CHAPEL HILL TRANSIT
Town of Chapel Hill
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Chapel Hill, NC 27514-2401

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www.townofchapelhill.org/transit

CHAPEL HILL TRANSIT PUBLIC TRANSIT COMMITTEE

NOTICE OF COMMITTEE MEETING AND AGENDA

AUGUST 26, 2014 – 11:00 A.M.to 1:00 P.M.

CHAPEL HILL TRANSIT – FIRST FLOOR CONFERENCE ROOM

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10.	Adjourn	

MEETING SUMMARY OF A REGULAR MEETING OF THE PUBLIC TRANSIT COMMITTEE
1ST FLOOR TRAINING ROOM, CHAPEL HILL TRANSIT

Tuesday, June 24, 2014 at 11:00 AM

Present: Jim Ward, Chapel Hill Town Council
Ed Harrison, Chapel Hill Town Council
Damon Seils, Carrboro Alderman
Bethany Chaney, Carrboro Alderman
Cheryl Stout, UNC Public Safety
Than Austin, UNC Transportation Planner
Jeff McCracken, UNC Public Safety

Absent: Matt Czajkowski, Chapel Hill Town Council

Staff present: Flo Miller, Deputy Town Manager, Brian Litchfield, Transit Director, Rick Shreve, Administrative Analyst, Nick Pittman, Interim Operations Manager, Mila Vega, Transportation Planner, David Bonk, Transportation and Long Range Planner, Jeff Brubaker, Carrboro Transportation Planner

Guests: Michael Parker

1. The Meeting Summary of May 20, 2014 was received and approved.

   Jim Ward welcomed Bethany Chaney, Carrboro Alderman, to the Partner's Committee. He also thanked Jeff Bruebaker for his support of the committee. Jeff is leaving to take a new position in California.

2. **Employee Recognition** – No Employee Recognition this month.

3. **Consent Items**

   A. May Financial Report – Rick reviewed this report.

4. **Discussion Items**

   A. FY 2014-15 Budget Development – Brian reported that the Town Council has approved the FY 15 Town Budget. The Transit budget included financing and use of an advance on the Orange County Bus and Rail Investment Plan funds if possible for bus purchases. Discussions with the Partners regarding the FY 16 budget year will begin in September/October.

   Damien Seils noted that the Town of Carrboro also adopted their FY 15 budget which includes a 5.50% increase in contributions for transit.

   Brian also reported that the PX route grant funding will continue at 50% for the FY 15 budget year and the funding will be up to 30% for FY 16.

Fuel contracts have been entered into with James River Solutions for FY 15.

Brian announced the hiring of the Procurement Specialist who will begin work in July.

B. Long Range Financial Sustainability Plan – Brian and Rick reviewed progress to date. David Bonk asked that the $800,000-1 million FY 16 STP-DA funds for bus purchases be included. Jim Ward would like both the Chapel Hill Town Council and the Carrboro Aldermen to be informed on the plan and Cheryl would like UNC officials included as well.

Brian noted that the FTA has a new grant program for replacement or rehab of buses and deadline for applications is August 4th. If possible, a regional application will be submitted, otherwise CHT will make our own application for the funds.

C. North South Corridor – Purpose & Need Statement – Mila reviewed the Purpose and Need Statement and asked for Partner approval/comments. It was noted that the Central West Plan and the 202 Plan also need to be included as well as other future development plans. The Partners approved the Purpose and Need Statement. Mila also reviewed the Modes and Alignments that was included in the packet.

5. **Information Items**

A. May Performance Report – Provided for the Partners information.

6. **Departmental Monthly Report**

A. Operations - Provided for the Partners

B. Director - Brian noted the Assistant Director-Operations Assessment Center will be held this week. Also, the recruitment for the Maintenance Manager has begun.

7. **Future Meeting Items**

8. **Partner Items**

9. **Next meeting –** August 26, 2014

10. Adjourn

The Partners set a next meeting date for August 26, 2014

CONSENT ITEM August 26, 2014

3A. July Financial Report

Staff Resource: Rick Shreve, Budget Manager

July 2014

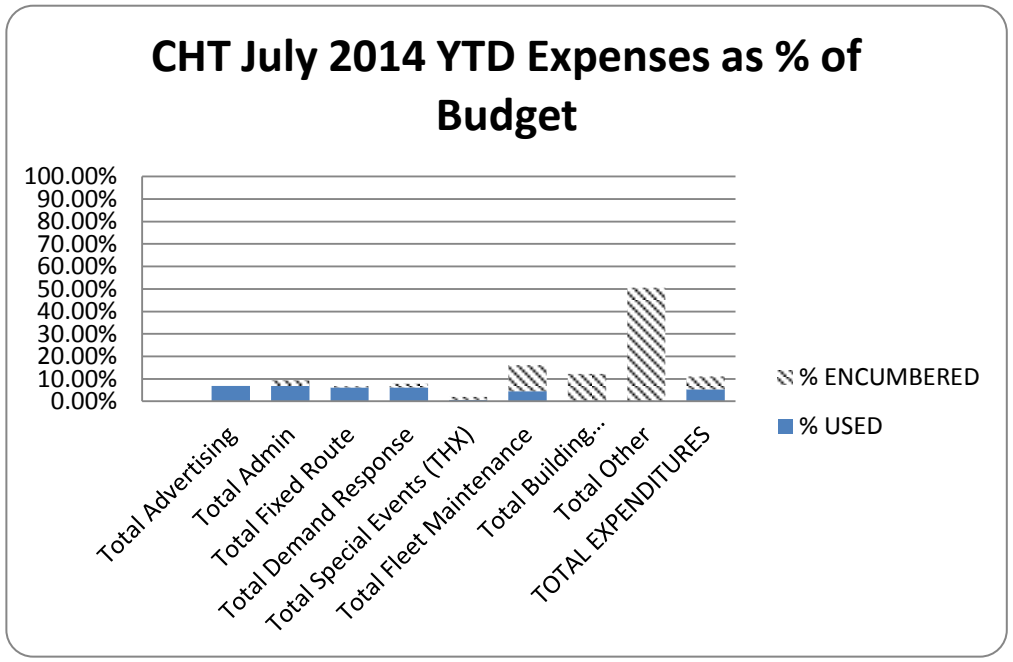
- Expenses for the month of July were $1,137,281. Along with the encumbrances, which are heavily weighted towards the beginning of the fiscal year, approximately 10.95% of our budget has been expended or reserved for designated purchase (e.g. purchase orders created for vehicle maintenance inventory supplies encumber those funds, and show them as unavailable for other uses).
- One significant caveat to note is that these data are subject to some changes, pending the Town of Chapel Hill's audit process for FY13-14. This process allows for identifying invoices that have been charged to the previous year that more accurately fall in the current fiscal year, as well as current year charges that will revert to the previous year.
- We will provide an update on the FY13-14 audited figures once we have final numbers; this will likely be available for the November Partners' meeting.

Highlights

- The fiscal year has just gotten underway, and with this July data, it is far too early to ascertain any trend data. This aggregation of expenses and encumbrances is consistent with years past, and is perfectly in line with what we would expect at this point in the year.
- The attached data exhibits the financial information by division within CHT, and should be a useful tool in monitoring our patterns as the year progresses, and is a high-level representation of the data used by our division heads.
    - It is worth noting that the "Special Events" line is mostly comprised of Tar Heel Express expenses, and the line labeled "Other" is comprised primarily of special grant-funded expense lines that are not permanent fixtures in the division budgets.

Transit 640 Fund Budget to Actual at end of July 2014

	ORIGINAL BUDGET	REVISED BUDGET	ACTUAL MONTH EXPENSES	ACTUAL YTD EXPENSES	CURRENT ENCUMBRANCES	BALANCE AVAILABLE	% USED OR ENCUMBERED July = 8.33%
Total Advertising	$ 91,261	$ 91,261	$ 6,196	$ 6,196	$ -	$ 85,065	6.79%
Total Admin	1,367,848	1,367,848	92,386	92,386	35,115	1,240,347	9.32%
Total Fixed Route	11,613,961	11,636,201	722,988	722,988	55,340	10,857,873	6.69%
Total Demand Response	1,912,354	1,923,581	118,718	118,718	32,780	1,772,084	7.88%
Total Special Events (THX)	312,302	312,302	1,943	1,943	4,245	306,114	1.98%
Total Fleet Maintenance	4,102,377	4,213,673	190,683	190,683	484,185	3,538,805	16.02%
Total Building Maintenance	671,360	703,425	1,664	1,664	84,427	617,334	12.24%
Total Other	439,350	972,503	2,703	2,703	489,453	480,347	50.61%
TOTAL EXPENDITURES	**$ 20,510,813**	**$ 21,220,794**	**$ 1,137,281**	**$ 1,137,281**	**$ 1,185,545**	**$ 18,897,968**	10.95%



INFORMATION ITEM	August 26, 2014
5A. Estes Park Bus Service Update	

Staff Resource: Brian Litchfield, Director

Background

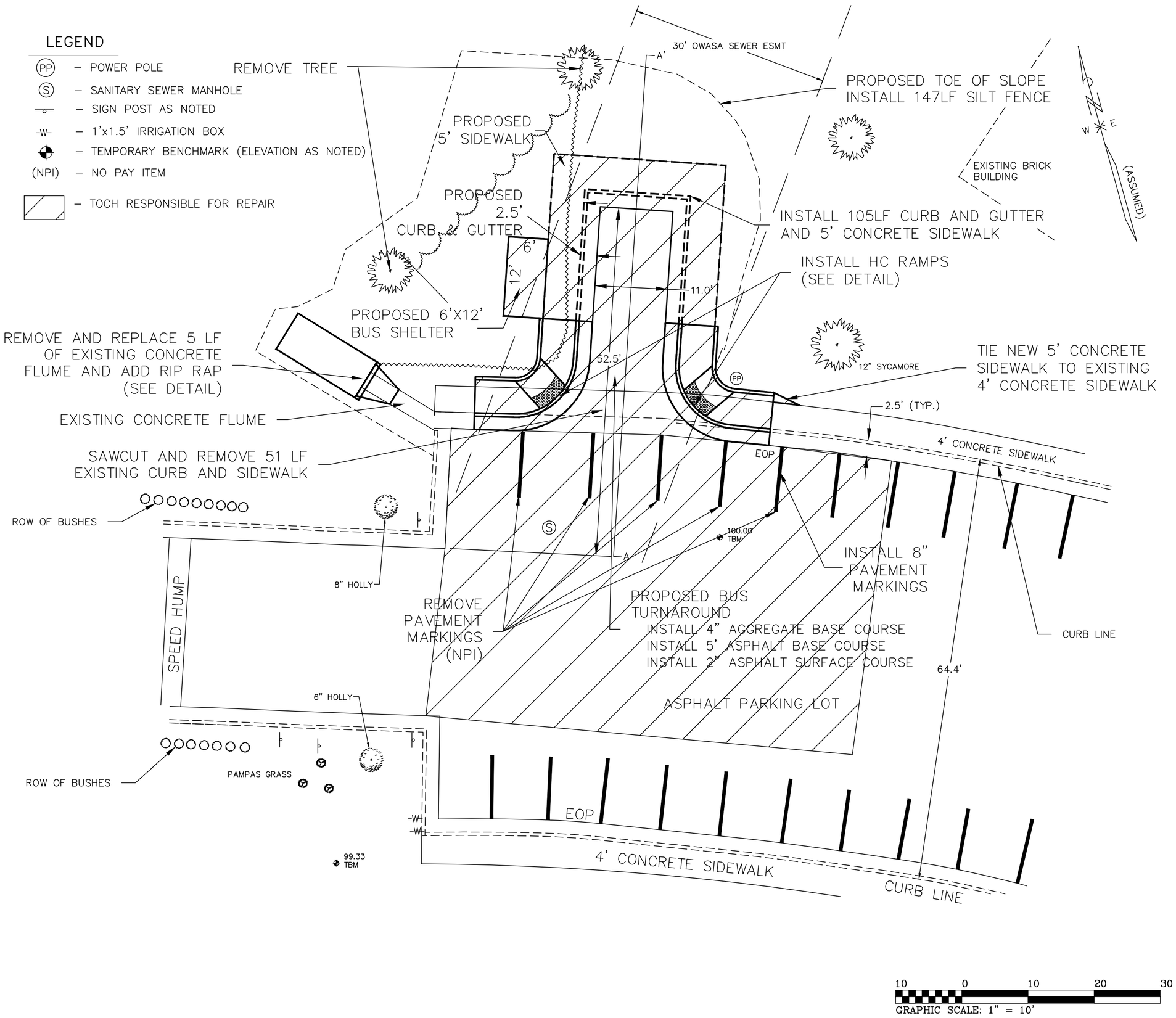
- On Thursday, August 8, 2013, the N and Saturday JN routes were detoured from Estes Park Apartments to allow the complex to make repairs to their parking lot/driveway caused by flooding and CHT vehicles. The routes continue to be on detour, requiring customers who would normally utilize the Estes Park stop to walk to/from Village Drive to access the N and Saturday JN.
- Over the last 12 months staff has been working with Town Engineering, Town of Carrboro Engineering and Planning staff and the owner of Estes Park to develop a bus turn around area within the complex.
    - A final draft of the bus turnaround has been submitted to the Town of Carrboro for review (please see attachment).
    - Town Engineering has received estimates from two contractors for the work and will ask the contractors to provide final quotes once the plan is approved by the Town of Carrboro. The estimated cost of this work is $40,000.
- Staff, working with the Town Attorney, has developed an agreement between the Town of Chapel Hill and the owner of Estes Park Management.
    - The agreement provides Chapel Hill Transit access to Estes Park property for the provision of transit service for up to 10 years. Chapel Hill Transit will be responsible for maintaining the bus turnaround area and the associated shelter.
    - The agreement also provides a reimbursement to the owner of Estes Park in the amount of $14,770 for repairs to damaged asphalt in the area near the site of the former bus stop on Estes Park property.

Next Steps

- Receive final quotes upon approval from Town of Carrboro.
- Develop schedule for construction in coordination with Estes Park and selected contractor.
- Develop communications updating customers.
- Finalize funding to cover the full cost. The initial engineering estimates were around $20,000, so we will likely need to delay other expenditures to fund the remaining costs.

Attachment

- Estes Park bus stop and surrounding area.



Town of Chapel Hill

ENGINEERING AND DESIGN SERVICES

PRELIMINARY PLAT

NOT FOR RECORDING, SALES OR CONVEYANCE.

No.	Revision/Issue	Date

TOWN OF CHAPEL HILL

PUBLIC WORKS DEPARTMENT
ENGINEERING AND DESIGN SERVICES DIVISION

405 MARTIN LUTHER KING JR BLVD
CHAPEL HILL, NC 27514

Project Name and Address

Parking Lot Improvements
Portion of Estes Park
Apartments Parking Lot

306 Estes Dr Ext
Chapel Hill, NC 27510

Project: EstesParkApartments.dwg

Date: 10/29/13

Scale: 1" = 10'

Sheet: 1/2

INFORMATION ITEM	August 26, 2014
5B. North South Corridor Study Update	

Staff Resource: Mila Vega, Service Planner

Background

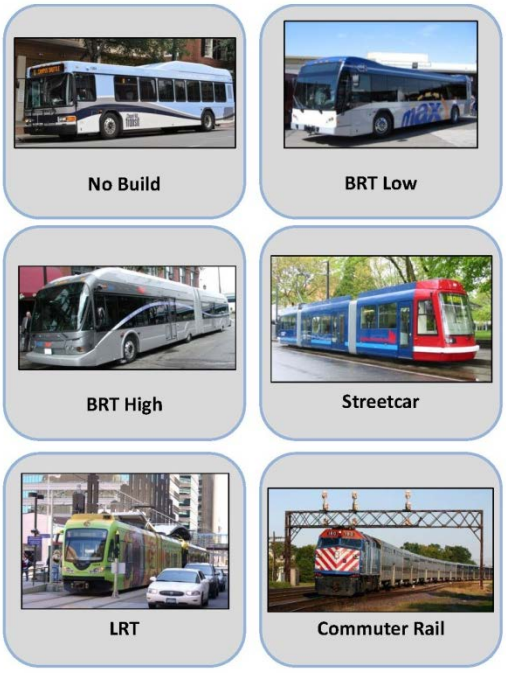
The North-South Corridor Study Purpose and Need Statement was finalized by the Project Management Team and was approved by the CHT Partners on June 24, 2014. Following an alternatives development workshop that was held with members of the Technical Committee on May 8, 2014, the consulting team worked with CHT to develop a series of conceptual alternatives. The consulting team subjected these conceptual alternatives to a qualitative Tier 1 Analysis and shared a draft of the analysis with the Technical Committee on July 2, 2014, and an overview of the analysis methodology with the Policy Committee on July 9, 2014. The revised Tier 1 report was provided to the Study Technical Committee on July 14, 2014. Refinement of the Tier 1 Analysis is ongoing.

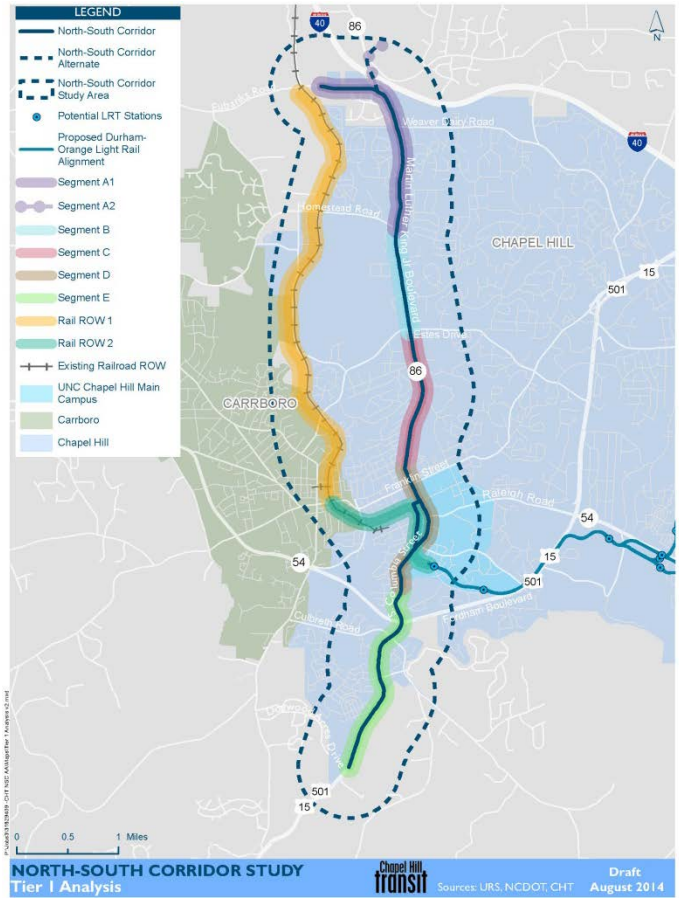
The Tier 1 Analysis is the first step of the North-South Corridor Study's three-step alternative development and evaluation process. This two-part analysis applied a series of qualitative evaluation criteria against the modes and alignments under consideration to assess how well each meets the project Purpose and Need and to gauge overall implementation viability. Each mode and alternative was ranked as "pass" or "not pass" for each evaluation criterion, and then given an overall assessment of "pass" or "defer." Those modes and alignments given an overall assessment of "pass" will be subject to detailed definition and evaluation in future project phases. Those given an overall assessment of "defer" will be set aside from the North-South Corridor Study for possible consideration in future projects.

The alternatives being carried forward into detailed definition and evaluation are No Build, BRT Low, and BRT High operating along MLK Jr., Boulevard/Columbia Street/US 15-501 from the Eubanks Road P&R Lot or a future P&R site northeast of I-40 through downtown Chapel Hill to Southern Village at Dogwood Acres Drive.

The modes and alignments under consideration in the Tier 1 Analysis, the evaluation criteria, and the evaluation results are shown in the figures and tables below.

Modes and Alignments under Consideration during the Tier 1 Analysis





Part 1: Mode Evaluation and Results

Transit Mode	Ridership	Consistency with Local Plans and Policies	Economic Development	Environment	Capital Costs	Community Support	**Overall Assessment**
No Build	Pass	Pass	Pass	Pass	Pass	Pass	**Pass**
BRT Low	Pass	Pass	Pass	Pass	Pass	Pass	**Pass**
BRT High	Pass	Pass	Pass	Pass	Pass	Pass	**Pass**
Streetcar	Pass	Pass	Pass	Not Pass	Not Pass	Pass	**Defer**
Light Rail	Pass	Pass	Pass	Not Pass	Not Pass	Pass	**Defer**
Commuter Rail	Pass	Not Pass	Pass	Pass	Not Pass	Not Pass	**Defer**

Part 2: Alignment Evaluation and Results

Segment	Land Use	Multi-Modal and Regional Connectivity	Environmental Impacts	Community Support	**Overall Assessment**
A1	Pass	Pass	Pass	Pass	**Pass**
A2	Pass	Pass	Pass	Pass	**Pass**
B	Pass	Pass	Pass	Pass	**Pass**
C	Pass	Pass	Pass	Pass	**Pass**
D	Pass	Pass	Pass	Pass	**Pass**
E	Pass	Pass	Pass	Pass	**Pass**
Rail ROW 1	Pass	Not Pass	Pass	Pass	**Defer**
Rail ROW 2	Not Pass	Pass	Not Pass	Pass	**Defer**

Next Steps

- Finalize Tier 1 Analysis.
- Begin detailed evaluation of alternatives (ridership, capital cost, etc.).
- Begin planning for the second round of public involvement.

INFORMATION ITEM	August 26, 2014
5C. Long Range Financial Sustainability Plan Update	

Staff Resource: Rick Shreve, Budget Manager
Brian Litchfield, Director

Overview

The consultant team is at work on a number of parallel tracks all ultimately converging towards a long range strategic and financial plan for CHT.

The foundational elements underway include:

- Organizational analysis (Partners were presented with the early work on this).
  - Developing plan to "step in" to staffing levels consistent with the size and ridership of CHT.
- Capital planning (Partners were presented with the early work on this).
  - Vehicle replacement strategy – The consultants are working on several scenarios that will ultimately inform us as we create a strategic vehicle replacement plan.

Public Outreach

The first public workshops were held in early March, at Carrboro Town Hall, and the Chapel Hill Public Library. The consultants are working on several public outreach efforts with focus groups, and interviews with stakeholders, to better inform the study.

The team expects to launch the "Build a Transit System" online tool within the next month, for broadest public involvement.

Next Steps

- Nelson \ Nygaard team will set up meetings with individual Partners over the coming weeks.
- Individual Partner meetings with inform direction of Capital Plan, to be presented by NN team at October Partner meeting.
- NN will work with Partners to prepare and present plan to elected bodies, and appropriate administrators at UNC.

INFORMATION ITEM	August 26, 2014
5D. Regional Branding Study Update	

Staff Resource: Brian Litchfield, Director

Background

- The Partners Committee received a presentation from Triangle Transit staff on Phase I of the Regional Branding Study during their September 17, 2013 meeting and agreed to participate in Phase II of the study along with four other transit systems: CAT, C-TRAN, DATA and Triangle Transit.
    - The scope of services for Phase II included - using the baseline and market research collected in Phase I of the Study, Clean Design will perform the following next tasks:
        - Brand exploration – this should include discovery phase, target audience, stakeholder interviews, and color theory
        - Provide ways in which we can enhance and create value for the image of transit and the new brand
        - Provide suggested color scheme and design changes –the transit partner agencies want to maintain their basic color schemes so selection of a new regional logo will have to take this into consideration
        - Naming or umbrella brand options – this could range from one regional brand with emphasis on the local provider or emphasis on the regional brand with mention of local provider
        - Implementation costs and timeline for rolling out new brand recommendations
- The Partners Committee received an update on Phase II of the Regional Branding Study during their January 28, 2014 meeting from Triangle Transit staff and Clean Design.
- Since January Clean Design has worked with Triangle Transit and a stakeholder group team to identify and recommend a brand name, logo and bus design for the transit systems participating in the study.

Next Steps

- Partners review materials provided by Triangle Transit staff on the Regional Branding Study.
- Triangle Transit staff will attend the September Partners meeting to discuss the Regional Branding Study with the Partners and to receive feedback on the recommendation(s) from the study.

Attachment

- Memorandum from Triangle Transit Staff on Regional Branding Study. The following is a link to the presentation referenced in the memo: https://www.dropbox.com/s/hltodmrhvnenyty/Transit.Partner.PresentationFINAL%20%281%29%20%281%29.pdf

Memorandum

To: Chapel Hill Transit Partners

CC: Brian Litchfield, Than Austin

From: Damien Graham – Director of Communications and Public Affairs, Triangle Transit

Date: 8/22/2014

Re: Regional Branding

Regional Branding Study

In 2013, five of the area transit providers – Chapel Hill Transit, Triangle Transit, Capital Area Transit (CAT), Durham Area Transit Authority (DATA), and Cary Transit (C-Tran)- got together and asked the questions, "Would our customers benefit from having a more unified brand that tied our services together in a more significant way and if so, what would that look like?"

The group of transit providers agreed to pursue the matter further and after some discussion, it became clear that professional consultants would be needed to help guide us through this evaluation process. A representative from each of the transit partners would serve on a "Transit Stakeholder Committee" to help provide feedback and guidance to the consultant throughout the process. We collectively agreed that we should divide the process into two phases. Phase I would be to collect survey information to gauge where we are with our various brands and is there interest/ benefit to having a more regional brand. Additionally, we wanted the consultant to collect case studies from transit agencies from around the country who have tried regional branding.

Depending on the information we received from Phase I, the transit partners would get together again, share the information with the various boards and then decide if we should move forward with Phase II. The focus of Phase II would be to work more closely with the consultant to work on bus and logo designs and naming convention recommendations.

NC DOT, as an interested party, joined the five transit partners and put out an RFP and agreed to hire the team of FGI Research and Clean Design to complete Phase I of the regional branding study. FGI completed a survey of 1000 people from across the Triangle. Clean Design investigated several different agencies and compiled a

list of four specific examples that seemed most analogous to our scenario. The total cost of Phase I was $74,500, with $50,000 coming from NC DOT and the remainder split between the transit partners.

Once the information was compiled, presentations were made to key staff and boards from each of the transit partner organizations for review and consideration. The transit stakeholder group reconvened and unanimously agreed to move forward to Phase II of the study. The cost of Phase II was $66,000 with $30,000 coming from NC DOT and the remainder split between the transit partners.

After several months, multiple meetings with the stakeholder team, additional outreach and feedback from our riders, Clean Design presented three naming conventions and six design concepts to the transit stakeholder group. The stakeholder group deliberated and finally selected one naming convention and one core design concept.

One of the key challenges to this exercise was to see if we could find a brand name and design that demonstrated a more unified connection between the systems but at the same time, allowed for local identify and flavor. The stakeholder group believes we have found a solution that addresses this key challenge.

Please review the accompanying powerpoint presentation for more information about the project background and its methodology, and recommendation for naming convention and bus and logo design.

INFORMATION ITEM	August 26, 2014
5E. FTA Triennial Review Update	

Staff Resource: Brian Litchfield, Director
Buck Marks, Procurement Specialist
Carmen Cole, Grants Compliance Manager

Background

- The Federal Transit Administration (FTA) will be conducting a Triennial Review of Chapel Hill Transit August 25-27, 2014. The review determines whether an FTA grantee is administering its FTA funded programs in accordance with federal transit law provisions (49 U.S.C. Chapter 53), regulations (49 CFR 601 to 665) and relevant guidance Circulars.
- The review covers 17 key areas and will also include an Enhanced Review Module (ERMs) for Chapel Hill Transit in the areas of Technical Capacity and Procurement. The Procurement ERM is a follow up to our 2012 Procurement System Review (PSR).
- Carmen Cole and Buck Marks are the lead staff on the Triennial Review and are being supported by Transit and Town staff. Preparation for the review requires countless hours and a significant amount of coordination.

Next Steps

- Staff will provide the Partners with an update on the Triennial Review during the September/October Partners Meeting.

Staff Resource: Tyffany Neal, Demand Response Operations Manager
Nick Pittman, Fixed Route Operations Manager

Labor Day Holiday Schedule

- Chapel Hill Transit services will not operate on Monday, September 1, 2014, in observance of the Labor Day holiday. Services will resume on Tuesday, September 2, 2014.
- Notices will be posted on Chapel Hill Transit vehicles and shared via press releases, website, and social media.

August Service Changes

- On Sunday, August 17, 2014, Chapel Hill Transit returned to regular service and implemented the following service changes:
  - **A Route:** Added additional morning trips (7:45 a.m. – 9:36 a.m.) along Hillsborough Street to better match the level of customer demand. These trips will operate in a loop between Hillsborough Street, Campus and Martin Luther King Jr. Boulevard and will only operate when the University is in session.
  - **D Route:** The 7:17 a.m. trip starting at Europa will instead begin at 6:40 a.m. from Smith Level at BPW Club.
  - **J Route:** Added additional morning trips between 8:00 a.m. - 9:15 a.m. to better match the level of customer demand.
  - **NS Route**: Added additional mid-day trips between 10:00 a.m. - 2:00 p.m. to better match the level of customer demand.
  - **NU Route:** Evening service will resume.
  - **RU Route**: Increased peak hour frequency to 10 minutes during the morning (7:30 a.m. – 10:00 a.m.) and afternoon (3:00 p.m. - 7:00 p.m.) to improve service at the busiest times.
  - **Saturday D Route**: Added 5:10 p.m. trip from Greenbridge (Effective August 23, 2014).
  - **Saturday FG Route**: Added 4:51 p.m. trip from Colony Woods (Effective August 23, 2014).
  - **Safe Rides:** Service will resume on Thursday, August 21, 2014 and will operate on Thursday, Friday and Saturday evenings when the University is in session.
  - **EZ Rider:** Sunday ADA service will operate from 10:38 a.m. until 11:17 p.m. (Effective August 17, 2014).

Tar Heel Express

- Tar Heel Express season will begin on August 30, 2014 with service to the football game against Liberty. As with previous years:

- Shuttles will operate from the Friday Center (3 hours before each game) and the Southern Village and Jones Ferry Road park and rides (1 ½ hours before each game) for each home football game.
- **Shuttles will also operate from the University Mall park and ride starting 3 hours prior to kickoff. Due to construction activity at University Mall, parking spaces will be very limited this season and the University Mall lot will close no later than 1 hour prior to kickoff. Shuttles will also operate from the Giles Horney Building (103 Airport Drive, Chapel Hill) starting 1 ½ hours before kickoff, as an alternative location to University Mall.**
  - Staff has been working with UNC Athletics and UNC Public Safety to share this information with the public. Information is being shared via press release, website and social media.
- The shuttles provide continuous and fully accessible service, running every 10 to 15 minutes between the park and rides and Kenan Stadium. The shuttles operate for forty-five (45) minutes following the game.
- Shuttle rides are $5 for a round-trip or $3 for a one-way trip.

<u>Fixed Route – Nick Pittman</u>

- Fixed Route has recently graduated six (6) trainees. Our next new hire training class will begin on August 26th.
- Fixed Route's On-Time Performance (OTP) for the month of June 2014 – 88% and July 2014 – 88%;
- Operations/ Safety Meetings were held on August 13, 2014. During these meetings we discussed pedestrian and bicycle awareness and also prepared staff for the return to regular service.

MONTHLY REPORT August 26, 2014

6B. Director

Staff Resource: Brian Litchfield

- The Director's Report will be provided to the Partners at the August 26, 2014 meeting.

CHAPEL HILL TRANSIT
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CHAPEL HILL TRANSIT PUBLIC TRANSIT COMMITTEE

FUTURE MEETING ITEMS

August 26, 2014

September , 2014 11:00 a.m.	
Action Items	Informational Items
Regional Branding	AA Study Update Financial Sustainability Study Update Triennial Review Update
October 21, 2014 11:00 a.m.	
Action Items	Informational Items
	FY 16 Budget Schedule AA Study Update Financial Sustainability Study Update Triennial Review Update
November 18, 2014, 2014 11:00 a.m.	
Actions Items	Informational Items
	Financial Sustainability Study Update AA Study Update Safety Update

Key Meetings/Dates

TCC Meeting – August 27, 2014 9-11AM, Committee Room, Durham City Hall

TAC Meeting – September 10, 2014 9-11AM, Committee Room, Durham City Hall

APTA Annual Meeting & Expo-October 12-15, 2014, Houston, TX

AMERICAN PUBLIC TRANSPORTATION ASSOCIATION

Transit Board Member Handbook

JULY 2014

AMERICAN
PUBLIC
TRANSPORTATION
ASSOCIATION

From Transit Board Members Committee Chair Fred Daniels

Our association's Transit Board Members (TBM) Committee invites you to become engaged with your fellow board members in advancing public transportation both locally and nationally. This handbook is one of many learning tools and other resources offered by APTA to help us become even better at our jobs as board members.

With overall ridership and public support on an upward trend, board members are leading by example with forward-thinking strategies and a continuing learning curve. The *Transit Board Member Handbook* offers discussions on board members' roles and responsibilities, professional development, ethics, selection of the chief executive, funding and financing, and many other important aspects of good governance.

The best ways to become involved are to bring your leadership skills to the national scale with APTA's TBM Committee and attend our annual seminar for board members and clerks of the board. Meet colleagues through the work of subcommittees, such as the ADA, small and mid-sized systems, or program subcommittees. Take advantage of the opportunities to run for office as a regional representative, secretary, vice chair, and chair of the TBM Committee. Start with APTA's TBM Committee and find at least one other committee at APTA to join; for example, many board members are also members of the Legislative Committee, leading our industry in this area. According to APTA's bylaws regarding our association's chair, every third year if a transit board members has not held this position, every consideration is given to elect a TBM as the chair of APTA. APTA benefits from the unique perspectives and influence that board members offer.

Your increased knowledge and national experience through APTA offers unparalleled benefits to your public transit system. Transportation governance is enhanced as together we share our insights and new ideas, learn more about emerging trends, and discuss our agencies' advances, challenges, and best practices.

Frederick L. Daniels, Jr.
Chair, American Public Transportation Association's
Transit Board Members Committee, and
Member, APTA Board of Directors
Immediate Past Chair, Metropolitan Atlanta
Rapid Transit Authority, Atlanta, GA

To Members of Public Transit Boards of Directors and Commissioners from APTA's President & CEO Michael P. Melaniphy

APTA is North America's premier association of more than 1,500 member organizations—bus, paratransit, ferry, and rail systems; planning, design, construction, and finance firms; product and service businesses; state associations; academic institutions; metropolitan planning associations; and more. More than 90 percent of those who use public transportation in the U.S. are served by APTA members.

Key to the success of public transportation systems is the leadership of their governing boards. The board of directors, commissioners, or trustees is often created in the "enabling" legislation that established the public transportation agency. Many important roles that the board fulfills are described in this *Transit Board Member Handbook.*

Board members help set policy, secure funding, and build support for the public transit system. Our industry's dynamic political and economic environments call for skilled board members who . . .

- study complex transportation needs and help define new issues
- recognize emerging trends and their impacts
- create vision and opportunity in the organization's long-term planning
- lead the agency's growth

APTA is committed to the continuing professional development of public transportation policy leaders and all APTA members. For both new and tenured transit board members, this handbook offers resources for excellence in governance.

Michael P. Melaniphy
President & CEO
American Public Transportation Association

Acknowledgements

For the guidance that produced this *Transit Board Member Handbook*, we thank those on APTA's Transit Board Members Committee handbook working group: Crystal Fortune Lyons, chair, Mort Downey, Fred Daniels, Randall Chrisman, M.P. Carter, Dr. Valarie J. McCall, Beth Vidaurri, Andre Gibson, David Stackrow, and Roberta Boomer. Thanks to APTA's Mobility Management, Sustainability, and Safety Coordinating Committees.

APTA's Vision Statement

Be the leading force in advancing public transportation.

APTA's Mission Statement

To strengthen and improve public transportation, APTA serves and leads its diverse membership through advocacy, innovation, and information sharing.

APTA's Policy on Diversity

APTA recognizes the importance of diversity for conference topics and speakers and is committed to increasing the awareness of its membership on diversity issues. APTA welcomes ideas and suggestions on how to strengthen its efforts to meet these important diversity objectives.

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APTA Resources for Transit Board Members

APTA Transit Board Members Committee

Bringing your leadership skills to the national scale

The Transit Board Members Committee welcomes all members of boards and commissions of APTA-member public transportation systems to join in the professional development activities that help them become even better in their governance role. This committee meets three times a year: in conjunction with APTA's Legislative Conference in March, Transit Board Members & Board Support Seminar in July, and Annual Meeting in September or October.

Board members are invited to participate in webinars, conference calls, committee work, and events. Most directors say they attend APTA conferences to learn. The unique opportunities sponsored by the TBM Committee are custom-made for—and led by—board members, communicating information from the board member's perspective.

Committee Goals

The TBM committee helps board members and commissioners further develop knowledge and skills to fulfill their obligations as policymakers in an efficient and effective manner. The committee also provides a forum through which board members express their views on the direction of APTA, as well as communicate about board actions, functions, and development.

How to Join

To join any APTA committee, get in touch with its staff advisor. Most board members first join the Transit Board Members Committee and then become active in others; there are more than 120 committees, subcommittees, working groups, and task forces. Information about APTA's committees is at www.apta.com under "About APTA," and "Governance."

Committee Collaboration Web Page at www.apta.com

Once logged-in as a member of APTA, TBM Committee and Board Support Subcommittee members are welcome to visit the committee collaboration page for the calendar, bylaws, and more. Members are invited to upload documents to share with others and download minutes of meetings and other information of interest.

Committee Leadership Opportunities

The TBM committee's elected officers are the chair, vice chair, secretary, and regional representatives. Officers are listed at www.apta.com; log-in as an APTA member and select "Committee Rosters."

APTA Transit Board Members Committee Chair, Vice Chair, Secretary

The chair, vice chair, and secretary have leadership duties typical for their offices and have one-year terms (renewable the second year). The committee chair conducts the meetings, guides the direction of the

committee's work, appoints the non-elected officers, fills the elected officer positions when they become available in mid-term, and creates subcommittees. The vice chair assists in the chair's duties and fills-in for the chair when he or she is unavailable. The secretary helps guide the committee's work and approves the minutes of meetings.

Transit Board Members Committee Regional Representatives

Regional representatives communicate to the committee the interests of transit board members serving agencies in their regions and help involve them in TBM and other APTA committees. When joining the TBM committee, it's always best to contact one's regional representative.

The APTA regions are:

I: . . . . Connecticut, Maine, Vermont, New Hampshire, Massachusetts, New York, Rhode Island
II:. . . . Virginia, New Jersey, Pennsylvania, Delaware, Maryland, West Virginia, Washington DC, North Carolina, South Carolina
III: . . . Tennessee, Kentucky, Georgia, Florida, Alabama, Arkansas, Mississippi, Louisiana, Puerto Rico, U.S. Virgin Islands
IV: . . . Ohio, Minnesota, Wisconsin, Illinois, Indiana, Michigan, North Dakota, South Dakota
V:. . . . Texas, Nebraska, Kansas, Oklahoma, Montana, Wyoming, Colorado, Utah, New Mexico, Iowa, Missouri
VI: . . . Oregon, Idaho, Nevada, Arizona, Washington, California, Alaska, Hawaii
VII: . . Canada

Regional representatives have two-year terms, with an option to run for a second term.

Transit Board Members Committee Executive Council

The Transit Board Members Committee's Executive Council is made up of all elected and appointed officers. It plans the committee's activities and sees that all committee work supports APTA's strategic goals. The appointed officers have included the chairs of the Legislative Subcommittee, Engagement & Membership Subcommittee, Program Subcommittee, ADA Subcommittee, Small and Mid-Sized System Subcommittee, Nominating Subcommittee, ad hoc working groups, and the editor of the *BOARDtalk* newsletter. The Board Support Subcommittee chair is an ex-officio member of the Executive Council.

- TBM Committee's Legislative Subcommittee—discusses ways that board members can leverage their influence in joining APTA's one-voice advocacy efforts. The chair and vice chair also serve as chair and vice chair of the TBM subcommittee of the APTA Legislative Committee and are members of its steering committee.

- Engagement & Membership Subcommittee—develops outreach efforts and new-member mentoring to increase committee membership and satisfaction.

- Program Subcommittee—helps create the educational content for the July seminar and webinars. The chair is a board member from the host transit system for the July seminar.

- ADA Subcommittee—fosters better understanding of transportation for people with disabilities. The book, *ADA Essentials for Transit Board Members: Fundamentals of the Americans with Disabilities Act*, was created by a partnership of this subcommittee and Easter Seals Project ACTION. The book is available for downloading at www.apta.com under "Resource Library."

- Small & Mid-Sized System Subcommittee—brings the topics of high interest for board members of small (under 100 buses) and medium-sized (100-500 buses) transit systems to the Transit Board Members Seminar and webinars.

- Nominating Subcommittee—presents a slate of transit board members as candidates for APTA's Executive Committee and Board of Directors. APTA's bylaws provide special considerations for including transit board members in the association's leadership. From the association's bylaws:

  > The (APTA) nominating committee each year shall give every consideration to board members of APTA transit members for service as chair and vice chair. If a transit board member has not served as APTA chair in the previous two years, the nominating committee shall make every effort to nominate an eligible transit board member for the position of vice chair. The nominating committee shall seek to achieve balance among transit board members and transit professionals when selecting nominees for the ten executive committee member at-large positions reserved for officers or officials of transit system members.

- Board Support Subcommittee—offers leadership development opportunities for clerks of the board . . . individuals who work in support of transit board members. This subcommittee develops the educational content for its portion of the Transit Board Members and Board Support Seminar offered each July, offers webinars, and publishes the *LINK* newsletter. To be part of this subcommittee, one must be in a position of supporting a transit agency board for an APTA-member agency.

The TBM committee's ad hoc working groups have included those developing the *Transit Board Member Handbook* and strengthening the roles of regional representatives.

The *BOARDtalk* newsletter represents an opportunity to contribute articles and information to share with fellow board members. It is emailed twice a year to members of the TBM committee and Board Support Subcommittee, as well as transit agency CEOs.

Supporting APTA's Strategic Goals & TransitVision 2050

Everything the Transit Board Members Committee does supports APTA's strategic goals—part of the 2010-2014 Strategic Plan available at www.apta.com under "About APTA" and "Governance." The goals are:

Economic Sustainability — Support members in the development of an economically sustainable financial structure for the industry that accommodates existing and future demands for growth.

Environmental Sustainability — Establish services for APTA members that help environmental sustainability become integral to how the public transportation industry functions and what it provides to meet the needs of public transportation customers.

Safe and Reliable Mobility Systems — Support members in developing safe, efficient, and attractive systems and services that meet the current and future needs of riders and engender a high level of customer confidence.

A Quality Workforce — Help members attract, develop, and retain a diverse workforce able to deliver high-quality performance that effectively and efficiently responds to the evolving needs of public transportation customers.

Public Transportation: Essential Value to All — Ensure that a critical mass of key stakeholders understands how public transportation is essential to the social, environmental, and economic quality of life and communicates that value.

APTA's long-term vision for an efficient, multimodal transportation system as the key to sustained economic vitality and global competitiveness is in the report, *TransitVision 2050*, at: http://www.apta.com/gap/transitvision/Pages/default.aspx.

Opportunities are plentiful for board members to become involved in the TBM committee and other APTA committees. The Transit Board Members Committee's work helps its leaders in ably guiding the American Public Transportation Association and its 1,500 member organizations. The committee invites all board members of APTA-member transit systems to become engaged. We are all better for sharing our strengths.

Key Opportunities, Services, and Products

Resources for transit board members

Dedicated to being the leading force in advancing public transportation, APTA focuses on advocacy, innovation, and information sharing. For transit board members and the agencies they govern, invaluable resources and unique professional development opportunities are available. Most information is online at www.apta.com, and offered only to APTA members. For access, log-in as a member with your email address and a password of your choice.

Advocacy

APTA offers critical legislative and regulatory policy development opportunities as part of its Legislative Committee. All board members are encouraged to join. Regularly emailed to Legislative Committee members is information such as "Legislative Alerts" and positioning on legislative issues and Notice of Public Rule Makings (NPRMs). APTA can help board members make contacts with federal agencies, national organizations, and elected officials. Look on the home page at www.apta.com for the MAP-21 Resource Center, and also select "Government Affairs & Policy" for information on advocacy, federal regulations, legislative issues, updates, and testimony.

Professional Development

The Transit Board Members and Board Support Seminar is an industry forum offered in July each year. To attend, one must be either a board member/commissioner or in a board support staff role at

an APTA-member public transportation agency. Topics focus on leadership and governance. More information follows in the section, "APTA Conferences."

Webinar series for board members and support staff are available under "Resource Library"—select "Professional Development" and "Webcasts, Webinars and Online Training." The PowerPoint® presentations and audio MP3 files are available only for APTA members; so you'll need to log-in as a member on the home page. Look for "Transit Board Members Webinar Series," "Business Member Webinars," and "Board Support Staff Leadership Development."

Leadership Opportunities & Networking

Leadership positions on APTA's Board of Directors, Executive Committee, and the majority of committees are available for transit board members. APTA encourages board members to begin with its Transit Board Members Committee and join at least one other committee. There are also many positions on review panels, advisory panels, and study missions that APTA can help board members to secure within APTA and with other organizations such as the Transportation Research Board, federal partners, or Eno Transportation Foundation.

Inside Information

In addition to the *BOARDtalk* and *LINK* newsletters (described earlier in this chapter), APTA emails its biweekly newspaper, *Passenger Transport,* to all members. One print subscription is included with each membership. Additional print subscriptions are offered for purchase; several public transit agencies subscribe for each of their board members. Emailed on alternate weeks, *Passenger Transport Express* features breaking news and congressional updates.

Order or download APTA publications online under "Resource Library." Browse options such as "Bookstore," "Policy Development and Research," and "Reports and Publications." You'll find publications such as: *ADA Essentials for Transit Board Members; Assessment of the General Manager, Building the Board-General Manager Leadership Team, Economic Recovery, Promoting Growth; Procurement Handbook for Board Members, Transit Board Member Handbook.*

Check out "Hot Topics" and "Buyers Guide" under "Resource Library" at www.apta.com.

APTA Awards Programs

The annual APTA Awards include the Outstanding Transit Board Member of the Year and Public Transportation Systems Achievement Awards. Of special interest are the AdWheel Awards and Safety & Security Excellence Awards.

APTA Conferences

Learning and networking

As an association, APTA offers advantages such as advocacy, professional development, and networking. APTA offers members opportunities to participate and lead at conferences, seminars, and workshops. On APTA's website home page, select "Meetings and Conferences." Board members consider the Transit Board Members & Board Support Seminar the most important for them.

Transit Board Members & Board Support Seminar

Offered exclusively for board members and board support staff of public transportation systems, this seminar expands your knowledge of best practices in governance. This unique professional forum brings together policymakers and staff to learn more about leadership and public transportation. Sharing your experiences will help further develop everyone's skills. You are invited to speak at and attend the engaging educational sessions developed from the board's perspective. Registration is open at www.apta.com in mid-May each year.

All APTA Meetings

APTA conferences and meetings are information sources to improve the knowledge and skill sets of public transportation professionals at all levels. The Annual Meeting is the major policy and management conference and there are two major technical conferences: the Bus & Paratransit Conference and Rail Conference. The conferences and workshops are generally offered on this timetable:

January

Business Member Board of Governors Annual Business Meeting—This meeting covers issues related to doing business in the public transportation industry such as business development, procurement, workforce development, government affairs, and regulatory issues.

February

Transit CEOs Seminar—This executive leadership forum on emerging trends and best practices focuses on public transportation policy, new business models, security, labor relations, funding, finance, and more. This seminar is open only to chief executives of public transportation systems and their deputies.

Legal Affairs Seminar—This seminar provides up-to-date information on regulatory/legislative developments, industry-related litigation, and other legal issues affecting the transit industry. Registrants are attorneys representing APTA members.

Marketing & Communications Workshop—This workshop focuses on all aspects of public transportation marketing and communications, including media relations, customer service, ridership initiatives, and best practices.

March

Legislative Conference—This conference educates members on federal legislation and policy initiatives; provides opportunities to shape industry positions and Federal policy; provides direction on the industry's legislative strategy and advocacy efforts with the U.S. Congress and administration; offers sessions with key members of Congress and staff, administration officials, and Washington opinion-makers.

Revenue Management Summit—The program features innovations and updates in the areas of policy, fare media, transit benefits, open payments, system procurement and implementation, theft and fraud, revenue management, technology, and equipment.

Public Transportation and Universities Conference—Offered every other year for public and university transportation providers.

May

International Bus Roadeo—This learning and competitive opportunity for operators and maintenance teams is more than a competition of driving skills and maintenance disciplines; it is a training and networking opportunity with training sessions for operators, maintenance teams, and supervisors as part of the Bus & Paratransit Conference.

Bus & Paratransit Conference—This technical conference focuses on technology, planning, operations, clean fuels, maintenance, accessibility, bus rapid transit (BRT), safety and security, procurement, workforce development, mobility management, capital programs, and more. Special events include a bus display and a showcase of the latest products and services.

ITS International Best Practices Workshop—For ITS professionals, this workshop features the state-of-the-art and connected vehicle developments that might be pertinent for transit.

June

Rail Conference—This conference features workshops and technical sessions that cover issues of widespread interest in all modes of rail service: urban, commuter, high-speed, and intercity. Topics are operations, technology, safety, security, planning, finance, and capital projects. A product and services showcase displays advances in railroad and rail transit markets.

International Rail Rodeo—Operators and maintainers showcase their skill in this celebration of front-line employees.

Risk Management Seminar—Includes sessions on a return to duty program, a review of the insurance market, workforce development, ADA and legal updates, and preparedness for risk managers, claims/safety/security officers, and suppliers of products and services.

Transit Initiatives and Communities Conference—The Center for Transportation Excellence conducts this biennial conference to discuss the latest information on transportation ballot measures. Conference sessions offer insights into recent elections and key trends shaping campaigns.

July/August

Transit Board Members & Board Support Seminar—This professional development event focuses on public transportation board members' policy and governance roles as well as the support functions for clerks of the board.

Sustainability & Public Transportation Workshop—This event presents environmental/energy efficient, economically sound, and socially responsible practices to advance public transportation's role in sustainability.

Multimodal Operations Planning Workshop—This workshop for personnel involved in the operation of transit systems provides the latest in scheduling, facilities planning, technological advances, designing routes, and BRT.

September/October

Annual Meeting & EXPO—The industry's premier event for policymakers, executives, and managers highlights current issues and leading-edge solutions, thought leaders, and transit experts. Every three years, APTA offers an EXPO—one of the world's largest public transportation trade shows. In 2014, the Trans*IT*ech Conference is offered in conjunction with the Annual Meeting & EXPO. Tracks of study are also offered on the EXPO floor or nearby, in Procurement & Materials Management, Livable and Sustainable Communities, Workforce Development, and Bus Technical Maintenance & Clean Technology.

Diversity at APTA

APTA promotes and values diversity as a strength of the industry and the association. Information about the Diversity Council and the Diversity Plan is online at www.apta.com under "About APTA" and "Governance." The Diversity Plan is approved by APTA's Board of Directors.

Membership on the Diversity Council is by appointment or through holding a designated office such as on APTA's Executive Committee or as a committee chair. Meetings are open to the membership; when a committee meeting is listed in a conference program, attendance by all members is welcome.

APTA defines diversity as the inclusion of differences and similarities from all categories of members and covers such areas as disability, gender, age, ethnicity, geographic origin, and size of transit property or business member organization, all of which contribute to the fulfillment of APTA's mission. APTA is committed to promoting greater understanding of the importance of mobility and access in strengthening the overall quality of life in the diverse communities served by public transportation throughout North America.

The role of the Diversity Council is to:

- evaluate APTA activities to ensure that diversity policies are implemented throughout the association
- monitor the implementation of the Diversity Plan; evaluate and recommend changes to the Diversity Plan; and provide an annual status report to APTA's Board of Directors
- provide recommendations to the Executive Committee on diversity concerns raised within APTA or in the transit industry
- provide support and guidance to the committees represented on the Diversity Council

Diversity Plan Goals: A Summary

1. Promote diversity as a strength of the industry and implement diversity policies and programs at all levels of the organization
2. Communicate diversity as a transit industry value in APTA communications
3. Enhance opportunities for members with diverse backgrounds and capabilities to contribute to the industry and participate in APTA leadership roles and activities

4. Promote the development of transit leaders with a commitment to diversity
5. Promote and recommend diversity policies for APTA staff and programs
6. Increase business opportunities in the transit industry for minority/women-owned businesses including Disadvantaged Business Enterprises (DBE) firms

Overview of Transit Boards

The Transit Cooperative Research Program Report 85, *Public Transit Board Governance Guidebook* and other articles provide resources for board members. This chapter includes key findings from this TCRP report.

Transit Board Creation

Since passage of the Urban Mass Transportation Act of 1964 and that era's shift from private to public ownership of transit equipment and services, governing boards with citizen representation have guided the provision and growth of public transportation services. Transit boards are the legal governing bodies of public transit systems.

Commitment and Attitude of Board Members

Strong, creative board leadership is key to a transit agency's success. Transit board members in forward organizations with high quality service and solid community support tend to:

- exhibit a passionate commitment to community service, long-term innovation, and strong board leadership
- have an interest in public transit
- regard the board as an important asset to the organization
- actively lead in developing the board's governing capacity

For more details, please see the following chapters: Characteristics of Board Members and The Board's Performance: A Self-Assessment.

Board Composition: Elected or Appointed

While the composition of transit boards varies . . .

60% — The majority of boards—six in 10—are appointed by a local or state elected official (e.g., mayor or governor) or legislative body (e.g., city or county council).

17% — Nearly two in 10 boards are composed of elected officials who were elected to serve on other entities such as city or county councils and are part of the transit board because of their elective official duties.

11% — About one in 10 transit organizations do not have a board of directors.

5% — About one in 20 boards have both elected officials and appointees.

4% — Other boards are appointed by non-elected officials or joint powers authorities or are transportation advisory boards.

3% — Only three percent of transit boards are directly elected to that office. Elected boards we know of govern the Regional Transportation District (Denver, CO); AC Transit (Oakland, CA); San Francisco Bay Area Rapid Transit (Oakland, CA); and Salem-Keizer Transit (Salem, OR).

100% — Total elected and appointed boards

Board Size

The majority of transit boards have an average of nine members. Medium-sized boards from seven to 10 members are the predominate mandate in the transit system's legislation or bylaws. Larger boards will increase the number of viewpoints; smaller boards tend to amplify the role of individual members.

Board Composition: Age, Gender, Race, Disability Status, Experience

Diversity in gender, minority representation, and disability status to reflect the community is considered more now than ever in board appointments. Growing in diversity, the board members representing those who ride public transit and live in the communities served, are recognized leaders:

- About half of transit boards have an African-American member.
- About one-quarter includes an Hispanic board member.
- The majority have one or more female board members.
- Nearly three in 10 (28 percent) boards have one or more members with a disability.

Representatives with different employment backgrounds in both the private and public sector, such as planning, marketing, development, law, auditing, and finance, are increasingly being appointed. Representation from community, rider, and service organizations may be sought for the board composition that best reflects the diversity of the public transportation service area.

Service and Remuneration

Terms of Service—Many terms of appointment are three years in length.

Board Meetings—Many transit boards meet once a month; some meet every two weeks. On average, members of standing committees tend to meet once a month, at least by conference call.

While some boards always meet in their board room on the same day and time, others schedule the meetings in different locations in the service area for easier constituent access. They publicize the meeting in the local area and may have a pre-meeting dialogue about an agenda item relating to service in the area, or on other general topics of interest to residents.

Board members need to receive information in a timely manner so they may go to meetings fully prepared, having read and given thought to the materials in the agenda packet. There should be clearly understood meeting attendance requirements.

Remuneration—Most—about 85 percent—of boards are composed of volunteer, part-time directors who receive no remuneration except for expense reimbursements. Elected officials are usually salaried and their position on the board is part of their duties in elective office. For those who are paid for their transit board service—members of about 15 percent of boards—compensation is allowed per year, month, or meeting; a $50 stipend is average for a board meeting.

Please see references for this chapter: 1, 11, 12, 50

Roles & Responsibilities of Board Members

The Main Role is Policymaking

Governing is defined as having a predominating influence; ruling by right of authority; exercising a directing influence over; guiding; and/or exercising the function of government.

A governing board is a policymaking body, a type of organization within your transportation agency which is a formally constituted group of people working within a structure and process to accomplish a particular mission, that is, to govern.

While a policy is a broad rule to govern one aspect of your public transportation organization's operation, many policies tend to be more operational in nature and might never come to the attention of a governing board. Other policies, such as how contractual commitments should be made, how large a check the CEO can sign, the fare structure, or the management compensation structure, are approved by the board and may be in place for years.

Three Other Important Board Functions

In addition to policymaking, the board has three more important roles or functions:

1. System Innovation, i.e., strategic guidance to lead change
2. Oversight of the system's performance and legal and fiduciary responsibilities
3. Customer and Citizen Representation

1. System Innovation

> "No area is better suited to intensive governing board involvement than system innovation, which . . . benefits from the perspectives, experience, knowledge, and expertise of board members. The choice is not whether to lead change, but how." (Reference 15)

The board's role is to lead in deciding what the organization should be, where it is headed, and what it should become in the near term and the long run. A following chapter, Strategic Planning, describes the board's processes regarding leading change and innovation in transportation services.

2. The Board's Oversight Function

The basics such as knowing the enabling legislation and bylaws for your board as well as the laws, rules, regulations, and standards that apply to your organization are part of new board members' learning curve. Determining how well the organization is performing will involve comparing the outcomes with original goals. To do that, the board will have determined . . .

- Which documents and products the board should make judgments and decisions about
- How the board helps shape high priority products and programs
- How the work of the board and executive staff is divided to generate the products
- Reporting content and procedures

These decisions will direct the board's oversight functions.

Moving Ahead for Progress in the 21st Century (MAP-21) confers responsibility to the board for the oversight of safety and security. The board will review, be apprised of, and make a determination of . . .

- The greatest safety risks and the measures which have been or should be implemented to mitigate the risks to the greatest extent practicable, based on industry standards and practices
- Safety performance measures that validate the safety risks and the effectiveness of the risk mitigation measures, including the results of internal and external reviews and audits
- Funding to implement safety mitigation measures
- Documents and products that the board should approve include the agency's safety and asset management plans
- Judgments and decisions about funding to maintain assets in a state of good repair

3. Customer and Citizen Representation for All in the Transit District

Often, riders depend on public transit staff and the board to champion their rights and best interests. The riders who use the bus and rail services may comprise high proportions of residents, such as during commuter hours or in certain geographic areas, and smaller proportions during off peak service hours or in suburbs without access to frequent or direct service.

Board members find that they represent both riders and non-riders, and that they advocate for the support of non-riders in providing public transportation services. (Please refer to the following chapter, Advocacy.)

Often having easy access to influential community groups, board members command media attention and become advocates in promoting the benefits of quality public transportation services and facilities. They help build the customer base and broader regional support by getting the message out to key stakeholders and the public.

In so doing, they are stepping beyond the role of representing their appointing jurisdictions to create the best possible transit services for all. They are building the public image and system value for everyone; they are advancing public understanding and support for the agency, and system-wide growth.

To help board members become regional citizen advocates and still pay attention to jurisdictional needs and goals, one organization published an annual stakeholder report that identified the service enhancements, service delivery performance, financial contributions, and ridership for each jurisdiction and compared the information with the agency's total service, ridership, and revenues.

When the board takes responsibility for leading a large and complex public transportation organization, rather than representing only the views of appointing authorities, the board is taking productive action in committing to a preeminent position for the organization for the good of everyone in the transit service area.

Two More Board Functions

In addition to the above, two other important functions enable the board to perform in the best interests of the community:

1. Board development to strengthen board member knowledge and governing skills and
2. Selecting, supervising, partnering with, and evaluating the chief executive officer or CEO.

It is often said that work with the CEO is the board's most important job. Please see following chapters relating to board orientation and development and the board's relationship with the CEO.

Please see references for this chapter: 13, 14, 15, 16, 17, 50

The Role of Board Support Staff Members

The primary roles of board support staff members are to manage the affairs of the board/commission; ensure that meetings are held in accordance with public meeting laws; and ensure that the board/commission has the material it needs to make a decision. Members in this position process board members' requests, interface with the public on behalf of the board, and serve as board liaisons.

Transit organizations provide administrative support to the board and its members in various ways, depending on size. The board support staff's primary responsibilities include:

- board meeting announcements
- board meeting agenda packets
- public meeting notices and ads
- arrangements for public testimony at meetings
- coordination of planning sessions and retreats
- taking and reporting the minutes for meetings or arrangements for minute taking
- board correspondence
- orientation of new board members
- travel arrangements
- preparation of an annual budget for board members' expenses
- professional development and ongoing education for board members
- agency and board representation
- distribution of APTA and other transit-related materials
- development of relationships with board members; determination of their level of interest in transit-related committee participation
- maintenance of the board roster with information and committee assignments
- duties as parliamentarian
- maintenance of the board and committee meeting calendars

Directors/commissioners are most often in contact with board support staff members who often should be considered as the first point of contact. Because of the nature of the position, board support staff will be diplomatic and maintain confidentiality between individual board members, between board members and staff, and between the board members and the public. Because many board support staff members have been in the position for a long time, they have a good understanding of how the transit agency operates and its history. They can be an invaluable asset to the board.

Large agencies may have more than one full-time employee providing the board support function. In medium-sized agencies, and most common in the transit industry, the CEO's staff provides board support services. In smaller agencies with very few staff members, it may be the CEO who provides the board support services.

Board Orientation and Development

New board members should receive a formal orientation and ongoing education and professional development.

New Member Orientation

The best board orientation process prepares new members to begin work immediately. The CEO, the board chair, senior executives, and board support staff will contribute to the orientation. Recommended for inclusion are:

- Tour of the transit system and interviews with executive staff members
- The board's role or mission, responsibilities, performance targets, and member requirements
- Summary of transit services, programs, customer communications, and fares
- Overview of Safety Management System principles, existing safety risks as described in the agency's safety plan; plan for infrastructure improvements; and the process for updating and approving the plans
- Clear explanation of the organization's funding
- Summary of policies and procedures
- Suggestions for using the website
- Budget information package
- Copies of the current strategic, transportation, and marketing plans
- Brief history of the transit system and current facts and statistics
- The board's committee structure, purposes, and responsibilities
- The processes for different projects and areas; the points when key officers and staff tend to interact with board members; and the documents the board typically reviews and approves
- Introduction to the American Public Transportation Association, its conferences, website at www.apta.com; transit board members seminar; and encouragement to join the transit board members committee and set up a "MyAPTA" account
- Training on electronic process to access board information such as meeting packets, board adopted policies, board bylaws, etc.
- Understanding the role of the federal government in their agency

Ongoing Professional Development

When the boards are able to set a priority regarding their professional development as human resources, their commitment translates directly into quality transportation services and a well-respected organization with high community support. While transit organizations may find that their budgets focus on programs and service, investing in developing board members governing knowledge yields great long-term benefits. The board will want to ensure that a budget is allocated for this board capacity-building purpose.

Board members who are able to continue developing their knowledge and governance skills become an increasingly greater asset to the community and transit organization. Strengthening the board means helping to develop the people on the board, even though they may be highly experienced.

On some boards, a committee is dedicated to a board education program for continuing professional development. The committee's work is to ensure the systematic development of the board as a human resource. If the quality of governance is related to the well-being of the organization, then top quality services and products will be the result. When the board's development is a formal, budgeted program, the organization enjoys higher public approval and success.

Resources, opportunities, and ideas for professional board development include:

- The annual APTA Transit Board Members Seminar & Board Support Seminar in July—an excellent educational value for board members and support staff
- Other APTA conferences such as its Annual Meeting, Legislative Conference, Rail Conference, and Bus & Paratransit Conference
- Training programs and conferences offered by educational institutions and state and national organizations
- APTA's online seminars or webinars for board members—these have focused on topics such as funding and financing, environmental sustainability, overseeing the budgeting process, the board-CEO partnership, hiring the CEO, and strategic planning
- Articles and books on governance (please see the References section of this handbook)
- Private consultants' workshops and retreats on board governance and professional development topics such as team and consensus building, leadership, public speaking, media training, etc.
- Educational workshops on governance and transit-related topics developed by the CEO, executive staff, and board
- Mentoring program in which a tenured board member mentors a new member

Please see references for this chapter: 18, 19, 50

Characteristics of Effective Board Members

This chapter summarizes information from the Transit Cooperative Research Program Report 85, *Public Transit Board Governance Guidebook*.

Effective boards are integral to transit systems' successes. Research suggests that the directors who are highly effective in their role and feel a high rate of job satisfaction share the following characteristics. They tend to be board members who . . .

- Value and share the vision of the organization and its transportation services
- Commit to the organization's success
- Help secure the support of key constituents
- Maintain and develop working relationships with community and business leaders who influence transit decisions
- Focus on policy, leadership, and guidance versus administrative management
- Conduct business with high ethical standards, fully disclosing any potential conflict of interest and seeing that they, their relatives or friends *do not* receive a material interest of any kind from their association with the organization
- Advocate for public transportation and expanded services to meet overall community and regional needs
- Study public transportation's current issues and know their system's services
- Are familiar with the organization's bylaws and policies
- Attend the regular board meetings, having prepared by reviewing the materials, projects, and issues in order to be a full voting member
- Actively participate on at least one board committee
- Attend board member seminars for ongoing professional development and like the concept of lifelong learning
- Enjoy speaking in public venues about public transit
- Build and use good communication, consensus, and team skills to function with the board as a cohesive group
- Achieve goals and help others to achieve them

Please see reference for this chapter: 50

The Job of the Chair

This chapter summarizes information from *The Board Chair Handbook,* published by BoardSource, and other articles.

Does this sound like you? Would you apply?

Wanted:

A board chair with wisdom and intelligence; a decisive leader with excellent organizational skills and judgment. Must be willing to take responsibility and commit to the organization's mission, rising beyond regionalism for the broader good of the entire agency. Must be willing to mentor new board members and be supportive of the board and staff. Must be an advocate for the organization, a good listener, and a good public speaker. Extroverts with a sense of humor are encouraged to apply. Must maintain excellent, open relationships with the CEO and key community stakeholders, including the appointive governmental officials and bodies that fill board vacancies.

Focusing on the Agency's Mission

The board chair keeps the board focused on its mission, maintaining the overall view of the agency's work in relation to the region's needs and direction. While the CEO shares this charge, it is the chair's main orientation to look to the future.

The Important CEO–Board Chair Relationship

The relationship with the CEO is important for all board members, and it is the chair who leads the communications. The chair's main objective is a productive, professional working relationship that is a mutually supportive, personal growth experience. One CEO said that he and the board chair were always easily accessible to each other and had developed a strong, personal friendship that strengthened their professional relationship. Many pairs meet regularly in more informal settings, such as breakfasts or working lunches so they can address the agency's challenges. The CEO's performance review is led by the chair.

Consider the chair as the program director, with the program being the partnership with the CEO. He or she goes the extra mile to build and maintain the partnership. The chair may expect the CEO's help in achieving the chair's leadership objectives, working together to create a plan to further the chair's initiatives. The chair will naturally consult with the CEO on the best way to communicate with staff.

Working with Board Members

The chair is the chief consensus builder and communicator. He or she should help to make the board's work easier and more enjoyable.

- The chair leads the executive committee, if there is one, normally composed of the committee chairs and elected officers.
- The chair should use the latest technology for communication, such as email and Internet access, and encourage other board members to do the same.

- The chair helps to orient and educate the board members. He or she describes the history of the agency, recommended lines of communication with the CEO and staff, who is in charge of which area; and the expertise of each of the board members.
- The chair sets a high priority on board capacity building and is an active agent in helping the board become a more effective governing body. He or she promotes professional development experiences, such as attendance at educational and industry seminars.
- The chair helps to educate the board with institutional memory and on complex issues.
- He or she appoints committee and task force chairs and attends at least one of their meetings every six months. Suggesting changes to the committee structure and ensuring that each committee has a charter describing the committee's responsibility is the chair's job.
- The chair publicly recognizes the achievements of the board members and privately addresses improvements that are suggested.
- The chair makes it clear that the contributions or reticence of board members are noticed. The chair cultivates a sense of accountability and ownership among the members.
- The chair leads in setting board performance targets and monitoring board's performance through, perhaps, a self assessment process conducted every two to three years.

Facilitating Board Meetings

Together the CEO and board chair develop the meeting agendas, emphasizing the important issues. The chair conducts the board meetings' starting and ending on time. The board will need full briefings and complete materials from the CEO and senior staff; the chair should request these as needed. The chair should insist that board materials are user-friendly, clear, and concise, and that decision or action items are identified.

The standard advice is to buy a copy of *Robert's Rules of Order* so that meetings are properly conducted and decisions are made with open discussion.

At meetings, the chair's responsibilities include (1) being an effective group facilitator or team builder, ensuring constructive actions and productivity, and (2) acting at times as a conflict mediator. The leader must remain emotionally level in the midst of active, passionate discussion or testimony. He or she must help to control dominating members and bring out those who are heard less often. The responsibilities include treating all contributors equally and allowing everyone to participate freely.

External Relationships

Relationships with many external groups and individuals become more important as a board member ascends to the chairmanship. The chair may request that the CEO schedule him or her to speak in prominent community forums perhaps three or four times a year and involve him or her in key media interviews. The CEO and staff would provide a complete briefing, a PowerPoint® presentation, and rehearsal time.

Please see references for this chapter: 6, 16, 20, 48

Ethical Governance

One board member resigned from the board for health reasons and soon after received a six-figure contract for a year of full-time consulting work for the agency. Was that against the rules?

A board member's wife flew to California to speak on behalf of a product. The same month, a consultant who competes for business with the agency contributed $15,000 for the wedding of the couple's daughter. Why was that wrong?

"Transit is hysterically public," a federal administrator said to APTA's Transit Board Members Committee. He continued, "I hate to withhold funds for an agency because of the board's shenanigans during the procurement process."

Because of the close public scrutiny, public agency board members and commissioners face seemingly complex, subtler ethical issues in directing, influencing, and monitoring the agency's business. They bring their questions to the staff attorney. Some board members have their own legal counsel.

Keeping the main thing the main thing . . . as the board meets its responsibilities as custodians of the assets and leaders of the public transportation organization, members need a clear understanding of their duties to make decisions on behalf of the public agency. They represent the public's trust. They must have adequate knowledge of the transit system and the issues before them.

The board has a prominent role in the strength of the agency. A strong, ethically grounded organization is possible only with a strong, ethical board. Essential characteristics are the highest standards of moral and ethical character and personal integrity both in members' business and personal lives; a commitment to the agency's values and missions; and impeccable governance credentials. Most boards are self-policing.

Does your board have a written code of ethics and conduct? Do board members know the ethical standards for the agency? Board members and CEOs know to avoid even the appearance of impropriety.

One CEO said to a supplier, "I can either go to dinner with you or *consider proposals for business from your company. I cannot do both."*

At conferences, a board member routinely avoids the hospitality suites offered by potential suppliers. Why?

We can learn from this CEO and board member who must recommend or vote on hiring contractors. They are using proper care and professional judgment in the performance of their duties—on and off the job.

Standards of conduct for your agency may include the following.

Board members shall . . .

- Promote the well-being of the organization and act in its best interests.
- Speak positively about the organization in public. Preserve and enhance the good reputation of the agency. Leave others with a positive impression of the transit system.

- Lead by example, putting the interests of the organization ahead of one's personal interests.
- Be familiar and comply with the laws that created the system and the board, and govern open meetings and records, and all regulations.
- Exercise due diligence in carrying out their responsibilities, avoiding negligence in their duties due to omission or action.
- Act with integrity, competence, and respect in a professional and ethical manner.
- Establish sound working relationships with the other board members and senior staff, as well as staff and directors of partner agencies, such as metropolitan planning organizations.
- Respectfully consider the opinions of others during deliberations, help to integrate viewpoints, and build consensus.
- Respect the judgment and decisions of the board.
- Use your own good judgment.
- Be alert to information the agency can use to develop improved policies and strategies.
- Respect the CEO's authority and scope of work in directing the agency and staff.
- Protect the agency's information closely. Maintain confidentiality regarding the discussions and issues that the board deems confidential (e.g., discussions involving hiring a CEO).
- Pay their own way at dinners.
- Report breaches in conduct by another member rather than conceal them.
- Follow established investigation procedures for such breaches.
- Avoid conflicts of interest, or the appearance of conflicts.
- Refrain from participating in a discussion and leave the meeting, should the board request, when there is a conflict of interest—potential, existing, or apparent.
- Keep expenses reasonable and justifiable. Maintain meticulous expense records.
- When attending conferences, take notes at the educational sessions and write a report to the board chair on ideas that were generated and what was gained due to your attendance.

Board members shall not . . .

- Become involved with the operational management nor staff.
- Communicate with persons under consideration for selection by the board or CEO for contracts, acquisitions, etc. while the procurement process is in progress.
- Abuse their authority by attempting to obtain favorable treatment, remuneration, employment, or business contracts for themselves, family members, or any third party in trying for personal gain through improper means.
- Use insider's knowledge for personal gain (e.g., learning of an opportunity for profit in real estate development, natural gas company investments, etc., which may be valuable for the enrichment of oneself or another organization or person).
- Accept gifts, favors, or benefits of any kind. If received, they must be returned or immediately donated to charity. Do recognize these may be offered to secure advantage from the board member.
- Misuse agency property or resources, or let anyone else use it/them.

Committee Structure of the Board

Organizational Ideas

Educational sessions on the subject of board structure tend to be rated very highly by board members at APTA's Transit Board Members Seminars. Although transit system boards—especially at smaller systems—may operate as a committee of the whole, many boards organize committees for more specific work that could not be addressed in its complexity during regular meetings. The smaller, less formal meeting atmosphere offers more opportunities for discussion. The ideal situation is for each board member to be on one committee.

A Newer Trend: Broader Governance Models

Committees are often formed according to the organizational structure of the agency, for example, human resources, finance, planning, marketing, capital construction, legislative and public affairs, or operations committees.

Streamlined Committee Structure—In a recent governing design trend, boards have streamlined their committee structures, reducing number of committees yet keeping their focus on governance, but with a broader perspective. One board moved to three committees:

1. Planning and development
2. Internal and external relations
3. Operations and management/finance

Another system added a performance oversight committee that was broader in scope than the agency's functional divisions on its organization chart.

Governance or Executive Committee—Some boards find success with an additional executive committee that includes the board chair and the committee chairs. It is a committee on governance and the board. It takes charge of the board's governing mission and key responsibilities; establishes guidelines regarding board members' interactions with one another; ensures professional development for board members' knowledge and skills; recruits and hires the CEO; takes the leadership role in the board's self assessment; designs the board retreats; and has other board leadership functions.

Each committee should have a clear, simple, written description of its oversight role and purpose.

Process

Updating the board structure involves a review of its processes. Executive staff members normally serve as staff for the board's committees (e.g., the chief financial officer may be the staff representative on the finance committee). Other staff members join the meetings to support the board's committee work as needed. For example, the performance oversight committee at one system has team members including the CFO, director of administration, and the management information services (MIS) director. The operations executives for individual transportation modes, such as bus and light rail, are available when the board's committees examine the particular services.

The purpose and direction of the committee work needs the support of staff for agenda preparation, meeting communications, information gathering and summarizing, and other important tasks. Committees may meet monthly in person or on conference calls.

The committee chairs normally report the work results and decisions to the full board for formal adoption.

Please see references for this chapter: 19, 21, 22, 23, 24

Governing vs. Managing

This chapter summarizes information from *How to Help Your Transit Board Govern More and Manage Less*, published by APTA and BoardSource, and other articles.

Complex and dynamic, the distinction between governance and management is not absolute. The roles of the CEO and board members occasionally and naturally enter the other's domain. The area of organizational governance is the area in which the board is best positioned to add value to the transit system.

While the board's discussions and actions, particularly during the more detailed committee meetings, may appear to become management rather than governance, in most cases, both the CEO and the board are aware of their relative roles. In many instances, the board is invited to provide guidance to capitalize on members' expertise and community experience. Operational oversight or political issues are examples of areas in which the board may offer suggestions and is asked to do so.

A CEO of a large, multimodal transit system said, the board and CEO "both have a clear understanding that the board's role is strategic decision-making and policy formulation, while as the CEO, I am responsible for translating strategies and policies into action." *(Reference 16)*

The strategic planning process is a leadership job for the board. (Please see the following chapter, Strategic Planning.) The board must feel ownership in order to make a compelling case for the recommendations in the strategic plan, for example, to their appointing constituencies such as the county board of supervisors or city council.

Many agenda items for the board's decisions are related to "management more so than governance. Boards are sometimes legally required to act on managerial issues such as the acceptance of gifts, signature authorizations; and contracts and easements. Some board responsibilities, such as influencing public policy or recruiting and evaluating the general manager, unavoidably involve board members in operational activities that blur the distinctions between governance and management." In times of crisis, boards become actively involved in the response. *(Reference 4)*

Matters of long-term strategy and policy tend to require lengthy deliberations rather than managerial decisions and actions that are required for the shorter term. The shorter term decisions tend to offer more immediate rewards, compared with the results from strategic or longer-term decision-making and planning.

Micromanagement refers to paying too much attention to the details of implementation, rather than focusing on the larger, strategic picture. If it is the board chair, for example, who is micromanaging, the CEO must address and redirect the involvement. The chair and board as a whole must manage its governance affairs and move toward the strategic focus. The community must become aware of the board's role as well. Often, residents and riders try to contact the board chair or members about individual issues regarding aspects of service.

If the CEO brings to the board management issues, the opportunity has been extended to become involved. Smaller systems with few staff members often welcome board members' participation in the daily operations.

Please see references for this chapter: 4, 16, 25

Rubber Stamping or Involvement?

This chapter is a summary of key points made in Doug Eadie's *Passenger Transport* article, "Taking the Road Less Traveled."

Boards are undergoing a dynamic change in leadership style. Formerly, many boards preferred to receive completed work to approve. Now, boards are taking proactive, creative roles. The board's role has been strengthened and the organization benefits.

As an example, when frustration grew at taking a passive or reactive role for a process, the board suggested that it form a task force and the CEO began involving board members in shaping the work product. While some boards prefer to receive completed products, in this case the board members felt like non-owners who perhaps had not become acquainted with the product and thus couldn't explain it nor sell it. With the new strategy, the task force took an active role in studying the issues and elements of the work product, directing the strategies, and ordering them into priorities.

It was a strong partnership with executive staff. The director of finance served as staff advisor for the task force, coordinating every meeting and involving the task force with early, substantive policy decisions to make before the work could go forward.

The board members kept their focus on the overall goals and discussed the budget implications of different choices. They brainstormed opportunities to improve the product and their advocacy roles in promoting the facts and benefits of transit. The task force reported to the full board. As a result, the board had become involved owners and advocates—leading to a productive year that led to a successful tax election the following year.

Early and continuing involvement in major board actions, rather than rubber-stamping a finished product, builds the board's ownership, commitment, and satisfaction. Board members—main assets of the organization who bring a wealth of community involvement to the table—have the opportunity to contribute their experience and wisdom. This procedure may apply to certain work products more than others, and the board will guide the parameters for its participation.

Please see reference for this chapter: 20

The Board's Performance: A Self-Assessment Process

As Doug Eadie said, "Performance accountability is a hallmark of high-achieving organizations and individuals; they set high standards, monitor their own performance, and take concrete steps to become better at what they do." *(Reference 28)*

This chapter summarizes Transit Cooperative Research Projects 85 and 104 by Simon and AECOM, respectively, that relate to the board's accountability and assessment process. The reports may be ordered at www.tcrponline.org.

Research by Simon showed that very few boards conducted evaluations of overall board effectiveness. When boards had conducted assessments, the process was usually an informal self-assessment, such as asking whether the board achieved its goals last year. Another common method of board assessment was through elected officials or the city, county, or state government.

Yet when the AECOM report was presented during an APTA Transit Board Members Seminar, interest was extremely strong. Board members wanted to begin the process and volunteered to help facilitate the process for other transit boards.

The Simon report proffered that the board's effectiveness is measured by the ability to increase ridership while containing costs (e.g., system productivity and expansion).

Simon described characteristics of effective transit boards. Understanding their role and responsibilities as policymakers, the report said that successful boards tend to . . .

- Achieve goals
- Evaluate the board's structure and functions and their impact on system performance
- Use the skills and talents of diversity in age, gender, race, background, geographic representation, and professional roles
- Function as a cohesive group
- Stay focused and accountable, attending meetings fully prepared
- Advocate for public transit
- Educate its members
- Focus on policy rather than trying to become the manager
- Encourage open communication and information flow
- Establish good relationships with the CEO and senior staff
- Help improve performance measures including service costs per mile and hour, vehicle miles, vehicle hours per employee, and others
- Help generate ridership and farebox revenue
- Communicate with legislators and key stakeholders
- Set the transit system's strategic direction
- Become knowledgeable about the transit service as well as aspects of the communities in the service area

Simon's research findings indicated that the strongest influences on the effectiveness of transit boards were: (1) board member commitment and (2) the leadership of the CEO. Also very important were receiving timely information; the chair's leadership; the clarity of the board's role, duties, and activities; and clear management expectations.

Simon's work suggests criteria to consider for measuring board effectiveness:

1. Did the system achieve the goals in the strategic plan?
2. Do the services meet the needs of the community?
3. What is the public opinion of the board and the transit system?
4. Does the board work as a cohesive group?
5. Are the vehicles and facilities safe, clean, and well-maintained?
6. Has service quality improved?
7. Which are the common complaints and what was done about them?
8. Did revenue increase, particularly farebox revenue?
9. How did the system perform during the year?
10. Is the budget balanced?
11. Did ridership increase?
12. What is the labor-management relationship like?
13. Does the transit system have a positive reputation with the media?
14. Does the board have a positive relationship with the CEO and senior staff?

The AECOM report built upon the Simon report. It suggested that the board may choose to conduct an assessment process either annually, when there are several new board members, or when the system is facing difficulty or dissatisfaction.

The AECOM process involved choosing from three levels of complexity using criteria related to:

1. Board processes
2. Strategic planning
3. Fiduciary and legal responsibilities
4. Diversity program
5. CEO relationship
6. Public advocacy

An additional set of questions related to behavior, leadership, trust, and communications. A goal-setting process was included. When the report was nearly completed, AECOM administered the self-assessment process at an APTA Transit Board Members Seminar, with breakout groups reflecting the above subject areas.

Sample criteria for board processes included the following statements to rate from "strongly agree" to "strongly disagree":

- Board members do not become involved in specific management, personnel, or service issues except in a predetermined oversight role.
- Board members attend meetings well prepared and participate fully in all matters.
- Board members work cohesively and cooperatively and try to minimize miscommunication.

- The board creates and communicates the agency's strategic direction. This is achieved by regularly evaluating core values and strategic mission.

The assessment process needs an administrator of the board's choosing who will distribute, collect, analyze, and present the results to the board. This may be a consultant or member of the national transit community, or an advisor to the board such as its legal counsel or a member of the staff or board. Board members from other systems who have gone through the same assessment process may be volunteer administrators.

Confidentiality may be a priority for the board, yet the board may not have discretion under the state's laws. Public disclosure of the assessment results, however, may have positive results because the board is responsible to the public and this would be of interest to the public. Public understanding of the board's strengths, efforts, and work towards improvement may enhance public trust and tend to further the interests of the transit system when other projects and services need public approval. Public disclosure may be the motivator to effect constructive changes and follow through with a future self-assessment process.

The board would agree on the degree of confidentiality desired and know what is legal. Members may consider conducting the process during an executive or closed session or at a board retreat, if it is permitted by law. The process may be oral or written.

Please see references for this chapter: 1, 28, 50

The Board's Selection of the CEO

Choosing the Chief Executive Officer

One board chose a CEO to streamline the agency and create administrative excellence internally—management had been a problem. Another board was poised to develop relationships within the business community and lead a local funding measure that would spur larger development projects—an external focus.

Each board will determine where in the organization's and community's cycles its needs are. The board begins with its current assessment, looks ahead, and moves through deliberations that will determine the skills and qualities needed and prioritize them. Working through these decision-making processes about selecting a CEO may best be accomplished at a board retreat.

The board will want evidence that the CEO . . .

- is a sound financial planner and manager
- organizes internal functions
- recruits and develops qualified staff
- has strong working relationships with the board
- builds external relationships with the metropolitan planning organization or council of governments, business community, and citizen groups
- sets a priority on providing quality service and good customer service
- is experienced in labor relations
- has technical and operational expertise
- has consensus, facilitation, and team building skills
- has had success in media relations and enjoys public speaking
- is good at salesmanship

Superheros

Doug Eadie said that "supermen and superwomen who are equally top-notch in every area come at an average price of $1 million-plus annually." *(Reference 9)* He added that once the ideal qualities that the board wants have been articulated, the candidates sought must meet high standards. Maybe impossible standards. The board will be hiring a human being according to the board's written priorities.

Eadie said that there is a new breed of CEO that is known by these key leadership characteristics *(Reference 26)*:

1. A passion for organizational capacity-building
2. Abilities in the design and facilitation of key organizational processes
3. Highly developed emotional intelligence

Going Outside

The board may elect to advertise in *Passenger Transport* and other publications for candidates or select an executive recruitment firm. APTA-member firms may be found at www.apta.com.

A recent *Passenger Transport* ad for a CEO at a large transit system read:

Chief Executive Officer

Among the nation's 20 largest and most diversified public transit agencies, the (transit system) transports 250,000 people/weekday via light rail, dedicated busways, a diverse 1,000 bus fleet, and award-winning paratransit service. The (system name) employs approximately 3,000 employees and has an operating budget of $320 million.

With a regional transit visioning study nearing completion and a major capital project on the horizon, this vital economic asset has significant challenges to surmount. (Transit system) has a great reputation and a good staff, but its future depends on stable financing, a critical capital program, staff retention, succession planning, and improved union relations.

The board seeks an experienced public transit professional with a minimum of 10 years (15 preferred) in public transit senior level management in comparably complex settings, leadership skills and political instincts, who can represent the (transit system) effectively while maintaining its reputation for sound management, independence, balance, and integrity. Salary range: $175,000-$200,000 DOQ.

A small system placed this ad:

General Manager

A thriving transportation district is looking for a GM. Professionals with a bachelor's degree and management experience, preferably in the public administration and/or public transportation fields are encouraged to apply. This position offers challenge, responsibility, and competitive pay and benefits with the opportunity to live in a beautiful area with a low cost of living. $40,000 - $70,000 DOE.

Another advertisement read:

General Manager

The (transit authority name), a progressive and innovative transit system that is developing a new Strategic Plan and expanding into a countywide regional Authority, is looking for an individual to fill the position of General Manager. The GM is the senior management position responsible for every aspect of the authority's operation, including the planning, development and implementation of its mission, goals and policies. This position requires business knowledge, leadership ability, and a technical understanding of public transit programs and services.

Primary duties are to:

- Provide oversight, direction, and coordination to authority staff in the provision of cost effective, efficient, and reliable public transit services within available financial resources, controlling governmental regulation, and board policies.
- Develop and maintain effective working relationships with the authority's constituencies, including but not limited to the public, employers, media, governmental agencies, elected officials, and the Board of Trustees to promote financial and public support, as well as understanding and cooperation for existing and enhanced public transit services.
- Provide input and feedback to the board on the development of policies and external factors which have a direct impact on the achievement of specific goals and objectives

This position requires a Bachelor's degree with a major in Business, Transportation, or Public Administration and five years of job related managerial or comparable administrative experience preferably in a public transit agency. Applicants may substitute one year of experience if individual has a Masters degree in a related field as outlined above. Preference will be given to individuals with public transit experience.

> The authority offers an excellent benefit package including a retirement plan. The salary for this position is negotiable. The successful candidate must have the ability to pass a pre-employment physical and drug screen, if selected. If interested, please send cover letter, resume and salary requirements.

The board will review the responses and short-list the candidates according to the priorities, performance standards, and qualities that were determined at the beginning of the selection process.

The board will check references and work history. Members may contact others in the industry who were not on the list of references as well, through the board's national contacts developed at APTA board members seminars, annual meetings, or legislative, rail, and bus & paratransit conferences.

Please see reference for this chapter: 26

The CEO's Employment Contract

The employment agreement is a written document focusing on the expectations of the board and the CEO. Benefits of the written agreement include stability in the relationship and minimization of conflict.

Performance goals, a multi-year term, compensation, duties, performance evaluation procedures and timing, retirement and other benefits, and closure arrangements will be part of the contract. To agree on the terms and goals, the CEO, the board, and its legal counsel will naturally be part of the discussions and negotiations.

In one case, for example, the board asked what the standard severance package is in the transit industry for early contract termination by the board. It was six-month's salary. The board offered the new CEO a nine-month severance if it decided to terminate the agreement earlier than term. The new CEO said, "No, I'll take six; that is standard. We don't want to do extra things that would attract public attention." The board learned to trust the CEO's judgment even more.

Performance Targets

The board and CEO will use the mutual goals set for the employment contract during the CEO's annual performance evaluation (please see the next chapter, Evaluation Process for the CEO). Some boards prefer detail with performance measures and expected outcomes that answer, "What is the result wanted if the CEO accomplishes this task?" Other boards prefer the flexibility of setting general goals. Doug Eadie maintained that two sets of performance targets should be used, relating to: (1) transportation system performance and (2) leadership priorities and time allocation.

He said that the board should identify the CEO's leadership challenges and performance targets in the following five areas and should ask the CEO what type of support from the board will be needed to achieve the targets *(References 24 and 27)*:

1. The board-CEO relationship and board development
2. Strategic planning and long-term system growth
3. Financial and managerial leadership
4. External relationships
5. The CEO's personal/professional development

APTA's booklet, *Employment Agreement Guidelines for Public Transit System Management,* can be ordered at www.apta.com.

Please see references for this chapter: 2, 24, 27

The Board's Relationship with the CEO

This chapter highlights key points in Doug Eadie's book, *Building the Board-General Manager Leadership Team: A Practical Guidebook for Leading in Challenging Times,* published by APTA.

Attitude of Assets—A Plus

The board members and CEO are visible assets of the agency. When the board, CEO, and senior staff dedicate their skills, time, and energy to working together, their productive relationships harmonize. When they apply their skills toward positive group dynamics, consensus building, and conflict resolution, the relationships synchronize . . . to the benefit of the board, the agency, and everyone in the service area.

Relationship Building—Overall Considerations for the Board

Experience suggests that the board as a whole, rather than the chair alone, gives direction to the CEO, yet the board chair tends to meet regularly and talk often with the CEO. If trust is the basis of all business and personal relationships, their interests, issues, and projects are discussed in confidence.

The full board expresses its appreciation when the CEO facilitates the involvement and performance excellence of the agency's governing body.

If the board makes its CEO relationship a program for which it plans and sets milestones and goals, this will be a successful, high-priority practice. This is naturally a priority for the board chair as well as the full board.

The Partnership

The board and CEO recognize and separate their leadership roles; they mesh yet are not duplicative. The relationship is consultative; neither works alone. A strong and lasting partnership is desired.

If the best advice is to work with people you admire and can learn from and who accept you, working partners will be peers who support the others publicly, even amidst controversy. There will be recognition and trust that the CEO and board members are trying to do good in the community.

The CEO should ensure that board members are involved; that the committee structure and task forces are excellent, and there are inclusive leadership opportunities.

In *Building the Board-General Manager Leadership Team: A Practical Guidebook for Leading in Challenging Times*, Doug Eadie wrote:

> First and foremost, the board must make a strong commitment to providing strategic and policy leadership—to govern at the highest level. The board can contribute to a productive relationship with the CEO in three major ways:
>
> - choosing the right person for the job
> - negotiating clear, detailed performance targets
> - conducting thorough evaluations of the CEO's performance

The next sections of this handbook address these processes.

Please see reference for this chapter: 9

Evaluation Process for the CEO

The board's work in assessing the CEO is an opportunity to support him or her, foster openness and a positive attitude, and direct and strengthen his or her work. In the best case, it is an effective dialogue to clarify job expectations and acknowledge accomplishments. For the CEO, the standards are high. The board will recognize that the CEO's personality is typically high-achieving. The CEO evaluation is usually an annual process. Some boards formally touch base at the half-year as well.

A Systematic Approach: Begin with Agreement on the Job Description, Priorities & Action Plan

Whether there is a governance or executive committee of the board to conduct the CEO's evaluation, or the board acts as a committee of the whole, the CEO and board begin by agreeing on job expectations, priorities, action plan, assessment process, and measurable outcomes. When both parties create and own the initial agreement of purpose and desired results, the stage is set for success.

Do you see the CEO relationship as a partnership?

As the board knows, the priorities are set within the budget. When the objectives for management performance are agreed, the board will assure that the budget reflects their goals and direction.

What happens when the board is satisfied and changes objectives? For example, one board needed to win an election for dedicated funding and, having accomplished that, needed a prudent fiduciary manager. How would your board and CEO handle this situation? The evaluation process is an opportunity to revise the performance goals.

Assessment Tool from APTA and BoardSource

The APTA publication, *Assessment of the General Manager—A Tool for Transit Boards and General Managers of Public Transit Systems,* is the model for the following.

Questionnaires in the publication for the board members are completed without identifying each member individually. The questionnaires are organized by important areas of responsibility.

Considered first are:

- Progress in achieving goals
- Working with the board on translating the vision and mission into realistic goals and objectives
- Creating effective processes for long-range or strategic planning
- Maintaining a sense of what must change and what must remain the same

Next, the board considers:

- Accomplishment of management objectives
- Program management

- Resource, revenue, and partnership development
- Fiscal management
- Operations management
- Board, staff, and community relationships
- Public support and image

Open-ended questions probe for identification of the CEO's strengths and the limitations on his or her performance; significant achievements, external factors that affected the CEO's performance; and how the CEO resolved difficult issues. Goals for the agency's performance and personal development goals for the CEO are developed for the next year.

While subjective and difficult to quantify, a short form in *Assessment of the General Manager* provides a guide for board members to score their level of satisfaction that the CEO . . .

- Was successful in achieving his or her annual performance goals
- Has developed a clear vision for the future of the transit system
- Has maintained a strong working relationship with the board, characterized by open communication, respect, and trust
- Has modeled effective working relationships with the board to staff
- Has effectively led the staff in managing the services that the transit system offers
- Understands the technical and operational issues facing the transit system

. . . and more than one dozen other important aspects of job performance. Many boards have ordered one copy of the booklet for each board member and the CEO. The scoring forms are copyrighted and may not be photocopied.

Please see reference for this chapter: 45

Board Retreats

This chapter summarizes information primarily from *To Go Forward, Retreat!* published by APTA and BoardSource.

A strategic meeting lasting one or two days and held at a relaxing, off-site location is a focused retreat—an excellent opportunity for board members to reflect upon and work together on matters that impact the organization. Successful retreats are tied to the organization's unique challenges and goals.

Day-to-day involvements and responsibilities are temporarily set aside in favor of analyzing the current situation and future trends and creating new strategies. Board members tend to emerge from the retreat as a cohesive team.

Characteristics of successful retreats are:

- **Organization and Objectives**—Retreats are organized to achieve clear goals. For boards, they may include (1) developing, revisiting, and/or updating the agency's strategic plan and vision; (2) engaging in a board self-assessment process; or (3) discussing the CEO's selection.

- **Commitment**—The chair and CEO are committed to the outcomes desired and the retreat's success.

- **Compliant with the State Law**—Open-meeting laws may include exemptions allowing retreats; the agency's legal counsel will advise.

- **A Budget**—Beginning with the previous year's fiscal year budgeting process, the retreat will be built into the transit system's annual budget.

- **Preparation**—Taking three to six months to prepare, the retreat is normally planned by a task force or the board's executive/governance committee and the executive staff. Pre-retreat interviews about the focus and flow of the work are conducted with (or a questionnaire is circulated to) all board members and senior staff.

  The pre-retreat interview or questionnaire may include:
  - Current environment, influences, and trends
  - Major issues facing the transit system and board in the next three to five years
  - Biggest, most public complaints about service and necessary customer service improvements
  - Proposed goals for the retreat
  - High priority retreat topics
  - Preferred days of the week and places for the retreat

  Some board chairs ask the board members to keep a two-month log of the time they spent on behalf of the transit system and to bring their logs to the retreat. They are asked to add up their

time spent in board work in the categories of: board meetings; preparation for meetings and committee meetings; external relations, and other time.

Agreement on the retreat's schedule, location, agenda, and method of facilitation are necessary.

For seating arrangements . . . 15 to 20 people may sit in comfortable chairs and small sofas in a circle (with coffee tables in front and at the sides) so everyone is facing one another; larger groups may be seated at tables that offer the maximum interaction—crescent rounds (where six chairs face the front and no one faces the back) or a close-together "U" configuration.

- **Entertaining Work**—Important parts of the retreat are the fun, the openness, and the teamwork.

- **Separation from the Office and Email**—A site far enough away from the office will help members to disconnect from their daily responsibilities and focus on thoughtful participation. It is best to catch up on texts and email during breaks so you are 100 percent present.

- **Facilitation Plan**—Many boards wholeheartedly recommend an outside, professional facilitator. Involvement early in the planning process will allow a facilitator to be the most help for the board. Other boards assign or accept volunteers from their own membership to facilitate different parts of the retreat. The jobs of a facilitator may include:
    - Assisting with retreat planning
    - Conducting pre-retreat interviews, developing questionnaires, and analyzing findings
    - Objectively keeping discussions at the retreat focused, engaging, and moving . . . making sure there is but one conversation at a time
    - Bringing up important issues from the pre-retreat research
    - Helping to resolve conflicting styles and opinions
    - Leading the successful closure
    - Writing post-retreat discussion notes, recommendations, and implementation plans

- **Open Scheduling**—Leaving room for unscheduled time allows the flexibility for impromptu discussions or reflection on one's own.

- **Action Plan**—Decisions on how the board's work at the retreat will be implemented will be a key part of the board's ongoing work. Will there be quarterly reports on the strategic plan? What are the milestones the board set to follow through with its own performance evaluation and progress goals?

Please see references for this chapter: 35, 55

MAP-21: Moving Ahead for Progress in the 21st Century

Key public transportation provisions in the law, Moving Ahead for Progress in the 21st Century (MAP-21), authorize federal funding for transit and highway programs through Fiscal Year (FY) 2014—September 30, 2014. This bill was signed by President Obama in July, 2012 (Public Law 112-141), finalizing a legislative process that spanned nearly three years and 10 extensions of the Safe, Accountable, Flexible, Efficient Transportation Equity Act–A Legacy for Users (SAFETEA-LU).

MAP-21 includes many APTA recommendations. APTA's entire membership worked with partners two years before SAFETEA-LU expired, prepared "the green book" of what members needed in the new authorization legislation, and spoke with one voice leading to this two-year transportation bill in a challenging, national budgetary and political environment.

Organized into two parts—public transportation and highway provisions—the following is a top-line summary of MAP-21 for board members. For detailed information, please go to www.apta.com and click on the red rectangle, "MAP-21 Resource Center." Overall, the legislative theme is program simplification and consolidation. MAP-21 authorizes $10.6 billion in FY 2013 and $10.7 billion in FY 2014 for the federal transit program. Main components are:

- Transit boards are mandated to adopt safety plans and the DOT establishes a state safety oversight program.
- With a new state of good repair (SGR) program, asset management plans/systems and performance measurements are now required.
- A new fixed-guideway starts and extensions program is introduced.
- The new starts program is streamlined.
- Formula programs are prominent.
- Metropolitan Planning Organizations (MPOs) must include transit system membership on their boards and transit agency plans/programs in their regional transportation plans.
- SAFETEA-LU's earmarks and competitive grants for the bus and bus facilities program are replaced with a funding formula.
- Small transit systems in large urban areas may use some formula funds for operating costs, an APTA recommendation.
- The Small Transit Intensive Cities (STIC) formula program increases as smaller formula programs merge.
- For people with disabilities and older adults, SAFETEA-LU's New Freedom and Elderly/Disabled programs are combined and increased.
- Credit assistance increases in the Transportation Infrastructure Finance and Innovation Act (TIFIA) program.
- Transit providers in larger urbanized areas may have greater mobility management roles.

Provisions of MAP-21 Part 1: Public Transportation Programs

PROGRAM	MAP-21 AUTHORIZATIONS		
	FY 2013 (Millions of Dollars)	FY 2014 (Millions of Dollars)	Two-Yr Total (Millions of Dollars)
Total All Programs	**10,578.00**	**10,695.00**	**21,273.00**
Formula Grant Programs Total (Funded from the Mass Transit Account)	**8,478.00**	**8,595.00**	**17,073.00**
§ 5305 Planning	126.90	128.80	255.70
§ 5307/5336 Urbanized Area Formula	4,397.95	4,458.65	8,856.60
§ 5310 Seniors and Individuals with Disabilities	254.80	258.30	513.10
§ 5311 Rural Area Basic Formula	537.51	545.64	1,083.15
§ 5311(b)(3) Rural Transportation Assistance Program	11.99	12.16	24.15
§ 5311(c)(1) Public Transp. on Indian Reservations	30.00	30.00	60.00
§ 5311(c)(2) Appalachian Development Public Transp.	20.00	20.00	40.00
§ 5318 Bus Testing Facility	3.00	3.00	6.00
§ 5322(d) National Transit Institute	5.00	5.00	10.00
§ 5335 National Transit Database	3.85	3.85	7.70
§ 5337 State of Good Repair	2,136.30	2,165.90	4,302.20
§ 5339 Bus and Bus Facilities Formula	422.00	427.80	849.80
§ 5340 Growing States and High Density States	518.70	525.90	1,044.60
§ 20005(b) of MAP-21 Pilot Program for TOD Planning	10.00	10.00	20.00
Other Programs Total (Funded from General Revenues)	**2,100.00**	**2,100.00**	**4,200.00**
§ 5309 Fixed-Guideway Capital Investment	1,907.00	1,907.00	3,814.00
§ 5312 Research, Development, Demo., Deployment	70.00	70.00	140.00
§ 5313 TCRP	7.00	7.00	14.00
§ 5314 Technical Assistance and Standards Development	7.00	7.00	14.00
§ 5322 Human Resources and Training	5.00	5.00	10.00
§ 5324 Emergency Relief	(a)	(a)	(a)
§ 5326 Transit Asset Management	1.00	1.00	2.00
§ 5327 Project Management Oversight	(b)	(b)	(b)
§ 5329 Public Transportation Safety	5.00	5.00	10.00
§ 5334 FTA Administration	98.00	98.00	196.00

(a) Such sums as are necessary.

(b) Project Management Oversight funds are a variable percentage takedown from capital grant programs.

Urbanized Area Formula Program (49 USC § 5307, § 5336, and § 5340)

Sections 20007 and 20026 of MAP-21, Funded from the Highway Trust Fund/Mass Transit Account (HTF/MTA)

Urbanized area formula grants remain the largest source of federal transit funding under MAP-21, with $4.398 and $4.459 billion authorized in FY 2013 and FY 2014. MAP-21 preserves the existing formula program and its distribution factors, including separate factors based on population growth and density. The use of urbanized area formula funds for operating expenses is permitted under certain circumstances. The basic structure of the urbanized area formula is maintained with funding apportioned based on bus vehicle revenue miles, bus passenger miles, fixed-guideway vehicle revenue miles, and fixed-guideway directional route miles, as well as population and population density. A new factor reflecting the number of low-income individuals is also included, reflecting the consolidation of the Job Access and Reverse Commute (JARC) program into the core program. JARC activities are eligible under Section 5307.

MAP-21 retains the **Growing States and High Density States Formula Distribution (49 USC § 5340)**. In FY 2013 and 2014, $518.7 million and $525.9 million are authorized for Section 5340. Half of the funds are available under the Growing States factors and are apportioned by a formula based on state population forecasts for 15 years beyond the most recent Census. Amounts apportioned for each state are then distributed between urbanized areas and rural areas based on the ratio of urban/rural population within each state. The High Density States factors distribute the other half of the funds to states with population densities in excess of 370 persons per square mile. High Density funds are apportioned only to urbanized areas within those states.

Funding increases for **Small Transit Intensive Cities (STIC) [49 USC § 5336(i)]** in the urbanized area formula program that distributes funds to small UZAs with fewer than 200,000 population that provide transit service above a certain level. The new tier will be funded at 1.5 percent of all UZA formula funds annually beginning in FY 2013. The same criteria remain: passenger miles traveled per vehicle revenue mile; passenger miles traveled per vehicle revenue hour; vehicle revenue miles per capita; vehicle revenue hours per capita; passenger miles traveled per capita; and passengers per capita.

Operating Expenses—MAP-21 has the same criteria for using 5307 funds for capital projects (operating expenses continue to be ineligible) in urban areas with a population greater than 200,000. A new '100 bus rule' allows systems with 76–100 buses operating in peak service to use up to 50 percent of their 5307 funding for operating expenses and those operating 75 or fewer buses to use up to 75 percent for operating expenses. Small urbanized areas with populations under 200,000 may use up to 100 percent of their 5307 funding for operating expenses. Preventive maintenance is eligible as a capital expenditure.

Safety Set-aside—To support the new transit safety program in Section 20021 (49 USC § 5329), the law has a new set-aside of 0.5 percent to be apportioned to eligible states (those with rail transit operations) for state safety oversight program grants.

Other Set-asides—Recipients must spend 1 percent of their 5307 funds on "associated transportation improvements" (formerly known as transit enhancements). Recipients must continue to spend 1 percent of their 5307 apportionment on security projects unless they certify those expenditures as unnecessary.

MAP-21 includes a set-aside of $30 million to be allocated through a competitive process for passenger ferry grants.

Other federal funding received for transportation projects and services may be applied to local match requirements (see General Provisions).

FORMULA	FY 2013 (Thousands of Dollars)	FY 2014 (Thousands of Dollars)	Two-Yr Total (Thousands of Dollars)
Total § 5336 Authorized Amount	**4,397,950**	**4,458,650**	**8,856,600**
§ 5307(h) Passenger Ferry Grants (Discretionary)	30,000	30,000	60,000
§ 5329(e) State Safety Oversight Program (Eligible States)	21,990	22,293	44,283
§ 5336 Remainder for UZA Formula Distribution	**4,345,960**	**4,406,357**	**8,752,317**
§ 5336(a) through (c) Bus and Fixed-Guideway Formulas	4,147,449	4,205,099	8,352,548
§ 5336(i) Small Transit Intensive Cities	63,494	64,377	127,871
§ 5336(j) Low Income Individuals	135,017	136,881	271,898
§ 5340 Authorized Funds Distributed with UZA Formula Funds	**477,723**	**484,354**	**962,077**
§ 5340(c) Growing States—Approximate	218,373	221,404	439,777
§ 5340(d) High Density States	259,350	262,950	522,300
Total Funds Apportioned by UZA Formula Program	**4,823,683**	**4,890,711**	**9,714,394**

Rural Formula Program (49 USC § 5311)

Section 20010 of MAP-21, Funded from the Highway Trust Fund/Mass Transit Account (HTF/MTA)

The rural formula program (previously, 'Non-urbanized formula grants') has $599.5 million and $607.8 million authorized in FY 2013 and FY 2014—an increase from FY 2012 of more than 30 percent in two years. Funding for states for public transportation in rural areas is mostly apportioned based on rural land area and population; some funds are based on land area, revenue-vehicle miles, and low-income individuals. States must spend at least 15 percent of their annual apportionments to develop and support intercity bus transportation. The costs of private intercity bus operations (unsubsidized segments) may be an in-kind match for the operating costs of connecting rural intercity bus feeder service (funded by MAP-21), with a written agreement with the private operator. Funding for the Public Transportation on Indian Reservations program is increased to $30 million and there is $20 million for a new Appalachian Development Public Transportation Program. About $12 million per year is authorized for the Rural Transit Assistance Program (RTAP).

FORMULA	FY 2013 (Thousands of Dollars)	FY 2014 (Thousands of Dollars)	Two-Yr Total (Thousands of Dollars)
Total § 5311 Authorized Amount	**599,500**	**607,800**	**1,207,300**
§ 5311(b)(3) Rural Transportation Assistance Program	11,990	12,156	24,146
§ 5311(c)(1) Public Transportation on Indian Reservations	30,000	30,000	60,000
§ 5311(c)(2) Appalachian Development Public Transportation Assistance	20,000	20,000	40,000
§ 5311 Remainder for Rural Formula Distribution	**537,510**	**545,644**	**1,083,154**
§ 5311(c)(3) Rural funds for Formula Distribution	537,510	545,644	1,083,154
§ 5340 Funds Distributed with Rural Formula Funds	**40,977**	**40,977**	**81,954**
§ 5340(c) Growing States Distribution—Approximate	40,977	40,977	**81,954**
Total Funds Distributed by Rural Formula	**578,587**	**587,190**	**1,165,777**

Formula Grants for the Enhanced Mobility of Seniors & Individuals with Disabilities (49 USC § 5310)

Section 20009 of MAP-21, Funded from the Highway Trust Fund/Mass Transit Account (HTF/MTA)

MAP-21 consolidates SAFETEA-LU's Elderly and Disabled (Sec. 5310) and New Freedom (Sec. 5317) programs and increases available resources by about 14 percent in FY 2014. Eligible recipients include states (for all areas under 200,000 in population) and designated recipients. Subrecipients may include states or local government authorities, private non-profit organizations, or operators of public transportation that receive a grant indirectly through a recipient. In urbanized areas over 200,000 population, 60 percent of funds are allocated to designated recipients. States will be allocated 20 percent for small urbanized areas plus 20 percent for rural areas. Transit providers in larger urbanized areas may serve in greater mobility management roles and providers may designate their states as administrators for the funds. A minimum of 55 percent of program funds must be used on capital projects that are planned to meet the needs of seniors and individuals with disabilities, when public transportation is insufficient or unavailable. The remaining funds may be used for public transportation projects that exceed the requirements of the ADA; improve access to fixed-route service and decrease reliance on complementary paratransit; and for alternative transportation for seniors and people with disabilities. The program supports non-profit transportation providers and services that exceed the requirements of the Americans with Disabilities Act. The local share may be derived from other federal (non-DOT) transportation sources or the Federal Lands Highways Program under 23 U.S.C. 204. Projects must be in a local coordinated public transit-human services transportation plan that was developed with seniors and people with disabilities, transportation providers, and others; coordination is mandated with transportation services assisted by other federal departments and agencies.

State of Good Repair Program (49 USC § 5337)

Section 20027 of MAP-21, Funded from the Highway Trust Fund/Mass Transit Account (HTF/MTA)

A new State of Good Repair (SGR) grant program replaces the previous Fixed-Guideway Modernization program. The SGR new program is authorized at $2.1 billion in FY 2013 and $2.2 billion in FY 2014, with $60.9 million in FY 2013 and $61.7 million of the total distributed under a new High Intensity Motorbus State of Good Repair program. Grants may finance capital projects to maintain fixed-guideway public transportation systems in a state of good repair. Fixed-guideway systems are those using an exclusive, separate right of way for public transportation, using rail, using a fixed catenary system, for passenger ferry systems, or for a bus rapid transit (BRT) system. Formula funding is available for systems providing public transportation service on a facility with access for other high-occupancy vehicles under the High Intensity Motor Bus program. Funding under the fixed-guideway portion of the SGR program is limited for BRT systems when the majority lines operates in a separated right of way dedicated for public transportation use—not shared with other high occupancy vehicles—during peak periods and includes features that emulate services provided in fixed-guideway systems.

Of the funds authorized for fixed-guideway SGR grants, 97.15 percent is apportioned to fixed-guideway systems based on route and revenue miles for segments in operation for at least seven years, and 2.85 percent is apportioned based on motorbus public transportation on a facility with access for other high-occupancy vehicles (mainly HOV lanes). Of the 97.15 percent, half is apportioned only to systems that received fixed-guideway modernization funds in FY 2011 (based on vehicle revenue miles and directional route miles); the other half is apportioned based on vehicle revenue miles and directional route miles that have been in revenue service for at least seven years.

Recipients under the SGR program must have asset management plans.

FORMULA	**FY 2013** (Thousands of Dollars)	**FY 2014** (Thousands of Dollars)	**Two-Yr Total** (Thousands of Dollars)
Total State of Good Repair (SGR) Funds	2,136,300	2,165,900	4,302,200
§ 5337(c) High Intensity Fixed-Guideway Formula Funds	2,075,415	2,104,172	4,179,587
§ 5337(d) High Intensity Motorbus Formula Funds	60,885	61,728	122,613

Fixed-Guideway Capital Investment Grants (49 USC § 5309)

Section 20008 of MAP-21, Funded from the General Fund—subject to Annual Appropriations

For fixed-guideway capital investment grants, MAP-21 provides $1.907 billion from the General Fund for each of FY 2013 and FY 2014. The New Starts program is streamlined so projects move more quickly. Program changes include:

- A two-year time limit for completing project development

- Eliminating duplicative alternatives analysis requirements
- Expanding the use of warrants for making project justification determinations for new fixed-guideway capital or core capacity improvement projects where funding provided under section 5309 does not exceed $100 million or 50 percent of total project costs
- Expediting technical capacity review for projects designed by applicants that have recently completed a new fixed-guideway capital project or a core capacity improvement project that achieved/surpassed expected budget, cost, and ridership projections and the applicant demonstrates it continues to have the staff expertise and resources to implement the new project
- Reducing the factors DOT considers for approval or advancement of a project

Project eligibility includes 1) core capacity improvements, 2) new fixed-guideway capital projects, and 3) small start projects.

1) A core capacity improvement project is a corridor-based capital investment in an existing fixed-guideway system that increases the capacity of a corridor by not less than 10 percent; state of good repair elements are excluded.
2) A new fixed-guideway capital project can include a fixed-guideway BRT project that is a minimum operable segment or extension to an existing fixed-guideway or BRT system. A fixed-guideway BRT project is a bus capital project in which the majority of the project operates in a separated right-of-way dedicated for public transportation, represents a substantial investment in a single route, and with features emulating the services of rail fixed-guideway systems.
3) A small start project is a new fixed-guideway capital project or corridor-based BRT project for which funding provided under section 5309 is less than $75 million and the total net capital cost is less than $250 million. A corridor-based BRT project is a small start bus project that represents a substantial investment in a defined corridor with features that emulate rail fixed-guideway systems (but the majority does not operate in a separated public transportation right-of-way.)

Federal Share: In general, the federal share of net capital project costs will not exceed 80 percent, except under a special rule for fixed-guideway BRT projects, where up to three such projects shall receive a federal share of at least 80 percent.

Pilot Program for Expedited Project Delivery: Up to three new fixed-guideway capital or core capacity improvement projects that have completed the NEPA process (National Environmental Protection Act) and have significant local or private financial support (as the government share cannot exceed 50 percent) shall be selected by DOT to demonstrate whether innovative project development and delivery methods or innovative financing arrangements can expedite project delivery. Each project applicant selected under this pilot must report to DOT on the impacts of the project on transit services and ridership; the consistency of predicted and actual costs and benefits of the innovative measures (that enabled the project to receive funding under this pilot); and reasons for any differences between predicted and actual outcomes.

Bus & Bus Facilities Formula Grants (49 USC § 5339)

Section 20029 of MAP-21, Funded from the Highway Trust Fund/Mass Transit Account (HTF/MTA)

This is now a smaller formula grant program, precluding both congressional earmarks and discretionary grant-making by the Administration. Grants may be used to finance capital projects to replace, rehabilitate, and purchase buses and related equipment and to construct bus-related facilities, in accordance with the grant requirements in section 5307. The bill authorizes $422 million in FY 2013 and $427.8 million in FY 2014 for these formula grants, well below the $984 million authorized for the discretionary bus program in previous years. A governor is authorized to transfer bus formula funds in two cases: (1) any portion of a state's $1.25 million share of national distribution funds may be transferred to supplement the state's rural or urbanized area formula apportionments, and (2) any of the state's bus apportionment based on population and bus factors that is not allocated to recipients in urbanized areas of 200,000 or more may be expended in urbanized areas with a population of less than 200,000. The federal share is 80 percent of net capital costs, and a grant recipient may provide additional local matching amounts.

Public Transportation Safety Program (49 USC § 5329)

Section 20021 of MAP-21, Mix of funding between General Fund and Highway Trust Fund/Mass Transit Account (HTF/MTA)

This broad new transit safety program calls for the DOT to create a national safety plan for all modes of public transportation and set minimum safety performance standards for all rolling stock not otherwise regulated (rolling stock for commuter railroads is regulated by the Federal Railroad Administration). The DOT will work with the public transportation industry to establish a national safety certification training program for federal, state, and other staff who conduct safety audits and examinations of public transportation systems and employees of public transportation agencies responsible for safety oversight. Recipients of federal transit funding must establish and have certified a comprehensive safety plan based on set criteria. The board of directors or other highest governing body is required to review and adopt the Public Transportation Agency Safety Plan. Since the Safety Plan is risk based, the board must understand what risks the agency is assuming within the Safety Plan offered for adoption.

States with rail fixed-guideway systems must have an approved state safety oversight (SSO) program with an SSO agency that has oversight responsibilities. A formula grant program is established for SSO programs, with up to 80 percent federal match. SSO agencies are required to review, approve, oversee, and enforce implementation of transit agency safety plans, conduct triennial safety audits, and provide annual safety status reports to the FTA and others. The DOT will oversee and may audit the SSO entities. Should a recipient be found to be noncompliant with safety requirements, the DOT may withhold federal funding or require that up to 100 percent of federal funds be used for corrective safety actions. In the event that an SSO agency is found to be noncompliant, the DOT may issue directives, require more frequent oversight, and/or withhold federal funds.

Transit Asset Management (49 USC § 5326)

Section 20019 of MAP-21, Funded from the General Fund—subject to Annual Appropriations

The new law requires the secretary to establish a national transit asset management system to monitor and manage public transportation assets to improve safety and increase reliability and performance. Funding recipients/subrecipients must develop a transit asset management plan, use an asset management system to develop capital asset inventories and condition assessments, and report on the condition of their system. The secretary is must define the term 'state of good repair,' and produce objective standards for measuring the condition of capital assets. The secretary must establish performance measures based on a state of good repair. At the time of enactment of MAP-21, APTA was in the process of working on establishing asset management standards. The asset management requirements are closely related to the new State of Good Repair Program and new Public Transportation Safety Program.

Planning & Performance Management—States, Metropolitan & Nonmetropolitan Planning (49 USC §§ 5303, 5304, 5305)

Sections 20005 and 20006 of MAP-21, Funded from the Highway Trust Fund/Mass Transit Account (HTF/MTA)

MAP-21 authorizes $126.9 million for FY 2013 and $128.8 million for FY 2014 and establishes performance management mandates for State DOTs, Metropolitan Planning Organizations (MPOs), and public transportation operators. Many of these new requirements can be met by incorporating performance targets and measurement procedures within the existing planning and reporting processes. To relate transit operations with regional planning and transportation performance management goals, MPOs developing regional plans are required to synchronize their planning with local transit providers by:

- Identifying components that should function as an integrated metropolitan transportation system in regional transportation plans
- Coordinating the setting of regional transportation system performance targets with transit providers
- Integrating transit agencies' objectives, performance measures, and plans into regional transportation plans
- Requiring consistency with asset management and safety performance targets
- Considering proposed transit and other transportation enhancement activities when developing regional transportation plans

The metropolitan planning process will consider projects and strategies that:

- Support economic vitality, increase safety and security of the transportation system for motorized and non-motorized users, and increase the accessibility and mobility of people and for freight
- Protect and enhance the environment, promote energy conservation, improve the quality of life, and promote consistency between transportation improvements and economic growth and development
- Enhance integration and connectivity across and between modes
- Promote efficient system management and operations, and emphasize the preservation of the existing systems

The new planning process will establish and use a performance based approach for the national goals listed in section 1203 of MAP-21 *(section 150(b) of title 23 and section 5301(c) of title 49)* including safety, infrastructure condition, congestion reduction, system reliability, freight movement and economic vitality, environmental sustainability, and reduced project delivery delays. MPOs that serve urbanized areas with a population of over 200,000 residents must include officials from local public transportation providers on their policy boards. Regional Transportation Planning Organizations may address nonmetropolitan area transportation needs. An annual $10 million Transit Oriented Development (TOD) pilot grant program will fund TOD planning for new fixed-guideway or core capacity improvement projects (in 49 U.S.C. 5309 Fixed-Guideway Capital Investment Grants Program).

Public Transportation Emergency Relief Program (49 USC § 5324)

Section 20017 of MAP-21, Funded from the General Fund—subject to Annual Appropriations

MAP-21 establishes emergency relief grants for:

1) **capital projects** to protect, repair, reconstruct, or replace transit equipment and facilities damaged or in danger of being damaged as a result of an emergency
2) **operating costs** of public transportation equipment and facilities in an area directly affected by an emergency. In addition to the costs related to reestablishing, expanding, or relocating public transportation service before, during or after an emergency, eligible operating costs include evacuation services, rescue operations, and temporary public transportation services.

The federal government may fund up to 80 percent of net project costs for capital repairs and operating assistance. The DOT may waive the non-federal share of project costs. To improve coordination and expedite assistance, the DOT and the Department of Homeland Security must enter into a memorandum of agreement and brief the Senate Banking and Homeland Security committees.

Research, Development, Demonstration & Deployment Projects (49 USC § 5312)

Section 20011 of MAP-21, Funded from the General Fund—subject to Annual Appropriations

MAP-21 authorizes $70 million annually for a public transportation research program to take ideas from the research phase through demonstration and deployment regarding products and services that may benefit public transportation by helping to provide services more effectively and efficiently. Research projects that improve service to seniors, low income individuals, and individuals with disabilities plus mobility management, communications, and system capacity are highlighted. Included are:

- **Innovation and Development Grants** in planning and forecasting modeling, operating efficiencies, advanced vehicle design, the environment and energy efficiency, and system capacity
- **Demonstration, Deployment and Evaluation Grants** for building on successful research, innovation, and development efforts. A Low or No-Emission Vehicle Deployment program is introduced.

The Transit Cooperative Research Program (TCRP) (49 USC § 5313)

The TCRP is continued and funded at an annual level of $7 million.

Technical Assistance & Standards Development (49 USC § 5314)

Section 20012 of MAP-21, Funded from the General Fund—subject to Annual Appropriations

MAP-21 authorizes $7 million annually for the FTA to provide grants and enter into agreements to assist transit providers in more effectively and efficiently providing public transportation service and administering federal funds. The FTA must work with the public transportation industry to develop of consensus-based industry standards and best practices for safety, fare collection, procurement, and in other areas.

The new law also authorizes the secretary, through a competitive bid process, to assist public transportation providers in complying with the Americans with Disabilities Act, through technical assistance, research, and public education. Technical assistance is available to assist in meeting human services transportation coordination requirements, the transportation needs of the elderly, coordination with MPOs to increase ridership, and to address equity in ridership for low-income and minority individuals.

Private Sector Participation (PPPs) (49 USC § 5315)

Section 20013 of MAP-21

MAP-21 requires DOT to assist the private sector in moving toward MAP-21's goals related to funding, improving capital project development/delivery, establishing standards, and more. The DOT will assist grant recipients with technical assistance, education on laws/regulations, best practices, standard public-private partnership (PPP) contracts, and financial assessments. DOT will address impediments to PPPs on a project-by-project basis and develop guidance for public access to public-private partnership agreements (including conflicts of interest, tax and financing details, changes in workforce, revenue estimates, and non-competitive agreements. Compare a public-private partnership with a similar transaction using only public funding/project delivery. MAP-21 encourages collaboration with private van pool (§ 5323) and intercity bus operators (§ 5311.)

Bus Testing Facilities (49 USC § 5318)

Section 20014 of MAP-21, Funded from the Highway Trust Fund/Mass Transit Account (HTF/MTA)

MAP-21 continues funding for one bus testing facility, the Altoona Bus Research and Testing Center. In acquiring new bus models using funding appropriated in this chapter, the bus must meet the performance standards of maintainability, reliability, braking, structural integrity, fuel economy, emissions, and noise. Within two years of MAP-21's enactment, the secretary must issue a final rule creating a pass/fail scoring system, using an aggregated score of weighted measures of the performance standards. The scoring

system will be created in consultation with the bus testing facility, bus manufacturers, and transit agencies Funding for a new bus model would not be received if it had a failing grade in the new scoring system.

Human Resources & Training (49 USC § 5322)

Section 20015 of MAP-21, Funded from the General Fund—subject to Annual Appropriations

Authorized is $5 million annually. The Secretary may make grants/contracts for activities that address public transportation human resource and workforce development needs. The new Innovative Public Transportation Workforce Development Program is a competitive grant program to assist in innovative workforce development and human resource activities. The National Transit Institute (NTI) is authorized at $5 million from the Mass Transit Account.

General Provisions (49 USC § 5323)

Section 20016 of MAP-21

MAP-21 amends the General Provisions section governing grants for public transportation projects under Chapter 53 of Title 49, USC.

Vanpool Transportation: To encourage vanpools, grant recipients may include in their local match for a federally-funded transit capital project the amounts spent by vanpool operators for the purchase of vans used in the grant recipient's service area.

Buy America: U.S. DOT must publish in the *Federal Register* and make easily and publicly available an explanation of any Buy America waiver determination *before* issuing such waiver. U.S. DOT submits annually a report to Congress a list of waivers issued.

Corridor Preservation: U.S. DOT may assist grant recipients in acquiring right-of-way before the completion of the environmental reviews.

Private Sector Access to Public Transportation Facilities: MAP-21 requires that grant recipients provide reasonable access for private intercity and charter transportation operators to federally-funded public transportation facilities.

Contract Requirements (49 USC § 5325)

Section 20018 of MAP-21

- Multi-year contracts for procuring rail rolling stock may include the option to buy additional rolling stock for a term of not more than seven years.
- Contracts for bus procurements retain the five-year limit.
- There is a hiring preference for qualified veterans seeking employment on capital projects funded under Chapter 53.

Project Management Oversight (PMO) (49 USC § 5327)

Section 20020 of MAP-21

MAP-21 revises PMO language by reducing reporting requirements from monthly to quarterly, removes limitations on amounts that can be spent on PMO activities, and requires that federal oversight begin at the project development phase instead of the current preliminary engineering stage.

Alcohol & Controlled Substances Testing (49 USC § 5331)

Section 20022 of MAP-21

MAP-21 amends the provision governing non-compliance with the U.S. DOT's alcohol and controlled substances testing regulations to provide that, in addition to being ineligible for financial assistance under sections 5307, 5309, and 5311, a non-compliant recipient that receives funds under Chapter 53 may be barred from receiving future federal transit assistance.

National Transit Database (49 USC § 5335)

Section 20025 of MAP-21

Reporting requirements include financial and operating information, asset inventory and condition. The Secretary must develop a system to ensure that public transportation and state oversight agencies report public transportation safety incident data to the State Safety Oversight Rail Accident Database. The Secretary must report to the Senate Banking, Housing, and Urban Affairs Committee and the House Transportation and Infrastructure Committee.

Provisions of MAP-21 Part 2: Federal Highway Programs

Authorization of Appropriations—Federal Highway Aid Programs

MAP-21 authorizes $37 billion for FY 2013 and for FY 2014 from the Highway Trust Fund for the Federal-Aid Highway Program, including these formula programs:

- National Highway Performance Program (NHPP)
- Surface Transportation Program (STP)
- Highway Safety Improvement Program (HSIP)
- Congestion Mitigation and Air Quality Improvement Program (CMAQ)
- Metropolitan Transportation Planning
- Transportation Alternatives

In a new formula funding distribution method, each state is apportioned funding based on its share of the total highway funds received in FY 2012.

Surface Transportation Program (STP) (23 USC § 133)

Section 1108 of MAP-21

The Surface Transportation Program (STP) continues as a flexible funding source for states and localities to fund transportation projects including capital costs for transit vehicles and facilities, and transit safety infrastructure improvements. STP will be funded at approximately $10 billion in FY 2013 and $10 billion in FY 2014 from the Highway Account of the Highway Trust Fund; half of each state's STP funding will be sub-allocated to specific areas based on population and the other half can fund projects anywhere in the state (regardless of population.)

Congestion Mitigation and Air Quality Improvement (CMAQ) Program (23 USC § 149)

SEC. 1113 of MAP-21

MAP-21 retains the CMAQ Program, with a few modifications. A state may transfer up to 50 percent of any highway apportionment, including CMAQ, to another apportioned program. CMAQ is subject to a two percent set-aside to carry out "transportation alternatives" projects under 23 USC 213, MAP-21's replacement for transportation enhancements. The federal share payable for CMAQ project costs is 80 percent. U.S. DOT estimates that CMAQ apportionments will be $2.21 billion for FY 2013 and $2.23 billion for FY 2014. Highway formula funds are apportioned based on the amount each state received in FY 2012 under SAFETEA-LU.

TIFIA—America Fast Forward Financing Innovation Act (23 USC §§ 601-609)

Section 2002 of MAP-21

MAP-21 significantly increases funding for the popular Transportation Infrastructure Financing and Innovation Act (TIFIA) program, which provides federal credit assistance through secured loans, loan guarantees, and lines of credit to finance surface transportation projects of national and regional significance. Where TIFIA was funded at $122 million for each fiscal year 2005 through 2012, MAP-21 authorizes $750 million for FY 2013 and $1 billion for FY 2014 to pay the subsidy cost of TIFIA's credit assistance. A $1 billion TIFIA authorization will support up to $10 billion in actual lending capacity. The share of eligible project costs that TIFIA loans may support is increased; the amount of a secured loan may now support up to 49 percent of reasonably anticipated eligible project costs. The project application and review process is substantially reformed.

Projects of National and Regional Significance (23 USC § 101 Note; 119 Stat. 1198)

Section 1120 of MAP-21

$500 million is authorized from the General Fund (thus subject to appropriation) in FY 2013 only, for Projects of National and Regional Significance to be selected through a competitive grant program for

high-cost transit, intermodal, and highway capital projects that will significantly enhance the national economy and/or a particular regional economy. A grant may cover up to 50 percent of total project costs but may not exceed 50 percent of the amount of federal highway assistance funds apportioned for the most recently completed fiscal year to the state(s) in which the project is located. Applications will be accepted from: state DOTs (or a group of them); tribal governments (or a consortium of them); transit agencies; and multi-state or multi-jurisdictional groups of these agencies listed above.

Ferry Boat and Ferry Facilities

Various sections of MAP-21

The Construction of Ferry Boats and Ferry Terminal Facilities Program is continued under the Federal-Aid Highway Program administered by the Federal Highway Administration (FWHA). The program is authorized annually for $67 million for FY 2013 and FY 2014 from the Highway Trust Fund (other than the Mass Transit Account). A new method distributes funding via formula, based on the number of ferry passengers carried, number of vehicles carried, and total route miles serviced. A new, discretionary Passenger Ferry Boat Program under the Urbanized Area Formula Grant Program administered by the FTA is authorized annually for $30 million for FY 2013 and FY 2014 from the Mass Transit Account of the Highway Trust Fund. The new National Highway Performance Program funds the construction, rehabilitation, or replacement of existing ferryboats and ferryboat facilities that connect road segments of the National Highway System and the Surface Transportation Program expands its eligible activities to include the construction of ferryboats and ferryboat terminal facilities.

National Highway Performance Program (23 USC § 119)

Section 1106 of MAP-21

Funding from the National Highway Performance Program may be used for transit capital projects if:

a) A transit project is in the same corridor as, and in proximity to, a fully access-controlled highway designated as a part of the National Highway System;
b) The transit construction or improvements will reduce delays or save travel time on the fully access-controlled highway described in (a) and improve regional traffic flow;
c) The construction or improvements are more cost-effective, as determined by benefit-cost analysis, than an improvement to the fully access-controlled highway described in (a).

The National Highway Performance Program is funded at about $21,752,000,000 in FY 2013 and $21,935,700,000 in FY 2014 from Highway Account of the Highway Trust Fund.

Emergency Relief Program (23 USC § 125)

Section 1107 of MAP-21

A new Emergency Relief Program is funded at $100 million annually for FY 2013 and FY 2014 from the Highway Account of the Highway Trust Fund and administered by the FHWA. Under certain

circumstances, the program can fund the maintenance and operation of ferryboats or additional transit service as temporary substitutes for highway traffic when highway traffic is prohibited as a result of a natural disaster or external cause.

Transportation Alternatives (TA) (23 USC § 213)

Section 1122 of MAP-21

The new Transportation Alternatives (TA) Program funds many activities previously eligible under the Transportation Enhancements, Safe Routes to Schools, and Recreational Trails programs. The TA Program will be funded in FY 2013 and FY 2014 at a level equal to 2 percent of the amounts authorized for (a) Federal-Aid Highway and Highway Construction Safety programs (minus all General Fund program amounts), (b) Research and Education programs, and (c) the Transportation Infrastructure Financing and Innovation Act (TIFIA) Program—about $809,000,000 in FY 2013 and $820,000,000 in FY 2014. This funding will be apportioned to each state and then further divided such that: 50 percent of each state TA apportionment will be sub-allocated to specific areas based on population and the remaining 50 percent will be allocated by the state to fund projects anywhere in the state (regardless of population). States will have the option of utilizing the 50 percent of TA funding that they control to fund other (non-TA eligible) transportation projects.

Tolling (23 USC § 129)

Section 1512 of MAP-21

States and other public authorities may construct new toll lanes on existing highways, provided that the number of toll-free lanes in the corridor remains the same. They may toll new Interstate highways and add additional lanes on existing Interstates, as long as the number of toll-free, non-HOV lanes is preserved. States and other public authorities are no longer required to execute tolling agreements with U.S. DOT prior to tolling under these provisions. When a public authority certifies annually that its toll facility is being adequately maintained, toll revenues may be used for any other eligible purpose under the Federal-Aid Highway Program. By October 1, 2016, toll facilities provide for the interoperability of electronic toll collection.

HOV Facilities (23 USC § 166)

Section 1514 of MAP-21

This section extends, until the end of FY 2017, the period during which a state agency may allow low emission and energy-efficient vehicles to use HOV lanes, and provides that a state agency may charge a toll for these vehicles that is equal to the toll charged to non-HOV vehicles permitted to use HOV lanes.

Extension of Public Transit Vehicle Exemption from Axle Weight Restrictions (23 USC § 127)

Section 1522 of MAP-21

MAP-21 continues indefinitely both the public transit and over-the-road bus exemption from Federal axle weight restrictions on Interstate highways and the ban on covered states enforcing a single axle weight limit of less than 24,000 pounds for public transit and over-the-road buses using the Interstate system.

Intelligent Transportation Systems (ITS)

Sec. 53001-53006 of MAP-21

The ITS research program focuses on intelligent vehicles, intelligent infrastructure, and an intelligent integrated transportation system. Funding for the ITS research program, including the Connected Vehicle program, is authorized at $100 million per year. A broad $62.5 million per year Technology and Innovation Deployment competitive grant program accelerates the adoption and promotion of the implementation of innovative technologies. The bill ensures that ITS technologies are eligible for funding within every major formula program.

Why Innovative Financing and Revenue?

Traditional Sources Reach Limits

The role of public transportation in American life continues to grow. The number of light rail systems grew by 278 percent, and the number of commuter rail systems is up 73 percent, since 1980. The market is responding. A study released by APTA and the National Association of Realtors reveals that, during the last recession, residential property values performed 42 percent better on average if they were located near public transportation with high-frequency service.

Operators around the nation have responded to calls for more advanced technologies. Systems have rolled out real-time arrival information, which allows riders to know the precise time that a bus or train will arrive at a station. Fare technologies have improved, allowing customers to pay with a touch of a credit card or smart phone. These efforts have made public transportation a viable option for even more people. However, even the most cost-efficient systems will have increased costs from these efforts.

Political Realities

As public transportation has responded to consumers, the funding environment has shifted. Traditional sources of revenue for public transit, such as general revenues, sales and property taxes have been impacted by the changes in how goods and services are purchased, and by the macroeconomic environment. Furthermore, public transportation has had to compete with other worthy causes—such as education, public safety, and debt service—leading to additional pressures on transit operators. Operators have turned to innovative funding and financing to address the growing gap.

Need to Increase Yields

As transit boards across the nation consider innovative financing and funding solutions, one of the most important concerns is the ability of new sources to generate the yield necessary to merit the implementation and political costs associated with pursuing a new option.

Importance of Mode-Share Shift

Another concern that boards should consider is the ability of the revenue source in question to affect the mode share of public transit in the community. The mode share has important implications in the ability to garner support for additional revenue and service expansions and in shifting general public sentiment toward public transportation.

The funding sources chosen can influence commuter behavior toward greater use of transit. Consciously being aware of the types of revenue that has this effect can make the job of governing as a board member easier over the medium and long-term and can establish a lasting legacy of results.

Broad Reach Justifies Broad Support

One general theme provides the reasoning for the use of innovative funding: though these sources are innovative because they have not been used for public transit on a wide scale before, the benefits of public transit have a broad impact on society, and it is therefore justified to use these sources.

Types of Innovative Finance and Revenue

Innovative financing and revenue options can be divided into four major categories: 1) emerging opportunities, which are broad based taxes and fees which have rarely been used for transit, but offer the possibility of significant yields; 2) project value capture, which seeks to share in the increased revenue enjoyed by private businesses that locate near transit facilities; 3) market-based user fees, which includes various forms of fees and tolls levied on auto users in an attempt to create a balanced transportation network with robust mobility options; and 4) financing, which provides debt to enhance project delivery, offering the potential to speed implementation which can lead to cost savings.

Type 1: Emerging Opportunities

These types of taxes and fees include: employer/payroll taxes, rental car fees, vehicle lease fees, parking fees, mortgage recording fees, corporate franchise taxes, hotel/motel taxes, and utility fees. Out of these fees and taxes, the biggest impact on mode share shift—making transit a more popular option in your community versus other modes—is parking fees. Though parking fees are often managed by local jurisdictions or a separate parking authority, these fees are the most likely of this type to influence mode choice and positively impact farebox revenues. Transit authorities can also engage local jurisdictions to receive a portion of the parking fees collected, making this an even more attractive option for the bottom line of a transit agency. Unfortunately, this path is also the most politically difficult of the emerging opportunities.

Type 2: Project Value Capture

Project value capture refers to the three primary techniques used to recoup some of the gains experienced by the private sector due to proximity to transit. These include: 1) joint development agreements, in which there is either some form of cost-sharing that benefits the transit agency, or there is revenue provided that supports transit service; 2) value capture, which is the process of capturing some portion of the increase in property value caused by a transit improvement in order to help defray the cost of that improvement. This can be accomplished through the use of tax-increment finance districts that encompass the area likely to benefit from the proposed transit investment; and 3) impact fees, which are assessments that typically are charged as one-time debits to improve transportation facilities in order to accommodate the anticipated increased use of those facilities. When accompanied with transit supportive land-use policies that allow for additional density, project value capture can have a substantial impact on mode share in community.

Type 3: Market-Based User Fees

These types of user fees typically are meant to address the poor operational conditions of the nation's congested roadway network by sending market signals regarding the best times, routes, and overall usage of the personal automobile. These user fees have some of the best potential available to affect mode share shift and improve farebox recovery ratios, even if transit agencies do not receive direct revenue from these sources. However, these techniques are also among the most politically difficult to enact. These include: 1) tolling; 2) congestion pricing, which is the practice of varying tolls based on the level of congestion, as well as the location of congestion, in order to allow for a better flow of traffic and enhanced livability, and 3) Vehicle Miles Traveled fees, which taxes automobile users based on the distance they travel.

Type 4: Financing

Financing Is Not Revenue

Though financing has become a popular topic for discussion, and there are a number of financing mechanisms, the Transportation Infrastructure Finance and Innovation Act (TIFIA) chief among them, it should be noted that financing mechanisms are by and large project delivery mechanisms that utilize future revenue in order to expedite current projects. This process necessitates an available future revenue source that can be utilized to pay off the loan or bond buyers.

Mode Share Shift?: If Used Accelerate a Suite of Projects

As a result, financing will likely only significantly shift mode share, and therefore positively impact farebox recovery if the financing is used to accelerate a suite of projects that will provide significant new transit options in a greatly reduced period of time.

Types and Terms

Two types of financing are currently receiving the most attention: 1) direct loans, such as TIFIA; and 2) tax credit bonds, such as Build America Bonds, and the proposed America Fast Forward bond program.

TIFIA

TIFIA provides loans at low-interest rates and relatively easy repayment terms. Though the program has been mostly utilized for toll projects, some significant transit projects have been funded, including San Francisco's Transbay Transit Terminal, Denver's Union Station, and Los Angeles Crenshaw light rail line.

Build America Bonds/America Fast Forward

Though discontinued, the Build America Bond program offered participants significant savings over traditional tax exempt bonds. As a result, there is a push to once again provide tax credit bonds, the latest proposal is known as America Fast Forward.

The ADA Commitment: Mobility and Independence

In response to transit board members' desires to learn more about accessibility in public transit and best practices regarding implementation of the ADA, APTA's Transit Board Members Committee created an ADA subcommittee. Its mission is to assist transit board members in becoming more effective policymakers regarding ADA related issues. Developed by Easter Seals Project ACTION and APTA, the handbook, *ADA Essentials for Transit Board Members,* is a great resource.

The handbook is available on APTA's website at: www.apta.com/resources/bookstore/Documents/1_ADA%20Handbook_Jan2011.pdf

The handbook is also available at the Easter Seals Project ACTION website: www.projectaction.org/ResourcesPublications/BrowseOurResourceLibrary/ResourceSearchResults.aspx?org=a2GSpnDbruI=&query=Essentials

For resources and information, you'll want to view the section, "What is the Americans with Disabilities Act (ADA)?" at this Easter Seals Project ACTION URL: www.projectaction.org/TransportationtheADA/WhatistheADA.aspx

Summary of the ADA Law and Background

The Americans with Disabilities Act of 1990 (ADA), increasingly recognized as one of the most significant federal civil rights bills enacted in the 20th Century, guaranteed equal opportunity for people with disabilities in employment, public transportation, and public accommodations (such as stores, shopping malls, restaurants, hotels, government services, and telecommunications). All programs, activities, and services provided or made available by state and local government including public transportation are prohibited from discriminating on the basis of disability, regardless of whether or not those entities receive federal financial assistance.

The law is comprised of four titles addressing various types of discrimination. Title I bans discrimination in employment; Title II covers state and local government services; Title III focuses on goods, services, places of public accommodation, and commercial facilities; and Title IV covers telecommunications. The ADA Title II covers publicly funded transportation, such as bus, rail, and ferries that offer service on a regular basis. The ADA does not include air travel for persons with disabilities because the Air Carrier Access Act of 1986 addresses accommodation of passengers with disabilities in commercial air carriers.

Since the passage of the ADA, reliance on accessible public transportation continues to grow. Thanks to advances in technology and expansion of accessible transit services, public transit riders with disabilities have enjoyed increased freedom, choice, mobility and independence. In the past, the primary destinations for a rider with a disability tended to have been medical facilities or other essential services. Now, destinations are as varied as those of non-disabled riders, including work, school,

shopping and recreational destinations. As a direct result of the ADA, countless persons with disabilities have successfully transitioned to living independently in their own homes and have made significant contributions to the economic vitality of their communities.

Public transportation agencies have come a long way in providing service to persons with disabilities. From 1995 to 2011, the percentage of buses that are accessible increased from 60 percent to 99 percent. In the same period, the accessible portion of the commuter rail fleet went from 43 percent to 85 percent, the light rail fleet from 49 percent to 88 percent, the heavy rail fleet from 83 percent to 99 percent, and the trolleybus fleet from 47 percent to 100 percent. Vehicles with automated stop announcements represent 53 percent of the nation's bus fleet, 30 percent of the commuter rail fleet, 55 percent for heavy rail, and 73 percent for light rail.

The following is a summary of some of the ADA's fundamental transit provisions:

- All new public transportation buses and rail cars must be accessible to individuals with mobility, hearing, and vision disabilities.
- Retrofitting old vehicles was not mandatory.
- When purchasing or leasing used or remanufactured buses, good faith efforts must be made to procure accessible vehicles.
- Requirements are the same when private contractors provide public transport service.
- Accessibility features are required to assist persons with mobility, sensory, and cognitive disabilities.

Bus Service

- Buses must have a lift or ramp as a means of providing access to wheelchair users and at least two wheelchair securement devices. Standees and other individuals with disabilities who are not using wheelchairs must be allowed to use the lift or ramp to enter the vehicle.
- All wheelchairs that fit on the lift and their users shall be transported, even if the securement does not fit the wheelchair. The driver must assist with securing the wheelchair upon request or when necessary.
- Providers must have regular maintenance checks of lifts, ramps, and kneeling features. When an accessibility feature is out of order, reasonable steps must be taken to accommodate individuals who would have used the feature and repair the feature promptly. If the headway to the next accessible vehicle is longer than 30 minutes, the agency must provide prompt transportation.
- Operators must report an inoperative feature and the agency must remove the vehicle from service by the next day. If no spare vehicle is available and service levels would be reduced without the vehicle with the inoperable accessibility feature, the vehicle may remain in service five days in a service area of 50,000 or less in population, or three days in an area of more than 50,000 population.
- The operator must allow a person to board using the lift, ramp, or kneeling feature unless the feature cannot be used or would be damaged at the stop, or the stop is unusable altogether.
- The operator may not require individuals with disabilities to use the priority seats, but must ask others to move from them or the securement locations when needed.

- Bus stops along fixed routes must be announced at transfer points, major intersections, destinations, any requested stop, and at intervals along the route sufficient to all persons with vision disabilities to be oriented to their locations.

Paratransit Service Near Fixed-Route Bus Lines

- With the exception of commuter bus routes (e.g., limited stops suburb to downtown) and university transportation, complementary paratransit service for those unable to use fixed-route services must be available within ¾ mile on each side of the fixed bus route or core areas near routes. The hours and days of service must be the same as the fixed-route service and there are no restrictions relating to trip purpose.
- If an attendant is needed to travel, the attendant rides free. In addition, one associate may ride at the same fare as the eligible rider.
- The fares may not be more than twice the full fixed-route fare (not a discounted fare). Higher fares are permitted for bulk trips guaranteed to social service agencies.
- Paratransit service is not required beyond the point of 'undue financial burden'—a term that is strictly interpreted by the U.S. DOT.
- Eligibility to ride the paratransit service is functional; residency is not a factor. Eligibility must be determined within 21 days of completed application or the riders have presumptive eligibility. The process may include testing or functional evaluations and there is an appeals process. The passenger must receive written documentation of their eligibility. Visitors who provide eligibility documentation from another city or have documentation of residence and disability (if it is not apparent) may ride paratransit for 21 days in a 1-year period.

  Category 1, Eligibility—people with physical or mental impairments who cannot use the fixed-route buses—includes, for example, people with cognitive disabilities who don't know where to get off the bus or how to get to their destination without help or blind persons who have not had mobility training to get to their destination.

  Category 2—people who can use an accessible bus—includes, for example, a wheelchair user who transfers from an accessible route to a non-accessible route.

  Category 3—people with specific impairments that prevent travel to or from the boarding or alighting location—includes, for example wheelchair users who cannot travel to the fixed-route buses when it snows and need paratransit, but can use the regular bus otherwise.

- Eligibility may vary for different trips or at different times.
- Suspensions of passenger eligibility may be made for repeatedly missing trips and there must be an appeals process.

Rail Service

- On Amtrak/intercity rail, the number of wheelchair spaces must equal twice the number of cars on the train, but no more than four spaces per car. Accessible dining cars should adjoin accessible passenger cars.
- All stations must be accessible by 2010—20 years after the 1990 ADA law was enacted.
- All new passenger stations must be accessible and older key stations must be retrofitted for accessibility unless an exception was granted.
- On commuter, rapid, and light rail, new cars must be accessible. There must be at least one accessible car per train.
- Key stations—where passenger boardings are 15 percent or more above average for the system—must be made accessible, with extensions for extraordinarily expensive modifications . . . from 1993 to 2013 (20 years) for commuter rail and to 2023 (30 years) for rapid and light rail.

Level Boarding—Commuter & Intercity Rail Stations

- The idea of enhanced accessibility and increased mobility options for riders with disabilities has the industry's full support. The intention is to provide service in the most integrated setting that is reasonably achievable.
- Rail station requirements for new or altered commuter, intercity and high-speed stations platforms:
- Where no track through station is shared with freight, full-length level-entry boarding is required
- Where track through station is shared with freight, a passenger railroad must meet performance standard:
  - Passengers with disabilities, including wheelchair users, can access each accessible train car that other passengers can access
  - If it cannot provide full-length level-entry boarding at such a station, a passenger railroad can choose to meet performance standard through use of car-borne lifts, station-based lifts, or mini-high platforms (with multiple stops if needed)
  - Railroad must provide plan to FTA or FRA explaining how its chosen means of meeting performance standard will work

Paratransit Service Near Rail

- Paratransit is required for light rail and rapid rail within a 1.5-mile diameter ($^3/_4$ mile radius) circle around each station. At end stations and outlying areas, the diameter may be widened to three miles.
- Service is required to any point in one circle to any point in another circle.
- Eligibility is the same as for bus, except for persons who can use an accessible rail system but key stations are not yet accessible. Transit agencies' obligations are only to provide transportation between concentric circles centered on key stations.

Factors and Best Practices Regarding ADA Implementation

Significant and challenging factors of service that transit board members and their agencies work with include:

- Financial Resources & Increasing Efficiency—ADA transportation providers must balance their financial resources with the demands for paratransit services and zero-denial policy. Rising fuel and labor-related costs have resulted in an increasingly significant financial commitment for transit systems. One transit system reported that its paratransit service cost 18 percent of its operating budget and represented only three percent of passenger boardings. Meeting all of the demand for paratransit service with quality customer service while maintaining a budget is a continual, good-faith effort.

- Pedestrian Environment, Planning, and Zoning—Many locations are setting a high priority for developing the environments and services that people with disabilities need to get around. Zoning and community design must consider areas in which services are close by and accommodations are available for people with disabilities of all ages and with varying degrees of disability. Planning projects in land use and transportation need to prioritize the mobility of these populations and provide pedestrian accessibility. When people are close to work, medical care, grocery and drug stores, restaurants, shopping, and entertainment, many don't need a car and transit can be more frequent and cost-effective.

- Bus and Rail Stop Announcements—Implementing the bus stop announcement requirements continues to be a challenge for many fixed-route bus and rail systems and can be an impediment to travel for individuals with both vision and mobility disabilities.

  Bus—Without purchasing automated bus stop-calling technology, one provider worked with the operators union to agree on a new secret rider program to monitor the drivers' stop calling. At first, the secret riders only collected and shared the information, providing a grace period so everyone could become comfortable with the system. Only after the grace period expired were the results used in connection with employee discipline—initial warnings, then citations, then work suspensions or eventually, termination. The success rate in bus stop-calling is often well over 90 percent. Performance below 75 percent is subject to discipline.

  Rail—With center platforms and north/south trains on either side of one station, visually impaired riders had no way to know which side was which. The agency arranged for male voices to announce trains in one direction and female voices to announce trains going the other direction.

- Wheelchair Size & Securement—Wheelchair securement issues include the difficulty of securing some mobility devices and ensuring that operators properly secure them. With the growing trend of funding agencies mandating purchase of the least expensive wheelchair, and therefore often larger wheelchair, transporting such wheelchairs may become an issue if the wheelchair cannot fit on the vehicle ramp or lift.

The Department of Transportation final rule, Transportation for Individuals with Disabilities at Intercity, Commuter, and High Speed Passenger Railroad Station Platforms; Miscellaneous Amendments, 49 CFR Parts 37 & 38, Docket OST-2006-23985 (in the Federal Register Sept. 19, 2011 at: www.gpo.gov/fdsys/pkg/FR-2011-09-19/pdf/2011-23576.pdf) included the following:

- If the service provider's equipment (lift and space inside the vehicle) will safely accommodate a wheelchair of greater size and weight than the "common wheelchair" definition (maximum 600 lbs. including the passenger, dimensions 30 × 48 in.) the provider should carry the passenger in her or his wheelchair.
- Limitations on carrying the larger or heavier wheelchair and passenger must be based on actual risks rather than speculations or generalizations.
- Wheelchairs are now defined as three- *or more* wheeled devices (versus the previous three or four wheels).
- A new category of "other powered mobility devices" (OPMD) is not necessarily required to be accommodated but should be served unless there is a limitation due to safety requirements. The transportation provider bears the burden of proof in this case.
- To justify a limitation of providing service to a passenger with a disability, the provider must show that the passenger and/or mobility device would present a direct threat to the safety or health of others (not to her or himself) that cannot be eliminated by modifying policies or procedures.

- Paratransit Managers and Employees—Many transit agencies are challenged to recruit and retain paratransit service managers and ensure that they have parity in pay, benefits, and status in the organization. Some systems noted that there is a discrepancy between the wages and benefits of paratransit and fixed-route operators.

- Eligibility—If transit agencies provide only full-time paratransit or no eligibility, rather than some form of conditional or functional trip-by-trip eligibility, riders tend to fear losing their paratransit eligibility and tend not to try using the fixed-route service.

The U.S. DOT and FTA have provided regulations and policy guidance. In the *Federal Register*, September 6, 1991, DOT published 49 CFR Parts 27, 37 and 38, Transportation for Individuals with Disabilities; Final Rule, implementing the transportation provisions of the ADA. Other amended rules have been issued.

Other information board members may want to review:

- The FTA is in a two-year process of issuing 12 chapters of guidance regarding the ADA to clarify and offer examples of good practices.
- The U.S. DOT final rule, Transportation for Individuals with Disabilities at Intercity, Commuter, and High Speed Passenger Railroad Station Platforms; Miscellaneous Amendments, 49 CFR Parts 37 & 38, Docket OST-2006-23985 (in the *Federal Register,* Sept. 19, 2011 at: www.gpo.gov/fdsys/pkg/FR-2011-09-19/pdf/2011-23576.pdf).

- U.S. DOT Disability Law Guidance, Questions and Answers Concerning Wheelchairs and Bus and Rail Service, at www.fta.dot.gov/12325_15055.html
- Disability Rights Education and Defense Fund (DREDF) Topic Guides on ADA Transportation available at www.dredf.org/transportation/ on these subjects:
    - Equipment Maintenance
    - Stop Announcement and Route Identification
    - Eligibility for Paratransit
    - Telephone Hold Time in ADA Paratransit
    - Origin to Destination Service in ADA Paratransit
    - On-time performance in ADA Paratransit
    - No-shows in ADA Paratransit

The ADA services are about people. These specific types of personal services require cooperation of transit agencies and people with disabilities. If providers want the customer to come first, they will remember that each rider has an individual experience. Customer service can be very personal and rewarding; the industry is full of examples of excellent, accessible passenger service.

Please see references for this chapter: 3, 7, 8, 42, 70

Strategic Planning

Boards take the lead role in the strategic planning process, helping to create the future by defining the organization's vision, mission, core values, challenges, opportunities, long- and short-term goals, policies, objectives, processes, and performance evaluation. It's a fresh look . . . a flexible, continuous, and participative process, whether the agency is a small, medium, or large transit provider.

Often, a board retreat is the preferred setting for this collaborative work; this was the case for three-quarters of transit systems surveyed (see below).

From the TCRP Synthesis, *Strategic Planning and Management in Transit Agencies* and the project's 2005 industry survey, transit systems created and used strategic plans as follows:

- All multimodal or large systems with more than 500 buses
- 9 in 10 (90 percent) of medium-sized systems with 101-500 buses
- Three-quarters (74 percent) of smaller transit agencies with 100 or fewer buses

The use had substantially increased over the past 15 years. In 2005, the average was 82 percent of agencies using strategic planning compared with an average of 59 percent in the mid-1980s.

The benefits reported included creating a new vision for the agency; encouraging board and staff members to take a more long-range view; developing new services and restructuring existing services; guiding policymakers and implementers; prioritizing programs and projects; becoming more customer- and market-focused; gaining the input and support of key external stakeholders; and justifying the need for increased funding.

The strategic planning process focuses on three main areas: services, the staff and board, and external relations. Agencies regard their strategic plans as living, evolving, flexible documents and many update their strategic plans annually. Implementing the plan is an important process that should be part of the plan itself.

Examples of portions and summaries of the strategic plans of some APTA-member transit systems may be viewed at: www4.trb.org/trb/onlinepubs.nsf under TCRP Synthesis Reports 59. One transit system's strategic plan is a 1-page document organized into the three main areas above.

About two-thirds of transit agencies employed a consultant's services to conduct pre-retreat interviews; create, disseminate, and analyze questionnaires; summarize the trend analyses and data; and facilitate discussions at the staff level and board retreat.

What is the process? Typically, these are the steps:

1. **Planning to plan**
   This includes the time frame desired for the process through its conclusion, deciding who should be involved, their roles, the series of meetings, their formats, and scheduling. Will there be a task force to drive the process? The task force normally includes a board subcommittee and

the CEO. Will there be a facilitator? How will the facilitator be selected and what will his or her role be? What shall be the deliverables?

The process must be part of the budget which includes staff and facilitator time, expenditures for listening sessions and retreats, AV equipment, food, telephone conference calls, etc.

2. **Analyzing facts and trends**
   These may include: the agency's statistical performance data; business results; results of rider/nonrider, stakeholder, and board surveys and interviews; labor trends and human resources; stakeholder and advocacy analyses; summaries of public hearings, complaints, and public comments; external, demographic, political, social, and economic trends and events; and benchmark comparisons with other transit services and private-sector companies. This analysis helps to answer, "Where are we and what is likely to be ahead of us?"

   One method suggested was to first ask the staff what the board's goals are and second, to ask the board members themselves. A difference in their answers was an immediate indicator about future planning and communications and enabled the facilitator to gain an independent sense to help the agency become a cohesive team.

3. **Assessing the agency's strengths, weaknesses, opportunities, and threats (SWOT analysis)**

4. **Creating the organizational vision and writing it down as a vision statement**
   Some fill in their ideas: "If we were successful in X years, the world would look like this . . . and our mission to accomplish this vision would be . . . "

5. **Developing a mission statement, goals, and objectives**
   The advice is to make early decisions on the meaning of words rather than continue the debate about the difference between the vision and mission, or goals and objectives.

   One organization's strategic goals were to: create a safety conscious culture throughout the agency, its customers and business partners; improve transit services; attract, develop, and retain employees; create a positive image of the organization; deliver quality capital projects on time and within budget; provide leadership for the region's mobility agenda through responsive planning and resource allocation; and improve the efficiency and effectiveness of the agency.

   Often, the board is not involved in the setting of objectives, assigning the tactical work of objectives and action steps to staff members. The board will want to review the work to see that the objectives are specific, measurable, attainable, results-oriented, and time-determined (SMART).

6. **Identifying core values**
   For examples, included in its strategic plan, APTA's core values are:
   - Leadership
   - Integrity
   - Excellence

- Diversity
- Inclusiveness
- Fairness and Equity
- Teamwork
- Professionalism
- Accountability

7. Defining the strategic issues facing the agency

8. Forming strategic initiatives to manage the issues

9. Clarifying the desired outcomes

10. Writing the plan

Shorter, concise statements are best. Shorter plans are better than longer ones.

11. Planning to implement the plan

- Written agreement about when and how to update the strategic plan with milestones to report progress and evaluate the plan's success will help ensure that the plan will be implemented.
- Quarterly staff reports to the board are recommended.
- Board committees that are responsible for leadership in the specific areas should plan to relate their work to the strategic plan and report accordingly to the full board.
- Community members who will help move the transit system's goals forward should be identified. Specific staff and board members would be assigned to stay in touch with them.

Annual plan updates should be scheduled so that the strategic plan reflects changes and new opportunities that arise.

Please see references for this chapter: 32, 33, 37, 38

MPOs

What is a Metropolitan Planning Organization?

An MPO is transportation policy-making and planning organization with representatives of local, state and federal government and transportation authorities. MPOs serve as a forum for cooperative decision-making involving key stakeholders. It is a federal requirement in Census urbanized areas of 50,000 or more in population.

The policy committee or board is the designated MPO, not the staff.

MPOs can stand alone or be part of a broader council of governments, while others could be part of state departments of transportation.

MPO Structure

Policy Committees and Boards

For Transportation Management Areas (areas with more than 200,000 in population), the MPO shall consist of local elected officials, officials of public agencies that administer or operate major modes of transportation in the metropolitan area, including representation by providers of public transportation, and appropriate state officials.

For all MPOs, designation occurs by agreement between the governor and local governments representing at least 75 percent of the population including the largest incorporated city.

Policy committees determine their own representation and decision-making procedures; some require consensus, others require a majority.

Planning or Technical Committees

Many MPO structures have a planning or technical committee that serves as an advisory body to the MPO board for transportation issues, technical in nature.

The technical committee is where much of the "action" occurs. The committee oversees MPO technical work and develops recommendations on projects and programs for MPO board consideration.

Many committees have standing subcommittees, for example Transportation Improvement Program, transit, and program administration to name a few.

In typical MPO structure, MPOs have a community advisory committee which acts in an advisory capacity to an MPO board as liaison to the public. It may assist in managing and organizing public meetings and comments. They may include representatives of stakeholder and advocacy groups like neighborhood, environmental, bicycle and pedestrian, or transit users.

Why Have an MPO?

Planning's job is to elicit the region's shared vision for the future. It requires an examination of the region's future investment alternatives. Transportation investment means allocating scarce transportation funding resources that achieve outcomes that move toward the vision.

There are several federally required products. These include: the Long Range Transportation Plan (LRTP), the Unified Planning Work Program, Transportation Improvement Program (TIP), and Public Participation Plan. Other federal requirements include a Coordinated Public Transit-Human Services Transportation Plan and in TMAs, a congestion management Process. In Clean Air Act non-attainment areas, MPOS must develop an air quality plan. The LRTP and the TIP are subject to conformity analysis.

Moving Ahead for Progress in the 21st Century

MAP-21 does not change the structure but reinforces public transit representation on the MPO. MAP-21 puts new focus on performance-based planning. MPOs now need to be more cognizant of the outcomes of their investments in terms of actual impact on transportation operations and community goals. The old model of Forecast-Plan-Program-Build is no longer appropriate.

Advocacy

Highly visible in their communities, transit board members have access and the ability to work with local leaders, neighborhood groups, organizations, and the media. Their messages support public transportation's contribution to mobility, quality of life, and economic growth, giving evidence of its benefits. The results of the board's advocacy will be greater understanding, transit use, and support.

The advice is to determine the outcomes your agency wants from board communications and outside relationships and what the board member must do to achieve them. Board members will be calling county council presidents, for example, to discuss transit's benefits and convey reasons to support transit.

APTA's advocacy website for the public is at www.publictransportation.org.

Following are persuasive positions for board members to advocate the benefits of public transit—with audiences of riders and non-riders, legislators, voters, and nearly everyone.

Public Transportation Benefits Everyone & the Majority Say They Want Public Transportation: Where Public Transportation Goes, Community Grows

Public transportation improves the quality of life in communities across the country by providing safe, efficient and economical service. It is a vital component for a healthy economy. It benefits the people who use it, but also the community.

In 2014, APTA developed a new advocacy campaign—Where Public Transportation Goes, Community Grows. This is based on research that shows Americans understand that public transportation, in addition to providing mobility and creating jobs, also spurs community growth. Campaign materials can be found at www.publictransportation.org.

The average approval rate for transit/multimodal ballot measures over the last 10 years is 71 percent. Transportation ballot measures pass at twice the rate of all other ballot measures.

Some of the most significant benefits of public transportation are:

Eases Traffic Congestion

Public transportation helps to alleviate the congestion on our nation's increasingly crowded network of roadways. According to a *Texas Transportation Institute Urban Mobility Report*, public transportation reduces traffic delays and costs in America's 85 largest urban areas. In America's most congested areas, transit saved travelers more than one billion hours in travel time. Without public transportation, travel delays would have increased by 27 percent.

Creates and Sustains Jobs

The public transportation industry creates—and sustains—jobs for the nation's economy. In addition to about 400,000 people directly employed by the public transportation industry or directly-related areas—engineering, construction, manufacturing and retail industries—other jobs are created.

Provides Access to Jobs

Almost half of the nation's Fortune 500 companies are headquartered in America's transit-intensive metropolitan areas. Examples of cities where companies have located near public transportation are many and include Chicago, Atlanta, and Dallas. Businesses tied to public transportation are experiencing easier employee recruitment, more employee reliability, and less absenteeism and turnover.

Stimulates Economic Development

A new study, *Economic Impact of Public Transportation Investment,* reveals that for every $1 invested in public transit $4 in economic returns is generated. Investment in public transportation will lead to more than 50,700 jobs per $1 billion invested, with 28,900 jobs per $1 billion attributed to productivity gains enjoyed by households and businesses.

Boosts Real Estate Values

Real estate—residential, commercial and business—served by public transportation can command higher rents and maintain higher value than similar properties not as well served by transit. The study released by APTA and the National Association of Realtors (2013), *The New Real Estate Mantra, Location Near Public Transportation*, found that between 2006 and 2011, residential sales prices (near transit) outperformed the region as a whole by over 40 percent in five regions studied: Boston (heavy and commuter rail, bus and BRT), Chicago (heavy/commuter rail and bus), Minneapolis-St. Paul (newer light and commuter rail and bus), Phoenix (newer light rail and bus), and San Francisco (legacy rail and commuter rail). The recession during that period had emphasized the economic implication of housing choices in relation to transportation.

Fosters More Livable Communities

Studies have shown that consumers are willing to pay more for housing located in areas that are walkable, higher density, and have a mix of uses with access to jobs and transit. Public transportation facilities are natural focal points for communities that encourage economic and social activities and strengthen neighborhood centers so they are economically stable, safe, and productive. When people ride public transportation or walk, contact with neighbors tends to increase, helping bring a community closer. Transit-friendly walkable communities reduce reliance on cars and promote higher levels of physical activity. These settings may generate half the automobile trips of similarly sized modern day suburbs.

Provides Mobility for Seniors

By the year 2025, 18 percent of the U.S. population will be 65 and over, and about one in five people 65 and older do not drive. Public transportation is often the only viable way for some senior citizens to get

around. With the coming 'silver tsunami,' of an older population, meeting their transportation needs is a major community objective and a national goal. Public transportation services, including regular route service and mini-buses, represent a lifeline for seniors, linking them with family, friends and a vibrant life. The 2005 White House Conference on Aging ranked ensuring that older Americans have transportation options among the top three priorities.

Provides Access for Rural Areas

Public transportation is equally important to America's rural heartland, where 40 percent of residents have no access to public transportation services and another 25 percent have very little access. Transportation service is critical for rural America's 30 million transit-dependent persons, including senior citizens, low-income families and people with disabilities.

Improves Air Quality

Public transportation plays a vital role in reducing pollution, producing 95 percent less carbon monoxide, more than 90 percent fewer volatile organic compounds, and nearly half as much carbon dioxide and nitrogen oxides for every passenger mile traveled as compared to traveling with private vehicles.

Reduces Energy Consumption

Americans living in areas served by public transportation save 865 million hours in travel time and 450 million gallons of fuel annually in congestion reduction alone. *(Reference 49)*

Saves Money

Public transportation saves money. The average household spends 17.5 cents of every dollar on transportation, 94 percent of which is for buying, maintaining, and operating cars, the largest expense after housing. America's poorest households spend more than 40 percent of take-home pay on transportation. *(Reference 60)* Using transit reduces the needs for additional cars. Annual costs for public transportation are far less than the costs of owning or leasing a car.

Enhances Mobility During Emergencies

The availability of public transportation in emergencies has proven to be critical in maintaining basic mobility and safety for individuals in harm's way. Public transportation has maintained service, helped evacuate threatened areas, and transported emergency personnel during emergencies. One city admitted that it would be impossible to evacuate, should everyone be driving away from an emergency area on the roads and highways; traffic would be generally at a standstill.

Ensures Safety

Public transportation continues to be one of the safest modes of travel in the U.S. Safe travel is a high priority of public transportation systems, federal, state and local governments and APTA. While no one wants to think of fatalities, FTA data show that from 2003 to 2008, deaths per 100 million miles

of passenger travel were 1.42 deaths for motor vehicles (cars, trucks), 0.06 deaths for commuter rail, 0.05 deaths for transit buses, and 0.03 deaths for Amtrak. *(Reference 59)*

The public transportation industry and APTA continue to promote partnerships in safety and security. APTA's safety and security management programs and peer reviews are recognized internationally and provide leadership in program development, benchmarking of effective practices, and delivery of safety and security program audits of transit systems. These comprehensive programs examine every area of transit planning, construction, acquisition, operations and maintenance to ensure the safety of our public transportation passengers and employees.

Why Is Public Transportation Safe?

- Transit vehicle operators are highly trained to drive defensively and anticipate potential safety problems.
- Public transportation vehicles are generally much larger and more substantially built than personal automobiles or vans.
- Most people on rail cars and busways travel on separate rights-of-way.
- Light rail, commuter rail and cable cars encounter grade crossings, many of which are protected by crossing gates.
- Passengers ride approximately 3-4 feet above the ground, offering protection from the most common area of impact.
- Providing more security than roadways, many transit systems feature new visual, voice and data communications systems linking vehicles, stations and riders with state-of-the-art operations centers.

Growing Investment Needs

America's transportation system has 4 million miles of roads, 117,000 miles of rail, 600,000 bridges, 11,000 miles of public transit including more than 5,000 miles of rail transit, more than 3,000 rail stations, 19,000 airports, and 26,000 miles of commercially navigable waterways. As much of that infrastructure was built decades ago, every American, elected official, and business must care about the future of our transportation network. *(Reference 61)*

Well designed infrastructure investments raise economic growth, productivity, and land values. Now there is little direct private investment in highway and transit systems due to the current method of funding infrastructure which lacks mechanisms to attract and repay direct private investment in specific infrastructure projects. Proposals to create conditions for greater private sector co-investment in infrastructure projects include a national infrastructure bank. The U.S. Department of the Treasury estimated that about 90 percent of the jobs created by investing in transportation infrastructure would be middle class jobs defined as those paying between the 25th and 75th percentile, mainly in the construction and manufacturing sectors and retail trade. *(Reference 62)*

Funds to Build and Operate Public Transportation

Public transportation funds come from two main sources, capital and operating. Capital funds are used to finance infrastructure needs such as new construction and rehabilitation of existing facilities. Operating funds provide income for operational expenses. In 2011, public transit was a $58 billion industry with $41.3 billion in operating expenditures and $16.7 billion spent on capital investments. *(Reference 3)*

Summary

It is evident that public transportation is a key piece of our nation's transportation system. Congestion is increasing, gas prices are high, and people in record numbers are choosing to use public transportation. People are saying they want more public transportation and they are willing to pay for it, even if it means paying more taxes.

Clearly, America's public transportation network is an economic engine moving the country forward in the 21st Century.

Sources: APTA *Fact Book* and Reference 58

Talking with Congressional Representatives, Senators, and Staff

Many board members know the elected officials who represent them in the U.S. House of Representatives and Senate. One idea to position requests is to frame them in terms of investment rather than funding. Ideas to help board members in working with their representatives follow:

- Work first with APTA to learn the national perspective. Association members have been successful by speaking with one voice. APTA can offer advice on both sides of the issues and help overcome objections.
- Come with three issues that are important to one's agency. This helps focus members on a manageable number of priority issues. By giving members a cause to rally around, they will be more enthusiastic.
- Have talking points, leave briefs and materials. Practice and try role playing.
- Make sure your message is succinct and clear and to the point. Focus on the quality of the meeting.
- Discuss how legislation affects your system, e.g., cutting funding means eliminating X number of routes, and name the areas affected.
- Call congressional offices to schedule meetings. No Mondays or Fridays. Congressional staff pays attention to calls from home and are more likely to assign more senior staff to meet with constituents. Whoever schedules congressional visits should have real contacts and relationships.
- Also make appointments at the Federal Transit Administration or the Federal Railroad Administration.
- A coalition of Chamber members and transit representatives shows solidarity and support. Tie-in with other community groups.
- Make sure everyone gets to their meetings.

- Talk to everyone whether or not they support transit. Know when the members of Congress votes are truly up for grabs.
- Plan related events on the Hill or not far away, so people in your group aren't walking too far.
- Try to get appointments with key agency people—Department of Energy, Department of Education.
- Don't ask for support, ask for action. And provide a reason why it is urgent to act soon.

Mobility Management: Better Integrating Our Travel Options

Personal mobility is among the most valued aspects of the American lifestyle. Historically, however, each component of our surface transportation network—auto use on streets and highways, public transportation, rail, as well as pedestrian and non-motorized facilities—has been developed and operated through varied, often competing arrangements involving both public and private ownership, management and investment.

Mobility management encompasses all of the transportation options within a region:

- by focusing on personalized, customer-oriented services
- by integrating transportation options with user lifestyle needs

Mobility management balances the travel needs of individual users with the operational needs of the entire transportation system. It brings together all transportation modes and makes best use of investment in existing transportation infrastructure. *(Reference 66)* The goal is a seamless transportation network that integrates and coordinates travel information, fare and payment systems as well as the vehicles and personnel that provide services, regardless of who owns the transportation assets.

The emerging challenge for public transportation agencies and transit board members is to consider whether the transit agency's mission should be enlarged from 'traditional' bus, rail and paratransit operations to a broader, more strategic mission of 'managing mobility' by playing a lead role in integrating the full range of personal transportation services, resources and decision-making on a community or region-wide basis. As an example, members of the Canadian Urban Transit Association (CUTA) have embraced this broader vision: "To inspire and influence the evolution of integrated urban mobility."

Recent research here and abroad illustrates how long-standing independence among modes of travel and providers is giving way to cooperative, mutually beneficial ***partnerships*** and ***coordination*** that better reflect and serve customer and community needs. *(References 67 and 68)* Transit agencies in areas as large as San Francisco, CA and Denver, CO and as small as Tompkins County (Ithaca, NY) and others have embraced the broader strategic responsibility to integrate and expand the availability of services. They are leading efforts to manage mobility across modes, across jurisdictions and across organizations while continuing to oversee operation of traditional transit services. *(Reference 69)* To support the broader mobility management role and mission, transit agencies are also embracing other fundamental changes, including:

- Adoption of customer-based measures of performance
- Increased collaboration among various service providers and other interests and actors
- Increased integration among partners of assets, services, information systems, resources, personnel, business systems and functions among partners
- Enhanced information technology to link transit agencies, partners and customers
- Changes in organizational structure to better align the organization with the mobility management mission

Initiatives in any or all of these areas are likely to enhance the transit agency's ability to better manage mobility with the purpose of enhancing the customers' travel experiences while operating more effectively and efficiently in meeting agency goals and community mobility needs.

Please see references for this chapter: 66 to 69.

Sustainability

Introduction

Sustainability, at its core, is a way to make our communities more livable by integrating and balancing economic, social and environmental needs. The transit agency, with its role in linking communities and enabling environmental- and cost-effective mobility, inherently incorporates many of the central concepts of sustainability.

- Employing practices in design and capital construction, such as using sustainable building materials, recycled materials, and solar and other renewable energy sources to make facility infrastructure as 'green' as possible
- Employing practices in operations and maintenance such as reducing hazardous waste, increasing fuel efficiency, creating more efficient lighting and using energy-efficient propulsion systems
- Employing community-based strategies to encourage land use and transit-oriented development designed to increase public transit ridership and promote active transportation activities
- Employing best practices for enhancing training and development pertaining to environmental awareness opportunities
- Incorporating safety and emergency preparedness into best practices to ensure well-being of employees and transit patrons
- Realizing co-benefits of sustainability, including cost savings and increased operational efficiency
- Increasing customer satisfaction and welfare to enhance the choice of transit over modes

APTA Sustainability Commitment

Sustainability initiatives at the agency may reside in any number of departments—environmental compliance, finance, maintenance, community relations, quality assurance, operations, and corporate safety. As sustainability initiatives are generally cross-cutting in nature and require collaboration across the agency, a sustainability "program" that is facilitated by one (or at most two) departments may be more appropriate. It is important to recognize and publicize this notion that sustainability requires the cooperation and participation of all levels of an organization, where every facet and department within an agency has the ability to influence internal and/or external sustainability efforts.

Transit board members, should whenever feasible, advocate for the development of a sustainability program considering agency-specific constraints and culture. An agency's commitment to a core set of actions on sustainability, such as those in APTA's Sustainability Commitment, reflects an agency's larger dedication to the environmental, social, and economic welfare of the agency's staff and the community it serves.

APTA's Sustainability Commitment includes the following core principles:

1. Making sustainability a part of your organization's strategic objectives
2. Identifying a sustainability champion within the organization coupled with the proper human and/or financial resources and mandates
3. Establishing an outreach program (awareness-raising and education) on sustainability for all staff of your organization
4. Undertaking a sustainability inventory of your organization

Safety: A Safe Trip, A Safe Work Place

Public transit as an industry prides itself as the safest means of transportation, and it's a responsibility of transit board members to assure that the promise of a safe trip and a safe work place is being delivered to our customers and employees. How does a board member fulfill this responsibility?

It's a matter of setting the tone that helps create a positive safety culture for the organization. What distinguishes an agency with a good safety record isn't necessarily the age and condition of its equipment but rather the attitude that its employees bring to the job. Safety awareness means not only safe actions but taking responsibility for the actions of others—noticing things that need to be fixed and bringing them to someone's attention. Spreading this culture throughout the organization begins at the top and filters through each level.

Larger, more complex systems may want to create a board safety committee. Board members aren't out there doing safety reviews of buses or rail track, but they need to energize the process. Include safety performance data as part of your routine review of agency performance and the board's performance agreement with its chief executive officer. Since the adoption of MAP-21, federal transit law requires a system of safety oversight through independent safety review agencies. Be sure you know who provides that oversight for your agency and take note of their recommendations. As you visit facilities, be sensitive to their condition—a clean and neat workplace is likely to be a safe one.

Keep safety in mind as you make budget decisions, keeping equipment in a state of good repair and staffing at levels where schedules can be met without fatigue-generating overtime. Take ownership of the agency's System Safety Plan through board action and understanding of the actions it calls for. See to it that any accidents or incidents are investigated so that corrective actions can be taken. When bad things do happen, you can't ignore them or simply look to place blame. Board members must understand the underlying causes and know that the public understands that they are being dealt with.

When good things happen, which should be most of the time, celebrate the victories—schedule recognition for the agency's safety champions . . . the multi-million mile operators and the accident-free work places that set the examples for their peers.

And finally, remember that APTA is here to help. APTA's safety audit programs and peer review panels are tailored to the needs of various size properties and can provide your agency with benchmarking of its performance as compared with its peers. When your neighbors ask you what a board member does, tell them that your top priority is assuring that every rider gets to the end of the ride and every employee gets to the end of the work day in the same condition they were at the beginning. It's what they expect and deserve.

Public Transit System Acronyms

Acronym	System Name	Location
AC Transit	Alameda-Contra Costa Transit District	Oakland, CA
ACE	Altamont Commuter Express	Stockton, CA
BART	San Francisco Bay Area Rapid Transit District	Oakland, CA
BARTA	Berks Area Reading Transportation Authority	Reading, PA
Caltrain	Peninsula Corridor Joint Powers Board	San Carlos, CA
Caltrans	California Department of Transportation	Sacramento, CA
CamTran	Cambria County Transit Authority	Johnstown, PA
CARTA	Charleston Area Regional Transportation Authority	Charleston, SC
CARTA	Chattanooga Area Regional Transportation Authority	Chattanooga, TN
CARTS	Capital Area Rural Transportation System	Austin, TX
CATS	Charlotte Area Transit System	Charlotte, NC
CCRTA	Corpus Christi Regional Transportation Authority	Corpus Christi, TX
Citibus	City Transit Management Company, Inc.	Lubbock, TX
CityLink	Abilene Transit System	Abilene, TX
Community Transit	Snohomish County Public Transportation Benefit Area Corp.	Everett, WA
COAST	Cooperative Alliance for Seacoast Transportation	Dover, NH
COTA	Central Ohio Transit Authority	Columbus, OH
COTPA	Central Oklahoma Transportation & Parking Authority	Oklahoma City, OK
Coast RTA	Waccamaw Regional Transportation Authority	Conway, SC
CTA	Chicago Transit Authority	Chicago, IL
C-TRAN	Clark County Public Transportation Benefit Area Authority	Vancouver, WA
CyRide	Ames Transit Agency	Ames, IA
DART	Dallas Area Rapid Transit	Dallas, TX
DATA	Durham Area Transit Authority	Durham, NC
El Metro	Laredo Metro, Inc.	Laredo, TX
FAX	Fresno Area Express	Fresno, CA
GET	Golden Empire Transit District	Bakersfield, CA

Acronym	System Name	Location
HART	Hillsborough Area Regional Transit Authority	Tampa, FL
HRT	Hampton Roads Transit	Hampton, VA
IndyGo	Indianapolis Public Transportation Corporation	Indianapolis, IN
JATRAN	Jackson Public Transportation Co., Inc.	Jackson, MS
JITI	Japan International Transport Institute	Washington, DC
KAT	Knoxville Area Transit	Knoxville, TN
LANTA	Lehigh and Northampton Transportation Authority	Allentown, PA
LexTran	Transit Authority of Lexington	Lexington, KY
Link Transit	Chelan-Douglas Public Transportation Benefit Area	Wenatchee, WA
LYNX	Central Florida Regional Transportation Authority	Orlando, FL
MARTA	Metropolitan Atlanta Rapid Transit Authority	Atlanta, GA
MATA	Memphis Area Transit Authority	Memphis, TN
MATS	Muskegon Area Transit System	Muskegon Hts, MI
MAX	City of Modesto Modesto Area Express	Modesto, CA
MBTA	Massachusetts Bay Transportation Authority "The T"	Boston, MA
Metra	Metropolitan Rail	Chicago, IL
Metro	Los Angeles Metro	Los Angeles, CA
Metro	River Valley Metro Mass Transit District	Kankakee, IL
Metro	King County Department of Transportation/ Metro Transit	Seattle, WA
Metro	Metro	St. Louis, MO
MetroLink	Rock Island County Metropolitan Mass Transit District	Rock Island, IL
MTA	Des Moines Metropolitan Transit Authority	Des Moines, IA
MTA	Metropolitan Transportation Authority	New York, NY
MTC	Metropolitan Transportation Commission	Oakland, CA
MTS	Metropolitan Transit System	San Diego, CA
Muni	San Francisco Municipal Transportation Agency (SFMTA)	San Francisco, CA
MuscaBus	Muscatine City Transit System	Muscatine, IA
NICTD	Northern Indiana Commuter Transportation District	Chesterton, IN
NJ TRANSIT	New Jersey Transit Corporation	Newark, NJ
OPTA	Ohio Public Transit Association	Columbus, OH

Acronym	System Name	Location
Pace	Pace Suburban Bus	Arlington Hts, IL
PARTA	Portage Area Regional Transportation Authority	Kent, OH
PPTA	Pennsylvania Public Transportation Association	Harrisburg, PA
RT	Sacramento Regional Transit District	Sacramento, CA
RTA	Regional Transportation Authority	Chicago, IL
RTA	Greater Cleveland Regional Transit Authority	Cleveland, OH
RTA	Riverside Transit Agency	Riverside, CA
RTD	Regional Transportation District	Denver, CO
SamTrans	San Mateo County Transit District	San Carlos, CA
SCAG	Southern California Association of Governments	Los Angeles, CA
SCAT	Sarasota County Area Transit	Sarasota, FL
SCT	South Central Illinois Mass Transit District	Centralia, IL
S.E.A.T.	South East Area Transit	Zanesville, OH
SEPTA	Southeastern Pennsylvania Transportation Authority	Philadelphia, PA
SMART	Sonoma/Marin Area Rail Transit	Santa Rosa, CA
SMART	Suburban Mobility Authority for Regional Transportation	Detroit, MI
SORTA	Southwest Ohio Regional Transit Authority/Metro	Cincinnati, OH
SPARTA	Transit Management of Spartanburg, Inc.	Spartanburg, SC
STARS	Saginaw Transit Authority Regional Services	Saginaw, MI
START	Southern Teton Area Rapid Transit	Jackson, WY
TAM	Transportation Association of Maryland, Inc.	Salisbury, MD
TANK	Transit Authority of Northern Kentucky	Fort Wright, KY
TARC	Transit Authority of River City	Louisville, KY
TCAT	Tompkins Consolidated Area Transit	Ithaca, NY
The Bus	Merced County Transit	Merced, CA
The Rapid	Interurban Transit Partnership	Grand Rapids, MI
The T	Fort Worth Transportation Authority and also Massachusetts Bay Transportation Authority	Fort Worth, TX, and Boston, MA
TRANSPO	South Bend Public Transportation Corporation	South Bend, IN
Tri Delta Transit	Eastern Contra Costa Transit Authority	Antioch, CA

Acronym	System Name	Location
TriMet	Tri-County Metropolitan Transportation District of Oregon	Portland, OR
UTA	Utah Transit Authority	Salt Lake City, UT
VRE	Virginia Railway Express	Alexandria, VA
WHEELS	Livermore/Amador Valley Transit Authority	Livermore, CA
WMATA	Washington Metropolitan Area Transit Authority	Washington, DC
WTS	Waco Transit System	Waco, TX

General Acronyms

AAR	Association of American Railroads
AASHTO	American Association of State Highway and Transportation Officials
ACT	Association for Commuter Transportation
ADA	Americans with Disabilities Act
AMPO	Association of Metropolitan Planning Organizations
ANSI	American National Standards Institute
APA	American Planning Association
APTA	American Public Transportation Association
APTF	American Public Transportation Foundation
AREMA	American Railway Engineering and Maintenance of Way Association
ARTBA	American Road and Transportation Builders Association
ASCE	American Society of Civil Engineers
ASTM	American Society for Testing and Materials
ATM	Americans for Transportation Mobility
ATSC	American Transit Services Council
ATU	Amalgamated Transit Union
CENELEC	European Committee for Electrotechnical Standardization
CFTE	Center for Transportation Excellence
COMTO	Conference of Minority Transportation Officials
CTAA	Community Transportation Association of America
CUTA	Canadian Urban Transit Association
DOT	Department of Transportation
EIA	Electronics Industry Association
FHWA	Federal Highway Administration
FRA	Federal Railroad Administration
FTA	Federal Transit Administration
IACVB	International Association of Convention and Visitor Bureaus
IBEW	International Brotherhood of Electrical Workers
IBTTA	International Bridge, Tunnel and Turnpike Association

IEC	International Electrotechnical Commission
IEEE	Institute of Electrical and Electronics Engineers
IISTPS	Norman Mineta International Institute for Surface Transportation Policy Studies
ISAC	Information Sharing and Analysis Center
ISO	International Standards Organization
ISTEA	Intermodal Surface Transportation Efficiency Act
ITE	Institute of Transportation Engineers
ITI	Intermodal Transportation Institute (University of Denver)
ITRE	Institute for Transportation Research and Education at North Carolina State University
ITS	Intelligent Transportation Society of America
MAP-21	Moving Ahead for Progress in the 21st Century
MTI	Mineta Transportation Institute
NACo	National Association of Counties
NAPTA	National Alliance of Public Transportation Advocates
NARC	National Association of Regional Councils
NARUC	National Association of Regulatory Utility Commissioners
NAS	National Academies of Sciences
NATSA	North American Transit Services Association
NATSCO	North American Transit Supply Corporation
NCSL	National Conference of State Legislatures
NEMA	National Electrical Manufacturers Association
NFPA	National Fire Prevention Association
NLC	National League of Cities
NOAA	National Oceanic and Atmospheric Administration
NPRM	Notice of Proposed Rulemaking
NTD	National Transit Database
NTI	National Transit Institute (Rutgers University)
PPS	Project for Public Spaces
PRESS	Passenger Rail Equipment Safety Standards
PTI	Pennsylvania Transportation Institute at Penn State University
R~V	Rail~Volution

SAE	Society of Automotive Engineers
STPP	Surface Transportation Policy Project
TCIP	Transit Communication Interface Profile
TCRP	Transit Cooperative Research Program (sponsored by FTA)
TDC	Transit Development Corporation
TRB	Transportation Research Board
TSA	Transportation Security Administration (Homeland Security)
TTCI	Transportation Technology Center Inc. (subsidiary of the AAR)
TWU	Transport Workers Union
UITP	International Association of Public Transport
U.S. DOT	U. S. Department of Transportation
WATIR	Washington Area Transit Industry Representatives
WTS	Women's Transportation Seminar

Glossary

Definitions are grouped by topic in these categories:

- General Definitions
- Employee and Labor Definitions
- Energy Use and Vehicle Power Definitions
- Financial—Capital Expense Definitions
- Financial—Operating Expense Definitions
- Financial—Passenger Fare Structure Definitions
- Financial—Revenue Definitions
- Infrastructure—Passenger Station Definitions
- Infrastructure—Rights of Way and Maintenance Facility Definitions
- Mode of Service Definitions
- Operating Data—Service Supplied Definitions
- Passenger Data—Service Consumed Definitions
- Service Availability and Commute Mode Definitions
- Vehicle Characteristics Definitions
- Vehicle Equipment Definitions

General Definitions

Public Transportation (also called **transit**, **public transit**, or **mass transit**) is transportation by a conveyance that provides regular and continuing general or special transportation to the public, but not including school buses or charter or sightseeing services.

Transit Agency (also called **transit system**) is an entity (public or private) responsible for administering and managing transit activities and services. Transit agencies can directly operate transit service or contract out for all or part of the total transit service provided. When financial and oversight responsibility is with a public entity, it is a **public transit agency**. When more than one mode of service is operated, it is a **multimodal transit agency**.

Employee and Labor Definitions

Capital Employee is a transit agency employee whose labor hour cost is reimbursed under a capital grant or is otherwise capitalized. Generally, only large transit agencies have such employees. Employees of contractors and suppliers of products are not included.

Employee is a person who works for a transit agency, including employees of providers of purchased transportation service.

Employee Compensation is the sum of the amount of pay employees receive in salaries and wages plus the cost to the transit agency of fringe benefits to employees and employment related tax payments. Only compensation for employees of the transit agency is included; compensation for employees of purchased transportation service providers is reported in purchased transportation expense.

Fringe Benefits are payments to employees for time not actually worked and the cost of other employee benefits to the transit agency. Payment for time not actually worked includes payments to the employee for vacations, sick leave, holidays, and other paid leave. Other benefits include transit agencies payments to other organizations for retirement plans, social security, workmen's compensation, health insurance, other insurance, and other payments to other organizations for benefits to employees. Only fringe benefit payments for employees of the transit agency are included; fringe benefit payments for employees of purchased transportation service are reported in purchased transportation expense

General Administration Employee is an operating employee who is an executive, professional, supervisory, or secretarial transit system person engaged in general management and administration activities: preliminary transit system development, customer services, promotion, market research, injuries and damages, safety, personnel administration, general legal services, general insurance, data processing, finance and accounting, purchasing and stores, general engineering, real estate management, office management and services, general management, and planning.

Non-Vehicle Maintenance Employee is an operating employee who is an executive, professional, supervisory, or secretarial transit system person engaged in non-vehicle maintenance, a person providing maintenance support to such persons for inspecting, cleaning, repairing and replacing all components of: vehicle movement control systems; fare collection and counting equipment; roadway and track; structures, tunnels, and subways; passenger stations; communication system; and garage, shop, operating station, general administration buildings, grounds and equipment. In addition, it includes support for the operation and maintenance of electric power facilities.

Number of Employees is the number of actual persons directly working for a transit agency, regardless of whether the person is full-time or part-time. Persons employed by agencies contracting to the transit system are not counted.

Operating Employee is an employee engaged in the operation of the transit system. Operating employees are classified into four categories describing the type work they do: general administration, non-vehicle maintenance, vehicle maintenance, and vehicle operations.

Salaries and Wages are payments to employees for time actually worked. Only salaries and wages for employees of the transit agency are included; salaries and wages for employees of purchased transportation service providers are reported in purchased transportation expense.

Total Compensation is the sum of salaries and wages and fringe benefits. Only compensation for employees of the transit agency is included; compensation for employees of purchased transportation service providers is reported in purchased transportation expense.

Vehicle Maintenance Employee is an operating employee who is an executive, professional, secretarial, or supervisory transit system person engaged in vehicle maintenance, a person performing inspection and maintenance, vehicle maintenance of vehicles, servicing functions for revenue and service vehicles, and repairing damage to vehicles resulting from vandalism or accidents.

Vehicle Operations Employee is an operating employee who is an executive, professional, or supervisory transit system person engaged in vehicle operations, a person providing support in vehicle operations activities, a person engaged in ticketing and fare collection activities, or a person engaged in system security activities.

Energy Use and Vehicle Power Definitions

Alternate Power is fuel or electricity generated from fuel that is substantially not petroleum.

Electric Power Consumption is the amount of electricity used to propel transit vehicles, also called **propulsion power**. Does not include electricity used for lighting, heating, or any use other than propulsion power.

Fossil Fuel is any fuel derived from petroleum or other organic sources including diesel fuel, compressed natural gas, gasoline, liquefied natural gas, liquid petroleum gas or propane, and kerosene.

Generated by Transit System [electric power] is propulsion power generated in facilities owned by the transit agency of a company of which the transit system is a subsidiary. These data were last reported in 1957. Prior to that time electric railways had been owned by power generation companies.

Purchased [electric power] power is propulsion power purchased from commercial power generation companies that are not affiliated with the electric railway. These data were last reported in 1957. Prior to that time electric railways had been owned by power generation companies.

Financial—Capital Expense Definitions

Capital Expenses are expenses related to the purchase of equipment. Equipment means an article of non-expendable tangible personal property having a useful life of more than one year and an acquisition cost which equals the lesser of: the capitalization level established by the government unit for financial statement purposes or $5,000. Capital expenses do not include all expenses which are eligible uses for federal capital funding assistance; some of those expenses are included with operating expenses in the National Transit Database accounting system used herein.

Facilities capital expenses include administration, central/overhaul maintenance facilities, light maintenance and storage facilities, and equipment of any of these items.

Other capital expenses include furniture, equipment that is not an integral part of buildings and structures, shelters, signs, and passenger amenities (such as benches) not in passenger stations.

Rolling Stock capital expense is expense for the revenue vehicles used in providing transit service for passengers. The term revenue vehicles includes the body and chassis and all fixtures and appliances inside or attached to the body or chassis, except fare collection equipment and revenue vehicle movement control equipment (radios). For rubber tired vehicles, it includes the cost of one set of tires and tubes to make the vehicle operational, if the tires and tubes are owned by the transit agency.

Financial—Operating Expense Definitions

Operating Expenses are the expenses associated with the operation of the transit agency, and classified by function or activity and the goods and services purchased. It is the sum of either the functions or the object classes listed below.

An **Operating Expense Function** is an activity performed or cost center of a transit agency. The four basic functions are:

> **General Administration** includes all activities associated with the general administration of the transit agency, including transit service development, injuries and damages, safety, personnel administration, legal services, insurance, data processing, finance and accounting, purchasing and stores, engineering, real estate management, office management and services, customer services, promotion, market research and planning.
>
> **Non-Vehicle Maintenance** includes all activities associated with facility maintenance, including: maintenance of vehicle movement control systems; fare collection and counting equipment; structures, tunnels and subways; roadway and track; passenger stations, operating station buildings, grounds and equipment; communication systems; general administration buildings, grounds and equipment; and electric power facilities.
>
> **Vehicle Maintenance** includes all activities associated with revenue and non-revenue (service) vehicle maintenance, including administration, inspection and maintenance, and servicing (cleaning, fueling, etc.) vehicles.
>
> **Vehicle Operations** includes all activities associated with the subcategories of the vehicle operations function: transportation administration and support; revenue vehicle operation; ticketing and fare collection; and system security.

An **Operating Expense Object Class** is a grouping of expenses on the basis of goods and services purchased. Nine Object Classes are reported as follows:

> **Casualty and Liability Costs** are the cost elements covering protection of the transit agency from loss through insurance programs, compensation of others for their losses due to acts for which the transit agency is liable, and recognition of the cost of a miscellaneous category of corporate losses.
>
> **Employee Compensation** is the sum of "Salaries and Wages" and "Fringe Benefits."

Fringe Benefits are the payments or accruals to others (insurance companies, governments, etc.) on behalf of an employee and payments and accruals direct to an employee arising from something other than a piece of work.

Materials and Supplies are the tangible products obtained from outside suppliers or manufactured internally. These materials and supplies include tires, fuel and lubricants. Freight, purchase discounts, cash discounts, sales and excise taxes (except on fuel and lubricants) are included in the cost of the material or supply.

Other Operating Expenses is the sum of taxes, miscellaneous expenses, and expense transfers.

Purchased Transportation is transportation service provided to a public transit agency or governmental unit from a public or private transportation provider based on a written contract. Purchased transportation does not include franchising, licensing operation, management services, cooperative agreements or private conventional bus service.

Salaries and Wages are the pay and allowances due employees in exchange for the labor services they render in behalf of the transit agency. The allowances include payments direct to the employee arising from the performance of a piece of work. Also called "Labor."

Services include the labor and other work provided by outside organizations for fees and related expenses. Services include management service fees, advertising fees, professional and technical services, temporary help, contract maintenance services, custodial services and security services.

Utilities include the payments made to various utilities for utilization of their resources (e.g., electric, gas, water, telephone, etc.). Utilities include propulsion power purchased from an outside utility company and used for propelling electrically driven vehicles, and other utilities such as electrical power for purposes other than for electrically driven vehicles, water and sewer, gas, garbage collection, and telephone.

Total Operating Expense is the sum of all the object classes or functions.

Financial—Passenger Fare Structure Definitions

Adult Base Cash Fare is the minimum cash fare paid by an adult for one transit ride; excludes transfer charges, zone or distance charges, express service charges, peak period surcharges, and reduced fares.

Magnetic Fare Cards are a single piece of paper, cardboard, or some other material with a magnetic strip good for a limited number of trips, unlimited rides during a fixed time period, or a monetary value that is altered by machine removal of some or all of the stored value as each trip is taken.

Passenger Fares are revenue earned from carrying passengers in regularly scheduled and demand response service. Passenger fares include: the base fare; zone premiums; express service premiums; extra cost transfers; and quantity purchase discounts applicable to the passenger's ride.

Passenger Fares Received per Unlinked Passenger Trip is "Passenger Fares" divided by "Unlinked Passenger Trips."

Peak Period Surcharge is an extra fee required during peak periods (rush hours).

Smart Fare Cards are a single piece of paper, cardboard, plastic, or some other material with a small computer chip good for one or more trips that is usually not surrendered but altered by machine removal of some or all of the stored value as each trip is taken.

Transfer Surcharge is an extra fee charged for a transfer to use when boarding another transit vehicle to continue a trip.

Zone or Distance Surcharge is an extra fee charged for crossing a predetermined boundary.

Financial—Revenue Definitions

Directly Generated Funds are any funds generated by or donated directly to the transit agency, including passenger fare revenues, advertising revenues, concessions, donations, bond proceeds, parking revenues, toll revenues from other sectors of agency operations such as bridges and roads, and taxes imposed by the transit agency as enabled by a state or local government. Some directly generated funds are funds earned by the transit agency such as fare revenues, concessions, and advertising, while other directly generated funds are financial assistance such as taxes imposed by the transit agency. Directly generated funds are listed in two categories in operating funding sources:

(1) **Agency funds, other** are directly generated funds that do not come from taxes.
(2) **Government funds, directly generated** are directly generated funds that come from taxes.

Federal Assistance is financial assistance from funds that are from the federal government at their original source that are used to assist in paying the operating or capital costs of providing transit service.

Local Assistance is financial assistance from local governments (below the state level) to help cover the operating and capital costs of providing transit service. Some local funds are collected in local or regional areas by the state government acting as the collection agency but are considered local assistance because the decision to collect funds is made locally.

Passenger Fare Revenue is revenue earned from carrying passengers on regularly scheduled and demand response service. Passenger fares include: the base fare; zone premiums; express service premiums; extra cost transfers; and quantity purchase discounts applicable to the passenger's ride. Passenger Fare Revenue is listed only for operating revenue sources.

State Assistance is financial assistance obtained from a state government(s) to assist with paying the operating and capital costs of providing transit services.

Total Government Funds is the sum of federal assistance, state assistance, local assistance, and that portion of directly generated funds that accrue from tax collections, toll transfers from other sectors of operations, and bond proceeds.

Infrastructure—Passenger Station Definitions

ADA Accessible Stations are public transportation passenger facilities in compliance with the Americans with Disabilities Act, which essentially means wheelchairs have an unobstructed path from the station entrance to all platforms via elevators or ramps, that equipment and amenities such as vending machines and telephones are accessible, and that the vision and hearing-impaired are accommodated with audio and visible signals or announcements and Braille alternatives.

All-day Auto Parking Space are spaces in parking facilities or on nearby streets reserved or intended for transit passenger automobiles and other personal vehicles that are available for a full normal work day, -normally 10 hours or more.

Automated Vehicle Status Displays are electronic video display equipment that automatically provides information on the status of vehicles on routes serving that station.

Bicycle Spaces are small spaces in parking facilities or on nearby streets or sidewalks reserved or intended for transit passenger bicycles. The total is the sum of the number of slots in bicycle racks (not the number of racks) and the capacity of all bicycle lockers (one bicycle per locker is assumed unless capacity was reported as two bicycles).

Concessions are officially authorized sales units such as newsstands or newspaper boxes, food stands or food vending machines, convenience stores, dry cleaners, ATM machines, or musicians performing with a permit. Concessions do not include such services in nearby locations such as those on the ground floor of an adjacent office building that are off the station property and not officially authorized.

Informational Video Displays are electronic video display equipment that provide information other than vehicle status, such as advertising, news, or public service messages. It may also provide vehicle status information.

Motorcycle Spaces are small spaces about 3 feet wide and 6 feet long in parking facilities or on nearby streets reserved or intended for transit passenger motorcycles, mopeds, and motor scooters.

Part-day Auto Parking Spaces are spaces in parking facilities or on nearby streets reserved or intended for transit passenger automobiles and other personal vehicles that are available for less than a normal work day, such as 9 a.m. to 3 p.m. mid-day parking or 30-minute kiss-and-ride parking.

Passenger Stations are passenger boarding/alighting facilities with a platform, but do not include on-street or curb stops. For bus and trolleybus, they include transit centers, stations on transit malls, and stations on busways.

Public Address Systems are equipment used to make announcements to passengers--either from a station attendant or from a central control facility.

Restrooms are restroom facilities officially designated for passenger use. Restrooms do not include stations with private restrooms available only to transit staff.

Security Cameras are cameras which monitor the station, bus transfer area, and/or parking facility to provide information to station and security personnel.

Infrastructure—Rights-Of-Way And Maintenance Facility Definitions

Directional Route Miles is the mileage of the route public transit vehicles traverse in revenue service measured in each direction. One mile of track(s) or lanes with service in two directions would be two directional route miles regardless of the number of tracks or lanes of roadway. Yard and service tracks or roadways are not counted.

Directional Route Miles of Lane, Controlled Right-of-Way are directional route miles on lanes restricted for at least a portion of the day for use by transit vehicles and other high occupancy vehicles.

Directional Route Miles of Lane, Exclusive Right-of-Way are directional route miles on lanes reserved at all times for transit use and/or other high occupancy vehicles.

Directional Route Miles of Lanes, Mixed Traffic are directional route miles of lanes used for transit operations that are mixed with pedestrian and vehicle traffic.

General Purpose Maintenance Facilities are facilities used for inspecting, servicing and performing light maintenance work upon revenue vehicles such as brake adjustments, engine degreasing, tire work, minor body repairs, and painting.

Heavy Maintenance Facilities are facilities used for performing heavy maintenance work on revenue vehicles such as unit rebuilds, engine overhauls, significant body repairs, and other major repairs.

Lane Miles, Controlled Right-of-Way are miles of lanes restricted for at least a portion of the day for use by transit vehicles and other high occupancy vehicles.

Lane Miles, Exclusive Right-of-Way are miles of lanes reserved at all times for transit use and/or other high occupancy vehicles.

Maintenance Facilities are areas where buildings maintenance activities are conducted including garages; shops such as body shops, paint shops, machine shops, and operations centers.

Miles of Lane is a measure of the amount of roadway traversed by fixed-route bus transit systems where each lane is counted separately regardless of the number of lanes on a roadway. The term is also used for the waterway distance traversed by ferryboats.

Miles of Track is a measure of the amount of track operated by rail transit systems where each track is counted separately regardless of the number of tracks on a right-of-way.

Mode of Service Definitions

Mode is a system for carrying transit passengers described by specific right-of-way, technology, and operational features.

Aerial Tramway is a mode of fixed-guideway transit service where a passenger car is suspended from an overhead cable or cables and is pulled between (normally two) stations by another cable.

Automated Guideway Transit (also called **personal rapid transit**, **group rapid transit**, or **people mover**) is a mode of fixed-guideway transit service where single vehicles or short trains, electrically powered with rail, beam, or concrete guideways, provide distributor or shuttle service without an on-board operator.

Bus is a mode of roadway transit service (also called **motor bus**) characterized by roadway vehicles powered by diesel, gasoline, battery or alternative fuel engines contained within the vehicle. Vehicles operate on streets and roadways in fixed-route or other regular service. Types of bus service include **local service**, where vehicles may stop every block or two along a route several miles long. When limited to a small geographic area or to short-distance trips, local service is often called **circulator**, **feeder**, **neighborhood**, **trolley**, or **shuttle service**. Other types of bus service are **express service**, **limited-stop service**, **commuter bus**, and **bus rapid transit (BRT)**.

Bus Rapid Transit (BRT) is a type of bus transit service characterized by vehicles operating on separate rights-of-way with high-frequency service, low-floor vehicles, stations, traffic signal priority or pre-emption, and other operating improvements which increase their speed and passenger capacity. Portions of the service may be non-fixed-guideway. To be reported in the National Transit Database high-frequency service must operate at least 14 hours per day with 10 minute peak period and 15 minute base period headways. Only agencies identifying their service as BRT are included in BRT data in this report.

Cable Car is a mode of fixed-guideway rail transit service where passenger cars or short trains are pulled by a cable buried in the ground between the guide rails. The cable is continuously moving and the cable car stops by being disengaged by the vehicle operator from the cable.

Commuter Bus is a type of bus transit service that provides high-speed longer distance service to commuters for their daily journey-to-work, typically using over-the-road type buses and operating during peak periods with multi-trip ticketing. Commuter Bus service reported in the National Transit Database must operate at least five miles with closed doors for at least one section of its route.

Commuter Rail is a mode of fixed-guideway transit service (also called **metropolitan rail**, **regional rail**, or **suburban rail**) characterized by an electric or diesel propelled railway for urban passenger train service consisting of local short distance travel operating between a central city and adjacent suburbs. Service must be operated on a regular basis by or under contract with a transit operator for the purpose of transporting passengers within urbanized areas, or between urbanized areas and outlying areas. Such rail service, using either locomotive hauled or self propelled railroad passenger cars, is generally characterized by multi-trip tickets, specific station to station fares, railroad employment practices and usually only one or two stations in the central business district. Intercity rail service is excluded, except for that portion of such service that is operated by or under contract with a public transit agency for predominantly commuter services. Most service is provided on routes of current or former freight railroads.

Demand Response is a mode of roadway transit service (also called **paratransit** or **dial-a-ride**) characterized by the use of comprised of passenger automobiles, vans or small buses operating in response to calls from passengers or their agents to the transit operator, who then dispatches a vehicle to pick up the passengers and transport them to their destinations. The vehicles do not operate over a fixed route or on a fixed schedule except, perhaps, on a temporary basis to satisfy a special need; and typically, the vehicle may be dispatched to pick up several passengers at different pick-up points before taking them to their respective destinations and may even be interrupted en route to these destinations to pick up other passengers. The following types of operations fall under the above definitions provided they are not on a scheduled fixed-route basis: many origins-many destinations, many origins-one destination, one origin-many destinations, and one origin-one destination.

Ferryboat is a mode of fixed-guideway transit service provided by vessels operating over a fixed water route between terminals. To be counted as transit service on these tables the ferry must operate in or near an urban area with frequent trips that allow commuting between parts of the area on a typical work day schedule. Portions of intercity ferryboat service are included in the National Transit Database if they are operated by or under contract to a public agency with predominately commuter service where at least 50 percent of passenger trips are taken by persons going both directions on a single day.

Fixed-Guideway is a grouping of transit services that have physical fixed-guideway such a rails, concrete channels, or overhead cables or operates on a fixed-route waterway such as ferryboats. Fixed-Guideway modes reported on the fixed-guideway tables of this report include **aerial tramway**, **automated guideway transit**, **cable car**, **commuter rail**, **ferryboat**, **heavy rail**, **hybrid rail**, **inclined plane**, **light rail**, **monorail**, and **streetcar**. Trolleybus and bus on exclusive or controlled-access rights-of-way are considered fixed-guideway in the National Transit Database for data that are used in some formulas which distribute federal financial assistance.

Fixed-route Bus is a type of bus transit service that includes typical bus service operated on a fixed or partially-fixed route. Fixed-route bus service includes all bus service other than **bus rapid transit** or **commuter bus** service. It includes all types of bus service designated as **local bus**, **circulator**, **feeder**, **neighborhood**, **trolley**, **shuttle**, **express**, or **limited-stop service**.

Heavy Rail is a mode of fixed-guideway transit service (also called **metro**, **subway**, **rapid transit**, or **rapid rail**) operating on an electric railway with the capacity for a heavy volume of traffic. It is characterized by high speed and rapid acceleration passenger rail cars operating singly or in multi-car trains on fixed rails; separate rights-of-way from which all other vehicular and foot traffic are excluded; sophisticated signaling, and high platform loading.

Hybrid Rail is a mode of fixed-guideway transit service which operates on railroad tracks that are part of the national railroad system, but does not have all commuter railroad operating characteristics. Vehicles are typically light rail type or diesel multiple units which do not meet Federal Railroad Administration standards and must therefore operate with temporal separation from freight railroad traffic.

Inclined Plane is a mode of fixed-guideway transit service which is a railway operating over exclusive right-of-way on steep grades (slopes) with powerless vehicles propelled by moving cables attached to the vehicles and powered by engines or motors at a central location not on board the vehicle. The special tramway type of vehicles has passenger seats that remain horizontal while the undercarriage (truck) is angled parallel to the slope.

Light Rail is a mode of fixed-guideway transit service (also called **streetcar**, **tramway**, or **trolley**) operating lightweight passenger railcars singly (or in short, usually two-car or three-car, trains) on fixed rails in right-of-way that is not separated from other traffic for part or much of the way. Light Rail vehicles are typically driven electrically with power being drawn from an overhead electric line via a trolley or a pantograph; driven by an operator on board the vehicle; and may have either high platform loading or low level boarding using steps.

Monorail is a mode of fixed-guideway transit service which is an electric railway of guided transit vehicles operating singly or in multi-car trains. The vehicles are suspended from or straddle a guideway formed by a single beam, rail, or tube.

Publico is a mode of roadway transit service with passenger vans or small buses operated on fixed routes but no fixed schedules. They are a privately owned and operated vehicles which regulated through a public service commission, state or local government. Only Publicos operated in San Juan, Puerto Rico, are included in the National Transit Database.

Roadway Modes is a grouping of transit modes which operate on public streets and highways. Roadway modes include **bus rapid transit**, **commuter bus**, **demand response**, **fixed-route bus**, **publico**, **trolleybus**, and **vanpool**. **Trolleybus** and **bus** service on exclusive or limited-access roadways is considered fixed-guideway for purposes of federal funding formula distributions.

Streetcar is a type of light rail transit service that operates primarily in city streets rather than exclusive rights-of-way and normally provides more distributor service rather than longer-distance service when compared to regular light rail service. Beginning in 2011, Streetcar data are differentiated from other light rail service.

Trolleybus is a mode of roadway transit service (also called **trolley coach**) using vehicles propelled by a motor drawing current from overhead wires via a connecting pole (called a trolley pole) from a central power source not on board the vehicle. Trolleybus is included in fixed-guideway service in NTD data used for the distribution of some federal funding formula programs.

Vanpool (Transit Agency Brokered Service Only) is a mode of roadway transit service with ridesharing by prearrangement using vans or small buses providing round trip transportation between the participant's homes or prearranged boarding points and a common and regular destination. Data included in this report are the sum of vanpool data reported in the National Transit Database and do not include any data for vanpools not listed in the National Transit Database. Vanpool service reported in the NTD must be operated by a public entity, or a public entity must own, purchase, or lease the vehicle(s). Vanpool included

in the NTD must also be in compliance with mass transit rules including Americans with Disabilities Act (ADA) provisions, be open to the public and that availability must be made known, and use vehicles with a minimum capacity of seven persons.

Other Fixed-Guideway Modes of transit service not listed separately on modal tables include **ferryboat**, **aerial tramway**, **automated guideway transit** (also called **personal rapid transit**, **group rapid transit**, or **people mover**), **cable car**, **inclined plane**, and **monorail**. Not all of these modes of service are included in Other Fixed-Guideway Modes on each table; note clarifications in footnotes for modes that are included. Some older Other Fixed-Guideway Modes data may include undifferentiated roadway data.

Operating Data—Service Supplied Definitions

Average Vehicle Speed is the average speed in miles per hour for a vehicle while in revenue service; calculated by dividing vehicle revenue miles by vehicle revenue hours.

Revenue Service is the operation of a transit vehicle during the period in which passengers can board and ride on the vehicle. Revenue service includes the carriage of passengers who do not pay a cash fare for a specific trip as well as those who do pay a cash fare; the meaning of the phrase does not relate specifically to the collection of revenue.

Revenue Vehicle is a transit vehicle which carries passengers.

Vehicle Revenue Hours are the hours traveled when the vehicle is in revenue service (e.g., the time when a vehicle is available to the general public and there is an expectation of carrying passengers). Vehicles operated in fare-free service are considered in revenue service. Revenue service excludes school bus service and charter service. For conventionally scheduled services, vehicle revenue hours include running time and layover/recovery time.

Vehicle Revenue Miles are the miles traveled when the vehicle is in revenue service (e.g., the time when a vehicle is available to the general public and there is an expectation of carrying passengers). Vehicles operated in fare-free service are considered in revenue service. Revenue service excludes school bus service and charter service. For conventionally scheduled services, vehicle revenue miles are comprised of running miles available to passengers only, "deadhead" miles are not included.

Vehicle Total Hours are the hours a vehicle travels from the time it pulls out from its garage to go into revenue service to the time it pulls in from revenue service, including "deadhead" miles without passengers to the starting points of routes or returning to the garage. It is often called platform time. For conventional scheduled services, it includes both revenue time and deadhead time.

Vehicle Total Miles are all the miles a vehicle travels from the time it pulls out from its garage to go into revenue service to the time it pulls in from revenue service, including "deadhead" miles without passengers to the starting points of routes or returning to the garage. It is often called platform miles. For conventional scheduled services, it includes both revenue miles and deadhead miles.

Passenger Data—Service Consumed Definitions

Average Passenger Load is the average number of passengers aboard a vehicle for its entire time in revenue service including late night and off-peak hour service as well as peak rush hour service; calculated by dividing passenger miles by vehicle revenue miles.

Average Trip Length is the average distance ridden for an unlinked passenger trip; calculated by dividing passenger miles by unlinked passenger trips.

Boardings per Mile is the average number of persons who board a vehicle while the vehicle is in revenue service; calculated by dividing unlinked passenger trips by vehicle revenue miles.

Passenger Miles is the cumulative sum of the distances ridden by all passengers.

Unlinked Passenger Trips is the number of times passengers board public transportation vehicles. Passengers are counted each time they board vehicles no matter how many vehicles they use to travel from their origin to their destination and regardless of whether they pay a fare, use a pass or transfer, ride for free, or pay in some other way. Also called **boardings**.

Service Availability and Commute Mode Definitions

Commuters are persons travelling to work.

Household is a U.S. Census term for the group of all people who occupy a particular housing unit as their usual residence, or who live there at the time of the Census interview and have no usual residence elsewhere. The usual residence is the place where the person lives and sleeps most of the time.

Means of Transportation to Work is the usual travel mode in the previous week for a commuter answering the Census survey. Only a single mode can be reported even if the respondent uses multiple modes. The respondent is directed to select the mode used for the longest distance. No selection instruction is provided for respondents who use different modes on different days.

Railroad is a U.S. Census transit mode name that is the same as "Commuter Rail" as used by APTA and the FTA.

Streetcar or Trolley Car is a U.S. Census Transit mode name that is the same mode as "Light Rail" as used by APTA and the FTA.

Subway or Elevated is a U.S. Census transit mode name that is the same mode as "Heavy Rail" as used by APTA and the FTA.

Vehicle Characteristics Definitions

Accessible Vehicles are transit passenger vehicles that are accessible to, are usable by, and provide allocated space and/or priority seating for individuals who use wheelchairs.

Alternate Fuel Powered Vehicles are vehicles powered by fuel that is substantially not petroleum.

Average Vehicle Age is the number of years old all revenue vehicles are divided by the number of vehicles. The years of age are counted as one-half year for the year in which a vehicle was built plus one year for each calendar year since then.

Federal Transit Administration Minimum Useful Life is the age a revenue vehicle must be before an agency can receive federal financial assistance to replace that vehicle. The useful life varies by type of vehicle and may be shorter than stated for vehicles with excess use measured by miles travelled.

Revenue Vehicle (also called a passenger **vehicle**) is a vehicle in the transit fleet that is available to operate in revenue service carrying passengers, including spares and vehicles temporarily out of service for routine maintenance and minor repairs. Revenue vehicles do not include service vehicles such as tow trucks, repair vehicles, or automobiles used to transport employees.

Revenue Vehicles Available for Maximum Service are vehicles that a transit agency has available to operate revenue service regardless of the legal relationship thorough which they are owned, leased, or otherwise controlled by the transit agency. Also called **vehicles owned and leased**.

Revenue Vehicles Used in Maximum Service is the largest number of vehicles an agency uses to provide service at any time during a typical day; also called **peak period vehicles**.

Vehicle Equipment Definitions

Automated Stop Announcement is an automated system that announces upcoming stops.

Automatic Passenger Counter equipment counts passenger boardings/alightings but is not part of the farebox.

Automatic Vehicle Location or GPS equipment allows a vehicle to be electronically located or tracked by local sensors or satellites.

Exterior Bicycle Rack equipped vehicles can carry bicycles of racks outside of the vehicle such as on the front of a bus or the open deck of a ferryboat.

Passenger-Operator Intercom equipped vehicles have an intercom system that allows passengers and the vehicle's or train's operator to communicate with each other.

Public Address System is a one-way audio announcement system that allows the vehicle operator to communicate with passengers.

Restroom is a restroom on board the transit vehicle and available for passenger use.

Security or CCTV Type Camera equipped vehicles have cameras installed inside the vehicle for security purposes.

Self-propelled vehicles have motors or engines on the vehicle that supply propulsion for the vehicle. Fuel may be carried on board the vehicle such as diesel fueled buses or supplied from a central source such as overhead wire power for light rail vehicles.

Traffic Light Preemption equipped vehicles are able to, either automatically by sensors or as a result of operator action, adjust traffic lights to provide priority or a green light.

Two-Way Radio equipped transit vehicles have a two-way radio system that allows the vehicle operator and the operating base or control center to communicate with each other.

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