



# Transportation Development Act Claim Manual

February 2021



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# **CHAPTER 1**

## **GENERAL INFORMATION**

# INTRODUCTION

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## PURPOSE

The Transportation Development Act (TDA) statutes<sup>1</sup> and the [California Code of Regulations](#) (CCR) require SANDAG, as the Regional Transportation Planning Agency (RTPA), to adopt rules and regulations supplemental to and consistent with, those of the California Department of Transportation to establish procedures for the administration of TDA funds. This TDA Manual follows the San Diego Association of Governments (SANDAG) [Board of Directors adopted TDA Policy](#) (January 2017) as amended.

This manual is available on the SANDAG Web site. Claimants are encouraged to check the website for any changes to the manual. The manual can be found at [sandag.org/TDA](http://sandag.org/TDA).

## BACKGROUND

The California State Legislature enacted the TDA (Mills-Alquist-Deddeh Act) in 1971. It was signed and became effective in 1972. The TDA was enacted to assist local jurisdictions at the county level improve existing public transportation and encourage regional public transportation coordination. To this end, the TDA established two funding sources – the Local Transportation Fund (LTF) and the State Transit Assistance (STA) Program.

The LTF is derived from a 1/4 cent of the general sales tax collected statewide. The California Department of Tax and Fee Administration, based on sales tax collected in each county, returns the general sales tax revenues to each county's LTF. Each county then apportions the LTF funds within the county based on population. As the RTPA for the San Diego region, SANDAG is responsible for the annual allocation of monies from the LTF. The County Auditor serves as fund trustee.

The TDA was amended in 1979 (Senate Bill 620 [SB 620]) to create the State Transit Assistance (STA) Program (see [Chapter 8](#)). STA funds are derived from sales tax on diesel fuel and appropriated by the Legislature to the State Controller's Office (SCO). The SCO then allocates the tax revenue, by formula, to SANDAG and the San Diego Metropolitan Transit Development Board (MTS). The formula allocates 50 percent of the funds on the basis of the population in the region compared to the population of the state<sup>2</sup>, and the remaining 50 percent is allocated according to the prior-year proportion of regional transit operator revenues compared with statewide transit operator revenues. STA funds may not be used to fund administration, streets, or roads projects.

In April 2017, the Governor signed Senate Bill 1 (SB 1), known as the Road Repair and Accountability Act of 2017. A portion of the transportation funding under SB 1, known as the State of Good Repair (SGR) Program, is available to transit operators for eligible maintenance, rehabilitation, and capital projects. The SGR is funded from the vehicle registration fee portion of STA revenues. These funds are allocated under the STA program formula with half of the funds allocated according to population and half according to transit operator

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<sup>1</sup> All sections refer to the Public Utilities Code unless otherwise noted.

<sup>2</sup> Population split was re-defined as part of Assembly Bill 1113 and is updated on an annual basis.

revenues. The SGR is one of two programs that allocate SB 1 funds to transit agencies through the STA formula. The second program, augments the base of the STA program with a portion of the new sales tax on diesel fuel.

The [Public Utilities Code](#) (PUC) authorizes the California Department of Transportation (Caltrans) to administer the statutes and regulations of the TDA. The CCR requires LTF, STA, and SGR recipients to submit a fiscal audit report to the SCO annually. The SCO reviews TDA fiscal and compliance audits pursuant to the PUC and the CCR.

## PRIORITIES FOR DISTRIBUTION

The following reflects the priorities for distribution of funds for the San Diego region:

1. **Administrative costs (99233.1):** Funds are allocated to the County Auditor and SANDAG for administrative expenses as necessary.
2. **Planning by statutorily created agencies (99233.2):** Up to 3 percent of annual revenues shall be allocated to SANDAG for the conduct of the transportation planning process.
3. **Bicycle and pedestrian facilities (99233.3):** Two percent of the money remaining in the fund may be available to the county and cities, for development of bicycle and pedestrian facilities and safety education programs. These funds are allocated by SANDAG based on a regionwide priority list of projects (see [Chapter 3 – Article 3](#)).
4. **Rail passenger service (99233.4):** Within the San Diego region, only Metropolitan Transit System (MTS), North County Transit District (NCTD), or SANDAG may file a claim under this provision for rail passenger service operating or capital improvement expenditures.
5. **Community transit services (99233.7):** Within the San Diego region, up to five percent of the remaining money in the fund shall be available to MTS, NCTD and the Consolidated Transportation Service Agency (CTSA) to provide community transit services. Community transit service means transportation services that link intracommunity origins and destinations including services for those such as the disabled who cannot use conventional transit services (see [Chapter 5 – Article 4.5](#)).
6. **Transit operator claims (99233.8):** The remaining money in the fund shall be allocated to MTS, NCTD and SANDAG to support public transit systems within the San Diego region (see [Chapter 4 – Article 4](#)).
7. **Express bus and vanpool services (99400.6):** Within the San Diego region, any claims for express bus service and vanpool shall be consistent with the plans of MTS and NCTD for such services subject to specified conditions (see [Chapter 6 – Article 8](#)).
8. **Commuter ferry services (99400.7):** Within the San Diego region, MTS and NCTD may file a claim to provide commuter ferry service on San Diego Bay for purposes of serving peak-period commute trips for pedestrians and bicycles (see [Chapter 6 – Article 8](#)).

## LEGISLATIVE CHANGES

Since its inception, the Legislature has periodically amended the TDA. Legislative changes to date having an impact on this region are as follows:

### **Assembly Bill 813 (Chapter 354)**

Effective January 2004, revises section 99268.17 that allows the exclusion of certain operating costs for purposes of calculating farebox recovery ratio. Operators can exclude additional costs required to provide complementary paratransit service and additional costs of liability insurance premiums. The additional cost would have to exceed the operator's costs from the prior year as adjusted by the Consumer Price Index. While this section of the law expired January 1, 2007, Senate Bill 508 (SB 508) amended section 99268.17 to include additional costs that may be excluded for farebox calculations.

Also revises section 99314.6(b) including additional exclusion of certain costs associated with calculating operating costs for purposes of determining an operator's eligibility to claim State Transit Assistance funds (STAFs).

### **Assembly Bill 1912 (Chapter 201)**

Deletes section 99314.5(c) and adds section 99314.5(e) related to employment of part-time drivers.

### **Senate Bill 1703 (Chapter 743)**

Effective January 1, 2003, this bill creates the 'consolidated agency' that combines the planning functions of SANDAG, Metropolitan Transit Development Board (MTDB), and San Diego North County Transit Development Board.

### **County of San Diego (County Transit System)**

On February 13, 2002, the San Diego County Board of Supervisors approved the divestiture of the County Transit System (which includes the express, suburban, rural, and all demand-response services) to MTDB, effective June 28, 2002.

### **Senate Bill 521 (Chapter 297)**

Effective January 1, 2002, this bill repeals Section 120265 and adds Section 120354 of the Public Utilities Code. MTDB will no longer assess an annual formula for funding regional services. Rather, SB 521 states that MTDB shall consolidate all available local, state, and federal transit funds for the provision of mass transit service in coordination with the various transit operators in MTDB's service area. The use of funds shall be prioritized as follows:

9. Services provided pursuant to the Americans with Disabilities Act (ADA)
10. Local match requirements for federal and state transit capital grants
11. Local and regional service base
12. Any additional planning and operation of transit services approved by the Board.

### **Senate Bill 508 (Chapter 716)**

On October 9, 2015, this bill was approved by the Governor. This bill amends Sections 99233.3, 99234, 99247, 99268.2, 99268.3, 99268.4, 99268.17, and 99268.19. This bill also amends, repeals, and adds Section 99314.6 of the Public Utilities Code. The bill authorizes claims for funds for pedestrian safety education



programs; deletes, revises, and exempts certain farebox recovery requirements; and revises certain State Transit Assistance qualifying criteria for operations.

In addition to authorizing the funding of bicycle safety education programs up to 5 percent of the 2 percent bicycle and pedestrian allocation found under Article 3 (PUC Section 99234(a)), the bill also authorizes the funding of pedestrian safety education programs from the 5 percent amount.

Specifically, SB 508 deletes the requirement for transit operators to maintain higher farebox requirements based on the 1978-79 fiscal year. It also revises the definition of local funds and operating cost and exempts startup costs and additional categories of expenditures from operating cost.

SB 508 changes STA qualifying criteria for operations by using a sliding scale to reduce operator STA allocation for operations rather than a pass/fail. It exempts the STA qualifying criteria requirement through fiscal year 2015-16 and institutes the new sliding scale effective July 1 2016.

### **AB 1113 (Chapter 86)**

On July 21, 2017, AB 1113 was approved by the Governor. This bill amends Sections 99243, 99312, 99312.1, 99312.7, 99313, 99313.1, 99313.3, 99313.6, 99313.7, 99314, 99314.1, 99314.2, 99314.3, 99314.4, 99314.5, 99314.6, and 99314.8. This bill also repeals and adds Section 99312.2 of the Public Utilities Code. This bill revises and recasts the provisions governing the STA program and provides that only STA-eligible operators, as defined, are eligible to receive an allocation from the portion of program funds based on transit operator revenues.

In addition, this bill provides that each STA-eligible operator, within the jurisdiction of the allocating local transportation agency, receive a proportional share of revenue-based program funds based on the qualifying revenues of that operator and population, as defined. In accordance with PUC Section 99313, SANDAG as the RTPA, shall provide Caltrans with the population on its respective jurisdiction using recent estimates from Department of Finance on an annual basis. The bill also revises the duties of the Controller and the Department of Transportation in administering the program and makes various other conforming changes and deletes obsolete provisions.

This bill requires that each recipient of TDA funds submit the annual State Controller's Report (CCR 6665) and annual certified fiscal audit (Section 99245) before the required deadline. In addition, this bill requires certain information be reported by transportation agencies with respect to eligibility for funding of STA-eligible operators under the STA program.

### **SB 1 (Chapter 5)**

Approved by the Governor on April 28, 2017, SB 1 provides new transportation funding, including funding for transit service. SB 1 increases the additional sales and use tax rate on diesel fuel and continually appropriates revenues to the Controller for allocation to transportation agencies for public transit purposes under the STA Program. This bill restricts expenditures of fee revenues made available to the STA Program to transit capital purposes and certain transit services and requires recipient transit agencies to comply with various requirements.

SB 1 amended various sections, including Section 99312.1 of the Public Utilities Code and added Section 99314.9. Section 99312.1 continuously appropriates STA Program revenues to the SCO for allocation to transportation planning agencies, county transportation commissions, and MTS with 50 percent of revenues being allocated pursuant Section 99314 and 50 percent pursuant to Section 99313.

A portion of SB 1 provides funds to transit operators for eligible transit maintenance, rehabilitation, and capital projects. This investment in public transit is referred to as the State of Good Repair (SGR) Program, which is funded from a vehicle registration fee with funds allocated under the STA Program. Prior to receiving an apportionment of funds, a recipient agency is to submit to the Department of Transportation a list of projects proposed to be funded with SB 1 funds and upon expending those funds, recipients must submit documentation that includes a description and location of completed projects, amount of funds expended, completion dates, and the estimated useful life of the improvement.

In addition, this bill requires an audit of transit operator finances to verify that the revenues are expended in conformance with SB 1 requirements. Section 99314.9 also requires the Controller to compute quarterly proposed allocations for STA program funds and to publish the allocations for each eligible recipient agency.

### **AB 90 (Chapter 17)**

Approved by the Governor on June 29, 2020, AB 90 includes various statutory relief measures including instituting a hold harmless provision for calculation and allocation of State Transit Assistance Program, STA-State of Good Repair, and Low Carbon Transit Operations Program (LCTOP) allocations. The bill also temporarily suspends the financial penalties associated with the TDA's requirements that transit agencies obtain specified fixed percentages of their operating budgets from passenger fares and temporarily suspends the financial penalties associated with the STA Program's requirements that transit agencies' operating cost per revenues vehicle hour may not exceed operating cost per revenues vehicle hour adjusted by regional CPI, year over year.

## **CHANGES IN TDA RULES AND REGULATIONS**

The full text of the TDA, as amended, is available in the Caltrans publication TDA - Statutes and California Code of Regulations, as well as at its Web site <http://www.dot.ca.gov/drmt/sptda.html>. The updated version includes all administrative rules and regulations most recently adopted by the Director of the Department of Transportation with the advice and consent of the California Transportation Commission, as contained in the California Code of Regulations.

**CHAPTER 2**  
**COUNTY AUDITOR'S RESPONSIBILITIES**

## COUNTY AUDITOR'S RESPONSIBILITIES

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The County Auditor in each county in the state is the designated trustee for that county's TDA funds. Prior to February 1 of each year, the County Auditor is required (CCR 6620) to furnish the Transportation Planning Agency (SANDAG) with an estimate of monies anticipated to be deposited in the LTF during the ensuing fiscal year. The County Auditor also must provide an estimate of the TDA fund balance after all allocation instructions and payment schedules have been honored for the current fiscal year. Estimates include interest income for the ensuing fiscal year, as well as sales tax revenues.

Based on the estimates furnished by the County Auditor, SANDAG apportions the funds available in conformance with priorities stated in the law (99233).

In addition to estimating TDA fund availability, the County Auditor also is responsible for maintaining accounting records for the fund and for disbursing TDA monies in accordance with allocation instructions received from SANDAG. However, the County Auditor is to make no payment for any allocation instruction that is in conflict with the law, but shall refer such matters to SANDAG for resolution.

## **CHAPTER 3 BICYCLE AND PEDESTRIAN CLAIMS**

# BICYCLE AND PEDESTRIAN CLAIMS – TDA ARTICLE 3

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## INTRODUCTION

This chapter describes the claim process for bicycle and pedestrian projects, also known as active transportation projects. Claims may be filed annually (by April 30 of each year) with the transportation planning agency by eligible local cities, the RTPA, and the County of San Diego under Article 3 for the following purposes:

Two percent of TDA funds are apportioned each year for facilities provided for the exclusive use of pedestrians and bicyclists. Local cities, the RTPA, and the County of San Diego may file claims for these funds. These funds are supplemented with *TransNet* bicycle, pedestrian, and neighborhood safety funds for planning and construction of facilities intended for use by bicyclists, pedestrians, and neighborhood safety/traffic calming projects.

The San Diego Transportation Improvement Program (*TransNet*) Extension approved by the voters in 2004 also includes an annual allocation of 2 percent of the total annual revenues dedicated to the Bicycle, Pedestrian, and Neighborhood Safety Program<sup>3</sup>. The Bicycle, Pedestrian, and Neighborhood Safety Program provides funding for bikeway facilities and connectivity improvements, pedestrian and walkable community projects, bicycle and pedestrian safety projects and programs, and traffic calming projects through a competitive grant program. The following link provides additional information on the *TransNet*/TDA Active Transportation Grant Program: <http://www.sandag.org/index.asp?classid=34&projectid=491&fuseaction=projects.detail>

In September 2013, the SANDAG Board of Directors approved the Regional Bike Early Action Program (Regional Bike EAP) with the goal of implementing Regional Bicycle Network High Priority Projects within ten years. The Board's action also included continuing to fund local bicycle and pedestrian plans, programs, and projects through the competitive *TransNet*/TDA Active Transportation Program which is supplemented with TDA revenues<sup>4</sup>. The following link provides additional information on the Regional Bike EAP: <https://www.keepsandiegomoving.com/RegionalBikeProjects/introduction.aspx> TDA Project Eligibility

The law specifies that TDA funds should be allocated according to the regulations adopted by SANDAG as the regional transportation planning agency. It also identifies certain categories of eligible projects. These specific project types represent neither an exhaustive list nor are they listed as priorities (Public Utilities Code [PUC] Sections 99233.3 and 99234). They are summarized below for reference and at the following link: <http://www.sandag.org/index.asp?classid=34&projectid=491&fuseaction=projects.detail>. Project evaluation criteria, established by SANDAG Board policy, are discussed later.

- Construction, including related engineering expenses, of bicycle and pedestrian facilities.
- Maintenance of bicycle trails provided they are closed to motorized traffic.

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<sup>3</sup> The Bicycle, Pedestrian, and Neighborhood Safety Program also is referred to as the *TransNet*/TDA Active Transportation Grant Program (ATGP).

<sup>4</sup> When the SANDAG Board approved the Regional Bike Early Action Program in September 2013, it limited the ATGP to \$1 million per year with the remainder allocated to the Regional Bike EAP.

- Projects serving the needs of commuting bicyclists, including but not limited to, new paths serving major transportation corridors, secure bicycle parking at employment centers, park-and-ride lots, and transit centers where other funds are not available.
- A comprehensive bicycle and pedestrian facilities plan (no more than once every five years), with an emphasis on bicycle projects intended to primarily accommodate non-recreational bicycle trips.
- Up to 20 percent of the cost to restripe Class II bicycle lanes.
- Up to 5 percent of the amount available to a city or the county may be expended in conjunction with other funds to support bicycle and pedestrian safety education programs, so long as the funds are not used to fully fund the salary of any one person.

### ***TransNet* Project Eligibility**

*TransNet* bicycle, pedestrian, and neighborhood safety (also known as the *TransNet/TDA* Active Transportation Program) funds may be expended for all purposes necessary and convenient to the design, right-of-way acquisition, and construction of facilities intended for use by bicyclists, pedestrians, and neighborhood safety/traffic calming projects. These funds can be used for capital and non-capital projects and programs that help to encourage bicycling and walking.

Eligible [capital projects](#) include facilities intended for use by bicyclists and pedestrians and/or provide safer roadway access through traffic calming. Eligible activities include design, environmental, right-of-way acquisition, construction, and installation of traffic control devices. Eligible capital projects may include, but are not limited to:

- New bicycle facilities including paths and bicycle boulevards
- Bicycle lane striping and widening
- New sidewalks, widening of sidewalks, sidewalk gap closures
- New pedestrian facilities
- Pedestrian over and under crossings
- Shortcuts to shorten bike/walk travel time and provide for safer connections
- High visibility crosswalks (ladder/zebra/continental style)
- Bulb outs and intersection treatments
- Roundabouts and traffic circles
- Speed humps and speed tables
- Raised intersections
- Median refuges
- Road diets
- Full or half street closures
- Pedestrian and bicycle-related traffic control devices and pavement markings
- Pedestrian-scale lighting
- Signage and wayfinding

Eligible [non-capital projects](#) include planning projects; education, encouragement and awareness programs; and bicycle parking.

Eligible planning projects address bicycle and/or pedestrian access, primarily to accommodate non-recreational bicycle and walking trips, through neighborhood or citywide plans. Eligible planning projects may include, but are not limited to:

- Comprehensive Active Transportation Strategies,
- Bicycle Master Plans, and
- Required environmental documents.
- Stand-alone pedestrian master plans are not eligible.

Eligible education, encouragement and awareness programs include, but are not limited to:

- Education Programs that teach walking and bicycling safety skills to children and adults through schools, places of employment, community centers, or other venues.
- Encouragement Programs that propose targeted outreach and events designed to encourage walking and bicycling as a viable mode of transportation for everyday/utilitarian trips.
- Awareness Programs that intend to improve overall roadway safety, especially for bicyclists and pedestrians, by impacting the attitudes and behaviors of the general public through multimedia campaigns.

Eligible bicycle parking projects intend to plan and implement bicycle parking facilities and must be designed for general public access (may NOT exclusively serve any single entity). Eligible projects may include, but are not limited to: bike racks, bike lockers, bike corrals and bike stations.

### **SANDAG Claim Requirements**

SANDAG has the authority to establish criteria applicable to analyzing and evaluating claims for non-motorized transportation facilities (PUC Section 99401). To be considered for funding, a claim must be part of the Regional Bike EAP for regional projects or evaluated based upon the SANDAG-adopted *TransNet/TDA* Active Transportation [capital](#) or [non-capital](#) scoring criteria for local projects. TDA Claim Submittal Process

TDA non-motorized claims for the ensuing fiscal year must be submitted to SANDAG. To be considered for funding, the Annual Claim Application must be fully completed. In addition, please consider the following, if applicable:

- All claims, including those supporting educational or promotional programs and claims for planning projects, must include a project budget, work program, and project schedule.
- No later than April 30 of each year, include a certified copy of a resolution or minute order in which the planning group, planning commission, or governing body of the claimant authorizes the claim.

Applicants must submit their claim in electronic PDF format and hard copy.



## **TDA Evaluation Process**

The evaluation process for *TransNet* / TDA Active Transportation projects is consistent with the way SANDAG evaluates and prioritizes other components of the transportation system, such as arterial, highway, and transit projects. Transportation project priorities are established in planning documents like the Regional Transportation Plan (RTP). Priorities also are used for funding decisions that are programmed in the Regional Transportation Improvement Program (RTIP). The criteria used to establish the Bike Early Action Program are included in the [Regional Bike Plan](#). For local projects, the evaluation criteria support the overall goals and objectives SANDAG has for improving the regional transportation system and promoting smart growth in the region by giving priority to projects that enhance the existing transportation network as a whole. The criteria to be used in the evaluation process for local projects are specified in the [capital](#) and [non-capital](#) Project Evaluation Criteria Matrices.

Claimants for TDA bicycle and pedestrian projects and *TransNet* bicycle, pedestrian, and neighborhood safety projects will be responsible for accurately filling out the Annual Claim Application.

Each claimant receiving TDA funds and the County of San Diego, as trustee of the Local Transportation Fund, are required to submit an annual certified fiscal audit conducted by an independent auditor. With the exception of transit operator recipients, SANDAG procures an independent auditor on behalf of the TDA recipients and will transmit the audits to the State Controller within 180 days after the end of the fiscal year (99245). It is the responsibility of the claimants to ensure that audits progress in a timely manner. Any delays in the audit require a request to SANDAG for an extension of no more than 90 days. [Appendix B](#) provides additional information regarding the fiscal audit requirements

## **CHAPTER 4**

# **TRANSIT OPERATOR CLAIMS**

# TRANSIT OPERATOR CLAIMS – TDA ARTICLE 4

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## INTRODUCTION

Claims may be filed annually (by April 30 of each year) with the transportation planning agency by eligible transit operators under Article 4 for the following purposes (99260):

1. The support of public transportation systems
2. Aid to public transportation research and demonstration projects
3. Contributions for the construction of grade separation projects

## Eligible Expenses

TDA monies claimed by public transit operators can be used for all purposes necessary and convenient to the development and operation of a public transportation system, including the following (99262):

1. Planning and contributions to the transportation planning process
2. Acquisition of real property
3. Construction of facilities and buildings
4. Purchase and replacement of vehicles
5. Systems operation
6. Maintenance and repair
7. Debt payment

## Claim Restrictions

1. The expenditure of funds received under this article by an operator may in no year exceed 50 percent of the amount required to meet operating, maintenance, and capital and debt service requirements of the system after deduction therefrom of approved federal grants estimated to be received and funds estimated to be allocated (Section 99268).
2. In order to qualify for TDA funds under Article 4, an operator must maintain certain fare revenue to operating cost or fare revenue plus local support to operating cost ratios (see [Appendix A](#) for definitions of fare revenue, local support, and operating cost) as established by 99268 through 99269 and 99270.1, depending on the characteristics of the operator and its service area.
3. Section 99268.1 states that commencing with claims for the 1980-81 fiscal year, an operator that was in compliance with Section 99268 during the 1978-79 fiscal year in order to be eligible for funds under this article shall be eligible for such funds in any fiscal year, if it remains in compliance with that section during the fiscal year. The determination of compliance for any fiscal year shall be made in the same manner as the determination was made for the 1978-79 fiscal year.
4. In the case of an operator required to be in compliance with Section 99268 under Section 99268.1, the operator may be allocated additional funds that could not be allocated to it because of those requirements, if it maintains, for the fiscal year, a ratio of fare revenues to operating cost, as defined

by subdivision (a) of Section 99247 (See [Appendix A](#) for definitions and exclusions from the definition of operating cost pursuant to Section 99268.17), at least equal to one-fifth if serving an urbanized area or one-tenth if serving a nonurbanized area (Sections 99268.2, 99268.3, and 99268.4). If fare revenues are insufficient to meet the applicable ratio of fare revenues to operating cost required by Article 4, an operator may satisfy that requirement by supplementing its fare revenues with local funds. As used in this section, "local funds" means any non-federal or non-state grant funds or other revenues generated by, earned by, or distributed to an operator (Section 99268.19).

5. Under the provisions of 99269, all operators within the MTS service area are considered as a single operator for the purpose of meeting the farebox recovery requirement. In order for these operators to be eligible for Article 4 funds, the areawide farebox recovery, as determined on the basis of total operating costs and total fare revenues for all operators, must equal or exceed the areawide ratio for fiscal year 1979, or 31.9 percent. This affects all Article 4 claimants filing a claim with MTS which includes San Diego Transit Corporation, San Diego Trolley Incorporated, Contract Services, and Chula Vista Transit. For these operators, the individual farebox recovery is not a factor in determining eligibility for Article 4 funds.
6. The remaining operators and transit service claimants are subject to the applicable farebox recovery requirement as summarized below:

<b>Operator</b>	<b>Required Ratio</b>	<b>PUC Section</b>
MTS	20%	99269
NCTD	18.8%	99270.1
MTS/NCTD Services for Elderly and Disabled Persons	10%	99268.5

7. If an operator fails to maintain the required ratio as described in #2, then the operator's eligibility to receive both LTF and STA funds shall be reduced during the subsequent penalty year by the amount of the difference between the level of fare revenues required to meet the specified ratio and the actual fare revenues for the year the ratio was not achieved. The penalty year shall begin one-year after the end of the fiscal year during which the required ratio was not met (99268.9).
8. The fare revenue and local support ratios shall not apply to an extension of public transportation services until two years after the end of the fiscal year during which the extension of service was put into operation (99268.8). The fare revenues and operating costs attributable to new service extensions shall be excluded from the ratio determinations if the extensions meet the definitions of CCR 6619.1 and the conditions of CCR 6633.8.
9. No operator shall be eligible for funds if it routinely staffs a vehicle designed to be operated by one person with two or more persons (99264).
10. An operator shall be eligible for Article 4 funds only if the current cost of its retirement system is fully funded with respect to the officers and employees of its public transportation system, or if the operator is implementing a plan approved by the TPA (SANDAG) which will fully fund the retirement system within 40 years (99271).
11. An operator that has a private pension plan shall be eligible for Article 4 funds only if it meets all of the requirements of 99272 and 99273.

12. The total amount of monies from the LTF and the state STAF that an operator or transit service claimant is eligible to receive during the fiscal year is determined by the provisions of 21 CCR Section 6634 (fund eligibility). [Appendix F](#) contains a worksheet to assist in determining maximum fund eligibility.
13. An operator or transit service claimant shall spend monies received from the LTF or STAF only in accordance with the terms and conditions of the allocations, as set forth in the LTF allocation instructions or STAF allocation resolution. If unforeseen situations develop during the year such that the operator or transit service claimant cannot comply with the terms and conditions of the allocations, the operator or transit service claimant shall request that SANDAG consider a revised allocation instruction or resolution per 21 CCR Section 6636 (implementation). In addition, if an operator or transit service claimant desires, in mid-year, to implement a new service which results in an increase (or decrease) of 15 percent or greater over the operating budget of the previously approved claim, then the claimant shall request a revised allocation before any expenses associated with the proposed service changes are incurred.
14. Any operator providing charter service must meet the requirements of 99250. Under these requirements, all charter bus service must contribute financially to the reduction of deficits incurred in the operation of scheduled bus service. Charter bus service rates charged must equal the average of the three lowest current rates charged by private charter bus carriers actually operating charters originating in the same service area during the prior year, or they must be at least equal to the fully allocated cost of each charter operated. These rates must be reviewed and adjusted not less than semiannually. However, if the operator determines that there is a public need that cannot be met otherwise, charter service may be provided to charitable or public service organizations at direct cost, not to exceed \$10,000 or a total of 40 charter buses per year, whichever occurs first. An example statement certifying that these requirements have been met is included in [Appendix G](#).
15. Each claim must include a certification completed within the last 13 months from the Department of the California Highway Patrol indicating that the operator is in compliance with Section 1808.1 of the Vehicle Code. This section requires operators to participate in a pull notice system for obtaining current driver records from the Department of Motor Vehicles.
16. Transit operators are subject to the reduced transit fare and related eligibility requirements of Section 99155 and 99155.5. [Appendix G](#) provides a sample statement certifying compliance with these requirements.

## **Claim Process**

At the second SANDAG Transportation Committee meeting each February, SANDAG publishes the annual TDA apportionment schedule and the five-year revenue projections for the transit operators. The transit operators shall provide budget information to SANDAG in sufficient detail to support their TDA claims. By April 30 (or last weekday of the month), any claimant wishing to receive funding for the ensuing fiscal year must submit a claim to SANDAG, which must include the supplemental information as described in the following section.

## **Claim Forms and Required Information**

Each claimant shall complete the annual TDA claim form and the specified reporting forms and submit the claim along with the supplemental information listed in the claim checklist. These forms are designed to assist the operators in meeting the various requirements of the TDA and to assist SANDAG in meeting its administrative responsibilities.

In addition, all operators shall participate in the regionwide performance improvement program through the Coordinated Plan (The Regional Short-Range Transit Plan & Coordinated Public-Transit-Human Services Transportation Plan) process.

The claim checklist outlines supplemental information required as part of each claim. The items in the checklist (see [Appendix E](#)) are intended to meet the various requirements of the TDA.

### **Claim Revision or Amendment Process**

An operator may request a revision to an approved allocation when changes in circumstances warrant. An allocation revision is required when an operator wishes to increase the total TDA allocation, or to use the funds for a purpose other than the one for which they were allocated. For example, use of operating funds to support a capital project or any transfer of funds from operating or capital support into a capital reserve pursuant to CCR 6648 require approval by the transit agency board and then approval by SANDAG.

A request for an allocation revision or amendment should include information detailing the reason for the revision/amendment request (including a change in the operating and/or capital budgets) and a table comparing the old claim total and the new claim total. A certified copy of a resolution or minute order in which the governing body authorizes the change must accompany the revision/amendment. Changes in the capital program must be clearly identified.

### **Reporting Requirements**

1. Each operator and transit service claimant is required to prepare and submit an annual report of its operations in accordance with the uniform system of accounts and records adopted by the State Controller pursuant to 99243 ([Appendix D](#)). Accurate and complete records shall be maintained and all such fiscal, and accounting records, and supporting papers shall be retained. The annual report must be submitted to SANDAG and the State Controller within seven months after the end of the fiscal year. The annual report shall include (CCR 6637):
  - a. The amount of revenue generated from each source and its application for the preceding fiscal year.
  - b. The data necessary to determine whether the operator is in compliance with 99268.1, 99268.2, 99268.3, 99268.4, 99268.5, and 99268.9 (farebox recovery requirements).
  - c. The financial data reporting forms specified by the State Controller for the annual report.
  - d. The nonfinancial operating data described in the federal "Uniform System of Accounts and Records and Reporting Systems," January 1977. The claimant shall report the nonfinancial operating data on the forms specified by the State Controller.
  - e. A supplement including an estimate of revenues to be generated from each source and its proposed application for the next fiscal year and a report on the extent to which the claimant has contracted with the Prison Industry Authority, including the nature and dollar amounts of all contracts entered into during the reporting period and proposed for the next reporting period.
2. The State Controller shall instruct the County Auditor to withhold payments from the fund to any operator that has not submitted its annual report to the State Controller within the time specified after the close of the fiscal year (99243).

3. Each claimant is required to submit operating statistics to SANDAG (see [Appendix E](#)) on a quarterly basis, no later than 45 days after the end of each quarter.
4. Each claimant receiving TDA funds, and the County of San Diego is required to submit an annual certified fiscal audit conducted by an independent auditor. SANDAG procures an independent auditor on behalf of the TDA recipients, except for transit operators, and will transmit the audits to the State Controller within 180 days after the end of the fiscal year (99245). It is the responsibility of the claimants to ensure that audits progress in a timely manner. Any delays in the audit require a request to SANDAG for an extension of no more than 90 days. [Appendix B](#) provides additional information regarding the fiscal audit requirements
  - a. A transit district, transit operator, transit service claimant or other provider may expand the scope of its audit pursuant to Section 99245.2 to meet the audit requirements of other funding sources. An audit done pursuant to the Federal Single Audit Act of 1984 may be used to meet the requirements of Section 99245 providing it meets the requirements of section 99245 including a certification that the funds allocated to the claimant pursuant to Section 99245 were expended in conformance with applicable laws and rules and regulations. The report will be transmitted to SANDAG and the State Controller within 180 days after the end of the fiscal year.
5. A performance audit of each operator is required triennially. Similar to the annual fiscal audit, SANDAG procures an independent third party to conduct the performance audit. Additional information regarding the performance audit requirements are contained in [Appendix C](#) and the Transit Operator's Performance Audit Guide published by SANDAG.
6. For an operator excluding the fare revenues and operator costs attributable to an extension of new services from the determination of its fare revenue and local support ratios, as described under Claim Restrictions #3, a report must be submitted to SANDAG within 90 days after the end of the fiscal year. The report shall include, but not be limited to, the following (CCR 6633.8(c)):
  - a. A description of the area served and the routes or portions of routes included
  - b. The amount of fare revenues generated by the extension and the method used to derive that amount
  - c. The amount of the operating cost for the extension and the method used to allocate costs between the extension of service and the claimant's other services

## Timetable

The following is a timetable which lists the key dates of the cycle of preparing claims, allocating monies, and preparing final reports. References to the appropriate California Code of Regulations (CCR) sections are included.

February 1	County Auditor provides estimate of LTF monies available for the ensuing fiscal year to SANDAG (6620).
February	SANDAG Board approves the annual apportionments available for allocation (6644) and advises prospective claimants.
April 30	Claims are due to SANDAG (6630). Claimants are encouraged to review the updates to the Claim Manual, use the check-off list provided, and include it as part the claim package.
June	SANDAG Board of Directors reviews and approves the claims.
June 30	SANDAG conveys initial allocation instructions for the next fiscal year to County Auditor 6659).
September 1	SANDAG transmits a schedule of performance audits to be submitted during the fiscal year and a list of all operators or claimants who operated or commenced operations during the prior fiscal year to the California Department of Transportation (6664.5).
September 30	Non-transit claimants submit expenditure reports to State Controller (6665).
September 30	Claimants submit reports on extension of service to SANDAG (6633.8).
November	TDA recipients submit extension requests
December	SANDAG submits, on behalf all claimants using its independent auditor, the certified fiscal audit for fiscal year ending June 30 (unless granted a 90-day extension) to the State Controller (99245). Transit operators choosing to use their own independent auditor are responsible to submit their report to SANDAG and the State Controller.
January 31	SANDAG submits the annual State Controller's Report (6660).
Triennially	SANDAG submits the performance audits to the California Department of Transportation (6662.5) for all operators of transit service and for SANDAG for planning functions.



## **CHAPTER 5 COMMUNITY TRANSIT SERVICE CLAIMS**

# COMMUNITY TRANSIT SERVICE CLAIMS – ARTICLE 4.5

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## INTRODUCTION

The legislature has provided for the use of up to 5 percent of the annual TDA funds for community transit services, which include services for those such as the disabled, who cannot use conventional transit services. Eligible claimants are cities, counties, public transit operators, and consolidated transportation service agencies. Claims can be made only by public agencies. However, community transit services can be provided by private operators (e.g., taxicab companies) under contract with a public agency on a competitive bidding basis.

California Code of Regulations 6644 provides that the maximum available for claims filed under Article 4.5 shall be 5 percent of the sum of the apportionments of the areas of all operators remaining after subtracting any amounts allocated pursuant to 99233.4, 99233.5, and 99233.6. The amount available for Article 4 claims is that amount remaining after the adjustment for the proportion made available for Article 4.5 allocations.

Transportation Development Act Article 4.5 claims may be filed with the transportation planning agency (SANDAG) by a city, a county, an operator, or a CTSA, to provide “community transit services” which are defined as transportation services which link intracommunity origins and destinations.

## Requirements

The SANDAG Board must find that a claim meets the following minimum requirements prior to approval of a claim (99275.5):

1. That the proposed community transit service is responding to a transportation need currently not being met in the community of the claimant.
2. That the service shall be integrated with existing transit services, if appropriate.
3. That the claimant has prepared an estimate of revenues, operating costs, and patronage.
4. That the claimant is in compliance with the applicable farebox recovery ratio requirements (99268.3, 99268.4, 99268.5, or 99268.9). For exclusive elderly and handicapped services, 10 percent of the claimant’s operating costs must be recovered through fare revenues. However, local support may be included toward meeting the 10 percent requirement. A CTSA performing coordination activities is exempt from this requirement.
5. That the claimant is in conformance with the requirements of 99155 and 99155.5 relating to the honoring of specified identification cards by operators offering reduced fares for seniors and the disabled and other eligibility requirements.

In addition to the requirements of 99275.5, claimants are encouraged to enter into a formal competitive bidding process in choosing to provide service through a contract operator as authorized by 99277.

## **ARTICLE 4.5 FUND DISTRIBUTION FORMULA**

In order to include the CTSA in the fund distribution process, a maximum of 2 percent of the total available will be set aside to support claims by the CTSA. The CTSA claim is to include a work program to be reviewed by SANDAG and the other Article 4.5 claimants. The remaining amount will be apportioned pursuant to Public Utilities Code (PUC) 99233.7 and shall be divided between the MTS and the North County Transit District service areas based on the ratio of the total population in each area to the total population in both areas.

### **Board-Adopted Priorities**

In view of the limited funds available under the Article 4.5 program, the SANDAG Board has adopted the following priorities for the allocation of Article 4.5 funds:

1. The Article 4.5 program is intended to serve those population groups that cannot use conventional, fixed-route transit services, primarily persons with disabilities as defined by the ADA. Service to persons such as the nondisabled elderly should be provided only when capacity is available. TDA Article 4 funds are the more appropriate source of support for general public transit services.
2. Priority shall be given to providing accessible curb-to-curb services to all communities within the urbanized area, based on fund availability, prior to the expansion of the level of service within the existing service areas.
3. Additional services proposed within areas currently served by another operator will be considered only on the basis of fund availability and a clear demonstration of unmet needs.

### **Claim Content**

Community transit service claims are to be filed in the same manner as Article 4 transit operator claims following the claim timetable outlined in [Chapter 4](#). Transit service claimants should refer to the claim checklist ([Appendix E](#)) for the claim forms and additional information required. Community transit service claims should include all of the information listed in the checklist.

### **Reporting Requirements**

1. Each claimant receiving TDA funds, and the County of San Diego is required to submit an annual certified fiscal audit conducted by an independent auditor. SANDAG procures an independent auditor on behalf of the TDA recipients and will transmit the audits to the State Controller within 180 days after the end of the fiscal year (99245). It is the responsibility of the claimants to ensure that audits progress in a timely manner. Any delays in the audit require a request to SANDAG for an extension of no more than 90 days. [Appendix B](#) provides additional information regarding the fiscal audit requirements.
2. Each transit service claimant is required to submit an annual report of its operations, consistent with the Uniform System of Accounts, to SANDAG and the State Controller within 90 days after the end of the fiscal year (see [Chapter 4 – Report Requirements #1](#)).
3. Each transit claimant is required to submit operating statistics to SANDAG (see [Appendix E](#)) on a quarterly basis.

## **CHAPTER 6**

# **SPECIAL PROVISION CLAIMS**

# SPECIAL PROVISION CLAIMS – ARTICLE 8

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## INTRODUCTION

This chapter summarizes claims for projects under special provisions of the TDA. Special provision claims generally refer to Article 8 claims for local street and road improvements, multimodal terminals, and express bus, vanpool and commuter ferry services. Article 8 allows the cities and transit operators to file claims for the construction and maintenance of multi-modal transportation terminals anywhere in the County of San Diego or a city in the county, as the case may be (99400.5). The transit operators also may file claims for express bus services and vanpool services (99400.6).

### Local Street and Road Claims

Due to the provisions of 99232, jurisdictions within San Diego County are not eligible to claim Article 8 monies for local street and road improvements.

### Multimodal Terminal Claims

Each multimodal terminal claim shall include the annual TDA claim form, a project description (including any feasibility, site analysis, or related studies which have been prepared and not previously submitted), and the estimated project cost and source(s) of funds. The funding request should cover work that is scheduled to begin in the fiscal year of the claim. It should be supported by completing the Schedule of Article 8 Funding for Transit Centers (Form C-10) included in [Appendix E](#). Project construction costs should be documented on the Schedule of Estimated Transit Center Costs (Form C-20) also in [Appendix E](#). If the project is to be implemented in phases, include in the project description the estimated implementation dates and related costs for each phase (i.e., preliminary engineering, right-of-way acquisition, construction, etc.)

Claims may be submitted for planning or feasibility studies undertaken to develop new transit centers. In addition to an annual claim form, such claims must contain a work program describing the objectives and tasks of the study, and projected time frame of the study. The claim also must contain a budget breakdown showing both the sources and uses of funds required for the study. The budget should be submitted in table format listing the TDA and any other revenues anticipated for the project. Cost data should identify direct staff costs, support costs, and consultant costs, if any.

### Express Bus and Vanpool Service Claims

Eligible claimants may file claims for express bus services and vanpool services oriented toward serving work commute trips and providing accessibility between residential areas and major activity centers. Each claim for express bus services or vanpool services shall include the same claim forms and required information as Article 4 operator claims. These claims should be submitted by April 30 following the claim timetable outlined in [Chapter 4](#). Express bus service claims should be accompanied by a statement describing the consistency of the proposed services with the regional Coordinated Plan. Vanpool service claims are limited to the actual cost of acquiring vans, with the local transportation fund to be reimbursed for the amount of the claim within the passenger service life of the vans.

## **Commuter Ferry Service Claims**

Cities within the County of San Diego may file claims to provide commuter ferry service on San Diego Bay for the purpose of serving peak period commute trips for pedestrians and bicycles. The commuter ferry service may be located anywhere on the San Diego Bay, but shall be consistent with the RTP, shall serve employment centers and high-volume activity centers, and may be provided by contract with operators, private entities operating under a franchise or license, or nonprofit corporations.

Pursuant to SB 1433, the ferry service is exempt from the farebox recovery ratio requirement pursuant to CCR 6633.2(1).

**CHAPTER 7**  
**TRANSIT PERFORMANCE**  
**IMPROVEMENT RECOMMENDATIONS**

# TRANSIT PERFORMANCE IMPROVEMENT RECOMMENDATIONS

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## INTRODUCTION

Pursuant to the provisions of 99244, SANDAG is responsible for identifying and recommending potential performance improvements that can lower the operating costs of transit operators. The recommendations for improvements shall include, but not be limited to, those recommendations related to productivity made in the triennial performance audit pursuant to 99246.

Section 99244 further requires that prior to determining the allocations of TDA funds to an operator for the next fiscal year, SANDAG must review and evaluate the efforts made by the operator to implement any recommended improvements made prior to the current fiscal year.

If a determination is made that an operator has not made a reasonable effort to implement the recommended improvements, then SANDAG shall not approve the allocation of TDA funds to an operator for the support of its public transportation system for the next fiscal year in any amount which exceeds the allocation to the operator for such purposes for the current fiscal year.

Following are the performance improvement recommendations to be implemented by each claimant. SANDAG will describe the efforts made by each transit agency to implement the respective recommendations (Forms A and B).

## Transportation Performance Improvement Recommendations

Performance improvement is best measured over a multiyear timeframe that focuses on longer term trends. In order to measure multiyear improvements, performance recommendations for fixed-route and demand-response operators are divided into two categories: (1) performance improvement recommendations, and (2) performance audit recommendations. Each claimant will be required to provide base statistical information (Form C) to SANDAG so that SANDAG can determine if reasonable effort was made to implement the recommendations. Each performance measurement and corresponding recommendation is discussed below.

## Performance Measures

Each claimant will have six performance categories, progress toward which will be measured based on actual data ending with the last month of the most recent calendar year (reported as Quarter 2 on the claimants' TDA Claim Form C [[Appendix E VI](#)]) or more recent data should it become available. SANDAG will annually evaluate performance in terms of progress made toward achieving the multiyear goals. These categories and performance measures are as follows:

1. Operating Cost Per Passenger: Improve service efficiency measure for the last 12 quarters of available data.
2. Operating Cost Per Vehicle Service Hour: Improve service efficiency measure for the last 12 quarters of available data.
3. Passengers Per Vehicle Service Hour: Improve passenger productivity measure for the last 12 quarters of available data.



4. Passengers Per Vehicle Service Mile: Improve passenger productivity measure for the last 12 quarters of available data.
5. Vehicle Service Hours Per Employee: Improve labor productivity measure for the last 12 quarters of available data.
6. Farebox Recovery: Exceed the minimum TDA targets for farebox recovery ratio listed in their final TDA claim for the last four quarters of available data.

### **Performance Audit Recommendations**

Each claimant will work toward the implementation of the latest performance audit recommendations. As part of each operator's TDA claim, a summary shall be provided on the following items on Form B ([Appendix E VI](#)):

1. A discussion of the work undertaken to implement each recommendation during the current fiscal year.
2. A short discussion of any problems encountered in implementing individual recommendations and the success or failure of implemented recommendations in improving transit productivity.

### **Efforts to Improve Productivity**

In addition to implementing the performance audit recommendations through discussions with SANDAG, each claimant shall indicate specific areas where special efforts will be made to help cover costs and/or increase ridership. These efforts will be summarized by SANDAG for fixed-route, demand-response, and rail operations and be included as part of the TDA/STA claims for the next fiscal year.

**CHAPTER 8**  
**STATE TRANSIT ASSISTANCE**  
**FUND GUIDELINES**

# STATE TRANSIT ASSISTANCE FUND GUIDELINES

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## INTRODUCTION

The STA program was created by SB 620 (Chapter 161) in 1979 and revised by Assembly Bill 2551 (Chapter 322) in 1982, by both Senate Bill 300 (Chapter 105) and Senate Bill 1391 (Chapter 1232) in 1989, by the passage of Proposition 116 in 1990, and by Assembly Bill 37 (Chapter 13), Senate Bill 3 (Chapter 35), Senate Bill 152 (Chapter 767), Senate Bill 791 (Chapter 995) 1991, Senate Bill 160 (Chapter 501) 1991, Senate Bill 1474 (Chapter 256) 1996 and Senate Bill 45 (Chapter 662) in 1997, Senate Bill 508 (Chapter 716) in 2015 and Assemble Bill 1113 (Chapter 86) in 2017. The fund provides a second source of TDA funding for transportation planning and mass transportation purposes as specified by the Legislature.

Proposition 116 designated the Transportation Planning and Development (TP&D) Account. Pursuant to Senate Bill 45, the TP&D Account has become the Public Transportation Account (PTA) which has been designated as a trust account. ABX8 6 and ABX8 9 created a fuel tax swap which reduced excise tax and increased sales tax on diesel fuel while Assembly Bill 105 redirected 50 percent of the base sales tax on diesel, and 100 percent of the increase from the PTA to the STA program to fund local transit operations and capital.

In addition, with the passage of SB 1 additional revenues are to be allocated to the STA program along with the introduction of the STA SGR fund account. The information provided below refers to both STA and the SGR programs.

## STA POPULATION FORMULA ALLOCATION

The STA funds and SGR funds under the population formula allocation (99313) are allocated to each regional entity based on the ratio of the population of the area under its jurisdiction to the total population of the state. For the SANDAG area, the allocation is based on the population within that portion of the SANDAG area jurisdiction which is outside the MTS area (99312.5). SANDAG is required to provide these population figures to the Department of Transportation on or before June 1 of each year.

STA funds allocated to the SANDAG area are available for allocation by SANDAG to eligible operators within the SANDAG area of jurisdiction while funds allocated to the MTS area are available for allocation by MTS to eligible operators within the MTS area. SANDAG and MTS are required (99313.6) to deposit the funds allocated to their respective areas into a STAF. Section 99312.7 requires the State Controller to issue estimates of funds to be allocated to each regional entity by January 31 of each year.

## STA OPERATOR REVENUE FORMULA ALLOCATION

Under the operator revenue formula allocation (99314), the STA and SGR funds are allocated to each regional entity according to the ratio of the total revenue of all operators in the area under its jurisdiction during the prior fiscal year to the total revenue of all operators in the state during the prior fiscal year.

For the purpose of these allocations, the term “revenues” has been defined as fare revenues and any other funds used by the operator for transit operations, with the exception of federal and state funds which may only be used for transportation purposes (see CCR 6722). The revenue amounts are to be determined from the most recent annual report developed by the State Controller. The State Controller’s estimates of STA allocations are subject to change based on more current data and on legislative actions affecting the state budget and the STAFs. The most current estimates provided by the State Controller are used by SANDAG and MTS in allocating STA operator revenue formula funds.

## **Funding Priorities**

In the allocation of STA monies to eligible operators, it is the intent of the legislature that SANDAG give priority consideration to claims for the following purposes (99314.5(c)):

1. To offset reductions in federal operating assistance
2. To offset unanticipated increases in the cost of fuel
3. To enhance existing public transportation services
4. To meet high-priority regional, countywide, or areawide public transportation needs

In addition, it is the intent of SANDAG to give high-priority to claims for energy-efficient transit services.

State of Good Repair funds are made available for capital projects that maintain the public transit system in a state of good repair. PUC Section 99212.1 (c) lists the projects eligible for State of Good Repair funding, which are:

1. Transit capital projects or services to maintain or repair a transit operator’s existing transit vehicle fleet or transit facilities, including the rehabilitation and/or modernization of the existing vehicles or facilities.
2. The design, acquisition, and construction of new vehicles or facilities that improve existing transit services.
3. Transit services that complement local efforts for repair and improvement of local transportation infrastructure.

## **Required Findings**

Each regional entity is required to make all of the findings listed below before it can allocate funds to a claimant (CCR 6754). It is the responsibility of the claimant to provide the regional entity with sufficient information upon which to make these findings. In order to allocate STA monies, SANDAG or MTS must find that:

1. The claimant’s proposed expenditures are in conformance with the RTP.
2. The level of fare revenues proposed is sufficient to enable the operator or transit service claimant to meet the fare revenue requirements of 99268.2, 99268.3, 99268.4, 99268.5, and 99268.9, as they may be applicable to the claimant (see [Chapter 4 – Claim Restrictions #1](#)).
3. The claimant is making full use of federal funds available under the Federal Transit Act, as amended.
4. The sum of the claimant’s allocations from the STAF and from the LTFs does not exceed the amount the claimant is eligible to receive during the fiscal year (see CCR 6634). Such findings, however, shall not relieve the claimant of its responsibility pursuant to CCR 6735.

5. Priority consideration has been given to claims to offset reductions in federal operating assistance and unanticipated increases in the cost of fuel, to enhance existing public transportation services, and to meet high-priority regional, countywide, or areawide public transportation needs.
6. The operator has made a reasonable effort to implement the productivity improvements recommended pursuant to 99244. This finding shall make specific reference to the improvements recommended and to the efforts made by the operator to implement them.
7. The operator has been certified within the last 13 months by the California Highway Patrol to be in compliance with Section 1808.1 of the Vehicle Code.
8. The operator is in compliance with the eligibility requirements of 99314.6, as amended.
9. A list of all projects proposed to be funded with SGR apportionment made available to the region per PUC 99312.1(d)(1).

### **Funding Eligibility and Qualifying Criteria**

In the San Diego region, claims for STA population formula funds may be filed by eligible Article 4 operators for public transportation purposes and by eligible Article 4.5 claimants for community transit services (99314.5 (a) and (e)). Article 4 operators also may claim revenue formula funds, which may be used to support both service to the general public and service supported under Article 4.5. In addition to meeting the required findings discussed previously, STA claimants are required to meet additional qualifying criteria (99314.6), as revised by SB 508 (Chapter 716, 2016). These requirements state that neither population nor operator revenue formula funds shall be allocated to an operator claiming STAFs for operating purposes unless the claimant meets either of the two following efficiency standards. MTS is a direct recipient of these funds and SANDAG is not required to make findings, although SANDAG is required to verify that MTS has met the requirements.

- The operator's total operating cost per revenue vehicle hour in the most recent audited year does not exceed the sum of the preceding year's total operating cost per revenue vehicle hour and an amount equal to the product of the percentage change in the Consumer Price Index (CPI) for the same period multiplied by the preceding year's total operating cost per revenue vehicle hour.
- The operator's three-year average of the total operation cost per revenue vehicle hour for the last three audited years does not exceed the average of the three years preceding the most recent audited year by more than the average percentage change in the CPI for the three-year period.

SANDAG may adjust the calculation of these standards to exclude startup costs for new services (as in 99268.8) for a period of not more than two years and/or cost increases beyond the change in the CPI for fuel, alternative fuel programs, insurance, or state and federal mandates. An operator that fails to meet the qualifying criteria shall receive its entire allocation reduced by the percentage by which the operator exceeded the target amount needed to meet the efficiency standard. The remaining portion of the operator's allocation shall be used only for capital purposes.

Assembly Bill 813 allows operators to exclude additional items in calculating operating cost (99314.6). Any claimant interested in excluding one or more of the cost categories discussed above should provide SANDAG with sufficient documentation to allow the adjustment in the calculations to be made. Additional requirements for SANDAG are discussed below.

The STA Program was originally intended to implement a portion of the state energy program. For this reason, energy efficiency is considered by SANDAG to be the primary basis for funding from the SANDAG STA population formula fund. The amount of funds that each operator will be eligible to claim from the SANDAG STA population formula fund on an annual basis will be determined according to the relative energy efficiency of each operator. The allocation of STA monies will be based on transit services which result in passenger-miles per gallon figure greater than the average automobile (currently estimated at 25 passenger-miles per gallon). The amount of STA funding that each eligible operator may claim will be determined by its relative energy efficiency, measured by the difference in passenger-miles per gallon between its transit services and the average automobile, weighted by the passengers carried on such energy efficient services. Transit services which are less energy efficient than the average automobile, will be excluded from consideration for STA funding. Such a methodology provides an incentive to eligible operators in that by utilizing funds to increase energy efficient services, an operator can increase its share of STA monies from one-year to the next. In addition to the energy efficiency emphasis, population formula STA claims will be evaluated according to the required findings listed above, including legislative eligibility requirements. Individual operators may claim STAFs from the operator revenue formula, subject to the same eligibility requirements without regard to relative energy efficiency.

The operator revenue formula funds will be allocated to individual operators in proportion to the ratio of the operator's fare revenue and other local funds to the sum of such revenues for all operators in the area. Claims for both operator revenue formula funds and population formula funds shall be developed through the Budget Process and follow the same timetable as, and can be incorporated as part of, the operator's annual TDA claim.

### **Claim Content for SANDAG STA Claims**

Claims for STA allocation are to be submitted along with the TDA claims to SANDAG by April 30 for consideration of allocations for the ensuing fiscal year. By submitting the claims together, the operator can utilize the required forms for both claims.

Each STA claim should include the following:

1. The annual STA claim form
2. Sufficient information to permit SANDAG to make the findings

### **Timetable**

The following timetable lists the key dates in the cycle of preparing STA claims, allocating funds, and submitting required reports.

January 31	State Controller provides each regional entity with a preliminary estimate of the amount of STA monies to be allocated to it during the fiscal year (CCR 6720).
April 30	Claimants file STA (along with TDA) claims with SANDAG (CCR 6732).
June 1	SANDAG submits population estimates for operator service areas to Caltrans.
June	SANDAG Board of Directors approves operator claims including the STA.
June 30	SANDAG conveys allocation resolution to the County Auditor (CCR 6752).

August 1	State Controller provides each regional entity with a revised estimate of STA monies to be allocated to it during the fiscal year (CCR 6720).
September 1	Submit Project listing for SGR projects using template in Appendix 3 to CalSmart System with signed resolution from SANDAG Board of Directors
September 30	Each claimant submits the annual report of its operations to SANDAG and the State Controller (99243).
December 27	Each regional entity submits a fiscal audit report of its STAFs for the fiscal year ending June 30 (CCR 6751).
Quarterly	State Controller allocates STA monies to the regional entities (CCR 6720).

## **APPENDICES**



## APPENDIX A DEFINITIONS

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Most definitions for the TDA can be found in the statutes and the state’s administrative codes. The following selected definitions are provided for information only.

1. Community Transit Service - Community transit refers to transportation services which link intra-community origins and destinations, including services for those, such as the disabled, who cannot use conventional transit services.
2. Transit Service Claimant - The term “transit service claimant” means:
  - a. A claimant that files a claim for community transit services pursuant to Article 4.5 of the Act.
  - b. A claimant that files a claim for contract payments pursuant to Section 99400(c).
  - c. A city or county that is a member of SANDAG that files a claim to provide or contract for separate service to disabled persons pursuant to Section 99260.7.
  - d. A county, city, or county transportation commission that files a claim for rail passenger service operation and capital improvement expenditures.
  - e. A city that files a claim for the provision of commuter ferry service pursuant to Section 99400.7.
3. A transit service claimant that also is an operator shall meet all requirements of the Act and these regulations for its service provided as a transit service claimant and for its other service as if the services were provided by separate claimants.
4. Uniform System of Accounts - The term “uniform system of accounts” refers to the required format for a transit system claimant’s proposed budget, which shall be in conformance with the accounting requirements adopted by the State Controller in accordance with Section 99243 (see [Appendix D](#)).
5. Public Transportation Operator – For STA purposes, the term “Public transportation operator” has the same meaning as “operator,” as defined in Section 99210, as long as that operator operates a “public transportation system,” as defined in Section 99211.
6. Operating Cost - The term “operating cost” has the same meaning as assigned to it in Section 99247(a). In the case of a transit service claimant that is allocated funds for payment to an entity which is under contract with it to provide transportation services, “operating cost” also includes the amount of the fare revenues that are received by the entity providing the services and not transferred to the claimant. Section 99268.16 excludes the cost of providing ridesharing services from the definition of operating costs.
7. Section 99268.17 states the following costs shall be excluded from the definition of “operating cost” for the purposes of calculating any required ratios of fare revenues to operating cost specified in this article:

- (1) the additional operating costs required to provide comparable complementary paratransit services that exceed the operator's costs required to provide comparable complementary paratransit service in the prior year as adjusted by the Consumer Price Index (CPI).
- (2) Cost increases beyond the change in the CPI for all the following:
  - a. Fuel
  - b. Alternative fuel programs
  - c. Power, including electricity
  - d. Insurance premiums and payments in settlement of claims arising out of the operator's liability
  - e. State and federal mandates
  - f. Startup costs for new services for a period of not more than two years
  - g. The exclusion of costs from the definition of operating costs in subdivision (a) applies solely for the purpose of this article and does not authorize an operator to report an operating cost other than as defined in subdivision (a) of Section 99247 or a ratio of fare revenue to operating cost other than as that ratio is described elsewhere in this article, to any of the following entities:
    - i. The Controller pursuant to Section 99243
    - ii. The entity conducting the fiscal audit pursuant to Section 99245
    - iii. The entity conducting the performance audit pursuant to Section 99246.
8. Fare Revenues - The term "fare revenues" means all revenues in the following revenue account classes of the uniform system of accounts and records adopted by the State Controller pursuant to Section 99243:
  9. 401.000 Passenger Fares for Transit Service
  10. 402.000 Special Transit Fares
  11. 403.000 School Bus Service Revenues
12. In the case of a claimant that is allocated funds for payment to an entity which is under contract with it to provide transportation services, "fare revenues" includes the amount of fare revenues that is received by the entity providing the services and not transferred to the claimant.
13. "Fare revenues" includes revenues earned under contractual arrangements with public or private entities, (1) for transit fares for a specified group of employees, members, or clients, (2) to guarantee minimum revenue on a line operated especially for the benefit of the paying entity (e.g., an employer, shopping center, university, etc.). "Fare revenues" also may include revenues from cash donations made by individual passengers in lieu of a prescribed fare. However, "fare revenues" does not include other donations or general operating assistance, whether from public or private sources.
14. Local Support - The term "local support" means all revenues in the following revenue account classes of the uniform system of accounts and records adopted by the State Controller pursuant to Section 99243:
  15. 406.000 Auxiliary Transportation Revenues
  16. 408.000 Taxes Levied Directly by Transit System

17. 409.010 Local Cash Grants and Reimbursements -- General Operating Assistance
18. 410.000 Local Special Fare Assistance
19. 440.000 Subsidy from Other Sectors of Operation
20. "Local support" includes tax revenues imposed by a local transportation authority as reported under Account Class 408.020.
21. Capital Requirements - The term "capital requirements" means, for a fiscal year, the amount of all funds expended during the fiscal year by an operator for its public transportation system for those purposes specified in Section 99262, exclusive of all costs in the operating expense accounts of the uniform system of accounts and records adopted by the State Controller pursuant to Section 99243.
22. Debt Service Requirements - The term "debt service requirements" means, for a fiscal year, the amount of all funds expended during the fiscal year for payment of the principal and interest on bonds of an operator for its public transportation system in accordance with Section 99263, exclusive of any such amount included in the operator's operating cost.
23. Independent Auditor - The term "independent auditor" means the State Controller or a certified public accountant or public accountant who is not an officer or employee of the claimant. The County Auditor is not an "independent auditor" with reference to the county or to an operator for which the County Auditor serves as a financial officer.
24. Urbanized Area - For the purpose of Section 99268.3, urbanized area, as in "operator which is serving an urbanized area," refers to the urbanized area boundaries as reported in the latest federal census.
25. Extension of Public Transportation Service - The term "extension of public transportation services" as that term is used in Section 99268.8 applies collectively to any services that are eligible for funding under the TDA, including services provided by a new operator or transit service claimant, and means:
  - a. Service established on a fixed-route, including route deviation service, if over 50 percent of the route mileage, excluding mileage along freeway or express bus routes where passengers are neither received nor discharged, is on streets or other rights-of-way that did not have such service provided and funded under the Act at any time during the three-year period before the service was established.
  - b. Service established on a new portion of an older fixed-route if the new portion is on streets or other rights-of-way that did not have such service provided and funded under the Act at any time during the three-year period before the service was established.
  - c. Demand-response service established to, from, or within an area that did not have such service provided and funded under the Act at any time during the three-year period before the service was established.
  - d. Improvement in service frequency or hours of service on a fixed-route or a demand-responsive service, if the number of scheduled vehicle service miles or vehicle service hours exceeds, by more than 25 percent, the scheduled number of vehicle service miles or vehicle service hours on the route or service at any time during the three-year period before the service improvement was established.
  - e. Service established on a fixed-route or a demand-response service on a new day of the week (e.g., Saturday, Sunday), if the service was not provided on that day of the week and funded under the Act at any time during the three-year period before the service was established.

- f. For a transit service claimant, service established that is of a type, such as van, taxicab, or bus that was not provided and funded under the Act at any time during the three-year period before the service was established.
- 26. State Transit Assistance Fund - The term "state transit assistance fund" means the fund created by a transportation planning agency, a county transportation commission, or the San Diego Metropolitan Transit System pursuant to Section 99313.6.
- 27. STA Eligible Operator – The term "STA-eligible operator" means a public transportation operator eligible to claim local transportation funds under either Article 4 (commencing with Section 99260) or Article 8 (commencing with Section 99400), or under both articles.
- 28. Regional Entity - "Regional entity" means each transportation planning agency designated by the secretary pursuant to Section 29532 of the Government Code, each county transportation commission created by Division 12 (commencing with Section 130000), and the San Diego Metropolitan Transit System.
- 29. Area of Regional Entity - The "area" of a regional entity means:
  - a. For a county transportation commission, all of the area within the county in which the commission is created, pursuant to Section 130050.
  - b. For the San Diego Metropolitan Transit System, the area within the jurisdiction of the Board, as that area is defined by Sections 120052 and 120054.
  - c. For a transportation planning agency, the area for which it is the designated agency pursuant to Government Code Section 29532, but excluding those areas also under the jurisdiction of the county transportation commissions or the San Diego Metropolitan Transit System.
- 30. State Transit Assistance Program - "State Transit Assistance Program" means the provisions of the Act related directly to the State Transit Assistance Fund, including Section 99312 to 99314.6, inclusive.
- 31. Allocation - "Allocation," with respect to the State Transit Assistance Program, means:
  - a. An action by the secretary setting apart monies in the Account for a regional entity for the purposes of Sections 99313 and 99314.
  - b. An action by a regional entity setting apart monies in its State Transit Assistance Fund for a claimant for the purposes authorized in the Act and taking effect by resolution, pursuant to CCR 6753.
- 32. Ridesharing Services - For the purposes of 99268.16, the term "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.

## APPENDIX B

# FISCAL AUDIT REQUIREMENTS

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Section 99245 requires that each claimant receiving TDA funds must forward an annual fiscal and compliance audit conducted by an independent auditor to the Regional Transportation Planning Agency (RTPA) within 180 days of fiscal year end, unless granted a 90-day extension by the RTPA. This audit requirement has been made more specific in relation to the minimum tasks to be undertaken to determine compliance. The more specific audit requirements are detailed in CCR 6664, 6666, and 6667. Excerpts from these sections are included below for information.

“The audit shall be conducted in accordance with generally accepted auditing standards of the claimant’s financial statements for the fiscal year which shall be prepared in accordance with generally accepted accounting principles. The audit also shall be directed toward obtaining knowledge of the claimant’s compliance or noncompliance with the Act, and the auditor shall perform the tasks specified in (CCR) Section 6666 or 6667, whichever is appropriate.

The audit shall include, with the financial statements for the fiscal year that is the subject of the audit, the corresponding amounts from the claimant’s audited financial statements for the fiscal year prior to the year that is the subject of the audit.

The audit report shall include a certification of compliance with the Act. The certification shall take the form of a statement that the funds allocated to and received by the claimant pursuant to the Act were, with any exceptions specifically noted, expended in conformance with the applicable statutes, rules, and regulations of the Act and the allocation instructions and resolution of the transportation planning agency and, where applicable, the county transportation commission or MTS. An unqualified negative statement (e.g., ‘no violation of the law was brought to our attention’) shall not be accepted. The certification may take the form of negative assurance, however, if it makes reference to the performance by the independent auditor of each of the tasks specified in (CCR) Section 6666 or 6667.”

The minimum required tasks in conducting the compliance portion of a non-transit claimant audit are as follows:

- “(a) Determine whether the funds received by the claimant pursuant to the Act were expended in conformance with those sections of the Act specifying the qualifying purposes, including Public Utilities Code Section 99402 for streets and roads claimants and Section 99233.3 for claimants under the section for pedestrian and bicycle facilities.
- (b) Determine whether the funds received by the claimant pursuant to the Act were expended in conformance with the applicable rules, regulations, and procedures of the transportation planning agency and in compliance with the allocation instructions.

- (c) Determine whether interest earned on funds received by the claimant pursuant to the Act were expended only for those purposes for which the funds were allocated, in accordance with Public Utilities Code Section 99301.”

The minimum required tasks in conducting the compliance portion of a transit claimant audit are as follows:

- “(a) Determine whether the claimant was an entity eligible to receive the funds allocated to it. This determination should be made with reference to the section of the Act under which the funds were allocated and to the definitions in Article 1 of the Act.
- (b) Determine whether the claimant is maintaining its accounts and records on an enterprise fund basis and is otherwise in compliance with the uniform system of accounts and records adopted by the State Controller pursuant to Public Utilities Code Section 99243.
- (c) Determine whether the funds received by the claimant pursuant to the Act were expended in conformance with those sections of the Act specifying the qualifying purposes, including Public Utilities Code Sections 99262 and 99263 for operators receiving funds under Article 4, Section 99275, 99275.5, and 99277 for Article 4.5 claimants, and Section 99400(c), 99400(d), and 99400(e) for Article 8 claimants for service provided under contract.
- (d) Determine whether the funds received by the claimant pursuant to the Act were expended in conformance with the applicable rules, regulations, and procedures of the transportation planning agency and in compliance with the allocation instructions and resolutions.
- (e) Determine whether interest earned on funds received by the claimant pursuant to the Act were expended only for those purposes for which the funds were allocated, in accordance with Public Utilities Code Section 99234.1, 99301, 99301.5, and 99301.6.
- (f) Verify the amount of the claimant’s operation cost (as defined by Section 6611.1) for the fiscal year, the amount of fare revenues required to meet the ratios specified in Sections 6633.2 and 6633.5, and the amount of the sum of fare revenues and local support required to meet the ratios specified in Section 6633.2.
- (g) Verify the amount of the claimant’s actual fare revenues (as defined by Section 6611.2 and by Public Utilities Code Section 99205.7) for the fiscal year.
- (h) Verify the amount of the claimant’s actual local support (as defined by Section 6611.3) for the fiscal year.
- (i) Verify the maximum amount the claimant was eligible to receive under the Act during the fiscal year in accordance with Section 6634 and 6649.
- (j) Verify, if applicable, the amount of the operator’s expenditures limitation in accordance with Section 6633.1.
- (k) In the case of an operator, determine whether the operator’s employee retirement system or private pension plan is in conformance with the provisions of Public Utilities Code Sections 99271, 99272, and 99273.

- (l) In the case of an operator, determine whether the operator has had a certification by the Department of California Highway Patrol that the operator is in compliance with Section 1808.1 of the Vehicle Code, as required in Public Utilities Code Section 99251.
- (m) In the case of an operator, verify, if applicable, its STA eligibility pursuant to Public Utilities Code Section 99314.6.
- (n) In the case of a claimant for community transit services, determine whether it is in compliance with Public Utilities Code Sections 99155 and 99155.5.”

In addition to the required audits of all claimants, CCR 6661 and 6751 require the County Auditor to submit an annual fiscal audit of the LTF; and SANDAG and MTS to submit an annual fiscal audit of the STAFs and Unified Transportation funds to the State Controller within 180 days after the end of the fiscal year. If all agencies so agree, these audit reports may be conducted by the same auditor and be submitted together in the same audit report. The requirements related to the content of these audits are detailed in CCR 6661 and 6751.

# APPENDIX C

## PERFORMANCE AUDITS

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SANDAG has published Transit Operator’s Performance Guide to assist the operators in complying with Section 99246 and CCR 6664.5. The guide is written for use by the performance auditors in evaluating the efficiency and effectiveness of local public transportation systems. This appendix discusses some of the implementation considerations which affect the RTPA and the operator.

### Criteria for Performance Audits

Section 99246 requires that a performance audit of each operator that has operated its public transportation for one-year or longer be submitted triennially, pursuant to a schedule established by the transportation planning agency, transit development board, or county transportation commission having jurisdiction over the operator. In addition, CCR 6664.5 requires that no operator shall be eligible for an allocation under Article 4 until the required performance audit report has been transmitted to SANDAG and MTS (where applicable). Section 99246 provides the following guidance regarding performance auditing.

1. The performance audit shall evaluate the efficiency, effectiveness, and economy of the operation of the entity being audited.
2. The performance audit shall be conducted in accordance with the efficiency, economy, and program results portions of the Comptroller General’s “Standards for Audit of Governmental Organizations, Programs, Activities, and Functions.”
3. The performance audit shall include, but not be limited to, a verification of the operator’s:
  - operating cost per passenger
  - operating cost per vehicle service hour
  - passengers per vehicle service hour
  - passengers per vehicle service mile
  - vehicle service hours per employee
4. The performance audit shall include, but not be limited to:
  - the consideration of the needs and types of the passengers being served
  - the employment of part-time drivers
  - the contracting with common carriers or persons operating under a franchise or license to provide services during peak hours (Section 99260.2(a)).
5. The performance audit may include performance evaluations both for the entire system and for the system excluding special, new, or expanded services instituted to test public transportation service growth potential.
6. The transportation planning agency, county transportation commission, or transit development board, as the case may be, shall certify in writing to the director of transportation that the performance audit of operators located in the area under its jurisdiction has been completed.



The Transit Operator's Performance Audit Guide expands upon these criteria and includes detailed audit programs for a number of functional areas covering the total range of transit management and operating activities.

### **Reporting Results**

After completion of the audit field work, the auditors will submit a report to the SANDAG Board. The report should be prepared in accordance with the guidelines included in Chapter IV of the Performance Audit Guide. The findings and recommendations of the report should propose specific actions for implementation for improved efficiency and effectiveness. In subsequent annual TDA claims, the operator is required to comment on efforts made each year to implement performance audit recommendations.

### **RTPA Review and Action**

The RTPA staff will analyze the various audit reports to determine:

1. If there is a pattern among the findings and recommendations for different operators
2. If there are incidents of inefficiencies or ineffectiveness
3. If there are areas of noncompliance with state laws or adopted RTPs

## **APPENDIX D**

# **STATE CONTROLLER DIVISION OF LOCAL GOVERNMENT FISCAL AFFAIRS TRANSIT OPERATORS**

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The system of accounting herein described shall be used by all public agencies engaged in the operation of a public transit system in the State of California, hereinafter referred to as operator. This includes a California City, a California County, a California Special District, and a public entity, agency, board, etc., as defined in Government Code Section 12463.1.

The system is prescribed to comply with Government Code Section 53891 and Public Utilities Code Section 99243. Following is the text of Public Utilities Code Section 99243:

- “(a) The State Controller, in cooperation with the department and the operators, shall design and adopt a uniform system of accounts and records, from which the operators shall prepare and submit annual reports of their operation to the transportation planning agencies having jurisdiction over them and to the State Controller within 120 days of the end of the fiscal year. Annual reports submitted for the 1979-1980 and subsequent fiscal years shall be audited reports. The report shall specify (1) the amount of revenue generated from each source and its application for the prior fiscal year, and (2) the data necessary to determine which section, with respect to Sections 99268.1, 99268.2, 99268.3, 99268.4, 99268.5, and 99268.9, the operator is required to be in compliance with in order to be eligible for funds under this article.
- (b) As a nonaudited supplement to the annual audited report prepared pursuant to subdivision, each operator shall include an estimate of the amount of revenues to be generated from each source and its proposed application for the next fiscal year.
- (c) The State Controller shall instruct the County Auditor to withhold payments from the fund to any operator which has not submitted its annual report to the State Controller within the time specified by subdivision (a).
- (d) In establishing the uniform system of accounts and records, the State Controller shall include the data required by the United States Department of Transportation, the department, and the Business and Transportation Agency.
- (e) The uniform system of accounts and records shall be implemented no later than July 1, 1978.”

Amended by Chapters 161 and 1002, Statutes of 1979 (SB 620 and AB 86).

# **APPENDIX E**

## **SANDAG REGIONAL REPORTING SYSTEM**

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- I. Introduction
- II. TDA Claim Checklist for Articles 4, 4.5, and 8
- III. TDA/STA/SGR Claim Forms
- IV. Bicycle Pedestrian Application Process
- V. Financial Reporting Forms
- VI. Performance/Operating Reporting Forms
- VII. Base Statistics - Definition of Terms

## **I. INTRODUCTION**

### **General**

The purpose of the SANDAG Regional Reporting System is to provide a basic set of financial and operational data for use by the San Diego Association of Governments (SANDAG) in the monitoring, planning, and coordination of transit operations in the San Diego region. SANDAG is responsible for the approval of claims for TDA funds from transit operators within the San Diego region, and the subsequent allocation of these funds among the claimants.

To effectively execute these responsibilities, SANDAG requires the financial and operational data to be submitted in this set of reporting forms. In addition, much of the financial and operational data to be submitted also may be useful to transit management in monitoring and planning both transit operations and capital projects.

To facilitate the reporting of certain financial data, the operating revenue and expense items on the related financial forms under the SANDAG reporting system are consistent with the revenue and expense accounts included and defined under the State Controller's Uniform System of Accounts for Public Transit Operators. This system provides the basis for the reporting of operating revenues and expenses for the annual report to the State Controller. Therefore, much of the prior year information reported in the annual State Controller report can simply be transferred to the related forms under the SANDAG reporting system. Also, the definitions of the revenue and expense items to be reported can be derived from the State Controller's Uniform System of Accounts for Public Transit Operators.

### **Forms and Procedures**

The SANDAG reporting system consists of both financial, performance, and operational reporting elements. These forms are submitted on an annual basis as part of the TDA Claim submittal to SANDAG.

1. Financial Reporting: consists of the following:
  - Revenue and expenditures for operations and capital projects for the prior, current, and ensuing fiscal years
  - The status of capital projects as to funds received and spent, by source
  - An analysis of significant budget increases proposed for the ensuing fiscal year
2. The purposes of the financial information are:
  - To enable SANDAG to analyze the sources and applications of funds for operations and capital projects for the prior, current, and ensuing fiscal year
  - To meet statutory reporting requirements in the filing of TDA claims
  - To provide information with which to monitor the efforts made by each operator to implement the productivity improvement recommendations and performance audit report
  - To enable SANDAG (and the operator) to monitor the progress or status of each capital project proposed or undertaken to date

3. Operational Reporting: The operational reporting forms include a set of base statistics to be used in calculating certain performance indicators. The purposes of the operational data required on the operational reporting forms are:
  - To provide SANDAG with a set of base statistics and performance indicators with which to monitor transit operator performance and assess the productivity of the transit operations
  - To provide transit management with statistical indicators of service efficiency and effectiveness and operational performance for use in monitoring and assessing transit operations
4. Many of the performance indicators to be developed from the base statistics required from each operator were also identified and calculated in the performance audit of each operator to assess the efficiency and effectiveness of the transit services provided. Other indicators have been added as required to provide a broader perspective of transit system performance by each operator and improve comparability among transit operators.
5. The differences between fixed-route and demand-responsive transit systems as to the nature and scope of operations have been clearly recognized. Appropriately, a separate set of required base statistics has been developed for the fixed-route and demand-responsive transit systems and are reflected in the separate forms to be submitted by the fixed-route and demand-responsive systems. Within the two forms, reporting requirements may differ slightly among individual operators. Such differences result from the differences in the nature and scope of operations among the individual transit operators.
6. The base statistics are to be reported on a quarterly basis. The deadline for the submission of the operational reporting forms to SANDAG is 45 days after the end of each quarter. A list of the operational reporting forms, along with the due dates for submission, is provided immediately preceding the sample operational reporting form.
7. SANDAG will maintain a file of historical data for use in performance audits and other trend analyses of various performance indicators and base statistics. SANDAG will make this data available to operators on a periodic basis or as requested.

## II. TDA ARTICLES 4, 4.5, AND 8 CLAIM CHECKLIST

Please complete this checklist in the [TDA Claim Checklist Excel file](#).

### TDA CLAIMS CHECKLIST

Please indicate compliance with a check mark in the box provided

Required Claims	Article 4 & 8	Article 4.5
1. Financial/Performance Reporting Forms Appendix G: Required Statements (signed by CFO) Form A-10: Summary of Revenues & Expenditures Form A-20: Schedule of Revenue Provided for Operations Form A-21: Schedule of Actual & Projected Operating Expenses Form A-21S: Analysis of Proposed Budget Increases Form A-22: Schedule of Actual & Projected Capital Funds Form A-23: Schedule of Proposed Capital Expenditures Form C-10: Schedule of Article 8 Funding for Transit Center Projects Form C-20: Schedule of Estimated Transit Center Costs Form A: Performance Monitoring Form B: Efforts to Implement Performance Audit Recommendations Form C: Schedule of Base Statistics		
2. Copy of current year's CHP Pull Notice		
3. Actual and estimated revenue vehicle miles, passenger transfers and total passengers for the previous, current and ensuing fiscal years in total, by route, and by category of service such as regular, school, or charter. --for Article 4.5 claimants, by passenger categories such as ambulatory riders, wheelchair riders, pass riders, aides, etc.		
4. A description of service provided including hours and days of operation, additional eligibility requirements for any passengers not eligible under the ADA, and a schedule of current fares, zone fares, transfer charges and other special fares. A copy of service brochure typically meets this requirement.		
5. A description of service changes planned for the coming fiscal year that will have a material effect on the system's operating costs. If no such changes are planned, then a statement that reflects no material effect.		
6. A schedule of current passenger fares, zone fares, transfer charges and other special fares such as school and fares for the elderly and disabled.		
7. Statement of how services and transfers are being coordinated with other operators. --for Article 4.5 claimants, including accessible fixed-route services, and with social service agency transportation programs through the Coordinated Transportation Service Agency.		
8. A worksheet demonstrating compliance with the applicable fare revenue to operating cost ratio. --for Article 4.5 claimants, demonstrate compliance with the minimum 10% fare revenue to operating cost ratio.		
9. A certified copy of a resolution or minute order in which the governing body authorizes the claim and approves the basic purpose for which it is filed.		
10. A statement indicating whether or not charter bus service was provided in the current fiscal year, and if so, that the charter service was provided in conformance with the requirements of 99250. A sample statement is included in Appendix G.		
11. A statement certifying that all applicable services will be operated in conformance with Sections 99155 & 99155.5 (Appendix G).		
12. A worksheet specifically identifying the estimated amount of the claimant's maximum eligibility for users as defined in CAR 6634. A sample is included in Appendix F.		
13. A statement, signed by the claimant's Chief Financial Officer or a certified public accountant, certifying that the current cost of the operator's retirement system is fully funded with respect to the officers and employees of its public transportation system pursuant to 99271, 99272 & 99273 (see Appendix G).		
14. Copies of executed contracts for services provided by the operator to a city or county outside boundaries, or for services provided to the operator by a contractor, if the system is operated by a contractor.		
15. The annual TDA claim form.		

### III. ANNUAL TDA/STA/SGR CLAIM FORMS

Please complete the following two forms in the [TDA Claim Forms](#) Excel file.

#### ANNUAL TDA CLAIM FORM

FY \_\_\_\_\_

A. CLAIMANT: \_\_\_\_\_

- B. TYPE OF CLAIM: (check one)
- ( ) Article 3 - Bicycle and Pedestrian Facilities (99234)
  - ( ) Article 4 - Support Public Transportation Systems (99260)
  - ( ) Article 4.5 - Community Transportation Services (99275)
  - ( ) Article 8 - Multimodal Transportation Terminals (99400.5)
  - ( ) Article 8 - Express Bus Services/Vanpool Services (99400.6)
  - ( ) Article 8 - Local Street and Road Projects (99400)
  - ( ) Article 8 - Commuter Ferry Service (99400.7)

C. AMOUNT OF CLAIM

Operations	
Capital	
Planning	
Other-ADA Paratransit	
<b>TOTAL:</b>	<b>\$0</b>

D. CONDITIONS OF APPROVAL:  
 It is understood by this Claimant that payment of the claim is subject to approval by SANDAG and to such monies on hand and available for distribution, and to the provision that such monies and the interest earned on such monies subsequent to allocation will be used only for the purposes for which the claim is approved and in accordance with the terms of the allocation instructions.

E. AUTHORIZED REPRESENTATIVE/CONTACT

\_\_\_\_\_  
 (Signature)

\_\_\_\_\_  
 (Print of type name)

\_\_\_\_\_  
 (Title)

F. PAYMENT RECIPIENT

\_\_\_\_\_  
 (Claimant)

\_\_\_\_\_  
 (Mailing Address)

\_\_\_\_\_  
 (City and zip code)

\_\_\_\_\_  
 (Name)

\_\_\_\_\_  
 (Title)

\_\_\_\_\_  
 (Date Signed)

\*\*\*\*\*

SANDAG USE ONLY:

1. Claim number	
2. Date Approved	
3. Resolution No.	
4. Amount Approved for Payment	
5. Amount approved for Reserve	

If Required:

6. Date Approved by MTS	
7. MTS Resolution Number	

**STA CLAIM AMENDMENT FORM**  
**FY \_\_\_\_\_**

A. CLAIMANT: \_\_\_\_\_

B. AMOUNT OF CLAIM BY PURPOSE:

	Population Formula (99313)	Revenue Formula (99314)	Total
<b>STA (Original) Claim</b>			
Operating Cost	_____	_____	\$0
Capital Cost	_____	_____	\$0
<b>Total:</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>

If funds are being used for Operating purposes, please provide the following information:

	Previous FY	FY	FY	FY
System Operation Costs				
System Revenues				
System Vehicle Services Hrs				
System Operating Cost per Revenue Vehicle Hr				

The Claimant named above hereby certifies that this annual claim for STA funds in the amount of \$\_\_\_\_\_ conforms with the requirements of Article 8, PUC Section 99400, of the Transportation Development Act of 2013, and applicable rules and regulations.

D. CONDITIONS OF APPROVAL:

It is understood by this Claimant that payment of the claim is subject to approval by SANDAG and to such monies on hand and available for distribution, and to the provision that such monies and the interest earned on such monies subsequent to allocation will be used only for the purposes for which the claim is approved and in accordance with the terms of the allocation instructions.

E. AUTHORIZED REPRESENTATIVE/CONTACT

E. PAYMENT RECIPIENT

_____	_____
(Signature)	(Claimant)
_____	_____
(Print of type name)	(Mailing Address)
_____	_____
(Title)	(City and zip code)
	_____
	(Name)
	_____
	(Title)
	_____
	(Date Signed)

\*\*\*\*\*

SANDAG USE ONLY:

1. Claim number \_\_\_\_\_
2. Date Approved \_\_\_\_\_
3. Resolution No. \_\_\_\_\_
4. Amount Allocated \_\_\_\_\_



**Regional Entity Information**

**Funding Fiscal Year 2019-20**

Regional Entity :  
\_\_\_\_\_

<b>*State of Good Repair Funding</b>	
<b>99313 Estimated Allocation for the Region</b>	\$ -
<b>99314 Estimated Allocation for the Region</b>	\$ -
<b>Total</b>	<b>\$ -</b>

Contact Name:  
\_\_\_\_\_

Contact Phone Number: \_\_\_\_\_ Contact Email: \_\_\_\_\_

The 2019-20 Allocation Estimates can be found on the California State Controller's website:  
[https://www.sco.ca.gov/ard\\_payments\\_transit\\_2019.html](https://www.sco.ca.gov/ard_payments_transit_2019.html)

**At the time of preparing this form the January 2019 allocation estimates were available. Note, we will update your allocation amounts once the SCO publishes the August allocation estimates.**

\*SGR allocation estimate letter dated January 31st:  
[https://www.sco.ca.gov/Files-ARD-Payments/Transit/statetransitassistanceestimate\\_sgr\\_1920\\_january19.pdf](https://www.sco.ca.gov/Files-ARD-Payments/Transit/statetransitassistanceestimate_sgr_1920_january19.pdf)

\*\*STA allocation estimate letter dated January 31st:  
[https://www.sco.ca.gov/Files-ARD-Payments/Transit/statetransitassistanceestimate\\_1920\\_january19.pdf](https://www.sco.ca.gov/Files-ARD-Payments/Transit/statetransitassistanceestimate_1920_january19.pdf)

1. STA SGR Project Submittal Form and Link
2. Link to Caltrans website for Project Submittal excel file:  
<https://dot.ca.gov/programs/rail-and-mass-transportation/state-transit-assistance-state-of-good-repair>

#### IV. FINANCIAL REPORTING FORMS

Please complete the following eight forms in the [TDA Claim Forms](#) Excel file.

<u>Form</u>	<u>Title</u>
A-10	Summary of Revenues and Expenditures for Operations and Capital Projects
A-20	Schedule of Revenues Provided for Operations
A-21	Schedule of Actual and Projected Operating Expenses
A-21S	Analysis of Proposed Budget Increases
A-22	Schedule of Actual and Projected Receipts of Capital Funds
A-23	Schedule of Proposed Capital Expenditures
C-10	Schedule of Article 8 Funding for Transit Center Projects
C-20	Schedule of Estimated Transit Center Costs

**Form A-10**  
**Summary of Revenues and Expenditures for Operations and Capital Projects**

Please complete this form in the TDA Claim Forms Excel file, sheet **A-10**.

**Purpose**

To present a summary of total revenues and total expenditures for both operations and capital projects for the prior, current, and ensuing fiscal years. The ending capital fund balance for the fiscal years is presented as a result of the actual and projected capital fund receipts and expenditures for these years. The detail of summary totals is presented in Forms A-20, A-21, A-21S, A-22, and A-23.

**Special Instructions**

1. The totals for the prior, current, and ensuing fiscal years and percent changes should equal the amounts shown on other forms. For instance, Total Revenue from Operations on Form A-10 should be the same as Total Revenue from Operations on Form A-20.
2. The ending capital fund balance for the prior fiscal year is derived as a result of the actual capital fund receipts and expenditures for that year. The ending capital fund balance for the prior fiscal year becomes the beginning capital fund balance for the current fiscal year. The projected ending capital fund balance for the current fiscal year becomes the proposed beginning capital fund balance for the next fiscal year.
3. The “Current to Next Year Percent Change” for the line items indicated is calculated using the following formula:

$$\frac{\text{Next Year Total} - \text{Current Year Total}}{\text{Current Year Total}} \times 100$$

**SUMMARY OF REVENUES AND EXPENDITURES  
FOR OPERATIONS AND CAPITAL PROJECTS**

Operator: \_\_\_\_\_

Date Completed: \_\_\_\_\_

Line	OPERATING REVENUES AND EXPENDITURES	Prior Year Actual FY	Current Year Projected FY	Next Year Proposed FY	Current to Next Year % Change
1.	Total Revenue From Operations				
2.	Total Operating Support				
3.	Total Operating Revenue (add lines 1 & 2)	\$0	\$0	\$0	#DIV/0!
4.	Less: Total Operating Expenses Excluding Depreciation and Amortization				
5.	Net Operating Surplus (Deficit) (deduct line 4 from line 3)	\$0	\$0	\$0	
<b>CAPITAL FUND BALANCE SUMMARY</b>					
6.	Beginning Capital Fund Balance				
7.	Total Capital Funds Received (include capital reserve allocations)				
8.	Subtotal (add lines 6 & 7)	\$0	\$0	\$0	
9.	Less: Total Capital Expenditures				
10.	Ending Capital Fund Balance (deduct line 9 from 8)	\$0		\$0	

## Form A-20 Schedule of Revenue Provided for Operations

Please complete this form in the TDA Claim Forms Excel file, sheet [A-20](#).

### Purpose

To provide a detailed accounting of all revenues provided for transit operations for the prior (actual), current (projected), and next (proposed) fiscal years.

### Special Instructions

1. The sources of funds for operations are to be listed in conformity with the State Controller's Uniform System of Accounts and Records. The object class numbers of the major revenue accounts are provided on the form. The Public Transit Operator "5000" Accounting System, published by the State Controller, provides definitions for these accounts.
2. Under the account headings for local, state, and federal cash grants and reimbursements, list each specific cash grant or reimbursement separately. Under "Local Cash Grants and Reimbursements," for example, TDA sales tax is preprinted as a separate source of local funds.
3. Under "Local Cash Grants and Reimbursements - Local Support," list any funds for operations which pertain to any of the following accounts, according to the account definitions of the Public Transit Operator "5000" Accounting System.
4. 406 Auxiliary Transportation Revenues
5. 408 Taxes Levied Directly by Transit System
6. 409.01 General Operating Assistance
7. 410 Local Special Fare Assistance
8. 440 Subsidy from Other Sectors of Operations
9. These accounts were classified as pertaining to support from local sources in the California Code of Regulations Section 6611.3 of Title 21.
10. Under "Other Funds Provided for Operations," list any other sources of funds for operations which do not pertain to either revenue from operations or governmental cash grants and reimbursements.
11. Both the sources of funds for operations and the specific amount of each source to be posted for the prior year should coincide with those previously posted to the "Income Statement - Operating Revenue" form, which was submitted to the State Controller for the prior fiscal year. Any adjustments made to any account totals for the previous year should be reflected on Form A-20, along with an attached sheet explaining the adjustment.
12. "Total Operating Support" is equal to the sum of the following subtotals:
13. Total Local Cash Grant and Reimbursements
14. Total State Cash Grants and Reimbursements
15. Total Federal Cash Grants and Reimbursements
16. Total Other Funds Provided for Operations

17. "Current to Next Year Percent Change" is the percentage change for the projected current year account totals to the proposed next year account totals. It is to be calculated as follows:

18. Current 19. 20. "Next Year Proposed Amount" minus  
to

21. Next 22. = 23. "Current Year Projected Amount" divided by  
Year

24. Percent 25. 26. "Current Year Projected Amount" times 100  
Change

27. "Total Funds Provided for Operations" is the sum of the following subtotals:

28. Total Revenue from Operations

29. Total Operating Support

SCHEDULE OF REVENUE PROVIDED FOR OPERATIONS

Operator: \_\_\_\_\_

Date Completed: \_\_\_\_\_

Line	Object Class No	SOURCES OF REVENUE PROVIDED FOR OPERATIONS	Prior Year Actual FY____	Current Year Projected FY____	Next Year Proposed FY____	Current to Next Year % Change
		REVENUE FROM OPERATIONS				
1.	401	Passenger Fare for Transit Service				
2.	402	Special Transit Fares				
3.	403	School Bus Revenues				
4.	404	Freight Tariffs				
5.	405	Charter Service Revenues				
6.	406	Auxiliary Transportation Revenues				
7.	407	Non-Transportation Revenues				
8.		Total Revenue from Operations	\$0	\$0	\$0	#DIV/0!
9.	409	LOCAL CASH GRANTS & REIMBURSEMENTS				
10.		TDA Sales Tax				
11.		TransNet Operating Support				
12.		Other Local Support (see instruction #3)				
13.		Total Local Cash & Reimbursements	\$0	\$0	\$0	#DIV/0!
14.	411	STATE CASH GRANTS & REIMBURSEMENTS				
15.		State Transit Assistance - Population Formula				
16.		State Transit Assistance - Revenue Formula				
17.		Total State Cash Grants & Reimbursements	\$0	\$0	\$0	#DIV/0!
18.	413	FEDERAL CASH GRANTS & REIMBURSEMENTS				
19.		Section 5307				
20.		Section 5309				
21.		Other (specify)				
22.		Total Federal Cash Grants & Reimbursements	\$0	\$0	\$0	#DIV/0!
23.		OTHER FUNDS PROVIDED FOR OPERATION				
24.		Total Other Funds Provided for Operation	\$0	\$0	\$0	
25.		Total Operating Support (add lines 13, 17, 22, 24)	\$0	\$0	\$0	#DIV/0!
26.		<b>TOTAL FUNDS PROVIDED FOR OPERATIONS (add lines 25, 8)</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>#DIV/0!</b>

## Form A-21 Schedule of Actual and Projected Operating Expenses

Please complete this form in the TDA Claim Forms Excel file, sheet [A-21](#).

### Purpose

To provide detailed operating expense data for the prior year (actual), current year (actual to December 31, projected to June 30), ensuing fiscal year (proposed), and anticipated current to next year change.

### Special Instructions

1. The expenses are listed by expense object class, according to the State Controller's Uniform System of Accounts and Records.
2. The object class totals for the prior year should coincide with the object class totals posted on the "Income Statement - Operating Expenses" schedule, which was submitted to the State Controller for the prior fiscal year. Any adjustments made to any of the object class totals for the prior year should be reflected on Form A-21, with an explanation of the adjustments made on a separate sheet and attached to the form.
3. The amounts under "Current Year Projected" are to be derived using the best estimates available at the time the form is completed. These estimates should be based on actual totals July 1 to date and projections to June 30.
4. The proposed object class totals for the next year represent the proposed operating budget for the next fiscal year. This amount also should equal the totals posted on the "Income Statement - Operating Expenses" of the State Controller report for the following year.
5. "Current to Next Year Percent Change" is the percentage change from the current year's projected totals to the proposed totals for the next year. It is calculated for each line item as follows:  

Current to		"Next Year Proposed Total" (-)
Next Year	=	"Current Year Total Projected" X 100
Percentage Change		"Current Year Total Projected"
6. "Total Operating Expenses Excluding Vehicle Lease Costs, Depreciation, and Amortization" is the total of expense object classes 501 through 512. This total reflects the total of all expenditures related to operating expenses.
7. Any prior year expense transfers posted to the State Controller's "Income Statement - Operating Expenses" schedule for the account "Expense Transfers" (Account No. 510) should not be shown as "expense transfers" but should be included in the account to which the amounts are being transferred.
8. Pursuant to 99247(a), the vehicle cost portion of a vehicle lease is excluded from the definition of operating cost as are depreciation and amortization. However, do record transit vehicle lease costs.
9. Pursuant to 99268.16, the costs of providing ridesharing services are excluded from operating costs. However, do record ridesharing services costs.
10. Pursuant to 99268.17, liability and casualty insurance premium and payments in settlement of claims arising out of the operator's liability are excluded from operating costs. However, do record such liability and casualty costs.



**SCHEDULE OF ACTUAL AND PROJECTED OPERATING EXPENSES**

Operator: \_\_\_\_\_

Date Completed: \_\_\_\_\_

Object Class No.		Prior Year Actual FY__	Current Year Projected FY__	Next Year Proposed FY__	Current to Next Year % Change
501	Labor				
.02	Operator's Salaries & Wages				
.01	Other Salaries & Wages				
502	Fringe Benefits				
503	Services				
504	Materials & Supplies				
.01	Fuel & Lubricants				
.02	Tires & Tubes				
.03	Other Materials & Supplies				
505	Utilities				
506	Casualty & Liability Costs				
507	Taxes				
508	Purchased Transportation				
509	Miscellaneous Expense				
.01	Administrative Pass-Thru*				
511	Interest Expense				
512	Leases & Rentals (excluding transit vehicle lease costs)				
	<b>Total Operating Expenses Excluding Vehicle Lease Costs, Depreciation &amp; Amortization</b>				
513	Depreciation				
.13	Amortization				
	Transit Vehicle Lease Costs				
	Ridesharing Services Costs				
	Liability & Casualty Premiums/Settlement Costs				
	<b>Total Operating Expenses Excluding Ridesharing and Liability/Casualty Costs</b>				

\* This shall not exceed 5% of the service contract between the Operator and the local agency.

**Form A-21S**  
**Analysis of Proposed Budget Increases**

Please complete this form in the TDA Claim Forms Excel file, sheet [A-21S](#).

**Purpose**

To identify all line items in the operating budget for the ensuing fiscal year which represent an increase of over 15 percent above the projected total for the current year. For each line item identified, a statement substantiating the reason or need for the increase is required. Refer to A-21 (Schedule of Actual and Projected Operating Expenses) for the list of line items in the operating budget, their respective totals for the current and ensuing fiscal years, and the percent change from the projected current year total to the estimated total for the ensuing fiscal year.

**Special Instructions**

All line items (except the Total Operating Expenses lines) in Form A-21 (Schedule of Actual and Projected Operating Expenses) for which the current to next year percent change exceeds 15 percent must be listed on Form A-21S, along with the line item number and proposed percent increase from Form A-21 and an explanation of the reason or need for the increase. In most cases, more than one line will be required for each line item, in order to provide an adequate explanation for the proposed increase.

**ANALYSIS OF PROPOSED BUDGET INCREASE**

Operator: \_\_\_\_\_

Date Completed: \_\_\_\_\_

Fiscal Year Ending: \_\_\_\_\_

Page \_\_\_ of \_\_\_

Line Item #	Proposed % Increase	Expense Object Class	Explanation of Proposed Increases

## **Form A-22**

### **Schedule of Actual and Projected Receipts of Capital Funds**

Please complete this form in the TDA Claim Forms Excel file, sheet [A-22](#).

#### **Purpose**

To identify all sources and amounts of capital funds received for capital expenditures in the prior fiscal year and expected to be received in the current and ensuing fiscal years. The sources of capital funds are to be classified and grouped under federal, state, and local sources or included as a nongovernmental donation.

#### **Special Instructions**

1. Under the columns marked "Sources of Capital Funds," list the capital funds received in the prior year and amounts expected to be received in the current and ensuing fiscal years, by source. The most common sources are preprinted on the form. Write in any additional sources under the appropriate sub-headings.
2. For the prior fiscal year, the source of capital funds received and the related amounts should coincide with those reported to the State Controller on the "Capital Additions to Equity" schedule (Form 300-T) for the prior fiscal year.
3. "Nongovernmental Donations," is equal to the total amount of capital funds provided from nongovernmental sources (i.e., gifts, bequests, donations, etc.) to assist with capital asset acquisitions.
4. "Total Capital Funds Received," is the sum of the following:
  - Total Federal Sources
5. Total State Sources
6. Total Local Sources
7. Nongovernmental Donations

**SCHEDULE OF ACTUAL AND PROJECTED RECEIPTS OF CAPITAL FUNDS**

Operator: \_\_\_\_\_

Date Completed: \_\_\_\_\_

Line	SOURCES OF CAPITAL FUNDS	Prior Year Actual FY__	Current Year Projected FY__	Next Year Proposed FY__
	<b>FEDERAL SOURCES OF CAPITAL FUNDS</b>			
1.	FTA Section 5307 Grant			
2.	FTA Section 5309 Grant			
3.	Federal Aid Urban Grants			
4.	Other Federal Funds (specify)			
5.				
6.				
	<b>Total Federal Sources of Capital Funds</b>			
	<b>STATE SOURCES OF CAPITAL FUNDS</b>			
7.	STA Fund - Population Formula			
8.	STA Fund - Revenue Formula			
9.	Other State Funds (specify)			
10.				
11.				
	<b>Total State Sources of Capital Funds</b>			
	<b>LOCAL SOURCES OF CAPITAL FUNDS</b>			
12.	TDA - Local (include capital reserve allocations)			
13.	Other Local Funds (specify)			
	<b>Total Local Sources of Capital Funds</b>			
	<b>TOTAL CAPITAL FUNDS RECEIVED</b>			

## **Form A-23 Schedule of Proposed Capital Expenditures**

**Please complete this form in the TDA Claim Forms Excel file, sheet [A-23](#).**

### **Purpose**

To provide a list, by project, of all planned capital expenditures for the ensuing fiscal year and to identify projects and funding to be allocated as a capital reserve under CCR 6648. For each project listed, the estimated expenditure for the year and expected funding, by source, are to be provided. New proposed capital reserve funding should be listed by project with the TDA reserve funds listed as "New TDA" with the funding clearly identified as a capital reserve. In addition, capital expenditures are to be summarized for the prior (actual), current (projected), and ensuing (proposed) fiscal years.

### **Special Instructions**

1. The total estimated expenditure of a capital project for the ensuing year should be equal to that portion of the total project cost which is expected to be incurred (and for which funds are expected to be provided) during the ensuing fiscal year.
2. Under "Sources of Funds for Capital Expenditures" post the amount of expected funding, by source. Expected funding will be either new (i.e., to be received in the ensuing fiscal year) or carryover funds (i.e., received prior to the ensuing fiscal year).
3. Under "Description," describe the source(s) of any carryover funds or amounts posted under "New Other." Include a description of each source and the amount of related funding (if more than one source). For carryover funds from FTA, include the FTA grant number and year of application.
4. More than one line may be used for each capital project listed, in order to provide an adequate description of either the project or "New-Other" or carryover funds. The form should be photocopied prior to being filled out if more than one page is expected to be needed.
5. Post the column totals on the line provided. If more than one page is used, the column totals should be posted on the last page only.

SCHEDULE OF PROPOSED CAPITAL EXPENDITURES

Operator: \_\_\_\_\_

Date Completed: \_\_\_\_\_

Fiscal Year Ending: \_\_\_\_\_

Page \_\_\_\_ of \_\_\_\_

PROJECT DESCRIPTION	Total Estimated Expenditures	Sources of Funds for Capital Expenditures					Carryover Funds	Description
		NEW FTA Sec.5309	NEW FTA Sec.5307	NEW TDA	NEW Other			
TOTALS								

## **Form C-10 and C-20 Transit Center Projects**

**Please complete these forms in the TDA Claim Forms Excel file, sheets [C-10](#) and [C-20](#).**

### **Purpose**

To provide the current funding status of all active TDA supported transit center projects from the prior fiscal year, including capital reserve allocations. Prior year allocations of capital funds will be adjusted based on the information provided, as well as on the fiscal audit of prior year expenditures.

### **Special Instructions**

1. For C-10 provide all sources of funds for prior year allocations and current claim.
2. For C-20 provide the categories for which the funds will be used.



**SCHEDULE OF ARTICLE 8 FUNDING FOR TRANSIT CENTER PROJECTS**

Operator: \_\_\_\_\_

Date Completed: \_\_\_\_\_

Line	SOURCES OF FUNDS	Prior Approved Funding	Current Claim	Total
	LOCAL SOURCES			
1.	TDA			
2.	Other (Specify)			
3.				
4.				
5.	Total Local Sources			
	STATE SOURCES			
6.	State Transit Assistance - Revenue Formula			
7.	State Transit Assistance - Population Formula			
8.	Other (specify)			
9.				
10.	Total State Sources			
	FEDERAL SOURCES (specify)			
11.				
12.				
13.				
14.				
15.	Total Federal Sources			
	Non-governmental Donations			
16.	TOTAL SOURCES OF FUNDS			

**SCHEDULE OF ESTIMATED TRANSIT CENTER COSTS**

Operator: \_\_\_\_\_ Date Completed: \_\_\_\_\_

Line	USES OF FUNDS	Prior Approved Funding	Current Claim	Total
	SITE PREPARATION			
1.	Clearing and Grubbing			
2.	Excavation/Borrow			
3.	Utilities			
	SITE IMPROVEMENTS			
4.	Paving			
5.	Structures:			
6.	Shelters			
7.	Lighting/Electrical			
8.	Drainage			
9.	Landscaping			
10.	Mechanical			
11.	Curbs/Sidewalks			
12.	Signing/Striping			
13.	Fencing			
14.	Other:			
15.				
16.				
17.				
18.				
19.				
20.	SUBTOTAL			
21.	Contingency			
22.	SUBTOTAL			
23.	Engineering/Design			
24.	SUBTOTAL			
25.	Project Management			
26.	CONSTRUCTION SUBTOTAL			
27.	Right of Way			
28.	Project Development			
29.	PROJECT TOTAL			

## V. PERFORMANCE/OPERATING REPORTING FORMS

<u>Form</u>	<u>Title</u>
A	Performance Monitoring Form – to be filed by SANDAG
B	Statement of Efforts Made to Implement Performance Audit Recommendations
C	Schedule of Base Statistics for Fixed-Route/Demand-Responsive Transit/Rail Systems – Quarterly report to be filed by transit operators based on below schedule. Annual report submitted by SANDAG.

### Base Statistics Reporting Schedule

<u>Reporting Period</u>	<u>Due Date</u>
Quarter 1: July 1 - September 30	November 15
Quarter 2: October 1 - December 31	February 15
Quarter 3: January 1 - March 31	May 15
Quarter 4: April 1 - June 30	September 30

**Form A**  
**Performance Monitoring**

**To be done by SANDAG.**

**Purpose**

To document the performance measure objects and progress on achieving the stated objectives and to document actions taken by the operator(s) in response to each recommendation(s). This form is filed by SANDAG.

**Special Instructions**

1. For each performance measure objective, SANDAG will indicate the level of success based on performance trends. If the results indicate declining performance, SANDAG will indicate recommendations to achieve the stated objectives.
2. Any additional information/comments should be included on a separate sheet attached to Form A.
3. For each performance measure listed in Form A, SANDAG will list the specific actions that have been taken to date by the operator, along with any planned efforts to be made in the future. If no action has yet been taken, SANDAG will list the reason(s) that no action has been taken, along with any planned efforts to be made in the future. For all future efforts, indicate the month when the planned efforts should be complete.

**PERFORMANCE MONITORING**

SANDAG Staff Member: \_\_\_\_\_

Date Completed: \_\_\_\_\_

Transit Objectives

Objective	MTS Performance Results	NCTD Performance Results	MTS Improvement Recommendations	NCTD Improvement Recommendations	MTS Actions Taken to Implement Recommendations	NCTD Actions Taken to Implement Recommendations
1. Operating Cost Per Passenger						
2. Operating Cost Per Revenue Hour						
3. Passengers Per Revenue Hour						
4. Passengers Per Revenue Mile						
5. Revenue Hours Per Employee						
6. Farebox Recovery						

SAMPLE

TO BE DONE BY SANDAG

**Form B**  
**Statement of Efforts Made to Implement Performance Audit Recommendations**

**To be done by SANDAG.**

**Purpose**

To document actions taken by the operator in response to each of the recommendations made in the performance audit according to Public Utilities Code Section 99246.

**Special Instructions**

1. For each recommendation, transit agencies will list the specific actions taken thus far, along with any planned efforts to be made in the future, toward implementation. If no action has yet been taken, the operators will list the reason(s) that no action has been taken, along with any planned efforts to be made in the future. For all future efforts, indicate the month when the planned efforts should be complete.
2. If a recommendation calls for the achievement of a specific level of an operating statistic or performance indicator, the calculated value of the statistic or indicator should be included under "Action Taken to Implement Recommendation." Supporting data required to calculate the statistic or indicator should be included on a separate sheet.
3. Any information requested in a recommendation should be included on a separate sheet attached to Form B.

**STATEMENT OF EFFORTS MADE TO IMPLEMENT  
PERFORMANCE AUDIT RECOMMENDATIONS**

SANDAG Staff Member: \_\_\_\_\_ Date Completed: \_\_\_\_\_

Date of Last Performance Audit: \_\_\_\_\_

Line #	Performance Audit Recommendation(s)	Actions Taken to Implement Recommendations

SAMPLE

## **Form C**

### **Schedule of Base Statistics for Fixed-Route and Demand-Responsive Transit Systems**

**To be done by SANDAG.**

#### **Purpose**

Transit operators provide the base statistics on a quarterly basis for each fiscal year which will be used by SANDAG to calculate various performance indicators. SANDAG will maintain a historical database of these base statistics for trend analysis work and performance audits. Annual summary will be done by SANDAG.

#### **Special Instructions**

1. Definitions for the base statistics to be reported by the transit agencies on Form C are provided in the list of definitions (“Base Statistics - Definitions of Terms”) included in Section V of this manual.
2. Form C is to be submitted by the transit agencies on a quarterly basis according to the schedule shown at the beginning of Section IV. The claimant should maintain a copy of Form C submitted for the previous quarter and add the data for the next quarter to it each time until the fiscal year is complete.
3. The annual totals derived from the quarterly data should be consistent with the fiscal year totals reported in other annual reports. If adjustments are necessary, the claimant should notify SANDAG of the necessary adjustments to the quarterly data in order to correct the annual totals. SANDAG should be notified of these changes at the time of the next quarterly submittal provided that the data involves the current fiscal year (i.e., changes made to Quarter 3 data at the time of the Quarter 4 submittal).
4. If adjustments are necessary to a previous fiscal year’s data, the claimant should notify SANDAG of the adjustments required as soon as possible and provide an explanation of the reason for the revisions. Revisions or corrections should be submitted to SANDAG in a timely manner.

#### **Procedures for Capturing, Calculating, and Accumulating Passenger Miles for Demand-Response**

Procedures for calculating passenger miles are outlined in the Federal Transit Administration (FTA) circular 2710.2A. To capture passenger miles, the odometer reading must be recorded for each passenger upon boarding the revenue vehicle and departing from the revenue vehicle. The odometer readings should be posted by the driver to the driver trip sheet.

Passenger miles for an individual passenger are calculated by subtracting the odometer reading upon boarding from the odometer reading upon disembarking. Total passenger miles for a day are calculated by adding up all the individual passenger miles from all the driver trip sheets for the day. Alternatively, daily passenger miles can be calculated by summing the odometer readings for all boardings and disembarkings by passengers, then subtracting the sum of the odometer readings upon boarding from the sum of the odometer readings upon disembarking.

The daily totals of passenger miles should be posted to a worksheet and accumulated over the quarter. Alternatively, the passenger mile information could be collected on a sample basis to develop an average trip length factor for use in computing a passenger mile estimate each quarter.



## **Procedures for Capturing and Reporting Response Time Performance for Demand-Response**

Response time performance should be calculated on a sample basis at least once every six months. The days selected for the sample include typical days of both high and low demand for the system. It is recommended that all of the passenger trips for a selected day be included in calculating the response time performance for that day, in order for the sample to be more representative of all passenger trips taken.

To capture and calculate response time for a passenger trip, two data elements are necessary:

- The time of day that the request for dial-a-ride service was received
- The time of day that the same passenger was actually picked up

The difference between the above two times is response time.

To record the time of day that requests for service are received, the dispatcher (or other person receiving incoming requests for service) must log the following for each call received:

- Time of day that call was received
- Number of passengers
- Pick-up location
- Destination

To record the time of pick-up, the driver must record the following, for each passenger upon boarding, on the driver trip sheet:

- Time of day of pick-up
- Pick-up location
- Destination

To calculate the response times of the passenger trips, the log-ins of the calls received during a given day for dial-a-ride service must be matched with the corresponding log-ins made on the driver trip sheet upon passenger pick-up. The matching is done by comparing the time of day, number of passengers, pick-up location, and destination for the calls received against the corresponding information on the driver trip sheet. The time of the initial call for service and the time of pick-up should be recorded for each passenger on a worksheet. The difference between the two times, the response time, should be calculated and posted to the worksheet for each passenger.

After all of the response times for a given day are calculated and recorded, the number of response times falling within the following timeframes are to be counted:

- 0 to 15 minutes
- 16 to 30 minutes
- 31 to 45 minutes
- Over 45 minutes

The total number of passenger trips occurring within each range of response time, along with the total number of sample trips (for all of the days included in the sample(s) for the period) are to be posted to Form C.

## **Procedures for Capturing and Reporting Deviation Time for Demand-Response (for Operators Using an Advance Reservation System)**

Deviation time is the difference, in minutes, between the scheduled pick-up time and the actual time of pick-up. It is to be calculated and reported by those transit systems operating under an advance reservation system, whereby passenger pick-ups are scheduled in advance. Where practical, it should be calculated and accumulated on an ongoing basis. As a minimum, deviation time should be calculated, on a sample basis, at least once each quarter.

Deviation time is captured by recording both the scheduled and actual time of pick-up for each passenger. The difference, in minutes, between the two times is the deviation time. It is suggested that, where practical, a driver trip sheet be utilized which includes prescheduled pick-up times for each passenger and an input space for each passenger to which the driver posts the actual pick-up time for each passenger.

To be calculated and accumulate deviation time, the deviation time captures are to be grouped into the following time frames:

- 0 - 10 minutes
- 11 - 20 minutes
- 21 - 30 minutes
- Over 30 minutes

The number of occurrences within each frame should be counted, along with the total number of occurrences. If deviation time is being captured on a daily basis, the daily totals should be posted to a separate worksheet. When all of the deviation times have been captured and calculated for the quarter (either on an ongoing or sample basis), the totals should be posted to Form C. If sampling is used, the sample should include either 100 observations or one month's history, whichever is less.

## **Procedures for Reporting Demand-Responsive Vehicle Service Miles and Hours and Total Miles and Hours**

In general, the difference between vehicle service miles (revenue miles) and total miles or vehicle service hours (revenue hours) and total hours is the miles traveled or time spent while deadheading. The concept of deadheading is not as well defined for demand-responsive services as it is for conventional fixed-route services. For this reason, the following clarification, derived from FTA definitions, is provided to distinguish between vehicle service miles and total miles. The same definitions would apply to the differences between vehicle service hours and total hours.

- Vehicles traveling from a dispatching point to the point where the first passenger will be picked up are considered deadheading and are not in revenue service; i.e., these miles should not be reported as vehicle service miles.
- Similarly, travel without passengers back to the dispatching location should not be reported as vehicle service miles.
- All vehicle travel with or without passengers while available to carry passengers between these starting and ending places just described should be considered as vehicle service miles.
- If vehicle storage/maintenance locations are different from the locations from which the vehicles are dispatched, travel between any of these locations should be considered deadheading and should not be reported as vehicle service miles.

SCHEDULE OF BASE STATISTICS (Form C)

FISCAL YEAR:	
FISCAL QUARTER:	
Operator:	Name
Service:	Name
Completed by:	Name
Completed date:	Date

		FY07				
Line No	Base Statistics	1st Qtr Jul-Sep	2nd Qtr Oct-Dec	3rd Qtr Jan-Mar	4th Qtr Apr-Jun	Year to Date
1.	Revenue Miles	0	0	0	0	0
	Weekday					
	Saturday					
	Sunday					
2.	Revenue Hours	0	0	0	0	0
	Weekday					
	Saturday					
	Sunday					
3.	Total Hours	0	0	0	0	0
	Weekday					
	Saturday					
	Sunday					
4.	Total Boarding (Passengers)	0	0	0	0	0
	Adult Pass					
	Day Pass					
	Youth Pass					
	Senior/Disabled Pass					
	Adult Cash					
	Youth Cash					
	Senior/Disabled Cash					
	Token Passengers					
	Prepaid Ticket Passengers					
	Transfers					
	Free Rides					
	Weekday Total Passengers					
	Saturday Total Passengers					
	Sunday Total Passengers					
5.	Total Operating Cost	\$0	\$0	\$0	\$0	\$0
	Personnel					
	Marketing					
	Security					
	Repair/Maintenance Services					
	Engine and Transmission Rebuild					
	Other Outside Services					
	Purchased Transportation					
	Other Contracted Bus Services					
	Fuel and Electricity for Vehicles					
	Fuel and Electricity for Facilities					
	Lubricants					
	Tires/Tubes					
	Other Materials and Supplies					
	Risk Management					
	General and Administrative					
	Vehicle Lease					
6.	Total Fare Revenue	\$0	\$0	\$0	\$0	\$0
	Cash Revenue					
	Token Revenue					
	Prepaid Ticket Revenue					
	Special Transit Fares					
7.	Full-Time Equivalent Employees (FTE)	0	0	0	0	0
	Operations					
	Maintenance					
	Administrative/Support					

FORMULAS (Do Not Enter Unless Source Data Unavailable)						
TDA 1	Operating Cost Per Passenger*	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!
TDA 2	Operating Cost Per Revenue Hour*	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!
TDA 3	Passengers Per Revenue Hour	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!
TDA 4	Passengers Per Revenue Mile	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!
TDA 5	Revenue Hours Per Employee	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!
TDA 6	Farebox Recovery	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!

\* SANDAG to adjust for inflation using San Diego CPI for transportation

OTHER DATA

1.	Total Miles	0	0	0	0	0
	Weekday					
	Saturday					
	Sunday					
2.	Unmet Trips					
3.	Total Trips					
4.*	Total Sample Response Time*	0	0	0	0	0
	No. of Responses Within 0-15 Min.					
	No. of Responses Within 16-30 Min.					
	No. of Responses Within 31-45 Min.					
	No. of Responses Over 45 Min.					
5.**	Total Sample Responses for Deviation Time**	0	0	0	0	0
	No. of Arrivals With 0-10 Min. of Schedule					
	No. of Arrivals With 11-20 Min. of Schedule					
	No. of Arrivals With 21-30 Min. of Schedule					
	No. of Arrivals Past 30 Min. of Schedule					

\* Response time data is required from only those operators not using an advance reservation system. Response time data is not required quarterly, but should be reported at least every six months.

\*\* Deviation Time data is required from only those operators using an advance reservation system. Deviation time data is not required quarterly, but should be reported at least every six months.

## VI. BASE STATISTICS – DEFINITION OF TERMS

Base Statistics	Definition
Vehicle Service Miles	<p>The miles traveled when the vehicle is in revenue service (i.e., the vehicle is available for travel by the general public). For conventionally scheduled service, vehicle service miles is comprised of: (1) Running Time - The miles the vehicle travels on the route in passenger service typically from the beginning of a route to the end of a route, and (2) Layover/Recovery Time - The hours scheduled at the end of the route before the departure time of the next trip.</p>
	<p><b>For Demand-Response System:</b> includes all service miles from the point of the first passenger pick-up, the distance to pick up the next passenger, to the last passenger drop off, and as long as the vehicle does not return to the dispatching point.</p>
Total Service Miles	<p>The miles a vehicle travels from the time it pulls out from its garage to go to revenue service to the time it pulls in from revenue service. It is often called platform time. For conventional scheduled services, it includes: (1) Revenue Miles - The miles that are comprised of running time and layover/recovery time, and (2) Deadhead Miles - The miles that a vehicle travels either: a) between the garage and the route, or b) when changing routes and the vehicle must travel from the end of one route to the beginning of the next route. Deadhead time also is known as nonrevenue miles (i.e., the vehicle is not available for travel for the general public).</p>
	<p><b>For Demand-Response System:</b> includes all miles from the beginning and end of the dispatching point.</p>
Vehicle Service Hours	<p>The hours traveled when the vehicle is in revenue service (i.e., the vehicle is available for travel by the general public). For conventionally scheduled service, vehicle service hours is comprised of: (1) Running Time - The hours the vehicle travels on the route in passenger service typically from the beginning of a route to the end of a route, and (2) Layover/Recovery Time - The hours scheduled at the end of the route before the departure time of the next trip.</p>
	<p><b>For Demand-Response System:</b> includes all revenue hours from the point of the first passenger pick-up, the time to pick up the next passenger, to the last passenger drop off, and as long as the vehicle does not return to the dispatching point.</p>
Total Service Hours	<p>The hours a vehicle travels from the time it pulls out from its garage to go to revenue service to the time it pulls in from revenue service. It is often called platform time. For conventional scheduled services, it includes: (1) Revenue Time - The hours that are comprised of running time and layover/recovery time, and (2) Deadhead Time - The hours that a vehicle travels either: a) between the garage and the route, or b) when changing routes and the vehicle must travel from the end of one route to the beginning of the next route. Deadhead time also is known as nonrevenue time (i.e., the vehicle is not available for travel for the general public).</p>
	<p><b>For Demand-Response System:</b> includes all hours from the beginning and end of the dispatching point.</p>

Base Statistics	Definition
Passenger Car Miles	The miles that passenger cars travel while in revenue service plus deadhead miles. <i>(For commuter rail mode, do not include locomotives miles.)</i>
Passenger Car Service Miles	The miles that passenger cars travel while in revenue service. Passenger car service miles exclude deadhead, training operators prior to revenue service, and road tests, as well as school bus and charter services. <i>(For commuter rail mode, do not include locomotives miles.)</i>
Passenger Car Hours	The hours that passenger cars travel while in revenue service plus deadhead hours. Actual car hours include layover/recovery time but exclude hours for charter services, school bus service, operator training, and maintenance testing. <i>(For commuter rail mode, do not include locomotives hours.)</i>
Passenger Car Service Hours	The hours that passenger cars travel while in revenue service. Passenger car service hours include layover/recovery time but exclude deadhead, training operator prior to revenue service, and road tests, as well as school bus and charter services. <i>(For commuter rail mode, do not include locomotives hours.)</i>
Total Passengers	The number of passengers who board public transportation vehicles. Passengers are counted each time they board no matter how many vehicles they use to travel from their origin to destination.
Transfers	Total number of passengers boarding a transit vehicle with any form of a transfer (e.g., free transfers, upgrades). Transfer slip holding passengers are counted each time they board a vehicle no matter how many vehicles they use to travel from their origin to destination.
Passenger Miles	The cumulative sum of the distances ridden by each passenger. Use FTA C 2710.2A <i>Sampling Procedures for Obtaining Demand-Responsive Bus System Operating Data</i> .
Operating Cost	Total of all costs in the operating expense to support the ongoing operations of transit service, including: personnel, outside services, materials and supplies, energy, risk management, as well as general and administrative line items. Exclude the cost in the depreciation and amortization and all direct costs for providing charter services and of all vehicle lease costs (PUC Section 99247(a)).
Fare Revenues	Total cash and proceeds from ticket and pass sales paid by passengers (Object Classes 401, 402, and 403). It does not include advertising revenue, charter bus revenue, or general fund revenue.
Revenue Vehicle Failures	Number of vehicles in revenue services that either did not complete its schedule revenue trip <b>or</b> did not start its next scheduled revenue trip.
Complaints	Any written or oral complaint received by a transit system relating to transit service.
Full-Time Equivalent (FTE) Employees	Total number of employees in connection with the public transportation system meeting the local definition of full-time hours. Normally, these persons are entitled to receive the full benefits package (e.g., sick leave, vacation, and insurance benefits). Total employee hours include hours worked by any contract service employees (e.g., transit operations or maintenance). If the actual number of hours worked by a contract service cannot be

Base Statistics	Definition
	determined, total employee hours contributed by the contract service can be estimated by dividing the amount charged by the contractor over the period by a constant which represents the average hourly wage rate for its employee.
Administration FTE	Total number of executive, professional, and supportive transit system employees engaged in general management and administrative activities. This includes the general manager, assistant general manager(s), administrative assistants, managers, supervisors, and other professionals working in the various departments within a transit system, including clerical and other support personnel. This number is to be expressed in terms of full-time equivalent (FTE) employees based on the total hours worked by administrative, supervisory, and support personnel (to be calculated in the same manner as described above for full-time equivalent employees).
Vehicle Operations FTE	Total number of employees operating revenue vehicles, including both full-time and part-time employees. (This number is to be expressed in terms of full-time equivalent (FTE) employees, based on the total hours worked by the vehicle operators (to be calculated in the same manner as described above for full-time equivalent employees).
Maintenance FTE	Includes all employees engaged in the maintenance and repair of vehicles, buildings, grounds, and equipment. This number is to be expressed in terms of full-time equivalent (FTE) employees, based on the total hours worked by maintenance employees during the period (to be calculated in the same manner as described above for full-time equivalent employees).
Vehicles Operated in Maximum Service	Number of revenue vehicles operated to meet the annual maximum service requirement. This is the revenue vehicle count during the peak season of the year on the week and day the maximum service is provided.
Trains in Operation	Maximum number of trains actually operated to provide service on an average weekday, Saturday, and Sunday.
Vehicles/Trains Available for Maximum Service	Total vehicles/trains available, includes spares, out of service vehicles, and vehicles in or awaiting maintenance, excludes vehicles awaiting sales and emergency contingency vehicles.
Energy Consumption	The total gallons of fuel consumed during the operation of the total miles for each vehicle; cost and type of fuel (including electricity).
Missed Trips	An occurrence in which a transit operator fails to provide service for a scheduled trip. The procedure used to account for partial missed trips may vary based on local operating procedures. Each operator should provide SANDAG with the definition or methodology used in compiling missed trips.
Total Trips	A segment of a run (or a run) which begins with a departure from a terminal or scheduled stopping point and ends with either round-trip return to the starting point or arrival at another terminal or scheduled stopping point.

Base Statistics	Definition
Unmet Trips	The total number of trip requests that could not be served. A trip request is unmet when the request is made at least 24 hours in advance and cannot be scheduled within an hour before or an hour after the requested time.
Response Time	The difference, in minutes, between the time of the initial call for demand-responsive service and the actual time of pick-up.
Deviation Time	The difference, in minutes, between the scheduled and actual times of pick-up under an advance reservation system.

# APPENDIX F

## FUND ELIGIBILITY WORKSHEET

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Claimant: \_\_\_\_\_ Fiscal Year: \_\_\_\_\_

This worksheet is intended to assist operators and transit service claimants in determining the maximum eligibility of operating funds from the LTF and STAF, as defined in CCR 6634.

1. Total FY \_\_\_\_\_ Projected Operating Costs \$
2. Subtract the amount of fare revenues required to meet the applicable farebox recovery ratio or the actual amount of fare revenue to be received during the fiscal year, whichever is greater \$
3. Subtract the amount of local support required to meet applicable fare revenue plus local support to operating cost ratio requirements \$
4. Subtract the amount of federal operating assistance to be received during the fiscal year \$
5. Subtract the amount to be received pursuant to a contract with a jurisdiction to which the operator provides service beyond its boundaries \$
6. The resulting difference equals the maximum amount of operating support from the LTF, STAF, and UTF the claimant is eligible to receive during the fiscal year \$

CCR 6634 also defines the maximum eligibility for funds from the LTF and STAF for capital projects, rail passenger services, and grade separation projects. Claims under Article 4.5, 99260.7 or 99400.6 (express bus and vanpool services) are eligible for LTF monies, for purposes other than operating costs, in an amount not to exceed actual expenditures for the purchase of buses or vans. CTSA's also are eligible for funds for the purpose of communications and data processing equipment essential to providing, consolidating, and coordinating social service transportation.



# APPENDIX G REQUIRED STATEMENTS

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Claimant: \_\_\_\_\_

Fiscal Year: \_\_\_\_\_

## Statement Regarding Accuracy of Budget Data

CCR 6632 requires that each transit operator (Article 4) or transit service claimant (Article 4.5, 99400.6, and 99400.7) include in its claim a statement signed by the chief financial officer of the claimant attesting to the reasonableness and accuracy of the budgetary information submitted included in the Budget Process. Each claim should be accompanied by, at a minimum, the following statement:

I hereby attest to the reasonableness and accuracy of the information submitted in the Budget Process for fiscal year \_\_\_\_.

Signed: \_\_\_\_\_

Title: \_\_\_\_\_

## Statement Regarding Retirement System (Article 4 Only)

Section 99271 requires that each Article 4 claimant has fully funded the current cost of its retirement system in order to be eligible for funding. Sections 99272 and 99273 impose additional requirements for operators that have a private pension plan. Each Article 4 claim should be accompanied by, at a minimum, the following statement signed by the claimant's chief financial officer. Include any elaboration necessary depending on the individual circumstances.

I hereby certify that \_\_\_\_\_ (Claimant) has fully funded the current cost of its retirement system with respect to the officers and employees of its public transportation system and has met the applicable requirements of Sections 99271, 99272, and 99273 of the California Public Utilities Code.

Signed: \_\_\_\_\_

Title: \_\_\_\_\_

**Statement Regarding Charter Services**

Section 99250 requires that all charter bus services operated by a transit operator (Article 4) or transit service claimant (Article 4.5, 99400.6, and 99400.7) must meet certain conditions. Each claim must be accompanied by, at a minimum, one of the following statements. Additional information about specific charter service should be included, if necessary, to clarify conditions under which charter service was operated.

No charter bus service has been operated by \_\_\_\_\_ (Claimant) during the current fiscal year.

Signed: \_\_\_\_\_

Title: \_\_\_\_\_

Any charter services operated by \_\_\_\_\_ (Claimant) during the current fiscal year has met the requirements of Section 99250 of the California Public Utilities Code.

Signed: \_\_\_\_\_

Title: \_\_\_\_\_

**Statement Regarding Reduced Fares and Accessibility Requirements**

Section 99275.5(c)(5) requires SANDAG to make a finding that an Article 4.5 claimant is in compliance with Sections 99155 and 99155.5 prior to allocating any funds to that claimant. Section 99155 imposes certain requirements for reduced transit fares for senior citizens and handicapped persons and specifies certain identifications cards which shall be accepted in order to qualify for reduced fares. Section 99155.5 deals with eligibility requirements for dial-a-ride and paratransit services. The same requirements apply to Article 4 operators. In order for SANDAG to make the required findings and allocate funds, each claim must include the following statement:

I certify that all application services operated by \_\_\_\_\_ (Claimant) during the current fiscal year covered by this claim shall be provided in conformance with the requirements of Sections 99155 and 99155.5 of the California Public Utilities Code.

Signed: \_\_\_\_\_

Title: \_\_\_\_\_

# APPENDIX H

## A GUIDE TO THE SANDAG REGIONAL REPORTING SYSTEM

### PERFORMANCE INDICATORS

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#### INTRODUCTION

The San Diego Association of Governments (SANDAG) instituted the Regional Reporting System of transit operating statistics in 1980 to provide SANDAG with a set of base statistics and performance indicators with which to monitor transit operator performance. At the same time, the data provides transit managers with statistical indicators for monitoring and assessing their own operations. The program also provides data for the triennial performance audit evaluation. These forms have undergone revisions over the years.

The purpose of this guide is to assist persons responsible for local transit programs, especially those without extensive training in transit operations, in the use of the performance indicators for system monitoring.

The base statistics reported on Form C is defined in [Section IV of Appendix E](#). This section focuses on the performance indicators derived from those base statistics. SANDAG regularly updates performance indicator data for each operator based on the quarterly base statistics submitted and makes the information available to the operators. The purpose of the following discussion is to help the analyst answer questions about performance levels, and to provide a framework with which to analyze changes in system indicators.

#### DISCUSSION

The performance indicators include the evaluation of performance measures defined by the TDA, as well as those defined by SANDAG policy. The performance measures included in the TDA are reported in four categories: cost effectiveness, cost efficiency, service productivity, and labor productivity. These categories represent the relationships between service inputs, service outputs, and service consumption. Service inputs are the costs of doing business represented in the base statistics by operating cost. Service outputs are the products of transit service measured in terms of miles and hours of service. Service consumption is measured in terms of boarding passengers, transfers, and the fares collected.

The indicators are all rates such as cost per mile, so any analysis of changes to an indicator should consider whether the difference was caused by a change in the numerator or the denominator in the equation. The difference can be significant because the operator may have more control over one factor versus another. For example, a transit system may experience an increase in the cost per passenger as a result of an increase in costs, a decrease in the number of passengers carried, or both. If, the cost increases have resulted from expanded peak period express service, the additional cost is a direct result of the operator's decision to expand service. When expanded service does not result in an increase in revenue passengers sufficient to offset the additional cost, the operator must then decide if the additional cost per passenger is justified.

Another important group of factors affecting transit operations is the service environment. These factors also are evaluated and include several categories which SANDAG also will evaluate annually in terms of the progress made towards achieving multiyear goals. These categories and performance measures are described in [Chapter 7](#) of this manual.

In the following discussion, the performance indicators are discussed within the context of the four TDA indicator categories. In the lists of indicators, the mode for which each indicator is computed is identified as either fixed-route (FR), Fixed-Guideway (Rail) or demand-responsive (DR).

### Cost-Effectiveness

Cost-effectiveness indicators are the ratios of service inputs to the units of consumption. The TDA calculation used to evaluate service cost efficiency is the ration of fare revenue to operating cost:

Mode			
FR	Rail	DR	
X	X	X	Operating Cost per Boarding Passenger
X	X	X	Fare Revenue per Operating Cost

The first indicator measures the cost of providing the service on a per passenger basis. The second measure indicates the overall financial health of the system through the calculation of the farebox recovery ratio. Any increase in the cost per passenger or per passenger mile beyond the regional increase in the consumer price index would be considered a negative trend unless it was offset by an increase in the average fare and maintenance of the farebox recovery ratio.

### Cost Efficiency

Cost efficiency measures the relationship of inputs per unit of output. This indicator is:

Mode			
FR	Rail	DR	
X	X	X	Operating Cost per Service Hour

This measure calculates the cost of providing the service in relation to the amount of service supplied. As with cost-effectiveness indicators, increases in cost per unit may result from increases in either internal or external costs. Certain cost items such as fuel and tires will necessarily increase as miles of service increase, unless the unit cost of these consumables decreases. Reduced output without an accompanying reduction in costs also will increase the costs per unit. This could result from reduced labor productivity (e.g., reduced miles between road calls), or from slower system speeds. In the latter case, external factors such as traffic congestion could be the problem.

## Service Productivity

These indicators measure consumption per unit of output. They include:

Mode			
FR	Rail	DR	
X	X	X	Boarding Passengers per Service Hour
X	X	X	Boarding Passengers per Service Mile

Productivity measures give a general indication of how well resources are being utilized. However, they are susceptible to the influence of the governing body's policy regarding the frequency and span of service. Any policy to increase or maintain service levels beyond levels required by passenger demand can generally be expected to reduce these indicators. Demand responsive operators should refer to the comments on passenger miles under cost-effectiveness above.

Service area characteristics also have a significant impact on operating efficiency measures. Smaller or more densely populated areas will usually generate higher passenger per mile rates than service areas with dispersed populations. However, the less dense operating environments usually permit higher operating speeds. These higher speeds somewhat offset the number of miles required to reach passengers so that the per hour operating statistics compare more favorably with the operations in the denser urban areas.

## Labor Productivity

Labor productivity relates to the cost per unit of labor, labor efficiency and effectiveness, and labor overhead. The indicator is:

Mode			
FR	Rail	DR	
X	X	X	Service Hours per FTE Employee

In the case of contracted service, labor productivity is beyond the immediate control of the public agency's transit manager. However, labor inefficiencies in contracted service operations will probably result in noncompetitive contract bids. For directly operated service, reductions in the output per employee or an increase in driver pay hours per vehicle service hour suggests inappropriate staffing levels or inefficient use of staff. This could result from either the restraints of labor agreements, or inefficient scheduling.

## **CONCLUSION**

An important point to remember when using the performance indicators to monitor system performance is the way the indicators relate to one another. Labor productivity has an impact on cost-effectiveness and efficiency figures, and system design has an impact on operating efficiency and effectiveness. Costs will rise and fall for both internal and external reasons. Fare revenue will only keep up with cost increases if either passengers or fares increase, and passenger boardings can be expected to decline if fares are raised. Any analysis of changes in one indicator should also consider possible changes to other related indicators.

In the final analysis, it is probably the service environment and the policies of the governing board that are the most important factors affecting the performance indicators. The impact of those factors is beyond the scope of this review, however. The object of collecting and reporting the base statistics and performance indicators is to help the transit manager get the most out of the available resources within that context.

State of Good Repair Project Information									
#	Sub-Recipient <i>If applicable</i>	Project Title <i>Project Titles must match if appearing on more than one list. Max 50 Characters</i>	Project Description <i>Max 250 Characters</i>	Asset Type <i>Dropdown Selection</i>	Project Category <i>Dropdown Selection</i>	Current Condition of Asset <i>Dropdown Selection</i>	Useful Life If applicable <i>In Years</i>	Project Dates	
								Project Start Date <i>MM/DD/YYYY</i>	Project Completion Date <i>MM/DD/YYYY</i>
1									
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40									

#	Project Location City	Project Funding						Legislative Districts			Notes, Comments, Additional Information	
		SGR Costs				Non-SGR Costs		Total Project Costs <i>Auto Populated</i>	Congressional	Senate		Assembly
		<u>2017-18</u> SGR Costs 99313	<u>2017-18</u> SGR Costs 99314	<u>Total</u> SGR Costs 99313	<u>Total</u> SGR Costs 99314	<u>Total</u> STA Costs - <i>Not Including SGR</i>	<u>Total</u> All Other Funds					
1							\$	-				
2							\$	-				
3							\$	-				
4							\$	-				
5							\$	-				
6							\$	-				
7							\$	-				
8							\$	-				
9							\$	-				
10							\$	-				
11							\$	-				
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35							\$	-				
36							\$	-				
37							\$	-				
38							\$	-				
39							\$	-				
40							\$	-				

