



U.S. Department  
of Transportation

Urban Mass  
Transportation  
Administration

**CIRCULAR**

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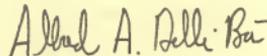
June 9, 1988

Subject: URBAN MASS TRANSPORTATION ADMINISTRATION  
PROGRAMS AND ORGANIZATION

1. PURPOSE. This circular outlines the historical background of the Urban Mass Transportation Administration (UMTA) and provides a current organizational overview as well as a brief description of the various types of financial assistance and technical advice available through UMTA programs.
2. CANCELLATION. This circular cancels UMTA Circular 1150.1, "UMTA Background and Organization," dated 10-16-78.
3. REFERENCES.
  - a. Urban Mass Transportation Act of 1964, as amended.
  - b. Department of Transportation (DOT) Order 1100.66A, "Department of Transportation Organization Manual, Urban Mass Transportation Administration," dated 1-20-82.
4. DELEGATIONS OF AUTHORITY. This circular has no impact on UMTA's delegation of authority.
5. BACKGROUND. In 1964, Congress passed the Urban Mass Transportation (UMT) Act of 1964. The purposes of this Act are:
  - a. to assist in the development of improved mass transportation facilities, equipment, techniques, and methods, with the cooperation of mass transportation companies both public and private;
  - b. to encourage the planning and establishment of area-wide urban mass transportation systems needed for economical and desirable urban development, with the cooperation of mass transportation companies both public and private; and
  - c. to provide assistance to State and local governments and their instrumentalities in financing such systems, to be operated by public or private mass transportation companies as determined by local needs.

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In the 24 years since the inception of the UMT Act of 1964, UMTA has provided over \$53 billion in aid to mass transportation. This circular briefly describes UMTA's history, discusses specific UMTA programs, and explains the functional responsibilities of UMTA's primary organizational units.



Alfred A. DelliBovi  
Administrator

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## CHAPTER I

BRIEF HISTORY

The Federal Government became actively involved in mass transportation when the Housing Act of 1961 was enacted, allowing assistance to State and local governments for the acquisition of transit equipment and provided grants for transportation demonstrations, research, and comprehensive planning. At the same time, a Federal Office of Transportation was set up within the Housing and Home Finance Agency (HHFA), and the HHFA and the Department of Commerce jointly undertook a study to explore urban transit problems and the Federal Government's role in their solution.

The increasing interest in meeting mass transportation needs was reflected in President Kennedy's message to Congress in April 1962, proposing Federal capital grants for mass transit and comprehensive transportation planning. This legislation was not enacted by the 87th Congress but was revived during the Johnson Administration and subsequently signed into law as the Urban Mass Transportation Act of 1964.

In September 1965, HHFA became a part of the new Department of Housing and Urban Development (HUD), and the Transit Division was called the Urban Transportation Administration (UTA). On July 1, 1968, UTA became the Urban Mass Transportation Administration (UMTA) and was transferred from HUD to the newly created U.S. Department of Transportation (DOT), under the President's Reorganization Plan 2 of 1968, as one of seven modal administrations within DOT. UMTA's Administrator is directly responsible to the Secretary of Transportation for exercising the functions of the Secretary under the Urban Mass Transportation Administration Act of 1964, as amended (UMT Act).

The Urban Mass Transportation Assistance Act of 1970 made possible the advance acquisition of real estate for transit use through Federal loans and signified a long-term commitment to mass transportation on the part of national leaders. In 1973, the Federal Aid Highway Act was passed, increasing the Federal funding share from 66 percent to 80 percent for capital assistance and allowing the use of certain highway money for mass transit. Another important piece of legislation for UMTA was the National Mass Transportation Assistance Act of 1974, which allowed Federal funding to cover operating expenses of transit systems. The Rail Revitalization and Regulatory Reform Act of 1976 amended the Urban Mass Transportation Act to provide additional assistance for commuter rail operations.

President Ronald Reagan's signing of the Surface Transportation Assistance Act of 1982, marked the next significant change in the Federal transit program. For the first time, a portion of Federal transit funding would be derived from a user fee on gasoline; in addition, funds from the general revenues continued to be appropriated for mass transit by the Congress.

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The gas revenues, estimated to be more than one billion dollars per year, provide funding primarily for the Discretionary Capital Grant Program. In most cases, other categories of grants continue to rely on general revenue funds.

The 1987 Surface Transportation and Uniform Relocation Assistance Act (STURAA) reauthorized the Federal transit program through fiscal year 1991. The STURAA does not affect the basic structure of the transit program but does make a number of changes to various Agency programs. For example, under Section 3, Discretionary Capital Grant Program funding is available on a percentage basis to the different categories of projects such as rail modernization and new starts. Any new start project funded under Section 3 must be cost-effective and supported by an acceptable degree of local financing. Regarding the Section 9 formula program, the STURAA permits certain leasing costs to be paid at the higher Federal share for capital projects if it can be demonstrated that the leasing of an item is more cost-effective than an outright purchase would be. Among other changes, the STURAA also raised the operating assistance cap for small urbanized areas, established a new program management oversight function, and created a Rural Transit Assistance Program.

## CHAPTER II

SPECIFIC UMTA PROGRAMS

UMTA has become the principal source of Federal financial assistance for aiding urban areas in the planning, development, and improvement of comprehensive mass transportation systems. This assistance is provided by a variety of programs within the statutory authority granted by the UMT Act of 1964, as amended. UMTA circulars are available which provide indepth information on the application process for UMTA assistance. To obtain such information, contact the nearest UMTA Regional Office (see Attachment 1 for addresses), or the Office of Administration, Administrative Services Division, 400 Seventh Street, S.W., Washington, D.C., 20590. Pamphlets and written material can also be obtained from the UMTA Office of Public Affairs, 400 Seventh Street, S.W., Washington, D.C., 20590.

1. SECTION 3 DISCRETIONARY CAPITAL GRANT PROGRAM. For many years, this program was UMTA's major transit assistance activity, supplying just under \$2 billion per year for capital projects (e.g., acquisition, construction, rehabilitation, maintenance, and improvement of urban transportation equipment and facilities). With the passage of the Surface Transportation Assistance Act of 1982, the Section 3 program assumed a slightly different configuration. Authorized at just over \$1 billion per year, its funds now come from the Mass Transit Account of the Highway Trust Fund (i.e., the gas tax). Because other programs are now available to fund routine capital projects such as vehicle replacement, the Section 3 Discretionary Capital Grant Program is restricted to major one-time investments in the Nation's transit infrastructure.
2. SECTION 3(a)(1)(C) TECHNOLOGY INTRODUCTION PROGRAM. Under this program, UMTA identifies and selects appropriate projects that will introduce into public transportation service new technology in the form of innovative and improved products. The program makes use of the standard grant-making procedure or a "challenge" grant approach, whereby innovative proposals are negotiated or solicited competitively from transit agencies. The program focuses on identifying, evaluating, and documenting significant cost-effective approaches to modernizing transit facilities, equipment, system-wide controls, and management.

Projects may be funded when:

- a. the technology can actually be applied to public transportation;
- b. potential benefits have been identified and are commensurate with costs;

- c. a local matching share and a local assumption of risk are available; and
  - d. project evaluation and documentation plans have been developed.
3. SECTION 4(i) INNOVATIVE TECHNIQUES AND METHODS PROGRAM. Section 4(i) provides funding to States and local public agencies for projects for the deployment of innovative techniques and methods in the management and operation of public transportation services. Projects are selected in part based on the criteria and the degree of innovation, the likelihood of the innovation continuing after grant completion, and the degree of commitment of private and public organizations.
4. SECTION 6 RESEARCH, DEVELOPMENT, and DEMONSTRATION PROJECTS. The Section 6 program is a major program of UMTA. Under Section 6, UMTA conducts research, development, and demonstration projects to improve mass transportation service, to contribute toward meeting total urban transportation needs at minimum cost, or to assist in the reduction of urban transportation needs. Funds are provided to research and demonstrate innovative concepts for transit mobility such as privatization and competitive service. The Section 6 program also supports UMTA's programs to provide transit safety and security.

The objective of the Section 6 program is to conduct technical assistance activities to improve mass transportation facilities, equipment, techniques, methods, management and planning; to provide technical assistance, including training, to Federal, State, and local governments, transit and planning agencies, private industry, and academia with respect to making such improvements; to insure the transfer to potential users of technical assistance results; and to administer federally-funded programs related to such activities, including training programs.

5. SECTION 8 PLANNING PROGRAM. The Section 8 Planning Program provides financial assistance to State and local governments to aid in the preparation of plans and cost-effective Transportation Improvement Programs (TIPs), which guide the use of Federal capital assistance resources. The plans and programs reflect a variety of State and local objectives as well as the Administration's national priorities. Although a discretionary program, the distribution of the bulk of Section 8 funds to States and each of 374 urbanized areas is done using a population weighted allocation. This is called the National Program Plan for Section 8 funds. Field staffs negotiate Unified Planning Work Programs (UPWP) with each Metropolitan Planning Organization (MPO). Grants are then made based on the UPWP. Planning grants are tracked and released in the same way as capital grants.

6. **SECTION 9 BLOCK GRANT FORMULA PROGRAM.** This program was initiated by the Surface Transportation Assistance Act of 1982 and became UMTA's major transit assistance program in Fiscal Year (FY) 1984. (For FY 1983, a transition year, a special one-year-only version of Section 9, called 9A, was in operation.) Section 9 is authorized at a level of approximately \$2 billion per year and makes money available to urbanized areas for both operating and capital purposes according to a formula that includes both population factors and transit operating factors. Beginning in FY 1988, a new "capital only" program (Section 9B) is available to urbanized areas using the Section 9 formula.
7. **SECTION 10.** Section 10 authorizes grants to State and local public bodies (and operators of public transportation services) to provide funding assistance for training of personnel employed in managerial, technical, and professional positions in the transportation field. In FY 1987, the program was reoriented to focus more sharply the impact of such training and increase cost-effectiveness through greater use of "block" type grants. These grants, identified as Single Agency Grants, or SAGs, are awarded on the basis of a comprehensive agency-wide training plan developed by the recipient agency that outlines a series of training activities to be accomplished over a period of up to 12 months.
8. **SECTION 11.** Section 11 makes funds available to public and private nonprofit institutions of higher learning to assist in carrying out research on urban area transportation problems and to provide professional training in the field of urban and rural transportation analysis, management, and operations.

The University Research and Training Program is conducted as a national competition designed to support and encourage investigator-oriented research initiatives which assist all levels of public and private sector operators to meet the transportation needs of the community. Research projects funded under this program would include such topics as: improving suburban mobility; application of business strategies in providing public transportation services; successful marketing techniques; economics of service diffusion; etc.

9. **SECTION 15 REPORTING SYSTEM.** Section 15 is UMTA's reporting and information system for the transit industry. Section 15 of the UMT Act requires the Secretary of Transportation to establish a uniform system of accounts and records plus a reporting system for the collection and dissemination of public mass transportation financial and operating data by uniform categories. All applicants and direct beneficiaries of Federal assistance under Section 9 are subject to the reporting system and the uniform system of accounts and records. Certain Section 15 data are used by UMTA in the allocation formula to apportion Section 9 funds to urbanized areas of 200,000 or more inhabitants.

Financial and operating data reports are submitted by Section 15 reporters on an annual basis and are due 120 days after the reporter's local fiscal year ends. An annual report containing summaries of one year of reported data is published by UMTA. The annual report contains revenues, expenses, operating data, and calculated performance indicators for each transit agency reporting and aggregate national statistics. It also contains the data used in the computation of the Section 9 apportionment for urbanized areas with populations of 200,000 or more.

The Section 15 system and its annual report represent a valuable source of public mass transit data for transit industry planning, analysis, and investment decisions. It is also intended for use by governing boards, State and local governments, the research community, trade unions, and all others interested in improving the productivity of the Nation's transit systems.

10. SECTION 16(b)(2) PROGRAM. The Section 16(b)(2) program is a capital assistance program that provides funds to private nonprofit organizations to assist in the provision of transportation services for elderly and handicapped persons when planned mass transportation services are unavailable, insufficient, or inappropriate. The Section 16(b)(2) program provides funding on an 80 percent Federal, 20 percent local matching basis. Funds are allocated to each State by an administrative formula based on the percentage of elderly and handicapped persons in each State. The Section 16(b)(2) program is administered at the State level by a designated agency in each State.
11. SECTION 18. Section 18 of the UMT Act, authorizes the Secretary of Transportation to apportion funds to the Governor of each State for public transportation projects in non-urbanized areas (under 50,000 population). The funds, appropriated annually, are apportioned on a population-based formula and may be used for all projects included in the State's Section 18 program of projects. The annual Section 18 program of projects must provide for fair and equitable distribution of funds within the State, including Indian reservations. The Section 18 funding level is at least 2.93 percent of the amounts appropriated each fiscal year for formula assistance. Program funds may be used for planning, capital, operating, and administrative assistance to State agencies, local public bodies, non-profit organizations, Indian Tribes and groups, and operators of public transportation services. An amount not to exceed 15 percent of the State apportionment may be used for State administration, planning, and technical assistance activities.

The goals of the Section 18 program are: to enhance the access of people in non-urbanized areas to health care, shopping, education, employment, public

services, and recreation; to assist in the maintenance, development, improvement, and use of public transportation systems in rural and small urban areas; to encourage and facilitate the most efficient use of all Federal funds used to provide passenger transportation in non-urbanized areas through the coordination of programs and services; and to provide for the participation of private transportation providers in non-urbanized transportation services to the maximum extent feasible.

12. SECTION 19 (NONDISCRIMINATION) PROGRAM. Section 19 of the UMT Act prohibits discrimination on the basis of race, color, creed, national origin, sex, or age in any UMTA-funded project, program, or activity. Section 19 empowers the Secretary of Transportation to take affirmative action to ensure compliance with its provisions.
13. SECTION 20 HUMAN RESOURCE PROGRAM. Section 20 provides financial assistance for projects across the country which address human resource needs in public transit and supplement recipients' ongoing civil rights programs. Many of the UMTA activities in this area have assisted disadvantaged (including women-owned) business enterprises (DBEs) in becoming full partners in the transit marketplace, thus enhancing the overall level of national productivity. Other projects provide opportunities for upward mobility for minorities and women in transit; projects also assist in improving the ways in which UMTA administers its civil rights programs.
14. UMTA SAFETY PROGRAM. The UMTA Safety Program is designed to support State and local agencies in fulfilling their responsibility for the safety and security of urban mass transportation facilities and services. The program accomplishes its objectives through the encouragement and sponsorship of safety and security planning, training, information collection and analysis, system/safety assurance, generic research, and other cooperative government-industry activities.
15. DOMESTIC PREFERENCE/BUY AMERICA. Section 165 of the Surface Transportation Assistance Act of 1982, as amended, provides that Federal funds may not be used for mass transportation projects unless steel, cement, and manufactured products used in the projects are produced in the United States or unless one of four limited exceptions are met. This domestic preference provision is commonly referred to as "Buy America."
16. FEDERAL-AID HIGHWAY PROGRAM. The Federal-Aid Highway Program provides an additional source of Federal mass transit funds:
  - a. Title 23 U.S.C. 103(e)(4) (Interstate Substitutions) allowed State and local officials to withdraw a planned Interstate highway segment and substitute transit and highway projects if

the Secretary of Transportation concurs that the proposed deletion of Interstate highway will not adversely affect the completion of a connected interstate system. (No such withdrawals were allowed after September 30, 1985.) The transit substitute projects are funded by UMTA.

- b. The Federal Aid Urban System (FAUS) Program authorizes State and local officials to fund transit projects with urban system highway funds. These projects are funded from the Highway Trust Fund and are available to all urban areas with a population over 5,000. All projects must be certified by the State as having priority within the overall urban transportation plan.

CHAPTER III

ORGANIZATION

1. GENERAL ORGANIZATION. UMTA, whose headquarters is located in Washington, D.C., is one of 9 modal administrations within the Department of Transportation. UMTA also has 10 Regional Offices situated in the 10 standard Federal regions (see Attachment 2 for area boundaries). The UMTA Administrator is the highest appointed official in the Agency and is confirmed by the Senate. The Administrator has an executive staff which includes the Deputy Administrator and several other senior officials. These officials give advice and counsel to the Administrator in the areas of policy, budget, grants management, technical assistance, legal matters, public affairs, civil rights, administration, executive secretariat activities, and safety.
2. SPECIFIC DESCRIPTIONS. The following is a brief description of each UMTA office:

- a. Office of the Administrator (UOA). The Administrator directs and controls all activities of the Urban Mass Transportation Administration and maintains appropriate liaison and coordination with other elements of the Department and other Government agencies with respect to their interests in urban mass transportation policies, plans, programs, and proposed projects in urban areas.

The Deputy Administrator assists the Administrator in the discharge of his or her responsibility, having been delegated authority to act for him in all matters not reserved to the Administrator. The Deputy Administrator also supervises the operation of the Area/Regional Offices through the Area Directors.

- b. Executive Secretariat (UES). The Executive Secretariat provides a central clearing point for documents directed to or action assignments issued by the Administrator and Deputy Administrator. All documents addressed to the Administrator and Deputy Administrator are to be delivered to the Executive Secretariat.

The Executive Secretariat is responsible for ensuring timely responses to incoming correspondence and action assignments and for presentation of current, accurate, and complete information to the Administrator and Deputy Administrator during the decisionmaking process. This information includes the preparation of briefing materials and correspondence.

- c. Office of Chief Counsel (UCC). The Office of the Chief Counsel provides legal advice and support to the Administrator and UMTA management and coordinates with and supports the General Counsel to the Department on UMTA legal matters. Other responsibilities also include:
- (1) Reviewing development and management of UMTA-sponsored projects;
  - (2) Representing the Administration before civil courts and administrative agencies; and
  - (3) Drafting and reviewing legislation to implement the Administration's programs.
- d. Office of Public Affairs (UPA). The Office of Public Affairs distributes information about UMTA programs and policies to the public, the transit industry, and other interested parties through a variety of media. It conducts special projects, such as exhibits, to provide information to large groups of people. The office also coordinates requests made under the Freedom of Information Act.
- e. Office of Civil Rights (UCR). The Office of Civil Rights ensures full and affirmative implementation of the civil rights and equal opportunity precepts within UMTA and assures compliance by recipients of UMTA-sponsored Federal assistance. The office serves as principal staff advisor to the Administrator on civil rights and equal opportunity matters and develops civil rights policies consistent with the Departmental policies, programs, standards, and procedures to implement the Agency civil rights and equal opportunity programs. Provides technical advice and assistance to the Administrator, Deputy Administrator, and other UMTA Executive Staff on all matters falling within the following areas:
- (1) Nondiscrimination in the provision of federally assisted transit services and benefits as mandated by Title VI of the Civil Rights Act of 1964.
  - (2) Equal opportunity of recipients and those affected by UMTA-sponsored Federal assistance in accordance with DOT and UMTA-established standards and guidelines.
  - (3) Equal employment opportunity (EEO) by UMTA contractors, subcontractors, and related organizations.
  - (4) Equal employment opportunity in internal UMTA employment practices, as mandated by Executive Order 11478.
  - (5) Equal opportunity for minority business enterprises, small business concerns, and labor surplus area concerns.

- (6) Equal opportunity for the elderly and handicapped as it relates to compliance and enforcement as mandated by Section 504 of the Rehabilitation Act of 1973, as amended.
- f. Office of Budget and Policy (OBP). The Office of Budget and Policy implements and manages the policy development process within UMTA; coordinates the development, review and presentation of program plans and budget estimates and justifications; provides policy direction for budget implementation; reviews project grants for consistency with program plans, budgets, and overall policy; prepares the UMTA legislative agenda and coordinates with the Office of the Secretary's Office of Congressional Affairs on all matters of congressional interest and concern; evaluates urban transportation processes and undertakes studies with respect to UMTA mission and programs; implements and manages the private sector initiatives within UMTA; develops and administers a financial management system; establishes and maintains an effective system of internal and administrative controls; exercises central control over UMTA's administrative and program funds; reports on the financial status of appropriated and authorized funds; and ensures that UMTA's financial system, procedures, and standards conform to law, regulation, and established principles and standards.
- g. Office of Administration (OAD). The Office of Administration plans, develops, coordinates, implements, and administers a comprehensive program of activities directed at satisfying UMTA's administrative management requirements. The office advises and assists the Administrator in all administrative and management matters as they relate to UMTA's missions, programs, and objectives and develops and administers comprehensive programs to satisfy UMTA's administrative requirements in the following areas:
  - (1) Personnel management;
  - (2) Organization planning and management;
  - (3) Management review and organizational improvement;
  - (4) Data systems management;
  - (5) Contracting, procurement, and third party contracting activities; and
  - (6) Administrative and logistical services.
- h. Office of Grants Management (OGM). The Office of Grants Management administers a national program of planning, capital, and operating assistance by managing the financial and technical resources and by directing program implementation through the Area Offices. The

office provides procedures and program guidance to Area/Regional Offices to assist in grant program administration and coordinates with the Area Directors on capital and planning grant activities and project management activities. The office also administers and maintains the Section 15 Uniform System of Accounts and Records and Reporting System to collect and record financial and operating data about the industry.

- i. Office of Technical Assistance and Safety (UIS). The Office of Technical Assistance and Safety facilitates improvements in the provision of mass transportation service and facilities, equipment, techniques, methods, management and planning; provides technical assistance and training with respect to making such improvements to public and private mass transportation providers and planning agencies, other UMTA offices, Federal, State and local governments, private industry, and academia; disseminates the results of research, development, and demonstration activities and encourages their use by the transit industry; administers federally funded programs related to such activities; conducts research into safety conditions in transit facilities and equipment; establishes the framework for coordinated and cooperative safety and security activities within UMTA, relevant DOT agencies and concerned national organizations and State agencies; and serves as a catalyst for ensuring that safety and security is a priority with UMTA grant recipients, the transit industry, and mass transportation interest groups.
- j. Area Directors and Regional Offices. The Area Directors are the most senior UMTA officials in the field and depending on the Area, may have a number of Regional Offices reporting directly to him or her. The Regional Offices are responsible for providing Federal financial and technical assistance pursuant to the UMT Act and related acts for the planning and development of comprehensive coordinated mass transportation systems in urbanized and nonurbanized areas.

Area Directors have overall authority for the Regional Offices and represent the Administrator in discussions with top-ranking officials of State and local governments, transit authorities, planning agencies, and the private sector to disseminate urban mass transportation policy and information on UMTA resources, objectives, and procedures. As required, Area Directors provide support to Regional Representatives of the Secretary of Transportation.

ATTACHMENT 1

ADDRESSES FOR UMTA HEADQUARTERS AND REGIONAL OFFICES

The addresses of UMTA's Headquarters and Regional Offices are as follows:

o HEADQUARTERS

U.S. Department of Transportation  
Urban Mass Transportation Administration  
400 Seventh Street, S.W.  
Washington, D.C. 20590

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o EASTERN AREA Consists of:

a) Region I

Transportation Systems Center  
Kendall Square  
55 Broadway, Suite 920  
Cambridge, MA 02142

b) Region II

26 Federal Plaza  
Suite 14-110  
New York, NY 10278

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o SOUTHEASTERN AREA Consists of:

a) Region III

841 Chestnut Street  
Suite 714  
Philadelphia, PA 19107

b) Region IV

1720 Peachtree Road, NW  
Suite 400  
Atlanta, GA 30309

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o CENTRAL AREA Consists of:

Region V

300 S. Wacker Drive  
Suite 1703  
Chicago, IL 60606

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o MIDWESTERN AREA Consists of:

a) Region VI

819 Taylor Street  
Suite 9A32  
Fort Worth, TX 76102

b) Region VII

6301 Rockhill Road  
Suite 100  
Kansas City, MO 64131

o WESTERN AREA Consists of:

a) Region VIII

1961 Stout Street  
Federal Building/Courthouse  
Denver, CO 80294

b) Region IX

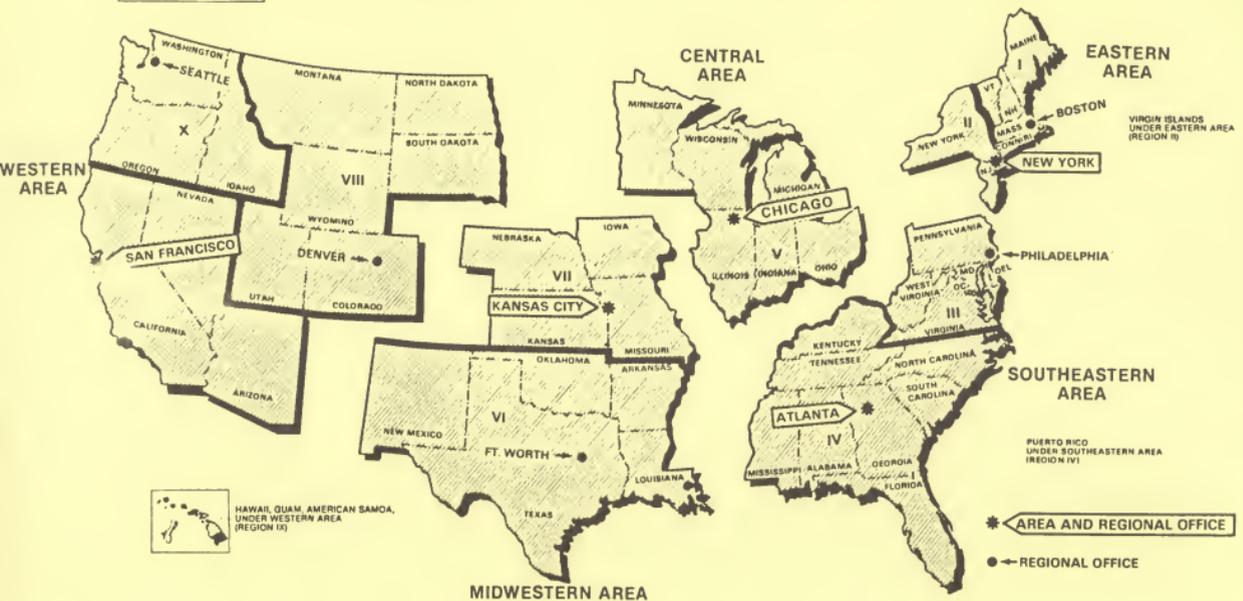
211 Main Street  
Room 1160  
San Francisco, CA 94105

c) Region X

915 2nd Avenue  
3142 Federal Building  
Seattle, WA 98174

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# URBAN MASS TRANSPORTATION ADMINISTRATION AREAS AND REGIONS



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