

SBCAG STAFF REPORT

SUBJECT: FTA Section 5311 Program of Projects

MEETING DATE: April 21, 2022 **AGENDA ITEM:** 5F

STAFF CONTACT: Maya Kulkarni

RECOMMENDATION:

1. Adopt Resolution 22-10 (Attachment B) approving the Program of Projects for Federal Transit Administration Section 5311 non-urbanized area transit funds in Santa Barbara County for Federal Fiscal Year 2021/22 and 2022/23.
2. Approve and authorize the Executive Director, or designee, to submit and sign and additional documents such as certificates and assurances to accept Section 5311 fund allocations.
3. After adoption of FTA 5311 projects, adopt Resolution 22-11 amending the 2021 Federal Transportation Improvement Program through Formal Amendment No. 7 to program FTA Section 5311 funding to projects in Santa Barbara County.

DISCUSSION:

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).) 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 and Resolution 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.



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 for operating assistance to reflect FTA 5311 POP.
- 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 for transit operations to reflect FTA 5311 POP.

The recommended actions are not a project under the California Environmental Quality Act (CEQA) pursuant to sections 15276 and/or 15378 of the CEQA guidelines.

COMMITTEE REVIEW:

The FTA 5311 Program of Projects and Formal Amendment No. 7 was presented to Technical Transportation Advisory Committee (TTAC) at their meeting on April 7, 2022 and the committee unanimously recommended approval by the SBCAG Board.

ATTACHMENTS:

- A – FTA Section 5311 Program of Projects – Federal Fiscal Year 2021/22 and 2022/23
- B – SBCAG Resolution No. 22-10
- C – California Transportation Improvement Program System Report - Amendment 7
- D – SBCAG Resolution No. 22-11



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):	
--	--

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:	
--------------------------	--

*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 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:					

ATTACHMENT B

A RESOLUTION OF THE SANTA BARBARA COUNTY ASSOCIATION OF GOVERNMENTS

APPROVAL OF PROJECTS SUBMITTED FOR) RESOLUTION NO. 22-10
SECTION 5311 FOR FEDERAL FISCAL YEARS)
2021/22 AND 2022/23 AND AUTHORIZATION)
FOR THE EXECUTION OF THE)
CERTIFICATIONS AND ASSURANCES)

WHEREAS, the U.S. Department of Transportation is authorized to make grants to states through the Federal Transit Administration to support capital/operating assistance projects for non-urbanized public transportation systems under Section 5311 of the Federal Transit Act (49 USC § 5311; FTA C 9040.1G); and

WHEREAS, the California Department of Transportation (Caltrans) has been designated by the Governor of the State of California to administer Section 5311 grants for transportation projects for the general public for the rural transit and intercity bus system; and

WHEREAS, the Santa Barbara County Association of Governments (SBCAG) has been designated as the Regional Transportation Planning Agency and Metropolitan Planning Organization; and

WHEREAS, SBCAG has received FTA 5311 applications for funding available for Federal Fiscal Years 2021/22 and 2022/23 from the City of Guadalupe and the City of Solvang; and

WHEREAS, the allocation request is consistent with the FTA 5311 Program; and

WHEREAS, SBCAG has, to the maximum extent feasible, coordinated with other transportation providers and users in the region (including social service agencies).

NOW, THEREFORE, BE IT RESOLVED that the Santa Barbara County Association of Governments does hereby authorize the City of Guadalupe and the City of Solvang to file and execute an application to Caltrans to aid in the financing of operating assistance projects pursuant to Section 5311 of the Federal Transit Act (49 USC § 5311; FTA C 9040.1G), as amended.

IT IS FURTHER RESOLVED that the designated contacts in the application for the City of Guadalupe, the City of Solvang, and SBCAG are authorized to execute and file all certifications of assurances, contracts or agreements, or any other document required by Caltrans.

IT IS FURTHER RESOLVED that the designated contacts in the application for the City of Guadalupe, the City of Solvang, and SBCAG are authorized to provide additional information as Caltrans may require in connection with the application for the Section 5311 projects.

IT IS FURTHER RESOLVED that the SBCAG Executive Director is authorized to submit and approve request for reimbursement of funds from Caltrans for the Section 5311 project(s).

IT IS FURTHER RESOLVED by SBCAG that the fund recipient agrees to comply with all conditions and requirements set forth in the Certification and Assurances document and applicable statutes, regulations, and guidelines for all FTA funded transit projects.

IT IS FURTHER RESOLVED that SBCAG approves the Program of Projects described in and attached to the staff report of April 2022 for submittal to the California Department of Transportation, Division of Mass Transportation.

PASSED AND ADOPTED this 21st day of April 2022 by the following vote:

AYES:

NOES:

ABSENT:

ABSTAIN:

ATTEST:

Marjie Kirn
Executive Director

Das Williams, Chair
Santa Barbara County
Association of Governments

APPROVED AS TO FORM:
Rachel Van Mullem
County Counsel



Deputy County Counsel

ATTACHMENT C

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 -		PRIOR	20-21	21-22	22-23	23-24	24-25	25-26	BEYOND	TOTAL
* 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 -		PRIOR	20-21	21-22	22-23	23-24	24-25	25-26	BEYOND	TOTAL
* 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 -		PRIOR	20-21	21-22	22-23	23-24	24-25	25-26	BEYOND	TOTAL
* 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:		PRIOR	20-21	21-22	22-23	23-24	24-25	25-26	BEYOND	TOTAL
	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.

ATTACHMENT D

A RESOLUTION OF THE SANTA BARBARA COUNTY ASSOCIATION OF GOVERNMENTS

AMENDMENT NO. 7 TO THE 2021 FEDERAL)
TRANSPORTATION IMPROVEMENT)
PROGRAM FOR MULTIPLE FUNDING)
SOURCES IN THE 2021 FTIP)

RESOLUTION NO. 22-11

WHEREAS, Title 23 Code of Federal Regulations, part 450, and Title 49 Code of Federal Regulations, part 613, require the preparation and updating of a Federal Transportation Improvement Program (FTIP) by the Metropolitan Planning Organization; and

WHEREAS, the Santa Barbara County Association of Governments (SBCAG) has been designated as the Metropolitan Planning Organization for Santa Barbara County; and

WHEREAS, SBCAG, through the conduct of a continuing, comprehensive, and coordinated transportation planning process with applicable federal requirements, has prepared a 2021 FTIP; and

WHEREAS, the 2021 FTIP has been prepared in cooperation with state and local government agencies including Caltrans, local transit operators; and the Air Pollution Control District; and

WHEREAS, the 2021 FTIP must be consistent with the Regional Transportation Plan (RTP) adopted pursuant to Government Code Section 65080; and

WHEREAS, the 2021 FTIP projects have been developed from the RTP adopted in 2017, 2009 Congestion Management Plan, and 2020 State Transportation Improvement Program; and

WHEREAS, all projects proposed for federal funding or approval under Title 23 Code of Federal Regulations and the Federal Transit Act must be included in a transportation improvement program; and

WHEREAS, because Santa Barbara County is not classified as a nonattainment or maintenance area federal eight-hour ozone standard, it is no longer required to follow air quality conformity measures nor the applicable State Implementation Plan (SIP) as required by the

federal Clean Air Act (42 U.S.C. Section 7401 et seq.) and the EPA's transportation conformity regulations (40 CFR Part 93, subpart A). (23 CFR § 450.326(a).); and

WHEREAS, the 2021 FTIP was made available for public review and members of the public were given a reasonable opportunity to review the 2021 FTIP before it was adopted by the SBCAG Board on February 18, 2021 (23 CFR § 450.326(b).); and

WHEREAS, revisions to the FTIP requested by Caltrans in order to incorporate the FTIP into the statewide FTIP by the end of the federal fiscal year were adopted by the SBCAG Board on February 18, 2021 after public review; and

WHEREAS, the 2021 FTIP is financially constrained and funds needed to complete the 2021 FTIP are reasonably expected to be available (23 CFR §§ 450.326(k), 450.104).

NOW, THEREFORE, BE IT RESOLVED that the SBCAG Board of Directors amends the 2021 FTIP to include the changes identified in the Staff Report for the 2021 Federal Transportation Improvement Program Formal Amendment No. 7, on April 21, 2022; and

BE IT FURTHER RESOLVED that the SBCAG Board of Directors finds that development of the 2021 FTIP was made in accordance with public involvement procedures originally adopted by SBCAG on November 10, 1994 and updated on March 24, 2002; December 20, 2007 and August 20, 2015 in accordance with Title 23, Code of Federal Regulations, section 450.316; and

BE IT FURTHER RESOLVED that the SBCAG Board of Directors finds that 2021 FTIP is consistent with metropolitan planning regulations from 23 Code of Federal Regulations Part 450; and

BE IT FURTHER RESOLVED that the SBCAG Board of Directors finds that the amended 2021 FTIP is consistent with the RTP adopted in 2017; and

BE IT FURTHER RESOLVED that the 2021 FTIP as amended is financially constrained and funds needed to complete the 2021 FTIP are reasonably expected to be available; and

BE IT FURTHER RESOLVED that because Santa Barbara County is not classified as a nonattainment or maintenance area for the federal eight-hour ozone standard, the 2021 FTIP is not required to follow air quality conformity measures nor the applicable State Implementation Plan (SIP) as required by the federal Clean Air Act (42 U.S.C. Section 7401 et seq.) and the EPA's transportation conformity regulations (40 CFR Part 93, subpart A). (23 CFR § 450.326(a).); and

BE IT FURTHER RESOLVED that the inclusion of any federally-funded projects in the 2021 FTIP, including all amendments, constitutes the federal project selection procedures for Santa Barbara County, and any projects programmed in the FTIP may proceed to implementation without further project selection action by SBCAG.

PASSED AND ADOPTED this 21st day of April 2022 by the following vote:

AYES:

NOES:

ABSENT:

ABSTAIN:

ATTEST:

Marjie Kirn
Executive Director

Das Williams, Chair
Santa Barbara County
Association of Governments

Date: _____

APPROVED AS TO FORM:

Rachel Van Mullem
County Counsel

By: _____


Deputy County Counsel