



U.S. Department
of Transportation

Federal Transit
Administration

CIRCULAR

FTA C 6100.1C

Subject: TRANSIT RESEARCH AND TECHNOLOGY PROGRAMS: APPLICATION INSTRUCTIONS AND PROGRAM MANAGEMENT GUIDELINES

1. **PURPOSE.** The purpose of this circular is to provide instructions and guidance on funding procedures and project management responsibilities for the Federal Transit Administration's (FTA) Transit Research and Technology Program.
2. **CANCELLATION.** This circular cancels FTA Circular 6100.1B, "Application Instructions and Program Management Guidelines for Section 3(a)(1)(C), Technology Introduction; Section 4(i), Innovative Techniques and Methods; and Section 6, Technical Assistance, Grants and Cooperative Agreements," dated 8-24-88.
3. **EXPLANATION OF CHANGE.** This circular incorporates information necessary to comply with Federal transit laws as codified in 49 United States Code, Chapter 53, the Government Performance and Results Act (GPRA), the DOT Strategic Plan, the FTA Strategic Plan, Performance Plan, Transit Research and Technology 5-Year Plan, funding procedures, and project management requirements. In particular, this Circular has been modified to reflect recent changes to Federal transit law, and to reflect other laws that have come into effect since its last publication.
4. **REFERENCES.**
 - a. Federal Transit Administration enabling legislation codified at 49 U.S.C. chapter 53 [49 U.S.C. chapter 53 may be viewed at FTA's website:<http://www.fta.dot.gov/>]. See Table I-1, page I-3, for a list of pertinent references current as of the date of issuance and related website URLs.
 - b. Transportation Equity Act for the 21st Century, Pub. L. No. 105-178, 6-9-88.
 - c. TEA-21 Restoration Act, Pub. L. 105-206, 7-22-98.
 - d. Intermodal Surface Transportation Efficiency Act of 1991, Pub. L. 102-240, 105 Stat. 1914, 12-18-91.
 - e. Title 23, United States Code (Highways).

- f. Section 504 of the Rehabilitation Act of 1973, as amended, 29 U.S.C. Section 794.
- g. U.S. DOT regulations, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments," 49 C.F.R. Part 18.
- h. U.S. DOT regulations, "Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations," 49 C.F.R. Part 19.
- i. U.S. DOT regulations, "Intergovernmental Review of Department of Transportation Federal Programs and Activities," 49 C.F.R. Part 17.
- j. Drug-Free Workplace Act of 1988, 49 U.S.C. Sections 702 *et seq.*
- k. U.S. DOT regulations, "New Restrictions on Lobbying," 49 C.F.R. Part 20.
- l. U.S. DOT regulations, "Participation by Disadvantaged Business Enterprises in Department of Transportation Financial Assistance Programs," 49 C.F.R. Part 26.
- m. U.S. DOT regulations, "Nondiscrimination on the Basis of Handicap in Programs and Activities Receiving or Benefiting from Federal Financial Assistance," 49 C.F.R. Part 27.
- n. U.S. DOT regulations, "Governmentwide Debarment and Suspension (Nonprocurement) and Governmentwide Requirements for Drug-free Workplace (Grants)," 49 C.F.R. Part 29, Subpart F.
- o. U.S. DOT regulations, "Procedures for Transportation Workplace Drug Testing Program," 49 C.F.R. Part 40.
- p. FTA regulations, "Transportation for Elderly and Handicapped Persons," 49 C.F.R. Part 609.
- q. Department of Labor Guidelines, "DOL Guidelines, Section 5333(b), Federal Transit law," 29 C.F.R. Part 215.
- r. OMB Circular A-21, "Cost Principles for Educational Institutions," dated 8-8-00.
- s. OMB Circular A-87, "Cost Principles for State, Local and Indian Tribal Governments," dated 5-04-95, further amended 8-29-97.
- t. OMB Circular A-89, "Catalog of Federal Domestic Assistance," dated 8-17-84.

- u. OMB Circular A-122, "Cost Principles for Non-Profit Organizations," dated 5-19-98.
 - v. OMB Circular A-133, "Audits of States, Local Governments, and Non-Profit Organizations," dated 6-24-97.
 - w. FTA Circular 4220.1E, "Third Party Contracting Requirements," dated 6-19-03. [FTA Program Guidance Checklist: <http://www.fta.dot.gov/library/policy/tpcr.html> as amended by Change 1: <http://www.fta.dot.gov/library/policy/tpcrpc.htm>]
 - x. FTA Circular 4702.1, "Title VI Program Guidelines for Federal Transit Administration Recipients," dated 5-26-88.
 - y. FTA Circular 4704.1, "Equal Employment Opportunity Program Guidelines for Grant Recipients," dated 7-26-88.
 - z. FTA National ITS Architecture Policy on Transit Projects; Notice," dated 1-8-01, in the Federal Register at 66 FR 1455.
5. **WAIVERS**. To the extent permitted by law, the Federal Transit Administrator reserves the right to waive any provision of this circular.

Jennifer L. Dorn
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CHAPTER I

INTRODUCTION, OVERVIEW OF SPECIFIC PROGRAMS

1. **INTRODUCTION**. Public transportation systems are an increasingly important element in the Nation's overall transportation system. Public transit increases basic mobility for millions of Americans, provides congestion relief and promotes safe travel. Whether transit is used out of necessity or by choice, it continues to offer an effective alternative that links the traveling public to their jobs, schools, services and recreation.

The Federal Transit Administration (FTA) is the principal source of Federal financial assistance to America's communities for the planning, development and improvement of public transportation systems. FTA provides leadership, technical assistance, and financial resources for safe, technologically advanced public transportation to enhance mobility and accessibility, to improve the Nation's communities and natural environment and to strengthen the national economy.

FTA takes a leadership role in coordinating transit research and technology activities for public transit agencies and the private sector, promoting global competitiveness, facilitating international information exchange and mainstreaming innovation.

In support of FTA's mission, the FTA Office of Research, Demonstration and Innovation partners with the transportation industry to accomplish deployment of technological innovations to improve personal mobility, minimize fuel consumption and air pollution, increase ridership and enhance the quality of life in all communities.

FTA follows a comprehensive Research and Technology Business Plan, developed in consultation with the transit industry, as a roadmap for implementing Departmental and agency strategic plans. The specific program areas included in this plan include: safety and security, equipment and infrastructure, fleet operations, policy and planning, and professional capacity building. The Research and Technology Business Plan also supports the goals and objectives of the Government Performance and Results Act of 1996, which requires each Federal agency to develop strategic goals, plans, and performance measures with participation and feedback from external customers.

In mainstreaming the FTA Research and Technology Program, FTA requires all recipients of funds for research and technology projects to develop and follow an implementation plan consistent with the direction and guidance in this circular. Readers are encouraged to refer to the most current FTA Strategic Plan and the Transit Research and Technology Business Plan to learn more about FTA's current Research and Technology Program activities.

2. **LEGISLATIVE AUTHORITY.** Statutory authority for FTA's Office of Research and Technology activities is as follows:
 - aa. **Authorizing Legislation.** Enacted by Congress, authorizing legislation establishes or continues the legal operation of a Federal program or agency. FTA's most recent authorizing legislation is the Transportation Equity Act for the 21st Century ("TEA-21") Public Law 105-178, enacted June 9, 1998, as amended by the TEA-21 Restoration Act, Pub. L. 105-206, July 22, 1998.
 - bb. **Codification of Federal Transit Laws.** The bulk of FTA's enabling legislation is codified at 49 U.S.C. Chapter 53. The following sections of 49 U.S.C. Chapter 53 authorize projects within the National Research and Technology Program: Sections 5312, 5313(a), 5314, 5315, 5318, and 5309(a)(1)(D). Intelligent Transportation Systems (ITS) projects, administered through the National Research and Technology Program, are authorized by TEA-21, Sections 5201 *et seq.*, 23 U.S.C. Section 502 note.
3. **CATALOG OF FEDERAL DOMESTIC ASSISTANCE.** The Catalog of Federal Domestic Assistance (CFDA) is a government-wide compendium of Federal programs, projects, services, and other activities that provide assistance or benefits to the American public. It contains financial and non-financial assistance programs administered by Departments and establishments of the Federal government. Its purpose is to assist users in identifying programs that meet specific objectives of the potential applicant, and to obtain general information on Federal assistance programs. In addition, the CFDA facilitates coordination and communication between the Federal government and State and local governments. A CFDA number is required on Federal Form SF-424 when an applicant applies for FTA funds. For additional information visit: <http://www.cfda.gov>.

FUNDING SOURCES

The following table summarizes the funding source according to program area.

<i>Program Title</i>	<i>Statutory Citation - - 49 U.S.C.</i>	<i>CFDA</i>
Capital Investment Grants & Loans for the Introduction of New Technology	Section 5309(a)(1)(D)	20.500
Research, Development, Demonstration and Training Projects	Section 5312(a)	20.512
Innovative Techniques and Methods	Section 5312(c)(2)	20.512
Joint Partnership Program for Deployment of Innovation	Section 5312(d)	20.512
International Mass Transportation Program	Section 5312(e)	20.512
Transit Cooperative Research Program	5313(a)(2)	20.514
Transit Research and Technology Programs – National Planning and Research Program	Section 5314(a)	20.514
National Transit Institute	Section 5315(d)	N/A
Bus Testing Program	Section 5318	20.507
University Transportation Centers Program	Section 5505	20.701
Intelligent Transportation Systems (ITS)	Transportation Equity Act for the 21 st Century Section 3012	N/A

TABLE I-1

4. **CATEGORIES OF FUNDING/PROGRAMS.** The FTA Transit Research and Technology Program encompasses the following programs:

- a. The National Planning & Research Program (also known as the National Research and Technology Program).

Authorizing Legislation. 49 U.S.C Section 5314(a)

Appropriations. “Transit Planning and Research” Account of the Annual Department of Transportation Appropriations Act

Program Objective. This program includes several types of projects, including research, development, demonstration and training projects, 49 U.S.C. Section 5312, planning studies, 49 U.S.C. Section 5303(g); and human resource programs, 49 U.S.C. Section 5322. The objective of 49 U.S.C. Section 5314 is to provide technical assistance, demonstration programs, research, public and private education, mass transportation technology development, and special demonstration initiatives.

Description. The National Research and Technology Program addresses problems that are national in scope. It includes the development of innovative transit technologies such as bus rapid transit, vehicle and systems technology, advanced rail transit control and communication systems, advanced technology buses, *etc.* It also