in the SYIP Process

1. **Application Submission:** After reviewing DRPT's Grant Program Application Guidance (Blue Book), eligible funding recipients must submit applications using DRPT's online grant administration ([WebGrants](#)) system by *11:59pm on February 1 or the first business day following February 1*. DRPT staff will communicate any changes in this schedule to grantees and will ensure the visibility of any changes in WebGrants.  
**Note:** The 5303 applications for Metropolitan Planning Organization (MPO) funding are the only exception to the February 1<sup>st</sup> submission deadline. MPO funding applications are due May 1<sup>st</sup> of each year to allow the Unified Planning Work Programs (UPWP) to be approved by the MPOs
2. **DRPT Evaluates Applications:** In accordance with the Grant Program Application Guidance document (Blue Book) and CTB policy, DRPT reviews applications submitted by the deadline (*11:59pm February 1 or the first business day following February 1*).

3. **DRPT Prepares and Presents the Draft SYIP to CTB:** The Draft SYIP is typically presented to the CTB in late spring. This meeting tends to take place on the third Tuesday of April. DRPT will notify grant recipients when the draft is released to the public. After the draft SYIP is posted, DRPT will request funding recipients to affirm that local matching funds are available to meet the Draft SYIP proposed recommendations.
  
4. **A. FTA Certifications and Assurances:** As part of the Federal Transit Administration's (FTA) Master Agreement, applicants requesting federal assistance must comply with various federal requirements. These grant terms, conditions, and responsibilities are detailed in a single document produced each year by the FTA called the "Annual List of Certifications and Assurances". Applicants must self-certify that they are following these requirements and submit this as part of the grant application process by "pinning" FTA's certifications and assurances document in WebGrants. Contracts for federal funding will not be executed unless the FTA certifications and assurances are pinned in WebGrants. Shortly after the draft Six Year Improvement Program is made public, DRPT will send the Annual List of Certifications and Assurances to all subrecipients of federal funding. Subrecipients must sign the document and attach it to their Organizational Profile in WebGrants prior to July 1<sup>st</sup>. Subrecipients that do not pin their Annual List of Certifications and Assurances to WebGrants by July 1<sup>st</sup> are subject to being locked out, or encumbered, from submitting future claims and applications in WebGrants.  
  
**B. 5333(b)/Section 13(c) of the Federal Transit Act:** As a condition of financial assistance under section 5311, employees are protected under arrangements the Secretary of Labor concludes are fair and equitable. All 5311 subrecipients must sign the 5333(b) form to certify they comply with the regulation. Shortly after the draft Six Year Improvement Program is made public, DRPT will send the 5333(b) Special Warranty package to all Section 5311 subrecipients. Subrecipients must sign the document and attach it to their Organizational Profile in WebGrants prior to July 1<sup>st</sup>. Subrecipients that do not pin their 5333(b) Special Warranty package to WebGrants by July 1<sup>st</sup> are subject to being locked out, or encumbered, from submitting future claims and applications in WebGrants.
  
5. **Public Hearings:** The CTB holds public hearings in the spring on the Draft SYIP. DRPT will notify grant recipients as soon as they are scheduled.
  
6. **Amendments to the Draft SYIP:** The CTB takes into consideration public comments and may direct DRPT to make amendments to the Draft SYIP.

These amendments may also include edits to any line items that are not properly presented.

7. **Approval by the CTB:** The Final SYIP is adopted by the CTB in June. DRPT will notify recipients about the CTB action. The Final SYIP is posted on DRPT's **Open Data Portal**. On July 1, the grant recipient may begin incurring expenses on the project at their own risk (see exception to this rule under **section 3.1**, key step 5). Funding can be reduced due to General Assembly, CTB, or federal actions. DRPT's participation in projects may alter depending on these actions. The spending on all projects must correspond with the executed contract start and end date. Any expenses incurred outside of the contract period will not be eligible for reimbursement.

**Note:** For all Financial Programming inquiries and requests, please contact your DRPT Program/Planning Manager as your first point of assistance.

# Chapter 3: Grants with Funding Through Federal Highway Administration

Many approved transit and commuter assistance projects are at least partially funded with federal assistance. These federal funds generally come from the Federal Highway Administration (FHWA) or the Federal Transit Administration (FTA).

The FHWA is the source for Regional Surface Transportation Program (RSTP) and Congestion Mitigation and Air Quality (CMAQ) funds. It is DRPT's expectation that most FHWA project funding will be flexed or transferred to the FTA and recipients will draw down funds directly. Flex requests must be initiated by the recipient through DRPT. An exception can be obtained to allow these funds to remain with FHWA and be administered through DRPT.

## Section 3.1 – FHWA Funding, CMAQ, and RSTP

CMAQ and RSTP projects must comply with all applicable federal requirements, including those affecting determinations of eligible project costs. All federal projects must conform to appropriate cost principles for federal aid. Most CMAQ and RSTP projects are subject to **2 CFR Chapter II Part 200** — also known as “Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards.” These principles focus on determining the allowable costs for the subject government entities and provide a discussion of the relationship between appropriate costs and the purpose of the program. In addition to the cost principals, agencies executing FHWA-funded projects such as CMAQ and RSTP must closely adhere to FHWA policy and guidance regulations. For all requests for reimbursement submitted to DRPT, a DRPT Program Manager will make the determination of whether an expense is eligible for reimbursement.

The allocation of CMAQ and RSTP funding is determined by regional Metropolitan Planning Organizations (MPOs) through the Transportation Improvement Program (TIP) planning process; **not by DRPT**. VDOT and DRPT include these funds in the SYIP and State Transportation Improvement Program (STIP). Projects are identified by a Uniform Project Code (UPC) assigned by VDOT. UPC projects that were created prior to FY14 are included in the VDOT SYIP and STIP. UPC projects that were created

in FY14 and after, and assigned to DRPT by VDOT, are included in the DRPT SYIP and STIP.

### Key Steps

1. **MPO Programming:** Regional MPOs approve the allocation of RSTP and CMAQ funds to transit and commuter assistance projects within the region through adoption of the region's TIP. In the case of Northern Virginia, the Northern Virginia Transportation Authority makes a preliminary recommendation to the National Capital Region Transportation Planning Board — the region's MPO.
2. **RSTP or CMAQ Recipients' Notification to DRPT:** Recipients of RSTP or CMAQ funds should ensure these projects are included in their TIP, as well as in the STIP and SYIP, to minimize delays in executing a contract. VDOT and the FTA will not approve the flex of funds unless the project and funding are in the STIP. Federal funding recipients should send an email to the DRPT Manager of Financial Programming and the DRPT Program Manager regarding their federal funding award.

### Email Requirements:

- Project Name
  - UPC (listed in SYIP or STIP)
  - Fiscal Year of the SYIP in which allocation was approved
  - Direct recipient's request to 'flex' funds to the FTA or the recipient's request to have DRPT administer the federal funds
3. **Grantee Request to Flex FHWA Funds:** If the recipient requests that the funds be flexed, the recipient must have completed an application within **TrAMS** (FTA's online grant system) and provide the initial TrAMS application number which will use the funds. After the FTA awards the federal grant, the recipient must notify DRPT's Financial Programming Manager of the approved FTA grant number so that an agreement for the state match can be written and executed.

The process of flexing funds or executing agreements for FHWA funds can take up to six months when TIP/STIP amendments are required. DRPT must work through VDOT, FTA, and FHWA to flex funds or to obtain federal authorization for projects. The complicated nature of this process is why it is vital for recipients to ensure their projects are in the STIP and SYIP appropriately once they have received an allocation of FHWA funding from the MPO on one of their projects.

4. **DRPT Notification to VDOT to Flex FHWA Funds:** After receiving approval from the FTA to flex funds, DRPT notifies the VDOT Federal Programs Division. VDOT then flexes the funds to the FTA after receiving approval from the FHWA.
5. **DRPT Notification to VDOT to Authorize FHWA Funds:** It is DRPT's expectation that most projects will be flexed or transferred to the FTA and drawn down directly by recipients. On an exception basis, these funds can be administered through DRPT. When the funding recipient requests that CMAQ or RSTP funds be administered by DRPT, and DRPT approves, DRPT will work with VDOT to obtain a federal authorization number and to have the federal funds obligated. If the federal funding is appropriately included in the TIP, STIP, and SYIP, this process should take approximately one month, however, it may take longer. Funding recipients should allow for a minimum of three months for the federal authorization process and should send their request to receive funds to DRPT with that timeline in mind.
6. **Preparation of Project Agreements:** When VDOT gives DRPT a federal authorization number to confirm the obligation of funds, DRPT proceeds with writing a federal project agreement. Unlike the process described in [chapter 2.0](#), key step 8, for state funding recipients, FHWA authorized funding recipients cannot spend federal funding or state matching funds prior to the federal authorization date or beyond the end date requested. See [chapter 5.0](#) for details on agreement preparation and signing the agreement.
7. **Spending Deadlines:** The Appropriations Act requires that all RSTP funds be obligated in a federal award within 12 months of being allocated by the CTB, and expended within 36 months of being obligated. CMAQ funds must be obligated with a federal award within 24 months of being allocation by the CTB and expended within 48 months of being obligated.

# Chapter 4: Grants with Federal Funding from Federal Transit Administration

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FTA funding is identified in the **Federal Register**. These funds may be for a specifically identified recipient, such as an FTA Section 5307: Urbanized Area Formula Grants apportionment or FTA Section 5339: Bus and Bus Facilities Program apportionment funds. They may also be awarded to DRPT in the Federal Register and allocated to recipients through the annual SYIP process.

Certain federally funded projects must complete appropriate National Environmental Protection Act (NEPA) and environmental screening processes. The level of review needed is related to the type of action and scope. Projects may require consultation with FTA and DRPT. Please contact your program manager with any questions.

## FTA Programs noted in Section 4.0:

- FTA Section 5303: Metropolitan Transportation Planning
- FTA Section 5307: Urbanized Area Formula Grants
- FTA Section 5339: Bus and Bus Facilities Program
- FTA Section 5311: Formula Grants for Rural Areas

Note: DRPT also administers funding for FTA Section 5310: Enhanced Mobility of Seniors and Individuals with Disabilities. Guidance on how to apply for and administer funding from this program can be found on the **FTA 5310 page** on the DRPT website.

## Section 4.1 – FTA Funding – Organization is Direct Recipient (Urban Transit Providers)

FTA Section 5339 funds are apportioned to both DRPT and large urban recipients; DRPT applies for amounts apportioned to them, or DRPT may allocate 5339 funds to a small urban recipient. FTA 5307 program funds are always applied for directly by the recipient through FTA's online system, **TrAMS**. This process is described below.

### Key Steps

1. **Notification to DRPT:** Recipients are responsible for applying for state matching funds to the FTA 5307 or FTA 5339 funds during the grant application period discussed in **chapter 2.0**. Recipients must ensure that the TIP accurately reflects the project and funding. DRPT will amend/adjust the STIP as necessary, based on TIP actions received from MPOs.
2. **Governor's Apportionment:** DRPT allocates 5307 Governor's Apportionment funds to small urban recipients based on the allocation in the Federal Register. In instances where there are multiple transit providers within one urban area, DRPT requires a "split letter" from transit providers. A split letter is an agreement between transit providers in a specific small urban area on how to split the 5307 and 5339 funds allocated to their area. This letter helps further guide DRPT's allocation of 5307 funds. After the CTB approves the SYIP in June, small urban recipients should review the 5307 Governor's Apportionment allocation, and ensure their MPOs are notified, so that the TIPs can be amended or adjusted, if necessary.
3. **DRPT 5339 Split Letter:** The FTA Section 5339 funds apportioned to DRPT are suballocated to specific projects in the SYIP. Typically, these funds are reserved for small urban transit agencies who do not receive FTA Section 5339 funding directly from FTA. Upon adoption of the SYIP, DRPT will issue a 5339 Split Letter to FTA, which includes all the projects funded with 5339 funds for the fiscal year. Recipients of these funds are included in this communication with FTA and can attach the DRPT 5339 Split Letter when applying for the funding in TrAMS.
4. **Preparation of Project Agreements:** Beginning on July 1, DRPT's Financial Programming Division will prepare state project agreements for projects included in the SYIP. See **section 5.0** for further details.

## Section 4.2 – FTA Funding – Organization is a Subrecipient (Rural Transit Providers and MPOs)

DRPT is the direct recipient for some FTA program funds, which are then distributed to subrecipients throughout Virginia. These FTA programs include sections 5303 and 5311. The FTA funding awarded to DRPT is distributed to DRPT recipients through DRPT's application process using **WebGrants**. All applications are due by **11:59pm February 1**. 5303 applications for MPO funding are the sole exceptions to the February 1<sup>st</sup> deadline; these applications are due May 1<sup>st</sup> of each year to allow the Unified Planning Work Programs (UPWP) to be approved by the MPOs. DRPT staff will communicate any changes in this schedule to grantees and will ensure the visibility of any changes in WebGrants.

### Key Steps

1. **DRPT Applies in TrAMS:** DRPT applies in TrAMS for the 5303 and 5311 funding shortly after the SYIP is adopted in June. After the TrAMS application is approved, DRPT's Financial Programming Division will prepare a federal project agreement and state project agreement for funds. See **chapter 5.0** for further details.
2. **Provide Data to DRPT:** Any recipient receiving FTA funding through DRPT is required to provide semiannual data to DRPT for the required submission on Disadvantaged Business Enterprises (DBEs). The periods are October 1 through March 31 and April 1 through September 30 of each year, with the reports due to DRPT on April 30 and October 31, respectively. These reports provide the total contracting opportunities each recipient had throughout the six-month period as well as how many of those opportunities went to DBEs. DRPT's Civil Rights Officer will contact grantees with further details.
3. **Certification:** DRPT subrecipients awarded grants exceeding \$25,000 must obtain a certification from contractors awarded contracts more than the federal small purchase threshold stating that they are not suspended or debarred from receiving federally assisted contracts. Subrecipients must provide immediate written notice to DRPT for reporting to FTA if they learn that their certification or the certification of any contractors is no longer valid. 5311 subrecipients must complete the **Special Warranty Arrangement Certification form** (formerly Section 13c) prior to execution of their grant agreement with DRPT. The form will be provided to subrecipients shortly after the draft SYIP is published.

**Note:** The General Services Administration publishes the List of Parties Excluded from Federal Procurement and Non-Procurement Programs. Recipients can search the list on the SAM website [here](#).

4. **Pre-Award Authority:** FTA allows Pre-Award Authority that gives authority under specific and limited circumstances to incur costs for eligible project activities (before the Federal Award Date), without prejudice to possible federal participation in the cost of these project activities. Failure to follow all federal regulations can disallow these costs.

## Section 4.3 – FTA Funding – Cost Allocation Plans (Transit Providers Operating Urban and Rural Service)

Agencies that operate both urban and rural transit service will often implement grants that include FTA Urban Funding that is awarded directly to the recipient (i.e. FTA 5307) and FTA Rural Funding that is suballocated by DRPT (i.e. FTA 5311). These agencies must create a “Cost Allocation Plan” that defines the share of urban and rural service provided, and that plan must be reviewed every 2 fiscal years by DRPT. These shares will define the portion of service that can be supported using different federal fund sources. Please note that this requirement applies to all agencies that operate both urban and rural services, even if they do not receive urban and rural federal funds.

As of FY26, this requirement applies to 4 transit operators in Virginia:

1. Williamsburg Area Transit Authority (WATA)
2. District Three Government Cooperative
3. Central Virginia Planning District Commission (CSPDC)
4. City of Suffolk - Suffolk Transit
5. Jaunt, Inc.

### Key Steps:

1. **Cost Allocation Plan:** All agencies that operate both urban and rural transit services must adopt a cost allocation plan utilizing the methodology listed below. Other methodological approaches to this calculation can be accepted on a case-by-case basis.
2. **Cost Allocation Plan Review:** The cost allocation plan must be updated and approved by DRPT every two years.

### Statewide Cost Allocation Rules:

**Rule 1:** To qualify for a rural cost allocation, the cost allocation plan must indicate that at least 15% of the total service provided is in the rural area using the methods outlined below. If less than 15% of service is provided in the rural area, no cost allocation is needed, and all service will be considered urban.

**Rule 2:** If an agency operates routes that are split between the urban and rural area, at least 20% of any given route must be considered rural using the method outlined below to qualify in the rural share of service.

## Statewide Cost Allocation Plan Method:

### Method 1 - All routes are segregated as either urban or rural:

- **Urban Share:** Divide total vehicle revenue miles (VRM) for urban routes in the previous fiscal year by total VRM. Please see instructions by mode:
  - Fixed Route and Deviated Fixed Route Bus: Total VRM provided along urban routes should count in the urban share.
  - Paratransit: (optional) Total VRM for all qualified trips originating along urban routes should count in the urban share.
  - Demand Response Bus: Total VRM for all trips originating in the urban area would be counted in the urban share.
- **Rural Share:** Divide total vehicle revenue miles (VRM) for rural routes in the previous fiscal year by total VRM. Please see instructions by mode:
  - Fixed Route and Deviated Fixed Route: Total VRM provided along rural routes should count in the rural share.
  - Paratransit trips: (optional) Total VRM for all qualified trips originating along rural routes should count in the rural share.
  - Demand response services: Total VRM for all trips originating in the rural area should be counted in the rural share.

### Method 2 - Routes are split across urban and rural areas:

- **Urban Share:** Divide total vehicle revenue miles (VRM) for urban portions of routes in the previous fiscal year by total VRM. Please see instructions by mode:
  - Fixed Route and Deviated Fixed Route Bus: Total VRM provided along the urban portion of routes should count in the urban share.
    - Urban portions of routes include segments of routes operated completely in the urban area, segments of routes operated on roadways that sit on the border between urban and rural areas.
  - Paratransit: (optional) Total VRM for all qualified trips originating along the urban portion of split routes should count in the urban share.
  - Demand Response Bus: Total VRM for all trips originating in the urban area would be counted in the urban share.
- **Rural Share:** Divide total vehicle revenue miles (VRM) for rural portions of routes in the previous fiscal year by total VRM. Please see instructions by mode:
  - Fixed Route and Deviated Fixed Route Bus: Total VRM provided along the urban portion of routes should count in the rural share.
    - Rural Portions of routes include segments of routes operated completely in the rural area.
  - Paratransit: (optional) Total VRM for all qualified trips originating along the rural portion of split routes should count in the rural share.
  - Demand Response Bus: Total VRM for all trips originating in the urban area would be counted in the rural share.

## Chapter 5: Development and Execution of Grant Agreements

Following the CTB's approval of the SYIP, DRPT develops project agreements for the approved projects. Recipients are authorized to proceed on expenditures for the state share of projects as of July 1st of the SYIP year approved.

If DRPT is administering the federal funds on a project, agreements for the federal funds and state match are written when DRPT receives an approved FHWA authorization number from VDOT or when DRPT receives an executed FTA award number from the FTA; these funds are approved for expenditure when the federal award is approved. FTA, however, does allow "pre-award" authority; this means expenditures can be made before the actual award, if "pre-award" has been specified in the application and approved by the FTA. FHWA does not allow "pre-award" authority. In all cases, the project agreements for the state matches can only be developed if all appropriate amounts are included in either VDOT's or DRPT's approved SYIP.

Project agreements are subordinate to Master Agreements and contractually specify the details of funded projects. **Grant recipients must have a signed State Master Agreement on file with DRPT before DRPT will issue a project agreement.**

Separate project agreements are executed for each project undertaken by a DRPT recipient. DRPT project agreements include a project summary, the maximum state or federal share of eligible expenses, the project schedule, start and end dates, and project budget which specifies the project description for which the budget may be spent. The start date of the project agreement for federal funding or state match to federal funding cannot precede the approval date of the federal authorization agreement from the FHWA, or the approval date of the FTA award (unless pre-award authority was granted). In the case of the FTA award, DRPT cannot identify a start date prior to the date the project was approved by the CTB.

Contact DRPT Program Management staff for any questions about the agreements.

### Key Steps

1. **DRPT Preparation of Agreements:** DRPT's Financial Programming staff prepares the grant agreements, which are submitted to the DRPT Legal Counsel for review. Agreements are then uploaded to WebGrants for review and approval by the DRPT Program Manager, Division Administrator, and

Finance Department. After approvals by DRPT staff, the agreement is then released to the grant recipient for execution in WebGrants. An encumbrance is placed on the project until the contract has been fully executed, and no reimbursement claims may be submitted until the encumbrance is lifted.

2. **Grant Recipient Review and Execution of Agreement:** When the agreement is ready for execution, the WebGrants system will send an email to the grant recipient notifying them that the contract is ready for approval.

**Note:** The term “contract” is used in WebGrants. “Contract” is equivalent to “project agreement.”

**All grant recipient staff that will be managing, working on, incurring/authorizing expenses, and invoicing for the program/project should read the agreement. The agreement may contain approved project details, eligible expenses, line-item budgets, and total budget that are different than the original application.**

An authorized person within the grant recipient’s agency/organization approves (executes) the agreement in WebGrants. DRPT will assign a member of the grant recipient agency the contract signature authority in WebGrants. The agreement must be signed only by grant recipient agency personnel with the authority to sign agreements and enter into a binding agreement. DRPT reserves the right to obtain a copy of written authorization stating that the person executing the agreement has the authority to do so. Grantees may add backup contact information to each grant to ensure contract signature notification, but only an organization’s Signature Authority may sign and execute the contract.

3. **Removal of Grant Encumbrance:** Once the agreement is executed by all parties, the encumbrance on the project will be removed and the project is open for claims.
4. **Approval of FTA Certifications and Assurances:** As part of the FTA’s Master Agreement, applicants requesting federal assistance must comply with various federal requirements. These grant terms, conditions, and responsibilities are detailed in a single document FTA produces annually called the “Annual List of Certifications and Assurances”. Applicants must self-certify that they are following these requirements and submit this as part of the grant application process by “pinning” FTA’s certifications and assurances document in WebGrants. Contracts for federal funding will not be executed unless the FTA certifications and assurances are pinned in WebGrants. Subrecipients must sign the document and attach it to their Organizational

Profile in WebGrants prior to July 1<sup>st</sup>. Subrecipients that do not pin their Annual List of Certifications and Assurances to WebGrants by July 1<sup>st</sup> are subject to being locked out from submitting future claims and applications in WebGrants. The Annual List of Certifications and Assurances must be signed by an organization's signature authority and legal counsel.

- 5. Notification of Completed Project Agreements:** When project agreements are ready, the notifications will go out to the contacts listed in WebGrants. Recipients must always maintain correct contact information in WebGrants. The information in WebGrants is considered the "official" contact list for DRPT. If the names have not been updated, the notification may not reach those who need to know about it. If recipients are locked out of WebGrants, they should contact their DRPT Program Manager.

**Note:** For all Financial Programming inquiries and requests, please contact your DRPT Program/Planning Manager as your first point of assistance.

## Section 5.1 – SMART SCALE Projects

Agreements for SMART SCALE transit projects will follow the same steps listed in [chapter 5.0](#). Once the project has been approved by the CTB and funding is allocated by year, DRPT will create the contract, if the funds allocated are state only.



If federal funds have been allocated, the recipient will need to complete an application with the FTA to receive the federal funds, same as the CMAQ and RSTP procedures discussed in [chapter 3.0](#). The federal funds will need to be flexed to the FTA annually.

The contract will follow the process noted above in [chapter 5.0](#), but it will be prepared using the multiyear funding agreement format. Grant recipients should be prepared to provide project milestone dates for inclusion in the contract.

For SMART SCALE scope and/or budget change requests, please refer to [section 8.4](#).

## Section 5.2 – Small Urban Areas Program (FTA Section 5339)

FTA Section 5339 projects follow the same development and execution process described in [Section 5.0](#).

DRPT allocates FTA 5339 funds to subrecipients based on the approved SYIP. Upon formal CTB approval of the SYIP, DRPT's financial programming staff will generate grant agreements, or contracts, for each discrete project. Projects receiving both state and federal funding will be combined into a single project agreement beginning in FY26. These combined project agreements are developed and executed after DRPT's applications for federal funding are awarded in TrAMS, usually in October.

Project agreements are approved by DRPT Transit and Finance staff before being sent to grantees for signature as described in [Section 5.0](#) above. Electronic signature in WebGrants by both DRPT's CFO and the subrecipient's signature authority officially 'executes' the project. Until the project is executed, grantees may not submit reimbursement claims. However, the project and contract dates do not change based on the execution dates. In other words, the period of performance does not begin when the contract is executed; it begins in accordance with the grant agreement.

## Section 5.3 – Rural Areas Program (FTA Section 5311)

FTA Section 5311 projects follow the same development and execution process described in [Section 5.0](#).

DRPT allocates FTA 5311 funds to subrecipients based on the approved SYIP. Upon formal CTB approval of the SYIP, DRPT's financial programming staff will generate grant agreements, or contracts, for each discrete project. Projects receiving both state and federal funding will be combined into a single project agreement beginning in FY26. These combined project agreements are developed and executed after DRPT's applications for federal funding are awarded in TrAMS, usually in October.

Project agreements are approved by DRPT Transit and Finance staff before being sent to grantees for signature as described in [Section 5.0](#) above. Electronic signature in WebGrants by both DRPT's CFO and the subrecipient's signature authority officially 'executes' the project. Until the project is executed, grantees may not submit reimbursement claims. However, the project and contract dates do not

change based on the execution dates. In other words, the period of performance does not begin when the contract is executed; it begins in accordance with the grant agreement.

## Chapter 6: Grant Reimbursements

DRPT provides funding for approved projects on a reimbursement basis, after recipients incur expenses. Once a project agreement has been fully executed, recipients may begin submitting claims through WebGrants. The frequency of claims should reflect the rate of expenditure on each project but should not exceed one request a month per project. Claims must be submitted at least quarterly unless there have not been expenditures during the quarter. For many projects, monthly submissions of claims are preferred.



Click [here](#) to access a tutorial detailing claim submissions in WebGrants.

**State Operating grants for urban transit recipients are based on a payment schedule approved in the State Operating Agreements and not paid by reimbursement through WebGrants. To review procedures for state operating payments, please see [section 6.7](#).**

The following is a high-level summary of what recipients must supply to DRPT when submitting a claim. Recipients must be sure to include all the required information with their claim so that DRPT Program Managers are able to properly review the claim and consider approving it for payment. Please note that expenditures must have been incurred before seeking reimbursement. Recipients must remit payment to vendors and contractors within five business days of receipt of reimbursement from DRPT. Refer to the State Master Agreement for more details and requirements.

### Key Steps

1. **Ensure Expense Eligibility:** When submitting a claim, the recipient must ensure the expenses submitted are appropriately supported (see [section 6.1](#)) and are eligible, necessary, and authorized activities in accordance with the Master Agreement, Project Agreement, and the [Transit and Commuter Assistance Grant Application Manual \(Blue Book\)](#).
2. **Confirm Expense Timing:** Grant recipients should verify that the expenses submitted on the claim were incurred during the designated time frame of the project, as shown in the project agreement.
3. **Upload Claim and Supporting Documents:** The claim as well as all supporting documents pertaining to the claim, as detailed in [section 6.1](#), and those requested by DRPT Program Managers during the review process, must

be uploaded to WebGrants by the grant recipient. Missing supporting documents can lead to a delay or reject of the reimbursement.

**A Summary Sheet must be uploaded to WebGrants with the claim.** The Summary Sheet is the first page of the claim and shows an itemized list of all expenses included in the request, and the total amount of the expenses being charged to the grant. The Summary Sheet should include the following data and information for each expense:

- Date of paid invoice
- Invoice number
- Total amount of invoice
- Amount of the invoice charged to the claim
- Name of vendor
- Description of the expense (What is it? Why is it needed? How was it used?)
- Notes that explain why only part of an invoice amount is being requested, if applicable
- Notes that explain if an invoice amount is being split and charged to more than one project. The notes should include the project numbers, amounts charged, and claim numbers for how the charges are split
- Expense category as shown in the project agreement
- Total amount charged

**Note:** The total amount provided on the Summary Sheet must equal the total amount of the claim. Proper supporting documentation, as described in **section 6.1**, must be uploaded in WebGrants and be arranged in the identical order as listed on the “Summary Sheet.”

**Example Summary Sheets:**

**Example #1 Summary Sheet**

Sample for individual Vendor and/or Contractor invoices within a Claim

Vendor Invoice Number	Vendor Name	Work Performed	Dollar Value of Work	Invoice Paid Date
			<b>Total:</b>	

**Example #2 Summary Sheet**

Sample for state and federal funded CAP projects

Invoice Date	Invoice #	Vendor	Invoice Amount	Amount Charged to Project	Description & Reason for Charge	Grant Expense Category	Notes
				<b>Total:</b>			

- Report Actual Work Performed: A detailed report of actual work performed by each agency and contractor staff person must be provided with claims for CAP Operating, CAP Project, Technical Assistance funding, and Federal Aid Programs (CMAQ and RSTP) administered by DRPT.** The report should detail all work performed by each project staff during the period covered by the charged expenses and should include meetings and webinars attended, promotional events conducted, details of assistance provided to commuters, details of assistance provided to employers, documents and advertisements created, social media activities, marketing activities, etc.
- Provide a General Ledger: For 5311 Operating Assistance or any other type of claim that is supported by an excel spreadsheet, the recipient must also provide a general ledger or other financial system report that validates the amounts listed on the excel spreadsheet.** If the amounts on the GL or other financial system reports do not match the amounts on the excel spreadsheet, the recipient must provide “crosswalk” documentation showing why there is a variance.

**Note:** Please do not send in canceled checks or receipts to support state transit operating expenses. DRPT Program Managers will contact you should they require support in addition to that specified above.

Quarterly Reimbursement Due Dates:

- Data from October through December is due in January
- Data from January through March is due in April
- Data from April through June is due in July
- Data from July through September is due in October

**Note:** Users in WebGrants are deactivated automatically after 90 days of inactivity, thus DRPT recommends that users performing critical tasks (claim submission, contract approval, etc.) should login at least every 90 days. If an account has been deactivated, please contact your DRPT Program Manager to reactivate.

## Section 6.1 – Support Documents

All claims must include **legible** supporting documentation that details the expenses charged to the project, demonstrates those expenses as germane to the project, shows the items produced or purchased through the project, and shows the work performed. Sufficient supporting documentation attached to claims is required to provide evidence and justification for every expense. Support documents provide DRPT staff and external auditors with assurance that expenses paid are in accordance with the terms of the Master Agreement and the Project Agreement.

### List of documents that should be provided with a claim:

- Printout of payroll system (or other financial system generated documentation) showing staff time and benefit/fringe charges
- Detailed report of work performed for each agency staff person charging on the claim/reimbursement request. The report must detail the actual work performed and include the dates of events, meetings, training, workshops, conferences, etc., the purpose of the event, meeting, etc., associated agenda and summary of the meeting discussion and outcome, and justification of how the meeting was necessary and beneficial to the project
- Indirect cost charges must not exceed the de minimis rate or the agreed indirect cost rate as outlined in an approved NICRA. Indirect costs should not overlap with any direct costs in order to avoid double-reimbursement for a given expense. Where applicable, grantees should include a printout from a financial system and detail of how the indirect cost amount was calculated, showing what expenses and indirect cost rate were used to calculate the amount charged
- Contractor staff charges and details on work performed
- Contractor invoices with a detailed description of work performed, documents, and items produced, invoices from subcontractors, invoices for expenses, and a detailed breakdown of travel expenses
- Copies of advertisements, marketing materials, reports, plans, surveys, research, meeting documents, and presentations
- Images of promotional items
- Legible copies of paid invoices that have complete descriptions of the items or work performed, not **just** general description or item number (This may require grant recipient to write a more detailed description on the invoice)

**Note:** The summary list above does not include every document that must be provided with a claim, as some support documentation is specific to the program or project. A detailed list of documents needed for reimbursement of travel expenses is provided in **section 6.3**.

Receipts and invoices must clearly state what was purchased, what the items are, or work performed. Grant recipients may need to write a short description on the receipt or invoice to indicate what the item is, the purpose of the item, and how it was used. Vendors and contractors should be instructed to include detailed descriptions of items and work performed on their invoices. These notations are helpful when a DRPT Program Manager reviews the reimbursement and for auditors to understand why those expenses were incurred and charged to the project. Supporting documentation must be from an official source such as a receipt, a third-party invoice, or from the recipient's general ledger or other financial system report. Questions about supporting documentation should be forwarded to the recipient's DRPT Program Manager prior to submission of a claim.

## Section 6.2 – Indirect Costs

Some, but not all, grant programs allow indirect costs as a reimbursable expense. As of January 2025, 2 CFR 200.414 allows for a de minimis rate of up to 15% of modified total direct costs. Grant recipients that want to charge indirect costs exceeding the de minimis rate must first have an approved Cost Allocation Plan that includes the calculation of the indirect cost rate. The indirect cost rate calculation must be approved by either a state agency, most commonly VDOT, or federal cognizant agency. The grant recipient must provide an approval letter from one of these agencies to DRPT prior to charging indirect costs exceeding the de minimis rate to a project. Indirect cost charges must not exceed the approved indirect cost rate. If a grant recipient is charging indirect costs to a DRPT project and has received an approved indirect cost rate, the approved rate must be used when submitting reimbursements to DRPT.

Check with a DRPT Program Manager if there are any questions regarding eligibility of indirect costs.

Recipients that intend to seek FTA reimbursement for indirect costs must prepare an Indirect Cost Rate Proposal (ICRP) unless a recipient chooses to use the de minimis rate of 15% of the modified total cost. Below you will find more information on ICRP requests.

### Basic Requirements of ICRPS:

- ICRPs must be approved by FTA or another cognizant federal agency
- Cognizance is generally assigned to the federal agency that provides the predominant amount of federal funding with a recipient
- ICRPs must be updated annually

- The updated ICRP must be retained and made available for review at the recipient's annual single audit



**Note:** For more guidance regarding indirect cost, refer to FTA circular: **FTA C 5010.IF: Award Management Requirements.**

## Section 6.3 – Travel Reimbursements

DRPT will reimburse personnel traveling on official business or training directly related to the grant project for reasonable and necessary expenses incurred. The use of grant funds to accommodate personal comfort, convenience, and taste is not permitted. Travel expenses are open to the public and must be able to withstand the test of public review. When planning and paying for travel expenses, travelers and travel planners must seek ways to reduce the cost of travel. Economy, prudence, and necessity should be of primary concern in the decision-making process.

**For travel expenses related to training under the FTA Section 5311 Rural Transit Assistance Program (RTAP) and Small Urban Training Program, see [chapter 9.0](#).**

DRPT will only reimburse travel expenses in accordance with and up to the state and federal approved rates for lodging, mileage and per diem amounts. AirBnB, Vrbo, and other rentals booked through other home-sharing services are not eligible travel expenses. The Commonwealth of Virginia uses the **General Services Administration (GSA) rates for Lodging and Meals & Incidentals Expenses (M&IE)** and **IRS mileage rate**. GSA rates are generally published for the federal fiscal year which runs from October 1st to September 30th annually. The IRS updates the mileage rate annually on January 1st. DRPT's reimbursement rules for travel expenses apply to all state and federal funding administered by DRPT, the associated local match for those grants, and consultants performing work that is charged to grants.

**Travel Meals:** Reimbursement for meals is only valid when traveling overnight. Expenses for meals for same day trips are not eligible for reimbursement. Expenses for alcoholic beverages are not eligible for reimbursement. GSA's M&IE rates and eligible reimbursement amounts vary by time of year, location, whether meals were provided or not, and travel days. Rates may vary from when the trip was scheduled to the actual travel dates. Therefore, it is important to review the GSA rates and rules to ensure the correct amounts are used in the claim. DRPT will only reimburse based on the GSA per diem rates.

**Lodging:** Lodging may be reimbursed when an individual is traveling overnight on official business outside his/her work region or program/project service area. **Verify with your agency's assigned DRPT Program Manager to determine if**

**reimbursement for overnight travel is permitted before traveling.** Lodging expenses must follow GSA’s lodging guidelines and rates and be reasonable and necessary. Rates above the GSA lodging rates as well as the taxes and fees associated with the higher rates will not be reimbursed. When the lodging rate exceeds the GSA rate, taxes and fees must be prorated and the recalculation of lodging expenses must be shown in the claim. A receipt for the booking of the hotel is insufficient proof the stay took place. A receipt for actual hotel stays and payment received must be provided with the claim.

**Travel Pre-Check:** Before securing travel arrangements or incurring expenses to attend conferences, workshops, training, and **anything that requires an overnight stay** grant recipients should contact their DRPT Program Manager for a “pre-check” of eligibility. The required travel pre-check form can be found in WebGrants and must be submitted to their DRPT Program Manager 60 days before travel. The DRPT Program Manager will review whether the workshop, training, or conference is related to the grant project and therefore an eligible expense, verify staff attending and then review that the planned travel days are correct and valid. The pre-check helps ensure that grant recipients incur expenses for travel that are appropriate and eligible for reimbursement.

Prior to arranging travel and incurring expenses, grant recipients should send their DRPT Program Manager the following information for pre-check:

- Name, description, location and dates of the conference, workshop, training, etc.
- The names of staff that plan to attend
- The dates of overnight stays for each attendee
- The lodging expenses, including the room rate, number of days, and estimated taxes
- The calculation of meal per diem expenses for each day
- Estimated cost of airfare, ground transportation (train, bus, rental car), shuttles, taxi/Uber/Lyft, and baggage fees

This information can quickly be estimated using a DRPT-approved Pre-Authorization workbook. DRPT Program Managers can provide this workbook upon request.



**Note:** International travel **requires** a travel pre-approval.

**Advance Payments:** DRPT does not reimburse for cash advance payments to the traveler. Only the actual travel expenses will be reimbursed.

### **Documents Needed for Overnight Travel Reimbursements**

Claims that include travel expenses must include documentation and receipts for all travel expenses. Required documents include:

- Travel expense summary listing sheet (This is a listing of each travel expense and includes the following: date of travel, lodging, flight, etc.; detailed purpose of travel; destination; mileage, amount of expense being charged)
- Receipt for parking
- Receipt for tolls (Toll roads may not be used only for convenience. Explanation of why the use of a toll road is necessary. An EZ-Pass payment printout is acceptable as a receipt)
- Receipt for purchased ground transportation (e.g., taxi, Lyft, Uber, airport shuttles, etc.)
- Airline ticket/boarding pass and payment receipts
- Car rental receipts showing payment amount and zero balance
- Baggage fee receipts
- Receipt for public transportation fares or, if receipts are not available, a printout from the transit operator's planning tool or website
- Hotel stay receipt showing room rate, taxes and fees detail, and zero balance
- Receipt for registration fees
- Agenda or program for meeting, conference, workshop, etc. attended
- Travel maps showing mileage and route taken

**Documents Needed for Travel for Meetings:** Claims for meetings and business travel that does not require overnight stay must include documentation that justifies and explains the purpose and location of the meeting. The **IRS mileage rate** should be used when a personal vehicle is used for travel. Required documents include a travel expense summary listing sheet including:

- Date of travel
- Address of destination
- Name of meeting
- Purpose of meeting
- Miles traveled
- Calculated mileage expense (must show IRS mileage rate used and miles traveled)
- Parking, tolls, etc.
- Agendas for meetings
- Travel maps showing mileage and route taken (if tolls are being charged, the route map must show that a toll road was taken)
- Receipts for parking and tolls (toll roads should not be used only for convenience; receipts include EZ-Pass printout)

## Section 6.4 – Claim Timeline

**Project Agreement Execution:** Claims can only be submitted **after** the project agreement has been fully executed by all parties and the grant encumbrance has been removed.

**Submission of Claims:** Claims must be submitted at least quarterly and can be submitted monthly. No more than one claim may be submitted each month for each program/project. (See Exceptions to One Request Per Month rule below.) Expenses must be billed to the grant project during which the expenses were paid or incurred.

**Review and Payment Timeframe:** DRPT will make every effort to review and remit payment within 30 days from submission of the claim. Each claim must be approved by the DRPT Program Manager. It may take five to ten business days from the time the Program Manager approves a claim until the grant recipient receives payment. Insufficient documentation, such as the absence of a “Summary Sheet” (see [chapter 6.0](#)), missing vendor invoice copy, or other missing information can delay approvals and result in a payment exceeding 30 days.

### Exceptions to One Request Per Month

If a claim has been rejected by DRPT, a corrected or revised reimbursement may be submitted in the same month or the next month.

DRPT may grant other exceptions on a case-by-case basis. If a situation arises where more than one claim in a month for a project is needed, the grant recipient must request approval in writing to DRPT. Written approval by a DRPT Program Manager is required prior to submitting more than one reimbursement. The request and approval can be made through email. A copy of DRPT’s approval email must be included in each claim submitted.

### Key Steps

1. **Claim Submission:** Claims must be submitted through WebGrants. All supporting documentation (as detailed in sections 6.0, 6.1, 6.2, and 6.3 above) must be uploaded in WebGrants with the request. Supporting documentation must also include a “Summary Sheet” (see [chapter 6.0](#)).
2. **Claim Review by DRPT:** After a claim is submitted in WebGrants, DRPT’s accounting staff will conduct a cursory review to verify if there is a Summary Sheet, supporting documentation, and that the expenses total the amount of the request. DRPT’s accounting staff will note any problems or concerns in DRPT’s internal reimbursement review system and then “release” the request

to the assigned Program Manager. The DRPT Program Manager will then conduct a full review of the claim and all supporting documents.

3. **Upload Additional Documents in WebGrants as Needed or Requested:**

During the review process, the DRPT Program Manager may request additional support documents. The grant recipient can upload additional documents on the claim in WebGrants.

4. **Claim – Approved:** The DRPT Program Manager will approve claims only when all required supporting documentation is attached, including an accurate “Summary Sheet” (see [chapter 6.0](#)). Each expense must be eligible, must total correctly, and all applicable state and federal rules followed. Approval by the Program Manager means the request is deemed ready to be paid.

5. **Claim – Negotiated:** The DRPT Program Manager may “negotiate” a claim request for reasons, such as: lack of or missing support documents, missing “Summary Sheet” (see [chapter 6.0](#)), or for questions regarding one or more expenses. Negotiating the request puts the reimbursement on hold until questions can be adequately answered, or documentation provided. If the DRPT Program Manager is satisfied with the answers and additional documents received from the grant recipient, the Program Manager will approve the request for payment. If the Program Manager is not satisfied with the answers and documents, or if the concerns cannot be resolved within 30 days, the Program Manager will “withdraw” the claim request.

6. **Claim – Withdraw:** The DRPT Program Manager will “withdraw” a claim under the following circumstances:

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

DRPT staff cannot make changes to the amount of the request. Therefore, if there is any error in the request, the entire request must be withdrawn. Once a Program Manager withdraws a claim, that request is completed, and no further action will be taken. The grant recipient designated WebGrants contact will receive a notification through WebGrants that the request has been withdrawn. The notice will include the reason for the rejection.

7. **Resubmission of a Request:** If the original claim was withdrawn, the grant recipient shall make the necessary corrections and resubmit the request.

Resubmissions of prior claims will not be counted against the one-a-month reimbursement submission rule.

8. **Final Reimbursement:** The final claim must be submitted in WebGrants within 90 days from the project end date. Any claims submitted after 90 days from the project end date are subject to rejection from DRPT.
9. **Reimbursement Payment:** After a claim has been approved by the DRPT Program Manager, DRPT's accounting staff will process the payment and a check or electronic payment will be generated by the Treasurer of Virginia.

## Section 6.5 – Mid-Cycle Grant Requests

Mid-cycle grant requests of state-controlled funds should only be made if the need was not foreseeable during the funding application process, and if the funding cannot wait until the next funding/application year without materially affecting the grantee negatively. The CTB must approve all Mid-Cycle grant requests.

Mid-cycle grant applications are available in WebGrants upon request. An agency must complete and submit a mid-cycle grant application in WebGrants and attach supporting documentation. Requests will be reviewed internally, after submission. If the request is denied, a DRPT Program Manager will notify the applicant to discuss the denial. If the request is approved, it will move forward and be presented at the next CTB meeting for further approval. The Program Manager will discuss the mid-cycle request with the applicable CTB member before the meeting.

Once the CTB approves the mid-cycle grant request, grant agreements will be developed as discussed in [section 5.0](#).

## Section 6.6 – DBE and Prompt Payment to Sub-contractors

If a 5310 or 5311 transit agency partners with a DRPT contractor and sub-contractor, then they must abide by and monitor the prompt payment guidelines noted in DRPT's [Disadvantaged Business Enterprise \(DBE\) program](#).

### **DRPT provides the following clause in each DOT-assisted prime contract:**

“The prime contractor agrees to pay each subcontractor under this prime contract for satisfactory performance of its contract no later than 30 days from the receipt of each payment the prime contractor receives from the Virginia Department of Rail and Public Transportation (DRPT) or its sub-grantees. The prime contractor agrees further to return retainage payments to each subcontractor within 30 days after the subcontractor's work is satisfactorily completed. Any delay or postponement of

payment from the above referenced time frame may occur only for good cause following written approval of DRPT of its sub-grantees. This clause applies to both DBE and non-DBE subcontractors.”



**Note:** Click [here](#) for more information on FTA’s prompt payment guidelines.

## Section 6.7 – Public Transit Operating Assistance Payments

Payments for state transit operating assistance are made monthly, quarterly, or annually (based on a schedule approved in the agreements) to approved grant recipients without the submission of claims. For transit providers in the FTA Section 5311 program, recipients must submit claims for reimbursement to receive federal operating assistance. Please see the above sections in this chapter for information about reimbursements.

# Chapter 7: Performance Data Reporting Requirements

This chapter provides detail and instructions on reporting requirements for public transportation agencies, Transit Ridership Incentive Program (TRIP) grant recipients, and Commuter Assistance Program (CAP) grant and DRPT administered federal and state match TDM/commuter assistance funding recipients.

## Section 7.1 – General Requirements

The 2018 General Assembly passed House Bill 1539, which requires the CTB to allocate transit operating assistance solely on the basis of performance metrics.

To receive transit operating assistance, DRPT requires grantees to report Unlinked Passenger Trips (UPT), Vehicle Revenue Hours (VRH) and Vehicle Revenue Miles (VRM) for all modes operated on a monthly basis in a performance data reporting SharePoint site. Additionally, grantees that report Passenger Miles Travelled (PMT) to the National Transit Database must also report annual PMT in SharePoint. All performance metrics are reported by mode and are validated by DRPT Program Managers on an annual basis prior to running the operating assistance formula as identified in **DRPT’s Grant Application Manual**. Grantees should be prepared to answer questions about performance data submissions during their Quarterly Grantee Meetings with DRPT staff.

### Required Performance Metrics

Metric	Description
<b>Unlinked Passenger Trips (UPT)</b>	Number of passengers who board public transportation vehicles, regardless of whether a passenger is transferring from another transit vehicle.
<b>Vehicle Revenue Hours (VRH)</b>	Hours traveled by revenue vehicles (buses, vans, railcars, etc.) while in revenue service. For uni-directional commuter routes greater than 20 miles in length, non-revenue hours associated with deadhead trips will be considered as revenue vehicle hours for the purpose of allocating operating assistance.
<b>Vehicle Revenue Miles (VRM)</b>	Miles traveled by revenue vehicles while in revenue service. For uni-directional commuter routes greater than 20 miles in length, non-revenue miles associated with deadhead trips will be considered as

	revenue vehicle miles for the purpose of allocating operating assistance.
<b>Passenger Miles Travelled (PMT)</b>	Cumulative sum of the distances traveled by each passenger as reported to the National Transit Database. This metric is used for calculation of the Commuter Rail Pool and is estimated for small transit agencies based on reported ridership relative to statewide average distance traveled by commuter rail and commuter bus agency passengers.

All performance metrics must be entered for each mode operated. In December 2023, DRPT updated the performance data reporting modes to closer align with NDT reporting requirements.

### Public Transportation Modes

Mode	Description
<b>Bus Rapid Transit (BRT)</b>	Fixed-route bus systems that operate at least 50% of the service on fixed guideway.
<b>Commuter Bus (CB)</b>	Local fixed-route bus transportation primarily connecting outlying areas with a central city.
<b>Bus - Fixed Route/Local (MB)</b>	A transit mode comprised of rubber-tired passenger vehicles operating on fixed routes and schedules over roadways.
<b>Commuter Rail (CR)</b>	An electric or diesel propelled railway for urban passenger train service consisting of local travel which operates between a central city and outlying areas.
<b>Demand Response (DR) - ADA Paratransit</b>	Public transportation with door-to-door service for ADA qualified riders.
<b>Demand Response (DR) - Public</b>	Public transportation with door-to-door service arranged in advance available to the public (no eligibility requirements), including microtransit services.
<b>Ferryboat (FB)</b>	A transit mode comprised of vessels carrying passengers over a body of water.
<b>Heavy Rail (HR)</b>	A transit mode that is an electric railway with the capacity for a heavy volume of traffic.
<b>Light Rail (LR)</b>	A transit mode that typically is an electric railway with a light volume traffic capacity compared to heavy rail.

## Section 7.2 – Entering Transit Performance Data in SharePoint

Recipients of DRPT transit operating assistance are required to submit UPT, VRH, and VRM on or before the last business day of each month for the previous month’s activity (ex: the deadline to submit July data is the last business day in August). Additionally, agencies that are required to submit annual PMT in SharePoint must do so on or before December 15th each year. All performance metrics must be entered into the spreadsheet in the respective agency SharePoint folder.

**SharePoint Access:** Permission must be granted from DRPT staff to access the Performance Data Reporting SharePoint folder and enter performance data/add backup documentation. To manage access on your agency SharePoint site, please notify your DRPT Program Manager or DRPT’s performance data point-of-contact to add/remove performance data reporters.

### Example Monthly Performance Data Reporting Sheet

Agency	Mode	Metric	July	August	September	October
VA Transit Agency	Bus - Fixed Route/Local (MB)	Ridership (UPT)				
VA Transit Agency	Bus - Fixed Route/Local (MB)	Hours (VRH)				
VA Transit Agency	Bus - Fixed Route/Local (MB)	Miles (VRM)				
VA Transit Agency	Demand Response (DR) - ADA Paratransit	Ridership (UPT)				
VA Transit Agency	Demand Response (DR) - ADA Paratransit	Hours (VRH)				
VA Transit Agency	Demand Response (DR) - ADA Paratransit	Miles (VRM)				

**Backup Documentation:** When submitting monthly UPT, VRH and VRM, grantees must attach copies of backup documentation that support each metric being reported. Backup documentation should, at a minimum, include daily UPT, VRH, and VRM by mode and should be submitted in a format that can be easily reconciled by DRPT staff. Summary tables generated by farebox or APC software will be accepted.

**Data Variances:** As grantees enter monthly UPT, VRH, and VRM, the SharePoint database will query the agency’s entries from the previous year and will flag any entries that have a 10% variance or greater. If a variance is identified, the grantee must describe the reason for the variance prior to data submission (ex: Transit Agency B experienced a 12% decrease in ridership in January 2024 compared to January 2023 due to a winter storm that created major service disruptions).

## Section 7.3 – Amending and Validating Transit Performance Data

Grantees may amend previously submitted performance data in SharePoint if errors are discovered.

DRPT asks transit agencies to complete performance data amendments in SharePoint no later than December 31st for the previous state fiscal year (ex: state FY24 amendments are due on December 31st, 2024). In January, DRPT staff conduct an annual data integrity check to ensure reported figures are correct and accurate for the operating formula. Once the integrity check is complete, DRPT will “lock” the Performance Data Reporting Sheet for that fiscal year.

If discrepancies are found through the NTD data validation process, please notify your DRPT Program Manager or DRPT’s performance data point-of-contact to “unlock” the Performance Data Reporting Sheet to amend previously submitted data.



Statewide performance data is available to view and download on DRPT’s [Open Data Portal](#).

## Section 7.4 – TRIP Reporting Requirements

The Commonwealth Transportation Board (CTB) requires recipients of DRPT TRIP funding to report on progress toward attaining established goals and performance metrics on a quarterly basis.

Specific performance metrics are dependent on the type of project being funded. Reporting is done through SharePoint as described in Section 7.3.

## Section 7.5 – Commuter Assistance Reporting Requirements

Recipients of DRPT CAP Operating and CAP Project Assistance, and recipients of federal and state match funds administered by DRPT for TDM/commuter assistance projects are required to submit Commuter Assistance performance data by the last business day of the month for the previous month’s activity (ex: the deadline to submit July data is the last business day in August). All performance data must be entered into the spreadsheet in the respective agency SharePoint folder.

**SharePoint Access:** Permission must be granted from DRPT staff to access the Performance Data Reporting SharePoint folder and enter performance data/add backup documentation. To manage access on your agency SharePoint site, please notify your DRPT Program Manager or DRPT’s performance data point-of-contact to add/remove performance data reporters.

**Required Performance Metrics**

Metric	Description
<b>Ridematch Requests</b>	The number of ridematching requests for carpool, vanpool or transit submitted by the public through a DRPT approved online or mobile app ridematching system.
<b>Sales Calls</b>	The number of completed calls where a sales conversation took place with an employer. Does not include voicemails left, or attempted calls where no one was reached.
<b>Sales Meetings</b>	The number of in-person and virtual meetings with decision makers with an employer.
<b>Table Events</b>	The number of onsite events conducted with a table containing information to promote carpooling, vanpooling, and transit.
<b>New Transit Benefits (direct)</b>	The number of employers that started a new transit benefit for employees as a direct monthly benefit either in the employees’ paycheck or through a transit pass benefit program.
<b>New Transit Benefits (pre-tax)</b>	The number of employers that started a new transit benefit program for employees as a pre-tax payroll deduction.
<b>New Vanpool Benefits (direct)</b>	The number of employers that started a new vanpool benefit for employees as a direct monthly benefit either in the employees’ paycheck or through a vanpool provider.
<b>New Vanpool Benefits (pre-tax)</b>	The number of employers that started a new vanpool benefit program for employees as a pre-tax payroll deduction.
<b>Total Transit Benefits (direct)</b>	The total number of employers that have a transit benefit for employees as a direct monthly benefit either in the employees’ paycheck or through a transit pass benefit program.
<b>Total Transit Benefits (pre-tax)</b>	The total number of employers that have a transit benefit program for employees as a pre-tax payroll deduction.
<b>Total Vanpool Benefits (direct)</b>	The total number of employers that have a vanpool benefit for employees as a direct monthly benefit either in the employees’ paycheck or through a vanpool provider.
<b>Total Vanpool Benefits (pre-tax)</b>	The total number of employers that have a vanpool benefit program for employees as a pre-tax payroll deduction.
<b>Total Telework/Hybrid Schedules</b>	The total number of employers that have implemented a hybrid work schedule or teleworking for employees.

**Backup Documentation:** When submitting monthly performance data, agencies must upload, in SharePoint, documents that support the data entered for the month. Acceptable documents for Ridematch Requests are monthly reports generated from the Commuter Connections ridematching system and/or the ConnectingVA/Agile Mile system. Acceptable support documents for employer data are reports generated from the employer database/customer relations management system used by the agency. Agencies must obtain written approval from DRPT to use documents other than those mentioned above as support for the performance data entered in SharePoint.

**Vanpool Data Reporting**

DRPT has designated four agencies that are required to report vanpool data. These agencies report vanpool data in the NTD. The designation of only a few agencies that report vanpool data in the NTD is to prevent duplicate data being reported. Decisions to required additional agencies to report vanpool data will be made on a case-by-case basis to ensure data integrity. Designated agencies are required to report the following vanpool data each month:

Metric	Description
<b>New Vanpools</b>	New vanpools formed with mostly new vanpoolers.
<b>Total Vanpools</b>	Total number of vanpools in operation.
<b>Vanpool Ridership</b>	Number of actual vanpool passengers, including the non-paid driver, that board a vanpool. Passengers are counted each time they board a vanpool no matter if that vehicle is traveling to or from the office destination.
<b>Vanpool Revenue Miles</b>	The miles a vanpool is in revenue service from the first pick-up point to the final drop-off point.
<b>Vanpool Passenger Miles</b>	The cumulative sum of the distances ridden by each passenger.

**Backup Documentation:** When submitting monthly vanpool data, agencies must upload, in SharePoint, copies of their NTD report that support the vanpool data entered for that month.

**Transit Marketing Project Reporting**

Recipients of a DRPT CAP Project Assistance grant for the purpose of marketing and promoting transit service must provide ridership data to the DRPT Program Manager for each bus route or in aggregate — depending on the project parameters — prior to the start of the project, at the midpoint of the project, and within 60 days of project completion.

# Chapter 8: Contract Amendments – Time Extension, Budget Change, and Scope Change Requests

A grant recipient may sometimes need more time to complete a project, wish to change the scope of a project after it has been awarded, need additional funding to complete a project, or need to transfer funds between budget line-items. These requests should be rare, and DRPT will review them on a case-by-case basis.

Each type of amendment must be requested separately. For example, a scope change will not be considered as part of a request for a time extension.

DRPT does not permit funds to be reprogrammed between different projects. Verbal authorization is not considered valid. During any compliance review, written authorization from DRPT is required for all change requests to be valid.

## Section 8.1 – Time Extension Request

Grant recipients may require a time extension to complete a project. If more time is needed to complete a project than is stated in the contract, the grant recipient must submit a project extension request in WebGrants **at least 30 days prior to** the project's end date. Documentation such as a purchase order or task order is required to prove that the project is advancing. DRPT will allow only one extension per project. The maximum allowable extension is 12 months from the original project end date. Exceptions to these rules are rare and require significantly more detail and assurances from the grant recipient as well as a greater DRPT review. DRPT Program Managers will review the extension request, with a greater number of DRPT internal approvals required, if any of the following are true:

- There is a balance remaining of \$1 million or more of state-controlled funds
- The recipient made the request after the end date of the project had passed
- The extension request exceeds 12 months
- The grant has already been previously extended

**Note:** The end date for CAP Operating projects cannot be extended.



Click [here](#) to access a tutorial detailing time extension request submission in WebGrants.

Grant recipients should contact their DRPT Program Manager to discuss the details and reason for the time extension prior to submitting the formal request. A prior discussion with the DRPT Program Manager will make the process smoother and faster.

### Key Steps

1. **Submit Contract Amendment (Extension Request):** Agency representatives must submit extension requests in WebGrants at least 30 calendar days prior to the original end date of the grant. The request must include a detailed explanation of why an extension is needed, why the project could not be completed within the original timeline, a schedule of work with a new timeline for project completion, and a budget drawdown timeline.
2. **DRPT Review of the Time Extension Request:** A DRPT Program Manager will review the request and either approve or deny the request. The DRPT Program Manager may contact the requestor to gather more information to make an informed decision.
3. **Notification and Appeal of Decision:** WebGrants will notify the requestor of the decision by email. If the extension is denied, the requesting agency will have 10 business days from the date of notification to appeal the denial. Letters of appeal should be directed to DRPT's Chief of Public Transportation.

## Section 8.2 – Budget Change Requests

There are two types of budget changes: Budget Increase and Line-Item Budget Transfer.

### **Budget Increase**

DRPT is legally required to seek CTB approval for all changes exceeding \$200,000. To maximize transparency and openness in DRPT's award process, it is vital that all projects be evaluated equally, that the SYIP be discussed in a public forum, as is legally required, and that the SYIP is approved in its entirety whenever possible. Further, grants that were awarded under the MERIT project prioritization process (FY20 and later) *will be rescored prior to any modification to the approved project scope*. Scope changes that result in a project score lower than the minimum score required for funding in that grant year will not be approved.

Budget increase requests should only be made if the increase was not foreseeable during the funding application process, and if the increase cannot wait until the next funding/application year without materially affecting the grantee negatively.

The following budget increase requests will require CTB approval, after internal approval of the increase request:

Total Project Cost	Threshold
<b>Less than \$5 Million</b>	Less than 20% increase in DRPT controlled funds
<b>\$5 Million - \$10 Million</b>	Less than \$1 Million increase in DRPT controlled funds
<b>Greater than \$10 Million</b>	Less than 10% or less than \$5 Million increase in DRPT controlled funds

**Note:** Budget increase requests that do not require CTB approval are still reported to the CTB.

Grant recipients should contact their DRPT Program Manager to discuss the details and reason for the budget increase prior to submitting the formal request. A prior discussion with the DRPT Program Manager will make the process smoother and faster.

### Key Steps

1. **Submit Contract Amendment (Budget Increase Request):** Submit a Budget Amendment in WebGrants that includes detail and justification on why additional funds are needed to complete the project and why the request cannot wait until the next grant cycle.
2. **DRPT Review of the Budget Amendment Request:** DRPT will evaluate the request and communicate the decision to the requestor. Such requests will be reviewed by the appropriate DRPT Program Manager, before being reviewed by DRPT Finance and Executive Team.
3. **Notification and Appeal of Decision:** WebGrants will notify the requestor of the decision by email. If the request is approved, the grant recipient will receive new grant documentation to reflect the approved funding change. If the request is denied, the requestor will be encouraged to apply for the requested funding during the next grant cycle and the current funding in question will be deobligated through WebGrants. If the requestor disagrees with the decision, the requestor has 10 business days from the date of

notification by DRPT to appeal a denial of a budget increase request to DRPT's Chief of Public Transportation.

### **Line-Item Budget Transfer**

Grant recipients should frequently monitor the total and line-item expenses of their projects to ensure they do not exceed the DRPT approved total budget and line-item budgets as shown in the executed project agreement.

Unspent funds remaining in a line-item budget should be deobligated through WebGrants at the end of the year. The deobligation of unspent funds is not a negative and there is no penalty for deobligating funds. However, in rare and unexpected situations DRPT will consider a request to transfer unspent funds from one line-item to another prior to the end of the project. A grant recipient that wants to transfer funds between line items must first speak with their DRPT Program Manager. Afterwards, if the grant recipient would like to request a transfer of line-item funds, the DRPT Program Manager will provide a Budget Revision Request Form. The net result of the budget revision cannot change the project's total budget shown in the executed project agreement.

Requests for line-item budget transfers can be submitted any time during the life of the project. **DRPT will not accept requests less than 30 days prior to the contract end date.** Contact the DRPT Program Manager immediately when expenses for a line item are expected to exceed the DRPT approved budget for that line item, when considering transfer of funds between line items, and *before* exceeding a line-item budget.

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

**Note:** Failure to obtain approval from DRPT for line-item budget transfers or exceeding the budget in a line item may result in denial of reimbursement of the additional expenses for that line item, even if the total budget is not exceeded.

### **Key Steps**

1. **Contact DRPT Program Manager:** The first step in a line-item funds transfer is to contact a DRPT Program Manager and discuss the reason for the change. If the DRPT Program Manager deems the change and the reasons for the change meet the requirements for a line-item budget transfer, the Program Manager will provide the grant recipient with the appropriate form for the request through WebGrants.

2. **Submit Request:** The grant recipient should submit the appropriate request form soon after it has been received from the DRPT Program Manager. Grant recipients should complete all parts of the form and provide all relevant information for the line-item budget change request, including a justification and reason for the change, an assessment of how it will impact the project's activities and results, as well as new milestones. The form must be signed and dated by an authorized agent of the recipient's agency.
3. **DRPT's Review of Request:** The DRPT Program Manager will review the request and approve or deny the request. DRPT's decision will be provided to the grant recipient and will include a reason for denial. If the requestor disagrees with the decision, the requestor has 10 business days from the date of notification by DRPT to appeal a denial of the request to DRPT's Chief of Public Transportation.

## Section 8.3 – Scope Change Request

DRPT will not approve scope changes that materially change the original scope or have a negative impact on the ability of the project to meet the project and grant goals and objectives. Scope changes may not increase the total budget of the project as approved in the SYIP.

In most cases where a scope change is being requested, DRPT will require that the grant recipient deobligate the fund balances from a completed line item or project and submit an application for the change requested (i.e., a new project) during the following grant cycle. If the recipient can justify why waiting until the next grant cycle is not practical (i.e., additional funds are needed to complete an on-going project or potential loss of federal funds), DRPT may consider approving the request off-cycle.

**Vehicle Replacement and Rehabilitation Projects:** For vehicle replacement projects, funding is tied to the Vehicle Identification Number (VIN) associated with the asset being replaced. To change the asset that will be replaced, the grantee is required to submit a scope change request for evaluation prior to delivery of the new vehicle. For vehicle rehabilitation projects, funding is not tied to a specific VIN. To change the asset that will be rehabilitated, a scope change request is not required.

### Key Steps

1. **Contact DRPT Program Manager:** Before submitting a scope change request, the grant recipient should contact their DRPT Program Manager and discuss the reason for the change.

2. **Submit Scope Change Request:** The grant recipient must submit the Scope Change request in WebGrants. The request must include a justification for the scope change.
3. **DRPT Review of the Scope Change Request:** The DRPT Program Manager will review the request and approve or deny the request. The DRPT Program Manager may contact the requestor for more information prior to deciding. DRPT's decision will be provided to the grant recipient and will include a reason for denial. If the requestor disagrees with the decision, the requestor has 10 business days from the date of notification by DRPT to appeal a denial of the request to DRPT's Chief of Public Transportation.

## Section 8.4 – Budget and Scope Requests for SMART SCALE Projects

Commonwealth of Virginia law requires that all projects evaluated under the SMART SCALE prioritization process be analyzed using an objective, data-driven approach comparing project benefits, costs, and other submitted projects across the state. It is assumed that the project's scope and budget will remain consistent throughout the lifecycle of the project.

When components of an awarded project change, it can impact the project's assumed benefits at the time of project selection. The **SMART SCALE Project Change Guide** was developed to offer guidance to SMART SCALE award recipients in the event that such changes are unavoidable. By reviewing this document, award recipients can understand the potential impacts of changes and what to expect during the project change process. **Applicants must request approval from the Commonwealth for project changes before implementation of the change.**

### Key steps for seeking approval for a SMART SCALE project change:

1. **Grant Recipient Notifies DRPT Program Manager:** The grant recipient must inform their DRPT Program Manager about any potential scope and/or budget changes. This notification should include all relevant details and an assessment of how the proposed change might affect the project benefits identified during the original funding application (e.g., explain how relocating a planned transit stop could alter projected ridership benefits).
1. **DRPT Program Manager Alerts SMART SCALE Point of Contact:** The DRPT Program Manager will forward the request to the DRPT SMART SCALE Point of Contact (POC). The DRPT SMART SCALE POC will evaluate the request to determine if it qualifies as a scope and/or budget change requiring review by the Committee on Project Change.

2. **Committee on Project Change Reviews Request:** The Committee on Project Change, consisting of staff from DRPT, VDOT, and OIPI, will review the proposed change if applicable. Based on the information provided, they will approve or deny the request. The Committee may contact the grant recipient if additional information is needed.
3. **Decision and Next Steps:**
  - If the change is approved and falls *below* the established threshold, the Committee completes a project change form.
  - If the change is recommended for approval but is *above* the threshold, it will be presented to the Commonwealth Transportation Board for their consideration and final approval.
  - If the Committee denies the request, they will provide feedback to the grant recipient, potentially suggesting alternative actions if the project cannot proceed as originally planned.

## Chapter 9: Training Assistance

DRPT administers two training scholarships, the **FTA Section 5311 Rural Transit Assistance Program (RTAP)** and the State-funded Small Urban Training Program.

Scholarships are available through DRPT for RTAP funds to assist rural and specialized transit operations to further the development of management skills and to encourage the development of professional networks by attending transit training, seminars, workshops, and conferences. It is worth noting:

- All RTAP requests must be submitted through WebGrants
- All approved RTAP grant scholarships will be reimbursed up to **100%** of eligible expenses
- All approved Small Urban Training grant scholarships will be reimbursed up to **80%** of eligible expenses



### Section 9.1 – Eligible Applicants

Rural Areas: Public and non-profit organizations that provide transportation services or mobility management services in non-urbanized areas of Virginia are eligible to apply. This training assistance is funded through the FTA Section 5311 program.

Small Urbanized Areas: Providers of specialized transportation or mobility management services in urbanized areas, such as FTA Section 5310 funded agencies, as well as FTA Section 5307 public transit operators in small, urbanized areas, have many of the same training and technical assistance needs as transit providers in urbanized areas. DRPT permits participation by these providers, at the State’s discretion, as long as the activities are primarily designed and delivered to benefit small urban transit providers.

### Section 9.2 – Eligible Program Criteria

Scholarships are available to reimburse organizations for courses, workshops, seminars, driver “Roadeos”, and conferences with subject matter applicable to rural and specialized transportation and appropriate to the level of expertise of the person(s) attending. Scholarship funds may not be used for lobbying activity and may not be passed through to for-profit organizations under contract to FTA Section 5310 and FTA Section 5311 recipients. There is a maximum of 2 people per agency for

out of state travel. Please see below small urban providers that are eligible for training assistance scholarships:

Eligible Small Urban Providers:

- Blacksburg Transit
- Bristol Transit
- Central Shenandoah Planning District Commission
- Charlottesville Area Transit
- Fredericksburg Area Transit
- Greater Lynchburg Transit
- Harrisonburg Transit
- Williamsburg Area Transit
- Winchester Transit

## Section 9.3 – RTAP and SUT Application Procedures

The below section outlines application procedures for applying for RTAP funding.

### Key Steps

1. **Submit an Application:** Applications for training assistance should be submitted in WebGrants at least 30 days prior to the requested program. A request should include: the program to be attended, staff to attend, detailed description on how the program will benefit the agency and staff, an itemized list of estimated expenses, and an agenda or brochure describing the program to be attended.
2. **DRPT Staff Review Application:** All applications will be reviewed by DRPT Program Managers for organization eligibility and program applicability. The individual submitting the application will be contacted by the DRPT Program Manager if additional information is needed and if the application is approved or denied.
3. **Grant Approval by DRPT:** Grant recipients will be notified via email if their application for funding is approved or rejected.
4. **Submit Claims in WebGrants:** All claims for RTAP and Small Urban Training grants will be submitted in WebGrants as identified in **Chapter 6** above. Reimbursement for expenses will be made to the agency, not the individual. In order to receive reimbursement, recipients should submit a detailed list of daily expenses on agency letterhead or EXCEL spreadsheet. This information

should include agency Federal ID# and enclose copies of hotel bills and receipts for all other travel expenses (except meals and mileage). These support documents need to be attachments to the request in WebGrants as pdf or EXCEL. The claim should be submitted to DRPT within 30 days of completion of travel.

**Note:** If applicable, a certificate of completion/attendance may be required along with reimbursement documents.

5. **Unspent balances:** Unspent balances must be deobligated in WebGrants.

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

- Maximum reimbursement rates for hotel rooms, hotel taxes, and meals are limited to rates in the effective edition of the **Federal General Services Administration (GSA) Travel Guidelines** and should be included in the training assistance application.
- Meals provided as part of the conference or training should be identified and deducted per GSA Per Diem rates.
- Air, bus, and train fares must be booked at the lowest available coach rates. Consider possible airfare increases between the time of your application submission and the time the request is approved. Estimated luggage fees should also be itemized.
- Include any registration fees in the request.
- Rental car fees are not eligible for reimbursement unless it is demonstrated that the location of the program and lodging make public transportation, shuttles, or walking inaccessible or inappropriate.
- AirBnB, Vrbo, and other rentals booked through other home-sharing services are not eligible travel expenses.
- Mileage is not reimbursable through RTAP.

# Chapter 10: Project Oversight

As a grant funding agency, DRPT is responsible for seeing that public funds are spent within all applicable rules and regulations and achieve a benefit for the Commonwealth. As part of DRPT's effort to carry out this responsibility, DRPT will conduct regular meetings, both in-person and virtually, with grant recipients to discuss the progress, activities, and expenses of each project.

## Section 10.1 – Project Reviews

DRPT Program Managers will hold project review meetings at least quarterly to provide transit and CAP grant recipients with technical assistance and to ensure DRPT-funded projects are proceeding according to plan. Meetings will be scheduled monthly, bi-monthly or quarterly, with at least one on-site meeting held annually. Grant recipients should be prepared to answer questions about the progress and performance of their projects during the scheduled project review meetings.

1. **Project Review Meeting Schedule:** DRPT Program Managers will schedule monthly, bi-monthly, or quarterly meetings with transit and CAP grant recipients.
2. **Project Updates:** All DRPT-funded projects will be discussed to evaluate progress towards their completion, milestone updates; problems encountered and proposed resolutions; and anticipated progress during the next quarter. The DRPT Program Manager may request a summary report, copies of invoices, proof of payment or other documents for the review.
3. **Technical Assistance:** The DRPT Program Manager may provide technical assistance as required or requested by the transit or CAP grant recipient and respond to inquiries that the recipient may have regarding projects or other programs and services offered by DRPT.
4. **Correspondence:** Grant recipients are encouraged to use the “Correspondence” grant component in WebGrants to send their DRPT Program Manager a message or question about a specific grant. This grant component provides a platform for sharing information between the grant recipient and DRPT regarding a specific project and creates a record that will remain with the grant in the future.

5. **Other Topics:** The DRPT Program Manager may also review other topics, including but not limited to:
- Title VI and ADA complaints
  - Drug and Alcohol compliance
  - WebGrants contact information
  - TransAM inventory
  - FTA or DRPT compliance reviews
  - Recent accidents or safety concerns
  - Performance Data

## Section 10.2 – Engineering Oversight

DRPT-sponsored projects that involve design and/or construction activities will have some level of engineering oversight activities performed by either DRPT staff or a General Engineering Consultant (GEC) representing DRPT.

The level of engineering oversight required on a project will be determined according to risk, to be identified on an individual project basis by DRPT staff. Three main categories will determine the perceived risk of a project: the funding source, the cost and complexity of a project, and the grantee experience administering similar projects. The resulting risk level that is determined, either low, moderate, or high, will dictate the engineering oversight activities DRPT may participate in throughout the project.

The table below details the three possible levels of engineering involvement in DRPT-sponsored projects and the corresponding oversight activities that the grantee can expect to occur.

Oversight Level (Risk)	Minimum Oversight Activities
<b>Low</b>	<ul style="list-style-type: none"> <li>• Provide oversight with in-house staff or use General Engineering Consultant (GEC)</li> <li>• Attend project kick-off meeting</li> <li>• Attend occasional project meetings as needed for updates</li> <li>• Final plans, estimate, and construction schedule to be submitted to DRPT for record-keeping purposes</li> </ul>
<b>Moderate</b>	<ul style="list-style-type: none"> <li>• Provide oversight through a GEC or in-house staff</li> <li>• Attend project kick-off meeting</li> <li>• Attend bi-weekly or monthly project status meetings</li> <li>• Review project procurement documents (RFP package, IFB package, bid submittals, etc.)</li> </ul>

	<ul style="list-style-type: none"> <li>• Perform high-level review of design phase plans, cost estimates, and schedules</li> <li>• Attend additional/other project meetings as needed</li> <li>• Attend construction kick-off meeting</li> <li>• Perform monthly or quarterly site compliance visits during construction</li> </ul>
<p><b>High</b></p>	<ul style="list-style-type: none"> <li>• Provide oversight through a Project Management Oversight Consultant (PMOC) or GEC</li> <li>• Attend project kick-off meeting</li> <li>• Attend weekly or bi-weekly project status meetings</li> <li>• Review project procurement documents (RFP package, IFB package, bid submittals, etc.)</li> <li>• Perform detailed review of design phase plans, cost estimates, and schedules</li> <li>• Attend construction kick-off meeting</li> <li>• Attend major milestone meetings or activities (i.e., risk register development, punch list development, substantial completion inspection, project closeout, etc.)</li> <li>• Perform site compliance and construction observation visits weekly or bi-weekly and as needed</li> <li>• Attend public meetings</li> </ul>

Should new concerns arise or alternatively should concerns be addressed as a project advances, it is possible that the risk and corresponding level of oversight on a project may change midway through design and/or construction.

When evaluating cost estimates for project funding applications, grant recipients should consider costs for project and construction management services throughout the development and delivery phases of the construction project to monitor project scope, schedule, risks, actual costs and budgets.

Grantees should engage a professional construction management firm to evaluate project design for grant-compliance, risk management, cost estimates, and project development and delivery schedules.

Grantees should anticipate that if DRPT will be reviewing project plan sets, and the grantee should incorporate a 30-day review period for stakeholders into the project schedule. DRPT will provide review comments on the plan set in a comment-response matrix form. The designer will respond to review comments in the matrix response column that will then be sent back to DRPT for concurrence. The comment-response matrix is intended to be a working document and may involve an iterative review process. DRPT expects the grantee will accommodate DRPT

oversight activities into the project schedule. DRPT will cover the costs for the review and meeting attendance internally. DRPT will pay for DRPT's oversight activities, and the grant funding already applied to a project will not be charged.

**Note:** The FTA Section 5311 funds administered by DRPT have additional requirements for facility-type projects. Facility-type projects are defined as the improvement or construction of transit maintenance and operations facilities, the purchase and installation of bus stop signs and shelters, real estate/ right-of-way acquisition, and safety and security equipment. Guidance on these additional requirements can be found on the FTA 5311 page on the DRPT website .

## Chapter 11: Grant Close-Out

When a project is complete, the project must be officially closed out by recipients and DRPT. This can be done in WebGrants through either a final claim or a deobligation request.



Click [here](#) to access a tutorial detailing final claims and deobligation requests in WebGrants.

### Key Steps

1. **Submission of Final Claim:** The final claim must be submitted through WebGrants within 90 calendar days after the final expenditure or project expiration date, whichever occurs first. The claim submission form includes a box to be checked to indicate that it is the final claim.
2. **Notification of Expiring and Expired Grants:** DRPT's WebGrants system automatically sends email notifications to alert the transit and CAP grant recipient's WebGrants when projects are about to expire, when the project has expired, and at the deadline for submitting a final claim.
3. **Project Extension:** DRPT will routinely run reports to review projects nearing their end dates. DRPT Program Managers will communicate with grant recipients via WebGrants Correspondence on whether an extension is needed or whether the project should be closed. However, it is the grant recipient's responsibility to request an extension, if necessary, within the timeframe detailed in [section 8.1](#).
4. **Notification of Project Closeout by Grant Recipient:** If the grant recipient wishes to closeout a project, the recipient must request a project closeout by sending their DRPT Program Manager a message using the Correspondence feature in WebGrants. The grant recipient should verify that all final invoices on the project have been paid prior to submitting a project closeout request in WebGrants. Project closeout requests should be completed regardless of whether a project has an executed grant agreement. Once the DRPT Program Manager verifies that final project invoices have been paid and any special conditions on the grant have been fulfilled, the DRPT Program Manager will toggle the project from "Underway" status to "Closed" status in WebGrants. Projects in "Closed" status can no longer incur claims and are locked from any

other grant activity. Once the project has been shifted to “Closed” status, DRPT Financial Programming will deobligate the remaining balance on the project.

5. **Notification of Project Closeout by DRPT:** As indicated in Step 2 of this section, WebGrants will send automated alerts to grant recipients when projects are about to expire, when the project has expired, and at the deadline for submitting a final claim. Any projects that are passed 90 days from their expiration dates may be automatically closed and deobligated by DRPT. To prevent automatic project closeout and deobligation, grant recipients are encouraged to regularly monitor project end dates in WebGrants and submit extension requests, if necessary.

# Chapter 12: Asset Management

This chapter provides information on key asset management functions along with details on several key processes surrounding asset management from manufacturing to data inventories, to vehicle sale and disposal.

## Section 12.1 – Transit Vehicle Manufacturers (TVMs)

Transit Vehicle Manufacturers (TVMs) refers to any manufacturer whose primary business purpose is to build vehicles specifically for mass public transportation. These vehicles can include buses, rail cars, trolleys, ferries, and vehicles that serve paratransit purposes. For any recipients of FTA funds, it is federally required that each recipient certifies that their selected TVM is compliant with the TVM DBE requirements. Recipients are required to report this information within 30 days of the notice of award.

More information on completing this required reporting can be found [here](#).

### 5311 Agencies

DRPT is responsible for 5311 reporting to FTA. The following documents need to be sent to DRPT in a timely fashion to ensure on-time submissions: cost of vehicles, copy of the purchase order, name of the manufacturer, the total value of the contract, and the date of award (when the grantee places the order, not when the grantee receives the vehicle). DRPT must file this information with FTA within 30 days of the award date.

## Section 12.2 – Capital Asset Inventory

All recipients of state capital assistance funding are required to enter asset inventory information in DRPT's online transportation asset management system, **TransAM**. This information is used to verify asset conditions and for determining when an asset qualifies for replacement. Please note all update requirements for vehicles, facilities, and infrastructure below:

### Vehicles

All revenue vehicles and non-revenue vehicles (i.e. support vehicles) must be logged in TransAM when they are put into service. Odometer readings for all vehicles must be updated twice annually on July 15 and January 15. In addition, transit agencies are encouraged to update the condition assessment of all vehicles when odometer

readings are updated. All vehicles, regardless of the funding source used to acquire them, should be reported in TransAM to maintain a complete log of transit assets and funding needs on a statewide basis. Vehicles that are not entered in TransAM will be ineligible for prioritization under the State of Good Repair prioritization in MERIT.

### **Facilities and Infrastructure**

All transit facilities and infrastructure must be logged in TransAM, and condition assessments must be updated annually. Please note that for all Tier II transit agencies (see additional details below), DRPT sponsors detailed facility condition assessments to be completed for all facilities statewide on a four-year rolling schedule as part of the Transit Asset Management (TAM) planning process. Tier I and rural transit agencies may also opt to participate in DRPT-sponsored detailed facility condition assessments as needed.

## **Section 12.3 – Transit Asset Management (TAM) Plan**

On July 26, 2016, FTA published a **Final Rule for Transit Asset Management (TAM) in Federal Register Volume 81, Number 143**. The rule requires that all transit providers receiving funding under 46 U.S.C Chapter 53 and own, operate, or manage capital assets used in the provision of public transportation create a TAM plan. Recipients must develop asset management plans for their public transportation assets, including vehicles, facilities, equipment, and other infrastructure. Requirements under the Final Rule vary based on a number of factors including agency size, type of services offered and funding source. At a minimum, all TAM Plans must include an asset inventory, condition assessments of inventoried assets, and a prioritized list of investments to improve the state of good repair of their capital assets.

The TAM rule provides different levels of requirements based on whether an agency is a Tier I or Tier II agency. The table below identifies the differences between the tiers.

Tier I	Tier II
Operates Rail	Sub-recipient of 5311 funds
<b>OR</b>	<b>OR</b>
≥ 101 vehicles across all fixed route modes	American Indian Tribe
<b>OR</b>	<b>OR</b>
≥ 101 vehicles in one non-fixed route mode	≤ 100 Vehicles across all fixed route modes
	<b>OR</b>
	≤ 100 Vehicles in one non-fixed route mode


**Tier I**

Agencies are required to create their own TAM plans. Tier I agencies are defined as public transportation providers that operate rail, or have 101 vehicles or more across all fixed route modes, or have 101 vehicles or more in one non-fixed route mode.

**Tier II**

Providers may either participate in a group plan or opt out and develop their own TAM Plan. DRPT sponsors a group plan for all interested recipients classified as a Tier II provider. A Tier II provider is defined as a sub-recipient of Formula Grants for Rural (FTA 5311) or Urbanized Areas (FTA 5307) Funds, an American Indian Tribe, a provider with 100 or less vehicles across all fixed route modes, or a provider with 100 or less vehicles in one non-fixed route mode. Tier II providers that participate in DRPT’s group plan are required to regularly update and maintain their asset inventories in TransAM which must include asset condition assessments for vehicles and facilities. Parts of the plan include: measurable state-wide state of good repair goals, a decision support tool to aid in making asset investment decisions, and a list of funding priorities based on TAM targets.

Group plan participants are expected to work closely with DRPT throughout the TAM Plan creation and update process to ensure that all FTA requirements are met. This includes maintaining accurate asset inventories in TransAM so DRPT can update the Tier II Statewide TAM performance measure targets annually.

 Annual TAM performance targets and inventory data is available to view and download on DRPT’s **Open Data Portal**.

The plan must be updated every four years. The current Tier II Group plan was fully updated in October 2022 and will remain in effect until adoption of the new plan in September 2026.

## Section 12.4 – Disposal of Vehicles: Non-FTA 5311

Providers must use property for appropriate project purposes for the duration of the useful life of the property. Once a vehicle has reached the end of its useful life, the recipient should notify their DRPT program manager that a vehicle is to be disposed. Disposition of equipment before the end of useful life requires DRPT approval prior to the disposition; the recipient is responsible for notifying FTA as appropriate.

If a sub-recipient no longer needs the vehicle for the purpose for which it was acquired and the vehicle that is not past its useful life, DRPT can help to find another eligible recipient who may be interested in receiving the vehicle. The original recipient will be reimbursed for local interest of the fair market value of the vehicle by the new recipient.

After the equipment's useful life is expended with prior DRPT approval, the recipient may sell its state assisted property for which there is no longer any public transportation purpose.

The state portion of any funds received from vehicle sale must go to transit related projects. DRPT will not request funds received to be returned. The recipient must inform the appropriate DRPT contact of the disposition within a reasonable amount of time. The recipient must update the DRPT **Asset Management inventory database (TransAM)** by recording the disposition, final mileage, sales price, and date.

## Section 12.5 – Disposal of Vehicles: Rural Providers (FTA 5311)

Providers must use property for appropriate project purposes for the duration of the useful life of the property. Because DRPT is the recipient of the FTA 5311 funds, the agency is held responsible by the federal government for the appropriate usage and disposition of this equipment. For that reason, DRPT maintains the title on all FTA 5311 vehicles for the duration of their useful life. DRPT also provides a state match for the FTA 5311 funds.

Once a vehicle has reached the end of its useful life, the sub-recipient should send a written request to DRPT for the title to be released. If eligible, DRPT will release the title so the vehicle may be sold or otherwise disposed. DRPT will send the title to the sub-recipient upon request after the completion of the vehicle's useful life. Disposition of equipment before the end of useful life requires DRPT approval prior

to the disposition; DRPT will then notify FTA. If a sub-recipient no longer needs the vehicle for the purpose for which it was acquired and requests a title for a vehicle that is not past its useful life, DRPT will seek to have the vehicle transferred to another eligible sub-recipient. The original sub-recipient will be reimbursed for local interest of the fair market value of the vehicle by the new sub-recipient. If DRPT cannot find an eligible sub-recipient for the vehicle and both DRPT and FTA approve, the vehicle can be sold by the original sub-recipient.

**DRPT has three processes for title release:**

1. **For vehicles titled prior to June 2021**, DRPT retains paper titles (if available) bearing the sub-recipient's name as owner and reflecting a DRPT lien. DRPT staff will sign the lien section on the paper title to release the lien on the vehicle and will mail the title to the sub-recipient along with a lien release letter. Sub-recipients are then required to take the paper title and a completed VSA-17A to their local Virginia Department of Motor Vehicles (DMV) office to obtain a new, clear paper title with no lien reflected. This ensures that the DMV has a record of the lien being released prior to sale or disposal.
2. **For vehicles titled prior to June 2021 for which DRPT does not have a paper title**, a lien release letter will be provided. The sub-recipient should then take the lien release letter and a VSA-17A to the local DMV to obtain a new, clear paper title.
3. **For vehicles titled after June 2021**, DRPT manages an electronic title record. When a lien is released on an electronic title, the DMV will directly mail a new, clear title to the sub-recipient. A lien release letter may be provided but will not be needed by the DMV.

After the equipment's useful life is expended with prior DRPT approval, the recipient may sell its federally assisted property for which there is no longer any public transportation purpose.

Disposition of equipment and supplies acquired using FTA funds is governed by both 2 CFR Part 200 and 49 USC § 5334(h)(4)(B). For vehicles that were purchased with Section 5311 funds or other Federal assistance, and no longer needed for a transit purpose, sold for \$10,000 or less, the subrecipient may retain the full proceeds from the disposition. If the proceeds are greater than \$10,000, then per 49 USC § 5334(h)(4)(B) the subrecipient may retain \$5,000 plus the percentage of the state and/or local share of any additional amount. Subrecipients must return the balance to DRPT as a pass-through to the FTA. In either case, selling or handling expenses are not permitted to be deducted from the amount returned or in determining the

sale proceeds. If the equipment is sold for less than \$10,000, the grantee still must inform DRPT. The proceeds are to be indicated in their General Ledger and noted as such. These proceeds are to be used by the transit agency, for transit purposes. This is applied to all dispositions on or after October 1, 2024.

To comply with this requirement, please work with your DRPT Program Manager to fill out any necessary forms.

All sub-recipients should maintain active **DMVNow** accounts. Upon sale or disposal of a vehicle, the sub-recipient should record the vehicle as sold in the DMVNow account.

If new applications are not immediately anticipated, the recipient must inform the appropriate DRPT contact of the disposition within a reasonable amount of time. Otherwise, the subsequent capital application should contain information that the gross project cost has been reduced with proceeds from earlier capital disposition. DRPT will notify FTA as appropriate. The sub-recipient must update the DRPT **Asset Management inventory database (TransAM)** by recording the disposition, final mileage, sales price, and date. The sub-recipient must also register the sale with the DMV. This can be completed online, and it protects both the sub-recipient and DRPT in case the vehicle purchaser does not complete the registration of the vehicle in their name.

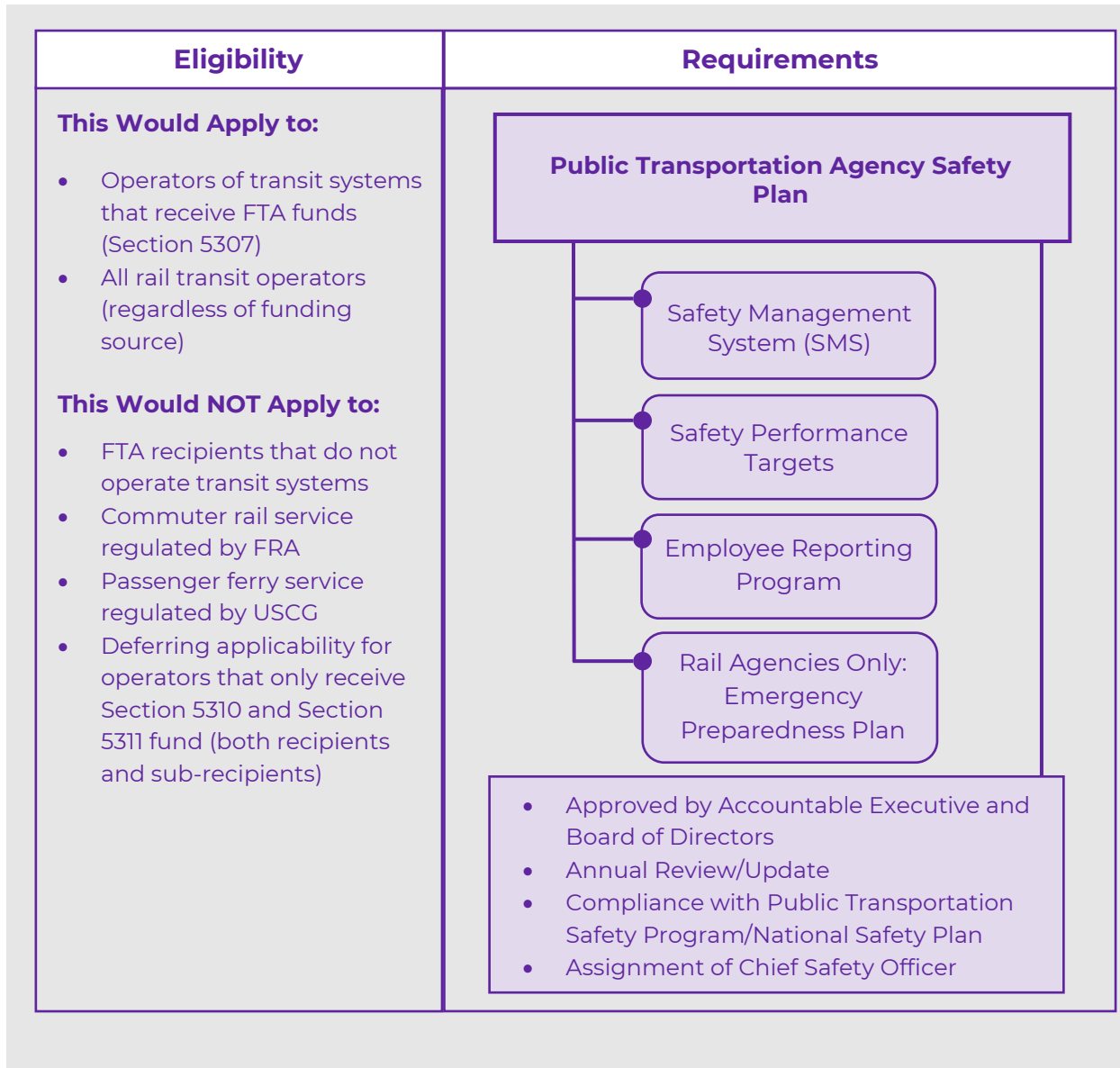
# Chapter 13: Public Transportation Safety Plan

On July 19, 2018, **FTA published the Public Transportation Agency Safety Plan (PTASP) Final Rule in Federal Register Volume 83, Number 139**. This rule requires that operators of public transportation systems receiving FTA funds must develop safety plans that include the processes and procedures necessary for implementing Safety Management Systems (SMS). This rule is intended to help transit agencies manage safety risks while prioritizing capital investments that promote safety.

**Public Transportation Agency Safety Plans (PTASP)** regulation in **49 CFR part 673** requires operators of public transportation systems that receive federal funds under the FTA **Urbanized Area Formula Grants (Section 5307)**, and rail transit agencies subject to the FTA **State Safety Oversight (SSO) Program**, to develop an Agency Safety Plan (ASP) that includes the processes and procedures to implement a Safety Management System (SMS), a comprehensive, collaborative, and systematic approach to managing safety.

A PTASP must include documentation and analysis of four main topic areas: safety management policy, safety risk management, safety assurance, and safety promotion. The plan must also include safety performance measures. Transit agencies subject to the PTASP regulation are responsible for complying with all relevant policies. This includes an annual review/update of agency safety plans and reviews by relevant committees and authorities.

FTA provides PTASP technical support through the **PTASP Technical Assistance Center**.



DRPT sponsors a group plan for all small public transportation providers in Virginia that wish to participate. **Small public transportation providers choosing to opt-out of DRPT's PTASP are required to draft and certify their own plans.** The Tier II Group PTASP plan was finalized in July 2020. Participating transit agencies are responsible for annually reviewing and updating their section of the group plan. The annual review must be completed before July 20th each year in accordance with **(§673.11(a)(5))**. The accountable executive and equivalent authority (board) must approve every revision to the Agency Safety Plan.

# Chapter 14: Submission of Audited Financial Statements

On an annual basis, recipients are required to submit their audited financial statements, more commonly known as an Annual Comprehensive Financial Report (ACFR) to DRPT in the Compliance module in WebGrants. ACFRs must be submitted in WebGrants within six months of the end of the recipient's Fiscal Year End.

## Key Steps

1. **Recipient Submission of Audited Financial Statement:** Recipients upload a copy of their ACFR to WebGrants. Audited financial statements must be submitted within 180 days after fiscal year end. WebGrants will notify recipients of the pending deadline for report submission. If an extension is needed, a written request should be made to the DRPT Program Manager.
2. **Review by DRPT:** The DRPT Audit Team and Program Managers review the recipient's audited financial statements upon receipt. Any significant issues of concern that are revealed will be shared and discussed with the recipient. If audited financial statements contain any findings, DRPT may require a Corrective Action Plan that describes the steps the recipient will take to address the findings.

# Chapter 15: Financial Compliance Review

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

## Key Steps

1. **Notification of Selection:** Several recipients are selected for compliance reviews on a quarterly basis. Selected recipients are notified at the beginning of the quarter, informed of the documentation to have available for review, and provided the option to contact the DRPT Audit Manager or consulting firm with any questions.
2. **Consultation with Program Manager:** The DRPT Audit Manager consults with each selected agency's Program Manager to determine whether there are any issues that should be considered during the compliance review.
3. **Desk Review:** The DRPT Audit Team or consulting firm will review all supporting documentation provided by the recipient for selected claims to ensure that the recipient is conducting the grant-funded projects in compliance with the applicable master agreements and project agreements.
4. **On-Site Review:** After the desk review is completed, the DRPT Audit Team or consulting firm will contact the recipient with any questions they may have. They will also set up the dates for the on-site portion of the compliance review.
5. **Identification of Issues:** If issues are identified, the DRPT Audit Team or consulting firm will discuss them with the recipient and offer the opportunity to provide more documentation in hopes of resolving the potential issue.
6. **Documentation of Findings:** Each finding is documented on a standard form, called an Audit Issue Fact Sheet, which summarizes the project and the issues to be addressed. Recipients sign off on the finding, indicating that the finding

was discussed with them. Signing this form does not indicate that the recipient agrees with the finding. The documented findings are compiled in a compliance review report.

7. **Review of Report:** A Draft DRPT Compliance Review Report will be created and sent to the recipient for their review. If a corrective action plan is required, the recipient will be required to submit the corrective action plan to DRPT. The compliance review report is then updated by the DRPT Audit Team to include the corrective action plan if needed. The Compliance Review Report is then submitted to DRPT management for review.
  
8. **Approval and Transmittal of Report:** After the Chief Financial Officer signs off on the final report, the DRPT Audit Team will send it to the recipient with the corrective action plan included as Appendix B. The final report will also be uploaded to the Compliance module in WebGrants. Each audit finding will also be entered in WebGrants with the due date noted in the corrective action plan. Recipients must submit corrective actions (e.g. new/updated policies/procedures, updated records, etc.) in WebGrants and notify the DRPT Program Manager upon submittal. The Program Manager will review the corrective action to determine if it meets the requirements of the audit finding recommendation. If the corrective action is insufficient, the Program Manager will notify the recipient. If the corrective action is sufficient, the Program Manager will change the finding status to “Compliant” in WebGrants.

## Chapter 16: Capital Budgeting

DRPT requires all applicants receiving transit operating assistance to submit a 5-year capital budget to DRPT each year. This information is used to determine capital funding needs for the future SYIP and supports the preparation of the STIP. The transit capital budget process begins in April each year and is completed by June.

DRPT depends on agencies to create 5-year capital budgets that are both accurate and complete, with reasonable projections to perform analyses and inform statewide funding discussions.

Statewide planners depend on the accuracy of forecasting the funding needs of transit agencies. Therefore, it is important to not over-estimate. When developing a 5-year capital budget, it is important to identify those “projects that will realistically be implemented” each year for the next five fiscal years.

DRPT reviews 5-year budgets submitted and identifies whether projects will realistically be implemented in the year provided and whether the cost estimates are still accurate.

**The estimated funding included in this list should be what each agency intends to apply for in each future fiscal year, not the expected spending each year.**

Projects that will be “realistically implemented” are those for which local funding match is expected to be available.

**Note:** This process should go beyond the federal guidelines of identifying projects for which funding sources are reasonably expected to be available and identify only those that can be implemented with funding that is expected to be available and committed.

### Key Steps

1. **Receive Notification:** Look out for an email from your DRPT Program Manager in April each year, which will include further instructions and due dates for the 5-Year Capital budget process.
2. **Enter Capital Budgets:** All participants must enter all projected capital projects. This should include project descriptions, quantities, and costs, along with anticipated federal funding shares. This should only include projects that will be seeking new DRPT funding over the next five fiscal years beginning after the current SYIP. For example, if the FY26 SYIP is currently underway, DRPT will collect 5-year capital budget information for FY27-FY31. This should include any projects that were not recommended for funding in the SYIP currently being developed if DRPT funding will be sought in the future to implement them. Budgets submitted and approved in the previous fiscal year will be provided to use as a basis for building a new plan.
3. **Submit and Review Capital Budgets:** Grantees are to review proposed budgets with the DRPT Program Manager and submit them to DRPT by late May each year.

# Glossary

Acronym/Term	Definition/Explanation
<b>ACFR</b>	Annual Comprehensive Financial Report.
<b>ATL</b>	Average Trip Length. The average distance ridden for an unlinked passenger trip (UPT) by time period (weekday, Saturday, Sunday) computed as passenger miles travelled (PMT) divided by unlinked passenger trips (UPT).
<b>BRT</b>	Bus Rapid Transit.
<b>CAP</b>	Commuter Assistance Program.
<b>CIP</b>	Capital Improvement Plan.
<b>CN</b>	Construction phase.
<b>CTB</b>	Commonwealth Transportation Board.
<b>CLRP</b>	Constrained Long Range Transportation Plan. The MPO's adopted Transportation Plan; serves as the initial step and framework in developing a regionally based network of transportation facilities and services that meets travel needs in the most efficient and effective manner possible.
<b>CMAQ</b>	Congestion Mitigation and Air Quality Improvement Program. Funding to projects that contribute to meeting national air quality standards in non-attainment areas for ozone and carbon monoxide.
<b>CR</b>	Commuter Rail. A transit mode that is an electric or diesel propelled railway for urban passenger train service consisting of local short distance travel operating between a central city and adjacent suburbs.
<b>DBE</b>	Disadvantaged Business Enterprise.
<b>DMV</b>	Department of Motor Vehicles.
<b>DEIS</b>	Draft Environmental Impact Statement. Federally required study that is precursor to all major transportation projects and their ability to receive federal funding. Examines potential environmental, community, and other major impacts a proposed transportation project may have.
<b>DR</b>	Demand Response. A transit mode comprised of passenger cars, vans or small buses operating in response to calls from passengers or their agents to the transit operator, who then dispatches a vehicle to pick up the passengers and transport them to their destinations.
<b>DRPT</b>	Department of Rail and Public Transportation.
<b>EIS</b>	Environmental Impact Statement. A National Environmental Policy Act (NEPA) document that explains the purpose and need for a project, presents project alternatives, analyzes the likely impact of each, explains the choice of a preferred

	alternative, and finally details measures to be taken in order to mitigate the impacts of the preferred alternative.
<b>ESL</b>	Estimated Service Life. The FTA standard for minimum service life of a specific type of asset.
<b>FEIS</b>	Final Environmental Impact Statement. The final part of the DEIS process which reflects the extensive review and public comments of a DEIS.
<b>FHWA</b>	Federal Highway Administration. Division of the U.S. Department of Transportation responsible for administrating federal highway transportation programs under title 23 U.S.C.
<b>Fixed Route</b>	A system that provides designated public transportation in which a vehicle is operated along a prescribed or planned route according to a fixed schedule.
<b>FTA</b>	Federal Transit Administration. Federal entity responsible for transit planning and programs under title 9 U.S.C.
<b>FY</b>	Fiscal Year. A one-year period used for financial reporting and budgeting. In Virginia, the fiscal year starts on July 1.
<b>GEC</b>	General Engineering Consultant.
<b>GSA</b>	The General Service Administration. An independent agency of the United States government that supports the management of basic government functions.
<b>Heavy Rail</b>	An electric railway system that has the capacity to handle a heavy volume of traffic, this contrasts with light rail systems, which usually handle a smaller volume.
<b>HSR</b>	High Speed Rail.
<b>ICRP</b>	Indirect Cost Rate Proposal.
<b>Intermodal Transportation</b>	Refers to transport by two or more modes of transportation. For example, passenger stations which provide transfers between buses and trains are described as intermodal.
<b>IRS</b>	Internal Revenue Service. Body that determines mileage rates.
<b>ITB</b>	Inside the Beltway. The portion of I-66 east of I-495 (Capital Beltway). A certain portion of revenues from the tolling of this corridor will be dedicated to transit projects in this corridor.
<b>ITS</b>	Intelligent transportation systems. An advanced application which aims to provide innovative services relating to different modes of transport and traffic management, this system enables users to more effectively use transport networks.
<b>Light Rail</b>	A mode of urban rail transit that encompasses tram and metro features. Operates at a higher capacity and speed than tram and typically has a designated ROW.
<b>MAJ</b>	Major expansion projects for MERIT funding.
<b>MERIT</b>	Making Efficient and Responsible Investments in Transit- is the Virginia Department of Rail and Public Transportation's (DRPT) statewide public transportation grants program.

<b>MG</b>	Minimum Guarantee. A funding category created in TEA-21 that guarantees a 90% return of contributions on formula funds to every state.
<b>MIN</b>	Minor enhancement projects for MERIT funding.
<b>Mobility Management</b>	Part of our Human Services programming, mobility management focuses on coordination between public transportation providers and other human service agencies providing transportation to enhance access to transportation beyond one organization. This includes the process of connecting seniors and individuals with disabilities to transportation, but does not include operating costs.
<b>MOU</b>	Memorandum of Understanding.
<b>MPO</b>	Metropolitan Planning Organization, required in any urbanized area with a population greater than \$50,000.
<b>MSC</b>	Metro Safety Commission. Organization that will provide federally mandated state safety oversight of WMATA on behalf of Virginia, Maryland, and D.C.
<b>NVTC</b>	Northern Virginia Transportation Commission. Regional governance body allocating local, state, and federal funding to transit providers in Arlington and Fairfax Counties, and the Cities of Alexandria and Falls Church. Co-owner of VRE.
<b>WebGrants</b>	Online grant administration utilized by DRPT grantees.
<b>OTB</b>	Outside the Beltway. The portion of I-66 west of I-495 (Capital Beltway). A certain portion of revenues from the tolling of this corridor will be dedicated to transit projects in this corridor.
<b>OIPI</b>	Office of Intermodal Planning and Investment. Office will cooperatively coordinate the planning and execution of the SMART SCALE program and SYIP as it relates to both DRPT and VDOT.
<b>PE</b>	Preliminary Engineering. Significant phase of project planning and development.
<b>PMT</b>	Passenger Miles Travelled. The cumulative sum of the distances ridden by each passenger.
<b>PTASP</b>	Public Transportation Agency Safety Plan (required by FTA for all agencies who receive federal funding).
<b>ROW</b>	Strictly defined, a legally and physically separated strip of land for exclusive use by transit vehicles; crossings may be allowed, (2) Broadly defined, any path or way on which transit vehicles travel.
<b>RSTP</b>	Regional Surface Transportation Program.
<b>RTAP</b>	Rural Transit Assistance Program.
<b>SGR</b>	State of Good Repair for MERIT funding.
<b>SIP</b>	State Implementation Plan. Created for attainment maintenance of air quality standards.
<b>SMART SCALE</b>	System Management, and Allocation of Resources for Transportation/ Safety, Congestion, Land Use, Economic

	Development, and Environment. SMART SCALE is the resulting program that seeks to invest limited tax dollars in projects that meet the most critical transportation needs in Virginia through a data-based prioritization process.
<b>SMP</b>	Statewide Mobility Plan. VDOT's 10-year plan for adding capacity to the transportation system using the Mobility Category Funds of Federal and State Transportation funding.
<b>SSO</b>	State Safety Oversight. Federal law requires states provide safety oversight of rail transit agencies within their jurisdiction. In Virginia, this is limited to WMATA and HRT only.
<b>STIP</b>	Statewide Transportation and Improvement Program. The STIP is a multi-year capital improvement program of transportation projects on and off the State Highway System, funded with revenues from the State Highway Account and other funding sources.
<b>SYIP</b>	Six Year Improvement Program.
<b>TAM</b>	Transit Asset Management- a requirement for transit providers receiving funding under 46 U.S.C Chapter 53 and own, operate, or manage capital assets used in the provision of public transportation to plan for the inventory and longevity of assets.
<b>TEA-21</b>	Transportation Equity Act for the 21st Century: Federal Legislation authorizing funds for all modes of transportation and guidelines on the use of those funds. This landmark legislation that clarified the role of the MPOs in the local priority setting process. TEA-21 emphasizes increased public involvement, simplicity, flexibility, fairness, and higher funding levels for transportation.
<b>TDM</b>	Transportation (or Travel) Demand Management.
<b>TDP</b>	Transportation Development Plan.
<b>TIP</b>	Transportation Improvement Plan.
<b>TrAMS</b>	The Transit Award Management System. FTA's platform to award and manage federal grants.
<b>TransAM</b>	DRPT's online transportation asset management systems. All recipients of state capital assistance funding are required to enter asset inventory information for vehicles and facilities/infrastructure.
<b>TSDAC</b>	Transit Service Delivery Advisory Committee. Seven-member panel of transit grantees and DRPT staff tasked with technical and policy assessments of the delivery of DRPT transit capital and operating programs.
<b>TSP</b>	Transportation Strategic Plan.
<b>ULB</b>	Useful Life Benchmark. Useful life means either the expected life cycle of a capital asset or the acceptable period of use in service determined by FTA.
<b>UPC</b>	Uniform Project Code.
<b>UPT</b>	Unlinked Passenger Trips. The number of passengers who board public transportation vehicles. Passengers are counted

	each time they board vehicles no matter how many vehicles they use to travel from their origin to their destination.
<b>UZA</b>	Urbanized Areas (FHWA).
<b>VDOT</b>	Virginia Department of Transportation.
<b>VPRA</b>	Virginia Passenger Rail Authority.
<b>VRH</b>	Vehicle Revenue Hours. The hours that vehicles actually travel while in revenue service.
<b>VRM</b>	Vehicle Revenue Miles. The miles that vehicles actually travel while in revenue service.
<b>VOMS</b>	Vehicles Operated in Annual Maximum Service. The number of revenue vehicles operated to meet the annual maximum service requirement. This is the revenue vehicle count during the peak season of the year, on the week and day that maximum service is provided.