



Oregon

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DATE: December 20, 2019

TO: All Public Transportation Providers

FROM: Karyn Criswell
Project Manager, Statewide Transportation Improvement Fund

SUBJECT: **Revised STIF Applicant Eligibility**

The purpose of this memo is to inform all public transportation providers that we have revised the Statewide Transportation Improvement Fund (STIF) guidance concerning applicant eligibility. Public transportation service providers or any other non-profit, private for-profit or public entity that provides public transportation services is eligible to receive STIF funds by performing work as a sub-recipient to a Qualified Entity or a Public Transportation Service Provider.

We have updated attached STIF Formula Fund guidance document (see Applicant Eligibility, page 9) to reflect this interpretation change and will make a similar update to the STIF discretionary program guidance.

Please note that we anticipate a more broad revision to STIF guidance documents in 2020. The scope of these revisions is dependent on whether the 2020 Oregon Legislature consolidates the STIF and the Special Transportation Fund statutes in 2020.



Formula Fund

Statewide Transportation Improvement Fund (STIF)
Guidance and Application Instructions,
December 20 2019

Oregon Department of Transportation Rail and Public Transit Division

<https://www.oregon.gov/ODOT/RPTD/Pages/Funding-Opportunities.aspx>
<https://www.oregon.gov/ODOT/RPTD/Pages/STIF.aspx>



TABLE OF CONTENTS

STAFF CONTACTS	3
DEFINITIONS AND ACRONYMS	4
PART 1: FORMULA FUNDS OVERVIEW	7
Introduction	7
Program Purpose and Eligible Projects	7
Funding Availability	9
Eligible Applicants	9
Qualified Entity Management of STIF Funds	9
Application Process	9
Application Deadlines	10
STIF Plans in Lieu of Grant Agreements	12
Major Steps in STIF Plan Development and Approval	12
Advisory Committee Requirements	15
Advisory Committee Composition	15
Advisory Committee Bylaws	15
Advisory Committee Project Review	16
STIF Plan Contents	17
STIF Plan and Funding Periods	17
Sub-Allocation Method	18
Summary of Planned and Prior Expenditures	19
Definition of High Percentage of Low-Income Households	21
Local Plans	24
Governing Body Adoption	26
Appeal Procedure	26
PART 2: APPLICATION INFORMATION	27
STIF Plan Application Format and Use	27
STIF Plan Application Organization	28
STIF Plan Application Form	28
1. Qualified Entity Information	28
2. Advisory Committees	30
3. Local Plan Compliance	31
4. Accountability	33
5. STIF Plan Period and Adoption	36
6. Projects	37
7. STIF Plan Summary	55
APPENDIX A: GENERAL AND FORMULA RULES	58
APPENDIX B: FORMULA FUND ALLOCATION ESTIMATES, DRAFT, APRIL 13, 2018	85

STAFF CONTACTS

Questions about the STIF Formula Fund solicitation should be directed to the relevant regional transit coordinator.

ODOT REGIONS (Counties)	COORDINATOR
Region 1 (Clackamas, Hood River, Multnomah, Washington)	Jason Kelly, Regional Transit Coordinator Office 503-731-3320 Cell 503-798-2373 Jason.D.Kelly@odot.state.or.us
Region 2A (Clatsop, Columbia, Marion, Polk, Tillamook, Yamhill)	Arla Miller, Regional Transit Coordinator Office 503-986-2836 Cell 503-949-5415 Arla.Miller@odot.state.or.us
Region 2B (Benton, Lane, Lincoln, Linn)	Mark Bernard, Regional Transit Coordinator Office 503-986-3283 Cell 503-798-1935 Mark.Bernard@odot.state.or.us
Region 3 (Coos, Curry, Douglas, Jackson, Josephine)	Jennifer Boardman, Regional Transit Coordinator Office 541-774-6371 Cell 971-701-5049 Jennifer.Boardman@odot.state.or.us
Region 4 (Crook, Deschutes, Gilliam, Jefferson, Klamath, Lake, Sherman, Wasco, Wheeler)	Theresa Conley, Regional Transit Coordinator Office 541-388-6250 Cell 541-514-7995 Theresa.L.Conley@odot.state.or.us
Region 5 (Baker, Grant, Harney, Malheur, Morrow, Umatilla, Union, Wallowa)	Frank Thomas, Regional Transit Coordinator Office 541- 963-1362 Cell 503- 856-2757 Frank.Thomas@odot.state.or.us

The electronic version of this document is located in the STIF section of the Public Transportation Funding Opportunities Page located here:
<https://www.oregon.gov/ODOT/RPTD/Pages/Funding-Opportunities.aspx>.

DEFINITIONS AND ACRONYMS

- **“Advisory Committee”** means either a committee formed by a Qualified Entity to assist the Qualified Entity in carrying out the purposes of the STIF Formula Fund and the Advisory Committee requirements specified in ORS 184.761(1) or a joint committee formed by two or more Qualified Entities for the same purposes, pursuant to ORS 184.761(5).
- **“Agency”** means Oregon Department of Transportation (“**ODOT**”).
- **“Commission”** means the Oregon Transportation Commission (“**OTC**”) established under ORS 184.612.
- **“Discretionary Fund”** means up to five percent of STIF funds to be disbursed to Public Transportation Service Providers, which includes Qualified Entities, through a competitive grant funding process, pursuant to ORS 184.758(1)(b).
- **“Governing Body”** means the decision-making body or board of a Qualified Entity.
- **“Indian Tribe”** means a federally-recognized Indian Tribe in Oregon that has members residing on a reservation or in tribal trust lands in Oregon.
- **“Intercommunity Discretionary Fund”** means up to four percent of STIF funds to be disbursed to Public Transportation Providers through a competitive grant funding process, pursuant to ORS 184.758(1)(c).
- **“Intergovernmental Entity”** means entities organized under ORS 190.010.
- **“Low-Income Household”** means a household the total income of which does not exceed 200 percent of the poverty guidelines updated periodically in the Federal Register by the U.S. Department of Health and Human Services under the authority of [42 U.S.C. 9902\(2\)](#) for the 48 Contiguous States and the District of Columbia.
- **“Local Plan”** means a local or regional public transportation plan(s), which may include adopted policy(ies) that is developed and approved by the Governing Body of a Qualified Entity, Public Transportation Service Provider, or Metropolitan Planning Organization. Local Plans include, but are not limited to: coordinated public transit human services transportation plans, transportation system plans, transit development plans, and transit master plans.
- **“Mass Transit District”** means a district organized under ORS 267.010 to 267.390.
- **“Project”** means a public transportation improvement activity or group of activities eligible for STIF moneys and a plan or proposal for which is

included in a STIF Plan or in a grant application to a Qualified Entity or the Agency. Examples of project types include, but are not limited to: discrete activities, such as purchasing transit vehicles, planning, or operations; and groups of activities for a particular geographic area or new service, such as a new route that includes purchase of a transit vehicle, and maintenance and operations on the new route.

- **“Public Corporation”** means an independent legal entity that was formed by legislative action, serves a public purpose, and is under exclusive public management or control.
- **“Public Transportation Advisory Committee” (“PTAC”)** means the ODOT Public Transportation Advisory Committee established by the Commission in 2000.
- **“Public Transportation Service Provider”** means a Qualified Entity or a city, county, Special District, Intergovernmental Entity or any other political subdivision or municipal or Public Corporation that provides Public Transportation Services.
- **“Public Transportation Services”** means any form of passenger transportation by car, bus, or other conveyance, either publicly or privately owned, which provides service to the general public (not including charter, sightseeing, or exclusive school bus service) on a regular and continuing basis. Such transportation may be for purposes such as health care, shopping, education, employment, public services, personal business, or recreation.
- **“Qualified Entity”** means, a county in which no part of a Mass Transit District or Transportation District exists, a Mass Transit District, a Transportation District or an Indian Tribe.
- **“Recipient”** means a Qualified Entity or Public Transportation Service Provider that has a STIF Plan approved by the Commission or enters into an agreement directly with the Agency to receive STIF funds.
- **“Special District”** means a service district organized under ORS 451.010(1)(h).
- **“STIF Formula Fund”** means up to 90 percent of the Statewide Transportation Improvement funds to be disbursed to Qualified Entities conditioned upon the Commission’s approval of a STIF Plan, pursuant to ORS 184.758(1)(a).
- **“STIF” or “Statewide Transportation Improvement Fund”** means the fund established under ORS 184.751.
- **“STIF Plan”** means a public transportation improvement plan that is approved by a Governing Body and submitted to the Agency for review

and approval by the Commission in order for the Qualified Entity to receive a share of the STIF Formula Fund.

- **“Sub-recipient”** means any entity that has entered into an agreement with a Recipient in order to complete one or more tasks specified in the agreement between the Agency and the Recipient.
- **“Transportation District”** means a district organized under ORS 267.510 to 267.650.

PART 1: Formula Funds Overview

Introduction

Section 122 of House Bill 2017¹ provides statewide funding for public transportation service from a new payroll tax of one-tenth of 1 percent on wages paid to employees. Proceeds from the payroll tax will be deposited into the Statewide Transportation Improvement Fund (STIF). The Oregon Department of Revenue began assessing the tax July 1, 2018. The Oregon Department of Transportation (Agency) will implement the Formula Fund program with 90 percent of these revenues distributed by formula to Qualified Entities, which include mass transit districts, transportation districts, counties without a mass transit district or a transportation district, and federally-recognized tribes.

Formula Fund requirements are specified in Oregon Administration Rules (OARs) Chapter 732, Divisions 40 and 42 (see Appendix A). This document outlines the STIF Formula Fund application process, provides guidance for complying with the rules, and provides instructions for completing the STIF Plan template. The STIF Plan serves as the application for STIF Formula funding.

Program Purpose and Eligible Projects

The STIF Formula Fund is intended to expand and improve public transportation services for current and potential future Oregon transit users by distributing moneys to Qualified Entities (732-040-0005(26)) to increase and expand capacity of public transportation services.

Per OAR 732-040-0010, STIF moneys are appropriated to finance investments and improvements in public transportation services, except for light rail capital expenses. STIF may be used for public transportation purposes that support the effective planning, deployment, operation, and administration of public transportation programs including, but not limited to, the following:

- Creation of new systems and services with origins, destinations or stops in Oregon;
- Maintenance or continuation of systems and services in certain circumstances; and
- Planning for and development of a Local Plan or future STIF Plan to improve public transportation service.

¹ House Bill 2017, also known as Keep Oregon Moving, was signed into law following the 2017 legislative session.

STIF moneys are primarily intended to fund the expansion or improvement of public transportation in Oregon and priority will be given to plans that improve or expand services.

In the first few funding cycles, the majority of funding will be directed to improve or expand service. However, as services improved and expand, ongoing costs associated with operation and maintenance of the expansion will increase. That service will need to be maintained. OAR 732-040-0010(2)(b), which specifies that STIF funds may be used to maintain or continue systems and services, is directed to future scenarios where a Qualified Entity has expanded service by using STIF moneys and now needs to maintain that expansion. This section may also govern instances where one-time funds are no longer available (e.g., federal one-time discretionary funds, federal ARRA funds). STIF moneys are not intended to supplant local funding sources to maintain existing services. A STIF Plan that proposes to use STIF funding to replace local funding for an existing service may result in denial of the funding request.

Qualified Entities are permitted to carry forward funds, whether planned or unplanned. Examples include, but are not limited to, maintain an operating reserve for STIF projects, save for a large or multi-phased capital project, or if revenues received exceeded actual expenditures.

Client-only transportation services are generally not eligible to receive STIF if the proposed use of the STIF is to pay for services that are not open to the general public. Client-only transportation providers are both governmental and private agencies who offer transportation services to limited groups of individuals. Examples include a mental health department of a county that provides a limited transportation service to mental health clients, and a city agency operating a senior center with transportation services for seniors in the community. Non-profit and private businesses may also have client-only services, for example, a social service agency offering transportation services to their clients. In all examples, the transportation services are not open to the general public.

Client-only agencies participating in a planned and coordinated community transportation program could be eligible for STIF. The coordinated transportation system, when viewed in the big picture, would be open to the general public and marketed to the public as public transportation. The level of coordination and participation of client-only providers is a detail of an area's L, and the amount of STIF funds individual agencies qualify for would be associated with their levels of participation in the coordinated public transportation system.

Funding Availability

Each year the Agency will update the Formula Fund allocation estimate, which forecasts the funding that is likely to be available to Qualified Entities each fiscal year of the funding period. A copy of the current estimate is attached in Appendix B.

The forecast is conservative because the tax is new and we lack historical data to predict future revenues. The level of taxpayer compliance also is uncertain. The Agency will only distribute the revenue it receives, which may be more or less than this estimate, up to the Qualified Entity's approved STIF Plan funding limit.

Qualified Entities are encouraged to request funding for Projects in excess of the allocation estimate by approximately 30 percent because the Agency can only disburse the amount of funds that are specified in an approved STIF Plan. If STIF revenues exceed STIF Plan approved funding, the Agency will not disburse those funds until a new STIF Plan is approved.

Eligible Applicants

Only a Qualified Entity may submit a STIF Plan. A Qualified Entity is a county in which no part of a Mass Transit District or Transportation District exists, a Mass Transit District, a Transportation District or an Indian Tribe, per OAR 732-040-0005. A Public Transportation Service Provider or any non-profit, private for-profit, or public entity is eligible to receive STIF Formula funds by performing work for a Qualified Entity or a Public Transportation Service Provider, which supports a project in the Qualified Entity's STIF Plan.

A map of Qualified Entities is located in the STIF Rulemaking Document Library on the STIF webpage: <http://www.oregon.gov/ODOT/RPTD/Pages/STIF.aspx>.

Qualified Entity Management of STIF Funds

Two or more Qualified Entities may jointly manage the STIF moneys disbursed to them. See OAR 732-040-0045 for additional details pertaining to joint management of funds.

Application Process

The STIF Plan is the mechanism for accessing STIF moneys. A Qualified Entity will submit a STIF Plan to the Agency as their "application" using an Agency-provided STIF Plan Template (STIF Plan Application). The Agency will review the submittal for completeness and facilitate the review of the STIF Plan by the Public Transportation Advisory Committee (PTAC) and the Oregon Transportation Commission (Commission).

Although not required, Qualified Entities are encouraged to work with their ODOT Regional Transit Coordinator as they develop their STIF Plan in order to identify and address potential issues early in the Plan development process. Qualified Entities are encouraged to schedule a pre-application review meeting with their Regional Transit Coordinator in advance of STIF Plan submittal deadline to identify and address potential issues.

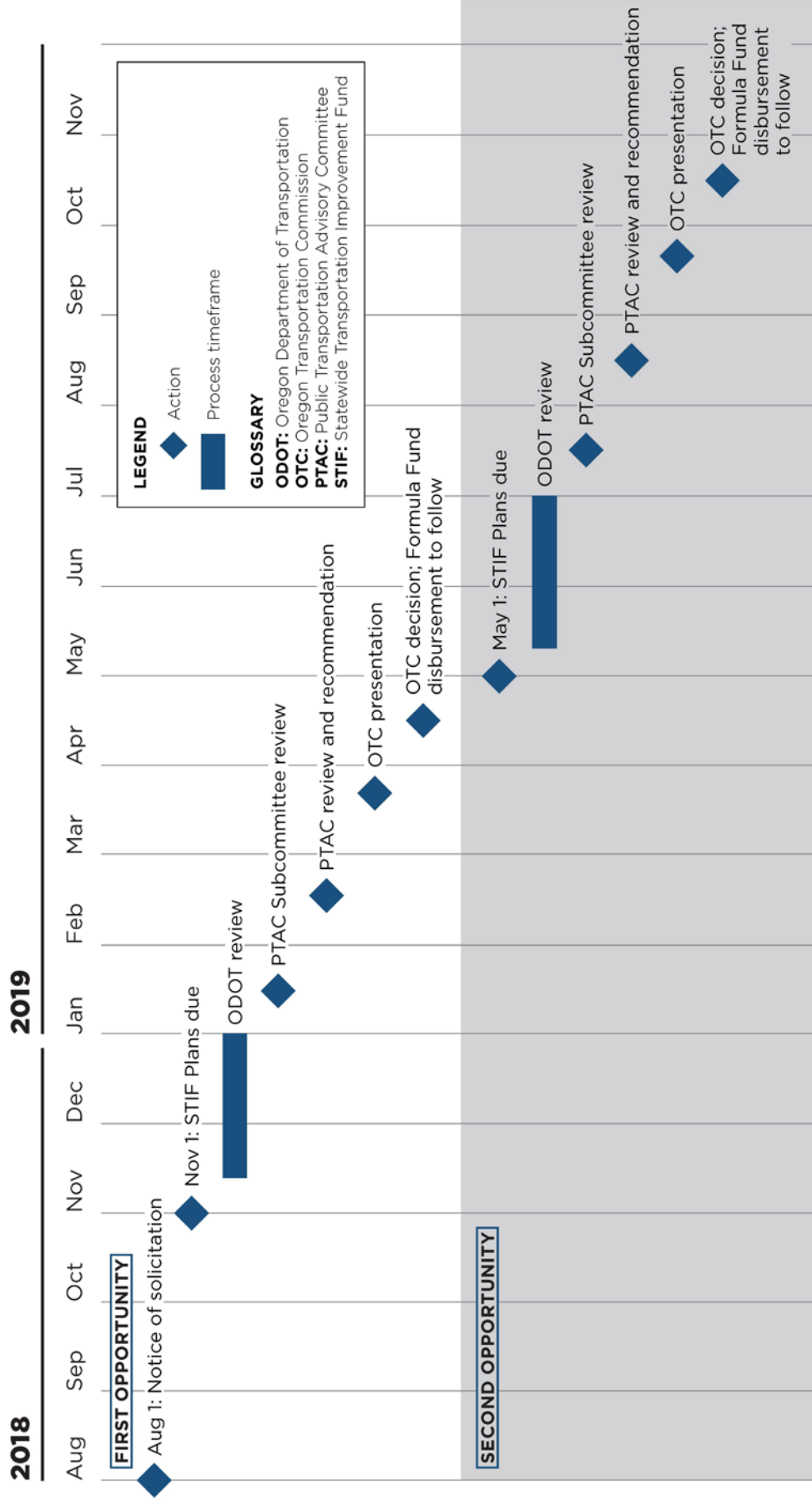
Application Deadlines

For the first funding cycle there are two submittal deadlines and two corresponding review and approval cycles. Formula Fund submittals must be received by the Agency no later than **November 1, 2018** for the first round or **May 1, 2019** for the second round.

Only complete STIF Plan Applications will be accepted for either round. If an applicant does not have a complete STIF Plan Application by the first deadline, the applicant may submit at the second deadline.

Statewide Transportation Improvement Fund FORMULA FUND SCHEDULE

June 2018



STIF Plans in Lieu of Grant Agreements

Under the Formula Fund program, STIF Plans may only be submitted with the approval of the Qualified Entity's Governing Body. STIF Plans must be signed by a person with the authority to enter into legally binding agreements on behalf of the Qualified Entity. A charter or resolution typically specifies who has authority to enter into legally binding agreements.

Upon Commission approval, the submitted STIF Plan, in combination with OAR Chapter 732, Division 40 and 42, will function in lieu of a grant agreement between the Qualified Entity and the Agency. Therefore, by submitting the STIF Plan, the Qualified Entity is committing to adhere to the applicable OARs and deliver the Projects specified in the STIF Plan.

Qualified Entities are **encouraged to provide the STIF Plan to their legal counsel for review upon release of the solicitation notice**. Please direct any questions or concerns about STIF Plan provisions to the applicable Regional Transit Coordinator (see contact information on page 4).

Major Steps in STIF Plan Development and Approval

Oregon Transportation Commission approval of a STIF Plan is required in order to receive STIF Formula funding. The major steps in developing a STIF Plan and receiving Commission approval are outlined below and depicted in Figure 1: STIF Plan Process.

1. The Agency provides Formula Fund allocation estimates to Qualified Entities. Qualified Entities work with local Public Transportation Service Providers to develop a local sub-allocation method to be used as a starting point for project decision-making.
2. Qualified Entities form STIF Advisory Committees.
3. Public Transportation Service Providers request STIF Formula Funds through their Qualified Entities.
4. STIF Advisory Committees review and recommend prioritized list of projects for funding, which are documented in a STIF Plan.
5. Governing Body of Qualified Entities adopt STIF Plans and submit them to the Agency.
6. The Agency reviews for completeness and provides to the Public Transportation Advisory Committee (PTAC).
7. Public Transportation Advisory Committee reviews and makes recommendation on whether to approve to the Commission.
8. Commission reviews and decides whether to fund proposed STIF Plans.
9. Agency notifies Qualified Entities of Commission funding decision.

The PTAC, when making its recommendation, and the Commission when making its decision on a STIF Plan, shall consider the extent to which the STIF Plan meets the requirements described in rule. Failure to comply with the STIF Plan requirements set forth in statute and OAR 732, Divisions 40 and 42 could result in rejection of a STIF Plan.

The Commission shall consider the PTAC's recommendation and determine whether to approve or reject the STIF Plan. If the Commission rejects a proposed STIF Plan, the Commission shall document the reasons for the rejection and the Agency shall provide the reasons to the Qualified Entity in writing. Per OAR 732-042-0025, possible reasons for Commission rejection include, but are not limited to:

- The Qualified Entity did not establish an STIF Advisory Committee, or established a committee inconsistent with membership requirements in these rules;
- The Qualified Entity failed to confer with its STIF Advisory Committee;
- The STIF Plan is incomplete or does not adequately explain how the Qualified Entity will accomplish the goals of the Projects in the STIF Plan, including Recipient accountability methods, Sub-recipient accountability methods, or remediation strategies, if applicable;
- The STIF Plan does not contain the sections and elements listed in rule; or
- The Qualified Entity failed to expend STIF Formula funds in a manner that substantially complies with a prior approved STIF Plan.

STIF PLAN PROCESS

START

- ODOT provides Formula Fund allocation estimates to QEs
- QEs work with PTSPs to develop sub-allocation method
- QEs form Advisory Committees

PTSPs request STIF Formula Funds through their QE. Requests are based on Local Plans.

The QE may ask PTSPs to amend their requests to comply with STIF Plan requirements.

Public Transportation Service Providers

Qualified Entity

Governing Body of Qualified Entity

The Governing Body of the QE approves the STIF Plan to be submitted to ODOT. The Governing Body may modify the STIF Plan.

The QE prepares the STIF Plan to be submitted to ODOT.

Advisory Committee

An Advisory Committee provides feedback to the QE on prioritization of projects in the STIF Plan.

ODOT makes STIF Plan assistance available to QEs prior to submittal.

The QE submits the STIF Plan to ODOT.

Incomplete or deficient STIF Plans may be returned to the QE to correct and resubmit.

ODOT Staff

ODOT Staff reviews the STIF Plan for completeness.

Public Transportation Advisory Committee

PTAC recommends OTC approve or reject the STIF Plan.

Oregon Transportation Commission

OTC accepts or rejects PTAC's recommendation.

FINISH

- ODOT disburses quarterly payments to QEs
- QEs provide quarterly reports to ODOT

Figure 1: STIF Plan Process

Acronyms:

- ODOT: Oregon Department of Transportation
- QE: Qualified Entity
- PTSP: Public Transportation Service Provider
- PTAC: Public Transportation Advisory Committee
- OTC: Oregon Transportation Commission

Advisory Committee Requirements

The Qualified Entity's Advisory Committee is a very important part of the STIF Plan development process to ensure transparency and accountability at the local level. Qualified Entities should thoroughly review OARs 732-040-0030, 732-040-0035 and 732-040-0040 in Appendix A to ensure all the Advisory Committee requirements are met. The key Advisory Committee requirements are discussed below.

ADVISORY COMMITTEE COMPOSITION

An Advisory Committee should be appointed by the Qualified Entity at the beginning of the STIF Plan development process. A Qualified Entity may use an existing advisory committee, combine committees, or join with another Qualified Entity to appoint a joint Advisory Committee **as long the committee meets the STIF Advisory Committee requirements established in rule**. See OAR 732-040-0030 for details.

The Qualified Entity is required to appoint an Advisory Committee composed of members that are knowledgeable about the public transportation needs of residents or employees located within or traveling to and or from the Transportation District, Mass Transit District, or county. Members must represent diverse interests, perspectives, geography, and the population demographics of the area. Advisory Committee composition requirements vary depending on the type of Qualified Entity. See OAR 732-040-0035 for details.

ADVISORY COMMITTEE BYLAWS

The Qualified Entity shall ensure that the Advisory Committee is guided by written bylaws that include:

- The Advisory Committee's name and purpose
- The number of Advisory Committee members
- Advisory Committee membership criteria
- The appointment process for members
- The terms of office for members
- The Advisory Committee's meeting schedule
- Advisory Committee procedures and member duties, including procedures to provide public notice of meetings to foster public engagement and to comply with Oregon public meeting and public records laws
- The Advisory Committee's process to review Public Transportation Service Provider proposals and the decision-making criteria

- A definition of “high percentage of Low-Income Households” for the Advisory Committee’s use in evaluating proposed Projects

The Qualified Entity is required to prepare the written bylaws and set the terms of office for the Advisory Committee members. The Qualified Entity may seek input on the bylaws from the Advisory Committee. Copies of Advisory Committee bylaws, meeting minutes, and meeting notices must be published by the Qualified Entity and made available for public review in a reasonable and timely manner. These minutes and notices must be retained for six years.

The Agency must be notified of changes in the Advisory Committee membership when the Qualified Entity submits its STIF Plan.

ADVISORY COMMITTEE PROJECT REVIEW

Advisory Committees are required to review and prioritize Projects proposed by Public Transportation Service Providers (including Qualified Entities). Project proposals must include the contents described in OAR 732-042-0015(3).

The Advisory Committee shall consider the following criteria when reviewing STIF Formula Fund Projects:

- Whether the Project would:
 - increase the frequency of bus service to communities with a high percentage of Low-Income Households;
 - expand bus routes and bus services to serve communities with a high percentage of Low-Income Households;
 - reduce fares for public transportation in communities with a high percentage of Low-Income Households;
 - result in procurement of buses that are powered by natural gas or electricity for use in areas with a population of 200,000 or more;
 - improve the frequency and reliability of service connections between communities inside and outside of the Qualified Entity’s service area;
 - increase the coordination between Public Transportation Service Providers to reduce fragmentation in the provision of public transportation service; or
 - expand student transit services for students in grades 9 through 12.
- Whether the Project would maintain an existing, productive service;
- The extent to which the Project goals meet public transportation needs and are a responsible use of public funds; and
- Other factors to be determined by the Qualified Entity or Advisory Committee (for example, geographic equity).

A Governing Body may accept the Advisory Committee's recommendation to approve or reject a Project proposal and consider the Advisory Committee's recommended prioritized list of Projects, may return it to the Advisory Committee for modifications, or may modify it prior to inclusion in the STIF Plan for submittal to the Agency. If the Governing Body modifies the Advisory Committee's recommendation, it shall inform any affected Public Transportation Service Provider of all modifications and the explanation for such changes.

Per OAR 732-040-0030 in addition to any other duties, the Advisory Committee may also propose any changes to the policies or practices of the Governing Body of the Qualified Entity that the Advisory Committee considers necessary to ensure that a Public Transportation Service Provider that has received STIF funds has applied the moneys received in accordance with and for the purposes described in the Project proposal; and a Project proposal submitted by a Public Transportation Service Provider does not fragment the provision of public transportation services.

STIF Plan Contents

A Qualified Entity shall adopt a written STIF Plan to establish a list of Projects for public transportation located within the Qualified Entity's area of responsibility. STIF Plan requirements are listed in OAR 732-042-0015. A few key elements are highlighted below.

STIF PLAN AND FUNDING PERIODS

A STIF Plan must cover at least a biennium, but it may include up to two biennia subject to Commission approval, except during this first funding cycle, which requires STIF Plans to end June 30, 2021. A new STIF Plan can be submitted next biennium that takes into account lessons learned from the first biennium.

The STIF Plan period is the effective date specified in a Commission-approved STIF Plan through the end of the Qualified Entity's plan period. Qualified Entities may, entirely at their own risk, begin expending STIF funds prior to a STIF Plan approval, but no earlier than the July 1, 2018, operative date set in statute.

- STIF Plans submitted by November 1, 2018, for the first round are anticipated to receive Commission decision in April 2019.
- STIF Plans submitted by May 1, 2019, for the second round are anticipated to receive Commission decision in October 2019.

A STIF Plan must address the transportation needs of people residing in or traveling into and out of the Qualified Entity's area of responsibility. This may be

addressed by reviewing and summarizing the contents of a recent existing conditions analysis from a Local Plan, such as a regional transportation plan, transit development plan, transit master plan or transportation system plan.

SUB-ALLOCATION METHOD

A STIF Plan must include a description of the Qualified Entity's method to sub-allocate STIF Formula Fund moneys to Public Transportation Service Providers and other potential Sub-recipients and the process for developing the method.

Under OAR 732-042-0010(3) the Agency is required to estimate Formula Fund disbursements for each Qualified Entity. A Qualified Entity is required to work collaboratively with its Public Transportation Service Providers and other potential Sub-recipients to develop a method for sub-allocating STIF Formula Fund moneys to Public Transportation Service Providers.

Failure of a Qualified Entity to develop a sub-allocation method in collaboration with Public Transportation Service Providers and other potential Sub-Recipients may result in the rejection of a STIF Plan.

To the extent possible, using the best available data, the sub-allocation method used by Qualified Entities must be proportionate to the amount of employee payroll tax revenue generated within the geographic territory of each Public Transportation Service Provider.

The Qualified Entity's sub-allocation estimate shall be a starting point for the Qualified Entity's STIF Plan and funding prioritization process. The sub-allocation is not an entitlement to the Public Transportation Service Providers and decision criteria may affect the prioritization of projects for award.

Because Qualified Entities that are mass transit districts or public transportation districts are responsible for distribution of Formula Funds outside of their district boundaries but within the remainder of the county or counties, the Agency's Qualified Entity allocation estimate includes in-district and out-of-district revenue estimates by county.

For Qualified Entities that are the only Public Transportation Service Provider within their area of responsibility and no other potential Public Transportation Service Provider has expressed interest in applying for STIF Formula funding, the Qualified Entity may describe these conditions and specify there are no options nor reasons to sub-allocate funding in Section 4.2 of the STIF Plan.

Potential Data Sources:

- Payroll data for cities can be attained by contacting an Oregon Employment Department (OED) regional economist in your area. The list of local economists is available on the Contact Us tab at QualityInfo.org.
- If OED is unable to fulfill the data request, Qualified Entities and Public Transportation Service Providers may consider using population data, recognizing that population does not necessarily mirror employee payroll generation:
 - Portland State University publishes annual population estimates for cities and towns here: <https://www.pdx.edu/prc/population-reports-estimates>
 - The U.S. Census Bureau reports population data at a variety of geographic levels available through the American FactFinder located here: <https://factfinder.census.gov/faces/nav/jsf/pages/index.xhtml>

This list is not exhaustive. Questions about other proposed data sources should be directed to Andrew O’Keefe, Fiscal Coordinator, ODOT Rail and Public Transit Division, by phone at 503-986-3267 or by email at Andrew.S.Keefe@odot.state.or.us.

SUMMARY OF PLANNED AND PRIOR EXPENDITURES

Consistent with OAR 732-042-0015(2)(b), a STIF Plan must include a summary that lists the total funding sought in the STIF Plan, total funding sought for each Recipient or Sub-Recipient (regardless of entity type); and for applicable Qualified Entities, the total funding sought by geographic area inside and outside the district’s jurisdictional boundary but within its area of responsibility.

The STIF Plan must specify whether funding is proposed to be allocated to seven areas. Each improvement area is listed below (A-G), followed by one or more examples or descriptions of this type of service improvement.

- A. increased frequency of bus service schedules in communities with a high percentage of Low-Income Households
 - Increase the frequency of bus service, such as adding more service hours or expanding service to the weekend. See “Determining High Percentage of Low-Income Households” below for guidance on defining communities with a high percentage of Low-Income Households and determining whether a Project is serving these communities.

- B. the expansion of bus routes and bus services to reach communities with a high percentage of Low-Income Households
 - Buy an additional bus and fund operations to serve a new area or extend a route to a community with a high percentage of Low-Income Households.
- C. the implementation of programs to reduce fares for public transportation in communities with a high percentage of Low-Income Households
 - A low-income fare program can be developed by partnering with other agencies already screening applicants for federal funds that use the same low-income definition.
- D. the procurement of buses that are powered by natural gas, electricity or other low or no emission propulsion for use in areas with populations of 200,000 or more
 - While the statute specifies reporting on the procurement of buses powered by natural gas or electricity for use in areas with populations of 200,000 or more, the Agency encourages Public Transportation Service Providers of all types and sizes to explore opportunities for conversion or expansion of their fleet to natural gas, electricity or other low or no emission methods.
- E. the improvement in the frequency and reliability of service connections between communities inside and outside of the Qualified Entity's service area
 - Public Transportation Service Providers are encouraged to consider origins and destinations both within and outside of a provider's service area, and coordinate to determine cost-effective options for meeting service needs. Providers should consider expanding existing multi-jurisdictional partnerships or forming new ones. Refer to Chapter 8, page 53, of the Oregon Department of Transportation Transit Development Plan Guidebook for a list of potential improvements to address specific transit needs. The Guidebook is located at the top of the "I Want To" section at <http://www.oregon.gov/ODOT/RPTD/Pages/Tools.aspx>.
- F. coordination between Public Transportation Service Providers to reduce fragmentation in the provision of transportation services
 - Public Transportation Service Providers may improve coordination and reduce fragmentation of service by providing a universal fare pass to make transferring between services more seamless for users. Improved spatial connectivity between agencies, better timing of transfers to reduce the wait time for bus riders, and

regional governance of Public Transportation Service Providers are other options for improving service coordination.

G. implementation of programs to provide student transit services for students in grades 9 through 12

- Each Qualified Entity is required to spend at least 1 percent of the Formula Fund moneys received each year on student transit services for students in grades 9 through 12, if Practicable (see definition of Practicable in Section 732-040-005). If a Qualified Entity determines it is not Practicable to dedicate at least 1 percent of Formula Fund moneys for this purpose, it must specify the reason it is not Practicable.
- Under OAR 732-040-0005(19) Practicable means “Public Transportation Services within the Qualified Entity’s area of responsibility that can feasibly and efficiently be used by students in grades 9 through 12 in order to commute to or from school.”
- A wide range of activities or services could be offered to meet this requirement. A student bus pass program may be an effective approach in communities with fixed route transit services. Other options could include:
 - Adjusting service schedules to better align the bus schedule to allow for improved access to before and after school activities
 - Expanding eligibility for demand response service to include students in grades 9 through 12 in rural communities
 - For Qualified Entities with limited funds, convening meetings with schools and students to identify opportunities for better public transportation for students
 - Reduced fares for students
 - Mobility training for students to reduce barriers to using existing services.
 - After school shuttle service

In future STIF Plans, a Qualified Entity that received STIF Formula Funds in the preceding two fiscal years, will be required to include a summary of the amount of moneys allocated to fund these seven areas.

DEFINITION OF HIGH PERCENTAGE OF LOW-INCOME HOUSEHOLDS

A STIF Plan must contain an explanation of how the Plan defines and identifies “communities with a high percentage of Low-Income Households.” Each Qualified Entity must define “high percentage of Low-Income Households” in the Advisory Committee bylaws, so the members can consider these criteria in decision making. Qualified Entities must specify in the STIF Plan and

subsequent reports how Low-Income Households benefit from public transportation improvements. More specifically, under OAR 732-042-0015(3) a Qualified Entity is required to specify the anticipated benefits and discrete measurable outcomes associated with each Project with specific reference to whether the Project:

- increased frequency of bus service schedules in communities with a high percentage of Low-Income Households;
- expanded bus routes and bus services to reach communities with a high percentage of Low-income Households;
- implemented programs to reduce fares for public transportation in communities with a high percentage of Low-Income Households;

Identifying Public Transportation Benefits to Communities with a High Percentage of Low-Income Households

Under OAR 732-040-0005(17) “Low-Income Household” means a household the total income of which does not exceed 200 percent of the poverty guidelines updated periodically in the Federal Register by the U.S. Department of Health and Human Services under the authority of 42 U.S.C 9902(2) for the 48 contiguous states and the District of Columbia. A Qualified Entity is responsible for determining what is considered a “high percentage” of Low-Income Households.

Below are examples of how an agency might determine if a project serves a “high percentage of Low-Income Households.” Each Qualified Entity must describe and justify its method in its STIF Plan.

Example #1 - Does the area(s) served by a project have a high percentage of Low-Income Households?

1. Identify what **analysis level** the Qualified Entity will use to evaluate projects in the STIF Plan. The Qualified Entity may use units defined by the U.S. Census Bureau including county, metropolitan statistical area, place, city, tract, block group, or block.
2. Identify the **number and/or percent of households considered low-income** at the selected analysis level.
3. Select a value above which an area at the selected analysis level is considered to have a high percentage of Low-Income Households. This is the **high percentage threshold**. Agency recommends that Qualified Entities define areas as having a high percentage of Low-Income Households if the percentage of Low-Income Households in a given area is above the **State of Oregon average number of Low-Income Households statewide** in the same year.

4. Identify areas at the selected analysis level in which the number of Low-Income Households exceeds the high percentage threshold. These are **high percentage of Low-Income Household areas**.
5. Identify the **area(s) served by the STIF Project**, using whole or in part the analysis level units selected in step 2.
6. If a Project impacts communities with a high percentage of Low-Income Households, as defined by the Qualified Entity, then the Project could meet one or more of the criteria.

Example #2 - Are a high percentage of people actually served by the Project members of Low-Income Households?

1. Determine if the portion of users/passengers of the Project from Low-Income Households can be estimated/counted by survey or direct data collection.
2. If yes, select a value for the percentage of passengers from Low-Income Households to be considered a “high” percentage of total passengers. This level might be set differently than a definition for a geographic area.
3. Compare the value selected with the estimates to determine if Project users/passengers meet your definition of high percentage of Low-Income Households. If yes, then the Project could meet one or more of the criteria.

The Qualified Entity may choose to include additional optional equity indicators in its method to address populations that may be disproportionality impacted by poverty or limited transportation services. Some examples of equity indicators include:

- households with poor vehicle access,
- people with disabilities,
- percentage of students on free or low-cost lunches,
- percentage of people of color, or
- percentage of limited English proficiency persons.

Resources

- Demographic data, including the percentage of Low-Income Households at the county level, can be found in transit development plans (TDPs) and coordinated human services transportation plans (coordinated plans).

The percentage of Low-Income Households is typically given at the county level in a demographic table in the baselines conditions section of a TDP per Chapter 6 of Oregon Department of Transportation Transit Development Plan Guidebook located here:

<http://www.oregon.gov/ODOT/RPTD/Pages/Tools.aspx>.

The percentage of Low-Income Households is typically given at the county level in a demographic table in the demographics section of coordinated plans.

- Remix, a transit planning tool, can be used to look at current or hypothetical fixed route transit service and extent of Low-Income Households benefiting from the current or proposed service. Remix can be found here: <https://www.remix.com/>
- Federal poverty guidelines and other resources on poverty measurement are located here: <https://aspe.hhs.gov/poverty-guidelines>.
- EJSCREEN, is an environmental justice mapping and screening tool that provides a nationally consistent dataset for combining environmental and demographic indicators. It is located here: <https://www.epa.gov/ejscreen>.
- U.S. Census Bureau information can be found here: <https://www.census.gov/topics/income-poverty/data.html>.

LOCAL PLANS

Qualified Entities are required to identify the Local Plan(s) from which each Project was derived as well as the board, council, commission, or other Governing Body which approved the Local Plan.

Under OAR 732-040-0005 Local Plan means a local or regional public transportation plan(s), which may include adopted policy(ies) that is developed and approved by the Governing Body of a Qualified Entity, Public Transportation Service Provider, or Metropolitan Planning Organization and which includes, at a minimum:

- (a) A planning horizon of at least four years;
- (b) An existing and future conditions analysis that includes:
 - (A) Current and forecast population and demographics, including locations of people who are often transit dependent, including low-income households, individuals of age 65 or older, youth, and individuals who are racially and ethnically diverse;

- (B) Locations of existing housing, employment centers, medical and social and human services centers, major destinations, and other locations with needs for public transportation services and programs;
- (C) Inventories of current Public Transportation Services located within, adjacent to, or with the reasonable potential to connect to the local or regional public transportation services, as applicable;
- (c) Prioritized lists of public transportation improvements and capital projects; and
- (d) Identified opportunities to Coordinate public transportation services within and outside the county, district, or tribal area and with other agencies and areas to improve efficiency and effectiveness of service and reduce gaps in service.
- (e) Local Plans include, but are not limited to: Coordinated Public Transit Human Services Transportation Plans, Transportation System Plans, Transit Development Plans, and Transit Master Plans.

An eligible Project is one that is referenced in at least one Local Plan. The Project can be referenced in a Local Plan that was adopted by the governing body of a Qualified Entity, Public Transportation Service Provider, or Metropolitan Planning Organization other than the provider proposing the project.

All of the required Local Plan components do not need to appear in a single Local Plan document if they are incorporated by reference. For example, a provider could have a Transit Master Plan that includes all of the Local Plan elements except for a prioritized list of capital projects, but references the need for such a plan to be developed in order to implement the plan. A separate transit capital improvement plan referenced by the Transit Master Plan in combination would be interpreted by the Agency as compliance with the Local Plan requirement.

Qualified Entities eligible for no more than the minimum STIF Formula Fund allocation under OAR 732-042-0010(2) or Rural Public Transportation Service Providers that are unable to meet the Local Plan requirements during the first Formula Fund solicitation cycle may use a portion of their first STIF Formula Fund allocation or sub-allocation to improve public transportation services if they have a current approved coordinated human services public transportation plan and if they also use a portion of the first allocation or sub-allocation to develop a Local Plan that is consistent with STIF Local Plan requirements. Public Transportation Service Providers must describe how the Local Plan is non-compliant and identify the schedule to bring the Local Plan into compliance.

The Agency's regional transit coordinators can help you identify and evaluate your Local Plan(s) for STIF rule compliance.

GOVERNING BODY ADOPTION

The STIF Plan must include documentation that the Governing Body approved the STIF Plan prior to its submittal to the Agency. If STIF Formula funds will be jointly managed by two or more Qualified Entities, documentation demonstrating each Governing Body's commitment to joint management must be submitted.

APPEAL PROCEDURE

A Qualified Entity may file an appeal as described in OAR 732-040-0050 if its STIF Plan is rejected by the Commission.

PART 2: Application Information

STIF Plan Application Format and Use

The STIF Plan Application is a fillable web-based form that requires an internet connection.

The form uses a combination of check boxes, yes or no questions, text boxes and buttons for uploading documents and adding information. All questions are required to be answered, unless specified as optional. Failure to respond could result in an Agency determination that the STIF Plan is incomplete and require re-submittal.

Some yes or no questions, when checked, generate additional questions from a drop-down menu based on the response. It is very important to answer all questions as they generate additional choices.

The online form is accessible in the STIF section of the Public Transportation Funding Opportunities Page located here:

<https://www.oregon.gov/ODOT/RPTD/Pages/Funding-Opportunities.aspx>.

Chrome, Firefox and Edge are the recommended web browsers. The form will function in Internet Explorer, but it will be slow to navigate, update and run calculations.

On the first use, users should select the “Save” button, located in the lower right-hand corner of the STIF Plan Template before exiting. The form software will request the user’s email address. Once the user closes the form, an email will be sent to the email address provided with a hyperlink to the form. Users also should select the “Save” button before closing the form during each session to save data entered during that session.

A copy of the completed form will be emailed to the user. **Printed and scanned forms will not be accepted.**

If you have technical problems using the form, please call 503-986-3300 and we will help you. For answers to programmatic or process- specific questions contact your regional transit coordinator.

STIF Plan Application Organization

The STIF Plan Application has six sections:

1. Qualified Entity Information
2. Advisory Committee Information
3. Local Plan Compliance
4. Accountability
5. STIF Plan Adoption
6. Projects

STIF Plan Application Form

1. QUALIFIED ENTITY INFORMATION

1. Qualified Entity
Qualified Entity Name *

Employer Identification Number *

STIF Plan Contact Name *

STIF Plan Contact Title *

STIF Plan Contact Phone Number *

STIF Plan Contact Email *

Will any of the projects in this STIF Plan use funds jointly managed with one or more other Qualified Entities? *

Upload documentation of joint management agreement. *
 or drag files here.

1.1 Qualified Entity Name

Select the Qualified Entity name from the drop-down menu.

Enter the following in the text boxes:

- Employer Identification Number (EIN is the nine-digit number assigned by the IRS to businesses operating in the United States. It is usually written in the format: 00-0000000. It is also sometimes known as the Federal Tax

- STIF Plan Contact Name
- STIF Plan Contact Title
- STIF Plan Contact Phone Number
- STIF Plan Contact Email

1.2 Public Transportation Service Providers in this STIF Plan

For Section 1.2, only Public Transportation Service Providers, as defined in OAR 732-040-0005, are allowed to request Formula Funds. “Service Provider” is used interchangeably with the defined term, Public Transportation Service Provider, for brevity.

For Provider 1, enter the following information in the text boxes:

- Service Provider Name
- Employee Identification Number
- Address
- Service Provider Website
- Service Provider Contact Name
- Service Provider Contact Title
- Service Provider Phone Number
- Service Provider Email
- Select the service provider type from the drop-down menu (as defined in OAR 732-040-0005):
 - City
 - County
 - Mass Transit District
 - Transportation District
 - Special District
 - Intergovernmental Entity
 - Municipal/Public Corporation or other political subdivision (*If selected, must upload documentation of how the definition of Public Corporation in rules is met*)
 - Indian Tribe

Select the orange “Add Agency” button to add all of the Public Transportation Service Providers with projects in this STIF Plan.

2. ADVISORY COMMITTEES

2. Advisory Committees

2.1 Advisory Committee Website

☐ By checking this box I agree all Advisory Committee requirements of OARs 732-040-0030, 732-040-0035 and 732-042-0020 have been met, including but not limited to, required constituencies, bylaws that include method for determining high percentage of Low-Income Households, public meetings, review and prioritization of STIF Plan Projects.

Advisory Committee Web Address *

If this information is not available on a website, you may upload other documentation that demonstrates how Advisory Committee information was published. *

Upload

 or drag files here.

Limit 100 MB

Review all of the Advisory Committee requirements specified in the Advisory Committee section of this document and the OARs 732-040-0030, 732-040-0035, and 732-042-0020. Check the box agreeing that all Advisory Committee requirements have been met before proceeding.

Enter the Advisory Committee website address in Section 2.1. Copies of the Advisory Committee bylaws, meeting minutes and meeting notices must be published by the Qualified Entity and made available for public review in a reasonable and timely manner. If this information is not available on a website, you may upload other documentation that demonstrates how the Advisory Committee requirements have been met and the information was made publicly available by selecting the orange upload button.

3. LOCAL PLAN COMPLIANCE

3. Local Plan Compliance

3.1 Existing Local Plans from which project(s) are derived.

✖ Local Plan 1

Local Plan Name *

Governing Body that adopted Local Plan *

Plan Adoption Date *

Local Plan Web Address *

Upload copy of Local Plan if it is not available on a website. *

Upload

 or drag files here.

Limit 100 MB

+ Add Local Plan

List the Local Plan name or policy from which the Projects in the STIF Plan were derived. See OAR 732-040-0005(18) for the Local Plan definition.

Examples of Local Plans that may meet the Local Plan requirements include coordinated public human services transportation plans, transportation system plans, transit development plans, and transit master plans.

The Agency's regional transit coordinators can help you identify and evaluate your Local Plans for compliance with the STIF rules.

Provide the Local Plan name, the name of the board, council, commission, or other Governing Body which approved the Local Plan; the Local Plan adoption date; and the Local Plan web address where the Local Plan may be referenced. If this information is not available on a website, you may upload a copy of the

relevant plan or policy. Select the orange “Add Local Plan” button to list additional Local Plans.

3.2 Local Plan requirements

I agree all Local Plans are consistent with the STIF requirements specified in OAR 732-040-0005(17) *

☐ Yes

☐ No, one or more Local Plans are not yet consistent with STIF rule requirements.

Check the “Yes” box agreeing that all Local Plans are consistent with STIF Rule requirements or check the “No” box that one or more Local Plans are not yet consistent with STIF rule requirements.

Qualified Entities eligible for no more than the minimum STIF Formula Fund allocation under OAR 732-042-0010(2) or rural Public Transportation Service Providers that are unable to meet the Local Plan requirements during the first STIF Formula Fund solicitation cycle may use a portion of their first STIF Formula Fund allocation or sub-allocation to improve public transportation services if they have a current approved coordinated human services public transportation plan and if they also use a portion of the first allocation or sub-allocation to develop a Local Plan that is consistent with STIF Local Plan requirements.

If one or more Local Plans are non-compliant, select “No,” and complete the drop-down text box. Public Transportation Service Providers must specify which Local Plan is non-compliant, describe how it is non-compliant, and identify the schedule to bring it into compliance. If a Coordinated Human Services Public Transportation Plan is being referenced and it is non-compliant, the website address or an uploaded copy of the plan must still be included.

4. ACCOUNTABILITY

4. Accountability

You may insert a web address in place of a description or document upload, as long as the information is sufficient enough to warrant approval of the STIF Plan and comply with STIF Rule.

4.1 Accountability methods

- ☐ By checking this box I affirm that all of the necessary policies and procedures are in place to ensure compliance with OAR 732, Divisions 40 and 42, and to achieve the goals and outcomes specified in this STIF Plan, including, but not limited to program and financial management, operations management, procurement, use and maintenance of equipment, records retention, compliance with state and federal laws, civil rights and compliance with ADA.
- ☐ By checking this box I affirm that all of the necessary policies and procedures are in place to ensure compliance of all Sub-Recipients with OAR 732, Divisions 40 and 42, and to achieve the goals and outcomes specified in this STIF Plan, address deficiencies in Sub-Recipient performance, and to ensure the Qualified Entity can accomplish the applicable requirements of these rules, including but not limited to, audit and compliance requirements, accounting requirements, capital asset requirements and reporting requirements.

To complete the Accountability section of the STIF Plan and ensure that sufficient policies and procedures are in place to ensure compliance with these rules and to achieve the goals and outcomes specified in this STIF Plan, review OAR 732, Divisions 40 and 42, paying particular attention to OAR 732-040-0015 Audit and Compliance Review Requirements and the relevant STIF Plan requirements in OAR 732-042-0015(2)(G)(h)-(g).

Qualified Entity Compliance

Under OAR 732-040-0015, all STIF Recipients are subject to periodic on-site compliance reviews by the Agency. Under OAR 732-040-0015(3) the Qualified Entity must have policies and procedures in place to address STIF Plan implementation such as program management; financial management; operations management; procurement, use and maintenance of equipment; records retention; compliance with state and federal civil rights laws, and compliance with the Americans with Disabilities Act.

The Qualified Entity must be prepared to produce a description of the methods, policies, and procedures the Qualified Entity will use to ensure it will comply with these rules. Check the box to affirm that policies and procedures are in place (or will be in place prior to Commission action on the proposed STIF Plan).

Qualified Entity Monitoring of Sub-Recipients

Under OAR 732-042-0015(2)(G)(g), the Qualified Entity is responsible for monitoring the performance and compliance of its Sub-Recipients and contractors. More specifically, the Qualified Entity must be able to describe how it will “oversee its Sub-Recipients, address deficiencies in Sub-Recipient performance, and ensure that the Qualified Entity can accomplish the applicable requirements of these rules, including but not limited to audit and compliance requirements, accounting requirements, capital asset requirements and reporting

requirements.” This OAR gives the Qualified Entity the option and authority to require its Sub-Recipients to include a review of STIF moneys as part of the Sub-Recipient’s annual financial audit. The Qualified Entity may identify other methods for ensuring its Sub-Recipients are adequately managing their STIF moneys, consistent with the OARs.

Subrecipient monitoring should be an ongoing process. The frequency and manner in which the Sub-Recipient’s performance is monitored should be clearly stated and directly related to the terms of the agreement.

Monitoring should be tailored based on use of funds. For example, monitoring funds used for vehicle purchases should include an evaluation of the Sub-Recipient’s vehicle maintenance plan and their performance to that plan. Monitoring funds used to provide service should include a requirement for periodic performance reporting such as on time performance and customer satisfaction.

Both fiscal and programmatic monitoring are performed concurrently. The following are some general guidelines for monitoring subrecipient performance.

Fiscal monitoring is an examination of the contractor’s financial statements, records, and procedures. Fiscal monitoring includes, but is not limited to:

- Reviewing bills, invoices or other fiscal documentation;
- Comparing budgets and/or budget limits to actual costs;
- Obtaining reasonable documentation that services charged to the STIF were actually delivered according to the contract; and
- Comparing bills with supporting documentation to determine that costs were allowable, necessary and/or allocable, according to the policies of the STIF Agency (or federal program if the STIF is being used as match to a federal grant).

Programmatic monitoring compares actual service delivery with the description of performance objectives and measures as identified in the contract. Program monitoring may include any or all of the following:

- Reviewing the service provisions of the agreement to determine what the recipient is to provide and the desired quality;
- Reviewing the Sub-Recipient’s reports and other materials to determine if services are being provided;
- Interviewing direct delivery staff and others to determine if services are being performed according to the agreement; and
- Conducting on-site reviews, when appropriate, to check the nature and quality of the services being provided.

Written documentation pertaining to Sub-Recipient performance, such as progress reports, site visit reports, payment and expenditure data, memoranda of verbal discussions, and written correspondence, should be maintained and reviewed to ensure satisfactory progress. These documents are part of the official fiscal record and must be retained for six years following the final payment. Documentation pertaining to Sub-Recipient performance will be reviewed as part of the Recipient's periodic on-site compliance review.

Checking the second box affirms that the Qualified Entity has similar policies and procedures in place to ensure its Sub-Recipients maintain compliance and achieve the goals and outcomes specified in the STIF Plan.

In the months ahead, the Agency will be amending the current compliance policies and procedures to provide more specific STIF guidance that incorporates the requirements referenced in the STIF OARs. Until that time, see the Reporting and Agreement Compliance page for additional guidance on general state rules and requirements. It is accessible from the left navigation bar of the STIF website located here:

<https://www.oregon.gov/ODOT/RPTD/Pages/STIF.aspx>.

4.2 Sub-Allocation Method

Describe the Qualified Entity's method for sub-allocating STIF Formula Fund moneys and the collaborative process used to work with Public Transportation Service Providers and other potential Sub-Recipients, as relevant, to develop the sub-allocation method. *

Limit 1000 Characters

Upload Response *

Upload

or drag files here.

Describe the Qualified Entity's method for sub-allocating STIF Formula Fund moneys to Public Transportation Service Providers and the process for developing the method in the text box or select the orange upload button to upload the document with the response.

For Qualified Entities that are the only Public Transportation Service Provider within their area of responsibility and no other potential Public Transportation Service Provider has expressed interest in applying for STIF Formula funding, the Qualified Entity may describe these conditions and specify that sub-allocation isn't possible.

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

Explain how the STIF Plan defines and identifies communities with a high percentage of Low-Income Households in the text box or select the orange upload button to upload the document with the response. For more information about determining the high percentage of Low-Income Households refer to the High Percentage of Low-Income Households section in Part 1 of this guidance document.

5. STIF PLAN PERIOD AND ADOPTION

5. STIF Plan Period and Adoption

5.1 Period Covered By STIF Plan

Provide start and end dates for projects proposed for funding in this STIF Plan. The earliest possible start date for the initial solicitation cycle is July 1, 2018. For this first funding cycle, providers are required to end the Plan period no later than June 30, 2021.

Start Date: *

7/1/2018



End Date: *

6/30/2021



End date is set to 6/30/2021. Do not adjust this date.

Provide the start date for Projects proposed for funding in this STIF Plan in the text boxes. The earliest possible start date for this solicitation cycle is July 1, 2018 and the end date for this funding cycle is June 30, 2021.

5.2 STIF Plan Adoption

STIF Plan Advisory Committee recommendation date *

STIF Plan Governing Body adoption date *

Website where Governing Body adoption document is located *

Upload Governing Body adoption document if website is unavailable. *

Upload or drag files here.

Did the Governing Body modify the Advisory Committee's recommended STIF Plan? *

Enter the STIF Plan Advisory Committee recommendation date, the STIF Plan Governing Body adoption date, and the website where the Governing Body adoption document is located in the text boxes. Select the orange upload button to upload the Governing Body adoption document if a website is unavailable.

If the Governing Body modified the Advisory Committee's recommended STIF Plan, then select "Yes" from the drop-down menu and explain why the Governing Body modified the Advisory Committee's recommended STIF Plan in the text box. Otherwise, select "No" from the drop-down menu.

6. PROJECTS

For each proposed Project, the STIF Plan must include the factors listed in OAR 732-042-0015 to describe the initiative. The Projects section collects detailed information about the specific Projects that Public Transportation Service Providers will implement using STIF funds.

6.1 Project Detail Entry

The information collected for each Project includes:

- Qualified Entity Name
- Name of Public Transportation Service Provider, if applicable
- Project name and description
- Whether the Project is part of your 100 percent list and the Project's rank order on this list or whether the Project is on the 130 percent list and the Project's rank order on this list
- Percentage of Project budget allocated in district for mass transit districts and public transportation districts

- Percentage of budget share to improve/expand a service or maintain an existing service
- Rationale for maintaining an existing service, if applicable
- Local Plan from which the Project is derived, including page number(s)
- For multi-phase projects, the timeline, total project budget, other planned funding sources, and a description of the phase of work included in this STIF Plan

Project Detail Entry: Project 1

6. Projects

6.1 Project Detail Entry

✖ Project 1

Public Transportation Service Provider or Qualified Entity Name *

Enter the name of the Project proposer, either the Qualified Entity or the Public Transportation Service Provider's name. Non-profit public transportation service providers shall not enter their names here because they do not meet the legislature's legal definition of Public Transportation Service Provider under STIF.

If the STIF Plan is proposed by a Qualified Entity that is either a Mass Transit District or a Transportation District that does not share contiguous boundaries with a County, a data field will appear below the "Is this project part of your 100% list or 130% list" drop-down menu that requires the Qualified Entity to specify what percentage of the Project budget is proposed to be expended on services located within the Qualified Entity's district boundary.

Project Name

A project means a public transportation improvement activity or group of activities eligible for STIF moneys. A project can include several different activity types and is not restricted to operations or capital expenditure types. Examples of project types include, but are not limited to: discrete activities, such as purchasing transit vehicles, planning, or operations; and groups of activities for a particular geographic area or new service, such as a new route that includes purchase of a transit vehicle, and maintenance and operations on the new route.

Enter the project name in the second text box. The Agency recommends that a project name is concise, similar to names used in Local Plans, and applicable to all project elements. Multiphase projects will need to use the same name in

future STIF Plans. The name is restricted to 50 characters to facilitate data collection and analysis.

Project Description

The project description is an opportunity to provide concise information about the Project purpose and service elements.

Suggested elements include the Project location or extent, service span, frequency, stops, intended customers, vehicles, equipment, and marketing or other activities needed to implement service. The Project description should provide concise information about the Project purpose, service elements, and anticipated outcomes. Suggested elements to address include the Project location or extent, service span, frequency, stops, intended customers, vehicles, equipment, and marketing or other activities needed to implement service. Enter the Project Description in the text box.

Project Priority

STIF Plan Projects must be part of either a 100 percent or 130 percent funding list. Each funding list (100 percent and 130 percent) must be rank ordered.

Is this project part of your 100% list or 130% list?	100% List Project Rank *
<div>100 % List</div>	<div></div>

The 100 percent list is intended to fund Projects that are estimated to cost up to the total amount of the allocation estimate for the Qualified Entity as specified in the Formula Fund Allocation Estimates document, dated April 13, 2018, located in Appendix B.

Projects on the 100 percent list should be prioritized for funding by entering a rank order number in the text box in the event that STIF revenues are less than estimated so that the Qualified Entity, Public Transportation Service Provider and the community are clear on the order the Projects will be implemented, depending on revenues.

Qualified Entities are encouraged to submit proposed projects that exceed the Allocation Estimate for the Qualified Entity in the event that STIF revenues exceed that conservative estimate. Projects on this list are referred to as the 130 percent list, although the dollar value of these projects may be more or less than 30 percent of the total allocation estimate in value. Projects on the 130 percent list should be prioritized for funding by entering a rank order number in the text box so that the Qualified Entity, Public Transportation Service Providers, and the

community are clear on the order that Projects will be implemented, depending on revenues.


Identify whether each Project is on the 100 percent list or the 130 percent list by selecting from the drop-down menu. Selecting either 100 percent or 130 percent will generate a project ranking drop-down menu for the list selected. Projects on the 100 percent list and the 130 percent list must be ranked for funding priority.

Project Budget Share to Improve, Expand, or Maintain Public Transportation Service

From the drop-down box for Improve or Expand Service, select the percentage of the project budget that will be applied to service that is being improved or expanded. The remaining percentage of the project budget will automatically populate to the Maintaining Service text box to equal 100 percent. An improvement or expansion project that is started in the first fiscal year of the STIF Plan period is considered an improvement or expansion project for the entire STIF Plan period. In future STIF Plans, such a project would be classified as a project that is maintaining an existing service. As a reminder, STIF moneys are not intended to supplant local funding sources to maintain existing services. A STIF Plan that proposes to use STIF funding to replace local funding to maintain an existing service may result in denial of the funding request. See Program Purpose and Eligible Projects Section in Part 1 of this document for additional details.

Project budget share to improve, expand or maintain public transportation service

Improve or Expand Service *

100% 

Maintain Service
0 %

If some portion of the Project is proposed to maintain an existing service, a new text box will appear asking the provider to describe the rationale for proposing to expend STIF Formula Funds to maintain an existing service rather to improve or expand transit service. A STIF Plan that proposes to use STIF funding to replace local funding to maintain an existing service may result in denial of the STIF Plan.

If project is maintaining an existing service, describe rationale. *

Limit 500 Characters

Project Share In and Out of District

If the Project is proposed by a Public Transportation Service Provider located within the Tri County Metropolitan Transportation District of Oregon, Salem Area Mass Transit District, Lane Transit District, Rogue Valley Transportation District or the Basin Transit Service Transportation District, the Qualified Entity responsible for that area is required to specify what percentage of each Project budget is located inside their district in the STIF Plan.

From the drop-down box for “Percent of Project in District,” select the percentage of the Project budget that will fund service inside the Qualified Entity’s district. The form will auto-populate the percentage of Project out of district.

Local Plan

Specify the Local Plan specific information about a Project developed or contained in a Local Plan. Enter the Local Plan this project is derived from in the text box. Enter the Local Plan page number(s) on which a description of the Project will be found.

Multi-Phase Project

Multi-Phase Project

Is your project part of a larger multi-phase project? *

Yes

▼

Project Timeline *

2019-2026

Total Project Budget (All Phases) *

Other Planned Funding Sources *

☐ STIF ☐ Federal ☐ Other State ☐ Local

Other Planned Funding Sources is required.

Phase represented in current STIF Plan *

Example: This is phase one of the project, which includes service start up and service element refinement.

Major capital public transportation Projects and other types of Projects may not be completed within a single STIF Plan period. Applicants may have Projects that extend over multiple STIF Plan periods. If your Project is part of a larger multi-phased project, select “Yes” from the drop-down box.

Enter the estimated Project timeline (start to completion dates) and the estimated total Project budget by fiscal year or biennium for all phases in the text box. Select the applicable boxes for the other funding sources which may include

STIF (includes future Formula or discretionary funds), Federal, Other State, and Local funds. Briefly describe the phase represented in the current STIF Plan.

6.1.1 Project Scope

A Project scope must be entered for each Project; it includes one or more task categories, activity types, and activity details. These appear in successive drop-down menus where the selected task category creates a drop-down menu of corresponding activity types. The selected activity type creates a drop-down menu of corresponding activity details. The task categories, activities and activity details are drop-down menus that enables the:

- Agency to report STIF outcomes by project type using Federal Transit Administration Activity Line Items as is currently done with other RPTD grant agreements and
- The form to auto-populate the outcome measures that are associated with the Project task categories

Entering the data in these levels is intended to simplify data entry, by providing the fewest number of choices possible in each menu.

Task Category

Ten choices are available. The choices include seven related to capital items, including vehicles, transitways, bus stops, equipment, power, communications and other. There are also scope items for operations, planning, mobility management, and administration. Select the category that best matches the task.

Activity Type

Activity type includes one to eight choices, depending on the task category selected above. Activity type is a mid-level category linked to activity detail. Select the category that best matches the task.

Activity Detail


Activity detail is the final and most detailed category of the three. Choose the detail category that best matches the task.

If the incorrect category, activity type or activity detail are selected and a different category, activity type or activity detail is desired, you must select the red x in front of the Task header and the form will reset to the category selection level. If you have problems with this section, contact either your regional transit coordinator or the STIF Formula Fund coordinator.

Below are two examples of how the drop-down menus may appear; the first is an operations project and the second is a capital project to purchase a bus. An operations project that is offering deviated fixed route service is classified as a fixed route project under STIF.

Operations example:

6.1.1 Project Scope

 Task 1

Category *

Operations 300-00 Operations

Specify the mode that this task will support.
☒ Fixed Route ☐ Demand Response

300.00 Operations Activity Type *
☒ Operating Assistance 30.09

Operating Assistance Activity Detail *
☒ 30.09.01 Operating Assistance
☐ 44.26.14 Communications
☐ 11.7L.00 Mobility Management

Bus Rolling Stock example:

6.1.1 Project Scope

Task 1

Category*

Capital 111-00 Bus Rolling Stock

111-00 Bus Rolling Stock Activity Type*

☐ Engineering & Design - Capital Bus 11.11

☒ Buy Replacements - Capital Bus 11.12

☐ Buy Expansion - Capital Bus 11.13

☐ Rehab / Rebuild Capital Bus 11.14

☐ Mid Life Rebuild 11.15

☐ Lease - Replacement - Capital Bus 11.16

☐ Vehicle Overhaul - Up to 20% Vehic Maint 11.17

☐ Lease Expansion - Capital Bus 11.18

Buy Replacements - Capital Bus 11.12 Activity Detail*

☐ 11.12.01 Bus STD 40 FT

☒ 11.12.03 Bus 30 FT

☐ 11.12.06 Bus Articulated

☐ 11.12.08 Bus Intercity

☐ 11.12.10 Bus Trolley Artic.

☐ 11.12.12 Bus Used

☐ 11.12.15 Vans

☐ 11.12.02 Bus STD 35 FT

☐ 11.12.04 Bus < 30 FT

☐ 11.12.07 Bus Commuter / Suburban

☐ 11.12.09 Bus Trolley STD

☐ 11.12.11 Bus Double Deck

☐ 11.12.14 Bus Dual Mode

☐ 11.12.16 Sedan / Station Wagon

The task categories do not always provide a completely clear association to each activity. Agency staff is available to assist with any questions throughout the process, and will work with Qualified Entities to ensure STIF Plans accurately reflect the intended Project types.

44

6.1.2 Expenditure Estimates

6.1.2 Expenditure Estimates

Expenditures by Fund Source and Fiscal Year

Enter estimates of all expenditures for activities in this task denoting both fund source and fiscal year of expenditure.

Fund Type *	2019	2020	2021	Total
<div> <div>×</div> Fund Source 1 </div> STIF <div>▼</div>	\$50,000.00	\$10,000.00	\$10,000.00	\$70,000.00
<div> <div>×</div> Fund Source 2 </div> Federal <div>▼</div>	\$50,000.00	\$10,000.00	\$0.00	\$60,000.00
<div> <div>×</div> Fund Source 3 </div> Other State <div>▼</div>	\$0.00	\$0.00	\$0.00	\$0.00
<div> <div>×</div> Fund Source 4 </div> Local <div>▼</div>	\$50,000.00	\$10,000.00	\$10,000.00	\$70,000.00
<div> <div>×</div> Fund Source 5 </div> Other Funds <div>▼</div>	\$0.00	\$0.00	\$0.00	\$0.00
	\$150,000.00	\$30,000.00	\$20,000.00	\$200,000.00

+

 Add Fund Source

A budget is required for each Project. This subsection provides a table where the budget is entered by Fund Type by STIF Plan fiscal year.

There are five Fund Types are listed: STIF, Federal, Other State, Local, and Other Funds. Enter the amount for each of Fund Type as applicable. Values must be entered in each cell for all five Fund Types. Only five Fund Types are allowed. Enter “0” in each cell where no funding is anticipated.

Do not attempt to delete a Fund Source/Type. Do NOT attempt to add a sixth Fund Type/Source by selecting the orange “+Add Fund Source” button. Both actions will result in an error message.

STIF: This value will include the funds requested from the STIF to support the transportation Project activity in this STIF Plan timeframe. The Qualified Entity must ensure the total amount of funds entered in this category does not exceed its total allocation. The STIF Plan funding balance will be indicated in the Plan Detail and Plan Summary tables.

Federal: This value will include the funds expected from any federal sources to fund the transportation Project activity. Examples include Federal Transit Administration (FTA) Sections 5310, 5311 and 5307 grant programs. The applicant does not need to input the specific funding program, only the total amount of federal funding expected.

The applicant must specify whether the federal funds have already been awarded or otherwise committed by the local, state, or federal agency responsible for distributing the funds.

Other State: This value will include any other state funds expected to fund the transportation Project activity, such as from the Special Transportation Fund.

Local: This value will include any funds generated or collected by the district, county, city or other local / special district, to be applied to the transportation Project activity. Examples include local tax revenues, service agreements with local agencies, and general funds. It could also include contributions by private organizations to support the Project activity, either directly or through the Public Transportation Service Provider. The Agency suggests applicants enter only funds they can reasonably assume will be available within the STIF Plan timeframe based on historic trends or commitments based on local budgeting and agreement processes.

Other: This value will include all other fund sources that are budgeted to fund this project, such as private contributions.

6.1.3 Outcome Measures

Qualified Entities are required to include anticipated outcomes for each STIF Plan Project. Outcome measures are quantifiable, discrete ways to describe the benefits the provider expects to achieve after implementing Project over the STIF Plan period.

The Agency has identified a number of required outcome measures for certain capital and operations task categories. Additional outcome measures may be specified. We have also included potential optional outcome measures for other task categories. Providers may specify other outcome measures. These outcomes should be selected to best reflect the benefits of the task.

Completing the minimum required outcomes will enable the Agency to compile and report STIF outcomes on a consistent statewide basis.

Qualified Entities should, in general, apply the FTA's National Transit Database (NTD) reporting definitions to the STIF Plan outcomes. The outcomes should fit

into standard reporting procedures and methods that will be consistent with future reporting.

The required and optional outcomes are described below, organized by the task category with which they are associated in the STIF Plan. The descriptions include suggested methods, where applicable as examples, and are not required procedures. The Agency will use the estimated outcomes to monitor progress and report program results to the Commission and the legislature.

Operations - Operating

- **Revenue miles:** The distance the project-specific vehicles will travel in revenue service over the STIF Plan period. If maintaining existing service, then use the total amount of past annual revenue miles to be operated over the STIF Plan period. Example:
 - A new route will cover 10 miles round trip, and operate 10 round trips per day, resulting in 100 miles revenue miles per day.
 - The route will operate Monday through Friday, or 255 weekdays per year, on average; the product is in 25,500 revenue miles per year.
 - The total revenue miles for a two-year STIF Plan results is 51,000.
- **Revenue hours:** The time project-specific vehicles will spend operating in revenue service over the STIF Plan period. If maintaining existing service, then use the total amount of past annual revenue hours to run over the STIF Plan period. Example:
 - A new bus route will operate 12 hours per day (7 a.m. to 7 p.m.).
 - The route will operate seven days per week, or 365 days per year, resulting in 4,380 revenue hours annually.
 - The total revenue hours for a two-year STIF Plan results is 8,760
- **Rides:** The number of passengers who board project-specific vehicles in revenue service over the STIF Plan period. While there are technical approaches and transportation demand models that can be used to estimate ridership, those methods are not required, though acceptable. The following example provides a sketch-planning ridership estimate method. Others can be found in the ODOT Transportation Development Plan Guidebook and other resources. Example:
 - A new route is expected to operate 8,760 revenue hours over the two-year STIF Plan period.

- The public transportation provider's systemwide average ridership is 10 rides per revenue hour (i.e. NTD-reported annual ridership divided by annual revenue hours).
- Multiply average riders per revenue hour by the total revenue hours, resulting in 87,600 rides over the two-year STIF Plan period.
- **Number of people with access to transit:** The number of people within one-half mile of a project-specific fixed-route transit stop or within a demand response transit service area. If maintaining existing service, then use the total population estimated to be within ½ mile of service area transit stops. This outcome is most simply estimated using Remix, an online transit planning software the Agency provides to all transit providers in Oregon (contact the Agency for more information).
- **Number of Low-Income Households with access to transit:** The number of Low-Income Households within one-half mile of a Project-specific transit stop or within a demand response transit service area. If maintaining existing service, then use the total number of Low-Income Households in the existing transit system. This outcome is most simply estimated using Remix, an online transit planning software the Agency provides to transit providers in Oregon. For more information on this measure, please see the High Percentage of Low-Income Households section.
- **Number of new shared stops with other transit providers:** This outcome should reflect how projects will reduce fragmentation in transit services, as applicable. The outcome will be the number of new project-specific transit stops with two or more transit providers providing general public transit service.

Operations - Student Transportation

- Number of students in grades 9-12 with free or reduced fare transit pass:
- Number of students in grades 9-12 attending a school served by transit:
- Number of students in grades 9-12 served by demand response:
- Number of rides provided to students in grades 9-12:

Student transportation outcomes will be used to understand how the STIF program is serving high school aged students statewide. Qualified Entities must select at least one measure from the four provided in the STIF template, based on data availability and project relevance. Data to report may include reduced fare transit passes sold to schools or directly to riders, the total enrollment at high schools within one-half mile of project-specific bus stops, the total enrollment at high schools within a demand response transit service area, or other data collected to reflect students' public transit access.

Operations - Communications

- **Number of impressions:** This outcome is the number of times a person receives intentional communications or marketing developed as part of the project, to reflect the expected communications and marketing program effectiveness. This can include a variety of data sources; the most common will be estimates provided by advertisers reflecting their expected audience size and listening patterns.
- **Number of new users due to communications project:** This outcome is intended to capture the number of people riding public transit because of a communications, marketing or outreach effort. The data must be generated by survey, either of the communications project audience, or of a rider survey, conducted after the communications campaign.

Operations - Mobility Management

- **Number of individuals that received transit training:** Travel training participants are typically registered in advance and attendance is monitored regularly. To estimate future transit trainings, assume a typical class training attendance and multiply by the number of trainings likely to occur each year. If creating a new travel training program where none previously existed, consider consulting public transit providers of similar size and service type that have provided transit training in the past.
- **Number of individuals that are served by a coordinated demand response call center:** This outcome is intended to capture the number of people calling in and using a transit call center. This should include the number of expected unique demand response riders expected to use the services over the next two years.

If expanding the call center hours, a transit provider could assume the average number of callers per hour on a given day (or other time period) multiplied by the number of new hours.

Outcome measures: Operations project example

For operations Projects, there is a selected list of outcomes that must be entered (see example below).

6.1.3 Outcome Measures		
Minimum required measures for operations tasks		
Revenue Miles *	Revenue Hours *	Rides *
<input type="text"/>	<input type="text"/>	<input type="text"/>
Number of people with access to transit (within ½ mile of transit stop for fixed route) *		
<input type="text"/>		
Number of Low-Income Households with access to transit (within ½ mile of transit stop for fixed route) *		
<input type="text"/>		
Number of new shared stops with other transit providers (reducing fragmentation in transit services) *		
<input type="text"/>		

Enter the revenue miles, revenue hours, and rides for the applicable tasks a Project is anticipated to deliver in the text boxes. Enter the number of people with access to transit (within half-mile of a transit stop for a fixed route) in the applicable text box. Enter the number of low-income people with access to transit (within half-mile of a transit stop for a fixed route). Enter the new shared stops with other transit providers (reducing fragmentation in transit services). See the Anticipated Outcomes section in Part 1 for guidance on calculating and estimating potential outcomes.

Outcome measures: Student transportation example

If the project is supporting student transportation, select “Yes” in the drop-down box. If the project is not supporting student transportation, select “No.”

Selecting “Yes” will reveal a list of potential outcome measures for the student transportation operations project. Select at least one of the outcome measures by checking the box to the left of the measure. For each box checked a corresponding text box will appear. Enter the number of units (e.g., students, riders) in the corresponding text box.

Is this project supporting student transportation? *

Yes ▼

Choose at least one

Operations *

- ☐ Number of students in grades 9-12 with free or reduced fare transit pass
- ☐ Number of students in grades 9-12 attending a school served by transit
- ☒ Number of students in grades 9-12 served by demand response
- ☐ Number of rides provided to students in grades 9-12
- ☐ Other

Number of students in grades 9-12 served by demand response *

Select “Other” if you have a performance measure other than the options list. Selecting “Other” will generate two new text boxes. Describe the other outcome measure in the “Other Measure” text box. Specify the Number of Units in the corresponding text box.

Outcome measures: Other task categories example

For most other Task Categories (e.g., Signal and Communication Equipment, Bus Stations / Stops / Terminals), the Provider can identify a quantifiable outcome from among a list provided in guidance or specify an “Other” quantifiable outcome.

Optional Outcome Measures

✖ **Outcome Measure 1**

All Project Types

Other Measure:

This project will result in the completion of a new 10 year Transit Development Plan for the all of Region 5 ×

Number of Units

1

For Projects that don’t have quantifiable outcomes, the provider must describe qualitative outcomes or project benefits.

6.2 Allocation of STIF Funds by Project

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.
6. 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.

FY 2019 STIF Total
\$0.00

FY 2020 STIF Total
\$0.00

FY 2021 STIF Total
\$0.00

Fund Allocation (Must not exceed 100% per criterion per fiscal year)

If some criteria don't apply, fill in with zeros. Do not remove or add additional criterion.

Criterion		FY 2019 *	FY 2020 *	FY 2021 *
# 1	Criterion 1 <input type="button" value="v"/>			
# 2	Criterion 2 <input type="button" value="v"/>			
# 3	Criterion 3 <input type="button" value="v"/>			
# 4	Criterion 4 <input type="button" value="v"/>			
# 5	Criterion 5 <input type="button" value="v"/>			
# 6	Criterion 6 <input type="button" value="v"/>			
# 7	Criterion 7 <input type="button" value="v"/>			
		0.0 %	0.0 %	0.0 %

+ Add #

Oregon Revised Statutes require providers to specify the amount of Formula funds allocated to each of seven areas or criterion. Providers will identify what percentage of a STIF project budget is allocated to each of the seven criteria (e.g., providing transit to students in grades 9-12) by fiscal year.

The total for each criterion in each fiscal year may not exceed 100 percent, but it could be a percentage ranging from 0 to 100 percent. A single Project may have benefits that meet more than one criterion. In these instances, providers, using their best professional judgement, must specify which percentage of the funding

meets each of the applicable criterion. The STIF Plan template will auto-calculate the amount of funding allocated to each of the seven criteria based on the percentages specified by Providers. This will enable ODOT to report the amount of funds allocated to each of the seven areas recognizing that many projects will meet multiple criterion.

The percentage entered for criterion seven, which pertains to funding for student transit services for students in grades 9 through 12 is used by the template to calculate whether the Qualified Entity would meet the statutory requirement to spend at least 1 percent of the Formula Fund moneys received each year on student transit services for students in grades 9 through 12, if Practicable (see definition of Practicable in Section 732-040-005).

6.3 Oregon Public Transportation Plan Goals

Providers are required to identify how each Project is consistent with Oregon Public Transportation Plan (OPTP) goals and policies. The online form includes draft goals and policies, pending adoption of the new OPTP, which is anticipated in September 2018. RPTD has provided the goals with check-boxes. A drop-down menu of policies will appear for each goal that is selected.

6.3 Oregon Public Transportation Plan Goals

Select at least one goal.

Select the OPTP goals that apply to your STIF Plan projects. *

- ☐ Goal 1: Mobility: Public Transportation User Experience -- People of all ages, abilities, and income levels move reliably and conveniently between destinations using an affordable, well-coordinated public transportation system. People in Oregon routinely use public transportation to meet their daily needs.
- ☐ Goal 2: Accessibility and Connectivity -- Riders experience user-friendly and convenient public transportation connections to and between services and travel modes in urban, suburban, rural, regional, and interstate areas.
- ☐ Goal 3: Community Livability and Economic Vitality -- Public transportation promotes community livability and economic vitality by efficiently and effectively moving people of all ages to and from homes, jobs, businesses, schools and colleges, and other destinations in urban, suburban, and rural areas.
- ☒ Goal 4: Equity -- Public transportation provides affordable, safe, efficient, and equitable transportation to jobs, services, and key destinations, improving quality of life for all Oregonians.
- ☐ Goal 5: Health -- Public transportation fosters improved health of Oregonians by promoting clean air, enhancing connections between people, enabling access to services such as health care and goods such as groceries, and by giving people opportunities to integrate physical activity into everyday life through walking and bicycling to and from public transportation.
- ☐ Goal 6: Safety and Security -- Public transportation trips are safe; riders feel safe and secure during their travel. Public transportation contributes to the resilience of Oregon communities.
- ☐ Goal 7: Environmental Sustainability -- Public transportation contributes to a healthy environment and climate by moving more people with efficient, low-emission vehicles, reducing greenhouse gases and other pollutants.
- ☐ Goal 8: Land Use -- Public transportation is a tool that supports Oregon's state and local land use goals and policies. Agencies collaborate to ensure public transportation helps shape great Oregon communities providing efficient and effective travel options in urban, suburban, and rural areas.
- ☐ Goal 9: Funding and Strategic Investment -- Strategic investment in public transportation supports the overall transportation system, the economy, and Oregonians' quality of life. Sustainable and reliable funding enables public transportation services and infrastructure to meet public needs.
- ☐ Goal 10: Communication, Collaboration, and Coordination -- Public and private transportation providers and all levels of government within the state and across state boundaries work collaboratively and foster partnerships that make public transportation seamless regardless of jurisdiction.

Goal 4 Policies - Select all that apply. *

- ☐ Policy 4.1: Engage populations recognized as transportation disadvantaged in public transportation service decision making.
- ☐ Policy 4.2: Understand and communicate how disparities, barriers, and needs affect the ability of people to access and use public transportation, especially those who are transportation disadvantaged.
- ☐ Policy 4.3: Identify disparities, barriers, and needs that impact people's ability to access and use public transportation.
- ☐ Policy 4.4: Address the disparities, barriers, and needs that impact people's ability to access and use public transportation.
- ☐ Policy 4.5: Integrate equity criteria into funding decisions.

Identify the extent to which each Project is consistent with the OPTP by selecting at least one of the OPTP goals that apply to your Project. When an OPTP goal is selected, the policies for that particular goal are displayed. Check the boxes for the applicable policies.

6.4 Project Summary

The project summary section will auto-populate using data entered for each Project.

6.4 Project Summary
Project Name

STIF Project Grand Total \$0.00	Amount in District \$0.00	Amount out of District \$0.00
FY 2019 STIF Project Total \$0.00	FY 2020 STIF Project Total \$0.00	FY 2021 STIF Project Total \$0.00
FY 2019 percent of STIF Funds supporting student transportation	FY 2020 percent of STIF Funds supporting student transportation	FY 2021 percent of STIF Funds supporting student transportation

+ Add Project

Select the +Add Project button to enter the next Project.

7. STIF PLAN SUMMARY

This data in this section will auto-calculate based on the data that has been entered for each Project showing the STIF Plan funding total as well as a summary of the amount in-and out-of-district, when applicable.

7. STIF Plan Summary
STIF Plan Total
\$300,000.00

FY 2019 Total STIF Funds \$100,000.00	FY 2020 Total STIF Funds \$100,000.00	FY 2021 Total STIF Funds \$100,000.00
FY 2019 Student STIF Funds \$0.00	FY 2020 Student STIF Funds \$2,000.00	FY 2021 Student STIF Funds \$2,000.00
FY 2019 Percent of STIF Funds supporting student transportation 0.00 %	FY 2020 Percent of STIF Funds supporting student transportation 2.00 %	FY 2021 Percent of STIF Funds supporting student transportation 2.00 %

Please explain why your allocation of STIF Funds to support student transportation is less than 1 %.*

Limit 500 Characters

It also summarizes the percent of STIF Formula moneys that would be dedicated to student transit services for students in grades 9-12 each year of the STIF

Plan. If less than 1 percent STIF Plan Formula Funds are proposed in any single fiscal year, a text box will appear requiring the Qualified Entity to explain why it isn't practicable to dedicate at least 1 percent of Formula Fund moneys for this purpose each fiscal year. Consider the definition of practicable in OAR 732-040-005 when writing an explanation.

Effective Date

This section states that the STIF Plan shall become effective as of the date it is approved by the Oregon Transportation Commission and it shall terminate as of the end date specified in Section 5 of the approved STIF Plan, which can be no later than June 30, 2021 for this first Formula Fund cycle.

Signature

This STIF Plan serves as a legally binding agreement between the Qualified Entity and the State of Oregon, acting by and through its Department of Transportation. The person who signs the STIF Plan is certifying that they are authorized to execute this STIF Plan on behalf of their Qualified Entity and at the direction of their Governing Body. They also are legally binding their Qualified Entity and acknowledging and representing on behalf of their Qualified Entity each of the following:

- The Qualified Entity, through its agents, officers or employees responsible to administer the STIF Plan and oversee completion of the projects included in the STIF Plan, has read and understands ORS 184.751 through ORS 184.766 and OAR chapter 732, divisions 40 and 42;
- The Qualified Entity agrees to be bound by ORS 184.751 through ORS 184.766 and OAR chapter 732, divisions 40 and 42 and any other laws applicable to STIF Formula Fund program administration and to the completion of the projects described in this STIF Plan;
- The STIF Plan is complete and includes all of the required documentation and information;
- The STIF Plan does not contain and is not based on any false or fraudulent information;
- The STIF Plan does not contain any statement or representation that is untrue in whole or part;
- The STIF Plan does not omit information that could have a material effect on the value, validity or authenticity of the STIF Formula Fund distributions made to the Qualified Entity;
- The Qualified Entity agrees to deliver the projects described in this STIF Plan within the identified timelines; and
- The Qualified Entity understands that it may request STIF Formula Fund distributions from the Agency after the OTC has approved the STIF Plan, but may not make a request prior to July 1, 2018.

Select “Download the signature page” link and have an authorized person complete and sign the form. Upload the signed signature page using the orange +Upload button.

Signature

This STIF Plan serves as a legally binding agreement between the Qualified Entity and the State of Oregon, acting by and through its Department of Transportation.

Download the signature page here [STIF Plan signature page](#).

Upload signature page here. *

Upload

or drag files here.

Limit 100 MB

STIF Plan Submittal

When the STIF Plan is completed, select the Save button at the top of the form and then, select the orange submit STIF Plan button at the bottom of the form.

APPENDIX A: GENERAL AND FORMULA RULES

Oregon Department of Transportation Statewide Transportation Improvement Fund Rules Effective July 1, 2018

Chapter 732, Division 040 Statewide Transportation Improvement Fund General Information

732-040-0000

Purpose of Rule

The rules in Chapter 732, Divisions 040, 042, and 044 establish the procedures and requirements for the administration of the Statewide Transportation Improvement Fund (STIF) to improve public transportation service in Oregon.

Stat. Auth.: ORS 184.758(1)(b), ORS 184.761

Stats. Implemented: ORS 184.751, ORS 184.758, ORS 184.761, ORS 184.766,
Or Laws 2017, ch 750, § 122q, § 122r

732-040-0005

Definitions

The following definitions apply to rules in Chapter 732, Divisions 040, 042, and 044:

- (1) “Advisory Committee” means either a committee formed by a Qualified Entity to assist the Qualified Entity in carrying out the purposes of the STIF Formula Fund and the Advisory Committee requirements specified in ORS 184.761(1) or a joint committee formed by two or more Qualified Entities for the same purposes, pursuant to ORS 184.761(5).
- (2) “Agency” means Oregon Department of Transportation (“ODOT”).
- (3) “Americans with Disabilities Act” (“ADA”) means section 504 of the Rehabilitation Act of 1973 and the Americans with Disabilities Act of 1990 as amended by the ADA Amendments Act of 2008.
- (4) “Area Commission on Transportation” (“ACT”) means an advisory body chartered under the authority of the Commission, and subject to the Commission’s oversight and final decision-making authority.
- (5) “Area of Responsibility” means the geographic area for which each Qualified Entity is responsible to provide STIF Formula Fund moneys.
 - (a) For a Qualified Entity that is a county, the Area of Responsibility is the geographic area within the county’s jurisdictional boundaries.
 - (b) For a Qualified Entity that is a Mass Transit or Transportation District that shares continuous jurisdictional boundaries with a county, the Area of

Responsibility is the geographic area within the District's jurisdictional boundaries.

- (c) For a Qualified Entity that is a Mass Transit or Transportation District that does not share continuous jurisdictional boundaries with a county, the Area of Responsibility is the geographic area within the jurisdictional boundaries of the county or counties in which any part of the District is located.
- (d) For a Qualified Entity that is an Indian Tribe, the Area of Responsibility is the geographic area on which the Indian Tribe's Tribal Enterprises are located.
- (6) "Biennium" (plural, "Biennia") means a two-year period which runs from July 1 of an odd-numbered year to June 30 of the next odd-numbered year.
- (7) "Calendar Year" means the year which begins on January 1 and ends on December 31.
- (8) "Capital Asset" means real property or tangible items purchased or leased with STIF moneys, including without limitation vehicles and structures, with a purchase price of \$5,000 or more and a useful life of at least one year.
- (9) "Commission" means the Oregon Transportation Commission ("OTC") established under ORS 184.612.
- (10) "Coordinate" ("Coordination") means meet and develop sub-allocation methods, plans, programs, and schedules with other Public Transportation Service Providers and non-profit public transportation service providers with the intent of developing efficient and seamless public transportation services and reducing gaps in service.
- (11) "Discretionary Fund" means up to five percent of STIF funds to be disbursed to Public Transportation Service Providers, which includes Qualified Entities, through a competitive grant funding process, pursuant to ORS 184.758(1)(b).
- (12) "Fiscal Year" means the Agency's fiscal year which begins on July 1 and ends on June 30.
- (13) "Governing Body" means the decision-making body or board of a Qualified Entity.
- (14) "Indian Tribe" means a federally recognized Indian Tribe in Oregon that has members residing on a reservation or in tribal trust lands in Oregon.
- (15) "Intercommunity Discretionary Fund" means up to four percent of STIF funds to be disbursed to Public Transportation Providers through a competitive grant funding process, pursuant to ORS 184.758(1)(c).
- (16) "Intergovernmental Entity" means entities organized under ORS 190.010.
- (17) "Low-Income Household" means a household the total income of which does not exceed 200% of the poverty guidelines updated periodically in the Federal Register by the U.S. Department of Health and Human Services under the authority of 42 U.S.C. 9902(2) for the 48 Contiguous States and the District of Columbia.

- (18) “Local Plan” means a local or regional public transportation plan(s), which may include adopted policy(ies) that is developed and approved by the Governing Body of a Qualified Entity, Public Transportation Service Provider, or Metropolitan Planning Organization and which includes, at a minimum:
- (a) A planning horizon of at least four years;
 - (b) An existing and future conditions analysis that includes:
 - (A) Current and forecast population and demographics, including locations of people who are often transit dependent, including low-income households, individuals of age 65 or older, youth, and individuals who are racially and ethnically diverse;
 - (B) Locations of existing housing, employment centers, medical and social and human services centers, major destinations, and other locations with needs for public transportation services and programs;
 - (C) Inventories of current Public Transportation Services located within, adjacent to, or with the reasonable potential to connect to the local or regional public transportation services, as applicable;
 - (c) Prioritized lists of public transportation improvements and capital projects; and
 - (d) Identified opportunities to Coordinate public transportation services within and outside the county, district, or tribal area and with other agencies and areas to improve efficiency and effectiveness of service and reduce gaps in service.
 - (e) Local Plans include, but are not limited to: Coordinated Public Transit Human Services Transportation Plans, Transportation System Plans, Transit Development Plans, and Transit Master Plans.
- (19) “Mass Transit District” means a district organized under ORS 267.010 to 267.390.
- (20) “Practicable” means Public Transportation Services within the Qualified Entity’s area of responsibility that can feasibly and efficiently be used by students in grades 9 through 12 in order to commute to or from school.
- (21) “Project” means a public transportation improvement activity or group of activities eligible for STIF moneys and a plan or proposal for which is included in a STIF Plan or in a grant application to a Qualified Entity or the Agency. Examples of project types include, but are not limited to: discrete activities, such as purchasing transit vehicles, planning, or operations; and groups of activities for a particular geographic area or new service, such as a new route that includes purchase of a transit vehicle, and maintenance and operations on the new route.
- (22) “Public Corporation” means an independent legal entity that was formed by legislative action, serves a public purpose, and is under exclusive public management or control.
- (23) “Public Transportation Advisory Committee” (“PTAC”) means the ODOT Public Transportation Advisory Committee established by the Commission in 2000.

- (24) “Public Transportation Service Provider” means a Qualified Entity or a city, county, Special District, Intergovernmental Entity or any other political subdivision or municipal or Public Corporation that provides Public Transportation Services.
- (25) “Public Transportation Services” means any form of passenger transportation by car, bus, or other conveyance, either publicly or privately owned, which provides service to the general public (not including charter, sightseeing, or exclusive school bus service) on a regular and continuing basis. Such transportation may be for purposes such as health care, shopping, education, employment, public services, personal business, or recreation.
- (26) “Qualified Entity” means, a county in which no part of a Mass Transit District or Transportation District exists, a Mass Transit District, a Transportation District or an Indian Tribe.
- (27) “Recipient” means a Qualified Entity or Public Transportation Service Provider that has a STIF Plan approved by the Commission or enters into an agreement directly with the Agency to receive STIF funds.
- (28) “Satisfactory Continuing Control” means the legal assurance that a Capital Asset will remain available to be used for its originally authorized purpose throughout its useful life or until disposition.
- (29) “Special District” means a service district organized under ORS 451.010(1)(h).
- (30) “STIF Formula Fund” means up to 90 percent of the Statewide Transportation Improvement funds to be disbursed to Qualified Entities conditioned upon the Commission’s approval of a STIF Plan, pursuant to ORS 184.758(1)(a).
- (31) “STIF” or “Statewide Transportation Improvement Fund” means the fund established under ORS 184.751.
- (32) “STIF Plan” means a public transportation improvement plan that is approved by a Governing Body and submitted to the Agency for review and approval by the Commission in order for the Qualified Entity to receive a share of the STIF Formula Fund.
- (33) “Statewide Transit Network” means the collection of all transit service that operates in Oregon.
- (34) “Sub-Recipient” means any entity that has entered into an agreement with a Recipient in order to complete one or more tasks specified in the agreement between the Agency and the Recipient.
- (35) “These Rules” means OAR Chapter 732 Divisions 040, 042, and 044.
- (36) “Transportation District” means a district organized under ORS 267.510 to 267.650.
- (37) “Tribal Enterprise” means a commercial activity or business managed or controlled by an Indian Tribe.

Stat. Auth.: ORS 184.758(1)(b), ORS 184.758(3), ORS 184.758(6), ORS 184.761

Stats. Implemented: ORS 184.751, ORS 184.752, ORS 184.758, ORS 184.761, ORS 184.766

732-040-0010

Purpose and Use of STIF

- (1) Moneys in the STIF are continuously appropriated to the Agency to finance investments and improvements in public transportation services, except that the moneys may not be used for light rail capital expenses, but may be used for light rail operations expenses.
- (2) STIF moneys may be used for public transportation purposes that support the effective planning, deployment, operation, and administration STIF-funded public transportation programs, including, but not limited to:
 - (a) Creation of new systems and services with origins, destinations or stops in Oregon;
 - (b) Maintenance or continuation of systems and services; and
 - (c) Planning for and development of a Local Plan or future STIF Plan to improve Public Transportation Service.
- (3) STIF moneys may be used as the local match for state and federal funds which also provide Public Transportation Service.
- (4) The Agency shall conduct activities necessary to manage the STIF funds and grants, including but not limited to: development of policy; distribution of funds; developing and implementing application and review processes and agreement and protest procedures; conducting program oversight, statewide planning, research, training, and technical assistance; and reporting to the legislature.
- (5) On or before February 1, 2020, the Commission shall submit a report in the manner provided by ORS 192.245 to the Joint Committee on Transportation established under ORS 171.585(1) on the implementation and outcomes of the STIF. The Agency shall prepare reports for the purposes of:
 - (a) Ensuring that STIF moneys are being used for the purpose of funding and improving Public Transportation Services in Oregon consistent with law, these rules, and the terms of agreements;
 - (b) Measuring the outcomes of the STIF; and
 - (c) Reporting to the Oregon State Legislature.

Stat. Auth.: ORS 184.758(1)(b), ORS 184.758(3), ORS 184.761

Stats. Implemented: ORS 184.751, ORS 184.758, ORS 184.761, ORS 184.766

732-040-0015

Audit and Compliance Review Requirements

- (1) Recipients shall conduct an annual financial audit of the STIF moneys received.
- (2) All financial audit reports shall be submitted to the Agency no later than 30 days after the receipt of the auditor's final report(s).

(3) Recipients shall be subject to periodic on-site compliance reviews by the Agency. The purpose of the compliance site review is to ensure that Recipients have appropriate, adequate internal controls and management procedures to meet the terms and conditions of agreements governing the disbursement of STIF moneys. Compliance reviews may cover the following topics, as applicable: program management; financial management; operations management, procurement, use and maintenance of equipment; records retention; compliance with state and federal civil rights laws; and compliance with the ADA.

(4) Recipients shall permit the Agency, the Secretary of State of the State of Oregon, or their authorized representatives, upon reasonable notice, access to all data and records relating to STIF moneys received or disbursed and to inspect the STIF Plans and Projects financed with STIF moneys including, but not limited to, the financial records, physical premises and Capital Assets used to deliver public transportation services.

(5) Recipients shall ensure that their agreements or contracts with Sub-Recipients or vendors include provisions which permit the Agency, the Secretary of State of Oregon, or their authorized representative, access to data and records held by the Sub-Recipient or vendor as described in section (4) of this rule.

Stat. Auth.: ORS 184.758(3)(e)

Stats. Implemented: ORS 184.758

732-040-0020

Accounting Requirements

(1) The Agency shall account separately for moneys in the STIF Formula Fund, Discretionary Fund, and Intercommunity Discretionary Fund.

(2) Recipients shall manage STIF moneys in separate governmental accounts for each of the applicable STIF funds: STIF Formula Fund, STIF Discretionary Fund, and STIF Intercommunity Discretionary Fund. Any interest accrued must be added to the moneys and must be reported to the Agency at the end of the Fiscal Year in which it was earned.

(3) Recipients shall document the expenditure of all STIF funds disbursed by the Agency. Recipients shall create and maintain all expenditure records in accordance with generally accepted accounting principles and in sufficient detail to permit the Agency to verify how the STIF funds were expended.

(4) Record Retention:

(a) Recipients shall maintain all financial records for at least six years after the Agency's final disbursement under the STIF Plan or grant agreement; and

(b) Recipients shall maintain all records relating to Capital Assets for three years after disposition.

Stat. Auth.: ORS 184.758(3)(e)
Stats. Implemented: ORS 184.758

732-040-0025

Qualified Entity Reporting Requirements

In addition to any other reporting required by these rules, Qualified Entities that receive STIF moneys shall submit the following documentation to the Agency:

- (1) A report on any actions taken by any Public Transportation Service Provider located within the area of the Qualified Entity to mitigate the impact of the STIF tax on passengers who reside in low-income communities. The report must explain how it defines and identifies passengers in low-income communities. This report must be submitted no later than 60 days after the end of each Fiscal Year in which the Qualified Entity receives STIF moneys.
- (2) The Qualified Entity's adopted annual budget for the upcoming Fiscal Year must be submitted no later than 30 days after adoption.
- (3) The results of any relevant financial audits of the Qualified Entity or any Public Transportation Service Provider located within the area of the Qualified Entity, as required by a local, state or federal oversight agency for the purposes of statewide reporting including, but not limited to:
 - (a) The state financial report required under ORS 291.040;
 - (b) The results of any comprehensive review completed by the Federal Transit Administration or the Agency; and
 - (c) Any information submitted by the Qualified Entity as part of the requirements of a statewide audit in accordance with the federal Single Audit Act of 1984 (31 U.S.C. 7501 to 7507), as amended by the Single Audit Act Amendments of 1996 (P.L. 104-156).
- (4) Results of audits described in section (3) of this rule must be submitted to the Agency no later than 30 days after receipt of the final results. A copy of information submitted under section (3)(c) of this rule must be sent to the Agency no later than 30 days after submittal to the requesting agency.
- (5) The Agency may withhold future distributions of STIF moneys from a Qualified Entity which fails to submit an annual report required under rule.
- (6) A Qualified Entity may appeal the Agency's decision to withhold STIF Formula Fund moneys as described in OAR 732-040-0050.

Stat. Auth.: ORS 184.758(3)(e)
Stats. Implemented: ORS 184.766

732-040-0030

Advisory Committees

- (1) The Governing Body of each Qualified Entity shall appoint an Advisory Committee for the purpose of advising and assisting the Qualified Entity in carrying out the purposes of the STIF and prioritizing Projects to be funded by STIF moneys received by the Qualified Entity.

(2) Two or more Governing Bodies may appoint a joint Advisory Committee for the purpose of advising and assisting their respective Qualified Entities in carrying out the purposes of the STIF for the Qualified Entities' areas of responsibility.

(a) When the Governing Boards of two or more Qualified Entities appoint a joint Advisory Committee, they shall designate their respective roles and responsibilities pertaining to the management of the joint Advisory Committee in a written agreement pursuant to ORS chapter 190. At a minimum, the written agreement must specifically identify how the Qualified Entities' obligations under section (4) of this rule will be allocated between or among the participating Qualified Entities and must describe the selection and appointment processes for joint Advisory Committee members, consistent with OAR 732-040-0035.

(b) The Qualified Entities shall send a copy of the executed agreement to the Agency within 30 days of execution.

(c) The joint Advisory Committee agreement may be included as part of the agreement required to fulfill the requirements of OAR 732-040-0040, if applicable; however, Qualified Entities may form a joint Advisory Committee without agreeing to jointly manage STIF moneys.

(d) Each Qualified Entity that is party to a joint Advisory Committee agreement remains independently responsible to submit its own STIF Plan pursuant to OAR 732-042-0015 and these rules.

(3) An Advisory Committee may also advise the Qualified Entity regarding the opportunities to Coordinate STIF funded Projects with other local or regional transportation programs and services to improve transportation service delivery and reduce gaps in service.

(4) The Qualified Entity shall ensure that:

(a) The Advisory Committee is guided by written bylaws that include, at a minimum: the Committee's name and purpose; the number of Committee members; Committee membership criteria; the appointment process; the terms of office for the committee members; the Committee's meeting schedule; and Committee procedures and member duties, including procedures to provide public notice of meetings, to foster public engagement, and to comply with Oregon public meeting and public records laws; and the Committee's process to review Public Transportation Service Provider proposals for Projects funded in whole or part by the STIF Formula Fund, the STIF Discretionary Fund and the Intercommunity Discretionary Fund, and the decision-making criteria identified in these rules. The bylaws must include a definition of "high percentage of Low-Income Households" for the Committee's use in evaluating proposed Projects. The Qualified Entity shall prepare the written bylaws described in this section and set the terms of office for the Advisory Committee members. The Qualified Entity may seek input on the bylaws from the Advisory Committee.

(b) Copies of Advisory Committee bylaws, meeting minutes and meeting notices are published by the Qualified Entity and made available for public review in a reasonable and timely manner and are maintained for six years.

(c) The Agency is notified of changes in the Advisory Committee membership when the Qualified Entity submits its STIF Plan or grant application.

(5) A Qualified Entity may use another standing advisory committee or combine committees to meet the requirements of these rules as long as that committee also meets all of the committee requirements contained herein.

(6) The Qualified Entity shall appoint an Advisory Committee composed of members that represent diverse interests, perspectives, geography, and the population demographics of the area, as described in OAR 732-040-0035.

(7) In addition to any other duties, the Advisory Committee may also propose any changes to the policies or practices of the Governing Body of the Qualified Entity that the Advisory Committee considers necessary to ensure that:

(a) A Public Transportation Service Provider that has received STIF funds has applied the moneys received in accordance with and for the purposes described in the Project proposal; and

(b) A Project proposal submitted by a Public Transportation Service Provider does not fragment the provision of public transportation services.

Stat. Auth.: ORS 184.758(3)(c), ORS 184.758(3)(e), ORS 184.761(4), ORS 184.761(5)

Stats. Implemented: ORS 184.758(4), ORS 184.761

732-040-0035

Advisory Committee Composition

(1) 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. The Governing Body may authorize a larger Advisory Committee.

(2) If the Qualified Entity is a Transportation District or county, then the Advisory Committee must be composed of at least five members. The Governing Body may authorize a larger Advisory Committee.

(3) If the Qualified Entity is a Mass Transit District, then the Advisory Committee must be composed of at least seven members. The Governing Body may authorize a larger Advisory Committee.

(4) If the Advisory Committee is a joint Advisory Committee formed by two or more Qualified Entities, then the minimum number of Advisory Committee members will be determined based on the types of Qualified Entities participating in the joint Advisory Committee. The minimum number of members of the joint Advisory Committee must be equal to the highest minimum number

that would be required for each type of Qualified Entity participating in the joint Advisory Committee.

(5) To be qualified to serve on the Advisory Committee for a Qualified Entity that is a Transportation or Mass Transit District or county, or on a joint Advisory Committee in which a Transportation or Mass Transit District or county participates, an individual must:

(a) Be knowledgeable about the public transportation needs of residents or employees located within or traveling to and or from the Transportation or Mass Transit District or county; and

(b) Be a person who is a member of or represents one or more of the following:

(A) local governments, including land use planners;

(B) Public Transportation Service Providers;

(C) non-profit entities which provide public transportation services;

(D) neighboring Public Transportation Service Providers;

(E) employers;

(F) public health, social and human service providers;

(G) transit users;

(H) transit users who depend on transit for accomplishing daily activities;

(I) individuals age 65 or older;

(J) people with disabilities;

(K) low-income individuals;

(L) social equity advocates;

(M) environmental advocates;

(N) bicycle and pedestrian advocates;

(O) people with limited English proficiency;

(P) educational institutions; or,

(Q) major destinations for users of public transit.

(6) Notwithstanding other provisions of this rule, if a Qualified Entity is a Mass Transit District, a Transportation District or a county, then its Advisory Committee, or the joint Advisory Committee in which it participates, must include at least one member who is a member of or represents each of the following three groups:

(a) low-income individuals;

(b) individuals age 65 or older or people with disabilities; and

(c) Public Transportation Service Providers or non-profit entities which provide public transportation services.

(7) A Qualified Entity that is a Mass Transit District or a Transportation District shall include Advisory Committee members from the district's area of responsibility, both within and outside district boundaries. If a Mass Transit District or a Transportation District is party to a joint Advisory Committee agreement, the joint Advisory Committee must also include at least one member from outside the district's boundary but within the district's area of responsibility.

Stat. Auth.: ORS 184.761(4)(a), ORS 184.761(5)
Stats. Implemented: ORS 184.761

732-040-0040

Qualified Entity Management and Joint Management of STIF Funds

- (1) Two or more Qualified Entities may jointly manage the STIF moneys disbursed to them. The Qualified Entities shall enter into a written agreement pursuant to ORS chapter 190.
- (2) When two or more Qualified Entities jointly manage their STIF Formula Fund moneys, they shall designate their respective roles and responsibilities in the written agreement and shall send a copy of the executed agreement to the Agency within 30 days of execution.
- (3) Qualified Entities intending to jointly manager STIF moneys under this rule may, but are not required to, establish a joint Advisory Committee as described in OAR 732-040-0030(2).

Stat. Auth.: ORS 184.758(3)(e)
Stats. Implemented: ORS 184.758(6)

732-040-0045

Withholding Funds

- (1) The Agency may withhold payment of STIF moneys to a Recipient if:
 - (a) The Recipient or its Sub-Recipient is not using STIF funds in accordance with applicable laws, these rules or the terms of the STIF Plan or agreement under which the funds were distributed;
 - (b) The Recipient or its Sub-Recipient has not submitted required reporting;
 - (c) The Agency determines that there is any unresolved audit finding relating to the accounting for STIF moneys; or
 - (d) The Agency determines that there is any unresolved compliance review finding relating to the use of STIF moneys.
- (2) If an audit or a review of a Recipient or its Sub-Recipient's implementation of an agreement under which STIF moneys were distributed determines that the Recipient or its Sub-Recipient used STIF moneys inconsistently with the agreement, the Agency may withhold future STIF funding.
- (3) A Qualified Entity may appeal the Agency's decision to withhold STIF Formula Fund moneys as described in OAR 732-040-0050.

Stat. Auth.: ORS 184.758(3)(a), ORS 184.758(3)(b), ORS 184.758(3)(e)
Stats. Implemented: ORS 184.758, ORS 184.766

732-040-0050

Appeal Procedures

- (1) Appeals are allowed only in the following instances:
 - (a) A Qualified Entity may appeal the Commission's rejection of its STIF Plan.
 - (b) A Qualified Entity may appeal the Agency's decision to withhold STIF Formula Fund moneys.
 - (c) A Qualified Entity may appeal the Agency's decision to take action with respect to a Capital Asset as described in OAR 732-042-00405(10).
- (2) Appeals must be filed in writing within 15 days of the date the notice of appealable action was emailed by the Agency. A Qualified Entity that fails to file timely shall be deemed to have waived its appeal rights. Appeals must be addressed to the Commission and a copy must be sent to the Agency's STIF Administrator.
- (3) Appeals must identify the appellant, the appellant's designated contact person, and the decision under appeal. In addition, appeals must include the following information:
 - (a) For appeal of a Commission decision, the requested remedy and any arguments why the decision should be reconsidered.
 - (b) For appeal of an Agency decision, the requested remedy, any arguments pertaining to the appeal and any other material the appellant considers relevant to the appeal.
- (4) Upon review or reconsideration, the Commission may make a decision to grant the requested remedy, deny the appeal, or, in the case of Agency decisions under appeal, remand the decision to the Agency with instructions to reconsider.
- (5) The Commission shall review the appeal and make its decision within 90 days of receipt.

Stat. Auth.: ORS 184.758(3)(d), ORS 184.758(3)(e)

Stats. Implemented: ORS 184.758

Chapter 732, Division 042

STIF FORMULA FUND

732-042-0000

Purpose

This rule establishes procedures and requirements necessary for the administration of the Statewide Transportation Improvement Fund (STIF) Formula Fund, pursuant to ORS 184.758(1)(a). The STIF Formula Fund is intended to improve public transportation services for current and potential future Oregon transit users by distributing moneys to Qualified Entities.

Stat. Auth.: ORS 184.758(3)(c), ORS 184.758(3)(d), ORS 184.758(3)(e)
Stats. Implemented: ORS 184.751(1), ORS 184.758(1)(a), ORS 184.758(6)

732-042-0005

STIF Formula Fund Cycle

- (1) The STIF Formula Fund cycle will be structured around a Biennium, with key dates and exceptions identified in these rules.
- (2) After the first disbursement of STIF moneys following the enactment of Oregon Laws 2017, chapter 750, the Agency shall make disbursements quarterly beginning at the beginning of the first quarter of each Biennium, subject to the provisions of OAR 732-042-0010.
- (3) No later than December 31 of each year, the Agency shall provide written notice to each Qualified Entity of the estimated allocation of STIF Formula Fund moneys for which it is eligible in the coming calendar year.
- (4) Six months prior to the beginning of a Biennium, Qualified Entities shall submit their STIF Plans to the Agency.
- (5) Qualified Entities may prepare their STIF Plans for a period of one or two Biennia. The Commission may approve a STIF Plan for one or two Biennia.
- (6) The Commission shall decide to accept or reject STIF Plans no later than July 1 of the coming Biennium.
- (7) The Agency shall email notice of the Commission's decision to affected Qualified Entities within seven days of the issuance of the Commission's decision. A Qualified Entity may appeal a rejection of its STIF Plan as described in OAR 732-040-0050.
- (8) During the first STIF Formula Fund Cycle after the enactment of Oregon Laws 2017, chapter 750, a Qualified Entity may submit its STIF Plan either three months or nine months after the effective date of OAR Chapter 732, Division 042. A Qualified Entity that submits a STIF Plan under this section shall submit a STIF Plan for a period that ends at the end of the 2019-2021 Biennium. The Commission shall decide to accept or reject a STIF Plan submitted under this section no later than four months after it is received by the Agency, following the approval procedures described in OAR 732-042-0025.

Stat. Auth.: ORS 184.758(3)(e)
Stats. Implemented: ORS 184.758

732-042-0010

STIF Formula Fund Calculation and Disbursement

- (1) Ninety percent of the Statewide Transportation Improvement Fund shall be distributed as the STIF Formula Fund.
- (2) Minimum Distributions:
 - (a) The Agency shall distribute \$100,000 annually to each Qualified Entity unless the Qualified Entity is entitled to a larger distribution based on the calculation described in section (4) of this rule.

(b) The Agency shall distribute \$100,000 annually to each Indian Tribe unless the Indian Tribe submits documentation to the Agency demonstrating that it remits more than \$100 million annually in taxable employee payroll from Tribal Enterprises. Such documentation must be submitted by July 1 each year in order to be included in estimates and calculations for the following year. An Indian Tribe that demonstrates it remits more than \$100 million in employee payroll annually will receive a distribution equal to its proportionate share as calculated in section (4) of this rule.

(3) Estimation of STIF Formula Fund Disbursements:

(a) The Agency shall estimate STIF Formula Fund disbursements based on the Agency's projections of the amount of transit payroll tax to be collected, the Agency's projections of minimum distributions required under section (2) of this rule, and the proportionate share calculated for each Qualified Entity in section (4) of this rule.

(b) The Agency shall estimate the proportionate share annually.

(c) The Agency shall notify Qualified Entities of their estimated annual disbursements no later than December 31 each year.

(d) Qualified Entities shall work collaboratively with Public Transportation Service Providers and other potential Sub-Recipients, as relevant, to develop a method for sub-allocating STIF Formula Fund moneys to Public Transportation Service Providers.

(e) To the extent possible, using the best available data, the sub-allocation method used by Qualified Entities must be proportionate to the amount of employee payroll tax revenue generated within the geographic territory of each Public Transportation Service Provider.

(f) A Qualified Entity that is a Mass Transit or Transportation District which does not share contiguous jurisdictional boundaries with a county shall work collaboratively with Public Transportation Service Providers and other potential Sub-Recipients to develop an estimate of STIF Formula Fund disbursements for those areas of the county(ies) in which the District is located that are outside the District's own jurisdictional boundaries.

(g) The Qualified Entity's sub-allocation estimate shall be a starting point for the Qualified Entity's STIF Plan and funding prioritization process. The sub-allocation is not an entitlement to the Public Transportation Service Provider and decision criteria may affect the prioritization of Projects.

(h) Estimated disbursements are not guaranteed. If revenues in the Statewide Transportation Improvement Fund are less than the Agency's projections, the Agency may proportionately reduce quarterly payments to Qualified Entities from its estimated disbursements.

(4) Calculation of STIF Formula Fund Disbursements:

(a) The Agency shall calculate the proportionate share for each Qualified Entity by dividing the amount of the wages paid by employers located within the boundary of the Qualified Entities' areas of responsibility, by the total amount of the wages paid by employers statewide.

(A) The Agency shall use the final wage data collected by the Oregon Employment Department for the prior Calendar Year and reported to the Agency.

(B) The Agency shall exclude from the calculation of proportionate shares any Qualified Entity that is entitled to a minimum distribution under section (2) of this rule.

(b) Each fiscal quarter, the Agency shall calculate the quarterly distribution as follows:

(A) The product of the amount of the transit payroll tax revenue collected in the preceding fiscal quarter, as reduced by minimum distributions required under subsection (4)(b)(B) of this rule, multiplied by the Qualified Entity's proportionate share calculated in subsection (4)(a) of this rule; or

(B) For Qualified Entities receiving the minimum distribution under section (2) of this rule, \$25,000.

(5) Distribution of STIF Formula Funds to Qualified Entities:

(a) The Agency shall not disburse STIF Formula Fund moneys to a Qualified Entity until the Commission has approved by the Qualified Entity's STIF Plan and the Legislative Fiscal Office and the State's Chief Financial Officer have determined that there is sufficient revenue in the Statewide Transportation Improvement Fund sufficient to fund the STIF Formula Fund disbursements.

(b) The Agency shall disburse the proportionate share of STIF Formula Funds to Qualified Entities in quarterly distributions.

(c) If more than one Mass Transit District or Transportation District is located within a single county, the Agency shall distribute the moneys to the larger district.

(d) If there is a significant unexpected shortfall in revenues in the Statewide Transportation Improvement Fund or if there has been an overpayment in a prior quarter, the Agency may proportionately reduce quarterly payments to Qualified Entities.

(e) Qualified Entities are not responsible for satisfying Public Transportation Service Providers' budgetary shortfalls or remedying delays in funding to Public Transportation Service Providers that are due to insufficient STIF Formula Fund revenues or for any other reason beyond the Qualified Entities' direct control.

(6) Qualified Entities may incur STIF expenditures as of the operative date of ORS 184.766. During the first STIF Formula Fund Cycle after the enactment of Oregon Laws 2017, chapter 750, a Qualified Entity may reimburse itself for such

expenditures contingent upon Commission approval of a STIF Plan that includes these expenses.

(7) Qualified Entities shall notify the Agency in writing of any adjustment to the geographic boundaries of their areas of responsibility within thirty days of the effective date of the adjustment.

(8) Upon Commission approval of a STIF Plan that describes such a Project, a Qualified Entity may carry forward unspent STIF Formula Fund moneys for as long as specified in the approved STIF Plan in order to accumulate sufficient funds for a capital Project that costs more than can be funded during a single STIF Formula Fund funding cycle or to make bond payments on the acquisition of a Capital Asset.

(9) Each Qualified Entity is required to spend at least one percent of STIF Formula Fund moneys received each year on student transit services for students in grades 9 through 12, if Practicable.

Stat. Auth.: ORS 184.758(3)(e), ORS 184.758 (6)

Stats. Implemented: ORS 184.758(1)(a), ORS 184.758(2), ORS 184.758(4), ORS 184.758 (6)

732-042-0015

STIF Plan Contents

(1) A Qualified Entity shall adopt a written STIF Plan to establish a list of Projects for public transportation located within the Qualified Entity's area of responsibility to guide STIF Formula Fund investments.

(a) A STIF Plan must cover at least a Biennium, but it may include up to two Biennia subject to Commission approval.

(b) A STIF Plan must address the transportation needs of people residing in or traveling into and out of the Qualified Entity's area of responsibility.

(c) A Qualified Entity that is a Mass Transit District or Transportation District with jurisdictional boundaries within a county or counties which are not Qualified Entities shall adopt a STIF Plan that considers the Public Transportation Services for the area outside of district boundaries but within the remainder of the county or counties.

(d) A STIF Plan may be included in a Qualified Entity's Local Plan or it may be a stand-alone plan.

(e) The STIF Plan must contain an explanation of how the plan defines and identifies communities with a high percentage of Low-Income Households.

(f) A STIF Plan must include a description of the Qualified Entity's method to sub-allocate STIF Formula Fund moneys to Public Transportation

Service Providers and other potential Sub-Recipients and the process for developing the method.

(2) A Qualified Entity's STIF Plan must contain the following sections:

(a) Descriptions of Proposed Projects:

For each proposed Project, the STIF Plan must include the factors listed in section (3) of this rule.

(b) Summary of Planned Expenditures:

The STIF Plan must include a summary listing:

- (A) the total funding sought in the STIF Plan;
- (B) the total funding sought for each Recipient or Sub-Recipient (Public Transportation Service Provider or Qualified Entity); and,
- (C) for Qualified Entities that are Mass Transit Districts or Transportation Districts which do not share contiguous jurisdictional boundaries with a single county, the total funding sought by geographic area inside and outside the district's jurisdictional boundary but within its area of responsibility.

(c) Summary of Prior Expenditures on Specific Improvements:

If the Qualified Entity received STIF Formula Funds in the preceding two Fiscal Years, the STIF Plan must include a summary of the amount of moneys allocated to fund each of the following:

- (A) increased frequency of bus service schedules in communities with a high percentage of Low-Income Households;
- (B) the expansion of bus routes and bus services to reach communities with a high percentage of Low-Income Households;
- (C) fund the implementation of programs to reduce fares for public transportation in communities with a high percentage of Low-Income Households;
- (D) the procurement of buses that are powered by natural gas, electricity or other low or no emission propulsion for use in areas with populations of 200,000 or more;
- (E) the improvement in the frequency and reliability of service connections between communities inside and outside of the Qualified Entity's service area;
- (F) Coordination between Public Transportation Service Providers to reduce fragmentation in the provision of transportation services; and
- (G) implementation of programs to provide student transit services for students in grades 9 through 12.

(d) Summary of Current Projects:

The STIF Plan must include a summary of Projects recommended by the Qualified Entity's Advisory Committee for the duration of the STIF Plan, identified by Fiscal Year.

(e) Advisory Committee Information:

The STIF Plan must include a list of the Qualified Entity's current Advisory Committee and the online or other location(s) where Advisory Committee materials may be reviewed as described in OAR 732-040-0030(4)(b). In addition, the STIF Plan must include a statement that the Qualified Entity consulted with its Advisory Committee as required by these rules and, if applicable, an explanation of why the Advisory Committee's recommendation was not adopted by the Governing Body.

(f) Recipient Accountability Methods:

The STIF Plan must include a description of the methods the Qualified Entity will use to ensure that it complies with these rules and achieves the goals identified in the STIF Plan.

(g) Sub-Recipient Accountability Methods:

The STIF Plan must include a description of the methods and agreement or contract language that the Qualified Entity will use to oversee its Sub-Recipients, address deficiencies in Sub-Recipient performance, and to ensure that the Qualified Entity can accomplish the applicable requirements of these rules, including but not limited to audit and compliance requirements, accounting requirements, capital asset requirements and reporting requirements.

(h) Remediation Strategies:

If the Qualified Entity has submitted three or more Quarterly Reports within the past two years which indicate that it failed to substantially comply with its approved STIF Plan, the STIF Plan must include a description of the Qualified Entity's strategies to ensure that it will substantially comply with the proposed STIF Plan.

(i) Governing Body Adoption:

The STIF Plan must include documentation that the Governing Body approved the STIF Plan prior to its submittal to the Agency. If STIF Formula funds will be jointly managed by two or more Qualified Entities, the STIF Plan must include documentation demonstrating each Governing Body's commitment to joint management.

(3) The STIF Plan must include descriptions of each proposed Project as described below. A Qualified Entity shall include in its STIF Plan only Projects which appear in a Local Plan. Qualified Entities eligible for no more than the minimum STIF Formula Fund allocation under OAR 732-042-0010(2) or Rural Public Transportation Service Providers that are unable to meet the Local Plan requirements during the first Formula Fund solicitation cycle may use a portion of their first STIF Formula Fund allocation or sub-allocation to improve public transportation services if they have a current approved Coordinated Human Services Public Transportation Plan and if they also use a portion of the first allocation or sub-allocation to develop a Local Plan that is consistent with STIF Local Plan requirements. For each proposed Project, the STIF Plan must describe:

(a) Proposed funding level for: each Project and a description of what the Qualified Entity intends to do with the STIF Formula Fund moneys it receives for the individual Project.

(b) Whether the Project would improve or expand public transportation or maintain an existing service. For Projects that would maintain an existing public transportation service, the STIF Plan must specify the amount and percentage of each Project budget for this purpose and the reason for proposing any Project that maintains an existing service rather than a Project that improves or expands service.

(c) Anticipated benefits and discrete measurable outcomes associated with each Project with specific reference to whether the Project:

- (A) increases the frequency of bus service schedules in communities with a high percentage of Low-Income Households;
- (B) expands bus routes and bus services to reach communities with a high percentage of Low-Income Households;
- (C) implements programs to reduce fares for public transportation in communities with a high percentage of Low-Income Households;
- (D) procures buses that are powered by natural gas, electricity or other low or no emission propulsion for use in areas with populations of 200,000 or more;
- (E) improves the frequency and reliability of service connections between communities inside and outside of the Qualified Entity's service area;
- (F) fosters Coordination between Public Transportation Service Providers to reduce fragmentation in the provision of transportation services; and
- (G) provides student transit services for students in grades 9 through 12.

(d) Identification of the Local Plan(s) from which each Project was derived and identification of the board, council, commission, or other governing body which approved the Local Plan.

(e) The proposed Recipient or Sub-Recipient of the STIF Formula Fund moneys for that Project.

(f) A full budget including fund sources and for yet-to-be obligated fund sources, the timing for funding decisions, if known.

(g) For proposed Projects which are part of a larger multi-phase Project, the phasing plan including schedule and budget with known and potential funding sources identified.

(h) The amount of moneys from the STIF Formula Fund distribution that would be allocated to fund each of the following:

- (A) increased frequency of bus service schedules in communities with a high percentage of Low-Income Households;

- (B) the expansion of bus routes and bus services to reach communities with a high percentage of Low-Income Households;
 - (C) the implementation of programs to reduce fares for public transportation in communities with a high percentage of Low-Income Households;
 - (D) the procurement of buses that are powered by natural gas, electricity or other low or no emission propulsion for use in areas with populations of 200,000 or more;
 - (E) the improvement in the frequency and reliability of service connections between communities inside and outside of the Qualified Entity's service area;
 - (F) Coordination between Public Transportation Service Providers to reduce fragmentation in the provision of transportation services; and
 - (G) the implementation of programs to provide student transit services for students in grades 9 through 12.
- (i) Identification of the extent to which the Project is consistent with Oregon Public Transportation Plan goals, policies, and implementation plans.
- (j) At least one Project described in the STIF Plan must implement a program(s) to provide student transit services for students in grades 9 through 12, if Practicable, and allocate at least one percent of the Qualified Entity's estimated STIF Formula Fund disbursement to that program(s). If the Qualified Entity determines that it is not Practicable to identify such a Project or to allocate funding for this purpose, it shall specify in its STIF Plan the reason(s) for its determination.

Stat. Auth.: ORS 184.758(3)(c), ORS 184.758(6)
 Stats. Implemented: ORS 184.758

732-042-0020

Advisory Committee Review of Proposed Projects

- (1) Public Transportation Providers seeking STIF funding from a Qualified Entity through the Qualified Entity's STIF Plan shall submit a Project proposal to its Advisory Committee for review and approval. The Project proposal must include the contents described in OAR 732-042-0015(3).
- (2) The Advisory Committee shall conduct its reviews and activities in compliance with its written bylaws, as described these rules.
- (3) The Advisory Committee shall meet as often as needed to advise the Qualified Entity and review Project proposals but no less than two times per year.
- (4) The Advisory Committee shall

- (a) Hold public meetings, as applicable, to review every Project proposed for inclusion in the Qualified Entity's STIF Plan;
 - (b) Recommend approval or rejection of proposed Projects and recommend prioritization of approved Projects within the geographic boundary for which the Qualified Entity receives STIF Formula funding to the Governing Body.
- (5) The Advisory Committee shall consider the following criteria when reviewing STIF Formula Fund Projects:
- (a) Whether the Project would:
 - (A) increase the frequency of bus service to communities with a high percentage of Low-Income Households;
 - (B) expand bus routes and bus services to serve communities with a high percentage of Low-Income Households;
 - (C) reduce fares for public transportation in communities with a high percentage of Low-Income Households;
 - (D) result in procurement of buses that are powered by natural gas or electricity for use in areas with a population of 200,000 or more;
 - (E) improve the frequency and reliability of service connections between communities inside and outside of the Qualified Entity's service area;
 - (F) increase Coordination between Public Transportation Service Providers to reduce fragmentation in the provision of public transportation service; or
 - (G) expand student transit services for students in grades 9 through 12;
 - (b) Whether the Project would maintain an existing, productive service;
 - (c) The extent to which the Project goals meet public transportation needs and are a responsible use of public funds; and
 - (d) Other factors to be determined by the Qualified Entity or Advisory Committee such as geographic equity.
- (6) Prior to adopting a STIF Plan, the Governing Body shall consult its Advisory Committee regarding the Projects proposed in the STIF Plan and seek a recommendation on the prioritization of those Projects from the Advisory Committee. The purpose of this consultation is to ensure that the STIF Plans reflect a Coordinated regional approach to Public Transportation Service that considers the public transportation needs of people residing and traveling into and out of the geographic territory of a Qualified Entity as well as larger regional population centers and to ensure that interested parties have the opportunity to review and comment on the proposed STIF Plan.
- (7) A Governing Body may accept the Advisory Committee's recommendation to approve or reject a Project proposal and consider the Advisory Committee's recommended prioritized list of Projects, may return it to the Advisory Committee for modifications, or may modify it prior to inclusion in the STIF Plan for submittal to the Agency. If the Governing Body modifies the Advisory Committee's

recommendation, it shall inform any affected Public Transportation Service Provider of all modifications and the explanation for such changes.

Stat. Auth.: ORS 184.761(4)(b), ORS 184.761(4)(c)

Stats. Implemented: ORS 184.758, ORS 184.761

732-042-0025

Commission Approval of STIF Plan

(1) The Agency shall review the STIF Plan submitted by a Qualified Entity for completeness and may ask the Qualified Entity to supply missing information or to provide clarification about the meaning or intent of any portion of the STIF Plan.

(2) The Agency shall submit each complete STIF Plan to the Public Transportation Advisory Committee (PTAC) for review.

(3) The PTAC shall timely determine whether it proposes to recommend that the Commission approve or reject all or a portion of the STIF Plan.

(a) If the PTAC determines that it will recommend rejection of all or a portion of the STIF Plan, it shall timely prepare a brief written statement of the reasons for its recommendation. Within seven days of the PTAC's preparation of the statement, the Agency shall provide notice of the PTAC's intended recommendation and a copy of the statement of reasons to the Qualified Entity.

(b) The PTAC shall timely communicate its recommendation to the Commission.

(c) The PTAC, when making its recommendation and the Commission when making its decision on a STIF Plan shall consider the extent to which the STIF Plan meets the requirements described in OAR 732-042-0015(1), (2) and (3).

(4) A Qualified Entity that receives notice that the PTAC intends to recommend rejection of all or a portion of a STIF Plan under subsection (3)(a) of this rule may attach additional information and a revised STIF Plan for the Commission's consideration to the STIF Plan originally submitted. The Qualified Entity shall provide the additional information to the Agency within 30 days.

(5) The Commission shall consider the PTAC's recommendation and determine whether to approve or reject the STIF Plan originally submitted by the Qualified Entity or a revised STIF Plan submitted by the Qualified Entity under section (4) of this rule. If the Commission rejects a proposed STIF Plan, the Commission shall identify the reasons for the rejection and the Agency shall provide the reasons to the Qualified Entity in writing. Reasons for Commission rejection include, but are not limited to:

- (a) The Qualified Entity did not establish an Advisory Committee or established one inconsistent with membership requirements in these rules;
- (b) The Qualified Entity failed to confer with its Advisory Committee;
- (c) The STIF Plan is incomplete or does not adequately explain how the Qualified Entity will accomplish the goals of the Projects in the STIF Plan, including Recipient Accountability Methods, Sub-Recipient Accountability Methods, or Remediation Strategies, if applicable;
- (d) The STIF Plan does not contain the sections and elements listed in OAR 732-042-0015(1), (2) and (3); and
- (e) Whether the Qualified Entity failed to expend STIF Formula funds in a manner that substantially complied with a prior approved STIF Plan.

(6) A Qualified Entity may file an appeal as described in OAR 732-040-0050 if its STIF Plan is rejected by the Commission.

Stat. Auth.: ORS 184.758(3)(c), ORS 184.758(3)(d), ORS 184.758(3)(e)

Stats. Implemented: ORS 184.758

732-042-0030

Qualified Entity Failure to Apply or Withdrawal from the STIF Formula Fund

(1) Unless a Qualified Entity has an approved STIF Plan and is receiving quarterly distributions, the Agency shall accumulate STIF Formula Fund moneys for which a Qualified Entity is eligible, as calculated by the Agency pursuant to OAR 732-042-0010, for a period of one Biennium.

(2) If a Qualified Entity fails to submit timely a STIF Plan for two consecutive STIF Formula Fund Cycles, as described in OAR 732-042-0005, the Agency shall release any STIF Formula Fund moneys accumulated for the Qualified Entity to the STIF Formula Fund generally for redistribution to other Qualified Entities.

(3) If a Qualified Entity timely submits a STIF Plan but the STIF Plan is rejected by the Commission for two consecutive STIF Formula Fund Cycles, as described in OAR 732-042-0005, and neither rejection is overcome by an appeal or reconsideration, the Agency shall release any STIF Formula Fund moneys accumulated for the Qualified Entity to the STIF Formula Fund generally for redistribution to other Qualified Entities.

(4) Qualified Entities eligible to receive STIF Formula Fund moneys may voluntarily withdraw from eligibility. A Qualified Entity intending to withdraw its eligibility shall notify the Agency of the decision to withdraw and the time period during which it wishes to withdraw its eligibility (such as the remainder of the current Biennium, all future Biennia, etc.). Upon the Qualified Entity's withdrawal, the Agency shall release any STIF Formula Fund moneys accumulated or designated for the Qualified Entity to the STIF Formula Fund for

redistribution to other Qualified Entities. During the period of withdrawal, the withdrawn Qualified Entity must be excluded from the Agency's calculations under OAR 732-042-0010. A Qualified Entity may rescind its withdrawal at any time by written notice to the Agency. If a Qualified Entity rescinds its withdrawal, it will be eligible to receive STIF Formula Fund disbursements in the next STIF Formula Fund Cycle, contingent upon Commission approval of its STIF Plan under these rules.

(5) Any interest accrued on STIF Formula Fund moneys accumulated by the Agency under this rule must be credited to the STIF Formula Fund generally.

Stat. Auth.: ORS 184.758(3)(e)

Stats. Implemented: ORS 184.751(1), ORS 184.758

732-042-0035

Reporting Requirements

(1) Quarterly Reports:

Using a form provided by the Agency, each Qualified Entity shall prepare a quarterly report to the Agency which details Project progress, outcomes achieved, and expenditures of STIF Formula Fund moneys by itself and its Sub-Recipients. The quarterly report must be submitted no later than 45 days following the end of a quarter. The fourth and eighth quarter reports may be preliminary reports, subject to adjustment after completion of the Qualified Entity's audit.

(2) STIF Plan Period Reconciliation:

Within 30 days of the end of an approved STIF Plan period, the Agency shall reconcile disbursements made to the Qualified Entity against the Qualified Entity's reported expenditures. If disbursements are found to exceed the expenditures, the amount must be carried forward by the Qualified Entity into the next STIF Formula Fund Cycle.

(3) Capital Asset Reports:

Qualified Entities that have acquired, purchased or leased Capital Assets using STIF Formula Fund moneys shall provide the Agency with a report of the Capital Asset inventory, described in OAR 732-042-0040(2), including an identification of any sale, transfer or other disposition of the Capital Asset as described in OAR 732-042-0040. Capital Asset Reports must be submitted to the Agency on a schedule to be specified by the Agency, but must be submitted at least annually within 30 days of the end of each Fiscal Year.

Stat. Auth.: ORS 184.758(3)(e)

Stats. Implemented: ORS 184.758, ORS 184.766

732-042-0040

Capital Asset Requirements

- (1) Recipients shall ensure Satisfactory Continuing Control of a Capital Asset purchased in whole or part with STIF funding during the period of its useful life.
- (2) Recipients shall inventory Capital Assets purchased in whole or part with STIF moneys. The inventory will include a description of the Capital Asset, date of purchase, purchase price, amount of STIF moneys contributed to the purchase, the source of other funds, the authorized use, the Recipient or Sub-Recipient using the Capital Asset, and the condition of the asset.
 - (a) If Capital Asset is a vehicle, the inventory must include the size of vehicle, the total number of passenger seats, the total number of ADA stations, the total number of seats when all ADA stations are deployed, the current mileage, and its current condition.
 - (b) If Capital Asset is an improvement to real property, such as a facility, building, or transit shelter, the inventory must include the location of the Capital Asset and its current condition.
- (3) Vehicles may be replaced using STIF funding if:
 - (a) Public Transportation Service Provider holds clear title to the vehicle(s) being replaced. Salvaged titles will not be accepted.
 - (b) The vehicle(s) has met the useful life guidelines established by Agency.
 - (c) The vehicle has not been previously replaced.
- (4) To be eligible to receive STIF Formula Fund moneys to acquire revenue vehicle(s) for the expansion of transit service, a Qualified Entity shall demonstrate in its STIF Plan that the Recipient or Sub-Recipient who will acquire the Capital Asset has committed to continually use the vehicle for the approved purpose for the useful life of the vehicle(s).
- (5) To be eligible to receive STIF moneys for a real property Capital Asset, such as a transit facility, bus barn, maintenance facility, land, or administration building, a Qualified Entity shall demonstrate in its STIF Plan one or more of the following:
 - (a) Recipient or Sub-Recipient ownership of the property upon which the Capital Asset will be located;
 - (b) Recipient or Sub-Recipient possession of an executed lease agreement for the property location that will be in place for the useful life of the Capital Asset;
 - (c) Recipient or Sub-Recipient possession of an executed lien on the property for the useful life of the Capital Asset;
 - (d) In the case of a Project which will utilize property owned by a local city, county or government, an executed intergovernmental agreement with the property owner guaranteeing ongoing use for the duration of the useful life of the Capital Asset; or
 - (e) In the case of a Project to purchase land, an option to purchase the land identified in the Project.

(6) Qualified Entities shall:

(a) Establish useful life standards for Capital Assets acquired pursuant to their STIF Plans which meet or exceed the duration of those established by the Agency.

(b) Use the Agency's published procedures or substantially similar procedures and ensure that Sub-Recipients use the same procedures for the disposition of Capital Assets acquired with STIF Formula Fund moneys.

(c) Retain the net proceeds from a sale or other disposition of a Capital Asset to reinvest in a future STIF Plan capital Project or return the net proceeds to the Agency. Net proceeds are the disposal proceeds less original value, less depreciation, less disposal costs. If non-STIF funds were used in the original purchase, then only the proportion representing STIF Formula Fund contribution to the purchase are subject to this rule.

(d) Establish written procedures to ensure that a Capital Asset is maintained in safe operating condition.

(e) Maintain insurance coverage, or require Sub-Recipients to maintain insurance coverage, that meets or exceeds the standards in ORS 806.070.

(f) Ensure that vehicles purchased in whole or in part with STIF Formula Fund moneys are titled with the Oregon Department of Transportation Driver and Motor Vehicle Services Division pursuant to ORS 803.045 and supporting rules, with the Agency listed as a security interest holder, subject to the following additional requirements:

(A) If the vehicle is registered in the name of a Sub-Recipient receiving the vehicle, and the Sub-Recipient is not a Qualified Entity or Public Transportation Service Provider, then the Qualified Entity or Public Transportation Service Provider must be listed on the vehicle title as the primary security interest holder.

(B) If the vehicle was purchased with federal funds in addition to STIF Formula Fund moneys, and the federal funding source requires the vehicle to be titled otherwise than provided in this rule, then the federal titling requirements prevail.

(7) A Recipient shall notify the Agency of the sale, transfer or other disposition of a Capital Asset purchased with STIF Formula Fund moneys and shall report the use of proceeds, if any, from the sale to the Agency.

(8) A Recipient may transfer its interest in a Capital Asset to an asset of equal or greater value if the transfer is proposed in a STIF Plan which is approved by the Commission.

(9) When the Agency is a security interest holder in a Capital Asset, the Agency may exercise all of the rights provided to a secured lien holder under Oregon law, including without limitation, the ability to take control or possession of the Capital Asset if it determines either:

(a) that the asset is not being used for the purpose described in a STIF Plan under which it was funded in whole or part by STIF Formula Fund moneys; or

(b) if, during a compliance audit conducted pursuant to OAR 732-040-0015, the Agency determines the asset is not being maintained in a state of good operational repair.

(10) A Qualified Entity may file an appeal as described in OAR 732-040-0050 if the Agency takes action under section (9) of this rule with respect to a Capital Asset funded in whole or part by STIF Formula Fund moneys originally distributed to the Qualified Entity.

Stat. Auth.: ORS 184.758(3)(e)

Stats. Implemented: ORS 184.758

APPENDIX B: FORMULA FUND ALLOCATION ESTIMATES, DRAFT, APRIL 13, 2018

INTRODUCTION

The Statewide Transportation Improvement Fund (STIF) employee payroll tax of one-tenth of one percent will fund public transportation improvements in Oregon. The new tax, which goes into effect on July 1, 2018, will be imposed on Oregon residents and residents of other states that work in Oregon.

Ninety (90) percent of the revenue from this tax will be distributed by formula to Qualified Entities (QEs), who are required to coordinate with Public Transportation Service Providers (PTSPs) in their area of responsibility to develop a sub-allocation method and estimates as a starting point for local decision-making. This planning level forecast provides a revenue estimate to assist QEs with developing STIF Plans.

ESTIMATE ASSUMPTIONS

The forecast is conservative because the tax is new and we lack historical data to predict future revenues. The level of taxpayer compliance is also uncertain. The Agency will only distribute the revenue it receives, which may be more or less than this estimate, up to the QEs-approved STIF Plan funding limit.

The table on page 2 summarizes the estimated Formula Fund revenues available to each QE based on the date of distribution by fiscal year. The estimate for Fiscal Year 2019 (July 1, 2018-June 30, 2019) includes two quarters of revenue. Updated estimates for the Formula, Discretionary and Intercommunity Discretionary funds for FY 2019 (two quarters) through FY2021 are summarized in the table below.

Estimated Payroll Distribution	Q3, Q4 of FY 2019-FY 2021
Formula Fund	\$194.5 M
Discretionary Fund	\$10.8 M
Intercommunity Discretionary Fund	\$8.6 M

Distributions will occur quarterly, contingent on Oregon Transportation Commission approval of the QE's service improvement plan (STIF Plan). This estimate will be updated annually with the state revenue forecast.

ESTIMATE CALCULATION METHOD

- Gross revenue is multiplied by projected tax payer compliance rate, assumed to begin at 75% and improve each quarter

- Department of Revenue collection and administration costs are deducted from the gross revenue
- The result is multiplied by 90% to determine the projected Formula Fund net total
- Note that the remaining 10% is dedicated to the Discretionary Fund (5%), Intercommunity Discretionary Fund (4%), and the Technical Resource Center (1%), which also funds the Agency administration of STIF Program
- The projected net total is multiplied by the QE payroll shares resulting in QE revenue estimates
- QE payroll shares are calculated using the most current annual payroll data from Oregon Employment Department, with adjustments to ensure each QE receives the minimum annual allocation of \$100,000

See page 2 for table with Estimated Revenue Available for Distribution to each QE by Fiscal Year.

Estimated Revenue Available for Distribution to each QE by Fiscal Year

Qualified Entity (QE)	FY 2019	FY 2020	FY 2021
Baker County	\$ 68,000	\$ 154,000	\$ 176,000
Basin Transit Service District w/ out of district	\$ 305,000	\$ 693,000	\$ 784,000
In district	\$ 251,000	\$ 571,000	\$ 645,000
Out of district	\$ 54,000	\$ 122,000	\$ 139,000
Benton County	\$ 674,000	\$ 1,531,000	\$ 1,732,000
Burns Paiute Tribe	\$ 50,000	\$ 100,000	\$ 100,000
Columbia County	\$ 149,000	\$ 337,000	\$ 381,000
Confederated Tribes of Coos, Lower Umpqua and Siuslaw	\$ 50,000	\$ 100,000	\$ 100,000
Confederated Tribes of Grand Ronde Community of Oregon	\$ 50,000	\$ 100,000	\$ 100,000
Confederated Tribes of Siletz Indians	\$ 50,000	\$ 100,000	\$ 100,000
Confederated Tribes of the Umatilla Indian Reservation	\$ 50,000	\$ 100,000	\$ 100,000
Confederated Tribes of Warm Springs	\$ 50,000	\$ 100,000	\$ 100,000
Coos County	\$ 304,000	\$ 689,000	\$ 780,000
Coquille Indian Tribe	\$ 50,000	\$ 100,000	\$ 100,000
Cow Creek Band of Umpqua Tribe of Indians	\$ 50,000	\$ 100,000	\$ 100,000
Crook County	\$ 100,000	\$ 225,000	\$ 254,000
Curry County	\$ 79,000	\$ 178,000	\$ 202,000
Deschutes County	\$ 1,183,000	\$ 2,685,000	\$ 3,037,000
Douglas County	\$ 530,000	\$ 1,203,000	\$ 1,361,000
Gilliam County	\$ 50,000	\$ 100,000	\$ 100,000
Grant County Transportation District	\$ 50,000	\$ 100,000	\$ 100,000
Harney County	\$ 50,000	\$ 100,000	\$ 100,000
Hood River County Transportation District	\$ 179,000	\$ 404,000	\$ 458,000
Jefferson County	\$ 88,000	\$ 200,000	\$ 226,000
Josephine County	\$ 332,000	\$ 756,000	\$ 853,000
Klamath Tribes	\$ 50,000	\$ 100,000	\$ 100,000
Lake County	\$ 50,000	\$ 100,000	\$ 100,000
Lane Transit District w/out of district	\$ 2,297,000	\$ 5,216,000	\$ 5,899,000
In district	\$ 2,179,000	\$ 4,947,000	\$ 5,595,000
Out of district	\$ 118,000	\$ 268,000	\$ 303,000
Lincoln County	\$ 232,000	\$ 527,000	\$ 596,000
Linn County	\$ 664,000	\$ 1,508,000	\$ 1,705,000
Malheur County	\$ 158,000	\$ 358,000	\$ 405,000
Morrow County	\$ 98,000	\$ 221,000	\$ 250,000
Rogue Valley Transportation District w/ out of district	\$ 1,255,000	\$ 2,850,000	\$ 3,223,000
In district	\$ 1,145,000	\$ 2,599,000	\$ 2,939,000
Out of district	\$ 110,000	\$ 251,000	\$ 283,000
Salem Area Mass Transit District w/ out of district	\$ 2,739,000	\$ 6,219,000	\$ 7,035,000
In district	\$ 1,962,000	\$ 4,455,000	\$ 5,039,000
Out of district Marion County	\$ 581,000	\$ 1,319,000	\$ 1,491,000
Out of district Polk County	\$ 196,000	\$ 446,000	\$ 505,000
Sherman County	\$ 50,000	\$ 100,000	\$ 100,000
Sunset Empire Transportation District	\$ 236,000	\$ 535,000	\$ 606,000
Tillamook County Transportation District	\$ 126,000	\$ 287,000	\$ 325,000
Tri County Metropolitan Transportation District w/ out of district	\$ 19,653,000	\$ 44,622,000	\$ 50,468,000
In district	\$ 18,793,000	\$ 42,670,000	\$ 48,261,000
Out of district Clackamas County	\$ 649,000	\$ 1,474,000	\$ 1,668,000
Out of district Multnomah County	\$ 19,000	\$ 44,000	\$ 51,000
Out of district Washington County	\$ 191,000	\$ 433,000	\$ 490,000
Umatilla County	\$ 412,000	\$ 935,000	\$ 1,059,000
Union County	\$ 132,000	\$ 300,000	\$ 339,000
Wallowa County	\$ 50,000	\$ 100,000	\$ 100,000
Wasco County	\$ 149,000	\$ 340,000	\$ 385,000
Wheeler County	\$ 50,000	\$ 100,000	\$ 100,000
Yamhill County	\$ 496,000	\$ 1,127,000	\$ 1,275,000
Total Statewide	\$ 33,438,000	\$ 75,700,000	\$ 85,414,000