

**North Carolina  
Department of Transportation**



**Rural Operating Assistance Program  
State Management Plan**

**N.C. Department of Transportation**  
Public Transportation Division  
1550 Mail Service Center  
Raleigh, NC 27699-1550  
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**STATE RURAL OPERATING ASSISTANCE PROGRAM**  
**North Carolina Department of Transportation**  
**Public Transportation Division**

**Introduction**

The Rural Operating Assistance Program (ROAP) is a state funded public transportation grant program administered by the North Carolina Department of Transportation Public Transportation Division (NCDOT-PTD). ROAP includes the following programs:

- Elderly and Disabled Transportation Assistance Program (EDTAP)
- Employment Transportation Assistance Program (EMPL)
- Rural General Public (RGP) Program

ROAP funds and any additional funds supplementing the ROAP programs are allocated to each county by a formula. As a general rule, each county is eligible to receive an allocation from each program; however, counties that do not provide transportation services to the general public are not provided a RGP allocation. ROAP funds are to be used for the operating cost of trips, but not for administrative or capital costs. All eligible ROAP recipients must submit an annual application to receive ROAP funds.

It will be the responsibility of the eligible ROAP recipients to sub-allocate and distribute the funds to the community transit system and/or local agencies and organizations as allowed within the program guidelines. It is the intent of the program that these funds will be used to provide transportation when other funding sources are not available. The General Assembly must have an approved and certified state budget before ROAP funds can be disbursed. The period of performance will remain July 1 to June 30 regardless of the dates the ROAP funds are disbursed to eligible recipients.

## **I. General Guidelines**

### **A. Eligible Recipients**

All one hundred (100) North Carolina counties are eligible to receive a formula-based allocation for EDTAP and EMPL funds. Only those counties providing transportation services to the general public will receive a RGP allocation. ROAP funds will be disbursed by NCDOT-PTD to the county or to a regional public transportation authority created pursuant to Article 25 or Article 26 of Chapter 160A of the General Statutes upon written agreement with the municipalities or counties served. No ROAP funds will be disbursed to any sub-recipients selected by the county or authority. The county finance officer or the executive director of an eligible authority will be responsible for program administration at the local level. This responsibility cannot be delegated to any designee.

### **B. Allocation of ROAP Funds**

ROAP funds are allocated to each county by formula. The annual allocation for ROAP programs are listed, by county, in a separate document of the application package. The methodology for calculating these allocations is described in the Program Guidelines section. The county will be required to complete semi-annual reports that account for the use of the ROAP funds and calculate whether there are unspent funds to be returned to NCDOT-PTD. Any unspent funds that are returned to NCDOT-PTD will be rolled over in to the next available fiscal year and allocated by the appropriate formula among all the counties with that year's ROAP Program funds.

### **C. Application for ROAP Funds**

County governments or regional public transportation authorities created pursuant to Article 25 or Article 26 of Chapter 160A of the General Statutes (upon written agreement with municipalities or counties served) are the only eligible applicants for ROAP funds. All eligible recipients must submit an annual application to receive ROAP funds. An eligible recipient has the option of applying for a single program or for all of the programs included in ROAP. Each applicant should carefully evaluate past program expenditures and other operating costs to determine the amount to apply for within each program. A county should only apply for an amount of ROAP funds that can be expended in the 12-month period of performance, as the funds cannot be carried over into the next fiscal year by the county. Total funds should be managed so that services can be continued for the entire 12 months.

The application documents will be posted at the NCDOT Web site at [www.ncdot.gov](http://www.ncdot.gov) by the Communication Office. County Managers, County Finance Officers, the Rural Planning Organizations (RPO) and Transit Directors will be notified by e-mail when the application is available. The application materials are designed to enable PTD staff to better understand the services to be provided and assure that the funds are utilized as intended. Failure to complete any portion of the application may result in processing delays. The county should contact the Mobility Development Specialist assigned to the county if there are questions about the application.

The ROAP Application will not be entered into NCDOT's web-enabled grant system, Partner Connect. Instead, electronic copies of the application documents for ROAP funds must be submitted to the Public Transportation Division of NCDOT on or before the deadline. There will be NO EXCEPTIONS. A checklist will be provided that describes which documents must be received. Electronic copies must be submitted to PTD at [ctptransportation@ncdot.gov](mailto:ctptransportation@ncdot.gov).

### **D. Transportation Service Plans**

Funds distributed by the NCDOT-Public Transportation Division under the ROAP program shall be used in a manner consistent with the county's Coordinated Public Transit – Human Service Transportation Plan, the public transit system's Community Transportation Service Plan (formerly known as a transportation development plan) or its equivalent, and any other transportation development plan in place in the county.

### **E. Public Outreach/Involvement Requirement**

The county or eligible authority must determine what the transportation needs of agencies and individuals are in the county before completing the application. It is important that eligible local agencies and interested citizens have the opportunity to participate in the sub-allocation decision.

Outreach efforts beyond holding a public hearing should be conducted to inform the public including minorities, women, elderly, disabled, Limited English Proficiency (LEP), low income individuals, and persons who are not human service agency clients, about the availability of ROAP funds and to discuss transportation service needs. These efforts should include, but are not limited to presentations to groups, committees, fliers and/or posters. The intent is to remove barriers and conditions that prevent these groups from receiving access, participation and benefits of the ROAP services and activities. ROAP funded services and benefits must be distributed in a non-discriminatory manner. If a sub-recipient receives federal funds, Title VI of the Civil Rights Act of 1964 applies.

### **F. Public Hearing Requirement**

It is required that the Board of County Commissioners hold a public hearing to provide the opportunity for local input regarding the sub-allocation of ROAP funds. A public hearing notice in English must be published in a newspaper having general circulation in the county. The notices **MUST** be published not more than fourteen (14) days, but not less than seven (7) days before the public hearing. In accordance with the DOT LEP Guidance, 70 FR 74087, (December 14, 2005), a public notice will also be published

in Spanish in counties that have 1000 or 5% of their population that speaks Spanish at home, but speaks English less than well. A list of counties that are required to publish the public notice in Spanish is in the Appendix B of this document. Applicants must use the Sample Public Hearing Notice included with the application package. An affidavit of publication and an original copy, not a duplicated copy, of any public hearing notices must also accompany the ROAP application. The public hearing must be accessible to individuals with disabilities in accordance with provisions of the Americans with Disabilities Act of 1990. These provisions include having written material available in alternative, accessible formats upon request, and providing special accommodations at your public hearing, such as a sign language interpreter, as may be requested. The public hearing shall be held at a time of day that affords a majority of the public an opportunity to attend and make comments. Applicants must make the Voluntary Title VI Public Involvement form readily available to all individuals attending the public hearing for ROAP funds. The applicant must submit with the hardcopy of their application all completed Voluntary Title VI Public Involvement forms and must keep a copy for their records.

When an eligible public transportation authority is the applicant the public hearing shall be held at a regular meeting of the authority board. Public notices will be published in all the counties served by the authority.

A Public Hearing Record which has been signed by the Clerk of the Board and has the county seal on it will accompany the county's ROAP application. A different Public Hearing Record form will be available for the eligible authorities. If any comments were received during the public hearing, then a copy of the signed minutes of the Commissioner's or authority's meeting during which the public hearing took place must be sent to NCDOT – PTD within 90 days of approval.

#### **G. Local Matching Requirement**

EDTAP and EMPL funding can be used to provide up to one hundred percent (100%) of the fully allocated cost of the trip and requires no local match. RGP funds may be used to provide up to ninety percent (90%) of the fully allocated cost of each general public trip. The remaining ten percent (10%) must be provided from fares, local funds or a combination of the two. Excess fares and/or local funds collected after 10% RGP match requirement has been met must be used to provide additional service, not as a source of administrative and capital funds. PTD encourages Community Transportation Systems to keep fares reasonable so as to encourage ridership.

The ten percent local match requirement is based on the actual cost of providing RGP funded trips or other services, not the amount allocated from NCDOT. The example below is provided to help counties understand the local match requirement.

Trip equals 10 miles X \$1.23 per mile (based on fully allocated cost) = \$12.30 cost of trip  
\$12.30 Trip X 0.90 = \$11.07 RGP funding reimbursement  
\$12.30 Trip X 0.10 = \$1.23 fare and/or local funding required to provide service

15,431 RGP miles during yr. X \$1.23 per mile = \$18,980.13 RGP cost of service  
\$18,980.13 X 0.90 = \$17,082.12 RGP funding reimbursement  
\$18,980.13 X 0.10 = \$1,898.01 fares or local funding required to provide service

#### **H. Certifications and Assurances**

The chairperson of the County Board of Commissioners, the County Manager and the County Finance Officer are required to sign a certified statement that describes the roles and responsibilities associated with the application for and acceptance of ROAP funds and guarantees that certain actions will be taken at the county level to properly administer the program. The Certified Statement must be signed, sealed with the county seal and accompany the application in order for ROAP funds to be disbursed. Eligible

authorities will submit a copy of the Memorandum of Understanding they executed with each municipality in their service area with their application. A MOU template will be provided by NCDOT.

### **I. Application Review and Follow-up**

The Mobility Development Specialists (MDS) on staff at NCDOT-PTD will review the documents presented to NCDOT-PTD in the application for correctness and completeness. The MDS will determine if the county is prepared to manage the ROAP funds and whether the county presented plans for services or activities in the application that utilize the funds as intended. The MDS will follow-up as needed with the county finance officer if more details are needed or there is any doubt that the county's plans for use of the funds do not provide for improved services for the targeted populations. The Mobility Section director will review and approve the MDS recommendations.

### **J. Disbursement of ROAP Funds to the County**

ROAP funds will be disbursed to the county or to an eligible transportation authority created pursuant to Article 25 or Article 26 of Chapter 160A of the General Statutes (upon written agreement with the municipalities or counties served). Funds will not be disbursed to any sub-recipients selected by the county or the authority. The General Assembly must have an approved and certified state budget before ROAP funds can be disbursed. The period of performance will remain July 1 to June 30 regardless of the dates the ROAP funds are disbursed to the county. The funds will be disbursed by electronic deposit (ACH) or check. The county is required to provide ROAP Reports after six months and at the end of the period of performance. ROAP funds will NOT be disbursed if the reports from the previous fiscal year have not been received and unspent funds have not been returned. The ROAP funds will not be disbursed all at one time.

### **K. Sub-Allocation Determination**

It will be the responsibility of the county government or an eligible authority to determine how the ROAP funds will be sub-allocated within the county. Sub-allocation of the ROAP funds to the community transit system in the county and/or local agencies must be according to the program guidelines. A Sub-Allocation Worksheet must be completed by each county to document how the ROAP allocations will be distributed locally. This will enable PTD staff to better understand the services the county plans to provide and assures that the funds are utilized as intended. Each county must have and employ a documented methodology for sub-allocating ROAP funds.

There is a Community Transportation System operating in most counties that is receiving federal and state administrative and capital funds to coordinate public transportation services with human service transportation in the county. These transit systems need operating funds in order to provide free or affordable transportation for the elderly, disabled and low income persons in the county that are not receiving transportation benefits from a human service agency or organization. The Community Transit System is an eligible sub-recipient of all ROAP funds. The county should take into consideration the need for and importance of the public transportation services provided by the Community Transportation System when determining the suballocation of the ROAP funds.

If the county or eligible authority decides to disburse/allocate ROAP funds to any county governmental department, the county should be able to account for these funds within the county's or authority's accounting system. If the county or authority passes through any ROAP funds to agencies or organizations, the county or authority should have a written agreement with them that addresses the proper use and accountability for these funds.

### **L. Eligible Expenses and Activities**

**IMPORTANT!** Counties and eligible authorities will NOT be allowed to use ROAP funds for other services including fuel assistance (gas vouchers, gas cards, reimbursement to fuel provider), vehicle repairs or vehicle insurance premiums beginning with the 2012-2013 ROAP Program year.

The fully allocated cost of a trip, which has traditionally been eligible for the EDTAP, EMPL and RGP programs will continue to be eligible. See the Eligible Transportation Expenses Matrix in Appendix A for examples of allowable trip purposes that can be provided under these programs. This matrix *must* be shared with any agency that receives a sub-allocation of ROAP funds to assure that funds are expended according to program guidelines. Community Transportation systems that use ROAP funds to provide trip services must also comply with the regulations of the FTA Section 5311 Program.

#### **M. Cost of Service**

Departments, agencies and/or organizations using ROAP funds to provide services shall determine a billing/reimbursement rate by mile, hour or trip that is based on the fully allocated cost of the service. The fully allocated cost of providing a trip should include both direct costs and shared costs.

For the application, the applicant must calculate the average cost of a trip based on the projected number of trips on the Sub-allocation Worksheets. The average cost of a trip will be the sub-allocation amount divided by the proposed number of trips to be provided. These costs will be compared to the average cost of the trips in other counties to determine whether the cost of the proposed services is reasonable.

#### **N. Contracted Services**

If any ROAP funds are sub-allocated to agencies or organizations other than the Community Transportation System, these other agencies or organizations are encouraged to coordinate ROAP funded transportation trips with the local, federally-funded Community Transportation System in the county. The Community Transit Systems have insurance, vehicle maintenance, driver training and safety standards mandated by the FTA.

Sub-recipients are permitted to use ROAP funds to contract with private transportation providers. Sub-recipients who choose to contract services must follow all state procurement guidelines when selecting a contractor. Sub-recipients should inspect the safety record, service policies and vehicle condition of any private provider being considered. Private providers shall be required to provide documentation that a service was provided on the billed date, by whatever conveyance at the specified cost.

#### **O. Funds Management**

The basic grant/funds management requirements in G.S. 159, *Local Government Finance*, and in the *Policies Manual for Local Governments* apply to ROAP funds. The cost principles of OMB Circular A-87, *Cost Principles for State, Local, and Indian Tribal Governments* and OMB Circular A-122, *Cost Principles for Non-Profit Organizations* also apply to ROAP funds. Additionally, funds must be expended according to the program guidelines in the grant application for eligible program expenses identified.

The period of performance for these funds will be July 1 to June 30. The period of performance will remain the same regardless of the date on which ROAP funds are disbursed to the county. Allowable expenses incurred from July 1 for each program are eligible for reimbursement. Any interest earned on the funds will be retained by the transportation program and must be used for transportation related expenses according to program guidelines. Following receipt of the year-end ROAP Report, NCDOT will invoice the county to collect any ROAP funds not expended by June 30.

#### **Suballocation and Control of Funds**

The county or eligible authority may choose to maintain control of the ROAP funds and reimburse sub-recipients for trip-based services after they have been provided. Or, the county or eligible authority may disburse the ROAP funds to the subrecipients before any trip is provided, assuming the county or authority plans to monitor throughout the period of performance whether the trips and transportation services are being provided to eligible individuals and whether all expenditures are allowable.

### **Continuation of Services throughout the Period of Performance**

The ROAP funds should be managed so that services can be continuously provided during the entire twelve months of the grant cycle. It may be necessary to restrict ROAP services to make the funds last. No additional ROAP funds will be available from the state. The county or eligible authority should budget local funding to avoid discontinuation of any ROAP funded service. The county must notify the assigned Mobility Development Specialist in writing if any ROAP funded service is discontinued because all the funds have been spent before the end of the period of performance. **If RGP funded services are discontinued before June 30 by the Community Transit System, and the county does not provide additional funds to continue the service(s), it will be assumed that the transit system is no longer providing general public service. In this case, the Community Transit System will not be reimbursed for any FTA Section 5311 and/or state CTP funded expenses incurred after the RGP services are discontinued.**

### **Passenger Fares**

Sub-recipients of the ROAP funds may charge passengers a fare for EDTAP, EMPL, or RGP funded services. PTD encourages Community Transportation Systems and agencies to keep fares reasonable so as to encourage ridership. Any fares collected for services will be retained by the transportation program and must be used to meet the matching requirement of a program or to provide additional trips or transportation services.

### **Transferring Funds Between ROAP Programs**

EDTAP and RGP funds cannot be transferred to any other ROAP program. Counties or eligible authorities can transfer EMPL funds, all or in part, to the EDTAP and/or RGP programs. The EMPL funds must be transferred to the Community Transportation System if:

1. The county finance director or the executive director of an eligible authority determines that any subrecipient of EMPL funds has spent 33% or less of their EMPL allocation by December 31st, OR
2. The county finance officer or eligible authority's executive director determines anytime after December 31<sup>st</sup> that any unexpended EMPL funds will not be needed for employment transportation from then until the end of the fiscal year.

Once the funds are transferred to the Community Transportation System, the system will decide whether the funds will be transferred to EDTAP or RGP or used for employment transportation based on their predicted service demands.

The transfer of any funds must be reported in the ROAP reports.

Instead of transferring EMPL funds, ROAP recipients and their community transit systems should strategize ways of accommodating the public's work schedules by operating different hours, creating stops at the community colleges or universities, at JobLink Centers, Vocational Rehabilitation, Employment Security and/or offering voucher programs. In times of high unemployment, consider the people who need transportation to job interviews and re-training.

EMPL funds that are transferred to another program assume the requirements of the program to which they are transferred. Any funds transferred from the EMPL program to the RGP program will have the same matching requirements as any other RGP funds. Additionally, EMPL funds transferred to RGP must be sub-allocated to the Community Transportation System. The county or eligible authority is responsible for billing their sub-recipients for any unspent funds.

### **Transferring Funds Between Counties in a Regional Transit System**

ROAP funds may be transferred between and/or among member counties of a regional transportation system if the county commissioners agree to the transfer. EDTAP and RGP funds must remain within the same program if such funds are transferred between and/or among counties. EMPL funds may be transferred either to the same program or to EDTAP or RGP, but the counties must abide by the transfer policies outlined in the previous section. (*See Transferring Funds Between ROAP Programs*) The annual ROAP Report form includes a Regional Transfer of Funds form and a Regional Receipt of Funds form to document any transfer or receipt of ROAP funds between and/or among member counties of the regional transportation system. The regional transportation systems that are eligible for this additional flexibility are:

- Albemarle Regional Health Services (Inter-County Public Transportation Authority)
- Choanoke Public Transportation Authority
- City of Rocky Mount (Tar River Transit)
- Craven County (Craven Area Rural Transit System)
- Kerr Area Transportation Authority
- Randolph County Senior Adults Association, Inc. (Randolph County Regional Coordinated Area Transit System)
- Yadkin Valley Economic Development District, Inc. (Yadkin Valley Public Transportation)
- Western Piedmont Regional Transit Authority

Session Law 2011-207, House Bill 229 does permit regional public transportation authorities created under Article 25 or Article 26 of Chapter 160A of the General Statutes, upon written agreement with the municipalities served by a public transportation authority or counties served by the regional public transportation authority, to apply for and receive any funds to which the member municipality or counties are entitled to receive based on the distribution formula set out in subsection (d) of this section.

### **Transferring Funds to Match Other Grant Programs**

Subrecipients of ROAP funds are allowed to use their ROAP sub-allocation to leverage more funds by applying for other transportation grants administered by NCDOT-PTD. ROAP funds may **ONLY be used as the local match** for the federal grant programs Section 5310 – Enhanced Mobility of Seniors and Individuals with Disabilities Program and Section 5311 – Non-urbanized Formula Program where operating or purchase of service is an eligible activity. A Call for Applications for these grants and the application documents are posted at least once a year on the NCDOT-PTD website.

### **Transferring Funds Between Sub-recipients**

ROAP funds may be transferred from one sub-recipient to another within the county without NCDOT approval. EDTAP and RGP funds transferred from one sub-recipient to the other must stay within the same ROAP Program. If the transfer is EMPL funds, these funds may be transferred to another ROAP Program at another sub-recipient if all guidelines for EMPL fund transfer are met. A policy or procedure for determining when it is appropriate to transfer funds between sub-recipients should be developed by the county.

### **P. Americans with Disabilities Act of 1990 (ADA)**

Titles II and III of the Americans with Disabilities Act of 1990 (ADA) provide that no entity shall discriminate against an individual with a disability in connection with the provision of transportation service. The law sets forth specific requirements for vehicle and facility accessibility. The passenger trips and transportation services provided with ROAP funds must be accessible to individuals with disabilities and be provided without discrimination on the basis of race, color, national origin, creed, sex or age. Sub-recipients should have procedures for investigating, tracking and documenting complaints. (*See 49 CFR Parts 28 and 37*)

### **Q. Monitoring and Evaluation**

ROAP services should be routinely monitored by the County Finance Officer or the authority's executive director to verify that funds are being spent on allowable expenditures, that the eligibility of service recipients is being properly documented, and that sub-allocated funds will be expended by the end of the period of performance, June 30. The program should also be routinely evaluated to determine whether they are meeting program objectives.

### **R. Reporting Requirements**

Beginning in FY2012, two ROAP Reports will be required per grant cycle. The first report will be due not more than 45 days after the end of the second quarter (Dec 31) of the grant cycle. The final ROAP Report will be due not more than 60 days after the end of the fourth quarter (June 30). The county will be required to report trip and expense data associated with the EDTAP, EMPL, and RGP separately. The report form will be provided by NCDOT – PTD. Completed reports will be returned to NCDOT-PTD or its designee. ROAP funds for the fiscal year will NOT be disbursed if the reports from the previous fiscal year have not been received and unspent funds returned to NCDOT-PTD.

The County Finance Officer must certify and sign the final ROAP Report as it identifies the amount of unexpended funds to be returned to NCDOT. Based on this report, counties are invoiced for any unexpended funds for the given fiscal year. Upon receipt of the invoice for unexpended funds, the finance officer shall immediately reimburse NCDOT. The county may find it useful for agencies that have been sub-allocated ROAP funds to provide monthly or quarterly reports of the expenditure of funds and number of trips provided. Close monitoring by the county finance officer or the authority's director is required in order to ensure appropriate and maximum utilization of all program funds. It is the responsibility of the county finance officer to:

- Record the receipt of ROAP grant funds in a manner that will disclose the source and the purpose/program to which the funds belong, together with evidence of deposit in a financial institution;
- Ensure that ROAP funds and any interest earned on the funds are expended for eligible program expenses, that services are provided to eligible persons, and that written documentation that supports the expenditures is maintained for at least five years;
- Advise any sub-recipients of the source of the funds, specific program requirements, eligible program expenses and reporting requirements;
- Include ROAP funds received and expended in its annual independent audit on the Schedule of Expenditures of Federal and State Awards and identify any of the funds passed through to other agencies;
- Complete and submit the semi-annual ROAP reports; and return unexpended ROAP funds as invoiced by NCDOT.

### **S. Program Auditing and Documentation**

The Public Transportation Division (PTD) is responsible for providing sufficient program monitoring and oversight to ensure that the state funds are used for the intended purpose. PTD will rely upon the semi-annual reporting information that identifies the number of passenger trips, other services and expenditures by program. The department's External Audit Branch compares information in these reports to the ROAP expenses reported in the counties annual independent audit report.

NCDOT's External Audit Branch will do on-site audits of ROAP expenditures. This requires meeting with the county finance officer or the authority's director to obtain documentation of costs reported to NCDOT in the semi annual reporting forms. Common areas of deficiency include inadequate documentation of passenger eligibility and trips. The EDTAP program serves specific populations. Without documentation of eligibility, i.e. passenger is elderly or disabled, the auditor cannot determine if the rider met the program eligibility criteria that would allow the trip to be charged to the program. **In addition, documentation of trips reported to NCDOT must be retained for up to five years following submittal of final ROAP reports.** The inability to document trips with driver manifests, gasoline receipts, or any invoices associated with costs charged to the program would be considered ineligible expenses. The county or the authority will be invoiced for any undocumented costs.

# Program Guidelines

## Elderly and Disabled Transportation Assistance Program

### Description

The Elderly and Disabled Transportation Assistance Program (EDTAP), originally enacted by legislation in the 1989 Session of the North Carolina General Assembly (Article 2B, 136-44.27), provides operating assistance funds for the transportation of the state's elderly and disabled citizens. This transportation assistance allows the elderly and disabled to reside for a longer period in their homes, thereby enhancing their quality of life. The following guidelines also apply to any additional funds provided to the counties to supplement the Elderly and Disabled Transportation Assistance Program.

### Allocation Formula

The following formula was used to determine the county allocation of the funds available:

- 50% divided equally among all counties;
- 22 ½ % based upon the number of elderly (60 years or older) residents per county as a percentage of the state's total elderly population;
- 22 ½ % based upon the number of disabled residents per county as a percentage of the state's total disabled population; and
- 5% based upon a population density factor that recognizes the higher transportation costs in rural, sparsely populated counties.

### Eligibility Criteria

For the purposes of EDTAP, an elderly person is defined as one who has reached the age of 60 or more years. A disabled person is defined as one who has a physical or mental impairment that substantially limits one or more major life activities, an individual who has a record of such impairment, or an individual who is regarded as having such impairment. Certification of eligibility will be the responsibility of the county or their designee. The county must be able to provide documentation that the EDTAP funded service was provided to an eligible person.

### Eligible Expenses

ROAP funds are to be used for trips; not for capital or administrative expenses. For the purposes of the ROAP Program, purchase of service will be considered an operating expense even though it is funded as a capital expense by some federal programs. Refer to the Eligible Transportation Expenses Matrix in Appendix A for a list of allowable transportation services that can be provided under these programs. A fare may be charged for eligible EDTAP services. Any fares collected must be used to provide more EDTAP transportation service.

The inability to document trips with driver manifests, gasoline receipts, or any invoices associated with costs charged to the program will be considered ineligible expenses. The county will be invoiced for any undocumented costs.

### Restrictions

EDTAP funds are to be used to provide trips for elderly and disabled individuals only when other funding sources are not available. The county or eligible authority can sub-allocate EDTAP funds to any government agency or 501(c)3 non-profit organization that provides services to individuals with transportation needs. The county should take into consideration the need for and importance of the PUBLIC transportation services provided by the Community Transit System when determining the suballocation of the EDTAP funds. If the EDTAP funds are sub-allocated to other agencies besides the Community Transportation System, these other agencies are encouraged to coordinate EDTAP-funded transportation trips with the local Community Transportation System.

Based on the EDTAP formula, these funds may be used to transport persons living in an urbanized area and outside of an urbanized area. EDTAP funds may be used as matching funds for 5310 or 5311, 5316 and 5317 federally funded transportation projects as appropriate. EDTAP funds cannot be transferred to any other ROAP program. EDTAP funded services are expected to be offered throughout the entire period of performance. The county must notify the assigned Mobility Development Specialist if an EDTAP funded service is discontinued.

## **Employment Transportation Assistance Program**

### **Description**

The Employment Transportation Assistance Program (EMPL) is intended to help DSS clients that transitioned off Work First or TANF in the last 12 months, Workforce Development Program participants and/or the general public to travel to work, employment training and/or other employment related destinations. The following guidelines also apply to any additional funds provided to the counties to supplement the Employment Transportation Assistance Program.

### **Allocation Formula**

The following formula was used to determine the county allocation of the funds available:

- 10% divided equally among all counties;
- 45% based upon the population of each county as a percentage of the total state population\*; and
- 45% based upon the number of Work First caseloads per county as a percentage of the number of Work First caseloads in the state as of January prior to application distribution.

\*Excludes the population of any municipalities where an urban or small urban transit system is operating in counties with urbanized areas within their boundaries.

### **Eligibility Criteria**

EMPL funded trips can be provided for:

1. Individuals that have transitioned off the Work First or Temporary Assistance for Needy Families program within the last 12 months;
2. Participants in Workforce Development Programs; and/or
3. The transportation disadvantaged public.

EMPL funding may also be used to assist the general public with employment-related transportation needs if they meet the eligibility criteria established by the county. Certification of eligibility will be the responsibility of the county. The county must be able to provide documentation that the EMPL funded service was provided to an eligible person.

### **Eligible Expenses**

ROAP funds are to be used for operational activities; not for capital or administrative expenses. For the purposes of the ROAP Program, purchase of service will be considered an operating expense even though it is funded as a capital expense by some federal programs. Refer to the Eligible Transportation Expenses Matrix in Appendix A for a list of allowable transportation services under these programs. A fare may be charged for eligible EMPL services. Any fares collected must be used to provide more EMPL transportation service.

The inability to document trips with driver manifests, gasoline receipts, or any invoices associated with costs charged to the program will be considered ineligible expenses. The county will be invoiced for any undocumented costs.

### **Restrictions**

The county or eligible authority can sub-allocate EMPL funds to any government agency or 501(c)3 non-profit organization that provides services to individuals with employment related transportation needs. If

none of the Employment Transportation Assistance funds are sub-allocated to the Community Transportation System, sub-recipients are encouraged to coordinate EMPL-funded trips with the Community Transportation System. EMPL funds may be used as matching funds for under 5310, 5311, 5316 and 5317 federally funded transportation programs as appropriate.

Counties or eligible authorities can transfer EMPL funds, all or in part, to the EDTAP and/or RGP programs. The EMPL funds must be transferred to the Community Transportation System if:

1. The county finance director or the executive director of an eligible authority determines that any subrecipient of EMPL funds has spent 33% or less of their EMPL allocation by December 31st, OR
2. The county finance officer or eligible authority's executive director determines anytime after December 31<sup>st</sup> that any unexpended EMPL funds will not be needed for employment transportation from then until the end of the fiscal year.

Once the funds are transferred to the Community Transportation System, the system will decide whether the funds will be transferred to EDTAP or RGP or used for employment transportation based on their predicted service demands.

The transfer of any funds must be reported in the ROAP reports.

Instead of transferring EMPL funds, ROAP recipients and their community transit systems should strategize ways of accommodating the public's work schedules by operating different hours, creating stops at the community colleges or universities, at JobLink Centers, Vocational Rehabilitation, Employment Security and/or offering voucher programs. In times of high unemployment, people need transportation to job interviews and re-training.

EMPL funds that are transferred to another program assume the requirements of the program to which they are transferred. Any funds transferred from the EMPL program to the RGP program will have the same matching requirements as any other RGP funds. Additionally, EMPL funds transferred to RGP must be sub-allocated to the Community Transportation System. The county or authority is responsible for billing their sub-recipients for any unspent funds.

EMPL funded services are expected to be offered throughout the entire period of performance. The county must notify the assigned Mobility Development Specialist in writing if an EMPL funded service is discontinued.

## **Rural General Public Program**

### **Description**

The Rural General Public Program assistance funds are intended to provide transportation services for individuals from the county who do NOT have a human service agency or organization that will pay for the transportation service. The county, in consultation with the Community Transportation System, must determine the RGP services to be provided with the RGP funds. The following guidelines also apply to any additional funds provided to the counties to supplement the Rural General Public Program.

### **Allocation Formula**

The following formula was used to determine the county allocation of the funds available:

- 50% divided equally among all eligible counties; and
- 50% based upon the rural population of each county as a percentage of the total state rural population. \*

\* Excludes the population of any municipalities where an urban or small urban transit system is operating in counties with urbanized areas within their boundaries.

### **Eligibility Criteria**

To use RGP funds, the passenger **MUST** live in or be visiting someone living in the non-urbanized area of a county. Either the origin or destination of the trip must be in the non-urbanized area. The RGP funds cannot be used to provide service from an origin within the urban area or to a destination within the urban area. Certification of eligibility will be the responsibility of the county or eligible authority. The county or eligible authority must be able to provide documentation that the RGP funded service was provided to an eligible person. See Appendix C for the urban-rural population data from the 2010 Census.

### **Eligible Expenses**

ROAP funds are to be used for operational activities; not for capital or administrative expenses. For the purposes of the ROAP Program, purchase of service will be considered an operating expense even though it is funded as a capital expense by some federal programs. Refer to the Eligible Transportation Expenses Matrix in Appendix A for the allowable expenses under this program. A fare may be charged for eligible RGP services. Any fares collected must be used to match the RGP funds and/or provide more RGP transportation service.

The inability to document trips with driver manifests, gasoline receipts, or any invoices associated with costs charged to the program will be considered ineligible expenses. The county will be invoiced for any undocumented costs.

### **Restrictions**

The RGP funds must be sub-allocated by the county to the Community Transportation System. RGP funds must be used to provide transportation services to individuals who are not eligible for the same transportation services funded by any other means. Human service agencies cannot purchase passes, tickets or tokens from community transportation systems for the agency's program needs or their clients needs with RGP funds. Human service agencies must pay the fully allocated cost for the transportation services they need. RGP funds may be used as matching funds for 5310, 5311, 5316 and 5317 federally funded transportation programs as appropriate. RGP funds cannot be transferred to any other ROAP program.

RGP funded services are required to be offered throughout the entire period of performance. The county must notify the assigned Mobility Development Specialist in writing if any ROAP funded service is discontinued before the end of the period of performance because all the ROAP have been spent. **If both RGP funded services are discontinued before June 30 by the Community Transit System, and the county does not provide additional funds to continue the service(s), it will be assumed that the transit system is no longer providing general public service. In this case, the Community Transit System will not be reimbursed for any FTA Section 5311 and/or state CTP funded expenses incurred after the RGP funded services are discontinued.**

## Appendix A

### Eligible Transportation Expenses Matrix

Services must be provided to a person that meets the eligibility criteria.

<p><b>Trip Based Services</b> - Trips may be provided by car/vanpool, taxi, public transit vehicle, private transit vehicle, agency vehicle or mileage reimbursement to a volunteer. The most cost-effective option should be chosen. Public/Private transportation providers shall be reimbursed based on the fully allocated cost per mile, per hour, or per passenger trip. Volunteers can be reimbursed for mileage only. If a human service agency uses an agency vehicle to provide the trip, the agency must include the fully allocated cost of a trip in their reimbursement request including fuel, staff time and benefits, depreciation, vehicle insurance and licensing.</p>			
Trip Purpose	EDTAP	EMPL	RGP
Personal care, non-emergency medical appointments, pharmacy pickup, shopping, bill paying, public hearings, committee meetings, classes, banking, etc.	Yes	NO	Yes
Job interviews, job fair attendance, job readiness activities or training, GED classes	Yes	Yes	Yes
Transportation to Workplace (trip must be scheduled by the individual passenger)	Yes	Yes	Yes
Child(ren) of Working Parent transported to Child Care	NO	Yes	Yes
Group field trips/tours to community special events	Yes	NO	*
Overnight trips to out-of-county destinations	Yes	NO	*
Human Service Agency appointments	Yes	NO	Yes
<p><b>Human service agencies cannot purchase passes, tickets or tokens from the community transit systems for the agency's program needs or their clients' needs. Human service agencies must pay the fully allocated cost for the transportation services they need. Clients must purchase their own passes, tickets and tokens from the community transit system.</b></p>			

\* Must be provided under the provisions of the federal Charter regulations which can be viewed at [http://www.fta.dot.gov/laws/leg\\_reg\\_179.html](http://www.fta.dot.gov/laws/leg_reg_179.html)

**IMPORTANT!** Counties and eligible authorities will no longer be allowed to use ROAP funds for other services including fuel assistance (gas vouchers, gas cards, reimbursement to fuel provider), vehicle repairs or vehicle insurance premiums beginning with the 2012-2013 ROAP Program.

## Appendix B

### Public Hearing Notice Safe Harbor Requirement

County population includes at least 1000 persons  
who speak Spanish at home and English "less than well."

Alamance County, North Carolina  
Alleghany County, North Carolina  
Bladen County, North Carolina  
Brunswick County, North Carolina  
Buncombe County, North Carolina  
Burke County, North Carolina  
Cabarrus County, North Carolina  
Catawba County, North Carolina  
Chatham County, North Carolina  
Cleveland County, North Carolina  
Columbus County, North Carolina  
Craven County, North Carolina  
Cumberland County, North Carolina  
Davidson County, North Carolina  
Davie County, North Carolina  
Duplin County, North Carolina  
Durham County, North Carolina  
Forsyth County, North Carolina  
Franklin County, North Carolina  
Gaston County, North Carolina  
Granville County, North Carolina  
Greene County, North Carolina  
Guilford County, North Carolina  
Harnett County, North Carolina  
Henderson County, North Carolina  
Hoke County, North Carolina  
Iredell County, North Carolina

Johnston County, North Carolina  
Lee County, North Carolina  
Lenoir County, North Carolina  
Lincoln County, North Carolina  
Mecklenburg County, North Carolina  
Montgomery County, North Carolina  
Moore County, North Carolina  
Nash County, North Carolina  
New Hanover County, North Carolina  
Onslow County, North Carolina  
Orange County, North Carolina  
Pender County, North Carolina  
Pitt County, North Carolina  
Randolph County, North Carolina  
Robeson County, North Carolina  
Rockingham County, North Carolina  
Rowan County, North Carolina  
Sampson County, North Carolina  
Stanly County, North Carolina  
Surry County, North Carolina  
Union County, North Carolina  
Vance County, North Carolina  
Wake County, North Carolina  
Wayne County, North Carolina  
Wilkes County, North Carolina  
Wilson County, North Carolina  
Yadkin County, North Carolina

**Appendix C**  
**2010 Census Data – Urban Population by County**

<b>County</b>	<b>Population</b>	<b>Urban Area Population</b>	<b>%Pop in Urban Area</b>
Alamance	151,131	107,971	71.44
Alexander	37,198	4,738	12.74
Alleghany	11,155	0	0
Anson	26,948	0	0
Ashe	27,281	0	0
Avery	17,797	0	0
Beaufort	47,759	0	0
Bertie	21,282	0	0
Bladen	35,190	0	0
Brunswick	107,431	39,915	37.15
Buncombe	238,318	180,932	75.92
Burke	90,912	52,136	57.35
Cabarrus	178,011	143,551	80.64
Caldwell	83,029	54,444	65.57
Camden	9,980	0	0
Carteret	66,469	0	0
Caswell	23,719	0	0
Catawba	154,358	101,101	65.5
Chatham	63,505	6,513	10.26
Cherokee	27,444	0	0
Chowan	14,793	0	0
Clay	10,587	0	0
Cleveland	98,078	11,171	11.39
Columbus	58,098	0	0
Craven	103,505	50,503	48.79
Cumberland	319,431	276,729	86.63
Currituck	23,547	0	0
Dare	33,920	0	0
Davidson	162,878	85,699	52.62
Davie	41,240	7,062	17.12
Duplin	58,505	0	0
Durham	267,587	252,528	94.37
Edgecombe	56,552	17,349	30.68
Forsyth	350,670	324,908	92.65
Franklin	60,619	4,829	7.97
Gaston	206,086	158,926	77.12
Gates	12,197	0	0
Graham	8,861	0	0
Granville	59,916	963	1.61
Greene	21,362	0	0
Guilford	488,406	426,406	87.31
Halifax	54,691	0	0

<b>County</b>	<b>Population</b>	<b>Urban Area Population</b>	<b>%Pop in Urban Area</b>
Harnett	114,678	12,294	10.72
Haywood	59,036	26,306	44.56
Henderson	106,740	71,227	66.73
Hertford	24,669	0	0
Hoke	46,952	26,692	56.85
Hyde	5,810	0	0
Iredell	159,437	98,991	62.09
Jackson	40,271	0	0
Johnston	168,878	37,449	22.18
Jones	10,153	0	0
Lee	57,866	0	0
Lenoir	59,495	0	0
Lincoln	78,265	10,797	13.8
McDowell	44,996	0	0
Macon	33,922	0	0
Madison	20,764	1,948	9.38
Martin	24,505	0	0
Mecklenburg	919,628	909,830	98.93
Mitchell	15,579	0	0
Montgomery	27,798	0	0
Moore	88,247	0	0
Nash	95,840	50,256	52.44
New Hanover	202,667	198,178	97.79
Northampton	22,099	0	0
Onslow	177,772	105,419	59.3
Orange	133,801	95,625	71.47
Pamlico	13,144	0	0
Pasquotank	40,661	0	0
Pender	52,217	2,143	4.1
Perquimans	13,453	0	0
Person	39,464	0	0
Pitt	168,148	117,798	70.06
Polk	20,510	0	0
Randolph	141,752	21,284	15.01
Richmond	46,639	0	0
Robeson	134,168	505	0.38
Rockingham	93,643	0	0
Rowan	138,428	84,687	61.18
Rutherford	67,810	0	0
Sampson	63,431	0	0
Scotland	36,157	0	0
Stanly	60,585	0	0
Stokes	47,401	11,520	24.3
Surry	73,673	0	0
Swain	13,981	0	0
Transylvania	33,090	235	0.71
Tyrrell	4,407	0	0

<b>County</b>	<b>Population</b>	<b>Urban Area Population</b>	<b>%Pop in Urban Area</b>
Union	201,292	146,361	72.71
Vance	45,422	0	0
Wake	900,993	833,188	92.47
Warren	20,972	0	0
Washington	13,228	0	0
Watauga	51,079	0	0
Wayne	122,623	61,054	49.79
Wilkes	69,340	0	0
Wilson	81,234	638	0.79
Yadkin	38,406	0	0
Yancey	17,818	0	0