



APPLICATION GUIDANCE

2019 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 2019 funding year for the following Federal Transit Administration (FTA) funding sources:

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

Operating assistance is designed to assist grant partners in the provision of transit and transit related services to residents of Colorado.

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. CDOT is moving to the Bustang Outrider intercity transportation service. Under the Outrider service, 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.

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 occurring in calendar year 2019.

Total Projected Allocation:		
5310		
	Large Urban Operating and Mobility Management	\$1,024,000
	Small Urban Operating and Mobility Management	\$680,000
	Rural Mobility Management	\$300,000
5311		
	5311 Administration & Operating	\$8,230,000
	FASTER Local Operating	\$2,000,000

Please note that all funding levels are initial maximums and subject to reallocation and federal budgeting.

Eligibility

Each fund source has its own specific requirements for eligibility, and include the following:

FTA 5311 Program

FTA 5311 funding is available for general public transportation services in non-urban (less than 50,000 population) regions of Colorado. Applicants must meet a variety of eligibility criteria, including:

- Operate a general public demand response or fixed route service in rural regions of Colorado
- CDOT will fund operations for year-round services that operate a minimum of three days per week
- 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 takes several months to complete and CDOT encourages prospective 5311 providers to contact CDOT staff to discuss your project.

FTA 5310 Program

The 5310 Program is designed to provide capital and operating funding assistance for public transportation¹ services designed to meet the needs of seniors and persons with disabilities. Applicants must be one of the following:

- A private non-profit organization directly providing transportation services;
- A local public body providing transportation coordination services; or
- A local public body serving a region where no private non-profit organization is available.

Applicants falling into the third category must show due diligence in attempting to find a local private non-profit entity to provide this service in their area before applying.

CDOT receives funding in this program for three geographical regions:

- **Large Urban** (greater than 200,000 population)- Limited to the Denver urbanized area only. Agencies seeking funding in the Fort Collins or Colorado Springs urban areas must contact either Transfort or Mountain Metro Transit respectively, for information on their funding cycles.
- **Small Urban** (50,000 to 200,000 population) – Open to agencies in Boulder, Lafayette-Louisville-Erie, Longmont, Pueblo, Greeley, and Grand Junction.
- **Rural** (less than 50,000 population) – Open to agencies in all non-urbanized, rural areas of Colorado.

FTA 5310 Operating

Under the 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 the Large Urban and Small Urban regions. **CDOT has determined 5310 Operating is no longer eligible in rural parts of the state due to lack of funding.**

In small and large 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 can be used for other capital and operating projects that were previously associated with the New Freedom program.

Operating funds under the 5310 program requires 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

¹ Public transportation is defined as shared-ride transportation services that are open to the general public or open to a segment of the general public defined by age, disability, or low income.

program specifically meets the specified criteria.

FTA 5310 Mobility Management

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

- 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 describe 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.

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 among at least three service providers. The applicant may be one of the providers as long as they identify the other participants in the brokerage. 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 Department 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. In particular, FTA Title VI requires agencies to provide passenger information, including demographic information for your service area. You will not be allowed to submit an application without this information being current.

In the application, there is a certification requirement indicating that your agency is complying with Title VI requirements in service provision. Please see the Title VI section below for more information on these requirements.

Updating an agency profile also allows applicants to provide more accurate and timely information of their service characteristics. In particular, the previous year’s ridership, revenue miles, and revenue hours are key measures to have on hand.

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 5310 and 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) from eligible operating expenses—are eligible for assistance. For 5311 Administration projects and the 5310 Mobility Management projects, this percentage is 20% of expenses.

Local match may consist of any non-DOT federal funds, such as Medicaid, Older American’s 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 AAA 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 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 [303757-9072](tel:3037579072) 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), including contracting with another agency to provide the service for you. Service types include fixed-route, demand-response, deviated-fixed and contracted 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). The recently approved 5311 Funding Distribution Methodology (see Appendix A) outlines the funding eligible to each agency. In the application, you will be asked to enter the amount of funding eligible to your agency in 2019, 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 this application, you will be required to 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 - small urban operating for specialized transportation.** This funding is for agencies who operate specialized transit service (seniors, persons with disabilities, low income) 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.
- **5310 - large urban operating for specialized transportation.** This funding is for agencies who operate specialized transit service (seniors, persons with disabilities, low income) in large urban (greater than 200,000 population) areas. These funds are not eligible for administrative reimbursements. Operating reimbursements are eligible for a 50% reimbursement for eligible costs.
- **5310 - purchased transit services for specialized transportation** This funding is for small and large urban agencies (population greater than 50,000) who contract out all of their operating service. In this application, you will be required to enter information about the contractor/subcontractor, such as the name, type of service provided, location of service and estimated contract amount.

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, then you will need to complete a separate application for each type. Contact Nate Vander Broek, nate.vanderbroek@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:

- 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)
- **5310 - large urban for specialized transportation** (greater than 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 Nate Vander Broek, nate.vanderbroek@state.co.us to make additional Mobility Management applications available on COTRAMS.

Any questions that arise during the application period may be answered by Nate Vander Broek (nate.vanderbroek@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 Transit Association (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;
- 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 its ability to improve your clients' quality of life and can also indicate the quality of change that was produced by your activity.

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

Applications must score a minimum passing score of 1.45 to be considered as eligible for funding.

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.
 - o 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).
 - o 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 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 to not 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).

Applicants should submit their previous year audited budget and their approved current year budget. Generally, CDOT will rely on the previous year budget to establish funding levels.

The following page contains the FY19 operating awards. In their submission, applicants should request an amount of federal funds that align with the size category and budget factors identified by the methodology.

Approximate 2019 5311 Awards

Agency	2019 Award
All Points Transit	\$ 269,654
Archuleta County	\$ 93,438
Avon	\$ 82,500
Bent County	\$ 122,375
Black Hawk - Central City	\$ 112,884
Breckenridge	\$ 180,422
Clear Creek County SRC	\$ 101,970
Crested Butte	\$ 258,555
Cripple Creek	\$ 179,718
Dolores County Seniors	\$ 40,425
Durango	\$ 862,349
Eagle County	\$ 350,097
East Central COG	\$ 189,595
Glenwood Springs	\$ 278,201
Gunnison Valley RTA	\$ 211,992
Jefferson County SRC	\$ 294,847
La Junta	\$ 78,122
Lake County	\$ 107,635
Montezuma County Seniors	\$ 72,732
Mountain Village	\$ 141,232
NECALG	\$ 476,072
Neighbor to Neighbor	\$ 113,300
Prowers County	\$ 190,410
RFTA	\$ 1,115,807
SCCOG	\$ 325,446
Snowmass	\$ 270,171
SRDA	\$ 77,275
Steamboat Springs	\$ 505,545
SUCAP	\$ 184,932
Summit County	\$ 466,716
Teller Senior Coalition	\$ 106,700
Telluride	\$ 163,542
Upper Arkansas Area COG	\$ 212,190
Via Mobility	\$ 313,679
Winter Park	\$ 169,950

Next Steps

Once the award selections are finalized, the official award selection list is distributed. Agencies may then begin the process of working with their grant coordinator to develop the scope of work for the project.

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 25% to administrative expenses.

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

April 27, 2018		Applications are available
June 15, 2018	Noon	Applications are closed
June 22, 2018		Preliminary reviews, eligibility determination
July 6, 2018		IAEC begins evaluations
July 27, 2018		IAEC finalizes recommendations
August 3, 2018		DTR Generates preliminary awards list
August 10, 2018		Awards List Approved by Division Director
August 17, 2018		Scoping begins
October 12, 2018		Scopes submitted for contracting
December 3, 2018		Contracts executed
January 1, 2019		Contract service period begins

All dates from June 15, 2018 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	Jeff Sanders	jeffrey.sanders@state.co.us	303.757.9771
Mobility Manager PM	Moira Moon	moira.moon@state.co.us	303.757.9766
Transit Planner	Nate Vander Broek	nate.vanderbroek@state.co.us	303.512.4770
Grants Unit Manager	Brodie Ayers	brodie.ayers@state.co.us	303.757.9766
Grants Coordinator	Jane Hickey	jane.hickey@state.co.us	303.757.9737
Grants Coordinator	Glenn Krause	glenn.krause@state.co.us	303.512.4045
Grants Coordinator	Kim Phi	kim.phi@state.co.us	303.757.4055
Bus Operations	Michael Timlin	Michael.timlin@state.co.us	303.757.9648
Title VI Specialist	Eboni Younger-Riehl	Eboni.riehl@state.co.us	303.757.9072