

BUREAU OF TRANSPORTATION STATISTICS  
OMB CLEARANCE PACKAGE

For  
CLEARANCE TO CONDUCT THE SURVEY OF STATE  
FUNDING FOR PUBLIC TRANSPORTATION

Prepared by  
Office of Advanced Studies  
Bureau of Transportation Statistics  
Research and Innovative Technology Administration

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Attachment I: The Safe, Accountable, Flexible Efficient Transportation Equity Act—A Legacy For Users (SAFETEA-LU; H.R. 3, Section 1801(e))

Attachment II: 60-Day Federal Register Notice

Attachment III: 30-day Federal Register Notice

Attachment IV: Final Report from the 2005 Survey of State Funding for Public Transportation

## **A. JUSTIFICATION**

### **1. Need for the Information Collection**

The Safe, Accountable, Flexible Efficient Transportation Equity Act—A Legacy for Users (SAFETEA-LU; H.R. 3, Section 5601) requires the BTS to provide “data, statistics, and analysis to transportation decision-makers” and to ensure that the statistics “are designed to support transportation decision-making by the Federal Government, State and local governments, metropolitan planning organizations, transportation-related associations, the private sector (including the freight community), and the public.” The Survey of State Funding for Public Transportation provides data that are used to create an annual summary report of state funding for transit in the 50 states and the District of Columbia. The information in this report is widely used and is requested by Congress, DOT modal administrations, state legislatures and local governing bodies. The information is used to compare states on types of public transportation programs as well as commitment to fund public transportation capital and operating costs.

### **2. Indicate how, by whom, and for what purpose the information is to be used. Indicate the actual use the agency has made of the information received from the current collection.**

This data collection was previously conducted under the Omnibus Survey Program (2139-0007) as a targeted survey (2002-2005). OMB 2139-0007 expired November 30, 2006 and is not being renewed. The Survey of State Funding for Public Transportation has been conducted since 1980 under the auspices of the American Association of State Highway and Transportation Officials (AASHTO) and the American Public Transit Association (APTA). In 2002, AASHTO and APTA approached BTS with a request for help in continuing to conduct the survey. BTS provided suggestions for improving the survey process to reduce respondent burden and conducted the yearly survey through 2005. Approval of this information collection request will allow BTS to continue conducting the survey which provides a detailed look at the source of funding for public transit, the nature of state-funded programs, amount of funds allocated for public transit, eligible uses of funding, limitations placed on funds (e.g., capital or operating only), and how funds are allocated. Results from this survey are widely distributed to all 50 states, Congressional staff, DOT modal administrations and the public. The final report is also posted on the AASHTO and APTA web sites.

### **3. Describe whether, or to what extent, the collection of information involves the use of automated, electronic, mechanical, or other technological collection techniques of other forms of information technology.**

Each of the 50 state DOT offices and the District of Columbia DOT will receive copies of the materials they submitted to the previous year’s survey. They will be asked to update the information with their current year fund allocations. In many cases, very minimal changes are required because funding sources and programs remain fairly stable. Those states that have passed ballot initiatives that affect funding for transit may require more extensive updates. Original hard copies of the previous year’s forms are mailed to each state DOT (see Attachment IV for an example of one state’s data sheet). Electronic versions and fax versions are provided to any state that requests them.

#### **4. Describe efforts to identify duplication**

To our knowledge, this survey does not duplicate information currently being collected by any other agency or component within the Department of Transportation.

#### **5. If the collection of information impacts small businesses or other small entities, describe any methods used to minimize the burden.**

The survey will not be sent to any small businesses. In addition, for each state respondent, each survey will contain data from the previous data collection so that all the respondent needs to do is check for accuracy and update as needed.

#### **6. Describe the consequences to Federal program or policy activities if the collection is not conducted or is conducted less frequently.**

SAFETEA-LU; (H.R. 3, Section 5601) requires the BTS to provide “data, statistics, and analysis to transportation decision-makers” and to ensure that the statistics “are designed to support transportation decision-making by the Federal Government, State and local governments, metropolitan planning organizations, transportation-related associations, the private sector (including the freight community), and the public.” The yearly collection of these data provides a wide variety of users with a national picture of the level and types of funding for public transit on a national level.

#### **7. Explain any special circumstances that require the collection to be conducted in a manner inconsistent with the guidelines set forth in 5 CFR 1320.6.**

This information collection does not require respondents to: 1) report information more often than quarterly; 2) submit more than an original and two copies of any document; 3) retain records for more than three years; 4) prepare a response in less than 30 days; or 5) submit proprietary or confidential information.

The Bureau of Transportation Statistics is conducting a survey of state DOT offices to obtain information on funding for public transportation. The information from this survey will only be used for statistical purposes and is authorized by law (Public Law 105-178, section 1207(c)). Your participation in this survey is strictly voluntary.

(NOTE: There is no reference to the Confidential Information Protection and Statistical Efficiency Act (CIPSEA) of 2002 in this ICR because no pledge of confidentiality is required.

#### **8. Agency 60-day and 30-day Federal Register Notices and Consultations outside the Agency**

BTS consulted with the Federal Transit Administration (FTA), the American Association of State Highway and Transportation Officials (AASHTO), and the American Public Transportation Association (APTA) in revising the original survey. AASHTO and APTA will

also publicize the impending survey and will help with follow-up contacts to ensure a 100% response rate. The 60-Day Federal Register Notice is provided as Attachment II. This Notice was published in the Federal Register on November 13, 2006. The 30-day Federal Register Notice is provided as Attachment III. This Notice was published in the Federal Register on January 23, 2007. The agency did not receive any comments in response to the Federal register Notices.

**9. Payment to Respondents**

This survey is voluntary. Respondents completing the survey will not receive any payment or gift.

**10. Assurance of Confidentiality**

The Confidential Information Protection and Statistical Efficiency Act (CIPSEA) of 2002 does not apply to this information collection.

**11. Sensitive Questions (Business Sensitive)**

There are no business sensitive questions in this survey.

**12. Estimates of Response Burden and Annual Cost to Respondents**

The response burden calculation for the survey is estimated to be an average of 120 minutes per state DOT office based on the need for more than one person to be involved in reviewing the previous information and updating as necessary. Data collection for this survey is planned to occur once a year.

**12A. Burden Hours**

The total burden hours/year are not expected to exceed 102 hours (2 hours times 51 respondents)

**12B. Annual Cost to Respondent:**

**The only cost to the respondent is the time spent completing the survey (see item 12A).**

Total Annual Response Burden Hours	Rate/Hour**	Annual Cost
102	\$26.00	\$2,652

*\*\*Based on an average hourly rate from the Bureau of Labor Statistics for State and Local Government Employees for 2006.*

**13. Estimates of Cost Burden for Collection of Information.**

This survey does not require record keeping on the part of the respondents.

**14. Estimates of Annual Cost to the Federal Government.**

The estimated annualized cost to the Federal Government for the survey covered by this submission includes funding for BTS staff and costs of distribution the survey. The total amount of funds allotted for this project is \$25,000. Government staffing costs are based on the 2006 Federal white-collar pay schedule for workers in the Washington-Baltimore area (see:<http://www.opm.gov/oca/04tables/html/dcb.asp>).

<b>Annually:</b>	<b>National Ferry Database Survey</b>
BTS staff	\$20,500
Survey distribution/follow-up	4,500
Total costs	\$25,000

**15. Changes in Burden**

There are no changes in the burden.

**16. Publication Plans/Time Schedule**

A copy of the final report will be published on the AASHTO, APTA, and BTS Web Pages.

**17. Approval Not to Display Expiration Date**

The survey is not seeking approval to avoid displaying the expiration date for OMB approval of the information collection.

**18. Exceptions to the Certification Statement**

There are no exceptions to the certification statement identified in Item 19, “Certification for Paperwork Reduction Act Submissions,” of OMB Form 83-I. This request for OMB review complies will provisions 19(a) through 19(j) of OMB Form 83-I.

**B. Collection of Information Employing Statistical Methods**

**1. Respondent Universes and Sampling Methods**

This survey will be a census of all state DOT headquarters offices and the District of Columbia (51 respondents).

**2. Procedures for the Collection of Information**

It is estimated that the data collection period for this survey will last about 6 weeks (based on previous surveys).

**3. Methods to Maximize Response Rates and Deal with Issues of Nonresponse**

This survey has achieved a response rate of 100% for each year that it was conducted.

**4. Test of Procedures**

The survey will be reviewed by BTS' Office of Survey Programs and by staff within AASHTO and APTA.

**5. General Customer Satisfaction Surveys Program Procedures for Submitting packages to OMB.**

This is not a customer satisfaction survey.

**6. Personnel/Organizations Responsible for Design, Collection, or Analysis of the Information**

The questionnaire design specifications, specifications for data collection, questionnaire content, and data production are under the supervision of BTS. BTS is solely responsible for the review of the final survey questionnaire, data, and technical documentation. The points-of-contact at BTS are:

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