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Survey of State Funding for Public Transportation—Ways to Improve It

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CONTENTS

Executive Summary	iii
1 Introduction	1
2 Assessment of Existing Report	1
2.1 Review of Data Collection Method.....	1
2.2 Survey of State DOTs on Potential Improvements	2
3 Recommended Approach to Data Collection	8
3.1 Continue Current Excel-based Reporting Approach.....	8
3.2 Provide Written Instructions that Define Major Terms.....	8
3.3 Enhance Post-submission Data Checks.....	9
3.4 Standardize the “Major Features” Request	9
3.5 Allow States to Revise Previous Data Submissions.....	9
3.6 Drop Dedicated and Non-dedicated Funding Data Request.....	10
3.7 Drop “Pass Through” as a Category for Distribution of Funds.....	10
3.8 Collect Data on the Source of Funds for All State Transit Funding instead of by Program.....	10
4 Recommended Changes to the Report Organization	11
4.1 Emphasize Report’s Purpose as a Database	11
4.2 Provide Five Years of Data for Historical Tables	11
4.3 Make Changes to Tables and Graphics in Chapter 1	11
5 Conclusion	14
Appendix A – Recommended Excel Spreadsheets (Example)	A-1
Appendix B – Suggested Guidance to Reporters	B-1
Appendix C – State DOTs Participating in Survey	C-1
Appendix D – Survey to State DOT Reporters of Funding Data	D-1
Appendix E – Survey to Other Recipients of State Survey Report	E-1

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EXECUTIVE SUMMARY

The *Survey of State Funding for Public Transportation* report (State Survey report) offers a unique source of information on state-level public transportation funding, the source of funds, the potential use of funds and method of funds distribution for each transit program. There is no other existing resource available that provides the level of detail contained in this report. The preparation of this report is based on data provided by representatives within each state Department of Transportation (DOT) and the approach to data collection and report preparation has remained unchanged for a number of years.

This research project seeks to evaluate the current report and make recommendations for improvements. While the report contains a number of recommendations for changes, the research team is recommending a continuation of the general approach to data collection and report preparation. Although available technology would enable a transition to a web-based data collection approach, given the limited reporting burden under the current approach, the research team recommends a continuation of the Excel-based approach to data collection. The research team also recommends the continued preparation of both hard copy and PDF formats to maximize accessibility to prepared information.

Based on a review of the existing *Survey of State Funding for Public Transportation* and outreach to state DOTs, associations, and other users of the report, the research team recommends the following changes to the approach for data collection and report production:

- Provide brief written instructions that define major terms to data reporters at each state DOT;
- Enhance post-submission data checks to improve data quality;
- Generate data files for distribution to improve the accessibility of collected information; and
- Eliminate questions related to non-transit related ferry funding.

The research team also recommends changes in data collected for the report as indicated in Table ES-1.

Table ES-1. Summary of Recommended Changes in Data Collected

	<u>Data Currently Collected</u>		<u>Recommended for Collection</u>	
	Funding By Program	Funding for All Transit Programs Combined	Funding by Program	Funding for All Transit Programs Combined
Total State Funds	X	-	X	X
Source of State Funds	X	-	-	X
Eligible Use (Operating, Capital)	X	-	X	-
Type of Funding (Dedicated, Non-Dedicated)	X	-	-	-
Method of Distribution (Discretionary, Formula, Pass Through)	X	-	X	-
Non-transit related ferry funding	X	X	-	-

In addition, the research team recommends a standardized format for the “Major Features” summary page for each state to standardize reporting and allow comparisons across states. Under the current approach, each state makes its own determination as to what is reported on this page. To simplify the data collection effort, this new format should be incorporated into the Excel file as a new tab. The research team recommends that each state report the following:

- Total state transit funding;
- Description of state transit funding sources;
- Total number of transit systems in the state with detail by those defined as urban, small urban, rural;
- Total number of metropolitan planning organizations (MPO) in the state;
- Open ended description of “any major changes in state funding within the past year;” and
- List of local funding sources used in the state (check boxes).

In addition to changes in information collected from state DOTs, the research team recommends the following changes to the organization of the report:

- Emphasize charts and graphics in Chapter 1 and limit descriptions of data within the text;
- Focus on the most recent five years of funding and, as a part of this change, allow states to make corrections to previous year submissions; and
- Prepare a data file that can be shared in addition to the final report to include historical funding information not contained in the prepared report.

In addition, the research team recommends changes in the tables and figures included in Chapter 1 as shown in Table ES-2 and Table ES-3 to focus on primary uses of the report.

Table ES-2. Recommended Changes to Figures in Chapter 1

Figure Number	Name of Figure	Recommended Change
1-2	Eligible Uses for State Transit Funding	Drop graphic.

Table ES-3. Recommended Changes to Tables in Chapter 1

Table Number	Name of Table	Recommended Change
Modifications Recommended		
1-1	States with Increased Funding for Public Transit	Change to compare current year with funding as of four years prior (e.g., compare 2009 to 2005).
1-2	State Funding of Public Transit by Select Years	Change to show last five years of funding.
1-3	Federal and State Funding for Public Transit by Select Years	Change to show last five years of funding.
1-4	Major Sources for Overall Transit Funding	No changes in table format, but encourage states to report original source of revenue for Transportation Trust Funds provided.
1-8	Changes in State Transit Funding Levels	Change to compare current year with funding as of four years prior (e.g., compare 2009 to 2005).
Elimination Recommended		
1-5	Eligible Uses for State Transit Funding	Drop table.
1-6	Types of Transit Funding	Drop table.
1-7	Method of Distribution for State Transit	Drop table.

1 INTRODUCTION

The purpose of the *Survey of State Funding for Public Transportation* report (State Survey report) is to collect information on all state funding provided to transit agencies. The report offers a unique source of information on state-level public transportation funding, the source of funds, the potential use of funds and method of funds distribution for each transit program. There is no other existing resource available that provides the level of detail contained in this report, and the staff at numerous organizations refer individuals to the report for detailed state funding information. The preparation of this report is based on data provided by representatives within each state Department of Transportation (DOT).

2 ASSESSMENT OF EXISTING REPORT

The research team's recommendations are based on a review of the existing State Survey report, a survey to reporters of state funding data, and outreach to staff at state DOTs, the Federal Transit Administration (FTA), the American Association of State Highway and Transportation Officials (AASHTO), the American Public Transportation Association (APTA) and the National Conference of State Legislators. The research team focused on the following key objectives in the development of recommendations:

- Ensure that the report contains high quality data;
- Emphasize useful and unique funding data not available through other sources;
- Maintain a low reporting burden for state DOT respondents; and
- Recognize that limited resources are available to prepare the report.

2.1 REVIEW OF DATA COLLECTION METHOD

The data collection used to develop the State Survey report is conducted using a minimal level of staff resources and the participation rate is consistently high. All 50 states and the District of Columbia participated for the Fiscal Year (FY) 2009 State Survey report that was completed in June 2011. The current approach to data collection relies on the completion of a standardized Excel file sent via email communication to representatives of each state DOT. Each respondent receives an Excel file pre-populated with data provided in the state's most recent submission and is asked to update the file for the fiscal year for the report being prepared.

Respondents are not currently provided with written instructions or definitions of key terms. Each respondent must independently interpret the meaning of data items requested. While most of the requested items appear to be self-explanatory and the reporting tool is simple, such an undefined approach has the potential to lead to inconsistencies in reporting across states. While many of the requested data items are clear, for a number of items, it is possible to interpret terms differently. States and transit agencies often express confusion over the exact definitions of "state" and "local" sources of funding. For example, is a local option sales tax collected by the state considered a "local" or a "state" resource?

Quality checks of reported data submitted are limited to comparing funding totals to the sum of funding for specific programs. Absent from quality checks is a comparison to previous year submissions or comparisons to the FTA National Transit Database (NTD.) The research team's evaluation of total dollars reported by individual states from year to year suggests inconsistencies in the quality of data.

Data reported to the State Survey report is often inconsistent with the NTD, a source that also provides some level of detail on state funding. FTA collects data on state funding levels only from transit agencies that receive federal funds and attributes funding to each state based on the geographic location of the reporting agency's headquarters. Given the variation in approach to data collection, it is unlikely that these sources will align precisely, but the divergence in funding levels reported highlights the need to identify strategies to improve the quality of data collected. FTA staff provided the research team with its recent analysis that compared state funding data reported to the NTD against data reported in the State Survey report for FY 2006. The results of this analysis showed wide variation in state funding data provided by these two reports (see examples in Table 1). Of the 51 participants in the State Survey report for FY 2006 (50 states and the District of Columbia), 35 reported more state funding than that reported in the NTD and 15 reported less state funding than that reported in the NTD.

Table 1. Comparison of State Funding Reported to the National Transit Database and to the Survey of State Funding for Public Transportation (FY 2006)

State	State Funding as Reported to FTA's NTD (sum of agencies reporting)	State Funding as Reported in the Survey of State Funding for Public Transportation	Difference
CA	\$1,058,050,336	\$2,208,814,477	(\$1,150,764,141)
NY	\$1,881,910,459	\$2,573,088,000	(\$691,177,541)
MA	\$695,720,132	\$1,217,790,879	(\$522,070,747)
MD	\$453,929,076	\$811,485,000	(\$357,555,924)
VA	\$54,358,494	\$267,556,000	(\$213,197,506)
HI	-	-	-
AL	\$38,496	-	\$38,496
UT	\$91,837,396	-	\$91,837,396
NV	\$113,695,653	\$92,000	\$113,603,653
NJ	\$980,986,466	\$847,052,000	\$133,934,466
WA	\$198,272,302	\$39,338,803	\$158,933,499
OH	\$189,608,831	\$16,300,000	\$173,308,831
TX	\$370,592,996	\$28,741,067	\$341,851,929

Source: Unpublished analysis by FTA

2.2 SURVEY OF STATE DOTs ON POTENTIAL IMPROVEMENTS

The research team received input on the current approach to report preparation through a survey sent to individuals at state DOTs responsible for reporting state funding data and through input received from focus groups made up of state DOT representatives and staff of transportation industry trade associations. To support the research team's survey effort, AASHTO provided the research team with a list of the individuals who provided data for the most recent 2011 Survey of State Funding for Public Transportation (FY 2009) report. The list contained 69 contacts with at least one for each of the 50 states. A total of 39 individuals, representing 56 percent of those surveyed, responded. Five states had multiple responses and, for the purposes of analysis, the most complete response from each state was included in the analysis. In total, the research team analyzed 32 survey responses, representing 64 percent of state DOTs. The survey provided valuable information on the method of reporting, the availability and confidence of reporters in

the quality of data, and how state DOTs are using the current report. In addition to surveying state DOTs, the research team sent a second survey to approximately 35 additional contacts to whom AASHTO has distributed the report in past years to receive input on the use of the report. Responses from these survey efforts suggest the following:

Regarding data collection and reporting:

- States are generally comfortable with the current reporting approach using an Excel-based format;
- The reporting burden is quite low with only a handful of states reporting that it takes more than one day to complete the request;
- A small number of states are not reporting all state funding, the absence of which will understate the estimated total state public transportation funding within those states;
- States are generally able to report and have confidence in all data items requested; the exception being the source of funds by program;
- The absence of data definitions is contributing to data inconsistencies, particularly in how states are reporting “dedicated” and “non-dedicated” sources of funds; and
- If the report is expanded to include local funding, states would have a difficult time reporting on local funding and such a change would likely increase the reporting burden for many states.

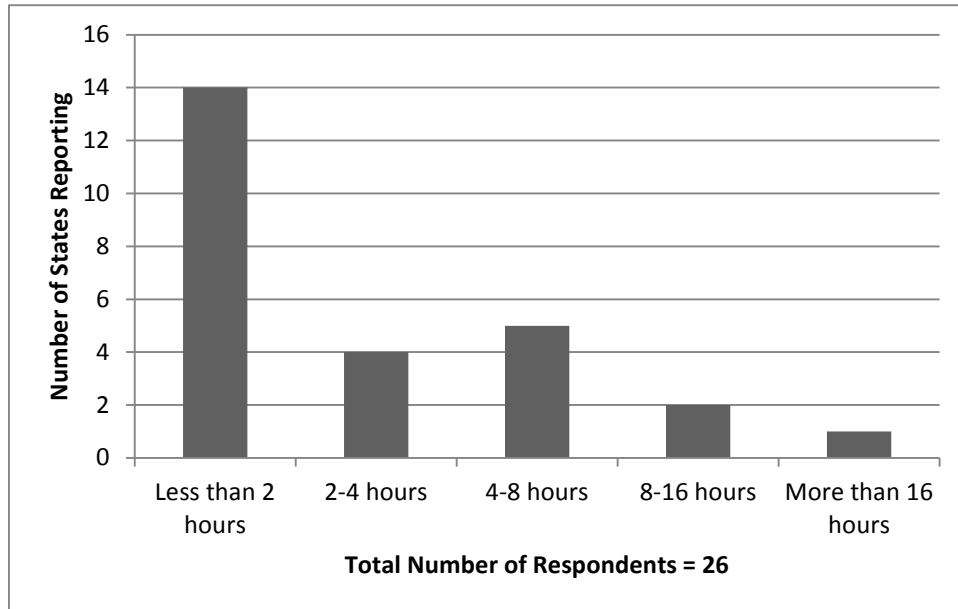
Regarding use of the report:

- A number of states use the report; many of which indicate a desire for access via both a PDF and hard copy;
- Users of the report infrequently use national summary information on eligible uses of funds (operating and capital), types of state funding (dedicated and non-dedicated) and methods of distribution (discretionary and non-discretionary), which suggests related summary tables and graphics could be removed from the *summary* portion of the report; and
- States infrequently refer to either summary or state specific information on the type of state funding for each program (dedicated, non-dedicated) and states also appear to inconsistently define these terms; the combined challenge of reporting and lack of use suggests that this element should be removed from the report.

2.2.1 Method of Reporting and Reporting Burden

Based on survey responses, most state DOTs are comfortable with the current method of data collection and the reporting burden appears to be reasonable. Most respondents are able to complete their state’s data submission in less than 2 hours (see Figure 1). Respondents are generally satisfied with the current Excel-based reporting tool as the method for reporting transit funding information, with two-thirds preferring an Excel-based format or indicating no preference in the method of reporting. One-third of respondents would prefer a web-based reporting tool.

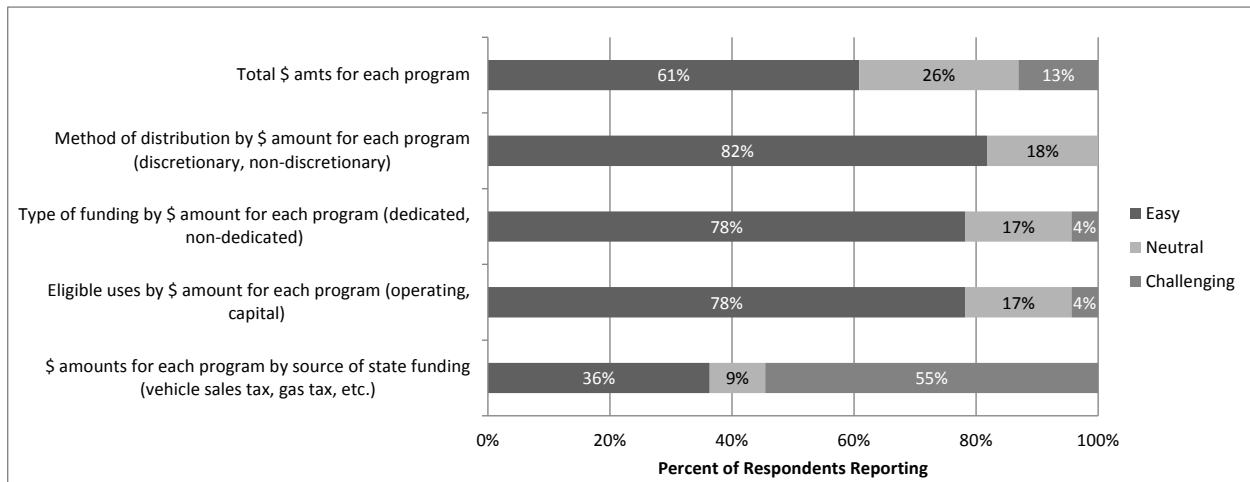
Figure 1. Time Needed to Complete Submission of States' Data



2.2.2 Data Availability and Quality

Most states report that they have confidence in funding information as requested. Based on the survey results, most states are able to readily generate information on total funding levels by program, the method of distribution for each program (discretionary, non-discretionary), the level of dedicated or non-dedicated funding by program, and the eligible uses for each program (see Figure 2). More than half of states report challenges in providing detail on the source of funding at the program level.

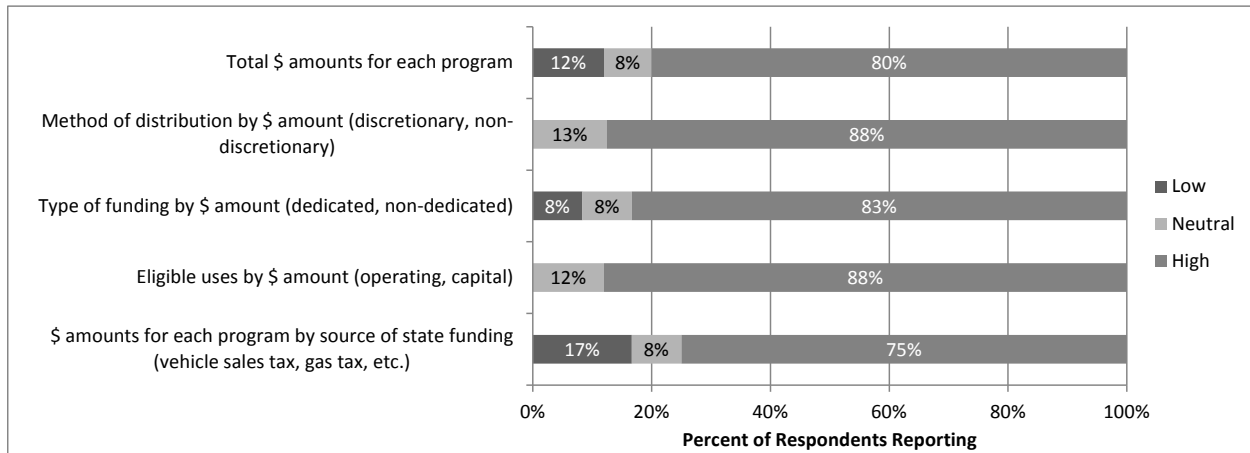
Figure 2. Level of Difficulty Generating Requested Information



States report a high level of confidence in the quality of data submitted (see Figure 3). However, a number of survey respondents note that the survey lacks clear definitions of terms. In particular, respondents note a lack of consistency in definitions for *dedicated* or *non-dedicated* funding and

discretionary or non-discretionary distribution of funds. Respondents report the lowest level of confidence in data on the source of funds by program.

Figure 3. Level of Confidence in Submitted Data



2.2.3 Potential for State DOTs to Report Local Funding

The current State Survey report does not include detail on local funding sources. The absence of this data can skew the perceptions of total funding provided to public transportation, particularly in states that encourage local sources of funds through sources such as local option sales taxes. To explore the potential for including information on local funding, the survey asked state DOTs about their ability to report local funding sources for transit agencies. Of the 25 states that responded, only seven reported that they have full information available on local funding for all transit systems in the state, 17 report that they have some information and one state reports that it has no information available on local funding. Of the 25 states that responded to this question, 10 indicate that that it would be very difficult and time-consuming to obtain the additional data. This conclusion was validated during a presentation and focus group discussion with AASHTO’s Standing Committee on Public Transportation (SCOPT) in November 2011. Expansion of the survey to state DOTs to include local funding data does not appear to be a solution to this weakness in the report given available resources to generate the report.

2.2.4 Desired Report Medium

Despite a movement toward electronic availability of reports of this type, surveyed users of the report indicate a strong interest in a hard copy format of the report (see Table 2). A small number of respondents also would like to have the source data available.

Table 2. Report Medium

Report Medium	Number of Responses	Percentage of Responses
PDF available on-line via email	13	87%
Hard copy report	10	67%
Data files with all information as reported	6	40%
Total Number of Respondents	15	

2.2.5 Use of National Summary Information

States most commonly refer to summary information on state sources of funding, comparisons of state and federal funding by state, funding levels per capita and funding trends. Users less frequently refer to summary information on eligible uses, types of state funding and methods of distribution (see Table 3).

Table 3. National Summary Data Used

Summary Data Available in Report	Number of Respondents that Use Data	Percentage
State sources of funding by state (fuel tax, sales tax, etc.) (Table 1-4)	11	85%
Comparison of state and federal funding by state (Figure 1-1, Table 1-3)	9	69%
Per capita funding levels by state (Table 1-8, Figure 1-3)	8	62%
Ranking of funding levels (total or per capita) (Tables 1-9, 1-10)	8	62%
Trends in funding for each state (Tables 1-1, 1-2, 1-8)	8	62%
Eligible uses for state transit funding (operating, capital) (Table 1-5, Figure 1-2)	5	38%
Types of state funding by state (dedicated, non-dedicated) (Table 1-6)	5	38%
Methods of funding distribution (discretionary, formula, pass through) (Table 1-7)	4	31%
Total Number of Respondents	13	

2.2.6 Use of State Specific Program Information

A number of states report that they use information on state specific funding (see Table 4). States are most commonly using information on the sources of state funds, total state funding for each program, the “major features” descriptions of programs for each state, and general information described for each state. Users of the report less frequently refer to detail on the types of funding for each program, the method of distribution and the eligible uses for each program.

Table 4. State-Level Data Used

State-Level Data Available in Report	Number of Respondents that Use Data	Percentage
Source of state funds for each program (fuel tax, sales tax, etc.)	12	92%
Total state funding for each program	10	77%
“Major features” descriptions for each state	7	54%
General information on “transit programs” as provided by each state	7	54%
Types of state funding for each program (dedicated, non-dedicated)	7	54%
Methods of funding distribution for each program (discretionary, formula, pass through)	4	31%
Eligible uses for each program (operating, capital)	4	31%
Total Number of Respondents	13	

3 RECOMMENDED APPROACH TO DATA COLLECTION

This section provides an overview of recommendations related to the *approach* to data collection as well as specific changes recommended in the *content* of data collected from each of the state DOTs. A summary of recommended changes is shown in Table 5.

Table 5. Summary of Recommended Changes in Data Collection

	<u>Data Currently Collected</u>		<u>Recommended for Collection</u>	
	Funding By Program	Funding for All Transit Programs Combined	Funding by Program	Funding for All Transit Programs Combined
Total State Funds	X	-	X	X
Source of State Funds	X	-	-	X
Eligible Use (Operating, Capital)	X	-	X	-
Type of Funding (Dedicated, Non-Dedicated)	X	-	-	-
Method of Distribution (Discretionary, Formula, Pass Through)	X	-	X	-
Non-transit related ferry funding	X	X	-	-

3.1 CONTINUE CURRENT EXCEL-BASED REPORTING APPROACH

The current approach to data collection relies effectively on email communication with respondents and the collection of data using a standardized Excel file. Respondents receive via email an individualized spreadsheet that is pre-populated with data provided in previous submissions and are asked to update the data for the targeted fiscal year. Rather than switch to a web-based data collection process, the Excel-based reporting should be continued based on feedback from data reporters. The data collection and report preparation is conducted using a minimal level of staff resources and the participation rate for the survey is consistently high. This report includes proposed revisions to the Excel file shown as in Appendix A – Recommended Excel Spreadsheets (Example).

3.2 PROVIDE WRITTEN INSTRUCTIONS THAT DEFINE MAJOR TERMS

The current data collection approach lacks a user guide or other tutorial materials to help respondents understand the meaning of various data elements requested. Each respondent must interpret the meaning of each data item, which can lead to inconsistencies in reporting across states. While many of the requested data items are clear, for a number of items, it is possible to interpret the request differently. As an example, is a local option sales tax collected by the state considered a “local” or a “state” resource? Existing documentation from the national transit database can be used as the resource to define terms. A list of suggested definitions is shown in Appendix B – Suggested Guidance to Reporters.

3.3 ENHANCE POST-SUBMISSION DATA CHECKS

The preparation of the report should include an enhanced quality check of data submitted by states. Quality checks of reported data submitted are currently limited. The variation in total dollars reported by individual states from year to year and differences in funding levels reported as compared to information in the NTD suggest inconsistencies in the quality of data. Data checks should include, at a minimum, comparisons to data reported by the same state in recent years. In addition, a comparison to the NTD may be considered though the difference in reporting approach for the NTD will only for an order of magnitude comparison. The review should evaluate submitted data based on the following:

- 1) Has the state's reported data changed substantially from the previous year's submission? If so, is the reason for this change apparent or explained elsewhere in the submission (e.g., the state eliminated transit funding)?
- 2) Does financial information reported for each program total match the state's total transit funding (this check will be possible with changes in reporting recommended)?
- 3) Does the total state funding compare reasonably to statewide totals reported in the NTD for all systems in that state? (Note: This check will only provide useful information in states where major transit systems do not cross state lines and will require significantly more staff resources to add up state funding levels for all systems within each state as reported to the NTD.)

3.4 STANDARDIZE THE "MAJOR FEATURES" REQUEST

There is not a consistent approach to the "Major Features" page for each state. The purpose of this page is to provide a helpful introduction to a state's program, and the information is collected using a word file that is edited each year. Over time, states have moved in different directions as they complete this summary and there is now no consistency across states. To improve the standardization of reporting, the project team recommends using a format that collects the same information from each state as follows:

- Total state transit funding (also enables a check against total reported in the Excel file);
- Description of state transit funding sources;
- Total number of transit systems in the state and number of systems defined as urban, small urban, rural (some are identified under more than one category);
- Total number of metropolitan planning organizations (MPOs) in the state;
- Open ended description of "any major changes in state funding within the past year;" and
- List of local funding sources used in the state (check boxes).

To simplify the data collection effort, the research team recommends including this request as a tab in the Excel file.

3.5 ALLOW STATES TO REVISE PREVIOUS DATA SUBMISSIONS

The report currently includes some detail on historical funding. However, states are not given the opportunity to review previously submitted data to correct any inaccuracies. Given that historical data is provided in the report, each state should be provided with previous years' submissions and given the opportunity to make changes to these previous submissions. The recommendation to move to a reporting

of the previous five years of funding in the State Survey report will allow states to readily check previous years' submissions for any reporting errors prior to publication.

3.6 DROP DEDICATED AND NON-DEDICATED FUNDING DATA REQUEST

Data is currently collected on dedicated and non-dedicated funding. States define these terms differently and report some difficulty in reporting this information. NTD staff also report that transit agencies often face challenges in determining whether a funding source is dedicated or non-dedicated. Whether funding is dedicated or non-dedicated is also not widely used data. Given the limited use and the difficulty states face in collecting this reliably, the recommendation is to drop dedicated and non-dedicated funding request.

3.7 DROP "PASS THROUGH" AS A CATEGORY FOR DISTRIBUTION OF FUNDS

Information is currently collected on the method used to distribute funds for each transit program. States are asked to indicate whether funds are distributed on a "formula," "discretionary," or "pass through" basis. The term "pass through" as defined in the NTD is intended to capture cases where a transit operator receives federal funds and distributes these funds to another agency. "Pass through" should not be applicable in the case of state funds. The more appropriate distinction for state funding is whether funds are distributed on a "formula" or "discretionary" basis.

3.8 COLLECT DATA ON THE SOURCE OF FUNDS FOR ALL STATE TRANSIT FUNDING INSTEAD OF BY PROGRAM

Although states report difficulty in collecting information on the source of funds by transit program, the source of funds stands as one of the most desired data items included in the State Survey report. Based on outreach to state DOTs, the expectation is that states could collect funding source information more readily if the request is made for the total of state transit funding instead of at the program level. Given that this particular data element is cited as one of the most critical components of this report, the recommendation is to continue to collect this data, but for the total of all state transit funding.

4 RECOMMENDED CHANGES TO THE REPORT ORGANIZATION

This section outlines recommended changes to the organization of the report. Changes recommended for data collection in Section 3 will have implications for the report's content. This section details other suggested changes.

4.1 EMPHASIZE REPORT'S PURPOSE AS A DATABASE

The report is the only national resource available on statewide funding for public transportation. Although limited information is available on how the report is used, it is clear that the uses are wide ranging. The report organization should focus on its value as a database by making the following relevant changes:

- Emphasize charts and graphics in Chapter 1 and limit text describing data in the report. The inclusion of descriptors requires an unnecessary step of review for consistency and it is unlikely that users refer to the text.
- Prepare a sharable data file, in addition to the final report.

4.2 PROVIDE FIVE YEARS OF DATA FOR HISTORICAL TABLES

Users of the report frequently refer to historical funding levels provided by states. The current report format includes the two most recent years of funding and then funding levels every five years back to 1990. The recommendation is to report the most recent five years of funding and to allow states to make corrections to previous year submissions. Year-to-year variations in funding are common and, in some cases, these variations may be the result of specific project expenditures in a given year rather than a general trend. A comparison of changes over a five-year period is more indicative of trends. Historical funding data beyond the previous five years can be included in data files available for distribution.

4.3 MAKE CHANGES TO TABLES AND GRAPHICS IN CHAPTER 1

The research team recommends changes to tables and graphics in Chapter 1 of the report. These changes, as outlined in

Table 6 and Table 7, are intended to simplify the report and focus on data that is reliable and useful. In total, the research team recommends the elimination of one figure and three tables, modifications to one figure and four tables, and no changes to one figure and three tables. Recommended changes to charts and tables are as follows:

Table 6. Recommendations for Figures in Chapter 1

Figure Number	Name of Figure	Recommended Change	Reason for Change
1-1	State and Federal Funding for Public Transit	No changes recommended.	
1-2	Eligible Uses for State Transit Funding	Drop graphic.	The graphic is difficult to comprehend and other recommended changes will emphasize eligibility at the program level.
1-3	Per Capita Funding by Population and Transit Operator Status	No changes recommended.	

Table 7. Recommendations for Tables in Chapter 1

Table Number	Name of Table	Recommended Change	Reason for Change
No Changes Recommended			
1-4	Major Sources for Overall Transit Funding	No changes in table format, but encourage states to report original source of revenue for Transportation Trust Funds provided.	
1-9	Reported Total Investment for 50 states and DC	No changes recommended.	
1-10	Reported per Capita Investment for 50 States and DC	No changes recommended.	
Modifications Recommended			
1-1	States with Increased Funding for Public Transit	Change to compare current year with funding as of four years prior (e.g., compare 2009 to 2005).	Single year comparisons are less indicative of trends in state funding.
1-2	State Funding of Public Transit by Select Years	Change to show last five years of funding.	Current approach is confusing with mix of single year comparisons and five-year increments.
1-3	Federal and State Funding for Public Transit by Select Years	Change to show last five years of funding.	Similar reasoning to above.
1-8	Changes in State Transit Funding Levels	Change to compare current year with funding as of four years prior (e.g., compare 2009 to 2005).	Single year comparisons are less indicative of trends in states funding.
Recommend Elimination			
1-5	Eligible Uses for State Transit Funding	Drop table.	Relevant on a program basis. Data will be available at the state program level. The change will reduce the time required to prepare the report.
1-6	Types of Transit Funding	Drop table.	States have difficulty reporting information and it is not widely used.
1-7	Method of Distribution for State Transit	Drop table.	Relevant on a program by program basis. Data will be available at the state program level. The change will reduce the time required to prepare the report.

5 CONCLUSION

The *Survey of State Funding for Public Transportation* report serves as a unique source of information on state-level public transportation funding, the source of funds, the potential use of funds, and method of funds distribution for state transit programs. Recommended changes in data collected and the organization of the report should have the benefit of streamlining its production and focusing on the most useful data elements. With these changes the report should continue to serve its role in providing crucial information on state funding levels and sources.

APPENDIX A – RECOMMENDED EXCEL SPREADSHEETS (EXAMPLE)

FY 2012 Missouri State Transit Funding: Overview

Total Transit State Funding: \$ 3,687,792

Description of state funding sources

Description of major changes in state funding within the last year:

Transit systems in the state

Total number of transit systems	
Urban systems	
Small urban systems	
Rural systems	

Note: Sum of urban, small urban, and rural may exceed the total as some systems provide service in multiple areas as defined in these categories

Number of Metropolitan Planning Organizations in the State

**"X" Indicates
Common Local
Source**

Local Transit Funding Sources	
Local sales taxes	
Local gas taxes	
Local property taxes	
Local vehicle registration fees	
Rental car fees	
City/county general fund allocations	
Other	

Note: Local funding dollars are not included in this report, but are available at an transit agency level through FTA's National Transit Database

FY 2012 Missouri State Transit Funding: State Sources

Instructions: Enter data/text in any relevant white box

Total Transit State Funding:		Funding Source	Amount	
\$	3,687,792	General sales tax	\$ -	
		Vehicle sales tax	\$ 3,687,792	
		Gas tax	\$ -	
		Veh reg/lic/title fees	\$ -	
		Interest income	\$ -	
		General Fund allocation	\$ -	
		State Transportation Fund	\$ -	(if underlying sources not available)
		Bond proceeds (financing)	\$ -	
		Other	\$ -	Explain 'Other':
		TOTAL	\$ 3,687,792	

FY 2012 Missouri State Transit Funding: Program Structure and Characteristics

Program Name:	Total Program Funds:	Amount by Eligible Use:	Amount by Distribution Method:
Transit Operating Assistance	\$ 3,687,792	Capital \$ -	Discretionary \$ -
		Operating* \$ 3,687,792	Formula-based \$ -
		Not restricted \$ -	Other \$ 3,687,792
		Other \$ -	
		TOTAL \$ 3,687,792	TOTAL \$ 3,687,792
Program Description:		Explain 'Other':	Explain 'Other':
Operating assistance for urban and rural public transit providers to partially offset operating deficits			Historical
		*Includes planning	

Program Name:	Total Program Funds:	Amount by Eligible Use:	Amount by Distribution Method:
Missouri Elderly & Handicapped Transportation Assitance Program (MEHTAP)	\$ 3,187,322	Capital \$ -	Discretionary \$ -
		Operating* \$ 3,187,322	Formula-based \$ 3,187,322
		Not restricted \$ -	Other \$ -
		Other \$ -	\$ -
		TOTAL \$ 3,187,322	TOTAL \$ 3,187,322
Program Description:		Explain 'Other':	Explain 'Other':
Offsets operating deficits of not-for-profit agencies that provide mobility trips to seniors and people with disabilities. Allocated based on a formula that takes into account the proposed number and types of trips.			
		*Includes planning	

TOTALS FOR ALL PROGRAMS (DON'T EDIT - automatically calculated)

Total Program Funds:	Amount by Eligible Use:	Amount by Distribution Method:
\$ 6,875,114	Capital \$ -	Discretionary \$ -
	Operating* \$ 6,875,114	Formula-based \$ 3,187,322
	Not restricted \$ -	Local pass-thru \$ -
	Other \$ -	Other \$ -
	TOTAL \$ 6,875,114	TOTAL \$ 3,187,322

APPENDIX B – SUGGESTED GUIDANCE TO REPORTERS

RECOMMENDED INSTRUCTIONS

The *Survey of State Funding for Public Transportation* report serves as the only comprehensive source of information on state-level funding provided to support public transportation service. The intent of this report is to provide detail on funding provided for general purpose public transportation service by the state. Given that state DOTs often administer state funds, the report relies on responses from transit staff within each of the state DOTs to provide this information. If applicable, reporters should also include in their responses those funds that are distributed directly to transit systems from state revenue sources, even if these funds are *not* administered by the state DOT. The attached spreadsheet includes data from the most recent submission. Please update this data for the current year.

STATE OVERVIEW (TAB 1)

Total state transit funding: Provide the total funding provided for general purpose public transportation from state revenue sources. This dollar amount should include funds administered by the state DOT as well as funds distributed directly to transit agencies, if applicable. State funding for state supported Medicaid related transportation should not be included in the total. This total should match the amount reported in the Excel file data submission.

Description of state funding sources: Please provide a general description of the state revenue sources for public transportations. Examples might include general fund allocations, a dedicated sales tax, or funding from a Transportation Trust Fund.

Description of major changes in state funding: Please provide a description of any major changes that will result in a notable change in total state funding from previous years (e.g., the state eliminated all general fund allocations to transit, the state legislature passed a new dedicated sales tax).

Total number of transit systems in the state: Report the total number of public transportation systems operating in the state. This number should include all systems open to the general public supported at some level with public funding. Indicate the number of systems operating as rural, small urban, or urban systems following FTA definitions.

Total number of MPOs in the state. Report the total number of MPOs designated in the state, in whole or in part.

List of local funding sources used in the state. Please indicate typical sources of local revenue used in the state to support public transportation.

TOTAL STATE FUNDING (TAB 2)

State Funding: Please provide the total state funding support for general purpose public transportation from state revenue sources. This dollar amount should include funds administered by the state DOT as well as funds distributed directly to transit agencies, if applicable. State funding for state supported Medicaid related transportation should not be included in the total. ***A source is deemed local if the decision to levy a tax for transit funding is made at the local level.*** As an example, if a locality determines that it will levy a local option sales tax, this is considered a local source even if the sales tax is administered by the state.

Source of funds: States should report the source of funds for transit funding. In cases where the funds are sourced from the statewide Transportation Fund, states should report the source based on the original source of these funds. As an example, if revenues for a state's Transportation Trust Fund are comprised of 50 percent gas tax and 50 percent vehicle registration fees, the sources of transit funding should assume this proportional distribution. While bond funding is generally considered a financing strategy, please include applied bond funding in your reporting.

PROGRAM LEVEL TRANSIT FUNDING (TAB 3)

Please provide information for each distinct state transit funding program. For each program provide the following:

Total state funding: Please provide the total funding support for the program from state revenue sources.

Eligible use of funds: Please indicate the total program funding restricted to capital uses, operating uses, or unrestricted. Operating and capital funds should be defined consistently with the National Transit Database following the Uniform System of Accounts.

Method of distribution. Please indicate the dollar amounts of the program distributed by formula or through a discretionary program. Discretionary funds are defined as funds administered with an ability for the state DOT to determine the amount of funding provided to specific agencies. Formula funds are defined as funding provided without an ability by the state DOT to determine an eligible amount based on defined criteria.

APPENDIX C – STATE DOTS PARTICIPATING IN SURVEY

Alabama
California
Colorado
District of Columbia
Florida
Georgia
Idaho
Indiana
Kansas
Kentucky
Louisiana
Massachusetts
Michigan
Minnesota
Mississippi
Missouri
Montana
Nevada
New Hampshire
New Mexico
Ohio
Oklahoma
Oregon
Pennsylvania
South Carolina
Tennessee
Texas
Vermont
Washington
West Virginia
Wisconsin
Wyoming

APPENDIX D – SURVEY TO STATE DOT REPORTERS OF FUNDING DATA

ICF International and High Street Consulting Group are managing a research effort funded by the National Highway Cooperative Research Program to evaluate the "Survey of State Funding for Public Transportation" report. The most recent report is available on AASHTO's Standing Committee on Public Transport (SCOPT) webpage.

As a part of this review, we are reaching out to those individuals within state DOTs who are responsible for reporting the data that is included in this report. It is our understanding that you responded to the most recent report for your state. We would greatly appreciate your input and ask that you fill out the attached survey. We expect that this survey will take 5-10 minutes to complete. We hope that, with your input, we can make improvements to this valuable product.

For questions, please contact Rob Padgette at High Street Consulting Group at padgette@highstreetconsulting.com.

1. For which state do you report data for the “Survey of State Funding for Public Transportation” report?

2. Please indicate your role within the state DOT (mark all that apply).

Transit Grants Administration

Budgeting and Finance

Planning

Other:

3. Please provide an estimate of the total amount of time it takes to complete your state’s submission.

Less than 2 hours

2-4 hours

4-8 hours

8-16 hours

More than 16 hours

4. Please indicate your preferred method of reporting transit funding information for your state.

Excel-based reporting tool (current approach)

Paper survey

- Web-based reporting tool
- No preference

5. Please indicate the approach used to collect all of your state’s data for your state’s submission (mark all that apply).

- All data are readily available to me
- Collect and consolidate some or all data from others WITHIN the state DOT for submission
- Collect and consolidate all or some data from others OUTSIDE of the state DOT for submission

If you indicated that you collect some funding data from organizations OUTSIDE of the state DOT, please list the organizations from which you collect additional information:

6. The “Survey of State Funding for Public Transportation” report is intended to collect information on all state-level funding provided to transit agencies, regardless as to whether the funding is administered by the state DOT. In some cases, states have indicated that it is unclear as to whether funds are identified as state or local funds (e.g., a state-administered local sales tax).

Please indicate which statement most accurately describes your state’s approach to public transportation funding and the administration of funds.

- No state funds are provided for public transportation
- All state public transportation funds are administered by or pass through the state DOT
- Some state public transportation funds are distributed directly to transit agencies without the involvement of the state DOT, but these funds are included in our report submission
- Some state public transportation funds are distributed directly to transit agencies without the involvement of the state DOT, and these funds are NOT included in our report submission

Please provide additional comments as needed:

7. For each data element reported, please indicate the level of difficulty you face in generating the requested information for each of your state’s transit programs.

	1 (easy)	2	3 (neutral)	4	5 (very challenging)	N/A
Total \$ amounts for each program	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
\$ amounts for each program by source of state funding (vehicle sales tax, gas tax, etc.)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Eligible uses by \$ amount for each program (operating, capital)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Type of funding by \$ amount for each program (Dedicated, non-dedicated)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Method of distribution by \$ amount for each program (discretionary, non-discretionary)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Please provide additional comments as needed:

8. For each data element reported, please indicate your level of confidence in the data reported.

	1 (very confident)	2	3 (neutral)	4	5 (data accuracy is difficult to verify)	N/A
Total \$ amounts for each program	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
\$ amounts for each program by source of state funding (vehicle sales tax, gas tax, etc.)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Eligible uses by \$ amount for each program (operating, capital)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Type of funding by \$ amount for each program (Dedicated, non-dedicated)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Method of distribution by \$ amount for each program (discretionary, non-discretionary)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Please provide additional comments as needed:

9. Please describe any areas in which you have had difficulty in obtaining data or have had difficulty in understanding the information requested:

10. Local funding information for transit agencies (e.g., revenue from taxes levied by municipalities, counties, or regional transportation authorities) is not currently collected for this report but proposals have been made by some to make this addition. Do you have data readily available on local funding provided for transit agencies in your state? (Please choose the statement that most accurately describes the availability of such information.)

- I have full information on local funding provided for all transit systems in the state, including both rural and urban providers
- I have some information on a local funding for some systems in the state
- I have no information on local funding for transit systems in the state

Please provide additional comments as needed:

11. Do you have any other suggestions to improve the reporting process?

12. Do you regularly use the “Survey of State Funding for Public Transportation” report?

Yes

No

13. Please indicate your use of the “Survey of State Funding for Public Transportation” report (mark all that apply).

Use directly

Refer others to the report

Do not use the report, inly report data

14. How often do you seek information from the report?

Never

Once or twice a year

Once every few months

Approximately once per month

Multiple times per month

15. Please indicate your preferred report medium (mark all that apply).

Hard copy report

PDF available on-line/via email

Data files with all information as reported for independent analysis

16. Please indicate the summary information you have used from the “Survey of State Funding for Public Transportation” report (all are contained in Chapter 1). (Mark all that apply.)

Trends in funding for each state (Tables 1-1, 1-2, 1-8)

Comparison of state and federal funding by state (Figure 1-1, Table 1-3)

State sources of funding by state (fuel tax, sales tax, etc.) (Table 1-4)

- Eligible uses for state transit funding (operating, capital) (Table 1-5, Figure 1-2)
- Types of state funding by state (dedicated, non-dedicated) (Table 1-6)
- Methods of funding distribution (how funds are distributed to recipients) (Table 1-7)
- Per capita funding levels by state (Table 1-8, Figure 1-3)
- Ranking of funding levels (total or per capita) (Tables 1-9, 1-10)

Please provide additional comments as needed:

17. Please indicate the state-level information you have used from the report (all are contained in Chapter 2 for each state). (Mark all that apply.)

- “Major features” descriptions for each state
- General information on “transit programs” as provided by each state
- Total state funding for each program
- Source of state funds for each program (fuel tax, sales tax, etc.)
- Eligible uses for each program (operating, capital)
- Types of state funding for each program (dedicated, non-dedicated)
- Methods of funding distribution for each program (how funds are distributed to recipients)

Please provide additional comments as needed:

18. Chapter 1 of this report contains a number of summary tables and graphics highlighting various levels of transit funding by state. In addition to the information currently included in the various tables and graphics, is there other summary information on transit funding that would be useful to include?

19. Chapter 2 provides detailed state-level funding by program for each state. Is there additional state-level information not currently included in the report that would be useful to include?

Thank you for participating in this survey to help us evaluate the "Survey of State Funding for Public Transportation" report. We hope that, with your input, we can make improvements to this valuable product.

For questions, please contact Rob Padgette at High Street Consulting Group at padgette@highstreetconsulting.com.

APPENDIX E – SURVEY TO OTHER RECIPIENTS OF STATE SURVEY REPORT

ICF International and High Street Consulting Group are managing a research effort funded by the National Highway Cooperative Research Program to evaluate the "Survey of State Funding for Public Transportation" report. The most recent report is available on AASHTO's Standing Committee on Public Transport (SCOPT) webpage.

As a part of this review, we are reaching out to those individuals who are potential users of the report. It is our understanding that you have received the report and may be a report user. We would greatly appreciate your input and ask that you fill out the attached survey. We expect that this survey will take 5 minutes to complete. We hope that, with your input, we can make improvements to this valuable product.

For questions, please contact Rob Padgette at High Street Consulting Group at padgette@highstreetconsulting.com.

1. Do you regularly use the “Survey of State Funding for Public Transportation” report?

Yes

No

2. How often do you seek information from the report?

Never

Once or twice a year

Once every few months

Approximately once per month

Multiple times per month

3. Please indicate your preferred report medium (mark all that apply).

Hard copy report

PDF available on-line/via email

Data files with all information as reported for independent analysis

4. Please indicate the summary information you have used from the “Survey of State Funding for Public Transportation” report (all are contained in Chapter 1). (Mark all that apply.)

- Trends in funding for each state (Tables 1-1, 1-2, 1-8)
- Comparison of state and federal funding by state (Figure 1-1, Table 1-3)
- State sources of funding by state (fuel tax, sales tax, etc.) (Table 1-4)
- Eligible uses for state transit funding (operating, capital) (Table 1-5, Figure 1-2)
- Types of state funding by state (dedicated, non-dedicated) (Table 1-6)
- Methods of funding distribution (how funds are distributed to recipients) (Table 1-7)
- Per capita funding levels by state (Table 1-8, Figure 1-3)
- Ranking of funding levels (total or per capita) (Tables 1-9, 1-10)

Please provide additional comments as needed:

5. Please indicate the state-level information you have used from the report (all are contained in Chapter 2 for each state). (Mark all that apply.)

- “Major features” descriptions for each state
- General information on “transit programs” as provided by each state
- Total state funding for each program
- Source of state funds for each program (fuel tax, sales tax, etc.)
- Eligible uses for each program (operating, capital)
- Types of state funding for each program (dedicated, non-dedicated)
- Methods of funding distribution for each program (how funds are distributed to recipients)

Please provide additional comments as needed:

6. Chapter 1 of this report contains a number of summary tables and graphics highlighting various levels of transit funding by state. In addition to the information currently included in the various tables and graphics, is there other summary information on transit funding that would be useful to include?

7. Chapter 2 provides detailed state-level funding by program for each state. Is there additional state-level information not currently included in the report that would be useful to include?

Thank you for participating in this survey to help us evaluate the "Survey of State Funding for Public Transportation" report. We hope that, with your input, we can make improvements to this valuable product.

For questions, please contact Rob Padgette at High Street Consulting Group at padgette@highstreetconsulting.com.