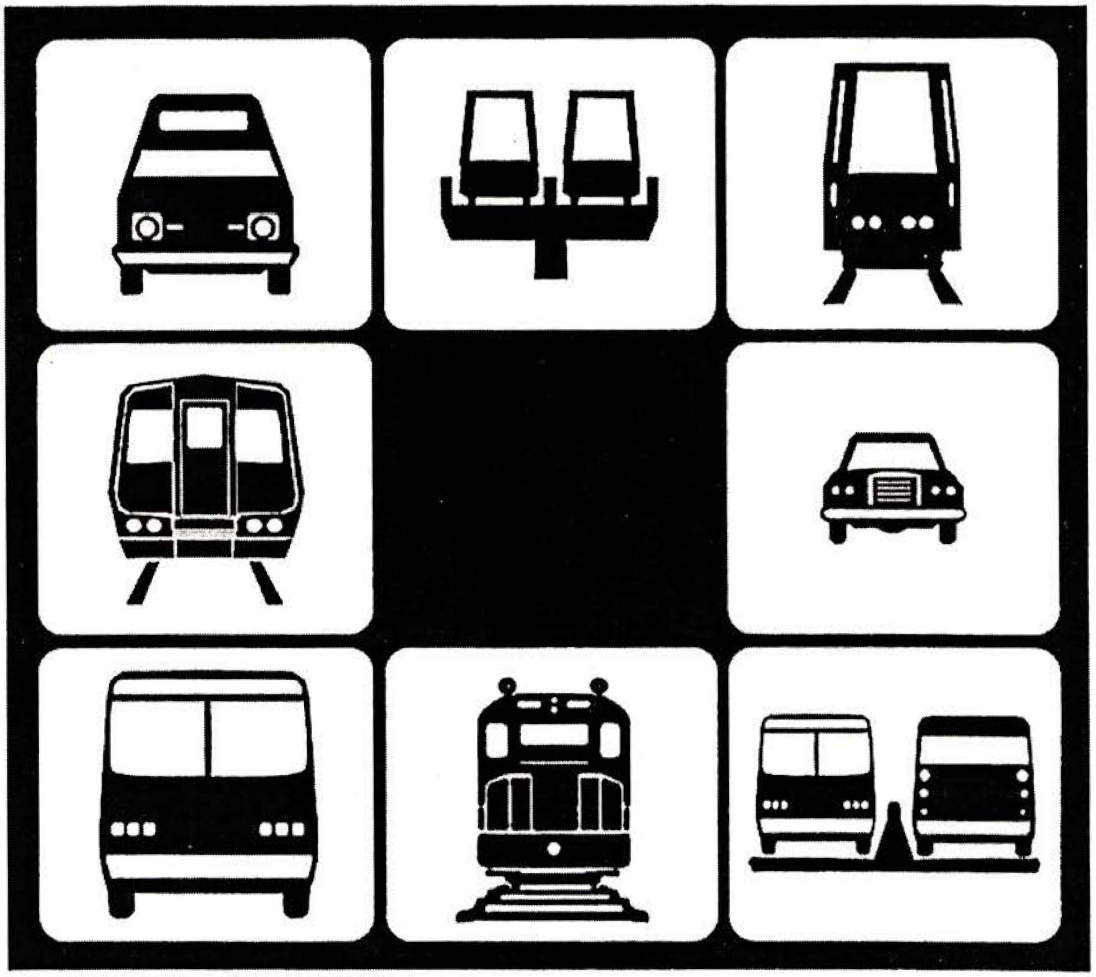
Review of Financial Capacity Practices and Procedures

Final Report
May 1998

FTA-MA-90-8006-97-1



Office of Planning

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16. Abstract

This report is a product of Federal Transit Administration's (FTA) Financial Management Oversight Program. The purpose of this study was to evaluate implementation of the financial aspects of the Intermodal Surface Transportation Efficiency Act of 1991 (ISTEA) transit planning provisions and to determine whether the FTA Financial Capacity Circular, UMTA C 7008.1, issued March 30, 1987, should be rescinded or modified in light of ISTEA and Clean Air Act legislation.

The report was based on an empirical review of current transit planning practices as performed at three levels: Transit Operator, Metropolitan Planning Organization (MPO), and state Department of Transportation (DOT). The project scope was designed to be as broad as possible in terms of urban size, organizational planning structure as well as FTA regional geographic coverage.

The report identified strengths and weaknesses in the financial planning process and recommendations were made. The need for local transit planners to provide federal authorities with a list of unfunded needs was highlighted. The report recommended eliminating the FTA Financial Capacity Circular, UMTA C 7008.1. The report also recommended that the FTA actively promote innovative financing techniques. Finally, it was suggested that peer group meetings be established so that local planning agencies would have a forum for exchanging ideas about the financial planning process, similar to the TRB managed state planning issues seminars.

Project development involved many steps. A literature search was performed to examine current planning requirements and to collect information on the financial aspects of transit planning as currently practiced. This information was used to develop a list of questions related to the state of the practice. Three survey questionnaires were developed for each of the three levels of transit planning: Transit Operator, Metropolitan Planning Organization (MPO), and state Department of Transportation (DOT). The project team wanted to get different perspectives on the financial planning process.

Telephone surveys, based on the questionnaires, were conducted. Once the telephone interviews were completed, 5 site visits were scheduled. The purpose of the site visits was to examine the current state of transit financial practices in more detail. The locations selected for the site visits were of various sizes and were located in four different FTA regions. We interviewed the transit operator, MPO and state DOT at each location.

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OBJECTIVE AND PURPOSE

Study Objective and Purpose

The purpose of this study was to evaluate implementation of the financial aspects of the Intermodal Surface Transportation Efficiency Act of 1991 (ISTEA) transportation planning provisions. This study was conducted in 1997 and 1998 under the last year of ISTEA's authorization. The primary goal was to determine whether the Federal Transit Administration's (FTA) Circular, issued in 1987, "Urban Transportation Financial Capacity Policy", UMTA C 7008.1, should be rescinded or modified in light of ISTEA and the Clean Air Act Amendments of 1990 (CAAA).

While ISTEA applies jointly to highway and transit planning, the scope of this project is to examine the transit component. For simplification, it will be referred to as "transit planning" in this report. This is not meant to imply that urban transportation planning is not intermodal. However, Circular C7008.1 is still in place and dictates the financial aspects of transit planning.

The Transportation Equity Act for the 21st Century (TEA-21) was passed by Congress and signed into law in June of 1998 authorizing highway, transit, and other surface transportation programs for the next six years. TEA-21 builds on the initiatives established in the ISTEA. The fiscal constraint requirements required in transportation planning requirements remain intact. The new legislation does modify the general objective of the planning process to include operation and management of the transportation system and adds a requirement for the Metropolitan Planning Organizations (MPOs), State Departments of Transportation, and transit agencies to cooperate in the development of the financial estimates that support the Long Range Plan (now identified as the Transportation Plan) and the Transportation Improvement Program (TIP).

Approach

An empirical review of current transit planning practices was performed at three levels: the Transit Operator, the Metropolitan Planning Organization (MPO), and the state Department of Transportation (DOT). Although the budget was limited, the approach was designed to be as broad as possible in terms of urban size, organizational planning structure, and FTA regional geographic coverage.

Methodology - Summary

There were three steps in the process:

Literature Review - provide background on current state of transit planning practice

Telephone Interviews - provide a broader background on current practices through interviews with transit operators, MPOs, and state DOTs.

Site Visits - on site, in-depth interviews with planning agencies involved in performing transit planning

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Methodology - Steps

A literature search was performed to collect information on transportation planning as it is currently practiced. The focus was on the transit component of transportation planning. This information was used to develop a list of questions related to the financial aspects of transit planning.

Current planning requirements as contained in the FTA Circular, "Urban Transportation Financial Capacity Policy", UMTA C 7008.1, as well as documents related to the Federal Transit Act (includes ISTEA) Title 49 U.S.C., chapter 53, and Clean Air Act Amendments Title 42 U.S.C. regulations were examined. Literature reviewed is listed in Appendix B. Literature search findings are shown in Appendix C.

Several planning agencies were selected for a telephone interview to assess the financial aspects of the transit planning process. The group included planning agencies from a diverse geographic area from Florida to Wisconsin, representing transit planning areas of various size. The goal was to select agencies representing different transit operating environments. Each planning agency was contacted by telephone to elicit their responses to the various questions. Senior management at five transit operators, five Metropolitan Planning Organizations (MPO) and five state Departments of Transportation (DOT) were interviewed. At this time, we would graciously like to thank the organizations contacted and persons interviewed who volunteered their time and made a valuable contribution to this project. They are listed in Attachment D. The findings are shown in Attachment E.

The financial aspects of the ISTEA transportation planning provisions were analyzed as they relate to the following categories:

Procedural/Planning
Funding/Financing
Programming/Financial Constraint Procedures
Estimating Costs (Operating & Maintenance, Project)
Agency Cooperation

Respondents were generally receptive and knowledgeable. Responses ranged from a shared and cooperative planning effort to limited communication and involvement among the 3 planning levels. Some state Departments of Transportation remain strongly highway oriented and have not integrated the transit component into their policy and planning objectives. Other states, such as Pennsylvania are progressive in their interpretation of the ISTEA transportation planning regulations. Here the transit operator, MPO, and state DOT work together as partners in the funding and planning of transit projects.

Attempts were made to contact the three industry groups: American Association of State Highway and Transportation Officials (AASHTO), American Public Transit Association (APTA), and National Association of Regional Councils/Association of Metropolitan Planning Organizations (NARC/AMPO) to elicit their response to the questionnaire.

Methodology - Steps (continued)

Their responses were favorable in terms of the questionnaire's content. They also felt that the project approach was appropriate.

Results of all the telephone interviews provided insight into the state of the practice. They also provided insight into perceived differences in the transit planning process at the state, MPO, and transit agency levels. The telephone interviews also supplied the forum for testing and refining the questions to be used for site visits.

Site Visits

Five site visits were scheduled. The purpose of the site visits was to examine the current state of transit financial planning in more detail.

Sites chosen were located in four FTA regions. Within the limited sample, locations were selected to provide a diverse representation of urban area size, modal operations, and organizational structures. At each location, interviews were conducted with the transit operator, MPO, and state DOT. Locations visited and agencies interviewed were:

Boston, Massachusetts **Region 1**

Executive Office of Transportation and Construction (EOTC)
Central Transportation Planning Staff (CTPS)(MPO member)
Massachusetts Bay Transportation Authority (MBTA)

Hartford, Connecticut **Region 1**

Connecticut Department of Transportation (ConnDOT)
Capital Region Council of Governments (CRCOG)(MPO)
Greater Hartford Transit District (GHTD)

Raleigh-Durham, North Carolina **Region 4**

North Carolina Department of Transportation (NCDOT)
Capital Area Metropolitan Planning Organization (CAMPO)
Durham, Chapel Hill, Carrboro Metropolitan Planning Organization (DCHC)
Triangle Transit Authority (TTA)

Norfolk, Virginia **Region 3**

Virginia Department of Transportation (VDOT)
Hampton Roads Metropolitan Planning Organization (HRPDC)
Peninsula Transportation Company (PENTRAN)(Hampton, VA transit oper.)
Tidewater Regional Transit (TRT)(Norfolk, VA transit operator)

Columbus, Ohio **Region 5**

Ohio Department of Transportation (ODOT)
Mid Ohio Regional Planning Commission (MORPC)(MPO)
Central Ohio Transit Authority (COTA)(Columbus, OH transit operator)

CONCLUSION - REPORT FINDINGS

Strengths

- Most local transit operators, MPOs, and state DOTs interviewed are comfortable with and support the financial planning elements of the planning process. There were no significant programming issues raised concerning the Transportation Improvement Program (TIP). The intent of the ISTEA regulations in imposing financial constraint in the planning process is working well. The financial constraint requirement was praised by all of the various local and state agencies interviewed.

- ISTEA requires the preparation of specific planning documents within a defined timeframe, but is flexible enough to respond to local needs. State and local transit planning organizations have a cooperative working relationship to meet ISTEA planning requirements.

- Transit operators initiate the majority of their own projects which are coordinated with planning and programming efforts of other government agencies. The transit operator is responsive to their own local needs in evaluating and assessing service deficiencies and improvements.

- The Clean Air Act Amendments of 1990 (CAAA) have not restricted implementation of projects considered to be of greater need. Transit projects conform to CAAA requirements and are included in the State Implementation Plan (SIP). Although transit projects have an overall impact of improving regional air quality, meeting Clean Air Act requirements is not the impetus for transit projects. In the vast majority of urban areas, transit projects have had a minimal impact in significantly effecting modal shift on a scale that would result in measurable improvements in air quality. Other non-transit actions, such as auto emission and fuel efficiency standards have had greater impact.

- Transit operators interviewed generally felt they receive timely and reliable information from the state DOT concerning the funding status of their projects.

- The focus of Major Investment Study (MIS) projects has been broadened to consider intermodal solutions. Requiring consideration of a transit alternative in the MIS process is a good first step in getting state highway interests to acknowledge and accept transit as a reasonable transportation alternative.

  Most transit planning agencies stated they understand the planning process and the ISTEA financial constraint requirements. The transit planning organizations interviewed in Virginia, Ohio, and Massachusetts felt procedural and technical guidelines would be useful in carrying out these requirements and to check their methodologies, process, and assumptions.

Strengths (continued)

- Few state DOTs interviewed have issued substantive guidelines on the financial planning regulations. Ohio has been progressive in developing its own "STIP/TIP Development Requirements" and the local MPO in Columbus has developed its own MIS guidelines. The North Carolina DOT has also developed procedural guidelines for preparing the TIP and Virginia has recently developed MIS procedural guidelines.

- Most state DOTs and transit operators interviewed are satisfied with their own cost estimation methodologies.

  At some locations, standard methodologies are employed for estimating capital costs. However, there are generally no standard cost methodologies in place for estimating operating and maintenance costs. A variety of alternative methods for estimating these costs are used that provide an equivalent level of accuracy and adequacy.

  The agencies interviewed believe that operating and maintenance costs cannot be standardized and that labor and material costs are strongly determined by local factors. Capital costs for construction projects cannot be standardized for the same reason. However, costing guidelines may be useful for national commodities, such as buses.

- Transit and highway projects are generally developed separately based on the nature of the project and historic practice. This makes sense for the majority of projects since categorical funding (funding restricted to a single mode) is the largest and most significant federal funding source.

- Most transit operators have not had to face the problem of reallocating funds when a project is not ready to go. Those operators who have confronted this problem have handled this situation in different ways. The site visits indicated that funding either stayed with the project for a designated length of time or the money was reallocated. If the money was reallocated, it either went to the next project ready to go or it went to the project with the next highest priority.

  The method used in reallocating funds when a project is not ready to go meets the needs of local transit operators. It is flexible and gives locals the ability to transfer funds to meet local and regional priorities. The TIP amendment process insures that reallocation decisions meet local goals and federal requirements. There is no need to standardize this process.

- Sources of operating revenues from existing services are predictable, based on historical data. In contrast, MIS revenue sources are harder to predict since they are often based on estimates of long range travel demand or new sources of revenue that have no track record or historic basis from which to project revenues.

Strengths (continued)

- Typically, the transit operator or, in some cases, the state Department of Transportation is the "implementing agency" in transit projects. These planning organizations have recognized the need to secure funding for projects in new and innovative ways and are making greater efforts in this area. Traditional sources of local and federal funding are not always adequate in addressing regional transit needs. The site visits revealed many examples of creative financing.

  Examples include:

  - private sector match of operating costs for local transit service
  - using tax incentives to finance new equipment
  - private sector funding of bus shelters
  - leasing retail space in train stations
  - collecting parking fees
  - fiber optic right-of-way leases
  - public/private partnership in development projects
  - bus advertising
  - leasing rail equipment
  - selling tax credits
  - using Congestion Mitigation and Air Quality Improvement Program (CMAQ) funds (flexible funds)
  - securing funds through other state agencies which use transit to mitigate construction activity

- FTA communication with state DOTs regarding the ease of implementing ISTEA regulations was very good.

Weaknesses

- Local and state transit planning organizations said they need the ability to include and demonstrate unfunded transit needs in the Transportation Improvement Program (TIP), Statewide Transportation Improvement Program (STIP), and the Long Range Plan (LRP).

  Since these documents are financially constrained, they are not a complete statement of needs. As public documents, there is a misperception that regional transit needs are being met. However, only the highest priority projects, where funding is available, are included. The vast majority of projects, for which there is no available funding, are not shown.

- There are problems in making revenue forecasting projections. Uncertainty grows as the timeframe of the projection increases and there are problems in projecting federal appropriations. Developing funding projections, based on federal funding allocation, involves a high degree of uncertainty and speculation. Planning agencies have no control over financial resources that historically may constitute up to 80% of total project funding. The level of earmark funds is hard to predict as it relies on the speculative appropriations process. This problem is compounded when funds are projected beyond the final year of the existing federal authorization.

- Projecting state and local funds is difficult unless the transit operator has a dedicated funding source. In most areas, transit needs compete with other community needs for the same money. Federal transit funds cannot be relied upon solely. Transit planning agencies that have dedicated funding have the ability to make more accurate funding projections. For example, the MBTA in Boston, Massachusetts uses $1.5 billion in state bonding authority, over a rolling 5-year period, to finance capital projects. Their state funding projections are fairly routine.

- Some of the local agencies interviewed believe that the financial constraint requirements restrict the use of creative financing for capital projects. The TIP/STIP programming process requires, in the case of proposed funding sources, strategies for ensuring funding availability be identified. Some state and local agencies interpret this requirement narrowly to mean that only federal, state, and local funds which have been appropriated historically can be programmed. In Columbus, Ohio, Federal earmark (discretionary) funds were not considered predictable despite 5 years of historically receiving these funds. In Boston, revenue generated from the renovation of South Station were restricted to conventional sources since innovative approaches did not have a track record.

Weaknesses (continued)

- In the Raleigh-Durham, NC area, CMAQ funds have only been used for highway projects. The transit operator and MPO feel they need more jurisdictional control in using CMAQ funds for transit projects. The MPO even suggested giving FTA control of these funds to make allocation equitable. This problem was not found in the other case studies.

Recommendations

- Local transit planning organizations need to provide federal authorities with a list of unfunded needs or projects. The simple solution would be to develop two lists when preparing the TIP and the STIP; a project list constrained by the limitation of scarce resources and a project list of unmet needs. This list would help both local and federal legislators assess regional financial needs and would assist the FTA in developing legislative proposals and preparing the biennial report to Congress on the condition of public transportation.

- The circular, Federal Transit Administration's Financial Capacity Policy, UMTA C 7008.1, issued March 30, 1987, should be officially withdrawn. Once the ISTEA regulations were implemented, the circular was no longer necessary. ISTEA is much more comprehensive and addresses the financial condition and financial capability issues raised in the circular.

- FTA should clarify and promote its policy regarding the inclusion of innovative financing in the TIP/STIP process as well as in the long range Transportation Plan. The use of innovative financing techniques at the local level should continue to be encouraged since it supplements limited financial resources and provides alternative funding for local transit projects.

  This information should be disseminated as informational memos, updated periodically, to senior level policy personnel at planning and implementation agencies. It should also be disseminated to technical staff at training sessions.

- FTA should facilitate peer group meetings to exchange ideas about the financial planning process. This process could be similar to the state planning issues seminars that are funded by FTA and managed by the Transportation Research Board (TRB).

APPENDIX A

Glossary[1]

Allocation - An administrative distribution of funds among the States, done for funds that do not have statutory distribution formulas.

Apportionment - A term that refers to a statutorily prescribed division or assignment of funds. An apportionment is based on prescribed formulas in the law and consists of dividing authorized obligation authority for a specific program among the States.

Attainment Area - An area considered to have air quality that meets or exceeds the U. S. Environmental Protection Agency (EPA) health standards used in the Clean Air Act. An area may be an attainment area for one pollutant and a nonattainment area for others. Nonattainment areas are areas considered not to have met these standards for designated pollutants.

CAAA - Clean Air Act Amendments of 1990.

Capital Costs - Nonrecurring or infrequently occurring costs of long term assets, such as land, guideways, stations, buildings, and vehicles.

Conformity - Process to assess the compliance of any transportation plan, program, or project funded with FHWA or FTA funds, with air quality implementation plans. The conformity process is defined by the Clean Air Act.

Congestion Mitigation and Air Quality Program (CMAQ) - A funding program contained in Title I of ISTEA which provides funds for projects and activities which reduce congestion and improve air quality. To be eligible for CMAQ, projects and activities must contribute to the National Ambient Air Quality Standards and must be included in a Transportation Improvement Program.

Discretionary Funds - Any funds whose distribution is not automatic. Decisions on the distribution of discretionary funds are usually made by an agency or person on the basis of that agency's or person's choice or judgment and in accordance with criteria set out in law or regulations.

Federal Highway Administration (FHWA) - An agency of the U. S. Department of Transportation that funds surface transportation planning and programs, primarily highways

Federal Transit Administration (FTA) - An agency of the U. S. Department of Transportation that funds surface transportation planning and programs, primarily transit

Intermodal - The ability to connect, and connections between modes of transportation.

Intermodal Surface Transportation Efficiency Act of 1991 (ISTEA) - Legislative initiative by the Congress that restructured funding for transportation programs. ISTEA authorized increased levels of highway and transportation funding and an increased role for planning in funding decisions. The Act also requires comprehensive regional and statewide long-term transportation plans, and places an increased emphasis on public participation and transportation alternatives.

Long Range Plan (LRP) - A twenty year forecast plan that is required at both the metropolitan and state levels. The LRP must consider a wide range of social, environmental, energy, and economic factors in determining overall regional goals and how transportation can best meet these goals.

Maintenance Area - Any geographic region of the United States designated nonattainment pursuant to the Clean Air Act Amendments of 1990, and subsequently redesignated to attainment subject to the requirement to develop a maintenance plan under Section 175A of the Clean Air Act as amended.

Metropolitan Planning Organization (MPO) - The forum for cooperative transportation decisionmaking for the metropolitan area. MPOs are established by agreement of the Governor and units of general purpose local government which together represent 75% of the affected population of an urbanized area.

Mode - A form of transportation such as an automobile, bus or bicycle.

Multimodal - The availability of transportation options using different modes within a system or corridor

Nonattainment Area - Any geographic region of the United States that the Environmental Protection Agency (EPA) has designated as a nonattainment area for a transportation-related pollutant for which a National Ambient Air Quality Standard (NAAQS) exists.

Section 3 (5309)- The section of the Federal Transit Act, as amended, that provides assistance to States and local public bodies and agencies thereof in financing New Starts, rail modernization, and bus and bus-related projects.

Section 9 (5307) - The section of the Federal Transit Act, as amended, that governs the distribution of the public transit and capital and operating block grant appropriations, made by Congress each year, among transit operators across the nation.

State Implementation Plan (SIP) - The portion (or portions) of an applicable implementation plan approved or promulgated, or the most recent revision thereof, under sections

110, 301(d) and 175A of the Clean Air Act. The SIP is a plan for how the state will achieve the National Ambient Air Quality Standards.

Statewide Transportation Improvement Program (STIP) - A staged, multi-year, statewide, intermodal program of transportation projects which is consistent with the statewide transportation plan and planning processes and metropolitan plans, TIPs and processes.

Statewide Transportation Plan - The official statewide plan, intermodal transportation plan that is developed through the statewide transportation planning process.

Surface Transportation Program - A funding program contained in Title I of ISTEA which provides flexibility of funds for highway and transit modes and for a category of funding known as transportation enhancements.

Total Direct Debt - A municipality's combined sum of total bonded debt and any un-funded debt.

Transportation Control Measure (TCM) - Actions that may be taken by state or local units of government related to the transportation systems' contribution to the achievement of National Ambient Air Quality Standards.

Transportation Improvement Program (TIP) - Document prepared by metropolitan planning organizations listing projects to be funded with FHWA/FTA funds for the next one to three year period.

Transportation Management Area (TMA) - An urbanized area with a population over 200,000 (as determined by the latest decennial census) or other area when TMA designation is requested by the Governor and the MPO (or affected local officials), and officially designated by the Administrators of the FHWA and FTA. The TMA designation applies to the entire metropolitan planning area(s).

Unified Planning Work Program (UPWP) - A document produced every year by an MPO to describe all transportation-related planning activities that will be carried out during the next year.

Urbanized Area (UZA) - A Census classification for areas having a population of 5,000 or more which meets certain population density requirements.

[1]Definitions are from Statewide Transportation Planning Under ISTEA, USDOT, Publication No. FHWA-PD-97-001, Oct. 1996 and Financially Constrained Transportation Planning and Programming Process, USDOT/FTA

APPENDIX B

LITERATURE REVIEWED

Report Title	Date Published	Sponsoring Agency
Enhanced Planning Review of the Philadelphia Metropolitan Area	June, 1996	FTA and FHWA
Enhanced Planning Review of the Cleveland, OH Metropolitan Area	May, 1996	FTA and FHWA
Enhanced Planning Review of the Chicago Metropolitan Area	July, 1996	FTA and FHWA
Enhanced Planning Review of the Miami Metropolitan Area	May, 1996	FTA and FHWA
Statewide Transportation Planning Under ISTEA - A New Framework for Decision Making	October, 1996	FTA and FHWA
Urban Transportation - Metropolitan Planning Organizations' Efforts to Meet Federal Planning Requirements	September, 1996	GAO
Financial Planning in ISTEA (FHWA Task Order A-94-04)	November, 1995	FHWA
Planning Progress - Addressing ISTEA Requirements in Metropolitan Planning Areas	February, 1997	U.S. Advisory Commission on Intergovernmental Relations
CMAQ Congestion Mitigation & Air Quality Improvement Program - Innovations in Transportation & Air Quality	April, 1996	FTA and FHWA
Innovative Financing Handbook	May, 1995	FTA

APPENDIX C

LITERATURE SEARCH FINDINGS

Source: Enhanced Planning Review of the Philadelphia Metropolitan Area FTA and FHWA Report published in June, 1996

1) The MPO works closely with PennDot and NJDOT to determine the levels of state funding that will be made available.

2) In New Jersey, the TIP is presented to the state legislature before approval by the MPO (DVRPC - Delaware Valley Regional Planning Commission).

3) In Pennsylvania, the local jurisdiction petitions the State for funds. Counties, cities, and transit operators are responsible for providing their own match to federal funds.

4) The TIP does not clearly identify the source of funds to cover the $3.5 billion in costs. The TIP identifies the aggregate level of federal funds it expects to receive, $3.0 billion. However, it does not identify the source of the remaining $0.5 billion. The assumption is made that these funds will continue to be provided by the states, local transit operators, and local jurisdictions.

5) Major Investment Studies:
   The MPO had no written or adopted procedures for selecting and conducting MIS studies, although discussion and negotiations were underway with each state DOT. (New Jersey had not issued state guidance or identified MIS candidates. Pennsylvania had issued state guidance to the MPO on identifying MISs.)

6) The 2015 plan identifies corridors and transportation centers, not specific improvements. According to MPO staff, the 2020 Plan will not be specific either, since corridor studies have not yet been completed. There is a need for greater specificity over the 25 year period to provide a clear picture of funding requirements to maintain, operate, and improve the existing transportation system.

7) The MPO (DVRPC - Delaware Valley Regional Planning Commission) was recently successful in campaigning for a larger portion of Pennsylvania's State highway funds for the TIP years, increasing the original allocation from 19% of the state total to 29%. According to DVRPC staff, this

percentage more closely approximates the region's share of population and its economic contribution to the State.

Source: Enhanced Planning Review of the Cleveland, OH Metropolitan Area FTA and FHWA Report published in May, 1996

1) The financial planning process would be enhanced by having the MPO serve more effectively as a forum for consideration and coordination of all regionally significant transportation projects., regardless of funding source.

2) Current financial planning has a project oriented, short range focus and is directed toward what is "ready to sell" now. The region's efforts to change this orientation are encouraged, and should result in regional priorities and assessment of financial needs setting overall direction.

3) Additional coordination between ODOT and NOACA (Northeast Ohio Area Wide Coordinating Agency) would strengthen regional financial planning capability.

4) The region has not done any analysis or developed any contingent financial planning to address possible changes in funding.

Source: Enhanced Planning Review of the Chicago Metropolitan Area FTA and FHWA Report published in July, 1996

1) Need to explore options to enhance existing resources to support the 2020 Regional Transportation Plan (RTP). Options should include potential new sources of funding as well as identifying strategies for realizing savings through system efficiencies.

> According to the 2010 Transportation System Development Plan, available funding sources for transportation programming are not sufficient to cover infrastructure rehabilitation and maintenance requirements. The plan identified potential sources of additional revenue. However, the current political consensus would not support the new or higher taxes or fees required to generate this revenue.

The impact of significant growth projections through 2020 on a regional transportation system which is already under funded suggests that dependence on special state or federal aid alone may not be sufficient.

2) Projected available funds over a five year period are used to generate "marks" for transit and highway components of the program. Local jurisdictions and implementing agencies use the marks to develop a

financially constrained program by allocating the available funds to a pool of proposed projects.

3) The Regional Transportation Authority (RTA) is working with other agencies to develop 2 models for use in financial analyses: a capital assets model and an operating & maintenance cost model.

Source: Enhanced Planning Review of the Miami Metropolitan Area FTA and FHWA Report published in May, 1996

1) Future revised TIPs would be more effective if they include a table which shows total revenue sources by source. This table would clearly illustrate the TIPs financial constraint.

   The Metro-Dade 2010 Long Range Transit Plan (LRTP) which was adopted prior to ISTEA's passage is not financially constrained. The plan identified insufficient revenue in all areas assuming continuation of existing sources at current levels.

2) Operating and maintenance costs of the existing transportation system should be clearly identified in the long range and short range planning documents.

   Operating and maintenance cost projections for the existing highway and transit systems are based on historical data.

3) The MPO is looking towards the formation of the Dade County Expressway Authority as a means to raise future revenues. Enabling legislation to create the Authority was passed by the state legislature in 1994. The Authority would have the power to levy tolls and use the proceeds for transit or highway improvements, including transit operating expenses.

Source: Statewide Transportation Planning Under ISTEA - A New Framework for Decision Making FTA and FHWA Report

Does not specifically address financial planning issues related to the examples cited: New Jersey, Florida, Pennsylvania

Source: Urban Transportation - Metropolitan Planning Organizations' Efforts to Meet Federal Planning Requirements GAO Report published in September, 1996

1) The 13 MPOs interviewed by the GAO unanimously endorsed the continuation of ISTEA planning requirements.

In contrast, state departments of transportation did not uniformly support its continuation. They felt that it was difficult to meet the financial constraint requirement due to the difficulty in providing reliable revenue projections over the 20 year duration of the plan.

Many state officials supported the financial constraint requirement as long as the regulations allowed some over programming, giving them the ability to propose projects which would slightly exceed revenues. This practice would allow the MPOs to undertake another project in the event that a higher priority project ran into unexpected delays.

The MPOs and the states felt that to financial constraint the TIPs is one of the most challenging of ISTEA's planning requirements.

2) The GAO recommends developing standard reporting formats for assessing and reporting on MPO compliance with ISTEA's planning requirements. This will improve their ability to identify nationwide patterns in planning deficiencies, the cause of these deficiencies, and the extent to which the MPOs have made progress in meeting the requirements.

3) See pages 42 - 54 for detailed questions.

Source: Financial Planning in ISTEA (FHWA Task Order A-94-04) Prepared for FHWA in November, 1995

1) All MPOs struggled with constituent agencies over the lack of consistent cost estimation methodology and widely varying levels of detail in project specification.

2) Some MPOs employed the following to financially constrain their plans:
   a) More optimistic revenue assumptions;
   b) Revised (i.e., lower) cost estimates;
   c) More aggressive deferral of maintenance
   d) More optimistic expectations of operational efficiency; and
   e) More optimistic forecasts of transit ridership

3) The San Francisco Bay Area Metropolitan Commission (MTC) employed a useful method for financial constraint planning:
   a) Forecast total available revenues;
   b) Estimate the cost of operating the current system over the plan's horizon and deduct this from the total available revenues;
   c) Planners designate new projects within these financial constraints;
   d) Develop a 2nd tier of new projects which would be constructed if additional funding becomes available.

4) Some MPOs expressed some confusion over the ISTEA financial planning requirements.

Source: Planning Progress - Addressing ISTEA Requirements in Metropolitan Planning Areas
Published by U.S. Advisory Commission on Intergovernmental Relations
February, 1997

1) Potential Simplification:

Streamlining 10 separate types of periodic documentation required from MPOs into 3.

Documents Required Now	Proposed
a) MOUs (as needed)	a) Certification Self Study (3 years)
b) UPWP (annual)	b) Metropolitan Transportation System Plan (3 years)
c) Long Range Transport. Plan (3 years)	c) Implementation Program (annual)
d) TIP (annual)	
e) 15 Factors (3 years & annual)	
f) 6 Management Systems & Traffic Data System (annual)	
g) Financial Plan (3 years & annual)	
h) Conformity Certifications (3 years & annual)	
i) PIP (3 years)	
j) Grant Applications (annual) - Transit - Planning	

Streamlining 9 separate types of federal decisions about each of the 340 MPOs might be into 3.

Documents Required Now	Proposed
a) MPO Process Certification (3 years)	a) MPO Process Certification (3 years)
b) Corrective Actions (often less than annual)	b) Essential Corrective Actions (may be less than annual in rare cases)
c) Metro L-R Transpo. Plan (3 years)	c) Annual Block Grant to Metropolitan Area (for planning and implementation)
d) UPWP (annual)	
e) TIP (annual)	
f) TIP Amendments (as needed)	
g) Section 9 Grant Applications	
h) Air Quality Conformity (Plan/3years;	

TIP/annual; TIP Amendments/as needed)
- Statutory Deadlines

i) EIS on projects (as needed)

2) Financial Planning was found to have significant problems and to be rather primitive in 2/3 of the MPOs. The main problems seem to be:

a) Difficulties in getting timely and reliable information about future availability of funds from the state DOT

b) Lack of MPO access to the state funding allocation decision making process

c) Uncertainties in making 20 year financial forecasts

d) Political sensitivities in considering means of increasing future revenues to meet major funding shortfalls

e) Omission of operating and maintenance costs from the calculations to determine compliance with the federal constraint requirement.

3) Major Investment Studies (must be prepared in transportation corridors where unmet transportation demands foretell the need for significant investments in new transportation capacity)

a) For new transportation corridors, many continue to be identified by modal agencies rather than by the MPO's collaborative long range planning process.

b) MISs are viewed as difficult, time consuming and costly to pursue.

c) The MIS process requires analytical overkill in small areas.

d) There is a need for formal procedures for doing the studies

e) Highlight the features that reviewers expect to find in the MIS process.

f) The MPO should identify corridors and transportation centers that need to be funded even though specific improvements have not been decided on. They must also develop procedures to determine which projects are subject to or need an MIS.

4) There are too many separate federal funding categories, making the TIP overly cumbersome and requiring too many federal aid applications.

5) The MPO planning funds are still coming separately from FHWA and FTA.

6) It is recommended that the MPO develop a more evident integration of transit and highway planning, including the complete and open assessment of secure funding sources for highway, transit, and other modal forms of transportation within the region. The costs compared against these revenues must include operating and maintenance costs.

7) The state must work cooperatively with the MPO in a timely manner to develop and provide accurate estimates of state and federal funds currently and projected to be available during the plan period.

8) The MPO should improve the procedures used in preparing preliminary estimates.

9) The MPO should enhance its financial planning tools and process so that better revenue and cost projections can be made, including assessment of all operating and maintenance costs and allocation of revenues. The MPO should consider using life-cycle costing for economic analysis in future planning.

10) Summary table should be generated by funding category and funding source to describe the source of funds for each project.

11) There should be a fair and equitable formula developed to determine the distribution of federal funds.

Source: CMAQ Innovations in Transportation & Air Quality
Published for FHWA & FTA

Based on a FHWA, FTA, and EPA review of the Congestion Mitigation and Air Quality (CMAQ) program during the summer of 1994, the ISTEA goal of expanding local control over funding decisions is taking hold. Project sponsors are using a variety of mechanisms to implement their projects, as evidenced by the use of "overmatch" (providing more than the required 20% from state and local sources), private funding, and combined funding with other Federal programs.

Source: Innovative Financing Handbook
Published for DOT and FTA; May 1995

The FTA Innovative Financing Initiative has shown 2 things:

a) Transit systems have made significant advances in financial innovation

b) Private sector investors, developers, and the private capital markets have an increasingly significant role to play in public transportation.

ATTACHMENT D

TELEPHONE INTERVIEWS - PLANNING AGENCIES & CONTACTS

Planning Level	Location	Contact(s)
Department of Transportation	Wisconsin	Dick Martin
Department of Transportation	Pennsylvania	Tom Kotay
Department of Transportation	Florida	Tara Bartee
Department of Transportation	Georgia	Steve Kish
Department of Transportation	Illinois	Neil Ferrari
Metropolitan Planning Organization	Milwaukee Waukesha, WI	Ken Yunker
Metropolitan Planning Organization	Minneapolis, MN	Natalio Diaz
Metropolitan Planning Organization.	Orlando, FL	Dave Grovdahl
Metropolitan Planning Organization.	Steubenville, OH	Bob Gordon
Metropolitan Planning Organization	Memphis, TN	Clark Odor
Transit Operator	Albany, NY	Jack Reilly
Transit Operator	Louisville, KY	Barry Barker
Transit Operator	Lakeland, FL	Steve Githens
Transit Operator	Atlanta, GA (MARTA)	Connie Cannon Knox O'Callaghan
Transit Operator	Providence, RI	Mark Therrien

MPO Draft Questions (ISTEA = Intermodal Surface Transportation Efficiency Act of 1991)
Agency Level: MPO
Agency: Metropolitan Council
Contact: Natalio Diaz Title: Director Transportation Planning Department: Transportation
Interview Date: 10/1/97 Conducted by: Joel G. Cutler

Characteristics of Transit Authority:
Size of Urban Area: 2,500,000
Number of Vehicles: 900 buses - Metro Transit (Minneapolis/St. Paul)
Metropolitan Area: Y/N Y Population >200,000: Y/N Y
Non Attainment Area: Y/N Y

Comments: None

Procedural/Planning

Minneapolis MPO	Q1	What role does your agency play in the financial planning aspects of transit projects as they relate to the following FTA requirements: MIS, SIP, STIP, LRP, STP, TIP?
Minneapolis MPO	A1	MIS - project participant SIP - joint effort w/Minnesota State Pollution Control Agency STIP - incorporates TIP LRP - developed & adopted by MPO STP - incorporates LRP TIP - developed & adopted by MPO
Minneapolis MPO	Q2	Do you have the ability to initiate projects?
Minneapolis MPO	A2	yes
Minneapolis MPO	Q3	Which, if any, of the ISTEA financial planning requirements do you take lead responsibility?
Minneapolis MPO	A3	TIP, LRP
Minneapolis MPO	Q4	Which, if any, of the ISTEA financial planning requirements do you take support responsibility?
Minneapolis MPO	A4	STIP, SIP
Minneapolis MPO	Q5	How is lead and support responsibility established?
Minneapolis MPO	A5	by the MPO and detailed in the "MPO Prospectus" (guidelines)
Minneapolis MPO	Q6	Do you have any suggestions for improving the ISTEA financial planning requirements?
Minneapolis MPO	A6	no
Minneapolis MPO	Q7	Have any state guidelines been issued relative to compliance with ISTEA financial planning regulations?
Minneapolis MPO	A7	no
Minneapolis MPO	Q8	Would you find guidelines for preparing ISTEA financial reports useful?
Minneapolis MPO	A8	not necessary

Minneapolis MPO	Q9	In which areas would guidelines be useful in estimating capital project expense: List of project items with unit costs? Information specifying the level of project detail required? Information to improve the accuracy of estimating project costs and funding projections?
Minneapolis MPO	A9	not necessary, but guidelines in all 3 areas might be helpful
Minneapolis MPO	Q10	In which areas would guidelines be useful in estimating operations and maintenance (O & M) expense: List of unit costs? Information specifying the level of costing detail required? Information to improve the accuracy of estimating operations and maintenance costs?
Minneapolis MPO	A10	not necessary, but guidelines in all 3 areas might be helpful
Minneapolis MPO	Q11	When developing programs, are highway and transit projects separate? If yes, is there any reason why they're not combined?
Minneapolis MPO	A11	no

Funding/Financing Issues

Minneapolis MPO	Q12	What are your primary sources of transit revenue for transit improvements ?
Minneapolis MPO	A12	none
Minneapolis MPO	Q13	What are your primary sources of transit revenue for operating and maintenance costs?
Minneapolis MPO	A13	farebox
Minneapolis MPO	Q14	What are your primary sources of local funding (governmental) for transit improvements?
Minneapolis MPO	A14	metropolitan property tax
Minneapolis MPO	Q15	What are your primary sources of local funding (governmental) for operating and maintenance costs?
Minneapolis MPO	A15	metropolitan property tax
Minneapolis MPO	Q16	What are your primary sources of state funding for transit improvements?
Minneapolis MPO	A16	general obligation bonds
Minneapolis MPO	Q17	What are your primary sources of state funding for operating and maintenance costs?
Minneapolis MPO	A17	general funds (operating assistance)
Minneapolis MPO	Q18	What are your primary sources of federal funding for transit improvements?
Minneapolis MPO	A18	section 9 formula funds & section 3 discretionary funds
Minneapolis MPO	Q19	What are your primary sources of federal funding for operating and maintenance costs?
Minneapolis MPO	A19	section 5307 operating funds
Minneapolis MPO	Q20	In addition to traditional sources of revenue for transit projects, i.e. gas taxes, tolls, user fees, etc., have you considered other methods of financing, i.e. public/private partnerships, etc.? If yes, give some examples.
Minneapolis MPO	A20	yes, St. Paul shuttle bus utilizes operating funds contributed by the local business community
Minneapolis MPO	Q21	How is funding authorization tracked?
Minneapolis MPO	A21	using the TIP
Minneapolis MPO	Q22	How are funding projections made? Who makes them?
Minneapolis MPO	A22	work w/feds, state & Metro Transit Agency to develop funding projections
Minneapolis MPO	Q23	Do you have any problems making 20 year funding projections? How about 10 year projections? 5 year projections? 3 year projections? What types of problems do you encounter in making each of these projections?
Minneapolis MPO	A23	DOT makes funding projections

Minneapolis MPO	Q24	How are transportation projects identified under the Clean Air Act? Who identifies these projects? What action is taken once a project has been identified?
Minneapolis MPO	A24	no recent clean air projects, all projects are run through the conformity model
Minneapolis MPO	Q25	Is it your practice to transfer federal funds between projects? If yes, how is it done. If no, is there any reason why funds are not transferred between projects?
Minneapolis MPO	A25	no, funds are awarded by project on a competitive basis
Minneapolis MPO	Q26	Are federal highway funds reallocated to transit? If so, are they used for transit improvements? Are they used for operating expenses? If not, are there any spending restrictions?
Minneapolis MPO	A26	yes, yes, no, local spending restriction
Minneapolis MPO	Q27	Is it your practice to transfer state funds between projects? If yes, how is it done. If no, is there any reason why funds are not transferred between projects?
Minneapolis MPO	A27	DOT controls state funds
Minneapolis MPO	Q28	Are state highway funds reallocated to transit? If so, are they used for transit improvements? Are they used for operating expenses? If not, are there any spending restrictions?
Minneapolis MPO	A28	no, state constitution prohibits spending this money on transit projects

Financial Constraint Procedures

Minneapolis MPO	Q29	How do you demonstrate that each project is either standalone or is programmed into useable pieces?
Minneapolis MPO	A29	determined by consensus w/DOT
Minneapolis MPO	Q30	How do you determine the source of funding for each project, i.e. state, federal, local? (How do you establish the funding category for each project?)
Minneapolis MPO	A30	federal funds allocated on competitive basis, remaining funds are state or local
Minneapolis MPO	Q31	Do you transfer project funds between funding categories? If not, why not?
Minneapolis MPO	A31	handled by DOT
Minneapolis MPO	Q32	In developing programs, how are transit projects required under the Clean Air Act handled?
Minneapolis MPO	A32	no clean air act projects handled recently
Minneapolis MPO	Q33	In developing programs, is there an evaluation process to determine which projects are included? Is so, are the projects ranked in order of importance or is it done in some other way?
Minneapolis MPO	A33	yes, ranked in order of importance
Minneapolis MPO	Q34	When funds have been allocated for a specific project and that project is not ready to go, how is the money reallocated: Is the reallocation based on a project selection evaluation process, i.e. prioritized list, or is it reallocated to whatever project is ready to go? Is the effected MPO and transit agency notified of the diversion of funds?
Minneapolis MPO	A34	reallocated to whatever project is ready to go, transit agency notified

Minneapolis MPO	Q35	In preparing the TIP, is the project selection limited by available funding? (financially constrained) If not, is there a reason?
Minneapolis MPO	A35	yes

Estimating Costs (Maintenance/Operating Costs, Project Costs)

Minneapolis MPO	Q36	Are standard cost estimation methodologies used at the state, MPO, and transit agency levels for projects?
Minneapolis MPO	A36	not sure
Minneapolis MPO	Q37	Are projected operating and maintenance costs based on current service levels or are they based on current and projected service levels, i.e. Do they include costs for projected service expansion in growth areas?
Minneapolis MPO	A37	current & projected

Agency Cooperation

Minneapolis MPO	Q38	Is the agency responsible for carrying out each project identified? How is the lead agency established? Is it program or project based? How often does it change?
Minneapolis MPO	A38	yes, lead agency is project based, doesn't change
Minneapolis MPO	Q39	Is financial planning information for transit projects coordinated at the state, MPO, and transit agency levels? If not, is there a reason?
Minneapolis MPO	A39	yes
Minneapolis MPO	Q40	Do MPOs and transit agencies get timely and reliable information about future availability of state and federal funds from the state DOT? How often? What level of detail?
Minneapolis MPO	A40	no state funds available, federal transit funds are distributed directly from the FTA to the MPO
Minneapolis MPO	Q41	Do MPOs and transit agencies get timely and reliable information from the DOT concerning the ranking of their projects and prospects for funding?
Minneapolis MPO	A41	n/a, MPO works directly with the FTA
Minneapolis MPO	Q42	Is it difficult to integrate TIPs, generated by each MPO, with the long range STP (Statewide Transportation Plan)? If yes, what types of problems are encoutered?
Minneapolis MPO	A42	no
Minneapolis MPO	Q43	Do the MPO's have any influence in state funding allocation decisions? If yes, how much?
Minneapolis MPO	A43	not much, DOT controls funding allocation decisions
Minneapolis MPO	Q44	Has the state issued guidelines to MPOs for preparing MIS (Major Investment Studies)? If yes, what kind of guidelines and at what level of detail?
Minneapolis MPO	A44	yes, detailed instructions for preparing MISs (37 pages)

Estimating Costs (**Maintenance/Operating Costs, Project Costs**)

Steubenville, OH - MPO	Q36	Are standard cost estimation methodologies used at the state, MPO, and transit agency levels for projects?
Steubenville, OH - MPO	A36	no
Steubenville, OH - MPO	Q37	Are projected operating and maintenance costs based on current service levels or are they based on current and projected service levels, i.e. Do they include costs for projected service expansion in growth areas?
Steubenville, OH - MPO	A37	based on current service levels, too hard to make projections

Agency Cooperation

Steubenville, OH - MPO	Q38	Is the agency responsible for carrying out each project identified? How is the lead agency established? Is it program or project based? How often does it change?
Steubenville, OH - MPO	A38	no, lead agency not established, all levels work cooperatively
Steubenville, OH - MPO	Q39	Is financial planning information for transit projects coordinated at the state, MPO, and transit agency levels? If not, is there a reason?
Steubenville, OH - MPO	A39	yes
Steubenville, OH - MPO	Q40	Do MPOs and transit agencies get timely and reliable information about future availability of state and federal funds from the state DOT? How often? What level of detail?
Steubenville, OH - MPO	A40	yes, annually, at project level
Steubenville, OH - MPO	Q41	Do MPOs and transit agencies get timely and reliable information from the DOT concerning the ranking of their projects and prospects for funding?
Steubenville, OH - MPO	A41	yes
Steubenville, OH - MPO	Q42	Is it difficult to integrate TIPs, generated by each MPO, with the long range STP (Statewide Transportation Plan)? If yes, what types of problems are encoutered?
Steubenville, OH - MPO	A42	yes, difficult to coordinate project schedules with state DOTs
Steubenville, OH - MPO	Q43	Do the MPO's have any influence in state funding allocation decisions? If yes, how much?
Steubenville, OH - MPO	A43	no
Steubenville, OH - MPO	Q44	Has the state issued guidelines to MPOs for preparing MIS (Major Investment Studies)? If yes, what kind of guidelines and at what level of detail?
Steubenville, OH - MPO	A44	yes, overview (not much detail)

MPO Draft Questions (ISTEA = Intermodal Surface Transportation Efficiency Act of 1991)
Agency Level: MPO
Agency: Metroplan Orlando
Contact: Dave Grovdahl Title: Director Transportation Planning
Department: Transportation Planning
Interview Date: 10/6/97 Conducted by: Joel G. Cutler

Characteristics:
Size of Urban Area: 1,300,000 (3 counties)
Metropolitan Area: Y/N Y Population >200,000: Y/N Y
Non Attainment Area: Y/N N

Comments: MPO doesn't seem to be very involved with either the transit agency, which does most of the financial transit planning, or with the state

Procedural/Planning

Orlando MPO	Q1	What role does your agency play in the financial planning aspects of transit projects as they relate to the following FTA requirements: MIS, SIP, STIP, LRP, STP, TIP?
Orlando MPO	A1	MIS - participant in technical advisory committee SIP - n/a (attainment area) STIP - incorporates TIP LRP - lead agency in development STP - incorporates TIP TIP - lead agency in development
Orlando MPO	Q2	Do you have the ability to initiate projects?
Orlando MPO	A2	yes
Orlando MPO	Q3	Which, if any, of the ISTEA financial planning requirements do you take lead responsibility?
Orlando MPO	A3	LRP, TIP
Orlando MPO	Q4	Which, if any, of the ISTEA financial planning requirements do you take support responsibility?
Orlando MPO	A4	MIS, STIP, STP
Orlando MPO	Q5	How is lead and support responsibility established?
Orlando MPO	A5	inference of ISTEA legislation
Orlando MPO	Q6	Do you have any suggestions for improving the ISTEA financial planning requirements?
Orlando MPO	A6	no
Orlando MPO	Q7	Have any state guidelines been issued relative to compliance with ISTEA financial planning regulations?
Orlando MPO	A7	yes, broad format & schedule on TIP, LRP
Orlando MPO	Q8	Would you find guidelines for preparing ISTEA financial reports useful?
Orlando MPO	A8	not necessary
Orlando MPO	Q9	In which areas would guidelines be useful in estimating capital project expense: List of project items with unit costs? Information specifying the level of project detail required? Information to improve the accuracy of estimating project costs and funding projections?
Orlando MPO	A9	information to improve the accuracy of estimating project costs and funding projections (state has adequate guidelines on unit costs and level of detail required)

Orlando MPO	Q10	In which areas would guidelines be useful in estimating operations and maintenance (O & M) expense: List of unit costs? Information specifying the level of costing detail required? Information to improve the accuracy of estimating operations and maintenance costs?
Orlando MPO	A10	not involved in estimating O & M costs
Orlando MPO	Q11	When developing programs, are highway and transit projects separate? If yes, is there any reason why they're not combined?
Orlando MPO	A11	no

Funding/Financing Issues

Orlando MPO	Q12	What are your primary sources of transit revenue for transit improvements ?
Orlando MPO	A12	not involved at this level
Orlando MPO	Q13	What are your primary sources of transit revenue for operating and maintenance costs?
Orlando MPO	A13	not involved at this level
Orlando MPO	Q14	What are your primary sources of local funding (governmental) for transit improvements?
Orlando MPO	A14	3 counties (Orange, Seminole, Osceola) & city of Orlando provide general revenue
Orlando MPO	Q15	What are your primary sources of local funding (governmental) for operating and maintenance costs?
Orlando MPO	A15	3 counties (Orange, Seminole, Osceola) & city of Orlando provide general revenue
Orlando MPO	Q16	What are your primary sources of state funding for transit improvements?
Orlando MPO	A16	14.3% of state highway trust fund for public transportation, Florida Commision for the Transportation Disadvantaged funds for demand responsive transit
Orlando MPO	Q17	What are your primary sources of state funding for operating and maintenance costs?
Orlando MPO	A17	14.3% of state highway trust fund for public transportation, Florida Commision for the Transportation Disadvantaged funds for demand responsive transit
Orlando MPO	Q18	What are your primary sources of federal funding for transit improvements?
Orlando MPO	A18	section 9
Orlando MPO	Q19	What are your primary sources of federal funding for operating and maintenance costs?
Orlando MPO	A19	section 9
Orlando MPO	Q20	In addition to traditional sources of revenue for transit projects, i.e. gas taxes, tolls, user fees, etc., have you considered other methods of financing, i.e. public/private partnerships, etc.? If yes, give some examples.
Orlando MPO	A20	yes, creation of development district to fund light rail system in city of Orlando (local development taxing district)
Orlando MPO	Q21	How is funding authorization tracked?
Orlando MPO	A21	through the TIP process
Orlando MPO	Q22	How are funding projections made? Who makes them?
Orlando MPO	A22	done at the transit agency level
Orlando MPO	Q23	Do you have any problems making 20 year funding projections? How about 10 year projections? 5 year projections? 3 year projections? What types of problems do you encounter in making each of these projections?
Orlando MPO	A23	projections done at the state and transit agency levels
Orlando MPO	Q24	How are transportation projects identified under the Clean Air Act? Who identifies these projects? What action is taken once a project has been identified?
Orlando MPO	A24	n/a (attainment area)
Orlando MPO	Q25	Is it your practice to transfer federal funds between projects? If yes, how is it done. If no, is there any reason why funds are not transferred between projects?
Orlando MPO	A25	yes, through Surface Transportation Program Funds (STP) from FHWA 70% highways, 20% transit, 10% bicycle/pedestrian improvements
Orlando MPO	Q26	Are federal highway funds reallocated to transit? If so, are they used for transit improvements? Are they used for operating expenses? If not, are there any spending restrictions?
Orlando MPO	A26	yes, through Surface Transportation Program Funds (STP) from FHWA 70% highways, 20% transit, 10% bicycle/pedestrian improvements

Orlando MPO	Q27	Is it your practice to transfer state funds between projects? If yes, how is it done. If no, is there any reason why funds are not transferred between projects?
Orlando MPO	A27	yes, occasionally, through a TIP amendment process
Orlando MPO	Q28	Are state highway funds reallocated to transit? If so, are they used for transit improvements? Are they used for operating expenses? If not, are there any spending restrictions?
Orlando MPO	A28	yes, occasionally, through a TIP amendment process; funds can be used for improvements or operating expenses

Financial Constraint Procedures

Orlando MPO	Q29	How do you demonstrate that each project is either standalone or is programmed into useable pieces?
Orlando MPO	A29	done at the transit agency level, reviewed by the MPO
Orlando MPO	Q30	How do you determine the source of funding for each project, i.e. state, federal, local? (How do you establish the funding category for each project?)
Orlando MPO	A30	use federal funding first, use state and local funds for match
Orlando MPO	Q31	Do you transfer project funds between funding categories? If not, why not?
Orlando MPO	A31	not at the MPO level
Orlando MPO	Q32	In developing programs, how are transit projects required under the Clean Air Act handled?
Orlando MPO	A32	n/a (attainment area)
Orlando MPO	Q33	In developing programs, is there an evaluation process to determine which projects are included? Is so, are the projects ranked in order of importance or is it done in some other way?
Orlando MPO	A33	ranking in order of cost/benefit ratio
Orlando MPO	Q34	When funds have been allocated for a specific project and that project is not ready to go, how is the money reallocated: Is the reallocation based on a project selection evaluation process, i.e. prioritized list, or is it reallocated to whatever project is ready to go? Is the effected MPO and transit agency notified of the diversion of funds?
Orlando MPO	A34	yes, reallocated based on a prioritized list; transit agency is notified of diversion of funds
Orlando MPO	Q35	In preparing the TIP, is the project selection limited by available funding? (financially constrained) If not, is there a reason?
Orlando MPO	A35	yes, however unfunded transit projects are also included in a special section of the TIP

Estimating Costs (**Maintenance/Operating Costs, Project Costs**)

Orlando MPO	Q36	Are standard cost estimation methodologies used at the state, MPO, and transit agency levels for projects?
Orlando MPO	A36	not sure
Orlando MPO	Q37	Are projected operating and maintenance costs based on current service levels or are they based on current and projected service levels, i.e. Do they include costs for projected service expansion in growth areas?
Orlando MPO	A37	not sure

Agency Cooperation

Orlando MPO	Q38	Is the agency responsible for carrying out each project identified? How is the lead agency established? Is it program or project based? How often does it change?
Orlando MPO	A38	yes, lead agency is either project based or program based, doesn't usually change
Orlando MPO	Q39	Is financial planning information for transit projects coordinated at the state, MPO, and transit agency levels? If not, is there a reason?
Orlando MPO	A39	not sure
Orlando MPO	Q40	Do MPOs and transit agencies get timely and reliable information about future availability of state and federal funds from the state DOT? How often? What level of detail?
Orlando MPO	A40	no
Orlando MPO	Q41	Do MPOs and transit agencies get timely and reliable information from the DOT concerning the ranking of their projects and prospects for funding?
Orlando MPO	A41	yes
Orlando MPO	Q42	Is it difficult to integrate TIPs, generated by each MPO, with the long range STP (Statewide Transportation Plan)? If yes, what types of problems are encoutered?
Orlando MPO	A42	ask the state (done at the state level)
Orlando MPO	Q43	Do the MPO's have any influence in state funding allocation decisions? If yes, how much?
Orlando MPO	A43	not much
Orlando MPO	Q44	Has the state issued guidelines to MPOs for preparing MIS (Major Investment Studies)? If yes, what kind of guidelines and at what level of detail?
Orlando MPO	A44	yes, detailed procedural guidelines

Transit Agency Draft Questions (ISTEA = Intermodal Surface Transportation Efficiency Act of 1991)
Agency Level: Transit Operator
Agency: Lakeland Area Mass Transit District
Contact: Steve Githens Title: Transit Director Department: n/a
Interview Date: 9/26/97 Conducted by: Joel G. Cutler

Characteristics of Transit Authority:
Size of Urban Area: 110,000
Number of Vehicles: 42
Metropolitan Area: Y/N Y Population: >200,000: Y/N N
Non Attainment Area: Y/N N

Comments: None

Procedural/Planning

Lakeland, FL transit oper.	Q1	What role does your agency play in the financial planning aspects of transit projects as they relate to the following FTA requirements: MIS, SIP, STIP, LRP, STP, TIP?
Lakeland, FL transit oper.	A1	MIS no involvement SIP no involvement STIP state uses LRP and TIP LRP develop w/MPO staff STP state uses LRP and TIP TIP develop w/MPO staff
Lakeland, FL transit oper.	Q2	Do you have the ability to initiate projects?
Lakeland, FL transit oper.	A2	yes
Lakeland, FL transit oper.	Q3	Which, if any, of the ISTEA financial planning requirements do you take lead responsibility?
Lakeland, FL transit oper.	A3	none
Lakeland, FL transit oper.	Q4	Which, if any, of the ISTEA financial planning requirements do you take support responsibility?
Lakeland, FL transit oper.	A4	LRP, TIP
Lakeland, FL transit oper.	Q5	How is lead and support responsibility established?
Lakeland, FL transit oper.	A5	evolution
Lakeland, FL transit oper.	Q6	Do you have any suggestions for improving the ISTEA financial planning requirements?
Lakeland, FL transit oper.	A6	no
Lakeland, FL transit oper.	Q7	Have any state guidelines been issued relative to compliance with ISTEA financial planning regulations?
Lakeland, FL transit oper.	A7	no
Lakeland, FL transit oper.	Q8	Would you find guidelines for preparing ISTEA financial reports useful?
Lakeland, FL transit oper.	A8	yes

Lakeland, FL transit oper.	Q9	In which areas would guidelines be useful in estimating capital project expense: List of project items with unit costs? Information specifying the level of project detail required? Information to improve the accuracy of estimating project costs and funding projections?
Lakeland, FL transit oper.	A9	all of the above
Lakeland, FL transit oper.	Q10	In which areas would guidelines be useful in estimating operations and maintenance (O & M) expense: List of unit costs? Information specifying the level of costing detail required? Information to improve the accuracy of estimating operations and maintenance costs?
Lakeland, FL transit oper.	A10	all of the above

Funding/Financing Issues

Lakeland, FL transit oper.	Q11	What are your primary sources of transit revenue for transit improvements ?
Lakeland, FL transit oper.	A11	farebox, advertising, pay telephones
Lakeland, FL transit oper.	Q12	What are your primary sources of transit revenue for operating and maintenance costs?
Lakeland, FL transit oper.	A12	farebox, advertising, pay telephones
Lakeland, FL transit oper.	Q13	What are your primary sources of local funding (governmental) for transit improvements?
Lakeland, FL transit oper.	A13	local property tax
Lakeland, FL transit oper.	Q14	What are your primary sources of local funding (governmental) for operating and maintenance costs?
Lakeland, FL transit oper.	A14	local property tax
Lakeland, FL transit oper.	Q15	What are your primary sources of state funding for transit improvements?
Lakeland, FL transit oper.	A15	none
Lakeland, FL transit oper.	Q16	What are your primary sources of state funding for operating and maintenance costs?
Lakeland, FL transit oper.	A16	state block grant
Lakeland, FL transit oper.	Q17	What are your primary sources of federal funding for transit improvements?
Lakeland, FL transit oper.	A17	section 3
Lakeland, FL transit oper.	Q18	What are your primary sources of federal funding for operating and maintenance costs?
Lakeland, FL transit oper.	A18	section 9
Lakeland, FL transit oper.	Q19	In addition to traditional sources of revenue for transit projects, i.e. gas taxes, tolls, user fees, etc., have you considered other methods of financing, i.e. public/private partnerships, etc.? If yes, give some examples.
Lakeland, FL transit oper.	A19	no

Lakeland, FL transit oper.	Q20	How is funding authorization tracked?
Lakeland, FL transit oper.	A20	computerized accounting system
Lakeland, FL transit oper.	Q21	How are funding projections made? Who makes them?
Lakeland, FL transit oper.	A21	consensus of MPO and transit operator
Lakeland, FL transit oper.	Q22	Do you have any problems making 20 year funding projections? How about 10 year projections? 5 year projections? 3 year projections? What types of problems do you encounter in making each of these projections?
Lakeland, FL transit oper.	A22	20, 10-not done, 5, 3-no problems
Lakeland, FL transit oper.	Q23	How are transportation projects identified under the Clean Air Act? Who identifies these projects? What action is taken once a project has been identified?
Lakeland, FL transit oper.	A23	no involvment

Financial Constraint Procedures

Lakeland, FL transit oper.	Q24	How do you demonstrate that each project is either standalone or is programmed into useable pieces?
Lakeland, FL transit oper.	A24	MIS not done at this level
Lakeland, FL transit oper.	Q25	How do you determine the source of funding for each project, i.e. state, federal, local? (How do establish the funding category for each project?)
Lakeland, FL transit oper.	A25	all improvement projects are federally funded
Lakeland, FL transit oper.	Q26	Do you transfer project funds between funding categories? If not, why not?
Lakeland, FL transit oper.	A26	no involvment
Lakeland, FL transit oper.	Q27	In developing programs, how are transit projects required under the Clean Air Act handled?
Lakeland, FL transit oper.	A27	no involvment
Lakeland, FL transit oper.	Q28	In developing programs, is there an evaluation process to determine which projects are included? Is so, are the projects ranked in order of importance or is it done in some other way?
Lakeland, FL transit oper.	A28	no programming done
Lakeland, FL transit oper.	Q29	When funds have been allocated for a specific project and that project is not ready to go, how is the money reallocated: Is the reallocation based on a project selection evaluation process, i.e. prioritized list, or is it reallocated to whatever project is ready to go? Is the effected MPO and transit agency notified of the diversion of funds?
Lakeland, FL transit oper.	A29	no programming done
Lakeland, FL transit oper.	Q30	Are your programs financially constrained? (limited available funding)
Lakeland, FL transit oper.	A30	no programming done

Estimating Costs (Maintenance/Operating Costs, Project Costs)

Lakeland, FL transit oper.	Q31	Are standard cost estimation methodologies used at the state, MPO, and transit agency levels for projects?
Lakeland, FL transit oper.	A31	no
Lakeland, FL transit oper.	Q32	Are projected operating and maintenance costs based on current service levels or are they based on current and projected service levels, i.e. Do they include costs for projected service expansion in growth areas?
Lakeland, FL transit oper.	A32	current and projected

Agency Cooperation

Lakeland, FL transit oper.	Q33	Is the agency responsible for carrying out each project identified? How is the lead agency established? Is it program or project based? How often does it change?
Lakeland, FL transit oper.	A33	yes, lead agency is project based
Lakeland, FL transit oper.	Q34	Is financial planning information for transit projects coordinated at the state, MPO, and transit agency levels? If not, is there a reason?
Lakeland, FL transit oper.	A34	don't know
Lakeland, FL transit oper.	Q35	Do MPOs and transit agencies get timely and reliable information about future availability of state and federal funds from the state DOT? How often? What level of detail?
Lakeland, FL transit oper.	A35	yes, only for state block grant funds on an annual basis (no update on federal funding)
Lakeland, FL transit oper.	Q36	Do MPOs and transit agencies get timely and reliable information from the DOT concerning the ranking of their projects and prospects for funding?
Lakeland, FL transit oper.	A36	no

Transit Agency Draft Questions (ISTEA = Intermodal Surface Transportation Efficiency Act of 1991)

Agency Level: Transit Operator
Agency: Transit Authority of River City
Contact: Barry Barker Title: Executive Director Department: n/a
Interview Date: 10/6/97 Conducted by: Joel G. Cutler

Characteristics of Transit Authority:
Size of Urban Area: 990,000
Number of Vehicles: 280 buses, 75 paratransit vehicles
Metropolitan Area: Y/N Y Population: >200,000: Y/N Y
Non Attainment Area: Y/N Y

Comments: Good coordination at the transit agency, MPO, and state DOT levels

Procedural/Planning

Transit Oper-Louisville, KY	Q1	What role does your agency play in the financial planning aspects of transit projects as they relate to the following FTA requirements: MIS, SIP, STIP, LRP, STP, TIP?
Transit Oper-Louisville, KY	A1	MIS - lead agency & participant SIP - involved through local MPO (models run by MPO) STIP - involved through local MPO LRP - coordinate transit projects w/MPO STP - involved through local MPO TIP - coordinate transit projects w/MPO
Transit Oper-Louisville, KY	Q2	Do you have the ability to initiate projects?
Transit Oper-Louisville, KY	A2	yes
Transit Oper-Louisville, KY	Q3	Which, if any, of the ISTEA financial planning requirements do you take lead responsibility?
Transit Oper-Louisville, KY	A3	none, some MIS projects
Transit Oper-Louisville, KY	Q4	Which, if any, of the ISTEA financial planning requirements do you take support responsibility?
Transit Oper-Louisville, KY	A4	MIS, SIP, STIP, LRP, STP, TIP
Transit Oper-Louisville, KY	Q5	How is lead and support responsibility established?
Transit Oper-Louisville, KY	A5	historically
Transit Oper-Louisville, KY	Q6	Do you have any suggestions for improving the ISTEA financial planning requirements?
Transit Oper-Louisville, KY	A6	need ability to show all needs, not just financially constrained ones
Transit Oper-Louisville, KY	Q7	Have any state guidelines been issued relative to compliance with ISTEA financial planning regulations?
Transit Oper-Louisville, KY	A7	not sure
Transit Oper-Louisville, KY	Q8	Would you find guidelines for preparing ISTEA financial reports useful?
Transit Oper-Louisville, KY	A8	not necessary

Transit Oper-Louisville, KY	Q9	In which areas would guidelines be useful in estimating capital project expense: List of project items with unit costs? Information specifying the level of project detail required? Information to improve the accuracy of estimating project costs and funding projections?
Transit Oper-Louisville, KY	A9	all of the above
Transit Oper-Louisville, KY	Q10	In which areas would guidelines be useful in estimating operations and maintenance (O & M) expense: List of unit costs? Information specifying the level of costing detail required? Information to improve the accuracy of estimating operations and maintenance costs?
Transit Oper-Louisville, KY	A10	all of the above

Funding/Financing Issues

Transit Oper-Louisville, KY	Q11	What are your primary sources of transit revenue for transit improvements ?
Transit Oper-Louisville, KY	A11	none
Transit Oper-Louisville, KY	Q12	What are your primary sources of transit revenue for operating and maintenance costs?
Transit Oper-Louisville, KY	A12	farebox provides funding for about 17% of O & M costs, advertising revenues about $200,000
Transit Oper-Louisville, KY	Q13	What are your primary sources of local funding (governmental) for transit improvements?
Transit Oper-Louisville, KY	A13	.2% payroll tax in Jefferson County (incl. Louisville), private business contribution on specific projects (approx. 1/3 of local matching share)
Transit Oper-Louisville, KY	Q14	What are your primary sources of local funding (governmental) for operating and maintenance costs?
Transit Oper-Louisville, KY	A14	.2% payroll tax in Jefferson County (incl. Louisville), private business contribution ($200,000)
Transit Oper-Louisville, KY	Q15	What are your primary sources of state funding for transit improvements?
Transit Oper-Louisville, KY	A15	state general fund (minimal for vehicle replacement)
Transit Oper-Louisville, KY	Q16	What are your primary sources of state funding for operating and maintenance costs?
Transit Oper-Louisville, KY	A16	none
Transit Oper-Louisville, KY	Q17	What are your primary sources of federal funding for transit improvements?
Transit Oper-Louisville, KY	A17	section 9 and section 3 discretionary
Transit Oper-Louisville, KY	Q18	What are your primary sources of federal funding for operating and maintenance costs?
Transit Oper-Louisville, KY	A18	section 9
Transit Oper-Louisville, KY	Q19	In addition to traditional sources of revenue for transit projects, i.e. gas taxes, tolls, user fees, etc., have you considered other methods of financing, i.e. public/private partnerships, etc.? If yes, give some examples.
Transit Oper-Louisville, KY	A19	yes, private contributions to improvements and operating and maintenance costs
Transit Oper-Louisville, KY	Q20	How is funding authorization tracked?
Transit Oper-Louisville, KY	A20	use TIP to track projects, also track MTTF (Mass Transit Trust Fund) which is generated from the .2% Jefferson County payroll tax
Transit Oper-Louisville, KY	Q21	How are funding projections made? Who makes them?
Transit Oper-Louisville, KY	A21	by projecting MTTF (Mass Transit Trust Fund), made by transit agency
Transit Oper-Louisville, KY	Q22	Do you have any problems making 20 year funding projections? How about 10 year projections? 5 year projections? 3 year projections? What types of problems do you encounter in making each of these projections?
Transit Oper-Louisville, KY	A22	no, use computer model

Transit Oper-Louisville, KY	Q23	How are transportation projects identified under the Clean Air Act? Who identifies these projects? What action is taken once a project has been identified?
Transit Oper-Louisville, KY	A23	MPO identifies and acts on Clean Air Act projects

Financial Constraint Procedures

Transit Oper-Louisville, KY	Q24	How do you demonstrate that each project is either standalone or is programmed into useable pieces?
Transit Oper-Louisville, KY	A24	through the review process at the transit agency level
Transit Oper-Louisville, KY	Q25	How do you determine the source of funding for each project, i.e. state, federal, local? (How do establish the funding category for each project?)
Transit Oper-Louisville, KY	A25	project availability of funding at local, state and federal levels
Transit Oper-Louisville, KY	Q26	Do you transfer project funds between funding categories? If not, why not?
Transit Oper-Louisville, KY	A26	yes
Transit Oper-Louisville, KY	Q27	In developing programs, how are transit projects required under the Clean Air Act handled?
Transit Oper-Louisville, KY	A27	handled at the MPO level
Transit Oper-Louisville, KY	Q28	In developing programs, is there an evaluation process to determine which projects are included? Is so, are the projects ranked in order of importance or is it done in some other way?
Transit Oper-Louisville, KY	A28	handled at the MPO level
Transit Oper-Louisville, KY	Q29	When funds have been allocated for a specific project and that project is not ready to go, how is the money reallocated: Is the reallocation based on a project selection evaluation process, i.e. prioritized list, or is it reallocated to whatever project is ready to go? Is the effected MPO and transit agency notified of the diversion of funds?
Transit Oper-Louisville, KY	A29	handled at the MPO level
Transit Oper-Louisville, KY	Q30	Are your programs financially constrained? (limited available funding)
Transit Oper-Louisville, KY	A30	yes

Estimating Costs (Maintenance/Operating Costs, Project Costs)

Transit Oper-Louisville, KY	Q31	Are standard cost estimation methodologies used at the state, MPO, and transit agency levels for projects?
Transit Oper-Louisville, KY	A31	yes
Transit Oper-Louisville, KY	Q32	Are projected operating and maintenance costs based on current service levels or are they based on current and projected service levels, i.e. Do they include costs for projected service expansion in growth areas?
Transit Oper-Louisville, KY	A32	current & projected

Agency Cooperation

Transit Oper-Louisville, KY	Q33	Is the agency responsible for carrying out each project identified? How is the lead agency established? Is it program or project based? How often does it change?
Transit Oper-Louisville, KY	A33	yes, lead agency established based on mode and geography, doesn't change
Transit Oper-Louisville, KY	Q34	Is financial planning information for transit projects coordinated at the state, MPO, and transit agency levels? If not, is there a reason?
Transit Oper-Louisville, KY	A34	yes
Transit Oper-Louisville, KY	Q35	Do MPOs and transit agencies get timely and reliable information about future availability of state and federal funds from the state DOT? How often? What level of detail?
Transit Oper-Louisville, KY	A35	yes, as needed, at the project level
Transit Oper-Louisville, KY	Q36	Do MPOs and transit agencies get timely and reliable information from the DOT concerning the ranking of their projects and prospects for funding?
Transit Oper-Louisville, KY	A36	yes

Transit Agency Draft Questions (ISTEA = Intermodal Surface Transportation Efficiency Act of 1991)

Agency Level: Transit Operator
Agency: Metropolitan Atlanta Rapid Transit Authority
Contact: Connie Cannon/Knox O'Callaghan Title: Mgr Trans. Planning/FTA Coord.
Department: Planning & Analysis/Government Relations
Interview Date: 10/2/97 Conducted by: Joel G. Cutler

Characteristics of Transit Authority:
Size of Urban Area: 3,000,000
Number of Vehicles: 238 heavy rail cars, 785 buses
Metropolitan Area: Y/N Y Population: >200,000: Y/N Y
Non Attainment Area: Y/N Y

Comments: MPO and MARTA seem to have a good coopertive working relationship. MARTA is a key player in developing transit projects for the MPO. The contacts I spoke with were friendly and very helpful.

Procedural/Planning

Transit Oper.-Atlanta	Q1	What role does your agency play in the financial planning aspects of transit projects as they relate to the following FTA requirements: MIS, SIP, STIP, LRP, STP, TIP?
Transit Oper.-Atlanta	A1	MIS - initiate & participate w/MPO and state DOT SIP- submit projects to ARC (Atlanta Regional Commission-MPO) who submit them to GA Dept of Natural Resouces STIP - submit TIP LRP - lead agency for preparing transit projects for MPO STP - use MPOs TIP TIP - lead agency for preparing transit projects for MPO
Transit Oper.-Atlanta	Q2	Do you have the ability to initiate projects?
Transit Oper.-Atlanta Transit Oper.-Atlanta	A2	yes
Transit Oper.-Atlanta	Q3	Which, if any, of the ISTEA financial planning requirements do you take lead responsibility?
Transit Oper.-Atlanta	A3	lead agency for preparing transit projects for MPO utilized in TIP and LRP
Transit Oper.-Atlanta	Q4	Which, if any, of the ISTEA financial planning requirements do you take support responsibility?
Transit Oper.-Atlanta	A4	MIS, SIP, LRP, TIP
Transit Oper.-Atlanta	Q5	How is lead and support responsibility established?
Transit Oper.-Atlanta	A5	interagency agreement w/MPO and DOT
Transit Oper.-Atlanta	Q6	Do you have any suggestions for improving the ISTEA financial planning requirements?
Transit Oper.-Atlanta	A6	no
Transit Oper.-Atlanta	Q7	Have any state guidelines been issued relative to compliance with ISTEA financial planning regulations?

Transit Oper.-Atlanta	A7	no
Transit Oper.-Atlanta	Q8	Would you find guidelines for preparing ISTEA financial reports useful?
Transit Oper.-Atlanta	A8	yes
Transit Oper.-Atlanta	Q9	In which areas would guidelines be useful in estimating capital project expense: List of project items with unit costs? Information specifying the level of project detail required? Information to improve the accuracy of estimating project costs and funding projections?
Transit Oper.-Atlanta	A9	all of the above
Transit Oper.-Atlanta	Q10	In which areas would guidelines be useful in estimating operations and maintenance (O & M) expense: List of unit costs? Information specifying the level of costing detail required? Information to improve the accuracy of estimating operations and maintenance costs?
Transit Oper.-Atlanta	A10	all of the above

Funding/Financing Issues

Transit Oper.-Atlanta	Q11	What are your primary sources of transit revenue for transit improvements ?
Transit Oper.-Atlanta	A11	none
Transit Oper.-Atlanta	Q12	What are your primary sources of transit revenue for operating and maintenance costs?
Transit Oper.-Atlanta	A12	farebox
Transit Oper.-Atlanta	Q13	What are your primary sources of local funding (governmental) for transit improvements?
Transit Oper.-Atlanta	A13	dedicated sales tax 1% (Fulton, DeKalb counties and city of Atlanta)
Transit Oper.-Atlanta	Q14	What are your primary sources of local funding (governmental) for operating and maintenance costs?
Transit Oper.-Atlanta	A14	dedicated sales tax 1% (Fulton, DeKalb counties and city of Atlanta)
Transit Oper.-Atlanta	Q15	What are your primary sources of state funding for transit improvements?
Transit Oper.-Atlanta	A15	state general funds for discretionary projects
Transit Oper.-Atlanta	Q16	What are your primary sources of state funding for operating and maintenance costs?
Transit Oper.-Atlanta	A16	none
Transit Oper.-Atlanta	Q17	What are your primary sources of federal funding for transit improvements?
Transit Oper.-Atlanta	A17	section 5309 (section 3 discretionary) & section 5307 (old section 9)
Transit Oper.-Atlanta	Q18	What are your primary sources of federal funding for operating and maintenance costs?
Transit Oper.-Atlanta	A18	section 5307 (old section 9)
Transit Oper.-Atlanta	Q19	In addition to traditional sources of revenue for transit projects, i.e. gas taxes, tolls, user fees, etc., have you considered other methods of financing, i.e. public/private partnerships, etc.? If yes, give some examples.
Transit Oper.-Atlanta	A19	yes, transit facility development project (lease air rights, money to be used for operating expenses)
Transit Oper.-Atlanta	Q20	How is funding authorization tracked?
Transit Oper.-Atlanta	A20	tracked through Office of Budget & Analysis (MARTA)
Transit Oper.-Atlanta	Q21	How are funding projections made? Who makes them?
Transit Oper.-Atlanta	A21	rely on MPO
Transit Oper.-Atlanta	Q22	Do you have any problems making 20 year funding projections? How about 10 year projections? 5 year projections? 3 year projections? What types of problems do you encounter in making each of these projections?
Transit Oper.-Atlanta	A22	5 year projection made at transit agency level, no problems encountered

Transit Oper.-Atlanta	Q23	How are transportation projects identified under the Clean Air Act? Who identifies these projects? What action is taken once a project has been identified?
Transit Oper.-Atlanta	A23	transit agency identifies project which is reviewed at the MPO level, competitively selected for MPOs TIP

Financial Constraint Procedures

Transit Oper.-Atlanta	Q24	How do you demonstrate that each project is either standalone or is programmed into useable pieces?
Transit Oper.-Atlanta	A24	projects submitted as part of the regional transportation plan and then reviewed by MPO to insure completeness
Transit Oper.-Atlanta	Q25	How do you determine the source of funding for each project, i.e. state, federal, local? (How do establish the funding category for each project?)
Transit Oper.-Atlanta	A25	by consensus between Government Relations, Budget, and Planning Departments at MARTA
Transit Oper.-Atlanta	Q26	Do you transfer project funds between funding categories? If not, why not?
Transit Oper.-Atlanta	A26	no
Transit Oper.-Atlanta	Q27	In developing programs, how are transit projects required under the Clean Air Act handled?
Transit Oper.-Atlanta	A27	attempt to use CMAQ funds first, these projects given high priority at transit agency & MPO levels
Transit Oper.-Atlanta	Q28	In developing programs, is there an evaluation process to determine which projects are included? Is so, are the projects ranked in order of importance or is it done in some other way?
Transit Oper.-Atlanta	A28	yes, ranked in order of importance at transit agency level, ranking may change at the MPO level
Transit Oper.-Atlanta	Q29	When funds have been allocated for a specific project and that project is not ready to go, how is the money reallocated: Is the reallocation based on a project selection evaluation process, i.e. prioritized list, or is it reallocated to whatever project is ready to go? Is the effected MPO and transit agency notified of the diversion of funds?
Transit Oper.-Atlanta	A29	reallocation done at MPO level collaboratively w/transit operator
Transit Oper.-Atlanta	Q30	Are your programs financially constrained? (limited available funding)
Transit Oper.-Atlanta	A30	yes

Estimating Costs **(Maintenance/Operating Costs, Project Costs)**

Transit Oper.-Atlanta	Q31	Are standard cost estimation methodologies used at the state, MPO, and transit agency levels for projects?
Transit Oper.-Atlanta	A31	no
Transit Oper.-Atlanta	Q32	Are projected operating and maintenance costs based on current service levels or are they based on current and projected service levels, i.e. Do they include costs for projected service expansion in growth areas?
Transit Oper.-Atlanta	A32	current & projected

Agency Cooperation

Transit Oper.-Atlanta	Q33	Is the agency responsible for carrying out each project identified? How is the lead agency established? Is it program or project based? How often does it change?
Transit Oper.-Atlanta	A33	yes, lead agency established by geographic jurisdiction
Transit Oper.-Atlanta	Q34	Is financial planning information for transit projects coordinated at the state, MPO, and transit agency levels? If not, is there a reason?
Transit Oper.-Atlanta	A34	no
Transit Oper.-Atlanta	Q35	Do MPOs and transit agencies get timely and reliable information about future availability of state and federal funds from the state DOT? How often? What level of detail?
Transit Oper.-Atlanta	A35	information received from the MPO regarding federal funds annually
Transit Oper.-Atlanta	Q36	Do MPOs and transit agencies get timely and reliable information from the DOT concerning the ranking of their projects and prospects for funding?
Transit Oper.-Atlanta	A36	yes, work collaboratively with the MPO

Transit Agency Draft Questions (ISTEA = Intermodal Surface Transportation Efficiency Act of 1991)

Agency Level: Transit Agency
Agency: Rhode Island Public Transit Authority
Contact:Mark Therrien Title:Director of Planning Department: Planning
Interview Date: 9/30/97 Conducted by: Joel G. Cutler

Characteristics of Transit Authority:
Size of Urban Area: 1,000,000
Number of Vehicles: 221 buses
Metropolitan Area: Y/N Y Population: >200,000: Y/N Y
Non Attainment Area: Y/N Y

Comments: None

Procedural/Planning

Transit Oper. Prov.	Q1	What role does your agency play in the financial planning aspects of transit projects as they relate to the following FTA requirements: MIS, SIP, STIP, LRP, STP, TIP?
Transit Oper. Prov.	A1	MIS - consensus w/MPO and DOT SIP - consensus w/MPO STIP - working committee composed of the transit agency, EPA, Dept Environmental Management, MPO, DOT (Transport. Advisory Committee - TAC) LRP - input through TAC STP - informational role only TIP - input through TAC
Transit Oper. Prov.	Q2	Do you have the ability to initiate projects?
Transit Oper. Prov.	A2	yes
Transit Oper. Prov.	Q3	Which, if any, of the ISTEA financial planning requirements do you take lead responsibility?
Transit Oper. Prov.	A3	none
Transit Oper. Prov.	Q4	Which, if any, of the ISTEA financial planning requirements do you take support responsibility?
Transit Oper. Prov.	A4	MIS, SIP, STIP, LRP, STP, TIP
Transit Oper. Prov.	Q5	How is lead and support responsibility established?
Transit Oper. Prov.	A5	state legislation
Transit Oper. Prov.	Q6	Do you have any suggestions for improving the ISTEA financial planning requirements?
Transit Oper. Prov.	A6	no
Transit Oper. Prov.	Q7	Have any state guidelines been issued relative to compliance with ISTEA financial planning regulations?
Transit Oper. Prov.	A7	no
Transit Oper. Prov.	Q8	Would you find guidelines for preparing ISTEA financial reports useful?

Transit Oper. Prov.	A8	yes
Transit Oper. Prov.	Q9	In which areas would guidelines be useful in estimating capital project expense: List of project items with unit costs? Information specifying the level of project detail required? Information to improve the accuracy of estimating project costs and funding projections?
Transit Oper. Prov.	A9	not necessary
Transit Oper. Prov.	Q10	In which areas would guidelines be useful in estimating operations and maintenance (O & M) expense: List of unit costs? Information specifying the level of costing detail required? Information to improve the accuracy of estimating operations and maintenance costs?
Transit Oper. Prov.	A10	all of the above

Funding/Financing Issues

Transit Oper. Prov.	Q11	What are your primary sources of transit revenue for transit improvements ?
Transit Oper. Prov.	A11	farebox used as local match for new equipment
Transit Oper. Prov.	Q12	What are your primary sources of transit revenue for operating and maintenance costs?
Transit Oper. Prov.	A12	farebox
Transit Oper. Prov.	Q13	What are your primary sources of local funding (governmental) for transit improvements?
Transit Oper. Prov.	A13	none
Transit Oper. Prov.	Q14	What are your primary sources of local funding (governmental) for operating and maintenance costs?
Transit Oper. Prov.	A14	none
Transit Oper. Prov.	Q15	What are your primary sources of state funding for transit improvements?
Transit Oper. Prov.	A15	state general fund
Transit Oper. Prov.	Q16	What are your primary sources of state funding for operating and maintenance costs?
Transit Oper. Prov.	A16	state general fund
Transit Oper. Prov.	Q17	What are your primary sources of federal funding for transit improvements?
Transit Oper. Prov.	A17	section 5307 (old section 9)
Transit Oper. Prov.	Q18	What are your primary sources of federal funding for operating and maintenance costs?
Transit Oper. Prov.	A18	section 5307 & FHWA funding
Transit Oper. Prov.	Q19	In addition to traditional sources of revenue for transit projects, i.e. gas taxes, tolls, user fees, etc., have you considered other methods of financing, i.e. public/private partnerships, etc.? If yes, give some examples.
Transit Oper. Prov.	A19	yes, bus shelters (private industry gets agency permission to build & maintain the shelters)
Transit Oper. Prov.	Q20	How is funding authorization tracked?
Transit Oper. Prov.	A20	transit agency depends on MPO and DOT
Transit Oper. Prov.	Q21	How are funding projections made? Who makes them?
Transit Oper. Prov.	A21	Planning Department within transit agency makes projection based on information from the FTA
Transit Oper. Prov.	Q22	Do you have any problems making 20 year funding projections? How about 10 year projections? 5 year projections? 3 year projections? What types of problems do you encounter in making each of these projections?
Transit Oper. Prov.	A22	20 & 10 are too difficult to make because agency is more concerned with immediate needs, 5 & 3 are realistic projections

Transit Oper. Prov.	Q23	How are transportation projects identified under the Clean Air Act? Who identifies these projects? What action is taken once a project has been identified?
Transit Oper. Prov.	A23	done at state level

Financial Constraint Procedures

Transit Oper. Prov.	Q24	How do you demonstrate that each project is either standalone or is programmed into useable pieces?
Transit Oper. Prov.	A24	not involved, done at state and MPO level
Transit Oper. Prov.	Q25	How do you determine the source of funding for each project, i.e. state, federal, local? (How do establish the funding category for each project?)
Transit Oper. Prov.	A25	federal 1st, if none available use state funding
Transit Oper. Prov.	Q26	Do you transfer project funds between funding categories? If not, why not?
Transit Oper. Prov.	A26	yes
Transit Oper. Prov.	Q27	In developing programs, how are transit projects required under the Clean Air Act handled?
Transit Oper. Prov.	A27	not involved, done at state and MPO level
Transit Oper. Prov.	Q28	In developing programs, is there an evaluation process to determine which projects are included? Is so, are the projects ranked in order of importance or is it done in some other way?
Transit Oper. Prov.	A28	not involved, done at state and MPO level
Transit Oper. Prov.	Q29	When funds have been allocated for a specific project and that project is not ready to go, how is the money reallocated: Is the reallocation based on a project selection evaluation process, i.e. prioritized list, or is it reallocated to whatever project is ready to go? Is the effected MPO and transit agency notified of the diversion of funds?
Transit Oper. Prov.	A29	not involved, done at state level
Transit Oper. Prov.	Q30	Are your programs financially constrained? (limited available funding)
Transit Oper. Prov.	A30	yes

Estimating Costs (Maintenance/Operating Costs, Project Costs)

Transit Oper. Prov.	Q31	Are standard cost estimation methodologies used at the state, MPO, and transit agency levels for projects?
Transit Oper. Prov.	A31	yes
Transit Oper. Prov.	Q32	Are projected operating and maintenance costs based on current service levels or are they based on current and projected service levels, i.e. Do they include costs for projected service expansion in growth areas?
Transit Oper. Prov.	A32	current & projected

Agency Cooperation

Transit Oper. Prov.	Q33	Is the agency responsible for carrying out each project identified? How is the lead agency established? Is it program or project based? How often does it change?
Transit Oper. Prov.	A33	not involved, done at state and MPO level
Transit Oper. Prov.	Q34	Is financial planning information for transit projects coordinated at the state, MPO, and transit agency levels? If not, is there a reason?
Transit Oper. Prov.	A34	yes
Transit Oper. Prov.	Q35	Do MPOs and transit agencies get timely and reliable information about future availability of state and federal funds from the state DOT? How often? What level of detail?
Transit Oper. Prov.	A35	yes, quarterly, at the project level
Transit Oper. Prov.	Q36	Do MPOs and transit agencies get timely and reliable information from the DOT concerning the ranking of their projects and prospects for funding?
Transit Oper. Prov.	A36	yes

Transit Agency Draft Questions (ISTEA = Intermodal Surface Transportation Efficiency Act of 1991)
Agency Level: Transit operator
Agency: Capital District Transportation Authority
Contact: Jack Reilly Title: Director of Planning & Development
Department: Planning
Interview Date: 9/25/97 Conducted by: Joel G. Cutler

Characteristics of Transit Authority:
Size of Urban Area: 520,000
Number of Vehicles: 210 fixed route buses, 28 paratransit vehicles
Metropolitan Area: Y/N Y Population: >200,000 or <200,000? >200,000
Non Attainment Area: Y/N N (maintenance area)

Comments: Jack was very insightful and friendly

Procedural/Planning

Albany Transit Oper.	Q1	What role does your agency play in the financial planning aspects of transit projects as they relate to the following FTA requirements: MIS, SIP, STIP, LRP, STP, TIP?
Albany Transit Oper.	A1	MIS - only participate if transit is impacted, LRP - actively involved in planning, TIP - developing project proposal, project evaluation, & project selection
Albany Transit Oper.	Q2	Do you have the ability to initiate projects?
Albany Transit Oper.	A2	yes, i.e. $35,000,000 Renselaer Station Project
Albany Transit Oper.	Q3	Which, if any, of the ISTEA financial planning requirements do you take lead responsibility?
Albany Transit Oper.	A3	none
Albany Transit Oper.	Q4	Which, if any, of the ISTEA financial planning requirements do you take support responsibility?
Albany Transit Oper.	A4	MIS, LRP, TIP
Albany Transit Oper.	Q5	How is lead and support responsibility established?
Albany Transit Oper.	A5	By statute, MPO required to perform certain leadership roles
Albany Transit Oper.	Q6	Do you have any suggestions for improving the ISTEA financial planning requirements?
Albany Transit Oper.	A6	yes, greater MPO and less state involvement in project selection in 1st 3 years of the TIP, more federal guidance on reasonable funding expectations, more MPO & transit operator input on federal obligation authority allocation (DOT has too much control)
Albany Transit Oper.	Q7	Have any state guidelines been issued relative to compliance with ISTEA financial planning regulations?
Albany Transit Oper.	A7	no
Albany Transit Oper.	Q8	Would you find guidelines for preparing ISTEA financial reports useful?
Albany Transit Oper.	A8	no, process works OK due to state regulations

Albany Transit Oper.	Q9	In which areas would guidelines be useful in estimating capital project expense: List of project items with unit costs? Information specifying the level of project detail required? Information to improve the accuracy of estimating project costs and funding projections?
Albany Transit Oper.	A9	need guidance on unit cost related to technological improvements i.e. AVL, SMARTCARDS, etc.
Albany Transit Oper.	Q10	In which areas would guidelines be useful in estimating operations and maintenance (O & M) expense: List of unit costs? Information specifying the level of costing detail required? Information to improve the accuracy of estimating operations and maintenance costs?
Albany Transit Oper.	A10	Agency only has need for guidance to develop bus operator cost models to determine impact of changes to labor agreements (impacts O & M expense)

Funding/Financing Issues

Albany Transit Oper.	Q11	What are your primary sources of transit revenue for transit improvements ?
Albany Transit Oper.	A11	farebox , advertising
Albany Transit Oper.	Q12	What are your primary sources of transit revenue for operating and maintenance costs?
Albany Transit Oper.	A12	farebox , advertising
Albany Transit Oper.	Q13	What are your primary sources of local funding (governmental) for transit improvements?
Albany Transit Oper.	A13	none
Albany Transit Oper.	Q14	What are your primary sources of local funding (governmental) for operating and maintenance costs?
Albany Transit Oper.	A14	general county funds
Albany Transit Oper.	Q15	What are your primary sources of state funding for transit improvements?
Albany Transit Oper.	A15	petroleum tax, mortgage recording tax (1/4 point)
Albany Transit Oper.	Q16	What are your primary sources of state funding for operating and maintenance costs?
Albany Transit Oper.	A16	petroleum tax
Albany Transit Oper.	Q17	What are your primary sources of federal funding for transit improvements?
Albany Transit Oper.	A17	section 9
Albany Transit Oper.	Q18	What are your primary sources of federal funding for operating and maintenance costs?
Albany Transit Oper.	A18	section 9
Albany Transit Oper.	Q19	In addition to traditional sources of revenue for transit projects, i.e. gas taxes, tolls, user fees, etc., have you considered other methods of financing, i.e. public/private partnerships, etc.? If yes, give some examples.
Albany Transit Oper.	A19	yes, small public/private partnerships 1) college finances bus service, transit operator runs it 2) bus shelter ownership partially financed by city

Albany Transit Oper.	Q20	How is funding authorization tracked?
Albany Transit Oper.	A20	match grant applications to TIP list of projects & good financial management
Albany Transit Oper.	Q21	How are funding projections made?
Albany Transit Oper.	A21	5 year state operating and capital forecasts updated annually; the projections are made by the transit agency's Planning Department
Albany Transit Oper.	Q22	Do you have any problems making 20 year funding projections? How about 10 year projections? 5 year projections? 3 year projections? What types of problems do you encounter in making each of these projections?
Albany Transit Oper.	A22	20 year impossible subject to large technological & sociological changes, 10 year - political priorities change, 5 year - OK, 1 year - OK
Albany Transit Oper.	Q23	How are transportation projects identified under the Clean Air Act? Who identifies these projects? What action is taken once a project has been identified?
Albany Transit Oper.	A23	MPO has primary responsibility in this area (Albany transit operator in marginal non-attainment area)

Financial Constraint Procedures

Albany Transit Oper.	Q24	How do you demonstrate that each project is either standalone or is programmed into useable pieces?
Albany Transit Oper.	A24	N/A, There are no very large capital facility projects. 80% of money is for routine bus replacement.
Albany Transit Oper.	Q25	How do you determine the source of funding for each project, i.e. state, federal, local? (How do establish the funding category for each project?)
Albany Transit Oper.	A25	apply through MPO, otherwise use local funds
Albany Transit Oper.	Q26	Do you transfer project funds between funding categories? If not, why not?
Albany Transit Oper.	A26	No, scale of projects is small and there is adequate funding for these projects.
Albany Transit Oper.	Q27	In developing programs, how are transit projects required under the Clean Air Act handled?
Albany Transit Oper.	A27	This issue is handled at the MPO level.
Albany Transit Oper.	Q28	In developing programs, is there an evaluation process to determine which projects are included? Is so, are the projects ranked in order of importance or is it done in some other way?
Albany Transit Oper.	A28	Yes, projects are ranked in order of importance but some are constrained by internal ability to monitor them, (personnel resource constraints).
Albany Transit Oper.	Q29	When funds have been allocated for a specific project and that project is not ready to go, how is the money reallocated: Is the reallocation based on a project selection evaluation process, i.e. prioritized list, or is it reallocated to whatever project is ready to go? Is the effected MPO and transit agency notified of the diversion of funds?
Albany Transit Oper.	A29	The money is reallocated to whatever is ready to go. The MPO & transit agency are not notified when funds are diverted.
Albany Transit Oper.	Q30	Are your programs financially constrained? (limited available funding)
Albany Transit Oper.	A30	yes

Estimating Costs (Maintenance/Operating Costs, Project Costs)

Albany Transit Oper.	Q31	Are standard cost estimation methodologies used at the state, MPO, and transit agency levels for projects?
Albany Transit Oper.	A31	yes, i.e. unit cost per bus, unit cost/mile for resurfacing or rebuilding
Albany Transit Oper.	Q32	Are projected operating and maintenance costs based on current service levels or are they based on current and projected service levels, i.e. Do they include costs for projected service expansion in growth areas?
Albany Transit Oper.	A32	yes, reflects growth

Agency Cooperation

Albany Transit Oper.	Q33	Is the agency responsible for carrying out each project identified? How is the lead agency established? Is it program or project based? How often does it change?
Albany Transit Oper.	A33	The lead agency is established in the TIP by the MPO. It is project based. Lead agency established every 1-2 years when TIP is updated.
Albany Transit Oper.	Q34	Is financial planning information for transit projects coordinated at the state, MPO, and transit agency levels? If not, is there a reason?
Albany Transit Oper.	A34	yes, reasonably well
Albany Transit Oper.	Q35	Do MPOs and transit agencies get timely and reliable information about future availability of state and federal funds from the state DOT? How often? What level of detail?
Albany Transit Oper.	A35	The transit agency is not very well informed. Their information is updated annually and there is minimal detail (state has too much funding control)
Albany Transit Oper.	Q36	Do MPOs and transit agencies get timely and reliable information from the DOT concerning the ranking of their projects and prospects for funding?
Albany Transit Oper.	A36	No, the problem is that the state is the implementation agency and they control the purse strings. (The state has too much control.)

DOT Draft Questions (ISTEA = Intermodal Surface Transportation Efficiency Act of 1991)
Agency Level: DOT
Agency: Florida Dept of Transportation
Contact: Tara Bartee Title: Administrator for Transit Planning & Commuter Assistance
Department: Transit Office
Interview Date: 10/6/97 Conducted by: Joel G. Cutler

Characteristics:
Metropolitan Area: Y/N Y Population: >200,000: Y/N Y
Non Attainment Area: Y/N N (maintenance)

Comments: The DOT is very progressive in their implementation of ISTEA guidelines as they relate to transit financial planning. The DOT is a partner with the MPO and transit operator in preparing and implementing documents and procedures. The entire process is lively and involves a large number of agencies and organizations. A fuller understanding of this process would involve conversations with a large number of people at all levels.

Procedural/Planning

DOT-FL	Q1	What role does your agency play in the financial planning aspects of transit projects as they relate to the following FTA requirements: MIS, SIP, STIP, LRP, STP, TIP?
DOT-FL	A1	MIS - coach, cheerlead & backup review of distict office participation SIP - provide model, model data, and technical assistance to regional MPOs STIP - coach, cheerlead & backup review of distict office participation LRP - coach, cheerlead & backup review of distict office participation, also provide MPO w/25 year funding projection STP - coodinate and develop w/various agencies with district office participation TIP - MPO now takes leadership role, incorporated into STIP
DOT-FL	Q2	Do you have the ability to initiate projects?
DOT-FL	A2	yes
DOT-FL	Q3	Which, if any, of the ISTEA financial planning requirements do you take lead responsibility?
DOT-FL	A3	STIP, STP, sometimes MIS
DOT-FL	Q4	Which, if any, of the ISTEA financial planning requirements do you take support responsibility?
DOT-FL	A4	LRP, TIP, SIP, sometimes MIS
DOT-FL	Q5	How is lead and support responsibility established?
DOT-FL	A5	negotiated with MPOs and transit agencies
DOT-FL	Q6	Do you have any suggestions for improving the ISTEA financial planning requirements?
DOT-FL	A6	need full needs assessment in addition to constrained plan
DOT-FL	Q7	Have any state guidelines been issued relative to compliance with ISTEA financial planning regulations?
DOT-FL	A7	yes, for the following documents: STIP, STP, TIP, LRP, MIS.
DOT-FL	Q8	Would you find guidelines for preparing ISTEA financial reports useful?
DOT-FL	A8	yes
DOT-FL	Q9	In which areas would guidelines be useful in estimating capital project expense: List of project items with unit costs? Information specifying the level of project detail required? Information to improve the accuracy of estimating project costs and funding projections?
DOT-FL	A9	all of the above

DOT-FL	Q10	In which areas would guidelines be useful in estimating operations and maintenance (O & M) expense: List of unit costs? Information specifying the level of costing detail required? Information to improve the accuracy of estimating operations and maintenance costs?
DOT-FL	A10	all of the above
DOT-FL	Q11	When developing programs, are highway and transit projects separate? If yes, is there any reason why they're not combined?
DOT-FL	A11	yes

Funding/Financing Issues

DOT-FL	Q12	What are your primary sources of transit revenue for transit improvements ?
DOT-FL	A12	no involvement
DOT-FL	Q13	What are your primary sources of transit revenue for operating and maintenance costs?
DOT-FL	A13	no involvement
DOT-FL	Q14	What are your primary sources of local funding (governmental) for transit improvements?
DOT-FL	A14	property tax (Hillsborough, Pinellas, Duval, Orange, Polk counties)
DOT-FL	Q15	What are your primary sources of local funding (governmental) for operating and maintenance costs?
DOT-FL	A15	property tax (Hillsborough, Pinellas, Duval, Orange, Polk counties)
DOT-FL	Q16	What are your primary sources of state funding for transit improvements?
DOT-FL	A16	toll revenue credits used for federal match, state transportation trust funds (primarily gas tax)
DOT-FL	Q17	What are your primary sources of state funding for operating and maintenance costs?
DOT-FL	A17	state transportation trust funds (primarily gas tax)
	Q18	What are your primary sources of federal funding for transit improvements?
DOT-FL	A18	sections 3 & 9, CMAQ funds, STP (surface transportation program) funds
DOT-FL	Q19	What are your primary sources of federal funding for operating and maintenance costs?
DOT-FL	A19	section 9
DOT-FL	Q20	In addition to traditional sources of revenue for transit projects, i.e. gas taxes, tolls, user fees, etc., have you considered other methods of financing, i.e. public/private partnerships, etc.? If yes, give some examples.
DOT-FL	A20	yes, Florida Transit Finance Corp. (private non profit) do cross border leases, e.g. buy buses and lease back to transit authority for tax writeoff
DOT-FL	Q21	How is funding authorization tracked?
DOT-FL	A21	by project and funding source through computer database
	Q22	How are funding projections made? Who makes them?
DOT-FL	A22	using economic projection tools, projections made at the DOT level
DOT-FL	Q23	Do you have any problems making 20 year funding projections? How about 10 year projections? 5 year projections? 3 year projections? What types of problems do you encounter in making each of these projections?
DOT-FL	A23	no problems encountered
DOT-FL	Q24	How are transportation projects identified under the Clean Air Act? Who identifies these projects? What action is taken once a project has been identified?
DOT-FL	A24	process handled by MPO
DOT-FL	Q25	Is it your practice to transfer federal funds between projects? If yes, how is it done. If no, is there any reason why funds are not transferred between projects?
DOT-FL	A25	yes, money is transferred between projects
DOT-FL	Q26	Are federal highway funds reallocated to transit? If so, are they used for transit improvements? Are they used for operating expenses? If not, are there any spending restrictions?
DOT-FL	A26	yes, used for transit improvements not operating expenses due to spending restrictions
DOT-FL	Q27	Is it your practice to transfer state funds between projects? If yes, how is it done. If no, is there any reason why funds are not transferred between projects?
DOT-FL	A27	yes, money is transferred between projects

DOT-FL	Q28	Are state highway funds reallocated to transit? If so, are they used for transit improvements? Are they used for operating expenses? If not, are there any spending restrictions?
DOT-FL	A28	yes, used for both improvements and operating expenses
DOT-FL	Q29	In preparing the STIP (Statewide Transportation Improvement Program), does the state identify strategies for ensuring the availability of proposed funding sources? If not, is there a reason?
DOT-FL	A29	no, projects are revenue constrained based on existing funding or authorized funding

Financial Constraint Procedures

DOT-FL	Q30	How do you demonstrate that each project is either standalone or is programmed into useable pieces?
DOT-FL	A30	depend on MPOs and transit agencies
DOT-FL	Q31	How do you determine the source of funding for each project, i.e. state, federal, local? (How do establish the funding category for each project?)
DOT-FL	A31	done in cooperation with transit operator, MPO, and state district offices
DOT-FL	Q32	Do you transfer project funds between funding categories? If not, why not?
DOT-FL	A32	yes
DOT-FL	Q33	In developing programs, how are transit projects required under the Clean Air Act handled?
DOT-FL	A33	state has maintenance areas so there are not many of these projects
DOT-FL	Q34	In developing programs, is there an evaluation process to determine which projects are included? Is so, are the projects ranked in order of importance or is it done in some other way?
DOT-FL	A34	done at the MPO level
DOT-FL	Q35	When funds have been allocated for a specific project and that project is not ready to go, how is the money reallocated: Is the reallocation based on a project selection evaluation process, i.e. prioritized list, or is it reallocated to whatever project is ready to go? Is the effected MPO and transit agency notified of the diversion of funds?
DOT-FL	A35	done at the MPO level
DOT-FL	Q36	In preparing the TIP, is the project selection limited by available funding? (financially constrained) If not, is there a reason?
DOT-FL	A36	yes
DOT-FL	Q37	Is the STIP (Statewide Transportation Plan) financially constrained, (limited by available funding), by year and does it include adequate financial information to demonstrate which projects are to be implemented using current revenues and which projects are to be implemented using proposed revenue sources while the system as a whole is being adequately operated and maintained?
DOT-FL	A37	yes

Estimating Costs (Maintenance/Operating Costs, Project Costs)

DOT-FL	Q38	Are standard cost estimation methodologies used at the state, MPO, and transit agency levels for projects?
DOT-FL	A38	no (only for highway projects)
DOT-FL	Q39	Are projected operating and maintenance costs based on current service levels or are they based on current and projected service levels, i.e. Do they include costs for projected service expansion in growth areas?
DOT-FL	A39	current & projected

Agency Cooperation

DOT-FL	Q40	Is the agency responsible for carrying out each project identified? How is the lead agency established? Is it program or project based? How often does it change?
DOT-FL	A40	yes, lead agency established by project
DOT-FL	Q41	Is financial planning information for transit projects coordinated at the state, MPO, and transit agency levels? If not, is there a reason?
DOT-FL	A41	yes
DOT-FL	Q42	Do MPOs and transit agencies get timely and reliable information about future availability of state and federal funds from the state DOT? How often? What level of detail?
DOT-FL	A42	yes, as needed at the geographical area level
DOT-FL	Q43	Do MPOs and transit agencies get timely and reliable information from the DOT concerning the ranking of their projects and prospects for funding?
DOT-FL	A43	yes
DOT-FL	Q44	Is it difficult to integrate TIPs, generated by each MPO, with the long range STP (Statewide Transportation Plan)? If yes, what types of problems are encoutered?
DOT-FL	A44	no
DOT-FL	Q45	Do the MPO's have any influence in state funding allocation decisions? If yes, how much?
DOT-FL	A45	yes, nominal at the state level, enormous at the MPO level
DOT-FL	Q46	Has the state issued guidelines to MPOs for preparing MIS (Major Investment Studies)? If yes, what kind of guidelines and at what level of detail?
DOT-FL	A46	yes, at great level of detail

DOT Draft Questions (ISTEA = Intermodal Surface Transportation Efficiency Act of 1991)
Agency Level: DOT
Agency: Illinois DOT
Contact: Neil Ferrari Title: Bureau Chief
Department: Northeastern Illinois Area Programs. Division of Public Transportation
Interview Date: 9/30/97 Conducted by: Brian McCollom

Characteristics:
MPOs: 10
Non Attainment Areas: (2) Chicago, St. Louis

Procedural/Planning

ILLDOT	Q1	What role does your agency play in the financial planning aspects of transit projects as they relate to the following FTA requirements: MIS, SIP, STIP, LRP, STP, TIP?
ILLDOT	A1	MIS - monitor work carried out at MPO level SIP - produced by state Environmental Protection Agency (some information supplied by MPO), DOT reviews & approves STIP - developed by DOT LRP - monitored by DOT STP - developed by DOT TIP - monitored by DOT
ILLDOT	Q2	Do you have the ability to initiate projects?
ILLDOT	A2	yes
ILLDOT	Q3	Which, if any, of the ISTEA financial planning requirements do you take lead responsibility?
ILLDOT	A3	STIP, STP
ILLDOT	Q4	Which, if any, of the ISTEA financial planning requirements do you take support responsibility?
ILLDOT	A4	MIS, SIP, LRP, TIP
ILLDOT	Q5	How is lead and support responsibility established?
ILLDOT	A5	The roles are based on past practice and have not changed except to cover new ISTEA responsbilities
ILLDOT	Q6	Do you have any suggestions for improving the ISTEA financial planning requirements?
ILLDOT	A6	no
ILLDOT	Q7	Have any state guidelines been issued relative to compliance with ISTEA financial planning regulations?
ILLDOT	A7	No
ILLDOT	Q8	Would you find guidelines for preparing ISTEA financial reports useful?
ILLDOT	A8	No for required format and documentation Yes for optional technical guidance.
ILLDOT	Q9	In which areas would guidelines be useful in estimating capital project expense: List of project items with unit costs? Information specifying the level of project detail required? Information to improve the accuracy of estimating project costs and funding projections?
ILLDOT	A9	information to improve the accuracy of estimating project costs
ILLDOT	Q10	In which areas would guidelines be useful in estimating operations and maintenance (O & M) expense: List of unit costs? Information specifying the level of costing detail required? Information to improve the accuracy of estimating operations and maintenance costs?
ILLDOT	A10	Information to improve the accuracy of estimating operations and maintenance costs

ILLDOT	Q11	When developing programs, are highway and transit projects separate? If yes, is there any reason why they're not combined?
ILLDOT	A11	yes, based on past practice and historical separation of transit and highways --- highway people know highways and transit people know transit.

Funding/Financing Issues

ILLDOT	Q12	What are your primary sources of transit revenue for transit improvements ?
ILLDOT	A12	None
ILLDOT	Q13	What are your primary sources of transit revenue for operating and maintenance costs?
ILLDOT	A13	Farebox
ILLDOT	Q14	What are your primary sources of local funding (governmental) for transit improvements?
ILLDOT	A14	Varies
ILLDOT	Q15	What are your primary sources of local funding (governmental) for operating and maintenance costs?
ILLDOT	A15	Varies
ILLDOT	Q16	What are your primary sources of state funding for transit improvements?
ILLDOT	A16	General fund appropriations
ILLDOT	Q17	What are your primary sources of state funding for operating and maintenance costs?
ILLDOT	A17	Sales tax
ILLDOT	Q18	What are your primary sources of federal funding for transit improvements?
ILLDOT	A18	Sections 9 and 18 , Section 3, FHWA Surface Transport Program-Discretionary, FHWA CMAQ Congestion Mitigation Air Quality funds for service improvements in non-attainment areas
ILLDOT	Q19	What are your primary sources of federal funding for operating and maintenance costs?
ILLDOT	A19	Sections 9 and 18
ILLDOT	Q20	In addition to traditional sources of revenue for transit projects, i.e. gas taxes, tolls, user fees, etc., have you considered other methods of financing, i.e. public/private partnerships, etc.? If yes, give some examples.
ILLDOT	A20	yes, some Chicago bus route operating costs are partially funded by private companies
ILLDOT	Q21	How is funding authorization tracked?
ILLDOT	A21	using the state's urban transit database which is maintained by the DOT
ILLDOT	Q22	How are funding projections made? Who makes them?
ILLDOT	A22	Local transit agencies make the projections based on state Bureau of Budget projections of sales tax. For capital projects, assume state match will be available which is true for typical replacement projects
ILLDOT	Q23	Do you have any problems making 20 year funding projections? How about 10 year projections? 5 year projections? 3 year projections? What types of problems do you encounter in making each of these projections?
ILLDOT	A23	No, except normal uncertainty problems associated with forecasts
ILLDOT	Q24	How are transportation projects identified under the Clean Air Act? Who identifies these projects? What action is taken once a project has been identified?
ILLDOT	A24	Identified by transit operators and forwarded to MPO, once a project has been identified, an MPO-organized CMAQ committee prioritizes the project based on potential improvement to air quality and then programs funding
ILLDOT	Q25	Is it your practice to transfer federal funds between projects? If yes, how is it done. If no, is there any reason why funds are not transferred between projects?
ILLDOT	A25	Yes, excess funds on one project are transferred to another project which lacks adequate funding.
ILLDOT	Q26	Are federal highway funds reallocated to transit? If so, are they used for transit improvements? Are they used for operating expenses? If not, are there any spending restrictions?
ILLDOT	A26	yes, yes, no due to ISTEA regulations and state policies

ILLDOT	Q27	Is it your practice to transfer state funds between projects? If yes, how is it done. If no, is there any reason why funds are not transferred between projects?
ILLDOT	A27	For downstate areas, the programming is based on needs for each year and progress made ineach project. State funds for Chicago remain in the area.
ILLDOT	Q28	Are state highway funds reallocated to transit? If so, are they used for transit improvements? Are they used for operating expenses? If not, are there any spending restrictions?
ILLDOT	A28	no, due to state policy
ILLDOT	Q29	In preparing the STIP (Statewide Transportation Improvement Program), does the state identify strategies for ensuring the availability of proposed funding sources? If not, is there a reason?
ILLDOT	A29	No, ILLDOT assumes that the local areas have been reasonable in their assumptions.

Financial Constraint Procedures

ILLDOT	Q30	How do you demonstrate that each project is either standalone or is programmed into useable pieces?
ILLDOT	A30	This is an output of the MIS developoment process.
ILLDOT	Q31	How do you determine the source of funding for each project, i.e. state, federal, local? (How do establish the funding category for each project?)
ILLDOT	A31	This is done at the local level based on available funding and the area's priorities.
ILLDOT	Q32	Do you transfer project funds between funding categories? If not, why not?
ILLDOT	A32	Yes
ILLDOT	Q33	In developing programs, how are transit projects required under the Clean Air Act handled?
ILLDOT	A33	Given highest priority
ILLDOT	Q34	In developing programs, is there an evaluation process to determine which projects are included? Is so, are the projects ranked in order of importance or is it done in some other way?
ILLDOT	A34	Yes, ranked in order of importance
ILLDOT	Q35	When funds have been allocated for a specific project and that project is not ready to go, how is the money reallocated: Is the reallocation based on a project selection evaluation process, i.e. prioritized list, or is it reallocated to whatever project is ready to go? Is the effected MPO and transit agency notified of the diversion of funds?
ILLDOT	A35	In Chicago, the local planning process handles this problem, usually relying on the priorities set by the transit agencies. For other areas, discussions are held with the affected agencies before changes are made. The reallocation is based on replacement needs.
ILLDOT	Q36	In preparing the TIP, is the project selection limited by available funding? (financially constrained) If not, is there a reason?
ILLDOT	A36	Yes
ILLDOT	Q37	Is the STIP (Statewide Transportation Plan) financially constrained, (limited by available funding), by year and does it include adequate financial information to demonstrate which projects are to be implemented using current revenues and which projects are to be implemented using proposed revenue sources while the system as a whole is being adequately operated and maintained?
ILLDOT	A37	Yes, absolutely!

Estimating Costs (Maintenance/Operating Costs, Project Costs)

ILLDOT	Q38	Are standard cost estimation methodologies used at the state, MPO, and transit agency levels for projects?
ILLDOT	A38	No
ILLDOT	Q39	Are projected operating and maintenance costs based on current service levels or are they based on current and projected service levels, i.e. Do they include costs for projected service expansion in growth areas?
ILLDOT	A39	Generally, current and projected, however, this is not a big concern in most areas.

Agency Cooperation

ILLDOT	Q40	Is the agency responsible for carrying out each project identified? How is the lead agency established? Is it program or project based? How often does it change?
ILLDOT	A40	Yes, project based, and it does not change
ILLDOT	Q41	Is financial planning information for transit projects coordinated at the state, MPO, and transit agency levels? If not, is there a reason?
ILLDOT	A41	Yes
ILLDOT	Q42	Do MPOs and transit agencies get timely and reliable information about future availability of state and federal funds from the state DOT? How often? What level of detail?
ILLDOT	A42	For Chicago, they get periodic updates from the state Bureau of the Budget. For other areas, the ILLDOT Financial Budget Office provides information, at least quarterly, at the project level
ILLDOT	Q43	Do MPOs and transit agencies get timely and reliable information from the DOT concerning the ranking of their projects and prospects for funding?
ILLDOT	A43	Yes
ILLDOT	Q44	Is it difficult to integrate TIPs, generated by each MPO, with the long range STP (Statewide Transportation Plan)? If yes, what types of problems are encoutered?
ILLDOT	A44	No
ILLDOT	Q45	Do the MPO's have any influence in state funding allocation decisions? If yes, how much?
ILLDOT	A45	Yes, but very little. It depends on how the state legislature appropriates funding
ILLDOT	Q46	Has the state issued guidelines to MPOs for preparing MIS (Major Investment Studies)? If yes, what kind of guidlines and at what level of detail?
ILLDOT	A46	No

DOT Draft Questions (ISTEA = Intermodal Surface Transportation Efficiency Act of 1991)
Agency Level: DOT
Agency: PennDot
Contact: Tom Kotay Title: Division Chief Department: Transportation
Interview Date: 9/25/97 Conducted by: Joel Cutler

Characteristics:
DOT size: 10 MPOs plus 5 TMAs

Comments: Pennsylvania is very progressive in their implementation of ISTEA regulations as they apply to transit financial planning. There seems to be good communication and all levels work together as a team. Tom Kotay was very knowledgeable.

Procedural/Planning

PennDot	Q1	What role does your agency play in the financial planning aspects of transit projects as they relate to the following FTA requirements: MIS, SIP, STIP, LRP, STP, TIP?
PennDot	A1	MIS-provide guidance to the MPOs and transit agencies SIP-perform air quality conformity analyses along with the MPOs STIP-MPOs & rural planning agencies work w/DOT to develop the STIP every 2 years LRP work w/FHWA and FTA on financial guidance, work w/each MPO to develop the LRP STP develop plan in conjunction w/statewide advisory committee TIP Provide MPO w/financial guidance, negotiate programs w/MPOs
PennDot	Q2	Do you have the ability to initiate projects?
PennDot	A2	yes
PennDotPenn Dot	Q3	Which, if any, of the ISTEA financial planning requirements do you take lead responsibility?
PennDot	A3	STIP STP
PennDot	Q4	Which, if any, of the ISTEA financial planning requirements do you take support responsibility?
PennDot	A4	MIS SIP LRP TIP
PennDot	Q5	How is lead and support responsibility established?
PennDot	A5	by the DOT
PennDot	Q6	Do you have any suggestions for improving the ISTEA financial planning requirements?
PennDot	A6	Financial constraint requirement is too restrictive. Need ability to over program due to unforeseen problems w/project implementation
PennDot	Q7	Have any state guidelines been issued relative to compliance with ISTEA financial planning regulations?
PennDot	A7	yes
PennDot	Q8	Would you find guidelines for preparing ISTEA financial reports useful?
PennDot	A8	yes
PennDot	Q9	In which areas would guidelines be useful in estimating capital project expense: List of project items with unit costs? Information specifying the level of project detail required? Information to improve the accuracy of estimating project costs and funding projections?
PennDot	A9	Information to improve the accuracy of estimating project costs and funding projections would be helpful

PennDot	Q10	In which areas would guidelines be useful in estimating operations and maintenance (O & M) expense: List of unit costs? Information specifying the level of costing detail required? Information to improve the accuracy of estimating operations and maintenance costs?
PennDot	A10	guidance in all of these categories would be helpful
PennDot	Q11	When developing programs, are highway and transit projects separate? If yes, is there any reason why they're not combined?
PennDot	A11	no

Funding/Financing Issues

PennDot	Q12	What are your primary sources of transit revenue for transit improvements ?
PennDot	A12	farebox, vehicle advertising
PennDot	Q13	What are your primary sources of transit revenue for operating and maintenance costs?
PennDot	A13	farebox, vehicle advertising
PennDot	Q14	What are your primary sources of local funding (governmental) for transit improvements?
PennDot	A14	local sales tax
PennDot	Q15	What are your primary sources of local funding (governmental) for operating and maintenance costs?
PennDot	A15	county sales tax (Allegheny & Philadelphia counties)
PennDot	Q16	What are your primary sources of state funding for transit improvements?
PennDot	A16	state's general fund, state infrastructure bank (state loan program)
PennDot	Q17	What are your primary sources of state funding for operating and maintenance costs?
PennDot	A17	state's general fund
PennDot	Q18	What are your primary sources of federal funding for transit improvements?
PennDot	A18	section 3
PennDot	Q19	What are your primary sources of federal funding for operating and maintenance costs?
PennDot	A19	section 9
PennDot	Q20	In addition to traditional sources of revenue for transit projects, i.e. gas taxes, tolls, user fees, etc., have you considered other methods of financing, i.e. public/private partnerships, etc.? If yes, give some examples.
PennDot	A20	yes, The state promotes partnerships through legislation. The "Partnership Act" enables legal partnerships for infrastructure improvements. Tom couldn't remember any specific examples.
PennDot	Q21	How is funding authorization tracked?
PennDot	A21	computer database "Multimodal Project Management System"
PennDot	Q22	How are funding projections made? Who makes them?
PennDot	A22	DOT makes them based on existing federal ISTEA and state funding authorizations
PennDot	Q23	Do you have any problems making 20 year funding projections? How about 10 year projections? 5 year projections? 3 year projections? What types of problems do you encounter in making each of these projections?
PennDot	A23	no problems with any projections. The DOT simply extrapolates existing authorization levels out 3, 5, 10, or 20 years.
PennDot	Q24	How are transportation projects identified under the Clean Air Act? Who identifies these projects? What action is taken once a project has been identified?
PennDot	A24	A consensus of DOT and partner agencies, i.e. MPO, transit agency, etc. identify clean air projects; Air quality conformity is not the driving force to insure a project gets to the top of the list. Other factors such as maintenance of existing infrastructure and safety take precedence.
PennDot	Q25	Is it your practice to transfer federal funds between projects? If yes, how is it done. If no, is there any reason why funds are not transferred between projects?
PennDot	A25	yes, through TIP and STIP administrative procedures

PennDot	Q26	Are federal highway funds reallocated to transit? If so, are they used for transit improvements? Are they used for operating expenses? If not, are there any spending restrictions?
PennDot	A26	yes, they're used for transit improvements and operating expenses
PennDot	Q27	Is it your practice to transfer state funds between projects? If yes, how is it done. If no, is there any reason why funds are not transferred between projects?
PennDot	A27	yes, with the approval of the Bureau of Public Transit
PennDot	Q28	Are state highway funds reallocated to transit? If so, are they used for transit improvements? Are they used for operating expenses? If not, are there any spending restrictions?
PennDot	A28	prohibited by state law, only General Funds can be transferred
PennDot	Q29	In preparing the STIP (Statewide Transportation Improvement Program), does the state identify strategies for ensuring the availability of proposed funding sources? If not, is there a reason?
PennDot	A29	yes

Financial Constraint Procedures

PennDot	Q30	How do you demonstrate that each project is either standalone or is programmed into useable pieces?
PennDot	A30	The sponsoring agency must prove to the DOT that the project can stand alone.
PennDot	Q31	How do you determine the source of funding for each project, i.e. state, federal, local? (How do you establish the funding category for each project?)
PennDot	A31	through a consensus of the DOT and partnering agencies, i.e. MPO, transit operators, etc.
PennDot	Q32	Do you transfer project funds between funding categories? If not, why not?
PennDot	A32	yes
PennDot	Q33	In developing programs, how are transit projects required under the Clean Air Act handled?
PennDot	A33	Each project is evaluated based on air quality as well as other factors deemed critical to the evaluation process i.e. maintain & preserve infrastructure, safety, etc.
PennDot	Q34	In developing programs, is there an evaluation process to determine which projects are included? Is so, are the projects ranked in order of importance or is it done in some other way?
PennDot	A34	consensus determines which projects are included, MPOs rank projects based on their perception of what is important, i.e. air quality vs infrastructure maintenance
PennDot	Q35	When funds have been allocated for a specific project and that project is not ready to go, how is the money reallocated: Is the reallocation based on a project selection evaluation process, i.e. prioritized list, or is it reallocated to whatever project is ready to go? Is the effected MPO and transit agency notified of the diversion of funds?
PennDot	A35	Some MPOs have a prioritized list, some reevaluate the entire program to determine which project is next; yes, the effected agency is notified of any transfer of funds
PennDot	Q36	In preparing the TIP, is the project selection limited by available funding? (financially constrained) If not, is there a reason?
PennDot	A36	yes

PennDot	Q37	Is the STIP (Statewide Transportation Plan) financially constrained, (limited by available funding), by year and does it include adequate financial information to demonstrate which projects are to be implemented using current revenues and which projects are to be implemented using proposed revenue sources while the system as a whole is being adequately operated and maintained?
PennDot	A37	yes

Estimating Costs (**Maintenance/Operating Costs, Project Costs**)

PennDot	Q38	Are standard cost estimation methodologies used at the state, MPO, and transit agency levels for projects?
PennDot	A38	yes, but they're crude
PennDot	Q39	Are projected operating and maintenance costs based on current service levels or are they based on current and projected service levels, i.e. Do they include costs for projected service expansion in growth areas?
PennDot	A39	current & projected

Agency Cooperation

PennDot	Q40	Is the agency responsible for carrying out each project identified? How is the lead agency established? Is it program or project based? How often does it change?
PennDot	A40	yes, project based, doesn't change
PennDot	Q41	Is financial planning information for transit projects coordinated at the state, MPO, and transit agency levels? If not, is there a reason?
PennDot	A41	yes
PennDot	Q42	Do MPOs and transit agencies get timely and reliable information about future availability of state and federal funds from the state DOT? How often? What level of detail?
PennDot	A42	yes, through the Multi Modal Project Management System, real time, all project details
PennDot	Q43	Do MPOs and transit agencies get timely and reliable information from the DOT concerning the ranking of their projects and prospects for funding?
PennDot	A43	yes
PennDot	Q44	Is it difficult to integrate TIPs, generated by each MPO, with the long range STP (Statewide Transportation Plan)? If yes, what types of problems are encountered?
PennDot	A44	no
PennDot	Q45	Do the MPO's have any influence in state funding allocation decisions? If yes, how much?
PennDot	A45	yes, MPOs and transit agencies work with the DOT to allocate state and federal funding
PennDot	Q46	Has the state issued guidelines to MPOs for preparing MIS (Major Investment Studies)? If yes, what kind of guidelines and at what level of detail?
PennDot	A46	yes, 20 page document that runs the gamut from project identification to project implementation

DOT Draft Questions (ISTEA = Intermodal Surface Transportation Efficiency Act of 1991)
Agency Level: DOT
Agency: Wisconsin DOT
Contact: Dick Martin Title: Urban Transit Program Manager
Department: Bureau of Transit & Local Roads
Interview Date: 9/30/97 Conducted by: Joel G. Cutler

Characteristics:
Non Attainment Area: Y/N Y Southeastern Wisconsin Regional Planning Commission, Bay Lake Regional Planning Commission MPO (2 MPOs)

Comments: Wisconsin DOT still controlled by highway personnel.

Procedural/Planning

WiscDOT	Q1	What role does your agency play in the financial planning aspects of transit projects as they relate to the following FTA requirements: MIS, SIP, STIP, LRP, STP, TIP?
WiscDOT	A1	MIS - monitor & review work carried out at MPO level SIP - produced by state Dept of Natural Resources (some info supplied by MPO), DOT reviews & approves STIP - developed by DOT LRP - reviewed and approved by DOT STP - developed by DOT TIP - reviewed and approved by DOT
WiscDOT	Q2	Do you have the ability to initiate projects?
WiscDOT	A2	yes
WiscDOT	Q3	Which, if any, of the ISTEA financial planning requirements do you take lead responsibility?
WiscDOT	A3	STIP, STP,
WiscDOT	Q4	Which, if any, of the ISTEA financial planning requirements do you take support responsibility?
WiscDOT	A4	MIS, SIP, LRP, TIP
WiscDOT	Q5	How is lead and support responsibility established?
WiscDOT	A5	by state statue & administrative rule as developed by DOT and approved by the state legislature
WiscDOT	Q6	Do you have any suggestions for improving the ISTEA financial planning requirements?
WiscDOT	A6	no
WiscDOT	Q7	Have any state guidelines been issued relative to compliance with ISTEA financial planning regulations?
WiscDOT	A7	yes, guidelines to MPOs on TIP and LRP preparation
WiscDOT	Q8	Would you find guidelines for preparing ISTEA financial reports useful?
WiscDOT	A8	yes
WiscDOT	Q9	In which areas would guidelines be useful in estimating capital project expense: List of project items with unit costs? Information specifying the level of project detail required? Information to improve the accuracy of estimating project costs and funding projections?
WiscDOT	A9	info specifying the level of project detail required would be helpful

WiscDOT	Q10	In which areas would guidelines be useful in estimating operations and maintenance (O & M) expense: List of unit costs? Information specifying the level of costing detail required? Information to improve the accuracy of estimating operations and maintenance costs?
WiscDOT	A10	info specifying the level of costing detail required would be helpful
WiscDOT	Q11	When developing programs, are highway and transit projects separate? If yes, is there any reason why they're not combined?
WiscDOT	A11	yes, DOT is still guided by highway people, not transit people

Funding/Financing Issues

WiscDOT	Q12	What are your primary sources of transit revenue for transit improvements ?
WiscDOT	A12	none
WiscDOT	Q13	What are your primary sources of transit revenue for operating and maintenance costs?
WiscDOT	A13	farebox
WiscDOT	Q14	What are your primary sources of local funding (governmental) for transit improvements?
WiscDOT	A14	property tax
WiscDOT	Q15	What are your primary sources of local funding (governmental) for operating and maintenance costs?
WiscDOT	A15	property tax
WiscDOT	Q16	What are your primary sources of state funding for transit improvements?
WiscDOT	A16	none
WiscDOT	Q17	What are your primary sources of state funding for operating and maintenance costs?
WiscDOT	A17	gas tax & vehicle registration fees (approx 50% of total oper. & mtc. costs)
WiscDOT	Q18	What are your primary sources of federal funding for transit improvements?
WiscDOT	A18	sections 9 & 18 (fed. oper. & capital assist to small urban& rural areas), section 3, FHWA Surface Transport Program-Discretionary, FHWA CMAQ Congestion Mitigation Air Quality funds for service improvements in non-attainment areas
WiscDOT	Q19	What are your primary sources of federal funding for operating and maintenance costs?
WiscDOT	A19	sections 9 & 18 (fed. oper. & capital assist to small urban& rural areas)
WiscDOT	Q20	In addition to traditional sources of revenue for transit projects, i.e. gas taxes, tolls, user fees, etc., have you considered other methods of financing, i.e. public/private partnerships, etc.? If yes, give some examples.
WiscDOT	A20	yes, some bus route operating costs are partially funded by private companies
WiscDOT	Q21	How is funding authorization tracked?
WiscDOT	A21	using the state's urban transit database which is maintained by the DOT
WiscDOT	Q22	How are funding projections made? Who makes them?
WiscDOT	A22	local transit agencies make the projections based on historical & projected funding levels, reviewed and approved by DOT
WiscDOT	Q23	Do you have any problems making 20 year funding projections? How about 10 year projections? 5 year projections? 3 year projections? What types of problems do you encounter in making each of these projections?
WiscDOT	A23	yes, beyond 5 years is problematic due to the inability to project local funding sources
WiscDOT	Q24	How are transportation projects identified under the Clean Air Act? Who identifies these projects? What action is taken once a project has been identified?
WiscDOT	A24	identified by transit operators and forwarded to MPO, once a project has been identified, the MPO prioritizes the project based on potential improvement to air quality and then programs funding
WiscDOT	Q25	Is it your practice to transfer federal funds between projects? If yes, how is it done. If no, is there any reason why funds are not transferred between projects?
WiscDOT	A25	yes, excess funds on one project are transferred to another project which lacks adequate funding
WiscDOT	Q26	Are federal highway funds reallocated to transit? If so, are they used for transit improvements? Are they used for operating expenses? If not, are there any spending restrictions?
WiscDOT	A26	yes, yes, no due to ISTEA regulations and state policies

WiscDOT	Q27	Is it your practice to transfer state funds between projects? If yes, how is it done. If no, is there any reason why funds are not transferred between projects?
WiscDOT	A27	no state funds for transit improvements
WiscDOT	Q28	Are state highway funds reallocated to transit? If so, are they used for transit improvements? Are they used for operating expenses? If not, are there any spending restrictions?
WiscDOT	A28	no, due to state policy
WiscDOT	Q29	In preparing the STIP (Statewide Transportation Improvement Program), does the state identify strategies for ensuring the availability of proposed funding sources? If not, is there a reason?
WiscDOT	A29	yes

Financial Constraint Procedures

WiscDOT	Q30	How do you demonstrate that each project is either standalone or is programmed into useable pieces?
WiscDOT	A30	MIS projects, sponsored by the MPO, are reviewed and approved at the state level
WiscDOT	Q31	How do you determine the source of funding for each project, i.e. state, federal, local? (How do establish the funding category for each project?)
WiscDOT	A31	go first to federal, remainder is financed through local property tax
WiscDOT	Q32	Do you transfer project funds between funding categories? If not, why not?
WiscDOT	A32	yes
WiscDOT	Q33	In developing programs, how are transit projects required under the Clean Air Act handled?
WiscDOT	A33	given highest priority
WiscDOT	Q34	In developing programs, is there an evaluation process to determine which projects are included? Is so, are the projects ranked in order of importance or is it done in some other way?
WiscDOT	A34	yes, ranked in order of importance
WiscDOT	Q35	When funds have been allocated for a specific project and that project is not ready to go, how is the money reallocated: Is the reallocation based on a project selection evaluation process, i.e. prioritized list, or is it reallocated to whatever project is ready to go? Is the effected MPO and transit agency notified of the diversion of funds?
WiscDOT	A35	based on prioritized list, yes - the MPO & the transit agency are notified
WiscDOT	Q36	In preparing the TIP, is the project selection limited by available funding? (financially constrained) If not, is there a reason?
WiscDOT	A36	yes
WiscDOT	Q37	Is the STIP (Statewide Transportation Plan) financially constrained, (limited by available funding), by year and does it include adequate financial information to demonstrate which projects are to be implemented using current revenues and which projects are to be implemented using proposed revenue sources while the system as a whole is being adequately operated and maintained?
WiscDOT	A37	yes

Estimating Costs (Maintenance/Operating Costs, Project Costs)

WiscDOT	Q38	Are standard cost estimation methodologies used at the state, MPO, and transit agency levels for projects?
WiscDOT	A38	yes

WiscDOT	Q39	Are projected operating and maintenance costs based on current service levels or are they based on current and projected service levels, i.e. Do they include costs for projected service expansion in growth areas?
WiscDOT	A39	current & projected

Agency Cooperation

WiscDOT	Q40	Is the agency responsible for carrying out each project identified? How is the lead agency established? Is it program or project based? How often does it change?
WiscDOT	A40	yes, project based, it doesn't change
WiscDOT	Q41	Is financial planning information for transit projects coordinated at the state, MPO, and transit agency levels? If not, is there a reason?
WiscDOT	A41	yes
WiscDOT	Q42	Do MPOs and transit agencies get timely and reliable information about future availability of state and federal funds from the state DOT? How often? What level of detail?
WiscDOT	A42	yes, at least quarterly, at the project level
WiscDOT	Q43	Do MPOs and transit agencies get timely and reliable information from the DOT concerning the ranking of their projects and prospects for funding?
WiscDOT	A43	yes
WiscDOT	Q44	Is it difficult to integrate TIPs, generated by each MPO, with the long range STP (Statewide Transportation Plan)? If yes, what types of problems are encoutered?
WiscDOT	A44	no
WiscDOT	Q45	Do the MPO's have any influence in state funding allocation decisions? If yes, how much?
WiscDOT	A45	yes, very little; depends on how the state legislature allocates funding
WiscDOT	Q46	Has the state issued guidelines to MPOs for preparing MIS (Major Investment Studies)? If yes, what kind of guidlines and at what level of detail?
WiscDOT	A46	no

DOT Draft Questions (ISTEA = Intermodal Surface Transportation Efficiency Act of 1991)
Agency Level: DOT
Agency: Georgia DOT
Contact: Steve Kish Title: Manager of Transit Planning & Development
Department: Office of Intermodal Programs
Interview Date: 10/7/97 Conducted by: Joel G. Cutler

Characteristics of Transit Authority:
Metropolitan Area: Y/N Y Population: >200,000: Y/N Y
Non Attainment Area: Y/N Y

Comments: The MPOs and transit agencies do transit planning with little input from the state. Highway and transit projects are still not integrated at the state level.

Procedural/Planning

DOT-GA	Q1	What role does your agency play in the financial planning aspects of transit projects as they relate to the following FTA requirements: MIS, SIP, STIP, LRP, STP, TIP?
DOT-GA	A1	MIS - participate & oversight SIP - review & oversight STIP - prepare transit component LRP - review & oversight STP - develop transit component TIP - review & oversight
DOT-GA	Q2	Do you have the ability to initiate projects?
DOT-GA	A2	yes, however most projects initiated by transit agency
DOT-GA	Q3	Which, if any, of the ISTEA financial planning requirements do you take lead responsibility?
DOT-GA	A3	STIP, STP
DOT-GA	Q4	Which, if any, of the ISTEA financial planning requirements do you take support responsibility?
DOT-GA	A4	MIS, SIP, LRP, TIP
DOT-GA	Q5	How is lead and support responsibility established?
DOT-GA	A5	federal statutes by inference
DOT-GA	Q6	Do you have any suggestions for improving the ISTEA financial planning requirements?
DOT-GA	A6	yes, provide guidelines on the preparation and format of STIP
DOT-GA	Q7	Have any state guidelines been issued relative to compliance with ISTEA financial planning regulations?
DOT-GA	A7	no
DOT-GA	Q8	Would you find guidelines for preparing ISTEA financial reports useful?
DOT-GA	A8	yes
DOT-GA	Q9	In which areas would guidelines be useful in estimating capital project expense: List of project items with unit costs? Information specifying the level of project detail required? Information to improve the accuracy of estimating project costs and funding projections?
DOT-GA	A9	information specifying the level of detail required
DOT-GA	Q10	In which areas would guidelines be useful in estimating operations and maintenance (O & M) expense: List of unit costs? Information specifying the level of costing detail required? Information to improve the accuracy of estimating operations and maintenance costs?
DOT-GA	A10	information specifying the level of detail required

DOT-GA	Q11	When developing programs, are highway and transit projects separate? If yes, is there any reason why they're not combined?
DOT-GA	A11	yes, highway interests still control the DOT

Funding/Financing Issues

DOT-GA	Q12	What are your primary sources of transit revenue for transit improvements ?
DOT-GA	A12	none
DOT-GA	Q13	What are your primary sources of transit revenue for operating and maintenance costs?
DOT-GA	A13	farebox, advertising revenue
DOT-GA	Q14	What are your primary sources of local funding (governmental) for transit improvements?
DOT-GA	A14	local general revenues, county sales tax (Fulton, DeKalb), transit district property tax (Savannah)
DOT-GA	Q15	What are your primary sources of local funding (governmental) for operating and maintenance costs?
DOT-GA	A15	county sales tax (Fulton, DeKalb), transit district property tax (Savannah)
DOT-GA	Q16	What are your primary sources of state funding for transit improvements?
DOT-GA	A16	state general revenues
DOT-GA	Q17	What are your primary sources of state funding for operating and maintenance costs?
DOT-GA	A17	none
DOT-GA	Q18	What are your primary sources of federal funding for transit improvements?
DOT-GA	A18	sections 3 & 9, section 18 for rural transit programs, section 16 for elderly & disabled transit programs
DOT-GA	Q19	What are your primary sources of federal funding for operating and maintenance costs?
DOT-GA	A19	section 9
DOT-GA	Q20	In addition to traditional sources of revenue for transit projects, i.e. gas taxes, tolls, user fees, etc., have you considered other methods of financing, i.e. public/private partnerships, etc.? If yes, give some examples.
DOT-GA	A20	no
DOT-GA	Q21	How is funding authorization tracked?
DOT-GA	A21	through accounting (financial & contracting unit)
DOT-GA	Q22	How are funding projections made? Who makes them?
DOT-GA	A22	made jointly at MPO level with transit agency
DOT-GA	Q23	Do you have any problems making 20 year funding projections? How about 10 year projections? 5 year projections? 3 year projections? What types of problems do you encounter in making each of these projections?
DOT-GA	A23	no
DOT-GA	Q24	How are transportation projects identified under the Clean Air Act? Who identifies these projects? What action is taken once a project has been identified?
DOT-GA	A24	identified by participating counties & transit agencies, given higher priority in TIP process
DOT-GA	Q25	Is it your practice to transfer federal funds between projects? If yes, how is it done. If no, is there any reason why funds are not transferred between projects?
DOT-GA	A25	yes, at MPO level
DOT-GA	Q26	Are federal highway funds reallocated to transit? If so, are they used for transit improvements? Are they used for operating expenses? If not, are there any spending restrictions?
DOT-GA	A26	no, no spending restrictions
DOT-GA	Q27	Is it your practice to transfer state funds between projects? If yes, how is it done. If no, is there any reason why funds are not transferred between projects?
DOT-GA	A27	yes, 1 category of state funding for transit projects can be used for any projects

DOT-GA	Q28	Are state highway funds reallocated to transit? If so, are they used for transit improvements? Are they used for operating expenses? If not, are there any spending restrictions?
DOT-GA	A28	no, gas tax money can only be used for highways & bridges
DOT-GA	Q29	In preparing the STIP (Statewide Transportation Improvement Program), does the state identify strategies for ensuring the availability of proposed funding sources? If not, is there a reason?
DOT-GA	A29	no, STIP is constrained using existing & projected resources

Financial Constraint Procedures

DOT-GA	Q30	How do you demonstrate that each project is either standalone or is programmed into useable pieces?
DOT-GA	A30	done at the MPO level
DOT-GA	Q31	How do you determine the source of funding for each project, i.e. state, federal, local? (How do establish the funding category for each project?)
DOT-GA	A31	done at the MPO level
DOT-GA	Q32	Do you transfer project funds between funding categories? If not, why not?
DOT-GA	A32	no, money is allocated on a project by project basis
DOT-GA	Q33	In developing programs, how are transit projects required under the Clean Air Act handled?
DOT-GA	A33	done at the MPO & transit agency levels
DOT-GA	Q34	In developing programs, is there an evaluation process to determine which projects are included? Is so, are the projects ranked in order of importance or is it done in some other way?
DOT-GA	A34	yes, MPOs rank projects in order of importance
DOT-GA	Q35	When funds have been allocated for a specific project and that project is not ready to go, how is the money reallocated: Is the reallocation based on a project selection evaluation process, i.e. prioritized list, or is it reallocated to whatever project is ready to go? Is the effected MPO and transit agency notified of the diversion of funds?
DOT-GA	A35	yes, MPO reallocates funding based on whatever project is ready to go
DOT-GA	Q36	In preparing the TIP, is the project selection limited by available funding? (financially constrained) If not, is there a reason?
DOT-GA	A36	yes
DOT-GA	Q37	Is the STIP (Statewide Transportation Plan) financially constrained, (limited by available funding), by year and does it include adequate financial information to demonstrate which projects are to be implemented using current revenues and which projects are to be implemented using proposed revenue sources while the system as a whole is being adequately operated and maintained?
DOT-GA	A37	yes

Estimating Costs **(Maintenance/Operating Costs, Project Costs)**

DOT-GA	Q38	Are standard cost estimation methodologies used at the state, MPO, and transit agency levels for projects?
DOT-GA	A38	no
DOT-GA	Q39	Are projected operating and maintenance costs based on current service levels or are they based on current and projected service levels, i.e. Do they include costs for projected service expansion in growth areas?
DOT-GA	A39	current & projected

Agency Cooperation

DOT-GA	Q40	Is the agency responsible for carrying out each project identified? How is the lead agency established? Is it program or project based? How often does it change?
DOT-GA	A40	yes, lead agency is project based, doesn't change
DOT-GA	Q41	Is financial planning information for transit projects coordinated at the state, MPO, and transit agency levels? If not, is there a reason?
DOT-GA	A41	yes
DOT-GA	Q42	Do MPOs and transit agencies get timely and reliable information about future availability of state and federal funds from the state DOT? How often? What level of detail?
DOT-GA	A42	yes, as needed, at the city level
DOT-GA	Q43	Do MPOs and transit agencies get timely and reliable information from the DOT concerning the ranking of their projects and prospects for funding?
DOT-GA	A43	yes
DOT-GA	Q44	Is it difficult to integrate TIPs, generated by each MPO, with the long range STP (Statewide Transportation Plan)? If yes, what types of problems are encoutered?
DOT-GA	A44	no
DOT-GA	Q45	Do the MPO's have any influence in state funding allocation decisions? If yes, how much?
DOT-GA	A45	not much influence
DOT-GA	Q46	Has the state issued guidelines to MPOs for preparing MIS (Major Investment Studies)? If yes, what kind of guidelines and at what level of detail?
DOT-GA	A46	no

MPO Draft Questions (ISTEA = Intermodal Surface Transportation Efficiency Act of 1991)
Agency Level: MPO
Agency: Southeastern Wisconsin Regional Planning Commission
Contact:Ken Yunker Title: Asst. Director for Agency Department: N/A
Interview Date: 9/30/97 Conducted by: Joel G. Cutler

Characteristics of Transit Authority:
Size of Urban Area: 1.8 million (Milwaukee (1.4mil), Racine <100K, Kenosha <100 k)
Number of Vehicles: approx 650 buses
Metropolitan Area: Y/N Y Population >200,000: Y/N Y
Non Attainment Area: Y/N Y (severe non attainment for ozone)

Comments: Ken Yunker was very abrasive.

Procedural/Planning

Milwaukee MPO	Q1	What role does your agency play in the financial planning aspects of transit projects as they relate to the following FTA requirements: MIS, SIP, STIP, LRP, STP, TIP?
Milwaukee MPO	A1	MIS - partipant w/ridership forecasting, sometimes lead SIP - provide tranportation emission forecasting and transportation control measure evaluation for state Dept of Natural Resources (lead agency) STIP - incorportates TIP LRP - developed by MPO in conjunction w/input from other agencies and interested parties STP - participate through advisory committee TIP - prepared by MPO w/implementing agencies selecting and initiating projects consistent w/regional plan
Milwaukee MPO	Q2	Do you have the ability to initiate projects?
Milwaukee MPO	A2	no, MPO is a planning agency
Milwaukee MPO	Q3	Which, if any, of the ISTEA financial planning requirements do you take lead responsibility?
Milwaukee MPO	A3	TIP, LRP, sometime MIS
Milwaukee MPO	Q4	Which, if any, of the ISTEA financial planning requirements do you take support responsibility?
Milwaukee MPO	A4	MIS, STP, STIP, SIP
Milwaukee MPO	Q5	How is lead and support responsibility established?
Milwaukee MPO	A5	through inference based on federal legislation
Milwaukee MPO	Q6	Do you have any suggestions for improving the ISTEA financial planning requirements?
Milwaukee MPO	A6	no
Milwaukee MPO	Q7	Have any state guidelines been issued relative to compliance with ISTEA financial planning regulations?
Milwaukee MPO	A7	no
Milwaukee MPO	Q8	Would you find guidelines for preparing ISTEA financial reports useful?

Milwaukee MPO	A8	possibly
Milwaukee MPO	Q9	In which areas would guidelines be useful in estimating capital project expense: List of project items with unit costs? Information specifying the level of project detail required? Information to improve the accuracy of estimating project costs and funding projections?
Milwaukee MPO	A9	all of the above would be helpful
Milwaukee MPO	Q10	In which areas would guidelines be useful in estimating operations and maintenance (O & M) expense: List of unit costs? Information specifying the level of costing detail required? Information to improve the accuracy of estimating operations and maintenance costs?
Milwaukee MPO	A10	all of the above would be helpful
Milwaukee MPO	Q11	When developing programs, are highway and transit projects separate? If yes, is there any reason why they're not combined?
Milwaukee MPO	A11	no

Funding/Financing Issues

Milwaukee MPO	Q12	What are your primary sources of transit revenue for transit improvements ?
Milwaukee MPO	A12	none
Milwaukee MPO	Q13	What are your primary sources of transit revenue for operating and maintenance costs?
Milwaukee MPO	A13	farebox
Milwaukee MPO	Q14	What are your primary sources of local funding (governmental) for transit improvements?
Milwaukee MPO	A14	local property tax (Milwaukee, Waukesha, Racine, Kenosha)
Milwaukee MPO	Q15	What are your primary sources of local funding (governmental) for operating and maintenance costs?
Milwaukee MPO	A15	local property tax (Milwaukee, Waukesha, Racine, Kenosha)
Milwaukee MPO	Q16	What are your primary sources of state funding for transit improvements?
Milwaukee MPO	A16	none
Milwaukee MPO	Q17	What are your primary sources of state funding for operating and maintenance costs?
Milwaukee MPO	A17	state gas tax (45% of O&M costs)
Milwaukee MPO	Q18	What are your primary sources of federal funding for transit improvements?
Milwaukee MPO	A18	section 5309 (old section 3), section 5307 (old section 9), FHWA Surface Transportation Program (STP) & Congestion Mitigation Air Quality (CMAQ) funding
Milwaukee MPO	Q19	What are your primary sources of federal funding for operating and maintenance costs?
Milwaukee MPO	A19	federal formula funds (section 9)
Milwaukee MPO	Q20	In addition to traditional sources of revenue for transit projects, i.e. gas taxes, tolls, user fees, etc., have you considered other methods of financing, i.e. public/private partnerships, etc.? If yes, give some examples.
Milwaukee MPO	A20	yes, employers contribute operating funds for some transit extensions
Milwaukee MPO	Q21	How is funding authorization tracked?
Milwaukee MPO	A21	operating agency sponsoring project performs tracking
Milwaukee MPO	Q22	How are funding projections made? Who makes them?
Milwaukee MPO	A22	projections are made by the MPO by extrapolating out current and historical funding authorization
Milwaukee MPO	Q23	Do you have any problems making 20 year funding projections? How about 10 year projections? 5 year projections? 3 year projections? What types of problems do you encounter in making each of these projections?
Milwaukee MPO	A23	yes, it's difficult to make any projections since Federal authorizations are not followed every year legislatively

Milwaukee MPO	Q24	How are transportation projects identified under the Clean Air Act? Who identifies these projects? What action is taken once a project has been identified?
Milwaukee MPO	A24	MPO identifies projects cooperatively with DOT and state Dept of Natural Resouces; projects are implemented once funding becomes available
Milwaukee MPO	Q25	Is it your practice to transfer federal funds between projects? If yes, how is it done. If no, is there any reason why funds are not transferred between projects?
Milwaukee MPO	A25	yes, not sure how its done at state level
Milwaukee MPO	Q26	Are federal highway funds reallocated to transit? If so, are they used for transit improvements? Are they used for operating expenses? If not, are there any spending restrictions?
Milwaukee MPO	A26	yes, yes, no only CMAQ funds can be used for operating funds
Milwaukee MPO	Q27	Is it your practice to transfer state funds between projects? If yes, how is it done. If no, is there any reason why funds are not transferred between projects?
Milwaukee MPO	A27	no, because state funds are categorized
Milwaukee MPO	Q28	Are state highway funds reallocated to transit? If so, are they used for transit improvements? Are they used for operating expenses? If not, are there any spending restrictions?
Milwaukee MPO	A28	no, because state funds are categorized

Financial Constraint Procedures

Milwaukee MPO	Q29	How do you demonstrate that each project is either standalone or is programmed into useable pieces?
Milwaukee MPO	A29	demonstrated on a project by project basis
Milwaukee MPO	Q30	How do you determine the source of funding for each project, i.e. state, federal, local? (How do establish the funding category for each project?)
Milwaukee MPO	A30	federal funds for all transit improvements
Milwaukee MPO	Q31	Do you transfer project funds between funding categories? If not, why not?
Milwaukee MPO	A31	yes, between different federal categories
Milwaukee MPO	Q32	In developing programs, how are transit projects required under the Clean Air Act handled?
Milwaukee MPO	A32	none have been identified
Milwaukee MPO	Q33	In developing programs, is there an evaluation process to determine which projects are included? Is so, are the projects ranked in order of importance or is it done in some other way?
Milwaukee MPO	A33	yes, based on funding category, projects are ranked in order of importance
Milwaukee MPO	Q34	When funds have been allocated for a specific project and that project is not ready to go, how is the money reallocated: Is the reallocation based on a project selection evaluation process, i.e. prioritized list, or is it reallocated to whatever project is ready to go? Is the effected MPO and transit agency notified of the diversion of funds?
Milwaukee MPO	A34	the reallocation is based on funding category, projects are ranked in order of importance within each category; yes, the MPO is notified

Milwaukee MPO	Q35	In preparing the TIP, is the project selection limited by available funding? (financially constrained) If not, is there a reason?
Milwaukee MPO	A35	yes

Estimating Costs (**Maintenance/Operating Costs, Project Costs**)

Milwaukee MPO	Q36	Are standard cost estimation methodologies used at the state, MPO, and transit agency levels for projects?
Milwaukee MPO	A36	no
Milwaukee MPO	Q37	Are projected operating and maintenance costs based on current service levels or are they based on current and projected service levels, i.e. Do they include costs for projected service expansion in growth areas?
Milwaukee MPO	A37	current and projected

Agency Cooperation

Milwaukee MPO	Q38	Is the agency responsible for carrying out each project identified? How is the lead agency established? Is it program or project based? How often does it change?
Milwaukee MPO	A38	yes, lead agency for transit projects is the transit operator, the lead agency doesn't change
Milwaukee MPO	Q39	Is financial planning information for transit projects coordinated at the state, MPO, and transit agency levels? If not, is there a reason?
Milwaukee MPO	A39	yes
Milwaukee MPO	Q40	Do MPOs and transit agencies get timely and reliable information about future availability of state and federal funds from the state DOT? How often? What level of detail?
Milwaukee MPO	A40	yes, as available, at whatever level of detail is required
Milwaukee MPO	Q41	Do MPOs and transit agencies get timely and reliable information from the DOT concerning the ranking of their projects and prospects for funding?
Milwaukee MPO	A41	yes
Milwaukee MPO	Q42	Is it difficult to integrate TIPs, generated by each MPO, with the long range STP (Statewide Transportation Plan)? If yes, what types of problems are encoutered?
Milwaukee MPO	A42	no
Milwaukee MPO	Q43	Do the MPO's have any influence in state funding allocation decisions? If yes, how much?
Milwaukee MPO	A43	minimal, funding allocation decisions are made by state legislature
Milwaukee MPO	Q44	Has the state issued guidelines to MPOs for preparing MIS (Major Investment Studies)? If yes, what kind of guidelines and at what level of detail?
Milwaukee MPO	A44	yes, overview guidelines provided by state

MPO Draft Questions (ISTEA = Intermodal Surface Transportation Efficiency Act of 1991)
Agency Level:
Agency: Memphis MPO
Contact: Clark Odor Title: MPO Coordinator Department: Planning
Interview Date: 9/25/97 Conducted by: Joel G. Cutler

Characteristics of Transit Authority:
Size of Urban Area: 1,000,000 (750 sq miles)
Metropolitan Area: Y/N Y Population >200,000: Y/N Y
Non Attainment Area: Y/N N (maintenance area)

Comments: None

Procedural/Planning

Memphis MPO	Q1	What role does your agency play in the financial planning aspects of transit projects as they relate to the following FTA requirements: MIS, SIP, STIP, LRP, STP, TIP?
Memphis MPO	A1	MIS - assist state and transit agency in data gathering for MIS SIP - land use and traffic modeling using computer, supply Health Dept. w/mobile source info (level of air pollutants) STIP - provide state w/TIP LRP - developed by MPO in conjunction w/transit authority STP - provide state w/LRP TIP - developed by MPO in conjunction w/transit authority
Memphis MPO	Q2	Do you have the ability to initiate projects?
Memphis MPO	A2	yes
Memphis MPO	Q3	Which, if any, of the ISTEA financial planning requirements do you take lead responsibility?
Memphis MPO	A3	LRP, TIP
Memphis MPO	Q4	Which, if any, of the ISTEA financial planning requirements do you take support responsibility?
Memphis MPO	A4	STIP, STP
Memphis MPO	Q5	How is lead and support responsibility established?
Memphis MPO	A5	dictated by state
Memphis MPO	Q6	Do you have any suggestions for improving the ISTEA financial planning requirements?
Memphis MPO	A6	eliminate projections beyond 10 years (funding projection greater than 10 years difficult to make)
Memphis MPO	Q7	Have any state guidelines been issued relative to compliance with ISTEA financial planning regulations?
Memphis MPO	A7	no
Memphis MPO	Q8	Would you find guidelines for preparing ISTEA financial reports useful?
Memphis MPO	A8	yes

Memphis MPO	Q9	In which areas would guidelines be useful in estimating capital project expense: List of project items with unit costs? Information specifying the level of project detail required? Information to improve the accuracy of estimating project costs and funding projections?
Memphis MPO	A9	n/a (no transit capital projects initiated at the MPO level)
Memphis MPO	Q10	In which areas would guidelines be useful in estimating operations and maintenance (O & M) expense: List of unit costs? Information specifying the level of costing detail required? Information to improve the accuracy of estimating operations and maintenance costs?
Memphis MPO	A10	all of the above
Memphis MPO	Q11	When developing programs, are highway and transit projects separate? If yes, is there any reason why they're not combined?
Memphis MPO	A11	no

Funding/Financing Issues

Memphis MPO	Q12	What are your primary sources of transit revenue for transit improvements ?
Memphis MPO	A12	not sure (ask the transit authority)
Memphis MPO	Q13	What are your primary sources of transit revenue for operating and maintenance costs?
Memphis MPO	A13	not sure (ask the transit authority)
Memphis MPO	Q14	What are your primary sources of local funding (governmental) for transit improvements?
Memphis MPO	A14	general funds/local
Memphis MPO	Q15	What are your primary sources of local funding (governmental) for operating and maintenance costs?
Memphis MPO	A15	general funds/local
Memphis MPO	Q16	What are your primary sources of state funding for transit improvements?
Memphis MPO	A16	state general fund
Memphis MPO	Q17	What are your primary sources of state funding for operating and maintenance costs?
Memphis MPO	A17	state general fund
Memphis MPO	Q18	What are your primary sources of federal funding for transit improvements?
Memphis MPO	A18	sections 3, 9; demo funds
Memphis MPO	Q19	What are your primary sources of federal funding for operating and maintenance costs?
Memphis MPO	A19	section 9
Memphis MPO	Q20	In addition to traditional sources of revenue for transit projects, i.e. gas taxes, tolls, user fees, etc., have you considered other methods of financing, i.e. public/private partnerships, etc.? If yes, give some examples.
Memphis MPO	A20	yes, joint construction at stations
Memphis MPO.	Q21	How is funding authorization tracked?
Memphis MPO	A21	tracked through TIP and perodic status reports from the transit operator
Memphis MPO	Q22	How are funding projections made? Who makes them?
Memphis MPO	A22	extrapolate previous spending into the future, made by the MPO and transit authority
Memphis MPO	Q23	Do you have any problems making 20 year funding projections? How about 10 year projections? 5 year projections? 3 year projections? What types of problems do you encounter in making each of these projections?
Memphis MPO	A23	20 very difficult, too many assumptions, comfortable with 10, 5, & 3 year projections

Memphis MPO	Q24	How are transportation projects identified under the Clean Air Act? Who identifies these projects? What action is taken once a project has been identified?
Memphis MPO	A24	identified through SIP & congestion management plan, MPO identifies these projects, projects given high priority
Memphis MPO	Q25	Is it your practice to transfer federal funds between projects? If yes, how is it done. If no, is there any reason why funds are not transferred between projects?
Memphis MPO	A25	yes, through the TIP w/state & federal approval
Memphis MPO	Q26	Are federal highway funds reallocated to transit? If so, are they used for transit improvements? Are they used for operating expenses? If not, are there any spending restrictions?
Memphis MPO	A26	yes, they're used for both capital & O&M expenses
Memphis MPO	Q27	Is it your practice to transfer state funds between projects? If yes, how is it done. If no, is there any reason why funds are not transferred between projects?
Memphis MPO	A27	yes, between projects
Memphis MPO	Q28	Are state highway funds reallocated to transit? If so, are they used for transit improvements? Are they used for operating expenses? If not, are there any spending restrictions?
Memphis MPO	A28	no, pending legislation to enable transfer

Financial Constraint Procedures

Memphis MPO	Q29	How do you demonstrate that each project is either standalone or is programmed into useable pieces?
Memphis MPO	A29	n/a, haven't been involved in MIS projects yet
Memphis MPO	Q30	How do you determine the source of funding for each project, i.e. state, federal, local? (How do establish the funding category for each project?)
Memphis MPO	A30	state projects are handled by the DOT, work w/local officials & transit agency to determine funding source
Memphis MPO	Q31	Do you transfer project funds between funding categories? If not, why not?
Memphis MPO	A31	no, need hasn't been established
Memphis MPO	Q32	In developing programs, how are transit projects required under the Clean Air Act handled?
Memphis MPO	A32	given high priority in the TIP
Memphis MPO	Q33	In developing programs, is there an evaluation process to determine which projects are included? Is so, are the projects ranked in order of importance or is it done in some other way?
Memphis MPO	A33	yes, need financial justification & must meet air quality standards, then projects are ranked in order of importance
Memphis MPO	Q34	When funds have been allocated for a specific project and that project is not ready to go, how is the money reallocated: Is the reallocation based on a project selection evaluation process, i.e. prioritized list, or is it reallocated to whatever project is ready to go? Is the effected MPO and transit agency notified of the diversion of funds?
Memphis MPO	A34	state projects controlled by DOT, local projects would go to next project on prioritized list

Memphis MPO	Q35	In preparing the TIP, is the project selection limited by available funding? (financially constrained) If not, is there a reason?
Memphis MPO	A35	yes

Estimating Costs (Maintenance/Operating Costs, Project Costs)

Memphis MPO	Q36	Are standard cost estimation methodologies used at the state, MPO, and transit agency levels for projects?
Memphis MPO	A36	yes
Memphis MPO	Q37	Are projected operating and maintenance costs based on current service levels or are they based on current and projected service levels, i.e. Do they include costs for projected service expansion in growth areas?
Memphis MPO	A37	not sure (done at transit agency or state level)

Agency Cooperation

Memphis MPO	Q38	Is the agency responsible for carrying out each project identified? How is the lead agency established? Is it program or project based? How often does it change?
Memphis MPO	A38	yes, project based
Memphis MPO	Q39	Is financial planning information for transit projects coordinated at the state, MPO, and transit agency levels? If not, is there a reason?
Memphis MPO	A39	coordinated at the transit agency & MPO levels
Memphis MPO	Q40	Do MPOs and transit agencies get timely and reliable information about future availability of state and federal funds from the state DOT? How often? What level of detail?
Memphis MPO	A40	no
Memphis MPO	Q41	Do MPOs and transit agencies get timely and reliable information from the DOT concerning the ranking of their projects and prospects for funding?
Memphis MPO	A41	no
Memphis MPO	Q42	Is it difficult to integrate TIPs, generated by each MPO, with the long range STP (Statewide Transportation Plan)? If yes, what types of problems are encoutered?
Memphis MPO	A42	not clear how the state utilizes the TIP in their STP
Memphis MPO	Q43	Do the MPO's have any influence in state funding allocation decisions? If yes, how much?
Memphis MPO	A43	not much
Memphis MPO	Q44	Has the state issued guidelines to MPOs for preparing MIS (Major Investment Studies)? If yes, what kind of guidlines and at what level of detail?
Memphis MPO	A44	yes, general guidelines; state prepares the MIS, MPO assists

MPO Draft Questions (ISTEA = Intermodal Surface Transportation Efficiency Act of 1991)
Agency Level: MPO
Agency: Brook Hancock Jefferson Metropolitan Commission (BHJ)
Contact: Bob Gordon Title: Transport. Study Director
Department: Transportation
Interview Date: 9/25/97 Conducted by: Joel G. Cutler

Characteristics of Transit Authority:
Size of Urban Area: 145,000
Number of Vehicles: 8 vehicles-Steel Valley Transit Auth, 3 vehicles-Weirton Transit Corp
Metropolitan Area: Y/N Y Population >200,000: N
Non Attainment Area: N (maintenance area)

Comments: None

Procedural/Planning

Steubenville, OH - MPO	Q1	What role does your agency play in the financial planning aspects of transit projects as they relate to the following FTA requirements: MIS, SIP, STIP, LRP, STP, TIP?
Steubenville, OH - MPO	A1	-MIS - MPO is lead agency for highway projects, participate w/Weirton Transit & Steel Valley on transit (no MIS projects at the present time) - SIP - worked w/ODOT, WVDOT, Northern Ohio Valley Air Authority (in developing maintenance plan) - STIP & STP incorporates MPO sponsored TIP - LRP & TIP developed with local governments in coordination with ODOT and WVDOT
Steubenville, OH - MPO	Q2	Do you have the ability to initiate projects?
Steubenville, OH - MPO	A2	yes, projects developed by Policy Committee of MPO
Steubenville, OH - MPO	Q3	Which, if any, of the ISTEA financial planning requirements do you take lead responsibility?
Steubenville, OH - MPO	A3	TIP, LRP
Steubenville, OH - MPO	Q4	Which, if any, of the ISTEA financial planning requirements do you take support responsibility?
Steubenville, OH - MPO	A4	STIP, SIP, STP
Steubenville, OH - MPO	Q5	How is lead and support responsibility established?
Steubenville, OH - MPO	A5	by statute interpretation, small MPO (not TMA < 200,000)
Steubenville, OH - MPO	Q6	Do you have any suggestions for improving the ISTEA financial planning requirements?
Steubenville, OH - MPO	A6	provide ability to prepare programs that are not financially constrained, small MPO's have a very small budget (one project can exceed annual allocation)
Steubenville, OH - MPO	Q7	Have any state guidelines been issued relative to compliance with ISTEA financial planning regulations?
Steubenville, OH - MPO	A7	yes, OHDOT. TIP/STIP development guidelines (document)

Steubenville, OH - MPO	Q8	Would you find guidelines for preparing ISTEA financial reports useful?
Steubenville, OH - MPO	A8	yes
Steubenville, OH - MPO	Q9	In which areas would guidelines be useful in estimating capital project expense: List of project items with unit costs? Information specifying the level of project detail required? Information to improve the accuracy of estimating project costs and funding projections?
Steubenville, OH - MPO	A9	need all 3, ODOT guidelines not detailed
Steubenville, OH - MPO	Q10	In which areas would guidelines be useful in estimating operations and maintenance (O & M) expense: List of unit costs? Information specifying the level of costing detail required? Information to improve the accuracy of estimating operations and maintenance costs?
Steubenville, OH - MPO	A10	would like information to improve the accuracy of estimating O&M costs
Steubenville, OH - MPO	Q11	When developing programs, are highway and transit projects separate? If yes, is there any reason why they're not combined?
Steubenville, OH - MPO	A11	yes, 2 separate funding sources (FHWA) (FTA); allocations are too small to combine

Funding/Financing Issues

Steubenville, OH - MPO	Q12	What are your primary sources of transit revenue for transit improvements ?
Steubenville, OH - MPO	A12	farebox
Steubenville, OH - MPO	Q13	What are your primary sources of transit revenue for operating and maintenance costs?
Steubenville, OH - MPO	A13	farebox
Steubenville, OH - MPO	Q14	What are your primary sources of local funding (governmental) for transit improvements?
Steubenville, OH - MPO	A14	Jefferson County property assessment (Steel Valley Transit Auth.- OH) based on property value, Weirton, WV - City contribution
Steubenville, OH - MPO	Q15	What are your primary sources of local funding (governmental) for operating and maintenance costs?
Steubenville, OH - MPO	A15	Jefferson County property assessment (Steel Valley Transit Auth.- OH) based on property value, Weirton, WV - City contribution
Steubenville, OH - MPO	Q16	What are your primary sources of state funding for transit improvements?
Steubenville, OH - MPO	A16	ODOT public transport. grant, none from WV
Steubenville, OH - MPO	Q17	What are your primary sources of state funding for operating and maintenance costs?
Steubenville, OH - MPO	A17	ODOT public transport. grant, none from WV
Steubenville, OH - MPO	Q18	What are your primary sources of federal funding for transit improvements?
Steubenville, OH - MPO	A18	section 5307 funding (old section 9 formula grant - used for transit improvements and O&M costs) (2 federal grants: WV & OH)
Steubenville, OH - MPO	Q19	What are your primary sources of federal funding for operating and maintenance costs?
Steubenville, OH - MPO	A19	section 5307 funding (old section 9 formula grant - used for transit improvements and O&M costs) (2 federal grants: WV & OH)
Steubenville, OH - MPO	Q20	In addition to traditional sources of revenue for transit projects, i.e. gas taxes, tolls, user fees, etc., have you considered other methods of financing, i.e. public/private partnerships, etc.? If yes, give some examples.
Steubenville, OH - MPO	A20	no, looking to get advertising revenue from vehicles
Steubenville, OH - MPO	Q21	How is funding authorization tracked?
Steubenville, OH - MPO	A21	TIP
Steubenville, OH - MPO	Q22	How are funding projections made? Who makes them?
Steubenville, OH - MPO	A22	work with transit authorities to develop transit development plan

Steubenville, OH - MPO	Q23	Do you have any problems making 20 year funding projections? How about 10 year projections? 5 year projections? 3 year projections? What types of problems do you encounter in making each of these projections?
Steubenville, OH - MPO	A23	5,10,20: farebox & local revenue too hard to predict; 3 yr OK
Steubenville, OH - MPO	Q24	How are transportation projects identified under the Clean Air Act? Who identifies these projects? What action is taken once a project has been identified?
Steubenville, OH - MPO	A24	MPO does not have any transit related Clean Air Projects. MPO would identify projects in cooperation w/local governments and work with the state DOTs and EPA to work out a conformity plan.
Steubenville, OH - MPO	Q25	Is it your practice to transfer federal funds between projects? If yes, how is it done. If no, is there any reason why funds are not transferred between projects?
Steubenville, OH - MPO	A25	no, highway and transit funding amounts not significant
Steubenville, OH - MPO	Q26	Are federal highway funds reallocated to transit? If so, are they used for transit improvements? Are they used for operating expenses? If not, are there any spending restrictions?
Steubenville, OH - MPO	A26	no, highway and transit funding amounts not significant
Steubenville, OH - MPO	Q27	Is it your practice to transfer state funds between projects? If yes, how is it done. If no, is there any reason why funds are not transferred between projects?
Steubenville, OH - MPO	A27	no, highway and transit funding amounts not significant
Steubenville, OH - MPO	Q28	Are state highway funds reallocated to transit? If so, are they used for transit improvements? Are they used for operating expenses? If not, are there any spending restrictions?
Steubenville, OH - MPO	A28	no, state spending restrictions and funding amount not significant

Financial Constraint Procedures

Steubenville, OH - MPO	Q29	How do you demonstrate that each project is either standalone or is programmed into useable pieces?
Steubenville, OH - MPO	A29	n/a, haven't done any MIS projects
Steubenville, OH - MPO	Q30	How do you determine the source of funding for each project, i.e. state, federal, local? (How do establish the funding category for each project?)
Steubenville, OH - MPO	A30	All projects are federally funded, state matches w/20%
Steubenville, OH - MPO	Q31	Do you transfer project funds between funding categories? If not, why not?
Steubenville, OH - MPO	A31	n/a
Steubenville, OH - MPO	Q32	In developing programs, how are transit projects required under the Clean Air Act handled?
Steubenville, OH - MPO	A32	The MPO does not have any Clean Air Act projects.
Steubenville, OH - MPO	Q33	In developing programs, is there an evaluation process to determine which projects are included? Is so, are the projects ranked in order of importance or is it done in some other way?

Steubenville, OH - MPO	A33	yes, in order of importance
Steubenville, OH - MPO	Q34	When funds have been allocated for a specific project and that project is not ready to go, how is the money reallocated: Is the reallocation based on a project selection evaluation process, i.e. prioritized list, or is it reallocated to whatever project is ready to go? Is the effected MPO and transit agency notified of the diversion of funds?
Steubenville, OH - MPO	A34	whichever project is ready to go, states notify MPO of any funds transferred
Steubenville, OH - MPO	Q35	In preparing the TIP, is the project selection limited by available funding? (financially constrained) If not, is there a reason?
Steubenville, OH - MPO	A35	yes

Survey Responses at Each Planning Level by Site

AGENCY NAME	LEVEL/SO	Q/A#	QUESTION/ANSWER
		Q01	**What role does your agency play in the financial planning aspects of transit projects as they relate to the following FTA requirements: MIS, SIP, STIP, LRP, STP, TIP?**
Connecticut Department of Transportation	DOT	A01a	MIS - conducted by either MPO or DOT
Capital Region Council of Governments (Hartford, CT)	MPO	A01a	MIS - lead agency when project is in the geographic area of the MPO
Greater Hartford Transit District (Hartford, CT)	TO	A01a	MIS - lead agency on Griffin Line Project (only project, one time effort)
Massachusetts Dept. of Transportation & MBTA (transit operator)	DOT	A01a	MIS - MBTA takes the lead.
Central Transportation Planning Staff (Boston, MA)	MPO	A01a	MIS - MBTA takes lead role, CTPS provides support as requested, reviewed by MPO (not just CTPS)
North Carolina Department of Transportation	DOT	A01a	MIS - contractor for consultant (1 MIS - Chapel Hill to Durham Corridor Study)
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A01a	MIS - participant
Capital Area MPO (Raleigh, NC)	MPO	A01a	MIS - participant
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A01a	MIS - Lead agency on Triangle fixed guideway study; Support agency on Durham to Chapel Hill corridor study
Ohio Department of Transportation	DOT	A01a	MIS - Provide general guidance and review. Now preparing draft guidance.
Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A01a	MIS - Lead in most cases
Central Ohio Transit Authority (Columbus, OH)	TO	A01a	MIS - Worked jointly with MORPC on the North Corridor study. MORPC technically had the lead.
Virginia Department of Transportation	DOT	A01a	MIS - lead & support agency depending on the Sec. of Transport. currently lead on Dulles Corridor & I-66 Corridor Projects
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A01a	MIS - support agency
Peninsula Transit (Hampton, VA)	TO	A01a	MIS - major participants
Tidewater Transit (Norfolk, VA)	TO	A01a	MIS - lead agency (e.g. Norfolk-Virginia Beach corridor)
Connecticut Department of Transportation	DOT	A01b	SIP - coordinated by DEP; DOT provides input along with committee (DEP, DOT, 2 MPOs, Office of Policy & Management, FTA, FHWA, environmental groups); DOT prepares conformity reports.
Capital Region Council of Governments (Hartford, CT)	MPO	A01b	SIP - work with DEP
Greater Hartford Transit District (Hartford, CT)	TO	A01b	SIP - none
Massachusetts Dept. of Transportation & MBTA (transit operator)	DOT	A01b	SIP - EOTC usually takes the lead for determining costs.
Central Transportation Planning Staff (Boston, MA)	MPO	A01b	SIP - CTPS obtains cost estimates from MBTA, SIP projects included in LRP & CTPS insures there is sufficient funding
North Carolina Department of Transportation	DOT	A01b	SIP - participant on steering committee
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A01b	SIP - done by the state DEP ("DENR"), no involvement
Capital Area MPO (Raleigh, NC)	MPO	A01b	SIP - participant
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A01b	SIP - no involvement
Ohio Department of Transportation	DOT	A01b	SIP - No direct involvement. Provided initial inventory through HPMS for highways.
Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A01b	SIP - Ohio is the lead and MORPC provides support.

Survey Responses at Each Planning Level by Site

AGENCY NAME	LEVEL/SO	Q/A#	QUESTION/ANSWER
Central Ohio Transit Authority (Columbus, OH)	TO	A01b	SIP - None since area does not require control measures
Virginia Department of Transportation	DOT	A01b	SIP - involved in the technical committee process at the MPO level to insure transit, CMAQ and transportation demand management projects (e.g. ride sharing, HOV lanes, transit fare adjustment to increase ridership, telecommuting) are addressed
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A01b	SIP - no involvement, done by state DEQ
Peninsula Transit (Hampton, VA)	TO	A01b	SIP - no involvement
Tidewater Transit (Norfolk, VA)	TO	A01b	SIP - no involvement
Connecticut Department of Transportation	DOT	A01c	STIP - DOT is the lead agency
Capital Region Council of Governments (Hartford, CT)	MPO	A01c	STIP - coordinate w/state
Greater Hartford Transit District (Hartford, CT)	TO	A01c	STIP - submit projects to the state
Massachusetts Dept. of Transportation & MBTA (transit operator)	DOT	A01c	STIP - EOTC takes lead. Works w/MBTA
Central Transportation Planning Staff (Boston, MA)	MPO	A01c	STIP - pass information to state, state staples it together
North Carolina Department of Transportation	DOT	A01c	STIP - lead agency on transit component
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A01c	STIP - participant (submit unconstrained list of projects and the draft MTIP - metropolitan TIP)
Capital Area MPO (Raleigh, NC)	MPO	A01c	STIP - participant
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A01c	STIP - no involvement (submit list of projects)
Ohio Department of Transportation	DOT	A01c	STIP - Lead responsibility. Include metropolitan TIPs by reference and as an addendum.
Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A01c	STIP - Support in providing Columbus TIP.
Central Ohio Transit Authority (Columbus, OH)	TO	A01c	STIP - None since ODOT cites Columbus TIP by reference and includes the Columbus TIP in an addendum.
Virginia Department of Transportation	DOT	A01c	STIP - lead on transit portion
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A01c	STIP - support agency
Peninsula Transit (Hampton, VA)	TO	A01c	STIP - contributing participant (submit transit projects)
Tidewater Transit (Norfolk, VA)	TO	A01c	STIP - support agency, provide input through the TIP
Connecticut Department of Transportation	DOT	A01d	LRP - review MPO plan
Capital Region Council of Governments (Hartford, CT)	MPO	A01d	LRP - lead agency
Greater Hartford Transit District (Hartford, CT)	TO	A01d	LRP - submitted Griffin Line project (no other projects)
Massachusetts Dept. of Transportation & MBTA (transit operator)	DOT	A01d	LRP - EOTC takes lead. Works w/MBTA and MPO. LRP is prepared by CTPS.
Central Transportation Planning Staff (Boston, MA)	MPO	A01d	LRP - CTPS takes lead role
North Carolina Department of Transportation	DOT	A01d	LRP - participant on steering committee
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A01d	LRP - lead agency
Capital Area MPO (Raleigh, NC)	MPO	A01d	LRP - lead agency

Survey Responses at Each Planning Level by Site

AGENCY NAME	LEVEL/SO	Q/A#	QUESTION/ANSWER
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A01d	LRP - support agency (participate in development)
Ohio Department of Transportation	DOT	A01d	LRP - Participate in initial project and scoping and in final review for reasonableness.
Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A01d	LRP - Lead role.
Central Ohio Transit Authority (Columbus, OH)	TO	A01d	LRP - Worked with MORPC on transit components. MORPC had the lead.
Virginia Department of Transportation	DOT	A01d	LRP - work on urbanized technical committees to include transit and rail projects (each urbanized area has techinical committee)
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A01d	LRP - lead agency
Peninsula Transit (Hampton, VA)	TO	A01d	LRP - work w/MPO in developing LRP
Tidewater Transit (Norfolk, VA)	TO	A01d	LRP - support agency
Connecticut Department of Transportation	DOT	A01e	STP - DOT reviews regional long range plans, sent to regional agencies for their review.
Capital Region Council of Governments (Hartford, CT)	MPO	A01e	STP - lead agency
Greater Hartford Transit District (Hartford, CT)	TO	A01e	STP - submit projects to the state
Massachusetts Dept. of Transportation & MBTA (transit operator)	DOT	A01e	STP - EOTC takes lead. Works w/MBTA and MPO
Central Transportation Planning Staff (Boston, MA)	MPO	A01e	STP - no involvement
North Carolina Department of Transportation	DOT	A01e	STP - participant on steering committee (Division of Highways is lead agency)
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A01e	STP - participant
Capital Area MPO (Raleigh, NC)	MPO	A01e	STP - participant
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A01e	STP - no involvement
Ohio Department of Transportation	DOT	A01e	STP - Little involvement. Happy with COTA's work.
Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A01e	STP - COTA is the lead and MORPC provides review.
Central Ohio Transit Authority (Columbus, OH)	TO	A01e	STP - Total responsibility.
Virginia Department of Transportation	DOT	A01e	STP - lead on transit portion
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A01e	STP - support agency
Peninsula Transit (Hampton, VA)	TO	A01e	STP - no direct involvement
Tidewater Transit (Norfolk, VA)	TO	A01e	STP - support agency
Connecticut Department of Transportation	DOT	A01f	TIP - DOT initiates projects based on local needs and available funding.
Capital Region Council of Governments (Hartford, CT)	MPO	A01f	TIP - lead agency with DOT
Greater Hartford Transit District (Hartford, CT)	TO	A01f	TIP - submit projects to the MPO
Massachusetts Dept. of Transportation & MBTA (transit operator)	DOT	A01f	TIP - CTPS prepares w/direction from EOTC and other state agencies.
Central Transportation Planning Staff (Boston, MA)	MPO	A01f	TIP - CTPS coordinates preparation of TIP for the MPO
North Carolina Department of Transportation	DOT	A01f	TIP - participant on steering committee

Survey Responses at Each Planning Level by Site

AGENCY NAME	LEVEL/SO	Q/A#	QUESTION/ANSWER
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A01f	TIP - lead agency on MTIP, not on state TIP
Capital Area MPO (Raleigh, NC)	MPO	A01f	TIP - There is a local and a state TIP; local - MPO is lead agency; state - provide local TIP in conformance to state TIP
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A01f	TIP - support agency (participate in development)
Ohio Department of Transportation	DOT	A01f	TIP - ODOT issued Ohio Biennial STIP/TIP Development Requirements, September 1996 that includes requirements, funding projection guidance, and a schedule. ODOT reviews draft TIPs.. It also is represented on the board of each MPO.
Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A01f	TIP - Lead agency overall with COTA taking lead on transit portion.
Central Ohio Transit Authority (Columbus, OH)	TO	A01f	TIP - COTA takes the lead on the transit component while MORPC coordinates overall TIP.
Virginia Department of Transportation	DOT	A01f	TIP - on MPO technical committees (make recommendations to the MPO as to which projects to include)
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A01f	TIP - lead agency
Peninsula Transit (Hampton, VA)	TO	A01f	TIP - work w/MPO in developing TIP
Tidewater Transit (Norfolk, VA)	TO	A01f	TIP - support agency
		Q02	**Which, if any, of the ISTEA financial planning requirements do you take lead responsibility?**
Connecticut Department of Transportation	DOT	A02	MIS, STIP, STP, TIP
Capital Region Council of Governments (Hartford, CT)	MPO	A02	MIS, LRP, STP, TIP
Greater Hartford Transit District (Hartford, CT)	TO	A02	none, except MIS (for Griffin Line only)
Massachusetts Dept. of Transportation & MBTA (transit operator)	DOT	A02	EOTC: STIP, STP, LRP, SIP MBTA: MIS
Central Transportation Planning Staff (Boston, MA)	MPO	A02	LRP & TIP
North Carolina Department of Transportation	DOT	A02	STIP (transit element of program), MIS
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A02	MTIP, LRP
Capital Area MPO (Raleigh, NC)	MPO	A02	LRP, local TIP
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A02	MIS
Ohio Department of Transportation	DOT	A02	STIP.
Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A02	MIS, LRP, TIP
Central Ohio Transit Authority (Columbus, OH)	TO	A02	STP. Transit components of TIP and LRP. Work jointly with MORPC on MIS that have transit emphasis.
Virginia Department of Transportation	DOT	A02	MIS, STIP (transit), STP (transit)
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A02	LRP, TIP
Peninsula Transit (Hampton, VA)	TO	A02	none
Tidewater Transit (Norfolk, VA)	TO	A02	MIS

Survey Responses at Each Planning Level by Site

AGENCY NAME	LEVEL/SO	Q/A#	QUESTION/ANSWER
		Q03	**Which, if any, of the ISTEA financial planning requirements do you take support responsibility?**
Connecticut Department of Transportation	DOT	A03	MIS, LRP, SIP
Capital Region Council of Governments (Hartford, CT)	MPO	A03	MIS, SIP
Greater Hartford Transit District (Hartford, CT)	TO	A03	MIS, STIP, STP, TIP, LRP (one time shot w/Griffin Line Project)
Massachusetts Dept. of Transportation & MBTA (transit operator)	DOT	A03	EOTC: MIS, TIP MBTA: SIP, STIP, LRP, STP, TIP
Central Transportation Planning Staff (Boston, MA)	MPO	A03	MIS, SIP, STIP
North Carolina Department of Transportation	DOT	A03	SIP, LRP, STP, TIP
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A03	MIS, STIP, STP, TIP
Capital Area MPO (Raleigh, NC)	MPO	A03	MIS, SIP, STP, state TIP, STIP
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A03	MIS, TIP, LRP
Ohio Department of Transportation	DOT	A03	Review all other planning and project products.
Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A03	SIP, STP, STIP
Central Ohio Transit Authority (Columbus, OH)	TO	A03	Transit components of TIP and LRP. Work jointly with MORPC on MIS that have transit emphasis.
Virginia Department of Transportation	DOT	A03	MIS, SIP, LRP, TIP
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A03	MIS, STIP, STP
Peninsula Transit (Hampton, VA)	TO	A03	MIS, STIP, LRP, TIP
Tidewater Transit (Norfolk, VA)	TO	A03	STIP, LRP, STP, TIP
		Q04	**How is lead and support responsibility established?**
Connecticut Department of Transportation	DOT	A04	by historic practice
Capital Region Council of Governments (Hartford, CT)	MPO	A04	based on negotiation with the state DOT
Greater Hartford Transit District (Hartford, CT)	TO	A04	by the state and the MPO
Massachusetts Dept. of Transportation & MBTA (transit operator)	DOT	A04	based on Memorandum of Understanding and on project needs
Central Transportation Planning Staff (Boston, MA)	MPO	A04	based on memorandum of understanding (MOU), support responsibility based on project needs
North Carolina Department of Transportation	DOT	A04	based on the state's understanding of the federal regulations
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A04	by mutual agreement between the MPO and the state
Capital Area MPO (Raleigh, NC)	MPO	A04	through state's understanding of the federal statutes
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A04	in consultation with the MPO and the state
Ohio Department of Transportation	DOT	A04	Except for the STIP, the responsibilities are determined locally between the MPO and transit operator.
Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A04	Based on Memoranda of Understanding with local agencies, government regulations, and abilities and time of participating agencies.
Central Ohio Transit Authority (Columbus, OH)	TO	A04	Based on consideration of: 1) memorandum of understanding between COTA and MORPC; and 2) technical abilities of participating agencies;

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AGENCY NAME	LEVEL/SO	Q/A#	QUESTION/ANSWER
Virginia Department of Transportation	DOT	A04	by the Secretary of Transportation
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A04	by mutual agreement with the state
Peninsula Transit (Hampton, VA)	TO	A04	by agreement w/MPO
Tidewater Transit (Norfolk, VA)	TO	A04	by mutual agreement with the MPO, the state DOT and Department of Rail & Public Transportation
		Q05	**How are transit projects initiated? Who ranks them? (transit oper. quest.)**
Connecticut Department of Transportation	DOT	A05	generally done by DOT but also initiated at local transit agency level; DOT ranks the project based on criterion (safety, air quality, etc.), needs, and funding availability
Capital Region Council of Governments (Hartford, CT)	MPO	A05	inititated and ranked by the DOT
Greater Hartford Transit District (Hartford, CT)	TO	A05	by transit operator who submits projects to the Board of Directors for approval, projects then submitted to the MPO or the DOT
Massachusetts Dept. of Transportation & MBTA (transit operator)	DOT	A05	inititiated by MPO in LRP (MBTA is MPO member); ranking jointly through development of LRP.
Central Transportation Planning Staff (Boston, MA)	MPO	A05	initiated primarily by MBTA and CATA (Cape Ann Transit Authority serving Gloucester & Rockport, MA), cities and towns inititiate transit projects which require federal highway money; ranking done by project sponsor subject to review and approval by MPO
North Carolina Department of Transportation	DOT	A05	primarily by the transit operator, no formal ranking process
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A05	initiated by the transit operator, ranked by the MPO
Capital Area MPO (Raleigh, NC)	MPO	A05	inititiated by the transit operator, ranked by the MPO
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A05	initiated by transit operator, projects aren't ranked
Ohio Department of Transportation	DOT	A05	Primarily COTA. Sometimes COTA initiates projects in response to expressed community needs.
Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A05	Formally, COTA submits almost all projects. However, sometimes COTA responds to local needs expressed by other agencies and groups.
Central Ohio Transit Authority (Columbus, OH)	TO	A05	Primarily COTA. Sometimes COTA initiates projects in response to expressed community needs.
Virginia Department of Transportation	DOT	A05	by the transit operator and by DRPT; ranked by the transit operator and the MPO
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A05	initiated by the transit operator, CMAQ and regional STP funded projects ranked by the MPO, transit operator ranks projects funded with formula money
Peninsula Transit (Hampton, VA)	TO	A05	initiated by transit operator; transit operator, as member of TIP and technical subcommittee as well as the MPO, the transit operator is actively involved w/ranking transit projects
Tidewater Transit (Norfolk, VA)	TO	A05	initiated by transit operator; MPO ranks flex fund projects, transit operator ranks formula fund projects
		Q06	**How do your Clean Air Act projects get into the SIP? (includes transit and highway projects)**
Connecticut Department of Transportation	DOT	A06	projects comply with SIP based on conformity analysis
Capital Region Council of Governments (Hartford, CT)	MPO	A06	not involved, get info after the project is in the SIP
Greater Hartford Transit District (Hartford, CT)	TO	A06	through the MPO
Massachusetts Dept. of Transportation & MBTA (transit operator)	DOT	A06	with approval from the EOTC

Survey Responses at Each Planning Level by Site

AGENCY NAME	LEVEL/SO	Q/A#	QUESTION/ANSWER
Central Transportation Planning Staff (Boston, MA)	MPO	A06	CMAQ projects which have air quality benefits plus previous SIP projects, e.g. park 'n' ride facilities
North Carolina Department of Transportation	DOT	A06	not sure
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A06	There are no CAA transit projects.
Capital Area MPO (Raleigh, NC)	MPO	A06	there are no transit CAA projects, highway projects meeting the air quality conformity analysis are plugged into the SIP
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A06	they're not (NC DOT excludes transit projects)
Ohio Department of Transportation	DOT	A06	Not applicable, since there are no control projects.
Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A06	Not applicable, since there are no control projects.
Central Ohio Transit Authority (Columbus, OH)	TO	A06	Not applicable.
Virginia Department of Transportation	DOT	A06	through conformity analysis at the MPO level
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A06	CMAQ projects are rated and ranked and included in the SIP
Peninsula Transit (Hampton, VA)	TO	A06	through the TIP
Tidewater Transit (Norfolk, VA)	TO	A06	through conformity analysis
		Q07	**Has meeting the CAA requirements restricted your ability to implement projects which you consider to be of greater need?**
Connecticut Department of Transportation	DOT	A07	no
Capital Region Council of Governments (Hartford, CT)	MPO	A07	not yet
Greater Hartford Transit District (Hartford, CT)	TO	A07	no
Massachusetts Dept. of Transportation & MBTA (transit operator)	DOT	A07	no
Central Transportation Planning Staff (Boston, MA)	MPO	A07	no
North Carolina Department of Transportation	DOT	A07	no
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A07	not to date, potentially could in future projects
Capital Area MPO (Raleigh, NC)	MPO	A07	no
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A07	n/a (no CAA transit projects submitted)
Ohio Department of Transportation	DOT	A07	Not applicable, since there are no control projects.
Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A07	Not applicable, since there are no control projects.
Central Ohio Transit Authority (Columbus, OH)	TO	A07	Not applicable.
Virginia Department of Transportation	DOT	A07	no, it has helped sponsor more transit and TDM projects
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A07	absolutely, because inadequate funding levels only permits funding for CAA projects
Peninsula Transit (Hampton, VA)	TO	A07	no
Tidewater Transit (Norfolk, VA)	TO	A07	no

Survey Responses at Each Planning Level by Site

AGENCY NAME	LEVEL/SO	Q/A#	QUESTION/ANSWER
		Q08	**Are all CAA transportation projects identified and initiated by transportation planning organizations, e.g. DOT, MPO, transit operator, as opposed to a non-transportation agency, e.g. state EPA?**
Connecticut Department of Transportation	DOT	A08	generally DOT but also done by Vehicle Emissions Program
Capital Region Council of Governments (Hartford, CT)	MPO	A08	state transportation projects in conjunction w/DEP
Greater Hartford Transit District (Hartford, CT)	TO	A08	not involved, done by the state and MPO
Massachusetts Dept. of Transportation & MBTA (transit operator)	DOT	A08	yes, inititiated by transportation groups
Central Transportation Planning Staff (Boston, MA)	MPO	A08	yes
North Carolina Department of Transportation	DOT	A08	There are no CAA transit projects.
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A08	n/a
Capital Area MPO (Raleigh, NC)	MPO	A08	yes
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A08	yes, however they're all inititiated by NC DOT
Ohio Department of Transportation	DOT	A08	Not applicable, since there are no control projects.
Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A08	Not applicable, since there are no control projects.
Central Ohio Transit Authority (Columbus, OH)	TO	A08	Not applicable
Virginia Department of Transportation	DOT	A08	yes
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A08	yes
Peninsula Transit (Hampton, VA)	TO	A08	yes
Tidewater Transit (Norfolk, VA)	TO	A08	yes
		Q09	**Have any state guidelines been issued relative to compliance with ISTEA financial planning regulations? (for internal use and/or distribution)**
Connecticut Department of Transportation	DOT	A09	no
Capital Region Council of Governments (Hartford, CT)	MPO	A09	no
Greater Hartford Transit District (Hartford, CT)	TO	A09	no
Massachusetts Dept. of Transportation & MBTA (transit operator)	DOT	A09	no
Central Transportation Planning Staff (Boston, MA)	MPO	A09	no
North Carolina Department of Transportation	DOT	A09	no
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A09	no
Capital Area MPO (Raleigh, NC)	MPO	A09	yes, procedural guidelines for the local TIP
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A09	no
Ohio Department of Transportation	DOT	A09	Yes, Ohio Biennial STIP/TIP Development Requirements, September 1996.
Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A09	Yes, Ohio Biennial STIP/TIP Development Requirements, September 1996 and draft guidance provided ODOT Planning on MIS.

Survey Responses at Each Planning Level by Site

AGENCY NAME	LEVEL/SO	Q/A#	QUESTION/ANSWER
Central Ohio Transit Authority (Columbus, OH)	TO	A09	Yes, Ohio Biennial STIP/TIP Development Requirements, September 1996.
Virginia Department of Transportation	DOT	A09	yes, procedural guidelines concerning state & MPO responsibilities and funding allocations
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A09	no
Peninsula Transit (Hampton, VA)	TO	A09	no, use federal guidelines
Tidewater Transit (Norfolk, VA)	TO	A09	no
		Q10	**Have any MPO guidelines been issued relative to compliance with ISTEA financial planning regulations? (state DOTs were not asked this question)**
Capital Region Council of Governments (Hartford, CT)	MPO	A10	no
Greater Hartford Transit District (Hartford, CT)	TO	A10	no
Central Transportation Planning Staff (Boston, MA)	MPO	A10	no (only written planning assumptions)
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A10	no
Capital Area MPO (Raleigh, NC)	MPO	A10	no
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A10	no
Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A10	Yes, Principles for Allocation of MORPC-Attributible Federal Funding, April 28, 1997.
Central Ohio Transit Authority (Columbus, OH)	TO	A10	No.
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A10	no
Peninsula Transit (Hampton, VA)	TO	A10	no, use federal guidelines
Tidewater Transit (Norfolk, VA)	TO	A10	no
		Q11	**Do you have any suggestions for improving the technical or reporting aspects of ISTEA financial planning requirements?**
Connecticut Department of Transportation	DOT	A11	Projects slated for funding which do not get underway within the federal fiscal year program in the STIP must go through the TIP/STIP approval process again; adds time to project schedule (significantly delays projects)
Capital Region Council of Governments (Hartford, CT)	MPO	A11	without federal funding authorization, it's difficult to make funding projections; the funding projections change perodically making it difficult to fulfill political promises, creating suspicions related to the entire funding selection/implement. process
Greater Hartford Transit District (Hartford, CT)	TO	A11	no
Massachusetts Dept. of Transportation & MBTA (transit operator)	DOT	A11	Discretionary funding section 5307 is programmed in year 3 and moved to year 1 when funds are received. It is difficult to explain to constituents.
Central Transportation Planning Staff (Boston, MA)	MPO	A11	no
North Carolina Department of Transportation	DOT	A11	no
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A11	minimize government involvement in the planning process ("less is better")

Survey Responses at Each Planning Level by Site

AGENCY NAME	LEVEL/SO	Q/A#	QUESTION/ANSWER
Capital Area MPO (Raleigh, NC)	MPO	A11	need more local juridictional control in using CMAQ money for transit projects or give the FTA control of these funds instead of FHWA (all CMAQ money is currently earmarked for highway projects)
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A11	Need more balanced approach to projects which qualify for air quality funding e.g. programming of CMAQ funds-none has been allocated to transit projects
Ohio Department of Transportation	DOT	A11	No.
Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A11	Increase flexibility to incl proposed funding. The Ohio Congressman that helps Ohio receive transit earmarks has asked why Ohio's unfunded needs are not in the TIP. FTA/FHWA should define "reasonable" flexibility to improve Long Range plans.
Central Ohio Transit Authority (Columbus, OH)	TO	A11	None
Virginia Department of Transportation	DOT	A11	no
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A11	yes, the TIP and the STIP are currently hand typed; it should be required that these documents be compiled electronically
Peninsula Transit (Hampton, VA)	TO	A11	no
		Q12	**What are your primary sources of funding for transit improvements: (a) Transit Operator (DOT and MPO were asked to elicit their understanding of the source and use of transit revenue) (b) Local Funds (c) State Funds (d) Federal Funds**
Connecticut Department of Transportation	DOT	A12a	Transit Operator - none
Capital Region Council of Governments (Hartford, CT)	MPO	A12a	Transit Operator - none
Greater Hartford Transit District (Hartford, CT)	TO	A12a	Transit Operator - parking fees, Hartford Union Station revenues
Massachusetts Dept. of Transportation & MBTA (transit operator)	DOT	A12a	Transit Operator: Transit Operator – finances capital improvements through bonds; principal & interest paid by the state; (MBTA bonding authority: $1.5 billion over rolling 5 year period for MBTA projects; $1.5 billion limit set by MBTA Board of Directors
Central Transportation Planning Staff (Boston, MA)	MPO	A12a	Transit Operator – finances capital improvements through bonds; principal & interest paid by the state; (MBTA bonding authority: $1.5 billion over rolling 5 year period for MBTA projects; $1.5 billion limit set by MBTA Board of Directors)
North Carolina Department of Transportation	DOT	A12a	Transit Operator - None
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A12a	Transit Operator -1) interest on transit trust fund account (Duke Power was last private transit operator in Durham,legally reqd to provide transit svc for 14 years when public sector took over the service) 2) 50% of local funds not spent in a given year
Capital Area MPO (Raleigh, NC)	MPO	A12a	Transit Operator - None
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A12a	Transit Operator - None
Ohio Department of Transportation	DOT	A12a	Transit Operator: 1/4 percent sales tax
Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A12a	Transit Operator: 1/4 percent sales tax
Central Ohio Transit Authority (Columbus, OH)	TO	A12a	Transit Operator: 1/4 percent sales tax

Survey Responses at Each Planning Level by Site

AGENCY NAME	LEVEL/SO	Q/A#	QUESTION/ANSWER
Virginia Department of Transportation	DOT	A12a	Transit Operator - none
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A12a	Transit Operator - none
Peninsula Transit (Hampton, VA)	TO	A12a	Transit Operator - bus advertising
Tidewater Transit (Norfolk, VA)	TO	A12a	Transit Operator
Connecticut Department of Transportation	DOT	A12b	Local (Does it vary by jurisdiction?) - none
Capital Region Council of Governments (Hartford, CT)	MPO	A12b	Local - local communities fund the 20% local share for paratransit vehicle replacements
Greater Hartford Transit District (Hartford, CT)	TO	A12b	Local - municipalities provide local match for capital projects
Massachusetts Dept. of Transportation & MBTA (transit operator)	DOT	A12b	Local (Does it vary by jurisdiction?) - none
Central Transportation Planning Staff (Boston, MA)	MPO	A12b	Local - none
North Carolina Department of Transportation	DOT	A12b	Local (Does it vary by jurisdiction?) - varies by jurisdiction: includes property tax, vehicle registration fees, tax on rental vehicles
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A12b	Local - 10% match from city's general fund (from sales tax, property tax, vehicle registration tax)
Capital Area MPO (Raleigh, NC)	MPO	A12b	Local - general funds provide 10% contribution to federal projects
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A12b	Local - 10% from $5 tax on vehicle registrations imposed in Wake, Orange, and Durham counties (effective 1/1/98 - 5% tax on car rentals to fund 25% of regional rail system)
Ohio Department of Transportation	DOT	A12b	Local: None
Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A12b	Local: None
Central Ohio Transit Authority (Columbus, OH)	TO	A12b	Local: None
Virginia Department of Transportation	DOT	A12b	Local (Does it vary by jurisdiction?) - city general funds
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A12b	Local - city general funds
Peninsula Transit (Hampton, VA)	TO	A12b	Local - Newport News and Hampton general funds
Tidewater Transit (Norfolk, VA)	TO	A12b	Local - 10% from city funds from 5 cities (Virginia Beach, Norfolk, Portsmouth, Chesapeake, Suffolk)
Connecticut Department of Transportation	DOT	A12c	State - state provides the 20% for the non-federal share
Capital Region Council of Governments (Hartford, CT)	MPO	A12c	State - provides local share for transit improvements
Greater Hartford Transit District (Hartford, CT)	TO	A12c	State - pay local share for station operation, driver training program for equipment (driver simulation equipment), drug & alcohol testing program administered for all the state transit districts, administer statewide transit district insurance program
Massachusetts Dept. of Transportation & MBTA (transit operator)	DOT	A12c	State - state appropriation
Central Transportation Planning Staff (Boston, MA)	MPO	A12c	State - state appropriation;
North Carolina Department of Transportation	DOT	A12c	State - state highway funds, (no dedicated source of funding, no general funds)
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A12c	State - 10% match (not sure of source)
Capital Area MPO (Raleigh, NC)	MPO	A12c	State - provides 10% contribution to federal projects

Survey Responses at Each Planning Level by Site

AGENCY NAME	LEVEL/SO	Q/A#	QUESTION/ANSWER
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A12c	State - 10% from state; (25% for regional rail system)
Ohio Department of Transportation	DOT	A12c	State: Ohio Public Transportation Grant Program funds (OPTGP) that are distributed by formula.
Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A12c	State: Ohio Public Transportation Grant Program funds (OPTGP) that are distributed by formula.
Central Ohio Transit Authority (Columbus, OH)	TO	A12c	State: Ohio Public Transportation Grant Program funds (OPTGP) that are distributed by formula.
Virginia Department of Transportation	DOT	A12c	State - transportation trust fund & highway maintenance & operating fund
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A12c	State - transportation trust fund (50%) & state general funds (50%)
Peninsula Transit (Hampton, VA)	TO	A12c	State - provide capital match (about 7% - fluctuates annually)
Tidewater Transit (Norfolk, VA)	TO	A12c	State - 10% from state transportation trust fund
Connecticut Department of Transportation	DOT	A12d	Federal - feds provide 80% of project cost through sections 5307, 5309, 5310, 5311
Capital Region Council of Governments (Hartford, CT)	MPO	A12d	Federal - section 9 funds and section 3 discretionary funds, when available
Greater Hartford Transit District (Hartford, CT)	TO	A12d	Federal - section 5307
Massachusetts Dept. of Transportation & MBTA (transit operator)	DOT	A12d	Federal - normal FTA funding and flex highway funds
Central Transportation Planning Staff (Boston, MA)	MPO	A12d	Federal – Normal FTA funding and flex highway funds
North Carolina Department of Transportation	DOT	A12d	Federal - sections 5307 and 5309
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A12d	Federal - sections 9 & 3
Capital Area MPO (Raleigh, NC)	MPO	A12d	Federal - section 5307 provides 80% contribution to federal projects
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A12d	Federal - 80% from section 5309; (50% for regional rail system)
Ohio Department of Transportation	DOT	A12d	Federal: Section 9 (5307) formula funds and Section 3 (5309) earmark funds obtained as part of ODOT package of earmark requests for all Ohio systems. The ODOT package is submitted as one request and is administered by ODOT.
Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A12d	Federal: Section 9 (5307) formula funds and Section 3 (5309) earmark funds obtained as part of ODOT package of earmark requests for all Ohio systems. The ODOT package is submitted as one request and is administered by ODOT.
Central Ohio Transit Authority (Columbus, OH)	TO	A12d	Federal: Section 9 (5307) formula funds and Section 3 (5309) earmark funds obtained as part of ODOT package of earmark requests for all Ohio systems. The ODOT package is submitted as one request and is administered by ODOT.
Virginia Department of Transportation	DOT	A12d	Federal - section 5307 formula funds (80%), STP highway funds which are transferred to transit, CMAQ funds
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A12d	Federal - section 9 formula funds, compete for CMAQ & Surface Transportation Program (STP) funds on a regional basis
Peninsula Transit (Hampton, VA)	TO	A12d	Federal - section 9 formula funds, compete for CMAQ & Surface Transportation Program (STP) funds on a regional basis
Tidewater Transit (Norfolk, VA)	TO	A12d	Federal - 80% from section 5307 (also, about $2 million from the Ferry Boat Discretionary Fund from FHWA and about $2 million from section 5309 - new start money)

Survey Responses at Each Planning Level by Site

AGENCY NAME	LEVEL/SO	Q/A#	QUESTION/ANSWER
		Q13	**What are your primary sources of funding for transit operating and maintenance costs? (a) Transit Operator (DOT and MPO were asked to elicit their understanding of the source and use of transit revenue) (b) Local Funds (c) State Funds (d) Federal Funds**
Connecticut Department of Transportation	DOT	A13a	Transit Operator (Is it always farebox or does it vary by operator?) farebox
Capital Region Council of Governments (Hartford, CT)	MPO	A13a	Transit Operator - farebox
Greater Hartford Transit District (Hartford, CT)	TO	A13a	Transit Operator - $110,000 collected in fares (dial-a-ride service is free, the only fare charged is $2 for ADA passengers)(total budget is about $3 million.)
Massachusetts Dept. of Transportation & MBTA (transit operator)	DOT	A13a	Transit Operator (Is it always farebox or does it vary by operator?) MBTA - farebox, parking, rents, advertising, concessions, fiber optics
Central Transportation Planning Staff (Boston, MA)	MPO	A13a	Transit Operator – fares
North Carolina Department of Transportation	DOT	A13a	Transit Operator (Is it always farebox or does it vary by operator?) - farebox
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A13a	Transit Operator - farebox (about 25%)
Capital Area MPO (Raleigh, NC)	MPO	A13a	Transit Operator - fare box, bus advertising
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A13a	Transit Operator - 20% from fare box
Ohio Department of Transportation	DOT	A13a	Transit Operator: 1/4 percent sales tax
Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A13a	Transit Operator: 1/4 percent sales tax
Central Ohio Transit Authority (Columbus, OH)	TO	A13a	Transit Operator: 1/4 percent sales tax
Virginia Department of Transportation	DOT	A13a	Transit Operator (Is it always farebox or does it vary by operator?) - farebox
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A13a	Transit Operator - farebox
Peninsula Transit (Hampton, VA)	TO	A13a	Transit Operator - farebox (40%)
Tidewater Transit (Norfolk, VA)	TO	A13a	Transit Operator - 40% from farebox
Connecticut Department of Transportation	DOT	A13b	Local (Does it vary by jurisdiction?) - local communities supplement fares if fares represent less than 33% of total costs, state reimburses up to 67% of operating costs.
Capital Region Council of Governments (Hartford, CT)	MPO	A13b	Local - supports about 50% of paratransit operating costs
Greater Hartford Transit District (Hartford, CT)	TO	A13b	Local - municipalities pay for dial-a-ride service
Massachusetts Dept. of Transportation & MBTA (transit operator)	DOT	A13b	Local (Does it vary by jurisdiction?) - $125 million distributed geographically by formula (based on service levels)
Central Transportation Planning Staff (Boston, MA)	MPO	A13b	Local - $125 million assessed on MBTA communities, used for MBTA operating costs
North Carolina Department of Transportation	DOT	A13b	Local (Does it vary by jurisdiction?) - varies by jurisdiction: includes property tax, vehicle registration fees, tax on rental vehicles
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A13b	Local - city's general fund (about 40%)(sales tax, property tax, vehicle registration tax)
Capital Area MPO (Raleigh, NC)	MPO	A13b	Local - general funds
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A13b	Local - 70% from vehicle registration tax

Survey Responses at Each Planning Level by Site

AGENCY NAME	LEVEL/SO	Q/A#	QUESTION/ANSWER
Ohio Department of Transportation	DOT	A13b	Local: None
Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A13b	Local: None
Central Ohio Transit Authority (Columbus, OH)	TO	A13b	Local: None
Virginia Department of Transportation	DOT	A13b	Local (Does it vary by jurisdiction?) - city general funds, Northern VA has an additional 2% gas tax primarily used for transit operating costs
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A13b	Local - city general funds
Peninsula Transit (Hampton, VA)	TO	A13b	Local - Newport News and Hampton general funds
Tidewater Transit (Norfolk, VA)	TO	A13b	Local - 30% from city funds from 5 cities (Virginia Beach, Norfolk, Portsmouth, Chesapeake, Suffolk)
Connecticut Department of Transportation	DOT	A13c	State - up to 67% of operating costs.
Capital Region Council of Governments (Hartford, CT)	MPO	A13c	State - subsidize operating costs primarily w/gas tax revenues (also, licensing registration funds, motor vehicle violation fees)
Greater Hartford Transit District (Hartford, CT)	TO	A13c	State - pays for ADA service
Massachusetts Dept. of Transportation & MBTA (transit operator)	DOT	A13c	State - state appropriation
Central Transportation Planning Staff (Boston, MA)	MPO	A13c	State – state appropriation
North Carolina Department of Transportation	DOT	A13c	State - state highway funds, (no dedicated source of funding, no general funds)
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A13c	State - state maintenance assistance (same as operating assistance)(20%)
Capital Area MPO (Raleigh, NC)	MPO	A13c	State - state operating assistance
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A13c	State - 10% state contribution
Ohio Department of Transportation	DOT	A13c	State: OPTGP funds that are distributed by formula.
Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A13c	State: OPTGP funds that are distributed by formula.
Central Ohio Transit Authority (Columbus, OH)	TO	A13c	State: OPTGP funds that are distributed by formula.
Virginia Department of Transportation	DOT	A13c	State - transportation trust fund ($49 million) & highway maintenance & operating fund ($35 million) for FY98
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A13c	State - formula funds based on population, service area, expenses, etc.
Peninsula Transit (Hampton, VA)	TO	A13c	State - formula funds based on population, service area, expenses, etc.
Tidewater Transit (Norfolk, VA)	TO	A13c	State - 30% from state transportation trust fund
Connecticut Department of Transportation	DOT	A13d	Federal very little under section 5307
Capital Region Council of Governments (Hartford, CT)	MPO	A13d	Federal - very little
Greater Hartford Transit District (Hartford, CT)	TO	A13d	Federal - section 5307
Massachusetts Dept. of Transportation & MBTA (transit operator)	DOT	A13d	Federal - FTA operating assistance
Central Transportation Planning Staff (Boston, MA)	MPO	A13d	Federal – FTA funds for operating assistance

Survey Responses at Each Planning Level by Site

AGENCY NAME	LEVEL/SO	Q/A#	QUESTION/ANSWER
North Carolina Department of Transportation	DOT	A13d	Federal - section 5309
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A13d	Federal - section 9 (15%)
Capital Area MPO (Raleigh, NC)	MPO	A13d	Federal - very little operating assistance through section 5307 ($335,000/year)
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A13d	Federal - None
Ohio Department of Transportation	DOT	A13d	Federal: Section 9 (5307) formula funds
Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A13d	Federal: Section 9 (5307) formula funds
Central Ohio Transit Authority (Columbus, OH)	TO	A13d	Federal: Section 9 (5307) formula funds
Virginia Department of Transportation	DOT	A13d	Federal - old section 9 (5307), small areas get section 5311 (non urbanized area funding), CMAQ for new starts and demonstration projects
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A13d	Federal - section 9, CMAQ for new service
Peninsula Transit (Hampton, VA)	TO	A13d	Federal - section 9, CMAQ for new service
Tidewater Transit (Norfolk, VA)	TO	A13d	Federal - none
		Q14	**Have you considered methods of financing transit projects that you consider new or innovative? If yes, give some examples. If not, have you used creative financing techniques for highway projects? If you have, why haven't you used them for transit proj?**
Connecticut Department of Transportation	DOT	A14	transit authority buys vehicles, sells them to another company & leases them back, (company that buys vehicles gets depreciation tax credit), lease retail space in commuter rail stations, lease rail equipment to Texas commuter rail company
Capital Region Council of Governments (Hartford, CT)	MPO	A14	looking at using the state sales tax for funding regional assets
Greater Hartford Transit District (Hartford, CT)	TO	A14	using station revenue and private sector local match (downtown shuttle and commuter buses)
Massachusetts Dept. of Transportation & MBTA (transit operator)	DOT	A14	1) BET: adv. construct. auth. ($186 mil) 2) lease leverage (sell tax credits-depreciation)3) Wellington-park fac. (Cbt Cbt & Forbes) 4) At 4 sta: mix transit w/public develop 5) So.Sta.(Beacon Co)-retail space(T paid rent) 6) TRA- jt.develop.opportunities
Central Transportation Planning Staff (Boston, MA)	MPO	A14	The MBTA has studied and employed them, e.g. Wellington parking facility is private/public partnership, Woburn intermodal center involves partnering w/Massport & Mass Highway, bus advertising
North Carolina Department of Transportation	DOT	A14	state infrastructure bank where state gets federal money and loans it to local transit authorities; the state charges low interest rates for money; money can be used for transit or highway
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A14	$5 vehicle registration tax is a source for the city's general fund
Capital Area MPO (Raleigh, NC)	MPO	A14	The transit operator exchanges about .5 million in capital funds for about $800,000 in operating funds
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A14	1) Tax exempt lease/purch from banks for vans & small buses-allows transit authority low interest rate (4%); 2) Research Triangle Foundation (private companies in RTP) has funded bus shelters 3)Retail space in Cary rail sta. leased to Div Motor Vehicles

Survey Responses at Each Planning Level by Site

AGENCY NAME	LEVEL/SO	Q/A#	QUESTION/ANSWER
Ohio Department of Transportation	DOT	A14	1. CMAQ funds for bus replace, park&ride lots, demo svc to Newark. 2.State Infrastructure Bank (not used by COTA) 3.Toll Revenue Credit (not used by COTA) 3.Contract w/ODOT and City of Columbus for xtra svc during highway construct (PavetheWay Program)
Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A14	1. CMAQ funds used for bus replace, park&ride lots, and demo svc to Newark.2. Livable communities project for Easton and South Linton (11th/Cleveland), developer providing 2.6 acres (approx $1.0 million value) for local match. 3.Advertising on buses.
Central Ohio Transit Authority (Columbus, OH)	TO	A14	1. CMAQ funds used for bus replace, park&ride lots, and demo svc to Newark.2. Livable communities project for Easton and South Linton (11th/Cleveland), developer providing 2.6 acres (approx $1.0 million value) for local match. 3.Advertising on buses.
Virginia Department of Transportation	DOT	A14	yes, e.g. $.5 million in state funds used for demonstration/experimental transit projects; state public/private development act that allows the private sector to make proposals on any capital or oper. transport project, incl transit (no transit req. yet)
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A14	bus advertising
Peninsula Transit (Hampton, VA)	TO	A14	adopt-a-bus program which provides revenue through bus advertising
Tidewater Transit (Norfolk, VA)	TO	A14	looking to joint development of light rail stations to recover 10% of capital costs, city/transit operator funding split for ferry dock
		Q15	**How are the use of capital and operating funds tracked?**
Connecticut Department of Transportation	DOT	A15	tracked by the DOT through their accounting system
Capital Region Council of Governments (Hartford, CT)	MPO	A15	done by Connecticut DOT
Greater Hartford Transit District (Hartford, CT)	TO	A15	internal accounting system
Massachusetts Dept. of Transportation & MBTA (transit operator)	DOT	A15	MBTA has accounting system; EOTC uses MMARS accounting system; paper transfer of information.
Central Transportation Planning Staff (Boston, MA)	MPO	A15	rely on MBTA to provide information in writing or verbally, information periodically updated
North Carolina Department of Transportation	DOT	A15	manual accounting system for transit projects
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A15	computerized accounting system
Capital Area MPO (Raleigh, NC)	MPO	A15	computerized accounting system at the transit operator level
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A15	Capital funds are tracked through quarterly progress reports to the FTA; operating funds are tracked through a computerized accounting system
Ohio Department of Transportation	DOT	A15	COTA invoices ODOT for expenses incurred. ODOT compares obligation to expenses incurred. COTA supporting files for capital expenses are reviewed by ODOT once per year. The Ohio state auditor audits COTA's operating expenses every year.
Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A15	MORPC reviews at the development of the TIP. COTA also informs MORPC informally throughout the year.
Central Ohio Transit Authority (Columbus, OH)	TO	A15	COTA accounting department racks obligations and expenses incurred. Service Development prepares grant applications.

Survey Responses at Each Planning Level by Site

AGENCY NAME	LEVEL/SO	Q/A#	QUESTION/ANSWER
Virginia Department of Transportation	DOT	A15	by the transit operators, the state tracks federal and state grants using the state accounting & payment system (transit operator bills the state, the state reimburses the transit operator with the appropriate state and/or federal money)
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A15	handled by the transit operator
Peninsula Transit (Hampton, VA)	TO	A15	computerized accounting system
Tidewater Transit (Norfolk, VA)	TO	A15	computerized accounting system for both
		Q16	**How are funding projections made? Who makes them?**
Connecticut Department of Transportation	DOT	A16	DOT makes them based on historical record
Capital Region Council of Governments (Hartford, CT)	MPO	A16	work in conjunction with CT DOT
Greater Hartford Transit District (Hartford, CT)	TO	A16	made by Agency Director based on historic practice
Massachusetts Dept. of Transportation & MBTA (transit operator)	DOT	A16	EOTC relies on MBTA to provide local & federal funding projections; long range funding projections for state made by CTPS for their long range plan.
Central Transportation Planning Staff (Boston, MA)	MPO	A16	Rely on MBTA for local & federal funding projections; long range funding projections for state made by CTPS for long range plan
North Carolina Department of Transportation	DOT	A16	local jurisdictions do funding projections which are submitted to the state and included in the STIP
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A16	made by transit operator based upon historic and current information
Capital Area MPO (Raleigh, NC)	MPO	A16	The transit operator makes the funding projections based on historic allocations.
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A16	TTA makes funding projections based on historical data and market forecasts e.g. rental car revenues for regional rail system
Ohio Department of Transportation	DOT	A16	ODOT's Ohio Biennial STIP/TIP Develop Requirements, Sept 1996 sets procedure to est. federal & state funds. ODOT provides new info on levels of federal & state funding to MPOs and operators as soon as it knows changes.COTA estimates sales tax revenues.
Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A16	ODOT's Ohio Biennial STIP/TIP Develop. Req., September 1996 sets procedures to estimating federal and state funds. ODOT provides new information on the levels of federal and state funding as soon as it learns about changes. COTA est. sales tax revenues.
Central Ohio Transit Authority (Columbus, OH)	TO	A16	ODOT's Ohio Biennial STIP/TIP Development Requirements, September 1996 sets procedure for estimating federal and state funds. COTA estimates sales tax revenues based on straight-line trends.
Virginia Department of Transportation	DOT	A16	done by transit operator and the state DMV based on historic trends!
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A16	made by the transit operator based on historical trends
Peninsula Transit (Hampton, VA)	TO	A16	done by the transit operator based on historical information plus information supplied by the state and FTA
Tidewater Transit (Norfolk, VA)	TO	A16	made by transit operator based on historical trends
		Q17	**Are funding projections updated? If yes, by whom? Are the updates timely and reliable?**
Connecticut Department of Transportation	DOT	A17	yes, by the DOT, absolutely

Survey Responses at Each Planning Level by Site

AGENCY NAME	LEVEL/SO	Q/A#	QUESTION/ANSWER
Capital Region Council of Governments (Hartford, CT)	MPO	A17	yes, by CT DOT and MPO, the updates are timely and not necessarily reliable because federal funding cannot easily be projected, it changes
Greater Hartford Transit District (Hartford, CT)	TO	A17	yes, by Agency Director on a monthly basis for the Board of Directors
Massachusetts Dept. of Transportation & MBTA (transit operator)	DOT	A17	The MBTA updates funding projections. 5 year Federal appropriation projections made by the MBTA for TIP, projections are reviewed by EOTC; (5 year projection straight lined by MBTA; operating projections made annually)
Central Transportation Planning Staff (Boston, MA)	MPO	A17	MBTA updates projections for local & state funding annually; CTPS updates state funding projections when long range plan is updated
North Carolina Department of Transportation	DOT	A17	yes, annually by local transit operator, the updates are timely and reliable
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A17	yes, by the transit operator on an annual basis; updates are timely and reliable
Capital Area MPO (Raleigh, NC)	MPO	A17	updated annually for the local TIP by the transit operator, updates are reliable
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A17	updated internally on an annual basis, they're timely and reliable
Ohio Department of Transportation	DOT	A17	ODOT's guidelines are based on last year's appropriations of federal and state funding. ODOT provides new information on the levels of federal and state funding to MPOs and operators as soon as it learns about changes. COTA estimates tax revenues. Yes
Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A17	Yes, by FTA, COTA, and ODOT. Yes
Central Ohio Transit Authority (Columbus, OH)	TO	A17	ODOT's guidelines are based on last year's appropriations of federal and state funding. COTA prepares ten year forecasts by year in the development of its annual budget and forecasts sales tax revenues by year.
Virginia Department of Transportation	DOT	A17	yes, by transit operators and DMV (Dept of Motor Vehicles); state projections are updated quarterly and are timely and reliable
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A17	yes, by transit operator; updates are timely and reliable
Peninsula Transit (Hampton, VA)	TO	A17	yes, by transit operator; timely and reliable
Tidewater Transit (Norfolk, VA)	TO	A17	yes, by the transit operator; updates are timely and reliable and done in conjunction with TIP development
		Q18	**Do MPOs and transit agencies get timely and reliable information from the DOT concerning the ranking of their projects and prospects for funding?**
Connecticut Department of Transportation	DOT	A18	absolutely
Capital Region Council of Governments (Hartford, CT)	MPO	A18	yes
Greater Hartford Transit District (Hartford, CT)	TO	A18	ranking based on committee comprised of Middletown Transit District, CT DOT, this agency, Capital Region Council of Governments and the MPO for Middletown; the state provides information concerning funding for projects
Massachusetts Dept. of Transportation & MBTA (transit operator)	DOT	A18	EOTC says yes, MBTA says yes
Central Transportation Planning Staff (Boston, MA)	MPO	A18	yes, information is timely and reliable

Survey Responses at Each Planning Level by Site

AGENCY NAME	LEVEL/SO	Q/A#	QUESTION/ANSWER
North Carolina Department of Transportation	DOT	A18	no formal ranking, difficult for state to make funding projections for discretionary funding because of the relative weight of political factors
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A18	yes, for transit projects
Capital Area MPO (Raleigh, NC)	MPO	A18	yes, the information is timely and reliable; the MPO ranks the transit projects but the transit operator's funding requests are always approved
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A18	no, project ranking is not done at the state level; funding allocations are based on regional political clout
Ohio Department of Transportation	DOT	A18	Of course!
Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A18	Yes.
Central Ohio Transit Authority (Columbus, OH)	TO	A18	Yes. ODOT generally tells either MORPC or COTA of changes.
Virginia Department of Transportation	DOT	A18	yes
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A18	projects are ranked by the transit operator or the MPO; transit projects are funded from federal and state formula funds, DOT not involved in the process
Peninsula Transit (Hampton, VA)	TO	A18	yes
Tidewater Transit (Norfolk, VA)	TO	A18	ranking is timely as it's done by the MPO, funding projections are timely subject to federal appropriation process
		Q19	**Do you have any problems making 20 year funding projections? How about 10 year projections? 5 year projections? 3 year projections? What types of problems do you encounter in making each of these projections?**
Connecticut Department of Transportation	DOT	A19	no
Capital Region Council of Governments (Hartford, CT)	MPO	A19	yes, it's too difficult to predict federal funding levels
Greater Hartford Transit District (Hartford, CT)	TO	A19	no
Massachusetts Dept. of Transportation & MBTA (transit operator)	DOT	A19	no
Central Transportation Planning Staff (Boston, MA)	MPO	A19	no problems based on assumptions, (e.g. formula grants level projection, no new start money, no flexible highway funding)
North Carolina Department of Transportation	DOT	A19	The Public Transportation Division only makes up to a 5 year transit projection. No difficulty in making projections.
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A19	20-yes, 10-yes, 5-no, 3-no; the problem is the lack of local, state, and federal information required to project funding levels (too many variables)
Capital Area MPO (Raleigh, NC)	MPO	A19	no, transit operator projections are not made beyond 5 years; MPO makes the 20 year transit projections - no problems
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A19	no
Ohio Department of Transportation	DOT	A19	No problems beyond the increase in uncertainty as the forecast year goes further into the future. Federal funding projections always are a problem.

Survey Responses at Each Planning Level by Site

AGENCY NAME	LEVEL/SO	Q/A#	QUESTION/ANSWER
Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A19	No problems beyond the increase in uncertainty as the forecast year goes further into the future. Federal funding projections always are a problem. Sales tax is a problem when projecting beyond the current expiration year.
Central Ohio Transit Authority (Columbus, OH)	TO	A19	No problems beyond the increase in uncertainty as the forecast year goes further into the future. COTA is conservative and assumes no increase in state and federal funding in the second and succeeding years.
Virginia Department of Transportation	DOT	A19	done by the state DMV and transit operators
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A19	done by the transit operators
Peninsula Transit (Hampton, VA)	TO	A19	yes, without dedicated source of funding it's difficult to predict
Tidewater Transit (Norfolk, VA)	TO	A19	yes, without dedicated source of funding it's difficult to predict
		Q20	**In preparing the STIP (Statewide Transportation Improvement Program) and TIP (Transportation Improvement Plan), does the state and MPO review the reasonableness of projected funding levels for metropolitan areas? How is this done?**
Connecticut Department of Transportation	DOT	A20	yes, done by the DOT through the draft project listings and the STIP/STP process
Capital Region Council of Governments (Hartford, CT)	MPO	A20	yes, based on historical records
Greater Hartford Transit District (Hartford, CT)	TO	A20	n/a
Massachusetts Dept. of Transportation & MBTA (transit operator)	DOT	A20	EOTC does this work in cooperation with the MBTA.
Central Transportation Planning Staff (Boston, MA)	MPO	A20	MPO assumes projections are accurate
North Carolina Department of Transportation	DOT	A20	yes, based on anticipated funding levels
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A20	yes, through the MPO technical subcommittee (the subcommittee is composed of transit operators - TTA, Durham Area Transit Authority, transportation & planning staffs (from Chapel Hill, Carrboro, Durham, Hillsborough, Orange County), and the North Carolina
Capital Area MPO (Raleigh, NC)	MPO	A20	yes, MPO provides oversight but they generally rely on the transit operators' projections
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A20	not involved in process
Ohio Department of Transportation	DOT	A20	ODOT and MORPC do review the reasonableness of projections as part of the TIP process. Since ODOT's guidelines are very specific and because COTA is conservative in its forecasts (no increase in service or state and federal funding), the review comment
Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A20	Yes.COTA philosophy of "more of the same" makes the review easy. Transit, in general is easy because of the fixed resources avail & the ltd # of agencies. Highways are much more difficult.
Central Ohio Transit Authority (Columbus, OH)	TO	A20	ODOT and MORPC do review the reasonableness of projections as part of the TIP process. Since ODOT's guidelines are very specific and because COTA is conservative in its forecasts (no increase in service or state and federal funding), the review comment
Virginia Department of Transportation	DOT	A20	yes, must conform to the constrained long range plan
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A20	done by the state

Survey Responses at Each Planning Level by Site

AGENCY NAME	LEVEL/SO	Q/A#	QUESTION/ANSWER
Peninsula Transit (Hampton, VA)	TO	A20	ask the state and MPO, transit operators projections are based on information provided by the state and the MPO
Tidewater Transit (Norfolk, VA)	TO	A20	yes, based on historical trends
		Q21	**How are MIS projects reviewed to insure they're either standalone or programmed into useable pieces?**
Connecticut Department of Transportation	DOT	A21	done by the DOT
Capital Region Council of Governments (Hartford, CT)	MPO	A21	reviewed by the MPO to insure it's programmed into useable pieces
Greater Hartford Transit District (Hartford, CT)	TO	A21	reviewed by the MPO
Massachusetts Dept. of Transportation & MBTA (transit operator)	DOT	A21	MBTA insures in MIS that work is done in useable stages. EOTC reviews MIS for useable pieces.
Central Transportation Planning Staff (Boston, MA)	MPO	A21	The understood work scope for MIS projects requires a project to be either standalone or programmed into useable pieces.
North Carolina Department of Transportation	DOT	A21	through state review
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A21	reviewed at the local, state, and federal levels
Capital Area MPO (Raleigh, NC)	MPO	A21	reviewed by the MPO
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A21	done at the MPO level
Ohio Department of Transportation	DOT	A21	This requirement is usually a key part of the MIS work scope. Therefore, the study products meet the requirements and require only limited review. ODOT is encouraging MPOs to conduct at least one corridor/MIS study every year.
Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A21	This requirement is usually a key part of the MIS work scope. Therefore, the study products meet the requirements and require only limited review. Also, local political pressures generally force projects to be developed in usable pieces.
Central Ohio Transit Authority (Columbus, OH)	TO	A21	This requirement is usually a key part of the MIS work scope. Therefore, the study products meet the requirements and require only limited review.
Virginia Department of Transportation	DOT	A21	reviewed by the MPO and the state
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A21	reviewed by the MPO
Peninsula Transit (Hampton, VA)	TO	A21	by the MPO
Tidewater Transit (Norfolk, VA)	TO	A21	by the sponsoring or lead agency
		Q22	**How do you insure that transit projects required under the Clean Air Act are included in the programming process?**
Connecticut Department of Transportation	DOT	A22	done by the DOT
Capital Region Council of Governments (Hartford, CT)	MPO	A22	done through Connecticut DOT
Greater Hartford Transit District (Hartford, CT)	TO	A22	done at the MPO level
Massachusetts Dept. of Transportation & MBTA (transit operator)	DOT	A22	EOTC identifies projects during programming process.
Central Transportation Planning Staff (Boston, MA)	MPO	A22	Projects in SIP are included in the TIP.

Survey Responses at Each Planning Level by Site

AGENCY NAME	LEVEL/SO	Q/A#	QUESTION/ANSWER
North Carolina Department of Transportation	DOT	A22	it's up to the local transit operators to include them
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A22	There are no CAA transit projects.
Capital Area MPO (Raleigh, NC)	MPO	A22	There are no CAA transit projects.
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A22	Transit projects are not included.
Ohio Department of Transportation	DOT	A22	Not applicable since area does not require control measures.
Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A22	Not applicable since area does not require control measures.
Central Ohio Transit Authority (Columbus, OH)	TO	A22	Not applicable since area does not require control measures.
Virginia Department of Transportation	DOT	A22	through the state's participation in the MPO technical committees
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A22	through conformity analysis, the TIP and the LRP
Peninsula Transit (Hampton, VA)	TO	A22	based on evaluation criterion for CMAQ funds
Tidewater Transit (Norfolk, VA)	TO	A22	through the TIP process
		Q23	**When developing programs, are highway and transit projects developed separately or is it a multimodal approach? If projects are developed separately, is it because of the nature of these projects and are they coordinated into a multimodal plan?**
Connecticut Department of Transportation	DOT	A23	multimodal approach
Capital Region Council of Governments (Hartford, CT)	MPO	A23	not multmodal because of historical tendencies
Greater Hartford Transit District (Hartford, CT)	TO	A23	projects are developed seperately (historic practice)
Massachusetts Dept. of Transportation & MBTA (transit operator)	DOT	A23	EOTC and MBTA says projects are multimodal, developed jointly by various state agencies.
Central Transportation Planning Staff (Boston, MA)	MPO	A23	Projects are developed seperately, depending on the nature of the project, or they use multimodal approach, e.g. park & ride, Woburn Intermodal Center
North Carolina Department of Transportation	DOT	A23	separately, due to the organizational structure of the department; transit included w/highway projects, not coordinated
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A23	coordinated multimodal approach by the MPO
Capital Area MPO (Raleigh, NC)	MPO	A23	developed separately due to nature of these projects; MIS corridor projects include different modes but they're not coordinated
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A23	developed separately primarily because of clout of highway administrator, the Raleigh and Durham MPOs are attempting to develop a multimodal plan
Ohio Department of Transportation	DOT	A23	COTA's proj involve bus replace, construct of shelters, park&ride lots; proj that do not impact other modes. A multimodal approach has been used for the No. Corridor and No. (downtown) Terminal proj. MORPC req. highway studies to consider transit options.
Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A23	COTA's proj usually involve bus repl and the construct of shelters, park&ride lots, proj that don't signif. impact other modes.The No.Corridor and No. Term. proj.have been multimodal. MORPC has req. typical highway studies to consider transit options.

Survey Responses at Each Planning Level by Site

AGENCY NAME	LEVEL/SO	Q/A#	QUESTION/ANSWER
Central Ohio Transit Authority (Columbus, OH)	TO	A23	COTA's projects generally involve bus replacement and the construction of shelters and park-and-ride lots, projects that do not have significant impact on other modes. A multimodal approach has been followed for the North Corridor and North (downtown) T
Virginia Department of Transportation	DOT	A23	developed separately due to the nature of the organizations; however, MIS corridor studies are intermodal
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A23	separate based on the nature of the project, all MIS studies are multimodal
Peninsula Transit (Hampton, VA)	TO	A23	separately by the nature of the projects, MIS projects attempt to use a multimodal approach
Tidewater Transit (Norfolk, VA)	TO	A23	developed separately due to the nature of the project and the funding sources, MIS corridor projects are coordinated into a multimodal plan
		Q24	**How are projects selected for the TIP? Who does it? How is it done?**
Connecticut Department of Transportation	DOT	A24	DOT does it based on needs, criterior, and funding
Capital Region Council of Governments (Hartford, CT)	MPO	A24	done by the MPO and the CT DOT, it's based on jurisdictional preference as well as political considerations and technical feasibility
Greater Hartford Transit District (Hartford, CT)	TO	A24	in conjunction w/local transit districts, the local MPO, and the state DOT
Massachusetts Dept. of Transportation & MBTA (transit operator)	DOT	A24	Through the TIP ranking process by the MPO
Central Transportation Planning Staff (Boston, MA)	MPO	A24	The MBTA and CATA (Cape Ann Transit Authority) select the transit projects for the program. The MPO has the ability to reject federal projects per the MOU (Memorandum of Understanding).
North Carolina Department of Transportation	DOT	A24	by the MPO based on local needs
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A24	initiated by the transit operator, approved by the MPO and included in the MTIP and the STIP
Capital Area MPO (Raleigh, NC)	MPO	A24	done by the state DOT
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A24	done by the MPO and the state
Ohio Department of Transportation	DOT	A24	COTA makes the decisions for transit categorical funding, the largest amount of transit funding. MORPC has developed a selection and ranking system for funding that it controls.
Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A24	COTA makes the decisions for transit categorical funding, the largest amount of transit funding. MORPC reviews COTA's decisions. MORPC has developed a selection and ranking system for funding that it controls.
Central Ohio Transit Authority (Columbus, OH)	TO	A24	COTA makes the decisions for transit categorical funding, the largest amount of transit funding. MORPC has developed a selection and ranking system for funding that it controls.
Virginia Department of Transportation	DOT	A24	MPO Policy Committee makes the decision w/recommendations from the technical committees
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A24	80% by transit operator (formula funded projects), 20% by project selection evaluation process (only CMAQ and STP funded projects)
Peninsula Transit (Hampton, VA)	TO	A24	submitted to the MPO by the transit operator; if the source of funding is CMAQ or STP the projects are ranked, if the source of funding is section 9 formula grants, the project is automatically included
Tidewater Transit (Norfolk, VA)	TO	A24	the transit operator submits a constrained list of formula funded projects and projects funded with flexible funds

Survey Responses at Each Planning Level by Site

AGENCY NAME	LEVEL/SO	Q/A#	QUESTION/ANSWER
		Q25	**When funds have been allocated for a project and that project is not ready to go, how is the money reallocated: Is reallocation based on project selection evaluation process, i.e. prioritized list, or is it reallocated to whatever project is ready to go?**
Connecticut Department of Transportation	DOT	A25	depends on length of time lag (funding may be carried over if lag is not greater than one year), it's rare that a project is canceled
Capital Region Council of Governments (Hartford, CT)	MPO	A25	reallocated to whatever project is ready to go
Greater Hartford Transit District (Hartford, CT)	TO	A25	done by the MPO
Massachusetts Dept. of Transportation & MBTA (transit operator)	DOT	A25	It's dictated by whatever project is ready to go, projects prioritized by program year in the TIP (1st year projects most important)
Central Transportation Planning Staff (Boston, MA)	MPO	A25	based on MBTAs internal decision
North Carolina Department of Transportation	DOT	A25	reallocated to whatever project is ready to go
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A25	the money stays with the project
Capital Area MPO (Raleigh, NC)	MPO	A25	money stays with the project
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A25	no experience with this situation
Ohio Department of Transportation	DOT	A25	COTA does not have these problems because it's capital program has been conservative and not very aggressive. ODOT notes, however, that the Easton/SOuth Linden project involved reallocation.
Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A25	COTA does not have these problems because it's capital program has been conservative and not very aggressive. The process for highway funding is very different and more involved.
Central Ohio Transit Authority (Columbus, OH)	TO	A25	COTA does not have these problems because it's capital program has been conservative and not very aggressive.
Virginia Department of Transportation	DOT	A25	after 2 years, money is deobligated and redistributed the following year to other statewide transit projects, hasn't happened yet w/transit projects
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A25	the money sits with the project
Peninsula Transit (Hampton, VA)	TO	A25	hasn't happened w/transit projects
Tidewater Transit (Norfolk, VA)	TO	A25	hasn't happened to transit projects
		Q26	**Do you have the authority to reallocate state, local, and federal funds? Do you exercise that authority?**
Connecticut Department of Transportation	DOT	A26	yes with the cooperation of the MPO
Capital Region Council of Governments (Hartford, CT)	MPO	A26	authority to reallocate federal funding through the TIP process, done when a project is not ready to go
Greater Hartford Transit District (Hartford, CT)	TO	A26	no
Massachusetts Dept. of Transportation & MBTA (transit operator)	DOT	A26	The MBTA can reallocate federal funding subject to MPO review and approval.
Central Transportation Planning Staff (Boston, MA)	MPO	A26	MBTA can and does reallocate state and FTA funds, (no local funds). Federal highway funds are reallocated based on a cooperative effort of the state, MBTA, and MPO. CMAQ funds are reallocated based on decision of MPO committee.

Survey Responses at Each Planning Level by Site

AGENCY NAME	LEVEL/SO	Q/A#	QUESTION/ANSWER
North Carolina Department of Transportation	DOT	A26	only state and federal funds, yes this authority is exercised
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A26	no
Capital Area MPO (Raleigh, NC)	MPO	A26	no
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A26	only TTA local funds; yes transferred between operating and capital
Ohio Department of Transportation	DOT	A26	COTA has the authority and exercises it generally when it prepares the next TIP. This happens rarely. ODOT has decided that TIP projects in years 2 and 3 can be advanced without a TIP amendment with a letter of concurrence from the MPO.
Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A26	COTA has the authority and exercises it generally when it develops projects for the next TIP. This happens rarely.
Central Ohio Transit Authority (Columbus, OH)	TO	A26	COTA has the authority and exercises it when it develops projects for the next TIP. This happens rarely.ODOT's rule that TIP projects in yrs 2 and 3 can be advanced without a TIP amendment, (with a letter of concurrence from the MPO), has been helpful.
Virginia Department of Transportation	DOT	A26	yes, for state and federal with FTA approval; yes
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A26	no
Peninsula Transit (Hampton, VA)	TO	A26	no
Tidewater Transit (Norfolk, VA)	TO	A26	yes, yes
		Q27	**How do you determine the source of funding for each project, i.e. state, federal, local? (How do you establish the funding category for each project?)**
Connecticut Department of Transportation	DOT	A27	use federal funds first, then state (no local funding)
Capital Region Council of Governments (Hartford, CT)	MPO	A27	all money is federal with the exception of the state and local match
Greater Hartford Transit District (Hartford, CT)	TO	A27	depends on what's available
Massachusetts Dept. of Transportation & MBTA (transit operator)	DOT	A27	whichever is easiest to get
Central Transportation Planning Staff (Boston, MA)	MPO	A27	based on MBTA's decision in conjunction with the EOTC. CMAQ funds are decided by MPO committee
North Carolina Department of Transportation	DOT	A27	based on location and availability of funds
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A27	start with federal, then state, then local
Capital Area MPO (Raleigh, NC)	MPO	A27	use federal money with local and state match
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A27	based on projection of availability funding
Ohio Department of Transportation	DOT	A27	COTA uses a three-step process: 1) Assign categorical funding (e.g., earmarks, ODOT Elderly and Disabled) to specific projects; 2) Assign funds to meet federal or state initiatives (e.g., ODOT's push for more capital and less operating use of its funds;
Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A27	COTA: 1) Assign categorical funding (e.g., earmarks, ODOT Elderly and Disabled) to specific proj. 2) Assign funds to meet federal or state initiatives (e.g., ODOT's push for more capital and less operating use of its funds; MORPC: uses defined procedure

Survey Responses at Each Planning Level by Site

AGENCY NAME	LEVEL/SO	Q/A#	QUESTION/ANSWER
Central Ohio Transit Authority (Columbus, OH)	TO	A27	COTA process: 1) Assign categorical funding (e.g., earmarks, ODOT Elderly and Disabled) to specific proj.2) Assign funds to meet fed or state initiatives (eg ODOT's push for more capital & less operating use of its funds; 3) federal/state $ to fill gaps
Virginia Department of Transportation	DOT	A27	depends on the type of project and funding availability as well as the needs/benefit of the project (only for discretionary projects, about 25%, almost 75% are formula funds)
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A27	based on funding availability and the nature of the project
Peninsula Transit (Hampton, VA)	TO	A27	use federal, then state, then local funds
Tidewater Transit (Norfolk, VA)	TO	A27	depends on the nature of the project and funding availability
		Q28	**Are federal highway funds reallocated to transit? If so, are they used for transit improvements? Are they used for operating expenses? If not, are there any spending restrictions?**
Connecticut Department of Transportation	DOT	A28	yes, used for improvements and operating for demo projects only
Capital Region Council of Governments (Hartford, CT)	MPO	A28	yes, for transit improvements only
Greater Hartford Transit District (Hartford, CT)	TO	A28	yes, for transit improvements and planning
Massachusetts Dept. of Transportation & MBTA (transit operator)	DOT	A28	yes, not used for operating expenses, only used for improvements
Central Transportation Planning Staff (Boston, MA)	MPO	A28	Yes, yes, no, yes
North Carolina Department of Transportation	DOT	A28	yes, it started in 1997; yes, no, no spending restrictions
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A28	yes, only transit improvements, spending restriction for using these funds for operating expenses
Capital Area MPO (Raleigh, NC)	MPO	A28	no, no spending restrictions
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A28	no, due to the control of highway interests and their need to keep up with population and vehicle growth given limited funding resources
Ohio Department of Transportation	DOT	A28	The funds transferred are initially allocated to the MPOs. Therefore, reallocation is a local decision. The funds (STP and CMAQ) are generally used for capital except for CMAQ operating demonstrations.
Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A28	Yes, MORPC has provided CMAQ and STP funding for capital projects. CMAQ funds were also used for van pool demonstrations. The Newark MPO provided CMAQ funds for a demonstration of express bus service.
Central Ohio Transit Authority (Columbus, OH)	TO	A28	Yes, MORPC has provided CMAQ and STP funding. The Newark MPO provided CMAQ funds for a demonstration of express bus service.
Virginia Department of Transportation	DOT	A28	yes, yes, yes for CMAQ new starts and experimental transit service only
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A28	yes, yes, no, due to spending restrictions
Peninsula Transit (Hampton, VA)	TO	A28	yes (CMAQ and STP), used for operating and capital
Tidewater Transit (Norfolk, VA)	TO	A28	yes, yes, no due to spending restrictions in program
		Q29	**Are state highway funds reallocated to transit? If so, are they used for transit improvements? Are they used for operating expenses? If not, are there any spending restrictions?**

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AGENCY NAME	LEVEL/SO	Q/A#	QUESTION/ANSWER
Connecticut Department of Transportation	DOT	A29	no, no restrictions, not done based on historic practice
Capital Region Council of Governments (Hartford, CT)	MPO	A29	not done by the MPO
Greater Hartford Transit District (Hartford, CT)	TO	A29	not done at the transit operator level
Massachusetts Dept. of Transportation & MBTA (transit operator)	DOT	A29	no
Central Transportation Planning Staff (Boston, MA)	MPO	A29	No
North Carolina Department of Transportation	DOT	A29	yes, yes, yes
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A29	not sure
Capital Area MPO (Raleigh, NC)	MPO	A29	no, don't know if there are any restrictions
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A29	no, due to the control of highway interests and their need to keep up with population and vehicle growth given limited funding resources
Ohio Department of Transportation	DOT	A29	There are legal prohibitions against using these funds for non-highway purposes. However, ODOT has funded transit improvements (e.g., bus pads, transit loops in downtown areas, park-and-ride lots that have a highway purpose.
Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A29	There are legal prohibitions against using these funds for non-highway purposes. However, ODOT has done this for highway improvements that benefit transit such as bus pads.
Central Ohio Transit Authority (Columbus, OH)	TO	A29	There are legal prohibitions against using these funds for non-highway purposes.
Virginia Department of Transportation	DOT	A29	yes, yes, yes
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A29	yes, for special funding requests and for matching STP funds; yes, it's used for transit improvements (e.g. light rail project), it's not used for operating because of the structure of the state transportation trust fund
Peninsula Transit (Hampton, VA)	TO	A29	yes, used for operating and capital
Tidewater Transit (Norfolk, VA)	TO	A29	yes, for special funding requests and for matching STP funds; yes, it's used for transit improvements (e.g. light rail project), it's not used for operating because of the structure of the state transportation trust fund
		Q30	**In preparing the TIP, is the project selection limited by available funding? (financially constrained) If not, is there a reason? Is it financially constrained by mode?**
Connecticut Department of Transportation	DOT	A30	yes, yes
Capital Region Council of Governments (Hartford, CT)	MPO	A30	yes, yes
Greater Hartford Transit District (Hartford, CT)	TO	A30	n/a
Massachusetts Dept. of Transportation & MBTA (transit operator)	DOT	A30	yes, not financially constrained by mode as EOTC can move money around
Central Transportation Planning Staff (Boston, MA)	MPO	A30	yes, yes
North Carolina Department of Transportation	DOT	A30	yes, yes it's financially constrained by mode
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A30	yes, not constrained by mode
Capital Area MPO (Raleigh, NC)	MPO	A30	done by the state DOT

Survey Responses at Each Planning Level by Site

AGENCY NAME	LEVEL/SO	Q/A#	QUESTION/ANSWER
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A30	n/a, check with the State and the MPOs
Ohio Department of Transportation	DOT	A30	Yes
Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A30	Yes
Central Ohio Transit Authority (Columbus, OH)	TO	A30	Yes.
Virginia Department of Transportation	DOT	A30	yes, not constrained by mode
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A30	yes, yes
Peninsula Transit (Hampton, VA)	TO	A30	yes, yes
Tidewater Transit (Norfolk, VA)	TO	A30	yes, yes
		Q31	**Does the STIP & TIP incl financial info to show projects which are to be implemented using current revenues & which using proposed funding? How do you show that the system is being adequately oper. & maint. when proj. to expand the system are programmed?**
Connecticut Department of Transportation	DOT	A31	yes, the first priority (criteria) is to be able to maintain the existing system
Capital Region Council of Governments (Hartford, CT)	MPO	A31	n/a, the DOT insures there is adequate funding to maintain the current system
Greater Hartford Transit District (Hartford, CT)	TO	A31	n/a
Massachusetts Dept. of Transportation & MBTA (transit operator)	DOT	A31	Yes, demonstrated when preparing MIS projects.
Central Transportation Planning Staff (Boston, MA)	MPO	A31	yes, rely on transportation plan to insure the whole system is adequately operated and maintained
North Carolina Department of Transportation	DOT	A31	yes, the state reviews projects to insure they do not adversely effected the current system
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A31	done by the state
Capital Area MPO (Raleigh, NC)	MPO	A31	done by the state DOT
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A31	n/a, check with the State and the MPOs
Ohio Department of Transportation	DOT	A31	Yes for current revenues. ODOT does not permit projects using proposed funding to be incl in the TIP. COTA does an annual, 5 year TIP that demo its financial capacity to maintain operations for five years. Internal project are developed for 10 years.
Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A31	Yes for current revenues. ODOT does not permit projects using proposed funding to be incl. in TIP.The TIP is modified as proposed funding becomes actual funding. Adequacy is based on comparing COTA's capital assets against industry replacement standards.
Central Ohio Transit Authority (Columbus, OH)	TO	A31	Yes for current revenues.ODOT does not permit proj using proposed funding to be included in TIP. COTA prepares an annual, 5 year TIP that demo its financial capacity to maintain operations for 5 years. Internal project are developed for 10 years.
Virginia Department of Transportation	DOT	A31	yes, by using transit performance evaluation measures locally and statewide
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A31	yes, the system cannot be adequately operated and maintained when projects to expand/improve the system are programmed.
Peninsula Transit (Hampton, VA)	TO	A31	yes, review new projects to insure existing system is maintained at current levels
Tidewater Transit (Norfolk, VA)	TO	A31	yes, done by state statute

Survey Responses at Each Planning Level by Site

AGENCY NAME	LEVEL/SO	Q/A#	QUESTION/ANSWER
		Q32	**What problems do you have relating TIPs, generated by each MPO, with the long range STIP (Statewide Transportation Improvement Program)?**
Connecticut Department of Transportation	DOT	A32	none
Capital Region Council of Governments (Hartford, CT)	MPO	A32	n/a
Greater Hartford Transit District (Hartford, CT)	TO	A32	n/a
Massachusetts Dept. of Transportation & MBTA (transit operator)	DOT	A32	none, EOTC is an active member of the MPO
Central Transportation Planning Staff (Boston, MA)	MPO	A32	none, stapled together
North Carolina Department of Transportation	DOT	A32	none
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A32	done by the state
Capital Area MPO (Raleigh, NC)	MPO	A32	done by the state DOT
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A32	n/a, check with the State and the MPOs
Ohio Department of Transportation	DOT	A32	None, since TIPs that are developed according ODOT guidance are automatically included in the STIP.
Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A32	No problems since ODOT does not modify the metropolitan TIPs and incorporates them into the STIP by reference.
Central Ohio Transit Authority (Columbus, OH)	TO	A32	No problems since ODOT does not modify the metropolitan TIPs and incorporates them into the STIP by reference.
Virginia Department of Transportation	DOT	A32	minimal, reconciling the state and the MPO projects based on statewide programming
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A32	none
Peninsula Transit (Hampton, VA)	TO	A32	none
Tidewater Transit (Norfolk, VA)	TO	A32	not involved
		Q33	**Are standard cost estimation methodologies used at the state, MPO, and transit agency levels for projects?**
Connecticut Department of Transportation	DOT	A33	yes
Capital Region Council of Governments (Hartford, CT)	MPO	A33	yes
Greater Hartford Transit District (Hartford, CT)	TO	A33	no, based on historic practice and current research
Massachusetts Dept. of Transportation & MBTA (transit operator)	DOT	A33	No, based on professional judgement
Central Transportation Planning Staff (Boston, MA)	MPO	A33	yes, for long range cost estimation methodology because it's done solely by the MPO, no formal methodologies for short run
North Carolina Department of Transportation	DOT	A33	no
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A33	no
Capital Area MPO (Raleigh, NC)	MPO	A33	no
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A33	yes, they're not written but they're based on a collaborative effort

Survey Responses at Each Planning Level by Site

AGENCY NAME	LEVEL/SO	Q/A#	QUESTION/ANSWER
Ohio Department of Transportation	DOT	A33	No. COTA (and other systems) use: 1) standard construction cost estimation methodologies for buildings; 2) past experience and discussions with other transit systems for bus purchases and shelters; and 3) past experience and standard construction cost e
Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A33	No. COTA uses: 1) std construct cost est. methodologies for bldgs; 2) past exper. & discussions with other transit systems for bus purchases and shelters 3) past experience and standard construction cost estimation methodologies for park-and-ride lots.
Central Ohio Transit Authority (Columbus, OH)	TO	A33	No. COTA uses: 1) standard construction cost estimation methodologies for buildings; 2) past experience and discussions with other transit systems for bus purchases and shelters; and 3) past experience and standard construction cost estimation methodolo
Virginia Department of Transportation	DOT	A33	no, locally determined
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A33	yes
Peninsula Transit (Hampton, VA)	TO	A33	yes
Tidewater Transit (Norfolk, VA)	TO	A33	yes
		Q34	**Are you satisfied with your cost estimation procedures for projects? If not, are there weaknesses or are the procedures overly complicated?**
Connecticut Department of Transportation	DOT	A34	yes
Capital Region Council of Governments (Hartford, CT)	MPO	A34	not totally satisfied, The state costs are much higher than local costs because the state is reqd to incl $ for DBE requirements, state admin costs, current wage rates, state inspect costs, auditing, recordkeeping, etc.
Greater Hartford Transit District (Hartford, CT)	TO	A34	yes
Massachusetts Dept. of Transportation & MBTA (transit operator)	DOT	A34	MBTA is developing their own cost guidelines. MBTA is developing a database for cost estimation. Cost estimates currently provided by contractors, MBTA reviews. EOTC satisfied with MBTA's cost estimation accuracy.
Central Transportation Planning Staff (Boston, MA)	MPO	A34	yes, however CTPS doesn't track methodology by project
North Carolina Department of Transportation	DOT	A34	yes
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A34	yes
Capital Area MPO (Raleigh, NC)	MPO	A34	yes
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A34	yes
Ohio Department of Transportation	DOT	A34	Yes
Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A34	Yes, COTA makes good estimates.
Central Ohio Transit Authority (Columbus, OH)	TO	A34	Yes, COTA makes good estimates.
Virginia Department of Transportation	DOT	A34	yes
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A34	acceptable but somewhat inadequate, need unit costs for capital improvements
Peninsula Transit (Hampton, VA)	TO	A34	yes

Survey Responses at Each Planning Level by Site

AGENCY NAME	LEVEL/SO	Q/A#	QUESTION/ANSWER
Tidewater Transit (Norfolk, VA)	TO	A34	yes
		Q35	**Are standard cost estimation methodologies used at the state, MPO, and transit agency levels for operating and maintenance costs?**
Connecticut Department of Transportation	DOT	A35	yes
Capital Region Council of Governments (Hartford, CT)	MPO	A35	yes
Greater Hartford Transit District (Hartford, CT)	TO	A35	not aware
Massachusetts Dept. of Transportation & MBTA (transit operator)	DOT	A35	yes, MBTA bases its estimation on historic costs. EOTC satisfied w/MBTA methodology
Central Transportation Planning Staff (Boston, MA)	MPO	A35	yes, use same methodology in the long run, not for the short run
North Carolina Department of Transportation	DOT	A35	no
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A35	no
Capital Area MPO (Raleigh, NC)	MPO	A35	no
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A35	no
Ohio Department of Transportation	DOT	A35	No
Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A35	No. COTA budgets uses a direct cost per hour methodology and estimates indirect costs separately
Central Ohio Transit Authority (Columbus, OH)	TO	A35	No. COTA budgets use a direct cost per hour methodology and estimates indirect costs separately
Virginia Department of Transportation	DOT	A35	no
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A35	yes
Peninsula Transit (Hampton, VA)	TO	A35	no
Tidewater Transit (Norfolk, VA)	TO	A35	yes
		Q36	**Are you satisfied with your cost estimation procedures for operating and maintenance costs? If not, are there weaknesses or are the procedures overly complicated?**
Connecticut Department of Transportation	DOT	A36	yes
Capital Region Council of Governments (Hartford, CT)	MPO	A36	yes
Greater Hartford Transit District (Hartford, CT)	TO	A36	yes
Massachusetts Dept. of Transportation & MBTA (transit operator)	DOT	A36	EOTC feels T does credible job of est. capital and O&M costs. MBTA satisfied with cost est. proced., (based on hist. spending.) 'Asset Management System' will be implemented as budget tool for project funding and justifying expenses at the MBTA.
Central Transportation Planning Staff (Boston, MA)	MPO	A36	yes
North Carolina Department of Transportation	DOT	A36	yes
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A36	yes
Capital Area MPO (Raleigh, NC)	MPO	A36	yes
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A36	yes

Survey Responses at Each Planning Level by Site

AGENCY NAME	LEVEL/SO	Q/A#	QUESTION/ANSWER
Ohio Department of Transportation	DOT	A36	Yes.
Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A36	Yes.
Central Ohio Transit Authority (Columbus, OH)	TO	A36	Yes. COTA only forecasts service level changes for the first year and holds service levels constant in the following year. This reduces the cost estimation problems considerably to only estimating inflationary impacts.
Virginia Department of Transportation	DOT	A36	yes
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A36	acceptable but somewhat inadequate, need the ability to improve farebox projections when expanding service
Peninsula Transit (Hampton, VA)	TO	A36	yes
Tidewater Transit (Norfolk, VA)	TO	A36	yes
		Q37	**Do you make estimates of capital and operating expenses for maintaining the current system? Do these projects include service expansions?**
Connecticut Department of Transportation	DOT	A37	yes, no requirements at this time to provide estimates for service expansion
Capital Region Council of Governments (Hartford, CT)	MPO	A37	yes, in conjuction with the state DOT; no
Greater Hartford Transit District (Hartford, CT)	TO	A37	yes, annually; no
Massachusetts Dept. of Transportation & MBTA (transit operator)	DOT	A37	yes, yes
Central Transportation Planning Staff (Boston, MA)	MPO	A37	yes, yes
North Carolina Department of Transportation	DOT	A37	done by the MPOs
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A37	yes, yes
Capital Area MPO (Raleigh, NC)	MPO	A37	yes, yes
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A37	yes, yes
Ohio Department of Transportation	DOT	A37	No, COTA does as part of the annual, five-year short-range transit plan. Service levels are assumed to remain constant in these projections.
Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A37	No, COTA does as part of the annual, five-year short-range transit plan. Service levels are assumed to remain constant in these projections.
Central Ohio Transit Authority (Columbus, OH)	TO	A37	Yes, as part of the annual, five-year short-range transit plan. Service levels are assumed to remain constant in these projections.
Virginia Department of Transportation	DOT	A37	not done by the state
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A37	yes, yes
Peninsula Transit (Hampton, VA)	TO	A37	yes, yes
Tidewater Transit (Norfolk, VA)	TO	A37	yes, yes
		Q38	**In which areas would guidelines be useful in estimating capital project expense: List of project items with unit costs? Info specifying the level of project detail required? Info to improve the accuracy of estimating project costs and funding projections?**

Survey Responses at Each Planning Level by Site

AGENCY NAME	LEVEL/SO	Q/A#	QUESTION/ANSWER
Connecticut Department of Transportation	DOT	A38a	List of project items with unit costs? no
Capital Region Council of Governments (Hartford, CT)	MPO	A38a	List of project items with unit costs? no
Greater Hartford Transit District (Hartford, CT)	TO	A38a	List of project items with unit costs? not necessary
Massachusetts Dept. of Transportation & MBTA (transit operator)	DOT	A38a	List of project items with unit costs? no, needs to cover the specific situation and location (not realistic)
Central Transportation Planning Staff (Boston, MA)	MPO	A38a	List of project items with unit costs? Yes
North Carolina Department of Transportation	DOT	A38a	List of project items with unit costs? yes
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A38a	List of project items with unit costs? no
Capital Area MPO (Raleigh, NC)	MPO	A38a	List of project items with unit costs? no
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A38a	List of project items with unit costs? yes, for regional rail
Ohio Department of Transportation	DOT	A38a	List of project items with unit costs? No for items that involve local labor and construct costs since they vary among areas.Yes for items that have national prices such as buses. If bus prices are collected, addl info should be collected.
Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A38a	List of project items with unit costs? No for items that involve local labor and construction costs since they vary considerably among areas.
Central Ohio Transit Authority (Columbus, OH)	TO	A38a	List of project items with unit costs? No for items that involve local labor and construct costs since they vary among areas.Yes for items that have national prices such as buses. If bus prices are collected, addl info should be collected.
Virginia Department of Transportation	DOT	A38a	List of project items with unit costs? yes
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A38a	List of project items with unit costs? yes
Peninsula Transit (Hampton, VA)	TO	A38a	List of project items with unit costs? yes, to confirm current practices & insure all factors are included
Tidewater Transit (Norfolk, VA)	TO	A38a	List of project items with unit costs? yes
Connecticut Department of Transportation	DOT	A38b	Information specifying the level of project detail required? no
Capital Region Council of Governments (Hartford, CT)	MPO	A38b	Information specifying the level of project detail required? no
Greater Hartford Transit District (Hartford, CT)	TO	A38b	Information specifying the level of project detail required? not necessary
Massachusetts Dept. of Transportation & MBTA (transit operator)	DOT	A38b	Information specifying the level of project detail required? not necessary
Central Transportation Planning Staff (Boston, MA)	MPO	A38b	Information specifying the level of project detail required? no
North Carolina Department of Transportation	DOT	A38b	Information specifying the level of project detail required? yes
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A38b	Information specifying the level of project detail required? no
Capital Area MPO (Raleigh, NC)	MPO	A38b	Information specifying the level of project detail required? no
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A38b	Information specifying the level of project detail required? yes, most definitely
Ohio Department of Transportation	DOT	A38b	Information specifying the level of project detail required? No, because federal suggestions often become requirements.

Survey Responses at Each Planning Level by Site

AGENCY NAME	LEVEL/SO	Q/A#	QUESTION/ANSWER
Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A38b	Information specifying the level of project detail required? No opinion
Central Ohio Transit Authority (Columbus, OH)	TO	A38b	Information specifying the level of project detail required? No, because federal suggestions often become requirements.
Virginia Department of Transportation	DOT	A38b	Information specifying the level of project detail required? yes
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A38b	Information specifying the level of project detail required? yes
Peninsula Transit (Hampton, VA)	TO	A38b	Information specifying the level of project detail required? yes, to confirm current practices
Tidewater Transit (Norfolk, VA)	TO	A38b	Information specifying the level of project detail required? yes
Connecticut Department of Transportation	DOT	A38c	Information to improve the accuracy of estimating project costs and funding projections? no
Capital Region Council of Governments (Hartford, CT)	MPO	A38c	Information to improve the accuracy of estimating project costs and funding projections? no
Greater Hartford Transit District (Hartford, CT)	TO	A38c	Information to improve the accuracy of estimating project costs and funding projections? not necessary
Massachusetts Dept. of Transportation & MBTA (transit operator)	DOT	A38c	Information to improve the accuracy of estimating project costs and funding projections? not necessary
Central Transportation Planning Staff (Boston, MA)	MPO	A38c	Information to improve the accuracy of estimating project costs and funding projections? no
North Carolina Department of Transportation	DOT	A38c	Information to improve the accuracy of estimating project costs and funding projections? yes
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A38c	Information to improve the accuracy of estimating project costs and funding projections? no
Capital Area MPO (Raleigh, NC)	MPO	A38c	Information to improve the accuracy of estimating project costs and funding projections? no
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A38c	Information to improve the accuracy of estimating project costs and funding projections? no
Ohio Department of Transportation	DOT	A38c	Information to improve the accuracy of estimating project costs and funding projections? No
Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A38c	Information to improve the accuracy of estimating project costs and funding projections? No.
Central Ohio Transit Authority (Columbus, OH)	TO	A38c	Information to improve the accuracy of estimating project costs and funding projections? No
Virginia Department of Transportation	DOT	A38c	Information to improve the accuracy of estimating project costs and funding projections? yes
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A38c	Information to improve the accuracy of estimating project costs and funding projections? yes
Peninsula Transit (Hampton, VA)	TO	A38c	Information to improve the accuracy of estimating project costs and funding projections? yes, to confirm current practices
Tidewater Transit (Norfolk, VA)	TO	A38c	Information to improve the accuracy of estimating project costs and funding projections? yes
		Q39	**In which areas would guidelines be useful in estimating operations and maintenance (O & M) expense: List of unit costs? Info specifying the level of costing detail required? Info to improve the accuracy of estimating operations and maintenance costs?**
Connecticut Department of Transportation	DOT	A39a	List of unit costs? no
Capital Region Council of Governments (Hartford, CT)	MPO	A39a	List of unit costs? no
Greater Hartford Transit District (Hartford, CT)	TO	A39a	List of unit costs? not necessary
Massachusetts Dept. of Transportation & MBTA (transit operator)	DOT	A39a	List of unit costs? no

Survey Responses at Each Planning Level by Site

AGENCY NAME	LEVEL/SO	Q/A#	QUESTION/ANSWER
Central Transportation Planning Staff (Boston, MA)	MPO	A39a	List of unit costs? no
North Carolina Department of Transportation	DOT	A39a	List of unit costs? yes
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A39a	List of unit costs? no
Capital Area MPO (Raleigh, NC)	MPO	A39a	List of unit costs? no
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A39a	List of unit costs? no
Ohio Department of Transportation	DOT	A39a	List of unit costs? No, since local contracts and conditions are significant factors in cost differences.
Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A39a	List of unit costs? No.
Central Ohio Transit Authority (Columbus, OH)	TO	A39a	List of unit costs? No, since local contracts and conditions are significant factors in cost differences.
Virginia Department of Transportation	DOT	A39a	List of unit costs? yes
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A39a	List of unit costs? yes
Peninsula Transit (Hampton, VA)	TO	A39a	List of unit costs? yes, to confirm current practices & insure all factors are included
Tidewater Transit (Norfolk, VA)	TO	A39a	List of unit costs? yes
Connecticut Department of Transportation	DOT	A39b	Information specifying the level of costing detail required? no
Capital Region Council of Governments (Hartford, CT)	MPO	A39b	Information specifying the level of costing detail required? no
Greater Hartford Transit District (Hartford, CT)	TO	A39b	Information specifying the level of costing detail required? not necessary
Massachusetts Dept. of Transportation & MBTA (transit operator)	DOT	A39b	Information specifying the level of costing detail required? not necessary
Central Transportation Planning Staff (Boston, MA)	MPO	A39b	Information specifying the level of costing detail required? no
North Carolina Department of Transportation	DOT	A39b	Information specifying the level of costing detail required? yes
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A39b	Information specifying the level of costing detail required? no
Capital Area MPO (Raleigh, NC)	MPO	A39b	Information specifying the level of costing detail required? no
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A39b	Information specifying the level of costing detail required? yes
Ohio Department of Transportation	DOT	A39b	Information specifying the level of costing detail required? No for day-to-day and budgeting needs. Yes for MIS projects involving new modes.
Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A39b	Information specifying the level of costing detail required? No.
Central Ohio Transit Authority (Columbus, OH)	TO	A39b	Information specifying the level of costing detail required? No for day-to-day and budgeting needs. Yes for MIS projects involving new modes.
Virginia Department of Transportation	DOT	A39b	Information specifying the level of costing detail required? yes
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A39b	Information specifying the level of costing detail required? yes
Peninsula Transit (Hampton, VA)	TO	A39b	Information specifying the level of costing detail required? yes, to confirm current practices
Tidewater Transit (Norfolk, VA)	TO	A39b	Information specifying the level of costing detail required? yes
Connecticut Department of Transportation	DOT	A39c	Information to improve the accuracy of estimating operations and maintenance costs? no
Capital Region Council of Governments (Hartford, CT)	MPO	A39c	Information to improve the accuracy of estimating operations and maintenance costs? no

Survey Responses at Each Planning Level by Site

AGENCY NAME	LEVEL/SO	Q/A#	QUESTION/ANSWER
Greater Hartford Transit District (Hartford, CT)	TO	A39c	Information to improve the accuracy of estimating operations and maintenance costs? not necessary
Massachusetts Dept. of Transportation & MBTA (transit operator)	DOT	A39c	Information to improve the accuracy of estimating operations and maintenance costs? not necessary
Central Transportation Planning Staff (Boston, MA)	MPO	A39c	Information to improve the accuracy of estimating operations and maintenance costs? no
North Carolina Department of Transportation	DOT	A39c	Information to improve the accuracy of estimating operations and maintenance costs? yes
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A39c	Information to improve the accuracy of estimating operations and maintenance costs? no
Capital Area MPO (Raleigh, NC)	MPO	A39c	Information to improve the accuracy of estimating operations and maintenance costs? no
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A39c	Information to improve the accuracy of estimating operations and maintenance costs? no
Ohio Department of Transportation	DOT	A39c	Information to improve the accuracy of estimating operations and maintenance costs? Yes, some systems need help in understanding the relationship of costs to service levels (e.g., miles, hours).
Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A39c	Information to improve the accuracy of estimating operations and maintenance costs? No for COTA, maybe for other Ohio systems.
Central Ohio Transit Authority (Columbus, OH)	TO	A39c	Information to improve the accuracy of estimating operations and maintenance costs? No
Virginia Department of Transportation	DOT	A39c	Information to improve the accuracy of estimating operations and maintenance costs? yes
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A39c	Information to improve the accuracy of estimating operations and maintenance costs? yes
Peninsula Transit (Hampton, VA)	TO	A39c	Information to improve the accuracy of estimating operations and maintenance costs? yes, to confirm current practices
Tidewater Transit (Norfolk, VA)	TO	A39c	Information to improve the accuracy of estimating operations and maintenance costs? yes
		Q40	**Would you find technical advice for preparing ISTEA financial reports useful?**
Connecticut Department of Transportation	DOT	A40	no
Capital Region Council of Governments (Hartford, CT)	MPO	A40	no
Greater Hartford Transit District (Hartford, CT)	TO	A40	no
Massachusetts Dept. of Transportation & MBTA (transit operator)	DOT	A40	not necessary
Central Transportation Planning Staff (Boston, MA)	MPO	A40	no
North Carolina Department of Transportation	DOT	A40	yes
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A40	no
Capital Area MPO (Raleigh, NC)	MPO	A40	no
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A40	yes, very helpful
Ohio Department of Transportation	DOT	A40	No. The big problem is the uncertainty regarding the levels of federal funding.
Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A40	MORPC has figured it out and it is acceptable.
Central Ohio Transit Authority (Columbus, OH)	TO	A40	Yes, if useful. COTA is comfortable with its current procedures.
Virginia Department of Transportation	DOT	A40	yes
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A40	yes

Survey Responses at Each Planning Level by Site

AGENCY NAME	LEVEL/SO	Q/A#	QUESTION/ANSWER
Peninsula Transit (Hampton, VA)	TO	A40	sure
Tidewater Transit (Norfolk, VA)	TO	A40	yes
Connecticut Department of Transportation	DOT	A41	no
Capital Region Council of Governments (Hartford, CT)	MPO	A41	no
Greater Hartford Transit District (Hartford, CT)	TO	A41	no
Massachusetts Dept. of Transportation & MBTA (transit operator)	DOT	A41	Yes, there are some problems with the definition of reasonable and committed
Central Transportation Planning Staff (Boston, MA)	MPO	A41	no
North Carolina Department of Transportation	DOT	A41	yes
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A41	no
Capital Area MPO (Raleigh, NC)	MPO	A41	no
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A41	yes, very helpful
Ohio Department of Transportation	DOT	A41	No.
Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A41	MORPC has figured it out and it is acceptable.
Central Ohio Transit Authority (Columbus, OH)	TO	A41	Yes, if useful. COTA is comfortable with its current procedures.
Virginia Department of Transportation	DOT	A41	yes
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A41	no
Peninsula Transit (Hampton, VA)	TO	A41	sure
Tidewater Transit (Norfolk, VA)	TO	A41	yes
		Q42	**Has the state issued guidelines to MPOs for preparing MIS (Major Investment Studies)? If yes, what kind of guidelines and at what level of detail?**
Connecticut Department of Transportation	DOT	A42	no
Capital Region Council of Governments (Hartford, CT)	MPO	A42	no
Greater Hartford Transit District (Hartford, CT)	TO	A42	no
Massachusetts Dept. of Transportation & MBTA (transit operator)	DOT	A42	no, attempt was made but not completed (personnel problems); guidelines would be useful
Central Transportation Planning Staff (Boston, MA)	MPO	A42	no
North Carolina Department of Transportation	DOT	A42	no
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A42	no
Capital Area MPO (Raleigh, NC)	MPO	A42	no
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A42	no
Ohio Department of Transportation	DOT	A42	No, but draft guidance has been prepared.
Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A42	ODOT has provided draft guidance on MIS.
Central Ohio Transit Authority (Columbus, OH)	TO	A42	No, follow federal guidelines

Survey Responses at Each Planning Level by Site

AGENCY NAME	LEVEL/SO	Q/A#	QUESTION/ANSWER
Virginia Department of Transportation	DOT	A42	no, the state uses the federal guidelines
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A42	yes, new 20 page report details the VA DOT MIS procedural guidelines.
Peninsula Transit (Hampton, VA)	TO	A42	no
Tidewater Transit (Norfolk, VA)	TO	A42	no
		Q43	**Is the agency responsible for carrying out each project identified? How is the lead agency established? Is it program or project based? Does it change? If so, how often?**
Connecticut Department of Transportation	DOT	A43	yes, through historic practice, project based, no
Capital Region Council of Governments (Hartford, CT)	MPO	A43	no, either the state or the local community identify responsibility for the project depending on who's jurisdiction it falls under; doesn't change
Greater Hartford Transit District (Hartford, CT)	TO	A43	yes, it's project based; doesn't change
Massachusetts Dept. of Transportation & MBTA (transit operator)	DOT	A43	Yes, lead agency identified based on project; doesn't usually change
Central Transportation Planning Staff (Boston, MA)	MPO	A43	Yes, project based; only changes for multimodal projects
North Carolina Department of Transportation	DOT	A43	yes, lead agency is project based, doesn't change
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A43	yes, it's project based and doesn't change
Capital Area MPO (Raleigh, NC)	MPO	A43	yes, lead agency is project based, doesn't change
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A43	project based, doesn't change
Ohio Department of Transportation	DOT	A43	Local decision based on local assessment of capabilities and available staff time.
Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A43	Lead agency selected in discussion between COTA & MORPC. Factors incl: 1) Provisions in the COTA/MORPC Memo. of Understanding 2) Skills & time avail. at each agency 3) Agency funding proj. 4) Agency promoting proj.; It is project based & rarely changes.
Central Ohio Transit Authority (Columbus, OH)	TO	A43	Lead agency selected in a discussion between COTA and MORPC. Factors considered are: 1) Provisions in the COTA/MORPC Memorandum of Understanding; and 2) Skills and time available at each agency.It's project based & seldom changes.
Virginia Department of Transportation	DOT	A43	yes, project based, doesn't change
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A43	yes, lead agency is project based, doesn't change
Peninsula Transit (Hampton, VA)	TO	A43	yes, project based, can change
Tidewater Transit (Norfolk, VA)	TO	A43	yes, it's project based, doesn't change
		Q44	**How is financial planning information for transit projects coordinated at the state, MPO, and transit agency levels?**
Connecticut Department of Transportation	DOT	A44	through the DOT; we provide monthly updates to the MPOs
Capital Region Council of Governments (Hartford, CT)	MPO	A44	through group meetings on an as needed basis (usually annually)
Greater Hartford Transit District (Hartford, CT)	TO	A44	committee including the transit operator, MPO, and CT DOT
Massachusetts Dept. of Transportation & MBTA (transit operator)	DOT	A44	Coordinated by the EOTC, information supplied by the MBTA and passed through MPO

Survey Responses at Each Planning Level by Site

AGENCY NAME	LEVEL/SO	Q/A#	QUESTION/ANSWER
Central Transportation Planning Staff (Boston, MA)	MPO	A44	The MBTA inititiates transit projects, identifies funding, and tracks expenditures. Information passed to MPO and state.
North Carolina Department of Transportation	DOT	A44	local transit projects included in the STIP
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A44	coordinated by the MPO
Capital Area MPO (Raleigh, NC)	MPO	A44	it's assumed that each level knows what they're doing
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A44	done primarily at the state level
Ohio Department of Transportation	DOT	A44	The information is developed based on the ODOT TIP guidelines. It is coordinated through the TIP development process.
Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A44	The information is developed based on the ODOT TIP guidelines. It is coordinated through the TIP development process.
Central Ohio Transit Authority (Columbus, OH)	TO	A44	The information is developed based on the ODOT TIP guidelines. It is coordinated through the TIP development process.
Virginia Department of Transportation	DOT	A44	through the TIP programming process
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A44	through the TIP process
Peninsula Transit (Hampton, VA)	TO	A44	through the state DOT (Dept. of Rail & Public Transportation)
Tidewater Transit (Norfolk, VA)	TO	A44	through the TIP process
		Q45	**How are state funding allocation decisions made? Do the MPO and transit operator have any influence?**
Connecticut Department of Transportation	DOT	A45	made by the DOT with cooperation from the MPOs and local transit districts
Capital Region Council of Governments (Hartford, CT)	MPO	A45	not sure, the MPO has some influence
Greater Hartford Transit District (Hartford, CT)	TO	A45	the MPO and transit operator have influence through the TIP process
Massachusetts Dept. of Transportation & MBTA (transit operator)	DOT	A45	State and federal transit funds allocated by the MPO are granted directly to the MBTA. Highway funds used for transit are allocated by the MPO.
Central Transportation Planning Staff (Boston, MA)	MPO	A45	State & federal funding for transit projects goes directly to the MBTA. Highway funding used for transit is distributed by formula.
North Carolina Department of Transportation	DOT	A45	cooperatively with the MPO and transit operator, state makes the final decision
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A45	state formula for allocating transit operating funds, state ranks capital projects based on project category, e.g. equipment replacement, service expansion, passenger amenities; not sure if MPOs ranking influences state decisions
Capital Area MPO (Raleigh, NC)	MPO	A45	by the state; however, the transit operator generally gets what they request
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A45	made by the state with limited input from the transit agency
Ohio Department of Transportation	DOT	A45	State funding is allocated by formula. Limited, state discretionary funding, evaluation process developed by ODOT in coord w/operators and MPOs.When ODOT considers changes to its formulae, it consults operators at state transit meetings and individually.

Survey Responses at Each Planning Level by Site

AGENCY NAME	LEVEL/SO	Q/A#	QUESTION/ANSWER
Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A45	MPOs have had input into the allocation of Section 8 planning funding. MORPC is happy with current process.
Central Ohio Transit Authority (Columbus, OH)	TO	A45	State funding allocated by formula. Ltd, state discretionary funding based on evaluation develop by ODOT in coordination w/operators and MPOs. When ODOT considers changes to its formulae, it consults operators at state transit meetings and individually.
Virginia Department of Transportation	DOT	A45	allocation recommendations made by DRPT to their board, the locals have input in 2 ways: 1) by submitting their own projects, and 2) they confer with the DRPT to further explain & justify their project applications
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A45	funds are allocated by formula for capital and operating expenses (no influence involved)
Peninsula Transit (Hampton, VA)	TO	A45	formula based for operating costs; capital is based on state funding capabilities; transit operator has input on the discretionary funds, not the formula funds
Tidewater Transit (Norfolk, VA)	TO	A45	by state statute and through approval of the state transportation board; yes, through project recommendation by the Department of Rail and Public Transportation

Survey Responses at the DOT Level

AGENCY LOC.	LEVEL	Q/A#	QUESTION/ANSWER
	DOT	Q01	**What role does your agency play in the financial planning aspects of transit projects as they relate to the following FTA requirements: MIS, SIP, STIP, LRP, STP, TIP?**
Connecticut	DOT	A01a	MIS - conducted by either MPO or DOT
North Carolina	DOT	A01a	MIS - contractor for consultant (1 MIS - Chapel Hill to Durham Corridor Study)
Virginia	DOT	A01a	MIS - lead & support agency depending on the Sec. of Transport. currently lead on Dulles Corridor & I-66 Corridor Projects
Massachusetts	DOT	A01a	MIS - MBTA takes the lead.
Ohio	DOT	A01a	MIS - Provide general guidance and review. Now preparing draft guidance.
Connecticut	DOT	A01b	SIP - coordinated by DEP; DOT provides input along with committee (DEP, DOT, 2 MPOs, Office of Policy & Management, FTA, FHWA, environmental groups); DOT prepares conformity reports.
North Carolina	DOT	A01b	SIP - participant on steering committee
Virginia	DOT	A01b	SIP - involved in the technical committee process at the MPO level to insure transit, CMAQ and transportation demand management projects (e.g. ride sharing, HOV lanes, transit fare adjustment to increase ridership, telecommuting) are addressed
Massachusetts	DOT	A01b	SIP - EOTC usually takes the lead for determining costs.
Ohio	DOT	A01b	SIP - No direct involvement. Provided initial inventory through HPMS for highways.
Connecticut	DOT	A01c	STIP - DOT is the lead agency
North Carolina	DOT	A01c	STIP - lead agency on transit component
Virginia	DOT	A01c	STIP - lead on transit portion
Massachusetts	DOT	A01c	STIP - EOTC takes lead. Works w/MBTA
Ohio	DOT	A01c	STIP - Lead responsibility. Include metropolitan TIPs by reference and as an addendum.
Connecticut	DOT	A01d	LRP - review MPO plan
North Carolina	DOT	A01d	LRP - participant on steering committee
Virginia	DOT	A01d	LRP - work on urbanized technical committees to include transit and rail projects (each urbanized area has techinical committee)
Massachusetts	DOT	A01d	LRP - EOTC takes lead. Works w/MBTA and MPO. LRP is prepared by CTPS.
Ohio	DOT	A01d	LRP - Participate in initial project and scoping and in final review for reasonableness.
Connecticut	DOT	A01e	STP - DOT reviews regional long range plans, sent to regional agencies for their review.
North Carolina	DOT	A01e	STP - participant on steering committee (Division of Highways is lead agency)
Virginia	DOT	A01e	STP - lead on transit portion
Massachusetts	DOT	A01e	STP - EOTC takes lead. Works w/MBTA and MPO
Ohio	DOT	A01e	STP - Little involvement. Happy with COTA's work.
Connecticut	DOT	A01f	TIP - DOT initiates projects based on local needs and available funding.
North Carolina	DOT	A01f	TIP - participant on steering committee
Virginia	DOT	A01f	TIP - on MPO technical committees (make recommendations to the MPO as to which projects to include)
Massachusetts	DOT	A01f	TIP - CTPS prepares w/direction from EOTC and other state agencies.
Ohio	DOT	A01f	TIP - ODOT issued Ohio Biennial STIP/TIP Development Requirements, September 1996 that includes requirements, funding projection guidance, and a schedule. ODOT reviews draft TIPs.. It also is represented on the board of each MPO.
	DOT	Q02	**Which, if any, of the ISTEA financial planning requirements do you take lead responsibility?**
Connecticut	DOT	A02	MIS, STIP, STP, TIP
North Carolina	DOT	A02	STIP (transit element of program), MIS
Virginia	DOT	A02	MIS, STIP (transit), STP (transit)
Massachusetts	DOT	A02	EOTC: STIP, STP, LRP, SIP MBTA: MIS
Ohio	DOT	A02	STIP.
	DOT	Q03	**Which, if any, of the ISTEA financial planning requirements do you take support responsibility?**
Connecticut	DOT	A03	MIS, LRP, SIP
North Carolina	DOT	A03	SIP, LRP, STP, TIP

Survey Responses at the DOT Level

AGENCY LOC.	LEVEL	Q/A#	QUESTION/ANSWER
Virginia	DOT	A03	MIS, SIP, LRP, TIP
Massachusetts	DOT	A03	EOTC: MIS, TIP MBTA: SIP, STIP, LRP, STP, TIP
Ohio	DOT	A03	Review all other planning and project products.
	DOT	Q04	**How is lead and support responsibility established?**
Connecticut	DOT	A04	by historic practice
North Carolina	DOT	A04	based on the state's understanding of the federal regulations
Virginia	DOT	A04	by the Secretary of Transportation
Massachusetts	DOT	A04	based on Memorandum of Understanding and on project needs
Ohio	DOT	A04	Except for the STIP, the responsibilities are determined locally between the MPO and transit operator.
	DOT	Q05	**How are transit projects initiated? Who ranks them? (transit oper. quest.)**
Connecticut	DOT	A05	generally done by DOT but also initiated at local transit agency level; DOT ranks the project based on criterion (safety, air quality, etc.), needs, and funding availability
North Carolina	DOT	A05	primarily by the transit operator, no formal ranking process
Virginia	DOT	A05	by the transit operator and by DRPT; ranked by the transit operator and the MPO
Massachusetts	DOT	A05	inititiated by MPO in LRP (MBTA is MPO member); ranking jointly through development of LRP.
Ohio	DOT	A05	Primarily COTA. Sometimes COTA initiates projects in response to expressed community needs.
	DOT	Q06	**How do your Clean Air Act projects get into the SIP? (includes transit and highway projects)**
Connecticut	DOT	A06	projects comply with SIP based on conformity analysis
North Carolina	DOT	A06	not sure
Virginia	DOT	A06	through conformity analysis at the MPO level
Massachusetts	DOT	A06	with approval from the EOTC
Ohio	DOT	A06	Not applicable, since there are no control projects.
	DOT	Q07	**Has meeting the CAA requirements restricted your ability to implement projects which you consider to be of greater need?**
Connecticut	DOT	A07	no
North Carolina	DOT	A07	no
Virginia	DOT	A07	no, it has helped sponsor more transit and TDM projects
Massachusetts	DOT	A07	no
Ohio	DOT	A07	Not applicable, since there are no control projects.
	DOT	Q08	**Are all CAA transportation projects identified and initiated by transportation planning organizations, e.g. DOT, MPO, transit operator, as opposed to a non-transportation agency, e.g. state EPA?**
Connecticut	DOT	A08	generally DOT but also done by Vehicle Emissions Program
North Carolina	DOT	A08	There are no CAA transit projects.
Virginia	DOT	A08	yes
Massachusetts	DOT	A08	yes, inititiated by transportation groups
Ohio	DOT	A08	Not applicable, since there are no control projects.
	DOT	Q09	**Have any state guidelines been issued relative to compliance with ISTEA financial planning regulations? (for internal use and/or distribution)**
Connecticut	DOT	A09	no
North Carolina	DOT	A09	no
Virginia	DOT	A09	yes, procedural guidelines concerning state & MPO responsibilities and funding allocations
Massachusetts	DOT	A09	no
Ohio	DOT	A09	Yes, Ohio Biennial STIP/TIP Development Requirements, September 1996.
	DOT	Q10	**Do you have any suggestions for improving the technical or reporting aspects of ISTEA financial planning requirements?**

Survey Responses at the DOT Level

AGENCY LOC.	LEVEL	Q/A#	QUESTION/ANSWER
Connecticut	DOT	A10	Projects slated for funding which do not get underway within the federal fiscal year program in the STIP must go through the TIP/STIP approval process again; adds time to project schedule (significantly delays projects)
North Carolina	DOT	A10	no
Virginia	DOT	A10	no
Massachusetts	DOT	A10	Discretionary funding section 5307 is programmed in year 3 and moved to year 1 when funds are received. It is difficult to explain to constituents.
Ohio	DOT	A10	No.
	DOT	Q11	**What are your primary sources of funding for transit improvements ?**
Connecticut	DOT	A11a	Transit Operator - none
North Carolina	DOT	A11a	Transit Operator - None
Virginia	DOT	A11a	Transit Operator - none
Massachusetts	DOT	A11a	Transit Operator: Transit Operator – finances capital improvements through bonds; principal & interest paid by the state; (MBTA bonding authority: $1.5 billion over rolling 5 year period for MBTA projects; $1.5 billion limit set by MBTA Board of Directors
Ohio	DOT	A11a	Transit Operator: 1/4 percent sales tax
Connecticut	DOT	A11b	Local (Does it vary by jurisdiction?) - none
North Carolina	DOT	A11b	Local (Does it vary by jurisdiction?) - varies by jurisdiction: includes property tax, vehicle registration fees, tax on rental vehicles
Virginia	DOT	A11b	Local (Does it vary by jurisdiction?) - city general funds
Massachusetts	DOT	A11b	Local (Does it vary by jurisdiction?) - none
Ohio	DOT	A11b	Local: None
Connecticut	DOT	A11c	State - state provides the 20% for the non-federal share
North Carolina	DOT	A11c	State - state highway funds, (no dedicated source of funding, no general funds)
Virginia	DOT	A11c	State - transportation trust fund & highway maintenance & operating fund
Massachusetts	DOT	A11c	State - state appropriation
Ohio	DOT	A11c	State: Ohio Public Transportation Grant Program funds (OPTGP) that are distributed by formula.
Connecticut	DOT	A11d	Federal - feds provide 80% of project cost through sections 5307, 5309, 5310, 5311
North Carolina	DOT	A11d	Federal - sections 5307 and 5309
Virginia	DOT	A11d	Federal - section 5307 formula funds (80%), STP highway funds which are transferred to transit, CMAQ funds
Massachusetts	DOT	A11d	Federal - normal FTA funding and flex highway funds
Ohio	DOT	A11d	Federal: Section 9 (5307) formula funds and Section 3 (5309) earmark funds obtained as part of ODOT package of earmark requests for all Ohio systems. The ODOT package is submitted as one request and is administered by ODOT.
	DOT	Q12	**What are your primary sources of funding for transit operating and maintenance costs ?**
Connecticut	DOT	A12a	Transit Operator (Is it always farebox or does it vary by operator?) farebox
North Carolina	DOT	A12a	Transit Operator (Is it always farebox or does it vary by operator?) - farebox
Virginia	DOT	A12a	Transit Operator (Is it always farebox or does it vary by operator?) - farebox
Massachusetts	DOT	A12a	Transit Operator (Is it always farebox or does it vary by operator?) MBTA - farebox, parking, rents, advertising, concessions, fiber optics
Ohio	DOT	A12a	Transit Operator: 1/4 percent sales tax
Connecticut	DOT	A12b	Local (Does it vary by jurisdiction?) - local communities supplement fares if fares represent less than 33% of total costs, state reimburses up to 67% of operating costs.
North Carolina	DOT	A12b	Local (Does it vary by jurisdiction?) - varies by jurisdiction: includes property tax, vehicle registration fees, tax on rental vehicles
Virginia	DOT	A12b	Local (Does it vary by jurisdiction?) - city general funds, Northern VA has an additional 2% gas tax primarily used for transit operating costs
Massachusetts	DOT	A12b	Local (Does it vary by jurisdiction?) - $125 million distributed geographically by formula (based on service levels)
Ohio	DOT	A12b	Local: None
Connecticut	DOT	A12c	State - up to 67% of operating costs.
North Carolina	DOT	A12c	State - state highway funds, (no dedicated source of funding, no general funds)

Survey Responses at the DOT Level

AGENCY LOC.	LEVEL	Q/A#	QUESTION/ANSWER
Virginia	DOT	A12c	State - transportation trust fund ($49 million) & highway maintenance & operating fund ($35 million) for FY98
Massachusetts	DOT	A12c	State - state appropriation
Ohio	DOT	A12c	State: OPTGP funds that are distributed by formula.
Connecticut	DOT	A12d	Federal very little under section 5307
North Carolina	DOT	A12d	Federal - section 5309
Virginia	DOT	A12d	Federal - old section 9 (5307), small areas get section 5311 (non urbanized area funding), CMAQ for new starts and demonstration projects
Massachusetts	DOT	A12d	Federal - FTA operating assistance
Ohio	DOT	A12d	Federal: Section 9 (5307) formula funds
	DOT	Q13	**Have you considered methods of financing transit projects that you consider new or innovative? If yes, give some examples. If not, have you used creative financing techniques for highway projects? If you have, why haven't you used them for transit proj?**
Connecticut	DOT	A13	transit authority buys vehicles, sells them to another company & leases them back, (company that buys vehicles gets depreciation tax credit), lease retail space in commuter rail stations, lease rail equipment to Texas commuter rail company
North Carolina	DOT	A13	state infrastructure bank where state gets federal money and loans it to local transit authorities; the state charges low interest rates for money; money can be used for transit or highway
Virginia	DOT	A13	yes, e.g. $.5 million in state funds used for demonstration/experimental transit projects; state public/private development act that allows the private sector to make proposals on any capital or oper. transport project, incl transit (no transit req. yet)
Massachusetts	DOT	A13	1) BET: adv. construct. auth. ($186 mil) 2) lease leverage (sell tax credits-depreciation)3) Wellington-park fac. (Cbt Cbt & Forbes) 4) At 4 sta: mix transit w/public develop 5) So.Sta.(Beacon Co)-retail space(T paid rent) 6) TRA- jt.develop.opportunities
Ohio	DOT	A13	1. CMAQ funds for bus replace, park&ride lots, demo svc to Newark. 2.State Infrastructure Bank (not used by COTA) 3.Toll Revenue Credit (not used by COTA) 3.Contract w/ODOT and City of Columbus for xtra svc during highway construct (PavetheWay Program)
	DOT	Q14	**How are the use of capital and operating funds tracked?**
Connecticut	DOT	A14	tracked by the DOT through their accounting system
North Carolina	DOT	A14	manual accounting system for transit projects
Virginia	DOT	A14	by the transit operators, the state tracks federal and state grants using the state accounting & payment system (transit operator bills the state, the state reimburses the transit operator with the appropriate state and/or federal money)
Massachusetts	DOT	A14	MBTA has accounting system; EOTC uses MMARS accounting system; paper transfer of information.
Ohio	DOT	A14	COTA invoices ODOT for expenses incurred. ODOT compares obligation to expenses incurred. COTA supporting files for capital expenses are reviewed by ODOT once per year. The Ohio state auditor audits COTA's operating expenses every year.
	DOT	Q15	**How are funding projections made? Who makes them?**
Connecticut	DOT	A15	DOT makes them based on historical record
North Carolina	DOT	A15	local jurisdictions do funding projections which are submitted to the state and included in the STIP
Virginia	DOT	A15	done by transit operator and the state DMV based on historic trends!
Massachusetts	DOT	A15	EOTC relies on MBTA to provide local & federal funding projections; long range funding projections for state made by CTPS for their long range plan.
Ohio	DOT	A15	ODOT's Ohio Biennial STIP/TIP Develop Requirements, Sept 1996 sets procedure to est. federal & state funds. ODOT provides new info on levels of federal & state funding to MPOs and operators as soon as it knows changes.COTA estimates sales tax revenues.
	DOT	Q16	**Are funding projections updated? If yes, by whom? Are the updates timely and reliable?**
Connecticut	DOT	A16	yes, by the DOT, absolutely
North Carolina	DOT	A16	yes, annually by local transit operator, the updates are timely and reliable
Virginia	DOT	A16	yes, by transit operators and DMV (Dept of Motor Vehicles); state projections are updated quarterly and are timely and reliable
Massachusetts	DOT	A16	The MBTA updates funding projections. 5 year Federal appropriation projections made by the MBTA for TIP, projections are reviewed by EQTC; (5 year projection straight lined by MBTA; operating projections made annually)
Ohio	DOT	A16	ODOT's guidelines are based on last year's appropriations of federal and state funding. ODOT provides new information on the levels of federal and state funding to MPOs and operators as soon as it learns about changes. COTA est. sales tax revenues. Yes.

Survey Responses at the DOT Level

AGENCY LOC.	LEVEL	Q/A#	QUESTION/ANSWER
	DOT	Q17	**Do MPOs and transit agencies get timely and reliable information from the DOT concerning the ranking of their projects and prospects for funding?**
Connecticut	DOT	A17	absolutely
North Carolina	DOT	A17	no formal ranking, difficult for state to make funding projections for discretionary funding because of the relative weight of political factors
Virginia	DOT	A17	yes
Massachusetts	DOT	A17	EOTC says yes, MBTA says yes
Ohio	DOT	A17	Of course!
	DOT	Q18	**Do you have any problems making 20 year funding projections? How about 10 year projections? 5 year projections? 3 year projections? What types of problems do you encounter in making each of these projections?**
Connecticut	DOT	A18	no
North Carolina	DOT	A18	The Public Transportation Division only makes up to a 5 year transit projection. No difficulty in making projections.
Virginia	DOT	A18	done by the state DMV and transit operators
Massachusetts	DOT	A18	no
Ohio	DOT	A18	No problems beyond the increase in uncertainty as the forecast year goes further into the future. Federal funding projections always are a problem.
	DOT	Q19	**In preparing the STIP (Statewide Transportation Improvement Program) and TIP (Transportation Improvement Plan), does the state and MPO review the reasonableness of projected funding levels for metropolitan areas? How is this done?**
Connecticut	DOT	A19	yes, done by the DOT through the draft project listings and the STIP/STP process
North Carolina	DOT	A19	yes, based on anticipated funding levels
Virginia	DOT	A19	yes, must conform to the constrained long range plan
Massachusetts	DOT	A19	EOTC does this work in cooperation with the MBTA.
Ohio	DOT	A19	ODOT and MORPC review the reasonableness of projections as part of the TIP process. Since ODOT's guidelines are specific and because COTA is conservative in its forecasts (no increase in svc. or state and federal funding), the review comments are minor.
	DOT	Q20	**How are MIS projects reviewed to insure they're either standalone or programmed into useable pieces?**
Connecticut	DOT	A20	done by the DOT
North Carolina	DOT	A20	through state review
Virginia	DOT	A20	reviewed by the MPO and the state
Massachusetts	DOT	A20	MBTA insures in MIS that work is done in useable stages. EOTC reviews MIS for useable pieces.
Ohio	DOT	A20	This requirement is usually a key part of the MIS work scope. Therefore, the study products meet the requirements and require only limited review. ODOT is encouraging MPOs to conduct at least one corridor/MIS study every year.
	DOT	Q21	**How do you insure that transit projects required under the Clean Air Act are included in the programming process?**
Connecticut	DOT	A21	done by the DOT
North Carolina	DOT	A21	it's up to the local transit operators to include them
Virginia	DOT	A21	through the state's participation in the MPO technical committees
Massachusetts	DOT	A21	EOTC identifies projects during programming process.
Ohio	DOT	A21	Not applicable since area does not require control measures.
	DOT	Q22	**When developing programs, are highway and transit projects developed separately or is it a multimodal approach? If projects are developed separately, is it because of the nature of these projects and are they coordinated into a multimodal plan?**
Connecticut	DOT	A22	multimodal approach
North Carolina	DOT	A22	separately, due to the organizational structure of the department; transit included w/highway projects, not coordinated
Virginia	DOT	A22	developed separately due to the nature of the organizations; however, MIS corridor studies are intermodal
Massachusetts	DOT	A22	EOTC and MBTA says projects are multimodal, developed jointly by various state agencies.
Ohio	DOT	A22	COTA's proj involve bus replace, construct of shelters, park&ride lots; proj that do not impact other modes. A multimodal approach has been used for the No. Corridor and No. (downtown) Terminal proj. MORPC req. highway studies to consider transit options.

Survey Responses at the DOT Level

AGENCY LOC.	LEVEL	Q/A#	QUESTION/ANSWER
	DOT	Q23	**How are projects selected for the TIP? Who does it? How is it done?**
Connecticut	DOT	A23	DOT does it based on needs, criterior, and funding
North Carolina	DOT	A23	by the MPO based on local needs
Virginia	DOT	A23	MPO Policy Committee makes the decision w/recommendations from the technical committees
Massachusetts	DOT	A23	Through the TIP ranking process by the MPO
Ohio	DOT	A23	COTA makes the decisions for transit categorical funding, the largest amount of transit funding. MORPC has developed a selection and ranking system for funding that it controls.
	DOT	Q24	**When funds have been allocated for a project and that project is not ready to go, how is the money reallocated: Is reallocation based on project selection evaluation process, i.e. prioritized list, or is it reallocated to whatever project is ready to go?**
Connecticut	DOT	A24	depends on length of time lag (funding may be carried over if lag is not greater than one year), it's rare that a project is canceled
North Carolina	DOT	A24	reallocated to whatever project is ready to go
Virginia	DOT	A24	after 2 years, money is deobligated and redistributed the following year to other statewide transit projects, hasn't happened yet w/transit projects
Massachusetts	DOT	A24	It's dictated by whatever project is ready to go, projects prioritized by program year in the TIP (1st year projects most important)
Ohio	DOT	A24	COTA does not have these problems because it's capital program has been conservative and not very aggressive. ODOT notes, however, that the Easton/South Linden project involved reallocation.
	DOT	Q25	**Do you have the authority to reallocate state, local, and federal funds? Do you exercise that authority?**
Connecticut	DOT	A25	yes with the cooperation of the MPO
North Carolina	DOT	A25	only state and federal funds, yes this authority is exercised
Virginia	DOT	A25	yes, for state and federal with FTA approval; yes
Massachusetts	DOT	A25	The MBTA can reallocate federal funding subject to MPO review and approval.
Ohio	DOT	A25	COTA has the authority and exercises it generally when it prepares the next TIP. This happens rarely. ODOT has decided that TIP projects in years 2 and 3 can be advanced without a TIP amendment with a letter of concurrence from the MPO.
	DOT	Q26	**How do you determine the source of funding for each project, i.e. state, federal, local? (How do you establish the funding category for each project?)**
Connecticut	DOT	A26	use federal funds first, then state (no local funding)
North Carolina	DOT	A26	based on location and availability of funds
Virginia	DOT	A26	depends on the type of project and funding availability as well as the needs/benefit of the project (only for discretionary projects, about 25%, almost 75% are formula funds)
Massachusetts	DOT	A26	whichever is easiest to get
Ohio	DOT	A26	COTA uses a three-step process: 1) Assign categorical funding (e.g., earmarks, ODOT Elderly and Disabled) to specific projects; 2) Assign funds to meet federal or state initiatives (e.g., ODOT's push for more capital and less operating use of its funds;
	DOT	Q27	**Are federal highway funds reallocated to transit? If so, are they used for transit improvements? Are they used for operating expenses? If not, are there any spending restrictions?**
Connecticut	DOT	A27	yes, used for improvements and operating for demo projects only
North Carolina	DOT	A27	yes, it started in 1997; yes, no, no spending restrictions
Virginia	DOT	A27	yes, yes, yes for CMAQ new starts and experimental transit service only
Massachusetts	DOT	A27	yes, not used for operating expenses, only used for improvements
Ohio	DOT	A27	The funds transferred are initially allocated to the MPOs. Therefore, reallocation is a local decision. The funds (STP and CMAQ) are generally used for capital except for CMAQ operating demonstrations.
	DOT	Q28	**Are state highway funds reallocated to transit? If so, are they used for transit improvements? Are they used for operating expenses? If not, are there any spending restrictions?**
Connecticut	DOT	A28	no, no restrictions, not done based on historic practice
North Carolina	DOT	A28	yes, yes, yes

Survey Responses at the DOT Level

AGENCY LOC.	LEVEL	Q/A#	QUESTION/ANSWER
Virginia	DOT	A28	yes, yes, yes
Massachusetts	DOT	A28	no
Ohio	DOT	A28	There are legal prohibitions against using these funds for non-highway purposes. However, ODOT has funded transit improvements (e.g., bus pads, transit loops in downtown areas, park-and-ride lots that have a highway purpose.
	DOT	Q29	**In preparing the TIP, is the project selection limited by available funding? (financially constrained) If not, is there a reason? Is it financially constrained by mode?**
Connecticut	DOT	A29	yes, yes
North Carolina	DOT	A29	yes, yes it's financially constrained by mode
Virginia	DOT	A29	yes, not constrained by mode
Massachusetts	DOT	A29	yes, not financially constrained by mode as EOTC can move money around
Ohio	DOT	A29	Yes
	DOT	Q30	**Does the STIP & TIP incl financial info to show projects which are to be implemented using current revenues & which using proposed funding? How do you show that the system is being adequately oper. & maint. when proj. to expand the system are programmed?**
Connecticut	DOT	A30	yes, the first priority (criteria) is to be able to maintain the existing system
North Carolina	DOT	A30	yes, the state reviews projects to insure they do not adversely effected the current system
Virginia	DOT	A30	yes, by using transit performance evaluation measures locally and statewide
Massachusetts	DOT	A30	Yes, demonstrated when preparing MIS projects.
Ohio	DOT	A30	Yes for current revenues. ODOT does not permit projects using proposed funding to be incl in the TIP. COTA does an annual, 5 year TIP that demo its financial capacity to maintain operations for five years. Internal project are developed for 10 years.
	DOT	Q31	**What problems do you have relating TIPs, generated by each MPO, with the long range STIP (Statewide Transportation Improvement Program)?**
Connecticut	DOT	A31	none
North Carolina	DOT	A31	none
Virginia	DOT	A31	minimal, reconciling the state and the MPO projects based on statewide programming
Massachusetts	DOT	A31	none, EOTC is an active member of the MPO
Ohio	DOT	A31	None, since TIPs that are developed according ODOT guidance are automatically included in the STIP.
	DOT	Q32	**Are standard cost estimation methodologies used at the state, MPO, and transit agency levels for projects?**
Connecticut	DOT	A32	yes
North Carolina	DOT	A32	no
Virginia	DOT	A32	no, locally determined
Massachusetts	DOT	A32	No, based on professional judgement
Ohio	DOT	A32	No. COTA (and other systems) use: 1) standard construction cost estimation methodologies for buildings; 2) past experience and discussions with other transit systems for bus purchases and shelters; and 3) past experience and standard construction cost e
	DOT	Q33	**Are you satisfied with your cost estimation procedures for projects? If not, are there weaknesses or are the procedures overly complicated?**
Connecticut	DOT	A33	yes
North Carolina	DOT	A33	yes
Virginia	DOT	A33	yes
Massachusetts	DOT	A33	MBTA is developing their own cost guidelines. MBTA is developing a database for cost estimation. Cost estimates currently provided by contractors, MBTA reviews. EOTC satisfied with MBTA's cost estimation accuracy.
Ohio	DOT	A33	Yes
	DOT	Q34	**Are standard cost estimation methodologies used at the state, MPO, and transit agency levels for operating and maintenance costs?**

Survey Responses at the DOT Level

AGENCY LOC.	LEVEL	Q/A#	QUESTION/ANSWER
Connecticut	DOT	A34	yes
North Carolina	DOT	A34	no
Virginia	DOT	A34	no
Massachusetts	DOT	A34	yes, MBTA bases its estimation on historic costs. EOTC satisfied w/MBTA methodology
Ohio	DOT	A34	No
	DOT	Q35	**Are you satisfied with your cost estimation procedures for operating and maintenance costs? If not, are there weaknesses or are the procedures overly complicated?**
Connecticut	DOT	A35	yes
North Carolina	DOT	A35	yes
Virginia	DOT	A35	yes
Massachusetts	DOT	A35	EOTC feels T does credible job of est. capital and O&M costs. MBTA satisfied with cost est. proced., (based on hist. spending.) 'Asset Management System' will be implemented as budget tool for project funding and justifying expenses at the MBTA.
Ohio	DOT	A35	Yes.
	DOT	Q36	**Do you make estimates of capital and operating expenses for maintaining the current system? Do these projects include service expansions?**
Connecticut	DOT	A36	yes, no requirements at this time to provide estimates for service expansion
North Carolina	DOT	A36	done by the MPOs
Virginia	DOT	A36	not done by the state
Massachusetts	DOT	A36	yes, yes
Ohio	DOT	A36	No, COTA does as part of the annual, five-year short-range transit plan. Service levels are assumed to remain constant in these projections.
	DOT	Q37	**In which areas would guidelines be useful in estimating capital project expense: List of project items with unit costs? Info specifying the level of project detail required? Info to improve the accuracy of estimating project costs and funding projections?**
Connecticut	DOT	A37a	List of project items with unit costs? no
North Carolina	DOT	A37a	List of project items with unit costs? yes
Virginia	DOT	A37a	List of project items with unit costs? yes
Massachusetts	DOT	A37a	List of project items with unit costs? no, needs to cover the specific situation and location (not realistic)
Ohio	DOT	A37a	List of project items with unit costs? No for items that involve local labor and construct costs since they vary among areas.Yes for items that have national prices such as buses. If bus prices are collected, addl info should be collected.
Connecticut	DOT	A37b	Information specifying the level of project detail required? no
North Carolina	DOT	A37b	Information specifying the level of project detail required? yes
Virginia	DOT	A37b	Information specifying the level of project detail required? yes
Massachusetts	DOT	A37b	Information specifying the level of project detail required? not necessary
Ohio	DOT	A37b	Information specifying the level of project detail required? No, because federal suggestions often become requirements.
Connecticut	DOT	A37c	Information to improve the accuracy of estimating project costs and funding projections? no
North Carolina	DOT	A37c	Information to improve the accuracy of estimating project costs and funding projections? yes
Virginia	DOT	A37c	Information to improve the accuracy of estimating project costs and funding projections? yes
Massachusetts	DOT	A37c	Information to improve the accuracy of estimating project costs and funding projections? not necessary
Ohio	DOT	A37c	Information to improve the accuracy of estimating project costs and funding projections? No
	DOT	Q38	**In which areas would guidelines be useful in estimating operations and maintenance (O & M) expense: List of unit costs? Info specifying the level of costing detail required? Info to improve the accuracy of estimating operations and maintenance costs?**
Connecticut	DOT	A38a	List of unit costs? no
North Carolina	DOT	A38a	List of unit costs? yes
Virginia	DOT	A38a	List of unit costs? yes
Massachusetts	DOT	A38a	List of unit costs? no

Survey Responses at the DOT Level

AGENCY LOC.	LEVEL	Q/A#	QUESTION/ANSWER
Ohio	DOT	A38a	List of unit costs? No, since local contracts and conditions are significant factors in cost differences.
Connecticut	DOT	A38b	Information specifying the level of costing detail required? no
North Carolina	DOT	A38b	Information specifying the level of costing detail required? yes
Virginia	DOT	A38b	Information specifying the level of costing detail required? yes
Massachusetts	DOT	A38b	Information specifying the level of costing detail required? not necessary
Ohio	DOT	A38b	Information specifying the level of costing detail required? No for day-to-day and budgeting needs. Yes for MIS projects involving new modes.
Connecticut	DOT	A38c	Information to improve the accuracy of estimating operations and maintenance costs? no
North Carolina	DOT	A38c	Information to improve the accuracy of estimating operations and maintenance costs? yes
Virginia	DOT	A38c	Information to improve the accuracy of estimating operations and maintenance costs? yes
Massachusetts	DOT	A38c	Information to improve the accuracy of estimating operations and maintenance costs? not necessary
Ohio	DOT	A38c	Information to improve the accuracy of estimating operations and maintenance costs? Yes, some systems need help in understanding the relationship of costs to service levels (e.g., miles, hours).
	DOT	Q39	**Would you find technical advice for preparing ISTEA financial reports useful?**
Connecticut	DOT	A39	no
North Carolina	DOT	A39	yes
Virginia	DOT	A39	yes
Massachusetts	DOT	A39	not necessary
Ohio	DOT	A39	No. The big problem is the uncertainty regarding the levels of federal funding.
	DOT	Q40	**Would you find procedural advice for preparing ISTEA financial reports useful?**
Connecticut	DOT	A40	no
North Carolina	DOT	A40	yes
Virginia	DOT	A40	yes
Massachusetts	DOT	A40	Yes, there are some problems with the definition of reasonable and committed
Ohio	DOT	A40	No.
	DOT	Q41	**Has the state issued guidelines to MPOs for preparing MIS (Major Investment Studies)? If yes, what kind of guidelines and at what level of detail?**
Connecticut	DOT	A41	no
North Carolina	DOT	A41	no
Virginia	DOT	A41	no, the state uses the federal guidelines
Massachusetts	DOT	A41	no, attempt was made but not completed (personnel problems); guidelines would be useful
Ohio	DOT	A41	No, but draft guidance has been prepared.
	DOT	Q42	**Is the agency responsible for carrying out each project identified? How is the lead agency established? Is it program or project based? Does it change? If so, how often?**
Connecticut	DOT	A42	yes, through historic practice, project based, no
North Carolina	DOT	A42	yes, lead agency is project based, doesn't change
Virginia	DOT	A42	yes, project based, doesn't change
Massachusetts	DOT	A42	Yes, lead agency identified based on project; doesn't usually change
Ohio	DOT	A42	Local decision based on local assessment of capabilities and available staff time.
	DOT	Q43	**How is financial planning information for transit projects coordinated at the state, MPO, and transit agency levels?**
Connecticut	DOT	A43	through the DOT; we provide monthly updates to the MPOs
North Carolina	DOT	A43	local transit projects included in the STIP
Virginia	DOT	A43	through the TIP programming process
Massachusetts	DOT	A43	Coordinated by the EOTC, information supplied by the MBTA and passed through MPO
Ohio	DOT	A43	The information is developed based on the ODOT TIP guidelines. It is coordinated through the TIP development process.

Survey Responses at the DOT Level

AGENCY LOC.	LEVEL	Q/A#	QUESTION/ANSWER
	DOT	Q44	**How are state funding allocation decisions made? Do the MPO and transit operator have any influence?**
Connecticut	DOT	A44	made by the DOT with cooperation from the MPOs and local transit districts
North Carolina	DOT	A44	cooperatively with the MPO and transit operator, state makes the final decision
Virginia	DOT	A44	allocation recommendations made by DRPT to their board, the locals have input in 2 ways: 1) by submitting their own projects, and 2) they confer with the DRPT to further explain & justify their project applications
Massachusetts	DOT	A44	State and federal transit funds allocated by the MPO are granted directly to the MBTA. Highway funds used for transit are allocated by the MPO.
Ohio	DOT	A44	State funding is allocated by formula. Limited, state discretionary funding, evaluation process developed by ODOT in coord w/operators and MPOs.When ODOT considers changes to its formulae, it consults operators at state transit meetings and individually.

Survey Responses at the MPO Level

AGENCY	LEVEL	Q/A#	QUESTION/ANSWER
	MPO	Q01	**What role does your agency play in the financial planning aspects of transit projects as they relate to the following FTA requirements: MIS, SIP, STIP, LRP, STP, TIP?**
Capital Region Council of Governments (Hartford, CT)	MPO	A01a	MIS - lead agency when project is in the geographic area of the MPO
Central Transportation Planning Staff (Boston, MA)	MPO	A01a	MIS - MBTA takes lead role, CTPS provides support as requested, reviewed by MPO (not just CTPS)
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A01a	MIS - participant
Capital Area MPO (Raleigh, NC)	MPO	A01a	MIS - participant
Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A01a	MIS - Lead in most cases
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A01a	MIS - support agency
Capital Region Council of Governments (Hartford, CT)	MPO	A01b	SIP - work with DEP
Central Transportation Planning Staff (Boston, MA)	MPO	A01b	SIP - CTPS obtains cost estimates from MBTA, SIP projects included in LRP & CTPS insures there is sufficient funding
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A01b	SIP - done by the state DEP ("DENR"), no involvement
Capital Area MPO (Raleigh, NC)	MPO	A01b	SIP - participant
Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A01b	SIP - Ohio is the lead and MORPC provides support.
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A01b	SIP - no involvement, done by state DEQ
Capital Region Council of Governments (Hartford, CT)	MPO	A01c	STIP - coordinate w/state
Central Transportation Planning Staff (Boston, MA)	MPO	A01c	STIP - pass information to state, state staples it together
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A01c	STIP - participant (submit unconstrained list of projects and the draft MTIP - metropolitan TIP)
Capital Area MPO (Raleigh, NC)	MPO	A01c	STIP - participant
Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A01c	STIP - Support in providing Columbus TIP.
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A01c	STIP - support agency
Capital Region Council of Governments (Hartford, CT)	MPO	A01d	LRP - lead agency
Central Transportation Planning Staff (Boston, MA)	MPO	A01d	LRP - CTPS takes lead role
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A01d	LRP - lead agency
Capital Area MPO (Raleigh, NC)	MPO	A01d	LRP - lead agency
Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A01d	LRP - Lead role.
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A01d	LRP - lead agency
Capital Region Council of Governments (Hartford, CT)	MPO	A01e	STP - lead agency
Central Transportation Planning Staff (Boston, MA)	MPO	A01e	STP - no involvement
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A01e	STP - participant
Capital Area MPO (Raleigh, NC)	MPO	A01e	STP - participant
Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A01e	STP - COTA is the lead and MORPC provides review.
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A01e	STP - support agency
Capital Region Council of Governments (Hartford, CT)	MPO	A01f	TIP - lead agency with DOT
Central Transportation Planning Staff (Boston, MA)	MPO	A01f	TIP - CTPS coordinates preparation of TIP for the MPO
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A01f	TIP - lead agency on MTIP, not on state TIP

Survey Responses at the MPO Level

Capital Area MPO (Raleigh, NC)	MPO	A01f	TIP - There is a local and a state TIP; local - MPO is lead agency; state - provide local TIP in conformance to state TIP
Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A01f	TIP - Lead agency overall with COTA taking lead on transit portion.
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A01f	TIP - lead agency
	MPO	Q02	**Which, if any, of the ISTEA financial planning requirements do you take lead responsibility?**
Capital Region Council of Governments (Hartford, CT)	MPO	A02	MIS, LRP, STP, TIP
Central Transportation Planning Staff (Boston, MA)	MPO	A02	LRP & TIP
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A02	MTIP, LRP
Capital Area MPO (Raleigh, NC)	MPO	A02	LRP, local TIP
Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A02	MIS, LRP, TIP
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A02	LRP, TIP
	MPO	Q03	**Which, if any, of the ISTEA financial planning requirements do you take support responsibility?**
Capital Region Council of Governments (Hartford, CT)	MPO	A03	MIS, SIP
Central Transportation Planning Staff (Boston, MA)	MPO	A03	MIS, SIP, STIP
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A03	MIS, STIP, STP, TIP
Capital Area MPO (Raleigh, NC)	MPO	A03	MIS, SIP, STP, state TIP, STIP
Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A03	SIP, STP, STIP
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A03	MIS, STIP, STP
	MPO	Q04	**How is lead and support responsibility established?**
Capital Region Council of Governments (Hartford, CT)	MPO	A04	based on negotiation with the state DOT
Central Transportation Planning Staff (Boston, MA)	MPO	A04	based on memorandum of understanding (MOU), support responsibility based on project needs
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A04	by mutual agreement between the MPO and the state
Capital Area MPO (Raleigh, NC)	MPO	A04	through state's understanding of the federal statutes
Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A04	Based on Memoranda of Understanding with local agencies, government regulations, and abilities and time of participating agencies.
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A04	by mutual agreement with the state
	MPO	Q05	**How are transit projects initiated? Who ranks them? (transit oper. quest.)**
Capital Region Council of Governments (Hartford, CT)	MPO	A05	inititated and ranked by the DOT
Central Transportation Planning Staff (Boston, MA)	MPO	A05	initiated primarily by MBTA and CATA (Cape Ann Transit Authority serving Gloucester & Rockport, MA), cities and towns inititiate transit projects which require federal highway money; ranking done by project sponsor subject to review and approval by MPO
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A05	initiated by the transit operator, ranked by the MPO
Capital Area MPO (Raleigh, NC)	MPO	A05	inititiated by the transit operator, ranked by the MPO
Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A05	Formally, COTA submits almost all projects. However, sometimes COTA responds to local needs expressed by other agencies and groups.
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A05	initiated by the transit operator, CMAQ and regional STP funded projects ranked by the MPO, transit operator ranks projects funded with formula money

Survey Responses at the MPO Level

	MPO	Q06	**How do your Clean Air Act projects get into the SIP? (includes transit and highway projects)**
Capital Region Council of Governments (Hartford, CT)	MPO	A06	not involved, get info after the project is in the SIP
Central Transportation Planning Staff (Boston, MA)	MPO	A06	CMAQ projects which have air quality benefits plus previous SIP projects, e.g. park 'n' ride facilities
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A06	There are no CAA transit projects.
Capital Area MPO (Raleigh, NC)	MPO	A06	there are no transit CAA projects, highway projects meeting the air quality conformity analysis are plugged into the SIP
Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A06	Not applicable, since there are no control projects.
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A06	CMAQ projects are rated and ranked and included in the SIP
	MPO	Q07	**Has meeting the CAA requirements restricted your ability to implement projects which you consider to be of greater need?**
Capital Region Council of Governments (Hartford, CT)	MPO	A07	not yet
Central Transportation Planning Staff (Boston, MA)	MPO	A07	no
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A07	not to date, potentially could in future projects
Capital Area MPO (Raleigh, NC)	MPO	A07	no
Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A07	Not applicable, since there are no control projects.
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A07	absolutely, because inadequate funding levels only permits funding for CAA projects
	MPO	Q08	**Are all CAA transportation projects identified and initiated by transportation planning organizations, e.g. DOT, MPO, transit operator, as opposed to a non-transportation agency, e.g. state EPA?**
Capital Region Council of Governments (Hartford, CT)	MPO	A08	state transportation projects in conjunction w/DEP
Central Transportation Planning Staff (Boston, MA)	MPO	A08	yes
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A08	n/a
Capital Area MPO (Raleigh, NC)	MPO	A08	yes
Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A08	Not applicable, since there are no control projects.
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A08	yes
	MPO	Q09	**Have any state guidelines been issued relative to compliance with ISTEA financial planning regulations?**
Capital Region Council of Governments (Hartford, CT)	MPO	A09	no
Central Transportation Planning Staff (Boston, MA)	MPO	A09	no
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A09	no
Capital Area MPO (Raleigh, NC)	MPO	A09	yes, procedural guidelines for the local TIP
Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A09	Yes, Ohio Biennial STIP/TIP Development Requirements, September 1996 and draft guidance provided ODOT Planning on MIS.
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A09	no
	MPO	Q10	**Have any MPO guidelines been issued relative to compliance with ISTEA financial planning regulations? (for internal use and/or distribution)**
Capital Region Council of Governments (Hartford, CT)	MPO	A10	no
Central Transportation Planning Staff (Boston, MA)	MPO	A10	no (only written planning assumptions)
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A10	no

Survey Responses at the MPO Level

Capital Area MPO (Raleigh, NC)	MPO	A10	no
Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A10	Yes, Principles for Allocation of MORPC-Attributible Federal Funding, April 28, 1997.
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A10	no
	MPO	Q11	**Do you have any suggestions for improving the technical or reporting aspects of ISTEA financial planning requirements?**
Capital Region Council of Governments (Hartford, CT)	MPO	A11	without federal funding authorization, it's difficult to make funding projections; the funding projections change perodically making it difficult to fulfill political promises, creating suspicions related to the entire funding selection/implement. process
Central Transportation Planning Staff (Boston, MA)	MPO	A11	no
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A11	minimize government involvement in the planning process ("less is better")
Capital Area MPO (Raleigh, NC)	MPO	A11	need more local juridictional control in using CMAQ money for transit projects or give the FTA control of these funds instead of FHWA (all CMAQ money is currently earmarked for highway projects)
Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A11	Increase flexibility to incl proposed funding. The Ohio Congressman that helps Ohio receive transit earmarks has asked why Ohio's unfunded needs are not in the TIP. FTA/FHWA should define "reasonable" flexibility to improve Long Range plans.
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A11	yes, the TIP and the STIP are currently hand typed; it should be required that these documents be compiled electronically
	MPO	Q12	**What are your primary sources of funding for transit improvements ?**
Capital Region Council of Governments (Hartford, CT)	MPO	A12a	Transit Operator - none
Central Transportation Planning Staff (Boston, MA)	MPO	A12a	Transit Operator – finances capital improvements through bonds; principal & interest paid by the state; (MBTA bonding authority: $1.5 billion over rolling 5 year period for MBTA projects; $1.5 billion limit set by MBTA Board of Directors)
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A12a	Transit Operator -1) interest on transit trust fund account (Duke Power was last private transit operator in Durham,legally reqd to provide transit svc for 14 years when public sector took over the service) 2) 50% of local funds not spent in a given year
Capital Area MPO (Raleigh, NC)	MPO	A12a	Transit Operator - None
Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A12a	Transit Operator: 1/4 percent sales tax
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A12a	Transit Operator - none
Capital Region Council of Governments (Hartford, CT)	MPO	A12b	Local - local communities fund the 20% local share for paratransit vehicle replacements
Central Transportation Planning Staff (Boston, MA)	MPO	A12b	Local - none
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A12b	Local - 10% match from city's general fund (from sales tax, property tax, vehicle registration tax)
Capital Area MPO (Raleigh, NC)	MPO	A12b	Local - general funds provide 10% contribution to federal projects
Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A12b	Local: None
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A12b	Local - city general funds
Capital Region Council of Governments (Hartford, CT)	MPO	A12c	State - provides local share for transit improvements
Central Transportation Planning Staff (Boston, MA)	MPO	A12c	State - state appropriation;

Survey Responses at the MPO Level

Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A12c	State - 10% match (not sure of source)
Capital Area MPO (Raleigh, NC)	MPO	A12c	State - provides 10% contribution to federal projects
Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A12c	State: Ohio Public Transportation Grant Program funds (OPTGP) that are distributed by formula.
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A12c	State - transportation trust fund (50%) & state general funds (50%)
Capital Region Council of Governments (Hartford, CT)	MPO	A12d	Federal - section 9 funds and section 3 discretionary funds, when available
Central Transportation Planning Staff (Boston, MA)	MPO	A12d	Federal – Normal FTA funding and flex highway funds
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A12d	Federal - sections 9 & 3
Capital Area MPO (Raleigh, NC)	MPO	A12d	Federal - section 5307 provides 80% contribution to federal projects
Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A12d	Federal: Section 9 (5307) formula funds and Section 3 (5309) earmark funds obtained as part of ODOT package of earmark requests for all Ohio systems. The ODOT package is submitted as one request and is administered by ODOT.
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A12d	Federal - section 9 formula funds, compete for CMAQ & Surface Transportation Program (STP) funds on a regional basis
	MPO	Q13	**What are your primary sources of funding for transit operating and maintenance costs ?**
Capital Region Council of Governments (Hartford, CT)	MPO	A13a	Transit Operator - farebox
Central Transportation Planning Staff (Boston, MA)	MPO	A13a	Transit Operator – fares
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A13a	Transit Operator - farebox (about 25%)
Capital Area MPO (Raleigh, NC)	MPO	A13a	Transit Operator - fare box, bus advertising
Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A13a	Transit Operator: 1/4 percent sales tax
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A13a	Transit Operator - farebox
Capital Region Council of Governments (Hartford, CT)	MPO	A13b	Local - supports about 50% of paratransit operating costs
Central Transportation Planning Staff (Boston, MA)	MPO	A13b	Local - $125 million assessed on MBTA communities, used for MBTA operating costs
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A13b	Local - city's general fund (about 40%)(sales tax, property tax, vehicle registration tax)
Capital Area MPO (Raleigh, NC)	MPO	A13b	Local - general funds
Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A13b	Local: None
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A13b	Local - city general funds
Capital Region Council of Governments (Hartford, CT)	MPO	A13c	State - subsidize operating costs primarily w/gas tax revenues (also, licensing registration funds, motor vehicle violation fees)
Central Transportation Planning Staff (Boston, MA)	MPO	A13c	State – state appropriation
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A13c	State - state maintenance assistance (same as operating assistance)(20%)
Capital Area MPO (Raleigh, NC)	MPO	A13c	State - state operating assistance
Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A13c	State: OPTGP funds that are distributed by formula.
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A13c	State - formula funds based on population, service area, expenses, etc.
Capital Region Council of Governments (Hartford, CT)	MPO	A13d	Federal - very little
Central Transportation Planning Staff (Boston, MA)	MPO	A13d	Federal – FTA funds for operating assistance
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A13d	Federal - section 9 (15%)
Capital Area MPO (Raleigh, NC)	MPO	A13d	Federal - very little operating assistance through section 5307 ($335,000/year)

Survey Responses at the MPO Level

Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A13d	Federal: Section 9 (5307) formula funds
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A13d	Federal - section 9, CMAQ for new service
	MPO	Q14	**Have you considered methods of financing transit projects that you consider new or innovative? If yes, give some examples. If not, have you used creative financing techniques for highway projects? If you have, why haven't you used them for transit proj?**
Capital Region Council of Governments (Hartford, CT)	MPO	A14	looking at using the state sales tax for funding regional assets
Central Transportation Planning Staff (Boston, MA)	MPO	A14	The MBTA has studied and employed them, e.g. Wellington parking facility is private/public partnership, Woburn intermodal center involves partnering w/Massport & Mass Highway, bus advertising
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A14	$5 vehicle registration tax is a source for the city's general fund
Capital Area MPO (Raleigh, NC)	MPO	A14	The transit operator exchanges about .5 million in capital funds for about $800,000 in operating funds
Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A14	1. CMAQ funds used for bus replace, park&ride lots, and demo svc to Newark.2. Livable communities project for Easton and South Linton (11th/Cleveland), developer providing 2.6 acres (approx $1.0 million value) for local match. 3.Advertising on buses.
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A14	bus advertising
	MPO	Q15	**How are the use of capital and operating funds tracked?**
Capital Region Council of Governments (Hartford, CT)	MPO	A15	done by Connecticut DOT
Central Transportation Planning Staff (Boston, MA)	MPO	A15	rely on MBTA to provide information in writing or verbally, information periodically updated
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A15	computerized accounting system
Capital Area MPO (Raleigh, NC)	MPO	A15	computerized accounting system at the transit operator level
Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A15	MORPC reviews at the development of the TIP. COTA also informs MORPC informally throughout the year.
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A15	handled by the transit operator
	MPO	Q16	**How are funding projections made? Who makes them?**
Capital Region Council of Governments (Hartford, CT)	MPO	A16	work in conjunction with CT DOT
Central Transportation Planning Staff (Boston, MA)	MPO	A16	Rely on MBTA for local & federal funding projections; long range funding projections for state made by CTPS for long range plan
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A16	made by transit operator based upon historic and current information
Capital Area MPO (Raleigh, NC)	MPO	A16	The transit operator makes the funding projections based on historic allocations.
Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A16	ODOT's Ohio Biennial STIP/TIP Develop. Req., September 1996 sets procedures to estimating federal and state funds. ODOT provides new information on the levels of federal and state funding as soon as it learns about changes. COTA est. sales tax revenues.
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A16	made by the transit operator based on historical trends
	MPO	Q17	**Are funding projections updated? If yes, by whom? Are the updates timely and reliable?**

Survey Responses at the MPO Level

Capital Region Council of Governments (Hartford, CT)	MPO	A17	yes, by CT DOT and MPO, the updates are timely and not necessarily reliable because federal funding cannot easily be projected, it changes
Central Transportation Planning Staff (Boston, MA)	MPO	A17	MBTA updates projections for local & state funding annually; CTPS updates state funding projections when long range plan is updated
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A17	yes, by the transit operator on an annual basis; updates are timely and reliable
Capital Area MPO (Raleigh, NC)	MPO	A17	updated annually for the local TIP by the transit operator, updates are reliable
Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A17	Yes, by FTA, COTA, and ODOT. Yes
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A17	yes, by transit operator; updates are timely and reliable
	MPO	Q18	**Do MPOs and transit agencies get timely and reliable information from the DOT concerning the ranking of their projects and prospects for funding?**
Capital Region Council of Governments (Hartford, CT)	MPO	A18	yes
Central Transportation Planning Staff (Boston, MA)	MPO	A18	yes, information is timely and reliable
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A18	yes, for transit projects
Capital Area MPO (Raleigh, NC)	MPO	A18	yes, the information is timely and reliable; the MPO ranks the transit projects but the transit operator's funding requests are always approved
Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A18	Yes.
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A18	projects are ranked by the transit operator or the MPO; transit projects are funded from federal and state formula funds, DOT not involved in the process
	MPO	Q19	**Do you have any problems making 20 year funding projections? How about 10 year projections? 5 year projections? 3 year projections? What types of problems do you encounter in making each of these projections?**
Capital Region Council of Governments (Hartford, CT)	MPO	A19	yes, it's too difficult to predict federal funding levels
Central Transportation Planning Staff (Boston, MA)	MPO	A19	no problems based on assumptions, (e.g. formula grants level projection, no new start money, no flexible highway funding)
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A19	20-yes, 10-yes, 5-no, 3-no; the problem is the lack of local, state, and federal information required to project funding levels (too many variables)
Capital Area MPO (Raleigh, NC)	MPO	A19	no, transit operator projections are not made beyond 5 years; MPO makes the 20 year transit projections - no problems
Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A19	No problems beyond the increase in uncertainty as the forecast year goes further into the future. Federal funding projections always are a problem. Sales tax is a problem when projecting beyond the current expiration year.
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A19	done by the transit operators
	MPO	Q20	**In preparing the STIP (Statewide Transportation Improvement Program) and TIP (Transportation Improvement Plan), does the state and MPO review the reasonableness of projected funding levels for metropolitan areas? How is this done?**
Capital Region Council of Governments (Hartford, CT)	MPO	A20	yes, based on historical records
Central Transportation Planning Staff (Boston, MA)	MPO	A20	MPO assumes projections are accurate

Survey Responses at the MPO Level

Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A20	yes, through the MPO technical subcommittee (the subcommittee is composed of transit operators - TTA, Durham Area Transit Authority, transportation & planning staffs (from Chapel Hill, Carrboro, Durham, Hillsborough, Orange County), and the North Carolina
Capital Area MPO (Raleigh, NC)	MPO	A20	yes, MPO provides oversight but they generally rely on the transit operators' projections
Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A20	Yes.COTA philosophy of "more of the same" makes the review easy. Transit, in general is easy because of the fixed resources avail & the ltd # of agencies. Highways are much more difficult.
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A20	done by the state
	MPO	Q21	**How are MIS projects reviewed to insure they're either standalone or programmed into useable pieces?**
Capital Region Council of Governments (Hartford, CT)	MPO	A21	reviewed by the MPO to insure it's programmed into useable pieces
Central Transportation Planning Staff (Boston, MA)	MPO	A21	The understood work scope for MIS projects requires a project to be either standalone or programmed into useable pieces.
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A21	reviewed at the local, state, and federal levels
Capital Area MPO (Raleigh, NC)	MPO	A21	reviewed by the MPO
Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A21	This requirement is usually a key part of the MIS work scope. Therefore, the study products meet the requirements and require only limited review. Also, local political pressures generally force projects to be developed in usable pieces.
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A21	reviewed by the MPO
	MPO	Q22	**How do you insure that transit projects required under the Clean Air Act are included in the programming process?**
Capital Region Council of Governments (Hartford, CT)	MPO	A22	done through Connecticut DOT
Central Transportation Planning Staff (Boston, MA)	MPO	A22	Projects in SIP are included in the TIP.
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A22	There are no CAA transit projects.
Capital Area MPO (Raleigh, NC)	MPO	A22	There are no CAA transit projects.
Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A22	Not applicable since area does not require control measures.
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A22	through conformity analysis, the TIP and the LRP
	MPO	Q23	**When developing programs, are highway and transit projects developed separately or is it a multimodal approach? If projects are developed separately, is it because of the nature of these projects and are they coordinated into a multimodal plan?**
Capital Region Council of Governments (Hartford, CT)	MPO	A23	not multmodal because of historical tendencies
Central Transportation Planning Staff (Boston, MA)	MPO	A23	Projects are developed seperately, depending on the nature of the project, or they use multimodal approach, e.g. park & ride, Woburn Intermodal Center
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A23	coordinated multimodal approach by the MPO
Capital Area MPO (Raleigh, NC)	MPO	A23	developed separately due to nature of these projects; MIS corridor projects include different modes but they're not coordinated

Survey Responses at the MPO Level

Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A23	COTA's proj usually involve bus repl and the construct of shelters, park&ride lots, proj that don't signif. impact other modes.The No.Corridor and No. Term. proj.have been multimodal. MORPC has req. typical highway studies to consider transit options.
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A23	separate based on the nature of the project, all MIS studies are multimodal
	MPO	Q24	**How are projects selected for the TIP? Who does it? How is it done?**
Capital Region Council of Governments (Hartford, CT)	MPO	A24	done by the MPO and the CT DOT, it's based on jurisdictional preference as well as political considerations and technical feasibility
Central Transportation Planning Staff (Boston, MA)	MPO	A24	The MBTA and CATA (Cape Ann Transit Authority) select the transit projects for the program. The MPO has the ability to reject federal projects per the MOU (Memorandum of Understanding).
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A24	initiated by the transit operator, approved by the MPO and included in the MTIP and the STIP
Capital Area MPO (Raleigh, NC)	MPO	A24	done by the state DOT
Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A24	COTA makes the decisions for transit categorical funding, the largest amount of transit funding. MORPC reviews COTA's decisions. MORPC has developed a selection and ranking system for funding that it controls.
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A24	80% by transit operator (formula funded projects), 20% by project selection evaluation process (only CMAQ and STP funded projects)
	MPO	Q25	**When funds have been allocated for a project and that project is not ready to go, how is the money reallocated: Is reallocation based on project selection evaluation process, i.e. prioritized list, or is it reallocated to whatever project is ready to go?**
Capital Region Council of Governments (Hartford, CT)	MPO	A25	reallocated to whatever project is ready to go
Central Transportation Planning Staff (Boston, MA)	MPO	A25	based on MBTAs internal decision
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A25	the money stays with the project
Capital Area MPO (Raleigh, NC)	MPO	A25	money stays with the project
Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A25	COTA does not have these problems because it's capital program has been conservative and not very aggressive. The process for highway funding is very different and more involved.
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A25	the money sits with the project
	MPO	Q26	**Do you have the authority to reallocate state, local, and federal funds? Do you exercise that authority?**
Capital Region Council of Governments (Hartford, CT)	MPO	A26	authority to reallocate federal funding through the TIP process, done when a project is not ready to go
Central Transportation Planning Staff (Boston, MA)	MPO	A26	MBTA can and does reallocate state and FTA funds, (no local funds). Federal highway funds are reallocated based on a cooperative effort of the state, MBTA, and MPO. CMAQ funds are reallocated based on decision of MPO committee.
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A26	no
Capital Area MPO (Raleigh, NC)	MPO	A26	no

Survey Responses at the MPO Level

Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A26	COTA has the authority and exercises it generally when it develops projects for the next TIP. This happens rarely.
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A26	no
	MPO	Q27	**How do you determine the source of funding for each project, i.e. state, federal, local? (How do you establish the funding category for each project?)**
Capital Region Council of Governments (Hartford, CT)	MPO	A27	all money is federal with the exception of the state and local match
Central Transportation Planning Staff (Boston, MA)	MPO	A27	based on MBTA's decision in conjunction with the EOTC. CMAQ funds are decided by MPO committee
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A27	start with federal, then state, then local
Capital Area MPO (Raleigh, NC)	MPO	A27	use federal money with local and state match
Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A27	COTA: 1) Assign categorical funding (e.g., earmarks, ODOT Elderly and Disabled) to specific proj. 2) Assign funds to meet federal or state initiatives (e.g., ODOT's push for more capital and less operating use of its funds; MORPC: uses defined procedure
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A27	based on funding availability and the nature of the project
	MPO	Q28	**Are federal highway funds reallocated to transit? If so, are they used for transit improvements? Are they used for operating expenses? If not, are there any spending restrictions?**
Capital Region Council of Governments (Hartford, CT)	MPO	A28	yes, for transit improvements only
Central Transportation Planning Staff (Boston, MA)	MPO	A28	Yes, yes, no, yes
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A28	yes, only transit improvements, spending restriction for using these funds for operating expenses
Capital Area MPO (Raleigh, NC)	MPO	A28	no, no spending restrictions
Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A28	Yes, MORPC has provided CMAQ and STP funding for capital projects. CMAQ funds were also used for van pool demonstrations. The Newark MPO provided CMAQ funds for a demonstration of express bus service.
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A28	yes, yes, no, due to spending restrictions
	MPO	Q29	**Are state highway funds reallocated to transit? If so, are they used for transit improvements? Are they used for operating expenses? If not, are there any spending restrictions?**
Capital Region Council of Governments (Hartford, CT)	MPO	A29	not done by the MPO
Central Transportation Planning Staff (Boston, MA)	MPO	A29	No
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A29	not sure
Capital Area MPO (Raleigh, NC)	MPO	A29	no, don't know if there are any restrictions
Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A29	There are legal prohibitions against using these funds for non-highway purposes. However, ODOT has done this for highway improvements that benefit transit such as bus pads.
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A29	yes, for special funding requests and for matching STP funds; yes, it's used for transit improvements (e.g. light rail project), it's not used for operating because of the structure of the state transportation trust fund

Survey Responses at the MPO Level

	MPO	Q30	**In preparing the TIP, is the project selection limited by available funding? (financially constrained) If not, is there a reason? Is it financially constrained by mode?**
Capital Region Council of Governments (Hartford, CT)	MPO	A30	yes, yes
Central Transportation Planning Staff (Boston, MA)	MPO	A30	yes, yes
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A30	yes, not constrained by mode
Capital Area MPO (Raleigh, NC)	MPO	A30	done by the state DOT
Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A30	Yes
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A30	yes, yes
	MPO	Q31	**Does the STIP & TIP incl financial info to show projects which are to be implemented using current revenues & which using proposed funding? How do you show that the system is being adequately oper. & maint. when proj. to expand the system are programmed?**
Capital Region Council of Governments (Hartford, CT)	MPO	A31	n/a, the DOT insures there is adequate funding to maintain the current system
Central Transportation Planning Staff (Boston, MA)	MPO	A31	yes, rely on transportation plan to insure the whole system is adequately operated and maintained
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A31	done by the state
Capital Area MPO (Raleigh, NC)	MPO	A31	done by the state DOT
Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A31	Yes for current revenues. ODOT does not permit projects using proposed funding to be incl. in TIP.The TIP is modified as proposed funding becomes actual funding. Adequacy is based on comparing COTA's capital assets against industry replacement standards.
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A31	yes, the system cannot be adequately operated and maintained when projects to expand/improve the system are programmed.
	MPO	Q32	**What problems do you have relating TIPs, generated by each MPO, with the long range STIP (Statewide Transportation Improvement Program)?**
Capital Region Council of Governments (Hartford, CT)	MPO	A32	n/a
Central Transportation Planning Staff (Boston, MA)	MPO	A32	none, stapled together
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A32	done by the state
Capital Area MPO (Raleigh, NC)	MPO	A32	done by the state DOT
Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A32	No problems since ODOT does not modify the metropolitan TIPs and incorporates them into the STIP by reference.
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A32	none
	MPO	Q33	**Are standard cost estimation methodologies used at the state, MPO, and transit agency levels for projects?**
Capital Region Council of Governments (Hartford, CT)	MPO	A33	yes
Central Transportation Planning Staff (Boston, MA)	MPO	A33	yes, for long range cost estimation methodology because it's done solely by the MPO, no formal methodologies for short run
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A33	no
Capital Area MPO (Raleigh, NC)	MPO	A33	no

Survey Responses at the MPO Level

Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A33	No. COTA uses: 1) std construct cost est. methodologies for bldgs; 2) past exper. & discussions with other transit systems for bus purchases and shelters 3) past experience and standard construction cost estimation methodologies for park-and-ride lots.
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A33	yes
	MPO	Q34	**Are you satisfied with your cost estimation procedures for projects? If not, are there weaknesses or are the procedures overly complicated?**
Capital Region Council of Governments (Hartford, CT)	MPO	A34	not totally satisfied, The state costs are much higher than local costs because the state is reqd to incl $ for DBE requirements, state admin costs, current wage rates, state inspect costs, auditing, recordkeeping, etc.
Central Transportation Planning Staff (Boston, MA)	MPO	A34	yes, however CTPS doesn't track methodology by project
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A34	yes
Capital Area MPO (Raleigh, NC)	MPO	A34	yes
Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A34	Yes, COTA makes good estimates.
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A34	acceptable but somewhat inadequate, need unit costs for capital improvements
	MPO	Q35	**Are standard cost estimation methodologies used at the state, MPO, and transit agency levels for operating and maintenance costs?**
Capital Region Council of Governments (Hartford, CT)	MPO	A35	yes
Central Transportation Planning Staff (Boston, MA)	MPO	A35	yes, use same methodology in the long run, not for the short run
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A35	no
Capital Area MPO (Raleigh, NC)	MPO	A35	no
Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A35	No. COTA budgets uses a direct cost per hour methodology and estimates indirect costs separately
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A35	yes
	MPO	Q36	**Are you satisfied with your cost estimation procedures for operating and maintenance costs? If not, are there weaknesses or are the procedures overly complicated?**
Capital Region Council of Governments (Hartford, CT)	MPO	A36	yes
Central Transportation Planning Staff (Boston, MA)	MPO	A36	yes
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A36	yes
Capital Area MPO (Raleigh, NC)	MPO	A36	yes
Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A36	Yes.
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A36	acceptable but somewhat inadequate, need the ability to improve farebox projections when expanding service
	MPO	Q37	**Do you make estimates of capital and operating expenses for maintaining the current system? Do these projects include service expansions?**
Capital Region Council of Governments (Hartford, CT)	MPO	A37	yes, in conjuction with the state DOT; no
Central Transportation Planning Staff (Boston, MA)	MPO	A37	yes, yes
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A37	yes, yes
Capital Area MPO (Raleigh, NC)	MPO	A37	yes, yes

Survey Responses at the MPO Level

Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A37	No, COTA does as part of the annual, five-year short-range transit plan. Service levels are assumed to remain constant in these projections.
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A37	yes, yes
	MPO	Q38	**In which areas would guidelines be useful in estimating capital project expense: List of project items with unit costs? Info specifying the level of project detail required? Info to improve the accuracy of estimating project costs and funding projections?**
Capital Region Council of Governments (Hartford, CT)	MPO	A38a	List of project items with unit costs? no
Central Transportation Planning Staff (Boston, MA)	MPO	A38a	List of project items with unit costs? Yes
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A38a	List of project items with unit costs? no
Capital Area MPO (Raleigh, NC)	MPO	A38a	List of project items with unit costs? no
Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A38a	List of project items with unit costs? No for items that involve local labor and construction costs since they vary considerably among areas.
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A38a	List of project items with unit costs? yes
Capital Region Council of Governments (Hartford, CT)	MPO	A38b	Information specifying the level of project detail required? no
Central Transportation Planning Staff (Boston, MA)	MPO	A38b	Information specifying the level of project detail required? no
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A38b	Information specifying the level of project detail required? no
Capital Area MPO (Raleigh, NC)	MPO	A38b	Information specifying the level of project detail required? no
Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A38b	Information specifying the level of project detail required? No opinion
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A38b	Information specifying the level of project detail required? yes
Capital Region Council of Governments (Hartford, CT)	MPO	A38c	Information to improve the accuracy of estimating project costs and funding projections? no
Central Transportation Planning Staff (Boston, MA)	MPO	A38c	Information to improve the accuracy of estimating project costs and funding projections? no
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A38c	Information to improve the accuracy of estimating project costs and funding projections? no
Capital Area MPO (Raleigh, NC)	MPO	A38c	Information to improve the accuracy of estimating project costs and funding projections? no
Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A38c	Information to improve the accuracy of estimating project costs and funding projections? No.
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A38c	Information to improve the accuracy of estimating project costs and funding projections? yes
	MPO	Q39	**In which areas would guidelines be useful in estimating operations and maintenance (O & M) expense: List of unit costs? Info specifying the level of costing detail required? Info to improve the accuracy of estimating operations and maintenance costs?**
Capital Region Council of Governments (Hartford, CT)	MPO	A39a	List of unit costs? no
Central Transportation Planning Staff (Boston, MA)	MPO	A39a	List of unit costs? no
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A39a	List of unit costs? no
Capital Area MPO (Raleigh, NC)	MPO	A39a	List of unit costs? no
Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A39a	List of unit costs? No.

Survey Responses at the MPO Level

Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A39a	List of unit costs? yes
Capital Region Council of Governments (Hartford, CT)	MPO	A39b	Information specifying the level of costing detail required? no
Central Transportation Planning Staff (Boston, MA)	MPO	A39b	Information specifying the level of costing detail required? no
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A39b	Information specifying the level of costing detail required? no
Capital Area MPO (Raleigh, NC)	MPO	A39b	Information specifying the level of costing detail required? no
Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A39b	Information specifying the level of costing detail required? No.
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A39b	Information specifying the level of costing detail required? yes
Capital Region Council of Governments (Hartford, CT)	MPO	A39c	Information to improve the accuracy of estimating operations and maintenance costs? no
Central Transportation Planning Staff (Boston, MA)	MPO	A39c	Information to improve the accuracy of estimating operations and maintenance costs? no
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A39c	Information to improve the accuracy of estimating operations and maintenance costs? no
Capital Area MPO (Raleigh, NC)	MPO	A39c	Information to improve the accuracy of estimating operations and maintenance costs? no
Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A39c	Information to improve the accuracy of estimating operations and maintenance costs? No for COTA, maybe for other Ohio systems.
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A39c	Information to improve the accuracy of estimating operations and maintenance costs? yes
	MPO	Q40	**Would you find technical advice for preparing ISTEA financial reports useful?**
Capital Region Council of Governments (Hartford, CT)	MPO	A40	no
Central Transportation Planning Staff (Boston, MA)	MPO	A40	no
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A40	no
Capital Area MPO (Raleigh, NC)	MPO	A40	no
Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A40	MORPC has figured it out and it is acceptable.
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A40	yes
	MPO	Q41	**Would you find procedural advice for preparing ISTEA financial reports useful?**
Capital Region Council of Governments (Hartford, CT)	MPO	A41	no
Central Transportation Planning Staff (Boston, MA)	MPO	A41	no
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A41	no
Capital Area MPO (Raleigh, NC)	MPO	A41	no
Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A41	MORPC has figured it out and it is acceptable.
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A41	no
	MPO	Q42	**Has the state issued guidelines to MPOs for preparing MIS (Major Investment Studies)? If yes, what kind of guidelines and at what level of detail?**
Capital Region Council of Governments (Hartford, CT)	MPO	A42	no
Central Transportation Planning Staff (Boston, MA)	MPO	A42	no
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A42	no
Capital Area MPO (Raleigh, NC)	MPO	A42	no

Survey Responses at the MPO Level

Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A42	ODOT has provided draft guidance on MIS.
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A42	yes, new 20 page report details the VA DOT MIS procedural guidelines.
	MPO	Q43	**Is the agency responsible for carrying out each project identified? How is the lead agency established? Is it program or project based? Does it change? If so, how often?**
Capital Region Council of Governments (Hartford, CT)	MPO	A43	no, either the state or the local community identify responsibility for the project depending on who's jurisdiction it falls under; doesn't change
Central Transportation Planning Staff (Boston, MA)	MPO	A43	Yes, project based; only changes for multimodal projects
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A43	yes, it's project based and doesn't change
Capital Area MPO (Raleigh, NC)	MPO	A43	yes, lead agency is project based, doesn't change
Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A43	Lead agency selected in discussion between COTA & MORPC. Factors incl: 1) Provisions in the COTA/MORPC Memo. of Understanding 2) Skills & time avail. at each agency 3) Agency funding proj. 4) Agency promoting proj.; It is project based & rarely changes.
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A43	yes, lead agency is project based, doesn't change
	MPO	Q44	**How is financial planning information for transit projects coordinated at the state, MPO, and transit agency levels?**
Capital Region Council of Governments (Hartford, CT)	MPO	A44	through group meetings on an as needed basis (usually annually)
Central Transportation Planning Staff (Boston, MA)	MPO	A44	The MBTA inititiates transit projects, identifies funding, and tracks expenditures. Information passed to MPO and state.
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A44	coordinated by the MPO
Capital Area MPO (Raleigh, NC)	MPO	A44	it's assumed that each level knows what they're doing
Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A44	The information is developed based on the ODOT TIP guidelines. It is coordinated through the TIP development process.
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A44	through the TIP process
	MPO	Q45	**How are state funding allocation decisions made? Do the MPO and transit operator have any influence?**
Capital Region Council of Governments (Hartford, CT)	MPO	A45	not sure, the MPO has some influence
Central Transportation Planning Staff (Boston, MA)	MPO	A45	State & federal funding for transit projects goes directly to the MBTA. Highway funding used for transit is distributed by formula.
Durham/Chapel Hill/Carrboro MPO (No. Carolina)	MPO	A45	state formula for allocating transit operating funds, state ranks capital projects based on project category, e.g. equipment replacement, service expansion, passenger amenities; not sure if MPOs ranking influences state decisions
Capital Area MPO (Raleigh, NC)	MPO	A45	by the state; however, the transit operator generally gets what they request
Mid-Ohio Regional Planning Commission (Columbus, OH)	MPO	A45	MPOs have had input into the allocation of Section 8 planning funding. MORPC is happy with current process.
Hampton Roads Planning District Commission (Norfolk/Hampton, VA)	MPO	A45	funds are allocated by formula for capital and operating expenses (no influence involved)

Survey Responses at the Transit Operator Level

AGENCY	LEVEL	Q/A#	QUESTION/ANSWER
	TO	Q01	**What role does your agency play in the financial planning aspects of transit projects as they relate to the following FTA requirements: MIS, SIP, STIP, LRP, STP, TIP?**
Greater Hartford Transit District (Hartford, CT)	TO	A01a	MIS - lead agency on Griffin Line Project (only project, one time effort)
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A01a	MIS - Lead agency on Triangle fixed guideway study; Support agency on Durham to Chapel Hill corridor study
Central Ohio Transit Authority (Columbus, OH)	TO	A01a	MIS - Worked jointly with MORPC on the North Corridor study. MORPC technically had the lead.
Peninsula Transit (Hampton, VA)	TO	A01a	MIS - major participants
Tidewater Transit (Norfolk, VA)	TO	A01a	MIS - lead agency (e.g. Norfolk-Virginia Beach corridor)
Greater Hartford Transit District (Hartford, CT)	TO	A01b	SIP - none
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A01b	SIP - no involvement
Central Ohio Transit Authority (Columbus, OH)	TO	A01b	SIP - None since area does not require control measures
Peninsula Transit (Hampton, VA)	TO	A01b	SIP - no involvement
Tidewater Transit (Norfolk, VA)	TO	A01b	SIP - no involvement
Greater Hartford Transit District (Hartford, CT)	TO	A01c	STIP - submit projects to the state
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A01c	STIP - no involvement (submit list of projects)
Central Ohio Transit Authority (Columbus, OH)	TO	A01c	STIP - None since ODOT cites Columbus TIP by reference and includes the Columbus TIP in an addendum.
Peninsula Transit (Hampton, VA)	TO	A01c	STIP - contributing participant (submit transit projects)
Tidewater Transit (Norfolk, VA)	TO	A01c	STIP - support agency, provide input through the TIP
Greater Hartford Transit District (Hartford, CT)	TO	A01d	LRP - submitted Griffin Line project (no other projects)
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A01d	LRP - support agency (participate in development)
Central Ohio Transit Authority (Columbus, OH)	TO	A01d	LRP - Worked with MORPC on transit components. MORPC had the lead.
Peninsula Transit (Hampton, VA)	TO	A01d	LRP - work w/MPO in developing LRP
Tidewater Transit (Norfolk, VA)	TO	A01d	LRP - support agency
Greater Hartford Transit District (Hartford, CT)	TO	A01e	STP - submit projects to the state
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A01e	STP - no involvement
Central Ohio Transit Authority (Columbus, OH)	TO	A01e	STP - Total responsibility.
Peninsula Transit (Hampton, VA)	TO	A01e	STP - no direct involvement
Tidewater Transit (Norfolk, VA)	TO	A01e	STP - support agency
Greater Hartford Transit District (Hartford, CT)	TO	A01f	TIP - submit projects to the MPO
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A01f	TIP - support agency (participate in development)
Central Ohio Transit Authority (Columbus, OH)	TO	A01f	TIP - COTA takes the lead on the transit component while MORPC coordinates overall TIP.
Peninsula Transit (Hampton, VA)	TO	A01f	TIP - work w/MPO in developing TIP
Tidewater Transit (Norfolk, VA)	TO	A01f	TIP - support agency
	TO	Q02	**Which, if any, of the ISTEA financial planning requirements do you take lead responsibility?**
Greater Hartford Transit District (Hartford, CT)	TO	A02	none, except MIS (for Griffin Line only)
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A02	MIS
Central Ohio Transit Authority (Columbus, OH)	TO	A02	STP. Transit components of TIP and LRP. Work jointly with MORPC on MIS that have transit emphasis.
Peninsula Transit (Hampton, VA)	TO	A02	none
Tidewater Transit (Norfolk, VA)	TO	A02	MIS

Survey Responses at the Transit Operator Level

AGENCY	LEVEL	Q/A#	QUESTION/ANSWER
	TO	Q03	**Which, if any, of the ISTEA financial planning requirements do you take support responsibility?**
Greater Hartford Transit District (Hartford, CT)	TO	A03	MIS, STIP, STP, TIP, LRP (one time shot w/Griffin Line Project)
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A03	MIS, TIP, LRP
Central Ohio Transit Authority (Columbus, OH)	TO	A03	Transit components of TIP and LRP. Work jointly with MORPC on MIS that have transit emphasis.
Peninsula Transit (Hampton, VA)	TO	A03	MIS, STIP, LRP, TIP
Tidewater Transit (Norfolk, VA)	TO	A03	STIP, LRP, STP, TIP
	TO	Q04	**How is lead and support responsibility established?**
Greater Hartford Transit District (Hartford, CT)	TO	A04	by the state and the MPO
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A04	in consultation with the MPO and the state
Central Ohio Transit Authority (Columbus, OH)	TO	A04	Based on consideration of: 1) memorandum of understanding between COTA and MORPC; and 2) technical abilities of participating agencies;
Peninsula Transit (Hampton, VA)	TO	A04	by agreement w/MPO
Tidewater Transit (Norfolk, VA)	TO	A04	by mutual agreement with the MPO, the state DOT and Department of Rail & Public Transportation
	TO	Q05	**How are transit projects initiated? Who ranks them? (transit oper. quest.)**
Greater Hartford Transit District (Hartford, CT)	TO	A05	by transit operator who submits projects to the Board of Directors for approval, projects then submitted to the MPO or the DOT
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A05	initiated by transit operator, projects aren't ranked
Central Ohio Transit Authority (Columbus, OH)	TO	A05	Primarily COTA. Sometimes COTA initiates projects in response to expressed community needs.
Peninsula Transit (Hampton, VA)	TO	A05	initiated by transit operator; transit operator, as member of TIP and technical subcommittee as well as the MPO, the transit operator is actively involved w/ranking transit projects
Tidewater Transit (Norfolk, VA)	TO	A05	initiated by transit operator; MPO ranks flex fund projects, transit operator ranks formula fund projects
	TO	Q06	**How do your Clean Air Act projects get into the SIP? (includes transit and highway projects)**
Greater Hartford Transit District (Hartford, CT)	TO	A06	through the MPO
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A06	they're not (NC DOT excludes transit projects)
Central Ohio Transit Authority (Columbus, OH)	TO	A06	Not applicable.
Peninsula Transit (Hampton, VA)	TO	A06	through the TIP
Tidewater Transit (Norfolk, VA)	TO	A06	through conformity analysis
	TO	Q07	**Has meeting the CAA requirements restricted your ability to implement projects which you consider to be of greater need?**
Greater Hartford Transit District (Hartford, CT)	TO	A07	no
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A07	n/a (no CAA transit projects submitted)
Central Ohio Transit Authority (Columbus, OH)	TO	A07	Not applicable.
Peninsula Transit (Hampton, VA)	TO	A07	no
Tidewater Transit (Norfolk, VA)	TO	A07	no
	TO	Q08	**Are all CAA transportation projects identified and initiated by transportation planning organizations, e.g. DOT, MPO, transit operator, as opposed to a non-transportation agency, e.g. state EPA?**
Greater Hartford Transit District (Hartford, CT)	TO	A08	not involved, done by the state and MPO
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A08	yes, however they're all inititiated by NC DOT
Central Ohio Transit Authority (Columbus, OH)	TO	A08	Not applicable

Survey Responses at the Transit Operator Level

AGENCY	LEVEL	Q/A#	QUESTION/ANSWER
Peninsula Transit (Hampton, VA)	TO	A08	yes
Tidewater Transit (Norfolk, VA)	TO	A08	yes
	TO	Q09	**Have any state guidelines been issued relative to compliance with ISTEA financial planning regulations?**
Greater Hartford Transit District (Hartford, CT)	TO	A09	no
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A09	no
Central Ohio Transit Authority (Columbus, OH)	TO	A09	Yes, Ohio Biennial STIP/TIP Development Requirements, September 1996.
Peninsula Transit (Hampton, VA)	TO	A09	no, use federal guidelines
Tidewater Transit (Norfolk, VA)	TO	A09	no
	TO	Q10	**Have any MPO guidelines been issued relative to compliance with ISTEA financial planning regulations? (MPO & transit oper. quest.)**
Greater Hartford Transit District (Hartford, CT)	TO	A10	no
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A10	no
Central Ohio Transit Authority (Columbus, OH)	TO	A10	No.
Peninsula Transit (Hampton, VA)	TO	A10	no, use federal guidelines
Tidewater Transit (Norfolk, VA)	TO	A10	no
	TO	Q11	**Do you have any suggestions for improving the technical or reporting aspects of ISTEA financial planning requirements?**
Greater Hartford Transit District (Hartford, CT)	TO	A11	no
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A11	Need more balanced approach to projects which qualify for air quality funding e.g. programming of CMAQ funds-none has been allocated to transit projects
Central Ohio Transit Authority (Columbus, OH)	TO	A11	None
Peninsula Transit (Hampton, VA)	TO	A11	no
Tidewater Transit (Norfolk, VA)	TO	A11	none
	TO	Q12	**What are your primary sources of funding for transit improvements ?**
Greater Hartford Transit District (Hartford, CT)	TO	A12a	Transit Operator - parking fees, Hartford Union Station revenues
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A12a	Transit Operator - None
Central Ohio Transit Authority (Columbus, OH)	TO	A12a	Transit Operator: 1/4 percent sales tax
Peninsula Transit (Hampton, VA)	TO	A12a	Transit Operator - bus advertising
Tidewater Transit (Norfolk, VA)	TO	A12a	Transit Operator
Greater Hartford Transit District (Hartford, CT)	TO	A12b	Local - municipalities provide local match for capital projects
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A12b	Local - 10% from $5 tax on vehicle registrations imposed in Wake, Orange, and Durham counties (effective 1/1/98 - 5% tax on car rentals to fund 25% of regional rail system)
Central Ohio Transit Authority (Columbus, OH)	TO	A12b	Local: None
Peninsula Transit (Hampton, VA)	TO	A12b	Local - Newport News and Hampton general funds
Tidewater Transit (Norfolk, VA)	TO	A12b	Local - 10% from city funds from 5 cities (Virginia Beach, Norfolk, Portsmouth, Chesapeake, Suffolk)
Greater Hartford Transit District (Hartford, CT)	TO	A12c	State - pay local share for station operation, driver training program for equipment (driver simulation equipment), drug & alcohol testing program administered for all the state transit districts, administer statewide transit district insurance program
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A12c	State - 10% from state; (25% for regional rail system)
Central Ohio Transit Authority (Columbus, OH)	TO	A12c	State: Ohio Public Transportation Grant Program funds (OPTGP) that are distributed by formula.
Peninsula Transit (Hampton, VA)	TO	A12c	State - provide capital match (about 7% - fluctuates annually)

Survey Responses at the Transit Operator Level

AGENCY	LEVEL	Q/A#	QUESTION/ANSWER
Tidewater Transit (Norfolk, VA)	TO	A12c	State - 10% from state transportation trust fund
Greater Hartford Transit District (Hartford, CT)	TO	A12d	Federal - section 5307
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A12d	Federal - 80% from section 5309; (50% for regional rail system)
Central Ohio Transit Authority (Columbus, OH)	TO	A12d	Federal: Section 9 (5307) formula funds and Section 3 (5309) earmark funds obtained as part of ODOT package of earmark requests for all Ohio systems. The ODOT package is submitted as one request and is administered by ODOT.
Peninsula Transit (Hampton, VA)	TO	A12d	Federal - section 9 formula funds, compete for CMAQ & Surface Transportation Program (STP) funds on a regional basis
Tidewater Transit (Norfolk, VA)	TO	A12d	Federal - 80% from section 5307 (also, about $2 million from the Ferry Boat Discretionary Fund from FHWA and about $2 million from section 5309 - new start money)
	TO	Q13	**What are your primary sources of funding for transit operating and maintenance costs ?**
Greater Hartford Transit District (Hartford, CT)	TO	A13a	Transit Operator - $110,000 collected in fares (dial-a-ride service is free, the only fare charged is $2 for ADA passengers)(total budget is about $3 million.)
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A13a	Transit Operator - 20% from fare box
Central Ohio Transit Authority (Columbus, OH)	TO	A13a	Transit Operator: 1/4 percent sales tax
Peninsula Transit (Hampton, VA)	TO	A13a	Transit Operator - farebox (40%)
Tidewater Transit (Norfolk, VA)	TO	A13a	Transit Operator - 40% from farebox
Greater Hartford Transit District (Hartford, CT)	TO	A13b	Local - municipalities pay for dial-a-ride service
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A13b	Local - 70% from vehicle registration tax
Central Ohio Transit Authority (Columbus, OH)	TO	A13b	Local: None
Peninsula Transit (Hampton, VA)	TO	A13b	Local - Newport News and Hampton general funds
Tidewater Transit (Norfolk, VA)	TO	A13b	Local - 30% from city funds from 5 cities (Virginia Beach, Norfolk, Portsmouth, Chesapeake, Suffolk)
Greater Hartford Transit District (Hartford, CT)	TO	A13c	State - pays for ADA service
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A13c	State - 10% state contribution
Central Ohio Transit Authority (Columbus, OH)	TO	A13c	State: OPTGP funds that are distributed by formula.
Peninsula Transit (Hampton, VA)	TO	A13c	State - formula funds based on population, service area, expenses, etc.
Tidewater Transit (Norfolk, VA)	TO	A13c	State - 30% from state transportation trust fund
Greater Hartford Transit District (Hartford, CT)	TO	A13d	Federal - section 5307
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A13d	Federal - None
Central Ohio Transit Authority (Columbus, OH)	TO	A13d	Federal: Section 9 (5307) formula funds
Peninsula Transit (Hampton, VA)	TO	A13d	Federal - section 9, CMAQ for new service
Tidewater Transit (Norfolk, VA)	TO	A13d	Federal - none
	TO	Q14	**Have you considered methods of financing transit projects that you consider new or innovative? If yes, give some examples. If not, have you used creative financing techniques for highway projects? If you have, why haven't you used them for transit proj?**
Greater Hartford Transit District (Hartford, CT)	TO	A14	using station revenue and private sector local match (downtown shuttle and commuter buses)
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A14	1) Tax exempt lease/purch from banks for vans & small buses-allows transit authority low interest rate (4%); 2) Research Triangle Foundation (private companies in RTP) has funded bus shelters 3)Retail space in Cary rail sta. leased to Div Motor Vehicles
Central Ohio Transit Authority (Columbus, OH)	TO	A14	1. CMAQ funds used for bus replace, park&ride lots, and demo svc to Newark.2. Livable communities project for Easton and South Linton (11th/Cleveland), developer providing 2.6 acres (approx $1.0 million value) for local match. 3.Advertising on buses.

Survey Responses at the Transit Operator Level

AGENCY	LEVEL	Q/A#	QUESTION/ANSWER
Peninsula Transit (Hampton, VA)	TO	A14	adopt-a-bus program which provides revenue through bus advertising
Tidewater Transit (Norfolk, VA)	TO	A14	looking to joint development of light rail stations to recover 10% of capital costs, city/transit operator funding split for ferry dock
	TO	Q15	**How are the use of capital and operating funds tracked?**
Greater Hartford Transit District (Hartford, CT)	TO	A15	internal accounting system
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A15	Capital funds are tracked through quarterly progress reports to the FTA; operating funds are tracked through a computerized accounting system
Central Ohio Transit Authority (Columbus, OH)	TO	A15	COTA accounting department racks obligations and expenses incurred. Service Development prepares grant applications.
Peninsula Transit (Hampton, VA)	TO	A15	computerized accounting system
Tidewater Transit (Norfolk, VA)	TO	A15	computerized accounting system for both
	TO	Q16	**How are funding projections made? Who makes them?**
Greater Hartford Transit District (Hartford, CT)	TO	A16	made by Agency Director based on historic practice
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A16	TTA makes funding projections based on historical data and market forecasts e.g. rental car revenues for regional rail system
Central Ohio Transit Authority (Columbus, OH)	TO	A16	ODOT's Ohio Biennial STIP/TIP Development Requirements, September 1996 sets procedure for estimating federal and state funds. COTA estimates sales tax revenues based on straight-line trends.
Peninsula Transit (Hampton, VA)	TO	A16	done by the transit operator based on historical information plus information supplied by the state and FTA
Tidewater Transit (Norfolk, VA)	TO	A16	made by transit operator based on historical trends
	TO	Q17	**Are funding projections updated? If yes, by whom? Are the updates timely and reliable?**
Greater Hartford Transit District (Hartford, CT)	TO	A17	yes, by Agency Director on a monthly basis for the Board of Directors
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A17	updated internally on an annual basis, they're timely and reliable
Central Ohio Transit Authority (Columbus, OH)	TO	A17	ODOT's guidelines are based on last year's appropriations of federal and state funding. COTA prepares ten year forecasts by year in the development of its annual budget and forecasts sales tax revenues by year.
Peninsula Transit (Hampton, VA)	TO	A17	yes, by transit operator; timely and reliable
Tidewater Transit (Norfolk, VA)	TO	A17	yes, by the transit operator; updates are timely and reliable and done in conjunction with TIP development
	TO	Q18	**Do MPOs and transit agencies get timely and reliable information from the DOT concerning the ranking of their projects and prospects for funding?**
Greater Hartford Transit District (Hartford, CT)	TO	A18	ranking based on committee comprised of Middletown Transit District, CT DOT, this agency, Capital Region Council of Governments and the MPO for Middletown; the state provides information concerning funding for projects
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A18	no, project ranking is not done at the state level; funding allocations are based on regional political clout
Central Ohio Transit Authority (Columbus, OH)	TO	A18	Yes. ODOT generally tells either MORPC or COTA of changes.
Peninsula Transit (Hampton, VA)	TO	A18	yes
Tidewater Transit (Norfolk, VA)	TO	A18	ranking is timely as it's done by the MPO, funding projections are timely subject to federal appropriation process

Survey Responses at the Transit Operator Level

AGENCY	LEVEL	Q/A#	QUESTION/ANSWER
	TO	Q19	**Do you have any problems making 20 year funding projections? How about 10 year projections? 5 year projections? 3 year projections? What types of problems do you encounter in making each of these projections?**
Greater Hartford Transit District (Hartford, CT)	TO	A19	no
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A19	no
Central Ohio Transit Authority (Columbus, OH)	TO	A19	No problems beyond the increase in uncertainty as the forecast year goes further into the future. COTA is conservative and assumes no increase in state and federal funding in the second and succeeding years.
Peninsula Transit (Hampton, VA)	TO	A19	yes, without dedicated source of funding it's difficult to predict
Tidewater Transit (Norfolk, VA)	TO	A19	yes, without dedicated source of funding it's difficult to predict
	TO	Q20	**In preparing the STIP (Statewide Transportation Improvement Program) and TIP (Transportation Improvement Plan), does the state and MPO review the reasonableness of projected funding levels for metropolitan areas? How is this done?**
Greater Hartford Transit District (Hartford, CT)	TO	A20	n/a
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A20	not involved in process
Central Ohio Transit Authority (Columbus, OH)	TO	A20	ODOT and MORPC do review the reasonableness of projections as part of the TIP process. Since ODOT's guidelines are specific and because COTA is conservative in its forecasts (no increase in svc or state and federal funding), the review comments are minor
Peninsula Transit (Hampton, VA)	TO	A20	ask the state and MPO, transit operators projections are based on information provided by the state and the MPO
Tidewater Transit (Norfolk, VA)	TO	A20	yes, based on historical trends
	TO	Q21	**How are MIS projects reviewed to insure they're either standalone or programmed into useable pieces?**
Greater Hartford Transit District (Hartford, CT)	TO	A21	reviewed by the MPO
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A21	done at the MPO level
Central Ohio Transit Authority (Columbus, OH)	TO	A21	This requirement is usually a key part of the MIS work scope. Therefore, the study products meet the requirements and require only limited review.
Peninsula Transit (Hampton, VA)	TO	A21	by the MPO
Tidewater Transit (Norfolk, VA)	TO	A21	by the sponsoring or lead agency
	TO	Q22	**How do you insure that transit projects required under the Clean Air Act are included in the programming process?**
Greater Hartford Transit District (Hartford, CT)	TO	A22	done at the MPO level
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A22	Transit projects are not included.
Central Ohio Transit Authority (Columbus, OH)	TO	A22	Not applicable since area does not require control measures.
Peninsula Transit (Hampton, VA)	TO	A22	based on evaluation criterion for CMAQ funds
Tidewater Transit (Norfolk, VA)	TO	A22	through the TIP process
	TO	Q23	**When developing programs, are highway and transit projects developed separately or is it a multimodal approach? If projects are developed separately, is it because of the nature of these projects and are they coordinated into a multimodal plan?**
Greater Hartford Transit District (Hartford, CT)	TO	A23	projects are developed seperately (historic practice)
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A23	developed separately primarily because of clout of highway administrator, the Raleigh and Durham MPOs are attempting to develop a multimodal plan

Survey Responses at the Transit Operator Level

AGENCY	LEVEL	Q/A#	QUESTION/ANSWER
Central Ohio Transit Authority (Columbus, OH)	TO	A23	COTA's projects generally involve bus replacement and the construction of shelters and park-and-ride lots, projects that do not have significant impact on other modes. A multimodal approach has been followed for the North Corridor and North (downtown) T
Peninsula Transit (Hampton, VA)	TO	A23	separately by the nature of the projects, MIS projects attempt to use a multimodal approach
Tidewater Transit (Norfolk, VA)	TO	A23	developed separately due to the nature of the project and the funding sources, MIS corridor projects are coordinated into a multimodal plan
	TO	Q24	**How are projects selected for the TIP? Who does it? How is it done?**
Greater Hartford Transit District (Hartford, CT)	TO	A24	in conjunction w/local transit districts, the local MPO, and the state DOT
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A24	done by the MPO and the state
Central Ohio Transit Authority (Columbus, OH)	TO	A24	COTA makes the decisions for transit categorical funding, the largest amount of transit funding. MORPC has developed a selection and ranking system for funding that it controls.
Peninsula Transit (Hampton, VA)	TO	A24	submitted to the MPO by the transit operator; if the source of funding is CMAQ or STP the projects are ranked, if the source of funding is section 9 formula grants, the project is automatically included
Tidewater Transit (Norfolk, VA)	TO	A24	the transit operator submits a constrained list of formula funded projects and projects funded with flexible funds
	TO	Q25	**When funds have been allocated for a project and that project is not ready to go, how is the money reallocated: Is reallocation based on project selection evaluation process, i.e. prioritized list, or is it reallocated to whatever project is ready to go?**
Greater Hartford Transit District (Hartford, CT)	TO	A25	done by the MPO
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A25	no experience with this situation
Central Ohio Transit Authority (Columbus, OH)	TO	A25	COTA does not have these problems because it's capital program has been conservative and not very aggressive.
Peninsula Transit (Hampton, VA)	TO	A25	hasn't happened w/transit projects
Tidewater Transit (Norfolk, VA)	TO	A25	hasn't happened to transit projects
	TO	Q26	**Do you have the authority to reallocate state, local, and federal funds? Do you exercise that authority?**
Greater Hartford Transit District (Hartford, CT)	TO	A26	no
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A26	only TTA local funds; yes transferred between operating and capital
Central Ohio Transit Authority (Columbus, OH)	TO	A26	COTA has the authority and exercises it when it develops projects for the next TIP. This happens rarely.ODOT's rule that TIP projects in years 2 and 3 can be advanced without a TIP amendment, (with a letter of concurrence from the MPO), has been helpful.
Peninsula Transit (Hampton, VA)	TO	A26	no
Tidewater Transit (Norfolk, VA)	TO	A26	yes, yes
	TO	Q27	**How do you determine the source of funding for each project, i.e. state, federal, local? (How do you establish the funding category for each project?)**
Greater Hartford Transit District (Hartford, CT)	TO	A27	depends on what's available
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A27	based on projection of availability funding
Central Ohio Transit Authority (Columbus, OH)	TO	A27	COTA process: 1) Assign categorical funding (e.g., earmarks, ODOT Elderly and Disabled) to specific proj.2) Assign funds to meet fed or state initiatives (eg ODOT's push for more capital & less operating use of its funds; 3) federal/state $ to fill gaps
Peninsula Transit (Hampton, VA)	TO	A27	use federal, then state, then local funds
Tidewater Transit (Norfolk, VA)	TO	A27	depends on the nature of the project and funding availability

Survey Responses at the Transit Operator Level

AGENCY	LEVEL	Q/A#	QUESTION/ANSWER
	TO	Q28	**Are federal highway funds reallocated to transit? If so, are they used for transit improvements? Are they used for operating expenses? If not, are there any spending restrictions?**
Greater Hartford Transit District (Hartford, CT)	TO	A28	yes, for transit improvements and planning
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A28	no, due to the control of highway interests and their need to keep up with population and vehicle growth given limited funding resources
Central Ohio Transit Authority (Columbus, OH)	TO	A28	Yes, MORPC has provided CMAQ and STP funding. The Newark MPO provided CMAQ funds for a demonstration of express bus service.
Peninsula Transit (Hampton, VA)	TO	A28	yes (CMAQ and STP), used for operating and capital
Tidewater Transit (Norfolk, VA)	TO	A28	yes, yes, no due to spending restrictions in program
	TO	Q29	**Are state highway funds reallocated to transit? If so, are they used for transit improvements? Are they used for operating expenses? If not, are there any spending restrictions?**
Greater Hartford Transit District (Hartford, CT)	TO	A29	not done at the transit operator level
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A29	no, due to the control of highway interests and their need to keep up with population and vehicle growth given limited funding resources
Central Ohio Transit Authority (Columbus, OH)	TO	A29	There are legal prohibitions against using these funds for non-highway purposes.
Peninsula Transit (Hampton, VA)	TO	A29	yes, used for operating and capital
Tidewater Transit (Norfolk, VA)	TO	A29	yes, for special funding requests and for matching STP funds; yes, it's used for transit improvements (e.g. light rail project), it's not used for operating because of the structure of the state transportation trust fund
	TO	Q30	**In preparing the TIP, is the project selection limited by available funding? (financially constrained) If not, is there a reason? Is it financially constrained by mode?**
Greater Hartford Transit District (Hartford, CT)	TO	A30	n/a
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A30	n/a, check with the State and the MPOs
Central Ohio Transit Authority (Columbus, OH)	TO	A30	Yes.
Peninsula Transit (Hampton, VA)	TO	A30	yes, yes
Tidewater Transit (Norfolk, VA)	TO	A30	yes, yes
	TO	Q31	**Does the STIP & TIP incl financial info to show projects which are to be implemented using current revenues & which using proposed funding? How do you show that the system is being adequately oper. & maint. when proj. to expand the system are programmed?**
Greater Hartford Transit District (Hartford, CT)	TO	A31	n/a
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A31	n/a, check with the State and the MPOs
Central Ohio Transit Authority (Columbus, OH)	TO	A31	Yes for current revenues.ODOT does not permit proj using proposed funding to be included in TIP. COTA prepares an annual, 5 year TIP that demo its financial capacity to maintain operations for 5 years. Internal project are developed for 10 years.
Peninsula Transit (Hampton, VA)	TO	A31	yes, review new projects to insure existing system is maintained at current levels
Tidewater Transit (Norfolk, VA)	TO	A31	yes, done by state statute
	TO	Q32	**What problems do you have relating TIPs, generated by each MPO, with the long range STIP (Statewide Transportation Improvement Program)?**
Greater Hartford Transit District (Hartford, CT)	TO	A32	n/a
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A32	n/a, check with the State and the MPOs

Survey Responses at the Transit Operator Level

AGENCY	LEVEL	Q/A#	QUESTION/ANSWER
Central Ohio Transit Authority (Columbus, OH)	TO	A32	No problems since ODOT does not modify the metropolitan TIPs and incorporates them into the STIP by reference.
Peninsula Transit (Hampton, VA)	TO	A32	none
Tidewater Transit (Norfolk, VA)	TO	A32	not involved
	TO	Q33	**Are standard cost estimation methodologies used at the state, MPO, and transit agency levels for projects?**
Greater Hartford Transit District (Hartford, CT)	TO	A33	no, based on historic practice and current research
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A33	yes, they're not written but they're based on a collaborative effort
Central Ohio Transit Authority (Columbus, OH)	TO	A33	No. COTA uses: 1) standard construction cost estimation methodologies for buildings; 2) past experience and discussions with other transit systems for bus purchases and shelters; and 3) past experience and standard construction cost estimation methodolo
Peninsula Transit (Hampton, VA)	TO	A33	yes
Tidewater Transit (Norfolk, VA)	TO	A33	yes
	TO	Q34	**Are you satisfied with your cost estimation procedures for projects? If not, are there weaknesses or are the procedures overly complicated?**
Greater Hartford Transit District (Hartford, CT)	TO	A34	yes
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A34	yes
Central Ohio Transit Authority (Columbus, OH)	TO	A34	Yes, COTA makes good estimates.
Peninsula Transit (Hampton, VA)	TO	A34	yes
Tidewater Transit (Norfolk, VA)	TO	A34	yes
	TO	Q35	**Are standard cost estimation methodologies used at the state, MPO, and transit agency levels for operating and maintenance costs?**
Greater Hartford Transit District (Hartford, CT)	TO	A35	not aware
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A35	no
Central Ohio Transit Authority (Columbus, OH)	TO	A35	No. COTA budgets use a direct cost per hour methodology and estimates indirect costs separately
Peninsula Transit (Hampton, VA)	TO	A35	no
Tidewater Transit (Norfolk, VA)	TO	A35	yes
	TO	Q36	**Are you satisfied with your cost estimation procedures for operating and maintenance costs? If not, are there weaknesses or are the procedures overly complicated?**
Greater Hartford Transit District (Hartford, CT)	TO	A36	yes
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A36	yes
Central Ohio Transit Authority (Columbus, OH)	TO	A36	Yes. COTA only forecasts service level changes for the first year and holds service levels constant in the following year. This reduces the cost estimation problems considerably to only estimating inflationary impacts.
Peninsula Transit (Hampton, VA)	TO	A36	yes
Tidewater Transit (Norfolk, VA)	TO	A36	yes
	TO	Q37	**Do you make estimates of capital and operating expenses for maintaining the current system? Do these projects include service expansions?**
Greater Hartford Transit District (Hartford, CT)	TO	A37	yes, annually; no
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A37	yes, yes
Central Ohio Transit Authority (Columbus, OH)	TO	A37	Yes, as part of the annual, five-year short-range transit plan. Service levels are assumed to remain constant in these projections.

Survey Responses at the Transit Operator Level

AGENCY	LEVEL	Q/A#	QUESTION/ANSWER
Peninsula Transit (Hampton, VA)	TO	A37	yes, yes
Tidewater Transit (Norfolk, VA)	TO	A37	yes, yes
	TO	Q38	**In which areas would guidelines be useful in estimating capital project expense: List of project items with unit costs? Info specifying the level of project detail required? Info to improve the accuracy of estimating project costs and funding projections?**
Greater Hartford Transit District (Hartford, CT)	TO	A38a	List of project items with unit costs? not necessary
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A38a	List of project items with unit costs? yes, for regional rail
Central Ohio Transit Authority (Columbus, OH)	TO	A38a	List of project items with unit costs? No for items that involve local labor and construct costs since they vary among areas.Yes for items that have national prices such as buses. If bus prices are collected, addl info should be collected.
Peninsula Transit (Hampton, VA)	TO	A38a	List of project items with unit costs? yes, to confirm current practices & insure all factors are included
Tidewater Transit (Norfolk, VA)	TO	A38a	List of project items with unit costs? yes
Greater Hartford Transit District (Hartford, CT)	TO	A38b	Information specifying the level of project detail required? not necessary
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A38b	Information specifying the level of project detail required? yes, most definitely
Central Ohio Transit Authority (Columbus, OH)	TO	A38b	Information specifying the level of project detail required? No, because federal suggestions often become requirements.
Peninsula Transit (Hampton, VA)	TO	A38b	Information specifying the level of project detail required? yes, to confirm current practices
Tidewater Transit (Norfolk, VA)	TO	A38b	Information specifying the level of project detail required? yes
Greater Hartford Transit District (Hartford, CT)	TO	A38c	Information to improve the accuracy of estimating project costs and funding projections? not necessary
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A38c	Information to improve the accuracy of estimating project costs and funding projections? no
Central Ohio Transit Authority (Columbus, OH)	TO	A38c	Information to improve the accuracy of estimating project costs and funding projections? No
Peninsula Transit (Hampton, VA)	TO	A38c	Information to improve the accuracy of estimating project costs and funding projections? yes, to confirm current practices
Tidewater Transit (Norfolk, VA)	TO	A38c	Information to improve the accuracy of estimating project costs and funding projections? yes
	TO	Q39	**In which areas would guidelines be useful in estimating operations and maintenance (O & M) expense: List of unit costs? Info specifying the level of costing detail required? Info to improve the accuracy of estimating operations and maintenance costs?**
Greater Hartford Transit District (Hartford, CT)	TO	A39a	List of unit costs? not necessary
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A39a	List of unit costs? no
Central Ohio Transit Authority (Columbus, OH)	TO	A39a	List of unit costs? No, since local contracts and conditions are significant factors in cost differences.
Peninsula Transit (Hampton, VA)	TO	A39a	List of unit costs? yes, to confirm current practices & insure all factors are included
Tidewater Transit (Norfolk, VA)	TO	A39a	List of unit costs? yes
Greater Hartford Transit District (Hartford, CT)	TO	A39b	Information specifying the level of costing detail required? not necessary
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A39b	Information specifying the level of costing detail required? yes
Central Ohio Transit Authority (Columbus, OH)	TO	A39b	Information specifying the level of costing detail required? No for day-to-day and budgeting needs. Yes for MIS projects involving new modes.
Peninsula Transit (Hampton, VA)	TO	A39b	Information specifying the level of costing detail required? yes, to confirm current practices
Tidewater Transit (Norfolk, VA)	TO	A39b	Information specifying the level of costing detail required? yes
Greater Hartford Transit District (Hartford, CT)	TO	A39c	Information to improve the accuracy of estimating operations and maintenance costs? not necessary

Survey Responses at the Transit Operator Level

AGENCY	LEVEL	Q/A#	QUESTION/ANSWER
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A39c	Information to improve the accuracy of estimating operations and maintenance costs? no
Central Ohio Transit Authority (Columbus, OH)	TO	A39c	Information to improve the accuracy of estimating operations and maintenance costs? No
Peninsula Transit (Hampton, VA)	TO	A39c	Information to improve the accuracy of estimating operations and maintenance costs? yes, to confirm current practices
Tidewater Transit (Norfolk, VA)	TO	A39c	Information to improve the accuracy of estimating operations and maintenance costs? yes
	TO	Q40	**Would you find technical advice for preparing ISTEA financial reports useful?**
Greater Hartford Transit District (Hartford, CT)	TO	A40	no
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A40	yes, very helpful
Central Ohio Transit Authority (Columbus, OH)	TO	A40	Yes, if useful. COTA is comfortable with its current procedures.
Peninsula Transit (Hampton, VA)	TO	A40	sure
Tidewater Transit (Norfolk, VA)	TO	A40	yes
	TO	Q41	**Would you find procedural advice for preparing ISTEA financial reports useful?**
Greater Hartford Transit District (Hartford, CT)	TO	A41	no
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A41	yes, very helpful
Central Ohio Transit Authority (Columbus, OH)	TO	A41	Yes, if useful. COTA is comfortable with its current procedures.
Peninsula Transit (Hampton, VA)	TO	A41	sure
Tidewater Transit (Norfolk, VA)	TO	A41	yes
	TO	Q42	**Has the state issued guidelines to MPOs for preparing MIS (Major Investment Studies)? If yes, what kind of guidelines and at what level of detail?**
Greater Hartford Transit District (Hartford, CT)	TO	A42	no
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A42	no
Central Ohio Transit Authority (Columbus, OH)	TO	A42	No, follow federal guidelines
Peninsula Transit (Hampton, VA)	TO	A42	no
Tidewater Transit (Norfolk, VA)	TO	A42	no
	TO	Q43	**Is the agency responsible for carrying out each project identified? How is the lead agency established? Is it program or project based? Does it change? If so, how often?**
Greater Hartford Transit District (Hartford, CT)	TO	A43	yes, it's project based; doesn't change
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A43	project based, doesn't change
Central Ohio Transit Authority (Columbus, OH)	TO	A43	Lead agency selected in a discussion between COTA and MORPC. Factors considered are: 1) Provisions in the COTA/MORPC Memorandum of Understanding; and 2) Skills and time available at each agency.It's project based & seldom changes.
Peninsula Transit (Hampton, VA)	TO	A43	yes, project based, can change
Tidewater Transit (Norfolk, VA)	TO	A43	yes, it's project based, doesn't change
	TO	Q44	**How is financial planning information for transit projects coordinated at the state, MPO, and transit agency levels?**
Greater Hartford Transit District (Hartford, CT)	TO	A44	committee including the transit operator, MPO, and CT DOT
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A44	done primarily at the state level
Central Ohio Transit Authority (Columbus, OH)	TO	A44	The information is developed based on the ODOT TIP guidelines. It is coordinated through the TIP development process.
Peninsula Transit (Hampton, VA)	TO	A44	through the state DOT (Dept. of Rail & Public Transportation)
Tidewater Transit (Norfolk, VA)	TO	A44	through the TIP process
	TO	Q45	**How are state funding allocation decisions made? Do the MPO and transit operator have any influence?**

Survey Responses at the Transit Operator Level

AGENCY	LEVEL	Q/A#	QUESTION/ANSWER
Greater Hartford Transit District (Hartford, CT)	TO	A45	the MPO and transit operator have influence through the TIP process
Triangle Transit Authority (Raleigh/Durham, NC)	TO	A45	made by the state with limited input from the transit agency
Central Ohio Transit Authority (Columbus, OH)	TO	A45	State funding allocated by formula. Ltd, state discretionary funding based on evaluation develop by ODOT in coordination w/operators and MPOs. When ODOT considers changes to its formulae, it consults operators at state transit meetings and individually.
Peninsula Transit (Hampton, VA)	TO	A45	formula based for operating costs; capital is based on state funding capabilities; transit operator has input on the discretionary funds, not the formula funds
Tidewater Transit (Norfolk, VA)	TO	A45	by state statute and through approval of the state transportation board; yes, through project recommendation by the Department of Rail and Public Transportation