

**FEDERAL TRANSIT PROGRAMS
FISCAL YEAR 2013
CITATIONS TO FEDERAL LAWS, REGULATIONS, AND DIRECTIVES**

1. Public Transportation Enabling Legislation.

- a. Federal Transit Laws codified at 49 U.S.C. chapter 53 (Sections 5301 *et seq.*).
- b. Title 23, United States Code (Highways).
- c. Moving Ahead for Progress in the 21st Century Act (MAP-21), Pub. L. 112-141, July 6, 2012, 23 U.S.C. § 101 note.
- d. Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU), Pub. L. 109-59, Aug. 10, 2005, as amended by the SAFETEA-LU Technical Corrections Act, 2008, Pub. L. 110-244, June 6, 2008, 23 U.S.C. § 101 note (SAFETEA-LU), (*predecessor to MAP-21*).
- e. Transportation Equity Act for the 21st Century, Pub. L. 105-178, June 9, 1998, 23 U.S.C. § 101 note, as amended by the TEA-21 Restoration Act, Pub. L. 105-206, July 22, 1998, 23 U.S.C. § 101, (*predecessor to SAFETEA-LU*).
- f. National Capital Transportation Act of 1969, as amended, D.C. Official Code § 9-1111.01 *et seq.*
- g. American Recovery and Reinvestment Act of 2009, Pub. L. 111-5, February 17, 2009 (“Recovery Act”) (*expired*).

2. Federal Transit Administration (FTA) Programs.

a. Metropolitan Planning Program.

- (1) Federal Transit Law, 49 U.S.C. § 5305(d), as amended by MAP-21.
- (2) The most recent edition of FTA Circular 8100.1, “Program Guidance for Metropolitan Planning and State Planning and Research Program Grants,” to the extent it is consistent with current Federal laws, regulations, and guidance.

b. State Planning and Research.

- (1) Federal Transit Law, 49 U.S.C. § 5305(e), as amended by MAP-21.
- (2) The applicable edition of FTA Circular 8100.1, “Program Guidance for Metropolitan Planning and State Planning and Research Program Grants,” to the extent it is consistent with current Federal laws, regulations, and guidance.

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- c. Pilot Program for Transit-Oriented Development Planning.
 - (1) Section 20005(b) of MAP-21, 49 U.S.C. § 5303 note.

- d. Alternatives Analysis Program.
 - (1) Repealed by MAP-21.
 - (2) 49 U.S.C. § 5339, in effect in FY 2012 or a previous fiscal year.

- e. Urbanized Area Formula Program.
 - (1) Federal Transit Law, 49 U.S.C. § 5307, as amended by MAP-21.
 - (a) Public Transportation Security Projects – 49 U.S.C. § 5307(c)(1)(J).
 - (b) Associated Transit Improvements – 49 U.S.C. § 5302(1) and 49 U.S.C. § 5307(c)(1)(K).
 - (c) Designated Recipient
 - 1 Federal Transit Law, 49 U.S.C. § 5302(4), as amended by MAP-21.
 - 2 Federal Transit Law, former 49 U.S.C. § 5307(a)(2) in effect in FY 2012 or a previous fiscal year.
 - (2) Federal Transit Law, 49 U.S.C. § 5307 in effect in FY 2012 or a previous fiscal year.
 - (a) Public Transportation Security Projects – 49 U.S.C. § 5307(d)(1)(J) and 49 U.S.C. § 5307(d)(1)(k).
 - (b) Transit Enhancements – 49 U.S.C. § 5302(a) and 49 U.S.C. § 5307(d)(1)(K).
 - (3) The applicable edition of FTA Circular 9030.1, “Urbanized Area Formula Program: Grant Application Instructions,” to the extent it is consistent with current Federal laws, regulations, and guidance.

- f. Job Access and Reverse Commute Grant Program.
 - (1) Former 49 U.S.C. § 5316 in effect in FY 2012 or a previous fiscal year.
 - (a) 49 U.S.C. § 5307, as amended by MAP-21.
 - (b) The most recent edition of FTA Circular, 9050.1, “The Job Access and Reverse

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Commute (JARC) Program Guidance and Application Instructions,” to the extent it is consistent with current Federal laws, regulations, and guidance.

- g. Fixed Guideway Capital Investment Grants Program.
 - (1) Federal Transit Law, 49 U.S.C. § 5309, as amended by MAP-21.
 - (a) New Starts Projects.
 - (b) Small Starts Projects.
 - (c) Core Capacity Projects.
- h. Capital Investment Program (before MAP-21).
 - (1) 49 U.S.C. § 5309.
 - (2) The applicable edition of FTA Circular 9300.1, “Capital Investment Program Guidance and Application Instructions,” November 1, 2008, to the extent it is consistent with current Federal laws, regulations, and guidance.
 - (3) The applicable edition of FTA Circular 5200.1, “Full Funding Grant Agreement Guidance,” December 5, 2002, to the extent it is consistent with current Federal laws, regulations, and guidance.
- i. State of Good Repair Program.
 - (1) Federal Transit Law, 49 U.S.C. § 5337, as amended by MAP-21.
- j. Fixed Guideway Modernization Program.
 - (1) Federal Transit Law, former 49 U.S.C. § 5309 in effect in FY 2012 or a previous fiscal year.
- k. Bus and Bus Facilities Formula Grants Program.
 - (1) Federal Transit Law, 49 U.S.C. § 5339, as amended by MAP-21.
- l. Bus and Bus Facility Grant Program.
 - (1) Federal Transit Law, former 49 U.S.C. § 5309 in effect in FY 2012 or a previous fiscal year.
- m. Seniors and Individuals with Disabilities Formula Program.

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- (1) 49 U.S.C. § 5310, as amended by MAP-21.
 - (2) The most recent FTA Circular 9070.1, “Elderly Individuals and Individuals with Disabilities Program Guidance and Application Instructions,” to the extent it is consistent with current Federal laws, regulations, and guidance.
- n. Elderly Individuals and Individuals with Disabilities Formula Program.
- (a) Former 49 U.S.C. § 5310, in effect in FY 2012 or a previous fiscal year.
 - (b) The applicable edition of FTA Circular 9070.1, “Elderly Individuals and Individuals with Disabilities Program Guidance and Application Instructions,” to the extent it is consistent with current Federal laws, regulations, and guidance.
- o. Elderly Individuals and Individuals with Disabilities Pilot Program.
- (1) Former Section 3012(b) of SAFETEA-LU, 49 U.S.C. § 5310 note in effect in FY 2012 or a previous fiscal year, to the extent it is consistent with current Federal laws and regulations.
 - (2) The applicable edition of FTA Circular 9070.1 “Elderly Individuals and Individuals With Disabilities Program Guidance and Application Instructions,” to the extent it is consistent with current Federal laws, regulations, and guidance.
- p. New Freedom Program.
- (a) Former 49 U.S.C. § 5317 in effect in FY 2012 or a previous fiscal year.
 - (b) The most recent edition of FTA Circular, 9045.1, “New Freedom Program Guidance and Application Instructions,” to the extent it is consistent with current Federal laws, regulations, and guidance.
- q. Rural Areas Formula Program.
- (1) 49 U.S.C. § 5311, as amended by MAP-21.
 - (2) 49 U.S.C. § 5310(h).
 - (3) 49 U.S.C. § 5334(h).
 - (4) The most recent FTA Circular 9040.1, “Nonurbanized Area Formula Program Guidance and Grant Application Instructions,” to the extent it is consistent with current Federal laws, regulations, and guidance.

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- r. Nonurbanized Areas (Other Than Urbanized Areas) Formula Program.
 - (1) Former 49 U.S.C. § 5311 in effect in FY 2012 or a previous fiscal year.
 - (2) 49 U.S.C. § 5310(h).
 - (3) 49 U.S.C. § 5334(h).
 - (4) The applicable edition of FTA Circular 9040.1, “Nonurbanized Area Formula Program Guidance and Grant Application Instructions,” to the extent it is consistent with current Federal laws, regulations, and guidance.

- s. Rural Transportation Assistance Program.
 - (1) 49 U.S.C. § 5311(b)(3).

- t. Public Transportation on Indian Reservations Program.
 - (1) 49 U.S.C. § 5311(c)(1), as amended by MAP-21.

- u. “Tribal Transit” Program.
 - (1) Former 49 U.S.C. § 5311(c)(1) in effect in FY 2012 or a previous fiscal year.

- v. Appalachian Development Public Transportation Assistance Program.
 - (1) 49 U.S.C. § 5311(c)(2).

- w. Over-the-Road Bus Accessibility Program.
 - (1) Section 3038 of TEA-21, as amended by section 3039 of SAFETEA-LU, 49 U.S.C. § 5310 note.
 - (2) U.S. DOT regulations, “Transportation Services for Individuals with Disabilities (ADA),” 49 C.F.R. part 37, subpart H, “Over the Road Buses.”
 - (3) Joint U.S. Architectural and Transportation Barriers Compliance Board/U.S. DOT regulations, “Americans With Disabilities (ADA) Accessibility Specifications for Transportation Vehicles,” 36 C.F.R. part 1192 and 49 C.F.R. part 38.
 - (4) The most recent FTA Notice, “Over-the-Road Bus Accessibility Program Grants,” (Federal Register Notice).

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- (5) U.S. DOL “Guidelines, Section 5333(b), Federal Transit Law,” 29 C.F.R. part 215.
- x. Paul S. Sarbanes Transit in Parks Program.
- (1) Former 49 U.S.C. § 5320 in effect in FY 2012 or a previous fiscal year.
- (a) The most recent FTA Notice pertaining to the Alternative Transportation in Parks and Public Lands Program.
- y. Research, Development, Demonstration, and Deployment Program
- (1) 49 U.S.C § 5312(a), as amended by MAP-21.
- (2) The most recent edition of FTA Circular 6100.1, “Research, Technical Assistance, and Training Programs Application and Program Management Guidelines,” to the extent it is consistent with current Federal laws, regulations, and guidance.
- z. National Research Program.
- (1) Former 49 U.S.C § 5312(a), in effect in FY 2012 or a previous fiscal year.
- (2) The applicable edition of FTA Circular 6100.1, “Research, Technical Assistance, and Training Programs Application and Program Management Guidelines,” to the extent it is consistent with current Federal laws, regulations, and guidance.
- aa. Research Program in the Research, Development, Demonstration, and Deployment Program under MAP-21.
- (1) 49 U.S.C. § 5312(b) authorized by MAP-21,
- bb. Research Provisions of the Research, Development, Demonstration, and Deployment Program in Effect in Fiscal Year 2012 or a Previous Fiscal Year.
- (1) Former 49 U.S.C § 5312(a), in effect in FY 2012 or a previous fiscal year.
- cc. Innovation and Development Program within the Research, Development, Demonstration, and Deployment Program.
- (1) 49 U.S.C. § 5312(c), as amended by MAP-21
- dd. Innovation and Development Provisions of the Research, Development, Demonstration, and Deployment Program in Effect in Fiscal Year 2012 or a Previous Fiscal Year.

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- (1) Former 49 U.S.C § 5312(a), in effect in FY 2012 or a previous fiscal year.
- ee. Demonstration, Deployment and Education Program, within the Research, Development, Demonstration, and Deployment Program.
 - (1) 49 U.S.C. § 5312(d)(1), as amended by MAP-21.
- ff. Joint Partnership Program for Deployment of Innovation.
 - (1) Former 49 U.S.C § 5312(b) in effect in FY 2012 or a previous fiscal year.
- gg. Low or No Emission Vehicle Deployment Program.
 - (1) 49 U.S.C. § 5312(d)(5), as amended by MAP-21,
- hh. Clean Fuels Grant Program.
 - (1) 49 U.S.C. § 5308 (repealed by MAP-21).
 - (2) 49 U.S.C. § 5307 requirements apply.
 - (3) FTA regulations, “Clean Fuels Grant Program,” 49 C.F.R. part 624.
- ii. International Transportation Program.
 - (1) Former 49 U.S.C. § 5312(c) in effect in FY 2012 or a previous fiscal year..
- jj. National Fuel Cell Bus Technology Development Program.
 - (1) Former Section 3045 of SAFETEA-LU, 49 U.S.C. § 5308 note.
- kk. Allocations for the National Research and Technology Program.
 - (1) Former Section 3046 of SAFETEA-LU, 49 U.S.C. § 5338 note.
- ll. Transit Cooperative Research Program.
 - (1) 49 U.S.C. § 5313, as amended by MAP-21
- mm. Technical Assistance and Standards Development Program.

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(1) 49 U.S.C. § 5314(a), as amended by MAP-21.

nn. Technical Assistance Program [To Support Public Transportation Availability for Seniors and Individuals with Disabilities],

(1) 49 U.S.C. § 5314(b), as amended by MAP-21,

oo. Program to Facilitate Compliance with the Americans with Disabilities Act of 1990 [Project ACTION]

(1) Former 49 U.S.C. § 5314(a)(2), in effect in FY 2012 or a previous fiscal year

pp. National Technical Assistance Center for Senior Transportation.

(1) Former 49 U.S.C. § 5314(c), effectively repealed by MAP-21.

qq. Human Resources – General.

(1) 49 U.S.C. § 5322(a).

rr. Innovative Public Transportation Workforce Development Program.

(1) 49 U.S.C. § 5322(b), as amended by MAP-21.

ss. National Transit Institute Program.

Former 49 U.S.C. § 5315 in effect in FY 2012 or a previous fiscal year.

tt. Human Resources Fellowships.

(1) 49 U.S.C. § 5322(b), repealed.

uu. Public Transportation Emergency Relief Program.

(1) 49 U.S.C. § 5324, as amended by MAP-21.

vv. State Safety Oversight Program.

(1) 49 U.S.C. § 5329(b),

ww. Recovery Act Program

(1) The American Recovery and Reinvestment Act of 2009, Pub. L. 111-5, February 17,

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2009 (“Recovery Act”).

- (2) U.S. Office of Management and Budget, “Requirements for Implementing Sections 1512, 1605, and 1606 of the American Recovery and Reinvestment Act of 2009 for Financial Assistance Awards,” 2 C.F.R. part 176.

3. Federal Highway Administration (FHWA)/Federal Transit Administration (FTA) Programs.

a. Surface Transportation Program.

- (1) 23 U.S.C. § 133.

b. Public Transportation Program.

- (1) 23 U.S.C. § 142.

c. Congestion Mitigation and Air Quality Program.

- (1) 23 U.S.C. § 149.

d. Federal Lands Highway Program.

- (1) 23 U.S.C. § 204.

e. Surface Transportation Research.

- (1) 23 U.S.C. § 502.

f. Surface Transportation Deployment.

- (1) 23 U.S.C. § 133.

g. Transportation Infrastructure Finance and Innovation (TIFIA) Program

- (1) Transportation Infrastructure Finance and Innovation Act of 1998, as amended, 23 U.S.C. §§ 601 – 608, as amended by MAP-21 (also before MAP-21)
- (2) 49 U.S.C. §§ 5323(o), 5307, and 5309.
- (3) Section 350 of the National Highway System Designation Act of 1995, as amended,
- (4) Joint U.S. DOT/FTA regulations, “Credit Assistance for Surface Transportation Projects,” 49 C.F.R. parts 80 and 640.

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h. State Infrastructure Bank Program.

- (1) 23 U.S.C. § 610, as amended by MAP-21 (also before MAP-21).
- (2) Section 1511 of TEA-21, 23 U.S.C. § 181 note.
- (3) Section 350 of the National Highway System Designation Act of 1995, as amended, 23 U.S.C. § 101 note.

i. National Intelligent Transportation Systems Research and Development.

- (1) 23 U.S.C. § 517(d), as amended by MAP-21,
- (2) FTA Notice, “FTA National ITS Architecture Policy on Transit Projects,” 66 Fed. Reg. 1455, January 8, 2001.

4. Federal Railroad Administration (FRA)/Federal Transit Administration Programs.

a. Passenger Rail Investment and Improvement Act of 2008, Pub. L. 110-432, October 16, 2008 (PRIIA).

- (1) PRIIA – Buy America - 49 U.S.C. § 24405(a) added by section 301(a) of PRIIA.
- (2) PRIIA – Procurement of Rolling Stock - 49 U.S.C. § 24405(a) added by section 301(a) of PRIIA.
- (3) Railway Labor Act, 45 U.S.C. § 21104, as it affects Davis-Bacon wage requirements of 40 U.S.C. §§3141-3144, 3146, and 3147.
- (4) Next Generation Corridor Equipment Pool Committee – section 305 of PRIIA.

b. AMTRAK, 49 U.S.C. chapter 243.

5. MAP-21 Cross-Cutting Requirements.

“Notice of FTA Transit Program Changes, Authorized Funding Levels and Implementation of the Moving Ahead for Progress in the 21st Century Act (MAP-21) and FTA Fiscal Year 2013 Apportionments, Allocations, Program Information and Interim Guidance,” 77 Fed. Reg. 63670, October 16, 2012.

6. Types of Award.

a. Grant Agreement

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- (1) 31 U.S.C. § 6304.
- b. Cooperative Agreement
 - (1) 31 U.S.C. § 6305.
- c. Procurement Contract
 - (1) 31 U.S.C. § 6303.
- d. Line of Credit
 - (1) 23 U.S.C. § 601(a)(5).
- e. Loan Guarantee
 - (1) 23 U.S.C. § 601(a)(6).
- f. Secured Loan
 - (1) 23 U.S.C. § 601(a)(11).
- 7. Definitions in 49 U.S.C. Chapter 53.
 - a. 49 U.S.C. § 5302.
- 8. Eligibility for Award.
 - a. Various provisions of FTA and FHWA enabling legislation.
- 9. U.S. DOT Administrative Requirements.
 - a. U.S. DOT regulations, “Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments,” 49 C.F.R. part 18, apply to a Recipient that is:
 - b. 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, apply to a Recipient that is:
- 10.. Suspension and Debarment.
 - a. U.S. DOT regulations, “Nonprocurement Suspension and Debarment,” 2 C.F.R. part 1200.

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- b. U.S. Office of Management and Budget (U.S. OMB), “Guidelines to Agencies on Governmentwide Debarment and Suspension (Nonprocurement),” 2 C.F.R. part 180.
- c. Executive Orders Nos. 12549 and 12689, “Debarment and Suspension,” 31 U.S.C. § 6101 note.
- d. “Excluded Parties Listing System” at <http://epls.gov> to be changed to <http://sam.gov>

11. Lobbying.

- a. Restricting use of Federal Funds for Lobbying Congress.
 - (1) Byrd Amendment 31 U.S.C. § 1352, as amended.
 - (2) Subsequent miscellaneous Federal appropriations provisions.
- b. Lobbying Certification and Disclosure.
 - (1) Byrd Amendment 31 U.S.C. § 1352, as amended.
 - (2) U.S. DOT regulations, “New Restrictions on Lobbying,” 49 C.F.R. part 20, modified as necessary by amendments to 31 U.S.C. § 1352.

13. Trafficking in Persons

- a. Section 106(g) of the Trafficking Victims Protection Act of 2000, as amended, 22 U.S.C. § 7104(g).
- b. U.S. OMB Guidance, “Trafficking in Persons: Grants and Cooperative Agreements,” 2 C.F.R. part 175.

14. Planning.

- a. 49 U.S.C. §§ 5303 and 5304, as amended by MAP-21.
- b. Joint FHWA/FTA regulations, “Planning Assistance and Standards,” 23 C.F.R. part 450 and 49 C.F.R. part 613.
- c. FTA regulations, “Major Capital Investment Projects,” 49 C.F.R. part 611, to the extent that those regulations are consistent with Federal laws.
- d. The most recent FTA “Guidance on New Starts/Small Starts Policies and Procedures” to the extent it is consistent with the MAP-21 requirements,

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15. Management and Monitoring.

- a. Joint FHWA/FTA regulations, “Management and Monitoring Systems,” 23 C.F.R. part 500.
- b. Joint FHWA/FTA regulations, “Management and Monitoring Systems” 49 C.F.R. part 614.

16. General Management Requirements.

- a. U.S. DOT regulations, “Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments,” 49 C.F.R. part 18. *(Also applicable to Indian tribal governments).*
- b. 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. *(Also applicable to for-profit organizations unless FTA specifies otherwise).*
- c. The most recent edition of FTA Circular 5010.1, “Grant Management Requirements,” to the extent it is consistent with current Federal law, regulations, and guidance.

17. Procurement.

a. General.

- (1) U.S. DOT regulations, “Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments.”
 - (a) 49 C.F.R. § 18.36, to the extent those regulations are consistent with MAP-21.
 - (b) State procurement procedures apply – 49 C.F.R. § 18.36(a).
- (2) U.S. DOT regulations, “Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations.”
 - (a) 49 C.F.R. §§ 19.40 – 19.48, to the extent those regulations are consistent with MAP-21.
- (3) The most recent and applicable edition of FTA Circular 4220.1, “Third Party Contracting Guidance,” to the extent it is consistent with current Federal laws, regulations, and guidance.

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- (4) FTA “Best Practices Procurement Manual,” to the extent it is consistent with current Federal laws, regulations, and guidance.

- b. Special Public Transportation Assistance Procurement Requirements Within 49 U.S.C. chapter 53, and Title 23, United States Code.
 - (1) Full and Open Competition – 49 U.S.C. § 5325(a).
 - (2) Special Procurement Procedures for Architectural and Engineering Services – 49 U.S.C. § 5325(b).
 - (a) Use “Brooks Act” procurement procedures – 40 U.S.C. chapter 11
 - (b) Use the Cost Principles of the Federal Acquisition Regulation 48 – C.F.R. part 31
 - (c) Maintain Confidentiality of Cost Data – 49 U.S.C. § 5325(b)(2)(D).
 - (3) Award to Other than the Lowest Bidder – 49 U.S.C. § 5325(c).
 - (4) Design-Build Authority – 49 U.S.C. § 5325(d).
 - (5) Five-year Limit on Options to Purchase Buses – 49 U.S.C. § 5325(e)(1)(A) , as amended by MAP-21.
 - (5) Seven-year Limit on Options to Purchase Railcars – 49 U.S.C. § 5325(e)(1)(B) , as amended by MAP-21.
 - (6) Cooperative Purchases – 19 U.S.C. § 5325(e)(2).
 - (7) Method of Acquiring Rolling Stock – 49 U.S.C. § 5325(f).
 - (8) Access to Third Party Contract Records – 49 U.S.C. § 5325(g).
 - (9) 49 U.S.C. § 5325(h) – Exclusionary or Discriminatory Specifications.
 - (10) 49 U.S.C. § 5325(i) – In-State Bus Dealer Restrictions.
 - (11) 49 U.S.C. § 5325(j) – Award to Responsible Contractors.
 - (a) 49 U.S.C. § 5309(1)(2) – Contractor Performance Assessment Reports.
 - (12) Pre-Award and Post-Delivery Reviews – 49 U.S.C. § 5323(m), as amended by MAP-21.

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- (a) FTA regulations, “Pre-Award and Post-Delivery Audits of Rolling Stock Purchases,” 49 C.F.R. part 663, to the extent consistent with 49 U.S.C. § 5323(m)
- (13) Bus Testing – 49 U.S.C. § 5318(e).
- (a) FTA regulations, “Bus Testing,” 49 C.F.R. part 665.
- (14) Intelligent Transportation System Architecture and Standards – 23 U.S.C. § 5317.
- (a) FTA Notice, “FTA National ITS Architecture Policy on Transit Projects” 66 *Fed. Reg.* 1455 *et seq.*, January 8, 2001.
- (15) Veterans Employment . – 49 U.S.C. § 5325(k).
- c. Other Cross-Cutting Procurement Laws, Regulations, and Policies.
- (1) Section 306 of the Clean Air Act, as amended, 42 U.S.C. § 7606, and other applicable provisions of the Clean Air Act, as amended, 42 U.S.C. §§ 7401 through 7671q.
 - (2) Section 508 of the Clean Water Act, as amended, 33 U.S.C. § 1368, and other applicable provisions of the Clean Water Act, as amended, 33 U.S.C. §§ 1251 through 1377.
 - (3) Section 508 of the Rehabilitation Act of 1973, as amended, 29 U.S.C. § 794d.
 - (a) U.S. ATBCB regulations “Electronic Information Technology Accessibility Standards,” 40 C.F.R. part 1194.
 - (4) Executive Order No. 13502, “Use of Project Labor Agreements [PLA] for Federal Construction Projects,” February 6, 2009, 41 U.S.C. § 41 U.S.C. Subtitle I, Div.C, Ch. 39, Refs. & Annos – Permitting recipients to use Project Labor Agreements
 - (5) [Repealed] Executive Order No. 13202, “Preservation of Open Competition and Government Neutrality Towards Government Contractors’ Labor Relations on Federal and Federally Funded Construction Projects,” February 17, 2001, amended by Executive Order No. 13208, April 6, 2001, 41 U.S.C. § 251 note.
- d. Acquisition by Lease.
- (1) FTA regulations, “Capital Leases,” 49 C.F.R. part 639.

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18. Domestic Preferences.

a. Buy America.

- (1) 49 U.S.C. § 5323(j), as amended by MAP-21.
- (2) FTA regulations, “Buy America Requirements,” 49 C.F.R. part 661, to the extent consistent with MAP-21

b. Cargo Preference.

- (1) 46 U.S.C. § 55305.
- (2) U.S. Maritime Administration regulations, “Cargo Preference-U.S.-Flag Vessels.” 46 C.F.R part 381.

c. Fly America. Air transportation requirements of:

- (1) Section 5 of the International Air Transportation Fair Competitive Practices Act of 1974, as amended, 49 U.S.C. § 40118, and
- (2) U.S. GSA regulations, “Use of United States Flag Air Carriers,” 41 C.F.R. §§ 301-10.131 – 301-10.143.

19. Special Notification Requirement for States.

- a. Sections vary with place in U.S. DOT Appropriations Acts.

20. Relocation and Real Property Acquisition Protections.

- a. 49 U.S.C. § 5323(b), as amended by MAP-21, which requires compliance with 42 U.S.C. § 4601 *et seq.*
- b. Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, as amended, 42 U.S.C. § 4601 *et seq.*
- c. U.S. DOT regulations, “Uniform Relocation and Real Property Acquisition for Federal and Federally Assisted Programs,” 49 C.F.R. part 24.

21. Early System Work Agreement (ESWA).

- a. 49 U.S.C. § 5309(k)(3).

22. Property Ownership and Management

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a. General.

(1) State Governments.

- (a) U.S. DOT regulations, “Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments,” 49 C.F.R. §§ 18.31 – 8.34, to the extent those regulations are consistent with MAP-21.
- (b) The most recent edition of FTA Circular 5010.1, “Grant Management Requirements,” November 1, 2008, to the extent it is consistent with current Federal laws, regulations, and guidance.

(2) Local Government, or Indian Tribal Government.

- (a) Comply with the property management standards of 49 C.F.R. §§ 18.31 – 18.34,
- (b) The most recent edition of FTA Circular 5010.1, “Grant Management Requirements,” November 1, 2008, to the extent it is consistent with current Federal laws, regulations, and guidance.

(3) Institution of Higher Education or Private Nonprofit Entity.

- (a) 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. §§ 19.30 through 19.37, to the extent those regulations are consistent with MAP-21.
- (b) The most recent edition of FTA Circular 5010.1, “Grant Management Requirements,” November 1, 2008, to the extent it is consistent with current Federal laws, regulations, and guidance.

b. Satisfactory Continuing Control of Property.

- (1) 49 U.S.C. § 5307(d)(1)(B).
- (2) 49 U.S.C. § 5309(c)(1)(B)(ii).

c. Transit Asset Management.

- (1) 49 U.S.C. § 5326, as amended by MAP-21.
- (2) 49 U.S.C. § 5337(a)(4), as amended by MAP-21.

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- (3) The National Transit Asset Management System required to be issued by 49 U.S.C. § 5326(d), as amended by MAP-21.
 - (4) Performance Measures and Targets required to be issued by 49 U.S.C. § 5326(c)(1), as amended by MAP-21.
- d. Major Federal Projects.
- (1) 49 U.S.C. § 5309, as amended by MAP-21,
 - (2) The most recent edition of FTA Circular 5800.1, “Safety and Security Management Guidance for Major Capital Projects” to the extent it is consistent with current Federal laws, regulations, and guidance.
- e. Insurance.
- (1) Section 102(a) of the Flood Disaster Protection Act of 1973, 42 U.S.C. § 4012a(a) – Requirements to have flood insurance.
- f. Transfer of Assets.
- (1) 49 U.S.C. § 5334(h)(1) through (3) – Transfer of Property to another Public Body.
 - (2) 49 U.S.C. § 5334(h)(4) – Disposition and Transfer of Property.
 - (3) U.S. DOT regulations, “Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments,” 49 C.F.R. §§ 18.31 – 18.34, to the extent those regulations are consistent with MAP-21, 49 C.F.R. §§ 18.31(c)(3) and 18.32(g).
 - (4) 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. §§ 19.30 through 19.37, to the extent those regulations are consistent with MAP-21, 49 C.F.R. §§ 19.32(c)(3) and 19.34(g)(4).
- g. Sale.
- (1) 49 U.S.C. § 5334(h)(4) – use of sale proceeds .
 - (2) U.S. DOT regulations, “Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments,” 49 C.F.R. part 18:
 - (a) Real Property – 49 C.F.R. § 18.31(c)(2).
 - (b) Equipment – 49 C.F.R. § 18.32(d)(5).
 - (c) States may use their own procedures – 49 C.F.R. § 18.32(b) .

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- (3) 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:
 - (a) Real Property – 49 C.F.R. § 19.32(c)(2).
 - (b) Equipment – 49 C.F.R. § 19.34(f)(6).

(Also applicable to for-profit organizations unless FTA specifies otherwise).

h. Export Restrictions.

- (1) U.S. Department of Commerce, Bureau of Industry and Security, “Export Administration Regulations,” 15 C.F.R. parts 730 *et seq.*
- (2) U.S. State Department Regulations.
- (3) U.S. Treasury Department Regulations.
- (4) U.S. Defense Department Regulations.

23. Intellectual Property.

a.. Patent Rights.

- (1) 35 U.S.C. §§ 200 *et seq.* – for all FTA recipients.
 - (a) U.S. Department of Commerce regulations, “Rights to Inventions Made by Nonprofit Organizations and Small Business Firms Under Government Grants, Contracts and Cooperative Agreements,” 37 C.F.R. part 401.
 - (b) U.S. DOT regulations, “Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments,” at 49 C.F.R. part 18, 49 CFR 18.36(i)(8)
 - (c) 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, 49 C.F.R. § 19.36(b).

b. Rights in Data.

- (1) U.S. DOT regulations, “Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments,” 49 C.F.R. part 18, 49 C.F.R. § 18.34.
- (2) U.S. DOT regulations, “Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit

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Organizations,” 49 C.F.R. part 19, 49 C.F.R. § 19.36(e).
(Also applicable to for-profit organizations unless FTA specifies otherwise).

c. Requirements to Release Data.

- (1) U.S. DOT regulations, “Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations,” at 49 C.F.R. § 19.36(d).

24. Metric Usage.

- a. Metric Conversion Act, as amended by the Omnibus Trade and Competitiveness Act, 15 U.S.C. § 205a *et seq.*
- b. Executive Order No. 12770, “Metric Usage in Federal Government Programs,” 15 U.S.C. § 205a note.

25. Private Enterprise Protections.

a. Planning.

- (1) 49 U.S.C. §§ 5306 and 5323(k), as amended by MAP-21.
 - (a) Joint FHWA/FTA regulations, “Planning Assistance and Standards,” 23 C.F.R. part 450 and 49 C.F.R. part 613.
- (2) 49 U.S.C. § 5323(a)(1)(C), as amended by MAP-21

b. Property and Operations.

- (1) 49 U.S.C. § 5323(a)(1).

c. Charter Service.

- (1) 49 U.S.C. §§ 5323(d) and 5323(g), as amended by MAP-21.
- (2) 23 U.S.C. § 133, or
- (3) 23 U.S.C. § 142,
 - (a) FTA regulations, “Charter Service,” 49 C.F.R. part 604.

d. School Transportation Operations.

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(1) 49 U.S.C. §§ 5323(f) and 5323(g), as amended by MAP-21.

(2) 23 U.S.C. § 133, or

(3) 23 U.S.C. § 142,

(a) FTA regulations, “School Bus Operations,” 49 C.F.R. part 605.

e. Reasonable Access to Private Intercity Transportation Operators or Charter Transportation Operators.

(1) 49 U.S.C. § 5323(r), as amended by MAP-21.

f. Alternative Fueling Facilities.

(1) 49 U.S.C. § 5323(p).

g. Infrastructure Privatization.

(1) Executive Order No. 12803, “Infrastructure Privatization,” 31 U.S.C. § 501 note.

(2) Executive Order No. 12893, “Principles for Federal Infrastructure Investments,” 31 U.S.C. § 601 note.

26. Labor Protections.

a. Transit Employee Protections.

(1) 49 U.S.C. § 5333(b).

(2) U.S. Department of Labor (U.S. DOL) “Guidelines, Section 5333(b), Federal Transit Law,” 29 C.F.R. part 215.

(3) 49 U.S.C. § 5311(i), “Special Warranty for the Nonurbanized Area Formula Program.”

(4) 49 U.S.C. § 5310(b)(2) – as necessary or appropriate for a governmental authority subrecipient participating in the Elderly Individuals and Individuals with Disabilities Formula Program.

(5) Subsection 3012(b) of SAFETEA-LU, 49 U.S.C. § 5310 note – as necessary or appropriate for a governmental authority subrecipient participating in the Elderly Individuals and Individuals with Disabilities Pilot Program.

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b. Employees including Construction Employees.

- (1) Section 102 of the Contract Work Hour and Safety Standards Act, 40 U.S.C. §§ 3702.
- (2) Fair Labor Standards Act, as amended, 29 U.S.C. § 201 *et seq.*
- (3) U.S. DOL regulations, “Labor Standards Provisions Applicable to Contracts Covering Federally Financed and Assisted Construction (also Labor Standards Provisions Applicable to Nonconstruction Contracts Subject to the Contract Work Hours and Safety Standards Act),” 29 C.F.R. part 5, § 5.5(b).

c. Construction Employees.

- (1) 49 U.S.C. § 5333(a) invoking the Davis-Bacon Act.
- (2) Davis-Bacon Act, 40 U.S.C. § 3141 *et seq.*
 - (a) U.S. DOL regulations, “Labor Standards Provisions Applicable to Contracts Covering Federally Financed and Assisted Construction (also Labor Standards Provisions Applicable to Nonconstruction Contracts Subject to the Contract Work Hours and Safety Standards Act),” 29 C.F.R. part 5, § 5.5.(a).
- (3) Copeland “Anti-Kickback” Act, as amended, 18 U.S.C. § 874 and 40 U.S.C. § 3145.
 - (a) U.S. DOL regulations, “Contractors and Subcontractors on Public Building or Public Work Financed in Whole or in Part by Loans or Grants from the United States,” 29 C.F.R. part 3.
- (4) Section 107 of the Contract Work Hour and Safety Standards Act, 40 U.S.C. § 3704.
 - (a) U.S. DOL regulations, “Safety and Health Regulations for Construction,” 29 C.F.R. part 1926.

27. Civil Rights.

a. Nondiscrimination in Federal Public Transportation Programs.

- (1) 49 U.S.C. § 5332, as amended by MAP-21 – Prohibiting discrimination on the basis of race, color, religion [formerly, creed], national origin, sex, disability [new], and age and prohibiting discrimination in employment or business opportunity.

b. Nondiscrimination in Federally Assisted Programs.

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- (1) Title VI of the Civil Rights Act of 1964, as amended, 42 U.S.C. § 2000d *et seq.*
 - (a) U.S. DOT regulations, “Nondiscrimination in Federally-Assisted Programs of the Department of Transportation – Effectuation of Title VI of the Civil Rights Act,” 49 C.F.R. part 21.
 - (b) Most recent edition of FTA Circular 4702.1, “Title VI and Title VI-Dependent Guidelines for Federal Transit Administration Recipients,” to the extent it is consistent with current Federal laws, regulations, and guidance.
 - (c) The most recent edition of U.S. DOJ, “Guidelines for the enforcement of Title VI, Civil Rights Act of 1964,” 28 C.F.R. § 50.3, to the extent it is consistent with current Federal laws, regulations, and guidance.
- c. Equal Employment Opportunity in Federal Public Transportation Programs.
 - (1) 49 U.S.C. § 5332, as amended by MAP-21 – Prohibiting employment discrimination on the basis of race, color, creed, religion, [formerly, national origin], sex, or age, disability [new] and prohibiting discrimination in employment or business opportunity.
- d. Equal Employment Opportunity.
 - (1) Title VII of the Civil Rights Act of 1964, as amended, 42 U.S.C. § 2000e.
 - (a) U.S. DOL regulations, “Office of Federal Contract Compliance Programs, Equal Employment Opportunity, Department of Labor,” 41 C.F.R. parts 60 *et seq.*
 - (b) Executive Order No. 11246, “Equal Employment Opportunity,” as amended by Executive Order No. 11375, “Amending Executive Order No. 11246 Relating to Equal Employment Opportunity,” 42 U.S.C. § 2000(e) note.
- e. Disadvantaged Business Enterprise.
 - (1) Section 1101(b) of MAP-21, 23 U.S.C. § 101 note.
 - (a) U.S. DOT regulations, “Participation by Disadvantaged Business Enterprises in Department of Transportation Financial Assistance Programs,” 49 C.F.R. Part 26.
- f. Fair Housing.
 - (1) Title VIII of the Civil Rights Act of 1968, as amended, 42 U.S.C. § 3601 *et seq.*

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- (a) Executive Order No. 12892, “Leadership and Coordination of Fair Housing in Federal Programs: Affirmatively Furthering Fair Housing,” 42 U.S.C. § 3608 note.

g. Education.

- (1) Title IX of the Education Amendments of 1972, as further amended, 20 U.S.C. § 1681 *et seq.*
 - (a) U.S. DOT regulations, “Nondiscrimination on the Basis of Sex in Education Programs or Activities Receiving Federal Financial Assistance,” 49 C.F.R. Part 25.

h. Age Discrimination.

- (1) The Age Discrimination Act of 1975, as amended, 42 U.S.C. § 6101 *et seq.*
 - (a) U.S. Health and Human Services regulations, “Nondiscrimination on the Basis of Age in Programs or Activities Receiving Federal Financial Assistance,” 45 C.F.R. Part 90.
- (2) The Age Discrimination in Employment Act (ADEA) 29 U.S.C. §§ 621 through 634.
 - (a) U.S. Equal Employment Opportunity Commission (U.S. EEOC) regulations, “Age Discrimination in Employment Act,” 29 C.F.R. Part 1625.

i. Accessibility for Elderly Individuals and Individuals with Disabilities.

- (1) Section 504 of the Rehabilitation Act of 1973, as amended, 29 U.S.C. § 794 – Accessibility in federally assisted programs.
- (2) Americans with Disabilities Act of 1990, as amended, 42 U.S.C. § 12101 *et seq.* – General accessibility requirements.
- (3) Architectural Barriers Act of 1968, as amended, 42 U.S.C. § 4151 *et seq.* – Detailed accessibility requirements.
- (4) Section 508 of the Rehabilitation Act of 1973, as amended, 29 U.S.C. § 794d – Accessibility to electronic and information technology.
- (5) U.S. DOT regulations, “Transportation Services for Individuals with Disabilities (ADA),” 49 C.F.R. Part 37.

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- (6) 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.
 - (7) FTA regulations, “Transportation for Elderly and Handicapped Persons,” 49 C.F.R. Part 609.
 - (8) U.S. DOT regulations, “Transportation for Individuals with Disabilities: Passenger Vessels,” 49 C.F.R. Part 39.
 - (9) Joint U.S. Architectural and Transportation Barriers Compliance Board (ATBCB)/U.S. DOT regulations, “Americans With Disabilities (ADA) Accessibility Specifications for Transportation Vehicles,” 36 C.F.R. Part 1192 and 49 C.F.R. Part 38.
 - (10) U.S. DOJ regulations, “Nondiscrimination on the Basis of Disability in State and Local Government Services,” 28 C.F.R. Part 35.
 - (11) U. S. DOJ regulations, “Nondiscrimination on the Basis of Disability by Public Accommodations and in Commercial Facilities,” 28 C.F.R. Part 36.
 - (12) U.S. General Services Administration (U.S. GSA) regulations, “Accommodations for the Physically Handicapped,” 41 C.F.R. Subpart 101-19.
 - (13) U. S. Equal Employment Opportunity Commission, “Regulations to Implement the Equal Employment Provisions of the Americans with Disabilities Act,” 29 C.F.R. Part 1630.
 - (14) U. S. Federal Communications Commission regulations, “Telecommunications Relay Services and Related Customer Premises Equipment for the Hearing and Speech Disabled,” 47 C.F.R. Part 64, Subpart F.
 - (15) U.S. ATBCB regulations, “Electronic and Information Technology Accessibility Standards,” 36 C.F.R. Part 1194.
- j. Limited English Proficiency.
- (1) Executive Order No. 13166, “Improving Access to Services for Persons with Limited English Proficiency,” August 11, 2000, 42 U.S.C. § 2000d-1 note.
 - (2) U.S. DOT Notice “DOT Policy Guidance Concerning Recipients’ Responsibilities to Limited English Proficiency (LEP) Persons,” 70 *Fed. Reg.* 74087, December 14, 2005.

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k. Confidentiality – Alcohol Treatment.

- (1) Drug Abuse Office and Treatment Act of 1972, as amended, 21 U.S.C. § 1101 *et seq.*
- (2) Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970, as amended, 42 U.S.C. § 4541 *et seq.*
- (3) Public Health Service Act, as amended, 42 U.S.C. §§ 290dd through 290dd-2.

l. Environmental Justice.

- (1) Executive Order No. 12898, “Federal Actions to Address Environmental Justice in Minority Populations and Low-Income Populations,” 42 U.S.C. § 4321 note.
- (2) DOT Order 5610.2, “Department of Transportation Actions To Address Environmental Justice in Minority Populations and Low-Income Populations,” 62 *Fed. Reg.* 18377 *et seq.*, April 15, 1997.
- (3) The most recent edition of FTA Circular 4703.1, “Environmental Justice Policy Guidance for Federal Transit Administration Recipients,” August 15, 2012, to the extent it is consistent with current Federal laws, regulations, and guidance.

28. Environmental Protections

a. General.

- (1) National Environmental Policy Act of 1969, as amended, 42 U.S.C. §§ 4321 through 4335.
 - (a) 42 U.S.C. § 5159 – Exceptions for Stafford Act projects.
- (2) Executive Order No. 11514, as amended, “Protection and Enhancement of Environmental Quality,” 42 U.S.C. § 4321 note.
- (3) U.S. Council on Environmental Quality regulations on compliance with the National Environmental Policy Act of 1969, as amended, 40 C.F.R. Parts 1500 through 1508.
- (4) 49 U.S.C. § 5324(b) – FTA environmental protections.
- (5) 23 U.S.C. § 139 – Efficient environmental procedures.
- (6) 23 U.S.C. § 326 – Assignment to States of responsibility for categorical exclusions.

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- (7) Joint FHWA/FTA regulations, “Environmental Impact and Related Procedures,” 23 C.F.R. Part 771 and 49 C.F.R. Part 622.
 - (8) Joint FHWA/FTA final guidance, “SAFETEA-LU Environmental Review Process (Public Law 109-59),” 71 Fed. Reg. 66576 et seq., November 15, 2006.
- b. Special Statutory Requirements for FTA and FHWA.
- (1) 23 U.S.C. §§ 139 and 326 – Environmental Requirements for FHWA.
 - (2) Amendments to 23 U.S.C. § 138 – Environmental Requirements for FHWA.
 - (3) FHWA/FTA final guidance, “SAFETEA-LU Environmental Review Process (Public Law 109-59),” 71 Fed. Reg. 66576 et seq. November 15, 2006.
 - (4) Department of Transportation Act, 49 U.S.C. §§ 303(b) and 303(c) [“Section 4(f)”].
 - (5) Joint FHWA/FTA regulations, “Parks, Recreation Areas, Wildlife and Waterfowl Refuges, and Historic Sites,” 23 C.F.R. Part 774, and referenced in 49 C.F.R. Part 622.
- c. Air Quality.
- (1) Clean Air Act, as amended, 42 U.S.C. §§ 7401 through 7671q, in particular, Section 176(c) of the Clean Air Act 42 U.S.C. § 7506(c).
 - (2) Scattered sections of Title 29, United States Code.
 - (3) Section 306 of the Clean Air Act, as amended, 42 U.S.C. § 7606 – Notice of violating facilities.
 - (a) Executive Order No. 11738, “Administration of the Clean Air Act and the Federal Water Pollution Control Act with Respect to Federal Contracts, Grants, or Loans,” 42 U.S.C. § 7606 note.
 - (4) U.S. EPA regulations, “Determining Conformity of Federal Actions to State or Federal Implementation Plans,” 40 C.F.R. Part 93.
 - (5) U.S. EPA regulations, “Control of Air Pollution from Mobile Sources,” 40 C.F.R. Part 85.
 - (6) U.S. EPA regulations, “Control of Air Pollution from New and In-Use Motor Vehicles and New and In-Use Motor Vehicle Engines,” 40 C.F.R. Part 86.

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(7) U.S. EPA regulations, “Fuel Economy of Motor Vehicles,” 40 C.F.R. Part 600.

d. Water.

(1) Clean Water Act, as amended, 33 U.S.C. §§ 1251 through 1377.

(2) Section 508 of the Clean Water Act, as amended, 33 U.S.C. § 1368 – Notice of violating facilities.

(a) Executive Order No. 11738, “Administration of the Clean Air Act and the Federal Water Pollution Control Act with Respect to Federal Contracts, Grants, or Loans,” 42 U.S.C. § 7606 note.

(3) Safe Drinking Water Act of 1974, as amended, 42 U.S.C. §§ 300f through 300j-6.

e. Protection of Public Parks and Recreation Lands, Wildlife and Waterfowl Refuges.

(1) Department of Transportation, 49 U.S.C. §§ 303(b) and 303(c) [“Section 4(f)”].

(2) Wild and Scenic Rivers Act of 1968, as amended, 16 U.S.C. §§ 1271 through 1287.

(a) U.S. Forest Service regulations, “Wild and Scenic Rivers,” 36 C.F.R. Part 297.

(b) U.S. Bureau of Land Management regulations, “Management Areas,” 43 C.F.R. Part 8350.

(3) Coastal Zone Management Act of 1972, as amended, 16 U.S.C. §§ 1451 through 1465.

(4) Endangered Species Act of 1973, as amended, 16 U.S.C. §§ 1531 through 1544.

(5) Magnuson Stevens Fisheries Conservation Act, as amended, 16 U.S.C. § 1801 *et seq.*

(6) Executive Order No. 11990, as amended, “Protection of Wetlands,” at 42 U.S.C. § 4321 note.

(7) Executive Order No. 11988, as amended, “Floodplain Management,” 42 U.S.C. § 4321 note.

f. Corridor Preservation.

(1) 49 U.S.C. § 5323(q), as amended by MAP-21

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g. Protection of Historic Sites.

- (1) Department of Transportation, 49 U.S.C. §§ 303(b) and 303(c) [“Section 4(f)”].
- (2) Section 106 of the National Historic Preservation Act, as amended, 16 U.S.C. § 470f.
- (3) Archaeological and Historic Preservation Act of 1974, as amended, 16 U.S.C. §§ 469a through 469c.
 - (a) Executive Order No. 11593, “Protection and Enhancement of the Cultural Environment,” 16 U.S.C. § 470 note.
 - (b) U.S. Advisory Council on Historic Preservation regulations, “Protection of Historic and Cultural Properties,” 36 C.F.R. Part 800.

h. Conservation and Recycling.

- (1) Resource Conservation and Recovery Act, as amended, 42 U.S.C. §§ 6901 through 6992k.
- (2) U.S. Environmental Protection Agency (U.S. EPA), “Comprehensive Procurement Guideline for Products Containing Recovered Materials,” 40 C.F.R. part 247,

i. Hazardous Waste.

- (1) Comprehensive Environmental Response, Compensation, and Liability Act, as amended, 42 U.S.C. §§ 9601 through 9675.

29. Energy Conservation.

- a. Energy Policy and Conservation Act, as amended, 42 U.S.C. § 6321 *et seq.*
- b. FTA regulations, “Requirements for Energy Assessments,” 49 C.F.R. Part 622, Subpart C.

30. Geographic Information and Related Spatial Data.

- a. U.S. OMB Circular A-16, “Coordination of Geographic Information and Related Spatial Data Activities,” August 19, 2002.
- b. U.S. OMB Circular A-16 Supplemental Guidance, “Geospatial Line of Business,” November 10, 2010.

31. Security.

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- a. Section 101(e) of the Aviation and Transportation Security Act, 49 U.S.C. § 40119(b).
 - (1) U.S. DOT regulations, “Protection of Sensitive Security Information,” 49 C.F.R. Part 15.
- b. 49 U.S.C. § 114(r).
 - (1) U.S. Department of Homeland Security, Transportation Security Administration regulations, “Protection of Sensitive Security Information,” 49 C.F.R. Part 1520.
 - 49 U.S.C. § 5307(d)(1)(J)(i) – Public Transportation Security Projects.

32. Safety.

- a. Public Transportation Safety Program.
 - (1) 49 U.S.C. § 5329(a) – (d), as amended by MAP-21
- b. State Safety Oversight.
 - (1) 49 U.S.C. § 5329(b),
 - (2) State Safety Oversight, former 49 U.S.C. § 5330 in effect in FY 2012 or a previous fiscal year and until 3 years after new regulations become effective.
 - (3) FTA regulations, “Rail Fixed Guideway Systems; State Safety Oversight,” 49 C.F.R. Part 659.
 - (4) The most recent edition of FTA Circular 5800.1, “Safety and Security Management Guidance for Major Capital Projects,” August 1, 2007, to the extent it is consistent with current Federal laws, regulations, and guidance.
- c. Facilities and Operations.
 - (1) Motor Carrier.
 - (a) U.S. Federal Motor Carrier Safety Administration (FMCSA) regulations, “Minimum Levels of Financial Responsibility for Motor Carriers,” 49 U.S.C. Part 387, as modified by 49 U.S.C. § 31138(e)(4).
 - (b) U.S. FMCSA regulations, Subpart B, “Federal Motor Carrier Safety Regulations,” at 49 CFR Parts 390 through 396.

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- (c) U.S. FMCSA regulations, “Commercial Driver’s License Standards, Requirements, and Penalties,” 49 C.F.R. Part 383.
 - (d) U.S. FMCSA’s regulations, “Drug and Alcohol Use and Testing Requirements,” 49 C.F.R. Part 382.
- (2) Rail Safety.
- (a) 49 U.S.C. § 5329, as amended by MAP-21.
 - (b) Former 49 U.S.C. § 5330 in effect in FY 2012 or a previous fiscal year..
 - (c) FTA regulations, “Rail Fixed Guideway Systems; State Safety Oversight,” 49 C.F.R. Part 659.
- (3) Hazardous Material Shipments.
- (a) U.S. Pipeline and Hazardous Materials Safety Administration regulations, “Shippers - General Requirements for Shipments and Packagings,” 49 C.F.R. Part 173.
- (4) Lead Paint.
- (a) Section 401(b) of the Lead-Based Paint Poisoning Prevention Act, 42 U.S.C. § 4831(b).
 - (b) U.S. Housing and Urban Development regulations, “Lead-based Paint Poisoning in Certain Residential Structures,” 42 C.F.R. Part 35.
- (5) Earthquake.
- (a) Earthquake Hazards Reduction Act of 1977, as amended, 42 U.S.C. § 7701 *et seq.*
 - (b) U.S. DOT regulations, “Seismic Safety,” 49 C.F.R. Part 41, (specifically, 49 C.F.R. § 41.117).
 - (c) Executive Order No. 12699, “Seismic Safety of Federal and Federally-Assisted or Regulated New Building Construction,” 42 U.S.C. § 7704 note.
- (6) Seat Belt Use.
- (a) Executive Order No. 13043, “Increasing Seat Belt Use in the United States,” April 16, 1997, 23 U.S.C. § 402 note.

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(7) Distracted Driving.

- (a) Executive Order No. 13513, “Federal Leadership on Reducing Text Messaging While Driving,” October 1, 2009, 23 U.S.C. § 402 note.
- (b) DOT Order 3902.10, “Text Messaging While Driving,” December 30, 2009, 23 U.S.C. § 402 note.

d. Drug and Alcohol.

(1) Workplace.

- (a) Drug-Free Workplace Act of 1988, 41 U.S.C. § 8103.
- (b) U.S. DOT regulations, “Governmentwide Requirements for Drug-Free Workplace (Financial Assistance),” 49 C.F.R. Part 32.
- (c) U.S. OMB Guidance, “Governmentwide Requirements for Drug-Free Workplace (Financial Assistance),” 2 C.F.R. Part 182.

(2) Public Transportation Operations.

- (a) 49 U.S.C. § 5331, as amended by MAP-21.
- (b) FTA regulations, “Prevention of Alcohol Misuse and Prohibited Drug Use in Transit Operations,” 49 CFR Part 655.
- (c) U.S. FMCSA regulations, “Drug and Alcohol Use and Testing Requirements,” 49 C.F.R. Part 382.

e. Federal Motor Carrier Safety Requirements.

- (1) U.S. FMCSA regulations, “Federal Motor Carrier Safety Regulations,” 49 C.F.R. parts 390 – 396
- (2) FMCSA’s regulations, “Commercial Driver’s License Standards, Requirements, and Penalties,” 49 C.F.R. part 383, and

f. Research Project Protections.

(1) People.

- (a) National Research Act, 42 U.S.C. § 289 et seq.

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(b) U.S. DOT regulations, “Protection of Human Subjects,” 49 C.F.R. Part 11.

(2) Animals.

(a) Animal Welfare Act, as amended, 7 U.S.C. § 2131 *et seq.*

(b) U.S. Department of Agriculture regulations, “Animal Welfare,” 9 C.F.R. Subchapter A, Parts 1, 2, 3, and 4.

33 \$1 Coins.

a. Section 104 of the Presidential \$1 Coin Act of 2005, 31 U.S.C. § 5112(p).

34. Political Activity Restrictions.

a. Hatch Act.

(1) 5 U.S.C. §§ 1501 through 1508, 7324 through 7326 – Hatch Act prohibitions.

(a) U.S. Office of Personnel Management regulations, “Political Activity of State or Local Officers or Employees,” 5 C.F.R. Part 151.

b. Exceptions to the Hatch Act for Transit Employees.

(1) 49 U.S.C. 5323(1)(2), as amended by MAP-21

(2) Former 49 U.S.C. § 5307(k)(2)(B) in effect in FY 2012 or a previous fiscal year.

(3) 23 U.S.C. § 142(g) (unchanged by MAP-21)

35. Qualification for Half-Fare Privileges in Certain Programs.

a. “Senior” – 49 U.S.C. §§ 5302(18) and 5307(c)(1)(D)(i), as amended by MAP-21,

b. Former “Elderly Individual” – 49 U.S.C. § 5307(d)(1)(D) in effect in FY 2012 or a previous fiscal year.

c. Description of an “infirm/handicapped” person includes “permanent disability” – 49 U.S.C. § 5307(c)(1)(D)(ii), as amended by MAP-21

d. Disability has the same meaning as in section 3(1) of the Americans with Disabilities Act of 1990, 42 U.S.C. § 5302(5) and 42 U.S.C. § 12102 – 49 U.S.C. § 5307(c)(1)(D)(ii), as amended by MAP-21.

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- e. Handicapped person (but not defined) – former 49 U.S.C. § 5307(d)(1)(D) in effect in FY 2012 or a previous fiscal year.
- f. Title II of the Social Security Act, 42 U.S.C. § 401 *et seq.*
 - (1) 49 U.S.C. § 5307(d)(1)(iii), as amended by MAP-21/.
 - (2) Former 49 U.S.C. § 5307(d)(1)(D) in effect in FY 2012 or a previous fiscal year.
- g. Title XVIII of the Social Security Act, 42 U.S.C. §§ 1395 *et seq.*
 - (1) 49 U.S.C. § 5307(d)(1)(iii), as amended by MAP-21.
 - (2) Former 49 U.S.C. § 5307(d)(1)(D) in effect in FY 2012 or a previous fiscal year.

36. Cost Restrictions. **GO OVER THIS CAREFULLY!**

- a. Ordinary governmental or nonproject operating cost – 49 U.S.C. § 5323(h)(1).
- b. Costs of a procurement using exclusionary or discriminatory specifications – 49 U.S.C. § 5323(h)(2)
- c. U.S. DOT regulations, “Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments,” 49 C.F.R. § 18.22(b).
 - (1) Allowable Costs– 49 C.F.R. § 18.22(b)
- d. Profit or fee for the Recipient’s services provided in connection with the Underlying Agreement, or
- e. Bond interest restrictions. - Throughout 49 U.S.C. chapter 53, especially 49 U.S.C. §§ 5309 and 5307, as well as for projects that must comply with 49 U.S.C. § 5307.
 - (1) U.S. OMB, “Cost Principles for State, Local, and Indian Tribal Governments (U.S. OMB Circular A-87),” 2 C.F.R. part 225, which applies to Project costs incurred by a State, local government, or Indian tribal government,
- e. 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.:
 - (1) Allowable Costs– 49 C.F.R. § 19.27.

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- (2) U.S. OMB, “Cost Principles for Educational Institutions (U.S. OMB Circular A-21),” 2 C.F.R. part 220, which applies to Project costs incurred by an institution of higher education,
- (3) U.S. OMB, “Cost Principles for Nonprofit Organizations (U.S. OMB Circular A-122),” 2 C.F.R. part 230, which applies to Project costs incurred by a private nonprofit organization, and
- (4) The Federal Acquisition Regulation (FAR), 48 C.F.R. part 31, “Contract Cost Principles and Procedures,” which applies to Project costs incurred by a private for-profit organization, unless the for profit organization is listed in 2 C.F.R. part 230, Appendix C,
- (5) As permitted by 49 U.S.C. § 5334(h)(4) – Use of sales proceeds

37. Local Share Restrictions.

- a. Federal/local share requirements – Various provisions of FTA and FHWA enabling legislation.
- b. Definition of net project cost, as amended by MAP-21 – 49 U.S.C. § 5302(a)(12).
- c. Definition of net project cost – b 49 U.S.C. § 5302(a)(8) (before MAP-21)..
- c. Ordinary governmental or nonproject operating cost – 49 U.S.C. § 5323(h).
- e. Bond proceeds as local share, 49 U.S.C. § 5323(e), as amended by MAP-21
- f. Title II and Title XVIII of the Social Security Act, 42 U.S.C. § 401 et seq. and 42 U.S.C. § 1395 et. seq., respectively.
- g. U.S. DOT regulations, “Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments,” at 49 C.F.R. part 18.
 - (1) In-kind local share restrictions – 49 C.F.R. § 18.24.
- h. U.S. DOT regulations, “Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations,” at 49 C.F.R. part 19.
 - (1) In-kind local share restrictions – 49 C.F.R. § 19.27
- i. U.S. OMB Guidance for Grants and Agreements, “Cost Principles for State and Local Governments (U.S. OMB Circular A-87)” 2 C.F.R. Part 225.

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- j. U.S. OMB Guidance for Grants and Agreements, “Cost Principles for Educational Institutions (U.S. OMB Circular A-21)” 2 C.F.R. Part 220.
- k. U.S. OMB Guidance for Grants and Agreements, “Cost Principles for Nonprofit Organizations (U.S. OMB Circular A-122)” 2 C.F.R. Part 230.
- l. Federal Acquisition Regulation, 48 C.F.R. Chapter I, Subpart 31.2, “Contracts with Commercial Organizations.”

38. Cash Withdrawal Restrictions.

- a. Section 5(b) of the Cash Management Improvement Act of 1990, as amended, 31 U.S.C. § 6503(b).
- b. U.S. Department of Treasury regulations, “Rules and Procedures for Funds Transfers,” 31 C.F.R. Part 205.
- c. U.S. Department of Treasury-U.S. Department of Justice regulations, “Standards for the Administrative Collection of Claims,” 31 C.F.R. § 901 *et seq.*, in particular, subsection 901.9(i).
- d. ECHO System Operations Manual, “Guidelines for Disbursements” for FTA Projects.

38. Program Income.

- a. U.S. DOT regulations, “Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments,” 49 C.F.R. part 18.

(1) 49 C.F.R. § 18.24.
- b. 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.

(1) 49 C.F.R. § 19.24.

39. Oversight and Audit.

- a. Project Management Oversight.

(1) 49 U.S.C. § 5327(a) – Requires project management oversight of major capital projects.

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- (2) FTA regulations, “Project Management Oversight,” 49 C.F.R. Part 633.
- (3) The most recent edition of FTA Circular 5800.1, “Safety and Security Management Guidance for Major Capital Projects,” to the extent it is consistent with current Federal laws, regulations, and guidance.

b. Audit.

- (1) 49 U.S.C. § 5307(h)
- (1) Single Audit Act Amendments of 1996, 31 U.S.C. § 7501 *et seq.*
- (2) U.S. DOT regulations, “Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments,” at 49 C.F.R. § 18.26 and
- (3) U.S. DOT regulations, “Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations,” at 49 C.F.R. § 19.26.
- (3) U.S. OMB Circular A-133, “Audits of States, Local Governments, and Non-Profit Organizations,” Revised.
- (4) Most recent U.S. OMB A-133 Compliance Supplement provisions for the Department of Transportation.
- (5) U.S. Government Accountability Office, “Government Auditing Standards.”
- (6) Federal Cost Principles of:
 - (a) U.S. OMB Guidance for Grants and Agreements, “Cost Principles for State, Local, and Indian Tribal Governments (U.S. OMB Circular A-87),” 2 C.F.R. Part 225.
 - (b) U.S. OMB Guidance for Grants and Agreements, “Cost Principles for Educational Institutions (U.S. OMB Circular A-21),” 2 C.F.R. Part 220.
 - (c) U.S. OMB Guidance for Grants and Agreements “Cost Principles for Non-profit Organizations (U.S. OMB Circular A-122),” 2 C.F.R. Part 230.
 - (d) Federal Acquisition Regulation, at 48 C.F.R. Chapter I, Subpart 31.2, “Contracts with Commercial Organizations.”
- (7) 49 U.S.C. § 5325(g) – U.S. DOT, GAO, and, to the extent appropriate, State access to the Recipient’s records.

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40. National Transit Database.

- a. 49 U.S.C. § 5335(a).
- b. FTA regulations, “Uniform System of Accounts and Records and Reporting System,” 49 C.F.R. Part 630.

41. Transparency Act Reporting.

- a. Federal Funding Accountability and Transparency Act of 2006 (FFATA), Pub. L. 109-282,
- b. Section 6202 of the Department of Defense Appropriations Act for Fiscal Year 2008, Pub. L. 110-252, June 30, 2008, which amended the FFATA, and
- c. Section 872 of the Duncan Hunter National Defense Authorization Act for Fiscal Year 2009, Pub. L. 110-417, Oct. 14, 2008, which further amended the FFATA,
- d. Section 13(a) of the Securities Exchange Act of 1934, 15 U.S.C. § 78m(a),
- e. Section 15(d) of the Securities Exchange Act of 1934, 15 U.S.C. § 78o(d), or
- f. Section 6104 of the Internal Revenue Code of 1986,
- g. U.S. OMB Guidance “Universal Identifier and Central Contractor Registration” 2 C.F.R. Part 25.
- h. U.S. OMB Interim Final Guidance “Reporting Subawards and Executive Compensation,” 2 C.F.R. Part 170.
- i. U.S. OMB Proposed Guidance, “Recipient Integrity and Performance Matters,” 2 C.F.R. Part 35.

42. Record Retention.

- a. U.S. DOT regulations, “Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments,” at 49 C.F.R. part 18.
 - (1) 49 C.F.R. § 18.36(i)(11).
- b. 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.

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(1) 49 C.F.R. § 19.53(b).

43. Access. to Records.

- a. 49 U.S.C. § 5325(g), as amended by MAP-21
- b. U.S. DOT regulations, “Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments,” at 49 C.F.R. part 18.
 - (1) 49 C.F.R. § 18.36(i)(10).
- c. 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.
 - (1) 49 C.F.R. § 19.53(e).

44. Access. to Sites of Project Performance.

- a. 49 U.S.C. § 5325(g), as amended by MAP-21
- b. U.S. DOT regulations, “Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments,” at 49 C.F.R. part 18.
 - (1) 49 C.F.R. § 18.40(e).
- c. 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.
 - (1) 49 C.F.R. § 19.51(g).

45. Availability of Information.

- a. Freedom of Information Act, 5 U.S.C. § 552.

46. Debts and Claims.

- a. Debts.
 - (1) Cash Management Improvement Act of 1990, as amended, 31 U.S.C. § 6503(b), section 5(b).

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- (2) U.S. Treasury regulations, “Rules and Procedures for Efficient Federal-State Funds Transfers,” 31 C.F.R. Part 205.
- (3) 31 U.S.C. § 3717 – Treasury tax and loan account interest rate.
- (4) Joint U.S. Treasury and U.S. Department of Justice (joint U.S. Treasury/U.S. DOJ) regulations, “Standards for the Administrative Collection of Claims,” at 31 C.F.R. § 901.9(i)

b. Claims.

- (1) Debt Collection Act of 1982, as amended, 31 U.S.C. § 3701 *et seq.*
- (2) Joint U.S. Treasury and U.S. Department of Justice (joint U.S. Treasury/U.S. DOJ) regulations, “Standards for the Administrative Collection of Claims,” at 31 C.F.R. § 901.9(a) through (g) –.
- (3) Joint U.S. Treasury and U.S. Department of Justice (joint U.S. Treasury/U.S. DOJ) regulations, “Standards for the Administrative Collection of Claims,” at 31 C.F.R. § 901.9(i) y.

47. Fraud.

a. Civil Fraud.

- (1) Program Fraud Civil Remedies Act of 1986, as amended, 31 U.S.C. § 3801 *et seq.*
- (2) U.S. DOT regulations, “Program Fraud Civil Remedies,” 49 C.F.R. Part 31.

b. Criminal Fraud.

- (1) 18 U.S.C. § 1001.
- (2) 49 U.S.C. § 5323(l), invoking 18 U.S.C. § 1001