

2019 APPLICATION GUIDE – SECTIONS 5310 AND 5311

I. Introduction

1. A separate application is required for each program.
2. APPLICATIONS ARE DUE SEPTEMBER 15, 2017
3. Refer to the State Management Plan (SMP) to determine eligibility for grant program. The SMP provides all eligibility guidelines; http://dot.state.nm.us/content/nmdot/en/Transit_Rail.html
4. Start with the Checklist this will serve as a guide, working off this list will be a great tool.
5. The Project Coordination Section will take quite a bit of time to complete; please begin this section promptly in order to fully complete by the application deadline. The Appendix of the Application Guideline contains a recommended general timeline.
6. The BlackCat Users Guide can be found:
http://nmdot.blackcatgrants.com/Uploads/Documents/NM_State_User_Guide.pdf

II. Application Opportunities

1. Under the Application tab select a grant Application and click “Apply”. This will bring up the application page where the application will be created and submitted.
2. **Application Form(s)**: this is where all of the required and supporting documents will be uploaded.
3. **Project(s)**: are created under the “Projects” tab “.
4. **Project Listing**: Add New” to create all budget requests for Administration, Operating, and Capital projects.
 - ADMINISTRATION - select ALI Code 11.79.00
 - OPERATING - select ALI Code 30.09.01
 - CAPITAL - select the specific ALI Code per EACH capital item, even if there are two of the same capital items.

Project Information	
Year*:	2018 <input type="button" value="v"/>
Activity Line Item (ALI):	111215 -> Buy Replacement - Vans <input type="button" value="Lookup"/>
Description*:	Buy Replacement - Vans
Estimated Net Project Cost*:	\$90,000
Priority:	<input type="checkbox"/>
Quantity (if applicable):	<input type="checkbox"/>
Notes:	Glaval Universal E-450 Cutaway
Vehicle Information	
Vehicle To Be Replaced (VIN):	Replacement Vehicle #1

Project Information	
Year*:	2018 <input type="button" value="v"/>
Activity Line Item (ALI):	111215 -> Buy Replacement - Vans <input type="button" value="Lookup"/>
Description*:	Buy Replacement - Vans
Estimated Net Project Cost*:	\$90,000
Priority:	<input type="checkbox"/>
Quantity (if applicable):	<input type="checkbox"/>
Notes:	Glaval Universal E-450 Cutaway
Vehicle Information	
Vehicle To Be Replaced (VIN):	Replacement Vehicle #2

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Vehicle ALI Codes and Description

ALI Code	Description	ALI Code	Description	ALI Code	Description
11.12.01	Buy Replacement - Bus STD 40 FT	11.13.01	Buy Expansion - Bus STD 40 FT	11.14.01	Rehab / Rebuild - Bus STD 40 FT
11.12.02	Buy Replacement - Bus STD 35 FT	11.13.02	Buy Expansion - Bus STD 35 FT	11.14.02	Rehab / Rebuild - Bus STD 35 FT
11.12.03	Buy Replacement - Bus 30 FT	11.13.03	Buy Expansion - Bus 30 FT	11.14.03	Rehab / Rebuild - Bus 30 FT
11.12.04	Buy Replacement - Bus < 30 FT	11.13.04	Buy Expansion - Bus < 30 FT	11.14.04	Rehab / Rebuild - Bus < 30 FT
11.12.15	Buy Replacement - Vans	11.13.15	Buy Expansion - Vans	11.14.15	Rehab / Rebuild - Vans

All capital requests for vehicles require an estimate from the vendor with a price, a detailed description of the vehicle and its specifications, and a diagram or photo. The document must be uploaded in “Projects Documents” under the “Projects” tab.

If you are requesting capital for an expansion vehicle, a rehab/rebuild to a vehicle or facility, or a construction project, a document upload is required describing the new or expanded service or rehab/rebuild project and a preliminary price quote for the capital request. The document must be uploaded in “Projects Documents” under the “Projects” tab. No capital projects will be approved unless a complete explanation is provided with an accompanying price quote.

All capital requests for the acquisition of capital items require at least one price quote for the item and a detailed description of the item (from the same source). The document must be uploaded in “Projects Documents” under the “Projects” tab. Acquisition requests will be not approved unless a price quote and item description is provided.

Other Capital Items:

ALI Code	Description
11.32.06	Acquisition - Stationary Fare Collection Equip.
11.32.07	Acquisition - Surveillance / Security Equipment
11.32.08	Acquisition - Furni/Graphics
11.32.09	Acquisition - Bus Route Signing
11.32.10	Acquisition - Bus Passenger Shelters
11.32.20	Acquisition - Miscellaneous Bus Station Equip.
11.42.07	Acquisition - ADP Hardware
11.42.08	Acquisition - ADP Software
11.42.09	Acquisition - Surveillance / Security (Bus)
11.42.10	Acquisition - Fare Collection (Mobile)
11.44.01	Rehab / Renovation - Admin Building
11.44.02	Rehab / Renovation - Maintenance Facility
11.44.05	Rehab / Renovation - Yards & Shops
11.44.06	Rehab / Renovation - Shop Equipment
11.62.03	Acquisition - Radios
11.93.02	Construction - Bus Shelters

Procurement: Applicants who have updated their Procurement Policy during the past year or any new applicants must submit the Agency’s Procurement Policy.

II. Historical Financial and Budget Information

Sections 5310 and 5311 Applicants

Upload the following **financial information** into the “Application Form(s)” Section:

- 1 - Copy of Articles of Incorporation
- 2 - Copy of 501(c)3 Certification
- 3 - Copy of most current audit (one COMPLETE copy)
- 4 - If transit-related audit findings occurred, copy of corrective action response submitted to auditor.

Sections 5310 and 5311 Applicants: Provide a complete operating budget history for the last two (2) years and the application year (FFY 2019) projected budget. This would include the entire organization budget not just the transit division’s budget. Include all funding sources and the amounts received from each source.

Upload **historical budget information** into the “Application Form(s)” Section.

IV. Eligibility

Section 5310 Applicants: Please refer to FTA Advisory Circular 9070 https://www.transit.dot.gov/sites/fta.dot.gov/files/docs/C9070_1G_FINAL_circular_4-20-15%281%29.pdf for eligibility criteria to receive Section 5310 funds.

Section 5311 Applicants: Please refer to FTA Advisory Circular 9040 https://www.transit.dot.gov/sites/fta.dot.gov/files/docs/FTA_Circular_9040_1Gwith_index_-_Final_Revised_-_vm_10-15-14%281%29.pdf for eligibility criteria to receive Section 5311 funds.

Sections 5310 and 5311 Applicants: Upload a map of your service area (8 ½ X 11) and complete the following demographic information (please indicate the source of the information) in the “Application Form(s)” Section.

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Ethnicity Category	Population	%		%	Population	Seniors & Persons with Disability Category	
Black						Seniors (no disability)	
Hispanic						Persons with Disabilities (including seniors)	
Asian or Pacific Islander						Other (everyone else)	
American Indian or Alaskan Native			= TOTAL* =				
White							
Other							
*							*

V. Service Characteristics

During the initial set up of your Organization you will select which “Modes” your agency operates, as shown in the example below:

Service Characteristics

Service Info

Modes:

Aerial Tramway (TR)	→	Demand Response - Taxi (DT)
Alaska Railroad (AR)	←	Bus (MB) (Fixed Route)
Bus Rapid Transit (RB)	⇨	
Cable Car (CC)	⇩	
Commuter Bus (CB)		
Commuter Rail (CR)		
Demand Response (DR)		
Deviated Fixed Route (DF)		

Note: The selections made above establishes the reporting structure of the Service Hour section below.

VI. Ridership and Transit System Statistics

Sections 5310 and 5311 Applicants: Provide ridership and cost information. Upload statistics into the “Application Form(s)” Section.

Line #	Category	2016	2017*	2018 Projected
1	Annual Ridership			
2	Annual Mileage			
3	Annual Vehicle Hours			

* Prorate statistics to end of FY.

VII. Civil Rights

NMDOT has developed the following requirements and procedures to ensure that no person in the State of New Mexico shall on the basis of race, color, or national origin be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving federal assistance under Sections 5310 and 5311. All potential subgrantees shall upload in the Application Form(s) section the following required information, if applicable.

1. A list of any active law suits or complaints naming the potential subgrantee that allege discrimination on the basis of race, color, sexual preference, or national origin with respect to service or other transit benefits. If there have not been any lawsuits or complaints, there will be no upload
2. A summary of all civil rights compliance review activities conducted during the last three (3) years. The summary shall include:
 - Purpose or reason for review; and
 - Name of organization performing the review; and
 - Summary of findings and recommendations of the review; and
 - Report on the findings and recommendations of the review.

If there have not been any civil rights compliance review activities, there will be no upload

VIII. Program Coordination

Note to all applicants: Please begin work on this section immediately after receiving the application packet.

Program coordination is requirement of all applicants; this section assures that limited resources are used as efficiently as possible. All applicants are required to coordinate with other existing local transportation service providers and local governments. Upload all documents related to Program Coordination under the Application Form(s) section as one pdf in the system.

A separate document upload is required of the following items:

1. Municipality, Board, or Council: A signed Letter of Resolution of Financial Commitment of local match. The Resolution Letter must include the dollar amount.
2. Municipality, Board, or Council: Letter of Support.
3. Copy of Affidavit of Public Notice of Agency Intent to Apply for Federal Funds.

Notification to Private Entities

The purpose of notifying private entities is to determine whether or not there are private sector companies that can provide all or part of your service. Programs that receive §5310 and §5311 funds are prohibited from competing unfairly with the private sector. This coordination effort is a way to determine if such a conflict exists.

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- a) **Notification:** Within a few days of receiving the application package, notify all other transportation providers in the same geographic area of your intention to apply for federal funds. You must notify them by letter and by newspaper announcement. Describe the service you are providing and invite their comments or participation in the project. In the notification, inform them of their right to request a public hearing on your proposal by notifying you in writing. Set a deadline for responses. Please Note: §5310, non-profit entities will conduct protest hearings in accordance with their written procedures.
- b) **Evaluation:** You must decide whether or not to work with other service providers. However, if you receive a proposal from another service provider, you must give it serious and fair consideration. To do that, you must have a methodology for evaluating proposals from other service providers. At a minimum, your methodology should include a fair comparison between actual costs of service provision, levels of service, and assessment of management abilities. You must also prepare your methodology BEFORE you receive proposals from other service providers.
- i) **True Comparison of Costs:** Applicants must have accurate, fully allocated cost figures for your own service in order to conduct the evaluation of proposals from other service providers. “Fully allocated” means that all costs of providing the service are determined, no matter what the source of funding.
- Particular attention should be given to cost items that appear to be “invisible” or “free,” including personnel who assist with the program but are not paid with FTA funds, goods or services that are donated (such as volunteer drivers), and depreciation on vehicles in accordance with the Office of Management and Budget (OMB) A-87.
- ii) **True Level of Service:** Applicants must have accurate statistical information about the service providing, including average number of trips provided, average number of miles operated, average number of vehicle miles of service provided, and any other performance measures.

Note to Section 5311 Applicants: As part of the Americans with Disabilities Act, similar information must also be collected specifically for the elderly and people with disabilities.

Management Assessment: Applicants should be prepared to assess the management experience of other service providers by asking questions about the type and size of transportation program previously or currently managed. Ask how the other service providers select and train drivers. Ask about risk management policies and safety programs.

If no one responds to your letter, your coordination efforts stop here.

- c) **Negotiations with Other Service Providers:** If another service provider expresses interest in the service, you should meet with that person for an in-depth discussion. If the other service provider is still interested, that person should be given an outline to use in preparing an acceptable service proposal and a description of the methodology that will be used to evaluate the proposal. Applicants should set a reasonable time frame for the preparation and review of the proposal.
- d) **Decision Process and Notification of Other Service Providers:** Applicants should evaluate all proposals using your methodology, and then decide whether or not to include the proposal in

your service. Applicants should notify the person who prepared each proposal of your decision. If you do not accept the proposal, provide a detailed explanation of why. Inform that person that he or she may appeal your decision by sending a written request for a hearing to the NMDOT within 10 days of the postmark on your letter. Tell the person how to reach the NMDOT.

Once the negotiations with other service providers are completed, attach your documentation to your application.

Public Hearings

Applicants must hold a public hearing ONLY if the public has made a request, in writing, in response to your public notification of “intent to apply” for federal funds.

Applicants who have received a written request for a public hearing, you must follow these steps:

- a) Must publish a public notice specifying the purpose, time, and location of the public hearing in your local newspaper. The place and time must be convenient for interested parties and the location must be accessible to the elderly and individuals with disabilities. This notice must appear at least two weeks prior to the date of the public hearing.
- b) All existing public and private transportation providers must be notified of the public hearing by mail.
- c) Must make provisions for the submission of written and oral statements and exhibits at your public hearing. Translators for the oral statements and/or transcripts of all statements must be available for non-English speaking persons, the hearing impaired, or the visually impaired.
- d) At the public hearing, you must discuss the following points:
 - Applicant name and reason for application
 - Type of service or service improvements to be provided
 - Geographic boundaries of the service area
 - Amount of Federal funds requested
 - Capital budget
 - Administrative budget
 - Operating budget
 - Efforts to coordinate with other providers
 - Allow five working days for public comment

A separate document upload is required of the following items, only if you have a public hearing: Upload to the Application Form(s) section of the system.

1. Copy of Published Public Hearing Notice
2. Affidavit of Publication of Public Hearing Notice
3. Minutes of Public Hearing, Copies of Exhibits and Written Statements

IX. Program Justification

The purpose of this section is to describe the service provided and discuss why it is needed in the community. Include an essay (no longer than 5 pages) describing the geographic and socioeconomic characteristics of the service area and the goals and objectives of the program. Finally, justify the funding level you are requesting.

X. Operations Profile

The following items must be included in the application and upload as one organized pdf to the Application Form(s) section of the system.

1. Table of Contents
2. Organizational Structure
3. Mission Statement
4. Brief Description of Transit Program
 - a. Route design
 - b. Schedule (days and hours of operation)
 - c. Fare structure (amounts, how set and by whom?)
 - d. Advertising/marketing
5. Administrative Employees
 - a. Title and job description
 - b. Appearance and conduct
 - c. Training plan
6. Qualified Drivers and Dispatchers
 - a. Hiring procedure
 - b. Background check
 - c. Driver record
 - d. Valid driver's license
 - e. Training plan
 - f. Job description
 - g. Appearance and conduct
7. Vehicle fleet
 - a. Number of vehicles with NMDOT lien
 - b. Number of vehicles with NO NMDOT lien
 - c. Maintenance schedules
 - d. Inspection procedures
 - e. Vehicle replacement
8. Accident/Incident Reporting Procedures
 - a. Insurance forms in vehicle
 - b. Accident/incident reporting forms in vehicle
9. Passenger policy and procedure

XI. Conclusion

Your application will be reviewed by Transit and Rail Division Staff for eligibility, accuracy, and completeness.

The application will be reviewed by RTPO evaluation committees and prioritized at the regional level. All applicants are required to attend and give a brief presentation to your local RTPO/MPO board in order to clarify questions or concerns of the RTPO evaluation committee and provide a means for public comment.

A Transit Application Statewide Budget Recommendation meeting takes place in Santa Fe in the spring of each year to announce the budget recommendation for the following federal fiscal year.

Generalized Application Timeline

Timeline	
May/June	Letters of Intent solicited by NMDOT & advertise intent to apply
Late June/Early July	Letter of Intent due to NMDOT
July	NMDOT provides application training
July	NMDOT Posts Application Opportunities
July/August	Application window open to apply
July/August	Subgrantee advertises intent to apply & hold public hearing (if needed)
September 15th 2017	Completed applications must be uploaded to the grants management system
October - December	RTPO Regional Prioritization meeting
March/April	Statewide Budget Recommendation Meeting
May/June	Notice of Award

Instructional Documents and Application Checklist

Sections 5310 and 5311 Instructional Documents and Application Checklist	
Instructional Documents	
5310 Evaluation Measures Used to Score Applications at RTPO Meeting	
5311 Evaluation Measures Used to Score Applications at RTPO Meeting	
Distribution Index	
Required Application Documents	Uploads
Articles of Incorporation	✓
501(c)3 Certification (Required for Non Profits)	✓
Current Audit Documentation	✓
Transit Related Audit Finding Documentation (If Applicable)	✓
Historical Budget	✓
Map of Service Area	✓
Demographic Information	✓
Ridership and Transit System Statistics	✓
Letter of Resolution of Financial Commitment	✓
Letter(s) of Support	✓
Affidavit of Public Notice	✓
Published Public Hearing Notice (If Applicable)	✓
Affidavit of Publication of Public Hearing Notice (If Applicable)	✓
Minutes of Public Hearing (If Applicable)	✓
Program Justification	✓
Operations Profile	✓
Civil Rights Documentation (If Applicable)	✓
Procurement Policy (New Applicants and Updated Policies)	✓