2026 Application Guide

Section 5311/5339

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2026 APPLICATION GUIDE – SECTION 5311/5339

I.   Introduction/Eligibility

1.   All applications are to be completed using BlackCat. The BlackCat users guide can be found on the BlackCat dashboard. A separate application is required for each program you are applying for (5310 and or 5311/5339). All document uploads must be *native* documents in Word, Excel, or portable document format (pdf) form. Scanned documents *will not be accepted*.

2.   All applicants should refer to the State Management Plan (SMP) on the Transit Bureau webpage to determine eligibility for the grant program. The SMP provides all eligibility guidelines. Use the links below for additional FTA guidance:

> Section 5311 Applicants: Please refer to FTA Advisory Circular 9040 1G https://www.transit.dot.gov/sites/fta.dot.gov/files/docs/FTA_Circular_9040_1Gwith _index_-_Final_Revised_-_vm_10-15-14%281%29.pdf for further guidance on eligibility criteria and program administration if applying for Section 531 funds.

> Section 5339 Applicants: Please refer to FTA Advisory Circular 5100.1 https://www.transit.dot.gov/sites/fta.dot.gov/files/docs/Final_FTA_C_5100_4-16-15.pdf for further guidance on eligibility criteria and program administration if applying for Section 5339 funds.

II.   Application Opportunities

1.   Under the "Applications" tab select a "New" Grant Opportunity and click "Apply". This will bring up the application page where the application will be created and submitted.

2.   Application Form(s): this is where the required and supporting documents will be uploaded. All sections must have a blue or green check mark to indicate the application is complete. Only at this time will the "Submit" button appear.

3.   Project(s): are created under the "Projects" tab.

4.   Project Listing: Select "Add New" to create all budget requests for Administration, Operating, and Capital projects. A new project must be created for each vehicle requested. Equipment requests for more than one of the same item can be included in one project.

- ADMINISTRATION - select ALI Code 11.79.00

- OPERATING - select ALI Code 30.09.01 for Rural Service Routes. Select ALI Code 30.09.00 for Intercity Service Routes

- CAPITAL - select the specific ALI Code that best describes the capital item. Requests for multiple vehicles must each have a separate project with a specific ALI Code associated with that project. Equipment requests for more than one of the same item can be requested using a single ALI Code, in a single project. You must include the quantity requested) and a description of the items requested in the "Notes" area of the Project Details section.

5.   Vehicle ALI Codes and Description

ALI Code	Description	ALI Code	Description	ALI Code	Description
11.12.01	Buy Replacement - Bus STD 40 FT	11.13.01	Buy Expansion - Bus STD 40 FT	11.14.01	Rehab / Rebuild - Bus STD 40 FT
11.12.02	Buy Replacement - Bus STD 35 FT	11.13.02	Buy Expansion - Bus STD 35 FT	11.14.02	Rehab / Rebuild - Bus STD 35 FT
11.12.03	Buy Replacement - Bus 30 FT	11.13.03	Buy Expansion - Bus 30 FT	11.14.03	Rehab / Rebuild - Bus 30 FT
11.12.04	Buy Replacement - Bus < 30 FT	11.13.04	Buy Expansion - Bus < 30 FT	11.14.04	Rehab / Rebuild - Bus < 30 FT
11.12.15	Buy Replacement - Vans	11.13.15	Buy Expansion - Vans	11.14.15	Rehab / Rebuild - Vans

All capital requests for vehicles require an estimate in the form of a quote from the vendor with a price, a detailed description of the vehicle and its specifications, and a diagram or photo. The documents must be uploaded in "Project Documents" under the "Projects" tab.

If you are requesting capital for a replacement vehicle, The VIN of the vehicle you wish to replace must be identified from an eligible vehicle in your vehicle inventory and listed in the "Vehicle Information" section of the Project Details. For new applicants, existing vehicle inventories must be entered into BlackCat under the inventories tab of your organization.

If you are requesting capital for an expansion vehicle, an additional document upload is required describing the new or expanded service. Funding requests for vehicles will not be awarded unless a price quote and item description with diagram is provided.

All capital requests for the acquisition of capital items other than vehicles, require at least one price quote or independent cost estimate for the item and a detailed description of the item (from the same source). The documents must be uploaded in "Project Documents" under the "Projects" tab. Funding requests will not be awarded unless a price quote and item description is provided.

If you are requesting a new construction project or a rehab/rebuild to a vehicle or facility, a document upload is required **describing** the new construction or rehab/rebuild project and a preliminary price quote for the capital request. The document must be uploaded in **"**Project Documents" under the "Projects" tab. Funding requests for capital projects will not be awarded unless a detailed description of the project is provided with an accompanying price quote.

6. Other Capital Items

ALI Code	Description
11.32.06	Acquisition - Stationary Fare Collection Equip.
11.32.07	Acquisition - Surveillance / Security Equipment
11.32.08	Acquisition - Furniture/Graphics
11.32.09	Acquisition - Bus Route Signing
11.32.10	Acquisition - Bus Passenger Shelters
11.32.20	Acquisition - Miscellaneous Bus Station Equip.
11.42.07	Acquisition - ADP Hardware
11.42.08	Acquisition - ADP Software
11.42.09	Acquisition - Surveillance / Security (Bus)
11.42.10	Acquisition - Fare Collection (Mobile)
11.44.01	Rehab / Renovation - Admin Building
11.44.02	Rehab / Renovation - Maintenance Facility
11.44.05	Rehab / Renovation - Yards & Shops
11.44.06	Rehab / Renovation - Shop Equipment
11.62.03	Acquisition - Radios
11.93.02	Construction - Bus Shelters

III. Legal and Governance

Upload the following legal and governance information into the "Application Form(s)" section:

- Articles of incorporation
- 501(c)3 certification (nonprofits only)
- SAM.gov unique entity identifier verification
- Signed and dated lobbying certification form

IV.   Procurement

New applicants and any applicants who have updated their Procurement Policy during the past year *must* upload the agency's procurement policy.

V.   Financial and Budget Information

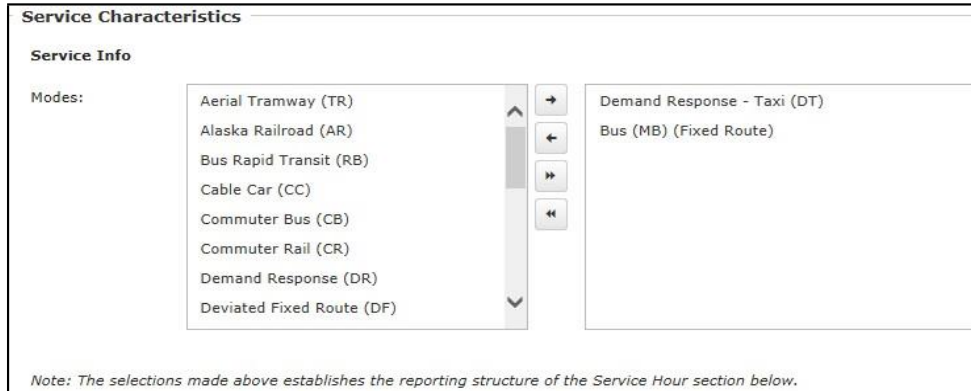A.   Upload the following financial information into the "Application Form(s)" Section:

- Most recent audit(s) (please upload COMPLETE report)
- For transit-related audit findings, upload corrective action response
- Negotiated indirect cost rate (tribes upload cognizant agency approval letter)
- Signed letter(s) of resolution of financial commitment of local match from municipality, board, or council. The resolution letter must include the dollar amount. **The dollar amount of the local match commitment must match the total local match required for the project budget requests less fare revenue projections**. If the governing entity is unable to accomplish this action before the application due date, a temporary statement of intent to provide this required document, on agency letterhead, may be uploaded in its place. Once a signed letter of resolution is obtained, the updated document can be reuploaded to the application file to replace the temporary statement of intent.
- Certificates of Insurance:
    - Commercial General Liability
    - Vehicle and Facility Insurance Coverage
    - Flood insurance policy for FTA-funded facilities in a flood hazard area as identified by the Federal Emergency Management Administration (MSC.FEMA.gov)

B.   Provide a completed *actual* administration/operating/capital transportation budget history (expenditures) for the *last two (2) complete fiscal years FY22 and FY23*. Also, provide a completed *projected* admin/operating/capital transportation budget for *application year using your current year's budget FY24 plus FY25 to project out for the application year budget FY26*. This is *not* just the transit budget for 5311 funding. **THE BUDGET MUST INCLUDE ALL FUNDING SOURCES/LOCAL MATCH USED TO OPERATE THE ENTIRE PROGRAM AND THE AMOUNTS CONTRIBUTED FROM EACH SOURCE**. Upload **historical and application year budget information** into the **"Application Form(s)"** Section.

VI. Service Area Map and Service Characteristics

Upload a map(s) of your entire service area (8 ½ X 11) including routes (must be current).

In BlackCat, under the Service Info tab of your organization, select which "modes" your agency operates, as shown in the example below:

VII. Ridership and Statistics

For new applicants, provide ridership and service data information.

Line #	Category	2022	2023	2024 Projected	2025 Projected	2026 Projected
1	Annual Ridership					
2	Annual Mileage					
3	Annual Vehicle Hours					

VIII. Civil Rights

NMDOT has developed the following requirements and procedures to ensure that no person in the State of New Mexico shall on the basis of race, color, creed, sex, or national origin be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving federal assistance under Sections 5310 and 5311. All potential subrecipients shall upload in the application form(s) section the following required information, if applicable.

1. A list of any active lawsuits or complaints naming the potential subrecipient that allege discrimination on the basis of race, color, creed, sex, or national origin with respect to

service or other transit benefits. If there have not been any lawsuits or complaints, there will be no upload.

2.   A summary of all civil rights compliance review activities conducted during the last three (3) years. The summary shall include:

- Purpose or reason for review
- Name of organization performing the review
- Summary of findings and recommendations of the review
- Report on the findings and recommendations of the review

If there have not been any civil rights compliance review activities, there will be no upload.

IX.   Program Coordination

Program coordination is a requirement of all applicants; this section assures that limited resources are used as efficiently as possible. All applicants are required to coordinate with other existing community partners. This may include other transportation service providers, health and human service providers, healthcare providers, non-profit agencies and other community agencies and local governments. Upload *all* documents related to program coordination under the corresponding "Application Form(s)" section as one native pdf.

A separate document upload is required of the following items:

- A complete and comprehensive description of all coordination efforts that are part of your current service. Also include any documentation supporting those coordination efforts.
- Letter(s) of program support and coordination efforts.

X.   Program Justification

Describe the service provided and discuss why it is needed in the community (no longer than five pages) citing the geographic and socioeconomic characteristics of the service area and the goals and objectives of the program. Finally, justify the funding level you are requesting.

XI.   Operations Profile

The following items must be included in the application and upload as one organized **native** pdf with a table of contents, as follows, to the **"**Application Form(s)" section of BlackCat.

1.   Table of Contents

2.   Mission Statement

3.   Brief Description of Transit Program

        (a) Route design

        (b) Schedule (days and hours of operation)

        (c) Fare structure (amounts, how set and by whom?)

        (d) Advertising/marketing

4. Organizational Structure (upload Organizational Chart)

    A. Employees (administration and operational transit empoyees)

        (a) Titles and job description

        (b) Hiring procedures, i.e., background check, driving record, pre-employment drug test

        (c) Code of conduct policy

        (d) Training plan/record-keeping policy and procedures

        (a) Drug & alcohol policy for safety sensitive employees (required for *all* 5311 applicants and 5310 applicants using program vehicles requiring CDL drivers)

5. Vehicles/Facilities

    A. Update all vehicle/facility inventories in BlackCat to reflect the most recent quarter prior to the application due date. This includes all documentation relating to extraordinary repair events, vehicle recalls, and accident reporting.

    B. Preventive maintenance plans and schedules (all federally funded vehicles/facilities)

    C. Pre/post inspection procedures (vehicles)

    D. Fleet replacement plan (most recent)

    E. Accident/incident reporting procedures/forms (to include accident reporting and documentation in the corresponding inventory records in BlackCat)

XII. Regional Prioritization of Transit Applications

The Transit and Rail Division will review your application for eligibility, accuracy, and completeness. As part of the review, applications are forwarded to the corresponding RTPO for review and evaluation in a public forum.

RTPOs and MPOs provide a forum for public participation, as well as an advisory regional prioritization of all transit grant applications for proposed services in their region. All applications are **required** to be reviewed by regional RTPO evaluation committees and prioritized at the regional level. All applicants are required to attend and give a brief presentation to the local RTPO/MPO board. Note: 5310 applicants requesting capital funding for multiple agency locations must present their application in each RTPO region to be served by the project.

The results of the prioritization are one of seven performance indicators that factor into funding decisions for 5311/5339 awards. This information is available in more detail in the State Management Plan on the Transit Bureau webpage.

A transit application statewide budget award recommendation meeting is scheduled in the spring of each year to announce the budget recommendation awards for the following federal fiscal year.

XIII. Transit Application Awards - Risk Assessment Criteria

Once Transit and Rail Division Staff review your application for eligibility, accuracy, and completeness, the applications are assessed according to the following risk criteria before award recommendations are made:

- Financial Capacity – review of most recent financial and internal audit(s); review of historical administrative, operating, and capital budget expenditures for transit program; confirmation of funding match commitments; timeliness and accuracy of monthly invoicing (existing applicants); and verified SAM.gov unique entity ID.

- Compliance Reviews (for existing applicants) – cumulative history of site visit reviews including number and severity of deficiencies and whether corrective actions were implemented, and if they were implemented in a timely manner.

- Program Management – administrative and operations staffing, staff turnover, number and status of vacancies, staff skills and experience, documentation of policies and procedures.

- Reporting History (existing applicants) – reporting timeliness and compliance to include DBE, drug & alcohol/MIS, NTD, transit asset management, 5310 ridership, and vehicle/facility asset inventory updates

- Complaints –civil rights, including ADA, and service complaints

XIV. Generalized Application Timeline

Timeline	
June-July	Letters of Intent solicited by NMDOT
July	Letter of Intent submitted in BlackCat
July	Application Opportunities open in BlackCat
August-September	Applications must be complete and submitted in BlackCat
November – January	RTPO Regional Prioritization meetings
May/June	Statewide Budget Recommendation Meeting
June/July	Notice of Award