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## **General Information**

This document contains instructions for completing the claim forms used to request an allocation from the following sources of funds:

- TDA Articles 4, 4.5 and 8
- STA Population and Revenue-based Funds
- AB 1107
- Feeder Bus
- Regional Measure 2 (RM2) Operating

TDA Article 3 instructions are available for download from: <http://www.mtc.ca.gov/our-work/fund-invest/investment-strategies-commitments/transit-21st-century/funding-sales-tax-and-0>

The TDA/STA claim form is a series of documents partially created through Excel spreadsheet and partially created by the claimant. Each Excel workbook is comprised of various tabs. The tabs in the Excel workbook provide most of the documents; the claimant produces other documents.

A single claim may be filed requesting TDA, STA, Feeder Bus, AB 1107 and RM2 funds. A single set of documents A, B and C will satisfy applications for any combination of TDA Articles or fund sources, if each fund source is clearly identified in these documents. The instructions for each document identifies which document must be completed and submitted depending upon the TDA Article(s) under which the claimant is claiming funds. Contact the TDA Program Manager if you have questions about which documents you need to include with your claim.

Operators subject to FTA National Transit Database (NTD) reporting requirements must provide MTC with a copy of their most recent NTD Report. Please submit draft NTD report for two years in arrears by July 31, 2019 (i.e. submit NTD report for FY 2017-18).

**State Controller's Report and Fiscal Audit:** All transit operators must provide MTC with a copy of their most recent State Controller's Report. All claimants must provide MTC with a copy of their most recent fiscal audit. If these documents have already been submitted, there is no need to send them again. Please submit audits and State Controller's Reports to:

Metropolitan Transportation Commission  
TDA Audits, Finance Section  
Bay Area Metro Center  
375 Beale Street, Suite 800  
San Francisco, CA 94105

Please also send a pdf copy to Cheryl Chi at [cchi@bayareametro.gov](mailto:cchi@bayareametro.gov).

The minimum lead-time required to process a claim is thirty days although sixty days is more typical. Claimants desiring a June allocation for expenses to occur starting in July must have

**MTC Fund Application Manual**  
**Application Introduction**

*Article 4 Applications*  
*Article 4.5 Applications*  
*Article 8 Transit Applications*  
*RM2 Applications*

submitted a complete and accurate claim to MTC staff no later than May 1st. This thirty-day lead-time also applies to each subsequent month; however, MTC does not typically allocate funds in August. The latest a request for funding may be submitted is about 90 days prior to the fiscal year closing, aka April 1 for the fiscal year ending that June.

MTC's TDA/STA application-related pages are located at: <http://mtc.ca.gov/our-work/fund-invest/funding-sales-tax-and-gas-tax/tda-and-sta/allocation-requests-and-audits>

The following application-related documents are available on MTC's web site:

- The current MTC Fund Estimate
- The TDA Fund Manual
- The current TDA Claim Forms
- Article 3 application information

Submit one signed pdf copy of your full claim application plus the completed Excel workbook by email to Cheryl Chi, TDA Program Manager at [cchi@bayareametro.gov](mailto:cchi@bayareametro.gov).

Cheryl Chi's contact information is as follows:

Metropolitan Transportation Commission  
Bay Area Metro Center  
375 Beale Street, Suite 800  
San Francisco, CA 94105

phone 415-778-5339

email [cchi@bayareametro.gov](mailto:cchi@bayareametro.gov)

## **Summary of Claim Documents**

**Note:** The documents below with “Spreadsheet” listed parenthetically in the title line are produced through the claim Excel workbook which contain a spreadsheet with the corresponding name of the Document. Documents with “Claimant” listed parenthetically in the title must be produced separately by the claimant.

### **Checklist 4, Checklist 4.5, Checklist 8 (Spreadsheet)**

Though they are to the left of the A(a) tab (the tab document you must complete first), the Checklist tabs (4, 4.5, and 8) are intended to be completed after all of the claim documents have been compiled and completed. The Checklists are a way of confirming for yourself that your claim is complete before you submit it to MTC.

### **Document A(a) - Claimant Information (Spreadsheet)**

Document A(a) provides contact information about the claimant, and specifies what modes are operated and the names of the various modes.

### **Document A(b) - Claim Summary (Spreadsheet)**

Document A(b) Claim Summary summarizes the kinds of TDA, STA, AB 1107, Bridge Toll, and Feeder Bus funds that are requested, the claim purpose, the PUC number, the amount and the apportionment area from which the funds are being claimed. These amounts are summarized from information provided on tab F(a) of the spreadsheet, thus requiring no direct input.

### **Document A(c) Revenue Detail (Spreadsheet)**

Document A(c) Revenue Detail is used to specify the exact type of funds being claimed. These funds are then automatically linked to Document F(a), Document F(c), and Document A(b). Because this document only provides information to other worksheets, it does not need to be included in the printed and signed claim.

### **Document B - Authorizing Resolution (Claimant)**

Claimants are required to produce and submit an authorizing resolution.

### **Document C - Opinion of Counsel (Claimant)**

Each claimant must produce and submit an Opinion of Counsel.

### **Document D - Environmental Documentation (Claimant)**

All claimants are required to submit an environmental assessment for each project in their annual application.

### **Document E - Description of Claimant and Transit System (Claimant)**

Each claimant must provide a description of the claimant and transit system. It is anticipated that much of the system and claimant description are included in Short Range Transit Plans that may be substituted in lieu Document E.

**Document F(a) - Operating Expenses and Revenues (Spreadsheet)**

Document F(a) is the essential financial reporting tab for operating expenses and revenues. It contains the cells within which operating expenses and revenues may be entered by transit mode. It summarizes these mode level entries to the system level. It also provides the cells for entering revenue requests for the TDA, STA, and AB 1107 revenues listed on Document A(c), the Revenue Detail tab. The specific revenues being requested are automatically linked to Document A(b), the Claim Summary.

**Document F(b) - Operating Data (Spreadsheet)**

Document F(b) is the essential operating statistics reporting tab. It contains the cells within which operating statistics may be entered by transit mode.

**Document F(c) - Capital Allocation Requests (Spreadsheet)**

Document F(c) is the essential financial reporting tab for capital project expenses and revenues. It contains the cells within which capital project expenses and revenues may be entered by transit mode. It summarizes these mode level entries to the system level. It also provides the cells for entering capital revenue requests for the TDA, STA, AB 1107, and Bridge Toll revenues listed on Document A(c), the Revenue Detail tab. The specific revenues being requested are automatically linked to Document A(b), the Claim Summary. This document does not need to be completed if capital funding is not requested.

**Document G(a) - Productivity Improvement Program (PIP) Project Report (Spreadsheet)**

Document G(a) is used to report progress in implementing the claimant's projects in the Productivity Improvement Program. A progress report must be filed through project completion.

**Document G(b) - Productivity Improvement Program Development (Spreadsheet)**

Document G(b) is used to identify new projects for the Productivity Improvement Program. Document G(a) is used to report progress on existing projects in the Productivity Improvement Program.

**Document H(a) - Maximum Allocation Worksheet - Article 4 (Spreadsheet)**

Document H(a) is the Maximum Allocation worksheet and used to calculate Farebox Recovery Ratio and Farebox Plus Local Support Recovery Ratio for Article 4 claimants.

**Document H(b) - Maximum Allocation Worksheet - Article 4.5 or 8 (Spreadsheet)**

Document H(b) is the Maximum Allocation Worksheet for calculating Farebox Plus Local Match Recovery Ratio for Article 4.5 and 8 claimants.

**Document H(c) - Maximum Allocation Worksheet - 50% Expenditure Limitation (Spreadsheet)**

Document H(c) is the Maximum Allocation worksheet for calculating Fifty Percent Expenditure Limitation for certain Article 4 claimants. Claimant should complete

this document on if they plan to qualify for TDA under the 50% expenditure limit, Document I(c).

**Document I(a) TDA Eligibility Statement - Article 4 (Spreadsheet)**

Document I(a) is the Claimant Eligibility Statement for Article 4 claimants establishing eligibility through the Farebox Recovery Ratio and/or establishing eligibility through the Farebox Plus Local Support Recovery Ratio. Claimants choose either Document I(a) or Document I(c).

**Document I(b) TDA Eligibility Statement - Articles 4.5 & 8 (Spreadsheet)**

Document I(b) is the Claimant Eligibility Statement for Article 4.5 and 8 establishing eligibility with the Farebox Plus Local Support Recovery Ratio.

**Document I(c) - Eligibility Statement - 50% Expenditure Limitation (Spreadsheet)**

Document I(c) is the Claimant Eligibility Statement for Article 4 claimants establishing eligibility through the Fifty Percent Expenditure Limitation formula. Claimants choose either Document I(a) or Document I(c).

**Document I(d) - STA Eligibility Calculation – Article 4 (Spreadsheet)**

Document I(d) is the STA eligibility calculation for claimants claiming STA funds.

**Document J(a)- Standard Certifications - Article 4 (Spreadsheet)**

Document J(a) is the Standard Certifications for Article 4 applications.

**Document J(b) - Standard Certifications - Articles 4.5 & 8 (Spreadsheet)**

Document J(b) is the Standard Certifications for Article 4.5 and Article 8 transit applications.

**Document K - CHP Pull Notice Program (Claimant)**

Evidence of compliance with the California Highway Patrols Pull Notice Program (form CHP 339) must be submitted with each transit claim if claimant employs drivers.

**Document 1107 - AB 1107 Request (Spreadsheet)**

Document 1107 is for applications for AB 1107 sales tax revenue.

**Document RM2 – Regional Measure 2 Operating Assistance Proposal (Spreadsheet)**

Document RM2 should be completed by eligible applicants that are eligible for operating funds as identified in Streets and Highways Code Section 99314(d). Document RM2 is essential for operating costs and revenues for RM2 funded services. It is NOT linked to the summary spreadsheet within this application. It contains cells for entering operating cost and revenue, passengers, revenue hours and miles, and all data necessary for monitoring of the project as required in MTC Resolution 3668. Please complete one sheet for each project RM2 funds are being requested for.

**Document X - Explanatory Notes (Spreadsheet)**

Document X provides a space where comments can be appended to the application.

**Ref Data - Reference Data (Spreadsheet)**

No data is entered in Ref Data. The Ref Data tab contains information that is used throughout the application. The codes and descriptions shown on the Ref Data tab are described in more detail in the instructions for Document F(a) of this Fund Application Manual.



## **Spreadsheet Instructions**

The first four tabs of the spreadsheet are the Application Checklists. The Checklists are a way of confirming for yourself that your claim is complete before you submit it to MTC. It is anticipated that these documents will be completed after all of the remaining claim documents have been compiled and completed. Starting with Document A(a), the spreadsheet is intended to be completed from left to right. This sequence of completing the tabs from left-to-right is not only important for the workbook to function correctly, but especially important if different individuals in your organization are responsible for completing different tabs. In other words, in this case you will need to schedule work on the tabs according the left-to-right sequence, or incorrect claim information may result.

The claim workbook is password protected. If for any reason you believe you need to alter the layout of a tab document or the workbook, please contact MTC staff.

Cells highlighted yellow, orange or green (depending on which tab you are working in) are cells in which the user enters information either: text, dates, dollar amounts, or percentages. Cells highlight blue are cells in which information will appear automatically based on some calculation or reference to another cell in the same tab or in a different tab. Though the workbook displays colored and shaded cells, the colors and shading are disregarded by your printer and do not appear in or affect the printed versions of the documents.

Certain cells have drop-down menus. They are light blue in color. They work by clicking in the light blue cell, then clicking the down arrow and selecting the appropriate entry.

Where the instructions for a document refer to line numbers, these are the line numbers of the document, not the spreadsheet.

Document A(c) Revenue Detail serves as a place to define funds that are being claimed. The information in Document A(c) is linked to other worksheets in the claim document. It does not need to be printed and submitted as part of the claim.

**Application Checklists - Document 4, Document 4.5, and Document 8**

These checklists contain the list of documents, which must be included in a claim for TDA and/or STA funds. Enter an X in each yellow highlighted cell to confirm that you have completed and are submitting each required Document, including required copies of service contract(s), and/or the certificate of compliance with the California Highway Patrol Pull Notice Program.

**Instructions for Document A(a) - Claimant Information**

line 1 **Claimant Name** - Enter the claimant name by clicking in the light blue box next to Claimant Name. Then click on the down arrow and pick the appropriate name. The claimant name is now linked to the top of each sheet in the claim workbook.

line 2 **Street Address** - Enter the mailing address number and street name of the claimant.

line 3 **City** - Enter city used in the mailing address of the claimant.

line 4 **ZIP code** - Enter the ZIP code used in the mailing address of the claimant.

line 5 **County** - Enter the county in which claimant's main office is located.

line 6 **Authorized Signature Name** - Enter the name of the individual authorized to submit the claim.

**NOTE:** this name will automatically appear at the bottom of the documents that require a signature by the authorized individual.

line 7 **Authorized Signature Title** - Enter the title (employment position) of the individual whose name was entered on line 6.

**NOTE:** this title will automatically appear at the bottom of the documents that require a signature by the authorized individual.

line 8 **CFO Name** - Enter the name of the claimant's chief financial officer, or the name of the person who acts in this capacity.

**NOTE:** this name will automatically appear at the bottom of the documents that require a signature by the chief financial officer or equivalent.

**NOTE:** the person identified on line 8 is generally different than the individual authorized to file the claim whose name is entered on line 6.

line 9 **CFO Title** - Enter the title (employment position) of the individual whose name was entered on line 8.

**NOTE:** this title will automatically appear at the bottom of the documents that require a signature by the chief financial officer or equivalent.

line 10 **Contact Person Name** - Enter the name of the staff person responsible for submitting the claim.

NOTE: this person may be the same individual whose name is entered on line 6.

line 11 **Contact Person Title** - Enter the title (employment position) of the individual whose name was entered on line 10.

line 12 **Contact Person's Telephone** - Enter the telephone number of the individual whose name was entered on line 10.

line 13 **Contact Person's FAX** - Enter the fax number of the individual whose name was entered on line 10.

line 14 **Contact Person's E-mail Address** - Enter the e-mail address of the individual whose name was entered on line 10.

line 15 **Fiscal Year** - This information was entered by MTC and cannot be changed.

**NOTE:** the fiscal year (FY 2005-06) that appears at the top of each tab Document is linked to this cell.

line 16 **Claim Date (mm/dd/yyyy)** - Enter the date that you submit the claim to MTC. Use the format mm/dd/yyyy, for example, 06/21/2019 for June 21, 2019.

**NOTE:** the Submittal Date that appears at the top of each tab Document is linked to the date that is entered on line 17.

lines 17-26 **Mode Code** - Define and name each mode operated by clicking in the light blue box in the **Mode Type** column. Then click on the down arrow and pick the appropriate mode. Please define all modes of public transportation that you operate, regardless of whether your allocation request is specifically to support only certain modes.

Under the column heading **Service Name** type the commonly referred to name of each service, if appropriate. If you operate distinct services of the same mode type, you may enter the same mode code more than once. If there are two or more services associated with a single mode, list the **Service Name** in the yellow space provided to differentiate the services.

**Instructions for Document A(b) - Claim Summary**

Document A(b) Claim Summary is the summary of local funds being claimed. This document is automatically generated by the spreadsheet and requires no direct input. Authorized signature and date are required in the space provided.

### **Instructions for Document A(c) - Revenue Detail**

The Document A(c) Revenue Detail is used to define specific funds that are being claimed, the purpose for which the funds will be used and the proper apportionment area from which the funds are being claimed.

There are five sub-areas of Document A(c):

- TDA Operating
- STA Operating
- TDA Capital
- STA Capital
- Article 8 Streets and Roads

Information from Document A(c) is automatically linked to Document A(b), Document F(a), and Document F(c). Document A(c) must be completed, but does not need to be submitted with the claim.

Data are entered by clicking in the appropriate light blue colored cell, then clicking on the down arrow and picking the appropriate fund name, purpose and apportionment area.

lines 1-20 **TDA Operating** - Enter the name of the fund being claimed, the purpose and the apportionment area.

lines 21-32 **STA Operating** - Enter the name of the fund being claimed, the purpose and the apportionment area.

lines 33-42 **TDA Capital** - Enter the name of the fund being claimed, the purpose and the apportionment area.

lines 43-46 **STA Capital** - Enter the name of the fund being claimed, the purpose and the apportionment area.

### **Instructions for Document B - Authorizing Resolution**

Claimants are required to submit an authorizing resolution (21 Cal. Code of Regs. §6630).

Claimants may use their agency's own format as long as it contains all of the following information.

- The name of the County Local Transportation Funds from which funds have been requested.
- The purpose for which funds are requested by project name or transit and/or streets and roads.
- The fiscal year for which funds are requested.
- The Public Utilities Code section under which the claimant qualifies for an allocation of TDA/STA funds, either Public Utilities Code §99260, §99260.2, §99260.5, §99275 or §99400. (Refer to TAB II for a summary of these allocation categories.)
- The title of individual authorized by claimant's governing board to apply for funds on behalf of the claimant.
- The fiscal year for which TDA and/or STA funds are being requested.

### **Instructions for Document C - Opinion of Counsel**

Each claimant must provide MTC with a current opinion of counsel (21 Cal. Code of Regs. §6630) that addresses the following three points:

- That the claimant is authorized to perform the project for which funds are requested.
- That the claimant is eligible to apply under the Public Utilities Code section(s) cited in the claim form. (Document A(b))
- That there is no legal impediment to the claimant applying for funds and that there is no pending or anticipated litigation that might adversely affect the project or the ability of the claimant to carry out the project.



## **Instructions for Document D - Environmental Documentation**

Pursuant to Public Resources Code §21000 *et seq.*, all claimants are required to submit environmental assessment for each project in their annual application.

In most cases, the claim application is to support existing service, which, following the criteria of negligible or no expansion of an existing use, is a categorically exempt activity under section 15301 of the CEQA Guidelines (Existing Facilities). In this case, the claim application must include a completed Notice of Exemption, file stamped by the clerk-recorder of the county in which the claimant is located. This same requirement for a file stamped copy of a Notice of Exemption would apply in cases where the claim application includes funding requested for a purpose that is statutorily exempt under CEQA.

In other cases, the claim application includes funding requested for a purpose not categorically exempt, but which is determined to qualify for a Negative Declaration as a result of an Initial Study. In this case, the claim application must include a completed Notice of Determination (indicating that a Negative Declaration has been prepared), file stamped by the clerk-recorder of the county in which the claimant is located. Claimant may provide a link to the online documents.

In some cases, the claim application includes funding requested for a purpose which does not qualify as categorically or statutorily exempt, or qualify for a negative declaration, in which case the claim application must include a completed Notice of Determination (indicating the environmental determination that has been made), file stamped by the clerk-recorder of the county in which the claimant is located. Claimant may provide a link to the online documents.

More information about CEQA can be found here: <http://resources.ca.gov/ceqa/> or <http://www.dot.ca.gov/ser/>

### **Instructions for Document E(a) - Description of Claimant and Transit System**

Document E(a) is a description provided by the claimant in response to the following items. All items must be addressed as applicable. See note below regarding submission of Short Range Transit Plan (SRTP) and other documentation in lieu of all or part of Document E(a).

- 1. Service and Operations Description**  
(Public Utilities Code §99261 and 21 Cal. Code of Regs. §6630)
- 2. Service Coordination**  
(Public Utilities Code §99282)
- 3. Efficiency and Effectiveness** (Article 4 applications)  
(Public Utilities Code §99244)
- 4. Description of Capital Program** (as appropriate)  
(Public Utilities Code §99261 and 21 Cal. Code of Regs. §6630)
- 5. Significant Budget Provisions**  
(21 Cal. Code of Regs. §6632)
- 6. Service Contract (Consolidated Transportation Service Agencies only)**  
(21 Cal. Code of Regs. §6683 and §6684)
- 7. Claimant's Financial and Management Information Data**  
(Article 4.5 applications) (Public Utilities Code §99275.5)
- 8. Planning and Administration** (Article 8 transit applications)  
(Public Utilities Code §99400(d))
- 9. Description of Unmet Needs** (Article 4.5 applications)  
(Public Utilities Code §99275.5)

**NOTE:** As noted elsewhere in this manual, it is anticipated that much of the above-referenced material will be contained in a current Short Range Transit Plan, Productivity Improvement Program Reports, and other reports. Claimants may submit these and other reports in lieu of items required to be reported on in Document E(a) if other documents include the required information. Otherwise, the claimant must submit responses to the requirements of Document E(a).

- 1. Service and Operations Description**
  - (a) Describe service area, including transit district boundaries if applicable; if claimant is not a transit district, specify corporate areas served and define unincorporated areas served.

- (b) Describe type(s) of service provided (taxi, van, fixed-route, demand responsive). Describe different modes or programs separately.
- (c) Describe days and hours of operation for each mode or program. Describe routes and service frequencies; describe days and hours of operation.
- (d) Describe in detail any proposed expansion or extension of service proposed in project year. If such service will be exempted from fare or local match requirement or 50 percent expenditure limitation, provide description of how service complies with requirements of 21 Cal. Code of Regs. §6619.1 and §6633.8.
- (e) Describe fare structure, including base fare, zone fares, transfer charges, special category fares, passes, etc.
- (f) For fixed-route service, provide current set of route maps showing all anticipated significant route changes during project year.
- (g) Provide set of public schedules.

## **2. Service Coordination**

- (a) Describe the coordination of service with other providers, including transfer arrangements with emphasis on coordination achieved during past fiscal year. Describe SB602 agreements and any recent update of these agreements. For paratransit claimants, describe how service is consistent with local and regional AB 120 Action Plans and ADA Plans. Describe any issues or problems related to service coordination. If services are not coordinated with other operators in your service area, explain why such coordination is not appropriate or describe plans to achieve coordination in the near future.
- (b) Describe specific coordination efforts and goals that have been considered, especially responding to requests for coordination of service from outside agencies.

## **3. Efficiency and Effectiveness**

- (a) Summarize productivity improvement recommendations made by MTC for the previous fiscal year. Discuss the recommendations made in your most recent performance audit, if applicable.
- (b) Describe specific actions taken in response to these recommendations and progress made in the past year as a result of these responses, and describe proposed actions to be implemented in project year and anticipated results.

## **4. Description of Capital Program (as appropriate)**

- (a) Describe capital budget provisions for facilities, shelters and other non-vehicular purchases. Article 8(c) claimants are eligible for capital expenditures to acquire vehicles and related equipment, bus shelters, bus benches, and communication equipment for their services.

- (b) Describe any proposed fleet additions or replacement purchases.
- (c) Describe the relationship of each project to Short Range Transit Plan or update, and MTC Capital Priorities Program (if applicable).
- (d) If application includes a request for allocation of funds for planning purposes, describe the elements of that planning effort.
- (e) Provide justification for any capital project for which 100 percent funding from TDA/STA is requested. State reasons why federal or state funds are not budgeted for such items.

**5. Significant Budget Provisions (as appropriate)**

- (a) Claimants whose operating budgets reflect an increase of more than 15 percent above the preceding year shall provide a statement identifying and substantiating the need for such increase (21 Cal. Code of Regs. §6632(b)).
- (b) Claimants whose operating budgets reflect a substantial increase or decrease in the scope of operations shall provide a statement identifying and substantiating the reason and need for such increase or decrease (21 Cal. Code of Regs. §6632(b)).
- (c) Claimants whose capital budget shows provisions for major new fixed facilities shall provide a statement identifying and substantiating the reason and need for such facilities (21 Cal. Code of Regs. §6632(b)).
- (d) Claimants should identify all revenues for each capital project.

**6. Service Contracts (Consolidated Transportation Service Agencies only)**

- (a) Any claimant providing service to or being provided service under contract pursuant to Public Utilities Code §99231.2, §99260.5, §99277, §99288, §99400(b) or §99400(c) shall attach a copy of that contract to its annual application (21 Cal. Code of Regs. §6630, §6683 and §6684).
- (b) Any claimant providing service under Public Utilities Code §99288 without a contract shall provide a copy of the Secretary of Business, Transportation and Housing Agency's authorization pursuant to Public Utilities Code §99288(b) with its annual application.
- (c) Describe the competitive bidding process employed in choosing the contractor to provide service; briefly summarize the reasons why this contractor was chosen in favor of other contractors who submitted bids.

- 7. Claimant's Financial and Management Information Data** (Article 4.5 Applications)
  - (a) Describe the procedures used for sale and redemption of scrip or tickets.
  - (b) Explain specific coordination efforts and goals with other transit providers that are proposed, including those undertaken to implement the paratransit provisions of the ADA. Also explain the recommendations of the PCC regarding coordination, if any.
  - (c) Describe the accounting procedures used for tracking sales (revenues) and redemption (expenditures) of scrip or tickets.
  - (d) List sources and amounts of all local match revenues (as defined by MTC Resolution No. 1209, Revised) for project year operating budget.
  - (e) If any special contract fares are proposed to be used as local match funds, claimant shall submit a copy of the contract for this arrangement.
- 8. Planning and Administration** (Article 8 Transit Applications)
  - (a) If planning and administration funds are requested under Pub. Util. Code §99400(d), describe activities or provide a work scope for these funds.
  - (b) Provide budget for this item in your Annual Reporting System.
- 9. Description of Unmet Needs** (Article 4.5 Applications)
  - (a) Provide description of transportation service needs in your community which are currently not being met, including services to meet ADA paratransit requirements, and which this service will meet. If this community transit service program was funded under TDA Article 4.5 in previous years, briefly explain the history of the system to demonstrate that when the service was initiated, it was responding to a transit need that was unmet at the time. (This history can be incorporated by reference.)
  - (b) Provide a description of the manner in which the proposed community transit service will meet the transit need in your community which is described in (a) above.
  - (c) Provide a description of how this service will be integrated with existing transit services.
  - (d) Provide a description of the population groups that will be served by your service and the specific target populations to be served.
  - (e) Describe the standards and procedures used to determine an individual patron's eligibility to use this service. If present demand exceeds system capacity, describe the means by which prospective claimant's use of service is restricted or limited.

### **General Information for Documents F(a), F(b) and F(c)**

- Data definitions are substantively identical to FTA National Transit Database reporting definitions.
- If you are reporting on only one mode, you must report information on the modal form. The spreadsheet will automatically link the modal information to the systemwide summary.
- The individual assigned to complete these forms should have access to the full set of instructions.
- The *Uniform System of Accounts*, with definition of functional and object classes for expenses and revenues, is available for download at:

<https://www.transit.dot.gov/ntd/ntd-uniform-system-accounts>

### **Instruction for Document F(a) - Operating Expenses and Revenues**

#### **Spreadsheet Structure**

The first two columns of Document F(a) contain row names for the spreadsheet. Columns C through E are the System Summary. Columns F through H represent the first mode. The column heading was automatically linked from Document A (a) when modes were defined. Space is provided for seven modes. All modes are automatically linked back to the system total, Columns C through E.

#### **Reporting Periods - Document F(a) and Document F(b)**

Past Actual - Refers to the prior fiscal year. This data should be audited data and consistent with NTD data.

Current Adjusted - Refers to the fiscal year currently in progress. Data should be adjusted to show six months of actual data and six months of estimated data.

Proposed - Refers to the upcoming fiscal year which is generally budgeted in the spring of the current fiscal year. Recognizing that not all operators have approved budgets by April 1, these data may come from a preliminary budget estimate.

## **Operating Expenses**

Please refer to the Uniform System of Accounts (USOA) for the definition of expenses to include in Lines 1 through 25. The current edition is June 2016 and can be found here:

<https://www.transit.dot.gov/ntd/ntd-uniform-system-accounts>

If paratransit is reported as a separate mode, please split costs into the various object classes rather than lump all costs in ADA Expenses (Line 20).

**Note:** Reporting Functional Class by mode is optional. If you choose to report Functional Class by mode, enter line 1 through line 5 in the appropriate mode column. If you choose not to report Functional Class by mode, enter Functional Class systemwide data in the space provided for the first mode, not in the Systemwide summary columns.

## **Revenue- Operating and Non- Operating**

Enter operating revenue in Lines 26-36 in accordance with definitions in the USOA.

- line 37    **AB 434** - Enter AB 434 (Bay Area Air Quality Management District) operating revenue (include total of Air District allocated regional discretionary and county program manager revenue). AB 434 is considered a state source under USOA class (411).
- line 46    **5% Unrestricted Funds:** Enter amount of 5% Unrestricted Funds (Northern and/or Southern Bridge Group) allocated by MTC. MTC allocates these funds under a separate process from the TDA-STA claim application.
- lines 47-48    **Other Revenue Allocated by MTC** – Enter other revenue allocated by MTC under a separate process from the TDA-STA claim application: On the worksheet, type the source of the funds on the line in the cell highlighted yellow.
- line 49    **Feeder Bus Funds** - Enter amount of Feeder Bus funds allocated by MTC.
- line 50    **AB 1107** - Enter amount of AB 1107 funds allocated by MTC.
- line 51    **Regional Measure 2 (RM2)** - Enter amount of RM2 funds allocated by MTC.

- lines 52-71 **Transportation Development Act** - Based on information you entered on Worksheet A(c) of the claim workbook, there will be a line item description for each TDA Article, Purpose and Apportionment Area from which you are requesting operating revenue. For each mode named, enter the amount of TDA funds allocated by MTC in the Past Actual and Current Adjusted fiscal years for each line item; and enter the amount of TDA funds being requested for allocation in the Budgeted fiscal year. The Systemwide amounts in the Budgeted fiscal year for each line item will appear on Worksheet A(b) in the Amount column.
- lines 72-83 **State Transit Assistance** Based on information you entered on Worksheet A(c) of the claim workbook, there will be a line item description for each STA Type and Apportionment Area from which you are requesting operating revenue. For each mode named, enter the amount of STA funds allocated by MTC in the Past Actual and Current Adjusted fiscal years for each line item; and enter the amount of TDA funds being requested for allocation in the Proposed fiscal year. The Systemwide amounts in the Proposed fiscal year for each line item will appear on Worksheet A(b) in the Amount column.
- line 84 **Total Revenue** - The worksheet calculates the sum of all revenues entered by mode and systemwide (lines 26 through 83).
- line 85 **Surplus/(Deficit)** - The worksheet calculates the difference of TOTAL REVENUE (line 84) less TOTAL EXPENSE (line 23).
- line 86 **Memo Item** - Enter revenues used to offset expenses reported on line 25, including contributed services (USOA 4610). Identify memo item sources on Worksheet X.



## **Instructions for Document F(b) - Operating Data**

### **Employees**

- line 1     **Total Employees** - Employees must be expressed as full-time equivalents (FTE), using a 2,000 person-hours per year full-time equivalent. Calculate full-time equivalents by dividing the total number of employee hours worked by 2,000. Employees include persons engaged in work on behalf of purchased transportation as well as directly operated services. Although the FTA National Transit Database report (Form 404) reflects employee hours, MTC will continue to require employee hours reported as full-time equivalents.
- line 2     **Service Area (Square Miles)** - Enter square miles of service area as of the claim date.
- line 3     **Population Within Service Area** - Enter population of service area as of the claim date.
- line 4     **Number of Routes Operated** - Enter the total number of fixed-routes operated as of the claim date.

### **Annual Boardings**

**Note:** Unlinked trips equate to boardings. Report information for the Proposed Year and Projected Years by using data from the Past Year adjusted to reflect any service increases or decreases. Indicate on Document X the basis for Proposed Year value, and to indicate whether Past Year information was obtained from 100 percent count or sampling.

- line 5     **Adult** - Enter total number of adult revenue boardings, including paid intra-operator transfers.
- line 6     **Youth and Student** - Enter total number of youth and student revenue boardings, including paid intra-operator transfers.
- line 7     **Senior and Disabled** - If data is available, enter total number of senior and disabled revenue boardings, including paid intra-operator transfers.
- line 8     **Inter-Operator Transfers (at extra fare)** - Enter total number of all (Adult, Youth and Student, and Senior and Disabled) revenue boardings from paid inter-operator transfers.
- line 9     **Total Revenue Passengers** – Spreadsheet calculates the sum of lines 5 through 8.

line 10 **Non Farepaying Passengers (Including Transfers)** - Enter the total number of all non-revenue (Adult, Youth and Student, and Senior, Disabled and Personal Care Attendants) boardings.

line 11 **Total Passengers** - Enter the sum of lines 9 and 10.

### **Average Boardings**

**Note** Average weekday is defined as a representative weekday in the operation of the transit system, computed as the mathematical average of several typical weekdays selected at random throughout the year. A typical weekday is one in which there is no unusually high or low ridership. Unusually high ridership could be caused by anomalous events such as an extended gasoline shortage, bridge closure, or as a result of extra service added for a convention. Unusually low ridership could be caused, for example, by extended periods of inclement weather, or a natural disaster such as a major earthquake.

line 12 **Average Weekday Boardings** - Enter the total number of boardings (regardless of whether a fare is paid) occurring during the specified periods.

line 13 **Average Saturday Boardings** - Enter the total number of boardings (regardless of whether a fare is paid) occurring during the specified periods.

### **Vehicles Operated in Maximum Service**

**Note:** Maximum weekday is defined as the single day in the year when the highest number of revenue vehicles during the year was in operation. Exclude atypical days or special events as defined in the note under Average Passengers above. The definition of a maximum weekend follows from the definition for Maximum Weekday.

line 14. **Maximum Weekday Vehicles Operated** - Enter the total number of revenue vehicles in operation during the specified periods.

line 15 **Maximum Weekend Vehicles Operated** - Enter the total number of revenue vehicles in operation during the specified periods.

### **Annual Vehicle Miles**

line 16 **Revenue Vehicle Miles** - Enter the total number of actual miles accumulated by revenue vehicles while in revenue service. A vehicle is in revenue service when it is available to the general public and there is a reasonable expectation of carrying passengers that either

directly pay fares, are subsidized by public policy, or provide payment through contractual or mutual agreement. Vehicle operated in fare free service are considered in revenue service. Use actual logged miles. Do not compute revenue vehicle miles on the basis of scheduled service and routing.

- line 17 **Non-Revenue Vehicle Miles** - Enter the total number of actual miles accumulated by revenue vehicles while not in revenue service. This includes school bus service, charter service, vehicle maintenance and exclusive operator training miles, and deadhead miles. Deadhead miles accrue while a vehicle is enroute to or from revenue service to the garage or storage area, changing routes, etc., and when there is no reasonable expectation of carrying revenue passengers. For non-scheduled, non-fixed-route service (demand responsive), deadhead mileage also includes the travel between the dispatching point and passenger pick-up or drop-off.
- line 18 **Total Vehicle Miles** - Spreadsheet calculates the sum of line 16 and line 17.

#### **Annual Vehicle Hours**

- line 19 **Revenue Vehicle Hours** - Enter the total number of actual hours of service accumulated by revenue vehicles while in revenue service. A vehicle is in revenue service when it is available to the general public and there is a reasonable expectation of carrying passengers that either directly pay fares, are subsidized by public policy, or provide payment through contractual or mutual agreement. Vehicle operated in fare free service are considered in revenue service. Use actual logged hours. Do not compute revenue vehicle hours on the basis of scheduled service!
- line 20 **Non-Revenue Vehicle Hours** - Enter the total number of actual miles accumulated by revenue vehicles while NOT in revenue service. This includes school bus service, charter service, vehicle maintenance and exclusive operator training miles, and deadhead miles. Deadhead miles accrue while a vehicle is enroute to or from revenue service to the garage or storage area, changing routes, etc., and when there is no reasonable expectation of carrying revenue passengers. For non-scheduled, non-fixed-route service (demand responsive), deadhead mileage also includes the travel between the dispatching point and passenger pick-up or drop-off.
- line 21 **Total Vehicle Hours** - Spreadsheet calculates the sum of line 19 and line 20.

**Instructions Document F(c) - Capital Allocation Requests**

Note: Only projects that include Local Funds (TDA, STA, Net Toll Revenues (Bridge Tolls) AB 1107 and/or Feeder Bus Funds) are to be included on this form. This includes capital projects that will totally be funded with Local Funds and those in which Local Funds are only a part of the revenue mix.

Note: This form's "print area" is set for four projects. Please adjust as necessary.

line 1 **Project Name** - Enter the name of the project for which you are requesting Local Funds (TDA, STA, Net Toll Revenues (Bridge Tolls) and/or AB 1107).

line 2. **Total Capital Project Cost** - Enter the total project cost

lines 3-36 **Capital Project Revenue** - Where appropriate, enter the funds, which are part of the total capital project revenue.

line 37-50 **TDA/STA** - The specific TDA funds being claimed should first be defined on spreadsheet Document RevDet. See instructions for Document RevDet. The specific TDA funds defined on Document RevDet will automatically be linked to lines 37 through 50. Enter the TDA revenue in the appropriate project column.

line 51 **Total Revenue** - Spreadsheet calculates the sum of line 3 through line 36. This total should equal line 2, Total Capital Project Cost.

line 52 **Surplus/(Deficit)** - Spreadsheet calculates any surplus or deficit in the projects.

**Instructions for Document G(a) - Productivity Improvement Program (PIP) Progress Report**

Operators must report on projects listed in the most recently adopted MTC PIP. A copy of the most recently adopted MTC PIP and the *Productivity Improvement Program Administrative Procedures Manual* can be downloaded from the MTC website at: <http://mtc.ca.gov/our-work/invest-protect/investment-strategies-commitments/transit-21st-century/transit-operating-0>

Complete one Document G(a) for each project on which you are reporting. Projects should be reported on through project completion. There are four copies of Document G on the worksheet (scroll to the right).

Worksheet G(a) is divided into sections A through F.

Section A Project Title: In the text box, type the project title as it appears in the PIP.

Section B Project Goal: In the text box, type the project goal as it appears in the PIP.

Section C Project Description: In the text box, type the project description as it appears in the PIP.

Section D Project Milestones/Deliverables: Use lines 1 through 6 to type each project milestone or deliverable (one per line), the anticipated completion date for each milestone or deliverable (e.g., Sept 2015), and the percentage the milestone or deliverable represents in completing the entire project. Enter project percentages using a decimal point (e.g., 25% would be entered as 0.25). The total for all milestone/deliverable percentages must equal 100%.

Section E Milestones/Deliverables - Status: Use lines 1 through 6 (as reported in section D) to report on the progress in implementing each milestone or deliverable. If completed, enter the completion date (e.g., Nov 2014). If not completed, enter anticipated completion date. If the anticipated completion date differs from date shown in section D, type an explanation for the delay, including remedial steps (Use Document X if you need extra typing space).

Section F Contact Information and Signature: In the cell highlighted yellow, enter the name and telephone number of the staff person who can be contacted by MTC staff concerning the project. The authorized individual shown on Worksheet A(a) must sign each project report.

### **Instructions for Document G(b) - Productivity Improvement Program (PIP) Development**

Each operator is responsible for submitting PIP projects as part of its submittal of the annual TDA-STA claim. Document G(b) Productivity Improvement Program Development should be used to submit new PIP projects.

In order to maintain eligibility for the allocation of State Transit Assistance (STA) funds, and any amount of Transportation Development Act (TDA) funds greater than allocated in the prior year, a transit operator must undertake projects to improve system productivity. Starting in FY 2014-15, these projects are generally derived from recommendations made in the Transit Sustainability Plan (TSP), MTC Resolution 4060; however, they may also arise as a part of the operator's ongoing planning (e.g., as part of the Short Range Transit Plan development). Any recommendations from the Triennial TDA Audit must also be included as a PIP project. MTC is required by the TDA to annually adopt a Productivity Improvement Program (PIP), which is composed of the projects undertaken by transit operators.

Worksheet G(b) is divided into sections A through F.

**Section A Project Basis:** Please indicate whether the project is derived from a TDA Triennial Performance Audit Recommendation and cite the report.

**Section B Project Title:** Please indicate the title of the project

**Section C Project Goal:** Please indicate the project goal.

**Section D Project Description:** Please give a description of the proposed project.

**Section E Project Milestones/Deliverables:** Use lines 1 through 6 to type each project milestone or deliverable (one per line), the anticipated completion date for each milestone or deliverable (e.g., Sept 2016), and the percentage the milestone or deliverable represents in completing the entire project. Enter project percentages using a decimal point (e.g., 25% would be entered as 0.25). The total for all milestone/deliverable percentages must equal 100%.

**Section F Contact Information and Signature:** In the cell highlighted yellow, enter the name and telephone number of the staff person who can be contacted by MTC staff concerning the project. The authorized individual shown on Worksheet A(a) must sign each project report.

**Instructions for Document H(a) - Maximum Allocation Worksheet – Article 4**

**Operators that fall under the 50% limit, Document H(c) should still complete Form H(a) for the purpose of identifying their farebox recovery ratio.**

**Note:** This worksheet applies to services operated under TDA Article 4 requirements. TDA Article 4.5 and Article 8 claimants are allowed additional exemptions and local funds (if applicable) under MTC Resolution No. 1209, Revised. Use Document H(b) for Article 4.5 and Article 8 public transportation services.

The financial information provided on Document H(a) must pertain only to the public transportation services (e.g., fixed route bus, demand responsive, light rail) which are included together for the purpose of determining the farebox recovery ratio in compliance with TDA statute. In other words, the services which together are the subject of a single application for TDA and/or STA funds under eligibility established under Article 4 farebox recovery ratios, even though Article 4.5 and/or Article 8 funds for the support of these same services are to be included in this application.

**Farebox Revenue**

line 1 **Farebox revenue excluding service extensions** - Enter amount of all expected farebox revenue, excluding revenue from qualified service extensions (see instruction for line 2) from revenue account classes (4110):

- Passenger fares from regularly scheduled service
- Special transit fares
- School bus service revenue (service limited to school purposes only)

line 2 **Farebox revenue of service extensions** - Enter amount of all expected farebox revenue specifically from qualified service extensions from revenue account classes:

- Passenger fares from regularly scheduled service
- Special transit fares
- School bus service revenue (service limited to school purposes only)

Qualified service extensions must meet the following test:

Additions of geographical areas or route miles, or improvements in service frequency or hours of service greater than 25 percent of the route total, or the addition of new days of service, and for transit service claimants (Article 4.5 and Article 8 claimants) also includes the addition of a new type of service, such as van, taxi, or bus. This exemption applies for only two years after the end of fiscal year in which the qualified extension of service was put into operation. Within 90 days after the first full year of implementation, the claimant must file a report with MTC on the performance of the service extension, including, but not limited to, the area served, the fare revenue

generated, and the cost to provide the additional service. Contact the TDA Program Manager for further information on qualified service extensions and reporting requirements. See PUC § 99268.8; Cal. Code of Regs. §§ 6633.8, and 6611.1.

line 3: **Total Farebox Revenue** - Spreadsheet calculates the sum of line 1 plus line 2.

#### **Local Fund Supplementation to Meet Farebox Ratio**

PUC Section 99268.19 was revised effective July 1, 2016 to have a more expansive definition of local funds for the purposes of farebox supplementation in order to meet the applicable TDA-LTF farebox recovery requirement. Local funds now means any nonfederal, nonstate grant funds or other revenues generated by, earned by, or distributed to an operator. Cal. Code of Regs. §6611.3 is now outdated and in the process of revision.

line 4 through line 11 Enter the total of revenue for each of the revenue categories listed. Please refer to the Uniform System of Accounts (USOA) for more information about each revenue category which can be found here: <https://www.transit.dot.gov/ntd/ntd-uniform-system-accounts>

line 12 **Total Local Support Revenue** - Spreadsheet calculates the sum of lines 4 through 11.

line 13 **Total Farebox-Plus-Local-Fund Revenue** - Spreadsheet calculates the sum of line 1 plus line 9. This is the Farebox Plus Local Support total, exclusive of fares from qualified service extensions.

#### **State and Federal Operating Assistance Grants**

line 14 **State Cash Grants and Special Fare Assistance** - Enter the total of all state cash grants and reimbursements under account classes 4400.

line 15 **Federal Cash Grants And Reimbursements** - Enter the total of all federal cash grants and reimbursements under account class 4500 (e.g., FTA Section 5305 planning assistance and FTA Section 5310 operating/ADA assistance).

line 16 **Total State and Federal Grants** - Spreadsheet calculates the sum of line 11 plus line 12.



### **All Other Revenue Used For Operating Purposes**

- line 17    **Other Operating Revenue** - Enter the total amount of other operating revenue not included in fares (line 1), fares from qualified service extensions (line 2), local support (line 12), and federal and state grants and reimbursement (line 13). Do not include contributed services.
- line 18    **Other Non-Operating Revenue** - Revenue from contributed services may be included here, however, only to the extent that it is offset by a contra account for expense included in the operating cost as reported on line 18.
- line 19    **Total All Other Operating Revenue** - Spreadsheet calculates sum of line 14 plus line 15.
- line 20    **Total Revenue** - Spreadsheet calculates the sum of line 3 plus line 9 plus line 13 plus line 16. This is the total of farebox revenue, local support, state and federal assistance, and other revenue. This total includes fares from Qualified Service Extensions. This total does not include any TDA and/or STA.
- line 21    **Operating Costs Excluding Service Extensions** - Enter the total operating cost (excluding the operating cost for qualified service extensions) for all services operated under Article 4 which are the subject of this claim, and for which claim eligibility is being established under a farebox recovery ratio and a farebox plus local support recovery ratio).
- line 22    **Operating Costs Of Service Extensions** - Enter the total operating cost for qualified service extensions operated under Article 4 and which are the subject of this claim.
- line 23    **Total Operating Cost** - Spreadsheet calculates the sum of line 18 plus line 19.
- line 24    **Operating Deficit** - Calculates the difference of line 20 less line 17. This is the maximum combined TDA and STA allocation(s) allowable for operating purposes for services, which are the subject of this claim.

### **Total Allowable Exclusions and Exemptions**

This section identified allowable exclusions and exemptions for purposes of calculating farebox recovery as allowed by PUC Sections 99247(a), 99268.8, 99268.16, and 99268.17.

- line 25     **Depreciation and Amortization** - Enter total depreciation and amortization expenses of plant, equipment, vehicles, inventory and tangible and intangible assets which are maintained for the direct benefit of the services which are the subject of this claim. Depreciation may be pro-rated for depreciable and amortizable property, which is directly used only in part for the support of the services, which are the subject of this claim. Any reasonable method of assigning pro-rata depreciation and amortization is acceptable.
- line 26     **Direct Charter Service** - Enter the direct operating cost of charter service provided. This operating cost should relate to charter service provided for which revenue may have been reported on line 5.
- line 27     **Vehicle Lease Expenses** - Enter all vehicle lease expenses. This pertains specifically to revenue vehicles.
- line 28     **Commuter Rail Service** - Enter operating expense resulting from the operation or subsidy paid for commuter rail service operated under the jurisdiction of the Public Utilities Commission.
- line 29     **Principal and Interest Payments on Capital Projects** - Enter operating expense resulting from principal and interest payments on capital projects funded with certificates of participation.
- line 30     **Service Extension** - Enter qualified service extension operating expenses. In order to qualify as a service extension for purposes of TDA in general and this exemption specifically, the service must meet the test described in the instructions for completing line 2 (see above).
- line 31     **Ridesharing Expenses** - Enter expenses for providing ridesharing services, which qualify for this exclusion (PUC §99268.16) under the following definition in PUC §99211.5:

Ridesharing services means a comprehensive organizational effort which is designed to reduce the number of vehicles on the highways during peak travel periods within a defined area by encouraging the planning and marketing of high-occupancy vehicle facilities, increases in the number of passengers per vehicle in vehicles used for ridesharing alternative work schedules, and other transportation demand management strategies among employers and commuters.

- line 32 through line 35 **Certain Costs in Excess of CPI** - Enter the additional costs of these category of expenditures that exceed the operator's liability insurance premiums in the prior year as adjusted by the Consumer Price Index (CPI). For purposes of determining TDA operating cost exclusions, claimants may use the CPI for all Urban Consumers in the San Francisco Bay Area for the annual change from December of the previous calendar year. For example, claims for FY 2017-18 should use the annual CPI change for December 2016 which is 3.5 %. The CPI information can be found here:  
[http://www.bls.gov/regions/west/news-release/consumerpriceindex\\_sanfrancisco.htm](http://www.bls.gov/regions/west/news-release/consumerpriceindex_sanfrancisco.htm)
- line 36 **ADA Cost Increase in Excess of CPI** - The additional operating costs required to provide comparable complementary paratransit service as required by Section 37.121 of Title 49 of the Code of Federal Regulations, pursuant to the Americans with Disabilities Act of 1990 (42 U.S.C. Sec. 12101 et seq.), as identified in the operator's paratransit plan pursuant to Section 37.139 of Title 49 of the Code of Federal Regulations that exceed the operator's costs required to provide comparable complementary paratransit service in the prior year as adjusted by the Consumer Price Index. This section shall remain in effect only until January 1, 2007, and as of that date is repealed, unless a later enacted statute, which is enacted before January 1, 2007, deletes or extends that date.
- line 37 **State and Federal Mandates in Excess of CPI** – Enter costs in excess of CPI eligible for exclusion. Please identify the mandate and provide an explanation on Document X.
- line 38 **Total Exclusions and Exemptions** - Spreadsheet calculates the sum of lines 25 through 35.

### **TDA Farebox And Farebox Plus Local Funds Recovery Ratios**

- line 39 **TDA-Adjusted Operating Cost** - Spreadsheet calculates the difference of line 23 less line 36. This is the TDA-adjusted operating cost, used for calculating TDA performance measures (not calculated on this form) and farebox and farebox plus local support recovery ratios.
- line 40 **TDA Farebox Recovery Ratio** - Spreadsheet calculates the quotient of line 1 divided by line 30. This is the TDA farebox recovery ratio for purposes of determining eligibility for TDA and/or STA funds. This ratio must be entered on Document I(a), line 1, 2, 3, or 4.
- line 41 **TDA Farebox Plus Local Funds Recovery Ratio** - Spreadsheet calculates the quotient of line 10 divided by line 30. This is the TDA farebox plus local support recovery ratio for the purposes of determining eligibility for TDA and/or STA funds.

- line 42     **Operating Deficit** - Spreadsheet enters the amount shown on line 21, Maximum combined TDA and STA allocation(s) allowable for operating purposes.
- line 43     **TDA for Capital Purposes** - Enter the amount of TDA funds being requested under this claim for capital purposes.
- line 44     **STA for Capital Purposes** - Enter the amount of STA (population-based and revenue-based) funds being requested under this claim for capital purposes.
- line 45     **Payments to a Railroad Corporation** - Enter the amount of TDA and/or STA funds requested under this claim for contractual payments to a railroad corporation pursuant to PUC §99260.5:
- (a) Claims may also be filed with the transportation planning agency by a city and county or a transit district under this article [Article 4] for payment to be made to a railroad corporation subject to the jurisdiction of the Public Utilities Commission and engaged in the transportation of persons, as defined in [PUC] Section 208, for operating losses incurred in such transportation of persons between points within the city and county or the district, as the case may be, and for that portion of the operating losses incurred in such transportation of persons in the city and county or the district, as the case may be, whose origin or destination, or both, are outside the city and county or district.
- line 46     **TDA for Other Purposes** - Enter the amount of TDA funds being requested under this claim for other purposes. Please include an explanation of such other purposes in Document X.
- line 47     **STA for Other Purposes** - Enter the amount of STA funds (population-based and revenue-based) being requested under this claim for other purposes. Please include an explanation of such other purposes in Document X.
- line 48     **Total Maximum Allocation** - Spreadsheet calculates the sum of lines 33 through 38. This is the total combined TDA and STA allocations allowable for operating, capital, and other qualified purposes.
- line 49     **TDA for Qualified Service Extension** - Enter the amount of TDA to be allocated under this claim for operating support for qualified service extensions.
- line 50     **STA for Qualified Service Extension** - Enter the amount of STA (population-based and revenue-based) to be allocated under this claim for operating support for qualified service extensions.

**Instructions for Document H(b) - Maximum Allocation Worksheet – Articles 4.5 & 8**

The financial information provided on Document H(b) must pertain only to the public transportation services (e.g., fixed route bus, demand responsive, light rail), which are included together for the purpose of determining the farebox recovery ratio and the farebox plus local support recovery ratio. In other words, the services which together are the subject of a single application for TDA and/or STA funds under eligibility established under an Article 4.5 and 8 farebox plus local match recovery ratio.

This worksheet applies to services operated under TDA Article 4.5 and 8 requirements. TDA Article 4 claimants must use either Document H(a) or Document H(c).

**Farebox Revenue**

- line 1      **Farebox Revenue Excluding Fares Service Extensions** - Enter amount of all expected farebox revenue, excluding revenue from qualified service extensions (see instruction for line 2) from revenue account class (4110):
- Passenger fares from regularly scheduled service
  - Special transit fares

- line 2      **Fare Revenue of Service Extensions** - Enter amount of all expected farebox revenue specifically from qualified service extensions from revenue account classes:
- Passenger fares from regularly scheduled service
  - Special transit fares

Qualified service extensions must meet the following test:

Additions of geographical areas or route miles, or improvements in service frequency or hours of service greater than 25 percent of the route total, or the addition of new days of service, and for transit service claimants (Article 4.5 and Article 8 claimants) also includes the addition of a new type of service, such as van, taxi, or bus. This exemption applies for only two years after the end of fiscal year in which the qualified extension of service was put into operation. Within 90 days after the first full year of implementation, the claimant must file a report with MTC on the performance of the service extension, including, but not limited to, the area served, the fare revenue generated, and the cost to provide the additional service. Contact MTC staff for further information on qualified service extensions and reporting requirements. See PUC § 99268.8; Cal. Code of Regs. §§ 6633.8, and 6611.1.

- line 3:      **Total Farebox Revenue** - Spreadsheet calculates the sum of lines 1 plus line 2.

## **Local Fund Revenue**

PUC Section 99268.19 was revised effective July 1, 2016 to have a more expansive definition of local funds for the purposes of Farebox supplementation in order to meet the applicable TDA-LTF farebox recovery requirement. Local funds now means any nonfederal, nonstate grant funds or other revenues generated by, earned by, or distributed to an operator. Cal. Code of Regs. §6611.3 is now outdated and in the process of revision.

### **Note on Contributed Services**

Under MTC Resolution No. 1209, Revised, contributed services (revenue account class 430) also may be counted as local match, including the contributed service of volunteer drivers, only at a rate not to exceed the federal minimum wage for the number of hours that can be verified by the annual independent fiscal audit and only to the extent that the value of these services is reported as a contra account for expense. Likewise, contributed services of a paid employee of the transit service claimant or another entity shall be valued at a rate not to exceed the hourly wage of that employee for the number of hours that can be verified by the annual independent fiscal audit and only to the extent that the value of these services is reported as a contra account for expense.

- line 4     **Auxiliary Transportation Revenue** - Enter the total of revenue from account class 4140—Auxiliary Transportation Revenues. These are revenues earned from operations closely related to or dependent upon transportation operations (e.g., vendors, advertising).
- line 5     **Taxes Directly Levied** - Enter the total of revenue from account class 4200, Taxes Directly Levied by the Operator of the Transit System (e.g., transit district sales tax).
- line 6     **Local Cash Grants and Reimbursements** - Enter the total of revenue from account class 409.01, Local Cash Grants and Reimbursements for General Operating Assistance. These are revenues provided for support of generally provided service(s) only; not revenues in support of special service(s) or for special projects. Do not include on line 6 the amount of TDA and/or STA anticipated to be received from another city, county, or transit district for service provided within the boundaries of the city, county, or transit district. Do not include on line 6 carryover TDA and/or STA fund from a prior year's allocation.
- line 7     **Local Special Fare Assistance** - These are funds obtained from local government units to help cover or completely cover the difference between reduced fares and full fares.
- line 8     **Subsidy from Other Sectors of Operation** - Enter the total of revenue from account class 440.00, Subsidy from Other Sectors of Operation. These are revenues transferred

to public transportation operating purposes from activities not directly related to the public transportation purposes (e.g., Golden Gate Bridge, Highway and Transit District transfer of bridge tolls to operating subsidy for transit service).

line 9 **Federal Cash Grants And Reimbursements** - Enter the amount of federal cash grants and reimbursements other than funding from FTA Section 5307 and FTA Section 5303 per MTC Resolution No. 1209, Revised.

line 10 **Private Cash Contributions** - Enter the amount of private cash contributions. Attach an explanation of the amount, the donor, and the intended use of the funds. (per MTC Resolution No. 1209, Revised).

line 11 **Funds from the Older Americans Act of 1965** - Enter the amount of funds provided under the Older American Act of 1965 (as amended). (per MTC Resolution No. 1209, Revised).

line 12 **Funds from a Regional Center** - Enter the amount of funds provided by a Regional Center for transportation of persons with developmental disabilities (see Calif. Welfare and Institutions Code §4620 et seq.).

line 13 **Contributed services (contra account only)** - Enter the value of contributed services provided by individuals, outside organizations, and other agencies. However, revenue from contributed services may only be reported to the extent that it is offset by a contra account for expense included in the operating cost as reported on line 23. See note on contributed services at the beginning of these instructions.

line 14 **Total Local Fund Revenue** - Spreadsheet calculates the sum of lines 4 through 13.

line 15 **Total Fare-Plus-Local-Fund Revenue** - Spreadsheet calculates the sum of line 1 plus line 14. This total is exclusive of fares from qualified service extensions.

#### **State and Federal Operating Assistance Grants**

line 16 **State Cash Grants and Reimbursements** - Enter the total of all state cash grants and reimbursements under account classes 4400.

line 17 **Federal Cash Grants and Reimbursements** - Enter the total of all federal cash grants and reimbursements under account class 4500 not reported on line 9 (e.g., FTA Section 5303 planning assistance; FTA Section 5307 assistance).

line 18 **Total State and Federal Operating Assistance** - Spreadsheet calculates the sum of line 16 plus line 17.

### **Other Operating Purposes**

line 19 **Other Operating Revenue** - Enter the total amount of other operating revenue not included in the lines above. Line 19 could include revenue such as charter service revenue. Include the amount of TDA and/or STA anticipated to be received from another city, county, or transit district for service provided within the boundaries of the city, county, or transit district. Do not include contributed services (430.00).

line 20 **Other Non-Operating Revenue** – Please identify the USOA code and provide a description of any revenue identified here on Document X.

line 21 **Total Other Operating Revenue** - Spreadsheet calculates sum of line 19 plus line 20.

line 22 **Total Revenue (excluding TDA & STA)** - Spreadsheet calculates the sum of line 3 plus line 14 plus line 18 plus line 21. This total includes fares from qualified service extensions. This total does not include any TDA and/or STA.

line 23 **Operating Costs Excluding Service Extensions** - Enter the total operating cost (excluding the operating cost for qualified service extensions) for all services operated under Article 4.5 and 8 which are the subject of this claim, and for which claim eligibility is being established under a farebox plus local match recovery ratio. Include in this total the amount of contributed services, which must be reported in a contra account for expense.

line 24 **Operating Costs Of Service Extensions** - Enter the total operating cost for qualified service extensions operated under Article 4.5 and 8 which are the subject of this claim. Include in this total the amount of contributed services allocated to qualified service extensions and which must be reported in a contra account for expense.

line 25 **Total Operating Cost** - Spreadsheet calculates the sum of line 23 plus line 24.

line 26 **Operating Deficit** - Spreadsheet calculates the difference of line 25 less line 22. This is the maximum combined TDA and STA allocation(s) allowable for operating purposes for services, which are the subject of this claim.

### **Exclusions and Exemptions**



- line 27 **Depreciation and Amortization Expense** - Enter total depreciation and amortization expenses of plant, equipment, vehicles, inventory and tangible and intangible assets which are maintained for the direct benefit of the services which are the subject of this claim. Depreciation may be pro-rated for depreciable and amortizable property, which is directly used only in part for the support of the services, which are the subject of this claim. Any reasonable method of assigning pro-rata depreciation and amortization is acceptable
- line 28 **Charter Service Expense** - Enter the direct operating cost of charter service provided. This operating cost should relate to charter service provided for which revenue may have been reported on line 19.
- line 29 **Vehicle Lease Expense** - Enter all vehicle lease expenses. This pertains specifically to revenue vehicles.
- line 30 **Commuter Rail Service Expense** - Enter operating expense resulting from the operation or subsidy paid for commuter rail service operated under the jurisdiction of the Public Utilities Commission.
- line 31 **Service Extension Expense** - Enter qualified service extension operating expenses. In order to qualify as a service extension for purposes of TDA in general and this exemption specifically, the service must meet the test described in the instructions for completing line 2 (see above).
- line 32 **Ridesharing Expense** - Enter expenses for providing ridesharing services, which qualify for this exclusion (PUC §99268.16) under the following definition in PUC §99211.5:
- Ridesharing services means a comprehensive organizational effort which is designed to reduce the number of vehicles on the highways during peak travel periods within a defined area by encouraging the planning and marketing of high-occupancy vehicle facilities, increases in the number of passengers per vehicle in vehicles used for ridesharing alternative work schedules, and other transportation demand management strategies among employers and commuters.
- line 33 **Performance Audit Expense** - Enter the cost of having an independent performance audit conducted of the transit service(s) which is/are the subject of this claim and for which funds are being requested as a part of this claim. This exclusion is contained in MTC Resolution No. 1209, Revised.
- line 34 **Special Planning Study Expense** - Enter the cost of special planning studies and/or demonstration projects which are expected to be undertaken for the benefit of the

service(s) which is/are the subject of this claim and for which funds are being requested as a part of this claim. This exclusion is contained in MTC Resolution No. 1209, Revised.

line 35 **Expense of Paratransit Coordinating Council Staffing** - Enter the direct expense of providing staffing to the county Paratransit Coordinating Council for purposes of planning and administration, and for which funds are being requested as a part of this claim. This exclusion is contained in MTC Resolution No. 1209, Revised.

line 36 **Total Exclusions and Exemptions** - Spreadsheet calculates the sum of lines 27 through 36

### **TDA-Defined Ratios**

- line 37     **TDA-Adjusted Operating Cost** - Spreadsheet calculates the difference of line 25 less line 37. This is the TDA-adjusted operating cost, used for calculating TDA performance measures (not calculated on this form) and the farebox plus local match recovery ratio.
- line 38     **TDA Fare Recovery Ratio** - Spreadsheet calculates the quotient of line 1 divided by line 38. This is the TDA farebox recovery ratio, and is reported here for statistical purposes only; and not for establishing eligibility to claim TDA and STA funds.
- line 39     **TDA Fares-Plus-Local-Fund Recovery Ratio** - Spreadsheet calculates the quotient of line 15 divided by line 38. This is the TDA farebox plus local match recovery ratio for the purposes of determining eligibility for TDA and/or STA funds. This ratio must be entered on Document I(a) line 5 or 6.

### **Maximum Allocations**

- line 40     **Operating Deficit** - Spreadsheet enters the amount shown on line 26—Maximum combined TDA and STA allocation(s) allowable for operating purposes.
- line 41     **TDA for Capital Purposes** - Enter the amount of TDA funds being requested under this claim for capital purposes.
- line 42     **STA for Capital Purposes** - Enter the amount of STA (population-based and revenue-based) funds being requested under this claim for capital purposes.
- line 43     **TDA for Other Purposes** - Enter the amount of TDA funds being requested under this claim for other purposes. Please include an explanation of such other purposes in Document X.
- line 44     **STA for Other Purposes** - Enter the amount of STA funds (population-based and revenue-based) being requested under this claim for other purposes. Please include an explanation of such other purposes in Document X.
- line 45     **Total Maximum Allocation** - Spreadsheet calculates the sum of lines 41 through 45. This is the total combined TDA and STA allocation allowable for operating, capital, and other qualified purposes.

- line 46     **TDA for Qualified Service Extension** - Enter the amount of TDA to be allocated under this claim for operating support for qualified service extensions (see the instructions for line 2 for a definition of qualified service extensions).
- line 47     **STA for Qualified Service Extension** - Enter the amount of STA (population-based and revenue-based) to be allocated under this claim for operating support for qualified service extensions (see the instructions for line 2 for a definition of qualified service extensions).

**Instructions for Document H(c) - Maximum Allocation Worksheet - 50% Expenditure Limitation**

**Calculation of Maximum Eligible Operating Expense**

- line 1 **Total System Operating Expense** - Enter total system expense including capital and operations (See Pub. Util. Code §99268). Include principle and interest on bonded indebtedness, casualty and liability insurance premiums, claim settlements (those expenses falling under account class 506), costs of promoting/providing ridesharing services, vehicle lease costs, and direct costs of providing charter services. Do not include payments for subsidies for commuter rail service. If such payments are made by claimant, they are eligible for 100 percent funding and should be included under other on line 9, Exceptions to Expenditure Limitation. Do not include capital-intensive projects funded pursuant to Pub. Util. Code §99268.7.
- line 2 **Qualified Service Extensions** - Enter the total cost of service extensions pursuant to Pub. Util. Code §99268.8 which satisfy the definitions of 21 Cal. Code of Regs. §6619.1 and §6633.8.
- line 3 **Federal Operating Funds Anticipated** - Enter federal grants anticipated to be applied for in budget year, including capital, operations and planning.
- line 4 **Total Adjustments** - Spreadsheet calculates the sum of line 2 and line 3.
- line 5 **Net Expenses** - Spreadsheet calculates the difference of line 1 less line 4.
- line 6 **Net Eligible Expenses** - Spreadsheet calculates 50 percent of line 5. This amount represents the maximum TDA/STA for which the claimant is eligible under Pub. Util. Code §99268. Exceptions to this limitation are discussed below.

**Calculation of Maximum Eligible Allocation**

- line 7 **Qualified Service Extension** - Enter total TDA/STA funds requested for service extensions pursuant to Pub. Util. Code §99268.8. (line 7 should never exceed the amount shown on line 2 above.)
- line 8 **Capital Intensive Projects** - When TDA/STA funds remain unallocated because of the 50 percent expenditure limitation, MTC may allocate such funds for capital-intensive transit-related improvements in accordance with Pub. Util. Code §99268.7. Such capital-

intensive projects may be funded 100 percent from TDA/STA. Enter the amount of TDA/STA funds requested for capital-intensive projects.

line 9     **Other** - Enter any other project which is eligible for funding from TDA/STA (e.g., STA Special Projects). Specify project and amount of TDA/STA requested.

line 10    **Subtotal** - Spreadsheet calculates the sum of lines 7 through 9.

line 11    **Maximum TDA/STA Allocation** - Spreadsheet calculates the sum line 6 and line 10.

**Instructions for Document I(a) – TDA Eligibility Statement - Article 4**

Any Article 4 operator that is able to qualify under both the fare ratio requirement and the 50 percent expenditure limitation may choose the basis under which to qualify for an allocation of TDA/STA funds. Claimants that choose to qualify on the basis of maintaining a certain ratio of fares or fares plus local support to total operating cost must complete this form.

**Article 4 Claimants**

In order to be eligible for TDA funds, Article 4 operators must meet certain eligibility criteria. Typically, the eligibility criteria most often used is the farebox recovery ratio. Starting with claims for FY 2016-17, the statutes pertaining to farebox recovery standards for Article 4 claims was revised. Each operator must also determine its minimum required farebox recovery ratio, based on whether or not it provides service in urbanized or non-urbanized areas.

Operators may also be eligible for claim under Article 4 by meeting farebox recovery standards by coordinating that determination with BART. Operators who would like to comply with Article 4 eligibility standards under this provision should contact MTC to discuss use of this option first.

Operators providing service to an urbanized area in counties under 500,000 population as determined by the federal census may comply with the farebox recovery ratio set by MTC, which cannot, however, be less than 15 percent. Operators wanting a reduced farebox recovery should contact MTC to discuss use of this option. Prior to setting the required ratio, MTC shall make findings specifying the reasons for its action.

After claimants have determined the appropriate farebox recovery ratio (Article 4) and/or farebox including local support recovery ratio upon which to establish its eligibility, the claimant must submit a budget that reflects this minimum required ratio (project year budget).

**I ARTICLE 4 FAREBOX RECOVERY RATIO OPTIONS**

- line 1 Spreadsheet copies the calculated Fare Recovery Ratio from Document H(a)
- line 2 Spreadsheet copies the calculated Fares-Plus-Local-Fund ratio from Document H(a).
- line 3 In accordance with PUC §99268.2, or §99268.3, or §99268.4, an operator serving an urbanized area is required to achieve a fare recovery ratio of at least twenty percent. Enter the TDA Fare Recovery Ratio from line 1, above.
- line 4 If fare revenue is insufficient to meet the farebox recovery ratio, the farebox may be supplemented with “local funds” as defined by PUC Section 99268.19 in order to meet

the farebox eligibility standards. Enter the TDA Fares-Plus-Local-Funds Recovery Ratio from line 2, above.

- line 5 In accordance with PUC §99268.2, or §99268.3, or §99268.4, an operator serving a nonurbanized area and is required to achieve a fare recovery ratio equal of at least ten percent. Enter the TDA Fare Recovery Ratio from line 1, above.
- line 6 If fare revenue is insufficient to meet the farebox recovery ratio, the farebox may be supplemented with “local funds” as defined by PUC Section 99268.19 in order to meet the farebox eligibility standards. Enter the TDA Fares-Plus-Local-Funds Recovery Ratio from line 2, above.
- line 7 In accordance with PUC §99268.5, the operator is claiming funds to provide services using vehicles for the exclusive use of elderly and handicapped persons, and is required to achieve a fare recovery ratio equal to its FY 1978-79 base year fare recovery ratio, or ten percent, whichever is greater (operators not in service in FY 1978-79 are subject to the ten percent requirement). In a county which had less than 500,000 population as determined by the 1970 federal census and more than 500,000 in population as determined by the 1990 census, the required fare recovery ratio is at least twenty percent, if serving an urbanized area, and at least ten percent, if serving a nonurbanized area. (Use PUC §99268.5 only when NOT submitting a combined claim for Article 4 funded general public and Article 4 funded exclusive elderly and handicapped services.) Enter the TDA Fare Recovery Ratio from line 1, above.
- line 8 If fare revenue is insufficient to meet the farebox recovery ratio, the farebox may be supplemented with “local funds” as defined by PUC Section 99268.19 in order to meet the farebox eligibility standards. Enter the TDA Fares-Plus-Local-Funds Recovery Ratio from line 2, above.
- line 9 In accordance with PUC §99270.5, the operator provides service within the service area of the Bay Area Rapid Transit District, and is requesting that MTC make a determination that it is in compliance with PUC §99268.1, §99268.2, §99268.3, §99268.4 or §99268.5, as the case may be, on the basis that the its service is coordinated with BART's. Enter the TDA Fare Recovery Ratio from line 1, above.
- line 10 If fare revenue is insufficient to meet the farebox recovery ratio, the farebox may be supplemented with “local funds” as defined by PUC Section 99268.19 in order to meet the farebox eligibility standards. Enter the TDA Fares-Plus-Local- Funds Recovery Ratio from line 2, above.



- line 11 In accordance with PUC §99268.12, the operator is in a county with 500,000 population or less and serves an urbanized area, and MTC has made findings related to and set the required fare recovery ratio at less than twenty percent, but not less than fifteen percent. Enter the TDA Fare Recovery Ratio from line 1, above.
- line 12 If fare revenue is insufficient to meet the farebox recovery ratio, the farebox may be supplemented with “local funds” as defined by PUC Section 99268.19 in order to meet the farebox eligibility standards. Enter the TDA Fares-Plus-Local- Funds Recovery Ratio from line 2, above.
- line 13 In accordance with PUC §99270.2 (applicable to newly-designated urbanized areas) the operator is requesting a recovery ratio exemption. Enter the TDA Fare Recovery Ratio from line 1, above.
- line 14 If fare revenue is insufficient to meet the farebox recovery ratio, the farebox may be supplemented with “local funds” as defined by PUC Section 99268.19 in order to meet the farebox eligibility standards. Enter the TDA Fares-Plus-Local- Funds Recovery Ratio from line 2, above.
- line 15 Indicate the year covered by the exemption.
- line 16 If operator has failed to comply with fare or fares-plus-local-support recovery ratio requirement, list the years in the space provided. See PUC §99268.9 for a discussion of the Penalty Due to Noncompliance.

Certification: The certification statement must be signed by both the individual named in the authorizing resolution (Document B) and by the claimant’s chief financial officer or equivalent.

**Instructions for Document I(b) – TDA Eligibility Statement - Articles 4.5 & 8**

A copy of MTC Resolution 1209, Revised is available for download from MTC's Web site at:  
[http://www.mtc.ca.gov/funding/claim\\_forms.htm](http://www.mtc.ca.gov/funding/claim_forms.htm)

- line 1      Spreadsheet copies the TDA Fares-Plus-Local- Funds Ratio from Worksheet H(b).
- line 2      Pursuant to PUC §99275.5 (for Article 4.5 claimants) or PUC §99405(c) (for Article 8 claimants), operator qualifies under MTC Resolution No. 1209, Revised as a Special Transit Service claimant, and is required to achieve a fares-plus-local-funds recovery ratio (as defined in MTC Resolution No. 1209, Revised) of a minimum ten percent. Enter the Budgeted Fares-Plus-Local-Funds Recovery Ratio from line 1, above.
- line 3      Pursuant to PUC §99275.5 (for Article 4.5 claimants) or PUC §99405(c) (for Article 8 claimants), operator does not qualify under MTC Resolution No. 1209, Revised as a Special Transit Service claimant, and is required to achieve a fares-plus-local-match recovery ratio (as defined in MTC Resolution No. 1209, Revised) of a minimum twenty percent. Enter the Budgeted Fares-Plus-Local-Funds Recovery Ratio from line 1, above.
- line 4      In accordance with PUC §99268.12, and MTC Resolution No. 1209, Revised, the operator is in a county with 500,000 population or less and serves an urbanized area, and in a prior fiscal year MTC made findings (or is requested to make findings for the budget fiscal year) related to the size and density of the urbanized area in which the services to the general public are provided, and the proportion of the operator's ridership which is transit dependent (including elderly, handicapped and low income patrons), and MTC has set (or is requested to set) the required fares-plus-local-match recovery ratio at less than twenty percent, but not less than fifteen percent. Enter the Budgeted Fares-Plus-Local-Funds Recovery Ratio from line 1, above.
- line 5      In accordance with PUC §99270.2 (applicable to newly-designated urbanized areas) the operator is requesting a recovery ratio exemption. Enter the Budgeted Fares-Plus-Funds-Match Recovery Ratio from line 1, above.
- line 6      Indicate the year covered by the exemption.
- line 7      If an operator has failed to comply with fare or fares-plus-local-support recovery ratio requirement, list the years in the space provided. See PUC §99268.9 for a discussion of the Penalty Due to Noncompliance.

Certification: The certification statement must be signed by both the individual named in the authorizing resolution (Document B) and by the claimant's chief financial officer or equivalent.

**Instructions for Document I(c) - Eligibility Statement - 50% Expenditure Limitation**

Operators claiming eligibility under the 50% Expenditure Limitation (AC Transit, San Francisco Muni, Golden Gate Transit and VTA) need only sign the statement provided:

The claimant named below establishes its eligibility for an allocation of Transportation Development Act (TDA) and/or State Transit Assistance (STA) funds on the basis that it was in compliance with the expenditure limitation of Public Utilities Code §99268 in fiscal year 1978-79, and on the basis that its proposed FY 2005-06 budget reflects the combined expenditure of TDA and STA funds in an amount that will not exceed fifty percent of total expenditures for its public transportation system, exclusive of expenditures for qualified extensions of service, capital improvements to a grade-separated transit system, and capital intensive projects, in accordance with the provisions of Public Utilities Code §99268.1 and 21 California Code of Regulations §6633.1.

The certification statement must be signed by both the individual named in the authorizing resolution and the claimant's chief financial officer. Document I(a) does not need to be completed by operators claiming eligibility under the 50% Expenditure Limitation.

### **Instructions for Document I(d) - STA Eligibility Calculation**

STA eligibility in the MTC region is defined by PUC 99314.7:

99314.7. (a) In allocating funds for operating purposes pursuant to Sections 99313 and 99314, the Metropolitan Transportation Commission shall apply the following eligibility standards to the operators within the region subject to its jurisdiction:

(1) An operator is not eligible for its full allocation under this section unless the operator has been found to have made reasonable effort in implementing productivity improvements pursuant to Section 99244. In determining whether a reasonable effort has been made, the Metropolitan Transportation Commission shall give consideration to whether the operator would qualify for funding under Section 99314.6. The amount of funds allocated shall be reduced in an amount that the Metropolitan Transportation Commission deems proportionate to the failure of the operator to implement the recommended improvements. The Metropolitan Transportation Commission shall adopt rules and regulations, in cooperation with the affected operators, governing the allocation of any funds withheld under this paragraph, subject to paragraphs (2) and (3).

(2) Notwithstanding paragraph (1), an operator shall not receive any funds pursuant to Section 99313 or 99314 unless it has complied with the applicable rules, and regulations, and recommendations adopted by the Metropolitan Transportation Commission pursuant to Section 66516 and 66516.5 of the Government Code.

(3) Funds withheld from allocation to an operator pursuant to paragraph (1) shall be retained by the Metropolitan Transportation Commission for reallocation to that operator for two years following the year of ineligibility. With respect to the funds withheld from an operator pursuant to paragraph (1), the Metropolitan Transportation Commission shall reallocate those funds to the operator if the operator complies with that paragraph within two years. Funds not reallocated to the operator, and funds withheld pursuant to paragraph (2), shall be allocated to any eligible operator within the region subject to the jurisdiction of the Metropolitan Transportation Commission for the purpose of improving coordination among the operators, or to any operator whose increase in total operating cost per revenue vehicle hour is less than the increase in the Consumer Price Index. Funds allocated for these purposes are exempt from subdivision (a).

(b) For purposes of this section, operating cost, revenue vehicle hour, and Consumer Price Index have the same meaning as defined in Section 99314.6.

There are two efficiency standards. Efficiency Standard 1 states that an operator's cost per revenue vehicle hour in the most recent audited year should be equal to or less than the cost per revenue vehicle hour in the prior year increased by the change in the regional CPI for the same period. If the claimant fails Efficiency Standard 1, the claimant continues to Efficiency Standard 2.

Efficiency Standard 2 states that an operator's total operating cost per revenue vehicle hour in the most recent audited year should be equal to or less than the sum of the average total operating cost

per revenue vehicle hour for the three prior years plus an amount equal to that average cost increased by the average percentage change in the CPI for the same three years.

### **Efficiency Standard 1**

**Note:** Enter data for line 1 through line 13 in both column A and column B

line 1: **Total Operating Cost** - Enter total operating cost.

line 3 **Exclusions from Operating Costs** - Enter total exclusions from total operating cost which include depreciation and amortization, commuter rail subsidies, charter services, ridesharing costs, vehicle lease costs.

line 4 **Exclusion of New Service Operating Cost** - Exclusion of cost of new service (defined in PUC Sec. 99268.8; allowed for a max. 2-years) Enter operating costs to the extent they are included in the amounts shown on Total Operating Cost line.

line 5 **Allowable Exclusions Subtotal** – Spreadsheet calculates the Allowable Exclusions Subtotal.

line 7 **Costs Eligible for CPI Adjustment** - PUC Sec. 99314.6(b)(1)&(b)(2) allows cost increases above the CPI to be excluded from the STA calculations for the following items: fuel; alternative fuel programs; power, including electricity; insurance premiums and payments in settlement of claims arising out of the operator's liability; or state or federal mandates, including the additional operating costs required to provide comparable complementary paratransit service as required by Section 37.121 of Title 49 of the Code of Federal Regulations, pursuant to the Americans with Disabilities Act of 1990 (42 U.S.C. Sec. 12101 et seq.), as identified in the operator's paratransit plan pursuant to Section 37.139 of Title 49 of the Code of Federal Regulations.

For purposes of determining STA fund eligibility, MTC will use the CPI for all Urban Consumers in the San Francisco Bay Area.

line 8 **Change in Unadjusted Exclusions** – Spreadsheet calculates the unadjusted year-to-year change for costs eligible for CPI-adjusted exclusion.

line 10 **Change Attributable to CPI** - Spreadsheet calculates costs associated with CPI increase.

- line 11     **Allowable CPI-Adjusted Exclusion** - Spreadsheet calculates Allowable CPI-Adjusted Exclusion.
- line 12     **Operating Cost net of Allowable Exclusions** – Spreadsheet calculates operating cost net of all exclusions.
- line 13     **Adjusted Service Hours** – Enter the difference between the total revenue vehicle hours (in accordance with the definition of vehicle service hours in PUC 99247(h)) associated line 1 (total operating cost) and the revenue vehicle hours associated with line 4 (new service.)
- line 14     **Cost (net of Allowable Exclusions) per (Adjusted) Revenue Hour** – Spreadsheet calculates the cost per revenue hour, net of allocable exclusions, using adjusted revenue hours. This number should be equal to or lower than the CPI Inflated net cost per adjusted revenue hour in cell F23.
- line 15     **Efficiency Standard 1 Pass or Fail** – Spreadsheet calculates whether or not the claimant passed or failed the Efficiency Standard 1. If claimant failed Efficiency Standard 1 please proceed to Efficiency Standard 2 beginning with line 16.
- Note:**     Spreadsheet copies column A and column B from above. Enter data for line 16 through line 29 in both column C and column D
- line 16     **Total Operating Cost** - Enter total operating cost.
- line 18     **Exclusions from Operating Costs** - Enter total exclusions from total operating cost which include depreciation and amortization, commuter rail subsidies, charter services, ridesharing costs, vehicle lease costs.
- line 19     **Exclusion of New Service Operating Cost** - Exclusion of cost of new service (defined in PUC Sec. 99268.8; allowed for a max. 2-years) Enter operating costs to the extent they are included in the amounts shown on Total Operating Cost line.
- line 22     **Costs Eligible for CPI Adjustment** - PUC Sec. 99314.6(b)(1)&(b)(2) allows cost increases above the CPI to be excluded from the STA calculations for the following items: fuel; alternative fuel programs; power, including electricity; insurance premiums and payments in settlement of claims arising out of the operator's liability; or state or federal mandates, including the additional operating costs required to provide comparable complementary paratransit service as required by Section 37.121 of Title 49 of the Code of Federal Regulations, pursuant to the Americans with Disabilities Act of

1990 (42 U.S.C. Sec. 12101 et seq.), as identified in the operator's paratransit plan pursuant to Section 37.139 of Title 49 of the Code of Federal Regulations.

line 29    **Adjusted Service Hours** – Enter in Columns E, D & C the difference between the total revenue vehicle hours (in accordance with the definition of vehicle service hours in PUC 99247(h)) associated line 16 (total operating cost) and the revenue vehicle hours associated with line 20 (new service.)

line 36    **Efficiency Standard 2 Pass or Fail** – Spreadsheet calculates whether claimant passes or fails Efficiency Standard 2.

**Note:** The form must be signed by the claimant's Chief Financial Officer or Equivalent.



**Instructions for Document J(a) - Standard Certifications - Article 4 and RM2**

Certain requirements are placed on claimants in order to be eligible for an allocation of TDA and/or STA funds and RM2 funds. These requirements are stated as assurances of compliance in the Standard Certifications in Document J(a). To certify compliance, place an X in the space preceding each Certification that the claimant is required to comply. An authorized representative must sign the completed document.

The instructions below explain which claimants must comply with each requirement. Each lettered instruction refers to the same lettered paragraphs on Document J(a):

- A.** All claimants must comply.
- B.** All claimants must comply. (Pub. Util. Code §99243 and 21 Cal. Code of Regs. §6637.
- C.** All claimants must comply. (Pub. Util. Code §99246(c) and 21 Cal. Code of Regs. §6664.5).
- D.** Claimants that qualify for an allocation of TDA and STA funds under the fifty percent expenditure limitation must comply.
- E.** Claimants that file for funds for services which require a minimum ratio of fares to operating expenses of ten percent because they operate vehicles for the exclusive use of elderly and disabled passengers must comply.
- F.** Claimants that were allocated TDA and/or STA funds for the purpose of extending service pursuant to Pub. Util. Code §99268.8 must comply.
- G.** Claimants that file for TDA and/or STA funds under Pub. Util. Code §99260 must comply. Initial paragraph (a), (b) or (c) to indicate the status of the claimant's retirement system.
- H.** All claimants for STA funds (revenue-based and/or population-based) must comply.
- I.** Claimants that qualify for an allocation of TDA and/or STA funds under the fifty percent expenditure limitation and that receive funds in excess of that limitation for capital-intensive projects must comply.
- J.** All claimants must comply.
- K.** All claimants for STA funds (revenue-based and/or population-based) under Pub. Util. Code §99260 must comply. (21 Cal. Code of Regs. §6754(b)(1)). Transit operators responsible for completing Productivity Improvement Program (PIP) projects during the current fiscal year must submit to MTC as part of their annual applications for STA funds (revenue-based and/or population-based) a progress report for each such PIP project.
- L.** All claimants for STA funds (revenue-based and/or population-based) must comply. (21 Cal. Code of Regs. §6754(a)(3)).

- M.** All TDA and/or STA claimants must certify compliance with subparagraphs (a) and (b).
- N.** Any claimant for TDA and/or STA funds that employs drivers must comply by submitting with its application a copy of a California Highway Patrol (CHP) pull notice system certification (Cal. Veh. Code §1808.1), issued within the last 13 months. (Pub. Util. Code §99251).
- O.** All claimants must comply. (Pub. Util. Code §99155(e)).
- P.** All claimants operating a transit service, which connects, with another transit service operated in the MTC region must have current SB 602/ Government Code §66516 joint fare revenue sharing agreements in place with such connecting operators, and must have submitted to MTC copies of such current agreements.
- Q.** All claimants must certify that they comply with MTC's Transit Coordination Implementation Plan (MTC Resolution No. 3866). (Public. Util. Code §99314.5(c) and §99314.7).
- R.** All RM2 Claimants must certify that the prior fiscal year's RM-2 costs and revenues have been included in the project sponsor's general fiscal audit, and that the RM-2 costs and revenues for this fiscal year are included in the general fiscal audit for this fiscal year.
- S.** If RM2 applicant is a ferry operator, it certifies that it is current on all inspections and certifications required by federal and state agencies.
- T.** All RM2 applicants must agree to participate in studies on Integrated Fare Structures and Transit Connectivity, which are required under SB 916.

**Note:** The certification statement must be signed by the individual named in the claimant's authorizing resolution (Document B) of its application.

**Instruction for Document J(b) - Standard Certifications - Article 4.5 and 8**

Certain requirements are placed on claimants in order to be eligible for an allocation of TDA and/or STA funds. These requirements are stated as assurances of compliance in the Standard Certifications in Document J(b). To certify compliance, place an X in the space preceding each Certification that the claimant is required to comply. An authorized representative must sign the completed document.

The instructions below explain which claimants must comply with each requirement. Each lettered instruction refers to the same lettered paragraphs on Document J(b):

- A. All claimants must comply.
- B. All claimants must comply. (See 21 Cal. Code of Regs. §6637 for discussion of this requirement.)
- C. All claimants must comply. (See MTC Resolution No. 1209, Revised for further discussion of the requirement.)
- D. All claimants must comply. (21 Cal. Code of Regs. §6754(a)(3).)
- E. All claimants must comply with both E(a) and E(b).
- F. Article 8 transit service claimants (as defined under Pub. Util. Code §99209) must comply. (Effective July 1, 1988.)
- G. All claimants must comply. (Pub. Util. Code §99155(e).)
- H. All claimants operating transit services, which connect with the transit services of other operators in the MTC region, must have a current joint fare revenue sharing agreement in place with all such operators. The claimant must submit a current copy of all such agreements to MTC.
- I. All claimants must certify that they comply with MTC's Transit Coordination Implementation Plan (MTC Resolution No. 3866). (Public. Util. Code §99314.5(c) **and §99314.7**).

**Note:** The certification statement must be signed by the individual named in the claimant's authorizing resolution (Document B) of its application.

**Instructions for Document K – CHP Pull Notice Program**

Evidence of compliance with the California Highway Patrols Pull Notice Program (form CHP 339) must be submitted with each transit claim if claimant employs drivers. A copy of WestCAT's Pull Notice form is shown below:

DEPARTMENT OF CALIFORNIA HIGHWAY PATROL  
**TRANSIT OPERATOR COMPLIANCE CERTIFICATE**  
 CHP 339 (Rev 7-90) OPI 062

---

TRANSIT OPERATOR NAME  
 WESTERN CONTRA COSTA TRANSIT DEB: WESTCAT

---

ADDRESS		TELEPHONE NUMBER
601 WALTER AVE		(510) 724-04
CITY	ZIP CODE	COUNTY
PINOLE	94564	CONTRA COSTA

This is to certify that the above named transit operator was inspected on this date and found to be in compliance with California Vehicle Code Sec 1808.1, regarding participation in the Department of Motor Vehicles Pull Notice Program, and with Section 12804.6, regarding transit bus operator certificates.

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ISSUED BY	I.D. NUMBER	DATE
LUIS MONTANO JR	A9497	8-7-03

Destroy previous editions.

**Instructions for Document 1107 - AB 1107 Funds, Qualification and Allocation Request**

- line 1      Enter total operating cost as defined in PUC 29142.4(b).
- line 2      Enter fare revenues as defined in PUC 29142.4(b).
- line 3      Spreadsheet calculates the ratio of fare revenues to total operating cost. If line 3 is less than 33%, but more than 28 percent, provide narrative justification on Document X. MTC will base its decision to grant a fare credit of up to 5 percent on the narrative justification. If line 3 is less than 28 percent, complete part B.
- line 4      Enter local support that exceeds base level support. This calculation must be reviewed by MTC staff.
- line 6      Spreadsheet calculates ratio of fare revenues and excess base support to total operating cost. This must equal or exceed 33%.

## **Instructions for Document RM2 – Operating Assistance Proposal**

For all projects – Resolution Language: Please insert the following language into the authorizing resolution for the TDA/STA/(AB) 1107 application:

Whereas, SB 916 (Chapter 715, Statutes 2004), commonly referred as Regional Measure 2, identified projects eligible to receive funding under the Regional Traffic Relief Plan; and

Whereas, the Metropolitan Transportation Commission (MTC) is responsible for funding projects eligible for Regional Measure 2 funds, pursuant to Streets and Highways Code Section 30914(c) and (d); and

Whereas, MTC has established a process whereby eligible transportation project sponsors may submit allocation requests for Regional Measure 2 funding; and

Whereas, allocations to MTC must be submitted consistent with procedures and conditions as outlined in Regional Measure 2 Policy and Procedures; and

Whereas, (agency name) is an eligible sponsor of transportation project(s) in Regional Measure 2, Regional Traffic Relief Plan funds; and

Whereas, the (project title) is eligible for consideration in the Regional Traffic Relief Plan of Regional Measure 2, as identified in California Streets and Highways Code Section 30914(c) or (d); and

Whereas, the Regional Measure 2 allocation request, attached hereto in the Operating Assistance Proposal and incorporated herein as though set forth at length, demonstrates a fully funded operating plan that is consistent with the adopted performance measures, as applicable, for which (agency name) is requesting that MTC allocate Regional Measure 2 funds; and

Whereas, Part 2 of the project application, attached hereto and incorporated herein as though set forth at length, includes the certification by (agency name) of assurances required for the allocation of funds by MTC; now, therefore, be it

Resolved, that (agency name), and its agents shall comply with the provisions of the Metropolitan Transportation Commission’s Regional Measure 2 Policy Guidance (MTC Resolution No. 3636); and be it further

Resolved, that (agency) certifies that the project is consistent with the Regional Transportation Plan (RTP).

Resolved, that (agency name) approves the updated Operating Assistance Proposal, attached to this resolution; and be it further

Resolved, that (agency name) approves the certification of assurances, attached to this resolution; and be it further

Resolved, that (agency name) is an eligible sponsor of projects in the Regional Measure 2 Regional Traffic Relief Plan, Capital Program, in accordance with California Streets and Highways Code 30914(d); and be it further

Resolved, that (agency name) is authorized to submit an application for Regional Measure 2 funds for (project name) in accordance with California Streets and Highways Code 30914(d); and be it further

Resolved, that (agency name) certifies that the projects and purposes for which RM2 funds are being requested are in compliance with the requirements of the California Environmental Quality Act (Public Resources Code Section 21000 et seq.), and with the State Environmental Impact Report Guidelines (14 California Code of Regulations Section 15000 et seq.) and, if relevant the National Environmental Policy Act (NEPA), 42 USC Section 4-1 et seq. and the applicable regulations thereunder; and be it further

Resolved, that there is no legal impediment to (agency name) making allocation requests for Regional Measure 2 funds; and be it further

Resolved, that there is no pending or threatened litigation which might in any way adversely affect the proposed project, or the ability of (agency name) to deliver such project; and be it further

Resolved that (agency name) indemnifies and holds harmless MTC, its Commissioners, representatives, agents, and employees from and against all claims, injury, suits, demands, liability, losses, damages, and expenses, whether direct or indirect (including any and all costs and expenses in connection therewith), incurred by reason of any act or failure to act of (agency name), its officers, employees or agents, or subcontractors or any of them in connection with its performance of services under this allocation of RM2 funds. In addition to any other remedy authorized by law, so much of the funding due under this allocation of RM2 funds as shall reasonably be considered necessary by MTC may be retained until disposition has been made of any claim for damages.

Resolved, that (agency name) shall, if any revenues or profits from any non-governmental use of property (or project) that those revenues or profits shall be used exclusively for the public transportation services for which the project was initially approved, either for capital improvements or maintenance and operational costs, otherwise the Metropolitan Transportation Commission is entitled to a proportionate share equal to MTC's percentage participation in the project(s); and be it further

Resolved, that (agency name) authorizes its (Executive Director, General Manager, or his/her designee) to execute and submit an allocation request for operating or planning costs for (Fiscal Year) with MTC for Regional Measure 2 funds, for the project, purposes and amounts included in the project application attached to this resolution; and be it further

Resolved, that the (Executive Director, General Manager, or his/her designee) is hereby delegated the authority to make non-substantive changes or minor amendments to the IPR as he/she deems appropriate.

Resolved, that a copy of this resolution shall be transmitted to MTC in conjunction with the filing of the (agency name) application referenced herein.

For each project – RM2 Operating Assistance Proposal: use one RM2 spreadsheet for each eligible project. If multiple routes fall within the project, each route must have its own RM2 spreadsheet.

line A - Enter the RM2 legislative project title.

line B - Enter a brief description of the service and include information about markets being served (both travel demand as well as interoperator connections.) Please submit a map of the service. If requesting eligible planning funds, please describe activities funded with RM2.

line C - Enter Service Description: fill out the table completely with time span of service, peak and off-headways, peak and off-peak vehicles, and daily revenue hours for one weekday, Saturday, and Sunday.

line D – Cost Allocation Plan/Cost Methodology – describe how the costs are calculated for the service. Subsequent invoices are expected to be consistent with this method.

line E – Costs Type: check the appropriate box to indicate if costs are fully allocated or marginal.

line F- Performance Measures: check the appropriate box to indicate if performance will be based on the total costs and total farebox for the entire route or if it will be based on the RM2 increment of service.

line G - Environmental Clearance – Please indicate the type of environmental clearance prepared for the service in cell #1. Please enter the date or anticipated date of completion in cell #2.

H – Operating Plan – The Operating Plan contains eight (8) columns.

Column 1 - Past Actual numbers must be reported in the first column and must tie to the prior fiscal year's invoices from your agency. This is the only column that must contain actual numbers rather than complete or partial estimates.

Column 2 - Current Year Revised numbers entered should be a combination of actual and estimated numbers within the current, incomplete fiscal year.

Column 3 – the Budget column is the year you are requesting operating funds for and contains estimates based on your RM2 budget.

Columns 4-8 - enter estimated numbers for all five columns following the budget year you are requesting funding for.

line H1 – Total Operating Cost – this is the total cost of the entire service for the fiscal year.

line H2 – RM2 Operating Cost – this is the total cost of the RM2 increment of service. The cost of the increment may be higher than the amount of RM2 operating assistance requested/eligible.

line H3 – Fare Revenue – enter the total fare revenue for the project for the fiscal year. Check the appropriate box to show if the fares reported are for the entire service or just the RM2 increment.

line H4 – RM2 Operating Assistance Request – enter the amount programmed by MTC for your project. The amounts entered should not exceed the amount programmed for each operating project in MTC resolution 3853 for fiscal year 2008-2009. The resolution can be found at MTC's web site.



line H5 – Other Operating Revenue – enter the amount of other operating revenue dedicated/budgeted to the project. Other operating revenue is funding taken in by the project sponsor, like earned interest and advertising sales revenue.

line H6 – Other Subsidy – enter the amount of other subsidy dedicated/budgeted to the project. This includes sales tax revenue, private contributions, and other funding not provided by RM2.

line H7 - Total Subsidy – these cells will automatically become populated when lines G3 through G5 are filled in for the total service.

line H8 – Total Revenues - these cells will automatically become populated when lines G2 through G5 are filled in.

line H9 - Surplus/(Deficit) – these cells will automatically become populated when line G1 is filled in and line G7 is populated. This line should equal to zero. If it does not equal to zero, adjustments should be made to the amount of RM2 revenue used or to the amount of subsidy contributed. RM2 must be reduced if there is a surplus.

### **I – Service Parameters**

line I1 – Estimated Annual Ridership – enter the number of passengers served/anticipated to be served by the service.

line I2 – Average Weekday Ridership – enter the number of riders served on an average weekday.

line I3 – Total Annual Revenue Hours – enter the amount of annual revenue hours for the project for the entire fiscal year.

line I4 – Total Annual RM2 Hours – enter the amount of annual revenue hours for the RM2 increment for the entire fiscal year.

line I5 - Annual Revenue Miles – enter the annual revenue miles for the project for the entire fiscal year.

lines J1 - K3. Performance Measures – these cells will populate automatically when the Operating Plan and Service Parameters tables are filled in.

**Instructions for Document X – Explanatory Notes**

Document X is provided to allow claimants space to provide any necessary explanatory and/or supplemental information. Please reference remarks to a specific tab and line number.