

***FINAL REPORT***

**FY2009 TRIENNIAL REVIEW**

**of the**

**Metropolitan Transit Authority of Harris County  
(METRO)  
Houston, Texas**

**Desk Review: 12/11/2008**

**Site Visit: 3/9-12/2009**

**March 2009**

**Prepared for the  
Federal Transit Administration  
Region 6  
Fort Worth, Texas**

**by**

**Interactive Elements, Inc**

## Table of Contents

I.	TRIENNIAL REVIEW BACKGROUND .....	1
II.	REVIEW PROCESS .....	1
III.	DESCRIPTION OF THE GRANTEE.....	2
IV.	RESULTS OF THE REVIEW.....	4
1.	Legal.....	4
2.	Financial.....	4
3.	Technical .....	4
4.	Satisfactory Continuing Control.....	4
5.	Maintenance .....	5
6.	Procurement .....	5
7.	Disadvantaged Business Enterprise (DBE).....	6
8.	Buy America.....	6
9.	Suspension/Debarment.....	6
10.	Lobbying.....	7
11.	Planning/Program of Projects.....	7
12.	Title VI.....	7
13.	Public Comment Process for Fare Increases and Service Reductions .....	7
14.	Half Fare.....	8
15.	ADA .....	8
16.	Charter Bus.....	9
17.	School Bus.....	9
18.	National Transit Database (NTD) .....	9
19.	Safety and Security.....	9
20.	Drug-Free Workplace.....	10
21.	Drug and Alcohol Program .....	11
22.	Equal Employment Opportunity (EEO) .....	11
23.	ITS Architecture .....	11
V.	SUMMARY OF FINDINGS AND CORRECTIVE ACTIONS .....	12
VI.	TRANSIT SECURITY EXPENDITURES .....	14
VII.	ATTENDEES.....	15

## **I. TRIENNIAL REVIEW BACKGROUND**

The United States Code, chapter 53 of title 49, requires the Federal Transit Administration (FTA) of the United States Department of Transportation (USDOT) to perform reviews and evaluations of Urbanized Area Formula Grant activities at least every three years. This requirement is contained in 49 U.S.C. 5307(i).

- (2) At least once every 3 years, the Secretary shall review and evaluate completely the performance of a recipient in carrying out the recipient's program, specifically referring to compliance with statutory and administrative requirements and the extent to which actual program activities are consistent with the activities proposed under subsection (d) of this section and the planning process required under sections 5303-5306 of this title.
- (3) The Secretary may take appropriate action consistent with the review, audit and evaluation under this subsection, including making an appropriate adjustment in the amount of a grant or withdrawing the grant.

The Triennial Review includes a review of the grantee's compliance in 23 different areas. The basic requirements for each of these areas are summarized below.

This report presents the findings from the Triennial Review of Metropolitan Transit Authority of Harris County (METRO) of Houston, Texas. This review was performed in accordance with FTA procedures (published in FTA Order 9010.1B, April 5, 1993) and included preliminary reviews of documents on file at the Region 6 Office in Fort Worth and on-site discussions and review of the procedures, practices, and records of METRO as deemed necessary. The review concentrated primarily on procedures and practices employed during the past three years; however, coverage was extended to earlier periods as needed to assess the policies in place and the management of grants. During the visit, administrative and statutory requirements were discussed, documents were reviewed, and facilities were toured. Specific documents examined during the Triennial Review are available in FTA's and METRO's files.

## **II. REVIEW PROCESS**

The desk review was conducted in the Region 6 Office on December 11, 2008. Following the desk review, an agenda package was sent to METRO advising it of the site visit and indicating additional information that would be needed and issues that would be discussed.

The site visit to METRO occurred on March 9-12, 2009. The individuals participating in the review are listed in Section VII of this report.

At the entrance conference, the purpose of the Triennial Review and the review process were discussed. During the site visit, urbanized area formula grant program administrative and statutory requirements were discussed and documents were reviewed. METRO's transit facilities

were toured to provide an overview of activities related to FTA-funded projects. A sample of FTA-funded vehicles was inspected during the site visit.

On completion of the review, an exit conference was held with METRO staff to discuss findings, corrective actions and schedules. This information is summarized in the table in Section V of this report. A draft copy of this report was provided to METRO at the exit conference.

### **III. DESCRIPTION OF THE GRANTEE**

METRO provides transit service in the communities of the Cities of Houston, Bellaire, Bunker Hill Village, El Lago, Hedwig Village, Hilshire Village, Humble, Hunters Creek Village, Katy, Missouri City, Piney Point Village, Southside Place, Spring Valley, Taylor Lake Village, West University Place and certain portions of unincorporated Harris County. The population of its service area is approximately 2,796,994. METRO is an independent regional transit authority established by Texas State legislature 1979. Its enabling legislation has been recodified as Chapter 451.1.1 Texas Transportation Code. METRO began service in 1979.

METRO operates bus, rail, paratransit, and van pool services. METRO operates bus services from six operations/maintenance locations. Five of these are directly operated by METRO. One is contracted out to First Transit, Inc. METRO directly operates its light rail line, and completely contracts out its paratransit service. This service is provided by five operators. Two operators, First Transit, Inc. and Greater Houston Transportation Company (Yellow Cab), provide scheduled vehicles for the ADA complementary paratransit service (METROLift). Yellow Cab and three other taxi cab companies -- United Cab Company, Fiesta Cab Company and Square Deal Cab Company -- also operate on-demand paratransit service. This on-demand service is a supplemental service for the complementary ADA paratransit service or a separate non-ADA required service that provides same day on-demand through a voucher system implemented by METRO. This voucher service is known as METROLift Subsidy Program (MSP).

METRO operates a network of 115 weekday, 89 Saturday, and 37 Sunday fixed routes. Service is provided weekdays from 3:48a.m. to 2:13a.m. Saturday service is operated from 4:20a.m. to 2:00a.m. Sunday service operates from 4:12a.m. to 2:05a.m. The ADA complementary paratransit service operates from 3:45a.m. to 1:30a.m., seven days a week. The METROLift Subsidy Program (MSP) service is available before and after the hours listed above for those who require late night and early morning service.

The basic adult fare for bus service is \$1.25. A reduced fare of \$0.60 is offered at all times for senior citizens, persons with disabilities, persons with a Medicare card, and students. Children from 5 years to 11 years of age pay \$0.25, and those below 5 years of age ride free. METRO offers a number of pass and token programs with bus passes for express and local services in daily, weekly, monthly and annual options. The fare for the complementary paratransit service is \$1.15. The MSP service is jointly funded by METRO and the passenger. The passenger pays the first \$1 and METRO pays up to the next \$8.00 of the meter fare. The passenger pays any fare amount over \$9.00.

METRO's National Transit Database Report for FY2007 provided the following financial and operating statistics for its fixed-route, paratransit, and rail service:

	<b>Fixed-Route Service</b>	<b>Paratransit Service</b>	<b>Rail Fixed Guideway</b>
Unlinked Passengers	87,773,901	1,442,622	11,377,271
Revenue Hours	3,017,094	786,972	61,981
Operating Expenses	277,716,724	34,157,135	15,049,823

**Over the past three years, METRO completed the following noteworthy projects:**

- METRO Solutions, completion of alternatives analysis/EIS for North and Southeast light rail corridors;
- Southwest Freeway HOV Lane segment V-B, completion of 1.5 mile HOV lane extension;
- Q-Card (Smart Card) completion of totally new farecard system using stored value cards;
- Various bus acquisitions;
- Cypress and Grand Parkway Transit Center and Park and Rides, completion and initiation of service at these facilities;
- Addick Park and Ride, completion of park and ride facility expansion and new two-way access ramp;
- Baytown Park and Ride, the first of its kind supported by an interlocal agreement to provide service outside the geographic service boundaries.

**The following noteworthy projects are ongoing:**

- METRO Solutions, ongoing advanced PE for North and Southeast corridors; ongoing AA/FEIS work for the University corridor;
- Signature Bus, (Quickline) ongoing design and construction to provide bus rapid transit type service on selected routes including improvements to facilities and signalization, special shelters and special buses;
- Bus acquisition, 50 model year 2009 45-foot MCI commuter buses; and,
- Fuqua Park and Ride expansion, construction is ongoing to expand this over-crowded lot on the Gulf Freeway.

**The following are noteworthy projects planned for the next three years:**

- METRO solutions Transit Plan, completion of advanced PE and final design on North and Southeast corridors, initiation of construction on these corridors. Completion of advanced PE and final design, initiation of construction of University Corridor.
- Bus acquisitions, continuation of ongoing bus replacement program with acquisition of approximately 100 buses per year.

#### **IV. RESULTS OF THE REVIEW**

The Triennial Review process normally focuses on compliance in 23 areas. During this review period, FTA conducted indepth Civil Rights reviews of the DBE, Title VI and EEO areas. These three areas were not reviewed during this Triennial Review. The remaining 20 review areas were reviewed for compliance. This section provides a discussion of the basic requirements and findings in each area reviewed. No deficiencies were found with the FTA requirements in 18 of the 20 areas reviewed. Deficiencies were found in the other two areas, Maintenance and ADA. Subsequent to the issuance of the draft report, METRO provided FTA Region VI Office with responses that satisfactorily addressed the ADA deficiency.

##### **1. Legal**

Basic Requirement: The grantee must be eligible and authorized under state and local law to request, receive, and dispense FTA funds and to execute and administer FTA funded projects. The authority to take all necessary action and responsibility on behalf of the grantee must be properly delegated and executed.

Findings: During this Triennial Review of METRO, no deficiencies were found with the FTA requirements for Legal.

##### **2. Financial**

Basic Requirement: The grantee must demonstrate the ability to match and manage FTA grant funds, cover cost increases, cover operating deficits through long-term stable and reliable sources of revenue, maintain and operate federally funded facilities and equipment, and conduct an annual independent organization-wide audit in accordance with the provisions of OMB Circular A-133.

Findings: During this Triennial Review of METRO, no deficiencies were found with the FTA requirements for Financial.

##### **3. Technical**

Basic Requirement: The grantee must be able to implement the Urbanized Area Formula Grant Program of Projects in accordance with the grant application, Master Agreement, and all applicable laws and regulations, using sound management practices.

Findings: During this Triennial Review of METRO, no deficiencies were found with the FTA requirements for Technical.

##### **4. Satisfactory Continuing Control**

Basic Requirement: The grantee must maintain control over real property, facilities, and equipment and ensure that they are used in transit service.

Findings: During this Triennial Review of METRO, no deficiencies were found with the FTA requirements for Satisfactory Continuing Control.

## **5. Maintenance**

Basic Requirement: The grantee must keep federally funded equipment and facilities in good operating order.

Findings: During this Triennial Review of METRO, deficiencies were found with the FTA requirements for Maintenance. An examination of METRO's preventive maintenance records indicated that preventive maintenance inspections at one bus operation facility are not being completed in accordance with standards outlined in METRO's maintenance plan. A review of 35 PMI sample intervals indicated that 17 were not accomplished on-time. This sample resulted in a 52 percent on-time completion. FTA requires that a grantee maintain a minimum on-time completion of 80 percent for PMIs.

Corrective Actions and Schedule: METRO must immediately address the occurrence of late preventive maintenance inspections. At a minimum, METRO must develop a remediation plan that will assure FTA that its capital investment is not being jeopardized. For the next three months, beginning on April 12, 2009, METRO must provide FTA with evidence that it is performing PMIs within FTA's prescribed parameters of 80% on time.

Subsequent to the issuance of the draft report, METRO provided FTA Region VI Office with documentation indicating PMIs are being performed within FTA's acceptable parameters of 80% on-time. This deficiency remains open until FTA receives documentation of on-time performance during the next two months.

## **6. Procurement**

Basic Requirement: FTA grantees will use their own procurement procedures that reflect applicable state and local laws and regulations, provided that the process ensures competitive procurement and that the procedures conform to applicable federal law including 49 CFR Part 18, specifically Section 18.36 and FTA Circular 4220.1E, "Third Party Contracting Requirements." Grantees will maintain a contract administration system that ensures that contractors perform in accordance with terms, conditions, and specifications of their contracts or purchase orders.

Findings: During this Triennial Review of METRO, no deficiencies were found with the FTA requirements for Procurement.

## **7. Disadvantaged Business Enterprise (DBE)**

**Basic Requirement:** The grantee must comply with the policy of DOT that DBEs, as defined in 49 CFR Part 26, are ensured nondiscrimination in the award and administration of DOT-assisted contracts. Grantees also must create a level playing field on which DBEs can compete fairly for DOT-assisted contracts; ensure that only firms that fully meet eligibility standards are permitted to participate as DBEs; help remove barriers to the participation of DBEs; and assist the development of firms that can compete successfully in the marketplace outside the DBE program.

**Findings:** During this Triennial Review of METRO, DBE was not reviewed because METRO underwent a FTA DBE review.

## **8. Buy America**

**Basic Requirement:** Per FTA's "Buy America" requirements, federal funds may not be obligated unless steel, iron, and manufactured products used in FTA funded projects are produced in the United States, unless FTA has granted a waiver, or the product is subject to a general waiver. Rolling stock must have sixty percent domestic content and final assembly must take place in the United States.

**Findings:** During this Triennial Review of METRO, no deficiencies were found with the FTA requirements for Buy America.

## **9. Suspension/Debarment**

**Basic Requirement:** To protect the public interest and prevent fraud, waste, and abuse in federal transactions, persons or entities, which by defined events or behavior, potentially threaten the integrity of federally administered programs, are excluded from participating in FTA assisted programs. Federal agencies use the government-wide nonprocurement debarment and suspension system to exclude from Federal programs persons who are not presently responsible. Grantees are required to ensure to the best of their knowledge and belief that none of the grantee's "principals" (as defined in the governing regulation 2 CFR Part 180), subrecipients, and third-party contractors and subcontractors is debarred, suspended, ineligible, or voluntarily excluded from participation in federally assisted transactions or procurements. Grantees are strongly encouraged to review the Excluded Parties Listing System (<http://www.epls.gov/>) before entering into any third party contracts.

**Findings:** During this Triennial Review of METRO, no deficiencies were found with the FTA requirements for suspension/debarment.



## **10. Lobbying**

**Basic Requirement:** Recipients of federal grants and contracts exceeding \$100,000 must certify compliance with Restrictions on Lobbying before they can receive funds. In addition, grantees are required to impose the lobbying restriction provision on their contractors.

**Findings:** During this Triennial Review of METRO, no deficiencies were found with the FTA requirements for Lobbying.

## **11. Planning/Program of Projects**

**Basic Requirement:** The grantee must participate in the transportation planning process in accordance with FTA requirements, SAFETEA-LU, and the Metropolitan and Statewide Planning Regulations.

Each recipient of a grant shall have complied with the public participation requirements of Section 5307(c)(1) through (7). Each recipient is required to develop, publish, afford an opportunity for a public hearing on, and submit for approval a Program of Projects (POP).

**Findings:** During this Triennial Review of METRO, no deficiencies were found with the FTA requirements for Planning/POP.

## **12. Title VI**

**Basic Requirement:** The grantee must ensure that no person in the United States shall, on the grounds of race, color, or national origin, be excluded from participating in, or denied the benefits of, or be subject to discrimination under any program, or activity receiving federal financial assistance. The grantee must ensure that federally supported transit services and related benefits are distributed in an equitable manner.

**Findings:** During this Triennial Review of METRO, Title VI was not reviewed because METRO underwent a full-scope Title VI review.

## **13. Public Comment Process for Fare Increases and Service Reductions**

**Basic Requirement:** The grantee is expected to have a written copy of a locally developed process to solicit and consider public comment before raising a fare or carrying out a major reduction of transportation services.

**Findings:** During this Triennial Review of METRO, no deficiencies were found with the FTA requirements for Public Comment Process for Fare Increases and Service Reductions.

#### **14. Half Fare**

**Basic Requirement:** Grantees must ensure that elderly persons and persons with disabilities, or an individual presenting a Medicare card will be charged, during non-peak hours for transportation using or involving a facility or equipment of a project financed under Section 5307, not more than 50 percent of the peak hour fare.

**Findings:** During this Triennial Review of METRO, no deficiencies were found with the FTA requirements for Half Fare.

#### **15. ADA**

**Basic Requirement:** Titles II and III of the Americans with Disabilities Act of 1990 provide that no entity shall discriminate against an individual with a disability in connection with the provision of transportation service. The law sets forth specific requirements for vehicle and facility accessibility and the provision of service, including complementary paratransit service.

**Findings:** During this Triennial Review of METRO, deficiencies were found with the FTA requirements for ADA. Currently, METRO's fixed route service times are not the same as its paratransit service times. Fixed route service is provided weekdays from 3:48 a.m. to 2:13 a.m. Saturday service is operated from 4:20a.m. to 2:00a.m. Sunday service operates from 4:12 a.m. to 2:05 a.m. The ADA complementary paratransit service operates from 5:00 a.m. to 11:00 p.m. on weekdays, 7:00 a.m. to midnight on Saturday, and 7:00 a.m. to 11:00 p.m. on Sunday.

METRO indicated that during the hours when METROLift does not operate, but the fixed route service is operating, persons with disabilities can use the METROLift's Subsidy Program for ADA complementary paratransit service.

**Corrective Action and Schedule:** Within 30 days of receipt of the final report, METRO must revise its operating policies to ensure that ADA complementary paratransit service is being provided during the same days and hours as fixed-route services.

Subsequent to the issuance of the draft report, FTA reviewed 49 CFR Part 37, Appendix D (page 468), that stated under Hours and Days of Service, that service during low-demand times need not be by the same paratransit mode as during higher usage periods. For example, if a provider uses its own paratransit vans during high demand periods, it could use a private contractor or user-side subsidy provider during low demand periods. This would presumably be a more efficient way of providing late night service. A call-forwarding device for communication with the auxiliary carrier during these low demand times would be perfectly acceptable, and could reduce administrative costs.

METRO provided FTA Region VI Office with documentation indicating expanded service hours for METROLift service. METRO's website has been updated to include the expanded service hours for METROLift service. The expanded service hours are comparable to

the service hours of METRO's local fixed route service. This deficiency is now considered closed.

If METRO returns to the previous hours of service for the METROLift service, and chooses to use the METROLift Subsidy program for after hours service, METRO must ensure the method of communication with the METROLift Subsidy program provider meets all ADA requirements.

## **16. Charter Bus.**

Basic Requirement: FTA grantees are prohibited from using federally funded equipment and facilities to provide charter service if a registered private charter operator expresses interest in providing the service. The grantees are allowed to operate community based charter services exempted under the regulations; some irregular or limited duration services; and those that are covered by the exceptions.

Findings: During this Triennial Review of METRO, no deficiencies were found with the FTA requirements for Charter Bus.

## **17. School Bus.**

Basic Requirement: FTA grantees are prohibited from providing exclusive school bus service unless it qualifies under specified exceptions. In no case can federally funded equipment or facilities be used.

Findings: During this Triennial Review of METRO, no deficiencies were found with the FTA requirements for School Bus.

## **18. National Transit Database (NTD)**

Basic Requirement: Grantees that receive 5307 and 5311 grant funds must collect, record, and report financial and non-financial data in accordance with the Uniform System of Accounts (USOA) and updated with the National Transit Database (NTD) Reporting Manual as required by 49 USC 5335(a).

Findings: During this Triennial Review of METRO, no deficiencies were found with the FTA requirements for National Transit Database.

## **19. Safety and Security**

Basic Requirement: Any recipient of Urbanized Area Formula Grant Program funds must annually certify that it is spending at least one percent of such funds for transit security projects or that such expenditures for security systems are not necessary.

Under the safety authority provisions of the Federal transit laws, the Secretary has the authority to investigate the operations of the grantee for any conditions that appear to create a serious hazard of death or injury, especially to patrons of the transit service. States are required to oversee the safety of rail fixed guideway systems through a designated oversight agency, per 49 CFR Part 659, Rail Fixed Guideway Systems, State Safety Oversight.

Under security, a list of 17 Security and Emergency Management Action Items has been developed by FTA and the Department of Homeland Security's Transportation Security Administration (TSA). This list of 17 items, an update to the original FTA Top 20 security action items list, was developed in consultation with the public transportation industry through the Mass Transit Sector Coordinating Council, for which the American Public Transportation Association (APTA) serves as Executive Chair. Security and Emergency Management Action Items for Transit Agencies aim to elevate security readiness throughout the public transportation industry by establishing baseline measures that transit agencies should employ.

The goal of FTA's Safety and Security Program is to achieve the highest practical level of safety and security in all modes of transit. To this end, FTA continuously promotes the awareness of safety and security throughout the transit community by establishing programs to collect and disseminate information on safety/security concepts and practices. In addition, FTA develops guidelines that transit systems can apply in the design of their procedures and by which to compare local actions. As such, many of the questions in this review area are designed to determine what efforts grantees have made to develop and implement safety, security, and emergency management plans. While there may not be specific requirements associated with all of the questions, grantees are encouraged to implement the plans, procedures, and programs referenced in these questions. For this reason, findings in this area will most often result in advisory comments rather than deficiencies.

Findings: A summary of METRO's expenditures of Section 5307 funds for security projects is not provided in Section VI of this report. METRO does not utilize 5307 funds for security projects.

During this Triennial Review of METRO, no deficiencies were found with the FTA requirements for Safety and Security.

## **20. Drug-Free Workplace**

Basic Requirement: FTA grantees are required to maintain a drug-free workplace for all employees and to have an ongoing drug-free awareness program.

Findings: During this Triennial Review of METRO, no deficiencies were found with the FTA requirements for Drug-Free Workplace.

## **21. Drug and Alcohol Program**

Basic Requirement: Grantees receiving FTA funds under Capital Grant (Section 5309), Urbanized Area Formula Grant (Section 5307), or Non-Urbanized Area Formula Grant (Section 5311) Programs must have a drug and alcohol testing program in place for all safety-sensitive employees.

Findings: During this Triennial Review of METRO, no deficiencies were found with the FTA requirements for the Drug and Alcohol Program.

## **22. Equal Employment Opportunity (EEO)**

Basic Requirement: The grantee must ensure that no person in the United States shall on the grounds of race, color, religion, national origin, sex, age, or physical or mental disability be excluded from participating in, or denied the benefits of, or be subject to discrimination in employment under any project, program, or activity receiving federal financial assistance from the federal transit laws.

Findings: During this Triennial Review of METRO, EEO was not reviewed because FTA performed an indepth EEO audit.

## **23. ITS Architecture**

Basic Requirement: Intelligent Transportation Systems (ITS) projects funded by the Highway Trust Fund and the Mass Transit Account must conform to the National ITS Architecture, as well as to United States Department of Transportation (USDOT) adopted ITS Standards.

Findings: During this Triennial Review of METRO, no deficiencies were found with the FTA requirements for ITS Architecture.

**V. SUMMARY OF FINDINGS AND CORRECTIVE ACTIONS**

<b>Review Area</b>	<b>Finding</b>	<b>Deficiency</b>	<b>Corrective Action</b>	<b>Response Days/Date</b>	<b>Date Closed</b>
1. Legal	ND				
2. Financial	ND				
3. Technical	ND				
4. Satisfactory Continuing Control	ND				
5. Maintenance	D	04-Late vehicle preventive maintenance	METRO must immediately address the occurrence of late preventive maintenance inspections. At a minimum, METRO must develop a remediation plan that will assure FTA that its capital investment is not being jeopardized. For the next three months, beginning April 12, 2009, METRO must provide FTA with evidence that it is performing PMIs within FTA's prescribed parameters of 80% on time.	Immediately/ April 12, 2009.	
6. Procurement	ND				
7. Disadvantaged Business Enterprise	NR				
8. Buy America	ND				
9. Suspension/Debarment	ND				
10. Lobbying	ND				
11. Planning/POP	ND				
12. Title VI	NR				
13. Public Comment for Fare Increases and Service Reductions	ND				
14. Half Fare	ND				
15. ADA	D	04-ADA complementary service deficiencies	Within 30 days of receipt of the final report, METRO must immediately revise its operating policies to ensure that ADA complementary paratransit service is being provided during the same days and hours as fixed-route services.	30-days/ May 15, 2009	3/24/2009
16. Charter Bus	ND				
17. School Bus	ND				
18. National Transit Database	ND				
19. Safety and Security	ND				
20. Drug-Free Workplace	ND				
21. Drug and Alcohol Program	ND				

<b>Review Area</b>	<b>Finding</b>	<b>Deficiency</b>	<b>Corrective Action</b>	<b>Response Days/Date</b>	<b>Date Closed</b>
22. Equal Employment Opportunity	NR				
23. ITS Architecture	ND				

Findings: ND = No Deficiencies; D = Deficient; AC = Advisory Comment; NA = Not Applicable; NR = Not Reviewed

**VI. TRANSIT SECURITY EXPENDITURES**

Does the grantee expend one percent or more of its Section 5307 Urbanized Area Formula Grant funds for transit security? FY2006: Yes \_\_\_ No X

FY2007: Yes \_\_\_ No X

FY2008: Yes \_\_\_ No X

If no, why does the grantee consider such expenditure unnecessary (check all that apply):

X No deficiency found from a threat and vulnerability assessment

X TSA/FTA Security and Emergency Management Action Items met or exceeded

X Other (please describe): METRO undertakes significant security efforts through their transit police and the expenditures significantly exceed the 1% amount of annual 5307 formula funds.

Security Funding	FTA Section 5307 Funds (in Dollars)		
	FY 2006	FY 2007	FY 2008
Total amount of 5307 Funds expended			
Amount of 5307 Funds expended on security			
Percent of 5307 Funds expended on security	%	%	%
<b>Infrastructure/Capital Improvement Security Projects:</b>			
Lighting, Fencing & Perimeter Control			
CCTV and Surveillance Technology			
Communications Systems			
Security Planning <sup>(a)</sup>			
Drills & Tabletop Exercises <sup>(a)</sup>			
Employee Security Training <sup>(a)</sup>			
Other Security-Related Infrastructure & Capital Improvements (please list): _____			
<b>Operating/Personnel Expenditures (can only be used by agencies in areas with populations UNDER 200,000):</b>			
Contracted Security Force			
In-house Security Force			
Other Security-Related Operating Expenditures (please list): _____			

<sup>(a)</sup> SAFETEA-LU amended the definition of a capital project to include:

- projects to refine and develop security and emergency response plans;
- the conduct of emergency response drills with public transportation agencies and local first response agencies; and
- security training for public transportation employees.



**VII. ATTENDEES**

<b>Name</b>	<b>Title/Organization</b>	<b>Phone Number</b>	<b>e-mail address</b>
<b><i>Grantee</i></b>			
John Sedlak	Executive Vice President	713-739-4600	jsedlak@rideMETRO.org
Louise Richmond	CFO	713-739-4602	Lr15@rideMETRO.org
Edith Lowery	Director/Grant Programs	713-739-6925	Edith.lowery@rideMETRO.org
James Carroll	Deputy Chief Auditor	713-739-4851	Jc32@rideMETRO.org
Susan Sonj	Team Leader, Accounting	713-739-4960	Ss28@rideMETRO.org
Bill McHale	Mgr of Central Accounting	713-739-4937	Wm02@rideMETRO.org
Debbie Sechler	Controller	713-739-4930	Ds17@rideMETRO.org
Scott Grogan	Director, Rail maintenance	713-982-8215	Sg2@rideMETRO.org
Andrew Skabowski	Associate VP Operations	713-615-7238	As33@rideMETRO.org
Michael Southwell	Mgr Procurement/Materials	713-739-4083	Ms22@rideMETRO.org
Mary Groves	Director of Procurement	713-739-4868	Mg01@rideMETRO.org
Paul Como	VP Procurement/Materials	713-739-4803	Pc04@rideMETRO.org
Stanley Jones	Contract Compliance Spec	713-739-4854	Sj01@rideMETRO.org
Gunther Schieb	Manager of Contracts	713-739-3774	Gs01@rideMETRO.org
Michael Kyme	Associate VP Procurement	713-739-8082	Mk15@rideMETRO.org
Felix Vara	Sgt/METRO PD	713-615-6435	Fv43@rideMETRO.org
Dennis Ribeiro	Emergency Mgmt Coord DPS	713-615-6396	Dennis.Ribeiro@rideMETRO.org
Reginald Mason	Chief Safety officer DPS	713-739-4078	Rm01@rideMETRO.org
Thomas Lambert	Sr. VP/Chief of Police	713-615-6409	Thomas.lambert@rideMETRO.org
Tim Kelly	AVP/Ass't Chief of Police	713-615-6401	tkelly@rideMETRO.org
Rhonda Franklin	Manager Property Services	713-615-6176	Rf15@rideMETRO.org
James Blocker	Supervisor Advance Technology	713-615-7262	Jb03@rideMETRO.org
William Peterson	Sr. Management Analyst	713-615-7118	Bp01@rideMETRO.org
Frank Bucalo	Mgr Technical Services	713-615-7240	Fb02@rideMETRO.org
Rhia Miller	Director of Real Estate	713-739-4021	Rhia.miller@rideMETRO.org
Larry Badon	Mgr, Long Range Plan Dev	713-739-6092	Lb08@rideMETRO.org
Karen Kauffman	Manager EEO/OD	713-739-6851	Kk08@rideMETRO.org
Arturo Jackson	Director, Transportation Programs	713-750-4208	Aj02@rideMETRO.org
Thanh-Muhh Pham	Transportation Administrator	713-739-6972	Tp90@rideMETRO.org
Fred Childs	Sr. Project Manager	713-739-6007	Fc02@rideMETRO.org
Lawrence hack	Director	713-739-4822	Lh02@rideMETRO.org
Jacqueline Claybon	Passenger Relations-METROLift	713-750-4223	Jc06@rideMETRO.org
Mary Ann Dendor	ADA Administrator	713-750-4271	Md04@rideMETRO.org
Ninfa Muench	Mgr Contracted Services	713-739-3760	Nm01@rideMETRO.org
Linda Tancek	Mgr Drug & Alcohol	713-739-4050	hr@rideMETRO.org
<b><i>FTA</i></b>			

Cheryle Tyson	General Engineer		Cheryle.tyson@dot.gov
<b><i>Reviewers</i></b>			
Louise Carter	Interactive Elements, Inc	312-303-3011	lpc@ieitransit.com
Laurie Heinze	Interactive Elements, Inc	770-889-0071	lmh@ieitransit.com