



Sub-allocating FTA Section 5307 Funding Among Multiple Recipients in Metropolitan Areas

DETAILS

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TRANSIT COOPERATIVE RESEARCH PROGRAM

TCRP SYNTHESIS 113

**Sub-allocating FTA Section 5307
Funding Among Multiple
Recipients in Metropolitan Areas**

A Synthesis of Transit Practice

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SUBJECT AREAS

Finance • Planning and Forecasting • Public Transportation • Society

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the Transit Development Corporation

TRANSPORTATION RESEARCH BOARD

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TRANSIT COOPERATIVE RESEARCH PROGRAM

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

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

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FOREWORD

Transit administrators, engineers, and researchers often face problems for which information already exists, either in documented form or as undocumented experience and practice. This information may be fragmented, scattered, and unevaluated. As a consequence, full knowledge of what has been learned about a problem may not be brought to bear on its solution. Costly research findings may go unused, valuable experience may be overlooked, and due consideration may not be given to recommended practices for solving or alleviating the problem.

There is information on nearly every subject of concern to the transit industry. Much of it derives from research or from the work of practitioners faced with problems in their day-to-day work. To provide a systematic means for assembling and evaluating such useful information and to make it available to the entire transit community, the Transit Cooperative Research Program Oversight and Project Selection (TOPS) Committee authorized the Transportation Research Board to undertake a continuing study. This study, TCRP Project J-7, "Synthesis of Information Related to Transit Problems," searches out and synthesizes useful knowledge from all available sources and prepares concise, documented reports on specific topics. Reports from this endeavor constitute a TCRP report series, *Synthesis of Transit Practice*.

This synthesis series reports on current knowledge and practice, in a compact format, without the detailed directions usually found in handbooks or design manuals. Each report in the series provides a compendium of the best knowledge available on those measures found to be the most successful in resolving specific problems.

PREFACE

By Donna L. Vlasak
Senior Program Officer
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This report documents the approaches, methodologies, and practices for the sub-allocation of FTA Section 5307 Formula funds in urbanized areas (UZAs) of multiple types and sizes. Also, it offers practices for fund distribution to help regions interested in developing a distribution practice and/or altering their current methodology. Public transportation operators in new UZAs, in particular, could find this information useful.

A literature review and detailed survey responses from 51 of 62 agencies (e.g., metropolitan planning organizations, public transportation operators, state departments of transportation, etc., that were determined to be the agency that played a key role in sub-allocating funds within each of the 62 UZAs), yielding a response rate of 82%, are provided. Also, six case examples offer information with an emphasis on a more detailed description of the range of current UZA sub-allocation practices where the FTA formula is not used. These case examples are provided to allow other UZAs, in particular new or reconfigured UZAs, to have a reference for alternative sub-allocation approaches and methodologies.

John F. Potts and Maxine Marshall, DMP Group Inc., New Orleans, Louisiana, collected and synthesized the information and wrote the report, under the guidance of a panel of experts in the subject area. The members of the topic panel are acknowledged on the preceding page. This synthesis is an immediately useful document that records the practices that were acceptable within the limitations of the knowledge available at the time of its preparation. As progress in research and practice continues, new knowledge will be added to that now at hand.

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

SUB-ALLOCATING FTA SECTION 5307 FUNDING AMONG MULTIPLE RECIPIENTS IN METROPOLITAN AREAS

SUMMARY FTA apportions Section 5307 Formula Funds to urbanized areas (UZAs), which are determined by the U.S. Bureau of the Census. In many areas, these funds are the primary source of financial support for public transportation capital projects including vehicle, facility, and equipment purchases; preventive maintenance; and other eligible expenses. Increasingly, public transportation operators across the country are competing for FTA Section 5307 funds within their own UZA. In the past, there were fewer UZAs and they were often served by a single public transportation operator. All funds apportioned by FTA to those UZAs were available, in full, to the sole public transportation operator. Today, two issues affect the distribution of funds to public transportation operators:

1. More UZAs, and
2. More public transportation operators within UZAs.

Between the 2000 and 2010 U.S. Census there was a 43% increase in the number of UZAs. Not only has the number of UZAs increased, the 2010 U.S. Census documented the consolidation or re-configuration of UZAs that existed after the 2000 U.S. Census. In addition, certain UZAs, including Atlanta, Georgia, and Detroit, Michigan, have seen an increase in the number of public transportation operators within the UZA. These factors have had a substantial effect on the number of public transportation operators that must share the funds that are appropriated to a UZA. For the purposes of this report, the practice of “sharing the funds” is known as sub-allocation.

The purpose of this synthesis is to document the approaches, methodologies, and practices for the sub-allocation of FTA Section 5307 Formula Funds in UZAs of multiple types and sizes. Also, it documents practices for fund distribution to help regions interested in developing a distribution practice and/or altering their current methodology. Public transportation operators in new UZAs, in particular, could find this information useful. This synthesis intentionally omits UZAs with populations of less than 200,000, as these funds are distributed through each state’s governor’s office. The synthesis also did not address sub-allocation of other FTA formula funds in UZAs, such as Section 5309 funds for fixed-guideway development, Section 5310 funds for elderly persons and persons with disabilities, Section 5316 funds for Job Access Reverse Commute, or Section 5317 funds for New Freedom programs. The synthesis also did not consider formula programs created or repealed by MAP-21, as these funds had not been sub-allocated at the time of this study.

FTA guidance states that sub-allocations should be based on the investment needs of the individual agencies, which may or may not be well-represented by a predetermined split or formula. The key is that the metropolitan planning organization and “designated recipient” should be able to demonstrate that whatever system they use “adequately represents” the current needs of the various agencies. FTA does not prescribe the methodology to be used to sub-allocate formula funds within a UZA; this is a local decision. However, department of transportation (DOT) planning guidelines state that using a predetermined split or formula for sub-allocating funds in the UZA is not necessarily consistent with the goals of the metropolitan planning process.

Research was initially conducted to identify which UZAs sub-allocate Section 5307 funds. According to the 2010 U.S. Census there are 497 UZAs in the United States. There are 179 UZAs of 200,000 or more in population that are apportioned Section 5307 funds, an increase of 70% from the time the FTA Formula program was created in 1974. Today, there are 137 UZAs that have a population of between 200,000 and 1 million, and 42 that have a population of more than 1 million. Of those, 62 UZAs (approximately one-third) sub-allocate. Of the 42 UZAs with a population of more than 1 million, 74% (31) sub-allocate Section 5307 funds. Of the 137 UZAs with populations of between 200,000 and 1 million, 23% (31) sub-allocate Section 5307 funds.

A detailed survey was developed to obtain information from each of the 62 UZAs that sub-allocate Section 5307 funds. The 20-question web-based survey was designed to determine:

- Who is responsible for sub-allocating the funds (the lead agency)?
- Who receives the funds?
- What approaches and methodologies are used?
- Who informs FTA of the agreed upon sub-allocation?
- What non-quantifiable factors are used?

The web-based survey was sent to 62 agencies [e.g., metropolitan planning organizations (MPOs), public transportation operator, and state DOT] that were determined to be the agency that played a key role in sub-allocating funds within each of the 62 UZAs; 51 agencies responded (respondents), for a response rate of 82%.

The synthesis provides summary data on the 51 respondents. Some of the key conclusions are:

- Most of the respondents (32 or 63%) that sub-allocate use the exact FTA formula data and values to sub-allocate Section 5307 funds.
- Most of the agencies in the survey were either public transportation operators (41%) or MPOs (39%). A much smaller percentage were either state DOTs (16%) or “other” (8%).
- Geographically, the survey respondents came from 23 states throughout the United States, with concentrations in the Northeast, Midwest, and Far West.
- Public transportation operators were more likely to use the exact FTA formula (81%), and MPOs were more likely to use a local approach (55%).
- Fewer than half of the respondents (45%) considered planning guidelines in sub-allocation decisions, with MPO respondents considering planning guidelines more often (60%) than transit operators (38%).
- The availability of local match does not play a significant role in sub-allocation decisions, as only 27% of the respondents considered local match in sub-allocation decisions. Transit operator respondents considered local match more (38%) than MPOs (20%).
- The average number of recipients that receive FTA Section 5307 funds in the UZAs that responded to the survey is 5.2 recipients per UZA. UZAs of MPO respondents were more likely to have more recipients (6.6) than UZAs of transit operator respondents (3.9).
- Respondents reported that the factors most used in locally developed methodologies and approaches when sub-allocating Section 5307 funds were “projects promoting efficient public transportation services” and “projects preserving existing public transportation service” (both 73%), whereas factors least considered include “projects that support economic vitality” (35%) and “projects that enhance the environment” (39%).
- For those respondents that did not use the FTA formula (37%), a range of sub-allocation approaches and methodologies were used. Many used a locally developed formula that was based solely on population and population density or based solely on public transportation service and ridership alone or some combination, but different from the FTA formula. Others used ratios, such as 90%, to the largest public transportation operator, with the 10% shared by other operators, with no specific rationale for the split. A number

of respondents based their sub-allocation decisions on the capital needs of the UZA with no reliance on a formula. These respondents reported that this approach provided a better opportunity for projects to be funded when the recipient was ready to proceed, including having the local match available.

The synthesis also provides a more detailed description of six of the survey respondents that represented the range of current UZA sub-allocation practices where the FTA formula is not used. These case examples are provided to allow other UZAs, in particular new or reconfigured UZAs, to have a reference for alternative sub-allocation approaches and methodologies. Two of the UZAs (San Francisco/Oakland, California; and Bridgeport/Stamford, Connecticut–New York) described in the case examples used primarily a needs-based approach to sub-allocate. One of the UZAs (Milwaukee, Wisconsin) used a locally developed formula that has evolved over the years and now relies exclusively on measures of public transportation service provided and ridership. The other UZAs (Boston, Massachusetts–New Hampshire–Rhode Island; Port St. Lucie, Florida; and Santa Rosa, California) used percentage split factors (e.g., 75% to one agency and 25% to another) that were negotiated between the public transportation operators within the UZA and are primarily tied to population.

The major conclusions of the synthesis were that, while the majority of UZAs do not sub-allocate, there are a substantial number for which this study is timely, as the 2010 U.S. Census has documented new UZAs where there are multiple FTA Section 5307 sub-recipients. A number of MPOs and public transportation operators reported that they are considering new approaches to sub-allocation because of the 2010 U.S. Census.

The method of sub-allocation appeared to have an impact on how the funds are used. In those UZAs that rely exclusively on a capital needs-based approach, the funds were used primarily for vehicle replacement. Smaller operators in those UZAs might not receive any FTA Section 5307 funds in a given year if they do not have a vehicle or equipment acquisition programmed for that year. They also may not be able to use funds for FTA-eligible purposes such as preventive maintenance or non-revenue equipment purchases. On the other hand, when these agencies do need vehicles and have the local match to make the purchase, they can make larger vehicle purchases than they might otherwise be able to do if they received their funds annually, using the FTA formula.

The study also revealed that, once established, respondents reported that it is difficult to modify a sub-allocation approach, as it usually implies that one or more parties will have increased funding at the expense of other public transportation operators.

CHAPTER ONE

INTRODUCTION**PROJECT BACKGROUND**

The FTA Urbanized Area Formula Program was created in 1974 and revised into its current overall structure in 1982. Urbanized Area Formula Funds (referred to in this report as FTA Section 5307 funds) are apportioned to each of the urbanized area (UZAs) in the United States, including Puerto Rico. A UZA is a contiguous urban area with a population of 50,000 or more that meets criteria administered by the U.S. Bureau of Census. UZAs are redefined and new UZAs are created every ten years as a result of the decennial census. According to the 2010 Census, there were 486 UZAs in the United States, 11 in Puerto Rico, and none in the U.S. territories and insular areas, for a total of 497 UZAs.

Urbanized Area Formula Funds can be used for any public transportation capital expenditure defined in 49 USC 5302, as well as for planning, transit enhancements, operations in smaller UZAs, and preventive maintenance. The Urbanized Area Formula Program provides grants for public transportation in UZAs and establishes distinct requirements and eligibilities for UZAs over and fewer than 200,000 in population. Table 1 summarizes the number of UZAs by population size.

Funds for UZAs of 200,000 and more in population are apportioned directly to a “designated recipient,” which is a public agency selected by agreement of all appropriate government agencies in the UZA. Funds for UZAs with populations under 200,000 are appropriated to the governor for allocation to public transportation agencies throughout the state.

When large UZAs (those of 200,000 or more in population) include multiple recipients of Section 5307 funds, the designated recipient and the metropolitan planning organization (MPO) are responsible for determining the sub-allocation to the multiple recipients. Designated recipients within a region that contain multiple UZAs and/or multiple recipients must have a locally developed process for sub-allocating Section 5307 funds that best serve the needs of the region. As metropolitan areas and UZAs grow and change, the process of sub-allocating funds becomes more challenging. There is little documentation extant on how funds are allocated on a local level.

When the Urban Mass Transportation Act was amended under President Nixon in 1974 to add operating assistance (National Mass Transportation Assistance Act of 1974), the initial formula for distributing urbanized area funds was established based on the population and population density of

the UZA. At that time, most UZAs only had one public transportation system; therefore, no sub-allocation of Section 5307 funding was required. For example, in St. Louis, Missouri, the Bi-State Development Agency (now known as Metro–St. Louis) was the only public transportation operator in the UZA and thus all of the funds determined by the formula went to that agency. This was the case in many other UZAs, including Atlanta, Georgia; Detroit, Michigan; Miami, Florida; Seattle, Washington; and Minneapolis, Minnesota. On the other hand, some areas have had a long history of sub-allocating Section 5307 funds, including several large UZAs such as the Los Angeles Metropolitan Area, the San Francisco Bay Area, and the New York City Metropolitan Area. There have been multiple public transportation operators in these areas for many years. Other smaller UZAs also have had a history of multiple public transportation operators. One example is the UZA for Cincinnati, Ohio, which has the Southeast Ohio RTA and the Transit Authority of Northern Kentucky.

Several changes have taken place in the nearly 40 years since the Urbanized Area Formula Program was created in 1974: (1) an increase in the number of public transportation operators in UZAs; (2) an expansion of certain UZAs, while at the same time, a consolidation of other UZAs by the U.S. Census; and (3) changes to the factors used to apportion FTA formula funds. Today, many large UZAs have multiple public transportation operators. In the Los Angeles Metropolitan Area, the Southern Area Council of Governments serves as the Designated Recipient for FTA funds for several UZAs representing 14 million residents. The Southern Area Council of Governments distributes Section 5307 funding to 20 public transportation agencies, including large public transportation agencies such as the Los Angeles Metropolitan Transportation Authority and the Orange County Transportation Authority, and smaller public transportation agencies such as the city of Santa Monica Municipal Bus Lines and the Antelope Valley Transit Authority in Lancaster. In other large UZAs, there is still only one public transportation system; therefore, a sub-allocation is not necessary. Examples of these UZAs include:

- Minneapolis–St. Paul, Minnesota;
- Denver, Colorado;
- Las Vegas, Nevada;
- San Antonio, Texas;
- Orlando, Florida;
- Indianapolis, Indiana; and
- Columbus, Ohio.

TABLE 1
2010 UZAs BY POPULATION SIZE

Category	2010 U.S. Census No. of UZAs
UZAs over 1 million	42
UZAs 200,000–1 million	137
UZAs 50,000–199,999	318
Total	497

According to the 2010 U.S. Census, 36 new UZAs were created and four UZAs (three in the United States and one in the Commonwealth of the Northern Mariana Islands) changed from UZAs in 2000 to urban clusters (a rural designation) in 2010; a net increase of 32 UZAs from the 465 defined from the U.S. Census 2000 results. Of the 36 UZAs created in 2010, one was created when it no longer connected to a larger UZA of which it was a part in 2000, 12 were created from the connection of two or more urban clusters (areas of at least 2,500 and fewer than 50,000 individuals) from 2000, and 23 were created from the growth of a single urban cluster from 2000.

SYNTHESIS OBJECTIVES AND METHODOLOGY

The purpose of this synthesis is to document the methodologies and practices for the sub-allocation of FTA Section 5307 funds in UZAs of multiple types and sizes. This will help regions interested in developing a distribution practice and/or altering their current method. New UZAs identified in the 2010 U.S. Census, in particular, could find this information useful.

The synthesis will document, but not be limited to, the following:

- Sub-allocation process, methodology, and results of the allocation process;
- Decision-making process for approving the Section 5307 distribution;
- Institutional roles, responsibilities, and relationships among the transit agencies, MPOs, state departments of transportation (DOTs), and other entities;
- Administrative challenges and innovations;
- Evolution of methodology and accommodation of change;
- Financial and temporal costs of the process; and
- Strengths and weaknesses of the process.

Information presented in the synthesis was gathered from the following sources:

- Literature searches of TRB's Transportation Research Information Documentation (TRID) and APTA's Resource Library.
- Discussions with and documentation from representatives from FTA regional offices throughout the country.

- Review of public transportation operating statistics from all agencies reporting to the National Transit Database (NTD) for the most recent two years.
- A survey of organizations from 51 UZAs that are involved in the Section 5307 sub-allocation process.
- Websites of the MPOs and public transportation agencies in the UZAs that sub-allocate Section 5307 funds.
- Federal Register Notices and other information from the FTA website.
- A survey of organizations in six UZAs selected for case examples, including the organization responsible for sub-allocating and smaller public transportation agencies in those UZAs.

A review of the Federal Register Notice of January 11, 2012, revealed that there were 179 UZAs of more than 200,000 in population that received Section 5307 formula funding (as shown in Appendix A). Because this synthesis was about sub-allocating funds, it was important to identify those UZAs that sub-allocate so that the emphasis could be placed on identifying the agencies that were responsible for the sub-allocation process. Using the information gathered from the sources cited earlier, it was determined that 62 of the 179 UZAs of 200,000 or more in population (35%) sub-allocate Section 5307 funds. For those 62 UZAs that sub-allocate, a more detailed analysis was performed using the FTA, MPO, and public transportation websites; discussions with FTA regional staffs; and telephone and e-mail correspondence to organizations in the UZAs, and resulted in the list of organizations to which the survey was initially sent. Documentation of this effort is found in Appendix B. This Summary Work Table also identifies those UZAs that do not sub-allocate FTA Section 5307 funds.

A detailed survey was developed to obtain information about sub-allocating Section 5307 funds within the UZA. The 20-question survey was designed to determine:

- Who is responsible for sub-allocating the funds (the lead agency)?
- Who receives the funds?
- What approaches/methodologies are used?
- Who informs FTA of the agreed upon sub-allocation?
- What non-quantifiable factors are used?

The survey questionnaire utilized a web-based survey instrument, which was field tested with members of the TRB synthesis panel and the synthesis team staff. The questionnaire is included as Appendix C.

The survey was distributed by e-mail to 62 agencies (e.g., MPO, public transportation operator, or state DOT) that were determined to be an agency that played a key role in sub-allocating funds within each of the 62 UZAs, and 51 agencies successfully responded (respondents), a response rate of 82%.

Following a review of the responses, six respondents from the survey were identified to be interviewed in more

detail as case examples using an interview guide included as Appendix D. The results of these discussions are presented in chapter four.

REPORT ORGANIZATION

The remaining sections of the report present the results of the study effort as follows.

- Chapter two presents an overview of the evolution of FTA's Section 5307 formula program. The history of the Federal Acts is summarized beginning with the Urban Mass Transportation Act of 1964, which was signed into law by President Lyndon Johnson as part of the Great Society programs, to MAP-21, the Moving Ahead for Progress in the 21st Century Act, signed into law by President Barack Obama on July 6, 2012. Changes to the federal formula are discussed for a better understanding of how the current FTA allocation process was developed. Changes in the number of UZAs and information on the number of UZAs that sub-allocate are discussed to get a better sense of the scope of this synthesis.
- Chapter three presents the results of the survey. Each UZA of 200,000 and more in population is identified, along with those that sub-allocate FTA Section 5307 funds. The survey size and response rate is discussed and the results of the survey itself are quantified.
- Chapter four presents the results of six case examples of UZAs that were selected from the survey for a more in-depth analysis.
- Chapter five discusses the conclusions and suggestions for further research.

CHAPTER TWO

FTA SECTION 5307 FORMULA PROGRAM AND GROWTH OF UZAS

Literature and documentation found on the FTA website and from its regional offices, along with data from the U.S. Census and APTA, provided the most useful information for this study effort and were the primary sources used for this report. The literature searches in TRID did not provide much information.

FTA URBANIZED AREA (SECTION 5307) FORMULA HISTORY

Since its inception in 1974 as Section 5 of the Urban Mass Transportation Act of 1964 as amended the FTA Section 5307 Formula Program has grown in size and complexity. The following is a summary of the Federal Act activities leading up to and including MAP-21. Over the years, the Section 5307 Formula Program has been used primarily to finance the acquisition of transit facilities and equipment and, in some cases, the funds are used to provide operating assistance to public transportation operators.

Urban Mass Transportation Act of 1964

The Urban Mass Transportation Act of 1964 (The Act) was signed into law by President Lyndon Johnson as part of the Great Society programs. The Act authorized \$375 million in capital assistance to be provided for the three-year period, fiscal year (FY) 1965 through FY 1967, in support of public transportation activities, and \$50 million was authorized to extend the low-interest loan program created in the Housing Act of 1961. The Act authorized grants and loans to assist states and local public bodies and agencies in financing public mass transportation capital projects that specifically included “the acquisition, construction, reconstruction, and improvement of facilities and equipment for use in mass transportation service in urban areas and in coordinating such service with highway and other transportation in such areas.”

Urban Mass Transportation Act of 1966

Congress passed the Urban Mass Transportation Act of 1966, which authorized annual appropriations of \$150 million through 1969 for matching grants and loans to enable states and localities to construct and improve public mass transportation facilities. The bill also expanded the Urban Mass Transportation Act of 1964 by authorizing use of two-thirds of the federal matching share for three new purposes:

(1) planning, engineering, and technical studies; (2) training fellowships for personnel in the mass transportation field; and (3) research on the problems of mass transportation and training of personnel for research and employment in transportation systems.

Department of Transportation Act of 1966

U.S.DOT was created with the enactment of the Department of Transportation Act of 1966 (DOT Act). The new department was established to coordinate and effectively manage transportation programs, provide leadership in the resolution of transportation problems, and develop national transportation policies and programs. However, the DOT Act did not clarify the division of responsibility for urban mass transportation between the newly created U.S.DOT and the Department of Housing and Urban Development (HUD), where mass transportation programs were housed. Consequently, state and local governments that were developing comprehensive transportation plans had to coordinate with two separate federal agencies, U.S.DOT and HUD. To streamline services and programs, President Johnson transferred most of HUD’s mass transportation capacity to U.S.DOT, effective July 1, 1968. Responsibility for these programs was given to the newly established Urban Mass Transportation Administration.

Urban Mass Transportation Assistance Act of 1970

The Urban Mass Transportation Assistance Act of 1970 (UMTAA) authorized the first long-term commitment of federal funds for public mass transportation. UMTAA authorized a federal expenditure of \$10 billion over a 12-year period “to permit confident and continuing local planning, and greater flexibility in program administration.” UMTAA authorized the Secretary of Transportation to make direct grants or loans to assist states and local public bodies and agencies in financing the acquisition, construction, reconstruction, and improvement of facilities and equipment for use in public mass transportation service in urban areas. UMTAA authorized \$3.1 billion for grants to state and local governments to meet up to two-thirds of the net cost of construction and improvement of mass transportation systems and authorized aggregate totals of \$80 million in FY 1971, \$310 million in FY 1972, \$710 million in FY 1973, \$1.26 billion in FY 1974, \$1.86 billion in FY 1975, and

\$3.1 billion thereafter. UMTAA also authorized the Secretary to make grants and loans for public mass transportation services specifically in order to meet the special needs of elderly and persons with disabilities.

National Mass Transportation Assistance Act of 1974

The National Mass Transportation Assistance Act of 1974 authorized \$11.8 billion over a six-year period for capital and operating costs. The passage of the Act was a milestone in public transportation history because it was the first time that federal funds had been authorized for public mass transportation operating subsidies. It authorized \$4 billion to be allocated to UZAs by a formula based on population and population density. The funds could be used for either capital projects or operating assistance with a 50% federal matching share. It also authorized \$7.8 billion for capital assistance at the discretion of the Secretary of Transportation. Up to \$500 million of the capital fund was reserved for rural areas. Funds used for capital projects were to have an 80% federal matching share. It also added a provision requiring public transportation systems to charge elderly and persons with disabilities half-fares during off-peak hours.

Federal Public Transportation Assistance Act of 1978

The Federal Public Transportation Assistance Act of 1978, Title III of the Surface Transportation Assistance Act, was the first federal act to combine highways, public transportation, and highway safety authorization into one piece of legislation. The Act authorized \$15.6 billion in aid for mass transportation over five years and established both discretionary and formula grant programs. It authorized \$7.48 billion for discretionary grants. The legislation required that at least \$350 million of the total program funds be spent on reconstruction and improvement of existing public transportation systems. It also expanded the formula grant program established in the National Mass Transportation Act of 1974 by increasing authorizations under the existing formula. In addition, the Act created a “second tier” formula program for the nation’s largest cities, where funds for construction and operating assistance were to be split so that 85% went to UZAs of more than 750,000 in population and the remaining 15% to smaller areas. It also authorized a formula program for the purchase of buses and bus facilities using the existing formula for two years, and for commuter rail and fixed guideway systems using three factors—fixed guideway route miles, commuter rail route miles, and commuter rail train miles. In addition, the Act created a small formula grant program for non-UZAs for capital and operating assistance. It also authorized local officials, through MPOs, to carry out the urbanized planning process. It further established funding for Transportation Research Centers, Intercity Bus, and a Buy America provision.

Federal Public Transportation Act of 1982

President Ronald Reagan attempted to eliminate operating subsidies because of the rapid payout of operating funds as opposed to funds for capital projects that are spent at a slower pace. The Federal Public Transportation Act of 1982 included funds for operating assistance, although the subsidies were capped at 80% of the previous apportionment, depending on the size of the population served by the project. In addition, the Act only authorized operating assistance to come from the General Fund, not the Mass Transit Account of the Highway Trust Fund. The Act authorized \$16.5 billion for mass transportation through 1986. To fund repairs to deteriorating roads and transportation systems, the gasoline tax was increased for the first time since 1959. The five cent tax was expected to raise revenues of \$5.5 billion annually. The most notable provision of the Act for public transit was that one cent of the increased gas tax was earmarked for mass transportation; the first substantial diversion of the Highway Trust Fund for public transportation purposes. Although public transportation was provided with a new and dedicated source of funds, this Act cut federal public transportation aid by 20%. It altered the grant program allocation formula to include population data as well as public transportation service data such as bus revenue vehicle-miles, bus passenger-miles, bus operating costs, fixed guideway vehicle revenue-miles, and fixed guideway route miles.

Federal Mass Transportation Act of 1987

The Federal Mass Transportation Act of 1987, Title III of the Surface Transportation and Uniform Relocation Assistance Act of 1987 (FMTA), authorized \$17.8 billion for federal mass transportation assistance for FY 1987 through FY 1991. The Act codified a process for evaluating projects seeking funds for new or expanded rail systems, or “new starts.” It also created a new Rural Transit Assistance Program to provide funds and support services for non-UZAs. The Act authorized discretionary spending of \$6.25 billion through Fiscal Year 1991, funded from the Mass Transit Account of the Highway Trust Fund. Of that amount, 40% was allocated for “new starts” and extensions, 40% for rail modernization projects, 10% for bus needs, and 10% for allocation at the discretion of the Secretary of Transportation.

Federal Transit Act Amendments of 1991

The Federal Transit Act Amendments of 1991, Title II of the Intermodal Surface Transportation Efficiency Act of 1991 (ISTEA), authorized \$31.5 billion for mass transportation over six years, resulting in the largest funding increase since the federal government first created funding programs for public transportation in 1964. Of this amount, \$18.2 billion

came from the Mass Transit Account of the Highway Trust Fund, and the remaining \$13.3 billion came from the General Fund. ISTEA also changed the name of the Urban Mass Transportation Administration to FTA to reflect the broader mandate of the agency. ISTEA authorized \$12.4 billion over six years for discretionary grants. The funds were divided as follows: 40% for “new starts,” 40% for rail and fixed guideway modernization, and 20% for buses and bus facilities. To make funding more predictable, authorizations for rail modernization were allocated by formula rather than on a discretionary basis as in the prior Federal Mass Transportation Act of 1987. ISTEA authorized \$17.4 billion over six years for formula grant programs; of that amount, \$16.2 billion was authorized for capital and operating assistance and \$941.7 million for rural transit programs, an increase of 2.6%. ISTEA retained federal operating assistance for all mass transportation systems and retained the matching ratio for operating assistance of 50% of net operating costs. ISTEA established a Transit Cooperative Research Program, modeled after the National Cooperative Highway Research Program, to conduct problem solving for public transportation operators. MPOs were given a more significant role in the planning process. Each MPO was required to develop and periodically update a long-range plan taking into account project finances, land use, air quality, traffic congestion, and other related factors. MPOs were also required to develop Transportation Improvement Programs that contained a prioritized list of projects. ISTEA permitted the use of certain toll revenue expenditures as a credit toward the non-federal matching share of programs authorized by ISTEA.

Federal Transit Act of 1998

The Federal Transit Act of 1998, Title II of the Transportation Equity Act for the 21st Century (TEA-21), increased funding levels by 70% from ISTEA. TEA-21 authorized \$41 billion for public transportation programs for FY 1998 through FY 2003, with \$29.34 billion coming from the Mass Transit Account of the Highway Trust Fund and \$11.65 billion authorized from the General Fund. Two new programs were created, the Clean Fuels Formula Grant program and the Job Access and Reverse Commute (JARC) program.

TEA-21 eliminated operating assistance for urban areas with populations of 200,000 and more, but allowed urban formula and fixed guideway funds to be used to support preventive maintenance. TEA-21 authorized \$19.97 billion for formula grants, \$2 billion for the Clean Fuels Grant Program, \$18.03 billion for the Urbanized Area Formula Grant Program (Section 5307), \$24.3 million for the Rural Transportation Accessibility Incentive Program, and \$1.18 billion for the formula grant program for other than UZAs for FY 1998 to FY 2003. TEA-21 codified provisions for using toll credits in 23 U.S.C. 120(j).

The Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users

The Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU) authorized \$53.6 billion in public transportation funding for FY 2005 through FY 2009 and was a 46% increase over TEA-21 funding levels. It also replaced the term “mass transportation” with “public transportation.” SAFETEA-LU created two new discretionary programs: Alternative Transportation in Parks and Public Lands and the Alternative Analysis Program. SAFETEA-LU significantly increased funding for the rural transit formula program. It also created a new formula tier that was based on land area to address the needs of low-density states. Native-American tribes were added as eligible recipients and a portion of funding was set aside each year for these tribes. The Clean Fuels Grant Program switched from a formula program to a discretionary program. SAFETEA-LU authorized \$22.7 billion for Capital Investment projects, which include New Starts, Fixed Guideway Modernization, and the Bus and Bus Facility program.

SAFETEA-LU authorized \$28.4 billion for formula programs and created the New Freedom Program for which it authorized \$339 million over six years. This program provided formula funding for new transportation services and public transportation alternatives beyond those required by the Americans with Disabilities Act (ADA) to assist persons with disabilities. SAFETEA-LU switched the Job Access and Reverse Commute (JARC) program from a competitive discretionary grants program to a formula program.

As shown in Table 2 (adapted from Table 8 of *APTA Primer on Transit Funding, FY 2004 through FY 2012*), under SAFETEA-LU several factors were used to calculate apportionments of FTA Section 5307 funds within UZAs.

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

MAP-21, the Moving Ahead for Progress in the 21st Century Act (P.L. 112-141), was signed into law by President Barack Obama on July 6, 2012. MAP-21 authorized \$21.3 billion for public transportation programs for FY 2013 and 2014.

MAP-21 added another change to the formula; specifically, that 3.07% of Section 5307 funds available for apportionment are allocated on the basis of low-income persons residing in UZAs, with 25% of these funds allocated to areas below 200,000 in population and 75% allocated to areas with 200,000 and more in population. MAP-21 also added a nationwide exemption allowing public transportation operators that operate fewer than 100 buses in peak service to use the formula funds for operating assistance.

TABLE 2
SAFETEA-LU TIERS AND FACTORS USED TO CALCULATE SECTION 5307 APPORTIONMENTS

UZA Category	Tiers from Which Population Category Is Funded	Factors Used in Calculation
Over 1,000,000 in Population	(1) 49 USC 5336(c)(1)(A): Bus Basic Funding, UZAs 1,000,000 or more population	Population, population density, bus vehicle revenue-miles
	(4) 49 USC 5336(c)(2): Bus Incentive Funding, UZAs 200,000 or more in population	Bus passenger-miles, bus operating expense
	(5) 49 USC 5336(b)(2)(A): Fixed-Guideway Basic Funding, UZAs 200,000 or more in population	Fixed guideway vehicle revenue-miles, fixed guideway route-miles
	(6) 49 USC 5336(b)(2)(B): Fixed-Guideway Incentive Funding, UZAs 200,000 or more in population	Fixed guideway passenger-miles, fixed guideway operating expense
	(8) 49 USC 5340: Growing States Program, all UZAs	Projected future population
	(9) 49 USC 5340: High Density States Program, all UZAs in eligible states	Population, land area, density constant
200,000–1,000,000 in Population	(2) 49 USC 5336(c)(1)(B): Bus Basic Funding, UZAs 200,000 to 999,999 population	Population, population density, bus vehicle revenue-miles
	4) 49 USC 5336(c)(2): Bus Incentive Funding, UZAs 200,000 or more in population	Bus passenger-miles, bus operating expense
	(5) 49 USC 5336(b)(2)(A): Fixed-Guideway Basic Funding, UZAs 200,000 or more in population	Fixed guideway vehicle revenue-miles, fixed guideway route-miles
	(6) 49 USC 5336(b)(2)(B): Fixed-Guideway Incentive Funding, UZAs 200,000 or more in population	Fixed guideway passenger-miles, fixed guideway operating expense
	(8) 49 USC 5340: Growing States Program, all UZAs	Projected future population
	(9) 49 USC 5340: High Density States Program, all UZAs in eligible states	Population, land area, density constant

Growth of Section 5307 Funding Authorizations 1986–2014

From 1986 to 2014, FTA Section 5307 annual formula funding authorizations have grown from \$1,941.4 million to \$4,901.4 million, an increase of more than 250%, as shown in Figure 1. The highest authorized level was in 2009, the result of the American Recovery and Reinvestment Act (ARRA).

GROWTH OF URBANIZED AREAS RECEIVING FTA SECTION 5307 FUNDS

According to the 2010 U.S. Census there are 497 UZAs in the United States. Currently, there are 179 UZAs that are apportioned Section 5307 funds, of which 137 are UZAs that have a population between 200,000 and 1 million, and 42 are UZAs that have a population of more than 1 million. Over the years, the number of UZAs that have a population of 200,000 and more has grown by 70%. In 1970, as shown

in Table 3, there were a total of 105 UZAs that had populations of 200,000 and more, of which 80 were UZAs with populations between 200,000 and 1 million, and 25 with populations of more than 1 million. By 2000, there were a total of 152 UZAs with a population of 200,000 or more, of which 114 were UZAs that had populations between 200,000 and 1 million, and 38 that had a population of more than 1 million.

As shown in Figure 2, from 1970 to 2010 the number of UZAs that had a population of between 200,000 and 1 million increased by 71%, with a steady growth of five to six UZAs per decade between 1970 and 1990, and larger jumps of 23 UZAs per decade between 1990 and 2010. The number of UZAs that had a population of more than 1 million increased by 68% over the four decades, with a steady growth of four to five UZAs each decade. Between the 2000 and 2010 U.S. Census there was a 43% increase. Figure 3 shows all of the UZAs and urban clusters defined by the 2010 U.S. Bureau of the Census.

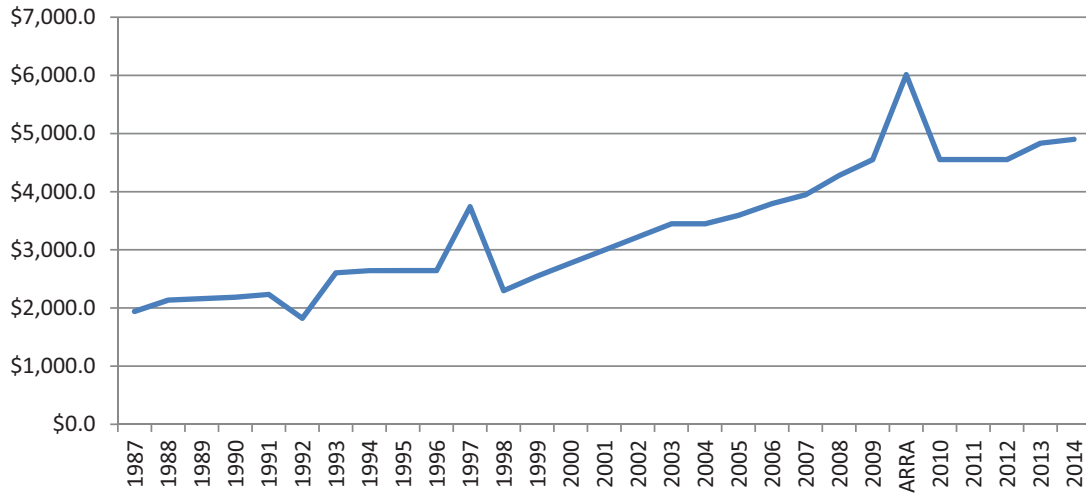


FIGURE 1 Section 5307 funding authorizations 1986–2014 (\$millions). Source: APTA Primer on Transit Funding FY 2013 through FY 2014, Table 3(b).

TABLE 3
UZA GROWTH 1970–2010

UZA Categories by Population	Year					Percent Change 1990 to 2010
	1970	1980	1990	2000	2010	
Number of UZAs between 200,000 and 1 Million	80	85	91	114	137	71
Number of UZAs Over 1 Million	25	29	34	38	42	68
Total Number of UZAs 200,000 and More	105	114	125	152	179	70

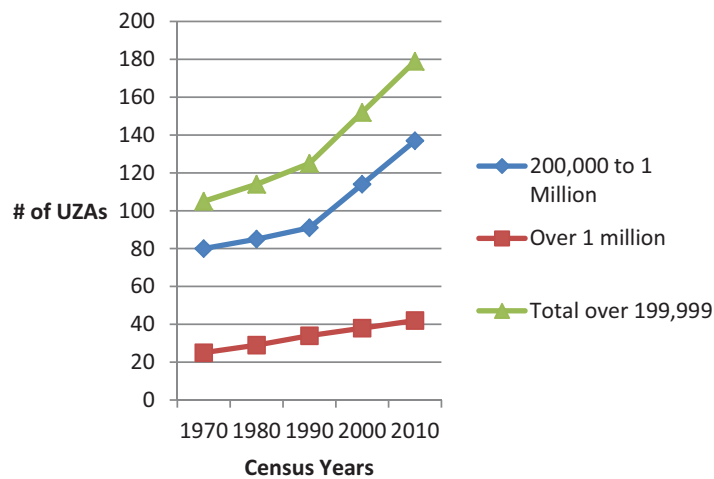


FIGURE 2 UZA growth from 1970–2010.

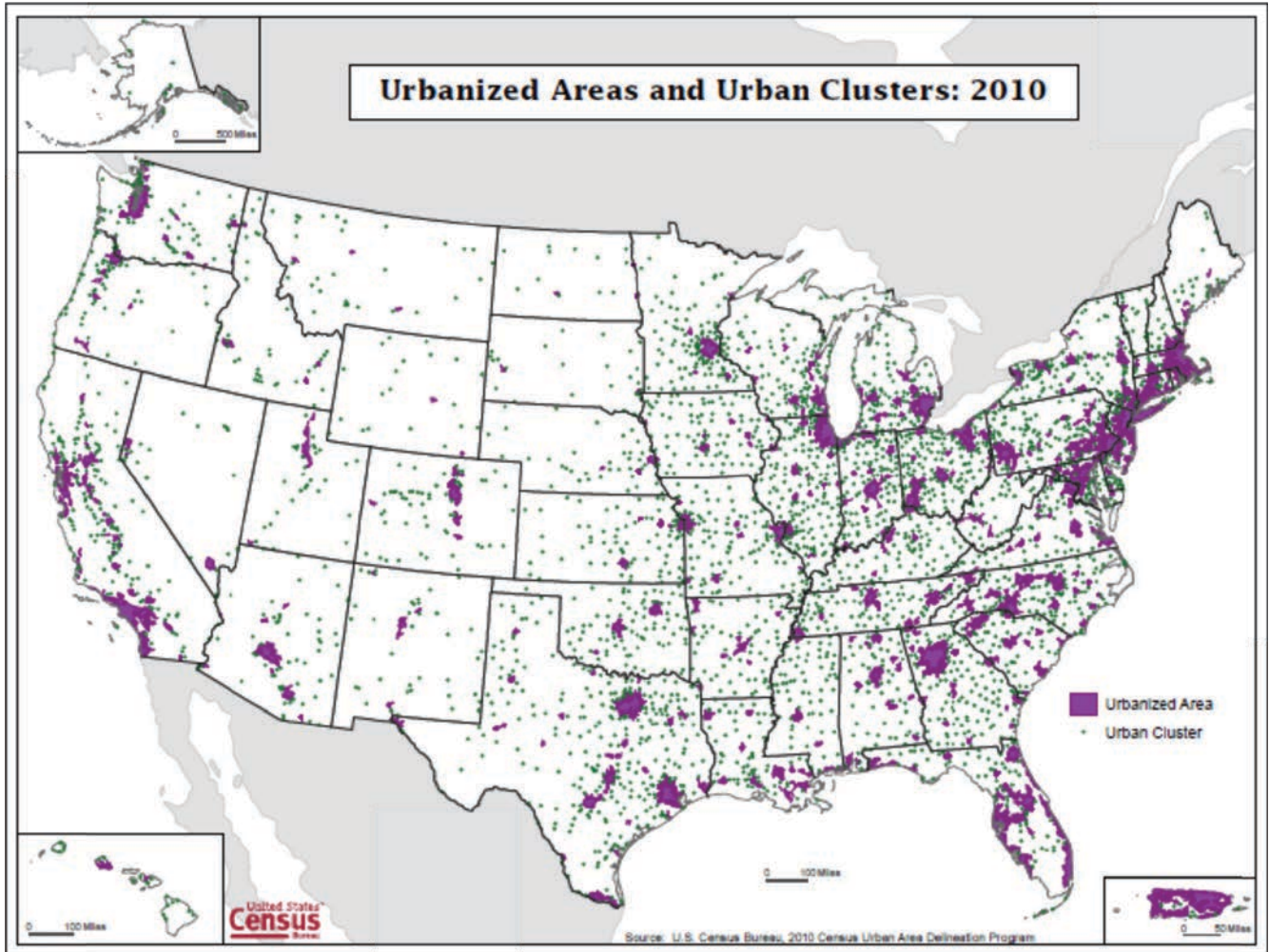


FIGURE 3 2010 urbanized areas and urban clusters.

CHAPTER THREE

SURVEY RESULTS**INTRODUCTION**

As shown in Table 4, there are 179 UZAs with populations of 200,000 and more, with most (137) having populations of between 200,000 and 1 million, and fewer (42) having populations of more than 1 million.

Extensive study was undertaken to identify which of the 179 UZAs with populations of 200,000 and more sub-allocate FTA Section 5307 funds. This study revealed that, of 179 UZAs with populations of 200,000 and more as of the 2010 U.S. Census, 62 (approximately one-third) sub-allocate, equally divided between the medium-sized (200,000 to 1 million) and the largest (more than 1 million) UZAs.

The locations of the UZAs that sub-allocate are presented alphabetically, by size, in Tables 5 and 6.

As shown in Table 7, of the 42 UZAs with populations of more than 1 million, 31 (or 74%) sub-allocate Section 5307 funds. Of the 137 UZAs with populations of 200,000 to 1 million, 31 (or 23%) sub-allocate Section 5307 funds.

On March 12, 2013, the web-based survey instrument was sent by e-mail to the agencies. Including MPOs, public transportation operators, and state DOTs determined to most likely be responsible for calculating and/or approving the sub-allocation. Reminders were sent on March 19 and the follow-up telephone calls were made to all agencies that had not responded by March 26. Fifty-one agencies submitted responses (“respondents”); a response rate of 82%.

KEY SURVEY RESULTS

Of the 51 respondents to the survey, 50 (98%) indicated that more than one agency received FTA Section 5307 funds (see Figure 4). The one respondent that said “no” indicated that more than one agency received Section 5307 funds up to 2012; however, that currently only one agency receives these funds. The survey results used the answers based on the agency’s sub-allocation arrangement.

As shown in Figure 5, the vast majority of the respondents to the survey (86%) were the agencies responsible for calculating the sub-allocation of Section 5307 funds. Of those that did not, all were involved in the process to some significant extent.

As shown in Table 8, there were slightly more responses by UZAs of more than 1 million (27) than by UZAs of 200,000 to 1 million (24).

As shown in Figure 6, the vast majority of the respondents (82%) were Designated Recipients of FTA Section 5307 funds. For those that were not, most were MPOs that did not operate public transportation services.

As shown in Table 9, most of the agencies in the survey were either transit operators (41%) or MPOs (39%). A smaller percentage were either state DOTs (16%) or “other” (8%).

Table 10 shows the survey respondents by type and size, with slightly more transit operators or MPOs responding from UZAs with more than 1 million in population and slightly more state DOTs or “other” respondents from UZAs of 200,000 to 1 million in population.

Geographically, the survey respondents came from 23 states throughout the United States, with concentrations in the Northeast, Midwest, and Far West. Transit operator respondents in UZAs with populations of more than 1 million were located primarily in the eastern portion of the United States, with the exceptions being Texas and Oregon. Transit operator respondents between 200,000 and 1 million were located exclusively in the eastern portion of the country, from Maine to Florida. MPO respondents with populations of more than 1 million were located primarily in the far west portion of the United States, from Washington State to California and Arizona, with some respondents in the Midwest and one in Texas. MPO respondents with populations between 200,000 and 1 million were located primarily in California, with other MPOs in Texas, Louisiana, and New York. State DOT respondents were located exclusively in the Northeast and the “other” respondents spanned the country, from Alaska to California and from Illinois to Florida.

As shown in Figure 7, the vast majority of respondents (84%) were agencies responsible for informing FTA of the agreed upon sub-allocation of Section 5307 funds in the UZA.

Table 11 shows that most of the UZAs (63%) use the exact FTA formula data and values to sub-allocate Section 5307 funds, whereas 19 (37%) did not use the exact FTA formula and data values. Transit operators were more likely to use the exact FTA formula (81%) and MPOs are more likely to use a local approach (55%).

TABLE 4
UZAs 200,000 AND MORE IN POPULATION

	200,000– 1 million	%	More Than 1 million	%	Total	%
UZAs 200,000 and more	137	76	42	24	179	100

TABLE 5
THIRTY-ONE UZAs OF OVER 1 MILLION THAT SUB-ALLOCATE
5307 FUNDS

Atlanta, GA	Phoenix, AZ
Austin, TX	Pittsburgh, PA
Baltimore, MD	Portland, OR–WA
Boston, MA	Providence, RI–MA
Chicago, IL–IN	Riverside, CA
Cincinnati, OH–KY–IN	Sacramento, CA
Cleveland, OH	San Diego, CA
Dallas/Ft. Worth, TX	San Francisco/Oakland, CA
Detroit, MI	San Jose, CA
Houston, TX	San Juan, PR
Kansas City, MO–KS	Seattle, WA
Los Angeles, CA	St. Louis, MO–IL
Miami, FL	Tampa, FL
Milwaukee, WI	Virginia Beach, VA
New York–Newark, NY–NJ–CT	Washington, DC–VA–MD
Philadelphia, PA–NJ–DE–MD	

TABLE 6
THIRTY-ONE UZAs OF 200,000 TO 1 MILLION THAT SUB-ALLOCATE
5307 FUNDS

Aguadilla, PR	New Orleans, LA
Allentown, PA–NJ	Oxnard, CA
Anchorage, AK	Portland, ME
Antioch, CA	Port St. Lucie, FL
Bonita Springs, FL	Poughkeepsie, Newburgh, NY–NJ
Bridgeport, CT–NY	Richmond, VA
Columbia, SC	Sarasota–Bradenton, FL
Concord, CA	Santa Rosa, CA
Denton–Lewisville, TX	Scranton, PA
Evansville, IN–KY	South Bend, IN–MI
Hartford, CT	Springfield, MA–CT
Harrisburg, PA	Stockton, CA
Huntington, WV–OH–KY	Visalia, CA
McAllen, TX	Worcester, MA–CT
Nashville–Davidson, TN	Youngstown, OH
New Haven, CT	

TABLE 7
UZAs OF 200,000 AND MORE THAT SUB-ALLOCATE FTA
SECTION 5307 FUNDS BY SIZE

	200,000– 1 Million	Over 1 Million	Total
Total UZAs	137	42	179
No. that Sub-Allocate	31	31	62
Percent that Sub-Allocate	23	74	

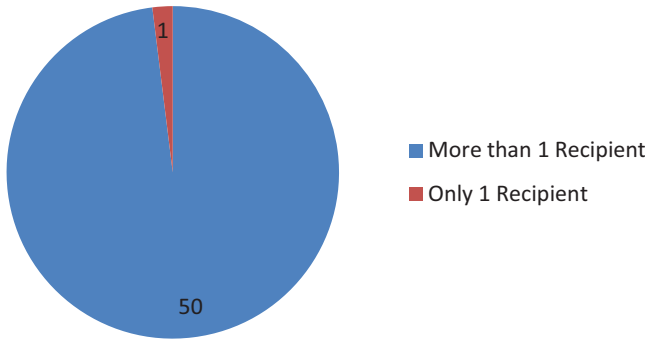


FIGURE 4 Number of respondents with more than one FTA Section 5307 recipient in the UZA. *Source:* TCRP SH-14 survey results, March 2013.

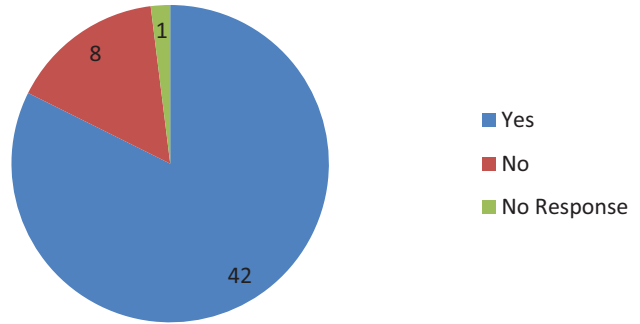


FIGURE 6 Respondents that were designated recipients. *Source:* TCRP SH-14 survey results, March 2013.

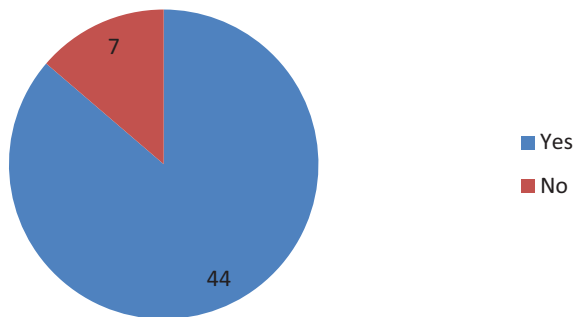


FIGURE 5 Number of respondents responsible for calculating the sub-allocation in the UZA. *Source:* TCRP SH-14 survey results, March 2013.

TABLE 8 SURVEY RESPONSE RATE

	200,000–1 Million	More Than 1 Million	Total
No. That Sub-Allocate	31	31	62
Respondents	24	27	51
Response Rate	77%	87%	82%

Source: TCRP SH-14 survey results, March 2013.

TABLE 9 SURVEY RESPONSE BY TYPE

Respondents	Total	%
Transit Operator	21	41
MPO	20	39
State DOT	8	16
Other ¹	4	8
Total No. of Respondents	53 ²	

Source: TCRP SH-14 survey results, March 2013.

¹The four “other” respondents included two county commissions, the Chicago Regional Transportation Authority, and the Alaska Railroad Corporation.

²Total respondents were 51; however, two respondents identified themselves as both transit operators and state DOTs.

As shown in Table 12, 45% of the respondents considered planning guidelines in sub-allocation decisions, with 60% of MPO respondents considering planning guidelines compared with just 38% for transit operators.

As shown in Figure 8, slightly over half of the respondents (52%) that do not use the exact FTA formula use a methodology/approach that does not include a formula, at least in part of its process.

As shown in Table 13, 27% of the respondents considered local match in sub-allocation decisions, with 50% for “other” respondents and 38% of transit operator respondents considering local match compared to just 20% for MPOs and none for state DOTs.

TABLE 10 SURVEY RESPONDENTS BY TYPE AND SIZE

Respondents	200,000–1 Million	% of Total Respondents by Type	More Than 1 Million	% of Total Respondents by Type	Total
Transit Operator	10	41	11	59	21
MPO	8	39	12	61	20
State DOT	5	63	3	37	8
Other Respondents ¹	3	75	1	25	4
Total No. of Respondents	26		27		53 ²

Source: TCRP SH-14 Survey Results, March 2013.

¹The four “other” respondents included two county commissions, the Chicago Regional Transportation Authority, and the Alaska Railroad Corporation.

²Total respondents were 51; however, two respondents identified themselves as both transit operators and state DOTs.

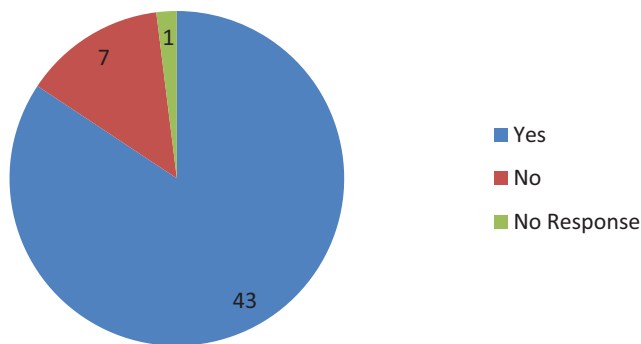


FIGURE 7 Respondents that were responsible for notifying FTA of the sub-allocation. *Source:* TCRP SH-14 survey results, March 2013.

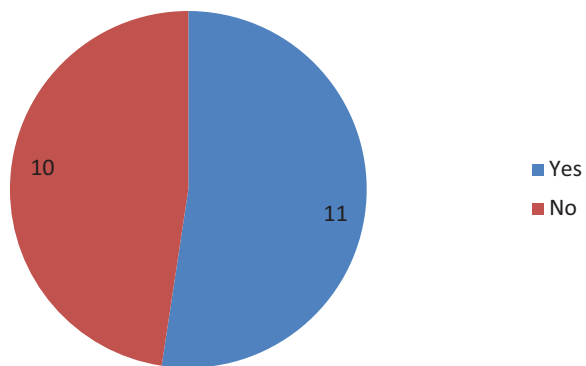


FIGURE 8 Respondents that do not use a formula to sub-allocate funds. *Source:* TCRP SH-14 survey results, March 2013.

As shown in Figure 9, the factors most used in locally developed methodologies and approaches when sub-allocating Section 5307 funds were “projects promoting efficient public transportation services” and “projects preserving existing public transportation service” (both 73%), whereas factors least considered include “projects that support economic vitality” and “projects that enhance the environment” (35% and 39%, respectively).

Table 14 provides information on the average number of recipients that receive FTA Section 5307 funds in the UZAs that responded to the survey. It shows that the number of agencies that receive Section 5307 funds is 5.2 per UZA, with transit operators averaging 3.9 recipients per and MPOs averaging 6.6 recipients per UZA.

Figures 10 through 13 show the range of the number of recipients by type of respondent for sub-allocating FTA Section 5307 funds. The number of recipients reported by transit operators ranged from two to 11, with an average of 3.9. The most prevalent number of recipients was three, which occurred in ten UZAs. The number of recipients reported by MPOs ranged from two to 12, with an average of 6.6. The most prevalent numbers of recipients were four and 12, which occurred in six and four UZAs, respectively. The number of recipients reported by state DOTs ranged from three to ten, with an average of 5.5. The most prevalent number of recipients was three, which occurred in three UZAs. The number of recipients reported by “other” respondents ranged from two to eight, with an average of 4.5. The most prevalent number of recipients was two, which occurred in two UZAs.

TABLE 11
RESPONDENTS BY TYPE AND SUB-ALLOCATION METHOD

Respondents	Use FTA Formula	% of Total Respondents by Type	Use Local Approach	% of Total Respondents by Type	Total
Transit Operator	17	81	4	19	21
MPO	9	45	11	55	20
State DOT	4	50	4	50	8
Other	3	75	1	25	4
Total	33	63	20	37	53 ¹

Source: TCRP SH-14 survey results, March 2013.
¹See footnote 2 in Table 10.

TABLE 12
RESPONDENTS BY TYPE AND CONSIDERATION OF PLANNING FACTORS IN SUB-ALLOCATION DECISIONS

Respondents	Consider Planning Factors	% of Total Respondents By Type	Total
Transit Operator	8	38	21
MPO	12	60	20
State DOT	1	13	8
Other	2	50	4
Total	23	45	53 ¹

Source: TCRP SH-14 survey results, March 2013.
¹See footnote 2 in Table 10.

TABLE 13
RESPONDENTS BY TYPE AND CONSIDERATION OF LOCAL MATCH
IN SUB-ALLOCATION DECISIONS

Respondents	Consider Local Match	% of Total Respondents by Type	Total Respondents
Transit Operator	8	38	21
MPO	4	20	20
State DOT	0	0	8
Other	2	50	4
Total	14	27	53 ¹

Source: TCRP SH-14 Survey Results, March 2013.

¹See footnote 2 in Table 10.

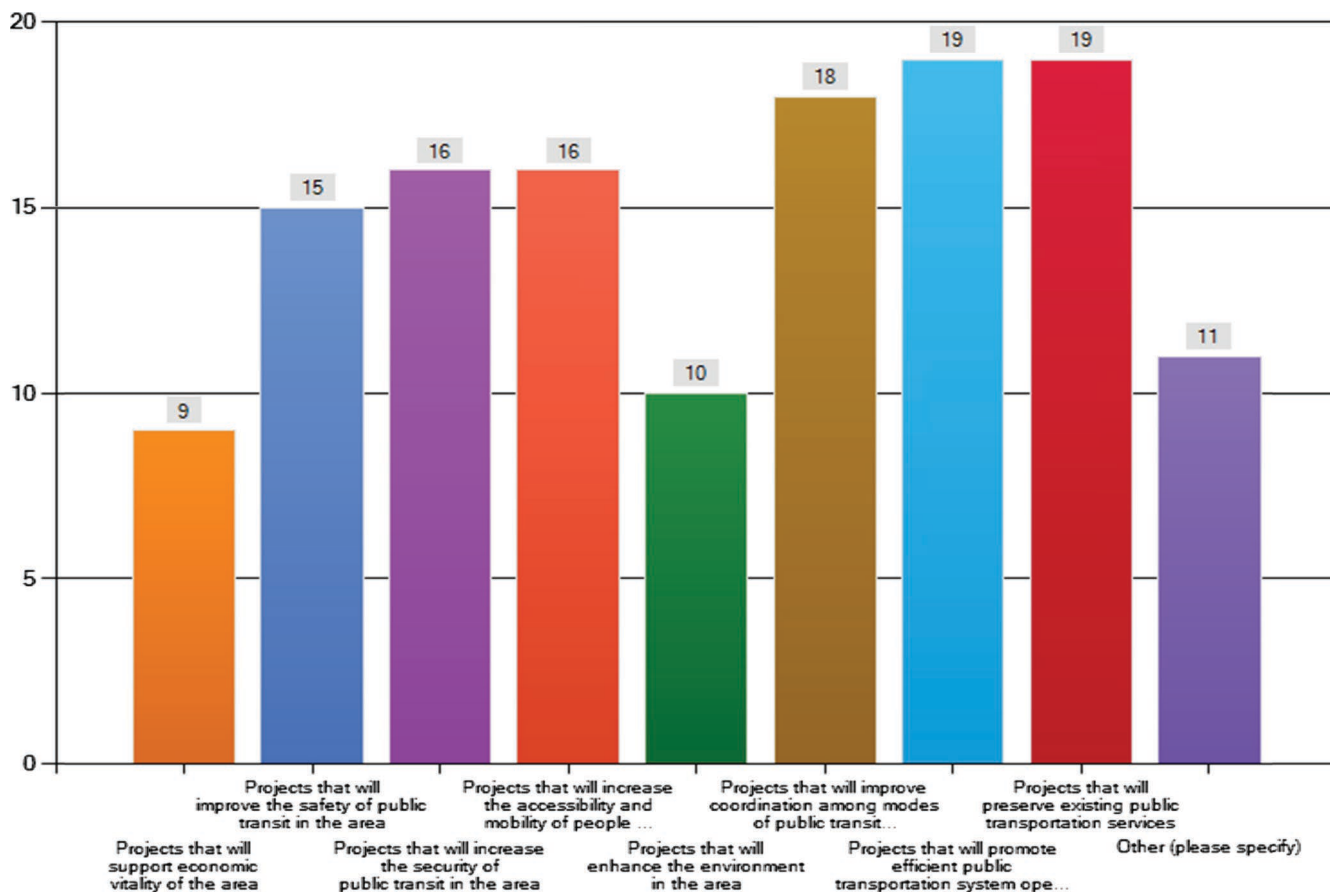


FIGURE 9 Respondents that consider DOT planning factors in sub-allocation decisions. Source: TCRP SH-14 survey results, March 2013.

TABLE 14
AVERAGE NUMBER OF FTA SECTION 5307 RECIPIENTS IN UZAs
THAT SUB-ALLOCATE BY TYPE

Respondents	Average No. of Recipients per UZA
Transit Operator	3.9
MPO	6.6
State DOT	5.5
Other ¹	4.5
Total No. of Respondents	5.2

Source: TCRP SH-14 survey results, March 2013.

¹The four “other” respondents included two county commissions, the Chicago Regional Transportation Authority, and the Alaska Railroad Corporation.

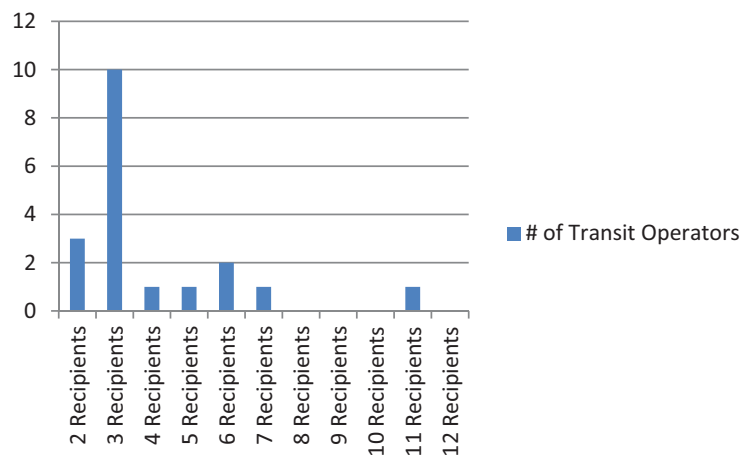


FIGURE 10 Number of FTA Section 5307 recipients in UZAs where transit operators managed the sub-allocation. Average of 3.9 per UZA. *Source:* TCRP SH-14 survey results, March 2013.

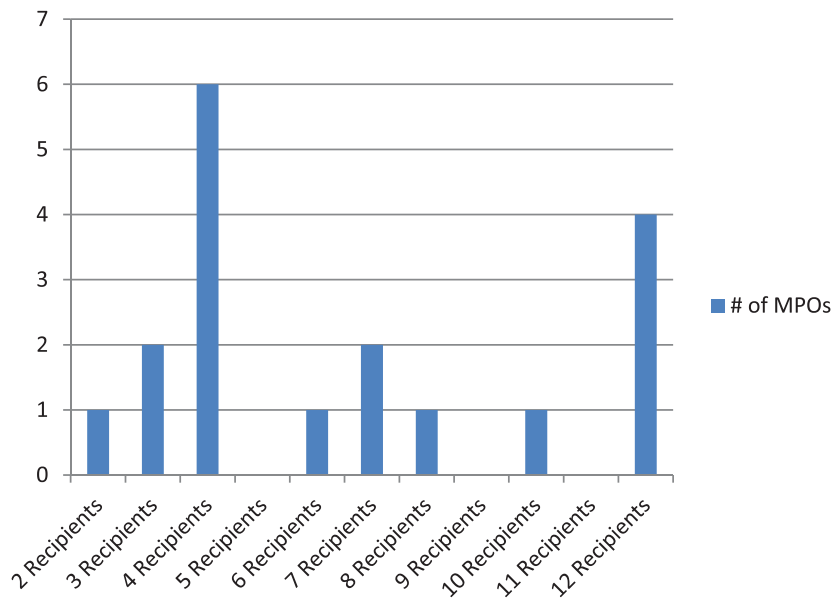


FIGURE 11 Number of FTA Section 5307 recipients in UZAs where MPOs managed the sub-allocation. Average of 6.6 per UZA. *Source:* TCRP SH-14 survey results, March 2013.

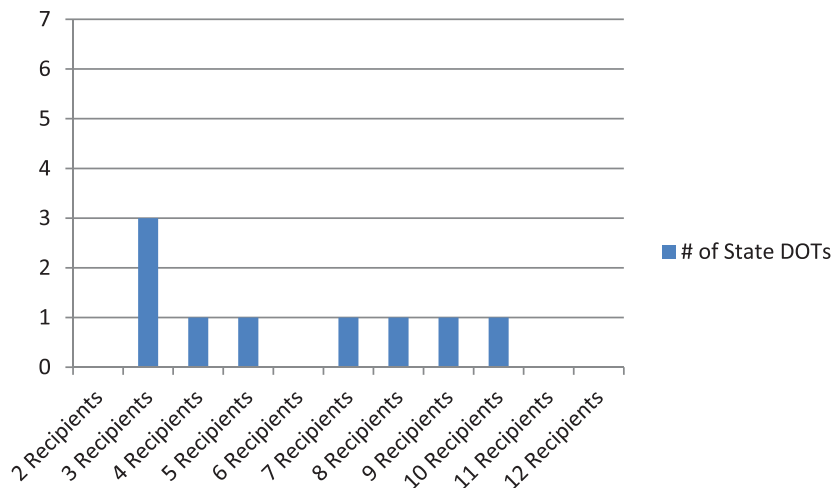


FIGURE 12 Number of FTA Section 5307 recipients where state DOTs managed the sub-allocation. Average 5.5 per UZA. Source: TCRP SH-14 survey results, March 2013.

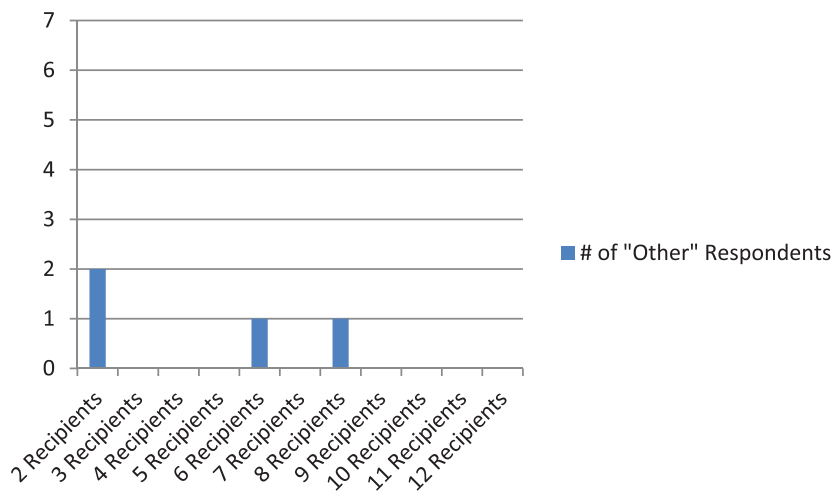


FIGURE 13 Number of FTA Section 5307 recipients where "Other" respondents managed the sub-allocation. Average 4.5 per UZA. Source: TCRP SH-14 survey results, March 2013.

CHAPTER FOUR

CASE EXAMPLES

Using the findings of the initial review and the survey results, the agencies/UZAs identified in Table 15 were designated for further study to share the methodologies and approaches they used to sub-allocate Section 5307 funds. An interview guide was prepared (Appendix D) and interviews were conducted by telephone with respondents from the case example agencies. The case examples were intended to explore the following:

- Institutional roles, responsibilities, and relationships among the public transportation agencies, MPOs, state DOTs, and other entities;
- Administrative challenges and innovations;
- Evolution of methodology and accommodation of change;
- Rationale for the methodology used;
- Financial and temporal costs of the process;
- Lessons learned;
- Allocation tools used for designated recipients, direct recipients, and/or sub-recipients; and
- Strengths and weaknesses of the process.

The study team attempted to interview representatives from both the agency responsible for the sub-allocation, as well as from selected recipients (often public transportation agencies), to understand and document the pros and cons of the methodology/approach from the differing perspectives.

CASE EXAMPLE 1: SAN FRANCISCO/OAKLAND, CALIFORNIA URBANIZED AREA**Background**

According to the 2010 U.S. Census, the San Francisco/Oakland, California UZA, located in northern California, was the 13th largest UZA in the nation, with a population of nearly 3.3 million people.

The Metropolitan Transit Commission (MTC) is the only designated recipient in the San Francisco/Oakland UZA. There are 12 eligible public transportation operators in the San Francisco/Oakland UZA (see Table 16):

1. Alameda–Contra Transit (AC Transit)
2. Altamont Commuter Express (ACE)
3. Bay Area Rapid Transit District (BART)
4. Caltrain Joint Powers Board (Caltrain)
5. Golden Gate Bridge and Highway Transit District (GGBHTD)
6. Marin County Transit District (MCTD)

7. San Francisco Metropolitan Transportation Authority (SFMTA)
8. San Mateo County Transit District (SamTrans)
9. Union City Transit (UCT)
10. Solano County Transit (SolTrans)
11. Water Emergency Transportation Authority (WETA)
12. Western Contra Costa Transit Authority (WestCAT).

Each agency operates its own public transportation system. Several of these agencies, including GGBHTD, ACE, BART, and Caltrain, operate in multiple UZAs and are eligible to, and in some cases, receive funding from other UZAs in the San Francisco Bay Area. MCTD recently became eligible to receive and administer FTA Section 5307 funds. MCTD had previously been served under contract by GGBHTD, where funds for service operated in Marin County were allocated.

Institutional Roles and Responsibilities

MTC is the regional transportation planning agency for the nine-county San Francisco Bay Area as shown on Figure 14. It is the designated recipient for five large UZAs in northern California: San Francisco/Oakland; San Jose; Concord; Santa Rosa; and Antioch. MTC has also been authorized by the California DOT (Caltrans) to select projects and recommend funding allocations subject to state approval for the small UZAs of Vallejo, Fairfield, Vacaville, Napa, Livermore, Gilroy–Morgan Hill, and Petaluma.

MTC has established a comprehensive Transit Capital Priorities Process & Criteria (TCP) for sub-allocating all of the FTA formula funds in each UZA. All of the public transportation operators eligible to receive and administer FTA grant funds belong to the Transit Finance Working Group (TFWG). The TFWG serves in an advisory capacity to the MTC Partnership Technical Advisory Committee (PTAC). All major programming-related decisions are to be reviewed with PTAC. In general, the MTC Programming and Allocations Committee and the full Commission take action on the TCP and any other public transit-related funding programs after the TFWG and PTAC has reviewed them.

Sub-Allocation Process

MTC generally used a needs-based, capital planning process to sub-allocate FTA Section 5307 funds in the San Francisco/Oakland UZA. The exception to this was that MTC used a

TABLE 15
CASE EXAMPLES

Agency/UZA	Size and Region of UZA	Reasons for Further Review
1. MTC/San Francisco/Oakland, CA	Very large, West Coast	Needs-based approach with quantitative scoring by project category; a separate set-aside formula for ADA operating funds.
2. MTC/Santa Rosa, CA	Medium, West Coast	Only UZA in MTC area that uses a formula to sub-allocate.
3. Conn DOT/Bridgeport/Stamford, CT–NY	Large, East Coast	Needs-based approach, involves two states.
4. St. Lucie County BOCC/Port St. Lucie, FL	Small, Southern	Uses a locally developed formula, based on 2000 census data and 2002 NTD data.
5. MBTA/Boston, MA–NH–RI	Very large, East Coast	Primary operator receives most of the funds based on ten-year-old formula; UZA is currently considering changes. Multiple states are involved.
6. SEWRPC/Milwaukee, WI	Medium, Midwest	Funds are allocated to the designated recipients by a locally developed formula modified in 2007 to reflect transit service levels only.

BOCC = Board of County Commissioners; MBTA = Massachusetts Bay Transportation Authority; SEWRPC = Southeastern Wisconsin Regional Planning Commission.

formula to distribute a set-aside portion of funds for the 10% of Section 5307 funds eligible to be used for ADA operating costs. The formula for this sub-allocation was generally based on the FTA formula for allocating Section 5307 funds to UZAs, with an element of the rail operator portion allotted to bus operators, because bus operators generally shoulder a greater share of the ADA operations. Table 17, from Attachment 8a of the *FY 2013–14 Transit Capital Priorities Call for Projects*, shows the sub-allocation percentages.

In addition, beginning in FY 2013, MTC set aside a portion (approximately \$2 million) of the Section 5307 funds to finance a local program known as Lifeline that had previously used Section 5316 funds (JARC); this program was eliminated by MAP-21.

With respect to the remaining FTA formula funds, MTC identifies projects to cover the time period associated with each FTA funding authorization. Most recently, MTC issued a Call for Projects for FY 2012–13 and FY 2013–14, which is the timeframe funded by MAP-21. The timetable for the TCP effort is shown in Table 18, from a *Transit Capital Priorities Call for Projects* memorandum, dated October 4, 2012.

According to MTC, the goal of the TCP criteria is to fund public transportation projects that are most essential to the region and consistent with Transportation 2035, the region's long-range transportation plans. The objectives are:

- Fund basic capital requirements,
- Maintain reasonable fairness to all operators, and

TABLE 16
MTC URBANIZED AREA ELIGIBILITY

Urbanized Area	Eligible Public Transportation Operators
San Francisco–Oakland	AC Transit, ACE, BART, Caltrain, GGBHTD, MCTD, SFMTA, SamTrans, UCT, SolTrans (ADA Paratransit Operating Set-Aside only), WETA, WestCAT
San Jose	ACE, Caltrain, VTA
Concord	ACE, BART, CCCTA, LAVTA
Antioch	BART, ECCTA
Santa Rosa	GGBHTD, Santa Rosa City Bus, Sonoma County Transit
Vallejo	Napa VINE (on behalf of American Canyon), Solano County Transit
Fairfield	Fairfield–Suisan Transit
Vacaville	Vacaville Transit
Napa	Napa VINE
Livermore	ACE, LAVTA
Gilroy–Morgan Hill	VTA
Petaluma	GGBHTD

VTA = Valley Transportation Authority; CCCTA = Central Contra Costa Transit Authority; LAVTA = Livermore Amador Valley Transit Authority; ECCTA = Eastern Contra Costa Transit Authority; VINE = Valley Intercity Neighborhood Express.

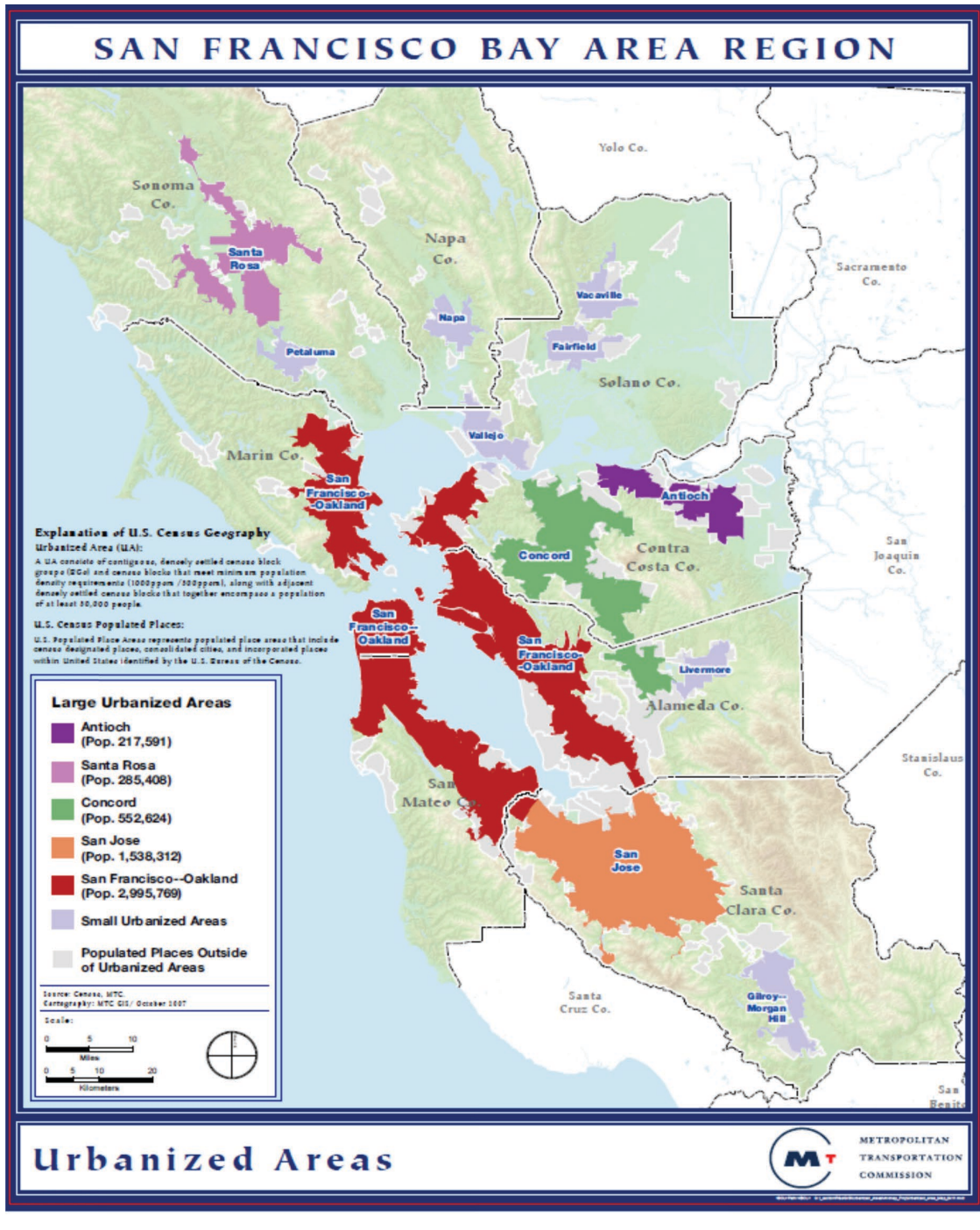


FIGURE 14 San Francisco Bay Area UZAs.

- Complement other MTC funding programs for public transportation.

Before submitting their projects for funding consideration, public transportation operators must obtain approval from their local governing body (e.g., board of directors), and must either include with their request a standard Resolution of Local Support or an Opinion of Counsel stating that the agency is an eligible recipient of FTA funds and that the agency has the legal, financial, and technical capacity to carry out the project. Next,

MTC staff screens the projects with pre-defined criteria and scores those projects that pass the screening criteria, including that the project must:

- Be consistent with the adopted Regional Transportation Plan,
- Have reasonable cost estimates and be supported by an adequate financial plan, and
- Projects must be well-defined and eligible for funding under the grant requirements.

TABLE 17
MTC SUB-ALLOCATION PERCENTAGES

Operator	Sub-Allocation of 10% ADA Operating Set Aside
AC Transit	31.1%
ACE	1.7%
BART	14.7%
Caltrain	3.3%
GGBHTD	8.8%
SFMTA	29.5%
SamTrans	7.8%
SolTrans	2.1%
WestCat	0.9%

Source: Attachment 8a of the *FY 2013–14 Transit Capital Priorities Call for Projects*.

To prevent committing a significant portion of the programming to an operator in any one year, MTC has established project funding caps. As an example, revenue vehicle replacement could not exceed \$20 million per year for buses or \$30 million per year for rail cars or ferry vessels in the aggregate for both Section 5307 and 5309 fixed guideway programs during FY 2012–13 and FY 2013–14.

All projects that have passed the screening process are assigned scores by project category as shown in Table 19.

In addition to scoring, MTC employs a number of programming policies that must be considered to determine the sub-allocation, including:

- *Regional Priority Programming Model*—Used to apportion funds to eligible UZAs when an operator is eligible to claim funds in more than one UZA. The model helps to ensure that those operators that can only claim funds in a single UZA have their highest scoring projects funded first. At that time projects for operators who can claim funds in two or three UZAs would have their projects funded in the eligible UZA for which there are funds remaining.
- *Multi-County Agreements*—In the San Francisco/Oakland UZA there are agreements with Caltrain and ACE that

affect the apportionment of funds based on the regional priority model.

- *Ten Percent ADA Paratransit Service Set-Aside*—As discussed previously, 10% of each UZA's Section 5307 apportionment is set aside and distributed according to a formula.
- *Lifeline Set-Aside*—This is a regional program that has historically used Section 5316 (JARC) funds apportioned to the large UZAs. MAP-21 eliminated the JARC program and combined JARC funds with Section 5307 funds. MTC will set aside an amount comparable to that previously funded by JARC to ensure continuation of the Lifeline program.
- *Unanticipated Costs Reserve*—MTC creates a reserve of approximately \$1 million of Section 5307 funds from all UZAs. The reserve funds will be distributed proportionately to each UZA to be used by operators in that UZA. If the funds are not used, they will roll over and be available for programming in the following year.

One outcome of these efforts is that some operators in certain years, for example BART in FY 2013, do not receive any Section 5307 funds from the San Francisco/Oakland UZA. Instead, they might receive Section 5307 funds from the Concord and Antioch UZAs and have other projects funded by Section 5309 and Section 5339 funds. A second example is that other operators, such as Union City Transit, may not receive any Section 5307 funds in a given year, unless they have a vehicle procurement scheduled and approved.

Public Transportation Operator Perspectives

The TCP process involves considerable time and effort. MTC staff and the members of the TFWG meet monthly to discuss necessary changes to the TCP Policy. Each participant in the TFWG allots approximately five hours each month, including travel time to the process. This case example focused primarily on basic Section 5307 sub-allocation; however, there are additional nuances and programs for other formula funds, such as an incentive to keep vehicles in service beyond their useful life and incentives to provide additional funding to operators that increase ridership and productivity.

TABLE 18
MTC TIMETABLE FOR THE TCP EFFORT

TCP Policy/Programing	Start Date	Finish/Due Date
TFWG TCP Policy Discussions	November 11, 2011	September 5, 2012
Call for Projects	October 3, 2012	October 31, 2012
TCP Policy to PAC/Commission		October 10/24, 2012
TCP Program to TFWG		November 14, 2012
TCP Program to PAC/Commission		December 12/19, 2012
TCP TIP amendment to PAC/Commission		January 9/23, 2013

Source: *Transit Capital Priorities Call for Projects* memorandum, dated Oct. 4, 2012

TABLE 19
MTC PROJECT CATEGORIES

Project Category	Project Score
Revenue Vehicle Replacement	16
Revenue Vehicle Rehabilitation	16
Used Vehicle Replacement	16
Fixed Guideway Replacement/Rehabilitation	16
Ferry Propulsion Systems	16
Ferry Major Component	16
Ferry Fixed Guideway Connectors	16
Revenue Vehicle Communication Equipment	16
Non-Clipper Fare Collection/Fareboxes	16
Clipper Fare Collection Equipment	16
Bus Diesel Emission Reduction Devices	16
Safety/Security Projects	15
ADA/Non-Vehicle Access Improvement	14
Fixed/Heavy Equipment, Maintenance/Operating Facilities	13
Station/Intermodal Stations/Parking Rehabilitation	12
Service Vehicles	11
Tools and Equipment	10
Office Equipment	9
Preventive Maintenance	9
Operational Improvements/Enhancements	9
Operations	8
Expansion	8

Based on discussions with several public transportation operators in the San Francisco/Oakland UZA, it was learned that:

- It is unlikely that projects with a score of less than 16 would be funded. Therefore, public transportation operators in the UZA cannot use Section 5307 funding for preventive maintenance or other eligible expenses.
- Large operators in the UZA may have an advantage, as they always have high-scoring projects available for funding.
- The TCP scoring process is “pro-forma” because most operators in the UZA already know how much money they will get in a given year, because of the priorities and the caps.
- Some small operators believe that their needs are not met because the TCP priorities do not consider service standards such as miles operated or passengers per mile.
- The TCP process is competitive and results in MTC making decisions for the operators in the UZA. The results may not always be seen as “fair,” resulting in a need for continual coordination and collaboration to ensure that all parties believe they are represented by the process.

CASE EXAMPLE 2: SANTA ROSA, CALIFORNIA URBANIZED AREA

Background

According to the 2010 U.S. Census, the Santa Rosa, California UZA, was the 121st largest UZA in the nation, with a popula-

tion of 308,231. As shown on Figure 14, it is located north and west of San Francisco, in Sonoma County.

As mentioned in Case Example 1, MTC is the only designated recipient in the San Francisco Bay Area. There are three eligible public transportation operators in the Santa Rosa UZA:

1. Santa Rosa City Bus,
2. Sonoma County Transit, and
3. Golden Gate Bridge Highway and Transit District (GGBHTD).

Each agency operates its own public transportation system. GGBHTD is also an eligible recipient of funds from the San Francisco–Oakland and Petaluma UZAs.

Institutional Roles and Responsibilities

The sub-allocation process in the Santa Rosa UZA is currently administered by MTC. As discussed in the previous case example, MTC is the designated recipient for eight large UZAs (200,000 or more in population) and it has also been authorized by Caltrans to select projects and recommend funding allocations subject to state approval for five small UZAs. Of those, Santa Rosa is the only UZA that uses a fixed formula to sub-allocate the funds.

Sub-Allocation Process

Based on an agreement that dated back nearly 20 years, Santa Rosa City Bus and Sonoma County apportioned the Santa Rosa UZA funding on the basis of a split ratio of 75% to Santa Rosa City Bus and 25% to Sonoma County. This ratio was based on the population of the city of Santa Rosa and the population of the unincorporated areas of Sonoma County at the time of the 1990 U.S. Census. GGBHTD is eligible to claim funds in the Santa Rosa UZA. However, as a result of an agreement between the operators and discussion with the Transit Finance Working Group of the MTC, GGBHTD has not claimed funds from the Santa Rosa UZA.

Following the results of the 2010 U.S. Census, Sonoma County and the city of Santa Rosa agreed that there had been some sizable shifts in the population centers, public transportation service areas, and the size of the UZA. On June 13, 2013, the parties executed a new agreement, effective for the FY 2013–2014 FTA formula funds. The distribution is still primarily based on population, making adjustments for maintenance of a shared transit mall and for unincorporated pockets and areas served by the public transportation operators. The revised split ratio results in 58% of the FTA Section 5307 funds going to the city of Santa Rosa and 42% to Sonoma County, as shown here.

Using fixed-route passenger miles operated by each public transportation operator over the past six years, the city and

county were able to show that this distribution reflected, on average, the total passenger-miles operated within the UZA.

Public Transportation Operator Perspectives

The use of a population-based formula makes it easy to administer the sub-allocation. The city and county plan to use this methodology for future sub-allocations, adjusting only when population data used by FTA to determine appropriations changes.

Both the city and the county prefer to negotiate an agreement rather than participate in the MTC TCP priorities process. The parties believe that they have more control over how the money is spent to meet their individual public transportation needs. Although MTC has allowed the two operators in the Santa Rosa UZA to negotiate the sub-allocation in a UZA with multiple operators, this appears to be an exception to the TCP process as described in the San Francisco UZA example.

CASE EXAMPLE 3: BRIDGEPORT–STAMFORD, CONNECTICUT–NEW YORK URBANIZED AREA

Background

According to the 2010 U.S. Census, the Bridgeport–Stamford, Connecticut–New York UZA was the 48th largest in the nation, with a population of 923,311. The UZA encompasses two states, Connecticut and New York. It is located in the southwestern portion of Connecticut, as shown in Figure 15, and is bordered by the Long Island Sound to the south and includes a small portion of New York State to the west.

There are eight designated recipients in the Bridgeport–Stamford UZA:

1. Greater Bridgeport Transit Authority
2. City of Stamford

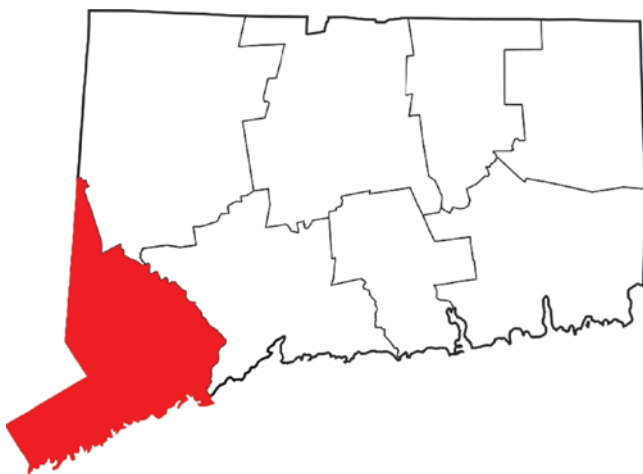


FIGURE 15 Bridgeport–Stamford, Connecticut UZA.
Source: Wikimedia Commons, June 2013.

3. Housatonic Area Regional Transit District
4. Milford Transit District
5. Greater New Haven Transit District
6. Norwalk Transit District
7. Valley Council of Governments (Valley Transit District)
8. Connecticut DOT (CDOT).

In addition to the Connecticut public transportation operators, there are public transportation services provided within the state of New York that are eligible to receive funding from the Bridgeport–Stamford UZA.

Institutional Roles and Responsibilities

CDOT is responsible for administering all of the sub-allocations for the Bridgeport–Stamford UZA both within Connecticut and the state of New York. In both instances, all parties must agree to the sub-allocation. It is important to understand, particularly as it relates to the sub-allocation within the state, that CDOT is the largest public transportation operator in the state. It operates Connecticut Transit (CTTransit), a state-run public transportation system under contract in eight UZAs: Hartford, New Haven, Stamford, Waterbury, New Britain, Meriden, Bristol, and Wallingford. The state owns the vehicles and transit facilities in Hartford, New Haven, and Stamford, as well as those operated by Southeast Area Transit, providing service in eastern Connecticut in the towns of New London, Groton, and Norwich. CTTransit bus fares and services are subject to state control. CDOT also operates the Shore Line East, a commuter rail service, and it administers state subsidies used to fund the New Haven Line (operated by MTA Metro North).

CDOT is responsible for notifying FTA of the agreed upon sub-allocation of the Connecticut and New York portion of the Bridgeport–Stamford UZA.

Sub-Allocation Process

Through an annual agreement with all of the public transportation operators in the state CDOT creates a funding pool from which capital projects in regions around the state are funded. CDOT does not use a formula to reallocate 5307 funds to the local rail or bus operators; rather, the funding pool allows for a cooperative, non-discriminatory allocation of funds to different regions based on annual needs. The disbursement of these funds is approved by the MPO in the Statewide Transportation Improvement Program. Sub-area split agreements that reflect the annual disbursement of funds by region are created by CDOT and executed by the operators from each region. The sub-allocation process in the Bridgeport–Stamford UZA is the same process used in the other large and small UZAs in the state. The other UZAs of 200,000 or more in population are New Haven and Hartford. The actual sub-allocation is driven by

the capital planning process, which identifies needs for a three- to five-year horizon. With each FTA apportionment announcement, CDOT creates a draft Sub Area Apportionment, listing projects for each UZA and for the governor's area (UZAs below 200,000 and CDOT, which operates bus and rail public transportation service). This begins a discussion of the projects and allows the agencies responsible for the projects to notify CDOT if they have the local funding in place and are able to proceed with the project on a timely basis.

CDOT routinely identifies an agreed upon portion (approximately 2% in FY 2011) of the Bridgeport–Stamford UZA funds to be added to the New York–Newark, New York–New Jersey–Connecticut UZA (known as UZA1). These funds are to be administered by the New York MTC. It is interesting to note that while Connecticut is a portion of the New York–Newark UZA, it has agreed to allocate its share of the New York–Newark UZA funds to New York. CDOT's FY 2011 split letter to FTA states:

Fewer than 500 people reside in the Connecticut portion of UZA1, and there is no transit service from either state in the area where these residents live. This continues the agreement established for FFY 2003 among New York, New Jersey, and Connecticut on allocating funds until the results of the 2010 Census become known and are acted upon.

CDOT also receives funding from the Springfield, Massachusetts–Connecticut UZA. It used 2000 U.S. Census data and FY 2002 public transportation service data from NTD to split the funds. This formula, used most recently in FY 2012, resulted in 91% of the funds going to the Pioneer Valley Transit Authority. The remaining funds (9%) are transferred to CDOT.

Public Transportation Operator Perspectives

As previously described, CDOT is the largest public transportation operator in the state. It operates CTTransit, a state-run public transportation system operated under contract in eight UZAs. Having a single entity operating service in eight UZAs greatly facilitates a cooperative sub-allocation method of distributing funds to public transportation operators outside of the specifically designated UZA. This sub-allocation approach also requires a robust statewide capital planning process. CDOT starts by identifying Section 5307 carryover funds for prior years by UZA. It adds the current (in this case FY 2012) Section 5307 apportionment and then it subtracts the New York/Connecticut split amount to determine the total resources available to Bridgeport–Stamford. Next, CDOT lists the projects eligible for funding (including transit enhancement projects) and subtracts the total of all of the projects from the total resources available. When there are funds remaining, these are transferred to the governor's area. In FY 2012, each of the large UZAs transferred funds to the governor's area, where the funds were allocated to projects

managed by CDOT and/or other public transportation operators in smaller UZAs.

According to CDOT, this approach has been very successful over the years in allowing local public transportation operators to fund major projects for which they may otherwise have never accumulated adequate funds.

CASE EXAMPLE 4: PORT ST. LUCIE, FLORIDA URBANIZED AREA

Background

According to the 2010 U.S. Census, Port St. Lucie, Florida, was the 101st largest UZA in the nation, with a population of 376,047. It is located along the eastern coast of Florida, between Fort Pierce and West Palm Beach, as shown in Figure 16. The population of this UZA increased by 39% from 2000 to 2010.

There are two designated recipients in the Port St. Lucie UZA: St. Lucie County and Martin County. Each county operates its own public transportation systems (fixed-route and demand-response services).

Institutional Roles and Responsibilities

The sub-allocation of FTA Section 5307 funds in the Port St. Lucie UZA is administered jointly by the counties. The Florida Department of Transportation (FDOT) is not involved in the sub-allocation agreements for FTA funds not administered by FDOT. The counties submit a joint letter to FTA each year, providing the Section 5307 apportionment split.

Sub-Allocation Process

Prior to the 2000 U.S. Census, UZAs within Martin and St. Lucie counties were not considered to be contiguous UZAs and as such were treated as separate UZAs for the purpose of utilizing the allocated FTA funding. As a result of the 2000 U.S. Census, UZAs within the two counties were combined to create one larger UZA. The sub-allocation process in the Port St. Lucie UZA has remained consistent over the past decade; the current formula for determining the split has been in place since 2003, with St. Lucie County receiving 62% of the funding and Martin County 38%.

The rationale for this split is:

<i>Split Factors</i>	<i>Weight</i>
Population	50%
Revenue Miles	25%
Population Density	25%

In addition to the proportional split of 62/38, Martin County has agreed for St. Lucie County to use the entire 1% appropriation required for safety and security for the entire UZA.

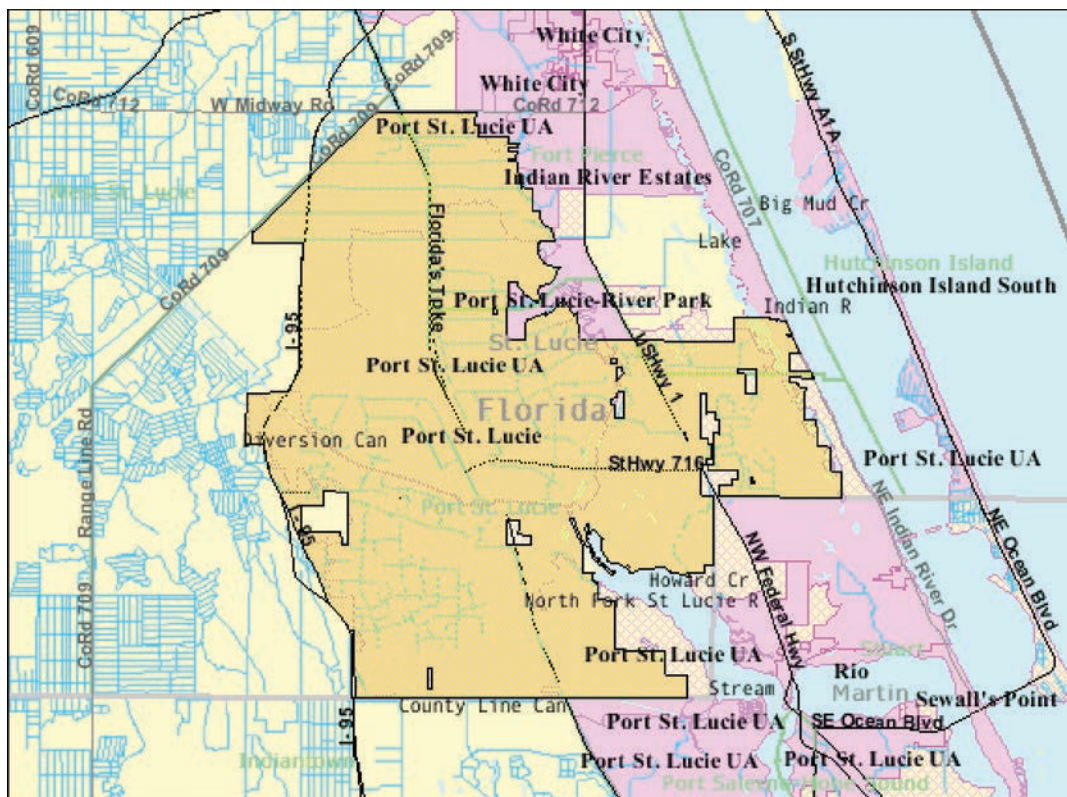


FIGURE 16 Port St. Lucie UZA. Source: Wikimedia Commons, June 2013.

Public Transportation Operator Perspectives

Neither Martin County nor St. Lucie County reported any administrative challenges with this allocation. Since the apportionment split has remained consistent, there is little time or effort required to perform the math.

The allocation of FY 2012 funding in the Port St. Lucie UZA resulted in the distribution shown in Table 20, taken from the FTA concurrence letter, dated July 4, 2012.

It can be noted that the data used for the locally developed sub-allocation formula has not been updated to reflect the changes in population, revenue-miles, or population density since the 2000 census. Given the 39% growth from 2000 to 2010, this could have a significant impact on the split. The counties appear to favor the current ratio to maintain the collegial working relationship.

CASE EXAMPLE 5: BOSTON, MASSACHUSETTS–NEW HAMPSHIRE–RHODE ISLAND URBANIZED AREA

Background

According to the 2010 U.S. Census, Boston was the tenth largest UZA in the nation, with a population of nearly 4.2 million. As shown in Figure 17, it is located along the Atlantic Ocean and covers portions of three states, Massachusetts, New Hampshire, and Rhode Island.

There are nine FTA–designated recipients in the Boston UZA:

1. Massachusetts Bay Transportation Authority (MBTA)
2. Brockton Area Transit (BAT)
3. Lawrence–Haverhill (Merrimack Valley RTA)
4. Lowell, Massachusetts–New Hampshire (LRTA)

TABLE 20
DISTRIBUTION OF FY 2012 FUNDING IN THE PORT ST. LUCIE UZA

Designated Recipient	Proportional Distribution	50% Partial Apportionment
Martin County	0.38 (less Martin County 0.01 Safety and Security)	\$885,078
St. Lucie County	0.62 (plus 0.01 Safety and Security)	\$1,467,601
Totals	1.0000	\$2,352,679



FIGURE 17 Boston UZA. *Source:* Wikimedia Commons, June 2013.

5. Taunton, Massachusetts–Rhode Island (Greater Attleboro RTA)
6. Cape Ann Transit (CATA)
7. New Hampshire DOT
8. Rhode Island Public Transit Authority (RIPTA)
9. Metro West RTA (MWRTA).

Institutional Roles and Responsibilities

The sub-allocation process in the Boston UZA is currently administered by BAT. BAT represents a middle ground between the largest designated recipient, MBTA, and the smaller regional transit authorities (RTAs). All of the designated recipients in the UZA execute a Memorandum of Understanding (MOU) each year stipulating the distribution of funds and the administrative requirements of receiving the grants from FTA. According to the “split letter” sent to FTA by the administrator of BAT on April 27, 2012, the MOU represents “a collegial effort of all of the designated recipients which demonstrates an understanding and keen awareness of the transportation needs of each region within the urbanized area.”

Sub-Allocation Process

Prior to the 2000 U.S. Census, the Boston UZA was limited to the Commonwealth of Massachusetts. All FTA Urbanized Formula Funds (now Section 5307) for the Boston UZA went directly to MBTA. The other public transportation service providers in the region (RTAs) would seek funding from MBTA, which, as a state administering agency, could decide each year

if there were funds available to meet the request of each RTA within the Commonwealth. After the 2000 U.S. Census, portions of New Hampshire and Rhode Island were added to the UZA and additional RTAs within Massachusetts were created and had applied to FTA to receive FTA funds directly. At that time, MBTA and the other operators in the UZA agreed to provide 90% of all funding to MBTA, with the remaining 10% divided by all other RTAs, according to population. Since 2000, additional RTAs have been created and funding for those agencies has been taken from the 90% allocated to MBTA. At the time of this study, the population basis for the sub-allocation formula had not been updated to reflect the 2010 U.S. Census, although the MBTA is considering alternative sub-allocation formulas. The MOU, dated March 2012, for the partial (50%) distribution of FFY 2012 Section 5307 Formula Funds included the following stipulations:

All Designated Recipients agree that they will be responsible for the following administrative requirements with regard to the funding made available to them under this agreement:

- Appropriation shall be net of any federal adjustments or take-down
- Grant filing and execution
- Grant reporting requirements
- Grant Program requirements
- Twenty-percent (20%) grant matching requirement
- One-percent (1%) System Enhancement set-aside MBTA to meet UZA set-aside (\$744,126) and the MBTA will be responsible for reporting requirements.
- Designated Recipients can exceed the ten-percent (10%) share for the provision of ADA services provided that the UZA aggregate amount does not exceed the ten-percent (10%) limit for the Boston Urbanized Area.

The MOU included the following table (Table 21).

Public Transportation Operator Perspectives

Because the sub-allocation distribution has not been updated to reflect the current population and does not reflect public transportation service provided, some of the designated recipients do not believe that they are receiving their fair share of the apportionment. As an example, an FTA website (http://www.fta.dot.gov/12853_88.html) contains a spreadsheet showing a state-by-state analysis of FTA apportionments and allocations. The website notes that:

Funds under the Section 5307, 5309, 5316, and 5317 formula programs are apportioned to Urbanized Areas (UZAs) and some of these UZAs span multiple states. The table pro-rates funds allocated to these multi-state UZAs into their component states on the basis of the population and National Transit Database (NTD) service data attributable to these states. However, the designated recipient responsible for sub-allocating formula funds may choose to use a different methodology.

The table showed that New Hampshire would be allocated a higher level of funding on the basis of population and NTD service data than it received according to the UZA’s proportional distribution. Also, MBTA believes that, based

TABLE 21
SUB-ALLOCATION DISTRIBUTION FOR BOSTON UZA

Designated Recipient	Proportional Distribution	50% Partial Apportionment
Mass Bay Transportation (MBTA)	0.896885	\$66,739,631
Brockton (BAT)	0.019284	1,434,974
Lawrence–Haverhill (MVRTA)	0.036048	2,682,429
Lowell (LRTA)	0.023870	1,776,231
Taunton (GATRA)	0.004928	366,706
New Hampshire DOT	0.004489	334,039
Rhode Island (RIPTA)	0.000000	0
Gloucester–Rockport (CATA)	0.003384	251,813
Metro West (MWRTA)	0.011112	826,874
Totals	1.000000	\$74,412,697

Note: While RIPTA does not directly receive funds in this distribution, it has a separate reciprocity agreement with GATRA, which operates in Rhode Island.

on population and population/density alone, it should receive a larger percentage of the funding than the current proportional distribution. Such increases would result in decreases to the other designated recipients. Other issues are that some of the designated recipients in the UZA believe that the funds are distributed without consideration of factors such as the availability of local match or the type (priority) of project to be funded (e.g., parking garages as compared with vehicle replacement).

The proportional distribution has been in place for at least ten years and has made the sub-allocation process easy to administer. There are limited burdens on the time of the designated recipients and limited expense associated with determining a sub-allocation that is based on multiple factors or negotiating funding shares each year.

In terms of lessons learned, MBTA believes that its sub-allocation process needs to be updated each time new census data are available. It would also like to see more factors considered in a sub-allocation formula to ensure that the agencies receive funding in proportion to the level of public transportation service provided and the financial burdens of the agency to provide those services.

CASE EXAMPLE 6: MILWAUKEE, WISCONSIN URBANIZED AREA

Background

According to the 2010 U.S. Census, the Milwaukee urbanized area was the 31st largest UZA in the nation, with a population of approximately 1.4 million. As shown in Figure 18, the Milwaukee UZA is located in the southeastern portion of Wisconsin, along the western side of Lake Michigan, approximately 90 miles from Chicago, Illinois. The UZA encompasses all or parts of five counties, 19 cities, 31 villages, and 15 towns.

There are four designated recipients in the Milwaukee UZA:

1. Milwaukee County,
2. Ozaukee County,

3. Washington County, and
4. Waukesha County.

Each county operates its own public transportation system and, within Waukesha County, the city of Waukesha also operates a public transportation system, known as Waukesha Metro Transit System.

Institutional Roles and Responsibilities

The sub-allocation process in the Milwaukee UZA is currently administered by the Southeastern Wisconsin Regional Planning Commission (SEWRPC). When FTA announces the availability of the allocation (or partial allocation) of Section 5307 funds, SEWRPC prepares a memorandum describing the distribution of the funds within the UZA, according

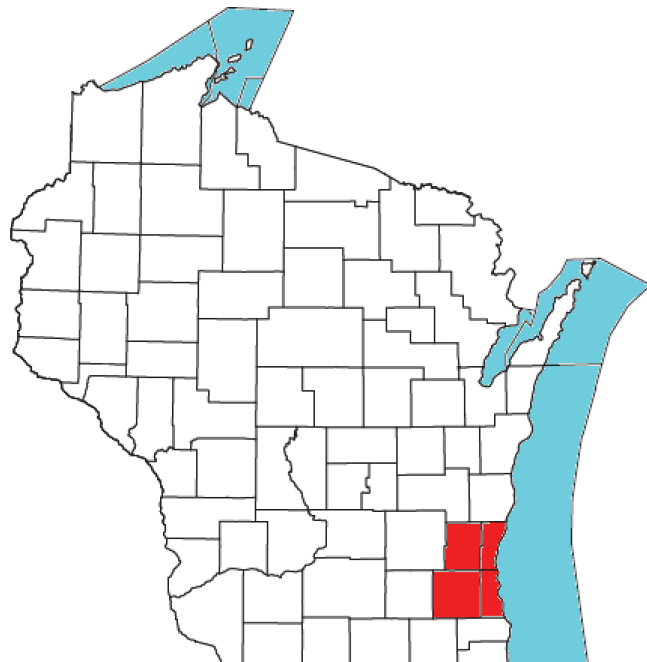


FIGURE 18 Greater Milwaukee area UZA. *Source:* Wikimedia Commons, June 2013.

to a locally developed formula. The memorandum is distributed to each of the designated recipients in the area and to the Waukesha Metro Transit System. Each recipient is asked to respond indicating agreement or disagreement with the proposed distribution.

Sub-Allocation Process

The sub-allocation process in the Milwaukee UZA has undergone several modifications in the past 15 years, as summarized here:

- 1998 and earlier—Operating funds were distributed using the FTA formula, and capital funds were distributed through a program of projects developed jointly by the public transportation operators.
- 1999–2000—All of the funds were distributed on the basis of a program of projects developed jointly by the public transportation operators. (Note: FTA funds could only be used for capital projects during this period.)
- 2001–2006—Fifty percent of the funds were distributed using the FTA formula and the remaining 50% were distributed using public transportation ridership and service criteria (revenue passengers, passenger-miles, revenue vehicle-miles, and revenue vehicle-hours) equally weighted.

In January 2006, Milwaukee County requested a review of alternative methods for distributing FTA funds in the UZA. The county believed that it needed more federal funds because it was not eligible to receive the state operating assistance that was provided to 23 smaller systems in the state, including all of the other operators in the Milwaukee UZA. SEWRPC met with all of the operators and Wisconsin DOT (WisDOT) staff four times between March 29, 2006, and May 31, 2006, to discuss this issue. The alternatives considered were:

- Using the current method (50% per FTA formula and 50% per transit service criteria),
- Using the FTA formula only,
- Using a single ridership or service criterion,
- Using ridership and service equally weighted,
- Using ridership and service criteria with higher weights placed on ridership, and
- Distributing funds generated by reserved bus lanes to the responsible transit operator and remaining funds to all operators using service and ridership criteria.

Each of the alternatives (except using the then current method) resulted in more funding for Milwaukee County and less funding for the other operators. Meetings and discussions failed to produce an agreement on a distribution method. In early June 2006, SEWRPC proposed a compromise that would phase in the application of the new method over a three-year period and require Milwaukee County to “hold harmless” the other public transportation operators for a period of time regarding changes in FTA and state funding. This compromise was rejected by all of the public transportation operators.

On June 26, 2006, WisDOT announced that it would distribute state operating assistance assuming the continued use of the current SEWRPC distribution method. This was necessary, as WisDOT’s formula for distributing operating assistance to smaller public transportation operators required knowledge of the amount of FTA funds available to each public transportation system. WisDOT provided needed funding to ensure that all agencies received the same amount of operating assistance. The targeted level was 60% of operating assistance to be provided by a combination of FTA and WisDOT funding. On June 29, 2006, SEWRPC informed Milwaukee area public transportation operators that for 2006 FTA funds would be distributed using the current method and that for 2007 and beyond, FTA formula funds would be distributed using ridership and service criteria, equally weighted. In 2007, this new distribution method resulted in the impacts shown in Table 22.

Although this reduction to the smaller operators appears significant, WisDOT operating assistance to the smaller public transportation operators was increased to offset the loss of FTA funds. In most cases, the final impact (assuming that the Ozaukee, Washington, and Waukesha public transportation systems maximized FTA formula funds for capital projects) was a reduction of approximately 1% from 2006 levels.

Public Transportation Operator Perspectives

SEWRPC spent significant time considering and quantifying alternatives and explaining the impacts to the affected parties between January 2006, when Milwaukee County requested a review of distribution methods, and November 2006, when it presented the final impacts and the plan for going forward. Today, the level of effort is minimal and all of the public transportation operators in the UZA have accepted the approach. Each year (or more frequently) when FTA funding

TABLE 22
DISTRIBUTION OF FTA FUNDS (2007)

Public Transportation Operator	Change in FTA Section 5307 Funds
Milwaukee County Transit System	+ 5%
Ozaukee County Transit System	–24%
Washington County Transit System	–13%
Waukesha County Transit System	–43%
City of Waukesha Transit System	–43%

TABLE 23
SEWRPC'S DISTRIBUTION

Designated Recipient	Proportional Distribution	50% Partial Apportionment
Ozaukee County	0.0248	\$231,797
Milwaukee County	0.9059	\$8,476,664
Washington County	0.0163	\$152,038
Waukesha County	0.0530	\$495,640
Totals	1.0000	\$9,356,139

Source: SEWRPC allocation memorandum, Table A, dated Dec. 5, 2012.

Note: Waukesha County and the city of Waukesha agreed to share equally the total amount of Section 5307 funds distributed to Waukesha County, per a January 2002 letter of agreement

apportionments are announced, SEWRPC staff use the most recently available public transportation ridership and service data, as reported by each public transportation operator to FTA's National Transit Database and WisDOT, to distribute the funds (Table 23).

The funds are distributed applying a 25% weight to each criterion:

- Revenue vehicle-miles of transit service,
- Revenue vehicle-hours of transit service,
- Revenue passengers, and
- Passenger-miles.

The partial allocation of FY 2013 funding in the Milwaukee UZA resulted in the following distribution, taken from Table A

of SEWRPC's allocation memorandum, dated December 5, 2012:

The biggest strength of this approach, according to SEWRPC is that:

The allocation of Federal formula funds based on transit ridership and service criteria is considered to be the most equitable distribution of funds among the transit operators. Each unit of transit service and each transit passenger in the Milwaukee urbanized area receives an equal and identical amount of Federal transit assistance.

The smaller public transportation operators in the Milwaukee UZA did not readily agree to this change as they would lose funding. Fortunately, state funding for operating assistance limited to smaller transit operators offset most of the losses.

CHAPTER FIVE

CONCLUSIONS**CONCLUSIONS**

This synthesis documents the methodologies and practices of public transportation operators, state departments of transportation (DOTs), and metropolitan planning organizations (MPOs) in the sub-allocation of FTA Section 5307 Formula Funds in urbanized areas (UZAs) with multiple recipients. This study effort and the results are timely, as data from the 2010 U.S. Census has resulted in many new or reconfigured UZAs that could affect sub-allocation for recipients of FTA Section 5307.

The synthesis required initial review to determine which UZAs sub-allocate Section 5307 funds. Although National Transit Database (NTD) data identify the number of public transportation operators within a UZA that report public transportation operating and financial data, these operators are not always eligible recipients of Section 5307 funds. Therefore, the study team conducted considerable outreach and documentation review to identify and confirm those UZAs that sub-allocate among multiple recipients.

Of the 179 UZAs with populations of 200,000 and more that are apportioned Section 5307 funds, approximately one-third (62 UZAs) sub-allocate the funds to multiple recipients. Sub-allocation is more prevalent in UZAs of more than 1 million, where 74% of the UZAs in this category sub-allocate, while only 23% of the UZAs between 200,000 to 1 million sub-allocate. This review did not examine the sub-allocation practices of UZAs with populations below 200,000.

A web-based survey was sent to 62 agencies (representing the 62 UZAs that sub-allocate Section 5307 funds) by e-mail, and 51 agencies successfully responded, for a response rate of 82%.

There were several key conclusions of the survey:

- Of the 51 respondents to the survey, 50 (98%) indicated that more than one agency received FTA Section 5307 funds. The one respondent that said “no” indicated that more than one agency received Section 5307 funds up to 2012 and that as a result of census changes in the UZA currently only one agency receives Section 5307 funds.
- The vast majority of the respondents to the survey (85%) were the agencies responsible for calculating the sub-allocation of Section 5307 funds. Of those that did not, all were involved in the process to some significant extent.

- Most of the agencies in the survey were either transit operators (41%) or MPOs (39%). A much smaller percentage were either state DOTs (16%) or “other” (8%).
- Geographically, the survey respondents came from 23 states throughout the United States, with concentrations in the Northeast, Midwest, and Far West.
- The majority of respondents that sub-allocate (63%) use the exact FTA formula to sub-allocate Section 5307 funds.
- Transit operators were more likely to use the exact FTA formula (81%) and MPOs are more likely to use a local approach (55%).
- Less than half of the respondents (45%) considered planning guidelines in sub-allocation decisions, with MPO respondents considering planning guidelines more often (60%) than transit operators (38%).
- The availability of local match does not play a big role in sub-allocation decisions, as only 27% of the respondents considered local match in such decisions. Transit operator respondents considered local match more (38%) than MPOs (20%).
- The average number of recipients that receive FTA Section 5307 funds in the UZAs that responded to the survey is 5.2 recipients per UZA. UZAs of MPO respondents were far more likely to have more recipients (6.6) than UZAs of transit operator respondents (3.9).
- The factors most used in locally developed methodologies/approaches when sub-allocating Section 5307 funds were “projects promoting efficient public transportation services” and “projects preserving existing public transportation service” (both 73%), while factors least considered include “projects that support economic vitality” (35%) and “projects that enhance the environment” (39%).
- As a result, FTA formula funds may be sub-allocated for projects that do not meet FTA objectives such as improving the environment or increasing public transportation efficiency, or funds may be allocated for projects for which local match is not available to carry out the project in a timely manner.
- For those respondents that did not use the FTA formula (37%) a range of sub-allocation approaches and methodologies were used. Many used a locally developed formula that was based solely on population and population density or based solely on public transportation service and ridership alone, or some combination, but different from the FTA formula. Others used ratios, such as 90%, to the largest public transportation

operator, with the 10% shared by other operators, with no specific rationale for the split. A number of respondents based their sub-allocation decisions on the capital needs of the UZA with no reliance on a formula. These respondents reported that this approach provided a better opportunity for projects to be funded when the recipient was ready to proceed, including having the local match available.

The case examples provided an “inside look” at the range of locally developed approaches to sub-allocating FTA Section 5307 funds. Interviews were conducted with both the agencies responsible for administering the sub-allocation methodology and the other public transportation operators who rely on the sub-allocation to support their public transportation systems. The study revealed that the method of sub-allocation appeared to have an impact on how the funds are used.

Two of the UZAs in the case examples (Metropolitan Transit Commission and Connecticut DOT) used a needs-based approach for sub-allocating. In those UZAs that relied exclusively on a capital needs-based approach, the funds were used primarily for vehicle replacement. Smaller public transportation operators in those UZAs might not receive any FTA Section 5307 funds in a given year if they do not have a vehicle or equipment acquisition programmed for that year. They also may not be able to use funds for FTA-eligible purposes such as preventive maintenance or non-revenue equipment purchases. On the other hand, when these smaller public transportation operators do need vehicles and have the local match to make the purchase they can make larger vehicle purchases than they might otherwise be able to do, if they received their funds annually, using the FTA formula.

Two of the UZAs in the case examples used a formula or ratio primarily based on population. In both of these examples, there were only two eligible recipients of FTA Section 5307 funds in the UZA, which may make sub-allocating the FTA Section 5307 funds easier than when multiple recipients are in competition for funds. These agencies used the FTA Section 5307 funds for preventive maintenance, ADA paratransit service, vehicle purchases, and other eligible capital projects.

One of the case examples (Milwaukee) described an approach for sub-allocating FTA Section 5307 funds that has evolved from using the exact FTA formula to using a needs-based approach to the current approach of a formula based exclusively on measures of public transportation service provided within the UZA. In this UZA, the largest public transportation operator receives the bulk of the FTA Section 5307 funds and also provides the bulk of the public transportation service. If this UZA relied on the FTA formula, the largest public transportation operator would receive a smaller share of the FTA Section 5307 funds. The rationale

for this approach is that each public transportation passenger within the UZA receives the same FTA subsidy amount. In this example, the smaller public transportation operators use their FTA Section 5307 funds primarily for capital purchases because the state of Wisconsin provides operating subsidies to smaller public transportation operators.

The remaining case example (Massachusetts Bay Transportation Authority) is reflective of a situation faced in many large urban areas, where the historical public transportation operator that at one time received all of the FTA Section 5307 funds in its UZA is now required to share the funding with generally smaller operators that may provide public transportation service in areas that have been added to the UZA through changes to U.S. Census designations. In this case, the historical public transportation operator receives the largest share of the funding and the other operators work out a sub-allocation formula that is agreeable to all parties. With the use of a split ratio, each operator can decide how to use its funds on any eligible project.

The synthesis revealed that the agencies responsible for determining the methodology and calculating the sub-allocations were reflective of the historical role that the agency played in public transportation in the UZA. For example, in the western United States, MPOs, such as the Southern California Association of Governments and the MTC function as the sole designated recipients for FTA formula funds in their respective regions. They tend to manage the sub-allocation and can have a significant influence on the outcomes. In other areas, such as in the eastern United States, state agencies such as the MBTA and Connecticut DOT control the sub-allocation process. These agencies have historically been the major providers of public transportation in the large UZAs. Often they interpret sub-allocation as sharing funds that traditionally went exclusively to their agencies.

A final finding is that once a sub-allocation methodology is agreed to by all parties within a UZA it is very difficult, if not impossible, to change. Public transportation operators tend to want to co-exist amicably with their neighboring agencies. They recognize that if one agency gets more funding through a change to a sub-allocation approach, then another agency or agencies will lose money. As a result, it was found that some agencies continue to use a formula or split ratio that relied on out-of-date census or ridership data.

FURTHER RESEARCH

During the course of this study and during discussions with the project panel, a number of gaps in information were identified that could be explored by further research:

- The impact of different sub-allocation methodologies on the outcomes for the UZAs and public transportation customers; for example, how are the funds used

in needs-based approaches as compared with formula-based approaches?

- More focused survey of recipients in UZAs that sub-allocate to more fully understand the public transportation operators' perspectives.
- What is considered "equity" in the sub-allocation of funds?
- Do sub-allocation outcomes meet FTA guidance in that the MPO and designated recipient could be able to demonstrate that whatever sub-allocation system they use "adequately represents" the current needs of the various agencies.
- The impact of MAP-21 on the sub-allocation process, to include such issues as performance-based planning and the new 100 bus rule for operating assistance.
- Synthesis on current practices for sub-allocating the Governor's Section 5307 apportionments in areas of between 50,000 and 199,999 in population.
- Synthesis on current practices of state DOTs in sub-allocating Section 5311 funds in rural areas.
- Further refining and categorizing the general types of sub-allocation approaches that are used (e.g., collaborative, fixed, and unified) and extracting some key aspects that new UZAs might consider.

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APPENDIX A

UZAs with a Population of 200,000 or More

Alphabetical listing of UZAs with a population of more than one million.

1. Atlanta, GA
2. Austin, TX
3. Baltimore, MD
4. Boston, MA–NH–RI
5. Charlotte, NC–SC
6. Chicago, IL–IN
7. Cincinnati, OH–KY–IN
8. Cleveland, OH
9. Columbus, OH
10. Dallas–Fort Worth–Arlington, TX
11. Denver–Aurora, CO
12. Detroit, MI
13. Houston, TX
14. Indianapolis, IN
15. Jacksonville, FL
16. Kansas City, MO–KS
17. Las Vegas–Henderson, NV
18. Los Angeles–Long Beach–Anaheim, CA
19. Memphis, TN–MS–AR
20. Miami, FL
21. Milwaukee, WI
22. Minneapolis–St. Paul, MN–WI
23. New York–Newark, NY–NJ–CT
24. Orlando, FL
25. Philadelphia, PA–NJ–DE–MD
26. Phoenix–Mesa, AZ
27. Pittsburgh, PA
28. Portland, OR–WA
29. Providence, RI–MA
30. Riverside–San Bernardino, CA
31. Sacramento, CA
32. Salt Lake City–West Valley City, UT
33. San Antonio, TX
34. San Diego, CA
35. San Francisco–Oakland, CA
36. San Jose, CA
37. San Juan, PR
38. Seattle, WA
39. St. Louis, MO–LA
40. Tampa–St. Petersburg, FL
41. Virginia Beach, VA
42. Washington, DC–VA–MD

Alphabetical listing of UZAs with a population of 200,000 to 1,000,000.

43. Aberdeen–Bel Air South–Bel Air North, MD
44. Aguadilla–Isabela–San Sebastian, PR
45. Akron, OH
46. Albany–Schenectady, NY
47. Albuquerque, NM
48. Allentown, PA–NJ
49. Anchorage, AK
50. Ann Arbor, MI
51. Antioch, CA
52. Appleton, WI
53. Asheville, NC

54. Atlantic City, NJ
55. Augusta–Richmond County, GA–SC
56. Bakersfield, CA
57. Barnstable Town, MA
58. Baton Rouge, LA
59. Birmingham, AL
60. Boise City, ID
61. Bonita Springs, FL
62. Bridgeport–Stamford, CT–NY
63. Brownsville, TX
64. Buffalo, NY
65. Canton, OH
66. Cape Coral, FL
67. Charleston–North Charleston, SC
68. Chattanooga, TN–GA
69. Colorado Springs, CO
70. Columbia, SC
71. Columbus, GA–AL
72. Concord, CA
73. Concord, NC
74. Conroe–The Woodlands, TX
75. Corpus Christi, TX
76. Davenport, IA–IL
77. Dayton, OH
78. Denton–Lewisville, TX
79. Des Moines, IA
80. Durham, NC
81. El Paso, TX–NM
82. Eugene, OR
83. Evansville, IN–KY
84. Fayetteville, NC
85. Fayetteville–Springdale–Rogers, AR–MO
86. Flint, MI
87. Fort Collins, CO
88. Fort Wayne, IN
89. Fresno, CA
90. Grand Rapids, MI
91. Green Bay, WI
92. Greensboro, NC
93. Greenville, SC
94. Gulfport, MS
95. Harrisburg, PA
96. Hartford, CT
97. Hickory, NC
98. Huntington, WV–KY–OH
99. Huntsville, AL
100. Indio–Cathedral City, CA
101. Jackson, MS
102. Kalamazoo, MI
103. Kennewick–Pasco, WA
104. Killeen, TX
105. Kissimmee, FL
106. Knoxville, TN
107. Lafayette, LA
108. Lakeland, FL
109. Lancaster–Palmdale, CA
110. Lancaster, PA
111. Lansing, MI
112. Laredo, TX
113. Lexington–Fayette, KY

114. Lincoln, NE
115. Little Rock, AR
116. Louisville/Jefferson County, KY-IN
117. Lubbock, TX
118. Madison, WI
119. McAllen, TX
120. Mission Viejo-Lake Forest-San Clemente, CA
121. Mobile, AL
122. Modesto, CA
123. Montgomery, AL
124. Murrieta-Temecula-Menifee, CA
125. Myrtle Beach-Socastee, SC-NC
126. Nashua, NH-MA
127. Nashville-Davidson, TN
128. New Haven, CT
129. New Orleans, LA
130. Norwich-New London, CT-RI
131. Ogden-Layton, UT
132. Oklahoma City, OK
133. Omaha, NE-IA
134. Oxnard, CA
135. Palm Bay-Melbourne, FL
136. Palm Coast-Daytona Beach-Port Orange, FL
137. Pensacola, FL-AL
138. Peoria, IL
139. Port St. Lucie, FL
140. Portland, ME
141. Poughkeepsie-Newburgh, NY-NJ
142. Provo-Orem, UT
143. Raleigh, NC
144. Reading, PA
145. Reno, NV-CA
146. Richmond, VA
147. Roanoke, VA
148. Rochester, NY
149. Rockford, IL
150. Round Lake Beach-McHenry-Grayslake, IL-WI
151. Salem, OR
152. Santa Clarita, CA
153. Santa Rosa, CA
154. Sarasota-Bradenton, FL
155. Savannah, GA
156. Scranton, PA
157. Shreveport, LA
158. South Bend, IN-MI
159. Spokane, WA
160. Springfield, MA-CT
161. Springfield, MO
162. Stockton, CA
163. Syracuse, NY
164. Tallahassee, FL
165. Thousand Oaks, CA
166. Toledo, OH-MI
167. Trenton, NJ
168. Tucson, AZ
169. Tulsa, OK
170. Urban Honolulu, HI
171. Victorville-Hesperia, CA
172. Visalia, CA
173. Wichita, KS
174. Wilmington, NC
175. Winston-Salem, NC
176. Winter Haven, FL
177. Worcester, MA-CT
178. York, PA
179. Youngstown, OH-PA

APPENDIX B

Summary Work Table of UZAs with a Population of 200,000 or More

UZA No.	Urbanized Area/State	Agencies Responsible for Sub-Allocation	Designated Direct Recipient	Recipients of 5307 Funding in the UZA	Other UZAs Involved? List	Sub-allocate? Y/N
1	Atlanta, GA	Metropolitan Atlanta Rapid Transit Authority (MARTA)	MARTA	MARTA	N	Y
				Cobb Community Transit		
				Gwinnett County		
				Georgia Regional Transportation Authority (GRTA)		
				Clayton County/MARTA		
				ARC		
				Douglas County		
				Rockdale County		
				Cherokee County		
				Henry County		
				Hall County		
2	Austin, TX	Capital Area Transit (CAT)	CAT	CAT		Y
				City of Round Rock		
3	Baltimore, MD	Maryland Transit Administration (MTA)	MTA	MTA	N	Y
				City of Annapolis		
4	Boston, MA	Massachusetts Bay Transportation Authority (MBTA)	MBTA	MBTA		Y
				Brockton Area Transit Authority (BAT)		
				Merrimack Valley Regional Transit Authority (MVRTA)		

UZA No.	Urbanized Area/State	Agencies Responsible for Sub-Allocation	Designated Direct Recipient	Recipients of 5307 Funding in the UZA	Other UZAs Involved? List	Sub-allocate? Y/N
				Greater Attleboro Taunton Regional Transit Authority (GATRA)		
				New Hampshire DOT		
				Lowell Regional Transit Authority (LRTA)		
				RIPTA		
				Cape Ann Transit Authority (CATA)		
				Metro West Regional Transit Authority (MWRTA)		
5	Charlotte, NC-SC	N/A	City of Charlotte (CATS)	CATS		N
6	Chicago, IL-IN	Regional Transportation Authority (RTA)	RTA		Y, Round Lake Beach-McHenry-Grayslake, IL-WI	Y
			Chicago Transit Authority (CTA)	CTA		
			Commuter Rail Division (METRA)	METRA		
			Suburban Bus Division (PACE)	PACE		
				East Chicago Transit		
				Gary Public Transportation Corporation		
				Northwestern Indiana Regional Planning Commission		

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UZA No.	Urbanized Area/State	Agencies Responsible for Sub-Allocation	Designated Direct Recipient	Recipients of 5307 Funding in the UZA	Other UZAs Involved? List	Sub-allocate? Y/N	
7	Cincinnati, OH– KY–IN	OKI Regional COG	Southeast Ohio Regional Transit Authority (SORTA)	Southeast Ohio Regional Transit Authority (SORTA)		Y	
				Butler County Regional Transit Authority (BCRTA)			
				Clermont Transportation Connection			
				Transit Authority of Northern Kentucky (TANK)			
8	Cleveland, OH	Greater Cleveland Regional Transit Authority (GCRTA)	GCRTA	Greater Cleveland Regional Transit Authority (GCRTA)		Y	
				LAKETRAN	LAKETRAN		
					Portage Area Regional Transit Authority (PARTA)		Y, Akron
					Lorain County Transit		Y, Lorain–Elyria
					Brunswick Transit Alternative (BTA)		
9	Columbus, OH	N/A	Central Ohio Transit Authority (COTA)	Central Ohio Transit Authority (COTA)		N	
10	Dallas–Fort Worth– Arlington, TX	North Central Texas COG	Dallas Area Regional Transit (DART)	Dallas Area Regional Transit (DART)		Y	
				Fort Worth Transit Authority (The T)			
				City of Grapevine			

UZA No.	Urbanized Area/State	Agencies Responsible for Sub-Allocation	Designated Direct Recipient	Recipients of 5307 Funding in the UZA	Other UZAs Involved? List	Sub-allocate? Y/N
				City of Grand Prairie (The Grand Connection)		
				City of Arlington (Handitran)		
				City of Mesquite (MTED)		
				Northeast Transportation Services (NETS)		
				City of Cleburne (CleTran)		
				Collin County Area Regional Transit (CCART)	McKinney	
				Public Transit Services (PTS)		
				Special Programs for Aging Needs (SPAN)		
				Star Transit		
				North Central Texas COG		
11	Denver–Aurora, CO	N/A	Regional Transportation District (RTD)	Regional Transportation District (RTD)	Y, Boulder, Lafayette–Louisville, Longmont	N
12	Detroit, MI	Southeast Michigan COG (SEMCOG)		Suburban Mobility Area Transit (SMART)		Y
				Detroit DOT		
				DTC (People Mover)		
13	Houston, TX	Harris County MTA	MTA	Harris County MTA	Y, Woodlands	Y
				Fort Bend County		
				Harris County		

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UZA No.	Urbanized Area/State	Agencies Responsible for Sub-Allocation	Designated Direct Recipient	Recipients of 5307 Funding in the UZA	Other UZAs Involved? List	Sub-allocate? Y/N
14	Indianapolis, IN	N/A	Indianapolis Public Transit Corporation (IndyGO)	IndyGO		N
15	Jacksonville, FL	N/A	Jacksonville Transportation Authority (JTA)	JTA		N
16	Kansas City, MO–KS	Kansas City Area Transit Authority (KCATA)	KCATA	KCATA		Y
			Mid-America Regional Council			
				Wyandotte County, KS		
				City of Independence, MO		
				Johnson County Transit (JOCO)		
17	Las Vegas–Henderson, NV	N/A	Southern Nevada Regional Transportation Commission	Southern Nevada Regional Transportation Commission		N
18	Los Angeles–Long Beach–Anaheim CA	Southern California Association of Governments (SCAG)	SCAG	Los Angeles MTA	Y, Indio/Palm Springs; Riverside/San Bernardino; Temecula/ Murrieta	Y
				Orange County Transit Authority (OCTA)		
				Access Services		
				Santa Monica Big Blue Bus		
				Foothill Transit		

UZA No.	Urbanized Area/State	Agencies Responsible for Sub-Allocation	Designated Direct Recipient	Recipients of 5307 Funding in the UZA	Other UZAs Involved? List	Sub-allocate? Y/N
				Long Beach Transit		
				MetroLink (SCRRA)		
				Torrance Transit		
				City of Gardena		
				Los Angeles DOT		
				Montebello Bus Lines		
				Commerce, City of		
				Culver City Municipal Transit		
				City of Arcadia		
19	Memphis, TN–MS–AR		MATA	MATA		N
20	Miami, FL	South Florida Regional Transportation Authority (SFRTA)	Miami–Dade Transit	Miami–Dade Transit		Y
			Broward County Transit	Broward County Transit		
			PalmTran	PalmTran		
			SFRTA	SFRTA		
21	Milwaukee, WI	Southeastern Wisconsin RPC (SEWRPC)	Milwaukee County Transit	Milwaukee County Transit		Y
			Waukesha Transit	Waukesha Transit		
22	Minneapolis–St. Paul, MN–WI	N/A	Metropolitan Council	Metropolitan Council		N
23	New York, Newark, NY–NJ–CT	New York State DOT (NYSDOT)	New York MTA	New York MTA	No	Y
		New York Metropolitan Transportation Council (NYMTC)		New York City DOT		
				Nassau County		

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UZA No.	Urbanized Area/State	Agencies Responsible for Sub-Allocation	Designated Direct Recipient	Recipients of 5307 Funding in the UZA	Other UZAs Involved? List	Sub-allocate? Y/N
				Putnam County		
				Suffolk County		
				Westchester County		
				NJ Transit	Philadelphia	
24	Orlando, FL	N/A	LYNX	LYNX	Kissimmee	
25	Philadelphia, PA–NJ–DE–MD	Pennsylvania DOT	Southeastern Pennsylvania Transportation Authority (SEPTA)	SEPTA		Y
				NJ Transit	Y, NY/NJ/CT	
				Delaware Regional Port Authority		
				PENNDOT		
				Delaware DOT		
				Maryland MTA	Baltimore	
26	Phoenix–Mesa, AZ	Maricopa Association of Governments	City of Phoenix	City of Phoenix	Avondale	Y
				Regional Public Transportation Authority (RPTA)		
				City of Tempe		
				Valley Metro Rail		
				City of Glendale		
				City of Surprise		
				City of Peoria		
				City of Scottsdale		
				City of Avondale		

UZA No.	Urbanized Area/State	Agencies Responsible for Sub-Allocation	Designated Direct Recipient	Recipients of 5307 Funding in the UZA	Other UZAs Involved? List	Sub-allocate? Y/N
27	Pittsburgh, PA	Southwest Pennsylvania Commission (SPC)	Port Authority of Alleghany County (PAT)	PAT		Y
				Beaver County Transit Authority (BCTA)		
				Westmoreland County Transit Authority (WCTA)		
				City of Washington		
28	Portland, OR-WA	TriMet	TriMet	TriMet		Y
				C-Tran		
				SMART		
29	Providence, RI-MA	Rhode Island Public Transit Authority (RIPTA)	RIPTA	RIPTA		Y
			Greater Attleboro-Taunton Regional Transit Authority (GATRA)	GATRA		
			Southeastern Regional Transit Authority (SRTA)	SRTA		
30	Riverside-San Bernardino, CA	Southern California Association of Governments (SCAG)		Riverside Transit Agency	Murrieta and Hemet	Y
				Omnitrans		
				City of Riverside		
31	Sacramento, CA	Sacramento Area COG	Sacramento Regional Transit	Sacramento Regional Transit		Y
				Yolo County Transportation District (YCTD)		

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UZA No.	Urbanized Area/State	Agencies Responsible for Sub-Allocation	Designated Direct Recipient	Recipients of 5307 Funding in the UZA	Other UZAs Involved? List	Sub-allocate? Y/N
32	Salt Lake City–West Valley City, UT	N/A	Utah Transit Authority (UTA)	UTA	Provo–Orem, Ogden–Layton	N
33	San Antonio, TX	N/A	VIA			N
34	San Diego, CA	San Diego Association of Governments (SANDAG)	SANDAG			Y
				Metropolitan Transit System (MTS)		
				North San Diego County Transit District (NCTD)		
35	San Francisco–Oakland, CA	Metropolitan Transportation Commission (MTC)	Metropolitan Transportation Commission (MTC)		Yes, Concord	Y
				Alameda–Contra Costa Transit District (AC Transit)	No	
				Bay Area Rapid Transit District (BART)	Yes, Concord	
				Caltrain/Joint Powers Board		
				Golden Gate Bridge Highway Transit District (GGBHTD)	Yes, Petaluma	
				San Francisco Metropolitan Transportation Authority (SFMTA)		
				San Mateo County Transit District (SamTrans)		

UZA No.	Urbanized Area/State	Agencies Responsible for Sub-Allocation	Designated Direct Recipient	Recipients of 5307 Funding in the UZA	Other UZAs Involved? List	Sub-allocate? Y/N
				Western Contra Costa Transit Authority (West CAT)		
				Water Emergency Transportation Authority (WETA)		
				Union City Transit		
36	San Jose, CA	Metropolitan Transportation Commission (MTC)	Caltrain			Y
			Santa Clara Valley Transportation Authority (VTA)			
37	San Juan, PR	Puerto Rico Highway and Transportation Authority (ACT)	Puerto Rico Highway and Transportation Authority (ACT)	ACT		Y
				Metropolitan Bus Authority (MBA)		
				Puerto Rico Ports Authority (PRPA)		
				City of San Juan		
				Municipality of Carolina		
				Municipality of Gurabo		
				Municipality of Bayamon		
				Municipality of Toa Baja		
				Municipality of Dorado		
				Municipality of Vega Alta		

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UZA No.	Urbanized Area/State	Agencies Responsible for Sub-Allocation	Designated Direct Recipient	Recipients of 5307 Funding in the UZA	Other UZAs Involved? List	Sub-allocate? Y/N
				14 Other Municipalities		
38	Seattle, WA	Puget Sound Regional Council		King County Transit (Seattle Metro)		Y
				Central Puget Sound Transit (SOUND Transit)		
				Pierce Transit		
				Washington State DOT/Washington State Ferries (WSF)		
				City of Everett		
				Snohomish County PTBAC		
				City of Seattle		
				RTA		
39	St. Louis, MO-LA	Bi-State Development Agency (METRO)	METRO	METRO		
				Madison County Transit District	Alton, IL	
40	Tampa-St. Petersburg, FL	Tampa Bay Area Transportation Authority	PSTA	PSTA		Y
			HART	HART		
			Pasco County	Pasco County	Zephyrhills	
41	Virginia Beach, VA	N/A	Hampton Roads Transit			N
42	Washington, DC-VA-MD	Potomac and Rappahannock Transportation Commission (PRTC)	Metropolitan Washington Council of Governments TPB	Washington Metropolitan Area Transit Authority (WMATA)		Y
				PRTC		

UZA No.	Urbanized Area/State	Agencies Responsible for Sub-Allocation	Designated Direct Recipient	Recipients of 5307 Funding in the UZA	Other UZAs Involved? List	Sub-allocate? Y/N
				Maryland Transit Administration (MTA)		
43	Aberdeen–Bel Air South–Bel Air North, MD	Maryland Transit Administration (MTA)	Maryland Transit Administration (MTA)	Maryland Transit Administration (MTA)		Y
				Harford County Transit		
44	Aguadilla–Isabela–San Sebastian, PR	Puerto Rico Highway and Transportation Authority (PRHTA)	Puerto Rico Highway and Transportation Authority (PRHTA)	Municipality of San Sebastian		Y
				Three Other Municipalities		
45	Akron, OH	N/A	Metro Regional Transit Authority (Metro RTA)	Metro Regional Transit Authority (Metro RTA)		N
46	Albany–Schenectady, NY	N/A	Capital District Transportation Authority (CDTA)	Capital District Transportation Authority (CDTA)		N
47	Albuquerque, NM	N/A	City of Albuquerque	City of Albuquerque		N
48	Allentown, PA–NJ	Lehigh and Northampton Transportation Authority (LANTA)	LANTA	Lehigh and Northampton Transportation Authority (LANTA)		Y
				NJ Transit	Y, NY/NJ; Philadelphia; Allentown	
				SEPTA	Y, Philadelphia	
49	Anchorage, AK	Alaska Railroad Corporation	Municipality of Anchorage	Municipality of Anchorage		Y

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UZA No.	Urbanized Area/State	Agencies Responsible for Sub-Allocation	Designated Direct Recipient	Recipients of 5307 Funding in the UZA	Other UZAs Involved? List	Sub-allocate? Y/N
			Alaska Railroad Corporation			
50	Ann Arbor, MI	N/A	Ann Arbor Transportation Authority (AATA)	Ann Arbor Transportation Authority (AATA)		N
51	Antioch, CA	Metropolitan Transportation Commission (MTC)	Metropolitan Transportation Commission (MTC)	Eastern Contra Costa Transit Authority		Y
				BART		
				WETA		
52	Appleton, WI	N/A	City of Appleton (Appleton Valley Transit)	City of Appleton (Appleton Valley Transit)		N
53	Asheville, NC	N/A	City of Asheville	City of Asheville		N
54	Atlantic City, NJ	N/A	New Jersey Transit Corporation (NJTC)	New Jersey Transit Corporation (NJTC)		N
55	Augusta-Richmond County, GA-SC	N/A	Augusta Richmond County Georgia	Augusta Richmond County Georgia		N
56	Bakersfield, CA	N/A	Golden Empire Transit District (GET)	Golden Empire Transit District (GET)		N
57	Barnstable Town, MA	N/A	Cape Cod Regional Transit Authority (CCRTA)	Cape Cod Regional Transit Authority (CCRTA)		N
58	Baton Rouge, LA	N/A	City of Baton Rouge	City of Baton Rouge		N

UZA No.	Urbanized Area/State	Agencies Responsible for Sub-Allocation	Designated Direct Recipient	Recipients of 5307 Funding in the UZA	Other UZAs Involved? List	Sub-allocate? Y/N
59	Birmingham, AL	N/A	Birmingham Jefferson County Transit Authority (BJCTA)	Birmingham Jefferson County Transit Authority (BJCTA)		N
60	Boise City, ID	N/A	Valley Regional Transit	Valley Regional Transit	NAMPA	N
61	Bonita Springs, FL	Collier County Board of County Commissioners		Lee County Collier County		Y
62	Bridgeport–Stamford, CT–NY	Connecticut Department of Transportation (DOT)	Cities of Stamford and Bridgeport GBTA MLTD MFTD Norwalk VCOG Connecticut DOT	Cities of Stamford and Bridgeport Greater Bridgeport Transit Authority (GBTA) MLTD Milford Transit District Norwalk Transit District Valley Council of Governments (VCOG) Connecticut DOT/Connecticut Transit		Y
63	Brownsville, TX	N/A	HART City of Brownsville	Housatonic Area Regional Transit District City of Brownsville		N
64	Buffalo, NY	N/A	Niagara Frontier Transportation Authority (NFTA)	Niagara Frontier Transportation Authority (NFTA)		N

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UZA No.	Urbanized Area/State	Agencies Responsible for Sub-Allocation	Designated Direct Recipient	Recipients of 5307 Funding in the UZA	Other UZAs Involved? List	Sub-allocate? Y/N
65	Canton, OH	N/A	Stark Area Regional Transit Authority	Stark Area Regional Transit Authority		N
66	Cape Coral, FL	N/A		Lee County		N
67	Charleston–North Charleston, SC	N/A	Charleston Area Regional Transportation Authority (CARTA)	CARTA		N
68	Chattanooga, TN–GA	N/A	Chattanooga Area Regional Transportation Authority (CARTA)	Chattanooga Area Regional Transportation Authority (CARTA)		N
69	Colorado Springs, CO	N/A	City of Colorado Springs	City of Colorado Springs		N
70	Columbia, SC	Central Midlands Council of Governments (Columbia CMCOG)	Columbia CMCOG	Central Midlands Council of Governments (Columbia CMCOG)		Y
			Central Midlands Regional Transit Authority (CMRTA)	Central Midlands Regional Transit Authority (CMRTA)		
71	Columbus, GA–AL	N/A	Consolidated Government of Columbus	Consolidated Government of Columbus		N
72	Concord, CA	Metropolitan Transportation Commission (MTC)	Metropolitan Transportation Commission (MTC)	Central Contra Costa Transit Authority (CCCTA)		Y
				ACE		
				BART		

UZA No.	Urbanized Area/State	Agencies Responsible for Sub-Allocation	Designated Direct Recipient	Recipients of 5307 Funding in the UZA	Other UZAs Involved? List	Sub-allocate? Y/N
73	Concord, NC	N/A	North Carolina Department of Transportation (NCDOT)	City of Concord (COC)		N
74	Conroe–The Woodlands, TX	N/A		Harris County MTA		N
75	Corpus Christi, TX	N/A	Corpus Christi Regional Transit Authority (Corpus Christi RTA)	Corpus Christi Regional Transit Authority (Corpus Christi RTA)		N
76	Davenport, IA–IL	N/A	City of Davenport–Davenport City Hall (Davenport DMT)	City of Davenport–Davenport City Hall		N
77	Dayton, OH	N/A	Greater Dayton Regional Transit Authority (Davenport DMT)	Greater Dayton Regional Transit Authority (Davenport DMT)		N
78	Denton–Lewisville, TX	North Central Texas COG		Denton County Transportation Authority (DCTA)		Y
				SPAN (see Dallas UZA)		
79	Des Moines, IA	N/A	Des Moines Regional Transit Authority	Des Moines Regional Transit Authority		N
80	Durham, NC	N/A	City of Durham	City of Durham		N
81	El Paso, TX–NM	N/A	City of El Paso–Sun Metro (Sun Metro)	City of El Paso–Sun Metro (Sun Metro)		N
82	Eugene, OR	N/A	Lane Transit District	Lane Transit District		N

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UZA No.	Urbanized Area/State	Agencies Responsible for Sub-Allocation	Designated Direct Recipient	Recipients of 5307 Funding in the UZA	Other UZAs Involved? List	Sub-allocate? Y/N
83	Evansville, IN-KY	Evansville Metropolitan Planning Organization (EMPO)	City of Evansville (METS)	City of Evansville (METS)		Y
				HART [City of Henderson Transit (KY)]		
84	Fayetteville, NC	N/A	City of Fayetteville	City of Fayetteville		N
85	Fayetteville–Springdale–Rogers, AR–MO	N/A	Ozark Regional Transit (Ozark)	Ozark Regional Transit (Ozark)		N
86	Flint, MI	N/A	Flint Mass Transportation Authority (Flint MTA)	Flint Mass Transportation Authority (Flint MTA)		N
87	Fort Collins, CO		City of Fort Collins	City of Fort Collins		N
88	Fort Wayne, IN	N/A	Fort Wayne Public Transportation Corp. (Fort Wayne PTC)	Fort Wayne Public Transportation Corp. (Fort Wayne PTC)		N
89	Fresno, CA	N/A	City of Fresno	City of Fresno		N
90	Grand Rapids, MI	N/A	Interurban Transit Partnership (ITP)	Interurban Transit Partnership (ITP)		N
91	Green Bay, WI	N/A	City of Green Bay Transit System	City of Green Bay Transit System		N
92	Greensboro, NC	N/A	City of Greensboro	City of Greensboro		N
93	Greenville, SC	N/A	Greenville Transit Authority (Greenville TA)	Greenville Transit Authority (Greenville TA)		N

UZA No.	Urbanized Area/State	Agencies Responsible for Sub-Allocation	Designated Direct Recipient	Recipients of 5307 Funding in the UZA	Other UZAs Involved? List	Sub-allocate? Y/N
94	Gulfport, MS	N/A	Coast Transit Authority (Gulfport CTA)	Coast Transit Authority (Gulfport CTA)		N
95	Harrisburg, PA	Pennsylvania DOT	Capital Area Transit (CAT)	CAT PENNDOT		Y
96	Hartford, CT	Connecticut Department of Transportation (DOT)	Greater Hartford Transit District	Greater Hartford Transit District Connecticut DOT/Connecticut Transit Middletown Transit District		Y
97	Hickory, NC	N/A	City of Hickory	City of Hickory		N
98	Huntington, WV–KY–OH	KYOVA (KY–OH–VA) MPO	Tri-State Transit Authority (TTA)	Tri-State Transit Authority (TTA)		Y
99	Huntsville, AL	N/A	City of Huntsville, Department of Parking and Public Transit (Huntsville City)	City of Huntsville, Department of Parking and Public Transit (Huntsville City)		N
100	Indio–Cathedral City, CA	N/A		Sunline Transit Agency		N
101	Jackson, MS	N/A	City of Jackson—Transportation Planning Division (Jackson)	City of Jackson—Transportation Planning Division (Jackson)		N
102	Kalamazoo, MI	N/A	Kalamazoo Metro Transit (Kalamazoo MTA)	Kalamazoo Metro Transit (Kalamazoo MTA)		N

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UZA No.	Urbanized Area/State	Agencies Responsible for Sub-Allocation	Designated Direct Recipient	Recipients of 5307 Funding in the UZA	Other UZAs Involved? List	Sub-allocate? Y/N
103	Kennewick–Pasco, WA	N/A	Ben Franklin Transit	Ben Franklin Transit		N
104	Killeen, TX	N/A	Hill Country Transit District	Hill Country Transit District		N
105	Kissimmee, FL	Funding used by LYNX (Orlando)				N
106	Knoxville, TN	N/A	City of Knoxville	City of Knoxville		N
107	Lafayette, LA	N/A	City of Lafayette	City of Lafayette		N
108	Lakeland, FL	N/A	Lakeland Area Mass Transit District (LAMTD)	Lakeland Area Mass Transit District (LAMTD)		N
109	Lancaster–Palmdale, CA	N/A	Southern California Association of Governments (SCAG)	Antelope Valley Transit Authority		N
110	Lancaster, PA	N/A	Red Rose Transit Authority (RRTA)	Red Rose Transit Authority (RRTA)		N
111	Lansing, MI	N/A	Capital Area Transportation Authority (CATA)	Capital Area Transportation Authority (CATA)		N
112	Laredo, TX	N/A	City of Laredo	City of Laredo		N
113	Lexington–Fayette, KY	N/A	Transit Authority of Lexington–Fayette Urban County Govt.	Transit Authority of Lexington–Fayette Urban County Govt.		N
114	Lincoln, NE	N/A	City of Lincoln	City of Lincoln		N
115	Little Rock, AR	N/A	Central Arkansas Transit Authority (CAT)	CAT		N

UZA No.	Urbanized Area/State	Agencies Responsible for Sub-Allocation	Designated Direct Recipient	Recipients of 5307 Funding in the UZA	Other UZAs Involved? List	Sub-allocate? Y/N
116	Louisville/Jefferson County, KY-IN	N/A	Transit Authority of River City	Transit Authority of River City		N
117	Lubbock, TX	N/A	City of Lubbock	City of Lubbock		N
118	Madison, WI	N/A	City of Madison (Madison Metro)	City of Madison (Madison Metro)		N
119	McAllen, TX	Lower Rio Grande Valley Development Council	Lower Rio Grande Valley Development Council	Lower Rio Grande Valley Development Council		Y
				City of McAllen/McAllen Transit		
120	Mission Viejo-Lake Forest-San Clemente, CA	N/A			Y, Los Angeles	N
121	Mobile, AL	N/A	City of Mobile	City of Mobile		N
122	Modesto, CA	N/A	Stanislaus Council of Government (STANCOG)	City of Modesto		N
123	Montgomery, AL	N/A	City of Montgomery (MATS)	MATS		N
124	Murrieta-Temecula-Menifee, CA	N/A			Y, Riverside	N
125	Myrtle Beach-Socastee, SC-NC	N/A		Waccamaw Regional Transit Authority (The COAST RTA)		N
126	Nashua, NH-MA	N/A	City of Nashua	City of Nashua		N
127	Nashville-Davidson, TN		Metropolitan Transit Authority (MTA)	MTA		Y

(continued on next page)

UZA No.	Urbanized Area/State	Agencies Responsible for Sub-Allocation	Designated Direct Recipient	Recipients of 5307 Funding in the UZA	Other UZAs Involved? List	Sub-allocate? Y/N
			Regional Transportation Authority (RTA)	RTA		
128	New Haven, CT	Connecticut Department of Transportation (DOT)		Greater New Haven Transit District		Y
				Meriden Transit		
				Connecticut DOT/Connecticut Transit		
				Middletown Transit District		
129	New Orleans, LA	New Orleans Regional Planning Commission (NORPC)	Regional Transit Authority (RTA)	RTA	N	Y
			New Orleans Regional Planning Commission (RPC)	RPC		
				St Bernard Parish Government		
				Jefferson Parish Government		
				Plaquemine Parish Government		
				Crescent City Connection (CCC)		
130	Norwich–New London, CT–RI	N/A		Southeast Area Transit (SEAT)		
131	Ogden–Layton, UT	Funding used by Utah Transit Authority (UTA)				
132	Oklahoma City, OK	N/A	Central Oklahoma Transportation and Parking Authority	Central Oklahoma Transportation and Parking Authority		

UZA No.	Urbanized Area/State	Agencies Responsible for Sub-Allocation	Designated Direct Recipient	Recipients of 5307 Funding in the UZA	Other UZAs Involved? List	Sub-allocate? Y/N
133	Omaha, NE-IA	N/A	Omaha-Council Bluffs Metropolitan Area Planning Agency	Omaha Metro Area Transit		
134	Oxnard, CA	Ventura County Transportation Commission (VCTC)	VCTC	Gold Coast Transit		Y
				Ventura Intercity Service Transit Authority (VISTA)		
				Ventura County Transportation Commission (VCTC)		
135	Palm Bay-Melbourne, FL	N/A	Brevard County/SCAT	Brevard County/SCAT		N
136	Palm Coast-Daytona Beach-Port Orange, FL	N/A	Volusia Transportation Authority	Volusia Transportation Authority		N
137	Pensacola, FL-AL	N/A	Escambia County Board of Commissioners (Pensacola BCC)	(Pensacola BCC)		N
138	Peoria, IL	N/A	Greater Peoria Mass Transit District (CityLink)	Greater Peoria Mass Transit District (CityLink)		N
139	Port St. Lucie, FL	St. Lucie County		St. Lucie County		Y
				Martin County		
140	Portland, ME	Greater Portland Transit District	Greater Portland Transit District	Greater Portland Transit District		Y
				Casco Bay Island Transit District		
141	Poughkeepsie-Newburgh, NY-NJ	Poughkeepsie-Dutchess County Transportation Council (PDCTC)	Dutchess County	Dutchess County		Y

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UZA No.	Urbanized Area/State	Agencies Responsible for Sub-Allocation	Designated Direct Recipient	Recipients of 5307 Funding in the UZA	Other UZAs Involved? List	Sub-allocate? Y/N
				City of Poughkeepsie		
				NY MTA		
				Orange County		
				Ulster County		
142	Provo–Orem, UT	Funding used by Utah Transit Authority (UTA)				N
143	Raleigh, NC	N/A	City of Raleigh	City of Raleigh		N
144	Reading, PA	N/A	Berks Area Regional Transportation Authority (BARTA)	Berks Area Regional Transportation Authority (BARTA)		N
145	Reno, NV–CA	N/A	Regional Transportation Commission of Washoe County (Washoe)	Regional Transportation Commission of Washoe County (Washoe)		N
146	Richmond, VA	Greater Richmond Transit Company (GRTC Richmond)	Greater Richmond Transit Company (GRTC Richmond)	Greater Richmond Transit Company (GRTC Richmond)		Y
				City of Petersburg		
147	Roanoke, VA	N/A	Greater Roanoke Transit Company (GRTC)	GRTC		N
148	Rochester, NY	N/A	Rochester–Genesee Regional Transportation Authority (RGRTA)	Rochester–Genesee Regional Transportation Authority (RGRTA)		N

UZA No.	Urbanized Area/State	Agencies Responsible for Sub-Allocation	Designated Direct Recipient	Recipients of 5307 Funding in the UZA	Other UZAs Involved? List	Sub-allocate? Y/N
149	Rockford, IL	N/A	Rockford Mass Transit District	Rockford Mass Transit District		N
150	Round Lake Beach–McHenry–Grayslake, IL–WI	Most funding used by Chicago RTA		Southeastern Wisconsin Regional Planning Commission (SEWRPC)		N
151	Salem, OR	N/A	Salem Area Mass Transit District (SAMTD)	Salem Area Mass Transit District (SAMTD)		N
152	Santa Clarita, CA	N/A		Santa Clarita Transit		N
153	Santa Rosa, CA	Metropolitan Transportation Commission (MTC)	Metropolitan Transportation Commission (MTC)	City of Santa Rosa (SROSA)		Y
				Sonoma County	Yes, Petaluma	
154	Sarasota–Bradenton, FL	Manatee County	Sarasota County Transportation Authority	Sarasota County Transportation Authority		Y
			Manatee County (MCAT)	Manatee County (MCAT)		
155	Savannah, GA	N/A	Chatham Area Transit Authority	Chatham Area Transit Authority		N
156	Scranton, PA	Luzerne County Transportation Authority (LCTA)	County of Lackawanna Transit System (COLTS)	County of Lackawanna Transit System (COLTS)		Y
				Luzerne County Transportation Authority (LCTA)		
157	Shreveport, LA		City of Shreveport	City of Shreveport		N

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UZA No.	Urbanized Area/State	Agencies Responsible for Sub-Allocation	Designated Direct Recipient	Recipients of 5307 Funding in the UZA	Other UZAs Involved? List	Sub-allocate? Y/N
158	South Bend, IN-MI	Michiana Area Council of Governments (MACOG)	South Bend Public Transportation Corporation (South Bend PTC)	South Bend Public Transportation Corporation (South Bend PTC)		Y
				Northern Indiana Commuter Transit District (NICTD)		
				City of Niles Dial-A-Ride		
159	Spokane, WA	N/A	Spokane Transit Authority	Spokane Transit Authority		N
160	Springfield, MA-CT	Pioneer Valley Transit Authority (PVTA)	Pioneer Valley Transit Authority (PVTA)	PVTA		Y
				Greater Hartford Transit District		
161	Springfield, MO	N/A	City of Springfield City Utilities (CU)	City of Springfield City Utilities (CU)		N
162	Stockton, CA	San Joaquin COG	San Joaquin Regional Transit District (SJRTD)	San Joaquin Regional Transit District (SJRTD)		Y
				San Joaquin Regional Rail (SJRR)		
163	Syracuse, NY	N/A	Central New York Regional Transportation Authority (CNYRTA)	Central New York Regional Transportation Authority (CNYRTA)		N
164	Tallahassee, FL	N/A	City of Tallahassee (TALTRAN)	TALTRAN		N
165	Thousand Oaks, CA	N/A	Ventura Co. Trans Comm (VCTC)	Thousand Oaks Transit		N

UZA No.	Urbanized Area/State	Agencies Responsible for Sub-Allocation	Designated Direct Recipient	Recipients of 5307 Funding in the UZA	Other UZAs Involved? List	Sub-allocate? Y/N
166	Toledo, OH-MI	N/A	Toledo Regional Transit Authority (TARTA)	Toledo Regional Transit Authority (TARTA)		N
167	Trenton, NJ	N/A		New Jersey Transit Corporation (NJTC)		N
168	Tucson, AZ	N/A	City of Tucson (TUC)	City of Tucson (TUC)		N
169	Tulsa, OK	N/A	Metropolitan Tulsa Transit Authority (MTTA)	Metropolitan Tulsa Transit Authority (MTTA)		N
170	Urban Honolulu, HI	N/A	City and County of Honolulu	City and County of Honolulu		N
171	Victorville-Hesperia, CA	N/A		Victor Valley Transit Authority		N
172	Visalia, CA	Kings County Association of Governments		City of Visalia		Y
				Kings County Area Public Transit Agency		
173	Wichita, KS	N/A	City of Wichita (WAMPO)	City of Wichita (WAMPO)		N
174	Wilmington, NC	N/A	Cape Fear Public Transportation Authority (CFPTA)	CFPTA		N
175	Winston-Salem, NC	N/A	City of Winston-Salem	City of Winston-Salem		N
176	Winter Haven, FL	N/A	Polk County	Polk County		N
177	Worcester, MA-CT	Worcester Regional Transit Authority (Worcester RTA)	Worcester Regional Transit Authority (Worcester RTA)	Worcester Regional Transit Authority (Worcester RTA)		Y

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UZA No.	Urbanized Area/State	Agencies Responsible for Sub-Allocation	Designated Direct Recipient	Recipients of 5307 Funding in the UZA	Other UZAs Involved? List	Sub-allocate? Y/N
				Connecticut DOT/Connecticut Transit		
178	York, PA	N/A	York County Transportation Authority	York County Transportation Authority		N
179	Youngstown, OH-PA	Western Reserve Transit Authority (WRTA)	Western Reserve Transit Authority (WRTA)	Western Reserve Transit Authority (WRTA)		Y
				Niles Trumbull Transit System (TCTB)		
				City of Sharon, PA		

APPENDIX C

Survey Questionnaire

TCRP - Sub-Allocating FTA Section 5307 Funds in Urbanized Areas

Introduction and Background

This research is being conducted by John Potts and Maxine Marshall of The DMP Group, under contract with the Transit Cooperative Research Program (TCRP) of the Transportation Research Board (TRB).

We thank you for your time and ask you to complete this survey promptly OR forward it to the appropriate person in your agency or metropolitan area responsible for sub-allocating FTA Urbanized Formula Funds (Section 5307) in your urbanized area.

BACKGROUND

This TCRP synthesis project will document the state of the practice in terms of approaches used to sub-allocate FTA Section 5307 funding among multiple recipients in metropolitan areas. The survey contains questions about existing practices, methodologies, the roles and responsibilities of agencies involved in the process, and requests your recommendations for improvements to the process.

We also ask for recommendations for other agencies to be included in our survey and for your willingness to participate in a telephone interview if your agency is selected for a more detailed case example.

The final report, to be published by the Transportation Research Board, will provide information on various approaches taken to sub-allocate FTA Section 5307 funding among multiple recipients in metropolitan areas. This report will be extremely useful to all agencies in considering ways to improve the sub-allocation process. All individual survey responses will be confidential.

Thank you for taking the time to participate.

Tell Us About Your Agency

***1. Please provide your contact information.**

Full Name:

Agency:

Title:

Address:

City/Town:

State:

ZIP:

Email Address:

Phone Number:

TCRP – Sub-Allocating FTA Section 5307 Funds in Urbanized Areas

2. Which best describes the agency for whom you work ?

Transit Operator

Metropolitan Planning Organization (MPO)

State DOT

Other (please specify)

3. Is your agency a Designated Recipient of FTA Section 5307 Funds?

Yes

No

Don't Know

4. If your agency is NOT a Designated Recipient, please identify the Designated Recipient (s) in your Urbanized Area (UZA)?

Agency Name _____

Agency Name _____

Agency Name _____

Agency Name _____

5. If your agency is NOT a Designated Recipient, do you receive FTA Section 5307 Funds through a Supplemental Agreement with a Designated Recipient named above?

Yes

No

Don't Know

6. Is there more than one agency in your Urbanized Area that receives FTA Section 5307 Funds?

Yes

No

Don't Know

Sub-Allocating Section 5307 Funds

TCRP – Sub-Allocating FTA Section 5307 Funds in Urbanized Areas

7. If Yes, please name all of the agencies in your Urbanized Area that receive FTA Section 5307 Funds on an annual or periodic basis.

Agency Name:	<input type="text"/>
Agency Name:	<input type="text"/>
Agency Name:	<input type="text"/>
Agency Name:	<input type="text"/>
Agency Name:	<input type="text"/>
Agency Name:	<input type="text"/>
Agency Name:	<input type="text"/>
Agency Name:	<input type="text"/>
Agency Name:	<input type="text"/>
Agency Name:	<input type="text"/>
Agency Name:	<input type="text"/>
Agency Name:	<input type="text"/>

8. Is your agency responsible for calculating the sub-allocation of Section 5307 Funds in your Urbanized Area?

Yes
 No

9. Is your agency responsible for informing FTA of the agreed upon sub-allocation of Section 5307 Funds in your urbanized area?

Yes
 No

If no, please identify the responsible agency

10. Does your agency or UZA utilize the exact FTA formula and data unit values contained in the Annual Federal Register (Tables 4 & 5) that announces the Apportionments to sub-allocate funds in your urbanized area?

Yes
 No

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11. Does your agency or UZA modify the FTA formula to sub-allocated Section 5307 funds in your urbanized area?

- Yes
 No

If yes, briefly describe how you modify the formula

12. Does your agency or UZA use a locally developed formula for sub-allocating FTA Section 5307 funds in your urbanized area?

- Yes
 No

13. If your agency or UZA uses a locally developed formula for sub-allocating FTA Section 5307 funds, please check all that apply:

- The formula was established by state law or local regulations
 The formula was developed by and agreed to by all of the members of the MPO
 The formula has been used for 10 or more years
 The formula has been used for more than 5 years, but less than 10 years
 The formula was developed within the last five years
 The formula changes annually

Other (please specify)

14. Please provide the current locally adopted formula used to sub-allocate FTA Section 5307 funds in your UZA, if applicable.

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15. Does your agency or UZA use a methodology or an approach that does not include a formula?

- Yes
- No

If YES, please describe:

16. If your agency or UZA considers any of the following factors when sub-allocating FTA Section 5307 funds in your urbanized area, please check below all that apply:

- Projects that will support economic vitality of the area
- Projects that will improve the safety of public transit in the area
- Projects that will increase the security of public transit in the area
- Projects that will increase the accessibility and mobility of people in the area
- Projects that will enhance the environment in the area
- Projects that will improve coordination among modes of public transit in the area
- Projects that will promote efficient public transportation system operation
- Projects that will preserve existing public transportation services
- Other (please specify)

17. Does your agency or UZA consider the availability of local match in determining the sub-allocation of FTA Section 5307 funds?

- Yes
- No
- Don't know

TCRP – Sub-Allocating FTA Section 5307 Funds in Urbanized Areas

18. Would your agency be willing to participate in a follow-up telephone discussion of how FTA Section 5307 funds are sub-allocated in your urbanized area?

- Yes
- No

If YES, please identify the person(s) that would be available for the discussions and their telephone number.

Thank You

Thank you so much for completing this survey. We may contact you for a more detailed telephone discussion of your agency's process, methodology, and rationale for sub-allocating FTA Section 5307 funds in your urbanized area.

19. If you are not familiar with the sub-allocation of FTA Section 5307 funds in your urbanized area, please provide the name and email address of a person in your UZA that may be able to respond to the survey.

20. If you have additional information or comments regarding the sub-allocation of FTA Section 5307 funds in urbanized areas, please share them below with the research team.

APPENDIX D

Case Example Interview Guide

1. Describe the institutional roles, responsibilities, and relationships among the partners in your UZA; e.g., transit agencies, MPOs, state DOTs, and other entities in the sub-allocation process.
2. What are the administrative challenges and innovations of your current process for sub-allocation?
3. How did the partners in your UZA decide to sub-allocate in the manner you described in your survey response? Has this process evolved over time? How flexible are the partners to changing the sub-allocation process?
4. Describe the rationale for the methodology used in sub-allocating the funds.
5. Can you quantify the financial and temporal costs (number of person-hours) of the process?
6. Are there “lessons learned” from your approach to share with others?
7. What would you consider to be the strengths and weaknesses of your sub-allocation approach?
8. Can you provide the names and phone numbers for 2–3 transit operators that receive 5307 funds in your UZA? We would like to obtain their views to some of the same questions noted previously.

If you have any additional written materials (e.g., Memorandum of Understandings, board resolutions, letters of agreement, documentation of how the locally developed formula works, etc.) that you would like to send in advance or if you have a preferred date/time for my call, please feel free to send that information, in reply to this e-mail.

Abbreviations used without definitions in TRB publications:

A4A	Airlines for America
AAAE	American Association of Airport Executives
AASHO	American Association of State Highway Officials
AASHTO	American Association of State Highway and Transportation Officials
ACI-NA	Airports Council International-North America
ACRP	Airport Cooperative Research Program
ADA	Americans with Disabilities Act
APTA	American Public Transportation Association
ASCE	American Society of Civil Engineers
ASME	American Society of Mechanical Engineers
ASTM	American Society for Testing and Materials
ATA	American Trucking Associations
CTAA	Community Transportation Association of America
CTBSSP	Commercial Truck and Bus Safety Synthesis Program
DHS	Department of Homeland Security
DOE	Department of Energy
EPA	Environmental Protection Agency
FAA	Federal Aviation Administration
FHWA	Federal Highway Administration
FMCSA	Federal Motor Carrier Safety Administration
FRA	Federal Railroad Administration
FTA	Federal Transit Administration
HMCRP	Hazardous Materials Cooperative Research Program
IEEE	Institute of Electrical and Electronics Engineers
ISTEA	Intermodal Surface Transportation Efficiency Act of 1991
ITE	Institute of Transportation Engineers
MAP-21	Moving Ahead for Progress in the 21st Century Act (2012)
NASA	National Aeronautics and Space Administration
NASAO	National Association of State Aviation Officials
NCFRP	National Cooperative Freight Research Program
NCHRP	National Cooperative Highway Research Program
NHTSA	National Highway Traffic Safety Administration
NTSB	National Transportation Safety Board
PHMSA	Pipeline and Hazardous Materials Safety Administration
RITA	Research and Innovative Technology Administration
SAE	Society of Automotive Engineers
SAFETEA-LU	Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (2005)
TCRP	Transit Cooperative Research Program
TEA-21	Transportation Equity Act for the 21st Century (1998)
TRB	Transportation Research Board
TSA	Transportation Security Administration
U.S.DOT	United States Department of Transportation