

# The Grant Review Process

Kasey O. Rogers  
Transit Program Manager

AWARDING PROCESS

# Awarding Process

- Award

FTA provides assistance to the Recipient to carry out the Scope of Work that FTA has approved. The Award also includes the requirements of all documents, terms and conditions incorporated by reference and made part of the Grant or Cooperative Agreement.

- Award Budget

The budget for all the Projects encompassed by the FTA Award may include the Federal and non-Federal share or only the Federal share, as determined by FTA or a pass-through entity.

# Awarding Process

- Applications are sent out via email and/or website to our Agencies.
- Applications are returned by mail **Only.**
- System for Award Management (SAM)
  - ▶ Applications are subject to a SAM verification by the Regional Manager.
  - ▶ Entities must be registered in SAMs, listed in “**active**” status, and have no exclusions in order to receive funding from Federal Grants, Cooperative Agreements, or Contracts.

# Awarding Process

- Applications are approved/disapproved by the Regional Managers.
  - ▶ Regional Managers make sure the application is complete, once complete an approval letter is written to ALDOT.
- Once approved, if an agreement is needed, it will be mailed/emailed to the Agency. \*
- Agreements are returned by mail only.
  - ▶ Agreements are verified and signed by ALDOT's Legal Department and then by the Governor. \*



# Awarding Process

- The Awards team establish the project budgets.
  - ▶ Data sheet review for budgets.
  - ▶ Initiation of projects into our CPMS system.

# 5311 Process

**Exhibit 1: Section 5311 Current Data Sheet**  
**(Do Not Include JARC Information on This Exhibit)**

ALABAMA RURAL PUBLIC TRANSPORTATION PROGRAM  
FISCAL YEAR 2021

1. Name and Address of Applicant (Please include Zip Code plus 4)	2. Date: Contact Person: Telephone : Fax : E-Mail Address:
DUNS Number:	
3. Names of Subcontractors	4. Area(s) To Be Served By Project and Congressional District(s)
5. Service Area Population and Square Miles (numbers only)	6. Hours and Days of Operation

7. Funding Summary:

Budget Category	A. Section 5311 Funds	B. Local Funds	C. Contract Revenue <sup>1</sup>	D. Farebox	E. Advertising Revenue	E. Total
1. Operating						
2. Administration						
3. Capital						
4. Planning						
5. Total						

<sup>1</sup> Contract revenue (non-DOT Federal only) may be applied to operating or administration costs as local match once 10% farebox recovery has been accomplished.

8. Project Number: RPT- \_\_\_\_\_ County(ies) Served: \_\_\_\_\_

9. List Service Contract(s) and Estimated Amount(s) for FY- 2021  
(Use additional sheets, if necessary)

# 5311 Process

“Current Data Sheet”



## SAMPLE LINE ITEM BUDGET SHEET

PROJECT COUNTY: [\[List County\]](#)

FISCAL YEAR 2021

PROJECT NUMBER: [RPT-\[List Number\]](#)

ORIGINAL: X

**OPERATIONS**

Drivers	\$173,400.00
Maintenance Supervisor	\$10,064.00
Fringes	\$43,836.00
Maintenance/Repairs	\$5,500.00
Uniforms	\$2,000.00
Tires	\$2,500.00
Fuel/Oil	\$44,000.00
<b>TOTAL</b>	<b>\$281,300.00</b>

**ADMINISTRATION**

Director	\$27,130.00
Coordinator	\$17,190.00
Bookkeeper	\$5,000.00
Fringes	\$7,300.00
Supplies	\$1,000.00
Telephone	\$1,000.00
Postage	\$500.00
Advertising	\$300.00
Mileage	\$1,500.00
Travel	\$500.00
Room/Meals	\$1,500.00
Registration/Fees	\$250.00
Dues	\$300.00
Professional Services	\$500.00
Office Equipment	\$1,000.00
Repair (Office)	\$500.00
Vehicle Insurance	\$10,000.00
<b>Total</b>	<b>\$75,470.00</b>

**CAPITAL**

Vehicle Capital	\$100,000.00
Non-Vehicle Capital (Support Equipment, Sole Source Purchases)	\$20,000.00
<b>Total</b>	<b>\$120,000.00</b>

# 5311 Process

“Line Item Budget  
Sheet”



# 5311 Process

“Budget Funds Sheet”

## SAMPLE SOURCE OF BUDGET FUNDS SHEET

PROJECT COUNTY: [List County]  
FISCAL YEAR 2021

PROJECT NUMBER: RPT-[List Number] ORIGINAL: X

### OPERATING BUDGET

Total Operating Cost	\$281,300.00
Less Direct Operating Revenues	
Farebox:	\$18,130.00
Other Revenue:	\$10,000.00
Net Operating Cost	\$253,170.00
Less Section 5311 Grant (50%)	\$126,585.00
<b>Total Local Share (50%)</b>	<b>\$126,585.00</b>

Contracts:	\$36,307.00
County Commission:	\$90,278.00

### ADMINISTRATION BUDGET

Total Administration Cost	\$ 75,470.00
Less Section 5311 Grant (80%)	\$ 60,376.00
<b>Total Local Share (20%)</b>	<b>\$ 15,094.00</b>

County Commission:	\$15,094.00
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### CAPITAL BUDGET

Total Vehicle Capital	\$100,000
Total Non-Vehicle Capital (Support Equipment, Sole Source Purchases)	\$ 20,000
Example:	
Office Computers, Shop Equipment, etc.	
Less Section 5311 Grant (80%)	\$ 96,000
<b>Total Local Share (20%)</b>	<b>\$ 24,000</b>

County Commission:	\$24,000
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**FY-2021 SECTION 5311 VEHICLE REQUEST BUDGET FORM** (Form To Be Completed If Requesting Vehicles)

Agency Name: \_\_\_\_\_

<i>Vehicle Type</i> <i>Price ranges are estimates and subject to change. Prices include wheel-chair stations only. Other options are not included.</i>	<i>Designed Seating Capacity</i>	<i>Number of Wheelchair Stations Per Vehicle</i>	<i>Engine Type G-Gas or D-Diesel</i>	<i>Number of Each Type Vehicle Needed</i>	<i>Intended Use R-Replacement E-Expansion N-New Service</i>
Mini Van \$38,500	6	1 Station Available	Gas only	1	R
Modified Van \$51,493-\$64,157	15		Gas only		
Cut-A-Way Chassis Bus \$49,326-\$65,034	17		Gas only		
Cut-A-Way Chassis Bus \$51,747-\$69,935	21		Gas only		
Cut-A-Way Chassis Bus \$59,516-\$71,790	25		Gas only		
Cut-A-Way Chassis Bus \$80,000-\$85,000	25		Diesel only		
Cut-A-Way Chassis, HD \$83,674-\$95,247	28-30		Gas only		
Cut-A-Way Chassis, HD \$91,336-\$102,890	28-30		Diesel only		
<b>TOTALS</b>					

Note: All vehicle capital requests will be evaluated by ALDOT. The number and types of vehicles awarded are contingent upon available funding.  
 Replacement – an agency requesting to replace vehicles funded through ALDOT. Expansion – an agency currently has vehicles funded by ALDOT and desires to purchase new vehicles to meet service needs. New Service – an agency that has not purchased vehicles through ALDOT.

*Prices are estimates only and are rounded to the nearest \$100.*

**Diesel-Powered 25 passenger Cut-A-Way Chassis Bus and the 28-30 passenger vehicles are currently pending contract renewal.**

\*\*\*This page will not include JARC information, if applicable. The JARC Vehicle Request Budget Form is located in Exhibit 11.\*\*\*

# 5311 Process

## “Vehicle” Request Form



# 5311 Process

“Vehicle Replacement”  
Form

## FY-2021 ALDOT Transit Program Replacement Form

### List of Vehicles to be Replaced

(If Applicable)

Make/Model/Year	Year of Purchase	Vehicle ID Number (VIN)	Mo./Yr. Placed in Revenue Service	Accumulated Mileage	Estimated Mo./Yr. to be taken Out of Revenue Service
Ford 3500 – 2000	1999	0123456789012345	12/1999	150,000	12/2021

\*Only ALDOT Transit vehicles



# 5310 Process

**Exhibit 2: Section 5310 Current Data Sheet (Statewide)**

<b>1. Application Information:</b>	
Legal Name:	
P. O. Box:	Congressional District:
Street Address:	
City/County/State/Zip plus 4:	
<b>DUNS (Data Universal Numbering System) Number:</b>	
Website:	
First Contact Person and Title:	
E-mail:	
Phone:	
Fax:	
Second Contact Person and Title:	
Phone:	E-mail:
<b>Check Current Status Below (check all that apply):</b>	
<input type="checkbox"/> Current 5307 Recipient	<input type="checkbox"/> Current 5310 Recipient <input type="checkbox"/> New Agency
<input type="checkbox"/> Current 5309 Recipient	<input type="checkbox"/> Current 5311 Recipient
<b>2. Project Request (check all that apply):</b>	
<input type="checkbox"/> Vehicles (80% of Project Cost)	
<input type="checkbox"/> Non-Vehicle Capital (80% of Project Cost)	
<input type="checkbox"/> Purchased Transportation Services (80%)	
<b>3. Project Information:</b>	
Population of area to be served: _____	
Number of seniors: _____	_____ As % of Total Area Population
Number of individuals with disabilities: _____	_____ As % of Total Area Population
<b>This Application Is for (check all that apply):</b>	
<input type="checkbox"/> An urbanized area with population size 50,000 or more.	
<input type="checkbox"/> A non-urbanized (rural) area with population below 50,000.	
County(ies) of proposed project(s):	
Section 5310 Federal Amount Requested (Capital):	\$
Total Local Match Funds:	\$
Total Cost of Project:	\$

# 5310 Process

“Current Data Sheet”



# 5310 Process

## “Vehicle” Request Form

Exhibit 3. (continued) Vehicle Request Budget Form Agency Name: \_\_\_\_\_  
 All applicants will complete this Form. If no vehicles are requested, write N/A on the Form.

<i>Vehicle Type</i> <i>Price ranges are estimates and are subject to change. Prices include wheelchair stations only. Other options are not included.</i>	<i>Designed Seating Capacity</i>	<i>Number of Wheelchair Stations Per Vehicle</i>	<i>Engine Type</i> <i>G-Gas or D-Diesel</i>	<i>Number of Each Type of Vehicle Needed</i>	<i>Intended Use*</i> <i>R-Replacement</i> <i>E-Expansion</i> <i>N-New Service</i>
Mini Van \$38,500	6	1 Station Available	Gas only	1	R
Modified Van \$51,493-\$64,157	15		Gas only		
Cut-A-Way Chassis Bus \$49,326-\$65,034	17		Gas only		
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Cut-A-Way Chassis Bus \$80,000-\$85,000	25		Diesel only		
Cut-A-Way Chassis, HD \$83,674-\$95,247	28-30		Gas only		
Cut-A-Way Chassis, HD \$91,336-\$102,890	28-30		Diesel only		

Note: All vehicle capital requests will be evaluated by ALDOT. The number and types of vehicles awarded are contingent upon available funding.  
 \*Replacement—an agency requesting to replace vehicles funded through ALDOT. Expansion—an agency currently has vehicles funded by ALDOT and desires to purchase new vehicles to meet service needs. New Service—an agency that has not purchased vehicles through the Section 5310 program (formerly 16b). Prices are estimates only and are rounded to the nearest \$100.

**Diesel-Powered 25 passenger Cut-A-Way Chassis Bus and the 28-30 passenger vehicles are currently pending contract renewal.**

**List Sources of Local Funds (below). 20% Local Match is Required for all Vehicles Requested.**

Name of Organization: \_\_\_\_\_ Amount: \_\_\_\_\_

Name of Organization: \_\_\_\_\_ Amount: \_\_\_\_\_



**FY-2021 ALDOT Transit Program Replacement Form**

**List of Vehicles to be Replaced**

(If Applicable)

Make/Model/Year	Year of Purchase	Vehicle ID Number (VIN)	Mo./Yr. Placed in Revenue Service	Accumulated Mileage	Estimated Mo./Yr. to be taken Out of Revenue Service
Ford 3500 – 2000	1999	0123456789012345	12/1999	150,000	12/2021

\*Only ALDOT Transit vehicle

# 5310 Process

“Vehicle Replacement” Form

# 5310 Process

## “Purchased Transportation” Request Form

Request Form Agency Name: \_\_\_\_\_

All applicants will complete this Form. If you are not requesting purchased transportation and/or non-vehicle capital, write N/A on the Form.

Purchased Transportation or Other Capital (specify: computers, radios, etc.)	Number of Each (if applicable)	Federal Cost	Local Cost	Total Cost
<b>Totals</b>				

Note: All non-vehicle capital equipment will be evaluated by ALDOT. The number and type(s) of equipment awarded are contingent upon available funding.

# Awarding Process

- An Award letter is generated to the Agency stating the amount that is awarded to the Agency.

“Awards Letter”





**ALABAMA DEPARTMENT OF TRANSPORTATION**  
1409 Coliseum Boulevard Montgomery, Alabama 36110



Kay Ivey  
Governor

John R. Cooper  
Transportation Director

August 13, 2020

Ms. Jane Doe  
Alabama Dept. of Transportation  
1409 Coliseum Blvd  
Montgomery, AL 36110

SUBJECT: Fiscal Year 2021 Section 5311 Program Grant Awards, and Distribution Codes

Dear Ms. Doe:

Your distribution codes and approved federal funds award for fiscal year 2021 Section 5311 program are listed below:

Program	Category	Distribution Code	Award
Section 5311	Operations	4329-0405-0545 RPTO-100000000	\$280,000.00
	Administration	4329-0406-0545-RPTO-100000000	\$330,000.00
	JARC/DHR Operations	4329-0405-0545 RPTO-100000000	\$140,000.00

If there are any questions, please contact Kasey Rogers at (334) 242-6764.

Sincerely,

Bradley B. Lindsey, P.E.  
Acting State Local Transportation Engineer

BBL:KOR:cr  
CC: Agency's file

# Award Letter 5311



**ALABAMA DEPARTMENT OF TRANSPORTATION**  
1409 Coliseum Boulevard Montgomery, Alabama 36110



Kay Ivey  
Governor

John R. Cooper  
Transportation Director

August 13, 2020

Ms. Jane Doe  
Alabama Dept. of Transportation  
1409 Coliseum Blvd  
Montgomery, AL 36110

**Subject: FY 2021 Section 5310 Fully Executed Agreement**

Dear Ms. Doe:

Enclosed is a copy of the fully executed Agreement between the State of Alabama and your agency for the Section 5310 Specialized Transportation Project for the Elderly and Persons with Disabilities Transportation.

If you have questions regarding vehicle ordering and delivery schedules, please contact Tommy Thomson at (334) 242-6773. Questions regarding the Section 5310 agreement and/or the grant award should be addressed to Kasey Rogers at 334-242-6764.

Sincerely,

Bradley B. Lindsey, P.E.  
Acting State Local Transportation Engineer

BBL:KOR:cr  
Enclosure(s)

Award Letter  
5310

# Awarding Process

- Responsibilities of the Management of Awards
  - ▶ Recipients are responsible for the day-to-day management of their Awards that provide assistance for eligible activities or projects. FTA monitors Awards and the federally assisted projects thereunder to confirm that recipients establish and follow procedures that comply with Federal requirements and the terms and conditions.



# Questions/Comments