Guide to Completing the Five-Year Community Transportation Service Plan (CTSP) Process

Note: The Five-Year Community Transportation Service Planning Guide should not be confused with the Five-Steps to local coordinated planning. Approved Local coordinated human service-public transportation plans are required with Sections 5310, 5316 and 5317 grant funding

GOALS of the planning process

To identify, evaluate, develop, recommend and implement strategies that provide planning elements for meaningful mobility options for the general public and targeted populations by allowing passengers to travel where and when they want and need to go. This community transportation plan must be developed through a public education and involvement process that includes the general public, private and non-profit transportation providers, human service providers and targeted populations that include individuals with low incomes and limited English proficiency (LEP). The result of this planning effort should produce an overall goal that the community can support.

USE of five-year plan

This document will be the principle road map in the accomplishment of the following:

- Development and promotion of transit options that provide meaningful alternatives to citizens and connectivity of transportation services throughout the state;
- Development and promotion of the full integration of the community transportation system's programs with other federal and state programs supporting public and human service transportation.
- Improve the efficiency and effectiveness of federal/state funded transportation programs
- Support and promote the coordination of public transportation services across geographies, jurisdictions, and program areas for the development of a seamless transportation network

- Support the provision of dependable mobility transportation options to the general public, low income individuals, elderly persons, and/or persons with disabilities within the guidelines and funding levels provided by NCDOT and FTA

- Support and encourage defensible, results-based budget requests and submissions from systems to NCDOT for funding.

OBJECTIVES for cost participation by NCDOT

⇒ Promote the development and availability of transportation services throughout the state, in partnership with local officials, public and private non-profit agencies, and operators of transportation services, and members of the public

⇒ Improve the efficiency and effectiveness of federal/state funded transportation programs

⇒ Support and promote the coordination of public transportation services across geographies, jurisdictions, and program areas.

⇒ Provide dependable transportation to the general public, low income individuals, elderly persons, and/or persons with disabilities within the guidelines and funding levels provided by NCDOT and FTA

⇒ To further support the mission, goals and values established by the North Carolina Department of Transportation.

ELEMENTS essential for CTSP development

Public Involvement Plan

Public involvement should solicit general information, comments and ideas about existing and future transit service and user needs from the general public.

Study Vision Statement, Goals and Objectives

Develop study vision statement, based on the study area characteristics, existing service and prior planning work. Include specific goals and objectives for the study, including both policy and funding goals for short (5-year) and long-range (10-year) needs.

Data collection

Prepare analysis of data collected from existing sources related to the study area and current characteristics of transit system.

Project Development

Comprehensive assessment of all available reports/studies/policies for the purpose of compiling a list of needs identified to date and identifying needs and issues that may need to be reexamined.

Plan Development Process and Tracking

Consultant will submit reports on the status of each tasks included in the final scope of work using the attached Tracking Format. (Appendix C)

Transit Demand Analysis

Analyze the mobility needs of transit system and population and estimate the potential short, mid, and long range ridership of transit service.

Transit System, Capital, Institutional/Management, Financial and Development Alternatives

Develop potentially feasible alternatives for short and long range needs.

Implementation plan

Prepare an implementation plan outlining each step and providing a timeline of the actions necessary to successfully implement the improvements identified in the CTSP.

OPPORTUNITIES for funding request

The Public Transportation Division will process requests for funding based on the following:

Regionalization Studies or Urban-Nonurban Consolidation Studies
Single County Plans or Plan Updates
Regional Feasibility Studies

Please contact your assigned Mobility Development Specialist for other transportation planning study opportunities for your region.

FIVE-YEAR Planning Study Process

Step 1 – Pre-Call for Project Notification

The Public Transportation Division (PTD) will submit an email notification on its CTP list serve notifying all transit systems of the upcoming twice yearly 5-Year CTSP Call for Projects. ***(This process will be initiated twice yearly in February and August)***

Step 2 – Initiation Email

The Public Transportation Division (PTD) will submit an initiation email to the transit systems identified for planning studies based on the defined priorities. The email will request that the identified transit systems acknowledge their interest in participating in the Five Year CTSP program. If so, the transit system must submit an engagement letter (Step 3) addressed to Denese Lavender with a copy sent to their assigned Mobility Development Specialist. (***This process will be initiated twice yearly in March and September.)***

Step 3 – Transit System Submits Engagement Letter (10% Match and Resolution)

The engagement letter must be submitted on official letterhead stating their request to participate in a five-year CTSP program. The letter should also indicate that 10% local matching funds are available including an adopted resolution indicating evidence of local support for the study.

Step 4 – Notification of Participation (NOP)

PTD will submit a Notification of Participation to affected transit systems of its selection to participate in the Five Year CTSP Program.

Step 4a – Five-Year CTSP Program Packet

PTD will enclose with the Notice of Participation (NOP) the Five-Year CTSP Program Packet which includes the following:

Tab 1	Notice of Participation Letter
Tab 2	Timeline of Activities for CTSP
	Timeline of Activities for Regional Feasibility Study
	Timeline of Activities for Performance Plan
Tab 3	Roles and Responsibilities for CTSP
Tab 4	Guide to Completing the Five-Year Community Transportation Service Plan (CTSP) Process

Tab 5 CTSP Scope of Work
Regional Feasibility Study Scope of Work
Tab 6 Notice to Proceed Template
Tab 7 Consultant Information Sheet
Tab 8 Community Transportation Web Resources
Tab 9 Community Transportation Data Set Resources
Tab 10 Contact Information Form

Appendix A Sample Resolution
Appendix B Sample Pre-Scoping Conference Call Agenda
Appendix C Sample Scoping Meeting Agenda
Appendix D Performance Plan – Business Practices Questionnaire and Employee Information Questionnaire

Step 4b – LSA Firm is Selected

PTD will coordinate with the transit system to select a LSA Firm from PTD's Limited Services Agreement Contract.

Step 5 – Pre-Scoping Conference Call

PTD will schedule a pre-scoping conference call to include, for example, the assigned Mobility Development Specialist, transit system representative, Transportation Advisory Board representative, Local Government Representative for the purpose of establishing goals and objectives of study prior to meeting with the LSA Firm.

Step 5b – Steering Committee Members – Contact Information Form (Appendix A)

The local transit system stakeholders will establish a Five Year Community Transportation Service Plan Steering Committee prior to the issuance of a Notice to Proceed (NTP) by PTD. A Contact Information Form must be completed by the Transit System to include:

- Primary Contact Information
- Transit System Contact Information
- County Contact information
- Other Staff Contact information
- Any Agency or Organization Contact Information
- Steering Committee Member Contact Information

- Composition of the steering committee would include representatives from (Appendix B):
  - Transit System Riders (Passengers)
  - Transportation partners (local and regional e.g. RPO and MPO)
  - Advocacy groups
  - Human service provider
  - Private providers
  - Bi-lingual translators and Signers
  - Other interested groups
  - Assigned Mobility Development Specialist

Step 6 – Scoping Meeting – Review and Develop Draft Scope of Work

The general scope of work is designed to be modified to accommodate the needs of single county systems, regional systems, single counties that are considering becoming regional systems and plan updates. All tasks outlined in the general scope of work may not be needed for final scope of work.

The Scoping Meeting is an on-site review and development session for PTD, LSA firm and Transit System staff to begin development of the final scope of work. PTD recommends the participants of the scoping meeting conduct a 'Ride About' through the community to conduct a preliminary needs assessment and observe transit gaps and concerns.

Step 7 – Final Scope of Work

The transit system will select one of the consultants or consulting firms for which there exist a Limited Service Agreement (LSA) with the Public Transportation Division, then a PTD staffer will prepare an in-house estimate based upon the approved scope of work. A cost comparison between the in-house estimate and the consultant cost estimate will determine if negotiations to resolve differences greater than those allowed by NCDOT should take place.

Step 8 –Notice to Proceed

Once PTD has reviewed and approved the final scope of work and cost estimate, PTD and the approved LSA firm will execute a Notice to Proceed and submit it to the approved LSA consulting firm authorizing them to commence work on the project.

Step 8a – LSA firm submits sealed cost-estimate

Prior to execution of Notice of Proceed between PTD and LSA Firm, a sealed cost estimate will be submitted by the LSA Firm to be evaluated by NCDOT Professional Services Management Unit.

Step 8b – In-House Cost Estimate

PTD will develop an in-house cost estimate to be submitted to NCDOT Professional Services Management Unit to be negotiated based on comparison to sealed cost estimate submitted by LSA Firm.

Step 8c – Notice to Proceed is signed by FM and LSA Firm

Once the Notice to Proceed is signed by PTD and LSA Firm, Financial Management will authorize the disbursement of funds for project.

Step 8d – Transit system submits 10% match

Transit system submits 10% match to PTD prior to issuance of Notice to Proceed.

Step 9 – CTSP Planning Process

MDS will coordinate with the LSA Firm and Transit System in the development of the CTSP. MDS will be responsible for reviewing and approving invoicing, tracking and reporting review and oversight of LSA Firm throughout the planning process.

Step 9a – PTD verifies rates and cost

PTD Financial Management will verify rates and cost submitted by the LSA Firm to maintain accuracy and compliance with the contract terms.

ROLES and Responsibilities

Steps	Primary Tasks	Timeline in Weeks	Responsible Party	Comments	Result
1	Pre-Call for Project Notification	4	PC	Email notice is distributed to transit systems to inform them of upcoming twice annual Call for Projects	Email on CTP list serve
2	Submit Initiation memorandum and e-mail to transit systems	Submitted twice yearly in **March** and **September**	PC	Transit systems will be notified of CTSP program	Memo and email submitted by PTD
3	Engagement Letter *(10% match commitment and resolution)*	4	Transit System	Systems may need up to 30 days to get approval for 10% match and adopted resolution	Engagement letter received with 10% commitment and resolution from Transit system
4	Notification of Participation (NOP)	2	PTD Asst. Director	Letter to transit system(s) notifying them of their selection into the CTSP program	PTD sends Notice of Participation letter
4a	*CTSP Program Packet (3-ring binder) submitted with NOP letter*		**MDS**	CTSP Program Packet contains; Guide to CTSP Process, general scope of work, draft contract, contact information form (see 5a below), data set resources & LSA firm information	Transit system will receive packet to assist them in the scoping process
4b	*LSA Firm is selected for project*		PC	PC coordinates with transit system to select from available consultant firms pre-approved on LSA	Selected LSA firm
5	Pre-Scoping Conference Call	1	**MDS**	Conference call between PC, **MDS,** Transit System and TAB representative to establish goals and objectives of study prior to development of scope	Project goals and objectives
5a	*Contact Information Form*	3	Transit System	Transit system will identify steering committee members	Completed Contact Information Form submitted to **MDS** for review.
6	Scoping Meeting	3	**MDS**	On-site meeting with **MDS**, Transit system and LSA firm to include a 'Ride About' service area.	Draft Scope of Work
7	Final Scope of Work	2	LSA firm	**MDS** and Transit System will review final scope of work for approval	Final Scope of Work

8	Notice to Proceed	2	FM	FM will execute Notice to Proceed with LSA firm	Executed Notice to Proceed
8a	*LSA firm submits sealed cost-estimate*		LSA Firm	Sealed cost-estimate is submitted to FM to be submitted to NCDOT PSMU	Approved project cost
8b	*In-House Cost Estimate*		PC	PTD will complete an in-house cost estimate to be submitted to PSMU for review	Final approved cost estimate
8c	*Notice to Proceed is signed by FM and LSA Firm*		PSMU	FM will authorize the disbursement of funds for projects	Final executed Notice to Proceed
8d	*Submit letter to transit system requesting payment of 10% match*		PC	Transit system submits 10% match to PTD prior to issuance of Notice to Proceed	10% match submitted
9	**MDS** coordinates with LSA firm and Transit System in the development of CTSP	6-18 months	**MDS**	**MDS** will be responsible for the invoicing, tracking and reporting, review and oversight of LSA firm throughout the planning process	Approved CTSP
9a	*FM reviews and verifies rates and cost submitted by LSA Firm*		FM	FM verifies rates and cost for accuracy and compliance.	Authorization to pay invoice

	KEY
PC	Planning Coordinator
PTD	Public Transportation Division
MDS	Mobility Development Specialist
FM	Financial Management
LSA Firm	Limited Services Agreement Firm
CTP	Community Transportation Program
TAB	Transportation Advisory Board
PSMU	Professional Services Management Unit

Appendix A

Contact Information Form

Completion of this form is essential in receiving a Notice to Proceed and should be submitted to your assigned Mobility Development Specialist within three (3) weeks of receipt of the Notice of Participation from NCDOT. Once this information is received, your assigned Mobility Development Specialist will contact the Primary Contact listed to discuss next steps. If you have any questions, contact your assigned Mobility Development Specialist for assistance.

1 **TRANSIT SYSTEM** _____ **MPO/RPO:** _____ **HWY DIVISION:** _____

2 **PRIMARY CONTACT. Please name the individual to whom NCDOT will directly communicate for the planning study.**

Name:		**Title:**		**Department:**			
Address:			**Phone:**		Fax		
City:		**State:**	NC	**Zip Code:**		**Email:**	

3 **ADDITIONAL CONTACT. Please name the senior staff member responsible for the results of the project.**

Name:		**Title:**		**Department:**			
Address:			**Phone:**		Fax		
City:		**State:**	NC	**Zip Code:**		**Email:**	

4 **OTHER STAFF. Please provide information on other staff involved in the planning study.**

Organization	Name	Title	Address	Zip Code	Phone Number	Email

5 **If you know of any AGENCY or ORGANIZATION that will be assisting in the planning study please provide their contact information here. (COG, MPO, RPO, etc.)**

Agency/Organization Name	Name	Title	Address	Zip Code	Phone Number	Email

6 **STEERING COMMITTEE MEMBERS. Please list any individuals/agency representatives you may consider appointing to assist in the plan development.**

Name	Title	Agency/Organization Associated with:	Address	Zip Code	Phone Number	Email

Appendix B

STEERING COMMITTEE COMPOSITION

Composition of steering committee should include groups and organizations such as the following in the coordinated planning process, if present in the community:

Transportation Partners

- Area transportation planning agencies, including rural planning organizations, metropolitan planning organizations, councils of government, regional councils, associations of governments, local governments and NCDOT;
- Public transportation providers (including Americans with Disabilities Act (ADA) paratransit providers and agencies administering the projects funded under FTA urbanized and nonurbanized programs);
- Private transportation providers, including private transportation brokers, taxi operators, vanpool providers, school transportation operators and intercity bus operators;
- Nonprofit transportation providers;
- Past or current organizations funded under the JARC, Section 5310, and/or New Freedom programs; and
- Human service agencies funding, operating and/or providing access to transportation services.

Passengers and Advocates

- Existing and potential riders, including both general and targeted population passengers (individuals with disabilities, older adults and people with low incomes);
- Protection and advocacy organizations;
- Independent living centers; and
- Advocacy organizations working on behalf of targeted populations.

Human Service Partners

- Agencies that administer health, employment or other support programs for targeted populations. Examples of such agencies include, but are not limited to, departments of social/human services, employment one-stop services; vocational rehabilitation, Workforce Investment board, Medicaid, community action programs , agency on aging, developmental disability council, community services board;
- Nonprofit human service provider organizations that serve the targeted populations;
- Job training and placement agencies;
- Housing agencies;
- Health care facilities; and
- Mental health agencies.

Others

- Security and emergency management agencies;
- Tribes and tribal representatives;
- Economic development organizations;
- Faith-based and community-based organizations;
- Representatives of the business community (e.g., employers);
- Appropriate local or state officials and elected officials;
- School districts; and
- Policy analysts or experts.

Appendix C

COMMUNITY TRANSPORTATION SERVICE PLAN DEVELOPMENT PROCESS AND TRACKING

STUDY PHASE 1– Generally begins with the study kickoff meeting which must take place within 30 days of the issuance of the Notice to Proceed and ends with the assessment of available resources.

PHASE I	Task Description	Comments	Results
Task # ( )			
Task # ( )			
Task # ( )			
Task # ( )			
Task # ( )			
Task # ( )			
Task # ( )			
Task # ( )			
Task # ( )			
Task # ( )			
Task # ( )			
Phase 1 Deliverables			
Date by which all Deliverables are due			
Payment due ( ) % of Approved Total Cost			
Notes:			

STUDY PHASE II– Generally begins after the successful, timely completion of Phase l tasks and ends with the issuance of the first draft report of findings

PHASE II	Task Description	Comments	Results
Task # ( )			
Task # ( )			
Task # ( )			
Task # ( )			
Task # ( )			
Task # ( )			
Task # ( )			
Task # ( )			
Task # ( )			
Task # ( )			
Task # ( )			
Phase II Deliverables			
Date by which all Deliverables are due			
Payment due ( ) % of Approved Total Cost			
Notes:			

STUDY PHASE III- Generally begins after the successful, timely completion of Phase II tasks and ends with the issuance of the first draft report.

PHASE III	Task Description	Comments	Results
Task # ( )			
Task # ( )			
Task # ( )			
Task # ( )			
Task # ( )			
Task # ( )			
Task # ( )			
Task # ( )			
Task # ( )			
Task # ( )			
Task # ( )			
Phase III Deliverables			
Date by which all Deliverables are due			
Payment due ( ) % of Approved Total Cost			
Notes:			