



ORANGE COUNTY TRANSPORTATION AUTHORITY

**Community-Based Transit/Circulators Program Guidelines
and Call for Projects**


Transmittal



COMMITTEE TRANSMITTAL

November 23, 2015

To: Members of the Board of Directors

From:  Laurena Weinert, Clerk of the Board

Subject: Community-Based Transit/Circulators Program Guidelines and Call for Projects

Executive Committee Meeting of November 2, 2015

Present: Chairman Lalloway, Vice Chair Donchak, and Directors Hennessey, Murray, Nelson, Spitzer, Steel, and Ury

Absent: None

Committee Vote

This item was passed by the Members present.

Committee Recommendations

- A. Approve the updates to the Project V – Community-Based Transit Circulators Program guidelines.
- B. Authorize staff to issue the 2016 call for projects for the Project V – Community-Based Transit Circulators Program for approximately \$20 million.

Committee Discussion

At the November 2, 2015 Executive Committee (Committee) meeting, the Committee requested clarification and changes to the Project V Guidelines presented by the staff. This transmittal is intended to provide you with an overview of the goal of the program and highlight changes requested by the Committee.

The goal of the program is to expand community-based transit services and meet transit needs in areas not served by regional transit services.



COMMITTEE TRANSMITTAL

Based on the prior call for projects, staff is recommending changes that increase flexibility for local agencies (e.g., more time to meet performance metrics), increase local accountability (e.g., new metrics for service quality), and respond to changed conditions (e.g., increased project funding maximums in response to inflation).

The Committee recommended that the new metrics for on-time performance and customer satisfaction be consistent with the Orange County Transportation Authority's (OCTA) standards or practices. For this reason, the on-time performance metric is recommended to be 85 percent (consistent with OCTA's standard) on an ongoing basis and customer satisfaction to be 90 percent "satisfied" based on OCTA's experience in recent customer satisfaction surveys. These changes are identified in Section 5.3 on page 4 of the Revised Attachment A.

The scoring criteria (Attachment B) was also discussed at the meeting. The criteria provides a balanced approach for points distribution to regional/local benefits while considering the importance of cost effectiveness and project readiness to ensure maximum benefit of the Measure M investments in transit services funded with Project V.

Project V – Community-Based Transit/Circulators Program Guidelines

1.0 Overview

The ~~his~~ Measure M2 (M2) Project V- Community-Based Transit/Circulators Program establishes a competitive process to enable local jurisdictions to develop ~~local bus~~ community based local transit services that complement regional transit services, and meet needs in areas not adequately serviced by regional transit. Projects must meet specific criteria in order to compete for funding through this program. In addition, local jurisdictions will be required to demonstrate the ability to provide funding match for capital and ongoing local share of operations and maintenance using non-Orange County Transportation Authority (OCTA) resources¹. Public-private partnerships² are encouraged but not required. Local jurisdictions may partner with each other.

Regional Transit: Regional Transit services are provided by OCTA, specifically through routes 1 through 99 (and excluding those route sections that perform less than 10 boardings per revenue vehicle hour). Additional information on OCTA routes and schedules can be accessed from OCTA website at www.octa.net.

2.0 Objectives

- To provide community transit service that is safe, clean and convenient.
- ~~Encourage development of local bus transit services such as community-based circulators, shuttles, and bus trolleys~~
- To encourage new, well-coordinated, flexible transportation systems customized to each community's needs.
- ~~Provide services that complement regional bus and rail services and meet needs in areas not adequately served by regional transit.~~
- To develop local bus transit services such as community-based circulators, shuttles, and bus trolleys that complement regional bus and rail service.
- ~~Provide alternatives to address seasonal/special event congestion~~
- To meet transportation needs in areas not served by regional transit.
- ~~Approximately \$300 million (nominal dollars) available from fiscal years 2010-11 to 2040-41~~

3.0 Project Participation Categories

Transit needs may differ from one location to the next, and projects pursued under this program have significant latitude on how the challenge of delivering community based transit will be delivered. The program categories listed below identify key project elements that can be pursued through the Project V funding source. ~~Selection criteria will parallel Federal Transportation Administration (FTA) programs wherever possible to aid in~~

¹ Fairshare revenues are considered non-OCTA resources.

² Public-private partnerships are defined as direct financial contributions or sponsorships for eligible program activities.

~~streamlining the competitive process.~~ The program categories eligible for funding through Project V are:

3.1 Planning for new service (Up to \$50,000 per agency)

- Need for Community-Based Transit/Circulator Services
- Origin and Destination Studies
- Surveys and Marketing Research
- Development of Proposed Service Plans
- Transit Coordination Studies

3.2 Capital

- Bus and vehicle leases/purchases for the purposes of providing community based circulators, shuttles, and trolleys
- ~~Bus stop improvements (including signage, furniture, and shelters) on the new route~~
- Equipment for the deployment, implementation and use of Project V-funded services, including but not limited to:
 - Bike racks
 - Software
 - Communications equipment
 - Fare collection equipment
 - Passenger amenities
 - Americans with Disabilities Act (ADA) equipment for vehicles
- Maintenance facilities and fueling stations required for the new bus-transit service
- Bus stop improvements (including signage, furniture, and shelters) for Project V funded service stops only.

3.3 Operations and Maintenance

- Fixed route, deviated fixed route, demand responsive, seasonal community transit and shuttle services including administration, operations and maintenance of services
- Services to be operated by OCTA. Local agencies may propose an alternate service provider which will be considered at the discretion of OCTA
- Parking leases needed in response to expanded transit services ~~required to alleviate seasonal and or special event congestion~~
- ~~Seasonal and special event is eligible when:~~
 - ~~Seasonal service; or~~
 - ~~The event is infrequent; and~~
 - ~~Attendance will exceed parking capacity; or~~
 - ~~The event will create significant congestion~~
- Special event shuttle services for events that will create significant congestion
- Other flexible and innovative transit services contingent on the service plan and anticipated service performance
- Marketing efforts including expenditures related to service schedules, marketing materials such as flyers and brochures, and community outreach efforts. Project V

contributions for marketing will be capped at \$25,000 for the startup cost and up to \$10,000 annually thereafter for the remaining grant period.

- ~~• Consistent with Federal Transit Administration guidelines, Americans with Disabilities Act (ADA) complementary paratransit service costs are considered capital costs for the purposes of this program~~
- ~~• Projects meeting minimum performance requirements may request operations funding through the operating reserve incentive~~
- ~~• Right-of-way is not eligible.~~

Agencies may be awarded a total from all project categories of no more than \$550,000 annually for a period of up to seven years per project.

4.0 Ineligible Categories

Project V funds may not be used for the following:

- right of way acquisition
- to supplant existing transit services (subject to the Regional Transit definition in Section 1)
- fare subsidies

5.0 Project Category Requirements

All projects funded through Project V must comply with the Comprehensive Transportation Funding Programs Guidelines, unless specifically noted in the agreement with the local agency and must comply with applicable state and federal laws, including American with Disabilities Act (ADA) requirements for transit services.

5.1 Planning for new service

Cities must provide a scope of work for the proposed planning document requesting Project V funds. The scope must include project need and goals and objectives for the proposed or considered service. OCTA transit planning staff must be included in the development of any planning documents funded through the Project V planning category. Planning documents must include specific recommendations for community-based transit/circulator services that can be implemented within the operating subsidy provided through Project V and must consider coordination with existing services. Plans may also consider ways to eliminate duplication of service or to improve service by combining resources. Progress on planning projects must be reported to OCTA through the semi-annual review process. Agencies will be required to submit all data and planning documents to OCTA in order to receive final payment.

5.2 Capital

Project V funding is available to offset the costs of purchasing or leasing vehicles, equipment and other amenities as described in Section 3.2. Progress on capital projects must be reported to OCTA through the semi-annual review process. Agencies must inspect vehicle purchases to ensure they meet specifications prior to final acceptance and withhold retention until warranty issues and/or final acceptance is met. If vehicles are sold before the end of their useful life or if service is

discontinued, agencies shall repay OCTA the same percentage of the sale price or estimated value based on straight line depreciation of asset consistent with the Project V percentage of the initial purchase.

5.3 Operations and Maintenance

OCTA has established an operating reserve as part of this program that may be used to support the costs of operations and maintenance. The operating reserve is subject to the following requirements:

- For seasonal community shuttles, fixed route service, event shuttle and similar services, the project must meet a minimum performance standard. The Project V funded service must achieve the performance standard of 6 passenger boardings per revenue vehicle hour (RVH) within the first 12 months of operations and must achieve the 10 passenger boardings per RVH within the first 24 months of operations and every year thereafter. For other proposed transit services such as vanpool, demand responsive, deviated fixed route service or another innovative service delivery model, a different ridership service standard may be required consistent with the type of service being proposed. Local agencies may propose an alternative ridership measure or standard, other than those listed above, which would be considered on a case by case basis.
- As part of the Project V service, local agencies must develop strategies to measure ridership satisfaction and on-time performance and must achieve a 85% on-time performance on an ongoing basis and rider satisfaction must be 90% satisfied based on customer surveys.
- Awarded agencies must submit operations and maintenance costs and ridership and fare performance data to OCTA on a quarterly basis. The OCTA Transit Committee will be provided with summarized information from these reports on a quarterly basis.
- OCTA will reimburse awarded agencies on a pro-rata basis but not to exceed \$9 per boarding, not to exceed 90 percent of net operating and maintenance costs whichever is less. The \$9 per boarding may increase annually by an OCTA-approved inflationary factor.
- Consistent with Federal Transit Administration guidelines, Americans with Disabilities Act (ADA) complementary paratransit service is required for certain types of transit operations. For Project V funded services, paratransit services will covered with Project V funds through the OCTA Board policy. Agencies receiving Project V funds will be required to adopt a paratransit plan prior before starting operations.

4.0 Operating Reserve Incentive

~~OCTA has established an operating reserve as part of this program that may be used to offset the costs of operations and maintenance. The operating reserve is subject to the following requirements:~~

- ~~1. The project must have been awarded Project V funds through a competitive process and meet a minimum standard of 10 boarding's per revenue vehicle hour on an ongoing basis. The standard of 10 boarding's per revenue vehicle hour must be achieved within the first 12 months of operation and every year thereafter.~~

- ~~2. Awarded agencies must submit audited operations and maintenance costs and ridership and fare performance data to OCTA by September 30 of each year for the prior fiscal year~~
- ~~3. OCTA will reimburse awarded agencies on a pro-rata basis but not to exceed \$8 per boarding, not to exceed 90 percent of net operating and maintenance costs (after deducting fares/fees), whichever is less. The \$8 per boarding may increase annually by an OCTA-approved inflationary factor. Agencies may be awarded no more than \$525,000 annually over the life of the call period including any request for capital funding.~~

~~All submitted materials are subject to audit prior to OCTA reimbursements. Funds not used in a given year will become available for future calls for projects.~~

~~5.0 Capital Match Funding Requirements~~

~~6.0 Agency Match Requirements~~

~~Local funding must meet are required to provide a minimum-10% non-OCTA match for all Project V components (see section 5.3 for instances where a higher match may be required for operations and maintenance) ten percent match requirement for the entire capital project comprised of any combination of private contributions, advertising revenues, and local discretionary funds. The match may be comprised of any combination of private contributions, advertising revenues, local discretionary funds and farebox revenue. Farebox revenue cannot be used for capital match. The match may not be made up of in-kind services. Capital match funding commitments in excess of ten percent are eligible for additional points scoring. The OCTA contribution for Operations and Maintenance will not exceed \$9 per boarding, therefore actual match provided by the local agency may be greater than 10% depending on the ridership. Match funding Agency match commitments will be incorporated into the master-funding agreement.~~

~~6.0~~ 7.0 Eligibility Requirements

Minimum eligibility and participation requirements must be considered before a project funding application should be submitted. Adherence to strict funding guidelines is required by the M2 Ordinance. Additional standards have been established to provide assurance that M2 funds are spent in the most prudent, effective manner. There is no guarantee that funding will be approved during a particular call for projects. If no acceptable project is identified during a funding cycle, a subsequent call for projects will be scheduled at an appropriate time.

- Applicant must be eligible to receive M2 funding (established on an annual basis) to participate in this program
- Support recommendations from Transit System Study, OCTA Short Range Transit Plan, Go Local planning efforts and goals of the Sustainable Communities Strategy
- Supplement rather than supplant existing transit services and emphasize service to areas not served by transit
- Demonstrate local share of operations and maintenance funding for specific time horizon
- ~~• Capital equipment requires 10 percent non-Orange County Transportation Authority local match~~

- Demonstration of cost reasonableness for new bus stop improvements
- Agency must have a financial plan outlining a funding strategy for ongoing operations and maintenance (minimum of five years)
- The service operator is OCTA. Local agencies may propose an alternate service provider which will be considered at the discretion of OCTA
- Local agency will be required to enter into a cooperative funding agreement with OCTA
- All projects must include meeting ADA requirements, and these costs must be included in the project application
- ~~Project application must meet minimum competitive score to be deemed eligible and "of merit" (as determined by the OCTA Board of Directors [Board])~~
- Complete applications must be approved by the city council and partner jurisdictions prior to submittal to OCTA to demonstrate adequate community and elected official support for initial consideration
- ~~Agencies submitting for funding must agree to follow applicable FTA requirements including FTA procurement policies; waiver requests are subject to OCTA approval~~
- ~~Participation in operating reserve requires 10 percent local match after deducting fares~~
- Local agencies ~~or agency's operator~~ will be required to submit annual appropriate National Transit Database reporting data to OCTA or local agency's operator must submit directly to the National Transit Database.

~~7.0~~ Selection Criteria

~~Specific selection criteria will be used to evaluate competitive program project applications. Emphasis is placed on projects with firm financial commitments and overall project readiness as shown on the Project V scoring criteria. In addition, projects will be evaluated based upon ridership projections, areas served, cost effectiveness, and local/regional benefits.~~

8.0 Application Process

Project V allocations are determined through a competitive application process. Local agencies seeking funding must complete a formal application and provide supporting documentation that will be used to fully evaluate the project proposal. ~~as outlined below. An application for any proposed service must include a detailed funding/operations plan. Note that as described in Section 3.1, Project V funds are eligible for the development of a detailed funding/operations plan prior to submittal of an application for operation of the proposed service.~~

The project application for capital and operations and maintenance shall include, at a minimum, the following information:

- Project need, goals and objectives
- Project development and implementation schedule
- ~~Complete application~~
- ~~Provide funding/operations plan~~
- ~~Allocations subject to cooperative funding agreement~~

The funding plan shall include, at a minimum, the following information:

- ~~Financials~~ Funding plan (funding needs, match funding availability, operations funding assurances, and public-private partnership arrangements)
- Ongoing service and operations plan
- ~~Project development and implementation schedule~~
- Operations and maintenance facility management
- ~~Service coordination plan~~
- Any additional information deemed relevant by the applicant
- Ridership Projection
- Coordination with existing services such as OCTA transit services, existing Project V services, Metrolink, I-Shuttle, Anaheim Transportation Network and/or Senior Mobility Program

The project application for planning for new projects shall include a scope of work for the proposed planning document requesting Project V funds. The scope must include project need and goals and objectives for the proposed or considered service.

~~A call for projects for the initial funding cycle is expected to be issued December 3, 2012, with applications due March 29, 2013, subject to approval by the OCTA Board. Complete project applications must be submitted by the established due date to be eligible for consideration.~~

Applications will be reviewed by OCTA for consistency, accuracy, and concurrence. For applications ~~Once applications have been~~ completed in accordance with the program requirements, the projects will be scored, ranked and submitted to the Executive Committee, and the Board for consideration and funding approval. The process is expected to be concluded by ~~April 30, 2013.~~ June 30, 2016.

The final approved application (including funding plan) will serve as the basis for any funding agreement required under the program. The approved projects will be subject to the Comprehensive Transportation Funding Programs (CTFP) Guidelines for project delivery requirements.

9.0 Application Guidelines

Project selection is based upon merit utilizing a series of qualitative and quantitative criteria. Candidate projects are required to submit a financial plan with sufficient data to enable an adequate evaluation of the application. Each jurisdiction is provided broad latitude in formatting, content, and approach. However, key elements described below must be clearly and concisely presented to enable timely and accurate assessment of the project.

9.1 Financial Details

Each candidate project application must include all phases through construction of facilities. The financial plan will include, at a minimum, the following information:

- Estimated project cost for each phase of development (planning, environmental, permitting, design, right-of-way acquisition, [equipment and vehicle acquisition](#), construction, and project oversight)
- Preliminary cost estimates for operations and maintenance should be coordinated with OCTA.
- Funding request for each phase of project implementation with match funding amounts and funding sources clearly identified
- Demonstrated financial commitments for match funding and ongoing operations
- Discussion of contingency planning for revenue shortfalls
- Revenue projections and methodology where commercial activity is expected to support implementation and/or operations costs
- Project readiness status
- Realistic project schedule for each project phase

9.2 Scoring Criteria

Specific selection criteria will be used to evaluate the competitive program project applications. Emphasis is placed on projects with firm financial commitments and overall project readiness as shown in the Project V scoring criteria. In addition, projects will be evaluated based upon ridership projections, areas served, cost effectiveness and local/regional benefits.

The formal application must include feasibility and efficacy components to demonstrate transportation benefit to ensure the selected project(s) meet the spirit and intent of M2. Merit will be demonstrated through technical attributes and industry standard methodologies. The following data will be included and fully discussed in the application:

- Matching funds
- Level of commitment from non-applicant partners
- Operating cost per boarding for opening year
- Annualized cost per incremental passenger trip for opening year
- Project readiness including projected opening year and phase readiness
- Projected daily boardings with projection methodology fully presented
- Community connections; connections to fixed route bus and rail
- Planned employment densities per square mile for opening year
- Planned population densities per square mile for opening year
- Projected annual visitors served by seasonal route
- Other Local and Regional Benefits
- Agency experience

9.3 Other Application Materials

Supporting documentation will be required to fully consider each project application. In addition to the information described above, local agencies will be required to submit the following materials:

9.3.1 Council Resolution: A council resolution authorizing request for funding consideration with a commitment of project match funding (local sources) and operating funds as shown in the funding plan.

9.3.2 Lease/Cost Sharing Agreements: Copies of leases, sponsorship, and/or advertising revenue documents. Confidential agreements may be included for reference when accompanied by affidavit from city treasurer or finance director.

9.3.3 Project Documentation: If the proposed project has completed initial planning activities (such as project study report or equivalent, environmental impact report, or design), evidence of approval should be included with the application. Satisfactory evidence includes project approval signature page, engineer-stamped site plan, or other summary information to demonstrate completion or planning phases. The applicant will be asked for detailed information only if necessary to adequately evaluate the project application.

9.3.4 Operations Plan: In addition to the financial details indicated in 8.1, the operations plan submitted shall include the following technical data: a route map, draft time table, headways, stop location listing, summary of vehicle types and characteristics, speed profile, fleet size, and any other applicable supporting documentation.

10.0 Reimbursements

The planning, capital and marketing and outreach programs are administered on a reimbursement basis. Planning, capital and marketing and outreach reimbursements will be disbursed upon review and approval of a complete expense report, performance report, and consistent with the cooperative funding agreement. Local agency revenues provided to OCTA for ongoing operating assistance will be in accordance with terms identified in the cooperative funding agreement. If the agency uses an operator other than OCTA, then operations will be administered on a reimbursement basis.

11.0 Project Cancellation

Projects deemed infeasible during the planning process will be cancelled and further expenditures will be prohibited except where necessitated to bring the current phase to a logical conclusion.

Cancelled projects will be eligible for re-application upon resolution of issues that led to original project termination.

12.0 Audits

• All M2 payments are subject to audit. Local agencies must follow established accounting requirements and applicable laws regarding the use of public funds. Failure to submit to an audit in a timely manner may result in loss of future funding. Misuse or misrepresentation of M2 funding will require remediation which may include repayment, reduction in overall allocation, and/or other sanctions to be determined. Audits shall be conducted by the OCTA Internal Audit Department or other authorized agent either through the normal annual process or on a schedule to be determined by the OCTA Board.

9.2— Scoring Criteria

The formal application must include feasibility and efficacy components to demonstrate transportation benefit to ensure the selected project(s) meet the spirit and intent of M2. Merit will be demonstrated through technical attributes and industry standard methodologies. The following data will be included and fully discussed in the application:

- Match funding and level of commitment from non applicant partners
- Operating cost per boarding for opening year
- Annualized cost per incremental passenger trip for opening year
- Project readiness including projected opening year and phase readiness
- Projected daily boarding's with projection methodology fully presented
- Community connections; connections to fixed route bus and rail
- Planned employment densities per square mile for opening year
- Planned population densities per square mile for opening year
- Projected annual visitors served by seasonal route
- Agency experience

9.3— Other Application Materials

Supporting documentation will be required to fully consider each project application. In addition to the information described above, local agencies will be required to submit the following materials:

9.3.1 *Council Resolution:* A council resolution authorizing request for funding consideration with a commitment of project match funding (local sources) and operating funds as shown in the funding plan.

9.3.2 *Lease/Cost Sharing Agreements:* Copies of leases, sponsorship, and/or advertising revenue documents. Confidential agreements may be included for reference when accompanied by affidavit from city treasurer or finance director.

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9.3.4 *Operations Plan:* In addition to the financial details indicated in 8.1, the operations plan submitted shall include the following technical data: a route map, draft time table, headways, stop location listing, summary of vehicle types and characteristics, speed profile, fleet size, and any other applicable supporting documentation.

10.0—Reimbursements

~~The capital program is administered on a reimbursement basis. Capital reimbursements will be disbursed upon review and approval of a complete expense report, performance report, and consistent with the cooperative funding agreement. Local agency revenues provided to OCTA for ongoing operating assistance will be in accordance with terms identified in the cooperative funding agreement.~~

11.0—Project Cancellation

~~Projects deemed infeasible during the planning process will be cancelled and further expenditures will be prohibited except where necessitated to bring the current phase to a logical conclusion.~~

~~Cancelled projects will be eligible for re-application upon resolution of issues that led to original project termination.~~

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~~All M2 payments are subject to audit. Local agencies must follow established accounting requirements and applicable laws regarding the use of public funds. Failure to submit to an audit in a timely manner may result in loss of future funding. Misuse or misrepresentation of M2 funding will require remediation which may include repayment, reduction in overall allocation, and/or other sanctions to be determined. Audits shall be conducted by the OCTA Internal Audit Department or other authorized agent either through the normal annual process or on a schedule to be determined by the OCTA Board.~~

Project V - Community-Based Transit/Circulators Scoring Criteria for Eligible Projects

ATTACHMENT B

A. Measure M2 Eligible	Yes	No
B. In Go Local planning and/or 2011 Transit Study, supports goals of Sustainable Communities Strategy	Yes	No
C. Minimum five-year operations and maintenance plan	Yes	No
D. Total project cost (information only)	\$ (Capital)	

Financial Commitment/Partnership (15 points maximum)

Match Funding (Capital)

≥50%	10 points
40% - 49%	8 points
30% - 39%	6 points
20% - 29%	4 points
11% - 19%	2 points

Level of Commitment from Non Applicant

Binding agreement	5 points
Commitment letter	2 points

Cost-Effectiveness (20 points)

Operating Cost per Boarding Opening Year

<\$6.00	10 points
\$6.01 - \$8.99	8 points
\$9.00 - \$11.99	6 points
\$12.00 - \$15.00	4 points

Annualized Operating and Capital Cost per Boarding Opening Year

<\$7.00	10 points
\$7.01 - \$10.00	8 points
\$10.01 - \$13.00	6 points
\$13.01 - \$16.00	4 points
\$16.01 - \$20.00	2 points

Project Readiness (20 points)

Estimated Opening Year

By 2017	10 points
By 2018	8 points
By 2019	4 points
By 2020	2 points

Phase Readiness

Planning and environmental complete	10 points
Right-of-way acquired or not applicable	5 points
Maintenance facilities available	1 points

Community Connections (Maximum 10 points)

Connectivity/Activity Centers Served by Project

Senior center(s)	2 points
Schools	2 points
Retail centers	2 points
Major employment centers (over 250 persons)	2 point
Medical centers	2 points
Train stations	2 points

Fixed-Route Bus/Rail Connections (8 points)

Number of Fixed-Route Bus/Rail Connections (w/in 1/4 mile)

≥8 connections	8 points
6 - 7 connections	6 points
3 - 4 connections	4 points
1 - 2 connections	2 points

Transit Usage (10 points)

Projected Average Daily Boardings (first year)

>300	10 points
201 - 299	8 points
101 - 200	6 points
50 - 100	4 points

Local/Regional Benefit (15 points maximum)

Planned Employment Densities per Square Mile (within 1/4 mile of route) Opening Year

>10,001	4 points
5,001 - 10,000	2 points
1,001 - 5,000	1 point

Planned Population Densities per Square Mile (within 1/4 mile of route) for Opening Year

>7,000	4 points
4,001 - 7,000	2 points
501 - 4,000	1 point

Projected Annual Visitors Served by Seasonal Route (4 points)

>500,000	4 points
250,000-100,000	3 points
249,000-100,000	2 points
99,000-50,000	1 points

Other Local and Regional Benefits (3 points)

Innovative service delivery model	1 point
Creative solutions to community needs	1 point
Combining local and regional resources	1 point

Agency Experience (2 points)

Currently Operated Community Based Service

Shuttles or trolleys	1 point
Vans or community circulator	1 point



ORANGE COUNTY TRANSPORTATION AUTHORITY


Community-Based Transit/Circulators Program Guidelines and Call for Projects

Staff Report



November 2, 2015

To: Executive Committee

From: Darrell Johnson, Chief Executive Officer 

Subject: Community-Based Transit/Circulators Program Guidelines and Call for Projects

Overview

Measure M2 establishes a competitive program through Project V to fund local transit services that complement regional bus and rail services. Based on outreach efforts to local agencies, a competitive call for projects is recommended, and updated guidelines are presented for review and approval.

Recommendations

- A. Approve the updates to the Project V – Community-Based Transit Circulators Program guidelines.
- B. Authorize staff to issue the 2016 call for projects for the Project V – Community-Based Transit Circulators Program for approximately \$20 million.

Background

Community-Based Transit/Circulators Program (Project V) is a competitive program under Measure M2 that provides funding to develop and implement local bus transit services, such as community-based circulators, shuttles, and bus trolleys that complement regional bus and rail services, and meet local needs in areas not adequately served by regional transit.

The initial program guidelines for Project V were approved by the Orange County Transportation Authority (OCTA) Board of Directors (Board) in November 2012, and a call for projects (call) was issued that resulted in providing \$9.8 million in Project V funds for five projects in June 2013. In October 2014, OCTA staff conducted a needs assessment survey to determine local agency interest in the next call. OCTA received letters from eight agencies expressing interest in the

next call. Other agencies also expressed interest during the Project V workshop conducted by OCTA on June 24, 2015.

Discussion

Under the proposed 2015 Project V guidelines, local agencies can request up to 90 percent of project funding. Approximately \$20 million is recommended to be available over a seven-year period. The 2015 Project V guidelines (Attachment A) have been modified to incorporate feedback from the Project V workshop and one-on-one meetings conducted with the local agencies. Key modifications to the guidelines are discussed below.

Under the current guidelines, OCTA would reimburse awarded agencies on a pro-rata basis, but not to exceed \$8 per boarding or 90 percent of net operating and maintenance costs, whichever is less. To account for inflation, the updated guidelines propose to increase the \$8 per boarding to \$9 per boarding or 90 percent of net operating and maintenance costs, whichever is less. In addition, guidelines propose to increase the funding cap for capital and operating reserve from \$525,000 per year per agency, to \$550,000 per year per project to allow local agencies to pursue multiple projects. The local agency matching requirement of ten percent remains unchanged.

The current guidelines require the Project V-funded service to achieve the performance standard of ten passenger boardings per revenue vehicle hours (RVH) within first 12 months of operations. OCTA and local agencies experienced that 12 months did not provide sufficient time to understand the ridership patterns and make service changes as needed. The 2015 guidelines provide two years of time to achieve the ten boardings per RVH and establish an interim goal of six boardings per RVH for the first year of operations. In addition, new performance standards related to the ridership satisfaction and on-time performance have been added to ensure quality of service. Agencies will also be required to submit quarterly ridership progress reports. This information will be submitted to the OCTA Transit Committee on a regular basis.

Local agencies expressed concerns about the lack of funds available to plan services that can be implemented with the Project V funds. To address their concern, the new guidelines propose to add a planning category that would be available to local agencies with a \$50,000 per agency cap for planning activities eligible for Project V funds.

In order to foster innovative service delivery models that can respond to community needs, new guidelines include a definition of regional transit as services provided through OCTA routes 1 through 99.

The 2015 scoring criteria are provided in the Attachment B. The revised guidelines and scoring criteria were reviewed and approved by the Technical Advisory Committee in September 2015.

Next Steps

Following Board approval on November 23, 2015, staff anticipates sending out letters notifying local agencies of the call. Project applications would be due to OCTA by February 29, 2016. Based on the selection criteria, projects will be submitted for Board approval by June 2016.

Awards would be effective with Board approval, and funding becomes available beginning July 1, 2016. Some projects may be programmed in subsequent fiscal years (FY) (FY 2017-18 and FY 2018-19), based on schedules provided by local agencies.

Summary

Project V provides competitive Measure M2 funding to local agencies to implement transit services that complement regional bus and rail services. Staff is seeking approval of proposed modifications to the Project V Community-Based Transit/Circulators Program Guidelines, and authorization to release the call for projects.

Attachments

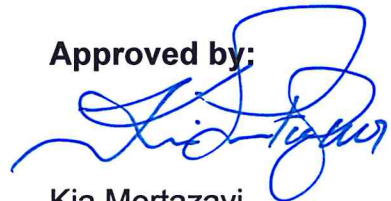
- A. Project V – Community-Based Transit/Circulators Program Guidelines
- B. Project V – Community-Based Transit/Circulators Scoring Criteria for Eligible Projects

Prepared by:



Sam Kaur
Section Manager II,
Measure M2 Local Programs
(714) 560-5673

Approved by:



Kia Mortazavi
Executive Director, Planning
(714) 560-5741



ORANGE COUNTY TRANSPORTATION AUTHORITY

**Community-Based Transit/Circulators Program Guidelines
and Call for Projects**

Attachment A

Project V – Community-Based Transit/Circulators Program Guidelines

1.0 Overview

The Measure M2 (M2) Project V- Community-Based Transit/Circulators Program establishes a competitive process to enable local jurisdictions to develop ~~local bus~~ community based local transit services that complement regional transit services, and meet needs in areas not adequately serviced by regional transit. Projects must meet specific criteria in order to compete for funding through this program. In addition, local jurisdictions will be required to demonstrate the ability to provide funding match for capital and ongoing local share of operations and maintenance using non-Orange County Transportation Authority (OCTA) resources¹. Public-private partnerships² are encouraged but not required. Local jurisdictions may partner with each other.

Regional Transit: Regional Transit services are provided by OCTA, specifically through routes 1 through 99 (and excluding those route sections that perform less than 10 boardings per revenue vehicle hour). Additional information on OCTA routes and schedules can be accessed from OCTA website at www.octa.net.

2.0 Objectives

- To provide community transit service that is safe, clean and convenient.
- ~~Encourage development of local bus transit services such as community-based circulators, shuttles, and bus trolleys~~
- To encourage new, well-coordinated, flexible transportation systems customized to each community's needs.
- ~~Provide services that complement regional bus and rail services and meet needs in areas not adequately served by regional transit.~~
- To develop local bus transit services such as community-based circulators, shuttles, and bus trolleys that complement regional bus and rail service.
- ~~Provide alternatives to address seasonal/special event congestion~~
- To meet transportation needs in areas not served by regional transit.
- ~~Approximately \$300 million (nominal dollars) available from fiscal years 2010-11 to 2040-41~~

3.0 Project Participation Categories

Transit needs may differ from one location to the next, and projects pursued under this program have significant latitude on how the challenge of delivering community based transit will be delivered. The program categories listed below identify key project elements that can be pursued through the Project V funding source. ~~Selection criteria will parallel Federal Transportation Administration (FTA) programs wherever possible to aid in~~

¹ Fairshare revenues are considered non-OCTA resources.

² Public-private partnerships are defined as direct financial contributions or sponsorships for eligible program activities.

~~streamlining the competitive process.~~ The program categories eligible for funding through Project V are:

3.1 Planning for new service (Up to \$50,000 per agency)

- Need for Community-Based Transit/Circulator Services
- Origin and Destination Studies
- Surveys and Marketing Research
- Development of Proposed Service Plans
- Transit Coordination Studies

3.2 Capital

- Bus and vehicle leases/purchases for the purposes of providing community based circulators, shuttles, and trolleys
- ~~Bus stop improvements (including signage, furniture, and shelters) on the new route~~
- Equipment for the deployment, implementation and use of Project V-funded services, including but not limited to:
 - Bike racks
 - Software
 - Communications equipment
 - Fare collection equipment
 - Passenger amenities
 - Americans with Disabilities Act (ADA) equipment for vehicles
- Maintenance facilities and fueling stations required for the new bus-transit service
- Bus stop improvements (including signage, furniture, and shelters) for Project V funded service stops only.

3.3 Operations and Maintenance

- Fixed route, deviated fixed route, demand responsive, seasonal community transit and shuttle services including administration, operations and maintenance of services
- Services to be operated by OCTA. Local agencies may propose an alternate service provider which will be considered at the discretion of OCTA
- Parking leases needed in response to expanded transit services ~~required to alleviate seasonal and or special event congestion~~
- ~~Seasonal and special event is eligible when:~~
 - ~~Seasonal service; or~~
 - ~~The event is infrequent; and~~
 - ~~Attendance will exceed parking capacity; or~~
 - ~~The event will create significant congestion~~
- Special event shuttle services for events that will create significant congestion
- Other flexible and innovative transit services contingent on the service plan and anticipated service performance
- Marketing efforts including expenditures related to service schedules, marketing materials such as flyers and brochures, and community outreach efforts. Project V

contributions for marketing will be capped at \$25,000 for the startup cost and up to \$10,000 annually thereafter for the remaining grant period.

- ~~• Consistent with Federal Transit Administration guidelines, Americans with Disabilities Act (ADA) complementary paratransit service costs are considered capital costs for the purposes of this program~~
- ~~• Projects meeting minimum performance requirements may request operations funding through the operating reserve incentive~~
- ~~• Right-of-way is not eligible.~~

Agencies may be awarded a total from all project categories of no more than \$550,000 annually for a period of up to seven years per project.

4.0 Ineligible Categories

Project V funds may not be used for the following:

- right of way acquisition
- to supplant existing transit services (subject to the Regional Transit definition in Section 1)
- fare subsidies

5.0 Project Category Requirements

All projects funded through Project V must comply with the Comprehensive Transportation Funding Programs Guidelines, unless specifically noted in the agreement with the local agency and must comply with applicable state and federal laws, including American with Disabilities Act (ADA) requirements for transit services.

5.1 Planning for new service

Cities must provide a scope of work for the proposed planning document requesting Project V funds. The scope must include project need and goals and objectives for the proposed or considered service. OCTA transit planning staff must be included in the development of any planning documents funded through the Project V planning category. Planning documents must include specific recommendations for community-based transit/circulator services that can be implemented within the operating subsidy provided through Project V and must consider coordination with existing services. Plans may also consider ways to eliminate duplication of service or to improve service by combining resources. Progress on planning projects must be reported to OCTA through the semi-annual review process. Agencies will be required to submit all data and planning documents to OCTA in order to receive final payment.

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Project V funding is available to offset the costs of purchasing or leasing vehicles, equipment and other amenities as described in Section 3.2. Progress on capital projects must be reported to OCTA through the semi-annual review process. Agencies must inspect vehicle purchases to ensure they meet specifications prior to final acceptance and withhold retention until warranty issues and/or final acceptance is met. If vehicles are sold before the end of their useful life or if service is

discontinued, agencies shall repay OCTA the same percentage of the sale price or estimated value based on straight line depreciation of asset consistent with the Project V percentage of the initial purchase.

5.3 Operations and Maintenance

OCTA has established an operating reserve as part of this program that may be used to support the costs of operations and maintenance. The operating reserve is subject to the following requirements:

- For seasonal community shuttles, fixed route service, event shuttle and similar services, the project must meet a minimum performance standard. The Project V funded service must achieve the performance standard of 6 passenger boardings per revenue vehicle hour (RVH) within the first 12 months of operations and must achieve the 10 passenger boardings per RVH within the first 24 months of operations and every year thereafter. For other proposed transit services such as vanpool, demand responsive, deviated fixed route service or another innovative service delivery model, a different ridership service standard may be required consistent with the type of service being proposed. Local agencies may propose an alternative ridership measure or standard, other than those listed above, which would be considered on a case by case basis.
- As part of the Project V service, local agencies must develop strategies to measure ridership satisfaction and on-time performance and must achieve a 75% on-time performance and rider satisfaction within the first 12 months of operations and 85% within 24 months and on an ongoing basis thereafter.
- Awarded agencies must submit operations and maintenance costs and ridership and fare performance data to OCTA on a quarterly basis. The OCTA Transit Committee will be provided with summarized information from these reports on a quarterly basis.
- OCTA will reimburse awarded agencies on a pro-rata basis but not to exceed \$9 per boarding, not to exceed 90 percent of net operating and maintenance costs whichever is less. The \$9 per boarding may increase annually by an OCTA-approved inflationary factor.
- Consistent with Federal Transit Administration guidelines, Americans with Disabilities Act (ADA) complementary paratransit service is required for certain types of transit operations. For Project V funded services, paratransit services will be covered with Project V funds through the OCTA Board policy. Agencies receiving Project V funds will be required to adopt a paratransit plan prior before starting operations.

4.0 Operating Reserve Incentive

~~OCTA has established an operating reserve as part of this program that may be used to offset the costs of operations and maintenance. The operating reserve is subject to the following requirements:~~

- ~~1. The project must have been awarded Project V funds through a competitive process and meet a minimum standard of 10 boarding's per revenue vehicle hour on an ongoing basis. The standard of 10 boarding's per revenue vehicle hour must be achieved within the first 12 months of operation and every year thereafter.~~

- ~~2. Awarded agencies must submit audited operations and maintenance costs and ridership and fare performance data to OCTA by September 30 of each year for the prior fiscal year~~
- ~~3. OCTA will reimburse awarded agencies on a pro-rata basis but not to exceed \$8 per boarding, not to exceed 90 percent of net operating and maintenance costs (after deducting fares/fees), whichever is less. The \$8 per boarding may increase annually by an OCTA-approved inflationary factor. Agencies may be awarded no more than \$525,000 annually over the life of the call period including any request for capital funding.~~

~~All submitted materials are subject to audit prior to OCTA reimbursements. Funds not used in a given year will become available for future calls for projects.~~

~~5.0 Capital Match Funding Requirements~~

~~6.0 Agency Match Requirements~~

~~Local funding must meet are required to provide a minimum-10% non-OCTA match for all Project V components (see section 5.3 for instances where a higher match may be required for operations and maintenance) ten percent match requirement for the entire capital project comprised of any combination of private contributions, advertising revenues, and local discretionary funds. The match may be comprised of any combination of private contributions, advertising revenues, local discretionary funds and farebox revenue. Farebox revenue cannot be used for capital match. The match may not be made up of in-kind services. Capital match funding commitments in excess of ten percent are eligible for additional points scoring. The OCTA contribution for Operations and Maintenance will not exceed \$9 per boarding, therefore actual match provided by the local agency may be greater than 10% depending on the ridership. Match funding Agency match commitments will be incorporated into the master funding agreement.~~

~~6.0~~ 7.0 Eligibility Requirements

Minimum eligibility and participation requirements must be considered before a project funding application should be submitted. Adherence to strict funding guidelines is required by the M2 Ordinance. Additional standards have been established to provide assurance that M2 funds are spent in the most prudent, effective manner. There is no guarantee that funding will be approved during a particular call for projects. If no acceptable project is identified during a funding cycle, a subsequent call for projects will be scheduled at an appropriate time.

- Applicant must be eligible to receive M2 funding (established on an annual basis) to participate in this program
- Support recommendations from Transit System Study, OCTA Short Range Transit Plan, Go Local planning efforts and goals of the Sustainable Communities Strategy
- Supplement rather than supplant existing transit services and emphasize service to areas not served by transit
- Demonstrate local share of operations and maintenance funding for specific time horizon
- ~~• Capital equipment requires 10 percent non-Orange County Transportation Authority local match~~

- Demonstration of cost reasonableness for new bus stop improvements
- Agency must have a financial plan outlining a funding strategy for ongoing operations and maintenance (minimum of five years)
- The service operator is OCTA. Local agencies may propose an alternate service provider which will be considered at the discretion of OCTA
- Local agency will be required to enter into a cooperative funding agreement with OCTA
- All projects must include meeting ADA requirements, and these costs must be included in the project application
- ~~Project application must meet minimum competitive score to be deemed eligible and "of merit" (as determined by the OCTA Board of Directors [Board])~~
- Complete applications must be approved by the city council and partner jurisdictions prior to submittal to OCTA to demonstrate adequate community and elected official support for initial consideration
- ~~Agencies submitting for funding must agree to follow applicable FTA requirements including FTA procurement policies; waiver requests are subject to OCTA approval~~
- ~~Participation in operating reserve requires 10 percent local match after deducting fares~~
- Local agencies ~~or agency's operator~~ will be required to submit annual appropriate National Transit Database reporting data to OCTA or local agency's operator must submit directly to the National Transit Database.

7.0 ~~Selection Criteria~~

~~Specific selection criteria will be used to evaluate competitive program project applications. Emphasis is placed on projects with firm financial commitments and overall project readiness as shown on the Project V scoring criteria. In addition, projects will be evaluated based upon ridership projections, areas served, cost effectiveness, and local/regional benefits.~~

8.0 Application Process

Project V allocations are determined through a competitive application process. Local agencies seeking funding must complete a formal application and provide supporting documentation that will be used to fully evaluate the project proposal. ~~as outlined below. An application for any proposed service must include a detailed funding/operations plan. Note that as described in Section 3.1, Project V funds are eligible for the development of a detailed funding/operations plan prior to submittal of an application for operation of the proposed service.~~

The project application for capital and operations and maintenance shall include, at a minimum, the following information:

- Project need, goals and objectives
- Project development and implementation schedule
- ~~Complete application~~
- ~~Provide funding/operations plan~~
- ~~Allocations subject to cooperative funding agreement~~

The funding plan shall include, at a minimum, the following information:

- ~~Financials~~ Funding plan (funding needs, match funding availability, operations funding assurances, and public-private partnership arrangements)
- Ongoing service and operations plan
- ~~Project development and implementation schedule~~
- Operations and maintenance facility management
- ~~Service coordination plan~~
- Any additional information deemed relevant by the applicant
- Ridership Projection
- Coordination with existing services such as OCTA transit services, existing Project V services, Metrolink, I-Shuttle, Anaheim Transportation Network and/or Senior Mobility Program

The project application for planning for new projects shall include a scope of work for the proposed planning document requesting Project V funds. The scope must include project need and goals and objectives for the proposed or considered service.

~~A call for projects for the initial funding cycle is expected to be issued December 3, 2012, with applications due March 29, 2013, subject to approval by the OCTA Board. Complete project applications must be submitted by the established due date to be eligible for consideration.~~

Applications will be reviewed by OCTA for consistency, accuracy, and concurrence. For applications ~~Once applications have been~~ completed in accordance with the program requirements, the projects will be scored, ranked and submitted to the Executive Committee, and the Board for consideration and funding approval. The process is expected to be concluded by ~~April 30, 2013.~~ June 30, 2016.

The final approved application (including funding plan) will serve as the basis for any funding agreement required under the program. The approved projects will be subject to the Comprehensive Transportation Funding Programs (CTFP) Guidelines for project delivery requirements.

9.0 Application Guidelines

Project selection is based upon merit utilizing a series of qualitative and quantitative criteria. Candidate projects are required to submit a financial plan with sufficient data to enable an adequate evaluation of the application. Each jurisdiction is provided broad latitude in formatting, content, and approach. However, key elements described below must be clearly and concisely presented to enable timely and accurate assessment of the project.

9.1 Financial Details

Each candidate project application must include all phases through construction of facilities. The financial plan will include, at a minimum, the following information:

- Estimated project cost for each phase of development (planning, environmental, permitting, design, right-of-way acquisition, equipment and vehicle acquisition, construction, and project oversight)
- Preliminary cost estimates for operations and maintenance should be coordinated with OCTA.
- Funding request for each phase of project implementation with match funding amounts and funding sources clearly identified
- Demonstrated financial commitments for match funding and ongoing operations
- Discussion of contingency planning for revenue shortfalls
- Revenue projections and methodology where commercial activity is expected to support implementation and/or operations costs
- Project readiness status
- Realistic project schedule for each project phase

9.2 Scoring Criteria

Specific selection criteria will be used to evaluate the competitive program project applications. Emphasis is placed on projects with firm financial commitments and overall project readiness as shown in the Project V scoring criteria. In addition, projects will be evaluated based upon ridership projections, areas served, cost effectiveness and local/regional benefits.

The formal application must include feasibility and efficacy components to demonstrate transportation benefit to ensure the selected project(s) meet the spirit and intent of M2. Merit will be demonstrated through technical attributes and industry standard methodologies. The following data will be included and fully discussed in the application:

- Matching funds
- Level of commitment from non-applicant partners
- Operating cost per boarding for opening year
- Annualized cost per incremental passenger trip for opening year
- Project readiness including projected opening year and phase readiness
- Projected daily boardings with projection methodology fully presented
- Community connections; connections to fixed route bus and rail
- Planned employment densities per square mile for opening year
- Planned population densities per square mile for opening year
- Projected annual visitors served by seasonal route
- Other Local and Regional Benefits
- Agency experience

9.3 Other Application Materials

Supporting documentation will be required to fully consider each project application. In addition to the information described above, local agencies will be required to submit the following materials:

9.3.1 Council Resolution: A council resolution authorizing request for funding consideration with a commitment of project match funding (local sources) and operating funds as shown in the funding plan.

9.3.2 Lease/Cost Sharing Agreements: Copies of leases, sponsorship, and/or advertising revenue documents. Confidential agreements may be included for reference when accompanied by affidavit from city treasurer or finance director.

9.3.3 Project Documentation: If the proposed project has completed initial planning activities (such as project study report or equivalent, environmental impact report, or design), evidence of approval should be included with the application. Satisfactory evidence includes project approval signature page, engineer-stamped site plan, or other summary information to demonstrate completion or planning phases. The applicant will be asked for detailed information only if necessary to adequately evaluate the project application.

9.3.4 Operations Plan: In addition to the financial details indicated in 8.1, the operations plan submitted shall include the following technical data: a route map, draft time table, headways, stop location listing, summary of vehicle types and characteristics, speed profile, fleet size, and any other applicable supporting documentation.

10.0 Reimbursements

The planning, capital and marketing and outreach programs are administered on a reimbursement basis. Planning, capital and marketing and outreach reimbursements will be disbursed upon review and approval of a complete expense report, performance report, and consistent with the cooperative funding agreement. Local agency revenues provided to OCTA for ongoing operating assistance will be in accordance with terms identified in the cooperative funding agreement. If the agency uses an operator other than OCTA, then operations will be administered on a reimbursement basis.

11.0 Project Cancellation

Projects deemed infeasible during the planning process will be cancelled and further expenditures will be prohibited except where necessitated to bring the current phase to a logical conclusion.

Cancelled projects will be eligible for re-application upon resolution of issues that led to original project termination.

12.0 Audits

• All M2 payments are subject to audit. Local agencies must follow established accounting requirements and applicable laws regarding the use of public funds. Failure to submit to an audit in a timely manner may result in loss of future funding. Misuse or misrepresentation of M2 funding will require remediation which may include repayment, reduction in overall allocation, and/or other sanctions to be determined. Audits shall be conducted by the OCTA Internal Audit Department or other authorized agent either through the normal annual process or on a schedule to be determined by the OCTA Board.

9.2— Scoring Criteria

The formal application must include feasibility and efficacy components to demonstrate transportation benefit to ensure the selected project(s) meet the spirit and intent of M2. Merit will be demonstrated through technical attributes and industry standard methodologies. The following data will be included and fully discussed in the application:

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- Planned employment densities per square mile for opening year
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- Projected annual visitors served by seasonal route
- Agency experience

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9.3.1 *Council Resolution:* A council resolution authorizing request for funding consideration with a commitment of project match funding (local sources) and operating funds as shown in the funding plan.

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10.0—Reimbursements

~~The capital program is administered on a reimbursement basis. Capital reimbursements will be disbursed upon review and approval of a complete expense report, performance report, and consistent with the cooperative funding agreement. Local agency revenues provided to OCTA for ongoing operating assistance will be in accordance with terms identified in the cooperative funding agreement.~~

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ORANGE COUNTY TRANSPORTATION AUTHORITY

**Community-Based Transit/Circulators Program Guidelines
and Call for Projects**

Attachment A - Revised

Project V – Community-Based Transit/Circulators Program Guidelines

1.0 Overview

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2.0 Objectives

- To provide community transit service that is safe, clean and convenient.
- ~~Encourage development of local bus transit services such as community-based circulators, shuttles, and bus trolleys~~
- To encourage new, well-coordinated, flexible transportation systems customized to each community's needs.
- ~~Provide services that complement regional bus and rail services and meet needs in areas not adequately served by regional transit.~~
- To develop local bus transit services such as community-based circulators, shuttles, and bus trolleys that complement regional bus and rail service.
- ~~Provide alternatives to address seasonal/special event congestion~~
- To meet transportation needs in areas not served by regional transit.
- ~~Approximately \$300 million (nominal dollars) available from fiscal years 2010-11 to 2040-41~~

3.0 Project Participation Categories

Transit needs may differ from one location to the next, and projects pursued under this program have significant latitude on how the challenge of delivering community based transit will be delivered. The program categories listed below identify key project elements that can be pursued through the Project V funding source. ~~Selection criteria will parallel Federal Transportation Administration (FTA) programs wherever possible to aid in~~

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- Bus and vehicle leases/purchases for the purposes of providing community based circulators, shuttles, and trolleys
- ~~Bus stop improvements (including signage, furniture, and shelters) on the new route~~
- Equipment for the deployment, implementation and use of Project V-funded services, including but not limited to:
 - Bike racks
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- Maintenance facilities and fueling stations required for the new bus-transit service
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- Services to be operated by OCTA. Local agencies may propose an alternate service provider which will be considered at the discretion of OCTA
- Parking leases needed in response to expanded transit services ~~required to alleviate seasonal and or special event congestion~~
- ~~Seasonal and special event is eligible when:~~
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discontinued, agencies shall repay OCTA the same percentage of the sale price or estimated value based on straight line depreciation of asset consistent with the Project V percentage of the initial purchase.

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OCTA has established an operating reserve as part of this program that may be used to support the costs of operations and maintenance. The operating reserve is subject to the following requirements:

- For seasonal community shuttles, fixed route service, event shuttle and similar services, the project must meet a minimum performance standard. The Project V funded service must achieve the performance standard of 6 passenger boardings per revenue vehicle hour (RVH) within the first 12 months of operations and must achieve the 10 passenger boardings per RVH within the first 24 months of operations and every year thereafter. For other proposed transit services such as vanpool, demand responsive, deviated fixed route service or another innovative service delivery model, a different ridership service standard may be required consistent with the type of service being proposed. Local agencies may propose an alternative ridership measure or standard, other than those listed above, which would be considered on a case by case basis.
- As part of the Project V service, local agencies must develop strategies to measure ridership satisfaction and on-time performance and must achieve a 85% on-time performance on an ongoing basis and rider satisfaction must be 90% satisfied based on customer surveys.
- Awarded agencies must submit operations and maintenance costs and ridership and fare performance data to OCTA on a quarterly basis. The OCTA Transit Committee will be provided with summarized information from these reports on a quarterly basis.
- OCTA will reimburse awarded agencies on a pro-rata basis but not to exceed \$9 per boarding, not to exceed 90 percent of net operating and maintenance costs whichever is less. The \$9 per boarding may increase annually by an OCTA-approved inflationary factor.
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~~OCTA has established an operating reserve as part of this program that may be used to offset the costs of operations and maintenance. The operating reserve is subject to the following requirements:~~

- ~~1. The project must have been awarded Project V funds through a competitive process and meet a minimum standard of 10 boarding's per revenue vehicle hour on an ongoing basis. The standard of 10 boarding's per revenue vehicle hour must be achieved within the first 12 months of operation and every year thereafter.~~

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- ~~3. OCTA will reimburse awarded agencies on a pro-rata basis but not to exceed \$8 per boarding, not to exceed 90 percent of net operating and maintenance costs (after deducting fares/fees), whichever is less. The \$8 per boarding may increase annually by an OCTA-approved inflationary factor. Agencies may be awarded no more than \$525,000 annually over the life of the call period including any request for capital funding.~~

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~~6.0~~ 7.0 Eligibility Requirements

Minimum eligibility and participation requirements must be considered before a project funding application should be submitted. Adherence to strict funding guidelines is required by the M2 Ordinance. Additional standards have been established to provide assurance that M2 funds are spent in the most prudent, effective manner. There is no guarantee that funding will be approved during a particular call for projects. If no acceptable project is identified during a funding cycle, a subsequent call for projects will be scheduled at an appropriate time.

- Applicant must be eligible to receive M2 funding (established on an annual basis) to participate in this program
- Support recommendations from Transit System Study, OCTA Short Range Transit Plan, Go Local planning efforts and goals of the Sustainable Communities Strategy
- Supplement rather than supplant existing transit services and emphasize service to areas not served by transit
- Demonstrate local share of operations and maintenance funding for specific time horizon
- ~~• Capital equipment requires 10 percent non-Orange County Transportation Authority local match~~

- Demonstration of cost reasonableness for new bus stop improvements
- Agency must have a financial plan outlining a funding strategy for ongoing operations and maintenance (minimum of five years)
- The service operator is OCTA. Local agencies may propose an alternate service provider which will be considered at the discretion of OCTA
- Local agency will be required to enter into a cooperative funding agreement with OCTA
- All projects must include meeting ADA requirements, and these costs must be included in the project application
- ~~Project application must meet minimum competitive score to be deemed eligible and "of merit" (as determined by the OCTA Board of Directors [Board])~~
- Complete applications must be approved by the city council and partner jurisdictions prior to submittal to OCTA to demonstrate adequate community and elected official support for initial consideration
- ~~Agencies submitting for funding must agree to follow applicable FTA requirements including FTA procurement policies; waiver requests are subject to OCTA approval~~
- ~~Participation in operating reserve requires 10 percent local match after deducting fares~~
- Local agencies ~~or agency's operator~~ will be required to submit annual appropriate National Transit Database reporting data to OCTA or local agency's operator must submit directly to the National Transit Database.

~~7.0~~ Selection Criteria

~~Specific selection criteria will be used to evaluate competitive program project applications. Emphasis is placed on projects with firm financial commitments and overall project readiness as shown on the Project V scoring criteria. In addition, projects will be evaluated based upon ridership projections, areas served, cost effectiveness, and local/regional benefits.~~

8.0 Application Process

Project V allocations are determined through a competitive application process. Local agencies seeking funding must complete a formal application and provide supporting documentation that will be used to fully evaluate the project proposal. ~~as outlined below. An application for any proposed service must include a detailed funding/operations plan. Note that as described in Section 3.1, Project V funds are eligible for the development of a detailed funding/operations plan prior to submittal of an application for operation of the proposed service.~~

The project application for capital and operations and maintenance shall include, at a minimum, the following information:

- Project need, goals and objectives
- Project development and implementation schedule
- ~~Complete application~~
- ~~Provide funding/operations plan~~
- ~~Allocations subject to cooperative funding agreement~~

The funding plan shall include, at a minimum, the following information:

- ~~Financials~~ Funding plan (funding needs, match funding availability, operations funding assurances, and public-private partnership arrangements)
- Ongoing service and operations plan
- ~~Project development and implementation schedule~~
- Operations and maintenance facility management
- ~~Service coordination plan~~
- Any additional information deemed relevant by the applicant
- Ridership Projection
- Coordination with existing services such as OCTA transit services, existing Project V services, Metrolink, I-Shuttle, Anaheim Transportation Network and/or Senior Mobility Program

The project application for planning for new projects shall include a scope of work for the proposed planning document requesting Project V funds. The scope must include project need and goals and objectives for the proposed or considered service.

~~A call for projects for the initial funding cycle is expected to be issued December 3, 2012, with applications due March 29, 2013, subject to approval by the OCTA Board. Complete project applications must be submitted by the established due date to be eligible for consideration.~~

Applications will be reviewed by OCTA for consistency, accuracy, and concurrence. For applications ~~Once applications have been~~ completed in accordance with the program requirements, the projects will be scored, ranked and submitted to the Executive Committee, and the Board for consideration and funding approval. The process is expected to be concluded by ~~April 30, 2013.~~ June 30, 2016.

The final approved application (including funding plan) will serve as the basis for any funding agreement required under the program. The approved projects will be subject to the Comprehensive Transportation Funding Programs (CTFP) Guidelines for project delivery requirements.

9.0 Application Guidelines

Project selection is based upon merit utilizing a series of qualitative and quantitative criteria. Candidate projects are required to submit a financial plan with sufficient data to enable an adequate evaluation of the application. Each jurisdiction is provided broad latitude in formatting, content, and approach. However, key elements described below must be clearly and concisely presented to enable timely and accurate assessment of the project.

9.1 Financial Details

Each candidate project application must include all phases through construction of facilities. The financial plan will include, at a minimum, the following information:

- Estimated project cost for each phase of development (planning, environmental, permitting, design, right-of-way acquisition, equipment and vehicle acquisition, construction, and project oversight)
- Preliminary cost estimates for operations and maintenance should be coordinated with OCTA.
- Funding request for each phase of project implementation with match funding amounts and funding sources clearly identified
- Demonstrated financial commitments for match funding and ongoing operations
- Discussion of contingency planning for revenue shortfalls
- Revenue projections and methodology where commercial activity is expected to support implementation and/or operations costs
- Project readiness status
- Realistic project schedule for each project phase

9.2 Scoring Criteria

Specific selection criteria will be used to evaluate the competitive program project applications. Emphasis is placed on projects with firm financial commitments and overall project readiness as shown in the Project V scoring criteria. In addition, projects will be evaluated based upon ridership projections, areas served, cost effectiveness and local/regional benefits.

The formal application must include feasibility and efficacy components to demonstrate transportation benefit to ensure the selected project(s) meet the spirit and intent of M2. Merit will be demonstrated through technical attributes and industry standard methodologies. The following data will be included and fully discussed in the application:

- Matching funds
- Level of commitment from non-applicant partners
- Operating cost per boarding for opening year
- Annualized cost per incremental passenger trip for opening year
- Project readiness including projected opening year and phase readiness
- Projected daily boardings with projection methodology fully presented
- Community connections; connections to fixed route bus and rail
- Planned employment densities per square mile for opening year
- Planned population densities per square mile for opening year
- Projected annual visitors served by seasonal route
- Other Local and Regional Benefits
- Agency experience

9.3 Other Application Materials

Supporting documentation will be required to fully consider each project application. In addition to the information described above, local agencies will be required to submit the following materials:

9.3.1 Council Resolution: A council resolution authorizing request for funding consideration with a commitment of project match funding (local sources) and operating funds as shown in the funding plan.

9.3.2 Lease/Cost Sharing Agreements: Copies of leases, sponsorship, and/or advertising revenue documents. Confidential agreements may be included for reference when accompanied by affidavit from city treasurer or finance director.

9.3.3 Project Documentation: If the proposed project has completed initial planning activities (such as project study report or equivalent, environmental impact report, or design), evidence of approval should be included with the application. Satisfactory evidence includes project approval signature page, engineer-stamped site plan, or other summary information to demonstrate completion or planning phases. The applicant will be asked for detailed information only if necessary to adequately evaluate the project application.

9.3.4 Operations Plan: In addition to the financial details indicated in 8.1, the operations plan submitted shall include the following technical data: a route map, draft time table, headways, stop location listing, summary of vehicle types and characteristics, speed profile, fleet size, and any other applicable supporting documentation.

10.0 Reimbursements

The planning, capital and marketing and outreach programs are administered on a reimbursement basis. Planning, capital and marketing and outreach reimbursements will be disbursed upon review and approval of a complete expense report, performance report, and consistent with the cooperative funding agreement. Local agency revenues provided to OCTA for ongoing operating assistance will be in accordance with terms identified in the cooperative funding agreement. If the agency uses an operator other than OCTA, then operations will be administered on a reimbursement basis.

11.0 Project Cancellation

Projects deemed infeasible during the planning process will be cancelled and further expenditures will be prohibited except where necessitated to bring the current phase to a logical conclusion.

Cancelled projects will be eligible for re-application upon resolution of issues that led to original project termination.

12.0 Audits

• All M2 payments are subject to audit. Local agencies must follow established accounting requirements and applicable laws regarding the use of public funds. Failure to submit to an audit in a timely manner may result in loss of future funding. Misuse or misrepresentation of M2 funding will require remediation which may include repayment, reduction in overall allocation, and/or other sanctions to be determined. Audits shall be conducted by the OCTA Internal Audit Department or other authorized agent either through the normal annual process or on a schedule to be determined by the OCTA Board.

9.2— Scoring Criteria

The formal application must include feasibility and efficacy components to demonstrate transportation benefit to ensure the selected project(s) meet the spirit and intent of M2. Merit will be demonstrated through technical attributes and industry standard methodologies. The following data will be included and fully discussed in the application:

- Match funding and level of commitment from non applicant partners
- Operating cost per boarding for opening year
- Annualized cost per incremental passenger trip for opening year
- Project readiness including projected opening year and phase readiness
- Projected daily boarding's with projection methodology fully presented
- Community connections; connections to fixed route bus and rail
- Planned employment densities per square mile for opening year
- Planned population densities per square mile for opening year
- Projected annual visitors served by seasonal route
- Agency experience

9.3— Other Application Materials

Supporting documentation will be required to fully consider each project application. In addition to the information described above, local agencies will be required to submit the following materials:

9.3.1 *Council Resolution:* A council resolution authorizing request for funding consideration with a commitment of project match funding (local sources) and operating funds as shown in the funding plan.

9.3.2 *Lease/Cost Sharing Agreements:* Copies of leases, sponsorship, and/or advertising revenue documents. Confidential agreements may be included for reference when accompanied by affidavit from city treasurer or finance director.

9.3.3 *Project Documentation:* If the proposed project has completed initial planning activities (such as project study report or equivalent, environmental impact report, or design), evidence of approval should be included with the application. Satisfactory evidence includes project approval signature page, engineer-stamped site plan, or other summary information to demonstrate completion or planning phases. The applicant will be asked for detailed information only if necessary to adequately evaluate the project application.

9.3.4 *Operations Plan:* In addition to the financial details indicated in 8.1, the operations plan submitted shall include the following technical data: a route map, draft time table, headways, stop location listing, summary of vehicle types and characteristics, speed profile, fleet size, and any other applicable supporting documentation.

10.0—Reimbursements

~~The capital program is administered on a reimbursement basis. Capital reimbursements will be disbursed upon review and approval of a complete expense report, performance report, and consistent with the cooperative funding agreement. Local agency revenues provided to OCTA for ongoing operating assistance will be in accordance with terms identified in the cooperative funding agreement.~~

11.0—Project Cancellation

~~Projects deemed infeasible during the planning process will be cancelled and further expenditures will be prohibited except where necessitated to bring the current phase to a logical conclusion.~~

~~Cancelled projects will be eligible for re-application upon resolution of issues that led to original project termination.~~

12.0—Audits

~~All M2 payments are subject to audit. Local agencies must follow established accounting requirements and applicable laws regarding the use of public funds. Failure to submit to an audit in a timely manner may result in loss of future funding. Misuse or misrepresentation of M2 funding will require remediation which may include repayment, reduction in overall allocation, and/or other sanctions to be determined. Audits shall be conducted by the OCTA Internal Audit Department or other authorized agent either through the normal annual process or on a schedule to be determined by the OCTA Board.~~



ORANGE COUNTY TRANSPORTATION AUTHORITY

**Community-Based Transit/Circulators Program Guidelines
and Call for Projects**

Attachment B

Project V - Community-Based Transit/Circulators Scoring Criteria for Eligible Projects

ATTACHMENT B

A. Measure M2 Eligible	Yes	No
B. In Go Local planning and/or 2011 Transit Study, supports goals of Sustainable Communities Strategy	Yes	No
C. Minimum five-year operations and maintenance plan	Yes	No
D. Total project cost (information only)	\$ (Capital)	

Financial Commitment/Partnership (15 points maximum)

Match Funding (Capital)

≥50%	10 points
40% - 49%	8 points
30% - 39%	6 points
20% - 29%	4 points
11% - 19%	2 points

Level of Commitment from Non Applicant

Binding agreement	5 points
Commitment letter	2 points

Cost-Effectiveness (20 points)

Operating Cost per Boarding Opening Year

<\$6.00	10 points
\$6.01 - \$8.99	8 points
\$9.00 - \$11.99	6 points
\$12.00 - \$15.00	4 points

Annualized Operating and Capital Cost per Boarding Opening Year

<\$7.00	10 points
\$7.01 - \$10.00	8 points
\$10.01 - \$13.00	6 points
\$13.01 - \$16.00	4 points
\$16.01 - \$20.00	2 points

Project Readiness (20 points)

Estimated Opening Year

By 2017	10 points
By 2018	8 points
By 2019	4 points
By 2020	2 points

Phase Readiness

Planning and environmental complete	10 points
Right-of-way acquired or not applicable	5 points
Maintenance facilities available	1 points

Community Connections (Maximum 10 points)

Connectivity/Activity Centers Served by Project

Senior center(s)	2 points
Schools	2 points
Retail centers	2 points
Major employment centers (over 250 persons)	2 point
Medical centers	2 points
Train stations	2 points

Fixed-Route Bus/Rail Connections (8 points)

Number of Fixed-Route Bus/Rail Connections (w/in 1/4 mile)

≥8 connections	8 points
6 - 7 connections	6 points
3 - 4 connections	4 points
1 - 2 connections	2 points

Transit Usage (10 points)

Projected Average Daily Boardings (first year)

>300	10 points
201 - 299	8 points
101 - 200	6 points
50 - 100	4 points

Local/Regional Benefit (15 points maximum)

Planned Employment Densities per Square Mile (within 1/4 mile of route) Opening Year

>10,001	4 points
5,001 - 10,000	2 points
1,001 - 5,000	1 point

Planned Population Densities per Square Mile (within 1/4 mile of route) for Opening Year

>7,000	4 points
4,001 - 7,000	2 points
501 - 4,000	1 point

Projected Annual Visitors Served by Seasonal Route (4 points)

>500,000	4 points
250,000-100,000	3 points
249,000-100,000	2 points
99,000-50,000	1 points

Other Local and Regional Benefits (3 points)

Innovative service delivery model	1 point
Creative solutions to community needs	1 point
Combining local and regional resources	1 point

Agency Experience (2 points)

Currently Operated Community Based Service

Shuttles or trolleys	1 point
Vans or community circulator	1 point