



APPLICATION GUIDANCE

2020 FTA Sections 5310 & 5311 Administration, Operating and
Mobility Management Applications



COLORADO
Department of Transportation

Introduction

This document provides prospective applicants with the tools and guidance needed to submit an application for the 2020 funding year for the following Federal Transit Administration (FTA) funding sources:

- 5311 Administration & Operating assistance for general public transit service in rural areas
- 5311 Purchased transit service for general public transit service in rural areas
- 5310 Mobility Management, including purchased transit service for seniors and persons with disabilities, in rural and small urban areas
- 5310 Operating assistance for transportation services for seniors and persons with disabilities in rural and small urban areas

FTA operating assistance funds are provided for operating expenses that are directly related to transit system operations.

Please note: This online application does not provide the means to apply for 5311(f) or FASTER regional operating funds. If you are interested in seeking funding for 5311(f) or FASTER regional service, please contact Mike Timlin directly at michael.timlin@state.co.us or 303-757-9648, to discuss the project and request a separate application. CDOT is using all 5311(f) funding for the Bustang Outrider and related intercity transportation service. Under FASTER operating, CDOT will partner with transportation providers to provide efficient intercity transportation along key transportation corridors and provide greater connections between rural areas and urban centers.

Any new applicant (anyone who has not received funds from CDOT DTR in the last three years) seeking funds must complete a New Applicant Questionnaire. Please contact Kim Phi immediately at 303-512-4055 or kim.phi@state.co.us for that form.

Nondiscrimination

The Colorado Department of Transportation, in accordance with the provisions of Title VI of the Civil Rights Act of 1964 (78 Stat. 252, 42 U.S.C. §§ 2000d to 2000d-4) and the Regulations, hereby notifies all bidders that it will affirmatively ensure that any contract entered into pursuant to this advertisement, disadvantaged business enterprises will be afforded full and fair opportunity to submit bids in response to this invitation and will not be discriminated against on the grounds of race, color, or national origin in consideration for an award.

Available Funding Projections

The table below provides funding availability for this call for projects. Operating funds that are not awarded during this application process will be available in the fall for the capital call for projects.

This NOFA is only for projects being implemented in calendar year 2020.

Total Projected Allocation:		
FTA 5311	Administration & Operating	\$9,453,451
FTA 5310	Rural Operating and Mobility Management	\$700,000
	Small Urban Operating and Mobility Management	\$1,200,000
Total		\$11,353,451

Please note that all funding levels are projections based on FFY2019 FTA apportionments and subject to FFY2020 federal allocation and budgeting.

Eligibility

Each funding source has its own specific requirements for eligibility, as follows:

FTA 5311 Program

FTA 5311 funding is available for general public transportation services in rural (less than 50,000 population) regions of Colorado. Eligible subrecipients include states and local governmental authorities, nonprofit organizations, and operators of public transportation that receive FTA grant funds indirectly through a recipient.

In this call for projects, FTA-5311 Eligible operating activities are as follows:

1. Operating expenses may include, but are not limited to: fuel, oil, driver salaries and fringe benefits, dispatcher salaries and fringe benefits; and
2. Administrative costs may include, but are not limited to: general administrative expenses (e.g., salaries of the project director, secretary, and bookkeeper); marketing expenses; insurance premiums or payments to a self-insurance reserve; office supplies; facilities and equipment rental; standard overhead rates; and the costs of administering drug and alcohol testing.

Applicants must meet a variety of eligibility criteria, including:

- Operate a year-round general public demand response or fixed route service in rural regions of Colorado, clearly promoting that service as open to the public.
- Agencies providing service must certify that they comply with all federal and state regulations by signing annual Certifications & Assurances
- Agencies will comply with federal drug & alcohol testing regulations and report results on an

annual basis

- Agencies shall draft and maintain the following plans and/or policies:
 - Title VI plan
 - LEP plan
 - Asset management plan
 - Drug & Alcohol policies and procedures
 - Procurement policies & procedures
 - Service plan
 - ADA plan (when applicable)

CDOT expects that **new** applicants will have recently completed a study that demonstrates the need for transit service and that explores alternatives for expanding service under an existing transit provider. The applicant will also need to provide operational plans and a multi-year budget that forecasts operational, administrative, and capital expenses along with a long-term funding source. This process can take several months to complete, so CDOT encourages prospective 5311 providers to contact CDOT staff immediately to discuss their project.

FTA 5310 Program

The 5310 Program is designed to provide capital and operating funding assistance for transportation services targeted to meet the needs of seniors and persons with disabilities. Applicants must be one of the following to be eligible for “traditional” 5310 funds (mobility management projects for this call):

- A private non-profit organization directly providing transportation services;
- A local public body approved by the State (CDOT) to coordinate services for seniors and individuals with disabilities; this approval must be requested in advance and should demonstrate how the public body is coordinating with others in its area; or
- A local public body certifying that it serves a region where no private non-profit organization is available. Public bodies must seek this certification prior to applying and must demonstrate due diligence in attempting to identify any local private nonprofit entity that is or might be interested in providing services for seniors and individuals with disabilities.

Applicants must be one of the following to be eligible for “Non Traditional” Other 5310 funds (operating projects for this call):

- A private non-profit organization
- A state or local governmental authority
- An operator of public transportation that receives a Section 5310 award indirectly through a recipient.

5310 projects must be targeted toward meeting the transportation needs of seniors and individuals with disabilities, although they may be used by the general public on an incidental basis. It is **not sufficient** that seniors and individuals with disabilities are included (or assumed to be included) among the people who will benefit from the project.

For this call, CDOT provides FTA operating assistance funds for two geographical categories:

- **Rural** (less than 50,000 population) – Open to agencies in all non-urbanized, rural areas of Colorado.
- **Small Urban** (50,000 to 200,000 population) – Open to agencies in Boulder, Lafayette-Louisville-Erie, Longmont, Pueblo, Greeley, and Grand Junction.

Please note: **Large Urban** (greater than 200,000 populations) – For the Denver/Aurora large urbanized area, CDOT will be conducting a separate joint application process in April 2019 with DRCOG. For the Fort Collins and Colorado Springs large urban areas, those 5310 funds are managed by Transfort and Mountain Metro Transit, respectively, not by CDOT; those two agencies should be contacted for information on their funding cycles and application processes.

FTA 5310 Operating

Under MAP-21 legislation, Congress merged the 5317 New Freedom program into the Section 5310 program. As a result of this merger of programs, activities eligible under the New Freedom program – including operating funds for projects that serve seniors or people with disabilities beyond the minimum ADA requirements—are now eligible under Section 5310 for Large Urban and Small Urban regions.

In rural and small urban areas, the legislation requires that at least 55 percent of 5310 funds be available for capital projects that are “traditional” Section 5310 projects (e.g., capital purchases, mobility management) while the remaining 45 percent can be used for other capital and operating projects that were previously associated with the New Freedom program.

Under the FTA-5310 program, the costs necessary to operate, maintain, and manage a transportation system are considered as eligible operating expenses. Operating expenses usually include such costs as driver salaries, fuel, and items having a useful life of less than one year

Operating funds under the 5310 program require a 50 percent local match and agencies will have to show that they have the required funding to match FTA funds.

Applicants must show that there is both a service need and a financial need for funding and outline how their program specifically meets the specified criteria.

FTA 5310 Mobility Management

This classification covers applications to fund the following types of projects:

- Purchased transit service
- Operating a transportation brokerage to coordinate service providers
- Providing information and referral services and/or resources
- Operating one call-one click systems and/or call centers
- Supporting local partnerships that coordinate transportation services, such as Regional/Local Coordinating Councils (R/LCC's)
- Staffing for the development and implementation of coordination plans
- Providing travel training and trip planning activities

Projects funded in this category require a 20% local match and are consistent with definitions developed under MAP-21.

Mobility Management Description

This category covers projects designed to enhance the mobility of individuals within a region. Funds may be used to hire staff to provide mobility services, purchase transportation for individuals needing to travel in a region, marketing of mobility services for a region, coordination efforts within a region, or other services designed to enhance the mobility of Coloradoans.

The Colorado Mobility and Access Coalition describes Mobility Managers as individuals who “plan and manage activities and projects that improve coordination among transportation providers and those who need transportation. Mobility Management assists moving any individual using a range of transportation options, with a focus on effectiveness and cost-efficiency. Mobility Management seeks and leverages a variety of funds and partnerships to connect resources and needs in a sustainable manner.”

Mobility management is customer focused, serves a vital role in improving access for citizens, especially those who are elderly or have disabilities, and assists transportation providers in making the best use of scarce resources. Through the distribution of Section 5310 funds for Mobility Management, CDOT is committed to leveraging resources to maximize and enhance access to transit.

Mobility management activities are intended to build coordination between existing health and human service agencies, employment services, and public transportation providers, with the result of expanding the availability of service. Funding may be used for salaries, benefits, and related program expenses.

Anyone requesting funds for mobility management will need to demonstrate that it has and will use a range of transportation options and providers, working together cooperatively in a partnership.

Travel Training

Projects in this category consist of efforts designed to transition persons with disabilities from specialized ADA services onto regular fixed route services. These projects must operate within an area where a fixed route program and its complementary paratransit program exist. They typically operate in areas where other mobility management services are available. Funding may be used for salaries of trainers, purchase of travel training services, development of travel training materials, or the purchase of fixed route tickets or passes needed for one-on-one training.

Brokerage Operations

Funding for these services is limited to agencies that broker transportation trip requests. The applicant may be one of the providers as long as they identify the other participants in the brokerage and indicate the approximate percentage of trips they anticipate providing themselves. In addition, the applicant must show the processes by which they broker requests.

Application Preparation

In order for an applicant to have a good application, they should go through a preparation phase for each application. This phase should consist of the following steps:

- Clearly identify the project – be sure that you have a clear understanding of what your project needs to accomplish and develop the narrative that explains it
- Develop a clear and concise budget– ensure that you are identifying all elements of this project’s budget, including your local match
 - If you are contemplating using in-kind match (e.g., donations, volunteered services) for any portion of the local match, you must formally document the fair market value of each in-kind contribution and ensure it represents a cost that would otherwise be eligible under the project.
 - If you plan on seeking reimbursement for indirect costs, please be prepared to submit a current approved indirect rate or cost allocation plan. Indicate proof of this approval by attaching a letter from the cognizant agency or CDOT Audit Office designating the indirect rate.
- Collect letters of support/participation – If your project relies on the participation of other agencies or service partners, particularly for local match, you must provide letters of support with your application.

Before applying, applicants are required to update their Agency Profile in COTRAMS. You will not be allowed to submit an application without this information being current.

Local Match

All projects funded through these programs require some form of local match and sufficient operating funds to operate and maintain FTA-funded programs and projects. For FTA 5311 operating projects, the local match is 50% of the net operating costs. Only net operating expenses—i.e., those expenses that remain after the provider subtracts operating revenues (e.g., farebox revenues, rider donations, bus advertising) from eligible operating expenses—are eligible for assistance. For 5311 Administration projects and the 5310 Mobility Management projects, the required local match percentage is 20% of expenses.

Local match may consist of any non-DOT federal funds, such as Medicaid, Older Americans Act funding, or other funds that may be used for transportation; local tax revenues; local general operating funds; donations; or in-kind goods and services.

Local match may only be used once; that is, the same Older Americans Act funds may not be used for a 5311 grant application and a 5310 grant application. Local entities may choose to overmatch, meaning their portion of the total project budget may exceed 50% for operating and 20% for administration or mobility management projects.

In-kind goods and services may be used for up to 50 percent of the local share. If in-kind goods and services are being used for local match, they must have direct relevance to the project being matched. For example, volunteer driver hours may be used as part of the local match under 5310 operating if the volunteer drivers are providing service to seniors and persons with disabilities.

Fuel in lieu of contributed funding is not considered in-kind when the fuel is used solely for the provision of transportation under one of the operating projects. The cost of the fuel is considered contributed income and may be used as cash local match.

Applicants wishing to use in-kind goods and services must identify them in their budgets and provide as an attachment any documentation for the valuation of services. All valuations of services and in-kind plans must be approved by CDOT prior to any contract being issued.

Title VI

As a recipient of federal funds, each grant partner must develop and maintain a Title VI Program in accordance with FTA Circular 4702.1B, "Title VI Requirements and Guidelines for Federal Transit Administration Recipients." The purpose of a Title VI Program is to ensure non-discrimination in the recipient's services, programs, and activities. DTR will not distribute any funds to an agency without a documented Title VI Program. After initial submission, Title VI Programs must be updated and submitted to CDOT on a schedule to be determined by CDOT. Title VI Programs will be reviewed by DTR and CDOT civil rights staff.

Appendix A of FTA Circular 4702.1B contains a checklist of Title VI Program requirements.

As a resource to grant partners, CDOT provides the following on its Civil Rights & Business Resource Center Website [<https://www.codot.gov/business/civilrights/accessibility/titlevi/>]:

- CDOT's Accessibility & Non-Discrimination Notice
- CDOT's Discrimination Complaint Procedure
- Colorado race and ethnicity demographic data (contained in DTR's Title VI Program Plan)
- Colorado English proficiency demographic data (contained in DTR's Limited English Proficiency (LEP) Plan)

For assistance with developing a Title VI Program, please contact Eboni Younger-Riehl, CDOT civil rights specialist, at 303-757-9072 or eboni.riehl@state.co.us.

Application Process

The Admin/Operating and Mobility Management applications are available online on COTRAMS (Colorado Transit & Rail Awards Management System). If you do not have access to COTRAMS, please contact CDOT. Once you log into COTRAMS, you will see a tab called Applications on the homepage. Within that tab, there will be two applications available: Admin/Operating and Mobility Management.

Admin/Operating Applications

This application is for an agency seeking funds for the operation of transit service (providing trips). Service types include fixed-route, demand-response, and deviated-fixed service. In the application, you will be required to select one of the following application types:

- **5311 – general public rural operating/admin.** This funding is for rural agencies (less than 50,000 population) who provide transit service that is available to the general public. Agencies may seek administrative (reimbursed up to 80% of eligible costs) and operating (reimbursed up to 50% of eligible costs after deducting operating revenues). The recently approved 5311 Funding Distribution Methodology (see Appendix A) outlines the eligible funding amount for each

agency. In the application, you will be asked to enter the amount of funding eligible to your agency in 2020, and then provide a budget to match this amount.

- **5311 – purchased transit services for general public rural operating.** This funding is for rural agencies (less than 50,000 population) who contract out all of their operating service. In the application, you will be asked to enter the amount of funding eligible to your agency in 2020 and enter information about the contractor/subcontractor, such as the name of the provider, type of service provided, location of service and estimated contract amount.
- **5310 – rural operating for specialized transportation.** This funding is for agencies who operate specialized transit service (seniors and persons with disabilities) in rural (less than 50,000 population) areas. These funds are not eligible for administrative reimbursements. Operating reimbursements are eligible for a 50% reimbursement for eligible costs.
- **5310 - small urban operating for specialized transportation.** This funding is for agencies who operate specialized transit service (seniors and persons with disabilities) in small urban (50,000 to 200,000 population) areas. These funds are not eligible for administrative reimbursements. Operating reimbursements are eligible for a 50% reimbursement for eligible costs.

If you are seeking funds from more than one service type listed above, such as 5311 – general public rural operating/admin and 5310 small urban operating, you will need to complete a separate application for each type. Contact Kim Phi, kim.phi@state.co.us, to make additional operating/administration applications available on COTRAMS.

Mobility Management Applications

This application is for an agency seeking funds for Mobility Management services, including:

- Purchased transit service
- Operating a transportation brokerage to coordinate service providers
- Providing information and referral services and/or resources
- Operating one call-one click systems and/or call centers
- Supporting local partnerships that coordinate transportation services (R/LCC's)
- Staffing for the development and implementation of coordination plans
- Providing travel training and trip planning activities

An applicant who wishes to receive federal funding for a Mobility Management project must select one of the following application types:

- **5310 - rural for specialized transportation.** (less than 50,000 population)
- **5310 - small urban for specialized transportation** (50,000 to 200,000 population)

If you are seeking funds from more than one service type listed above, you will need to complete a separate application for each type. Contact Kim Phi, kim.phi@state.co.us, to make additional Mobility Management applications available on COTRAMS.

Any questions that arise during the application period may be answered by Kim Phi , kim.phi@state.co.us, the program manager for operating awards. Additional contact information for

DTR staff is at the end of this guidance document.

Evaluation Criteria

Once project requests have been received, DTR staff will review the applications to ensure that minimum eligibility requirements are met. Any applicant not meeting the criteria will be contacted by DTR and given the opportunity to respond to the finding of ineligibility.

In order to fairly evaluate all applications, CDOT will convene an Inter-Agency Evaluation Committee (IAEC) to provide input to the process. The IAEC will consist of representatives from other CDOT Divisions, such as the Civil Rights Office and the Division of Transportation Development; other State Departments such as Health Care Policy & Finance; non-applicant representatives from the transit industry such as representatives from the Colorado Association of Transit Agencies (CASTA); as well as representatives from within the Division of Transit & Rail.

5310 Scoring

Applicant merit scoring is based on:

- 30% financial need,
- 30% service need, and
- 40% coordination/performance effort

1. Financial Need – Factors considered as a part of this criterion include:

- lack of funding sources available to the applicant;
- good faith efforts to obtain funds for the project from non-FTA sources (e.g., Title III of the Older Americans Act and Medicaid reimbursements);
- economic condition of the applicant’s service area;
- level and amount of local commitment to transit;
- reasonableness of costs to operate and administer the project;
- amount of available revenue, including contract and earmarked funds; and
- portion of costs covered by local funds.

When evaluating financial justification, the Inter-Agency Evaluation Committee (IAEC) will compare estimated project costs and revenues in light of a three year cost history. Inflation and service expansion will be considered.

2. Service Justification – Factors considered are:

- lack of appropriate public transportation alternatives;
- transit dependency of the population in the applicant’s service area, particularly the extent to which the proposed project serves elderly or disabled persons, persons without a car, or low income persons;
- extent to which the applicant provides service to other organizations; the numbers of riders and

types of trips provided;

- size of an applicant's service area; and
- other relevant factors, including congestion mitigation and air quality improvement.

3. Coordination/Effectiveness: This is the extent to which an applicant demonstrates that it has coordinated with other organizations to promote the service and reduce service duplication, overlapping service areas, and conflicts. The IAEC will also evaluate how the proposed/selected activities will advance efficiencies in, accessibility to, and/or the effectiveness of transportation services provided to seniors and individuals with disabilities. The coordination of services evaluation is separate from the threshold requirement for projects to be derived from a local human services transportation plan. Factors to be considered are:

- extent which coordination reduces operating expenses, number of vehicles used and lead time for passenger scheduling;
- extent which the applicant works with community organizations (e.g., Chambers of Commerce, human service agencies) to promote the service and make it more efficient;
- lack of duplication or overlap with transit services provided by others; and
- an applicant's good faith efforts to coordinate with private for profit operators; and
- the performance measure(s) listed for each activity demonstrates your ability to improve your clients' quality of life and can also indicate the quality of change that was produced by your activity; and,
- scoring priority will be given to those agencies that provide transportation opportunities to a wider population.

Applications are given a score of 0 to 3.0 in ¼ point increments for each element. The element score is then weighted based on the above criteria and added together to derive the total merit score. For example, an application receiving a 2.0 on financial need, a 2.5 on service need, and a 3.0 on coordination would score as follows:

2.0 x 0.3	0.60
2.5 x 0.3	0.75
3.0 x 0.4	1.20
TOTAL	2.55

5311 Awarding

In spring 2018, CDOT's Transportation Commission approved an updated funding methodology for the 5311 program that will be used for FY19. The new methodology was conceived by a subcommittee of the Transit and Rail Advisory Committee (TRAC), which consisted of transit providers and other interested transit organizations. The new methodology consists of the following steps:

1. Divide the operating funds into two pools: the "Base" pool (Section 5311 funds, currently around \$8 million) and the "Equity" pool (\$2 million in FASTER funds).

2. Funds in the Base pool are allocated according to agency size, continuing what was approved in spring 2017.
 - Agencies are divided into five categories as determined by the agency’s size (calculated using the agency’s revenue miles, revenue hours, number of trips, and budget).
 - Depending on the agency’s size, the agency would be eligible to receive a base award up to a specific percentage of their operating budget, known as their budget factor. The table below shows the five categories and their associated budget factors. As shown in the table, agencies in the Very Small category will receive a base award equal to 50 percent of their operating budget, while agencies in the Large category will receive a base award equal to 14 percent of their budget.

Category	Budget Factor
Very Small	50%
Small	45%
Medium	21%
Large	14%
Very Large	3-4%

3. Funds in the Equity pool are allocated according the demographic factors that represent transit need. Providers that have a greater number of transit dependent individuals within their service area will receive a higher award.

Under this new approach, several agencies are eligible for an award increase. However, local agencies will be expected to provide the same level of local match and not to substitute federal funds for local funds. A transition plan will be implemented to help any of the agencies proposed to receive an increase or decrease of funds with the needed time to adjust to the changes in funding. During the transition, grants will grow at a maximum of 10 percent a year over a five-year period. For agencies whose grant funding will decrease, agencies will decrease by no more than a 3 percent per year. If any money remains “on the table” in a given year, after review of the applications, the residual money will be placed in a reserve account for new agencies or unexpected growth of existing agencies. Once that pool is adequately funded, CDOT will provide flexibility for how leftover funds could be spent (e.g., capital needs).

The table below contains the FY2020 operating awards. In their submission, applicants should request an amount of federal funds that aligns with the size category and budget factors identified by the methodology.

Approximate 2020 5311 Awards	
Agency	2020 Award
All Points	\$ 296,619
Archuleta County	\$ 93,438
Avon	\$ 245,980
Bent County	\$ 134,613
Black Hawk-Central City	\$ 112,884
Breckenridge	\$ 198,464
Clear Creek County SRC	\$ 112,167
Crested Butte	\$ 284,411
Cripple Creek	\$ 197,690
Disability Services, Inc. dba Envida	\$ 40,040
Dolores County	\$ 44,468
Durango, City of	\$ 836,479
Eagle County	\$ 385,107
East Central COG	\$ 189,595
Glenwood Springs	\$ 306,021
Gunnison Valley RTA	\$ 233,191
Jefferson County SRC	\$ 294,847
La Junta	\$ 85,934
Lake County	\$ 118,399
Montezuma County Seniors	\$ 80,005
Mountain Village	\$ 136,995
NECALG	\$ 476,072
Neighbor to Neighbor	\$ 124,630
Prowers County	\$ 209,451
RFTA	\$ 1,201,678
SSCOG	\$ 325,446
SMART	\$ 165,600
Snowmass Village	\$ 297,188
SRDA	\$ 85,003
Steamboat Springs	\$ 490,378
SOCOCAA	\$ 178,646
Summit County (Summit Stage)	\$ 466,716
Teller Senior Coalition	\$ 117,370
Telluride	\$ 158,636
Upper Arkansas Area COG	\$ 233,409
Via Mobility	\$ 308,936
Winter Park	\$ 186,945

Next Steps

Once the award selections are finalized, the official award selection list is distributed. For 5311 grant recipients, agencies will work with their grant coordinator to determine the amount of funding to be used for administration and the amount for operating. Agencies may choose to take the entire grant in operating or to allocate up to 30% to administrative expenses.

For this Call for Projects, DTR is using the following timeline:

March 29, 2019	Applications are available
May 13, 2019	Applications are closed
July 25, 2019	Proposed Award Letter
October 31, 2019	Contracts executed
January 1, 2020	Contract service period begins

All dates from May 13, 2019 forward are estimates based on currently available information and may be subject to change at the discretion of CDOT.

CDOT Contact List

Title	Name	Email	Phone
Planning Unit Manager	Sharon Terranova	sharon.terranova@state.co.us	303-757-9753
Transit Planner	Nate Vander Broek	nate.vanderbroek@state.co.us	303-512-4770
Programming Unit Manager	Qing Lin	qing.lin@state.co.us	303-757-9973
Admin & Operating Programming Specialist	Kim Phi	kim.phi@state.co.us	303-512-4055
Project Coordination Unit Manager (TPR 11, 12)	Brodie Ayers	brodie.ayers@state.co.us	303-757-9767
Lead Project Coordinator (TPR 2, 3, 13)	Moira Moon	moira.moon@state.co.us	303-757-9766
Project Coordinator (TPR 1, 4, 6, 7, 14, 15)	Glenn Krause	glenn.krause@state.co.us	303-512-4045
Project Coordinator (TPR 5, 8, 9, 10)	TJ Burr	timothy.burr@state.co.us	303-903-2119
Bus Operations Manager	Michael Timlin	michael.timlin@state.co.us	303-757-9648
Title VI Specialist	Eboni Younger-Riehl	eboni.riehl@state.co.us	303-757-9072