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May 1, 2017

Potential Section 5311 Applicants
San Francisco Bay Area

RE: FY2018 Section 5311 Rural Area Call for Projects

Dear Prospective Applicant:

MTC is currently soliciting projects for FY2018 for the Federal Transit Administration (FTA) Rural Area Formula (Section 5311) program for the San Francisco Bay Area region. These funds are available for capital and operating expenses for general public transportation services in rural areas, that is, any area outside designated urbanized areas. A map of the Bay Area's designated urbanized areas is enclosed as Attachment D. **All project justification sheets must be submitted no later than May 17, 2017 to Rob Jaques at rjaques@mtc.ca.gov.**

MTC develops a regional Program of Projects (POP) for submittal to Caltrans. Caltrans then submits a statewide POP to FTA for approval. As stated in MTC's 5311 Objectives and Criteria, MTC will issue a Call for Projects every two years, and will adopt a two-year program. However, in this current solicitation, MTC is seeking to program the FY2018 funds only, and will resume two-year programming in FY2019, to align with Caltrans' two-year programming cycle.

Caltrans recently released the FY2017 and FY2018 Call for Projects and has provided MTC with estimated apportionments for both years. Staff will develop revisions to the existing FY2017 program (MTC Resolution No. 4216) to reconcile to the revised FY2017 apportionments and will adopt a preliminary FY2018 program using these estimates. The estimated amount of Rural Area funds available for the MTC region is approximately \$1.53 million in FY2017 and \$1.57 million in FY2018.

The actual FY2018 apportionments have not yet been released by FTA, and only partial-year apportionments are available for FY2017. Should the actual regional apportionments be lower or higher than the amount estimated to be available, project sponsors will be notified and adjustments may be made in order to financially constrain the program.

Consistent with the revised Section 5311 Objectives and Criteria that were adopted by the Commission on October 23, 2013 (see Attachment B), funds will be distributed to transit operators according to each operator's rural area population and rural area route miles. Table 1 shows each operator's estimated FY2017 (revised) and FY2018 amounts, and Attachment E contains the detailed formula calculations.

Table 1. Estimated FY2017 (revised) and FY2018 Section 5311 Amounts by Operator

Transit Operator	Estimated FY17 5311 Amounts	Revised Estimated FY17 5311 Amounts	Estimated FY18 5311 Amounts
AC Transit	\$45,814	\$43,918	\$44,921
CCCTA	\$45,284	\$43,410	\$44,401
LAVTA	\$38,951	\$37,338	\$38,191
Marin Transit ¹	\$196,798	\$188,652	\$192,961
NCTPA	\$192,395	\$184,432	\$188,644
SamTrans	\$141,368	\$135,517	\$138,612
Santa Clara VTA Authority ²	\$74,240	\$71,167	\$72,792
Sonoma County Transit	\$361,021	\$346,078	\$353,982
TriDelta Transit	\$439,388	\$421,200	\$430,820
Regional Total	\$62,447	\$59,862	\$61,229
	\$1,597,707	\$1,531,573	\$1,566,554

¹ The Marin Transit amount is the sum of the Marin Transit (Local Service) and West Marin Stagecoach amounts. Marin Transit will determine which service will use the 5311 funds.

² The Solano Transportation Authority (STA) amount is the sum of the Dixon, Fairfield and Suisun Transit, Rio Vista Delta Breeze, SolTrans, and Vacaville amounts. STA will work with these operators to determine individual shares.

MTC will program FY2018 funds only to those operators who submit Section 5311 project justification sheets during this Call for Projects. Applicants should base their requests on the amounts in Table 1. One set of project justification sheets should be completed for each project. The project justification sheets are enclosed as Attachment A, and can also be downloaded from MTC's website: <http://www.mtc.ca.gov/funding/FTA/>.

MTC staff will review all project justification sheets to confirm that proposed projects meet program standards, based on the screening criteria in the Funding Objectives and Criteria (see Attachment B).

MTC staff will then develop a preliminary program of projects. If there are remaining Section 5311 funds (i.e., if some eligible operators did not submit Project Justification Sheets), MTC will use the funding formula to distribute the remaining balance to the operators that proposed projects. MTC will confer with applicants to finalize the program of projects. Operators who are eligible to apply for 5311 funds but who do not intend to do so should let Rob Jaques know so that this can be anticipated and accounted for when developing the program.

Additionally, MTC staff will work with the operators to develop revisions to the FY2016-17 preliminary 5311 program based on the revised estimates as shown above.

MTC will transmit the revised FY2017 program and the draft FY2018 program to applicants for review by May 22, 2017. The revised FY2016-17 program and preliminary FY2018 program will be reviewed by the TFWG and presented to the Programming and Allocations Committee

and Commission for approval in June, and will be amended into the Transportation Improvement Program (TIP) following the Commission action. A detailed timeline is enclosed as Attachment C.

Agencies will be responsible for submitting the FY2018 Project Applications to Caltrans by the appropriate deadline. Please note that the information in the Caltrans application forms (5311 amount, local match amount, project description, etc.) must match the MTC POP exactly. **The deadline for the FY2017 and FY2018 Project Application submission to Caltrans is May 24, 2017.**

Because applications are due to Caltrans before MTC will be adopting the FY2018 program of projects, Caltrans has authorized MTC to submit a letter of intent to adopt and approve the FY2018 program. This letter will indicate MTC's plan and intent to approve the FY2018 program in June, and will be attached to the MPO Certification as an addendum.

Application forms and more information, including Caltrans' Call for Projects can be found on the BlackCat Electronic Grants Management Website here:
<https://secure.blackcatgrants.com/Default.aspx?site=cadot>

The Caltrans District 4 contact person for Section 5311 funds is Catharine Crayne, who can be reached at (510) 286-6973, or via email: Catharine.Crayne@dot.ca.gov.

If you have any questions or comments regarding the FTA Section 5311 Rural Area Formula Program or the funding objectives and criteria, please contact Rob Jaques at (415) 778-5378 or rjaques@mtc.ca.gov.

Sincerely,



Anne Richman
Director, Programming and Allocations

AR: rj

/Volumes/J_Drive/PROJECT/Funding/FTA/Section 5311/2018/02. FY18 Call for Projects/5311_FY18_Call_for_Projects.docx

- Attachment A – Project Justification Sheets
- Attachment B – Section 5311 Funding Objectives and Criteria
- Attachment C – Timeline
- Attachment D – Map of Urbanized Areas
- Attachment E – FY2017 and FY2018 Section 5311 Formula Calculations

**FTA Section 5311 FY2018 Project Justification Sheets
Project Summary Page**

Project Information

Project Title:	<input style="width: 95%;" type="text"/>
Brief Description:	<p>Insert brief project description, including the following:</p> <p>All projects: Indicate whether it is a replacement, expansion or operating project, and briefly describe project benefits and need for project.</p> <p>Vehicle replacement and vehicle expansion projects: Provide a description of vehicles to be purchased including the number of vehicles, type, length, passenger capacity, service life, and fuel type.</p> <p>Vehicle replacement projects: Provide vehicle disposition information including the type, passenger capacity, fuel type, length, VIN #, in service date, current/end mileage, and disposition date.</p> <p>Operations projects: Explain why the funds are not needed to maintain or replace capital equipment. Furthermore, if requesting funds for operations expansions, explain why the funds are not needed to maintain existing transit operations.</p>
Sponsoring Agency:	<input style="width: 95%;" type="text"/>
Partnering Agency (if any):	<input style="width: 95%;" type="text"/>
County:	<input style="width: 95%;" type="text" value="Select from pull-down menu"/>
Project Type:	<input style="width: 95%;" type="text" value="Select from pull-down menu"/>

Contact Information

<input style="width: 95%;" type="text"/>	<input style="width: 95%;" type="text"/>
First name	Last name
<input style="width: 25%;" type="text"/>	<input style="width: 25%;" type="text"/>
Phone	Fax
<input style="width: 95%;" type="text"/>	<input style="width: 95%;" type="text"/>
Address 1	<input style="width: 95%;" type="text"/>
Address 2	<input style="width: 95%;" type="text"/>
<input style="width: 45%;" type="text"/>	<input style="width: 10%;" type="text"/>
City	State
<input style="width: 30%;" type="text"/>	<input style="width: 30%;" type="text"/>
	Zip

**FTA Section 5311 FY2018 Project Justification Sheets
Financial Information**

Project Funding Request

A. Section 5311 Federal Funds

	FY18 5311 Amount	Total
Section 5311 Amount	\$ -	\$ -

B. Local Match

Local Match Source	FY18 Match Amount	Total
STA	\$ -	\$ -
TDA	\$ -	\$ -
Sales Tax	\$ -	\$ -
Other (Specify)	\$ -	\$ -
Other (Specify)	\$ -	\$ -
Other (Specify)	\$ -	\$ -
Total Local Match	\$ -	\$ -

C. TOTAL PROJECT AMOUNT (Auto-calculated from A and B above)

	FY18	Total
Section 5311 Amount	\$ -	\$ -
Local Match Amount	\$ -	\$ -
Total Project Cost	\$ -	\$ -

Local Match Percent (minimum match is 44.67% for operating assistance, 11.47% for capital)	#DIV/0!	#DIV/0!
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**FTA Section 5311 FY2018 Project Justification Sheets
Screening Criteria**

Screening Criteria - All Projects

Check all screening criteria that apply:

- Project is consistent with appropriate regional and local plans and programs (e.g., most recently adopted Short Range Transit Plan or other Capital Improvement Plan, and the Region's long-range plan, Plan Bay Area).

SRTP Reference: FY SRTP Page:

Other Capital Improvement Plan (CIP) Reference: FY Other CIP Page: CIP Name:

RTP Reference: FY RTP Page: RTP Number:

- If applicable, project has received or is expected to receive all necessary environmental clearances:

	NEPA	CEQA
Document Type Required:	<input type="text"/>	<input type="text"/>
Statute/Code Reference:	<input type="text"/>	<input type="text"/>
Status*:	<input type="text"/>	<input type="text"/>

* R - Received by MTC; NR - Not Received by MTC; P - In Preparation (include document completion date).

- Sponsor has coordinated with other transportation providers and users in the region, including social service agencies capable of purchasing services. Describe coordination efforts:

Describe coordination efforts here.

**FTA Section 5311 Nonurbanized Area Formula Program
Funding Objectives and Criteria
for the San Francisco Bay Area
Metropolitan Transportation Commission**

I. Funding Principles for the Section 5311 Program

The funding principles are intended to guide our funding decisions and establish the basis for developing the programming process. The funding principles for the Section 5311 program are as follows:

1. *Maintain existing needed transit services:* MTC dedicates capital and operating funds for essential projects and programs in an effort to maintain needed existing transit services.
2. *Provide a reliable, equitable and flexible program:* MTC will use a formula distribution system in an effort to provide a reliable and equitable level of funding to transit operators each year. Policy guidelines will accompany the formula in order to give operators flexibility in selecting projects that are consistent with regional priorities.
3. *Fund basic capital requirements:* MTC will require recipients to prioritize the replacement of capital equipment. If recipients request funds for operations, they will be required to submit documentation explaining why the funds are not needed for basic capital.
4. *Maintain a multi-year program of projects:* In order to foster planning it is important that MTC continue to program projects on a multi-year basis, within the constraints of available federal funding programs and subject to changes within those programs. Whenever possible, MTC will adopt a two-year program, with annual adjustments to constrain the program to the available revenues. Each year's program will only be added to the TIP when actual revenues are apportioned by Caltrans.
5. *Maintain Timely Use of Funds Policy:* The Caltrans policy requires that all FTA Section 5311 funds be obligated within two years of programming or the funds will be lost to the region. In order to avoid lost funds to the region, MTC reserves the right to only program funds to those agencies that have submitted their prior year's 5311 application and quarterly reports to Caltrans satisfactorily and in a timely manner.

II. Funding Formula, Policy Guidelines and Screening Criteria

A. Funding Formula

Funds will be distributed to transit operators according to each operator's nonurbanized area population and nonurbanized area route miles. The formula will distribute half of the funds according to the nonurbanized area population served (i.e., according to the number of nonurbanized area residents that live within three-quarters of a mile of the operators' transit stops) and the other half of the funds according to the number of route miles provided in the nonurbanized area. The table below shows the formula distribution. Population data for the

proposed formula is based on the 2010 Census, and transit route data is taken from the 2012 Regional Transit Database (RTD).

FTA Section 5311 Formula Distribution

Transit Operator	Non UA Population (2010) within 3/4-mile of transit stops		Non UA Route Miles ²		Combined Population and Route Miles
	Population	Percentage	Miles	Percentage	Percentage
AC Transit	8,272	4%	33	2%	3%
CCCTA	11,311	5%	8	0%	3%
LAVTA	6,845	3%	29	2%	2%
Marin Transit ¹	16,993	8%	283	17%	12%
NCTPA	26,713	12%	199	12%	12%
SamTrans	21,741	10%	130	8%	9%
Santa Clara VTA	8,061	4%	94	6%	5%
Solano Transportation Authority ²	41,935	19%	437	26%	23%
Sonoma County Transit	63,645	29%	435	26%	28%
TriDelta Transit	13,298	6%	29	2%	4%
Total	218,814	100%	1,678	100%	100%

¹ The Marin Transit amount is the sum of the Marin Transit (Local Service) and West Marin Stagecoach amounts. Marin Transit will determine which service will use the 5311 funds.

² The Solano Transportation Authority (STA) amount is the sum of the Dixon, Fairfield and Suisun Transit, Rio Vista Delta Breeze, SolTrans, and Vacaville amounts. STA will work with these operators to determine individual shares.

B. Policy Guidelines

The following policies will accompany the formula system:

1. *Capital Priority.* Recipients will be required to prioritize the replacement of capital equipment, with top priority for capital assets needed to maintain needed existing transit services. If recipients request funds for operations, they will be required to submit documentation explaining why the funds are not needed to maintain or replace capital equipment. Furthermore, if recipients request funds for operations expansions, they will be required to submit documentation explaining why the funds are not needed to maintain existing transit operations.
2. *Project Justification Sheets.* MTC will program funds only to those operators who submit Section 5311 project justification sheets during the Call for Projects. The Section 5311 project justification sheets will contain basic project information, including project title, brief project description, project type, contact information, total project cost, local match amount and funding source, prior programming information (if the project is already included in the TIP), screening criteria, and, for operations requests, an explanation of why the funds are not needed for basic capital. If an operator does not want to participate in the 5311 program (e.g., if the operator's 5311 share is so small that the administrative effort required to apply for and report on the funds outweighs the benefits to the operator), then they will not submit Section 5311 project justification sheets, and MTC will not program any funds to that operator.

C. Project Screening Criteria

The project screening criteria are intended to eliminate projects that do not meet minimum program standards. MTC will review each applicant's Project Justification Sheets to ensure that each project proposed for the Section 5311 program of projects meets the following criteria:

1. *Availability to the general public.* Section 5311- funded services may be designed to maximize use by members of the general public who are transportation disadvantaged persons, including elderly and disabled persons, however such services should be open to the general public, or part of an array of public transit services, such as ADA complementary services.
2. *Identified local match.* The applicant must identify a funding source for the minimum required local match. The minimum local match is 44.67% for operations projects, and 11.47% for capital projects.
3. *Identified and documented need for a project.* The need for a particular project must be adequately documented and justified on the Section 5311 project justification sheets (e.g., if an operator is requesting funds to replace a vehicle, the existing vehicle to be replaced must meet the asset replacement age). If the applicant prepares a Short Range Transit Plan (SRTP), the project should be identified and justified in the plan.
4. *Project readiness.* The applicant must be prepared to submit an application for the project and be ready to implement/construct the project in the year indicated in the program of projects. If funds for a project are not applied for in the year they are programmed, future programming of federal funds for that project and applicant could be jeopardized.
5. *Consistency with Regional Transportation Plan (RTP).* The applicant must confirm that the project is consistent with the region's Long Range Plan in effect at the time of the application.

III. Fund Programming and Project Review Process

The steps in developing the region's Section 5311 program of projects are outlined as follows.

MTC will issue a Call for Projects every two years, and will adopt a two-year program. MTC will make annual adjustments to constrain the program to the available revenues. Each year's program will only be added to the TIP when actual revenues are apportioned by Caltrans.

A. Call for Projects Year (first year of two-year program)

- MTC receives estimate of available Section 5311 funding for the first program year from Caltrans. MTC will estimate the amount of Section 5311 funding available for the second program year.

- MTC uses the funding formula to estimate the amount of Section 5311 funds available to each transit operator, based on the assumption that all eligible operators will submit proposed projects.
- MTC notifies all potential Section 5311 applicants of the amount of Section 5311 funds available, including fund estimates by transit operator, and requests that projects be proposed (in project justification sheets) for the program of projects.
- For each proposed project, applicants complete and submit Section 5311 Project Justification Sheets to MTC.
- MTC staff reviews proposed projects and develops a preliminary program of projects. If there are remaining Section 5311 funds (i.e., if some eligible operators did not submit Project Justification Sheets), MTC will use the funding formula to distribute the remaining balance to the operators that proposed projects. MTC will confer with applicants to finalize the program of projects.
- The program of projects is presented to and considered by MTC's Programming and Allocations Committee.
- If approved by the Committee, the program of projects is presented to and considered by MTC's full Commission and upon approval is forwarded to Caltrans.
- When actual revenues are apportioned by Caltrans, MTC will make adjustments (if needed) to constrain the program to the available revenues and add the first year projects to the Transportation Improvement Program (TIP)

B. Adjustment year (second year of two-year program)

- MTC receives estimate of available Section 5311 funding for the second program year from Caltrans.
- MTC will make adjustments (if needed) to constrain the program to the available revenues. Staff will confer with operators if adjustments are needed.
- If there are changes to a project in the current program (e.g., scope of project, costs, etc.), a revised project justification sheet should be completed and sent to MTC.
- The revised program of projects is presented to and considered by MTC's Programming and Allocations Committee.
- The revised program of projects is presented to and considered by MTC's full Commission and upon approval is forwarded to Caltrans.
- MTC will add the second year projects to the Transportation Improvement Program (TIP).

In any year, operators are responsible for submitting their own applications to Caltrans. MTC will assist with the Regional Agency/Transportation Planning Agency (TPA) Certifications and Assurances as needed.

**FTA Section 5311 Rural Area Formula Funds
Program Process and Timeline
FY2018
Call for Projects**

Item	<u>Deadline</u> or estimated date
MTC sends Call for Projects memo to potential applicants, including fund estimates by transit operator	April 28, 2017
Deadline for applicants to submit Section 5311 Project Justification Sheets to MTC	<u>May 17, 2017</u>
MTC will confer with applicants to finalize the program of projects. If there are remaining Section 5311 funds (i.e., if some eligible operators did not submit Project Justification Sheets), MTC will use the funding formula to distribute the remaining balance to the operators that proposed projects.	May 17-22, 2017
MTC distributes draft Program of Projects and MTC Certification Letter to applicants	May 22, 2017
Regional Program of Projects and Project Applications due to Caltrans	<u>May 24, 2017</u>
TFWG reviews Regional Program of Projects	June 7, 2017
MTC PAC considers Program of Projects	June 14, 2017
MTC Commission approves resolution adopting POP	June 28, 2017
Caltrans incorporates MTC regional POP into the statewide POP and forwards to FTA	TBD by Caltrans
Adopted POP is amended into the MTC Transportation Improvement Program (TIP)	Late August 2017

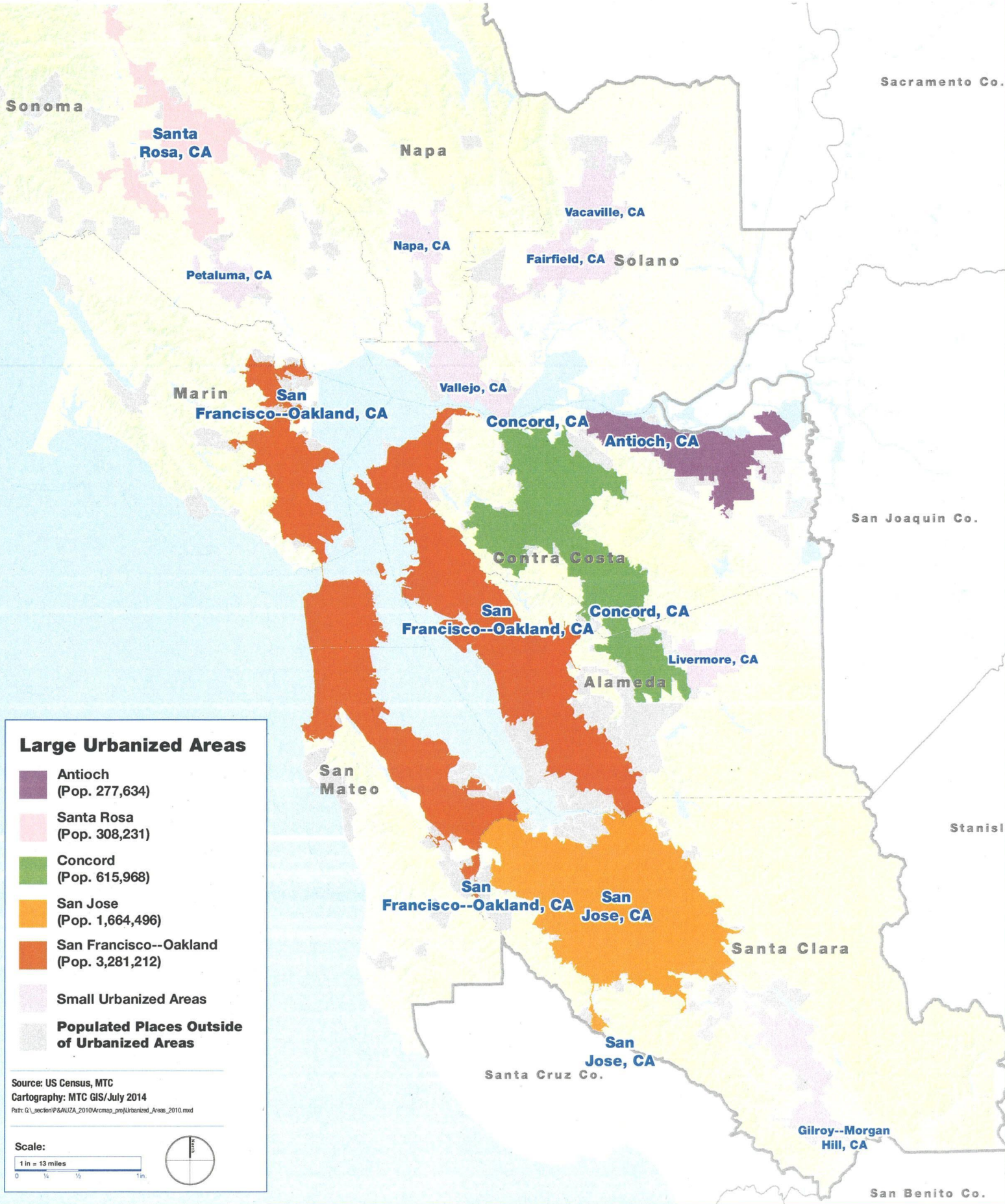
SF Bay Area Urbanized Areas in 2010



Metropolitan Transportation Commission
Planning, Financing and Coordinating
Transportation for the nine-county
San Francisco Bay Area

Analytical Services

Geographic Information Systems



Large Urbanized Areas

- Antioch
(Pop. 277,634)
- Santa Rosa
(Pop. 308,231)
- Concord
(Pop. 615,968)
- San Jose
(Pop. 1,664,496)
- San Francisco--Oakland
(Pop. 3,281,212)
- Small Urbanized Areas
- Populated Places Outside
of Urbanized Areas

Source: US Census, MTC
Cartography: MTC GIS/July 2014
Path: G:\section\PA\AUZA_2010\Arcmap_pj\Urbanized_Areas_2010.mxd



Attachment E

Section 5311 - FY2017 & FY2018 Estimates by Operator

Transit Operator	Non UA Population (2010) within 3/4-mile of transit stops		Non UA Route Miles		Combined Population and Route Miles Percentage	Revised Estimated FY17 5311 Amounts	Estimated FY18 5311 Amounts
	Population	Percentage	Miles	Percentage			
AC Transit	8,272	4%	33	2%	2.87%	\$43,918	\$44,921
CCCTA	11,311	5%	8	0%	2.83%	\$43,410	\$44,401
LAVTA	6,845	3%	29	2%	2.44%	\$37,338	\$38,191
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NCTPA	26,713	12%	199	12%	12.04%	\$184,432	\$188,644
SamTrans	21,741	10%	130	8%	8.85%	\$135,517	\$138,612
Santa Clara VTA	8,061	4%	94	6%	4.65%	\$71,167	\$72,792
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Regional Total	218,814	100%	1,678	100%	100%	\$1,531,573	\$1,566,554

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