# Formula Fund

Statewide Transportation Improvement Fund (STIF) STIF Plan Guidance Supplemental February 28, 2019

Oregon Department of Transportation Rail and Public Transit Division

www.oregon.gov/ODOT/RPTD/Pages/STIF.aspx



#### Overview

This STIF Formula Fund guidance document supplements the Formula Fund Guidance and Applications Instructions dated July 19, 2018. It provides additional guidance to address common STIF Plan errors and potential rejection considerations identified in the November 2018 STIF Plan submissions. Qualified Entities submitting their STIF Plan applications on May 1, 2019 should consult this document, as well as the following additional guidance documents, when preparing a STIF Plan to reduce submission errors and improve the likelihood of approval:

- Formula Fund Guidance and Applications Instructions, July 19, 2018
- STIF Allocation Estimates, December 2018 Update
- Oregon Transportation Commission STIF Plan Rejection Considerations, Oct. 19, 2018
- STIF Methods for Calculating Low-Income Households, October 2018
- Formula Fund Sub-allocation Guidance, April 2018

ODOT strongly encourages Qualified Entities to provide draft STIF Plans to the relevant regional transit coordinator for review and feedback prior to final submittal to ODOT. This will increase the likelihood that STIF Plans are more accurately completed by Qualified Entities on their first submittal. Qualified Entities will be asked to revise and re-submit inaccurate STIF Plans.

Supplemental guidance topics are organized by the order in which they appear in the STIF Plan template and include topics listed in the Table of Contents:

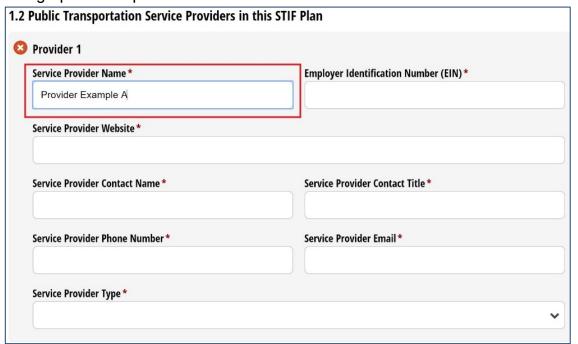
#### **Table of Contents**

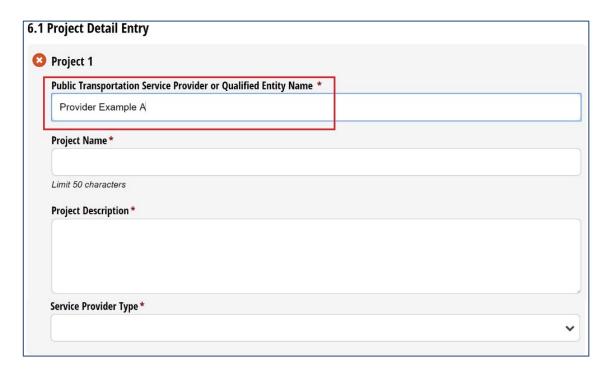
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# 1.2 Public Transportation Service Providers in this STIF Plan

#### LISTING OF PUBLIC TRANSPORTATION SERVICE PROVIDERS

Make sure the name of Public Transportation Service Providers (PTSPs) listed in Section 1.2 are exactly the same as the PTSPs list in Section 6.1. Enter the PTSP name in 1.2. Public Transportation Service Providers and enter the PTSP name exactly the same again in 6.1 Project Detail Entry in the field Public Transportation Provider or Qualified Entity Name. Confirm there are no errors. See graphic examples below.

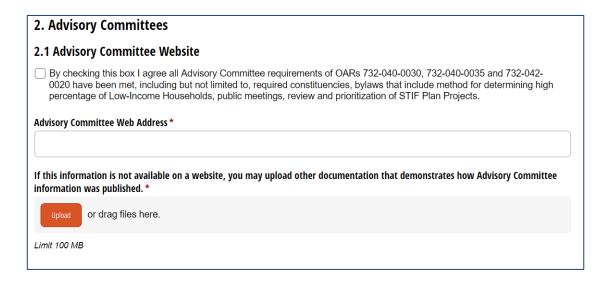




# 2.1 Advisory Committees

#### MEETING INFORMATION

Enter working website URL or attach documentation on required Advisory Committee meeting information so that ODOT can review public meeting and other Advisory Committee review requirements. ODOT must be able to directly access meeting minutes, meeting notices or PTSP's project proposals for review. It is insufficient to provide a link to an agency home page. Provide a detailed hyperlink or website navigation instructions as needed to ensure easy access (see graphic below).

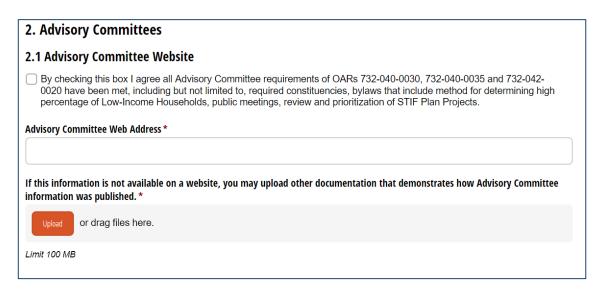


#### REQUIRED MEMBERS

Enter documentation that demonstrates the three required constituencies are represented on the STIF Advisory Committee. The three required constituencies for reference are:

- 1) Low income
- 2) Individuals age 65 or older or people with disabilities
- 3) Public Transportation Service Provider or non-profit entity that provides public transportation service

Upload a document, such as an Advisory Committee roster, which identifies which members meet the constituency requirement. If the Qualified Entity is an Indian Tribe, then the Advisory Committee must be composed of at least three members, each of whom must be able to represent the public transportation needs of individuals served by the Indian Tribe. Click "Upload" to submit documentation on the three required constituencies, or if an Indian Tribe, the three required members.



#### 4.2 Sub-Allocation Method

#### SUB-ALLOCATION METHOD FOR INDIAN TRIBES

ODOT has determined that the sub-allocation requirement is not relevant to Indian Tribes. However, Indian Tribes are still encouraged to coordinate and collaborate with other transit providers to help ensure integrated and efficient service, and avoid duplicative or competing service.

# 4.3 High Percentage of Low-Income Households

# DEFINITION AND IDENTIFICATION OF HIGH PERCENTAGE OF LOW-INCOME HOUSEHOLDS

The explanation of defining and identifying communities with a high percentage of low-income households must clarify that the Qualified Entity converted U.S. Census data from individuals to households for the purpose of determining whether and to what extent a project is serving Low-Income Households. The analysis of Low-Income Households cannot rely on the number of low-income individuals. This data must be converted to households. Refer to the methods in Estimating Low Income Households Guidance for technical assistance to ensure the Qualified Entity method is consistent with statute and administrative rule requirements:

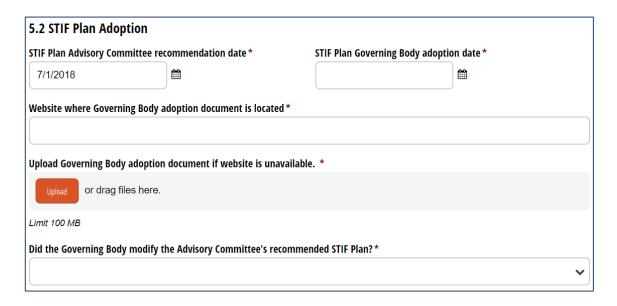
https://www.oregon.gov/ODOT/RPTD/RPTD%20Committee%20Meeting%20Documents/STIF-Low-Income-Methods-Guidance.pdf.

4.3 High Percentage of Low-Income Households		
Explain how the STIF Plan defines and identifies communities with a high percentage of Low-Income Households.*		
Limit 1000 Characters		
Upload Response *		
Upload or drag files here.		
Limit 100 MB		

# 5.2 STIF Plan Adoption

#### **GOVERNING BODY ADOPTION**

After entering the STIF Plan Advisory Committee recommendation date and the STIF Plan Governing Body Adoption date, enter the website URL where the Governing Body adoption document is located or upload the Governing Body adoption document, if a website is unavailable. This documentation should include the appropriate Governing Body signatures, as relevant.



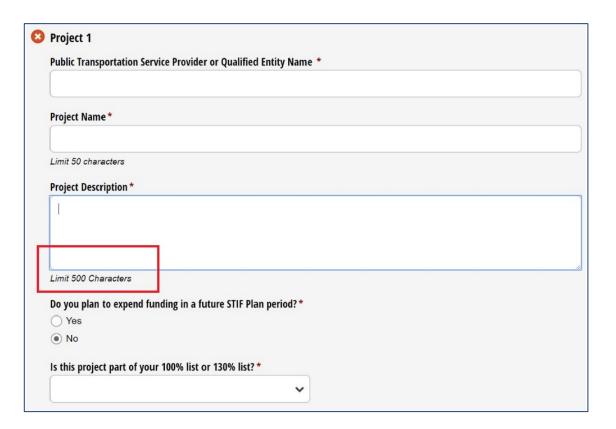
# 6.1 Project Detail Entry

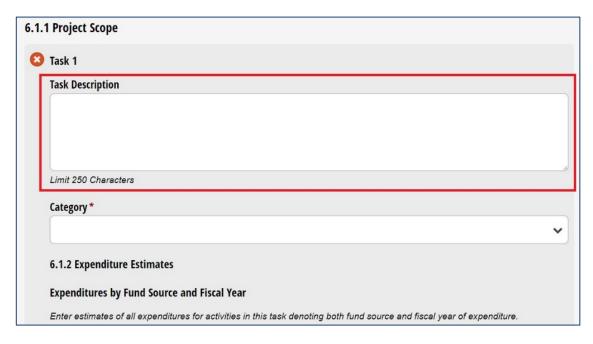
#### **PROJECT ALIGNMENT**

Ensure project details have internal consistency across project description, project category, type and detail, project outcomes/measures and allocations across each criterion. Enter tasks as necessary to capture the various elements of a project, consistent with the project description and budget.

#### PROJECT DESCRIPTION AND TASK LEVEL DESCRIPTION

ODOT has expanded the project description text box to 500 characters and added a task level description text box. See below.





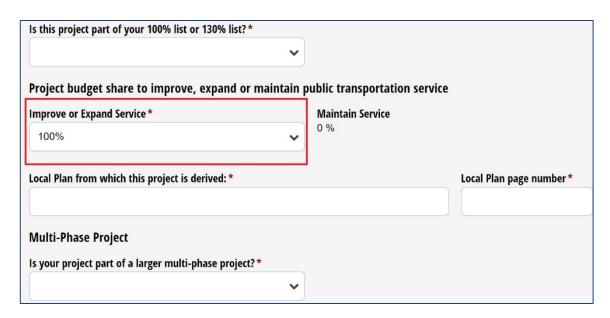
#### VEHICLE PREVENTATIVE MAINTENANCE

Maintenance should be performed to ensure the fleet is maintained (per manufacturer's recommendations) in good condition. Enter preventative maintenance projects under appropriate Task with task description. Select *Category* of Capital 117-00 Other Capital Items (Bus) along with *Activity Type* Preventative Maintenance 11.7 A and *Activity Detail* Preventative Maintenance 11.7 A.00.



# PROJECT BUDGET SHARE TO IMPROVE, EXPAND, OR MAINTAIN PUBLIC TRANSPORTATION SERVICE TRANSIT VEHICLES

As part of the November 2018 submissions review process, ODOT made a rule interpretation that a project that proposes to replace a transit vehicle because it is at or near the end of its useful life and no longer in a state of good repair is an improvement project (rather than a maintenance project). Replacing a transit vehicle improves the fleet reliability, provides a safer ride, and is more cost-effective than continuing to operate a vehicle that is no longer in a state of good repair. If the project proposes to replace a transit vehicle, then it should be identified as Improve or Expand Service, not Maintain Service. Click on Improve or Expand Service for drop down menu and scroll to 100% for the project.



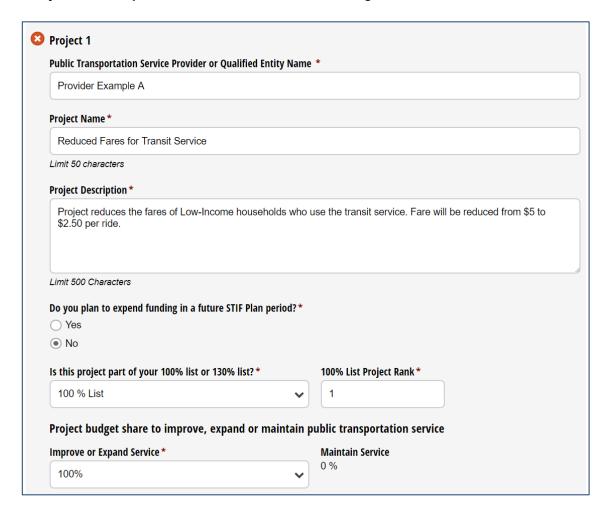
If uncertain whether a vehicle is eligible for replacement, consult with the relevant regional transit coordinator or the capital coordinator for assistance.

# 6.1.1 Project Scope

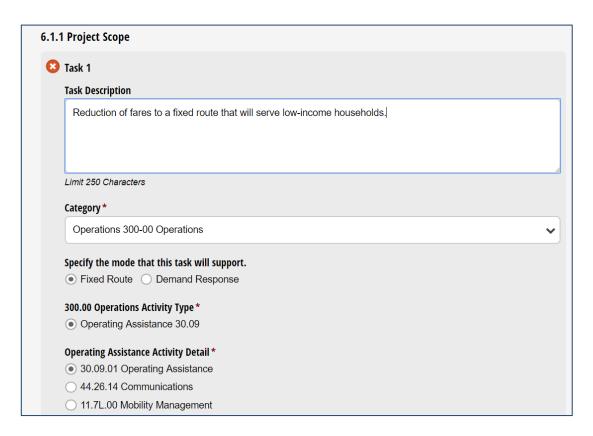
#### TASK, CATEGORY, ACTIVITY TYPE, AND ACTIVITY DETAILS

Enter tasks as needed for each project to accurately reflect the activities to be funded for each project. Include additional tasks to match the tasks in the project description. Projects will need to have accurate category and Activity Line Item (ALI) selected. A helpful tool for ALIs is the Federal Transit Administration's Scope and Activity Line Items Tree which is available at the following website: <a href="https://www.transit.dot.gov/funding/grantee-resources/teamtrams/scope-activity-line-item-tree">https://www.transit.dot.gov/funding/grantee-resources/teamtrams/scope-activity-line-item-tree</a>. This contains an inventory of Scope codes and their associated ALIs available in the Transit Award Management System (TrAMS) for application development. Below are a few examples of the ALIs for common project types.

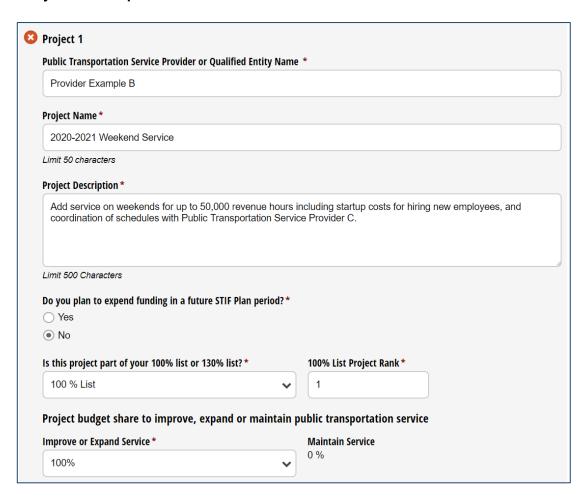
# Project Example 1: Low-Income Fare Program



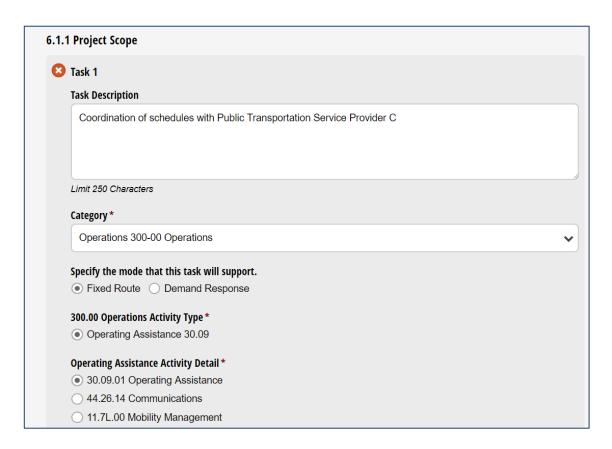
The *Task Description* provides additional information regarding the project. The accurate *Category* of Operations 300-00 Operations is selected along with the *Activity Type* Operating Assistance 30.09 and *Activity Detail* Operating Assistance 30.09.01.



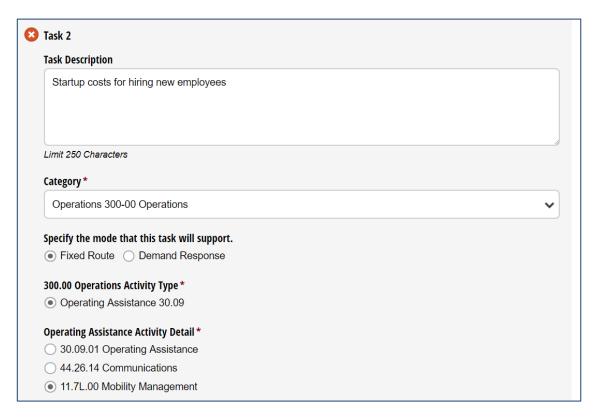
# Project Example 2: Added Weekend Service



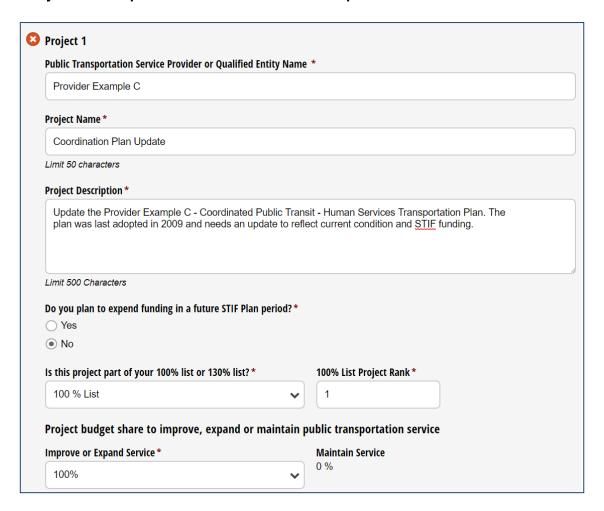
The *Task 1 Description* provides additional information regarding the project. The accurate *Category* of Operations 300-00 Operations is selected along with the *Activity Type* Operating Assistance 30.09 and *Activity Detail* Operating Assistance 30.09.01.



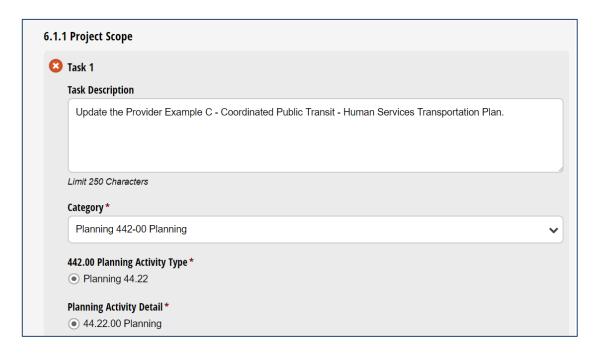
The *Task 2 Description* also provides additional information regarding the project. The accurate *Category* of Operations 300-00 Operations is selected along with the *Activity Type* Operating Assistance 30.09 and *Activity Detail* Mobility Management 11.7L.00.



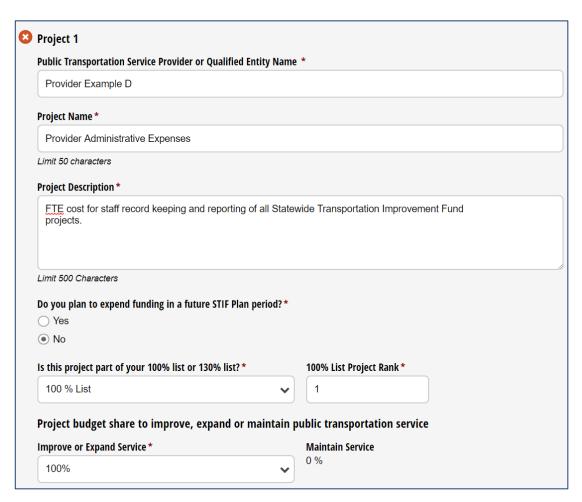
# **Project Example 3: Coordinated Plan Update**



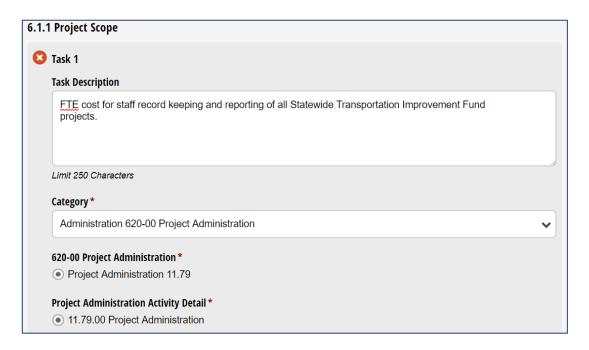
The *Task Description* provides additional information regarding the project. The accurate *Category* of Planning 442-00 Planning is selected along with the *Activity Type* Planning 44.22 and *Activity Detail* Planning 44.22.00.



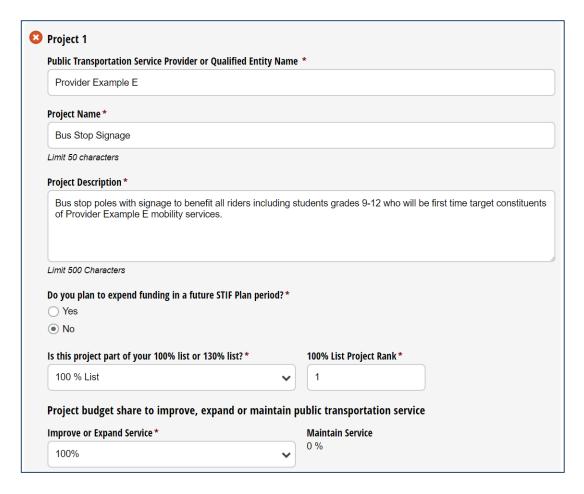
# **Project Example 4: STIF Program Administration**



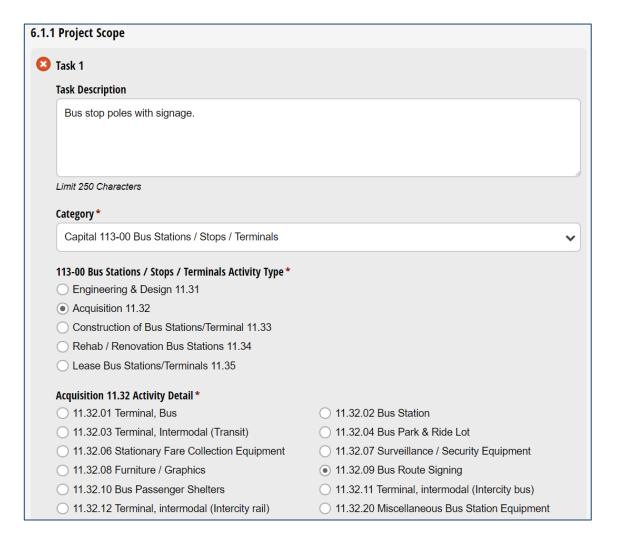
The *Task Description* provides additional information regarding the project. The accurate *Category* of Administration 620-00 Project Administration is selected along with the *Activity Type* Project Administration 11.79 and *Activity Detail* Project Administration 11.79.00.



### Project Example 5: Purchase Bus Stop Signage



The *Task Description* provides additional information regarding the project. The accurate *Category* of Capital 113-00 Bus Stations/Stops/Terminals is selected along with the *Activity Type* Acquisition 11.32 and *Activity Detail* Bus Route Signing 11.32.09.



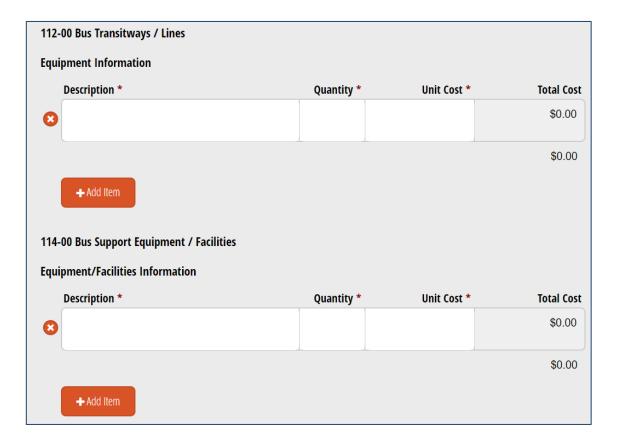
#### **ALI CORRECTIONS**

Please note that if there is a selected ALI that is incorrect then this ALI will remain on the application due to software limitations. A correct ALI may be selected but it does not remove the incorrect ALI previously selected. The project and task must be deleted and re-entered with the project information and necessary changes. This will ensure the previous incorrect selected categories and ALIs will be removed. ODOT recommends that applicants save the project information in a separate document for the Qualified Entity reference before manually deleting and re-entering and selecting the accurate information.

111-00 Bus Rolling Stock Activity Type *					
<ul><li>Engineering &amp; Design - Capital Bus 11.1</li></ul>	11				
<ul> <li>Buy Replacements - Capital Bus 11.12</li> </ul>					
<ul> <li>Buy Expansion - Capital Bus 11.13</li> </ul>					
Rehab / Rebuild Capital Bus 11.14					
○ Mid Life Rebuild 11.15					
Lease - Replacement - Capital Bus 11.16					
O Vehicle Overhaul - Up to 20% Vehic Ma	○ Vehicle Overhaul - Up to 20% Vehic Maint 11.17				
Clease Expansion - Capital Bus 11.18					
Engineering & Design - Capital Bus 11.11 Activ	vity Detail *				
11.11.01 Bus STD 40 FT	11.11.02 Bus STD 35 FT				
11.11.03 Bus 30 FT	11.11.04 Bus < 30 FT				
11.11.06 Bus Articulated	11.11.07 Bus Commuter / Suburban				
11.11.08 Bus Intercity	11.11.09 Bus Trolley STD				
11.11.10 Bus Trolley Artic.	11.11.11 Bus Double Deck				
11.11.12 Bus Used	11.11.14 Bus Dual Mode				
11.11.15 Vans	11.11.16 Sedan / Station Wagon				
Lease 11.66 Activity Detail*	This ALI was incorrectly selected and still				
11.66.01 Control / Signal System	remains even after selecting the correct				
11.66.02 Communications Systems	Activity Type and Activity Detail above.				
11.66.03 Radios	, , , , , , , , , , , , , , , , , , , ,				
11.66.20 Misc. Communications Equip.					

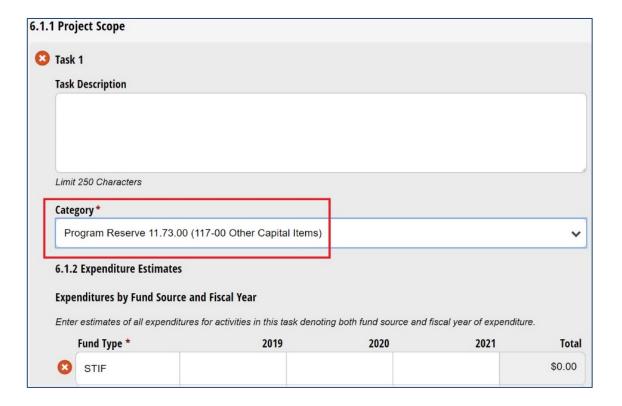
#### CAPITAL EQUIPMENT/FACILITIES INFORMATION

If the project pertains to capital equipment or facilities, mandatory information is required. Click on *Category* for drop down menu and scroll to select applicable *Activity Type* and *Activity Detail*. Complete the required data of 1. Equipment or Equipment/Facilities Information 2. Quantity and 3. Unit Cost in the appropriate fields. See the example below.



#### **PROGRAM RESERVE**

If the project is a programmatic reserve project that would be used to fund unanticipated or emergency needs during the current STIF Plan period, then it should be categorized as Program Reserve. Click on *Category* for drop down menu and scroll to select Program Reserve 11.73.00 (117-00 Other Capital Items) for the project.



#### CARRY FORWARD

If funds will be carried forward for expenditure from this plan period to a future plan period, then select yes and enter the expenditure amount. You will also need to select the project type(s) for which you plan to carry forward funds. See STIF Carry Forward Guidance for additional information:

https://www.oregon.gov/ODOT/RPTD/RPTD%20Committee%20Meeting%20Documents/STIF-Carry-Forward-Funds-Guidance.pdf.

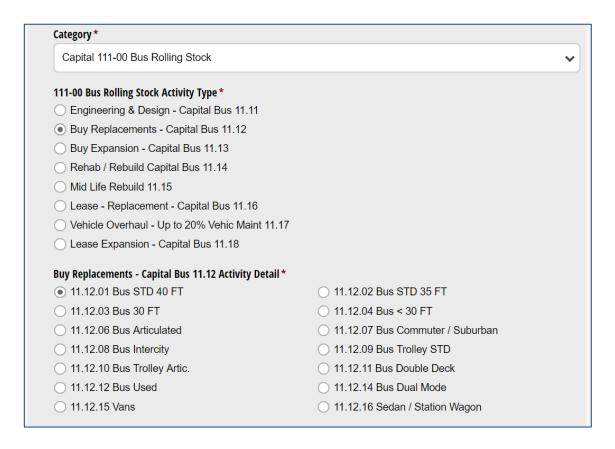
Do you plan to expend funding in a future STIF Plan period?*	If yes, what is the expenditure amount?*
<ul><li>Yes</li></ul>	
○ No	71. 11. 11.11.11.11.11.11.11.11.11.11.11.
	This will be added to the total amount of STIF funds requested.
What is the project type that you are carrying forward funds for	?*
☐ Holding funds for financial stability	
Capital 111-00 Bus Rolling Stock	
Capital 112-00 Bus Transitways / Lines	
Capital 113-00 Bus Stations / Stops / Terminals	
Capital 114-00 Bus Support Equip / Facilities	
Capital 115-00 Bus Electrification / Power Distribution	
Capital 116-00 Signal and Communication Equipment	
Capital 117-00 Other Capital Items (Bus)	
Operations 300-00	
☐ Planning 442-00	
Administration 620-00	

#### VEHICLE REPLACEMENT OR EXPANSION

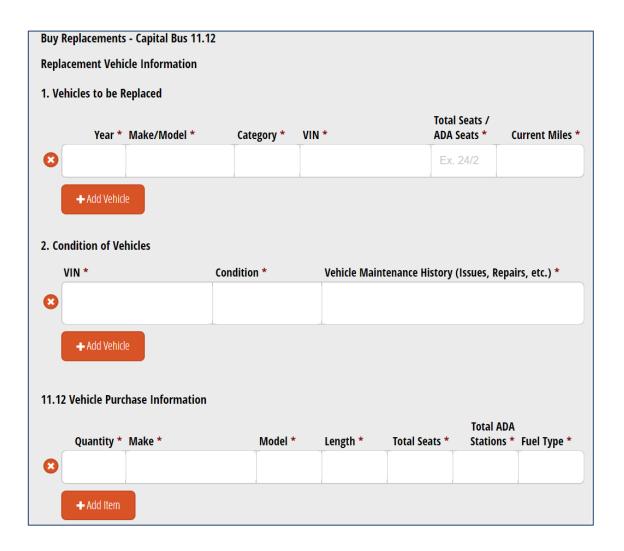
If the project pertains to vehicles proposed for replacement, mandatory information is required for eligibility verification. Vehicles will need to meet both the age and mileage replacement requirements during the STIF Plan period. For example if the project proposes to replace a Category A vehicle that will meet its useful life in the second year of the plan period, this vehicle would be eligible for replacement. Vehicles that have been previously replaced are not eligible for replacement as a "replacement vehicle", but would be eligible to be replaced as an "expansion vehicle" under STIF. Please note that the FTA requirements pertaining to vehicle replacement are different and still in effect. Please see definitions for Categories A-E and their useful life benchmarks in the following document:

https://www.oregon.gov/ODOT/RPTD/RPTD%20Document%20Library/Vehicle-Useful-Life-Benchmarks.pdf.

Click on Category for drop down menu and scroll to select Capital 111-00 Bus Rolling Stock for the project. Select the Activity Type of either Buy Replacements - Capital Bus 11.12 or Lease - Replacement - Capital Bus 11.16. Lastly, select applicable Activity Detail.



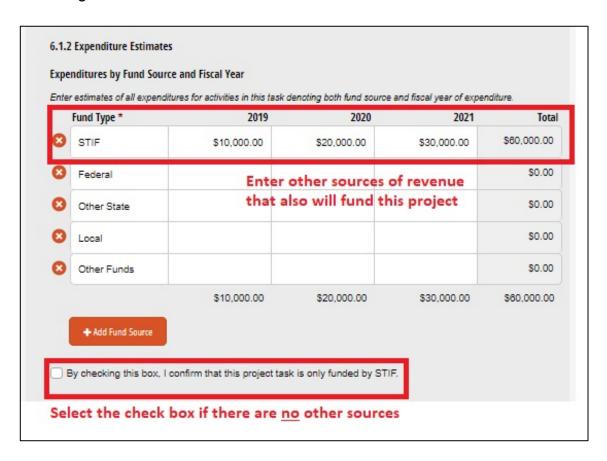
Complete the required data of 1. Vehicles to be Replaced 2. Condition of Vehicles and 11.12 Vehicle Purchase Information in the appropriate fields below.



# 6.1.2 Expenditure Estimates

#### OTHER FUND SOURCES

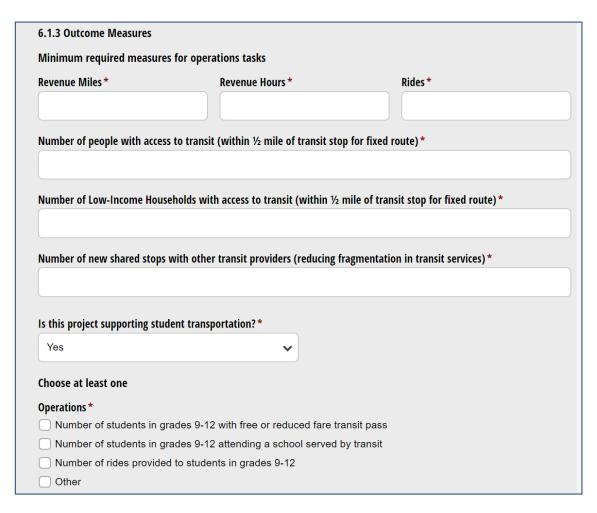
Enter amounts of any other state, local or federal funds that are planned to fund a portion of a STIF project. If there are no other sources and the project will be entirely funded by STIF Formula funding, select the check box under the table indicating so.



#### 6.1.3 Outcome Measures

#### MEASURABLE OUTCOMES

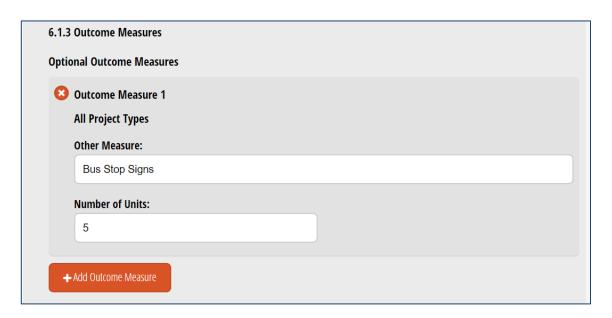
Review and update outcomes to reflect only <u>new outcomes</u> that will occur as a <u>direct</u> result of funding this project. ODOT will total the outcomes reported for each project to develop the total outcomes expected if the STIF Plan is funded. If multiple operations projects are entered, report the new rides and miles for each separate project. Do not calculate a total across all projects and enter the same figures for each project. This will result in double counting and overestimation of anticipated outcomes. Once funding is awarded, ODOT will review the Qualified Entity's quarterly reports to track progress towards the projected outcomes identified in the STIF Plan.



#### **OUTCOME MEASURES**

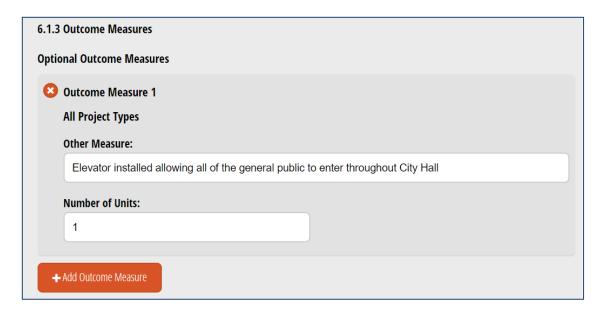
Project will need to have entered quantifiable or qualitative outcome measures. Include outcome measures that are accurate and appropriate to the project.

# Outcome Measures Example 1: Bus Stop Signage



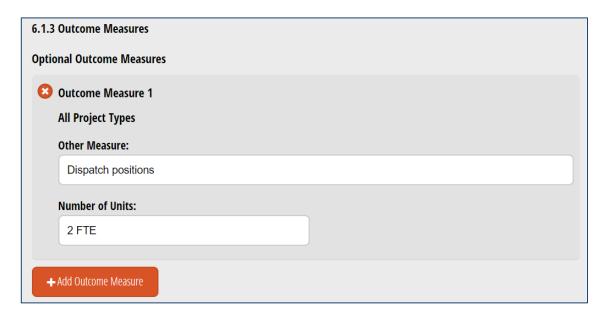
This project is for bus stop signs at all stops. In the Other Measure data field "bus stop signs" is entered and in the Number of Units data field "5" is the number of signs expected to be purchased.

#### Outcome Measures Example 2: ADA Accessible Elevator



This project is for an installation of a new ADA elevator at City Hall. In the Other Measure data field "Elevator installed allowing all the general public to enter throughout City Hall" is entered and in the Number of Units data field "1" is the number of elevators expected to be purchased.

# Outcome Measures Example 3: Hiring Dispatchers



This project is for new dispatchers. In the Other Measure data field, "Dispatch positions" is entered and in the Number of Units data field "2 FTE" is the number of positions expected to be purchased.

# 6.2 Allocation of STIF funds by Project

#### CRITERION PERCENTAGES

Thorough identification of all applicable Fund Allocation Criteria is essential to meeting ODOT's legislative reporting requirements and demonstrating how the State's investment in public transportation is achieving the legislature's desired results.

#### 6.2 Allocation of STIF funds by project

#### STIF Criteria

- 1. Increased frequency of bus service to areas with a high percentage of Low-Income Households.
- 2. Expansion of bus routes and bus services to serve areas with a high percentage of Low-Income Households.
- 3. Fund the implementation of programs to reduce fares for public transportation in communities with a high percentage of Low-Income Households.
- 4. Procurement of low or no emission buses for use in areas with 200,000 or more.
- 5. The improvement in the frequency and reliability of service between communities inside and outside of the Qualified Entity's service area.
- Coordination between Public Transportation Service Providers to reduce fragmentation in the provision of transportation services.
- 7. Implementation of programs to provide student transit service for students in grades 9-12.

The percentages inputted for the applicable criteria will need to have logical connections with the actual project. Please ensure the percentages are justified/methodical and not arbitrarily assigned. Review Fund Allocation tables to ensure all relevant criteria are selected and are not over or underestimated. The sum of all criteria, also known as total criteria, includes seven individual criteria that comprise the total criteria. The total criteria can be greater than 100% for each fiscal year. Review the allocation estimates and ensure that the appropriate percentages are entered for each of the relevant criteria, even if the total for each fiscal year exceeds 100%. Review the allocation estimates and ensure there are entries for each fiscal year, not just for a single year, as relevant. The total for all criteria in a single fiscal year may exceed 100% if the project will have benefits across multiple criteria. See examples below of issues.

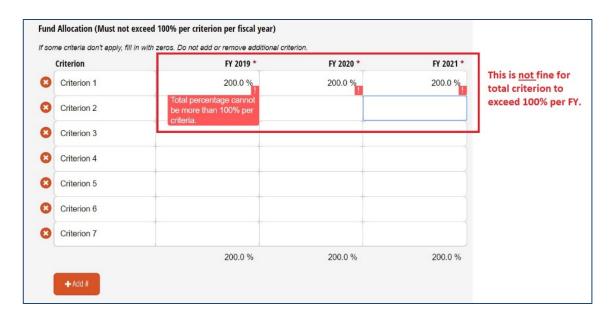
Criterion	FY 2019 *	FY 2020 *	FY 2021 *
Criterion 1	100.0 %	100.0 %	100.0 %
Criterion 2			
Criterion 3		of criterion 1 need	
Criterion 4		have multiple bene y also be selected.	efits and other
Criterion 5			
Criterion 6			
Criterion 6 Criterion 7			

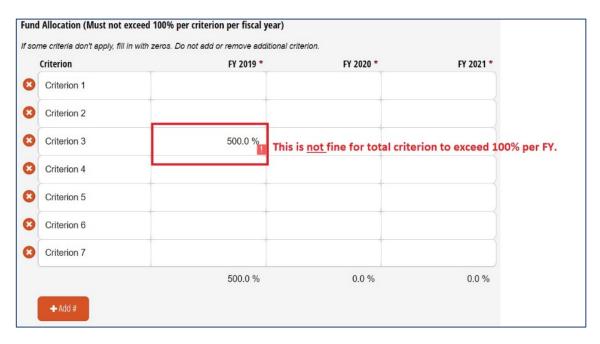
riterion	FY 2019 *	FY 2020 *	FY 2021 *
Criterion 1			
Criterion 2	100.0 %	100.0 %	100.0 %
Criterion 3			
Criterion 4	100.0 %	100.0 %	100.0 %
Criterion 5			
Criterion 6			
Criterion 7	100.0 %	100.0 %	100.0 %
	300.0 %	300.0 %	300.0 %

Criterion	FY 2019 *	FY 2020 *	FY 2021 *
Criterion 1	100.0 %	100.0 %	100.0 %
Criterion 2	100.0 %	100.0 %	100.0 %
Criterion 3			
Criterion 4			
Criterion 5			
Criterion 6			
Criterion 7			
	200.0 %	200.0 %	200.0 %

#### **TOTAL CRITERIA**

The STIF Plan template notes that the fund allocation must not exceed 100% per criterion per fiscal year. There will be an exclamation on the bottom right of the field informing that the total percentage cannot be more than 100% per criterion. Review and adjust percentages accordingly if this notification appears. See examples below.





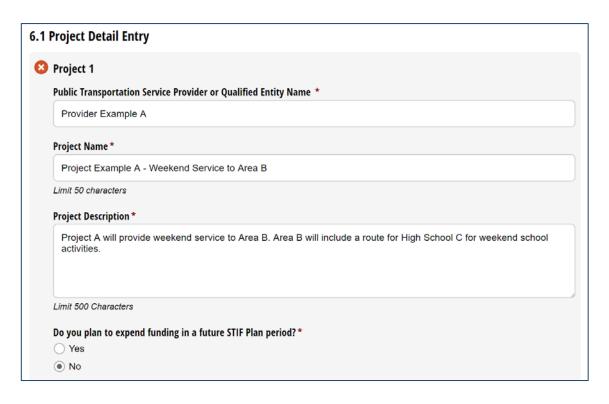
#### STUDENT TRANSIT SERVICE CRITERION

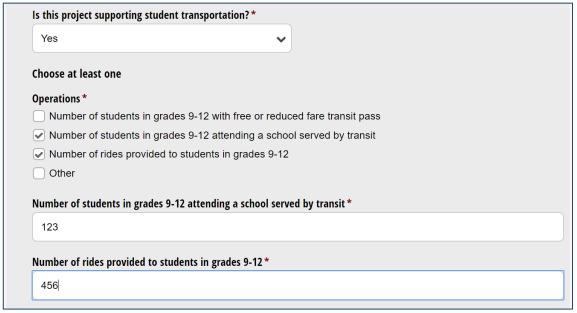
The entered percentage for criterion 7 will need to have logical connection with the actual project. Please ensure the percentages have been calculated accurately and methodically and not arbitrarily assigned. See the example below of a common issue.

Criterion	FY 2019 *	FY 2020 *	FY 2021
Criterion 1	100.0 %	100.0 %	100.0 %
Criterion 2	100.0 %	100.0 %	100.0 %
Criterion 3			
Criterion 4			
Criterion 5			
Criterion 6			
Criterion 7	1.0 %	1.0 %	1.0 %
	201.0 %	201.0 %	201.0 %

Projects that enter percentages in criterion 7 will need to provide clarity on how the project actually directly results in improved or expanded transit service for students. The project description should clearly describe how the project will

benefit high school students. The project outcome measures should identify how this project will benefit students.





# 7. STIF Plan Summary

#### **TOTAL BUDGET**

Projects must be part of either a 100% or 130% funding list. The total STIF funds requested may be less than allocation estimate, but it cannot exceed 130%.

7. STIF Plan Summary				
\$0.00	Amount Ca \$0.00	arried Forward		
FY 2019 Total STIF Funds \$0.00		FY 2020 Total STIF Funds \$0.00	FY 2021 Total STIF Funds \$0.00	
FY 2019 Student STIF Funds \$0.00		FY 2020 Student STIF Funds \$0.00	FY 2021 Student STIF Funds \$0.00	
FY 2019 Percent of STIF Funds sup student transportation	oporting	FY 2020 Percent of STIF Funds supporting student transportation	FY 2021 Percent of STIF Funds supporting student transportation	
Please explain why your allocation of STIF Funds to support student transportation is less than 1%.*				
Limit 500 Characters				

#### STUDENT TRANSPORTATION

STIF Plans are required to allocate a minimum of 1% for formula funds to provide student transit for students in grades 9-12 each fiscal year, if practicable (See OAR 732-040-0005 for definition of practicable). If not practicable, enter explanation on why allocation of STIF Funds to support student transportation is less than 1% in any fiscal year. See page 21 of the Formula Fund Guidance and Applications Instructions document for options for serving students in grades 9-12, located here:

https://www.oregon.gov/ODOT/RPTD/RPTD%20Committee%20Meeting%20Documents/STIF-Application-Guidance.pdf.

7. STIF Plan Summary			
	Amount Carried Forward \$0.00		
FY 2019 Total STIF Funds \$0.00	<b>FY 2020 Total STIF Funds</b> \$0.00	FY 2021 Total STIF Funds \$0.00	
FY 2019 Student STIF Funds \$0.00	<b>FY 2020 Student STIF Fur</b> \$0.00	nds FY 2021 Student STIF Funds \$0.00	
FY 2019 Percent of STIF Funds supp student transportation	orting FY 2020 Percent of STIF F student transportation	Funds supporting FY 2021 Percent of STIF Funds supporting student transportation	
Please explain why your allocation	of STIF Funds to support student tra	ansportation is less than 1%. *	
Limit 500 Characters			Δ