

# FY2021 CDLPI - Notice of Funding Opportunity (NOFO) Funding Conference

February 18, 2021



U.S. Department of Transportation  
Federal Motor Carrier Safety Administration



# Agenda

---

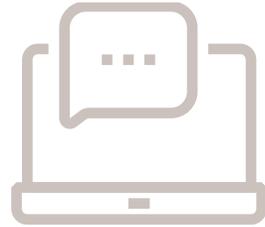
- Commercial Driver's License Program Implementation (CDLPI) Grant Program Overview
- Title VI Compliance Program Information
- Important Information in the FY 2021 NOFO
- CDLPI Performance Based Application Structure
- Resources and Contacts
- Q&A

# CDLPI Grant Program Overview

---



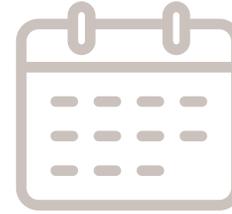
Provide **financial assistance** to States and other eligible entities to aid participation in the National CDL program



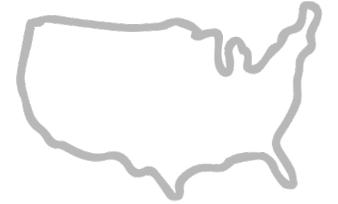
Ensure that only **qualified drivers** are eligible and receive and Retain a CDL



Focus on concept that each driver has **only one driving record and only one licensing document**



States to achieve compliance with **FMCSA regulations** concerning Driver's Licensing standards and programs



Other Entities capable of executing **National projects** that aid States in their compliance efforts and that will improve the success and consistency of the National CDL Program

# Title VI Program Compliance Plan Award Requirement

---

- FY2021 Title VI Program Assurance and Compliance Plan Requirements
  - The FMCSA Title VI Program Federal financial assistance award requirements consist of an annually updated **Title VI Program Compliance Plan** (Plan)
  - Instruction document included in the application package on Grants.gov
  - The Plan must be submitted prior to the Federal financial assistance application submission deadline (5 PM EST March 15, 2021)
  - **To begin this coordination**, please contact Mr. Lester Finkle, FMCSA National Title VI Program Manager, at [lester.finkle@dot.gov](mailto:lester.finkle@dot.gov)



*Please do not include the Title VI Program Compliance Plan when submitting the application.*

# Important Information in the FY 2021 NOFO



# NOFO Section B – Federal Award Information

---

- **Funding**

- The FMCSA anticipates making awards totaling:
  - \$32,702,000

- **Period of Performance (POP)**

- Year of award, plus four fiscal years
  - 9/30/2025

- **The Federal Fiscal Year = October 1 thru September 30**



*Due Date: Monday, March 15, 2021 by 5:00 PM Eastern*

# CDL Program Self-Assessment

- SDLAs required to have a CDL program assessment
- Include components outlined in the NOFO

## ii. Brief Introduction – 5-page maximum

Include a description of the goal(s) of the application and the applicable program priority(s) met by the application's projects. Include in this introduction specific information about the outputs the application proposes to achieve. For each goal identified, the applicant must provide a problem statement, performance objective, program activity plan, and performance measurement plan.

## iii. For SDLA Applicants Only: CDL Program Self-Assessment (Program Overview) – 5-page maximum

Applications from SDLAs must include a CDL program self-assessment, which may be included as part of the project's program overview or project plan; a separate, stand-alone document is not required. This requirement applies to SDLAs only. Applications that fail to include the required information will be considered incomplete and risk disqualification.

The Program Overview is a summary of key elements of the applicant's program and must include the following three components:

- a. A list of all open findings in the State Compliance Records Enterprise (SCORE) System, including the finding's citation and a brief description; the reason for the finding; the proposed resolution; and the expected date by which the finding will be closed.
- b. A list of all open CDLPI grant awards, including the award number, award amount, and purpose; progress made to date in achieving the award's objectives; remaining unexpended funding; the expected date of completion; and how the applicant's

# CDLPI Award Performance Goals (Section A-3)

---



- **Baseline Data**

- FMCSA will measure the success of the applications performance goals by examining:
  - State Compliance Records Enterprise System (SCORE)
  - Commercial Driver's Licensing Information System (CDLIS) reports, Driver History Reports
  - Other data sources/reporting that the applicant provides as their source data baseline

# CDLPI Award Performance Goals (Section A-3)

---

NEW!

- **Performance Indicators**

- FMCSA will assess the success of the goals being met by the indicators included in the project application, such as:



Master Compliance



Timeliness



Innovative Approach



Data Quality

# FY 2021 National Priorities (Section A-4)

---



- **CDLPI Basic Grants**
  - 100% vs 85% Federal funding
    - Review ALL Priorities to determine proper funding request
- **High Priority/Emerging Issues**
  - 100% vs 85% Federal funding
    - Review ALL Priorities to determine proper funding request

# Funding Restrictions (Section D-6)

---



- **Indirect Cost Agreement Requirement**
  - 2 CFR § 200.414(c)
  - Current period IDC agreements must be submitted within 90 days of acceptance of the award. If not, IDC will not be reimbursed that fiscal year. It will be allowed the following fiscal year with a current period IDC agreement.
- **De minimis rate of 10% option**
  - 2 CFR § 200.414(f)
  - Available to any non-federal entity that does not have a current negotiated (including provisional) rate, except those described in appendix VI of 2 CFR 200. They may elect to charge a de minimis rate of 10% of modified total direct costs, which may be used indefinitely.
- **Bonus costs are not an allowable expense under FMCSA awards**
  - 2 CFR part 200, Subpart E; 2 CFR §§ 200.403 – 200.405

# Application Review Information (Section E)

---



## Merit Evaluation Criteria

- FMCSA subject matter experts will review all eligible applications using the following Merit Evaluation Criteria:
  - Technical Merit Criteria;
  - Budget Cost Analysis Criteria;
  - Program-Specific Criteria;
  - Past Performance Criteria; and
  - Other Review Information.

# PPR & FFR Reporting (Section F-3)

---



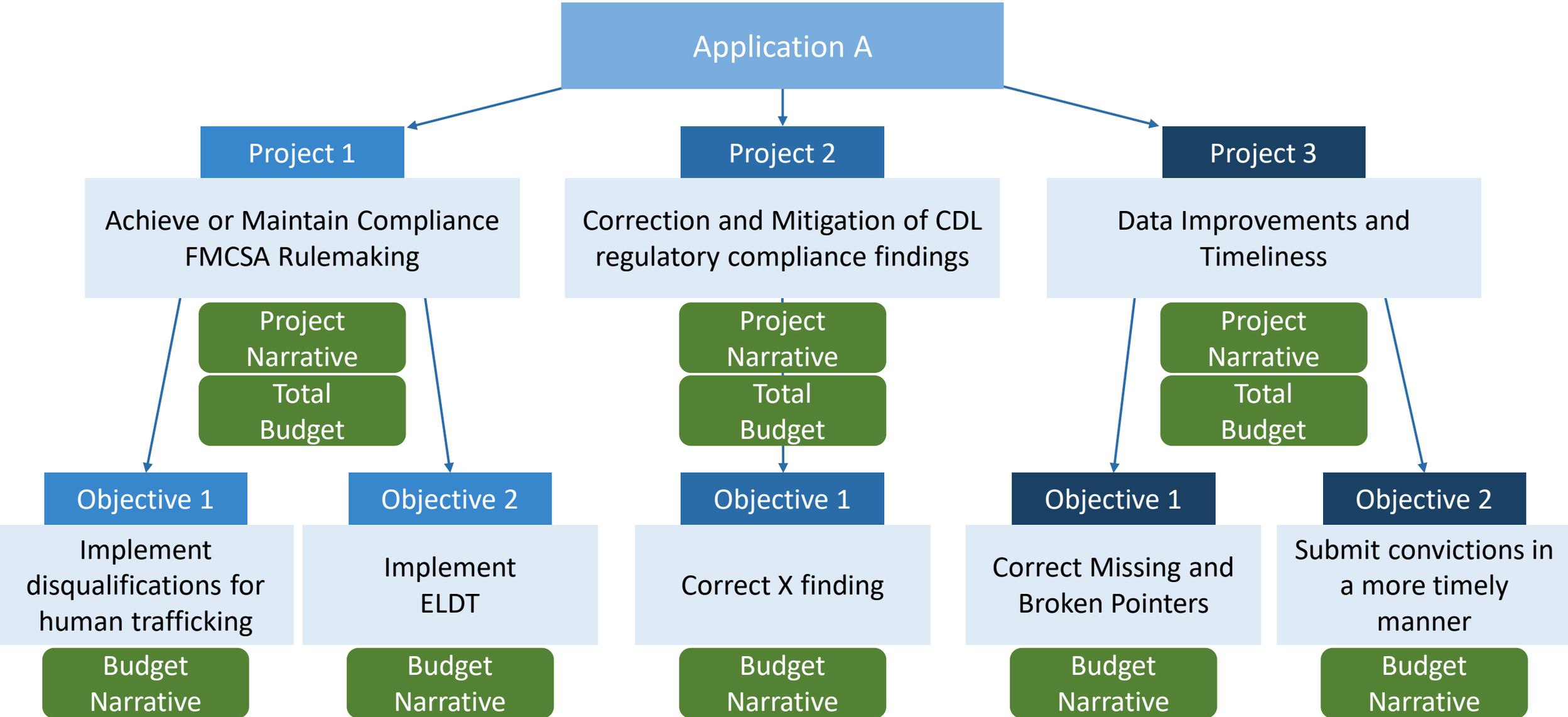
- Recipients will submit both:
  - Federal Financial Progress (SF-425) and
  - Performance Progress Reports (SF-PPR)
- Submit electronically through GrantSolutions

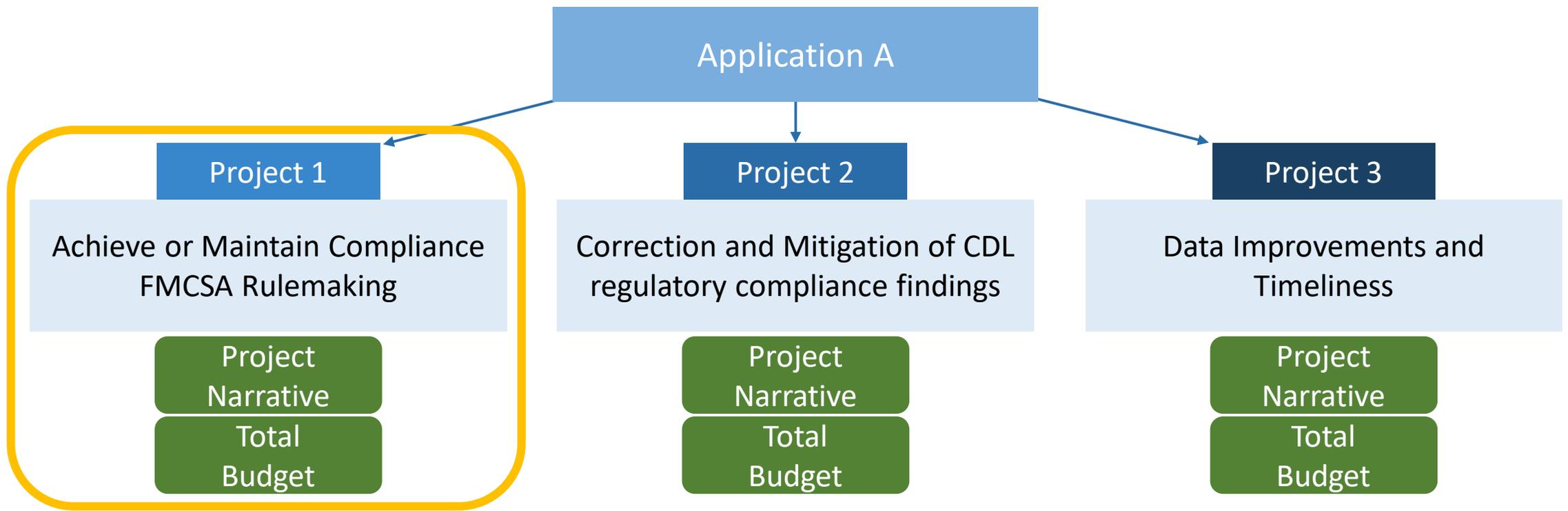


*More details to follow.*

# Performance Based Project Planning

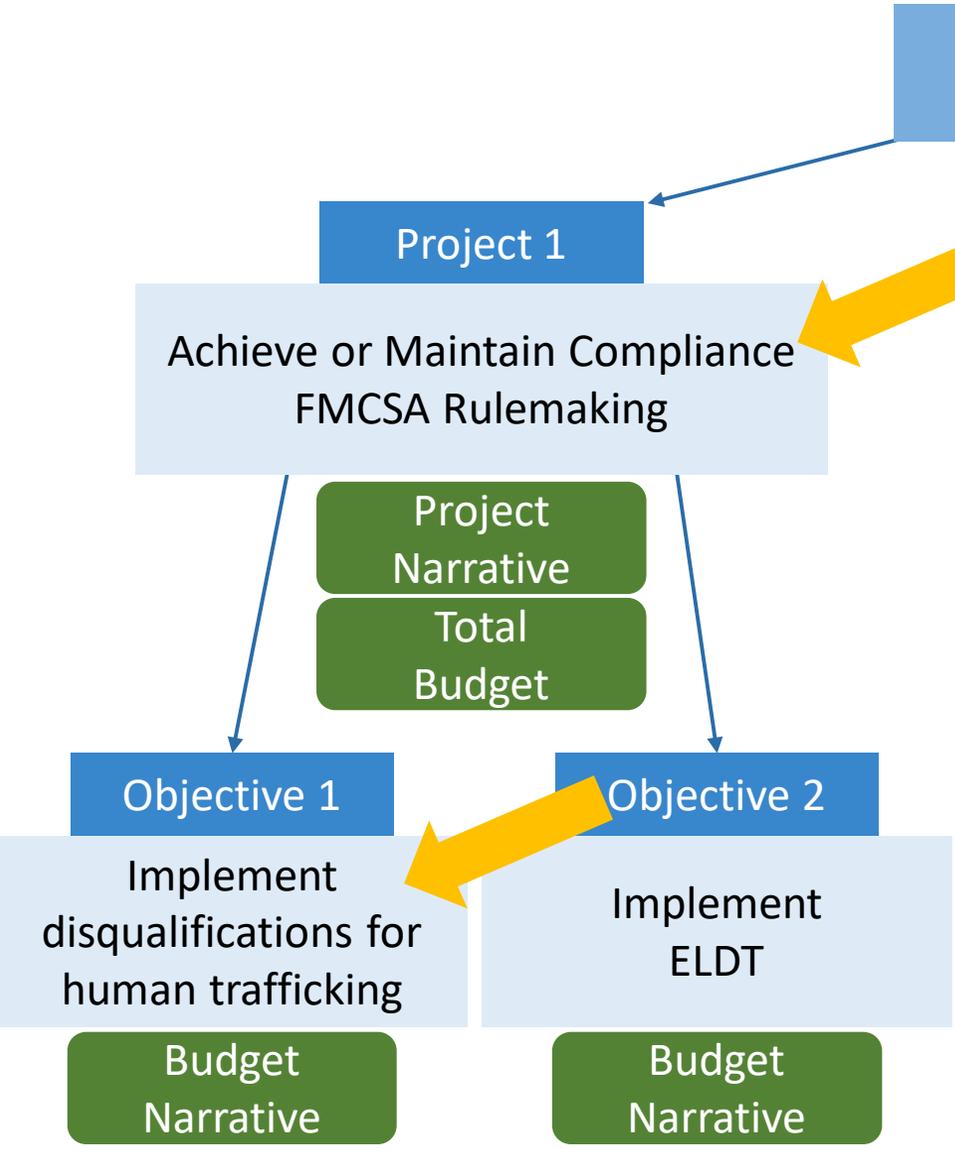






## What is a Project?

- A project **may consist of one or more priorities** that work toward achieving a defined goal. If an applicant chooses to propose multiple projects within a single application, each project must contain:
  - A distinct title
  - A separate and distinct project narrative
  - A comprehensive budget, which reflects total of multiple budget narratives, if applicable



- Project(s) and objective(s) should reflect priorities as outlined in the NOFO
- For example:

**b. CDLPI Basic Grants eligible for 100 Percent Federal Funding**

FMCSA will reimburse 100 percent of total project costs supporting the implementation of rulemakings and/or activities that directly impact a State's compliance with the CDL program. Applicants must provide in each project the 49 CFR part citation that supports the project's compliance initiatives:

- 1) Applications for projects to achieve or maintain compliance with FMCSA rulemakings. Projects include: implementation of the Entry-Level Driver Training (ELDT) requirements; and implementation of the disqualifications associated with human trafficking felony convictions.

Application A

Project 1

Achieve or Maintain Compliance  
FMCSA Rulemaking

Project  
Narrative

Objective 1

Implement  
disqualifications for  
human trafficking

Objective 2

Implement  
ELDT

## What should the **Project Narrative** include? (NOFO Section D-2)

1. Introduction
2. Problem Statement
3. Performance Objective
4. Program Activity Plan
5. Performance Measurement Plan
6. Monitoring Plan



*Page limit for total application  
narrative is 35 pages.*

Application A

Project 1

Achieve or Maintain Compliance  
FMCSA Rulemaking

Objective 1

Implement  
disqualifications for  
human trafficking

Objective 2

Implement  
ELDT

## What should the Project Narrative include?

### 1. Introduction

- Explain the project purpose
- Include what specific NOFO priorities the project will address
- **Note:** SDLAs required to have a CDL program assessment

### EXAMPLE

*“The SDLA’s project purpose is to implement two FMCSA rulemakings with a 100% Federal funds as they fall under CDLPI priority 1 to achieve compliance with FMCSA rulemakings. The two rulemakings are: 1) adding the felony human trafficking lifetime disqualification by September 23, 2022 and 2) implementing the ELDT program requirements by February 7, 2022. If the State does not complete all related activities by the rulemaking’s compliance dates, a finding will be generated in SCORE and the State will not be able to act upon the data that is required to sent or received from other jurisdictions and applied to Driver History Records.”*

Application A

Project 1

Achieve or Maintain Compliance  
FMCSA Rulemaking

Objective 1

Implement  
disqualifications for  
human trafficking

Objective 2

Implement  
ELDT

**What should the Project Narrative include?**

## 2. Problem Statement

- Quantitative description of the issue the project will address
- Include baseline data and targeted outcome
- Include 49 CFR regulatory citation

### EXAMPLE

*“Our state driving licensing IT systems have not been updated to comply with FMCSA CDL rulemakings that will affect the State’s compliance with 49 CFR. Specifically, implementation of the ELDT rulemaking and lifetime disqualification for human trafficking felony convictions and withdrawals. The programming requirements for ELDT are required to be completed and implemented by February 7, 2022 per 49 CFR Part 383.73. While the lifetime disqualification for a human trafficking felony is required to be completed by September 23, 2022, reference 49 CFR 383.51 table 1.”*

Application A

Project 1

Achieve or Maintain Compliance  
FMCSA Rulemaking

Objective 1

Implement  
disqualifications for  
human trafficking

Objective 2

Implement  
ELDT

**What should the Project Narrative include?**

## 2. Problem Statement

- Quantitative description of the issue the project will address
- Include baseline data and targeted outcome
- Include 49 CFR regulatory citation

***Consider the following data sources:***

- State Compliance Records Enterprise (SCORE) System
- CDLIS Reports
- Regulatory citation
- Enforcement and Crash Statistics data in A&I Online
- Internal reports from your State or organization (including judiciary reports)
- Other data sources to be determined by each entity

Application A

Project 1

Achieve or Maintain Compliance  
FMCSA Rulemaking

Objective 1

Implement  
disqualifications for  
human trafficking

Objective 2

Implement  
ELDT

**What should the Project Narrative include?**

**3. Performance Objective(s)**

- Describe the anticipated project outcome, with quantitative data, as appropriate
- **SMART:** Specific, Measureable, Achievable, Realistic, and Time bound

**EXAMPLE**

*“The State must complete all statutory and regulatory requirements to implement the lifetime disqualification for a felony involving human trafficking, as defined by paragraph 8 of section 103 of the Trafficking Victims Protection Act of 2000. The programming in order to implement the rulemaking involves not only the regulatory requirements in state rules and regulations, but also the updating of the IT system to be able to receive, send and post the new ACD code U11 to a driver history record correctly and take the lifetime disqualification actions as required.”*

Application A

Project 1

Achieve or Maintain Compliance  
FMCSA Rulemaking

Objective 1

Implement  
disqualifications for  
human trafficking

Activity  
1

Hire 2 programmers to update  
disqualification tables to  
include U11

Activity  
2

Conduct scenarios in test  
environment before going live  
with the U11

Activity  
3

Update automated  
disqualification letters to be  
send to disqualified drivers

**What should the Project Narrative include?**

#### 4. Program Activity Plan

- May have multiple activities required to achieve the performance objective
- Each activity must have a quantifiable output to measure and report movement against the baseline established

#### EXAMPLE

*“The State must hire additional personnel to complete the required programming, which is estimated to take 700 programming hours, in order to update the disqualification table established by adding the U11 ACD code into at least two existing equivalency tables to accept the conviction from the courts, translate those convictions to the ACD code in order to send to SOR’s or post to DHR.”*

Application A

Project 1

Achieve or Maintain Compliance  
FMCSA Rulemaking

Objective 1

Implement  
disqualifications for  
human trafficking

Activity  
1

Hire 2 programmers to update  
disqualification tables to  
include U11

Activity  
2

Conduct scenarios in test  
environment before going live  
with the U11

Activity  
3

Update automated  
disqualification letters to be  
send to disqualified drivers

**What should the Project Narrative include?**

**5. Performance Measurement Plan**

- Explain how progress toward the performance objective will be measured (hours, number of drivers tested, conviction posting timeliness, etc.)
- Include key milestones and timelines

# Application A

## Project 1

Achieve or Maintain Compliance  
FMCSA Rulemaking

### Objective 1

Implement  
disqualifications for  
human trafficking

Activity  
1

Hire 2 programmers to update  
disqualification tables to  
include U11

Activity  
2

Conduct scenarios in test  
environment before going live  
with the U11

Activity  
3

Update automated  
disqualification letters to be  
send to disqualified drivers

## What should the Project Narrative include? 5. Performance Measurement Plan

### EXAMPLE

*“The SDLA will monitor all activities and outcomes in relation to the original baselines and timelines established in the project plan and report at least quarterly. The Project Manager will accumulate bi-weekly at a minimum: 1) the number of hours the programmers have dedicated to a) updating the required code for the disqualification tables, b) the automating of the disqualification letters, and c) any additional programming hours resulting from the staff test case results; 2) the hours the Disqualification Supervisor and helpdesk staff have dedicated to a) testing the U11 scenarios and b) reviewing the automated disqualification letters generated; and 3) the number of scenarios tested and the results of each test, i.e. successful vs not successful, including the disqualification letter being accurate.”*

# Application A

## Project 1

Achieve or Maintain Compliance  
FMCSA Rulemaking

### Objective 1

Implement  
disqualifications for  
human trafficking

#### Activity 1

Hire 2 programmers to update  
disqualification tables to  
include U11

#### Activity 2

Conduct scenarios in test  
environment before going live  
with the U11

#### Activity 3

Update automated  
disqualification letters to be  
send to disqualified drivers

## What should the Project Narrative include?

### 6. Monitoring Plan

- Explain the method that will be used to monitor the project's progress

#### EXAMPLE

*"The CDL Coordinator will be assigned as the **project manager (PM)** to ensure that the projects are completed by the compliance dates. The project timeline and milestones will be monitored by holding at least monthly meetings with the project staff. **PM will update timeline and milestones** as the project progresses and provide to the FMCSA Division office. The **project manager will be responsible for completing all quarterly reports** timely and submitting to FMCSA."*

# Application A

## Project 1

Achieve or Maintain Compliance  
FMCSA Rulemaking

Total Budget

- b. **SF-424A - Section A – Budget Summary** shows the 85 percent Federal share, 15 percent non-Federal share, or the 100 percent Federal share, and the total cost per project. Section A must be completed.
- c. **Section B – Budget Categories** captures total amount per object class categories, both federally funded and matching share, as applicable. In the column headings (1) through (4), enter the titles, that match narrative title, for each of the proposed projects. **If five or more projects are proposed, download an additional SF-424A from Grants.gov.** Please note, the SF-424A covers the life of the project costs, and not just the first year (as stipulated in the SF-424A instructions). Section B must be completed.

## Objective 1

Implement  
disqualifications for  
human trafficking

Budget Narrative

Activity 1	Hire 2 programmers to update disqualification tables to include U11
Activity 2	Conduct scenarios in test environment before going live with the U11
Activity 3	Update automated disqualification letters to be send to disqualified drivers

Object Class Category 1	Personnel
Object Class Category 2	Fringe
Object Class Category 3	Contractual

# Application A

## Project 1

Achieve or Maintain Compliance  
FMCSA Rulemaking

### Objective 1

Implement  
disqualifications for  
human trafficking

- Activity 1: Hire 2 programmers to update disqualification tables to include U11
- Activity 2: Conduct scenarios in test environment before going live with the U11
- Activity 3: Update automated disqualification letters to be send to disqualified drivers

Personnel Budget Narrative							
Position(s)	# of Staff	% of Time	Work Year Hours	Hourly Rate	Total Cost	Federal	Match
ITS 4	2	50%	2080	\$50.00	\$35,000	\$35,000	0.00
Supervisor, Disqual Section	1	10%	2080	\$40.00	\$4,800	\$4,800	0.00
CDL Helpdesk DL specialist	1	100%	2080	\$30.00	\$3,000	\$3,000	0.00
<b>Sub-Total Personnel</b>							
<p>Two ITS 4 programmers will dedicate approximately 300 hrs each on the programming to update the disqualification tables to add the U11 ACD code, they are paid hrly rate of \$50.00. An additional 50 hrs to make edits as may be deemed necessary after implementation. Total hrs 350 hrs x \$50= \$17,500 x 2=\$ 35,000</p> <p>The supervisor, disqualification section, for the disqualification section will test the programming coding to ensure the intended results are occurring, it's estimated it will take 80 hrs to test the U11 coding requirement scenario's and additional 40 hrs the 1st six months of implementation. 120hrs x45= \$4800</p> <p>CDLHELP DESK DL Specialist will be monitoring the U11 error reports upon implementation which is estimated to take an additional 100 hrs the 1st 6 months following implementation of the programming. 100hr x 30.00=\$3000.</p>							

Budget Narrative	Object Class Category 1	Personnel
	Object Class Category 2	Fringe
	Object Class Category 3	Contractual

Remember, no cents!  
Round to the nearest dollar.

# Application A

Project 1

Achieve or Maintain Compliance  
FMCSA Rulemaking

Total Budget



## BUDGET INFORMATION - Non-Construction Programs

OMB Approval No. 0348-0046

### SECTION A - BUDGET SUMMARY

Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1.Project 1		\$	\$	\$ 824,617.30	\$ 145,520.70	\$ 970,138.02
2.Project 2				317,126.50	55,963.50	373,090.00

### SECTION A - BUDGET SUMMARY

Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1.Project 1		\$	\$	\$ 824,617.30	\$ 145,520.70	\$ 970,138.02
2.Project 2				317,126.50	55,963.50	373,090.00
3.Project 3				212,449.00	37,492.00	249,941.00
4.Project 4				286,716.90	50,599.10	337,316.01
5. Totals		\$ 0.00	\$ 0.00	\$ 1,640,909.72	\$ 289,575.30	\$ 1,930,485.00

### SECTION B - BUDGET CATEGORIES

6. Object Class Categories	GRANT PROGRAM, FUNCTION OR ACTIVITY				Total (5)
	(1) Project 1	(2) Project 2	(3) Project 4	Project 4	
a. Personnel	\$ 64,323.00	\$ 89,807.00	\$ 85,634.00	\$ 93,476.00	\$ 333,240.00
b. Fringe Benefits	12,398.00	8,974.00	5,793.00	6,789.00	33,954.00

# Application A

Project 1

Achieve or Maintain Compliance  
FMCSA Rulemaking

Total Budget



## BUDGET INFORMATION - Non-Construction Programs SECTION A - BUDGET SUMMARY

OMB Approval No. 4040-0006  
Expiration Date: 02/28/2022

Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1. 2021 CDLPI-Basic	20.232			\$1,600,938.70		\$1,600,938.70

## BUDGET INFORMATION - Non-Construction Programs SECTION A - BUDGET SUMMARY

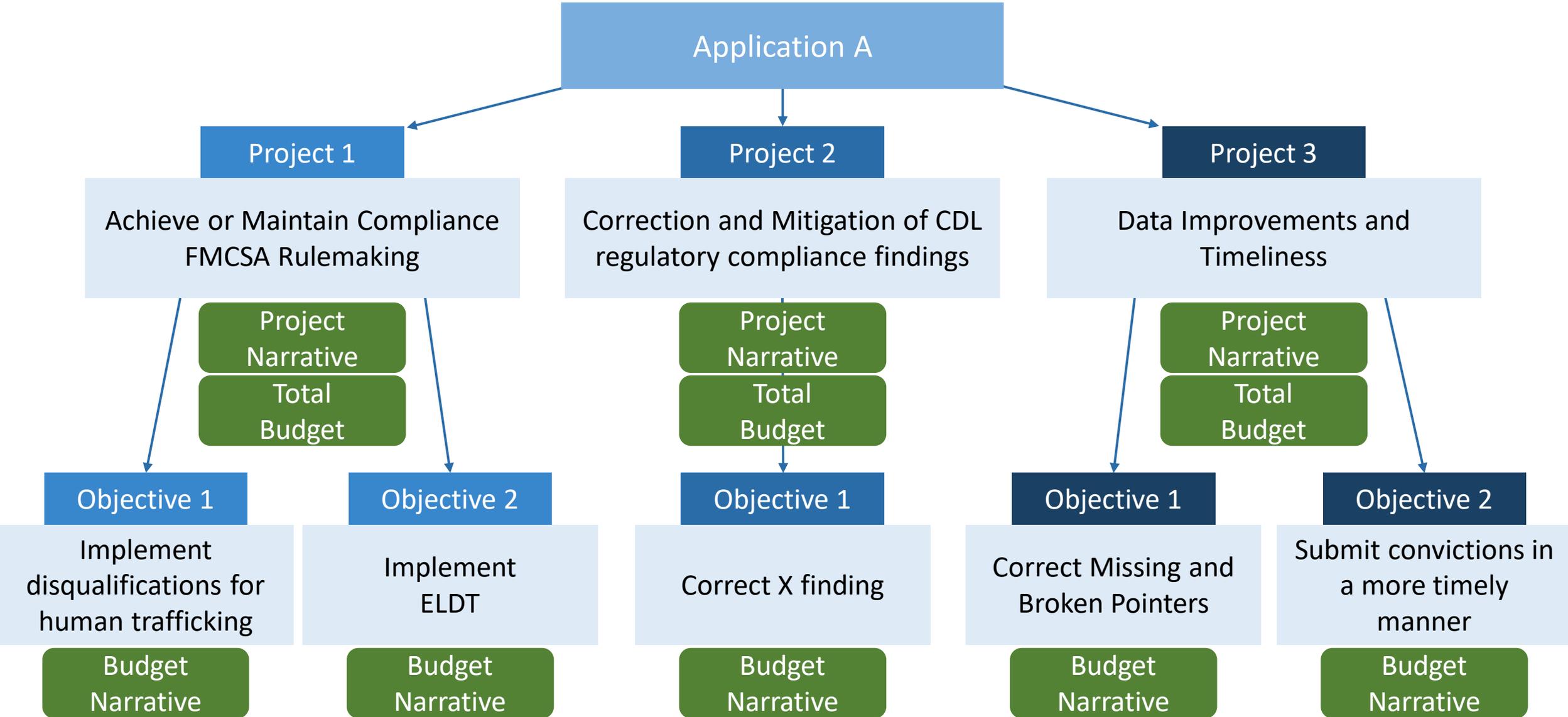
OMB Approval No. 4040-0006  
Expiration Date: 02/28/2022

Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1. 2021 CDLPI-Basic	20.232			\$1,600,938.70		\$1,600,938.70
2.						
3.						
4.						
5. Totals				\$1,650,938.70		\$1,650,938.70

## SECTION B - BUDGET CATEGORIES

6. Object Class Categories	GRANT PROGRAM, FUNCTION OR ACTIVITY				Total
	(1) 2021 CDLPI-Basic	(2)	(3)	(4)	
a. Personnel	\$541,279.70				\$541,279.70
b. Fringe Benefits	\$292,619.00				\$292,619.00

Don't forget to round to full dollar amount!



*Good performance-based plans allow you to measure progress and demonstrate successful outcomes.*

# Resources

---

- NOFO
  - Appendix A: Application Package Requirements Checklist
  - Appendix B: Budget Narrative
- Funding Conference Webinar Slides
- Tips for Completing Your CDLPI Grant Application
- CDLPI Best Practices (on A&I)
- Grants Training (on A&I)



# Q&A



# FY 2021 NOFO Contacts

---

- Financial/Application Concerns
  - Montika Brooks  
[Montika.Brooks@dot.gov](mailto:Montika.Brooks@dot.gov)
- Programmatic Concerns
  - Wendy Cunningham  
[Wendy.Cunningham@dot.gov](mailto:Wendy.Cunningham@dot.gov)
- General Information: FMCSA Grants Management Office
  - [FMCSA\\_GrantMgmtHelpdesk@dot.gov](mailto:FMCSA_GrantMgmtHelpdesk@dot.gov)



**THANK YOU**

