

Regionally Coordinated Transportation Planning Guidebook

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SECTION ONE: GENERAL INFORMATION

I. OVERVIEW

Background

The purpose of the regionally coordinated transportation planning effort is to provide more efficient and effective public transportation services, especially for priority populations including individuals with disabilities, individuals 65 and older, people with low incomes, veterans, children, and others. Although many stakeholders have a long history of coordination, this effort was buoyed by federal and state mandates in the early to mid-2000s that called for a local, coordinated effort to address fragmented, duplicative, and generally inefficient provision of transportation services, especially for human services transportation needs.

This effort includes developing, adopting, implementing and updating a coordinated public transit / human services transportation plan as well as assessing progress of activities called for in the plan. The coordinated plan provides strategies for meeting the public's transportation needs, and prioritizes transportation services for funding and implementation.

Stakeholder-Driven Process

To date, Texas has pursued a decentralized, stakeholder-driven approach. Each of Texas' 24 designated planning regions formed a regional stakeholder steering committee to develop and adopt a unique regional transportation plan. These committees are made up of diverse stakeholders including transportation providers, transportation planners, human services providers, work force agencies, members of the public individuals with disabilities, individuals 65 and older, and others.

Critical Role of Lead Agencies

Stakeholders in each planning region select one agency to serve as the lead agency in this effort. The lead agency generally serves as fiscal agent for receiving regional planning funds from TxDOT, manages an inclusive process for developing the coordinated plan, monitoring progress of the plan, and updating the plan. The lead agency is accountable for assuring an inclusive, collaborative planning process. This includes convening stakeholder meetings to discuss and identify gaps and inefficiencies in transportation services as well as facilitating discussions for stakeholders to identify solutions for filling these gaps and correcting these inefficiencies.

Lead agencies ensure a local structure that allows a regional transportation steering committee to be an independent body. The lead agency ensures that this steering committee, which is made up of multiple and diverse organizations that report to their own respective boards, does not have to

report to the board of a lead agency or any other single entity. The lead agency has contract responsibilities, but the spirit and intent of this coordination effort is for diverse stakeholders to have a process to (a) openly identify, discuss and prioritize the public's transportation needs, and b) identify and pursue solutions to meet these needs.

Progress Assessment

Lead agencies collect, maintain, and assess data to evaluate effectiveness of the coordinated public transit / human services transportation planning effort, looking particularly at:

- 1) Collaboration
- 2) Identification of Gaps and Inefficiencies in transportation services, and
- 3) Resolving these gaps and inefficiencies

Funding Cycle for Updating Coordinated Plans & Eligible Applicants

The Texas Department of Transportation (TxDOT) will provide funding every five years to update coordinated plans. This will be a competitive funding process open only to designated lead agencies.

Funding Allocation Priorities in Years Between 5-Year Updates

The **bulk** of funding will be awarded for *pilot projects* that address priorities identified in the coordinated plans. TxDOT will give preference to proposed projects with:

- Measurable outcomes
- Letters of support from lead agencies
- Local match
- Demonstrated relevance and replicability in other regions of Texas

Awards will be made competitively as part of TxDOT's annual coordinated call for projects. Any eligible applicant may apply; awards will not be limited to designated lead agencies.

Some funding will be awarded to lead agencies in each of Texas' 24 planning regions for costs associated with data collection and reporting of performance metrics/indicators. These funds will be awarded on a non-competitive basis to designated lead agencies.

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II. Public Transportation Division Contacts

State Office

For general program guidance:

Steve Wright
(512) 374-5226
steve.wright@txdot.gov

For information on compliance:

Richard Neill
(512) 374-5245
richard.neill@txdot.gov

For information on reimbursement requests:

Bobby Hidrogo
(512) 374-5236
bobby.hidrogo@txdot.gov

For information on statewide or metropolitan planning:

Kelly Kirkland
(512) 374-5227
kelly.kirkland@txdot.gov

For information on the Section 5310 Program:

Kari Banta
(512) 465-7368
Kari.banta@txdot.gov

For information on scholarships, training:

Antonia Cesarez
(512) 374-5246
Antonia.Cesarez@txdot.gov

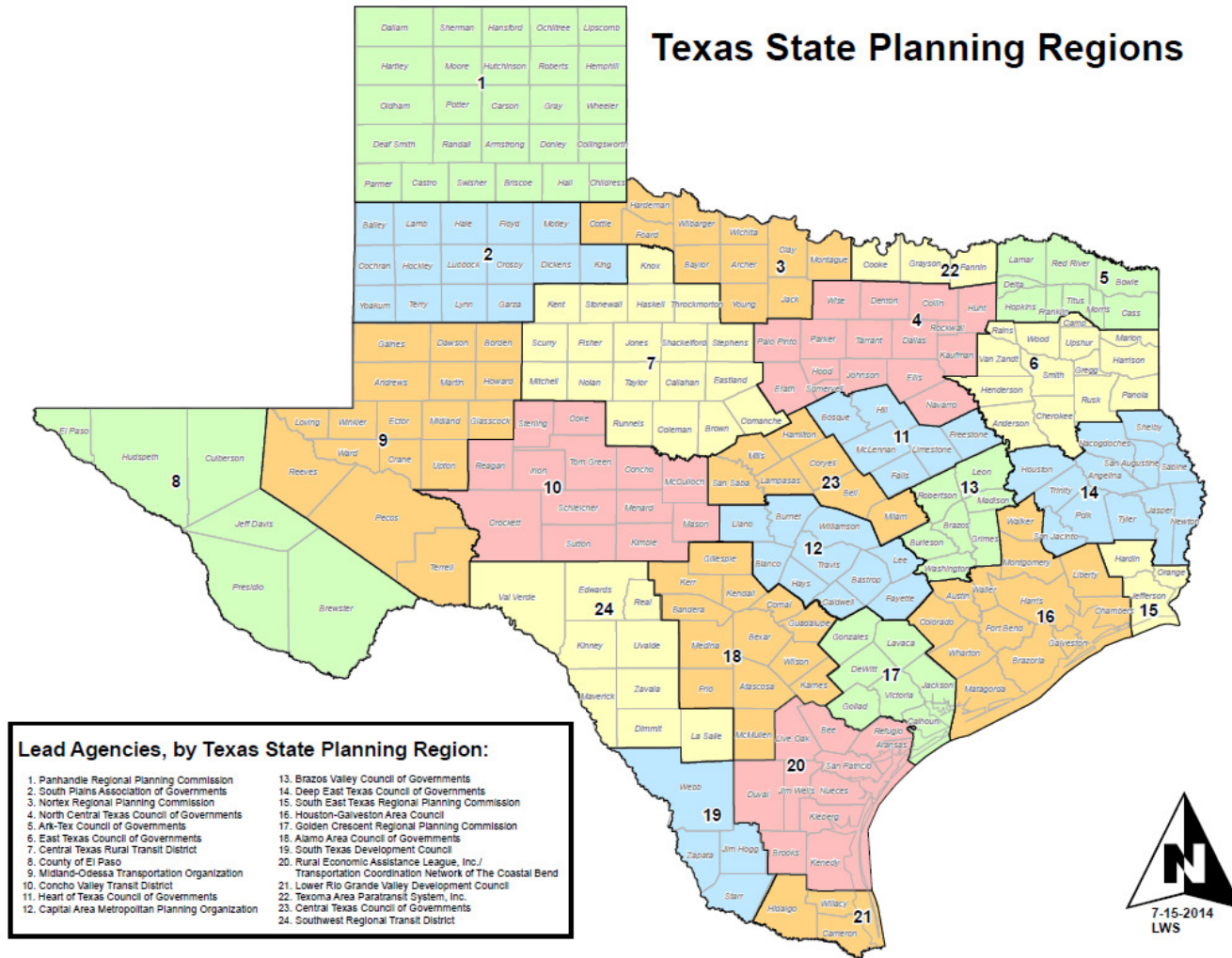
For information on newsletters, websites, and public information:

Josh Ribakove
(512) 374- 5247
josh.ribakove@txdot.gov

TxDOT Public Transportation Coordinators, by TxDOT District

PTN PUBLIC TRANSPORTATION COORDINATORS (PTCs)			
DISTRICT	NAME	OFFICE	iPhone
AMARILLO CHILDRESS	SUSAN STOCKETT	(806) 356-3252	806-340-4204
ATLANTA	SONYA HUDSON	(903) 799-1310	430-342-4464
AUSTIN	VANESSA OWENS	(512) 374-5223 (AUS) (713)802-5395 (HOU)	512-574-5237
BEAUMONT	ANTHONY COCHRAN	(409) 896-0270	409-273-9748
BRYAN LUFKIN	DARLA WALTON	(979) 778-9668	936-307-5674
CORPUS CHRISTI	STEPHEN NDIMA VICKI ALDRIGHETTI-MATA	(361) 808-2351 (361)808-2358	361-876-7184 361-446-8421
DALLAS FT. WORTH	VACANT TOMMIE FUGATE VACANT LINCOLN ALLEN	(214) 320-6153 (214) 320-4471 (214) 320-4467 (214) 319-3630	214-864-2620 214-865-4102 214-697-6623 903-732-7375
EL PASO	ARMIDA SAGARIBAY	(915) 790-4234	915-307-1891
HOUSTON	TRAVIS MADISON SHARON LEWIS	(713) 802-5315 (713) 802-5304	713-594-5278 713-825-4891
LAREDO SAN ANTONIO	BOLIVAR BOLANOS LAURA MORALEZ ELBA MARTINEZ	(210) 731-5216 (210) 731-5217 (210)-731-5229	210-701-2083 210-606-8386 210-560-5426
LUBBOCK	LYNN CASTLE	(806) 748-4480	806-543-1281
ODESSA ABILENE	ALFREDO GONZALES KELLY DANIEL DEANNE HAMILTON	(432) 498-4766 (432)-498-4768 (432) 498-4767	432-556-6964 432-638-4374 432-940-7208
PHARR	GRACIELA CANTU IRMA FLORES	(956) 702-6147 (956) 702-6314	956-279-0163 956-270-3931
BROWNWOOD (W) SAN ANGELO	DELMA CHILDRESS JESSICA PENA	(325) 947-9335 (325) 947-9215	325-262-6538 512-739-0826
TYLER	SUSAN LINNARD	(903) 510-9114	903-283-0741
WACO BROWNWOOD (E)	GREG DAVIS	(254) 867-2877	254-717-3407
YOAKUM / PTC SUPERVISOR	WANDA CARTER-DYER	(361) 293-4395 YKM (512) 374-5249 AUS	361-208-3546
Orange = PTC Supervisor / Red = Lead / Blue= Home office			

III. Lead Agencies for Regionally Coordinated Transportation Planning by State Planning Region



Region	Lead Agency	Contact	Contact Telephone	Contact E-mail	Contact Mailing
1	Panhandle Regional Planning Commission	Mr. James Iwuchukwu Economic Development Program Specialist	(806) 372-3381	kingham@theprpc.org	P. O. Box 9257 Amarillo, TX 79105
2	South Plains Association of Governments	Ms. Elena Quintanilla Director of Regional Services	(806) 762-8721	equintanilla@spag.org	P. O. Box 3730 Freedom Station Lubbock, TX 79452-3730
3	Nortex Regional Planning Commission	Mr. Joe Gambill Economic Development Specialist	(940) 322-5281 x122	kgambill@nortexrpc.org	P. O. Box 5144 Wichita Falls, TX 76307
4	North Central Texas Council of Governments	Ms. Jessie Huddleston Principal Transportation Planner	(817) 608-2399	jhuddleston@nctcog.org	P. O. Box 5888 Arlington, TX 76005-5888
5	Ark-Tex Council of Governments	Ms. Owetta Walton Transportation Manager	(903) 255-35298636	owalton@atcog.org	P. O. Box 5307 Texarkana, TX 75505-5307
6	East Texas Council of Governments	Mr. John Hedrick Director of Transportation	(903) 984-8641 x242	john.hedrick@etcog.org	3800 Stone Rd. Kilgore, TX 75662
7	Central Texas Rural Transit District	Ms. Heather Langley Mobility Manager	(800) 710-2277	heather@cityandruralrides.com	P. O. Box 712 Coleman, TX 76834
8	County of El Paso	Mr. Bob Geyer Rural Transit Manager	(915) 834-8242	bgeyer@epcounty.com	800 E. Overland, Suite 208 El Paso, TX 79901
9	Midland-Odessa Transportation Organization	Ms. Angela Wolf Administrative Planning Asst.	(432) 617-0129 x1006	awolf@motor.mpo	PO Box 60916 Midland TX 79711
10	Concho Valley Transit District	Mr. Major Hofheins Transportation Operations Manager	(325) 947-8729	major.hofheins@cvcog.org	2801 W. Loop 306, Ste. A San Angelo, TX 76904
11	Heart of Texas Council of Governments	Mr. Rep Pledger Director of Health and Human Services	(254) 292-1881	Rep.pledger@hot.cog.tx.us	1514 South New Road Waco, TX 76711
12	Capital Area Metropolitan Planning Organization	Mr. Alex Kone Senior Planner	(512) 974-2529	Alex.kone@campotexas.org	P. O. Box 1088 Austin, TX 78747
13	Brazos Valley Council of Governments	Mr. Michael Parks Assistant Executive Director	(979) 595-2800 x2001	mparks@bvcog.org	P. O. Drawer 4128 Bryan, TX 77805-4128
14	Deep East Texas Council of Governments	Mr. Rusty Phillips Regional Service Director	(409) 384-5704	rphillips@detcog.org	210 Premier Dr. Jasper, TX 75951
15	South East Texas Regional Planning Commission	Mr. Bob Dickinson Director, Transp. & Enviro. Resources	(409) 899-8444 x7520	bdickinson@setrpc.org	2210 Eastex Freeway Beaumont, TX 77904
16	Houston-Galveston Area Council	Mr. Kari Hackett Program Manager	(713) 993-4576	kari.hackett@h-gac.com	P. O. Box 22777 Houston, TX 77227-2777
17	Golden Crescent Regional Planning Commission	Ms. Linda Ybarbo Transportation Program Coordinator	(361) 578-1587	linday@gcrpc.org	568 Big Bend Drive Victoria, TX 77904
18	Alamo Area Council of Governments	Ms. Beverly Lutz Transportation Manager	(210) 362-5238	blutz@aacog.com	8700 Tesoro Drive, Suite #700 San Antonio, TX 78217
19	South Texas Development Council	Mr. Juan E. Rodriguez	(956) 722-3995 x39	jerodriguez@stdc.cog.tx.us	P. O. Box 2187

		Program Planner			Laredo, TX 78043
20	Rural Economic Assistance League, Inc. /Transportation Coordination Network of the Coastal Bend	Mr. Martin Ornelas Inter-County Mobility Director	(361) 664-7826	martin.ornelas@tencb.org	601 E. Main Street, Suite 200 Alice, TX 78332
21	Lower Rio Grande Valley Development Council	Mr. Tom Logan Director, Valley Metro	(956) 969-5761	tlogan@lrgvdctransit.org	510 S. Pleasantview Drive Weslaco, TX 78596
22	Texoma Area Paratransit System (TAPS)	Mr. Brad Underwood CEO/Executive Director	(903) 893-4601	bradunderwood@tapsbus.com	6104 Texoma Parkway Sherman, TX 75091
23	Central Texas Council of Governments	Ms. Cheryl Maxwell, AICP Senior Planner	(254) 770-2379	cmaxwell@ctcog.org	PO Box 729 Belton, TX 76513
24	Southwest Area Regional Transit District	Ms. Sarah Hidalgo-Cook General Manager	(830) 278-4155 x3009	scook@paseoswart.org	713 E. Main Street Uvalde, TX 78801

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SECTION ONE: GENERAL INFORMATION

I. FEDERAL & STATE REQUIREMENTS

Tab 1 - Federal Register, Vol. 77, No. 200/Tues. Oct. 15, 2012/Notices, p. 63689

Tab 2 - FTA C 9070.G, page V-1 thru V- 10, 06/06/2014

Tab 3 - FTA C 9070.1G, page II-2, 06/06/2014

Tab 4 - FTA C 9070.1G, Appendix D, Page D-1 thru D-3, 06/06/2014

Tab 5 - Texas Transportation Code 461

SECTION TWO: LEAD AGENCY RESPONSIBILITIES

I. OVERSIGHT & MANAGEMENT

Course of Action: Lead agencies must ensure ongoing oversight and management of the process to develop, adopt, monitor for progress, and update the coordinated public transit / human services transportation plan.

Each lead agency must do the following to fulfill oversight and management responsibilities:

1. Continuously identify and engage stakeholders; regularly convene meetings, facilitate discussion and keep others engaged in a collaborative planning process; manage regional transportation stakeholder steering committees.
2. Manage development and updates of the coordinated plan through ongoing collaboration with other stakeholders and in accordance with federal & state requirements.
3. Ensure a local structure that allows a regional transportation steering committee to be an independent body. Ensure that this steering committee, which is made up of multiple and diverse organizations that report to their own respective boards, does not have to report to the board of a lead agency or any other single entity. The lead agency has contract responsibilities, but the spirit and intent of this coordination effort is for diverse stakeholders to have a process to a) openly identify, discuss, and prioritize transportation needs of the public, and b) identify and pursue solutions to meet these needs.
4. Maintain and provide to TxDOT a current roster of active steering committee members and their agency or stakeholder affiliation.
5. Provide staff support to manage regional planning grants and carry out grant tasks.
6. Monitor progress of the regional plan and identify new regional transportation issues; discuss and determine solutions.
7. Comply with all terms in the master grant agreement, project grant agreements, applicable state and federal regulations, and reporting requirements.

Reference

Final Report on Future Direction for Regionally Coordinated Transportation Planning in Texas (Dec. 2013)

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II. INCLUSIVE PLANNING PROCESS

Course of Action: Lead agencies must ensure that members of priority population groups participate in the process to plan and approve the coordinated public transit / human services transportation plan.

Lead agencies must do the following to comply with requirements to use an inclusive process:

1. Ensure that the development and approval of the coordinated regional plan, amendments, revisions and updates includes participation of:
 - a. Representatives of public, private, and non-profit transportation providers, including recipients of Section 5307 funds (small urban transportation providers), Section 5311 funds (rural transportation providers) and Section 5310 funds (Enhanced Mobility of Seniors and individual with disabilities).
 - b. Representatives of human services providers.
 - c. individuals with disabilities.
 - d. individuals 65 and older.
 - e. people with low incomes.
 - f. veterans.
 - g. advocates for children.
 - h. other members of the public.
2. Ensure that planning participants have an active role in the development and approval of this coordinated plan. Stakeholders should have reasonable opportunities to be actively involved in the decision-making process, including, but not limited to, development of the proposed coordinated plan document. A planning process in which stakeholders provide their opinions but have no assurance that those opinions will be considered in the outcome does not meet the requirement of “participation.”
3. Provide documentation that the development and adoption of the coordinated regional plan, amendments, revisions and updates included participation from stakeholders listed above by including:
 - 3.1. Names of stakeholders who were involved in *developing* the plan.
 - 3.2. Names of regional stakeholder committee members who participated in *adopting* the plan.
 - 3.3. Signatures of regional stakeholder committee members who participated in adopting the plan.
4. Provide interpreters for individuals with hearing impairments and English as a second language and accessible formats (such as large print, Braille, electronic versions) as required by law.

5. Document good faith efforts to solicit meaningful involvement of stakeholders listed above.
6. Collaborate with lead agencies and other stakeholders to develop effective strategies for informing the public on the purpose and value of the regional planning process.

Reference

Moving Ahead for Progress in the 21st Century
Final Report on Future Direction for Regionally Coordinated Transportation Planning in Texas (Dec. 2013)
Federal Transit Administration circular 9070.1G, June 6, 2014

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SECTION TWO: LEAD AGENCY RESPONSIBILITIES

III. CONTENT OF THE PLAN

Course of Action: Lead agencies must ensure the coordinated plan identifies strategies, activities and/or projects to address overlaps and gaps between current public transportation services and transportation needs of the public including priority population groups.

Lead agencies must do the following to comply with requirements concerning content of the coordinated public transit / human services transportation plan:

1. Develop a vision statement, mission statement, goal, and objectives.
2. Describe the methodology used to develop the plan.
3. Assess & describe how the plan will a) complement & be consistent w/other metropolitan, regional & statewide planning processes and, b) promote integration of services of programs funded by Federal Transit Administration, Federal Highway Administration, health & human services agencies, work force agencies & others.
4. Identify financial and labor resources available to execute and sustain the coordinated plan and articulate steps for leveraging multiple resources to sustain this planning process.
5. Use sound methodologies to identify, assess and document the transportation needs of:
 - a. individuals with disabilities.
 - b. individuals 65 and older.
 - c. people with low incomes.
 - d. Children.
 - e. Veterans.
 - f. other members of the public.
6. Identify, assess and document:
 - a. transportation providers including public, private and non-profit transportation providers.
 - b. available transportation services.
 - c. inefficiencies, including overlaps and gaps in services, including services for priority populations listed above under Item 4.
 - d. underused equipment owned by public and private transportation providers; and
 - e. other needs of transportation providers.
7. Identify strategies, activities and/or projects to address the identified gaps between current services and transportation needs, including services that could be more effectively provided by existing, privately funded transportation resources. Identify opportunities to improve efficiencies in service delivery.

8. Prioritize implementation based on resources (from multiple program sources), time, and feasibility for implementing specific strategies and./or activities identified.
9. To the maximum extent feasible, coordinate services under Section 5310 with transportation services assisted by other Federal departments and agencies, including any transportation activities carried out by a recipient of a grant from the Department of Health and Human Services.
10. Develop performance measures to evaluate progress and effectiveness in achieving goals and objectives.

Reference

Moving Ahead for Progress in the 21st Century

Texas Transportation Code 461

Final Report on Future Direction for Regionally Coordinated Transportation Planning in Texas (Dec. 2013)

Federal Transit Administration circular 9070.1G, June 6, 2014

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SECTION TWO: LEAD AGENCY RESPONSIBILITIES

IV. CONSISTENCY WITH OTHER PLANNING PROCESSES

Course of Action: Lead agencies must seek to coordinate with other agencies to integrate the coordinated public transit-human services transportation plan with other planning processes and documents.

Lead agencies must seek to do the following to comply with requirements to integrate the coordinated public transit / human services transportation plan with other planning processes:

1. Either (a) develop the coordinated plan separately from the metropolitan and statewide transportation planning processes and then incorporate into the broader plans, or (b) develop as a part of the metropolitan and statewide transportation planning processes.
2. Integrate the coordinated public transit-human services transportation plan into the metropolitan and statewide transportation planning processes and documents to demonstrate local policy support and federal fund eligibility.
3. If the coordinated plan is not prepared within the broader process, the lead agency should ensure coordination and consistency between the coordinated planning process and metropolitan or statewide planning processes.
4. Communicate with relevant MPOs, state departments of transportation, or regional planning agencies at an early stage in plan development.
5. Coordinate with metropolitan planning organizations and/or States to coordinate schedules, agendas, and strategies of the coordinated planning process with metropolitan and statewide planning in order to minimize additional costs and avoid duplication of effort.
6. Collaboratively identify areas of overlap between the planning processes. Areas of overlap represent opportunities for sharing and leveraging resources between the planning processes for such activities as: (1) needs assessments based on the distribution of targeted populations and locations of employment centers, employment-related activities, community services and activities, community services and activities, medical centers, housing, and other destinations; (2) inventories of transportation providers/resources, levels of utilization, duplication of service, and unused capacity; (3) gap analysis; (4) any eligibility restrictions; and (5) opportunities for increased coordination of transportation services.
7. Coordinate with metropolitan planning organizations and/or TxDOT to set up cycles for plan updates that are conducive to and coordinated with the metropolitan and statewide planning process to ensure that selected projects are included in the TIP and STIP, to receive funds in a timely manner.

Reference

Federal Transit Administration circular 9070.1G, June 6, 2014
Final Report on Future Direction for Regionally Coordinated Transportation Planning in Texas (Dec. 2013)
Federal Transit Administration circular 9045.1 May 1, 2007

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SECTION TWO: LEAD AGENCY RESPONSIBILITIES

V. FREQUENCY FOR UPDATING PLANS

Course of Action: Lead agencies must ensure the coordinated public transit / human services transportation plan is regularly updated to guarantee the plan stays current and relevant.

Lead agencies must seek to do the following to comply with requirements to update the coordinated public transit-human services transportation plan.

1. Assure the coordinated public transit / human services transportation plan is updated, at a minimum, every four years in air quality nonattainment and maintenance areas and five years in air quality attainment areas, following guidance in Section Two: Essential Elements of this Guide.

Reference

Final Report on Future Direction for Regionally Coordinated Transportation Planning in Texas (Dec. 2013)
Federal Transit Administration circular 9070.1G, June 6, 2014

Regionally Coordinated Transportation Planning Guidebook

SECTION TWO: LEAD AGENCY RESPONSIBILITIES

VI. QUALITY ASSURANCE

Course of Action: Lead agencies must ensure the coordinated public transit / human services transportation plan and related plans, studies, research, and other planning activities are produced efficiently and of high quality and produced efficiently.

Lead agencies must do the following to comply with requirements to ensure high quality products:

Develop the Coordinated Plan

1. Ensure consistency with requirements set forth in this Guide.
2. Define roles and responsibilities of those involved in the coordinated planning effort; define background and skills needed to execute planning activities.
3. Ensure that staff and stakeholders have been oriented and have the knowledge and skills sufficient for either 1) developing the coordinated plan, or 2) overseeing development of the coordinated plan, if outsourced. A training program and/or mentoring program may be necessary to accomplish this.
4. Follow sound methodologies to:
 - a. Conduct research to produce qualitative and statistically valid quantitative data; and
 - b. Develop plans, reports and other materials.
5. Share quality assurance policies with stakeholders and allow opportunities for review and comment..

Track Implementation of the Coordinated Plan

6. Track activities identified in the coordinated plan; use milestone progress reports to keep stakeholders informed of (1) the status of activities called for in the plan, (2) new issues and needs, and (3) possible solutions for addressing these needs.

Training

7. Participate in TxDOT-sponsored workshops, trainings and conferences on relevant topics.

Reference

Final Report on Future Direction for Regionally Coordinated Transportation Planning in Texas (Dec. 2013)

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SECTION TWO: LEAD AGENCY RESPONSIBILITIES

VII. TRAINING

Course of Action: Lead agencies must ensure that staff receive training for developing, adopting and updating the coordinated public transit / human services transportation plan and related plan.

Lead agencies must do the following to comply with requirements to ensure high quality products:

Participate in TxDOT-sponsored workshops, trainings and conferences on relevant topics.

Reference

Final Report on Future Direction for Regionally Coordinated Transportation Planning in Texas (Dec. 2013)

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SECTION TWO: LEAD AGENCY RESPONSIBILITIES

VIII. REIMBURSEMENT

Course of Action: Lead agencies must follow Texas Department of Transportation and Public Transportation Division policies and procedures when submitting requests for reimbursement.

Lead agencies must do the following to assure reimbursement:

1. Submit completed request(s) for reimbursement to TxDOT only after execution of the project grant agreement and upon completion of deliverables as specified in the project grant agreement and in accordance with 2 CFR Part 225 (previously Office of Management and Budgets (OMB) Circular A-87) and no more frequently than monthly.
2. Provide TxDOT with completed deliverables as indicated in the project grant agreement (PGA) for TxDOT's review and approval. TxDOT will make no advance payment and will reimburse for only deliverables and other work called for in the project description and terms and conditions of the PGA.
3. Attach a general ledger and appropriate back-up/support documents to the reimbursement request. Reimbursement requests from travel must describe the purpose of travel as it directly pertains to the project, personnel classifications, hourly rates, identification of work to be reimbursed for the payment period, indirect costs, and itemized subcontractor costs. Travel rates must be defined by the agency's travel policy. TxDOT shall determine the acceptability of the general ledger and back-up/support documents.
4. Provide TxDOT with deliverables *at least two weeks in advance* of submitting reimbursement request forms and back-up/support documents to give the TxDOT contract manager ample time to review and approve the deliverables. This submittal must be far enough in advance of the project grant agreement expiration date so that there will be time to address any issues or questions. The lead agency will risk not getting reimbursed if it waits until the very end of the contract period and submit either incomplete or unacceptable deliverables. TxDOT will not reimburse for any work conducted after the PGA expires.

Reference

TxDOT / PTN policies, procedures

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IX. PROCUREMENT

Course of Action: Lead agencies must follow Texas Department of Transportation and their own procurement policies.

Lead agencies must do the following to comply with procurement requirements:

1. Ensure that procurement standards meet or exceed the requirements of the *Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments* as found in 49 CFR Section 18.36 or the *Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and Other Non-Profit Organizations* found in 49 CFR Sections 19.40 – 19.48.
2. Obtain TxDOT's prior authorization and consent to issue a solicitation or enter into a contract involving professional services and/or purchase of equipment that meets or exceeds the threshold for formal competitive procurement under the Government Choice or Local Government Code (the threshold is \$50,000 for entities covered under the Government Code or Local Government Code; the threshold is \$25,000 for those entities not covered by the Government Code or Local Government Code). Purchases cannot be split up to stay below the threshold amount. TxDOT uses TxDOT Form 124 to monitor procurement practices. Agencies may reference this form for general guidance for purchases below the TxDOT monitoring threshold. To be clear, agencies using FTA funding must always meet FTA procurement requirements regardless of whether TxDOT monitors the procurement.

Reference

TxDOT / PTN policies, procedures

Regionally Coordinated Transportation Planning Guidebook

SECTION TWO: LEAD AGENCY RESPONSIBILITIES

X. PERFORMANCE EVALUATION

Course of Action: Lead agencies must collect, maintain, and assess data to evaluate effectiveness of the coordinated public transit / human services transportation planning effort

Lead agencies must do the following to comply with evaluation requirements:

Local Performance Metrics

1. Collaborate with stakeholders to develop & include in the coordinated plan a metric for each identified gap in transportation service or local service priority. Each metric shall objectively measure the extent to which each priority was met or gap filled. Metrics may vary from one planning region to another. However, each region's metrics shall demonstrate that individuals in the region, including persons 65 & older and individuals with disabilities, have improved access to an effective & efficient network of public transportation services.
2. Collect, maintain and assess data on these local performance metrics.

Statewide Performance Metrics

3. Collect, maintain & provide data on statewide performance measures to the Texas Dept. of Transportation which will collect common data elements statewide. Data must include:

Collaborate

- 3.1. Number of active, formal partnerships.
- 3.2. Number of persons engaged in transportation planning & education activities

Identify Gaps & Inefficiencies

- 3.3. Number of:
 - a. Gaps & inefficiencies identified in the coordinated plan, including those concerning priority population groups.
 - b. Recommended actions in the coordinated plan for resolving these gaps & inefficiencies.

Resolve

- 3.4. Number of items in the plan that *move* from a *planning* to *implementation* phase
- 3.5. Number of activities identified in the coordinated plan that are:
 - a. Underway, but not completed.
 - b. Completed.

Reference

Federal Transit Administration circular 9070.1G, June 6, 2014
Final Report on Future Direction for RCTP in Texas (Dec. 2013)
Recommendation of Statewide Working Group

Regionally Coordinated Transportation Planning Guidebook

SECTION TWO: LEAD AGENCY RESPONSIBILITIES

XI. FUNDING OPPORTUNITIES

<p><u>Course of Action:</u> Lead agencies must comply with TXDOT funding policies.</p>
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Lead agencies must do the following to comply with requirements to receive funding to develop or update the coordinated plan:

1. Apply for federal and/or state funds available through TxDOT.
2. Ensure eligibility by providing:
 - 2.1. Documentation of the agency's lead agency status as selected by local stakeholders. Stakeholders may keep the same lead agency or designate a new one at any time. Lead agencies must provide documentation of re-confirmation by stakeholders, at a minimum every 4 or 5 years, *before* submitting a funding application to update the plan.
 - 2.2. Documentation of efforts to identify and leverage other resources to support this effort and demonstrate an acceptable degree of past and future local financial commitment to sustain the effort. TxDOT will give preferences to agencies that leverage other resources to support these activities.
 - 2.3. Certification of having the legal financial and technical capacity to carry out coordinated planning activities.
 - 2.4. Current signed federal certifications and assurances.
 - 2.5. Master grant agreement with TxDOT.
 - 2.6. Current approved cost allocation plan, including:
 - a. Indirect cost approval letter from the lead agency's cognizant agency
 - b. Cost allocation plan.
 - c. Certification of Indirect Costs.
 - 2.7. Current FTA-compliant Title VI plan.
 - 2.8. Ethics Certification.
 - 2.9. Current DUNS number.
 - 2.10. Completed funding application.
3. Supply additional information as requested.

Reference

TXDOT / PTN policies / guidance

Regionally Coordinated Transportation Planning Guidebook

SECTION THREE: TXDOT RESPONSIBILTIES

I. FUNDING OPPORTUNITIES

<p><u>Course of Action:</u> TxDOT shall adhere to TxDOT and Public Transportation Division funding policies and requirements.</p>

TxDOT shall:

1. Provide funding to lead agencies:
 - 1.1. Every five years for major updates to the coordinated plan; and
 - 1.2. During interim years to collect, maintain and report data on statewide performance metrics and
2. Provide opportunities for funding for additional planning activities to implement activities called for in the coordinated plan (this funding shall not be limited to lead agencies).
3. Coordinate and administer coordinated planning funding opportunities and grants:
 - 3.1. Announce funding opportunities.
 - 3.2. Review funding applications.
 - 3.3. Maintain electronic grant application forms.
 - 3.4. Prepare and present minute orders to the Texas Transportation Commission;
 - 3.5. Negotiate, develop and approve all project grant agreements.
 - 3.6. Ensure compliance of lead agencies with eligibility and program compliance.
 - 3.7. Approve all amendments and budget revision prior to execution or approval.

Reference

TxDOT / PTN policies / guidance
Texas Transportation Code 461

Regionally Coordinated Transportation Planning Guidebook

SECTION THREE: TXDOT RESPONSIBILITIES

II. PROGRAM MONITORING

Course of Action: TxDOT shall assess whether state and federal requirements are met.

TxDOT shall:

1. Establish internal control structures, oversight procedures, and forms for the routine gathering of information on all aspects of a coordinated transportation planning grant.
2. Ensure compliance with state and federal rules and regulations by regularly observing and recording activities authorized by the grant agreement. These activities are examined through: periodic evaluations as required such as annual audits (if applicable); master grant agreements; applications; certifications and assurances; project grant agreements; general oversight requirements, and; quarterly progress reports. Ensuring compliance includes:
 - 2.1. Assuring the following are in place prior to entering into a contractual agreement: Current signed federal certifications and assurances; current master grant agreement with TxDOT; current approved cost allocation plan including indirect cost approval letter from the lead agency's cognizant agency, cost allocation plan, and certification of indirect costs; current FTA-compliant Title VI plan; ethics certification; current DUNS number; completed funding application.
 - 2.2. Monitoring grant activities (see Quality Assurance section)
 - 2.3. Proper, timely contract close-outs including final billings
3. Retain documentation of monitoring activities.
4. Cooperate with FTA on any review of RCTP program by providing evidence of activities during the state management review.

Reference

TxDOT / PTN policies and procedures

Regionally Coordinated Transportation Planning Guidebook

SECTION THREE: TXDOT RESPONSIBILTIES

III. GUIDANCE, TECHNICAL ASSISTANCE AND PROFESSIONAL EDUCATION

Course of Action: TxDOT shall offer timely guidance, technical assistance and professional education opportunities to lead agencies.

TxDOT shall:

1. Assess technical assistance and professional education needs of lead agencies.
2. Plan and conduct orientation sessions, workshops, trainings, conferences and other professional education activities and opportunities for lead agency staff and other stakeholders.
3. Prepare and distribute materials to lead agencies.
4. Evaluate guidance, technical assistance, and professional education activities and materials.

Reference

Final Report on Future Direction for Regionally Coordinated Transportation Planning in Texas (Dec. 2013)

Regionally Coordinated Transportation Planning Guidebook

SECTION THREE: TXDOT RESPONSIBILITIES

IV. OUTREACH & COMMUNICATION

Course of Action: TxDOT shall engage with diverse organizations to collaboratively plan for coordinated transportation services.

TxDOT shall:

1. Engage human services staff in TxDOT planning activities.
2. Encourage TxDOT staff to participate in health and human services planning and advisory committees.
3. Encourage lead agency staff to participate in health and human services planning and advisory committees.
4. Urge executive directors of other state agencies to encourage their staff to participate in each regional transportation planning effort.
5. Regularly share relevant and timely information with lead agencies and other stakeholders through the Regional Service Planning websites (<http://dev.regionalserviceplanning.org/>), newsletters, and other effective means of communication.
6. Collaborate with various state agencies to track, compile and report data on how much money each agency spends on transportation and who makes the decisions on how transportation dollars are spent.

Reference

Final Report on Future Direction for Regionally Coordinated Transportation Planning in Texas (Dec. 2013)

Regionally Coordinated Transportation Planning Guidebook

SECTION THREE: TXDOT RESPONSIBILITIES

V. QUALITY ASSURANCE

Course of Action: TxDOT shall ensure coordinated plans are of high quality and produced efficiently.

TxDOT shall:

Local / Regional

1. Ensure consistency with requirements set forth in this Guidebook.
2. Define roles needed to execute planning activities.
3. Review lead agencies' milestone progress reports on the status of activities called for in the coordinated plan; respond to lead agencies' needs for guidance and technical assistance.
4. Review deliverables to assure they are produced according to contractual agreements.
5. Certify that coordinated plans were developed and approved through a process that included participation by seniors, individuals with disabilities, representatives of public, private, and nonprofit transportation and human services providers, and other members of the public

Statewide

6. Follow sound methodologies to (a) conduct research to produce meaningful, statistically valid data, and (b) develop plans, reports and other materials.
7. Participate in training and other professional education opportunities.

Reference

Final Report on Future Direction for Regionally Coordinated Transportation Planning in Texas (Dec. 2013)

Regionally Coordinated Transportation Planning Guidebook

SECTION THREE: TXDOT RESPONSIBILTIES

VI. REIMBURSEMENT

Course of Action: TxDOT shall follow department and division policies and procedures when reviewing and processing requests for reimbursement.

TxDOT shall:

1. Process reimbursement requests and refunds from lead agencies by established deadlines in the Master Grant Agreement.
2. Develop and maintain reimbursement request materials as well as reporting and monitoring tools.
3. Verify reimbursement requests and accompanying deliverables for accuracy, completeness, and compliance with terms of the project grant agreement. Return incomplete reimbursement request forms and deliverables to the lead agency.
4. Conduct a timely review of deliverables.

Reference

TxDOT / PTN policies / guidelines

**Regionally Coordinated Transportation Planning
Guidebook**

SECTION THREE: TXDOT RESPONSIBILITIES

VII. IDENTIFICATION OF VEHICLES CAPABLE OF CONTINUED SERVICE

Course of Action: TxDOT shall identify vehicles proposed for disposal by public transportation providers that may have potential for continued use to help ensure maximum use of public transportation equipment.

TxDOT shall:

1. Collect and maintain data on vehicles proposed for disposal by public transportation providers that may have potential for continued use.
2. Share information on underused equipment with public transportation providers.

Reference
Texas Transportation Code 461

Regionally Coordinated Transportation Planning Guidebook

SECTION THREE: TXDOT RESPONSIBILITIES

VIII. ALLOCATION OF SERVICES AND SERVICE AREAS

Course of Action: TxDOT shall encourage public transportation providers to agree on the allocation of specific services and service areas among the providers to help eliminate waste and maximize efficiency in the provision of public transportation services in order to promote integrated and efficient transportation services.

TxDOT shall:

1. Encourage rural and urban transit districts to work together to provide such transportation services as needed that may cross transit district boundaries. TxDOT will also encourage rural and urban transit districts to contract with agencies providing client services to customers for health and human services, and workforce services, to provide transportation services for their clients. TxDOT encourages transit districts to work together on providing such services that cross district boundaries.
2. Allocate funding grants based upon the population and land area for rural transit districts, and based upon population for urban transit districts, as described and authorized in Federal and Texas statute and regulations. The geographic areas for transportation services supported by these grants for the rural and urban transit districts will be as described in their respective funding applications to TxDOT.
3. Provide analysis or other assistance in discussions between transit districts about services that cross district boundaries as requested, but not act as an arbiter in settling disputes.

Reference

Texas Transportation Code 461

Regionally Coordinated Transportation Planning Guidebook

SECTION THREE: TXDOT RESPONSIBILITIES

IX. PERFORMANCE EVALUATION

Course of Action: TxDOT shall collect, maintain and assess data, especially for seniors and people with disabilities.

TxDOT shall:

2. Collaborate with state and local stakeholders to develop statewide performance measures.
3. Identify data needs and methodologies for collecting, maintaining and assessing this data.
4. Collect and maintain data.

Collect data available from local lead agencies

- a. Collect data available from local lead agencies; and
 - b. Conduct research to collect additional data not available through local lead agencies
5. Assess and use data to inform decisions on program development, planning and funding.

Reference

Moving Ahead for Progress in the 21st Century
Final Report on Future Direction for Regionally Coordinated Transportation Planning in Texas (Dec. 2013)

Regionally Coordinated Transportation Planning Guidebook

SECTION FOUR: REFERENCE

MISCELLANEOUS GUIDANCE MATERIALS

- Tab 1** – Regional Service Planning Web Page
- Tab 2** - Final Report TxDOT Working Group Facilitated Process: Future Direction for Regionally Coordinated Transportation Planning in Texas
- Tab 3** – Success Stories
- Tab 4** – Master Grant Agreement (Sample)
- Tab 5** – FTA Fiscal Year 2014 Certifications and Assurances
- Tab 6** – Procurement Checklist; Procurement Circular (49 CFR 18.36); Procurement Standards
- Tab 7** – Health & Human Services Org Chart; Regional Boundaries Map; Quick Resource Guide
- Tab 8** – Texas Dept. of Aging and Disability Services (DADS), Various Maps and Contact Information
- Tab 9** – Texas Dept. of Assistive & Rehabilitative Services (DARS), Program Descriptions, Contact Information & Map
- Tab 10** – Texas Department of State Health Services, Regional Case Management Contact Information
- Tab 11** – Texas Workforce Development Board, Contact & Misc. Information
- Tab 12** – Texas Veterans Commission and Veteran County Service Officer Contacts
- Tab 13** – Texas Center for Independent Living, Map & Contact Information
- Tab 14** –Glossary