

## SUBCHAPTER E—PLANNING AND RESEARCH

### PART 420—PLANNING AND RESEARCH PROGRAM ADMINISTRATION

#### Subpart A—Administration of FHWA Planning and Research Funds

Sec.

- 420.101 What is the purpose of this part?
- 420.103 How does the FHWA define the terms used in this part?
- 420.105 What is the FHWA's policy on use of FHWA planning and research funds?
- 420.107 What is the minimum required expenditure of State planning and research funds for research development and technology transfer?
- 420.109 What are the requirements for distribution of metropolitan planning funds?
- 420.111 What are the documentation requirements for use of FHWA planning and research funds?
- 420.113 What costs are eligible?
- 420.115 What are the FHWA approval and authorization requirements?
- 420.117 What are the program monitoring and reporting requirements?
- 420.119 What are the fiscal requirements?
- 420.121 What other requirements apply to the administration of FHWA planning and research funds?

#### Subpart B—Research, Development, and Technology Transfer Program Management

- 420.201 What is the purpose of this subpart?
- 420.203 How does the FHWA define the terms used in this subpart?
- 420.205 What is the FHWA's policy for research, development, and technology transfer funding?
- 420.207 What are the requirements for research, development, and technology transfer work programs?
- 420.209 What are the conditions for approval?

AUTHORITY: 23 U.S.C. 103(b)(6), 104(f), 115, 120, 133(b), 134(n), 303(g), 505, and 315; and 49 CFR 1.48(b).

SOURCE: 67 FR 47271, July 18, 2002, unless otherwise noted.

### Subpart A—Administration of FHWA Planning and Research Funds

#### §420.101 What is the purpose of this part?

This part prescribes the Federal Highway Administration (FHWA) policies and procedures for the administration of activities undertaken by State departments of transportation (State DOTs) and their subrecipients, including metropolitan planning organizations (MPOs), with FHWA planning and research funds. Subpart A identifies the administrative requirements that apply to use of FHWA planning and research funds both for planning and for research, development, and technology transfer (RD&T) activities. Subpart B describes the policies and procedures that relate to the approval and authorization of RD&T work programs. The requirements in this part supplement those in 49 CFR part 18, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments and 49 CFR part 19, Uniform Administrative Requirements for Grants and Cooperative Agreements with Institutions of Higher Education, Hospitals and Other Non-Profit Organizations.

#### §420.103 How does the FHWA define the terms used in this part?

Unless otherwise specified in this part, the definitions in 23 U.S.C. 101(a) are applicable to this part. As used in this part:

*FHWA planning and research funds* include:

(1) State planning and research (SPR) funds (the two percent set aside of funds apportioned or allocated to a State DOT for activities authorized under 23 U.S.C. 505);

(2) Metropolitan planning (PL) funds (the one percent of funds authorized under 23 U.S.C. 104(f) to carry out the provisions of 23 U.S.C. 134);

(3) National highway system (NHS) funds authorized under 23 U.S.C. 104(b)(1) used for transportation planning in accordance with 23 U.S.C. 134

and 135, highway research and planning in accordance with 23 U.S.C. 505, highway-related technology transfer activities, or development and establishment of management systems under 23 U.S.C. 303;

(4) Surface transportation program (STP) funds authorized under 23 U.S.C. 104(b)(3) used for highway and transit research and development and technology transfer programs, surface transportation planning programs, or development and establishment of management systems under 23 U.S.C. 303; and

(5) Minimum guarantee (MG) funds authorized under 23 U.S.C. 505 used for transportation planning and research, development and technology transfer activities that are eligible under title 23, U.S.C.

*Grant agreement* means a legal instrument reflecting a relationship between an awarding agency and a recipient or subrecipient when the principal purpose of the relationship is to transfer a thing of value to the recipient or subrecipient to carry out a public purpose of support or stimulation authorized by a law instead of acquiring (by purchase, lease, or barter) property or services for the direct benefit or use of the awarding agency.

*Metropolitan planning area* means the geographic area in which the metropolitan transportation planning process required by 23 U.S.C. 134 and 49 U.S.C. 5303-5305 must be carried out.

*Metropolitan planning organization (MPO)* means the forum for cooperative transportation decisionmaking for a metropolitan planning area.

*National Cooperative Highway Research Program (NCHRP)* means the cooperative RD&T program directed toward solving problems of national or regional significance identified by State DOTs and the FHWA, and administered by the Transportation Research Board, National Academy of Sciences.

*Procurement contract* means a legal instrument reflecting a relationship between an awarding agency and a recipient or subrecipient when the principal purpose of the instrument is to acquire (by purchase, lease, or barter) property or services for the direct benefit or use of the awarding agency.

*State Department of Transportation (State DOT)* means that department, commission, board, or official of any State charged by its laws with the responsibility for highway construction.

*Transportation management area (TMA)* means an urbanized area with a population over 200,000 (as determined by the latest decennial census) and designated by the Secretary of Transportation or other area when TMA designation is requested by the Governor and the MPO (or affected local officials), and officially designated by the Secretary of Transportation.

*Transportation pooled fund study* means a planning, research, development, or technology transfer activity administered by the FHWA, a lead State DOT, or other organization that is supported by two or more participants and that addresses an issue of significant or widespread interest related to highway, public, or intermodal transportation. A transportation pooled fund study is intended to address a new area or provide information that will complement or advance previous investigations of the subject matter.

*Work program* means a periodic statement of proposed work, covering no less than one year, and estimated costs that documents eligible activities to be undertaken by State DOTs and/or their subrecipients with FHWA planning and research funds.

**§ 420.105 What is the FHWA's policy on use of FHWA planning and research funds?**

(a) If the FHWA determines that planning activities of national significance, identified in paragraph (b) of this section, and the requirements of 23 U.S.C. 134, 135, 303, and 505 are being adequately addressed, the FHWA will allow State DOTs and MPOs:

(1) Maximum possible flexibility in the use of FHWA planning and research funds to meet highway and local public transportation planning and RD&T needs at the national, State, and local levels while ensuring legal use of such funds and avoiding unnecessary duplication of efforts; and

(2) To determine which eligible planning and RD&T activities they desire