

TTAC STAFF REPORT

SUBJECT: FTA 5311 Program of Projects and Amendment 7 to the Federal Transportation Improvement Program

MEETING DATE: April 7, 2022 **AGENDA ITEM:** 7

STAFF CONTACT: Maya Kulkarni and Jacky Mata

- RECOMMENDATION:**
- A. Recommend the SBCAG board approve the Program of Projects for Federal Transit Administration Section 5311 non-urbanized area transit funds in Santa Barbara County for Federal Fiscal Year 2022/23.
 - B. Review a draft of Formal Amendment 7 to the 2021 Federal Transportation Improvement Program (FTIP) and recommend approval to the SBCAG Board in April 2022.

DISCUSSION:
ACTION A: Federal Transit Administration Section 5311 Program of Projects

Under Section 5311 of the Federal Transit Act (FTA), funds are made available annually for transit projects in non-urbanized areas. In California, the Section 5311 program is administered by Caltrans Division of Mass Transit with funds apportioned to each region on the basis of non-urbanized area population. (49 USC 5311(c)(3).) Each year SBCAG is required to adopt a Program of Projects that includes all transit capital and operating projects proposed for Section 5311 funding.

SBCAG has received the FTA 5311 apportionment figure for Federal Fiscal Year (FFY) 2021/22 and FFY 2022/23 and has prepared the attached Program of Projects. The estimated apportionment for FFY 2021/22 is \$377,987, and the estimated apportionment for FFY 2022/23 is \$385,547. The total apportionment for this cycle is \$763,534 and is divided between the City of Guadalupe and the City of Solvang based on the population served by the transit systems. The population figures used to determine funding amounts are taken from the California Department of Finance.

The Guadalupe Flyer and Santa Ynez Valley Transit are the only operators that applied to receive FTA 5311 funds in Santa Barbara County. The operators have requested that all the 5311 funds be programmed for operating assistance. A summary of the proposed distribution is listed below.

Recipient	FFY 21/22	FFY 22/23	Total
Guadalupe	\$98,167	\$100,130	\$198,296
Solvang	\$279,820	\$285,417	\$565,238
Total:	\$377,987	\$385,547	\$763,534

SBCAG staff recommends that the SBCAG Board adopt the attached Program of Projects for submittal to Caltrans. The FTA 5311 funding must be amended into the Federal Transportation Improvement Program (FTIP) in order for the agencies to receive the funds for their transit

operations. SBCAG will program these new FTA 5311 funds into the 2021 FTIP through Formal Amendment No. 7 below.

ACTION B: The Federal Transportation Improvement Program (FTIP) Amendment

The Federal Transportation Improvement Program (FTIP) is adopted by SBCAG and serves as the sole reference federal funding document for public review. The FTIP must contain accurate project information and funds allocated before federal funds can be expended on the projects. SBCAG's role is to amend funding changes into the FTIP as needed.

The 2021 FTIP was approved by the SBCAG Board on February 18, 2021. The 2021 FTIP was adopted by the Federal agencies on April 16, 2021.

Formal Amendment No. 7 to the 2021 FTIP will program the following changes:

Transit projects:

- Guadalupe Transit Operating Assistance (MPO ID: GUAD4): Program a total of \$198,296 in FY's 21/22 – 22/23 in FTA Section 5311 non-urbanized area transit funds and matching local funds of \$160,092 for operating assistance to reflect FTA 5311 POP. (Attachment B)
- FTA 5311f - Intercity transit operations from Santa Maria to Santa Ynez Valley ONLY (MPO ID: SM41): Program a total of \$565,238 in FY's 21/22 – 22/23 in FTA Section 5311 non-urbanized area transit funds and matching local funds of \$456,338 for transit operations to reflect FTA 5311 POP. (Attachment B)

The amendment will be posted online at SBCAG's website at <http://www.sbcag.org/2021-FTIP.html> for public review.

ATTACHMENTS:

- A. FTA Section 5311 Program of Projects – Federal Fiscal Year 2021/22 and 2022/23
- B. California Transportation Improvement Program System (CTIPS) Report - Amendment 7



Program of Projects (POP)

FFY 2022 & FFY 2023

Due: April 29, 2022 at 2pm PST

Instructions:

PART 1 – Operating Assistance

- Do not list previously approved projects (i.e. projects listed in a prior grant).
- Funding split: 44.67% Local Share and 55.33% Federal Share.
- Third Party Contract Requirement – all third-party contracts must contain federal clauses required under [FTA Circular 4220.1F](#) and approved by the State prior to bid release.
- Net project cost does not include ineligible cost (i.e. farebox, other revenues, etc.).

PART 2 – Capital (Vehicles, Construction, Preventive Maintenance and Planning)

- **PRE-AWARD AUTHORITY IS STRICTLY FORBIDDEN FOR ALL CAPITAL PURCHASES** Receiving an executed Standard Agreement (DOT-213A) is NOT procurement authorization.
- All vehicles procured with Section 5311 program funds must be ADA accessible regardless of service type (fixed route or demand-response service). Capital projects must contain a full description of project: A PRELIMINARY ENVIRONMENTAL SURVEY (PES) is required for Capital projects other than vehicle procurement. (i.e. facility or shelter - include specifics, planning studies, preventative maintenance). **The PES does not satisfy the requirements for environmental review and approval.** When the agency prepares the documentation for a categorical exclusion, the Environmental Justice Analysis must be included.
- Funding split: 11.47% Local Share and 88.53% Federal Share.
- Procurement Contract Requirement – all documents used for procuring capital projects must contain federal clauses required under [FTA Circular 4220.1F](#) and approved by DRMT prior to bid release.

PART 3 - FLEXIBLE FUNDS (i.e. CMAQ, STP, or Federalized STIP*) if applicable:

- Request for transfer will be applied for directly through the District - Local Assistance District Engineer, and Headquarters' Division of Local Assistance. Division of Rail & Mass Transportation (DRMT) will receive a confirmation once the transfer is completed.
- Funding split: 11.47% Local Share and 88.53% Federal Share. CMAQ may be funded up to 100% at the discretion of the Regional Planning Agency/MPO.



Program of Projects (POP)

FFY 2022 & FFY 2023

Due: April 30, 2022 at 2pm PST

Agency Name:		
5311	5311(f)	CMAQ

Regional Contact Info:

Regional Contact Name:		Phone Number:	
Contact Title:		Date:	

General Information:

County or Region:		Caltrans District:	
Original Submission Date:		Revision Number:	
		Revision Submission Date:	

Section A: Available Funding

Apportionment for this Cycle (Federal Share):	
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Section B: Programming

Operating Assistance Total:	
Capital Total:	
Total Programmed (Operating + Capital):	

Flexible Funds (if applying for CMAQ, STP or Federalized STIP):

Flex Funds Total:	
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*Request for transfer will be applied for directly through the District - Local Assistance, District Engineer, and Headquarters' Division of Local Assistance. Division of Rail & Mass Transportation will receive a conformation once the transfer is completed.



Statewide Transportation Improvement Program (STIP)

All federal funds to be used for transit projects must be included in a federally approved STIP. A Transportation Planning Agency (TPA) must ensure that Section 5311 projects are included in the Department of Transportation's (Department) Statewide Transportation Federal Improvement Program (FSTIP), which is jointly approved by the Federal Highway Administration (FHWA) and FTA.

A copy of the federally approved STIP Page must be attached for all projects to be programmed through the Section 5311 program. The project description and associated dollar amounts must be consistent with the federally approved STIP information.

- **Metropolitan Planning Organizations (MPOs)** are responsible for programming projects within their jurisdiction.
- Rural Transit & Intercity Bus staff will submit **Non-MPO / Rural Transportation** organizations projects directly to the Department's Division of Financial Programming for inclusion into the FSTIP.

For further guidance see the Department's [Division of Financial Programming website](#).



PART 1: Operating Assistance - Regional Apportionment

Metropolitan Planning Organizations (MPOs) are responsible for sub-allocating projects within their jurisdiction:

Subrecipient	Project Description	Federal Share	Local Share (Excluding Toll Credit)	Toll Credit Amount (if any)	Net Project Cost
Operating Assistance Funds Total:					



PART 1 Continued: Additional Operating Assistance Entries

Metropolitan Planning Organizations (MPOs) are responsible for sub-allocating projects within their jurisdiction:

Subrecipient	Project Description	Federal Share	Local Share (Excluding Toll Credit)	Toll Credit Amount (if any)	Net Project Cost
Operating Assistance Funds Total:					



PART 2: Capital (Vehicles, Construction, Preventive Maintenance and Planning) - Regional Apportionment

Metropolitan Planning Organizations (MPOs) are responsible for sub-allocating projects within their jurisdiction:

Subrecipient	Project Description	Federal Share	Local Share (Excluding Toll Credit)	Toll Credit Amount (if any)	Net Project Cost
Capital Assistance Funds Total:					



PART 3: FLEX FUNDS (i.e. CMAQ, STP, or Federalized STIP*) if applicable

*Federalized STIP projects must complete the CTC allocation process.

Subrecipient	Project Description	Federal Share	Local Share (Excluding Toll Credit)	Toll Credit Amount (if any)	Net Project Cost
FLEX Funds Total:					

ATTACHMENT B

Santa Barbara County Association of Governments - Federal Transportation Improvement Program (Dollars in Thousands) Transit System

DIST: 05	PPNO:	EA:	CTIPS ID: 208-0000-0067	TITLE (DESCRIPTION): Guadalupe - Transit Operating Assistance (Guadalupe - Transit operating assistance for non-urbanized areas. This is an ongoing transit project. RTP ID: Gu-3. Estimated Total Project Cost = \$3,257,543.)	MPO Aprv: State Aprv: Federal Aprv:
CT PROJECT ID:			MPO ID: GUAD4		EPA TABLE II or III EXEMPT CATEGORY
COUNTY: Santa Barbara County	ROUTE:	PM:	0.000 / 0.000		

IMPLEMENTING AGENCY: Guadalupe, City of
PROJECT MANAGER:

PHONE:

EMAIL:

PROJECT VERSION HISTORY (Printed Version is Shaded)

Dollars in Thousands - Total For Project

Version	Status	Date	Updated By	Change Reason	Amend No.	Prog Con	Prog RW	PE
22	Active	03/30/2022	JMATA	Amendment - Cost/Scope/Sch. Change	7	3,258		
21	Official	05/20/2021	JMATA	Amendment - Cost/Scope/Sch. Change	1	2,899		
20	Official	02/18/2021	JMATA	Adoption - Carry Over	0	2,495		
19	Official	01/31/2020	JMATA	Amendment - Cost/Scope/Sch. Change	12	2,494		
18	Official	09/20/2018	AHSBCAG	Adoption - Carry Over	0	2,427		
17	Official	07/19/2018	AHSBCAG	Amendment - Cost/Scope/Sch. Change	15	2,427		
16	Official	06/15/2017	AHSBCAG	Amendment - Cost/Scope/Sch. Change	6	2,313		
15	Official	09/15/2016	AHSBCAG	Adoption - Carry Over	0	1,699		
14	Official	03/17/2016		Amendment - Cost/Scope/Sch. Change	11	1,699		

* Local Funds -		<u>PRIOR</u>	<u>20-21</u>	<u>21-22</u>	<u>22-23</u>	<u>23-24</u>	<u>24-25</u>	<u>25-26</u>	<u>BEYOND</u>	<u>TOTAL</u>
* Fund Source 1 of 3	PE									
	RW									
* Fund Type: TDA	CON	1,733		79	81					1,893
* Funding Agency:	Total:	1,733		79	81					1,893

* FTA Funds -		<u>PRIOR</u>	<u>20-21</u>	<u>21-22</u>	<u>22-23</u>	<u>23-24</u>	<u>24-25</u>	<u>25-26</u>	<u>BEYOND</u>	<u>TOTAL</u>
* Fund Source 2 of 3	PE									
	RW									
* Fund Type: FTA 5311 - Non Urbanized	CON	762	70	98	100					1,030
* Funding Agency:	Total:	762	70	98	100					1,030

* FTA Funds -		<u>PRIOR</u>	<u>20-21</u>	<u>21-22</u>	<u>22-23</u>	<u>23-24</u>	<u>24-25</u>	<u>25-26</u>	<u>BEYOND</u>	<u>TOTAL</u>
* Fund Source 3 of 3	PE									
	RW									
* Fund Type: Economic Stimulus 2 - FTA 5311	CON		334							334
* Funding Agency: Guadalupe, City of	Total:		334							334

Project Total:		<u>PRIOR</u>	<u>20-21</u>	<u>21-22</u>	<u>22-23</u>	<u>23-24</u>	<u>24-25</u>	<u>25-26</u>	<u>BEYOND</u>	<u>TOTAL</u>
	PE									
	RW									
	CON	2,495	404	177	181					3,258
	Total:	2,495	404	177	181					3,258

Comments:
 ***** Version 22 - 03/23/2022 *****
 ***** Version 21 - 04/20/2021 *****
 ***** Version 1 - 08/14/20 *****
 Project data transferred from 2018 FTIP.
 ***** Version 19 - 01/15/2020 *****
 Carry over from 16-15 ** Carrying over project into 2020 FTIP.

**Santa Barbara County Association of Governments - Federal Transportation Improvement Program
(Dollars in Thousands)
Transit System**

DIST: 05	PPNO:	EA:	CTIPS ID: 208-0000-0331	TITLE (DESCRIPTION): FTA 5311f - Intercity transit operations from Santa Maria to Santa Ynez Valley ONLY (Funding for operation of intercity transit service from Santa Maria Urbanized Area to the Santa Ynez Valley. RTP ID: SMAT-412. Estimated Total Project Cost = \$2,091,402.)	MPO Aprv: State Aprv: Federal Aprv:
CT PROJECT ID:			MPO ID: SM41		EPA TABLE II or III EXEMPT CATEGORY
COUNTY: Santa Barbara County	ROUTE:		PM: 0.000 / 0.000		

IMPLEMENTING AGENCY: Santa Maria, City of
PROJECT MANAGER:

PHONE:

EMAIL:

PROJECT VERSION HISTORY (Printed Version is Shaded)

Dollars in Thousands - Total For Project

Version	Status	Date	Updated By	Change Reason	Amend No.	Prog Con	Prog RW	PE
10	Active	03/30/2022	JMATA	Amendment - Cost/Scope/Sch. Change	7	2,091		
9	Official	02/18/2021	JMATA	Adoption - Carry Over	0	1,070		
8	Official	03/19/2020	JMATA	Amendment - Cost/Scope/Sch. Change	13	1,070		
7	Official	09/20/2018	AHSBCAG	Adoption - Carry Over	0	565		
6	Official	09/15/2016	AHSBCAG	Adoption - Carry Over	0	565		
5	Official	05/21/2015		Amendment - Cost/Scope/Sch. Change	4	565		
4	Official	09/18/2014		Adoption - Carry Over	0	388		
3	Official	06/25/2014		Amendment - Cost/Scope/Sch. Change	18	388		
2	Official	09/20/2012		Adoption - Carry Over	0	185		

* FTA Funds -		PRIOR	20-21	21-22	22-23	23-24	24-25	25-26	BEYOND	TOTAL
	PE									
	RW									
* Fund Source 1 of 4	CON	215								215
* Fund Type: Intercity Bus - 5311-F										
* Funding Agency:	Total:	215								215

* Local Funds -		PRIOR	20-21	21-22	22-23	23-24	24-25	25-26	BEYOND	TOTAL
	PE									
	RW									
* Fund Source 2 of 4	CON	311	77	226	230					844
* Fund Type: TDA										
* Funding Agency:	Total:	311	77	226	230					844

* FTA Funds -		PRIOR	20-21	21-22	22-23	23-24	24-25	25-26	BEYOND	TOTAL
	PE									
	RW									
* Fund Source 3 of 4	CON	282	95	280	285					942
* Fund Type: Intercity Bus - 5311-F										
* Funding Agency:	Total:	282	95	280	285					942

* Local Funds -		PRIOR	20-21	21-22	22-23	23-24	24-25	25-26	BEYOND	TOTAL
	PE									
	RW									
* Fund Source 4 of 4	CON	91								91
* Fund Type: TDA										
* Funding Agency:	Total:	91								91

Project Total:		PRIOR	20-21	21-22	22-23	23-24	24-25	25-26	BEYOND	TOTAL
	PE									
	RW									
	CON	898	172	506	516					2,091
	Total:	898	172	506	516					2,091

Comments:

***** Version 10 - 03/23/2022 *****

***** Version 1 - 08/14/20 *****

Project data transferred from 2018 FTIP.

***** Version 8 - 01/13/2020 *****

Carry over from 16-00 ** Included in the 2019 FTIP for information only.