



## CDOT New Applicant Questionnaire

### A. General Information

1. Legal Name of your organization: \_\_\_\_\_

2. Brief description of your organization: \_\_\_\_\_

Is it a public, nonprofit, or for-profit organization? \_\_\_\_\_

What services does it provide? \_\_\_\_\_

Is it a "stand alone" agency providing transportation with its own budget and governance, or is it a program within a larger organization (e.g., a city or county government, a multipurpose nonprofit)? [Within this questionnaire some questions will be directed to your transportation **program** alone and some will be geared to the larger **organization** in which you are housed (if applicable).] \_\_\_\_\_

3. What is the total annual budget of your **transportation program**? \_\_\_\_\_

What is the total annual budget of your **organization** (if applicable)? \_\_\_\_\_

4. How many in-service revenue vehicles are used in your program? \_\_\_\_\_

How many transit-related employees are in your program? \_\_\_\_\_

5. What is your organization's Employer Identification Number (EIN) or other Tax Identification Number (TIN)? \_\_\_\_\_

6. Is your organization registered with SAM.gov? [The System for Award Management (SAM) is the Official U.S. Government system with which one must register in order to be eligible to receive federal financial assistance. There is no charge to register or maintain your registration record in SAM.] \_\_\_\_\_

What is your SAM expiration date? \_\_\_\_\_

7. What is your organization's DUNS number? [DUNS is Dun & Bradstreet's "Data Universal Numbering System," a copyrighted, proprietary means of identifying entities on a location-specific basis. A DUNS number is a unique nine-character identification number provided free of charge. Having a DUNS number is not a prerequisite to applying, but it is for registering with SAM.gov and for receiving funds.] \_\_\_\_\_



8. Has your organization spent more than \$750,000 in any federal funds in the past fiscal year? [This amount triggers certain reporting requirements.] \_\_\_\_\_
9. Do you currently provide passenger transportation services, or are you seeking funds with which to **begin** a transportation service? If you are not now providing service, have you conducted a study that demonstrates the need for service and that explores alternatives for providing service under a contractual arrangement with an existing provider? Please describe and attach any supporting documentation. \_\_\_\_\_
10. Have you provided any type of contract services to the State of Colorado, or had a grant contract with the State, in recent years? If yes, what is your State vendor number? \_\_\_\_\_
11. Please generally describe the type of transportation service your program provides and the way it's delivered. [Is it demand response service? Fixed-route/fixed schedule? Do passengers call in advance for rides?] \_\_\_\_\_
12. To whom do you provide transportation? Are there eligibility requirements? [The general public of any age? Older adults? Persons with disabilities who are not over 65? Residents of a facility? Clients of a particular program? Developmentally disabled adults under a Medicaid waiver?] \_\_\_\_\_
13. What geographic areas do you serve? \_\_\_\_\_
14. On average, approximately how many hours per weekday does each of your vehicles operate? \_\_\_\_\_
15. Does your program use subcontractors to provide its services? If yes, please describe. \_\_\_\_\_

## **B. Legal Standing**

1. Has your organization been sanctioned by the federal government within the past five years in any of the following areas: Suspension or debarment from receipt of federal funds? Making of false claims? If yes, please describe. \_\_\_\_\_
2. Does your organization pay for lobbying activities at the state or federal level? If yes, please describe, including the source of funds you use for such. [If awarded federal funds, you will be required to submit (OMB) Standard Form LLL quarterly to CDOT to certify that you do not use federal funds to conduct any lobbying.] \_\_\_\_\_

## **C. Financial Management and Capacity**

1. Does your organization regularly have a financial audit conducted by an external group? If yes, has your **transportation program** had any findings in the most recent audit? If yes, please describe. [Organizations receiving over \$750,000 in any federal funding



must have an annual single audit.] [Having findings is not normally grounds for disqualification, depending on the severity.] \_\_\_\_\_

2. If awarded funding, your organization will be required to have written policies and procedures in place for managing your federal and/or state funds, establishing internal controls, ensuring timely distribution of funds, and determining allowability of costs. Does your organization have such policies and procedures in place now? If yes, please attach them. If not, is your organization willing and able to establish such? \_\_\_\_\_
3. Does your organization's structure clearly define, assign, and delegate appropriate authority for all financial duties? Generally, describe what you have in place. Attach any supporting documentation. [If awarded funds, your organization will be required to have such a structure in place.] \_\_\_\_\_
4. Does your organization have a financial management system in place to track multiple funding types, awards and project expenditures, and to prepare reports? If yes, please attach a report as an example. [If awarded funds, your organization will be required to have such a system in place.] \_\_\_\_\_
5. Has your agency received any federal or state grants in the past three years? If yes, please generally describe what type of grants you received and when. \_\_\_\_\_
6. Has your organization had to return any federal or state funds awarded in the past three years? If yes, please describe. \_\_\_\_\_

#### **D. Technical Capacity**

1. How many years of experience with federal or state grants does the staff that would be assigned to CDOT funding have? Briefly outline. \_\_\_\_\_
2. What types of technical training have your program's employees received in the past three years? In particular, do your drivers receive training in defensive driving and the handling of accessibility equipment and persons with disabilities? Please describe. \_\_\_\_\_
3. Has your program been involved in the development of the most recent Regional Transit Plan or Coordinated Human Service Plan in your area? If yes, briefly describe. [Involvement in these plans is not a prerequisite to receive funding, but it is encouraged, and any project funding requested must be generally consistent with an implementation strategy in those plans.] \_\_\_\_\_

#### **E. Continuing Control**

1. Does your program have a maintenance plan for its vehicles? Describe any preventative maintenance that is performed on your vehicles, including schedules. [Having a maintenance plan is not a prerequisite for funding, but could affect one's score in the evaluation process.]  
\_\_\_\_\_



2. Does your organization have a vehicle replacement plan or asset management plan that indicates how it will prioritize vehicles for vehicle replacements? If yes, please attach it. In general, how do you prioritize vehicles for replacement? [If awarded funding you will be required to have a maintenance plan, keep maintenance records that could be inspected by CDOT, and participate in an asset management plan.] \_\_\_\_\_
3. Do you have inventory control procedures in place (procedures to prevent loss, damage or theft of property)? If yes, please attach. [If awarded funding you will be required to have such procedures in place to protect any capital that is awarded.] \_\_\_\_\_

#### **F. Procurement**

1. Does your organization have written procurement policies? [If awarded funding, you will need to comply with specific requirements in your procurement in order to ensure that funds are being spent properly. In particular, there are specific documents that must be promptly completed when vehicles are purchased: smaller vehicles, i.e. minivans and minibuses, must normally be purchased from a CDOT price agreement negotiated with vendors; larger buses must be obtained through a well-defined competitive process; all federally funded vehicles must meet Buy America, bus testing, and other requirements; construction projects are subject to the Davis-Bacon Act and will be overseen by CDOT.] \_\_\_\_\_
2. If you are awarded funding to purchase a vehicle, you will be required to list the State as an “additional insured” in your insurance policy in order to protect the federal (or state) interest in the vehicle in the event of a claim. In addition, the State will become a lien holder for the federal (or state) 80% share interest in the vehicle; as a means of ensuring that no lien or other obligation is made upon that interest, CDOT requires that subrecipients give physical possession of the vehicle’s title to CDOT until the federal (or state) interest expires. Does your organization have any objections to these two items? \_\_\_\_\_

#### **G. Civil Rights**

1. All subrecipients of CDOT administered transit grants are required by the FTA to have submitted to CDOT various Civil Rights documents. In particular, if awarded funding, your organization must submit a Title VI Civil Rights Non-discrimination Plan that conforms to FTA requirements in Circular 4702.1B. Does your agency agree to submit a Title VI plan upon receiving assistance from CDOT within 30 days of acceptance of the Award Letter? \_\_\_\_\_
2. Subrecipients of CDOT administered transit grants are required to have an Equal Employment Opportunity (EEO) plan that conforms to FTA requirements in Circular 4704.1 if your organization employs 50 or more transit-related employees and requests/receives over \$1 million in operating/capital or over \$250,000 in planning funds in the previous federal fiscal year. If your agency is awarded funding and meets this criteria, do you agree to submit an EEO plan within 30 days of acceptance of the Award Letter? \_\_\_\_\_



3. For the project for which you intend to seek funding from CDOT, have you assessed the need and impact of that project? Does this assessment include the impact on low-income and minority populations? \_\_\_\_\_
4. Does your service area include neighborhoods where the predominant population consists of minority or low income persons? If so, please describe. How does your program serve those populations' needs? Describe your program's outreach to those populations? Please include data about the population served through your program (e.g., number of elderly, disabled, minority, and low income persons served). \_\_\_\_\_
5. Has your organization had any **transit service-related** discrimination complaints, investigations, or lawsuits in the last three years? If yes, please briefly describe them here, indicating current status and outcome. [Your organization must not discriminate against users or potential users of your service because of race, religion, color, sex, disability, national origin or ancestry, or age in the admission or access to, your programs or activities. Having a complaint would not normally disqualify an applicant. All subrecipients must track and report any future complaints.] \_\_\_\_\_
6. Your organization must not discriminate against its **employees** because of race, religion, color, sex, disability, national origin or ancestry, or age in the admission or access to, or treatment or employment in, its programs or activities. Has your program had any discrimination complaints based on these EEO requirements within the last year? If yes, please describe any active lawsuit or complaints alleging EEO discrimination, as well as the status or outcome of the lawsuits or complaints. [Having a complaint does not disqualify an applicant. All those awarded funding must track and report any future complaints.] \_\_\_\_\_
7. Do you make information about your program available in various formats--e.g., in various languages or in Braille? [Doing so is not a prerequisite to funding but receipt of FTA funding will require such if there are populations in need of such.] \_\_\_\_\_
8. Does your agency track all of its contracting activity, tracking amount of contract, contractor, time period, etc.? \_\_\_\_\_

