



# FY2021 Application Guide

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Section 5310 and Section 5311

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# 2021 APPLICATION GUIDE – SECTIONS 5310 AND 5311

## I. Introduction

1. **APPLICATIONS ARE DUE August 23, 2019.** A separate application is required for each program. All document uploads must be *native* documents in word, excel or PDF form. Scanned documents will not be accepted.
2. 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](http://dot.state.nm.us/content/nmdot/en/Transit_Rail.html)
3. Begin by downloading the Application Guide. Using the Checklist on the last page will serve as a guide for section uploads.
4. The Historical Budget, Project Coordination, and Operations Profile Sections may take some time to complete; you may want to begin these sections promptly in order to fully complete by the application deadline.
5. The BlackCat Users Guide can be found:  
[http://nmdot.blackcatgrants.com/Uploads/Documents/NM\\_State\\_User\\_Guide.pdf](http://nmdot.blackcatgrants.com/Uploads/Documents/NM_State_User_Guide.pdf)

## II. Application Opportunities

1. Under the “**Applications**” tab select a “**New**” Grant Opportunity 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. All sections must have a blue or green check mark to indicate the application is complete. Only at this time will the “**Submit**” button appear.
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 or more of the same capital items.

<b>Project Information</b>	
Year*:	2018
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
<b>Vehicle Information</b>	
Vehicle To Be Replaced (VIN):	Replacement Vehicle #1

<b>Project Information</b>	
Year*:	2018
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
<b>Vehicle Information</b>	
Vehicle To Be Replaced (VIN):	Replacement Vehicle #2

### 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 documents must be uploaded in **“Projects Documents”** under the **“Projects”** tab. If you are requesting capital for an expansion vehicle, an additional document upload is required describing the new or expanded service. Acquisition requests will not be approved unless a price quote and item description is provided.

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

If you are requesting a new construction project or a rehab/rebuild to a vehicle or facility, a document upload is required describing the new construction 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.

#### 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 - Furniture/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

**III. Procurement:** New applicants and any applicants who have updated their Procurement Policy during the past year *must* upload the Agency’s Procurement Policy.

#### IV. Historical Financial and Application Year Budget Information

##### **Sections 5310 and 5311 Applicants**

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

- Copy of Articles of Incorporation
- Copy of 501(c)3 Certification
- Copy of SAM.gov Suspension and Debarment search verification
- Copy of most current audit (one COMPLETE copy)
- If transit-related audit findings occurred, copy of corrective action response submitted to auditor.

B. Provide a complete admin/operating/capital budget history for the entire organization’s transportation budget for the *last two (2) years*. Provide a complete admin/operating/capital budget for the entire organization’s transportation budget for *application year*. This is *not* just the transit budget for 5311 funding. **THE BUDGET MUST INCLUDE ALL FUNDING SOURCES/LOCAL MATCH USED TO OPERATE THE PROGRAM AND THE AMOUNTS CONTRIBUTED FROM EACH SOURCE.** Upload **historical and application year budget information** into the “**Application Form(s)**” Section.

#### V. Eligibility

**Section 5310 Applicants:** Please refer to FTA Advisory Circular 9070 1G [https://www.transit.dot.gov/sites/fta.dot.gov/files/docs/C9070\\_1G\\_FINAL\\_circular\\_4-20-15%281%29.pdf](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 1G [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](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.

Ethnicity Category	Population	%
Black		
Hispanic		
Asian or Pacific Islander		
American Indian or Alaskan Native		
White		
Other		
	*	

= TOTAL\* =

%	Population	Seniors & Persons with Disability Category
		Seniors (no disability)
		Persons with Disabilities (including seniors)
		Other (everyone else)
	*	

## VI. 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:

<ul style="list-style-type: none"> <li>Aerial Tramway (TR)</li> <li>Alaska Railroad (AR)</li> <li>Bus Rapid Transit (RB)</li> <li>Cable Car (CC)</li> <li>Commuter Bus (CB)</li> <li>Commuter Rail (CR)</li> <li>Demand Response (DR)</li> <li>Deviated Fixed Route (DF)</li> </ul>	<div style="display: flex; flex-direction: column; align-items: center;"> <span>↑</span> <span>→</span> <span>←</span> <span>↔</span> <span>↔</span> <span>↔</span> <span>↓</span> </div>	<ul style="list-style-type: none"> <li>Demand Response - Taxi (DT)</li> <li>Bus (MB) (Fixed Route)</li> </ul>
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Note: The selections made above establishes the reporting structure of the Service Hour section below.

## VII. Ridership and Transit System Statistics

**Sections 5310 and 5311 Applicants:** Provide ridership and cost information. Create your own table and upload statistics into the “**Application Form(s)**” Section.

Line #	Category	2018	2019*	2020 Projected
1	Annual Ridership			
2	Annual Mileage			
3	Annual Vehicle Hours			

\* Prorate statistics to end of current fiscal year.

## VIII. 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 subrecipients 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 subrecipient 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.**

## IX. 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 native** pdf in the system.

A separate document upload is required of the following items:

- Municipality, Board, or Council: A signed Letter of Resolution of Financial Commitment of local match. The Resolution Letter must include the dollar amount.
- Municipality, Board, or Council: Letter of Support.

**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.

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.

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 application. Proposals of other service providers should be notified of your decision. If you do not accept the proposal, provide a detailed explanation of why. Inform that provider 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.

## X. 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.

## XI. Operations Profile

The following items must be included in the application and upload as one organized **native** pdf with table of contents, as follows, 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) Code of Conduct Policy
  - (c) Training Plan/Record Keeping Policy and Procedures
6. Operations Employees: Managers, Drivers, Mechanics and Dispatchers
  - (a) Titles and Job descriptions
  - (b) Hiring procedures (ie) background check, driving record, valid driver’s license
  - (c) Training Plan/Record Keeping Policy and Procedures
  - (d) Code of Conduct Policy
  - (e) Drug & Alcohol Policy for Safety Sensitive Employees (Required for *all* 5311 applicants and those 5310 applicants using program vehicles requiring CDL drivers)
7. Vehicle fleet
  - (a) Update in BlackCat - all vehicle inventories must be updated within 3 months of application due date. This includes recalls and accident reporting.



- (b) Maintenance schedules
- (c) Inspection procedures
- (d) Fleet Replacement Plan for FY 21
- 8. Accident/Incident Reporting Procedures
  - (a) Procedures to include accident reporting and documentation in the corresponding vehicle inventory record in BlackCat
  - (b) Insurance forms, Accident/incident reporting forms in vehicle
- 9. Passenger Conduct Policy

## XII. Regional Prioritization of Transit Applications

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

RTPOs and MPOs provide public participation, as well as advisory regional prioritization of transit grant proposals which request funds for proposed services in their region. All applications are **required** to be reviewed by regional 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.

## XIII. Generalized Application Timeline

<b>Timeline</b>	
June	Letters of Intent solicited by NMDOT
Early July	Letter of Intent due to NMDOT
July	5310 and 5311 Application Opportunities open in BlackCat
August 23, 2019	Applications must be complete and submitted in BlackCat
Nov. – Jan.	RTPO Regional Prioritization meetings
May	Statewide Budget Recommendation Meeting
June/July	Notice of Award

## XIV. Application Checklist

<b>Sections 5310 and 5311 Application Checklist</b>	
<b>Required Application Documents</b>	<b>Uploads</b>
Articles of Incorporation	✓
501(c)3 Certification (Required for Non Profits)	(If Applicable)
SAM.GOV Suspension and Debarment Search Verification	✓
Current Audit	✓
Transit Related Audit Finding Documentation	(If Applicable)
Procurement Policy (New Applicants and Updated Policies)	(If Applicable)
Historical and Application Year Budget	✓
Map of Service Area	✓
Demographic Information	✓
Ridership and Transit System Statistics	✓
Civil Rights Complaints/Review Documentation	(If Applicable)
Program Coordination	✓
Letter(s) of Resolution of Financial Commitment	✓
Letter(s) of Program Support	✓
Program Justification	✓
Operations Profile	✓