

Appendix C: Revised 5311(f) Scoring Criteria

The Federal Transit Administration's (FTA) Section 5311 program provides supplemental funding for public transit service in non-urbanized areas with populations of fewer than 50,000 residents.¹ The FTA apportions formula funds to each state on an annual basis. The California Department of Transportation (Caltrans) Division of Rail and Mass Transportation (DRMT) is the designated grantee of the Section 5311 funds for California. The annual 5311 funds are dispersed among regional apportionments, state administrative expenses, and the intercity bus program.

The intercity bus program, which is also known as the FTA Section 5311(f) program, receives 15% of all Section 5311-program formula funding. Section 5311(f) funding assists in the provision of an intercity bus transportation system. It does this by supporting connection between non-urbanized areas and larger regional/national/international intercity bus, rail, and air service networks. The program is also designed to support services that meet the intercity travel needs of residents in non-urbanized areas, such as access to medical facilities, shopping, and entertainment centers. Additionally, Section 5311(f) funding supports the infrastructure of the intercity bus network through planning and marketing assistance and capital investment in facilities.

Eligible Applicants

Public governmental authorities, tribal governments, nonprofit organizations, or operators of public transportation or intercity bus services.

Project Eligibility for Funding (See Annex A for further details)

According to FTA Circular [C 9040.1G](#); operating expenses, administrative costs, and capital projects/equipment for rural intercity bus service are eligible for Section 5311(f) grant funding. *However, funding reductions necessitate that eligible projects are focused towards operating assistance for continuation of service, new service, and/or expansion of service. Only if funds remain after funding all eligible applicants for these categories of operating assistance will other eligible projects be evaluated (See Section on Available Funding for further details).*

In addition, all projects/services must meet Caltrans' definition of eligible intercity bus service. These include that the service/project:

- is for regularly scheduled bus service, available to the general public, operating on fixed-routes to more distant points.
- connects two or more urban areas not in close proximity.

¹ The 5311 program is supported through the FTA 5311 formula funding authorized by 49 United States Code (U.S.C) Section 5311.

- includes capacity for transporting baggage.
- provides meaningful connections and reasonable lay-over times.

Additional Information

This project will be administered in compliance with all nondiscrimination requirements and all recipients must ensure compliance with civil rights requirements, including:

- Title VI of the Civil Rights Act of 1964
- Americans with Disabilities Act of 1990
- Disadvantaged Business Enterprise program
- Equal Employment Opportunity program

Available Funding

	FY2019
<i>Operating Assistance (OA)</i>	<i>\$4,100,000</i>
OA- Continuation of service	
OA- New Service	
OA- Expansion of Service	
OA- Route maps/schedules	N/A
OA- Information delivery	N/A
OA- Website development	N/A
OA- Advertising	N/A
<i>Capital Assistance (CA)</i>	<i>N/A</i>
CA- Vehicle and bus equipment purchases	N/A
CA- Transit infrastructure projects	N/A
CA- Planning & marketing study projects	N/A
N/A = No available funding anticipated in FY2019	

Note: Funding availability is approximate and subject to change.

While not anticipated, if more than \$4.1 million in funding is available, other projects/services will be eligible based on these identified priorities:²

- 1) Up to \$4.1 million – Operating Assistance (Continuation of Service, New Service, Expansion of Service).
- 2) \$4.1 million - \$5.1 million – Operating Assistance (1) + Capital Assistance (Vehicle/bus equipment purchases).
- 3) \$5.1 million - \$6.1 million – Operating Assistance (1) + Capital Assistance (2) + Capital Assistance (transit infrastructure projects).
- 4) Amounts over \$6.1 million are available for all categories of eligible projects.

² Currently, only \$4.1 is available for projects which are identified under priority (1). However, if the FTA makes more funds available in the future, projects listed under priorities (2)- (4) would be considered.

Evaluation Criteria (See Annex B for further details)

Projects will be evaluated according to the following criteria:		Points
1	Continuation or expansion of an existing intercity bus project/service.	5
2	Extent the project/service effectively addresses a demonstrated community need.	20
3	Experience and/or expertise providing efficient transportation services, as well as managing public transportation funding.	20
4	Fiscal and administrative capacity as well as budget to undertake the project/service.	20
5	Coordination and integration with the service area’s transportation system.	15
6	Existing support for the project, financial and otherwise, on the part of citizens and local government has been submitted. If new, supporting documents must be provided.	10
7	The applicant demonstrates effort to support transit policies.	10
Total Points Possible		100

Annex A: Project Eligibility Guide

- I. Federal eligibility criteria for project/service to receive Section 5311(f) funding (See [FTA C9040.1G](#)):
 - 1) Demonstrates meaningful connection to the national network of intercity bus service wherever feasible.
 - 2) Demonstrates eligible service and service area:
 - a. Package express service may be included, if it is incidental to passenger transportation.
 - b. Not a commuter service (service designed primarily to provide daily work trips within the local commuting area).
 - c. Service that provides extensive circulation within a region is not considered an intercity service.
 - d. Service that only incidentally stops at an intercity bus facility among other destinations within the city at either end of a route that covers a long distance is not an intercity feeder service, but is eligible for regular Section 5311 funding.
 - 3) Eligible activities:
 - a. Planning and marketing for intercity bus transportation
 - b. Capital grants for intercity bus shelters, joint-use stops and depots
 - c. Operating grants through purchase-of-service agreements
 - d. User-side subsidies
 - e. Demonstration projects
 - f. Coordination of rural connections between small public transportation operations and intercity bus carriers.
 - g. Other capital and operating projects for the support of rural intercity bus service (E.g. the state may provide operating assistance to a public or private nonprofit organization for the direct operation of intercity service after appropriate consideration of participation by private for-profit service providers.)

- h. Capital assistance may be provided to purchase vehicles or vehicle-related equipment such as wheelchair lifts for use in intercity service
 - i. Charter and tour services are not eligible for FTA assistance
 - j. FTA funds can be used for all aspects of intercity bus and rail facilities in facilities (such as intermodal terminals) that meet the criteria in Section 5302(3)(G) for joint development projects. (For further details see guidance for joint development projects in the *Federal Register* of February 7, 2007 (72 FR 5788).
 - k. A feeder service which makes meaningful connections with scheduled intercity bus service to more distant points is eligible for 5311(f) if it facilitates “coordination of rural connections between small transit operations and intercity bus carriers.”
 - i. Such feeder service is not required to have the same characteristics as the intercity service with which it connects. (E.g. Feeder service may be demand-responsive, while intercity service is by definition fixed route).
 - ii. Eligible feeder service costs include marketing and extended hours of service in order to connect with scheduled intercity service.
 - iii. Where feasible, intercity bus feeder service may also provide access to intercity connections with rail or air service.
 - iv. Section 5311(f) funds may be used for expenses incurred by a public transit operator as a result of Federal Motor Carrier Safety Administration (FMCSA) requirements triggered by the provision of intercity feeder services.
 - l. Capital projects in urbanized areas are eligible for use of Section 5311(f) funds, but they are limited to those aspects of the project that can be identified as directly benefiting and supporting service to and from rural areas.
- II. Caltrans Division of Rail and Mass Transportation (DRMT) definition of intercity bus service, which is required for funding eligibility
- a. The service/project is for regularly scheduled bus service, available to the general public, operating on fixed-routes to more distant points (approximately fifty-miles, 50, or more).
 - b. Connecting two or more urban areas not in close proximity – Close proximity is defined as communities located not greater than 15 miles apart of each other.
 - c. Capacity for transporting baggage – An area within the bus (i.e. racks above the seating area, or as designated in an outer compartment) where luggage can be carried safely.
 - d. Provides meaningful connections and reasonable lay-over times – A meaningful connection is that which does one, or both, of the following:
 - i. Allows connectivity at a designated physical location serviced by either intercity bus, rail, and/or air service carriers, either directly, or on the street immediately adjacent to the facility, allowing transfers for both outbound

and inbound passengers within a two-hour time frame upon either side of the rural service schedule (four hours total).

- ii. Facilitates connectivity to key rural regional services that meet intercity travel needs, such as access to medical facilities, shopping, and entertainment centers.

III. All recipients must be compliant with civil rights requirements, including:

- a. [Title VI of the Civil Rights Act of 1964](#)³
- b. [Americans with Disabilities Act of 1990](#)⁴
- c. [Disadvantaged Business Enterprise program](#)⁵
- d. [Equal Employment Opportunity programs](#)⁶

Annex B: Funding Evaluation Criteria Guide

I. Criteria 1 (5 points): The project/service continues or expands an existing intercity bus project/service.

- All 5 points for Criteria 1 will be awarded to existing or expanding rural intercity projects/services.
- Evidence of an existing project/service include:
 - Previous financial year recipients of 5311(f) funding from Caltrans DRMT.
 - Performance, or other verifiable data of the project/service's operation/existence in the previous financial year can be provided if 5311(f) funding was not received. However, the applicant must also include evidence that the project/service met the definition of eligible intercity bus service (See: Annex A).

II. Criteria 2 (20 points): The project/service addresses a demonstrated community need.

- The number of points awarded for Criteria 2 will range from 1 to 20 and are based on the extent of evidence showing the project/service addresses an intercity community need.
- Examples of such evidence include:
 - A project/service evaluation of need (survey, community outreach, or stakeholder feedback).
 - A need identified in an unmet needs process.
 - Identification in a Caltrans transit plan, including but not limited to the 2018 Statewide Rural Intercity Bus Study.
 - Transit dependent population statistics.

³ <https://www.transit.dot.gov/title6>

⁴ <https://www.transit.dot.gov/regulations-and-guidance/civil-rights-ada/americans-disabilities-act>

⁵ <https://www.transit.dot.gov/dbe>

⁶ <https://www.transit.dot.gov/eeo>

- A project/service feasibility study.

III. Criteria 3 (20 points): Experience and/or expertise providing efficient transportation services as well as managing public transportation funding.

- The number of points awarded for Criteria 3 will range from 1 to 20 and are based on the extent of evidence showing the applicant has experience and/or expertise in providing efficient transportation projects/services as well as managing public transportation funding to undertake the project/service.
- Examples of such evidence include:
 - Number of years of experience in providing transportation service/projects.
 - Descriptions of relevant transportation service/project experience.
 - Evidence of, or plan to acquire, adequate liability insurance levels.
 - Description of transit grant administration experience, including:
 - Type(s) of grant funds.
 - Amount(s) awarded.
 - Agency completing and/or meeting intended outcome(s) of grant.
 - Type(s) of reporting requirements.
 - Capacity to provide service up-front and be reimbursed on a quarterly, semi-annual, or annual basis.

IV. Criteria 4 (20 points): Fiscal and administrative capacity as well as budget to undertake the project/service.

- The number of points awarded for Criteria 4 will range from 1 to 20 and are based on the extent of evidence showing the applicant has the fiscal and administrative capacity as well as budget to undertake the project/service.
- Examples of such evidence include:
 - A project/service financial feasibility study.
 - A project/service business plan.
 - Financial benefit-cost analysis.
 - A federal single audit and/or annual fiscal audit for the previous fiscal year (if applicable).
 - Recent audited financial statements.
 - A marketing plan if applying for new or expanding project/service.
 - If a new or expanding project/service, capital and/or O&M costs to construct and/or operate project are identified.
 - If existing project/service, capital and/or O&M costs to construct and/or operate project are reported.
 - If an existing project/service, reported key performance measures or if it is a new or expanding project/service, estimated key performance measures.Examples include:

- Farebox recovery ratio
- Load factor
- Net cost per passenger
- A budget for the project/service, showing funds for the next fiscal year.

V. Criteria 5 (15 points): Coordination and integration with the service area's transportation system.

- The number of points awarded for Criteria 5 will range from 1 to 15 and are based on the extent of evidence showing the applicant has undertaken to coordinate the proposed project/service with other public, nonprofit, and for-profit transportation providers and agencies in the service area.
- Examples of such evidence include:
 - The project/service's connectivity to a national or inter-regional intercity bus station or intermodal terminal at the primary destination.
 - The project/service's connectivity to a national or inter-regional intercity bus service such as Greyhound and/or the Amtrak Thruway service.
 - The project/service's connectivity to a designated stop on a public street immediately adjacent to an intercity station or intermodal terminal.
 - The project/service's connectivity to other key rural regional services/locations (i.e. medical facilities, educational centers, shopping centers).
 - Outreach and marketing efforts that will/have enhanced coordination, ridership, mobility, quality and/or efficiency of project/service.
 - If it is a new project/service, identified gaps it fills in the intercity bus network.
 - Letters of support from other transportation providers in the service area.
 - Description of efforts to coordinate with existing/planned transportation projects/services. (Including out-of-state actors if appropriate).

VI. Criteria 6 (10 points): Support for the project, financial and otherwise, on the part of citizens and local government.

- The number of points awarded for Criteria 6 will range from 1 to 10 and are based on the extent of evidence showing support for the project/service, financial and otherwise, on the part of citizens and local government.
- Examples of such evidence include:
 - Description of efforts to seek funding and/or secured funding resources from other local, state, and federal sources. (Including out-of-state actors if appropriate).
 - Description of project/service involvement and/or support by other local,

state, and federal agencies and other stakeholders in the service area.
(Including out-of-state actors if appropriate).

- Letters of support from local elected officials, local government agencies, stakeholder groups, and citizens in the service area.

VII. Criteria 7 (10 points): The applicant demonstrates alignment & support transit policies.

- The number of points awarded for Criteria 7 will range from 1 to 10 and are based on the extent of evidence showing the project/service's alignment with local, state and federal transit and transportation plans.
- Examples of such evidence include:
 - Description of its support to the objectives of the 5311(f) program, which may include:
 - Connection with inter-regional or national system of intercity bus, rail, and air service.
 - Connection with key rural regional services/locations.
 - Contribution to the intercity bus/rail/air network infrastructure.
 - The project/service's inclusion in local coordinated plan(s).
 - The project/service's identification in an unmet need process(es).
 - The project/service's inclusion in local short-range transit plan(s).
 - The project/service's inclusion in local regional transit plan(s).
 - Description of the project/service's alignment with Caltrans transit and transportation plans, including but not limited to:
 - The Statewide Rural Intercity Bus Study
 - The State Rail Plan
 - The California Transportation Plan (CTP)