



2019-2020 5311 Grant Funding Guide

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Information Source: <https://www.dot.ny.gov/divisions/policy-and-strategy/public-transportation/rural-programs/5311/application-material>

\$43 million in Capital Funding & Operating Assistance. (rural=less than 50,000 people)

Application Deadline: 2/24/2020

Eligible Applicants:

- counties
- cities
- tribal governments that own and operate or directly contract for rural public transportation services
- upstate regional transportation authorities
- multi-county intercity bus services sponsored directly by the Department of Transportation

Preference given to:

- public transportation projects that eliminate transportation barriers
- improve mobility opportunities in rural areas
- encourage and support increased coordination of public transportation services with other human service agency provided transportation services
- ensure a successful Intercity Bus program, which promotes the participation of private providers in both the development and provision of rural public transportation services.

Comments/questions: 5311RuralApplications@dot.ny.gov

New This Year:

The application has been split into multiple parts to help expedite review and contracting processes.

Section 1: *Operating assistance & Non-vehicle Capital Assistance (Mobility Mgmt.)*

Section 2: Capital Assistance for vehicles, structures and equipment

APPLICATION SUBMISSION:

Part 1 Section 1 (Mobility Management & operating funds) Submit as soon as completed but **no later than 2/24/2020**.

- **Once NYSDOT received signed Part 1 Section 1, NYSDOT will send Part 1 Section 2, Part 11 and other as applicable, and part iiA to you for your completion.**

Part 1 Section 2, Part II & Part IIA

- Once received, complete Part I Section 2, Part II and Part IIA and submit the remainder of the signed application *no later than 2/24/2020*.

After NYSDOT review and approval of your application-appropriate contracting steps will begin and sent to you for local execution.

As usual-applications are to be submitted electronically to: 5311RuralApplications@dot.ny.gov

APPLICATION BREAKDOWN

Part 1, Section 1: (Operating assistance)Excel If you are only requesting operating assistance you do not need to submit the entire application package. 2019-2020 is 6 worksheets and eight sub-forms to enter your operating budget. *Submit as soon as completed.*

Part 1 Section 2: (Excel) Includes everything above *plus* 2 additional worksheets (Vehicle requests & Other Capital where Mobility Management is located) Sheets 3 and 3A Sheet 3B is for mobility management.

Part 11 (Adobe PDF Fillable form) Standard information about the applicant, operator(s) or if you need additional space to report Operator information.

Part IIA is not needed for most rural counties- *unless you have more than 4 operators or for applicants who need add 'l space to report operator information.*

*There may be additional required documents, attachments and there are required signatures. **Review your application carefully as NYSDOT will not execute contracts which have missing information.***

STOA(Statewide Mass Transportation Operating Assistance) Program

To be eligible for STOA your program must:

- Be open & marketed to the public, charge a fare & you, must use vehicles capable of carrying 15 or more passengers. *Exceptions for 8-14 passenger vehicles may be granted on a case by case basis. Only municipalities are eligible to receive STOA, but some municipalities contract to pass through funds. Contracts vary.*
- To Initiate STOA, a letter of intent from the *municipality* is sent to NYSDOT Public Transportation Bureau indicating sponsorship of public transportation services for STOA.

- This is followed by a signed 119R agreement between the *municipality and the 3rd party operator*, if the municipality is not providing the service directly.
- Revenue vehicle miles & passenger counts must be kept for STOA purposes. Statistics are provided quarterly to NYSDOT.
- More information is provided at: <https://www.dot.ny.gov/divisions/policy-and-strategy/public-trans-respository/stoarr.pdf>

What does Open-to-the-public mean?

To receive 5311 your service must be available and open to the public. This means it must have publically advertised, posted service hours and available to the general public during those times.

Service provide by contract to a social service agency may be considered public, not charter, *if* the service is under control of the applicant, open door to public and applicant can put any rider on the vehicle in addition to agency clients.

ADA:

You *must be in compliance with all ADA rules and regulations*. Basically, if you provide fixed route service you must either provide complimentary paratransit service *or* Route deviation, point deviation or Dial-a-ride services. If you offer these other types of services, they must be available to *all riders regardless of ability to ride (no application)*. You must be familiar with the regulations regarding other ADA requirements and they may be found at:

<https://www.dot.ny.gov/divisions/policy-and-strategy/public-transportation/ada>

Additional information at: <http://www.fta.dot.gov/civilrights/12325.html>

Other items to be aware of when applying for 5311:

You must have the applying agency and all subrecipients comply with:

- FTA Certifications and Assurances,
- understand and abide by DBE regulations (Disadvantaged Business Enterprise) and all FTA contractual requirements.
- Title 17 of NY Codes, Rules & Regs (NYCRR) related to STOA and safety
- Title 19 of Vehicle and traffic law and registrations
- Title 15 related to licensing

You must also have a **resolution passed by your governing body**. The resolution authorizes the designated official to sign the current grant application and progress reports. There is an example of language in APPENDIX C. The person named as the designated official must sign the application cover sheet. You must have one certified copy of resolution.

YOU will need a *notary* for the signature. APPENDIX D is for this purpose.

You must **publish** your intent to apply for 5311 funding **before the application due date**. And you **must include the affidavit from the agency that it was published**. Sample public notice is in APPENDIX B and seek comments from community providers and general public. YOU SHOULD PUBLISH THE ASAP AND THE MAXIMUM AMOUNT IS IDENTIFIED THAT YOU WILL BE APPLYING FOR.

- To estimate needed funds: use **maximum operating funds for your area, plus other capital requests**. **The public notice must be equal to or greater than the actual application request**.
- You have 15 calendar days applicants must respond in writing to any public comments. Note a public hearing may be requested and if held, a copy of the hearing record must be included.

If awarded, you must follow purchasing and procurement procedures. Information is listed here:

<https://www.dot.ny.gov/divisions/policy-and-strategy/public-trans-respository/procurementchecklist.pdf>

Funding Types/Categories

ADPTAP: Appalachian Development Public Transportation Assistance Program only available in 14 southern tier counties - Allegany, Broome, Cattaraugus, Chautauqua, Chemung, Chenango, Cortland, Delaware, Otsego, Schoharie, Schuyler, Steuben, Tioga, and Tompkins.

Be operating, Capital and Mobility management at standard 5311 percentages.

SES: Supportive Employment Services: operating assistance for supporting work-related trips.

Available Operating Income amounts: Pages 21-25 of PDF

Vehicles: Federal share = 80% State 10% and local 10%. The request should be based on **vehicles needed in the next two years**. The NYSDOT Section 5311 Equipment Disposition and Spare Vehicle Policy is located here:

<https://www.dot.ny.gov/divisions/policy-and-strategy/public-trans-respository/dispositionpolicy.pdf>

To determine available OGS vehicle Lots- refer to this link:

www.ogs.ny.gov Then select: Procurement/search contracts/type in award #23170

Page 29 of PDF provides a snapshot of available vehicles and options.

Sheet 3B-Mobility Management: Federal share is 80% state 10% and local match is 10%. Must demonstrate coordination. You also must demonstrate any in-kind.

Save application: Use format example: New York County 5311 App Part 1 2019 2020

Supportive attachments use similar format: New York County Supplemental Info 2019 2020

Other documents:

- You will need to attach your Title VI plan and answer some basic questions in Part I.
- Page 45 of PDF demonstrates the Mobility manager must sign the application in Part II-section L.

Need a checklist? APPENDIX A (p. 46)

Public Notice Requirements: APPENDIX B (p.47-549)

Sample Local Resolution: APPENDIX C (p. 50)

Notary Form: APPENDIX D (p. 51)

Third-Party Operating Assistance Agreement (If the municipality does not operate the service directly) APPENDIX E (p 52)

NYSDOT staff contacts APPENDIX F (P. 53)

Title VI component checklist: APPENDIX G (p54)