2024 5311 Rural Public Transportation Grant - Notice of Funding Availability

Revised: February 14, 2024

**Frequently Asked Questions**

**5311 Webinar - Thursday, January 11, 2024**

**Webinar Recording: https://vimeo.com/902359657/38866791e5**

| QUESTIONS and COMMENTS | RESPONSES |
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| 1. We cannot get signature approvals from our council until after the deadline. Can we submit the grant with all the other documentation and add the signatures after the meeting by our Council? | Yes this is allowed. If you are unable to have the grant agreement and attorney determination signed prior to the application deadline, you can upload a letter or memo in this section identifying when the council meeting will be held and that the signed documents will be provided to ADOT immediately after the council meeting. |
| 2. Are we required to use the 'budget worksheet' that is provided? | No, this is an optional tool. We recommend this form because it is extremely helpful in identifying your funding needs by line item, by year for administration, operating, preventative maintenance and other capital requests. It also helps make for an easier transfer when you enter your budget into E-Grants. Again, this is not a document you are required to use but a very helpful tool. |
| 3. Would the ADOT be open to a "cost-per-mile" pricing structure? | You can propose in your application to submit reimbursement based upon a cost per mile; however, you need to complete |

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| | the application budget information as currently outlined in the application. |
| 4. Our organization is planning a joint application for intercity bus routes in order to provide the best possible proposal for the ADOT and the state's transportation passengers. Would ADOT permit a two-week due date extension to allow our partnership to complete the application? | At this time ADOT does not see the need to issue a grant application extension. The notice of funding availability was issued 8 weeks ago, exceeding the Arizona Revised Statute requirement of a 6 week application notice period. Extensions have only been granted in the past when our electronic grant software program had challenges. |
| 5. How do I get the dollar amount to populate into the budgeted grant request? | When applying for vehicles, the applicant must select Capital funds for question number 9 and then select the appropriate category in question 9a. Once these selections are made and the page is saved, the appropriate application pages/questions will populate. Once you complete the questions/pages and save the request information will populate on the budget pages. |
| 6. We do not have an ICAP Plan. Is it required for a 501(c)(3) who only provides 5311 Transit service? | An ICAP is not required. |
| 7. Do we have to provide information in our application about what vehicles our contractor is using to provide 5311 service? | Yes your application must contain information regarding the vehicles that will be used for the 5311 service |
| 8. Does my public meeting have to take place during a Town council meeting? | ADOT does not require the public meeting to be held during a Town council meeting but if that is part of your town's process then the process should be followed. |

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| 9. Will I be able to submit my application if my public meeting is after the deadline? | Yes, if the meeting will take place after the application deadline, then there should be an explanation of why this occurred and when the meeting will take place in the appropriate section of the application. |
| 10. Please offer guidance on the budget meeting page. Should I apply for two years? | The NOFA states the application is for a two year application cycle. Applicants should apply for all funding needed for a two year cycle |
| 11. Will funding for the 5311 grant be affected if the State did not have enough funding available? | No State funding is provided for Transit at this time. 5311 is a Federally funded program. |
| 12. What are the priority of awards? | Please see the 5311 Program Guidebook and/or the 5311 application webinar for reference to the priority of funding. <br><br> 1. Existing service <br> 2. Expansion service <br> 3. New Service |
| 13. Please clarify all line items that fall under "indirect costs" | From 2 CFR Part 200: Indirect costs means those costs incurred for a common or joint purpose benefitting more than one cost objective, and not readily assignable to the cost objectives specifically benefited, without effort disproportionate to the results achieved. To facilitate equitable distribution of indirect expenses to the cost objectives served, it may be necessary to establish a number of pools of indirect (F&A) costs. Indirect (F&A) cost pools must be distributed to benefitted cost objectives on bases that will produce an equitable result in consideration of relative benefits derived. <br><br> From the ADOT Grant |

| | Agreement: |
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| | Indirect costs are eligible for reimbursement only with an indirect cost plan approved by the subrecipients federal cognizant agency and accepted by ADOT.. Pursuant to 2 CFR 200.1, the cognizant agency for indirect costs means the Federal agency responsible for reviewing, negotiating, and approving cost allocation plans or indirect cost proposals on behalf of all Federal agencies. This is not necessarily the same as the cognizant agency for audit purposes. For assignments of cognizant agencies see the following: <br><br> a. IHEs: Appendix III to Part 200-Indirect (F&A) Costs Identification and Assignment, and Rate Determination for Institutions of Higher Education (IHEs), paragraph C.11. <br> b. Non-profit organizations: Appendix IV to Part 200-Indirect (F&A) Costs Identification and Assignment, and Rate Determination for Non-Profit Organizations, paragraph C.12. <br> c. State and local governments: Appendix V to Part 200-State/Local |

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| | Government-wide Central Service Cost Allocation Plans, paragraph F.1.<br><br>d. Indian tribes: Appendix VII to Part 200-States and Local Government and Indian Tribe Indirect Cost Proposal, paragraph D.1.<br><br>Pursuant to 2 CFR 200.414 (f) any non-Federal entity (excluding state and local governments and Indian Tribes) that has never received a negotiated indirect cost rate may elect to charge a de minimis rate of up to 10% of modified total direct costs which may be used indefinitely |
| 14. What 5311(f) intercity projects are currently being funded through the ADOT? | List of subrecipients who received intercity funds in the 2022 5311 grant cycle:<br><br>● San Carlos Apache Tribe (FTA Direct)<br>● YCIPTA<br>● Hopi<br>● RTA of Pima County<br>● Show Low<br>● RPTA (VM) |
| 15. Where is the appropriate section within the grant where proposed | Please check the application to find all locations where route modifications are to be entered. The main area for route |

| route modifications should be documented? | modifications is on the Route Service Characteristics page of the application. |
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| | Any changes to systems require planning documentation to expand services. Documentation can be prepared in house. |
| | You may apply for service expansions and clearly document the need for the service, but we may not be able to fund expansion of services due to limited resources. |
| | Reminder, our priority for funding:<br><br>1. Existing service<br>2. Expansion service<br>3. New service |
| 15. Is the state open to looking at completely new routes that do not currently have service? | State is looking for grant proposals to serve the needs of rural residents.  all applications for 5311 funding must have supporting documentation.  New service routes must identify the need for the service. |
| 16. What is the State's appetite for being a more visible sponsor of funded services to the communities within Arizona? | ADOT enters into grant agreements for intercity service and intercity feeder service; we do not anticipate any changes to our approach during this grant application cycle. |
| 17. How  do we obtain the 13 C number requested in question 5 of the Transportation Providers and union classification page of the application | Contact the agency you are listing and ask for the union information. |
| 18. Is there a certain style or models that are allowed per the grant for purchasing buses? | 5311 agencies can request any ADA accessible vehicle that meets their needs and they must obtain a quote from an ADOT approved vendor. |

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| 19. In-kind availability & status of Greyhound in-kind match for Intercity routes? Are there any changes from new Greyhound owners? | During the application cycle there is no commitment confirmed regarding in-kind match. Subrecipients request 5311 intercity funding and project the match needed hoping that this could be in-kind. Prior to the COVID 19 pandemic, Greyhound typically informs ADOT of the in-kind match available prior to October 1st of each year. Since the pandemic, in-kind match availability has been limited and Greyhound will advise ADOT of the in kind match allocated to each intercity feeder service as close as possible to the beginning of the federal fiscal year as possible.

Apply for the intercity you project you will need, and we will award based on funding available. |
| 20. In person (meetings) are not currently allowed by the subrecipient, is an online meeting acceptable? | Yes, virtual and phone meetings are allowed. You must be able to identify how someone can participate if they cannot attend in person and how they can access the draft application. Efforts must be made to make sure individuals without computers and smartphones have access to the meeting. |
| 21. How long is an approved ICAP good for? | Once an ICAP Plan is approved by a cognizant agency or ADOT, it remains in effect for the dates identified in the plan or the approval letter.

Please make sure to attach your approved ICAP Plan to your application. |
| 22. Are tribal entities exempt from the Lobbying Certificate? | Correction for information provided during the webinar. This certification does not apply to an applicant that is an Indian Tribe, Indian organization, or an Indian |

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| | tribal organization exempt from the requirements of 49 CFR Part 20. |
| 23. Additional Application Tip shared from ADOT regarding the order of completing the 5311 Application. | We recommended following the order of the pages and questions of the 5311 Application. Some forms populate other pages within the application. If you skip forward you may not have your application populate properly. Suggest re-saving all pages from the top and in order. |
| 24. Is Complementary Paratransit found in the capital category of the Vehicles Form? | No, it would be found in the Other Capital Form. |
| 25. What is the approach ADOT recommends for the assignment of Complementary Paratransit for a certain specialized route that's going to be dependent on the match ratio provided? If it's provided at the minimum 58% federal match, and there's not going to be enough local match to justify it, would a deviated route be recommended? How does ADOT recommend an applicant allow for flexibility to operate a deviated route, depending what the Complementary Paratransit service is matched at? | The issue is what type of service are you offering. If you are offering fixed route service, then you **must** also provide Complementary Paratransit. You have no choice in this matter. If you are going to offer deviated service, then you would not be eligible to receive Complementary Paratransit funding because it's not a requirement. If you offer fixed route service, we suggest you ask for the highest match ratio. The worst that could happen is that ADOT cannot fund at the highest ratio. Applicants must have an ADOT approved Complementary Paratransit Plan (CPP) to apply for 5311 Complementary Transit operating funds. Applicants may apply for planning money to conduct a CPP study. |

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| 26. Regarding Program Expansion, it was mentioned that planning documents are needed. What do those documents consist of? | Written documentation must be attached to the application identifying that the service expansion has been analyzed. This can be accomplished in several ways:  1) your agency hired a consultant to conduct a Short Range Transit Plan (SRTP) to identify new service routes that will be successful, the associated costs and projected operations efforts;  2) your agency has a SRTP that includes a service expansion plan; or,3) a route analysis or service expansion analysis would also be acceptable.<br><br>An applicant can do the study work in-house, and ADOT may provide specific guidance, but typically an SRTP contains information and analysis that identifies service expansion plans that are going to be successful. |
| 27. With the evaluation process, who is on the review panel? Is there equity representation on the panel? | By Arizona State Statue, 3 reviewers are required.  The 5311 Evaluation Panel is comprised of ADOT staff..<br><br>A federal requirement is that ADOT is required to conduct an equity analysis documenting that funds are distributed throughout the entire state; however, this is limited to who applies. |
| 28. E-grants User Guide Tip. | From the E-grants home page, viewers can open the E-grants User Guide and 5311 Guidebook  from the orange ribbon on the top right side of the page. |
| 29. ITS Plan - correct title. | Regarding the ITS Plan, it is actually titled the AZ Statewide ITS Architecture per ADOT, https://azdot.gov/planning/transportation-studies/completed-transportation-studies/arizona-statewide-its-architecture. |

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| 30. In the 5311 application, for questions requesting data from the previous year.  What previous fiscal year should I report in my application? | In your application, you will need to report the most recent fiscal year data when responding to those questions. |
| 31. Regarding the 5311 application requirement of doing a survey every year, we did a survey last year just when we were beginning to resume transit services.  Up until then the Tribe was on a stay-at-home order and tribal employees were working from home. Will this survey meet the requirement? | There is not a requirement that a ridership survey be completed each year per the 5311 Guidebook.  The 5311 application does ask if an agency conducted a recent ridership survey. |
| 32. My agency is interested in applying for a possible pilot project in my application that was a result of a recent survey done.  I was wondering how and what information we should include in the application for ADOT. We have survey data and historical information that service has been requested. | ADOT will need to be provided documentation as a current short range transit plan, route analysis including ridership survey feedback, proposed route and associated costs, Transit Advisory Committee feedback, etc. to demonstrate the support and demand for the expansion route. |
| 33. I am working on our Lobbying Certification form for our Mayor to sign. I wanted to make sure we had the proper information on the "MPD Tracking Number and Project Name" line of the form. Where can I obtain the MPD Tracking number? | You will not have an MPD number to enter until you have an executed contract for the 2022 grant cycle. Since you are currently applying for 5311 funding this application cycle on the "MPD Tracking Number and Project Name" line you can use your current 5311 2024 application project name. |
| 34. Can the 2023  Title VI Implementation Plan adopted by the city be attached to the application requested under Civil Rights? | Yes. However, subrecipients' Title VI Implementation Plan should be updated for 2024 to reflect any policy changes. |

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| 35. I am working on my application and would like to compare my agency to other 5311 agencies in the state regarding ridership, operational expenditures, and etc. to assist me in my application. Where can I find this information? | You may refer to the available FY 2020 National Transit Report Data posted on FTA's website at https://www.transit.dot.gov/ntd/ntd-data. The data report you would pull would be the webpage would be the **2022 Metrics** NTD report. This report will provide you with that performance data (ie. ridership, operational expenses, revenue miles, cost per passenger, and etc. for all transit systems within the State of Arizona which includes 5311 subrecipients. This report will be able to assist you in comparing your agency with other 5311 agencies in the State of Arizona. |
| 36. In the Route Service Characteristics Matrix, if a commuter route runs one schedule on Wednesday - Sunday, and a modified (shorter) schedule on Monday and Tuesday, do I enter it twice, showing the two variations by day of the week, or once with the longer schedule and make a note in Question 21? | Applicants must include service data for each existing and proposed route(s) in the Route Service Characteristics table. If an applicant wishes to provide additional information about a route(s), then Question #21, below the table, is the section to add the data; such as, abbreviated service hours, seasonal service or scheduled special events. |
| 37. In the application VEHICLE section, Question 1, it asks for vehicle classification. In the drop down menu for Classifications, there is a category "Minibus", but there is no definition for "Minibus" in the Help tab. There are three categories for "Cutaways" with definitions, but only one selection for "Cutaways" in the form. Are "Minibus" and "Cutaway", regardless of size, to be used interchangeably? | A Minibus and Cutaway are interchangeable terms. |

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| 38. Does the Title VI Plan need to be approved before the application can be submitted? | No, The Title VI Plan doesn't need to be approved by the time you submit an application. The ADOT CRO encourages submitting a draft to ensure feedback is given by the ADOT CRO prior to board approval.<br><br>https://azdot.gov/sites/default/files/media/2021/01/2021-fta-title-vi-plan.docx |
| 39. Do Insurance documents need to be submitted with the application, or at the time of award? | Insurance documents are provided annually at your renewal date or when new vehicles are about to be delivered. Applicants must check off that they acknowledge Exhibit G requirements. |
| 40. In the training, it states that an applicant should "Acknowledge every page in the Grant Agreement Section". Please clarify. | Applicants are required to open and acknowledge Exhibits A through H by checking off the box followed by the "I certify that I have read and understand this page" statement. The acknowledgment check off box is located at the bottom of the Exhibit page. |
| 41. How do you download the Grant Agreement Signature Page and the Attorney Determination Page for signatures and subsequent upload to the UPLOAD page. There is no Print Function. | Applicants should copy each of these pages into a new document, sign and save. Then open the Upload section in Egrants, and upload documents as appropriate: Signature Page for Grant Agreement and Attorney Determination. |
| 42. In between the Administration Budget and the Operating Budget, there's a tiny section that looks like this:<br><br><br>If applying for Intercity funds, what percentage of your Operating Budget is for Intercity Operations? (Intercity % will auto-update after award is made.) | You are correct. |

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| I recall that in the 2022 application that we left the box blank, I'm assuming that this will again be left blank until ADOT makes an award.  Correct? | |
| 43. Below the Operating Budget, there's a box that asks for CARE Act\ARP.  What do we enter in the Request Amount?<br><br>| CARES Act\ARP | Request Amount |<br>|---|---|<br>| Operating (CARES Act) | |<br>| Intercity (CARES Act) | |<br>| Capital (CARES Act) | |<br>| Operating (ARP) | |<br>| Intercity (ARP) | |<br>| TOTAL | $0 | | Applicants should leave this section blank. |
| 44. Is ADOT aware of any vendors that offer a tracking service for buses and monitors how they are being driven? | ADOT is unable to recommend any vendors for any transit related activities. You will need to follow regular procurement procedures. ADOT recommends communicating with fellow 5311 agencies and asking for feedback on the vendors that they use. |
| 45. Per the ADOT Guidebook, 2 public notices are required to be published at least one week apart for a public hearing meeting prior to submission of our 5311 application.  Just the one public meeting is required for this purpose? | As outlined in the Guidebook you must hold a public meeting and the notice must be advertised twice.  Please follow the instructions in the 5311 FY 2024 Guidebook. |
| 46. Please clarify the application's request for Resolution as mentioned in the Program Management section of the application, 11.c   I didn't find any reference to a required Resolution in the Guidebook. | You need to follow your city's procedures related to applying for funding.  If your community requires a resolution, then you must have a resolution uploaded in the grant application. |

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| 47. Are there any new changes to the Title VI plan? | Not this year. |
| 48. How do you calculate the cost per trip? | E-Grants calculates this automatically by considering your number of trips and the cost of your transit program. |
| 49. On Route Characteristics How do you change the titles on the drop down menu? | E-Grants picks up what is in the first column for the route name. If you copy forward, E-Grants may show an error for the title. In this case, you may want to fill out the system and route characteristics page again for the new application. |
| 50. Can you email these providers or does it have to be through certified mail? | You may email providers, but you must request a return receipt in the email to the provider to indicate the email was received. This is comparable to a certified mail receipt. |
| 51. If we were to secure a used bus where/can we request somewhere in the grant for a new wrap? | ADOT does not provide funding for used vehicles. In the event you purchase a used bus with your own funding, a new wrap may be eligible for 5311 if funding is requested and awarded under other capital requests. You will have to provide documentation that the vehicle is in a state of good repair. |
| 52. If a vehicle was purchased through a private vendor not ADOT can you apply for PM? | Most 5311 vehicles are purchased by ADOT. If you purchase a vehicle with your own funds, PM funding could only be used once documentation is provided that the vehicle is in a state of good repair. |
| 53. When we have a City annual event that one weekend a year where we would like to use the bus in, where would we report that? | You should report all regular, seasonal, and special events in the 5311 application. Reminder: this does not preclude FTA regulation around charter services. |
| 54. The question regarding does the route accommodate baggage ? is this pertaining to luggage? Or | This requirement is for Intercity routes with 5311 funding. For intercity routes, the |

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| would this also include a rider's grocery bags ? | vehicle must accommodate luggage for passengers. |
| 55. Are we required to do or request a study - per the planning section? We had a previous survey done | Each applicant should have a current short range transit plan.   Planning is an optional item in the 5311 application, but if your plan is over 5 years old or you are planning to expand service, you may want to consider applying for planning funds. |
| 56. In the budget section on personnel, Jill said we should like the number of employees in that job category. Where should that be noted? | At the bottom of the budget page, you will find a section for personnel.

Instructions for Budget Section Personnel:  Similar job title and wage per hour can be combined onto a single line (denote # of employees referenced in the job title). |
| 57. In the In-Kind section, you indicated that back-up documentation for any In-Kind to be used needs to be uploaded. Where does that happen? | On the local match page under in-kind section, you will need to check in-kind Yes or No and save the page.  Once you do this there is an upload backup documentation option. For example, volunteer drivers would need to denote their hourly wage you would pay them if a paid driver filled that role. |
| 58. Are 5311 projects required to be included in regional TIP at the time of application or at the time of preliminary award? | 5311 projects must be included in the TIP prior to ADOT submitting the 5311 application to FTA. 5311 applicants should provide information to the COG or MPO at the time they submit to ADOT so the COG/MPO can add the projects to their TIP.  Then preliminary award amounts can be updated once preliminary award notices are issued. |
| 59. I'm having an issue with the capital budget showing correctly in my new 5311 application. The capital budget section is showing the vehicles I requested with the prior | These were the steps we previously followed to fix this issue: |

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| application. I have not requested these with the current application, but did carry forward my prior application into the current application. I've tried clearing and resaving a bunch of times, error is still there. Am I doing something wrong? | Issue: When using the copy forward function, the vehicles form was copied from previous applications.<br><br>Steps to resolve:<br><br>1. Go to the Program Information Form and checkbox the vehicle check boxes for Question 9a. This impacts whether the New Vehicle Requests section on the Vehicles form will display.<br><br>2. Remove vehicle information on the Vehicles Form.<br><br>3. Resave budget form.<br><br>4. Go back to the Program Information Form to uncheck the two Vehicle checkboxes. |
| 60. Budget page has error saying Duplicate Admin line items are not allowed.  I don't have duplicate items in the Admin section of the budget so not sure where the problem is. | Please confirm the "Please specify if other" box does not repeat answers from other line items. If the issue persists, please contact your program manager. |
| 61. What do I put in the Operations In-Kind section? | If you have in-kind match for your operating costs, this is where you would identify that funding. For example, volunteer drivers. |
| 62. I just went into E-Grants, in the In-Kind section, and there is<br>● A question about using In-Kind - yes or no.<br>● There is a section for Match Additional Information.<br>● There is no mechanism to upload an external document.<br><br>Am I supposed to use Match Additional Information to itemize sources and values? Do I need to provide some kind | You must answer yes for the in-kind options to appear. |

| of justification for each item, such as a salary survey? | |
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