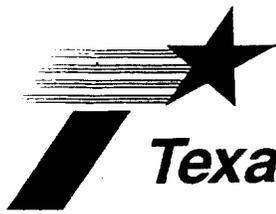


APPENDIX 3-I

TxDOT Oversight Responsibilities for Attainment in Non-TMA Areas



Texas Department of Transportation

P O BOX 149217 • AUSTIN, TEXAS 78714-9217 • (512) 465-7346

July 9, 1997

TxDOT Oversight Responsibilities
for Attainment, Non-TMA MPOs

File TPP(I)
(512) 486-5039

C.D. Reagan, P.E.
Division Administrator
Federal Highway Administration
Austin, Texas

Attn: Dennis Jones

Dear Sir:

During the last few months, we have been detailing certain TxDOT oversight responsibilities concerning metropolitan transportation planning in attainment, non-TMA MPOs. The following are the provisions that have been agreed to. We request your final review and approval.

1. The FHWA will continue to review and approve the initial UPWP. TxDOT will then review and approve all subsequent revisions. TxDOT will send copies of the approved revisions to FHWA.
2. FHWA will provide a letter of authorization to TxDOT for the funds obligating the full unobligated balance for the MPOs. FHWA will also provide, as a contingency amount, those funds not programmed. TxDOT will manage and track the contingency amounts for each MPO.

If an MPO revises its UPWP, TxDOT would review and approve/reject the revision. Copies of approved UPWPs would be transmitted to FHWA for their information. In the case of TMAs, no work order would be issued to the MPOs prior to receiving FHWA approval of their UPWP or revisions.

3. Triennial reviews will not be conducted unless deemed necessary by individual circumstances. TPP(I) field representatives will continue to be in constant contact with the TxDOT district personnel and MPO staff and will be able to identify potential issues and address them in a timely manner. TxDOT will provide necessary documentation to ensure FHWA that, for the Joint Record of Review for the STIP, planning procedures are being followed.

4. TxDOT will submit to FHWA a copy of the annual performance report for each MPO.
5. TxDOT will continue its review and approval of contracts for areas without approved Procurement Procedures; this will only apply to contracts using PL funds. The only prior approval would come from TxDOT's General Services Division on the contract or from TxDOT's Transportation Planning and Programming Division on the scope of work. Field representatives will continue to suggest strongly to the MPOs that the areas without approved Procurement Procedures develop them.
6. TxDOT would review and approve all equipment purchases over \$5,000 in these areas in accordance with A-87.
7. FHWA and FTA will conduct process reviews as deemed necessary, to see how the state is managing this program. Process reviews will be a coordinated team approach with representatives of TxDOT, FHWA and FTA participating.
8. TxDOT will implement whatever steps are necessary to effectively carry out its responsibility as the oversight agency.

Thank you for your consideration of this matter. If you have any questions, please contact Mr. Eddie Shafie at 486-5032.

Sincerely,



Alvin R. Luedecke, Jr., P.E.
Director, Transportation
Planning and Programming

RB

cc: Robert Cuellar, P.E.
Judith A. Byman

APPROVED AUG 0 1 1997
Date



Dennis W. Jones
Federal Highway Administration

FY 199x

UNIFIED PLANNING WORK PROGRAM

SAMPLE URBAN TRANSPORTATION STUDY

(Revised 3/27/97)

ADOPTED BY POLICY COMMITTEE _____
AMENDED BY POLICY COMMITTEE _____

- I. **INTRODUCTION** - General background and history of Transportation Planning in Metropolitan area. Include reference to ISTEA requirements. Include date Policy Committee approved document on title page.
 - A. **PURPOSE** - Brief discussion on the purpose of the UPWP. Include reference/discussion to 16 factors included in ISTEA requirements. Include discussion on citizen involvement.
 - B. **DEFINITION OF AREA** - Brief description of area. Include involved jurisdictions, urban areas, etc.
 - C. **ORGANIZATION** - Brief discussion on study organization. Include number and types of committees and general purpose. Include discussion of Policy Committee structure (Include current membership list in Appendix)
 - D. **PRIVATE SECTOR INVOLVEMENT** - Brief description of how the private sector (consultants, etc.) will be used in the planning process.
 - E. **PLANNING ISSUES AND EMPHASIS** - Brief description of the key highway and transit planning issues facing the MPO and the areas of emphasis.

II. **TASK 1.0 - ADMINISTRATION/MANAGEMENT** - Include overall study administration, including travel, training, supply/equipment purchases, public involvement, etc.

A. **OBJECTIVE** - Describe overall objective of this task.

B. **EXPECTED PRODUCTS** - Describe the products expected from this task.

C. **PREVIOUS WORK** - Discuss products produced under this task from previous year's UPWP. Identify those elements that are on-going or those not completed.

D. **SUBTASKS** - Include in each subtask a description of the subtask, proposed product, proposed funding requirements, and agency responsibility. Include a general scope of work if subtask is to be completed by a consultant/subcontract.

E. **FUNDING SUMMARY** - Include table depicting source of funding. ie:

| Subtask | Responsible Agency | TPF | FTA Sect. 5307 (Sect. 9) | GTPF | Local | Total |
|---------|--------------------|-----|--------------------------|------|-------|-------|
| 1.1 | | | | | | |
| 1.2 | | | | | | |
| | | | | | | |
| TOTAL | | | | | | |

| | |
|-------------------|--|
| TxDOT State Funds | |
|-------------------|--|

III. **TASK 2.0 - DATA DEVELOPMENT AND MAINTENANCE** - Include general data collection and analysis primarily from ongoing activities. Special, one-time activities to be in Task 3.0

A. **OBJECTIVE** - Describe overall objective of this task.

B. **EXPECTED PRODUCTS** - Describe the products expected from this task.

C. **PREVIOUS WORK** - Discuss products produced under this task from previous year's UPWP. Identify those elements that are on-going or those not completed.

D. **SUBTASKS** - Include in each subtask a description of the subtask, proposed product, proposed funding requirements, and agency responsibility. Include a general scope of work if subtask is to be completed by a consultant/subcontract.

E. **FUNDING SUMMARY** - Include table depicting source of funding. ie:

| Subtask | Responsible Agency | TPF | FTA Sect. 5307 (Sect. 9) | GTPF | Local | Total |
|---------|--------------------|-----|--------------------------|------|-------|-------|
| 2.1 | | | | | | |
| 2.2 | | | | | | |
| | | | | | | |
| TOTAL | | | | | | |

| | |
|-------------------|--|
| TxDOT State Funds | |
|-------------------|--|

IV. **TASK 3.0 - SHORT RANGE PLANNING** - Include planning activities associated with immediate implementation and relating to the near time frame. Examples might be TIP development, ADA planning/implementation, etc.

- A. **OBJECTIVE** - Describe overall objective of this task.

- B. **EXPECTED PRODUCTS** - Describe the products expected from this task.

- C. **PREVIOUS WORK** - Discuss products produced under this task from previous year's UPWP. Identify those elements that are on-going or those not completed.

- D. **SUBTASKS** - Include in each subtask a description of the subtask, proposed product, proposed funding requirements, and agency responsibility. Include a general scope of work if subtask is to be completed by a consultant/subcontract.

- E. **FUNDING SUMMARY** - Include table depicting source of funding. ie:

| Subtask | Responsible Agency | TPF | FTA Sect. 5307 (Sect. 9) | GTPF | Local | Total |
|---------|--------------------|-----|--------------------------|------|-------|-------|
| 3.1 | | | | | | |
| 3.2 | | | | | | |
| | | | | | | |
| TOTAL | | | | | | |

| | |
|-------------------|--|
| TxDOT State Funds | |
|-------------------|--|

V. **TASK 4.0 - METROPOLITAN TRANSPORTATION PLAN** - Include activities associated with publishing or updating the Metropolitan Transportation Plan, formerly called the Long-Range Plan. Examples might be developing Financial Plan, Environment Impact Analysis, Publishing MTP Document.

A. **OBJECTIVE** - Describe overall objective of this task.

B. **EXPECTED PRODUCTS** - Describe the products expected from this task.

C. **PREVIOUS WORK** - Discuss products produced under this task from previous year's UPWP. Identify those elements that are on-going or those not completed.

D. **SUBTASKS** - Include in each subtask a description of the subtask, proposed product, proposed funding requirements, and agency responsibility. Include a general scope of work if subtask is to be completed by a consultant/subcontract.

E. **FUNDING SUMMARY** - Include table depicting source of funding. ie:

| Subtask | Responsible Agency | TPF | FTA Sect. 5307 (Sect. 9) | GTPF | Local | Total |
|---------|--------------------|-----|--------------------------|------|-------|-------|
| 4.1 | | | | | | |
| 4.2 | | | | | | |
| | | | | | | |
| TOTAL | | | | | | |

| | |
|-------------------|--|
| TxDOT State Funds | |
|-------------------|--|

VI. **TASK 5.0 - SPECIAL STUDIES** - Include subtasks for each special study. List all Major Investment Studies in this task, regardless of funding source. If continuing a Management System(s), include in this task. Other studies might include a Transit Ridership Study, Bicycle Route Study, Freight Movement Study, Hazardous Truck Route Study, Site Impact Analysis, etc.

- A. **OBJECTIVE** - Describe overall objective of this task.

- B. **EXPECTED PRODUCTS** - Describe the products expected from this task.

- C. **PREVIOUS WORK** - Discuss products produced under this task from previous year's UPWP. Identify those elements that are on-going or those not completed.

- D. **SUBTASKS** - Include in each subtask a description of the subtask, proposed product, proposed funding requirements, and agency responsibility. Include a general scope of work if subtask is to be completed by a consultant/subcontract.

- E. **FUNDING SUMMARY** - Include table depicting source of funding. ie:

| Subtask | Responsible Agency | TPF | FTA Sect. 5307 (Sect. 9) | GTPF | Local | Total |
|---------|--------------------|-----|--------------------------|------|-------|-------|
| 5.1 | | | | | | |
| 5.2 | | | | | | |
| | | | | | | |
| TOTAL | | | | | | |

| | |
|-------------------|--|
| TxDOT State Funds | |
|-------------------|--|

BUDGET SUMMARY - Include a table showing a recap of the funding requirements. Include FTA task identification, sources of funding(including carryovers), etc.

TABLE 1 - SAMPLE URBAN TRANSPORTATION STUDY

| UPWP Task | FTA Task | Description | TPF ¹ Funds | FTA Sect. 5307 (Sect. 9) | GTPF | Local Funds | TxDOT State Funds | Total Funds |
|-----------|----------------------|-------------------------------------|------------------------|--------------------------|----------|-------------|-------------------|-------------|
| 1.0 | xx.xx.xx xx.xx.xx | Administration- Management | \$ x,xxx | \$ x,xxx | | \$ x,xxx | \$ x,xxx | \$ xx,xxx |
| 2.0 | xx.xx.xx xx.xx.xx | Data Development and Maintenance | \$ x,xxx | \$ x,xxx | | \$ x,xxx | \$ x,xxx | \$ xx,xxx |
| 3.0 | xx.xx.xx | Short Range Planning | \$ x,xxx | \$ x,xxx | | \$ x,xxx | \$ x,xxx | \$ xx,xxx |
| 4.0 | xx.xx.xx xx.xx.xx | Metropolitan Transportation Plan | \$ x,xxx | \$ x,xxx | | \$ x,xxx | \$ x,xxx | \$ xx,xxx |
| 5.0 | xx.xx.xx | Special Studies | \$ x,xxx | \$ x,xxx | \$ x,xxx | \$ x,xxx | \$ x,xxx | \$ xx,xxx |
| Total | | | \$ xx,xxx | \$ xx,xxx | \$ x,xxx | \$ xx,xxx | \$ xx,xxx | \$ xxx,xxx |

¹ TRANSPORTATION PLANNING FUNDS

| | |
|----------------------------|-------|
| FHWA (PL-112) ² | \$ |
| FTA Section 5303 (Sect. 8) | _____ |
| TOTAL TPF | \$ |

² Includes \$_____ estimated carryover funds from FY 199x UPWP. These are federal funds only.

APPENDIX A

POLICY COMMITTEE MEMBERSHIP

APPENDIX B

METROPOLITAN AREA BOUNDARY MAP

(TEXAS TRANSPORTATION COMMISSION APPROVED)

APPENDIX C

DEBARMENT CERTIFICATION

APPENDIX D
LOBBYING CERTIFICATION