

2017

49 U.S.C. SECTION 5311
FORMULA GRANTS FOR RURAL AREAS
CFDA 20.509

**INSTRUCTION MANUAL FOR OPERATING & CAPITAL
ASSISTANCE APPLICATIONS**

FLORIDA DEPARTMENT OF TRANSPORTATION - PUBLIC TRANSIT OFFICE

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1. INTRODUCTION

This instruction manual includes program information, application forms, exhibits, certifications and assurances, and instructions to enable an applicant to apply for Federal operating, capital under 49 U.S.C. 5311 Formula Grants for Rural Areas Program, as administered by the Florida Department of Transportation (FDOT).

The Section 5311 Formula Grants for Rural Areas Program provides Federal operating or capital assistance to eligible recipients (see glossary) who operate/contract public transportation service in rural areas. To be considered rural, an area will have population under 50,000.

Several types of activities are eligible for federal assistance under this program: 1) planning for rural transportation projects; 2) public transportation capital projects; 3) operating costs of equipment and facilities for use in public transportation; 4) mobility management and 5) the cost of service agreements with private providers to provide rural public transportation. Capital equipment purchased must be necessary and reasonable to the provision of public transportation services in rural areas.

The latest Federal Transit Administration Circular on the Section 5311 Program can be downloaded from [this page](#).

2. GENERAL PROGRAM INFORMATION/REQUIREMENTS

2.1. PROGRAM ADMINISTRATION

The Federal government allocates funds by formula to the State of Florida each year for the Section 5311 Program. FDOT has been designated by the governor of Florida to administer the program. As the program administrator, FDOT is responsible for the following services. At its discretion, FDOT may contract with a service provider to perform these services.

1. announcement of funding availability;
2. selection of projects for funding according to approved selection criteria;
3. development and processing of agreements;
4. oversight of recipient procurement actions;
5. oversight of recipient compliance with state and Federal requirements;
6. processing of recipient invoices for reimbursement, and
7. provision of technical assistance regarding the Section 5311 Program.

Authorizing legislation for the program is shown in the glossary of this manual under “authorizing Federal and State Legislation.”

The Federal goal of the program is to enhance the access of people in **rural areas** to:

1. health care, shopping, education, employment, public services and recreation;
2. assist in the maintenance, development, improvement and use of public transportation systems in rural areas;
3. encourage and facilitate the most efficient use of all Federal funds used to provide passenger transportation in rural areas through the coordination of programs and services; and,

4. provide for the participation of private transportation providers in rural areas.

In Florida, program funds shall be used to support local transit services that act to maximize the passenger carrying capacity of surface transportation facilities. Services for the transportation disadvantaged should play a significant part under this program. All recipients of funds shall provide their non-prioritization service plan (see definition in Appendix 7.6, Glossary) to the District to ensure access to the general public. Recurring applicants must re-submit their non-prioritization plan only if changes to the plan have been made since previous application cycle.

2.2. ELIGIBILITY CRITERIA

Eligibility criteria are the minimum legal eligibility requirements. Applications must provide information that identifies eligible services, eligible service areas, eligible recipients, eligible expenses, and provide evidence of local matching funds. Applicants must also ensure compliance with a number of other conditions placed on grant recipients including, but not limited to, coordination of transit services, civil rights preservation, compliance with safety and drug free work place regulations, drug and alcohol testing of safety-sensitive employees, competitive procurement of goods and services bought with grant funds, and references to the [Federal Transit Administration's Master Agreement](#).

2.3. ELIGIBLE RECIPIENTS

Eligible recipients of Section 5311 Grants include:

- political subdivisions of the State of Florida and agencies thereof;
- Indian Tribes;
- private non-profit agencies designated as Community Transportation Coordinators (CTC) in accordance with Chapter 427, Florida Statutes; and
- Private for-profit agencies may receive funds through contractual arrangements with eligible recipients. The eligible recipient will be responsible for ensuring that the Private for-profit agency meets all federal and state program requirements.

All recipients who are not CTCs must enter into coordination or transportation operator contracts with the appropriate CTC for the purpose of coordinating services. Local governments providing fixed route/fixed schedule service are not required to have an agreement with the CTC.

2.4. LEGAL AUTHORITY AND FISCAL & MANAGERIAL CAPABILITY

Section 5311 applicants must have the legal authority and fiscal/managerial capability to apply for Federal assistance. Applicants are required to have sufficient local funds for match requirements and for preventative maintenance and operation of vehicles/equipment. Grant recipients are required to maintain adequate financial, maintenance, and operating records and be able to comply with FTA reporting requirements in accordance with the Uniform System of Accounts (USOA) and the National Transit Database (NTD) Reporting Manual. (49 USC 5335(a) and F.S. Chapter 341.052). Failure to properly manage, maintain, and operate vehicles/equipment could jeopardize existing and future grants and may result in the removal of vehicles/equipment. The Department will consider all items covered in the “Recipient Risk Assessment Tool” (see Appendix) in order to evaluate the risk posed by each applicant.

2.5. ELIGIBLE EXPENSES FOR SECTION 5311 OPERATING ASSISTANCE

Operating expenses are those costs directly related to system operations. The Federal share for net eligible operating costs shall not exceed 50%. The other 50% funding share must be from local funding sources, which may include FDOT State funding assistance.

Eligible operating expenses include:

- Administrative, management, and operations costs directly related to public transportation services in rural areas LESS operating revenue. Operating revenue includes fares paid by passengers, whether such fares are paid at the time service is provided or via prepaid arrangements such as passes or tokens.
- The capital costs of providing services are not eligible expenses for Section 5311 Operating Assistance but may be eligible for Section 5311 Capital Assistance or similar Federal Capital Assistance.

2.6. ELIGIBLE EXPENSES FOR SECTION 5311 CAPITAL ASSISTANCE

Section 5311 funds may be used for the capital expense of transit services to the general public in rural areas. The federal share of eligible capital costs shall not exceed 80%.

Eligible expenses are limited to:

- Buses, vans or other paratransit vehicles (including sedans and station wagons). *Agencies requesting sedans and station wagons will need to provide a service justification for those requests.*
- The capital cost of contracting (see glossary in Appendix for definition)
- Radios and communications equipment
- Wheelchair lifts and restraints
- Vehicle rehabilitation
- Microcomputer hardware/software and initial installation costs
- Vehicle procurement, inspection and acceptance costs
- The introduction of new technology
- Construction or rehabilitation of transit facilities including design, engineering, and land acquisition
- Other durable goods such as spare components with a unit cost over \$300 and a useful life of more than one (1) year.
- Mobility Management to enhance existing services/routes or to improve a new activity
- Planning activities

2.7. INELIGIBLE EXPENSES

- Expenses for charter service
- Expenses for school bus service
- Expenses for sightseeing bus service

- Service not open to the general public (prioritized transit service)
- Service exclusively within an urbanized area
- Depreciation expenses
- Expenses incurred prior to Federal and State approval of a grant application
- Expenses incurred prior to the execution of a Joint Participation Agreement (JPA)
- Expenses incurred prior to the Department’s approval of plans, specifications, and third party contracts

2.8. APPLICATION DEADLINES

Application deadlines vary from district to district but usually fall between December and February each year. The local District Office will notify applicants of their annual application deadline. When received, FDOT District Offices evaluate applications within their respective districts and, thereafter, submit a Program of Projects (POP) to the FDOT Central Office by March of each year.

The Central Office compiles POPs from the districts and submits a statewide grant application for Federal assistance to the Federal Transit Administration (FTA) by April 1 of each year. FDOT anticipates FTA’s approval of the statewide grant application (including district POP’s) no earlier than July 1. The Florida Legislature also approves the general appropriation for the State’s current year budget by July 1. Once Federal approval is received and the State budget finalized, District Offices may make grant awards (See “Grant Award Process” below, Section 4).

3. SECTION 5311 COMPLIANCE REQUIREMENTS

3.1. USE OF SECTION 5311 FUNDS/VEHICLES/EQUIPMENT

Section 5311 funds/vehicles/equipment may be used for general public transit services provided in rural areas on a regular and continuing basis. They may also be used for service provided to non-sponsored transportation disadvantaged persons and to social service clients in rural areas provided there is no restriction on public use of the service. Service may not be designed exclusively to serve the transportation requirements of social service agencies without regard for the mobility needs of the community as a whole. The need and planned use of the requested vehicles must be detailed in the **Proposed Project Description (Exhibit B)**.

3.2. SERVICES ACROSS URBANIZED/RURAL AREA BOUNDARIES

Applicants providing service across urbanized/rural area boundaries must develop a method of segregating or itemizing the costs of services to demonstrate that Section 5311 funds are used primarily for rural area service. Examples of methods that may be used to allocate costs include:

- where all passenger addresses are known, assume the percentage of those addresses located in rural areas equals the level of service in rural areas;
- segregate urbanized and rural service miles based on route maps, and allocate system-wide costs accordingly; and
- utilize driver logs to segregate service mileage or hours inside and outside the urbanized area, and allocate costs accordingly.

3.3. PROCUREMENT

Applicants must have a procurement policy that outlines the procurement process when using federal, state and local funds. The guidebook, [Procurement Guidance for Transit Agencies](#), should be referenced in the procurement policy and utilized when entering into third-party procurements/contracts that utilize federal funds.

3.4. AMERICANS WITH DISABILITIES ACT (ADA)

Applicants must comply with the Americans with Disabilities Act, (ADA) of 1990, as amended; Section 504 of the Rehabilitation Act of 1973, as amended; U.S. DOT regulations at 49 CFR Parts 27, 37, 38 and 39; and FTA regulations at 49 CFR Part 609.

3.5. CIVIL RIGHTS SUBMISSIONS

Civil rights submissions that are required include, a Title VI Program, Equal Employment Opportunity (EEO) Program, Disadvantaged Business Enterprise (DBE) Program and annual goals, and an ADA transition Plan. **All applicants must submit a copy of their Title VI Program Plan with the grant application, unless the agency's current Title VI plan is already on file with FDOT.** At the applicant's request, the FDOT District Office will provide technical assistance to the applicant in the development of their Title VI Program.

3.6. ADMINISTRATIVE REQUIREMENTS

Section 5311 projects awarded to an agency located in an urbanized area must be included in the metropolitan transportation plan (MTP) prepared and approved by the metropolitan planning organization (MPO), the transportation improvement program (TIP) approved jointly by the MPO and the governor, and the statewide transportation improvement program (STIP) developed by the FDOT and jointly approved by FTA and FHWA. Projects outside UZAs must be included in, or be consistent with the statewide long-range transportation plan, as developed by the state, and must be included in the FDOT STIP.

Although applications for such projects may be accepted by the FDOT District Office prior to their listing in a TIP/STIP, a grant award will not be final for such projects until all administrative requirements are completed, including being listed in the appropriate TIP/STIP.

3.7. ADMINISTRATIVE REQUIREMENTS (ONLY IF THE GRANT IS FOR FACILITIES)

Executive Order 12372 requires a review of all Federal grants to ensure compliance with the local and state planning process. Therefore, prior to submission of an application to the FDOT District Office, applicants should send their applications to the **LOCAL** Clearinghouse/Regional Planning Council; **NOT TO THE STATE CLEARINGHOUSE** (see Appendix). The appropriate clearinghouse agency should be contacted to determine the number of copies required for local review. The date the application was submitted to the local clearinghouse for review must be listed under 19 on the Standard Form 424.

- **Support letters from the local clearinghouse must be submitted to the District Office before a Section 5311 Award can be made.**

3.8. PLANNING REQUIREMENTS

To remain eligible for Section 5311 awards, recurring applicants must submit the TDSP or TDP for their service area to FDOT in a timely manner, on the annual update schedule. The entire TDSP or TDP does not

need to be submitted with the application, only date of adoption and page which reference the project numbers are needed.

3.9. AUDIT REQUIREMENTS FOR SECTION 5311 RECIPIENTS

Part I Federally Funded: If the Agency is a state, local government, or non-profit organizations as defined in OMB Circular A-133 and a recipient of federal funds, the following annual audit criteria will apply:

1. In the event that the recipient expends \$750,000 or more in Federal awards in its fiscal year, the recipient must have a single or program-specific audit conducted in accordance with the provisions of OMB Circular A-133, as revised. Exhibit "D" to this agreement indicates Federal resources awarded through the Department by this agreement. In determining the Federal awards expended in its fiscal year, the recipient shall consider all sources of Federal awards, including Federal resources received from the Department. The determination of amounts of Federal awards expended should be in accordance with the guidelines established by OMB Circular A-133, as revised. An audit of the recipient conducted by the Auditor General in accordance with the provisions OMB Circular A-133, as revised, will meet the requirements of this part.
2. In connection with the audit requirements addressed in Part I, Paragraph 1, the recipient shall fulfill the requirements relative to auditee responsibilities as provided in Subpart C of OMB Circular A-133.
3. If the recipient expends less than the amount in Part I, Paragraph 1, an audit conducted in accordance with the provisions of OMB Circular A-133, is not required. If the recipient elects to conduct such an audit, the cost of the audit must be paid from resources obtained from other than Federal entities.
4. Federal awards are to be identified using the Catalog of Federal Domestic Assistance (CFDA) title and number, award number and year, and name of the awarding federal agency.

Part II State Funded: If the Agency is a non-state entity as defined by Section 215.97(2) (m), Florida Statutes, and a recipient of state funds, the following annual audit criteria will apply:

1. In the event that the recipient expends a total amount of state financial assistance equal to or in excess of \$750,000 in any fiscal year, the recipient must have a State single or project-specific audit for such fiscal year in accordance with Section 215.97, Florida Statutes; applicable rules of the Department of Financial Services and the CFO; and Chapters 10.550 (local governmental entities) or 10.650 (nonprofit and for-profit organizations), Rules of the Auditor General. Exhibit "D" to this agreement indicates state financial assistance awarded through the Department by this agreement. In determining the state financial assistance expended in its fiscal year, the recipient shall consider all sources of state financial assistance, including state financial assistance received from the Department, other state agencies, and other non-state entities. State financial assistance does not include Federal direct or pass-through awards and resources received by a non-state entity for Federal program matching requirements.
2. In connection with the audit requirements addressed in Part II, Paragraph 1, the recipient shall ensure that the audit complies with the requirements of Section 215.97(8), Florida

Statutes. This includes submission of a financial reporting package as defined by Section 215.97(2) (e), Florida Statutes, and Chapter 10.550 (local governmental entities) or 10.650 (nonprofit and for-profit organizations), Rules of the Auditor General.

3. If the recipient expends less than the amount in Part II, Paragraph 1, such audit is not required. If the recipient elects to conduct such an audit, the cost of the audit must be paid from the recipient's resources obtained from non-state entities.

4. State awards are to be identified using the Catalog of State Financial Assistance (CSFA) title and number, award number and year, and name of the state agency awarding it.

Part III Other Audit Requirements

1. The Agency shall follow-up and take corrective action on audit findings. Preparation of a summary schedule of prior year audit findings, including corrective action and current status of the audit findings is required. Current year audit findings require corrective action and status of findings.

2. Records related to unresolved audit findings, appeals, or litigation shall be retained until the action is completed or the dispute is resolved. Access to project records and audit work papers shall be given to the Department, the Department Comptroller, and the Auditor General. This section does not limit the authority of the Department to conduct or arrange for the conduct of additional audits or evaluations of state financial assistance or limit the authority of any other state official.

Part IV Report Submission

1. Copies of reporting packages for audits conducted in accordance with OMB Circular A-133 as revised, and required by Section 7.62 Part I of this agreement shall be submitted, when required by Section .320 (d), OMB Circular A-133 as revised, by or on behalf of the recipient directly to each of the following:

A. The Department at the following address:

Florida Department of Transportation

Office of Comptroller, MS 24

605 Suwannee Street

Tallahassee, Florida 32399-0405

Email: FDOTSingleAudit@dot.state.fl.us

B. The number of copies required by Sections .320 (d)(1) and (2), OMB Circular A-133 as revised, submitted to the following address:

Federal Audit Clearinghouse

Bureau of the Census

1201 East 10th Street

Jeffersonville, IN 47132

C. Other Federal agencies and pass-through entities in accordance with Sections .320 (e) and (f), OMB Circular A-133 as revised.

2. In the event that a copy of the reporting package for an audit required by Section 7.62 Part I of this Agreement and conducted in accordance with OMB Circular A-133 as revised is not required to be submitted to the Department for reasons pursuant to section .320 (e)(2), OMB Circular A-133 as revised, the recipient shall submit the required written notification pursuant to Section .320 (e)(2) and a copy of the recipient's audited schedule of expenditures of Federal awards directly to each of the following:

Florida Department of Transportation
Office of Comptroller, MS 24
605 Suwannee Street
Tallahassee, Florida 32399-0405
Email: FDOTSingleAudit@dot.state.fl.us

In addition, pursuant to Section .320 (f), OMB Circular A-133 as revised, the recipient shall submit a copy of the reporting package described in Section .320 (c), OMB Circular A-133 as revised, and any management letters issued by the auditor, to the Department at the following address:

Florida Department of Transportation
Office of Comptroller, MS 24
605 Suwannee Street
Tallahassee, Florida 32399-0405
Email: FDOTSingleAudit@dot.state.fl.us

3. Copies of financial reporting packages required by Section 7.62 Part II of this Agreement shall be submitted by or on behalf of the recipient directly to each of the following:

A. The Department at the following address:

Florida Department of Transportation
Office of Comptroller, MS 24
605 Suwannee Street
Tallahassee, Florida 32399-0405
Email: FDOTSingleAudit@dot.state.fl.us

B. The Auditor General's Office at the following address:

Auditor General's Office
Room 401, Pepper Building
111 West Madison Street
Tallahassee, Florida 32399-1450

4. Copies of reports or the management letter required by Section 7.62 Part III of this Agreement shall be submitted by or on behalf of the recipient directly to:

A. The Department at the following address:

Florida Department of Transportation
Office of Comptroller, MS 24
605 Suwannee Street
Tallahassee, Florida 32399-0405
Email: FDOTSingleAudit@dot.state.fl.us

5. Any reports, management letter, or other information required to be submitted to the Department pursuant to this Agreement shall be submitted timely in accordance with OMB Circular A-133 as revised, Section 215.97, Florida Statutes, and Chapter 10.550 (local governmental entities) or 10.650 (nonprofit and for-profit organizations), Rules of the Auditor General, as applicable.

6. Recipients, when submitting financial reporting packages to the Department for audits done in accordance with OMB Circular A-133 as revised or Chapters 10.550 (local governmental entities) or 10.650 (nonprofit and for-profit organizations), Rules of the Auditor General, should indicate the date that the reporting package was delivered to the Agency in correspondence accompanying the reporting package.

3.10. CERTIFICATIONS AND ASSURANCES

Applicants must agree to comply with certain Federal requirements by signing the certification and assurances form covered by **Exhibits E, F, G, K and H** of this manual, as appropriate. Compliance items in **Exhibit E** include (but are not limited to) regulations pertaining to charter service and school bus service when using FTA-funded vehicles, equipment, and facilities; and FTA drug and alcohol testing regulations. **Exhibit F** applies to applicants for capital assistance to purchase non-accessible vehicles. Applicants for the Section 5311 Capital Assistance must also sign a certification and assurance to FDOT, as provided in **Exhibit G** of the application. **Exhibit H** pertains to Protection of the Environment and applies to applicants seeking grants for facilities. **Exhibit K** assures compliance with Section 5333(b) of the Federal Transit Act regarding compliance with labor protection provisions, and applies to all applicants.

3.11. GRANT APPLICATION EVALUATION CRITERIA

Section 5311 funds shall be awarded to eligible recipients on the basis of merit and need in accordance with the below evaluation criteria:

1) Service Efficiency and Effectiveness

Examine the data submitted in the application under system description. Compare hours and days of service provided. Rank applicants providing more service, per week, higher than others. Rank applicants providing more rides per seat higher than others.

2) Extent to Which the Community at Large Is Served

Examine the project description, system description and coordination efforts. Rank applicants providing the broadest scope of services and the most service to non-sponsored riders and the general public higher than others.

3) Need

Evaluate the project description and budget. For example, are funds requested for items essential to passenger service, have vehicles being replaced reached the end of their useful

life (in accordance with FDOT *Transit Vehicle Inventory Management, Procedure No. 725-030-025*), is there a large unserved population to which service is being expanded, is there a large number of people dependent on existing service? Rank those demonstrating greater need higher than others.

4) **Fiscal and Managerial Capability**

Consider the overall quality of the proposal as prepared, previous record of timely and accurate reports, prior audit records (if applicable; new applicants should not be penalized by lack of history), maintenance capability (as evidenced by age and mileage of vehicles being replaced), and rank overall capabilities accordingly. *All applicant agencies must register on SAM.gov for the Recipient Risk Assessment review.*

4. GRANT AWARD PROCESS

Awards will be made by the respective FDOT District Office to agencies submitting applications approved by FDOT for an award by issuing a Joint Participation Agreement (JPA) to the recipient.

4.1. GRANT AWARD PROCESS FOR SECTION 5311 OPERATING ASSISTANCE

The District Office may enter into a multi-year JPA to commit funds for up to five (5) years in one JPA. However, the grant recipient must qualify each year by submitting an annual application for Section 5311 funds.

In the case of a multi-year JPA, the JPA does not identify the maximum amount of funding available annually for up to five years to the recipient. Each year of the period, FDOT will award available funding, based on the formula allocation to recipients in each FDOT District, and provide written confirmation to the recipient of any adjustment to the original estimated funding level as a result of changes in Federal appropriations and/or formula allocations.

4.2. GRANT AWARD PROCESS FOR SECTION 5311 CAPITAL ASSISTANCE

Capital Assistance awards will be made by the respective FDOT District Office to agencies submitting applications approved by FDOT for an award by issuing a Joint Participation Agreement (JPA) to the recipient.

5. GENERAL INSTRUCTIONS ON FORMS, CERTIFICATIONS, AND EXHIBITS

Each form, exhibit, and certification provides FDOT with information it must have to make required assurances to the Federal government and to make project selections. It is important that each required form, exhibit, and certification be complete and correct. Applicants should be aware that there are criminal sanctions for furnishing false information in order to obtain federal grants (18 U.S.C. 1001).

The **original** application for Operating Assistance or Capital Assistance should be prepared on white, 8.5 X 11" paper, **one-sided** and securely clipped (no staples, binders, or dividers, please) and submitted to the appropriate FDOT District Office. Each District Office requires at a minimum one (1) original and additional copies, as specified by the District. Copies should be black and white, not color. **Application**

forms, resolutions, exhibits, and certifications must be arranged in the order listed in the “Application Checklist” to ensure that the application is complete. All application responses and attachments must be incorporated into a single Grant Application document. Responses can be typed directly into the application file provided. Applications that are incomplete, illegible, or unsigned may be rejected in writing (i.e., email or letter) from the District.

The **original** application must be accompanied by the **required cover letter** and a **fully-executed Resolution** from the applicant’s governing board (see Appendix). The Resolution should authorize 1) submission of the application; 2) signing of the application and certifications/assurances by a designated individual; 3) acceptance of the grant award by the designated individual; 4) be printed on company letterhead (cover letter).

All signatures should be in blue ink by the individual designated by the governing board of the applicant agency. Blue ink distinguishes an original signature from a photocopy. Only original signature resolutions, applications, and acceptance of grant awards are acceptable. The additional copies of the original application may be photocopies, but should not be color copies. Agencies submitting an application via TransCIP should print and sign the documents and upload a scanned color copy into TransCIP.

Questions regarding the Section 5311 application process should be directed to the FDOT District Office in the applicant’s service area, as shown in the Appendix of this manual.

6. GRANT APPLICATION INSTRUCTIONS

6.1. OPERATING ASSISTANCE APPLICATION INSTRUCTIONS

The operating assistance application instructions that follow should be used to guide the applicant through each section of the application. These instructions follow the order of the 5311 application checklist in the grant application document. All application components must be submitted in this sequence.

6.1.1. OPERATING ASSISTANCE APPLICATION CHECKLIST

The application checklist must be completed prior to submission. If a requirement is not applicable, please indicate with “N/A.”

6.1.2. APPLICANT’S COVER LETTER

A sample cover letter is included in the grant application for completion.

6.1.3. GOVERNING BOARD’S RESOLUTION FORM

A sample resolution form is included in the grant application for completion.

6.1.4. FORM 424: APPLICATION FOR FEDERAL ASSISTANCE

The standard Application for Federal Assistance (Form 424) must be filled out in its entirety for Section 5311 applications, and for the local clearinghouse submission (if the grant is for facilities). A sample of the standard form is located on the next page of this manual. Applicants that are not using TransCIP to submit their applications should print a copy of the completed [Form 424](#) and include it with this application. This form must be used for **ALL** applications.

No pre-application process is used in this program; therefore, all submissions are applications.

The code assigned to the Section 5311 Program in the Catalog of Federal Domestic Assistance is 20.509. This code should be shown in Section 10 of the form followed by the title: “Formula Grants for Rural Areas Program.” [Congressional Districts](#) and [DUNS Numbers](#) can be obtained from the respective linked documents.

If applying for operating assistance only, Standard Form 424 should cover only the Operating Assistance being applied for by the applicant.

If applying for both operating and capital assistance, submit separate Standard Form 424 for Operating and Capital. Each Form 424 must stand alone for the type of request as the categories are different and so are the match requirements: i.e. one form should cover Operating Assistance and a separate form should cover Capital Assistance being applied for by the applicant.

Form 424 Instructions

Item:	Entry:
1.	Type of Submission should be “Application”
2.	Type of Application should be “New”
3.	“Not Applicable”
4.	“Not Applicable”
5. a	“Not Applicable”
5 B	Federal Award Identifier (FTA Grant Number) is not needed at this time. This will be assigned after submission of State POP.
6.	State use only (if applicable)
7.	State Application Identifier is “1001”
8.a, b, c, d e, f	Enter legal name of applicant, name of primary organizational unit (including division, if applicable), which will undertake the assistance activity, enter employer/taxpayer identification number (EIN/TIN) as assigned by Internal Revenue Service, enter the organization’s DUNS number (received from Dun and Bradstreet), enter the complete address of the applicant (including country), and name, telephone number, e-mail and fax of the person to contact on matters related to this application.
9.	Type of Applicant 1: Select Applicant Type
10	Name of Federal Agency should be “ Federal Transit Administration”
11.	Catalog of Federal Domestic Assistance Number is: 20.509 CFDA Title should be: Formula Grants for Rural Areas Program
12.	“Not Applicable”
13.	“Not Applicable”
14	List the areas affected by project (cities, counties, States etc.). Can be submitted on a separate piece of paper.
15.	Enter a brief descriptive title of the project. If appropriate (e.g., construction or real property projects), attach a map showing project location. This is where the applicant should define if the project is for capital or operating, e.g. capital purchase of vehicle(s) or operating assistance for transit services.
16.	List the applicant’s Congressional District and any District(s) affected by the program or project.
17	Enter the proposed start date and end date of the project (dates must be within the same 12-month period/calendar year).
18.	Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in kind contributions should be included on appropriate lines as

	applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item.
19.	Check the applicable box.
20.	Check the applicable box (If “yes”, provide explanation in attachment).
21.	Must be signed by a governing board representative that was authorized to sign this particular application.

Application for Federal Assistance SF-424		
* 1. Type of Submission:	* 2. Type of Application:	* If Revision, select appropriate letter(s):
<input type="checkbox"/> Preapplication <input type="checkbox"/> Application <input type="checkbox"/> Changed/Corrected Application	<input type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision	<input type="text"/> * Other (Specify): <input type="text"/>
* 3. Date Received:	4. Applicant Identifier:	
<input type="text"/>	<input type="text"/>	
5a. Federal Entity Identifier:	5b. Federal Award Identifier:	
<input type="text"/>	<input type="text"/>	
State Use Only:		
6. Date Received by State:	7. State Application Identifier:	
<input type="text"/>	<input type="text"/>	
8. APPLICANT INFORMATION:		
* a. Legal Name:		
<input type="text"/>		
* b. Employer/Taxpayer Identification Number (EIN/TIN):	* c. Organizational DUNS:	
<input type="text"/>	<input type="text"/>	
d. Address:		
* Street1:	<input type="text"/>	
Street2:	<input type="text"/>	
* City:	<input type="text"/>	
County/Parish:	<input type="text"/>	
* State:	<input type="text"/>	
Province:	<input type="text"/>	
* Country:	<input type="text" value="USA: UNITED STATES"/>	
* Zip / Postal Code:	<input type="text"/>	
e. Organizational Unit:		
Department Name:	Division Name:	
<input type="text"/>	<input type="text"/>	
f. Name and contact information of person to be contacted on matters involving this application:		
Prefix:	<input type="text"/>	* First Name:
Middle Name:	<input type="text"/>	
* Last Name:	<input type="text"/>	
Suffix:	<input type="text"/>	
Title:		
<input type="text"/>		
Organizational Affiliation:		
<input type="text"/>		
* Telephone Number:	<input type="text"/>	Fax Number:
<input type="text"/>	<input type="text"/>	<input type="text"/>
* Email:		
<input type="text"/>		

Application for Federal Assistance SF-424

*** 9. Type of Applicant 1: Select Applicant Type:**

Type of Applicant 2: Select Applicant Type:

Type of Applicant 3: Select Applicant Type:

* Other (specify):

*** 10. Name of Federal Agency:**

11. Catalog of Federal Domestic Assistance Number:

CFDA Title:

*** 12. Funding Opportunity Number:**

* Title:

13. Competition Identification Number:

Title:

14. Areas Affected by Project (Cities, Counties, States, etc.):

Add Attachment

Delete Attachment

View Attachment

*** 15. Descriptive Title of Applicant's Project:**

Attach supporting documents as specified in agency instructions.

Add Attachments

Delete Attachments

View Attachments

Application for Federal Assistance SF-424

16. Congressional Districts Of:

* a. Applicant

* b. Program/Project

Attach an additional list of Program/Project Congressional Districts if needed.

Add Attachment

Delete Attachment

View Attachment

17. Proposed Project:

* a. Start Date:

* b. End Date:

18. Estimated Funding (\$):

* a. Federal	<input type="text"/>
* b. Applicant	<input type="text"/>
* c. State	<input type="text"/>
* d. Local	<input type="text"/>
* e. Other	<input type="text"/>
* f. Program Income	<input type="text"/>
* g. TOTAL	<input type="text"/>

*** 19. Is Application Subject to Review By State Under Executive Order 12372 Process?**

- a. This application was made available to the State under the Executive Order 12372 Process for review on .
- b. Program is subject to E.O. 12372 but has not been selected by the State for review.
- c. Program is not covered by E.O. 12372.

*** 20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes," provide explanation in attachment.)**

Yes No

If "Yes", provide explanation and attach

Add Attachment

Delete Attachment

View Attachment

21. *By signing this application, I certify (1) to the statements contained in the list of certifications** and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)

** I AGREE

** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.

Authorized Representative:

Prefix: * First Name:

Middle Name:

* Last Name:

Suffix:

* Title:

* Telephone Number: Fax Number:

* Email:

* Signature of Authorized Representative:

* Date Signed:

6.1.5. EXHIBIT A: CURRENT SYSTEM DESCRIPTION

Applicants must submit Exhibit A as part of their application. Exhibit A should provide a short description of who the applicant is and what services they provide (**not to exceed two [2] pages with 1” margins**). It is required that all applicants provide the Current System Description in a **question/answer format**. **The operating assistance grant application lists the questions requiring responses in Section 1.5.**

If the applicant is a Community Transportation Coordinator (CTC), **relevant pages** of a Transportation Disadvantaged Service Plan (TDSP) and Annual Operating Report (AOR) containing the above information may be provided. Please do not attach entire documents.

GRANT WRITING TIP: Refer to the Evaluation Criteria in Section 3.11 of this manual. An applicant’s narrative should cover the points that will be evaluated.

6.1.6. EXHIBIT A-1: FACT SHEET

Must be completed by all applicants.

6.1.7. EXHIBIT B: PROPOSED PROJECT DESCRIPTION

Applicants must submit Exhibit B as part of their application (**not to exceed three [3] pages with 1” margins**). The proposed project description should be thorough as evaluators will rely heavily on the narrative in reviewing and ranking a grant application. It is required that all applicants provide the Project Description in a **question/answer format**. The project description should not repeat the current system description shown in Exhibit A. **The operating assistance grant application lists the questions requiring responses in Section 1.7.**

GRANT WRITING TIP: Refer to the Evaluation Criteria (see Section 3.11) and be sure Exhibit B covers the points that will be evaluated.

6.1.8. FORM B-1: TRANSIT-RELATED OPERATING AND ADMINISTRATIVE EXPENSES

Information regarding the applicant’s **transit-related** operating and administrative expenses and revenues specific to 5311 funds must be provided with the application for Operating Assistance. **Forms B-1 and B-2**, as provided in the application, should be used for this purpose.

Applicants should show the transit related operating and administrative expenses and revenues of their agency for the proposed project as projected for the year the Section 5311 Grant Award is to be used. For example, the projected expense and revenue budgets for fiscal year 2017/2018 should be used if Section 5311 Assistance is requested by the applicant for use in fiscal year 2017/2018.

Form B-1 provides space for the applicant to:

- show operating and administrative expenses of the service operated/contracted by the applicant,
- calculate a grant request.

Form B-2 provides space for the applicant to:

- show the sources of revenue proposed to pay for the expenses shown in **Form B-1**.

The budget line items shown on the forms were originally defined in the Transportation Accounting Consortium's Model Uniform Accounting System for Rural and Specialized Transportation Providers (TAC Manual). The account numbers in parentheses are the object code numbers for these line items in the TAC manual and in FTA National Transit Data Reports (NTD). Definitions for expense and revenue line items are included below.

DEFINITIONS:

Source: [*National Transit Data Report - NTD*](#)

Operating and Administrative Expenses:

- **(501) labor** - The pay and allowances due employees in exchange for the labor services they render in behalf of the transit system.
- **(502) fringe and benefits** - Payments or accruals to others (insurance companies, governments, etc.) on behalf of an employee and payments or accruals direct to an employee arising from something other than his performance of a piece of work.
- **(503) services** - Labor and other work provided by outside organizations for fees and related expenses.
- **(504) materials and supplies** - Tangible products obtained from outside suppliers or manufactured internally.
- **(504.01) vehicle maintenance** - Cost of fuel and lubricants, tires and tubes, vehicle maintenance parts.
- **(505) utilities** - Payments made to various utilities for utilization of their resources (e.g., electric, gas, water, telephone, etc.)
- **(506) insurance** - Cost elements covering protection of the transit system from loss through insurance programs; compensation of others for their losses due to acts for which the transit system is liable; and recognition of the cost of a miscellaneous category of corporate losses.
- **(507) license and taxes** - Taxes and fees levied against the transit system by Federal, state, and local governments.
- **(508) purchased transit service** - The payment or accrual to other transit systems for providing transportation service.
- **(509) miscellaneous** - Those expenses which cannot be attributed to any of the other major expense categories.
- **(512) leases and rentals** - Payments for the use of capital assets not owned by the transit system.
- **(513) depreciation** - Charges that reflect the loss in service value of the transit system's assets.

Operating and Administrative Revenues:

- **(401) passenger fares for transit services** - Revenue earned from carrying passengers along regularly scheduled routes.
- **(402) special transit fares** - Revenues earned for rides given in regular transit service, but paid for by some organization rather than by the rider, and for rides given along special routes for which revenue may be guaranteed by a beneficiary of the service.
- **(403) school bus service revenues** - Revenues earned from operating vehicles under school bus contracts.
- **(404) freight tariffs** - Revenues earned from carrying freight on runs whose primary purpose is passenger operations.
- **(405) charter service revenues** - Revenues earned from operating vehicles under charter contracts.
- **(406) auxiliary transportation revenues** - Revenues earned from operations closely associated with the transportation operations (e.g., concessions, advertising, automobile ferriage, etc.).
- **(407) nontransportation revenues** - Revenues earned from activities not associated with the provision of the transit system's transit service (e.g., sale of maintenance services, rental of revenue

vehicles, rental of buildings and other property, investment income, parking lot revenue, etc.).

- **(408) taxes levied directly by transit system** - Tax revenues to transit systems that are organized as independent political subdivision with their own taxation authority.
- **(409) local cash grants and reimbursements** - Funds obtained from local government units to assist in paying the cost of operating transit services.
- **(410) local special fare assistance** - Funds obtained from local government units to help cover the difference between full adult fares and special reduced fares (*includes local social service contract funds*).
- **(411) state cash grants and reimbursements** - Funds obtained from state government to assist in paying the cost of operating transit services (*includes Commission for the Transportation Disadvantaged grant funds*).
- **(412) state special fare assistance** - Funds obtained from state government to help cover the difference between full adult fares and special reduced fares (*includes state social service contract funds*).
- **(413) federal cash grants and reimbursements** - Funds obtained from the Federal government to assist in paying the cost of operating transit services. Include and identify the source of unrestricted Federal Funds used as match.
- **(414) interest income** - Revenues earned from the lending or deposit of funds.
- **(430) contributed services** - The receipt of services (not cash) from another entity where such services benefit transit operations and the transit operator is under no obligation to pay for the services.
- **(431) contributed cash** - The receipt of funds from another entity where such funds benefit transit operations and the transit operator is under no obligation to repay the funds.
- **(440) subsidy from other sectors of operations** - Funds obtained from other sectors of a transit company's operations to help cover the cost of providing transit service.

Instructions for Completing Form B-1

Applicants should complete both the “Total Expense” and “FTA Eligible Expense” columns of **Form B-1**. In completing the form, Community Transportation Coordinators (CTCs) may use expense information from the budget in their most current TDSP. The “Total Expense” column should show all operating and administrative expenses associated with the proposed transportation service. The definitions for each line item code, as provided in the Appendix of this manual, apply. The “FTA Eligible Expense” column should include only those expenses that are eligible under FTA rules for service provided in rural areas. This means, for example, that expenses for charter service, school bus service, transportation service not open to the general public, service exclusively inside an urbanized area, depreciation expense, and other ineligible expenses would not appear in the “FTA Eligible Expense” column.

After completing the expense columns on **Form B-1**, applicants should next complete **Form B-2** (see instructions below).

To calculate the grant request on **Form B-1**:

- Enter the total (a) from the FTA Eligible Expense column of **Form B-1**.
- Enter the rural passenger fare revenue (b) from the first row of **Form B-2** (object Code 401- rural revenue).
- Subtract the passenger fare revenue (b) from the FTA Eligible Expense (a) to determine the operating deficit (c).
- Complete the Section 5311 request (d). Applicants may request no more than 50% of the operating deficit. Total revenues may not exceed total costs. Therefore, it may be necessary to adjust the Section 5311 request to an amount less than 50% of the deficit calculated.

Note: In completing Form B-1 and B-2, applicants serving both urban and rural areas should use the same mechanism for segregating urban and rural expenses as they do for segregating urban and rural revenues (See “Services Across Urbanized / Rural Area Boundaries”).

6.1.9. FORM B-2: TRANSIT-RELATED OPERATING AND ADMINISTRATIVE REVENUES

Applicants should complete both the “Total Revenue” and “Revenue Used as FTA Match” columns of **Form B-2**.

- In completing **Form B-2**, CTCs may use revenue information from the budget in their most current TDSP.
- The “Total Revenue” column should show all revenues used to pay for the expenses shown in Form B-1, as noted previously. The definitions for each line item code, as provided in the Appendix of this manual, apply.
- The “Revenue Used as FTA Match” column separates total revenues from revenues accepted by FTA as match. This includes revenues in object codes 410, 411, 412, and 430. It also includes revenues in object code 413 EXCEPT for any FTA or other USDOT funds. In other words, FTA or other USDOT revenues should be deducted from the amount shown in object code 413 in the “Total Revenue” column, and the balance should be shown in the “Revenue Used as FTA Match” column.

- Both columns should be totaled and (b) “Total Rural Passenger Fares” (401) and (e) “Grand Total Revenues” and this total should then be transferred to the grant request section of **Form B-1**.

6.1.10 FORM B-3: PROOF OF LOCAL MATCH

The Section 5311 federal share of eligible operating expenses may not exceed 50%. Some combination of state, local, or private funding sources must be identified and committed to provide the required non-federal share. The non-federal share may be cash, or in-kind contributions. Funds may be local, private, state, or (up to one half) unrestricted Federal funds. Funds may not include any borrowed against the value of capital equipment funded in whole or in part by State and/or Federal sources.

The Section 5311 Program is unique to Federal programs in that it permits up to one half the required match to be derived from other unrestricted Federal funds. Federal funds are unrestricted when a Federal agency permits its funds to match Section 5311. Essentially all Federal social service programs, such as Medicaid, employment training, vocational rehabilitation services and Temporary Assistance for Needy Families, using transit services are unrestricted; other USDOT Programs are not considered unrestricted Federal funds.

Contract revenue from the provision of transit services to social service agencies may also be used as local match. The costs associated with providing the contract revenue service must be included in the project budget if using contract revenue as match. In most other Federal programs, such revenues would be treated as program income, not as match.

Non-cash, in-kind contributions such as donations of goods or services, volunteered services are eligible to be counted towards the local match only if their value is formally documented, supported and pre-approved by the District Office. Any funds committed as match to another Federal program may not be used to match Section 5311 funds.

The Applicant Agency must certify that matching funds are available at the time of application.

6.1.11 FORM B-4: BREAKDOWN OF TRANSPORTATION COSTS

If operating funding is being requested the applicant must complete one of the two (2) requested sections within Form B-4. The applicant can elect to complete the form using

1) Hourly Rate or 2) Per Trip Rate (one or the other) calculation. Only one rate calculation (hourly operating rate or per trip rate) section must be provided with the grant application.

If the applicant has an approved rate by the Commission for Transportation Disadvantaged (TD) for reimbursable service to TD clients include this rate with your application.

6.1.12 FORM B-5: CALCULATING SERVICE AREA PERCENTAGES

Use this form **only** if your request is for operating costs in **more than one service area type** (i.e., Urban, Small Urban, and Rural).

6.1.13 EXHIBIT E: FEDERAL CERTIFICATIONS AND ASSURANCES

The **last** page (Appendix A) of the annual Federal Register Notice that applies to Federal Certifications and Assurances provides applicants with a single signature page on which an applicant and its attorney must certify compliance with the requirements of the various Federal Transit Administration grants or cooperative agreements. The Federal Register Notice is revised annually and is usually available around January 1 of each year. Applicants may obtain a copy of the current year document through the internet at the [FTA web site](#). If unable to access the form, applicants may contact their FDOT District Office for assistance. The appropriate signed Federal certification/assurance form must be included in the application when it is submitted to the FDOT District Office.

Submissions in TrAMS: An applicant submitting certifications and assurances for their agency in TrAMS can attach a screenshot of their PIN as replacement of the signature page.

GRANT WRITING TIP: All applicants must use the current year form and it must be the actual form from the Federal Transit Administration (FTA). This form cannot be an edited version of a prior year's forms or a recreation of the form. **DO NOT copy this form onto agency letterhead for signature, it will be returned to you and delay processing your grant request.**

The signature page for Federal Certifications and Assurances should be signed by an individual authorized by the applicant's governing board to sign and submit applications, and its attorney. [Blue ink](#) is required as it distinguishes an original signature from a photocopied signature.

Federal Certifications and Assurances Required of Each Applicant:

- Authority of applicant and its representative
- Standard Assurances
- [Debarment and Suspension, and other Responsibility Matters](#)
- [Drug Free Workplace Certification](#)
- Intergovernmental Review Assurance
- [Federal Transit Administration Master Agreement](#)
- Nondiscrimination Assurance
- Assurance of Nondiscrimination on the Basis of Disability Procurement Compliance.

Applicants for Federal Assistance may signify compliance with the above certifications and assurances by placing an "X" at the top of Appendix A next to the statement that reads: "The Applicant agrees to comply with applicable requirements of Categories 01-24". If an applicant chooses to do this, no additional notation is necessary, except for the signature on the reverse.

A description of the certifications required for the Section 5311 Formula Grants for Rural Areas Program is provided in the annual Federal Register Notice.

6.1.14 EXHIBIT J: STANDARD LOBBYING CERTIFICATION FORM

All grant awards issued to a recipient in the amount of \$100,000 or more must include a signed standard lobbying form, available in the 5311 Grant Application.

6.1.15 EXHIBIT K: FTA SECTION 5333 (B) ASSURANCE

All applicants must include a signed FTA Section 5333 (B) Assurance form, available in the 5311 Grant Application.

FTA Section 5333(B) Assurance – Sample

(1) Recipient	(2) Project Description	(3) Other Eligible Transportation Providers	(4) Labor Organization Representing Employees of Providers, if any
Identify Recipients of Transportation Assistance under this grant.	Cite Project by Name, Description, and Provider (e.g. Recipient, other Agency, or Contractor)	Identify Other Eligible Surface Transportation Providers (Type of Service)	Identify Unions (and providers) Representing Employees of Providers in Column 1, 2, and 3
A) ABC County Transit	Application for Section 5311 funds for Operating Assistance for FY 02 for ABC County Transit to provide public transportation service to residents of rural areas of the county traveling within the rural area and/or to the adjacent urban area and return to rural domicile.	A) XYZ Transit, Inc. (intercity service) B) MNOP Transit, Inc. (urban transit service)	A) No union (ABC County Transit) B) ATU L.U. #000 (XYZ Transit, Inc.) C) MNOP Transit Drivers Association (MNOP Transit, Inc.)

6.1.16 COPY OF THE TITLE VI PROGRAM

If an applicant has not previously submitted their Title VI plan to the Department, a copy must be included.

6.2. CAPITAL ASSISTANCE APPLICATION INSTRUCTIONS

The capital assistance application instructions should be used to guide the applicant through each required section of the application. These instructions follow the order of the capital assistance application checklist in the grant application document. All application components must be submitted in this sequence.

6.2.1. CAPITAL ASSISTANCE APPLICATION CHECKLIST

The application checklist must be completed prior to submission. If a requirement is not applicable, please indicate with “N/A.”

6.2.2. APPLICANT’S COVER LETTER

A sample cover letter is included in the grant application for completion.

6.2.3. GOVERNING BOARD’S RESOLUTION FORM

A sample resolution form is included in the grant application for completion.

6.2.4. FORM 424: APPLICATION FOR FEDERAL ASSISTANCE

The standard Application for Federal Assistance (Form 424) must be filled out in its entirety for Section 5311 applications, and for the local clearinghouse submission (if the grant is for facilities). A sample of the standard form is located on the next page of this manual. Applicants that are not using TransCIP to submit their applications should print a copy of the completed [Form 424](#) and include it with this application. This form must be used for **ALL** applications.

No pre-application process is used in this program; therefore, all submissions are applications.

The code assigned to the Section 5311 Program in the Catalog of Federal Domestic Assistance is 20.509. This code should be shown in Section 10 of the form followed by the title: “Formula Grants for Rural Areas Program.” [Congressional Districts](#) and [DUNS Numbers](#) can be obtained from the respective linked documents.

If applying for capital assistance only, Standard Form 424 should cover only the Capital Assistance being applied for by the applicant.

If applying for both operating and capital assistance, submit separate Standard Form 424s. Each Form 424 must stand alone for the type of request as the categories are different and so are the match requirements: i.e. one form should cover Operating Assistance and a separate form should cover Capital Assistance.

Form 424 Instructions

Item:	Entry:
1.	Type of Submission should be “Application”
2.	Type of Application should be “New”
3.	“Not Applicable”
4.	“Not Applicable”
5. a	“Not Applicable”
5 B	Federal Award Identifier (FTA Grant Number) is not needed at this time. This will be assigned after submission of State POP.
6.	State use only (if applicable)
7.	State Application Identifier is “1001”
8.a, b, c, d e, f	Enter legal name of applicant, name of primary organizational unit (including division, if applicable), which will undertake the assistance activity, enter employer/taxpayer identification number (EIN/TIN) as assigned by Internal Revenue Service, enter the organization’s DUNS number (received from Dun and Bradstreet), enter the complete address of the applicant (including country), and name, telephone number, e-mail and fax of the person to contact on matters related to this application.
9.	Type of Applicant 1: Select Applicant Type
10	Name of Federal Agency should be “ Federal Transit Administration”
11.	Catalog of Federal Domestic Assistance Number is: 20.509 CFDA Title should be: Formula Grants for Rural Areas Program
12.	“Not Applicable”
13.	“Not Applicable”
14	List the areas affected by project (cities, counties, States etc.). Can be submitted on a separate piece of paper.
15.	Enter a brief descriptive title of the project. If appropriate (e.g., construction or real property projects), attach a map showing project location. This is where the applicant should define if the project is for capital or operating, e.g. capital purchase of vehicle(s) or operating assistance for transit services.
16.	List the applicant’s Congressional District and any District(s) affected by the program or project.
17	Enter the proposed start date and end date of the project (dates must be within the same 12-month period/calendar year).
18.	Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in kind contributions should be included on appropriate lines as

	applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item.
19.	Check the applicable box.
20.	Check the applicable box (If “yes”, provide explanation in attachment).
21.	Must be signed by a governing board representative that was authorized to sign this particular application.

Application for Federal Assistance SF-424		
* 1. Type of Submission:	* 2. Type of Application:	* If Revision, select appropriate letter(s):
<input type="checkbox"/> Preapplication <input type="checkbox"/> Application <input type="checkbox"/> Changed/Corrected Application	<input type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision	<input type="text"/> * Other (Specify): <input type="text"/>
* 3. Date Received:	4. Applicant Identifier:	
<input type="text"/>	<input type="text"/>	
5a. Federal Entity Identifier:	5b. Federal Award Identifier:	
<input type="text"/>	<input type="text"/>	
State Use Only:		
6. Date Received by State:	7. State Application Identifier:	
<input type="text"/>	<input type="text"/>	
8. APPLICANT INFORMATION:		
* a. Legal Name:		
<input type="text"/>		
* b. Employer/Taxpayer Identification Number (EIN/TIN):	* c. Organizational DUNS:	
<input type="text"/>	<input type="text"/>	
d. Address:		
* Street1:	<input type="text"/>	
Street2:	<input type="text"/>	
* City:	<input type="text"/>	
County/Parish:	<input type="text"/>	
* State:	<input type="text"/>	
Province:	<input type="text"/>	
* Country:	<input type="text" value="USA: UNITED STATES"/>	
* Zip / Postal Code:	<input type="text"/>	
e. Organizational Unit:		
Department Name:	Division Name:	
<input type="text"/>	<input type="text"/>	
f. Name and contact information of person to be contacted on matters involving this application:		
Prefix:	<input type="text"/>	* First Name:
Middle Name:	<input type="text"/>	
* Last Name:	<input type="text"/>	
Suffix:	<input type="text"/>	
Title:		
<input type="text"/>		
Organizational Affiliation:		
<input type="text"/>		
* Telephone Number:	<input type="text"/>	Fax Number:
<input type="text"/>	<input type="text"/>	<input type="text"/>
* Email:		
<input type="text"/>		

Application for Federal Assistance SF-424

*** 9. Type of Applicant 1: Select Applicant Type:**

Type of Applicant 2: Select Applicant Type:

Type of Applicant 3: Select Applicant Type:

* Other (specify):

*** 10. Name of Federal Agency:**

11. Catalog of Federal Domestic Assistance Number:

CFDA Title:

*** 12. Funding Opportunity Number:**

* Title:

13. Competition Identification Number:

Title:

14. Areas Affected by Project (Cities, Counties, States, etc.):

Add Attachment

Delete Attachment

View Attachment

*** 15. Descriptive Title of Applicant's Project:**

Attach supporting documents as specified in agency instructions.

Add Attachments

Delete Attachments

View Attachments

Application for Federal Assistance SF-424

16. Congressional Districts Of:

* a. Applicant

* b. Program/Project

Attach an additional list of Program/Project Congressional Districts if needed.

Add Attachment

Delete Attachment

View Attachment

17. Proposed Project:

* a. Start Date:

* b. End Date:

18. Estimated Funding (\$):

* a. Federal	<input type="text"/>
* b. Applicant	<input type="text"/>
* c. State	<input type="text"/>
* d. Local	<input type="text"/>
* e. Other	<input type="text"/>
* f. Program Income	<input type="text"/>
* g. TOTAL	<input type="text"/>

*** 19. Is Application Subject to Review By State Under Executive Order 12372 Process?**

- a. This application was made available to the State under the Executive Order 12372 Process for review on .
- b. Program is subject to E.O. 12372 but has not been selected by the State for review.
- c. Program is not covered by E.O. 12372.

*** 20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes," provide explanation in attachment.)**

Yes No

If "Yes", provide explanation and attach

Add Attachment

Delete Attachment

View Attachment

21. *By signing this application, I certify (1) to the statements contained in the list of certifications** and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)

** I AGREE

** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.

Authorized Representative:

Prefix: * First Name:
 Middle Name:
 * Last Name:
 Suffix:

* Title:

* Telephone Number: Fax Number:

* Email:

* Signature of Authorized Representative:

* Date Signed:

6.2.5. EXHIBIT A: CURRENT SYSTEM DESCRIPTION

Applicants must submit Exhibit A as part of their application. Exhibit A should provide a short description of who the applicant is and what services they provide (**not to exceed three pages with 1” margins**). It is required that all applicants provide the Current System Description in a **question/answer format**. **The operating assistance grant application lists the questions requiring responses.**

If the applicant is a Community Transportation Coordinator (CTC), **relevant pages** of a Transportation Disadvantaged Service Plan (TDSP) and Annual Operating Report (AOR) containing the above information may be provided. Please do not attach entire documents.

GRANT WRITING TIP: Refer to the Evaluation Criteria in Section 3.11 of this manual. An applicant’s narrative should cover the points that will be evaluated.

6.2.6. EXHIBIT A-1: FACT SHEET

Must be completed by all applicants.

6.2.7. EXHIBIT B: PROPOSED PROJECT DESCRIPTION

Applicants must submit Exhibit B as part of their application (**not to exceed three [3] pages with 1” margins**). The proposed project description should be thorough as evaluators will rely heavily on the narrative in reviewing and ranking a grant application. It is required that all applicants provide the Project Description in a **question/answer format**. The project description should not repeat the current system description shown in Exhibit A. **The operating assistance grant application lists the questions requiring responses.**

GRANT WRITING TIP: Refer to the Evaluation Criteria (see Section 3.11) and be sure Exhibit B covers the points that will be evaluated.

6.2.8. EXHIBIT C: PUBLIC HEARING

An opportunity for a public hearing is required **ONLY for public agencies** requesting Section 5311 Capital Assistance. An application for Section 5311 Capital Assistance submitted by a public agency should contain a copy of the notice of public hearing (identified as Exhibit C) and an affidavit of publication.

A sample public notice is located in the 5311 Grant Application. A public notice should contain all pertinent information relating to the project (such as number and types of vehicles as well as the estimated cost of the vehicles) and should run at least one time in a newspaper of general circulation in the applicant’s service area, no less than 15 or more than 30 days prior to the submission of an application. The notice should state that persons requesting a hearing must notify the applicant of the request, in writing, and send a copy of the request for a hearing to the FDOT District Office.

The deadline for hearing requests **must** be prior to the date applications are due at the District Office. If a hearing is requested:

1. A hearing **must** be conducted;

2. The FDOT District Office must be notified of the date, time, and location of the hearing; and
3. A copy of the minutes of the hearing (to include a discussion of issues raised and resolution of issues) must be submitted to the FDOT District Office, before a Section 5311 Award can be made.

6.2.9. FORM C-1: OPERATING AND ADMINISTRATIVE EXPENSES

Information regarding the applicant's transit-related operating and administrative expenses and revenues must be provided with the application. **Forms C-1 and C-2** are included in this manual for that purpose. These forms should provide information about operating and administrative expenses of the vehicles or service operated/provided by the applicant, as described in **Exhibits A and B** of the application, and information about the sources of revenue used to pay for these expenses.

The budget line items shown on the forms were originally defined in the Transportation Accounting Consortium's Model Uniform Accounting System for Rural and Specialized Transportation Providers (TAC Manual). The account numbers in parentheses are the object code numbers for these line items in the TAC Manual and in FTA National Transit Data Reports (NTD). Definitions for expense and revenue line items are included below.

Applicants should show the transit-related operating and administrative expenses and revenues of their agency as projected for the year the Section 5311 Grant Award is requested. For example, the projected expense and revenue budgets for fiscal year 2017/2018 should be used if Section 5311 assistance is requested by the agency for use in fiscal year 2017/2018.

DEFINITIONS: *Source: [National Transit Data Report - NTD](#)*

Operating and Administrative Expenses:

- **(501) labor** - The pay and allowances due employees in exchange for the labor services they render in behalf of the transit system.
- **(502) fringe and benefits** - Payments or accruals to others (insurance companies, governments, etc.) on behalf of an employee and payments or accruals direct to an employee arising from something other than his performance of a piece of work.
- **(503) services** - Labor and other work provided by outside organizations for fees and related expenses.
- **(504) materials and supplies** - Tangible products obtained from outside suppliers or manufactured internally.
- **(504.01) vehicle maintenance** - Cost of fuel and lubricants, tires and tubes, vehicle maintenance parts.
- **(505) utilities** - Payments made to various utilities for utilization of their resources (e.g., electric, gas, water, telephone, etc.).
- **(506) insurance** - Cost elements covering protection of the transit system from loss through insurance programs; compensation of others for their losses due to acts for which the transit system is liable; and recognition of the cost of a miscellaneous category of corporate losses.
- **(507) license and taxes** - Taxes and fees levied against the transit system by Federal, state, and local

governments.

- **(508) purchased transit service** - The payment or accrual to other transit systems for providing transportation service.
- **(509) miscellaneous** - Those expenses which cannot be attributed to any of the other major expense categories.
- **(512) leases and rentals** - Payments for the use of capital assets not owned by the transit system.
- **(513) depreciation** - Charges that reflect the loss in service value of the transit system's assets.

Operating and Administrative Revenues:

- **(401) passenger fares for transit services** - Revenue earned from carrying passengers along regularly scheduled routes.
- **(402) special transit fares** - Revenues earned for rides given in regular transit service, but paid for by some organization rather than by the rider, and for rides given along special routes for which revenue may be guaranteed by a beneficiary of the service.
- **(403) school bus service revenues** - Revenues earned from operating vehicles under school bus contracts.
- **(404) freight tariffs** - Revenues earned from carrying freight on runs whose primary purpose is passenger operations.
- **(405) charter service revenues** - Revenues earned from operating vehicles under charter contracts.
- **(406) auxiliary transportation revenues** - Revenues earned from operations closely associated with the transportation operations (e.g., concessions, advertising, automobile ferriage, etc.).
- **(407) nontransportation revenues** - Revenues earned from activities not associated with the provision of the transit system's transit service (e.g., sale of maintenance services, rental of revenue vehicles, rental of buildings and other property, investment income, parking lot revenue, etc.).
- **(408) taxes levied directly by transit system** - Tax revenues to transit systems that are organized as independent political subdivision with their own taxation authority.
- **(409) local cash grants and reimbursements** - Funds obtained from local government units to assist in paying the cost of operating transit services.
- **(410) local special fare assistance** - Funds obtained from local government units to help cover the difference between full adult fares and special reduced fares (*includes local social service contract funds*).
- **(411) state cash grants and reimbursements** - Funds obtained from state government to assist in paying the cost of operating transit services (*includes Commission for the Transportation Disadvantaged grant funds*).
- **(412) state special fare assistance** - Funds obtained from state government to help cover the difference between full adult fares and special reduced fares (*includes state social service contract funds*).
- **(413) federal cash grants and reimbursements** - Funds obtained from the Federal government to

assist in paying the cost of operating transit services. Include and identify the source of unrestricted Federal Funds used as match.

- **(414) interest income** - Revenues earned from the lending or deposit of funds.
- **(430) contributed services** - The receipt of services (not cash) from another entity where such services benefit transit operations and the transit operator is under no obligation to pay for the services.
- **(431) contributed cash** - The receipt of funds from another entity where such funds benefit transit operations and the transit operator is under no obligation to repay the funds.
- **(440) subsidy from other sectors of operations** - Funds obtained from other sectors of a transit company's operations to help cover the cost of providing transit service.

6.2.10 FORM C-2: OPERATING AND ADMINISTRATIVE REVENUES

All applicants for capital assistance must complete this form using the codes identified in the above section 6.2.9.

6.2.11 FORM C-3: PROOF OF LOCAL MATCH

Some combination of state, local, or private funding sources must be identified and committed to provide the required non-federal share. Applicants may not borrow funds to use as match nor may they place liens on Section 5311 funded vehicles or equipment. The federal share of eligible capital costs shall not exceed 80%.

The agency must certify that matching funds are available at the time of application.

6.2.12 FORM C-4: CURRENT VEHICLE AND TRANSPORTATION EQUIPMENT INVENTORY FORM

Applicants must complete the “Current Vehicle and Transportation Equipment Inventory” (Form C-4). All columns of the form must be completed. Applicants should refer to the “What’s on the Market” summary located in the Appendix to identify the vehicle types available, but should also reference the [TRIPS website](#) to access the contracts for the vehicle(s) they are interested in to estimate the cost to fulfill their agency’s specific needs and the amount of their request. The form must include:

- A current list of all vehicles and equipment used by the applicant to transport individuals, including those bought in previous years with Federal funds;
- Those vehicles bought with other than Federal funds;
- Those vehicles now on order; and
- Those vehicles to be ordered with grant awards made in previous years.
- An asterisk (*) should be placed next to the model year of vehicles to be replaced with the grant being applied for with this application.
- Vehicles can only be listed as “replacement” once. If a replacement award was previously given for

a vehicle, that vehicle cannot be listed for replacement again.

- Vehicles operated by the applicant’s contractor or lessee should also be identified, and the name of the contractor/lessee shown in Exhibit B of the application.

6.2.13 FORM C-5: CAPITAL REQUEST

Applicants must complete the “Capital Request”, Form C-5, provided in the 5311 Grant Application. The upper part of the form (vehicle request) covers vehicles; the lower (equipment requests), covers other capital equipment such as radios, computer software, computer hardware, etc. Any bus options that are part of purchasing the bus itself should be part of the vehicle request and NOT separated out under equipment.

If agency is requesting capital that is not a vehicle (i.e. a mobility manager), place the costs of the position under Equipment.

NOTE: In the case of vehicles, applicants should be sure to indicate whether the new vehicle is to replace (R) an older vehicle or expand (E) the fleet by adding a new vehicle. The length of the vehicle, the number of passenger seats & wheelchair positions, lift or ramp, and the type of fuel is also important because this affects the cost. The make of the vehicle should not be shown on the form.

Applicants should refer to “What’s on the Market”, located in the Appendix, to identify the most appropriate vehicle type for its needs, and the estimated cost. The appropriate FDOT District Office may be contacted for assistance (see Appendix).

6.2.14 FORM C-6: CAPITAL REQUEST METHODOLOGY FORM

Complete one request form if all vehicles being requested are the same type and configuration. Complete another form to request a vehicle of a different type and configuration.

Information to fill this form out may be found at on the [TRIPS website](#) and or at the [DMS website](#) for small vehicles; cars or station wagons.

6.2.15 EXHIBIT D: LEASING

Exhibit must be completed by all applicants for capital assistance.

6.2.16 EXHIBIT E: FEDERAL CERTIFICATIONS AND ASSURANCES

The **last** page (Appendix A) of the annual Federal Register Notice that applies to Federal Certifications and Assurances provides applicants with a single signature page on which an applicant and its attorney must certify compliance with the requirements of the various Federal Transit Administration grants or cooperative agreements. The Federal Register Notice is revised annually and is usually available around January 1 of each year. Applicants may obtain a copy of the current year document through the internet at the [FTA web site](#). If unable to access the form, applicants may contact their FDOT District Office for assistance. The appropriate signed Federal certification/assurance form must be included in the application when it is submitted to the FDOT District Office.

Submissions in TrAMS: An applicant submitting certifications and assurances for their agency in TrAMS can attach a screenshot of their PIN as replacement of the signature page.

GRANT WRITING TIP: All applicants must use the current year form and it must be the actual form from the Federal Transit Administration (FTA). This form cannot be an edited version of a prior year's forms or a recreation of the form. **DO NOT copy this form onto agency letterhead for signature, it will be returned to you and delay processing your grant request.**

The signature page for Federal Certifications and Assurances should be signed by an individual authorized by the applicant's governing board to sign and submit applications, and its attorney. Blue ink is required as it distinguishes an original signature from a photocopied signature.

Federal Certifications and Assurances Required of Each Applicant:

- Authority of applicant and its representative
- Standard Assurances
- [Debarment and Suspension, and other Responsibility Matters](#)
- [Drug Free Workplace Certification](#)
- Intergovernmental Review Assurance
- [Federal Transit Administration Master Agreement](#)
- Nondiscrimination Assurance
- Assurance of Nondiscrimination on the Basis of Disability Procurement Compliance.

Applicants for Federal Assistance may signify compliance with the above certifications and assurances by placing an "X" at the top of Appendix A next to the statement that reads: "The Applicant agrees to comply with applicable requirements of Categories 01-24". If an applicant chooses to do this, no additional notation is necessary, except for the signature on the reverse.

A description of the certifications required for the Section 5311 Formula Grants for Rural Areas Program is provided in the annual Federal Register Notice.

6.2.17 EXHIBIT F: CERTIFICATION OF EQUIVALENT SERVICE

If the applicant wants to purchase non-accessible vehicles for demand responsive service, they must provide a detailed explanation as to the need for this type of vehicle (sedan, station wagon or passenger van) in addition to the “Certification of Equivalent Service” must be completed and included in the application.

6.2.18 EXHIBIT G: APPLICANT CERTIFICATION AND ASSURANCES TO FDOT

To be completed and signed by an individual authorized by the governing board of the applicant agency and submitted with the grant application.

6.2.19 EXHIBIT J: STANDARD LOBBYING CERTIFICATION FORM

All grant awards issued to a recipient in the amount of \$100,000 or more must include a signed standard lobbying form, available in the 5311 Grant Application.

6.2.20 EXHIBIT K: FTA SECTION 5333 (B) ASSURANCE

All applicants must include a signed FTA Section 5333 (B) Assurance form, available in the 5311 Grant Application.

FTA Section 5333(B) Assurance – Sample

(1) Recipient	(2) Project Description	(3) Other Eligible Transportation Providers	(4) Labor Organization Representing Employees of Providers, if any
Identify Recipients of Transportation Assistance under this grant.	Cite Project by Name, Description, and Provider (e.g. Recipient, other Agency, or Contractor)	Identify Other Eligible Surface Transportation Providers (Type of Service)	Identify Unions (and providers) Representing Employees of Providers in Column 1, 2, and 3
A) ABC County Transit	Application for Section 5311 funds for Operating Assistance for FY 02 for ABC County Transit to provide public transportation service to residents of rural areas of the county traveling within the rural area and/or to the adjacent urban area and return to rural domicile.	A) XYZ Transit, Inc. (intercity service) B) MNOP Transit, Inc. (urban transit service)	A) No union (ABC County Transit) B) ATU L.U. #000 (XYZ Transit, Inc.) C) MNOP Transit Drivers Association (MNOP Transit, Inc.)

6.2.21 COPY OF THE TITLE VI PROGRAM

If an applicant has not previously submitted their Title VI plan to the Department, a copy must be included.

6.2.22 COPY OF COVER LETTER SENT WITH APPLICATION SUBMITTED TO LOCAL CLEARINGHOUSE AGENCY/RPC

If the grant application is for facilities, please include a copy of the cover letter submitted to the local clearinghouse agency or RPC.

6.2.23 EXHIBIT H: PROTECTION OF THE ENVIRONMENT (IF GRANT IS FOR FACILITIES)

Most transit projects funded under Section 5311 will be classified by FTA as categorical exclusions. Examples of categorical exclusions include purchase of transit vehicles, and purchase of office equipment. If the proposed project is for construction or acquisition of facilities or other buildings, further evaluation may be required before a determination can be made that the project is a categorical exclusion. A Categorical Exclusion (CE) is described in 40 Code of Federal Regulations (CFR) 1508.4 and 23 CFR 771, as a project which, based upon past experience with similar actions, does not individually or cumulatively have a significant environmental effect, and is excluded from the requirement to prepare an Environmental Assessment (EA) or an Environmental Impact Statement (EIS). Therefore, a project that qualifies as a CE generally requires a lower level of documentation. These projects do not bring significant impacts to planned growth or land use for the area; do not require the relocation of significant numbers of people; do not have a significant impact on any natural, cultural, recreational, historic, or other resources; do not involve significant air, noise, or water quality impacts; do not have significant impacts on travel patterns; and do not otherwise individually or cumulatively have any significant environmental impacts.

Types of projects that have been determined by FTA to qualify as CEs, and normally do not require any further National Environmental Policy Act (NEPA) approvals by FTA, are listed in 23 CFR 771.118(c). Additional actions which meet the criteria for a CE but may be designated as CEs only after FTA approval are listed in 23 CFR 771.118 (d). In these cases, the applicant must submit documentation which demonstrates that the specific conditions or criteria for these CEs are satisfied and that significant environmental effects will not result.

To meet the requirements of a CE goal, a proposed project may not be impermissibly segmented from a larger project. This means that a project may be proposed to be implemented in phases or as part of a larger undertaking, but must still demonstrate independent utility, connect logical termini, and should not restrict consideration of alternatives. In order to meet a CE designation, a proposed project cannot have substantial controversy on environmental grounds, or significant impact to properties protected by Section 4(f) of the US DOT Act (public park and recreation lands, wildlife and waterfowl refuges, and historic sites) or Section 106 of the National Historic Preservation Act (cultural resources including historic and archaeological sites). The presence of features such as wetlands and floodplains within the project area would likely also require additional documentation.

The applicant should contact the Florida Department of Transportation (FDOT) District Office for assistance with determining the level of documentation required. The FDOT will use a description of the proposed project, along with any maps or figures to assist with determining if a proposed project is likely to meet FTA criteria for a CE.

7. APPENDIX

7.1. WHAT'S ON THE MARKET

Below is a listing of all active contracts available through the FDOT TRIPS Program for the purchase of new transit vehicles. **The Auto and Light Truck contract can be found at [The Florida Department of Management Services \(DMS\) website](#).** Some new types of vehicles have entered the community transportation market in the last few years. They generally fall into the following categories of expected minimum life of service years and mileage:

FDOT Minimum Service Life – 4 years and/or 150,000 miles:

FORD TRANSIT MINIBUS

8550, 9000, 9250, and 10,360 GVWR

150 Low Roof, 150 Med Roof, 350 Med Roof, 350 Med Roof XL, 350 High Roof HD

Ford Transit type vehicle in various configurations including commuter type vehicle

(Ambulatory Seating Capacity) - Indicates number of seats without wheel chairs (plus Driver)

Creative Bus Sales, Inc.					
GVWR/Length	Ambulatory Seating Capacity	Price	Wheelchair Positions	Contract #	Order Packet & Pricing
9000#/20'	11 + D	\$42,410	N/A	TRIPS-15-MB-CB	Order Packet
10,360#/22	12 + D	\$53,480	2		
Nations Bus					
GVWR/Length	Ambulatory Seating Capacity	Price	Wheelchair Positions	Contract #	Order Packet & Pricing
8550#/18	8 + D	\$46,163	N/A	TRIPS-15-MB-NB	Order Packet
9250#/20	11 + D	\$50,664	2		
10,360#/22	12 + D	\$55,308	2		
Getaway Bus, LLC					
GVWR/Length	Ambulatory Seating Capacity	Price	Wheelchair Positions	Contract #	Order Packet & Pricing
8550#/18 Low	9 + D	\$47,807	N/A	TRIPS-15-MB-GB	Order Packet
8550#/18 Mid	9 + D	\$48,450	N/A		
9,000#/18	11 + D	\$52,408	N/A		
10,360#/22	12 + D	\$54,093	N/A		

FDOT Minimum Service Life – 5 years and/or 200,000 miles:

MV-1 PURPOSE BUILT SPECIAL NEEDS VEHICLE

Creative Bus Sales, Inc.					
GVWR/Length	Ambulatory Seating Capacity	Price	Wheelchair Positions	Contract #	Order Packet & Pricing
6,600#/205''	0 - 6	\$ 47,498	0 - 2	TRIPS-12-SNV-CBS	Order Packet

BRAUN MINIVANS

The extended low floor Dodge Grand Caravan minivan with mobility ramp is intended to be used as a Paratransit or Supervisor vehicle. The vehicle provides public transportation for a maximum of six (6) ambulatory passengers or a maximum of two (2) wheelchair passengers and three (3) ambulatory passengers. These configurations exclude the driver.

Florida Transportation Systems, Inc.					
GVWR/Length	Ambulatory Seating Capacity	Price	Wheelchair Positions	Contract #	Order Packet & Pricing
6,050#	3-6	\$ 43,017-SE \$ 45,534-SXT	2	TRIPS-13-MV-FTS	Order Packet

STANDARD CUTAWAY

Contracts pending.

FDOT Minimum Service Life – 10 years and/or 350,000 miles:

MEDIUM DUTY

Expired – RFP to be issued in Winter, 2016

7.2. RECIPIENT RISK ASSESSMENT TOOL

For Department use only.

Prior to awarding FTA funds, the Department is required to conduct a risk assessment of the potential grantee/sub-recipient. The terms grantee and sub-recipient are interchangeable for the purposes of this tool.

The requirements for the risk assessment are outlined in 2 CFR 200 and FTA Circular 5010.E. The Department will consider the following items in order to evaluate the risk posed by each applicant:

- Financial stability, including the applicant’s financial condition and financial capability;
- Quality of the applicant’s management systems;
- History of performance, particularly previous experience of the applicant in managing federal awards provided by the Department;
- Audit reports and any associated findings;
- SAM.gov check for applicant’s prior performance.

To complete the risk assessment, the following questions must be answered in regards to the applicant. If the District decides to award to the applicant, then the risk assessment documentation becomes part of the project file. Should the District decide not to award to the applicant, then the risk assessment remains as part of the grantee selection process.

1. There are two basic aspects to financial capacity/stability: the general financial condition of the grantee and the financial capability of the grantee. Satisfactory financial condition means that the grantee can pay its current costs from existing revenues. Satisfactory financial capability means the grantee’s ability to meet its expansion costs in addition to its existing operations from projected revenues. *Does the applicant meet the criteria for satisfactory financial capability and condition? Provide supporting documentation or explanation.*

2. Describe the applicant’s management systems. *Does the organization structure clearly define, assign, and delegate appropriate authority for all duties? Are responsibilities segregated within the organization to ensure that adequate internal checks and balances exist? Does the applicant have written operating procedures that are simply stated, yet meet the applicant’s operating, legal, and regulatory requirements?*

3. Document the applicant’s history of performance. *Has local match been readily available? Are invoices submitted in a timely manner?*

4. Review previous audit reports. *Does the applicant have any unresolved audit findings? Are there reoccurring findings in the annual audit reports?*

5. Attach the screen shot of the SAM.gov check of the applicant.

7.3. LOCAL CLEARINGHOUSES / REGIONAL PLANNING COUNCILS (RPC)

CLEARINGHOUSE/RPC	COUNTIES COVERED
West Florida RPC 4081-A East Olive Road Pensacola, FL 32514 850 332-7976 800-226-8914	Bay, Escambia, Holmes, Okaloosa, Santa Rosa, Walton Washington Contact: Mr. Austin Mount Email: austin.mount@wfrpc.org
Apalachee RPC 2507 Callaway Road, Suite 200 Tallahassee, FL 32303 850 488-6211	Calhoun, Franklin, Gadsden, Gulf, Jackson, Jefferson, Leon, Liberty, Wakulla Contact: Mr. Keith McCarron Email: keith.mccarron@thearpc.com
North Central Florida RPC 2009 N.W. 67 Place Gainesville, FL 32653-1603 352 955-2200 ext 103	Alachua, Bradford, Columbia, Dixie, Gilchrist, Hamilton, Lafayette, Levy, Madison, Marion, Suwannee, Taylor, Union Contact: Mr. Scott Koons Email: skoons@ncfrpc.org
Northeast Florida RPC 6850 Belfort Oaks Place Jacksonville, FL 32216 904-279-0880 ext 178	Baker, Clay, Duval, Flagler, Nassau, Putnam, Saint Johns Contact: Mr. Eric Anderson Email: eamderspm@nefrpc.org
East Central Florida RPC 309 Cranes Roost Boulevard Suite 2000 Altamonte Springs, FL 32701 407 262-7772	Brevard, Lake, Orange, Osceola, Seminole, Sumter, Volusia Contact: Mr. Hugh W. Harling, Jr. Email: hharling@ecfrpc.org
Central Florida RPC Post Office Drawer 2089 Bartow, FL 33830 863 534 7130 ext 103	DeSoto, Hardee, Highlands, Okeechobee, Polk Contact: Mr. Ken Harley Email: kharley@cfrpc.org
Tampa Bay RPC 4000 Gateway Center Boulevard Suite 100 Pinellas Park, FL 33782-6141 727 570 5151 ext 10	Citrus, Hernando, Hillsborough, Manatee, Pasco, Pinellas Contact: John Meyer Email: johnm@tbrpc.org

727-550-5118 fax

Southwest Florida RPC
1926 Victoria Avenue
Fort Myers, FL 33901
239-338-2550 ext 232

Charlotte, Collier, Glades, Hendry, Lee, Sarasota

Contact: Ms. Nicole Gwinnett
Email: ngwinnett@swfrpc.org

Treasure Coast RPC
421 Southwest Camden Avenue
Stuart, Florida 34994
772 221 4060

Indian River, Martin, Palm Beach, Saint Lucie

Contact: Ms. Stephanie Heidt
Email: sheidt@tcrpc.org

South Florida RPC
3440 Hollywood Blvd. Ste 140
Hollywood, FL 33021
954-985-4416

Broward, Miami-Dade, Monroe

Contact: Ms. Kathe Lerch
Email: klerch@sfrpc.com

7.4. FDOT DISTRICT OFFICE CONTACTS

District	Contacts	Address
1	<i>Manager:</i> Paul A. Simmons (863) 519-2388	P.O. Box 1249 801 North Broadway Bartow, FL 33830-1249
	<i>Transit Unit</i>	
	<i>Contact:</i> Pamela Barr Collier, Manatee, Sarasota	(239) 225-1972
	<i>Contact:</i> Debi Stephens Charlotte, Lee, Hendry, Glades	(239) 225-1982
2	<i>Manager:</i> Doreen Joyner-Howard (904) 360-5650	2198 Edison Avenue, MS 2806 Jacksonville, FL 32204
	<i>Transit Unit</i>	
	<i>Contact:</i> Janell Damato Alachua, Baker, Clay, Nassau, Putnam, St. Johns	(904) 360-5687
	Sandra Collins Bradford, Columbia, Dixie, Gilchrist, Hamilton, Lafayette, Levy, Madison, Suwannee, Taylor, Union Counties	(386) 961 7870
3	<i>Manager:</i> Scott Walters (850) 330-1553	P. O. Box 607 Chipley, FL 32428-9990
	<i>Transit Unit</i>	
	<i>Contact:</i> Kathy Rudd Bay, Escambia, Gulf, Holmes, Jackson, Santa Rosa, Walton, Washington	(850) 330-1549
	Vanessa Strickland Calhoun, Franklin, Gadsden, Jefferson, Leon, Liberty, Okaloosa, Wakulla	(850) 330-1534

7.5. GLOSSARY

ambulatory - A person who is able to walk and move about freely without being confined to a bed or wheelchair.

applicant – An agency applying for Section 5311 Federal Assistance. See also “new applicant” and “recurring applicant.”

authorizing Federal and State Legislation – Legislation authorizing the Section 5311 program are: Moving Ahead for Progress in the 21st Century (MAP-21) Section 20010; 49 U.S.C. Sections 5311; FTA Circular 9040.1F, Florida Statutes; and Chapter 14-73, Florida Administrative Code. The Section 5311 FTA Circular can be found at http://www.dot.state.fl.us/transit/Pages/FTA_Section_5311_Circular.pdf.

capital cost of contracting - Some FTA recipients turn to an outside source to obtain public transportation service, maintenance service, or vehicles that the recipient will use in public transportation service. When recipients contract for such service, FTA will provide assistance with the capital consumed in the course of the contract. In the case of a contractor’s providing vehicles for public transportation service, the capital consumed is equivalent to the depreciation of the vehicles in use in the public transportation service during the contract period. In the case of a maintenance contract, the capital consumed may be, for example, depreciation of the maintenance garage, or depreciation of the machine that lifts the vehicle. Capital consumed may also include a proportionate share of the interest the contractor might pay out as the contractor purchases and makes available to the recipient of these capital assets.

category A project – A project certified by the District Office as having met all the statutory and administrative requirements for approval.

category B project – A project the District Office anticipates approving, but that has not met all the statutory and administrative requirements for approval.

community transportation coordinator (CTC) - A transportation entity recommended by an MPO, or by the appropriate designated official planning agency, as provided for in Sections 427.011 - 427.017, F.S. in an area outside the purview of a MPO, to ensure that coordinated transportation services are provided to the transportation disadvantaged population in a designated service area.

contract revenue – fee collected from a third-party for transportation services provided to the third-party.

coordination contract – A written contract between the CTC and an agency who receives transportation disadvantages funds and performs some, if not all, of its own transportation services, as well as transportation services to others, when shown to be more effective and more efficient from a total system perspective. The contract reflects the specific terms and conditions that will apply to those agencies who perform their own transportation, as well as joint utilization and cost provisions for transportation services to and from the CTC.

disabled person – See individuals with disabilities.

Disadvantaged Business Enterprise (DBE) - DBEs are for-profit small business companies here socially and economically disadvantaged individuals own at least a 51% interest and also control management and daily business operations.

district program of projects – A district listing of each applicant agency for which a grant award is proposed, a description of the project to be funded, and the proposed federal, state and local share of the

project cost. The district program of projects includes certification by the District Office that all applicants and projects so proposed either meet all program requirements or will meet all program requirements before a JPA is executed.

eligible expenses, capital - Section 5311 funds may be used for the capital expense of transportation services to the general public in rural areas. Eligible expenses are limited to buses, vans or other paratransit vehicles (including sedans and station wagons), radios and communications equipment, wheelchair lifts and restraints, vehicle rehabilitation, capital cost of contracting, new technologies, microcomputer hardware/software, initial installation costs, vehicle procurement, inspection and acceptance costs, construction or rehabilitation of transit facilities including design, engineering, and land acquisition, and other durable goods such as spare components with unit cost over \$300 and a useful life of more than one year.

eligible expenses, operating - For the Section 5311 Program, eligible operating expenses include the total administrative, management, and operation costs directly incident to the provision of public transportation services less operating revenues. Projects may include late night and weekend service; guaranteed ride home service; shuttle service; demand-response van service; ridesharing and carpool activities; marketing. The federal share for net eligible operating costs may not exceed 50%. *Combine this definition and the one below into a single definition.*

eligible recipient, 5311 – For the Section 5311 Program, political subdivisions of the State of Florida and agencies thereof, Indian Tribes and private nonprofit agencies designated as CTCs, per Chapter 427, F.S., who provide public transportation in rural areas, are eligible recipients for the Section 5311 Program. Private for-profit agencies may receive funds through contractual arrangements with eligible recipients. All recipients who are not CTCs must enter into coordination or transportation operator contracts with the appropriate CTC for the purpose of coordinating services. Local governments providing fixed route/fixed schedule service are not required to have an agreement with the CTC.

eligible service, 5311 – Public transit service provided in rural areas on a regular and continuing basis is eligible. Service provided to non-sponsored transportation disadvantaged persons and to social service clients is eligible. Services may be designed to maximize usage by transportation disadvantaged persons in general, as long as there is no restriction on public use of the service. Services may not be designed exclusively to serve the transportation requirements of social service agencies without regard for the mobility needs of the community as a whole. The non-prioritization service plan must be submitted to the District Office. Charter, sightseeing, and exclusive school bus services are not eligible services. Since the goal of Section 5311 is to enhance access of people living in rural areas to activities, Section 5311 projects may include the transportation of rural area residents to and from urbanized areas.

expanded service - Adding a new service to an already existing system.

fares – co-pay or revenue collected from the client to cover the cost of their trip.

federally recognized Indian Tribal Government – The governing body or a governmental agency of any Indian tribe, band, nation or other organized group or community certified by the Secretary of the Interior as eligible for the special programs and service provided through the Bureau of Indian Affairs.

FDOT control number - Is assigned by the District once the vehicle has been purchased, received and titled to the recipient with FDOT as the first lienholder.

incurred - Commitment or obligation to spend funds for goods to be received or services to be rendered.

individuals with disabilities- means an individual who, because of illness, injury, age, congenital malfunction, or other incapacity or temporary or permanent disability (including an individual who is a wheelchair user or has semi-ambulatory capability), cannot use effectively, without special facilities, planning or design, public transportation service or a public transportation facility.

joint participation agreement (JPA) - A contract between FDOT and a local sponsor of a transportation project, defining a project and FDOT's participation. JPAs may be for one year or multiple years (up to five years), at the discretion of FDOT.

labor protections – All Section 5311 operational projects, including intercity bus projects, require agreement to the terms and conditions of the standard Section 5333(b) special warranty for the Section 5311 Program.

large urbanized area – an urbanized area (UZA) with a population of 200,000 or more individuals, as determined by the Bureau of Census.

Limited English proficient (LEP) - Individuals who do not speak English as their primary language and who have a limited ability to read, speak, write, or understand English can be limited English proficient, or "LEP." These individuals may be entitled to language assistance with respect to a particular type of service, benefit, or encounter. DOT recipients are required to take reasonable steps to ensure meaningful access to their programs and activities by LEP persons.

local match – Can be a cash match, human services transportation contract or in-kind. Income from contract to provide human service transportation may be used either to reduce the net project cost or to provide local match. In either case, the cost of providing the contract service is included in the total project cost. No Federal Transit Administration program funds can be used as a source of local match for other FTA Programs, even when used to contract for service. In-kind match must be approved, prior to invoicing, by the District Comptroller's Office and be an eligible source listed in the FTA Master Agreement. Non-cash items such as donations of goods or services, volunteered services, or in-kind contributions are eligible to be counted towards the local match only if the value of such is formally documented, supported and pre-approved by the District Office. Any funds committed as match to another Federal program may not be used to match Section 5311 funds.

mobility management – Consists of short-range planning and management activities and projects for improving coordination among public transportation and other transportation-service providers carried out by a recipient or sub-recipient through an agreement entered into with a person, including a government entity, under 49 U.S.C. Chapter 53 (other than section 5309). Mobility management does not include operating public transportation service.

new applicant – An applicant for Section 5311 assistance that has not received an award in the last two fiscal years.

new service - A first time applicant starting a new service.

non-ambulatory - A person who has a mobility impairment that prevents them from being able to walk or move about freely.

non-prioritization plans – The plan developed by the recipient, and provided to the funding District, which outlines how the recipient plans to provide non-prioritized general public transportation services. All transportation services funded with Section 5311 funds shall be available to the general public, the plan must outline how the recipient will assure that all 5311 funded service is open to the general public.

rural area – The area outside of an urbanized area. An urbanized area is defined as “a core area and the surrounding densely populated area with a population of 50,000 or more, with boundaries fixed by the United States Census Bureau or extended by State and local officials.” For the purpose of Section 5311 the urbanized area map as approved by the Metropolitan Planning Organization, Florida Department of Transportation and the Federal Highway Administration, available from the District Planning Sections, shall be used to determine eligible service areas.

nonprofit organization – A corporation or association determined by the U. S. Secretary of the Treasury to be an organization described by 26 U.S.C. Section 501(c) which is exempt from taxation under 26 U.S.C. Section 501(a) or one incorporated within Florida which is certified as not for profit by the Secretary of State.

one-way passenger trips - A person who rides a transportation vehicle in one direction between two points for a specific purpose.

operating revenue - For Section 5311, operating revenue includes the sum of all fares paid by passengers, whether such fares are paid at the time service is provided or via a prepaid arrangement such as passes or tokens. Operating revenue excludes revenues from contracts with social service agencies that pay for transportation of social service clients.

program of projects – A list of projects to be funded in a grant application submitted to the Federal Transit Administration by the Florida Department of Transportation. The program of projects lists the subrecipients and indicates whether they are private non-profit agencies, public bodies, or private providers of transportation service, designates the areas served (including Congressional Districts), and identifies any tribal entities. The program of projects also identifies intercity and RTAP projects. In addition, the program of projects includes a brief description of the projects, total project cost and the Federal share for each project, and the amount of funds used for program administration from the fifteen percent (15%) allowed. The program of projects shall indicate whether the employees of a subrecipient are represented by a union and if so by which union.

public agency - An authority, commission, committee, council, department, division, bureau, board, section or any other unit or entity of the state or of a town, city, municipality, county or other local governing body.

public transportation – Surface transportation by a conveyance that provides regular and continuing general or special transportation to the public, but does not include school bus, charter, or intercity bus transportation or intercity passenger rail transportation provided by AMTRAK.

public transit - The transporting of people by conveyances or systems of conveyances, traveling on land or water, local or regional in nature, and available for use by the general public. Public transit specifically includes those forms of transportation commonly known as "paratransit" characterized by their non-scheduled, non-fixed route nature.

recipient – A State or Indian tribe that receives a Federal transit program grant directly from the Federal government.

recurring applicant – An applicant for Section 5311 Federal Assistance who applies every year.

rural areas- an area encompassing a population of fewer than 50,000 people that has not been designated in the most recent decennial census as an urbanized area by the Secretary of Commerce.

seniors –an individual who is 65 years of age or older.

small urbanized areas (UZA) - a UZA with a population of at least 50,000 but less than 200,000, as determined by the Bureau of the Census.

subrecipients – A state or local governmental authority, a non-profit organization, or operator of public transportation or intercity bus service that receives Federal transit program grant funds indirectly through a recipient.

transit development plan (TDP) - A locally adopted document, addressing a minimum five-year time frame. It is prepared by the public transit provider, in cooperation with the appropriate Metropolitan Planning Organization. It is consistent with the applicable approved local government comprehensive plan. The TDP includes an assessment of the need for transit services in the local area, identifies the local transit policies, existing services and proposed service improvements, capital and operating costs of the proposed services, existing and proposed sources of funding and a staged implementation plan. A TDP is updated annually.

transportation disadvantaged - Those persons who because of physical or mental disability, income status, or age, or who for other reasons, are unable to transport themselves or to purchase transportation and are, therefore, dependent upon others to obtain access to health care, employment, education, shopping, social activities, or other life-sustaining activities, or children who are handicapped or high-risk as defined in Chapter 411.202 F.S.

transportation disadvantaged service plan (TDSP) - a three year implementation plan, with annual updates developed by the CTC's and planning agencies which contains the provisions of service delivery in the coordinated transportation system. The plan shall be reviewed and recommended by the local coordinating board.

urbanized area - an area encompassing a population of not less than 50,000 people that has been defined and designated in the most recent decennial census as an urbanized area by the Secretary of Commerce.

End of Manual

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