



METROPOLITAN  
TRANSPORTATION  
COMMISSION

Joseph P. Bort MetroCenter  
101 Eighth Street  
Oakland, CA 94607-4700  
TEL 510.817.5700  
TTY/TDD 510.817.5769  
FAX 510.817.5848  
E-MAIL info@mtc.ca.gov  
WEB www.mtc.ca.gov

November 7, 2007

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Napa County and Cities

*Scott Haggerty, Vice Chair*  
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Deputy Executive Director, Operations

*Andrew B. Fremier*  
Deputy Executive Director,  
Bay Area Toll Authority

*Therese W. McMillan*  
Deputy Executive Director, Policy

Dear Prospective Applicant:

RE: Section 5311 Call for Projects

MTC is currently soliciting projects for FY 2007-08 through FY 2008-09 for the Federal Transit Administration (FTA) Nonurbanized Area Formula (Section 5311) program for the San Francisco Bay Area region. Eligible applicants include public agencies, non-profit agencies, and Indian tribes. These funds are available for capital and operating expenses for general public transportation services to nonurbanized areas, that is, any area outside designated urbanized areas. **All funding requests must be submitted no later than 5:00 pm on November 27, 2007.**

MTC annually develops a regional Program of Projects (POP) for submittal to Caltrans. Caltrans then submits a statewide POP to FTA for approval. The MTC regional POP is a multi-year program, and the current solicitation covers FY2007-08 through FY2008-09. Note that for FY2007-8, a POP has already been programmed previously; in this current solicitation MTC is seeking to program only the carryover funds available in the FY2007-08 program. For FY2008-2009, no prior program exists and MTC is seeking to develop a POP for this remaining year of the current federal transportation authorization period.

The estimated amount of Nonurbanized Area funds available for the MTC region during the two-year period is \$2,821,220 total, of which \$1,717,730 remains to be programmed. The estimated amounts are as follows:

	<u>FY 2007-08</u>	<u>FY 2008-09</u>
Estimated Apportionment	\$1,276,349	\$ 1,349,626
Prior Year Carryover	<u>\$ 195,245</u>	<u>\$ 0</u>
Total Funding Available	\$1,471,594	\$ 1,349,626
Committed Programming	<u>(\$1,103,490)</u>	<u>\$ 0</u>
<b>Available for Programming</b>	<b>\$ 368,104</b>	<b>\$ 1,349,626</b>

Applications should be completed for new projects or for projects that were partially programmed last year. One application must be completed for each project. A hard copy of the application is enclosed as Attachment A. An electronic application can be accessed on MTC's website:

<http://www.mtc.ca.gov/funding>

Attachment B is a copy of the adopted FY2005-06 through FY2007-08 program of projects. MTC staff will screen and evaluate all proposals received based on the Funding Objectives and Criteria guidelines contained in Attachment C.

Please submit all application materials to:

Anne Richman  
Metropolitan Transportation Commission  
Joseph P. Bort Metrocenter  
101 Eighth Street  
Oakland, CA 94607-4700  
arichman@mtc.ca.gov

Electronic submittals are acceptable as long as they are complete.

MTC will transmit the draft program to applicants for review prior to Commission action, which is anticipated on December 19, 2007. The final program will be amended into the TIP following the Commission action. Should the actual regional apportionments come in less than the amount estimated to be available, project sponsors will be notified and adjustments may be made in order to financially constrain the program.

Agencies may submit grant applications to Caltrans (for Section 5311 funding contracts), only after the regional program is adopted by the MTC Commission, amended into the TIP, and incorporated into the statewide POP. A grant application packet for funding may be requested through the Caltrans District 4 office. The Caltrans contact person for Section 5311 funds is Mercy Lam, who can be reached at (510) 286-5520, or via email: Mercy\_Lam@dot.ca.gov.

If you have any questions or comments regarding the FTA Section 5311 Nonurbanized Area Formula Program or the funding objectives and criteria, please contact Anne Richman at 510-817-5722 or arichman@mtc.ca.gov.

Sincerely,



Alix A. Bockelman  
Director, Programming and Allocations

**FTA Section 5311 Application  
Project Summary Page**

**Project Information**

<b>Project Title:</b>	<input style="width:100%;" type="text"/>		
<b>Brief Description:</b>	<small>(Indicate Replacement or Expansion project. Vehicle description should include number of vehicles, type, length, passenger capacity, service life, &amp; fuel type.)</small> <input style="width:100%; height: 40px;" type="text"/>		
<b>Sponsoring Agency:</b>	<input style="width:100%;" type="text"/>	<b>Project Type:</b>	<input style="width:100%;" type="text"/> Mass Transit - Buildings & Other ▲ <b>Mass Transit - Bus</b> Mass Transit - Other Mass Transit - Paratransit Mass Transit - Rail Port/Freight - Other Highway - Paving Highway - Other Widening Highway - Frontage Road ▼
<b>Partnering Agency:</b>	<input style="width:100%;" type="text"/>	<b>Air Basin:</b>	<input style="width:100%;" type="text"/> Bay Area ▲ Sacramento <b>North Coast</b> Multiple ▼
<b>County:</b>	<input style="width:100%;" type="text"/> Alameda ▲ Contra Costa Marin Napa San Francisco San Mateo Santa Clara Solano Sonoma Regional ▼	<b>Project Purpose:</b>	<input style="width:100%;" type="text"/> System Management ▲ <b>Maintenance/Rehab.</b> Expansion Transit Operations Safety Other ▼
	<b>TIP Project Type:</b>	<input style="width:100%;" type="text"/>	<b>Transit UZA:</b>
	Transit <b>Transit</b> ▲ State Hwy. Local roadway/Other ▼	<input style="width:100%;" type="text"/>	Vacaville ▲ <b>Multiple UZAs</b> Multiple ▼
<b>Complete the following for Transit Projects</b>			
FTA administered? <input type="checkbox"/> Yes <input type="checkbox"/> No			

**Contact Information**

<input style="width:100%;" type="text"/>	<input style="width:100%;" type="text"/>	
first name	last name	
<input style="width:30%;" type="text"/>	<input style="width:30%;" type="text"/>	<input style="width:40%;" type="text"/>
phone	fax	e-mail
address 1	<input style="width:100%;" type="text"/>	
address 2	<input style="width:100%;" type="text"/>	
<input style="width:50%;" type="text"/>	<input style="width:15%;" type="text"/>	<input style="width:35%;" type="text"/>
city	state	zip

**FTA Section 5311 Application  
Financial Information**

**Project Funding Request**

**MTC Funding Program:** Enter the amount needed in each program year.  
Use Federal fiscal years (October 1 - September 30).

**A. Section 5311 Federal Funds**

	<u>FY 07/08</u>	<u>FY 08/09</u>	<u>Total</u>
Basic Capital Requirements			\$ -
Operating Assistance			0
Preventive Maintenance			0
Capital Enhancements			0
Other (Specify)			0
<b>Total Sec 5311 Funds</b>	\$ -	\$ -	\$ -

**B. Local Match** (Minimum Match is 50% for Operatng Assistance, 20% for Capital)

	<u>FY 07/08</u>	<u>FY 08/09</u>	<u>Total</u>	<u>Match Source</u>	<u>Match Amount</u>
Basic Capital Requirements			\$ -		
Operating Assistance			0		
Preventive Maintenance			0		
Capital Enhancements			0		
Other (Specify)			0	All Sources	\$ -
<b>Total Match</b>	\$ -	\$ -	\$ -	#DIV/0!	Check %Match

**C. TOTAL PROJECT AMOUNT** (Calculated from A and B above)

	<u>FY 07/08</u>	<u>FY 08/09</u>	<u>Total</u>
Basic Capital Requirements	0	0	\$ -
Operating Assistance	0	0	0
Preventive Maintenance	0	0	0
Capital Enhancements	0	0	0
Other (Specify)	0	0	0
<b>Total Project</b>	\$ -	\$ -	\$ -

**Prior Programming**

Existing TIP ID Number:

<u>Source &amp; Programming Yr</u>	<u>Amount</u>
_____	_____
_____	_____
_____	_____
<b>Total Prior Programming</b>	\$ -
<b>Total Project Cost including this Request</b>	\$ -

**FTA Section 5311 Application  
Costs and Screening**

<b>Operating and PM Costs Eligible for 5311 Funding</b>		
<b>OPERATING:</b>	<b>FY 2007-08</b>	<b>FY 2008-09</b>
Project Operating Expenses		
Less: Fare Box & Other Revenue		
<b>Net Project Cost</b>		
Local Share (50% minimum)		
<b>Operating Funds Requested:</b>		
<b>PREVENTIVE MAINTENANCE:</b>		
	<b>FY 2007-08</b>	<b>FY 2008-09</b>
Preventive Maintenance Expense		
Local Share (20% minimum)		
<b>Preventive Maintenance Funds Requested:</b>		

**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).

SRTP Reference: FY  SRTP Page:

RTP Reference: FY  RTP Page:  RTP Number:

	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:

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

**Federal Transit Administration**  
**Section 5311 Nonurbanized Area Formula Program**  
**Project Proposals - FY 2005-06 to FY 2007-08**

**FY 2005-06 Funding Available:**

Apportionments (Act.)	1,307,081
Prior Year Carryover:	<u>161,195</u>
Total Funding Avail.	1,468,276

**FY 2005-06 Programming:**

<u>Applicant</u>	<u>Project Description</u>	<u>Project Type</u>	<u>Sect. 5311 Program</u>	<u>Sect. 5311 Request</u>	<u>Total Project Including Match</u>
Dixon	Replacement Vehicle	Cap	60,000	60,000	75,000
Napa	Up Valley Commun. System	Cap	20,000	20,000	25,000
Rio Vista	10 Bus Shelters <sup>(1)</sup>	Cap	0	0	0
Sonoma County	Replacement Vehicles	Cap	115,200	115,200	144,000
Sonoma County	Surveillance equipment	Cap	83,000	83,000	119,000
VTA	Preventive Maintenance	Cap	150,000	150,000	762,160
Marin County	W. Marin Stagecoach Svc <sup>(2)</sup>	Oper	37,722	37,722	226,422
Marin County	Route 63, Wkend/Seas. Oper	Oper	42,940	42,940	98,991
Rio Vista	Operating Assistance <sup>(1)</sup>	Oper	130,000	130,000	220,000
SamTrans/Coastside	Operating Assistance	Oper	132,455	132,455	264,910
Sonoma County	Operating Assistance	Oper	129,000	129,000	613,672
Vallejo	Operating Assistance <sup>(4)</sup>	Oper	<u>199,288</u>	<u>199,288</u>	<u>683,153</u>
Total Programming			1,099,605	1,099,605	3,232,308
Total Available			<u>1,468,276</u>		
Available for Carryover			368,671		

**FY 2006-07 Funding Available:**

Apportionments (Est.)	1,179,369
Prior Year Carryover:	<u>368,671</u>
Total Funding Avail.	1,548,040

**FY 2006-07 Programming:**

<u>Applicant</u>	<u>Description</u>	<u>Project Type</u>	<u>Sect. 5311 Program</u>	<u>Sect. 5311 Request</u>	<u>Total Project Including Match</u>
Rio Vista	10 Bus Shelters <sup>(1)</sup>	Cap	0	0	0
Sonoma County	Replacement Vehicles	Cap	240,000	240,000	312,000
VTA	Preventive Maintenance	Cap	155,250	155,250	773,633
Sonoma County	Replacement Vehicles <sup>(3)</sup>	Cap	123,600	123,600	156,000
Marin County	Expand W. Marin Stagecoach	Oper	332,379	332,379	704,758
Rio Vista	Operating Assistance <sup>(1)</sup>	Oper	75,000	75,000	167,500
SamTrans/Coastside	Operating Assistance	Oper	131,350	131,350	262,700
Sonoma County	Operating Assistance	Oper	132,870	132,870	632,083
Vallejo	Operating Assistance	Oper	<u>162,346</u>	<u>162,346</u>	<u>390,606</u>
Total Programming			1,352,795	1,352,795	3,399,280
Total Available:			<u>1,548,040</u>		
Available for Carryover			195,245		

**FY 2007-08 Funding Available:**

Apportionments (Est.)	1,276,349
Prior Year Carryover:	<u>195,245</u>
<b>Total Funding Avail.</b>	<b>1,471,594</b>

**FY 2007-08 Programming:**

<u>Applicant</u>	<u>Description</u>	<u>Project Type</u>	<u>Sect. 5311 Program</u>	<u>Sect. 5311 Request</u>	<u>Total Project Including Match</u>
Rio Vista	10 Bus Shelters <sup>(1)</sup>	Cap	0	0	0
VTA	Preventive Maintenance	Cap	159,908	159,908	796,842
Marin County	Expand W. Marin Stagecoach	Oper	335,583	335,583	718,933
Napa	Up Valley - Transit Operations	Oper	81,000	81,000	162,000
Rio Vista	Operating Assistance <sup>(1)</sup>	Oper	65,000	65,000	167,500
SamTrans/Coastside	Operating Assistance	Oper	138,650	138,650	277,300
Sonoma County	Operating Assistance	Oper	136,856	136,856	651,045
Vallejo	Operating Assistance <sup>(3)</sup>	Oper	<u>186,493</u>	<u>186,493</u>	<u>414,753</u>
Total Programming			1,103,490	1,103,490	3,188,373
Total Available:			<u>1,471,594</u>		
Available for Carryover			368,104		

**FY 2008-09 Funding Available:**

Apportionments (Est.)	1,349,626
Prior Year Carryover:	<u>368,104</u>
<b>Total Funding Avail.</b>	<b>1,717,730</b>

**NOTES:**

- (1) Rio Vista will use \$60,000 in funds previously programmed for Bus Shelters for Operating Expenditures.
- (2) Marin County Stagecoach Operating Expenses reduced to reflect only 3 months of FY 2005-06 expenses. Further funding will be reported with Expanded W. Marin Stagecoach project.
- (3) Vallejo's operating expenses for FY 2007-08 increase to the full amount of their previous request now that sufficient funds are available.
- (4) Vallejo will use \$60,000 previously programmed to vehicle replacment for operating in FY05-06.
- (5) Sonoma County FY07-08 Vehicle Replacment capital project (\$123,600) is advanced to FY06-07.

## Attachment C

### Funding Objectives and Criteria for the FTA Section 5311 Program of Projects 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 project review criteria and process. These principles are consistent with our current policies for other funding programs (e.g., the Capital Priorities process for Section 5307 and 5309 funds). The funding principals for the Section 5311 program are as follows:

1. *Maintain existing needed transit services:* Dedicates capital and operating funds for essential projects and programs in an effort to maintain needed existing transit services.
2. *Provide and maintain a flexible program:* Assures that the program of projects continues to be developed through a cooperative, consensus building process between MTC and the Section 5311 applicants. Also assures that the program goals and criteria are reviewed each year and revised if necessary.
3. *Continue efforts to decrease an operator's dependence on Section 5311 funds for transit operations:* Given that Section 5311 funds are largely an unstable fund source, continued reliance on Section 5311 funds year after year for operating assistance may force an operator's service levels to drastically fluctuate. Therefore, we will require that applicants requesting Section 5311 funds for operating purposes actively seek other fund sources and document their efforts. MTC will make efforts to assist these applicants to find alternative fund sources to support their transit operations.
4. *Maintain a multi-year program of projects:* In order to foster planning it is important that we continue to program projects on a multi-year basis, within the constraints of available federal funding programs and subject to changes within those programs.
5. *Maintain Timely Use of Funds Policy:* The Caltrans policy requires that all FTA Section 5311 funds be obligated within 2 years of programming or the funds will be lost to the region. In order to avoid lost funds to the region, MTC will confirm project readiness with sponsors at 12 months and 18 months of programming, and reprogram funds before they are lost to the region.

## II. Project Evaluation Criteria

### A. Project Screening Criteria

The project screening criteria are intended to eliminate projects that do not meet minimum program standards. Each project proposed for the Section 5311 program of projects will be initially screened based on 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. *Availability of alternative fund sources to fund the proposed project(s).* Given that it is our policy to encourage operators to maximize federal funds, an operator that has alternative fund sources for a project would not necessarily be excluded from being part of the Section 5311 program of projects. An operator that has an available alternate fund source may be asked to use its other fund source(s) to overmatch the proposed project if Section 5311 funds are limited.

On the regional level we will develop a program of projects that maximizes our regional apportionment of Section 5311 funding and the Section 5311 state discretionary reserve funding.

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 could be jeopardized.

### B. Project Funding Criteria - Priorities

For projects that pass the screening criteria, the project funding criteria will be used to determine the relative need and funding priority of those projects. The proposed funding criteria, in priority order, are as follows:

*Priority #1 - Basic Capital Requirements*

Transit capital projects, which are essential to sustain and replace or rehabilitate the existing transit system (e.g., vehicle replacement, equipment and facility replacement).

*Priority #2 - Operating Assistance for Existing Transit Services*

Eligible operating assistance (50% of net operating costs) for existing transit services. For operators requesting operating assistance for more than one year, the increase in the Section 5311 subsidy will be limited to the past year's cost plus an inflation adjustment. In addition, agencies applying for Section 5311 operating assistance must document all current and proposed efforts to find alternative fund sources.

*Priority #3 - Preventive Maintenance*

Preventive maintenance (80% of preventive maintenance expense) for existing transit services in the nonurbanized service area. For operators requesting preventive maintenance (PM) for more than one year, the increase in the Section 5311 subsidy will be limited to the past year's cost plus an inflation adjustment. Applicants will be required to document PM costs associated with the nonurbanized service area.

*Priority #4 - Capital and Operating Assistance for Service Expansions*

Transit capital and/or operating assistance to provide service expansions where an identified and definite need exists. As part of our programming process, agencies which request capital and operating assistance for service expansions must document the need for expanded services (if an applicant prepares a SRTP, the justification for any expanded services should be included in the plan).

*Priority #5 - "Service Enhancement" Transit Capital Items*

Service enhancement transit capital items increase the quality of existing transit services (e.g., bus shelters, transfer facilities, bicycle facilities, etc.). Many of the capital projects of this type should be directed toward competing for state discretionary funds, when and where necessary.

It may happen that two or more projects will rank evenly on this criterion, but there will not be adequate funding for all of the projects. These issues can be resolved through negotiations with the applicants in the consensus building process. In these instances MTC and the applicants should take into account additional project-specific information, which includes project readiness, geographic equity, number of years a project has been proposed, amount of matching funds to be applied toward the project, and prior funding if the project is a multi-year project.

### III. Fund Program and Project Review Process

In general, the process for developing the Section 5311 program of projects will remain unchanged. The steps in developing the region's Section 5311 program of projects for each program year are outlined as follows.

- MTC receives estimate of available Section 5311 funding for the program year from Caltrans.
- MTC notifies all potential Section 5311 applicants of the amount of Section 5311 funds available and requests that projects be proposed (in project justification sheets) for the program of projects.

If a project competes for regional apportionment or state discretionary reserve funds, but is not funded, it may compete in the next year's regional or discretionary fund programs.

- MTC notifies the Minority Citizens Advisory Committee of the Call for Projects.
- For each proposed project, applicants complete and submit a Section 5311 Project Justification Sheet to MTC. If there are any 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.
- MTC staff reviews proposed projects and develops a preliminary list and priority ranking of projects based on established criteria. MTC staff will confer with applicants to develop the multi-year program of projects.
- The program of projects is presented to and considered by MTC's Programming and Allocations Committee.
- The program of projects is presented to and considered by MTC's full Commission and upon approval is forwarded to Caltrans.

**FTA Nonurbanized Area Formula Funds  
(Section 5311)  
Program Process and Timeline  
FY 2007-08 through FY2008-09 Call for Projects**

<b>Item</b>	<b><u>Deadline or est. date</u></b>
MTC sends Call for Projects memo to potential applicants	Nov 8
Deadline for applicant proposals (Fax/mail/or emails due by 5:00 p.m.)	<b><u>Nov. 27</u></b>
MTC screens and evaluates proposals, drafts Program of Projects (POP)	Nov. 28- Dec 5
MTC distributes proposed POP to applicants	Dec. 5
PAC adopts Program of Projects	Dec. 12
Commission approves report and resolution adopting POP	<b><u>Dec. 19</u></b>
Adopted POP is submitted to Caltrans	<b><u>Dec. 31</u></b>
Adopted POP is amended into the MTC TIP	March/April 2008
Caltrans incorporates MTC regional POP into the statewide POP and forwards to FTA	April