



## Transportation Committee

Item #16-3-4  
Action

February 25, 2016

### **Programming Federal Transit Administration Section 5307 and 5339 FY 2016 Apportionments**

**Issue:** How should the Board program the Federal Transit Administration (FTA) Section 5307 and 5339 formula fund apportionment available for Fiscal Year (FY) 2016?

**Recommendation:** That the Transportation Committee recommend that the Board: a) program the Earned Share portion of Section 5307 and 5339 FY 2016 Apportionments to the Sacramento Urbanized Area as shown in attachment A; and b) Release a Call for Projects for the Discretionary Share portion of the funds, with a maximum annual cap of \$1 million for a single operator.

**Discussion:** The Fixing America's Surface Transportation Act (FAST Act), which was passed in December 2015, authorizes funding for transit programs for the next five years, through September 30, 2020 (FY16-FY20).

On February 9, 2016, the FTA released federal apportionment funding amounts for FY 2016 Section 5307 and 5339 funds, thereby allowing staff to move forward with programming recommendations. These funds apply to transit operators in the Sacramento Urbanized Area (UZA). Sacramento UZA operators include El Dorado Transit, Placer County Transit, City of Roseville Transit, Sacramento Regional Transit District, Yolo County Transportation District, e-tran (Elk Grove Transit), Folsom Transit and Yuba-Sutter Transit.

A methodology for programming of these FTA formula funds and evaluation and selection criteria for a competitive Discretionary program was approved by the SACOG Board in March 2014 and later approved by all participating local governments and transit operators in the SAC UZA through a Memorandum of Understanding (MOU). Based on this methodology, 88 percent of FTA's formula funds (\$23,617,542 in FY 16) will be distributed through a service-based Earned Share calculation, and 12 percent of the funds (\$3,220,574 in FY 16) will be programmed through a Discretionary competitive process. The Discretionary program is based on a two-year programming cycle. In order to prevent committing a significant portion of the available Discretionary funds to one operator in any given year, staff recommends placing an annual funding ceiling for an individual operator to a total maximum of \$1 million in Discretionary funds.

Attachment A provides the breakdown between the Earned Share and Discretionary Share portions of the aforementioned funds and the recommended Earned Share allocation amounts to each Sacramento UZA operator. Attachment B includes the Discretionary Share sample application and the project evaluation criteria and scoring methodology approved by the SACOG Board in 2014. The criteria used to evaluate the Discretionary applications are consistent with the policies of the Metropolitan

Transportation Plan/Sustainable Communities Strategy (MTP/SCS) and the Short-Range Transit Plans of transit operators.

Once the Board approves funding recommendations, staff will release the call for projects for the Discretionary share of the available funds, and will continue to work closely with transit operators to program the Earned Share funds in the Metropolitan Transportation Improvement Program (MTIP) by amendment.

Approval of the MTIP amendment will allow transit agencies to apply to the FTA to receive funding. Before the funding is ultimately awarded by the FTA, SACOG must provide a letter of concurrence to FTA which confirms that certain conditions have been satisfied, such as consistency between the project(s) in the grant application and the transit operator's short-range transit plan.

Approved by:

Mike McKeever  
Chief Executive Officer

MM:AZ:ds  
Attachments

Key Staff: Matt Carpenter, Director of Transportation Services  
Sharon Sprowls, Senior Program Specialist (916) 340-6235  
Azadeh Doherty, Senior Analyst, (916) 340-6221

**Attachment A**  
 Sacramento Urbanized Area FFY 2016 FTA Section 5307 Formula Funds Allocation  
 TCC Funding Recommendation

	FY2016	FY2017	Two-Year Programming
<b>FFY 2016 Section 5307 Apportionment</b>	<b>\$24,922,108</b>		
<b>FFY 2016 Section 5339 Apportionment</b>	<b>\$1,916,008</b>		
<b>Combined 5307/5339 Apportionment</b>	<b>\$26,838,116</b>		
<b>12% Discretionary Share</b>	<b>\$3,220,574</b>	<b>\$3,220,574</b>	<b>\$6,441,148</b>
<b>88% Earned Share</b>	<b>\$23,617,542</b>		
<b><u>Earned Share Allocation</u></b>			
<i>El Dorado Transit</i>	<i>\$308,771</i>		
<i>Elk Grove</i>	<i>\$1,140,079</i>		
<i>Folsom</i>	<i>\$324,322</i>		
<i>Lincoln (PCT)</i>	<i>\$168,032</i>		
<i>PCT</i>	<i>\$728,138</i>		
<i>Roseville</i>	<i>\$802,439</i>		
<i>SRTD &amp; PI</i>	<i>\$18,950,310</i>		
<i>YCTD</i>	<i>\$1,195,450</i>		
<b>Total</b>	<b>\$23,617,542</b>		



## FINAL SACOG DISCRETIONARY FTA TRANSIT PROGRAMMING APPLICATION

**\*All Applicants must demonstrate institutional capability to carry out the project(s) applied for here.\***

<b>A. Applicant Information:</b>			
Legal Name:			
Address:			
City/State/Zip:			
Contact Person:			
E-mail:			
Phone:		Fax:	
<b>B. Previous Sources of Funding:</b>			
<input type="checkbox"/> 5307 Recipient	<input type="checkbox"/> 5310 Recipient	<input type="checkbox"/> 5311 Recipient	<input type="checkbox"/> 5316 Recipient
<input type="checkbox"/> 5317 Recipient	<input type="checkbox"/> 5337 Recipient	<input type="checkbox"/> 5339 Recipient	
<b>C. Project Type:</b>			
<input type="checkbox"/> Capital (up to 80%)	<input type="checkbox"/> Operating* (up to 50%)	<input type="checkbox"/> Preventive Maintenance (up to 80%)	
<input type="checkbox"/> Mobility Management (Capital) (up to 80%)		<input type="checkbox"/> ADA (up to 90%) up to 10% of region's apportionment	
*If qualified for operating please find amount available for operating. Ref – MAP-21 Ch. 4 (4) Operating Assistance. Operating projects that specifically serve low-income and environmental justice populations giving direct access to jobs and training do not have peak period fleet restrictions on operating funding levels.			
<b>D. Program:</b>			
<input type="checkbox"/> 5307	<input type="checkbox"/> 5307 Transit Improvement	<input type="checkbox"/> 5339	
<b>E. Funding Request:</b>	<b>Year 1</b>	<b>Year 2</b>	<b>TOTAL</b>
5307 – Capital	\$	\$	\$
5307 – Operating	\$	\$	\$
5307 – Mobility Mgmt.	\$	\$	\$
5307 – Preventive Maintenance	\$	\$	\$
5307 – ADA Operating	\$	\$	\$
5307 – Transit Improvement	\$	\$	\$
5339 – Capital Purchase	\$	\$	\$
Total Match Funds	\$	\$	\$
Total Cost of Project(s):	\$	\$	\$

# Capital Worksheet

**PLEASE COPY AND USE ADDITIONAL PAGES FOR EACH YEAR'S PURCHASES (if applicable)**

Proposed Rolling Stock					
Vehicle Type	Number of Vehicles	Vehicle Size (overall length)	Fuel Type	Per Unit Cost Estimate	Total Cost Estimate

All CNG vehicles purchased must have the longest useful life fuel tank that is available for the specific vehicle type(s). If your agency does not currently operate alternative fuel (CNG, LNG, hybrid, electric etc.) vehicles you must justify the need for alternative fuel vehicles. Indicate whether your agency has the requisite fuel infrastructure and/or relationship with fueling stations in your agency service area.

**Other Capital Equipment**

Other eligible equipment examples include: wheelchair lifts and restraints; radios and communication equipment; initial component installation costs; computer hardware and software (scheduling and vehicle maintenance software); public transit facilities; transit related intelligent transportation systems (ITS); and the introduction of new technology through innovative and improved products into public transportation.

Equipment	Number	Unit Cost Est.	Total Cost Est.

## Project Criteria Narrative

Please address the statements and questions below in relation to your agency's/organization's project(s) (operating, capital/mobility mgmt., PM, ADA etc.). To receive the maximum allowable credit, each response will be reviewed and scored based on clarity, completeness and accuracy (Please see the SACOG FTA 5307/5339 Discretionary Project Evaluation Criteria for more information on scoring criteria.). Incomplete answers to applicable sections will affect your application score. Please limit your Project Criteria Narrative response (attach a separate Word or PDF document) to no more than 5 pages total for all sections below. There is no limit on supporting documentation. The narrative must address each of the following, if applicable:

### A. MTP/SCS Implementation (50 points)

- a) Describe how this project(s) assists the region in supporting the SACOG MTP/SCS transit related policies & strategies (a policies & strategies document is provided), specifically maintaining or restoring transit services and transit services that support the growth projected in the MTP/SCS economic and land use forecasts.
- b) Describe how this project(s) meets “state of good repair”, “fix it first” policies, and long-term asset management benefits under MAP-21.
- c) Describe how this project(s) is consistent with your agency/organization SRTP (if applicable), fleet/facilities plan, asset management plan or other agency/organization planning documents.

### B. Access/Continuity (30 points)

- a) Describe the specific operational/implementation or capital plan details for this project(s).
- b) Describe how this project(s) coordinates transit services improving access and mobility in the region.
- c) Specify how the project(s) addresses the gap(s) and/or barriers identified through your agency's/organization's internal analysis, the most recent Unmet Transit Needs process in the project area, and the Lifeline Transportation Study (<http://www.sacog.org/transit/lifelinetransitstudy.cfm>).
- d) Describe how this project(s) ensures access to “lifeline” and/or regional destinations (job centers, medical facilities, job training, educational facilities, regional shopping centers, regional transportation hubs etc.).
- e) Describe how this project(s) ensures access to transportation for transit dependent populations, particularly those groups identified in the President's Order for Environmental Justice and/or areas experiencing high levels of unemployment or chronic underemployment.

### C. Project Readiness/Financial Plan (15 points)

- a) Describe how this project(s) has long-term financial sustainability.
- b) Describe how this project(s) provides transportation services cost efficiently.

- c) When does the sponsor plan to obligate the requested regional funding?
- d) What are the amounts and sources of secured funding for the project?
- e) What are the amounts and sources of reasonably expected and unsecured funding for the project?
- f) Will the funds complete the project or a phase of the project?

Please supply a full financial budget and detailed project schedule/timeline with your application.

D. Other Considerations (5 points)

Note: Project sponsors will be responsible for the information provided in the application.

## **APPLICATION SUBMISSION INSTRUCTIONS**

All Application documents and associated attachments must be submitted to SACOG electronically at transit\_needs@sacog.org the no later than 4 PM, April 11, 2014. All Application documents submitted should be in their original format. Associated Application attachments may be in any common format (Text, Word, Excel etc.). No application or associated documentation will be accepted after the due date & time.

Though agencies may apply for one type of funding another type may be substituted as appropriate.



**Federal Fiscal Year 2016 5307/5339 Discretionary Application  
Signature Page**

**If selected for funding, the information contained in this application will become part of a subrecipient/recipient contract with the Federal Transit Administration.**

**To the best of my knowledge, all information contained in this application is true and correct.  
If awarded a grant with FTA, I agree that I will adhere to the program guidelines.**

\_\_\_\_\_  
*Signature of Authorized Official (Applicant)*

\_\_\_\_\_  
*Print Name*

\_\_\_\_\_  
*Title*

\_\_\_\_\_  
*Date*

\_\_\_\_\_  
*Signature of Authorized Official (Sub-Applicant)*

\_\_\_\_\_  
*Print Name*

\_\_\_\_\_  
*Title*

\_\_\_\_\_  
*Date*



## FINAL SACOG FTA 5307/5339 Discretionary Project Evaluation Criteria

### A. MTP/SCS Implementation = 50 Points

- Describe how this project(s) assists the region in supporting the SACOG MTP/SCS transit related policies & strategies (a list of policies & strategies is provided), specifically maintaining or restoring transit services and transit services that support the growth projected in the MTP/SCS economic and land use forecasts.
- Describe how this project(s) meets “state of good repair”, “fix it first” policies, and long-term asset (including transit vehicles, stations/stops and facilities) management benefits under Fast Act.
- Describe how this project(s) is consistent with your agency/organization SRTP (if applicable) and fleet/facilities plan, asset management plan or other agency/organization planning documents.

### Scoring

**High:** A high scoring project would demonstrate the following characteristics:

- The project(s) strongly supports multiple SACOG MTP/SCS transit related policies and strategies, primarily those related to maintaining and restoring transit services and support for the growth projected in the MTP/SCS economic and land use forecasts.
- The project(s) allows transit/transportation provider to maintain a “state of good repair”, and focuses on “fix it first”, and is consistent with your agency/organization long-term asset (including transit vehicles, stations/stops and facilities) management plan.
- Is fully consistent with your agency/organization SRTP (if applicable), fleet/facilities plan, asset management plan or other agency/organization planning documents, with the project(s) listed in the document or are supportive of specific recommendation(s);

**Medium:** A medium scoring project would demonstrate the following characteristics:

- The project(s) moderately supports the SACOG MTP/SCS transit related goals, primarily maintaining, restoring or extending transit services and support for the growth projected in the MTP/SCS economic and land use forecasts.
- The project(s) allows transit/transportation provider to maintain partial “state of good repair”, and with some focus on “fix it first”, and is partially consistent with your agency/organization long-term asset (including transit vehicles, stations/stops and facilities) management plan.
- Has a moderate level of consistency with your agency/organization SRTP (if applicable), fleet/facilities plan, asset management plan or other agency/organization planning documents, with a portion of the project(s) listed in the document and are partially supportive of specific recommendation(s);

**Low:** A low scoring project would demonstrate the following characteristics:

- The project(s) does not directly support SACOG MTP/SCS transit related goals.
- The project(s) does not allow the transit/transportation provider to maintain a “state of good repair”, nor focus on “fix it first”, and is not consistent with your agency/organization asset including transit vehicles, stations/stops and facilities) management plan.

- Has limited consistency with your agency/organization SRTP (if applicable), fleet/facilities plan, asset management plan or other agency/organization planning documents, with the project(s) not listed in the document and are not supportive of a specific recommendation;

**B. Access/Continuity = 30 Points**

- Describe the specific operational/implementation or capital plan details for this project(s).
- Describe how this project(s) coordinates transit services to improve access and mobility in the region.
- Specify how your project(s) addresses the gap(s) and/or barrier(s) identified through:
  - Your agency’s/organization’s internal analysis;
  - The most recent Unmet Transit Needs process;
  - The Lifeline Transportation Study  
(<http://www.sacog.org/transit/lifelinetransitstudy.cfm>)
- Describe how this project(s) ensures access to “lifeline” and/or regional destinations (job centers, medical facilities, job training, educational facilities, regional shopping centers, regional transportation hubs, etc.).
- Describe how this project(s) ensure access to transportation for transit dependent populations, particularly those groups identified in the President’s Order for Environmental Justice and/or areas experiencing high levels of unemployment or chronic underemployment.

**Scoring**

**High:** A high scoring project would demonstrate the following characteristics:

- Provides a clear and detailed operational/implementation plan for this project(s);
- Improves access to a large number of “lifeline” and regional destinations;
- Serves multiple user groups, including those without full-time access to cars, those identified in the President’s Order for Environmental Justice, and/or areas experiencing high levels of unemployment or chronic underemployment;
- Adjacent to dense residential and/or job, training or educational centers, or mixed-use areas that are likely to generate significant use of the project(s).

**Medium:** A medium scoring project would demonstrate the following characteristics:

- Provides a partial and somewhat detailed operational/implementation plan for this project(s);
- Improves access to some “lifeline” and regional destinations;
- Serves some user groups, including those without full-time access to cars, and some of those identified in the President’s Order for Environmental Justice, and/or portions of areas experiencing high levels of unemployment or chronic underemployment;
- Adjacent to residential and/or job, training or educational centers, or areas that are likely to generate use of the project(s).

**Low:** A low scoring project would demonstrate the following characteristics:

- Provides no operational/implementation plan for this project(s);
- Provides little or no access to “lifeline” and regional destinations;

- Serves few users, including those without full-time access to cars, those identified in the President’s Order for Environmental Justice, nor areas experiencing high levels of unemployment or chronic underemployment;
- Adjacent areas are low density/controlled access residential and/or job, training or educational centers, that will not generate much, if any, use of the project(s).

**C. Project Readiness/Financial Plan = 15 Points**

- Describe how this project(s) has long-term financial sustainability.
- Describe how this project(s) provides transportation services cost efficiently.
- When does the sponsor plan to obligate\* the requested regional funding?
- What are the amounts and sources of secured funding for the project?
- What are the amounts and sources of reasonably expected and unsecured funding for the project?
- Will the funds complete the project or a phase of the project? Note: Project sponsors will be responsible for the information provided in the application.

Project sponsors will be asked to supply a full financial budget and detailed project schedule in the application.

**Scoring**

**High:** A project will receive a high score if:

- Project(s) transportation services, maintenance, operations and fleet replacements needs, are financially sustainable in the long-term using existing funding sources.
- Project(s) transportation services are provided in the most cost efficient and effective manors possible.
- All other needed funding is fully secured for the phase requested to receive FTA competitive funds, and
- The requested funding will be sufficient to complete the project or phase of the project.

**Low:** A project will receive a low score if:

- Project(s) transportation services, maintenance, operations and fleet replacements needs, are not financially sustainable in the long-term using existing funding sources.
- Project(s) transportation services are not provided in the most cost efficient and effective manors possible.
- There is reason to doubt that all other needed funding will be fully secured for the phase requested by the estimated obligation date, and
- The requested funding will not be sufficient to complete a phase of the project.

**D. Other Considerations = 5 points**

Please describe any additional aspects of your project not requested in the evaluation criteria that could be relevant to the final project recommendation and decision-making process, particularly those relating to asset management (including transit vehicles, stations/stops and facilities) and the transit and performance goals of the SACOG MTP/SCS or Fast Act policies.

\*Obligate – in the above context refers to funds that are in an executed FTA grant.