



**U.S. Department
of Transportation**

BUDGET ESTIMATES

FISCAL YEAR 2017

FEDERAL TRANSIT ADMINISTRATION

**SUBMITTED FOR THE USE OF
THE COMMITTEES ON APPROPRIATIONS**

**SECTION 1:
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FEDERAL TRANSIT ADMINISTRATION

FY 2017 BUDGET SUBMISSION

Overview

For FY 2017, FTA requests \$19.9 billion, an increase of \$8.1 billion over the FY 2016 enacted level. In 2015, Congress enacted a new five-year surface transportation authorization law – *Fixing America’s Surface Transportation Act* or the FAST Act. The FAST Act provides steady and predictable funding over five years and a renewed focus on reinvesting in and modernizing transit assets to help bring transit systems throughout the country into a state of good repair.

This budget request builds on the successes of the previous authorization-MAP-21, and includes the new features of the FAST Act, while significantly increasing funding above the \$12.2 billion authorized in the FAST Act to support critical *21st Century Clean Transportation Plan Investments* in our nation’s public transportation system. The \$7.6 billion in additional resources above the FAST Act in the President’s *21st Century Clean Transportation Plan Investments* package are needed to fund new transit systems and extensions to existing systems in many communities nationwide that demand them because of population increases and congestion or to address environmental concerns related to climate change.

These funds will also help FTA address our nation’s aging transit infrastructure and the significant rail and bus repair and replacement backlog that will continue to grow unless there is a commitment to higher funding levels at all government levels (Federal, state and local governments). It is important that we make all transit systems more reliable, efficient, desirable, and safer for the tens of millions of travelers who use them daily.

Several trends support the need for increased investment in transit. First, urban populations are growing and are expected to continue to grow. The Census Bureau reports that populations in the Nation’s urban areas have been growing nearly 33 percent faster than the population of the Nation as a whole. While transit is an important component of all transportation networks in all communities, many urban areas lack space for building additional roads and highways. Thus mobility for people to access jobs and services will require additional transit service. Second, Americans are driving fewer miles. An increasing number of Americans under the age of 30 are choosing to go car-free while an aging “Baby Boomer” population is increasingly realizing the need for transportation alternatives. Together, these trends all point towards an increasing demand for high quality public transportation services that get people where they need to go.

Strategic investments in public transportation can help ensure that communities are well-equipped to face these pressures so they can provide ladders of opportunity for all Americans to get to work, school, shopping, and services like medical care without depending on a personal automobile. Also, public transportation investments support larger economic gains for the country. For example, more transit services result in good-paying transit jobs. In fact, the U.S. Department of Labor has identified an increasing demand for trained transit workers.

Transit eases bottlenecks on our nation’s roadways, particularly in cities where traffic congestion has negative consequences -- including increased shipping times and wasted fuel. Furthermore,

supporting transit reduces the nation's risk of falling victim to unpredictable gas prices over the long-term by offering more Americans—urban, suburban, and rural—the choice to be mobile without having to get into a car and pay for gas.

To deliver a safe, reliable, and adequate public transportation system, FTA's budget focuses on key priorities including: improving safety – FTA's highest priority; bringing transit assets into a state of good repair; and building system capacity to meet ridership demand. Together, these investments will help to bolster a transit network that improves mobility for all Americans. For safety, the budget includes \$23 million in formula funding for FTA's State Safety Oversight grant program to aid grantees in meeting new transit safety requirements. Funding is also provided for FTA's Office of Safety and Oversight, which sets policies and standards for FTA's transit safety program and oversees compliance with FTA grant requirements.

The FY 2017 budget request includes \$6.2 billion in State of Good Repair funds, \$3.7 billion above the FAST Act and included in the President's *21st Century Clean Transportation Plan Investments* that will be distributed by formula to transit rail systems, bus rapid transit (BRT) systems, and high-intensity motor bus systems that use high-occupancy vehicle lanes, for maintaining a state of good repair. In addition, the budget provides more than \$2.2 billion for the Bus and Bus Facilities grant program, of which more than \$1.5 billion is included in the President's *21st Century Clean Transportation Plan Investments*. These funds are critical to reducing the 40 percent of bus assets that are in marginal or poor condition. Consistent with the FAST Act, the budget proposes to administer Bus and Bus Facilities funding through both a formula and a discretionary grant program.

The budget requests \$3.5 billion, almost \$1.2 billion above the FAST Act to expand or provide new transit service in many communities across the country through FTA's Capital Investment Grants program. This program funds new and expanded transit services to improve capacity for fixed guideway systems in communities nationwide. During a time when many Americans look for alternatives to driving, FTA's budget request continues important and strategic investments in public transportation infrastructure, coupled with new flexibilities to provide specialized services and corridor improvements in communities with real needs.

In addition, the budget request includes \$525 million under the President's *21st Century Clean Transportation Plan Investments* package to support a new Bus Rapid Transit discretionary grant program directed at fast-growing communities. The Rapid Growth Area Transit Program provides quick access to resources to meet the transit needs of cities across the country experiencing moderate to significant population growth. This program will also allow communities to use Federal Highway formula funds as a part of the local funding match and promote a multi-modal transportation solution.

The following is an overview of key priorities in FTA's FY 2017 budget organized by goal in the Department's strategic plan.

SAFETY: *Improve public health and safety by reducing transportation-related fatalities and injuries.*

For decades, FTA had been prohibited by law from overseeing the safety of our Nation's transit systems. That changed when landmark legislation, Moving Ahead for Progress in the 21st Century or MAP-21, signed into law by the President on July 6, 2012, made nationwide transit safety standards a reality for the first time and gave FTA a role in helping to ensure the safe operations of transit systems across the country. The FAST Act builds on the efforts of MAP-21 to keep a safe mode of travel safer.

As a result of these major changes, FTA produced new guidelines on bus safety and state of good repair, strengthened the ability of state safety oversight authorities to ensure the safety of rail systems, published safety directives to address transit worker safety and the potential for incidents of smoke in subway tunnels. More can and is being done.

To support the Safety goal, FTA's request includes a total of \$385 million. This request includes \$23 million to provide operational support for State Safety Oversight programs and \$199 million to finance the installation of positive train control systems (PTC) to help prevent rail accidents. In addition, the budget continues \$150 million in funding to address the capital needs of the Washington Metropolitan Area Transit Authority (WMATA) with a priority on safety improvements. Since FY 2010, Congress has directed that FTA prioritize funding to first address the immediate safety shortfalls identified by the National Transportation Safety Board (NTSB), which were issued in response to WMATA's July 2009 deadly rail crash. As Secretary Fox announced recently, FTA established a team within its Office of Transit Safety and Oversight to manage FTA's safety leadership of State Safety Oversight work related to WMATA Metrorail. While WMATA is responsible for the safety of its own operations and system, FTA will take every step to ensure that WMATA is taking appropriate actions and using Federal funds toward that end.

STATE OF GOOD REPAIR: *Ensure the U.S. proactively maintains its critical transportation infrastructure in a state of good repair.*

Returning transportation assets to a state of good repair is a strategic goal for the Department of Transportation and a high-priority for FTA. Well-designed infrastructure investments have long-term economic benefits, but those benefits are not being fully realized because of years of under-investment in maintaining and recapitalizing our public transportation system. This is evident in the Department's Conditions & Performance Report to Congress, which found an \$86 billion backlog of bus and rail transit assets that need to be repaired or replaced, and which continues to grow by \$2.5 billion per year.

To support the State of Good Repair goal, FTA's request includes a total of almost \$6.6 billion, including almost \$3.7 billion above the FAST Act from the President's 21st Century Clean Transportation Plan Investments package for State of Good Repair Formula Grants. This program is focused on restoring and replacing aging transportation infrastructure primarily through formula-based capital investments for fixed guideway systems, buses on high-occupancy vehicle lanes, and other bus systems. .

To ensure that investments are made wisely and improve asset conditions, transit agencies will be required to have a Transit Asset Management plan that tracks projects funded with State of

Good Repair Grants. These plans will aid in the management and reporting of the condition of capital assets, as well as enable FTA and grantees to make evidence-based investment decisions. Strategic and targeted investments focused on replacing and rehabilitating aging transit infrastructure are needed to help bring our Nation's bus and rail systems into a state of good repair. Having newer and more reliable track, signal systems, vehicles and stations will help ensure safe and dependable bus and rail transit service demanded by the American public.

ENVIRONMENTAL SUSTAINABILITY: *Advance environmentally sustainable policies and investments that reduce carbon and other harmful emissions from transportation sources.*

From a transportation emissions and fuel consumption standpoint, transit sets the standard among transportation modes for environmental sustainability. For this reason, FTA strives to find ways to encourage the public to take transit as well as to make transit systems themselves more energy efficient. For FY 2017, FTA proposes almost \$1.6 billion for the Environmental Sustainability goal, of which \$1.5 billion above the FAST Act is provided in the President's 21ST Century Clean Transportation Plan to support our Nation's bus system and bus facilities. New technologies developed over the past decade have made buses cleaner and more energy efficient. Hybrid electric and fuel cell buses are more common on America's streets and many communities with poor air quality rely on buses with these technologies. In addition, the budget includes \$55 million authorized by the FAST Act for *Low and No Emission Grants*. This program provides competitive grants for bus and bus facility projects that meet the low and no emission definition.

ECONOMIC COMPETITIVENESS: *Expanded opportunities for businesses in the transportation sector.*

Mobility is important to ensuring the economic competitiveness of the nation. Enhanced mobility helps ensure the effective and efficient transportation of both people and goods. Public transportation supports mobility both in the nation's cities and rural areas by providing transportation options to a broad range of individuals. Transit provides mobility for people to get to work, medical appointments, school, and retail areas while minimizing the use of personal automobiles.

To support and enhance mobility, FTA's request includes a total of \$10.9 billion. First, the President's 21st Century Clean Transportation Plan Investments package includes \$525 million for a new Rapid Growth Area Transit Program. This program will support the development of bus rapid transit projects, which may include acquisition of right-of-way or land for purposes of future enhancements to public transportation in the project corridor in communities that are experiencing fast growth which can help the economy but also strains existing infrastructure and can increase air pollution.

The budget also includes \$3.5 billion for Capital Investment Grants -- an increase of \$1.3 billion above the FY 2016 enacted level. The request will enable FTA to continue to partner with project sponsors around the nation who are undertaking major new projects or extensions to existing projects to expand their transit services. Included in the total is funding for projects that improve the capacity of existing fixed guideway transit services in corridors that are currently

over capacity and in need of expansion.

The request provides \$5.1 billion for Urbanized Area Formula grants, of which \$450 million is included in the President's 21st Century Clean Transportation Plan Investments package and \$632 million for the Rural Area Formula program. Both programs provide flexibility for grantees to use funding for job access and reverse commute activities. In addition, \$268 million is provided under this goal for the Enhanced Mobility of Seniors and Individuals with Disabilities program and a related \$3 million pilot program. Funding is also provided under this goal for the Bus and Bus Facilities program and the Growing States and High Density States program.

QUALITY OF LIFE IN COMMUNITIES: *Foster livable communities through place-based policies and investments that increase transportation choices and access to transportation services.*

To support the Quality of Life in Communities goal, FTA's request includes a total of \$362 million. This amount includes \$143 million for transportation investment planning by Metropolitan Planning Organizations (MPOs) and States and for transit oriented development. The budget also includes almost \$219 million under this goal for research, technical assistance and workforce development, of which \$205 million is funded under new Ladders of Opportunity programs through the President's 21st Century Clean Transportation Plan Investments and include:

- \$100 million to establish a *Transit-Oriented Development (TOD) Partnership Fund* to help finance station area improvements and the development of affordable housing and other vital community services near transit lines.
- A \$50 million *Rides to Wellness* discretionary grant program that would deploy successful Healthcare Access Challenge Projects nationwide in communities that are ready.
- *Ensuring Equal Access Using Multi-Tiered Transit Fare Payment Systems* – a \$25 million pilot transit fare pricing program to increase equal access and mobility for low-income transit riders.
- \$20 million for workforce development and technical assistance programs for the transit industry, including targeting outreach efforts to increase minority and female employment and training and assistance for minority business owners.
- \$10 million for *Integrated National Transportation Payment System* technology to transform and unify fare collection and payment systems across transportation modes throughout the U.S.

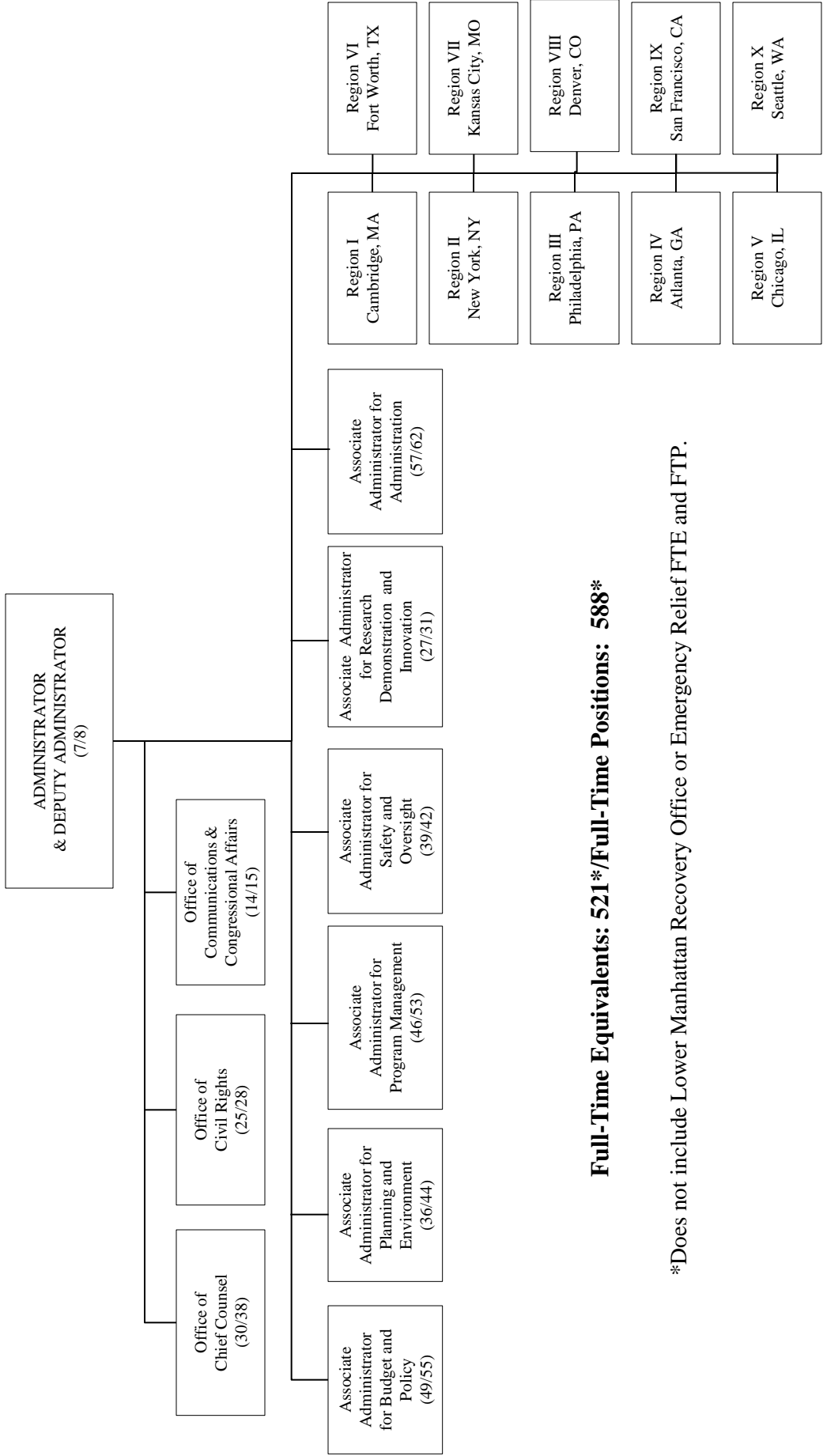
ORGANIZATIONAL EXCELLENCE: *Develop a diverse and collaborative workforce that will enable the Department to advance a transportation system that serves the Nation's long-term social, economic, security, and environmental needs.*

The FY 2017 budget request includes \$115 million for administrative expenses, a \$7 million increase over the FY 2016 enacted level. This increase acknowledges the need for effective administration of FTA's grant programs and the more than \$75 billion of active grants so that we

can best support improved mobility across the nation. It also recognizes the challenges of not having adequate resources to implement new transit safety requirements to keep a safe mode of travel safer and to manage an ever-growing pipeline of Capital Investment Grant projects. The budget proposes to fund FTA's Administrative Expenses from the Mass Transit Account of the Transportation Trust Fund instead of the General Fund.

FEDERAL TRANSIT ADMINISTRATION

FY 2016 Administrative Organizational Chart with FTE and Full-Time Positions



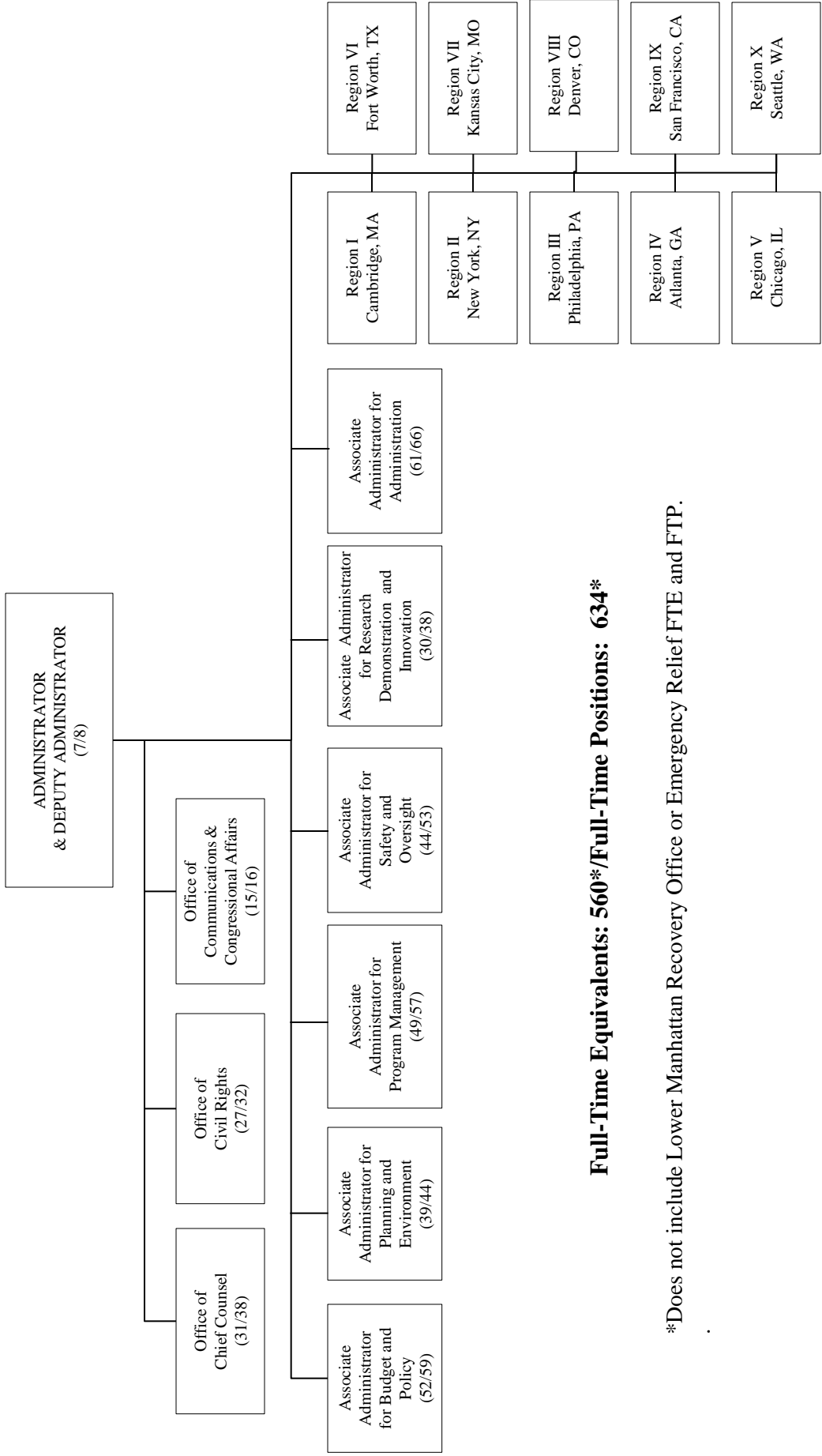
Full-Time Equivalents: 521*/Full-Time Positions: 588*

*Does not include Lower Manhattan Recovery Office or Emergency Relief FTE and FTP.

Regional Total
(191/212)

FEDERAL TRANSIT ADMINISTRATION

FY 2017 Administrative Organizational Chart with FTE and Full-Time Positions



Full-Time Equivalents: 560*/Full-Time Positions: 634*

*Does not include Lower Manhattan Recovery Office or Emergency Relief FTE and FTP.

Regional Total
(205 / 223)

SECTION 2:
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EXHIBIT II-1
FEDERAL TRANSIT ADMINISTRATION
FY 2017 COMPARATIVE STATEMENT OF NEW BUDGET AUTHORITY
(\$000)

ACCOUNTS	FY 2015 ACTUAL	FY 2016 ENACTED	FY 2017 REQUEST 1/
1. Transit Formula Grants (TF)	8,595,000	9,347,605	9,733,706
FHWA Flex Funding -- Net	1,429,885	1,300,000	1,300,000
Total, Transit Formula Grants (Obligation Limitation)	10,024,885	10,647,605	11,033,706
<i>(Liquidation of Contract Authority)</i>	9,500,000	10,400,000	10,800,000
2. Capital Investment Grants (TF) (Obligation Limitation) 2/	2,120,000	2,177,000	3,500,000
<i>(Liquidation of Contract Authority)</i>	-	-	3,500,000
3. Transit Research and Training (GF) 3/	33,000	-	-
Technical Assistance and Standards Development	4,500	-	-
Subtotal, Transit Research and Training	37,500	-	-
4. Washington Metropolitan Area Transit Authority (GF)	150,000	150,000	150,000
5. Administrative Expenses (TF) (Obligation Limitation)	105,933	108,000	115,017
<i>(Liquidation of Contract Authority)</i>	-	-	115,017
SUBTOTAL (Without FHWA Flex Funding)	11,008,433	11,782,605	13,498,723
21st Century Clean Transportation Plan Investments 4/			
6. Rapid Growth Area Transit (TF) (Obligation Limitation)	-	-	525,000
<i>(Liquidation of Contract Authority)</i>	-	-	525,000
7. Transit Formula Grants (TF) (Obligation Limitation)	-	-	5,860,000
<i>(Liquidation of Contract Authority)</i>	-	-	5,860,000
Urbanized Area Formula Grants [non-add]			[450,626]
State of Good Repair Grants [non-add]			[3,687,830]
Bus and Bus Facilities Grants [non-add]			[1,517,544]
Ladders of Opportunity initiatives [non-add]			[205,000]
GRAND TOTAL (With FHWA Flex Funding)	12,438,318	13,082,605	21,183,723

1/ In the FY 2017 Request, except for WMATA, the Administration proposes to reclassify all surface transportation budget authority and outlays as mandatory, and to also move a number of current General Funded (GF) programs into the Trust Fund. FY 2016 and prior, traditionally Transportation Trust Funded accounts have discretionary outlays.

2/ In the FY 2016 Enacted Budget, \$25.4 million of prior year unobligated balances were rescinded of which \$24.2 million was derived from the CIG account and \$1.2 million from the previously appealed JARC account.

3/ \$37.5 million was appropriated for two accounts: Transit Research (\$30 million for Section 5312 and \$3 million for Section 5313) and Technical Assistance and Training (\$ 0.5 million for Section 5322 and \$4 million for Section 5314). No funding was appropriated in the FY 2016 Omnibus and the FY 2017 Budget reclassifies all budget authority and outlays as mandatory. Funding is included under the Transit Formula Grants account (\$28 million for Public Transportation Innovation (new name for Section 5312) and \$9 million for Technical Assistance and Workforce Development (new name for Section 5314) for both FY 2016 and FY 2017.

4/ Represents the FTA's portion of the Administration's 21st Century Clean Transportation Plan Investments.

EXHIBIT II-2

**FEDERAL TRANSIT ADMINISTRATION
FY 2017 TOTAL BUDGETARY RESOURCES BY APPROPRIATION ACCOUNT
Appropriations, Obligation Limitations, and Exempt Organizations
(\$000)**

<u>ACCOUNTS</u>	<u>FY 2015 ACTUAL</u>	<u>FY 2016 ENACTED</u>	<u>FY 2017 REQUEST 1/</u>
1. Transit Formula Grants (TF) (Obligation Limitation)	10,024,885	10,647,605	11,033,706
FTA Transit Formula Grants	8,595,000	9,347,605	9,733,706
FHWA Flex Funding -- Net	1,429,885	1,300,000	1,300,000
2. Capital Investment Grants (TF) 2/	2,120,000	2,177,000	3,500,000
3. Transit Research and Training (GF) 3/	37,500	-	-
4. Washington Metropolitan Area Transit Authority (GF)	150,000	150,000	150,000
5. Administrative Expenses (TF)	105,933	108,000	115,017
SUBTOTAL	12,438,318	13,082,605	14,798,723
21st Century Clean Transportation Plan Investments 4/			
6. Rapid Growth Area Transit (TF)	-	-	525,000
7. Transit Formula Grants (TF)	-	-	5,860,000
<i>Urbanized Area Formula Grants [non-add]</i>			[450,626]
<i>State of Good Repair Grants [non-add]</i>			[3,687,830]
<i>Bus and Bus Facilities Grants [non-add]</i>			[1,517,544]
<i>Ladders of Opportunity initiatives [non-add]</i>			[205,000]
TOTAL	12,438,318	13,082,605	21,183,723

1/ In the FY 2017 Request, except for WMATA, the Administration proposes to reclassify all surface transportation budget authority and outlays as mandatory, and to also move a number of current General Funded (GF) programs into the Trust Fund. FY 2016 and prior, traditionally Transportation Trust Funded accounts have discretionary outlays.

2/ In the FY 2016 Enacted Budget, \$25.4 million of prior year unobligated balances were rescinded of which \$24.2 million was derived from the CIG account and \$1.2 million from the previously appealed JARC account.

3/ \$37.5 million was appropriated for two accounts: Transit Research (\$30 million for Section 5312 and \$3 million for Section 5313) and Technical Assistance and Training (\$ 0.5 million for Section 5322 and \$4 million for Section 5314). No funding was appropriated in the FY 2016 Omnibus and the FY 2017 Budget reclassifies all budget authority and outlays as mandatory. Funding is included under the Transit Formula Grants account (\$28 million for Public Transportation Innovation (new name for Section 5312) and \$9 million for Technical Assistance and Workforce Development (new name for Section 5314) for both FY 2016 and FY 2017.

4/ Represents the FTA's portion of the Administration's 21st Century Clean Transportation Plan Investments.

EXHIBIT II-3

**FY 2017 BUDGET REQUEST BY DOT STRATEGIC AND ORGANIZATIONAL GOALS
FEDERAL TRANSIT ADMINISTRATION
(\$000)**

	Safety	Environmental Sustainability	State of Good Repair Infrastructure	Economic Competitiveness	Quality of Life in Communities	Organizational Excellence	Total
ACCOUNT/ PROGRAM							
Formula Grants	235,248	58,500	2,893,248	6,389,511	157,199	-	9,733,706
Urbanized Area Formula	23,148			4,606,536			4,629,684
Transit Oriented Development					10,000		10,000
Planning Programs					133,399		133,399
Enhance Mobility of Seniors and Individuals with Disabilities				268,208			268,208
Pilot Program for Enhanced Mobility				3,000			3,000
Formula Grants for Rural Areas				632,355			632,355
Public Transportation Innovation	9,100	3,000	9,100		6,800		28,000
Technical Assistance and Workforce Development	2,000				7,000		9,000
Growing States and High Density States				544,434			544,434
National Transit Database	1,000		1,000	2,000			4,000
Bus Testing Facility	1,000	500	1,000	500			3,000
Bus and Bus Facilities Formula Grants		55,000	332,478	332,478			719,956
State of Good Repair Grants			2,549,670				2,549,670
Positive Train Control	199,000						199,000
Administrative Expenses						115,017	115,017
Capital Investment Grants				3,500,000			3,500,000
WMATA	150,000						150,000
Subtotal	385,248	58,500	2,893,248	9,889,511	157,199	115,017	13,498,723
21st Century Clean Transportation Plan Investments							
Urbanized Area Formula Grants				450,626			450,626
State of Good Repair Grants			3,687,830				3,687,830
Bus and Bus Facilities Grants		1,517,544					1,517,544
Ladders of Opportunity initiatives					205,000		205,000
Rapid Growth Area Transit				525,000			525,000
Subtotal	-	1,517,544	3,687,830	975,626	205,000	-	6,386,000
Total	385,248	1,576,044	6,581,078	10,865,137	362,199	115,017	19,884,723

Excludes Flex funding.

EXHIBIT II-3a

**FY 2017 BUDGET REQUEST BY DOT STRATEGIC AND ORGANIZATIONAL GOALS
FEDERAL TRANSIT ADMINISTRATION
(\$000)**

DOT Outcome	Program	SUBTOTAL (Without FHWA Flex Funding)	21st Century Clean Transportation Plan Investments	TOTAL (Without FHWA Flex Funding)
SAFETY				
Improve the safety of the transportation system for all users.	Transit Formula Grants	235,248		235,248
Improve the safety of the transportation system for all users.	WMATA	150,000		150,000
ENVIRONMENTAL SUSTAINABILITY				
Reduced carbon/emissions and dependence on fossil fuels and improved energy efficiency	Transit Formula Grants	58,500	1,517,544	1,576,044
STATE OF GOOD REPAIR				
Maintain or improve the availability, reliability, and performance of the Nation's transportation infrastructure.	Transit Formula Grants	2,893,248	3,687,830	6,581,078
ECONOMIC COMPETITIVENESS				
Improve the contribution of the transportation system to the Nation's productivity and economic growth.	Transit Formula Grants	6,389,511	975,626	7,365,137
Improve the contribution of the transportation system to the Nation's productivity and economic growth.	Capital Investment Grants	3,500,000		3,500,000
QUALITY OF LIFE IN COMMUNITIES				
Ensure federal transportation investments benefit all users by emphasizing greater public equity and accessibility.	Transit Formula Grants	157,199	205,000	362,199
ORGANIZATIONAL EXCELLENCE				
A diverse and collaborative workforce that will able the Department to advance a transportation system that serves the Nation's long-term social, economic, security and environmental needs.	Administrative Expenses	115,017		115,017
TOTAL		13,498,722	6,386,000	19,884,723

EXHIBIT II-4

**FEDERAL TRANSIT ADMINISTRATION
FY 2017 Budget Authority
(\$000)**

Name	U.S.C. 49 Chapter 53 Section	M/D	FY 2015 ACTUAL	FY 2016 ENACTED	FY 2017 REQUEST 1/
Transit Formula Grants (Contract Authority)		M	10,024,885	10,647,605	11,033,706
Transit Oriented Development (discretionary pilot)	2005(b)		10,000	10,000	10,000
Planning Programs	5305		128,800	130,732	133,399
Urbanized Area Formula Grants	5307		4,458,650	4,538,906	4,629,684
Enhanced Mobility of Seniors and Individuals with Disabilities	5310		258,300	262,949	268,208
Pilot Program for Enhanced Mobility	3006 (b)		-	2,000	3,000
Formula Grants for Rural Areas	5311		607,800	619,956	632,355
Public Transportation Innovation 2/	5312		-	28,000	28,000
Technical Assistance and Workforce Development 3/	5314		-	9,000	9,000
Bus Testing Facilities	5318		3,000	3,000	3,000
National Transit Institute 4/	5322(d)		5,000	-	-
National Transit Database	5335		3,850	4,000	4,000
State of Good Repair Grants	5337		2,165,900	2,507,000	2,549,670
Bus and Bus Facilities Grants	5339		427,800	695,800	719,956
Growing States and High Density States	5340		525,900	536,262	544,434
Positive Train Control			-	-	199,000
FHWA Flex Funding -- Net			1,429,885	1,300,000	1,300,000
Capital Investment Grants (TF)	5309	M	2,120,000	2,177,000	3,500,000
Transit Research and Training (GF) 5/	5312-14, 5322	D	37,500	-	-
Washington Metropolitan Area Transit Authority (GF)	601, Division B, P.L. 110-432	D	150,000	150,000	150,000
Administrative Expenses (TF)	5334, 5329, 5326	M	105,933	108,000	115,017
Job Access and Reverse Commute (Unobligated Balance Rescission)			-	(1,227)	-
Capital Investment Grants (Unobligated Balance Rescission)			(121,546)	(24,171)	-
SUBTOTAL			12,316,772	13,057,207	14,798,723
[Mandatory]			10,024,885	10,647,605	14,648,723
[Discretionary]			2,291,887	2,409,602	150,000
21st Century Clean Transportation Plan Investments 6/					
Rapid Growth Area Transit		M	-	-	525,000
Transit Formula Grants		M	-	-	5,860,000
<i>Urbanized Area Formula Grants [non-add]</i>					[450,626]
<i>State of Good Repair Grants [non-add]</i>					[3,687,830]
<i>Bus and Bus Facilities Grants [non-add]</i>					[1,517,544]
<i>Ladders of Opportunity initiatives [non-add]</i>					[205,000]
TOTAL			12,316,772	13,057,207	21,183,723
[Mandatory]			10,024,885	10,647,605	21,033,723
[Discretionary]			2,291,887	2,409,602	150,000

1/ In the FY 2017 Request, except for WMATA, the Administration proposes to reclassify all surface transportation budget authority and outlays as mandatory, and to also move a number of current General Funded (GF) programs into the Trust Fund. FY 2016 and prior, traditionally Transportation Trust Funded accounts have discretionary outlays.

2/ In FY 2016 and FY 2017, Public Transportation Innovation (also known as Transit Research Section 5312) is derived from the Transportation Trust fund under the Transit Formula Grants account.

3/ In FY 2016 and FY 2017, Technical Assistance and Workforce Development (also known as Technical Assistance and Standards Development Section 5314) is derived from the Transportation Trust fund under the Transit Formula Grants account.

4/ In FY 2016 and FY 2017, the National Transit Institute Section 5322(d) is repealed, however it is included within the Technical Assistance and Workforce Development program for \$5 million.

5/ \$37.5 million was appropriated for two accounts: Transit Research (\$30 million for Section 5312 & \$3 million for Section 5313) and Technical Assistance and Training (\$0.5 million for Section 5322 and \$4 million for Section 5314). No funding was appropriated in the FY 2016 Omnibus and the FY 2017 Budget reclassifies all budget authority and outlays as mandatory. Funding is included under the Transit Formula Grants account (\$28 million for Public Transportation Innovation (new name for Section 5312 & 5313) and \$9 million for Technical Assistance and Workforce Development (new name for Section 5314) for both FY 2016 and FY 2017.

6/ Represents the FTA portion of the Administration's 21st Century Transportation Investments.

EXHIBIT II-5

**FEDERAL TRANSIT ADMINISTRATION
FY 2017 OUTLAYS
(\$000)**

APPROPRIATIONS TITLE	FY 2015 ACTUAL	FY 2016 ENACTED	FY 2017 REQUEST
Transit Formula Grants (TF)	8,863,115	9,017,000	9,661,000
Capital Investment Grants (GF) Rebased 1/	2,239,409	1,780,000	1,329,000
Transit Research (GF)	17,148	30,000	44,000
Technical Assistance and Standards Development (GF)	1,856	3,822	3,822
Administrative Expenses (GF) Rebased 1/	105,611	110,000	5,000
Public Transportation Emergency Relief Program (GF)	363,786	500,000	700,000
Washington Metropolitan Area Transit Authority (GF)	97,921	184,000	154,000
Grants for Energy Efficiency and Greenhouse Gas Reduction (GF)	13,568	47,506	-
Transit Capital Assistance, Recovery Act (GF)	142,404	4,000	-
Fixed Guideway Infrastructure Investment, Recovery Act (GF)	14,429	-	-
Job Access and Reverse Commute (GF)	1,458	3,723	-
Formula Grants (GF)	42,735	128,000	-
Discretionary Grants (TF)	4,871	6,029	-
Capital Investment Grants (TF)	-	-	1,015,000
Administrative Expenses (TF)	-	-	104,000
21st Century Clean Transp. Plan Invest. - Transit Formula Grants (TF)	-	-	1,113,000
21st Century Clean Transp. Plan Invest. - Rapid Growth Area Transit Prog. (TF)	-	-	79,000
SUBTOTAL OUTLAYS	11,908,311	11,814,080	14,207,822

LIQUIDATING CASH APPROPRIATIONS

Capital Investment Grants	3,500,000
Administrative Expenses	115,017

1\FY 2015 budget for Capital Investment Grants and Administrative Expenses rebases outlays from discretionary to mandatory. Funding and spending from these accounts are being proposed as mandatory due to the Transportation Trust Fund (TTF) and subject to PAYGO. Outlays derived from contract authority, prior obligations of the Highway Trust Fund, baseline discretionary budget authority and outlays of programs merged into the TTF are now classified as mandatory and subject to PAYGO in all years. Additionally, 2016 enacted and 2017 estimated discretionary budget authority and outlays for programs merged into the TTF are also reclassified as mandatory for comparability purposes.

EXHIBIT II-6
SUMMARY OF REQUESTED FUNDING CHANGES FROM BASE
FEDERAL TRANSIT ADMINISTRATION
Appropriations, Obligation Limitations, and Exempt Obligations
ADMINISTRATIVE EXPENSES

	FY 2015 Actual	FY 2016 Enacted	Annualization of 2016 Pay Raises	Annualization of 2016 FTE	2017 Pay Raises	Baseline Changes			FY 2017 Baseline Estimate	Program Increases/ Decreases	FY 2017 Request
						WCF Increase/ Decrease	GSA Rent	Inflation/ Deflation			
PERSONNEL RESOURCES (FTE)											
Direct FTE	512	521			1.6%			521	39	560	
FINANCIAL RESOURCES											
ADMINISTRATIVE EXPENSES											
Salaries and Benefits	74,489	75,065	265		880			76,201	5,077	81,278	
Travel	1,714	1,800						1,818	34	1,852	
Transportation	100	102						102	-	102	
GSA Rent	7,355	8,049				89		8,138	188	8,326	
Communications, & Utilities	104	111						112	10	122	
Printing	130	130						131	(1)	130	
Other Services:	8,000	8,661						8,856	255	9,111	
-WCF	2,651	2,737						2,737	(96)	2,641	
-Contracts	5,349	5,924						6,119	351	6,470	
Supplies	226	300						303	47	350	
Equipment	130	150						152	24	175	
Admin Subtotal	92,248	94,368	\$265	\$0	\$880	\$89	\$195	95,813	5,633	101,446	
INFORMATION TECHNOLOGY INVESTMENTS											
Communications & Utilities	385	510						515	39	554	
Other Services	7,031	6,530						6,595	(34)	6,561	
Other Services WCF	5,900	6,092					201	6,293	(414)	5,879	
Equipment	370	500						505	71	576	
Programs Subtotal	13,685	13,632	-	-	-	-	201	13,908	(338)	13,570	
TOTAL	\$105,933	\$108,000	\$265	\$0	\$880	\$89	\$397	\$109,721	\$5,295	\$115,017	

EXHIBIT II-7
WORKING CAPITAL FUND
FEDERAL TRANSIT ADMINISTRATION
(\$000)

	FY 2015 ACTUAL	FY 2016 ENACTED	FY 2017 REQUEST	CHANGE
DIRECT:				
Administrative Expenses	\$ 8,551	\$ 8,829	\$ 8,520	\$ (309)
TOTAL	<u>\$ 8,551</u>	<u>\$ 8,829</u>	<u>\$ 8,520</u>	<u>\$ (309)</u>

**EXHIBIT II-8
 FEDERAL TRANSIT ADMINISTRATION
 PERSONNEL RESOURCE -- SUMMARY
 TOTAL FULL-TIME EQUIVALENTS**

	FY 2015 ACTUAL	FY 2016 ENACTED	FY 2017 REQUEST
<u>DIRECT FUNDED BY APPROPRIATION</u>			
Administrative Expenses	512	521	560
Capital Investment Grants - Lower Manhattan Recovery Office	4	4	4
Public Transportation Emergency Relief	33	35	40
Transit Formula Grants	0	20	7
TOTAL FTEs	549	580	611

EXHIBIT II-9
FEDERAL TRANSIT ADMINISTRATION
RESOURCE SUMMARY – STAFFING
FULL-TIME PERMANENT POSITIONS

	FY 2015 ACTUAL	FY 2016 ENACTED	FY 2017 REQUEST
<u>DIRECT FUNDED BY APPROPRIATION</u>			
Administrative Expenses	525	643	665
Capital Investment Grants -			
Lower Manhattan Recovery Office	4	4	4
Public Transportation Emergency Relief	40	40	40
Transit Formula Grants	0	25	10
TOTAL POSITIONS	569	712	719

**SECTION 3:
BUDGET REQUEST
BY
APPROPRIATION
TAB**

**TRANSIT
FORMULA GRANTS
TAB**

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Transit Formula Grants (TFG) Detailed Justification

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TRANSIT FORMULA GRANTS

(LIQUIDATION OF CONTRACT AUTHORIZATION)

(LIMITATION ON OBLIGATIONS)

(HIGHWAY TRUST FUND)

For payment of obligations incurred in the Federal Public Transportation Assistance Program in this account, and for payment of obligations incurred in carrying out the provisions of 49 U.S.C. 5305, 5307, 5310, 5311, 5312, 5314, 5318, 5329(e)(6), 5335, 5337, 5339, and 5340, as amended by the Fixing America's Surface Transportation Act, and section 20005(b) of Public Law 112–141, and section 3006(b) *and* 3028 of the [Fixing America's Surface Transportation Act]Federal Public Transportation Act of 2015, [\$10,400,000,000]*\$10,800,000,000*, to be derived from the Mass Transit Account of the Highway Trust Fund and to remain available until expended: Provided, That funds available for the implementation or execution of programs authorized under 49 U.S.C. 5305, 5307, 5310, 5311, 5312, 5314, 5318, 5329(e)(6), 5335, 5337, 5339, and 5340, as amended by the Fixing America's Surface Transportation Act, and section 20005(b) of Public Law 112–141, and section 3006(b) of the Fixing America's Surface Transportation Act, shall not exceed total obligations of [\$9,347,604,639] *\$9,733,706,043*, in fiscal year [2016]*2017*. (*Department of Transportation Appropriations Act, 2016.*)

TRANSIT FORMULA GRANTS

PROGRAM AND PERFORMANCE

FTA's 2017 budget request builds upon the successes of the previous authorization, MAP-21, which provided two years of stable funding for transit programs. In 2015 Congress enacted a new five year surface transportation authorization law— *Fixing America's Surface Transportation Act* or the FAST Act. The FAST Act provides steady and predictable funding for five years and a renewed focus on reinvesting in and modernizing transit assets to help bring transit systems throughout the country into a state of good repair. The account structure under the FAST Act is generally comparable to FTA's structure under MAP-21, except where Congress consolidated programs in other accounts and moved them into this account. The Budget proposes to fund the Mass Transit Account from a new Transportation Trust Fund.

Transit Formula Grants funds can be used for transit capital purposes including bus and rail car purchases, facility repair and construction, as well as maintenance, and where eligible, planning and operating expenses. These funds help existing transit systems provide safe and reliable transportation options, and promote economically vibrant communities. The 2017 Budget request includes \$9.734 billion for Transit Formula Grants as authorized under the FAST Act. The 2017 core formula grant program structure includes:

Urbanized Area Formula.—\$4.630 billion. For formula grants to urbanized areas with populations of 50,000 or more. Generally, funds may be used for any transit capital purpose. Operating assistance is an eligible expense for all urban areas under 200,000 in population; and, in certain circumstances, operating costs may be eligible in urban areas with populations over 200,000. Additionally, Urbanized Area grants may be used to support job access and reverse commute activities.

State Safety Oversight Program.—\$23 million. Each State with rail systems not regulated by the Federal Railroad Administration (FRA) will meet requirements for a State Safety Oversight (SSO) program. To aid grantees in meeting new requirements, funding is provided by a formula developed by FTA based on revenue miles, route miles, and passenger miles. The maximum Federal share for these grants is 80 percent.

State of Good Repair Grants.—\$2.550 billion. For a formula-based capital maintenance program to restore and replace aging transportation infrastructure through reinvestment in existing rail fixed guideway systems and high-intensity motorbus systems.

Rural Area Formula.—\$632 million. Formula grants for capital, planning and operating assistance to States and Federally recognized Indian tribes to support public transportation in rural areas with populations less than 50,000. Funding may also be used to support intercity bus service and job access and reverse commute projects. Within this amount, \$30 million in formula funds and \$5 million in discretionary grants support the Public Transportation on Indian Reservations program, and \$20 million supports the Appalachian Development Public Transportation Assistance Program.

Growing States and High Density States.—\$544 million. Funds are allocated between the Urban and Rural Area programs based on the legislative funding formula for this program.

Enhanced Mobility of Seniors and Individuals with Disabilities.—\$268 million. Supports local governments and public and private transportation providers that serve the special transportation needs of these specific transit-dependent populations beyond traditional public transportation services, including complementary paratransit service.

Bus and Bus Facilities Grants.—\$720 million. For formula funding (\$436 million) and discretionary funding (\$229 million) to replace, rehabilitate, and purchase buses and related equipment, and to construct bus-related facilities. An additional \$55 million in funding also supports competitive grants for low and zero emission bus and bus facilities.

Bus Testing Facility.—\$3 million. Funding supports a facility where all new bus models purchased using FTA capital assistance are tested for compliance with performance standards for safety, structural integrity, reliability, performance (including braking performance) maintainability, emissions, noise and fuel economy. FTA must develop a Pass/Fail rating system for buses.

Planning Programs.—\$133 million. Funding supports cooperative, continuous, and comprehensive transportation infrastructure investment planning. The program requires that all Metropolitan Planning Organizations (MPOs) and States develop performance-driven, outcome-based transportation plans. The planning programs are jointly administered by FTA and the Federal Highway Administration (FHWA) which provides additional funding in its budget.

Transit Oriented Development Pilot.—\$10 million. This pilot program funds planning for projects that support transit-oriented development associated with new fixed-guideway and core capacity improvement projects.

National Transit Institute.—\$5 million. To fund projects that enable FTA to partner with higher education to develop and provide training and educational programs to transit employees and others engaged in providing public transit services.

National Transit Data Base (NTD).—\$4 million. For operation and maintenance of the NTD, a database of nationwide statistics on the transit industry that FTA is legally required to maintain under 49 U.S.C. 5335(a)(1)(2). NTD data serves as the basis for FTA formula grant apportionments and is used to track the condition and performance of our Nation's transit infrastructure.

Positive Train Control —\$199 million. For financing the installation of positive train control systems required under section 20157 of title 49, United States Code.

Public Transportation Innovation.—\$28 million. This program provides assistance for projects and activities to advance innovative public transportation research, demonstration, deployment and development and testing, evaluating and analyzing low or no emission vehicle components

intended for use in low or no emission vehicles. Funding is also provided to the National Academy of Science to administer a public transportation cooperative research program.

Technical Assistance and Workforce Development.—\$9 million. This program enables FTA to provide technical assistance to the public transportation industry and to develop standards and best practices. Funds are also used to address public transportation workforce needs through a National Transit Institute and for a frontline workforce program to support employment training, outreach to under-represented populations, and training and assistance for veteran and minority business opportunities.

Pilot Program for Enhanced Mobility.—\$3 million. This discretionary pilot program assists in financing innovative projects for the transportation disadvantaged that improve the coordination of transportation services and non-emergency medical transportation services.

DETAILED JUSTIFICATION

TRANSIT FORMULA GRANTS PROGRAMS

The FY 2017 Budget request includes \$9.7 billion for core FTA grant programs. The Budget builds upon the successes of the previous authorization, MAP-21, which provided two years of stable funding for transit. The Budget proposes to fund the Transit Formula Grants account from the Mass Transit Account of a new Transportation Trust Fund. Furthermore, the Budget includes an additional \$1.3 billion under this account in estimated flex funding transferred from the Federal Highway Administration (FHWA), bringing the total available to \$11 billion.

These funds support the following programs: Urbanized Area Formula, State Safety Oversight Program, State of Good Repair Grants, Rural Area Formula, Growing States and High Density States, Enhanced Mobility of Seniors and Individuals with Disabilities, Bus and Bus Facilities Grants, Bus Testing Facility, Planning Programs, Transit Oriented Development Pilot, National Transit Institute, National Transit Data Base (NTD), Positive Train Control, Public Transportation Innovation, Technical Assistance and Workforce Development, and the Pilot Program for Enhanced Mobility.

The Urbanized Area Formula program provides grants to urbanized areas (UZAs) for public transportation capital, planning, and job access and reverse commute projects, as well as operating expenses in certain circumstances. These funds constitute a core investment in the enhancement and revitalization of public transportation systems in the nation's urbanized areas, which depend on public transportation to improve mobility and reduce congestion.

The Formula Grants for Rural Areas program provides funding for public transportation capital, planning, job access and reverse commute projects and operating assistance, but this funding goes to States to support public transportation in rural areas with populations less than 50,000. This program includes set-asides for a discretionary and formula grant tribal transit program. There is also a set-aside for the Appalachian Development Public Transportation Assistance Program (ADTAP), which allocates funds by a statutory formula to States in the Appalachian Region.

Additionally, the FTA request includes a significant increase in funding under the Administration's 21st Century Clean Transportation Plan Investments highlighted under a separate tab for two programs focused on addressing the nation's aging transit infrastructure as highlighted in the FAST Act: State of Good Repair Formula Grants and an enhanced Bus and Bus Facilities program. The significant increases in funding above the FAST Act for both of these programs recognizes the Administration's goals to address a growing state of good repair backlog in the nation's transit infrastructure. Specifically, this will help address an estimated and growing need of more than \$86 billion to repair, rehabilitate, or replace aging public transportation assets.

This request also supports FTA's State Safety Oversight (SSO) grant program. The request will allow FTA to continue providing formula funds for SSO programs based on fixed guideway

revenue miles, route miles, and passenger miles. Additionally, Urbanized Area and Rural Area grant recipients may use up to 0.5 percent of their formula funds to pay for up to 80 percent of the cost to participate in the public transportation safety certification training program for SSO agency employees.

FTA's core formula programs support key national and departmental goals and initiatives including safety, state of good repair, economic competitiveness, quality of life in communities, and environmental sustainability. Furthermore, the eligibilities under these programs allow grantees to use funds to support important departmental initiatives.

EXHIBIT III-1

TRANSIT FORMULA GRANTS
Summary by Program Activity
Appropriations, Obligation Limitations, and Exempt Organizations
(\$000)

APPROPRIATIONS TITLE	FY 2015 ACTUAL	FY 2016 ENACTED	FY 2017 REQUEST	CHANGE FY 2016-2017
Transit Oriented Development	10,000	10,000	10,000	-
Planning Programs	128,800	130,732	133,399	2,667
Urbanized Area Formula Grants	4,458,650	4,538,906	4,629,684	90,778
Enhanced Mobility of Seniors and Individuals with Disabilities	258,300	262,949	268,208	5,259
Pilot Program for Enhanced Mobility	-	2,000	3,000	1,000
Formula Grants for Rural Areas	607,800	619,956	632,355	12,399
Public Transportation Innovation	-	28,000	28,000	-
Technical Assistance and Workforce Development	-	9,000	9,000	-
Bus Testing Facilities	3,000	3,000	3,000	-
National Transit Institute	5,000	-	-	-
National Transit Database	3,850	4,000	4,000	-
State of Good Repair Grants	2,165,900	2,507,000	2,549,670	42,670
Bus and Bus Facilities Grants	427,800	695,800	719,956	24,156
Growing States and High Density States	525,900	536,262	544,434	8,172
Positive Train Control	-	-	199,000	199,000
Subtotal - Formula Grants	8,595,000	9,347,605	9,733,706	386,101
FHWA Flex Funding - Net 1/	1,429,885	1,300,000	1,300,000	-
TOTAL	10,024,885	10,647,605	11,033,706	386,101

1/ Flex funding in FY 2016 and FY 2017 represents estimates of net flex fund transfers between FTA and FHWA based on historical levels.

EXHIBIT III-1a

**TRANSIT FORMULA GRANTS
SUMMARY ANALYSIS OF CHANGE FROM FY 2016 TO FY 2017
Appropriations, Obligation Limitations, and Exempt Organizations
(\$000)**

	Change From FY 2016 to FY 2017 (\$000)^{1/}	Change From FY 2016 to FY 2017 FTE ^{2/}
	<hr/>	<hr/>
FY 2016 Base	9,347,605	-
 NEW OR EXPANDED PROGRAMS		
Transit Oriented Development	-	
Planning Programs	90,778	
Urbanized Area Formula Grants	2,667	
Enhanced Mobility of Seniors and Individuals with Disabilities	5,259	
Pilot Program for Enhanced Mobility	1,000	
Formula Grants for Rural Areas	12,399	
Public Transportation Innovation	-	
Technical Assistance and Workforce Development	-	
Bus Testing Facilities	-	
National Transit Institute	-	
National Transit Database	-	
State of Good Repair Grants	42,670	
Bus and Bus Facilities Grants	24,156	
Growing States and High Density States	8,172	
Positive Train Control	199,000	
Subtotal - New or Expanded Programs	<hr/> 386,101	<hr/> -
 Subtotal, FY 2017 Transit Formula Grants	 <hr/> 9,733,706	 <hr/> -
 FHWA Flex Funding -- Net ^{1/}	 1,300,000	
 TOTAL	 <hr/> 11,033,706	 <hr/> -

1/ Flex funding in FY 2016 and FY 2017 represents estimates of net flex fund transfers between FTA and FHWA based on historical levels.

2/Oversight funding supports 20 FTE and 7 FTE in 2016 and 2017, respectively .

**EXHIBIT III-2
ANNUAL PERFORMANCE RESULTS AND TARGETS
FORMULA GRANTS**

The Federal Transit Administration (FTA) integrates performance results into its budget request to demonstrate alignment with the Department of Transportation’s (DOT) Strategic Plan. When evaluating these goals, please note the following:

- 1) Final 2015 ridership numbers will not be available until ~ August 2016. They are being reported through FTA’s NTD and will need to be validated before final numbers are released.
- 2) The market share metric for 2015 is based on census data that will not be available until early 2016.
- 3) The asset backlog number is reported in the latest Department of Transportation’s 2013 Conditions and Performance (C&P) report to Congress.
- 4) Safety data is preliminary at this time.

FTA tracks the following DOT level performance measures to demonstrate program results:

DOT Goal/Outcome: Economic Competitiveness / Improve the contribution of the transportation system to the Nation’s productivity and economic growth.

Increase the total number of urban boardings from 10.4 billion to 11.2 billion by 2018.	2011*	2012*	2013	2014	2015	2016	2017
Target			10.5B	10.6B	10.8B	10.9B	11.1B
Actual	10.12B	10.33B	10.39B	10.53B			

Increase the total number of rural boardings to at least 154 million by the end of 2014.	2011*	2012*	2013	2014	2015	2016	2017
Target	140M	144M	148M	154M			
Actual	142.1M	140.2M	136M	143.1M			

* This measure was developed in 2013 for DOT’s five-year Strategic Plan, so there are no targets available for 2010-2012. The goal for this measure is to increase the number of annual transit boardings reported to at least 11.2 billion by 2018.

The purpose of public transportation is twofold -- to provide the people with transportation options for their daily life, and to also provide basic mobility to the public who may not be able to drive. Increasing public transportation ridership demonstrates that’s FTA’s grant investments and research efforts support services that meet those needs for millions of Americans every day.

DOT Goal/Outcome: Economic Competitiveness / Improve the contribution of the transportation system to the Nation’s productivity and economic growth.

Increase the transit market share among commuters to work in at least 10 of the top 50 urbanized areas by population, when compared to a 2010 baseline.	2011	2012	2013	2014	2015	2016	2017
Target	2	4	5	6	7	8	9
Actual	1	4	3				

Public transportation’s role in providing additional transportation options for America’s communities is reflected indirectly in data reporting by the Bureau of the Census’ American Community Survey on what modes of transportation people are selecting for their daily commute to work. These modal choices tend to be very stable over time, but increasing use of public transportation will be reflected in the number of cities showing a statistically-significant (i.e. at least 0.5 percentage points or more) increase in market share for public transportation from the 2010 baseline.

DOT Goal/Outcome: State of Good Repair / Maintain or improve the availability, reliability, and performance of the Nation’s transportation infrastructure.

Keep the nation’s transit state of good repair backlog to less than \$100 billion (current-year dollars) through 2018.	2011	2012	2013	2014	2015	2016	2017
Target	\$88B	\$90B	\$92B	\$94B	\$96B	\$98B	\$99B
Actual	77.7B						

(r) Revised

*Actual data for the 2010 state of good repair backlog of transit capital assets in need of replacement or refurbishment has been released as part of the 2013 DOT Conditions & Performance (C&P) Report to Congress. FTA’s baseline for this metric was developed using 2008 data and reported in the 2010 DOT Conditions & Performance Report to Congress. The next published data set will be for 2012 in the 2016 C&P Report, currently scheduled to be published later this year.

FTA’s most-recent DOT Conditions and Performance Report to Congress estimates that the current state of good repair backlog in the Nation’s transit systems is \$86 billion, and growing, on average, by \$2.5 billion per year. The goal of trying to keep the state of good repair backlog below \$100 billion through 2018 reflects FTA’s efforts to implement better asset management practices through the National Transit Asset Management System rulemaking required by MAP-21, and also reflects the increased Federal commitment to transit capital investments proposed in this budget.

DOT Goal/Outcome: Safety/ Improve the safety of the transportation system for all users.

Reduce total transit fatalities to 0.491 per 100 million passenger miles traveled by 2018.	2011	2012	2013	2014	2015	2016	2017
Target	0.547	0.543	0.538	0.530	0.520	0.510	0.50
Actual	0.535	0.535	.604	0.523 (p)			

(p) Preliminary

FTA is committed to making an already-safe mode of transportation even safer. With that being said, it was only in 2012 that Congress first granted FTA expanded authority to promote an effective safety culture across the transit industry. FTA is still in the midst of an aggressive process to complete hiring for the staff of our new Office of Safety & Oversight. FTA is also moving forward with rulemakings to establish the National Safety Plan, require Agency Safety Plans, implement Safety Training Certification Requirements, and to update the rules governing the State Safety Oversight Program. These critical steps will be completed over the near-term in order to further enhance public transportation’s already-strong safety record.

DOT Goal: Organizational Excellence

Average number of days to complete grant processing after submission of a completed application.	2011	2012	2013	2014	2015	2016	2017
Target	36	36	36	36	36	36	36
Actual	34	29	24	25			

FTA is committed to provide quality, timely, service to its grantees. This goal is to process each completed grant application within 36 days of receiving the completed application.

Percentage of major FTA federally funded transportation infrastructure projects with less than 2 percent annual growth for project completion milestones.	2011	2012	2013	2014	2015	2016	2017
Target	90%	90%	90%	90%	90%	90%	90%
Actual	70%	100%	87%	89%			

FTA is committed to effective oversight of its major capital projects to deliver them on-time for the benefit of the communities they will ultimately serve. This goal is to keep at least 90% of our major capital projects to less than 2% annual growth in the project milestones each year.

Detailed Justification for Transit Formula Grants

What Is The Request And What Funds Are Currently Spent on the Program?

FY 2017 – FORMULA GRANTS

(\$000)

PROGRAM ACTIVITY	FY 2015 ACTUAL	FY 2016 ENACTED	FY 2017 REQUEST	Difference from FY 2016
Transit Oriented Development	10,000	10,000	10,000	-
Planning Programs	128,800	130,732	133,399	2,667
Urbanized Area Formula Grants	4,458,650	4,538,906	4,629,684	90,778
Enhanced Mobility of Seniors and Individuals with Disabilities	258,300	262,949	268,208	5,259
Pilot Program for Enhanced Mobility	-	2,000	3,000	1,000
Formula Grants for Rural Areas	607,800	619,956	632,355	12,399
Public Transportation Innovation	-	28,000	28,000	-
Technical Assistance and Workforce Development	-	9,000	9,000	-
Bus Testing Facilities	3,000	3,000	3,000	-
National Transit Institute	5,000	-	-	-
National Transit Database	3,850	4,000	4,000	-
State of Good Repair Grants	2,165,900	2,507,000	2,549,670	42,670
Bus and Bus Facilities Grants	427,800	695,800	719,956	24,156
Growing States and High Density States	525,900	536,262	544,434	8,172
Positive Train Control	-	-	199,000	199,000
Subtotal - Formula Grants	8,595,000	9,347,605	9,733,706	386,101
FHWA Flex Funding- Net 1/	1,429,885	1,300,000	1,300,000	-
TOTAL 2/	10,024,885	10,647,605	11,033,706	386,101

1/ Flex funding in FY 2016 and FY 2017 represents estimates of net flex fund transfers between FTA and FHWA based on historical levels.

2/Oversight funding supports 20 FTE and 7 FTE in 2016 and 2017, respectively .

FTA requests \$9.7 billion in new contract authority for the Transit Formula Grants programs, \$386 million more than the FY 2016 enacted level. The majority of the increase supports programs focused on one of the Administration's highest priorities – improving the condition, performance, and safety of the nation's aging transportation infrastructure.

In FY 2017, FTA will focus on continuing to implement new and modified programs created under MAP-21 and continued under the FAST Act that provide grants to support capital and operating assistance. This Budget, when combined with State and local funding, will help to address the backlog of transit assets that are not in a state of good repair, improve the safety of public transportation, ensure sound transportation planning for investments, and provide better access to transit systems in general, as well as transportation options for targeted populations.

FTA is required to administer an *Oversight* program to ensure that Federal funds are used cost-effectively and in accordance with applicable laws and regulations. Oversight funding – based on a percentage takedown from many of FTA's programs - pays for contractors to perform program-level reviews related to procurement, financial management, safety, civil rights compliance, and grants management practices. In addition, FTA's Oversight program provides key project-management oversight on large (over \$1 billion) or complex transit construction projects to ensure the projects stay within scope and on budget. Refer to the oversight section of this chapter for more information.

What Is This Program and Why is it Necessary?

Through its core formula programs, FTA provides grant assistance, primarily for capital projects, to more than 800 grantees across the country. Grants are used to invest in the basic needs of maintaining and sustaining the nation's \$679 billion in transit capital assets that serve a projected 11 billion transit trips each year. To a limited extent, these funds also support operating assistance for some transit systems.

FTA's partners for the formula programs include local, State, public, and private entities that provide transit services across the nation. Grantees are responsible for maintaining the transit systems for which FTA's formula grants provide capital and operating assistance. To ensure Federal funds are used on sound investments, FTA requires that grantees assume a significant level of responsibility for undertaking comprehensive planning, ensuring safety, and managing their assets.

Grantees are also responsible for reporting finance, asset, and ridership data into FTA's National Transit Database (NTD), which is used to apportion formula funds and measure the condition and performance of transit assets. Additionally, FTA partners with higher education institutions to develop and conduct training and educational programs for Federal, state, and local transportation employees and others engaged in public transportation work through a National Transit Institute.

FY 2015 Base Accomplishments

The FY 2015 actual amount of \$10 billion, including an estimated \$1.4 billion in FHWA flex funding supports the following accomplishments.

- **Improve mobility:** Transit ridership is anticipated to increase approximately to 10.8 billion by FY 2015 – with the majority of the growth coming from transit systems serving urban areas.
- **Provide service and access to essential services:** FTA estimates that \$900 million in Federal operating assistance would support approximately 6.2 million hours of transit service and, on average, about 449 million passenger trips. About \$1.4 billion in Federal formula funding for preventive maintenance supports approximately 33 million hours of transit service, supplying approximately 2.3 billion passenger trips. These investments at these transit service levels continues to connect individuals to jobs, medical appointments, education opportunities, and other destinations.

Support transit state of good repair: Approximately \$6 billion of formula funding went towards projects to replace aging assets. DOT's most recent Conditions and Performance Report identified that the national transit state of good repair backlog was \$86 billion, and at current funding levels from all levels of government, was expected to continue to grow at around \$2.5 billion per year.

FY 2016 Anticipated Accomplishments

The FY 2016 enacted level provides \$10.6 billion, including an estimated \$1.3 billion in FHWA flex funding, for the Formula Grants programs.

- **Improve mobility:** At current funding levels, transit ridership would be expected to reach 10.7 billion – with the majority of growth coming from transit serving urban areas. The commitment to expand transit supports increasing this rate of growth, and providing more transportation options to America's communities.
- **Provide service and access to essential services:** FTA estimates that \$1.3 billion in Federal operating assistance would support more than 9 million hours of transit service and, on average, about 648 million passenger trips. About \$2.1 billion in Federal formula funding for preventive maintenance will support 48 million hours of transit service, supplying 3.5 billion passenger trips. Sustaining these investments in existing transit service levels will continue to connect people to jobs, medical appointments, education opportunities, and other destinations.
- **Support transit state of good repair:** FTA estimates that at least \$6 billion of formula funding will go towards projects to replace aging assets and help bring our transit infrastructure in a state of good repair. DOT's most recent Conditions and Performance Report identified that the national transit state of good repair backlog is \$86 billion, and at current funding levels from all levels of government, is expected to continue to grow

at around \$2.5 billion per year. These proposed investments will help slow the growth in the backlog, but can also begin the process of reversing the backlog.

- **Public Transportation Innovation:** FTA will continue activities for the Transit Cooperative Research Program (TCRP) and the creation of a Low or No Vehicle Component Assessment Program. Additionally, FTA will ensure mobility and accessibility for all citizens through Mobility on Demand (MOD) initiatives and funding support for the Accessible Transportation Technologies Research (ATTRI) program. Also, FTA will continue its efforts in researching and promoting asset innovation and asset management practices to include continued research into the performance and reliability of zero emission bus technologies.
- **Technical Assistance and Workforce Development:** FTA will create new national technical assistance centers that help the riding public, transit agencies, and transit stakeholders and industry partners comply with human service transportation, meet the transportation needs of the elderly, increase transit ridership through transit oriented development, address transportation equity issues, and comply with the ADA. There will be continued efforts in implementing the human resources and training program as well as standards program to address required safety standards.

The FY 2017 Budget request includes \$11 billion, including an estimated \$1.3 billion in FHWA flex funds for FTA's core Transit Formula Grants programs. The 2017 program structure includes:

Urbanized Area Formula.—\$4.630 billion. For formula grants to urbanized areas with populations of 50,000 or more. Generally funds may be used for any transit capital purpose. Operating costs continue to be eligible expenses for all urban areas under 200,000 in population; and, in certain circumstances, operating costs may be eligible expenses in urban areas with populations over 200,000. Additionally, Urbanized Area grants may be used to support Job Access and Reverse Commute activities.

Data from FTA's FY 2013 Grants Statistical Summaries reported that Urbanized Area formula funds were used to purchase 3,888 buses and vans, 796 rail vehicles, and 3 ferry boats. This demonstrates the continuous improvement efforts to expand public transportation services. FTA's Grant Statistical Summaries provide information about the major FTA financial aid programs during a given Federal fiscal year. The data used in the Grant Statistical Summaries are compiled from the capital, operating, and planning assistance grants to transit authorities, states, planning agencies, and other units of local government and eligible recipients.

Rural Area Formula—\$632 million. Formula grants for capital, planning and operating assistance to States and Federally recognized Indian tribes to support public transportation in rural areas with populations less than 50,000. Funding may also be used to support intercity bus service and job access and reverse commute projects. Within this amount, \$30 million in formula funds and \$5 million in discretionary grants support the Public Transportation on Indian Reservations program, and \$20 million supports the Appalachian Development Public Transportation Assistance Program.

State Safety Oversight Program—\$23 million is requested for this program and is based on a 0.5 percent set-aside within the Urbanized Area Formula program. States with rail systems not regulated by the Federal Railroad Administration (FRA) must meet requirements for a State Safety Oversight (SSO) program. To aid States in meeting these requirements, funding is provided by a formula developed by FTA based on fixed guideway revenue miles, route miles, and passenger miles. The maximum Federal share for these grants is 80 percent. Funding for this program supports grantees in designing, constructing and operating the safest rail transit facilities and equipment to reduce the risk of accidents, injuries and incidents on rail transit systems by developing new technologies, procedures, and public education campaigns.

Growing States and High Density States.—\$544 million is requested, which is allocated between the Urban and Rural Area programs based on the legislative funding formula for this program.

Enhanced Mobility of Seniors and Individuals with Disabilities—\$268 million is requested to enhance the mobility of seniors and persons with disabilities by providing capital and operating funds for programs to serve the special needs of transit-dependent populations beyond traditional public transportation services including complementary paratransit services. FTA's FY 2013 Grants Statistical Summaries reported that grant funding provided through this program supported the purchase of 967 buses and 790 vans.

State of Good Repair Grants—\$2.550 billion is requested for a formula-based capital maintenance program to restore and replace aging transportation infrastructure through reinvestment in existing rail fixed guideway systems and high-intensity motorbus systems.

Bus and Bus Facilities Grants—\$720 million is requested for formula funding (\$436 million) and discretionary funding (\$229 million) to replace, rehabilitate, and purchase buses and related equipment, and to construct bus-related facilities. Specifically, eligible capital projects include the purchase of buses for fleet and service expansion, bus maintenance and administrative facilities, transfer facilities, bus malls, transportation centers, intermodal terminals, park-and-ride stations, acquisition of replacement vehicles, bus rebuilds, bus preventive maintenance, passenger amenities such as passenger shelters and bus stop signs, accessory and miscellaneous equipment such as mobile radio units, supervisory vehicles, fare boxes, computers and shop and garage equipment. The FY 2013 Grants Statistical Summaries reported that 171 buses were purchased for either fleet and/or service expansion and that 22 percent of the funds obligated supported various other bus and bus facility projects. An additional \$55 million in funding also supports competitive grants for low and zero emission bus and bus facilities.

Bus Testing Facility—\$3 million is requested for an FTA-funded bus testing facility which has tested 413 buses since its inception revealing almost 8,900 failures, 41 of which were critical safety hazards. The FAST Act continues to require all new models purchased using FTA funds to be tested on a pass/fail system for compliance with performance standards for safety, structural integrity, reliability, performance (including braking performance), maintainability, emissions, noise, and fuel economy.

Planning Programs—\$133 million. Funding supports cooperative, continuous, and comprehensive transportation infrastructure investment planning. The program requires that all Metropolitan Planning Organizations (MPOs), and States develop performance-driven, outcome-based transportation plans.

Transit Oriented Development Pilot—\$10 million. This pilot program funds planning for projects that support transit-oriented development associated with new fixed-guideway and core capacity improvement projects.

State Safety Oversight Programs

Since 1964, FTA has been prohibited by law from issuing basic safety standards to protect rail transit passengers and rail workers. The result is a patchwork of State laws that do not provide adequate or consistent safety coverage. FTA's authorities, beginning under MAP-21 in FY 2013, are helping to remedy these long-standing shortcomings.

As part of FTA's authority to establish and enforce a comprehensive framework to oversee the safety of public transportation throughout the United States, FTA is updating the State Safety Oversight (SSO) program to ensure that rail transit systems not regulated by the Federal Railroad Administration meet stringent safety requirements. States have the flexibility to use portions of FTA formula funds to implement State Safety Oversight programs.

In turn, FTA must certify that a State's Safety Oversight program includes: assuming responsibility for oversight of rail fixed-guideway public transportation safety; enforcing federal laws for rail fixed-guideway public transportation safety; and establishing a State Safety Oversight agency. SSO programs, which FTA must approve, encompass a SSO agency's capacity, organizational structure, financing, and activities. Of the *Urbanized Area* formula funds, \$23 million is provided for this activity (or 0.5 percent), to be distributed by a formula based on three types of mileage calculations.

Additionally, all FTA funding recipients develop agency safety plans and certify they meet FTA requirements. At a minimum these plans must include: strategies for identifying risks and minimizing exposure to hazards; an adequately trained safety officer to report directly to the general manager or equivalent; safety performance targets; and a staff training program. Urbanized and Rural Area recipients may use up to 0.5 percent of formula funds to pay for up to 80 percent of SSO agency employee safety certification training programs.

Furthermore, FTA will develop minimum safety performance standards for vehicles not regulated by other DOT modes or federal agencies. FTA also has the authority to inspect and audit all public transportation systems, issue safety reports and directives, investigate accidents and incidents, issue regulations, and inspect equipment.

MAP-21 requires FTA to establish a safety certification training program for certain public transportation industry employees and in FY 2017 expenses associated with this program and related safety training will be made available with funds authorized under Section 5338(f).

National Transit Institute— \$5 million is requested to enable FTA to partner with institutions of higher education to develop and conduct training programs for transit employees and others engaged in public transportation work.

Supporting Bus and Rail State of Good Repair

State of Good Repair initiatives are aimed at one of the Department's top strategic goals - improving the condition of the nation's transit capital assets that studies show are suffering from years of under-investment and suboptimal asset management practices. Deteriorated capital assets erode system performance, cause delays because of break-downs and slower operating speeds, waste fuel, increase passenger crowding, and in some instances, compromise safety.

MAP-21's formula-based State of Good Repair (SGR) program was FTA's first stand-alone initiative written into law that was dedicated to repairing and upgrading the nation's rail transit systems and high-intensity motor bus systems, including bus rapid transit (BRT). Two types of formula grants are funded: High Intensity Fixed Guideway and High Intensity Motorbus. The Federal share for grants is limited to 80 percent.

In FY 2017, consistent with the FAST Act, FTA will continue to focus the Bus and Bus Facilities program on improving the condition of the nation's bus assets, where FTA found that 40 percent were in poor or marginal condition in 2010. Funding will be divided between a state of good repair formula program (\$436 million) and a competitive discretionary grant program (\$229 million) that will support investment in larger facility and one-time equipment investments that are not feasible under an annual formula apportionment.

National Transit Database (NTD) — \$4 million will support FTA's NTD, which is the primary national database for statistics on the transit industry. Approximately 820 transit authorities and 1,340 sub-recipients, primarily in rural areas, file annual reports through this Internet-based reporting system. Each year, performance data reported to the NTD is used to apportion billions of dollars in FTA formula funds to transit agencies. Furthermore, transit agencies will be required to report asset condition data to the NTD consistent with the asset management requirements in MAP-21.

Positive Train Control — \$199 million. For financing the installation of positive train control systems required under section 20157 of title 49, USC.

Public Transportation Innovation—\$28 million. This program provides assistance for projects and activities to advance innovative public transportation research, demonstration, deployment, development and testing, evaluating and analyzing low or no emission vehicle components intended for use in low or no emission vehicles. Funding is also provided to the National Academy of Science to administer a public transportation cooperative research program.

Technical Assistance and Workforce Development—\$9 million. This program enables FTA to provide technical assistance to the public transportation industry and to develop standards and best practices. Funds are also used to address public transportation workforce needs through a National Transit Institute and for a frontline workforce program to support employment training, outreach to under-represented populations, and training and assistance for veteran and minority business opportunities.

Pilot Program for Enhanced Mobility—\$3 million. This pilot program assists in financing innovative projects for the transportation disadvantaged that improve the coordination of transportation services and non-emergency medical transportation services.

OVERSIGHT PROGRAM

Comparative Summary of Activity (\$000)

	<u>FY 2015</u> <u>ACTUAL</u>	<u>FY 2016</u> <u>ENACTED</u>	<u>FY 2017</u> <u>REQUEST 1/</u>
Program Level- Oversight	\$76,896	\$92,668	\$107,289

1/ Excludes \$2.9 million in oversight funding associated with the Administration's 21st Century Clean Transportation Plan Investments proposal.

Program Description:

FY 2017 budget requests \$107.289 million for the Oversight Program authorized under 49 U.S.C. 5327 and 49 U.S.C. 5338(f).

FTA's FY 2017 oversight funds will address the ongoing oversight responsibilities necessary to support a \$13.5 billion annual transit program, as well as attend to the increasingly complex oversight activities required to ensure compliance with FTA's new safety authority. In FY 2017, FTA will support the Transit Safety Advisory Committee with funds authorized under Section 5338(f).

Consistent with MAP-21, the FAST Act requires FTA to establish a safety certification training program for certain public transportation industry employees and in FY 2017 expenses associated with this program and related safety training will be made available with funds authorized under Section 5338(f). The FAST Act authorizes oversight funds to carry out Section 5329 safety responsibilities. In FY 2017 certain expenses associated with FTA's safety program, such as salaries and benefits, travel, training, and contracts will be made available with funds authorized under Section 5338(f).

The FY 2017 oversight budget will allow FTA to continue to meet its fundamental stewardship responsibility for managing multi-billion dollar grant programs involving more than 800 active grantees.

FTA's Oversight Program, authorized under 49 U.S.C. 5327 and 49 U.S.C. 5338(f), is an integral, critical element of FTA's efforts to ensure that Federal funds are spent efficiently and effectively, and in accordance with applicable laws and regulations. The FTA Oversight Program was initially authorized in FY 1987 to provide FTA with the ability to ensure the effective management and implementation of major capital projects. In recognition that Federal oversight of the transit program was needed for areas beyond major capital projects, the program was expanded in FY 1990 to include "*safety, procurement, management and financial compliance reviews, and audits of any recipient of funds*" under the Federal transit assistance programs. The Transportation Equity Act for the 21st Century (TEA-21), Sec. 3024, confirmed the importance of the oversight program, extending it to include the authority "*to provide*

technical assistance to correct deficiencies identified in compliance reviews and audits carried out under this section.” The Moving Ahead for Progress in the 21st Century Act (MAP-21) continued these authorities, and expanded FTA’s oversight authority to include technical assistance to prevent deficiencies.

Oversight funds derived from authorized percentage oversight takedowns from FTA’s key grant programs include:

- 1.0 percent from the Capital Investment Grants program
- 1.0 percent from the Washington Metropolitan Area Transit Authority (WMATA) Grant authorized under PRIIA
- FTA grant programs:
 - Urbanized Area Formula Grants - .75 percent
 - State of Good Repair Formula Grants – 1.0 percent
 - Bus and Bus Facilities Formula Grants - .75 percent
 - Bus and Bus Facilities Discretionary Grants - .75 percent
- 0.5 percent from these FTA grant programs:
 - Planning Programs
 - Enhanced Mobility of Seniors and Individuals with Disabilities
 - Formula Grants for Rural Areas

With these funds, FTA administers a number of major oversight activities. In general, FTA’s Oversight Program consists of activities undertaken in the following areas:

- Project Management Oversight (PMO)
- Management Oversight
- Safety Oversight
- Financial Management Oversight (FMO)
- Procurement Oversight
- Triennial Review

FTA’s Project Management Oversight (PMO) program provides *project-level* oversight of major capital projects. FTA’s Management, Safety, Financial Management, Triennial Review and Procurement Oversight activities focus on *program-level* oversight.

The focus of FTA’s oversight activities is to prevent and identify recipients’ non-compliance with Federal regulations. FTA has conducted a top-to-bottom review of its overall oversight approach to improve its activities and enforcement tools. As a result, FTA’s Oversight Program has been streamlined and strengthened to address and reduce risk associated with its grants programs.

FY 2017 Oversight Program Request:

FY 2017 budget requests \$107.289 million for the core Oversight Program.

FTA's FY 2017 oversight funds will address the ongoing oversight responsibilities necessary to support a \$13.5 billion annual transit program, as well as attend to the increasingly complex oversight activities required to ensure compliance with FTA's new safety authority.

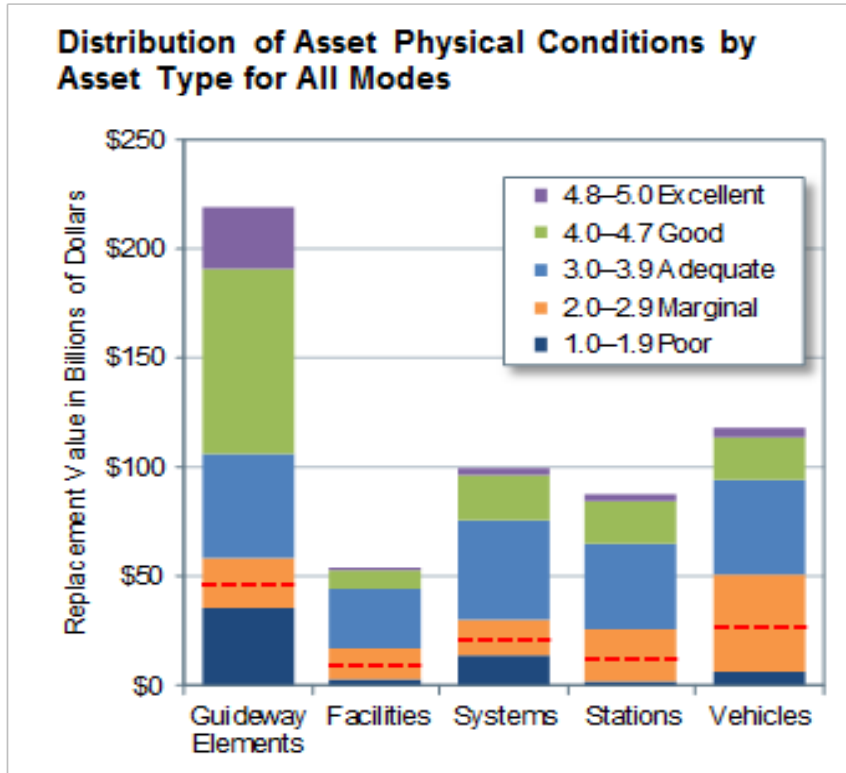
Consistent with MAP-21, the FAST Act requires FTA to establish a safety certification training program for certain public transportation industry employees and in FY 2017 expenses associated with this program and related safety training will be made available with funds authorized under Section 5338(f).

Why Is This Particular Program Necessary?

The Transit Formula Grants program is needed to provide continued Federal support for transit agencies to maintain their capital base and provide high-quality, safe and efficient service to the tens of millions of riders that use transit every day. Virtually all local transit agencies depend on FTA funds as a revenue source for their budgets. Therefore, the reliability and predictability of FTA formula funds, which comprise nearly 77 percent of FTA's requested FY 2017 budget, is particularly important to the success of transit systems nationwide. For example, DOT's latest Conditions and Performance Report indicates that in 2010 Federal funds accounted for 19 percent of transit agencies' revenue, including 41 percent of total capital expenditures.²

These capital investments help to improve the condition of the nation's transit assets. Studies have shown that the nation's transit assets are suffering from years of under-investment and suboptimal asset management practices. In 2013, DOT's latest Conditions and Performance Report found that an \$86 billion national backlog exists of transit assets needing repair and replacement. More specifically, more than 10 percent of all buses are estimated to be in need of replacement, more than five percent of all heavy rail and light rail vehicles are estimated to be in need of replacement, and more than one fifth of all track and guideway elements are estimated to need replacement. The backlog of track and guideway elements alone includes \$13.7 billion worth of assets estimated to be in poor condition – the lowest rating on FTA's five point asset condition scale described below.

² Federal Highway Administration and Federal Transit Administration, 2013 Status of the Nation's Highways, Bridges, and Transit: Conditions & Performance Report to Congress, 2013
<http://www.fhwa.dot.gov/policy/2010cpr/execsum.htm#c6t>



Capital assets in marginal and poor condition can lead to poor and unreliable transit service. Bus break downs, elevator and escalator outages, train derailments, and trains operating at slower speeds because of equipment problems are just some of the problems that occur when capital stock is not properly maintained or replaced. The end effect is that riders are inconvenienced, frustrated, and become less willing to choose public transportation because they find it slow, unreliable, or, in the worst conditions, unsafe.

FTA has also found that while some large transit agencies regularly assess the condition of their assets, none had a comprehensive asset management program that was used to set long-term priorities for capital reinvestment. FTA’s budget request addresses this shortcoming by continuing to provide resources and requirements for asset management plans, which will be reinforced through new planning requirements that include performance targets based on national performance measurements. Asset management systems can both empower transit agencies to make informed decisions and enable FTA to track and better account for the condition of transit assets nationwide.

In addition to support for capital assets found in the major urban and rural formula programs, the State of Good Repair and Bus and Bus Facilities programs will allow FTA to apportion formula funding on a needs-based approach to rail, fixed guideway, and bus systems. These programs will allow transit agencies to address the deteriorated capital assets that erode system performance, cause delays due to break-downs and slower operating speeds, waste fuel, increase passenger crowding, and in some instances, compromise safety. The Bus and Bus Facilities program will provide limited discretionary funding for one-time large bus purchases and facilities and equipment. This would include some intermodal facilities that currently lack a

dedicated Federal funding source. Funding would also allow FTA to further contribute to improving safety through the State Safety Oversight program.

The condition of transit assets does play into the reliability of transit services. In 2011, Bay Area Rapid Transit (BART), the nation's 8th largest transit system, was shut down one Monday evening in August as a communications system failure left the control center without information on the location of its trains. The system had to be shut down for two hours during late rush hour and passengers were told to find alternative transportation. BART officials have shared that the system needs \$15 billion in upgrades over the next 25 years but the agency has identified only about half of the required funds to make that happen. While its assets are challenged by deteriorating conditions, ridership continues to grow on this system. In 2012, BART carried more than 114 million riders, surpassing all records.

Furthermore, the operating assistance provided through the Urbanized Area Formula Grants and Formula Grants for Rural Areas programs will help relieve some budget pressures for transit agencies, particularly those with bus services, in certain circumstances. These funds can also help to ensure current service in communities is maintained in the face of tight operating budgets. Operating assistance will also be available to help FTA's recipients train for and meet upcoming FTA safety requirements.

Effective investment planning is critical for ensuring the sustainability of our nation's transit systems. Funds for Planning formula grants, as well as Transit-Oriented Development pilot projects, will encourage Metropolitan Planning Organizations (MPO) and State efforts toward taking a holistic approach to planning. This should include key stakeholders and increasing accountability and transparency in decision-making processes. In addition to implementing key funding and procedural requirements, FTA will continue to track and report on transit condition and performance trends to support effective strategic planning. This work leverages data housed within FTA's National Transit Database.

Why Do We Want/Need To Fund The Program At The Requested Level?

Transit Formula Grant funds reflect a commitment to ensuring that public transit operates safely, efficiently, reliably, and sustainably so that communities can offer balanced transportation choices that help to improve mobility, reduce congestion, and encourage economic development. The Formula Grants programs provide a comprehensive approach to public transportation investments. Funding for this account will allow FTA to provide planning, capital, and operating assistance that promote safe and efficient operation and development of public transportation systems. Such systems will serve the mobility needs of citizens while also reducing fuel consumption.

Data indicate that the nation needs to invest approximately \$86 billion simply to eliminate the backlog of transit capital assets currently in poor or marginal condition. To prevent the backlog from growing, and also to support growth in ridership, FTA estimates suggest that the necessary annual investment over 20 years (from Federal, state, and local governments) is \$24.5 billion per year. FTA's formula programs help address this need by providing a critical financial

foundation through regular and predictable Federal support to large and small transit agencies.³ The FAST Act included a large, focused program to address this backlog in rail and fixed guideway systems. The reauthorization proposal also supports a dedicated and predictable source of funding to reduce the large backlog of bus state of good repair investments.

The FY 2017 budget request will not reduce the need for State and local governments to continue investments in transit capital and operating assets. Increased Federal investment has, historically gone hand-in-hand with increased State and local investment. These funds will help make a down payment on reducing the state of good repair backlog and ensure the traveling public, including targeted populations like senior citizens and individuals with disabilities, have access to public transportation. Funding for planning programs will help ensure that MPO and State approaches to transportation planning are more holistic, accountable, and transparent, thereby encouraging sound investments to help ensure that the nation's state of good repair and capacity needs are met.

How Do We Know The Program Works?

The varied transit services that Federal formula funds support in urbanized and non-urbanized areas are essential to providing world class public transportation in a nation with a growing population. The nation's approximately 2,000 urban and rural transit providers take people to jobs, retail, and other essential services such as doctor's appointments. These providers include government, non-profit, and for-profit entities that provide transit services. Almost all are among FTA's more than 800 grantees and their subrecipients. The services these entities provide are vital for transit dependent populations living in urban and rural areas, including many of the more than 30 million elderly, low-income, and individuals with disabilities.

FTA relies heavily on data to manage its programs. FTA is able to track transit agencies' use of federal funds and to evaluate program performance using data from its National Transit Database (NTD). The NTD, which has realized a 24 percent increase in reporters since 2001, is used in conjunction with other information to report to Congress about the performance and condition of the transit industry and to assess progress against FTA goals and objectives. Under the FAST Act, FTA grantees will continue to be required to report performance data on asset condition, safety, and a number of performance targets set forth under the planning requirements.

Analyses of existing data reveal several trends that indicate that transit systems are in demand. First, system coverage, capacity, and use are increasing. As of 2012, there were 252,029 route miles of urban transit routes in the United States, more than a 5 percent increase since 2002. Meanwhile, urban transit ridership has increased 14.8 percent over the same time period, to more than 10.3 billion urban transit trips in 2012. Lastly, the number of miles a vehicle remained in service increased for both rail and non-rail public transit systems in the same time period. FTA will be able to undertake additional analyses to improve the system with the more comprehensive data collection continued under the FAST Act. Combined with research that indicates inclusive

³ Federal Highway Administration and Federal Transit Administration, 2013 Status of the Nation's Highways, Bridges, and Transit: Conditions & Performance Report to Congress, 2013
<http://www.fhwa.dot.gov/policy/2010cpr/>

planning practices help improve performance, the 2017 proposal for Transit Formula Grants provides a comprehensive approach to supporting the needs of public transit.

What Benefits Will Be Provided To The American Public Through This Request?

- Demand for public transportation is on the rise as evidenced by increased ridership and by the number of communities expanding existing systems or opening new transit systems. More transit riders help to improve mobility, but also put a strain on the capacity of existing and aging systems. Moreover, communities across the nation are looking to establish or grow existing transit services as urban populations grow and the need for specialized transportation services for elderly and disabled riders increases. The result is a need for increased investment by all levels of Government to meet repair and capacity needs.
- MAP-21 continued some formula programs but also created new programs and consolidated some programs authorized under the previous authorization. Major formula programs include grants to Urban and Rural areas, State of Good Repair, and Bus and Bus Facilities Grants. In the FAST Act, FTA essentially maintains the MAP-21 program structure with slight adjustments, but significantly increases funding for State of Good Repair and Bus and Bus Facilities Grants to help address a growing transit asset backlog.
- Additionally, MAP-21 created new requirements for grantees in the areas of safety, performance-based planning, and state of good repair/asset management and continues to be required in the FAST Act.
- The U.S. is seriously under-investing in both the maintenance and recapitalization of the transit systems that it has built over the last century. Data show that the nation's rail and bus systems face roughly an \$86 billion maintenance backlog that continues to grow. MAP-21 created a State of Good Repair Formula Grants program that funds replacement and rehabilitation of capital assets for fixed-guideway and bus systems operating on High Occupancy Vehicle (HOV) lanes, including bus rapid transit (BRT). Consistent with the FAST Act, FTA's budget includes a significant increase in funding that will enable it to better address the Administration's goals of bringing these assets into a state of good repair.
- Our nation's bus systems suffer from deteriorating and aging assets. FTA found that approximately 40 percent of bus assets need significant investments to bring them into a state of good repair. The current program structure and funding does not address this issue. In particular there is no source of funds to help with large reinvestment needs, such as replacement of maintenance facilities. The FY 2017 Budget will help address the bus backlog and provide a source of funding for one-time large bus and facility investments through a combination of formula and discretionary grant funds.
- Formula funds also are provided to continue support for FTA's State Safety Oversight program, a key element of FTA's safety authority established under MAP-21 and the FAST Act.

**DEPARTMENT OF TRANSPORTATION
FEDERAL TRANSIT ADMINISTRATION
TRANSIT FORMULA GRANTS**

Program and Financing (in millions of dollars)

		2015	2016	2017
Identification code: 69-8530-0-1-401		Actual	Enacted	Request
Obligations by program activity:				
0001	Urbanized area programs	5,671	6,007	6,480
0002	Fixed guideway modernization	54	9	4
0003	Bus and bus facility grants	106	179	292
0004	Over-the-road bus	1	3	1
0005	Clean Fuels Program	0	2	1
0006	Planning Programs	125	128	158
0007	Job Access & Reverse Commute	2	24	9
0008	Alternatives analysis program	27	2	1
0009	Alternative transportation in parks and public Lands	1	4	2
0011	Seniors and persons with disabilities	432	376	327
0012	Non-urbanized area programs	601	731	822
0013	New Freedom	0	20	8
0014	National Transit Database	7	4	4
0015	Oversight	75	118	91
0016	Transit Oriented Development	0	26	19
0017	Bus and Bus Facilities Formula Grants	270	670	623
0018	Bus Testing Facility	9	2	3
0019	National Transit Institute	0	4	2
0020	State of Good Repair Grants	1,860	2,659	3,100
0021	Public Transportation Innovation	0	14	28
0022	Technical Assistance and Workforce Development	0	5	9
	Total new obligations	9,241	10,987	11,984
Budgetary resources:				
Unobligated balance:				
1000	Unobligated balance brought forward, Oct 1	7,924	8,778	8,439
	Unobligated balance of contract authority transferred to or			
1013	from other accounts [069-8083]	-15
1021	Recoveries of prior year unpaid obligations	69
1050	Unobligated balance (total)	7,978	8,778	8,439
Budget authority:				
Appropriations, discretionary:				
1101	Appropriation (special or trust fund)	9,500	10,400	10,800
1120	Appropriations transferred to other accts [069-8083]	-29	-	-
1121	Appropriations transferred from other accts [069-8083]	1,246	1,482	1,465
1137	Portion applied to liquidate contract authority used	-10,717	-11,882	-12,265
1160	Appropriation, discretionary (total)	-	-	-

**DEPARTMENT OF TRANSPORTATION
FEDERAL TRANSIT ADMINISTRATION
TRANSIT FORMULA GRANTS**

Program and Financing (in millions of dollars)

		2015	2016	2017
Identification code: 69-8530-0-1-401		Actual	Enacted	Request
Contract authority, mandatory:				
1600	Contract authority	8,595	8,595	8,595
1610	Transferred to other accounts [069-8083]	-33
1611	Transferred from other accounts [069-8083]	1,310	1,300	1,300
1640	Contract authority, mandatory (total)	9,872	9,895	9,895
1900	Budget authority (total)	9,872	9,895	9,895
1930	Total budgetary resources available	19,054	17,819	18,028
Memorandum (non-add) entries:				
1941	Unexpired unobligated balance, end of year	7,924	8,133	8,904
Change in obligated balance:				
Unpaid obligations:				
3000	Unpaid obligations, brought forward, Oct 1	16,280	16,588	18,558
3010	Obligations incurred, unexpired accounts	9,241	10,987	11,984
3020	Outlays (gross)	-8,864	-9,017	-9,661
3040	Recoveries of prior year unpaid obligations, unexpired	-69	-	-
3050	Unpaid obligations, end of year	16,588	18,558	20,881
Memorandum (non-add) entries:				
3100	Obligated balance, start of year	16,280	16,588	18,558
3200	Obligated balance, end of year	16,588	18,558	20,881
Budget authority and outlays, net:				
Discretionary:				
Outlays, gross:				
4010	Outlays from new discretionary authority	1,183	1,972	2,045.00
4011	Outlays from discretionary balances	7,681	7,045	7,616
4020	Outlays, gross (total)	8,864	9,017	9,661
4080	Outlays, net (discretionary)	8,864	9,017	9,661
Mandatory:				
4090	Budget authority, gross	10,041	10,648	11,034
4160	Budget authority, net (mandatory)	10,041	10,648	11,034
4180	Budget authority, net (total)	10,041	10,648	11,034
4190	Outlays, net (total)	8,864	9,017	9,661
Memorandum (non-add) entries:				
5052	Obligated balance, SOY: Contract authority	3,554	2,863	1,629
5053	Obligated balance, EOY: Contract authority	2,863	1,629	398.00
5061	Limitation on obligations (Transportation Trust Funds)	10,041	10,648	11,034.00

**DEPARTMENT OF TRANSPORTATION
FEDERAL TRANSIT ADMINISTRATION
TRANSIT FORMULA GRANTS**

Object Classification (in millions of dollars)

Identification code: 69-8530-4-7-401	2015 Actual	2016 Enacted	2017 Request
Direct Obligations:			
Personnel compensation:			
11.1 Full-time permanent	-	2	1
11.3 Other than full-time permanent	-	1	-
11.9 Total personnel compensation	-	3	1
12.1 Civilian personnel benefits	-	-	-
21.0 Travel and transportation of persons	-	-	-
23.1 Rental payments to GSA	-	-	-
23.3 Communications, utilities, and miscellaneous charge	-	-	-
25.2 Other services from non-Federal sources	77	88	96
25.3 Other goods and services from Federal sources	-	-	-
25.7 Operation and maintenance of equipment	-	-	-
41.0 Grants, subsidies, and contributions	9,164	10,987	11,887
99.9 Total new obligations	9,241	11,078	11,984

**ADMINISTRATIVE
EXPENSES
TAB**

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Administrative Expenses (AE) Detailed Justification

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ADMINISTRATIVE EXPENSES (TRANSPORTATION TRUST FUND)

(LIQUIDATION OF CONTRACT AUTHORIZATION)

(LIMITATION ON OBLIGATIONS)

(TRANSPORTATION TRUST FUND)

Contingent upon enactment of multi-year clean transportation plan authorization legislation, for necessary administrative expenses of the Federal Transit Administration's programs authorized by chapter 53 of title 49 U.S.C., \$115,016,543, to be derived from the Mass Transit Account of the Transportation Trust Fund and to remain available until September 30, 2017; Provided, That funds available for the implementation or execution of activities authorized under chapter 53 of title 49 U.S.C. shall not exceed total obligations of \$115,016,543 in fiscal year 2017.

ADMINISTRATIVE EXPENSES

PROGRAM AND PERFORMANCE

The 2017 Budget presents the Federal Transit Administration account structure, including the creation of a new Administrative Expenses account. The Administration proposes to fund this account from the Mass Transit Account of the Transportation Trust Fund.

For Fiscal Year 2017, the President's Budget requests \$115 million for Administrative Expenses, consistent with the level authorized in P.L. 114-94, the Fixing America's Surface Transportation (FAST) Act. The Federal Transit Administration's (FTA) Administrative Expenses request will provide resources for salaries, benefits and other administrative expenses for 560 full-time equivalent employees (FTEs) to carry out the Agency's stewardship of over \$19.9 billion in Federal funds requested in the President's Budget.

Priorities for the FY 2017 Administration Expenses appropriation include: 1) the immediate growth of the Office of Transit Safety and Oversight's workforce to strengthen and expand the transit safety framework consistent with MAP-21 and the FAST Act; 2) the immediate growth of the Office of Transit Planning and Environment workforce to address the uptick in the number of environmental reviews and capital projects; 3) the expeditious implementation of changes included in the FAST Act, and the provision of technical assistance to grantees during program implementation by FTA employees; and 4) improved capital project oversight and grantee compliance with federal requirements by FTA staff and contractors.

The Administration proposes to move a number of current General Fund accounts into the Transportation Trust Fund, as part of the President's 21st Century Clean Transportation Plan Investments. Amounts reflected in this schedule represent the new mandatory contract authority and outlays supporting these programs. PAYGO costs will be calculated as the change between these amounts and reclassified baseline amounts in the existing General Fund accounts.

EXHIBIT III-1

ADMINISTRATIVE EXPENSES

Summary by Program Activity

**Appropriations, Obligation Limitations, and Exempt Obligations
(\$000)**

	FY 2015 ACTUAL (GF)	FY 2016 ENACTED (GF)	FY 2017 REQUEST (TF)	CHANGE FY 2016- 2017
Administrative Expenses (GF)	105,933	108,000	115,017	7,017

Program and Performance Statement

This account provides the necessary resources to support FTA's administrative infrastructure and operations. These funds will help to build and maintain safe and structured transit systems to grow our nation's economy through the creation of jobs, connecting with business opportunities, promoting sustainable development, and by improving the quality of life within communities throughout the United States.

EXHIBIT III-1A

**FEDERAL TRANSIT ADMINISTRATION
ADMINISTRATIVE EXPENSES
SUMMARY ANALYSIS OF CHANGE FROM FY 2016 TO FY 2017
Appropriations, Obligation Limitations and Exempt Obligations
(\$000)**

	<u>AMOUNT</u>	<u>FTE</u>
FY 2016 BASE	108,000	521
FY 2017 Adjustments to Base:		
Annualization of 2016 Pay Raise 1.46%	265	
FY 2017 Pay Raise 1.6%	880	
Two Less Compensable Days	(9)	
GSA Rent	89	
Working Capital Fund Increase/Decrease	400	
Non-Pay Inflation 1.0%	99	
	<hr/>	<hr/>
Subtotal, Adjustments to Base	1,724	521
FY 2017 Program Changes:		
Administrative Expenses	<hr/> 5,293	<hr/> 39
	<hr/>	<hr/>
Subtotal, Program Changes	5,293	39
Total, FY 2017 Administrative Expenses	115,017	560

Note: Numbers may not add due to rounding.

**EXHIBIT III-2
ANNUAL PERFORMANCE RESULTS AND TARGETS
ADMINISTRATIVE EXPENSES**

The Federal Transit Administration (FTA) integrates performance results into its budget request to demonstrate alignment with the Department of Transportation’s (DOT) Strategic Plan. The FTA tracks the following DOT level performance measures to demonstrate program results:

DOT Goal/Outcome: Safety/ Improve the safety of the transportation system for all users.

Reduce total transit fatalities to 0.491 per 100 million passenger miles traveled by 2018.	2011	2012	2013	2014	2015	2016	2017
Target	0.547	0.543	0.538	0.53	0.52	0.51	0.5
Actual	0.535	0.602	.609	0.511 (p)			

(p) Preliminary

FTA is committed to continuing to sustain and enhance the safety of the public transportation industry. Congress first granted FTA the authority to oversee and promote an effective transit safety culture in FY 2012. As FTA increases its workforce in the new Office of Safety & Oversight, it also is moving forward with rulemakings and guidance to establish the National Safety Plan, implement mandatory Agency Safety Plans, provide Safety Training Certification Requirements, and update the rules governing the State Safety Oversight Program. These critical steps will be completed during FY 2016 to further enhance public transportation’s strong safety record.

DOT Goal: Organizational Excellence

Average number of days to complete grant processing after submission of a completed application.	2011	2012	2013	2014	2015	2016	2017
Target	36	36	36	36	36	36	36
Actual	34	29	24	25	-	-	-

FTA is committed to continuing to provide quality, timely customer service to its grantees to deploy federal resources efficiently and effectively. FTA has been exceeding its goal to process each completed grant application within 36 days of receiving it since FY 2011 even while grant applications and Federal transit funding have far outpaced the increase in FTA’s workforce over the same period.

Percentage of major FTA federally funded transportation infrastructure projects with less than 2 percent annual growth for project completion milestones.	2011	2012	2013	2014	2015	2016	2017
Target	90%	90%	90%	90%	90%	90%	90%
Actual	70%	100%	87%	89%			

FTA is committed to effective oversight of its major capital projects to deliver them on-time for the benefit of the communities they will ultimately serve. This goal is to keep at least 90% of FTA major capital projects to less than a 2% difference in the completion of project milestones. FTA has been very close in meeting this goal over the past two years, and with our newly implemented and streamlined oversight process, FTA believes it will meet the 90% goal for 2015, and in the future.

Detailed Justification for the Administrative Expenses

What Is The Request And What Funds Are Currently Spent On The Program?

FY 2017 – ADMINISTRATIVE EXPENSES (\$000)

Program Activity	FY 2015 Actual	FY 2016 Enacted	FY 2017 Request	Difference from FY 2016
Administrative Expenses	105,933	108,000	115,017	7,017
Total	105,933	108,000	115,017	7,017

The budget requests \$115 million for FY 2017, a \$7 million increase over the FY 2016 enacted level of \$108 million. The increase is vital to the effective and efficient support of FTA's program responsibilities as it relates to transit safety and project management oversight activities, Capital Investment Grant project evaluation and oversight, core operations, and compulsory expenses such as salaries and benefits, the Working Capital Fund, rent, information technology, printing, and baseline contract costs which traditionally increase every fiscal year. Consistent with previous years' budget requests, FTA is requesting that the Administration Expenses Account be funded from the new Transportation Trust Fund.

Administrative Expenses -- FTE Summary

Program Activity	FY 2016 Enacted	FY 2017 Request	Difference from FY 2016
Administrative Expenses	521	560	39
Total	521	560	39

What Is This Program and Why is it Necessary?

The FTA is comprised of a national headquarters in Washington, D.C. and 10 regional offices located throughout the United States. The purpose of the *Administrative Expenses* budget is to provide resources to carry out FTA's mission to support high-quality public transportation systems that ensure access and mobility to the nation and its citizens. Furthermore, these resources support salaries, benefits, travel, rent, communications, printing, contracts, supplies, equipment and all other administrative and operational costs that allow FTA to manage and oversee \$75 billion in active transit grants annually.

FTA program funding supports transit systems through annual grant programs that provide substantial public benefits such as decreasing transportation-related fatalities and injuries,

including passengers and transit workers, reducing the need for roadway capacity for more automobiles, reducing congestion and pollution levels in many communities, and improving mobility and accessibility- particularly for low-income, the elderly, and disabled individuals who rely on public transportation to get to work, to school, and to medical appointments.. As the nation's population continues to grow, it is economically practical to invest in the expansion of the country's transit infrastructure.

At the end of FY 2015, FTA managed approximately \$75 billion in net total obligations of active grants. A significant share of the costs for administering these grants are funded from the Administrative Expenses account and represent approximately one percent of the FTA's annual budget.

FTA also manages several oversight programs covering transit safety, its many grant programs, almost a thousand grantees, and thousands of projects, both major capital projects, mid-size and smaller projects. The FTA's substantial oversight responsibilities and review of several lines of business include the following, with positions primarily funded from this account, such as:

- State Safety Oversight
- Project Management Oversight
- Procurement Oversight
- Financial Oversight
- Triennial Reviews
- State Management Reviews
- Procurement System Reviews
- Civil Rights Reviews
- Transit Asset Management, and the
- Transportation Infrastructure Finance and Innovation Act (TIFIA) Program transit loan portfolio

To ensure grantees comply with Congressional statutes and Federal regulations, Administrative Expenses resources are crucial to successfully execute the effort each oversight activity requires.

FY 2015 Base Accomplishments

- FTA is in the final stages of making necessary improvements to increase the efficiency of its financial and grants management system, and educating and informing current grantees about policy and procedural changes.
- In February 2015, FTA issued a Notice of Proposed Rulemaking (NPRM) for the State Safety Oversight (SSO) program.
- The FTA issued three reports to Congress – 1) the FY 2016 Annual Report on Funding Recommendations for the Capital Investment Grant (CIG) Program, 2) the 2014 Before and After Studies of CIG Projects Report, and 3) the MAP-21 Formula Changes Report on the Bus and Bus Facilities Program.
- The FTA issued quarterly reports on financial management oversight activities for capital projects to Congress.

- The FTA issued four final Program Circulars, which reflect changes made to programs by MAP-21. [Formula Grants for Rural Areas, State of Good Repair, Bus and Bus Facilities, and Research, Technical Assistance, and Training Programs].
- The FTA issued five proposed regulations, which reflect required changes to programs by MAP-21. [Transit Asset Management NPRM, State Safety Oversight NPRM, Public Transportation Safety Program NPRM, Bus Testing NPRM, and Safety Certification Training Requirements NPRM (Dec 2015)].
- In August 2015, FTA issued interim policy guidance related to Capital Investment Grants, which reflect changes to the program by MAP-21.

FY 2016 Anticipated Accomplishments

- Complete and implement the Safety Management System (SMS) safety training program.
- Complete a Final Rule establishing a National Transit Asset Management System.
- Finalize multiple safety rulemakings, including the State Safety Oversight Rule, National Safety Plan, Agency Safety Plan, and Training Requirements.
- Issue updated Buy America Handbook.
- Publish the Bus Testing Rule required by MAP-21, to establish a pass/fail system.
- Develop a baseline metric for Joint Development project outcomes.
- Publish the Private Sector Participation NPRM required by MAP-21 and updates to the Third-Party Contracting Circular.
- Complete standard operating procedures to address Disadvantaged Business Enterprise (DBE) shortfall reviews of the FTA's top 50 transit agencies.
- Issue multiple NOFA's for authorized discretionary competitions for FY 2016 funding.
- Implement other FAST Act priorities and programs.

- Sustain improvements in Employee Training and Development programs to enhance employee capabilities and satisfaction.

For FY 2017, FTA's budget requests funding to support increasing FTEs to 560 from 521, where it began FY 2016 with 525 on-board employees. FTA's authorized responsibilities have grown under previous surface transportation authorizations enacted by Congress along with the increase in program funding, active and new transit projects, and the number of grants awarded each year. The recently enacted FAST Act provides new and significantly expanded program authorities that strengthen public transportation safety requirements at the federal level, such as the issuance of nationwide transit safety directives, restrictions or prohibitions on operations at unsafe transit agencies, a review and report of the safety standards and protocols used in public transportation systems to examine the effectiveness of existing standards and protocols, and permits FTA to temporarily take over oversight responsibilities of an inadequate or incapable State Safety Oversight agency. Furthermore, the FAST Act provides increased program funding levels and modifications of requirements for the State of Good Repair and Bus Programs, and expands eligibility under the Capital Investment Grant program.

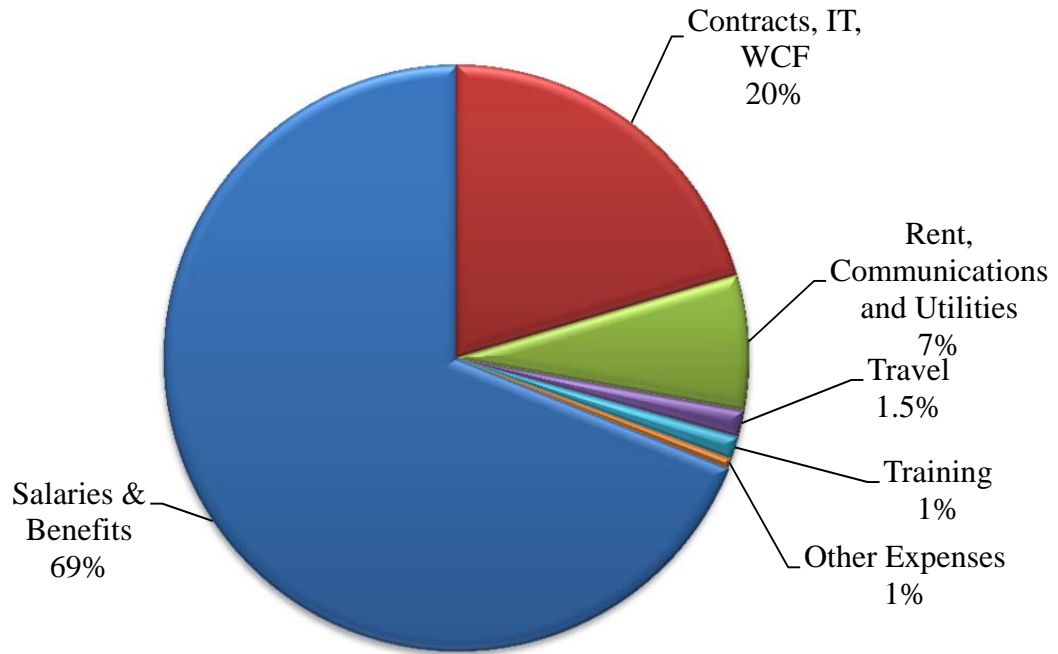
The FY 2017 budget request is based on continuing these activities while aggressively addressing the new transit safety requirements in the FAST Act, the nation's estimated \$86 billion State of Good Repair backlog, and the need to grow the capacity of transit systems to meet increasing ridership demand.

Why Do We Want/Need To Fund The Program At The Requested Level?

In FY 2017, approximately 71 percent of the \$115 million request supports the Personnel Compensation and Benefits (PC&B) costs of 560 FTE's within the Administrative Expenses budget. PC&B includes regular salaries and benefits paid to full-time, part-time, temporary, and intermittent employees and other costs including : terminal leave; overtime, holiday pay, night pay differential, post differentials, and hazardous duty pay; special personal services payments; relocation and other expenses related to a permanent change of station; transit benefits; worker's compensation payments; and benefits for former officers and employees or their survivors, such as unemployment compensation.

The remaining 29 percent of the administrative budget supports non-personnel costs such as rent, utilities, travel, training, contracts, equipment, supplies, and related expenses. Compulsory costs typically increase annually and include items such as salaries and benefits, the Working Capital Fund, rent , information technology, printing, contractual services, certain travel expenses for the execution of numerous and extensive oversight reviews, and training to maintain proficiencies and prepare leadership identified roles for existing and new employees agency-wide. The combination of these increases has forced FTA to institute significant cost savings measures, including a hiring slow-down, reductions to IT services, and cuts to other Headquarters and Regional operations including limiting many critical program oversight and review activities. These reductions are progressively reducing the effectiveness of FTA's program execution and oversight of \$75 billion in active grants.

Percentage of FY 2015 Actual Obligations by Object Class - Chapter 53 Administrative Expenses



FTA requests baseline increases in every office to enable the agency to restore staffing and operational support in FY 2017, allowing FTA to improve and increase overall program delivery and technical assistance. In addition, FTA requests staffing increases for the Office of Safety and Oversight, the Office of Planning and Environment, and the Regional Offices.

As FTA continues to mitigate the impact of administrative funding challenges which has progressively limited agency-wide productivity and effectiveness, without the increases requested in staffing and other resources, FTA may be at risk of systemic mission failure. This will have an immediate impact on the almost one thousand grantees who will experience first-hand the degradation in the quality of FTA's execution of program delivery and technical assistance. In particular, an increase in resources are required to address the substantial growth in FTA's transit safety requirements under MAP-21 and the FAST Act and to address the significant increase in capital projects.

**FTA Administrative Expenses (AE) Summary - FY 2013 – FY 2017
(\$000)**

Appropriation	FY 2013 Actual	FY 2014 Actual	FY 2015 Actual	FY 2016 Enacted	FY 2017 Request
Administrative Expenses (AE)	\$97.5	\$105.9	\$105.9	\$108.0	\$115.0
Obligations					
PC&B	\$68.2	\$69.0	\$73.0	\$74.9	\$81.3
Working Capital Fund	\$7.8	\$9.2	\$8.2	\$8.5	\$8.7
Rent & Utilities	\$7.9	\$7.8	\$7.9	\$8.1	\$8.3
Travel	\$0.9	\$1.1	\$1.7	\$1.8	\$1.9
Printing	\$0.1	\$0.0	\$0.1	\$0.1	\$0.1
Training	\$1.0	\$1.4	\$1.3	\$1.0	\$1.3
Contracts	\$10.7	\$16.1	\$11.9	\$12.4	\$12.1
Supplies	\$0.1	\$0.2	\$0.2	\$0.2	\$0.2
Equipment	\$0.2	\$0.6	\$1.0	\$1.0	\$1.1
Total Obligated	\$97.0	\$105.5	\$105.4	\$108	\$115
<i>PC&B as a % of total AE</i>	<i>70%</i>	<i>65%</i>	<i>69%</i>	<i>69%</i>	<i>71%</i>
All other costs as a % of total AE	30%	35%	31%	31%	29%

As noted, FTA has taken significant steps to reduce costs and operate as efficiently as possible.

Personnel Compensation and Benefits: \$81,278,400

Over the past decade, FTA responsibilities from previous surface transportation authorizations enacted by Congress have grown significantly faster than its administrative resources. The enactment of the FAST Act has considerably increased FTA’s transit safety oversight responsibilities, which translates to the need to grow its safety workforce. FTA also needs to increase the number of employees in the Office of Planning and Environment because of more environmental reviews and capital project applications, and in its Regional Offices because of more grant activity and oversight reviews. The FTA requests \$81.3 million in FY 2017 for salaries and benefits and related expenses for 560 FTEs.

Below is an itemized breakdown by office of the major components of the request for the FTA’s Administrative Expenses budget.

Full-time Equivalent and Full-time Positions by Office

FTA Office Symbol	FTA Office	FY 2015 Actual		FY 2016 Enacted		Difference from FY 2015 Actual & FY 2016 Enacted		FY 2017 Request		Difference from FY 2016 Enacted & FY 2017 Request	
		FTE	FTP	FTE	FTP	FTE	FTP	FTE	FTP	FTE	FTP
TOA	Office of the Administrator	6	7	7	8	1	1	7	8	0	0
TAD	Office of Administration	57	59	57	62	0	3	61	66	4	4
TCC	Office of Chief Counsel	31	33	30	38	-1	5	31	38	1	0
TCA	Office of Communications and Congressional Affairs	14	15	14	15	0	0	15	16	1	1
TPM	Office of Program Management	45	47	46	53	1	6	49	57	3	4
TBP	Office of Budget and Policy	52	55	49	55	-3	0	52	59	3	4
TRI	Office of Research Demonstration and Innovation	25	26	27	31	2	5	30	38	3	7
TCR	Office of Civil Rights	25	28	25	28	0	0	27	32	2	4
TPE	Office of Planning and Environment	34	36	36	44	2	8	39	44	3	0
TSO	Office of Transit Safety and Oversight	37	39	39	42	2	3	44	53	5	11
R1-10	Regional Offices	186	193	191	212	5	19	205	223	14	11
Total		512	538	521	588	9	50	560	634	39	46

Federal Transit Administration Expenses and FTE by Office

Total Personnel Compensation and Benefits:

	FY 2015 Actual		FY 2016 Enacted		FY 2017 Request	
	\$	FTE	\$	FTE	\$	FTE
Personnel Compensation and Benefits						
Total	74,489,630	512	74,921,705	521	81,278,400	560

The requested FTE level for FY 2017 is 560, and FTA anticipates hiring aggressively during the fiscal year to reach that number.

FTA's relatively small workforce continues to be productive and efficient to keep pace with the increase in responsibilities and requirements of prior authorizations and recently enacted FAST Act.. However, the FTA may be at risk of systemic mission failure if it is not able to increase its workforce in key offices to meet growing transit safety and project oversight demands.

Note: Since FY 2007, the FTA has centrally budgeted and managed its Personnel Compensation and Benefits. This provides overall efficiencies to handle attrition and hiring. Amounts budgeted within each office include, travel, training, supplies, equipment, and individual office contracts.

Office of the Administrator (TOA):

	FY 2015 Actual		FY 2016 Enacted		FY 2017 Request	
	\$	FTE	\$	FTE	\$	FTE
Office of the Administrator						
Total	82,400	6	79,880	7	81,560	7

The Office of the Administrator provides executive direction for the FTA headquarters and field organizations and is directly accountable to the Secretary and Deputy Secretary for successful mission and program accomplishments.

The FTA's FY 2017 funding request includes \$81,560 for the TOA and no increase in FTE.

Office of Administration (TAD):

	FY 2015 Actual		FY 2016 Enacted		FY 2017 Request	
	\$	FTE	\$	FTE	\$	FTE
Office of Administration						
Total	139,00	57	113,800	57	123,000	61

The Office of Administration provides a comprehensive program of management services and activities to FTA employees, including administrative and logistical support services, developing and maintaining FTA's automated enterprise and information systems (IT), promoting information technologies, and procuring and providing maintenance and support for all automated information systems. The procurement division administers a comprehensive program to plan, monitor and control the acquisition of material, equipment and services of direct procurement and third party contracting for the FTA. The Human Resources division develops and conducts programs related to staffing, employee management, benefits, and discipline and personnel actions.

The FTA's FY 2017 funding request includes \$123,000 for the TAD and increase of 4 FTEs to address the increase in personnel actions requested in the budget and needed IT and procurement staffing increases.

Office of Chief Counsel (TCC):

	FY 2015 Actual		FY 2016 Enacted		FY 2017 Request	
Office of Chief Counsel	\$	FTE	\$	FTE	\$	FTE
Total	344,365	31	330,505	30	339,745	31

The Office of the Chief Counsel is responsible for all aspects of the FTA's legal activities, including regulatory and legislative functions. Safety and other regulatory functions have expanded significantly during the past three years. This office reviews internal agency actions and actions taken by grant applicants and recipients to ensure that various legal requirements governing the FTA programs and activities have been met. The Office of Chief Counsel provides legal representation to the FTA and the Department in litigation arising in connection with Federal transit programs, in coordination with the Office of General Counsel and the Department of Justice.

The FTA's FY 2017 funding request includes \$339,745 for the TCC and includes hiring an additional attorney to address increases in general law responsibilities.

Office of Communications and Congressional Affairs:

	FY 2015 Actual		FY 2016 Enacted		FY 2017 Request	
Office of Communications and Congressional Affairs	\$	FTE	\$	FTE	\$	FTE
Total	58,600	14	52,720	14	56,640	15

The Office of Communications and Congressional Affairs is the agency's lead office for media relations, public affairs, and Congressional relations, providing quick response support to the Office of the Secretary, the agency, the public, and Members of Congress on a daily basis. The office disseminates information about FTA programs and policies to the public, the transit industry, and other interested parties through a variety of traditional and new social media. This office also coordinates the Administrator's public appearances and is responsible for managing correspondence and other information directed to and issued by the Administrator and Deputy Administrator.

The FTA's FY 2017 funding request includes \$56,640 for the TCA and includes hiring additional support staff to help manage the increase in congressional and communication responsibilities.

Office of Program Management:

	FY 2015 Actual		FY 2016 Enacted		FY 2017 Request	
Office of Program Management	\$	FTE	\$	FTE	\$	FTE
Total	182,000	45	163,100	46	175,700	49

The Office of Program Management (TPM) administers FTA’s discretionary and formula based public transportation capital and operating assistance funding programs. The office provides procedures and program guidance to assist the field staff and grant recipients in grant program administration and grant management requirements, and administers FTA’s grant making systems and grant data. In addition, TPM manages FTA’s oversight of \$60 billion in active major capital projects, and an additional \$15 billion for 6,800 active grants.

The FTA’s FY 2017 funding request includes \$175,700 for the TPM and includes an increase of 3 FTE to address the increase in grant program requirements resulting from changes in the FAST Act and project management oversight reviews.

Office of Budget and Policy (TBP):

	FY 2015 Actual		FY 2016 Enacted		FY 2017 Request	
Office of Budget and Policy	\$	FTE	\$	FTE	\$	FTE
Total	5,621,318	52	5,737,895	49	6,109,260	52

The Office of Budget and Policy implements and manages overall policy, strategic management and fiscal control for the FTA. Policy functions include: policy development or review of regulations, procedures and directives to implement policy initiatives and legislative requirements affecting the FTA; preparing and coordinating statutory reports to Congress; and conducting and monitoring policy research in support of the agency's mission. Budgeting functions include: developing the FTA budgets linked to performance; working with OMB and the Department of Treasury to receive apportionments; providing budgetary controls and ensuring that funds are expended in accordance with Administration and congressional intent. Strategic planning activities include: development and coordination of the FTA strategic plan; conducting program evaluations; and carrying out the requirements of the Government Performance and Results Act. Financial systems and accounting functions ensure the maintenance of the FTA's key financial and payment systems, maintain official financial records and control accounts on the FTA grants, and contract and control disbursements for the agency.

The FTA’s FY 2017 funding request includes \$6,109,260 for the TBP and includes an increase of 3 FTE to support regulatory impact analyses required by OMB rulemaking and budget analysts to address increases in both budget formulation and execution responsibilities related to new and expanded program funding.

Office of Research, Demonstration, and Innovation (TRI):

	FY 2015 Actual		FY 2016 Enacted		FY 2017 Request	
Office of Research, Demonstration, and Innovation	\$	FTE	\$	FTE	\$	FTE
Total	97,800	25	86,460	27	94,020	30

The Office of Research, Demonstration, and Innovation identifies the technology needs of the transit industry, and conducts a program of research, development, demonstration and deployment to meet those needs. The research is aimed at developing improved transit vehicles, systems, components and facilities by developing, testing and evaluating innovative technologies. This office provides technical assistance to U.S. transit supply and service industries to enhance the U.S. competitive position in global markets. Functions also include the management of the bus testing program, an important element of FTA's safety program.

The FTA's FY 2017 funding request includes \$94,020 for the TRI and includes an increase of 3 FTE to support work related to new bus testing requirements in MAP-21, growth in the Low and No Emissions competitive grant program, and transit safety research.

Office of Civil Rights (TCR):

	FY 2015 Actual		FY 2016 Enacted		FY 2017 Request	
Office Civil Rights	\$	FTE	\$	FTE	\$	FTE
Total	111,400	25	100,480	25	107,760	27

The Office of Civil Rights ensures implementation of all civil rights programs and equal opportunity requirements and ensures compliance by recipients of Federal assistance and entities that are subject to the FTA regulations. This office provides technical advice and assistance on all civil rights matters including: nondiscrimination in the provision of federally assisted transit services, Environmental Justice (EJ), compliance and enforcement of the Americans with Disabilities Act of 1990, as amended, and equal opportunity of grants recipients.

The FTA's FY 2017 funding request includes \$107,760 for the TCR and an increase of 2 FTE to address the increased workload related to civil rights cases and ADA requirements.

Office of Planning and Environment (TPE):

	FY 2015 Actual		FY 2016 Enacted		FY 2017 Request	
Office of Planning and Environment	\$	FTE	\$	FTE	\$	FTE
Total	125,400	34	110,280	36	120,360	39

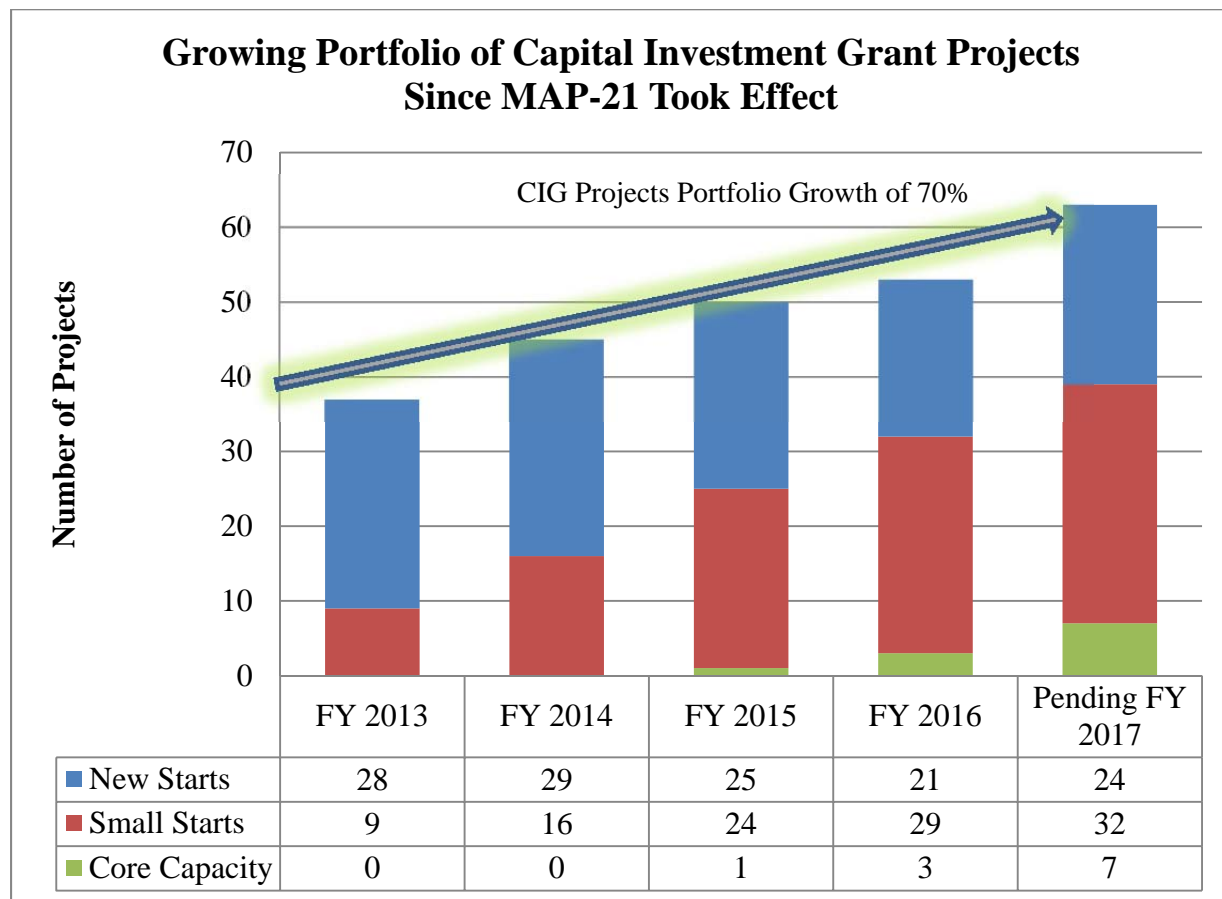
The Office of Planning and Environment administers a national program of metropolitan and statewide planning assistance, providing technical assistance to agencies and directing program implementation. This office also manages the pipelines of projects in the Capital Investment Program, including Small Starts, New Starts, and Core Capacity, as well as the Expedited Project Delivery Pilot. In addition, the office manages the requirements under the National Environmental Policy Act (NEPA) law, and oversees project delivery and coordination.

The FTA's FY 2017 funding request includes \$120,360 for the TPE and an increase of 3 FTE.

Additional staff resources are required in the TPE office to address the growth in the number of NEPA environmental reviews, and the growth in the pipeline of projects in the Capital Investment Grant program.

The total number of FTA projects being prepared as Environmental Impact Statements (EISs) has grown from 15 in FY 2014 to 33 in FY 2015, an increase of 120 percent. EIS projects are far more complex than Environmental Assessments, require more agency coordination, and have longer durations than Environmental Assessments, resulting in a significant overall increase in workload.

The Capital Investment Grant project development pipeline has increased 70 percent . since the passage of MAP-21. However, during this same period, FTA’s workforce has remained static. It is necessary for FTA to strengthen the capital project office’s workforce to meet the increasing demands of existing and future project reviews and oversight support.



In addition to the Capital Investment Grant pipeline, this office is also responsible for working with the Office of the Secretary on the evaluation and oversight of planning and capital TIGER projects, and TIFIA projects.

Office of Safety and Oversight (TSO):

	FY 2015 Actual		FY 2016 Enacted		FY 2017 Request	
Office of Safety and Oversight	\$	FTE	\$	FTE	\$	FTE
Total	400,270	37	387,240	39	394,950	44

The mission of the Office of Safety and Oversight is to establish guidelines for and oversee the safety of all modes of transit through policy development, hazard investigation & mitigation, data collection, risk analysis, effective oversight programs and information sharing.

MAP-21 granted FTA the authority to establish and enforce a new comprehensive framework to oversee the safety of public transportation throughout the United States as it pertains to heavy rail, light rail, buses, and streetcars. The FAST Act continues to focus emphasis on making transit safer for all riders and transit employees. An increase to the safety workforce will allow the FTA to ascertain, implement, and deploy new safety initiatives throughout the nation. These new opportunities and challenges translate to additional resources which are necessary to accomplish present and future responsibilities.

The FTA’s FY 2017 funding request includes \$394,950 for the TSO and an increase of 5 FTE.

Additional staff resources are required in the TSO office (and support offices) to finalize the remaining rulemakings to stand up the transit safety regulatory framework, to continue the work of standing up 30 State Safety Oversight agencies (SSOA), to continue to develop FTA’s accident investigation capabilities, to launch a safety data collection and analytics effort, and to address the additional safety studies and federal Minimum Safety Standards required in the FAST Act. Additionally the oversight arm of the TSO office has an increasing load of program and other types of overviews that must be completed each year.

Safety

Congress authorized federal oversight of rail transit safety in 2012 with the passage of MAP-21. FTA has been actively working to implement the new safety oversight framework, both nationally and at individual properties.

MAP-21 required several rulemakings to establish the program framework, and we expect to finalize the remainder of these rulemakings during 2016. In addition, MAP-21 increased the requirements and standards for State Safety Oversight agencies, and FTA is working closely with 30 SSOA’s to augment their existing programs to be compliant with the new transit safety requirements. State Safety Oversight agencies must meet these requirements to be well-functioning, capable safety oversight entities which provide timely and necessary safety reviews and oversight.

The FAST Act continued the safety progress from MAP-21 by explicitly providing for direct federal oversight when necessary, tasking FTA with the completion of several safety studies, and calling for the establishment of federal Minimum Safety Standards. In addition to the rulemakings that will result from this mandate for federal safety standards, the FAST Act also requires the FTA to pursue rulemaking for the protection of transit vehicle operators from assault.

In order to continue to implement the requirements of MAP-21 and to start the work of the FAST Act, FTA's Office of Transit Safety and Oversight requires significant additional staff resources. The office is actively working to carry out the activities required in statute to establish baseline regulatory functions mandated in statute. However, real-world safety events occur regularly across the transit industry, and regularly require the FTA to divert resources from baseline work to address time-sensitive safety concerns. Examples of these events include several high-profile accidents in Chicago and Washington, D.C. that required FTA safety personnel to conduct in-depth and long-term examinations and inspections.

In October of 2015, FTA's safety office assumed direct safety oversight of WMATA. While possessing the technical expertise to exercise direct oversight of WMATA, FTA added more than 20 employees on temporary detail from other government agencies to meet the increased workload.

For the FTA to be successful in establishing an industrywide safety program, implement industrywide safety and performance standards, monitor the industry to those standards, respond to accidents and incidents, and to provide direct safety oversight of transit properties around the country on short notice, the FTA will need a much more robust staffing level. New staff resources in the Office of Safety and Oversight would be directed to core functions critical to ensuring the safety of the transit industry; safety data collection and analytics, accident investigation, rulemaking & other legal efforts, and conducting required safety reviews of new capital projects.

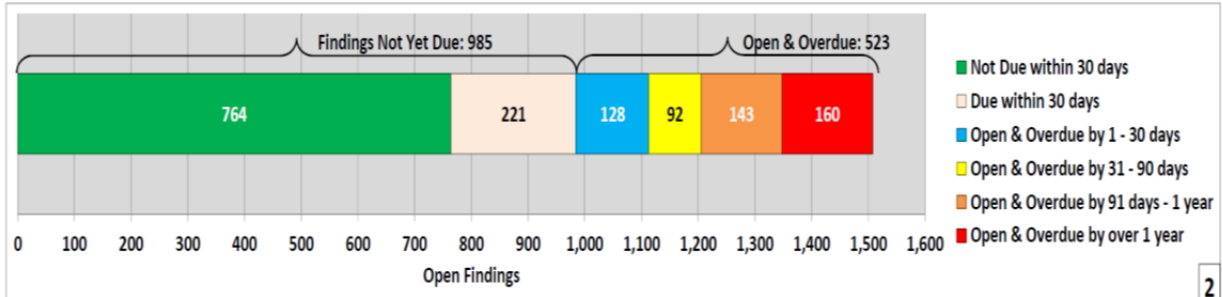
Oversight

In FY 2015, approximately 336 Program Oversight reviews were approved. The revision by FTA of the Triennial and State Management Review programs has resulted in improved oversight of grantees, but also additional workload. Sets of optional, add-on review question modules implemented in 2013 are used with increasing frequency, (48 instances in FY 2013, 68 in FY 2014, and 105 in FY 2015). The use of these optional question modules results in additional burden to FTA staff in the contract administration and review follow-up functions, but allow FTA to perform a much more thorough compliance assessment and protect the federal financial interest in transit investments.

Since 2013, the average number of deficiencies identified per Triennial Review has increased each year. As deficiencies become more common, FTA's burden of follow-up, provision of technical assistance, and deficiency closure increases. In the last three years, FTA has overseen the closure of over 4,000 grantee deficiencies, but as of December 2015 more than 1,500 open deficiencies remain. In order to improve grantee compliance, FTA requires additional staff to work with FTA's contractors as well as directly with grantees to provide them the technical assistance they need to deliver high quality public transportation service to customers.

All Open Findings from Triennial and State Management Reviews

Date Range: reviews conducted between FY 2000 - FY 2015, inclusive



Triennial Review and State Management Review Areas by Type

Review Area	# of Findings	% of All Findings
Procurement	384	25%
DBE	265	18%
ADA	216	14%
Technical Capacity	103	7%
Maintenance	81	5%
Financial Management / Capacity	77	5%
Satisfactory Continuing Control	57	4%
Other Areas	325	22%
1,508		

The DOT OIG and GAO have recommended changes to FTA's oversight programs that would improve the consistency of FTA's oversight and grantee compliance; however all of these changes require additional resources. Without increases in funding for staff, travel, and training, FTA will be unable to successfully implement several DOT OIG and GAO recommendations.

Regional Offices:

	FY 2015 Actual		FY 2016 Enacted		FY 2017 Request	
	\$	FTE	\$	FTE	\$	FTE
Total	1,207,451	186	1,018,009	191	1,051,940	205

The 10 Regional Offices provide certification of adherence to planning and environmental requirements; assistance with grant development & award; procurement approvals; approval of triennial, state management, procurement system, financial management oversight, and civil rights reviews; manage oversight certifications, reviews and findings; and technical assistance on project development. Regional offices also work closely with TPE on the Capital Investment Grant projects in their regions.

Regional offices continue to face challenges to visit sites and review them within specified periods due to the lack of sufficient staff and travel resources. As such, the FTA Regional offices are unable to schedule timely site visits due to limited resources, which may cause undiscovered existing safety and financial issues to persist without being addressed. The Additional 14 FTEs are required to address the growth in the number of NEPA environmental reviews, and the growth in the pipeline projects in the Capital Investment Grant program. Hiring and key deployment of additional manpower within the FTA Regional offices will significantly help increase the rate in which reviews and findings are completed and resolved.

The FTA’s FY 2017 funding request includes \$1,051,940 for the Regional Offices and 14 FTE. These additional FTE will be distributed throughout the 10 Regional Offices to address workload increases in environmental reviews, grant management, technical assistance, and oversight reviews.

Central Accounts:

Central Accounts	FY 2015 Actual *		FY 2016 Enacted		FY 2017 Request	
	\$	FTE	\$	FTE	\$	FTE
Total	23,073,366	N/A	24,858,926	N/A	24,892,226	N/A

* Specialized training for the FTA employees is funded from the Central account.

The Central Account provides for agency-wide operations such as rent payments for space, information technology investments, contract support services, health services, human resources services, equipment and equipment repair and maintenance, permanent change of station relocation costs, and Departmental Working Capital Fund costs.

The FTA’s FY 2017 funding request includes \$24,892,226 for the Central Accounts.

Travel: \$1,851,982

The budget request includes funding to meet the mission-critical travel requirements of successfully overseeing more than \$75 billion in active grants and FTA-funded major capital projects. The FTA staff at headquarters and 10 regional offices make site visits to transit agencies and properties to conduct quarterly reviews, technical assistance, program delivery and oversight activities such as:

- Capital Investment Grant project development
- TIFIA and TIGER project development
- State Safety Oversight
- Project Management Oversight
- Procurement Oversight
- Financial Oversight
- Triennial Reviews
- State Management Reviews
- Procurement system Reviews
- Civil Rights Reviews

Travel activities also consist of technical assistance in the planning and management of existing and proposed transit systems and infrastructure, engagement in legal actions, and attendance of quarterly meetings to discuss the FTA guidance, policies, and procedures. Many site visits are in rural areas of the country where transportation options are limited and travel costs are not competitive, and in some cases prohibitive, when compared to more heavily travelled urban areas. With the FTA's growing responsibilities and growing small and rural transit activity, the agency needs greater capacity to conduct mission-critical business with its partners and the public.

The FTA is actively taking advantage of information technology in order to reduce the cost of travel. For example, the use of video conferencing equipment is promoted in order to have virtual "face-to-face" meetings between headquarters and regions, and regions and transit agencies when practicable. However, this technology can only go so far to meet the needs of the agency and better serve the public. The FTA is also required to be on-sight to carry out planning certifications, triennial reviews, and project and financial management oversight; to participate in conferences; and to provide grant-making assistance to over 900 grantees and 6,000 subrecipients nationwide.

Transportation: \$102,000

Funding will provide for the travel and transportation costs of government employees and other persons, while in an authorized travel status, that are to be paid by the government either directly or by reimbursing the traveler. This includes both travel away from official stations, subject to regulations governing civilian and military travel, and local travel and transportation of persons in or around the official station of an employee. Transportation of things includes the transportation of government property and employee possessions (e.g. Permanent Change of Station).

GSA Rent: \$8,326,000

Rent costs include payments to the General Services Administration (GSA) and other non-GSA facility managers for rental of space and rent-related services, as well as physical security improvements required by the Department of Homeland Security. Monthly rent payments for the headquarters building, nine of ten of the FTA regional offices, and all associated metropolitan offices are made to GSA. (The Boston Regional Office space is rented through the Volpe National Transportation Systems Center.)

In addition to Boston, the FTA also has regional offices located in New York, Philadelphia, Atlanta, Chicago, Fort Worth, Kansas City, Denver, San Francisco, and Seattle.

Communications and Utilities: \$122,000

Funding for communications and utilities will provide for postage, contractual mail and messenger services, and rental of postage meter machines. The FTA will review all postal costs to validate the source of the cost and to identify opportunities for future cost avoidance or improvements in service.

Contractual Services: \$13,031,000

The budget request includes contracts that provide information technology (IT) support for existing technology infrastructure (e.g. help desk, web application support), IT development (e.g. web-based applications), and various interagency agreements (e.g. Federal Personnel Payroll System with Department of the Interior, Delphi accounting system support with the Federal Aviation Administration (FAA)).

Printing: \$130,000

The FTA is legally required to publish many of its rulemakings, policy guidance, and decisions in the Federal Register to allow for transparency and public comment. This involves grant announcements, grant apportionments, new rules and regulations, and various other announcements. As a result, the agency must use the Government Printing Office's (GPO) Federal Register. Since FY 2012, the agency has made a conscious effort to reduce the number of pages printed and directed readers of the Federal Register to the FTA website for many of the supporting documents and documentation associated with the particular publication.

Supplies and Materials: \$197,200

Supplies and materials covers office supplies, such as pencils, paper, calendar pads, and notebooks for headquarters and regional office staff. Supply funding also covers publications, including periodicals, pamphlets, books, and newspapers.

Equipment: \$175,000

Equipment funding will provide for miscellaneous office furniture and fixtures for the FTA headquarters and regional staff.

Information Technology Investments: \$13,570,000

The Federal government must effectively manage its portfolio of capital assets to ensure scarce public resources are wisely invested. Capital programming integrates the planning, acquisition, and management of capital assets into the budget decision-making process. It is intended to assist agencies in improving asset management and in complying with the results-oriented requirements of:

- The Government Performance and Results Act of 1993, establishing the foundation for budget decision-making to achieve strategic goals in order to meet agency mission objectives;
- The Federal Managers Financial Integrity Act of 1982, the Chief Financial Officers Act of 1990, and the Federal Financial Management Improvement Act of 1996, which require accountability of financial and program managers for financial results of actions taken, control over the Federal government's resources, and protection of Federal assets;

- The Paperwork Reduction Act of 1995, which requires agencies to perform their information resources management activities in an efficient, effective, and economical manner;
- The Clinger-Cohen Act of 1996, which requires agencies to use a disciplined capital planning and investment control process to acquire, use, maintain, and dispose of information technology;
- The Federal Information Security Management Act, which requires agencies to integrate IT security into their capital planning and enterprise architecture processes, conduct annual IT security reviews of all programs and systems, and report the results of those reviews to OMB;
- The Electronic Government Act of 2002, which requires agencies to support government-wide electronic government (E-gov) initiatives and to leverage cross-agency opportunities to further E-gov. The Act also requires agencies to establish a process for determining which government information the agency intends to make available and accessible to the public on the Internet and by other means. In addition, the Act requires agencies to conduct and submit to OMB privacy impact assessments for all new IT investments administering information in identifiable form collected from or about members of the public; and
- The Federal Records Act, which requires agencies to establish standards and procedures to assure efficient and effective records management. The National Archives and Records Administration (NARA) issues policies and guidance for agencies to meet their records management goals and requirements. NARA also provides policies and guidance for planning and evaluating investments in electronic records management.
- The Digital Accountability and Transparency (DATA) Act implementation calls for the establishment and implementation of Government-wide data standards for financial data to provide consistent, reliable, and searchable spending data for easy public consumption and is intended to increase the quality of the information captured in USASpending.gov. The FTA is required to fund this implementation over the next several years. As specific implementation requirements are provided to the FTA, it will promptly provide the Office of Management and Budget a cost estimate for modifications to its financial systems.

Administrative Cost Savings Efforts

FTA has operated on a very lean administrative budget for over 10 years. Consequently, the FTA has actively looked for ways to reduce its administrative costs in order to fund mission-critical activities. We have taken advantage of most piggy-backing or co-location opportunities and do not acquire unnecessary goods or services. Below are examples of cost savings activities undertaken in recent years.

Mission-Critical Travel

In FY 2012, OMB issued Memorandum 12-12 which transformed the travel policy and created restrictions on a currently constrained travel budget. Program Offices are to travel at a 30 percent overall decreased budget until FY 2017. While travel is essential for the FTA to carry out core business functions, the FTA has made a concerted effort to limit unnecessary, non-mission critical travel. The FTA has encouraged its program offices to decrease the number of employees attending site visits to the minimum number needed for an effective visit. This has saved the FTA thousands of dollars in travel related to mission-critical activities. Employees are also not allowed to travel to attend optional training – or training that does not contribute directly to the ability to perform important job requirements. For FTA, mission critical travel includes:

- Site visits to oversee multi-million or multi-billion dollar projects, which is FTA’s top travel priority;
- Participating in important meetings with grantees and project stakeholders to address immediate problems or issues;
- Attending selected conferences where the FTA can discuss guidance, policies and procedures with a critical mass of stakeholders in a region (such as State transit conferences);
- Attending mission-critical training that enables the FTA employees to perform their core functions and maintain important job-related certifications;
- Travel by the Administrator, Deputy Administrator, and other agency leadership to represent the FTA at important meetings and other official events; and
- Travel necessary for the FTA staff to carry out the agency’s core business.

Mission-Critical Training

The FTA places a priority on training to improve employee productivity and performance. Although, training in FY 2015 has increased slightly, managers have to target limited training resources to ensure that staff are receiving only mission-critical training, such as job related training to enhance skillset and increase Federal aptitude. Employees are not allowed to travel to attend training that does not contribute directly to the ability to the enhancement or duties of the occupation requirements.

Conference and Large Events

The FTA has adopted a new internal conference approval policy to ensure effective and efficient spending by closely reviewing all meetings, workshops, and conferences sponsored by the agency or attended by staff. This policy is consistent with OMB and DOT conference guidance and includes using a system that focuses travel resources on high-priority business such as safety, capital project management, and program oversight, with senior officials reviewing and approving all FTA-sponsored conferences/workshops that cost over \$20,000 and related travel plans.

Printing

The FTA will continue to control its printing costs by reducing the number of pages published in the Federal Register through posting supporting documents on-line that are not otherwise required to be published in the Federal Register. For example, the FTA published a 1-2 page notice in the Federal Register and posted additional material/tables on its website, which saved tens of thousands of dollars in printing costs. The FTA will continue to exercise similar options for its Notices of Funding Availability, grant announcements, and other required communications. FTA anticipates producing several programmatic regulations and guidance in FY 2016 and FY 2017. The FTA will use its web page to publish tables and related documents to a Federal Register Notice to the fullest extent possible while still complying with its legal requirements for printing various items.

In FY 2017, the FTA plans to continue various desktop print cost reduction efforts, such as:

- Maintaining the recently implemented switch to password controlled multi-functional printer (MFP) devices at headquarters, which have been shown to reduce print volumes. (Unprocessed print jobs are automatically deleted rather than printed);
- Maintaining print management settings default from color to black and white;
- Maintaining print management settings defaults to double-sided;
- Implementing a print management system that eliminates the need for cover sheets; and
- Ensuring use of improved sleep-mode for all MFP devices (using less power/energy).

Electronic Devices

Since FY 2012, the FTA has dramatically reduced the costs of portable devices and service fees. The Department was successful in negotiating a reduction of almost 50 percent in the monthly recurring costs for Blackberry, Broad Band Access Device, iDevice and cell phone service costs incurred by the FTA. The FTA has also continued its practice of exercising tight control over wireless devices, which must be justified by Associate or Regional Administrators or their Deputies and approved by the Associate Administrator for Administration or his/her Deputy

IT Devices – Laptop computers

The FTA is transitioning users from using full laptops and desktops to the use of a Virtual Desktop environment (VDI) based on the VMWare set of tools. Part of this idea is to move users to a “thin” or “zero” client, which serves as a low-cost gateway to a virtual desktop. As these clients are about 1/3 the cost of a tradition laptop, this results in a large cost savings to the FTA when it is time to replace out of warranty machines. As the VDI infrastructure is in place by the Department of Transportation’s Common Operating Environment (COE), there is no initial cost to the FTA to move users over (although the FTA and other DOT modes do pay in yearly to support the COE and initiatives such as these). The cost savings are directly realized as there are fewer funds spent during refresh. Additionally, these clients are easier to maintain, replace, and do not need to be refreshed according to traditional schedules (every 3-4 years); when they fail they can be replaced with a like model and employees experiences less disruption.

Vehicle Fleet

Within its 10-regional office structure, the FTA only maintains three vehicles in high-need regions where it is less expensive to use a vehicle than take air transportation. This represents less than one percent of DOT's total fleet. These are fuel-efficient vehicles and the FTA's FY 2017 goal is to continue to increase the use of alternative fuels in these vehicles.

Data Centers

The FTA currently does not own or operate any dedicated data centers. The FTA is co-located with DOT's primary data centers. These DOT data centers are located at the Integrated Communications Solutions facility (ICS) in Frederick, MD and at the DOT Headquarters in the Southeast Federal Center. The FTA has only one server in each regional office (this footprint was reduced from three servers to one by virtualization over the last three years).

What Benefits Will Be Provided To The American Public Through This Request?

The FY 2017 budget includes funding for core administrative activities that support the FTA operations in both headquarters and in 10 regional offices located throughout the country. With the full amount requested for the Administration Expenses account of the FY 2017 budget, FTA will have the resources to support approximately 560 FTEs and oversee an annual budget of about \$12.1 billion authorized by the FAST Act. The majority of FTA funding is awarded through grants to over 900 transit agencies and 6,000 subrecipients located throughout the country. FTA also supports transit safety, capital improvements and maintenance, and operations of smaller transit systems.

The FTA functions include safety oversight, financial management, grants management, research, training, legal and environmental reviews, contract management, human resource management, information technology, communications and legislative affairs, policy and regulatory development, civil rights, and project oversight. These functions are necessary to support a world-class public transportation system that keeps America moving.

FTA provides technical assistance and guidance to its grantees, evaluates funding applications and awards grants, and oversees grant-funded projects of which many are mega-projects with over \$1 billion in FTA funds, develops program and policy guidance for industry stakeholders, conducts research, and carries out essential financial management and organizational services. It is crucial that FTA strengthen its workforce to maintain the level of excellence in providing the transit industry safety oversight and regulations that sustain transit stability across the country.

**DEPARTMENT OF TRANSPORTATION
FEDERAL TRANSIT ADMINISTRATION
ADMINISTRATIVE EXPENSES**

Program and Financing (in millions of dollars)

Identification code: 69-8544-0-4-401		2015	2016	2017
		Actual	Enacted	Request
Obligations by program activity:				
0001	Administrative expenses	115
0900	Total new obligations	115
Budgetary resources:				
Budget authority:				
Appropriations, discretionary:				
1101	Appropriation (special or trust fund)	115
1137	Appropriations applied to liquidate contract authority	-115
Contract authority, mandatory:				
1600	Contract authority	115
1640	Contract authority, mandatory (total)	115
1900	Budget authority (total)	115
1930	Total budgetary resources available	115
Change in obligated balance:				
Unpaid obligations:				
3000	Unpaid obligations, brought forward, Oct 1
3010	Obligations incurred, unexpired accounts	115
3020	Outlays (gross)	-104
3050	Unpaid obligations, end of year	11
Memorandum (non-add) entries:				
3100	Obligated balance, start of year
3200	Obligated balance, end of year	11
Budget authority and outlays, net:				
Mandatory:				
4090	Budget authority, gross	115
Outlays, gross:				
4100	Outlays from new mandatory authority	104
4160	Budget authority, net (mandatory)	115
4170	Outlays, net (mandatory)	104
4180	Budget authority, net (total)	115
4190	Outlays, net (total)	104

**DEPARTMENT OF TRANSPORTATION
FEDERAL TRANSIT ADMINISTRATION
ADMINISTRATIVE EXPENSES**

Object Classification (in millions of dollars)

Identification code: 69-8394-4-401		2015	2016	2017
		Actual	Enacted	Request
Direct Obligations:				
Personnel compensation:				
11.1	Full-time permanent	-	-	61
11.3	Other than full-time permanent	-	-	1
11.5	Other personnel compensation			1
11.9	Total personnel compensation	-	-	63
12.1	Civilian personnel benefits	-	-	19
21.0	Travel and transportation of persons	-	-	2
23.1	Rental payments to GSA	-	-	9
23.3	Communications, utilities, and miscellaneous charges	-	-	-
25.2	Other services from non-Federal sources	-	-	1
25.3	Other goods and services from Federal sources	-	-	17
25.4	Operation and maintenance of facilities			1
25.7	Operation and maintenance of equipment	-	-	2
26.0	Supplies and materials	-	-	-
31.0	Equipment	-	-	1
	Total new obligations	-	-	115

**CAPITAL
INVESTMENT
GRANTS
TAB**

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CAPITAL INVESTMENT GRANTS

(LIQUIDATION OF CONTRACT AUTHORITY)

(LIMITATION ON OBLIGATIONS)

(TRANSPORTATION TRUST FUND)

Contingent upon enactment of multi-year clean transportation plan authorization legislation, for the payment of obligations incurred in carrying out 49 U.S.C. 5309, \$3,500,000,000, to be derived from the Mass Transit Account of the Transportation Trust Fund and to remain available until expended: Provided, That funds available for the implementation or execution of activities authorized under 49 U.S.C. 5309 shall not exceed total obligations of \$3,500,000,000 in fiscal year 2017.

CAPITAL INVESTMENT GRANTS

PROGRAM AND PERFORMANCE

The 2017 Budget presents the Federal Transit Administration's 21st Century Clean Transportation Plan Investments and account structure, including the creation of a new Capital Investment Grants account funded from the Mass Transit Account of the Transportation Trust Fund.

The 2017 Budget request includes \$3.5 billion for this account to increase the capacity of the nation's transit network and to meet ridership demands in many communities. This is accomplished by supporting the construction of new fixed guideway systems or extensions to fixed guideways, corridor-based bus rapid transit systems, and core capacity improvement projects. These projects include heavy rail, light rail, commuter rail, bus rapid transit, and streetcar systems that are administered by communities across the country. FTA allocates resources to grantees through a multi-year, multi-step competitive process. Prior to funding, each project is required to obtain an acceptable rating under a set of statutorily defined criteria that examine project merit and local financial commitment.

The Administration proposes to move a number of current General Fund programs into the Transportation Trust Fund as part of its multi-year 21st Century Clean Transportation Plan Investments. Amounts reflected in this schedule represent the new mandatory contract authority and outlays supporting these programs. PAYGO costs will be calculated as the change between these amounts and reclassified baseline amounts in the existing General Fund accounts.

EXHIBIT III-1

**FEDERAL TRANSIT ADMINISTRATION
CAPITAL INVESTMENT GRANTS
Summary by Program Activity
Appropriations, Obligation Limitations, and Exempt Obligations
(\$000)**

	FY 2015 ACTUAL (GF)	^{1/}	FY 2016 ENACTED (GF)	FY 2017 REQUEST (TF)	CHANGE FY 2016 - 2017
	<hr/>		<hr/>	<hr/>	<hr/>
Capital Investment Grants (GF/TF)	2,120,000		2,177,000	3,500,000	1,323,000

1/ The total funding available for the Capital Investment Grants program in FY 2015 is \$2.148 billion and includes \$2.120 billion in new budget authority and \$27.9 million of prior year unobligated balances.

Program and Performance Statement

The Capital Investment Grants program is an important component of the Administration’s efforts to improve mobility by offering alternatives to automobile travel, and reduce the impact of auto emissions on the environment. Capital Investment Grants support these efforts by providing funding to expand existing transit systems and add new transit corridors across the nation. FTA funds the construction of new fixed guideway systems or extensions to fixed guideway systems, corridor-based bus rapid transit systems, and core capacity improvement projects. These include heavy rail, light rail, commuter rail, bus rapid transit, and streetcars in communities across the country.

EXHIBIT III-1a

**CAPITAL INVESTMENT GRANTS
SUMMARY ANALYSIS OF CHANGE FROM FY 2016 TO FY 2017
Appropriations, Obligations, Limitations, and Exempt Obligations
(\$000)**

	Change from FY 2016 to FY 2017 \$000	Change from FY 2016 to FY 2017 FTE
FY 2016 BASE	2,177,000	N/A
Adjustments to Base:	-	
SUBTOTAL, ADJUSTMENTS TO BASE	<hr/> -	
NEW OR EXPANDED PROGRAMS:		
Capital Investment Grants	1,323,000	
SUBTOTAL, NEW OR EXPANDED PROGRAMS	<hr/> 1,323,000	
FY 2017 REQUEST	3,500,000	

**EXHIBIT III-2
ANNUAL PERFORMANCE RESULTS AND TARGETS
CAPITAL INVESTMENT GRANTS**

The Federal Transit Administration (FTA) integrates performance results into its budget request to demonstrate alignment with the Department of Transportation’s Strategic Plan. When evaluating these goals, please note the following:

- 1) Final 2015 ridership numbers will not be available until ~ August 2016 but are still being reported through FTA’s National Transit Database (NTD) and will need to be validated before final numbers are released.
- 2) The market share metric for 2014 is based on census data that will not be available until the early 2016.
- 3) The asset backlog number is reported in the Department of Transportation’s 2013 Conditions and Performance (C&P) report.
- 4) Safety data is populated with preliminary numbers at this time.

FTA tracks the following DOT level performance measures to demonstrate program results:

DOT Goal/Outcome: Economic Competitiveness / Improve the contribution of the transportation system to the Nation’s productivity and economic growth.

Increase the total number of urban boardings from 10.4 billion to 11.2 billion by 2018.	2011*	2012*	2013	2014	2015	2016	2017
Target			10.5B	10.6B	10.8B	10.9B	11.1B
Actual	10.12B	10.33B	10.39B	10.53B			

Increase the total number of rural boardings to at least 154 million by the end of 2014.	2011*	2012*	2013	2014	2015	2016	2017
Target	140M	144M	148M	154M	N/A	N/A	N/A
Actual	142.1M	140.2M	136M	143.1M	N/A	N/A	N/A

This measure was developed for the U.S Department of Transportation’s (DOT) 2018 Strategic Plan in 2013, so no targets are available for 2010-2012. The goal for this measure is to increase the number of annual transit boardings reported to FTA to at least 11.2 billion by 2018.

The purpose of public transportation is twofold -- it provides individuals in communities with transportation options for their daily life, and it provides basic mobility to individuals who may

not be able to drive. Increasing public transportation ridership demonstrates that's FTA's grant investments and research efforts support the services that meet those needs for millions of Americans every day.

DOT Goal/Outcome: Economic Competitiveness / Improve the contribution of the transportation system to the Nation's productivity and economic growth.

Increase the transit market share among commuters to work in at least 10 of the top 50 urbanized areas by population, when compared to a 2010 baseline.	2011	2012	2013	2014	2015	2016	2017
Target	2	4	5	6	7	8	9
Actual	1	4	3	NA			

Public transportation's role in providing additional transportation options for America's communities is reflected indirectly in data reported by the Bureau of the Census' American Community Survey on what modes of transportation people are selecting for their daily commute to work. These modal choices tend to be very stable over time, but increasing use of public transportation will be reflected in the number of cities showing a statistically-significant (i.e. at least 0.5 percentage points or more) increase in market share for public transportation from the 2010 baseline.

CAPITAL INVESTMENT GRANTS

Detailed Justification for the Capital Investment Grants Program

What Is The Request And What Funds Are Currently Spent On The Program?

FY 2017 – CAPITAL INVESTMENT GRANTS (\$000)

Program Activity	FY 2015 Actual 1/	FY 2016 Enacted	FY 2017 Request	Difference from FY 2016
Capital Investment Grants (GF/TF)	2,120,000	2,177,000	3,500,000	1,323,000

1/ The total funding available for the Capital Investment Grants program in FY 2015 is \$2.148 billion and includes \$2.120 billion in new budget authority and \$27.9 million of prior year unobligated balances.

The FY 2017 Budget requests \$3.5 billion for *Capital Investment Grants* (CIG) to fund four categories of projects:

- Section 5309 New Starts Projects
 - Projects that receive more than \$100 million in Section 5309 discretionary funding or have an estimated total capital cost equal to or exceeding \$300 million.
- Section 5309 Small Starts Projects
 - Projects that receive less than \$100 million in Section 5309 discretionary funding and have an estimated total capital cost less than \$300 million.
- Section 5309 Core Capacity Improvement Projects
 - Corridor-based improvement projects that enhance capacity by at least 10 percent in existing fixed-guideway corridors at capacity today or that will be at capacity in five years or less.
- Section 3005(b) of the FAST Act Expedited Delivery Pilot Program
 - For up to eight New Starts, Small Starts, or Core Capacity projects as defined under Section 3005(b) of the FAST Act that are seeking not more than 25 percent Federal funding and that are supported, in part, by a public private partnership but are operated by an existing public transportation provider.
 - The FAST Act specifies that within 120 days of receipt of a grant request from a project sponsor wishing to be selected to this pilot program, FTA must provide written notice of approval of the grant or a detailed explanation for the reason the grant request is not approved. For FTA to approve a grant, funds must be made available to this category in advance of projects applying.

In recent years, FTA has made great strides in improving and streamlining the Capital Investment Grants program process. This includes improving the evaluation measures to reduce reporting burden and accelerating the evaluation process for project sponsors, while maintaining a sufficiently rigorous process to justify the commitment of taxpayer dollars.

Of the \$3.5 billion request for the Capital Investment Grants program in FY 2017, approximately \$3.39 billion is requested for:

- \$1,383 million for existing New Starts construction grant agreement commitments already in place;
- \$950 million for New Starts Projects that have not yet received a construction grant agreement but expect to soon;
- \$599 million for Small Starts Projects that have not yet received a construction grant agreement but expect to soon; and
- \$458 million for Core Capacity improvement projects in corridors that are at capacity today or will be within five years.

The funds proposed for New Starts, Core Capacity and Small Starts include specific project funding recommendations as well as a small amount of funds for other projects currently in the program pipeline that were unable to receive a rating and funding recommendation at the time of the President's FY 2017 budget submittal, but potentially could receive an acceptable rating of Medium or higher prior to the end of FY 2017. Importantly, FTA has been encouraging project sponsors to submit information for evaluation and rating on an on-going basis throughout the year, not simply by one fixed deadline for annual budget considerations. By providing projects in the pipeline the potential to advance to construction grant agreements when they are ready, rather than making them wait for the next Federal budget cycle to be completed, an opportunity exists to advance the projects more quickly and thereby minimize cost escalation and possible financing costs. To the extent that pipeline projects can be advanced after the FY 2017 Budget is submitted to Congress, but sooner than the FY 2018 Budget submittal, they would be eligible for some portion of the funding proposed in this category.

Per the provisions of the FAST Act, one percent is requested for FTA oversight, totaling \$35 million in the request.

Lastly, \$76 million will support the Expedited Delivery Pilot Program outlined in Section 3005(b) of the FAST Act, which allows FTA to select up to eight projects.

The following is a list of existing and new construction grant agreements for Capital Investment Grants projects (see next page).

**Proposed FY 2017 Funding for FTA Capital Investment Grant Program
Funding in Millions**

Existing New Starts Full Funding Grant Agreements - Projects Under Construction or Open for Service		
CA Regional Connector	Los Angeles	\$ 125
CA Westside Subway Section 1	Los Angeles	\$ 125
CA Third Street Light Rail Phase 2 - Central Subway	San Francisco	\$ 173
CA Silicon Valley Berryessa Extension Project	San Jose	\$ 125
CO Eagle Commuter Rail	Denver	\$ 175
FL SunRail Phase II South	Orlando	\$ 16
HI High Capacity Transit Corridor Project	Honolulu	\$ 244
MA Green Line Extension	Boston	\$ 150
NC LYNX Blue Line Extension - Northeast Corridor	Charlotte	\$ 125
OR Portland-Milwaukie Light Rail Project	Portland	\$ 125
Total Existing New Starts Full Funding Grant Agreements		\$ 1,383

New Starts Not Yet Under Construction Grant *		
CA Westside Subway Extension Section 2	Los Angeles	\$ 125
CA Mid-Coast Corridor Transit Project	San Diego	\$ 125
CA Santa Ana and Garden Grove Streetcar	Santa Ana/Garden Grove	\$ 125
MD Maryland National Capital Purple Line	Washington DC Area	\$ 125
MN Southwest LRT	Minneapolis	\$ 125
TX TEX Rail	Fort Worth	\$ 125
WA Lynnwood Link Extension	Seattle	\$ 125
Other New Starts Projects That May Become Ready During FY2017		\$ 75
Total New Starts Not Yet Under Construction Grants		\$ 950

Core Capacity Not Yet Under Construction Grant		
CA Caltrain Peninsula Corridor Electrification Project	San Carlos	\$ 125
IL Chicago, Red and Purple Line Modernization Project Phase 1	Chicago	\$ 125
NY New York, Canarsie Power Improvements	New York	\$ 84
TX Dallas, DART Red and Blue Lines Platform Extension	Dallas	\$ 49
Other Core Capacity Projects That May Become Ready During FY2017		\$ 75
Total Core Capacity Not Yet Under Construction Grant		\$ 458

Small Starts Not Yet Under Construction Grants		
AZ Tempe Streetcar	Tempe	\$ 75
CA Downtown Riverfront Streetcar	Sacramento	\$ 75
FL Wave Streetcar	Fort Lauderdale	\$ 11
FL East Corridor	Jacksonville	\$ 17
IN Red Rapid Transit Line	Indianapolis	\$ 75
MI Laker Line BRT	Grand Rapids	\$ 57
MO Prospect MAX Bus Rapid Transit	Kansas City	\$ 30
NM Rapid Transit Project	Albuquerque	\$ 69
WA Swift II BRT	Everett	\$ 43
WA Seattle Center City Connector	Seattle	\$ 75
Other Small Starts Projects That May Become Ready During FY2017		\$ 72
Total Small Starts Not Yet Under Construction Grants		\$ 599

Expedited Delivery Pilot Program	\$ 76
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Oversight Activities	\$ 35
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Grand Total	\$ 3,500
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* Funding recommendations for New Starts not yet under a construction grant agreement are based on assumptions that take into account project readiness and proposed increases in overall Capital Investment Grant program funding. Thus, many of these projects are recommended in FY 2017 for \$125 M rather than the \$100 M recommended and received in prior year funding. Future funding recommendations for these projects will reflect the annual payments negotiated in the construction grant agreements.

What Is This Program And Why Is It Necessary?

The Capital Investment Grant program is a competitive discretionary grant program that funds major transit capital projects including heavy rail, light rail, commuter rail, bus rapid transit projects, and streetcars. There are three categories of eligible projects under Section 5309:

- New Starts -- projects that receive \$100 million or more in Capital Investment Grant funding or have an estimated capital cost equal to or exceeding \$300 million;
- Small Starts -- projects that receive less than \$100 million in Capital Investment Grant funding and have a total estimated capital cost of less than \$300 million; and
- Core Capacity Improvement -- projects that enhance capacity by at least 10 percent in existing fixed-guideway corridors that are at capacity today or will be in five years.

Capital Investment Grant program funding directly benefits many communities across the country by supporting economic growth and sustainability, enabling transit systems to carry more passengers to meet increasing demands for transit, and by providing the public with more transportation options. Program partners include State and local governments and transit agencies. FTA provides capital funding and performs project oversight to ensure that planning projections are based on realistic assumptions and that design and construction follow acceptable industry practices. Currently, demand for Capital Investment Grant funding exceeds supply—there are more than 66 projects in the grant pipeline either with existing construction grant agreements already in place or awaiting construction grant agreements.

The law requires FTA to evaluate and rate proposed Capital Investment Grant projects at specific points during the process against a statutorily-defined set of criteria examining project justification and local financial commitment. FTA implemented recent changes designed to move projects through the process more quickly and estimates these changes will reduce the time it takes to get through the project evaluation process by six months or more. Additionally, the new process allows for simplified data development approaches, ensures consideration of benefits that transit projects provide to the environment and disadvantaged populations, and the impact they have on economic development.

The Capital Investment Grant program is needed because it allows transit agencies to undertake major capital projects that would otherwise be infeasible for local governments and transit agencies to finance alone. Many of the nation's transit systems struggle to keep up with the increased demand for their services as ridership continues to grow. State and local governments are resource constrained; they rely on the multi-year funding this program provides to help fund these large-scale investments.

Additionally, many metropolitan areas around the country are pursuing a comprehensive program of multiple transit capital projects to provide an integrated transportation network. As such, the Capital Investment Grant program is facing increasing financial pressure to not only support the buildout of these comprehensive networks, but also to continue to advance single corridor projects in other areas around the country where fixed guideway transit services are fairly new undertakings. An equitable distribution of Capital Investment Grant funds will be increasingly difficult without adequate funding levels.

For all of the reasons mentioned above, sufficient Capital Investment Grant program funding is critical for meeting the current demand for and future needs of transit, and the economic development opportunities that are fostered with these investments in communities nationwide.

FY 2015 Accomplishments

- In March 2015, a 9.4-mile bus rapid transit line operating in an exclusive lane opened for service in Connecticut. The line provides an attractive option for riders to avoid congestion on traffic-prone I-84. The route connects downtown Hartford and New Britain. The U.S. Department of Transportation (DOT) contributed \$454.6 million toward the \$567 million CTfastrak project. Federal funds included \$275.3 million through FTA's Capital Investment Grant Program, \$114.2 from the Congestion Mitigation Air Quality Highway Program, and \$65.1 million in other FTA funds.
- In August 2015, Sacramento's Blue Line light rail extension to Cosumnes River College opened for service, which significantly improves transit options for residents traveling between downtown Sacramento and the growing South Sacramento corridor. The project is expected to serve approximately 2,800 new daily trips in addition to existing average weekday light rail ridership of approximately 39,400. FTA contributed \$135 million toward the \$270 million total project cost through the Capital Investment Grant Program, and an additional \$7.1 million in other DOT funds. The remaining cost was covered by state and local funding.
- In September 2015, the Portland-Milwaukie light rail project opened for service, otherwise known as the MAX Orange Line. The new service significantly expands transit options and creates easier commutes for thousands of residents traveling between downtown Portland and the Milwaukie suburbs. The line is expected to provide 22,800 average weekday trips by 2030. FTA contributed \$745.2 million for the project through the Capital Investment Grant Program, covering half of the total project cost of \$1.49 billion. The remaining cost was covered by state and local sources.
- FTA signed two full funding grant agreements (FFGA) during FY 2015 and six Small Starts construction grant agreements.
 - The New Starts projects receiving FFGAs included:
 1. FL-Orlando, SunRail Phase 2 South, expected to serve 2,000 daily trips. This FFGA was signed in September 2015.
 2. MA-Cambridge to Medford, Green Line Extension, expected to serve 37,900 daily trips. This FFGA was signed in January 2015.
 - The Small Starts projects receiving construction grant agreements included:
 1. CA-Fresno, Blackstone-Kings Canyon BRT, expected to serve 7,200 daily trips. This construction grant was signed in July 2015.
 2. CA-Oakland East Bay BRT, expected to serve 27,000 daily trips. This construction grant was signed in November 2014.

3. FL-Jacksonville, BRT North Corridor, expected to serve 4,600 daily trips. This construction grant was signed in May 2015.
4. OR-Eugene, West Eugene EmX Extension, expected to serve 1,675 daily trips. This construction grant was signed in September 2015.
5. TX-El Paso, Dyer Corridor BRT, expected to serve 3,400 daily trips. This construction grant was signed in September 2015.
6. WA-Vancouver, Fourth Plain BRT expected to serve 5,700 daily trips. This construction grant was signed in September 2015.

FY 2016 Anticipated Accomplishments

FTA anticipates signing five full funding grant agreements (FFGAs) during FY 2016 and seven to eight Small Starts construction grant agreements.

New Starts projects:

- Los Angeles, CA, Westside Section 2, expected to serve 21,900 daily trips
- San Diego, CA, Mid-Coast Corridor, expected to serve 22,500 daily Trips
- Denver, CO, Southeast Extension, expected to serve 11,500 daily trips
- Washington, DC Area, Maryland National Capital Purple Line, expected to serve 56,100 daily trips
- Fort Worth, TX, TEX Rail, expected to serve 7,500 daily trips

Small Starts projects:

- FL-Jacksonville, BRT Southeast Corridor, expected to serve 4,750 daily trips. This construction grant was signed in December 2015.
- San Francisco, CA, Van Ness Avenue BRT, expected to serve 52,400 average daily trips
- San Rafael, CA, San Rafael to Larkspur Regional Connector, expected to serve 820 daily trips
- Charlotte, NC, City LYNX Gold Line Phase 2, expected to serve 5,700 daily trips
- Reno, NV, 4th St/Prater WAY corridor, expected to serve 6,200 average weekday trips
- Columbus, OH, Cleveland Avenue BRT, expected to serve 6,600 daily trips
- El Paso, TX, Montana Corridor BRT, expected to serve 4,400 average weekday trips
- Provo, UT, Provo Orem BRT, expected to serve 11,300 daily trips
- Tacoma, WA, Tacoma Link Light Rail Expansion, expected to serve 4,100 daily trips

Why Do We Want/Need To Fund The Program At The Requested Level?

The \$3.5 billion budget request supports existing and new construction grant agreements for New Starts, Small Starts, and Core Capacity projects as well as funding for the Expedited Delivery Pilot Program created in the FAST Act. These projects will expand transportation options and provide economic benefits to communities where the public seeks alternatives to driving. Transit systems across the country play an important role by carrying tens of millions of riders each day to jobs, commercial centers, schools and colleges. FTA's budget request continues important and strategic investments in public transportation infrastructure to help meet these needs. Without funding at the requested level, projects with existing construction grant agreements and new projects included in the budget could be delayed leading to higher finance costs paid for by the project sponsors and FTA since we share in those finance costs.

Providing a transparent and streamlined Capital Investment Grant program enables FTA to deliver more quickly important transit infrastructure projects in communities across the country. The \$3.5 billion request for the Capital Investment Grant program will help ensure FTA is able to effectively support the Administration's economic competitiveness, mobility, and environmental goals.

How Do We Know The Program Works?

Transit capital investments yield significant benefits.

- Every \$1 billion of Federal investment in public transportation supports approximately 13,000 jobs.
- According to industry reports, every \$1 billion invested in public transit generates an estimated \$3.5 billion in economic activity; and each year 4 billion gallons of gasoline are saved and 37 million metric tons of carbon dioxide emissions are avoided because of public transit.
- Studies have also shown that privately funded development in areas surrounding transit stations increase property values of adjacent homes and businesses by as much as 130 percent.
- Transit in America's cities saves travelers an estimated \$13.7 billion and 646 million hours in delays commuting every year.

Further, transit ridership is at the highest level in five decades totaling almost 10.7 billion trips annually.

Demographic changes related to an aging population, the percentage of 14 to 34 year-olds without a driver's license continues to grow, and the migration of the population to urban areas will continue to affect demand for transit. Demand for transit is already evident in many communities and by the number of transit projects requesting Capital Investment Grant program funds. There are currently more than 66 projects in the Capital Investment Grant program pipeline and their request for Capital Investment Grant program funding well exceeds the program's current funding levels.

As further evidence of the demand for transit and the success of the Capital Investment Grant program, FTA requires each New Starts project sponsor to complete a “Before-and-After Study” two years after a project has been open for service in which the sponsor must compare the estimated project capital cost with the actual cost to complete and estimated and actual ridership data.

In the 2013 Before-and-After Study report to Congress, FTA reported on six studies completed by project sponsors on the following projects that opened for service in 2008 and 2009:

1. Weber County to Salt Lake Commuter Rail; Salt Lake City, Utah
2. Central Phoenix / East Valley Light Rail; Phoenix, Arizona
3. Wilsonville to Beaverton Commuter Rail; Washington and Multnomah Counties, Oregon
4. Metro Gold Line Eastside Extension; Los Angeles, California
5. Northstar Corridor Rail Project; Minneapolis, Minnesota
6. Central Link Initial Segment and Airport Link; Seattle, Washington

Of the six projects above, five completed construction within the capital cost estimate anticipated within their respective Full Funding Grant Agreements (FFGA). Only one project, the Weber County Commuter Rail, slightly exceeded its FFGA cost estimate. Despite opening the six projects during difficult local economic conditions, each has attracted “new” riders that switched from automobile to transit. Four have already met their ridership forecasts, while one project, the Phoenix East Valley light rail, has exceeded its ridership forecast.

In the 2014 Before-and-After Study report to Congress published by FTA in March 2015, FTA reported on three studies completed by project sponsors on projects that opened for service in 2009, 2010, and 2011:

1. Green Line Light Rail Project; Portland, Oregon
2. Northwest-Southeast Light Rail Project; Dallas, Texas
3. Mountain Link Bus Rapid Transit Project; Flagstaff, Arizona

The actual realized capital cost and ridership for the Portland project were both within 5 percent of predicted levels at the FFGA stage. The actual capital cost for the Dallas and Flagstaff projects matched the estimates included in the construction grant agreements. Ridership results for the Dallas project are pending completion of a ridership survey by the transit agency.

What Benefits Will Be Provided To The American Public Through This Request?

- Recent nationwide ridership numbers have reached 10.7 billion trips per year. Census and other demographic trends indicate that we can expect strong transit ridership growth in the future.
- The United States will face a population increase of an estimated 100 million new residents by 2050 nationwide, and much of that growth will be concentrated in cities with existing but inadequate transit services that are unable to handle the increased demand for transit.

- As the population ages, an increasing number of elderly adults depend on public transit to access medical care and other vital services. At the same time, the percentage of 14 to 34 year-olds without a driver's license continues to grow. Taken together, these trends produce unprecedented stress and pressure on the ability of our nation's public transportation systems to respond and provide sufficient service.
- The Capital Investment Grant program is one of the largest competitive Federal grant programs. It funds new and extended heavy rail, light rail, commuter rail, bus rapid transit, and streetcar projects and provides for reinvestment in highly successful fixed guideway transit corridors experiencing capacity constraints. It also allows for consideration of Programs of Interrelated Projects with multiple projects advancing to construction concurrently or within reasonable timeframes of one another in order to incentivize the completion of comprehensive transit networks.
- There are currently 66 projects in the program seeking funding, more than at any time in the program's 30-year history—a clear indication of the intense demand from communities around the United States for new and expanded transit services.
- FTA has extensive experience successfully administering the Capital Investment Grant program. These competitive grants are awarded only after projects are evaluated and rated according to statutorily-defined criteria and the projects have progressed satisfactorily through a multi-step process defined in law.

A new pilot program added in the FAST Act -- Expedited Delivery Pilot Program includes New Starts, Small Starts, and Core Capacity projects as those terms are defined under Section 3005(b) of the FAST Act. Project sponsors interested in this program can request no more than 25 percent Federal funding and must be supported, in part, by a public private partnership. The FAST Act allows FTA to select up to eight projects for this pilot program and specifies that within 120 days of receipt of a grant request from a project sponsor wishing to be selected to this pilot program, FTA must provide written notice of approval of the grant or a detailed explanation for the reason the grant request is not approved. For FTA to approve a grant within the 120-day timeframe, funds must be made available in advance of projects applying.

**DEPARTMENT OF TRANSPORTATION
FEDERAL TRANSIT ADMINISTRATION
CAPITAL INVESTMENT GRANTS**

Program and Financing (in millions of dollars)

Identification code: 69-8543-4-7-401		2015	2016	2017
		Actual	Enacted	Request
Obligations by program activity:				
0001	Direct program activity	1,875
0900	Total new obligations	1,875
Budgetary resources:				
Budget authority:				
Appropriations, discretionary:				
1101	Appropriation (special or trust fund)	3,500
1137	Appropriations applied to liquidate contract authority	-3,500
1160	Appropriation, discretionary (total)
Contract authority, mandatory:				
1600	Contract authority	3,500
1640	Contract authority, mandatory (total)	3,500
1900	Budget authority (total)	3,500
1930	Total budgetary resources available	3,500
Memorandum (non-add) entries:				
1941	Unexpired unobligated balance, end of year	1,625
Change in obligated balance:				
Unpaid obligations:				
3000	Unpaid obligations, brought forward, Oct 1
3010	Obligations incurred, unexpired accounts	1,875
3020	Outlays (gross)	-1,015
3050	Unpaid obligations, end of year	860
Memorandum (non-add) entries:				
3100	Obligated balance, start of year
3200	Obligated balance, end of year	860
Budget authority and outlays, net:				
Mandatory:				
4090	Budget authority, gross	3,500
Outlays, gross:				
4100	Outlays from new mandatory authority	1,015

**DEPARTMENT OF TRANSPORTATION
FEDERAL TRANSIT ADMINISTRATION
CAPITAL INVESTMENT GRANTS**

Program and Financing (in millions of dollars)

		2015	2016	2017
Identification code: 69-8543-4-7-401		Actual	Enacted	Request
4160	Budget authority, net (mandatory)	3,500
4170	Outlays, net (mandatory)	1,015
4180	Budget authority, net (total)	3,500
4190	Outlays, net (total)	1,015
Memorandum (non-add) entries:				
5061	Limitation on obligations (Transportation Trust Funds)	3,500

**DEPARTMENT OF TRANSPORTATION
FEDERAL TRANSIT ADMINISTRATION
CAPITAL INVESTMENT GRANTS**

Object Classification (in millions of dollars)

		2015	2016	2017
Identification code: 69-8543-4-7-401		Actual	Enacted	Request
Direct obligations:				
0001	Other services from non-Federal sources	40
0900	Grants, subsidies, and contributions	1,835
	Total new obligations	-	-	1,875

**WASHINGTON
METROPOLITAN
AREA TRANSIT
AUTHORITY
TAB**

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WASHINGTON METROPOLITAN AREA TRANSIT AUTHORITY

For grants to the Washington Metropolitan Area Transit Authority as authorized under section 601 of division B of Public Law 110-432, \$150,000,000, to remain available until expended: *Provided*, That the Secretary shall approve grants for capital and preventive maintenance expenditures for the Washington Metropolitan Area Transit Authority only after receiving and reviewing a request for each specific project: *Provided further*, That prior to approving such grants, the Secretary shall determine that the Washington Metropolitan Area Transit Authority has placed the highest priority on those investments that will improve the safety of the system before approving such grants: *Provided further*, That the Secretary, in order to ensure safety throughout the rail system, may waive the requirements of section 601(e)(1) of title VI of Public Law 110-432 (112 Stat. 4968).

WASHINGTON METROPOLITAN AREA TRANSIT AUTHORITY

PROGRAM AND PERFORMANCE

The Federal Rail Safety Improvements Act, 2008, (P.L. 110–432, Title VI, Sec. 601), provided authorization for capital and preventive maintenance projects for the Washington Metropolitan Area Transit Authority (WMATA). Funding will help WMATA address its reinvestment and maintenance backlog to improve the safety and reliability of service and to expand existing system capacity to meet growing demand. The Secretary will use his authority to approve grants under this program to ensure that available funds first address WMATA's most critical safety needs.

EXHIBIT III-1

**WASHINGTON METROPOLITAN AREA TRANSIT
AUTHORITY**

**Summary by Program Activity
Appropriations, Obligation Limitations, and Exempt Obligations
(\$000)**

	FY 2015 ACTUAL (GF)	FY 2016 ENACTED (GF)	FY 2017 REQUEST (GF)	CHANGE FY 2016 - 2017
WMATA	150,000	150,000	150,000	-

Program and Performance Statement

This program provides grants to the Washington Metropolitan Area Transit Authority (WMATA) for capital investment and rehabilitation activities. In October 2015 and in response to a National Traffic Safety Board (NTSB) recommendation that the safety oversight of WMATA had to be improved, the Secretary directed the FTA to assume oversight of safety for WMATA. To that end, FTA created a WMATA Safety Oversight Team made up of a multidisciplinary staff from FTA and other DOT agencies. The team is responsible for leading the safety inspections of WMATA, overseeing WMATA's implementation of safety corrective action plans, and assuming lead oversight of the safety role performed by the Tri-State Oversight Committee (TOC) until a new State Safety Oversight Agency is created.

In addition, the Secretary will use his authority to approve grants funded under this program to ensure that available funds first address WMATA's most critical safety needs. The budget requests \$150 million in FY 2017, the same level that Congress appropriated in FY 2016. The Passenger Rail Investment and Improvement Act (PRIIA) of 2008 authorizes that total funding shall not exceed \$1.5 billion and is to be available, subject to annual appropriations, in \$150 million increments over 10 fiscal years beginning in fiscal year 2009.

EXHIBIT III-1a

**WASHINGTON METROPOLITAN AREA TRANSPORTATION AUTHORITY
SUMMARY ANALYSIS OF CHANGE FROM FY 2016 TO FY 2017
Appropriations, Obligation Limitations, and Exempt Organizations
(\$000)**

	Change From FY 2016 to FY 2017 (\$000)	Change From FY 2016 to FY 2017 FTE
	<hr/>	<hr/>
FY 2016 Base	150,000	N/A
Adjustments to Base:	-	
SUBTOTAL, ADJUSTMENTS TO BASE	<hr/> -	
NEW OR EXPANDED PROGRAMS		
Washington Metropolitan Area Transit Authority	-	
SUBTOTAL, NEW OR EXPANDED PROGRAMS	<hr/> -	
FY 2017 REQUEST	150,000	

Detailed Justification for Grants to the Washington Metropolitan Area Transit Authority

What Is The Request And What Funds Are Currently Spent On The Program?

FY 2017 –WASHINGTON METROPOLITAN AREA TRANSIT AUTHORITY (\$000)

Program Activity	FY 2015 Actual	FY 2016 Enacted	FY 2017 Request	Difference from FY 2016
WMATA	150,000	150,000	150,000	-
Total	150,000	150,000	150,000	-

The budget requests \$150 million for FY 2017 for capital grant funding. This Federal contribution helps WMATA address its capital maintenance backlog, including pressing safety-related investments, to ensure matching capital funding from WMATA's local compact members (VA, MD & DC.)

What Is This Program?

This is a Federally-administered capital grant program specifically established to support WMATA. Its purpose is to provide WMATA with the support to make important investments that address critical safety needs.

The beneficiaries of the program are the system riders, commuters and visitors to the Nation's capital who depend on reliable and safe transit service. WMATA is critical to the mobility of the Washington area, with recent data showing that 47 percent of all peak period riders are Federal employees.¹

As in previous years, in FY 2017 FTA will develop a grant agreement with WMATA detailing how and where these capital funds will be used. Since FY 2010, Congress has directed that FTA prioritize funding to first address the immediate safety shortfalls identified by the National Transportation Safety Board (NTSB), which were issued in response to WMATA's July 2009 deadly rail crash.² As Secretary Foxx announced recently, FTA established a team within its Office of Transit Safety & Oversight to manage FTA's safety leadership of State Safety Oversight work related to WMATA Metrorail. FTA took this step due to several events in recent years that indicate inadequate safety oversight of the Metrorail system by the Tri-State Oversight Committee (TOC). FTA had already completed a comprehensive Safety Management Inspection of WMATA Metrorail and Metrobus in 2015, so this action is built

¹ Metro Washington Council of Governments, Compelling Case for WMATA, no date, <http://www.mwcog.org/uploads/committee-documents/v11YWV420041108095736.pdf>

² National Transportation Safety Board, Collision of Two Washington Metropolitan Area Transit Authority Metrorail Trains Near Fort Totten Station, Washington, DC, June 22, 2009, July, 2010, <http://www.nts.gov/doclib/reports/2010/RAR1002.pdf>

upon that foundation. While WMATA is responsible for the safety of its own operations and system, FTA will take every step to ensure WMATA is taking appropriate actions and using Federal funds toward that end.

FTA will direct the TOC in its core safety oversight duties under existing Federal regulations while FTA assumes the lead role for key functions of the Metrorail State Safety Oversight Program, including specifically, enforcement of FTA's two Safety Directives to WMATA and WMATA's compliance with the Corrective Action Plan carrying out the two Directives. FTA will also support an expedited effort led by Virginia, Maryland and the District of Columbia, and managed by the Metropolitan Washington Council of Governments, to establish a new, fully compliant, staffed, adequately resourced, and capable State Safety Oversight Agency (SSOA) to replace the TOC as soon as possible.

The FTA safety oversight of Metrorail has a few key elements. First, WMATA remains in charge of daily Metrorail operations and management and is responsible for the safety of its service and system. Second, under safety authorities granted under MAP-21 and strengthened under the FAST Act, FTA ensures that all State Safety Oversight responsibilities are carried out for Metrorail. It is important to emphasize that the TOC continues to exist and is performing core safety oversight activities under the direction of FTA while the District of Columbia, Maryland, and Virginia negotiate the terms of an Interstate Compact or other authority to create an SSOA with adequate human and financial resources, and enforcement authority, compliant with the FAST Act.

FTA is taking lead responsibility to ensure and verify that WMATA implements all required corrective actions approved by both FTA and the TOC. This includes all open corrective actions arising from past safety incidents and findings, and those yet to be developed as a result of closing open investigations and following from any new safety incidents or findings.

FTA will also conduct on-the-ground inspections, lead accident investigations as warranted and exercise its authority to direct the use of Federal funds received by WMATA to ensure they are used to improve Metrorail safety. Safety will continue to be a top priority of FTA as it develops its grant agreements with WMATA in FY 2017.

WMATA is now a mature transit system with an aging capital base. Unlike other major rail systems, WMATA lacks a dedicated local funding source. This Federal appropriation leverages an additional \$150 million in matching funds provided by the District of Columbia, the State of Maryland, and the Commonwealth of Virginia that WMATA needs to support adequate levels of capital reinvestment. Without adequate reinvestment, transit assets can deteriorate and ultimately affect system reliability, performance and safety.

FY 2015 Base Accomplishments

Between FY 2010 and FY 2015 Congress appropriated \$892 million in funding to address WMATA's capital needs. The District of Columbia, the State of Maryland, and the Commonwealth of Virginia matched these funds dollar-for-dollar. In total, the FTA has approved \$1.48 billion in WMATA capital projects as of April 2015. Of the \$740 million in Federal funds obligated to-date, approximately 63 percent (\$466 million) has been outlayed (spent).

Beginning with the Consolidated Appropriations Act, 2010 (Public Law 111-117), certain conditions were placed on the use of those funds, requiring that WMATA place the highest priority on "investments that will improve the safety of the system, including but not limited to fixing the track signal system, replacing the 1000 series rail cars, installing guarded turnouts, buying equipment for wayside worker protection, and installing rollback protection on cars that are not equipped with this safety feature." Specifically, among other investments, funds will be used to replace WMATA's "1000-Series" rail cars, which were cited by the NTSB as a contributing factor in the severity of passenger injuries and the number of fatalities in the June 2009 Red Line crash near Fort Totten Station.

FTA partners with WMATA, which is responsible for implementing projects to improve the safety and condition of its system. Grants have supported closing 513 corrective actions since FY 2010. These were corrective actions identified by the NTSB, FTA, the TOC, APTA, and WMATA. Grants supported numerous projects that improved the safety and reliability of the National Capital Region's transportation system.

The following activities have been accomplished as of March 31, 2015:

- \$92.3 million has been invested in critical rail system track and structures rehabilitation projects. This work includes, but is not limited to, major rebuilding efforts on the oldest parts of the system, the replacement of aging rail infrastructure assets throughout the system, development of redundant safety monitoring systems along the right-of-way, replacement of potentially disruptive track circuits, and the replacement of traction-power cable.
- \$10.8 million for a major procurement to replace the 1000 Series railcars (oldest in the fleet). The first eight production railcars were recently received and tested and are now in revenue service.
- \$25.8 million for maintenance and other facilities, including rail-yard facilities repairs and rehabilitation and a test track and commissioning facility to support the delivery and acceptance of the 7000 Series railcars.
- \$6.4 million for maintenance equipment, including the purchase and installation of wheel truing machine equipment at three rail-yards.
- \$26.4 million for investments to improve passenger facilities. This work includes a major program to rehabilitate elevators and escalators throughout the system as well as investments to rehabilitate and restore rail stations.

FY 2016 Anticipated Accomplishments

WMATA will continue to work with the FTA to develop grant agreements that support ongoing investments to improve the safety of its system. A significant portion of the planned work for FY 2016 continues many of the programs and projects mentioned above. This includes

continued investments in the replacement of the 1000 Series railcars, continue delivery of the replacement railcars, completion of the test track and commissioning facility for accepting new railcars, rehabilitation of elevators and escalators, major rehabilitation work on line-segments, replacement of aging track and structure assets, development and implementation of system safety monitoring tools, rail yard and bus maintenance facility upgrades, and the procurement of track maintenance equipment.

Why Do We Need To Fund The Program At The Requested Level?

The \$150 million request represents the Federal government's annual funding commitment that leverages an additional \$150 million in local matching funds from the District of Columbia, the State of Maryland, and the Commonwealth of Virginia. The three jurisdictions have signed onto the terms of the *Federal Rail Safety Enhancement Act of 2008*, which requires that each Federal grant cover no more than 50 percent of net project costs, and that the remaining 50 percent be provided in cash from sources other than Federal funds or revenues from the operation of public mass transportation systems. Each jurisdiction has committed to providing an equal amount of additional funding to match the \$150 million in annual Federal funds.

What Benefits Will Be Provided To The American Public Through This Request?

Funding for FY 2017 will enable WMATA to continue to improve the condition of its transit system, which transports hundreds of millions of commuters and visitors in the Nation's capital each year. This funding is a crucial part of ensuring the continued benefits of a reliable transit system, which has spurred over \$37 billion in economic development at or adjacent to WMATA property and removes 500,000 automobiles daily from the region's roads, which are consistently ranked among the Nation's most congested.^{3,4}

³ Testimony of Richard Sarles before Subcommittee on Health Care, District of Columbia, Census and National Archives under the Committee on Oversight and Governmental Reform, U.S. House of Representatives, June 24, 2011, <http://democrats.oversight.house.gov/images/stories/SUBCOS/624%20dccna%20metro/Sarles%20and%20Taborn20Testimony.pdf>

⁴ Washington Area Metropolitan Transit Authority, 2011-2020 Capital Needs Inventory, February, 2010, http://www.wmata.com/pdfs/planning/CNI_02.19.10.pdf

**DEPARTMENT OF TRANSPORTATION
FEDERAL TRANSIT ADMINISTRATION
WASHINGTON METROPOLITAN AREA TRANSIT AUTHORITY**

Program and Financing (in millions of dollars)

Identification code: 69-1128-0-1-401		2015	2016	2017
		Actual	Enacted	Request
Obligations by program activity:				
0001	Washington Metropolitan Area Transit Authority	282	150	150
0900	Total new obligations (object class 41.0)	282	150	150
Budgetary resources:				
Unobligated balance:				
1000	Unobligated balance brought forward, Oct 1	150	18	18
Budget authority:				
Appropriations, discretionary:				
1100	Appropriation	150	150	150
1131	Unobligated balance of appropriations permanentl
1160	Appropriation, discretionary (total)	150	150	150
1930	Total budgetary resources available	300	168	168
Memorandum (non-add) entries:				
1941	Unexpired unobligated balance, end of year	18	18	18
Change in obligated balance:				
Unpaid obligations:				
3000	Unpaid obligations, brought forward, Oct 1	169	353	319
3010	Obligations incurred, unexpired accounts	282	150	150
3020	Outlays (gross)	-98	-184	-154
3050	Unpaid obligations, end of year	353	319	315
Memorandum (non-add) entries:				
3100	Obligated balance, start of year	169	353	319
3200	Obligated balance, end of year	353	319	315

**DEPARTMENT OF TRANSPORTATION
FEDERAL TRANSIT ADMINISTRATION
WASHINGTON METROPOLITAN AREA TRANSIT AUTHORITY**

Program and Financing (in millions of dollars)

Identification code: 69-1128-0-1-401		2015	2016	2017
		Actual	Enacted	Request
Budget authority and outlays, net:				
Discretionary:				
4000	Budget authority, gross	150	150	150
	Outlays, gross:			
4010	Outlays from new discretionary authority	0	38	38
4011	Outlays from discretionary balances	98	146	116
4020	Outlays, gross (total)	98	184	154
4070	Budget authority, net (discretionary)	150	150	150
4080	Outlays, net (discretionary)	98	184	154
4180	Budget authority, net (total)	150	150	150
4190	Outlays, net (total)	98	184	154

**DEPARTMENT OF TRANSPORTATION
FEDERARAL TRANSIT ADMINISTRATION
WASHINGTON METROPOLITAN AREA TRANSIT AUTHORITY**

Object Classification (in millions of dollars)

		2015	2016	2017
Identification code: 69-1128-0-1-401		Actual	Enacted	Request
Direct obligations:				
41.0	Grants, subsidies, and contributions	282	150	150

**21st Century Clean
Transportation Plan
Investments**

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21st CENTURY CLEAN TRANSPORTATION PLAN INVESTMENTS

What Is The Request And Why Is It Necessary?

FY 2017 – 21st CENTURY CLEAN TRANSPORTATION PLAN INVESTMENTS (\$000)

Program Activity	FY 2015 Actual	FY 2016 Enacted	FY 2017 Request	Difference from FY 2016
Transit Formula Grants	-	-	5,860,000	5,860,000
Rapid Growth Area Transit Program (TF)	-	-	525,000	525,000

The FY 2017 budget includes \$6.4 billion in investments for transit systems in cities, fast-growing suburbs, and rural areas as part of the President’s 21st Century Clean Transportation Plan Investments. Specifically, these investments include \$5.9 billion for Transit Formula Grants and \$525 million for a new Rapid Growth Area Transit program. The goal for these investments will be to provide clean energy transportation options for American families that reduce traffic congestion and provide alternatives for families to get to work, to school, to medical appointments and to the store.

Transit Formula Grants will provide formula-based transit capital assistance grants to help maintain and rebuild the Nation's transit infrastructure through increases in Urbanized Formula Grants, Bus and Bus Facilities Grants, State of Good Repair Grants, and in funding that supports Ladders of Opportunity initiatives. These amounts are in addition to FTA’s budget request for its base programs as authorized in the FAST Act.

Of the funds requested:

- \$450 million shall be apportioned to urbanized areas with a population of at least 50,000;
- \$ 1.5 billion shall be apportioned for Bus and Bus Facilities grants;
- \$ 3.7 billion shall be apportioned for State of Good Repair grants;
- \$205 million supports Ladders of Opportunity initiatives for the following programs:
 - *Transit Oriented Development Partnership Fund* - \$100 million
 - *Rides to Wellness Discretionary Program* - \$50 million
 - *Transit Fare Pricing Pilot Program* – \$25 million
 - *Workforce Development* - \$20 million
 - *Integrated National Payment System* - \$10 million

Urbanized Area Formula Grants -- \$ 450 million would be apportioned to urbanized areas with a population of at least 50,000, but not more than 200,000, are eligible for both capital and operating assistance. Operating costs continue to be eligible expenses for all urban areas under 200,000 in population; and, in certain circumstances, operating costs may be eligible expenses in urban areas with populations over 200,000. Additionally, Urbanized Area grants may be used to support Job Access and Reverse Commute activities. These funds are designed to accelerate fundamental reform of federal formula funds across transportation modes in a way that will help promote clean energy transportation technologies and improve mobility outcomes for communities.

Bus and Bus Facilities Grants-- \$1.5 billion would be apportioned for bus and bus facilities grants to replace, rehabilitate and purchase buses and related equipment and to construct bus-related facilities. Funding is provided through formula allocations and competitive discretionary grants. The goal is to support transit providers that use Federal transportation infrastructure funds to support clean energy technologies and improve energy efficiency.

State of Good Repair -- \$3.7 billion would be apportioned for State of Good Repair grants to provide financial assistance to public transit agencies that operate rail fixed-guideway and high-intensity motorbus systems for the maintenance, replacement, and rehabilitation of capital assets. One of FTA's highest priorities is restoring the Nation's transportation infrastructure to a state of good repair. Almost \$86 billion in public transportation assets are not in a State of Good Repair. Funding would allow FTA to help transit systems across the nation address an asset backlog of capital projects and asset management requirements. The goal is to improve and maintain transportation systems that are efficient, attractive, and reliable and at the same time use clean energy technologies to improve air quality and energy efficiency.

Ladders of Opportunity - \$205 million ensures that transportation continues to play a critical role in connecting all Americans and communities to economic opportunity. DOT can help more Americans reach job opportunities by ensuring that our transportation system provides reliable, safe, and affordable ways to reach jobs, education and other essential services. The choices we make regarding transportation infrastructure at the Federal, State, and local levels can revitalize communities, create pathways to work, and connect hardworking Americans to a better quality of life. Funding will allow for innovative programs that improve the balance of funding and decision-making for regional governments that will provide smarter, cleaner, and more integrated communities.

- *Transit Oriented Development Partnership Fund* .—\$100 million. Funding supports a new Transit-Oriented Development Partnership Fund to help finance station area improvements, in conjunction with the development of affordable housing and other vital community services near transit lines.
- *Rides to Wellness* – \$50 million. This program proposes a new stand-alone research demonstration program to better link transportation to healthcare.
- *Ensuring Equal Access Using Multi-Tiered Transit Fare Payment Systems* – A \$25 million pilot transit fare pricing program to increase equal access and mobility for low-income transit riders.
- *Human Resources and Training* – \$20 million. To help FTA carry out human resources and training activities within the transit industry, as well as to establish a competitive

workforce development grant program. FTA's goal is to improve the skill-sets, knowledge, and abilities of transit industry employees that operate increasingly complex vehicle and equipment systems as well as build new pathways into the transit industry for job-seekers.

- *Integrated National Transportation Payment Systems – \$ 10 million.* This program will establish and operate a seamless, national payment medium that provides travelers with access to all modes of transportation whether transit, rail, bike sharing, toll collection or regional car sharing fees. The goal for this program will be to increase commuter ridership which would help improve multi-modal transportation options for communities.

The FY 2017 Budget also requests \$525 million for capital grants for Rapid Growth Area Transit projects that serve a high-traffic transportation artery located in an urbanized area that has experienced moderate to significant population growth. The funding will assist these communities by helping address the strain population growth has on existing transportation systems. By supporting investments in bus rapid transit (BRT) systems, which may include acquisition of right-of-way or land for purposes of future enhancements to public transportation in the project corridor, this program will help to quickly increase access to affordable and flexible transportation options in these growing communities. This program is designed to quickly put Federal funds to work in these communities and support effective investment by encouraging multi-modal approaches to transportation planning.

Under this program, a State or local government entity (including transit agencies) would be eligible to compete for these funds, after demonstrating that the area being served has experienced moderate to significant population growth, that the transit system has experienced ridership increases, and that the government entity has the financial capability to operate the system. Funding for this program will support up to 50 percent of the costs associated with the construction of BRT projects, which may include acquisition of right-of-way or land for purposes of future enhancements to public transportation in the project corridor in rapidly growing communities. This program will also provide incentives to leverage multi-modal funding along the corridor as 30 percent of the local funding match can be derived from Federal-Aid Highway funding -- for a total Federal match of 80 percent. The remaining 20 percent of matching funds could be a combination of State, local, or private funds.

While FTA has a history of making grants for BRT projects through its Capital Investments Grants program, this program will serve a unique need of providing a quick and flexible response to meet the congestion and mobility needs of growing communities. Through a streamlined application and review process, FTA will provide growing communities with targeted investments that can quickly be implemented into high quality, high volume transit service, improving the mobility options of its residents.

The Rapid Growth Area Transit Program is necessary because it will allow transit agencies to undertake high-quality, cost-effective transit solutions in communities experiencing strong population and transit ridership growth.

**SECTION 4:
RESEARCH,
DEVELOPMENT
AND TECHNOLOGY
TAB**

EXHIBIT IV-1
PUBLIC TRANSPORTATION INNOVATION
DEPARTMENT OF TRANSPORTATION
BUDGET AUTHORITY
(In thousands of dollars)

	FY 2015 Actuals	FY 2016 Enacted	FY 2017 Request	FY 2017 Applied	FY 2017 Development
A. Public Transportation Innovation (TF)					
<i>Research, Development, Demonstration and Deployment</i>	-	20,000	20,000	2,500	17,500
<i>Transit Cooperative Research Program (TCRP)</i>	-	5,000	5,000	5,000	-
<i>Low to No Emissions Vehicle Component Assessment</i>	-	3,000	3,000	-	3,000
Public Transportation Innovation Subtotal	-	28,000	28,000	7,500	20,500
C. Transit Research (GF)					
<i>Research, Development, Demonstration and Deployment</i>	7,500	-	-	-	-
<i>Low to No Vehicle Emissions Deployment Buses (in addition to above)</i>	22,500	-	-	-	-
<i>Transit Cooperative Research Program (TCRP)</i>	3,000	-	-	-	-
E. Subtotal, Research and Development	4,050	7,500	7,500	7,500	20,500
Subtotal, Demonstration, Deployment and Evaluation	28,950	20,500	20,500	-	-
Total FTA	33,000	28,000	28,000	7,500	20,500

This Exhibit IV-1, "Research, Development and Technology", and any related summary, fulfills the requirements of 23 USC 508 (b) – Annual Report, in effect on December 3, 2015. The Department of Transportation recognizes the changes to this requirement effected by the passage of the Fixing America's Surface Transportation (FAST) Act (P.L. 114-94; Dec. 4, 2015; 129 Stat. 1312), creating Chapter 65 – Research Planning in Subtitle III of title 49, United States Code. The Department will implement the new requirements with the FY 2018 Budget Estimates.

**ADMINISTRATIVE
PROVISIONS
TAB**

FEDERAL TRANSIT ADMINISTRATION

ADMINISTRATIVE PROVISIONS—FEDERAL TRANSIT ADMINISTRATION

[(INCLUDING RESCISSION)]

SEC. 160. The limitations on obligations for the programs of the Federal Transit Administration shall not apply to any authority under 49 U.S.C. 5338, previously made available for obligation, or to any other authority previously made available for obligation.

SEC. 161. Notwithstanding any other provision of law, funds appropriated or limited by this Act under the heading "Fixed Guideway Capital Investment" of the Federal Transit Administration for projects specified in this Act or identified in reports accompanying this Act not obligated by September 30, [2020]2021, and other recoveries, shall be directed to projects eligible to use the funds for the purposes for which they were originally provided.

SEC. 162. Notwithstanding any other provision of law, any funds appropriated before October 1, [2015]2016, under any section of chapter 53 of title 49, United States Code, that remain available for expenditure, may be transferred to and administered under the most recent appropriation heading for any such section.

[SEC. 163. Notwithstanding any other provision of law, none of the funds made available in this Act shall be used to enter into a full funding grant agreement for a project with a New Starts share greater than 60 percent.]

[SEC. 164. (a) LOSS OF ELIGIBILITY.—Except as provided in subsection (b), none of the funds in this or any other Act may be available to advance in any way a new light or heavy rail project towards a full funding grant agreement as defined by 49 U.S.C. 5309 for the Metropolitan Transit Authority of Harris County, Texas if the proposed capital project is constructed on or planned to be constructed on Richmond Avenue west of South Shepherd Drive or on Post Oak Boulevard north of Richmond Avenue in Houston, Texas.

(b) EXCEPTION FOR A NEW ELECTION.—The Metropolitan Transit Authority of Harris County, Texas, may attempt to construct or construct a new fixed guideway capital project, including light rail, in the locations referred to in subsection (a) if—

- (1) voters in the jurisdiction that includes such locations approve a ballot proposition that specifies routes on Richmond Avenue west of South Shepherd Drive or on Post Oak Boulevard north of Richmond Avenue in Houston, Texas; and
- (2) the proposed construction of such routes is part of a comprehensive, multi-modal, service-area wide transportation plan that includes multiple additional segments of fixed guideway capital projects, including light rail for the jurisdiction set forth in the ballot proposition. The ballot language shall include reasonable cost estimates, sources of revenue to be used and the

total amount of bonded indebtedness to be incurred as well as a description of each route and the beginning and end point of each proposed transit project.]

[SEC. 165. Of the unobligated amounts made available for fiscal year 2012 or prior fiscal years to carry out the discretionary bus and bus facilities and new fixed guideway capital projects programs under 49 U.S.C. 5309 and the discretionary job access and reverse commute program under section 3037 of the Transportation Equity Act for the 21st Century, \$25,397,797 is hereby rescinded.]

[SEC. 166. Until September 15, 2016, the Secretary may not enforce regulations related to charter bus service under part 604 of title 49, Code of Federal Regulations, for any transit agency that, during fiscal year 2008 was both initially granted a 60-day period to come into compliance with part 604, and then was subsequently granted an exception from said part: *Provided*, That notwithstanding 49 U.S.C. 5323(t), such transit agency may receive its allocation of urbanized area formula funds apportioned in accordance with 49 U.S.C. 5336.] (*Department of Transportation Appropriations Act, 2016.*)

Explanation for Proposed Change:

Language Provision	Explanation
SEC. 161 ... [2020]2021...	Year change only. No substantial change proposed.
SEC. 162 ... [2015]2016...	Year change only. No substantial change proposed.
[SEC. 163. Notwithstanding any other provision of law, none of the funds made available in this Act shall be used to enter into a full funding grant agreement for a project with a New Starts share greater than 60 percent.]	This provision is unnecessary as it is included in Section 5309 (l)(1)(B)(ii) of the FAST Act, as amended.
[SEC. 164. (a) LOSS OF ELIGIBILITY.— Except as provided in subsection (b), none of the funds in this or any other Act may be available to advance in any way a new light or heavy rail project towards a full funding grant agreement as defined by 49 U.S.C. 5309 for the Metropolitan Transit Authority of Harris County, Texas if the proposed capital project is constructed on or planned to be constructed on Richmond Avenue west of South Shepherd Drive or on Post Oak Boulevard north of Richmond Avenue in Houston, Texas.	This provision is unnecessary and intervenes in the local decision making process.

<p>(b)EXCEPTION FOR A NEW ELECTION.— The Metropolitan Transit Authority of Harris County, Texas, may attempt to construct or construct a new fixed guideway capital project, including light rail, in the locations referred to in subsection (a) if—</p> <p>(1)voters in the jurisdiction that includes such locations approve a ballot proposition that specifies routes on Richmond Avenue west of South Shepherd Drive or on Post Oak Boulevard north of Richmond Avenue in Houston, Texas; and (2) the proposed construction of such routes is part of a comprehensive, multi- modal, service-area wide transportation plan that includes multiple additional segments of fixed guideway capital projects, including light rail for the jurisdiction set forth in the ballot proposition. The ballot language shall include reasonable cost estimates, sources of revenue to be used and the total amount of bonded indebtedness to be incurred as well as a description of each route and the beginning and end point of each proposed transit project.]</p>	
<p>[SEC. 165. Of the unobligated amounts made available for fiscal year 2012 or prior fiscal years to carry out the discretionary bus and bus facilities and new fixed guideway capital projects programs under 49 U.S.C. 5309 and the discretionary job access and reverse commute program under section 3037 of the Transportation Equity Act for the 21st Century, \$25,397,797 is hereby rescinded.]</p>	<p>This provision is unnecessary. No rescissions are proposed in FTA’s FY 2017 Budget.</p>
<p>[SEC. 166. Until September 15, 2016, the Secretary may not enforce regulations related to charter bus service under part 604 of title 49, Code of Federal Regulations, for any transit agency that, during fiscal year 2008 was both initially granted a 60-day period to come into compliance with part 604, and then was subsequently granted an exception from said part: <i>Provided</i>, That notwithstanding 49 U.S.C. 5323(t), such transit agency may receive its allocation of urbanized area formula funds apportioned in accordance with 49 U.S.C. 5336.] (<i>Department of Transportation Appropriations Act, 2016.</i>)</p>	<p>This provision is unnecessary and impedes the Secretary’s authority to enforce regulations related to charter bus service under part 604 of title 49, Code of Federal Regulations.</p>

**HISTORICAL
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Transit Formula Grants

**[Formula and Bus Grants]
(Limitation on Obligations)
(Highway Trust Fund, Mass Transit Account)**

Estimates		Limitations	
2004	5,615,406,000	2004	0 ²
2005	5,622,871,000	2005	0 ²
2006	6,135,000,000	2006	6,910,131,690 ³
2007	7,262,775,000	2007	7,262,775,000
2008	7,871,895,000	2008	7,767,887,062 ^{5/6}
2009	8,360,565,000	2009	8,260,565,000 ⁷
2010	5,000,000,000	2010	8,343,171,000 ⁸
2011	8,271,700,000	2011	8,343,171,000
2012	7,691,986,000	2012	8,360,565,000
2013	4,759,372,000 ⁹	2013	8,411,732,000 ¹⁰
2014	8,595,000,000	2014	8,595,000,000
2015	13,914,400,000	2015	8,595,000,000 ¹²
2016	13,914,400,000	2016	9,347,605,000
2017	9,733,706,000	2017	-

**[Formula and Bus Grants]
Liquidation of Contract Authorization**

Estimates		Appropriations	
2004	690,000,000 ¹	2004	0 ²
2005	710,000,000 ¹	2005	0 ²
2006	3,384,000,000 ¹	2006	1,500,000,000 ⁴
2007	3,925,000,000	2007	4,660,000,000
2008	6,885,000,000	2008	6,855,000,000
2009	8,670,000,000	2009	8,670,000,000
2010	8,852,000,000	2010	9,400,000,000
2011	9,200,000,000	2011	9,400,000,000
2012	10,000,000,000	2012	9,400,000,000
2013	9,400,000,000	2013	9,400,000,000
2014	9,500,000,000	2014	9,500,000,000
2015	13,914,400,000 ¹¹	2015	9,500,000,000 ¹²
2016	13,914,400,000 ¹³	2016	10,400,000,000 ¹⁴
2017	10,800,000,000 ¹⁴	2017	-

¹ Proposed to be derived from the mass transit account of the Highway Trust Fund.

² Surface transportation reauthorizing legislation has not been enacted.

³ Reflects reduction of \$69,799,310 (1%) pursuant to Diva B, Title III, Chapter 8, Sec 3801 of the Defense Appropriations Act, P.L. 109-148.

⁴ Funded from the mass transit account of the Highway Trust Fund.

⁵ Does not reflect rescission of \$28,660,920 in unobligated contract authority pursuant to P.L. 110-161 Diva K, Title I.

Transit Formula Grants

- ⁶ Reflects reduction of obligation limitation and rescission of \$105,005,938 pursuant to P.L. 110-161 Div K, Title I, Section 172 and 173.
- ⁷ Reflects reduction of obligation limitation and rescission of \$100,000,000 pursuant to P.L. 111-8 Div I, Title I, Section 167.
- ⁸ Includes net \$1.407 billion flex funds transfer from the Federal Highway Administration (FHWA).
- ⁹ FTA proposes a new Consolidated Specialized Transportation Grant program that consolidates JARC, New Freedom, and Elderly and Disabled Formula Grant programs.
- ¹⁰ A full-year 2013 appropriation for this account was not enacted at the time the budget was prepared; therefore, this account is operating under a continuing resolution (P.L. 112-175). The amounts included for 2013 reflect the annualized level which are based on annualized CR rates and include a 0.612% increase.
- ¹¹ In FY 2015, FTA proposed to combine the Administrative Expenses account within the Transit Formula account. The FY 2015 also proposed to reclassify the Administrative Expenses account from a General to a Trust fund account.
- ¹² Due to the expiration of MAP-21 on May 31, 2015, only \$5.722B of FY 2015 contract authority for Transit Formula Grants (\$8.595B) is available.
- ¹³ In FY 2016, FTA proposed to combine the Administrative Expenses account within the Transit Formula account. The FY 2016 also proposes to reclassify the Administrative Expenses account from a General to a Trust fund account.
- ¹⁴ Funding includes (\$28 million for Public Transportation Innovation (new name for Section 5312) and \$9 million for Technical Assistance and Workforce Development (new name for Section 5314) under the Transit Formula Grants account for both FY 2016 and FY 2017.

Administrative Expenses

Estimates		Appropriations + Oblimits	
1990	---	1990	31,809,000
1991	35,402,000	1991	32,583,000
1992	40,365,000 ¹	1992	37,000,000
1993	14,139,000 ²⁰	1993	38,520,000 ¹⁴
1993	0 (Supp.) rescission	1993	-305,000 (Supp.) rescission
1994	21,295,000 ²¹	1994	39,457,000 ¹⁶
1995	43,060,000	1995	42,315,700 ²
1996	44,202,000 ³	1996	40,722,000 ⁴
1997	43,652,000	1997	41,825,849 ⁵
1998	47,018,000 ¹	1998	45,614,000 ⁶
1999	48,142,000 ¹	1999	53,338,000 ^{7,9,11}
2000	60,000,000 ⁸	2000	59,562,000 ^{8,12}
2001	64,000,000 ¹⁰	2001	63,859,200 ¹³
2002	67,000,000 ¹⁵	2002	67,000,000 ¹⁵
2003	76,586,000 ¹⁷	2003	72,525,500 ^{17,19}
2004	76,500,000 ¹⁸	2004	75,054,550 ^{21,22}
2005	79,931,000	2005	76,423,000 ^{23,24,25}
2006	83,500,000	2006	79,200,000 ²⁶
2007	85,000,000	2007	85,000,000
2008	89,300,000	2008	89,300,000
2009	94,413,000	2009	94,413,000
2010	97,478,000	2010	98,911,000
2011	113,559,000	2011	98,713,000 ²⁷
2012	102,713,000	2012	98,713,000
2013	166,000,000 ²⁸	2013	97,542,000 ²⁹
2014	109,888,000	2014	105,933,000
2015	114,400,000 ³⁰	2015	105,933,000
2016	- ³¹	2016	108,000,000
2017	115,016,000	2017	-

¹ Budget proposes account to be funded from the Mass Transit Account of the Highway Trust Fund.

² Reflects reductions of \$123,000 for working capital fund (sec. 330), \$95,000 for bonuses and awards (sec. 331), and \$59,000 for procurement reform (sec. 323); and transfer of \$188,300 for consolidated civil rights office (P. L. 103-331); reflects reduction of \$279,000 pursuant to P. L. 104-19.

³ Proposed legislation would replace this with funding through the Unified Transportation Infrastructure Investment Program.

⁴ Reflects reduction of \$1,278,000 for working capital funds, bonuses and awards, and field office consolidation.

⁵ Reflects reduction of \$451,135 for TASC (sec. 321) and \$4 for awards (sec. 346). Excludes \$779,988 in obligated balances transferred from Formula Grants.

⁶ Reflects reduction of \$124,000 for TASC (sec. 320).

⁷ Of which \$43,200,000 to be funded from the mass transit account of the Highway Trust Fund; includes obligation limitation.

⁸ Of which \$48,000,000 to be funded from the mass transit account of the Highway Trust Fund; includes obligation limitation.

⁹ Reflects reduction of \$912,000 for TASC (sec. 320).

¹⁰ Of which \$51,200,000 to be funded from the mass transit account of the Highway Trust Fund; includes obligation limitation.

¹¹ Includes \$250,000 in Y2K emergency funding.

¹² Reflects reduction of \$438,000 for TASC (sec. 319).

¹³ Reflects reduction of \$140,800 (.22%) pursuant to section 1403 of P. L. 106-554; includes obligation limitation.

¹⁴ Includes \$25,120,000 derived from the mass transit account of the Highway Trust Fund.

¹⁵ Of which \$53,600,000 to be funded from the mass transit account of the Highway Trust Fund; includes obligation limitation.

Administrative Expenses

- ¹⁶ Includes \$18,162,000 derived from the mass transit account of the Highway Trust Fund.
- ¹⁷ Of which \$58,400,000 to be funded from the mass transit account of the Highway Trust Fund; includes obligation limitation. Reflects increase of \$3,586,000 for accruing Employee Pension and Health Benefits.
- ¹⁸ Does not reflect \$4,325,223 for accruing Employee Pension and Health Benefits.
- ¹⁹ Reflects reduction of \$474,500 (.65%) pursuant to section 601 of P. L. 108-7; includes obligation limitation. Does not include accruing Employee Pension and Health Benefits.
- ²⁰ Does not include \$27,748,000 derived from the mass transit account of the Highway Trust Fund.
- ²¹ Reflects reduction of \$445,450 (.59%) pursuant to section 168 (b) of P.L. 108-199, the Consolidated Appropriations Act, 2004.
- ²² Includes obligation limitation of \$60,043,640 derived from the mass transit account of the Highway Trust Fund.
- ²³ Reflects reduction of \$953,000 for working capital fund included in sec. 197 of P.L. 108-447, Consolidated Appropriations Act, 2005.
- ²⁴ Reflects reduction of \$624,000 (0.8%) pursuant to Div J, sec. 122 of P.L. 108-447, the Consolidated Appropriations Act, 2005.
- ²⁵ Includes obligation limitation of \$67,704,000 derived from the mass transit account of the Highway Trust Fund.
- ²⁶ Reflects reduction of \$800,000 (1%) pursuant to Div B, Title III, Chapter 8, Sec 3801 of the Defense Appropriations Act, P.L. 109-148.
- ²⁷ Appropriated amounts are net of .2 percent across the board rescission in PL 112-10.
- ²⁸ The President's FY 2013 budget did not include a request for appropriations in this account.
- ²⁹ A full-year 2013 appropriation for this account was not enacted at the time the budget was prepared; therefore, this account is operating under a continuing resolution (P.L. 112-175). The amounts included for 2013 reflect the annualized level which are based on annualized CR rates and include a 0.612% increase.
- ³⁰ In FY 2015, FTA proposes to combine the Administrative Expenses account within the Transit Formula account. The FY 2015 also proposes to reclassify the Administrative Expenses account from a General to a Trust fund account.
- ³¹ In FY 2016, FTA proposed to combine the Administrative Expenses account within the Transit Formula account. The FY 2016 also proposes to reclassify the Administrative Expenses account from a General to a Trust fund account.

Capital Investment Grants

Estimates		Appropriations + Oblimits	
1999	451,400,000	1999	501,400,000 ¹
2000	490,200,000	2000	537,747,303 ^{2,3}
2001	529,200,000	2001	577,925,760 ^{4,5}
2002	568,200,000	2002	618,200,000 ⁶
2002	0 ^{7,8}	2002	1,900,000,000 ^{7,8}
2003	607,200,000	2003	682,733,200 ¹⁰
2004	9	2004	623,797,750 ¹¹
2005	9	2005	463,614,176 ^{12,13}
2006	9	2006	1,440,681,660 ^{14,15}
2007	1,466,000,000	2007	1,566,000,000
2008	1,399,818,000	2008	1,569,091,997
2009	1,620,828,893	2009	1,809,250,000 ¹⁶
2010	1,827,343,000 ¹⁸	2010	2,000,000,000 ¹⁷
2011	1,820,112,000 ¹⁸	2011	1,304,064,000 ^{17, 19}
2012	0	2012	1,944,914,000 ²⁰
2013	-11,429,055 ^{21, 22}	2013	1,966,689,941 ²³
2014	1,981,472,000 ²⁴	2014	1,942,938,000
2015	2,500,000,000	2015	2,120,000,000
2016	3,250,000,000 ²⁵	2016	2,177,000,000
2017	3,500,000,000 ²⁶	2017	

- ¹ Reflects transfer of \$50,000,000 from Formula Grants pursuant to P. L. 105-277.
- ² Reflects transfer of \$50,000,000 from Formula Grants pursuant to P. L. 106-69.
- ³ Reflects transfer of \$2,452,697 from New Starts to TPR National Research pursuant to P. L. 106-069.
- ⁴ Reflects transfer of \$50,000,000 from Formula Grants pursuant to P. L. 106-346.
- ⁵ Reflects reduction of \$1,274,240 (.22%) pursuant to section 1403 of P. L. 106-554.
- ⁶ Reflects transfer of \$50,000,000 from Formula Grants pursuant to P. L. 107-87.
- ⁷ Emergency Supplemental funds, Department of Defense Appropriations/Emergency Supplemental, P.L. 107-117.
- ⁸ Supplemental Appropriations Act for Further Recovery From and Response To Terrorist A
- ⁹ Proposed to be funded in Major Capital Investment Grants.
- ¹⁰ Reflects reduction of \$3,946,800 (.65%) pursuant to section 601 of P. L. 108-7, includes \$29,805,000 transfers from Job Access and Reverse Commute and \$49,675,000 from Formula Grants. Does not include transfer to Maritime Admin. Reflects reduction of \$3,702,250 (.59%) pursuant to section 168 (b) of P.L. 108-199, the Consolidated Appropriations Act, 2004.
- ¹¹ Reflects reduction of \$3,338,824 (0.8%) pursuant to Div J, sec. 122 of P.L. 108-447, the Consolidated Appropriations Act, 2005.
- ¹² Consolidated Appropriations Act, 2005.
- ¹³ Reflects reduction of \$14,552,340 (1%) pursuant to Div B, Title III, Chapter 8, sec. 3801, P.L. 109-148, the Defense Appropriation Act, 2006
- ¹⁴ Does not reflect transfers of \$47,288,340 from Formula and Bus Grants P.L. 109-115, the "DOT Appropriations Act, 2006"
- ¹⁵ Does not reflect the transfer of \$2,000,000 to the DOT Office of Inspector General from section 5327(c) pursuant to P.L. 111-8, Omnibus Appropriations Act, 2009, Div. I, Title I.
- ¹⁶ Does not reflect \$2,000,000 transfer to the DOT Inspector General, pursuant to Omnibus Appropriations Act, 2009 (Pub Law 111-8) Division I, from funds available to execute contracts under 5327(c).
- ¹⁷ Does not reflect \$2,000,000 proposed transfer to the DOT Inspector General from funds available to execute contracts under 5327(c).
- ¹⁸ Appropriated amounts are net of .2 percent across the board rescission in PL 112-10.
- ¹⁹ Net amount after transfers and rescissions.
- ²⁰ The Administration proposed to cancel unobligated balances of prior year appropriations in FY 2013.
- ²¹ The President's FY 2013 budget did not include a request for appropriations in this account.
- ²²

Capital Investment Grants

²³ account is operating under a continuing resolution (P.L. 112-175). The amounts included for 2013 reflect the annualized level which are based on annualized CR rates and include a 0.612% increase. This figure represents the FY 2012

²⁴ The Capital Investment Grant projects proposed for FY14 total \$2.132B. This total includes the requested \$1.981B (new budget authority) and use of \$151M of prior year unobligated balances.

²⁵ In the FY 2016 Request, except for WMATA, the Administration proposes to reclassify all surface transportation budget authority and outlays as mandatory, and to also move a number of current General Funded (GF) programs into the Trust Fund. FY 2015 and prior, traditionally Trust Funded accounts have discretionary outlays.

²⁶ In the FY 2017 Request, except for WMATA, the Administration proposes to reclassify all surface transportation budget authority and outlays as mandatory, and to also move a number of current General Funded (GF) programs into the Trust Fund. FY 2016 and prior, traditionally Trust Funded accounts have discretionary outlays.

Capital Investment Grants

Estimates		Limitations	
1999	1,805,600,000 ⁸	1999	1,805,600,000
2000	1,960,800,000 ⁹	2000	1,943,419,186 ¹
		2000	5,977,000 ^{2,3}
		2000	5,000,000 ⁴
2001	2,116,800,000 ¹⁰	2001	2,112,143,040 ⁵
		2001	4,490,100 ^{6,7}
2002	2,272,800,000 ¹¹	2002	2,272,800,000 ¹¹
2003	2,428,800,000 ¹²	2003	2,427,915,300 ¹⁴
2004	¹³	2004	2,495,191,000 ¹⁵
2005	¹³	2005	2,898,100,224 ¹⁶

¹ Reflects reduction of \$17,381,014 pursuant to P. L. 106-113.

² Trust fund appropriation P. L. 106-113 not subject to limitation.

³ Reflects reduction of \$22,800 pursuant to P. L. 106-113.

⁴ Trust fund appropriation P. L. 106-246 not subject to limitation.

⁵ Reflects reduction of \$4,656,960 (.22%) pursuant to section 1403 of P. L. 106-554.

⁶ Trust fund appropriation P. L. 106-554 not subject to limitation.

⁷ Reflects reduction of \$9,900 (.22%) pursuant to section 1403 of P. L. 106-554.

⁸ Excludes \$451,400,000 proposed appropriations.

⁹ Excludes \$490,200,000 proposed appropriations.

¹⁰ Excludes \$529,200,000 proposed appropriations.

¹¹ Excludes \$568,200,000 proposed appropriations.

¹² Excludes \$607,200,000 proposed appropriations.

¹³ Proposed to be funded in Major Capital Investment Grants.

¹⁴ Reflects reduction of \$15,787,200 (.65%) pursuant to section 601 of P. L. 108-7, includes transfer of \$14,902,500 from Job Access and Reverse Commute

¹⁵ Reflects reduction of \$14,809,000 (.59%), pursuant to section 168 (b) of P.L. 108-199, the Consolidated Appropriations Act, 2004.

¹⁶ Reflects reduction of \$23,371,776 (0.8%) pursuant to Div J, sec. 122 of P.L. 108-447, the Consolidated Appropriations Act, 2005.

Transit Cooperative Research

	Estimates		Appropriations
2014	7,000,000 ¹	2014	0 ²

¹ In FY 2014, FTA proposes to separate the Transit Cooperative Research Program from the Research account as authorized by MAP-21.

² In FY 2014, FTA appropriation language continues funding the Transit Cooperative Research Program within the Research account as authorized by MAP-21.

Transit Research

Estimates		Appropriations + Oblimits	
1992		1992	104,115,000
1993	28,537,000 ²²	1993	85,000,000 ¹⁴
1994	45,875,000	1994	92,250,000 ¹⁵
1995	92,250,000	1995	100,079,000 ¹
1995	0 (Supp.) Rescission	1995	-7,000,000 (Supp.) Rescission
1996	100,027,000 ²	1996	85,500,000
1997	85,500,000	1997	85,500,000
1998	91,800,000 ³	1998	91,500,000 ⁴
1999	91,900,000 ³	1999	98,000,000 ⁵
2000	107,000,000 ⁶	2000	109,209,311 ^{6,7,8,9}
2001	110,000,000 ¹⁰	2001	109,758,000 ^{11,12,17}
2002	116,000,000 ¹³	2002	116,000,000 ^{13,18}
2003	122,000,000 ¹⁶	2003	121,207,000 ^{20,21}
2004	0 ¹⁹	2004	125,256,600 ^{23,24}
2005	0 ¹⁹	2005	126,976,000 ²⁵
2006	0 ¹⁹	2006	74,448,000 ^{26,27}
2007	61,000,000	2007	61,000,000
2008	61,000,000	2008	65,362,900
2009	59,600,000	2009	67,000,000
2010	67,670,000	2010	65,670,000
2011	29,829,000	2011	58,882,000 ²⁸
2012	44,000,000	2012	44,000,000
2013	120,957,000 ²⁹	2013	44,269,280 ³⁰
2014	30,000,000 ^{31,32}	2014	43,000,000 ³³
2015	60,000,000 ³⁴	2015	33,000,000 ³⁵
2016	60,000,000 ³⁶	2016	0 ³⁷

¹ Reflects reduction of \$171,000 for procurement reform section 323 of P. L. 103-331

Proposed legislation would replace this with funding through the Unified Transportation

² Infrastructure Investment Program.

³ Proposed to be derived from the mass transit account of the Highway Trust Fund.

⁴ Reflects reduction of \$500,000 pursuant to President's line-item veto.

Includes \$78,200,000 from the mass transit account of the Highway Trust Fund; includes

⁵ obligation limitation.

Includes \$86,000,000 from the mass transit account of the Highway Trust Fund; includes

⁶ obligation limitation.

⁷ Reflects reduction of \$243,386 pursuant to P. L. 106-113.

Transit Research

Reflects transfer of \$2,452,697 from New Starts to TPR National Research pursuant to P.
8 L. 106-069.

9 Excludes \$54,280,827 in FHWA transfers.

Includes \$87,800,000 from the mass transit account of the Highway Trust Fund; includes
10 obligation limitation.

Includes \$87,606,840 from the mass transit account of the Highway Trust Fund; includes
11 obligation limitation.

12 Reflects reduction of \$242,000 (.22%) pursuant to section 1403 of P. L. 106-554.

Includes \$93,000,000 from the mass transit account of the Highway Trust Fund; includes
13 obligation limitation.

14 Includes \$56,000,000 from the Highway Trust Fund.

15 Includes \$44,125,000 from the Highway Trust Fund.

Includes \$97,800,000 from the mass transit account of the Highway Trust Fund; includes
16 obligation limitation.

17 Excludes \$60,049,742 in FHWA transfers.

18 Excludes \$59,601,236 in FHWA transfers.

Proposed to be funded in Formula Grants and Research out of the mass transit account of
19 the Highway Trust Fund.

Includes \$87,606,840 from the mass transit account of the Highway Trust Fund; includes
20 obligation limitation.

Reflects reduction of \$793,000 (.65%) pursuant to section 601 of P. L. 108-7; includes
21 obligation limitation.

22 Does not include \$56,003,000 from the Highway Trust Fund

Reflects reduction of \$743,400 (.59%), pursuant to section 168 (b) of P.L. 108-199, the
23 Consolidated Appropriations Act, 2004.

Includes \$111,104,000 in obligation limitation derived from the mass transit account of
24 the Highway Trust Fund.

Reflects reduction of \$1,024,000 (0.8%) pursuant to Div J, sec. 122 of P.L.. 108-447, the
25 Consolidated Appropriations Act, 2005.

Reflects account name pursuant to SAFETEA-LU P.L. 109-59 and the DOT
26 Appropriations Act, 2006 P.L.109-115.

Reflects reduction of \$752,000 (1%) pursuant to Div B, Title III, Chapter 8, sec. 3801,
27 P.L. 109-148, the Defense Appropriation Act, 2006.

28 Appropriated amounts are net of .2 percent across the board rescission in PL 112-10.

The Administration proposed to fund this program from a Trust Funded account in FY
29 2013.

A full-year 2013 appropriation for this account was not enacted at the time the budget was
30 prepared; therefore, this account is operating under a continuing resolution (P.L. 112-
175). The amounts included for 2013 reflect the annualized level which are based on
annualized CR rates and include a 0.612% increase.

In FY 2014, the Transit Cooperative Research Program under authorities of MAP-21, will
31 separate from the Research account into a stand alone account.

Does not include funding for National Transit Institute, which is funded through Formula
32 Grants under MAP-21.

Transit Research

In FY 2014, FTA appropriation language continues funding the Transit Cooperative
³³ Research Program within the Research account .

The FY 2014 Enacted budget included \$48 million for two accounts: Transit Research
(\$40 million for 5312 and \$3 million for 5313) and Technical Assistance and Training (\$3
³⁴ million for 5314 and \$2 million for 5322). The combined FY 2015 budget request for
these accounts is \$60 million. Consistent with FY 2013 and prior years, FTA proposes to
fund these four programs from the newly named Transit Research and Training account in
FY 2015.

In FY 2015, FTA appropriation language continues funding the Transit Cooperative
Research Program within the Research account. The FY 2015 Enacted Budget included
³⁵ \$37.5 million for two accounts (\$30 million for Section 5312 and \$3 million for Section
5313) and Technical Assistance and Training (\$ 0.5 million for Section 5322 and \$4
million for Section 5314).

³⁶ The FY 2016 Budget Request combines four programs, sections 5312, 5313, 5314 and
5322 for the newly named Transit Research and Training account for \$60 million.

No funding was appropriated in the FY 2016 Omnibus and the FY 2017 Budget
reclassifies all budget authority and outlays as mandatory. Funding is included under the
³⁷ Transit Formula Grants account (\$28 million for Public Transportation Innovation (new
name for Section 5312) and \$9 million for Technical Assistance and Workforce
Development (new name for Section 5314) for both FY 2016 and FY 2017.

University Transportation Research

Estimates		Appropriations + Oblimits	
1990	---	1990	4,930,000 ¹¹
1991	---	1991	5,000,000 ¹¹
1992	6,000,000 ¹	1992	6,985,000 ¹¹
1993	2,025,000	1993	6,000,000 ⁸
1994	3,238,000	1994	6,000,000 ⁹
1995	6,000,000	1995	6,000,000
1996	6,000,000 ¹	1996	6,000,000
1997	6,000,000	1997	6,000,000
1998	6,000,000 ²	1998	6,000,000
1999	6,000,000 ³	1999	6,000,000 ⁴
2000	6,000,000 ⁴	2000	6,000,000 ⁴
2001	6,000,000 ⁴	2001	5,986,800 ^{5,6}
2002	6,000,000 ⁷	2002	6,000,000 ⁷
2003	6,000,000 ⁷	2003	5,961,000 ^{7,12}
2004	0 ¹⁰	2004	5,964,600 ^{13,14}
2005	0 ¹⁰	2005	5,952,000 ^{15,16}
2013	-292,554 ¹⁷	2013	0
2014	-595,619 ¹⁸	2014	-595,619 ¹⁸

¹ Proposed legislation would replace this with funding through the Unified Transportation Infrastructure Investment Program.

² Proposed to be funded under Transit Planning and Research.

³ Proposed to be funded under Transit Planning and Research mass transit account of the Highway Trust Fund.

⁴ Includes \$4,800,000 Trust Fund; includes obligation limitation.

⁵ Includes \$4,789,440 Trust Fund.

⁶ Reflects reduction of \$13,200 (.22%) pursuant to section 1403 of P. L. 106-554; includes obligation limitation.

⁷ Includes \$4,800,000 Trust Fund; includes obligation limitation.

⁸ Includes \$3,975,000 Trust Fund; includes obligation limitation.

⁹ Includes \$2,762,000 Trust Fund; includes obligation limitation.

¹⁰ Proposed to be funded in Formula Grants and Research out of the mass transit account of the Highway Trust Fund.

¹¹ Funded from the mass transit account of the Highway Trust Fund.

¹² Reflects reduction of \$39,000 (.65%) pursuant to section 601 of P. L. 108-7; includes obligation limitation.

¹³ Reflects reduction of \$35,400 (.59%), pursuant to section 168(b) of P.L. 108-199, the Consolidated Appropriations Act, 2004.

University Transportation Research

¹⁴ Includes obligation limitation of \$4,771,680 derived from the mass transit account of the Highway Trust Fund.

¹⁵ Reflects reduction of \$48,000 (0.8%) pursuant to Div J, sec. 122 of P.L. 108-447, the Consolidated Appropriations Act, 2005.

¹⁶ Includes obligation limitation of \$5,208,000 derived from the mass transit account of the Highway Trust Fund.

¹⁷

The Administration proposed to cancel unobligated balances of prior year appropriations in FY 2013.

¹⁸ Reflects a rescission of unobligated balances pursuant to P.L. 113-76.

Technical Assistance and Standard Development

	Estimates		Appropriations + Oblimits
2014	7,000,000 ¹	2014	5,000,000
2015	0 ²	2015	4,500,000
2016	0 ³	2016	0

¹ In FY 2014, FTA proposes to separate the Technical Assistance and Standards Program from the Research account as authorized by MAP-21.

² Consistent with FY 2013 and prior years, FTA proposed to fund this account from the newly named Transit Research and Training account in FY 2015.

³ Consistent with FY 2013 and prior years, FTA proposed to fund this account from the newly named Transit Research and Training account in FY 2016.

Human Resources and Training

	Estimates		Appropriations
2014	5,000,000 ¹	2014	0

¹ In FY 2014, FTA proposes to separate the Human Resources and Training from the Research account and fund under the Technical Assistance and Standards Development account.

Washington Metropolitan Area Transit Authority

Estimates		Appropriations + Oblimits	
1990	42,000,000	1990	84,745,000
1991	38,000,000	1991	64,100,000
1992	80,000,000	1992	124,000,000
1993	182,000,000	1993	170,000,000
1994	200,000,000	1994	200,000,000
1995	200,000,000	1995	200,000,000
1996	200,000,000 ¹	1996	200,000,000
1997	200,000,000	1997	200,000,000
1998	0 ²	1998	200,000,000
1999	0 ²	1999	50,000,000
2000	0	2000	0
2009	0	2009	150,000,000
2010	150,000,000	2010	150,000,000
2011	150,000,000	2011	149,700,000 ³
2012	150,000,000	2012	150,000,000
2013	134,477,000 ⁴	2013	150,918,000 ⁵
2014	150,000,000 ⁶	2014	149,476,893 ⁷
2015	150,000,000	2015	150,000,000
2016	150,000,000	2016	150,000,000
2017	150,000,000	2017	150,000,000

¹ Proposed legislation would replace this with funding through the Unified Transportation Infrastructure Investment Program.

² Proposed to be derived from the mass transit account of the Highway Trust Fund.

³ Appropriated amounts are net of .2 percent across the board rescission in PL 112-10.

⁴ The Administration proposed to cancel \$523,000 of unobligated balances of prior year appropriations in FY 2013.

⁵

A full-year 2013 appropriation for this account was not enacted at the time the budget was prepared; therefore, this account is operating under a continuing resolution (P.L. 112-175). The amounts included for 2013 reflect the annualized level which are based on annualized CR rates and include a 0.612% increase.

⁶ The Administration proposed to cancel unobligated balances of prior year appropriations in FY 2014.

⁷ Includes rescission of unobligated balances pursuant to P.L. 113-235.

Public Transportation Emergency Relief

Estimates		Appropriation	
2013	0	2013	10,900,000,000 ¹
2014	25,000,000	2014	0
2015	25,000,000	2015	0
2016	25,000,000	2016	0

¹ Although authorized by MAP-21, the FY 2013 CR does not provide funding for this program. However, FTA did receive a one-time appropriation of \$10.9 billion by the Disaster Relief Appropriations Act, 2013 (P.L. 113-2) for Hurricane Sandy relief, of which \$6 million was transferred to the Office of the Inspector General for oversight.

Grants for Energy and Greenhouse Gas Reductions

Estimates		Appropriations	
2010	-	2010	75,000,000
2011	-	2011	49,900,000 ¹

¹ Appropriated amounts are net of .2 percent across the board rescission in PL 112-10.

Formula Grants

Estimates		Appropriations	
1990	0 ¹	1990	1,625,110,000
1991	1,076,800,000	1991	1,605,000,000
1992	0 ¹	1992	1,520,000,000
1993	541,299,000	1993	650,975,000
1993	466,490,000 (Supp.)		
1994	1,324,916,000	1994	1,284,916,000
1994	[699,000,000] Investment		
1995	1,715,050,000	1995	1,341,911,000 ²
1996	1,744,200,000 ³	1996	941,975,000 ⁴
1997	221,122,000	1997	490,000,000
1998	0 ¹	1998	240,000,000
1999	0	1999	519,200,000 ^{5,6}
2000	619,600,000	2000	569,600,000 ⁷
2001	669,000,000	2001	616,640,400 ^{8,9,10}
2002	718,400,000	2002	668,307,000 ^{11,13}
2002	0 ¹²	2002	23,500,000 ¹²
2003	767,800,000	2003	713,134,300 ^{11,15}
2004	0 ¹⁴	2004	763,269,980 ¹⁶
2005	0 ¹⁴	2005	450,389,824 ^{17,18}
2006	0	2006	0
2007	0 (Supp.)	2007	35,000,000 ¹⁹ (Supp.)
2014	0	2014	-65,189,920 ²⁰

¹ Proposed to be funded out of the mass transit account of the Highway Trust Fund.

² Reflects reduction of \$89,000 for procurement reform (sec. 323), transfer of \$8,000,000 to transit research and planning.

³ Proposed legislation would replace this with funding through the Unified Transportation Infrastructure Investment Program.

⁴ consolidation.

⁵ Reflects transfer of \$50,000,000 to Capital Investment Grants pursuant to P. L. 105-277.

⁶ Reflects transfer of \$800,000 to OIG pursuant to P. L. 105-277.

⁷ Reflects transfer of \$50,000,000 to Capital Investment Grants pursuant to P. L. 106-69.

⁸ Reflects transfer of \$50,000,000 to Capital Investment Grants pursuant to P. L. 106-346.

⁹ Reflects transfer of \$1,000,000 to OIG pursuant to P. L. 106-346.

¹⁰ Reflects reduction of \$1,359,600 (.22%) pursuant to section 1403 of P. L. 106-554.

¹¹ Reflects transfer of \$50,000,000 to Capital Investment Grants pursuant to P. L. 107-87.

¹² Emergency funds appropriated, Department of Defense Appropriations/Emergency Supplemental, P.L. 107-117.

¹³ Reflects rescission of \$93,000 pursuant to P.L. 107-206.

Formula Grants

- ¹⁴ Proposed to be funded in Formula Grants and Research out of the mass transit account of the Highway Trust Fund.
- ¹⁵ Reflects reduction of \$4,990,700 (.65%) pursuant to section 601 of P. L. 108-7, reflect transfer of \$49,675,000 to Capital Investment Grants.
- ¹⁶ Reflects reduction of \$4,530,020 (.59%) pursuant to section 168 (b) of P.L. 108-199, the Consolidated Appropriations Act, 2004.
- ¹⁷ Reflects reduction of \$4,032,176 (0.8%) pursuant to Div J, sec. 122 of P.L. 108-447, the Consolidated Appropriations Act, 2005.
- ¹⁸ Reflects transfer of \$50,000,000 (\$49,600,000) net rescission to Capital Investment Grants pursuant to P.L. 108-447.
- ¹⁹ Reflects \$35,000,000 supplemental pursuant to U.S. Troop Readiness, Veterans' Care, Katrina Recovery, and Iraq Accountability Appropriations Act, 2007, Chapter 8 of Title IV - Additional Hurricane Disaster Relief and Recovery. P.L. 110-28.
- ²⁰ Reflects rescission of unobligated balances pursuant to P.L. 113-76.

Formula Grants Highway Trust Fund

Estimates		Limitation	
1990	1,523,000,000	1990	69,790,000
1991	0	1991	235,000,000
1992	2,599,908,000	1992	463,734,000
1993	1,062,274,000	1993	1,049,025,000
1994	1,129,951,000	1994	1,129,951,000
1995	1,150,000,000	1995	1,150,000,000
1996	1,120,850,000	1996	1,109,853,000 ¹⁰
1997	1,930,850,000	1997	1,659,185,000
1998	3,409,500,000 ¹	1998	2,260,000,000
1999	0 ²	1999	2,280,000,000 ⁵
2000	2,960,670,000 ³	2000	2,478,400,000 ^{6,8}
2001	2,676,000,000 ⁴	2001	2,670,112,800 ^{7,12}
2002	2,873,600,000 ⁹	2002	2,873,600,000 ^{9,13,14}
2003	3,071,200,000 ¹¹	2003	3,051,237,200 ^{11,16,17,18}
2004	0 ¹⁵	2004	3,053,079,920 ¹⁹
2005	0 ¹⁵	2005	3,499,927,776 ²⁰

¹ Proposed to be derived from the mass transit account of the Highway Trust Fund.

² Proposed to be funded from the mass transit account of the Highway Trust Fund.

³ Excludes \$619,600,000 proposed appropriations.

⁴ Excludes \$669,000,000 proposed appropriations.

⁵ Excludes \$519,200,000 appropriations.

⁶ Excludes \$569,600,000 appropriations.

⁷ Excludes \$618,000,000 appropriations; reflects reduction of \$5,887,200 (.22%) pursuant to section 1403 of P. L. 106-554.

⁸ Excludes \$1,592,535,882 in FHWA transfers.

⁹ Excludes \$718,400,000 appropriations.

¹⁰ Reflects reduction of \$147,000 pursuant to section 31002 P. L. 104-134.

¹¹ Excludes \$767,800,000 proposed appropriations.

¹² Excludes \$1,230,831,761 in FHWA transfers.

¹³ Excludes \$1,117,456,037 in FHWA transfers.

¹⁴ Excludes \$2,356,510 in FTA transfers to FHWA.

Proposed to be funded in Formula Grants and Research out of the mass transit account of the Highway Trust Fund.

¹⁵ Reflects reduction of \$19,652,800 (.65%) pursuant to section 601 of P. L. 108-7.

¹⁶ Excludes \$1,007,401,850 in FHWA transfers, including unobligated balance transfer of \$2,000,000 pursuant to sec. 377 P.L.108-7.

¹⁷ Excludes \$1,435,902 in FTA transfers to FHWA.

¹⁸ Reflects reduction of \$18,120,080 (.59%) pursuant to section 168(b) of P.L. 108-199, the Consolidated Appropriations Act, 2004.

¹⁹ Reflects reduction of \$28,225,224 (0.8%) pursuant to Div J, sec. 122 of P.L. 108-447, the Consolidated Appropriations Act, 2005.

Job Access Reverse Commute Grants

Estimates		Appropriations + Oblimits	
1999	0	1999	75,000,000 ³
2000	150,000,000 ^{1,4}	2000	75,000,000 ⁴
2001	150,000,000 ^{2,5}	2001	99,780,000 ^{6,7}
2002	125,000,000 ⁸	2002	125,000,000 ⁸
2003	150,000,000 ⁹	2003	104,317,500 ^{9,11}
2004	0 ¹⁰	2004	124,262,500 ^{12,13}
2005	0 ¹⁰	2005	124,000,000 ^{14,15}
2012	164,500,000	2012	164,500,000
2013	-14,661,719 ¹⁶	2013	0
2014	-14,661,718 ¹⁷	2014	-15,704,469 ¹⁸

¹ Includes \$75,000,000 in revenue aligned budget authority.

² Includes \$50,000,000 in revenue aligned budget authority.

³ Includes \$40,000,000 Trust Fund and \$25,000,000 discretionary GF approp; includes obligation limitation.

⁴ Includes \$60,000,000 Trust Fund; includes obligation limitation.

⁵ Includes \$80,000,000 Trust Fund; includes obligation limitation.

⁶ Includes \$79,824,000 Trust Fund.

⁷ Reflects reduction of \$220,000 (.22%) pursuant to section 1403 of P. L. 106-554; includes obligation limitation.

⁸ Includes \$100,000,000 Trust Fund; includes obligation limitation.

⁹ Includes \$120,000,000 Trust Fund; includes obligation limitation.

¹⁰ Proposed to be funded in Formula Grants and Research out of the mass transit account of the Highway Trust Fund.

¹¹ Reflects reduction of \$975,000 (.65%) pursuant to section 601 of P. L. 108-7; includes obligation limitation. Reflects transfer of \$44,707,500 to Capital Investment Grants.

¹² Reflects reduction of \$737,500 (.59%) pursuant to section 168 (b) of P.L. 108-199, the Consolidated Appropriations Act, 2004.

¹³ Includes obligation limitation of \$99,410,000 derived from the mass transit account of the Highway Trust Fund.

¹⁴ Reflects reduction of \$1,000,000 (0.8%) pursuant to Div J, sec. 122 of P.L. 108-447, the Consolidated Appropriations Act, 2005.

¹⁵ Includes obligation limitation of \$108,500,000 derived from the mass transit account of the Highway Trust fund.

¹⁶ The Administration proposed to cancel unobligated balances of prior year appropriations in FY 2013.

¹⁷ The Administration proposed to cancel unobligated balances of prior year appropriations in FY 2014.

¹⁸ Reflects rescission of unobligated balances pursuant to P.L. 113-76.

Interstate Transfer Grants Transit

Estimates		Appropriations	
1990	---	1990	159,520,000
1991	---	1991	149,000,000
1992	---	1992	160,000,000
1993	82,000,000	1993	75,000,000
1994	45,000,000	1994	45,000,000
1995	38,530,000	1995	48,030,000
1999	0	1999	-600,000 Rescission
2005	0	2005	0 ¹
2013	-2,661,568 ²	2013	0
2014	-2,661,568 ³	2014	-2,687,207 ⁴

¹ Does not include transfer of unobligated balance pursuant to section 164 of P.L. 108-447, Consolidated Appropriations Act, 2005.

² The Administration proposed to cancel unobligated balances of prior year appropriations in FY 2013.

³ The Administration proposed to cancel unobligated balances of prior year appropriations in FY 2014.

⁴ Reflects rescission of unobligated balances pursuant to P.L. 113-76.

Discretionary Grants

(Limitation on Obligations)

Estimates		Limitations	
1990	0	1990	1,135,645,000
1991	1,400,000,000	1991	1,400,000,000 ⁷
1992		1992	1,356,167,000
1993	1,000,000,000	1993	1,725,000,000
1993 (Supp)	270,000,000		
1994	1,771,575,000	1994	1,781,691,000 ¹
1995	1,725,000,000	1995	1,724,904,000 ²
		1995 Rescission	-33,911,500 ³
1996	1,665,000,000 ⁴	1996	1,665,000,000
1997	1,799,000,000	1997	1,900,000,000
		1997 Rescission	-588,000,000
1998	0 ⁵	1998	2,000,000,000
1999	1,805,600,000 ⁵	1999 Rescission	-392,000,000 ⁶

¹ Reflects FY 1994 rescission of \$3,309,000.

² Reflects reduction of \$96,000 for procurement reform section 323 of P. L. 103-331.

³ The Rescission Bill P. L. 104-19 reduced Discretionary Grants from FY 1992 and prior year balances by taking \$33.9 million from Bus (\$1.28 million) and New Starts (\$32.6 million).

⁴ Proposed legislation would replace this with funding through the Unified Transportation Infrastructure Investment Program.

⁵ Proposed to be funded under Major Capital Investments.

⁶ Rescission of remaining contract authority pursuant to Omnibus Consolidated Appropriations Act P. L. 105-277.

⁷ Includes \$200 million for Formula Grants under section 9(B).

Discretionary Grants

Liquidation of Contract Authorization

Estimates		Appropriations	
1990	---	1990	897,300,000
1991	900,000,000	1991	900,000,000
1992	1,500,000,000	1992	1,500,000,000
1993	1,000,000,000	1993	1,500,000,000
1994	1,000,000,000	1994	1,000,000,000
1994 (Supp.)	-52,037,325	1994 (Supp.) Re	-3,308,935
1995	1,500,000,000	1995	1,500,000,000
1995 (Supp.)	0	1995 (Supp.)	350,000,000
1996	1,700,000,000 ¹	1996	2,000,000,000
1996 (Supp.)	0	1996 (Supp.)	375,000,000
1997	2,000,000,000	1997	2,300,000,000
1998	2,350,000,000 ²	1998	2,350,000,000
1999	1,900,000,000 ²	1999	2,000,000,000 ³
2000	1,500,000,000 ²	2000	1,500,000,000 ³
2001	350,000,000 ²	2001	350,000,000 ³

¹ Proposed legislation would replace this with funding through the Unified Transportation Infrastructure Investment Program.

² Proposed to be derived from the mass transit account of the Highway Trust Fund.

³ Funded from the mass transit account of the Highway Trust Fund.

Transit Capital Assistance, Recovery Act

Estimates		Appropriations	
2009	-	2009	6,900,000,000 ¹

¹ American Recovery and Reinvestment Act, 2009.

Fixed Guideway Infrastructure Investments

Estimates		Appropriations	
2009	-	2009	750,000,000 ¹

¹ American Recovery and Reinvestment Act, 2009.

SCHEDULES

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ADMINISTRATIVE EXPENSES

The Federal Transit Administration's (FTA) Administrative Expenses appropriation provides resources for salaries, benefits and administrative expenses to carry out the Agency's stewardship of Federal funds, including: technical assistance to grantees during project development and program implementation, capital project oversight and grantee compliance, staffing the Office of Safety and Oversight to develop and administer a State Safety Oversight program funded through the Transit Formula Grants account, and support for Transit Asset Management activities, which include developing objective standards to measure capital asset condition and collecting data on the asset condition of FTA's grantees. The Administration proposes funding these programs within a multi-year surface transportation reauthorization. As part of that reauthorization proposal, FTA administrative expenses currently administered from this account would be funded from the Mass Transit Account of the Transportation Trust Fund within the Transit Formula Grants account.

Administrative Expenses

Identification code: 69-1120-0-1-401	2015 Actual	2016 Enacted	2017 Request
Obligations by program activity:			
0001	100	100	...
0002	5	7	...
0003	1	1	...
0900	106	108	...
Budgetary resources:			
Unobligated balance:			
1000
Budget authority:			
Appropriations, discretionary:			
1100	106	108	...
1160	106	108	...
1930	106	108	...
Change in obligated balance:			
Unpaid obligations:			
3000	14	13	11
3010	106	108	...
3011	0	2	2
3020	-106	-110	-5
3041	-1	-2	-2
3050	13	11	6
Memorandum (non-add) entries:			
3100	14	13	11
3200	13	11	6

Administrative Expenses

Identification code: 69-1120-0-1-401		2015 Actual	2016 Enacted	2017 Request
Budget authority and outlays, net:				
Discretionary:				
4000	Budget authority, gross	106	108	...
Outlays, gross:				
4010	Outlays from new discretionary authority	96	103	...
4011	Outlays from discretionary balances	10	7	5
4020	Outlays, gross (total)	106	110	5
4070	Budget authority, net (discretionary)	106	108	...
4080	Outlays, net (discretionary)	106	110	5
4180	Budget authority, net (total)	106	108	...
4190	Outlays, net (total)	106	110	5

Administrative Expenses

Identification code: 69-1120-0-4-401	2015 Actual	2016 Enacted	2017 Request
Obligations by program activity:			
0001	-104
0002	-7
0003	-1
0900	-112
Budgetary resources:			
Budget authority:			
Appropriations, mandatory:			
1200	-112
1260	-112
1930	-112
Change in obligated balance:			
Unpaid obligations:			
3000
3010	-112
3020	106
3050	-6
Memorandum (non-add) entries:			
3100
3200	-6
Budget authority and outlays, net:			
Mandatory:			
4090	-112
Outlays, gross:			
4100	-106
4160	-112
4170	-106
4180	-112
4190	-106

Administrative Expenses

Identification code: 69-1120-0-7-401	2015 Actual	2016 Enacted	2017 Request
Obligations by program activity:			
0001	-104
0002	-7
0003	-1
0900	-112
Budgetary resources:			
Budget authority:			
Appropriations, discretionary:			
1100	...	-108	...
1160	...	-108	...
Appropriations, mandatory:			
1200	...	108	112
1260	...	108	112
1900	112
1930	112
Change in obligated balance:			
Unpaid obligations:			
3000
3010	112
3020	-106
3050	6
Memorandum (non-add) entries:			
3100
3200	6
Budget authority and outlays, net:			
Discretionary:			
4000	...	-108	...
Outlays, gross:			
4010	...	-103	...
4011	...	-7	-5
4020	...	-110	-5
4070	...	-108	...
4080	...	-110	-5

Administrative Expenses

Identification code: 69-1120-0-7-401		2015 Actual	2016 Enacted	2017 Request
Mandatory:				
4090	Budget authority, gross	...	108	112
	Outlays, gross:			
4100	Outlays from new mandatory authority	...	103	106
4101	Outlays from mandatory balances	...	7	5
4110	Outlays, gross (total)	...	110	111
4160	Budget authority, net (mandatory)	...	108	112
4170	Outlays, net (mandatory)	...	110	111
4180	Budget authority, net (total)	112
4190	Outlays, net (total)	106

Administrative Expenses

Identification code: 69-1120-0-9-401	2015 Actual	2016 Enacted	2017 Request
Budgetary resources:			
Budget authority:			
Appropriations, discretionary:			
1100
1160	-106
1160-20	-106	0	0
Appropriations, mandatory:			
1200	106
1260	106
1900
1930
Change in obligated balance:			
Unpaid obligations:			
3000
3050
Memorandum (non-add) entries:			
3100
3200
Budget authority and outlays, net:			
Discretionary:			
4000	-106
Outlays, gross:			
4010	-96
4011	-10
4020	-106
4070	-106
4080	-106
Mandatory:			
4090	106
Outlays, gross:			
4100	96
4101	10
4110	106
4160	106
4170	106
4180
4190

CAPITAL INVESTMENT GRANTS

The Federal Transit Administration's (FTA) Capital Investment Grants program is designed to increase the capacity of local transit networks and to meet ridership demands in communities across the nation. These objectives of this program are accomplished by supporting the construction of new fixed guideway systems or extensions to fixed guideways, corridor-based bus rapid transit systems, and core capacity improvement projects. These projects include heavy rail, light rail, com-muter rail, bus rapid transit, ferries, and streetcar systems. FTA allocates resources to grantees through a multi-year, multi-step competitive process. Prior to funding, each project is required to obtain an acceptable rating under a set of statutorily defined criteria that examine project merit and local financial commitment. No funds requested in this account for 2017. The Administration is proposing funding for these programs within the multi-year climate infrastructure proposal. As part of that proposal, programs currently administered from this account would be continued in a new Capital Investment Grants account that would be funded from the Mass Transit Multimodal Account of the Transportation Trust Fund.

Capital Investment Grants

Identification code: 69-1134-0-9-401	2015 Actual	2016 Enacted	2017 Request
Budgetary resources:			
Budget authority:			
Appropriations, discretionary:			
1100	-2,120
1130
1160	-1,999
Appropriations, mandatory:			
1200	1,999
1230
1260	1,999
1900
1930
Budget authority and outlays, net:			
Discretionary:			
4000	-1,999
Outlays, gross:			
4010	-526
4011	-1,513
4020	-2,039
4070	-1,999
4080	-2,039
Mandatory:			
4090	1,999
Outlays, gross:			
4100	526
4101	1,513
4110	2,039
4160	1,999
4170	2,039
4180
4190

Capital Investment Grants

Identification code: 69-1134-0-1-401	2015 Actual	2016 Enacted	2017 Request
Obligations by program activity:			
0001 Capital investment grants	1,408	1,861	818
0003 Lower Manhattan recovery FTA Direct P.L. 107-206	2	2	10
0900 Total new obligations	2,505	2,140	828
Budgetary resources:			
Unobligated balance:			
1000 Unobligated balance brought forward, Oct 1	969	1,564	1,854
1021 Recoveries of prior year unpaid obligations	10
1050 Unobligated balance (total)	979	1,564	1,854
Budget authority:			
Appropriations, discretionary:			
1100 Appropriation	2,120	2,177	...
1131 Unobligated balance of appropriations permanently reduced	-121	-24	...
1160 Appropriation, discretionary (total)	1,999	2,153	...
Spending authority from offsetting collections, discretionary:			
1700 Collected
1750 Spending auth from offsetting collections, disc (total)
1900 Budget authority (total)	1,999	2,153	...
1930 Total budgetary resources available	2,978	3,717	1,854
Memorandum (non-add) entries:			
1941 Unexpired unobligated balance, end of year	1,564	1,854	1,026
Change in obligated balance:			
Unpaid obligations:			
3000 Unpaid obligations, brought forward, Oct 1	3,850	3,015	3,098
3010 Obligations incurred, unexpired accounts	1,414	1,863	828
3020 Outlays (gross)	-2,239	-1,780	-1,329
3040 Recoveries of prior year unpaid obligations, unexpired	-10
3050 Unpaid obligations, end of year	3,015	3,098	2,597
Memorandum (non-add) entries:			
3100 Obligated balance, start of year	3,850	3,015	3,098
3200 Obligated balance, end of year	3,015	3,098	2,597

Capital Investment Grants

Identification code: 69-1134-0-1-401		2015 Actual	2016 Enacted	2017 Request
Budget authority and outlays, net:				
Discretionary:				
4000	Budget authority, gross	1,999	2,153	...
Outlays, gross:				
4010	Outlays from new discretionary authority	526	624	...
4011	Outlays from discretionary balances	1,713	1,156	1,329
4020	Outlays, gross (total)	2,239	1,780	1,329
Offsets against gross budget authority and outlays:				
Offsetting collections (collected) from:				
4033	Non-Federal sources
4070	Budget authority, net (discretionary)	1,999	2,153	...
4080	Outlays, net (discretionary)	2,239	1,780	1,329
4180	Budget authority, net (total)	1,999	2,153	...
4190	Outlays, net (total)	2,239	1,780	1,329

Capital Investment Grants

Identification code: 69-1134-0-4-401	2015 Actual	2016 Enacted	2017 Request
Budgetary resources:			
Budget authority:			
Appropriations, mandatory:			
1200	-2,192
1260	-2,192
1930	-2,192
Memorandum (non-add) entries:			
1941	-277
Change in obligated balance:			
Unpaid obligations:			
3000
3020	636
3050	-1,279
Memorandum (non-add) entries:			
3100
3200	-1,279
Budget authority and outlays, net:			
Mandatory:			
4090	-2,192
Outlays, gross:			
4100	-636
4160	-2,192
4170	-636
4180	-2,192
4190	-636

Capital Investment Grants

Identification code: 69-1134-0-7-401	2015 Actual	2016 Enacted	2017 Request
Budgetary resources:			
Budget authority:			
Appropriations, discretionary:			
1100
1160
Appropriations, mandatory:			
1200	...	2,153	2,192
1260	...	2,153	2,192
1900	2,192
1930	2,192
Memorandum (non-add) entries:			
1941	277
Change in obligated balance:			
Unpaid obligations:			
3000
3020	-636
3050	1,279
Memorandum (non-add) entries:			
3100
3200	1,279
Budget authority and outlays, net:			
Discretionary:			
4000	...	-2,153	...
Outlays, gross:			
4010	...	-624	...
4011	...	-1,156	-1,329
4020	...	-1,780	-1,329
4070	...	-2,153	...
4080	...	-1,780	-1,329

Capital Investment Grants

Identification code: 69-1134-0-7-401		2015 Actual	2016 Enacted	2017 Request
Mandatory:				
4090	Budget authority, gross	...	2,153	2,192
	Outlays, gross:			
4100	Outlays from new mandatory authority	...	624	636
4101	Outlays from mandatory balances	...	1,156	1,329
4110	Outlays, gross (total)	...	1,780	1,965
4160	Budget authority, net (mandatory)	...	2,153	2,192
4170	Outlays, net (mandatory)	...	1,780	1,965
4180	Budget authority, net (total)	2,192
4190	Outlays, net (total)	636

DISCRETIONARY GRANTS

In 2017, no additional liquidating cash is requested to pay previously incurred obligations in the Discretionary Grants account.

Discretionary Grants

Identification code: 69-8191-0-1-401	2015 Actual	2016 Enacted	2017 Request
Obligations by program activity:			
0001 Discretionary grants	9
0900 Total new obligations (object class 41.0)	9
Budgetary resources:			
Unobligated balance:			
1000 Unobligated balance brought forward, Oct 1	10	1	1
1021 Recoveries of prior year unpaid obligations
1050 Unobligated balance (total)	10	1	1
1930 Total budgetary resources available	10	1	1
Memorandum (non-add) entries:			
1941 Unexpired unobligated balance, end of year	1	1	1
Change in obligated balance:			
Unpaid obligations:			
3000 Unpaid obligations, brought forward, Oct 1	2	6	...
3010 Obligations incurred, unexpired accounts	9
3020 Outlays (gross)	-5	-1	...
3040 Recoveries of prior year unpaid obligations, unexpired	0
3050 Unpaid obligations, end of year	6	5	...
Memorandum (non-add) entries:			
3100 Obligated balance, start of year	2	6	...
3200 Obligated balance, end of year	6	5	...
Budget authority and outlays, net:			
Discretionary:			
Outlays, gross:			
4011 Outlays from discretionary balances	5	1	...
4080 Outlays, net (discretionary)	5	1	...

Discretionary Grants

Identification code: 69-8191-0-1-401		2015 Actual	2016 Enacted	2017 Request
4180	Budget authority, net (total)
4190	Outlays, net (total)	5	1	...
Memorandum (non-add) entries:				
5054	Fund balance in excess of liquidating requirements, SOY: Contract authority	38	38	38
5055	Fund balance in excess of liquidating requirements, EOY: Contract authority	38	38	38
5061	Limitation on obligations (Transportation Trust Funds)

FIXED GUIDEWAY INFRASTRUCTURE INVESTMENT, RECOVERY ACT

The American Recovery and Reinvestment Act of 2009 provided \$750 million to fund fixed guideway modernization grants to create jobs to bolster the American economy. The funds were apportioned consistent with the allocation formula authorized by SAFETEA-LU. Eligible capital projects included the purchase or rehabilitation of rail rolling stock and the construction or rehabilitation of transit guideway systems, passenger facilities, maintenance facilities and security systems.

Fixed Guideway Infrastructure Investment, ARRA

Identification code: 69-1102-0-1-401		2015	2016	2017
		Actual	Enacted	Request
Budgetary resources:				
Budget authority:				
Change in obligated balance:				
Unpaid obligations:				
3000	Unpaid obligations, brought forward, Oct 1	16	1	1
3020	Outlays (gross)	-14
3041	Unpaid obligations, end of year	-1	1	...
3050	Unpaid obligations, end of year	1	1	1
Memorandum (non-add) entries:				
3100	Obligated balance, start of year	16	1	1
3200	Obligated balance, end of year	1	1	1
Budget authority and outlays, net:				
Discretionary:				
Outlays, gross:				
4011	Outlays from discretionary balances	14
4080	Outlays, net (discretionary)	14
4180	Budget authority, net (total)
4190	Outlays, net (total)	14

FORMULA GRANTS

This schedule shows the obligation and outlay of formula grant program funding made available in fiscal years prior to 2006. In 2017, funds requested for transit formula grant programs are included in the Transit Formula Grants account and funded exclusively by the Mass Transit Account of the Transportation Trust Fund.

FORMULA GRANTS

Identification code: 69-1129-0-1-401		2015	2016	2017
		Actual	Enacted	Request
Obligations by program activity:				
0004	Other Programs	1		
0900	Total new obligations (object class 41.0)	1		
Budgetary resources:				
Unobligated balance:				
1000	Unobligated balance brought forward, Oct 1	31	44	44
1021	Recoveries of prior year unpaid obligations	12
1050	Unobligated balance (total)	43	44	44
Budget authority:				
Appropriations, discretionary:				
1131	Unobligated balance of appropriations permanently reduced	...	8.00	...
1160	Appropriation, discretionary (total)
Spending authority from offsetting collections, discretionary:				
1700	Collected	2
1701	Change in uncollected payments, Federal sources	
1750	Spending auth from offsetting collections, disc (total)	2
1900	Budget authority (total)	2
1930	Total budgetary resources available	45	44	44
Memorandum (non-add) entries:				
1941	Unexpired unobligated balance, end of year	44	44	44
Change in obligated balance:				
Unpaid obligations:				
3000	Unpaid obligations, brought forward, Oct 1	184	128	21
3010	Obligations incurred, unexpired accounts	1	14	0
3020	Outlays (gross)	-45	-107	0
3040	Recoveries of prior year unpaid obligations, unexpired	-12
3050	Unpaid obligations, end of year	128	2	21
Uncollected payments:				
3060	Uncollected pymts, Fed sources, brought forward, Oct 1	-2	-2	-2
3070	Change in uncollected pymts, Fed sources, unexpired	
3090	Uncollected pymts, Fed sources, end of year	-2	-2	-2
Memorandum (non-add) entries:				
3100	Obligated balance, start of year	182	126	19
3200	Obligated balance, end of year	126	19	19

FORMULA GRANTS

Identification code: 69-1129-0-1-401		2015	2016	2017
		Actual	Enacted	Request
Budget authority and outlays, net:				
Discretionary:				
4000	Budget authority, gross	2
Outlays, gross:				
4011	Outlays from discretionary balances	45	107	...
Offsets against gross budget authority and outlays:				
Offsetting collections (collected) from:				
4030	Federal sources	
Additional offsets against gross budget authority only:				
4050	Change in uncollected pymts, Fed sources, unexpired	
4070	Budget authority, net (discretionary)	
4080	Outlays, net (discretionary)	43	107	...
4180	Budget authority, net (total)	
4190	Outlays, net (total)	43	107	...

GRANTS FOR ENERGY EFFICIENCY AND GREENHOUSE GAS REDUCTIONS

Initiated within the American Recovery & Reinvestment Act (ARRA) of 2009, this program provided grants to public transit agencies for capital investments to reduce the energy consumption or greenhouse gas emissions of their public transportation operations. Activities have not been funded in this account since 2011. This schedule shows the obligations and outlays of funding made available for this program in fiscal years prior to 2012. In 2017, projects to increase energy efficiency and decrease greenhouse gas emissions can be funded with Urbanized Area Formula grants and Rural Area Formula grants.

Grants for Energy Efficiency and Greenhouse Gas Reductions

Identification code: 69-1131-0-1-401	2015 Actual	2016 Enacted	2017 Request
Budgetary resources:			
Budget authority:			
Appropriations, discretionary:			
1160	Appropriation, discretionary (total)
Change in obligated balance:			
Unpaid obligations:			
3000	Unpaid obligations, brought forward, Oct 1	62	47
3020	Outlays (gross)	-14	-47
3041	Unpaid obligations, end of year	-1	...
3050	Unpaid obligations, end of year	47	...
Memorandum (non-add) entries:			
3100	Obligated balance, start of year	62	47
3200	Obligated balance, end of year	47	...
Budget authority and outlays, net:			
Discretionary:			
Outlays, gross:			
4011	Outlays from discretionary balances	14	47
4080	Outlays, net (discretionary)	14	47
4180	Budget authority, net (total)
4190	Outlays, net (total)	14	47

INTERSTATE TRANSFER GRANTS-TRANSIT

This account funds transit capital projects substituted for previously withdrawn segments of the Interstate Highway System under the provisions of 23 U.S.C. 103(e)(4). In FY 2014, the unobligated balance remaining in this account was permanently rescinded.

INTERSTATE TRANSFER GRANTS - TRANSIT

Identification code: 69-1127-0-1-401		2015	2016	2017
		Actual	Enacted	Request
Budgetary resources:				
Unobligated balance:				
1000	Unobligated balance brought forward, Oct 1	-	-	-
Budget authority:				
Appropriations, discretionary:				
1131	Unobligated balance of appropriations permanently r	-	-	-
1160	Appropriation, discretionary (total)	-	-	-
1930	Total budgetary resources available	-	-	-
Budget authority and outlays, net:				
Discretionary:				
4000	Budget authority, gross	-	-	-
4070	Budget authority, net (discretionary)	-	-	-
4180	Budget authority, net (total)	-	-	-
4190	Outlays, net (total)	-	-	-

JOB ACCESS AND REVERSE COMMUTE GRANTS

Activities have not been funded in the Job Access and Reverse Commute Grants account since 2005. In FY 2014, the unobligated balance remaining in this account was permanently rescinded. Urbanized Area formula grants may be used to support job access and reverse commute projects in fiscal year 2017.

Job Access and Reverse Commute

Identification code: 69-1125-0-1-401	2015 Actual	2016 Enacted	2017	Request
Obligations by program activity:				
0689			1	...
0900	1	1		...
Budgetary resources:				
Unobligated balance:				
1000	1	1		...
1021
1050	1
Budget authority:				
Appropriations, discretionary:				
1131
1160
Spending authority from offsetting collections, discretionary:				
1750
1900
1930	1
Memorandum (non-add) entries:				
1941	1
Change in obligated balance:				
Unpaid obligations:				
3000	4	3		...
3010
3020	-1	-3		...
3040
3050	3
Memorandum (non-add) entries:				
3100	4	3		...
3200	3

Job Access and Reverse Commute

Identification code: 69-1125-0-1-401		2015 Actual	2016 Enacted	2017	Request
Budget authority and outlays, net:					
Discretionary:					
4000	Budget authority, gross
	Outlays, gross:				
4011	Outlays from discretionary balances	1	3		...
4070	Budget authority, net (discretionary)
4080	Outlays, net (discretionary)	1	3		...
4180	Budget authority, net (total)
4190	Outlays, net (total)	1	3		...

MISCELLANEOUS EXPIRED ACCOUNTS

In FY 2014, the unobligated balances remaining for Miscellaneous Expired Accounts were permanently rescinded.

Miscellaneous Expired Accounts

Identification code: 69-1122-0-1-401	2015 Actual	2016 Enacted	2017 Request
Budgetary resources:			
Unobligated balance:			
1000	1
Unobligated balance brought forward, Oct 1			
Budget authority:			
Appropriations, discretionary:			
1131	-1
Unobligated balance of appropriations permanentl			
1160	-1
Appropriation, discretionary (total)			
1930
Total budgetary resources available			
Budget authority and outlays, net:			
Discretionary:			
4000	-1
Budget authority, gross			
4070	-1
Budget authority, net (discretionary)			
4180	-1
Budget authority, net (total)			
4190
Outlays, net (total)			

PUBLIC TRANSPORTATION EMERGENCY RELIEF PROGRAM

The 2017 Budget does not request funding for this account.

Public Transportation Emergency Relief Program

Identification code: 69-1140-0-1-401		2015 Actual	2016 Enacted	2017 Request
Obligations by program activity:				
0001	2013 Hurricane Sandy Emergency Supplemental (P.L. 113-2)	2,240	1,494	1,494
0003	2013 Hurricane Sandy Emergency Supplemental (P.L. 113-2 Administration and Oversight)	...	8	8
0900	Total new obligations	2,240	1,502	1,502
Budgetary resources:				
Unobligated balance:				
1000	Unobligated balance brought forward, Oct 1	7,766	5,558	4,056
1021	Recoveries of prior year unpaid obligations	32
1050	Unobligated balance (total)	7,798	5,558	4,056
Budget authority:				
Appropriations, discretionary:				
1160	Appropriation, discretionary (total)
1930	Total budgetary resources available	7,798	5,558	4,056
Memorandum (non-add) entries:				
1941	Unexpired unobligated balance, end of year	5,558	4,056	2,554
Change in obligated balance:				
Unpaid obligations:				
3000	Unpaid obligations, brought forward, Oct 1	1,644	3,488	4,490
3010	Obligations incurred, unexpired accounts	2,240	1,502	1,502
3020	Outlays (gross)	-364	-500	-700
3040	Recoveries of prior year unpaid obligations, unexpired	-32
3050	Unpaid obligations, end of year	3,488	4,490	5,292
Memorandum (non-add) entries:				
3100	Obligated balance, start of year	1,644	3,488	4,490
3200	Obligated balance, end of year	3,488	4,490	5,292
Budget authority and outlays, net:				
Discretionary:				
Outlays, gross:				
4011	Outlays from discretionary balances	364	500	700
4080	Outlays, net (discretionary)	364	500	700
4180	Budget authority, net (total)
4190	Outlays, net (total)	364	500	700

RESEARCH, TRAINING, AND HUMAN RESOURCES

Activities have not been funded in the Research, Training and Human Resources account since 2005. In FY 2015, the unobligated balance remaining in this account was permanently rescinded.

Research Training Human Resources

Identification code: 69-1121-0-1-401		2015	2016	2017
		Actual	Enacted	Request
Budgetary resources:				
Budget authority:				
Appropriations, discretionary:				
1160	Appropriation, discretionary (total)
4180	Budget authority, net (total)
4190	Outlays, net (total)

TECHNICAL ASSISTANCE AND TRAINING

Beginning in Fiscal Year 2016 activities under this account are carried out under the Transit Formula Grants account of the Transportation Trust Fund. The Technical Assistance and Standard Development program enables FTA to provide technical assistance to the public transportation industry and to develop standards for transit service provision, with an emphasis on improving access for all individuals and transportation equity. Through this program, FTA is able to assist grantees to more effectively and efficiently provide public transportation and administer Federal funding in compliance with the law.

Technical Assistance and Standards Development

Identification code: 69-1142-0-1-401		2015 Actual	2016 Enacted	2017 Request
Obligations by program activity:				
0001	Technical Assistance and Standards Development	6
0900	Total new obligations (object class 25.5)	6
Budgetary resources:				
Unobligated balance:				
1000	Unobligated balance brought forward, Oct 1	4	2	2
Budget authority:				
Appropriations, discretionary:				
1100	Appropriation	4
1160	Appropriation, discretionary (total)	4
1930	Total budgetary resources available	8	2	2
Memorandum (non-add) entries:				
1941	Unexpired unobligated balance, end of year	2	2	2
Change in obligated balance:				
Unpaid obligations:				
3000	Unpaid obligations, brought forward, Oct 1	2	6	3
3010	Obligations incurred, unexpired accounts	6
3020	Outlays (gross)	-2	-3	-3
3050	Unpaid obligations, end of year	6	3	...
Memorandum (non-add) entries:				
3100	Obligated balance, start of year	2	6	3
3200	Obligated balance, end of year	6	3	...
Budget authority and outlays, net:				
Discretionary:				
4000	Budget authority, gross	4
Outlays, gross:				
4011	Outlays from discretionary balances	2	3	3
4070	Budget authority, net (discretionary)	4
4080	Outlays, net (discretionary)	2	3	3
4180	Budget authority, net (total)	4
4190	Outlays, net (total)	2	3	3

TRANSIT RESEARCH

Beginning in Fiscal Year 2016 activities of this account are carried out under the Transit Formula Grants account of the Transportation Trust Fund. The Federal Transit Administration research programs include discretionary grant support for the National Research Program, the Transit Cooperative Research Program, and Low to No Vehicle Emission's activities.

Transit Research

Identification code: 69-1137-0-1-401		2015 Actual	2016 Enacted	2017 Request
Obligations by program activity:				
0001	Research and University Research Centers	82	58	6
0801	Research and University Research Centers (Reimbursable)	1	9	...
0900	Total new obligations	83	67	6
Budgetary resources:				
Unobligated balance:				
1000	Unobligated balance brought forward, Oct 1	157	73	6
1021	Recoveries of prior year unpaid obligations	1
1050	Unobligated balance (total)	158	73	6
Budget authority:				
Appropriations, discretionary:				
1100	Appropriation	33
1131	Unobligated balance of appropriations permanently reduce
1160	Appropriation, discretionary (total)	33
Spending authority from offsetting collections, discretionary:				
1700	Collected	2
1701	Change in uncollected payments, Federal sources	-37
1750	Spending auth from offsetting collections, disc (total)	-35
1900	Budget authority (total)	-2
1930	Total budgetary resources available	156	73	6
Memorandum (non-add) entries:				
1941	Unexpired unobligated balance, end of year	73	6	...
Change in obligated balance:				
Unpaid obligations:				
3000	Unpaid obligations, brought forward, Oct 1	47	110	147
3010	Obligations incurred, unexpired accounts	83	67	6
3020	Outlays (gross)	-19	-30	-44
3040	Recoveries of prior year unpaid obligations, unexpired	-1
3050	Unpaid obligations, end of year	110	147	109

Transit Research

Identification code: 69-1137-0-1-401		2015	2016	2017
		Actual	Enacted	Request
Uncollected payments:				
3060	Uncollected pymts, Fed sources, brought forward, Oct 1	-43	-6	-6
3070	Change in uncollected pymts, Fed sources, unexpired	37
3090	Uncollected pymts, Fed sources, end of year	-6	-6	-6
Memorandum (non-add) entries:				
3100	Obligated balance, start of year	4	104	141
3200	Obligated balance, end of year	104	141	103
Budget authority and outlays, net:				
Discretionary:				
4000	Budget authority, gross	-2
Outlays, gross:				
4010	Outlays from new discretionary authority	0	7	...
4011	Outlays from discretionary balances	19	30	44
4020	Outlays, gross (total)	33	48	71
Offsets against gross budget authority and outlays:				
Offsetting collections (collected) from:				
4030	Federal sources	-2
4040	Offsets against gross budget authority and outlays	-2
4050	Change in uncollected payments, Fed Sources, unexpired	37
4070	Budget authority, net (discretionary)	33
4080	Outlays, net (discretionary)	17	30	44
4180	Budget authority, net (total)	33
4190	Outlays, net (total)	17	30	44

WASHINGTON METROPOLITAN TRANSPORTATION AUTHORITY

The Federal Rail Safety Improvements Act, 2008, (P.L. 110–432, Title VI, Sec. 601), provided authorization for capital and preventive maintenance projects for the Washington Metropolitan Area Transit Authority (WMATA). Funding will help WMATA address its reinvestment and maintenance backlog to improve the safety and reliability of service and to expand existing system capacity to meet growing demand. The Secretary will use his authority to approve grants under this program to ensure that available funds first address WMATA's most critical safety needs.

Washington Metropolitan Area Transit Authority

Identification code: 69-1128-0-1-401	2015 Actual	2016 Enacted	2017 Request
Obligations by program activity:			
0001 Washington Metropolitan Area Transit Authority	282	150	150
0900 Total new obligations (object class 41.0)	282	150	150
Budgetary resources:			
Unobligated balance:			
1000 Unobligated balance brought forward, Oct 1	150	18	18
Budget authority:			
Appropriations, discretionary:			
1100 Appropriation	150	150	150
1131 Unobligated balance of appropriations permanentl
1160 Appropriation, discretionary (total)	150	150	150
1930 Total budgetary resources available	300	168	168
 Memorandum (non-add) entries:			
1941 Unexpired unobligated balance, end of year	18	18	18

Identification code: 69-1128-0-1-401		2015	2016	2017
		Actual	Enacted	Request
Change in obligated balance:				
Unpaid obligations:				
3000	Unpaid obligations, brought forward, Oct 1	169	353	319
3010	Obligations incurred, unexpired accounts	282	150	150
3020	Outlays (gross)	-98	-184	-154
3050	Unpaid obligations, end of year	353	319	315
Memorandum (non-add) entries:				
3100	Obligated balance, start of year	169	353	319
3200	Obligated balance, end of year	353	319	315
Budget authority and outlays, net:				
Discretionary:				
4000	Budget authority, gross	150	150	150
Outlays, gross:				
4010	Outlays from new discretionary authority	0	38	38
4011	Outlays from discretionary balances	98	146	116
4020	Outlays, gross (total)	98	184	154
4070	Budget authority, net (discretionary)	150	150	150
4080	Outlays, net (discretionary)	98	184	154
4180	Budget authority, net (total)	150	150	150
4190	Outlays, net (total)	98	184	154

