



Application Instructions

Section 5311 Formula Grant

Public Transportation Division

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Table of Contents

SECTION ONE – OVERVIEW.....	2
1.1 Purpose.....	3
1.2 Program Description	3
1.3 Program Goals	3
1.4 Eligible Projects	4
1.5 Grant Match Requirements	4
1.6 Online Application	5
SECTION TWO – SERVICE PROFILE	6
2.0 Service Profile Form	7
SECTION THREE – GENERAL INFORMATION.....	11
3.1 General Information Form.....	12
SECTION FOUR – VEHICLES AND OTHER CAPITAL PROJECTS	14
4.1 Vehicles and Other Capital Projects Form	15
SECTION FIVE – CONSTRUCTION AND REHABILITATION PROJECTS	16
5.1 Construction and Rehabilitation Projects Form.....	17
SECTION SIX – OBLIGATION CERTIFICATION.....	18
6.1 Obligation Certification Form	19
SECTION SEVEN – BUDGET AND MILESTONES	20
7.1 Budget and Milestones Form	21
7.2 Line Items	22

SECTION ONE – OVERVIEW

1.1 Purpose

This section provides a general overview of the Federal Transit Administration (FTA) Section 5311 program, a formula-based program that provides funding to eligible rural transit districts for supporting public transportation in rural areas. To be eligible to apply, applicants must comply with all applicable federal, state, and local laws and regulations.

The FTA Section 5311 program is authorized under the Fixing America's Surface Transportation (FAST) Act passed on December 3, 2015 (Statutory Reference: 49 U.S.C. Section 5311 / FAST Act Section 3007). The rural formula program generally maintains the structure of the Formula Grants for Rural Areas grant program under the previous authorizing law, Moving Ahead for Progress in the 21st Century (MAP-21) Act. On November 24, 2014, the Federal Transit Administration (FTA) published final FTA Circular FTA C 9040.1G.

Please refer to FTA's [website](#) and [Circular](#) for specific compliance information and a more comprehensive FTA Section 5311 program guidance.

The purpose of this document is to provide the reader instructions on how to fill out a grant application in the Texas Department of Transportation (TxDOT) Public Transportation (PTN) electronic grants system (eGrants).

1.2 Program Description

Section 5311 is a FTA Formula Grants for Rural Areas program that provides capital and operating assistance to states to support public transportation in rural areas with populations of less than 50,000, where many residents often rely on public transit to reach their destinations. TxDOT is the designated recipient for Texas's FTA Section 5311 program. Funds are used for capital, operating, and administrative assistance by operators of public transportation services.

Funding is apportioned by a statutory formula that is based on the latest U.S. Census figures of areas with a population under 50,000. The amount that Texas may use for state administration, planning, and technical assistance is limited to ten percent (10%) of the annual apportionment. Texas must spend at least 15 percent (15%) of the apportionment to support rural intercity bus service unless the Governor certifies that the intercity bus needs of the state are adequately met.

1.3 Program Goals

The purpose of the FTA Section 5311 program is to support the maintenance of existing public transportation services and the expansion of those services through the following program goals:

- a. Enhancing access in rural areas to health care, shopping, education, employment, public services, and recreation.

-
- b. Assisting in the maintenance, development, improvement, and use of public transportation systems in rural areas.
 - c. Encouraging and facilitating the most efficient use of all transportation funds used to provide passenger transportation in rural areas through the coordination of programs and services.
 - d. Providing financial assistance to help carry out national goals related to mobility for all, including seniors, individuals with disabilities, and low-income individuals.
 - e. Increasing availability of transportation options through investments in intercity bus services.
 - f. Assisting in the development and support of intercity bus transportation.
 - g. Encouraging mobility management, employment-related transportation alternatives, joint development practices, and transit-oriented development.
 - h. Providing for the participation of private transportation providers in rural public transportation.

1.4 Eligible Projects

Eligible operating expenses include items such as fuel, oil, replacement tires, replacement parts, maintenance and repairs, driver and mechanic salaries and fringe benefits, dispatcher salaries and fringe benefits, and licenses. Eligible administrative expenses include items such as transit manager's salary, secretary and bookkeeper salaries, marketing expenses, office supplies, vehicle insurance, and facility and equipment rental.

Net operating expenses are those expenses that remain after operating revenues are subtracted from eligible operating expenses. At a minimum, operating revenues must include farebox revenues. Operating revenues are all revenues accrued to the benefit of the project including farebox revenue (passenger fares), charter service, and contract revenues. Farebox revenues include fares paid by passengers who are later reimbursed by a human service agency, or other user-side subsidy arrangements, but do not include payments made directly to the transit provider by human service agencies.

Eligible capital expenses include items such as buses, vans, associated capital maintenance items, communications equipment, construction or rehabilitation of transit facilities.

1.5 Grant Match Requirements

TxDOT typically funds applications at the maximum federal participation ratio of 50 percent of net operating expenses and up to 80 percent of eligible capital expenses.

1.6 Online Application

The online grant application is divided into five (5) sections or web pages:

- General Information
- Vehicles and Other Capital Project
- Construction and Rehabilitation
- Obligation Certification
- Budget and Milestones

All items with a red asterisk* indicate a mandatory field and require a response. All fields have their respective character limit and indicate the number of characters used and the number of characters remaining as you type. All responses should be clear and concise and communicate how the agency will specifically allocate and apply the funds. Also, applicants should complete all sections of the application completely and thoroughly with the most current agency-related information. For the convenience of the applicant, screen shots of the online application are included in this document for reference.

In addition to the online application, Subrecipients are required to verify the Service Profile is current. If needed, the Subrecipient should update the Service Profile as appropriate. For the convenience of the applicant, screen shots of the Service Profile section are included in this document for instruction and reference.

SECTION TWO – SERVICE PROFILE

2.0 Service Profile Form

Select the project service area using the radio buttons and highlight the rural service area counties using the vertical scroll bar. To select multiple counties, press “CTRL + Click” to highlight each eligible county.

Project Service Area* Rural Urban N/A

Service Area - Rural (Counties)*

Anderson County
Andrews County
Angelina County
Aransas County
Archer County
Armstrong County

Service Area - Urban (Cities) *

Type of Services Provided. *

Select all the types of service that is anticipated to be provided.

Demand Response	<input type="checkbox"/>
Fixed-Route	<input type="checkbox"/>
ADA Complementary Paratransit	<input type="checkbox"/>
Deviated Fixed Route	<input type="checkbox"/>
Regionally Coordinated Transportation	<input type="checkbox"/>
Planning	<input type="checkbox"/>
Other	<input type="checkbox"/>

If "Other" is selected, please enter a description.

0 of 2000

Identify all third-party contracts and attach a copy of contract.

Upload a copy of the fully executed contract agreements and provide the following in the available fields:

- Description of Service
- Agency Name
- Physical Address
- City
- State
- Zip Code
- Contact Name
- E-Mail Address

(3rd Party Contract)	Description of Service	Agency Name	Physical Address	City	State	Zip	Contact Name	E-mail
<input type="button" value="Choose File"/> No file chosen								

- The contract information in the *Service Profile* should match exactly the contract information document in the application, Section: *General Information*, question number 5 – Vendor Names and Description of goods/services.

Hours of Operation

Select start and end times for service

	Start Time			End Time		
Monday	▼	:	▼	▼	:	▼
Tuesday	▼	:	▼	▼	:	▼
Wednesday	▼	:	▼	▼	:	▼
Thursday	▼	:	▼	▼	:	▼
Friday	▼	:	▼	▼	:	▼
Saturday	▼	:	▼	▼	:	▼
Sunday	▼	:	▼	▼	:	▼

Does the agency charge a fare?

Make your selection by clicking on a radio button.

Does the agency charge a fare?

- A fare is charged.
- A donation is requested.
- No fees are requested.

Fare Type

Enter amount to selected fare type and add comments, as appropriate. Include the date of the last fare change.

	Amount	Comments:
Regular Fare		
Senior Fare		
Persons with Disabilities (non-paratransit)		
Personal Care Attendant		
Paratransit		
Student Fare		
Monthly Pass		
Tickets or Tokens		
No Fare Charged		
Other		

Date of last fare change

How is the public notified of a fare change?

Select all methods used to notify the public of fare changes.

- Newspaper
- Radio
- Public Hearing
- TV/Cable
- Social Media
- Flyer
- Other

If "Other" is selected, please enter a description.

0 of 2000

How are vehicles stored?

Select all methods used to store the vehicles.

- Garage
- Secured Lot
- On-site in unsecured lot
- Off-site location in unsecured lot
- Staff takes home vehicle daily

How soon in advance does a passenger need to schedule a trip?

Select the time frame for scheduling a trip.

- 72 hours or greater in advance
- 24-48 hours in advance
- Same day as needed
- Other

If "Other" is selected, please enter a description.

0 of 2000

Are trips scheduled on a first come first serve basis?

Select the appropriate radio button for response.

- Yes No

How is dispatching accomplished?

Select all methods used for dispatching.

- Two-way radio
- Cell Phone
- Mobile Data Terminal
- Other

If "Other" is selected, please enter a description.

0 of 2000

How is service marketed?

Select all methods used to market services provided. (See Figure 12).

- Newspaper
- Radio
- Public Hearing
- TV/Cable
- Social Media
- Flyer
- Other

If "Other" is selected, please enter a description.

0 of 2000

SECTION THREE – GENERAL INFORMATION

3.1 General Information Form

Provide primary contact information in the available fields. Confirm that the Service Profile is accurate by using check box. Select the "Rural" radio button, since Section 5311 funds are for rural projects.

Application Instructions

Application Instructions

Agency Name

Person to be contacted regarding this application

First Name *

Last Name *

Phone Number *

Email Address *

By checking this box, you are indicating that the service profile for this organization is accurate. *

Project Service Area *

Urban Rural

If "Urban" is selected, please select the urbanized area. *

General Information

All responses should be supported with qualitative and quantitative data, citing sources as appropriate. See the questions and their respective guidance below.

1. Describe the proposed project(s) for which the funds will be used. *

- *Type of service – Demand Response, Fixed Route, ADA Complementary, Paratransit, and/or Deviated Fixed Route.*
- *Service Area – cities and/or counties.*
- *Hours of Operation – days of week, hours of day, holidays if applicable.*

0 of 2000

2. Describe how the need/demand for the proposed project(s) was determined. *

- *Should relate back to information provided in Question 1.*
- *Include current state qualitative and quantitative data used to determine the need/demand for each Type of Service, Service Area and Hours of Operation.*

0 of 2000

3. Describe the anticipated benefits of the project. *

- *Include the population that will benefit from Type of Service, Service Area and Hours of Operation, as described in Question 1.*

0 of 2000

4. Identify and describe methods to procure goods and/or services related to this project. *

- *If the agency will procure goods or services or would like to use a contract for goods or services, which has been previously procured and approved by PTN, identify the type of procurement and document steps taken*

0 of 2000

5. If vendors have been previously selected, complete the following (press the [SAVE] button for additional rows). *

Vendor Name	Description of goods/services
<input type="text"/>	<input type="text"/>

- *Provide the vendor name for any goods or services for which a vendor was previously selected along with a short description of the goods or services.*
- *If a vendor has previously been selected, responses to questions 4 and 5 must be consistent.*

6. Is the proposed project consistent with continuing, cooperating, and comprehensive regional transportation planning implemented in accordance with 49 U.S.C. §5301? *

Yes No

- *General policies for receiving federal funds are identified in 49 U.S.C. §5301. Agencies must certify the information.*

Attachments

Upload any additional documents relevant to this application per the application's instructions.

Description	Upload
<input type="text"/>	<input type="button" value="Choose File"/> No file chosen

Note: At minimum, a map or bus schedule for each service area should be attached. If available, attach service brochures as well. Any additional attachments not specifically identified in other sections of the application should be attached on this page.

All attachments should include a descriptive title; i.e. "Route Map or Bus Schedule". eGrants allows for upload of multiple documents.

After a file is uploaded and description is added, click on the [SAVE] button and a new row will be created.

SECTION FOUR – VEHICLES AND OTHER CAPITAL PROJECTS

4.1 Vehicles and Other Capital Projects Form

The number of questions will depend on the responses to questions 1 and 5.

1. Are Vehicle Capital expenses parts of the proposed project? *

Yes No

- Select “No” then then proceed to question 5; questions 2 – 4 will be hidden as they are not applicable.

Other Capital

Other Capital includes, but is not limited to: shop equipment, communication and computer equipment, hardware and/or software, preventive maintenance, purchase of service, and other miscellaneous equipment. (Program limitations may apply.)

5. Are Other Capital expenses part of the proposed project description? *

Yes No

- Select “No” as these items are not allowed to be requested at this time.

Attachments

Upload any additional documents relevant to this application per the application's instructions.

Description

Upload

No file chosen

- This is not applicable at this time.
- The options in this section will be applicable when the Vehicle Miles award is announced.

SECTION FIVE – CONSTRUCTION AND REHABILITATION PROJECTS

5.1 Construction and Rehabilitation Projects Form

Responses should be supported with qualitative and quantitative data, citing sources as appropriate, specifically related to how the Section 5311 funds will be used for construction and/or rehabilitation related expenses.

Construction and Rehabilitation Projects

Construction and Rehabilitation Projects can include the following phases: Planning, Preliminary Engineering (including environmental review), Final Design and Real Estate Acquisition, Construction/Rehabilitation.

1. Are Construction and/or Rehabilitation related expenses part of the proposed project? *

Yes No

- [Select "No" as this is not applicable and agencies are not allowed to request these items at this time.](#)

Attachments

Upload any additional documents relevant to this application.

Description	Upload
<input type="text"/>	<input type="button" value="Choose File"/> No file chosen

- [This is not applicable at this time.](#)
- [The options in this section will be applicable when the Vehicle Miles award is announced.](#)

SECTION SIX – OBLIGATION CERTIFICATION

6.1 Obligation Certification Form

As an authorized official of the *{agency name auto filled by eGrants}*

I certify to the following:

1. The information presented in the application is true and accurate to the best of my knowledge.
2. I have not intentionally made any misstatements or misrepresented the facts.
3. The organization has the resources and technical capacity to support the project.
4. The organization has the resources and technical capacity to provide the required match.
5. The organization uses generally accepted accounting standards for its financial recordkeeping functions.
6. The organization will participate in a continuous, comprehensive dialogue throughout the life of the project.
This includes but is not limited to:
 - o On-Site monitoring by TxDOT personnel
 - o Timely submission of required reports
 - o Timely written notification of events that will affect the outcome of the project
7. The organization will comply with all applicable federal, state, and local laws and regulations.
This includes but is not limited to:
 - o Annual Certifications and Assurances
 - o Master grant agreements
 - o Project grant agreements
 - o Applicable federal program circulars and similar federal and state guidance
8. Applicant Affirmation: Compensation has not been received for participation in the preparation of the specifications for this call for projects.

By checking and completing this document I certify that the above statements are true and that I have the authority to sign this document.

Name

Title

Date

- An agency representative with authority to sign the document should check the box at the bottom of the page. Their name and title along with the date will be inserted into the page.

SECTION SEVEN – BUDGET AND MILESTONES

7.1 Budget and Milestones Form

The budget and milestones page contains information how the agency will spend the Section 5311 funds, on a per line item basis.

At this time, to expedite this application, please limit line item budget to Project Administration, Operating, Preventive Maintenance, and Capital Cost of Contracting. If Preventive maintenance is budgeted at this time TDC cannot be used as match.

When additional apportionments become available, an amendment to add the Vehicle Miles award will be made, which will allow for all other budget line items (i.e. capital) as well as TDC to be requested to match capital items.

Does this budget include indirect costs? * Yes No

- If "Yes" is selected, type in the percentage in fill box. (See Figure 22)
- Subrecipients that have not previously had a negotiated indirect cost rate may elect for a 10% de minimus rate of modified total direct cost without negotiating an indirect cost rate or submitting an indirect cost rate agreement plan.

If yes, please enter the Indirect Rate %

Attachments

You may upload additional documentation here. (If this budget includes In-Kind funds you are required to upload supporting documentation.)

Upload PTN-143 form plus supporting documentation when in-kind funds will be used as match. (See Figure 23).

Description	Upload
	<input type="button" value="Choose File"/> No file chosen

7.2 Line Items

When entering budget line items, fill out a row and then press the [SAVE] button for additional rows.

Column Heading	Description
Description	Choose the description from the pre-populated drop-down list
Scope	Field is locked and does not need to be completed.
Suffix #	Field is locked and does not need to be completed.
TPN	Field is locked and does not need to be completed.
Fuel Type	Choose the fuel type from the drop-down list
# of Units	Enter the number of units associated with the project description. Applies to capital items only.
Award Amount	Federal amount requested by Subrecipient
State Match	Agency documents the amount
Local Match	Agency documents the amount
In-Kind Match	Agency documents the amount, support documents and amount entered in this field must concur
Total Funds	eGrants system will calculate.
TDC Requested?	This field is not applicable since TDCs are not available for this application.
Match Ratio	Field is locked and does not need to be completed
TDC Amount	Completed by grant program manager
Estimated RFP/IFB Issued	Date must be entered for all capital item and any contracted services by the Subrecipient.
Estimated Contract Award	Date must be entered for all line items by the Subrecipient. For project administration and operating enter the date the agency anticipates starting to use the funds.
Estimated First Vehicle Delivered	Vehicle projects only. To be filled out by the Subrecipient.
Estimated Last Vehicle Delivered	Vehicle projects only. To be filled out by the Subrecipient.
Estimated Contract Complete	Date when all funds will be expended for that line item.