

State Program Peer Review and Best Practices

INTRODUCTION

Building upon the theme of making Oklahoma a “Top 10 State” and the development of a strategic direction for Oklahoma’s public transit programs, research was conducted on specific peer states and national best practices that could serve as resources moving forward. The peer review focus was intended to assist in the assessment of how Oklahoma’s transit program compares with those in similar states, while the best practices provide additional examples on how other states have approached certain policies, programs and issues that can be explored by Oklahoma.

This technical memorandum provides the results of this research. This document includes the following components:

- **Peer state considerations** – Describes the process for selecting five states that served as peers for the review.
- **Peer state review** - Highlights key aspects from the review, and provides an overall summary of how each administers transit funding, for the following states:
 - Arizona Department of Transportation
 - Iowa Department of Transportation Public Transit Bureau
 - Kansas Department of Transportation
 - Ohio Department of Transportation Office of Transit
 - Oregon Department of Transportation
- **National best practices** – Provides specific examples beyond the five peer states, particularly on themes identified by the Project Steering Committee and through local stakeholder interviews.

The consultant’s knowledge of national best practices served as the initial foundation for the research, with additional information obtained through:

- Interviews with staff from the five peer states
- State management plans and other resources posted on the peer state websites
- Best practices and other information available through national technical assistance centers

Peer Review

PEER STATE CONSIDERATIONS AND SELECTION

Consideration for the selection of states to serve as peer reviews began with those that compare to Oklahoma in regard to population and density. Table 1 provides this comparison to the ten states with similar demographics, along with the number of transit systems that operate in the state (and therefore would be part of the state's oversight) federal funding, and state transit funding amounts.

States Selected for Peer Review

A typology of state roles regarding implementation of rural, regional, intercity and small urban transit services would likely include three general classifications:

- “Top-down”: States that have done state level analyses and implemented policy changes, funding formulas or initiatives to direct or mandate local program implementation to address transit needs identified at the state level regarding transit service levels, types and coverage. Often these policy initiatives are linked to state funding and may be enabled or directed by state legislation. The state may even be an operator of transit services, either directly or through contracts. In these programs, the initiative comes from the state transit program to a large extent, and local participation may be required.
- “Bottom-Up”: States that have identified a need for transit service improvement or development, and are providing encouragement and support for local efforts, for example by providing technical assistance, support for inputs (training, shared or common technology, joint procurement) funding for feasibility studies or planning, funding for transition costs, or incentive funding for implementation of particular types of services, organizational changes, etc. The initiative is seen to be local, but state role is based on a policy vision and provision of enhanced support to the local implementation. Local participation is largely voluntary.
- “Permissive/compliance-oriented”: State transit programs that have not identified any particular vision or policy regarding the need or benefit of transit services, and the primary focus is on offering federal transit funds to eligible applicants through the federal program structure and ensuring compliance with state and federal requirements rather than defining transit needs and addressing them in any specific way. The outcome of the program is up to the subrecipients.

Table 1: Potential Peer States Based on Population and Density

(ranked on density)

State	Population	Density ⁽¹⁾	Number of Transit Systems ⁽²⁾					FY 2020 Section 5311 Funding	Total State Transit Funding ⁽³⁾	FTA Tribal Transit Funding ⁽⁵⁾
			Total	Urban	Small Urban	Rural	Tribal			
Connecticut	3,565,287	735.9	22	15	2	4	1	\$3,508,399	\$632,110,145	\$330,591
Kentucky	4,467,673	112.4	32	5	4	23	0	\$19,954,380	\$1,702,686	\$0
Louisiana	4,648,794	106.7	49	4	8	37	0	\$13,619,306	\$4,955,000	\$0
Missouri	6,137,428	89.3	37	6	6	24	1	\$20,928,619	\$2,074,625	\$11,991
Minnesota	5,639,632	70.8	49	6	7	30	6	\$18,451,412	\$448,811,000	\$1,763,508
Arizona	7,278,717	64.1	51	6	4	30	11	\$14,090,490	\$11,725,113	\$2,981,659
Mississippi	2,976,149	63.4	23	0	3	19	1	\$16,783,170	\$1,600,000	\$705,331
Arkansas	3,017,804	58	17	3	5	9	0	\$14,502,463	\$3,532,228	\$0
Oklahoma ⁽⁶⁾	3,956,971	57.6	37	2	3	20	12	\$17,413,347	\$5,750,000	\$7,117,488
Iowa	3,155,070	56.5	35	12	7	16	0	\$14,536,117	\$15,842,891	\$0
Colorado	5,758,736	55.5	43	3	3	36	1	\$13,428,001	\$25,000,000	\$133,561
Oregon	4,217,737	43.9	59	4	7	43	5	\$14,442,393	\$32,033,345	\$738,495
Utah	3,205,958	39	9	1	2	5	1	\$7,540,060	\$0	\$141,982
Kansas	2,913,314	35.6	157	2	4	150	1	\$13,138,464	\$11,000,000	\$125,019
New Mexico	2,096,829	17.3	36	2	4	21	9	\$12,288,084	\$5,700,000	\$638,523

(1) Information calculated using information from <https://statesymbols.us/a.org/symbol-official-item/national-us/uncategorized/states-size>

(2) Information found in AASHTO Survey of State Funding for Public Transportation

(3) From the AASHTO Survey of State Funding for Public Transportation

(4) Number of Tribal entities receiving funding under the FTA section 5311(c) Tribal Transit formula funding program for 2019

(5) FY 2019 formula funding apportionment under the FTA section 5311(c) Tribal Transit program

(6) Oklahoma data differs from AASHTO and FTA data because a portion of the Fort Smith, Arkansas Urbanized Area is in Oklahoma, making a third small urban system; and because two tribal systems (Cherokee Nation and Northeast Tribal Transit Consortium) receive federal transit funding but contract with transit providers who directly operate service, the total number of actual Tribal Transit systems is 12 rather than the 10 listed in the FTA apportionment table.



For the most part, no state fits any one of the three models completely. A state may be permissive with one program, and prescriptive with another. Also, it should be noted that all states must conduct oversight to ensure federal program compliance, so all three models do get involved in compliance. The differences are the degree to which the state program goes beyond that role. There are examples of states that have combinations of approaches, such as Kansas which has legislatively mandated rural regional transit organizations but is incentivizing rural regional services as one potential strategy that may be implemented by regional organizations. Often the intercity program is the first place where a direct state role in designing services and contracting for them takes place.

The shift from a “permissive/compliance-oriented” program to one of the other two types is often linked to a change in the political environment—transit needs are recognized in the political sphere, the legislature contemplates more funding, but there is a need to identify and agree on what the funding should do, how much is needed—leading to a statewide study of some sort. The change in roles then follows as the result adds state funding to the overall program, with some sort of legislatively defined purpose, eligibility, allocation, and performance standards. Often the study and the funding program are two sides of the same coin—more transit funding is not possible unless there is an agreed upon plan for its distribution and usage.

Based on a review of population, population density, number of transit systems, FTA funding and study team and Steering Committee input on states that had programs that were of interest, Arizona, Iowa, Kansas, and Oregon were identified from this list for the peer review.¹ In addition, Ohio was determined to be a state that would serve as an appropriate peer and was added to the group. In terms of the typology of state programs, Oregon and Ohio are generally more similar to the top-down model, while Arizona, Kansas and Iowa are more similar to mixed models. The location of a state in a particular FTA Region was not considered as a factor and based on the demographics and numbers of transit systems none of the selected states were from FTA Region VI.

While a variety of information was obtained through the peer reviews, the overall focus was on these areas:

- **Governance and funding:**
 - Policy-making structures (boards, commissions, advisory groups)
 - State funding programs
 - Funding allocations
 - Planning process
 - Reporting and performance assessment
 - Compliance and oversight
 - Training and technical assistance

¹ Factors of interest in the choice of peer states included knowledge of regional program structures, mobility management, regional services, funding programs, etc. The FTA region of each state was not considered as a factor.

- **Capital needs:**
 - Monitoring and responding to the capital needs of local providers
 - Transit Asset Management (TAM) plans
 - Statewide procurement procedures
 - Management of state and federal funding to address capital needs
 - Regionalization of operating facilities, or other actions designed to maintain the state's transit assets

- **Mobility management and coordination:**
 - Statewide mobility management programs
 - Local/regional mobility managers
 - Coordination strategies as basis for funding
 - One-call/one-click information centers and other efforts to improve access to information on mobility options
 - Regional coordination strategies
 - State agency level coordination councils
 - Implementation of federal coordinated planning processes and other state efforts to enhance and support improved coordination of human service and public transportation

- **Support for intercity bus and regional services:**
 - State utilization of section 5311(f) to maintain connections between rural areas and urban centers
 - Intercity bus consultation and planning process
 - Use of in-kind match to support intercity bus services
 - Development of state-branding of intercity and regional services
 - Efforts for enhanced connectivity of intercity and regional services with other travel modes
 - Use of state match for intercity and regional services

- **Technology:**
 - States that have developed models of technology support for transit operators
 - Funding to support technology improvements and upgrades
 - Statewide technology procurements
 - Use of GTFS data and user information systems

- **Tribal transit:**
 - Involvement and coordination with transit services provided by tribal entities
 - Relationship with FTA Tribal Transit programs

Online resources from each of the state DOT websites were initially used to prepare a summary on how each state administers federal and state funding. Individual interviews with each state DOT were then conducted to confirm this information and obtain additional input.

PEER STATE REVIEW

This section of the technical memorandum presents the results from the peer reviews. These reviews provided the opportunity to obtain information on state-level legislation and policy decisions that impact the administration of federal and state funding programs. These areas are highlighted first for each state, followed by more extensive information on the administration and oversight of transit funding programs. These include specific actions that can support local providers and encourage improved mobility.

ARIZONA DEPARTMENT OF TRANSPORTATION

Arizona Program Key Take-Aways for Oklahoma

Arizona tribal transit: ADOT has a strong working relationship with its tribal communities with the state emphasizing the needs of tribal communities through funding, technical assistance and respect for the tribal sovereignty.

- The tribal communities in Arizona are direct recipients for FTA Tribal Transit grant funds, however many of these communities compete for 5311 and 5310 funding. In order to assist these communities, the Multimodal Planning Division (MPD) has two Tribal Liaisons both of which are members of tribes within Arizona.
- These liaisons assist tribes with starting, sustaining and improving transit services in their communities as well as navigating the applicable state and federal regulations and guidelines attached to transit funding. This has resulted in significant success in improving mobility for tribal communities across Arizona.

Mobility management: In addition to the regional coordinated planning efforts, ADOT works with state COGs and MPOs in administering mobility management functions.

- There are ten Mobility Managers in the state (nine funded by ADOT and one funded by the city of Phoenix).
- The Arizona approach to mobility management is innovative, customer-driven, and focused on managing and delivering coordinated transportation services. Helping customers includes assistance to older adults, people with disabilities and individuals with low incomes to gain mobility and get to where they need to go.
- The ten mobility managers in the state work closely with the COGs, MPOs and ADOT to facilitate these efforts tailored to each individual region in the state.

Support for intercity service: ADOT awards 15 percent of its 5311 formula funds to intercity service per FTA guidelines.

- As a result, the state has eight feeder services run primarily by rural operators that connect to the national network of intercity services (primarily Greyhound services along I-40 and I-10).

Regional model for planning and support: ADOT relies heavily on COGs and MPOs for planning, technical assistance, and transit support.

- As entities governed by local elected officials, each COG employs full-time planning staff to prepare and implement a comprehensive transportation work program. COGs perform a variety of transportation services for their constituent partners, which may include local tribes.
- These services consist of providing technical assistance and training to support communities and service providers in applying for state and federal transportation grants, conducting data collection and projections, developing a TIP, implementing human services transportation and public transit planning and coordination, and providing a forum for public input and review. Overall, the COGs serve as an intermediary between local and regional stakeholders and state and federal transportation agencies.

Governance and Funding

In Arizona, the administration of federal and state funding is provided by the Arizona DOT Multimodal Planning Division (MPD). The MPD serves as the State Safety Oversight Agency (SSO). MPD currently administers sections 5305, 5310, 5311, 5329 (State Safety Oversight) and 5339 (Bus and Bus Facilities) programs in Arizona. ADOT MPD administers and provides oversight for the FTA programs, as well as the Rural Transit Assistance Program, and other federal grant programs such as Surface Transportation Block Grant funds that have been “flexed” to support Arizona’s transit programs. The 5307 funds are allocated to Arizona, but ADOT passes them through to the agencies that are direct recipients of FTA funds.

Duties of ADOT MPD include assistance throughout the grant processes, as well as subsequent monitoring of successful applicants. MPD also provides information, oversight, and technical assistance to Arizona communities, transportation planning agencies, transit agencies, and intercity carriers. As stated in the State Management Plan, the vision and mission of the MPD include:

*Our Vision: Moving Arizona to become the most reliable transportation system in the nation.
Our Mission: Connecting Arizona. Everyone. Every Day. Everywhere.*

ADOT’s Multimodal Planning Division oversees the transit programs within ADOT and management responsibility is delegated to the Transit Programs section of the department. MPD’s transit staff coordinates closely with other divisions within ADOT to oversee and provide the financial and civil rights oversight that FTA requires. MPD has multiple functions, including the following FTA grant administrative responsibilities:

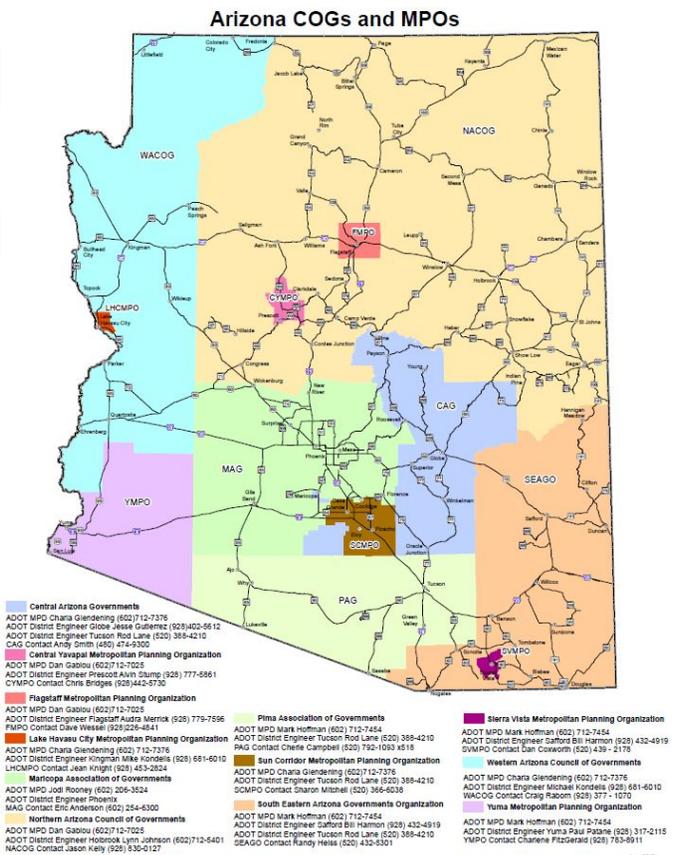
- Administering federal transit programs which provide local transit systems with capital and operating assistance
- Providing technical assistance and expertise to local transit agencies and decision makers
- Coordinating and funding transit planning efforts in rural and urban areas
- Serving as the State Safety Oversight Agency for light rail
- Ensuring a multi-modal approach in addressing problems of mobility, congestion and air quality throughout the state

Organization

The MPD provides transportation research, plans, and programs to the public. Much of the external coordination and communication is with the MPOs and COGs. Arizona’s transportation planning efforts are guided at the regional level by councils of governments for rural areas and metropolitan planning organizations for urban areas. As entities governed by local elected officials, each COG employs full-time planning staff to prepare and implement a comprehensive transportation work program. COGs perform a variety of transportation services for their constituent partners, which may include local tribes.

These services consist of providing technical assistance and training to support communities and service providers in applying for state and federal transportation grants, conducting data collection and projections, developing a

Figure 3: Arizona Transit Planning Regions



TIP, implementing human services transportation and public transit planning and coordination, and providing a forum for public input and review. Overall, the COGs serve as an intermediary between local and regional stakeholders and state and federal transportation agencies. Figure 3 (on the previous page) depicts the regional transit planning areas within the state.

ADOT distributes federal transportation funds to COGs to meet specific goals and deliverables set forth in an annual work program developed each year by ADOT's Multimodal Planning Division. In addition to the items outlined above, these additional responsibilities may include data collection and reporting, public involvement and consultation, project management, and coordination of transit through mobility management. Northern Arizona Council of Governments (NACOG) work program is illustrative of the roles and responsibilities performed by COGs in meeting regional rural transportation goals. An overarching theme of the work program is to meet the priorities of the federal surface transportation program, which include supporting economic vitality, increasing safety and security for all users, promoting accessibility and mobility, and enhancing connectivity.

The central objective of the ADOT MPD is to help identify current significant transportation issues in Arizona as well as improve existing systems. Beyond the administration of FTA grant programs MPD engages in several other transportation related activities:

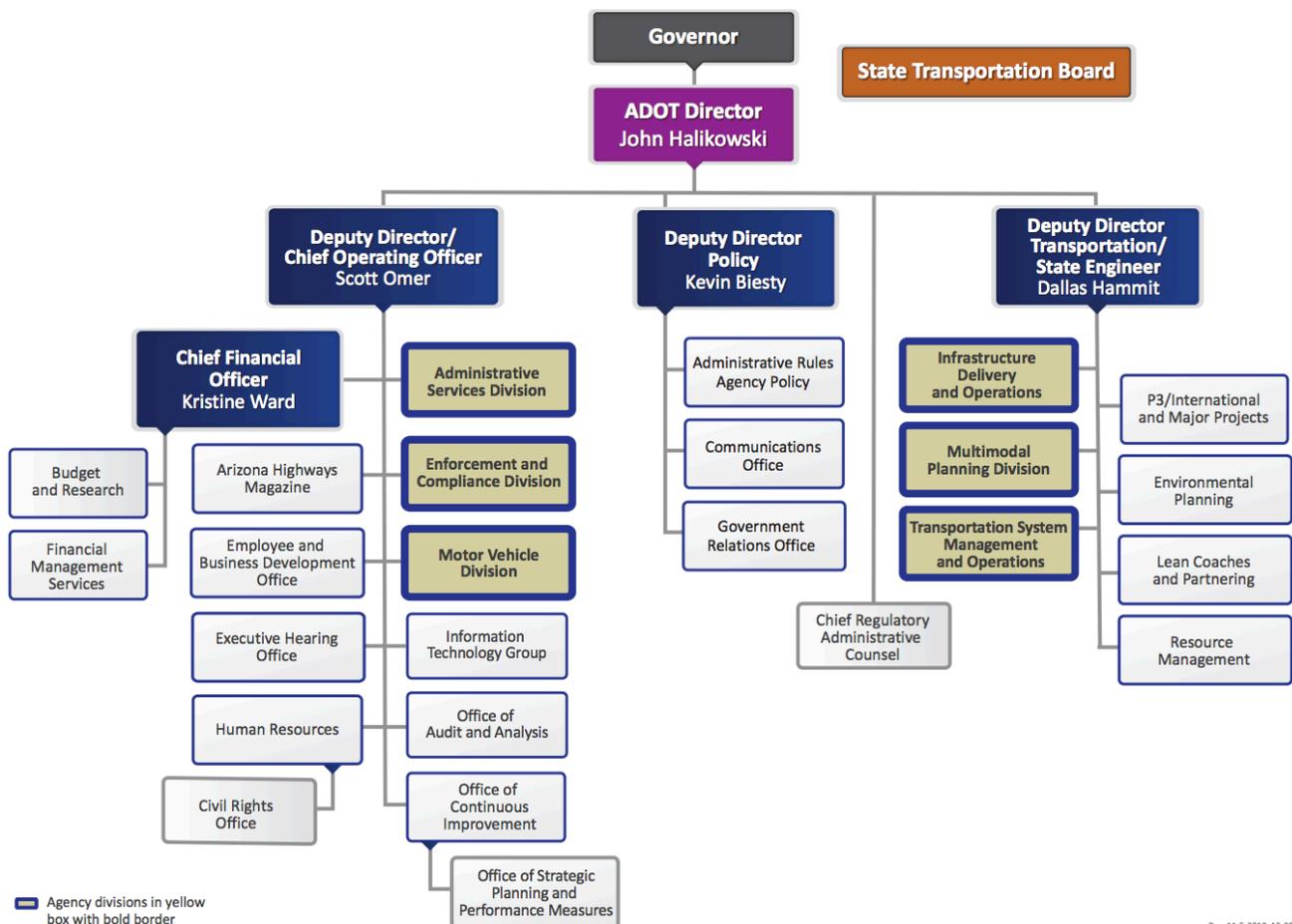
- Systems and regional planning
 - Manages transportation studies for state highway system and actively participates in planning activities with regional planning partners
 - Staff of 70 professionals that manage:
 - Arizona tribal transportation
 - Bicycle and pedestrian program
 - Freight program
 - Planning assistance for rural areas
 - Transportation consultation with rural official's policy
- Transportation programming
 - ADOT Five-Year Transportation Facilities Construction Program for Highways and Airports
 - State Transportation Improvement Program
 - State Implementation Plan
- Transportation plans
 - Long-Range Transportation Plan
 - Arizona State Rail Plan
- Transit programs and grants
 - Public Transportation State Management Plan

- Sustainability
- Transportation research center

Staffing

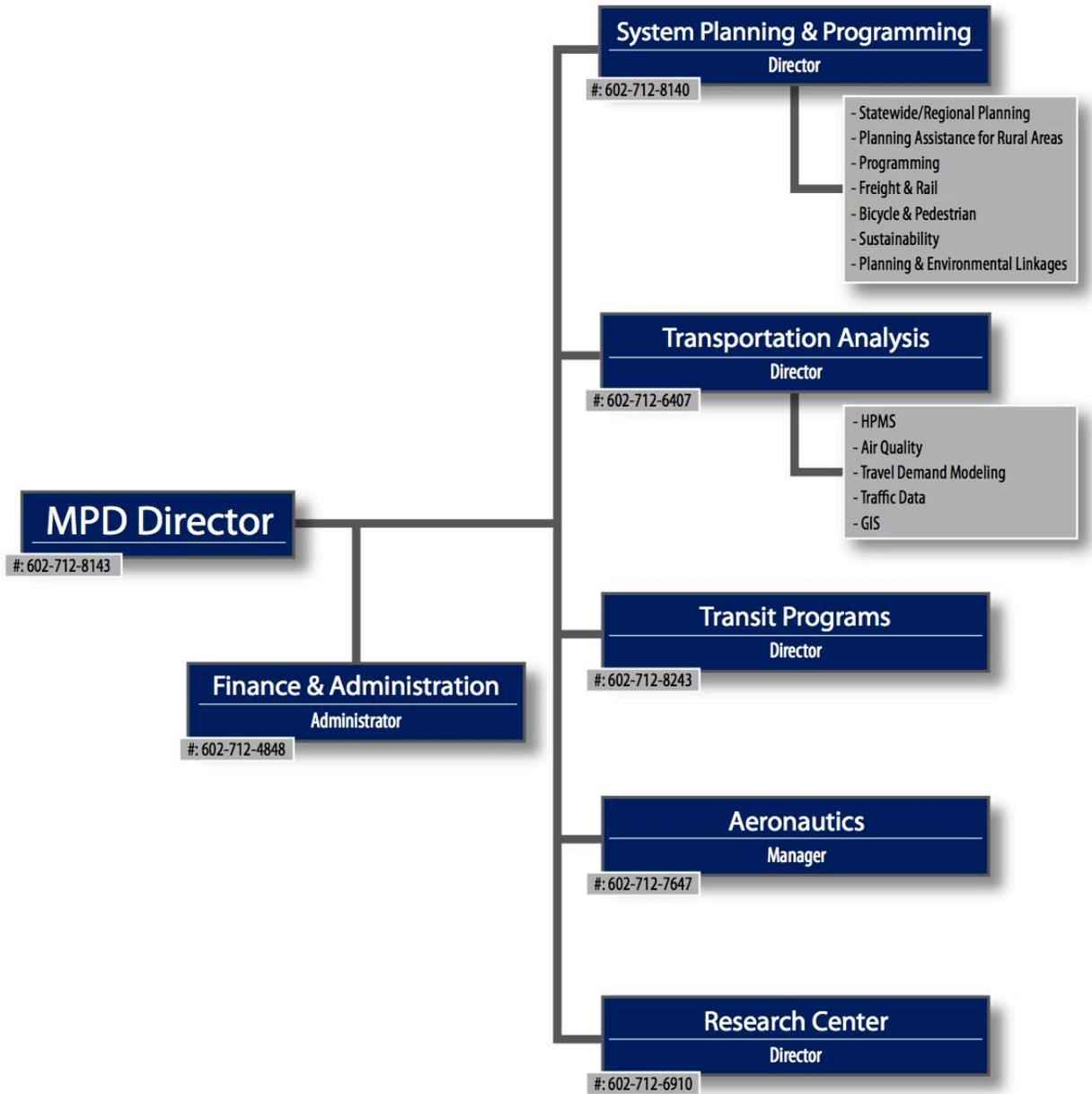
The Transit Group Manager, who reports to the Division Director of the ADOT MPD, oversees the Transit Programs and Grants unit. Program managers oversee the FTA funded programs. The MPD has additional staff that includes planners, management analysts, and others. The Administration Unit provides accounting and contract support to FTA programs. An overall organizational chart for ADOT is available as Figure 4. Figure 5 displays the organizational chart for the MPD.

Figure 4: ADOT Organizational Chart



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Figure 5: Multimodal Planning Division Organizational Chart



Transit Funding Application and Approval Process

Section 5310 Program

The federal Transit Administration provides ADOT formula FTA and Surface Transportation Program (STP) funds for small urban and rural areas annually through the capital assistance program. Program funds are used for capital assistance, the purchase of vehicles, related equipment and operating funds statewide. In addition, mobility management awards are

available to assist agencies and communities with their coordination efforts. Eligible recipients include private non-profit and public agencies that provide transportation to the elderly and disabled. Examples include senior centers and programs for the physically, mentally [including seriously mental ill (SMI)] and developmentally disabled (DD) populations. The utilization of special transportation includes:

- Medical appointments
- Nutrition appointments
- Adult day care facilities
- Education and training
- Service appointments, such as banking, social services
- Shopping trips
- Employment

The 5310 program has private non-profit (PNP) agencies and human service agencies that participate. Public agencies may function as grant recipients where no PNPs exist to provide the service, or the state determines such funding is in the best interest of coordination in the region. Moreover, tribal communities have been very active in the program.

Successful applications are initially adjudicated through a regional application evaluation and screening process, which includes ADOT and non-ADOT transportation and human service professionals. The 5310 program utilizes the assistance of Council of Government and Metropolitan Planning Organization planning offices to screen applicants within the state's nine planning regions. ADOT then makes the final decision regarding awards based on this input and available budget. Reviewers look at the proposals from the perspective of a number of evaluation factors, including expressed need for service and/or equipment, population served, financial capability to support funding, existing fleet inventories, coordination efforts and previous performance.

All projects funded under this program must be included in a locally developed, coordinated public transit-human services transportation planning process. Coordination is a key element that is now required for all FTA programs. To be awarded grant assistance, successful applicants must be included in the Regional Coordination Plan for their area and have participated in related coordination activities, such as coordination meetings. Applicants who receive a vehicle from ADOT will need to follow all requirements as listed in the program guidebook. ADOT requires an annual inspection of all vehicles awarded through its 5310 program. Vehicles can either be inspected by ADOT Equipment Services group when scheduled or a mechanic can fill out the Inspection Form and return it to ADOT.

Eligible projects:

- Capital funding: 80 percent federal and 20 percent local match
 - Vehicle purchases
 - Capital purchases

- Operating assistance: 50 percent federal and 50 percent local match
- Mobility management

Application process:

- Mobility management activities must be identified in the coordination plans
- Upload application and documents on e-grants application
- Must assign an agency organization administrator role

Section 5311 Program

The section 5311 grant program goals are to address the mobility needs of Arizona's rural population by enhancing access to health care, shopping, education, employment, public services and recreation and assisting local communities in building effective transit services in rural areas.

In Arizona, the ADOT Multimodal Planning Division manages the section 5311 grant program. Funding is provided to counties, cities, towns and American Indian tribes to operate transit systems at the local level. Approximately 3.1 million miles of transportation service are provided annually to more than 968,000 passengers. Over 190,000 hours of service are provided by these systems.

Funds may be used for public transit services operating

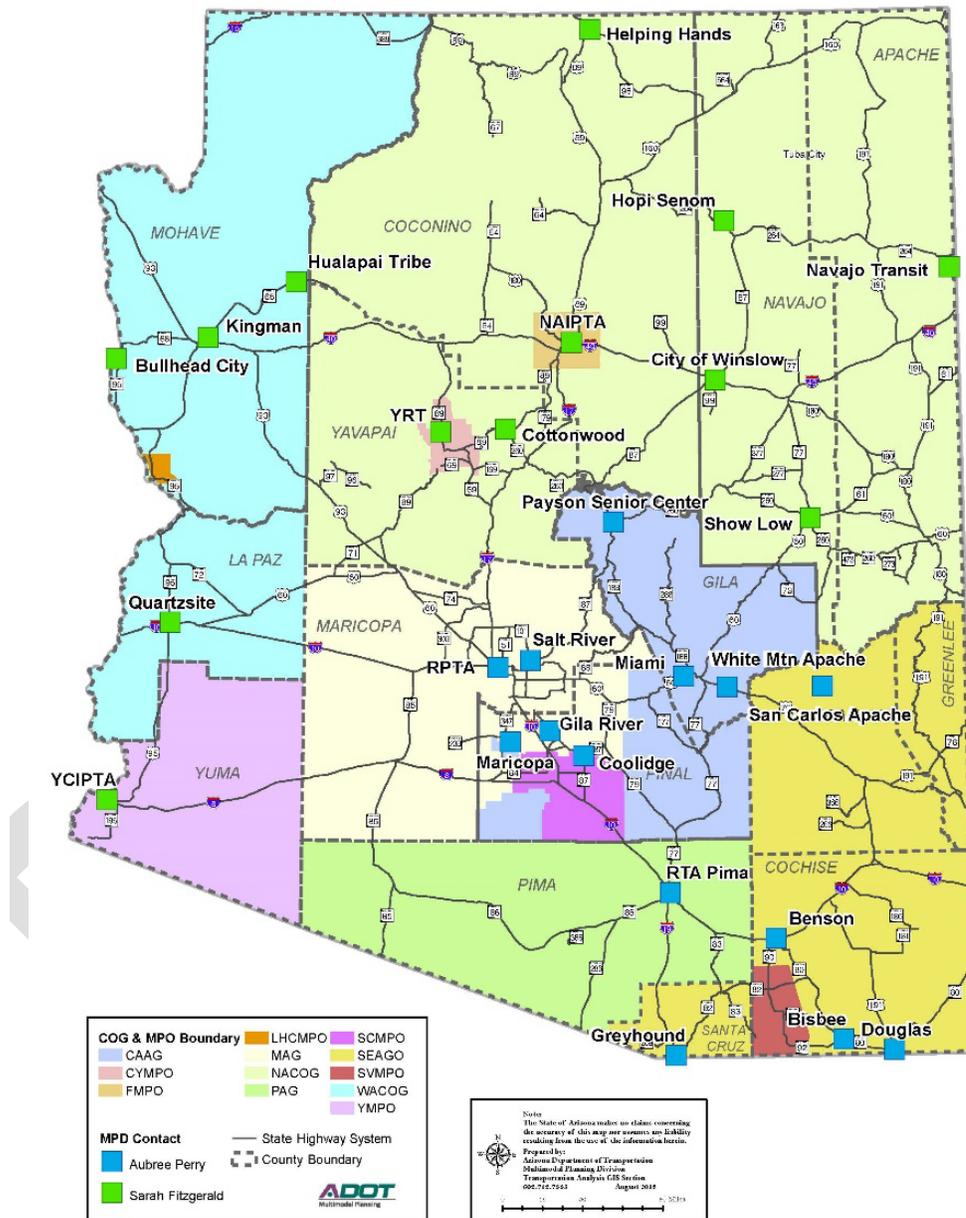
- Within small urban and rural communities
- Among small urban and rural communities
- Between small urban and rural communities and urbanized areas (cities of 50,000 or more)

Funds are distributed annually through a competitive application process. The application process is kicked off with a series of workshops and webinars that provide guidance on the process in the fall. Applications are submitted in December, and awards are generally made in July of each year. The program renews every federal fiscal year (which begins on October 1).

To provide 5311 recipients with the most responsive customer service as well as work toward the growth of the rural transit program across the state, ADOT has a regionally focused approach to managing the 5311 program. This approach has resulted in distinct regions in the state, each with its own project manager: northwest and southeast (Figure 6).

ADOT strongly encourages coordination of services to facilitate the most efficient use of federal, state and local resources. The goal is to support the development of a statewide, multimodal transportation system that is economically efficient and environmentally sound.

Figure 6: 531I Subrecipients and Planning Regions



Eligible projects:

- Administration expenses: 50 percent federal and 50 percent local match
 - Salaries for project director, transit manager, and secretary
 - Marketing expenses

- Insurance premiums
- Office supplies
- Facilities and equipment rental
- Alcohol and drug testing

- Capitalized maintenance expenses: 80 percent federal and 20 percent local match
 - Buses
 - Vans
 - Radios and communication equipment
 - Vehicle rehabilitation
 - Wheelchair lifts and restraints
 - Passenger shelters
 - Engine overhauls and special maintenance tools
 - Operational support
 - Minor construction or rehabilitation of transit facilities

Application process:

- Uses e-grants online system for application
 - Organization administrator
 - Authorized official
 - Financial officer
 - Grant writer
 - View access
 - Attorney

- Workshops and webinars for guidance

Section 5339 Program

Section 5339, Bus and Bus Facilities Program, funds are available through the ADOT competitive pool process to fund capital projects. ADOT administers the state's section 5339 program, where small urban-designated UZAs are considered eligible and for the statewide portion, 5311 rural programs may also be eligible for capital projects. Section 5307 funds (urbanized area funds) unclaimed by small urbanized areas which do not have transit programs are included in the pool of funds and are distributed with the section 5339 funds during and application process. Those funds awarded to urbanize areas and the section 5339 grant funds are managed by FTA direct recipients within the urbanized areas. Section 5339 grantees awarded to rural 5311 providers that are not direct recipients would follow detailed guidance outlined in the ADOT grant agreement and are overseen by ADOT as subrecipients.

The 5307 and 5339 programs provide funding for capital transit projects in the Small Urban and Rural Transit Services. ADOT MPD also administers the Bus and Bus Facilities program

to provide capital funding to replace, rehabilitate and purchase buses and related equipment and to construct bus-related facilities.

Rural Transit Assistance Program

The Rural Transit Assistance Program (RTAP) provides funding support to assist in implementation of training and provides technical assistance to meet the specific needs of section 5311 and section 5310. The mission of the Arizona State RTAP is to:

- Enhance and develop the skills and abilities of persons involved in providing passenger service in rural Arizona
- Promote the safe and effective delivery of training for section 5311 and section 5310 grantees
- Improve the quality of information through the development of training and technical assistance resource materials

The RTAP Scholarship Program assists section 5311 and 5310 grantees to further the development of management skills and encourage professional networking. Scholarships are available to agencies for transit related courses, workshops, seminars, driver training and conferences with subject matter applicable to rural transportation and appropriate to the level of expertise of the persons attending. To be eligible, requestors must be an active Arizona ADOT Transit grantee/subrecipient supporting rural transit. FTA funded tribal transit grantees may also request RTAP scholarships. Agencies are limited to five scholarship training events per year. Attendance is typically limited to two individuals per event.

Grant Administration

Before awarding a subrecipient a grant for a new project, an evaluation scoring matrix is applied for both new applications and ongoing projects. Past financial capacity/performance is reviewed and taken into consideration. The regional coordination plans prioritize the 5310 projects applied for and determine if an existing project should remain or a new one should take its place. Subrecipients budgets and capital requests are reviewed prior to awarding of new funds. This ensures that duplicate requests are not being entered in the Program of Projects for the current grant request.

After the review panel meets to determine a ranking of projects, Program Managers make the initial assignment to grants with the Transit Manager reviewing the awards prior to approval. Other ADOT staff may participate in reviewing and approving these projects prior to finalizing the awards.

As part of the development of the annual Program of Projects, the state looks at available funds in existing grants before applying for new funds. Old grant funds are reviewed to

determine what funding can be utilized first, prior to obligation of newer funds. Grant status (including open dates, expected closing dates, and any delays) is coordinated with the grant close-out team.

Compliance

The MPD has the responsibility to ensure that transit systems receiving federal funding administered by ADOT comply with all civil rights and FTA requirements. In this effort the MPD oversees:

- Financial capacity and management: ADOT programs are subject to an audit and in any given year ADOT or federal auditors may choose to review financial records of subrecipients. These actions are designed to ensure tighter budget-process control, asset inventory management and enhanced ADOT-FTA reporting capability.
- Procurement: Procurement procedures used by ADOT MPD and its subrecipients comply with applicable state law and federal requirements. Every year, ADOT MPD ensures the most recent federal clauses and certifications from FTA are included in every solicitation and contract.
- Asset management: All property acquired using federal funds must be utilized and disposed of in accordance with specific ADOT program guidance and federal guidance.
- Maintenance: ADOT MPD ensures that subrecipients are aware of and comply with the requirement that vehicles and other equipment purchased with federal funds are maintained in a good state of repair and cleanliness.
- Insurance: Recipients are responsible for acquiring and maintaining current, appropriate insurance on their capital equipment.
- ADA: All ADOT subrecipients must comply with the Americans with Disabilities Act of 1990, as amended.
- Title VI: ADOT has an FTA approved Title VI plan on file. This plan can be accessed via ADOT's website at: <https://www.azdot.gov/business/civil-rights/title-vi-nondiscrimination-program/fta-subrecipient-programs>. ADOT is required to ensure that all subrecipients receiving federal funds are in compliance with the regulations detailed in this plan.
- Drug and alcohol: ADOT requires all transit grant recipients to comply with FTA drug and alcohol program standards identified in ADOT guidelines.

Planning

Arizona supports regional coordination plans and are managed individually by the state's COGs and MPOs with oversight by ADOT. All projects funded under the Coordinated Mobility Program must be included in a coordinated public transit-human services transportation plan developed and approved by the following agency representatives and local constituents:

- Seniors
- Individuals with disabilities
- Public, private, and non-profit transportation and human service providers
- Other members of the public

If applying for a project that is consistent with the Coordination Plan but not specifically described or prioritized in the text, projects need to be listed in the annual amendment to the plan containing the current project list in order to be considered eligible for funding.

The state of Arizona is divided into twelve planning regions and shown in Figure 3 (presented earlier in this document). Coordinated Public Transit-Human Services Transportation Plans are developed for one or more regions of the state. Coordination Plans meeting all standards are approved for four years with an annual update that includes projects eligible and prioritized for funding for the upcoming Coordinated Mobility Program grant cycle.

Metropolitan and Statewide Transportation Planning

Projects identified in the coordination planning process and selected for FTA funding must be incorporated into both the Transportation Improvement Program (TIP) and Statewide Transportation Improvement Program (STIP) in Urbanized Areas (UZAs) with populations of 50,000 or more; and incorporated into the STIP for rural areas less than 50,000 in population.

Technical Assistance to Subrecipients

Arizona Transit Association (AzTA)

Beyond the RTAP functions in the state described earlier, the state of Arizona has a strong public transit association. AzTA is a statewide not-for-profit association that represents the public and private sectors in the advocacy and education for public transportation services and programs. AzTA assists RTAP in providing training and resources to transit providers in the state. In addition, the association hosts conferences and educational functions with the following goals:

- Establish a permanent statewide transit funding source.
- Prepare and promote a legislative program that supports AzTA membership at the local state and federal levels.
- Provide proactive communications with members/partners and develop public educational materials to support AzTA's advocacy for transit funding and legislation.
- Broaden both members and partners base by actively recruiting and work together to establish collaborative opportunities to support AzTA's mission.
- Host, with partners, statewide forums that provide educational opportunities for members/partners and broaden outreach.

Capital Needs

Transit Asset Management (TAM) Plans

Agencies that own, operate, and manages capital assets used to provide public transit and also receives federal financial assistance is required to develop a transit asset management (TAM) in order to meet federal requirements. The MPD develops the TAM Plan to provide guidance on how the state and the subrecipients will achieve and maintain a State of Good Repair (SGR) for all public transportation assets. The final TAM Plan includes:

- Asset management objectives
- Summary description of the condition of State Highway System (SHS) and National Highway System (NHS) pavements and bridges
- Asset management performance measures and state DOT targets for asset condition
- Performance gap analysis
- Risk management analysis
- Network life cycle planning
- Financial plan
- Investment strategies

Mobility Management

ADOT, in addition to the regional coordinated planning efforts, works with the state COGs and MPOs in administering mobility management functions throughout the state. There is a total of ten Mobility Managers in the state (nine funded by ADOT and one funded by the city of Phoenix).

Arizona defines Mobility Management as "short-range planning and management activities and projects for improving coordination among public transportation and other transportation service providers." It is an innovative, customer-driven approach for managing and delivering coordinated transportation services. Helping customers includes older adults, people with disabilities and individuals with low incomes to gain mobility and get where they need to go. Changes in demographics, shifts in land-use patterns and the creation of new and different job markets require new approaches for providing transportation services, particularly for customers with special needs. Mobility management focuses on coordinating services and providers to achieve a more efficient transportation service delivery system. It encompasses a potentially broad range of planning activities and related equipment (e.g., software and hardware to promote and support coordination efforts). It can also be a position (e.g., mobility manager, travel coordinator) within a centralized planning organization within a region or locality.

The ten mobility managers in the state work closely with the COGs, MPOs and ADOT to facilitate these efforts tailored to each individual region in the state.

Support for Intercity and Regional Services

Utilization of Section 5311(f) for Intercity Services

ADOT awards 15 percent of its section 5311 formula funds to intercity services per FTA guidelines. As a result, the state has eight feeder services run primarily by rural operators that connect to the national network of intercity services (primarily Greyhound services along I-40 and I-10).

Arizona identifies intercity bus service as regularly scheduled bus service for the general public which operates with limited stops over fixed routes connecting two or more urban areas not in close proximity, which has the capacity for transporting baggage carried by passengers. Package express service may be included, if incidental to passenger transportation. Commuter service (service designed primarily to provide daily work trips within the local commuting area) is excluded from the definition.

While much of the public transportation service provided under section 5311 covers large distances because of the nature of the areas served, not all long-distance trips are included in the definition of intercity service. Similarly, service that only stops at an intercity bus facility among other destinations within the city at either end of a route that covers a long distance, without regard to scheduled connections, is eligible for section 5311 assistance as public transportation, but is not an intercity feeder service.

A public entity operating or contracting for intercity bus service is not required to provide complementary paratransit service for individuals with disabilities who are unable to use the fixed route intercity bus service.

Intercity bus service is a vital link between otherwise isolated rural communities in Arizona and the rest of the nation. In recent years the major intercity carriers have abandoned many less productive routes. Patronage generated in rural areas, however, appears to be important to the continuing viability of the remaining intercity routes. One objective of the funding for intercity bus service under section 5311 is to support meaningful connections between non-urbanized areas and scheduled intercity bus service in urban areas to more distant points. Intercity services accommodate baggage carried by passengers. Another objective is to support services to meet the intercity travel needs of residents in non-urbanized areas.

Tribal Transit

ADOT has a strong working relationship with its tribal communities with the state emphasizing the needs of tribal communities through funding, technical assistance and respect for the tribal sovereignty.

ADOT efforts to address Arizona tribal transportation is based on the following major factors:

- There are 22 federally recognized Indian Tribes, Communities and Native Nations in Arizona with tribal land encompassing approximately 27,736,000 acres or 28 percent of the state land base.
- There are seven tribes located out-of-state with aboriginal and ancestral interests in Arizona.
- The state highway system includes 6,785 centerline miles of which 1,237 traverse tribal land.
- There are 14 tribal airports and five tribal public transit systems situated within tribal communities throughout Arizona.
- Both state and tribal governments have the common goal of providing efficient transportation systems for the safety and welfare of the traveling public.

The tribal communities in Arizona are direct recipients for FTA Tribal Transit grant funds, however many of these communities compete for section 5311 and 5310 funding. In order to assist these communities MPD has two Tribal Liaisons both of which are members of tribes within Arizona. These liaisons assist tribes with starting, sustaining and improving transit services in their communities as well as navigating the applicable state and federal regulations and guidelines attached to transit funding. This has resulted in significant success in improving mobility for tribal communities across Arizona.

IOWA DEPARTMENT OF TRANSPORTATION – PUBLIC TRANSIT BUREAU

Iowa Program Key Take-Aways for Oklahoma

Legislated coordination of publicly-funded passenger transportation services: The state of Iowa has long emphasized the need for coordination of publicly funded passenger transportation services to maximize the transportation benefits that can be achieved with limited resources:

- State law requires all agencies providing or purchasing publicly funded passenger transportation services to coordinate such services and funding through urban or regional transit systems designated by local officials in accordance with Chapter 324A of the Code of Iowa.
- Chapter 324A divided the states 99 counties into 16 multi-county public transit regions, and provided that a single agency should be designated by the counties within each region to be responsible for the provision of all transit services in the region not performed by an urban transit system.
- Each designated transit system is thus responsible for coordination of all publicly funded passenger transportation, thereby making all transit systems eligible for funding under section 5310.

Consolidated transit funding application: Iowa's Consolidated Transit Funding Application serves as the single multi-part application for funding by subrecipient transit systems under Iowa's statewide section 5310, section 531I, section 5339, and Congestion Mitigation/Air Quality Program (CMAQ) grants.

- Iowa's Consolidated Transit Funding Application is used by all transit agencies to apply for State Transit Assistance (STA) program funding.
- Funds for public transit projects are allocated among Iowa's regional and small urban transit systems on the basis of a performance-based formula, which uses the statistics from the last fiscal year.
- The Iowa DOT Public Transit Bureau determines which type of funds each transit system actually receives, based on the nature of the projects programmed. Section 5310 funds are targeted to systems that purchase services from sub-providers, and the section 531I funds are targeted first to systems that provide their services directly.

Iowa Transportation Coordination Council: In 1976 the Iowa Legislature adopted the first-in-the-nation coordination law, with a compliance review process added to the legislation in 1984. Subsequently the Iowa Transportation Coordination Council (ITCC) was created in

1992, with original members including the Iowa Department of Transportation, the Iowa Department of Human Services, and the Iowa Department of Elder Affairs.

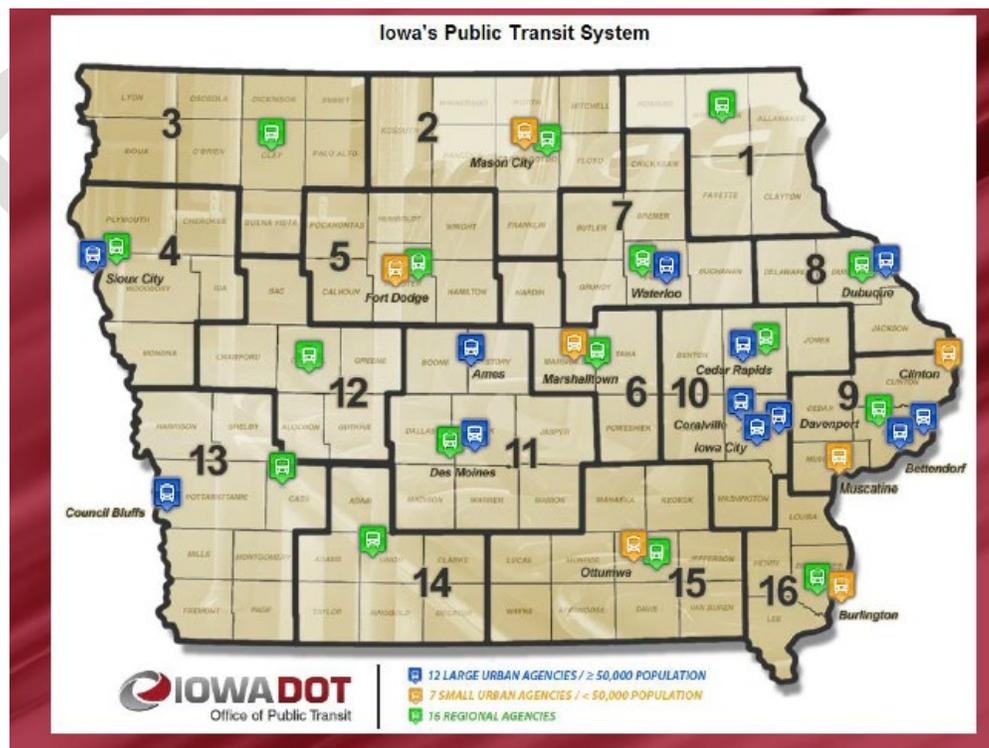
- The ITCC mission is to provide statewide leadership on transportation coordination to improve the mobility of Iowans.
- The ITCC was later expanded, and now includes membership from statewide organizations, state departments, and federal groups. The ITCC’s membership now consists of many state level agencies and non-profit groups all with an interest in coordination of transportation in Iowa.
- Chaired by the Public Transit Bureau, the ITCC meets bi-monthly and discusses such issues as mobility management, accessibility of transportation in Iowa, STA Special Project Proposal applications pertaining to coordination, and the encouragement of state and local agencies’ involvement in the passenger transportation planning process.

Governance and Funding

The mission of the Iowa DOT Public Transit Bureau is:

“To advocate and deliver services that support and promote a safe and comprehensive transit system in Iowa to enhance access to opportunities and quality of life.”

Figure 7: Iowa’s Public Transit System



In this effort the Public Transit Bureau administers federal and state transit grants and provides technical assistance to Iowa's nineteen urban public transit systems and sixteen regional public transit systems. Every county in Iowa, as shown in Figure 7, is served by a regional transit system.

As outlined in the Iowa DOT State Management Plan (SMP), the Public Transit Bureau administers the following federal programs:

- Formula grants for the Enhanced Mobility of Seniors and Individuals with Disabilities (section 5310) Program
- Formula grants for Rural Areas (section 5311) Program
- Rural Transit Assistance Program (RTAP)
- Intercity Bus Assistance Program through section 5311(f)
- Bus and Bus Facilities Formula Program through section 5339
- Funds flexed to the FTA 5311 Program from the Congestion Mitigation/Air Quality Program (CMAQ) Program
- Surface Transportation Block Grant Program (STBGP)

The Iowa DOT Public Transit Bureau also administers the following FTA programs:

- Metropolitan Transportation Planning (section 5303)
- Statewide and Nonmetropolitan Transportation Planning (section 5304)
- Urbanized Area Formula Grants (section 5307)

The goal of the Public Transit Bureau is to maximize the benefits the people of Iowa receive through these federal transit assistance programs. The SMP notes that to this end:

- The Public Transit Bureau has integrated the administration of these programs as much as possible, while remaining true to the separate goals established for each program at the federal level.
- The department has committed to pass all program funds on to the subrecipient transit systems/planning agencies/intercity bus operators and to pay for state level administrative costs through other sources.
- The department has also sought to partner with Iowa's transit industry to develop a cooperative approach to serving Iowa's citizenry, whether they live in cities or rural areas. While these federal funding programs each have specific purposes, *Iowa has*

added the requirement to all federal and state public transit funds disbursed that all services must be open to the general public.

The Public Transit Bureau also administers state funding programs:

- **State Transit Assistance Program:** By rule for the Iowa STA program, the bulk of the funding through this program is provided by formula to designated public transit systems. The program allows for \$300,000 that is set-aside each year for special projects to improve transit in the state and individual special projects for the purpose of supporting startup of new coordination activities.

Operating projects are eligible for funding up to a maximum of 80 percent state participation for the first year and 50 percent state participation for the second year. Capital projects are eligible for funding up to a maximum of 85 percent state participation. Priority is given to projects that include a contribution from human service agencies.

- **Public Transit Infrastructure Grant (PTIG) Program:** This program includes new construction, reconstruction/major renovation and relocation of facilities. Projects may include:
 - Facilities for the administration of public transit operations
 - Facilities for servicing
 - Maintenance or storage of public transit vehicles
 - Transit vehicle fueling facilities
 - Passenger waiting facilities
 - Reconstruction/major renovations or relocation of existing administrative
 - Maintenance facilities to correct violations of safety or design standards
 - Projects may include all associated design, land acquisition, grading and foundation work

Organization

The Public Transit Bureau is located within the Planning, Programming, and Modal Division that is responsible for developing transportation system plans, coordinating planning activities with Metropolitan Planning Organizations and regional planning affiliations, and conducting public involvement efforts.

Staffing

The Public Transit Bureau is currently staffed by the following positions:

Grant Program Administrator

This position is responsible for the oversight of all transit programs, development of the State Transportation Improvement Program's transit element, administration of the federal grants application process, and administration of the Public Transit Equipment and Facilities Management System (PTMS).

Transit Programs Administrator / Statewide Mobility Coordinator

This position serves as the administrator for eighteen of Iowa's 35 public transit agencies. It also manages a network of urban and rural mobility coordinators throughout the state and serves as a resource where a local coordinator is not present.

Compliance and Training Officer

This position is responsible for conducting compliance reviews of Iowa's public transit systems, providing identified training needs to transit systems and staff, reviewing passenger transportation plans, and serving as chair of the Iowa Transportation Coordination Council.

Grants Manager

The Grants Manager position is responsible for post-award management of the department's grants from the FTA and monitoring and implementation of state grants. This position serves as the office specialist on the FTA Drug and Alcohol Testing Program and the transit Disadvantaged Business Enterprise (DBE) program.

Transit Programs Administrator

This position provides technical assistance and oversight of awarded projects, issues payments and ensures compliance during the contract period, oversees the Intercity Bus Assistance Program and serves as a Procurement Specialist.

Technology and Research Manager

The Technology and Research Manager is responsible for implementing special projects, preparing discretionary bus grant proposals, reviewing and monitoring legislative issues, conducting research on transit specific topics, managing the Iowa Rideshare program, vendor relations, and evaluating the most current technologies available for use in public transit.

Administrative Support Position

This position is responsible for the administration of the Iowa Public Transit Fellowship Program, state transit training assistance, contract issuance and tracking, and general office support.

Legislation

Iowa has long emphasized the need for coordination of publicly funded passenger transportation services to maximize the transportation benefits that can be achieved with limited resources. In order to accomplish this:

- State law requires all agencies providing or purchasing publicly funded passenger transportation services to coordinate such services and funding through urban or regional transit systems designated by local officials in accordance with Chapter 324A of the Code of Iowa.
- Each designated transit system is responsible for coordination of all publicly funded passenger transportation, thereby making all transit systems eligible for funding under the FTA 5310 program.
- All services provided by Iowa transit systems, with the support of state or federal transit assistance, are required to be open to the general public. (For this purpose, complementary ADA paratransit is looked as a required part of fixed route service.)
- Chapter 324A provides that the Iowa DOT is responsible for designating the state's urban transit systems, while the counties within each region are responsible for designating an entity to serve as the regional transit system.
- Iowa Administrative Code 761-910.3(2) established the Iowa Transportation Coordination Council. The ITCC's codified purpose is to assist in determining if local agencies are complying with the coordination mandate of Chapter 324A. More information on the ITCC is provided in the Advisory Committee section.

Urban Transit Systems

The administrative rules implementing Chapter 324A provisions on the designation of urban transit systems require each urban transit system to serve a community of at least 20,000 people:

- 19 urban transit systems have been designated, with four of these being in urbanized areas over 200,000 population, eight in urbanized areas between 50,000 and 199,999 population and seven in small urban areas of between 20,000 and 49,999 population.
- Collectively the urban systems serving all or part of an urbanized area are referred to herein as "large urban transit systems," while those outside urbanized areas are termed "small urban transit systems."

It should be noted that (in the bullets on the previous page) these are Iowa program definitions².

Regional Transit Systems

Chapter 324A divided the state's 99 counties into 16 multi-county public transit regions, and provided that a single agency should be designated by the counties within each region to be responsible for the administration and provision of all transit services in the region not performed by one of the 19 designated urban transit systems.

Consolidated Transit Funding Application

Iowa's Consolidated Transit Funding Application serves as the single multi-part application for funding by subrecipient transit systems under Iowa's statewide sections 5310, 5311, and 5339, and CMAQ grants. Iowa's Consolidated Transit Funding Application is used by all transit agencies to apply for STA funds and federal funding. The application packets are posted online in December and are due to the Public Transit Bureau by the first business day of May each year. If significant balances of funding remain uncommitted in any of the statewide funding programs for which the Iowa DOT has responsibility, a midyear solicitation is made for additional applications to ensure eligible agencies have the opportunity to use the funding available.

The consolidated application requests information on expected direct-funded federal transit assistance grants for large urban transit systems under the section 5307 program, along with the 5310 program for transit systems serving areas with a population greater than 200,000. Small urban and regional transit systems, along with the Des Moines Area Regional Transit Authority (DART), a rural provider in Polk County, use this process to apply for state administered federal transit assistance under the section 5311 program.

Any individual projects from the section 5339 capital program for all transit systems are included in the consolidated transit funding application process. Individual earmarks for capital projects for all transit systems are also included.

Federal Funding: Project Selection Criteria and Method of Distributing Funds

Each year 70 percent of the section 5310 apportionment to Iowa is sub-allocated to Iowa's large urban transit operators, using the same formula as is used for the 5311 program. Each system can use these funds for any eligible project. The remaining 30 percent of the annual

² FTA program definitions use the Census designation of Urbanized Areas with populations between 50,000 and 200,000 as Small Urban systems, and those over 200,000 as Large Urban systems—all funded under the section 5307 program. There is no FTA funding program designation of "small urban transit systems" under 50,000 population—all transit programs outside of Urbanized Areas are categorized together as eligible for funding under the section 5311 program.

apportionment is administered in conjunction with the state's section 5311 funding, meaning that the combined funds are sub-allocated using a single formula.

- The formula to distribute section 5310 funding takes annual ridership and revenue miles into account, assuring an equitable distribution of the funds based on past performance. The transit systems may each select any eligible project on which to use their allocation. For convenience of administration, the 5310 funds involved are focused on as few systems as possible and are programmed to support the cost of contracted services for brokered operations which indicated a desire to use their funds for support of service costs.
- Funds for public transit projects are allocated among Iowa's regional and small urban transit systems based on a performance-based formula, which uses the statistics from the last completed fiscal year. The formula calculations are based on the total section 5311 funding going to public transit projects.
- The Public Transit Bureau determines which type of funds each transit system receives, based on the nature of the projects programmed. Section 5310 funds are targeted to systems that purchase services from sub-providers, and section 5311 funds are targeted first to systems that provide their services directly. Each subrecipient makes their own selection of eligible projects toward which to program the funds.

STA Program Funding: Project Selection Criteria and Method of Distributing Funds

The rules for Iowa's STA program stipulate that the bulk of the funding goes out by formula to the designated public transit systems. It provides that \$300,000 be set aside each year for special projects to improve transit in the state of Iowa. Individual special projects for the purpose of supporting startup of new coordination activities. This is in addition to the continuing use of these funds for statewide or emergency projects, and funds not needed for special projects can still be moved into the formula portion of the program.

Special projects are intended to help transit systems respond to needs identified by human service agencies, with preference given to projects involving match coming from the human services side. Projects must involve open-to-the-public services. Projects would allow start-up funding, until the services have a chance to be reflected in the STA formula. Applications are reviewed with the Iowa Transportation Coordination Council and may be submitted anytime during the year.

PTIG Program Funding: Project Selection Criteria and Method of Distributing Funds

Transit systems designated under Iowa Code Chapter 324A are eligible to apply for public transit infrastructure projects. State share is up to 80 percent with a maximum of 40 percent of the total state appropriation. Combined state and federal funds cannot exceed 80 percent

of the total transit cost. Local participation is considered when prioritizing projects. Both new and rehabilitation projects will be funded each year. Projects must be obligated within six months of contract execution and completed in eighteen months.

Advisory Groups

Public Transit Advisory Council

The Public Transit Advisory Council (PTAC) represents Iowa public transit agencies regarding all of Iowa public transit funding and policy issues. The PTAC meets quarterly during the year.

Council membership includes public transit professionals from regional, small urban (20,000 to 49,999 population), large urban (50,000 to 199,999 population), and urban transit systems (200,000+ population)³. Members are appointed by the Public Transit Bureau (with vacancies filled using recommendations from current PTAC members) and serve a term of three years and no more than four terms.

Iowa Transportation Coordination Council

In 1976 the Iowa Legislature adopted the first-in-the-nation coordination law, with a compliance review process added to the legislation in 1984. At that time, an Ad Hoc Interagency Advisory Committee was formed to develop administrative rules for coordination. The Iowa Transportation Coordination Council (ITCC) was created in 1992 with original members including the Iowa Department of Transportation, the Iowa Department of Human Services, and the Iowa Department of Elder Affairs. The ITCC mission is to provide statewide leadership on transportation coordination to improve the mobility of Iowans.



Subsequently the ITCC was expanded, and now includes membership from statewide organizations, state departments, and federal groups. Today, the ITCC's membership consists of many state level agencies and non-profit groups all with an interest in coordination of transportation in Iowa.

Chaired by the Public Transit Bureau, the ITCC meets bi-monthly discussing such issues as mobility management, accessibility of transportation in Iowa, STA Special Project Proposal applications pertaining to coordination, and the encouragement of state and local agencies' involvement in the passenger transportation planning process.

³ These classifications are based on Iowa statute definitions under Iowa Code Chapter 324A, not FTA program funding classifications.

Compliance

The Public Transit Bureau has the responsibility to ensure that transit systems receiving federal funding administered by the bureau comply with civil rights requirements. In this effort the Public Transit Bureau oversees the following procedures:

- Joint participation agreements with FTA-funded subrecipients contain assurance clauses that transit agencies sign verifying compliance.
- Each section 5310 or 5311 transit system must file, on a one-time basis, a signed and dated standard DOT Title VI assurance and update it as necessary when changes occur.
- Annually section 5310 and 5311 transit systems must submit a local civil rights assurance. This is submitted as part of the annual grant application.
- Section 5310/5311 transit agencies are required to report any civil rights complaints or pending lawsuits related to FTA funded activities and the outcome, as part of the annual funding application. All contracts with sub-providers and other contractors must also include nondiscrimination clauses.

The Transit Manager's Handbook and Policy Manual provided by the Public Transit Bureau (discussed in the later Technical Assistance section) includes a chapter that details the civil rights requirements for federal subrecipients.

Planning

The Transit Manager's Handbook and Policy Manual includes a chapter on planning, noting the importance of the transit planning process to determine a community's or region's current and future needs and to choose the best match between those needs and the available resources. This resource provides extensive information on the legislated intermodal transportation planning processes. It notes that the best planning processes also integrate transit planning with human services planning, as well as planning for other community services.

The Public Transit Bureau recognizes that how the planning process is carried out and how successful it could be varied regionally. However, a basic structure and basic elements that are common to transportation planning in Iowa are detailed in the Transit Manager's Handbook and Policy Manual and include the role of MPOs and Regional Planning Affiliations (RPAs) in the planning process.

Passenger Transportation Plan (PTP)

Any projects utilizing FTA section 5310 funding must be derived from a coordinated human service and passenger transportation planning process. In Iowa, that coordinated plan is called the PTP. Iowa's MPOs and RPAs are responsible for this process and the writing of the PTP. While not all transit systems in Iowa are eligible to receive section 5310 funding, the Passenger Transportation Plan is required of all planning agencies in cooperation with their local public transit and human service agencies as there is benefit to coordinating passenger transportation no matter the funding source. PTP updates are due every five years. To assist with the development and updating of PTPs the Public Transit Bureau provides specific guidance, available at: https://iowadot.gov/systems_planning/pr_guide/Passenger_percent20Transportation_percent20Plan/PTPguidance.pdf

Technical Assistance to Subrecipients

Transit Manager's Handbook and Policy Manual

The Public Transit Bureau provides local transit managers with a handbook that offers an overview of public transit in Iowa, and how to conduct business with Iowa DOT and the Public Transit Bureau. The handbook is intended to be a tool to assist with navigating the many policies, procedures and requirements of state and federal government. The handbook also notes that it can be used to provide orientation for new personnel; to help clarify the relationships and required procedures for existing personnel; and to provide easier accessibility to regulations and procedures.

The handbook includes sections on:

- Funding programs
- Planning
- Reporting requirements
- Procurement
- Capital management
- Vehicle operations
- Civil rights compliance
- Drug and alcohol regulations

The handbook is available at: <https://iowadot.gov/transit/handbook/TMHandbookBinder.pdf>

Rural Transit Assistance Program Administration

The Public Transit Bureau administers Iowa's RTAP, through which the program provides various resources, sponsors fellowships, and conducts or coordinates transit training sessions for the transit community. Iowa RTAP features:

- Marketing and advocacy assistance to help transit systems in their effort to increase public awareness and ridership. Assistance includes brochures and marketing materials.
- Training seminars ranging from mini workshops to multi-day courses on such issues as customer service, management, ADA, drug and alcohol program compliance, procurement or planning. All sessions are offered to Iowa public transit systems and transit planning agencies free of charge or for a nominal registration fee.
- A Lending Library through which public transit systems in Iowa may access training videos purchased using RTAP funds to aid transit managers and their staff in development and refinement of specific tasks or skills required to effectively operate a rural transportation system.
- Iowa Transit Training Fellowship Program that sponsors training for identified Iowa public transit agencies or planning agencies. Transit-related training may be in person at conferences, courses, or seminars or the training may be online through e-learning and webinar opportunities.

Iowa Public Transit Association (IPTA)

IPTA's mission is to unify, advocate, and advance the interests of Iowa transit systems to influence and gain support from government agencies, legislators, and other entities. Their mission is also to support the professional development and improvement of members and their systems by providing industry information, training, technical assistance and other opportunities for networking, collaboration, and sharing of ideas and best practices.

IPTA/Iowa DOT Transit Training Conferences

Iowa DOT contracts with the IPTA to hold a minimum of three transit training conferences each year, which are open to all Iowa public transit systems—urban and rural. These conferences are funded by RTAP and State Transit Assistance with no or minimal registration fees. Sessions are offered on a variety of topics to meet the interest of all systems, large and small. At least once each year, an expo is included in the training sessions that offers an exhibition of vendors and manufacturer representatives.

IPTA/Iowa DOT Transit Rodeo

The Iowa DOT and IPTA sponsor an annual Transit Rodeo to promote and provide recognition for safe driving skills by Iowa's public transit vehicle operators. Transit operators from around the state meet at the current year's host site to compete and demonstrate their safe driving skills. Each operator performs a series of maneuvers that represent many of the actual situations they face as they carry out their daily duties. Funding for the rodeo is provided through RTAP and STA.

Capital Needs

Transit Asset Management Plans

The Public Transit Bureau is the Transit Asset Management (TAM) group plan sponsor for 23 Iowa public transit systems who are all recipients of section 5311 funding. Sixteen of these are regional agencies that primarily serve Iowa's rural populations, and seven are small urban systems that serve areas with populations of less than 50,000.

The Public Transit Bureau, through this planning process, periodically assesses the current condition of capital assets for each group participant, determines the condition and performance of its assets, identifies unacceptable risks, and provides guidance and technical assistance to group participants to decide how to best balance and prioritize reasonably anticipated funds towards improving asset condition.

The Public Transit Bureau is also responsible for setting annual performance targets on behalf of group plan participants and submitting to FTA and to the National Transit Database (NTD). Transit agencies can choose to decline group plan participation and develop their own TAM plan and performance targets.

The Iowa DOT TAM Group Plan is available at:

<https://iowadot.gov/transit/publications/TransitAssetManagementGroupPlan.pdf>

Procurement

The Public Transit Bureau is responsible for ensuring that all state and federal requirements pertaining to public transit procurement are followed when using funds administered by the Iowa DOT. Transit systems may conduct their own procurement, to allow greater flexibility to meet local needs, but the Public Transit Bureau verifies that all certifications being used in the solicitation are current and accurate.

Iowa DOT conducts bids on behalf of Iowa's 35 designated public transit agencies, state of Iowa governmental agencies, and state board of regents. Currently, state contracts are available for local transit systems to procure the following capital items:

- Public Transit Vehicle/Shelter Advertising (one available vendor)
- ADA Accessible Van/Light Duty/Medium Duty Vehicles (five available vendors)
- ADA Accessible Heavy-Duty Vehicles (four available vendors)

Mobility Management and Coordination

Iowa has a long history of transportation coordination, going back to 1976 and now legislated through Iowa Code Chapter 324A and is overseen by the ITCC. Current ITCC membership

reflects a blend of state agencies, statewide human service interests, public transit, and planning representatives. In addition to the Public Transit Bureau the ITCC includes:

- Iowa DOT Office of Systems Planning
- Iowa DOT Motor Vehicle Division
- Iowa Department on Aging
- Iowa Department of Human Services
- Iowa Public Transit Association
- Iowa Medicaid Enterprise
- Iowa Department of Corrections
- Iowa Department of Public Health
- Iowa Developmental Disabilities Council
- Iowa Vocational Rehabilitation Services
- Iowa's MPOs and RPAs
- Iowa Mobility Manager's Network
- AARP Iowa
- Access2Care
- American Cancer Society
- Bureau of Refugee Services
- Epilepsy Foundation Iowa
- Public transit advocates and consumers

The ITCC reviews the required biennial report to the Iowa General Assembly and Governor. The report is due in December of even-numbered years and recommends methods to increase transportation coordination and improve efficiency of federal, state, and local government programs used to finance public transit services and may address other topics as appropriate. The 2016 report is available at:

http://www.iowadot.gov/transit/regulations/Transportation_Coordination_2016.pdf

Work on the ITCC agendas, meetings, and projects is done by Iowa DOT staff as part of their regular job duties and is paid for as part of their regular salaries. No special funding is set aside for ITCC work.

Mobility Coordinators

As noted in the staffing for the Public Transit Bureau, a Statewide Mobility Coordinator position manages a network of urban and rural mobility coordinators throughout the state. Mobility Coordinators focus on meeting individual transportation needs by identifying transportation options and service providers, while offering education on how to use public transportation. They also educate local communities and enhance awareness of available mobility options and play an important role in travel training.

Support for Intercity and Regional Services

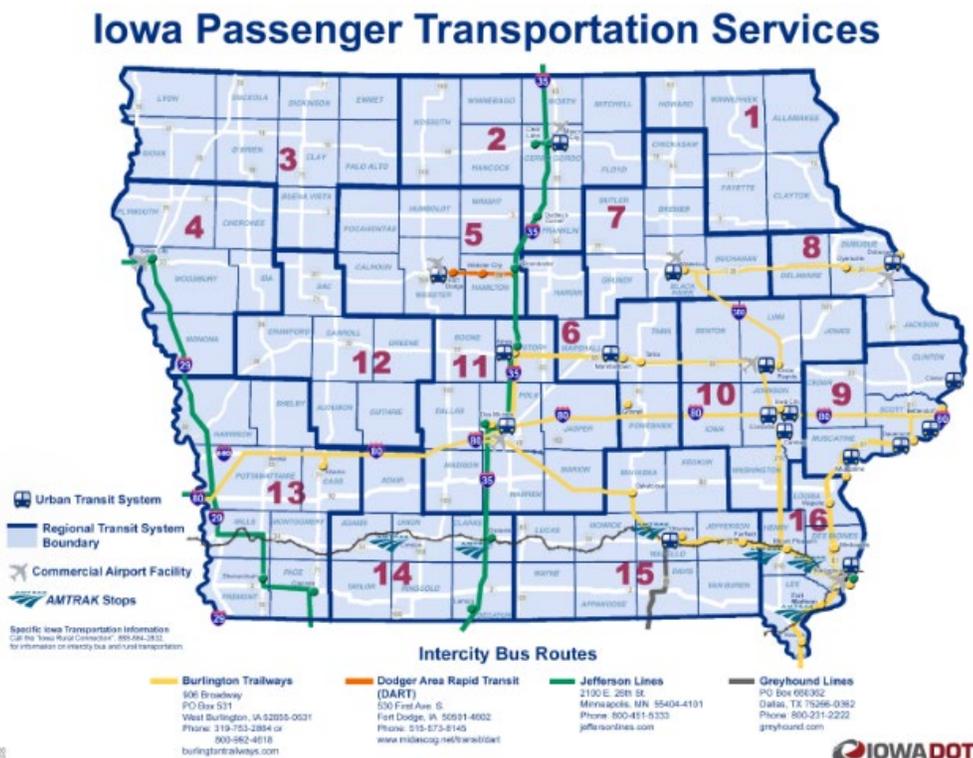
Iowa Intercity Bus Assistance Program

The Public Transit Bureau administers the federally funded Iowa Intercity Bus Assistance Program. The intent of the program is to maintain the viability of intercity bus service in the state of Iowa. A map of the current intercity bus system is shown in Figure 8.

The Iowa Intercity Bus Assistance Program purpose is to:

- Provide support for the existing intercity bus routes that tie Iowa to the rest of the country.
- Provide assistance for new feeder routes that will give smaller communities not served by the existing routes access to stops along those routes.
- Increase public awareness of the intercity connections that are available through a targeted intercity bus marketing program.
- Help providers to upgrade equipment and facilities, including adding accessibility features required by the ADA.

Figure 8: Iowa's Intercity Bus Routes



The Iowa Intercity Bus Assistance Program addresses these elements within the context of the federal program guidance that defines intercity bus service.

Eligibility

The Iowa Intercity Bus Assistance Program is open to:

- Private intercity bus companies
- Firms wishing to start intercity bus service
- Public transit agencies either operating or proposing to operate intercity bus services or terminals
- Local communities wishing to support intercity bus connections to their community

Joint public and private applications are encouraged. If identical proposals are received from public and private providers, the private sector proposals shall generally be considered more favorably.

Proposed projects must directly support the provision of intercity bus services in Iowa.

Eligible routes must serve Iowa intercity bus terminals connected to the nationwide intercity bus network and include stops in nonurbanized areas.

Project Priority

The following funding categories have been established for the Iowa Intercity Bus Program. These categories are listed in priority order:

Priority 1 - Provide a base level of funding support to preserve the existing intrastate system:

- Funding will be approximately 20 cents per revenue mile based primarily on preventive maintenance and insurance costs.
- Funding will be allocated based on existing miles of Iowa intercity service.
- To qualify for these funds, carriers must provide quarterly reports noting the number of Iowa passenger trips by route, miles of revenue service, and total cost per revenue mile.
- Eligible carriers must serve Iowa intercity bus terminals connected to the nationwide intercity bus network.

Priority 2 - Provide support for the development of new connector/feeder service:

- Funding assistance shall be up to 50 cents per mile based primarily on preventative maintenance and insurance costs. Funding for new routes that duplicate existing route shall be limited to 50 cents per mile.
- New service projects are eligible for funding for three years.
- To qualify for these funds, carriers must provide quarterly reports noting:
 - Number of Iowa passenger trips by route
 - Miles of revenue service
 - Total cost per revenue mile
- Eligible carriers must serve Iowa intercity bus terminals connected to the nationwide intercity bus network.
- New intercity bus service must be ADA accessible and each route must include service to nonurban population centers.

Priority 3 - Provide funding assistance for route specific marketing projects:

- Marketing of new services will have the highest priority for this category of funding.
- Marketing of new routes will be funded at 80 percent federal and 20 percent non-federal, with a federal cap of \$12,000 per route.
- New marketing of existing service will be funded at 80 percent federal and 20 percent non-federal, with a federal cap of \$7,500 per carrier.
- Joint project development between cities, intercity carrier terminal managers, and operators is encouraged.
- Funding will be limited to external non-labor costs only.
- Applicants should include a systemwide overview of their current marketing efforts.
- Applicants with unused marketing funds may have their marketing funding requests reduced or eliminated unless proper justification is provided. Justification should include reasons why funding is unspent plus a plan that assures the balance and any additional funding will be spent in a timely manner.

Priority 4 - Provide support for vehicle and bus terminal improvements:

- Vehicles required to support new services for Iowa will have the highest priority for funding, and terminal improvements will have the next highest priority.
- Terminal improvements shall require commitments to continue service for a period of years, based on useful life of facility. All improvements must meet ADA accessibility standards.

Matching Funds

The non-federal share of projects is to come from resources other than passenger revenues from intercity bus services. This can include advertising or parcel revenues, interest income, state or local public funds.

Funding Distribution

All project funds are paid on a cost reimbursement basis. Costs and funding sources must be documented for work performed before payment can be requested. Mileage-based projects shall require documentation of service mileage and cost per mile for preventive maintenance (per FTA definition), insurance or other specifics as noted in the project. State utilization of section 5311(f) to maintain connections between rural areas and urban centers.

Technology

In the past Iowa DOT has developed a transit intelligent transportation system (ITS) plan, intended to provide a means for local transit systems in the state to utilize ITS applications that support transit operations. This plan assesses current conditions in regard to technology, discusses the potential costs and benefits, and provides potential ITS strategies.

KANSAS DEPARTMENT OF TRANSPORTATION – OFFICE OF PUBLIC TRANSPORTATION

Kansas Program Key Take-Aways for Oklahoma

Kansas Coordinated District Council: The State Legislature established ten Coordinated Transit Districts (CTD), which serve as the administrative structure across the state for the purpose of providing financial and administrative assistance to transportation systems. In order to receive state and/or federal transit funds, recipients are required to become a part of a CTD.

- The Kansas Coordinated Transit District Council (KCTDC) is an advisory group to the KDOT Division of Planning and is comprised of a representative of all ten CTDs. This group helps KDOT review all applicable grant applications as well as assisting in regional coordination and mobility management functions.

State funding support: Kansas has a state transit funding program (Access Innovation Collaboration Program) designed to give recipients more flexibility and innovative approaches than may be possible through the use of FTA grant programs only.

- The goal is to broaden the range of possible projects through the use of state funding.
- The program includes bus replacement, rehab and purchase; bus related equipment; bus facilities; pilot programs and limited operations. Eligible applicants include local governments, transit providers, tribal nations and non-profit agencies.
- The state allows flexibility in the use of section 5310 funds that is compliant with FTA regulations and guidelines but more expansive than what is currently administered in Oklahoma. This includes up to \$10,000 for operations for systems up to ten vehicles and \$20,000 for systems over ten vehicles.
- KDOT has a group insurance pool available to all subrecipients if desired which helps lower the cost of insurance through economies of scale.

Mobility management: Kansas is implementing a new statewide mobility management system which has a mobility manager in each CTD.

- Each CTD must agree to support a Mobility Manager, and an agency in that CTD must offer to be that person's host agency before KDOT will consider placement. Funding for the first year of a CTD Mobility Manager is covered 100 percent (KDOT covers the local match for the first year). Thereafter, the mobility manager is responsible for ensuring that there are enough local funds to match for year two, and every year thereafter.
- KDOT plans for a board of directors to be created and comprised of those member jurisdictions that financially back the Mobility Manager for their region. This board will be responsible for developing the position description, scope of work, budget (which must be approved by KDOT annually), and ongoing guidance for the Mobility Manager.

Governance and Funding

In Kansas the administration of federal and state transit funding is provided by the Kansas Department of Transportation's (KDOT) Office of Public Transportation. This office is located in KDOT's Division of Planning and Development.

The mission of the Kansas Department of Transportation is to provide a statewide transportation system to meet the needs of Kansas.

To accomplish its mission, the Office provides financial and technical assistance to public transit systems, local governments, and human service agencies throughout the state for the planning, establishment, and operation of public transportation systems. As the agency designated to administer the sections 5310, 5311, and 5339 programs in Kansas, KDOT is responsible for allocating the funds to urbanized and non-urbanized areas of the state in a fair and equitable manner, as well as ensuring compliance with federal regulations during all phases of the application and funding processes. Annually, KDOT submits to FTA a program of projects for section 5310, 5311, and 5339 programs which are revised as needed.

Organization and Staffing

The Multimodal Planning Division (part of the Division of Planning and Development) oversees public transportation grant administration and compliance in the state. This group has the Public Transit Manager (Assistant Bureau Chief) and five staff members: three Program Consultants, a Transit Planner, and a Public Service Administrator. The Office is also supported by other units within KDOT:

- Office of Contract Compliance
 - Nondiscrimination
 - Title VI
 - Disadvantaged Business Enterprises and Equal Employment Opportunity
- Bureau of Fiscal Services
 - Financial accounting and reporting
 - Payroll processing
 - Vendor payment processing
 - Project accounting and federal-aid billing
 - Procurement
 - Inventory oversight
 - Contract audits
 - Implementation of new funds

The state legislature established ten Coordinated Transit Districts, which serve as the administrative structure across the state for the purpose of providing financial and administrative assistance to transportation systems. In order to receive state and/or federal transit funds, recipients are required to become part of a CTD. A map of the coordinated

transit districts is shown in Figure 9. An organization chart for the Office of Public Transportation is shown in Figure 10.

Figure 9: KDOT Coordinated Transit Districts and Providers

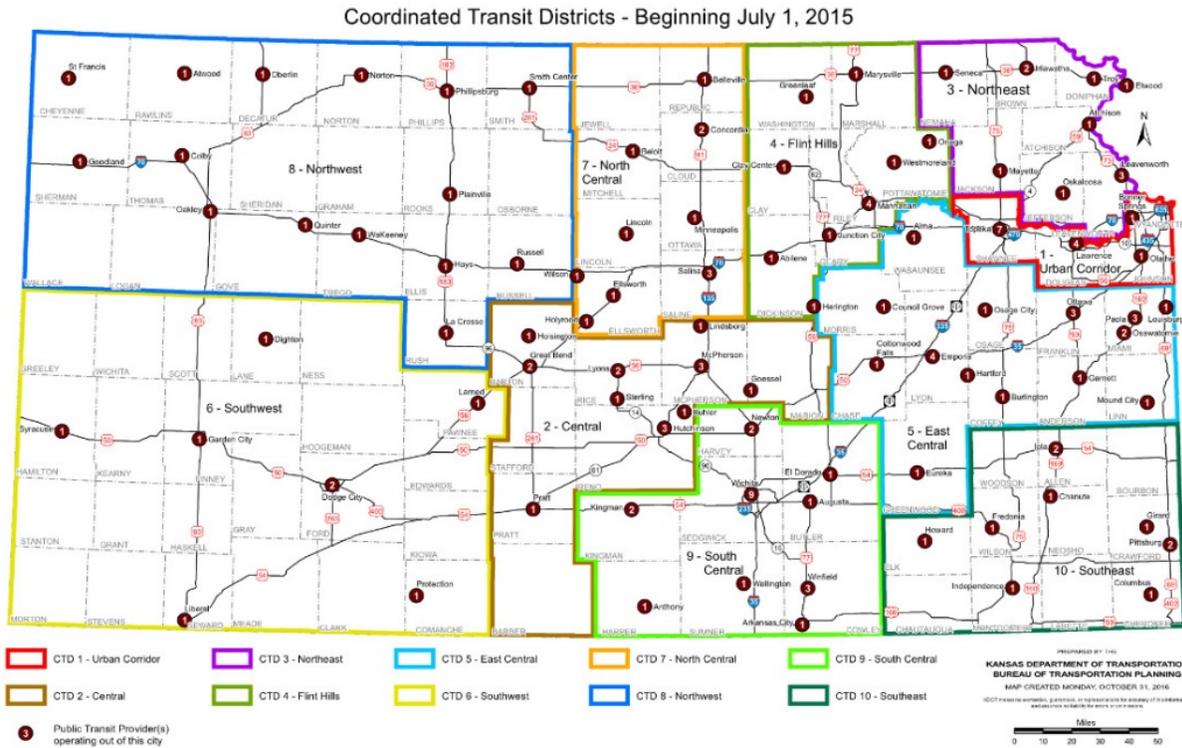
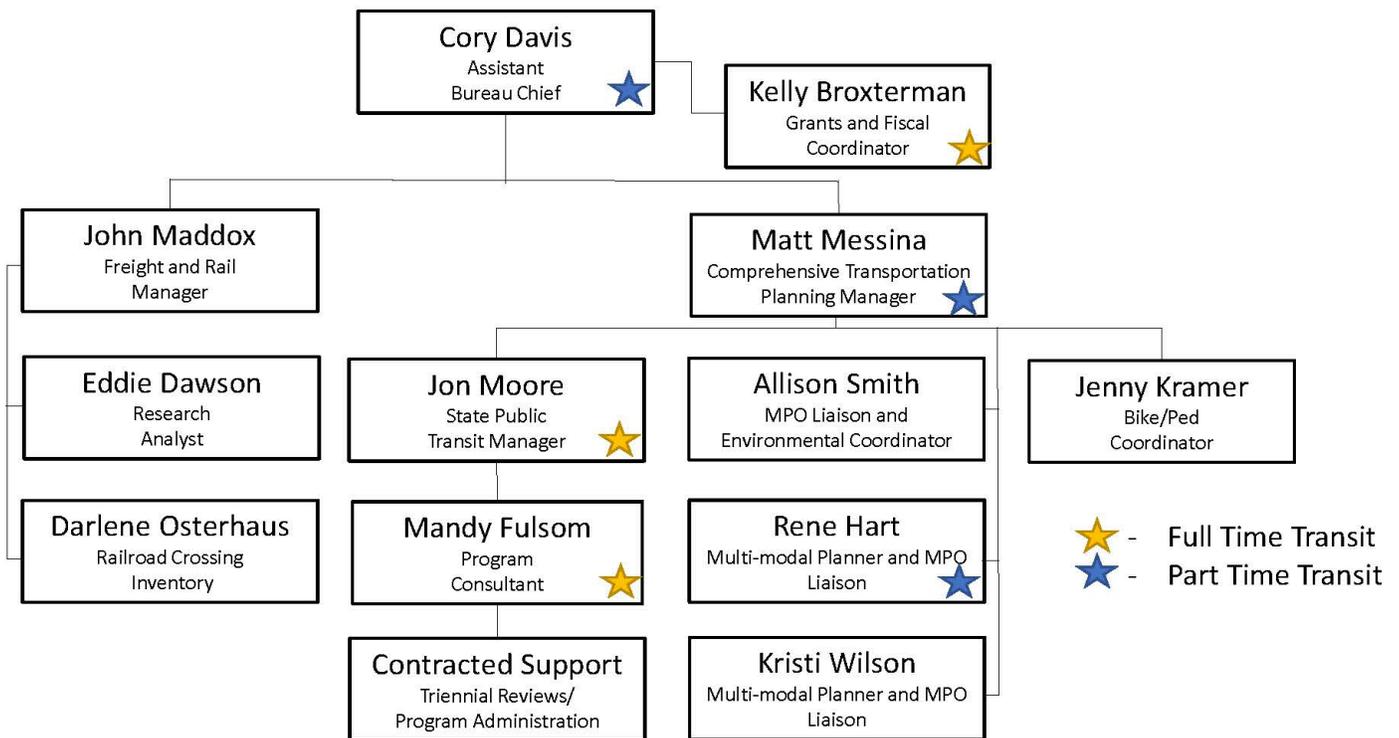


Figure 10: Multimodal Planning Division Organizational Chart

Multimodal Planning



Funding Administration and Allocation Process

The following section highlights key aspects of the KDOT oversight of federal and state transit funding programs.

Kansas Access, Innovation and Collaboration Program

The state of Kansas has a state transit funding program designed to give recipients more flexibility and innovative approaches than may be possible through the use of FTA grant programs only. The goal is to broaden the range of possible projects through the use of state funding. The program includes bus replacement, rehab and purchase; bus related equipment; bus facilities; pilot programs and limited operations. Eligible applicants include local governments, transit providers, tribal nations and non-profits.

KDOT's stated goals of the project include:

- Expand influence on mobility
- Support urban and rural needs
- Enhance user experience
- Streamlining the application process for a range of potential projects with one application
- Enhancing infrastructure and allowing for improved access to transit
- Investing in innovative technology including autonomous transit and electric vehicles
- Expanding efforts in working with private providers and erasing the gap between urban and rural systems

Section 5310 Program

Recipients of section 5310 federal grants must be a member of a Coordinated Transit District. All applicants are encouraged to explore possibilities of coordination with other transportation service providers in the area, who may be able to provide the needed transportation services in order to make the best use of existing resources. For new applicants, KDOT must prove that existing services in the service areas are either unavailable, insufficient, or inappropriate. Private non-profit organizations and local governments are eligible to apply for section 5310 funding.

- Eligible capital expenses:
 - Transit vehicles and associated equipment (wheelchair lifts, ramps, restraints)
- Eligible operating expenses (up to \$10,000 per recipient annually for systems under ten vehicles and \$20,000 for systems over ten vehicles):
 - Drivers
 - Dispatchers
 - Fuel
 - Oil
 - Tires
 - Repairs
 - Vehicle license tags
 - Insurance
- Capital vehicle purchase matching requirement: 80 percent KDOT and 20 percent local match
- Operating Expense Matching Requirement: 70 percent KDOT and 30 percent local match

Section 5311 Program

Recipients of section 5311 federal grants must be a member of a Coordinated Transit District. All applicants are encouraged to explore possibilities of coordination with other transportation service providers in the area, who may be able to provide the needed transportation services, in order to make the best use of existing resources. Eligible applicants include county governments, non-urban (under 50,000 population) city governments, Native American Indian reservations, and private non-profit corporations.

- Eligible capital expenses:
 - Transit vehicles and associated equipment (wheelchair lifts, ramps, restraints)

- Eligible operating expenses:
 - Drivers
 - Dispatchers
 - Fuel
 - Oil
 - Tires
 - Repairs
 - Vehicle license tags
 - Insurance

- Capital vehicle purchase matching requirement: 80 percent KDOT and 20 percent local match

- Operating expense matching requirement: 50 percent KDOT and 50 percent local match (20 percent federal)

Section 5339 Program

Eligible activities include:

- Bus replacement, rehabilitation, or purchase
- Purchase of bus related equipment
- Bus facility rehabilitation, purchase or construction

Because of the complexity of bus facility projects, environmental documentation is required prior to the purchase of property and development of final design plans. Documentation includes site selection, design specifications, traffic analysis, and other locally driven and federally required factors. Eligible applicants include all local governments, transit providers, tribal nations, and non-profit organizations. The maximum federal funding share is 80 percent, while 20 percent of the funding will come from local match. The application form includes:

- Agency name
- Key contact information
- Project information
- Detailed description of the need for the project
- Detailed description on how the project will support KDOT's business model objectives
- Evidence that the applicant can provide the local cash match
- Description of the technical, legal, and financial capacity of the applicant
- Detailed project budget
- Explanation of the scalability of the project
- Details on the local matching funds
- Detailed project timeline
- Submitted package of certifications and assurances

Rural Transit Assistance Program

The Rural Transit Assistance Program is managed by the University of Kansas Transportation Center. Funds are used by non-urbanized transit activities related to training, technical assistance, research, and related support services. There are both state and national support components that provide assistance. The state program provides funding for training and technical assistance, while the national program provides for the development of resources by the local service providers and state administering agencies.

Project Selection and Criteria for Distribution of Funds

The Kansas Coordinated Transit District Council (KCTDC), with KDOT's concurrence, reviews all applications that are received to ensure all program requirements are met. When the project proposal and documentation are acceptable, applications are approved and an opportunity for a public hearing is presented. Applicants must offer the opportunity for public comment as a part of their application. An implementation plan for the program of projects is submitted electronically by KDOT to FTA. The plan includes a schedule of project milestones and estimated completion dates for each milestone, and for the project in its entirety. Any revised schedules are submitted with annual program status reports. Assurances that the applicant will meet federal regulations are then submitted to KDOT. Subsequently, contractual agreements are executed, and funds are encumbered.

KDOT has established a policy whereby support for existing systems and new systems within unserved areas have highest priority for funding under sections 5310, 5311, and 5339. Applications received from areas with existing programs are required to coordinate with existing programs.

KDOT will review and may or may not concur with the KCTDC on their selection of providers to receive 5310 funds on a discretionary basis. If there are existing providers in the area, then any new entity desiring to provide services in the area are referred to the CTD for possible service being provided by a member or members of the CTD. KDOT will, in general, not allow the use of section 5310 funds to replace vehicles that are less than five years old or less than 100,000 miles. Replacement vehicles are given first priority in the distribution of these funds. Fleet expansion is given consideration only if excess funds are available or the service expansion is deemed necessary and appropriate by KDOT staff.

The section 5311 monies continue to remain fairly constant, but the demand for operating subsidies continues to increase. At present, almost all the federal monies in this program are being made available for operating and capital expenses.

CTDs are required to make a request for the following year's operating grant funds. KDOT then allocates the section 5311 funds to each CTD based on their members past expenditure experience. Request for increases in the allocation are given consideration if there are federal funds to cover the increases and if the increases are judged to be needed (section IV of this Plan).

KDOT will, in general, not allow the use of section 5339 funds to replace vehicles that are less than five years old or less than 100,000 miles. Replacement vehicles are given first priority in the distribution of these funds, followed by bus facilities and fleet expansion (which is given consideration only if excess funds are available or the service expansion is deemed necessary and appropriate by KDOT staff).

Any applicant may be denied funding because of facts presented in a public hearing, non-coordination with other agencies in the CTD area, lack of local match money, or not meeting the program requirements, such as failure to allow ridership under section 5311 to the general public, not providing the required reports, duplication of service, poor vehicle maintenance history, lack of ridership, or failure to meet the ADA and drug and alcohol testing requirements.

If a project is denied funding, the applicant may appeal to the KDOT Office of Public Transportation. KDOT would then examine all documentation and base its decision on facts presented by the KCTDC and the project. If the project was still not satisfied, the project sponsor could ask for a hearing before the Secretary of Transportation according to the Kansas Administrative Procedure Act.

Compliance

The KDOT Division Planning and Development has the responsibility to ensure that transit systems receiving federal funding administered by KDOT and the KCTDC comply with civil rights requirements. In this effort the KDOT oversees:

- Certifications, planning, mobility management and assurances required by the FTA for all grantees.
- Required training for transit providers and their staff.
- Procurement of vehicles, vehicle replacement and annual inspections for safety and compliance.
- Section 5310 and 5311 transit agencies are required to report any civil rights complaints or pending lawsuits related to FTA funded activities and the outcome, as part of the annual funding application. All contracts with sub-providers and other contractors must include non-discrimination clauses.

The Transportation Policy Manual details all of the compliance regulations and guidelines for providers.

Planning

KDOT has placed an emphasis on statewide, regional and local coordination and planning. The Kansas Legislature mandated in 1992 states that all section 5310 and 5311 subrecipients must be part of a CTD. The purpose of the CTDs is to enhance coordination and management of all state and federal public transportation funds.

Some of the responsibilities of the CTDs are:

- Contracting with KDOT for receipt of state and federal funds which will enhance transportation coordination among the providers in each district.
- Provision of transportation services or subcontracting with eligible agencies.
- Monitoring the provisions of transportation services in the districts to ensure compliance with applicable state and federal regulations and laws.

In addition to establishing CTDs, KDOT will continue to meet regularly with the Kansas Department for Aging and Disability Services, Kansas Department for Children and Families, and the Kansas Commission on Disability Concerns to discuss issues which are germane to providing transportation services to elderly persons, persons with disabilities, and the general public.

Section 5310 projects in urbanized areas will submit with their applications copies of notifications to any area Metropolitan Planning Organizations, and a statement of their intent to apply for capital assistance for inclusion on the TIP.

Each CTD has developed a local coordinated human service transportation plan and will begin to implement the plan in the next year with goals being set to be accomplished in the next three years. These plans will be reviewed and updated as necessary to reflect the changes in the communities and the changes within the regulations of the programs. KDOT develops an executive summary of statewide coordinated planning efforts once all CTDs have completed their plans.

Federal funds to be used for transit projects must be included in a Statewide Transportation Improvement Plan (STIP), which generally covers three program years. Examples of areas for planning would be for vehicle acquisition, transportation services, operating assistance, intercity bus projects, facility construction, state administration, and training and technical assistance. Metropolitan planning organizations are responsible for planning and programs in metropolitan areas. Coordination must occur between the MPOs and local transit providers when servicing areas. KDOT will consider coordination efforts when approving projects. Potential section 5310, 5311, and 5339 projects that are being proposed within the MPO's current planning area boundary, which may include areas that are currently non-urbanized, must be included in the MPO's TIP and subsequently in KDOT's STIP.

Technical Assistance to Subrecipients

Rural Transit Assistance Program

RTAP in Kansas has functions and responsibilities beyond what is discussed in the governance and funding section (above). One function of the Kansas Rural Transit Assistance Program is to ensure all transportation providers receiving Federal Transit Administration grant funding through the Kansas DOT Office of Public Transportation are consistently receiving quality training so they can provide safe, reliable, and equitable transportation to all Kansans.

Kansas RTAP has a trainer on staff who travels to agencies and locations across the state to train drivers. Kansas RTAP has developed a "core" curriculum of three courses offered multiple times each year: Defensive Driving, Passenger Assistance, and Evacuation Procedures. Additional courses are offered based on recommendations of the Kansas RTAP staff trainer, KDOT, or as requested by the Coordinated Transit District administrators and agency managers. The courses offered by Kansas RTAP are supplemented by training from approved trainers at agencies across the state through the Kansas Approved Trainer program.

The RTAP program, in cooperation with KDOT and a local host agency, hosts the annual Kansas Bus Roadeo. The Roadeo is an opportunity for drivers that have already attended all required trainings a chance to hone their skills, meet their peers, and compete for the title against drivers from across Kansas. The Roadeo is considered a training event, but it does not count toward the required trainings every driver needs unless they have already taken all necessary RTAP trainings as required.

Kansas Local Technical Assistance Program (LTAP)

The Kansas Local Technical Assistance Program services are developed primarily for local public works agencies and their employees and to consultants and contractors who provide services for local governments. Services include a newsletter, in-person and webinar training, a video and public resource library and technical assistance. Kansas LTAP receives support from the FHWA, KDOT, and the University of Kansas.

Capital Needs

Transit Asset Management Plans

Agencies that own, operate, and manage capital assets used to provide public transit and also receive federal financial assistance are required to develop a transit asset management (TAM) plan in order to meet federal requirements. KDOT develops a TAM Group Plan, which includes all section 5311 program subrecipients in Kansas, as well as the section 5310 program-funded specialized transportation systems that provide public transportation.

The Kansas TAM Plan includes discussion on the inclusion of an asset management system into existing project selection matrixes. The TAM Plan includes a section on the KDOT Group Plan, which focuses on how to decrease the burden of reporting for smaller transit agencies.

Procurement

For capital purchases, the Kansas CTD Council, in collaboration with KDOT, prepares vehicle specifications for each type of vehicle. The KCTDC distributes a Notice to Bid to all vendors on a comprehensive vendor mailing list. Bids are tabulated and a low bid is accepted if all requirements are met. The KCTDC and KDOT assists subrecipient agencies in preparing purchase orders for the vehicles. Vehicles are delivered to the provider where a post-delivery inspection is performed by the provider. Payment of the vehicles (federal/state share) is in the form of a check made out jointly to the grantee and the manufacturer. KDOT does not order or purchase vehicles. The subrecipient orders and purchases all vehicles using the costs from the courtesy bid, which are incorporated by reference on the purchase orders. The manufacturers have agreed to the KCTDC that they will abide by their courtesy bids. Vehicle vendors must submit all certifications as part of their bid submittal and meet all requirements as set forth by the FTA. Subrecipients are responsible for pre-award and post-delivery audits. Pre-award audits are conducted by the KCTDC on behalf of the subrecipients. Subrecipients are responsible for maintaining all supportive documentation in their files.

Mobility Management and Coordination

KDOT has begun to develop a network of Mobility Managers to assist the Coordinated Transit Districts, local organizations, providers, and the general public in promoting transit service in

their respective region. This program is quite new in Kansas and the DOT is still developing performance measures, scope, and work product of a successful manager.

KDOT has placed a Mobility Manager in each of the ten CTDs across the state. Each CTD must agree to support a Mobility Manager, and an agency in that CTD must offer to be that person's host agency before KDOT will consider placement. Funding for the first year of a CTD's Mobility Manager is covered 100 percent (KDOT covers the local match for the first year). Thereafter, the mobility manager is responsible for ensuring that there are enough local funds to match for year two, and every year thereafter.

KDOT plans for a board of directors to be created and comprised of those member jurisdictions that financially back the Mobility Manager for their region. This board will be responsible for developing the position description, scope of work, budget (which must be approved by KDOT annually), and ongoing guidance for the Mobility Manager.

Mobility Managers are required to submit an annual report to KDOT, outlining their work activities, achievements, a Strengths, Weaknesses, Opportunities and Threats (SWOT) analysis, and performance measures. This data, both qualitative and quantitative, will be used to develop a data source to track progress over time.

Support for Intercity and Regional Services

Utilization of Section 5311(f) for Intercity Services

Under section 5311(f), the state of Kansas has set aside 15 percent of the 5311 apportionments for the development and support of intercity bus transportation.

KDOT is involved in identifying rural intercity transportation issues in the state, and in developing a program implementation strategy based on the anticipated resources to support rural intercity service enhancement. KDOT consults with intercity bus providers and other interested parties to determine intercity transportation needs and potential interested parties. KDOT advertises availability of funds for the section 5311(f) program utilizing the same sources that are used for the sections 5310, 5311, and 5339 programs. KDOT ensures that intercity bus providers are made aware of open applications and potential priority intercity corridors.

The KDOT consultation process is as follows:

- KDOT staff identifies potential intercity bus providers in Kansas.
- KDOT staff consults with potential providers through summits and written communication.

- KDOT provides a call for applications for potential intercity bus providers.
- Results of the KDOT Intercity Assessment Plan are used to determine if intercity needs are being met.
- KDOT staff identifies potential services to serve unmet demand as identified in the Assessment Plan.

Eligible Activities

Assistance under section 5311(f) must support intercity bus service in rural and small urban areas. Section 5311 specifies eligible intercity bus activities to include "planning and marketing for intercity bus transportation, capital grants for intercity bus shelters, joint-use stops and depots, operating grants through purchase-of-service agreements, user-side subsidies and demonstration projects, and coordination of rural connections between small transit operations and intercity bus carriers." This listing does not preclude other capital and operating projects for the support of rural intercity bus service. Capital assistance may be provided to purchase vehicles or vehicle related equipment such as wheelchair lifts for use in intercity service.

Examples of ways in which to use these funds are: improvements to existing intercity terminal facilities for rural passengers, modifications to transit facilities to facilitate shared use by intercity bus and rural transit operators, operating assistance to support specific intercity route segments, and applications of Intelligent Transportation Systems (ITS) technology for coordinated information and scheduling.

Eligible Recipients

Section 5311(f) authorizes KDOT to provide funds to private intercity bus operators in a subrecipient relationship. In some instances, certain intercity bus providers may prefer to maintain a contractual relationship in order to isolate the remainder of their operations from federal requirements related to a grant. KDOT is authorized to use either mechanism to provide assistance to private operators for intercity bus service. In either case, a merit-based selection process is used to ensure that the private operator is qualified, will provide eligible service, can comply with federal and state requirements, and is the best or only provider available to offer service at a fair and reasonable cost.

Technology

As discussed above, the Access Innovation Collaboration Program funded and administered by the state has a focus on technology for transit systems. While the program is being used for a variety of funding opportunities, two projects are currently focused on technology:

- The Flint Hills Area Transportation Agency applied for and received funding through the Bus and Bus Facilities program for multiple projects last year. The agency received funding for surveillance cameras, new transit vehicles, a maintenance vehicle, a four-post lift, and bus stop amenities.
- Johnson County Transit developed a pilot program and is securing funding through the program for a microtransit service.

OHIO DEPARTMENT OF TRANSPORTATION – OFFICE OF TRANSIT

Ohio Program Key Take-Aways for Oklahoma

Supporting local, regional and statewide mobility management: The purpose of the Ohio Mobility Management Program is to increase access to mobility for Ohioans by increasing understanding and awareness of transportation needs, coordination of transportation options to meet needs, and building sustainable and healthy communities by integrating transportation into planning and programs.

- The program supports 28 local and regional mobility managers, primarily funded through the section 5310 program. Mobility managers are housed within different agencies that have taken the lead on coordination efforts, and are a mix of transit systems, planning agencies, and human service providers.
- The program is overseen by a Statewide Mobility Coordinator position located in the Office of Transit that was created in 2017. This position conducts quarterly in-person meetings with local and regional mobility managers, provides resources to enhance and support improved coordination of human service and public transportation, and facilitates a mobility manager training program.

Implementing the Ohio Transit Partnership Program (OTP2): ODOT instituted this program to provide state funds to rural and urban transit systems, beginning in FY 2020.

- The purpose of PTP2 is to facilitate the most efficient and effective use of state funds in the provision of public transportation services, while meeting transit system needs, improving economic conditions, and providing a quality-of-life environment for the state of Ohio.
- OTP2 is a discretionary program, with projects selected on a competitive basis between two tiers. One focuses on preservation and maintaining a sound transit network in Ohio, and the other is focused on innovation in the areas of regionalization, coordination, technology, service expansion, workforce initiatives, and healthcare initiatives.

Support for intercity and regional services: Ohio has long used the FTA section 5311(f) program to support the provision of connected intercity bus service linking rural Ohio with the national intercity bus network.

- The state provides its section 5311(f) funding as a grant to a private non-profit organization, the Hocking-Athens-Perry Community Action Program (HAPCAP), that manages the section 5311(f) program for the state.
- HAPCAP has led the development of a statewide brand for the section 5311(f) services, GoBus. There is a GoBus website, <https://ridegobus.com/>, a staffed information/service assistance desk, and a GoBus ticketing system. The buses of both contracted carriers are fully wrapped with the GoBus branding.

Maximizing the use of section 5311 program funding: To maximize use of the section 5311 program for operations, the Office of Transit funds vehicle replacement and expansion vehicles eligible for that program through the section 5339 Program.

- The selection process for funding is focused on preservation rather than expansion, with the program goal and the desire to ensure that a state of good repair is maintained for fleets and capital assets. Funding is awarded to ensure statewide distribution.

Governance and Funding

In Ohio the administration of federal and state transit funding is provided by the Ohio Department of Transportation's (ODOT) Office of Transit. This office is located in ODOT's Division of Planning.

The mission of the Office of Transit is to advocate and support safe and reliable personal mobility by coordinating and funding public transportation, which is viewed as a vital element of Ohio's transportation system.

To accomplish its mission, the Office of Transit provides financial and technical assistance to public transit systems, local governments, and human service agencies throughout the state for the planning, establishment, and operation of public transportation systems.

Organization

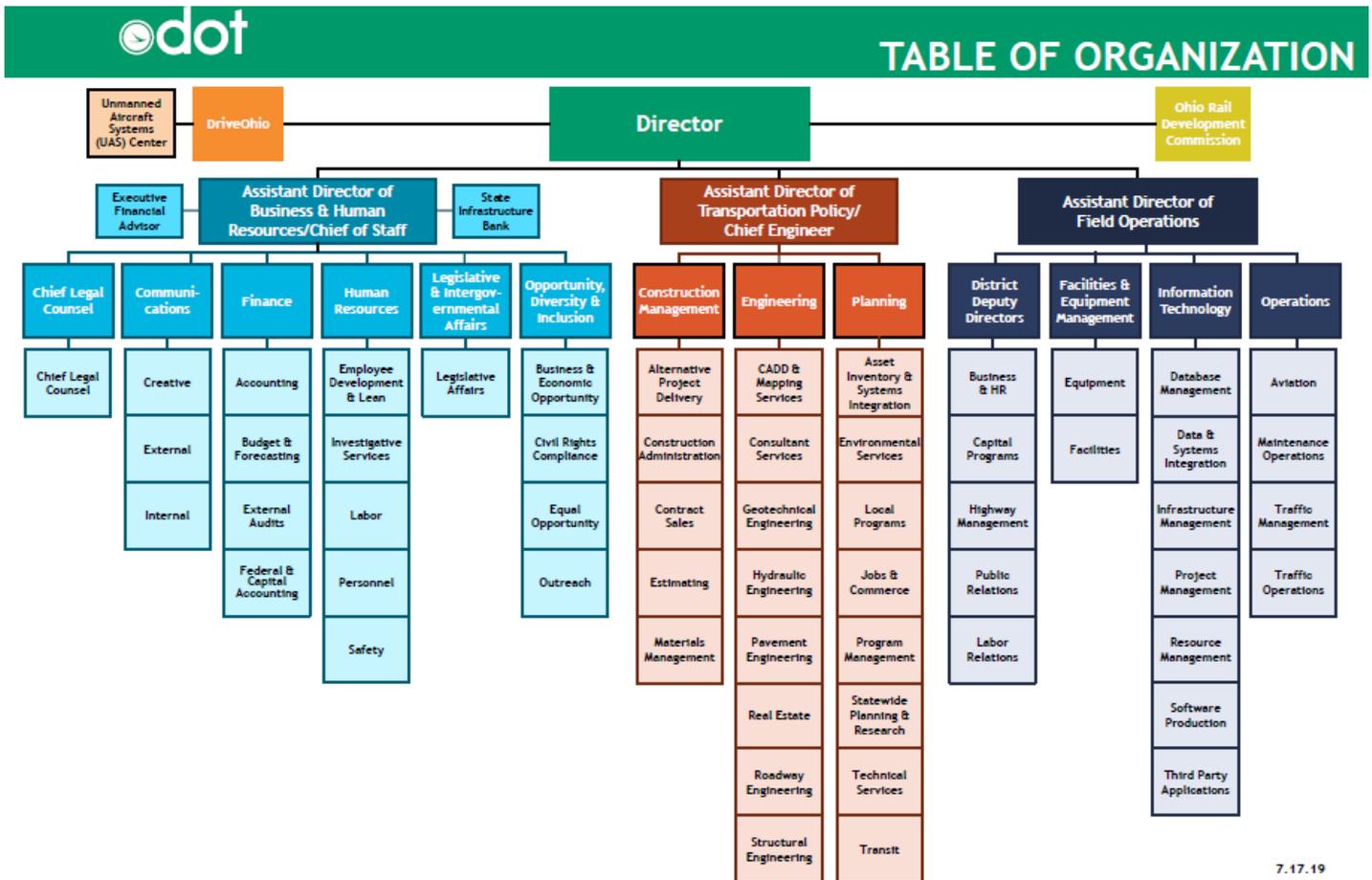
The Office of Transit is led by an Office Administrator, with three direct reports who manage the three sections of the department—Program Management, Compliance and Oversight, and Financial Management.

- Program Management staff members handle primary responsibilities and activities for:
 - Ohio Urban Transportation Grant Program (FTA section 5307)

- Enhanced Mobility for Seniors and Persons with Disabilities Program (FTA section 5310)
 - Rural Transit Grant Program (FTA section 5311)
 - Rural Transportation Assistance Program (FTA section 5311 (b)(3))
 - Rural Intercity Bus Program section 5311 (f)
 - Bus and Bus Facilities Program (FTA section 5339)
 - Ohio Elderly and Disabled Transit Fare Assistance Program
 - Ohio Coordination Program
 - Ohio Technical Assistance Program
 - State Planning Research Program
- Compliance and Oversight staff members handle primary responsibilities and activities for:
 - Technical Assistance Reviews
 - Development of all office publications and reports
 - Management of transit data including Transit Asset Management data and Agency Safety Plan data and performance targets, and measures
 - Administration of the Ohio Technical Assistance Program
 - ODOT transit vehicle term contracts, procurement oversight
 - Administration of the Rail State Safety Oversight Program
 - Rail Fixed Guideway State Safety Oversight Program (FTA section 5329)
 - Subrecipient and ODOT compliance with federal and state regulations, including reporting into the National Transit Database (NTD)
 - Financial Management staff members handle all FTA and state grants management activities including financial tracking, management, budgeting, and financial controls.

An organization chart for ODOT is provided in Figure 11, and the Office of Transit is shown in Figure 12.

Figure II: ODOT Organizational Chart

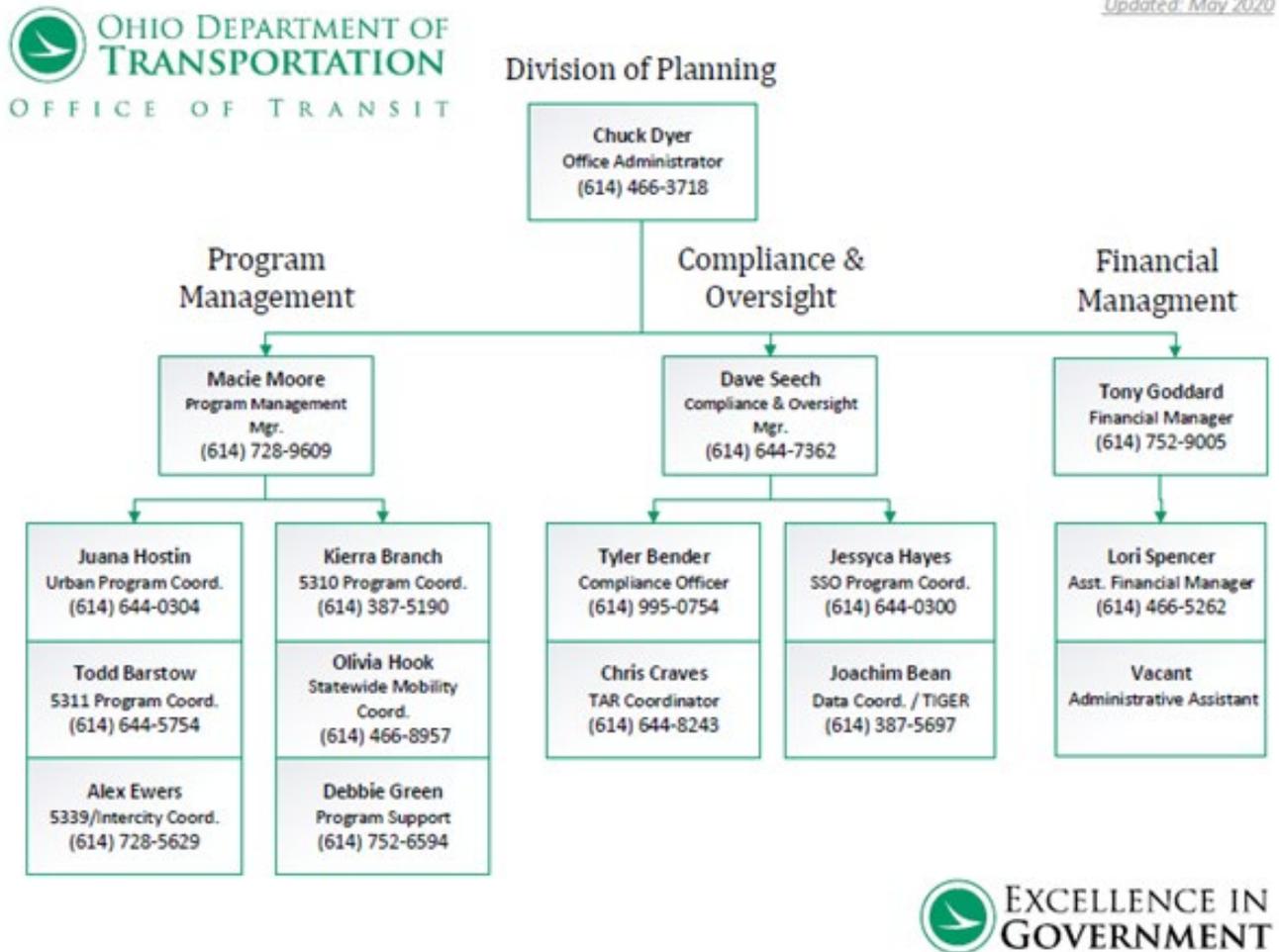


Staffing

As shown in Figure 12, Program Management administers FTA programs, with specific positions that coordinate funding through different programs. This section of the Office of Transit also includes two program support staff, and a Statewide Mobility Manager (discussed further in the Mobility Management and Coordination section).

In addition to the staff person who manages Compliance and Oversight, this component of the Office of Transit includes four staff members. They are responsible for ODOT compliance with FTA requirements, reviews of subrecipients to ensure they are meeting these requirements through Technical Assistance Reviews (discussed in the Compliance section).

Figure 12: Office of Transit Organizational Chart



Funding Administration and Allocation Process

This section highlights key aspects of the ODOT Office of Transit’s oversight of federal and state funding programs.

Section 5310 Program

The Office of Transit administers section 5310 program funds for the small urbanized and rural areas of Ohio through their Specialized Transportation Program. Similar to other states, the program provided capital funding for vehicles through 80 percent federal funds and a 20 percent local match.

In Ohio there is an emphasis on preventive maintenance for section 5310 funded vehicles in an effort to increase their useful life. Preventive maintenance is also funded through 80 percent federal funds, with the 20 percent local match requirement.

Mobility management is a focal point of the section 5310 Program funding. The Ohio Mobility Management Program provides 80 percent of the total cost of eligible expenses, and the remaining 20 percent must be provided locally. More than 20 local or regional mobility managers are currently funded through the section 5310 program. More information is provided in the Mobility Management and Coordination section of this profile.

Section 5311 Program

The Office of Transit administers section 5311 program funds through their Rural Transit Program. federal and state funds are used to assist with operating and capital expenses in the provision of general public transportation services in rural and small urban areas. Similar to other states, section 5311 funds can be used for up to 50 percent of the net project cost of operating expenses and up to 80 percent of the cost of capital projects. Unique in Ohio is that State General Revenue funds, through the Ohio Public Transportation Grant Program, are also available to provide up to 30 percent of eligible operating costs and up to 10 percent of the costs of capital projects.

Through the annual application process for section 5311 program funding, existing grantees submit a proposal to request federal and state operating funds, which are based on the transit systems needs and are evaluated in relation to state performance standards for percent of general public ridership, passenger trips per hour, cost per vehicle mile and cost per passenger trip. Capital funds are discretionary and are approved based on a system's Four-Year Capital and Operating Plan.

Section 5339 Program

The Office of Transit administers section 5339 program funds through their Bus and Bus Facilities Program. The goals of the Bus and Bus Facilities Program are:

- To assist eligible recipients in replacing, rehabilitating, and purchasing buses and bus-related equipment.
- To renovate and construct bus-related facilities.
- To ensure that public transit systems in Ohio have vehicles, equipment, and facilities of sufficient quality and quantity.
- To ensure that public transit systems can provide safe, efficient, and effective public transportation to the people of the state.

- To maximize use of the section 5311 program for operations, the Office of Transit funds vehicle replacement and expansion vehicles eligible for that program through the section 5339 program.

The Office of Transit's selection process for funding through section 5339 involves:

- Projects are funded based on both scores and program priorities
- Priorities are based on program goals and statewide needs
- Preservation rather than expansion
 - Priority of preservation is based on program goals and the desire to ensure that a state of good repair is maintained for fleets and assets.
 - Eligible for expansion projects but are a lower priority for 5339 federal awards.
 - Higher priority of expansion projects in OTP2 application (described in next section).
- Funding is also awarded to ensure statewide distribution.

Ohio Transit Partnership Program

ODOT instituted the Ohio Transit Partnership Program (OTP2) to provide state funds to rural and urban transit systems in Ohio, beginning in FY 2020. The program purpose is to facilitate the most efficient and effective use of state funds in the provision of public transportation services, while meeting transit system needs, improving economic conditions, and providing a quality-of-life environment for the state of Ohio.

OTP2 is a discretionary program, with projects selected on a competitive basis between two tiers:

- Tier I projects focus on preservation, or working to maintain, sustain, or keep in a good sound state the transit systems in Ohio.
- Tier II projects focus on innovation in the areas of regionalization, coordination, technology, service expansion, workforce initiatives, and healthcare initiatives.

Public transit systems operating in Ohio that receive section 5307 or 5311 funds are eligible recipients of OTP2 funds. The eligible Tier I and Tier II projects are detailed in Figure 13.

Figure 13: Ohio Transit Partnership Program Eligible Projects

Eligible Projects: Tier I

TIER I PROJECTS - approximately 60% of available funding	
Preservation	
Capital Replacement	<ul style="list-style-type: none"> ➤ Vehicle (revenue) replacement ➤ Fixed guideway modernization replacement and rehabilitation
Facility Upgrades	<ul style="list-style-type: none"> ➤ Building renovation ➤ Building rehabilitation ➤ Parking lot paving
Equipment	<ul style="list-style-type: none"> ➤ Bus equipment ➤ Support vehicles ➤ Garage equipment
Preventive/Capitalized Maintenance	<ul style="list-style-type: none"> ➤ Servicing ➤ Repairs ➤ Inspections for vehicles
Operating Assistance	<ul style="list-style-type: none"> ➤ Operating assistance to maintain existing services

Eligible Projects: Tier II

TIER II PROJECTS - approximately 40% of available funding	
Capital (Facilities & Fleet)	
Construction	<ul style="list-style-type: none"> ➤ New multimodal facility ➤ New transit hub ➤ Park and ride facility
Vehicle (Revenue) Expansion	Vehicles used to expand existing fleet vehicles

Eligible Projects: Tier II (Continued)

TIER II PROJECTS - approximately 40% of available funding

Technology / Equipment	
Alternative Fuels	<ul style="list-style-type: none"> ➤ Compressed natural gas (CNG) ➤ Battery electric vehicles ➤ Hydrogen fuel cell vehicles
Fueling Infrastructure	<ul style="list-style-type: none"> ➤ CNG ➤ Battery charging stations ➤ Hydrogen fuel cell generators
Smart Technology	<ul style="list-style-type: none"> ➤ Ride scheduling apps for smart phones ➤ Online trip scheduling ➤ Wi-fi equipped buses ➤ Electronic fareboxes ➤ Mobility service apps to use multiple modes of public or private transportation
Dispatching and Scheduling Software	Purchasing dispatching and scheduling software, including purchases intended for use by multiple counties or transit agencies

Eligible Projects: Tier II (Continued)

TIER II PROJECTS - approximately 40% of available funding

Planning	
Feasibility Study	Creation of new routes, adding fixed route service, funding sustainability
Service Evaluation	Efficiency of service, routes
Plans	Creation of Transit Development Plan, Long Range, TAM Plan, Locally Developed Humans Services Coordinated Transportation Plan
Pilot Projects	
New/expanded Service	Test or demonstration of new or expanded service that addresses program goals
New/expanded Program	Test or demonstration of new or expanded program that addresses program goals
Operating Assistance	
Service Expansion	Extending the service area, service days, or service hours in coordination with multiple counties or agencies

The selection of projects for OTP2 funding is through the following evaluation process:

- Projects are categorized for funding in Tier I or Tier II. Tier I projects do not compete with Tier II projects.
- For both Tier I and Tier II projects, 20 percent of program funds are set aside for rural transit operators. If there are not enough viable rural projects, funds will be reallocated to urban projects.
- Both Tier I and Tier II projects are scored against a set of criteria, with a maximum of 100 points per project. Criteria includes project readiness, ridership impact, and collaboration with other agencies. Priority is for projects that demonstrate capacity to spend funds in the application fiscal year.
- No local match is required. However, the funding program prioritizes projects that leverage/maximize other available funding sources, and are developed in partnership with other agencies and organizations.

Urban Transit Program

The Urban Transit Program (UTP) encompasses funding administered by the Office of Transit for transit service in Ohio's urbanized areas with populations of 50,000 or greater. The program goal is to facilitate the most efficient and effective use of state funds in the provision of transportation services. There are 26 urban transit agencies in Ohio.

ODOT allocated \$16.6 million for FY 2021. The sources of funds for this program are from Ohio's General Revenue Funds passed by the Ohio General Assembly for the 2020-2021 biennium. UTP funds are formula-based and allocations are determined by the Federal Transit Administration funds received and the percentage of federal funds received in Ohio.

Rural Transit Assistance Program and Ohio Technical Assistance Program

Along with their annual allocation of Rural Technical Assistance Program funding, the Office of Transit uses other state and federal administrative funds to support the Ohio Technical Assistance Program (OTAP). Through OTAP, ODOT provides technical assistance and services tailored to subrecipient's needs and state issues. Most assistance is provided one-on-one by request of individual subrecipients and results in a specific product, e.g., service or contract rate analysis, and operating service plan.

ODOT has used OTAP to conduct projects of statewide significance, e.g., the development of the "*Handbook for Coordinating Transportation Services*" and "*Guide for the Implementation of Coordinated Transportation Systems*," "*FTA's Charter Regulations: A Compliance Guide for Ohio's Rural Public Transit Systems*," and "*A Guide to Preventive Maintenance*."

A portion of the RTAP funds are used to support ODOT's scholarship program, which is made available to subrecipient transit agencies including section 5310 and 5311 subrecipients. An agency can apply for scholarship funding to supplement or support the financial cost of professional education opportunities. Scholarships are reviewed and awarded on a competitive basis. These opportunities include attending conferences and training programs not offered by OTAP.

Compliance

As part of their responsibility for conducting oversight of FTA funding, the Office of Transit conducts Technical Assistance Reviews (TAR) of subrecipients of section 5310 and section 5311 grants. The Office of Transit conducts a full TAR on each section 5311 subrecipient on a biennial basis. Additionally, ODOT conducts specialized reviews, including Drug and Alcohol program reviews (conducted on each subrecipient at least every three years by an ODOT consultant).

The Office of Transit has established a detailed TAR process for section 5311 subrecipients that includes:

- Scheduling a one to two-day site visit (Two full days are typically needed only for transit agencies with fixed route service and multiple compliance issues).
- Distributing a 28-page TAR questionnaire approximately six weeks before the site review, with a due date to respond approximately three weeks prior to the site review.
- Conducting a desk review of the questionnaire, documents submitted in advance by the subrecipient, and documentation in ODOT's grants management files (including the most recent grant application and local procurements conducted in the past three years) to determine which areas are compliant and which areas need to be reviewed more closely during the site visit. The TAR Coordinator meets with the Office of Transit Program Coordinator for the transit system regarding updates on whether invoices and applications are submitted in a timely manner, if extensions are requested before due dates, and accuracy of invoices.
- Conducting the TAR site visit, following the structure of the questionnaire with the transit agency director and staff as appropriate. Additionally, the site review includes:
 - Touring the facility, including dispatch and maintenance areas.
 - Visually inspecting public and employee bulletin boards to verify that required public and labor notices are posted.
 - Visually inspecting several ODOT-funded vehicles to verify presence of required equipment and review cleanliness.
 - Reviewing maintenance files and facility maintenance documentation.
 - Financial review of randomly selected invoices.

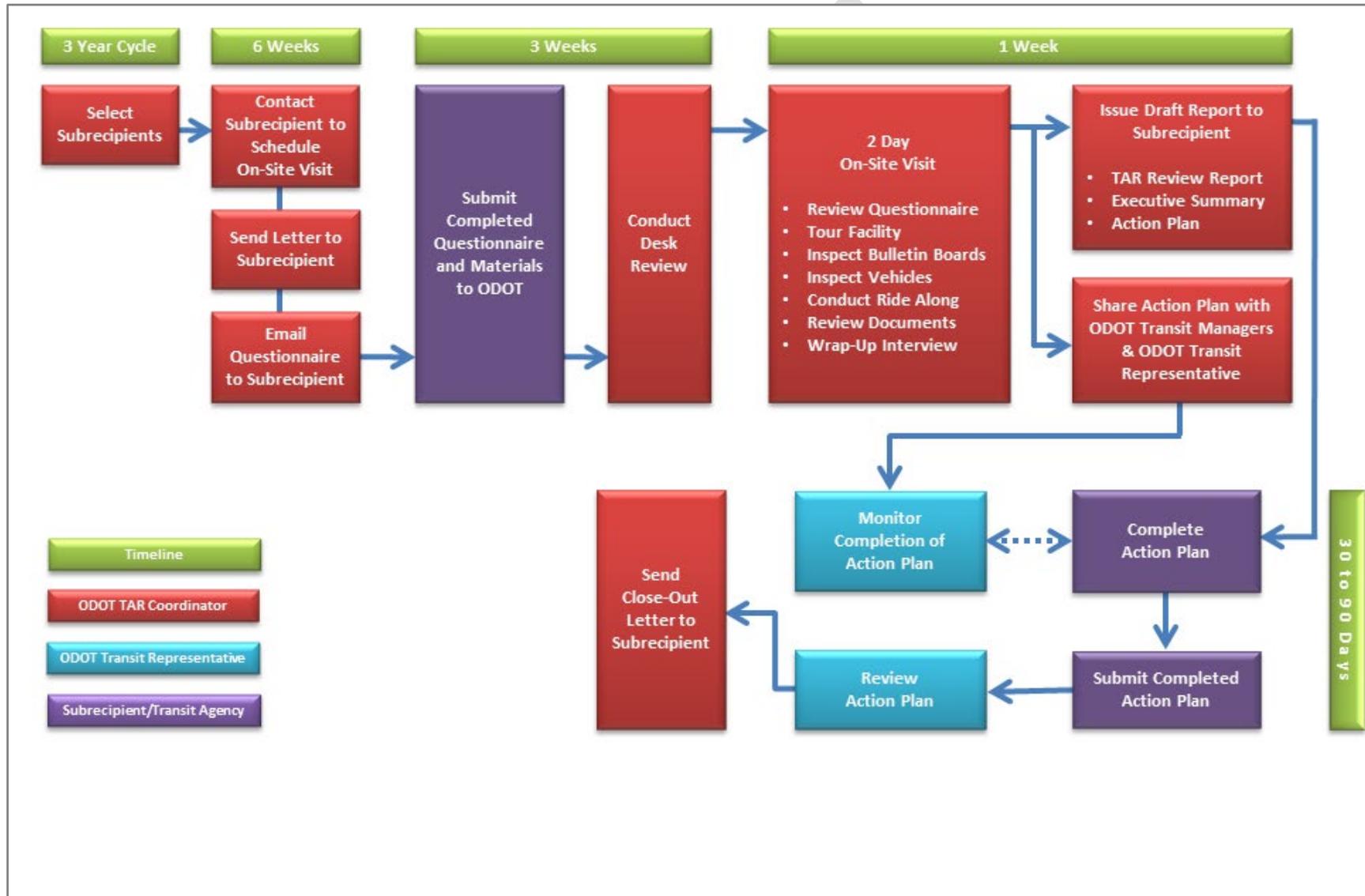
- Conducting wrap-up discussion to review all requirements and recommendations with the transit agency director and determine the timeline for fixing the requirements.
- Following the site visit, developing a TAR Final Report, an Executive Summary, and an Action Plan with the timeline. The Office of Transit Program Coordinator is then responsible for monitoring completion of the Action Plan, with periodic updates to the TAR Coordinator, documenting dates when requirements are fully implemented along with action steps. Assistance monitoring/reviewing corrective action responses is provided by the Compliance section of the Office of Transit.
- Upon completion of all requirements in the Action Plan, the Office of Transit sends an official close-out letter to the rural transit agency and the grantee, advising them that all issues are deemed complete and satisfactory and the review is closed.

Procedures for the TAR process are outlined in several documents, including the ODOT *Technical Assistance Review Field Guide*. This guide provides comprehensive, detailed guidance on conducting reviews, and is used internally by ODOT staff as a reference manual, particularly with the desk review portion of the compliance review. Additional TAR procedures and guidelines include a TAR Process Task List and the TAR Action Plan Completion Documentation and Close-out Procedure.

The TAR process for section 5310 subrecipients is similar to that for the section 5311 process, although the questionnaire and site review are scaled back to reflect the requirements specific to the section 5310 program. Section 5310 TARs typically need only one day on site.

Figure 14 presents a flowchart of TAR process.

Figure 14: TAR Flowchart



Planning

- In January 2015, the Office of Transit completed an Ohio Statewide Transit Needs Study, providing a statewide assessment of public transportation needs. The study included analysis and consideration of statewide needs, spanning Ohio's urban and rural areas, including those counties in Ohio with no public transportation services. The goal of the study was to document how well Ohio's current network of public transportation services match current needs, and what types of systems, services and investments would be needed to meet future need. The study was intended as a long-term strategy to guide transit service development, including transit policy and funding, over the ten-year period between 2015 and 2025.
- While the Office of Transit does not require any entity to produce a coordinated public transit-human services transportation plan, the office is responsible for the selection of projects to be funded through section 5310 that requires projects be derived from these plans. Since FTA coordinated transportation planning guidelines require that section 5310 projects be derived from coordinated plans, the Office of Transit encourages coordinated plans that go beyond the requirements of section 5310 funding to include analysis of needs and development projects to address the mobility needs of the general public, and provide a variety of resources to assist lead agencies in the development of these plans:
 - Coordinated Plan Template that is an editable document and helps to ensure that all required plan elements are included in the plan.
 - Coordinated Plan Guidance that discusses the role of the lead agency, provides tips on conducting needs assessments and developing strategies, and details the adoption process.
 - Coordinated Plan Review Checklist that reviews the items that should be included in the plan.
 - Coordinated Plan Toolbox that provides additional resources with the development of Coordinated Plans.

Technical Assistance to Subrecipients

Beyond the RTAP discussed earlier, the Office of Transit provides a variety of resources to their subrecipients. These resources are discussed in detail in this section.

Rural Transit Manual

The ODOT Office of Transit has assembled information that provides the necessary tools to new and existing rural transit systems to successfully and efficiently administer public transportation service in Ohio.

The manual includes:

- Overview of ODOT programs
- Federal compliance
- State requirements
- Financial management
- Invoicing instructions and operating data
- Procurement and third party contracting
- Vehicles and equipment
- Construction and facility projects
- Managing your rural transit program

Rural Ohio Transit eLearning

Developed in conjunction with ODOT's Local Technical Assistance Program (LTAP), this online course is intended for new rural transit managers and anyone wanting to learn more about the Ohio Rural Transit Program. It includes eleven modules that cover everything from the requirements of the program to operating a rural transit system. The overall purpose of LTAP is to assist local governments in managing a safe, cost-effective and environmentally sound transportation system by providing training and technical assistance in the areas of safety, workforce development, infrastructure management and organizational excellence.

Capital Needs

Transit Asset Management Plans

Agencies that own, operate, and manage capital assets used to provide public transit and which also receive federal financial assistance, are required to develop a transit asset management (TAM) plan in order to meet federal requirements. The Ohio Office of Transit develops a TAM Group Plan, which includes all section 5311 subrecipients in Ohio, as well as the section 5310 funded specialized transportation systems that provide public transportation and are not covered by a plan provided by Metropolitan Planning Organization or Regional Transportation Planning Organization (RTPO).

The Office of Transit TAM planning process involves:

- Establishing via BlackCat (the grants reporting tool currently being used by ODOT) the Projected Performance Targets for the optional coming year.
- Working with local transit agency providers that fall under its coverage to name an Accountable Executive that is the person ultimately responsible for ensuring that the reporting to NTD/BlackCat is complete and accurate. The Accountable

Executive is required to submit certification each year that the information contained therein is accurate to the best of their knowledge.

- Using data from the TAM Group Plan to establish an investment prioritization plan that is consistent with its plan goals and objectives throughout the horizon period of the plan. In the case of ODOT, it is the intent of the program to update the plan and program standard every two years with the update of the Statewide Transportation Improvement Program (STIP)

Public Transportation Agency Safety Plan

The Office of Transit is responsible for the Public Transportation Agency Safety Plan (PTSASP) that includes all public transportation systems that receive federal assistance under section 5310 and section 5311. Small public transportation providers are defined as recipients that have one-hundred or fewer vehicles in peak revenue service and do not operate a rail fixed guideway public transportation system.

Cooperative Purchase Program

The ODOT Cooperative Purchase Program offers a variety of the most commonly operated transit vehicles in rural and small urban transit service. Rural Transit grantees must choose vehicles that are of the size and capacity and with the appropriate optional equipment for their individual service and community.

To make this choice easier, ODOT offers its Vehicle Selection Guide. This Selection Guide contains the range of vehicles and optional vehicle equipment available through ODOT's state term contracts. The guide also provides guidance to select the proper vehicle to match a grantee's service requirements. The guide should be used regardless of whether a grantee plans to purchase vehicles through ODOT's state term contracts or conduct the procurement itself. The vehicles offered in this guide are of the size and type most commonly used by human service organizations in the provision of transportation to the elderly and individuals with disabilities; small urban and rural general public transit systems; and large urban transit systems offering complementary paratransit service. Research has been conducted on the equipment, options, and seating arrangements to provide a wide variety of vehicles to meet most agencies' needs.

If for any reason the vehicles offered in this guide do not meet a grantee's needs, they are instructed to contact their Program Coordinator for assistance.

Mobility Management and Coordination

Ohio Mobility Management Program

The purpose of the Ohio Mobility Management Program is to increase access to mobility for Ohioans by increasing understanding and awareness of transportation needs, coordination of transportation options to meet needs, and building sustainable and healthy communities by integrating transportation into planning and programs.

The goals of the Ohio Mobility Management Program goals are to:

- Increase understanding and awareness of community transportation needs.
- Increase awareness of current community transportation options and programs.
- Ensure that transportation considerations are included in local and regional planning activities.
- Increase local capacity for transportation services, and
- Assist individuals with accessing all community transportation options.

The Ohio Mobility Management Program is overseen by the Statewide Mobility Coordinator position located in the Office of Transit. This position was created in 2017, and job functions include:

- Overseeing 28 local and regional mobility management programs funded through ODOT that serve 57 Ohio counties. Local and regional mobility management activities are funded primarily through the section 5310 program, and as noted earlier, projects are derived from a coordinated transportation plan. In the past, a typical mobility management project has had a total cost of \$80,000.
- Conducting quarterly in-person meetings with local and regional mobility managers that provide training sessions, as well as the opportunity for mobility managers to share experiences and ideas.
- Coordinating platforms for providing resources to mobility managers and to share documents and resources.
- Developing the Ohio Mobility Management Program Guide that includes information on the program purpose, goals, potential coordination strategies, and other resources to enhance and support improved coordination of human service and public transportation.

- Implementing an online mobility manager training program that includes current topics such as:
 - Welcome to Mobility Management in Ohio - that provides new mobility managers with key information and resources as they begin their new position.
 - Guidance with coordinated transportation planning (six modules).
 - Identifying opportunities to support and expand a mobility management program.
 - Implementing a one-call center.

The Statewide Mobility Coordinator also facilitates the development of statewide marketing and outreach efforts that include:

- A brochure that describes mobility management services in the state and is used to educate and inform stakeholders outside ODOT on the impact and importance of the program.
- Mobility Management Stories that provides specific examples of how the program improves access to mobility, expands coordination of transportation options to meet needs, and builds sustainable and healthy communities by integrating transportation into planning and programs.

Support for Intercity and Regional Services

Utilization of Section 5311(f) for Intercity Services

Ohio has long used the FTA section 5311(f) program to support the provision of connected intercity bus service linking rural Ohio with the national intercity bus network. Under the FTA section 5311(f) program, states are required to spend at least 15 percent of their overall section 5311 allocation on intercity bus services unless the Governor certifies to the FTA that there are no unmet rural intercity needs. Such a certification must be supported by the results of a consultation process involving the intercity bus operators, other stakeholders, and an analysis of existing service and potential service needs. A partial certification is possible if a state determines that less than 15 percent is required. If the state certifies no (or partial) unmet needs, it may reprogram the intercity set-aside to support other rural public transportation needs. Ohio has not certified that there are no unmet needs for many years, and it utilizes the full 15 percent allocation (\$4,057,687 in FY 2020) to support the operation of a statewide network that is branded as GoBus.

Consultation and Planning

Ohio addresses the need for intercity bus services periodically through a planning study that includes the consultation process. The most recent study, the *Ohio Intercity Bus Study Update-Final Report* was completed in May 2019. It included an analysis of

demographic data to identify areas of high need, potential markets and destinations, a complete inventory of existing intercity services, identification of unserved areas or markets, a public outreach process (including onboard surveys, carrier interviews, and public meetings), performance evaluation of existing state supported services, identification of unmet service needs, development of alternatives and recommendations.

Use of In-Kind Match

ODOT is prohibited from providing assistance directly to the private for-profit firms that operate the services, so the state provides its section 5311(f) funding as a grant to a private non-profit organization (which is eligible), the Hocking-Athens-Perry Community Action Program (HAPCAP), that manages the section 5311(f) program for the state. Greyhound provides the local match through the value of unsubsidized connecting service, providing the documentation to HAPCAP. No state funding has been used for match; HAPCAP collects a ticketing fee on tickets they sell, which goes to support the program administration.

HAPCAP issues RFPs for the services, and contracts with private bus companies that operate the services. HAPCAP program administration annual cost is approximately \$450,000 per year, the remaining \$3.6 million in section 5311(f) funding is used to contract for service. There are two contracted carriers that provide the service under contract to HAPCAP, Barons Bus and Miller Transportation. The carriers own or lease the vehicles, and those costs are included in the contract operating rate.

Statewide Branding for Intercity

HAPCAP has led the development of a statewide brand for the section 5311(f) services, GoBus. There is a GoBus website <https://ridegobus.com/>, a staffed information/service assistance desk, and a GoBus ticketing system. HAPCAP performs required FTA compliance oversight and ensures that the contracted carriers meet all requirements such as ADA accessibility. The buses of both contracted carriers are fully wrapped with GoBus branding. User surveys reveal that the GoBus riders see the service as very high quality (bike racks, onboard wi-fi, on time service), and there is public desire for more routes and services—but Ohio is already utilizing the full 15 percent set-aside, which means that expansion can only come from reducing lower performing GoBus schedules and shifting funds to higher performing routes, or going above the 15 percent level mandated by FTA.



Technology

Through a federal 2015 Transportation Investment Generating Economic Recovery (TIGER) VII competitive grant program, ODOT was awarded \$6.839 million in federal dollars to improve the communications, scheduling and dispatching of Ohio's rural transit operators and to expand broadband into areas of Ohio with insufficient access. These funds were administered by the Office of Transit.

The project focus was on transit systems across the state that are challenged with a wide array of scheduling and dispatching approaches and operating in areas with limited or no cellular service. The objective was to improve customer satisfaction by providing more efficient on-time demand responsive and fixed route operations. In addition, improved scheduling and dispatching will lead to more efficient operation of vehicles, lower costs for transportation providers and clients, and more economical use of transit vehicles. Reliable communications would permit rural transit operators to respond to emergency situations more rapidly and drivers to remain with their vehicles when involved in an emergency or an incident, thereby improving safety.

T2O Project

The goals of the T2O (Transit Tech Ohio) project are to provide a minimum set of standards for scheduling and dispatching software by supplying capital funds for software and hardware to help align and streamline these systems and eliminate base to vehicle communication gaps by improving broadband access in areas of the state with limited or no broadband connectivity. Capital funds will be provided to broadband companies to improve broadband services in these designated areas.

OREGON DEPARTMENT OF TRANSPORTATION – RAIL AND PUBLIC TRANSIT DIVISION

Oregon Program Key Take-Aways for Oklahoma

Transit Program Organization: The Oregon program staff believes that their organizational structure has improved their relationship with operators across the state, stakeholders and policymakers (including the legislature). Aspects of the transit program include:

- Placing the primary communication and technical support role on Regional Transit Coordinators, one for each region. These staff members are resident in their region.
- Concentrating policy, planning, oversight and administration staff at headquarters.

- Integration with other elements of ODOT, through the location of the RTCs in the ODOT regions, and the participation with other offices at headquarters.

Public Transit Advisory Council: The PTAC was created by the Oregon Transportation Commission to be advisory to them and to the division staff. The council:

- Has representation from both large and small transit agencies.
- Has representation from other key state agencies, including Oregon Health Authority.
- Operates with the dual role of providing policy direction with regard to current needs and funding.
- Provides strategic direction and tactical guidance to Oregon’s public transportation program, documenting progress toward that vision.
- Focuses on implementing the *Oregon State Public Transportation Plan*.

Section 5310: Key role of section 5310 programs and providers as part of an integrated public transportation program:

- Allowable use of funds for other than vehicle capital.
- Most section 5310 funding used for purchase of service from public transit or consolidated providers,
- Major support for Mobility Management.
- Vehicle capital largely from other programs.
- Integrated into transit planning through Coordinated Plans, TDPs.

Regional and intercity transit network: State role in identifying and creating a statewide transit network to address regional and intercity connectivity needs through the Transit Network Program.

- Use of part of the section 5311(f) funding for state-directed and branded contracted services to fill gaps in the unsubsidized intercity bus and Amtrak network.
- Use of part of the section 5311(f) funding for discretionary projects developed by local public and private non-transit providers—state project selection based on unmet needs analysis.

- State STIF funding for additional regional services addressing identified needs not eligible for section 5311(f).
- Tools for analysis of unmet needs developed and maintained by state—TNEXT.

Transit planning: Combination of funding support, technical assistance and requirements to encourage local transit plans as a basis for funding and service implementation/expansion:

- Statewide transit plan to involve the public and determine the vision.
- Support for local plans—Transit Development Plans, Coordination Plans.
- Integration of planning into programs—Use of TDPs and local coordination plans as a requirement for proposed service expansion in the STIF program.
- Requirement for STIF plan to obtain state funds for expansion—focus on legislative policy goals including mobility for low-income households.
- State support for planning tools-TDP Manual and training, TNEXT access analysis tool, GTFS data created and maintained for every system, statewide Remix license.
- Public support to meet needs demonstrated to legislators through planning process.

Program Role

In Oregon, the Rail and Public Transportation Division (RPTD) in the Oregon Department of Transportation (ODOT) oversees the administration of Federal Transit Administration sections 5311, 5310, 5339, and 5303-5304 programs, along with two major state transit programs: the Special Transportation Fund (STF) and the Statewide Transit Improvement Fund (STIF). RPTD is also responsible for the Transit Capital Program and for the Transit Network Program, which includes three directly operated services: Amtrak Cascades intercity passenger rail service, POINT intercity service, and Columbia Gorge Express.

In the 2019-2021 biennium (RPTD awards grants on a two-year cycle) there were 35 section 5311 subrecipients and 42 section 5310 subrecipients, In addition, there are six small urban section 5307 Urbanized Area (UZA) transit programs which are direct recipients of funding from FTA; RPTD oversees the state funding program for them as well as the programs managed by RPTD.

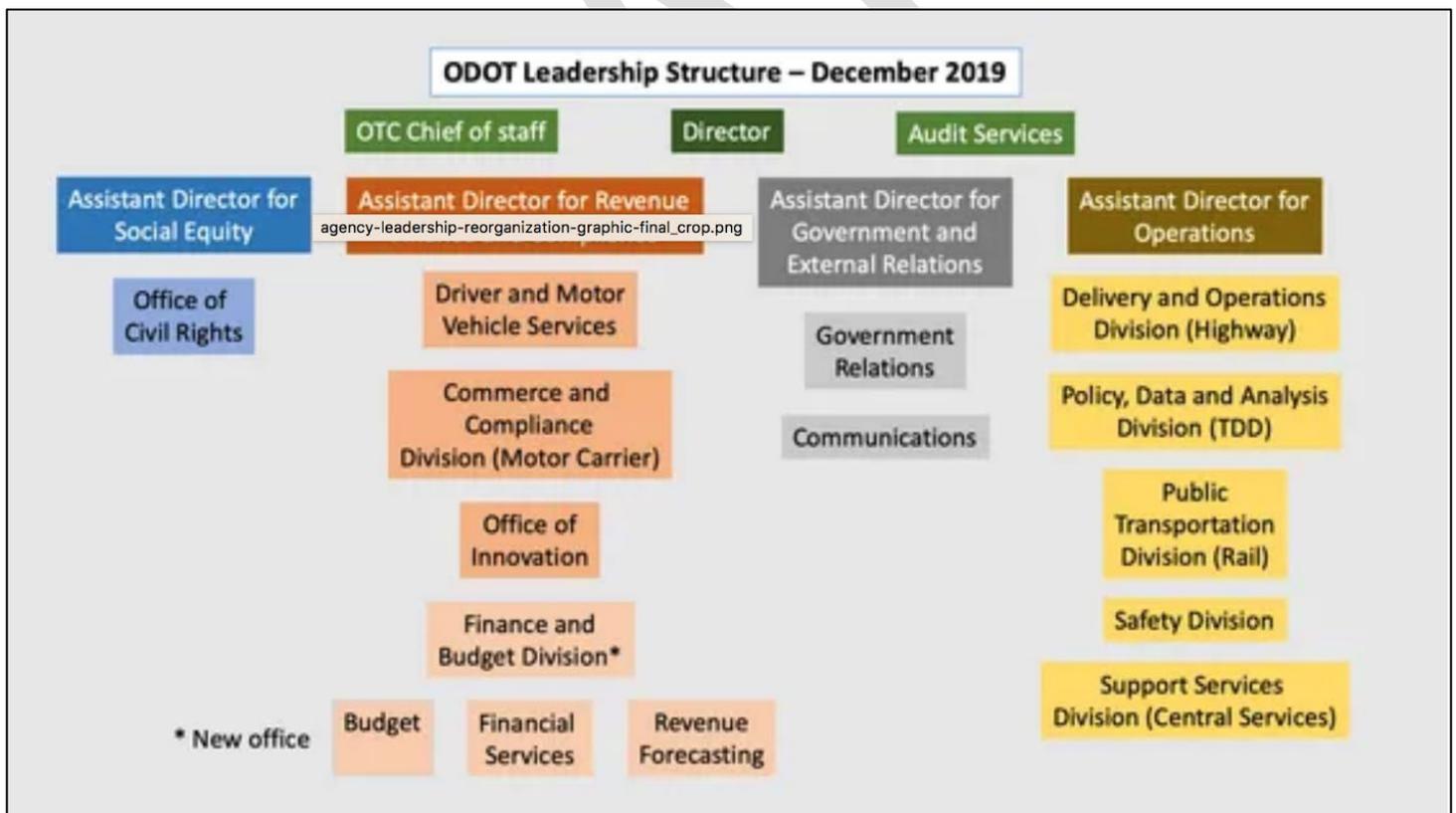
According to the State Management Plan for Public Transportation Programs (July 2015),

ODOT's mission is to provide a safe, efficient, and multimodal transportation system that supports economic opportunity and livable communities for Oregonians.

In December 2019 ODOT announced a departmental organization based on a functional approach that has placed RPTD under the Assistant Director for Operations, depicted in the departmental organization chart in Figure 15.

Currently there is no organization chart finalized for the new Public Transportation Division. Many of the rail safety functions are being moved to the Safety Division, and the state's rail passenger program will remain in Public Transportation along with the other services that are directly operated (contracted) by the state, the POINT intercity bus routes and the Columbia Gorge Express. The Bicycle Pedestrian Program, Transportation Options and Safe Routes to School Program will also move into the new Public Transportation Division, along with the Transportation Options (TDM/ridesharing) programs.

Figure 15: ODOT Organizational Chart



The Public Transportation Division includes six Regional Transit Coordinators, one for each of the Departmental Districts (the same as the highway program)—these are stationed in their respective districts, not at headquarters. This shift to a regional model was implemented in 2012 as part of an effort to get the state program closer to the agencies delivering the service. The headquarters functions currently include another 22 staff members in the Public Transit Section, focusing on policy and administration. This includes oversight of the Capital Program, compliance oversight, the training program, the statewide Transit Network, and programmatic guidance. The directly operated statewide services: Amtrak Cascades rail passenger service, POINT intercity services, and Columbia Gorge Express, are also managed by staff at headquarters. Budgets, funding drawdowns, and processing project reimbursements (grants management) are also a function of Operations staff at headquarters.

This reorganization is the latest in a series that have marked the division's shift from a grants management focus to one of active involvement in ensuring statewide mobility and connectivity. A 2006 challenge to improve leadership and the direction of the program began with a realization that divisional organization based on federal programs had created management silos that hampered the ability to provide a coordinated transit system.

This led to a 2009 reorganization, which coincided with a substantial increase in funding for transit, particularly the section 5310 recipients. This funding came from two sources—use of flexed Federal Highway Surface Transportation Program (STP) highway funds for transit vehicle capital and a state-funded Special Transportation Fund (STF). At the same time, the state took on an expanded role in providing planning tools, and in identifying and filling gaps in the statewide transportation network. This led to the creation of the section 5311(f) funded POINT program of contracted intercity bus routes, the Amtrak Cascades rail passenger service, and the Columbia Gorge Express bus service. The state funded the creation and maintenance of GTFS data for all transit operators and has a statewide REMIX license for all transit operators to use these planning tools.

Other agencies within ODOT assisting RPTD in grant and program management include: Internal Audit, Civil Rights, Financial Services, Procurement, Planning, Highway, and Region offices.

Other partners include the School of Business at Oregon State (for the TNEXT access and mobility assessment tool), and the Ride Connection and Cascades West Council of Governments for Passenger Assistance training.

The Oregon Department of Transportation's main policy body is the Oregon Transportation Commission (OTC) which is responsible for approving the overall operations and budgets of ODOT. OTC members are appointed by the Governor. The transit program takes policy advice from a Public Transit Advisory Committee (PTAC). The PTAC provides advice to both the Rail and Public Transit Division and Oregon

Transportation Commission on policy and funding areas that impact public transit users and providers. The committee serves as a forum for discussing and identifying issues and solutions. The committee was created by the Oregon Transportation Commission in 2000. It consists of 21 members and meets every other month. Meetings are open to the public and time is available for public comment. Members are appointed by the ODOT Director and include representatives from:

- General public transit providers in urban areas over 200,000
- General public transit providers in urban areas 50,000-200,000
- Small communities under 50,000
- Private for-profit intercity bus companies
- Indian tribal governments
- The Association of Oregon Counties
- The League of Oregon Cities
- The Statewide Independent Living Council
- The Transportation Options Group of Oregon
- The Oregon Department of Human Services—Vocational Rehabilitation
- The Oregon Disabilities Commission
- The Governor’s Commission on Senior Services
- The Oregon Passenger Rail Advisory Council
- A citizen at large

Of note is the role of the PTAC in setting strategic directions for transit in the state, focusing on the implementation of the recent Oregon Public Transportation Plan.

In addition to the PTAC, Oregon transit agencies participate in the regional Area Commissions on Transportation (ACT) advisory bodies around the state, though they have a primarily highway orientation—they provide another forum for public input on transportation needs and issues.

Finally, the RPTD works closely with the Oregon Transit Association (OTA), which is a private non-profit organization of providers, suppliers to the transit industry, and advocacy groups. The RPTD Administrator is a voting member of the OTA Board. RPTD pays dues, registrations for staff at the conferences, and provides a Technical Assistance Program grant to OTA for assistance with the annual conference

RPTD will also be implementing the Transportation Options (TO) program for the state, which is also known as the Transportation Demand Management program. For the past several years this has been managed by the ODOT Planning division, but it is returning to the transit division. The TO program is funded by STP funds allocated to the Division. It provides technical assistance and contract oversight for the TO rideshare programs, supporting the regional staff and local communities. Four of Oregon’s TPM programs are partially funded by the TO program. A statewide TO marketing program called Drive Less

Save More promotes TO and Drive Less Connect is a TO supported statewide interactive ride-match service that also reaches into Washington and Idaho.

Figure 16: PTAC Vision and Role and Primary Objectives

PTAC Vision and Role

PTAC provides a forward thinking, strategic view of public transportation for the state of Oregon. PTAC focuses on the dual roles of addressing the realities of the current state transportation paradigm as well as providing direction on the future of public transportation.

To address current issues, PTAC will concentrate on state needs and provide recommendations to the OTC and the Rail and Public Transit Division (RPTD) of the Oregon Department of Transportation (ODOT). The Committee will focus on policy and funding areas that impact both users and providers.

To keep Oregon at the forefront of public transportation innovation, PTAC will identify a strategic public transportation vision for Oregon. The Committee will provide tactical guidance for progress towards that vision and inform other planning efforts at ODOT and the OTC. This strategic vision and guidance will exist as a living document and will be continuously updated on a regular basis.

PTAC Primary Objectives

- To lead statewide efforts implementing the *Oregon Public Transportation Plan* vision and goals throughout the state.
- To provide recommendations to ODOT and the OTC regarding public transportation policies, rules and funding strategies.
- To anticipate, receive and respond to issues raised by providers, users and advocates of the statewide public transportation system.

State Transit Funding

Oregon has two major state transit funding programs, each of which is under separate legislation (though there is an effort underway to consolidate them). The older of the two state programs is the Special Transportation Fund, and the more recent program is called the Statewide Transportation Improvement Funds.

Special Transportation Fund

The state statutes creating this fund designated 42 counties, transit districts and Indian tribes to receive STF funding. They are designated as “coordinating entities” for the

section 5310 program and as lead agencies for adopting the locally developed coordinated public transit-human service plans required by FTA for section 5310. The STF agencies in turn identify projects for funding and oversee implementation of the local projects.

STF funds come from the cigarette taxes, sale of ID cards, non-auto gas taxes and the state's General Fund. The total amount available for each biennium varies with the revenues from these sources, including an estimate of General Fund revenues. The STF total provides 10 percent of the funds for state administration, 75 percent for formula distribution to the 42 agencies, and 25 percent is discretionary. The formula funding allocation is based on the percentage of the state's population in each district, after each of the 42 agencies receives a minimum amount (currently \$100,000). The estimated funding for the 2019-2021 period was \$21.9 million for formula funding. No local match is required.

Statewide Transportation Improvement Funds

The STIF program was passed by the Oregon legislature in 2018. It is a new dedicated fund to support public transportation. It is funded by a 1/10 of 1 percent state payroll tax, intended to generate about \$115 million annually. Ninety percent of the funds are distributed on a formula basis to "qualified entities", basically the same 42 designated agencies. Five percent of the funds are distributed on a competitive grant process, and 4 percent are used for a discretionary program (under the Transit Network/Intercity program) to provide transportation between two or more communities. One percent is used to support a new Technical Resource Center in RPTD to assist rural areas with training, technical assistance/planning and information technology (and to fund administration). The formula funds are distributed based on each entity's share of the statewide employee payroll.

There are efforts underway to combine the STF and STIF programs, as such a requirement was included in the most recent ODOT budget bill.

Funding Allocation

As noted above, the formula STF funds are distributed to a defined list of 42 entities based on the total population in the service area of each entity, while the formula STIF funds are distributed based on the percentage of each entity's share of the statewide payroll. Note that the 42 designated entities may act as pass-throughs to multiple providers in their service area.

Section 5311 formula funding is distributed using an updated formula that provides a base amount for each of the 35 eligible entities (private for-profits are not eligible), plus a formula amount using rides and miles from the National Transit Database. This formula

was developed by a PTAC work group. Local match required is currently 43.92 percent for operating projects and 10.27 percent for capital projects.

Section 5310 formula funding is distributed to the 42 lead agencies defined by the STF legislation, with amount based on a formula that uses total population and on senior and disabled population. These lead agencies can then allocate funds to priority projects based on their coordinated plans. Technically all 5310 projects are capital, but that includes mobility management, capitalized maintenance, and purchase of service. Match ratios for the federal dollars require a 20 percent local match, and for the STP portion of the funding 10.27 percent. ODOT includes the small urban portion of the 5310 funding in its solicitation—there is also a discretionary element (\$2 million) for the federally designated rural-only lead agencies.

It should be noted that Oregon supplements the federal 5310 funds with flexed federal highway STP funding, and in recent years that STP portion has been as much as 88 percent of the total—\$25 million in the most recent biennium.

Planning

RPTD administers the FTA section 5305 planning funds, which are provided on a formula basis to Oregon's MPOs to implement the elements of their UPWPs, including the long-range transportation plans and Transportation Improvement Programs (TIPs).

In addition, RPTD uses section 5304 funding to support statewide transit planning and to support local systems with planning. Planning projects are identified through the biennial Discretionary Grant Program, and local entities can be funded to perform, or contract for, a number of different types of planning programs. These include system design plans, ADA paratransit plans, marketing plans, Environmental Justice plans and local coordination plans.

The Oregon Public Transportation Plan was adopted in September 2018 as the transit element of the Oregon Transportation Plan. It is the vision and policy direction for Oregon's transit programs, encompassing recommendations in many areas including funding requirements to achieve different levels of vision, integrated transit planning, performance measurement, and the state role.

RPTD has devoted a significant amount of technical assistance to local systems in support of Transit Development Plans (TDPs), including the development of a guidebook and training sessions. There is no requirement for local systems to have periodic TDPs, but 5310 funding is based on local coordination plans (which are required), and STIF formula funding requires a plan as well.

The recently enacted STIF funding source also includes a specific planning requirement. Qualified eligible applicant entities must complete a plan that specifies what percentage

of their allocation will be spent on increased service and reduced fares for low-income households, service improvements between communities, and buses powered by natural gas or electricity in areas over 200,000 in population. The STIF requirement for local planning looks for evidence that there is a locally developed coordination plan and a transit development plan. Project plans for the STIF funding are supposed to come out of these plans, and address specific goals in the legislation, particularly improved access for low-income households. STIF plans have to demonstrate the role of the project in supporting improved access for low-income households.

RPTD supports local planning by providing supportive technology. RPTD requires all transit fixed routes to be included in a statewide GTFS data bank, including private for-profit, intercity, private non-profit and public transit. The state has an on-going contract with a firm to develop and maintain the GTFS files. The state also has funded a statewide REMIX license. Using the GTFS data any operator can bring its routes into REMIX for service planning, and efforts are underway to develop GTFS-Flex for demand response systems. Having the GTFS data available, operators can provide it to Google for use in Google Transit and other similar systems to allow users to discover and use the entire network.

Oversight/Compliance Monitoring

RPTD has the responsibility for oversight and monitoring of its subrecipients. The division contracts with outside consultants to perform compliance reviews. As part of the FY 2019-2021 Biennium, RPTD has added a Risk Assessment Tool to its grant applications to evaluate applicants based on factors including financial stability, quality of management, performance history and findings from previous reviews and audit. The subrecipients are evaluated based on answers on the funding application, as well as other performance indicators kept by RPTD. Each subrecipient is given a risk assessment classification of high, medium or low. Moderate and high-risk agencies will receive a targeted training and supervision plan. This can include additional scrutiny of invoices, scheduled communication with Regional Transit Coordinators, specialized training or scholarships for training. Intervals between on-site compliance reviews may also be based on the risk classification.

RPTD utilizes grants management software called OPTIS, which is the basic web-based software that the Public Transit Section uses to manage grants. It automates and standardizes many transactions and serves as the system of record. A new formula program grant application tool called Cognito Forms is now being used, and ZoomGrants is used for discretionary grant applications. These are both online web-based systems, used for the application processes.

Technical Assistance and Training

The Rural Transit Assistance Program (49 U.S.C. 5311(b)(3)) provides a source of funding to assist in the design and implementation of training and technical assistance projects and other support services tailored to meet the needs of transit operators in non-urbanized areas.

RPTD uses RTAP funding for training. The training program has a dedicated state staff manager, and it provides training opportunities through scholarships, training at the annual transit conference, and driver training. The RTAP funds support these activities for rural, intercity and special needs programs, while state funds and other sources support these activities for the urban operators.

Recent training has included contracted in-person training provided by the Ride Connection and the Oregon West Cascades Council of Governments on topics including Passenger Assistance, Advanced Mobility Device Securement, Defensive Driving, Dialysis Transportation, Defensive Driving, Adult CPR/First Aid and Blood Borne Pathogen Certification. The Best Ride Training, and National RTAP/MTAP training on writing vehicle specifications is also scheduled, along with the state transit conference.

The newly formed Technical Resource Center (TRC) is funded by 1 percent of the state STIF funding. The TRC is focusing its provision of resources on three areas:

- Planning
- Technology
- Training

It provides links to a wide variety of technical resources, including reports, demonstrations, websites, etc. to provide support in these areas.

Capital Needs

As required by FTA, Oregon has developed a Group Transit Asset Management Plan (TAM Plan) for its Tier II systems. Fifty-three systems are included, including all the tribal transit systems. All systems included are either recipients or subrecipients of FTA 5311 funds who own, operate or manage public transportation capital assets used in the provision of public transportation or section 5310 funds providing transportation to the general public or a “segment of the general public” according to age, disability or income. It should be noted that most section 5310 awards are for purchase of service, so the vehicles required to provide section 5310 trips may not actually be owned and operated by the 5310 grant recipients. The plan’s performance targets for improvement to reach a State of Good Repair were set initially when the TAM Plan was completed in September 2018, but with the increase in state transit funding from the STIF program there have

been subsequent revisions in those performance targets. Most capital purchases come from section 5310, section 5339 and the STIF funding. The Tier I systems have their own TAM Plans.

RPTD has a dedicated staff member for capital, the Capital Program Coordinator. This role includes overseeing the TAM Plan/State of Good Repair progress. In addition, the Coordinator works with each system as they must use the Oregon Department of Administrative Services state price agreement contracts for vehicle procurement (or the Washington State DOT contracts) if they are using funding from RPTD. These state price agreement contracts include multiple vendors and a wide variety of vehicles ranging from heavy-duty transit buses to minivans, with options for alternative fuels. RPTD has produced technical assistance on electric buses to aid systems in considering that option. Once an operator has navigated the DAS system, the Capital Program Coordinator must approve the purchase before it is completed. The Coordinator also keeps track of vehicle disposal records.

Section 5310, Mobility Management and Coordination

Section 5310

As noted above in discussing funding and organization, section 5310 is a major part of the Oregon program. The initial expansion of the transit program at the state level came as state legislation (the Jobs and Transportation Act) flexed funds from the state's Surface Transportation Program to section 5310 to greatly expand the program. Along with that expansion came program revisions that shifted the program from vehicle purchase alone to use of the of flexibility provisions that federal changes allowed—use of funds to purchase service, use of funds for capitalized maintenance, and use of funds for mobility management. Many of these options rely on coordination at the local level, and Oregon requires a local coordination plan every three years. The implementation of the state's STP program of state funding further enhanced this coordination structure, as the STP legislation designated 42 agencies (including eight tribes) as the lead agencies receiving allocations—the section 5310 program now designates the same agencies. These lead agencies are responsible for the local coordination plans, and for conducting a local solicitation for projects that are funded out of the allocated amount. In the 2019-2021 biennium the 42 agencies were allocated a total of \$24,001,169, of which 3.6 percent was for vehicles, 3.9 percent for vehicle replacement, 18.5 percent for mobility management, and 59 percent for purchase of service.

PTAC

While some states have state-level coordinating committees that bring together representatives of the various human service and transit agencies to coordinate, in

Oregon this is largely the function of the PTAC, which includes representatives of agencies that fund primary consumers of transit service.

Non-Emergency Medical Transportation

NEMT is managed by the Oregon Health Authority (OHA) through the state's Coordinated Care Organizations, each of which has its own district.

The website <https://www.oregon.gov/oha/HSD/OHP/Pages/NEMT.aspx> presents a map and list of the brokers serving each district. Within each district, transportation is provided in a number of ways—some have brokerages (private for-profit, private non-profit and public transit providers), and the brokers may and do contract with public transit agencies and other contractors to actually provide the trips. Under the OHA program the brokers/providers are paid on a per trip basis for approved trips, rather than the capitated rate model used in some states.

Veterans Healthcare Transportation Grant Program

The Rural Veterans Healthcare Transportation Grant Program is a partnership between the Oregon Department of Veterans Affairs and ODOT Public Transportation Division. Funding is being offered for FY 2021. The purpose of the program is to fill service gaps and address barriers for veterans living in rural areas needing to access their veterans' healthcare benefits. Eligible recipients include the 42 STF agencies with service areas featuring rural census tracts (as defined by Rural-Urban Commuter codes 4 through 10) that are not presently served by the Highly Rural Veterans Transportation program through the VA. All nine of Oregon's federally recognized tribes are eligible, irrespective of rurality. The total amount available is \$500,000 for the year, with a minimum award of \$10,000 and a maximum award of \$50,000. No local match is required.

Support for Intercity and Regional Services

One of the other unique features of the Oregon program is a focus on providing regional and intercity connections to support travel outside of localities. In Oregon, this is included in the state's management plan and in funding programs as the Transit Network Program. It began with the section 5311(f) program. States are required to utilize a minimum of 15 percent of their annual section 5311 apportionment to support rural intercity bus services, unless the Governor certifies that there are no unmet rural intercity needs—in which case the funding can be utilized to meet other rural transit needs. Any such certification must follow a consultation process involving the operators of intercity services and other stakeholders, and if it identifies needs, and the state elects to certify it, then it must document the reasons for its decision. In Oregon, the effort to identify unmet needs began by looking at the network provided without subsidy by private for-

profit intercity carriers. The analysis also looked at the long-distance trips provided by local public transit and found that there were gaps in the network.

These gaps were addressed in two ways. One followed the model developed in Washington, with its Travel Washington program. In this part of the program, ODOT itself identified the needed services and contracted with private bus companies to fill gaps in the network not met by either the private carriers, Amtrak, or local transit. These gap-filling routes are designed to connect with the state-supported Amtrak Cascades services, and with local transit. They are collectively branded as the POINT (Public Oregon Intercity Transit) system and are interlined with Greyhound (who provides the in-kind match) and with Amtrak as Thruway bus routes. They are funded by a portion of the state's section 5311(f) allocation. Only private for-profit firms can bid on these routes, and they respond to an RFP and are third-party contractors to the state.

Another component of the regional/intercity service that began as an ODOT initiative is the Columbia Gorge Express. It began as a pilot project by ODOT operating on summer weekends in 2016 and 2017 between Portland, Rooster Rock and Multnomah Falls, expanding to daily, year-round service in 2018, with added stops in Cascade Locks and Hood River. In late 2019, Columbia Area Transit (CAT) assumed service for the Columbia Gorge Express bus service between Portland, Multnomah Falls, Cascade Locks and Hood River, with additional service to The Dalles. In summer 2020, ODOT had planned to continue to operate a shuttle between Multnomah Falls and Rooster Rock State Park to accommodate the tourism demand.

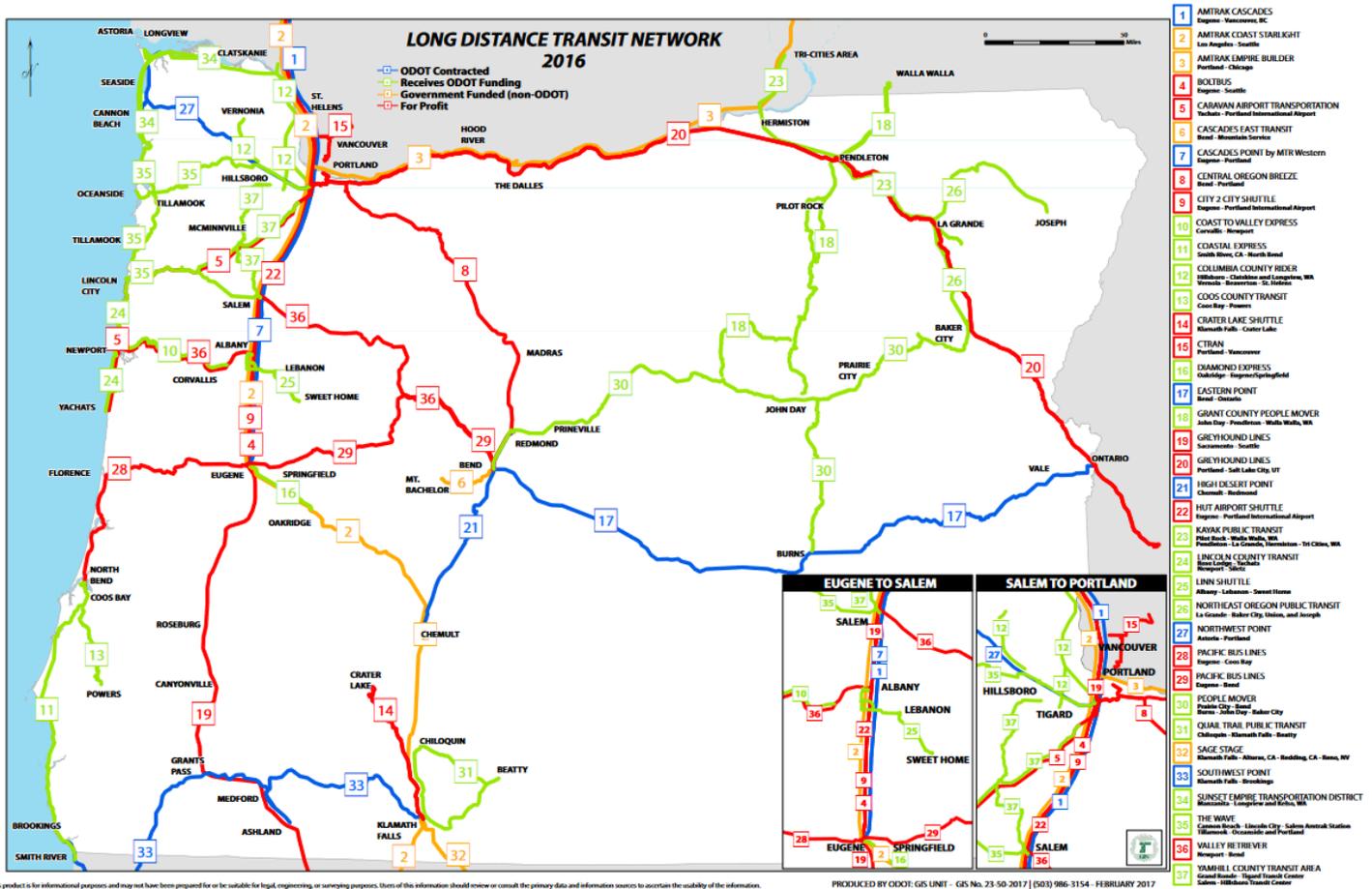
The second means of addressing regional needs uses the remaining share of the section 5311(f) funding for a discretionary grant program open only to public and private non-profit transit providers for long distance connecting services. There are requirements for connecting to the network, but this allows for more local initiative in designing these services. The legislation for the new STIF funding program recognized the Transit Network concept by designating 4 percent of the total funds for the discretionary grant program element of the Transit Network.

In order to evaluate these proposals, and to define the gaps, ODOT developed planning tools that are useful for many purposes. ODOT requires and pays for every fixed route service in the state to have available GTFS data allowing analysis of routes, schedules and connecting points. It provides a statewide REMIX license for transit route planning. Finally, to combine the data for analysis, it has worked with Oregon State to develop the TNEXT analysis tool which brings together all the data in one system to allow analysis of gaps, missed connections, etc. for any transit trip statewide. It can be used to evaluate the discretionary applications.

The result is a statewide network of local, regional and intercity services, as seen in Figure 16.

The availability of these funding sources has allowed neighboring transit systems to develop and jointly operate regional connections that also connect to the intercity network of buses and trains. A widely reported model is the Northwest Connector program, in which a number of local rural systems connect with each other and with Greyhound and Amtrak to provide regional connections over a wide area. It is a case study in itself, but it demonstrates the possibility of creating regional services out of programs that are fundamentally focused on local transit or intercity connections.

Figure 16: Oregon's Long Distance Transit Network



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Technology

In Oregon there is no statewide procurement for transit technology or software as is found in some states, nor is there any kind of statewide one-click, one-call technology system. However, as part of the Technical Resource Center activities, RPTD is currently conducting a Request for Information (RFI) to provide transit operators with information about available transit technology as a basis for ongoing assistance in this area. This assistance effort may include services such as evaluation, acquisition, and development of technologies and standards as well as incorporating them into recommended procedures. It could also include research related to technology alternatives and additional methods available. The goal is for the TRC to be able to support public transit providers with technology coordination, focusing on small to midsize transit providers who offer multiple modes of transit (fixed route, demand response, deviated fixed route). The TRC plans to offer technology procurement education and ongoing technology management tools and resources. A major objective of the RFI is to determine the capabilities of consultants to perform these functions.

Tribal Transit

Tribal entities by law are included in the state funded STF and STIF programs, and therefore are also eligible recipients for section 5310 funding. There are nine tribal entities named in the state legislation as eligible recipients, and in general, they participate in the state transit program in the same way as other eligible subrecipients in terms of applications, requirements, and compliance. Several tribes also receive rural 5311 formula funds, and four receive section 5311(c) Tribal Transit funding directly from FTA. The tribal transit systems play a significant role in rural public transportation, often as the primary general public provider in their service area.

BEST PRACTICES SPECIFIC TO THEMES IDENTIFIED THROUGH STAKEHOLDER INTERVIEWS

Beyond the five states that served as primary peers, best practices and examples from other states that could serve as appropriate resources were also identified and are detailed in this section. These practices were consistent with major themes identified through the stakeholder interviews and involve:

- **Section 5310 program administration and oversight** – Stakeholders at the local and regional levels reported issues when this program was administered by the Department of Human Service (DHS). The transition to the Office of Mobility and Public Transit provides a potential opportunity to revisit the oversight of this program, taking into account best practices from other states.

- **Coordination and overlapping service areas** – Local stakeholders expressed the need for improved coordination between transportation providers and to reduce duplication when present. A need for a central “hub” at the state level was also noted. States with practices that are effectively supporting improved coordination at the local, regional, and statewide levels relevant to Oklahoma were identified. In addition, states that are using coordinated public transit-human services plans to improve coordination and reduce duplication (beyond just the section 5310 requirement) were also identified.
- **Non-emergency medical transportation** – Through the local interviews, stakeholders noted the competition for LogistiCare contracts for NEMT services. These contracts help support many section 5310/5311 providers in the state. The competition is leading to more NEMT being provided by transportation providers who are operating services at a less expensive rate, but do not meet FTA and other safety requirements. Another concern identified by stakeholders is the potential impact on other public transportation services when local section 5310/5311 subrecipients rely on these funds as their only source of local match. If public transit providers lose NEMT revenues, because there is less local match other services also have to be reduced even if federal and state funds are available. Although each state manages NEMT service differently, examples from other states that could be explored in Oklahoma were identified and detailed.
- **Lack of funding for new vehicles** – Local stakeholders expressed concerns with relying on vehicles beyond their useful life, and the lack of resources to acquire new ones. ODOT has sought and received discretionary grant funding for transit capital as a means of reducing the percentage of the fleet that is beyond its useful life. Some agencies cannot participate due to a lack of local match for available capital funds. In the peer states other examples of effective TAM plans, procurement procedures, and management of state and federal funding to address these capital needs were identified.
- **Training and technical assistance** – Local and regional stakeholders noted a variety of areas suitable for assistance from the state level (either ODOT or OTA), through training opportunities or other resources. States that feature strong relationships and partnerships between the DOT and state transit association were identified.
- **Technology** – Through the local interviews, the need for improved technology was a theme. Examples from states that are supporting advances in technology (beyond the peer group) were identified and detailed.

- **Need for expanded transportation services** – Local stakeholders noted the need for expanded mobility options, particularly for medical, work, shopping and recreational trips. Examples of how other states are supporting these types of service expansions were identified for consideration by ODOT.
- **Creative Funding** – Stakeholders at local, regional and state levels identified a need to identify creative ways to maintain and increase funding for transit. These can include use of flexibility options available for federal transportation funds and alternative mechanisms for raising state and local transit funds.

Similar to the state peer reviews the best practices highlight specific examples where policy decisions were made that impact the administration of federal and state funding programs, along with specific actions at the state level that support local transportation providers and encourage improved mobility.

SECTION 5310 PROGRAM ADMINISTRATION AND OVERSIGHT

Stakeholders at the local and regional levels reported issues when the 5310 program was administered by DHS. The transition of the section 5310 program to the Office of Mobility and Public Transit provides a potential opportunity to revisit the oversight of this program, taking into account various resources and the following practices from other states.

Washington State Department of Transportation

Consolidated Grant Program

The Washington State Department of Transportation (WSDOT) Public Transportation Division administers federal and state public and specialized transportation grant programs. The Consolidated Grant Program awards funding to improve public transportation within and between rural communities, provide transportation services between cities, purchase new buses and other equipment, and offer public transportation services to seniors and persons with disabilities. WSDOT instituted its Consolidated Grant Program approach in 2005 to reduce the grant application burden on both local applicants and state staff.



Section 5310 program funds are allocated through the Consolidated Grant Program, that overall includes these five sources.

Federal funds

1. Section 5310 Enhanced Mobility of Seniors and Individuals with Disabilities

2. Section 5311 Formula Grants for Rural Areas
3. Section 5339(a) Grants for Buses and Bus Facilities Formula Program

State funds

4. Paratransit/Special Needs Grant Program
5. Rural Mobility Grant Program

To be eligible for funding through the Consolidated Grant Program, a project must be included in a regional Coordinated Public Transit-Human Services Transportation Plan. Although FTA only requires this for section 5310, WSDOT extends this requirement to all of the funding programs included in the Consolidated Grant Program. Regional Coordinated Public Transit-Human Services Transportation Plans are prepared and updated by the seventeen Regional Public Transportation Planning Organizations (RTPOs) designated across the state.

Following WSDOT's internal screening review and any revisions submitted by applicants, the revised, eligible applications are evaluated and ranked/scored for merit by an external review panel. WSDOT convenes an external review panel with expertise in such areas as rural transit, tribal transit, special needs transportation, asset management, funding, and planning to review and rank each project application.

In addition to (and prior to) the external review panel evaluation, each RTPO evaluates the applications for projects that would serve their region and are included in their Coordinated Public Transit-Human Services Transportation Plan. Applications for projects that are not included in a Coordination Plan are disqualified from further consideration.

The panel scoring is combined with the RTPO grading for each application to determine a final score. WSDOT then ranks all project applications across the state. By this stage of the process, WSDOT knows how much money will be available in the state funded programs and thus how big the pots of money are to be distributed. WSDOT staff then go through the prioritized list and assign each project to the appropriate grant funding based on applicant, project type and the eligibility parameters for each grant source.

More information on WSDOT's administration of section 5310 and other federal and state funding programs, along with additional details on the Consolidated Grant program, is available at: <https://www.wsdot.wa.gov/transit/grants/home>.

Maryland Department of Transportation / Maryland Transit Administration

Section 5310 Program Manual

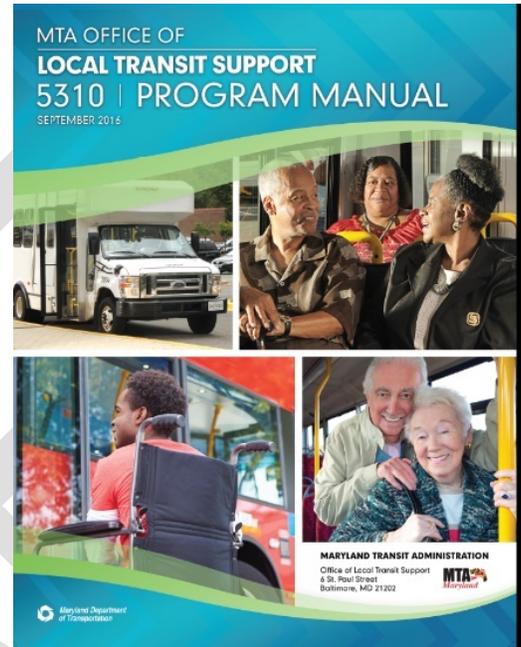
The Maryland Department of Transportation Maryland Transit Administration (MDOT MTA) is the direct recipient of Federal Transit Administration Enhanced Mobility of Seniors and Individuals with Disabilities Program (section 5310) Program funds, and through the Office of Local Transit Support (OLTS) administers this program along with other federal and state transit funding.

The OLTS developed a section 5310 Program Manual that provides comprehensive guidance on federal and state rules and regulations related to the program. This manual is geared for those subrecipients of section 5310 funds in Maryland who do not also receive other FTA funding through MTA. In most cases these subrecipients are affiliated with human service programs rather than public transit programs, and therefore are not as knowledgeable of federal requirements as are public transit providers.

The information and guidance to program applicants and subrecipients in the section 5310 Program Manual includes:

- Planning and Applying for Funding
- Civil Rights Compliance, including Title VI and Americans with Disabilities Act (ADA)
- Financial Management, Accounting, and Reporting
- Procurement of Vehicles and Other Equipment
- Transportation Service Operations
- Safety and Training
- ITS Projects and Mobility Management

The OLTS has a strong partnership with Transportation Association of Maryland (TAM), the state's transit association. Through this partnership TAM hosts a page on their website that provides specific resources, including the section 5310 Program Manual. This

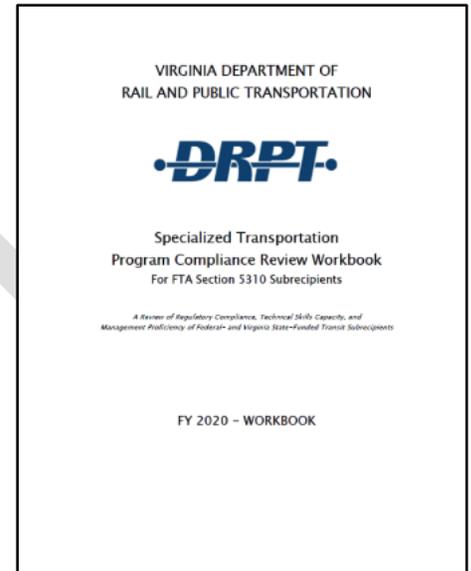


manual, along with program applications and others guides, is available at:
www.taminc.org/office-of-local-transit-support.

Virginia Department of Rail and Public Transportation Section 5310 Program Compliance

One of the federal programs administered by the Virginia Department of Rail and Public Transportation (DRPT) is the section 5310 Program. As part of the oversight of the program DRPT conducts periodic oversight reviews of each organization that receives section 5310 funding. The compliance review process provides DRPT with the opportunity to ensure that:

- Grantees that serve as subrecipients of the section 5310 program funded programs are managing these programs in accordance with the grant application, grant agreement and all applicable laws and regulations using sound management practices.
- Subrecipients have the legal, financial and technical capacity to carry out the intended use of these federal and/or state funds.
- Local grantees are also administering state-funded programs properly in accordance with funding requirements.



The DRPT compliance review process begins by:

- Contacting the subrecipient by phone to scheduling the compliance review, approximately six weeks prior to an on-site visit.
- Following up with an e-mail that confirms the site visit date, explains the purpose of the on-site visit, outlines the day's agenda and provides instructions on how to download the Compliance Review Workbook that needs to be completed in advance of the site visit.

Section 5310 Program subrecipients Grantees are asked to complete their portion of the Compliance Review Workbook, and return it two weeks before the on-site review. They are also asked to send additional information (e.g., copies of written procedures) and other materials requested in the workbook, and then email in advance of the site visit and have other information/material available for review during the on-site visit. The workbook includes the following sections:

- Organizational Management

- Project Management and Grant Administration
- Financial Management
- Satisfactory Continuing Control
- Equal Employment Opportunity (EEO)
- Drug-Free Workplace
- Operations and Service Requirements
- Service Provision
- Coordination
- Title VI: Nondiscrimination in the Delivery of Service

Desk reviews are then conducted using the documentation that a subrecipient has provided. This offers a snapshot of their technical capacity, and helps to identify specific items that need to be addressed while conducting the scheduled on-site visit.

The purpose of the site visit is to verify data from the desk review, to obtain information not available during the desk review or provided in advance, and to sample grantee records. For section 5310 subrecipients this portion of the compliance review typically requires half a day, though some program may take a full day.

The general agenda for the site visits entail:

- 1) **Entrance conference** – At the beginning of the day the review team meet with the system manager and key staff. The purpose of the review, findings of the desk review, agenda for the day, steps to the draft and final reports are explained.
- 2) **Review each area** – Using the materials provided by the subrecipient the review team goes through each review area. Questions answered satisfactorily in the Desk Review may not need to be addressed in as much detail as other areas.
- 3) **Visit facility and inspect records** – The review team inspects operating and maintenance facilities (where applicable) for general observations. Maintenance records for a sample of FTA funded vehicles and facilities are also reviewed.
- 4) **Remaining questions** – At the end of the review, and before the exit conference, the review team will go through any remaining questions not yet resolved and ask the subrecipient if any of them can be resolved at that time.
- 5) **Exit interview and draft findings** – When all site visit agenda activities are complete, an exit conference is conducted to review the draft findings, proposed improvements and/or corrective actions. This discussion is the

foundation for the report that will serve as a "corrective action plan" to address the deficiencies identified during the site review and provide a timetable for implementation that DRPT staff can use as a compliance monitoring tool for future site visits.

The ultimate goal is to have all grantees fully in compliance with FTA requirements. During the site visits the review team works with subrecipients to bring them into compliance, as some issues may be able to be corrected on the spot. In the event that the subrecipient needs additional corrective actions, these are outlined in the draft compliance report with specific timeframes for corrective actions.

COORDINATION AND MOBILITY MANAGEMENT

Local stakeholders expressed the need for improved coordination between transportation providers and to reduce duplication when present, and the Oklahoma legislature has noted the direction for mobility management efforts funded by section 5310 dollars. States across the country have implemented a variety of practices to support improved coordination at the local, regional, and statewide levels through mobility management and other coordination activities.

Nebraska Department of Transportation *Statewide Mobility Management*

Nebraska Public Transit is a program administered by the Nebraska Department of Transportation (NDOT). NDOT's Local Assistance Division is responsible for coordinating public transportation activities in Nebraska's 93 counties and provides technical assistance as requested. NDOT receives money from FTA and state transportation funds to fulfill requirements set forth by legislation that designates the department as the principal state agency responsible for coordinating public transportation activities in the state.



In 2015 NDOT initiated a Statewide Mobility Management Project, with the goal of improving travel options for residents and visitors of the state:

- Through Phase 1 a report was produced that identified regional centers across the state that were transportation destinations for medical services, shopping, and employment. During this phase market needs were also analyzed, and concepts were developed to fill gaps in service.
- In Phase 2, the state was organized into six regions based on the regional centers identified in Phase 1. Statewide and Regional Coordinating Committees were established to identify additional gaps and needs. Focusing in each region, coordination strategies were developed based on leveraging existing service

to improve access, creating system efficiencies to reduce redundant service and expanding transportation access to areas without service.

- In 2019 a Statewide Mobility Manager position was put in place to lead and assist with mobility management projects across the state. This position reviews strategies from each region, updates as appropriate, and makes a plan for implementation that works for each region.

The statewide mobility management program is a component of the partnership project between NDOT and the University of Nebraska that was developed to assist with improving and promoting public transit across Nebraska. More information on Nebraska's Statewide Mobility Management Program can be found at: <https://nebraskatransit.com/index.php/mobility-management/>.

Michigan Mobility Management and Coordination

In Michigan there are a variety of efforts to improve the coordination of transportation services. These include:

- Implementing local and regional mobility managers who support efforts to coordinate services and expand mobility. The Michigan DOT Office of Passenger Transportation annual application process provides funding to support mobility management projects through section 5310 and section 5311 programs.
- Creating a Michigan Mobility Managers Google Group, whose stated purpose is to provide education and support to expand mobility options for their communities. This group meets quarterly through conference calls to share information and to discuss training and other opportunities.
- Conducting a statewide transit study that resulted in ten regional coordinated mobility plans that served as the basis for regional coordination efforts and met the FTA coordinated planning requirements for the section 5310 Program.
- Creating the Michigan Transportation Connection (MTC) through the Michigan Public Transportation Association. MTC is a 501(c)(3) non-profit organization transportation brokerage, delivering non-emergency medical transportation and other specialized transportation services in some parts of the state. The transportation networking companies (TNC) model utilizes existing taxpayer funded infrastructure, such as the United Way's 2-1-1 Call Centers; Public Transit Mobility Managers; and Area



The IFB states that the highest emphasis will be placed on safety of passengers. To this end the IFB requires providers to have at least five years of experience in operating NEMT services and ensure that all their drivers are in an appropriate United States Department of Transportation (USDOT) drug and alcohol testing program, or a non-USDOT drug and alcohol testing program which mirrors the USDOT requirements. The IFB also includes a variety of requirements with regard to prescribed criminal and background checks, defensive driving, and CPR and other training-- all ones that public transportation operators meet and exceed.

With support from the Arkansas Transit Association (ATA), several rural public transit systems have been successful with their bids and operate NEMT services. Specifically, ATA has provided technical assistance with the writing and submission of the extensive proposal that is required in response to the IFB.

Vermont Public Transportation Association

Brokering Medicaid NEMT

The ten transit agencies in Vermont had, for many years, been operating the Medicaid NEMT program in Vermont through the Department of Vermont Health Access (DVHA). These transit agencies managed the entire program: they accepted trip requests, approved trips and passenger eligibility, and provided trips, typically using an array of providers. Volunteer drivers were often used to provide the Medicaid trips, and transit agencies and other providers were also used.

DVHA decided to change its model to a capitated brokerage. This new model required a broker to do all of the intake and eligibility functions that the transit agencies were already doing. Based on experiences in neighboring states, the transit agencies felt that the capitated model was not conducive to the use of public transit. Moreover, without Medicaid NEMT, the transit agencies would lose critical funding that would impact all of their services, much of which was access to health care.

The transit agencies, through the Vermont Public Transportation Association formed a consortium to submit a proposal to manage and operate the Medicaid NEMT brokerage. Their proposal was successful. The service has been in operation for three years.

ADMINISTRATION OF CAPITAL FUNDING

Local stakeholders expressed concerns with relying on vehicles beyond their useful life, and the lack of resources to acquire new ones. In addition to the peer states, other examples of effective TAM plans, procurement procedures, and management of state and federal funding to address these capital needs, can be considered.

Virginia Department of Rail and Public Transportation *TransAM*

TransAM is the system the Virginia Department of Rail and Public Transportation (DRPT) uses to track the asset inventories of the transit providers across the commonwealth. The asset data is currently used to determine when replacement assets should be funded, as well as to forecast state of good repair needs of the transit providers.



Subrecipients are responsible for updating the inventories when vehicles are received or sold, facilities are built or rehabbed. Beginning in FY 2020, DRPT is allocating capital funds by a scoring mechanism, and the prioritization of replacement assets is based on the data in TransAM. The TransAM requirements and process involve:

- Subrecipients must update all assets by February 1 and August 1 of each year. This process includes removing old assets and adding newly received assets to the inventory, as well as, updating condition codes and mileage.
- Rolling stock: The TransAM inventory includes all revenue vehicles that are purchased with state-controlled funding sources. Subrecipients need to include any vehicles that are being used to fulfill programmatic goals and that they intend to seek state funding to replace at the end of its useful life. Midlife overhauls are also tracked in TransAM.
- Equipment: Although the federal Transit Asset Management (TAM) Plan only requires inclusion of items or groups of items valued in excess of \$50,000, DRPT requires that all service vehicles be entered into TransAM and updated as needed. Likewise, although the TAM Plan only requires including pieces of equipment that are over \$50,000 in value, any large individual assets (lifts, washes, etc) must be can be entered in TransAM so the application to replace an asset can be evaluated as a state of good repair need.
- Facilities: All transportation, transit or transfer centers, park-and-ride facilities, and transit malls if they have an enclosed structure (building) for passengers for items such as ticketing, information, restrooms, concessions, and telephones must be entered into TransAM.
- Additional details on DRPT's TransAM system is available at:
<http://www.drpt.virginia.gov/media/2602/trans-am-entry-requirements-final-1.pdf>

TRAINING AND TECHNICAL ASSISTANCE

Local and regional stakeholders noted a variety of areas that are suitable for assistance from the state level (either ODOT or OTA), through training opportunities or other resources.

Arkansas Department of Transportation *Rural Technical Assistance Program Administration by Arkansas Transit Association*

The Arkansas Transit Association (ATA) administers RTAP for the state through a grant agreement with the Arkansas Department of Transportation (ARDOT). All RTAP funds received by Arkansas are passed to ATA through this agreement. The ATA Board of Directors serves in the advisory capacity for the RTAP funding.

RTAP funds support a full-time trainer employed by the association, and ATA notes that their award-winning training program is widely known as one of the most effective and innovative in the country. ATA provides public transit, paratransit, and community human services agencies with a wide range of passenger transportation trainings.

ATA's Training Program specializes in passenger transportation safety, and a variety of low-cost courses are conveniently offered to ATA members. Courses are adapted to each agency's specific needs, and ATA states that great care is taken to deliver updated and relevant material. A course listing is available at <https://www.arkansastransit.com/training/course-descriptions/>.

ATA's offices are located in the Arkansas Public Transit Safety and Resource Center in North Little Rock. Built in 2002 with federal and state funding assistance, this training facility hosts trainings as well as a variety of meetings, workshops, and seminars.

ATA also co-sponsors an annual Public Transportation Conference in conjunction with ARDOT and FTA. In addition, ATA administers three Drug and Alcohol Testing Program Consortia for employee testing and helps with policy development, training and legal compliance. Other association benefits include a Workers' Compensation Self-Insured Trust Fund, and free traffic violation reports for public and non-profit members.

According to the latest national survey of RTAP programs conducted by the National Rural Technical Assistance Program (NRTAP), in 2020 53 percent of the states provided their RTAP programs in-house, with 27 percent completely outsourcing their program, and 20 percent using a combination model with some elements outsourced. Of the 21

states that outsource some or all of their program management, six use their state transit associations, three use universities, and eleven use one or more private contractors.

California Association for Coordinated Transportation (CALACT)

CALACT is a statewide, non-profit organization that represents the interests of small, rural, and specialized transportation providers in California. CALACT is the largest state transit association in the United States, with over 300 members that include operators of small and large systems, planning and government agencies, social service agencies, and suppliers.

CALACT is under contract to the California Department of Transportation (Caltrans) to implement RTAP in California. Through RTAP CALACT provides technical and training materials produced by the National RTAP and supplements their program with California-specific technical assistance, management workshops, peer networking and scholarship assistance.

CALACT is a co-sponsor of the Transit and Paratransit Management Certificate Program, in partnership with the University of the Pacific Westgate Center for Leadership and Management Development. This certificate program is geared to the management and future managers of rural, small, and medium-sized transit agencies, human service organizations, or private operators.

More information on the training and technical assistance provided by CALACT is available at: <https://www.calact.org>

Illinois Rural Transit Assistance Center

The Rural Transit Assistance Center (RTAC) is a program of the Illinois Institute for Rural Affairs, housed at Western Illinois University. RTAC was created in 1990 and operates under an inter-agency agreement with the Illinois Department of Transportation (IDOT). The RTAC mission is to promote the safe and effective delivery of public transportation in rural areas and more efficiently use public and private resources.

RTAC fulfills its mission through providing the Rural Transit Assistance Program (RTAP) for the state of Illinois. RTAC also serves as the clearinghouse for the Illinois Coordinating Committee on Transportation, created by legislation to encourage the coordination of public and private transportation services, with priority given toward services directed toward those populations who are currently not served or are underserved by existing public transportation.

More information on the RTAC is available at: <http://www.iira.org/rtac/>.

North Carolina Driver Training Standards

In addition to recommending to subrecipients that their staff be trained, a state may adopt a policy that requires subrecipients to ensure that their staff have taken particular training courses and are maintaining their expertise through continuing training. In 2011, the Public Transportation Division of the North Carolina DOT established a requirement for “Minimum Training Standards for Community and Human Service Transportation Vehicle Operators”. The following types of training are required upon hire and annually:

- Defensive driving (certified program or equivalent)
- Americans with Disabilities Act—training to ‘proficiency’ (expert performance)
 - Sensitivity training
 - Passenger assistance
 - Wheelchair handling
 - Wheelchair securement (passenger and mobility aid)
 - Wheelchair lift inspection
 - Wheelchair lift operation (normal and emergency)
- Bloodborne pathogens—OSHA Standard
- Emergency procedures
 - Communication and notification procedures
 - Accident/incident reporting procedures
 - Passenger handling procedures
 - Vehicle and facility evacuation procedures
 - Driver and passenger security training
 - Emergency evacuation procedures and training
 - Emergency equipment usage
 - First aid
 - Bloodborne pathogens kit
 - Emergency triangles
 - Fire extinguishers

This list is prescriptive but is not intended to limit training beyond these topics. Subrecipients are required to keep records of training received by staff in their personnel files, and samples of training records are reviewed as part of the subrecipient compliance monitoring process.

As a result of these training requirements, the state’s non-emergency medical transportation program agreed to accept the public transit program’s subrecipients as meeting the NEMT training requirements, facilitating their ability to provide client trips under that program.

A state program that requires certain kinds of training also needs to develop and maintain the provision of appropriate training courses and materials to allow the standards to be met, which may necessitate the development of training and technical assistance staff as part of the state program.

South Carolina Department of Transportation *Transit Subrecipient Portal*

The South Carolina DOT Office of Public Transit is responsible for the administration and oversight of federal and state programs that support public transportation in South Carolina. RTAP noted that the state program and local operators have gone through three state management program reviews with a clean bill of health and no findings.

As part of the training and technical assistance provided to local transit systems, the Office of Public Transit provides a Transit Subrecipient Portal on their website that provides a variety of resources, forms and sample documents. The list includes resources that support :

- Development and submission of funding applications
- Compliance with federal requirements
- Development of Transit Asset Management plans

The South Carolina DOT Office of Public Transit – Transit Subrecipient Portal is available at: <https://www.scdot.org/inside/inside-PublicTransit.aspx#portal>

NEED FOR EXPANDED REGIONAL TRANSPORTATION SERVICES

Local stakeholders noted the need for expanded regional mobility options, particularly for medical trips and for veterans. This section provides two best practices on how other states are supporting these types of service expansions.

The examples are included, and further detailed, in the *Best Practices in Rural Regional Mobility* research conducted through the National Cooperative Research Program for the American Association of Highway and Transportation Officials Standing Committee on Public Transportation. This resource provides additional practices that could be considered or supported by ODOT, and is available at: <https://apps.trb.org/cmsfeed/TRBNetProjectDisplay.asp?ProjectID=3784>.

The objective of this research was to identify and evaluate practices being used by state DOTs and rural regional planning agencies to plan and provide for rural regional

mobility. These practices meet the FTA definition of public transportation or the FTA definition of intercity bus” and preferably are practices that effectively blend these two modes and are supported with a combination of section 5311 and 5311(f) funds. Practices identified through the research also include examples of coordinated public and human services transportation.

Colorado Department of Transportation

Bustang Interregional Express Bus Service

Created in 2009 via state legislation, the Colorado Department of Transportation (CDOT) Division of Transit and Rail is responsible for planning, developing, operating, and integrating transit and rail into the statewide transportation system. The responsibilities of the division include administering and expending state and federal funds for transit projects including facilities, equipment, services and provision of grants to transit operators.

In response to the loss of intercity bus services and the recommendations from a commuter bus study, CDOT implemented interregional express bus service,



connecting major populations, employment centers and local transit entities along the I-25 and I-70 corridors under the Bustang brand. This service is operated under contract for CDOT and has been well received, with ridership exceeding forecasts. Nine routes are now in place connecting communities throughout Colorado.

The planning process for the Bustang service focused on the previous intercity and rural regional network and resulted in more detailed route and service proposals. This included potential timetables (allowing consideration of potential connections, the possibility of in-kind match, and assessment of potential duplication of unsubsidized service), a strategy for shifting intercity program routes to competitively bid contracts, and extending the statewide branding concept to rural regional services and the intercity network, with a goal of implementing a connected statewide network. Funding includes the section 5311(f) allocation with Greyhound in-kind match for maintaining the intercity network, and a combination of shifting of resources and limited state operating funds to initiate rural regional services. There is more state funding available for capital, and CDOT purchased buses to be used for intercity and rural regional services that allowed for lower operating costs, improved services, and common branding under the Bustang name.

Implementation of the Bustang service responded to rural regional needs identified through both regional and state level planning. It was the result of ongoing involvement in the planning process across levels, with local transit providers and planners participating in the development of state proposals for new service, and state support and

involvement in local service planning. To a much greater extent than most states, there is direct state involvement in the design and implementation of regional services and in the vision for a statewide network that includes rural intercity bus routes and rural regional services.

More information on CDOT's Bustang program is available at: <https://ridebustang.com/>.

Minnesota Department of Transportation

Transit for Our Future Initiative - Funding for Regional Projects

The Minnesota Department of Transportation (MnDOT) administers federal and state transit programs through its Office of Transit, which also directs planning and research studies, provides technical assistance, ensures program compliance and coordinates statewide pedestrian and bicycle activities. In Minnesota, state statutes require that public transportation be available to all citizens in all counties, which results in 59 separate local and regional public transportation providers in the state.

The Office of Transit developed the statewide Transit for Our Future Initiative to encourage and assist established public transit providers to develop and implement local solutions to improve efficiency and service. The initiative developed a framework for this effort that includes three levels of joint action that could be implemented by two or more transit systems to achieve these objectives. These are described by MnDOT as the three C's: Coordination, Cooperation and Consolidation.

- **Coordination:** A formal relationship between multiple systems, each of which maintains a separate identity and authority, including vehicle operation. Coordination may focus to a large extent on information sharing or providing information. Examples might include joint support for a mobility coordinator, travel trainer or joint grant preparation.
- **Cooperation:** Involves more joint decision-making and activity between multiple agencies under formal interagency agreements, managing resources of a distinct organization or service. Examples might include a joint Mobility Manager, joint purchasing, and sharing of resources such as technology or facilities.
- **Consolidation/partnering/merging:** Combining all operational authority and control in a single combined agency that provides service based on agreements between the agencies. The basic example is combining multiple systems into a single system with its own policy board, branding and services.

The MnDOT initiative demonstrates that state transit programs can support the creation of regional transit organizations and services without top-down mandates by offering:

- Technical assistance
- Funding for restructuring/feasibility studies
- Studies/plans to help identify needs for regional services
- Templates for organizational structures, agreements, and contracts
- Funding for transition costs, including re-branding, marketing, changes to hardware and software, and human resources costs
- Funding for operations of new regional services (until they can be included in ongoing grants to the consolidated system)

TECHNOLOGY

Through the local interviews the need for improved technology was a theme. The accepted best practice by many states is to allow transit systems to procure their own technology with support from the state DOT. An Arizona DOT representative indicated that there are too many differences and variations in the system's needs for the state to attempt to conduct a procurement that would satisfy the operators. Transit systems in many cases are simply conducting their own analysis and procurement with state technical and funding support.

Similar to the peer states, most state DOTs provide a variety of support in the acquisition of technology. This may include seeking and administering federal funding that can support technology improvements such as federal funds through the U.S. DOT Better Utilizing Investments to Leverage Development (BUILD) Transportation Discretionary Grants program (formerly the Transportation Investment Generating Economic Recovery grant program known as TIGER). As discussed in the Ohio peer review, federal funds may be acquired for use with technology improvements such as new communications, scheduling and dispatching software for rural transit operators.

States can also pursue and facilitate efforts to support local transit providers with technology improvements through state level education opportunities. For instance the recently launched National Center for Applied Transit Technology (N-CATT), a technical assistance center funded through a cooperative agreement between CTAA and FTA, is partnering with state DOTs in Maine, Minnesota, Mississippi, and New Mexico to host State Technology Summits for small urban, rural, and tribal transit operators in those states. Each State Summit will provide an organized forum for attendees to discuss achievable goals for their systems and learn about promising practices, collaboration strategies and potential solutions. Participants will develop specific, measurable plans to accomplish their technology goals.

Nebraska Department of Transportation Nebraska Transit Technology

Nebraska is one state currently in the process of a statewide technology project. In early 2020 the Nebraska Department of Transportation (NDOT) created a Request for Qualifications (RFQ) to prequalify a number of vendors who could provide local transit with scheduling/dispatching software. NDOT requested qualifications for two software packages: a basic software package more useful for smaller agencies, and also for a more advanced package. An evaluation team scored each vendor based on the proposals, demonstrations and cost proposals. Rather than selecting one vendor for each option, NDOT curated preapproved lists for basic and for advanced software for agencies to choose from when selecting a vendor. The primary baseline requirement was that data would be able to be shared between systems and with the state.

NDOT recently completed the evaluation, and subsequently released a software vendor list with vendors that met basic requirements of the RFQ—and are now pre-approved to contract with transit agencies in Nebraska. Vendors are invited to the Nebraska Transit Technology Fair to be held on August 5, 2020 that will provide transit managers, drivers and dispatchers the opportunity to participate in demonstrations and ask questions.

This process followed a previous one through which the state procured a single technology solution, and then any local transit agency who wanted the software could purchase it through that contract. Only four transit systems did so, therefore through the updated process NDOT wanted to provide local agencies with more choices and options.

CREATIVE FUNDING

Stakeholders in Oklahoma identified a need for creative funding mechanisms to support public transportation. There are a number of potential mechanisms used in various locations around the country. Some take advantage of the flexibility available under different federal transportation programs regarding local match, others flex available federal funds to the transit programs. Some examples are provided below.

Taking Advantage of Flexibility in Federal Funding

A number of state transit programs take advantage of the allowed flexibility in federal transportation funding programs to supplement the FTA formula funding programs. Under most of the federal programs there are provisions allowing for the states to shift funding between programs, subject to particular constraints. States may be able to use these provisions to draw down more of the available federal funding, and to shift it to

address particular transit needs. However, while these strategies may increase transit funding, they do not increase the overall amount of federal transportation funding that a state receives.

Texas Department of Transportation

Toll Credits for Match

One example of a state utilizing federal flexibility is found in Texas, where the state uses “toll credits” as local match for transportation projects, allowing more of the available federal funding to be used. These are actually named the “Transportation Development Credit Program”, and the current rules governing the program were adopted on July 13, 2012. It takes advantage of a financing tool approved by the Federal Highway Administration (FHWA) that allows states to use federal obligation authority without the requirement of providing matching dollars—instead matching the federal funds with credits earned when the state, a toll authority or a private entity funds a capital transportation investment with toll revenues earned on existing toll facilities. The value of the toll credits is net of the revenues needed for debt service, returns to investors or the operation and maintenance of toll facilities. The idea is that the use of the credits in lieu of cash match will allow the state or local funds that would have been need for match to be used for other projects. The credits are not funds themselves, but a type of in-kind match.

Under the Texas program, 75 percent of credits are allocated to the metropolitan planning organization (MPO) in whose region they were earned and 25 percent are allocated on a competitive statewide basis by TXDOT. There is a specific allocation for public transit projects, which is equal to the lesser of 15 million credits⁴ or fifty percent of the credits available for award by the state transportation commission on the first of the year.

Vermont Agency of Transportation

Use of CMAQ and STP Funding for Urban and Rural Transit

Another creative use of federal funding can be found in Vermont, which uses CMAQ and FHWA STP funding flexed into the state’s FTA programs, both urban (Section 5307) and rural (Section 5311). Federal CMAQ (Congestion Mitigation Air Quality) funds are provided to the states for air quality projects. Even states that have no nonattainment or maintenance areas still receive a minimum apportionment of CMAQ funding. Funds may

⁴ The Texas program guidance specifically refers to “credits” rather than “dollars”, even though one credit is worth one dollar in match. This is to avoid creating the impression that the credits have dollar value that can be used to pay for program activities or projects—they do not, their only value is that they can be counted to meet local match requirements, potentially freeing actual local dollars to pay for programs or projects.

be used for any transit capita expenditures otherwise eligible for FTA funding as long as they have an air quality benefit. This provides funding that may be used by states and localities for a wide range of projects to preserve and improve the conditions and performance of surface transportation, including highway, transit, intercity bus, bicycle and pedestrian projects.

In 2019 Vermont flexed \$19,698,161 of STP and CMAQ FHWA funds to the FTA programs for a combination of capital, maintenance, administration, and operating purposes. Only CMAQ funds can be flexed to support operating projects, and then only for three years for new service. Of that amount, \$13,741,800, was used for statewide rural funding and \$4,689,820 was used for the Burlington urban area. This brings the FTA urban formula and flexed funding to a total of \$8,689,257 and rural formula and flexed funding to a total of \$22,966,618.

Once flexed, the funds take on the requirements and conditions of the transit program in question. For example, in Vermont the 15 percent set-aside requirement for rural intercity bus applies to the expanded rural program, and the flexed funding is used to meet this requirement. The in-kind match option for intercity bus applies to this funding as well, and so can be used to provide the local match for this aspect of the rural program.

Oregon DOT Use of STP and CMAQ Funding

Use of CMAQ and STP Funding for Urban and Rural Transit

Another example of the use of flexibility in federal funding programs is the use of Surface Transportation Program (STP) and CMAQ funding by the Oregon DOT for transit projects. In 2019 Oregon planned on flexing \$44 million dollars in Federal Highway Administration (FHWA) funding to transit, in addition to the funds provided under the formula programs for rural, urban and specialized transit. The FHWA funds flexed came from the CMAQ and STP programs, including MPO directed STP block grant allocations.

The flexed funds were used to supplement funding for formula distribution to local areas in Oregon to address a variety of programs:

- Projects to address air quality attainment goals-\$13.5 million
- Section 5310-\$12.1 million, primarily for capital
- MPOs-\$14.9 million for local projects
- Bus capital:
 - “Enhance” program--\$1.5 million for expansion capital such as buses and transit centers
 - “Fix-It Non-Highway” projects-\$7 million for bus replacements

Amounts vary somewhat by year, but this list demonstrates that the flexed funds are provided to support a variety of projects across the state. As match requirements remain

for the flexed funds, there is an important role for the state's expanded state transit funding programs.

State Funding for Public Transportation

In addition to utilizing the flexibility available in federal transportation funding programs, many states provide significant funding for public transportation. Collectively, in fact, the states provide more funding than do the federal transit programs. According to the 2020 Survey of State Funding for Public Transportation produced by the American Association of State Highway and Transportation Officials (AASHTO), in FY 2018 states provided \$19.2 billion for public transportation compared to Federal funding of \$12.9 billion. The states use a wide variety of sources for public transportation funding, including:

- General sales taxes
- Bond proceeds
- Vehicle sales tax
- Trust funds
- Gas taxes
- Interest income
- Lottery or Casino tax funds
- General fund allocations
- Vehicle registration, licensing or titling fees
- A combined state transportation fund
- Other specialized funding sources—such as air quality funds, cigarette taxes, payroll taxes, taxes on rental cars, etc.

The AASHTO study found that fifteen states use general fund allocations, fourteen use state transportation funds, ten use gas tax revenues, nine use bond proceeds, seven use vehicle licensing/registration/titling fees, five use general sales tax revenues, three use trust fund income, three use interest income, one used vehicle sales tax and one used lottery revenues only—but twenty-four states used “other” sources. Twenty-four states relied on a single source of funding for transit.

The level of funding varies considerably. The AASHTO study ranks states based on their per capita funding for public transportation, from \$803.77 in the District of Columbia to no state funds in four states. Exhibit 1 presents the ranking of state funding per capita.

Exhibit I: State Funding for Public Transportation-Ranking of Per Capita Investment

Survey of State Funding for Public Transportation

Table I-8. Reported Investment for 51 DOTs by Per Capita Funding

State	Population as of 7/1/2018	FY2018 State Transit Funding	FY2018 Per Capita Funding
DC	702,455	\$564,610,302	\$803.77
Massachusetts	6,902,149	\$2,105,381,276	\$305.03
New York	19,542,209	\$5,222,193,300	\$267.23
Alaska	737,438	\$181,178,229	\$245.69
Connecticut	3,572,665	\$651,477,883	\$182.35
Illinois	12,741,080	\$2,302,779,973	\$180.74
Maryland	6,042,718	\$1,032,129,469	\$170.81
Pennsylvania	12,807,060	\$1,689,999,183	\$131.96
Delaware	967,171	\$102,177,731	\$105.65
Minnesota	5,611,179	\$493,700,000	\$87.99
California	39,557,045	\$2,635,079,270	\$66.61
Rhode Island	1,057,315	\$58,441,037	\$55.27
Virginia	8,517,685	\$454,232,979	\$53.33
New Jersey	8,908,520	\$389,474,344	\$43.72
Michigan	9,995,915	\$307,190,392	\$30.73
Wisconsin	5,813,568	\$113,487,500	\$19.52
Florida	21,299,325	\$375,809,491	\$17.64
Washington	7,535,591	\$106,996,000	\$14.20
Vermont	626,299	\$7,955,199	\$12.70
Indiana	6,691,878	\$65,288,653	\$9.76
North Carolina	10,383,620	\$93,943,490	\$9.05
Tennessee	6,770,010	\$56,040,141	\$8.28
Oregon	4,190,713	\$29,158,082	\$6.96
Iowa	3,156,145	\$15,932,516	\$5.05
North Dakota	760,077	\$3,831,141	\$5.04
Kansas	2,911,505	\$11,000,000	\$3.78
Nebraska	1,929,268	\$6,297,705	\$3.26
Wyoming	577,737	\$1,718,187	\$2.97
New Mexico	2,095,428	\$5,700,000	\$2.72
Colorado	5,695,564	\$15,000,000	\$2.63
Arizona	7,171,646	\$11,652,906	\$1.62
Georgia	10,519,475	\$16,000,744	\$1.52
Oklahoma	3,943,079	\$5,750,000	\$1.46
West Virginia	1,805,832	\$2,262,989	\$1.25
Texas	28,701,845	\$34,991,068	\$1.22
South Carolina	5,084,127	\$6,000,000	\$1.18
Arkansas	3,013,825	\$3,526,664	\$1.17
Maine	1,338,404	\$1,540,322	\$1.15
South Dakota	882,235	\$1,000,000	\$1.13
Louisiana	4,659,978	\$4,955,000	\$1.06
New Hampshire	1,356,458	\$1,353,603	\$1.00
Montana	1,062,305	\$825,000	\$0.78
Ohio	11,689,442	\$6,500,000	\$0.56
Mississippi	2,986,530	\$1,600,000	\$0.54
Kentucky	4,468,402	\$1,845,949	\$0.41
Missouri	6,126,452	\$1,710,875	\$0.28
Idaho	1,754,208	\$312,000	\$0.18
Alabama	4,887,871	\$0	\$0.00
Hawaii	1,420,491	\$0	\$0.00
Nevada	3,034,392	\$0	\$0.00
Utah	3,161,105	\$0	\$0.00
TOTALS	327,167,434	\$19,200,030,593	

Source: U.S. Census Annual Estimates of the Resident Population: April 1, 2010–July 1, 2018.

From the Final Report 2020—FY 2018 Data Survey of State Funding for Public Transportation, Copyright 2020, by the American Association of State Highway and Transportation Officials, Washington, D.C. Used by permission.

Comparing Oklahoma’s level of per capita funding for public transportation to the five peer states:

- Oklahoma: \$1.46
- Arizona: \$1.62
- Kansas: \$3.78
- Ohio: \$0.56
- Oregon: \$6.96

Ohio provides a relatively low level of state funds for transit (\$0.63 per capita, according to the AASHTO study) but flexes \$20 million of other federal transportation funding into the public transit program, effectively raising the per capita amount to \$2.27 per capita.

Often a state may use some combination of funding sources and may use them in combination with the federal funding flexibility provisions. For example, Texas uses the Transportation Development Credits (or “toll credits”) to provide match for some of its transit funding, and that allows the available state funding for transit to stretch further because it does not have to be used for match.

States also may link particular sources with types of service or geographic areas. For example:

- Oregon uses a variety of sources for its state transit funding, including a statewide payroll tax, general funds, cigarette taxes, the fees from the ID cards provided by the Department of Motor Vehicles, gas taxes on fuel for non-highway use, and fees on custom license plates.
- Pennsylvania funds the Public Transportation Trust Fund (PTTF) with a combination of general sales tax revenue (4.4%), bond proceeds, lottery revenue, vehicle registration fees, vehicle code fines, Turnpike revenue, vehicle lease/tax fees, and funds from the PTTF reserves. Pennsylvania used lottery funds to provide free rides for Senior Citizens on fixed-route services and additional lottery funding to provide reimbursement for 85 percent of eligible fares for demand responsive services for senior citizens—a total of \$83 million for the Shared Ride Program for Senior Citizens.
- Arizona uses funding from the Arizona Lottery for transit in Maricopa County.

In addition, it should be noted that state governments may also grant local governments the ability to collect specified taxes to support public transportation, if the local governments are not able to do this on their own. This can include property tax increments, local vehicle tag fees, parking taxes, local sales taxes, vehicle lease or rental

fees and other specific fees. In some cases the state permits these additional taxes only for local governments in particular areas—in cases where the high population numbers and density warrant more transit service than taxpayers in the rest of the state see as necessary. So, for example in Texas there are local Transit Sales and Use Taxes for six metropolitan transit authorities, two city transit departments, one county transit authority and one “advanced transportation district”. In Virginia, nine jurisdictions in northern Virginia are permitted to enact gas taxes for transit.

The wide variety of state and local tax sources, and the fact that they are developed based on each state’s legal and fiscal environment makes it difficult to identify a best practice for funding—the best practice is to be creative in seeking funding appropriate to the needs, both in terms of needed funding levels and the geographic differences in need and usage.

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