



**REGIONAL TRANSPORTATION AUTHORITY**  
Of Middle Tennessee

**BOARD MEETING**

Wednesday, August 16, 2023 | 9:30 a.m.

**TN State Library & Archives**  
**1001 Rep. John Lewis Way N.**  
**Nashville, TN 37219**

- 
1. **Call to Order**
  2. **Approval of the June 21, 2023 meeting minutes**
  3. **Public Comments**
  4. **Finance Committee Report – Mayor Ken Moore, Chair**
    - **Monthly Financial Report Compared to Budget – Ed Oliphant, CFO** **R-D-23-014** **Pg. 6**
    - **Debt Obligation Notification – Ed Oliphant, CFO** **R-D-23-015** **Pg. 9**
  5. **Operations Committee Report – Mayor Rick Bell, Chair**
    - **RTA Monthly Operating Statistics – Andy Burke, COO** **R-D-23-016** **Pg. 13**
  6. **Federal Transit Administration Triennial Review Update – Billy Higgins, Capital Grants Administrator & Nick Oldham, Chief Safety & Security Officer** **R-D-23-017** **Pg. 21**
  7. **CEO’s Report – Stephen G. Bland, CEO**
  8. **Chair’s Report – Mayor Randall Hutto, Chair**
  9. **Other Business**
  10. **Adjournment**

**Note:** A meeting of the Executive Committee has been scheduled concurrently with the full Board Meeting. In the event a quorum of the Board cannot be achieved, the Executive Committee will meet to conduct the scheduled business of the Board. If a quorum of the Board is present, there will be no Executive Committee meeting.



**REGIONAL TRANSPORTATION AUTHORITY**  
Of Middle Tennessee

**EXECUTIVE COMMITTEE MEETING**

Wednesday, August 16, 2023 | 9:30 a.m.

**TN State Library & Archives**  
**1001 Rep. John Lewis Way N.**  
**Nashville, TN 37219**

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1. **Call to Order**
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  9. **Other Business**
  10. **Adjournment**



**MINUTES**  
**EXECUTIVE COMMITTEE MEETING**  
**REGIONAL TRANSPORTATION AUTHORITY**

**June 21, 2023**

- I. **Call to Order:** The regular meeting of the Regional Transportation Authority of Middle Tennessee (RTA) Executive Committee was held at the Tennessee State Archives & Library, located at 1001 Rep. John Lewis Way N., Nashville, TN 37219, on Wednesday, June 21, 2023. A quorum of the Executive Committee was established, and the meeting was called to order at 9:30 a.m. by Mayor Randall Hutto

**Executive Committee Members in Attendance:**

Mayor Randall Hutto, Wilson County, Chair  
Mayor Paige Brown – City of Gallatin, Vice-Chair  
Ed Cole – Davidson County (Gov. Appt.)  
Mayor Ken Moore – City of Franklin  
Mayor Rick Bell – City of Lebanon  
Mayor Billy Vogle – Robertson County  
Kelly Dannenfelter – Williamson County (Gov. Appt.)  
Ken Davis – Wilson County (Gov. Appt.)

**Others Present:**

Mayor Jamie Clary – City of Hendersonville  
Jim Kerr – City of Murfreesboro (Alt.)  
Ed Elam – Rutherford County (Alt.)  
Thad Jablonski – City of Columbia (Alt.)  
Matt White – City of Mt. Juliet (Alt.)  
Mayor Mike Callis – City of Portland

- II. **Approval of Minutes:**  
Mayor Ken Moore made a motion to approve the April 19 and May 17, 2023, meeting minutes, the motion was seconded by Ed Cole and unanimously approved by the Executive Committee.
- III. **Public Comments:**  
There were no public comments given at this meeting.
- IV. **Audit Committee Report:** There were no items for the Audit committee this month.
- V. **Finance Committee Report:** Committee Chair Mayor Ken Moore presented the following for discussion and action:
- a. **Monthly Financial Report Compared to Budget (R-D-23-012):** Mayor Ken Moore presented the Monthly Financials for the month of April 2023, compared to the budget and a balance sheet as of April 2023. Shelly McElhaney was available for questions, and there were no additional questions or further discussions.

**b. Hamilton Springs Station License Agreement (R-A-23-007):** Chief of Staff & Administration Vince Malone presented the following:

A Tennessee development company, Horn Springs Development, Inc. of Lebanon, Tennessee, has expressed a desire to obtain a license to use a portion of the driveway and adjacent land at the Hamilton Springs Station located at 1000 Gaston Park Drive in Lebanon, Tennessee. As the Licensee, Horn Springs Development, Inc will create homes adjacent to the RTA property. The license concerns the driveway area of the RTA property for the purpose of homeowners to the west of Aston Park Drive to access their houses from the sidewalk along Aston Park Drive and to create a curb cut and two crosswalks, one from the alleyway on Licensee's east side property to the west and the other at the corner to allow homeowners to access the sidewalk inside the west property which will connect to the RTA sidewalk. Licensee's use of the license shall not interfere with or disrupt the normal daily business operations of the RTA which shall continue to use the drive on its property.

All construction contemplated by the license agreement shall be at the sole expense of the Licensee and shall conform to plans to be submitted to RTA by Licensee for approval. Licensee shall be responsible for all costs associated with the utilization of the license including but not limited to any paving. Any costs associated with the design, permitting, or construction of improvements within the licensed area shall be at the expense of the Licensee. Additionally, Licensee agrees that it will be responsible for grass-cutting and similar routine maintenance of the RTA property.

Tennessee Code Annotated §64-8-206 provides authority for the RTA additional powers and duties to support transit adjacent development. Staff recommended the Board provide the Chief Executive Officer the authority to enter into a license agreement for the Hamilton Springs Station property with Horn Springs Development, Inc, as the Licensee.

Mayor Ken Moore made a motion to approve the Hamilton Station License Agreement, the motion was seconded by Ed Cole and unanimously approved by the Executive Committee.

**c. Fifth-Third Revolving Line of Credit (R-A-23-008):** The Finance Committee recommended to the Board to authorize the CEO to enter into the fourth year of a five-year revolving line of credit agreement for up to \$5.0 million with Fifth Third Bank based upon the terms explained above for the period from July 1, 2023, to June 30, 2024.

Mayor Ken Moore made a motion to approve the Fifth-Third Revolving Line of Credit, the motion was seconded by Ken Davis and unanimously approved by the Executive Committee.

**d. RTA-MTA WeGo Ride Program Revenue Sharing Agreement (R-A-23-009):** The Finance Committee recommended the Board approve the renewal of the WeGo Ride Program Revenue Sharing Agreement with RTA from July 1, 2023, through June 30, 2024, now including State employee ridership, based upon the formula explained above and that Nashville MTA will continue to be the Master Contractor for the WeGo Ride Program and will share revenues with RTA based upon the calculated formula. Each Board will review the agreement annually to assess if any changes should be made to the agreement in the future.

Mayor Ken Moore made a motion to approve the RTA-MTA WeGo Ride Program Revenue Sharing Agreement, the motion was seconded by Ed Cole and unanimously approved by the Executive Committee.

**e. RTA-MTA Bus and Shuttle Contract FY2024 Renewals (R-A-23-010):** The Finance Committee recommended the Board approve the renewal of contracts with Nashville MTA consisting of Contract 1 for regional bus services and Contract 2 for connecting bus services

supporting commuter rail. Both contracts are for a period of one year, beginning July 1, 2023, through June 30, 2024, for the following base amounts:

Contract #1 for a not-to-exceed amount of \$1,671,740 for regional bus service, and Contract #2 for \$270,700 for connecting buses supporting commuter rail.

Mayor Ken Moore made a motion to approve the RTA-MTA Bus and Shuttle Contract FY2024 Renewals, the motion was seconded by Ed Cole and unanimously approved by the Executive Committee.

- f. **WeGo Star Liability Insurance Renewal (R-A-23-011)**: The Finance Committee recommended that the Board approve the insurance policy for \$29 million of train liability insurance coverage (with a \$58 million aggregate) for the policy year from July 1, 2023, through June 30, 2024, to be awarded to Aspen Specialty Insurance and Liberty Surplus Insurance Corporation for a total base annual premium of \$297,177 with the caveat that if the yearly ridership exceeds the benchmark of 180,600 rides, RTA will pay an additional compensation at a rate of \$1.65 per ride given over the benchmark. RTA will maintain the supplemental insurance reserve of \$1 million, making our total liability insurance coverage \$30 million.

Mayor Ken Moore made a motion to approve the WeGo Star Liability Insurance Renewal, the motion was seconded by Mayor Rick Bell and unanimously approved by the Executive Committee.

- g. **FY2024 Proposed Operating Budget (R-A-23-012)**: The Finance Committee recommended that the board adopt the proposed FY2024 budget as presented.

Mayor Ken Moore that the Finance Committee had extensive discussion regarding the proposed operating budget at the Committee's meeting. He made a motion to approve the FY2024 Proposed Operating Budget, the motion was seconded by Ed Cole and was unanimously approved by the Executive Committee.

**VI. Operations Committee Report**: Committee Chair Mayor Rick Bell presented the following items for discussion:

- a. **Monthly Operating Statistics (R-D-23-013)**: Chief Operating Officer Andy Burke reviewed the RTA Monthly Dashboard Report through the month of April 2023 with the Executive Committee. Andy Burke was available for questions, and there were no additional questions or further discussions.

**VII. CEO's Report**: CEO Bland provided the following report:

1. Unfortunately, an individual was struck by the Star while walking on the tracks this past Friday evening near Anthes Drive in Nashville. The train was in service headed outbound with afternoon commuters. Riders were transported to their destination by bridge buses. Our thoughts go out to this individual, but also to the train crew, first responders, and passengers who experienced this accident.
2. As previously reported, the Federal Transit Administration has been conducting its Triennial Review of the RTA with respect to compliance with various aspects of the Federal program. In total, 23 areas are examined for compliance in topics ranging from project management to financial management to procurement to safety and many more. Due to the pandemic, this process was delayed a year, so it was the first review we've had since 2019. This year, the FTA had only one finding – down from 5 in 2019. The sole finding came in developing adequate documentation for the certification of medical review officers, substance abuse professionals, and breath alcohol technicians and collectors for our subcontracted service

operators. This finding will be addressed in our corrective action plan, and the FTA will issue a final report to the Board.

3. The RTA is up for legislative renewal in front of the General Assembly again this year. Our Sunset Hearing before the Commerce, Labor, Transportation, and Agriculture Joint Subcommittee of the Government Operations Committee has been scheduled for Thursday, October 19, 2023, beginning at 9:00 a.m., and will be held in House Hearing Room 1, Cordell Hull Building, Nashville, Tennessee. Mr. Bland said that he will be requesting the participation of our Officers in this hearing again, and any interested member is invited to attend.
4. WeGo operated a special train service for one of the concert nights for CMA Fest, carrying a total of 123 passengers. Tickets for the 4th of July are on sale now, and tickets for the Music City Grand Prix will be going on sale shortly.
5. Background work continues on the Donelson Station joint development project. We did receive the appraisal on the property which will form the basis of our financial negotiations. Right now, we're in a bit of a holding pattern as the developer attempts to secure other parcels adjacent to the site.
6. There continues to be advancement on the development of a park-and-ride lot in Murfreesboro and we are waiting for the review appraisal for a potential site adjacent to the City's new transit facility. WeGo's real estate consultants are also looking at potential sites in Franklin.
7. WeGo has been working with Nashville SC to develop a potential regional bus service for their soccer matches. The Club recently completed a survey of its fan base, identifying the highest potential in the Clarksville, Murfreesboro, and Antioch markets. WeGo will continue to advance those conversations in the hope of experimenting with service late in the season that could become part of our service mix next year for the full season.
8. WeGo has received some interim deliverables from Hatch on the Star Strategy Study and is targeting mid-July to kick off the first round of public engagement.
9. CEO Bland reminded everyone that RTA will not meet in July.

CEO Bland concluded his remarks and was available for any questions from the floor.

Mayor Rick Bell asked if the train had to make an emergency stop how long would it take the train to stop. CEO Bland said it depends on how fast the train is going, but we can find out an illustrative stopping distance and present that information back to the board. However, he added that it is safe to say that it takes a considerable distance to stop the train at any appreciable speed, and that the safest approach is simply for people to stay off the tracks at all times.

Ed Cole asked if the choice lanes articulated in the State's Transportation Modernization Act include access by public transit. CEO Bland said that the legislation incorporates specific language saying that transit vehicles are required to have free access to the choice lanes. He said there have been independent conversations with TDOT that as they plan for projects in Middle TN that the RTA be brought into those conversations.

**VIII. Chair's Report:** Mayor Randall Hutto announced that the Marathon Train raised a little bit over \$12K this year, and the proceeds generated were donated to St. Jude.

In conclusion, Mayor Hutto announced that he had tickets for the Speedway Race that was to take place over the upcoming weekend, and anyone that wanted tickets could come and see him after the meeting.

**IX. Adjournment:** With no further business, Mayor Ken Moore called for a motion to adjourn, Mayor Billy Vogle made a motion, and the meeting was adjourned at 9:59 a.m.

Respectfully submitted:

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Ed Cole, RTA Secretary &  
Davidson County Governor Appointee

# Regional Transportation Authority of Middle Tennessee

- Committee Discussion Item     Exec. Committee Discussion Item     Board Discussion Item  
 Committee Action Item     Exec. Committee Action Item

|              |   |               |           |
|--------------|---|---------------|-----------|
| Item Number: | R-D-23-014                                  | Meeting Date: | 8/16/2023 |
| Item Title:  | Monthly Financial Report Compared to Budget |               |           |

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## BACKGROUND:

Attached is the statement of operations for the month of June 2023 and fiscal year-to-date compared to the budget and a balance sheet as of June 30, 2023.

These are preliminary financial statement for FY 2023 year-end which will be audited by our external auditors in the next couple of months. There is potential for additional adjustments that may come from the audit but will likely not be material. We will present these statements again in conjunction with presentation of the final audit report later this calendar year.

We ended the fiscal year basically balanced and under budget as it relates to revenues and expenses since the budget was based upon full operations. Expenses were under budget as we ran reduced service levels for the regional bus services operated by Gray Line throughout the year primarily as a result of the labor shortages being experienced across the country. Consequently, with expenses running favorable compared to budget, you will see an offsetting unfavorable in revenues due to RTA being heavily dependent on grant funding. With expenses reduced, RTA did not have to draw down all its budgeted grant funding.

As of June 30, 2023, RTA owed Nashville MTA approximately \$237,618 for services provided to and from Rutherford County as well as management fees. RTA also had an accounts receivable from Nashville MTA of approximately \$50,814 for fares collected as well as Easy Ride revenue sharing due.

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## APPROVED:



Chief Financial Officer

8/16/2023

Date



**Regional Transportation Authority**  
**Statement of Operations Compared to Budget**  
For the Period Ending June 30, 2023  
**PRELIMINARY UNAUDITED**

|                                    | Actual<br>Month    | Budget<br>Month    | Month End<br>Variance | F/<br>U  | Prior Year<br>Y-T-D | Actual<br>Y-T-D      | Budget<br>Y-T-D     | Y-T-D<br>Variance    | F/<br>U  | Budget              |
|------------------------------------|--------------------|--------------------|-----------------------|----------|---------------------|----------------------|---------------------|----------------------|----------|---------------------|
| <b>Revenue from Operations:</b>    |                    |                    |                       |          |                     |                      |                     |                      |          |                     |
| Regional Bus Revenues              | \$21,439           | \$14,837           | \$6,602               | F        | \$159,609           | \$249,449            | \$185,757           | \$63,692             | F        | \$185,757           |
| Commuter Train Revenues            | 34,865             | 20,520             | 14,345                | F        | 204,780             | 222,392              | 200,155             | 22,237               | F        | 200,155             |
| Special Events                     | 1,462              | 16,690             | (15,228)              | U        | 89,534              | 83,792               | 74,250              | 9,542                | F        | 74,250              |
| Advertising                        | 0                  | 980                | (980)                 | U        | 0                   | 0                    | 9,900               | (9,900)              | U        | 9,900               |
| Other Non-Trans Revenue            | 3,899              | 8,220              | (4,321)               | U        | 282,607             | 317,446              | 267,872             | 49,574               | F        | 267,872             |
| <b>Total Operating Revenue</b>     | <b>61,665</b>      | <b>61,247</b>      | <b>418</b>            | <b>F</b> | <b>736,530</b>      | <b>873,079</b>       | <b>737,934</b>      | <b>135,145</b>       | <b>F</b> | <b>737,934</b>      |
| <b>Federal/State/Local Income:</b> |                    |                    |                       |          |                     |                      |                     |                      |          |                     |
| Local Assistance                   | 165,666            | 0                  | 165,666               | F        | 1,561,751           | 196,948              | 196,948             | 0                    | F        | 196,948             |
| Regional Assistance                | 0                  | 30,000             | (30,000)              | U        | 563,217             | 560,828              | 560,828             | 0                    | F        | 560,828             |
| State Assistance                   | 0                  | 0                  | 0                     | F        | 642,300             | 667,154              | 642,300             | 24,854               | F        | 642,300             |
| Federal Assistance - CMAQ          | 0                  | 126,930            | (126,930)             | U        | 1,366,326           | 1,464,051            | 1,465,446           | (1,395)              | U        | 1,465,446           |
| Federal Assistance - CARES Act     | 844,150            | 365,000            | 479,150               | F        | 1,527,122           | 3,648,127            | 4,529,221           | (881,094)            | U        | 4,529,221           |
| <b>Total Assistance Income</b>     | <b>1,009,816</b>   | <b>521,930</b>     | <b>487,886</b>        | <b>F</b> | <b>5,660,716</b>    | <b>6,537,108</b>     | <b>7,394,743</b>    | <b>(857,635)</b>     | <b>U</b> | <b>7,394,743</b>    |
| <b>Capital Revenue:</b>            |                    |                    |                       |          |                     |                      |                     |                      |          |                     |
| Capital Operating Reimbursement    | 252,790            | 201,783            | 51,007                | F        | 1,018,616           | 2,555,917            | 2,329,757           | 226,160              | F        | 2,329,757           |
| American Rescue Plan Operating     | 0                  | 0                  | 0                     | F        | 1,000,000           | 0                    | 0                   | 0                    | F        | 0                   |
| <b>Total Capital Income</b>        | <b>252,790</b>     | <b>201,783</b>     | <b>51,007</b>         | <b>F</b> | <b>2,018,616</b>    | <b>2,555,917</b>     | <b>2,329,757</b>    | <b>226,160</b>       | <b>F</b> | <b>2,329,757</b>    |
| <b>Total Revenue</b>               | <b>\$1,324,271</b> | <b>\$784,960</b>   | <b>\$539,311</b>      | <b>F</b> | <b>\$8,415,862</b>  | <b>\$9,966,104</b>   | <b>\$10,462,434</b> | <b>(\$496,330)</b>   | <b>U</b> | <b>\$10,462,434</b> |
| <b>Expenses from Operations:</b>   |                    |                    |                       |          |                     |                      |                     |                      |          |                     |
| Management Contract - MTA          | \$71,746           | \$71,746           | \$0                   | F        | \$844,056           | \$860,940            | \$860,940           | \$0                  | F        | \$860,940           |
| Services                           | 707,189            | 703,170            | (4,019)               | U        | 6,465,179           | 7,720,455            | 8,142,114           | 421,659              | F        | 8,142,114           |
| Fuel                               | 59,017             | 62,230             | 3,213                 | F        | 381,169             | 711,257              | 731,790             | 20,533               | F        | 731,790             |
| Materials and Supplies             | 0                  | 1,115              | 1,115                 | F        | 20,130              | 12,126               | 22,975              | 10,849               | F        | 22,975              |
| Utilities                          | 13,055             | 16,237             | 3,182                 | F        | 171,606             | 178,540              | 187,345             | 8,805                | F        | 187,345             |
| Casualty and Liability             | 34,325             | 40,275             | 5,950                 | F        | 423,146             | 418,704              | 487,170             | 68,466               | F        | 487,170             |
| Other                              | 0                  | 1,680              | 1,680                 | F        | (7,460)             | 13,376               | 30,100              | 16,724               | F        | 30,100              |
| <b>Total Operating Expenses</b>    | <b>885,332</b>     | <b>896,453</b>     | <b>11,121</b>         | <b>F</b> | <b>8,297,826</b>    | <b>9,915,398</b>     | <b>10,462,434</b>   | <b>547,036</b>       | <b>F</b> | <b>10,462,434</b>   |
| <b>Surplus / (Deficit)</b>         | <b>\$438,939</b>   | <b>(\$111,493)</b> | <b>\$550,432</b>      | <b>F</b> | <b>\$118,036</b>    | <b>\$50,706</b>      | <b>\$0</b>          | <b>\$50,706</b>      | <b>F</b> | <b>\$0</b>          |
| Capital Grant Revenue              | 114,705            |                    | 114,705               | F        | 7,955,832           | 622,256              |                     | 622,256              | F        | 0                   |
| Gain / (Loss) on Sale              | 0                  |                    | 0                     | F        | 4,137               | 424                  |                     | 424                  | F        | 0                   |
| Vanpool Replacement Revenue Fund   | 0                  |                    | 0                     | F        | 307                 | 0                    |                     | 0                    | F        | 0                   |
| Depreciation                       | (348,833)          |                    | (348,833)             | U        | (3,693,178)         | (4,203,523)          |                     | (4,203,523)          | U        | 0                   |
| <b>Surplus / (Deficit)</b>         | <b>\$204,811</b>   | <b>(\$111,493)</b> | <b>\$316,304</b>      | <b>F</b> | <b>\$4,385,134</b>  | <b>(\$3,530,137)</b> | <b>\$0</b>          | <b>(\$3,530,137)</b> | <b>U</b> | <b>\$0</b>          |

# Regional Transportation Authority

## Comparative Balance Sheets PRELIMINARY

|  | Month Ended<br>June 30, 2023 | Month Ended<br>June 30, 2022 |
|--|------------------------------|------------------------------|
|  | (unaudited)                  | (audited)                    |
| <b>CURRENT ASSETS</b>                                |                              |                              |
| Cash and cash equivalents                            | \$904,389                    | \$1,412,126                  |
| Receivables from federal, state and local government | 871,401                      | 1,113,541                    |
| Accounts receivable                                  | 114,686                      | 164,648                      |
| Materials and supplies                               | 364,480                      | 299,173                      |
| Prepaid expense and other                            | 23,994                       | 26,244                       |
| Total Current Assets                                 | 2,278,950                    | 3,015,732                    |
| <b>PROPERTY AND EQUIPMENT</b>                        |                              |                              |
| Land   | 3,382,052                    | 3,382,052                    |
| Building, shelter and benches                        | 19,407,307                   | 19,407,307                   |
| Guideway Improvements                                | 8,586,547                    | 8,586,547                    |
| Revenue equipment and parts                          | 30,991,482                   | 31,593,228                   |
| Office equipment                                     | 556,150                      | 556,150                      |
| Work-in-Progress                                     | 601,495                      | 0                            |
|  | 63,525,033                   | 63,525,284                   |
| Less: Accumulated Depreciation                       | (23,395,084)                 | (19,818,319)                 |
| Total Property and equipment, net                    | 40,129,949                   | 43,706,965                   |
| <b>OTHER ASSETS</b>                                  |                              |                              |
| Cash and investments restricted                      | 7,944,646                    | 5,602,485                    |
| <b>TOTAL ASSETS</b>                                  | <b>\$50,353,545</b>          | <b>\$52,325,182</b>          |
| <b>LIABILITIES AND NET ASSETS</b>                    |                              |                              |
| <b>CURRENT LIABILITIES</b>                           |                              |                              |
| Accounts payable                                     | \$707,012                    | \$1,495,115                  |
| Accrued expenses                                     | 25,996                       | 25,300                       |
| Deferred Revenue                                     | 5,433,831                    | 3,146,385                    |
| Note Payable   | 0                            | 0                            |
| Total Current Liabilities                            | 6,166,839                    | 4,666,800                    |
| <b>NET ASSETS</b>                                    |                              |                              |
| Invested in capital assets                           | 40,129,949                   | 43,706,965                   |
| Restricted - Self Insurance Reserve                  | 1,000,000                    | 1,000,000                    |
| Restricted - Administrative Reserve                  | 1,000,000                    | 1,000,000                    |
| Restricted - Reserve for van pool replacement        | 529,473                      | 456,100                      |
| Restricted - Regional Bus Reserve                    | 3,780,765                    | 3,011,977                    |
| Restricted - Regional Train Reserve                  | 1,634,408                    | 134,408                      |
| Unrestricted   | (357,752)                    | (6,022,910)                  |
| Current Year Surplus / (deficit)                     | (3,530,137)                  | 4,371,842                    |
| Total Net Assets                                     | 44,186,706                   | 47,658,382                   |
| <b>TOTAL LIABILITIES AND NET ASSETS</b>              | <b>\$50,353,545</b>          | <b>\$52,325,182</b>          |

|                     | Current   | > 30 days | > 60 Days | > 90 days | Total     |
|---------------------|-----------|-----------|-----------|-----------|-----------|
| Accounts Receivable | \$114,686 | \$0       | \$0       | \$0       | \$114,686 |
|                     | 100.0%    | 0.0%      | 0.0%      | 0.0%      | 100.0%    |
| Accounts Payable    | \$683,779 | \$22,500  | \$0       | \$733     | \$707,012 |
|                     | 96.7%     | 3.2%      | 0.0%      | 0.1%      | 100.0%    |

# Regional Transportation Authority

## of Middle Tennessee

- Committee Discussion Item     
  Exec. Committee Discussion Item     
  Board Discussion Item  
 Committee Action Item     
  Exec. Committee Action Item

|                     |                              |                      |           |
|---------------------|------------------------------|----------------------|-----------|
| <b>Item Number:</b> | R-D-23-015                   | <b>Meeting Date:</b> | 8/16/2023 |
| <b>Item Title:</b>  | Debt Obligation Notification |                      |           |

**BACKGROUND:**

In its June 21, 2023 meeting, the RTA Board authorized the renewal of its line of credit with Fifth Third Bank up to \$5 million, effective July 1, 2023. While we continue to reduce the frequency of the need to utilize the line, it is difficult to forecast the availability of future federal grant funding. Consequently, we believe it is imperative to renew the line of credit in order to ensure timely cash flow for expenses. RTA uses a portion of its grant funding to pay the capital cost of contracting operating costs, and there are numerous times that the federal government has delayed the release of the budget, causing cash flow issues. The State of Tennessee, Comptroller’s Office also requires any public entity to submit a report of debt obligations to be filed within 45 days of entering into any debt agreement. It must also be presented to the Governing Body of the public entity and be included in a public meeting. A copy of the submission, which is included for reference, was filed with the Comptroller’s Office on July 12, 2023, and we received an acknowledgment of acceptance from the Comptroller’s Office on July 13, 2023.

**CURRENT STATUS:**

On July 1, 2023, we entered into a Revolving Credit Promissory Note with Fifth Third Bank for \$5.0 million, with an expiration of the note on June 30, 2024. This note is needed to cover our cash flow needs throughout the year. The terms of the loan are as follows:

|               |  |
|---------------|--|
| Term          | 1 year   |
| Maturity Date | June 30, 2024  |
| Interest Rate | Variable – Prime minus 1.8%  |
| Legal Fees    | \$1,300 paid to Dickenson Wright Law Firm representing Fifth Third Bank  |
| Non-Use Fee   | 7.5 basis points on the daily unused principal amount of the note, charged quarterly. The maximum fee will not exceed \$3,750. |

Once we receive designated grant funds, any related outstanding loan will be paid down to minimize our interest expense.

**APPROVED:**

*Edward W. Oliphant*

Chief Financial Officer

8/16/2023

Date

**REPORT ON DEBT OBLIGATION**

(Pursuant to Tennessee Code Annotated Section 9-21-134)

**1. Public Entity:**  
 Name: THE REGIONAL TRANSPORTATION AUTHORITY  
 Address: 430 MYATT DRIVE  
MADISON, TN 37115  
 Debt Issue Name: THE REGIONAL TRANSPORTATION AUTHORITY  
 If disclosing initially for a program, attach the form specified for updates, indicating the frequency required.

**2. Face Amount:** \$ 5,000,000.00  
 Premium/Discount: \$ \_\_\_\_\_

**3. Interest Cost:** \_\_\_\_\_ %  Tax-exempt  Taxable  
 TIC  NIC  
 Variable: Index \_\_\_\_\_ plus \_\_\_\_\_ basis points; or  
 Variable: Remarketing Agent \_\_\_\_\_  
 Other: PRIME less 1.8% and a Non-Use fee of 7.5 Basis Points, paid quarterly

**4. Debt Obligation:**  
 TRAN  RAN  CON  
 BAN  CRAN  GAN  
 Bond  Loan Agreement  Financing Lease  
 If any of the notes listed above are issued pursuant to Title 9, Chapter 21, enclose a copy of the executed note with the filing with the Division of Local Government Finance ("LGF").

**5. Ratings:**  
 Unrated  
 Moody's \_\_\_\_\_ Standard & Poor's \_\_\_\_\_ Fitch \_\_\_\_\_

**6. Purpose:**

|   |                 | BRIEF DESCRIPTION                        |
|---|-----------------|--|
| <input type="checkbox"/> General Government | _____ %         | _____                                    |
| <input type="checkbox"/> Education          | _____ %         | _____                                    |
| <input type="checkbox"/> Utilities          | _____ %         | _____                                    |
| <input checked="" type="checkbox"/> Other   | <u>100.00</u> % | <u>Public Transportation / Cash Flow</u> |
| <input type="checkbox"/> Refunding/Renewal  | _____ %         | _____                                    |

**7. Security:**  
 General Obligation  General Obligation + Revenue/Tax  
 Revenue  Tax Increment Financing (TIF)  
 Annual Appropriation (Financing Lease Only)  Other (Describe): \_\_\_\_\_

**8. Type of Sale:**  
 Competitive Public Sale  Interfund Loan \_\_\_\_\_  
 Negotiated Sale  Loan Program LINE OF CREDIT  
 Informal Bid

**9. Date:**  
 Dated Date: 07/12/2023 Issue/Closing Date: 06/30/2023

### REPORT ON DEBT OBLIGATION

(Pursuant to Tennessee Code Annotated Section 9-21-134)

#### 10. Maturity Dates, Amounts and Interest Rates \*:

| Year      | Amount          | Interest Rate    | Year | Amount | Interest Rate |
|-----------|-----------------|------------------|------|--------|---------------|
| 2023-2024 | \$ 5,000,000.00 | PRIME less 1.8 % |      | \$     | %             |
|           | \$              | %                |      | \$     | %             |
|           | \$              | %                |      | \$     | %             |
|           | \$              | %                |      | \$     | %             |
|           | \$              | %                |      | \$     | %             |
|           | \$              | %                |      | \$     | %             |
|           | \$              | %                |      | \$     | %             |
|           | \$              | %                |      | \$     | %             |
|           | \$              | %                |      | \$     | %             |
|           | \$              | %                |      | \$     | %             |
|           | \$              | %                |      | \$     | %             |
|           | \$              | %                |      | \$     | %             |
|           | \$              | %                |      | \$     | %             |
|           | \$              | %                |      | \$     | %             |
|           | \$              | %                |      | \$     | %             |

If more space is needed, attach an additional sheet.

If (1) the debt has a final maturity of 31 or more years from the date of issuance, (2) principal repayment is delayed for two or more years, or (3) debt service payments are not level throughout the retirement period, then a cumulative repayment schedule (grouped in 5 year increments out to 30 years) including this and all other entity debt secured by the same source **MUST BE PREPARED AND ATTACHED**. For purposes of this form, debt secured by an ad valorem tax pledge and debt secured by a dual ad valorem tax and revenue pledge are secured by the same source. Also, debt secured by the same revenue stream, no matter what lien level, is considered secured by the same source.

\* This section is not applicable to the Initial Report for a Borrowing Program.

#### 11. Cost of Issuance and Professionals:

No costs or professionals

|                                   | AMOUNT<br><small>(Round to nearest \$)</small> | FIRM NAME              |
|-----------------------------------|--|------------------------|
| Financial Advisor Fees            | \$ 0   |                        |
| Legal Fees                        | \$ 1,300                                       | Dickinson Wright, PLLC |
| Bond Counsel                      | \$ 0   |                        |
| Issuer's Counsel                  | \$ 0   |                        |
| Trustee's Counsel                 | \$ 0   |                        |
| Bank Counsel                      | \$ 0   |                        |
| Disclosure Counsel                | \$ 0   |                        |
| _____                             | \$ 0   |                        |
| Paying Agent Fees                 | \$ 0   |                        |
| Registrar Fees                    | \$ 0   |                        |
| Trustee Fees                      | \$ 0   |                        |
| Remarketing Agent Fees            | \$ 0   |                        |
| Liquidity Fees                    | \$ 0   |                        |
| Rating Agency Fees                | \$ 0   |                        |
| Credit Enhancement Fees           | \$ 0   |                        |
| Bank Closing Costs                | \$ 0   |                        |
| Underwriter's Discount _____ %    |  |                        |
| Take Down                         | \$ 0   |                        |
| Management Fee                    | \$ 0   |                        |
| Risk Premium                      | \$ 0   |                        |
| Underwriter's Counsel             | \$ 0   |                        |
| Other expenses                    | \$ 0   |                        |
| Printing and Advertising Fees     | \$ 0   |                        |
| Issuer/Administrator Program Fees | \$ 0   |                        |
| Real Estate Fees                  | \$ 0   |                        |
| Sponsorship/Referral Fee          | \$ 0   |                        |
| Other Costs _____                 | \$ 0   |                        |
| <b>TOTAL COSTS</b>                | <b>\$ 1,300</b>                                |                        |

**REPORT ON DEBT OBLIGATION**  
(Pursuant to Tennessee Code Annotated Section 9-21-134)

**12. Recurring Costs:**

No Recurring Costs

|                                | AMOUNT<br>(Basis points/\$) | FIRM NAME<br>(If different from #11) |
|--------------------------------|-----------------------------|--------------------------------------|
| Remarketing Agent              | _____                       | _____                                |
| Paying Agent / Registrar       | _____                       | _____                                |
| Trustee                        | _____                       | _____                                |
| Liquidity / Credit Enhancement | _____                       | _____                                |
| Escrow Agent                   | _____                       | _____                                |
| Sponsorship / Program / Admin  | _____                       | _____                                |
| Other <u>NON-USE</u>           | <u>7.5</u>                  | <u>Paid Quarterly</u>                |

**13. Disclosure Document / Official Statement:**

None Prepared

EMMA link \_\_\_\_\_ or

Copy attached

**14. Continuing Disclosure Obligations:**

Is there an existing continuing disclosure obligation related to the security for this debt?  Yes  No

Is there a continuing disclosure obligation agreement related to this debt?  Yes  No

If yes to either question, date that disclosure is due \_\_\_\_\_

Name and title of person responsible for compliance \_\_\_\_\_

**15. Written Debt Management Policy:**

Governing Body's approval date of the current version of the written debt management policy 12/15/2011

Is the debt obligation in compliance with and clearly authorized under the policy?  Yes  No

**16. Written Derivative Management Policy:**

No derivative

Governing Body's approval date of the current version of the written derivative management policy \_\_\_\_\_

Date of Letter of Compliance for derivative \_\_\_\_\_

Is the derivative in compliance with and clearly authorized under the policy?  Yes  No

**17. Submission of Report:**

To the Governing Body: on 08/16/2023 and presented at public meeting held on 08/16/2023

Copy to Director, Division of Local Govt Finance: on 07/12/2023 either by:

Mail to: \_\_\_\_\_ OR  Email to: [LGF@cot.tn.gov](mailto:LGF@cot.tn.gov)

Cordell Hull Building  
425 Rep. John Lewis Parkway N., 4th Floor  
Nashville, TN 37243-3400

**18. Signatures:**

|       | AUTHORIZED REPRESENTATIVE        | PREPARER                           |
|-------|----------------------------------|------------------------------------|
| Name  | <u>Edward W. Oliphant</u>        | <u>Janet L Poynter</u>             |
| Title | <u>Chief Financial Officer</u>   | <u>Accounting Manager</u>          |
| Firm  | _____                            | _____                              |
| Email | <u>ed.oliphant@nashville.gov</u> | <u>janet.poynter@nashville.gov</u> |
| Date  | <u>07/12/2023</u>                | <u>07/12/2023</u>                  |

# Regional Transportation Authority of Middle Tennessee

- Committee Discussion Item     Exec. Committee Discussion Item     Board Discussion Item  
 Committee Action Item     Exec. Committee Action Item

|              |                              |               |           |
|--------------|------------------------------|---------------|-----------|
| Item Number: | R-D-23-016                   | Meeting Date: | 8/16/2023 |
| Item Title:  | Monthly Operating Statistics |               |           |

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## BACKGROUND:

Attached are the monthly operating statistics for June 2023.

Ridership continues to hold steady, changing very little year-over-year. Absent changes in either the service or the market of potential customers, it is unlikely that we will see additional significant changes in ridership in the near term. This is similar to observations at other transit agencies in North America – especially those that provide predominantly commuter-oriented trips.

Complaints on RTA services are elevated from last year, with passenger pass-ups being a notable issue. To better track complaints and respond to customers in a timely manner, a new, dedicated complaint investigation group has been created for all WeGo service comments. Should these higher complaint trends continue, this group will make a deep dive into the data to look for root causes and potential mitigating actions.

There were two accidents on RTA services this month, one on the commuter bus service and one on the WeGo Star. The bus accident was minor with no injuries. The rail accident involved a pedestrian on the tracks, and the individual was transported from the scene for medical treatment.

## CURRENT STATUS:

Staff are available to address committee member questions regarding the attached report. Please direct any inquiries to Monica Howse.

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## APPROVED:



Chief Operating Officer

8/16/2023

Date

# RTA Monthly Dashboard Report \*

| Metric  | June<br>2023 | June<br>2022 | Pct. Change     |
|---|--------------|--------------|-----------------|
| <b>Ridership</b>                              |              |              |                 |
|   |              |              | <b>% Change</b> |
| Total RTA Bus Passengers                      | 10,119       | 9,848        | 2.8%            |
| WeGo Star Passengers                          | 8,066        | 7,696        | 4.8%            |
| Total RTA Passengers                          | 18,185       | 17,544       | 3.7%            |
| Percentage of Pre-Pandemic Ridership          | 37.7%        | 36.4%        | 1.3%            |
| <b>Safety</b>                                 |              |              |                 |
| RTA Bus Total Accidents                       | 1            | 0            | N/A             |
| WeGo Star Total Accidents                     | 1            | 0            | N/A             |
| RTA Bus Total Miles btwn Accidents            | 49,693       | N/A          | N/A             |
| WGS Total Miles btwn Accidents                | 6,968        | N/A          | N/A             |
| <b>Service Quality</b>                        |              |              |                 |
| RTA Bus Total Trip Completion %               | 99.70%       | 99.40%       | 0.30%           |
| WeGo Star Total Trip Completion %             | 100.00%      | 100.00%      | 0.00%           |
| RTA Bus Total Miles btwn Service Interruption | 9,938.5      | 4,702.2      | 111.4%          |
| WGS Total Miles btwn Service Interruption     | N/A          | N/A          | N/A             |
| <b>On-Time Performance ^</b>                  |              |              |                 |
| RTA Bus                                       | 84.8%        | 85.7%        | -1.0%           |
| WeGo Star                                     | 96.6%        | 98.1%        | -1.5%           |
| <b>Customer Care</b>                          |              |              |                 |
| RTA Bus Total Passengers per Complaint        | 533          | 9,848        | -94.6%          |
| WeGo Star Passengers per Complaint            | 4,033        | N/A          | N/A             |

\* RTA Dashboard submitted for discussion and for Committee and Board review.

^ On Time Performance reporting began September 2017.

N/A - metric cannot be calculated due to not being divisible by "0"



# RTA Monthly Dashboard Report \*

| Metric  | FY 2023<br>June | FY 2022<br>June | Pct. Change     |
|---|-----------------|-----------------|-----------------|
| <b>Ridership</b>                              |                 |                 |                 |
|   |                 |                 | <b>% Change</b> |
| Total RTA Bus Passengers                      | 125,057         | 94,855          | 31.8%           |
| WeGo Star Passengers                          | 92,834          | 71,458          | 29.9%           |
| Total RTA Passengers                          | 217,891         | 166,313         | 31.0%           |
| Percentage of Pre-Pandemic Ridership          | 34.8%           | 26.5%           | 8.2%            |
| <b>Safety</b>                                 |                 |                 |                 |
| RTA Bus Total Accidents                       | 6               | 0               | N/A             |
| WeGo Star Total Accidents                     | 3               | 1               | 200.0%          |
| RTA Bus Total Miles btwn Accidents            | 92,107          | N/A             | N/A             |
| WGS Total Miles btwn Accidents                | 26,923          | 71,737          | -62.5%          |
| <b>Service Quality</b>                        |                 |                 |                 |
| RTA Bus Total Trip Completion %               | 99.15%          | 98.96%          | 0.19%           |
| WeGo Star Total Trip Completion %             | 99.80%          | 99.10%          | 0.70%           |
| RTA Bus Total Miles btwn Service Interruption | 3,427.5         | 2,791.9         | 22.8%           |
| WGS Total Miles btwn Service Interruption     | 13,461.5        | 2,869.5         | 369.1%          |
| <b>On-Time Performance ^</b>                  |                 |                 |                 |
| RTA Bus                                       | 86.5%           | 85.8%           | 0.6%            |
| WeGo Star                                     | 97.7%           | 97.6%           | 0.1%            |
| <b>Customer Care</b>                          |                 |                 |                 |
| RTA Bus Total Passengers per Complaint        | 947             | 2,432           | -61.0%          |
| WeGo Star Passengers per Complaint            | 5,802           | 3,970           | 46.2%           |

\* RTA Dashboard submitted for discussion and for Committee and Board review.

^ On Time Performance reporting began September 2017.

N/A - metric cannot be calculated due to not being divisible by "0"

# RTA Operations Dashboard Glossary

| Metric                               | Definitions   |
|--------------------------------------|---|
| <b>Ridership</b>                     |   |
| <b>Total Passengers</b>              |   |
| RTA Bus                              | Total fixed route passenger boardings on all MTA operated RTA routes (84, 86, 93, 96) and Gray Line operated RTA routes (87, 88, 89, 91, 92, 94, 95)  |
| WeGo Star                            | Total passenger boardings on WeGo Star Rail Service   |
| <b>Safety</b>                        |   |
| RTA Bus Accidents                    | A motor vehicle collision, either preventable or non-preventable, in which the Operator did not do everything reasonable to avoid a collision, committed an error or failed to react to the errors of others. A motor vehicle collision in which the Operator committed no driving error and reacted reasonably to the errors of others. (Gray Line & MTA operated RTA metrics combined)  |
| WeGo Star Accidents                  | Accident – an unexpected, unforeseen, or unintended event that causes injury, loss, or damage. These events can include any event arising from the operation of the railroad which results in the death of any person; or an injury to any person that requires medical treatment, except suicides or attempted suicides; any collision between railroad on-track equipment and an automobile, bus, truck, motorcycle, occupied bicycle, pedestrian or trespasser at any location on the railroad; any collision, derailment, fire, explosion, failure of equipment or infrastructure, act of nature, or other event involving damage to the railroad’s on-track equipment, signals, track, track structures, and/or roadbed. |
| <b>Service Quality</b>               |   |
| RTA Bus Missed Trips                 | The total number of Bus revenue trips not completed or departing more than 30 minutes late -vs- scheduled. (Gray Line & MTA operated RTA metrics combined)  |
| WeGo Star Missed Trips               | A train that is disabled in transit or cancelled prior to embarking. A missed trip is reported as an annulment and is when the train is cancelled and doesn’t complete the run or make it to its final destination.   |
| RTA Bus Missed Trips                 | The total number of Bus revenue trips not completed or departing more than 30 minutes late -vs- scheduled. (Gray Line & MTA operated RTA metrics combined)  |
| RTA Bus Trip Completion Percentage   | Percentage of one-way fixed route revenue trips completed versus scheduled.   |
| WeGo Star Trip Completion Percentage | Percentage of one-way rail trips completed versus scheduled.  |

# RTA Operations Dashboard Glossary

## Metric

## Definitions

### On-Time Performance

RTA Bus OTP

MTA operated RTA routes - OTP is the Percentage of total scheduled fixed route timepoint departures occurring between 59 seconds early and 5 minutes 59 seconds late obtained from AVL data. Gray Line operated routes - OTP is the Percentage of total scheduled fixed WeGo Central route arrivals and departures occurring no later than 5 minutes 59 seconds late obtained from data provided by Gray Line personnel. (Gray Line & MTA operated RTA metrics combined based on a weighted average of total trips)

WeGo Star OTP

A train is considered on time when the train arrives at the final destination less than 6 minutes from the scheduled time. If a train is held up for 6 minutes or longer it is considered delayed and not on time. Intermediate station times are not included.

### Customer Care

#### Passengers Carried Per Complaint

RTA Bus

Total RTA Bus passengers divided by total RTA Bus customer complaints. (Gray Line & MTA operated RTA metrics combined)

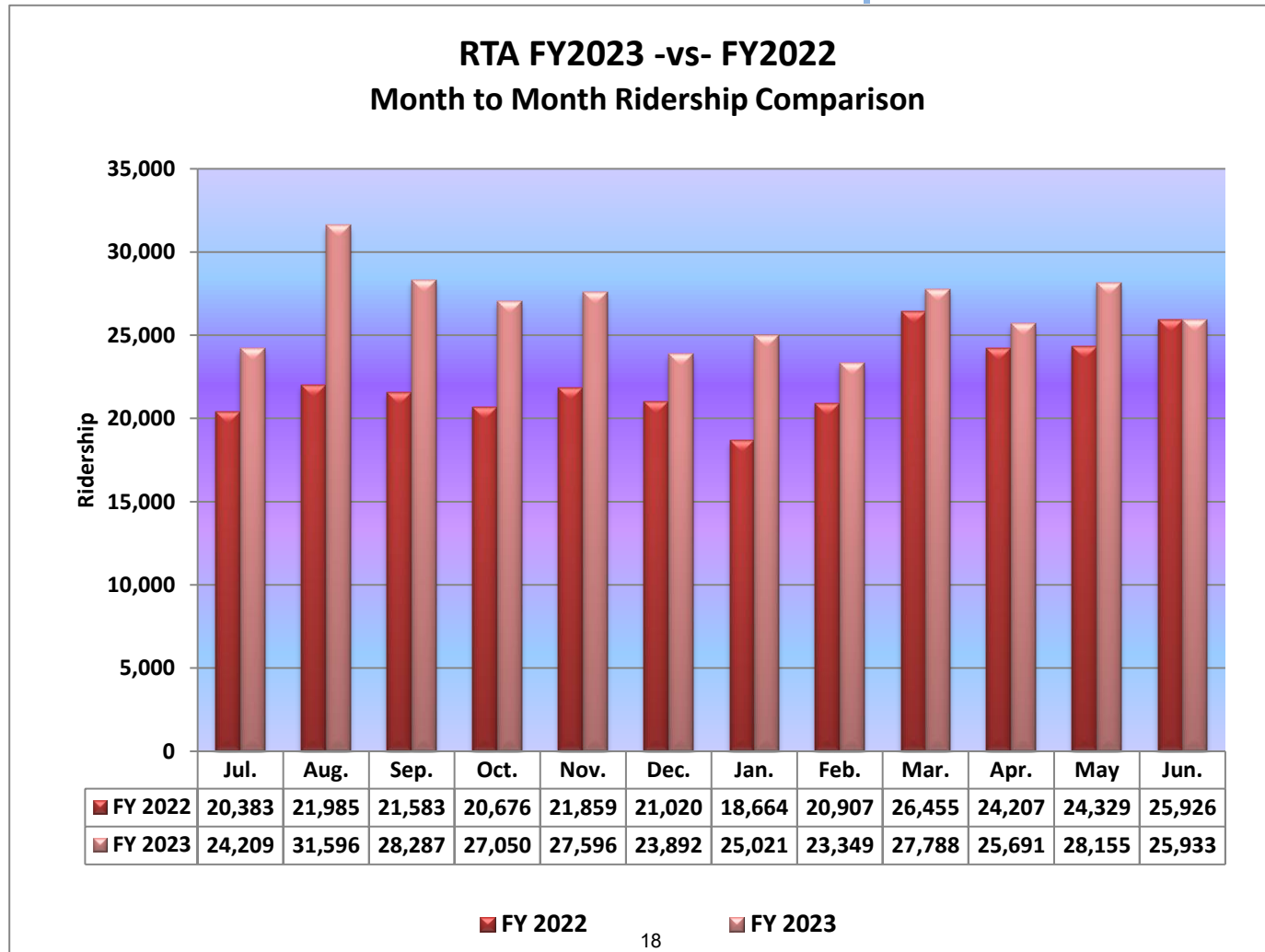
WeGo Star

Total WeGo Star passengers divided by total WeGo Star customer complaints.



## REGIONAL TRANSPORTATION AUTHORITY FISCAL YEAR AND MONTH TO MONTH RIDERSHIP COMPARISON - FY 2023 -vs- 2022

|                                | Month to Month Comparison |               |                   | Fiscal Year Comparison |                |                   |
|--------------------------------|---------------------------|---------------|-------------------|------------------------|----------------|-------------------|
|                                | Jun-22                    | Jun-23        | Percentage Change | FY 2022                | FY 2023        | Percentage Change |
| WeGo Star                      | 7,696                     | 8,066         | 4.8%              | 71,458                 | 92,834         | 29.9%             |
| Express Bus & Shuttle Services | 9,848                     | 10,119        | 2.8%              | 94,855                 | 125,091        | 31.9%             |
| RTA VanStar Vanpool Service    | 1,011                     | 1,152         | 13.9%             | 16,912                 | 14,399         | -14.9%            |
| <b>Total RTA Ridership</b>     | <b>18,555</b>             | <b>19,337</b> | <b>4.2%</b>       | <b>183,225</b>         | <b>232,324</b> | <b>26.8%</b>      |





**NASHVILLE AND REGIONAL TRANSPORTATION AUTHORITY  
FISCAL YEAR AND MONTH TO MONTH RIDERSHIP COMPARISON - FY 2023 -vs- 2022**

|  | Month to Month Comparison |                |              | Fiscal Year      |                  |              |
|--|---------------------------|----------------|--------------|------------------|------------------|--------------|
|  | Jun-22                    | Jun-23         | Change       | FY 2022          | FY 2023          | Change       |
| MTA Local Bus Service                                | 564,038                   | 660,010        | 17.0%        | 6,010,540        | 7,743,292        | 28.8%        |
| MTA Local Paratransit Service                        | 28,327                    | 30,472         | 7.6%         | 306,272          | 358,831          | 17.2%        |
| RTA Regional Bus Service                             | 9,848                     | 10,119         | 2.8%         | 94,855           | 125,091          | 31.9%        |
| RTA VanStar Vanpool Service                          | 1,011                     | 1,152          | 13.9%        | 16,912           | 14,399           | -14.9%       |
| RTA Regional Rail Service                            | 7,696                     | 8,066          | 4.8%         | 71,458           | 92,834           | 29.9%        |
| * RTA Special Events Rail Service                    | 0                         | 125            | N/A          | 6,855            | 8,603            | 25.5%        |
| <b>Subtotal RTA Rail Service</b>                     | <b>7,696</b>              | <b>8,191</b>   | <b>6.4%</b>  | <b>78,313</b>    | <b>101,437</b>   | <b>29.5%</b> |
| <b>Subtotal MTA &amp; RTA Bus &amp; Rail Service</b> | <b>610,920</b>            | <b>709,944</b> | <b>16.2%</b> | <b>6,506,892</b> | <b>8,343,050</b> | <b>28.2%</b> |
| Williamson County VanStar Vanpool Service            | 7,371                     | 6,471          | -12.2%       | 77,914           | 77,640           | -0.4%        |
| Murfreesboro ROVER Local Bus Service                 | 9,965                     | 9,668          | -3.0%        | 107,549          | 108,313          | 0.7%         |
| Franklin Transit Local Bus Service                   | 4,817                     | 4,591          | -4.7%        | 69,624           | 78,732           | 13.1%        |
| Clarksville Transit Local Bus Service                | 40,730                    | 46,026         | 13.0%        | 465,167          | 524,342          | 12.7%        |
| <b>Total Area Ridership</b>                          | <b>673,803</b>            | <b>776,700</b> | <b>15.3%</b> | <b>7,227,146</b> | <b>9,132,077</b> | <b>26.4%</b> |



**REGIONAL TRANSPORTATION AUTHORITY  
ROUTE PERFORMANCE INDICATOR REPORT**

For the Month of: **June-23**

| Rte. No.   | Route Name                              | Monthly Ridership | Ridership Change vs Last Year | Revenue Hours Of Service | Average Passengers Per Trip | Per Hour   |
|--|---|-------------------|-------------------------------|--------------------------|-----------------------------|------------|
| <b>CORRIDOR SERVICE COMPARISONS - COMMUTER BUS SERVICE</b> |   |                   |                               |                          |                             |            |
|  | North Corridor (Route 87)               | 1,554             | -10.6%                        | 206                      | 9                           | 7.5        |
|  | Northwest Corridor (Routes 89 & 94)     | 2,174             | 3.1%                          | 360                      | 7                           | 6.0        |
|  | South Corridor (Route 95)               | 789               | -16.2%                        | 249                      | 4                           | 3.2        |
|  | Southeast Corridor (Routes 84 & 86)     | 2,519             | 9.2%                          | 900                      | 4                           | 2.8        |
| <b>EXPRESS BUS ROUTE SERVICE</b>                           |   |                   |                               |                          |                             |            |
| 84   | Murfreesboro Express                    | 1,940             | 7.4%                          | 715                      | 4                           | 2.7        |
| 86   | Smyrna - LaVergne Express               | 579               | 16.0%                         | 184                      | 4                           | 3.1        |
| 87   | Gallatin Express                        | 1,554             | -10.6%                        | 206                      | 9                           | 7.5        |
| 88   | Dickson Express                         | 454               | 47.4%                         | 103                      | 5                           | 4.4        |
| 89   | Springfield - Joelton Express           | 311               | -22.6%                        | 122                      | 4                           | 2.5        |
| 94   | Clarksville Express                     | 1,863             | 9.2%                          | 238                      | 8                           | 7.8        |
| 95   | Spring Hill Express                     | 789               | -16.2%                        | 249                      | 4                           | 3.2        |
|  | <b>Express Bus Route Totals</b>         | <b>7,490</b>      | <b>1.2%</b>                   | <b>1,817</b>             | <b>5</b>                    | <b>4.1</b> |
| <b>OTHER ROUTES</b>  |   |                   |                               |                          |                             |            |
| 64   | Star Downtown Shuttle                   | 296               | 18.4%                         | 70                       | 1                           | 4.2        |
| 93   | WeGo Star West End Shuttle              | 2,333             | 6.2%                          | 92                       | 18                          | 25.4       |
|  | <b>RTA Bus Route Monthly Totals</b>     | <b>10,119</b>     | <b>2.8%</b>                   | <b>1,887</b>             | <b>9</b>                    | <b>5.4</b> |
| <b>COMMUTER RAIL SERVICE</b>                               |   |                   |                               |                          |                             |            |
| 90   | WeGo Star Commuter Rail                 | 8,066             | 4.8%                          | 251                      | 31                          | 32.1       |
|  | <b>RTA Commuter Rail and Bus Totals</b> | <b>18,185</b>     | <b>3.7%</b>                   | <b>2,138</b>             | <b>20</b>                   | <b>9</b>   |

# Regional Transportation Authority of Middle Tennessee

- Committee Discussion Item     Exec. Committee Discussion Item     Board Discussion Item  
 Committee Action Item     Exec. Committee Action Item

|              |  |               |           |
|--------------|--|---------------|-----------|
| Item Number: | R-D-23-017   | Meeting Date: | 8/16/2023 |
| Item Title:  | Federal Transit Administration Triennial Review Update |               |           |

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## BACKGROUND:

The Federal Transit Administration (FTA) recently provided MTA with the Final Report from its FY 23 Triennial Review. The Triennial Review is one of the FTA's oversight tools for examining grantee performance and compliance with FTA requirements and policies. Mandated by Congress in 1982, although not an audit, it examines how recipients of Urbanized Area Formula Program funds meet statutory and administrative requirements by examining a sample of award management and program implementation practices of the agency. As such, the Triennial Review is not intended as, nor does it constitute, a comprehensive and final review of compliance with award requirements. The Triennial Review focused on RTA's compliance in 23 areas. No deficiencies were found with the FTA requirements in 22 of these areas. Deficiencies were found in one area: Drug and Alcohol Program. This represents a significant improvement over the most recent previous triennial review in 2019.

## CURRENT STATUS:

Capital Grants Administrator Billy Higgins will review the Triennial Review process and Final Report, and Chief Safety and Security Officer Nick Oldham will review the corrective actions under way with respect to the Authority's Drug and Alcohol Program. A copy of the Final Triennial Review Report is attached for your information.

---

## APPROVED:

*Billy Higgins*

Capital Grants Administrator

8/16/2023

Date



U.S. Department  
of Transportation  
**Federal Transit  
Administration**

REGION IV  
Alabama, Florida, Georgia,  
Kentucky, Mississippi,  
North Carolina, Puerto  
Rico, South Carolina,  
Tennessee, Virgin Islands

230 Peachtree St., N.W.,  
Suite 1400  
Atlanta, GA 30303  
404-865-5600  
404-865-5605 (fax)

July 28, 2023

Mayor Randall Hutto, Wilson County  
Board Chair  
Nashville Regional Transit Authority of Middle Tennessee (RTA)  
430 Myatt Drive  
Nashville, TN 37115-3025

**Re: Nashville RTA Fiscal Year 2023 Triennial Review – Final Report**

Dear Mayor Hutto:

I am pleased to provide you with a copy of this Federal Transit Administration (FTA) report as required by 49 U.S.C. Chapter 53 and other Federal requirements. The enclosed final report documents the FTA's Fiscal Year (FY) 2023 Triennial Review of the Regional Transportation Authority of Middle Tennessee (RTA) in Nashville, Tennessee. Although not an audit, the Triennial Review is the FTA's assessment of RTA's compliance with Federal requirements, determined by examining a sample of award management and program implementation practices. As such, the Triennial Review is not intended as, nor does it constitute, a comprehensive and final review of compliance with award requirements.

Due to the Coronavirus 2019 (COVID-19) Public Health Emergency, a virtual site visit was conducted for this Triennial Review. In addition, the review was expanded to address RTA's compliance with the administrative relief and flexibilities FTA granted and the requirements of the COVID-19 Relief funds received through the Coronavirus Aid, Relief, and Economic Security (CARES) Act, Coronavirus Response and Relief Supplemental Appropriations Act (CRRSAA) of 2021, and the American Rescue Plan (ARP) Act of 2021.

The Triennial Review focused on RTA's compliance in 23 areas. No deficiencies were found with the FTA requirements in 22 of these areas. Deficiencies were found in one area: Drug and Alcohol Program. This is a repeat deficiency from the Fiscal Year 2019 Triennial Review.

Subsequent to the draft report, RTA provided corrective action responses to address and close the deficiency noted in the Drug and Alcohol Program area of the report that follows.



Thank you for your cooperation and assistance during this Triennial Review. If you need any technical assistance or have any questions, please do not hesitate to contact Mr. David Powell, FTA Program Manager, at 415-865-5628 or by email at David.Powell@dot.gov, or Mr. John Caruolo, your reviewer, at 610-176-2673 or by email at jcaruolo@aol.com.

Sincerely,

A handwritten signature in cursive script that reads "Yvette G. Taylor".

Yvette G. Taylor, PhD  
Regional Administrator

Enclosure

cc: David Powell, P.E., General Engineer, FTA Region IV  
Stephen Bland, Chief Executive Officer, Nashville RTA  
Billy Higgins, Capital Grants Administrator, Nashville RTA  
John Caruolo, Lead Reviewer, CDI/DCI Joint Venture

**FINAL REPORT**

**FISCAL YEAR 2023  
TRIENNIAL REVIEW**

**of the**

**Regional Transportation Authority of Middle Tennessee  
(RTA)**

**Nashville, Tennessee  
RECIPIENT ID: 5966**

Performed for:

**U.S. DEPARTMENT OF TRANSPORTATION  
FEDERAL TRANSIT ADMINISTRATION  
REGION 4**

Prepared By:

**CDI/DCI Joint Venture**

**Scoping Meeting Date: March 6-9, 2023**

**Virtual Site Visit Entrance Conference Date: May 15, 2023**

**Virtual Site Visit Exit Conference Date: May 23, 2023**

**Draft Report Date: June 15, 2023**

**Final Report Date: July 28, 2023**

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## I. Executive Summary

This report documents the Federal Transit Administration’s (FTA) Triennial Review of the Regional Transportation Authority of Middle Tennessee (RTA) of Nashville, Tennessee. The FTA wants to ensure that awards are administered in accordance with the requirements of Federal public transportation law 49 U.S.C. Chapter 53. The review was performed by CDI/DCI Joint Venture. During the virtual site visit, the Reviewer discussed the administrative and statutory requirements and reviewed Recipient documents.

Due to the Coronavirus 2019 (COVID-19) Public Health Emergency, the FTA conducted a virtual site visit for this Triennial Review. In addition, the FTA expanded the review to address RTA’s compliance with the administrative relief and flexibilities that the FTA granted, and the requirements of the COVID-19 Relief funds received through the Coronavirus Aid, Relief, and Economic Security (CARES) Act, Coronavirus Response and Relief Supplemental Appropriations Act (CRRSAA) of 2021, and the American Rescue Plan (ARP) Act of 2021. The FTA also requested RTA share if and/or how it suspended, deviated from, or significantly updated or altered its transit program due to the public health emergency.

The FY2023 Triennial Review focused on the RTA’s compliance in 23 areas. Deficiencies related to the COVID-19 Relief funds have been clearly identified as part of the deficiency description in the respective review area.

No deficiencies were found with the FTA requirement in 22 of these areas. One deficiency was found in the area listed below. This is a repeat deficiency from the FY 2019 Triennial Review.

| Review Area                  | Finding | Deficiency Code(s)               |   | Corrective Action(s)   | Response Due Date(s) | Date Closed |
|------------------------------|---------|----------------------------------|---|--|----------------------|-------------|
|                              |         | Code                             | Description   |  |                      |             |
| 18. Drug and Alcohol Program | D       | DA5-1<br><i>(Repeat Finding)</i> | Insufficient oversight over drug & alcohol programs of subrecipients, contractors, subcontractors, and/or lessees | Submit to the FTA regional office the qualifications of the medical review officers, substance abuse professionals, breath alcohol technicians, and collectors that support the programs of its contractors, along with procedures for ensuring that the service agents that support the drug and alcohol programs of contractors have current qualifications. | 60 days              | 6/28/23     |

The metrics used to evaluate whether a recipient is meeting the requirements for each of the areas reviewed are: Deficient (D)/Not Deficient (ND)/Not Applicable (NA)

Subsequent to the site visit, RTA provided corrective action responses to address and close the deficiency noted in the Drug and Alcohol Program area of the report that follows.

## **II. Review Background and Process**

### **1. Background**

The United States Code, Chapter 53 of Title 49 (49 U.S.C. 5307(f)(2)) requires that “At least once every 3 years, the Secretary shall review and evaluate completely the performance of a recipient in carrying out the recipient’s program, specifically referring to compliance with statutory and administrative requirements...” The FTA performs this Triennial Review in accordance with its procedures (published in FTA Order 9010.1B, April 5, 1993).

The Triennial Review includes a review of the recipient’s compliance in 23 areas. The basic requirements for each of these areas are summarized in Section IV. The FTA contracts with experienced Reviewers to lead and conduct the Triennial Reviews, in partnership with the staff of the regional office.

This report presents the findings from the Triennial Review of the recipient. The review concentrated on procedures and practices employed since the recipient’s previous Triennial Review in 2019; however, coverage was extended to earlier periods as needed to assess the policies in place and the management of award funds. The specific documents reviewed and referenced in this report are available at the FTA’s Region 4 Office or the recipient’s office.

### **2. Process**

The Triennial Review includes a pre-review assessment, a desk review and scoping meeting with the FTA regional office, and a site visit to the recipient’s location. Due to the COVID-19 relief funds received through the Coronavirus Aid, Relief, and Economic Security Act of 2020 (CARES), Coronavirus Response and Relief Supplemental Appropriations Act of 2021 (CRRSAA), and American Rescue Plan Act of 2021(ARP). The FTA also requested that the recipient share if and/or how it suspended, deviated from, or significantly updated or altered its transit program due to the public health emergency.

The fiscal year (FY) 2023 process began with the regional office transmitting, a notification of the review and a Recipient Information Request (RIR) to the recipient on November 30, 2022, indicating a review would be conducted. While the recipient prepared its response to the RIR, the regional office and review team conducted a scoping meeting on March 6-9, 2023. Regional office staff provided electronic files as necessary to the Reviewers who also accessed recipient information in the FTA electronic award management (TrAMS) AND oversight (OTrak) systems. Following the desk review and scoping meeting, the reviewers and the recipient corresponded and exchanged information and documentation in preparation for the virtual site visit. Prior to the virtual site visit, the reviewer sent to the recipient on April 27, 2023, an agenda package indicating the issues that would be discussed, records to be reviewed, and interviews to be conducted. The virtual site visit to RTA occurred from May 15, 2023 (entrance conference) to May 23, 2023 (exit conference).

The virtual site visit portion of the review began with an entrance conference, at which the reviewers and regional staff discussed the purpose of the Triennial Review and the review process. The reviewers conducted additional interviews and reviewed documentation to evidence the recipient's compliance with FTA requirements.

A Section 5307 commuter bus operations contractor (Gray Line) was reviewed virtually to provide an overview of activities related to the FTA-funded projects. The reviewers also examined a sample of procurement files during this review.

Upon completion of the virtual site visit, the Reviewers and the FTA regional office staff provided a summary of preliminary findings to the recipient at the exit conference on May 23, 2023. Section VI of this report lists the individuals participating in the site visit.

### 3. Metrics

The metrics used to evaluate whether a recipient is meeting the requirements for each of the areas reviewed are:

- Not Deficient (ND): An area is considered not deficient if, during the review, nothing came to light that would indicate the requirements within the area reviewed were not met.
- Deficient (D): An area is considered deficient if any of the requirements within the area reviewed were not met.
- Not Applicable (NA): An area can be deemed not applicable if, after an initial assessment, the recipient does not conduct activities for which the requirements of the respective area would be applicable.

### III. Recipient Description

#### 1. Organization

The Regional Transportation Authority of Middle Tennessee (RTA), doing business as WeGo Public Transit, was created by state statute in 1988 to plan and develop a regional transit system for the citizens of Middle Tennessee. In May 2003, state legislation was passed to provide an ongoing source of funding for the RTA via a dues system. In 2009, the Tennessee General Assembly adopted legislation to establish a reconstituted authority. This legislation allowed the RTA to purchase, own, lease, and dispose of property; use local assessments for the construction and operation of transportation facilities for services; and impose fees for services provided. In addition, the RTA may issue bonds, create special districts for levying a tax or assessment, or petition its participating local governments to levy any tax or assessment and dedicate the proceeds to the RTA. Cities and counties in the RTA service area may join the RTA board by paying dues based on population. The RTA Board is comprised of city and county mayors and community leaders from Cheatham, Davidson, Dickson, Montgomery, Robertson, Rutherford, Sumner, Williamson, and Wilson counties. Of the 29 members, nine (9) are appointed by the Governor. The population of the RTA's service area is approximately 1,583,115 persons.

In December 2008, the RTA began contracting with the Nashville Metropolitan Transit Authority (MTA) to provide management of RTA services. RTA does not employ any staff directly. MTA provides professional staff services in the following areas: administrative and financial management, office space, and other support services from its administration and operations center at 430 Myatt Drive in Nashville, an FTA-funded facility (through direct award to MTA).

RTA has three transportation programs: Commuter Rail, Commuter Bus, and Vanpool. Commuter Rail services are operated under contract by the Transit Solutions Group (TSG), Inc., a subsidiary of RJ Corman. Commuter Bus service is operated by MTA and Gray Line, a private operator. RTA is also responsible for the region's vanpool operations that are managed by the Transportation Management Association (TMA) Group.

#### **Commuter Rail**

On September 18, 2006, service was initiated for the "Music City Star" commuter rail line. This project upgraded an existing railroad and now has seven stations to bring commuter rail service between Wilson County and downtown Nashville. The Music City Star service operates on a 32-mile rail line from the Riverfront Station in downtown Nashville to Lebanon in Wilson County, with three (3) peak inbound trains and three (3) peak outbound trains per weekday. Rail service is not provided on weekends or holidays.

The WeGo Star operates two (2) train consists during typical weekday operations: one (1) two-car set and one (1) three-car set. Each train consist is powered by one (1) diesel locomotive and is operated either from the locomotive at one end of the consist or a cab car (a passenger car equipped with train operating controls) at the other end.

This commuter rail service is provided with 12 FTA-funded rail cars; four (4) locomotives and eight (8) rail cars. The rail line is owned by Nashville and Eastern Railroad Authority and maintained by RJ Corman. The rail service and vehicles are operated and maintained by TSG at Nashville and Eastern Railroad Corporation's (NERC) rail yard at 620 Knoxville Avenue in Lebanon, TN. There are no FTA funds in this facility.

FTA funds have been used to purchase all rolling stock and construct rail stations. Federal funds have also been used to rehabilitate the rail track and to operate and maintain the commuter rail service. The rail service is provided with seven (7) bi-level gallery trailer cars, three (3) cab cars, and four (4) locomotives.

Service is operated during peak hours on weekdays from 5:45 a.m. to 6:35 p.m. The base fare for the Music City Star is \$5.25, except for rides originating from Donelson, which is \$2.00. Half fares (\$1.00) are offered to seniors, persons with disabilities, and Medicare card holders. Reduced fare is available to youths aged 19 years and younger, and military personnel - both active and retired. Pre-paid fares are available at a discount.

### **Commuter Bus**

RTA also provides "Commuter Express" bus services to downtown Nashville on seven (7) routes. Two (2) of these routes are operated by MTA and five (5) routes are operated by Gray Line. Service is provided from 5:38 a.m. to 6:15 p.m. The one-way fare for express bus service is \$4.25, with reduced fare for seniors, youths, students, persons with disabilities, and Medicare card holders at \$2.00. Children aged four and younger ride for free. The MTA routes are operated with 10 FTA-funded vehicles and are stored and maintained at the FTA-funded (through direct award to MTA) bus garage at 130 Nestor Street in Nashville, TN. The Gray Line routes are operated with 10 contractor-owned vehicles and 10 FTA-funded vehicles that are stored and maintained at the contractor-owned facility at 186 First Street in Nashville.

### **Vanpools**

The RTA Vanpool Program coordinates and promotes vanpooling throughout the Middle Tennessee area. RTA has established approximately 55 vanpools in the area. Of this fleet, 14 vans were funded with FTA funds. Several park and ride lots support the vanpool program. These vehicles are operated from each volunteer driver's home or at a designated meeting location.



## 2. Award and Project Activity

Below is a list of RTA’s open awards at the time of the review.

| Award Number   | Award Amount | Year Executed | Description  |
|----------------|--------------|---------------|--|
| TN-90-X377-00  | \$2,904,900  | 2014          | PM- Operations- NW Corridor- Master Plan   |
| TN-95-X055-02  | \$840,000    | 2019          | Bus Seat Guarantee   |
| TN-2017-038-00 | \$2,401,787  | 2017          | FY 14 5337 Positive Train Control for the Music City Star Commuter Rail                          |
| TN-2018-036-02 | \$2,280,000  | 2018          | FY 15 5307 Application for Rail PM & South Corridor Planning; RTA, Nashville TN                  |
| TN-2018-038-01 | \$695,426    | 2018          | High Priority Funds for Commuter Rail Intermodal Centers in Middle Tennessee                     |
| TN-2019-019-03 | \$8,486,896  | 2019          | CMAQ Award to 5307 for Regional Bus Service; RTA, Nashville, TN                                  |
| TN-2020-027-00 | \$10,486,482 | 2020          | 5307, 5337 & U-STBG Multi-Source Funding; FY 20 Capital Plan; Nashville RTA; Nashville, TN       |
| TN-2018-020-01 | \$6,277,947  | 2019          | 5337 FY 15 Rail Car Locomotive Purchase/Rehab  |
| TN-2021-029-00 | \$3,521,047  | 2021          | 5307 Funds; FY 22 Bus Replacement & Capital Cost of Contracting Rail Service; RTA; Nashville, TN |
| TN-2020-037-01 | \$13,786,259 | 2020          | CARES Act 5307 RTA, Nashville, TN\$1,050,000   |
| TN-2022-015-00 | \$2,186,551  | 2022          | 5337 Funds for RTA Track Rehab; RTA; Nashville, TN   |

RTA has received Supplemental Funds for operating assistance in award number TN-2020-037-01 and TN-2021-025. This is not the RTA’s first time receiving operating assistance from the FTA.

### Projects Completed

In the past few years, RTA has completed the following noteworthy projects:

- Rebranding of RTA and MTA as WeGo Public Transit was announced in March 2019
- Between 2019 and 2022, all four of the locomotives were overhauled. (Partially FTA funded)
- Construction of additional asphalt parking at the Mt. Juliet rail station was completed in spring of 2021 (FTA funded)
- In late 2019, RTA purchased eight compatible rehabbed rail cars (Partially FTA funded).
- South Corridor Study was completed in late 2022 (Partially FTA funded)
- Implementation of a next generation fare system will be completed in 2023 (FTA funding)
- RTA receiving 10 coach buses in 2019 and 10 coaches in 2022 (Partially FTA funded)
- A conceptual study of the WeGo Star to examine alternatives for enhancements was completed in late 2019 (FTA funded)

### **Ongoing Projects**

RTA is currently implementing the following noteworthy projects:

- RTA utilizes FTA Section 5307 funding for the capital cost of contracting rail service and CMAQ for operation of regional commuter bus service
- Annually, RTA approves Track Rehab for the WeGo Star rail line (FTA funded)

### **Future Projects**

RTA plans to pursue the following noteworthy projects in the next three to five years:

- Within the next 18 the 24 months, the Star Future Direction Strategy study will evaluate the most effective use of the line to meet current needs while building a consensus as to how to best position Star to offer future enhanced service. This will be done by evaluating options for short, medium, and long-term investments predicated on a “business case approach” that considers funding availability and regional demand. It is anticipated that the study’s final recommendations for flexible strategies to tailor service to ridership demand may also be applied to regional bus service.
- In October of 2022, RTA entered exclusive negotiation with H.G. Hill and Southeast Venture for the joint development of Donelson Station and surrounding property pursuant to applicable FTA guidelines. The terms were not to exceed 24 months.
- Planning has started for dedicated permanent Park and Ride lots throughout the region.

## IV. Results of the Review

### 1. Legal

**Basic Requirement:** The recipient must promptly notify the FTA of legal matters and additionally notify the USDOT Office of Inspector General (OIG) of any instances relating to false claims under the False Claims Act or fraud. Recipients must comply with restrictions on lobbying requirements.

**Finding:** During this Triennial Review of RTA, no deficiencies were found with the FTA requirements for Legal.

### 2. Financial Management and Capacity

**Basic Requirement:** The recipient must have financial policies and procedures; an organizational structure that defines, assigns and delegates fiduciary authority; and financial management systems in place to manage, match, and charge only allowable costs to the award. The recipient must conduct required Single Audits, as required by 2 CFR part 200, and provide financial oversight of subrecipients.

**Finding:** During this Triennial Review of RTA, no deficiencies were found with the FTA requirements for Financial Management and Capacity.

The table below provides more details about the ECHO drawdowns reviewed.

| Award Number              | Financial Purpose Code | ECHO Transaction Date | Drawdown Amount | Deficiencies |
|---------------------------|------------------------|-----------------------|-----------------|--------------|
| TN-2018-036-01            | 00                     | 10/8/2019             | \$80,354        | None         |
| TN-2018-036-02            | 02                     | 11/18/2019            | \$18,009        | None         |
| TN-2018-036-01            | 00                     | 12/23/2019            | \$80,354        | None         |
| TN-2019-019-01            | 04                     | 1/13/2020             | \$122,144       | None         |
| TN-2017-038-01            | 00                     | 5/11/2020             | \$6,000         | None         |
| TN-2020-027-03            | 00                     | 10/30/2020            | (\$1,134)       | None         |
| TN-2020-037-01<br>(CARES) | 04                     | 4/23/2021             | \$93,292        | None         |
| TN-2020-027-03            | 00                     | 5/21/2021             | \$452,146       | None         |
| TN-2021-025-01            | 04                     | 9/24/2021             | \$107,200       | None         |
| TN-2021-029-01            | 00                     | 5/12/2022             | \$459,934       | None         |

| Award Number              | Financial Purpose Code | ECHO Transaction Date | Drawdown Amount | Deficiencies |
|---------------------------|------------------------|-----------------------|-----------------|--------------|
| TN-90-X377-00             | 00                     | 5/25/2011             | \$3,000         | None         |
| TN-2017-038-01            | 00                     | 7/12/2022             | \$48,000        | None         |
| TN-95-X055                | 00                     | 8/16/2022             | \$6,954         | None         |
| TN-2020-037-01<br>(CARES) | 04                     | 11/21/2022            | \$45,700        | None         |
| TN-2020-037-01<br>(CARES) | 04                     | 1/23/2023             | \$13,457        | None         |

### 3. Technical Capacity – Award Management

**Basic Requirement:** The recipient must report progress of projects in awards to the Federal Transit Administration (FTA) and close awards timely.

**Finding:** During this Triennial Review of RTA, no deficiencies were found with the FTA requirements for Technical Capacity – Award Management.

### 4. Technical Capacity – Program Management & Subrecipient Oversight

**Basic Requirement:** States must document and follow a public involvement process for the development of the long-range statewide transportation plan and State Transportation Improvement Program (STIP). Designated recipients of Sections 5310, 5311, and 5339 funds must develop and submit a State Management/Program Management Plan to the FTA for approval. Recipients must enter into an agreement with each subrecipient, obtain required certifications from subrecipients, report in the Federal Funding Accountability and Transparency Act Subaward Reporting System (FSRS) on subawards, and ensure subrecipients comply with the terms of the award.

This section only applies to designated recipients of Section 5310 funds with subrecipients. RTA does not receive Section 5310 funds, nor does not have any subrecipients. Therefore, the related requirements for Technical Capacity – Program Management & Subrecipient Oversight are not applicable to the Triennial Review of RTA.

### 5. Technical Capacity – Project Management

**Basic Requirement:** The recipient must implement the FTA-funded projects in accordance with the award application, the FTA Master Agreement, and applicable laws and regulations using sound management practices.

**Finding:** During this Triennial Review of RTA, no deficiencies were found with the FTA requirements for Technical Capacity – Project Management.

## 6. Transit Asset Management

Basic Requirement: Recipients must comply with 49 CFR part 625 to ensure public transportation providers develop and implement transit asset management (TAM) plans.

Finding: During this Triennial Review of RTA, no deficiencies were found with the FTA requirements for Transit Asset Management.

## 7. Satisfactory Continuing Control

Basic Requirement: The recipient must ensure that FTA-funded property will remain available and used for its originally authorized purpose throughout its useful life until disposition.

Finding: During this Triennial Review of RTA, no deficiencies were found with the FTA requirements for Satisfactory and Continuing Control.

## 8. Maintenance

Basic Requirement: Recipients must keep federally-funded vehicles, equipment, and facilities in good operating condition. Recipients must keep Americans with Disabilities Act (ADA) accessibility features on all vehicles, equipment, and facilities in good operating order.

Finding: During this Triennial Review of RTA, no deficiencies were found with the FTA requirements for Maintenance.

## 9. Procurement

Basic Requirement: The non-Federal entity must use its own documented procurement procedures which reflect applicable State, local, and tribal laws and regulations, and conform to applicable Federal law and the standards identified in 2 CFR Part 200. State recipients can use the state's overall policies and procedures. When applied to Federal procurements, those policies and procedures must still be compliant with all Federal requirements as applied to non-state recipients. The flexibility afforded by 2 CFR Part 200 should not be misconstrued as absolving a state from Federal requirements. For example, the FTA does not require each State DOT to have policies and procedures separate from the state education department.

Finding: During this Triennial Review of RTA, no deficiencies were found with the FTA requirements for Procurement.

Five procurement files were reviewed. The table below provides more details about these procurements.

| Contract/Product                         | Award Date | Method | Amount      | Deficiencies |
|--|------------|--------|-------------|--------------|
| A&E for Transit Centers                  | 6/4/2019   | A&E    | \$5,000,000 | None         |
| Mt. Juliet Station Parking Lot Expansion | 2/11/2020  | ITB    | \$2,166,125 | None         |
| Fare System Upgrade                      | 3/26/2020  | ITB    | \$429,255   | None         |
| Covid Mitigation Assessment              | 9/2/2021   | RFP    | \$90,000    | None         |
| WeGo Star Future Direction               | 11/22/2022 | RFP    | \$1,046,389 | None         |

## 10. Disadvantaged Business Enterprise (DBE)

Basic Requirement: Recipients must comply with 49 CFR Part 26 to ensure nondiscrimination in the award and administration of USDOT-assisted contracts. Recipients also must create a level playing field on which DBEs can compete fairly for USDOT-assisted contracts.

Finding: During this Triennial Review of RTA, no deficiencies were found with the USDOT requirements for DBE.

## 11. Title VI

Basic Requirement: The recipient must ensure that no person shall, on the grounds of race, color, or national origin, be excluded from participating in, or be denied the benefits of, or be subject to discrimination under any program or activity receiving Federal financial assistance without regard to whether specific projects or services are federally funded. The recipient must ensure that all transit services and related benefits are distributed in an equitable manner.

Finding: During this Triennial Review of RTA, no deficiencies were found with the FTA requirements for Title VI.

## 12. Americans with Disabilities Act (ADA) – General

Basic Requirement: Titles II and III of the Americans with Disabilities Act of 1990 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 and the provision of service, including complementary paratransit service.

Finding: During this Triennial Review of RTA, no deficiencies were found with the FTA requirements for were found with the USDOT requirements for ADA – General.

### **13. ADA – Complementary Paratransit**

Basic Requirement: Under 49 CFR 37.121(a), each public entity operating a fixed-route system shall provide paratransit or other special service to individuals with disabilities that is comparable to the level of service provided to individuals without disabilities who use the fixed-route system. “Comparability” is determined by 49 CFR 37.123-37.133. Requirements for complementary paratransit do not apply to commuter bus, commuter rail, or intercity rail systems.

RTA only operates commuter bus and commuter rail systems. Therefore, the related requirements for ADA – Complementary Paratransit are not applicable to the Triennial Review of RTA.

### **14. Equal Employment Opportunity**

Basic Requirement: The recipient must ensure that no person in the United States shall on the grounds of race, color, religion, national origin, sex, age or disability be excluded from participating in, or denied the benefits of, or be subject to discrimination in employment under any project, program or activity receiving Federal financial assistance under the Federal transit laws.

Finding: During this Triennial Review of RTA, no deficiencies were found with the FTA requirements for Equal Employment Opportunity.

### **15. School Bus**

Basic Requirement: Recipients are prohibited from providing school bus service in competition with private school bus operators unless the service qualifies and is approved by the FTA Administrator under an allowable exemption. Federally-funded equipment or facilities cannot be used to provide exclusive school bus service.

Finding: During this Triennial Review of RTA, no deficiencies were found with the FTA requirements for School Bus.

### **16. Charter Bus**

Basic Requirement: Recipients are prohibited from using the FTA-funded equipment and facilities to provide charter service that unfairly competes with private charter operators. Recipients may operate charter only when the service meets a specified exception defined in rule.

Finding: During this Triennial Review of RTA, no deficiencies were found with the FTA requirements for Charter Bus.

## 17. Drug Free Workplace Act

Basic Requirement: Recipients are required to maintain a drug free workplace for all award-related employees; report any convictions occurring in the workplace timely; and have an ongoing drug free awareness program.

Finding: During this Triennial Review of RTA, no deficiencies were found with the FTA requirements for Drug-Free Workplace Act.

## 18. Drug and Alcohol Program

Basic Requirement: Recipients receiving Section 5307, 5309, 5311, or 5339 funds that have safety-sensitive employees must have a drug and alcohol testing program in place for such employees.

Finding: During this Triennial Review of RTA, deficiencies were found with the FTA requirements for the Drug and Alcohol Program.

### ***Insufficient oversight over drug & alcohol programs of subrecipients, contractors, subcontractors, and/or lessees (DA-5)***

#### Deficiency Description:

RTA's commuter bus service is contracted to Gray Line. During the review, RTA could not provide or confirm that the service agents that support the drug and alcohol programs of this contractor with safety-sensitive employees have current qualifications.

This is a repeat deficiency from the 2019 Triennial Review of RTA.

#### Corrective Actions and Schedule:

For the deficiency, ***“Insufficient oversight over drug & alcohol programs of subrecipients, contractors, subcontractors, and/or lessees (DA-5)”***, RTA will submit to the FTA regional office the qualifications of the medical review officers, substance abuse professionals, breath alcohol technicians, and collectors that support the programs of its contractor, along with procedures for ensuring that the service agents that support the drug and alcohol programs of contractors have current qualifications.

Subsequent to the draft report, RTA provided corrective action responses to address this deficiency in the Drug and Alcohol Program area. Therefore, this finding is closed.



## 19. Section 5307 Program Requirements

Basic Requirement: Recipients must participate in the transportation planning process in accordance with FTA requirements and the Regional and statewide planning regulations.

Recipients shall develop, publish, afford an opportunity for a public hearing on, and submit for approval, a program of projects (POP).

Recipients are expected to have a written, locally developed process for soliciting and considering public comment before raising a fare or carrying out a major transportation service reduction.

For fixed-route service supported with Section 5307 assistance, fares charged to seniors, persons with disabilities or an individual presenting a Medicare card during off peak hours will not be more than one half the peak hour fares.

Finding: During this Triennial Review of RTA, no deficiencies were found with the FTA requirements for Section 5307 Program Requirements.

## 20. Section 5310 Program Requirements

Basic Requirement: Recipients must expend Section 5310 funds on eligible projects that meet the specific needs of seniors and individuals with disabilities. Projects selected for funding must be included in a locally developed, coordinated public transit-human services transportation plan. Recipients must approve all subrecipient leases of Section 5310-funded vehicles. Leases of Section 5310-funded vehicles must include required terms and conditions. Either the recipient or subrecipient must hold the title to the leased vehicles.

This section only applies to recipients that receive Section 5310 funds directly from FTA. RTA does not receive Section 5310 funds from FTA. Therefore, the related requirements are not applicable to the Triennial Review of RTA.

## 21. Section 5311 Program Requirements

Basic Requirement: States must expend Section 5311 funds on eligible projects to support rural public transportation services and intercity bus transportation.

This section only applies to recipients that receive Section 5311 funds directly from FTA; therefore, the related requirements are not applicable to the Triennial Review of RTA.

## 22. Public Transportation Agency Safety Plan (PTASP)

Basic Requirement: Recipients must comply with the Public Transportation Agency Safety Plan (PTASP) regulation (49 CFR Part 673) to ensure public transportation providers develop and

implement an Agency Safety Plan (ASP).

Finding: During this Triennial Review of RTA, no deficiencies were found with the FTA requirements for PTASP Requirements.

## **23. Cybersecurity**

Basic Requirement: Recipients that operate rail fixed guideway public transportation systems must certify compliance with the requirements for establishing a cybersecurity process under 49 U.S.C. § 5323(v), a new subsection added by the National Defense Authorization Act for Fiscal Year 2020, Pub. L. 116-92, § 7613 (Dec. 20, 2019).

Finding: During this Triennial Review of RTA, no deficiencies were found with the FTA requirements for Cybersecurity.

## V. Summary of Findings

| Review Area   | Finding | Deficiency Code(s) |             | Corrective Action(s) | Response Due Date(s) | Date Closed |
|---|---------|--------------------|-------------|----------------------|----------------------|-------------|
|   |         | Code               | Description |                      |                      |             |
| 1. Legal  | ND      |                    |             |                      |                      |             |
| 2. Financial Management and Capacity                                  | ND      |                    |             |                      |                      |             |
| 3. Technical Capacity – Award Management                              | ND      |                    |             |                      |                      |             |
| 4. Technical Capacity – Program Management and Subrecipient Oversight | NA      |                    |             |                      |                      |             |
| 5. Technical Capacity – Project Management                            | ND      |                    |             |                      |                      |             |
| 6. Transit Asset Management   | ND      |                    |             |                      |                      |             |
| 7. Satisfactory Continuing Control                                    | ND      |                    |             |                      |                      |             |
| 8. Maintenance  | ND      |                    |             |                      |                      |             |
| 9. Procurement  | ND      |                    |             |                      |                      |             |
| 10. Disadvantaged Business Enterprise                                 | ND      |                    |             |                      |                      |             |
| 11. Title VI  | ND      |                    |             |                      |                      |             |
| 12. Americans with Disabilities Act (ADA) – General                   | ND      |                    |             |                      |                      |             |
| 13. ADA – Complementary Paratransit                                   | NA      |                    |             |                      |                      |             |
| 14. Equal Employment Opportunity                                      | ND      |                    |             |                      |                      |             |
| 15. School Bus  | ND      |                    |             |                      |                      |             |
| 16. Charter Bus   | ND      |                    |             |                      |                      |             |
| 17. Drug-Free Workplace   | ND      |                    |             |                      |                      |             |

| Review Area                                  | Finding | Deficiency Code(s)               |   | Corrective Action(s)   | Response Due Date(s) | Date Closed   |
|--|---------|----------------------------------|---|--|----------------------|---------------|
|  |         | Code                             | Description   |  |                      |               |
| 18. Drug and Alcohol Program                 | D       | DA5-1<br><i>(Repeat Finding)</i> | Insufficient oversight over drug & alcohol programs of subrecipients, contractors, subcontractors, and/or lessees | Submit to the FTA regional office the qualifications of the medical review officers, substance abuse professionals, breath alcohol technicians, and collectors that support the programs of its contractors, along with procedures for ensuring that the service agents that support the drug and alcohol programs of contractors have current qualifications. | 60 days              | June 28, 2023 |
| 19. Section 5307 Program Requirements        | ND      |                                  |   |  |                      |               |
| 20. Section 5310 Program Requirements        | NA      |                                  |   |  |                      |               |
| 21. Section 5311 Program Requirements        | NA      |                                  |   |  |                      |               |
| 22. Public Transportation Agency Safety Plan | ND      |                                  |   |  |                      |               |
| 23. Cybersecurity                            | ND      |                                  |   |  |                      |               |

The metrics used to evaluate whether a recipient is meeting the requirements for each of the areas reviewed are: Deficient (D)/Not Deficient (ND)/Not Applicable (NA)

## VI. Attendees

| Name                 | Title  | Phone Number | E-mail Address                     |
|----------------------|--|--------------|------------------------------------|
| <b>RTA</b>           |  |              |                                    |
| Steve Bland          | Chief Executive Officer                      | 615-862-6262 | Steve.Bland@nashville.gov          |
| Vince Malone         | Chief of Staff and Administration            | 615-862-4647 | Vince.Malone@nashville.gov         |
| Ed Oliphant          | Chief Financial Officer                      | 615-862-6129 | Edward.Oliphant@nashville.gov      |
| Nick Oldham          | Chief Safety & Security Officer              | 615-862-6178 | Nicholas.Oldham@nashville.gov      |
| Andy Burke           | Chief Operating Officer                      | 615-880-1537 | Andy.Burke@nashville.gov           |
| Renuka Christoph     | Chief Communications Officer                 | 615-880-3943 | Renuka.Christoph@nashville.gov     |
| Kym Tucker           | Director of Administration                   | 615-862-6166 | Kym.Tucker@nashville.gov           |
| Dan Freudberg        | Deputy Chief Operating Officer               | 615-862-5846 | Dan.Freudberg@nashville.gov        |
| Denise Richardson    | Director of Procurement & Business Diversity | 615-862-4624 | Denise.Richardson@nashville.gov    |
| Kim Hereford         | Procurement Manager                          | 615-862-6118 | Kim.Hereford@nashville.gov         |
| Billy Higgins        | Capital Grants Administrator                 | 615-880-3977 | Billy.Higgins@nashville.gov        |
| Heather Howard       | Grants & Special Projects Administrator      | 615-880-2469 | Heather.Howard@nashville.gov       |
| Shelly McElhaney     | Controller                                   | 615-862-6144 | Shelly.Mcelhaney@nashville.gov     |
| Janet Poynter        | Accounting Manager                           | 615-862-6141 | Janet.Poynter@nashville.gov        |
| Carl Rokos           | Director of Maintenance                      | 615-880-3272 | Carl.Rokos@nashville.gov           |
| Patrick Hester       | Facilities Manager                           | 615-862-5962 | Patrick.Hester@nashville.gov       |
| Ewell Crigger        | Vehicle Maintenance Manager                  | 615-862-4669 | Ewell.Crigger@nashville.gov        |
| Richard Kiefer       | Maintenance Foreman                          | 615-880-3537 | RichardKeifer@nashville.gov        |
| Steve Banta          | Project Manager                              | 602-881-8276 | Steve.Banta@srbtransit.com         |
| Carolyn Riggs-Farrar | Director of Operations                       | 615-862-6125 | Carolyn.Riggs-Farrar@nashville.gov |
| Zeda Riggs           | Director of Customer Care                    | 615-862-6128 | Zeda.Riggs@nashville.gov           |
| Felix Castrodad      | Director of Planning & Grants                | 615-862-5626 | Felix.Castrodad@nashville.gov      |
| Marilyn Yokley       | Access Manager                               | 615-862-5641 | Marilyn.Yokley@nashville.gov       |
| Tanesha Durham       | Eligibility Specialist/ADA Coordinator       | 615-880-3596 | Tanesha.Durham@nashville.gov       |
| Rachel Johnson       | Business Diversity Manager and DBELO         | 615-862-5618 | Rachel.Johnson@nashville.gov       |
| Hannah Schaefer      | Transit Business Intelligence Analyst        | 615-862-4671 | Hannah.Schaefer@nashville.gov      |
| Kia Lewis            | Project Manager, Engineering & Construction  | 615-880-3573 | Kia.Lewis@nashville.gov            |

| <b>Name</b>                         | <b>Title</b>   | <b>Phone Number</b> | <b>E-mail Address</b>          |
|-------------------------------------|--|---------------------|--------------------------------|
| Lydia Benda                         | Project Manager, Engineering & Construction                          | 615-862-4648        | Lydia.Benda@nashville.gov      |
| Bryan Williams                      | Performance Oversight Manager  | 615-880-1535        | Bryan.Williams@nashville.gov   |
| Mornay Botha                        | Training Manager   | 615-862-4674        | Mornay.Botha@nashville.gov     |
| Rob McElhaney                       | Information Technology Manager                                       | 615-880-3966        | Rob.McElhaney@nashville.gov    |
| Chelsea Arvin                       | Scheduling Supervisor  | 615-862-5675        | ChelseaArvin@nashville.gov     |
| Cynthia Whitehead                   | Operations Manager   | 615-880-3291        | CynthiaWhitehead@nashville.gov |
| Katie Freudberg                     | Scheduling & Service Planning Manager                                | 615-862-6164        | KatieFreudberg@nashville.gov   |
| Chelsey Searcy                      | Safety Program & Workers Compensation Manager                        | 615-880-3933        | ChelseySearcy@nashville.gov    |
| Angel Martin                        | Safety Program & Workers Compensation Specialist                     | 615-862-5645        | Angel.Martin@nashville.gov     |
| <b><i>Contractors</i></b>           |  |                     |                                |
| Terry Bebout                        | General Manager, Transit Solutions Group                             | 615-466-2616        | Terry.Bebout@RJCorman.com      |
| Chuck Abbott                        | President & Chief Executive Officer, Gray Line Tennessee             | 615-883-5555        | cabbott@graylinetn.com         |
| <b><i>FTA</i></b>                   |  |                     |                                |
| David Powell, PE                    | Interim Director, Office of Financial Management & Program Oversight | 404-865-5628        | David.Powell@dot.gov           |
| Cathy Hamilton                      | Procurement Specialist   | 817-300-2405        | cathy.hamilton.ctr@dot.gov     |
| <b><i>CDI/DCI Joint Venture</i></b> |  |                     |                                |
| John R. Caruolo                     | Lead Reviewer  | 610-716-2673        | jcaruolo@aol.com               |
| Chip Walker                         | Reviewer   | 585-738-1912        | walkermert@gmail.com           |

## **VII. Appendices**

### *49 CFR 655.81 Grantee oversight responsibility*

*A recipient shall ensure that a subrecipient or contractor who receives 49 U.S.C. 5307, 5309, or 5311 funds directly from the recipient complies with this part.*