

STAFF REPORT

SUBJECT: FTA 5307 Call for Projects

MEETING DATE: January 19, 2012

AGENDA ITEM: 7G

STAFF CONTACT: Sarkes Khachek

RECOMMENDATION:

Approve project selection procedures for FTA 5307 funding and authorize a call for projects.

SUMMARY

SBCAG is the federally designated recipient of Federal Transit Administration (FTA) 5307 funding in Santa Barbara County. The funding is allocated by SBCAG to operate transit services and construct capital projects in the county's three urbanized areas (UZA) of Lompoc, Santa Barbara and Santa Maria. SBCAG is required by federal regulation to adopt procedures that will be used to select projects for FTA 5307 funding.

SBCAG last adopted procedures in 2009 in consultation with Santa Barbara MTD, City of Lompoc transit (COLT), and Santa Maria Area Transit (SMAT), each of which is the designated grantee of FTA 5307 funds in their respective UZAs. The procedures require each of the transit operators to issue a call for projects for their respective UZA, in addition to a countywide call issued by SBCAG, then screen, score and recommend to SBCAG which projects in their UZA should be funded. The SBCAG Board has to approve the projects selected through the adopted scoring system.

The last Call for Projects held in 2009 programmed funds for Fiscal Years 2009/10 to 2011/12. SBCAG staff has estimated available apportionments for FYs 2012/13 to 2014/15 to initiate a Call for Projects to program available funds. SBCAG and the three transit operators reviewed the project selection scoring systems in November 2011 and no changes were recommended. TTAC reviewed the project selection scoring systems in December 2011 and recommends approval by the SBCAG Board. After projects have been reviewed and scored by the designated grantees and SBCAG staff in March and April, SBCAG staff will present projects recommended for funding at the May SBCAG Board meeting.

DISCUSSION

Background

Each year the Federal Transit Administration (FTA) distributes FTA 5307 transit operating and capital assistance funds to urbanized areas. The funds are apportioned on the basis of population and population density. Projects that are funded with FTA 5307 funds are selected by SBCAG as the federally designated recipient of FTA 5307 funding in Santa Barbara County. The projects are selected by SBCAG in consultation with transit operators.

The funding is allocated by SBCAG to operate transit services and construct capital projects in the county's three urbanized areas of Lompoc, Santa Maria and Santa Barbara. SBCAG is required by federal regulation to adopt procedures that will be used to select projects for 5307 funding.

The original procedures were developed and adopted by SBCAG at the end of FY 2006 in consultation with COLT, MTD and SMAT, the designated grantees of 5307 funds in their respective urbanized areas. The procedures were then updated in 2009 as part of the 2009 Call for Projects. As part of the project selection procedure, each of the transit operators are required to issue a call for projects for their respective urbanized area, in addition to a countywide call issued by SBCAG, then screen, score and recommend to SBCAG which projects in their urbanized area should be funded.

The designated grantees and SBCAG are also required to collaborate on the development of a project scoring system for each programming cycle that must also be adopted by the SBCAG Board. The scoring system must prioritize projects for funding in each urbanized area on the basis of mobility needs and not use formulas or predetermined percentages to fund modes or jurisdictions. The SBCAG Board has to approve the projects selected through the adopted scoring system. SBCAG and the three transit operators reviewed the FTA 5307 project selection scoring systems in November 2011 and no changes were recommended.

Under the recommended procedures (Attachment A), the designated grantee for FTA 5307 funds within each urbanized area will screen the projects and score project applications according to the scoring system developed at the start of each programming cycle.

After projects have been reviewed and scored by the designated grantees and SBCAG staff in March and April, SBCAG staff will present projects recommended for funding at the May SBCAG Board meeting.

Estimated FTA 5307 Urbanized Apportionment for FYs 2013 to 2015

The last FTA 5307 Call for Projects in 2009 programmed FTA 5307 funding for Federal Fiscal Years 2010/11 to 2011/12. SBCAG staff has estimated available FTA 5307 apportionments for FY 2012/13 to 2014/15 for the 2012 cycle.

Urbanized Area	FY 12/13	FY 13/14	FY 14/15	Totals
Lompoc	\$824,850	\$824,850	\$824,850	\$2,474,550
Santa Barbara	\$4,241,935	\$4,241,935	\$4,241,935	\$12,725,805
Santa Maria	\$2,550,828	\$2,550,828	\$2,550,828	\$7,652,484
	\$7,617,613	\$7,617,613	\$7,617,613	\$22,852,839

Note: Apportionments are based on FY 2010/11 FTA 5307 Apportionments

COMMITTEE REVIEW

SBCAG staff presented the project selection procedures to TTAC at their December 1, 2011 meeting. TTAC did not provide any comments and recommended approval of the project selection procedures.

RECOMMENDATION

Recommend the board adopt the project selection procedures for the 2012 FTA 5307 cycle included in Attachments A – E, and initiate a countywide call for projects.

ATTACHMENTS:

- Attachment A - FTA 5307 Transit Project Selection Procedures
- Attachment B - Scoring Criteria for FTA Section 5307 Project Selection
- Attachment C - Screening and Selection Criteria
- Attachment D - FTA 5307 Application Form
- Attachment E - FTA 5307 Project Selection Schedule

Attachment A
FTA 5307 Transit Project Selection Procedures – 2012

Any public agency with public transit capital and operating funding needs within, to/from, or between urbanized area(s) in Santa Barbara County may apply for FTA 5307 funding according to the following process.

1. At the beginning of every programming cycle, SBCAG shall notify each transit operator of the estimated amount of funding to be apportioned to each urbanized area for the fiscal years included in the programming cycle. The amount of funding available for this programming cycle is as follows:

Urbanized Area	FY 12/13	FY 13/14	FY 14/15	Totals
Lompoc	\$824,850	\$824,850	\$824,850	\$2,474,550
Santa Barbara	\$4,241,935	\$4,241,935	\$4,241,935	\$12,725,805
Santa Maria	\$2,550,828	\$2,550,828	\$2,550,828	\$7,652,484
	\$7,617,613	\$7,617,613	\$7,617,613	\$22,852,839

Note: Apportionments are based on FY 2010/11 FTA 5307 Apportionments

2. The full amount of estimated FTA 5307 funding apportioned to an urbanized area shall be programmed to the urbanized area in the programming cycle.
3. SBCAG and transit operators will collaborate on the development of a project scoring system that will be adopted by the SBCAG Board of Directors. The scoring system shall prioritize projects for funding in each urbanized area on the basis of mobility needs and not use formulas or predetermined percentages to fund modes or jurisdictions, consistent with 23 CFR Part 450.222(b).
4. A call for projects will be issued by SBCAG and the designated grantees in each urbanized area according to the schedule shown in **Attachment E**, FTA 5307 Transit Project Selection Schedule.
5. Applicants must submit project information to the designated grantee in the urbanized area(s) in which they would like to operate a service or make a capital improvement. Information provided must assist the grantee in screening the project according to **Attachment C-1**, Screening Criteria, and scoring the project according to the scoring system developed.

In Santa Barbara County, the urbanized areas and designated grantees are:

Lompoc	City of Lompoc Transit (COLT)	Richard Fernbaugh	r_fernbaugh@ci.lompoc.ca.us
Santa Barbara	Santa Barbara Metropolitan Transit District (SBMTD)	Steve Maas	SMAAS@sbmtd.gov
Santa Maria	Santa Maria Area Transit (SMAT)	Austin O'Dell	aodell@ci.santa-maria.ca.us

FTA 5307 Transit Project Selection Procedures (cont'd.)

6. If the project involves more than one urbanized area, the applicant must provide copies of the project information to the grantees in each urbanized area that would benefit from the proposed project.
7. The designated grantee in the urbanized area shall determine the project's eligibility for FTA 5307 funds according to the screening criteria in Attachment C-1.
8. The designated grantee shall score all projects that meet the screening criteria, including its own projects needing FTA 5307 funds, using the scoring system.
9. The designated grantee shall submit to SBCAG all applications received, including those that did not meet the screening criteria, its score for projects, and its policy board's adopted recommendation of which project(s) should be funded in the upcoming fiscal year(s) with the FTA 5307 grant apportionment published in the federal register for its urbanized area.
10. Any applicant may appeal any aspect of the designated grantee's screening and scoring of its application to SBCAG after the designated recipient's policy board has taken action but before SBCAG's TTAC Committee has adopted a recommendation.
11. SBCAG staff will review all project information transmitted by designated grantees, including those that the grantee believes do not meet the screening criteria, and appeals filed, and recommend to SBCAG's Transportation Technical Advisory Committee (TTAC) concurrence or rejection of the grantee's funding recommendation.
12. SBCAG's TTAC committee shall adopt a recommendation of concurrence or rejection of a grantee's funding recommendation, which shall be communicated to the SBCAG Board.
13. If the SBCAG Board of Directors concurs with a designated grantee's funding recommendation, it shall approve an amendment to the Federal Transportation Improvement Program reflecting the funding recommendation and submit it to Caltrans and the Federal Transit Administration for their concurrence.
14. If the SBCAG Board rejects a designated grantee's funding recommendation, the recommendation shall be returned to the designated grantee with an explanation of the rejection. The designated grantee may modify and resubmit a funding recommendation. Rejection of a funding recommendation for one urbanized area will not necessarily prevent SBCAG from adopting an FTIP amendment implementing recommendations for other urbanized areas.
15. The SBCAG Board reserves the right to modify these procedures in consultation with the designated grantees in each urbanized area at any time to promote the most efficient and effective use of FTA 5307 funding in Santa Barbara County.
16. This process shall be conducted consistent with federal and state laws and regulations and in such a way that all materials pertaining to the screening and scoring of projects, discussion of funding recommendations by policy boards, and staff reports to policy boards on any aspect of this process, shall be readily available to members of the public.

Attachment B
Scoring Criteria for FTA Section 5307 Project Selection

Project Category**	Point Values by Agency		
	MTD	COLT	SMAT
1. Operating or capital subsidy for existing local transit service	45	45	45
A) Serves continuing local transit needs of urbanized area residents	15	15	15
B) Effective and cost efficient use of public funds	15	15	15
C) Consistent with required Federal, state and local planning documents	15	15	15
2. Operating or capital subsidy for expanded local transit service	30	30	30
A) Expands local transit options for urbanized area residents	10	10	10
B) Effective and cost-efficient use of public funds	10	10	10
C) Consistent with required Federal, state and local planning documents	10	10	10
3. Operating or capital subsidy for existing regional transit service	15	15	15
A) Serves continuing regional transit needs of urbanized area	5	5	5
B) Alleviates peak-period congestion	5	5	5
C) Effective and cost-efficient use of public funds	2.5	2.5	2.5
D) Integrated with existing local transit service	2.5	2.5	2.5
4. Operating or capital subsidy for expanded regional transit service	10	10	10
A) Expands regional transit options for urbanized area	3	3	3
B) Reduces peak-period congestion	3	3	3
C) Effective and cost-efficient use of public funds	2	2	2
D) Integrated with existing local and regional transit service	2	2	2
Total (Maximum allowable points Sections 1 – 4)	100	100	100

** Projects may score in more than one category.

Attachment C – Screening and Selection Criteria

SECTION 1: SCREENING CRITERIA

To be eligible for funding consideration, all projects requesting FTA 5307 funds must submit information to the designated grantee in the urbanized area(s) demonstrating they meet the following criteria:

1. Consistency Requirements

- a. The project must be consistent with the RTP and other adopted local or regional plans (Congestion Management Programs, Short Range Transit Plans, State Implementation Plan, etc.)
- b. The project must be consistent with federal eligibility requirements for FTA 5307 projects.

2. Financial Requirements

The project must be supported by:

- a. A reasonable cost estimate based on the best available data
- b. Adequate financial planning with all sources of funding identified
- c. Logical cash flow and sensible phasing

3. Project Specific Requirements

Projects must:

- a. Be well defined with clear project limits, intended scope of work, and project concept
- b. Be well justified; there must be a clear need directly addressed by the project
- c. Be supported by an implementation plan and schedule which adequately provides for any necessary clearances and approvals and demonstrates that the project can be advanced to a state of readiness for implementation in the year indicated
- d. Maintain or improve existing service levels
- e. Be cost effective

SECTION 2: SELECTION CRITERIA

Responses to the following questions and other information provided in this application will be used to evaluate, prioritize and select projects. Please indicate which category(ies) the project will address and respond to questions accordingly. Attach additional narrative or documentation if necessary.

Note: Projects may score in more than one category.

Project Category

1. Operating or capital subsidy for existing local transit service

- A) Describe how the project serves continuing local transit needs of urbanized area residents, including maintaining current service levels and service reliability.
- B) Demonstrate how this project is an effective and cost-efficient use of public funds using standard industry performance measures, which may include:
 - Farebox Recovery Ratio
 - Cost per Passenger
 - Cost per Revenue Hour
 - Passenger Miles Traveled per Vehicle Revenue Mile
 - Passenger Miles Traveled per Vehicle Revenue Hour
 - Vehicle Revenue Miles per Capita
 - Vehicle Revenue Hours per Capita
 - Passenger Miles Traveled Per Capita
 - Passenger Trips Per Capita
- C) Describe how this project is consistent with required federal, state, and local planning documents.

2. Operating or capital subsidy for expanded local transit service

- A) Describe how the project expands local transit options for urbanized area residents including increasing service levels, improving service reliability and improving current service.
- B) Demonstrate how this project is an effective and cost-efficient use of public funds using standard industry performance measures, which may include:
 - Farebox Recovery Ratio
 - Cost per Passenger
 - Cost per Revenue Hour
 - Passenger Miles Traveled per Vehicle Revenue Mile
 - Passenger Miles Traveled per Vehicle Revenue Hour
 - Vehicle Revenue Miles per Capita
 - Vehicle Revenue Hours per Capita
 - Passenger Miles Traveled Per Capita
 - Passenger Trips Per Capita

- C) Describe how this project is consistent with required federal, state, and local planning documents.
3. Operating or capital subsidy for existing regional transit service
- A) Describe how the project services continuing regional transit needs of the urbanized area, including maintaining current service levels and service reliability.
 - B) Explain how the project will alleviate peak-period congestion.
 - C) Demonstrate how this project is an effective and cost-efficient use of public funds using standard industry performance measures, which may include:
 - Farebox Recovery Ratio
 - Cost per Passenger
 - Cost per Revenue Hour
 - Passenger Miles Traveled per Vehicle Revenue Mile
 - Passenger Miles Traveled per Vehicle Revenue Hour
 - Vehicle Revenue Miles per Capita
 - Vehicle Revenue Hours per Capita
 - Passenger Miles Traveled Per Capita
 - Passenger Trips Per Capita
 - D) Describe how this project integrates with existing local transit service.
4. Operating or capital subsidy for expanded regional transit service
- A) Describe how the project expands regional transit options for the urbanized area including increasing service levels, improving service reliability and improving current service.
 - B) Explain how the project will reduce peak-period congestion.
 - C) Demonstrate how this project is an effective and cost-efficient use of public funds using standard industry performance measures, which may include:
 - Farebox Recovery Ratio
 - Cost per Passenger
 - Cost per Revenue Hour
 - Passenger Miles Traveled per Vehicle Revenue Mile
 - Passenger Miles Traveled per Vehicle Revenue Hour
 - Vehicle Revenue Miles per Capita
 - Vehicle Revenue Hours per Capita
 - Passenger Miles Traveled Per Capita
 - Passenger Trips Per Capita
 - D) Describe how this project integrates with existing local and regional transit services.



Attachment D

**APPLICATION FORM
FTA Section 5307
Small Urbanized Area Transit Funding**

Project Submittal Sheet

PROJECT TITLE:

PROJECT APPLICANT:
(Agency name & address)

CONTACT PERSON:
(Name, address, phone, e-mail)

BRIEF DESCRIPTION OF PROJECT: Describe the scope of work that would be funded under the proposed project include project limits and project concept.

Submitted By:

Please Print Full Name

Signature

Date

**Attachment E
Project Selection Schedule
FTA 5307 Call for Projects
FFYs 2012/13 – FFY 2014/15**

SBCAG and transit operators review project scoring system which is adopted by the SBCAG Board of Directors	November 2011
SBCAG's Transportation Technical Advisory Committee (TTAC) recommends approval of FTA 5307 Scoring system	December 1, 2011
SBCAG and designated FTA 5307 grantees issue a call for projects; Project Scoring System adopted by SBCAG	January 19, 2011
Call for projects closed.	March 1, 2012
Designated grantees submit to SBCAG a funding recommendation for their urbanized area and copies of applications received	April 5, 2012
SBCAG staff reviews the applications and recommendations for each urbanized area; issues recommendations to concur\reject funding recommendations for urbanized areas; prepares FTIP amendment for concurrences	April 9-13, 2012
TTAC approves funding recommendations/FTIP amendment	May 3, 2012
FTIP amendment adopted by SBCAG Board and sent to Caltrans and FTA for concurrence	May 17, 2012