

ADMINISTRATIVE GUIDE

**FTA METROPOLITAN PLANNING ASSISTANCE
UNDER TITLE 49 U.S.C. SECTION 5303
FOR GEORGIA URBANIZED AREAS**



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Office of Intermodal Programs

Year 2005 Edition

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I. INTRODUCTION

The Federal Transit Administration (FTA) Metropolitan Planning Program, Title 49 U.S.C. Section 5303¹ was authorized by Congress to provide financial assistance for transit planning and technical studies in urban and non-urban areas. It is the primary source of Federal financial assistance to help urban and non-urban areas to plan, develop, and improve comprehensive public transportation systems.

Prior to FY 93, the Georgia Department of Transportation (GDOT) administered Section 5303 funds only for areas less than 200,000 population. The Intermodal Surface Transportation Efficiency Act of 1991 (ISTEA) gave GDOT administrative responsibility for the entire state. Thus, as a result of the ISTEA legislation, GDOT currently administers FTA Section 5303 funds for all of Georgia's urbanized areas.

The urbanized areas in Georgia eligible for assistance under Section 5303 include Albany, Athens, Atlanta, Augusta, Brunswick, Columbus, Dalton, Gainesville, Hinesville, Macon, Rome, Savannah, Valdosta and Warner Robins. This is in concert with the joint Federal Transit Administration (FTA)/Federal Highway Administration (FHWA) Metropolitan Planning Regulations published on October 28, 1993, and with the urban transportation study planning process as administered by the Georgia Department of Transportation.

Public Law No. 103-272, dated July 5, 1994 codified the Federal Transit Act as amended as Chapter 53 of Title 49 of the United States Code has resulted in new citations for all Federal Transit Laws. The Public Law repealed the Federal Transit Act and related provisions and reenacted them as Chapter 53 of Title 49 U.S.C. There were no substantive changes to the Law due to codification.

GDOT and the Metropolitan Planning Organizations (MPOs) developed an apportionment formula at the beginning of the ISTEA era and the formula has been approved by the FTA. Based upon the formula allocations, the FY 2005 distribution of FTA Section 5303 funds is illustrated in the following table.

MPO	Hold Harmless	Supplement	Total
Atlanta	500,000	409,309	909,309
Augusta	40,000	39,252	79,252
Chattanooga	4,789	0	4,789
Columbus	40,000	28,340	68,340
Savannah	40,000	24,429	64,429
Albany	30,000	11,163	41,163
Athens	30,000	12,453	42,453
Brunswick	30,000	0	30,000
Macon	30,000	15,808	45,808
Rome	30,000	6,817	36,817
Warner Robins	30,000	0	30,000
Dalton	25,000	0	25,000
Gainesville	30,000	10,371	35,371
Hinesville	25,000	0	25,000
Valdosta	25,000	0	25,000
Discretionary			100,000
TOTAL	1,009,789	557,942	1,562,731

It is in the national interest to encourage and promote the development of efficient transportation systems. These systems should encompass various modes of transportation such that the mobility of people and goods within and through urbanized areas is maximized, while minimizing transportation-related fuel consumption and air pollution.

To accomplish this objective, Metropolitan Planning Organizations in cooperation with the State, must develop transportation plans and programs for urbanized areas in the State. The plans and programs should provide for the development of all transportation facilities, including bikeways and walkways that will function as an intermodal transportation system for the State, the Metropolitan Areas and the Nation.

The process for developing such plans and programs should be a continuing, cooperative and comprehensive effort and provide for all modes of transportation.

II. FTA METROPOLITAN PLANNING PROGRAM (MPP) DESCRIPTION

Program Administration

The Office of Intermodal Programs, GDOT is responsible for administering FTA's MPP in Georgia.

Applicant Eligibility/Submission

Applicants for Section 5303 funds must be local public bodies or agencies thereof. Completed applications based on an approved Unified Planning Work Program should be submitted to the Office of Intermodal Programs no later than **Friday April 15, 2005**.

Eligible Grant Activities

MPP assistance is for a balanced and comprehensive intermodal transportation planning and technical studies which relate to the movement of goods and people in metropolitan areas. Eligible work elements include but are not limited to:

- (1) Studies related to management, operations, capital requirements, and economic feasibility of public transportation projects;
- (2) Evaluation of previously funded projects, and
- (3) Improvements that enhance the usability and community-friendliness of transit system environments including improved pedestrian and bicycle access to the transit station;
- (4) System analysis;
- (5) TIP development;
- (6) Short and Long range transportation development;
- (7) Major investment studies/NEPA requirements
- (8) Air Quality planning and conformity planning;
- (9) Analysis of social, environmental and economic factors related to transportation and travel;
- (10) Multimodal facilities planning;
- (11) Public involvement planning;
- (12) Joint development planning; and
- (13) Computer hardware and software as needed by the planning activities.

Funding Distribution

Funding ratios for Section 5303 planning assistance is Federal (80%), State (10%), and Local (10%).

Local Match Requirement

The ten percent (10%) local share must be from sources other than Federal funds.

III. PURPOSE OF PLANNING

The purpose of transit planning is to explore and develop solutions to transportation problems that have been identified. It has been determined that significant transit improvements are necessary to achieve national goals for improved air quality, energy conservation, international competitiveness, mobility for elderly persons, persons with disabilities, and economically disadvantaged persons in rural and urban areas. Metropolitan plans and programs should result in the development of transportation facilities which will function as an intermodal transportation system for the State, the metropolitan areas and the Nation.

Short range planning which spans a 1 to 3 year time frame, should encompass a majority of the planning effort in small and medium sized urbanized areas. Long range planning covers a period of 20 years. In developing a transit planning program, six factors should be considered:

- (1) Local goals and issues;
- (2) Area characteristics - population, economics, land use, etc.;
- (3) Transportation system characteristics - physical and operating conditions of the system, coordination and coverage, user travel trends, etc.;
- (4) Consideration of a range of realistic transportation solutions;
- (5) Constraints on planning:
 - a) General (limitations due to manpower, computer facilities, available technical tools and financial resources);
 - b) Administrative and legal requirements;
 - c) External Effects - the impact of the planning work on action plans in effect should be considered;
- (6) Existing planning process - the allocations of resources should be consistent with the established planning capabilities and programs in the area.

To be effective, planning must be oriented to specific issues rather than to broad generalities. This can only be done in a dynamic process that is responsive to changing conditions, policies and local attitudes or to unforeseen circumstances.

The goal of the urban transportation process should be to ensure that decision makers are made aware of the results and consequences of transportation options. The options explored deal with issues of transit capital programs, transit operations, management and financing.

IV. PRIMARY PLANNING PRODUCTS

Three major documents will be produced by the MPO Planning process. They are the Unified Planning Work Program, (UPWP), Transportation Improvement Program (TIP) and Long Range Plan (LRP). Other products will be produced through the planning process at the MPO. Major transportation investments will be proposed requiring extensive evaluation of the effectiveness of various strategies; ISTEA requires these evaluations to be cooperative and include a multimodal approach.

ISTEA also required the development of six management systems through a cooperative process between the State, MPOs and other interested and affected parties. The National Highway System Designation Act of 1995 (NHS Act) amended ISTEA to allow States the

flexibility to choose which management systems, if any, to implement with the exception of the Congestion Management System in TMAs and the Traffic Monitoring System.

Unified Planning Work Program (UPWP)

The UPWP describes urban transportation and transportation-related air quality planning activities to be undertaken during the next one or two year period regardless of funding sources or agencies conducting the work. These documents should not be merely a compilation of the various planning work programs focused on specific work elements or activities. The UPWPs should be developed in sufficient detail to indicate the objectives, the methodology, products, and agency responsibility for work projects.

The local UPWPs support the Statewide Section 5303 grant application and should describe the following for each work task:

- (1) Objective(s) of the work element or activity;
- (2) Products expected;
- (3) Any previous work efforts toward this objective;
- (4) Relationship to other tasks or work elements;
- (5) Entities (including third party contractors) responsible to carry out the work activities;
- (6) Proposed cost and funding sources.

For TMAs, the UPWP should include the following additional documentation:

- (1) A discussion of important transportation issues in the area;
- (2) Inclusion of a description of all proposed transportation related planning work elements or activities, including related state DOT or transit authority planning work activities;
- (3) A description of transportation related air quality planning work activities, regardless of funding sources and which entity conducts such activities.

Annually, FTA reviews each of the UPWPs in Georgia which becomes the approved Metropolitan Work Program. FTA evaluates the following:

- (1) Relevance to studies needed to implement the metropolitan long range transportation plan and TIP requirements;
- (2) Eligibility of each UPWP element for FTA assistance; and
- (3) Inclusion of tasks addressing FTA's Planning Emphasis Areas.

Any carryover activities from previous fiscal year grants should be explicitly identified in the UPWP. Normally Section 5303 funds should be used to finance planning activities, however, planning activities to be funded under Title 49 U.S.C. Section 5307 should be included in the UPWP for purposes of coordination of transportation efforts in the area. Descriptive information should be in sufficient detail appropriate for the size and complexity of the urbanized area.

Transportation Improvement Program (TIP)

According to ISTEA, the MPO in cooperation with the State and the local transit operator must develop a Transportation Improvement Program for the area. In developing the program, the MPO should provide citizens, affected public agencies, representatives of transportation agency employees, other affected employee representatives, private providers of transportation and other interested parties with a reasonable opportunity to comment on the proposed program.

The TIP should include a priority list of highway and transit projects to be carried out within at least a 3-year period after the initial adoption of the TIP. It should also have a financial plan demonstrating how the TIP can be implemented as well as a listing of reasonably expected funding sources.

For areas of less than 200,000 populations, multimodal project selection from the TIP involving Federal participation will be carried out by the State in cooperation with the MPO and must be coordinated and in conformance with the TIP for the area. For areas more than 200,000 populations, project selection will be carried out by the MPO in consultation with the State.

Transit projects proposed should be consistent with the Long Range Plan for the area. Projects are to be included only if full funding can be reasonably anticipated to be available within the time frame of project completion.

Transportation Improvement Programs should be financially constrained by year and include financial information to demonstrate which projects are to be implemented using current revenues and which projects are to be implemented using proposed revenue sources. It should contain all capital and non-capital transportation projects proposed for funding under Title 49 U.S.C. except transit planning grants under Section 5303 or 5313(b).

The TIP and Statewide Transportation Improvement Program (STIP) should contain all regionally significant transportation projects requiring action by the FTA. For information purposes, the document should include all regionally significant transportation projects proposed to be funded with Federal funds other than those administered by FHWA or FTA and if appropriate, projects to be funded with non-Federal funds.

Before approving the TIP, reasonable notice and opportunity to comment on the proposed program should be given to all interested and affected parties including freight shippers and users of public transit as specified in Transportation Equity Act for the 21st Century (TEA-21). Programs properly adopted into the local TIP will be included in the STIP. Federal transportation funds may be expended only for projects that are listed in the STIP.

Federal funds are made available for transit projects in other than urbanized areas under the Section 5311 Program and for Elderly Persons and Persons with Disabilities under the

Section 5310 Program. MPOs should include all Section 5310 and Section 5311 projects operating in the MPO affected area, which includes areas expected to be urbanized within twenty years, in the local TIP. Projects listed in the local TIP will be included in the STIP. Federal transportation funds may be used for Section 5311 and 5310 projects only if they are included in the STIP.

The Section 5310 program is administered by the Georgia Department of Human Resources (DHR). Information and questions concerning applications, funding and selection of Section 5310 projects should be directed to DHR, Office of Support Services, (404) 657-6209. The Section 5311 Program is administered by the Georgia Department of Transportation, Office of Intermodal Programs, (404) 651-9200.

Long Range Plan (LRP)

Each MPO must prepare a transportation plan addressing at a minimum, a 20-year period for its metropolitan area. The plan should include both short-range and long-range strategies/actions that lead to the development of an integrated intermodal transportation system that facilitates the efficient movement of people and goods. The plan must be updated at least every five years in attainment areas and every three years in nonattainment and maintenance areas.

The Long Range Plan should contain four elements, identification of transportation facilities, financial plan, assessment of capital investments and proposed enhancements.

- (1) Identification of Transportation Facilities - including but not limited to major roadways, transit, multimodal and intermodal facilities that should function as an integrated metropolitan transportation system giving emphasis to those facilities that serve important national and regional transportation functions. In formulating the long range plan, MPOs should consider the 7 broad areas as they relate to a 20-year forecast period.
- (2) Financial Plan - that demonstrates how the long-range plan can be implemented, indicates resources from public and private sources that are reasonably expected to be made available to carry out the plan, and recommends any innovative financing techniques to finance needed projects and programs, including such techniques as value capture, tolls and congestion pricing.
- (3) Assessment of Capital Investment - to ensure the preservation of the existing metropolitan transportation system, including requirements for operational improvements, resurfacing, restoration, and rehabilitation of existing and future major roadways, as well as operations, maintenance, modernization and rehabilitation of existing and future transit facilities. This effort should also make the most efficient use of existing transportation facilities to relieve vehicular congestion and maximize the mobility of people and goods.

- (4) Enhancement Activities - indicate as appropriate, proposed transportation enhancement activities.

In addition to the above, the transportation plan should address the following:

- (a) Identify projected demand of persons and goods in the MPO area.
- (b) Identify adopted congestion management strategies that demonstrate a systematic approach in addressing current and future transportation demand.
- (c) Identify pedestrian walkway and bicycle facilities.
- (d) Reflect consideration given to the management systems.
- (e) Assess capital investment and other measures to preserve the existing transportation system.
- (f) Include design concept and scope descriptions of all existing and proposed transportation facilities in sufficient detail to develop cost estimates.
- (g) Reflect a multimodal evaluation of the transportation, socioeconomic, environmental, and financial impact of the overall plan.
- (h) Indicate that the design concept and scope of incomplete major investment analysis have not been fully determined and will require further analysis.
- (i) Reflect consideration of the area's comprehensive long-range land use plan and metropolitan plan objectives including State and National goals and strategies for housing, community development, employment linkage of low income households with employment opportunities and energy conservation.
- (j) Indicate, as appropriate, proposed transportation enhancement activities.
- (k) A financial plan that demonstrates the consistency of proposed transportation investments with already available and projected sources of revenue.

In metropolitan areas that are designated as nonattainment areas under the Clean Air Act, the MPO will coordinate the development of the long range plan with the process for the development of the transportation control measures of the State Implementation Plan (SIP) required by the Clean Air Act.

Prior to plan approval, the MPO should provide citizens, affected public agencies, representatives of transportation agency employees, private providers and other interested parties a reasonable opportunity to comment on the long-range plan.

Each long-range plan prepared by an MPO should be published or readily available for public review. It should also be submitted to the Governor for information.

Management Systems

ISTEA required the development, establishment and implementation of six management systems. They were the Pavement (PMS), Bridge (BMS), Safety (SMS), Congestion (CMS), Public Transportation (PTMS), and Intermodal (IMS). Section 303 also requires the State to develop a Traffic Monitoring System (TMS) for highways and public transportation facilities and equipment. The National Highway System Designation Act of 1995 gave states the option of not implementing some or all of the management systems with the exception of the CMS in TMAs and the TMS. These systems are developed by the State in cooperation with MPOs and other affected agencies.

The purpose of the management systems is to provide information concerning the condition and performance of the existing and future transportation system in terms of the six specific areas they address. Needs identified by using the management systems should be considered in developing the metropolitan and statewide transportation plans and improvement programs and in making project selection decisions under Title 23, U.S.C., and Title 49, U.S.C.

Major Metropolitan Transportation Investments

Where the need for a major metropolitan transportation investment is identified using federal funds, major investment studies must be undertaken to develop or refine the plan and lead to decisions by the MPO in cooperation with participating agencies on the design concept and scope of the investment. A major transportation investment refers to a highway or transit improvement involving substantial cost and that is expected to have a significant effect on capacity, traffic flow, level of service, or mode share at the transportation corridor or subarea level.

Properly done, major investment analysis should broaden the range of options earlier in the planning process to improve the overall transportation system. The alternatives may include, but are not limited to, traditional highway and transit options as well as multimodal options.

When an implementing agency wishes to initiate a major investment study, agencies that may be impacted should be notified and afforded a reasonable opportunity to participate in the cooperative process. The cooperative process should establish a range of alternatives to be studied such as alternative modes, etc. The studies must evaluate the cost and operational effectiveness of various strategies in attaining State and National goals and objectives.

TEA-21 replaces the stand alone Major Investment Study as outlined in the joint FTA/FHWA planning regulations. The stand-alone study is replaced with directive that all analysis be integrated under the planning provisions of TEA-21 and the National Environmental Policy Act (NEPA).

This new process may lead to decisions that modify the project design concept and scope assumed in the plan development process. They are eligible for funds authorized under Title 49 U.S.C. Sections 5303, 5307 and 5313(b) planning and capital funds apportioned under Title 23, U.S.C. In some cases, the study should also be included in the TIP and STIP.

V. NATIONAL AND STATE PLANNING ISSUES

Although new planning regulations have not been issued, the requirements in TEA-21 are in effect. Because of the uncertain status of the planning regulations the FHWA and FTA are not providing written guidance at this time. However statutory requirements are legally in effect since the enactment of TEA-21 and are summarized in the following section:

1. **Annual Listing of Projects – (23 U.S.C. 134(h)(7)(b); 49 U.S.C. 5303 (c)(5)(B));**
“An annual listing of projects for which Federal funds have been obligated in the preceding year shall be published or otherwise made available by the metropolitan planning organization for public review. The listing shall be consistent with the categories identified in the transportation improvement program.”
2. **Sharing of Revenue Estimates for TIP’s and Plans – (23 U.S.C. 134 (g)(2)(B) and (23 U.S.C. 134 (h)(1)(B); 49 U.S.C. 5303 (a)(1) and (f)(1)(E) and 49 (U.S.C.5304 (a)(2));**
“.....For the purpose of developing the long-range transportation plan, the metropolitan planning organization and State shall cooperatively develop estimates of funds that will be available to support plan implementation.”

“For the purpose of developing the transportation improvement program, the metropolitan planning organization, public transit agency, and State shall cooperatively develop estimates of funds that are reasonably expected to be available to support program implementation.”
3. **State Consultation with Local Officials in Non-Metropolitan Areas (23 U.S.C. 135 (c)(1), (e)(2)(B), (f)(1)(B)(ii)(I), (f)(3)(A) and (B); 49 U.S.C. 5323(1))**
“With respect to each non-metropolitan area, the long-range transportation plan shall be developed in consultation with affected local officials with responsibility for transportation.”

“With respect to each non-metropolitan area in the State, the program shall be developed in consultation with affected local officials with responsibility for transportation.”
4. **Consultation with Transit Users and Freight Shippers and Service Providers**

(23 U.S.C. 134(g)(4) and (h)(4) and (23 U.S.C. 134 (e)(3)(A) and (f)(1)(C); 49 U.S.C. 5303(f)(4) and 49 U.S.C. 5303 (a) (1)):

“Before approving a long-range transportation plan, each metropolitan planning organization shall provide citizens, affected public agencies, and representatives of transportation agency employees, freight shippers, providers of freight transportation services, private providers of transportation, representatives of users of public transit, and other interested parties with a reasonable opportunity to comment on the long-range transportation plan, in a manner that the Secretary deems appropriate.”

5. MIS Integration (Pub. Law 105-85, Sec. 1308):

“The Secretary shall eliminate the major investment study as set forth in section 450.318 of title 23 Code of Federal Regulations, as a separate requirement, and promulgate regulations to integrate such requirement, as appropriate, as part of the analyses required to be undertaken pursuant to the planning provisions of title 23, United States Code, and chapter 53 of title 49, United States Code, and the National Environmental Policy Act of 1969 (42 U.S.C. 4321 et seq.) for Federal-aid highway and transit projects. The scope of the applicability of such regulations shall be no broader than the scope of such section.”

6. Federal Planning Finding for STIP (23 U.S.C. 135(f)(4); 49 U.S.C. 5323(1)):

“A transportation improvement program developed under this subsection shall be reviewed and, on a finding that the planning process through which the program was developed is consistent with this section, section 134 and sections 5303 through 5305 of title 49, approved not less frequently than biennially by the Secretary.”

7. Planning Factors (23 U.S.C. 134 (f)(1)(A-G) and (23 U.S.C. 135(c)(1)(A-G); 49 U.S.C. 5303(a)(1)(A-G)):

- (1) Support the economic vitality of the metropolitan area, especially by enabling global competitiveness, productivity, and efficiency;
- (2) Increase the safety and security of the transportation system for motorized and non-motorized users;
- (3) Increase the accessibility and mobility options available to people and for freight;
- (4) Protect and enhance the environment, promote energy conservation, and improve quality of life;
- (5) Enhance the integration and connectivity of the transportation system, across and between modes, for people and freight;
- (6) Promote efficient system management and operation; and
- (7) Emphasize the preservation of existing transportation system.

8. Public Involvement in Certification Reviews (23 U.S.C. 134 (i)(5)(D)):

“In making certification determinations under this paragraph, the Secretary shall provide for public involvement appropriate to the metropolitan area under review.”

FY 2005 KEY PROGRAM INITIATIVES

Under its Strategic Business Plan (SBP), FTA 's annual apportionment notice draws attention to significant initiatives or focus areas for the year. For FY 2005, these areas are

1. Improved Customer Service,
2. Transportation Coordination –United We Ride and
3. Reporting Independent Single Audit Results.

Improved Customer Service

One of the four “core-accountabilities under FTA’s SBP is to reduce grant processing time. This is the third year FTA will track grant processing time, and, as in last year’s SBP, the goal is to achieve an average processing time of 36 days from the date a complete application is submitted in TEAM-Web, the FTA grant-making system. Reduced grant processing time has been adopted as a core accountability for several reasons. First, it requires FTA to continually examine how it reviews and approves grants, and to find ways to improve the internal processes. More importantly, it reduces the amount of time a grantee must wait from the date of submission of a grant until final approval, responding to the needs of grantees to receive funds on a timely basis in order to maintain their programs. GDOT will work with subgrantees to meet all of the requirements outlined by FTA in the Federal Register Vol. 69, No. 249/Wednesday, December 29, 2004/Notices which outlines what constitutes a complete application. Therefore, for GDOT and GDOT subgrantees this focus area is to provide complete information in the grant application(s).

Transportation Coordination – United We Ride

In February 2004, President Bush issued Executive Order (EO) 13330 on Human Service Transportation Coordination to improve transportation for those are transportation disadvantaged, by improving the coordination of transportation services provided under programs in ten Federal Departments. The goals of the Executive Order are to simplify access to transportation services, reduce duplication and overlap, and improve the effectiveness of the transportation services provided. In response to the EO, the DOT with its partners at the Department of Health and Human Services, Labor, Education, and elsewhere, launched the United We Ride (UWR) initiative. To assist States and communities in moving forward, FTA and the other Federal partners introduced an initiative that included a Framework for Action, a self-assessment tool for States and communities; the National Leadership Forum on Human Service Transportation Coordination; State Coordination Grants; and Technical Assistance. The Georgia DOT was selected to receive a UWR grant which can be used to conduct a comprehensive State assessment and

development and implementation of a comprehensive State action plan for Coordinating Human Service Transportation.

Reporting Independent Single Audit Results

It is critical that key information from the grantee's audit report be reviewed on an annual basis. Therefore, FTA is implementing the new reporting requirements described in the June 17, 2004, Dear Colleague letter from Administrator Dorn. Grantees should continue to work to address any FTA-related findings in these independent annual audits.

Other Emphasis Areas

In addition to the above, PEAs developed by FTA, are offered in this section to guide local areas in outlining their overall program study scope and in developing the Unified Planning Work Programs. Planning programs should provide transit operators and local governments with technical information relative to capital programming, transit operations, management and financing. An additional function is to provide assistance in addressing local compliance with those regulations that are required as a condition of Federal funds. The following is a listing of additional topics which local areas may use in the development of transit-related projects.

- (1) Safety and Security in the Transportation Planning Process
- (2) Integrated Planning and Environmental Process
- (3) Consideration of Management and Operations Within Planning Processes
- (4) Consultation with Non-Metropolitan Local Officials
- (5) Enhancing the Technical Capacity of the Planning Process
- (6) Environmental Justice
- (7) Coordination of Non-emergency Services
- (8) Financial Planning
- (9) Environmental and Community Impact

1. Safety and Security in the Transportation Planning Process

TEA-21 calls for transportation projects and strategies that "increase the safety and security of transportation systems." This entails integration of safety and facility security into all stages of the transportation planning process.

FTA and FHWA are working together to advance the state-of-the-practice in addressing safety and security in the metropolitan and statewide planning processes through workshops and case studies. A report prepared by the Transportation Research Board (TRB), Transportation Research Circular E-C02. "Safety-Conscious Planning," January 2001, describes the issues and recommendations identified at a Safety in Planning workshop held earlier. The report is available on the TRB Web site at <http://www.nas.edu/trb> . Also, the Institute of Transportation Engineers has prepared a

discussion paper on the topic, entitled “The Development of the Safer Network Transportation Planning Process,” which is posted on their Web site at <http://ite.org> .

2. Integrated Planning and Environmental Process

TEA-21 mandates the elimination of the Major Investment Study as a stand-alone requirement, while integrating the concept within the planning and project development/environmental review processes. A training course entitled “Linking Planning and NEPA” is being developed and will be made available at the National Transit Institute Web site <http://www.ntionline.com> .

3. Consideration of Management and Operations Within Planning Processes

TEA-21 Challenges FHWA and FTA to move beyond traditional capital programs for improving the movement of people and goods—focusing on the need to improve the way transportation systems are managed and operated. FTA and FHWA have convened a working group and have commissioned discussion papers on the topic. This information is available at <http://plan2op.fhwa.dot.gov> .

4. Consultation with Non-Metropolitan Local Officials

On January 3, 2003, FTA and FHWA issued a Final Rule on consultation, which can be accessed at <http://www.fta.dot.gov/library/legal/federalregister/2003/fr12303.html> . This final rule amends the 1993 Joint Planning Regulation published in the Federal Register, Volume 58, No. 207, on October 28, 1993. Each State shall have a documented process(es) that implements consultation with non-metropolitan local officials in statewide planning process and development of the statewide transportation improvement program by February 24, 2004. The FTA and FHWA will work with each State to help facilitate development of the documented process(es) but will not review or approve the documented process(es). However, the FTA and FHWA in the State Planning Finding will comment on progress toward accomplishing the documented process(es) and its implementation. Since consultation is a vital issue, each state shall review its documented process and solicit comments regarding the effectiveness of its consultation process within two years of adopting its documented process, and thereafter, at least once every five years.

5. Enhancing the Technical Capacity of the Planning Process

Reliable information on current and projected usage and performance of transportation systems is critical to the ability of planning processes to supply credible information to decision-makers to support preparation of plans and programs that respond to their localities’ unique needs and policy issues. To ensure the reliability of usage and performance data, as well as the responsiveness of policy forecasting tools, an evaluation is needed of the quality of information provided by the technical tools, data sources, forecasting models, as well as the expertise of staff to ensure its adequacy to support decision-making. And if this support is found to be lacking, the responsible agencies within

metropolitan and statewide planning processes are encouraged to devote appropriate resources to enhancing and maintaining their technical capacity.

The metropolitan and statewide transportation planning processes have become critical tools for responding to increasingly complex issues at the State and local levels. Many of these issues are encompassed in previously listed planning emphasis areas (e.g., integrated planning and environmental processes, management and operations, analytical tools and methods) and include much more. The FTA and FHWA have created the Metropolitan Capacity Building (MCB) Program, and the Statewide and Rural Capacity Building Programs as tools to disseminate and coordinate information, training, and foster a dialogue for the exchange of ideas. More information on the MCB program can be found at <http://mcb.fhwa.dot.gov>.

6. Environmental Justice

Increasingly, concerns for compliance with provisions of Title VI of the Civil Rights Act have been raised by citizens and advocacy groups with regard to broad patterns of transportation investment and impact considered in metropolitan and statewide planning. While Title VI and environmental justice concerns have most often been raised during project development it is important to recognize that the law applies equally to the processes and products of metropolitan and statewide planning.

FTA and FHWA are working jointly to develop guidance to support metropolitan areas and states in their efforts to incorporate considerations of transportation equity in their local planning processes and substantiate compliance through demonstrated actions. States and Metropolitan Planning Organizations in their planning processes are generally advised to expand and document their efforts toward two categories of work activity.

- (a) Expanding the focus of public involvement efforts, with special attempts to include the traditionally under-served and under-represented in the planning process.
- (b) Assessing the distribution of benefits and adverse environmental impacts at both the plan and project level.

In the near future, a range of possible procedural and analytical approaches for complying with provisions of Title VI and the Executive Order on Environmental Justice at the planning stage will be developed and disseminated through guidance and regulation.

7. Coordination of Non-Emergency Services

Coordination of program resources for transportation services leads to increased service availability and more cost-effective transportation to persons with limited access and special needs. There are over 70 federal programs in which some aspect of transportation services is an allowable use of funds. The Department of Transportation (DOT) and the Department of Health and Human Services (HHS) are jointly developing

a coordination resource, the Transportation Coordination Toolkit, to assist states and communities in their efforts to improve access to transportation services for persons with disabilities. The initial piece is a guide to coordinating transportation planning for DOT and HHS. Information can be found at <http://www.ccamweb.org>

8. Financial Planning

It is important that this ongoing activity be continued and modified where appropriate to address the additional regulatory requirements, particularly those special requirements related to nonattainment and maintenance areas.

Different types of financial analysis are needed to develop financial plans. To a large extent, the locally adopted metropolitan transportation plan will define the level of financial analysis since the transportation plan sets long term transportation service levels and identifies proposed major capital investments. Regardless of the direction in a transportation plan, there are six basic activities required to produce a long-range financial plan:

- (a) Assessment of existing financial conditions;
- (b) Identification of future financial requirements for operations and maintenance;
- (c) Assessment of the metropolitan area and state's ability to meet their future financial requirements, based on an analysis of existing revenue sources;
- (d) Identification of new sources of revenue, including innovative financing mechanisms and strategies to ensure their availability, to meet any future financial shortfalls;
- (e) Analysis of existing and potential revenue sources (Federal, State and Local both public and private) reflecting long term availability, sensitivity to economic cycles and other factors, etc., and
- (f) Forecasts of baseline transportation system costs (capital, operating, maintenance, modernization) for local officials to use in making service and investment decisions.

TEA-21 includes several changes to the evaluation process and criteria for New Starts Fixed Guideway Projects. The secretary shall consider several additional criteria in the Department's review and evaluation of candidate New Starts Projects. FTA will be required to evaluate each project authorized for new starts funding by each criterion as well as provide an overall project rating of highly recommended, recommended and not recommended. In addition to its annual report to Congress on Funding Levels and Allocations of Funds for Transit Major Capital Improvements, FTA will be required to issue a supplemental report in August of each year which rates all projects that have completed

the alternatives analysis and preliminary engineering since the date of the last report. FTA must also approve candidate New Starts Project's entry into final design. FTA also continues its prior approval authority for entrance into preliminary engineering.

TEA-21 requires that no less than 92% of the annual New Starts Program must be used for final design and construction.

9. Environmental and Community Impact

Local planning processes are encouraged to give early consideration of the natural environment and communities affected by transportation planning and project activities. Air Quality issues are a key concern in some metropolitan areas. Coordinated planning for transportation and land use management will help to create sustainable communities with protection of natural resources, concentration of new development in suitable areas, and control of sprawls with infill development of underutilize areas. State and local officials may choose to evaluate their decision-making process to determine how well it responds to community needs, as called in the Livable Communities initiative. Consideration may be given to joint development of transportation infrastructure projects along with facilities providing goods and services to communities and neighborhoods.

VI. TRANSPORTATION MANAGEMENT AREAS (TMAs)

All urbanized areas more than 200,000 populations have been designated as Transportation Management Areas. Atlanta, Augusta, Columbus and Savannah are the only areas designated as TMAs in Georgia. Atlanta is the only TMA in Georgia that has been designated as a nonattainment area for transportation related pollutants under the Clean Air Act. Within a TMA, all transportation plans and programs should be based on a continuing and comprehensive transportation planning process implemented by the MPO in cooperation with the State and local transit agencies. The transportation planning process for TMAs should include a congestion management system that provides for effective management of new and existing transportation facilities eligible for funding under Title 49 U.S.C. through the use of travel demand reduction and operational management strategies.

For TMAs classified as nonattainment for ozone or carbon monoxide pursuant to the Clean Air Act, Federal funds may not be programmed in such an area for any highway project that will result in a significant increase in carrying capacity for single occupant vehicles unless the project is part of an approved congestion management system. Special requirements are imposed on all attainment and nonattainment TMAs regarding congestion management systems, project selection and certification. These are detailed in the joint FTA/FHWA Planning Regulations (October 28, 1993) and final Management System regulations issued on December 19, 1996.

VII. DEVELOPMENT OF PUBLIC PARTICIPATION PROCESS

Activities related to the formation and implementation of a public involvement effort, which may be undertaken as part of the planning process may include:

- (a) Analysis of current MPO or state public involvement practices for their effectiveness in achieving the performance measures outlined in the planning regulations;
- (b) Identification of innovative public involvement techniques and processes;
- (c) Identification of the “public” Who should be involved? How should they be involved? Whom are the "traditionally under served by transportation" in the given metropolitan area or state, and how can agencies effectively reach out to these groups and get them interested and involved in the planning process?;
- (d) Creation of a task force or series of focus groups to address the formation and implementation of a public involvement process in your area; and,
- (e) Implementation of the enhanced public involvement effort.

MPOs and States should have already reviewed their existing public involvement procedures for consistency with the planning regulations and taken remedial or enhancing steps as appropriate. Continuing enhancement of public involvement processes will be a priority of both FTA and FHWA.

VIII. STATEWIDE TRANSPORTATION PLAN (SWTP)

Each state is mandated to update the Statewide Transportation Plan (SWTP). The development of the SWTP must be consistent with MPO plans. It should be emphasized that plans must ultimately lead to an integrated intermodal and multimodal transportation system that facilitates the efficient movement of both people and goods.

Planning activities related to the plan include:

- (a) Development of methods and criteria for addressing the 7 elements specified in TEA-21 and,
- (b) Development of a process to insure coordination of plan development with participating organizations as required by 23 CFR.

IX. STATEWIDE TRANSPORTATION IMPROVEMENT PROGRAM (STIP)

A statewide transportation improvement program (STIP) must be prepared and approved by FHWA and FTA before Federal assistance authorized by 49 U.S.C. chapter 53 or Title 23 U.S.C. may be awarded. Among other things, the STIP consists of unmodified TIPs,

approved by both the MPO and chief executive officer of the state. TIPs for nonattainment and maintenance areas, however, may not be included in the STIP until the requisite air quality conformity findings are made by FTA and FHWA. Multi-year STIP should be developed with proposed projects and funding sources identified for each year. Transit projects must be selected in accordance with requirements of the specific funding programs. Each project in the grant application must be included in Year 1 of the approved STIP before FTA may award a grant for that project, or be moved from Years 2 and 3 into Year 1 using project selection procedures. If the STIP is used for two years, then each project must be included, as appropriate, in years 1 or 2.

Planning activities related to STIP development under TEA-21 may include:

- (a) Continued development by the states of processes and criteria for the state's metropolitan TIPs and their incorporation within the framework of the STIP; and,
- (b) Development of programming techniques/criteria for non-metropolitan areas.

X. DISADVANTAGED BUSINESS ENTERPRISE PLANNING

There continues to be a need to address DBE/WBE as part of the planning and programming phases of project development. Local areas are encouraged to give full consideration to potential services that could be provided by minority business enterprise in such areas as the development of transit plans, programs and provision of transit service. MPOs may also utilize Section 5303 funds to update existing DBE programs.

XI. FACILITIES AND EQUIPMENT MAINTENANCE PLANNING

The Surface Transportation Act of 1982, requires all Section 5307 grant recipients to certify that they will maintain the facilities and equipment acquired with Section 5307 funds. A maintenance plan should be current to illustrate how the facilities will be maintained, where the financing will come from and what equipment will be needed to maintain the garage and transit facility. In addition, Section 5307 recipients are expected to have included in their maintenance plan, specified goals and objectives of the maintenance program in terms of an acceptable level of vehicle life, frequency of road service, failure rate, ratio of maintenance labor to other labor and related pertinent factors.

XII. PERFORMANCE AUDITS

A performance audit is a transit management tool to evaluate such areas as management and organization, service planning, marketing, scheduling, transportation, maintenance, purchase and inventory, safety training, finance and accounting, and labor relations.

The audits can determine the extent to which operators of public transit have established and met goals and objectives, developed performance standards and performance

measures, and operated in an effective, efficient and economical manner. This same audit can be a means of identifying needed system improvements.

Performance audits are an effective management tool to evaluate program effectiveness. Each year, the Georgia General Assembly appropriates funding specifically for the urban and rural transit systems. This support along with Federal assistance, has increased fleet size, routes and hours of operation. There has been a parallel increase in public concern about the impact and use of public funds for transit purposes.

New performance audits should be undertaken periodically in an effort to improve performance. Transit planners should monitor and evaluate on an ongoing basis, the achievements of major recommendations of completed performance audits.

XIII. PARATRANSIT PLANNING

A coordinated paratransit program could be an effective means of addressing commuter needs. Paratransit by definition refers to passenger transportation modes available to the public, distinct from conventional transit, and can be operated over the highway and street system. Paratransit also describes the spectrum of service options between the private automobile and fixed route, fixed schedule buses. These service options include carpools, vanpools, shared-ride taxis, jitneys, subscription buses and demand responsive buses.

Paratransit systems have common characteristics in that they are designed to respond directly to demand without fixed schedules or routes except in carpools or subscription bus operations. They have origin-destination capabilities approaching those of the private automobile and their capital and operating costs are usually lower than conventional transit systems.

The operating policies for many of the paratransit options can be varied to adjust service to passenger demands. Thus, operators of paratransit services are allowed to provide a special, personalized service suitable to a specific area. In lower density areas, the paratransit option may provide a less expensive and more effective modal alternative.

Currently, there are three major applications for paratransit services. Paratransit can (1) extend transit service to lower density suburban areas; (2) provide circulation service in downtown areas; (3) be leased to provide specialized transportation service to such groups as the elderly and persons with disabilities.

The study of paratransit options in the urbanized area should be considered as a possible planning option in the UPWP.

XIV. CONTRACTUAL COMPLIANCE ISSUES

As a condition of receipt of Federal funds, local area grantees are required to certify and to assure that they will comply with applicable regulations, executive orders and administrative

rules. At a minimum each recipient of funds should establish documentation to evidence compliance with those requirements that are applicable to the grant project(s). Special consideration should be given to the following:

FTA Title VI Data Collection and Reporting - Each Federal department and agency providing financial assistance for any program or activity is authorized and directed by the Department of Justice to effectuate provisions of Title VI of the Civil Rights Act of 1964 for each program or activity by issuing generally applicable rules, regulations, or requirements. In this regard, FTA has the responsibility to ensure that federally supported transit services and related benefits are distributed by applicants, recipients and subrecipients of FTA assistance in a manner consistent with Title VI. The employment practices of a grant applicant are also covered under Title VI if the primary purpose of the FTA supported program is to provide employment or those employment practices would result in discrimination against beneficiaries of FTA assisted services and benefits.

The objectives of the FTA Title VI program are as follows:

- (1) To ensure that FTA-assisted benefits and related services are made available and are equitably distributed without regard to race, color, or national origin;
- (2) To ensure that the level and quality of FTA-assisted transit services are sufficient to provide equal access and mobility for any person without regard to race, color, or national origin;
- (3) To ensure that opportunities to participate in the transit planning and decision making processes are provided to persons without regard to race, color, or national origin;
- (4) To ensure that decisions on the location of transit services and facilities are made without regard to race, color, or national origin; and
- (5) To ensure that corrective and remedial action is taken by all applicants and recipients of FTA assistance to prevent discriminatory treatment of any beneficiary based on race, color, or national origin.

The objectives outlined above are the basis of the FTA Title VI Program. Recipients of FTA financial assistance must adopt a Title VI compliance program that is consistent with the requirements described herein and in FTA Circular C4702.1. In order to achieve these objectives and to facilitate monitoring of the Title VI program, FTA has developed both general and program specific data collection and reporting requirements. Recipients of FTA Section 5303 Metropolitan Planning funds must collect Title VI data and submit the reports described in Exhibit 5.

Quarterly Milestone/Progress Reports - Project Management Guidelines (FTA Circular 5010.1C) require each local MPO to submit quarterly progress reports on the planning activities funded under Title 49 U.S.C. Section 5303 assistance. The progress report

summarizes grant activity in a specified format. The report should contain budget information (revisions, additions, deletions) as well as a narrative description of activities by line item for the quarter. **A sample report is illustrated in Appendix V. The original report must be submitted to the GDOT (Atlanta) Office of Intermodal Programs by the 10th day after the end of the quarter. Please note that in order to make the deadline, the quarterly progress narrative should be sent separate from the reimbursement request.**

Project Completion Report - A copy of all documents completed using FTA and/or State funds should be submitted to GDOT either during the grant period or immediately after the grant has ended. At the end of each contract, a project completion report must be completed and submitted to GDOT. This report will include all technical documents, reports, research, etc. produced under the FTA grant. These projects should be identified both in the UPWP and in the FTA grant application.

Project Closeout – In order to close out expired contracts, a final request for reimbursement must be sent to GDOT Office of Intermodal Programs. An audit is also required in the Office of Intermodal Programs within 90 days of the end of the contract period.

XV. APPLICATION REQUIREMENTS

Urbanized areas wishing to participate in the FTA Title 49 U.S.C. Section 5303 planning program must complete the following application components:

- (1) Letters of Transmittal to Georgia DOT
- (2) UPWP Work Elements
- (3) Authorizing Resolution
- (4) Budget Information
- (5) FTA Title VI Report
- (6) Annual Listing of FTA Certifications and Assurances
- (7) Project Milestones
- (8) Clearing House Review Form

The original application (not a copy) should be forwarded to the Georgia Department of Transportation, Office of Intermodal Programs by **Friday, April 15, 2005**. Samples of application components follow.

EXHIBIT 1

SAMPLE LETTER OF TRANSMITTAL

Mr. Hal Wilson, Administrator
Office of Intermodal Programs
Georgia Department of Transportation
276 Memorial Drive, S.W.
Atlanta, Georgia 30303-3743

Attention: Mr. Steven J. Kish

Dear Mr. Wilson:

Based on the information contained in the (urbanized area) metropolitan area FY _____ Unified Planning Work Program, we are requesting a Title 49 U.S.C. Section 5303 metropolitan planning grant of (80% Federal share) to aid in transportation planning. In addition, we are also requesting a 10 percent State share for this project in the amount of (10% State share). Local funds consisting of (10% Local share) will be provided by (Legal Entity) in the form of (cash, in-kind services, or both) from (specific resources).

The following information in support of the statewide application is submitted for your review:

1. Letters of Transmittal
2. UPWP Work Elements
3. Authorizing Resolution
4. Budget Information
5. FTA Title VI Report
6. Annual Listing of FTA Certifications and Assurances
7. Project Milestone
8. Clearing House Review Results with State Clearinghouse Number

If you have any questions on these matters, please contact (principal contact) at (phone number).

Sincerely,

Signature of Designated Official

EXHIBIT 2

UPWP WORK ELEMENTS

The Unified Planning Work Program supports the FTA grant application. Describe each transit work task in the format outlined below.

1. Objective/Purpose
2. Methodology
3. Participants - Lead Planner/Coordinating Agencies
4. Schedule of Activities
5. Products
6. Proposed Funding Sources

EXHIBIT 3

AUTHORIZING RESOLUTION

Resolution authorizing the filing of an application with the Department of Transportation, United States of America, and Georgia Department of Transportation, for a grant under Title 49 U.S.C., Section 5303.

WHEREAS, the Secretary of the US Department of Transportation and the Commissioner of the Georgia Department of Transportation are authorized to make grants for mass transportation projects;

WHEREAS, the contract for financial assistance will impose certain obligations upon the applicant, including the provision by it of the local project costs;

WHEREAS, it is required by the U.S. Department of Transportation in accord with the provisions of Title VI of the Civil Rights Act of 1964, that in connection with the filing of an application for assistance under Title 49 U.S.C. Section 5303 the Applicant gives an assurance that it will comply with Title VI of the Civil Rights Act of 1964 and other pertinent directives and the U.S. Department of Transportation requirements thereunder; and

WHEREAS, it is the goal of the Applicant that Minority Business Enterprise (Disadvantaged Business Enterprise and Women's Business Enterprise) be utilized to the fullest extent possible in connection with this project, and that definitive procedures shall be established and administered to ensure that minority business shall have the maximum feasible opportunity to compete for contracts and purchase orders when procuring construction contracts, supplies, equipment contracts, or consultant and other services:

NOW, THEREFORE, BE IT RESOLVED by (Governing Body of Applicant)

1. That the Designated Official (Name and Title, hereinafter referred to as The Official) is authorized to execute and file an application on behalf of (Exact Legal Name of Applicant) with the Georgia Department of Transportation, to aid in the financing of a technical study grant to implement specific items of the FY (____) (metropolitan area) Unified Planning Work Program.
2. That the Official is authorized to execute and file with such application and assurance or any other document required by U.S. Department of Transportation and Georgia Department of Transportation effectuating the purposes of this grant;
3. That the Official is authorized to furnish such additional information as the U.S. Department of Transportation and the Georgia Department of Transportation may require in connection with the application or the project;

4. That the Official is authorized to set forth and execute Minority Business Enterprise, DBE (Disadvantaged Business Enterprise) and WBE (Women Business Enterprise) policies and procedures in connection with the project's procurement needs.

5. That the Official is authorized to execute a grant agreement on behalf of (Exact Legal Name of Applicant) with the Georgia Department of Transportation to aid in the financing of a technical study grant to implement specific items of the (metropolitan area) Unified Planning Work Program.

CERTIFICATE

The undersigned duly qualified and acting (Title of Officer) of the (Exact Legal Name of Applicant) certifies that the foregoing is a true and correct copy of a resolution, adopted at a legally convened meeting of the (Governing Body of the Applicant) held on _____, 20____.

If the applicant has an
official seal,
impress here

(Signature of Recording Officer)

(Title of Recording Officer)

(Date)

EXHIBIT 4

Section 5303 Budget Information*

Technical Classifications			
UPWP Task #	Activity Line Item (ALI) Code	Description	Estimated Project Cost
	44.21.00	Program Support & Administration	
	44.22.00	General Development & Comprehensive Planning	
	44.23.01	Long Range Transportation Planning (System Level)	
	44.23.02	Long Range Transportation Planning (Project Level)	
	44.24.00	Short Range Transportation Planning	
	44.25.00	Transportation Improvement Program (TIP)	
	44.26.06	Safety	
	44.26.07	Management & Operations	
	44.26.09	Planning/NEPA Integration	
	44.26.10	Consultation with Local Officials	
	44.26.11	Enhancing Technical Capacity of the Planning Process	
	44.27.00	Other Activities	
		Total Project Cost (100%)	

Accounting Classifications		
Activity Line Item (ALI)	Description	Estimated Project Cost
41.20.01	Personnel	
41.20.12	Fringe Benefits	
41.20.03	Travel	
41.20.04	Equipment	
41.20.05	Supplies	
41.20.06	Contractual	
41.20.07	Other	
41.20.08	Indirect Charges	
	Total Project Cost (100%)	

Fund Allocations	
Federal Share (80%)	
MPO Share (10%)	
State Share (10%)	
Total Project Cost (100%)	

*See Appendix for description of technical and accounting classifications

EXHIBIT 5

FTA TITLE VI DATA COLLECTION AND REPORTING

(page 1 of 2)

All applicants for FTA funding are required to maintain and provide GDOT and FTA with certain Title VI information. The required information is outlined in Part 1 - General Requirements and Part 2 - MPO Reporting Requirements. Updated information should be provided to the Department for Part 1 and Part 2 annually. ***The information should be relevant to the organizational entity actually submitting the application, not necessarily the larger agency or department of which the entity is a part.***

Part 1 - General Reporting Requirements:

- (1) A list of any active lawsuits or complaints naming the applicant which allege discrimination on the basis of race, color, or national origin with respect to service or other transit benefits. The list should include:
 - (a) The date the lawsuit or complaint was filed;
 - (b) A summary of the allegation; and
 - (c) The status of the lawsuit or complaint

- (2) A description of all pending applications for financial assistance, and financial assistance currently provided by other federal agencies.

- (3) A summary of all civil rights compliance review activities conducted in the last 3 years. The summary should include:
 - (a) The purpose or reason for the review;
 - (b) The name of the agency or the organization that performed the review;
 - (c) A summary of the findings and recommendations of the review; and
 - (d) A report on the status and/or disposition of such findings and recommendations.

EXHIBIT 5 (page 2 of 2)

Part 2 - MPO Reporting Requirements

1. Assessment of Planning Efforts

Provide a written description of continuing planning efforts which are responsive to the requirements of Title VI to ensure that transit planning and programming are nondiscriminatory. The description should also discuss how activities or projects programmed in the UPWP and TIP will be implemented on a nondiscriminatory basis. FTA expects MPO's to address any Title VI concerns raised during compliance reviews conducted by either transit providers or by FTA or as a result of a Title VI service complaint issue involving programming, planning activities, or capital improvements.

2. Monitor Title VI Activities

Monitor the Title VI activities and/or programs of local transit systems. In particular, the MPO is requested to provide documentation describing efforts to:

- (a) Identify minority communities that will be affected by proposed service changes, such as route modifications, additions, deletions, or extensions under consideration by local transit providers; and
- (b) Provide technical assistance or guidance to local transportation providers in updating and developing Title VI information

3. Information Dissemination

Provide a description of the methods used to inform minority communities of planning efforts (e.g., public notices, public hearings, other formal or informal public discussions, presentations, meetings, etc.) relating to transit service and improvements.

4. Minority Participation in the Decision making Process

Provide a written statement describing how minority groups or persons are afforded an opportunity to participate in local decision making processes. In particular, the statement should describe liaison activities with minority community groups and other efforts to obtain minority views on transportation issues.

5. Minority Representation on Decision making Bodies

Provide a racial breakdown for transit related non-elected boards, advisory councils or committees, and a description of efforts made to encourage the participation of minorities on such boards or committees.

EXHIBIT 6 (Page 1 of 2)
(Not Applicable to MPOs without Transit Agencies)

FEDERAL FY 2005 CERTIFICATIONS AND ASSURANCES FOR FTA ASSISTANCE*

Both pages of this signature document must be completed and signed as indicated.

The applicant agrees to comply with applicable requirements of Categories 1-16. **(The Applicant may make this selection in lieu of individual selections below.)**

OR

The Applicant agrees to comply with the applicable requirements of the following categories it has selected:

Category:

- | | | |
|-----|---|--------------------------|
| 01. | Required of Each Applicant | <input type="checkbox"/> |
| 02. | Lobbying | <input type="checkbox"/> |
| 03. | Private Mass Transportation Companies | <input type="checkbox"/> |
| 04. | Public Hearing | <input type="checkbox"/> |
| 05. | Acquisition of Rolling Stock | <input type="checkbox"/> |
| 06. | Bus Testing | <input type="checkbox"/> |
| 07. | Charter Service Agreement | <input type="checkbox"/> |
| 08. | School Transportation Agreement | <input type="checkbox"/> |
| 09. | Demand Responsive Service | <input type="checkbox"/> |
| 10. | Alcohol Misuse and Prohibited Drug Use | <input type="checkbox"/> |
| 11. | Interest and Other Financing Costs | <input type="checkbox"/> |
| 12. | Intelligent Transportation Systems Program | <input type="checkbox"/> |
| 13. | Urbanized Area, JARC, and Clean Fuels Program | <input type="checkbox"/> |
| 14. | Elderly and Persons with Disabilities Program | <input type="checkbox"/> |
| 15. | Non-urbanized Area Formula Program | <input type="checkbox"/> |
| 16. | State Infrastructure Bank (SIB) Program | <input type="checkbox"/> |

(Both sides of this Signature Page must be appropriately completed and signed as indicated.)

EXHIBIT 6 (Page 2 of 2)

FTA Certifications and Assurances for Federal Fiscal Year 2005

Name of Applicant: _____

Name and Relationship of Authorized Representative: _____

BY SIGNING BELOW I, _____ (name) on behalf of the applicant, declare that the Applicant has duly authorized me to make these certifications and assurances and bind the Applicant's compliance. Thus, the Applicant agrees to comply with all Federal statutes, regulations, executive orders, and administrative guidance required for each application it makes to the Federal Transit Administration (FTA) in Federal Fiscal year 2005.

FTA intends that the certifications and assurances and bind the Applicant's compliance. Thus, the Applicant selects on page 1 of this document, as representative of the certifications and assurances in Appendix A* should apply, as required, to each project for which the Applicant seeks now, or may later, seek FTA assistance during Federal Fiscal Year 2005.

The Applicant affirms the truthfulness and accuracy of the certifications and assurances it has made in the statements submitted herein with this document and any other submission made to FTA, and acknowledges the provisions of the Program Fraud Civil Remedies Act of 1986, 31 U.S.C. 3801 et. seq., as implemented by the U.S. DOT regulations, "Program Fraud Civil Remedies, "49 CFR part 31 apply to any certification, assurance or submission made to FTA. The criminal fraud provisions of 18 U.S.C. 1001 apply to any certification, assurance, or submission made in connection with the Metropolitan Planning Program, 49 U.S.C. 5303, and may apply to any other certification, assurance, or submission made in connection with any other program administered by FTA.

In signing this document, I declare under penalties of perjury that the foregoing certifications and assurances, and any other statements made by me on behalf of the applicant are true and correct.

Date: _____

(Authorized Representative of Applicant)

(The Applicant's legal counsel is required to affirm the legal capacity of the Applicant.)

AFFIRMATION OF APPLICANT'S ATTORNEY

for _____ (Name of Applicant)

As the undersigned legal counsel for the above-named applicant I hereby affirm that the Applicant has authority under state and local law to make and comply with the certifications and assurances as indicated on the foregoing pages. I further affirm that, in my opinion, the certifications and assurances have been legally made and constitute legal and binding obligations on the Applicant.

I further affirm that, to the best of my knowledge, there is no legislation or litigation pending or imminent that might adversely affect the validity of these certifications and assurances, or the performance of the project. Furthermore, if I become aware of circumstances that change the accuracy of the foregoing statements, I will notify the Applicant and FTA promptly.

Date: _____

(Applicant's Attorney)

EXHIBIT 7

FTA PROJECT MILESTONE DATES

1. Grantee Name
2. Contact person(s) and telephone number
3. For each UPWP activity complete the Estimated Completion Dates:

Example:

<u>UPWP Task Activity</u>	<u>Estimated Completion Date</u>
1. TIP Development	May 30, 2006
2. Program Support/Administration	June 30, 2006

For Consultant Work, please provide three (3) dates:

1. RFP Out For Bid
2. Contract Award
3. Contract Complete

APPENDIX

APPENDIX I
Georgia Intergovernmental Consultation Process

Applicant:

Project Name:

Applicant's Address:

Name and Title of Contact Person:

Phone:

Impacted City/Cities:

Impacted County/Counties:

Project Description (Nature, Purpose, Location):

Funding

Federal Catalog Number: 20.505

Source	\$ Amount	Federal Program Name: Section 5303
Basic Federal Grant		Federal Agency Name: Federal Transit Administration. Federal Agency's Address: Atlanta Federal Center, Suite 17T50, 61 Forsyth St. S.W., Atlanta, GA 30303- 3109 Name and Title of Contact Person: Tony Dittmeier, Transportation Program Specialist Telephone: (404)562-3512
State Matching Grant		
Local Matching Grant		
Total Cost		

Impacted Regional and Metropolitan Clearinghouse:

Signature of Authorizing Official	Title	Date
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Appendix I (Continued)

(Page 2 of 2)

- * **Please send completed form to: State Clearinghouse c/o Barbara Jackson, Office of Planning and Budget, Suite 8069, 270 Washington Street, S.W., Atlanta, Georgia 30334. Fax# (404) 656-7916.**
- * **Do Not Send to the Regional Development Center (RDC)**

The original form should be sent to the State Clearinghouse, c/o Barbara Jackson, Office of Planning and Budget, Suite 8069, 270 Washington Street, S.W., Atlanta, Georgia 30334. Fax # (404) 656-7916. If the project is to be located in a locale served by a Metropolitan Clearinghouse, a legible copy must be sent to the appropriate MPO for review and approval (except in Atlanta).

When completing the Intergovernmental Consultation Form, the applicant must be sure to include the following information:

1. Identification of the applicant.
2. Federal program title, number and agency under which assistance is sought as listed in the latest **Catalog of Federal Domestic Assistance**.
3. Geographic location of the proposed project by type accompanied by a map (physical development only).
4. Brief description of the proposed project by type, purpose, general size, or scale, estimated cost, beneficiaries or other characteristic details.

* **Note:** The State Clearinghouse will coordinate area wide clearinghouse responses with the respective Regional Development Centers including ARC. **DO NOT SEND TO RDC.**

APPENDIX II

BUDGET INFORMATION FORM

The budget information portion of the application consists of preparation of the Budget Information Form (Exhibit 4). Definitions for the technical and accounting classification codes are provided. These should be carefully reviewed before costs are distributed by categories. (Appendix III)

Total project costs by technical and accounting classification should be identical. There are also blanks provided for UPWP Task Numbers. These must also be completed.

APPENDIX III

DEFINITION OF TECHNICAL ACTIVITIES

(1) Program Support and Administration (44.21.00)

Include basic overhead, program support and general administrative costs directly chargeable to the FTA project; i.e., direct program support, grant administration, interagency coordination, citizen participation, public information, local assistance, UPWP development, etc. (If direct program administrative and support costs are included in each individual work task, do not enter them a second time in this category.)

(2) General Development and Comprehensive Planning (44.22.00)

Include only the costs of activities specifically emphasizing regional policy and system planning for non-transportation functional areas, including demographic analysis and non-transportation modeling and forecasting activity, i.e., land use, housing, human services, environmental and natural resources, recreation and open space, public facilities and utilities.

(3) Long-Range Transportation Planning (LRTP) - System Level (44.23.01)

Include only costs of activities specifically emphasizing long-range transportation system planning and analysis; i.e., long-range travel forecasting and modeling, system analysis, sketch planning, system plan development, reappraisal or revision, and all long-range Transportation System Management (TSM) activities.

(4) Long-Range Transportation Planning (LRTP) – Project Level (44.23.02)

Include only costs of activities specifically emphasizing long-range transportation project planning and analysis; i.e Major Investment Studies (corridor and sub-area studies), cost effectiveness studies, feasibility and location studies, and the preparation of related draft environmental impact studies.

(5) Short-Range Transportation Planning (SRTP) (44.24.00)

Include only the costs of activities specifically emphasizing short-range transportation system or project planning and analysis; i.e., management analysis of internal operations such as management/administration, maintenance, personnel, and labor relations; service planning including appropriate data base development and maintenance; TDP preparation; financial management planning, including alternative farebox policies; all short-range Transportation System Management (TSM) activities including vanpooling/ridesharing, HOVs, parking management, etc.

(6) Transportation Improvement Program (TIP) (44.25.00)

Include only the costs of activities specifically emphasizing TIP development and monitoring.

(7) Safety and Security in the Transportation Planning Process (44.26.06)

Costs related to the development of transportation plans and strategies that increase the safety and security of transportation systems.

(8) Consideration of Management and Operations Within the Planning Process (44.26.07)

Planning activities dealing with improvement of management and operations of transit systems.

(9) Environmental Streamlining (44.26.09)

Planning costs associated with integrating the MIS stand alone study with the NEPA process.

(10) Consultation with Non-Metropolitan Local Officials (44.26.10)

Costs associated with development of the documented process that implements consultation with non-metropolitan local officials in statewide planning process and development of the statewide transportation improvement program. This process documentation is due from the State by February 24, 2004.

(11) Enhancing Technical Capacity of the Planning Process (44.26.11)

Costs related to teaching/training of the MPO committees about the MPO Process. Also costs related to staff training.

(12) Other Activities (44.27.00)

Includes only the cost of those activities whose primary emphasis is unrelated to the specific types of activities described above. (Only a minority of funds reported should be included as a part of this line item.)

APPENDIX IV

DEFINITION OF ACCOUNTING CATEGORIES

(1) Personnel (41.20.01)

Include only the cost of gross compensation (before deductions for taxes and other purposes) for services of individuals devoted specifically to the execution of the federally funded project to the exclusion of indirect labor. This category includes additional pay for overtime and holiday work.

(2) Fringe Benefits (41.20.12)

Include only the payments made by the project sponsor to provide health and security benefits for employees to include FICA, state and Federal unemployment taxes, state disability insurance, workman's compensation insurance, hospitalization and medical insurance, and pension and annuity funds.

(3) Travel (41.20.03)

Include only the cost for transportation of employees or others, their per diem allowances while in an authorized travel status, and other expenses incident to travel. This category includes authorized commercial transportation charges, rental of passenger cars and mileage allowances for privately owned vehicles. It also includes taxi fares whether used for local transportation or for travel away from a designated home base.

(4) Equipment (41.20.04)

Include only the cost of personal property of a more or less durable nature acquired specifically for the purpose of the grant. Such property would be expected to have a period of service of a year or more after put into use with material impairment of its physical condition. It includes charges for services in connection with initial installation of equipment when performed under contract. This category may consist of both capitalized and non-capitalized equipment to include ADP hardware and software.

(5) Supplies (41.20.05)

Include only the costs of all commodities whether acquired by formal contract or other forms of purchase, (a) which are ordinarily consumed or expended within one year after they are put into use, or, (b) which are converted in the process of construction or manufacture, or, (c) which are used to form a minor part of equipment or fixed property. This category would include office supplies, fuels, and pamphlets.

(6) Contractual (41.20.06)

Include only the cost of services furnished specifically for the grant program by other agencies on a pass through basis or companies through contractual charges. It would include transportation of things (freight charges), rents, communications, utilities, printing and reproduction, and organization wide audits. This category would also include consultant services, external audits of third party contracts, ADP equipment lease or rental, and contractual ADP services.

(7) Other (41.20.07)

Include only those costs not otherwise included in the other direct cost categories. This category may also contain small amounts for contingencies due to cost uncertainties that may exist at the time the application and planning work programs are prepared.

(8) Indirect Charges (41.20.08)

Include only those costs that are (a) incurred for a common or joint purpose benefiting more than one cost objective or project; and (b) not readily assignable to the cost objectives or projects specifically benefited. Indirect charges can originate in the project sponsor's department, as well as being incurred by other departments in supplying goods, services, and facilities to the project sponsor's department. OMB Circular A-87 sets forth principles for determining allowable costs of programs administered by State and Local governments under grants from the Federal Government.

APPENDIX V

**SECTION 5303
Quarterly Report Form**

UPWP Task #	Budget Code	<u>Budget Line Item Description</u>	Approved Budget	Budget Change	Est. Completion Date	Grant Accomplishments and Comments
	44.21.00	Program Support & Administration				
	44.22.00	General Development & Comprehensive Planning				
	44.23.01	Long Range Transportation Planning (System Level)				
	44.23.02	Long Range Transportation Planning (Project Level)				
	44.24.00	Short Range Transportation Planning				
	44.25.00	Transportation Improvement Program (TIP)				
	44.26.06	Safety				
	44.26.07	Management & Operations				
	44.26.09	Planning/NEPA Integration				
	44.26.10	Consultation with Non- Metropolitan Local Officials				
	44.26.11	Enhancing Technical Capacity of the Planning Process				
	44.27.00	Other Activities				
		Totals				

**APPENDIX VI-A
SAMPLE FINAL REIMBURSEMENT/CLOSEOUT LETTER**

Mr. Steven J. Kish
Transit Program Manger
Office of Intermodal Programs
Georgia Department of Transportation
276 Memorial Drive, S.W.
Atlanta, GA 30303-3743

RE: Project No. (**ENTER PROJECT NUMBER**)
Final Reimbursement Request/Contract Closeout

Dear Mr. Kish,

ENTER AGENCY NAME requests that project **ENTER PROJECT NUMBER** be processed for closeout. Please find the attached final zero (\$.0.00) request for reimbursement for this contract. All payments have been received form this contact and we are ready to proceed with closeout of the contract.

If you have any questions on these matters, please contact (**ENTER PRINCIPAL CONTACT**) at (**ENTER PHONE NUMBER**).

Sincerely,

Signature of Designated Official

**APPENDIX VI-B
SAMPLE FINAL REIMBURSEMENT/CLOSEOUT INVOICE**

TRANSIT PLANNING SERVICES
Reimbursement Form

Agency Name: ABC Metropolitan Planning Commission
Contract No.# MTG00-0000-00-00
Period Covered: July 1, 2003 to June 30, 2004

Payment No. 5 (Final)

Funding Participation

Local (10%)	\$5,625.00
State (10%)	\$5,625.00
Federal (80%)	\$45,000.00
TOTAL	\$56,250.00
 Total Federal + State (90%)	 \$50,625.00

	<u>This Request</u>	<u>Year to Date</u>
Direct Salaries	\$0.00	\$11,257.02
Fringe Benefits	\$0.00	\$3,377.12
Indirect	\$0.00	\$10,234.88
Contractual	\$0.00	\$29,669.04
Supplies	\$0.00	\$720.00
 Total Costs	 \$0.00	 \$55,267.06
Less Amount Over Budget	\$0.00	\$0.00
Billable Costs	\$0.00	\$55,267.06
Total Request (90%)	\$0.00	\$49,740.35

Current Reimbursement Request = \$0.00

Reviewed and Authorized by: _____

APPENDIX VII

FEDERAL REGISTER
Tuesday, October 26, 2004

DEPARTMENT OF TRANSPORTATION
FEDERAL TRANSIT ADMINISTRATION

*Grants and Cooperative Agreements;
Fiscal Year 2005 Annual List of
Certifications and Assurances*

Prepared by:
Georgia Department of Transportation
Office of Intermodal Programs