TCRP

REPORT 154

TRANSIT COOPERATIVE RESEARCH PROGRAM

Sponsored by the Federal Transit Administration

Developing, Enhancing, and Sustaining Tribal Transit Services: A Guidebook

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TRANSIT COOPERATIVE RESEARCH PROGRAM

TCRP REPORT 154

Developing, Enhancing, and Sustaining Tribal Transit Services: A Guidebook

Albert T. Stoddard III
LSC Transportation Consultants, Inc.
Colorado Springs, CO

In association with

David Sampson
Jill Cahoon
AECOM USA, Inc.
Southport, CT

Ronald Hall
Tribal Technical Assistance Program
Colorado State University
Fort Collins, CO

Peter Schauer
Peter Schauer Associates
Boonville, MO

Valerie J. Southern
Valerie J. Southern—Transportation Consultant, LLC
Fairfax, VA

Tangerine Almeida
LSC Transportation Consultants, Inc.
Colorado Springs, CO

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TRANSIT COOPERATIVE RESEARCH PROGRAM

The nation's growth and the need to meet mobility, environmental, and energy objectives place demands on public transit systems. Current systems, some of which are old and in need of upgrading, must expand service area, increase service frequency, and improve efficiency to serve these demands. Research is necessary to solve operating problems, to adapt appropriate new technologies from other industries, and to introduce innovations into the transit industry. The Transit Cooperative Research Program (TCRP) serves as one of the principal means by which the transit industry can develop innovative near-term solutions to meet demands placed on it.

The need for TCRP was originally identified in *TRB Special Report 213—Research for Public Transit: New Directions,* published in 1987 and based on a study sponsored by the Urban Mass Transportation Administration—now the Federal Transit Administration (FTA). A report by the American Public Transportation Association (APTA), Transportation 2000, also recognized the need for local, problem-solving research. TCRP, modeled after the longstanding and successful National Cooperative Highway Research Program, undertakes research and other technical activities in response to the needs of transit service providers. The scope of TCRP includes a variety of transit research fields including planning, service configuration, equipment, facilities, operations, human resources, maintenance, policy, and administrative practices.

TCRP was established under FTA sponsorship in July 1992. Proposed by the U.S. Department of Transportation, TCRP was authorized as part of the Intermodal Surface Transportation Efficiency Act of 1991 (ISTEA). On May 13, 1992, a memorandum agreement outlining TCRP operating procedures was executed by the three cooperating organizations: FTA, the National Academies, acting through the Transportation Research Board (TRB); and the Transit Development Corporation, Inc. (TDC), a nonprofit educational and research organization established by APTA. TDC is responsible for forming the independent governing board, designated as the TCRP Oversight and Project Selection (TOPS) Committee.

Research problem statements for TCRP are solicited periodically but may be submitted to TRB by anyone at any time. It is the responsibility of the TOPS Committee to formulate the research program by identifying the highest priority projects. As part of the evaluation, the TOPS Committee defines funding levels and expected products.

Once selected, each project is assigned to an expert panel, appointed by the Transportation Research Board. The panels prepare project statements (requests for proposals), select contractors, and provide technical guidance and counsel throughout the life of the project. The process for developing research problem statements and selecting research agencies has been used by TRB in managing cooperative research programs since 1962. As in other TRB activities, TCRP project panels serve voluntarily without compensation.

Because research cannot have the desired impact if products fail to reach the intended audience, special emphasis is placed on disseminating TCRP results to the intended end users of the research: transit agencies, service providers, and suppliers. TRB provides a series of research reports, syntheses of transit practice, and other supporting material developed by TCRP research. APTA will arrange for workshops, training aids, field visits, and other activities to ensure that results are implemented by urban and rural transit industry practitioners.

The TCRP provides a forum where transit agencies can cooperatively address common operational problems. The TCRP results support and complement other ongoing transit research and training programs.

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AUTHOR ACKNOWLEDGMENTS

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FOREWORD

By Stephan A. Parker
Staff Officer
Transportation Research Board

TCRP Report 154: Developing, Enhancing, and Sustaining Tribal Transit Services: A Guidebook provides an overview of the tribal transit planning process and detailed guidance about the various steps for planning and implementing a tribal transit system. The steps that are described may be used for planning a new transit system, enhancing an existing service, or taking action to sustain services. While the guidebook is primarily aimed at tribal transit planners, it will also be of interest to tribal transportation planners and liaisons at all levels of government.

In the research effort led by LSC Transportation Consultants, Inc., data were collected from 67 tribes during Phase 1 and more detailed information was collected from 48 tribes during Phase 2. Fifteen tribes were visited for the development of case studies. Data were collected regarding the type of transit services, the size and scope of the transit programs, and funding approaches. Characteristics of successful tribal transit programs were identified and explored in more detail. Tribes that have not been successful in establishing a transit program were sought out to determine reasons for lack of success. Five common characteristics for sustainability of tribal transit programs were identified: planning, local leadership, cooperation and coordination, trained key staff, and multiple funding sources. The case studies provide examples of these characteristics for success and sustainability. The guidebook describes the challenges and opportunities faced by tribes when establishing transit programs and examples of how tribes have used these opportunities and overcome the challenges. Options are provided to help tribes develop or enhance their transit services for long-term sustainability.

This project created four products that are available on the TRB website at http://www.trb.org/main/blurbs/166797.aspx: (1) the guidebook, described above; (2) the research report, which documents the development of the guidebook and includes detailed information on the surveys, published separately as *TCRP Web Document 54*; (3) a 16-page full-color brochure, published in 2011 as *Native Americans on the Move: Challenges and Successes*, with an accompanying PowerPoint presentation; and (4) a PowerPoint presentation describing the entire project.

CONTENTS

Note: Many of the photographs, figures, and tables in this report have been converted from color to grayscale for printing. The electronic version of the report (posted on the Web at www.trb.org) retains the color versions.

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ABOUT THIS GUIDE

There are 565 federally recognized tribes throughout the United States. In 1999, the Community Transportation Association of America (CTAA) reported only 18 tribes operating public transit service. Since then, the number of tribes with a public transit service has grown to more than 100 and continues to increase as additional tribes plan and implement new services. Although these tribes have been able to start transit programs, many tribes have had to overcome challenges and others have been unsuccessful in implementing a transit service. The purpose of this guidebook is to provide guidance, information, and resources for tribal planners to develop or enhance a sustainable transit program that will meet the needs of tribal members, non-tribal residents, and visitors.

TCRP Report 154: Developing, Enhancing, and Sustaining Tribal Transit Services: A Guidebook is part of Transit Cooperative Research Program (TCRP) Project H-38, "Developing, Enhancing, and Sustaining Tribal Transit Programs." The work is the result of research conducted with tribes and native villages throughout the country with and without transit systems.

Phase 1 of the research was to contact tribes to determine if they were operating a public transit service and to gather some basic information about the transit service if they had one. Phase 1 led to publication of a booklet and PowerPoint, "Native Americans on the Move: Challenges and Successes."

Phase 2 of the research involved a much more detailed interview regarding the transit service or the reasons the tribe had been unable to implement a transit service. Several tribes were then selected for site visits to be used as case studies, which appear in this guidebook. The detailed results of the research effort are published separately as *TCRP Web-Only Document 54: Developing, Enhancing, and Sustaining Tribal Transit Services: Final Research Report.*

The brochure, PowerPoint, and final research report all can be accessed and downloaded from the online address for this guidebook, http://www.trb.org/main/blurbs/166797.aspx.

Organization of the Guidebook

This guidebook is structured to provide an overview of the tribal transit planning process with more detailed information about the various steps for planning and implementing a transit system. The steps that are described may be used for planning a new transit system, enhancing an existing service, or taking action to sustain services.

The guidebook is arranged in 10 chapters. Following a brief introduction to the contents of each chapter, this summary includes a discussion of technical planning tools highlighted

in the guidebook, as well as keys to sustainability and long-term success of a tribal transit program. Several common themes were recognized as successful tribal transit programs described the challenges they faced and how these were overcome. These keys to sustainability are evident in later chapters as examples are provided describing the steps which should be followed to successfully implement transit service. Resources from which excerpted or quoted material have been drawn, along with recommended resources, are gathered into a "For More Information" section at the end of each chapter. TRB publications are listed with specific online addresses and may also be accessed from www.trb.org using the search function.

Chapter 1: Planning Considerations describes some specific issues and challenges faced by tribes when implementing a transit service. Although many challenges are similar to those faced by other transit systems, several issues are specific to tribal programs. Some of the planning considerations discussed in this chapter include tribal sovereignty, role of governing bodies, tribal governing body and staff turnover, effective tribal government support, relationship with state and local governments, funding, and difficulty in finding qualified employees and adequate facilities.

Chapter 2: Overview of the Planning Process describes in general terms the elements of the process to be followed. Many details are then provided in later chapters. The general steps of the planning process are to understand the existing resources for transportation, perform transportation needs assessment, develop strategic goals and objectives, conduct transit service planning, implement the service, and, finally, monitor and evaluate the transit program.

Chapter 3: Inventory of Transportation Resources describes the approach for determining what resources may already be available. Although a public transit service may not be in operation, transportation programs typically are operating within the tribe, such as medical transportation, transportation for elders, or transportation to education opportunities. An understanding of the existing programs and resources is essential for determining what needs are not being met and what resources may be available to develop a transit service. The chapter discusses the different types of transportation programs that may be available in a community, gives information on the type of data to be collected from each transportation service, and addresses the need to document the existing funding sources of transportation providers in the area.

Chapter 4: Transportation Needs Assessment provides information on how to determine the transportation needs for various population segments. When the identified needs are compared with existing services, it is possible to establish the level of unmet needs. The chapter provides references for several technical planning resources that may be used by tribal planners.

Chapter 5: Developing a Transit Vision, Goals, and Objectives presents the importance of developing a vision for the transit service and having specific objectives. Without an understanding of the desired outcome, it will be impossible to plan a successful service. This chapter gives examples of mission statements, goals, and objectives that have been developed by tribal transit agencies. The chapter emphasizes the need for quantifiable service indicators to measure the accomplishment of objectives identified. It also suggests various quantifiable measures and discusses how useful these measures are in the operation and expansion of a tribal transit program.

Chapter 6: Environmental Issues describes some of the environmental issues that must be considered when planning a transit service. Although certain activities do not require an environmental review, others will require some type of analysis before action can be taken. Some of the environmental programs discussed in this chapter include Congestion Miti-

gation and Air Quality Improvement (CMAQ), National Ambient Air Quality Standards (NAAQS), Environmental Mitigation, and National Environmental Policy Act (NEPA) requirements for facilities such as Categorical Exclusion (CE), Environmental Assessment (EA), an Environmental Impact Statement (EIS), and Title VI requirements for providing transit service.

Chapter 7: Transit Service Planning outlines the specific steps to be used in planning the transit operations. Different types of transit service are described, and guidelines are presented for analysis and selection of the most appropriate service type. This chapter also discusses a variety of challenges that tribes face in providing tribal transit programs. The challenges may affect the type of service that should be operated. The chapter also gives information on selecting the appropriate service type, ways to coordinate transportation programs, planning for adequate facilities, hazards and security, maintenance and safety, and specific insurance and licensing requirements.

Chapter 8: Funding Tribal Transit Programs has important information about funding programs available for tribal transit programs. Funding to begin a service may be a challenge, but often the greater challenge is securing funding in future years to sustain the program. Several tribes have initiated a transit service and then have been forced to reduce or eliminate the service because of insufficient funding. This chapter lists the various federal grant programs and a sample of state programs that support tribal transit planning, operations, and services. It also discusses innovative approaches to local funding with examples of funding innovations undertaken by tribal governments. Information is provided about Federal Transit Administration (FTA) and state program compliance and reporting requirements.

Chapter 9: Elements of Transit Program Implementation describes the specific steps required when moving from initially developing a plan to starting the service. It gives information on operations, organization and administration, monitoring and reporting, maintenance and safety, marketing, financial planning and budgeting, alternative fuels, vehicle disposal, legal issues, insurance, and the steps and responsibilities in the implementation process.

Chapter 10: Tribal Transit Program Case Studies summarizes key information from the site visits conducted as part of the research. Examples of innovative approaches are given for the systems that have been successful in establishing and sustaining a tribal transit program.

Technical Planning Tools

This guidebook introduces some technical planning tools for planning a new transit service or enhancing an existing transit service. Brief descriptions of the tools are as follows:

1. **Geographic Information System (GIS).** GIS can be an important tool to plan, manage, and evaluate a transit service. This tool can be used to display spatial distributions of populations, including various transit-dependent population segments, which can be analyzed to examine whether a proposed or existing transit service effectively serves origins and destinations. Use of GIS is described in Chapter 4.
2. **Census Data.** The decennial census and the American Community Survey (ACS) of the U.S. Bureau of the Census are good tools for gathering data on population, transit-dependent populations, Native American population, and Native American transit-dependent populations in specific communities. The use of census data for needs assessment is presented in Chapter 4.
3. **Transit Demand Methodologies.** Chapter 4 of the guidebook details the following transit demand methodologies.

- Program trips—a method for assessing trips to and from specific social service programs, including Head Start, nursing homes, and senior centers. The first step of the process uses census information to estimate the number of participants within a specific program. The second step is to apply a trip rate to the number of participants for that specific program. This methodology estimates the annual number of trips for each program.
- Americans with Disabilities Act (ADA) demand model—a method that uses an Excel spreadsheet format to estimate the demand for ADA paratransit service. The input variables include population, percentage of households below the poverty line, and fare.
- Rural public transit demand—a method for estimating the demand on a rural public transit service. This model is based on a database of 185 transit agencies across the country. The model requires inputs for elderly persons, persons with limited mobility, and low-income populations, as well as the assumed level of service in terms of vehicle-miles.
- Urban public transit demand—a method for analyzing whether the existing transit service is meeting the community's needs on the fixed-route model. The model is based on household vehicle ownership, average walking distance to bus stops, and frequency of operation.
- Intercity demand—a method for estimating the demand on an intercity service. This model considers the number of passengers traveling one way on a given route, the population served, the cost to the rider, and the distance of the trip.
- Rural intercity demand—a method for estimating the demand for rural intercity bus service, including resources available on CD-ROM.
- Commuter demand—a method for calculating commuter demand by applying a trip rate to the number of workers traveling between counties for work.

A sustainable tribal transit program depends on planning, leadership, cooperation, training, and multiple sources of funding.

"In preparing for battle I have always found that plans are useless, but planning is indispensable."

Dwight Eisenhower

"Plans may not work, but planning does!"

Mike Moritz, Sequoia

Keys to Sustainability

The information gathered from tribes with successful transit programs revealed several common themes or keys to success. In most cases, implementing a sustainable program required incorporating all of these keys. As tribes consider developing or enhancing a transit program, these keys should be kept in mind. The process described in this guidebook will help in establishing a sustainable transit program, but the path to sustainability will be found in these keys.

Planning

All successful tribal transit programs have been implemented following some type of plan. However, a common theme has been that the process of preparing a plan was as important, if not more important, than the plan itself. Developing the plan required those involved to assess the needs for transit service and determine the best approaches to meet those needs. Existing resources were identified and additional resource requirements were determined. As the plan was implemented, conditions inevitably differed, but having gone through the process allowed the key leadership to adjust to changing conditions. The planning process provided detailed information and the tools to make decisions as the implementation steps were undertaken.

Many of the tribes have received either funding or technical assistance for preparation of their plans. The CTAA Tribal Technical Assistance Program (TTAP) and planning grants through the FTA Tribal Transit Program were cited as very valuable in planning for a new transit service. These resources are described in Appendix B. Other tribes have received planning grants from their state departments of transportation (DOTs). Many tribes have obtained assistance for preparing their plans, relying on expertise from professional transit

planners. Although not essential, assistance from experienced transit planners may provide insight and expertise unavailable locally.

Local Leadership

Strong local leadership has proved essential for implementing and sustaining a transit program. Invariably, challenges and barriers will arise that may make implementation difficult.

Oversight and Responsibility

Having a leader who is committed to the program's success is vitally important. Every successful program attributed its success at least in part to having strong leadership within the tribe, particularly by a single person who has been dedicated to establishing and sustaining the transit program. As challenges and barriers arise, strong leadership will find ways to overcome each challenge. Funding agencies have found that having a single person who is dedicated to the transit program results in greater success. When the transit program is only part of a person's job, far more problems and difficulties are encountered in starting the transit service.

Support from Tribal Government

Support from elected tribal officials is important to the sustainability and long-term success of a transit program. This support will facilitate approval of grant applications, development of agreements, cooperation from various tribal government departments, and tribal funding. When leadership support is lacking, transit programs may lose financial support from one year to another and face significant challenges to sustainability.

"Never give in. Be willing to change tactics, but never give up your core purpose."

Jim Collins, *How the Mighty Fall*

Support from Tribal Elders

Among many tribes, the tribal elders have significant influence on the decisions made by the elected officials. Strong support among tribal elders has been found to increase the level of support from the elected officials and is able to make the difference between having a transit program that is a priority or having a transit program that lacks support and may not be sustained.

Cooperation and Coordination

Cooperative Working Relationships

Many successful transit programs have worked in cooperation with other transportation programs. In some cases, these have been other transportation programs within the tribe, such as medical transportation or transportation to a tribal college. Other tribes have worked with non-tribal transit programs to coordinate schedules, allow transfers between systems, or establish a consolidated transit service. The Standing Rock Sioux transit system is operated by Sitting Bull College. The Confederated Tribes of the Grand Ronde Community of Oregon provide transportation primarily by contracting on a government-to-government basis with the Salem Area Mass Transit District and Yamhill County Transit Area. The Coeur d'Alene Tribe in Idaho operates public transit for the urban area of Coeur d'Alene. Fort Belknap joined a regional partnership to provide transit service in North Central Montana.

Cooperation and coordination of services have allowed tribes to pool existing resources and leverage those financial resources to obtain additional funding. Coordinated efforts result in greater efficiency in delivering service and often allow for a greater service area.

Participation in State and National Organizations

Participation in state, regional, and national organizations such as a state or regional transit association, the CTAA, or the Intertribal Transportation Association (ITA) gives transit staff access to many resources. Tribes that have established successful transit programs often have been involved in these outside organizations. Attendance at conferences and training programs helps tribal transit personnel develop the skills and expertise necessary to operate a good system. These organizations provide access to technical assistance as well. The CTAA and the national Rural Transit Assistance Program (RTAP) have training programs and technical assistance that have benefited many tribes with successful transit programs.

Interaction with other transit providers is another benefit of participating in these organizations. The peer-to-peer connections that are established serve as a resource for tribal transit programs to increase expertise and obtain informal assistance.

Trained Key Staff

It is important to have key staff trained in the skills necessary to operate a transit program. Much of the training can be obtained through participation in state and national organizations.

A key area where training is essential is in financial management. When tribes have failed to complete required reporting and draws on grants, this has caused them not to receive funding in subsequent years. The money was being spent, but because FTA's records did not show that the funds had been used, FTA did not approve additional funding. Budgeting and financial reporting are essential to sustaining a transit program. If costs are not tracked and not known, the necessary revenue may not be available. A thorough understanding of financial management is critical to the long-term sustainability of a tribal transit program.

Multiple Funding Sources

Sustainability of a tribal transit program is linked directly to funding. The most successful tribal transit programs have obtained funding from a variety of sources. If one source of funding is reduced, the program does not suffer as much as if it relied only on that one source. Multiple sources of funding may also provide the opportunity to use some sources as local matching to qualify for other sources of funding. The broader the range of funding sources, the more sustainable the transit program will be. A broad range of funding sources available to tribes is presented in Chapter 8.

Advocacy

To ensure sustainability of funding and to advocate for tribal transit, it is important to inform and educate policy makers and elected officials about the importance and benefits of transit services. This is important not only at the local level, but also at the state and federal levels. Funding for local transit service often comes from state and federal sources. Tribal officials should be active in ensuring that their representatives are well informed about the needs and benefits of transit. This project led to publication of a booklet, *Native Americans on the Move: Challenges and Successes,* and preparation of a PowerPoint presentation, "Developing, Enhancing, and Sustaining Tribal Transit Services," that describe the state of tribal transit programs across the country. Tribes can use the national information and supplement it with information about their local programs to inform the public and elected officials about the need for and the accomplishments of their transit service.

CHAPTER 1

Planning Considerations

Introduction

Although many of the issues facing tribal transit programs are similar to those facing any other rural or small community system, tribes face other issues that are unique to tribal systems. This chapter provides a discussion of the unique issues faced by tribes in developing and sustaining transit programs.

Tribal Sovereignty

Understanding tribal transit program operation requires familiarity with the nature and scope of the underlying governmental authority. In the United States, tribal governmental authority is encompassed in the concept of tribal sovereignty, which is the inherent power to create and enforce laws within jurisdictional boundaries and apply laws to activities and people within their jurisdiction. The operation of a public transit program produces a complex set of relationships within the tribal government and between the tribe, federal, state, and local agencies; the tribal and non-tribal public; numerous vendors; and consultants. Though tribes may be using federal or state funds and following the requisite regulations and contract terms associated with that funding, they are exercising inherent tribal sovereignty and not delegated power. For this guidebook, opinions of the Supreme Court of the United States have been relied on in describing the parameters of tribal sovereignty.

Tribes exercise sovereign powers that predate the Constitution of the United States based on the fact that tribes preceded any foreign presence on the North American continent. Thus, many of the political and cultural traditions of the United States and its political subdivisions are not part of the original tribal governance structures. For example, the United States has maintained a strong commitment to a democratic form of governance and the separation of church and state. However, traditional tribal forms of government may have religious and cultural foundations that are integral aspects of day-to-day operations. Leadership may be appointed through religious practice rather than open elections. Tribal government structures have evolved over time in response to internal and external factors, but they have always maintained separate legal status.

The legal status of tribes has been described as follows:

> Perhaps the most basic principle of all Indian law, supported by a host of decisions . . . is the principle that those powers lawfully vested in an Indian tribe are not, in general, delegated powers granted by express acts of Congress, but rather inherent powers of a limited sovereignty which has never been extinguished. Each tribe begins its relationship with the federal government as a sovereign power, recognized as such in treaty and legislation. (Cohen, 1942, p. 122)

Though tribal sovereign powers are extra-Constitutional, tribes are mentioned in the U.S. Constitution. The Constitution lodges broad power in Congress under the Indian Commerce Clause, Article 1, Section 8, Clause 3: "The Congress shall have Power . . . to regulate Commerce with foreign Nations, and among the several States, and with the Indian Tribes." This provision asserts federal control over tribes, tribal members, and property to the exclusion of states.

The legal interpretation of inherent tribal sovereignty holds that, notwithstanding original sovereignty, tribes today are limited sovereigns. Tribes retain the attributes of sovereignty over their members and territory, but only to the extent that sovereignty has not been limited or withdrawn by act of Congress or by opinion of the U.S. Supreme Court. The Indian Commerce Clause has been interpreted to delegate plenary authority over tribal affairs to the Congress to the exclusion of states. Since the initial session of Congress, tribal affairs have been the subject of substantial debate and legislation based on policies ranging from warfare to assimilation, to reorganization, to termination, and finally to self-determination. Each phase of United States Indian Policy has had significant impacts on tribal land status and the delivery of essential services like health care, education, public safety, and resource development.

It is important to note that the scope and nature of any given tribe's sovereignty is best determined on a tribe-by-tribe basis. Congress has enacted several laws that affect the scope and nature of tribal and/or state authority. Some of these enactments, such as the Indian Self-Determination and Education Assistance Act, Public Law 93-638, affect all tribes. Others, such as Public Law 280, which initially applied to tribes in six specific states, affect discrete groups of tribes. Still others, such as the Menominee Restoration Act, affect a single tribe. Given the plenary power of Congress over tribal affairs and the accumulation since the 1800s of federal laws that affect tribal sovereignty, each tribe must operate from within its own legal context to effectively engage in the numerous relationships required to operate a transit program.

Judicial limitations on the sovereignty of tribes have been imposed by the U.S. Supreme Court since some of its earliest decisions. As a result, by 1831 the Court had found that tribes had lost their sovereign authority to convey land title without federal government approval (*Johnson v. M'Intosh* [1823]) and their power to make treaties with foreign nations (*Worcester v. Georgia* [1831]). Later judicial pronouncements determined that tribes lack authority to prosecute non-Indians for criminal offenses committed on tribal lands (*Oliphant v. Suquamish Indian Tribe* [1978]) and to regulate non-Indian hunting and fishing on fee land within the reservation boundary absent threats to important tribal interests (*Montana v. United States* [1981], generally known as the Montana test).

In *Strate v. A-1 Contractors* (1997), the Court went on to pronounce a general rule that, absent a different congressional direction, Indian tribes lack civil authority over the conduct of nonmembers on non-Indian land within a reservation, subject to two exceptions. The first exception relates to nonmembers who enter consensual relationships with the tribe or its members; the second concerns activity that directly affects the tribe's political integrity, economic security, health, or welfare.

Federal policy encourages tribal operation of public transit agencies and services within tribal lands and beyond. For many tribes, creating a sustainable transit agency entails inviting nontribal members to pay fares and use their services. Tribes must also enter into various contractual relationships with non-Indian entities to purchase buses and vans, fuel, insurance, construction, other products, and services required to operate the transit program. Note that contractual relationships with tribes are governed by layers of complex federal rules of law and tribal laws concerning jurisdiction over people and activities on tribal lands.

Although tribes are government agencies capable of operating public transit authorities, the legal climate under which they do so differs vastly from that of non-tribal entities. Tribes, like their state and local government counterparts, seek to assert their immunity from suit and manage their financial risk very closely. (*See TCRP Legal Research Digest 24: Transit Bus Stops: Ownership, Liability, and Access* (2008) for a detailed discussion of transit agency assertion and waiver of sovereign immunity.) These differences must be recognized and incorporated into the business operation plan for each tribal agency.

Several states, as a condition of awarding public transit funds to a tribe, require specific waivers of tribal sovereign immunity and consent to suit in state courts. Several tribes have been unwilling to execute such waivers and decline federal transit funds administered in this manner. There is no easy solution to this clash of sovereign interests. Tribes frequently are frustrated in their attempts to participate in federal transit opportunities that are passed through state agencies. Alternative dispute resolution offers a viable alternative that can be structured in a manner respectful of each sovereign's forums.

Role of Governing Bodies

An inherent sovereign authority tribes hold is the ability to determine their own governmental structure. As the legislative bodies of sovereign nations, tribal elected officials are responsible for creating and sustaining a wide range of government services. Once elected, tribal officials must make decisions regarding law and order, environmental protection, economic development, education, health care, and all the other elements of modern life for their citizens. They act to create and modify tribal laws supportive of the tribal transit agency's operations and approve plans, budgets, grant applications, and intergovernmental agreements. Federal laws and regulations affecting many of these areas require tribal government resolutions of support as part of the proposal package.

Within this milieu of competing demands, having a governing body that champions its transit agency is essential. A tribal transit agency simply will not exist in the absence of tribal assertion of sovereignty for that purpose. Operating and sustaining a tribal transit agency is a complicated endeavor for any tribe. Hiring professional staff does not relieve the elected body from its responsibility to keep informed about a wide range of policy and technical transit issues. In fact, tribal elected officials are expected to make frequent decisions that directly affect the health and effectiveness of their transit programs. From tribe to tribe, elected officials exert varied degrees of control over administrative functions and the day-to-day operations of tribal government. Tribes benefit greatly when those officials maintain a level of core competency through training and education specific to transit.

Tribal officials will be required to approve grant applications, agreements, and any contracts related to providing transit service. The grant agreements may be an issue for elected officials. As mentioned earlier, several states require that disputes be resolved in state courts as part of the grant agreement. Many tribes have refused to agree to this condition or have found ways to work around it. The Southern Ute Indian Tribe set up a private nonprofit corporation to be the recipient of grant funds from the state. The nonprofit was chartered to be the transit authority for the tribe, but the tribe was not party to the grant agreements so the issue of sovereignty in legal matters could be avoided. Other tribes have accepted the conditions as being part of an intergovernmental contract between the tribe and the state. Another approach used by some tribes has been to become direct recipients of Federal Transit Administration (FTA) funds. The tribes apply for the grant through the state in which they are located but then receive the grant funds directly from FTA, resulting in an agreement between the tribe and the federal government.

Turnover in Governing Body or Staff

Whether tribal leadership is selected by democratic elections or by appointment in religious ceremonies, each election or appointment cycle presents the possibility of change. Turnover of officials is a benefit and challenge at all levels of government. New faces bring fresh perspectives and varied experience to bear on issues of the day. However, departing officials take their knowledge and experience with them, and the new governing body faces a steep learning curve to understand the background, current status, and basic operational procedures of the transit program.

Even the best transit administrator will achieve limited results without effective tribal government support. Given the pressing demands of tribal governance, it is difficult for newly elected or appointed officials to find the necessary time and resources to effectively support a transit program. New officials should be encouraged to seek training and educational resources specific to transit operations through several organizations created for that purpose (*See* Appendix B).

A particular challenge related to tribal governance is that most or all of a tribal governing body may turn over at one time. Following such a change in leadership the support for the transit program may change dramatically and may directly impact the level of funding and stability of the transit program. Although it is important to have local tribal financial support, it is also crucial to have sources of funding that are not subject to sudden changes in the level of support from the tribal government.

Another observable outcome of turnover in the tribal leadership is staffing changes based on political decisions. With a change in membership of the governing body, many tribes experience changes in tribal management. Management positions within tribal governments may be political appointments, in which case personnel will change with the change in leadership.

Although personnel decisions based on performance criteria are useful for improving transit agency administration, replacing transit staff for political reasons produces several negative outcomes. The new governing body loses a primary source of institutional knowledge before it can become fully aware of the transit program's operational requirements. Recruiting experienced tribal transit staff is difficult. Newly hired inexperienced transit administrators face a steep learning curve before they can effectively operate the program. Funding deadlines often are missed, or grant applications are not funded because the new hire lacks the knowledge necessary to complete all of the required documentation. It is best if the transit manager position is not a political appointment.

Effective Tribal Government Support

Tribal officials participate in the political system while carrying out their duties representing the interests of their constituents. From a transit perspective, this political engagement occurs externally at the national, statewide, regional, and local levels. Tribal political support for transit activities also takes place in internal tribal functions. The challenge is to find the proper balance between the legislative, policy, and political functions of the tribe and effective administration of the tribal transit agency by staff. While tribal government support is an important factor, equally important is the cooperation between various tribal agencies that need to provide transportation for their clients. This is especially important when applying for grants and providing transportation services to make sure that efforts within the tribe are not being duplicated.

On a national level, tribes should have resources to initiate and respond to changes in transportation policy and legislation. At this highest level of government-to-government dialogue, tribal leaders must be present and prepared to advocate for the transit needs of their tribe. Political leaders lay the groundwork for tribal professional staff to work with federal legislative and agency staff on laws and regulations affecting tribal programs. Without effective tribal

participation in the national transit dialogue, decisions are made without valuable tribal input and perspective.

Many federal transit programs and opportunities require coordination and participation at state, regional, and local levels. States pass implementing legislation based on federal laws and funding sources. As they do for federal processes, tribal leaders represent tribal interests in state legislative and administrative venues, and the tribal leader's knowledge of transit needs and operations also applies to state transit activities. Under federal law, tribes are generally eligible recipients of state-administered federal transit funds. Tribes must compete with non-tribal transit agencies to access these funds, either on their own or in cooperation with other non-tribal agencies.

Ongoing, broad political engagement for the purpose of advocating for tribal transit needs is an important role for tribal leadership. Changes to laws and regulations require constant monitoring by staff and elected or appointed tribal officials. Official engagement in transit program performance also is an ongoing need. The reality that tribal officials have several other responsibilities requires effective collaboration and communication with the tribal transit agency staff.

One effective means of engaging sustained tribal governing body involvement in transit programs is through the transportation planning process. Officially adopted long-range transportation plans, including transit-specific activities, are a prerequisite for participation in federal funding. Such plans generally provide a description of the transportation infrastructure serving tribal lands and communities, current and projected needs, and articulate tribal policies and strategies for program management. Furthermore, transportation plans articulate the connections between a tribe's social and economic objectives and the transportation assets required to achieve those goals.

While these plans are intended to change and evolve over time, they also provide a basis for continuity of the program priorities. Tribes are required to have public involvement in developing their long-range transportation plans. Public involvement is useful for gathering input regarding needs and priorities, and creates expectations and awareness among constituents for implementation of the plan. Engagement by tribal leadership in the transportation planning process and final approval through tribal resolution helps sustain successful elements of the transit program and change those that are not successful.

Another useful strategy for engaging tribal governing bodies in transit issues is to form a transit committee, either on its own or as part of a transportation committee. This level of organization within a tribe provides clear delegation of responsibility for addressing transit issues. Without this specific delegation of transit responsibility within the tribal governing body, it can be difficult to efficiently perform routine business functions like routing mail, ensuring proper tribal representation at meetings, obtaining timely signatures, and maintaining continuity in decisions.

Institutional knowledge of tribal transit needs, priorities, opportunities, and challenges is a key factor in the overall success of tribal transit programs. Without such awareness, tribal transit programs fall victim to political neglect or opportunism, both of which hamper the ability of professional staff to properly manage the program. Tribal leadership that fails to recognize the connection between reliable, safe transit services and employment, medical care, education, and other essential elements of the tribal economy will likely assign a low priority to transit funding and support.

Relationship with State and Local Governments

Cooperative relationships with regional and local governments and non-government entities have been encouraged, and at times required, for transit funding. With limited federal, state, and tribal funds available, proposals featuring cooperative arrangements to serve the transit needs of

an area are encouraged. Increasingly, funding proposals are evaluated based on the avoidance of duplicative or parallel transit activities. This issue becomes even more acute in rural areas where high operating costs per rider are closely evaluated.

The San Diego Association of Governments (SANDAG) has an active Tribal Transportation Working Group and has tribal representatives on policy committees. A key to the success of tribal transit initiatives is committed local leadership.

Working relationships between tribal and state governments vary from poor to very good. Some tribes have avoided funding through state programs because of poor working relationships or issues related to tribal sovereignty. Other tribes and states have very good working relationships. The Confederated Salish and Kootenai Tribes obtained rural transit funding through the Montana Department of Transportation (DOT) to start their transit system. The Fort Peck Transportation Service receives funding from the Montana DOT and decided not to seek funding through the FTA Tribal Transit Program because of the good working relationship with the state and the funding received through the state.

Some tribes have been successful by participating in regional planning forums, whether these are associations of government or regional planning commissions. Each state has a different approach, but most have some type of regional planning process. By participating in these regional planning organizations, tribes have developed working relationships with other transit providers and obtained support for funding of transit programs through the state government. Rancherias in Southern California participate in their areas' Metropolitan Planning Organizations (MPOs) and have obtained funding through the FTA Tribal Transit Program for bus stops served by the local transit systems. The Coeur d'Alene Tribe operates the urban transit system for the city, which is funded through the Kootenai County Metropolitan Planning Organization (KMPO). The Southern Ute Indian Tribe also is working as part of a coalition to establish a regional transit system.

Southern Ute Indian Tribe Roadrunner Transit Sources of Funding:

- *FTA Section 5311*
- *FTA Tribal Transit Program*
- *Southern Ute Indian Tribe*
- *Town of Ignacio*
- *Town of Bayfield*
- *La Plata County*
- *Advertising*
- *Forest Lakes Metro District*
- *FTA New Freedom Program*
- *Fares*

Funding

Funding is a challenge for almost every tribal transit system. Many tribes have found funding to be a particular issue in starting and sustaining a transit service, and especially with regard to obtaining local funding to match other grant programs. Tribes have many potential local sources of funding for transit service, but these are not always used to support a transit program. Also, tribes do not have all of the potential funding sources that other local governments may use, such as property taxes.

Several tribes have developed casinos and hotels, which are a major source of revenue for the tribe. However, these revenues are not often used to support the transit service. The Leech Lake Band of Ojibwe in Minnesota has a casino that operates a large transportation program for casino employees to travel to work. Services for other trips are provided by the tribal transit program but are not supported by gaming revenues. Other tribes, like the Southern Ute Indian Tribe in Colorado, use gaming revenues to help fund their transit programs.

Even though funding may be available to start a service, it is not always a stable, reliable funding stream that will ensure sustainability of the transit program. Some tribes have found this to be an issue with local funding and with FTA Tribal Transit grants. Tribes have received funding from the program in 1 year but had the funding reduced or denied in a subsequent year. Some tribes have had to curtail or cease operation of a service started through the FTA Tribal Transit Program when the funding was subsequently cut.

Developing a range of funding sources cannot be overemphasized. Nearly every successful tribal transit program has been established using a variety of funding sources so that, should funding from one source be reduced, the entire program is not severely affected and funding may be tapped from another source to make up for the loss. For example, the Southern Ute Indian Tribe relies on a variety of funding sources for sustainability of their transit service. The

tribe has developed funding partnerships with other local governments to support transit service to those communities. Potential sources of funding for tribal transit programs are described in more detail in Chapter 8.

Qualified Employees

Tribes often experience difficulty in finding qualified employees. If the transit program requires a driver with a commercial driver's license (CDL) or a certified mechanic, it may be difficult to find someone locally who meets those requirements. Hiring challenges sometimes relate to the remote rural locations of the tribes and sometimes relate to tribal hiring preferences. Qualifications and hiring must be addressed during implementation, as discussed in Chapter 9.

Given that the unemployment rates on Native American reservations and in tribal communities remain so high, the Tribal Employment Rights Office (TERO) takes strong actions to protect the employment rights of Native American people. TERO requires that all employers operating within tribal jurisdiction provide qualified Indian/Alaska Native preference in employment, training, contracting, and subcontracting. The Federal Highway Administration (FHWA) Notice 4720.7, Indian Preference in Employment on Federal-Aid Highway Projects on and Near Indian Reservations, dated March 15, 1993, consolidates all previous guidance on Indian employment preference. This notice encourages states to work with tribes and their TERO offices to develop contract provisions that promote employment of Indians on eligible federal-aid highway projects on and near Indian reservations.

Qualified employees are essential to the success of a transit program. Qualified drivers are needed to ensure that vehicle operations are safe and that passengers receive good service. Qualified mechanics are necessary to ensure that the vehicle fleet is properly maintained so vehicles are available for service and vehicles serve out their useful life.

Partnerships with local colleges and training programs are a good way to develop qualified job candidates. The transit agency must prepare good descriptions of the minimum qualifications and consider working with a training program to prepare people to meet those qualifications. Requiring a CDL for drivers and National Institute for Automotive Service Excellence (ASE) certification for lead mechanics will benefit the transit program by helping to ensure that a qualified staff is maintained. Internships are another good approach for preparing job candidates and screening possible new hires.

Tribal transit managers should encourage senior employees to become qualified as trainers for various courses including CDL, passenger assistance, and customer service. These employees then become a resource for training other employees.

Adequate Facilities

Tribal transit programs often lack adequate vehicle parking and maintenance facilities. Administrative facilities also may not be adequate. When a new transit program is started, space may be provided in any facility that is available without regard to requirements or functionality. Many tribal transit systems lack parking areas, and vehicle maintenance on gravel parking areas has been observed. For years, Blackfeet Transit operated out of an old gas station and garage that was inadequate for either the vehicle parking or the administrative offices (Figure 1.1).

Image courtesy of LSC.

Figure 1.1. Former location, Blackfeet Transit administrative offices and vehicle storage.

The Eastern Band of Cherokee Indians (EBCI) has operated Cherokee Transit out of temporary modular buildings with a poor area for vehicle parking (Figure 1.2). The Oglala Sioux Tribe were able to obtain funding for a facility in conjunction with starting their program and were

Image courtesy of LSC.

Figure 1.2. Administrative buildings, Cherokee Transit.

able to have adequate space for offices, vehicle parking, and vehicle maintenance. Although a transit service may be started in a relatively short period of time, developing an adequate facility can take many years.

When starting a transit system, every effort should be made to find a facility that will meet the needs of the transit program for several years, as obtaining a new facility is likely to be a long process from funding to design and construction. Part of the planning effort for any transit system should include development of a facility, whether through renovation of an existing facility or construction of a new facility. An adequate facility will do much for maintaining the vehicle fleet and for providing quality service.

Passenger amenities also should be considered. In some climates, bus shelters may be needed in areas where passengers wait for the bus. Pedestrian facilities like safe paths for people to walk to and from bus stops also are important. Transit service may be forced to provide a door-to-door service where sidewalks are lacking. If sidewalks can be provided, the transit service may be more efficient, stopping primarily at designated bus stops and providing door-to-door service only for individuals who truly need it.

For More Information

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CHAPTER 2

Overview of Planning Process

Introduction

Planning a successful transit system involves several steps to ensure that transportation needs in an area are being met and that the most appropriate types of services are being used to meet the demand and needs of a population. The best plans for transit services are closely tailored to an individual community's unique needs, skills, and resources.

In this guidebook, each step in the planning process is discussed (Figure 2.1). Examples are provided from the nationwide survey of tribes conducted as part of this study, and references are provided for additional information and guidance. As an overview, the general steps of the planning process are as follows:

- Inventory of existing services
- Transportation needs assessment
- Developing strategic goals and objectives
- Transit service planning
- Implementation
- Working with consultants

Transportation systems of all sizes must continuously plan for the efficient and effective delivery of services. New systems must determine what services will be provided, how they will be delivered, when services will be offered, and what prices will be charged to passengers or their sponsors. Existing systems need to decide if services should remain the same or if new or adjusted services will be offered. To best meet the needs of their communities, transit systems should be regularly monitored to ensure that resources are being used wisely in providing transit service. The importance of statistics and data collection cannot be emphasized enough. Detailed statistics, such as ridership records for different trip purposes and by market segment, may be used to better describe to tribal officials the benefits of an existing transit program. Finally, the transit service must be sustainable. Often associated with levels of funding, sustainability also involves sufficient qualified personnel, management, and support of tribal leadership.

Inventory of Existing Services

The first step in the planning process is to understand the existing resources for transportation in an area. The process of developing an inventory of services is described in Chapter 3. Existing transportation resources—from volunteer drivers bringing passengers to medical appointments to buses operating a network of fixed routes—include a range of services provided by tribal transit systems, local or regional non-tribal transit providers, tribal programs operating

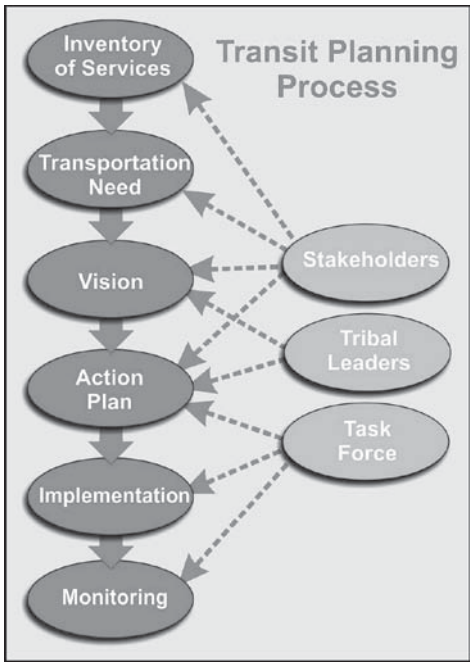


Figure 2.1. Transit planning process.

transportation (Head Start, Community Health Representatives, Indian Health Services, etc.), carpooling or vanpooling resources, human service agencies offering transportation services, taxi services, casino/tourist or employment transport, and others.

From the study, it was learned that most tribes have at least some type of existing transportation program, even if it is not operated by a "transit department." For example, 71 percent of the interviewed tribes provided transportation as part of a Head Start program. Additionally, 58 percent of tribes had transit services for senior citizens or tribal elders, 48 percent had transit services operated through the Indian Health Service, and 46 percent had transit services operated through the Community Health Representative program.

The existing level of coordination between departments or transit operators is also important to understand before moving forward with evaluating the feasibility of a transit program. From this study, it was determined that 64 percent of the responding tribes had coordination for transit services either between tribal programs or between a tribal program and an external transit provider. How these existing services are operated, who operates them, how the services are funded, who uses the services, and how many riders are using the services are all important elements that must be understood to establish the baseline conditions that exist in a community. Identifying and understanding transit services being provided by non-tribal operators also will contribute to the overall picture of existing services in a region.

To understand existing transportation resources in an area, several pieces of information are necessary. Many agencies possess transportation resources that can be contributed to a coordination effort. Transportation and human services agencies may have vehicles, maintenance facilities, dispatching capabilities, drivers, planning staff, and facilities. Coordinated planning maximizes planning staff, tools, and data from various agencies. Through sharing expertise, individual agencies can leverage other agencies' insight, data, and experience in solving transportation challenges. Working with shared information, planners can develop more responsive yet less redundant transportation systems, identify and fill service gaps, and maximize the num-

ber of constituents served in a cost-effective manner. This information allows the tribe to see where transportation needs are already being met, where opportunities for improvement exist, and where transportation needs remain unmet.

Planning studies in the region—including transportation plans, master plans, and development plans—also should be reviewed as part of the baseline conditions analysis in order to get a view of potential changes that may impact transit service. Previous studies also highlight historical issues related to the development of transit service.

Transportation Needs Assessment

The second step in the transit planning process is to understand the differences between needs, wants, and demand, and the importance of each in the planning process. Needs exist in a community independently of whether transportation exists in that community. Needs include destinations to be reached, time periods during which service is required, and types of service that would be most suitable to meet these needs. Wants are desires, expectations, or services that might satisfy the needs of people. They come from residents and potential users and may include destinations to be served, level of service, and times and days of service. Wants are desires and preferences that cannot be quantified. Demand is the number of trips that will be made on a transportation service given the level of service and the cost to the user.

The analysis should start with a needs assessment to understand how many people have a need for transportation service and the characteristics of those needs. From this analysis of needs, the demand for different types of services can be evaluated. For example, a need may exist for a single person to get to a single destination. Although this may be inappropriate for a fixed-route service, it may be appropriate for a paratransit/demand-responsive type of service or a ride provided by a volunteer driver.

Demand for transit service requires the determination of popular origins and destinations of trips to serve as many people as possible. In the planning process, both needs and demands are identified and analyzed. The demand estimates can then be used to develop the operations plan for the specific service to be implemented, including an evaluation of how to meet this demand in accordance with the budget and requirements of the service.

The transportation needs assessment includes the following components:

- Demographic analysis
- Peer comparisons
- Community involvement
  - Stakeholder interviews
  - Public workshops or focus groups
  - Surveys

By generating estimates of population, employment, and the number of people in key transit-dependent groups (for example, the elderly, individuals with disabilities, low-income households, and households without vehicles), and by depicting the geographical distribution of these people within the community, it is possible to forecast transit demand in the study area. Such a forecast develops a temporal and spatial analysis of unmet need that can be mapped and used in the development of service alternatives. Once the baseline is established, population projections from local and regional planning bodies can be used to identify potential for new markets or untapped geographic areas. Data for this investigation comes from a combination of sources, including information gleaned in interviews with providers and stakeholders, study of U.S. Census data, and updated demographic information from local or regional planning bodies.

Helpful information also can be obtained through interaction with other tribes, locally, regionally, or nationally. Peer comparisons with other tribal communities show what other tribes are doing to meet similar transportation needs.

An important factor in the needs assessment is recognition of which individuals and organizations from the community and region should be represented in this activity. Some stakeholders may already have been contacted as part of the inventory of existing transportation resources. It is important to reach across a broad spectrum of the relevant stakeholders. Representative stakeholders should include, but not be limited to, the following groups:

- Tribal representatives (probably from several departments)
- Elected tribal officials
- Transportation consumers
- Transportation-disadvantaged constituencies
- Public transit providers
- Americans with Disabilities Act (ADA) paratransit providers
- State and local human services agencies
- State and local human services transportation providers
- Private transportation providers (including taxi services)
- State and local welfare and workforce development agencies
- State and local transportation planning agencies
- Community-based organizations
- Members of the business community
- Economic development agencies
- Elected or appointed officials from other local governments with which the tribe may coordinate transportation services

A primary component of public participation is enlisting both existing transit users and those familiar with transportation in the region to fully understand and identify where gaps in service exist, which needs must be better met, and what direction public or other transportation providers should take in the future to most effectively use the limited resources available. Identifying demand for specific trip patterns and origin/destination pairs will be critical to developing and refining service concepts. Two proven tools for soliciting public input in the planning process are stakeholder interviews and public workshops or focus groups. Online and electronic options also help planners solicit public opinions from an array of interests.

Stakeholder interviews provide an up-front understanding of key issues and players early in the project. Interviews should be held with a wide variety of individuals and groups that represent current and potential transit markets in the study area. Stakeholder interviews can be conducted in group meetings, one-on-one in person, over the phone, or though electronic means, depending on the availability and number of stakeholders.

Public workshops or focus groups are used to collect feedback from the current and potential users of the system. Public involvement provides a broader forum and builds on ideas and input gleaned throughout the stakeholder interviews.

A focus group can be set up including roughly 10 to 20 members of various community organizations, users of different types of services (ADA paratransit, human service agency, public fixed-route, etc.), and interested parties from the general public to discuss the study process and assess met and unmet transportation needs in the region. In addition to helping quantify transit demand in the study area, the focus group will create a picture of what is needed for improved access and availability of tribal public transportation.

Focus groups or workshops should be conducted early in the study process as a public participation tool. Engaging the public and the users of transportation services early in the process is the most effective way to garner this valuable input and set direction before key decisions are made concerning preferred service alternatives.

Surveys also can be effective tools for identifying a community's transit needs. Surveys can take many formats, including distributing cards to existing transit system users or to people who use "program" transportation from various tribal departments; conducting online surveys or phone surveys of a sample of the entire tribal community; or sending targeted questions to contacts at departments and agencies with clients who require alternative transportation options.

Each of the various demands identified through the transportation needs assessment should be summarized and mapped as an estimate of total demand for public transportation services within the study area. Of particular interest will be the areas with the greatest transit needs compared to the areas currently being underserved. Combining the transit needs index with the location of major transit generators, priority service areas can be developed. Doing this aids in prioritizing the transit needs of the service area, both geographically and by service type.

Developing Strategic Goals and Objectives

Once the needs of the people in the service area have been identified and demand established, a set of strategic goals and objectives should be established to guide decisions on priorities and what can be accomplished by a transit program. Tribal decision makers and stakeholders work together to create functional goals and objectives. The approach for developing goals and objectives is discussed in Chapter 5.

A Mission Statement establishes the overall direction of an agency and enumerates the most generalized set of actions to be achieved by that agency. The Mission Statement, together with a statement of goals and objectives, typically forms a hierarchical structure. Goals support the achievement of the mission, and objectives support the goals. For transportation planning purposes, a goal is defined as a purpose or need that should be attained to address a transportation issue. An objective is a specific method or activity that is designed to achieve the identified goal.

Transportation goals and objectives usually are expressed in terms of service priorities in three areas of emphasis:

1. Service levels and types of trips (which are critical, serious, and optional travel needs)
2. Geographic areas within the community
3. Types of users (passengers or populations) deserving priority treatment

Other typical goals often include how services should be funded and priced to riders and how to involve the entire community in the transportation improvement process.

Planning through communitywide stakeholder involvement yields consensus-based strategies for near- and long-term transportation investments. Any agency or operator may initiate service coordination efforts, but it is important that the work be coordinated with communitywide transportation planning processes.

Fiscal, political, administrative, and geographic constraints must be understood at the very beginning of the process. There is no point in planning a system that cannot be implemented. Potential constraints on transportation services often focus on funding and existing institutional structures.

Transit Service Planning

Once goals and objectives have been developed to determine what should be accomplished by a transit program, and transit needs and demand have been established for the community, it is time to start planning potential transit services, as outlined in Chapter 7. All of the previous work leads to recognizing the most valuable and productive markets for public transportation in the region. The demand analysis and goal development should have clarified which types of transit service are most appropriate for the community based on the needs of the tribal population, the resources available in the area, and the types and amount of potential funding. Following are the primary types of transit service (defined in more detail in Chapter 7):

- Demand-responsive service
- Fixed-route service
- Deviated fixed-route service
- Checkpoint service
- Zone service
- Taxi service
- Carpooling or vanpooling

Multiple alternative service options should be designed and their financial consequences identified. The alternatives to be developed should reflect several possible levels of revenue. For example, they may include alternative systems of different sizes with and without state funding and with or without additional local funds.

Each detailed service design should specify the following characteristics:

- Service characteristics directly related to users, such as type of service, method of user activation (demand-responsive, fixed schedule), assistance on vehicles, reservation time, routes, headways (if applicable), special equipment on vehicles, hours of operation, and fares
- Operational system characteristics, such as number of vehicles (and their condition, age or number of miles on each), radio dispatch, vehicle-miles, passengers carried (including information on users with special needs), and number of personnel (including paid transportation personnel, paid staff used primarily for other duties, and volunteers)
- Administrative features, such as who will manage the service, who will supervise the manager, and how services will be funded

Once the alternative service options have been developed, a preferred alternative should be selected. The selection and decision process can be accomplished by general consensus, by detailed mathematical evaluations, or through a combination of these techniques. To evaluate the potential options, it is necessary to specify a set of evaluation criteria for choosing the best service design. Generally, evaluation criteria include the following items:

- The numbers and types of riders served
- The extent to which local goals and objectives are achieved
- The operating, capital, and administrative costs
- The anticipated revenues and their sources
- Specific implementation issues

These factors can be weighted based on the local determination of service needs and resources. Some service options might have excellent program effectiveness but be too expensive to fund while others might fall within the budget but not serve enough community travel needs. In such cases, the community may have to reassess its goals and objectives to make them more realistic or develop a more realistic approach to funding the actual costs of transportation services.

At each step in the planning process, stakeholders and representatives of interested groups should be consulted to collect information on existing services and to set up, maintain, and further a relationship with the community. Examples of stakeholders and interested groups are the various transportation operators in the community; agencies that have responsibility for assisting clients with special needs in employment, education, health care, and other human services; members of the general public; members of the local political establishment (the official representatives of the general public); and representatives of the local, state, and federal agencies that are funding sources for transportation and human services.

Implementation

Once service options have been reviewed and a preferred alternative has been chosen, a detailed service plan for the preferred alternative and an associated implementation plan should be created, as described in Chapter 9.

A detailed service and implementation plan will include the following sections:

- Operation plan and service expectations
- Capital and operating cost projections
- Administrative/management plan
- Financial plan
- Monitoring/evaluation plan

For operations, the plan should describe all services to be provided, including functional service guidelines and maps for fixed-route or demand-responsive services; their hours and days of service; restrictions, fares, eligibility, and other facets related to service delivery and user needs; and the improvement focus areas identified earlier in the study.

Estimated capital costs should include the number and types of vehicles required to implement the preferred service alternative. Additionally, future capital needs will be established for vehicle replacement or expansion, and for the purchase of radios, base stations, or other necessary equipment. The projection of future capital needs will also include forecasts regarding the ability of the existing physical facilities to accommodate operations, administration, and vehicle maintenance functions.

The administrative/management plan will describe the structure of the program and responsibilities of the lead tribal department and all regional participants, as well as the management structure for daily operations, reporting, planning, and finance. Relationships among the existing regional service providers and stakeholders will be expanded or formalized based on input and recommendations from those operators, stakeholders, and the advisory committee.

The financial plan should provide a short- and long-term budget for the system that details administrative, operating, and capital expenditures and funding revenues. Revenues should be listed by source and matched to expenditures. The budget should clearly identify the anticipated cost to the transportation provider and the general public, as well as all revenue sources, including local, state, and federal funding.

Another important consideration is the need to market the service and educate people on how to use the service. Marketing the service should include printing of brochures or displaying of schedules at local hotels, the Chamber of Commerce, medical offices, major employers, stores, and social service agencies.

Finally, the implementation plan should include a monitoring and evaluation program to help the transit service track the efficiency and effectiveness of the preferred alternative program

in the future. The program should be based on a comparison of the system's most recent performance measures to national standards and the performance measures of peer tribal programs, as appropriate. Such performance measures typically include passengers per mile, passengers per hour, cost per mile, cost per hour, and so forth. The plan should include specific quantitative standards that can be used to assess the efficiency and effectiveness of new transit services over the first 2 years of operation.

The monitoring and evaluation program should also detail how and when these measures need to be reported at tribal council meetings or meetings with other agencies or regional interests. Depending on the existing policies and procedures adopted during implementation, additional areas could be monitored as part of this program, such as safety, drug and alcohol testing, training, maintenance efficiency, service quality, organization effectiveness, levels of customer satisfaction, and budgeting efficiency. The evaluation and monitoring program should conclude with a section on the procedures that the system managers, governing body, or advisory committee made up of key stakeholders should use for amending or updating the service plan.

Working with Consultants

Many tribes that have successfully implemented transit programs followed plans that were developed with the assistance of consultants. These tribes found that transit consultants were able to provide additional time and expertise that were unavailable internally. Tribes that do not have the staffing level or transit planning expertise to develop a comprehensive transit plan within a reasonable time frame may find it beneficial to seek the aid of a transit consulting firm.

The technical assistance projects overseen by the Community Transportation Association of America (CTAA) typically are completed by consulting firms. In those cases, CTAA manages the contract and the local tribal staff has oversight and input to the planning process. In other cases, the tribe may need to select and contract with the consulting firm directly. This section is meant to provide guidelines for working with a consulting firm.

Project Definition

Defining a scope of work to be completed by the consultant is very important. The tribe should determine the desired goals and expectations for the consultant's assistance. Consultants may supplement staffing and provide expertise, but should not be relied on to set policy. The policy and direction must be set by tribal members and the consultant given the direction to provide technical support. A realistic budget should be set for the consultant contract based on the amount and complexity of the work to be done.

Request for Proposals

Typically, consultants are selected based on qualifications through a Request for Proposals (RFP) process. Once the project has been defined and the role of the consultant determined, the RFP is prepared. The RFP should provide background information about the project and the role of the consultant. The RFP also should describe the issues to be addressed and the products to be prepared by the consultant. The document should clearly describe the goals for the consultant's work. The RFP should ask for information about the qualifications and experience of the consulting firm, the experience of personnel to be assigned to the project, the proposed approach to accomplish the desired goals, and the cost for the consultant's work. The RFP should not specify

the approach to be used, but should establish desired goals and outcomes. In their responses to the RFP, the consulting firms should propose their approaches to accomplishing the desired goals.

Proposals should be rated based on qualifications and the proposed approaches. By establishing goals and examining the approaches proposed by the consulting firms, the reviewers may be able to differentiate among the proposals, giving higher ratings to those that have a clear approach and show specifically how the goals will be met. Although price may be considered, it is important to select the consultant based on experience and qualifications rather than price. Low prices do not always reflect quality work, and the tribe should look for a consultant with a high degree of expertise and experience to help with developing a transit plan.

Managing Consultant Contracts

Once a consulting firm is selected, a contract must be negotiated. Tribes have the legal authority to enter into contracts with private businesses and may set the terms of the contract for negotiation with the consulting firm. Specific requirements of the contract will be determined based on tribal policies, legal requirements, and requirements that may be set by the funding agency. Chapter 8 provides some of the information related to contracting and purchasing if Federal Transit Administration (FTA) funds are used.

The consultant agreement should provide for regular updates, progress reports, and interim project reports so that the tribe is able to review progress and the materials that are being developed. It is also helpful to establish an advisory committee of elected officials, key staff, and stakeholders to review the work of the consultants and to meet periodically with the consulting team. A close working relationship with the consultant and frequent communication will help ensure that the final products meet the expectations of the tribe.

For More Information

Organizations

Organizations, agencies, and groups familiar with rural transportation needs can also provide information on the planning process and transit service implementation. Among the resources these organizations provide, the following can be found online:

- Community Transportation Association of America (CTAA). www.ctaa.org.
  - CTAA. Transportation Coordination Resources You Should Read. http://web1.ctaa.org/webmodules/webarticles/articlefiles/TransportationCoordinationResourcesYouShouldRead.pdf.
  - CTAA. Tribal Transit: Accessing Federal Transit Funding to Develop Your Transit System. Community Transit Association of America, 2010. http://www.ctaa.org/webmodules/webarticles/articlefiles/Ag12Tribal_Transit_Funding.pdf.
- Rural Transit Assistance Program (RTAP). http://www.nationalrtap.org.
  - RTAP. Developing, Designing and Delivering Community Transportation Services. National Transit Resource Center, Technical Assistance Brief No. 22, Revised 2001. http://web1.ctaa.org/webmodules/webarticles/articlefiles/rtap_developing.pdf.
  - RTAP. Getting Started—Creating a Vision and Strategy for Community Transit. National Transit Resource Center, Technical Assistance Brief no. 21, December 2001. http://web1.ctaa.org/webmodules/webarticles/articlefiles/rtap_getstart.pdf.
- Transit Access Project. http://www.transitaccessproject.org/.
- FTA. Public Transportation on Indian Reservations (5311[c]). U.S. Department of Transportation. http://fta.dot.gov/grants/13094_3553.html.

Publications

Bruun, E. *Better Public Transit Systems: Analyzing Investments and Performance.* American Planning Association, 2007.

Burkhard, J. E., et al. *TCRP Report 101: Toolkit for Rural Community Coordinated Transportation Services.* Transportation Research Board of the National Academies, Washington, D.C., 2004. http://www.trb.org/Main/Blurbs/154971.aspx.

Coordinating Council on Access and Mobility, Office of the Secretary, U.S. DHHS and FTA, U.S. DOT. *Planning Guidelines for Coordinated State and Local Specialized Transportation Services,* 2000. http://ntl.bts.gov/lib/19000/19300/19313/PB2002105734.pdf.

Creative Action, Inc. *Coordinating Transportation Services: Local Collaboration and Decision-Making.* Project ACTION, 2001. http://www.transitaccessproject.org/coordinated-transportation.html.

Morris, A. and L. Fragala. *NCHRP Synthesis 407: Effective Public Involvement Using Limited Resources.* Transportation Research Board of the National Academies, Washington, D.C., September 2010. http://www.trb.org/Publications/Blurbs/163992.aspx.

CHAPTER 3

Inventory of Transportation Resources

Introduction

When planning for a new or existing transit service, it is important to document the existing passenger transportation services within the area. Creating such an inventory is especially important to avoid duplicating transportation services already in place, but it also helps reduce gaps in service, identify coordination opportunities, and identify opportunities to leverage existing funding to more effectively and efficiently meet the needs of the community. This chapter describes the types of information that should be collected from existing transportation programs.

A written inventory is particularly important if a tribe desires to seek funding through the Federal Transit Administration (FTA) Section 5310 Elderly Individuals and Individuals with Disabilities Program, Section 5316 Job Access and Reverse Commute (JARC) Program, or Section 5317 New Freedom Program. Each of these programs requires that any projects for funding must be derived from a locally developed Coordinated Public Transit-Human Services Transportation Plan. Information on the requirements for these plans is provided in detail in the corresponding FTA Circulars, which are listed among the references at the end of this chapter. A tribe may prepare the coordinated plan or participate in a regional plan to seek funding from either of these programs.

Types of Transportation Programs

Many types of transportation programs exist. Each type has a different focus and provides services to different market segments. The primary transportation programs likely to be of interest to tribal transit planners are described in this section.

Tribal public transit: This is a public transit program provided, supported, and/or operated by the tribe. Many tribes that provide tribal public transit services access funds available through the FTA Tribal Transit Section 5311(c) program. These funds are meant to complement other sources of FTA, state, and local funding, including other FTA Section 5311 funds. The key element of this service is that anyone may ride. Many tribes integrate specialized transportation services with a public transit program to reduce duplication of services.

Non-tribal public transit: This is a public transit program that is not directly operated or funded by the tribe, but rather is provided by a non-tribal entity like a neighboring community or county. Non-tribal public transit services are geared toward meeting the needs of the general public. The system may or may not serve tribal lands and communities, but it is a resource that may be used to provide transit service to tribal members. Some tribes, such as the Confederated Tribes of the Grand Ronde Community of Oregon, have found it advantageous to contract with

a local public transit system to provide service to tribal members on tribal lands or reservations. Other tribes have coordinated their own transit services with nearby non-tribal transit services to allow transfers and expand the area to which tribal members have access. An understanding of the nearby public services allows a tribe to make an informed decision regarding the best approach to provide transit service.

Medical transportation: This is a public transit service geared toward serving nursing homes, hospitals, clinics, doctors' offices, and other medical facilities. Many programs fund or operate transportation services to support non-emergency medical needs. These include Medicaid, Indian Health Service, nursing homes, substance abuse treatment programs, and mental health programs.

Many successful tribal transit programs have been based on medical transportation. The Chickasaw Nation in Oklahoma provides medical transportation to all Native Americans in its 13-county service area. This program also provides delivery of prescriptions. The Chickaloon Village Health and Social Services Transportation Program in Alaska provides transportation for medical, dental, and mental health appointments in the Mat-Su Valley and to the Anchorage area. The Alaska Native Medical Center in Anchorage, Southcentral Foundation's Primary Care Center, and the Valley Native Primary Care Center in Wasilla are some of the agency's major medical destinations. The Choctaw Nation of Oklahoma provides general public transit services with priority given to non-emergency medical trips. The tribe realized that heath care services were important but that transportation was a critical need for members to access the health care services. The tribe applied for and was awarded a grant from the FTA Tribal Transit Program in 2007. The transit program then integrated the existing Community Health Representative medical transportation service by providing service to the Indian Health Hospital and the other tribal clinics. Started in October 2007 as a one-vehicle operation, the program has since expanded to 17 vehicles serving 88,000 members within the Choctaw Nation boundaries.

Elder services: This transportation service is provided to older adults. Often affiliated with a senior center, the service focuses on providing transportation to congregate meal sites, medical appointments, grocery shopping, human services offices, social events, and other locations. Many agencies that serve older adults also include people with disabilities in their transportation services.

Education: This transportation service typically is provided by colleges or universities, often with the intent to decrease the number of single occupancy vehicles on campus or to support the transit-dependent student population. The Salish and Kootenai College located on the Flathead Indian Reservation in Pablo, Montana, supports transportation for its students to access the campus using the tribal transit system. The Standing Rock Sioux Tribe uses a public transit service operated by Sitting Bull College. This kind of arrangement allows the transit system to pool funds from a variety of sources.

Other social service programs: These transportation programs focus on providing access to various social services, such as Head Start, job training, and counseling programs. The facilities at which these programs operate may or may not be served by public transit, and transportation is often the key to ensuring that people have access to the programs. Coordinating efforts with available social service programs may allow tribes to leverage existing funds and to set up a more efficient service.

Private transportation services: Providers of private transportation services, such as taxis, airport shuttles, tour operators, charter bus companies, and intercity bus services, may serve areas near a tribe. Private transportation services may be geared to a specific market segment (such as tourists), a specific purpose (such as medical transport), or a specific destination (such as an airport). Private operators may offer a resource for tribes to meet specific transportation needs, such as regional service to an airport.

Volunteer programs: Some communities have volunteer programs that provide transportation services. In some cases, volunteers use their own vehicles and, in other cases, volunteers drive agency vehicles. Volunteers are often a valuable resource for trips like long-distance medical trips, which can be difficult to provide in other ways.

Information to Gather

Planners should compile basic information about each available transportation service. Understanding of the various options helps planners identify opportunities to build on existing services and to leverage funds already being spent on transportation programs. Cooperative arrangements with existing transportation programs have allowed many tribes to begin a successful public transit service.

Some of the important information to be collected about transportation providers is described in this section.

Service area: If possible, identify the areas served by each of the available transportation resources on a single map, especially those that serve the general public. This will be helpful when designing service alternatives to meet the needs of the community. A map showing all the transportation providers in the area will help to avoid duplications, identify coordination opportunities, and identify areas that lack service or are underserved.

Type of service: It is important to understand the type of service provided by the available transportation programs. Services can be categorized into fixed-route, deviated fixed-route, demand-response, and combination services. This helps clarify the level of service and if the type of assistance provided is door-through-door, door-to-door, or curb-to-curb service.

Fixed-route service vehicles travel along designated routes. Service is provided at identified stops at set times during the day.

Demand-response service vehicles operate based on service requests received.

Deviated fixed-route service operates along an established path, arrives and departs at set times during the day, but can deviate from the established path for pick-ups and drop-offs according to service requests. Point-deviation or checkpoint services operate at fixed stops, but deviate between stops without having a designated route.

Carpool and vanpool programs are an effective way to provide transportation for commuters. These programs work best for people who have similar origins and destinations. Participants travel together in one vehicle, share the costs, and may take turns acting as the driver. These programs may be administered by a transit agency, a nonprofit, or an employer, or they may be informal arrangements. Often carpools are informal arrangements set up by people who know each other.

Service characteristics: Some of the service characteristic information to be collected includes the number of operating days and hours, eligibility to use the service, the frequency of the service, advance reservation requirements, the size and type of the vehicle fleet, seating capacity, and whether vehicles are wheelchair-accessible.

Ridership: Some of the ridership information that needs to be compiled includes the number of one-way passenger-trips, types of passengers served, and trip origins and destinations. Limitations on eligibility for users also should be identified, as many programs have restrictions on who may be eligible or what types of trips may be served.

Performance measures: Performance measures give an indication of the effectiveness and efficiency of a transportation service. Some types of service, such as long-distance medical trips,

are very expensive and have relatively low performance. Understanding performance measures will help planners select the appropriate type of service to meet a specific need. Ridership is one important measure by which transportation programs gauge their service effectiveness. It adds value to document the number of people who are able to get to a medical appointment, get to a job, or get to services they may not otherwise be able to access. This information helps highlight the impact of services on the community. Data collected should cover a full year of operations. Depending on the information available, some of the common performance measures include passenger-trips per hour, passenger-trips per mile, cost per passenger-trip, cost per service-hour, and cost per service-mile.

Costs: Gathering information about costs is important for understanding the current amounts being spent on transportation services. Tribes may be able to use the existing level of funding to match other grant programs and enhance the transportation services without committing additional local funds. Information about capital costs will be useful. Costs also are important for calculating basic performance measures as described above. Local cost data will also help planners estimate a budget for new public transit services.

Funding and revenues: Relevant information about funding and revenues needs to be collected for each transportation service provider. Relevant information includes items such as whether the agency charges a fare and the sources of the program funding. Any restrictions imposed by different funding sources should be identified. Several federal agencies fund transportation programs of human service agencies. These agencies include the Office of Special Education and Rehabilitative Services (OSERS), Department of Health and Human Services, Administration on Aging (AoA), Centers for Medicare and Medicaid Services, Employment and Training Administration, and Office of Disability Employment Policy. These non–Department of Transportation (DOT) federal funds may be used as a local share or match for FTA programs. Other examples of local match sources include private donations and revenue from human service contracts. Compiling this information helps planners identify partnering opportunities.

Organization: Information should be collected about the transportation program's organizational structure, management, administrative structure, and current staffing.

Policies: Policies and procedures that are in place for transportation programs should be documented. Customer policies and procedures communicate the transportation provider's customer service philosophy, as well as the degree of flexibility the agency may have in working with reservations. Knowledge about existing policies and procedures can be helpful when coordinating transportation services and being sensitive to the agency's perspective on the matter.

Existing Funding Programs

An important part of doing an inventory of existing transportation providers is documenting their existing funding sources. The primary categories of funding sources are described below. More detailed information on funding tribal transit programs can be found in Chapter 8 of this guidebook.

FTA programs: The FTA may provide funds for services directly to the tribe or through programs administered by state governments. Most FTA grants require local matching funds.

Other federal grants: Other federal programs that are used to support transportation programs should be identified. Many federal grants may be used to match FTA funding.

State funding: Some transportation programs are funded through the state government. These may include human service programs or transit programs.

Contracts: Any existing contract that provides funds for transportation services should be identified.

Existing local funds: It is important to document local funds used for their respective transportation programs. Local funds may include general budget funds, gaming revenues, fees, or enterprises.

Matching funds: It is important to identify how existing grants are matched with local or other funds. Funds may not be used to match more than one grant. Often, however, an inventory will reveal funds being used for transportation programs that could be used as matching funds to additional grants.

For More Information

FTA Circular 9045.1: New Freedom Program Guidance and Application Instructions. http://www.fta.dot.gov/documents/FTA_C_9045.1_New_Freedom.pdf.

FTA Circular 9050.1: The Job Access and Reverse Commute (JARC) Program Guidance and Application Instructions. http://www.fta.dot.gov/documents/FTA_C_9050.1_JARC.pdf.

FTA Circular 9070.1F: Elderly Individuals and Individuals with Disabilities Program Guidance and Application Instructions. http://www.fta.dot.gov/documents/C9070.1F.pdf.

CHAPTER 4

Transportation Needs Assessment

Introduction

A demographic profile of the community is important to understanding the different types of market segments a public tribal transit service will need to serve. It gives a better understanding of the community and helps with estimating needs and forecasting demand for passenger transportation in the community.

Demographic Analysis

Population Estimates

Data from the most recent U.S. Census can be used as base data for population estimates. Updated information from local and tribal transportation planning offices and state agencies can be used to amend the base data to reflect the most recent and projected information. Using both types of sources will give a more accurate estimate of the total population served by an existing transit service or that will be served by a proposed transit service.

Transit-Dependent Population Characteristics

Transit-dependent populations are individuals for whom ride sharing, public transit, and other community transportation options are the only forms of motorized transportation available. Typically, three types of limitations prevent persons from owning or driving a private automobile:

1. Physical limitations
2. Financial limitations
3. Legal limitations

Physical limitations range from permanent disabilities, such as frailty due to age, visual impairment, paralysis, or developmental disabilities, to temporary disabilities, such as acute illnesses and head injuries. Financial limitations relate to the inability to purchase or rent a vehicle because of cost. Legal limitations typically relate to restrictions on an individual's maintaining a driver's license, such as suspension or revocation due to driving under the influence (DUI), or on obtaining a license, such as age (generally under age 16).

Data from the U.S. Census is easily available and contains general information about these three categories of limitation. Population numbers obtained from the census need not be precise, as they will be used to develop estimates of demand. Census information is available about elderly, mobility-limited, below-poverty, and youth populations and zero-vehicle households.

Elderly population: This category is defined as the population of individuals above 60 years of age.

Mobility-limited population: This category is defined as individuals above 16 years of age with an impairment that limits their ability to leave their home without assistance.

Below-poverty population: This category includes all individuals from households with income levels reported as below the poverty threshold.

Youth population: This category includes individuals less than 18 years of age.

Zero-vehicle households: This category includes households that do not have possession of a vehicle in working order.

Assembling data for each of these population categories results in a good estimate of the dependent population living in the community. Details about how to access this information appear in the "Tools" section of this chapter.

Native American Population Estimates

For federally recognized tribes that have a reservation boundary and/or off-reservation trust lands, Native American population estimates can be calculated by looking up 2010 Census data and/or the 2006 to 2010 American Community Survey (ACS) 5-year estimates under the summary level "tribal block groups" or "tribal census tracts." These summary levels will have information for most tribal transit-dependent populations. The 2006 to 2010 ACS is the first data release to include estimates for tribal census tracts and tribal block groups.

Boundary differences exist between a non-tribal block group and a tribal block group. A standard block group does not cross boundaries of states, counties, or statistical designated boundaries, but may cross boundaries delineated by American Indian tribal authorities. On the other hand, a tribal block group is independent of the standard block group defined within counties and may cross county and state boundaries. They do follow the same population and housing unit thresholds as standard census tracts and block groups. Tribal census tracts and tribal block groups are available only on reservations and/or off-reservation trust lands that have a population equal to or more than 2,400 and 1,200, respectively.

If a tribe does not have a reservation boundary, the tribal census tract/tribal block group unit cannot be used. In such cases, information is available only at a block group or a census tract level, and specific table numbers provide transit-dependent population information for all American Indian and Alaska Natives (AIAN) living in the area. Figure 4.1 provides an example of how Native American populations can be mapped to show their densities graphically.

Tourists and Visitors

Tourist populations may increase the need for a transportation service. If the transit service area serves a national park, information about visitors and traffic is available at the National Park Service Public Use Statistics Office website at http://www.nature.nps.gov/stats/.

Information about tourists and visitors not attached to a national park may be available through the Chamber of Commerce or through a local planning agency.

Tools

Several tools that can be used for estimating population and transit-dependent populations are available at

- the **decennial census** and
- the **American Community Survey (ACS)**.

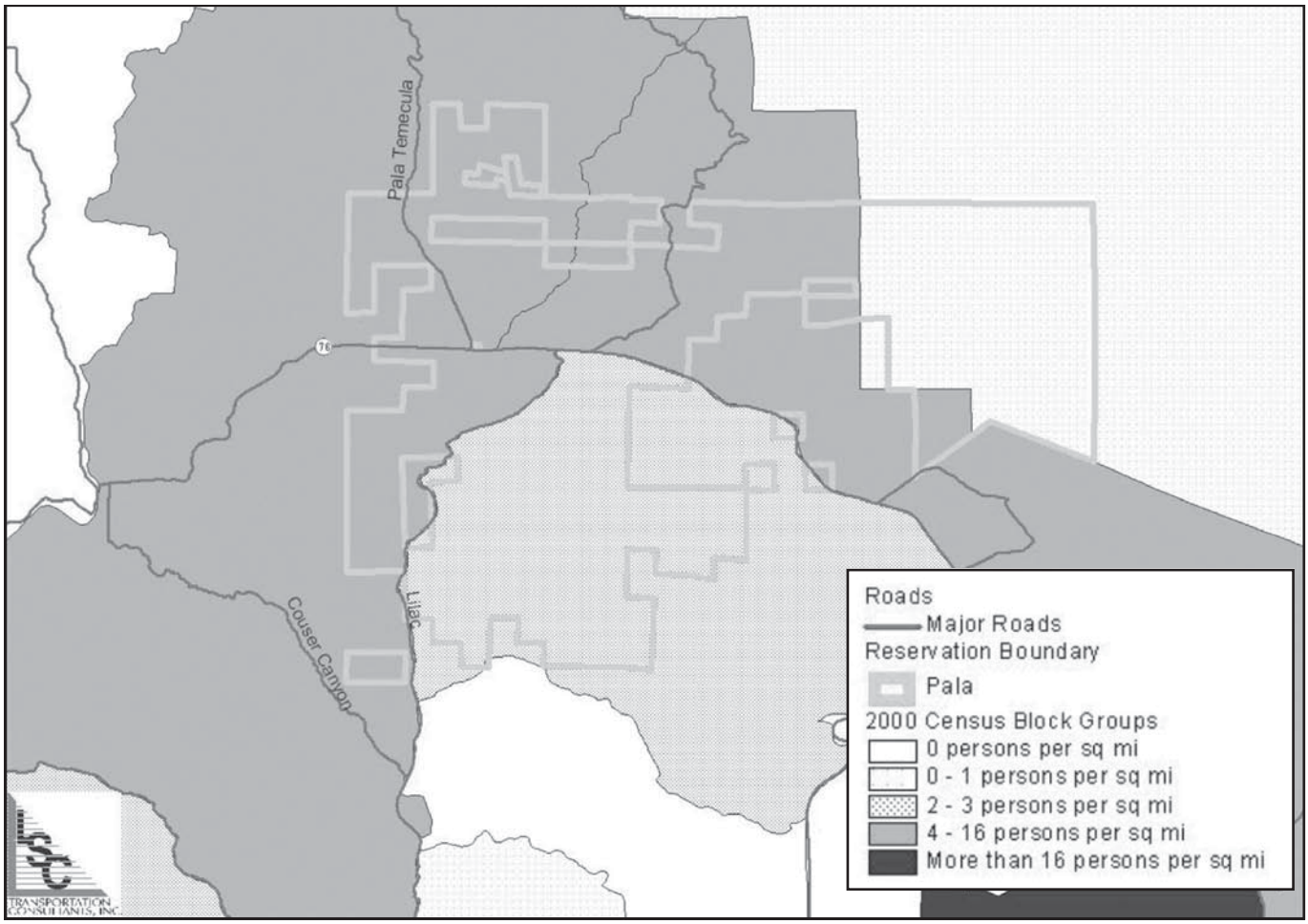


Figure 4.1. Native American population in the Pala Reservation area.

Both the decennial census and the ACS data can be obtained from the main census website at www.census.gov. Census may periodically change its website. Usually, under "American FactFinder," you will be able to find specific datasets such as the 2010 Census or various ACS datasets. You will then have to select the relevant summary level (tribal census tract, census tract, or whatever defines your geographical transit service area). The "tribal block groups" and the "block groups" are the smallest geographic units for which transit-dependent population data are available. You will also have the option to map each geographic area by selecting the "map" tab. Currently, various data at the census block groups can be accessed using the Summary File Excel Retrieval tool, which can be downloaded from the census website.

The descriptions for each of these categories under "tribal block group" or "tribal census tract" are listed as follows:

- Total Population.
- Sex by Age. Select the data for both male and female categories age 60 years and older.
- Persons with a Disability. Obtain information for "Population 16 to 64 Years" with a "Go-Outside Home Disability" if you are doing a public transit service or add other types of disability depending on the market segment you plan to serve.
- Poverty Status in the Past 12 Months by Sex by Age. Select the population with income below the poverty line.
- Tenure by Vehicles Available. Select data from both owner-occupied and renter-occupied housing units with no vehicles available.

For tribes without a reservation boundary, information on Native American transit-dependent populations is available by selecting the following descriptions under "census tracts" or "census block groups." As mentioned, you will have to select certain pieces of information from these tables based on the information needed.

- Sex by Age (AIAN alone). Select the data for both male and female categories for age 60 years and older.
- Persons with a Disability (AIAN alone). Obtain information for "Population 16 to 64 Years" with a "Go-Outside Home Disability" if you are doing a public transit service or add other types of disability depending upon the market segments you plan to serve.
- Poverty Status in the Past 12 Months by Sex by Age (AIAN alone). Select the population with income below poverty line.
- Tenure by Vehicles Available (AIAN alone, by householder). Select data from both owner-occupied and renter-occupied housing units with no vehicles available.

The ACS is conducted yearly, so it has more current information, but the margin of error is high compared to the decennial census. You can access information from the census website and select the most recent year for which information is available. For most rural areas, the 5-year estimates by tribal block group/block group level are the most appropriate.

Geographic Information Systems

Geographic information systems (GIS) provide another effective tool for displaying the spatial distribution of population and other transit-dependent population segments.

GIS can also help with mapping major transit trip generators like hospitals, clinics, senior centers, shopping centers, recreation areas, and employment centers in order to analyze the linkages between residential areas and the major employment centers on and off the reservation.

Transit Demand Methodologies

This section of the chapter examines various transit demand methodologies. Where applicable, links to the original documents are provided for additional reading and access to other tools to aid in demand estimation. Not all methods discussed will be needed for every system.

Program Trips

A methodology developed in *TCRP Report 3* and currently being updated in TCRP Project B-36 (with a project report to come) allows users to forecast program trips for market segments of the population. The project report, tentatively titled *Methods for Forecasting Demand and Quantifying Need for Rural Passenger Transportation,* is expected to be published in 2012.

Program trips occur because of the presence of specific social service programs, including Head Start, day habilitation services, and programs offered by senior living centers. A two-step process is used to generate demand estimates for program trips. The first step of the process uses census information to estimate the number of participants within a specific program (i.e., mental health counseling, group homes, meal programs, etc.). The second step is to apply a trip rate to the number of participants in that program. This allows for an annual number of trips to be calculated for each individual program. Although this model is fairly straightforward, it requires a significant amount of background demographic information. Table 4.1 presents an

Table 4.1. TCRP methodology, program trips.

Program Type	Estimated # of Participants/Clients		Annual One-Way Trips
Developmental services			
Adult	20	participants	7,071
Case management	20	participants	773
Pre-school – 3 to 5 yrs	13	participants	2,831
Head Start	70	participants	18,431
Job training	36	clients	4,901
Mental health services	70	clients	24,117
Nursing home	13	participants	122
Senior nutrition	34	participants	8,880
Sheltered workshop	30	participants	11,617
Group home	10	participants	6,453
Program trips			85,196

Source: LSC, 2010.

example of the kind of data accumulated using this methodology, as applied to a project for the Eastern Band of Cherokee Indians:

More information on this model, including a workbook to aid in the calculations, can be retrieved from *TCRP Web-Only Document 49: Methods for Forecasting Demand and Quantifying Need for Rural Passenger Transportation,* available online at: http://onlinepubs.trb.org/onlinepubs/tcrp/tcrp_webdoc_49.pdf.

ADA Demand Model

Estimating the demand for Americans with Disabilities Act (ADA) complementary paratransit service is an important part of the transit demand process. *TCRP Report 119: Improving ADA Complementary Paratransit Demand Estimation* established a demand estimation tool developed from statistical analysis of transit systems across the country. The model uses peer-comparison data along with multiple factors to predict paratransit ridership. The input variables include population, percentage of households below the poverty line, and fare.

More information about this model, including an Excel spreadsheet that aids in the completion of the data, can be found in *TCRP Report 119,* accessible at http://www.trb.org/Main/Public/Blurbs/159293.aspx.

Rural Public Transit Demand

A technique for estimating rural public transit demand was presented in a report from TCRP as part of Project B-3. *TCRP Report 3: Workbook for Estimating Demand for Rural Passenger Transportation* presents the methodology described in this guidebook. The study was based on a database of 185 transit agencies across the country. The model requires inputs for elderly persons, mobility-limited and low-income populations, as well as the assumed level of service (vehicle-miles). The model looks at the relationship between the level of service provided and the resulting trip rates of the three market segment populations.

Table 4.2 illustrates this model. Once again, results are provided for the Eastern Band of Cherokee Indians. The assumed level of service for this model was 2,500 vehicle-miles per square mile of study area annually.

Table 4.2. 2010 estimated public transit demand using the TCRP B-3 method.

Qualla Boundary: Estimated Annual Passenger-Trip Demand									
								Estimated Daily Transit Demand	
County	Census Tract	Block Group	Elderly	Mobility-Limited	Elderly + Mobility-Limited	Income	Total	#	%
Jackson	9501	1	2,360	1,460	3,820	2,550	6,370	25	23.8%
Jackson	9501	2	1,610	320	1,930	1,370	3,300	13	12.3%
Jackson	9501	3	2,470	130	2,600	940	3,540	14	13.2%
Swain	9601	1	870	850	1,720	2,580	4,300	17	16.0%
Swain	9601	2	1,240	200	1,440	2,730	4,170	16	15.6%
Swain	9601	3	2,390	620	3,010	2,110	5,120	20	19.1%
TOTAL			**10,940**	**3,580**	**14,520**	**12,280**	**26,800**	**105**	

Source: U.S. Census, 2000; Office of State Budget and Management, 2009 estimate; LSC, 2010.

An alternative technique for estimating rural public transit demand was developed as part of TCRP Project B-36 to give a rough estimate based on demographic characteristics alone using the formula

$$\text{Non-program Demand (trips per year)} = (2.20 \times \text{Population Age 60+}) + (5.21 \times \text{Mobility Limited Population Age 16 to 64}) + (1.52 \times \text{Residents of Households Having No Vehicle}).$$

Table 4.3 illustrates the demand estimate using this model from the TCRP B-36 project.

Urban Public Transit Demand

A fixed-route demand model can be used to analyze whether existing transit service is meeting the community's needs based on the type of service. The model is based on household vehicle ownership, average walking distance to bus stops, and frequency of operation. The basic approach is described in Demand Estimating Model for Transit Route and System Planning in

Table 4.3. 2010 estimated public transit demand using the TCRP B-36 method.

Qualla Boundary								
County	Census Tract	Block Group	Elderly	Mobility-Limited	Zero-Vehicle Households	Average Household Size	Residents of Households Having No Vehicle	Estimated Annual Transit Demand (#)
Jackson	9501	1	326	273	69	2.6	179	2,409
Jackson	9501	2	223	60	81	2.7	215	1,128
Jackson	9501	3	341	24	32	2.4	78	996
Swain	9601	1	121	158	51	2.5	126	1,283
Swain	9601	2	172	38	83	2.3	189	861
Swain	9601	3	330	115	35	2.7	97	1,474
Total			**1,513**	**668**	**351**		**883**	**8,151**

Source: U.S. Census, 2000; Office of State Budget and Management, 2009 estimate; LSC, 2010.

Small Urban Areas (Golenberg and Pernaw 1979). This model incorporates factors for walking distance, distance traveled on the bus, and frequency of service or headway.

The multidimensional approach used for this model yields fairly accurate results. The model works best when an existing service level is established so that the model may be calibrated to the current level of service. All future service changes can then be evaluated using the general trip rate established by the model.

Although the source document for this model is out of print, photocopies can be ordered. Information on ordering copies and finding library sources of the document is available at: http://www.trb.org/Publications/Pages/262.aspx.

Intercity Demand Model

To estimate demand for intercity bus service, a model was taken from the report *Planning Techniques for Intercity Transportation Services.* In general, this model represents the number of passengers traveling one-way on a given route as a function of the frequency of service, the population served, the cost to the rider, and the distance of the trip.

The format of the model that proved to be appropriate is:

$$PASS/MO = CONST \times RTFREQ^{a} \times SERVPOP^{b} \times FARE/MI^{c}$$

where:

PASS/MO = the number of one-way passengers boarding per month for the route segment specified;
CONST = a constant specifically derived for this equation;
RTFREQ = scheduled round-trips per week on the route;
SERVPOP = the population served (defined as the sum of the populations of villages, towns, and cities directly along the route, divided by 100);
FARE/MI = fare per mile in cents, found by dividing the cost of a one-way fare between the end points of each route by the one-way distance between the end points of the route;
a = the exponent for round-trip frequency;
b = the exponent for service population; and
c = the exponent for fare per mile.

Intercity trips of varying lengths differ in terms of trip purpose and frequency. This equation can be applied to estimate the potential demand for services between the various communities. One advantage of this model is that the intercity bus demand model takes into account an actual route along with factors like frequency and cost. Three different models are used, depending on the distance of the trip. The three models are:

1) $PASS/MO\ (20–60\ miles) = 17.989 \times RTFREQ^{(1.032)} \times SERVPOP^{(0.376)} \times FARE/MI^{(-0.645)}$
2) $PASS/MO\ (20–120\ miles) = 6.871 \times RTFREQ^{(1.093)} \times SERVPOP^{(0.409)} \times FARE/MI^{(-0.352)}$
3) $PASS/MO\ (121+\ miles) = 1.510 \times RTFREQ^{(0.415)} \times SERVPOP^{(0.726)}$.

Rural Intercity Demand Model

A methodology recently developed as part of the TCRP B-37 project allows users to forecast demand for rural intercity bus service. The methodology is outlined in the *TCRP Report 147: Toolkit for Estimating Demand for Rural Intercity Bus Services.* A CD-ROM included with the print version of the report also is available for download from TRB's website at http://www.trb.org/Main/Blurbs/165858.aspx.

The CD-ROM is self-contained and includes all the required census data and directions. It does not require access to specialized data or software like GIS and is sensitive to a variety of factors that could affect rural intercity bus demand. The model requires a computer capable of running Microsoft Excel. The report presents two methods—the regression model and the trip rate model.

The **regression model** uses the following basic formula: Annual Ridership = –2,803.536 + 0.194 (average origin population) + 314.734 (the number of stops on the route) + 4971.668 (yes to airport service/connections) + 5783.653 (yes to service provided by an intercity provider).

$R^2 = 0.712$, Adjusted $R^2 = 0.690$.

The **trip rate model** uses data from the National Household Travel Survey. The base data uses information about long-distance trips of 50 one-way miles or more. It provides information by urban and rural categories, by region (census divisions), and by three categories of income groups—persons earning under $30,000, under $75,000, and over $75,000 per year.

Commuter Demand

The demand estimation technique established by the B-36 project involves applying a trip rate to the number of workers traveling between counties for work. The formula was developed using data from numerous commute locations. The resulting formula is as follows:

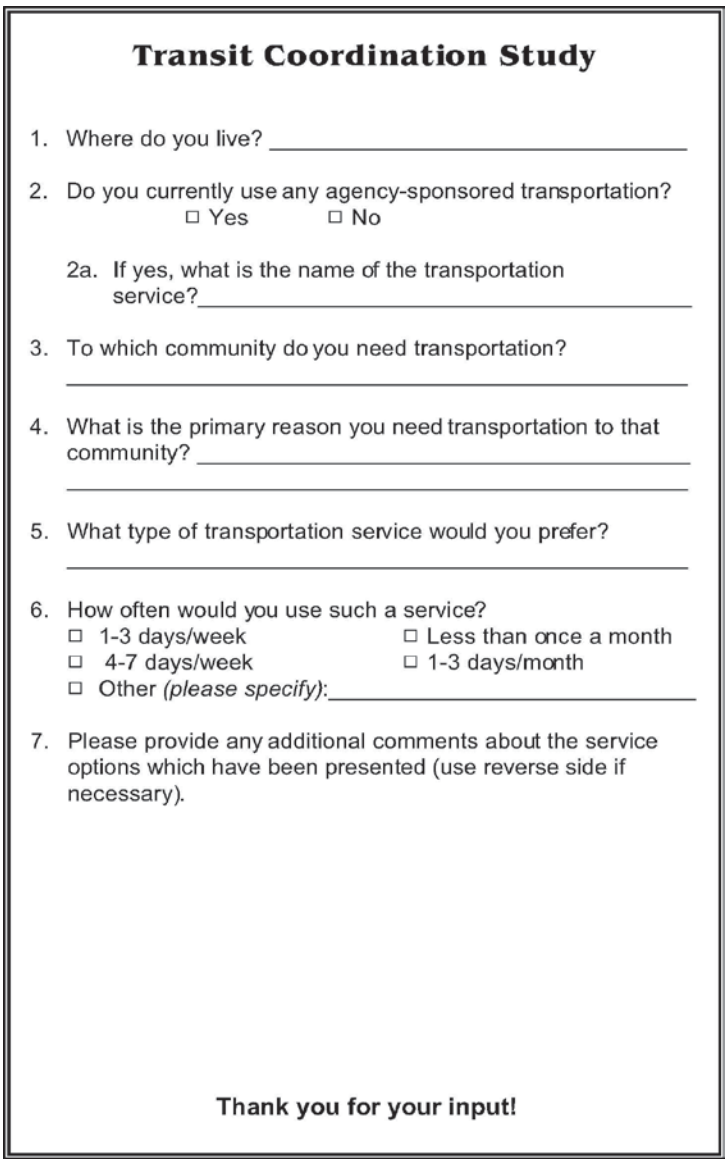
Commuter trips by transit from County A to County B = 0.012 × person work trips.

This formula breaks down to roughly one transit trip for every 83 trips into the region for work. Because most individuals need to make two commuter trips daily, this breaks down to roughly one transit trip for every 42 workers traveling to the county for work. Information on the commuting patterns of individuals can be obtained from the U.S. Census Bureau's Longitudinal Household Employment Dynamics webpage at http://lehd.did.census.gov/led/.

Need Assessment Survey Tool

Reasons vary for launching surveys. Some surveys are created to do a community need assessment, some are focused on a specific passenger transit service, and still others are designed to inventory existing transportation resources and measure interest in coordinating transportation services. The community survey may focus on the interest of the community in supporting public transportation or may focus on specific transportation for employment, medical, or other purposes. The passenger transit survey is meant to capture levels of customer satisfaction and get input on how transit services can be improved. The passenger transit survey can be in the form of intercept or onboard surveys. *TCRP Synthesis 63: On-Board and Intercept Transit Survey Techniques* describes how to administer onboard and intercept surveys. The transportation provider survey can be used to get input from agencies that have a transportation service or those that have a need for transportation services. These surveys help in determining the community needs demographics and travel patterns.

A community needs assessment survey is useful for getting input but not for estimating demand. Such a survey can be conducted by phone, mail, Internet, in-person interview, or through distributed handouts. No single delivery method works best. The method depends on whether most of the people surveyed have Internet access or if the information could be given out at a common place or event like a community center, Pow-Wow, or other community event. In some cases it may be necessary to combine several delivery methods to get the information.



Transit Coordination Study

1. Where do you live? _____

2. Do you currently use any agency-sponsored transportation?
   ☐ Yes ☐ No

   2a. If yes, what is the name of the transportation service?_____

3. To which community do you need transportation?
   _____

4. What is the primary reason you need transportation to that community? _____
   _____

5. What type of transportation service would you prefer?
   _____

6. How often would you use such a service?
   ☐ 1-3 days/week ☐ Less than once a month
   ☐ 4-7 days/week ☐ 1-3 days/month
   ☐ Other *(please specify)*:_____

7. Please provide any additional comments about the service options which have been presented (use reverse side if necessary).

Thank you for your input!

Figure 4.2. Sample community survey.

It is important to test the questionnaire on a small group of people before distributing it to the community to see whether people understand the questions or to identify mistakes in the survey design. Figure 4.2 presents a sample community needs survey.

For More Information

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CHAPTER 5

Developing a Transit Vision, Goals, and Objectives

Introduction

This chapter presents the importance of developing a vision for the transit service and having specific objectives. It provides examples of mission statements, goals, and objectives that have been developed by tribal transit agencies. Emphasizing the need for quantifiable service measures, it also discusses how such measures can be useful in the operation and expansion of a tribal transit program.

Determining a Vision for Transit Service

Understanding Strengths, Weaknesses, Opportunities, and Threats

An analysis of strengths, weaknesses, opportunities, and threats (SWOT analysis) is an effective way of identifying internal and external forces that affect your transit system. A SWOT analysis often is the first step in developing a vision for a transit service. It reveals ways that transit service can support your tribe's other priorities. Carrying out an analysis using the SWOT framework also will help you focus your activities on areas of strength and where the greatest opportunities lie.

To carry out a SWOT analysis, write down answers to questions in all four categories, as follows:

Strengths:

- What is positive in the transit service?
- What does the service do well?
- What do other people see as the system's strengths?

Consider these questions from the provider's point of view and from the point of view of the people you deal with. Be realistic.

Weaknesses:

- What could be improved?
- What should be avoided?

Consider these questions from both an internal and external point of view for the organization. Do other people perceive weaknesses that you do not see? Be realistic.

Opportunities:

- What good opportunities can you identify for the transit service?
- What interesting trends are you aware of?

When thinking about opportunities for transit, consider changes in technology and markets; changes in government policy; and changes in social patterns, population profiles, lifestyles, and local events.

Threats:

- What obstacles does the service face?
- What stands in the way of success?

Carrying out this analysis may illuminate both what needs to be done and how to put problems in perspective.

How Does Transit Support the Tribe's Other Activities

Public transit should be seen as a service to support other tribal programs, whether those are providing health care for members or access to jobs. Either separately or as part of the SWOT analysis of the transit service, transit planners and community leaders, staff, and tribal members should conduct a SWOT analysis for the tribe and the communities in the system's service area.

Mission Statement

Establishing a Mission Statement

A good mission statement is compelling, passionate, and energizing. It should be risky and challenging, but also achievable. A mission statement isn't written in stone and is likely to change over time as an organization grows and market conditions change. Think of your mission statement as a short statement of why the transit service exists.

Mission:
The mission of the Road to Work Program is to provide transportation to all Native Americans within the Chickasaw Nation and to the general public in a comfortable, simple, and easy-to-access fashion.

Writing a mission statement can be a difficult and challenging task. If you don't know what principles you operate from and how you will treat those who come in contact with your organization, then it's an impossible task. Similarly, if you're not excited about what you are doing and lack a passion for your service, then it's an impossible task. Instead of trying to just "write it" or "get it done," devote some serious thought and soul-searching to your mission statement. It must boldly state what you, your organization, and its future are all about. It is worth the effort.

Succinct Statement of What Transit Accomplishes

An effective mission statement should require little or no explanation, and its length is less important than its power. One of Nike's now-famous mission statements was "Crush Reebok." This statement required no explanation, but it motivated everyone associated with Nike, and the objective was unmistakable. Nike could have stated its mission as "to be the best shoe company with the best customer service," but that would have done little to inspire the "troops." Don't make that mistake with your own mission statement—make it passionate and inspiring, not bland and boring. Consider two other famous mission statements: PepsiCo's—long-held, unofficial mission statement—"Beat Coke"—and Honda's early-1980's mission statement, translated as "We will crush, squash, and slaughter Yamaha."

Attempt to keep your mission statement simple, but this doesn't necessarily mean it should be short. Shorter mission statements tend to be better because the message can be conveyed easily and embraced by all employees from top management to the person sweeping the garage floor. Every mission statement should be different. Write a mission statement that reflects your values, individuality, creativity, and uniqueness. Use a tone that best reflects the culture of your organization, and get as many people as possible involved in its construction.

A Worksheet for Drafting a Mission Statement

1. What traits do we consider worthwhile? What are our highest priorities, our deeply held driving force?
2. How do we want the transportation service to interact with our customers (riders, employees, our community)?
3. What kind of transportation do we need?
4. Who are our principal customers, riders, or users?
5. Why should we exist (what is our basic purpose)?
6. What is unique or distinctive about our community?
7. What should our principal services be, both now and in the future?
8. What are our principal market segments, at present and in the future?
9. How do our needs differ from what they were between 3 and 5 years ago?
10. What is likely to be different about our needs 3 to 5 years in the future?
11. What are our principal economic concerns, and how are they measured?
12. What philosophical issues are important to our tribe and our future?

Importance of Employee Support of Mission

If everyone doesn't buy into the mission statement, then it will not effectively shape the organization and its actions, and it will have limited effectiveness. If someone reads your mission statement and comments, "Great, but who cares?" consider rewriting it and adding some passion. The passion and excitement you demonstrate in your mission statement will carry over, not only to the rest of your business plan, but also to the day-to-day operations of your organization. Ask yourself the following questions:

Does your mission statement

- describe the nature and concept of your community transportation future?
- establish what those providing transportation plan to do and for whom?
- provide clarity of the transportation purpose?
- provide a point of reference for planning decisions?
- promote commitment internally and externally?

Goals

Goals are statements created to help focus your efforts to carry out your mission statement. Goals are guidelines that direct where your transit system is going. Goals are generally broad statements that identify focus areas for accomplishing the mission.

Objectives

Objectives are statements of specific actions that will be taken to achieve the goals. Well-crafted objectives are specific, measurable, achievable, realistic, and have a specific time frame. An objective must be measurable so that is it is possible to determine if the objective has actually been achieved. Being achievable and realistic means that it is feasible to accomplish the specific goal with the resources that are available. A specific time for completion should be set for achieving each objective. Table 5.1 illustrates a useful way to organize your objectives in a way that helps answer the following questions:

- What are we really trying to do?
- What are the issues?
- Who is responsible?
- How will we know if we achieved our goal?

Table 5.1. Objectives worksheet.

Specific Objective/ Action Area	Challenge/ Opportunity	Resources Needed	Key People (Whom to enroll in achieving objectives?)	Indicators of Success	Timeline for Action	Relationship/Link to Mission Statement

Sample Mission, Goals, and Objectives

The following is an example of a mission statement with corresponding goals and objectives developed for Menominee Public Transit of the Menominee Indian Tribe in Wisconsin.

Menominee Public Transit Mission Statement

Menominee Public Transit strives to encourage the improvement, efficiency, and use of the Menominee Public Transit system within the Reservation and County in order to enhance access of employment, health care, recreation, education and public services for the Menominee People.

Menominee Public Transit Goals

Goal 1: Continue to build a positive, professional, and customer-responsive organization to help ensure that Menominee Public Transit is recognized as the leading proponent and advocate for mobility on the Menominee Reservation/County.

Objectives of Goal 1:

1. Training and Education: Continue and improve training programs for all employees of Menominee Public Transit.
2. Intergovernmental Relations: Foster programs to improve communications with all local jurisdictions, departments, and services, including regular meetings with departments and programs that either directly or indirectly impact Menominee Public Transit.
3. Marketing and Advertising: Conduct both internal and external activities to improve overall image, supporting a professionally operated system. Emphasis will be placed on user aides—i.e., printed schedules, bus stop signs, and bus shelters.

Goal 2: Respond to changing operating conditions and changing population characteristics by modifying existing service as needed, increasing or decreasing service as needed, and promoting flexible services to meet reservation, county, and regional needs.

Objectives of Goal 2:

1. Establish fixed schedules and fixed-route service along with ADA [Americans with Disabilities Act] paratransit to better meet the needs of riders and potential riders as revealed by the transit survey conducted in January 2006.
2. Establish regular service to Green Bay and Milwaukee, and coordinate with reservations and communities along the route to increase revenue and to carry more passengers.
3. Purchase appropriate rolling stock for improved fixed-route service and ADA paratransit service.

Goal 3: Develop partnerships with businesses, tribal departments, and other governmental units to more efficiently and effectively provide mobility options.

Objectives of Goal 3:

1. Promote the use of employer-provided transportation, including the transit pass benefit program under Section 132 of the Internal Revenue Code of 1986.
2. Partner with the Menominee Tribal Clinic to develop coordinated programs for transporting persons to doctor and clinic appointments with the overall purpose of providing more trips to those in need at an overall lower cost.
3. Acquire the necessary certifications and contracts to become a Medicaid provider, with the overall goal of increasing available services to residents of the area and lowering costs to the tribe and county.
4. Partner with the Menominee Aging Division to refocus services as needed to meet the needs of the elderly and work to maximize the number of passengers per trip.

Goal 4: For a community to have a successful transit service, it must first have a rational and complete system of walkways and pedestrian amenities, so this goal is to help improve the overall pedestrian activities on the reservation/county.

Objectives of Goal 4:

1. Help facilitate better sidewalks, trails, and paths along with curb cuts to make it easier to walk and travel on the reservation/county.
2. Add bus shelters with heat for winter and lighting for comfort and safety of persons using the bus services.
3. Identify and mark bus stops and locations in buildings so that passengers can safely wait for the bus.

Goal 5: Promote stable funding to ensure a sound financial foundation for Menominee Public Transit.

Objectives of Goal 5:

1. Establish a Transit Advisory Committee consisting of interested elected officials, program partners, and rider customers of our service.
2. Provide detailed quarterly reports to tribal elected officials to enhance understanding of services.
3. Host an annual open house and potluck dinner at Menominee Public Transit headquarters to show appreciation to riders and supporters of service and enable non-riders to understand how service is provided and with what type of equipment.
4. Establish a Transit Commission.

Performance Measures

Performance measures are quantifiable indicators of service to measure the accomplishment of objectives. When objectives are set, they should be measurable. The indicators used for this measurement are the performance measures.

Why Measure Performance?

- *To evaluate the effectiveness of your program*
- *To provide feedback to funding sources*
- *To evaluate quality of service*

The benefits and impacts of public transportation on a community are complex, subtle, and not easily separated into discrete units of measurement. Some indirect benefits to individuals and their activities do not fit into standard measurements like time savings or willingness to pay. Even these measurements are not well-defined; people place widely varying values on their time and on how much they will pay to use public transportation. Captive users who have no alternative will value their time and money differently from people who have other travel options.

Some benefits of public transportation are difficult to assign value. What numbers or percentages can be placed on independence, mobility, or quality of life? Other benefits, such as land-use impacts and safety, require such complex measurement that they usually are not evaluated correctly. Public transportation impacts often are interrelated and therefore not easily categorized. For example, commuters using public transportation could have the benefits of trip reductions, less air pollution, less congestion (or perhaps more in downtown areas where transit and cars mix), lower fuel consumption, time savings, stress reductions, lower insurance rates, and lower expenditures, particularly if the use of public transportation negates the need for a second car in the family. These benefits cannot stand in isolation, but have to be viewed as an integrated whole. Interrelated benefits are more difficult to communicate to the public, planners, and funding sources. However, the synergy of communities and public transportation cannot be ignored in favor of standard measurements that are misleading and inaccurate.

Benefits are in the eye of the beholder. What people perceive to be a benefit is a benefit. This truism closely parallels people's view of traffic congestion: if people think their roads are congested then their roads are congested, no matter the actual traffic counts or comparisons with other areas that have even more congestion. For a wide-ranging service like public transportation,

the perceived benefits might be even more important to people than the actual, quantifiable benefits. Many people want public transportation in their community because it is perceived as a symbol of civic progress and pride. The usual attitude is that public transportation should be supported as a social good for people who have no other means of travel. Usually these are "other" people. Many public transportation supporters have no intention of using the services themselves, but want the option of being able to take the bus or ride the shuttle in case they find themselves unable to use a personal vehicle.

For some individuals, the unscripted contact with other people and close interaction with a community that the use of public transportation requires is a great benefit, while for others such contact is a horror to be avoided at all costs. Even within the public transportation spectrum, stratification of acceptability exists. Rail travel is generally perceived to be a more acceptable and positive way to travel than bus travel. The perception exists that rail travel is safer, cleaner, more comfortable, and more attractive than bus travel. Whether or not this is true is difficult to measure because people's perceptions are so highly personal and amorphous. Yet these perceptions are just as relevant as statistics on ridership or age and condition of a system's vehicles. Public transportation cannot be severed from its close connection to local politics and personal perceptions.

Typical Performance Measures

Performance measures are not to be confused with the goals and objectives of transportation providers. Measures are necessary to determine if the objectives and goals are being fulfilled in a safe, reliable, and efficient manner. Even the most obvious items should be subjected to measurement because guesswork and hunches are often in error. In general, measures should be meaningful, appropriate to the operation or system, suitable to analysis, easily interpreted, and relevant for decision making. Each objective should have a performance measure.

Performance measures that do not relate to the goals and objectives of the transit service typically are ignored and become meaningless. Although it is possible to collect and measure large amounts of data, measures are important only when they are tied to what a transit system desires to achieve.

Continuous—or at least regular—evaluation allows systems to adjust their operations or modify their objectives to keep improving without pursuing unrealistic goals. Care should be exercised when comparing measurements from different operations because so much depends on local conditions, the size of each system or area served, and the purpose of each system.

At the least, the service quality, productivity, and efficiency of public transportation operators should be measured. Performance can be measured as the kind and level of service delivered by the system. Overall measures of service quality may include the number of days of service, hours of service each day, type of service, percentage of service-area population served, on-time performance, safety, vehicle cleanliness, and attitudes of drivers.

Productivity can be measured as the actual use of a system's resources and facilities compared to their potential use, given the geographical area covered and type of service offered. What are the vehicle-miles per vehicle? What are the load factors and the passenger-miles per vehicle-hour?

Efficiency can be measured as how much service is being provided and at what cost in time, resources, and facilities. Efficiency measures are cost per vehicle-mile; fare revenues as a percentage of cost; and cost of overhead, administration, operations, maintenance, or equipment as percentages of total expenditure.

Many aspects of public transportation are difficult to measure, but some aspects are more easily counted and categorized. The most basic of these are input measures: what facilities exist for public transportation. To plan public transportation in accordance with the desires of the citizens of the tribe (as expressed in the issues identified in public meetings), planners must know what facilities exist with which to provide services.

However, simply measuring the "hardware" without measuring user satisfaction or user opinion—considered output measures—is meaningless. Users' opinions about public transportation are as important to measure as the number of maintenance facilities. Both input and output measures are needed to understand public transportation. On the following pages, recommended input and output measures are grouped in tables, as follows:

- Table 5.2. Suggested input measures: overview of transit system.
- Table 5.3. Evaluation criteria: vehicle characteristics.
- Table 5.4. Evaluation criteria: maintenance, dependability, system, and safety.
- Table 5.5. Possible input and output measures: role of public transportation.
- Table 5.6. Possible input and output measures: coordination, infrastructure, and promotion of public transportation.

Table 5.2. Suggested input measures: overview of transit system.

Evaluation Criteria	Measures	Purpose
System	• Number of active vehicles • Estimated vehicle replacement costs • Estimated vehicle rehabilitation costs • Capacity • Fare structure and collection • Responsiveness to users with special needs • Funding needs and sources • Level of service (e.g., demand-response service, fixed-route service, or other type of service)	Assists in determining if the organizational structure of providers is capable of delivering safe, reliable service
Facility	• Type • Age • Condition • Number and purpose • Replacement costs • Rehabilitation costs	Assists in determining if transit providers' infrastructure is adequate to deliver satisfactory service
Vehicle description	• Type and age • Manufacturer and model number • Fuel type • Seating configuration and capacity • Mileage • Expected lifetime • Estimated vehicle replacement costs • Estimated vehicle rehabilitation costs • Ownership arrangements	Assists in determining if available transit assets are sufficient to satisfy current and projected demand
Maintenance	• Number of vehicles operating at maximum capacity • Number of breakdowns • Service disruptions caused by breakdowns	Assists in determining reliability and safety of vehicles
Dependability	• Malfunctions and breakdowns, measured in terms of months or years, vehicle-miles, or operating hours • Type, cause, location, time of year/day of malfunction or breakdown • Repair time	Assists in determining if providers can deliver safe, consistent service
Safety	• Response time of support services • Response time of emergency services • Effectiveness of safety equipment • Driver training in first aid and defensive driving • Driver training in passenger assistance techniques • Crime number, location, type, persons involved, costs, and resolutions	Assists in determining if transit providers can assure passenger safety

Table 5.3. Evaluation criteria: vehicle characteristics.

Measures	Definitions	Purpose
Type	Automobile Vans 12–16 passengers Bus < 36 passengers Bus < 67 passengers School Buses	Assists in determining if available transit assets are sufficient to satisfy current and projected demand
Age	The year the vehicle was made.	
Manufacturer and model number	General Motors Ford Chrysler Dodge El Dorado Other:	
Fuel type	Gasoline Diesel Liquefied natural gas Methanol Ethanol	
Seating configuration and capacity	Number of seats installed in the vehicle	
Mileage	0–50,000 50,001–75,000 75,001–100,00 100,001–125,000 125,001–150,000 150,000 and above	
Expected lifetime	Period of active service expected from acquisition to retirement	
Estimated vehicle replacement cost	How much each vehicle would cost to replace at market rates	
Estimated vehicle rehabilitation costs	Costs for repairs to avoid vehicle replacement	
Ownership arrangements	Owned Leased under purchase agreement* Leased** Leased or borrowed from others***	

* Vehicles leased under a closed-end agreement in which the lease acquires the capital appreciation of the vehicles as lease payments are made. At the end of the lease, the vehicles are owned by the lessee.
** Vehicles are leased so that the lessee does not acquire the capital appreciation of the vehicles as the lease payments are made.
*** Vehicles that are leased or borrowed through a public agency or entity as a result of governmental or legal agreements. For example, vehicles may be owned by the state or county and leased to a public transit authority which is legally prohibited from owning the vehicles.

Table 5.4. Evaluation criteria: maintenance, dependability, system, and safety.

	Measures	Definitions	Purpose
Maintenance	Number of vehicles operating at maximum capacity		Assists in determining reliability and safety of vehicles
	Number of breakdowns and service calls	Annual number of responses to breakdowns on vehicles in service	
	Service disruptions caused by breakdowns	Missed trips or missed routes caused by breakdowns of vehicles	
	Fleet condition	Excellent—No repairs needed Good—Only regular maintenance needed Average—Major repairs needed Poor—Major reconstruction of vehicles needed to continue service	
Dependability	Malfunctions and breakdowns, measured in terms of months or years, vehicle-miles, or operating hours	Number of fleet breakdowns per annual fleet vehicle-miles	Assists in determining if providers can deliver safe, consistent service
	Repair time	Average length of time required to repair vehicles	
System	Number of active vehicles	Vehicles available to operate, including those out for routine repair	Assists in determining if the organizational structure of providers is capable of delivering reliable service
	Number of ADA-accessible vehicles	Number of vehicles that meet ADA guidelines	
	Responsiveness to users with special needs	Existence of and adherence to ADA service plan	
	Capacity	Annual number of passengers that could be carried by fleet operating at maximum capacity	
	Fare structure and collection	How much passengers pay to use service	
	Funding needs	At existing level of service, how much money is required to operate	
	Funding sources	In actual figures and in percentages of total budget, what are the funding sources for the service	
Safety	Accidents per 100,000 miles	Number of vehicular and personal accidents per 100,000 miles	Assists in determining if transit providers can assure passenger safety
	Response time of support services, emergency contingency vehicles	Time taken by emergency contingency vehicles to reach disabled vehicle to take on passengers and continue trip	
	Effectiveness of safety equipment		
	Driver training in first aid, defensive driving, passenger assistance		
	Crime number, location, type, persons involved, costs, resolutions		

Table 5.5. Possible input and output measures: role of public transportation.

Area of Interest	Evaluation Criteria	Measures	Purposes
Social role of public transportation	Community coverage	Percentage of total community accessible by transit systems	Allows identification of gaps in service and need for additional resources
	Clientele coverage		Permits identification of effective service providers and establishment of averages for service standards
	Level of service	Hours of service per day	Assists in deciding if service expansion is needed
	Resource utilization	Passengers per vehicle-mile Passengers per vehicle-hour Passengers per service day Passenger miles per vehicle-trip Vehicle-miles per vehicle Vehicle-hours per vehicle	Pinpoints under and over use of vehicles and need for fleet expansion or service redesign
	Costs per services used	Cost per one-way passenger-trip Cost per passenger-mile Cost per loaded vehicle-hour	Demonstrates efficiency and cost-effectiveness
Future role of public transportation	Demographics	Current figures on age, socio-economic characteristics, car ownership, employment status, travel patterns and ridership on transit services Projected changes in the above demographics and ridership on transit services	Allows tracking of impact of demographics so ratio of funding can be maintained

Table 5.6. Possible input and output measures: coordination, infrastructure, and promotion of public transportation.

Area of Interest	Evaluation Criteria	Measures	Purpose
Coordination between existing systems	Number of providers	Spheres and levels of activity of all passenger transportation providers in the service area - transit systems, taxis, vanpools, etc.	Excellent resource information for identification of gaps and overlapping services as well as potential providers of service
Intermodal public transportation facilities	Passenger movement	Ease of transfer between modes Ease of ticketing procedures Interline agreements Schedule coordination, explicit or serendipitous	Assists determination of degree of coordination among systems and highlights areas where transfers are difficult
	Access	Location and number of exclusive transit parking spaces at rail or air facility or special lanes or allowances for transit	A tangible measure of transit-friendliness of infrastructure
Transit-friendly infrastructure	Land-use development	Historical patterns compared to future growth projections and impact of both on transit Future road construction plans and impact on transit compared to historical patterns	Helps determine the amount of transit-friendly growth and development patterns
	Design and placement	Building codes or zoning requirements that do not promote ease of use of multiple occupant vehicles Current patterns of placement, size, shape of buildings Availability of sidewalks or pedestrian walkways	Recognizes interrelatedness of all infra-structure and allows monitoring of impact of construction on transit
	Population	Current population distribution and demographics Projected future population and demographic trends	Recognizes the basis of demand and need for services is related to population and population distribution and must be known for cost-effective resource allocation
Promotion of public transportation	Information	Knowledge of services as assessed by survey	Assists in identification of gaps in information dissemination and need for communication program
	Marketing	Effectiveness of marketing campaigns in terms of desired result (such as increased ridership)	Allows effective marketing tools to be measured for use at other locations

Valuable material for establishing performance measures also can be found in *TCRP Report 88: A Guidebook for Developing a Transit Performance-Measurement System* and *TCRP Report 141: A Methodology for Performance Measurement and Peer Comparison in the Public Transportation Industry*.

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Schauer, P. *Menominee Public Transit Five-Year Transit Development Plan: A Framework for Developing and Implementing Transit Services Through the Year 2012.* Peter Schauer Associates, Boonville, Missouri, 2008.

Ryus, P., et al. *TCRP Report 88: A Guidebook for Developing a Transit Performance-Measurement System.* Transportation Research Board of the National Academies, Washington, D.C., 2003. http://www.trb.org/Publications/Blurbs/152127.aspx.

Ryus, P., et al. *TCRP Report 141: A Methodology for Performance Measurement and Peer Comparison in the Public Transportation Industry.* Transportation Research Board of the National Academies, Washington, D.C., 2010. http://www.trb.org/Publications/Blurbs/163872.aspx.

CHAPTER 6

Environmental Issues

Introduction

This chapter examines the various environmental issues that may arise when planning transit facilities. Different types of projects require different levels of compliance with various legal requirements. Environmental regulations typically are developed to ensure that no significant impact to the environment will be made without prior consideration.

Air Quality

The Congestion Mitigation and Air Quality Improvement (CMAQ) program was established with the passing of the Intermodal Surface Transportation Efficiency Act (ISTEA) in 1991. The legislation put a focus on the linkage between transportation and air quality. The goal of the program is to support surface transportation projects and related efforts to improve air quality and reduce traffic congestion. The program is administered jointly between the Federal Highway Administration (FHWA) and the Federal Transit Administration (FTA).

Non-Attainment

The passage of the Clean Air Act amendments of 1990 established the National Ambient Air Quality Standards (NAAQS). These standards required further emissions reductions and initiated more strict control measures in areas that fail to attain the NAAQS. Areas that fail to meet the NAAQS standards for ozone, carbon monoxide, particulate matter, or nitrogen dioxide are deemed non-attainment areas. Non-attainment areas are subject to conformity requirements to ensure that progress is being made toward achieving NAAQS.

Conformity

As mentioned above, conformity requirements apply to areas that do not meet NAAQS. Conformity regulations ensure that federally supported transportation activities are consistent with the state implementation plan (SIP) for meeting federal air quality standards. The regulations establish the procedures and criteria for transportation agencies to demonstrate that air pollutant emissions in metropolitan transportation plans, transportation improvement programs, and individual projects are consistent with the SIP. Federal funds are given to highway and transit activities that will not cause new air quality violations, worsen existing air quality violations, or delay the timely attainment of relevant air quality standards.

Non-attainment areas are subject to these regulations for long-range transportation plans, transportation improvement plans, and individual transportation projects that are funded

through FHWA or FTA. Initial conformity determinations are made by metropolitan planning organizations. For areas that do not have a metropolitan planning organization, the initial determination is made by the State Department of Transportation (DOT). The final conformity determination is made by FHWA or FTA.

Additional information on air quality issues can be found on FHWA's air quality webpage at http://www.fhwa.dot.gov/environment/air_quality/conformity/.

Environmental Mitigation

Impacts of Highway Projects and Development

FHWA has set forth policies related to the mitigation of impacts on wetlands and natural habitats from highway projects and development. These policies are intended to minimize the adverse impacts of highway and land development on sensitive environments. The evaluation of the importance of the impacted natural habitats or wetlands includes the following:

- Functional capacity of the habitats or wetlands
- Relative importance of these functions to the total resources of the area
- Uniqueness, aesthetics, and cultural value of the habitats or wetlands
- Input from the appropriate resource management agencies through coordination

The evaluation should also focus on both the short- and long-term effects that a project may have on a wetland's or natural habitat's functional capacity, consistent with environmental compliance regulations. Once the evaluation is complete, the appropriate mitigation technique can be determined. The following actions are eligible for federal aid:

- Avoidance and minimization of impacts through realignment, special design, construction features, or other measures
- Compensatory mitigation alternatives, including improvement of existing degraded or historic wetlands or habitats through restoration or enhancement off-site; creation of new habitats; preservation of existing wetlands or habitats on-site
- Mitigation banks

As a mitigation technique, preservation and restoration are preferable to creation of wetlands. Additional information on environmental mitigation can be found at FHWA's webpage on environmental laws and regulations, at http://www.environment.fhwa.dot.gov/ecosystems/laws.asp.

NEPA Requirements

The National Environmental Policy Act of 1969 (NEPA) is the primary law governing FTA's environmental protection process. The act established the process for coordinating legal compliance for projects receiving federal money. NEPA made protection of the environment a high priority, mandating that environmental impacts must be considered before action that may have a significant impact on the environment is undertaken. The act established four primary purposes:

1. To declare a national environmental policy
2. To promote efforts to protect the environment
3. To improve national understanding of environmental issues
4. To establish the Council on Environmental Quality

Some states have their own state environmental laws in addition to NEPA. Tribes should determine whether state environmental protection laws have been developed, implemented,

and enforced that may need to be considered in relation to their transit plans. Such laws would apply for any tribes taking action on state lands or fee lands. Some tribes have their own tribal environmental laws with which they may have to comply. In some cases, the Environmental Protection Agency (EPA) has made a number of "treatment in the same manner as a State" determinations for tribes, establishing tribes as the primary parties for making environmental decisions consistent with EPA standards and regulations and giving tribes the authority to make decisions under NEPA.

The Tribal Energy and Environmental Information Clearinghouse (TEEIC) provides information about the environmental effects of energy development on tribal lands. It gives guidance on conducting project-specific impact assessments and monitoring programs, information about applicable federal laws and regulations, and federal and tribal points of contact. Much of this information can be found on the TEEIC Web site, at http://teeic.anl.gov.

Facilities

Categorical Exclusion

A categorical exclusion may be granted for projects or actions that do not individually or cumulatively involve significant social, economic, or environmental impacts. These projects typically require little or no construction and involve minimal or no impacts off-site. A categorical exclusion eliminates the need to complete more expensive and detailed documentation like an Environmental Assessment (EA) or Environmental Impact Statement (EIS). Specific types of projects fall under this category. These project types include, but are not limited to, bike and pedestrian facilities, emergency repairs, landscaping, ridesharing, and vehicle purchase.

Other projects may be eligible for a categorical exclusion but require further review and approval by FTA before the categorical exclusion can be obtained. Applicants are required to submit documentation that demonstrates that all of the criteria for a categorical exclusion are satisfied and that there will be no significant impact resulting from the action. Examples of these project types include traffic operations improvements, bridge rehabilitation, construction of bus storage and maintenance facilities, construction of bus transfer facilities, and rehabilitation of existing facilities that include minor amounts of additional developed land.

Environmental Assessment

An EA requires a significant level of environmental analysis, but is less intensive than is required for preparing an EIS. In many cases, the preparation of an EA may show that an EIS is actually needed for the project. An EA has three primary goals:

1. To determine which aspects of the proposed action have potential for social, economic, or environmental impacts
2. To identify alternatives and measures that might mitigate adverse environmental impacts
3. To identify other environmental review and consultation requirements that should be performed concurrently with the EA

When a public hearing is held as part of the application for federal funds, the EA must be made available at the hearing and for a minimum of 15 days in advance of the public hearing. When a public hearing is not held, a notice must be placed in the newspaper(s) that advises the public of the availability of the EA and where information regarding the action may be obtained. Comments should then be submitted within 30 days of the publication of said notice.

FTA will subsequently review the EA and any public comments received to determine if an EIS is needed or the administration will grant a finding of no significant impact (FONSI).

Environmental Impact Statement

When it is determined that an action is likely to have a significant impact on the environment, an EIS will be required by FTA. (Note: Because FTA is typically the lead federal agency on transit projects, the description of the process that follows assumes that FTA has funded the project. If another agency is the primary source of funding, that agency may act as the lead agency.) An EIS requires a greater level of detailed analysis than an EA. Completion of an EIS can take a significant amount of time, often between 12 and 18 months. An EIS seeks to answer five major questions:

1. What is the probable impact of the proposed project or action?
2. Are there any adverse environmental effects that cannot be avoided should the proposed action be implemented?
3. What alternatives to the proposed action are available, if any?
4. What is the relationship between local short-term uses of the environment and the resources that would be involved in the proposed action?
5. What irreversible and irretrievable commitments of resources, if any, would be involved in the proposed action?

The first step in the EIS process is to produce a letter of intent and distribute the letter at the local level. After the notice of intent to complete an EIS has been prepared, the scoping process begins. To eliminate duplication of analysis, this process should take into account any planning work that has already been accomplished. The scoping process is used to identify the purpose and need of the project or action, the range of alternatives and impacts, and the significant issues to be addressed in the EIS.

Once the EIS has been drafted, FTA (acting as the lead federal agency) will check it to ensure that it complies with NEPA requirements. If the draft EIS complies with the requirements, FTA will approve the draft for circulation. The lead agency then makes the draft EIS public and distributes it to public officials, interest groups, individuals, government agencies that are expected to have an interest in the proposed action, and land management entities.

A public hearing is required for the draft EIS. The draft EIS should be made available to interested parties for no fewer than 15 days in advance of the public hearing. Comments should be taken by the lead agency regarding the draft EIS for no fewer than 45 days and no more than 60 days.

After the draft EIS has been circulated, the public hearing has been conducted, and all comments have been received, a final version of the EIS can be prepared by the lead agency. The final EIS should document the basis for selecting a preferred alternative and include evidence that all reasonable alternatives have been evaluated. The document also must summarize public comments and involvement, and describe mitigation measures that have been incorporated into the proposed action. The final EIS also will document compliance with applicable environmental laws or provide a reasonable assurance that their requirements can be met. The final EIS must then be transmitted to all persons, organizations, or agencies that made comments on the draft EIS or requested a copy. This must be done no later than the time the document is filed with the EPA.

FTA will complete and sign a record of decision (ROD) no sooner than 30 days after the publication of the final EIS notice or 90 days after publication of the draft EIS. The ROD includes any mitigation measures that will need to be incorporated in the project. After approval of the ROD with a FONSI or categorical exclusion (CE) designation, the applicant shall consult with FTA before requesting any major approvals or grants to establish that the documents remain valid for the requested action.

Tools that can be used as references for NEPA requirements can be found at FTA's webpage on environmental analysis and review at this location: http://fta.dot.gov/13835_5222.html.

Bus Services

Changes to bus service, such as routing and fare changes, do not require environmental documentation. However, FTA does require that public meetings be held in order to get feedback from the public. This requirement exists because FTA wants to ensure that decisions are not made without discussion with individuals who may be affected by such changes.

Title VI regulations help to ensure that no residents are being discriminated against based on their race, color, ethnicity, age, or ability to speak English. These regulations may be applicable to tribes through grant agreements. Transit agencies must conform to these policies and demonstrate that their transit service is non-discriminatory. The use of maps and overlays can aid in proving that service is distributed evenly. Figure 6.1 shows an example of how the density of minority populations can be mapped with overlays showing transit routes.

Vehicles

The purchase of vehicles does not require environmental documentation or a public process. Vehicle purchases are based only on the need of the transit agency. There are, however, many grant programs available for alternative fuel and alternative technology vehicles for transit. Guidance on selecting fuels can be found in *TCRP Report 146: Guidebook for Evaluating Fuel Choices for Post-2010 Transit Bus Procurements,* which is available at the following website: http://www.trb.org/Publications/Blurbs/165390.aspx.

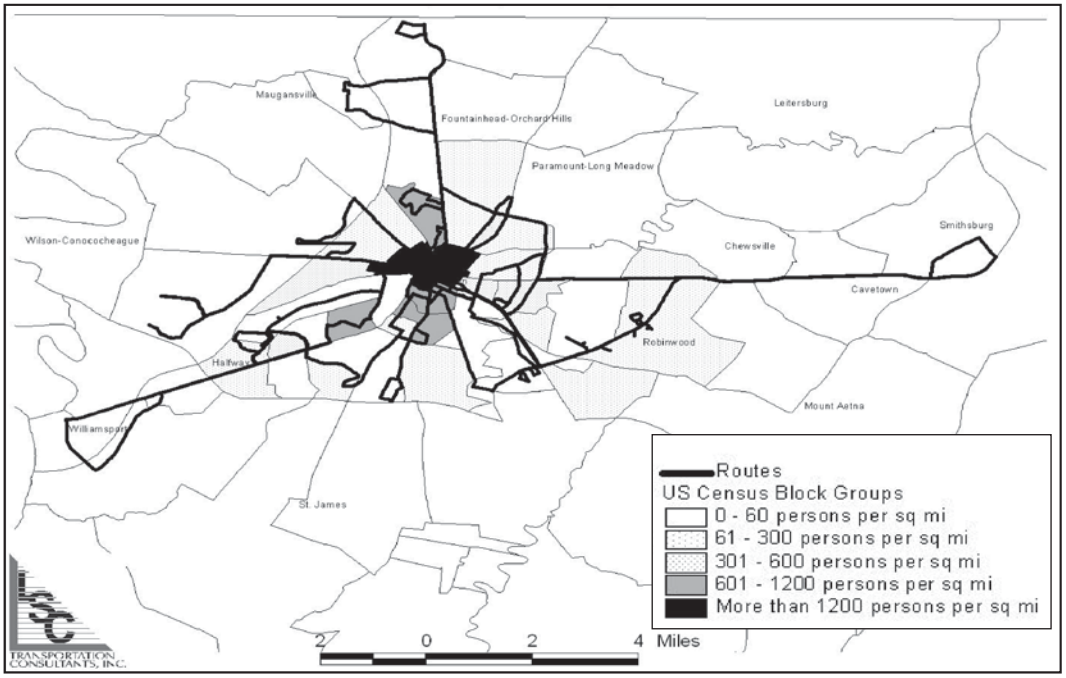


Figure 6.1. Map showing density of minority population overlaid with transit system routes.

Information on FTA policies can be accessed via FTA webpages on Legislation and Law beginning at this location: http://www.fta.dot.gov/leg_reg.html.

For More Information

Federal Highway Administration. Air Quality: Transportation Conformity. U.S. Department of Transportation. http://www.fhwa.dot.gov/environment/air_quality/conformity/.

Federal Highway Administration. Environmental Laws and Regulations. U.S. Department of Transportation. http://www.environment.fhwa.dot.gov/ecosystems/laws.asp.

Federal Transit Administration. Environmental Analysis and Review. U.S. Department of Transportation. http://fta.dot.gov/planning/environment/planning_environment_225.html.

Science Applications International Corporation. *TCRP Report 146: Guidebook for Evaluating Fuel Choices for Post-2010 Transit Bus Procurements.* Transportation Research Board of the National Academies, Washington, D.C., 2011. http://www.trb.org/Main/Blurbs/165390.aspx.

CHAPTER 7

Transit Service Planning

Introduction

This chapter describes the approach to planning transit service. Many topics covered in this chapter apply to developing new service or enhancing existing service.

Types of Transit Service

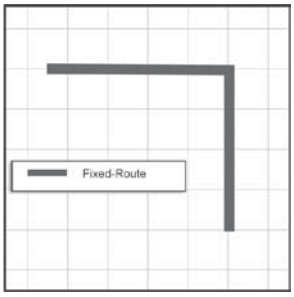
The chapter opens with information about the following ten types of transit service:

1. Fixed-route service
2. Demand-response service
3. Flexible routing—checkpoint/point-deviation and route-deviation services
4. Service routes
5. Vanpool service
6. Commuter service
7. Volunteer drivers
8. Rideshare programs
9. General public transit service
10. Specialized transportation service

As shown in Figure 7.1, more than half of the tribes interviewed in the research for this guidebook operate a combination of transit services. These types of service are used to meet a wide range of transportation needs, including access to employment, medical facilities, education opportunities, and recreation sites.

Fixed-Route Service

This type of service fits the popular description of a transit system, with transit vehicles operating on designated routes and following set schedules. Typically, specific bus stops are identified for the locations where passengers will be picked up and dropped off, and routes are laid out in either a radial or grid pattern.



Fixed-route service is particularly convenient for passengers without disabilities. Research has shown that fixed-route passengers are willing to walk up to ¼ mile to reach the bus stop. Therefore, a fixed-route service pattern may be efficiently laid out with routes having ½-mile spacing. However, individuals with mobility impairments may have difficulty in accessing the fixed-route system.

Turtle Mountain Tribal Transit provides a single fixed-route service to Rolla, Belcourt, Rolette, Dunseith, St. John, and Bottineau.

Burns Paiute Transit provides a fixed-route service six days a week. This service links the Burns Paiute Reservation to the cities of Burns and Hines.

DHRD Transit, operated by the Salish and Kootenai Tribes, provides a demand-response service between commuter peak hours. This demand-response service is based on calls that are received 24 hours in advance and is provided with four buses, eight minivans, and six cars.

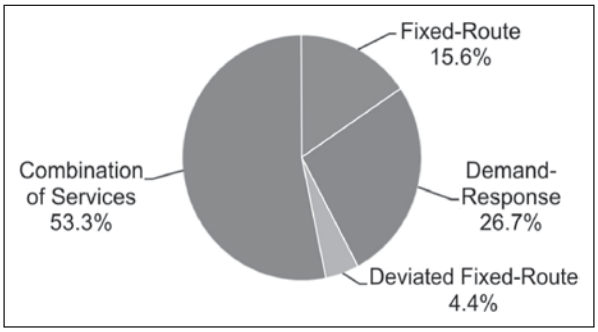


Figure 7.1. Types of transit services provided.

The advantages of fixed-route service are that it can be provided at a relatively low cost on a per-passenger-trip basis, schedule reliability is high because buses do not deviate from their routes, service does not require advance reservations, and service is easy to understand.

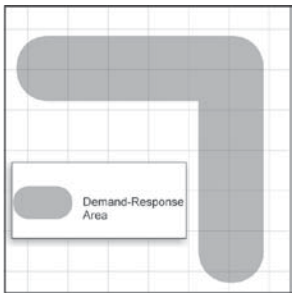
Fixed-route transit service is seldom attractive to people with automobiles in smaller communities and rural areas. A private automobile offers flexibility compared to the rigid schedule of a fixed-route system. The need to walk even a few hundred feet to a bus stop and wait for the vehicle and the comparatively slow travel time make the option of a private automobile an easy choice. Where there are significant congestion issues or limited parking availability, however, fixed-route transit service becomes a more attractive alternative. The relatively low cost of transit as compared to the cost of owning and operating a private automobile also can be attractive, especially to young working couples who may be able to use the bus rather than own two vehicles.

Fixed-route operations lack the flexibility to meet the needs of many passengers with special requirements. The Americans with Disabilities Act (ADA) requires that communities with fixed-route transit service also provide complementary paratransit service that operates, at a minimum, in a ¾-mile radius of each fixed route. Paratransit service typically costs much more to operate than fixed-route service because of the service's characteristics. Fixed routes are established to meet the highest demand travel patterns, while paratransit service must serve many origins and destinations in a dispersed pattern.

Demand-Response Service

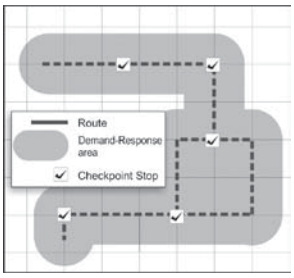
Demand-response transit service, often called "Dial-a-Ride," is characterized as door-to-door transit service scheduled by a dispatcher. With demand-response service, advance reservations typically are required, although some immediate requests may be filled if time permits and if the service is particularly needed. Examples of successful demand-response services include the following:

- Blackfeet Transit's general public transit service in Montana
- Tribal Transit, operated by the Choctaw Nation of Oklahoma
- DHRD Transit, operated by the Confederated Salish and Kootenai Tribes in Montana
- Cowlitz Tribal Transit Service in Washington State
- Oneida Public Transit in Wisconsin
- Snoqualmie Valley Transportation (SVT) in Washington State



Demand-response transit developed in the early 1970s as an alternate form of public transportation for the general public. The original concept proved more expensive than envisioned and did not attract the ridership that had been forecast. As a result, demand-response transit has been used almost exclusively in this country for passengers who are elderly or who have disabilities. However, many communities are now beginning to recognize the advantages of demand-

response service for low-density areas with low levels of transit demand. Improved technology has led to improvements in dispatching and scheduling, which has increased the efficiency of demand-response service and now allows for real-time dispatching.



Fort Peck Transit provides general public transportation within the reservation, but typically serves the communities along U.S. Highway 2. Two deviated fixed routes provide service from Frazer and Fort Kipp—communities located at the farthest points of the reservation—to Poplar, which is centrally located and is also the tribal headquarters.

Flexible Routing

Flexible routing allows for route-deviation or point-deviation/checkpoint service. With flexible routes, dispatching and scheduling must be done carefully to ensure that vehicles are available to serve the designated stops at the scheduled times. To provide a reasonable amount of flexibility, a lenient definition of on-time performance is typically used, with a 10- to 15-minute window at each designated stop.

Route-Deviation

With route-deviation service, transit vehicles follow a specific route but can leave the route to serve demand-response origins and destinations. Vehicles are required to return to the designated route within 1 block of the point of deviation to ensure that all intersections along the route are served. The passengers on the bus may have a longer travel time than for fixed-route service and service reliability is lower. However, the ADA-mandated complementary paratransit service is not necessary because the bus can deviate from the route to pick up passengers with disabilities.

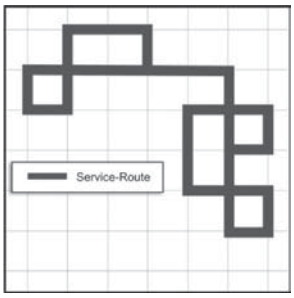
Checkpoint/Point-Deviation Service

Under checkpoint service, transit vehicles make periodic scheduled stops at major activity centers. Specific routes are not established between checkpoints, however, so the vehicles are able to provide demand-response service that alleviates the need for ADA-mandated complementary paratransit service. Riders are picked up, typically at a reduced fare, at the checkpoints and are taken either to another checkpoint or to a demand-response-specific destination. Service between the checkpoints does not require advance reservations. However, service from any other location on a demand-response basis requires an advance reservation so that the vehicles can be scheduled for pick-up and drop-off. Checkpoint service offers an advantage over route-deviation because there is no specified route for the vehicles to use. Checkpoint service requires only that the vehicle arrive at the next checkpoint within the designated time window.

Service Routes

One concept being implemented in some communities as an alternative to fixed-route or demand-response service is the service route. A service route is essentially a fixed route specifically designed to serve elderly people and people with disabilities. Typically, a service route winds through residential neighborhoods with high concentrations of these populations in a pattern that passes within 1 or 2 blocks of all houses. The service route also directly serves major destinations, such as senior centers, commercial areas, and medical centers. Service route transportation provides a higher in-vehicle travel time and a longer wait for the bus than is normally acceptable to the general public.

Many tribes provide transportation for seniors and people with disabilities using service routes. The Grand Ronde Community of Oregon Elder Program uses one 14-passenger bus to provide service to and from congregate meal sites.



Vanpool Service

Vanpools typically provide more point-to-point services. Vanpool service gathers riders within a community and then travels directly to a major employment center. Normally, a transit agency owns and maintains the vehicles. Individuals using the vanpool share the travel cost and may even share driving responsibilities. The schedule and route of vanpool service depends on the individuals participating in the vanpool. Vanpool service is limited to individuals within the program and typically offers limited service for medical or shopping trips. Vanpool service

is primarily for employment trips for individuals without disabilities because liability issues arise when individuals with disabilities ride using vanpool service.

Commuter Service

Commuter service bus routes are primarily designed for employment purposes. In urban areas, this type of service is commonly called express or limited express service. In rural areas, the commuter service links communities with each other. This service is not as flexible as vanpool service and tends to cost more given the hiring of qualified drivers, capital expenses, and bus operations costs.

Volunteer Drivers

Some organizations or agencies provide passenger transportation services to seniors or persons with special transportation needs by developing and maintaining a volunteer driver program. Some funding agencies allow quantified values for volunteer drivers to be used as sources for local matching. The value of volunteer drivers can be calculated by multiplying the driving hours by a reasonable estimated wage for your area.

Rideshare Programs

Rideshare programs match people who have similar work and home locations. A rideshare program can have many benefits. Employees commuting between the various residential areas and major employment centers gain access to people who may be interested in carpooling or creating a vanpool. A rideshare program is most effective when employees of proximate employers also live near one another or along the same commute route. The matching service is most effective when combined with other programs, such as carpool incentives, vanpools, parking management, and guaranteed rides home.

The following are two resources for ridesharing available on the World Wide Web:

- www.eRideShare.com
- http://alternetrides.com/Home_Rides.asp

Both Internet sites offer free services for commuters or travelers going the same way. The Internet sites offer travelers a way of posting both wanted and available rides based on locations across the United States. Users can search for available carpools in their area or offer others the option to carpool to and from desired locations. The services also list numerous cross-country rides and post queries from persons who are in need of a ride.

General Public Transit Service

General public transit service is available for anyone to use. This type of transit service can either be **tribal public transit** (a public transit program provided, supported, or operated by the tribe) or **non-tribal public transit** (a public transit program that is not directly operated or funded by the tribe).

Specialized Transportation Service

Specialized transportation services typically are designed for certain market segments, such as seniors or persons with disabilities, or for meeting specific transportation needs in relation to medical, education, or social service programs. Chapter 3 presents more information and examples of various types of specialized transportation programs.

Performance Standards

In planning tribal transit services, it is important to establish goals accompanied by specific objectives and corresponding performance standards. Resources to operate a transit service are limited and should be dedicated to the greatest needs and the most cost-effective service. Allocation of scarce resources must be based on the specific objectives and performance measures. Goals, objectives, and performance measures are discussed in more detail in Chapter 5.

Funding agencies may include specific performance standards as part of their grant programs. For example, some states require local transit systems to meet minimum farebox recovery ratios for different types of service. Transit planners and grant writers must be aware of any performance standards established by the funding agency before applying for the grant. The planning and grant applications must take into account whether the transit system can be expected to meet the required performance standard. If a required performance standard is not met, the tribe may lose funding from that particular source.

Some funding programs may not set a minimum performance standard, but instead use performance measures as part of a competitive grant award process. Colorado uses several performance measures to award portions of the Federal Transit Administration (FTA) Section 5310 and Section 5311 programs.

Federal emphasis on using performance measures in the grant award process makes it likely that more states will incorporate specific performance measures into their processes. Tribes should determine if performance measures will be used for any grants that may be requested and, if so, how competitive they may be based on those performance measures.

As new services or service changes are implemented, they should be monitored to determine if the performance measures are being met.

TCRP Report 136: Guidebook for Rural Demand-Response Transportation: Measuring, Assessing, and Improving Performance describes many factors that influence the productivity of rural demand-response transit service. Transit managers and policy makers control some factors, while other factors are beyond the control of the local transit agency. Transit managers can evaluate their services using their selected performance measures and adjust the services by addressing factors that are within their control.

Challenges for Tribal Transit Systems

Tribes face many challenges in providing tribal transit services. Among the most common challenges faced by tribal transit programs are low-density and dispersed populations, large service areas, long travel distances, geographical constraints, and varying perceptions about what groups can and should be served. These challenges may directly affect the feasibility of specific types of service. As an example, fixed-route service seldom works well in low-density areas.

Low-Density Population

Many reservations have low-density populations. Low population density means low passenger productivity. This results from the long distances between passengers who need rides.

Large Service Areas

Some tribes have large areas to serve. In addition, most of these areas have low population densities. This combination of factors makes it difficult to provide services efficiently and also results in low passenger productivity.

The Chickasaw Nation in Oklahoma has a 13-county service area. According to Angie Gilliam, Transportation Director of Chickasaw Nation, "Chickasaw Nation Transportation Services has one of the biggest service areas in the state of Oklahoma. A 13-county service area in Oklahoma means serving a very rural area, large square miles, and long travel times which makes providing transit service a challenge." The transit service tries its best to conserve gas by grouping at least two or three trips. These trips are so spread out that it takes a full day to serve them.

Choctaw Transit also serves a large geographic area, covering 11,000 square miles over a 10½-county area in southeast Oklahoma (Choctaw, Bryan, McCurtain, Pushmataha, Pittsburg, Atoka, Laflore, Hughes, Coal, Latimer, and Haskell). Johnny James, Director of Choctaw Transit, says,

> Most of these areas are rural and many of our clients live on dirt roads. In addition to the huge service area, we operate many long-distance trips to Oklahoma City, Dallas, Tulsa, and Fort Smith in Arkansas. Since the local hospital does not have services for dialysis, chemotherapy, and radiation, we take those long-distance trips outside the Nation boundaries.

Long Travel Distances

Low population densities, large service areas, and the physical isolation of most reservations mean that tribal transit services have to travel long distances before passengers can access basic services, such as employment, medical appointments, grocery shopping, and education. Navajo Transit travels long distances to serve passengers. Lee Bigwater, department manager of Navajo Transit, gives an example of the long-distance trips that the transit service operates. "A trip from Tuba City to Window Rock that goes through the Hopi Reservation is a four-hour drive that a lot of people use." He adds that winter weather can add to the challenges of traveling these long distances.

Dispersed Destinations

Transit works well with higher densities, well-developed pedestrian infrastructure, and concentrated destinations. Given the large service areas and physical isolation of many reservations, destinations and urban areas that people want to access for services and amenities often are dispersed. These factors can make transit planning and operations difficult on reservations.

Standing Rock Public Transportation (SR Transportation, also called Standing Rock Public Transit) faces challenges in serving its passengers because of the tribe's location in such a rural setting and the dispersion of communities—some as many 60 to 70 miles apart. According to SR Transportation Director Pamela Ternes,

> SR Transportation needs more demand-response service, but it is difficult to provide service when the population is so spread out—some as far as 60 to 70 miles apart. We used to have clients sitting and waiting after their medical appointments for extended periods of time before the bus/van could get back to pick them up. This has improved lately due to partnerships with other agencies. The advisory committee with agency/program representatives has been helpful in coordinating routes for their clients/customers.

Geographical Constraints

Some tribes find that geographical constraints interfere with the efficiency of transit services.

Red Lake Transit operates around a large lake. Mike Ness, director of Red Lake Transit, says, "It is 11 miles by straight-line distance, but is 35 miles by land due to the location of the lake. There are clients with homes all along the highway and lake." In addition, client addresses are not identified by street names or numbers, which means the transit service must rely on spoken directions, adding to the challenges for tribal transit services.

Cherokee Transit has difficulty providing service due to the rural nature of the reservation it serves, which is further exacerbated by the terrain. Kathy Littlejohn, transit manager of Cherokee Transit, says,

> The furthest point out in the reservation is 18 miles, but it takes more than an hour to travel that distance due to 30 miles-per-hour speed limit and steep and winding roads without guard rails. With the demand-response nature of the service, the vehicles will travel on main roads, then wind around the communities in order to get to one person.

Thus, the transit service struggles with geographic constraints that make it less efficient.

Ethnic and Racial Composition of Ridership

Many tribal transit services face perception issues that the services provided are only for tribal members when, in fact, the services are open to the general public. In such cases, tribal transit services have to work on marketing and advertising that the services provided are open to the general public.

Some tribes face challenges from within the tribe to serve only tribal members. Because the tribes provide the local match for government grants, they are reluctant to open transit services to the general public. The reluctance on the part of the tribe to work with non-tribes also arises due to past injustices.

Many tribes consider starting transit services for tribal members only, but change their decision based on the needs, benefits, and efficiencies in serving the general public. In the initial stages of planning their Road to Work program, the tribal elders of the Chickasaw Nation decided that they would rather operate a system solely for tribal members that would provide service to jobs at tribal-owned and tribal-operated businesses. After looking at the large areas with low population densities served by the Chickasaw Nation Transportation Services, as well as the benefits of serving the general public, the Chickasaw Nation started the Road to Work program in 2008 as a general public transit service with priority given to Native Americans.

The Confederated Salish and Kootenai Tribes (CSKT) live on the Flathead Reservation, which has approximately 30,000 residents. Approximately 7,500 of these residents are Native Americans (25 percent of the total population), which means the reservation has a predominantly white population. The CSKT Department of Human Resource Development (DHRD) began in 2002 with the tribe receiving funds for displaced woodworkers. DHRD clients (tribal members) were transported to the DHRD office in Pablo, MT, and to places of employment that DHRD arranged for these tribal members. Once the grant ran out, the DHRD program received many calls to provide transportation. The transit service realized that the need for transportation was much greater in scope than serving the DHRD office and tribal members. In 2005, DHRD Transit became a formal transit program serving both tribal members and the general public.

Selecting the Appropriate Service Type

Selecting the appropriate type of service is an important step in developing a new service or enhancing existing services. Many successful tribal transit programs incorporate a variety of service types in their systems. Fixed-route service operating in corridors with higher demand may be supplemented by demand-response service in areas of lower demand and to meet the requirements for ADA complementary paratransit service.

In selecting the appropriate type of service, planners consider numerous factors, including the following:

- **Demand and productivity:** An estimate of demand should indicate the potential ridership for each type of service. Fixed-route service should be considered only if the productivity

is expected to be 10 passengers per hour or more. Demand-response service typically can achieve a level of about five passengers per hour. Between these two levels, hybrid types of service, such as route-deviation or checkpoint service, should be considered.

- **ADA complementary paratransit service:** If fixed-route transit is operated, the transit agency must provide complementary paratransit service. For small systems, this requirement can effectively double the cost of providing service. For larger systems, the complementary transit service may be as much as one-quarter of the total operating budget.
- **Service area characteristics:** Low-density areas usually are served better by something other than fixed-route service. Many urban areas with extensive fixed-route service have started providing other services in lower-density suburban areas because one vehicle is able to cover a much larger area.
- **Passenger needs:** Different types of passengers have different needs. Commuters need to arrive at their place of employment on time and want to leave as soon as they finish work. They want to minimize travel times. Older passengers may be willing to ride for longer periods, but need to arrive on time for appointments. Patients leaving dialysis treatment typically need the minimum amount of travel time possible. The specific needs of the people to be served must be considered in selecting the type of service to best meet those needs.
- **Operating costs:** For commuters, carpool and vanpool services may offer a much lower cost given the volunteer drivers.
- **Capital costs:** Capital costs of vehicles and equipment must be considered. For example, operation of a demand-response service or a hybrid service that involves real-time dispatching will require dispatching software to assist the schedulers and dispatchers.
- **Volunteer drivers:** Some communities have a high level of volunteerism. Volunteers may be available to drive for longer-distance individual medical trips or other trips that are expensive to serve. This is not the case in all communities, however, and appears to be rare in tribal communities based on responses from tribal transit programs.

Different types of service may be appropriate in different portions of the service area or at different times. For example, it may be appropriate to run a fixed-route schedule during peak times to serve commuters and college students, then transition to a flexible-route or demand-response service during periods of lower demand in order to provide medical and shopping trips.

The planning process considers several service options to determine the best type of service for different areas, different times, and specific population segments. Resources available for service planning include *TCRP Report 140: A Guide for Planning and Operating Flexible Public Transportation Services* and *TCRP Report 135: Controlling System Costs: Basic and Advanced Scheduling Manuals and Contemporary Issues in Transit Scheduling.*

Coordination of Transportation Programs

Coordination of transportation programs has been called the best way to stretch scarce resources and improve mobility for everyone. Coordination is a technique for better resource management in which improved organization strategies are applied to achieve greater cost-effectiveness in service delivery. Coordination is about shared power, which means shared responsibility, shared management, and shared funding.

Coordination of transportation services is best seen as a process in which two or more organizations interact to jointly accomplish their transportation objectives. Like many other political processes, coordination involves power and control over resources, which means it can be subject to the usual political problems and pressures, such as competing personalities and changing environments.

Coordination can improve transportation system performance by eliminating duplicate efforts and increasing the efficiency of transportation operations. Coordinating transportation often means doing better with existing resources. It requires working together with people from different agencies and backgrounds.

The fundamental goal of coordinating transportation systems is to increase the number of people served and the number of rides provided with existing resources. Coordination achieves these goals through better resource management. Although many benefits result from coordination of services, these benefits are not always understood. Resources, such as the material developed for the North Country Public Transportation Participation Pilot Project, are available to help develop an understanding of those benefits.

Coordination of transportation systems has been promoted since the late 1960s; however, only recently has a real push for coordination been emphasized at the federal level. More and more, communities are recognizing the scarcity of resources (fuel, vehicles, drivers, and funding) and that cost-effective, efficient delivery of transportation services is essential if local communities are to ensure continued access to vital human services, employment, and recreation resources and to meet other opportunities and needs.

Successful tribal transit programs have found that coordination of the various transportation programs within the tribe and coordination with non-tribal transit systems yield similar benefits in increasing the mobility of residents, and that successful coordination efforts require a firm understanding of local needs and resources.

Levels of Coordination

Varying levels of coordination can be applied across a broad spectrum of operating scenarios. Coordination of transportation services has been interpreted as everything from telephone conversations to transfers of vehicle ownership. Very low levels of coordination might involve sharing rides on vehicles operated by different agencies, whereas very high levels of coordination might involve shared ownership of vehicles, shared responsibilities for maintenance, a brokerage established for all transportation agencies, and other agreements. It is important that the tribe's transit advisory committee and stakeholders understand that coordination of services generally takes some time and effort on the part of the local human service agencies and providers, especially given that several different government and tribal affiliations typically are involved.

Four distinct phases or levels of coordination have been identified with regard to shared use and efficient operation of equipment and facilities: communication, cooperation, coordination, and consolidation. These levels are defined as follows:

- **Communication** involves recognition and understanding of a problem and discussion of possible solutions. Effective communication improves the working relationships among various organizations that influence transportation developments within their particular jurisdiction.
- **Cooperation** involves individuals actively working together in some loose association in a cooperative way. The individuals or individual agencies retain their separate identities.
- **Coordination** involves bringing together independent agencies to act together in a concerted way to provide for the smooth interaction of separate units of a transportation system. In coordination, the primary concern is in regard to common funds, equipment, facilities, or operations. Members or agencies preserve their separate identities.
- **Consolidation** involves joining or merging agencies for mutual advantage. In the case of transportation services, consolidation is used in reference to a fully integrated transportation system in which the individual entities have been combined or consolidated into one integrated public transportation system. For the purpose of transportation, individual agency identity is no longer maintained.

Common Coordination Strategies

This section describes a variety of coordination strategies.

Joint Procurement

Joint procurement (or bulk purchasing) is a cost-effective strategy for increasing purchasing power. Joint maintenance and fuel purchases are being used more widely across the country, in part to offset rising costs of parts and fuel. Shared maintenance can be arranged easily between agencies in a given locale. Insurance pooling is likely the most difficult joint procurement possibility.

Shared Vehicle Storage and Maintenance Facilities

Facility costs may be reduced when agencies work together to develop and share a facility for vehicle storage and maintenance. Shared storage can aid in reducing engine wear during cold weather startup, especially if it enables vehicles to be stored inside. If a provider conducts its own maintenance on vehicles, it can likely share maintenance costs with another local provider.

Joint Grant Applications

Transit and human service providers in a region can work together to coordinate grant submissions. Grants should be coordinated so that duplication of requests is minimized. This will look more favorable to FTA and other grant reviewers.

Joint Training Programs

Joint training programs covering everything from preventive maintenance to safe wheelchair tie-down procedures can lead to more highly skilled employees. Joint training also can reduce training costs for agencies that pool the use of in-house trainers with specialized expertise. For example, one agency can provide passenger assistance training, another agency can specialize in preventive maintenance training, and so forth. Agencies also can purchase special training from reputable organizations and invite other agencies' employees to attend, with the training costs shared among the agencies.

Sharing Expertise

Agencies can share expertise in such areas as grant writing, computer technology, and general assistance in operation of transportation services (such as tips for dispatching or accounting procedures). Sharing expertise may be as general as providing a list of personnel across the region who have some expertise in a particular field that may benefit another agency. A "yellow pages" of subject-matter experts made available to each agency may be helpful in operating transportation service.

Coalitions

A coalition is a group of agencies and organizations that have committed to coordinating transportation and have access to funding. Effective coalitions will include local stakeholders, providers, decision makers, business leaders, councils of government, users, and other parties as appropriate. A coalition may be informal or formal, but an effective group will be recognized by the community's decision makers and will have some standing within the community. Coalitions can be established for a specific purpose, such as to obtain specific funding, or for broad-based purposes, such as to educate local communities about transportation needs.

Coordinating Council

Similar to a coalition, a coordinating council is made up of a collection of agencies and partners that share a common goal: coordinating transportation resources. This group differs from

a coalition in that it primarily brings together agencies that have a need for service with other groups, such as local municipalities, and is specifically formed to accomplish a strategic goal, such as to implement a new service. The coordinating council acts in a similar way as a transportation advisory committee in a regional area.

Joint Planning and Decision Making

Joint planning and decision making involves agencies working cooperatively with other, similar agencies or with a local provider to make known the needs of their clients and become involved in the local planning of services.

Vehicle Sharing

Vehicle sharing requires that agencies own and operate vehicles. Memoranda of understanding or joint agreements are needed for this strategy to work properly. The agencies that operate vehicles are able to share those vehicles with other agencies in a variety of circumstances, such as when an agency vehicle has a mechanical breakdown, when capacity for a specific trip is at its maximum, or when a vehicle is used by another agency to meet peak demands.

Contracts for Service

An agency can contract with another agency or entity to provide needed trips. Contracts for service may be executed occasionally, on an as-needed basis, or as a regular part of scheduled service.

Provide Vehicles

An agency can provide a used vehicle—one that is either being replaced or retired—to another agency. This can be done either through a transfer of title, a donation for a small price (in the case of a retired vehicle), or by sale to a local agency in desperate need of a replacement vehicle.

One-Call Center

A shared informational telephone line provides potential users with the most convenient access to information on all transportation services in the region.

Centralized Functions (Reservations, Scheduling, Dispatching)

A single office can oversee vehicle dispatching and schedule reservations for all participating transportation agencies in a geographic area.

Brokerage

A brokerage can enable all participating transportation providers to closely coordinate their services while retaining their own services and identities. A brokerage can be developed separately or as part of an existing agency, perhaps growing from a shared informational phone line as described above. The difference is that, with the brokerage arrangement, the broker schedules each trip on the most efficient vehicle regardless of provider. The brokerage maintains service contracts with each of the providers, pays the transportation provider for the trip, and bills the sponsoring agency for the service.

The primary function of the brokerage is to operate the central reservation and dispatch center for all of the services. Potential riders call one phone number to make a reservation or receive information about any transit or paratransit service in the area.

The effectiveness of a brokerage depends on the participating agencies providing the broker with up-to-date service information. Appropriate software for reservations and scheduling will be required to direct callers to the most appropriate service and provide agencies with the most efficient routes of travel. Reservation and scheduling software performance can be enhanced by the installation of mobile data terminals (MDTs) and automatic vehicle location systems

(AVLs). These pieces of hardware enable drivers and dispatchers to easily communicate essential information. For smaller rural systems, MDTs and AVLs are not required but could enhance the capabilities of the operation.

Creating a brokerage or coordinating under a lead agency is easier if an agency with the necessary experience and existing infrastructure can assume the role of lead agency or broker. The lead agency gains the responsibilities of managing reservations, dispatching vehicles, and reporting the activities of the brokerage service to member agencies and various federal, state, and local agencies. The creation of the brokerage relationship also requires the lead agency to contract with all member agencies to explicitly state what services will be provided at what cost.

The primary costs associated with creating a coordinated public transportation system under a lead agency or brokerage relate to the software, hardware, and staff requirements of implementing the reservation and dispatch center. A geographic information system (GIS)–based reservation and dispatch software system can be a considerable investment.

Although significant costs are associated with setting up a brokerage, numerous benefits come with such a technologically advanced coordination effort. A central reservation system that relies on reservation and dispatch software increases efficiency by spreading trips throughout the system and helping each agency optimize its routes. Riders find the system easier to use and more responsive to their needs.

Where demand for transportation services exceeds current capacity, gains in efficiency typically enable the system to meet more of the demand. Accommodating greater demand limits the degree to which efficiency gains may be used to reduce the number of vehicles operating in the region; however, increasing ridership may result in a lower cost per trip and reduce the distances traveled per trip.

Sharing reservation and dispatch services also has the potential to reduce the per-agency cost of managing their services by eliminating duplication of administrative services. However, implementation of this level of organization requires a commitment of extensive time and considerable local resources from the participating agencies.

Agreements among the member agencies require careful consideration to assure each agency that its clients and township or municipal residents will receive equal and fair treatment for scheduling of trips. Many transportation providers have specific client transportation needs and some services may be provided only to eligible patrons.

The largest barrier to overcome under a brokerage model of coordination is local boundaries. Often when discussing coordination of trips, the term "turf wars" emerges. This is common in many areas across the United States, and until turf and boundary issues are resolved, this model of service is likely to fail. For a variety of reasons, often related to funding constraints, "Community X" may provide transportation services only within that community. Under the brokerage model, Community X must be willing to pool its funds for a larger system that provides trips to other agencies, populations, or areas.

A third approach to establishing a brokerage is for a lead agency to establish a contract with the brokerage and for the brokerage to then establish all of the contracts with the operators. Using this approach, the lead agency has a single contract with the brokerage plus funding agreements with the sponsoring agencies.

Mobility Management

Mobility management is an approach to planning, managing, and delivering coordinated transportation services to a variety of customers that include older adults, people with disabilities, and people with low incomes. The approach focuses on building coordination among public

transportation providers, other transportation providers, and those agencies whose clients have transportation needs. Mobility management is defined as "short-range planning and management activities and projects for improving coordination among public transportation and other transportation service providers." The concept includes personnel and related technology for mobility management.

According to United We Ride, steps to establishing a mobility management system include creating an inventory of existing transportation resources, identifying community needs, developing strategies to meet those needs, coordinating financial and other resources, improving coordination through transportation brokerage systems, training staff and volunteers, and promoting the use of innovative technologies and services to improve customer service and coordination.

Under SAFETEA-LU, mobility management is an eligible capital expense under FTA Program Sections 5310, 5311, 5316, and 5317. This means FTA will fund up to 80 percent of expenses related to mobility management. FTA also permits an agency to use non-Department of Transportation (non-DOT) funds to meet match requirements.

Administrative Facility Requirements:

- *Manager and administrative offices*
- *Dispatching and scheduling*
- *Document storage*
- *Conference room*
- *Computer and server space*

Maintenance and Operations Facility Requirements:

- *Vehicle storage*
- *Vehicle wash bay*
- *Vehicle maintenance bays*
- *Parts storage*
- *Battery storage*
- *Tire shop*
- *Tire storage*
- *Driver break room*
- *Training room*
- *Maintenance office*
- *Cash handling area*

Facilities

Planning for adequate facilities helps ensure success. Many small rural and tribal transit systems begin using some available vacant space to house the facility. The space may have been vacant because it was substandard, or it may be otherwise unsuitable for the purpose. Although use of inadequate space may be acceptable at the outset if doing so is necessary to start the transit program, planning should provide for development of adequate space.

Actual space requirements will be determined by the size of the program, the number and type of vehicles, and the number of employees. Effective facilities planning allows adequate space for each of the functions to be housed within the facility. Typical functional requirements for various facilities are shown on plan documents. Often the administrative facility is combined with the operations and maintenance facility, but this is not necessary.

Indoor vehicle parking is a consideration in northern climates because of harsh winter weather conditions. Adequate vehicle storage will decrease vehicle maintenance problems and improve vehicle longevity.

Hazards and Security

Identifying the Need for a Hazard and Security Plan

Transportation providers serving tribal communities face a number of security challenges. Resources are limited, staff is small, and, typically, major security events are not the norm. For these reasons, security planning—especially for catastrophic events—often is set aside. Security issues may be seen as a remote possibility that would divert precious resources from the prevailing day-to-day need to provide transportation services.

Still, transit providers need a Hazard and Security Plan (HSP) that anticipates security events both severe (e.g., a bomb threat) and routine (e.g., disturbances onboard vehicles), particularly for FTA-funded programs. Fortunately, many of the basic planning features are the same for both types of events: training new employees about what to look for in a range of situations, providing simple, step-by-step policies, making it clear to employees when to involve organizations outside the transit agency, and stressing communications with the dispatcher at all times.

The HSP is designed to address both routine and severe security events. The policies documented in the plan will have cross-applicability and will enable the organization to respond to and mitigate other events, such as safety incidents and natural disasters. The plan addresses how the agency will respond to and recover from minor or major disruptions as well as damage to physical equipment. Serious events may include breakdown of vehicles; communications interruptions; inability to locate staff; destruction of records, equipment, and supplies; inability of staff (who may themselves be victims) to cope with loss; and confusion among personnel. Routine events may include staff injuries (e.g., from workplace violence) or damage to security equipment (e.g., fences or alarms).

Much of the material in this section has been taken from *TCRP Report 86: Public Transportation Security, Volume 10: Hazard and Security Plan Workshop: Instructor Guide,* which can be referenced for more detail.

The planning approach and the final HSP will emphasize these five fundamentals:

1. Clear agency policies: People know what to expect.
2. Training new employees in basic policies and procedures: This training can be done in conjunction with other efforts.
3. Communication within the agency: When faced with a hazard or security situation, employees should know both what to do and when to communicate situations to others within the agency and request guidance.
4. Communications with outside organizations: Law enforcement, fire, first responders, and emergency organizations in the same area have likely developed communications plans and can assist the transit system in developing approaches to communicate with other outside agencies.
5. Practicing: Whether addressing day-to-day operations (e.g., security issues that might be identified in the daily vehicle inspection sheet) or less-frequent situations (e.g., emergency evacuation drills), practicing appropriate responses is an important part of a security plan.

Process for Developing the HSP

The HSP includes documents, responsibilities, training assignments, and related materials. The name "Hazard and Security Plan" stresses the document's applicability to a wide variety of hazards, including security events, using an "all-hazards" framework.

An HSP will help a tribal transit system prepare for, prevent, respond to, and recover from several types of events. Addressing the following tasks helps ensure that the transit system is prepared in each of these areas.

- **Prepare**
  - Identify participants
    - Identify transit system participants by developing contact lists, emergency numbers, emergency protocols, agency assets.
    - Prepare and coordinate participants using security surveys, employee and management training in security.
    - Contact outside participants, such as tribal entities, county emergency coordinator, local fire, police, emergency medical services, volunteer organizations, other transit agencies.
    - Develop mutual aid agreements.
  - Establish communications guidelines and tools
    - Develop master emergency lists.
    - Develop mobilization tools.
    - Provide emergency contact lists.
    - Plan for tracking employees, passengers, vehicles, and supplies.
    - Develop written communication plans.

- **Prevent**
  - Technology to Protect System
    - Provide equipment as appropriate to protect the agency, such as radio, dispatch, alarms, fences, locks, cameras, AVL.
    - Design systems to be interoperable and reliable with appropriate backup.
    - Understand how the equipment will function in the event of a disaster.
  - Increase training and awareness
    - Implement procedures to safeguard agency employees, passengers, vehicles, facilities, and other assets.
    - Develop policies to increase awareness and understanding of these procedures.
    - Train employees to know and follow these policies.
    - Establish a communications network linked to the county and local plan.
- **Respond**
  - Identify assets
    - Working with insurance agency, develop an inventory of physical transit assets that need to be protected.
    - Identify non-physical assets that must be maintained during an emergency, recognizing that transit provides a lifeline to the community.
    - Develop a list of resources, such as vehicles, communications equipment, or personnel that the transit agency can make available in the event of an emergency.
  - Respond to events
    - Develop tools for response to security events and emergencies.
    - Develop a chain of command for emergencies, including a succession plan for transfer of leadership responsibilities in the event someone is unavailable or incapacitated.
    - Develop backup procedures for vital agency assets and information.
    - Develop public information procedures.
    - Coordinate with county emergency coordinator.
- **Recover**
  - Assess
    - Develop procedures to assess impacts to agency resources.
    - Develop tools for documenting the expenses incurred while dealing with an event.
    - Develop tools for recording resource needs identified as a result of the incident.
    - Implement procedures for reviewing preparation plans for improvement following the event.
  - Future planning
    - Identify agency needs to adjust long-term goals.
    - Identify agency needs to adjust finances and budgets.
    - Identify agency needs to build in redundancies.
    - Identify agency needs to increase documentation.
    - Implement lessons learned with shared processes with the county emergency coordinator or agency emergency response personnel.

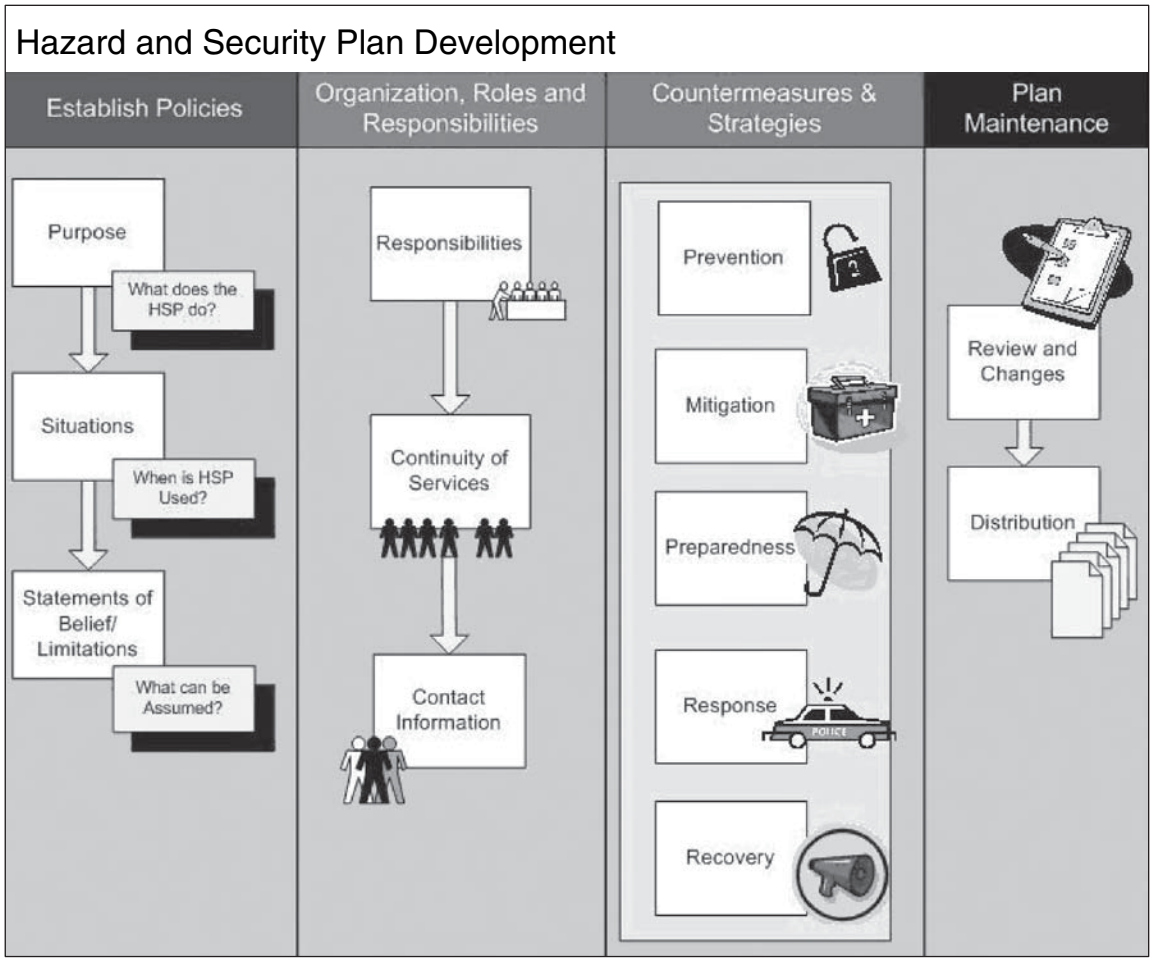
Building the HSP

Figure 7.2 graphically depicts a process to develop the HSP.

The tables on the following pages give examples of prevention, mitigation, preparedness, response, and recovery activities.

Prevention Activities

Prevention activities are the actions taken by your tribal transit service to try to ensure that hazard or security incidents do not occur. Examples of prevention activities are drivers and



Source: *TCRP Report 86: Public Transportation Security, Volume 10: Hazard and Security Plan Workshop: Instructor Guide,* Appendix B, Slide B-44.

Figure 7.2. Hazard and security plan development.

mechanics performing vehicle checks to detect suspicious packages, thereby preventing an incident involving a dangerous substance, and securing vehicle keys to prevent theft of vehicles. Table 7.1 lists hazard prevention activities that may be included in the HSP.

Mitigation Activities

Mitigation activities are actions taken to reduce the probability and severity of damage, asset loss, or human consequences like injuries or fatalities. Sometimes consequences must be contained; mitigation activities also address this need. For example, the transit agency may designate a staff member to check weather conditions to ensure that it is safe to send vehicles out on routes. Although it is impossible to prevent hazardous weather, proper action can limit the consequences weather hazards may impose on vehicles, passengers, and employees. The designated staff member may be authorized to make decisions about what routes are safe to run or how long various services will safely run "behind schedule," thereby mitigating the risks and effects of hazardous weather conditions. In a different scenario, robberies or break-ins may occur at any office. Establishing a strict policy that governs how to deal with perpetrators and guidelines that limit the amount of cash kept on the premises are two actions that mitigate potential financial losses and bodily harm. Table 7.2 provides further examples of mitigation activities.

Table 7.1. Prevention activities.

Prevention			
	Frequency	Responsibility	Action
1.	Daily	Drivers	Drivers must complete a vehicle checklist before beginning their routes; the list specifically includes security-related items.
2.	Daily	Mechanics	After maintenance or repair work has been performed on vehicles, mechanics must complete a checklist before signing out any vehicle; the list certifies that a security check has been performed.
3.	Daily	All employees	Employees must display their badges prominently at all times while on duty.
4.	Daily	Administrative staff	Administrative staff must ensure that visitors complete the sign-in log at the front desk, obtain a visitor's badge, and display the badge at all times when on agency premises.
5.	Daily	All employees	All employees must secure vehicle keys at the end of the shift, in accordance with agency policy (e.g., in a secured area, in a key lockbox, or in another storage location).
6.	Daily	All employees	All employees must safeguard facility keys at all times. Further, all employees must follow policies for checking out (logging) keys.
7.	Daily	Drivers	When leaving their vehicles unattended during shifts or break times, drivers must secure their vehicles.
8.	Daily	Drivers	Vehicles must be secured at the end of the shift.
9.	Daily	Drivers	Facilities must be secured at the end of the shift.
10.	Daily	Drivers	Drivers must enforce policies prohibiting certain dangerous items onboard vehicles.
11.	Daily	Administrative staff	The shipping and receiving function is to be conducted in a secure manner that will both prevent theft and safely detect and process security anomalies (such as suspicious packages).
12.	Daily	All employees	Petty cash is only to be used for official agency business, and it must be sufficiently controlled to prevent theft.
13.	As required/ appropriate	Management staff	Management has implemented fare evasion policies to prevent theft-of-service crimes.
14.	As required/ appropriate	Administrative staff	New employees are thoroughly screened. The agency checks references, and the employee application includes questions regarding the applicant's criminal background.
15.	As required/ appropriate	Administrative staff	Workplace conflicts are to be resolved using prompt human resource action, particularly in the case of employee conflicts.
16.	As required/ appropriate	Administrative staff	Instances of workplace bullying, which sometimes contain the potential to escalate, are to be resolved using prompt human resource action.
17.	As required/ appropriate	All employees	All employees are to report substantive hazards to management staff.
18.	Quarterly	Administrative staff	Administrative staff are to communicate regularly with passengers, educating them regarding security tips and proper behavior.
19.	Quarterly	Management staff	Security systems—including locks, fences, badges, alarms, radios, and other equipment—are reviewed and upgraded at least quarterly.
20.	Annually	Management staff	A designated member of the management staff will reassess bus stop locations from time to time to ensure stops are located in the most secure areas possible.
21.	Annually	Management staff	Management staff is to update the HSP to reflect changes in system policies, procedures, and training materials.

Source: *TCRP Report 86: Public Transportation Security, Volume 10: Hazard and Security Plan Workshop: Instructor Guide.* Transportation Research Board of the National Academies, Washington, D.C., 2005, Appendix F, p. 22.

Preparation Approaches and Necessary Materials

Over time, some security-related incidents will occur, but the transit agency can be ready with preparedness activities that anticipate and minimize the impacts of such incidents. Proper planning equips employees to better manage these incidents. Emergencies and security events often occur and unfold quickly. To ensure that responses are effective, it is essential that employees and outside agencies not be compelled to improvise their reactions. Careful planning must

Table 7.2. Mitigation activities.

Mitigation			
	Frequency	Responsibility	Action
1.	Daily	Drivers and supervisors	Drivers and supervisors must promptly report maintenance issues evident on their routes (such as lights that are out at bus stops), so that maintenance personnel can be notified. The mechanic on duty will determine whether transit personnel or the department of public works should be dispatched to execute the repairs.
2.	Daily	All employees	All employees must observe vehicles and facilities closely, looking for security breaches, unusual activities, or anything that appears out of place.
3.	Daily	All employees	Agency uniforms are to be treated as security-sensitive objects; specific uniform policies are provided.
4.	Daily	Management staff	Staff is required to maintain records of crimes and rule violations occurring at the transit agency so as to assist in designing programs that will help control these incidents and prosecute offenders.
5.	Daily	Drivers	To ensure passengers receive safe and courteous service, drivers must follow agency policy and training when interacting with passengers. Drivers must be prepared, on a daily basis, to enforce rules, respond to complaints, defuse arguments, call for backup, maintain control of the vehicle, and report incidents.
6.	Daily	Drivers, supervisors, and mechanics	Employees in the field must check in regularly with the dispatcher, particularly prior to scheduled breaks and when it is necessary to leave the vehicle (e.g., due to a vehicle breakdown). The dispatcher must know where the employees are at all times.
7.	Daily	Drivers, supervisors, and mechanics	When handling cash from fare collection equipment, employees are required to follow procedures for logging fare tallies contained in each device.
8.	Daily	Administrative staff or dispatcher; drivers	To ensure it is safe to send vehicles on the road, a staff member will be designated on each shift to check weather and other status reports. This individual will check this information at suitable intervals, especially if severe weather is expected. Drivers performing their routes must assist in this effort by constantly assessing road conditions, monitoring weather, construction, accidents, and other situations to ensure it is safe to proceed.
9.	As required/ appropriate	Drivers	Drivers are to follow established agency procedures after any accident.
10.	Weekly	Supervisors	A supervisor has been designated to test door alarms to ensure they are in proper working order.

Source: *TCRP Report 86, Volume 10: Hazard and Security Plan Workshop: Instructor Guide.* Transportation Research Board of the National Academies, Washington, D.C., 2005, Appendix F, p. 34.

occur ahead of time. This planning entails establishing lines of authority and responsibilities for security and emergency actions, arranging for the resources to support them, and periodically conducting drills or practice sessions along with training events.

The HSP should designate facilities, equipment, and other resources that will support the execution of assigned duties in the event of an incident, and provide for ongoing maintenance and testing of resources as well as staff training.

Preparedness activities are different from mitigation activities. Mitigation activities focus on preventing the worst consequences of hazards when they occur. Preparedness activities are planning measures that organizations can take to ready themselves and to ensure that reactions to events are efficient and effective. Table 7.3 provides examples of preparedness activities that might be included in the HSP.

Table 7.3. Preparedness activities.

Preparation			
	Frequency	Responsibility	Action
1.	Daily	Drivers/ mechanics	Drivers and mechanics must ensure that each bus is equipped with onboard emergency supplies at all times.
2.	Daily	Supervisors	By carrying out their security-related functions, supervisors help to mitigate the effects of those incidents that do occur on the system.
3.	Daily	Mechanics	Mechanics have been assigned specific security-related maintenance tasks. These tasks are outlined in agency policies.
4.	Daily	Dispatch	Dispatchers provide a critical security and emergency response function by linking system employees and outside personnel.
5.	Weekly	Administrative staff	Computer backups of key financial, personnel, dispatching, and other information must be performed regularly.
6.	Monthly	Administrative staff	The administrative staff is responsible for storing a copy of monthly computer backups at a designated off-site location.
7.	Quarterly	Administrative staff	The administrative staff is responsible for storing key agency documents (updated quarterly) at a designated off-site location.
8.	Quarterly	Management staff	Management is responsible for tracking information on threats, including information from local law enforcement and other agencies.
9.	Quarterly	Management staff	Management staff is responsible for updating the employee/responder contact list.
10.	Quarterly	Management/ administrative staff	Management and administrative staff are responsible for identifying and obtaining the fiscal resources required for security activities, based on threat assessments and security equipment reviews.
11.	Quarterly	Management staff/mechanics	Management is required to work with local fire personnel to test fire suppression equipment. Mechanics are responsible for testing smoke detectors and changing their batteries on an appropriate schedule.
12.	Quarterly	Management staff/mechanics	Management is required to work with local department of public works personnel to test backup power equipment. Mechanics are responsible for conducting this testing of changeover to generator power, checking backup fuel supplies, and performing routine maintenance on backup generators (e.g., starting periodically and lubricating).
13.	Every six months	All employees	All employees are provided training and drills to ensure they are familiar with emergency policies.
14.	Annually	Key responders	Key responders will participate in interagency regional training drills with emergency responders.
15.	Annually	Management staff	Management will develop or update appropriate mutual aid agreements with local law enforcement agencies.
16.	Annually	Management staff	Management will develop or update mutual aid agreements with area fire departments.
17.	Annually	Management staff	Management will develop or update mutual aid agreements with providers of emergency medical services.
18.	Annually	Management staff	Management will develop or update mutual aid agreements with area emergency management agencies.
19.	Annually	Management staff	Management will develop or update mutual aid agreements with other organizations as required (e.g., regional emergency management agency, hospital, schools, and public utilities).
20.	As required/ appropriate	Administrative staff	The general manager and assistant general manager must take NIMS training available through DHS online.
21.	As required/ appropriate	Administrative staff	All newly hired employees are provided classroom instruction, a portion of which focuses on security-related procedures. This training is provided by administrative staff.
22.	As required/ appropriate	Administrative staff	Administrative staff must notify the general manager of any employee disciplinary actions that may result in an employee becoming a threat to the agency.
23.	As required/ appropriate	Management staff/dispatchers	Management staff and dispatchers are to review and respond appropriately to FTA e-mail alerts.
24.	As required/ appropriate	Management staff	At heightened alert levels, or based on specific local information, the agency may need to reduce, reroute, cancel, or increase service in affected areas.
25.	As required/ appropriate	Management staff/supervisors	At elevated alert levels, management staff may decide to require increased facility inspections by supervisory staff.

Source: *TCRP Report 86, Volume 10: Hazard and Security Plan Workshop: Instructor Guide.* Transportation Research Board of the National Academies, Washington, D.C., 2005, Appendix F, pp. 41-2.

Response Activities

Response activities involve actions specified to be taken in the event of emergencies or hazards. Using proper procedures and following established policies will help protect employees, passengers, and others, while safeguarding property. Response policies and procedures provide the transit system with tools to manage incidents. Table 7.4 lists actions that could be part of the response activities outlined in the HSP. Note that Table 7.4 has no column for "frequency." Unlike the other measures, response activities are not undertaken on a regular basis. Rather, they are triggered in response to a specific emergency or security incident.

Table 7.4. Response activities.

Response		
	Responsibility	**Action**
1.	Drivers	Drivers are to follow established agency guidelines for contacting dispatch if a situation arises that requires further agency intervention, such as a disruptive passenger.
2.	Drivers	Emergency drop points will be used by drivers to drop off passengers at the nearest safe location if instructed to do so by the dispatcher or the designated backup.
3.	Drivers, supervisors, mechanics	Agency policies are in place for identifying and responding to suspicious persons.
4.	Drivers, supervisors, mechanics	If a suspicious package, device, or substance is located, agency guidelines for evaluating such items will be implemented.
5.	Drivers, supervisors, mechanics	If a suspicious item is determined to be potentially dangerous, agency policy of "isolate, evacuate, and get help" will be implemented.
6.	Drivers, dispatch	Dispatchers, drivers, and others in radio contact must follow agency radio procedures during an emergency.
7.	Drivers, dispatch	Dispatchers, drivers, and others who normally are in radio contact during the course of their duties may use a cellular phone to contact the agency only in cases of emergency when the radio is not available or is inoperable. Otherwise, cell phone use is not permitted, except during scheduled breaks.
8.	Drivers, dispatch, supervisors	Drivers are to interrupt route if conditions, such as bad weather or a security event, present a hazard to operations. The driver must take instruction from the dispatcher.
9.	Drivers, dispatch, supervisors or management	Employees receiving incident information must complete a form recording relevant data.
10.	Dispatch	Dispatchers must collect critical information upon notification of emergency or security event.
11.	Dispatch	Dispatchers or others receiving a bomb threat are to use established agency bomb threat procedures.
12.	Dispatch/ management staff	Dispatchers are to use the agency's emergency checklist when contacted by the Local Emergency Manager regarding a regional emergency.
13.	Dispatch/ management staff	The agency is to enact the "Normal Hours Emergency Response" procedures in the event of an emergency occurring during normal operating hours.
14.	Dispatch/ management staff	The agency is to enact the "After Hours Emergency Response" procedures in the case of an emergency occurring after normal operating hours.
15.	Dispatch/ management staff	The emergency response coordinator must use the mobilization resource list to record agency information during an emergency.
16.	Management staff	An emergency press release will be used to supply information to the public in the event of an incident affecting transit.
17.	All employees	All employees must follow agency evacuation procedures whenever an emergency requires an evacuation.
18.	All employees	Employees are to report crimes requiring law enforcement intervention to the ***911 OPERATOR*** whenever such crimes are observed on transit vehicles, at transit facilities, or at other locations.
19.	All employees	For most security situations, assistance from law enforcement is available. The agency must manage short-term response to events until assistance arrives.
20.	All employees	All employees must use established emergency response procedures and routes during an emergency.

Source: *TCRP Report 86, Volume 10: Hazard and Security Plan Workshop: Instructor Guide.* Transportation Research Board of the National Academies, Washington, D.C., 2005, Appendix F, pp. 52-3.

Maintenance and Safety Plan

Standards for Maintenance and Safety

An excellent guide to planning for vehicle maintenance has been published by the Texas Department of Transportation (Texas DOT). This section of the guidebook includes material excerpted and adapted from pages in the *Texas Maintenance Management and Safety Guide,* available at http://www.dot.state.tx.us/PTN/documents/mgmtguide.pdf.

A written maintenance plan should include specific goals and objectives and a means of achieving them. The overall goal is to keep vehicles out of the shop and in service.

At minimum, the goals and objectives of the maintenance program should address the following elements:

- Flexibility for changes in route, schedule, environment, new technology, and other impacts
- Chassis, body, and component manufacturers' recommended maintenance practices
- Systematic inspections, services, and repairs performed under local environmental, state, federal, and other regulations that apply
- Defect reporting
- A fleet life plan
- The proper level of fiscal control
- The proper management of parts, equipment, facilities, fleet, and personnel
- A warranty recovery plan

Management, driver trainers, drivers, fuelers, and mechanics all have important roles in the preventive maintenance of a tribal transit fleet.

Management: Management must be sure that all staff is properly trained in preventive maintenance. The manager must know all parts of the preventive maintenance program, supervise its implementation, and evaluate its effectiveness through audits and fiscal control.

Driver trainers: Trainers must ensure that all drivers understand and can perform their role in preventive maintenance.

Drivers: The driver is the only person who sees, hears, and feels the vehicle every day it is driven. Besides being vigilant and reporting observations, the driver must know the proper starting, accelerating, shifting, and braking procedures to extend the life of the equipment.

Fuelers: Fuelers must make sure that all fluid levels are checked each time the vehicle is fueled. No vehicle should be sent into service low on oil, antifreeze, automatic transmission, or power steering fluid. Unsealed batteries and windshield washer fluid must also be checked and filled. Fuelers must be trained to spot cracked or broken belts, loose or broken brackets, or other worn parts. They should be alert for unusual noises, bad tires, noisy or poor brakes, and clutch adjustments.

Mechanics: Mechanics are the most accountable employees in executing preventive maintenance. Because of the variety of vehicles, mechanics must be specifically trained for each type of vehicle they might maintain. Upon completing the preventive maintenance, the mechanic signs the preventive maintenance sheet accounting for the work that has been done.

Preventive Maintenance and Inspections

Policy should require preventive maintenance inspections and services to follow the minimums required by manufacturers, suppliers, or builders. If preventive maintenance services are not done according to the guidelines of the manufacturer, supplier, or builder, a transit agency may jeopardize any claim to a warranty.

Preventive maintenance inspections and services should be performed and documented according to a schedule. All documentation for a specific vehicle should be kept through the life of the vehicle. Whenever a mechanic or tow truck is dispatched to a vehicle in service, the road call also should be documented in a road call report (Figure 7.3). The road call report can be completed by the dispatcher or the maintenance technician; assigning one person to this responsibility can avoid duplication of paperwork. Road calls may be classified as chargeable

ROAD CALL INFORMATION SHEET

1. Today's Date:_____ 2. Bus Number:_____
3. Time Received:_____ 4. Operator:_____
5. Circle One: Dial-A-Ride Transit Commuter
6. Route:_____
7. Location of Vehicle: (*Be Specific: Street Address, Cross Street, and City)*

8. Reported Trouble: *(Ask Specific Questions, Be Precise)*

9. Replacement Vehicle:_____ 10. Call Received by:_____

TECHNICIAN'S REPORT

1. Time Left Garage:_____ 2. Time Arrived at Bus:_____
3. Circle One: In-Service Repair Bus Exchanged Towed
4. Time Repair/Exchange Completed:_____
5. Nature of Trouble:

6. Road Call Necessary for Bus to Continue in Operation?_____
7. Remarks:

Operator's Signature Mechanic's Signature

Maintenance Manager's Signature Valid or Invalid

Source: Texas DOT. *Texas Maintenance Management and Safety Guide,* 2003, page 29.

Figure 7.3. Sample road call report.

(a maintenance item) or non-chargeable (a warranty item), and may be categorized by driver, fault, vehicle, and mechanic.

The purpose of monitoring road call reports is to identify failure trends and evaluate the transit agency's overall maintenance performance. A summary report can be generated that includes a listing of all vehicles that experienced service interruptions within a given time period (Figure 7.4). The summary report can help management focus training in areas that need it most or determine problems that need to be resolved.

Scheduled preventive maintenance inspections provide maintenance personnel an opportunity to detect and repair vehicle damage or wear before major repairs are necessary. Preventive maintenance inspections often make use of a checklist (see Figure 7.5). Each operation requires a check and a signature for completion. Frequently, the inspection checklist follows a separate procedures manual. The completed checklist documents the following information:

- Each item to be checked
- All procedures and repairs performed
- Routine application of fluids
- Inspection interval (daily or weekly)

The inspection procedures manual describes the inspection procedures for each item on the checklist; specifies a pass/fail standard for each item; and details actions to correct each problem.

Emergency and Safety Equipment

Personnel Safety

The health and well-being of every employee is of vital importance. Active participation by each employee is mandatory in establishing a safe work environment. The transit company should take steps regularly to keep the employees aware of required safety and health procedures, and set expectations for employee compliance with the prescribed guidelines and procedures.

Personnel Protective Equipment

Safety policy should state that employees are required to wear all protective equipment at the proper times and in the proper environments. Employees should be informed that failure to wear the required protective equipment is cause for disciplinary action. Some protective equipment may be required to be provided by the employer; other equipment may be the responsibility of the employee. The transit company's safety policy should specify who is responsible for obtaining or providing the equipment, and employee training should cover procedures for obtaining, storing, and using all personnel protective equipment. Personnel protective equipment may include the following items:

- **Eye protection:** Eye protection (e.g., goggles, masks, or hoods) should be worn at all times when under a vehicle and when using grinders, buffers, cutting equipment, lathes, and other related tools.
- **Hearing protection:** Hearing protectors (e.g., earplugs, ear muffs) must be made available to all employees exposed to an 8-hour time-weighted average of 85 decibels or greater at no cost to the employees. Hearing protectors shall be replaced as necessary. Employees shall be given the opportunity to select their hearing protectors from a variety of suitable protectors provided by the employer.
- **Hand protection:** Appropriate gloves should be worn to protect employees while handling chemicals, using razor blades, and when welding or cutting. The gloves should extend over the forearms to protect against sparks or chemical splashes.
- **Welding Hood:** A welding hood should be worn at all times when welding. Welding goggles should be worn when using cutting torches.

ROAD CALL SUMMARY

Period:_____

Type Vehicle Vehicle Number																						
1. Air System																						
2. Brakes																						
3. Body & Frame																						
4. Cooling																						
5. Heat & A.C.																						
6. Electrical																						
7. Engine																						
8. Suspension																						
9. Steering																						
10. Transmission																						
11. Lift																						
12. Ignition																						
13. Doors																						
Total Chargeable Road Calls																						
14. Farebox																						
15. Tires																						
16. Tires																						
17. Accident																						
18. Other																						
Total Non-Chargeable Road Calls																						
Total Road Calls																						
Miles Per Road Call																						
Total Miles Operated																						

Source: Texas DOT. *Texas Maintenance Management and Safety Guide,* 2003, page 30.

Figure 7.4. Sample road call summary report.

State of Florida Department of Transportation
STATE FLEET PROGRAM TRANSIT BUS PM INSPECTION

Transit Bus				
P.M. Inspection	A	B	C	D
Type Inspection	3,000	6,000	18,000	36,000

Work Order #_____
Inspector_____

Type & Mileage Next P.M. Due
Type:
Mileage:

Date:_____ Vehicle #:_____ Hub/Odometer:_____

Symbols:

	OK
N/A	Not applicable
R	Repaired or adjusted
X	Repairs required

Comments:_____

A. 3,000-MILE INSPECTION		29. Adjust parking brake	Power Train	C. 18,000-MILE INSPECTION
Coach Interior		30. Drain, air tanks, carbon trap	56. Change engine oil & filter	82. Complete #1-80
1. Dashlights, horn, gauges, switches		31. Shock absorbers (secure/dry)	57. Change transmission filters	**Rear Axle**
2. Driver's seat & belt		32. Radius rod bushings secure	58. Check eng. mount/frame-cracks	83. Change differential oil
3. Hand/park brake operation		**Power Train**	59. Torque mounting bolts	84. Clean vent
4. Windshield wipers		33. Rear axle oil level, vent	**Suspension**	**Transmission**
5. Driver curtain/destination sign		34. Lube chassis complete	60. Check air bellows	85. Change transmission fluid/filter
6. Dome lights		35. Check all hoses & lines	61. Check leaf springs	86. Check shift lever controls
7. Windows, glass & mirrors		36. Check for coolant leaks	62. Check/adjust body height	87. Check neutral safety switch
8. Handrails & stanchions		37. Check for transmission leaks	63. Check leveling valves & links	**Engine**
9. Seat condition		38. Check engine for oil leaks	64. Stabilizer bar & links	88.Complete engine tune (gas)
10. Blower operation		39. Exhaust leaks, tailpipe open	**Front Axle**	89. Torque all eng. mounts/supports
11. Change/clean evap. filter		40. Check belts (tension/cond.)	65. Bearings, check seals for leaks	90. Tighten starter connections
12. Fire extinguisher & first aid kit		**Heating & Air Conditioning**	66. Tie rods/drag links/king pins	**D. 36,000-MILE INSPECTION**
13. Triangular reflectors		41. Driver heater core leaks	67. Steering shaft/box/column	91. Complete #1-90
14. Stepwells lights & tread		42. Main heater core leaks	68. Check for uneven tire wear	**Air System**
15. Decals (watch step/leased from)		43. Aux. water pump	**Heating & Air Conditioning**	92. Replace air strainer/fitting (clean)
16. Rear door interlock		44. Freon level	69. Check/clean evaporator coil	93. Check operation all brake valves
17. Farebox light & mechanism		45. A/C compressor oil level	70. Check/clean condenser coil	94. Hydra.vac. unit, check operation
Coach Exterior		46. Clutch adjustment/operation	71. A/C pressure test	95. Check interlock
18. All lights operating		47. Clean A/C connectors	72. Blower motor operation	96. Expello valve operation
19. Wiper blades & arms		**B. 6,000-MILE INSPECTION**	73. A/C alternator chg rate, brushes	**Electrical**
20. Tire pressure		48. Complete #1-47	74. Condenser fan operation	97. Clean battery racks
21. Tread depth		**Air System**	75. Hoses & compressor seal	98. Check/adjust voltage regulator
22. Battery terminals cleaned		49. Compressor mounts secure	76. Compressor mount secure	**Tran. Engine Chassis**
23 Specific gravity		50. Governor mount/adjustment	77. Check/adjust engine RPM	99. Check transmission shift speeds
24. Advertising signs & decals		**Fuel System**	78. Check dehydrator/strainer	100. Torque bulkheads
25. Access doors operation		51. Check accelerator linkage	79. Hi-Lo pressure safety switches	101. Torque transmission mounting
Brakes & Suspension		52. Clean/replace air filter	80. Check A/C belts tension/cond.	102. Check/adjust fast idle
26. Brake check/adjustment		53. Check restriction indicator	**Road Test**	103. Adjust gov. controls
27. Slack adjuster operation		54. Change fuel & water filters	81. Operation of all systems	104. Torque differential mounting
28. Chamber air leaks		55. Check for fuel leaks		105. Torque sprgs. & brackets

Source: Texas DOT. *Texas Maintenance Management and Safety Guide,* 2003, page 32. Reproduced with permission from Florida DOT.

Figure 7.5. Sample preventive maintenance checklist.

- **Footwear:** Soft-soled shoes should be prohibited in all vehicle maintenance areas. Shoes with steel or reinforced toes and nonskid soles are highly recommended.
- **Respirators:** The transit company should furnish respirators and require that all mechanics wear them when exposed to lead, volatile organic compounds, or any airborne hazardous material listed by the Environmental Protection Agency (EPA). A respirator or dust mask approved by the National Institute for Occupational Safety and Health (NIOSH) or the Occupational Safety and Health Administration (OSHA) must be worn while sanding or grinding any painted or primed surfaces. Respirators should be worn by anyone exposed by the activity, regardless of the person's distance from the point where the contamination is generated. Respirators should be inspected prior to use for proper exhaust and inhalation valves, cartridge pre-filter, headband adjustment, and overall condition.
- **Carbon monoxide detectors:** Carbon monoxide (CO) is a colorless, odorless, tasteless, and toxic gas produced as a by-product of combustion, including that in vehicle engines. CO accumulation is aggravated if the amount of fresh air flowing into the shop is limited. CO exposure can cause headaches, dizziness, and nausea in employees. Employers should install a carbon monoxide detector that conforms to minimum sensitivity and alarm characteristics as defined by Underwriters Laboratory in UL 2034.

Conduct

Transit company policies and procedures also should specify conduct that promotes safety in the workplace. Items that might be covered with regard to conduct include the following:

- **Horseplay:** Horseplay is prohibited. Serious accidents and injuries can occur as a result of practical jokes and thoughtless pranks played on unsuspecting workers.
- **Lifting technique:** Use proper lifting techniques at all times when lifting objects. Bend the knees to use leg power and get into a proper position before lifting. Ask for assistance from fellow workers when dealing with heavy loads. It also is important to avoid twisting and awkward/jerky movements during a lift or while carrying an object.
- **Push/pull/torque:** To prevent injuries, employees should be reminded to use caution not to overexert when pushing, pulling, or using a torque wrench, and to watch the hand clearance closely.
- **Tool use and technique:** The safety plan should specifically encourage any employee who is unsure about the proper use of a tool or the proper technique to ask for assistance before continuing.

Facility Safety

The maintenance facility needs to be kept safe also. Safety is the most important concern in managing a maintenance facility. It is the responsibility of management to require and ensure that safe practices are in place at all times, and to conduct regular and documented safety meetings. All safety posters and reminders should be posted in the shop. Occupational Safety and Health Administration (OSHA) rules and regulations provide excellent guidance on facility maintenance practices. People working in the maintenance facility should receive training and regular reminders about the following topics:

- Fire safety
- Location of shop power disconnect
- First aid
- Shop layout and exit routes
- Hazard communication as described in the company's HSP

Facilities should be inspected and maintained on a regular basis, just as vehicles and other equipment are. Figure 7.6 presents an inspection form to use for facility maintenance.

FACILITY INSPECTION CHECKLIST

A = MONTHLY
B = SEASONALLY
C = ANNUALLY

SYMBOLS: A-ADJUST; C-CLEAN; CH-CHANGE; I-INSPECT; L-LUBRICATE; O-OBSERVE; OT-OPERATING TEST; S-SERVICE; T-TIGHTEN; D-DRAIN

ADMINISTRATIVE BUILDING

A_____ Office HVAC system: CH air filters, I entire system, O operating pressures, L all bearings.
C_____ Office HVAC system: C condensing coils, C blower fans, C air diffusers, I refrigerant and oil level, I & A pilot light operation, I heat exchanger.
C_____ Office water cooler: C condenser coils, O operation, A water stream.
C_____ Hot water heater: O operation, D tank sediment, A pilot light.
A_____ Lighting, inside/outside: O all lights, CH all defective lamps, C light diffusers/reflectors.
A_____ Refrigerator: O operation, defrost function.
C_____ Refrigerator: C condensing coils.
A_____ Restrooms/kitchen plumbing: O leaks, O operation.
A_____ Fire extinguishers: I gauge/seal/tag/mountings.

FACILITY GROUNDS

A_____ O & A all sprinkler heads, spray pattern, function. O & A timer function. Set for watering activity before or after normal facility hours.
A_____ Perimeter and security fencing: O & I all fencing/gates/locks, etc.; L gate hinges.

TOTAL FACILITY

B_____ Take all seasonal precautions to protect against sub-freezing weather and freeze damage. Turn off, drain or cover all water conduits, shrubs, etc. subject to freeze damage.

SHOPS

A_____ Air compressor: D water from air tank, I & A drive belts, S compressor oil level, L motor bearings, I & A pressure regulator cut-in/cut-out pressure.
C_____ Air compressor: CH compressor lubricating oil.
A_____ Fire extinguishers: I gauge/seal/tag/mountings.
A_____ Vehicle lift: I & S & L, OT general operation.
A_____ Shop tools and equipment: I & S.

_____ _____ _____
Completed by: Date: Approved by:

Source: Texas DOT. *Texas Maintenance Management and Safety Guide,* 2003, page 42.

Figure 7.6. Sample facility inspection form.

ADA-Accessibility Equipment

Accessible vehicles and equipment are necessary for the fleet. Equipment may include

- lifts, ramps, and other means of access to vehicles;
- securement devices, such as clamps or tie-downs;
- elevators; and
- signage, stop annunciators, or systems to aid communication with persons who have impaired vision or hearing.

Routine inspection, testing, and maintenance of accessibility equipment on vehicles and in facilities are important tasks. Damaged or inoperable accessibility features must be repaired promptly. When an accessibility feature is out of order, the transit agency must take reasonable steps to accommodate persons with disabilities who would otherwise use the feature.

Contracted Versus In-House Maintenance

Transit agencies frequently choose to have some or all of their maintenance work performed under a contract. This section describes some of the issues related to contracting for maintenance. For tribal transit programs, contracting for maintenance may not be a viable option. A qualified organization must be available to perform the maintenance work, and finding such a qualified organization may be difficult in more remote locations. Maintenance may be performed by a tribal fleet maintenance department. In this case, many of the issues described in this section should also be considered.

Standards for Subcontractors

When equipment is maintained by a service contractor, the transit agency should require the contractor to submit a written maintenance plan that can be monitored. Contract language should include requirements for maintenance, an annual physical inventory, a warranty recovery program, and other control measures.

At minimum, a maintenance contract with a service contractor should address the following requirements:

- A written preventive maintenance program developed and implemented with an appropriate preventive maintenance philosophy
- Adequate flexibility in the preventive maintenance program to respond to changes in route, schedule, environment, and other impacts
- All vehicles to be maintained according to chassis, body, and component manufacturers' recommended practices
- Systematic inspections, services, and repairs as required by local, state, and other regulations
- Assurance that all vehicles will provide a high threshold of safety and reliability for the passengers
- Vehicles to be kept clean and inviting to passengers
- Spare vehicles to be available as part of regular preventive maintenance
- Operation at the proper level of fiscal control
- Open lines of communication and discussion of fleet issues

The transit agency should expect the maintenance subcontractor to use due diligence when performing or reporting cost center elements. Contracts and service and maintenance reports from contractors should be kept on file at the transit agency's office. The transit agency should conduct periodic inspections and audits of the maintenance subcontractor. Grant funding may prescribe or require such audits. Corrective actions should be required for all deficiencies and defects identified during the inspections and audits.

Whether to perform maintenance tasks in-house or use a contractor depends on many factors, beginning with what maintenance resources, parts, equipment, facilities, and personnel the transit system possesses. It is common for transit systems in rural areas to contract maintenance

Table 7.5. Advantages and disadvantages of contracting maintenance.

Government Contract Maintenance	
Pros:	**Cons:**
• Generally lower charges for maintenance work • Facility may be more modern than a private repair shop • May have a body shop • Potential to use federal funds to upgrade facility to perform bus maintenance work and hire a mechanic dedicated to the bus fleet	• No guarantee for services performed, which may increase costs if corrective work is needed • May place lower priority on repairing transit buses as compared to snow plows, road maintenance equipment, and police cars
Contract Service	
Pros:	**Cons:**
• Guaranteed work; if it's not done right, the contractor pays to get it right • Negotiable "fleet rates" may lower repair costs • Negotiable repair time guarantees may prioritize service to transit fleet • Reduced labor costs for transit agency (mechanic not employed by the agency) • Transit agency pays only for maintenance work performed • Private company may be willing to act as a certified repair service facility for vehicle warranty work	• Costs may be higher than with county shop • Qualified mechanics for the specific vehicles may be unavailable locally • Requires someone to set up and monitor the contract

work out to a county facility. Although this option may not be possible for a tribal transit program, similar issues apply to contracts with other governmental entities, including tribal or local governments. Table 7.5 weighs the advantages and disadvantages of contracting maintenance to a county or private contractor.

The Role of the Driver in Maintenance and Safety

Although mechanics may be most accountable for vehicle maintenance, drivers are perhaps the most aware of equipment failures and problems with their vehicles. Systems need to be in place so that drivers can routinely and easily report problems to mechanics in written form. Pre-trip inspection forms are effective communication devices between drivers and mechanics. Figure 7.7 shows three examples of pre-trip inspection forms. Figure 7.8 gives an example of a weekly vehicle maintenance and inspection report.

Pre-Trip Inspection Sheet

Name:_____ Fleet#_____ Date:_____

UNDER THE HOOD				
Bad	**?**	**Safe**	**Item to Be Checked**	**What to Look For**
			Fluid leaks	Puddles on ground under bus.
			Oil level	Add only if below the "add" mark on dipstick.
			Belts: alt. & p. steering	Should be tight, free of cracks & chips on inside surface.
			Power steering fluid	Note "Full Cold" and "Full Hot" marks on dipstick.
			Coolant level	Note "Full Cold" and "Full Hot" marks on reservoir.
			Battery	Fluid level, corrosion, and cables should be tight.
			Windshield washer fluid	Check level.
			Hoses & misc.	Cracks/swellings/leaks in hoses. Anything broken/loose.
			Automatic transmission oil	Check with vehicle level, transmission warm & engine idling in park. Does fluid look brown or smell burnt?

FROM THE DRIVER'S SEAT				
Bad	**?**	**Safe**	**Item to Be Checked**	**What to Look For**
			Brake warning light	Lights with key in "cranking" position.
			Brake & back-up lights	Have someone check visually or use mirror.
			Turn signal indicators	Check indicators on dash.
			Wipers & washers	Check all speeds, look for streaks, check washer aim.
			Fans	Check all speeds by sound.
			Mirrors & front windows	Clean & unbroken? Adjusted for driving?
Turn on headlights or brights, hazard flashers and clearance lamps.				

WALK AROUND VEHICLE				
Bad	**?**	**Safe**	**Item to Be Checked**	**What to Look For**
			Adjust outside mirrors	Use driver's seat for reference.
			Wheels	Check tire tread depth & uniformity. Check lug nuts.
			Tire pressure	R.F.___R.R.___L.R.___L.F____
			All lamps	Blown out bulbs or broken lenses.
			Differential/R. wheel leaks	Gear oil on differential or inside surface of rear wheels.
			Emergency door	Check for sound of buzzer and ease of opening.
			Exhaust	Put foot over pipe & feel pressure, listen for leaks.
			Lift	Operate, look for low power, loose joints, or binding.
			Body	Clean? Are there new dents or scrapes?

BACK ON THE BUS				
Bad	**?**	**Safe**	**Item to Be Checked**	**What to Look For**
			Windows, seats, floor	Clean? Cracks in windows or cuts on seats?
			Escape windows & vents	Check for ease of opening and sound of buzzer.
			Fire extinguisher	Charge indicators. Shake or lightly pound it.
			First aid kit	Complete? Are packets unbroken?
			Triangular reflectors	Cracks or broken pieces.
			Gauges on dash	Fuel level, temperature, charging rate & oil pressure.
			Dash lights	Bad bulbs & variable adjustment.
			Horn	Listen for both tones.
			Brakes	Pulling or grabbing?
			Emergency brake	To test, apply and try to move forward/backward.
			Steering	Looseness or pulling.
			Door operation	Check switches and linkages.

Source: Adapted from Texas DOT. *Texas Maintenance Management and Safety Guide,* 2003, page 32, Appendices F and G, pp. 34-5.

Figure 7.7. Sample pre-trip inspection forms.

TRANSIT AGENCY
OPERATORS' DEFECT REPORT

BUS: _____ **DATE:** _____

DOORS	W/C LIFT	AC/HEAT	EXT LIGHTING
□ Stick	□ No Power	□ Defroster	□ Headlights
□ Too Fast	□ Deploy	□ No Heat	□ Tail Lights
□ Too Slow	□ Platform	□ No A/C	□ Turn Signals
□ Won't Close	□ Restraint	□ A/C Light	□ Flashers
□ Won't Open	□ Stow	□ Blowers	□ Clearance

ELECTRICAL	SUSPENSION	BRAKES	BODY DAMAGE
□ Dome Lights	□ Air Leak	□ Pull L/R	□ Bumpers
□ Gauges	□ Leans	□ Lock Up	□ Front End
□ Telltale Lamps	□ Won't Raise	□ Soft	□ Rear End
□ Horn	□ Kneeler	□ Noisy	□ Left Side
□ Chime	□ Noisy	□ Parking Brake	□ Right Side

WINDOWS	MIRRORS	FAREBOX	RADIO
□ Broken	□ Broken	□ Jammed	□ Dead
□ Etched	□ Too Loose	□ In Bypass	□ Static
□ Won't Open	□ Too Tight	□ Won't Take Bills	□ Volume
□ Won't Close	□ Won't Adjust	□ Won't Register	□ Won't Transmit
□ Need Cleaning	□ Spot Mirror	□ Other	□ Won't Receive

ENGINE		TRANSMISSION	TIRES
□ Stop Light	□ Low Power	□ Trans Light	□ Flat
□ Check Light	□ Won't Start	□ Won't Shift	□ Damages
□ Overheats	□ Oil Leaks	□ No Forward	□ Low Air
□ Smokes	□ Fuel Leaks	□ No Reverse	□ Low Tread
□ Vibrates	□ Water Leaks	□ Slips	□ Uneven Wear
□ Stalls	□ Noisy	□ Leaks	□ Loose Lugs

STEERING		OTHER ITEMS	
□ Hard	□ Wipers	□ Sensitive Edge	□ Amigo Straps
□ Shimmies	□ Headsign	□ Emergency Exits	□ Int. Dirty
□ Excessive Play	□ Accelerator	□ Graffiti	□ Ext. Dirty
□ Pulls r/l	□ Interlock	□ Seats	□ Other

ADDITIONAL INFORMATION:

_____

_____

_____

OPERATORS' TRIP RECORD

#	TIME IN	TIME OUT	RUN	SIGNATURE
1				
2				
3				
4				

REPAIR ACTION: (SHOP USE ONLY)

_____

_____

_____

MECH SIGNATURE:_____ DATE:_____

PRE-OPERATION CHECKLIST

BUS: _____ **HUB:** _____ **DATE:** _____

BODY DAMAGE

Circle Damaged Areas

DRIVER				
	1	2	3	4
Water Level	□	□	□	□
Telltale Lamps	□	□	□	□
Horn	□	□	□	□
Mirrors: R L Interior	□	□	□	□
Door Controls	□	□	□	□
Headsign Test	□	□	□	□
Passenger Chime	□	□	□	□
Climate Control	□	□	□	□
Defroster	□	□	□	□
Interior Lighting	□	□	□	□
Farebox	□	□	□	□
Emergency Equipment	□	□	□	□
Front/Rear Steps	□	□	□	□
Wheelchair Lift	□	□	□	□
W/C Belts/Straps	□	□	□	□
Sensitive Edge	□	□	□	□
Headlights	□	□	□	□
Brake Lights	□	□	□	□
Turn Signals	□	□	□	□
Emergency Flashers	□	□	□	□
License Plates/Light	□	□	□	□
Clearance Lamps	□	□	□	□
Windshield/Windows	□	□	□	□
Wipers/Washers	□	□	□	□
Body (Front)	□	□	□	□
Body (Rear)	□	□	□	□
Body (Left)	□	□	□	□
Body (Right)	□	□	□	□
Decals and Logos	□	□	□	□
Tire (Flat): RF LF LR RR	□	□	□	□
Tire (Low): RF LF LR RR	□	□	□	□
Tire (Worn): RF LF LR RR	□	□	□	□
Loose Lugs: RF LF LR RR	□	□	□	□
Driver's Seat/Seat Belt	□	□	□	□
Static Air Pressure Loss	□	□	□	□
Applied Air Pressure Loss	□	□	□	□
Radio Check	□	□	□	□
Parking Brake	□	□	□	□
Interlock	□	□	□	□
Speed Sensor	□	□	□	□

NOTE: Defective items must be repaired before leaving the yard, or written up on the other side of this defect report.

Source: Adapted from Texas DOT. *Texas Maintenance Management and Safety Guide,* 2003, Appendices F and G, pp. 34-5.

Figure 7.7. (Continued).

TRANSIT AGENCY VEHICLE MAINTENANCE: WEEKLY REPORT

Vehicle #_____ Inspection Sticker Date _____

Last oil change date/mileage_____/_____

Date:	Mon.	Tues.	Wed.	Thurs.	Fri.	Sat.	Sun.
End Mileage:							
Start Mileage:							
Total Daily Miles:							
Oil Added:							
Fuel Add Mileage:							
Fuel Added Cost:							
Fuel Added Gals.:							

PRE-TRIP INSPECTION

Driver's Initials	M	T	W	T	F	S	S	Driver's Initials	M	T	W	T	F	S	S
Interior check								Exterior check							
Turn indicators								Headlights							
Wipers								4-way flashers							
Horn								Brake lights							
Mirrors								Reverse lights/signal							
Seat belts								Tires, rims & lugs							
Registration/insurance card								Logos/clean							
Accident forms/instruction								Windows							
Credit card								Exhaust pipes							
Parking brake test								Fluid deposits							
First aid kit								Engine belts/hoses							
Fire extinguisher								Coolant level							
Flares/reflectors								Oil level							
Jack & spare								Transmission fluid							
Ramp/lift cycle								Brake fluid							
Radio/phone								Power steering fluid							
Clean inside								Windshield washer fluid							

POST TRIP

Unusual noises/problems								Body damage							
Damaged lights/lenses								Clean inside & out							
O means is OK, A means added, X means needs repairs, and R means remarks. Remarks can be written on back of page.															

Source: Texas DOT. *Texas Maintenance Management and Safety Guide,* 2003, p 37.

Figure 7.8. Sample weekly vehicle maintenance and inspection report.

Insurance and Licensing

Tribal transit programs should carry insurance, including liability insurance, for vehicles and employees. Specific insurance requirements may be defined by the tribe, by states if the transit program operates off the reservation, and by grant programs. Tribal transit programs typically obtain insurance through the tribal government.

Vehicles typically are licensed in the state in which the tribe is located. Operating permits may be required if the tribe operates off the reservation or in multiple states. For example, the Southern Ute Indian Tribe, whose Road Runner Transit began in 1999 by providing services in Colorado, applied for and received a permit to operate interstate passenger service to expand and operate passenger service into New Mexico. The issue of operating permits may relate to tribal sovereignty, so the tribal attorney should be consulted when considering which licenses or permits may be required or should be obtained.

For More Information

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CHAPTER 8

Funding Tribal Transit Programs

Introduction

This chapter answers questions related to funding, such as the following:

- What are the funds available to start or enhance a transit program?
- Who is eligible to apply for these funds?
- Are there grants that can be used toward local match requirements for U.S. Department of Transportation (U.S. DOT) grants?
- What is needed to create a sustainable transit service?
- What are some innovative approaches to local funding?

Funding often is the key to implementing and, more importantly, sustaining tribal transit programs. Although funds may be found to start a service, funds also must be available to continue that service in future years. A number of tribes have been in the position of being forced to discontinue service because a source of funding no longer was available. This chapter describes many of the funding sources available to tribes to plan, develop, and operate transit services. The most successful programs have tapped funds from a variety of these sources so the program is not dependent on any single source of funding. Some tribes have found innovative ways to obtain or increase funding and several of these approaches are described in the chapter.

Appendix C provides more detail about the various federal and state grant programs that support tribal transit planning, operations, and services, beginning with the 30 federal programs summarized in Table 8.1. Nearly half of these programs (43 percent) are sponsored by the U.S. Department of Transportation (U.S. DOT), which supports transit in both rural and urban environments; for the general population; and for the special requirements of persons with disabilities, elderly persons, low-income persons, and unemployed persons. Tribal transit programs and services are eligible activities for all of the grant programs, but the Tribal Transit Program, Section 5311(c), is designated specifically for tribal governments. The remaining 17 federal programs are sponsored by the U.S. Department of Agriculture (USDA), Commerce, Education (ED), Housing and Urban Development (HUD), Health and Human Services (HHS), and Labor (DOL). These programs encompass the array of special-need transportation services in health, social services, vocational rehabilitation, economic development, and education. Most of the programs (59 percent) are sponsored by HHS.

Appendix C also includes a representative sample of state grant programs that support tribal transit programs and services. The sample includes Arizona, California, Oklahoma, Oregon, and Washington State. The goals and requirements of these programs vary by state and illustrate the diversity of interest in and support for tribal transit planning and services at the state level. Finally, this chapter concludes with innovative approaches implemented by several tribes to fund their systems.

Table 8.1. Federal funding for tribal transit programs.

					Funding Type			Eligible Activity			Service Population
					Grant	Allocation	Apportion-ment	Operating	Capital	Other	
Page #	**1**	**US Department of Transportation**									
		Federal Transit Administration (FTA)									
195		**a**	Major Capital Investment Program (5309)		**M**		**X**		**X**		General
196		**b**	Job Access and Reverse Commute Formula Program (5316)		**C**			**X**	**X**	**X**	Low Income
197		**c**	New Freedom Program (5317)		**F**		**X**	**X**	**X**		Disabled
198		**d**	Over the Road Bus Program		**C**				**X**	**X**	Operators
198		**e**	Public Transportation – Tribal Transit Program [5311(c)]		**C**			**X**	**X**		Tribal
199		**f**	Rural and Small Urban Areas Program (5311)		**F**		**X**	**X**	**X**	**X**	Rural
199		**g**	Transportation For Elderly and Persons with Disabilities Program (5310)		**F**		**X**		**X**	**X**	Elderly, Disabled
200		**h**	Paul S. Sarbanes Transit in Parks Program (5320)		**C**	**X**			**X**	**X**	General
201		**i**	Livable Communities Initiative		**C**					**X**	General
		Federal Highway Administration (FHWA)									
201		**a**	Congestion Mitigation / Air Quality Improvement Program (CMAQ)		**F**		**X**	**X**	**X**	**X**	General
203		**b**	Indian Reservation Roads Program (IRR)		**F**	**X**		**X**	**X**	**X**	Tribal
204		**c**	Park Roads and Parkways Program			**X**				**X**	General
204		**d**	Public Lands Highway Program (PLH)		**C**	**X**		**X**	**X**	**X**	General
205		**e**	Surface Transportation Program (STP)		**F**		**X**	**X**	**X**	**X**	General
206		**f**	Transportation Enhancement Program		**F**		**X**		**X**	**X**	General
	2	**Other Federal Programs**									
		a	**US Department of Agriculture**								
206			a.1	Rural Passenger Transportation Technical Assistance Program	**C**					**X**	Rural
207			a.2	Community Development Transportation Lending Services, Inc. (CDTLS)		(Loans)		**X**	**X**	**X**	Rural, Urban
208			a.3	Tribal Passenger Transportation Technical Assistance Program	**C**					**X**	Rural
		b	**US Department of Commerce**								
209			b.1	Economic Development Administration (EDA) Grants	**C**				**X**		Rural, Urban
		c	**US Department of Education**								
210			c.1	Vocational Rehab Services for American Indians with Disabilities	**C**			**X**	**X**	**X**	Tribal
		d	**US Department of Housing and Urban Development**								
210			d.1	Indian Housing Block Grants	**F**					**X**	Tribal
		e	**US Department of Health and Human Services**								
211			e.1	Community Services Block Grant Program	**F**			**X**			Low Income
212			e.2	Head Start Program		(State determination)		**X**	**X**		Pre-School
212			e.3	Medicaid Program		(State determination)		**X**		**X**	Low Income, Disabled
213			e.4	Programs for American Indian, Alaska Native and Native Hawaiian Elders	**F**			**X**	**X**	**X**	Tribal Elders
213			e.5	Rural Health Outreach Grant Program	**C**			**X**	**X**		Rural
214			e.6	Social and Economic Development Strategies (SEDS) Program/ Administration for Native Americans (ANA)	**C**			**X**	**X**	**X**	Tribal
214			e.7	Special Programs for the Aging-Title III, Part B: Grants for Supportive Services and Senior Centers	**F**			**X**	**X**		Elderly, Rural
215			e.8	Special Programs for the Aging-Title III, Part C: Grants for Nutrition Services	**F**			**X**			Elderly
215			e.9	Tribal Self-Governance – Indian Health Services Program		**X**		**X**	**X**	**X**	Tribal
216			e.10	Tribal Temporary Assistance for Needy Families Program	**F**			**X**	**X**	**X**	Tribal
		f	**US Department of Labor**								
216			f.1	The Senior Community Service Employment Program	**F**	**X**		**X**	**X**	**X**	Senior
217			f.2	Workforce Investment Act Programs	**C**				**X**	**X**	Tribal

Grant = A federal financial assistance award making payment in cash or in kind for a specified purpose. **F** = Formula-based (usually to states); **C** = competitive/discretionary; **M** = mixed.
Allocation = An administrative distribution of funds for programs that do not have a statutory distribution formula.
Apportionment = The distribution of funds as prescribed by a statutory formula.

Table 8.1 lists a variety of federal grant programs. It is important to recognize the specific local match requirements that vary within a grant for capital projects, operating projects, and project administration. The federal share usually is higher for capital projects that are geared toward providing access for bicycles to transit facilities, installing equipment for transporting bicycles on transit vehicles, for vehicle-related equipment to comply with the Americans with Disabilities Act (ADA), or vehicle-related equipment to comply with the Clean Air Act. In Appendix C, each program or grant discussed has a callout to the side of the page that gives the percentage of federal participation in the grant. The balance is expected to come from local funding sources. Depending on the grants, non-DOT federal funds may or may not be permitted to be used for the local match. Although a range of federal and state grants are available, many tribes may not have enough in local matching funds to qualify for these grants. Also, many tribes have high indirect cost rates for providing a service. Tribes have to assess whether it is feasible to go after some of these grants. When applying for a grant, it also is important to note the reporting requirements for the grant. The time and resources expended in reporting may exceed the value of the grant or program funds received.

Potential Local Funding Sources

Farebox Revenue and Suggested Donations

Farebox revenue and suggested donations are considered income and cannot be used as local share for the project in which they are earned. However, they can be deducted from total operating cost to determine the net operating cost. Keeping track of the farebox revenue and its recovery ratio helps a tribe measure the transit program's particular financial and operating efficiencies. Such tracking also helps in setting or adjusting the fare level. The farebox recovery ratio is the proportion of the amount of revenue generated through fares or suggested donations to its total operating cost.

Innovative Approaches to Local Funding

A successful transit operation requires a constant and reliable stream of funds to cover its operating and capital costs and contingencies. A federal grant, such as through Federal Transit Administration Section 5311, provides critical seed money but is not intended to cover all costs over the life of the service. Moreover, the federal grant typically requires a local match, which may be as much as 50 percent of the initial award. If the grant is processed through the state, depending on local criteria, the match requirement may be higher or the award may be less than if processed directly through a federal agency. Additionally, the needs and preferences of the grant applicant are not factors in the decision-making process. Determinations on the timing, duration, and size of the award are at the discretion of the granting agency. These critical factors are controlled by others. Therefore, counterbalancing the uncertainties of the government grant process necessitates the casting of a wide net over a diverse stream of funding resources. Tribes with successful transit programs have found innovative ways to obtain funding to use as the local match to obtain government grants. Several of these innovative approaches are described in this section.

Funding innovations undertaken by tribal governments may be characterized by source as follows:

- **Internal sources:** These funds are allocated by the tribal government through its general fund or its business enterprises to support the transit operation. The funds may serve as local match to a government grant or, in some cases, may attract funds from other sources.

- **Partnership sources:** These funds are contributed by local, regional, county, or state stakeholders with an interest in ensuring that the tribal transit operation succeeds.
- **Grant matching sources:** These funds are drawn from one grant source to match or supplement, where permissible, funds from another grant source.

Internal Sources

Internal fund sources are derived directly from the tribal government to support its transit operation. They typically represent funds appropriated from its general fund or from one or several of the for-profit business enterprises owned and controlled by the tribe.

- In 2007, the Confederated Salish and Kootenai Tribes (CSKT) in Montana opened Quick Silver, a full-service gas station, luncheonette, and laundry facility. Revenues from this tribal business are used to match government grants that support CSKT's transit service. CSKT is planning a facility where the maintenance on all 200 vehicles owned by the tribe will be done. The staff of the planned maintenance facility will do oil changes on all these vehicles. Money generated from the facility will be used as local match to obtain grants.
- Tribal government funds from the Squaxin Island Tribe in Washington State are used as 50 percent match to government operating grants in support of its transit operation.
- The Winnebago Tribe in Nebraska bills its casino enterprise $2.00 monthly for each trip taken by a casino employee on its tribal transit system. The monthly casino payments cover some of the system's operating cost.
- The Seminole Nation in Oklahoma matches Section 5310 operating grants with more than $79,000 from tribal general funds.
- The Leech Lake Gaming Division of the Leech Lake Band of Ojibwe provides transportation that is financed solely through tribal gaming revenues. Leech Lake Gaming Transportation provides transit service for the residents of Leech Lake, employees, and guests going to and from their casinos.
- Standing Rock Public Transportation (SR Transportation) has been operated by the tribally chartered Sitting Bull College since 1989. Sitting Bull College and the Standing Rock Sioux Tribe both provide local matching funds for operating SR Transportation. SR Transportation also has begun providing automobile maintenance service and tire sales to the public to increase revenue. This is a unique combination of a for-profit and a not-for-profit business model.

Partnership Sources

Funding partnerships involve agencies and organizations outside of the tribal transit organization that support or partially subsidize the tribal transit operation. Their financial contributions are in proportion to their use of the service, and the terms are usually written down in a service agreement contract. Funding partners typically have a stake in the enterprise, wanting it to supplement their own transportation programs or provide essential rides and mobility for their program clientele.

- **Menominee Regional Public Transit (MRPT)** is operated by the Menominee Indian Tribe in Wisconsin. Financial support for the service comes from a synergistic partnership of agencies located on and off the reservation. The funding partnerships have enabled MRPT to diversify its ridership base and extend its operation off the reservation. According to Menominee Director of Transit Services Shawn Klemens,

> establishing our partnerships was a win-win, as contract dollars that were negotiated for the partnerships were essentially used to apply for additional grants to support the service designed. We also created a transportation advisory committee which all stakeholders, not just partners, are invited to the table to discuss transportation issues.

- MRPT's partnership arrangements include the following:
  - MRPT uses Bureau of Indian Affairs (BIA) Indian Reservation Roads (IRR) allocations as match to government transit grants. MRPT also has on-reservation transit service coor-

dination agreements with the Title VI Elder Program and the College of the Menominee Nation.
- MRPT also provides school children transportation under contract with the Menominee School.
- MRPT maintains another important partnership with the Menominee Health Clinic. Non-emergency transportation once provided by the clinic is now provided by MRPT. These trips have increased from 1,897 to 17,478 per year over time and MRPT's service now extends off-reservation to additional health care facilities.
- MRPT has a service coordination agreement with Menominee County Human Services and is poised in 2011 to provide similar service to Langlade County to the north. The Langlade County payment, using state funds, will serve as local match to a Section 5311 grant.
- MRPT anticipates future service coordination agreements with Shawano County to the south and the Stockbridge-Munsee Community, Band of Mohican Indians to the west.

An example of the combination of funds used to support the tribal transit operation is shown in Table 8.2.

- **Road Runner Transit** is operated by the Southern Ute Indian Tribe in Colorado. According to Peter Tregillus, program director of Community Action Programs, partnerships that assist in covering costs are expected by tribal government. Tregillus states, "The tribe funding is steady, but since it is a public transit [service], the tribe expects us not to be totally reliant on them, but to get financial support from other local stakeholders."
- The system obtains funds through outreach to stakeholders and through advertising. Support for Road Runner Transit from La Plata County, for example, increased from $4,300 in 2002 to $42,189 in 2008. Funds from the nearby town of Bayfield increased from $24,000 to $37,623 over the same period. With these partnership arrangements, Road Runner passenger-trips doubled, from 10,123 in 2006 to 20,452 in 2008, as did its revenue service-hours, from 2,104 to 4,523. Road Runner Transit's farebox revenue increased from $17,000 in 2006 to $24,500 in 2008. An example of the combination of funds used to support the Road Runner tribal transit operation is shown in Table 8.3.

Table 8.2. MRPT Section 5311 partnership fund sources.

Partnership Source	Amount	Description
Menominee Indian Tribe of Wisconsin	$407,072	Tribal government funds.
Menominee Clinic Funds	$138,996	Local clinic service coordination agreement funds.
Menominee County	$79,176	County service coordination agreement using state WS 85.21 funds allocated by the state and matched with county funds at 20 percent.
State of Wisconsin/Menominee Aging Agency	$22,500	State WS 85.215 funds do not require match and are designated only for Indian tribes in Wisconsin. They represent gaming revenue tribes pay to the state. The Statewide Tribal Council lobbied the legislature to set aside these funds just for tribal elderly transportation. Each tribe receives $22,500. MRPT negotiated a memorandum of understanding (MOU) with the Menominee Aging agency for this amount. The funds are used to match Section 5311 grants.
Bureau of Indian Affairs	$100,000	BIA funds used to match capital grants.

Source: Menominee Indian Tribe of Wisconsin, 2010.

Table 8.3. Example of Road Runner Transit partnership fund sources.

Partnership Source	2006	2007	2008
Federal Transit Administration (FTA) Section 5311	$76,000	$131,880	$153,228
Southern Ute Indian Tribe	52,916	61,800	63,509
Town of Ignacio	1,600	1,800	3,000
Town of Bayfield	30,207	36,623	37,623
La Plata County	24,800	24,800	42,189
Advertising	3,311	2,400	2,400
Forest Lakes Metro District	0	0	1,500
FTA New Freedom	0	0	30,800
Total	**190,840**	**261,310**	**336,257**

Source: Southern Ute Community Action Program, 2009.

- The Confederated Salish and Kootenai Tribes (CSKT) provide general public transit services on the reservation. This tribal transit program has been successful in receiving local funding from a variety of sources. The Salish and Kootenai College, which operates its own bus service for students to access classes and programs, has partnered with DHRD Transit. DHRD Transit now provides most of the transportation for the college and is reimbursed for the trips provided. The tribal health clinic also reimburses DHRD Transit for trips, and DHRD Transit has an informal agreement with the Lake County Council on Aging to refer and help with rides.
- The Standing Rock Sioux Tribe in North Dakota have negotiated an arrangement in which stakeholder organizations purchase tickets to give to their patrons and clientele for free transit trips on the tribe's transportation system. Twelve organizations regularly purchase the tickets. Some of these organizations are faith-based; others are health care and social service agencies. The ticket program provides additional operating funds and fosters a sense of ownership and connection to the transit service.

  In October 2009, the South Dakota Department of Transportation (South Dakota DOT) paired SR Transportation with a local non-tribal community (Mulbridge) to provide deviated fixed-route service. The community is interested in contracting with SR Transportation to provide rides to school for children, which is a completely new type of service for SR Transportation.
- **Cherokee Transit** of the Eastern Band of Cherokee Indians works with various local agencies and receives revenues through agency contracts such as the Vocational Opportunities of Cherokee, Inc., the Senior Citizens Program, and occasionally from Tribal Childcare and Tsali Care Center. Cherokee Transit has instituted a token program through which other departments or programs can purchase tokens good for one ride and give them out to their clients in need. One example is the Indian Health Service (IHS) hospital, which has had a hard time purchasing transportation due to contractual requirements. IHS is able to purchase 100 tokens for $90. The tokens can be kept at the nurses' station and at the emergency department for patients who do not have the money for a bus fare home. Some innovative programs implemented by Cherokee Transit allow clients to buy tickets or passes directly to access needed services.

  - The Parent Pass Program enables children between the ages of 12 and 16 years to travel anywhere within the Qualla Boundary. Parents must sign a release form and provide a list of destinations to which the transit department is allowed to transport their children. The drivers can take them to those destinations. Children use the service to get to school, work, and for recreation purposes.
  - The Garnishment for Passes program serves enrolled members of the tribe who can use their casino profit (garnishment check) to buy passes. Individuals who are court-ordered to enroll in Alcoholics Anonymous or at treatment centers, who have court dates, or who are looking for work usually use this program. During the last 6 months, the tribe has made $7,000 from this program alone.
- The Fort Peck Assiniboine and Sioux Tribes have cooperative agreements with Fort Peck Housing, the work program, community services, the elder care program, and Roosevelt County Council on Aging as well as agreements with the Valley Transit program in Valley County. The Fort Peck Transit program also coordinates with St. Lutheran Home and the Poplar Swing Bed (formerly a nursing home) to provide trips for their residents and be reimbursed by these agencies for providing those trips. The tribal transit program also coordinates with the Indian Health Service (IHS) and Community Health Representatives (CHR) to provide some local transportation. These agencies have their own vehicles but they do not have wheelchair-accessible vehicles, which the tribal transit program can provide. According to Fort Peck Transit management, tribal matching dollars also come from the tribe's general fund.
- Resource extraction is another innovative local funding source. If a tribe receives revenues from natural resource extraction, a portion of those revenues can be used as local match to provide transportation for employees who work in the area. Transportation provided for this purpose can be expanded to provide general public transit services in the area. Future revenue from resource extraction can support not only social and community services for the tribe, but also public transportation services.
- Where tourism occurs on land owned by the tribe, a lodging tax can be implemented. Revenue from tourism can be used as an important element of the local transit funding formula. A lodging tax can be considered a specialized sales tax placed only upon lodging bills. Taxation of this type has been used successfully in Park City, Utah; Sun Valley, Idaho; Telluride, Colorado; and Durango, Colorado. A lodging tax is imposed only on overnight visitors. Day visitors and residents do not contribute to this transit funding source. Funds raised from the lodging tax can be used toward general public transit services provided in the area.

Grant Matching Sources

Tribes may also use grant funds that they and their partners are awarded as leverage when applying for additional grants.

- Concerned by the delay in receiving a Section 5311(c) award for its rideshare program, the Stillaguamish Tribe of Indians in Washington State used a portion of its BIA-IRR allocation to cover the gap in funding. Executing a BIA planning contract, the tribe received $410,000 to purchase nine rideshare vehicles. The tribe then applied for and received an additional $220,000 through the BIA-IRR American Recovery and Reinvestment Act of 2009 (ARRA) stimulus program, which enabled the purchase of three additional vehicles. The eventual receipt of the 5311(c) funds will supplement the BIA grants.
- Community RIDE (also called "the RIDE")—a rural bus service in Sitka, Alaska, operated by the Sitka Tribe of Alaska (STA), provides another noteworthy example of grant matching. The service is not administered by the tribe, but rather by a nonprofit umbrella agency, the Center for Community (CFC). As a nonprofit, CFC receives Section 5311 grants that cover two-thirds of the cost to operate Sitka Transit, including the Ride. The remaining one-third is covered with BIA-IRR and Section 5311(c) grants received by the STA as a federally recognized tribe.

Sitka Transit paratransit services are operated by the community's senior center, Southeast Senior Services (SESS). SESS is subsidized in part with Title III (Older American Act) funds. As the administering agency, CFC coordinates the funds and contracts the bus service to the STA and the paratransit service to SESS. This unique collaboration of a nonprofit agency, the tribe, and the senior center has increased access to traditional and nontraditional grant sources.

- Citylink is a free public bus service operated by the Coeur d'Alene Tribe in Idaho. The service began modestly with one route on the reservation. Today the system serves the reservation and most of northern Idaho. Citylink ridership grew from 18,700 to 555,565 in 5 years.
  - Citylink's rapid expansion is the direct result of a funding partnership termed the "Coalition of the Willing," involving several agencies. Shortly after receiving its first federal transit grant, the tribe collaborated with Kootenai County, which also wanted to institute a public bus service. With the common objective of increasing rural and urban mobility throughout northern Idaho, a coalition was formed representing the Coeur d'Alene Tribe, Kootenai County, the Kootenai County Metropolitan Planning Organization (KMPO), the Panhandle Area Council, and the Idaho Department of Transportation (Idaho DOT).
  - The partnership pools and leverages the Section 5307, 5310, and 5311 grants that each agency receives, achieving a higher use of the grants than if they were retained separately by each agency.
  - The "Coalition of the Willing" partnership continues, but the Coeur d'Alene Tribe is now seeking a higher level of participation from the local towns, cities, and agencies that benefit but do not pay for the service. According to Tribal Chairman Chief Allan, "I believe there are other ways to fund our public transportation needs, some of which may involve adding or increasing the contributions of city and county governments, North Idaho College, the local chambers of commerce, and Kootenai Medical Center."

An example of the combination of funds currently supporting the tribal bus service is shown in Table 8.4. As noted, a greater diversity of agency and community funds will be required in the future.

Table 8.4. Example of Citylink partnership fund sources.

Funding	Amount*	Partnership Source
FTA Section 5311	$235,301	Idaho Department of Transportation
FTA Section 5311	$108,635	Tribal match
FTA Section 5307	$96,699	Kootenai County (transfer of its Section 5307 to Section 5311)
Tribal Match	$8,407	Tribal match to Section 5307 ($96,699), which was transferred to Section 5311
FTA Section 5307	$555,036	Section 5307 Kootenai County funds
FTA Section 5307	$399,380	Tribal match
FTA Section 5309	$558,113	FTA grant for bus maintenance garage
Tribal Match	$111,623	Tribal match to Section 5309 funds
FTA Section 5311(c)	$225,000	FTA Tribal Transit Grant
Total	**$2,298,194**	

* 1-year data (FY2007).

Source: Grant Management Office of the Coeur d'Alene Tribe.

Tribal Transit a Community Resource

Tribal transit is an important community resource. Tribal transit financing has evolved over time because of the successful practices described herein and also because of the growing recognition that tribal transit services have become and are becoming essential community resources. This evolution is illustrated by Citylink, which began with local tribal funds; grew with federal, state, and county partnerships; and now, because of its success as a regional carrier, is acknowledged as a transportation lifeline and subsidized by a growing number of local and regional beneficiaries. Leveraging their services as essential community resources also has heightened the marketing and funding sophistication of the MRPT and Road Runner Transit systems.

Compliance and Reporting Requirements

FTA Compliance Requirements

A request for Federal Transit Administration (FTA) funding commits the tribal organization to a series of legal, regulatory, and administrative requirements. These requirements are met in four phases, as follows:

1. Pre-application
2. Application
3. Grant reporting
4. Grant close-out

This section describes each of the four phases, then addresses the compliance requirements of FTA's Tribal Transit Program, Section 5311(c). The specific requirements will depend on whether the tribe applies directly to FTA or through the state and whether the tribe is a direct recipient from FTA or a subrecipient through one or more states. If the tribe is applying for funding through the state, the tribe should contact the appropriate state office to determine specific requirements.

Pre-Application Process

Before submitting a request for FTA funding, an applicant must follow pre-application guidelines. These initial steps ensure project compliance with federal rules and laws. Once performed, they facilitate the processing of the grant application.

Project inclusion in area plans: This process is applicable to tribes in urban areas. If possible, the project should be coordinated with area transportation plans and services. The purpose of this requirement is to minimize any duplication of federally supported projects within the service area. The project must be part of a federally approved statewide transportation improvement program (STIP) or tribal transportation improvement program (TTIP). If planning is involved, it should also be part of the Unified Planning Work Program (UPWP) of the area transportation planning agency, such as the Metropolitan Planning Organization (MPO). These requirements may vary, based on the size and complexity of the project. Applicants seeking guidance should contact the FTA Regional Office for their area.

If the applicant anticipates using Section 5310, 5316, 5317, or 5311 funds through the state (does not apply for 5311(c)), the project should be part of a Locally Developed, Coordinated Public Transit, Human Services Transportation Plan that is approved by FTA and the Federal Highway Administration (FHWA). This approval ensures the project complements and supports current social and human service programs within the local service area.

National environmental policy: Compliance with the requirements of the National Environmental Policy Act of 1969 (NEPA) also is important. These requirements are explained in more

detail in Chapter 6. The purpose of this requirement is to ensure that the project does not harm the environment. Most rural and small transit projects meet the NEPA criteria for a categorical exclusion (CE) and, once so designated, require no further action. If the possibility of an environmental impact exists, however, it must be documented in accordance with NEPA guidelines. Assistance with this determination may be obtained from the local or state transportation agency or FTA Regional Office.

Certifications and assurances: Each fiscal year, FTA publishes a list of certifications and assurances in the *Federal Register*. Before submitting a grant application, the applicant must comply with each provision on the list shown in Table 8.5. The applicant should maintain current, signed copies of each certification and assurance should a compliance issue arise during or after the grant award. For some tribes, these certifications and assurances have been an issue of tribal sovereignty, as discussed in Chapters 1 and 10.

Civil rights submissions: The applicant must comply with civil rights laws. Its organization must have the following written plans and administer the following programs:

- Title VI Plan, which provides policies and procedures that prohibit discrimination on the basis of race, color, or national origin in programs or activities receiving federal financial assistance
- Equal Employment Opportunity (EEO) Program, which ensures fair and equal employment practices
- Disadvantaged Business Enterprise (DBE) Program, which involves certified DBEs in the organization's contracting
- An Americans with Disabilities Act (ADA) Paratransit Plan, if applicable, which ensures equal access to federally assisted transportation services for people with disabilities

These administrative documents must be submitted to the FTA Regional Civil Rights Officer for approval and updated annually. The applicant must maintain signed copies of the FTA approvals should a civil rights issue arise during or after the grant award.

Certification of protective labor arrangements: Direct recipients of FTA grants are required to affirm in writing to the Department of Labor (DOL) that their project complies with protective labor regulations. *Section 5311 grantees are not subject to this requirement.* The applicant must check with the FTA Regional Office to determine compliance.

Transferred funds: If the applicant anticipates fund transfers from FHWA to FTA, the request should be communicated to the FTA Regional Office. The applicant also should notify the state transportation agency, which holds the obligated FHWA funds. The state will formally request FHWA to transfer the funds to FTA.

A checklist of these six pre-application steps is shown in Table 8.6.

Application Process

Once the pre-application requirements have been satisfied, FTA assigns a grant number to the project. The applicant may now enter the online FTA Transportation Electronic Award Management (TEAM) system. A *TEAM User Guide* with step-by-step instructions is available at http://ftateam web.fta.dot.gov/static/userguide.html. The balance of this section provides a brief summary of the information entered into the TEAM system, along with a checklist (Table 8.7).

Recipient information: Using the TEAM system, data are entered about the applicant organization, including address, contact information, union information (if applicable), urbanized area identification number (if applicable), congressional district(s), and the applicant's Data Universal Numbering System (DUNS) number. The information must be updated as changes occur.

Table 8.5. FTA compliance requirements: certifications and assurances (2011).

- **Assurance of Authority:** The applicant, its authorized representative, and its attorney affirm they have adequate authority under applicable state, local, or Indian tribal law and regulations to execute and file the grant application and the certifications and assurances. They also affirm they have the authority to execute grant agreements and cooperative agreements with FTA.

- **Standard Assurances:** The applicant assures compliance with applicable federal statutes and regulations in carrying out the project and with the terms and conditions of the FTA grant agreement or cooperative agreement, including the FTA Master Agreement.

- **Intergovernmental Review Assurance:** Except if the applicant is an Indian tribal government seeking assistance authorized by 49 U.S.C. 5311(c)(1), the applicant assures that each application for federal assistance has been submitted or will be submitted for intergovernmental review to the appropriate state and local agencies as determined by the state.

- **Nondiscrimination Assurance:** As required by *Title VI of the Civil Rights Act of 1964* and U.S. DOT *Nondiscrimination in Federally Assisted Programs of the Department of Transportation—Effectuation of Title VI of the Civil Rights Act*, the applicant assures compliance with this law and its regulations so that no person on the basis of race, color, national origin, creed, sex, or age will be excluded from participation in, be denied the benefits of, or otherwise be subjected to discrimination in any program or activity for which the applicant receives federal assistance.

- **Assurance of Nondiscrimination on the Basis of Disability:** As required by U.S. DOT *Nondiscrimination on the Basis of Handicap in Programs and Activities Receiving or Benefiting from Federal Financial Assistance* regulations, the applicant assures that no qualified person with a disability shall be, solely by reason of that disability, excluded from participation in, denied the benefits of, or otherwise subjected to discrimination in any program or activity receiving or benefiting from federal assistance.

- **Suspension and Debarment:** In accordance with U.S. DOT *Nonprocurement Suspension and Debarment* regulations and U.S. Office of Management and Budget (OMB) *Guidelines to Agencies on Governmentwide Debarment and Suspension (Nonprocurement)*, the applicant certifies that it and its principals, including its first-tier subrecipients:

  (a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded or disqualified from covered transactions by any federal department or agency;

  (b) Have not within a 3-year period been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public transaction or contract under a public transaction; violation of any federal or state antitrust statute; or commission of embezzlement, theft, forgery, bribery, falsification, or destruction of records, making any false statement or receiving stolen property;

  (c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity with commission of any of the offenses listed above;

  (d) Have not within a 3-year period had one or more public transactions terminated for cause or default.

- **U.S. OMB Assurances:** The applicant assures it has legal authority to apply for federal assistance and has the institutional, managerial, and financial capability to assure proper planning, management, and completion of the project described in its application. Moreover, assurance is given that the applicant will:
  - Give FTA, the Comptroller General of the United States, and, if appropriate, the State access to and the right to examine all records, books, papers, or documents related to the award;
  - Establish a proper accounting system in accordance with generally accepted accounting standards or agency directives;

- Establish safeguards to prohibit employees from personal or organizational conflicts of interest or personal gain;
- Initiate and complete work within the applicable project time periods following receipt of FTA approval;
- Comply with all applicable federal statutes relating to nondiscrimination;
- Comply with the requirements of *Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970*, which provide for fair and equitable treatment of persons displaced or persons whose property is acquired as a result of federally assisted programs;
- Comply with the *Davis-Bacon Act*, the *Copeland "Anti-Kickback" Act,* and the *Contract Work Hours and Safety Standards Act* regarding labor standards for federally assisted projects;
- Comply with the flood insurance purchase requirements of the *Flood Disaster Protection Act of 1973*, requiring the applicant and its subrecipients in a special flood hazard area to purchase flood insurance if the total cost of insurable construction and acquisition is $10,000 or more;
- Comply with the *Lead-Based Paint Poisoning Prevention Act*, which prohibits the use of lead-based paint in the construction or rehabilitation of residence structures;
- Not dispose of, modify the use of, or change the terms of the real property title or other interest in the site and facilities on which a construction project supported with FTA assistance takes place without instructions from FTA;
- Record the federal interest and include a covenant in the title of real property acquired in whole or in part with federal assistance funds to assure nondiscrimination during the useful life of the project;
- Comply with FTA provisions concerning the drafting, review, and approval of construction plans and specifications of any construction project supported with FTA assistance;
- Provide and maintain competent and adequate engineering supervision of any construction project supported with FTA assistance and furnish progress reports and related information as may be required by FTA or the state;
- Comply with any applicable environmental standards that may be prescribed to implement the *National Environmental Policy Act of 1929* and other such related federal and state environmental laws.
- Comply with the *Hatch Act*, which limits the political activities of state and local agencies and their officers and employees whose primary employment activities are financed in whole or part with federal funds.
- Comply with the *National Research Act* and U.S. DOT regulations *Protection of Human Subjects*, regarding the protection of human subjects involved in research, development, and related activities supported by federal assistance;
- Comply with the *Animal Welfare Act* and U.S. Department of Agriculture *Animal Welfare* regulations, regarding the care, handling, and treatment of warm-blooded animals held or used for research, teaching, or other activities supported by federal assistance;
- Have performed the financial and compliance audits as required by the *Single Audit Act Amendments of 1996*, U.S. OMB Circular A-133: *Audits of States, Local Governments, and Non-Profit Organizations;*
- Comply with all applicable provisions of all other federal laws or regulations and follow the directives governing them.

Note: Table 8.5 presents a summary of FTA's Fiscal Year 2011 Annual List of Certifications and Assurances for Federal Transit Administration Grants and Cooperative Agreements. The full text describing each provision is available at http://fta.dot.gov/12825_12194.html.

Table 8.6. FTA compliance requirements: pre-application checklist.

✓ Project Inclusion in Area Plans
☐ Part of state or tribal Transportation Improvement Program?
☐ If planning involved, part of local agency Unified Planning Work Program?
☐ If Section 5311, part of Locally Developed, Coordinated Public Transit, Human Services Transportation Plan?
✓ National Environmental Policy
☐ Is project Categorical Exclusion (CE)?
☐ If no, is classification determined? Has required analysis been performed with findings?
☐ Is NEPA documentation completed?
✓ Certifications and Assurances
☐ Obtained and reviewed current FTA certifications/assurances?
☐ Are all certifications/assurances signed and filed?
✓ Civil Rights Compliance
☐ Title VI Plan current and FTA approved?
☐ EEO and DBE Programs current and FTA approved?
☐ ADA Paratransit Plan, if applicable, current and FTA approved?
✓ Protective Labor Compliance
☐ Department of Labor requirements apply?
☐ Obtained guidance from FTA Regional?
✓ Transferred Funds
☐ If fund transfer needed—FTA Regional Office and state DOT notified?
☐ Have funds been obligated?

Project information: This section of the award management system collects data about whether the project is a new grant, a grant amendment, or a budget revision, along with project costs. Also entered are the project start and end dates, its transportation improvement program (STIP or TTIP) inclusion date, the MPO concurrence date (if applicable), and the Executive Order 12372 review date, if applicable. (Executive Order 12372, Intergovernmental Review of Federal Programs, requires federal consultation with state and local governments on decisions involving grants and other forms of financial assistance. Under the order, states, in consultation with their local governments, design their own review processes and select the federal financial assistance activities they wish to review. The date of any such review must be entered into TEAM.) The grant project costs also are entered.

Project description: This section involves a description of the project with sufficient detail to assist FTA review on eligibility. If several projects (called program of projects, or POP) are part of the application, each project should be listed. If there are subrecipients, they should be identified and their activities entered.

Table 8.7. FTA compliance requirements: TEAM grant application checklist.

✓ Part 1 – Recipient Information
☐ Annual certifications and assurances entered?
☐ Applicant contact and organization information complete?
☐ Urbanized area (UZA) identification number and congressional district entered (if applicable)?
☐ Union contact information entered (if applicable)?
☐ Civil rights program documentation approved by FTA?
☐ Applicant DUNS number entered in the appropriate field?
✓ Part II – Project Details
☐ Does the project description (including the POP) include information on each subrecipient?
✓ Part III – Project Information (Complete Applicable Fields)
☐ New application or amendment?
☐ Start and end date?
☐ Approval date of the TIP and UPWP (if applicable)?
☐ Control totals entered?
☐ If pre-award authority is applicable, has "yes" been selected?
☐ Has the EO 12372 review been completed (if applicable)?
✓ Part IV – Budget
☐ Are alternative line item (ALI) codes entered correctly?
☐ Have funding percentages been verified to ensure the federal funds are not over the allowable share?
☐ Does the funding amount entered match financial information entered in the Project Information field, for federal funds and local match?
☐ Does the rolling stock (vehicle) line item contain accurate information such as description and fuel type?
☐ Details: Has descriptive information been added for each ALI, identifying the items being funded within the line item?
☐ If the grant contains funding to tribal governments, has the "non-add scope" been entered?
✓ Part V – Project Milestones
☐ Are milestones listed for each ALI? If an ALI does not have milestones, have they been added?
☐ Estimated completion dates entered?
✓ Part VI – Environmental Findings (NEPA)
☐ Environmental finding entered for each ALI?

Program information: This section is a confirmation that the project is included in a current TIP by noting the TIP page(s) on which the project is listed. The date of the most recent FTA-FHWA TIP approval is entered along with the approval date of the UPWP (if applicable).

Budget: The project budget is described using alternative line items (ALIs). All sources of project funds are identified and confirmed. The project activities are entered. All rolling stock procurements are identified and include vehicle descriptions and fuel types. Fleet expansion requests are entered with justification text. *For tribal transit funds, such as Section 5311, the applicant must enter "non-add scope 992-00" and the amount of funding allocated to each tribe.* Assis-

tance with this line item in the TEAM system may be obtained from the FTA Regional Office, which should have advance notice of the Tribal 5311 request and any fund transfers.

Project milestones: This section covers the estimated completion dates for important stages of the project. If milestones are not automatically pre-populated by FTA's software, the add function can be used to insert them.

Environmental findings: The NEPA classification of the project is recorded with supporting documentation.

Fleet status: *Fleet status information typically is not required for Section 5311 grant applications.* For most other grants, however, an accounting of fleet assets is entered.

Grant approval: Once FTA determines the application is compliant and the TEAM data entries are approved, the grant is awarded and the grant funds are obligated. Typically a Master Agreement document is prepared by FTA and signed by the applicant.

Implementation: FTA Purchasing Rules

FTA produces the *Best Practices Procurement Manual* to assist transit agencies in following federally mandated approaches to purchasing. The manual discusses every aspect of the project, from solicitation of bids and contract administration through close-out. Of special note is Chapter 8 of the manual, which discusses contract clauses. Depending on the type of services being rendered, only some of these clauses may be required in the request for proposals (RFP). Appendix A of the *Best Practices Procurement Manual* provides a clause-by-clause discussion of the applicability of each of the 31 clauses.

This section of the guidebook presents information about some of the most commonly applicable contract clauses.

Buy America: This clause applies to the acquisition of goods or rolling stock for the grantee and subcontractors. The clause says that federal funds may not be obligated unless steel, iron, and manufactured products used in FTA-funded projects are produced in the United States, unless a waiver has been granted. Appropriate Buy America certification must be submitted with all bids for FTA-funded contracts.

Charter bus requirements: Organizations receiving FTA assistance are prohibited from providing charter service using federally funded equipment or facilities if an existing charter service is willing and able to provide these services. If charter service is provided under one of the exceptions, it must not interfere with or detract from the provision of mass transportation.

School bus requirements: Organizations receiving FTA assistance may not engage in school bus operations exclusively for the transportation of students and school personnel in competition with private school bus operators.

Clean water requirements: All contractors must comply with applicable standards and regulations pursuant to the Federal Water Pollution Control Act. The contractor must also agree to include these requirements in each subcontract exceeding $100,000 financed in whole or in part with FTA assistance.

Clean air requirements: All contractors must comply with applicable standards and regulations pursuant to the Clean Air Act. The contractor also must agree to include these requirements in each subcontract exceeding $100,000 financed in whole or in part with FTA assistance.

Civil rights: The contractor must agree not to discriminate against any employee or applicant for employment because of race, color, creed, national origin, sex, age, or disability.

Disadvantaged business enterprises (DBEs): The DBE program applies to all DOT-assisted contracting activities. Each agency should have a DBE goal for participation. A formal clause

must be included in all contracts above the micro-purchase level. Please note that some states have different DBE goals or processes. According to the *Federal Register,* DOT issued a number of changes to its DBE regulations (Fed. Reg. Vol. 76, No. 19, Jan. 28, 2011). Among those changes, DOT amended its regulation to make it easier for DBEs certified in one state to have their certification adopted by other states. As of January 1, 2012, states are required to comply with these certification amendments.

In tribal transit, DBE comes up primarily when dealing with contracts on construction of a facility or other capital improvements.

Drug and alcohol testing: The drug and alcohol testing clause must be present in all operational service contracts. All subcontractors must adhere to guidelines established by FTA for drug and alcohol testing. The actual testing and monitoring of these rules can be done in numerous ways, depending on the most appropriate means between the agency and subcontractor. Appendix A of the *Best Practices Procurement Manual* outlines three ways in which this goal may be accomplished.

The entire *Best Practices Procurement Manual* may be accessed in various media at the following online address: http://www.fta.dot.gov/funding/thirdpartyprocurement/grants_financing_6037.html.

FTA Reporting

Once the grant is awarded and the Master Agreement has been signed, the tribal government commits to reporting requirements, most of which are performed using the TEAM system. FTA requires this reporting to determine whether

- the purpose of the grant is being achieved;
- the project is progressing on time and within budget;
- the grantee is demonstrating competence and control in executing the project;
- the project meets all program requirements; and
- there is a problem which may require FTA resources to resolve.

Reporting requirements for state-administered FTA funding programs are similar, but the specific requirements are established by each state. This section of the guidebook describes the grant reporting requirements, which are also summarized in Table 8.8.

Financial status reports: The Financial Status Report (FSR) submitted in TEAM must be prepared using the accrual basis of accounting; that is, income is recorded when earned instead of when received and expenses are recorded when incurred instead of when paid. The FSR must contain all project financial data and activity (e.g., expenditures and obligations) for the reporting period. Supporting documentation should be maintained by the grantee.

Milestone progress reports: The Milestone Progress Report (MPR) is a narrative entered electronically in TEAM. It collects information about the following items:

- Status of each open ALI
- Description of project status including problems encountered in implementation
- Discussion of any budget or schedule changes
- Dates of expected or actual requests for bid or delivery of service
- Completion dates for completed milestones
- Any revised estimated milestone completion dates when original dates are not met
- Explanation of why milestone completion dates were not met, narrative describing how the problems will be solved, and discussion of the expected impacts from the delays
- Analysis of significant project cost variances
- Acceptance of equipment and construction with a breakout of the costs incurred and the costs required to complete the project

Table 8.8. FTA compliance requirements: grant reporting.

	Report	Description	Frequency	Grant Type
1.	Financial Status Report (FSR)	Project financial data prepared on the accrual basis of accounting	Quarterly	Urbanized Area Grant > 200,000
			Annual	Non-Urbanized Grant < 200,000
2.	Milestone Progress Report (MPR)	Narrative on status of every aspect of the project	Quarterly	Urbanized Area Grant > 200,000
			Annual	Non-Urbanized Grant < 200,000
3.	Transit Enhancements Report	Summary of enhancement projects from the previous fiscal year	Annual - 4th Quarter MPR	Section 5307
4.	Civil Rights Reports			
	EEO Report	Equal opportunity compliance activities	Triennial	Grantees with 50+ employees and $1M+ FTA funding
	Title VI Report	Anti-discrimination and environmental justice activities	Triennial	All
	DBE Report	Disadvantaged business contracting activities	Triennial	Grantees awarding prime contracts = $250,000+
5.	National Transit Database (NTD) Report	Operational and financial characteristics of transit project	Annual	All
6.	Significant Events Report	Unforeseen events that impact the project	As necessary	All
7.	Electronic Clearing House Operation System (ECHO-Web)	Way to process reimbursement requests	As needed	All

- A list of outstanding claims exceeding $100,000 and all claims settled during the reporting period, along with a description of estimated costs and reasons for the claims
- A list of potential and executed change orders, with description on amounts exceeding $100,000
- A list of claims or litigation involving third-party contracts that
  - have a value exceeding $100,000;
  - involve a controversial matter, regardless of amount; or
  - involve a highly publicized matter, regardless of amount
- A list of real property acquisitions, including just compensation, property(s) under litigation, administrative settlements, and condemnation for each parcel during the reporting period

Report due dates: Grantees in urbanized areas with more than 200,000 in population submit the FSR and MPR quarterly. Grantees in urbanized areas with fewer than 200,000 in population submit annually. All Section 5309 grantees, regardless of location and population area, must submit quarterly reports when grants involve construction.

Transit enhancement reports: Transit enhancement reports must be submitted by grantees receiving Urbanized Area Formula Program (Section 5307) funds. A report listing the projects performed during the previous fiscal year and the amounts expended is required in the fourth-quarter MPR.

Civil rights reports: Grantees must report, on a triennial basis, their compliance with

- Circular 4702.1, Title VI and Title VI Dependent Guidelines for FTA Recipients;
- FTA EEO Circular; and
- FTA DBE regulations.

It should be noted that EEO reporting requirements apply to grantees with 50 or more employees and receiving $1 million or more of FTA assistance, and that DBE goal-setting requirements apply to grantees awarding prime contracts (excluding vehicle purchases) exceeding $250,000 in FTA funds in any given year. If applicable, DBE goals must be submitted to the FTA Regional Civil Rights Office annually.

Reports of significant events: Unforeseen events that have an impact on the schedule, cost, capacity, usefulness, or purpose of the project must be reported immediately. Such events include

- problems, delays, or adverse conditions affecting the grantee's ability to achieve project objectives within the scheduled time period or within the approved project budget, or
- favorable developments that will enable the grantee to achieve project goals and complete project activities ahead of schedule or at lower cost.

When unforeseen events with a negative impact are reported, the report should discuss actions taken or contemplated, and any federal assistance needed, to resolve the situation.

National Transit Database reporting: FTA grant recipients must enter their transit operating and financial data annually to the National Transit Database (NTD). The NTD was established by Congress as the primary source for information and statistics on the transit systems of the United States. This reporting requirement is described at http://www.ntdprogram.gov/. Tribal transit systems receiving Section 5311 funds through the state must report to the state for the rural NTD report. Tribes which are direct recipients of funds from FTA must report directly to the NTD.

Electronic Clearing House Operation System (ECHO-Web). ECHO-Web is an FTA computer-based system used by FTA grantees to process reimbursement requests. It allows FTA to electronically make payments to its grantees' bank accounts. Questions about the ECHO-Web can be directed to the Transportation Program Specialist from your FTA Regional Office.

A summary of grant reporting requirements appears in Table 8.8.

Grant Close-Out

Grant close-out signifies that all project activities have ended and the federal funds have been expended. This section summarizes the responsibilities of the grantee and FTA in the close-out process.

Grantee responsibilities: Close-out documentation must be submitted within 90 days of the completion of grant activities. The grantee must notify FTA by letter or e-mail that the grant is ready for close-out. The grantee must enter the following information into TEAM:

- A final budget reflecting actual project costs by scope and activity and a final FSR
- A final MPR with description and completion date for each ALI and a list of project property purchased under the grant
- A request to de-obligate any unexpended balance of federal funds
- Any other reports required in the terms and conditions of the grant

Project records must be retained, generally for 3 years. The starting date for record retention is the date of submission of the final FSR. The record retention period for equipment begins when

the equipment is disposed, replaced, or transferred. In some cases, grantees must report income after a grant is closed. Here the retention period starts from the end of the fiscal year in which the income is earned. If any litigation, claim, negotiation, audit, or other action involving the project records occurs before the expiration of the 3-year retention period, they must be retained an additional 3 years after completion of the action.

FTA responsibilities: FTA may unilaterally initiate grant close-out at any time. Circumstances for close-out include the following:

- Grantee failure to comply with the terms or conditions of the grant agreement or other federal requirements
- Project continuation would not produce results commensurate with further expenditure of funds
- Funds are no longer needed to accomplish the grant purpose
- Failure by the grantee to make reasonable progress to complete the grant activities
- Determination that the project has been essentially completed or that approved funds have been substantially drawn down

Any adjustments to the federal share of cost are made after FTA receives and reviews the close-out information. Adjustments may continue after the required OMB *Circular A–133* project audit is performed.

Tribal Transit Program Master Agreement

The compliance requirements described in the previous section apply to all FTA grant recipients. For the one FTA grant program designated for tribal governments—the Tribal Transit Program, Section 5311(c)—compliance and reporting are essentially the same. There are no material differences except that tribes must sign the FTA Tribal Transit Program Master Agreement (TTP Master Agreement). Selected provisions from this agreement are excerpted and reproduced below. Ellipses indicate breaks in the excerpted copy. The full version of the agreement is available at http://www.fta.dot.gov/documents/2011-TTP-Master_Agreement.doc.

Excerpts from the FTA Tribal Transit Program Master Agreement

Section 1: Definitions

This section of the TTP Master Agreement provides definitions such as the following:

> (j) Grant Agreement, for purposes of the Tribal Transit Program, means the instrument by which FTA awards federal assistance to a specific Indian Tribe to support a particular project in which FTA does not take an active role or retain substantial control. The Grant Agreement consists of the FTA Award establishing the specific parameters of the Tribal Transit Project, an execution statement signed by the Indian Tribe, and may include additional Special Conditions, Special Requirements, or Special Provisions.
>
> (k) Indian Tribe, as used in this Tribal Transit Program Master Agreement, means a federally recognized Indian Tribe that receives Tribal Transit Program assistance authorized by 49 U.S.C. § 5311(c)(1) directly from FTA to support its Tribal Transit Project. As used in this Tribal Transit Program Master Agreement, "Indian Tribe" means a Grantee or Recipient of Tribal Transit Program assistance.

Section 2: Project Implementation

This section of the TTP Master Agreement advises that tribal laws may conflict with federal laws and vice versa. The section also explains tribal government responsibilities when subcontracting all or a portion of its transit services to subrecipients or third-party providers.

c. Application of Federal, State and Local Laws, Regulations, and Directives

(2) State, Territorial, and Local Law. Should a federal law preempt the Indian Tribe's laws, regulations, or ordinances, the Indian Tribe must comply with the federal law and implement federal regulations. No provision of the Grant Agreement for the Tribal Transit Project or this Tribal Transit Program Master Agreement, however, requires the Indian Tribe to observe or enforce compliance with any provision, perform any other act, or do any other thing in contravention of its tribal laws, regulations or ordinances, or an applicable state, territorial, or local law, regulation, or ordinance. If compliance with any provision of Grant Agreement for the Tribal Transit Project or this Tribal Transit Program Master Agreement would require the Indian Tribe to violate its tribal laws, regulations or ordinances, or any applicable state, territorial, or local law, regulation, or ordinance, the Indian Tribe agrees to notify FTA immediately in writing. Should this occur, FTA and the Indian Tribe agree that they will make appropriate arrangements to proceed with or, if necessary, terminate the Tribal Transit Project expeditiously.

. . .

e. The Indian Tribe's Responsibility to Extend Federal Requirements to Other Entities

(1) Entities Affected. Only entities that are signatories to the Grant Agreement for the Tribal Transit Project are parties to that Grant Agreement. To achieve compliance with certain federal laws, regulations, or directives, however, other entities participating in the Tribal Transit Project, (such as a subrecipient, lessee, third-party contractor, or other participant at any tier of the project) will necessarily be affected. Accordingly, the Indian Tribe agrees to take the appropriate measures necessary to ensure that all project participants comply with applicable federal laws and regulations, and follow federal directives affecting project implementation, except to the extent FTA determines otherwise in writing. In addition, if another entity is expected to fulfill responsibilities typically performed by the Indian Tribe, the Indian Tribe agrees to assure that the entity carries out the Indian Tribe's responsibilities as set forth in the Grant Agreement for the Tribal Transit Project or this Tribal Transit Program Master Agreement.

Section 8: Reporting, Record Retention, and Access

This section of the TTP Master Agreement advises compensation of the executive officers of the tribe and its subrecipients under certain conditions.

(2) Reporting Sub-awards and Executive Compensation

(b) Reporting Total Compensation of Indian Tribe Executives.

1 Applicability and what to report. The Indian Tribe agrees to report total compensation for each of its five most highly compensated executives for the preceding completed fiscal year, if—

a The total federal funding authorized to date under this award is $25,000 or more;

b In the preceding fiscal year, the Indian Tribe received—

i. 80 percent or more of the Indian Tribe's annual gross revenues from federal procurement contracts (and subcontracts) and federal financial assistance . . . ; and

ii. $25,000,000 or more in annual gross revenues from federal procurement contracts (and subcontracts) and federal financial assistance . . .

2 Where and when to report. The Indian Tribe agrees to report executive total compensation . . .

a As part of the Indian Tribe's registration profile at http://www. ccr.gov.

b By the end of the month following the month in which this award is made, and annually thereafter . . .

. . .

(d) Exemptions. If, in the previous tax year, any Indian Tribe had gross income, from all sources, under $300,000, that Indian Tribe is exempt from the requirements to report:

1 Sub-awards, and

2 The total compensation of the five most highly compensated executives of any subrecipient.

Section 13: Planning and Private Enterprise

This section of the TTP Master Agreement requires coordination of the tribal project with other transportation and social service programs.

> (1) General. The Indian Tribe agrees that its Tribal Transit Project will be consistent with documents, including a formal plan, if any, provided to FTA in support of the development and basis of the Tribal Transit Project. In addition, the Indian Tribe agrees that the Tribal Transit Project is or will be coordinated with transportation service assisted by other federal sources to the maximum extent feasible.
>
> (2) Governmental and Private Nonprofit Providers of Non-emergency Transportation. In addition to providing opportunities to participate in planning, to the extent feasible the Indian Tribe agrees to comply with the provisions of 49 U.S.C. § 5323(k), which afford governmental agencies and nonprofit organizations that receive federal assistance for non-emergency transportation from federal government sources (other than U.S. DOT) an opportunity to be included in the design, coordination, and planning of transportation services.

FTA Master Agreement

The FTA Master Agreement is a comprehensive agreement that summarizes the statutory and regulatory requirements that apply to each FTA-funded project. The full version of the agreement is available at http://www.fta.dot.gov/documents/15-Master.pdf.

Excerpts from the FTA Master Agreement

Section 1: Definitions

As for the TTP Master Agreement, this section of the FTA Master Agreement provides definitions, such as the following:

> (j) Grant Agreement means the instrument by which FTA awards federal assistance to a specific recipient to support a particular project in which FTA does not take an active role or retain substantial control. The Grant Agreement consists of the FTA Award establishing the specific parameters of the project, an execution statement signed by the recipient, and may include additional Special Conditions, Special Requirements, or Special Provisions.
>
> (k) Local Government includes a public transportation authority, as well as a county, municipality, city, town, township, special district, council of governments, public corporation, board, or commission established under the laws of a state (whether or not incorporated as a private nonprofit organization under state law), regional or interstate government entity, Indian tribal government, or any agency or instrumentality thereof.

Section 2: Project Implementation

This section of the FTA Master Agreement explains recipients' responsibilities to comply with the terms of their grant agreement for the project. Specific provisions include the following:

> c. Application of Federal, State, and Local Laws, Regulations, and Directives
>
> (2) State, Territorial, and Local Law. Should a federal law preempt a state, territorial, or local law, regulation, or ordinance, the recipient must comply with the federal law and implementing regulations. Nevertheless, no provision of the Grant Agreement or Cooperative Agreement for the Project, or this Master Agreement requires the recipient to observe or enforce compliance with any provision, perform any other act, or do any other thing in contravention of state, territorial, or local law, regulation, or ordinance. Thus, if compliance with any provision of the Grant Agreement or Cooperative Agreement for the Project, or this Master Agreement violates or would require the recipient to violate any state, territorial, or local law, regulation, or ordinance, the recipient agrees to notify FTA immediately in writing. Should this occur, FTA and the recipient agree that they will make appropriate arrangements to proceed with or, if necessary, terminate the Project expeditiously.

. . .

e. Recipient's Responsibility to Extend Federal Requirements to Other Entities

(1) Entities Affected. Only entities that are signatories to the Grant Agreement or Cooperative Agreement for the Project are parties to that Grant Agreement or Cooperative Agreement. To achieve compliance with certain federal laws and regulations, in accordance with applicable federal directives, however, other entities participating in the Project through their involvement with the recipient, (such as a subrecipient, lessee, third-party contractor, or other participant) will necessarily be affected. Accordingly, the recipient agrees to take appropriate measures necessary to ensure that all project participants comply with all applicable federal laws and regulations, and follow applicable federal directives affecting project implementation, except to the extent FTA determines otherwise in writing. In addition, if an entity other than the recipient is expected to fulfill any responsibilities typically performed by the recipient, the recipient agrees to assure that the entity carries out the recipient's responsibilities as set forth in the Grant Agreement or Cooperative Agreement for the Project or this Master Agreement.

Section 8: Reporting, Record Retention, and Access

This section of the document explains recipients' responsibilities to submit reports and other information in the format specified by FTA. During the course of the project and 3 years thereafter, the recipient should maintain this information.

a. Types of Reports. The recipient agrees to submit to FTA all reports required by federal laws and regulations, in accordance with federal directives, the Grant Agreement or Cooperative Agreement for the Project, this Master Agreement, and any other reports FTA may specify, except to the extent that FTA determines otherwise in writing.

Section 13: Planning and Private Enterprise

This section of the FTA Master Agreement requires coordination of the project with other federal planning projects, and coordination with other DOT and non-DOT transportation providers.

a. General. The recipient agrees to implement the project consistent with the plans developed in accordance with the following federal planning and private enterprise provisions:

(1) 49 U.S.C. 5303, 5304, 5306, and 5323(a)(1);

(2) Joint FHWA/FTA regulations, "Statewide Transportation Planning; Metropolitan Transportation Planning," 23 C.F.R. Part 450 and 49 C.F.R. Part 613 and any later amendments thereto, and

(3) FTA regulations, "Major Capital Investment Projects," 49 C.F.R. Part 611, to the extent that those regulations are consistent with the SAFETEA-LU amendments to the public transportation planning and private enterprise laws and, when promulgated, any later amendments to those regulations.

b. Governmental and Private Nonprofit Providers of Non-emergency Transportation. In addition to providing opportunities to participate in planning as described in Subsection 13.a of this Master Agreement, to the extent feasible the recipient agrees to comply with the provisions of 49 U.S.C. § 5323(k), which afford governmental agencies and nonprofit organizations that receive federal assistance for non-emergency transportation from federal government sources (other than U.S. DOT) an opportunity to be included in the design, coordination, and planning of transportation services.

State Program Reporting Requirements

Tribal governments may receive FTA transit grants directly from the federal government (as direct recipients) or they may request these grants through state governments (as subrecipients). In the latter situation, the state enters into a written agreement with each subrecipient. The agreement describes the terms and conditions of the project. As direct recipients, states generally comply with the requirements discussed in this guidebook's section on FTA compliance requirements. There are minor differences, such as the flexibility offered to states in their accounting methods, equipment management, and procurement practices. State responsibility

and requirements under Section 5311, Formula Grants for Other than Urbanized Areas, are discussed here.

State Management Plan

The state must prepare a State Management Plan (SMP) that describes the state policies and procedures for administering the Section 5311 program. The policies of the Section 5310, 5316, and 5317 programs typically are included in the same document. All states must have an approved SMP on file in the FTA Regional Office.

Financial Management

State financial management systems: States may account for grant funds under their current laws and procedures. The fiscal control and accounting procedures of the state and its subrecipients must be sufficient to

- permit preparation of reports as required in federal reporting, and
- permit the tracing of funds to a level of expenditures adequate to establish the funds have been used as intended.

State financial records: FTA does not maintain detailed financial records on individual projects. Financial records, supporting documentation, and all other records are retained by the designated state agency and its subrecipients. The financial records must be available for a period of 3 years from the date the state electronically submits its final FSR. The computation of the federal share and the required local match for each project must be documented.

Reporting Requirements

Annual program of projects status reports: The state must report annually on the status of each active grant. Civil rights compliance issues occurring during the year, such as Title VI, EEO, or DBE complaints against the state (or its subrecipients), are addressed in the report. The state also reports the accomplishments and issues for each subrecipient.

MPRs: The state submits annual MPRs for its projects and its subrecipient projects.

FSRs: The state submits annual financial reports for active grants.

DBE reports: If the state receives planning, capital, or operating assistance and awards prime contracts exceeding $250,000 in FTA funds during a fiscal year, the state must have a DBE program and goal. This requirement also applies to state subrecipients.

NTD Reports: The state is responsible for ensuring subrecipients comply with NTD reporting.

Grant Close-Out

States must initiate project close-out with its subrecipients within 90 days after project funds are expended and activities have ended. The states must similarly initiate close-out of programs within the required time period. This information is submitted electronically via TEAM.

Audit

States are responsible for ensuring that audits are performed consistent with the requirements of *OMB Circular A–133: Audits of States, Local Governments, and Non-Profit Organizations.* Audits of subrecipients are not required when assistance has been provided solely in the form of capital equipment procured directly by the state. In all other cases, the audit is required.

Real Property

Subrecipients may use state staff appraisers to prepare independent appraisals of real property, if and as required.

Construction Management and Oversight

FTA does not approve subrecipient design plans for construction projects. The responsibility for construction management and oversight lies with the state.

Equipment Management

Under the common grant rule, a state may use, manage, and dispose of equipment acquired under a Section 5311 grant in accordance with its procurement laws and procedures. Specifically:

Vehicle useful life and replacement standards: FTA does not apply to the state-administered Section 5311 program its policies regarding useful life standards for vehicles, vehicle replacement, or the requirement to use the straight-line depreciation method for determining fair market value and FTA reimbursement. Instead, FTA holds states responsible for establishing and implementing their own rolling stock requirements for all categories of vehicles acquired under the Section 5311, 5310, 5316, or 5317 programs. For these programs only, FTA permits states to

- establish their own minimum useful life standards for vehicles;
- use their own procedures for determining fair market value; and
- develop their own policies and procedures for maintenance and replacement of vehicles.

Disposition: States and their subrecipients follow state laws and procedures for disposing of equipment. States are not required to return to FTA proceeds from the disposition of equipment, regardless of the fair market value at the time the equipment is sold, but should follow their own procedures regarding the use of proceeds, so long as the proceeds remain in use for public transit purposes. This applies to all equipment purchased with Section 5311 funds.

Continuing Control and Responsibility

When capital equipment or facilities are acquired, built, or improved for use by any entity for a federally supported transportation service, there must be provisions for the continuing control of these assets. The state is ultimately responsible for compliance with this requirement.

When vehicles or other equipment acquired with Section 5311 funds are operated by an entity other than the subrecipient, control and responsibility for the operation of the vehicles or equipment must remain with the subrecipient unless the state authorizes transfer of the control and responsibility to another subrecipient.

Procurement

Although the federal threshold for small purchases is $100,000, the state may set a lower threshold for itself and its subrecipients. At minimum, state procurement practices must comply with five federal requirements, as follows:

1. For rolling stock, a 5-year limitation on the contract period of performance.
2. A requirement for full and open competition.
3. A prohibition against geographic preferences.
4. The use of Brooks Act procedures for procurement of architectural and engineering services if the state has not adopted a statute governing procurement of such services. (The Brooks Act requires that architects and engineers be selected using a process based on qualifications and not on price.)
5. Inclusion in contracts of clauses required by federal statutes and executive orders and their implementing regulations.

Subrecipients that are governmental authorities (such as local or tribal governments), private nonprofit organizations, and private for-profit organizations also must comply with these procurement rules. States are responsible for their compliance.

For More Information

Federal Transit Administration. Job Access and Reverse Commute Formula Program. http://www.fta.dot.gov/grants/13093_3550.html.

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FTA Circular 9050.1: The Job Access and Reverse Commute (JARC) Program Guidance and Application Instructions. http://www.fta.dot.gov/documents/FTA_C_9050.1_JARC.pdf.

FTA Circular 9045.1: New Freedom Program Guidance and Application Instructions. http://www.fta.dot.gov/documents/FTA_C_9045.1_New_Freedom.pdf.

Federal Transit Administration. Over-the-Road Bus Accessibility Program Grants. 75 Fed. Reg. 2583 (Jan. 15, 2010). http://edocket.access.gpo.gov/2010/pdf/2010-703.pdf.

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CHAPTER 9

Elements of Transit Program Implementation

Introduction

This chapter describes the typical steps necessary to implement a transit program, to make enhancements to an existing program, or to ensure sustainability of transit service.

Operations Plan

As part of the operations plan, the following elements need to be determined so that implementation can begin as soon as funding is secured:

- **Routes and schedules:** The types of service and route structures need to be determined and the preliminary schedules planned. The transit demand analysis and the community needs determined in previous tasks should make clear the type of transit service that would be most appropriate for the community. Chapter 7 presented details on the various types of transit services, ranging from fixed-route to demand-response service. A determination must be made about whether the service will be offered to the general public, as a specialized transportation service for seniors and people with disabilities, or for meeting specific purposes such as trips for education or medical appointments. If federal funds will be used for a fixed-route service, compliance with the Americans with Disabilities Act (ADA) requirement to provide complementary paratransit service within a ¾-mile radius of each fixed route is mandatory.

  The preliminary route schedules are estimates based on the distances each bus must travel and their respective speeds. As with planning any schedule, these routes should all be driven in an appropriate vehicle and modified as necessary before implementation. The schedule should take into account transfer connections between the tribal transit program and other transportation providers. *TCRP Report 30: Transit Scheduling: Basic and Advanced Manuals* and *TCRP Report 135: Controlling System Costs: Basic and Advanced Scheduling Manuals and Contemporary Issues in Transit Scheduling* provide detailed guidance for developing schedules.

  The operations plan should indicate the preferred route structure. The names given to the routes should suit the public. It is possible to add numbers to the routes for clarity.
- **Hours and days of operation:** The hours and days of operation need to be determined. Will this service operate from Monday through Friday? Will service be available on a reduced schedule on Saturdays or Sundays? Establishing the days and hours of operation helps in planning the financial budget for the next 5 years.
- **Operating characteristics:** Other operating characteristics that need to be determined include
  - frequency of service (the number of vehicles passing a point on a route within a given unit of time);

  - headways (intervals of time between vehicles running in the same direction on the same route);
  - fare structures for various types of service; and
  - discounts (including whether to offer discounts for tribal members, seniors, or people with disabilities; discounts for monthly passes and ride passes; and the value of each type of discount).

  The conversion to the final system could be phased to allow users to become familiar with the new transit system and the increase in costs if applicable.
- **Vehicle types and assignments:** Vehicles are essential and therefore must be included in the operations plan. The operations plan needs to include the type and number of vehicles to be used based on the type of services and vehicle assignments. With this information, the tribal transit program will be able to estimate the cost of vehicles for 5 years. The plan should assume that several of the vehicles will require replacement in the upcoming years. The operations plan should also detail the vehicle replacement purchases over the next 5 years, so that local match and funding can be planned.
- **Driver schedules:** Once the operating schedule is decided, the driver schedule needs to be incorporated into the operations plan. Doing this helps determine the number of drivers that need to be hired and whether substitute or backup drivers need to be hired.

Organization and Administration

As part of the Transit Program Implementation Plan, a detailed plan should be developed covering organization and administration. This plan should include the following elements:

- Staffing
- Policies
- Job descriptions

Staffing

From the study of currently operational tribal transit systems, transit staffs ranged from a couple of individuals wearing all hats to a full staff with separate positions for administration, dispatching and scheduling, driving, grant writing, planning, and financial operations. A common issue identified by several tribes was the inability to find qualified individuals to perform some of the tasks needed to operate a transit system (from drivers to planning to administration) in a rural area with a limited labor force and limited access to other professional resources.

In general, depending on the size of the tribal community and the needs of the community, the tribal transit program may include the following positions:

- Transportation manager
- Transportation director or finance/grants director
- Transportation program assistant
- Secretary/dispatcher
- Bus driver
- Mechanic

Duties associated with the above positions frequently are combined based on the system's requirements and budgetary constraints. Marketing of the transit service was commonly noted as neglected by the surveyed tribes. Marketing tasks generally fall to the transportation director or are handled as a group effort by the transit staff.

Duties associated with each position are discussed in the following sections.

Job Descriptions

Job descriptions are important for the implementation of a transit service because they distribute the workload and clarify responsibilities. Job descriptions should be as detailed as possible. As general guidelines for the staffing options listed above, the following broad job descriptions can provide a starting point:

- **Transportation manager:** Responsible for the day-to-day operation and oversight of the transit service.
- **Transportation director:** Oversees all phases of transportation including fiscal management, operations, maintenance, personnel, and public relations. Works on transportation coordination with other agencies as needed and as opportunity arises. Essential duties include fiscal responsibility for all transportation, responsibility for reporting requirements, responsibility for design and implementation of promotional and marketing campaigns, and planning and grantsmanship.
- **Transportation program assistant:** Maintains daily and monthly cost disbursement journal. Generates daily logs used for monthly, quarterly, and annual reporting. Produces reports tracking mileage and revenue by trip. Handles billing for vehicle maintenance. Counts fare revenue. Provides backup for dispatcher when necessary.
- **Secretary/dispatcher:** Takes calls for trip requests by telephone. Communicates with drivers via radio or other communication equipment. Assists in collection of revenue, log sheets, receipts from drivers, and so forth. Maintains data on ridership. Assists in completing required state and local reporting, and assists in scheduling rides to maximize system efficiency.
- **Bus driver:** Drives bus on selected routes or van to handle scheduled trips. Collects fares and tickets and turns them in to secretary/dispatcher along with daily trip sheets. Essential duties include regular maintenance checks of transportation equipment, record-keeping of fuel and mileage for vehicles, assisting passengers boarding and leaving the bus (as necessary), and providing program assistant with all information needed to maintain accurate records.
- **Mechanic:** Responsible for all phases of repairs to keep vehicles in safe operating condition. Responsible for record-keeping on each vehicle. Essential duties include preventive maintenance programs, regular maintenance checks of transportation equipment, record-keeping of fuel, mileage, fuel costs, etc.

Policies

A written service policy is important to the smooth operation of a transit system. Policies should use clear, simple language and establish the parameters of the service area and which procedures should be followed in a variety of situations. The following elements should be included in a transit service policy document, depending on the type of service being provided:

- **Description of service:** Type of service in language appropriate for the general public.
- **Service area:** Map of area served (including points beyond the tribal lands to which service, even if infrequent, is provided).
- **Days and hours of service:** Including holidays, office hours, where to call for information on inclement weather or emergency situations, service hours (including earliest possible pick-up and latest possible drop-off, if appropriate), and a statement about how extenuating circumstances are handled.
- **Reservations, scheduling, and cancellations:** Policy regarding being ready for pick-up (e.g., if the passenger must be ready for pick-up a certain amount of time prior to the scheduled pick-up time), minimum call-in time (i.e., how much advance notice must be given for a scheduled pick-up), whether or not dispatchers will call agencies or doctors to confirm appointments, description of how service is handled on holidays, a statement about how the transit system tries to meet as many needs as possible in a cost-efficient fashion, the standard wait time,

when a passenger will be considered late and the driver will move on, a call-in phone number, detailed instructions for how to call and reserve or cancel a trip, and a policy on no-shows.

- **Fares:** Detailed breakdown of the system's fare structure including special considerations for different types of passengers and eligibility requirements.
- **Passenger assistance:** Details about the level of assistance the transit system provides to passengers with disabilities in compliance with the ADA. This includes the drivers' ability to enter passengers' homes or otherwise pass beyond the threshold when providing door-to-door service; policy on escorts or attendants, particularly as this applies to passengers with disabilities; transportation of unaccompanied children; transportation of packages or other personal items; accommodation of mobility aids; and a policy on when standees are allowed.
- **Passenger conduct and responsibilities:** Details about when service can be denied. Passenger conduct expectations should be clearly stated, including the expectation of passenger courtesy and consideration of others, driver authority, seatbelt use, types of inappropriate on-vehicle behavior (potentially including eating, drinking, using tobacco products, foul language, lack of personal hygiene, bothering other passengers, horseplay, fighting, carrying weapons, possessing illegal drugs, having open containers of alcohol on the vehicle, and so forth), compliance with the fare policy, securing of items and belongings, and finally, the transit system's right to refuse service based on violation of these standards.
- **Passenger comment and complaint procedures:** A statement of the transit system's commitment to respond to passenger perceptions and complaints; explanation of the comment card policy; phone number, address, or e-mail for complaints and commendations; explanation of how input is handled; and time-frame during which a response should be expected.
- **Transit system responsibilities:** Explanation of transit system's mission, including providing clean, on-time, reliable, safe, and efficient service and abiding by the service policies listed in the document, but not responsibility for passengers' belongings. Other statements should address the transit service insurance coverage (meeting or exceeding legal requirements); abiding by applicable federal, state, and local regulations; maintaining an alcohol- and drug-free workplace; and the transit system's commitment to keeping vehicles in safe working order.
- **Safety:** Required licenses and training for drivers and staff; seating, seatbelt, and wheelchair-securing requirements while vehicle is in motion; wheelchair tie-downs, safety restraints, and child restraint systems; secure locations for belongings and service animals; onboard safety equipment, inspection schedule, and the safe operation of vehicles.
- **Emergency procedures:** Policies regarding inclement weather and emergency closings; accident/on-vehicle emergency procedures for drivers and passengers; and the transit system's role in the community's disaster preparedness plan.
- **Non-discrimination:** Part of civil rights assurance requirements. The operations plan should ensure that service is provided in a manner that does not discriminate based on race, color, or national origin.
- **Closing statement:** A reiteration of the transit system's mission statement, with contact information (address, phone number, and e-mail address) for comments and further information.

Monitoring and Reporting

This section outlines the monitoring program for a tribal transit service. A monitoring program is essential to determine the efficiency and effectiveness of the service being provided. Without specific measures, success is difficult to measure from year to year. Monthly reports, including information on productivity measures, should be prepared by the tribal transit program and presented to the Tribal Council and the stakeholders. In addition, a rider survey should be conducted every other year.

Many grant programs may require monitoring and reporting as described in Chapter 8. Although reporting to funding agencies is obviously important, monitoring is even more important for good management.

Productivity measures should indicate the number of passengers per revenue-hour and passengers per revenue-mile by service area. The actual productivity should be compared with system standards.

Monitoring Program

Monitoring of service should be a daily function. Data collection is essential to evaluate the service performance and to determine if changes should be made in the service delivery. Data to be collected fall into three basic categories: ridership, on-time performance, and financial.

Ridership

To monitor productivity, it is essential that passenger ridership data be collected on an ongoing basis. The simplest approach for collecting ridership data is to equip each bus with manual counting devices that allow the drivers to register each passenger who boards by the appropriate fare category. The ridership data should be collected by route and not by bus, so that each route can be compared to the whole system. When a bus moves from route to route, the count should return to zero. Hence, runs should also be counted individually. This allows the tribal transit program to track the service demand not only by route, but also by hours (peak and off-peak hours) and miles.

The performance measurement data should be entered into a spreadsheet or database for analysis and presentation to the Tribal Council and stakeholders. The data help the tribal transit program establish ridership patterns and characteristics. As ridership data are collected and appropriate changes are incorporated into the transit service plan, better methods may be developed to project ridership trends based on transit service alternatives. Tracking and reporting of miles traveled in addition to ridership is important because of the long travel distances for many tribal transit services.

Cost information also should be reported monthly by the tribal transit program to the Tribal Council and stakeholders. Such information includes the cost per passenger, cost per revenue-mile, ridership, and average fare. These data should be collected and tracked based on each route of the transit system. The monthly reports on costs should be prepared in a spreadsheet or database format for the continuing analysis of data and trends. The tribal transit program and stakeholders can use them to determine the appropriate policy direction and recommend funding decisions to the Tribal Council.

An onboard passenger survey should be conducted periodically. It is recommended that a survey be conducted 6 months after service changes have been implemented. Following that, passenger surveys should be conducted at least every 2 years. Survey instruments with questions appropriate for the tribal transit program should collect information about passenger demographics, trip characteristics, and perceptions of the transit service.

On-Time Performance

With any transit system, it is important to monitor on-time performance. An on-time performance goal should be established. For instance, an attainable on-time goal of 95 percent for the service may be considered for system changes. Minor adjustments to routes may be needed to ensure that schedules and headway adherence can be maintained.

To record on-time performance, drivers should report actual arrival and departure times at designated bus stops along the routes and at major stops. It should be emphasized that drivers

should not leave prior to a scheduled stop time to make up time along a route. Leaving early could cause riders to miss a bus. This effort should continue for the first 3 months of service. After that, on-time data should be checked randomly to ensure that performance remains acceptable.

Financial Data

The tribal transit program should carefully track financial data. Accounts should be kept so that separate costs can be tracked for each route. Financial data are required to evaluate performance measures such as the operating cost per hour of service and the cost per passenger-trip. A more detailed operating budget should be prepared that separates administrative costs by type of service, such as fixed-route and paratransit services.

Database Formats and Reports

Several options are available for storing data. The recommended approach is to set up databases in a computer program like Microsoft® Access or Excel to record passenger data. Separate databases should be set up for routine passenger data and for the boarding and alighting counts.

Similarly, onboard survey data can be entered into a database program like Access or a spreadsheet program like Excel.

Tribal transit staff should provide monthly performance reports, not just quarterly. The report should include performance data for the current month, the same month in the previous year, year-to-date performance, and the prior year-to-date performance. Information that should be reported includes the following items:

- Passenger boardings by route
- Passengers per revenue-hour by route
- Total passengers by fare category
- Total passengers
- System passengers per revenue-hour

Financial information should be reported, including the operating cost and the cost per passenger. The average fare should be calculated and reported based on operating costs and passenger counts.

Quarterly reports should be considered for providing recent trends and interim performance data to the Tribal Council and the stakeholders. Additionally, an annual report should be compiled and presented. The information for these reports can be easily generated from the databases and the accounting system.

Performance Measures

Transit performance measures serve as a guide to find out how a transit system performs. Performance measures define the types of data to be collected and give the tools necessary to identify transit system deficiencies and opportunities.

It is worth noting criteria for the selection of performance measures. An effective performance measure will

- be measurable;
- have a clear and intuitive meaning so that it is understandable to those who will use it and to non-transportation professionals;
- be acceptable and useful to transportation professionals;
- be comparable across time and between geographical areas;

- have a strong functional relationship to actual system operations so that when changes occur in system operations, changes in performance (and to the performance measure, if needed) can readily be determined;
- provide the most cost-effective means of data collection;
- be based on statistically sound measurement techniques where appropriate; and
- be consistent with measures identified for other systems.

Performance measures should include the following categories:

- ***Passengers per hour:*** Number of total monthly and annual passengers divided by the corresponding revenue-hours.
- ***Passengers per mile:*** Number of total annual passengers divided by the annual revenue-miles.
- ***Cost per trip:*** Total expenses divided by total annual one-way trips.
- ***Passenger-miles:*** Passenger-miles are one of the most difficult performance measures to calculate. Multiplying total system-miles by one-way passenger-trips does not give a good measure of passenger-miles. This involves very detailed data collection to get average passenger-miles per route. One way is to take an average trip length multiplied by systemwide miles or sample passenger activity.
- ***Vehicle-miles by service area:*** This performance measure can provide an effective assessment of the level of service being provided. The service area must be realistically identified, however. As an example, a tribal transit program may say it serves the entire reservation, but in fact, much of the reservation is very rural and does not receive service.
- ***Service (road calls):*** Vehicle breakdowns are inevitable. This performance measure indicates the distance traveled between mechanical breakdowns. Although frequent occurrences can create disruptions in a transit system, it is important to track the frequency and type of mechanical failures of each vehicle in addition to monitoring a fleet's age. Monitoring of vehicle breakdowns is one method of reducing system disruptions and may allow an agency to improve monitoring of vehicle replacement schedules and preventive maintenance practices. Data collected should include date, time of day, type of failure, age of vehicle, vehicle number, vehicle mileage, and how the situation was rectified. Monitoring of these items will allow an agency to recognize repeated types of mechanical breakdowns and breakdowns related to vehicle type, age, or mileage, and assist with preventive maintenance programs. Wheelchair lift failures also should be monitored. Data should be included in the monthly report.
- ***Accidents per 1,000 miles:*** This is a measure of driver safety. Accidents must be defined as a standard.
- ***Average age of fleet:*** This measure provides a good single indicator of vehicle replacement needs, although individual vehicle inventories, ages, and mileage also should be tracked.
- ***Cost per revenue-hour:*** An excellent indicator of efficiency is cost per revenue-hour of service. Costs per hour should be analyzed by route and compared to overall system averages.

Provide Comment Cards and Boxes

To receive public input on how the transit service is working for passengers, the tribal transit program should provide comment cards and boxes on each transit vehicle so that the passengers have an opportunity to provide input regarding the transit system.

Planning for Hazards and Safety

The requirements for a Hazards and Security Plan and for a Maintenance and Safety Plan have been described in detail in Chapter 7. Before starting transit service operations, these plans should be in place to ensure adequate maintenance of vehicles, equipment, and facilities and protection of transit assets and personnel.

Marketing Plan

Marketing Is More than Advertising

Having been deluged with advertisements all their lives, most people recognize an advertisement when they see one. Almost as many people believe they are equally cognizant of marketing, but when pressed for a definition, provide one that is remarkably similar to that of advertising. Missing from their definitions is the comprehensiveness of marketing, that marketing functions include or influence just about every aspect of a transit system from the way the telephone is answered to the color of the vehicles. Marketing is more than selling. A broader view of marketing includes the following elements, excerpted from *Strategic Marketing for Nonprofit Organizations,* 5th ed.:

". . . [M]arketing is designated as a means to achieve the organization's goal. It is a tool—really a process and a set of tools wrapped in a philosophy—for helping the organization do what it wants to do. Using marketing and being customer oriented should never be thought of as goals; they are ways to achieve goals."

—Kotler and Andreasen, *Strategic Marketing for Nonprofit Organizations*

1. Marketing is a set of activities designed to influence behavior.

   The essence of marketing is behavior change. Ideas and thoughts may come first, but the desired outcome is action.
2. Behavior by a target consumer is carried out at the end of an exchange process.

   Passengers exchange their time (waiting for the bus, extra time on the bus, organizing their day around the bus schedule), effort (finding out where and when the bus stops for them), and money (fares) for safe, predictable, easy-to-use, priced-right transportation that is sometimes fun.
3. An exchange will result in a transaction whenever the target consumer perceives the benefits of the action exceed the costs or sacrifices the behavior entails and the ratio of benefits to costs is better than that achieved by "spending" the costs in any other conceivable way.

   The passenger has made a calculation of trade-offs and has decided that riding the bus is in his or her own best interest. Marketing should focus on maximizing perceived benefits and minimizing perceived costs.
4. Behavior by the target consumer yields benefits to the marketer (which was the reason for marketing in the first place), while most of the benefits the consumer receives will involve costs for the marketer.

   These tend to be reciprocal, with benefits the passenger derives from riding the bus involving costs to the service, and the costs the passenger pays are benefits to the bus system.
5. Transactions can also be affected by interpersonal influence and by perceptions of outcome efficacy and self-efficacy.

   Word of mouth is an effective low-cost, high-impact marketing tool. Perceptions of outcome efficacy refers to the fact that people are unlikely to do some activity if they do not believe that the behavior will achieve the desired outcomes and that they can actually carry out the behavior (self-efficacy). Word of mouth usually outweighs outcome efficacy and self-efficacy.
6. The outcome of an exchange may be of fixed duration or continuing.

   One bus ride is of fixed duration, but a habitual bus rider is a continuing exchange. Marketing should not stop when the target market becomes riders, but must continue to reinforce and encourage use of the bus service.
7. There may be two or more parties, one or both of whom may be carrying on marketing. Marketing efforts can be aided by:
   a. Family members, neighbors, and friends.
   b. A social service agency.
   c. The corner store who displays your schedules.
   d. The local chapter of an environmental organization that urges people to ride the bus and save the environment (Kotler and Andreasen, pp. 110–113).

Marketing Mix

"Marketing management is the process of planning and executing programs designed to create, build, and maintain beneficial exchange relationships with target audiences for the purposes of satisfying individual and organizational objectives."

—Kotler and Andreasen, *Strategic Marketing for Nonprofit Organizations*

This portion of marketing is what most people believe marketing is all about. The marketing mix is often described in terms of the "Four Ps" of marketing. Many experts add a fifth "P"—people. Together, the Five Ps are product, price, placement, promotion, and people.

1. **Product:** In the case of transit, this refers to the services being offered: dial-a-ride, downtown shopping shuttles, scheduled service to the local college, special tourist trolleys, sheltered workshop service.
2. **Price:** At first glance, this seems to be about how much it costs to ride the bus in terms of fares. Pricing of this sort usually is a governmental decision not directly in the control of transit managers, who can support fare structures with information on the costs of other forms of transportation, how much the target markets are willing to pay, operating expenses, and available and projected revenue.

   Price also can be about how much it costs passengers to ride the bus in terms of effort on their part: wait times, distance walked to the stops, getting rained on while waiting for the bus, ease of transfers, availability of current and correct schedule information, courtesy of the driver, and all the other service attributes that make the system worth riding.
3. **Placement:** Transit service occurs in one place, albeit a moving place—the transit vehicle. As applied to transit operations, placement can refer to how well operations fit the patterns of mobility in the community (e.g., the locations of bus stops, routes, and schedules). Placement also can refer to availability of information about the system (e.g., schedules placed or posted at grocery stores, pharmacies, or schools). Medical appointment cards are another example: People in the community should be able to find the answer to the question, "Does the bus stop here?"
4. **Promotion:** Here are the most visible portions of a marketing project: advertising, premiums, brochures, flyers, posters, bus boards, and special events.
5. **People:** Committed employees who are trained to deliver excellent customer service.

The Five Ps of the marketing mix are supporting characters for the main stars of the marketing campaign: branding and customer touchpoints. Branding is building a sense of ownership of the transit system in the rider. Customer touchpoints are areas of interface at which people make an emotional response to the marketing materials. Marketing and promotional campaigns seek to increase ownership and positive emotions. Well-designed user aids can help encourage those feelings.

User Aids

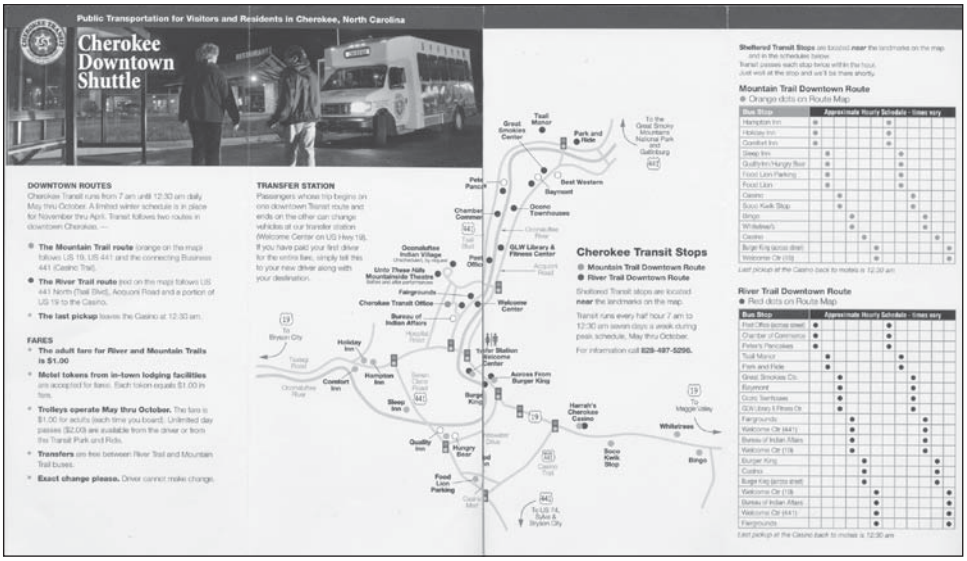
Riding a bus involves costs and benefits to both the rider and the transit provider. For many people, riding a transit vehicle is a new and somewhat frightening experience. When deciding to board the bus for the first time and then to continue riding, an individual actually completes a four-step process. The steps are as follows:

1. Awareness of need (need arousal)
2. Assembly and evaluation of alternatives
3. Formation of behavioral intention
4. Preparation and action (Kotler and Andreason, p. 120)

Each step in this process offers an opportunity for the transit system to communicate a message to riders or potential riders. User aids help people decide that riding the bus will get them where they need to go in a safe, easy-to-use, predictable, priced-right, and sometimes fun way. For many riders, riding the bus means changing their behavior and changing their ideas about public transit. User aids such as users' guides, appointment cards, timetables, system maps, bus stop signs, bus stop shelters, and schedule and map displays make it easier for people to change their behavior and ride the bus. Figures 9.1 and 9.2 present some of the user aids developed for their transit system by the Eastern Band of Cherokee Indians.

Used by permission of Cherokee Transit.

Figure 9.1. Cherokee Transit brochure.



Used by permission of Cherokee Transit.

Figure 9.2. Cherokee Transit map.

When selecting and preparing user aids, transit planners should consider the following factors.

1. Function
   - What is the purpose of this item?
   - Who is the target audience?
   - What information needs to be in this item?
   - How will it be delivered?
   - Is this for a special occasion?
   - Is this item time-sensitive or can it be used for a long time?
   - Can this serve more than one purpose?

2. Aesthetics
   - Does this item reflect the system's organizational identity, using the service's name, telephone numbers, colors, typeface, logos, slogans, and artwork, so that people can instantly recognize its source?
   - Does its appearance suggest a professional, competent, and concerned organization?
   - Can you read it?
   - Is the item's appearance commensurate with the transit system's budget—or will people think, "No wonder they cut service, they spent all their money on this brochure"?
   - Do you like it?
3. Cost
   - Are the expected benefits worth the cost?
   - Can the transit system afford a first-class production by people who know what they are doing?
   - Can this item be produced competently in-house? If so, is that option less expensive than having someone outside produce the item?
   - Have you correctly calculated the number you need?
   - Are you using standard sizes to hold down costs?

Websites

It is imperative that transit services have a web presence. At the least, a "business card" website that provides the pertinent telephone numbers and information about the services is necessary. More sophisticated websites can provide schedules, updates, announcements, and helpful links to more information about specific services (see Figure 9.3).

At the high end of websites for transit are those like wmata.com, which has extensive information about Washington Area Metropolitan Transit Authority services and interactive trip planning tools. Numerous tools are provided and website assistance is available online. Professional webpage design firms can give a site a sophisticated look and can make updating the site easier. At the other end of the scale, for a no-cost, easy approach to building a website, see www.weebly.com. Also, the National RTAP Website Builder is now available at http://www.nationalrtap.org/WebApps/WebsiteBuilder.aspx.

Social Media

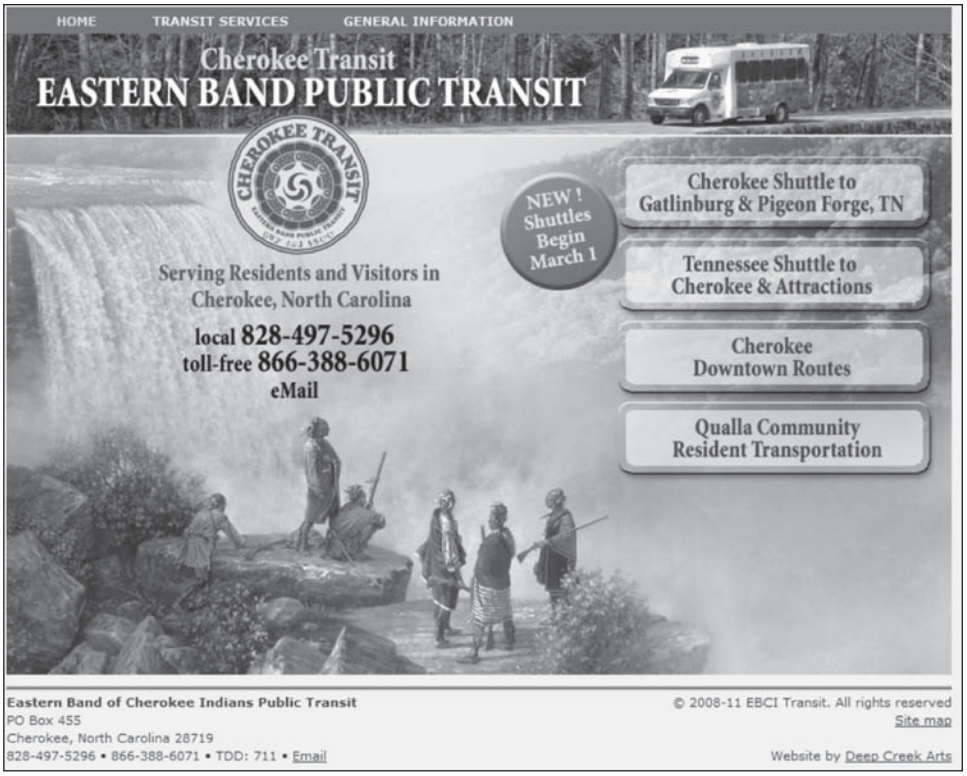
Social media is not just for kids. Pew Internet reported that from April 2009 to May 2010, while social media use by 18- to 29-year-olds grew 13 percent (from 76 percent to 86 percent), "boomers" were catching on, too. Social-media use jumped by 88 percent for 50- to 64-year-olds (from 25 percent to 47 percent) and by 100 percent for persons ages 65 and older (from 13 percent to 26 percent) (Pew Internet). A recent *Advertising Age* article noted that "according to Forrester's benchmark report, 40 percent of the U.S. population maintains a social-networking profile, up from just 17 percent in 2008" (Snyder-Bulik, September 2010). Many how-to articles and other information about social media are available at www.mashable.com. For applications specific to transit, see www.gosocialtransit.com.

Medical Appointment Card

A vital user aid is the medical appointment card (Figure 9.4). The object of the medical appointment card is to better coordinate health-related trips.

Generally, appointments should not be made before 9:00 a.m. or after 3:00 p.m. Times should be set based on length of travel and cooperation of health care providers. The driver gives the card to the passenger before going in so their next appointment is properly scheduled and checks the card when they pick up the person for the return trip.

The example in Figure 9.4 is from OATS, a transit system headquartered in Columbia, Missouri.



Used by permission of Cherokee Transit.

Figure 9.3. Home page, Cherokee Transit website.

O A T S APPOINTMENT CARD

Patients Name _____
Doctor _____
Bus Driver _____

For your convenience, OATS gives you this form to help schedule appointments for your patients who are OATS members.

Your patient has a transportation problem. You can help alleviate the problem by scheduling according to the OATS system.

Please fill in your patient's next appointment below. You can help your patient best by scheduling the next appointment on a WEDNESDAY. Should this be impossible an alternate day, Monday, has been arranged for his travel. If possible please avoid scheduling your patient's appointment earlier than 9:30 A.M.

Note: OATS does not want the patient's health to be jeopardized for the sake of complying with this schedule. When in doubt, schedule as you think necessary.

Date	Time	Day of Week (Cross out inappropriate day)
____	____	WEDNESDAY, Monday, ___
____	____	WEDNESDAY, Monday, ___
____	____	WEDNESDAY, Monday, ___

Thank you for helping us help your patient.

Source: Sample provided by Peter Schauer, former director of OATS.

Figure 9.4. Sample medical appointment card.

Customer Service

TCRP Report 47: A Handbook for Measuring Customer Satisfaction and Service Quality lists the following benefits from increases in customer satisfaction that relate to service quality measurement. According to research cited in the report,

> . . . increases in customer satisfaction are generally believed to:
>
> - shift in the demand curve upward and/or make the slope of the curve steeper (i.e., lower price elasticity, higher margins)
> - reduce marketing costs (customer acquisition [in the first place] requires more effort)
> - reduce customer turnover
> - lower employee turnover (satisfied customers affect the satisfaction of front-line personnel)
> - enhance reputation and public image (positive word of mouth)
> - reduce failure costs (handling customer complaints).
>
> For transit agencies, an increase in customer satisfaction translates into retained riders, increased use of the system, newly attracted customers, and an improved public image. (Morpace International and Cambridge Systematics, 1999, p. 5)

In *Strategic Marketing for Nonprofit Organizations,* Kotler and Andreasen define satisfaction as "the state felt by a person who has experienced a performance (or outcome) that has fulfilled his or her expectations" (Kotler and Andreasen, p. 605). Transit performance doesn't have to be out of this world, it simply has to be what the rider expects. Kotler goes on to say that a person will experience three states of satisfaction: "If the results exceed the person's expectations, the person is highly satisfied. If the results match expectations, the person is satisfied. If the results fall short of the expectations, the person is dissatisfied" (Kotler and Andreasen, pp. 604–5).

How riders feel about their last ride on the bus is a balance between what they just experienced and what they were led to expect by the promotions. As a marketer, the tribal transit system cannot promise what it cannot deliver, nor can it lower expectations so much that no one will come near one of its vehicles. Managing expectations is important. "Indeed, it has been found that dissatisfied customers are likely to tell 9 to 12 other customers, whereas satisfied customers speak only to 2 or 3" (Kotler and Andreasen, p. 605).

Do not discount the power of two or three satisfied customers. As profiled in *Advertising Age,* Walmart "is a company built on word-of-mouth reputation" (Fisher, p. 3). The company counts on satisfied customers for its marketing campaigns. Walmart has a low advertising budget for a business of its size. From the beginning, it has relied on making service levels and prices so attractive to the people who shop there that they enjoy the experience and want to come back. Consistent prices build goodwill and trust in consumers.

Feedback Techniques

Several simple ways are available to find out if riders are satisfied with the service the system is providing. Trip sheets, customer comment forms, and onboard rider surveys can collect important information about the quality of the service.

Trip sheets: Add a line or two to trip sheets to collect the opinions of your riders and drivers. This may be anecdotal evidence, but it is also a form of naturalistic inquiry that is a valid and useful method of gathering information. Trip sheets usually contain the date, vehicle number and location, total operating miles and hours, beginning and ending odometer, number of riders, and cash received. Depending on service type, some trip sheets contain passenger name, identification number, funding source, trip origin and destination, purpose of trip, and number of stops per passenger (Kosky).

Comment forms: Comment forms should include spaces for a customer's name, address, and telephone number. Ideally, comment forms should be reviewed daily and responded to within 24 hours (48 hours maximum). People may be surprised that anyone takes their complaint seriously.

Comment cards only provide broad opinions. These opinions often are valid, but they cannot be used to track trend changes in riders' opinions. Because of this limitation, the value of comment cards pales in comparison with that of the information obtainable using a quantitative rider satisfaction survey. In the best of all worlds, a quantitative rider satisfaction questionnaire includes a "comment" question. Comment cards are not a complete waste of money, but their value pales in comparison with the information obtainable using a quantitative rider satisfaction survey. Figure 9.5 presents a sample of a comment form distributed on vehicles. Figure 9.6 presents a form for documenting the most important part—the transit system response to the complaint.

Rider surveys: Surveys have room to ask more questions than comment forms and the questions can be phrased to examine specific aspects of your service. Figure 9.7 provides an example of a rider survey.

Public Relations and Marketing Plan

Whether large or small, a transit system does not have to rely on big, expensive marketing campaigns. To make the most of available money, start talking. Ride the bus and interact with riders. The importance of talking to riders cannot be overstated. This task can be approached in several ways, as detailed in the following excerpts from an article by Holly Pavlika in *Advertising Age:*

Talk to riders:

> This is especially important if customers are seeing negative press about your brand, your company's financial health, or any other possibly perceived negative coverage. You cannot afford not to talk to your customers. Especially your best customers. Reassure and inform them. If you withdraw, you will only add credence to the negative publicity.

Have your riders talk to potential riders for you:

> We once advised a financial services company, based on the current economic situation, that the best place for it to put its marketing dollars was in a customer-get-a-customer program. Use your database to get an understanding of who your best customers are. Then galvanize your relationship with them.

Know your riders and call them:

> Very few companies are communicating with their best customers in relevant ways. [The author's husband is a heavy cell phone user,] . . . yet he had to call his wireless carrier to take advantage of a special promotion they were running. When he asked the customer service rep if he was ever going to be told about it, the rep replied, "No, you have to ask."

Talk to employees:

> With employee layoffs making headlines daily, have in place an internal communications program to keep employees' morale up. Even if your own company is stable, [if there is uncertainty about jobs in the community] it will have a negative impact on your staff. They have direct client contact and such anxieties will be quickly passed along. Keep your employees in the loop. Enlist their ideas for marketing initiatives (Pavlika, p. 24).

Talking to Riders Skills Checklist

1. Do I make eye contact with each rider?
2. Do I try to maintain eye contact with each rider?
3. Do I have distracting habits that interfere with the conversation?
4. Am I physically relaxed during the conversation?
5. Do I look interested?
6. Do I keep my tone of voice sincere?
7. Do I have to ask the rider for information that he/she has already given me?
8. Do I hear the conversation accurately?
9. Do I have trouble remembering important points?

(Transit Agency Name) **wants to know:**

How are we doing, folks? We would appreciate knowing if there is anything about **(Transit Agency Name)** that needs our attention. Thank you for your time. The driver has a free round-trip bus pass for you as our way of saying *thanks*!

Did you have any difficulties or problems making your reservation for this trip?

Comment: _____

Did the bus pick you up when it was supposed to? ❑ YES ❑ NO

Comment: _____

Was your trip safe? ❑ YES ❑ NO

Comment: _____

Is (Transit Agency Name) easy to use? ❑ YES ❑ NO

Comment: _____

Is the trip priced right? ❑ YES ❑ NO

Comment: _____

Was the trip fun? ❑ YES ❑ NO

Comment: _____

Anything more we should know? _____

_____

Thanks! Please drop in box by driver.
Be sure to ask the driver for your pass for one free round-trip.

Figure 9.5. Sample rider comment form.

Rider Complaint Response

(Transit Agency Name)

Rider name: _____

Address: _____

Telephone number: _____

Day, date, and time complaint received: _____

Nature of complaint: _____

_____

_____

Day, date, and time complaint occurred: _____

Driver: _____

Person responding to complaint: _____

How was complaint resolved? _____

_____

Was the rider satisfied? _____

Is more action required? _____

Figure 9.6. Sample form documenting transit system response to complaint.

Rider Survey Please Return by _____.

Dear (Transit Agency Name) Rider,

We are doing a customer satisfaction survey. This survey will help us serve you better. Your opinion is important and is confidential. Thank you for filling in the survey. Please return your completed survey by giving it to your driver on any bus before _____.

1. How many days did you ride the bus within the last seven days? (Circle answer.)
   0 days 1 day 2 days 3 days 4 days 5 days 6 days 7 days

2. Which of the following statements best describes why you ride (Transit Agency Name)? (Please circle one response.)
   A. I ride because I can't or don't know how to drive.
   B. I ride because I don't have a car available.
   C. I prefer riding the bus. Why do you prefer the bus? _____
   D. Other: (Please tell us why.) _____

3. For what purposes do you ride (Transit Agency Name)? (Circle as many answers as apply.)
   A. I ride to/from work.
   B. I ride to/from school.
   C. I ride to/from shopping.
   D. I ride to/from necessary business.
   E. I ride to/from recreation.
   F. I ride to/from friend's or relative's home.
   G. Other: (Please tell us why you ride.)
   _____

4. What got you to ride (Transit Agency Name) the first time? _____

5. What could (Transit Agency Name) do to get <u>you</u> to ride the bus more often?
   _____

6. What could (Transit Agency Name) do to get <u>new riders</u>? _____

7. What is the one thing you would like to change about (Transit Agency Name)?
   _____

Figure 9.7. Sample rider survey.

8. Listed below are factors about the bus system. On a scale of 1 to 4, with 1 being very unsatisfied and 4 being very satisfied, please write in the number showing how satisfied you are with each of these factors when thinking about (Transit Agency Name).

   1 = very unsatisfied 2 = unsatisfied 3 = satisfied 4 = very satisfied

   ___The cleanliness of (Transit Agency Name).
   ___The temperature on (Transit Agency Name).
   ___Number of bus stop shelters.
   ___Number of bus stop signs.
   ___Service from the driver.
   ___On time performance of system.
   ___Getting information about (Transit Agency Name) (calling for information, asking the driver, etc.).
   ___Maps and schedules for the service.
   ___Buses attractive and easy to see.
   ___Buses that are easy to get into and out of.
   ___Service hours.
   ___Days of service.
   ___Fares for service.
   ___Overall courtesy and friendliness of (Transit Agency Name) service.
   ___Safety of (Transit Agency Name) service.

9. Can you recall seeing any advertising for (Transit Agency Name)? What did you see and where did you see it?

   _____

10. How likely are you to recommend riding (Transit Agency Name) to someone you know?
    ___ Definitely will. _____ Probably will not.
    ___ Probably will. _____ Definitely will not.

11. Please give us any other comments about (Transit Agency Name).

Optional Questions: (Please answer by circling your responses.)

A. Are you a: Student Employed Self-Employed Unemployed Retired

B. Your Age is: 15 years or less 16–25 years 26–65 years 65 or older

C. Male or Female?

D. Your approximate household annual income: Less than $25,000 More than $25,000

Figure 9.7. (continued).

10. Do I tend to make too many assumptions about a rider right away?
11. Do I make assumptions about the rider's transit needs?
12. Do I restate what the rider wants?
13. Do I interrupt riders to try to hurry them along?
14. Do I follow-up on the conversation?

Word of Mouth

One of the most powerful, and at the same time overlooked, tools for building partnerships with riders and the community as a whole is word of mouth. Planning for, managing, and maintaining positive word of mouth is at the core of marketing transit service. For systems serving smaller communities and rural areas, it is a particularly potent method of communicating the desirability of using your service. Chance conversations next to the cereal aisle at the market or outside the door at church can broadcast the news, positive and negative, about what sort of service is provided. According to author Don Smith, word of mouth is persuasive, influential, and directed, as follows:

> **Persuasive:** Usually the person conveying the message to the next person has the two most important persuasive qualities—trust and respect. He or she is credible.
>
> **Influential:** Word of mouth usually comes from firsthand experience and contains reliable information. The person speaks with conviction based on actual experience.
>
> **Directed to a highly segmented audience:** The word of mouth message is directed to people who are family, friends, neighbors, or associates. Receivers are usually people of the same class or social group who would likely use your service (Smith, p. 34).

Word-of-mouth marketing does not just happen by chance. It can be planned for and managed like other forms of promotions and advertising. Word-of-mouth campaigns should focus on the following:

- The exceeded expectation. The goal should be to provide a level of service that satisfies the rider.
- Providing riders with the information and language to tell others about their experience. The goal is to make it easy for riders to talk positively.

The campaign should be designed to:

- incorporate activities that will encourage people to talk;
- support those activities with a budget (e.g., by providing a promotional item);
- use service personnel as advertising agents;
- make riders' word of mouth the channel that delivers your message; and
- establish the target audience as the friends, family, and associates of the rider.

The following tips can support the campaign by helping encourage riders to talk positively:

- Provide the unexpected extra. Offer riders a tangible or intangible benefit for which they do not pay.
- Include riders in pioneering experiences. Help riders feel like pioneers by offering them the chance to try a new service or route that you are offering for the first time.
- Establish the rider as an authority. Help riders to become authorities on your system by sharing knowledge that they can, in turn, pass along to others.
- Make consultants of your riders. Ask riders their opinions about vehicles, routes, schedules, appointment procedures, or new ideas. Doing this has the additional benefit of gathering informal research data.
- Have your drivers point out the service's features, advantages, and benefits (FABs). Drivers are the most visible employees in your organization. In addition to being courteous, competent,

caring, and correct, they can be excellent promoters of the service and they need a 1- to 3-minute "stump speech."
- Recognize riders. Drivers and other staff who come in contact with riders need to know them by name and should address riders by name. People using mass transportation want to be treated as individuals.

Financial Plan and Budget

Budgets

Budgets are important to transportation service agencies because the budget document serves as a planning tool. A budget forces agency management to sit down and formally decide what they want and expect to happen in the future. During the annual budgeting process, agencies need to look at the following issues:

- Reducing or ending certain services
- Extending profitable services
- Adding new services
- Raising or lowering the rates being charged

As government grant funding becomes more competitive, it is important for an agency to be able to estimate operating costs ahead of time in order to decide how much to realistically apply for and what services take priority. Grant requests are more likely to be funded if a well-prepared budget shows estimated operating deficits and the cost of services provided.

Budgets must have both expense and revenue sections. Typical expense and revenue categories are described in this section.

Expenses should be shown in the budget by the classification from which they are paid (e.g., transportation), by the activities for which the expenditures are made (e.g., vehicle operations), and by the objects of the expenditures (e.g., driver salaries).

Revenues should be shown by sources. Sources can be fares, agency contracts, or grants. Showing revenues by source allows for more accurate revenue estimates because factors that determine the amount of revenue coming in each year affect each source differently.

Cost Categories

Operations Costs

Operations costs for a transportation system include costs dependent on vehicle-miles (e.g., fuel, oil, and vehicle maintenance); costs dependent on service vehicle-hours (e.g., driver and dispatcher wages); and costs dependent on the number of vehicles (e.g., insurance, registration, and vehicle storage costs). Vehicle maintenance costs include all contract and/or in-house maintenance of vehicles. Driver wage costs are expressed as driver wage rate per hour plus fringe benefits. Dispatcher wage costs are expressed as the dispatcher wage rate per hour plus fringe benefits.

Capital Costs

Capital costs associated with transportation include the costs of vehicles, office equipment associated with the actual operation of those vehicles, and dispatch equipment. Capital costs are expressed in terms of annual cost per vehicle and include depreciation, leases, and rental costs.

Administrative Costs

Administrative labor costs within each personnel category are expressed in terms of hourly wage rates plus fringe benefits. Positions typically include the transportation director, transportation

assistant director, transportation manager or coordinator, finance/grants director, bookkeeper, transportation program assistant or administrative assistant, and secretary/dispatcher. Some employees' time may be split between tasks that are an operations cost and tasks that are administrative. For example, a driver may also spend part of his or her time cleaning the office.

- Costs for administrative office space are expressed as the monthly rent per square foot for office space devoted to transportation administrative activities plus the rates of the other space costs. Other space costs associated with the office space include: utilities, custodial services, security services, trash collection, property taxes, facility insurance, and maintenance of the facility.
- Other general and transportation administrative costs include items such as telephones, supplies, postage, staff travel, printing, bonding, marketing, administering drug and alcohol requirements, and dues and subscriptions.

Allowable cost standards under federal government guidelines are slightly different for nonprofit organizations than they are for local governments, transit districts, and Indian tribal organizations. Nonprofit organizations follow Office of Management and Budget (OMB) Circular A-122 and local governments, districts, and Indian tribal organizations follow OMB Circular A-87. Educational institutions follow OMB Circular A-21.

There are 10 cost standards under the circulars:

1. Cost reasonableness
2. Costs must be allocable (ability to be distributed properly)
3. No prohibition under law
4. Conformance with principles, grants, and regulations
5. Consistency with policies
6. Consistent accounting treatment
7. Conformance with generally accepted accounting principles (GAAP)
8. Prohibition of use as local match
9. Net costs
10. Documentation

Table 9.1 compares what is allowed in each circular.

Some public transit systems—such as units of local government or multipurpose nonprofit corporations—perform many departmental or program functions and would likely incur indirect expenses. In these cases, the expenditures benefit not only transit, but also other programs and departments.

Indirect costs are normally charged to federal grants by the use of an indirect cost rate and a cost allocation plan. A separate rate usually is necessary for each department or agency of the governmental unit claiming indirect costs.

According to federal guidelines, costs must be adequately documented. For example, under Federal Transit Administration (FTA) guidelines, accounting records must be supported by source documentation such as: cancelled checks, paid bills, payrolls, time and attendance records, and grant contract documents.

Revenue

There are four major categories of revenue for transportation services:

1. Fares
2. Agency contracts
3. Grants and other governmental payments
4. Other sources

Table 9.1. Comparison of cost allowability standards for state, local, and tribal Indian governments with nonprofit organizations and educational institutions.

Cost Allowability Standard	OMB Circular A-87 Local Governments and Tribes	OMB Circular A-122 Nonprofit Organizations	OMB Circular A-21 Educational Institutions
Reasonableness	Be necessary and reasonable for proper and efficient performance and administration of federal awards.	Be reasonable for the performance of the award and be allocable thereto under these principles.	They must be reasonable.
Allocable	Be allocable to federal awards under the provisions of this Circular.	Covered in the previous standard.	They must be allocable to sponsored agreements under the principles and methods provided herein.
No Prohibition Under Law	Be authorized or not prohibited under state or local laws or regulations.	Not specifically referenced.	Major considerations involved in the determination of the reasonableness of a cost are: the restraints or requirements imposed by such factors as arm's-length bargaining. Federal and state laws and regulations, and sponsored agreement terms and conditions.
Conformance with Principles, Grants, and Regulations	Conform to any limitations or exclusions set forth in these principles, federal laws, terms and conditions of the federal award, or other governing regulations as to types or amounts of cost items.	Conform to any limitations or exclusions set forth in these principles or in the award as to types or amount of cost items.	Costs must conform to any limitations or exclusions set forth in these principles or in the sponsored agreement as to types or amounts of cost items.
Consistency with Policies	Be consistent with policies, regulations, and procedures that apply uniformly to both federal awards and other activities of the governmental unit.	Be consistent with policies and procedures that apply uniformly to both federally financed and other activities of the organization.	Not specifically referenced.
Consistent Accounting Treatment	Be accorded consistent treatment. A cost may not be assigned to a federal award as a direct cost if any other cost incurred for the same purpose in like circumstances has been allocated to the federal award as an indirect cost.	Be accorded consistent treatment.	They must be given consistent treatment.
Conformance with GAAP	Except as otherwise provided for in this Circular, be determined in accordance with generally accepted accounting principles.	Be determined in accordance with generally accepted accounting principles (GAAP).	Must be consistent with generally accepted accounting principles appropriate to the circumstances.

(continued on next page)

Table 9.1. (Continued).

Cost Allowability Standard	OMB Circular A-87 Local Governments and Tribes	OMB Circular A-122 Nonprofit Organizations	OMB Circular A-21 Educational Institutions
Prohibition of Use as Local Match	Not be included as a cost or used to meet cost sharing or matching requirements of any other federal award in either the current or a prior period, except as specifically provided by federal law or regulation.	Not be included as a cost or used to meet cost sharing or matching requirements of any other federally financed program in either the current or a prior period.	Any costs allocable to a particular sponsored agreement under the standards provided in this Circular may not be shifted to other sponsored agreements in order to meet deficiencies caused by overruns or other fund considerations.
Net Costs	Be the net of all applicable credits.	Not specifically referenced.	The cost of a sponsored agreement is comprised of the allowable direct costs incident to its performance, plus the allocable portion of the allowable F&A costs of the institution, less applicable credits.
Documentation	Be adequately documented.	Be adequately documented.	Federal requirements for documentation are specified in this Circular, Circular A-110, "Uniform Administrative Requirements for Grants and Agreements with Institution of Higher Education, Hospitals, and Other Non-Profit Organizations."

Fares

Farebox revenue includes fares paid by passengers and prepaid fare media used by passengers, including multi-ride passes and tokens, prepaid passes, or other fare media purchased by a human service agency for distribution to its clients, and user-side subsidy arrangements.

Farebox revenues do not include payments made to the transit provider by human service agencies under the terms of a purchase-of-service agreement.

Agency Contracts

Contract revenues involve a funding agency (such as human services) contracting with a transit system to provide transportation for the passengers specified by the agency. Transit agencies may be involved in multiple contracts. Most often these contracts last for 1 year and will be negotiated annually.

Local Match Requirements

Many grant programs require some type of local match. The amount of matching funds varies by program. In addition to cash matches, some programs will allow matching using in-kind contributions.

Fare revenue cannot be used as local match. To reach a net operating expense, which is the basis for applying for FTA Section 5311 grant operating assistance, the following equation must be followed:

Total Operating Expenses – Unallowable Expenses – Farebox and Other Operating Revenue = Net Operating Expenses.

Net operating expenses are expenses that remain after operating revenues are subtracted from eligible operating expenses. At a minimum, operating revenues must include farebox revenues.

The following categories of income can be used as local match:

- State or local appropriations
- Dedicated tax revenues
- Private donations
- Net income generated from advertising and concessions

As described in Chapter 8, under FTA's Section 5311, Formula Grants for Other than Urbanized Areas program, funds received by agencies for service agreements (agency contracts) with a state or local social service agency or a private social service organization may be treated as local rather than federal funds and can be used as local match, even though the original source of such funds may have been another federal program.

Section 5311 recipients have the option of treating income from contracts to provide human service transportation to either reduce the net project cost or to provide local match for Section 5311 operating assistance. The manner in which an agency applies income from these contracts affects the calculation of net operating expenses and, therefore, the amount of Section 5311 operating assistance the agency is eligible to receive.

To use human service contract revenue as local match or reduce the net cost in service, the contract revenue must be eligible according to federal guidelines. Generally speaking, the following guidelines apply:

1. Contract service expenses must be included in total rural public transportation costs. The expenses associated with delivery of contract human service agency transportation must be included in the total operating costs for the Section 5311 project in order to use the revenues derived from that contract to either reduce the local matching share or as local match.

2. Contract service must be operated as eligible mass transportation.
   Human service transportation under contract must be operated as eligible mass transportation services (not charter services). To be considered eligible, the grantee must
   (a) maintain control of the contract service,
   (b) operate the service as "open door," and
   (c) be able to schedule any other rider on the vehicle in addition to the agency's clients.

Table 9.2 lists federal program funds that can be used as local match for rural transit program projects.

Non-cash revenue such as donations, volunteered services, or in-kind contributions are eligible to be counted toward the local match only if the value of each is formally documented and supported and represents a cost that would otherwise be eligible under the project. States and funding agencies have different limitations on the use of non-cash revenue to meet local match requirements.

OMB Circular A-87 (pertaining to state and local governments and tribal organizations) states that contributions and donations—including cash, property, and services by governmental units to others, regardless of the other recipient—are unallowable as local match. Donations, volunteered services, and other in-kind contributions provided by other non-governmental organizations may be eligible as long as they are approved in advance.

OMB Circular A-122 (pertaining to nonprofit organizations) allows for donated or volunteer services to be furnished to an organization by professional and technical personnel, consultants, and other skilled and unskilled labor. The value of these services is not reimbursable either as a direct or indirect cost. The value of donated or volunteer services may be used to meet the local match requirements as long as the donations meet all the following requirements:

- Verifiable from the recipient's records
- Not included as contributions for any other federally assisted program
- Necessary and reasonable for program objectives
- Allowable under applicable cost principles
- Not paid by the federal government under another award
- Provided for in the approved budget for the grant award

Fair market value of contributed or volunteer labor must be determined based on the regular rates paid for similar work in other activities of the organization or, in cases where the kinds of skills

Table 9.2. Federal program funds usable as local match for rural transit program projects.

Agency	Program Title
U.S. Department of Labor	Foster Grandparents Retired Senior Volunteer Program (RSVP) Senior Companions Workforce Investment Act/Job Training Funds
Community Service Agency	Community Services Block Grant
U.S. Department of Health and Human Services	Title III of the Older Americans Act Title XIX Title XX General Relief Head Start Temporary Assistance to Needy Families (TANF)
U.S. Department of Housing and Urban Development	Community Development Block Grant

involved are not found in other activities of the organization, the rates must be consistent with those paid for similar work in the labor market. For example, if the agency has some paid and some volunteer drivers performing the same tasks, and those who are paid are paid at a rate of $10.00 per hour, then the volunteer's time should be valued at $10.00 per hour. If no paid staff members are doing equivalent work, then the federal minimum wage amount should be used. The agency must document all volunteer services in the form of timesheets signed by the volunteers.

Financial Plan

The Financial Plan is the financial strategy for implementing the proposed transportation project. It describes its costs and how they will be paid. This section provides a framework for preparing the Financial Plan, shown in Table 9.3 Each element is discussed here.

Introduction

The introduction should be brief and highlight the key features of the Financial Plan. It is a summary and should be prepared after other elements of the plan are completed.

General Overview. Describe the project sponsor and other sponsors that will assist with financing or the delivery of project services. Explain the project goals and objectives and how they fit within the goals and objectives of the sponsor organization. Summarize the intended benefits and services of the project.

Financial Overview. Begin the financial summary with the assumptions used to determine project expenses and costs. Consider how each of these factors will influence cost: inflation; project labor, equipment, and materials; and planned levels of service. If, for example, the project service area is experiencing an economic downturn, this may influence labor rates, which may be lower than average. If the project adds one route to an existing bus service, the operating costs for the added line should be less than implementing a completely new service.

Table 9.3. Basic elements of the financial plan.

1. Introduction
   - a. General overview
     - Project sponsor and funding partners
     - Project sponsor goals and objectives
     - Project description and purpose
   - b. Financial overview
     - Assumptions
     - Finance strategy
2. Operating plan
   - a. Project operating expenses
   - b. Project operating revenues
   - c. Operating expense and revenue schedule
3. Capital plan
   - a. Project capital needs and costs
   - b. Project capital funds
   - c. Capital costs and funding schedule
4. Cash flow analysis
   - a. Cash flow projections
   - b. Financial analysis
5. Appendix (supporting documentation)

After explaining the assumptions, summarize the strategy for financing the project. Briefly describe project costs and the sources that will be used to pay for them.

Operating Plan

The next element of the Financial Plan is the operating plan. It describes the expenses that will be incurred in the delivery of project services. It also identifies the sources of funds to pay for them and provides a schedule showing expenses and revenues over time.

Operating Expenses. Project operating expenses typically include administrative, maintenance, labor, and materials costs. Collectively these are known as operating and maintenance (O&M) costs. They should be categorized by function, such as administration, and then categorized further by type, such as office supplies. An example is shown in Table 9.4.

Operating expenses should be based on verifiable assumptions and facts. This could be historical data from an existing program or factors derived from a reliable and respected source such as the National Transit Database (NTD).

Once first-year expenses are estimated or known, they should be forecast by function and type over the project planning period. Factors that influence an expense, such as inflation, should be explained and supporting documentation inserted in the appendix of the Financial Plan.

Although it is not required, a sensitivity analysis may be conducted once expenses are known. An example of a sensitivity analysis is shown in Table 9.5. Here, a change in proposed revenue-hours or ridership affects service productivity, which is measured by the expense per passenger ratio or the expense per revenue-hour ratio. The sensitivity analysis enables testing of the

Table 9.4. Sample project operating expenses by function and type.

Function	Type	FY2010
Contract service	Service leases/service rentals	$ 500
	Support transportation services	1,600
Maintenance	Labor/ fringe benefits	8,000
	Vehicle: tires, fuel, replacement parts	4,000
	Non-vehicle: storage, equipment	200
Administration	Insurance: casualty, liability	11,000
	Administrative personnel, payroll	15,000
	Dispatcher space, equipment	1,500
	Office supplies	300
	Utilities: electric, telephone	800
Other: marketing	Printing, advertising, maps	300
Total project expenses		$43,200

Table 9.5. Sample of project operating expenses and productivity factors.

	FY2010 Actual	FY2011 Est.	FY2012 Est.
Passengers	10,174	10,290	8,502
Total expenses	$43,200	$44,928	$47,051
Revenue-hours	2,680	2,793	2,344
Passenger per revenue-hour	3.8	3.7	3.6
Expense per revenue-hour	$16.12	$16.09	$20.07
Expense per passenger	$4.25	$4.37	$5.53

project concept against project expenses; enables a "reality check" on the reasonableness of estimated expenses; and helps to determine if the intended goal and objectives for the project are achievable.

Operating Revenue. Operating revenues pay for the operating expenses. Revenues may come from the following sources:

- Passenger or farebox revenue
- Federal funds by program source
- State and local funds by program source
- Local match and contribution from the sponsor
- Local match and contribution from regional, county, local, or tribal entities
- Service contract funds
- Advertising
- Donations from the public
- Contributed or in-kind services
- Other revenue sources

List revenues by their source, their totals, and their status. In Table 9.6 most of the project revenue (84 percent) is from federal and state sources. The remaining 16 percent is from local,

Table 9.6. Sample project operating revenues by source and amount.

Funding Source	Total	Status
Federal		
FTA Section 5311	$150,000	Appropriated through FY2012 with renewal in FY2013 and FY2014
BIA – IRR	$11,200	Appropriated through FY2014
State		
Flexible funds	$55,000	Appropriated through FY2014
Local		
Tribal local match	$10,000	Authorized
Tribal reserve fund	$20,000	Authorized
County transit	$5,000	Committed
City human services	$5,000	Committed
Total revenues/reserves	**$256,200**	

county, and sponsor sources. A $20,000 reserve (8 percent of anticipated revenue) is established by the sponsor in the event of a funding shortfall or delay. The validity and verification of project-generated revenue (such as passenger fares) and external revenue (such as government grants) should be documented in the appendix of the Financial Plan.

Schedule of Operating Expenses and Revenues. Once expenses and revenues are estimated or known, they should be forecast over the project planning period. A sample schedule is shown in Table 9.7. The forecast period generally is 5 years, but may be longer depending on the duration and complexity of the project or the requirements of the granting agency.

This operating plan (expenses, revenue, and schedule) should be inserted in the project Financial Plan and also incorporated in the sponsor's agencywide operations plan. This demonstrates sponsor commitment to and responsibility for the project in the context of other agency programs and objectives.

Capital Plan

Similar to the operating plan, the capital plan matches project costs with funding sources. The capital plan, however, is concerned with investments or expenditures in physical assets such as vehicles, equipment, and infrastructure. Six basic steps are involved in preparing a capital plan (see Table 9.8). Each step is discussed in this section of the guidebook.

Capital Costs. Capital costs represent the purchase or the replacement of vehicles and physical items like fareboxes, radios, electronic communications, and computer hardware. Capital

Table 9.7. Sample 5-year schedule, project operating expenses and revenues.

FISCAL YEAR	2010	2011	2012	2013	2014	TOTAL
	Actual	Budget				
Operating expenses						
Contract services	$ 2,100	$ 2,184	$ 2,271	$ 2,362	$ 2,457	$ 11,374
Maintenance	12,200	12,688	13,196	13,724	14,273	66,081
General administration	28,600	29,744	30,934	32,171	33,458	154,907
Other	300	312	325	338	352	1,627
Total expenses	$43,200	$44,928	$46,726	$48,595	$50,540	$233,989
Operating revenues						
Federal:						
FTA - 5311	$30,000	$30,000	$30,000	$30,000	$30,000	$150,000
BIA - IRR	2,400	2,400	2,400	2,000	2,000	11,200
State: Flexible	11,000	11,000	11,000	11,000	11,000	55,000
Local:						
Tribe local match	2,000	2,000	2,000	2,000	2,000	10,000
County transit	1,000	1,000	1,000	1,000	1,000	5,000
City human services	1,000	1,000	1,000	1,000	1,000	5,000
Total revenues	$47,400	$47,400	$47,400	$47,000	47,000	$236,200
Project reserve fund ($20,000)	$24,200	$26,672	$27,346	$25,751	$22,211	

Table 9.8. Steps in preparing the project capital plan.

Step		
1.	Inventory of assets	Conduct an inventory of all capital assets available to the project.
2.	Asset replacement schedule	Determine date and reason for asset replacement and purchase.
3.	Asset financing and cost	Investigate the costs of asset replacement or procurement.
4.	Capital needs and budget	Prepare capital needs list and budget.
5.	Funding sources	Determine sources of capital funds.
6.	Project capital schedule	Prepare capital cost and funding schedule over project planning period.

costs also involve the procurement of equipment, furnishings, and lighting, and the construction or repair of facilities or infrastructure needed for the project.

Step 1. Inventory of assets: The first step in preparing a capital plan is to take stock of the capital assets available to the project. Conduct an inventory of assets by listing every known asset by land, building, equipment, and vehicle. The inventory should contain the original purchase price of each asset, the date it was put into service, and its current condition. The inventory should be updated annually.

Step 2. Asset replacement schedule: The second step in preparing a capital plan is to prepare an asset replacement schedule for the inventoried assets. If, for example, three vans were purchased and placed into service in Year 2005 and their documented life expectancy is 5 years, they will likely need to be replaced in Year 2010, assuming there are no changes in the use of the vans. The asset replacement schedule should reflect the useful life of the vans. It enables early knowledge of what will be needed and will influence funding requests.

Asset replacement decisions are not arbitrary and often are guided by the rules of the granting agency. Consultation should be sought from staff, auditors, vendors, consultants, or state departments of transportation to determine useful life. This due diligence will enable appropriate justification for funding requests. It will also enable compliance with stringent reporting requirements when the project is underway. Figure 9.8 presents an example of the vehicle replacement rules for the rural transit program administered by the Ohio Department of Transportation (Ohio DOT).

Maintaining an inventory of assets and an asset replacement schedule helps to address the kinds of rules specified in the Ohio Department of Transportation criteria. In Figure 9.9, the inventory sheet addresses both the vehicle replacement rules and the asset replacement schedule.

Step 3. Asset financing and cost: The third step in preparing a capital plan is to know the cost for financing each needed capital item and the terms of financing. Specifically, will a single upfront payment suffice or will multiple payments be required over the course of the project? The type and frequency of capital payments affect cash flow and the schedule of grant receipts. Before pursuing new assets, alternative procurement methods should also be considered. As advised in *TCRP Report 101: Toolkit for Rural Community Coordinated Transportation Services*:

> In assessing capital needs and understanding the financial constraints that are present, care should be taken to look for opportunities for contributed services and equipment that may substitute for capital purchases. Donated vehicles are an area of particular opportunity.
>
> For rural programs in particular, some state departments of transportation provide state contracting that local organizations may use for vehicle and other equipment purchase. This enables local organizations to complete purchases based on competitive bid processes without the need for a complicated, competitive bid process of their own. (Burkhardt, pp. 122–23).

Ohio Department of Transportation (ODOT)

Rural Transit Program—Replacement Vehicle Justification

1) Justification for replacement vehicles must include detailed information regarding vehicle mileage and condition.

2) For an expansion vehicle, indicate whether it is for ADA eligibility, for expanded service, or to meet back-up requirements. If for expanded service, elaborate on the expansion—e.g. expanded hours, increased peak-hour requirement, etc.

3) For back-up vehicles, indicate the system spare ratio which may be defined as a system with a peak-hour* operating requirement of 1 to 10 vehicles. Under the ODOT program, this system type is allowed up to two back-up vehicles. A system with a peak-hour fleet of 11 or more is allowed a spare ratio of 20 percent of their fleet. Include the peak-hour fleet requirements before and after the purchase of the planned vehicle(s).

4) The back-up and total fleet size calculation for fleets with 11 vehicles or more is:

- Peak-hour X 20% = Back-up(s)

- Total Allowable Fleet Size = Peak Hour + Back-up(s)

**Note:* Peak-hour refers to the maximum number of revenue vehicles used on a regular basis during the busiest hours of an average day. Typically, these hours are 7-9 a.m. and 3-5 p.m. but may vary by system. For example, a system with a fleet of 18 revenue vehicles would be allowed three back-up vehicles assuming that the system's peak-hour requirement is 15 (15 X 20% = 3 back-up vehicles). If a system, however, has a fleet of 18 vehicles, but is only operating 12 vehicles during peak hours, then the maximum number of vehicles required would be 14 (12 X 20% = 2 back-up vehicles). In this example, ODOT would not approve any expansion vehicles and the system would be required to dispose of the excess vehicles.

Source: Ohio Department of Transportation.

Figure 9.8. Sample rules guiding vehicle replacement.

- Replacement Vehicle(s): One Converted Van
- Vehicle Inventory #: B581
- Vehicle Acquisition Date: 3/15/02
- Estimated Disposal Date: 7/31/10
- Mileage Estimate: 285,000
- Current Condition of Vehicle: Fair/Poor
- Expected Condition: Poor
- Estimated Milestone (Purchase Order) Date for New Vehicle: 1/31/10
- New or Existing Radio: New
- Additional Information: This vehicle is starting to have higher maintenance costs and will be ready for replacement.
- Total vehicles in current fleet: 12
- Total vehicles in fleet after expansion: 13
- Peak-hour usage: 11
- Back-up calculation: 11 x .2 = 2 back-ups + 11 = 13 total

Expansion Justification: Our total peak-hour usage rate of 11 provides justification for the purchase of the expansion vehicle. This vehicle will be used for the increasing demand for our region-wide service. Ridership is increasing at a constant six percent rate per year. This may require us to purchase another expansion vehicle in Year 2011. We will address this in next year's Capital Plan. This vehicle will be wheelchair-equipped and will meet ADA requirements since we plan to purchase from ODOT term contracts.

Source: Ohio Department of Transportation.

Figure 9.9. Sample inventory sheet that addresses vehicle replacement.

Vehicle leasing is an often-used financing tool in transit service planning. Several tribal transit programs participate in the U.S. General Services Administration vehicle leasing program. Benefits of lease obligation financing include the following:

- Leasing allows the agency to spread the cost of equipment and capital assets over many years.
- Lease obligation financing can provide competitive credit terms.
- The period of the lease can be tied to the useful life of the asset.
- Leasing preserves liquidity since it does not tie up other working capital or credit lines.
- Leasing provides cost certainty for a known period.
- Leasing can avoid loan or debt limitations since it is accounted for as an operating expense.
- Leasing simplifies tax accounting as asset depreciation is the responsibility of the lessor.

One caveat in asset leasing is that FTA will not reimburse for more than the depreciated value of a leased asset in a given period. Under FTA rules, on a 10-year lease of a bus with a 12-year useful life, the agency will only reimburse 80 percent of 1/12th of the asset's value each year rather than 80 percent of the lease payment.

Step 4. Capital needs list and budget: The fourth step in preparing the capital plan is to summarize the need, cost, and method for procuring or replacing project assets in a capital needs list and budget. This step captures the number and type of items needed, purchase price, total cost, life expectancy, rationale for purchase, priority of purchase, and other features. A sample capital needs list and budget is shown in Table 9.9.

Step 5. Capital fund sources: The fifth step in preparing a capital plan is to identify funding sources to pay for the needs summarized in Step 4. Knowledge of programs that award grants for capital improvements and investments will be required. Research the granting agency purpose, eligibility requirements, local match terms, funding cycle, funding levels, and funding history. Federal, state, regional, county, and local governments; tribal organizations; social and human service agencies; and profit and nonprofit entities should be investigated and matched to the capital needs of the project. When funding is approved, insert documentation verifying the funding commitment and terms into the appendix of the Financial Plan.

Step 6. Schedule of capital costs and funding sources: The sixth and final step in preparing the capital plan is to schedule known expenditures with known funds. This is shown in Table 9.10. It is noted that a $6,000 contingency (5 percent of total expenditures) is established by the sponsor. Contingencies provide reserves against the risk of unexpected costs and unanticipated funding shortfalls or delays.

Borrowing, debt levels, and ratings: Often the financing of capital needs is achieved through borrowing. If the capital plan involves debt or debt proceeds, a separate schedule should show outstanding debt levels, the gross amount of each debt issuance, the net proceeds from each issuance, debt service requirements, and interest rates for the present year and the past (if applicable) and future 5 years, at minimum. The borrowing costs should be listed by year as a line item under capital expenditures in the capital plan schedule.

The completed capital plan (expenditures, funding, and schedule) should be inserted in the project Financial Plan and also incorporated in the sponsor's agencywide capital plan. This demonstrates sponsor commitment to and responsibility for the project in the context of other agency programs and objectives.

Cash Flow Analysis

The fourth element of the Financial Plan—cash flow analysis—summarizes the operating and capital data and permits a year-by-year review of the financial condition of the project.

Table 9.9. Sample project capital needs and budget.

(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11)	(12)	(13)	(14)	(15)	(16)
Proposed Project	Quantity	Purchase Price (each)	Total Cost	Life Expectancy (years)	Project Category	Estimated Financial Assistance	Capital Program Years						Operating Cost (Savings)	Project Class	Comments
							1	2	3	4	5	6+			
Van, 15-Pass., Lift-Equipped	3	$30,000	$90,000	4	B	$72,000		$18,000					$4,000	2	Standard replacement to continue service
Roof Repairs, Garage	1	$26,000	$26,000	15	B	$13,000	$13,000						($10,000)	1	Roof leaks damaging equipment
Computer and Printer	1	$4,000	$4,000	5	C	$3,200	$600						($6,000)	3	Data processing improvements
TOTAL			$120,000			$88,200	$13,600	$18,000	$0	$0	$0	$0	($12,000)		

Legend

(1) Name of proposed project

(2) Needed quantity

(3) Estimated purchase price

(4) Total estimated capital costs

(5) Estimated life expectancy

(6) Project category, e.g. B = replacement; C = new equipment

(7) Estimated financial assistance

(8) thru (13) Project start year, e.g. Year 2 (the year vans proposed to be placed into service) and the net estimated local capital cost, e.g. $18,000, in Year 2 column. (If state assistance available, local share will be less). There should be six columns here, one for each of the first five years plus one for all future years starting with Year 6.

(14) Associated operating cost increase or saving, e.g. $4,000. Maintenance employees will require retraining on new components but vehicles estimated to improve fuel efficiency.

(15) Project classification – a ranking of relative priorities

(16) Comments including use of the project and estimated benefits.

Source: Financial Management Guidelines for Rural and Small Urban Transportation Providers, Burkhardt, et. al, 1992, pg. 5-16.

Table 9.10. Sample 5-year project capital plan, FY2010–14.

Fiscal Year	2010	2011	2012	2013	2014
	Actual		Budget		
Capital expenditures					
15-passenger van (3)	0	0	0	$90,000	0
Garage roof repairs	$26,000	0	0	0	0
PC and printer	0	$4,000	0	0	0
Total capital expenditures	**$26,000**	**$4,000**	**$0**	**$90,000**	**$0**
Capital funding sources					
FTA Tribal Transit (Section 5311 [c])		$1,600	0	$36,000	0
BIA – IRR	$10,400	$1,600		$36,000	
State rural transit (local match)	$5,200	$800	0	$18,000	0
Tribe contingency	$2,600	$400	0	$3,000	0
Total capital revenue	**$18,200**	**$4,400**	**$0**	**$93,000**	**$0**
Beginning cash balance	$24,200	$2,600	$1,400	$91,600	$1,600
Change to cash balance	($26,000)	($4,000)	0	($90,000)	0
Closing cash balance	**($1,800)**	**($1,400)**	**($1,400)**	**$1,600**	**$1,600**

More than 5 years of analysis may be required when preparing cash flow, depending on the duration and complexity of the project or the requirements of the granting agency. Cash flow analysis is a valuable tool for project planning. It assesses the financial strategy and quickly detects any risks, inconsistencies, or changes that may be needed. An example is presented in Table 9.11.

Sample Analysis. In considering the sample project, the operating budget appears adequate and suggests the $20,000 operating reserve created by the sponsor could be reduced or eliminated. However, it also provides some protection against possible unknown changes in costs such as a large increase in the price of fuel. On the capital side, the $6,000 contingency established by the sponsor may not be enough to cover risks. There is a shortfall in capital funding which would require additional funding from the tribe or a transfer from the operating reserve funds. Should the FTA capital infusion anticipated in 2013 be delayed, the planned vehicle replacements scheduled in 2013 may not be possible given the limited contingency. Options that may be considered include the following:

- The sponsor may wish to re-think the diversity of its capital sources—with less reliance on the one-time 2013 FTA capital grant and further exploration of local, regional, county, or state sources that may support the procurement of one or all of the needed buses.
- The sponsor may consider reducing capital costs by leasing the needed vehicles or procuring used vehicles in good condition in lieu of new vehicles.
- Two, rather than three, vehicle procurements by 2013 may be considered after reviewing how the reduced fleet may affect ridership and service levels.
- The option of re-allocating all or a portion of the proposed operating reserve to the proposed capital contingency could be considered.

Appendix

The final element of the Financial Plan is the appendix, which contains documentation that supports the assumptions and forecasts of the plan. At minimum, the appendix should provide the items listed in this section.

Table 9.11. Sample project 5-year cash flow analysis, FY2010–14.

Fiscal Year	2010	2011	2012	2013	2014	Total
	Actual	Budget				
Operating						
Operating revenue (see Tables 9.6 & 9.7)	$47,400	$47,400	$47,400	$47,000	$47,000	$236,200
O&M expenses (see Tables 9.4 & 9.7)	$43,200	$44,928	$46,726	$48,595	$50,540	$233,989
Balance from operations	$4,200	$2,472	$674	($1,595)	($3,540)	$2,211
Capital						
Capital revenue (see Table 9.10)	$18,200	$4,400	0	$93,000	0	$115,600
Capital expenditures (see Table 9.10)	$26,000	$4,000	0	$90,000	0	$120,000
Change in capital funds	-7,800	400	0	3,000	0	-4,400
Cash balance						
Beginning cash balance	$26,000	$22,400	$25,272	$25,946	$27,351	
Change to cash balance	-3,600	2,872	674	1,405	-3,540	
Closing cash balance	$22,400	$25,272	$25,946	$27,351	$23,811	

Economic, Demographic, and Related Documentation.

- Historical data and forecasts of local economic, demographic, employment, and population levels and conditions that support the need for or affect the costs of the proposed service.
- Growth or inflation rate assumptions that may affect costs, ridership, operations, and service levels.
- Other transit operations or needs in the service area which may complement the project.

Project Sponsor Information.

- Three years of audited financial statements for the organization.
- Agencywide capital and operating plans, which include the operating and capital data of the proposed project.
- Existing and anticipated service contracts, service agreements, and leasing agreements.
- Past performance in receiving operating and capital grants including evidence of timely match and history of obligations and draw-downs.
- Inventory of assets, asset replacement schedule, and fleet management plans.
- Other services provided through the organization, including their history, and how the services are managed, administered, and financed.
- If applicable, the Long-Range Transportation Plan (LRTP) and Transportation Improvement Program (TIP) of the organization or the government entity supporting the proposed service. The documents should include the proposed project.

Information About Other Sponsors.
- Description of other sponsors, subcontractors, or subrecipients involved in the delivery of project services or financing of project assets including the financial profile of each and description of their involvement.

Funding Information.
- Commitment letter, notification of funding, official grant agreement, or other documentation evidencing commitment of funds.
- Written verification from the granting agency or funding partner indicating "intent to commit" if no formal commitment or programming of funds is in place.
- Detailed description of any financing or borrowing technique or method used to support the project.

Annual Update

The Financial Plan should be updated every year as new budget information becomes available. Actual financial results should replace forecasts from the previous year. Forecast equations should be re-estimated with another year of data and the resulting forecasts updated. Any changed policy, cost, or revenue factors should be incorporated to reflect current reality. Moreover, any event that has a material impact on the current or future financial profile of the project should trigger an update of the Financial Plan. Events such as the loss of funding or changes in the service schedule; cost changes for critical capital procurements; or other events, such as the introduction of a new regional service that may diminish or complement the proposed project, should be reflected in the revised Financial Plan.

Types of Fuel:

Liquid Fuels
- *Diesel*
- *Biodiesel*
- *Gasoline*
- *Ethanol*

Gaseous Fuels
- *Compressed natural gas (CNG)*
- *Liquefied natural gas (LNG)*
- *Hydrogen*
- *Propane*
- *Dimethyl ether*

Electric Power
- *Trolleybus*
- *Battery electric*
- *Hybrid electric*
- *Fuel cell*

Alternative Fuels

Choosing a fuel is a decision that affects an organization's long-term costs, performance, and public perception. Some of the factors important for making a prudent fuel choice are introduced in this guidebook. It provides a starting point for assessing fuel choices.

This section is adapted from information published in *TCRP Report 146: Guidebook for Evaluating Fuel Choices for Post-2010 Transit Bus Procurements.* It addresses developing a short list of fuels to further explore.

Developing a Short List of Fuels

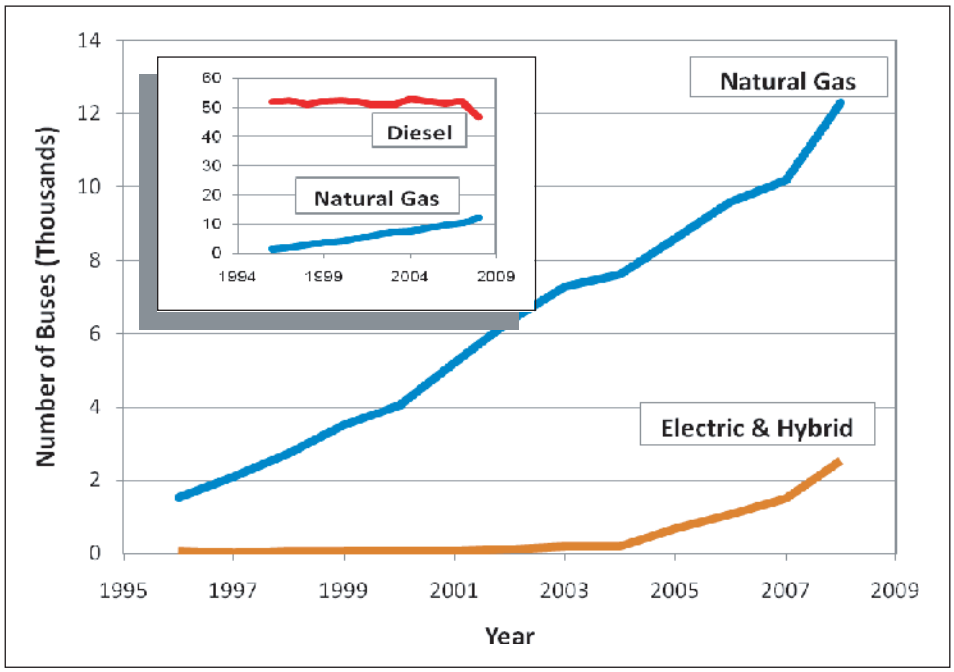
Transit agency fuel choice decisions are based on a variety of factors, including the following:

- Capital and operating costs
- Environmental concerns
- Reliability of fuel and technology suppliers
- Popularity, including political support
- Transit agency experiences
- Risks associated with fuel change

A detailed analysis of each fuel option takes significant time and effort. Many agencies reduce their detailed analyses by first establishing a short list of two to three fuels. To aid in developing this short list, overall fuel comparisons are shown in tables and graphs.

Infrastructure and Availability

Infrastructure risks are one of the types of risks associated with changing fuels. These risks include unavailability or interruption in the fuel supply, fuel-specific equipment, spare parts,



Source: *TCRP Report 146: Guidebook for Evaluating Fuel Choices for Post-2010 Transit Bus Procurements,* p. 2-2.

Figure 9.10. Number of transit buses by fuel type over time.

Diesel Gallon Equivalents:

Diesel gallon equivalents (DGE) is a unit used when comparing different fuels. One DGE always has the same energy content as 1 gallon of diesel. Since diesel has around 128,450 Btu per gallon, 1 DGE is defined as being whatever the quantity of another fuel that contains 128,450 Btu. A DGE is more than 1 gallon of the common alternative fuels because they contain less energy per gallon.

and maintenance and warranty services. Infrastructure risks are generally for less broadly used fuels. Over time, relative usage of different fuels has varied. The level in recent years is often a direct indicator of the availability of the fuel and its associated technology.

Figure 9.10 shows the total number of natural gas buses in the United States compared to the total number of electric and hybrid buses between 1996 and 2008 based on data collected by the American Public Transportation Association (APTA) for transit buses (fixed-route service). Although the number of natural gas buses steadily increased during this period, electric buses were initially very slow to increase in numbers. However, beginning around 2004, a technology improvement in the hybrid powertrain led to subsequent increases in use of hybrid buses.

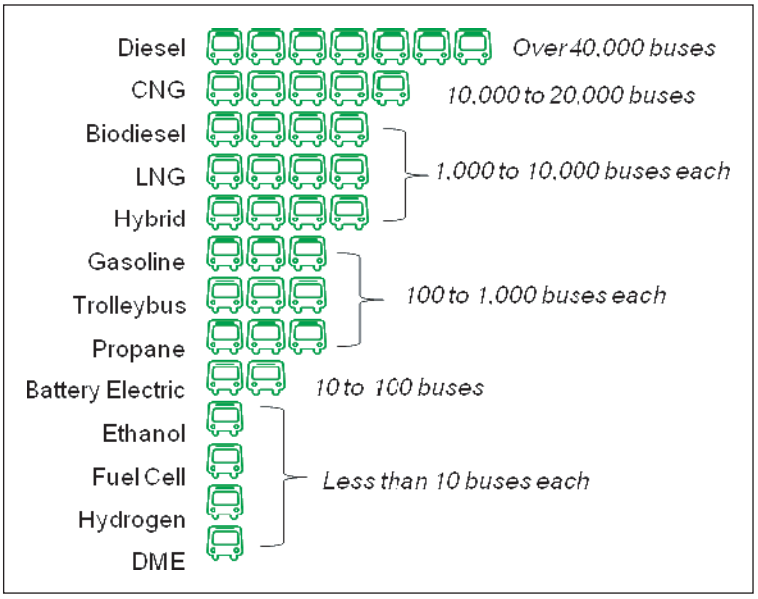
The inset box in Figure 9.10 shows on a different scale the same data for natural gas and diesel buses. From the inset, it can be seen that while natural gas usage has been steadily increasing, most transit buses are still powered by diesel.

All other alternatives have lower usage than natural gas.

Figure 9.11 shows the relative number of transit buses currently running in the United States for each fuel discussed in *TCRP Report 146.* These number ranges are based on a variety of recent estimates with differing precision, and imply general differences in availability and confidence in generalizing the available data. Note that 5 of the 13 fuel types have less than 100 operating buses nationwide in 2010.

Emissions Comparisons

Emissions have been an important factor in the fuel selections at many transit agencies. The more stringent Environmental Protection Agency (EPA) 2010 emissions standards apply to all heavy-duty engines no matter which fuel they burn. As such, the difference in tailpipe emissions between the various fuel choices has been greatly reduced. Most bus engines require emission control technologies to bring emissions down to the level mandated in the 2010 standard, regardless of the fuel.

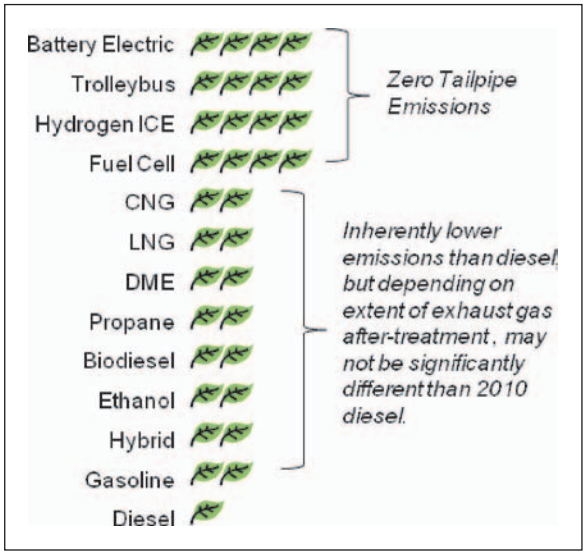


Source: *TCRP Report 146: Guidebook for Evaluating Fuel Choices for Post-2010 Transit Bus Procurements,* p. 2-2.

Figure 9.11. Number of transit buses by fuel type.

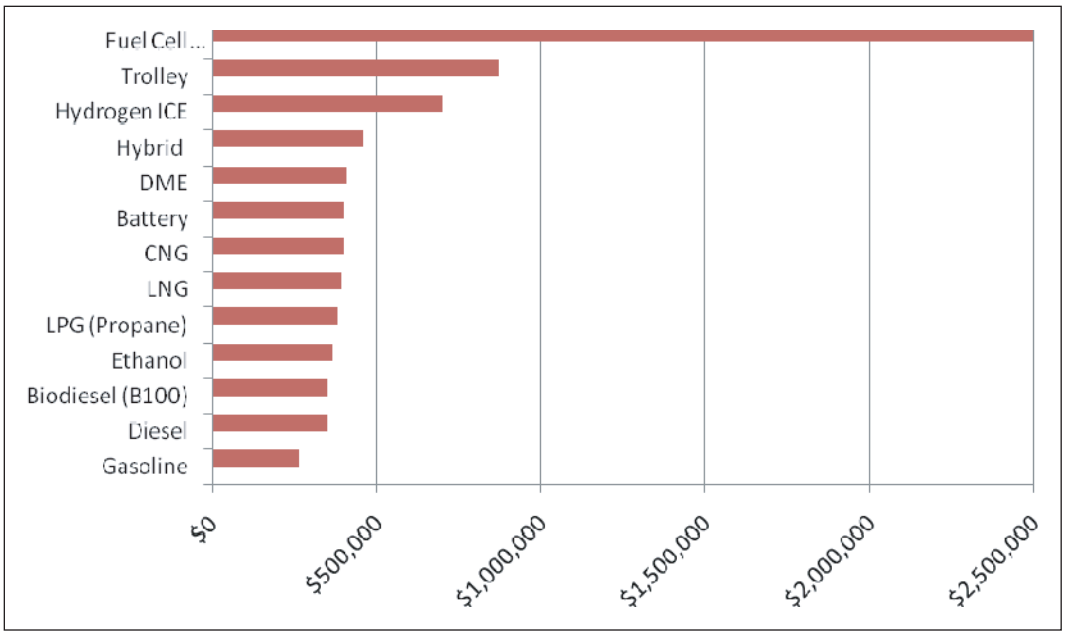
Figure 9.12 shows a basic comparison of emissions from various types of fuels. Figure 9.12 shows only tailpipe emissions of regulated pollutants—these pollutants are released locally as the bus operates.

A recent National Energy Technology Laboratory (NETL) analysis of greenhouse gas (GHG) emissions from conventional transportation fuels found that "opportunities for lowering the life cycle GHG emissions from transportation-related fuels will best be achieved through improved vehicle efficiency or alternative sources of transportation fuels" (Skone and Gerdes).



Source: *TCRP Report 146: Guidebook for Evaluating Fuel Choices for Post-2010 Transit Bus Procurements,* p. 2-3.

Figure 9.12. Regulated tailpipe emissions.



Source: *TCRP Report 146: Guidebook for Evaluating Fuel Choices for Post-2010 Transit Bus Procurements,* p. 2-4.

Figure 9.13. New bus purchase prices by fuel type.

GHG emissions are not currently regulated. A fuel's lifecycle GHG emissions can vary greatly depending on how it is produced and transported. Fuels such as ethanol could potentially reduce or increase lifecycle GHG emissions compared to diesel depending on factors such as feedstock and land use. Fuels such as hydrogen and electricity only produce zero-GHG emissions on a tailpipe level; on a lifecycle basis, these fuels may be responsible for significant levels of GHG emissions depending on how they are produced.

Cost Comparisons

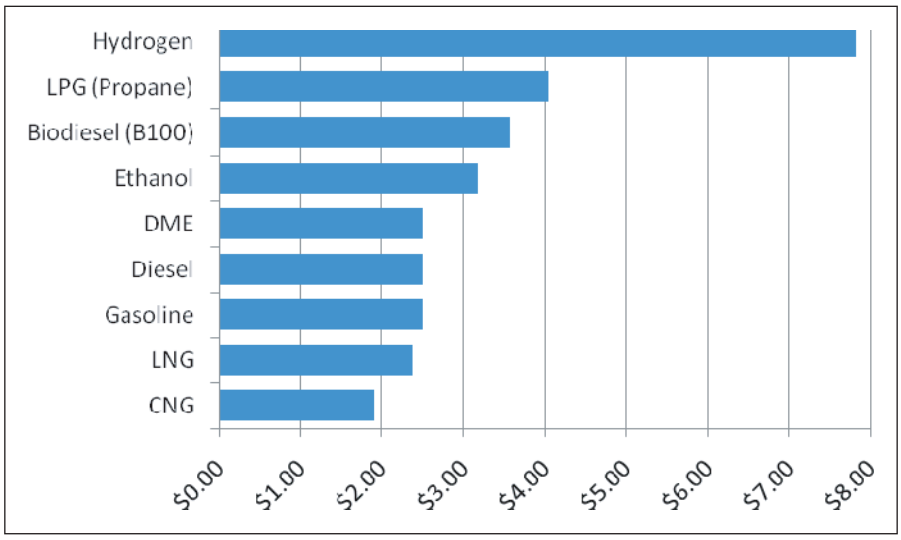
Many costs come with purchasing a new type of bus, ranging from retrofitting garages to training employees to handle the fuel. The two most obvious costs, however, are the buses themselves and the fuel required to power them. Figure 9.13 and Figure 9.14 show comparisons of these costs.

Vehicle Disposal

FTA establishes useful vehicle life requirements for vehicles purchased in whole or part with federal dollars. These requirements are given in terms of years and accumulated miles for various vehicle types. These regulations were established to ensure that taxpayer dollars are spent effectively. Vehicles that are retired or disposed of prior to their established service-life leave the transit agency subject to financial penalty. An FTA study found that, in general, vehicles are in service for 1 to 3 years past their minimum service-life guidelines. These minimums are depicted in Table 9.12. The minimum life is reached when either the service years or miles have been reached, whichever comes first.

Disposal Before the End of Useful Life

For projects that receive grant funds directly from FTA, the disposal of a vehicle before the end of its useful life requires prior FTA approval. In addition, FTA is entitled to its share of the



Source: *TCRP Report 146: Guidebook for Evaluating Fuel Choices for Post-2010 Transit Bus Procurements*, p. 2-4.

Figure 9.14. Fuel prices per diesel gallon equivalent (DGE).

remaining federal interest. This interest is determined by calculating the fair market value of the property immediately before the removal from use. Straight-line depreciation is always used so that calculation of remaining value is relatively simple. For example, a vehicle with a 12-year service-life depreciates at 1/12th of its value each year until it reaches the end of its service-life. After the fair market value of the vehicle is established, the federal interest is simply the portion of the original grant paid for with federal funds, generally 80 percent of the total. For vehicles purchased using funds received through the state, the requirements of the state must be followed.

Retain and Use Elsewhere

If the minimum useful life of the vehicle has been reached and the vehicle is no longer needed for its original project purpose, it can then be used for other projects or programs without FTA approval.

Fair Market Value More than $5,000

After the service-life of the property has been reached, vehicles with a fair market value more than $5,000 may be retained or sold. Reimbursement to FTA is calculated at the time of disposition or net sale proceeds by the percentage of FTA's participation in the original grant.

Table 9.12. Minimum service-life guidelines.

Category	Minimum Useful Life	
	Years	Miles
Heavy-duty large bus (35–60 feet)	12	500,000
Heavy-duty small bus (30 feet)	10	350,000
Medium-duty bus (30 feet)	7	200,000
Light-duty mid-sized bus (25–35 feet)	5	150,000
Light-duty small bus, cutaways, modified vans	4	100,000

Fair Market Value Less than $5,000

Vehicles with a fair market value less than $5,000 may be retained, sold, or disposed of without obligation to reimburse FTA after the service-life of the vehicle has been reached.

Additional information regarding vehicle disposal and service-life can be accessed via the following sources:

- FTA Circular 5010, at http://www.fta.dot.gov/documents/C_5010_1D_Finalpub.pdf
- FTA Useful Life of Buses Report, at http://www.fta.dot.gov/documents/Useful_Life_of_Buses_Final_Report_4-26-07_rv1.pdf

Legal Issues

Legal Authority

A public tribal transit authority is an expression of tribal sovereign power. Public transit authorities, like other government agencies, are creatures of statute or law, which authorize the terms and conditions of their existence. Such agencies are created by governments to conduct a public service and, as such, are a branch of that government. The government generally establishes criteria under which the transit authority must operate. Common issues include the ability to receive and manage funds, as well as apply for external grant and contract opportunities with state, federal, and local agencies.

Tribal authority to engage in transit-related activities can be expressed through several different avenues. Tribes have inherent authority to create and charter public and private entities under tribal law. Congress also created mechanisms for tribal government organization under the Indian Reorganization Act (IRA) of 1934. Section 16 of the IRA provides for organization of tribal government itself, and Section 17 provides for federally chartered tribal corporations. Tribes can also create state chartered corporations.

When creating a transit agency, tribes must consider the role of tribal sovereign immunity from suit. Sovereign immunity is the doctrine that precludes the assertion of a claim against a sovereign without the sovereign's consent. The law of tribal sovereignty—as it has developed in the federal courts and by federal statutes, executive orders, and treaties over the last 2 centuries—now rests on several fairly well-settled tenets: 1) tribes have virtually unlimited authority over internal tribal affairs; 2) tribes are subject to the plenary, or absolute, power that Congress has over them; 3) tribes are presumptively immune from state law; 4) tribes cannot be sued absent their express consent or a waiver of their immunity; and 5) tribal sovereign immunity does not extend to individual tribal members except to the extent that tribal officials act within the scope of their official capacities.

The conduct of a transit service creates the risk of liabilities to the public and transit agency employees in addition to the contractual relationships with funding agencies and vendors. Although tribes have long been found to possess immunity from unconsented suit, there have also been situations where courts have found that immunity waived. Through careful document drafting while creating the public transit agency, tribes can choose to provide limited waivers of sovereign immunity designed to protect and assert tribal sovereignty while addressing the need for responsibility for any harm resulting from that activity.

Though tribes are reluctant to submit themselves to the jurisdiction of a foreign court (state, county, or federal), these same entities are reluctant to submit their agencies to tribal court jurisdiction for the resolution of disputes. Some frustration exists in this situation based on the Indian Commerce Clause delegation of authority over tribal affairs to Congress. Congress has passed several laws that require tribes to obtain transit and other funding by application to state agencies without addressing the need for effective dispute resolution between those separate

sovereigns. In the absence of clear congressional directives in this area, tribes, states, and local agencies are left to negotiate their own terms for transit funding agreements.

Contracts

Tribes engage in a wide range of contractual arrangements in the day-to-day operation of a transit agency. A contract is an agreement between two or more persons or entities in which there is a promise to do something in exchange for something of value (called "consideration"). Some of these contracts are commercial in nature, involving the purchase of goods and services. Other contracts are government-to-government agreements involving program funding, land use, sharing of resources, and allocation of jurisdictional responsibility. Proper management of these legal obligations requires careful consideration of the types of relationships involved, identification of legitimate government interests at stake, and management of risks through careful document drafting and insurance requirements. Any contract to be considered by the tribe as part of the transit program should be reviewed and approved by an attorney for the tribe.

Insurance

Operating a transit program involves liability as vehicles are operated on public roadways and passengers are transported in the agency vehicles. The transit program should obtain insurance for the vehicles, the agency, and employees. Insurance requirements may include workers' compensation, general liability, and vehicle liability. Tribal transit programs typically obtain insurance through the insurance carrier for the tribe. Requirements for minimum coverage may be determined by the tribe, states, or funding programs. The requirements of each agency or funding program will need to be considered depending on the service and sources of funding.

Barriers and Obstacles

Some tribes develop an implementation plan and prepare to start a transit service only to find that they are faced with barriers and obstacles. This section describes some of the barriers and obstacles faced by tribes in implementing a transit service.

Meeting FTA Requirements

Some tribes have encountered obstacles in meeting FTA requirements. For example, Oglala Sioux Transit was delayed 4 years because the tribe was required to complete a Disadvantaged Business Enterprise (DBE) Plan as part of its certifications and assurances for receiving FTA 5309 funds. The tribe was concerned that the certifications and assurances would give away tribal sovereignty and that many of them did not fit the tribe's situation. After a delay of 4 years, the tribe finally signed the certifications and assurances as required by FTA and was able to start a transit service. Although the tribe signed the agreement, the tribe has since seen changes in how FTA deals with tribes.

Lack of Support from Tribal Council

The Eastern Band of Cherokee Indians faced initial opposition from the Tribal Council when they wanted to start their transit service. The Tribal Council did not think people would use such a service. The transit manager collected actual names of people who would use such a transit service. This convinced the Tribal Council to give their approval for such a transit service.

Change in Administration

At the final stages, some tribes have had to face challenges such as a change in administration. For example, the Northern Cheyenne Tribe applied for a technical assistance grant through the Community Transportation Association of America (CTAA). This grant helped the tribe identify needs, look at the feasibility of providing public transit services, and involve key players in planning the transit system. Based on the study, the tribe applied for a grant through FTA's Tribal Transit Program (TTP) and was awarded $157,000 in Fiscal Year 2007 to operate the new service. Despite having the funding awarded, the tribe had to manage issues related to a change in tribal administration. They also had to re-sign all the documents for FTA. The tribe finally started their service in April 2009, providing service on the reservation and to Billings.

The Crow Reservation found itself delayed in obtaining funding and starting service because of a change in administration. The tribe has tribal elections every 4 years. Whenever there is an election, the chairman changes and all the staff under the chair also changes. The tribe eventually was able to submit the grant application, but was delayed in obtaining funding and starting service because of the change in administration and senior staff.

Implementation Process

This chapter has described the elements that make up an implementation plan. Once feasibility has been determined and the tribe decides to move forward to implement transit service, the elements described in this chapter must be completed.

Implementation Steps

Each element of the implementation plan should be broken down into specific steps and tasks that must be accomplished for completion of that element. For example, the operations plan requires that drivers' work schedules be prepared. However, to complete the drivers' work schedules requires completion of operating schedules, vehicle assignments, and driver run cuts. Specific tasks should be identified for each component of the implementation plan.

Responsibilities

To complete each element of the implementation plan, specific responsibilities must be established and assigned for each task. Formation of an implementation task force will provide for shared responsibilities, but a single person should be responsible for each element. It will also be imperative to assign overall responsibility to a single person who will provide leadership for the task force. Critically important for tribal transit programs is to have this local leadership provided by someone committed to the success and implementation of the service.

Implementation Milestones

Deadlines and milestones for completion of each task and component of the implementation plan must be established. Several elements may require significant time to complete. Before service can start, buses must be obtained. If buses will be purchased, sufficient time must be allowed to complete the purchase. Depending on how the vehicles are purchased, this process can take from 6 months to over a year. The buses cannot be purchased until funding is available. Grant cycles vary by program, but some states use a 2-year cycle, which means the grant application must be submitted up to 2 years or more before service may begin. Tracking each milestone will be important because a missed deadline for a grant application could delay the implementation by a year or more. To be successful, the implementation effort requires a strong local leader with skills to manage multiple tasks and deadlines.

For More Information

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CHAPTER 10

Tribal Transit Program Case Studies

Introduction

The research that led to this guidebook included detailed interviews and site visits with selected tribes to learn more about their transit programs, or in some cases, about their efforts to establish a transit program. Tribes were selected to represent different types of transit programs, new and older programs, and to include some tribes that have not successfully implemented a transit program. Findings from the interviews and case studies were used to develop many of the recommendations in this guidebook. Fifteen tribes participated in site visits, as follows:

1. Eastern Band of Cherokee Indians
2. Coeur d'Alene Tribe
3. Confederated Tribes of the Grand Ronde Community of Oregon
4. Lac du Flambeau Indian Tribe
5. Menominee Indian Tribe
6. Navajo Nation
7. Oglala Sioux Tribe
8. Confederated Salish and Kootenai Tribes
9. Seneca Nation of Indians
10. Sitka Tribe of Alaska
11. Southern Ute Indian Tribe
12. Standing Rock Sioux Tribe
13. Stillaguamish Tribe of Indians
14. Turtle Mountain Band of Chippewa Indians
15. Yakama Indian Nation

Information from each tribe is summarized in this chapter.

Image used with permission of the Travel and Tourism Office, Eastern Band of Cherokee Indians.

Figure 10.1. Entrance to reservation, Eastern Band of Cherokee Indians.

Eastern Band of Cherokee Indians

The Eastern Band of Cherokee Indians (EBCI) is located in western North Carolina on the eastern boundary of the Great Smoky Mountains National Park, an area known as the Qualla Boundary (Figure 10.1). They are descendants of the Cherokee Nation that once inhabited much of eight present-day southern states. The Cherokee Nation lived in this area for thousands of years until Europeans arrived and began to settle. After 200 years the Cherokee empire was reduced to a small territory and the Indian Removal Act of 1830, approved by President Andrew Jackson, called for the removal of all Indians to lands west of the Mississippi. The result was the "Trail of Tears," by which 17,000 Cherokee traveled 1,200 miles west to Oklahoma. Members of EBCI are descended from those Cherokee who hid in the mountains, defied removal to the west, or returned to their original lands.

Transit Program

Cherokee Transit operates a successful public transportation service throughout the Qualla Boundary, offering in-town services in Cherokee, rural routes into Cherokee from surrounding communities, and a shuttle route through the Great Smoky Mountains National Park (Figure 10.2). The system has been in place for more than a decade and was developed by the tribe from a series of tribe-sponsored agency transportation services.

Image courtesy of LSC.

Figure 10.2. Park trail shuttle operated by EBCI.

Sensing the need to develop a general public transit network, EBCI reached out to the North Carolina Department of Transportation (North Carolina DOT) for planning funds to undertake a transit development program. The state agency had several consulting firms under contract for such projects, and awarded a planning grant. Contractor staff work closely with the Cherokee and help develop a plan for the integration of the various agency transportation networks into a single entity. Later, North Carolina DOT sponsored a second transit plan update providing additional consulting services to the tribe, and the tribe received a technical assistance grant from the Community Transportation Association of America (CTAA).

The Park Trail Shuttle is promoted on the Great Smoky Mountains National Park website and at visitor centers. Cherokee Transit also promotes the shuttle through park associations and information for hikers on the Appalachian Trail. Local service in Cherokee is promoted through visitor centers and hotels.

Funding Approach

Cherokee Transit relies on funding from a variety of sources. Rural transit funding from North Carolina DOT through FTA Section 5311 is used and matched by funds from the tribe. Cherokee Transit has obtained funding from the FTA Tribal Transit Program, and a new facility is being funded through the American Recovery and Reinvestment Act (ARRA). Funding for services also is provided for medical trips and senior services. The Park Trail Shuttle has been funded through the Congestion Mitigation and Air Quality Improvement (CMAQ) program. Some fares are paid by local hotels for guests traveling to and from the casino.

Cherokee Transit has approached the casino about receiving funds directly from the casino, but has not received financial support.

Challenges

Cherokee Transit indicated that communication and working with North Carolina DOT and the FTA regional office are challenges. Cherokee Transit is concerned with the level of understanding of tribal issues of staff members, particularly at agencies with no staff experienced in tribal transit. Some of these challenges have been overcome by contacting tribal liaisons in FTA regions or staff at FTA headquarters. To respond to review comments from North Carolina DOT, for example, Cherokee Transit sought technical assistance from CTAA.

The tribe feels that there is a need for funding agencies to better understand tribal sovereignty and tribal hiring preferences. For example, requirements for a disadvantaged business enterprise (DBE) program appear to conflict with Tribal Employment Rights Office (TERO) provisions, and the tribe has found it challenging to communicate with funding agencies about TERO.

Hiring sufficient staff has been a challenge. Transit is not allowed to request additional positions. To get around this limitation, funding for positions is requested through grant applications: When the grant is received, the positions are funded and approved through the grant program separately from the tribal budget.

Innovative Approaches

As important as it was to have the initial planning grant from the state and the services of an experienced consulting team, it was much more important that EBCI have the community leadership in place, not only to push for the plan, but also to take leadership in implementing the 5-year program. Without the leadership of the transit manager, backed strongly by the direction of the Tribal Council, the system likely would have foundered. The original manager continues to run the system and has been instrumental in creating the systems that are in place for operations and management of the program.

During the implementation of the transit program, the transit manager refused to let barriers prevent success. For example, to gain support from the Tribal Council, the manager compiled a list of individuals riding the system and gave the list to the council members so they could see who actually depended on the system.

The following combination of factors also has contributed to the ongoing strength of the program:

- A very competent and experienced staff with well-defined roles and responsibilities
- Solid training programs
- Funding resources from the Tribal Council, agencies, operating grant programs provided by North Carolina DOT, and monies brought into the Boundary by the expansion of its casino

The casino expansion greatly increased both the need for the system and the revenues used to finance operations. Thus, Cherokee Transit has been able to maintain service with fewer disruptions than other systems experience related to fluctuations in the funding base on which the system draws.

EBCI points to three significant reasons for its transportation growth and stability: (1) a solid initial plan on which to build, (2) consistent and strong leadership from the inception of the system until today, and (3) a fairly predictable and stable funding base on which to plan.

Coeur d'Alene Tribe

The Coeur d'Alene Tribe is located in the northern panhandle of Idaho, near the city of Coeur d'Alene and east of Spokane, Washington. Unlike many tribes, the Coeur d'Alene are located on a portion of their traditional lands. Coeur d'Alene Indian villages were established along the Coeur d'Alene, St. Joe, Clark Fork, and Spokane rivers. The first white people to discover the Coeur d'Alene Tribe were French trappers and traders who gave them the name that remains today.

Transit Program

Image courtesy of Citylink.

Figure 10.3. A Citylink bus.

Citylink is a deviated fixed-route public transportation (bus) service operating within Kootenai and Benewah counties in the northern panhandle section of the state of Idaho. The purpose of the service is to meet the access and mobility needs of workers, students, elderly individuals, persons with disabilities, and the general public.

Citylink is operated by the Coeur d'Alene Tribe and is administered through the tribe's casino and resort-hotel enterprise (Figure 10.3). Its service area includes the Coeur d'Alene tribal reservation, where one rural bus route links the rural and urban communities in the service area with the three urban bus routes in the cities of Coeur d'Alene, Post Falls, and Hayden. The service is free to all riders.

Bus service was needed on the reservation. The communities are separated and spread across a large area along U.S. Highway 95. A system was envisioned that connected the communities with Plummer as the focal point. The Coeur d'Alene Casino-Hotel operated a customer-based bus service for their clientele, but not for the general public. A proposal was written for $241,000 and submitted to the Idaho Transportation Department (ID). ID offered the tribe $141,000.

After considering options for covering the shortfall, including cutting back the original service concept, the planners approached the Tribal Housing Office to see if they would operate the public bus service. The tribal housing director was familiar with bus operations and shared the vision for connecting the communities. He found the match to the state Section 5311 rural grant offer. Because of a delay in the response, ID reduced the grant offer to $82,332, which the tribe matched with $32,767. The system started in the last quarter of 2005 with a driver and a Ford Goshen passenger bus traveling up and down Highway 95 serving the reservation and tribal communities.

Shortly after Citylink's inception, Kootenai County was awarded an FTA Section 5307 urban grant to provide transportation in and around the city of Coeur d'Alene, Idaho. The tribe agreed to be a third-party provider and subgrantee to Kootenai County. With this partnership, service expanded to include a link and three urban routes.

Funding Approach

Funding for the Citylink system is provided through a partnership with FTA, the Coeur d' Alene Tribe, Kootenai Metropolitan Planning Organization (KMPO), the State of Idaho Transportation Department, and Kootenai County. It is the only known public transportation system in the United States where tribal, local, and state governments have collaborated to create a free public bus service.

Citylink is funded with FTA Section 5307, 5309, 5310, and 5311 funds. All local match is from the Coeur d'Alene Tribe. Currently, Kootenai County transfers $96,699 annually from its FTA Section 5307 urban grant to the Tribe to support operation of Citylink's rural route. The Tribe is a subgrantee of Kootenai County, a grantee with ID, and provides regional deviated fixed-route public bus service.

Challenges

An initial challenge in starting the service was the reduction in the size of the grant from the ID. Although the original request was for $241,000, the final amount of the actual grant was $82,332. Key people who were working to start the transit program worked with others within the tribal government to find a way to start the service. Once the service was started, the tribe was able to enhance and expand the service. Accomplishing the initial step of starting a small service was important in the success of the system which operates today.

With multiple funding partners, there are challenges in reporting and program monitoring. Each program has requirements for reporting. The tribe is audited annually to ensure that it remains in compliance with all requirements.

Vehicle maintenance is performed at a facility 20 miles away from the transit offices. This requires the expense and time of taking vehicles to the maintenance facility. Citylink has plans to develop a maintenance facility.

Innovative Approaches

The Citylink partnership with the Kootenai Metropolitan Planning Organization and Kootenai County is unusual. The tribe is the operator of the local urban transit system serving anyone within the local service area.

Citylink operates a fare-free system, meaning that passengers pay no fares. Although the system does not have fare revenue, the benefits to users are increased mobility without the out-of-pocket costs of paying fares. Local funding is provided by the tribe to maintain the free service for users.

Confederated Tribes of the Grand Ronde Community

The Confederated Tribes of the Grand Ronde Community of Oregon (CTGR) are settled in western Oregon, which their ancestors inhabited for centuries. The federally proclaimed tribal status of Grand Ronde was terminated in 1954, but the tribe fought for restoration of their status as a tribe, which they received in 1983. In 1988, nearly 10,000 acres of reservation land was officially returned to the tribe. The tribe attracts visitors through the Spirit Mountain Casino, which dedicates 6 percent of its profits to organizations in western Oregon. The tribe actively seeks to share its culture and pass it on to the next generation of tribal members.

Transit Program

Image courtesy of VJS.

Figure 10.4. A YCTA bus.

CTGR primarily provides transportation by contracting on a government-to-government basis with the Salem Area Mass Transit District (SAMTD) and Yamhill County Transit Area (YCTA). The SAMTD route has served the City of Salem and Grand Ronde since 2009. Ridership is lower than had been expected, particularly among casino employees. Low employee ridership may be due to the fact that the casino has a large number of shift changes and the SAMTD route cannot accommodate those times conveniently for the majority of casino employees. This route currently runs nine daily trips on weekdays between Salem and the casino (a 35-mile distance) with an average of 1,500 one-way riders a month. The YCTA route began in December 2007 and is an 8-mile extension of an existing route (see Figure 10.4). It has an average of 600 one-way riders per month.

CTGR decided to contract with existing service providers rather than start a new service through the tribe because they did not want to duplicate any existing services and it made more sense to expand the existing services in the area. Another concern was ongoing funding of tribal transit services. The tribe was concerned that they would start a service and be unable to sustain it financially.

CTGR does offer transit through Head Start, the Elder program, and the community health representative (CHR) program. Head Start has four vehicles—one 62-passenger bus, one 52-passenger bus, one 19-passenger accessible bus, and one 22-passenger accessible bus. Transportation is provided to Head Start participants, who are selected based on income level. Head Start has not collaborated with the other transit services because it serves a very specific population. The Elder program has one 14-passenger van for meal delivery and one 30-passenger bus for day trips. The CHR program has three General Services Administration (GSA)-leased passenger sedans. There is almost no coordination among these programs and the contracted transit services provided by SAMTD and YCTA. Some older children do ride these buses. The tribe recently received tribal transit funding to initiate a local collector bus service which would use the casino as a hub to serve surrounding areas. The tribe anticipates contracting with SAMTD and its Chemeketa Area Regional Transportation System (CARTS) program to run the new service.

Funding Approach

Revenue has been obtained primarily through the federal Tribal Transit grant program. Funding from FTA section 5311 (c) was awarded to the tribe in 2006, 2007, 2008, and 2010.

CTGR has also received state funding for transit service. Oregon's state transit program works with the tribe to ensure that it receives a share of the state's transit grants and is willing to make allowances for specific needs of the tribe. CTGR has chosen not to become a direct recipient of FTA funds administered by the state because it is concerned that administration would be more complicated, requiring extra staffing.

Challenges

Currently, CTGR's main challenge regarding transit is uncertainty of funding. Without funds to pay for contracted transit services, the tribe will no longer be able to maintain the service.

The tribe is exploring new ways of meeting transit needs for tribal residents. It hopes that adding the local collector bus will connect the tribal government campus, tribal community, and casino and further increase ridership.

Because CTGR has elected to contract with existing services on a government-to-government basis rather than provide its own transportation, tribal sovereignty has not been considered an issue.

Innovative Approaches

Contracting with local public transit service is an innovative approach among tribal transit programs. Rather than starting a service operated by the tribe, the decision was made to contract with the existing public transit systems. Although seeking bids for service is normally required, intergovernmental agreements between the tribe and the local government provide an acceptable alternative. The arrangement allows CTGR to seek funding through the Tribal Transit Program which is unavailable to the local public transit service. The tribe also has obtained funding through FTA's Section 5311 Rural Public Transportation Program and uses this funding to support the contracted service. The tribe has been able to access Oregon Department of Energy Business Energy Tax Credits through partnering with Oregon businesses.

On February 2, 2011, CTGR and SAMTD received the Regional Cooperative Project Award from the Mid-Willamette Valley Council of Governments for their Grand Ronde Express 2X route. Funding also has been obtained by SAMTD working with Polk County to build a park-and-ride at the county fairgrounds in the community of Rickreall, which is the only stop between Salem and the casino. Construction on the park-and-ride was completed in 2011.

Lac du Flambeau Indian Tribe

The Lac du Flambeau Indian Tribe has inhabited the Lac du Flambeau area of northern Wisconsin since 1745. The Lac du Flambeau Tribe is a band of the Lake Superior Chippewa Indians. Treaties signed in 1837 and 1842 officially established the area as the Lac du Flambeau Reservation. Near the turn of the twentieth century, the area became a tourist attraction and is still the location of many resorts. To foster economic sustainability, the tribe opened bingo and casino operations and uses the revenues to benefit economic and social development in the community (Figure 10.5).

Image courtesy of AECOM.

Figure 10.5. Lake of the Torches resort and casino, Lac du Flambeau, Wisconsin.

Public Transit Availability

Although the planning department has looked into providing public transit, the Lac du Flambeau Tribe does not currently provide transportation for the community. Plans have been casually explored, but the issue has not been made a top priority. Some programs provide transit for

Image courtesy of AECOM.

Figure 10.6. Van designated for use by elder members of the Lac du Flambeau Tribe.

target audiences. These programs include Head Start for school-age children, a youth center, local colleges, and Elder services (Figure 10.6). The casino, campground, and health clinic also provide transportation for people using their services.

Challenges

The tribe received a $25,000 grant from FTA under Section 5311, but did not use the funding because of difficulty navigating the Internet processing system. In 2009, the tribe was also awarded a $100,000 transit planning contract from the Bureau of Indian Affairs (BIA). This grant money is eligible to be used for hiring a person to conduct a transit study or other start-up costs involved in implementing a transit program. For example, the money may be used to buy a van but not to hire a driver, which would be an ongoing expense. This contract money has not been used yet, and the personnel responsible for using it have not had time to begin the process. The tribe planning department office is in the process of putting together the 2011 Transportation Improvement Program (TIP) with a 4-year projection including a phased approach.

It has been difficult for the tribe to establish a transit program, primarily due to the planning department not having enough time to prioritize a transit system. This difficulty is perpetuated by a high political turnover, particularly the tribal president. Each president changes job descriptions and brings in new personnel. A lack of expertise in navigating Internet funding requirements has also been a problem for the planning department in using funds.

Other challenges to the transit program include a general concern about how to make a transit service sustainable. The tribe is unsure as to what, if any, state funds are available to them for an established transit service. The planning committee is also concerned about how the organizations currently providing transportation might react to the tribe providing it. Those organizations may resent the competition or fight to keep transportation as a line-item in their budget.

Menominee Indian Tribe

The Menominee Indian Tribe is located approximately 45 miles northwest of Green Bay, Wisconsin, on about 358 square miles of reservation land. It is headquartered in the village of Keshena, but also consists of four other main communities—Neopit, Middle Village, Zoar, and South Branch. During the 1950s, the U.S. Congress passed legislation that terminated the Menominee's tribal status, but it was restored in 1973 by the work of a grassroots movement. The tribe is currently depending on federal funding to address social challenges in the community.

Transit Program

The Menominee Tribe established its transit program in 1982 with three routes which grew to eight routes by 1999. In 2000, Menominee Tribal Transit changed its name to Menominee Public Transit and added a route to Shawano, a city in the neighboring county which houses the closest grocery and department stores. As a result of a 5-year transportation development plan, Menominee Public Transit developed and implemented a partnership agreement with Menominee Tribal Clinic that created routes throughout the state of Wisconsin in 2007. Menominee Public Transit then changed its name to Menominee Regional Public Transit (MRPT) and increased its fleet from 12 vehicles to 20 vehicles ranging from five-passenger minivans to a 28-passenger bus (Figure 10.7). Ridership has increased every year.

Image courtesy of PSA.

Figure 10.7. A Menominee Regional Public Transit bus.

MRPT has coordination agreements with the Title VI Elder Program, the Menominee Health Clinic, Menominee County Human Services, and the College of the Menominee Nation. They also provide school children transportation under contract with the Menominee School, and

maintenance services for other tribal department vehicles. In coordinating with the Menominee Health Clinic, MRPT provides all non-emergency transportation that the clinic once provided itself using CHR and GSA vehicles, and has been able to increase the number of rides to the hospital while also cutting down the cost of the service.

MRPT is trying to coordinate services with the surrounding counties of Langdale and Shawano as well as with the Stockbridge-Munsee Community, Band of Mohican Indians.

Funding Approach

Funding is obtained through a number of sources. MRPT has received FTA Section 5311(c) funding in the past, although in 2007 and 2008 the grant was less than requested and no funding was granted in 2009. The transit service had to be adjusted to accommodate for this lack of funding. Because it is receiving funding through the state for FTA Section 5311, the tribe did not apply for FTA Section 5310 funding through the state. They did receive funding through New Freedom FTA Section 5317.

MRPT has elected not to become a direct recipient of FTA funds because they have a strong relationship with the Wisconsin Department of Transportation (Wisconsin DOT) and desire to continue collaborating with the state. They have been helped by contacts at the state in obtaining funding as well and do not think that becoming a direct recipient of FTA funds would help their position.

The Menominee Indian Tribe is working to establish a transit commission to receive state transit funding. Currently, the tribe does have a good relationship with the Wisconsin Department of Transportation and receives funding from multiple grants through Wisconsin DOT.

Many grants require local match funds which the tribe has obtained in a number of ways. During the most recent budget year (2009), these funds came from the following sources:

- the Menominee Indian Tribe of Wisconsin: $407,072
- the Menominee Clinic: $138,996
- Menominee County 85.21 funds: $79,176
- Wisconsin 85.215: $22,500
- Bureau of Indian Affairs: $150,000

Challenges

MRPT's biggest challenge in providing transit service is funding. Many funding services require a local match of funds which the service has been unable to obtain. Particularly challenging was the drop in FTA funding without an explanation. The tribe is not sure what they need to change in order to obtain those funds again.

Tribal sovereignty has not been a challenge for MRPT, although it is always a consideration. Tribal leadership recognizes the benefit that MRPT gives to the tribe and has been willing to negotiate with the state to keep the service running. The tribe has a good working relationship with the state. When there was concern about a grant requirement that Wisconsin law would apply, the tribe and state were able to negotiate and delete that requirement.

Beginning around 2000, MRPT recognized that people were not riding the buses because they thought the service was only for elders. To combat this perception, MRPT improved maintenance of the vehicles and carried out an advertising campaign. This approach helped the service increase ridership. When the one grocery store within the county closed, MRPT increased service into Shawano County. This increase in routes had the unintended effect of changing the public perception of the service from transportation primarily for elderly persons to a true public transit service.

The tribe and MRPT have also had to face attitudes from the community which are characteristic of areas suffering from endemic poverty. Some community members are concerned when they see the bus system expanding or improving its image because they are afraid it is taking money from the betterment of the tribe. The tribe has to work to educate tribal members that when a tribal program grows, the tribe as a whole benefits.

Training drivers also has been a challenge for MRPT. Initially when drivers were to be trained, trainers were only available on weekdays and there was trouble coordinating schedules. Now MRPT is able to provide its own training to drivers at more flexible times, including evenings and weekends.

Innovative Approaches

MRPT has found partnering with other transit services very helpful. By having close partnerships, the service can avoid duplicating trips and has thus been able to save money which is then used to expand the service. The system's coordination agreements with other tribal programs are more than are typically found and the coordination efforts with other local governments are unusual.

The tribe created a transportation advisory committee that includes partners and all stakeholders for discussing transportation issues. They have found this committee to be helpful.

The management and staff of MRPT have made significant efforts to implement the latest technology. The service operates a paperless office and has two computer programmers on staff. But the dedication to the best use of technology does not end with the paperless office; the management of MRPT is dedicated to sharing data. Their goal is to have all persons with whom they coordinate have access to their data so they can see how many trips are being provided under their agreement at any moment. This openness and sharing of data has created an environment of trust, with the result that the service has attracted interest from more departments and counties wanting MRPT to provide services. The use of technology applies to the drivers, too. The drivers log their time on a computer touchscreen, which allows accurate tracking of driver hours by contract.

Navajo Nation

The Navajo Nation covers more than 27,000 square miles spread over Utah, Arizona, and New Mexico known as Navajoland. The population is over 250,000 people and includes 110 Navajo Nation communities. In the early 1920s, oil was discovered in Navajoland and a tribal government was established to negotiate with American oil companies leasing land.

Transit Program

Image courtesy of Navajo Transit.

Navajo Transit began in 1980 with seven routes running Monday through Friday from 6:00 a.m. to 8:00 p.m. In 2007, the service expanded to 14 routes. Plans exist to expand service into Utah with money from a grant received in 2009. Navajo Transit serves 41 of the 110 Navajo Chapter communities with fixed routes operating along the state highway. The program is operated by the tribal government's Department of Transit, a department of the Executive Branch. The Navajo Nation Council General Services Committee oversees the department.

The highest ridership is on the route running between Gallup, New Mexico, and Defiance, Arizona. This route is probably popular because of medical and shopping facilities in Gallup and the University of New Mexico Campus in Gallup. One-quarter of Navajo Transit riders are students. All the routes have high ridership.

At the time of the survey (2009), Navajo Transit employed one transit manager with five administrative support personnel and one scheduler/dispatcher. The system had five mechanics and 17 drivers, with plans to hire more in 2010.

There is no sharing of vehicles between Navajo Transit and other area transit services, although Navajo Transit has tried to connect with the Navajo Aging Program and Americans with Disabilities Act paratransit service buses with no response. If the Navajo Aging Program does agree to collaborate, Navajo Transit hopes to partner with them to develop grant applications and a joint program for maintenance. The Navajo Nation does not provide any transit services other than Navajo Transit. The service does coordinate schedules with other non-tribal transit services in the area, including Mountain Line in Flagstaff, Arizona; Red Apple in Farmington, New Mexico; Gallup Express in Gallup, New Mexico; and the Page Senior Transportation Program in Page, Arizona. Gallup is a low-budget operation, so Navajo Transit partners with them by paying for four bus shelters used by both Navajo Transit and Gallup's city line.

The Rural Transit Assistance Program (RTAP) is used by Navajo Transit for training, notifications, employment, and managing the office. The administrative assistant stays in contact with RTAP to stay current with drug and alcohol policies.

Funding Approach

Funding for Navajo Transit is received from the states of New Mexico, Arizona, and Utah, as well as FTA and the Navajo Nation. The tribe received $500,000 through FTA Section 5311(c) in 2006, which lasted through December 2009. The tribe did not apply for funding in 2007, but did apply and was turned down in 2008 and 2009. The tribe is hoping that the recent switch from being served by FTA Region 6 to being served by FTA Region 9 will improve communication between the tribe and FTA.

The money received from FTA in 2006 supported three bus routes. To continue this service, Navajo Transit needs to go to the Navajo Nation's Council to seek supplemental funds. Currently a $50,000 grant from Raytheon supports a route between Shiprock and Raytheon.

The tribe receives FTA Section 5311 funding through Arizona, New Mexico, and Utah. A healthy, established working relationship exists with the states of Arizona and New Mexico. The relationship with Utah has just recently been established. Navajo Transit has not applied for FTA Section 5310 funding because the Navajo Aging program applies for Section 5310 funding and the tribe does not want overlap in funding requests. The tribe has not applied for Job Access and Reverse Commute (JARC) funding because of limited employee time. They have elected not to be a direct recipient of FTA funds because of the difficulty they have had in communicating with FTA. With the switch to Region 9, the tribe may reconsider this decision.

Within the last 3 years, Navajo Transit has received funding from ARRA, FTA, the Arizona Department of Transportation (Arizona DOT), the New Mexico Department of Transportation (New Mexico DOT), and the Utah Department of Transportation (Utah DOT). The program's main funding source is Arizona DOT. The service also receives some money from individual counties and the Navajo Match fund.

At the time of the survey, Navajo Transit charged a $1.00 fare for all-day ridership, which has increased the number of riders. This fare went up in November 2010 to $1.00 for one direction.

Challenges

Operationally, it has been difficult for Navajo Transit to conduct long-distance drives. The service area is so large that one trip may be a 4-hour drive. Winter weather has also been a big

challenge because of safety concerns on some BIA roads, which are not maintained as well as the state roads. Because there are many people in the Navajo Nation occupying a very large area of land, Navajo Transit has been unable to provide service for all of the transit demand in the area. They have limited bus service to major highways, and many people who want services are not able to reach locations currently serviced by buses.

Administratively, it has been a challenge to receive needed funds from the tribal budget and to maintain a positive working relationship with each state. The Navajo Transit office struggles with grant applications and reporting because the employees do not have enough time to complete some tasks, especially because there are multiple funding sources.

It has been a challenge for Navajo Transit to work with three different states. Each state's required reporting system is different from the others'. Navajo Transit has suggested a uniform reporting system to reduce time spent on reports. They would like to see a national tribal transit association that could unify information gathering regarding transportation.

Many people in the Navajo Nation used to hitchhike along the highway for a ride to Gallup, and Navajo Transit wanted to provide transit to make trips safer for these individuals. To increase ridership, Navajo Transit decided to charge a $1.00 fare for unlimited rides during a day. They have marketed the program via radio, billboards, fairs, and other local events.

It has been a challenge to keep buses in good shape because many roads in the area are not maintained well. This leads to tires being damaged and windshields popping out. Because many vehicles were breaking down or needing maintenance, Navajo Transit purchased a new fleet, which has cut down on maintenance costs. The service has increased the number of buses per route and improved the bus schedule as well.

Innovative Approaches

Navajo Transit has partnered with Ford in Detroit to build the first fully electric mass transit bus. Ford is giving $1.6 million to the project, and Navajo Transit received a 2-year grant for test operations. This project is a result of a green technology proposal submitted in June 2010. Navajo Transit was chosen to test the buses.

The Navajo Transit manager has been working with other tribal transit programs to create a national tribal transit association. This organization has been formed and has held national meetings. The association may become a forum for peer-to-peer exchange of information among tribal transit programs.

Oglala Sioux Tribe

The Oglala Sioux are located on the Pine Ridge Reservation in southwest South Dakota. The Oglala Sioux are part of the Great Sioux Nation, called by themselves the Lakota. The Pine Ridge Reservation was once part of the Great Sioux Reservation spanning across what is now South Dakota. In the Great Sioux Settlement of 1889, the Great Sioux Reservation was reduced to five separate reservations including Pine Ridge. The Pine Ridge Reservation today is larger than the state of Connecticut.

The Pine Ridge Reservation has a Native American population of approximately 29,000. About 45,000 Native Americans live on or near the reservation, and about 12,000 Oglala tribal members live in Rapid City, South Dakota.

Shannon County makes up the majority of the reservation and has one of the highest poverty rates and unemployment rates in the country. In 2008, 46 percent of the population was living

below the poverty level. The unemployment rate as a percentage of the total labor force has been reported at 89 percent. Very few opportunities for employment exist in Shannon County or on the Pine Ridge Reservation.

Most of the population lives in 11 major communities which are geographically isolated across the reservation. Pine Ridge Village is the largest community and is the administrative center of the tribe, with tribal government offices and offices for the Bureau of Indian Affairs, Indian Health Services, and South Dakota state agencies.

Transit Program

Oglala Sioux Transit is a tribal program, operated under the tribe's Department of Transportation (DOT). The transit service began in February 2009 (see Figure 10.8). Initial efforts to start the transit program began in May 2004 after the tribe had received a grant from FTA to build a facility and begin a transit system. Initially the funds were sent to another program within the tribe, but no action was taken. The grant was then assigned to the DOT, and a transit coordinator was hired in 2004.

Image courtesy of LSC.

Figure 10.8. Oglala Sioux Transit bus.

The certifications and assurances required by FTA for the grant brought the process to a halt. The tribe was concerned that the certifications and assurances gave away tribal sovereignty and that many did not fit the tribe. A particular issue for the tribe was completion of a Disadvantaged Business Enterprise (DBE) plan. The tribe had tribal preference in hiring and saw the TERO program as an answer to the requirement for the DBE plan. After a delay of 4 years, the tribe finally signed the certifications and assurances as required by FTA for acceptance of the grant. Although the Oglala Sioux signed the agreement, the tribe has seen changes at FTA in how they now deal with other tribes. Since then, the tribe reports that they have been able to successfully negotiate provisions within FTA agreements.

The facility was built, vehicles were purchased, and service began in February 2009. Oglala Sioux Transit provides service to communities throughout the reservation and primarily operates as a fixed-route system. There is a local route in Pine Ridge and longer routes that connect the communities. A route also connects to the Prairie Wind Casino at the western edge of the reservation, although the casino operates its own employee shuttle. The transit system coordinates with Indian Health Services, the tribal colleges, the women's shelter, and Social Services to provide transportation. Service for veterans is not provided as the veterans facilities are located off the reservation.

The tribe has not had a good relationship with the State of South Dakota, although Oglala Sioux Transit has had good experiences working with staff at the South Dakota Department of Transportation (South Dakota DOT). Because of the poor relationship between the two governments, the tribe does not encourage departments to pursue funding through the state. So far, the only funding Oglala Sioux Transit has received through the state is for the JARC program. They have been looking at the New Freedom program, but have not sought any funding yet. Oglala Sioux Transit reported that they have good relationships with other transit programs in the state and share information and peer-to-peer technical assistance. The transit coordinator has helped other transit programs with FTA reporting requirements and grant proposals.

Funding Approach

Oglala Sioux Transit receives funding through the tribal government, the JARC program through the state, the FTA Tribal Transit Program, and payment for service through other tribal agencies. The funding has remained stable, although the FTA Tribal Transit Program grant was less than requested. The program budget was reduced to reflect the lower funding level.

Oglala Sioux Transit has approached the casino about providing service to replace the employee shuttle, with the casino paying for a portion of the cost. At the time of the survey, the casino had not provided a response indicating their willingness to pursue this approach.

Challenges

Tribal sovereignty was a key issue for the Oglala Sioux in starting their program and completing the grant agreements. Resolving differences with FTA delayed the process for about 4 years and, in the end, the tribe signed the agreement without changes. Since then there have been some improvements with FTA recognizing tribal sovereignty and reaching out to tribes to work with them.

Recruiting and hiring has been a challenge. Retaining good employees has not been an issue. The transit system has lacked sufficient applicants when hiring drivers. In their first hiring effort, there were six positions and only three applicants. Transportation Department staff see the drug and alcohol policy and testing as an impediment to hiring. Oglala Sioux Transit has had to dismiss employees for alcohol consumption prior to reporting for work. The hardest position to fill was the mechanic, as the position required diesel engine certification. The position was filled, and the mechanic provides training for others seeking certification as mechanics.

Innovative Approaches

Several keys to success were identified for Oglala Sioux Transit. An important factor was having one person who was dedicated to the transit program and responsible for implementation. The program did not make any progress until the transit coordinator was hired.

Networking with other people in the transit industry has been valuable. Although contacts with other tribal transit systems are important, interaction with non-tribal transit systems in the region has been very helpful. The facility is modeled after the transit facility in Fort Collins, which staff from the Oglala Sioux Tribe visited when they were planning for the new facility. Assistance in preparing specifications was obtained from the transit manager in Rapid City. Oglala Sioux Transit has been active in the Community Transportation Association of America (CTAA) and has found that attendance at a single conference is an opportunity to meet many needs, such as training, technology updates, and contact with vendors.

The Oglala Sioux Tribe was the recipient of a CTAA Technical Assistance Project grant, which helped them develop their plan for implementation of the service. The assistance provided by a consultant experienced in transit planning was a great help.

The staff found that avoiding direct involvement by Tribal Council members helped the process. Council member turnover is so frequent that council members do not have time to understand the operation of a transit system and often will hinder more than help. By keeping council members out of the process as much as possible, transit staff were able to accomplish the steps necessary for implementation and are able to manage daily operations.

The transit facility was built with 33 wells to incorporate geothermal heating, reducing the need for energy to heat the building.

Confederated Salish and Kootenai Tribes

The Confederated Salish and Kootenai Tribes (CSKT) comprise the Bitterroot Salish, the Pend d'Oreille, and the Kootenai tribes. The tribes live on the Flathead Reservation of 1.3 million acres in northwest Montana. The tribes once inhabited territory in western Montana, parts of Idaho, British Columbia, and Wyoming. CSKT is headquartered in Pablo, Montana.

Transit Program

The CSKT Department of Human Resource Development (DHRD), which is under the Tribal Council, began the transportation program in 1999 by accessing Temporary Assistance for Needy Families (TANF) funds to purchase two vans. Once DHRD began offering transportation, it became evident that the area was in need of a larger transportation service. The service expanded to offer approximately 14,000 passenger-trips during 2006 and continued to expand to offer about 30,000 passenger-trips in 2009. The system did not become a public transit service until 2007. Previously, it served only DHRD clients. In 2010, CSKT was named the Montana Transit Association (MTA) Transit System of the Year. Funds from FTA will be used to build a bus barn. State funds will be used to build ten additional bus stops.

CSKT public transit currently has four routes. The first route serves Dixon, Charlo, and Ronan. The second route serves Arlee and Polson. The third route serves Elmo and Ronan. The fourth route, which has the highest ridership, serves Polson and St. Ignatius. These routes provide service in the morning (6:00 a.m. to 8:30 a.m.) and in the evening (3:30 p.m. to 5:30 p.m.). Between 8:30 a.m. and 3:30 p.m., transportation is provided curb-to-curb by demand-response. The service fleet includes four buses, eight minivans, and six cars (Figure 10.9). The service employs 15 drivers. Ridership has increased every year, and the Tribe just bought five additional vehicles to meet the demand for service. The service also takes people to the Gray Wolf Peak Casino in Arlee and Evaro.

Image courtesy of LSC.

Figure 10.9. CSKT's public transit service fleet includes four buses, eight minivans, and six cars.

Tribal members often must travel a long way to access services, so CSKT provides some longer-distance trips. For example, CSKT will take passengers to Great Falls if necessary, which is approximately 3½ hours from the reservation.

The tribe does offer other passenger transportation services through Head Start and through a vanpool operated by the Missoula Ravalli Transportation Management Association (MRTMA), which goes from Polson to Missoula. Salish and Kootenai Colleges provide some of their own transportation, although by agreement CSKT provides most of their transportation. The colleges reimburse CSKT for trips provided. The Tribal Health Clinic also reimburses CSKT for trips.

The CSKT transit service informally connects with the Mountain Line by taking riders to Missoula. They also have an informal agreement with the Lake County Council on Aging to refer and help with rides.

Funding Approach

The tribe began receiving Montana Department of Transportation (Montana DOT) funds. Because these funds came through a federal source, they began offering service to non-tribal members in addition to tribal members. Any rider who is part of TANF, Workforce Investment Act (WIA), or vocational rehabilitation rides for free because those programs provide matching funds for transportation. Elders (age 60 and over) ride for free. Other passengers pay $1.00 per ride. The tribe also receives state Department of Health and Human Services funds as well as Medicaid/Medicare funds for transportation.

To obtain matching local funds for grants, the tribe started Quick Silver in 2007. Quick Silver is a full-service gas station with a small eating area and laundry facilities.

The tribe also has received FTA Tribal Transit funding. The tribe has received FTA Section 5311(c) funds every year since 2006. CSKT asked for $500,000 in 2006, but was awarded only about half that amount. The award amount has consistently been lower than the amount requested, precluding the hoped-for possibility of expanding the service. The tribe used FTA Section 5310 funds in 2005 to buy two new buses and again in 2007 to buy two new vans. The

tribe also received JARC (FTA Section 5316) funds. The tribe was unaware of the option to be a direct recipient of FTA funding for programs administered by the state.

Challenges

Stable funding has been the primary challenge for the CSKT. The level of funding the tribe received through the state has varied from year to year. It was expected to increase to the original amount and to remain stable. FTA Tribal Transit funding received has regularly been below what the tribe has requested. CSKT has found that diversifying their funding sources has been helpful in facing this challenge. Having multiple funding sources has helped the tribe sustain service.

Innovative Approaches

CSKT has been innovative in seeking funding from a variety of sources. They have obtained FTA funds administered through the state, the FTA Tribal Transit Program, and state funds. When CSKT began operating as a public transit service, the Salish and Kootenai Colleges operated their own fleet to provide transportation for students. CSKT was able to reach an agreement with the colleges to provide the majority of their transportation and receive funding from the colleges. The operation of Quick Silver is unique. The transit program operates the gas station, convenience store, and laundromat to generate funds which are then used as the local match for various grant programs.

The tribe maintains a good working relationship with the Montana DOT, is active in the state transit association, and works to coordinate service with other nearby transportation programs, such as the Missoula Ravalli Transportation Management Association.

Seneca Nation of Indians

The Seneca Nation of Indians is located primarily in western New York and headquartered in Salamanca, although some Seneca have settled on reservations in Oklahoma and Ontario. The two reservations governed by the Seneca are Salamanca and Cattaraugus. Tribal members frequently travel between these areas, covering 70 miles round-trip. The Cayuga Nation also lives on Seneca land because the Cayuga do not have their own land.

Transit Program

Image courtesy of AECOM.

Figure 10.10. Seneca Nation of Indians transit bus.

Different departments provide transportation for particular department needs (see Figure 10.10). This includes the Education Department, which estimates it serves about 20 clients a day taking children to Head Start, Pre-School, or Even Start programs. Other clients reach the programs by driving a personal vehicle (25 percent) or using the Silver Creek Central School District buses.

The Employment and Training Department provides transportation by standing order, demand-response, or prior reservation. One driver is employed for 40 hours a week to provide that transportation. The department estimates that half the clients using this service are ages 6 years to 18 years. The other half are ages 19 years to 59 years.

The Vocational Rehabilitation Program serves ten adult daily clients. Approximately half of these clients require transportation with a wheelchair lift. One full-time driver (40 hours a week) is employed to provide transportation for these clients. Volunteers with private vehicles also sometimes provide transportation. Other clients reach the Vocational Rehabilitation Program

by using contracted transportation, walking, or driving private vehicles. The Tribal 477 program also provides transportation to clients either through agency vehicles or volunteers' private vehicles.

The tribe operates two community health centers. Both centers provide their own transportation for clients. Residents schedule a ride by standing order, demand-response, or advance reservation. There is no charge for this transportation service. Most of these trips are within Salamanca, although dialysis transportation is provided to Bradford five times a week.

Although the tribe has been waiting to implement a new service, other local communities in the region have also been exploring transportation options. The tribe is in communication with these communities to coordinate transportation services within the region.

Funding Approach

In June 2009, the tribe completed a transit planning study using a $25,000 grant from FTA. While they were able to complete a study with this funding, they did not think it an appropriate time economically to implement a new transit system.

A lack of financial reporting from each department regarding transportation inhibited the tribe in compiling a budget and identifying existing funding sources.

The tribe received a second grant of $25,000 for continued transit planning. They plan to use this grant primarily for financial data collection regarding the different transportation programs provided by separate departments.

Challenges

One challenge the Seneca Nation faces in providing transportation is the lack of information regarding financial data for existing transportation services. These data are needed to determine possible funding sources and sustainability for a unified transit service. The challenge has been exacerbated by a slow economy, which has the tribe making financial cuts across the board and limits the possibility of starting a new service.

Nation sovereignty also presents a challenge. Because the tribe is split between two reservations, any transit program between reservations would have to use land outside the nation's control. The nation has concerns about using state funding, which might limit its sovereignty and so is wary about accepting funding from the state. The Seneca Nation is currently in the process of exploring what state funds might be available for a transportation service.

Sitka Tribe of Alaska

The Sitka Tribe of Alaska (STA) is the federally recognized government for more than 4,000 tribal citizens who are primarily of Tlingit, Haida, Aleut, and Tsimpsian heritage in the Sheet'-Ká area, which encompasses all of Baranof Island (Shee) and the southern and western half of Chicagof Island in the Alexander Archipelago of southeastern Alaska. The Tlingit Indians have inhabited Sitka since the last ice age. The tribe is headquartered in Sitka.

Transit Program

The STA transit system is administered by the Center for Community (CFC), a nonprofit umbrella agency that receives FTA Section 5311 funding and contracts out both the paratransit and fixed-route public transit services. The fixed-route service is operated by STA and the

Image courtesy of LSC.

Figure 10.11. A Community RIDE bus in Alaska.

paratransit service is operated by Southeastern Social Services (SESS). CFC pays the tribe to operate the system and STA leases buses from CFC. The tribe maintains and pays the insurance for the buses. This collaboration is called Community RIDE (or simply "the RIDE").

Transportation by SESS started in 1997 to serve elderly people and people with special needs. SESS uses three 15-passenger vans to provide transportation (Figure 10.11). They have limited the van size to 15 passengers so that the drivers do not need to have a commercial driver's license (CDL) to drive for SESS. This door-to-door service is provided from 7:00 a.m. to 9:00 p.m., 7 days a week, although it is only provided through Community RIDE from 8:00 a.m. to 5:00 p.m. since those are Community RIDE's hours of operation.

STA service began operating in September 2002. In November 2007, the program expanded using tribal transit funds. This service began with two routes and has since expanded to include a third route. The fixed route serves approximately 110 passengers a day, the majority of which are youth. The service runs from 8:00 a.m. to 5:00 p.m., and they plan to expand the service to run from 6:30 a.m. to 7:30 p.m. on weekdays. Community Ride primarily serves areas within city limits. The tribe currently has six vehicles.

Community Ride coordinates with Sitka Tours and Sitka Tribal Tours. The State of Alaska has successfully networked with many individual transit operators, and Community Ride has received support through this collaboration.

Other transportation in the community is provided by the tribe's Head Start program, which has a bus. A separate van service runs for individuals with non-emergency medical needs for Indian Health Services. Vehicles are shared as needed, though each transit service has its own dispatching system.

Funding Approach

Funding for SESS transit services comes from Title IIIB of the Older Americans Act. Donations, which are for a book at a suggested price, also help fund the service. The suggested donation for a book is $20 or $10 for seniors. Fares are collected for each ride. A ride costs $2.00 for passengers less than 60 years of age and just $1.00 for passengers aged 60 years or more. Funding for SESS also comes from the Older Americans Act Title IIIC, Title IV through the tribe, and from the city, which pays for gas and vehicle maintenance.

One-third of the funding for STA transit is provided by a tribal transit grant from the Indian Reservation Roads (IRR) program. The other two-thirds are funded by FTA Section 5311(c). STA recently was awarded additional Tribal Transit funding. With these funds, the public transit fixed-route system planned to expand in August 2010 to offer service on weeknights. CFC receives funding from FTA Sections 5310 and 5311 through the State of Alaska. It also receives local funding.

Community RIDE has received FTA funding every year since 2006. Although they are looking into the possibility of becoming a direct recipient of FTA funding, they are aware that such a step would affect how service is offered because STA can directly receive the funding as a sovereign nation, but CFC and SESS cannot.

Challenges

Getting vans, van parts, and bus parts can be challenging in Sitka. Most products are flown or barged in. Sitka is considered an international destination for shipping purposes. There is also a need for a maintenance facility and a mechanic. The local mechanic will be closing shop, and it may become necessary for STA to ship buses to Juneau for larger repairs. Community RIDE

has had trouble with its buses and, at any given time, two buses are usually at the maintenance facility. If they really need another vehicle, they will rent one from Sitka Tribal Tours.

Funding also has been an issue for Sitka's transportation program. They would like financial support from the local municipal government to meet the local match requirements for federal grants. More agencies are applying for FTA money and so there seems to be less available to the tribe. Currently, Community RIDE does not have a sustainable funding source.

Innovative Approaches

Transit service is provided in Sitka through a cooperative arrangement of STA, SESS, and the umbrella organization CFC. This approach has allowed the community to access and leverage a variety of funding sources, including transportation funds for human services programs, FTA funding through the state, donations, the IRR program, and tribal transit funding. The collaborative effort has allowed the participating organizations to provide more transit service than would be possible if each entity operated independently.

Southern Ute Indian Tribe

The Southern Ute Indian Tribe is located in southwestern Colorado and headquartered in Ignacio. The tribe is made up of two of the original seven bands of the Ute Indians. The Ute Indians are the oldest continuous inhabitants of Colorado and once occupied the mountainous areas of Colorado, Utah, and New Mexico. The Southern Ute Reservation is adjacent to the Ute Mountain Ute Indian Reservation, headquartered in Towaoc.

Transit Program

The Southern Ute Indian Tribe began providing public transit service in August 1999 (see Figure 10.12). Service began between Ignacio and Durango and has expanded to serve Bayfield and Aztec, New Mexico. Connections to other transit services in the region are available in Durango to the Durango T and in Aztec to the Farmington Red Apple Transit. The service began with financial support from the Southern Ute Indian Tribe and a grant from the Colorado Department of Transportation (Colorado DOT) for FTA funding. The initial purpose of the service was to increase mobility among seniors and persons without cars or driver's licenses. Initially, service was provided between Ignacio and Durango three times a day. That service was increased to four times a day, and in 2006, service was added between Bayfield and Durango four times a day. Service between Ignacio and Aztec, New Mexico, was added in 2009. Ridership on Road Runner Transit has more than doubled since 2006.

Images courtesy of LSC (left) and Road Runner Transit (right).

Figure 10.12. Road Runner Transit buses in Colorado.

The Southern Ute Community Action Programs, Inc. (SUCAP) is a nonprofit organization created by the Southern Ute Indian Tribe in October 1966. SUCAP is not part of the tribe or tribal government. It is a delegate agency that provides programs for tribal members. In addition to operating Road Runner Transit, SUCAP operates Head Start, alcohol and substance treatment, the Ignacio Senior Center, job training, and youth services. SUCAP received the Durango Chamber of Commerce Nonprofit of the Year award in 2010.

Initially, the tribe was the grant recipient for FTA funding. Because of tribal sovereignty, the tribe had concerns about the requirement that any disputes had to be settled in state court. The Town of Ignacio served as the grant recipient for several years, and in 2005, SUCAP became the grant recipient. SUCAP has been designated as a transit authority by tribal resolution. By designating SUCAP as the transit authority and grant recipient, the tribe has been able to maintain sovereignty.

Funding Approach

Revenue is obtained from a number of sources. The Southern Ute Indian Tribe provides funding, but the towns of Ignacio and Bayfield also contribute a significant portion of the revenue. Tribal funding comes from gaming revenues at the Sky Ute Casino. La Plata County provides financial support as well. Grants are received through FTA Section 5311 and the New Freedom program administered by the State of Colorado. Vehicles for the Senior Center program have been purchased using grants through FTA Section 5310. The FTA Tribal Transit Program was used to fund the new service to Aztec, New Mexico, but that service had to be cut in 2010 because funding was not received through the Tribal Transit Program.

SUCAP and the Southern Ute Indian Tribe have not sought to become a direct recipient of FTA funds. SUCAP is not eligible, but the tribe could choose that option. They have decided that the current arrangement works better for them with SUCAP as a grantee under the state. This supports their close working relationship with the Colorado DOT, local governments, and other transportation systems in the region.

Challenges

Road Runner Transit is continually challenged by the lack of local funds to match other grants. SUCAP has not applied for Section 16 JARC funding because of insufficient funds to match the grants. Town funding was reduced by 30 percent in 2009.

Tribal sovereignty has been an issue from the beginning of the transit program. The tribe took issue with the requirement to settle disputes in state court as part of the FTA Section 5311 grant from the Colorado DOT. More recently the tribe has taken the position that the TEAM signature authority requirement for FTA would undermine tribal authority. They have added "approved as to form" to the agreement for the attorney's signature.

Other challenges have included increased demand and finding sufficient numbers of drivers to provide reliable service. SUCAP does not have a facility to park buses. Buses are currently stored on the street. This has worked in the past, but with growth of the program, it is no longer a viable option.

Innovative Approaches

A key innovation in the success of Road Runner Transit was the designation of SUCAP as an authority to provide transit for the tribe. SUCAP is the designated grant recipient and signs grant agreements with the state. This has allowed the tribe to avoid issues related to tribal sovereignty

in their dealings with the state government. Funding has been obtained from a variety of sources, including federal and state grant programs. Key to the success has been financial support from the local town and county governments in addition to the tribal government.

The tribe is actively involved in transportation planning in the region. The tribal transportation planner sits on the regional transportation planning commission, and SUCAP is actively involved in regional transit planning. SUCAP is working with other local transit systems to form a regional transportation authority that will provide a mechanism to establish regional services. Road Runner Transit currently coordinates service with the Durango public transit system and provides a connection to the Farmington, New Mexico, system.

Standing Rock Sioux Tribe

The Standing Rock Sioux Reservation is located in North and South Dakota. The people of Standing Rock are members of the Dakota and Lakota nations. These nations consist of several Sioux divisions, including the Yanktonai in North Dakota and the Lakota primarily located in South Dakota. The Standing Rock Sioux Tribe became a reservation in 1889. The tribe is headquartered in Fort Yates, North Dakota.

Transit Program

Sitting Bull College has coordinated public transit for the Standing Rock Reservation since 1989. The college is a chartered program of the tribe, but the tribe does not provide oversight for the college or the transit program. For the first 10 years, Standing Rock Transportation (SR Transportation) consisted of one shuttle bus operating deviated fixed-route service twice a day to four communities.

As of 2009, service was provided for 14 communities in South Dakota and North Dakota (Figure 10.13). There are 11 deviated fixed routes and two demand-response routes which run Monday through Friday. Interstate services are also available on Monday and Thursday to and from Bismarck, Pierre, Rapid City, and Sioux Falls. SR Transportation has four buses (22- to 25-passenger), three vans (18- to 19-passenger), and one minivan (5-passenger).

Image courtesy of AECOM.

Figure 10.13. Standing Rock Transportation vehicles include buses, vans, and one minivan.

Currently, the employment-related trips between urban and rural areas have the most ridership. Approximately 70 percent of rides are for the purpose of employment. SR Transportation does not serve the casinos, which are located in isolated rural areas. At one time, service was provided to the casinos, but ridership was so low that the service was discontinued.

There is little, if any, coordination between the public transit service and the transportation offered by the tribe through Head Start and Indian Health Services (IHS), although IHS clients do use SR Transportation. The service does coordinate with three other transit providers through an "interliner" system that connects passengers to buses such as Greyhound and to other locations. In 2009, the South Dakota Department of Transportation (South Dakota DOT) paired SR Transportation with the non-Indian community of Mobridge to provide transportation. The partnership has worked well, although they are still deciding what sort of route would best serve Mobridge. The service has also partnered with the City of Bismarck for passengers who are taken in an ambulance to the hospital, but have no way home. Previously, many of these passengers hitchhiked back to their communities, but now there is transportation available for them. The service partners with organizations which purchase tickets for their clients to use.

Funding Approach

SR Transportation has successfully applied for FTA Section 5311(c) funding and received the amount requested. The states of North Dakota and South Dakota also fund the program and

provide some of the local match funds required federally. Sitting Bull College and the Standing Rock Tribe both provide additional matching funds.

The program began with funding from the Ford Foundation. The tribe has received ARRA funding which they plan to use for bay and parking expansion at their facility. They received FTA Section 5310 funds as well and used that for vehicle purchases. The tribe did receive JARC funding when they started to expand the service from 1999–2001, but have stopped applying because it is competitive. The tribe receives FTA and JARC funding directly.

Recently, SR Transportation began providing automobile service and selling tires in order to increase revenue. They are working on establishing a for-profit/not-for-profit business model to improve sustainability.

Fares are charged for SR Transportation services, but they are minimal. The dial-a-ride service charges only 50 cents for a ride reserved the day before and $1.00 for same-day requests. On the reservation though, some people cannot afford even the 50-cent fare charge.

Challenges

Image courtesy of LSC.

Figure 10.14. To accommodate the distances between rural communities served, transit systems may emphasize demand-response service and partner with other agencies.

The biggest challenge for SR Transportation has been providing service for the many rural communities that are geographically separated (see Figure 10.14). Some of the communities are as many as 60 or 70 miles apart. To serve these communities, more demand-response service is needed, but funding is limited. In addressing the challenge, the transit system has partnered with other agencies to get more people the rides they need.

Coordinating transportation between communities becomes even more important because families who are eligible to receive TANF benefits have to fulfill different requirements in South Dakota than in North Dakota. In South Dakota, some of the services participating families are required to get to are in different towns and family members may not have a way to get there.

It has also been a challenge to get people who need the service to actually use it. SR Transportation is actively advertising their service to increase ridership among this population. In addition to handing out and mailing brochures, SR Transportation advertises in the newspaper and on the radio. Drivers even go door-to-door to tell people about the service.

Innovative Approaches

Operation of the public transit service by the local tribally chartered college is unusual. While some tribal colleges provide transportation, it is typically limited to enrolled students. Sitting Bull College has been operating public transit service for more than 20 years. This approach has allowed funding from a variety of sources to be pooled to provide a more comprehensive service.

Development of a combined for-profit and not-for-profit business model is unusual. SR Transportation is using private revenues from automobile service and tire sales to generate funds that may be used as local match money.

Stillaguamish Tribe of Indians

The Stillaguamish Tribe of Indians is located in western Washington State and headquartered in Arlington, Washington. The tribe is composed of descendants of a tribe which resided on the main branch of the Stillaguamish River in 1855, when the tribe was involved in ceding lands to the United States. At that time, no separate reservation was established for the Stillaguamish Tribe. Some tribal members moved onto the Tulalip Reservation, but most stayed in the area

along the Stillaguamish River. The tribe did not have a reservation or become federally recognized as a sovereign nation until the 1970s.

Transit Program

The Stillaguamish Tribe Transit System (STTS) started as a transportation service run directly by the tribe for the tribe's methadone clinic in 2003 because the clinic's clients had no means of transportation. In 2004, trips were provided from the train station 22 miles north of the clinic. In 2007, the program expanded to provide both clinic-related and public demand-response service. There were 66 trips in February 2007.

The clinic portion was initially under a Medicaid contract with the Northwest Regional Council and then later in 2007 under a contract with Paratransit Services, Inc., located in Bremerton, Washington. STTS provides trips to and from the clinic and trips to doctor appointments, for kidney dialysis, and other Medicaid-related trips. The use of STTS service is growing immensely (see Figure 10.15). In 2007, 6,703 trips were provided, including clinic-related services. That number more than doubled to 15,643 trips provided in 2009. As the service is open to anyone, STTS is serving a growing demand in the community among both tribal members and other local residents.

Image courtesy of VJS.

Figure 10.15. STTS services have grown beyond health care–related, demand-response services to incorporate ride sharing and regional paratransit services.

The demand-response service is available for tribal members. STTS receives calls and tries to accommodate trip needs. STTS asks for at least 48 hours advance request for reservations. They only provide transportation for people who do not have another form of transportation available. The tribe has only 232 members, so the service is small and there are few scheduling conflicts.

The tribe also operates a rideshare program called Stilly Crews Line. The program uses five GSA-leased vehicles, representing a mix of vans and sedans. They plan to purchase additional hybrid vehicles with funds recently received through a BIA-IRR grant. The rideshare program has one employee, the ride share coordinator. The program runs through volunteers. Car/vanpool connections are based on employee applications for rides to various locations, on specific days and at specific times. Currently, eight pools are operating.

The tribe provides vehicles and gas cards which are monitored closely in the Ride Share Program. Drivers are not paid, but their driving record is examined and they must meet certain requirements. Driver evaluations and vehicle inspection forms are regularly completed to ensure quality of service. Most of the rideshare users are employees within various tribal buildings. Riders agree to participate on a monthly basis. Fees for riding are calculated by distance traveled and are paid monthly by riders. Insurance is provided by the tribe. STTS provides an "ensured ride home" by contracting with local taxi services in case a rider needs a ride home in an emergency situation.

The tribe also provides transportation through the CHR program, which is run by the Stillaguamish Tribe Wellness Clinic. This service coordinates with STTS when either service needs help in transporting a client. They do not share dispatch service, but they will call each other as needed. Transportation is also provided by the Tribal Day Care program, which does not collaborate with STTS. Providing transport for tribal members is STTS's priority, but as part of the regional paratransit group they do coordinate to provide transportation for other people in the region as well.

Funding Approach

Revenue is obtained from several sources. Start-up funds came through an Administration for Native Americans (ANA) grant. The initial fixed-route system was funded by the ANA and Washington State Department of Transportation (Washington State DOT).

STTS received FTA TTP Section 5311(c) funds in 2007 for a demand-response service in the amount of $94,000. They did not receive funds in 2006 or 2009, the other years that they applied for these funds. They did not receive an explanation as to why their application was declined. STTS received funds from FTA through Washington State DOT for 2009–2011, amounting to $95,000 from the Section 5311 program (but not the TTP 5311(c) program) and $85,000 from the State Rural Mobility Program.

In 2008, the tribe was awarded FTA TTP funds for half of the requested amount. This money was used for the Ride Share Program. The Ride Share Program also just received a $410,000 IRR contract. The tribe also received funds from the American Recovery and Reinvestment Act (ARRA) stimulus program through the IRR program for $220,000, which was used to purchase nine hybrid vehicles. The tribe also used its IRR allocation to buy three additional 7-passenger vans for the Ride Share Program.

The tribe receives some FTA funds as a direct recipient and some FTA funds through the state. It has found that receiving these funds through the state is a bit more cumbersome than being a direct recipient because of detailed reporting requirements and the state's application process, which involves regional ranking of projects before project applications may be submitted.

Challenges

A primary challenge for STTS has been coordinating trips well. Because most of the trips are for demand-response service, it is difficult to provide trips when advance notice is not given. STTS has had a hard time getting clients to make reservations in advance. It has also been difficult to coordinate the demand-response service with the Medicaid service to efficiently get passengers where they need to go. The tribe first tried a fixed-route system, but soon learned that a demand-response system better served the population.

Funding has been a challenge for the tribe. When the tribe applied for an FTA grant for the Ride Share Program, it initially applied for a $300,000 grant, but only 50 percent of the request was approved. The tribe decided to use this smaller amount for a scaled-down version of the Ride Share Program, which started in November 2009. The tribe has been frustrated by the long process for receiving grant funds. It applies for a grant in June, but does not hear back until December.

Innovative Approaches

Operation of a carpool and vanpool is unusual among tribal transit programs. The tribe has set up a ridesharing program that includes vehicles and a subsidy for participation in the program through provision of vehicles and use of gas cards.

Turtle Mountain Band of Chippewa Indians

The Turtle Mountain Band of Chippewa Indians is located in north-central North Dakota on the land first designated to them in 1882. The reservation proper is only 6 miles by 12 miles in area, but the Turtle Mountain Service Unit includes 938 square miles of land in Rolette County. The band is headquartered in Belcourt, North Dakota.

Transit Program

Turtle Mountain Tribal Transit Service (TM Tribal Transit) is a fixed-route service with one route. It is operated directly by the tribal government. Service began in August 2009. The original route was changed in November 2009 in an attempt to better accommodate needs in the

community. The transit service has just one bus and provides approximately 30 rides a day (Figure 10.16). Service is provided from 7:30 a.m. to 3:30 p.m. Because of the limited hours, casino employees who work 8-hour shifts are unable to use TM Tribal Transit. Transportation to and within Belcourt has the highest demand.

Image courtesy of AECOM.

Figure 10.16. A Turtle Mountain Tribal Transit Service bus.

The tribe was awarded an ARRA grant in 2009 and plans to add another fixed route as well as demand-response service using that grant. The tribe plans to complete a new facility and shelters using ARRA funding.

TM Tribal Transit has several transit partners to provide service to clients in need of wheelchair-accessible demand-response transportation. For these clients, TM Tribal Transit calls Royal Coach or the dial-a-ride in Belcourt to provide that trip. The dial-a-ride service is a state-funded senior meals transportation service operated by the tribe on the reservation. Royal Coach Transportation is a taxi service providing commercial transportation. Nutrition United is run by Rolette County Transit (RCT). RCT provides dial-a-ride service to the general public as well as elderly and disabled individuals in non-reservation portions of Rolette County. If one of these dial-a-ride services is overwhelmed with demand, they call TM Tribal Transit for assistance.

The tribe works with Royal Coach to provide service from Kent and Green Acres to Rolla. The transit service pays Royal Coach $50 a day for 4 days a week. For people who do not need wheelchair access but have transportation needs that the fixed-route service is unable to meet, TM Tribal Transit provides a minivan from the tribe's Department of Transportation to provide that service.

Funding Approach

TM Tribal Transit receives funds from FTA Section 5311(c) and ARRA. FTA funds were received for 2007 and 2008, but the tribe did not apply in 2009. ARRA funds were awarded in 2009. TM Tribal Transit does not receive any state funding at this point, although the nutrition program does receive state funding. TM Tribal Transit does not currently have contact with the North Dakota DOT except through one state representative who sits on the advisory council.

Both the fixed-route and demand-response services are available to the general public. A one-way fare for either service is $1.00.

Challenges

The biggest challenge for TM Tribal Transit has been a lack of funding, particularly for another driver. TM Tribal Transit has only one driver, so they are unable to accommodate all transportation requests. At present they do not have enough funds to employ another driver.

Recent staff changes have been a problem for TM Tribal Transit. The person who implemented the original fixed-route service took the records for that route with her when she left, and the tribe did not realize that she had not applied for FTA Tribal Transit funding in 2009. The tribe was thus forced to stretch the funds for 2008. The tribe used their funds only for operating and did not purchase any vehicles.

Ridership was low on the original route designed by TM Tribal Transit, sometimes as low as two riders in a day. TM Tribal Transit decided to change the route to increase ridership. Low ridership could have to do with the fact that casino employees work 8-hour shifts and the transit service only runs from 7:30 a.m. to 3:30 p.m. Because of the low ridership, TM Tribal Transit is looking into providing demand-response service instead. Low ridership also could be due to the fact that the area has never had a public transit service. People in the area are not familiar with it, and although they may hear advertisements on the radio or see them in the newspaper, they are not sure how public transportation works.

Yakama Indian Nation

The Confederated Tribes and Bands of the Yakama Nation are located in south-central Washington along the eastern slopes of the Cascade Mountain Range. The tribe is headquartered in Toppenish. The people of the Yakama Nation are descendents of 14 tribes and bands that were federally recognized under the Yakama Treaty of 1855. The reservation is over 1 million acres. In 1933, the Yakama organized as the Confederated Tribes and Bands of the Yakama Nation. Currently, 10,261 people are enrolled in this confederation and more than 31,799 people are living on or near the reservation.

Transit Program

Yakama Nation Tribal Transit began offering service in September 2007 and in 2008 registered their name as Pahto Public Passage® with the State of Washington. The transit service is operated by a private contractor, which is contracted with the tribal government. The tribe decided to contract out this work because it did not have the experience or insurance necessary at the time to start a transit service.

Image courtesy of Pahto Public Passage®.

Figure 10.17. Pahto Public Passage® operates a fare-free service under contract with the Yakama Nation.

This fare-free service started as one fixed route from Toppenish to White Swan, operating from 6:00 a.m. to 7:00 p.m. In September 2008, another fixed route was added to include service to other regions of the reservation. In 2010, a dial-a-ride service was added as well as Saturday service, and two intercity routes connecting the cities of Goldendale, Parker, Union Gap, and Yakima to their service area. In 2010, average monthly ridership was 2,515 riders. Pahto Public Passage has two 26-passenger buses, one 20-passenger bus, three 12-passenger buses, one minivan, and two sedans which are owned by the contractor (see Figure 10.17). Four routes run through the week: from Toppenish to White Swan; Toppenish to Wapato to White Swan; Toppenish to Wapato to Parker to Union Gap to Yakima; and Toppenish to Goldendale. Two routes operate on Saturdays.

The transit program coordinates service with the various organizations providing transportation in the area. The CHR program provides transportation for medical-related trips using three GSA-leased vehicles and two tribal-owned vehicles. The Area Agency on Aging provides transportation for the elderly to access meal sites, medical appointments, and shopping. Reservations have to be made in advance. Each of these programs will call Yakama Nation Tribal Transit when they cannot provide transportation for their clients. Pahto Public Passage provides these needed rides when possible.

Funding Approach

Revenues for Yakama Nation Tribal Transit come from a number of sources. FTA funds cover the majority of costs. The state provides some matching funds, and an additional local match is provided by the tribe. Yakama received FTA Section 5311(c) funding in 2006, 2007, 2008, and 2009. They have elected to be direct recipients from FTA for this funding. They also have worked with the State of Washington to apply for grants they could receive through the state. The tribe reports that the state DOT has been helpful and supportive.

Challenges

Yakama Nation Tribal Transit's biggest challenge in providing transit service has been reaching everyone who needs transportation. It has been difficult to set operational hours which can accommodate all the people in need of transportation. The schedule has been changed four times since the beginning of the transit program on a trial-and-error basis for certain stops and

locations. The service is evaluated on a quarterly basis. This evaluation is done in coordination with the Area Agency on Aging, CHR, other transportation providers, and social services programs. The transit service has adjusted the route to avoid left turns, which were unsafe and caused congestion during peak travel hours.

Innovative Approaches

The Yakama Nation chose to contract with a private contractor to operate the service. This approach had the advantage of allowing the Yakama Nation to provide quality service at a lower cost. The Yakama Nation also has partnered with many school districts and after-school programs to teach students how to use public transportation.

APPENDIX A

Glossary

Some of the definitions used in this glossary have been obtained from the following sources, with acknowledgment to the contributing individuals, organizations, and boards or committees: the Federal Transit Administration website, http://www.fta.dot.gov/; APTA *Glossary of Transit Terminology* (July 1994); and the glossary from *TCRP Report 100: Transit Capacity and Quality of Service Manual,* 2d ed.

ADA	Americans with Disabilities Act of 1990. This is a federal civil rights law passed by the U.S. Congress in 1990 with changes effective on January 1, 2009. This law ensures that individuals with disabilities have equal opportunity to participate in society, live independently, and be economically sufficient. The law defines the responsibilities and requirements that transportation providers need to meet to make transportation accessible to individuals with disabilities.
ADA Paratransit	The ADA requires transportation providers to provide a comparable transportation service within ¾ mile of a fixed-route service to accommodate individuals with disabilities who are unable to use the fixed route.
AIAN	American Indian and Alaska Native
AoA	Administration on Aging
Apportionment	This refers to distribution of funds available. It is based on statutory formulas set in the law. The Federal Register contains a list of annual apportionments and allocations for the various Federal Transit Administration programs.
BIA	Bureau of Indian Affairs
Carpool	An arrangement in which two or more people share the use and cost of privately owned automobiles between prearranged fixed points on a regular basis.
CE	Categorical Exclusion. This is an action/project that does not have a significant effect on the human environment. Hence, neither an environmental assessment (EA) nor an environmental impact statement (EIS) is required.
CEDS	Comprehensive Economic Development Strategy
CFR	Code of Federal Regulations

CMAQ	Congestion Mitigation and Air Quality Improvement. These are federal funds available for transit or highway projects that contribute to air quality improvements and provide congestion relief.
Commuter	A person who travels regularly between home and work (or school).
CTAA	Community Transportation Association of America
Demand-Response	In this type of service, vehicles operate based on service requests received. This is sometimes referred to as "dial-a-ride."
Deviated Fixed Route	In this type of service, vehicles operate along an established path, arrive and depart at set times during the day, but can deviate from the established path for pick-ups and drop-offs according to service requests.
DOT	Department of Transportation. The U.S. DOT oversees federal highway, air, railroad, maritime, and other transportation. Each state has its own department of transportation.
DUI	Driving under the influence
EA	Environmental Assessment. This is a public document created to determine the significance of impacts of a transportation project. This document helps to determine if an environmental impact statement (EIS) or a finding of no significant impact (FONSI) is needed.
EDA	Economic Development Administration
EIS	Environmental Impact Statement. This is a comprehensive study required by the National Environmental Policy Act (NEPA) which describes possible positive or negative environmental impacts resulting from a proposed federally funded project.
FHWA	Federal Highway Administration
Fixed Route	In this type of service, vehicles travel along designated routes. Service is provided at stops at set times during the day.
FLH	Federal Lands Highway
FONSI	Finding of No Significant Impact. This is issued during the Environment Assessment (EA) process when an action or project is found not to have significant impact on the human environment.
FTA	Federal Transit Administration. This is a department of the US Department of Transportation that administers the federal programs to public transportation.
Guaranteed Ride Home (GRH)	This is a program that ensures that you will have a ride if you need to work unexpected hours, have a family issue, or if unexpected emergencies arise.
Intercity Bus Service	Bus service between cities usually provided on a fixed route and a fixed schedule.
IRR	Indian Reservation Roads
ITA	Intertribal Transportation Association
JARC	Job Access and Reverse Commute

MPO	Metropolitan Planning Organization
NAAQS	National Ambient Air Quality Standards
NEPA	National Environmental Policy Act. This is a federal law that requires federal agencies to consider environmental impacts of their proposed actions in their decision-making processes and have reasonable alternatives to those actions. To meet NEPA requirements, federal agencies are required to prepare an Environmental Impact Statement (EIS) for actions/projects that significantly affect the quality of the human environment.
NPS	National Park Service
OSERS	Office of Special Education and Rehabilitative Services
Point-Deviation or Checkpoint Service	This type of service operates at fixed stops, but deviates between stops without having a designated route.
Ridership	The number of riders making one-way trips on a public transportation service in a given time period.
ROD	Record of Decision
Route Deviation	See Deviated Fixed Route
RTAP	Rural Transit Assistance Program
SF	Summary File. This is a census summary file. There are four summary files. Each summary file provides statistics at different levels of detail.
SIP	State Implementation Plan
STAA	Surface Transportation Assistance Act
STIP	Statewide Transportation Improvement Program
STP	Surface Transportation Program
SWOT	Strengths, Weaknesses, Opportunities, and Threats. This is a strategic planning method. It involves identifying the internal factors such as Strengths (S) and Weaknesses (W) and external factors such as Opportunities (O) and Threats (T).
TCRP	Transit Cooperative Research Program
TCSP	Transportation Community and System Preservation Program
TTIP	Tribal Transportation Improvement Program
U.S. DOT	United States Department of Transportation
USDA	United States Department of Agriculture
Vanpool	An arrangement where a group of people (7–25 persons) share the use and cost of a van between prearranged fixed points on a regular basis.

APPENDIX B

Resources

U.S. DOT

The United States Department of Transportation (U.S. DOT) is a department of the federal government. Each state also has its own department of transportation.

The U.S. DOT is responsible for administration of federal transportation programs dealing with public transportation, highways, railroads, air transportation, and maritime transportation. The department's mission is

> to serve the United States by ensuring a fast, safe, efficient, accessible and convenient transportation system that meets our vital national interests and enhances the quality of life of the American people, today and into the future.
>
> —http://www.dot.gov/

More information about how the U.S. DOT can help tribes start or enhance a transit program is available by clicking on the link to "Resources for Tribes and Tribal Governments," which takes you to the following webpage: http://www.dot.gov/tribal.

TTAP Centers

The Tribal Technical Assistance Program (TTAP) is a training and technology transfer resource for Native American tribes in the United States. The TTAP's main aim is to give "technical assistance and training activities at the tribal level, help implement administrative procedures and new transportation technology, provide training and assistance in transportation planning and economic development, and develop educational programs to encourage and motivate interest in transportation careers among Native American students." This resource is funded by the Federal Highway Administration (FHWA) and the U.S. Bureau of Indian Affairs (BIA).

The seven TTAP Centers and their service areas are as follows:

Alaska TTAP
University of Alaska, Fairbanks
Interior—Aleutian Campus
P.O. Box 756720
Fairbanks, AK 99775-6720
(907) 474-1580
http://www.uaf.edu/akttap
Service area: Alaska

California/Nevada TTAP
National Indian Justice Center
5250 Aero Drive

Santa Rosa, CA 95403
(707) 579-5507 or (800) 966-0662
http://www.nijc.org/ttap.html
Service area: California, Nevada

Colorado TTAP
Colorado State University
College of Business
1270 Campus Delivery
Fort Collins, CO 80523-1270
(800) 262-7623
http://ttap.colostate.edu/
Service area: Arizona, Colorado, New Mexico, Utah

Michigan TTAP
Michigan Technological University
301-E Dillman Hall
1400 Townsend Drive
Houghton, MI 49931-1295
(888) 230-0688
http://www.ttap.mtu.edu/
Service area: Alabama, Arkansas, Connecticut, Delaware, Florida, Georgia, Illinois, Indiana, Iowa, Kentucky, Louisiana, Maine, Maryland, Massachusetts, Michigan, Minnesota, Mississippi, Missouri, New Hampshire, New Jersey, New York, North Carolina, Ohio, Pennsylvania, Rhode Island, South Carolina, Tennessee, Vermont, Virginia, West Virginia, Wisconsin

Northern Plains TTAP
United Tribes Technical College
3315 University Drive
Bismarck, ND 58504
(701) 255-3285 ext. 1262
http://www.uttc.edu/forum/ttap/ttap.asp
Service area: Montana (eastern), Nebraska (northern), North Dakota, South Dakota, Wyoming

Northwest TTAP
Eastern Washington University
Department of Urban Planning
Public & Health Administration
216 Isle Hall
Cheney, WA 99004
(800) 583-3187
http://www.ewu.edu/TTAP/
Service area: Idaho, Montana (western), Oregon, Washington

Oklahoma TTAP
Oklahoma State University
5202 North Richmond Hills Road
Stillwater, OK 74078-0001
(405) 744-6049
(405) 744-7268
http://ttap.okstate.edu/
Service area: Kansas, Nebraska (southern), Oklahoma, Texas

State Transit Associations

State transit associations represent the transit systems in most states. These associations promote legislation beneficial to public transit, advocate for capital and operating funds, and promote awareness and support for public transit in the state they represent. These associations hold transit conferences that provide presentations on topics of interest, updates on federal and state funding, training sessions, and displays of equipment and information. Many of these associations also publish newsletters focusing on current events in public transportation. Many of the following state transit associations provide information and resources online:

- Alaska Mobility Coalition: http://www.alaskamobility.org/
- Arizona Transit Association (AzTA): http://www.azta.org/
- California Association for Coordinated Transportation (CalACT): http://www.calact.org/
- California Transit Association: http://www.caltransit.org/
- Colorado Association of Transit Agencies (CASTA): http://www.coloradotransit.com/
- Community Transportation Association of Idaho (CTAI): http://ctai.org/
- Connecticut Association for Community Transportation (CACT): http://www.cact.info/
- Dakota Transit Association (DTA)—This association serves both North and South Dakota: http://www.dakotatransit.org/
- Florida Public Transportation Association (FPTA): http://www.floridatransit.org/
- Indiana Transportation Association (ITA): http://www.indianatransportationassociation.com/
- Iowa Public Transit Association (IPTA): http://www.iapublictransit.com/
- Kansas Public Transit Association (KPTA): http://kstransit.org/
- Louisiana Public Transit Association (LPTA): No website
- Maine Transit Association (MTA): No website
- Michigan Public Transit Association (MPTA): http://www.mptaonline.org/
- Minnesota Public Transit Association (MPTA): http://www.mpta-transit.org/
- Mississippi Public Transit Association (MPTA): http://www.mspublictransit.org/
- Montana Transit Association (MTA): http://www.mttransit.org/
- Nebraska Association of Transportation Providers (NATP): http://www.neatp.org/
- New Mexico Passenger Transportation Association (NMPTA): http://www.nmpta.com/
- New York Public Transit Association (NYPTA): http://www.nytransit.org/
- North Carolina Public Transportation Association (NCPTA): http://www.nctransit.org/
- Oklahoma Transit Association (OTA): http://www.oktransit.org/
- Oregon Transit Association (OTA): http://www.oregontransit.com/
- South West Transit Association (SWTA): http://www.swta.org/
- Texas Transit Association (TTA): http://www.texastransit.org/
- Transportation Association of South Carolina (TASC): http://www.go-tasc.org/
- Utah Urban and Rural Specialized Transportation Association (URSTA): http://www.ursta.org/
- Washington State Transit Association (WSTA): http://www.watransit.com/
- Wisconsin Urban & Rural Transit Association (WURTA): http://wisconsintransit.com/wurta/
- Wyoming Public Transit Association (WYTRANS): http://www.wytrans.org/

Community Transportation Association of America Tribal Passenger Transportation Technical Assistance Program

This CTAA program is designed to help

Native American tribes enhance economic growth and development by improving transportation services. Technical assistance is limited to planning and may support transit service improvements and expansion, system start-up, facility development, development of marketing plans and materials, transportation coordination, training and other public transit problem solving activities.

The CTAA website provides links to the following resources helpful in applying for both long-term and short-term assistance:

- Technical Assistance for Rural and Tribal Communities: http://web1.ctaa.org/webmodules/webarticles/anmviewer.asp?a=49
- Tribal Passenger Transportation Technical Assistance Program (long-term): http://web1.ctaa.org/webmodules/webarticles/articlefiles/M-TTAPP12.pdf
- Rural Passenger Transportation Technical Assistance Program (long term): http://web1.ctaa.org/webmodules/webarticles/articlefiles/M-RPTAPP12.pdf
- USDA Tribal Transit Technical Assistance Program (short term): http://web1.ctaa.org/webmodules/webarticles/anmviewer.asp?a=561&z=5

National Rural Transit Assistance Program

The National Rural Transit Assistance Program (National RTAP) is a program of the Federal Transit Administration (FTA) dedicated to creating rural and tribal transit solutions through technical assistance, partner collaboration, peer-to-peer assistance, technology tools, free training materials, and other transit industry products. Tribes are encouraged to access all of the free National RTAP best practices, reports, training videos, workbooks, surveys, and direct one-on-one technical assistance through the resource center, www.nationalrtap.org, or by calling toll-free, (888) 589-6821.

Transit Cooperative Research Program Reports

The Transit Cooperative Research Program (TCRP) is a program of the Transportation Research Board (TRB) of the National Academies. TCRP carries out research that is useful for public transportation systems. TCRP is funded through the FTA. It is governed by an independent board—the TCRP Oversight and Project Selection (TOPS) Committee. The TOPS Committee sets priorities to decide what research studies will be undertaken. A number of TCRP publications have been referenced in this guidebook. All TCRP publications may be found online at the following webpage: http://www.tcrponline.org/.

University Transportation Centers

The federal government funds research centers at various universities throughout the country. The following two centers focus on transportation issues in rural areas:

Small Urban and Rural Transit Center (SURTC)
University of North Dakota
Fargo, North Dakota
www.surtc.org

Western Transportation Institute (WTI)
Montana State University
Bozeman, Montana
www.wti.montana.edu

APPENDIX C

Potential Funding Sources

Potential Funding Sources

U.S. Department of Transportation

Federal Transit Administration (FTA) Grant Programs

Major Capital Investment Program (Section 5309)

Program Purpose: The Fixed Major Capital Investment Program provides capital assistance for

- new and replacement buses and facilities;
- modernization of existing rail systems; and
- new fixed guideway systems.

A "fixed guideway" is defined as any transit service that uses exclusive or controlled rights-of-way or rails, entirely or in part. This includes motor bus service operated on exclusive or controlled rights-of-way and high-occupancy-vehicle (HOV) lanes. It also includes heavy rail, commuter rail, light rail, monorail, trolleybus, aerial tramway, inclined plane, cable car, automated guideway transit, and ferryboat systems.

While tribes are unlikely to be eligible for the fixed guideway funding, all would be eligible for the Bus and Bus-Related Equipment and Facilities program (bus program) which provides capital assistance for new and replacement buses, related equipment, and facilities. It is a discretionary program to supplement formula funding in both urbanized and rural areas.

Program Eligibility: Eligible applicants are public bodies and agencies such as transit authorities; states, municipalities, and other political subdivisions of states; public agencies and instrumentalities of one or more states; and public corporations, boards and commissions established by states. Private companies providing public transportation may also be eligible for certain activities.

Under the fixed guideway program, eligible projects modernize or improve the fixed guideway system. These include

- Preventive maintenance
- Passenger stations and terminals
- System extensions
- Security equipment and systems
- Maintenance facilities and equipment
- Purchase and rehabilitation of rolling stock, track, line equipment, structures, signals and communications, power equipment, and substations
- Operational support equipment including computer hardware and software

Major Capital Investment Program (Section 5309)

Federal Participation: 80%

Program Funding: $1,646,693,725 (FY10)

Distribution Method: Statutory Formula and Discretionary Grants

Regulatory Reference: 49 U.S.C. 5309

Administering Agency: U.S. DOT—FTA

Local Match: Must come from local sources or non-federal sources.

Under the bus program, eligible activities include

- Purchasing of buses for fleet and service expansion
- Bus maintenance and administrative facilities
- Transfer facilities
- Transportation centers
- Intermodal terminals
- Park-and-ride stations
- Acquisition of replacement vehicles
- Bus rebuilds
- Bus preventive maintenance
- Passenger amenities such as passenger shelters and bus stop signs
- Accessory and miscellaneous equipment such as mobile radio units
- Supervisory vehicles
- Fare boxes
- Computers
- Shop and garage equipment

Program Contact: Office of Program Management, Federal Transit Administration, U.S. Department of Transportation, East Building, 1200 New Jersey Avenue, SE, Washington, D.C. 20590. (202) 366-2053. http://www.fta.dot.gov/funding/grants/grants_financing_3558.html

FTA Circular: FTA C 9300.1B. http://www.fta.dot.gov/documents/Final_C_9300_1_Bpub.pdf

Job Access and Reverse Commute Program (Section 5316)

Federal Participation:
- 80% (Capital Projects)
- 50% (Operating Assistance)

Program Funding: $176,998,937 (FY10)

Distribution Method: Project Grant

Regulatory References: SAFETEA-LU Section 5316; 49 U.S.C. 5317

Administering Agency: U.S. DOT—FTA

Local Match: Must come from local sources or non-FTA sources. Matching funds may be available from FHWA, HHS, DOL, and HUD funds.

Job Access and Reverse Commute Formula Program (Section 5316)

Program Purpose: The purpose of the Job Access and Reverse Commute Program is to connect welfare recipients and low-income persons to employment and support services. This is achieved with grants to local governments, nonprofit organizations, and designated recipients of federal transit funding.

Program Eligibility: Job Access grants finance the planning, capital, and operating cost of eligible transit projects. Reverse Commute grants finance reverse commute bus, train, and carpool services from urban, rural, and suburban locations to suburban work places. Eligible activities include

- delivery of job access and reverse commute services, and
- administration, planning, and provision of technical assistance.

Eligible applicants are state and local government agencies, nonprofit agencies, and transit providers.

Other:

(1) A funded project must be a product of a local Public Transit–Human Services Plan and listed in the Statewide Transportation Improvement Program (STIP) prior to grant award.
(2) To access funds, the recipient must execute a grant agreement with the FTA.
(3) Other federal funds may be used for local match, such as the U.S. Department of Health and Human Services (HHS) Temporary Assistance to Needy Families (TANF).
(3) Sixty percent of funds must be distributed among recipients in urbanized areas with populations of 200,000 or more in the ratio that bears to the number of recipients in all urbanized areas.
(4) Twenty percent of funds must be distributed to states in the ratio that the number of eligible low-income individuals and welfare recipients in urbanized areas (with populations of less than 200,000) in each state bears to the number in all urbanized areas.

(5) Twenty percent of funds must be distributed to states in the ratio that the number of eligible low-income individuals and welfare recipients (in other than urbanized areas) in each state bears to the number in all other than urbanized areas.

Program Contacts: Office of Transit Programs, FTA, U.S. Department of Transportation, 1200 New Jersey Avenue, SE, Washington, D.C. 20590. (202) 366-2053. http://www.fta.dot.gov/funding/grants/grants_financing_3550.html

FTA Circular: FTA C 9050.1. http://www.fta.dot.gov/documents/FTA_C_9050.1_JARC.pdf

New Freedom Program (Section 5317)

Federal Participation:
- 80% (Capital Expenses)
- 50% (Operating Assistance)
- 90% (ADA- and Clean Air Act-compliant Vehicle Equipment)
- 100% (Planning, Administration, Technical Assistance)

Program Funding: $98,987,665 (FY10)

Distribution Method: Formula Grant to States

Regulatory References: SAFETEA-LU Section 5317; 49 U.S.C. 5317

Administering Agency: U.S. DOT—FTA

Local Match: Must come from local sources or non-FTA sources. Matching funds may be available from FHWA, HHS, DOL, and HUD funds.

New Freedom Program (Section 5317)

Program Purpose: The purpose of the New Freedom Program is to assist disabled individuals with transportation to and from jobs and employment. Grants are awarded for public transportation services beyond those required by the Americans with Disabilities Act (ADA).

Program Eligibility: To be eligible, a project must be a new or alternative public transportation service above and beyond the requirements for complementary paratransit service required by the ADA. Features of eligible projects include the following:

- The project must assist the disabled with transportation to and from jobs and employment support services.
- Both capital and operating expenses are eligible for funding.
- Ten percent of program funds may be used for program administration, planning, and technical assistance.

Other:

(1) An eligible recipient is designated by the governor of the state in consultation with local officials and local public transportation providers in urbanized areas with populations above 200,000.
(2) The state is the eligible recipient in urbanized areas between 50,000 and 200,000 population and in non-urbanized (rural) areas.
(3) Public agencies, nonprofit agencies, public transportation providers, private transportation providers, and human services transportation providers are eligible grant subrecipients.
(4) State funding is apportioned by formula, as follows:
    (a) Sixty percent is apportioned for areas of 200,000 or more in population in the ratio that the number of individuals with disabilities in each urbanized area bears to the number in all urbanized areas.
    (b) Twenty percent is apportioned among states in the ratio that the number of individuals with disabilities in urbanized areas (with population of less than 200,000) in each state bears to the number in all states.
    (c) Twenty percent is apportioned among states in the ratio that the number of individuals with disabilities (in other than urbanized areas) in each state bears to the number in all states.
(5) Submission of the FTA application and a resolution by the authorized public body approving the filing of the application is required.
(6) Applications must include information on legal capacity, coordinated regional planning, and compliance with FTA certifications and assurances.
(7) Funded programs and projects must be included in a local Public Transit–Human Service Plan, the area's Transportation Improvement Program (TIP), and in the STIP.

Program Contact: Office of Transit Programs, Federal Transit Administration, U.S. Department of Transportation, East Building, 1200 New Jersey Avenue, SE, Washington, D.C. 20590. (202) 366-2053. http://www.fta.dot.gov/funding/grants/grants_financing_3549.html

Over-the-Road Bus Program

Federal Participation: 90%

Program Funding: $8,800,000 (FY09)

Distribution Method: Discretionary Grant (Competitive)

Regulatory Reference: Section 3038 of the Transportation Equity Act for the 21st Century; Pub. L. 105-85 as amended by Pub. L. 109-059

Administering Agencies: U.S. DOT—FTA

Local Match: Must come from private operators.

Public Transportation on Indian Reservations Program—Tribal Transit Program (Section 5311[c])

Federal Participation: 100%

Program Funding: $17,000,000 (FY09)

Distribution Method: Discretionary Grant (Competitive)

Regulatory Reference: 49 U.S.C. 5311

Administering Agencies: U.S. DOT—FTA

Local Match: Not needed.

FTA Circular: FTA C 9045.1. http://www.fta.dot.gov/documents/FTA_C_9045.1_New_Freedom.pdf

Over-the-Road Bus Program

Program Purpose: The Over-the-Road Bus Program supports intercity fixed-route services and commuter, charter, and tour bus services. The purpose is to assist bus operators to comply with *Transportation for Individuals with Disabilities* regulations (49 CFR Part 37, Subpart H).

Project Eligibility: Private operators of over-the-road buses are eligible. These operators use buses for intercity, fixed-route, and over-the-road service. They are also operators of local commuter, charter, and tour services.

Projects that finance 49 CFR Part 37 capital and training costs are eligible. This includes lifts, tie-downs, moveable seats, and doors associated with accessibility for persons with disabilities. Retrofitting vehicles is also an eligible expense. Eligible training costs include developing training materials or providing training for local providers of over-the-road bus services.

The federal share may not exceed 90 percent of the project costs.

Program Contact: Office of Program Management, Federal Transit Administration, U.S. Department of Transportation, East Building, 1200 New Jersey Avenue, SE, Washington, D.C. 20590. (202) 366–2053. http://www.gpo.gov/fdsys/pkg/FR-2010-01-15/pdf/2010-703.pdf and http://www.fta.dot.gov/funding/grants/grants_financing_11856.html

Federal Register: Over-the-Road Bus Accessibility Program Grants—75 FR 2583. http://edocket.access.gpo.gov/2010/pdf/2010-703.pdf

Over-the-Road Bus Accessibility Program Grants: Corrections—75 FR 20034. http://edocket.access.gpo.gov/2010/pdf/2010-8963.pdf

Public Transportation on Indian Reservations Program—Tribal Transit Program (Section 5311[c])

Program Purpose: The Public Transportation on Indian Reservations Program—Tribal Transit Program supports tribal public transportation in rural areas.

Program Eligibility: Federally recognized tribes or Alaskan native villages, groups, or communities are eligible for program funds. A tribe that is not federally recognized may apply to the state for funds as a subrecipient under the state apportionment of the Section 5311 program.

Program funds may be used for capital, operating, planning, and administrative expenses for public transit projects that meet the needs of rural tribal communities. Eligible activities include

- Capital projects
- Operating costs of equipment and facilities for use in public transportation
- Acquisition of services, including service agreements with private providers of transportation services

Other:

(1) The Tribal Transit Program is funded as a takedown under the larger FTA Section 5311 program.
(2) There is no local match requirement.

Program Contact: Office of Program Management, Federal Transit Administration, U.S. Department of Transportation, East Building, 1200 New Jersey Avenue, SE, Washington, D.C. 20590. (202) 366-2053. http://edocket.access.gpo.gov/2009/E9-6271.htm and http://www07.grants.gov/search/search.do;jsessionid=r2HLMk4KlvW2HphGCF3CrKQyyvbqR5vTCgZJ2G2Z4hgCCJQ3PyG7!1838295238?oppId=45903&mode=VIEW

Federal Register: Public Transportation on Indian Reservations Program; Tribal Transit Program—71 FR 46959. http://edocket.access.gpo.gov/2006/pdf/06-6911.pdf

Rural and Small Urban Areas Program (FTA Section 5311)

Program Purpose: The purpose of the Rural and Small Urban Areas Program is to (a) improve, initiate, or continue public transportation service in rural and small areas under 50,000 population and (b) provide technical assistance for rural transportation providers. The goal is to

- enhance access in non-urbanized areas to health care, shopping, education, employment, public services, and recreation;
- assist in the maintenance, development, improvement, and use of public transportation systems in rural and small urban areas;
- encourage coordination of programs and services to ensure the most efficient use of all federal funds for passenger transportation in non-urbanized areas;
- assist in the development of intercity bus transportation; and
- involve private transportation providers to the maximum extent feasible.

Program Eligibility: Funds may be used for capital, operating, and project administration. State agencies, local public bodies, and nonprofit organizations, including tribal governments and tribal operators of transportation services, are eligible.

Other:

(1) State apportionments are based on a statutory formula with 20 percent allocated by the ratio of non-urbanized land area of each state to the non-urbanized land area of all states, with no state receiving more than five percent of funds.
(2) A state agency must be designated by the governor to administer the program.
(3) Funded projects must be listed in the Statewide Transportation Improvement Program (STIP).
(4) Compliance with the FTA annual list of certifications and assurances is required.
(5) States must spend 15 percent of funds to support rural intercity bus service unless the governor certifies service is adequately met.
(6) Other federal funds may be used for half of local match. Income from purchase-of-service contracts with human service agencies may be used for the entire local share for operating assistance.

Program Contact: Office of Resource Management and State Programs, Federal Transit Administration, U.S. Department of Transportation, East Building, 1200 New Jersey Avenue, SE, Washington, D.C. 20590. (202) 366-2053. http://www.fta.dot.gov/funding/grants/grants_financing_3555.html

FTA Circular: FTA C 9040.1F. http://www.fta.dot.gov/documents/FTA_C_9040.1F.pdf

Transportation for Elderly Persons and Persons with Disabilities Program (Section 5310)

Program Purpose: The purpose of the Transportation for Elderly Persons and Persons with Disabilities Program is to accommodate the mobility needs of the elderly and disabled where public transportation services are unavailable, insufficient, or inappropriate. The program is designed to supplement other FTA capital assistance programs by funding projects in all areas (urbanized, small urban, and rural). Funds are apportioned based on each state's share of elderly and disabled populations.

Program Eligibility: Program funds may be used for

- Purchase and refurbishment of wheelchair-accessible vehicles
- Communications equipment
- Passenger bus shelters

Rural and Small Urban Areas Program (Section 5311)

Federal Participation:
- 50% (Operating Assistance)
- 80% (Capital and Project Administration)
- 90% (Capital and Project Administration for projects compliant with ADA and CAAA or bicycle access projects)

Program Funding: $511,324,149 (FY10)

Distribution Method: Formula Grant to States

Regulatory Reference: 49 U.S.C. 5311

Administering Agency: U.S. DOT—FTA

Local Match: Must come from local sources or non-FTA sources. Matching funds may be available from FHWA, HHS, DOL, and HUD funds.

Transportation for Elderly Persons and Persons with Disabilities Program (Section 5310)

Federal Participation: 80%

Program Funding: $133,825,717 (FY10)

Distribution Method: Formula Grant to States

Regulatory Reference: 49 U.S.C. 5310

Administering Agency: U.S. DOT—FTA

Local Match: Must come from local sources or non-FTA sources. Matching funds may be available from FHWA, HHS, DOL, and HUD funds.

- Dispatch and data systems and computers
- Acquisition of transportation services under contract, lease, or other arrangement

Projects must provide the maximum feasible coordination of transportation services and the maximum feasible participation of private-for-profit operators. To be eligible, projects must be derived from a locally developed Coordinated Public Transit–Human Services Transportation Plan.

Other:

(1) Eligible subrecipients include (a) private nonprofit organizations, (b) public bodies approved by the state to coordinate services, and (c) public bodies that certify no nonprofit corporation or association is available to provide the services.
(2) Funds provided under other federal programs (other than U.S. DOT with the exception of the Federal Lands Highway) may be used as match.
(3) The state must submit to FTA a program-of-projects identifying all subrecipients. The projects must be included in the STIP.
(4) Compliance with the FTA annual list of certifications and assurances is required.

Program Contact: Office of Program Management, Federal Transit Administration, U.S. Department of Transportation, East Building, 1200 New Jersey Avenue, SE, Washington, D.C. 20590. (202) 366-2053. http://www.fta.dot.gov/funding/grants/grants_financing_3556.html

FTA Circular: FTA C 9070.1F. http://www.fta.dot.gov/documents/C9070.1F.pdf

Paul S. Sarbanes Transit in Parks Program (Section 5320)

Federal Participation: 100%

Program Funding: $26,709,815 (FY10)

Distribution Method: Discretionary Grant (Competitive)

Regulatory Reference: 49 U.S.C. 5320

Administering Agency: U.S DOT—FTA; Interior; and USFS

Local Match: Not needed.

Paul S. Sarbanes Transit in Parks Program (Section 5320)

Program Purpose: The purpose of the Paul S. Sarbanes Transit in Parks Program is to address the increasing vehicle congestion and pollution in and around national parks and other federal lands. The program is designed to preserve natural, historical, and cultural resources; reduce congestion and traffic; enhance visitor experience; and make service available to all people including people with disabilities. This program provides funding for alternative transportation systems, such as shuttle buses, rail, trolleys and trams, ferries and waterborne vessels, bicycles, pedestrian trails, and other non-motorized services.

Program Eligibility: Program funds may be used for:

- Capital and planning expenses for new or existing alternative transportation services in and around national parks, national wildlife refuges, Bureau of Land Management (BLM) recreational areas, Bureau of Reclamation (BR) recreational areas, national forests, and communities surrounding these areas.
- Alternative transportation includes transportation by bus, rail, trolleys and trams, any public transportation, sightseeing service, ferries and waterborne vessels, pedestrian or bicycle trails, or intelligent transit systems (ITS) for transit.
- Funds are not eligible for operating costs such as fuel and drivers' salaries.

Other:

(1) Eligible recipients include federal land management agencies including BLM, BR, National Park Service (NPS), U.S. Fish and Wildlife Service (FWS), and USDA Forest Service (USFS).
(2) Eligible recipients also include state, local, and tribal governments working in collaboration with eligible recipients on eligible projects in eligible areas. A letter of consent from the federal land management agency or agencies expressing support for the project must be submitted.

Program Contact: Office of Program Management, Federal Transit Administration, U.S. Department of Transportation, East Building, 1200 New Jersey Avenue, SE, Washington, D.C. 20590. (202) 366-2053. http://www.fta.dot.gov/funding/grants/grants_financing_6106.html

Federal Register / Vol. 76, No. 47 / Thursday, March 10, 2011 / Notices: http://www.gpo.gov/fdsys/pkg/FR-2011-03-10/pdf/2011-5427.pdf

Livable Communities Initiative

Program Purpose: The FTA, EPA and U.S. Department of Housing and Urban Development (HUD) initiated the Livable Communities Initiative to strengthen the link between transit and communities. Transit facilities and services that promote more livable communities are ones which are customer-friendly, community-oriented, and well-designed resulting from a planning and design process with active community involvement.

The objectives of the Initiative are to improve mobility and the quality of services available to residents of neighborhoods by:

- Strengthening the link between transit planning and community planning, including land use policies and urban design supporting the use of transit and ultimately providing physical assets that better meet community needs.
- Stimulating increased participation by community organizations and residents, minority and low-income residents, small and minority businesses, persons with disabilities, and the elderly in the planning and design process.
- Increasing access to employment, education facilities, and other community destinations through high-quality, community-oriented, technologically innovative transit services and facilities.
- Leveraging resources available through other federal, state, and local programs.

Program Eligibility: Eligible recipients are transit operators, metropolitan planning organizations, city and county governments, states, planning agencies, and other public bodies with the authority to plan or construct transit projects. Nonprofit, community, and civic organizations are encouraged to participate in project planning and development as partners with eligible recipients. Eligible project planning activities include:

- The preparation of implementation plans and designs incorporating Livable Communities elements;
- The assessment of environmental, social, economic, land use, and urban design impacts of projects, feasibility studies, and technical assistance;
- Participation by community organizations and the business community, including small and minority-owned businesses, and persons with disabilities;
- The evaluation of best practices; and
- The development of innovative urban design, land use, and zoning practices.

Program Contact: Office of Program Management, Federal Transit Administration, 1200 New Jersey Avenue, SE, 4th Floor East Building, Washington, D.C. 20590. (202) 366-4020. http://ntl.bts.gov/DOCS/livbro.html

Livable Communities Initiative

Federal Participation: 80%

Program Funding: $28,000,000 (FY10)

Distribution Method: Competitive Grant

Regulatory Reference: 49 U.S.C. Section 5309(a)(5) and (7) (formerly Sections 3(a)(1)(D) and (F) of the Federal Transit Act)

Administering Agency: HUD and U.S. DOT

Local Match: Must come from local sources or non-federal sources.

Federal Highway Administration (FHWA) Programs

Congestion Mitigation/Air Quality Improvement Program

Program Purpose: The purpose of the Congestion Mitigation and Air Quality Improvement Program (CMAQ) is to reduce transportation-related emissions in air quality non-attainment and maintenance areas.

Program Eligibility: Eligible activities include

- New transit systems and service expansions
- Rideshare programs
- New services and programs with air quality benefits

- Alternative fuel projects including vehicle refueling infrastructure, clean fuel fleet programs, and conversions
- Other transportation projects with air quality benefits
- Public education and outreach
- Fare and fee subsidy programs
- Transportation activities within approved State Implementation Plans (SIPs)
- Transportation control measures in areas designated as non-attainment under the Clean Air Act Amendments (CAAA)
- Pedestrian and bicycle off-road or on-road facilities, including modification of public walkways to comply with the ADA
- Transportation management and monitoring systems
- Traffic management, monitoring, and congestion relief strategies
- Telecommunications
- Travel demand management
- Diesel retrofits
- Inspection and maintenance programs
- Intermodal freight
- Public–private partnerships and initiatives
- Contracting with transportation management associations
- Experimental pilot projects and innovative financing

New single-occupancy vehicle (SOV) capacity projects are ***not*** eligible.

Other:

(1) CMAQ funds are apportioned to states by formula based on population and the severity of ozone and carbon monoxide pollution in their non-attainment or maintenance areas.
(2) A state may transfer CMAQ funds to other program apportionments such as the Surface Transportation program and the Recreational Trails program. The amount transferred may not exceed 50 percent of the amount by which the state's CMAQ apportionment for the fiscal year exceeds the amount the state would have been apportioned if the program had been funded at $1.35 billion annually.
(3) The following states are allowed flexibility in their use of CMAQ funds:
   (a) Montana—for operation of public transit activities that serve non-attainment or maintenance areas
   (b) Michigan—for operation and maintenance of ITS strategies that serve a non-attainment or maintenance area
   (c) Maine—for operation of passenger rail service between Boston, Massachusetts, and Portland, Maine
   (d) Oregon—for operation of additional rail service between Eugene and Portland, Oregon
   (e) Iowa, Illinois, Indiana, Minnesota, Missouri, Ohio and Wisconsin—for purchase of alternative fuels or biodiesel
(4) A state or metropolitan planning organization (MPO) may enter into a public-private partnership agreement with any public, private, or nonprofit entity to implement any project funded under CMAQ.
(5) If a state has no ozone or carbon monoxide non-attainment or maintenance areas, funds may be used for a Surface Transportation Program (STP) or CMAQ-eligible purpose.

Program Contact: Office of Natural and Human Environment, Federal Highway Administration, U.S. Department of Transportation, HCF-1, Room E74-302, 1200 New Jersey Avenue, SE, Washington, D.C. 20590. (202) 366-2080. http://www.fhwa.dot.gov/safetealu/factsheets/cmaq.htm and http://www.fhwa.dot.gov/environment/cmaqpgs/index.htm

Congestion Mitigation—Air Quality Improvement Program

Federal Participation:
- 80% (General)
- 90% (Interstate projects)
- 100% (Certain safety, carpool, vanpool projects; emergency transit vehicle systems; signalization)

Program Funding: $1,777,263,247 (FY09)

Distribution Method: Formula Grant to States

Regulatory References: SAFETEA-LU Sections: 1101(a) (5), 1103 (d), 1808; 23 U.S.C. 149

Administering Agency: U.S. DOT—FHWA

Local Match: Must come from local sources or non-federal sources.

Indian Reservation Roads Program

Overview: The Indian Reservation Roads Program (IRR) is designed to address a variety of transportation needs for federally recognized tribal governments. It is jointly administered by the U.S. DOT FHWA Office of Federal Lands Highway (FLH) and the U.S. Department of the Interior Bureau of Indian Affairs (BIA). Established in 1928, the program enabled cooperation between state highway agencies and the Interior Department to survey, construct, and maintain Indian reservation roads. In 1982, under the Surface Transportation Assistance Act (STAA), FLH was created with the IRR as one program within it. STAA expanded the IRR system to include BIA roads, tribally owned public roads, and state and county roads. Today, the IRR system covers

- Roughly 27,800 miles of public roads on Indian reservations, owned by the BIA and designated the BIA Road System
- Roughly 31,000 miles of state and local public roads that provide access to and within tribal reservations
- Roughly 1,700 miles of tribal-owned roads

Indian Reservation Roads Program

Federal Participation: 100%

Program Funding: $359,936,800 (FY10)

Distribution Method: Formula Grant

Regulatory References: 23 U.S.C. 101, 202, 203, 204; 25 CFR 170

Administering Agencies: U.S. DOT—FHWA and Interior—BIA

Local Match: Not needed.

Program Purpose: The purpose of the IRR Program is to provide safe and adequate transportation services and public access to and within Indian reservations, Indian lands, and communities for Indians and Alaska Natives (including visitors, recreational users, resource users, and others), while contributing to tribal economic development, self-determination, and employment.

Program Eligibility: Eligible funding activities include

- Provision of transit facilities and services within public lands, national parks, and Indian reservations
- Transportation facility planning, research, engineering, construction, and reconstruction
- Tourism enhancement and recreational development
- Vehicular parking area improvements and additions
- Interpretive signage installation
- Scenic easement and scenic or historic site acquisition
- Pedestrian and bicycle on- and off-road system improvements, including modification of public walkways to comply with the Americans with Disabilities Act (ADA)
- Construction and reconstruction of roadside rest areas, including sanitary and water facilities
- Other appropriate facilities such as visitor centers

Program funds may be used as local match for federal-aid highway or transit projects that provide access to or within federal or Indian lands. The following arrangements also may apply:

- IRR funds for highway, road, bridge, parkway, and transit facilities or projects on Indian reservations are allocated directly to the requesting tribal government or consortium (two or more tribes) through FHWA. This includes any amount that would have been withheld for BIA administrative costs. The requesting government must demonstrate financial management and stability.
- A tribal government may enter into a maintenance agreement with a state to maintain state roads within and serving its reservation.
- Up to 25 percent of a tribal government's IRR funds may be used for road and bridge maintenance, although the BIA continues primary responsibility for maintaining facilities on the designated BIA Road System.

Other:

(1) Program funds are allocated by a relative need formula developed under negotiated rule making with tribal governments. Maximum utilization of the formula—and maximum share—requires the tribal government to maintain an updated IRR inventory. The inventory should list all eligible public roads that serve the reservation regardless of jurisdiction.

(2) Upon receiving the total fiscal year of IRR funding from FHWA, BIA publishes a notice-of-availability of funds in the Federal Register and transfers the funds to the federally recognized tribal governments within 30 days, as stipulated.
(3) The IRR funds may only be expended on projects listed in an approved Tribal Transportation Improvement Program (TTIP).

Program Contacts: Office of Program Development, Federal Lands Highway, Federal Highway Administration, U.S. Department of Transportation, 1200 New Jersey Avenue, SE, Washington, D.C. 20590. (202) 366-9494. Access http://flh.fhwa.dot.gov/programs/irr/ then go to *Indian Reservation Roads Program Delivery Guide.*

Division of Transportation, Bureau of Indian Affairs, U.S. Department of the Interior, 1849 "C" Street, NW, Mail Stop 4512, MIB, Washington, D.C. 20240. (202) 513-7712 or (202) 513-7714. http://www.doi.gov/

Note: The BIA does not post extensive program information on its website or by e-mail. If accessing the BIA web address shown above, users must search for the IRR Program. The information provided will be limited.

Park Roads and Parkways Program

Federal Participation: 100%

Program Funding: $240,000,000 (FY09)

Distribution: Allocation to Program

Regulatory Reference: 23 U.S.C. 101, 202, 203, 204

Administering Agencies: U.S. DOT—FHWA and Interior—NPS

Local Match: Not needed.

Park Roads and Parkways Program

Program Purpose: The purpose of the Park Roads and Parkways Program is to continually improve federal parkways and park roads. A parkway is defined as "a highway that has full or partial access control, is usually located within a park or a ribbon of park-like developments, and prohibits commercial vehicles." Buses are not considered commercial vehicles in this case.

Program Eligibility: Eligible activities include

- Provision of transit facilities and services
- Planning, design, construction, or reconstruction of designated roads that provide public access to or within national parks, recreational areas, historic areas, and other units of the NPS
- Transportation planning to enhance tourism and recreational travel
- Vehicular parking areas and interpretive signage
- Scenic easement and scenic or historic site acquisition
- Pedestrian and bicycle on-and-off road facilities, including modification of public walkways to comply with the ADA
- Construction and reconstruction of roadside rest areas, including sanitary and water facilities
- Other appropriate facilities such as visitor centers

Other:

(1) The FHWA and NPS jointly administer the program.
(2) FHWA Federal Lands Highway is responsible for project design, construction, and oversight activities. The NPS develops the program-of-projects and oversees planning.
(3) Fund allocations are based on the ranking of projects and approved by the Federal Highway Administration.

Public Lands Highway Program

Federal Participation: 100%

Program Funding: $102,000,000 (FY09)

Distribution Method: Allocation to Program

Regulatory References:
- SAFETEA-LU Sections: 1101(a) (9) (D), 1119
- 23 U.S.C. 201, 202, 203, 204
- 23 CFR 660 Subpart A

Administering Agency: U.S. DOT—FHWA

Local Match: Not needed.

Program Contact: Office of Program Development, Federal Lands Highway, Federal Highway Administration, U.S. Department of Transportation, 1200 New Jersey Avenue, SE, Washington, D.C. 20590. (202) 366-9494. http://www.fhwa.dot.gov/flh/ and http://flh.fhwa.dot.gov/programs/prp

Public Lands Highway Program

Program Purpose: The purpose of the Public Lands Highway Program (PLH) is to upgrade and improve transportation facilities and services within federal public lands.

Program Eligibility: Eligible grant activities include

- Transportation planning, research, engineering, and construction of highways, roads, parkways, transit, and non-motorized facilities on public lands, within national parks, and on Indian reservations
- Operation and maintenance of transit facilities
- Transportation planning for tourism and recreational enhancement
- Vehicular parking areas and interpretive signage
- Scenic easement and scenic or historic site acquisition
- Pedestrian and bicycle on-and-off road facility improvements, including modification of public walkways to comply with the ADA
- Construction and reconstruction of road side rest areas, including sanitary and water facilities
- Other appropriate facilities such as visitor centers

Program Contact: Federal Lands Highway, Federal Highway Administration, U.S. Department of Transportation, 1200 New Jersey Avenue, SE, Washington, D.C. 20590. (202) 366-9494. http://www.fhwa.dot.gov/discretionary/plhcurrsola3.cfm and http://flh.fhwa.dot.gov/programs/plh/discretionary/documents/plhd.pdf

Surface Transportation Program

Program Purpose: The Surface Transportation Program (STP) offers flexible transportation funding options to states and localities in support of an array of projects eligible for federal aid.

Program Eligibility: Eligible activities include construction, reconstruction, rehabilitation, resurfacing, restoration, and operational improvement for highways and bridges on public roads. Eligible activities also include

- Capital costs for transit projects including vehicles and facilities used for intercity passenger bus service, whether publicly or privately owned
- Transportation enhancement activities
- Highway and transit safety infrastructure improvements and programs, hazard elimination, hazard mitigation related to wildlife crossings, and railway-highway road crossings
- Carpool projects, fringe and corridor parking facilities, bicycle and pedestrian service, including public sidewalk modifications to comply with the ADA
- Surface transportation planning programs
- Highway and transit research, development, and technology programs
- Seismic retrofit, painting, and application of calcium magnesium acetate or other environmentally acceptable, minimally corrosive anti-icing and de-icing composition on bridges and other elevated structures
- Mitigation of damage to wildlife, habitat, and ecosystems.
- Intersections with high accident rates and congestion, with a level of service no better than "F" during peak travel hours and located on a federal-aid highway
- Infrastructure-based intelligent transportation systems capital improvements
- Development of management systems
- Capital and operating costs for traffic monitoring and system management, including advanced truck stop electrification systems
- Transportation control measures
- Environmental restoration and pollution abatement
- Control of noxious weeds and establishment of native species
- Participation in eligible natural habitat and wetland mitigation projects, including mitigation banks and state and regional conservation efforts

Surface Transportation Program

Federal Participation:
- 80% (General)
- 90% (Interstate HOV or Auxiliary Lanes)

Program Funding: $6,577,000 (FY09)

Distribution Method: Formula Grant to States

Regulatory References:
- SAFETEA-LU Sections: 1101(a)(4), 1103(f), 1113, 1603, 1960 and 6006
- 23 U.S.C. 133(d)(3) and 104(b)(3)

Administering Agency: U.S. DOT—FHWA

Local Match: Must come from local sources or non-federal sources.

Other:

(1) Each state receives a minimum of one-half percent of the funds apportioned for the Surface Transportation Program. As a rule, state apportionments are based on the following factors:
   (a) Twenty-five percent—Total lane miles of federal-aid highways
   (b) Forty percent—Vehicle-miles traveled on lanes on federal-aid highways
   (c) Thirty-five percent—Estimated tax payments into the Highway Account of the Highway Trust Fund
(2) A portion of the State Equity Bonus is added to its STP apportionment.
(3) Ten percent of each state apportionment is set aside for safety construction activity such as hazard elimination and railway-highway crossings.
(4) Ten percent of each state apportionment is set aside for transportation enhancement activity.
(5) Fifty percent (62.5 percent of the remaining 80 percent) is divided between urbanized areas over 200,000 in population and the remaining areas of the state.
(6) The remaining 30 percent (37.5 percent of the remaining 80 percent) may be used in any area of the state.
(7) Areas of less than 5,000 population are guaranteed not less than 110 percent of the State FFY1991 secondary road program apportionment.

Transportation Enhancement Program

Federal Participation: 80%

Program Funding: $833,502,581 (FY09)

Distribution Method: Formula Grant to States

Regulatory Reference: SAFETEA-LU Sections 1113, 1122, 6003

Administering Agency: U.S. DOT—FHWA

Local Match: Must come from local sources or non-federal sources.

Program Contact: Office of Program Administration, Federal Highway Administration, U.S. Department of Transportation, 1200 New Jersey Avenue, SE, Washington, D.C. 20590. (202) 366-4653. http://www.fhwa.dot.gov/safetealu/factsheets/stp.htm

Transportation Enhancement Program

Program Purpose: The Transportation Enhancement Program is intended to expand travel choices and enhance transportation experience by improving the cultural, historic, aesthetic and environmental aspects of the intermodal transportation systems.

Program Eligibility: Eligible projects must demonstrate a relationship to surface transportation. The project must be accessible to the public, and may be a "stand-alone" project or an additional enhancement to a larger highway project. The twelve eligible activities are as follows

- Pedestrian and bicycle facilities
- Pedestrian and bicycle safety and educational activities
- Acquisition of scenic or historic easements and sites
- Scenic or historic highway programs including tourist and welcome centers
- Landscaping or scenic beautification
- Historic preservation
- Rehabilitation and operation of historic transportation buildings, structures, or facilities
- Conversion of abandoned railway corridors to trails
- Inventory, control, and removal of outdoor advertising
- Archaeological planning and research
- Environmental mitigation of runoff pollution and provision of wildlife connectivity
- Establishment of transportation museums

Program Contact: Office of Human Environment, Federal Highway Administration, U.S. Department of Transportation, 1200 New Jersey Avenue, SE, Washington, D.C. 20590. (202) 366-5013. http://www.fhwa.dot.gov/environment/te/

U.S. Department of Agriculture

Rural Passenger Transportation Technical Assistance Program

Program Purpose: The Rural Passenger Transportation Technical Assistance Program is funded through the U.S. Department of Agriculture (USDA) Rural Business Cooperative Service. It is designed to assist rural communities enhance economic growth by improving

transportation services. The objective is to help small and emerging businesses and stimulate economic development through new and improved transportation programs. Technical assistance is provided for

- Public transit problem solving
- Transit service improvements and expansion
- New system start-up
- Policy and procedure development
- Marketing
- Transportation coordination
- Training
- Facility development

Program Eligibility: To qualify, a project must be located within a rural area with a population of less than 50,000. Applications for assistance may be submitted by private-for-profit or nonprofit organizations or agencies. The project must benefit new or existing small and emerging businesses. The program is administered by the CTAA. Applications submitted to CTAA are ranked by the following criteria:

- Will the project help create or preserve jobs or small business?
- Is the project located in an economically distressed area?
- Is the project likely to be implemented after technical assistance has been provided?
- Are project goals directly linked to economic development?
- Will technical assistance be used innovatively to help resolve transportation issues and economic concerns?
- Is there local consensus and community support for the project?

Other:

(1) Major project applications are solicited annually.
(2) Once CTAA and USDA approve the application, there is a site visit and needs assessment. CTAA develops a project approach, work tasks, deliverable products, and explains the roles and responsibilities of the project participants. If the project requires assistance from independent consultants, CTAA may develop a consultant work plan, budget, and request-for-proposals.

Program Contact: Community Transportation Association, 1341 G Street, NW, 10th Floor Washington, D.C. 20005. (202) 299-6593. http://web1.ctaa.org/webmodules/webarticles/anmviewer.asp?a=49&z=5

Rural Passenger Transportation Technical Assistance Program

Federal Participation: 100%

Program Funding: $500,000 (FY10)

Distribution Method: Competitive Grant—Technical Assistance

Regulatory References: 7 CFR Part 4284

Administering Agency: USDA—Rural Business Cooperative Service and the CTAA

Local Match: Not needed.

Community Development Transportation Lending Services, Inc.

Program Purpose: The Community Development Transportation Lending Services, Inc. (CDTLS) is a not-for-profit subsidiary of the CTAA, a lending institution that provides financing in the transportation sector. CDTLS is certified by the Community Development Financial Institution Fund of the U. S. Department of the Treasury. The purpose of the CDTLS is to raise capital through active partnership with public agencies that can be used to finance a broad range of transportation and related investments or activities. It is designed to assist transit programs in rural communities by giving low-interest loans for improvements of transit programs. It was founded by CTAA in 2000. Loans range from $2,000 to $2,000,000. The objective is to assist transportation businesses and local communities in improving or expanding local transit services, building facilities, and promoting economic development in communities through financial assistance for many types of transportation projects. There are four basic elements to any finance package, including any offered by CDTLS:

1. ***A source of capital***—CDTLS offers several sources of low-interest capital for transit financing.

Community Development Transportation Lending Services, Inc.

Federal Participation: 100%

Program Funding: $2,600,000 (FY10)

Distribution Method: Privately Arranged Low-interest Loans

Administering Agency: USDA and the CTAA

Local Match: Not needed.

2. ***A finance mechanism***—CDTLS uses five financing mechanisms such as long-term direct loan (for larger projects and whose terms vary but are generally 15 to 20 years); short-term direct loan (for operating expenses, vehicle purchases, insurance premiums, and other similar needs); lease purchase/buyback options (leasing options to the acquisition of capital assets, particularly vehicles and facilities); equity and partnership financing (for multi-funded projects where an applicant 'buys' into a project as a percentage of equity to help secure additional financing); and credit enhancement options (bank letters of credit or government guarantees to assist in securing a loan).
3. ***A repayment stream***—This is based on the type of each individual project.
4. ***Loan security or collateral***—This is based on the type of each individual project.

Program Eligibility: CDTLS has two product lines, the Capital Fund and the Business Operating Fund.

- The Capital Fund includes financing for transportation and railway facilities, multimodal facilities, community centers, HHS centers and co-location, vehicle financing, and local share financing for federal grants and contracts.
- The Business Operating Fund includes financing for transit small business fund, micro-loans for transit software and hardware, working capital loans, insurance and self-insurance, and gap financing.

Other: Eligible recipients include nonprofit, public or private transportation providers and transportation businesses.

Program Contact: Community Transportation Association of America, 1341 G Street, NW, 10th Floor Washington, D.C. 20005. (202) 415-9862. http://web1.ctaa.org/webmodules/webarticles/anmviewer.asp?a=53&z=36

Additional Resources

Additional resources include USDA's Rural Development Business and Cooperative Programs at http://www.rurdev.usda.gov/rbs/busp/bprogs.htm.

The loan and grant programs available through these programs include the following:

- Business and Industry Guaranteed Loan (B&I) Program
- Intermediary Relending Program (IRP)
- Rural Business Enterprise Grant (RBEG) Program
- Rural Economic Development Loan and Grant (REDLG)
- Biorefinery Assistance Program Biorefinery Assistance Loan Guarantees (BIOREFINERY)
- Bioenergy Program for Advanced Biofuels
- Repowering Assistance Program
- Rural Energy for America Program/Energy Audit and Renewable Energy Development Assistant (REAP/EA and REDA)
- Rural Energy for America Program/Renewable Energy Systems/Energy Efficiency Improvement Program (REAP/RES/EEI)
- Rural Energy for America Program/Feasibility (REAP/FEASIBILITY)
- Rural Energy for America Program Guaranteed Loan Program (REAP LOAN)
- Farmbill Initiatives—REAP

Tribal Passenger Transportation Technical Assistance Program

Tribal Passenger Transportation Technical Assistance Program

Federal Participation: 100%

Program Funding: $250,000 (FY10)

Distribution Method: Competitive Grant—Technical Assistance

Regulatory References: 7 CFR Part 4284

Administering Agency: USDA—Rural Business Cooperative Service and CTAA

Local Match: Not needed.

Program Purpose: The Tribal Passenger Transportation Technical Assistance Program is funded through the USDA Rural Business Cooperative Service. It is intended to provide technical assistance to Native American tribes for enhanced economic growth by improving passenger transportation services and facilities. The program is administered by the CTAA, which provides the technical assistance. This involves on-site and off-site evaluations and review over a period of

6 to 12 months. No local match is required, but recipients should provide some form of in-kind support. Program technical assistance includes

- Facility development
- Transit service improvements and expansion
- New system start-up
- Policy and procedure development
- Marketing
- Transportation coordination
- Training
- Public transit problem solving

Program Eligibility. To qualify for assistance, tribes must be federally recognized. Program applications are submitted to CTAA and ranked by the following criteria:

- Number of new jobs to be created
- Potential economic impact resulting from implementation of project
- Level of economic distress in the community
- Potential for implementation after technical assistance phase of project is completed
- Demonstrated consensus and support in the community
- Potential for development of unique or innovative strategies, techniques, or approaches in solving identified problems
- Potential for replication of the project elsewhere

Other:

(1) Major project applications are solicited annually.
(2) Once CTAA and USDA approve the application, there is a site visit and needs assessment. CTAA develops a project approach, work tasks, deliverable products, and explains the roles and responsibilities of the project participants. If the project requires assistance from independent consultants, CTAA may develop a consultant work plan, budget, and request-for-proposals.

Program Contact: Community Transportation Association of America, 1341 G Street, NW, 10th Floor, Washington, D.C. 20005. (202) 299-6593. http://web1.ctaa.org/webmodules/webarticles/anmviewer.asp?a=49&z=5

U.S. Department of Commerce

Economic Development Administration Grants

Economic Development Administration Grants

Federal Participation: Variable

Program Funding: $114,280,000 (FY09)

Distribution Method: Competitive Grants

Regulatory Reference: 42 USC 3211, 3141, 3154 Department of Commerce Organization Order 10-4

Administering Agency: Commerce—EDA

Local Match: May be used to match FTA funds.

Program Purpose: The Economic Development Administration (EDA) of the U.S. Department of Commerce (DoC) provides financial assistance to rural and urban distressed communities. EDA grants support capital facilities in economically distressed areas, including transportation facilities and infrastructure improvements. Two grant programs specific to transit and transportation improvements are Public Works and Economic Development Investments and Special Impact Areas.

Public Works/Economic Development Investments Program: The program is for the most distressed communities. Its purpose is to revitalize, expand, and upgrade the physical infrastructure to attract new industry, encourage business expansion, diversify local economies, and generate or retain long-term private sector jobs and investments. The goal is to create new, or retain existing, long-term private sector jobs in communities experiencing distress as evidenced by chronic high unemployment, underemployment, and low per capita income.

Special Impact Areas: A region or area may be designated a Special Impact Area if it demonstrates a pressing need to alleviate unemployment and underemployment. An Indian tribe located within a distressed rural region may be designated a Special Impact Area.

Vocational Rehabilitation Services Project for American Indians with Disabilities

Federal Participation: 90%

Program Funding: $23,390,000 (FY09)

Distribution Method: Discretionary Grants

Regulatory Reference: Rehabilitation Act of 1973, as amended—Title I, Part C, Sec. 121; 29 U.S.C. 741

Administering Agency: ED—OSERS

Local Match: May be used to match FTA funds.

Indian Housing Block Grants Program

Federal Participation: 100%

Program Funding: $700,000,000 (FY10)

Distribution Method: Formula-based Grants

Regulatory Reference: Native American Housing Assistance and Self-Determination Act of 1996; 24 CFR Part 1000, Subpart D

Administering Agency: HUD—Office of Community Planning and Development

Local Match: Not needed.

Program Eligibility: Public bodies, private nonprofit organizations, and Indian tribes are eligible for EDA grants. Most of the funds are awarded to state and local economic development agencies, which in turn work with local partners in the planning and provision of services, including transportation services. Eligibility criteria include (but are not limited to)

- Evidence of eligibility
- Evidence of an EDA-approved Comprehensive Economic Development Strategy (CEDS)
- Evidence that the project will directly or indirectly assist in creating long-term employment opportunities and benefit the long-term unemployed and members of low-income families

Program Contact: Economic Development Administration, U.S. Department of Commerce, 14th and Constitution Avenue NW, Office 7800, Washington, D.C. 20230. (202) 482-5081. http://www.eda.gov/AboutEDA/Programs.xml and http://www.eda.gov/ImageCache/EDAPublic/documents/pdfdocs2008/13cfrchapter_20iii_2d2006andifr_2epdf/v1/13cfrchapter_20iii_2d2006andifr.pdf

U.S. Department of Education

Office of Special Education and Rehabilitative Services

Vocational Rehabilitation Services Project for American Indians with Disabilities

Program Purpose: The purpose of the Vocational Rehabilitation Services Project for American Indians with Disabilities is to assist tribal governments in establishing and operating vocational rehabilitation services for members with disabilities residing on or near federal or state reservations. Administered by the U.S. Department of Education (ED) Office of Special Education and Rehabilitative Services (OSERS), the program's goal is to enable gainful employment for these members. Program services are provided under an individualized plan for employment and may include transportation services.

Program Eligibility: The governing body of an Indian tribe or consortia of tribes is eligible. Eligible transportation services are defined as "transportation, including adequate training in the use of public transportation vehicles and systems, which is provided in connection with the provision of any other service . . . and needed by the individual to achieve an employment outcome."

A grantee may provide vocational rehabilitation services directly or contract these services with a designated state unit, a community rehabilitation program, or another agency to assist in the implementation of the vocational rehabilitation service. A grantee may also enter into an intertribal arrangement with governing bodies of other Indian tribes for carrying out a project that serves more than one tribe.

Program Contact: Office of Special Education and Rehabilitative Services, Rehabilitation Services Administration, U.S. Department of Education, 400 Maryland Avenue, SW, Room 5051, PCP, Washington, D.C. 20202. (202) 245-7485. http://www.rsa.ed.gov/programs.cfm?pc=AIVRS&sub=purpose and http://www2.ed.gov/programs/vramerind/2009-250a-reopen.pdf

U.S. Department of Housing and Urban Development

Office of Public and Indian Housing

Indian Housing Block Grants Program

Program Purpose: The formula-based Indian Housing Block Grants Program (IHBG) provides grants to tribal governments and their designated housing enterprises for housing development, assistance and other services needed by tribal housing residents. Transportation facilities and services designed for these persons are eligible for funding.

The formula for distributing grants has two elements—Need and Formula Current Assisted Stock, as follows:

- Need considers population, income, and housing conditions.
- Formula Current Assisted Stock covers housing developed under the U.S. Housing Act (the predecessor of IHBG) and is owned or operated by the IHBG recipient and provides funds for ongoing operation of the housing.

Program Eligibility: Federally recognized tribes or their designated housing entities are eligible. Eligible activities include housing development, assistance to housing developed under the Indian Housing Program, housing services to eligible families and individuals, crime prevention and safety, and creative approaches to solving affordable housing problems.

Grantees must submit an Indian Housing Plan annually to receive funding. At the end of each year, recipients must also submit an Annual Performance Report.

Program Contact: Public and Indian Housing, U.S. Department of Housing and Urban Development, 451 Seventh Street, SW, Washington, D.C. 20410. (202) 708-0950. http://www.hud.gov/offices/pih/ih/grants/ihbg.cfm

U.S. Department of Health and Human Services

Administration for Children and Families

Community Services Block Grant Program

Community Services Block Grant Program

Federal Participation: 100%

Program Funding: $700,000,000 (FY10)

Distribution Method: Formula-based grants

Regulatory Reference: Pub. L. 97-35—Community Services Block Grant Act; Title VI, Subtitle B of the Omnibus Budget Reconciliation Act of 1981

Administering Agency: HHS—Office of Community Services

Local Match: Not needed.

Program Purpose: U.S. Department of Health and Human Services (HHS) Administration for Children and Families administers the Community Services Block Grant Program (CSBG), which offers services and activities to assist the needs of low-income, homeless, migrant, and elderly persons. Grant amounts are determined by a formula based on the poverty populations within each state and tribe. Tribes receiving CSBGs address employment, education, housing, nutrition, emergency services, or health needs and services.

An important element of the program is the Job Opportunities for Low-income Individuals (JOLI) program, through which the HHS Office of Community Services awards discretionary grants to local nonprofits that create employment and business opportunities for welfare recipients and the low-income. Transportation services are commonly provided in both the block grant and JOLI programs.

Program Eligibility: The CSBG application should contain

- Specific assurances certified by the chief executive officer of the tribal organization
- Evidence that the Tribal CSBG Plan was made available for public review and comment in conjunction with development of the plan
- A tribal resolution adopting the plan
- State recognition that the group is an Indian tribe and verification that it is eligible for funding
- A plan and a narrative explaining how the tribe will carry out required legislative assurances and that includes
  - A statement of goals and objectives
  - Information on the specific types of activities to carry out programmatic and administrative assurances
  - Areas and categories of individuals to be served
  - The criteria and method used for the distribution of funds
- An annual report describing how the tribe met any previous year CSBG goals and objectives.
- Administrative verifications indicating the date of the last program audit and the period it covers.

Head Start Program

Federal Participation: 80% to 100%

Program Funding: $8,200,000 (FY11)

Distribution Method: State Determination

Regulatory References: Head Start Act, as amended; 42 USC 9801 et seq.

Administering Agency: HHS—Office of Head Start

Local Match: May be used to match FTA funds.

Medicaid Program

Federal Participation: Assistance Percentage

Program Funding: $271,446,000 (All Medicaid programs, FY11)

Distribution Method: State Determination

Regulatory References:

- Title XIX of the Social Security Act
- 42 U.S.C.(The Public Health and Welfare)
- Ticket to Work and Work Incentives Improvement Act, Pub. L. No. 106-170, § 203 (b)(2)(B)(ii)

Administering Agency: HHS—Centers for Medicare and Medicaid Services and state-designated Medicaid agency

Local Match: May be used to match FTA funds.

Program Contact: Office of Community Services, Administration for Children and Families, U.S. Department of Health and Human Services, 370 L'Enfant Promenade, SW, 5th Floor, Washington, D.C. 20447. (202) 401-9333. http://www.acf.hhs.gov/programs/ocs/csbg/index.html

Head Start Program

Program Purpose: The purpose of the Head Start Program is to provide comprehensive services for economically disadvantaged preschool children and families, with special focus on helping preschoolers with early reading and math skills. Funds may be used to provide transportation services, acquire vehicles, and provide technical assistance to local Head Start centers.

Program Eligibility: Grants are awarded to local public agencies, private nonprofit and for-profit organizations, Indian tribes, and school systems for the purpose of operating Head Start programs at the community level. Grants are awarded by the HHS Administration for Children and Families Regional Offices and the HHS Office of Head Start's American Indian–Alaska Native, Migrant, and Seasonal Program Branches.

Program Contact: Head Start Bureau, Administration for Children and Families, U.S. Department of Health and Human Services, 330 C Street, SW, Room 2018, Washington, D.C. 20201. (202) 205-8572. http://www.acf.hhs.gov/programs/hsb/

Centers for Medicare and Medicaid Services

Medicaid Program

Program Purpose: The Medicaid program is the primary source of medical assistance for 56 million low-income and disabled Americans. It provides health coverage to those without health insurance. Medicaid beneficiaries include children, the aged, the blind, the disabled, and the low-income. Although the federal government created and regulates Medicaid, each state designs and administers its own Medicaid program. The federal government matches state expenditures with an Assistance Percentage, which is no lower than 50 percent. As part of the 2009 Health Care Reform package, an estimated 25 million additional individuals may become eligible for this program.

Specific to transportation, states must enable transportation services to access program services, when necessary. Each state sets its own transportation guidelines, payment mechanisms, and participation guidelines. For employment-related transportation services, the 1999 Ticket to Work and Work Incentives Improvement Act (TWWIIA) expanded the scope of Medicaid to provide health coverage and services for eligible persons with disabilities entering the workforce. Specific coverage and services are:

- Medicaid Buy-In: TWWIIA enables health care services to workers with severe disabilities by establishing a Medicaid State Plan buy-in option for eligible groups.
- Medicaid Infrastructure Grants: TWWIIA provides grants to states to develop infrastructures to support working persons with disabilities. The state offers personal assistance services within and outside the home to support an individual in full-time competitive employment.
- Personal Assistance Services: Personal Assistance is a range of services provided by one or more providers that assist a disabled person in performing daily activities on and off the job.
- Peer Support Services: Peer support providers deliver counseling and other support services to Medicaid-eligible adults with mental illnesses and/or substance use disorders.

Program Eligibility: Eligibility for Medicaid benefits depends on the state in which a person lives. The eligibility of transportation providers for Medicaid-funded programs varies significantly by state.

Program Contact: Medicaid and State Operations, Centers for Medicare and Medicaid Services, U.S. Department of Health and Human Services, 7500 Security Boulevard, Room C5-22-23, Baltimore, Maryland 21244. (410) 786.3870. http://www.cms.gov/center/ir.asp and http://www.cms.gov/center/PeopleWithMedicareCenter.asp

HHS Administration on Aging

Programs for American Indian, Alaska Native, and Native Hawaiian Elders

Program Purpose: The HHS Native Americans programs were first established in 1978 with the provision of nutrition and supportive services. In 2000, caregiver support was added. Through these programs, grants are awarded to tribal organizations for the delivery of home- and community-based supportive services including nutrition and transportation services. The grants are intended to reduce the need for institutional care and medical interventions. They cover a range of services for older Native Americans, including

- Congregate and home-delivered meals
- Information and referral
- Transportation
- Personal care
- Chores
- Health promotion and disease prevention
- Other supportive services

Program Eligibility: Formula grants are awarded to tribal organizations based on their share of the senior American Indian, Alaska Native, and Native Hawaiian population in their service area. To be eligible for funding, federally recognized tribes must represent at least 50 Native American elders (age 60 and over). There is no match requirement. Separate formula grants are awarded for nutrition and supportive services and caregiver support services.

After meeting program requirements, tribal organizations have the flexibility to allocate resources among the various eligible activities. Tribes may also decide the age at which a member is considered an elder and thus eligible for services.

Program Contact: American Indian, Alaska Native and Native Hawaiian Programs, Administration on Aging, U.S. Department of Health and Human Services, 330 Independence Avenue, SW, Room 4743, Washington, D.C. 20201. (202) 690-7776. http://www.aoa.gov/AoARoot/AoA_Programs/HCLTC/Native_Americans/index.aspx

Health Resources and Services Administration

Rural Health Outreach Grant Program

Program Purpose: Administered by the HHS Health Resources and Services Administration (HRSA), the Rural Health Outreach Grant Program expands the delivery of services in rural areas. The program supports projects that are creative and effective models of health care outreach and delivery. The emphasis is on collaboration. The lead applicant organization typically forms a consortium with at least two additional partners. Through the consortium, rural communities receive hospice, dental care, home health care, emergency care, outpatient day care, mental health services, and health promotion and education services.

Some community centers provide their own transportation services. Others contract with transportation providers.

A competitive grant cycle for FY2010 and FY2011 is not anticipated. However, grantees awarded in FY2009 are eligible to apply for the non-competitive cycle in these years. The next competitive cycle will be FY2012.

Programs for American Indian, Alaska Native, and Native Hawaiian Elders

Federal Participation: 100%

Program Funding: $38,000,000 (FY11)

Distribution Method: Formula Grant

Regulatory Reference: Title VI of the Older Americans Act—Sections 613, 623 and 631

Administering Agency: HHS—AoA

Local Match: May be used to match FTA funds.

Rural Health Outreach Grants Program

Federal Participation: 100%

Program Funding: $57,000,000 (FY11)

Distribution Method: Competitive Grant

Regulatory Reference: Public Health Service Act, Title III, Sections 330A and 330A (e)

Administering Agency: HHS—HRSA, Office of Rural Health Policy

Local Match: May be used to match FTA funds.

Social and Economic Development Strategies Program

Federal Participation: 80%

Program Funding: $6,000,000 (FY10)

Distribution Method: Competitive Grant

Regulatory Reference: Section 803(a) of the Native American Programs Act of 1974; 42 U.S.C. 2991b and 2991b-3

Administering Agency: HHS—ANA

Local Match: May be used to match FTA funds.

Special Programs for the Aging, Part B—Supportive Services and Senior Centers

Federal Participation: 85%

Obligations: $361,348,000 (FY10)

Distribution Method: Formula Grants

Regulatory Reference: Older Americans Act of 1965, Title III, Parts A and B, Public Law 89-73, as amended

Administering Agency: HHS—AoA

Local Match: May be used to match FTA funds.

Program Eligibility:

(1) An applicant's organization and proposed services must be located in a rural county or in a rural census tract of an urban county. Exceptions to this are Migrant Health Clinics and federally recognized tribal governments that provide services on federally recognized tribal land.
(2) Applicants may propose projects to address the needs of a range of population groups including low-income populations, elderly persons, pregnant women, infants, adolescents, rural minority populations, and rural populations with special health needs. All projects should be responsive to the cultural, social, religious, and linguistic needs of the target population.

Program Contact: Office of Rural Health Policy, Health Resources and Services Administration, U.S. Department of Health and Human Services, 5600 Fishers Lane, 10B-45, Rockville, Maryland 20857. (301) 443-6894. http://www.hrsa.gov/ruralhealth/ and https://grants.hrsa.gov/webexternal/FundingOppDetails.asp?FundingCycleId=99865F79-FF7E-4A12-80D6-0C51287F1E14&ViewMode=EU&GoBack=&PrintMode=&OnlineAvailabilityFlag=True&pageNumber=1

Administration for Native Americans

Social and Economic Development Strategies Program of the Administration for Native Americans

Program Purpose: The HHS Administration for Native Americans (ANA) administers the Social and Economic Development Strategies Program (SEDS). The purpose of SEDS is to promote economic and social self-sufficiency for American Indians, Alaska Natives, Native Hawaiians, and other Native American Pacific Islanders. SEDS provides funding for projects to support the interests of children and families and to strengthen communities.

SEDS covers several program areas. Transportation is under the category of economic development, which is defined as the physical, commercial, technological, industrial, and agricultural components necessary for a sustainable local community. As stated by HHS, transportation projects that meet this objective should "develop a transportation infrastructure to support the local workforce or those faced with transportation challenges (e.g., the elderly or disabled)."

Program Eligibility: American Indians, Alaska Natives, Native Hawaiians, and other Native American Pacific Islanders may apply for funding. Requests require a formal application and process which includes (at minimum):

- Project narrative explaining project objectives, need for assistance, connection, and commitment to community
- Problem statement and project goal
- Project approach explaining project strategy, project sustainability, organizational capacity, and contingency planning
- Expected program outcomes including impact indicators
- Budget request and budget justification

Program Contact: Administration for Native Americans, U.S. Department of Health and Human Services, 370 L'Enfant Promenade, SW, 2nd Floor—West, Washington, D.C. 20447. (877) 922-9262. http://www.acf.hhs.gov/programs/ana/programs/program_information.html

Administration on Aging

Special Programs for the Aging—Title III, Part B: Grants for Supportive Services and Senior Centers

Program Purpose: The HHS Administration on Aging offers Special Programs for the Aging—Part B, which are designed to enable state and area agencies on aging to implement comprehensive and coordinated community services for older individuals. The objective is to enable older Americans to remain in their homes and communities. Eligible activities include

nutritional services, transportation services, in-home services, and caregiver support services. Funds also are used for the renovation, acquisition, alteration, and construction of multipurpose senior centers. Beneficiaries of the programs are individuals ages 60 and over with the greatest economic and social needs, and those residing in rural areas.

Program Eligibility: Only states and U.S. territories with governor-designated agencies on aging are eligible to receive grants. Funds are distributed to area agencies in states with planning and service areas and directly to service providers in the 13 states designated as single-planning-and-service-area states. Funds are awarded through a statutory formula to state agencies on aging which may, in turn, award funds to sub-state level organizations which they have designated. Formula grants are typically 85 percent federal and 15 percent non-federal funds.

Program eligibility requires that a State Plan be submitted for approval to the HHS assistant secretary for aging. Area plans must be submitted to state agencies for approval.

Program Contact: Administration on Aging, U.S. Department of Health and Human Services, One Massachusetts Avenue, NW, Washington, D.C. 20201. (202) 357-0150. http://www.federalgrantswire.com/special-programs-for-the-agingtitle-iii-part-bgrants-for-supportive-services-and-senior-centers.html

Special Programs for the Aging—Title III, Part C: Grants for Nutrition Services

Program Purpose: The purpose of the Special Programs for the Aging—Part C is to provide grants to states to deliver nutrition services including meals, education, and other nutrition-related services to older Americans to maintain their health, independence, and quality of life. Meals may be provided in a congregate setting or delivered to the home at least once per day and 5 or more days per week, except in rural areas where a lesser frequency is determined feasible. Beneficiaries are individuals ages 60 and over and their spouses.

Program Eligibility: Only states and U.S. territories with governor-designated state agencies on aging are eligible. Statutory awards are through a formula which is typically 85 percent federal and 15 percent non-federal. The non-federal portion may be cash or in-kind contributions that may include plant, equipment, or services. A State Plan must be submitted for approval to the HHS assistant secretary for aging.

Program Contact: Office of Home and Community-Based Services, Administration on Aging, U.S. Department of Health and Human Services, One Massachusetts Avenue, NW, Washington, D.C. 20201. (202) 357-0150. http://www.federalgrantswire.com/special-programs-for-the-agingtitle-iii-part-cnutrition-services.html

Indian Health Service

Tribal Self-Governance Program

Program Purpose: Federally recognized tribes provide health services to approximately 1.5 million (57 percent) of the American Indian and Alaska Native populations in 35 states. The services are administered through the HHS Indian Health Services Tribal Self-Governance Program (TSGP). The program represents 72 self-governance tribal compacts and 93 funding agreements involving 322 tribes.

The compacts and agreements enable tribal governments to administer and manage their own health care programs with minimal federal intrusion and involvement. Program services may involve and require delivery of transportation services.

Program Eligibility: Federally recognized tribes are eligible.

Program Contact: Indian Health Service, Office of Tribal Self-Governance, U.S. Department of Health and Human Services, 801 Thompson Avenue, Suite 240, Rockville, Maryland 20852. (301) 443-7821. http://www.ihs.gov/selfgovernance/index.cfm?module=program

Special Programs for the Aging, Part C—Nutrition Services

Federal Participation: 85%

Obligations: $648,818,000 (FY10)

Distribution Method: Formula Grants

Regulatory Reference: Older Americans Act of 1965, Title III, Parts A and B, Public Law 89-73, as amended

Administering Agency: HHS—AoA

Local Match: May be used to match FTA funds.

Tribal Self-Governance Program

Federal Participation: 100%

Program Funding: $9,000,000 (FY11)

Distribution Method: Self-Governance Tribal Compact/Funding Agreement

Regulatory References:

- Public Law 100-472
- Public Law 102-573
- Public Law 106-260
- Title V—Tribal Self-Governance

Administering Agency: HHS—IHS

Local Match: May be used to match FTA funds.

Tribal Temporary Assistance for Needy Families Program

Federal Participation: 100%

Program Funding: $21,001,000 (All TANF Programs, FY11)

Distribution Method: Annual Block Grant/ Annual State Maintenance-of-Effort Grant

Regulatory Reference: Public Law 104-193—Personal Responsibility and Work Opportunity Reconciliation Act of 1996

Administering Agency: HHS—Office of Family Assistance

Local Match: May be used to match FTA funds.

The Senior Community Service Employment Program

Federal Participation: 100%

Program Funding: $825,425,000 (FY10)

Distribution Method: Formula Grant

Regulatory Reference: The Older Americans Act (OAA) Amendments of 2006; Pub. L. 109-365

Administering Agency: DOL—ETA

Local Match: May be used to match FTA funds.

Tribal Temporary Assistance for Needy Families Program

Program Purpose: Tribes receive Temporary Assistance for Needy Families (TANF) formula grants for cash assistance, work opportunities, and support services for needy families with children. Each tribal community has the flexibility to develop and implement its welfare programs. The grants may be for a range of transportation services, such as

- Transportation allowances to cover incidental expenses and participation-related expenses for unemployed families
- Transit passes or tokens
- Agreement with another agency to use its buses or vans or share in the costs of purchasing transportation services
- Invest in reverse commute projects and other initiatives that enable needy parents to access jobs
- Reimbursement for mileage, auto repairs, or auto insurance to support finding employment and job retention
- Contract with a private organization or service to refurbish previously owned cars for TANF recipients or provide financing support that enables recipients to purchase a car
- Subsidize costs of transporting needy children to child care

Program Eligibility: Eligibility is restricted by law to federally recognized tribes in the lower 48 states and to the 12 designated Alaska Native regional nonprofit associations and the Metlakatla Indian Community in Alaska.

Tribes must submit a TANF Plan to a HHS Regional Office and to the HHS Division of Tribal TANF Management. The plan must cover a maximum of three years. Upon approval, grant funds are withdrawn from the state's TANF Block Grant and allocated to the tribe. The dollar amount awarded is equal to the dollar amount of federal funds the state expended for related programs for the designated service population in prior years. In addition, states may also, at their discretion, provide state maintenance-of-effort funds to tribal grantees.

Program Contact: Division of Tribal TANF Management, Office of Family Assistance, Administration for Children and Families, U.S. Department of Health and Human Services, 370 L'Enfant Promenade SW, 5th Floor East, Washington, D.C. 20447. (202) 401-5020. http://www.acf.hhs.gov/programs/ofa/dts/resources/fact_sheets.html#tta and http://www.acf.hhs.gov/programs/ofa/

U.S. Department of Labor

Employment and Training Administration

The Senior Community Service Employment Program (SCSEP)

Program Purpose: The U.S. Department of Labor (DOL) Employment and Training Administration (ETA) offers the Senior Community Service Employment Program (SCSEP) as a training program for older workers. SCSEP provides subsidized, service-based training for low-income persons who are unemployed. Program participants must be at least 55 years of age, unemployed, and have a family income of no more than 125 percent of the federal poverty level. SCSEP services are accessed through One-Stop Career Centers.

Participants work an average of 20 hours a week and are paid the highest of the federal, state, or local minimum wage. They provide community service at nonprofit and public facilities including daycare centers, senior centers, schools, and hospitals. The SCSEP goal is to place 30 percent of its participants into unsubsidized employment each year. Transportation to and from employment is among the services provided through this program.

Program Eligibility: SCSEP funds are allocated by a formula, with

- Twenty-two percent allocated among states and territories
- Seventy-eight percent allocated to national organizations that compete to provide services

States often sub-grant with area agencies on aging or community-based organizations. Transportation providers interested in participating in the SCSEP program are directed to national grantees, such as the AARP and the National Indian Council on Aging, or to state grantees, such as state departments on aging.

Program Contact: Division of Adult Services, Office of Workforce Investment, U.S. Department of Labor, 200 Constitution Avenue, NW, Room S-4209, Washington, D.C. 20210. (202) 693–3046. http://www.doleta.gov/Seniors/pdf/FinalRule2010.pdf and http://www.doleta.gov/seniors/html_docs/aboutscsep.cfm

Workforce Investment Act Programs

Workforce Investment Act Programs

Federal Participation: 100%

- *Program Funding:* Adult Program: $53,000,000 (FY11)
- Youth Program: $14,000,000 (FY11)

Distribution Method: Competitive Grant

Regulatory Reference: Pub. L.105-220 as amended; Section 166 of the Workforce Investment Act

Administering Agency: HHS—AoA

Local Match: May be used to match FTA funds.

Program Purpose: The Workforce Investment Act (WIA) provides funding to state and local workforce development agencies for youth, adult, and dislocated worker employment and training services. The funds may be used to provide transportation to training. One major category of WIA funding is the Indian and Native American Employment and Training Program. This program supports the employment and training needs of Indian and Native American adults and youth through competitive 2-year grants.

Program Eligibility: Eligible applicants for the Indian and Native American Employment and Training Program are

- Federally recognized Indian tribes
- Tribal organizations
- Alaskan Native–controlled organizations
- Native Hawaiian–controlled entities
- Native American–controlled organizations
- State-recognized tribal organizations
- Consortia of eligible entities which individually meet the criteria for eligibility

Program applications require

- A letter signed by an authorized official or a tribal resolution
- A Dun and Bradstreet (DUNS) number
- A budget narrative describing costs and leveraged resources
- Documentation of the applicant's legal status
- Description of the geographic service area
- Demonstration that applicant has or can acquire the necessary program and management personnel to administer the proposed program
- Demonstration that applicant has the ability to obtain or retain unsubsidized employment for clients
- Summary of past employment and training or human resources development programs and experiences
- Description of the proposed program planning process

Application evaluations include

- Demonstration of a clear and specific understanding of employment, training, and education barriers encountered by the proposed service population
- Data and analysis of the employment outlook for the geographic service area
- Experience in implementing and operating programs that serve Indians, Alaskan Natives, and/or Native Hawaiians

- Capacity to operate an employment and training program
- Proposed recruitment and pre-training activities, education, training, placement, and retention strategies

Other:

(1) The program does not require cost-sharing or local match.
(2) Typically, the grantee is required to participate in the One-Stop delivery system. The grantee and the local board which oversees the operation of an area One-Stop Center must execute a memorandum of understanding. The One-Stop Centers coordinate delivery of WIA activities and federal and state employment services, such as unemployment insurance benefits, welfare-to-work activities, trade adjustment assistance to dislocated workers, veteran employment and training, and related workforce activities.
(3) Designation as a grantee does not automatically result in an award. Designees must obtain DOL approval of their 2-year Comprehensive Service Plan.
(4) After DOL approval, a grant agreement that includes required certifications and assurances is executed. Funds are released upon Notice of Obligation.

Program Contact: Employment and Training Administration, U.S. Department of Labor, 200 Constitution Avenue, NW, Room S-2307, Washington, D.C. 20210. (202) 693-2700. http://www.doleta.gov/grants/pdf/SGA-DFA-PY-09-04.pdf

U.S. Department of the Interior

477 Program

Program Purpose: The U.S. Department of the Interior's "477 Program" helps tribes simplify their federally funded programs' reporting requirements and helps tribes devote up to 25 percent of their total resources to train a workforce for their economic development projects. The main objective of the 477 Program is combining funds from twelve different agencies into one program—having a single plan to implement needed services and a single reporting structure to replace different reporting structures, thereby reducing the administrative burden tribes face without reducing accountability. No separate funds are available under this program; instead, all money is money that tribes would otherwise receive from a variety of programs. In some instances, the Office of Indian Energy and Economic Development (IEED) has solicited applications to assist a limited number of tribal grantees to develop 477 Program plans. Funding provided was up to $25,000 for each tribal grantee. For more details, please see the Federal Register: Announcement of Fund Availability, Competitive Grant Program at http://edocket.access.gpo.gov/2006/pdf/E6-8864.pdf.

Program Eligibility: All tribes that receive federal funds.

Program Contact: Division of Workforce Development, Office of Indian Energy and Economic Development, U.S. Department of the Interior. 1951 Constitution Avenue N.W., Washington, D.C. 20245. (202) 219-0740. http://www.nativeworkplace.com/R477.html

www.grants.gov

The website www.grants.gov was established to provide a resource for agencies, nonprofit organizations, and governments to research and apply for grant funding. The website maintains current information on over 1,000 different grants. Information included for each grant includes the eligibility requirements, application deadlines, funding agency, grant description, and how to apply for the specific grant. Applicants register their respective agency with the site, search for grants, and apply for grants all within a specific platform. This somewhat streamlines the process of having to apply for grant funding through multiple sources and media.

State Programs

Many states have their own funding programs for public transportation. Tribes are eligible for these programs for the state in which they are located. Several examples of state programs are provided in this section, but it is not meant to be a complete list. State programs are unique to each state and are subject to change. Each tribe is encouraged to investigate programs in their state and determine if they should apply for funding. This may also depend on the relationship between the tribe and the state government.

State of Arizona—Arizona Health Care Cost Containment System

Program Purpose: The Arizona Health Care Cost Containment System (AHCCCS) is a state program that administers health care for individuals enrolled in Medicaid and the state Children's Health Insurance Program (KidsCare). For tribal members, AHCCCS contracts with tribal health facilities for service delivery which includes transportation access.

Program Eligibility: Eligible tribal members and their children may choose to receive health services through Indian Health Service Facilities, tribally operated 638 Health Programs, and Urban Indian Health Programs. These providers bill AHCCCS for services rendered. Services vary from one facility to another and may include

- Emergency health care services
- Primary care
- Children's health care
- Dental services
- Immunizations
- Behavioral health care

To become an AHCCCS provider or contractor, all entities including tribal organizations must

- Complete an online application
- Meet AHCCCS requirements and standards for professional licensure, certification, or registration
- Sign a Provider Agreement with AHCCCS requiring compliance with state and federal requirements

Other:

(1) Seven Arizona tribes have long-term care case management Intergovernmental Agreements with AHCCCS. They are referred to as tribal contractors and include the Gila River Indian Community, Hopi Tribe, Navajo Nation, Pascua Yaqui Tribe, San Carlos Apache Tribe, Tohono O'Odham Nation, and White Mountain Apache Tribe.
(2) Services are also provided through the Native American Community Health Center for 13 participating tribes.

Program Contact: Arizona Health Care Cost Containment System, Attn.: Tribal Relations Liaison, 801 East Jefferson Street, MD-4100, Phoenix, Arizona 85034. (602) 417-4610. http://www.azahcccs.gov/tribal/providers/AIHP.aspx and http://www.azahcccs.gov/tribal/contacts.aspx#American_Indian_Health_Program_(AIHP)_Technical_Assistance

State of Arizona—Arizona Health Care Cost Containment System

State Participation: 100%

Program Funding:
- $1,379,268 (FY11 Budget)
- $7,693,388,400 (FY11 Revenue)

Distribution Method: Direct Payment to Provider for Billed Services

Regulatory Reference: Arizona Revised Statutes Title 36, Chapter 29, Articles 1-5

Administering Agency: Arizona Health Care Cost Containment System—Tribal Relations Division

Local Match: Not needed.

State of California—Transportation Development Act

Program Purpose: The California Transportation Development Act (TDA) was enacted in 1971 to support and encourage regionally coordinated public transportation. The TDA creates two sources of funding

- A Local Transportation Fund (LTF) derived from a ¼-cent general sales tax collected statewide
- A State Transit Assistance Fund (STA) derived from a statewide sales tax on diesel fuel

Funds are allotted to all geographic areas of the state. They pay for

- Community transit services and operations
- Public transportation services and operations
- Public transportation planning and program activities
- Pedestrian and bicycle facilities
- Bus and rail projects

Four entities are central to the TDA process.

1. State government oversees funding allocations to local and county government.
2. The Transportation Planning Agency (TPA) receives, evaluates, and awards claims to transportation operators. The TPA manages the mandatory public participation process and conducts assessments on transit needs in its area.
3. The Transportation operators provide public transportation services within their area. They apply for and receive claims awarded by formula from the TPA for capital and operating expenses. All operators, including tribal providers, may submit claims for TDA monies apportioned in their area.
4. The Public Works Department, under certain conditions, receives funds for streets and roads maintenance.

State of California—Transportation Development Act

State Participation: 100%

Program Funding:
- Local Transportation Fund: $1,141,840,000 (FY09/10)
- State Transit Assistance Fund: $400,000,000 (FY10/11)

Distribution Method: Allocation of Sales Tax Revenues

Regulatory Reference: Transportation Development Act of 1971, aka Mills–Alquist–Deddeh Act (SB 325)

Administering Agency: TPA

Local Match: Not needed.

TDA Process: The process for distributing money from the LTF and the STA is summarized here.

LTF: On a quarterly basis, the State Board of Equalization returns the ¼-cent tax revenue to each county in proportion to the amount of tax revenue collected within it. Funds are distributed in three ways, as follows:

1. Apportionment. Revenues from the county LTF are apportioned by population to areas within each county. An area can be a transit district, a city, and/or a county. An apportionment is an estimate of the LTF funds to be allocated.
2. Allocation. Once apportioned, funds are allocated to the TPA which pays claims submitted by transportation operators in its area. Claims may be for any purpose necessary to develop and operate a public transit system including
   - System operation, maintenance, and repair
   - Purchase and replacement of vehicles, including those for handicapped persons
   - Acquisition of real property
   - Construction of facilities and buildings
   - Planning and contributions to the transportation planning process
   - Counties with populations under 500,000 also use LTF for road construction and maintenance
3. Claim Payment. Payment of claims is provided in lump sum, installments, or as funds become available.

STA: The STA supports public transportation planning and mass transportation only. Funds are apportioned and allocated.

1. Apportionment. The California State Legislature apportions funds to the state controller for allocation by formula to each TPA. STA is also apportioned to five county transportation commissions and the San Diego Metropolitan Transit Development Board.
2. Allocation. Fifty percent of STA is allocated by formula to each area TPA in accordance with population. The remaining 50 percent is allocated directly to transit operators within the county. The allocations are based on the operator's share of revenues as compared with the revenues for all operators in the state.

TDA mandates public participation and requires the establishment of Social Services Transportation Advisory Councils (SSTAC) in each planning area. The councils must represent

- Transit users more than 60 years of age
- Transit users with disabilities
- Two local social services providers for seniors and the handicapped, respectively
- A local social service provider for persons of limited means

SSTACs participate in annual transit need assessments; develop criteria for allocations and claims; and advise on transportation services, including specialized transportation.

TDA requires frequent audits. Fiscal audits are performed yearly and review the transit operator expense-to-revenue ratio, also known as farebox recovery. Performance audits are performed every three years and assess the performance and efficiency of the Transportation Planning Agencies and area transportation operators.

Program Definitions: Terms in TDA legislation and rulemaking help with understanding the program. Some of the important terms are

(1) Claims for Public Transportation: Claims may be filed with the TPA by operators to support public transportation systems and to aid public transportation research and demonstration projects.
(2) Coordination of Services: All operators are encouraged to establish maximum coordination of public transportation services, fares, transfer privileges, and other related matters for the overall improvement of public transportation service to the general public.
(3) Operators: The service operator owns or leases the equipment, establishes routes and frequency of service, regulates and collects fares, and otherwise controls the efficiency and quality of the system.
(4) Public Transportation System: The term means any system of a service operator which provides transportation to the general public by any vehicle which operates on land or water, regardless of whether operated separate from or in conjunction with other vehicles.
(5) Transfers Between Operators: Where there are two or more operators within an area of jurisdiction, the TPA, the county transportation commission, and the San Diego Metropolitan Transit Development Board shall adopt rules and regulations to provide for transfers between the public transportation services of the operators so that such services will be coordinated.

Program Contact: Division of Mass Transportation, California Department of Transportation, P.O. Box 942874—MS 39, Room 3300, Sacramento, California 94274. (916) 654-9396. http://www.dot.ca.gov/hq/MassTrans/State-TDA.html

State of Oklahoma—Job Access and Reverse Commute/New Freedom Grant Program

Program Purpose: The Oklahoma Department of Transportation (Oklahoma DOT) receives apportionments from the FTA for implementation of Job Access and Reverse Commute and New Freedom programs. These apportionments are the basis for the state-administered grant program. The purpose is to comply with the state's Locally Coordinated Public Transit–Human Service Transportation Plan adopted in 2008. Specifically, the purpose is to

- Address, with program grants, the issues and gaps in the transportation system for the elderly, persons with disabilities, and low-income populations.
- Promote and improve coordination among the existing 62 federal programs offered by 13 federal agencies that sponsor transportation programs.
- Oklahoma DOT annually announces availability of funds and a selection process to determine which proposed Oklahoma projects will be awarded. Oklahoma DOT adheres to the local match requirements and eligibility criteria of the federal programs.

State of Oklahoma—Job Access and Reverse Commute/ New Freedom Grant Program

State Participation: Federal Match Ratios

- *Program Funding:* JARC Apportionment (Program Year 2012)
  - Small Area: $444,752
  - Rural: $1,901,698
- New Freedom Apportionment (Program Year 2012)
  - Small Urban: $288,418
  - Rural: $975,842

Distribution Method: Competitive Grant

Regulatory Reference: OAC Title 730 Section 45-1-1–45-1-2; Pub.L. 105-178

Administering Agency: Oklahoma DOT—Transit Programs Division

Local Match: Not needed.

Program Eligibility: Eligible applicants are

- Private nonprofit organizations
- State or local governmental authorities, including tribal governments
- Operators of public transportation services, including private operators of public transportation services

Other:

(1) Grant applications can only be obtained after attendance of a mandatory instructional meeting. Applications are evaluated by an Oklahoma DOT Grant Evaluation Committee with representatives from the Tribal Transportation Advisory Board; the Oklahoma Departments of Commerce, Rehabilitation Services, Human Services and Transportation; the Oklahoma Office of Disabilities Concerns; the Oklahoma Health Care Authority; the Oklahoma Developmental Disabilities Council; and the Oklahoma Transit Association.
(2) Projects are ranked based on criteria mirroring federal criteria. In addition, the Oklahoma DOT process provides a range of points that may be assigned to an application. For example, up to 20 points may be awarded for the proposed method of coordinating services and promoting public awareness of the project. The application must include narrative describing efforts to coordinate with other agencies and how the project will enhance or augment transportation service in the service area. Two points may be awarded for match funds, regardless of source.
(3) Grant awardees enter Oklahoma DOT contracts and comply with applicable federal requirements including background certifications and assurances as necessary. Oklahoma DOT submits status reports to FTA including summaries of subrecipient (grantee) activities and description of services including coordination of effort, sustainability, accomplishments, and obstacles or barriers. Service statistics such as ridership counts and number of employment sites may be required for reporting.

Program Contact: Transit Programs Division, Oklahoma Department of Transportation, Room 3D4, 200 NE 21st Street, Oklahoma City, Oklahoma 73105. (405) 521-2584. http://www.okladot.state.ok.us/transit/pubtrans.htm

State of Oregon—Special Transportation Fund

State of Oregon—Special Transportation Fund

State Participation: 100%

Program Funding: $6,648,182 (FY10 Formula Funds)

Distribution Method: Formula and Discretionary Grants

Regulatory Reference: ORS 391.800 through 391-830; Oregon Administrative Rules Chapter 732

Administering Agency: Oregon DOT—Public Transit Division

Local Match: Not needed.

Program Purpose: The Special Transportation Fund (STF) was created in 1985 by the Oregon Legislature. The program was originally funded with cigarette tax revenue. Today, cigarette taxes are combined with funds from the Oregon Department of Transportation (Oregon DOT) to support the program. The purpose is to provide a flexible, coordinated, reliable, and continuing source of revenue in support of transportation services for seniors and people with disabilities. The program supports transportation services that enable access to health, education, work, social, and recreational opportunities.

Program Eligibility: Originally, 33 transit districts or counties were identified as eligible to receive STF monies. In 2003, nine federally recognized Indian tribes were added as eligible recipients. All are referred to as STF agencies.

STF funds may be used for any purpose directly related to transportation services including transit operations, capital equipment, planning, travel training, and other transit-related purposes.

After subtracting Oregon DOT administrative costs, STF funds are divided into two accounts, the STF Formula Program and the STF Discretionary Grant Account.

- **STF Formula Program:** Formula funds represent 75 percent of all STF funds. They are entitlements to the STF agencies. Each receives either a population-based allocation or a minimum

allocation, whichever is more. For agencies with less than $38,000 in their population-based share, additional funds from the Discretionary Account are added, up to $38,000. Each agency may request an additional $2,000 for administrative purposes.

Agencies must submit an application to claim their allocation. Applications are reviewed by Oregon DOT and an agreement is executed before the funds are disbursed each quarter of the fiscal year. The agencies are responsible for developing their own program policies and procedures.

- STF Discretionary Grant Account: Funds remaining after payment of the minimum allocations and administrative allotments are discretionary. These funds are distributed competitively to projects of statewide importance as defined by the Oregon Transportation Commission. Projects funded with STF Discretionary Grant monies are administered through a grant agreement between Oregon DOT and the STF agency.

Other:

(1) Any procedure or process for managing the STF program that meets the requirements of the law is acceptable. There are three different management types: the governing board of the STF agency which directly manages the program; the STF agency which appoints staff to perform day-to-day management; and the STF agency which obtains management support from an outside agency. For example, the Klamath Tribes Tribal Council designates an employee from its human service department to manage the STF program.
(2) The STF agency must appoint an advisory committee and consult with it before making fund decisions. The advisory committee must
   (a) Comply with the agency public involvement policies and the state public meeting laws
   (b) Meet twice a year, at minimum, to advise the agency and carry out STF purposes
   (c) Be involved in developing the Agency Coordinated Plan
   (d) Maintain its bylaws and meeting records and provide them to the public
(3) Advisory committee membership should be geographically and culturally diverse and should include
   (a) A senior or a person with a disability who is a user of transportation services in the district or county
   (b) A senior or a person with a disability who lives in an area of the district or county where there are no public transportation services
   (c) A representative of seniors living in the district or county
   (d) A representative of people with disabilities living in the district or county
   (e) A representative of a provider of services to seniors and people with disabilities
(4) Tribes must appoint at least three members that are representative of the people being served.

Program Contact: Special Transportation Manager, Public Transit Division, Oregon Department of Transportation, 555 13th Street, NE, Suite 3, Salem, Oregon 97301. (503) 986-3472. http://www.oregon.gov/ODOT/PT/PROGRAMS/STF/STFProgram_guidebook_1107.pdf

Washington State—Consolidated Grant Program

Program Purpose: The Washington State Department of Transportation (Washington State DOT) consolidates its state and federal grant awards under one administrative process. The program consolidates FTA Sections 5310, 5311, 5316 and 5317 grants; State Rural Mobility competitive grants; and State Paratransit and Special Needs competitive grants. The goals of the consolidated grant program are to

- Encourage communities to identify and address deficiencies in paratransit, special needs, or rural public transportation and provide funding to address the deficiencies.
- Support a sustainable network of transportation services within and between communities.

State of Washington—Consolidated Grant Program

State Participation: Federal or state match ratios

Program Funding: $37,000,000 (FY09/10)

Distribution Method: Competitive Grant; Matching Grant

Regulatory Reference: WAC Title 468

Administering Agency: Washington State DOT—Public Transportation Division

Local Match: Washington State DOT strongly encourages all applicants to provide match.

- Establish opportunities for collaboration among local jurisdictions, regional organizations, private sector agencies, state and federal governments, and tribal governments.
- Ensure stakeholders have a voice in project development.
- Support coordinated services among transportation providers.

Program Eligibility: Eligible applicants include urban, small, and rural public transit organizations; private nonprofit organizations; private for-profit transportation providers; tribal governments; and other general or local governments.

Capital grants cover

- Purchasing buses, vans, and other passenger service vehicles
- Refurbishing existing passenger service vehicles
- Retrofitting vehicles for wheelchair lifts
- Replacement parts for passenger service vehicles
- Radios and communications equipment
- Computer hardware and software including dispatching software and data systems
- Equipment for new technologies that enhance public transportation operations, mobility, and access
- Other equipment such as bicycle racks and fare boxes
- Pre-owned or used wheelchair-accessible passenger service vehicles
- Bus shelters
- Maintenance equipment, such as bus lifts and specialized diagnostic tools
- Security equipment
- Mobility management, such as hardware or software purchases
- Purchase of service

Operating grants may be used for expenses such as labor, supplies, and fuel. They cannot be used for the depreciation of vehicles purchased with federal or state dollars or for expenses incurred outside of the grant period. Operating grants cover

- Operating assistance for rural public transportation services
- Operating assistance for paratransit and special needs transportation services
- Feeder bus service for the intercity network
- Mobility management
- Travel trainer

Other:

(1) Washington State DOT makes the determination on type of funding award and amount. Awards occur every 2 years.
(2) Projects with local match that demonstrate local commitment are more likely to be funded.
(3) A separate application is required for each type of request—capital, operating, or program development. Multiple projects of the same type may be included in one application.
(4) Applicants are expected to be participants in the Regional Transportation Planning Organization (RTPO) or Metropolitan Planning Organization (MPO). They are required to have or participate in a Coordinated Public Transit–Human Services Transportation Plan and coordinate with other providers in their area.

Program Contact: Public Transportation Division, Washington State Department of Transportation, PO Box 47387, Olympia, Washington 98504. (360) 705-7922. www.wsdot.wa.gov/transit and http://www.wsdot.wa.gov/NR/rdonlyres/18BA5959-6F79-47FA-96CE-4E0F86188486/0/201113ApplicationPacket.pdf

Abbreviations and acronyms used without definitions in TRB publications:

AAAE	American Association of Airport Executives
AASHO	American Association of State Highway Officials
AASHTO	American Association of State Highway and Transportation Officials
ACI–NA	Airports Council International–North America
ACRP	Airport Cooperative Research Program
ADA	Americans with Disabilities Act
APTA	American Public Transportation Association
ASCE	American Society of Civil Engineers
ASME	American Society of Mechanical Engineers
ASTM	American Society for Testing and Materials
ATA	American Trucking Associations
CTAA	Community Transportation Association of America
CTBSSP	Commercial Truck and Bus Safety Synthesis Program
DHS	Department of Homeland Security
DOE	Department of Energy
EPA	Environmental Protection Agency
FAA	Federal Aviation Administration
FHWA	Federal Highway Administration
FMCSA	Federal Motor Carrier Safety Administration
FRA	Federal Railroad Administration
FTA	Federal Transit Administration
HMCRP	Hazardous Materials Cooperative Research Program
IEEE	Institute of Electrical and Electronics Engineers
ISTEA	Intermodal Surface Transportation Efficiency Act of 1991
ITE	Institute of Transportation Engineers
NASA	National Aeronautics and Space Administration
NASAO	National Association of State Aviation Officials
NCFRP	National Cooperative Freight Research Program
NCHRP	National Cooperative Highway Research Program
NHTSA	National Highway Traffic Safety Administration
NTSB	National Transportation Safety Board
PHMSA	Pipeline and Hazardous Materials Safety Administration
RITA	Research and Innovative Technology Administration
SAE	Society of Automotive Engineers
SAFETEA-LU	Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (2005)
TCRP	Transit Cooperative Research Program
TEA-21	Transportation Equity Act for the 21st Century (1998)
TRB	Transportation Research Board
TSA	Transportation Security Administration
U.S.DOT	United States Department of Transportation