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U.S. Department of Transportation Surface Transportation Reauthorization Proposal Summary

Every day, Americans take more than one billion trips, by car, bus, train, boat and aircraft. The U.S. Department of Transportation's (DOT) top priority is to help them make these trips safely. The mission of the DOT is to ensure our Nation has the safest, most efficient and modern transportation system in the world, which improves the quality of life for all American people and communities, from rural to urban, and increases the productivity and competitiveness of American workers and businesses.

Safe, reliable and affordable transportation boosts exports, enhances commerce and powers economic growth. It provides Americans access to employment, education, and recreation. It allows for easier travel, wider access to health care, and faster response of first responders during emergencies. Our multimodal transportation system has enabled the United States to become the most vibrant and powerful Nation in history. To improve safety, increase economic growth, and enhance quality of life, DOT is focused on rebuilding and refurbishing America's infrastructure. It partners with State and local governments to address infrastructure needs – from roads and bridges to aviation, rail, transit and pipelines.

This Administration would like to do even more, because while our transportation system has had many successes, it also faces significant challenges. For example, the 2019 Urban Mobility Report found congestion in urban areas cost commuters an estimated \$179 billion in wasted fuel and time in 2017. The percentage of vehicle miles traveled on the National Highway System pavement in “good” condition was only 62 percent in 2018. There were 16,764 bridges on the Federal-aid highway system in poor condition in 2018. The transit maintenance backlog is projected to reach \$116 billion by 2034. Many transportation projects, especially larger ones, still take too long to receive an environmental permitting decision, delaying their benefits. While showing recent signs of improvement, far too many fatalities and injuries continue to occur year after year on the Nation's roads, and pedestrian and bicyclist deaths are rising.

With the expiration of the Fixing America's Surface Transportation (FAST Act) in September, the time to take bold action to address these and other challenges is now. Therefore, the Fiscal Year (FY) 2021 President's Budget request includes \$810 billion for a 10-year surface transportation reauthorization proposal for the DOT, Federal Highway Administration (FHWA), Federal Transit Administration (FTA), Federal Railroad Administration (FRA), the National Highway Traffic Safety Administration (NHTSA), the Federal Motor Carrier Safety Administration (FMCSA), and the Pipeline and Hazardous Materials Safety Administration (PHMSA) hazardous materials programs. The reauthorization would run from fiscal year 2021 through 2030—providing predictable funding levels for an entire decade.

In the coming months, the Administration will submit a comprehensive surface transportation reauthorization proposal to the Congress for consideration. The FY 2021 Budget includes an additional \$190 billion for other infrastructure improvements, including bridges, freight bottlenecks and landside port infrastructure. It will also provide first responders with near real-time emergency response information.

This proposal will build upon the success of the FAST Act. Over the 10-year period, the 2021 Budget proposes an eight percent increase for highway and transit formula programs from the last year of the FAST Act. The Budget also provides for a 3.8 percent increase to NHTSA and

FMCSA from the last year of the FAST Act. Similar to the FAST Act, the proposal also authorizes General Fund programs for NHTSA, FTA, FRA, PHMSA and OST. This unprecedented 10-year authorization will provide long-term stable and predictable investment that will help ensure that America has a safer, more reliable, and more efficient transportation system.

The Budget provides historic levels of funding to make our highways, bridges, tunnels, transit and rail systems the best in the world. This long-term funding commitment provides certainty to our State, local, and private partners, so that they can effectively plan, finance, and deliver vital projects. The proposal will build upon the gains of past reauthorizations from program consolidation, simplification, and flexibility, while re-focusing the Federal role on activities that advance National goals. This investment will enable people to travel more safely and efficiently, and support continued economic growth.

Improving Transportation Safety: Traffic fatalities have declined 32 percent since 1972. That's remarkable, especially considering that there has been a 153 percent increase in vehicle miles travelled. In fact, the fatality rate in 1972 was nearly four times higher than it is today. This reduction in fatalities is attributable in part to improvements in roadway and vehicle designs. It is estimated that projects implemented using Highway Safety Improvement Program funds save 600 lives every year. The Administration's proposed bill will help further reduce those fatalities, ensuring more Americans make it home safely.

Transportation safety and accessibility is improved by modernizing, expanding eligibility for, and standardizing existing successful programs. For example, updating the Highway Safety Improvement Program to include additional proven strategies for improving safety, modernizing the Railway-Highway Crossing Program to reflect changing technologies and to offer greater flexibility for States to enhance safety, and by ensuring that the safety practices of public transportation systems are considered for FTA-funded projects.

Building Infrastructure More Efficiently: Extensive project review times are preventing projects from being completed in a timely fashion. Reducing the environmental review and permitting timeline will reduce project costs, and help avoid delays to needed projects. These reforms will improve the efficiency and transparency of the environmental review process while protecting critical environmental resources.

DOT is helping projects get started and completed more easily with a cohesive set of reforms to the environmental review and permitting process that will reduce regulatory burdens, increase government efficiency and empower State and localities. These reforms will protect the environment while delivering projects in a less costly and more timely manner by reducing duplication in Federal responsibilities, codifying aspects of One Federal Decision, and delegating more responsibility to State and local partners. In addition, the proposal includes resiliency provisions to codify efforts within current programs.

Reducing Regulatory Burdens and Increasing Government Efficiency: Improvement of regulations is a continuous focus for the Department. There should be no more regulations than necessary, and those regulations should be straightforward, clear, and designed to achieve their objective and minimize burdens.

This legislative proposal will advance the work to update or reduce outdated, duplicative, and unnecessarily burdensome regulations that do not enhance safety. In addition, the legislation will reduce administrative burdens on grantees by consolidating grant programs at NHTSA and FTA. These commonsense updates will save, respectively, hundreds of millions of dollars a year that can be better spent on creating new jobs, training and safety.

Investing in Both Urban and Rural America: The disparity in resources has safety and economic ramifications. Rural America comprises nearly 70 percent of roadways and those roads carry 47 percent of America's truck traffic. Though only 20 percent of Americans reside in rural areas, 46 percent of traffic fatalities occur on rural roads. The state of infrastructure in rural regions impacts the residents, travelers—44 percent of whom are urban dwellers—and regional and interstate commerce.

This legislation will ensure that communities Nationwide are supported by DOT program enhancements; refinements to passenger rail programs to enhance transparency and project development and delivery; and authorizing BUILD and INFRA Transportation grants, ensuring equity between rural and urban America.

Empowering State and Local Authorities: States and localities are best equipped to understand the infrastructure needs of their communities. The Federal Government should provide support and incentives for communities to achieve their local needs. DOT's surface transportation reauthorization proposal has been developed after listening to and working with our State and local partners to ensure that the Federal role is one of help, not hindrance. The proposal will right-size the Federal role in areas where States and localities can make more tailored and efficient decisions, and provide our State and local partners with funding certainty and programmatic continuity over the long-term.

States would be empowered to make more tailored and efficient decisions with NHTSA and FMCSA safety incentive and grant funding to address their local safety needs, including allowing States additional transfer authorities to focus on drug-impaired driving. In addition, the legislation reduces the Federal involvement in outdoor advertising leaving more of the decision making to the States.

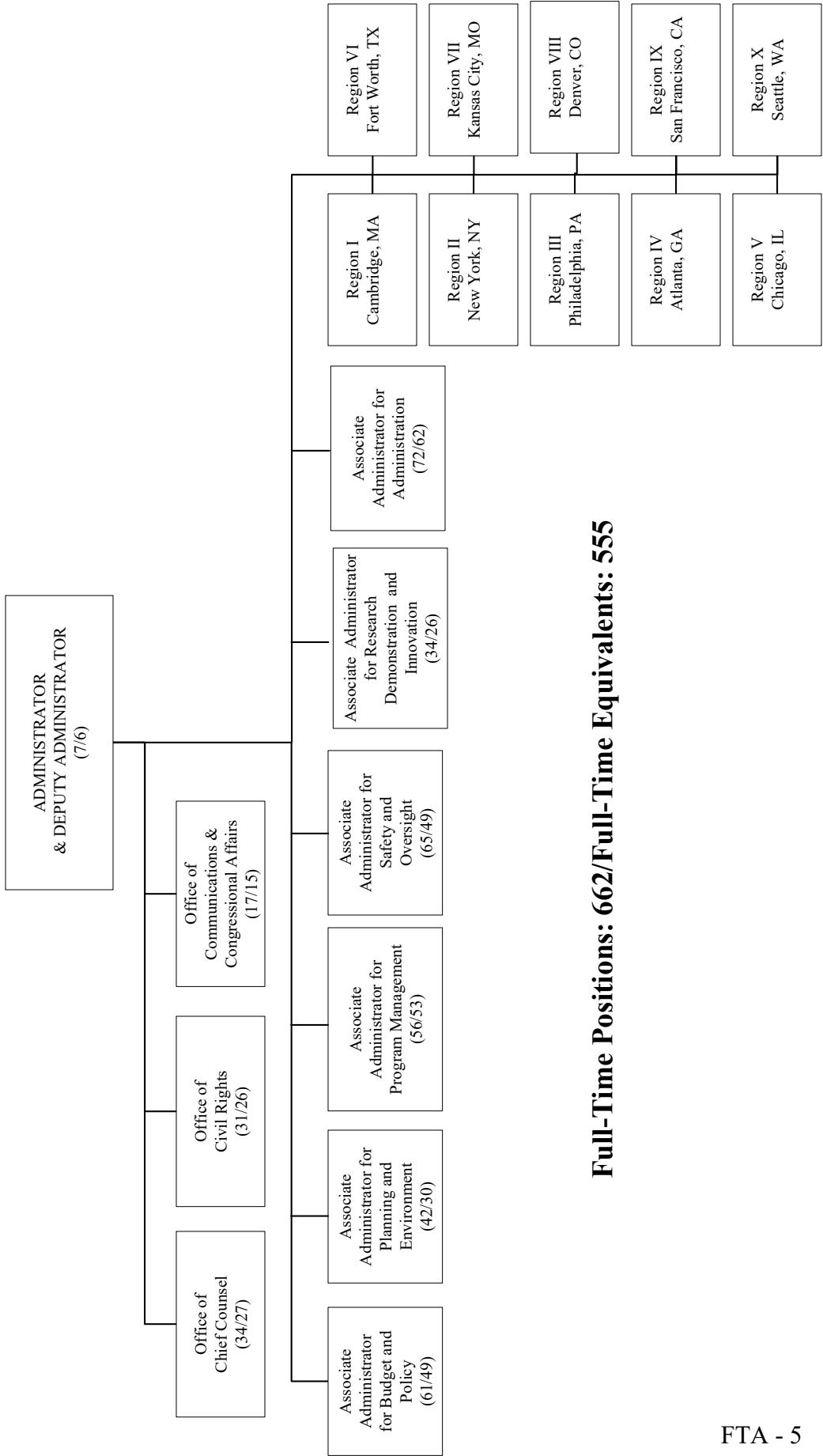
Taking Care of What You Have: Underinvestment in transportation has led to a backlog of needs throughout the transportation system. DOT will help restore and modernize existing infrastructure by focusing on State of Good Repair needs in public transportation, transforming the National passenger rail network to provide better transportation options to rural and urban areas, and enhancing PHMSA's hazardous materials inspection and investigation activities.

Preparing for the Future: We have entered an historic period of transportation innovation that promises to boost economic growth and improve quality of life for all Americans. These innovations are occurring in all modes of transportation, including roads, rail, maritime, and aerospace. The Department is helping to chart a course for the safe integration of these innovations into our National transportation network.

The legislation includes provisions DOT supported in key automated vehicle bills proposed in Congress. In addition, the proposal would enhance PHMSA's ability to partner with its stakeholders and leverage automated vehicle technologies and other innovations with potential to improve hazardous materials transportation safety.

By incentivizing new investment in infrastructure, eliminating overly burdensome regulations, and encouraging innovation, the Department is helping to improve our quality of life and build a brighter future for all Americans.

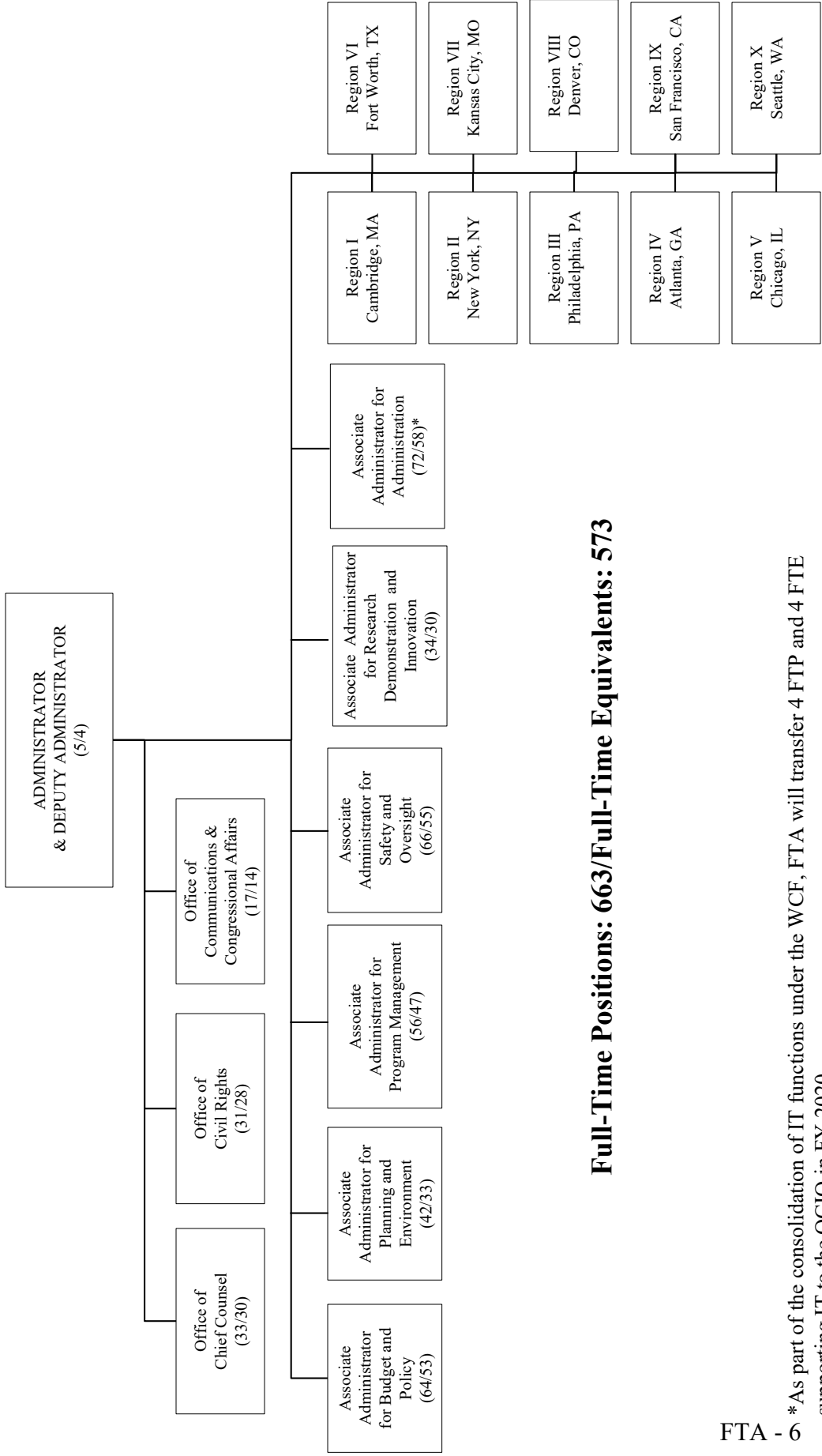
FEDERAL TRANSIT ADMINISTRATION
FY 2019 Administrative Organizational Chart with
Full-Time Positions (FTP) and Projected Full-Time Equivalents (FTE)



Full-Time Positions: 662/Full-Time Equivalents: 555

Regional Total
(243/212)

FEDERAL TRANSIT ADMINISTRATION
FY 2020 Administrative Organizational Chart with
Full-Time Positions (FTP) and Projected Full-Time Equivalents (FTE)

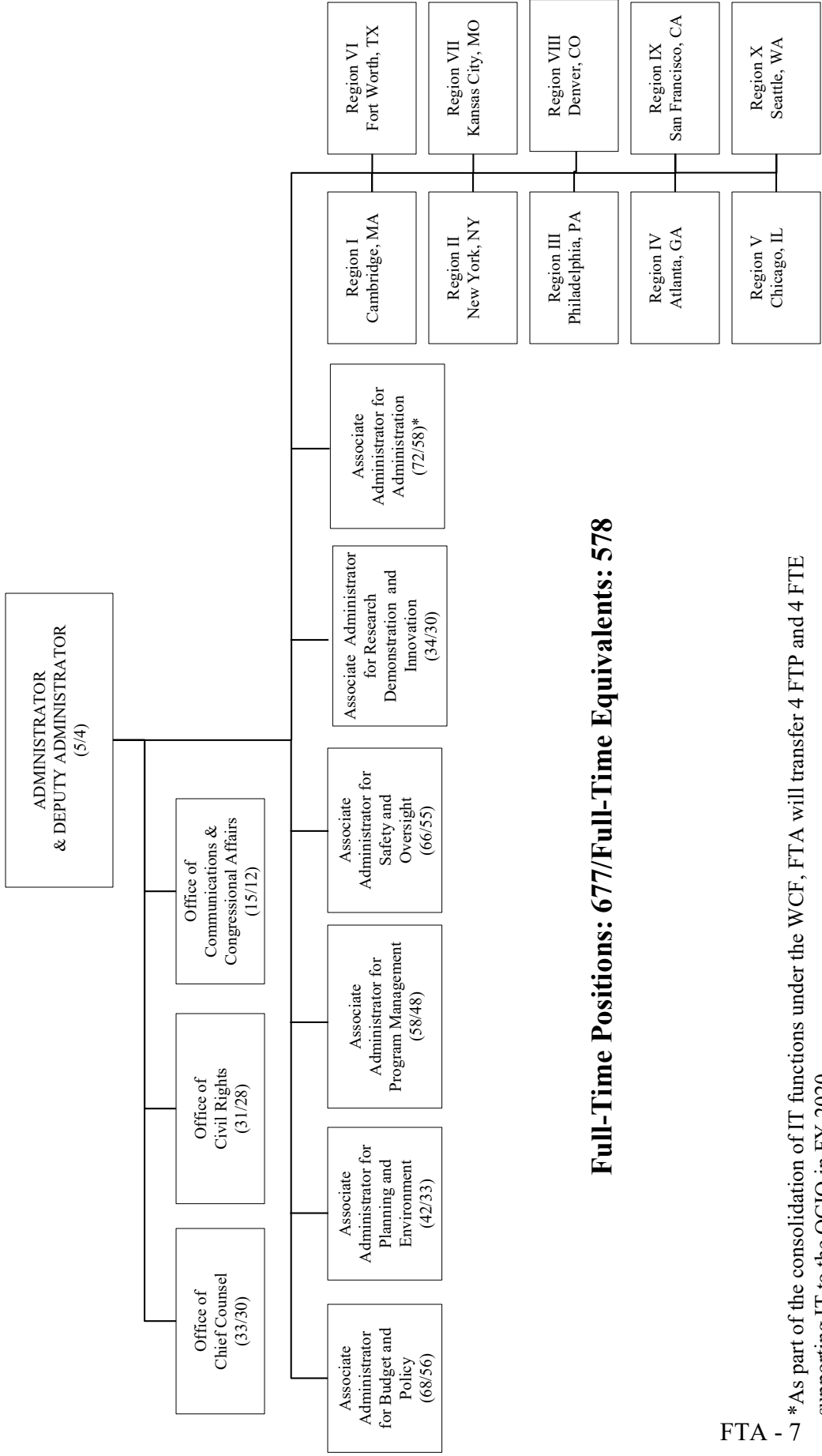


Full-Time Positions: 663/Full-Time Equivalents: 573

Regional Total
(243/221)

FTA - *As part of the consolidation of IT functions under the WCF, FTA will transfer 4 FTP and 4 FTE supporting IT to the OCIO in FY 2020.

FEDERAL TRANSIT ADMINISTRATION
FY 2021 Administrative Organizational Chart with
Full-Time Positions (FTP) and Projected Full-Time Equivalents (FTE)



Full-Time Positions: 677/Full-Time Equivalents: 578

Regional Total
(253/224)

FTA - * As part of the consolidation of IT functions under the WCF, FTA will transfer 4 FTP and 4 FTE supporting IT to the OCIO in FY 2020.

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EXHIBIT II-1
FY 2021 BUDGET AUTHORITY
FEDERAL TRANSIT ADMINISTRATION
(\$000)

ACCOUNT NAME	FY 2019 ACTUAL	FY 2020 ENACTED	FY 2021 REQUEST
Transit Formula Grants (Contract Authority) (TF)	\$9,939,380	\$10,150,348	\$11,046,000
Capital Investment Grants (GF)	\$2,552,687	\$1,978,000	\$1,888,690
Washington Metropolitan Area Transit Authority (GF)	\$150,000	\$150,000	150,000
Administrative Expenses (GF)	\$113,165	\$117,000	\$121,052
Technical Assistance and Training (GF)	\$5,000	5,000	-
Transit Infrastructure Grants (GF)	\$700,000	\$510,000	-
Transit Research (GF)	-	-	\$8,000
Public Transportation Emergency Relief Program (GF)	\$10,452	-	-
Gross Budgetary Resources	\$13,470,684	\$12,910,348	\$13,213,742
Transfers: FHWA Flex Funding	\$1,074,394	1,300,000	1,300,000
TOTAL BUDGETARY RESOURCES:	\$14,545,078	\$14,210,348	\$14,513,742
(Liquidation of Contract Authority)	\$9,900,000	\$10,800,000	\$11,696,000
RESCISSIONS			
<i>Less rescission of prior year carryover Formula Grants [non-add]</i>	[-46,560]	-	[-1,607]
<i>Less rescission of prior year carryover Job Access and Reverse Commute [non-add]</i>	-	-	[-.321]
<i>Less rescission of prior year carryover Research, Training, and Human Resources [non-add]</i>	-	-	[-.032]
Subtotal Rescissions	[-\$46,560]	-	[-\$1,960]

EXHIBIT II-2
FY 2021 BUDGETARY RESOURCES BY APPROPRIATION ACCOUNT
FEDERAL TRANSIT ADMINISTRATION
Appropriation, Obligation Limitation, and Exempt Obligations
(\$000)

ACCOUNT NAME	U.S.C. 49 Chapter 53 Section	M / D	FY 2019 ACTUAL	FY 2020 ENACTED	FY 2021 REQUEST
Transit Formula Grants (Contract Authority) (TF)		M	\$9,939,380	\$10,150,348	\$11,046,000
Transit Oriented Development	2005(b)		\$10,000	\$10,000	
Planning Programs	5305		\$139,088	\$142,036	
Urbanized Area Formula Grants	5307		\$4,827,118	\$4,929,452	
Enhanced Mobility of Seniors and Individuals with Disabilities	5310		\$279,646	\$285,575	
Pilot Program for Enhanced Mobility	3006 (b)		\$3,500	\$3,500	
Formula Grants for Rural Areas	5311		\$659,322	\$673,300	
Public Transportation Innovation	5312		\$28,000	\$28,000	
Technical Assistance and Workforce Development	5314		\$9,000	\$9,000	
Bus Testing Facilities	5318		\$3,000	\$3,000	
National Transit Database	5322(d)		\$4,000	\$4,000	
State of Good Repair Grants	5337		\$2,638,367	\$2,683,798	
Buses and Bus Facilities Grants	5339		\$777,024	\$808,654	
Growing States and High Density States	5340		\$561,315	\$570,033	
Capital Investment Grants (GF)	5309	D	\$2,552,687	\$1,978,000	\$1,888,690
Washington Metropolitan Area Transit Authority (GF)	601, Division B, P.L. 110- 432	D	\$150,000	\$150,000	\$150,000
Administrative Expenses (GF)	5334, 5329, 5326	D	\$113,165	\$117,000	\$121,052
Technical Assistance and Training (GF)	5314	D	\$5,000	\$5,000	\$0
Transit Infrastructure Grants (GF)	5311, 5312, 5318, 5337, 5339, 5340	D	\$700,000	\$510,000	\$0
Transit Research (GF)	5312	D	-	-	8,000
Public Transportation Emergency Relief Program (GF)	5324	D	\$10,452	-	-
Gross Budgetary Resources			\$13,470,684	\$12,910,348	\$13,213,742
Transfers: FHWA Flex Funding			\$1,074,394	\$1,300,000	\$1,300,000
TOTAL BUDGETARY RESOURCES:			\$14,545,078	\$14,210,348	\$14,513,742
RESCISSIONS					
<i>Less rescission of prior year carryover Formula Grants [non-add]1/</i>			[-46,560]	-	[-1,607]
<i>Less rescission of prior year carryover Job Access and Reverse Commute Grants [non-add]</i>			-	-	[-.321]
<i>Less rescission of prior year carryover Research, Training, and Human Resources [non-add]</i>			-	-	[-.032]
Rescissions Total			[-\$46,560]	-	[-\$1,960]
Mandatory:			\$9,939,380	\$10,150,348	\$11,046,000
Discretionary:			\$3,531,304	\$2,760,000	\$2,167,742

EXHIBIT II-3
FY 2021 BUDGET REQUEST BY DOT STRATEGIC AND ORGANIZATIONAL GOALS
Appropriations, Obligation Limitation, and Exempt Obligations
FEDERAL TRANSIT ADMINISTRATION-
(\$000)

	Safety	Infrastructure	Innovation	Accountability	Total
ACCOUNT/ PROGRAM					
Transit Formula Grants		\$11,046,000			\$11,046,000
Administrative Expenses	\$4,000	\$1,000	-	\$116,052	\$121,052
Capital Investment Grants	-	\$1,888,690	-	-	\$1,888,690
Transit Research	-	\$4,000	\$4,000	-	\$8,000
Washington Metropolitan Area Transit Authority	\$148,500	-	-	\$1,500	\$150,000
Total	\$152,500	\$12,939,690	\$4,000	\$117,552	\$13,213,742

**EXHIBIT II-4
FEDERAL TRANSIT ADMINISTRATION
FY 2021 OUTLAYS
(in millions)**

	FY 2019 ACTUAL	FY 2020 ENACTED	FY 2021 REQUEST
021-36-1120 Administrative Expenses	\$114	\$126	\$121
021-36-1128 Washington Metropolitan Area Transit Authority	\$159	\$109	\$114
021-36-1129 Formula Grants	\$9	\$45	-
021-36-1134 Capital Investment Grants	\$1,826	\$2,323	\$2,638
021-36-1137 Transit Research	\$29	\$29	\$2
021-36-1140 Public Transportation Emergency Relief Program	\$615	\$1,005	\$877
021-36-1142 Technical Assistance and Training	\$4	\$10	\$6
021-36-2812 Transit Infrastructure Grants	\$100	\$20	\$246
021-36-8350 Transit Formula Grants			
Discretionary, Highway	\$1,334	\$1,344	\$1,320
Discretionary, Mass Transit	\$9,178	\$9,280	\$10,025
TOTAL:	\$13,368	\$14,291	\$15,349

EXHIBIT II-5
SUMMARY OF REQUESTED FUNDING CHANGES FROM FY 2020 to FY 2021
 Federal Transit Administration
 Administrative Expenses
 Appropriations, Obligation Limitations, and Exempt Obligations
 (\$000)

Account Name: Administrative Expenses	FY 2019 ACTUAL	FY 2020 ENACTED 1/2/	Annualization				Baseline Changes				FY 2021 Baseline	Program Changes	FY 2021 REQUEST
			2020 Pay Raises	2021 Pay Raises	Compensable Days (261 days) 3/	Base Adjustments	WCF Increase/ Decrease 4/	Inflation/ Deflation					
	1.9%	2.6%	1.0%	0%									
PERSONNEL RESOURCES													
(FTE)													
Direct FTE	499	509								509	7	516	
FINANCIAL RESOURCES													
ADMINISTRATIVE EXPENSES													
Salaries and Benefits	\$78,763	\$82,535	\$519	\$599						\$83,653	\$1,106	\$84,759	
FECA (Worker's Compensation)	\$67	\$63								\$63		\$63	
Travel	\$1,816	\$1,950								\$1,950		\$1,950	
Training	\$1,077	\$1,312								\$1,312		\$1,312	
Transportation	\$172	\$100								\$100		\$100	
GSA Rent	\$8,708	\$8,892		\$267						\$9,159		\$9,159	
Communications, & Utilities	\$900	\$997								\$997		\$997	
Printing	\$100	\$100								\$100		\$100	
Working Capital Fund 4/													
Other Base services	\$3,402	\$3,487							\$758	\$4,245		\$4,245	
Transit Subsidy	\$665	\$623							\$47	\$669		\$669	
Information Technology	\$7,350	\$8,071							\$424	\$8,494		\$8,494	
Contracts	\$9,579	\$7,805							\$332	\$8,137		\$8,137	
Supplies	140	133								\$133		\$133	
Equipment	426	933								933		\$933	
Grants	\$0	\$0								\$0		\$0	
Admin Total	\$113,165	\$117,000	\$519	\$599	\$0	\$267	\$0	\$1,560	\$0	\$119,946	\$1,106	\$121,052	

1/Does not include \$2.5 million of Transit Formula Grants Oversight funds that can be used for administrative expenses.

2/Consistent with OMB Memoranda M-19-24 dated July 2019, the amount shown above for Salaries and Benefits includes an estimated increase of \$600 thousand for awards spending, from \$1.1 million in FY 2020 to \$1.7 million in FY 2021. This increase is calculated by increasing the FY 2020 base award pay, relative to non-SES salaries, and increasing that percentage by one full percent. These percentages are 1.5 and 2.5 for FY 2020 and 2021, respectively. Additional increases shown on this line are attributable to various Pay Raise and FERS contribution percentage increases for FY 2020 and 2021 as prescribed by OPM and OMB guidance.

3/There are 261 compensable days in FY 2021 vs 262 in FY 2020.

4/Working Capital Fund costs are estimates.

EXHIBIT II-5
SUMMARY OF REQUESTED FUNDING CHANGES FROM FY 2020 to FY 2021
Federal Transit Administration
Transit Formula Grants
Appropriations, Obligation Limitations, and Exempt Obligations
(\$000)

Account Name: Transit Formula Grants	FY 2019 ACTUAL	FY 2020 ENACTED	Annualization			Baseline Changes			FY 2021 Baseline	Program Changes	FY 2021 REQUEST
			1/2	1/	261 days	1/	Increase/ Decrease	WCF			
			Raise	Raise	1/	Increase/ Decrease	Deflation				
PERSONNEL RESOURCES											
(FTE)											
Direct FTE	27	30							30		30
	1.9%		2.6%			1.0%					0%

FINANCIAL RESOURCES

Salaries and Benefits	\$4,564	\$4,710	\$31	\$35							
FECA (Worker's Compensation)											
Travel											
Training											
Transportation											
GSA Rent											
Communications, & Utilities											
Printing											
Contracts	\$69,241	\$70,668									
Supplies											
Equipment											
Grants	\$9,865,575	\$10,074,970									
Surface Transportation											
Reauthorization									\$10,150,348	\$895,652	\$11,046,000
Transit Formula Grants Total	\$9,939,380	\$10,150,348	\$31	\$35	\$0	\$0	\$0	\$0	\$10,150,348	\$895,652	\$11,046,000

1/There are 261 compensable days in FY 2021 vs 262 in FY 2020.

2/Consistent with OMB Memoranda M-19-24 dated July 2019, the amount shown above for Salaries and Benefits includes an estimated increase of \$33 thousands for awards spending, from \$67 thousand in FY 2020 to \$100 thousand in FY 2021. This increase is calculated by increasing the FY 2020 base award pay, relative to non-SES salaries, and increasing that percentage by one full percent. These percentages are 1.5 and 2.5 for FY 2020 and 2021, respectively. Additional increases shown on this line are attributable to various Pay Raise and FERS contribution percentage increases for FY 2020 and 2021 as prescribed by OPM and OMB guidance.

EXHIBIT II-5
SUMMARY OF REQUESTED FUNDING CHANGES FROM FY 2020 to FY 2021
Federal Transit Administration
Capital Investment Grants
Appropriations, Obligation Limitations, and Exempt Obligations
(\$000)

Account Name: Capital Investment Grants	FY 2019 ACTUAL 1/	FY 2020 ENACTED	Baseline Changes				FY 2021 Baseline	Program Changes	FY 2021 REQUEST
			Annualization		WCF				
			of 2020 Pay Raise	of 2021 Pay Days (261 days) 3/	Compensable Days	Increase/Decrease			
PERSONNEL RESOURCES									
(FTE)									
Direct FTE									
FINANCIAL RESOURCES									
Salaries and Benefits									
FECA (Worker's Compensation)									
Travel									
Training									
Transportation									
GSA Rent									
Communications, & Utilities									
Printing									
WCF									
Contracts	\$25,517	\$19,780				\$19,780	(893)	\$18,887	
Supplies									
Equipment									
Grants	\$2,527,170	\$1,958,220				\$1,958,220	(88,417)	\$1,869,803	
Capital Investment Grants									
Total	\$2,552,687	\$1,978,000	\$0	\$0	\$0	\$1,978,000	(\$89,310)	\$1,888,690	

1/ The FY 2019 Consolidated Appropriations Act provides \$2,552,687,000 in new budget authority for the Capital Investment Grant program and not more than \$25,517,000 is available for oversight activities.

2/ The FY 2020 Consolidated Appropriations Act provides \$1,978,000,000 in new budget authority for the Capital Investment Grant program and not more than \$19,780,000 is available for oversight activities.

3/ There are 261 compensable days in FY 2021 vs 262 in FY 2020.

EXHIBIT II-5
SUMMARY OF REQUESTED FUNDING CHANGES FROM FY 2020 to FY 2021
Federal Transit Administration
Transit Infrastructure Grants
Appropriations, Obligation Limitations, and Exempt Obligations
(\$000)

Account Name: Transit Infrastructure Grants	FY 2019 ACTUAL	FY 2020 ENACTED	Annualization			Baseline Changes			FY 2021 Baseline	Program Changes	FY 2021 REQUEST
			FY 2021 Pay Raise	FY 2021 Pay Days (261 days)	1/	GSA Rent	Increase/Decrease	Inflation/Deflation			
PERSONNEL RESOURCES											
(FTE)											
Direct FTE											
FINANCIAL RESOURCES											
Salaries and Benefits											
FECA (Worker's Compensation)											
Travel											
Training											
Transportation											
GSA Rent											
Communications, & Utilities											
Printing											
WCF											
Contracts	\$5,455	\$3,298							\$3,298	-\$3,298	\$0
Supplies											
Equipment											
Grants	\$694,545	\$506,703							\$506,703	-\$506,703	\$0
Transit Infrastructure Grants											
Total	\$700,000	\$510,000	\$0	\$0	\$0	\$0	\$0	\$0	\$510,000	(\$510,000)	\$0

1/There are 261 compensable days in FY 2021 vs 262 in FY 2020.

EXHIBIT II-5
SUMMARY OF REQUESTED FUNDING CHANGES FROM FY 2020 to FY 2021
Federal Transit Administration
Transit Research
Appropriations, Obligation Limitations, and Exempt Obligations
(\$000)

	FY 2019 ACTUAL	FY 2020 ENACTED	Annualization			Baseline Changes			FY 2021 Baseline	FY 2021 Program Changes	FY 2021 REQUEST
			FY 2021 Pay Raise	FY 2021 Pay Days (261 days) 1/	GSA Rent	WCF Increase/ Decrease	Inflation/ Deflation				
PERSONNEL RESOURCES											
(FTE)											
Direct FTE											
FINANCIAL RESOURCES											
Salaries and Benefits											
FECA (Worker's Compensation)											
Travel											
Training											
Transportation											
GSA Rent											
Communications, & Utilities											
Printing											
WCF											
Contracts											
Supplies											
Equipment											
Grants											
Transit Research	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$8,000	\$8,000

1/There are 261 compensable days in FY 2021 vs 262 in FY 2020.

EXHIBIT II-5
SUMMARY OF REQUESTED FUNDING CHANGES FROM FY 2020 to FY 2021
Federal Transit Administration
Washington Metropolitan Area Transit Authority
Appropriations, Obligation Limitations, and Exempt Obligations
(\$000)

Account Name: Washington Metropolitan Area Transit Authority	FY 2019 ACTUAL	FY 2020 ENACTED	Annualization			Baseline Changes			FY 2021 Baseline	Program Changes	FY 2021 REQUEST
			of 2020 Pay Raise	FY 2021 Pay Raise	Days (261 days) 1/	Compensable WCF	Increase/Decrease	Inflation/Deflation			
PERSONNEL RESOURCES											
(FTE)											
Direct FTE											
FINANCIAL RESOURCES											
Salaries and Benefits											
FECA (Worker's Compensation)											
Travel											
Training											
Transportation											
GSA Rent											
Communications, & Utilities											
Printing											
WCF											
Contracts	\$1,500	\$1,500							\$ 1,500		\$ 1,500
Supplies											
Equipment											
Grants	\$148,500	\$148,500							\$ 148,500		\$ 148,500
WMATA Total	\$150,000	\$150,000	\$0	\$0	\$0	\$0	\$0	\$0	\$150,000	\$0	\$150,000

1/There are 261 compensable days in FY 2021 vs 262 in FY 2020.

**EXHIBIT II-6
WORKING CAPITAL FUND
FEDERAL TRANSIT ADMINISTRATION
(\$000)**

	FY 2019 ACTUAL	FY 2020 ENACTED	FY 2021 REQUEST
DIRECT:			
Administrative Expenses			
Working Capital Fund	\$10,085	\$12,180	\$13,408
TOTAL	<u><u>\$10,085</u></u>	<u><u>\$12,180</u></u>	<u><u>\$13,408</u></u>

EXHIBIT II-7

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

	<u>FY 2019 ACTUAL</u>	<u>FY 2020 ENACTED</u>	<u>FY 2021 REQUEST</u>
<u>DIRECT FUNDED BY APPROPRIATION</u>			
Administrative Expenses ^{1/}	499	509	516
Capital Investment Grants - Lower Manhattan Recovery Office	2	2	-
Public Transportation Emergency Relief	27	32	32
Transit Formula Grants	27	30	30
TOTAL FTEs	<u>555</u>	<u>573</u>	<u>578</u>

1/ As part of the consolidation of IT functions under the Office of the Chief Information Officer (OCIO), FTA will transfer 4 FTE supporting IT to the OCIO in FY 2020. FY 2021 includes a reduction of 2 FTE to reflect public affairs and congressional affairs staff transitioning to the Department.

EXHIBIT II-8

**FEDERAL TRANSIT ADMINISTRATION
RESOURCE SUMMARY – STAFFING
FULL-TIME PERMANENT POSITIONS**

	<u>FY 2019 ACTUAL</u>	<u>FY 2020 ENACTED</u>	<u>FY 2021 REQUEST</u>
<u>DIRECT FUNDED BY APPROPRIATION</u>			
Administrative Expenses 1/	593	592	608
Capital Investment Grants - Lower Manhattan Recovery Office	2	2	0
Public Transportation Emergency Relief	32	33	33
Transit Formula Grants	<u>35</u>	<u>36</u>	<u>36</u>
TOTAL POSITIONS	<u>662</u>	<u>663</u>	<u>677</u>

1/ As part of the consolidation of IT functions under the Office of the Chief Information Officer (OCIO), FTA will transfer 4 FTE supporting IT to the OCIO in FY 2020.

**EXHIBIT II-9
FEDERAL TRANSIT ADMINISTRATION
10 YEAR FUNDING HISTORY TABLE
(\$000)**

ACCOUNT NAME	FY 2011 ACTUAL 1/	FY 2012 ACTUAL	FY 2013 ACTUAL 2/	FY 2014 ACTUAL	FY 2015 ACTUAL	FY 2016 ACTUAL	FY 2017 ACTUAL	FY 2018 ACTUAL	FY 2019 ENACTED	FY 2020 ENACTED	FY 2021 REQUEST
Transit Formula Grants (Contract Authority)	\$8,343,171	\$8,360,565	\$8,461,044	\$8,595,000	\$8,595,000	\$9,347,605	\$9,733,706	\$9,733,353	\$9,939,380	\$10,150,348	\$11,046,000
Capital Investment Grants (GF)	1,596,800	1,955,000	1,854,999	1,942,938	2,120,000	2,177,000	2,412,631	2,650,010	\$2,552,687	\$1,978,000	\$1,888,690
Washington Metropolitan Area Transit Authority (GF)	\$149,700	\$150,000	\$142,154	\$150,000	\$150,000	\$150,000	\$150,000	\$150,000	\$150,000	\$150,000	150,000
Administrative Expenses (GF)	\$98,911	\$98,713	\$97,542	\$105,933	\$105,933	\$108,000	\$113,165	\$113,165	\$113,165	\$117,000	\$121,052
Transit Infrastructure Grants (GF)								834,000	\$700,000	\$510,000	-
Grants for Energy Efficiency and Greenhouse Gas Reductions (GF)	49,900										
Research, Development, Demonstration, and Deployment Program (GF)		\$44,000									
Transit Research and Training (TF) 4/ 5/			\$41,699	48,000	37,500						
Technical Assistance and Training (GF) 6/							5,000	5,000	\$5,000	5,000	-
Transit Research (GF)											\$8,000
Emergency Relief Program- Hurricane Sandy (GF) 3/			\$10,164,300								
TOTAL:	10,238,482	10,608,278	20,761,738	10,841,871	11,008,433	11,782,605	12,414,502	13,485,528	13,460,232	12,910,348	13,213,742
Transfers: FHWA Flex Funding	\$1,211,495	\$1,528,502	\$1,300,000	\$1,277,000	\$1,429,885	\$1,273,000	\$1,435,956	\$1,633,698	\$1,300,000	\$1,300,000	\$1,300,000
(Liquidation of Contract Authority)	\$9,400,000	\$9,400,000	\$9,400,000	\$9,500,000	\$9,500,000	\$10,400,000	\$10,800,000	\$10,300,000	\$9,900,000	\$10,800,000	\$11,696,000
RESCISSIONS											
<i>Denali Commission (Section 5309(m)(6)(C) [Transfer Out non-add]</i>	<i>[-\$4,990]</i>	<i>[-\$5,000]</i>									
<i>Alaska and Hawaii (Section 5309(m)(6)(A) and 5309(m)(6)(B)) [Transfer Out non-add]</i>	<i>[-\$5,750]</i>	<i>[-\$5,086]</i>									
<i>DOT Inspector General Transfer [non-add]</i>	<i>[\$1,996]</i>										
<i>Research Training & Human Resources (Unobligated Balance Rescission) [non-add]</i>				<i>[-\$419]</i>							<i>[-.032]</i>
<i>Urban Discretionary Grants (Unobligated Balance Rescission) [non-add]</i>				<i>[-\$679]</i>							
<i>Interstate Transfer Grants-Transit (Unobligated Balance Rescission) [non-add]</i>				<i>[-\$2,687]</i>							
<i>Washington Metro (Unobligated Balance Rescission) [non-add]</i>				<i>[-\$523]</i>							
<i>Formula Grants (Unobligated Balance Rescission) [non-add]</i>				<i>[-\$65,190]</i>					<i>[-\$46,560]</i>		<i>[-1,607]</i>
<i>University Transportation Research (Unobligated Balance Rescission) [non-add]</i>				<i>[-\$596]</i>							
<i>Job Access and Reverse Commute (Unobligated Balance Rescission) [non-add]</i>				<i>[-\$15,704]</i>		<i>[-1,227]</i>					<i>[-.320]</i>
<i>Capital Investment Grants (Unobligated Balance Rescission) [non-add]</i>	<i>[-\$280,000]</i>	<i>[-\$58,500]</i>		<i>[-\$11,429]</i>	<i>[-\$121,546]</i>	<i>[-24,171]</i>					

1/Includes a 0.2% across-the-board rescission.
2/ Includes a 0.2% across-the-board rescission and mandated sequester amounts.
3/Includes \$10.9 billion in supplemental appropriations for Hurricane Sandy relief in FY 2013. Amount reflects transfer of \$6 million to the Office of the Inspector General for oversight and \$185 million transfer to Federal Railroad Administration.
4/ 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 million for 5314 and \$2 million for 5322).
5/ The FY 2015 Enacted level includes \$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).
6/In FY 2016, Technical Assistance and Standards Development Section 5314) is derived from the Mass Transit Account under the Transit Formula Grants account.

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Transit Formula Grants (TFG) Detailed Justification

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Summary Analysis of Change Table (Exhibit III-1A).....	TFG – 5

**TRANSIT FORMULA GRANTS
(LIQUIDATION OF CONTRACT AUTHORIZATION)
(LIMITATION ON OBLIGATIONS)
(HIGHWAY TRUST FUND)**

[For] *Contingent upon enactment of multi-year surface transportation authorization legislation, for payment of obligations incurred in the Federal Public Transportation Assistance Program in this account [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, section 20005(b) of Public Law 112–141, and section 3006(b) of the Fixing America's Surface Transportation Act, \$10,800,000,000] \$11,696,000,000, 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 *Federal Public Transportation Assistance* 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], title 49 of the U.S. Code, 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 [\$10,150,348,462] \$11,046,000,000 in fiscal year [2020] 2021: *Provided further*, That the Federal share of the cost of activities carried out under 49 U.S.C. section 5312 shall not exceed 80 percent, except that if there is substantial public interest or benefit, the Secretary may approve a greater Federal share: *Provided further*, That in addition to the amounts appropriated for purposes of 49 U.S.C. 5338(e), [not less than 2 percent of the] funds appropriated or available for the purposes of 49 U.S.C. 5338(f) shall be available for the purposes of 49 U.S.C. 5338(e). (*Department of Transportation Appropriations Act, 2020.*)*

U.S. Department of Transportation Surface Transportation Reauthorization Proposal Summary

The Surface Transportation Reauthorization proposal includes \$155.4 billion to support a 10-year reauthorization of Federal Transit Administration (FTA) programs. The public transportation provisions of the proposed surface transportation reauthorization address the following priorities:

Ensuring the Safety of Public Transportation: The proposed reauthorization will improve and target safety efforts in public transit systems by ensuring that safety practices are considered for FTA-funded projects. It will also encourage the reporting of critical safety-sensitive transit data and information.

Building Infrastructure More Efficiently: To streamline and improve the process for investing in public transportation infrastructure, the proposal will consolidate FTA's core financial assistance programs to improve flexibility and reduce administrative burdens for the Nation's transit operators. The proposal will also promote increased local participation, better assess risks to project schedules and budgets, and develop new sources of project financing by expanding the use of value capture strategies for projects.

Investing in Both Rural and Urban America: The proposal will improve funding opportunities for underserved areas with critical transit needs and would provide additional flexibility within the planning process.

Taking Care of What You Own, Improving Accessibility: Recognizing the nearly \$100 billion backlog in state of good repair among the Nation's transit systems, the proposal will focus Federal resources on maintaining transit assets. This proposal will also address longstanding accessibility issues by improving facilities that are currently inaccessible to those with disabilities.

Preparing for the Future: The proposal also seeks to incentivize private-sector participation to improve efficiency and support the introduction of new and emerging technologies.

EXHIBIT III-1

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

APPROPRIATIONS TITLE	FY 2019 ACTUAL	FY 2020 ENACTED	FY 2021 REQUEST
Transit Oriented Development Planning	\$10,000	\$10,000	
State and Metropolitan Planning Programs	\$139,088	\$142,036	
Urbanized Area Formula Grants	\$4,827,118	\$4,929,452	
Enhanced Mobility of Seniors and Individuals with Disabilities Formula Grants	\$279,646	\$285,575	
Pilot Program for Enhanced Mobility	\$3,500	\$3,500	
Formula Grants for Rural Areas	\$659,322	\$673,300	
Pilot Transportation Innovation	\$28,000	\$28,000	
Technical Assistance and Workforce Development	\$9,000	\$9,000	
Bus Testing Facilities	\$3,000	\$3,000	
National Transit Database	\$4,000	\$4,000	
State of Good Repair Grants Formula Grants	\$2,638,367	\$2,683,798	
Buses and Bus Facilities (both formula and competitive)	\$777,024	\$808,654	
Growing States and High Density States Formula Apportionments	\$561,315	\$570,033	
Surface Transportation Reauthorization			\$11,046,000
Net Budgetary Resources	\$9,939,380	\$10,150,348	\$11,046,000
Transfers: FHWA Flex Funding	\$1,300,000	\$1,300,000	\$1,300,000
TOTAL Budgetary Resources	\$11,239,380	\$11,450,348	\$12,346,000

TRANSIT FORMULA GRANTS

PROGRAM AND PERFORMANCE

As part of the Administration's 10-year surface transportation reauthorization proposal, the Budget requests \$131.392 billion in contract authority for the Transit Formula Grants appropriation over 10 years. Of this amount, \$11.046 billion is requested for 2021, an 8 percent increase from 2020. This schedule reflects 2021 contract authority and obligation limitation equal to the baseline. Contract authority and obligation limitation for 2021 above baseline amounts are reflected as a legislative proposal, in a separate Transmit-2 (Legislative Proposal, Not Subject to PAYGO) schedule. In the coming months the Administration will release the details of its reauthorization proposal.

(Legislative proposal, not subject to PAYGO)

This schedule reflects the additional contract authority and obligation limitation amounts proposed above the baseline for the Transit Formula Grants appropriation, for transit capital purposes including bus and rail car purchases, facility repair, construction and maintenance. In certain instances, Transit Formula Grant funds are eligible to be used for planning expenses as well. Some funds are also used for research, development, and demonstration to improve transit safety and innovation. These additional resources are requested as part of the Administrations 10-year surface transportation reauthorization proposal.

EXHIBIT III-1A

**TRANSIT FORMULA GRANTS
SUMMARY ANALYSIS OF CHANGE FROM FY 2020 TO FY 2021
Appropriations, Obligation Limitations, and Exempt Organizations
(\$000)**

	Change From FY 2020 to FY 2021 \$000	Change From FY 2020 to FY 2021 FTE
FY 2020 ENACTED BUDGET	\$10,150,348	30
NEW OR EXPANDED PROGRAMS: SURFACE TRANSPORTATION REAUTHORIZATION	\$895,652	
SUBTOTAL, NEW OR EXPANDED PROGRAMS	\$895,652	
FY 2021 REQUEST	\$11,046,000	30

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Administrative Expenses (AE) Detailed Justification

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Detailed Justification by Program Activity.....	AE – 5

ADMINISTRATIVE EXPENSES

[For] *Contingent upon enactment of multi-year surface transportation authorization legislation, for necessary administrative expenses of the Federal Transit Administration's programs authorized by chapter 53 of title 49, United States Code, [\$117,000,000]\$121,052,000,[of which \$15,000,000 shall] to remain available until September 30, [2021]2022, of which [and] up to \$1,000,000 shall be available to carry out the provisions of section 5326 of such title[: Provided, That upon submission to the Congress of the fiscal year 2021 President's budget, the Secretary of Transportation shall transmit to Congress the annual report on Capital Investment Grants, including proposed allocations for fiscal year 2021]. (Department of Transportation Appropriations Act, 2020.)*

ADMINISTRATIVE EXPENSES

PROGRAM AND PERFORMANCE

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 over \$13 billion in Federal funds. As part of the Administration's 10-year surface transportation reauthorization proposal, the Budget requests \$1.438 billion for the Administrative Expenses appropriation over 10-years, including \$121 million for 2021, a 3 percent increase from FY 2020. This schedule reflects 2019 actual and 2020 enacted program and financial information for the Administrative Expenses appropriation. The request for 2021 is reflected in a separate Transmit-2 (Legislative Proposal, Not Subject to PAYGO) schedule. In the coming months, the Administration will release the details of its reauthorization proposal.

(Legislative proposal, not subject to PAYGO)

These resources are requested as part of the Administration's 10-year surface transportation reauthorization proposal for the Administrative Expenses appropriation. The Administrative Expenses appropriation provides resources for salaries, benefits, and administrative expenses to carry out the Agency's stewardship of over \$13 billion in Federal funds. This schedule reflects the 2021 request for the Administrative Expenses appropriation.

EXHIBIT III-1
ADMINISTRATIVE EXPENSES
Summary by Program Activity
Appropriations, Obligation Limitations, and Exempt Organizations
(\$000)

APPROPRIATIONS TITLE	FY 2019 ACTUAL	FY 2020 ENACTED	FY 2021 REQUEST
ADMINISTRATIVE EXPENSES	\$113,165	\$117,000	
Surface Transportation Reauthorization			\$121,052
TOTAL	\$113,165	\$117,000	\$121,052

Program and Performance Statement

This account provides the necessary resources to support FTA’s administrative infrastructure and operations including critical mission support services like human capital, procurement, finance, and information technology. These funds will help to build and maintain safe and reliable transit systems throughout the country.

EXHIBIT III-1A
ADMINISTRATIVE EXPENSES
SUMMARY ANALYSIS OF CHANGE FROM FY 2020 TO FY 2021
Appropriations, Obligation Limitations, and Exempt Organizations
(\$000)

	Change From FY 2020 to FY 2021 \$000	Change From FY 2020 to FY 2021 FTE
FY 2020 ENACTED BUDGET	\$117,000	509
SURFACE TRANSPORTATION REAUTHORIZATION	\$4,051	7
FY 2021 REQUEST	\$121,052	516

Detailed Justification for the Administrative Expenses

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

**FY 2021 – ADMINISTRATIVE EXPENSES
(\$000)**

PROGRAM ACTIVITY	FY 2019 ACTUAL	FY 2020 ENACTED 1/	FY 2021 REQUEST
Salaries and Expenses	78,763	82,535	84,759
Program Costs	34,402	34,465	36,474
Total	\$ 113,165	\$ 117,000	\$ 121,052
FTE	499	509	516

1/ As part of the consolidation of IT functions under the Office of the Chief Information Officer (OCIO), FTA estimates it may transfer up to 4 FTEs in FY 2020 to OCIO as part of the consolidation of Commodity IT Shared Services functions under the Working Capital Fund (WCF).

The FY 2021 Budget requests \$121 million and 516 full-time equivalents (FTEs), an increase of \$4.1 million and 7 FTEs over the FY 2020 Enacted Level. The changes in the FY 2021 Budget request include:

- An increase of \$1.228 million for expenses in the Working Capital Fund
- An increase of \$1.718 million for higher GSA Rent and other inflationary costs
- An increase of \$1.106 million to support 7 FTEs in FTA’s headquarters and regional offices which have been under-resourced since FY 2017 due to a flat FTA operations budget. The 7 FTE increase is needed to work on grant development and program and project oversight, and the processing and managing of FTA’s nine annual competitive grant programs through Notices of Funding Opportunities (NOFOs).

What is this program and what does this funding level support?

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 safe and high-quality public transportation systems that ensure access and mobility to the nation and its citizens. 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 approximately \$75 billion in active transit grants annually and achieve its strategic mission. A significant share of the costs for administering these grants are funded from the Administrative Expenses account and represent less than one percent of FTA's annual budget of over \$13 billion.

FTA program funding supports transit systems through annual grant programs that provide substantial public benefits such as decreasing transit-related fatalities and injuries among passengers and transit workers, reducing the need for more roadway capacity; reducing congestion; and improving mobility and accessibility in rural and urban areas – particularly for low-income populations, the elderly, and individuals with disabilities who rely on public transportation to get to work, school, and medical appointments.

FTA also manages several oversight programs covering transit safety, its many grant programs, more than 1,000 grantees, and thousands of projects, including major capital projects over \$1 billion, as well as mid-size and smaller projects. The FTA's substantial oversight responsibilities and review of several lines of business include the following:

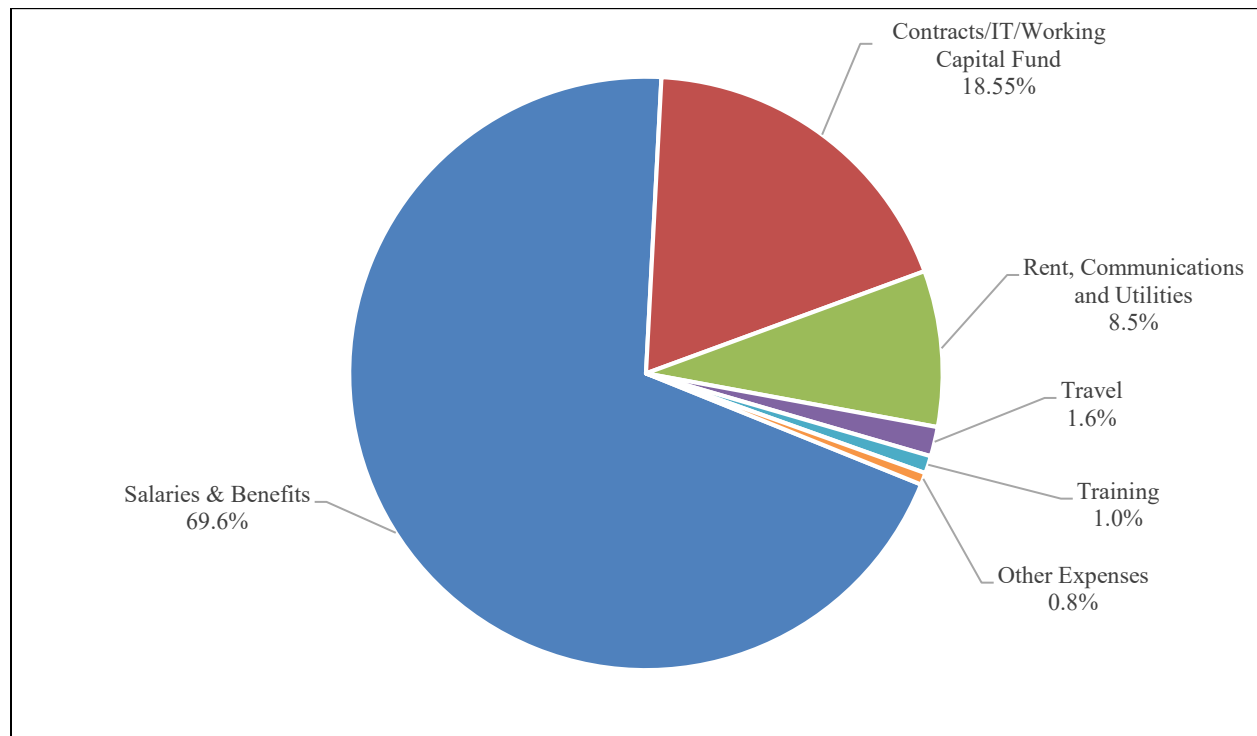
- State Safety Oversight
- Project Management Oversight
- Procurement Oversight
- Financial Oversight
- Triennial Reviews (compliance reviews)
- State Management Reviews
- Procurement System Reviews
- Civil Rights Reviews
- Emergency Relief Program Oversight
- Transit Asset Management
- Transportation Infrastructure Finance and Innovation Act (TIFIA) Program transit loan project oversight

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 2019 Accomplishments

- Improved major capital project performance in FTA’s project portfolio.
- Certified 31 State Safety Oversight (SSO) Programs before the April 15, 2019 statutory deadline.
- Provided day-to-day safety oversight to 61 rail transit systems.
- Improved safety analysis, collection, management, and integration of data on transportation-related fatalities, serious injuries, and their precursors.
- Identified risk factors that contribute to fatalities and serious injuries, and implemented evidence-based risk elimination and mitigation strategies.
- Reduced the number of inactive grants in FTA’s grant portfolio.
- Increased the percentage of advanced propulsion technologies used in the public transit revenue fixed route fleet.
- Established, documented and implemented safety risk management procedures to identify risk factors that contribute to fatalities and serious injuries and implemented evidence-based risk elimination and mitigation strategies. Launched an updated State Safety Oversight Reporting Tool.
- Completed the evaluation of the rail Safety Management System (SMS) Pilot Project and developed technical assistance for agencies establishing and implementing SMS.
- Conducted outreach to inform the industry of new drug testing rates.
- Continued the development of tools and guidance to support implementation of the Public Transportation Safety Plan final rule.

FY 2019 Administrative Expenses Budgetary Breakout



FY 2020 Proposed Accomplishments

Safety

- Implement FTA's safety risk management process to identify risk factors that contribute to fatalities and serious injuries and implement evidence-based risk elimination and mitigation strategies.
- Engage with industry and continue stakeholder outreach, including training programs, to ensure compliance with the Public Transportation Agency Safety Plan Rule by July 20, 2020 and Safety Certification Training Rule by August 20, 2021.
- Work to close remaining Washington Metropolitan Area Transit Authority (WMATA) safety actions required under FTA's open safety directives. The newly certified SSO agency-- the Washington Metrorail Safety Commission-- will work with WMATA to close its open safety directives from FTA and the National Transportation Safety Board.
- Assess compliance with the SSO Rule through SSO program audits and launch the SSO Reporting Tool which streamlines data collection.
- Invest in safety research through innovative technologies and operational procedures that enable transit agencies to operate systems in a safer manner. Safety research through the Safety Research Development Program is testing solutions that improve worker and rider safety.

Infrastructure

- Complete comprehensive and specialized program management reviews to ensure compliance with Federal grant requirements.
- Implement a quality assurance program and develop a baseline for quality standards for the program oversight process.
- Deliver a modernized Oversight Tracking (OTrak) system on the Appian platform that captures the program oversight process from A-to-Z.
- Continue to reduce the state of good repair backlog through grants and applying transit asset management strategies.
- Improve service options for targeted populations.
- Support transportation projects in opportunity zones through numerous grant competitions.
- Maintain stewardship and oversight of the metropolitan and statewide planning process to advance a data-driven, performance based planning process that prioritizes investments in projects that improve state of good repair and safety.

- Continue to provide improved tools and technical assistance to transit providers to develop ridership forecasts for capital investment grant projects, transit service planning, and regional transit planning with greater accuracy and less effort.
- Improve consistency of environmental reviews through internal in-person training and external web-based training, and continue to provide technical assistance for environmental matters.
- Publish environmental statute (23 U.S.C. 139) implementation guidance, in coordination with the Federal Highway Administration (FHWA) and the Federal Railroad Administration (FRA), to provide greater clarity and understanding about environmental impact statement processes.
- Publish “Property-Based Approach Guidance,” in coordination with the Advisory Council on Historic Preservation, the Office of the Under Secretary for Policy, FRA and FHWA, to complete the last item related to the Rail Right-of-Way Program Comment, issued August 2018, under Section 106 of the National Historic Preservation Act.

Rural America

- Increase transportation funding in rural and small urban areas through numerous grant competitions.

Accountability

- Improve major capital project oversight.
- Reduce the number of inactive grants in FTA’s grant portfolio.
- Undertake Before-and-After Studies to document the outcomes of Major Capital Investment Grant projects and report that information to Congress annually, as required by statute.

What is this program and what does this funding level support?

The FY 2021 Budget request supports 516 Full Time Equivalents (FTE). FTA’s authorized responsibilities have grown under previous surface transportation authorizations enacted by Congress along with the increase in appropriated program funding, active and new transit projects, and the number of grants awarded each year. Approximately 70 percent of the \$121 million request supports Personnel Compensation and Benefits (PC&B) costs. 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; 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 30 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 the Working Capital Fund, rent, information technology, printing, contractual services, certain travel expenses for the execution of numerous and extensive program and project oversight reviews, and training to maintain professional certifications and to prepare employees for leadership roles through agency succession planning.

Administrative Expenses
Full-time Positions and Full-time Equivalent by Office

FTA OFFICES	FY 2019 ACTUAL		FY 2020 ENACTED		FY 2021 REQUEST	
	POS	FTE	POS	FTE	POS	FTE
Office of the Administrator	7	6	5	4	5	4
Office of Administration	69	59	65	55	65	55
Office of Chief Counsel	33	26	32	29	32	29
Office of Communications and Congressional Affairs	17	15	17	14	15	12
Office of Program Management	37	39	37	32	39	33
Office of Budget and Policy	60	48	61	52	65	55
Office of Research Demonstration and Innovation	34	26	34	30	34	30
Office of Civil Rights	31	26	32	28	32	28
Office of Planning and Environment	42	30	42	33	42	33
Office of Transit Safety and Oversight	48	35	48	39	48	39
Regional Offices	215	189	214	193	226	198
Total	593	499	592	509	606	516

**FTA Administrative Expenses (AE) Summary - FY 2019 -FY 2021
(\$000)**

Appropriation	FY 2019 ACTUAL	FY 2020 ENACTED	FY 2021 REQUEST
Administrative Expenses (AE)			
Salaries and Benefits	\$78,830	\$82,598	\$84,823
Travel	\$1,816	\$1,950	\$1,950
Training	\$1,077	\$1,312	\$1,312
Transportation	\$172	\$100	\$100
Rent	\$8,708	\$8,892	\$9,159
Communications & Utilities	\$900	\$997	\$997
Printing	\$100	\$100	\$100
Working Capital Fund	\$11,680	\$12,180	\$13,408
Contracts	\$9,316	\$7,805	\$8,137
Supplies	\$140	\$133	\$133
Equipment	\$426	\$933	\$933
Total	\$113,165	\$117,000	\$121,052
<i>PC&B as a % of total AE</i>	<i>70%</i>	<i>71%</i>	<i>70%</i>
<i>All other costs as a % of total AE</i>	<i>30%</i>	<i>29%</i>	<i>30%</i>

^{1/}The Office of the Chief Information Officer will continue to provide FTA IT shared services. As part of the consolidation of IT functions under the WCF, FTA estimates it may transfer up to 4 FTE in FY 2020 as part of the consolidation of Commodity IT Shared Services functions under the Working Capital Fund.

Personnel Compensation and Benefits: \$84,823,000

Over the past decade, FTA responsibilities from previous surface transportation authorizations enacted by Congress have grown significantly faster than its administrative resources. With the enactment of the FAST Act, FTA’s transit safety oversight responsibilities considerably increased. The number of environmental reviews, capital project applications, and other grant activity and oversight reviews have increased the workload in both headquarters and regional FTA offices. The FY 2021 Budget requests \$85.1 million for salaries and benefits and related expenses for 516 FTEs.

FTA’s relatively small workforce continues to be productive and efficient to keep pace with the increase in responsibilities and requirements of prior congressional authorizations, the FAST Act, and record-high congressional appropriations for competitive programs including the Capital Investment Grants Program.

Since FY 2007, the FTA has centrally budgeted and managed its Personnel Compensation and Benefits. This provides overall efficiencies to handle attrition and hiring.

Travel: \$1,950,000

The budget request includes funding to meet the mission-critical travel requirements of successfully overseeing more than a \$75 billion portfolio of 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 loans and BUILD grants 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 at 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.

The FTA is actively taking advantage of information technology to reduce the cost of travel. For example, the use of video conferencing equipment is promoted to have virtual “face-to-face” meetings between headquarters and regions, and regions and transit agencies. 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-site to carry out quarterly reviews with grantees, planning certifications, triennial reviews, and project and financial management oversight; to participate in technical workshops; and to provide grant-making assistance to over 900 direct grantees and 3,000 sub recipients nationwide.

Transportation: \$100,000

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).

Training: \$1,312,000

Funding will be used to support mission-critical employee training and technical workshops where new agency guidance, policies and procedures are discussed with employees.

GSA Rent: \$9,159,000

Rent costs include payments to the General Services Administration (GSA) and other non-GSA facility managers for the 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 the ten 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: \$997,000

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: \$8,137,000

The budget request includes contracts that provide Acquisition, Administrative support, Learning and Knowledge Management, Transit Asset Management and various interagency agreements (e.g. Background Investigations with the Office of Personnel Management, Federal Personnel Payroll System with Department of the Interior, and Delphi accounting system support with the Federal Aviation Administration (FAA)).

Printing: \$100,000

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 Federal Register. Since FY 2012, FTA has made a conscious effort to reduce the number of pages printed and directs readers of the Federal Register to the FTA website for many of the supporting documents associated with the publication.

Working Capital Fund: \$13,408,000

Funding will be used to support FTA's contribution to the DOT full range of administrative services and other services that are centrally performed in the interest of economy and efficiency. The Office of the Chief Information Officer (OCIO) will continue to provide FTA Commodity

IT shared services. As part of the consolidation of IT functions under the WCF, FTA will transfer up to 4 FTE in FY 2020.

Supplies and Materials: \$132,900

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: \$933,000

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

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 to fund mission-critical activities more efficiently. Below are examples of other cost savings activities undertaken in recent years.

Mission-Critical Travel

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 tens of 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 transit properties related to various program oversight reviews and 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 workshops 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 high priority on training to improve employee productivity and performance. Managers have targeted limited training resources to ensure that staff are receiving only mission-critical training. Employees are not allowed to travel to attend training that does not contribute directly to the enhancement of duties.

Conference and Large Events

The FTA has adopted an 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.

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 materials 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 2020 and FY 2021. The FTA will use its website 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 2021, the FTA plans to continue various desktop printing 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. For example, 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 to conserve energy.

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 or rail transportation. This represents less than one percent of DOT's total fleet. These are fuel-efficient vehicles and the FTA's FY 2021 goal is to continue to increase the use of alternative fuels in these vehicles.

What benefits will be provided to the American public through this request and why is this program necessary?

FTA program funding supports transit systems through annual grant programs that provide substantial public benefits such as decreasing transit-related fatalities and injuries among passengers and transit workers, reducing the need for more roadway capacity; reducing congestion; and improving mobility and accessibility in rural and urban areas – particularly for low-income populations, the elderly, and disabled individuals who rely on public transportation to get to work, school, and medical appointments. Tens of millions of riders rely on public transportation every day. And its FTA’s mission to improve public transportation for America’s communities.

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Capital Investment Grants (CIG) Detailed Justification

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CAPITAL INVESTMENT GRANTS

[For] *Contingent upon enactment of multi-year surface transportation authorization legislation, for necessary expenses to carry out fixed guideway capital investment grants under section 5309 of title 49, United States Code, and section 3005(b) of the Fixing America's Surface Transportation Act, [\$1,978,000,000]\$1,888,690,000, to remain available until expended*[September 30, 2023: *Provided, That of the amounts made available under this heading, \$1,681,300,000 shall be allocated by December 31, 2021: Provided further, That of the amounts made available under this heading, \$1,458,000,000 shall be available for projects authorized under section 5309(d) of title 49, United States Code, \$300,000,000 shall be available for projects authorized under section 5309(e) of title 49, United States Code, \$100,000,000 shall be available for projects authorized under section 5309(h) of title 49, United States Code, and \$100,000,000 shall be available for projects authorized under section 3005(b) of the Fixing America's Surface Transportation Act: Provided further, That the Secretary shall continue to administer the capital investment grants program in accordance with the procedural and substantive requirements of section 5309 of title 49, United States Code, and of section 3005(b) of the Fixing America's Surface Transportation Act: Provided further, That projects that receive a grant agreement under the Expedited Project Delivery for Capital Investment Grants Pilot Program under section 3005(b) of the Fixing America's Surface Transportation Act shall be deemed eligible for funding provided for projects under section 5309 of title 49, United States Code, without further evaluation or rating under such section: Provided further, That such funding shall not exceed the Federal share under section 3005(b)]. (Department of Transportation Appropriations Act, 2020.)*

CAPITAL INVESTMENT GRANTS

PROGRAM AND PERFORMANCE

The Capital Investment Grants program supports the construction of new fixed guideway systems or extensions to fixed guideways including, 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. As part of the Administration's 10-year reauthorization proposal, the Budget requests \$22.5 billion for the Capital Investment Grant program over 10 years, including \$1.89 billion for 2021. This schedule reflects 2019 actual and 2020 enacted program and financial information for the Capital Investment Grant program. The request for 2021 is reflected in a separate Transmit-2 (Legislative Proposal, Not Subject to PAYGO) schedule. In the coming months, the Administration will release the details of its reauthorization proposal.

(Legislative proposal, not subject to PAYGO)

These additional resources are requested as part of the Administration's 10-year surface transportation reauthorization proposal for the Capital Investment Program. The Capital Investment Grant program supports the construction of new fixed guideway systems or extensions to fixed guideways including, corridor-based bus rapid transit systems, and core capacity improvement projects. These projects include heavy rail, light rail, commuter rail, bus rapid transit, and street car systems. This schedule reflects the 2021 request for the CIG program.

EXHIBIT III-1

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

APPROPRIATIONS TITLE	FY 2019 ACTUAL	FY 2020 ENACTED	FY 2021 REQUEST
CAPITAL INVESTMENT GRANTS	\$2,552,687	\$1,978,000	\$1,888,690
TOTAL	\$2,552,687	\$1,978,000	\$1,888,690

Program and Performance Statement

The Capital Investment Grants (CIG) program provides funding to expand existing transit systems and add new transit corridors. 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 2020 TO FY 2021
Appropriations, Obligation Limitations, and Exempt Organizations
(\$000)**

	Change From FY 2020 to FY 2021 (\$000)	Change From FY 2020 to FY 2021 FTE
	<hr/>	<hr/>
FY 2020 PRESIDENT'S BUDGET	1,978,000	N/A
FY 2020 Adjustments to Base:	-	
SUBTOTAL, ADJUSTMENTS TO BASE	<hr/> -	
PROGRAM DECREASES:		
CAPITAL INVESTMENT GRANTS	<hr/> (\$89,310)	
SUBTOTAL, PROGRAM DECREASES	(\$89,310)	
FY 2021 REQUEST	1,888,690	

Detailed Justification for the Capital Investment Grants Program

FY 2021 – CAPITAL INVESTMENT GRANTS (\$000)

PROGRAM ACTIVITY	FY 2019 ACTUAL	FY 2020 ENACTED	FY 2021 REQUEST
Capital Investment Grants	\$2,552,687	\$1,978,000	\$1,888,690

The FY 2021 Budget requests \$1.889 billion for the Capital Investment Grants (CIG) program to support the following project categories:

- \$945.0 million for existing or signed Full Funding Grant Agreements (FFGAs), including eight New Starts and two Core Capacity projects. This amount could change depending on FFGAs that are signed during FY 2020. FTA would reallocate funds from the \$774.8 million requested for other projects to cover the newly signed FFGAs;
- \$150.0 million for the Expedited Project Delivery Pilot Program;
- \$774.8 million for other projects that may become ready for New Starts, Small Starts, and Core Capacity funding during FY 2021; and
- \$18.9 million for the oversight activities (1% of the \$1.889 billion request level)

What is this program and what does this funding level support?

The CIG 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 49 U.S.C. 5309 and one under Section 3005 (b) of the FAST Act entitled the Expedited Project Delivery Pilot Program:

- New Starts -- projects that receive \$100 million or more in CIG funding or have an estimated capital cost equal to or exceeding \$300 million;
- Small Starts -- projects that receive less than \$100 million in CIG 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.

- Expedited Project Delivery (EPD) Pilot Program - - projects that utilize public-private partnerships, are seeking less than 25 percent in Federal funds, and are planned to be operated and maintained by employees of an existing public transportation provider.

FTA will continue to exercise diligence in administering the CIG and EPD programs to help ensure that Federal funds go to projects that will use the assistance effectively.

The CIG and EPD programs funding levels proposed in FY 2021 continue to:

- Encourage value capture;
- Provide incentives to encourage “self help” and place greater emphasis on the share provided by the local jurisdiction; and
- Encourage public-private partnerships, focusing on factors such as innovative project delivery methods and private equity participation.

CIG and EPD program applicants include State and local governments and transit agencies. FTA performs project oversight to ensure that planning projections are based on realistic assumptions and that design and construction follow acceptable industry practices. The law requires FTA to evaluate and rate proposed CIG projects at specific points during the process against a statutorily defined set of rigorous criteria examining project justification and local financial commitment. The law specifies that projects are not eligible for funding unless they receive a *medium* or better rating.

FTA does not sign a construction grant agreement for a CIG project until it is satisfied that the project sponsor has the ability to complete the project within the cost estimate and schedule it developed, and that the project sponsor has demonstrated the necessary local financial commitment to construct, operate, and maintain the project in accordance with the terms of the grant agreement.

In evaluating the readiness of a project for a CIG construction grant award, FTA considers the degree of uncertainty underlying the capital cost estimates; any remaining risks inherent in those estimates; the availability of contingency funding to cover any unanticipated cost increases; any remaining uncertainties regarding the non-CIG sources of funding; and any need for acquisition of real estate or railroad right-of-way.

The CIG funding is locked in at a set amount in the construction grant agreement. Any remaining risks inherent in the cost and schedule estimates are borne by the project sponsor. FTA has no liability or obligation to pay for costs exceeding the cost estimate reflected in the signed construction grant agreement.

FY 2019 Anticipated Accomplishments

FTA supported existing full funding grant agreements for New Starts and Core Capacity Improvement Projects under the CIG program.

Of the \$2.553 billion appropriated for the CIG program in FY 2019; approximately \$2.53 billion was appropriated for:

- \$1,266 million for New Starts Projects;
- \$526.5 million for Small Starts Projects;
- \$635 million for Core Capacity improvement projects and
- \$100 million was available for the expedited project delivery pilot program, authorized in Section 3005(b) of the FAST Act.
- 25.517 million for oversight (~1.0% of the \$2.553 billion appropriation.)

FY 2020 Anticipated Accomplishments

FTA will continue to support existing full funding grant agreements for New Starts and Core Capacity Improvement Projects under the CIG program.

The \$1.978 billion in funding appropriated by Congress for the CIG and EPD programs supports the following categories:

- \$1.458 billion for New Starts Projects;
- \$300 million for Core Capacity Projects;
- \$100 million for Small Start Projects;
- \$100 million for the Section 3005 (b) Expedited Delivery Pilot Program and
- \$19.78 million for oversight (1.0% of the \$1.978 billion appropriation.)

Proposed FY 2021 Funding for FTA Capital Investment Grant Program

Funding in Millions

Existing New Starts Full Funding Grant Agreements

Los Angeles, Westside Subway Section 1	Los Angeles, CA	\$ 100.0
Los Angeles, Westside Subway Section 2	Los Angeles, CA	\$ 100.0
San Diego, Mid-Coast Corridor Transit Project	San Diego, CA	\$ 100.0
Boston Green Line Extension	Boston, MA	\$ 100.0
Maryland National Capital Purple Line	Maryland	\$ 120.0
Fort Worth, TEX Rail	Fort Worth, TX	\$ 25.0
Seattle, Federal Way Link Extension	Seattle, WA	\$ 100.0
Seattle, Lynnwood Link Extension	Seattle, WA	\$ 100.0
Total Existing New Starts Full Funding Grant Agreements		\$ 745.0

Existing Core Capacity Full Funding Grant Agreement

Peninsula Corridor Electrification Project	San Carlos, CA	\$ 100.0
Red and Purple Line Modernization Project Phase One	Chicago, IL	\$ 100.0
Total Existing Core Capacity Full Funding Grant Agreements		\$ 200.0

Other Projects That May Become Ready For CIG Funding During FY 2021	\$ 774.8
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Other Projects That May Become Ready For EPD Funding During FY 2021	\$ 150.0
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Oversight Activities	\$ 18.9
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Grand Total	\$ 1,888.7
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What benefits will be provided to the American public through this request and why is this program necessary?

Recent nationwide transit ridership numbers have reached 9.85 billion trips per year. Census and other demographic trends indicate that we can expect transit ridership growth in the future, particularly in certain communities with growing populations.

Also, 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 CIG 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.

There are currently 59 projects in the program seeking funding. The number of projects seeking CIG funding has grown significantly in recent years—a clear indication of the intense demand from communities around the United States for new and expanded transit services.

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Washington Metropolitan Area Transit Authority (WMATA) Detailed Justification

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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 of Transportation 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 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 division B of Public Law 110–432]. (*Department of Transportation Appropriations Act, 2020.*)

EXHIBIT III-1

WASHINGTON METROPOLITAN AREA TRANSIT AUTHORITY
Summary by Program Activity
Appropriations, Obligation Limitations, and Exempt Organizations
(\$000)

APPROPRIATIONS TITLE	FY 2019 ACTUAL	FY 2020 ENACTED	FY 2021 REQUEST
Washington Metropolitan Area Transit Authority	\$150,000	\$150,000	\$150,000
TOTAL	\$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 asset rehabilitation activities. The budget requests \$150 million in FY 2021 to help return the existing system to a state of good repair and improve the safety and reliability of service. This amount is in addition to approximately \$330 million in Federal formula funds for capital and state of good repair provided under FTA core programs. The Secretary will use her authority to approve grants under this program to ensure that the \$150 million in available funds first address WMATA's most critical safety needs.

EXHIBIT III-1A

WASHINGTON METROPOLITAN AREA TRANSIT AUTHORITY

SUMMARY ANALYSIS OF CHANGE FROM FY 2019 TO FY 2020

Appropriations, Obligation Limitations, and Exempt Organizations

(\$000)

	Change From FY 2020 to FY 2021 (\$000)	Change From FY 2020 to FY 2021 FTE
FY 2020 ENACTED	150,000	N/A
FY 2020 Adjustments to Base:	-	
SUBTOTAL, ADJUSTMENTS TO BASE	-	
 NEW OR EXPANDED PROGRAMS:		
 WASHINGTON METROPOLITAN AREA TRANSIT AUTHORITY	-	
SUBTOTAL, NEW OR EXPANDED PROGRAMS	-	
 FY 2021 REQUEST	\$150,000	

Detailed Justification for the Washington Metropolitan Area Transit Authority

FY 2021 – WASHINGTON METROPOLITAN AREA TRANSIT AUTHORITY (\$000)

PROGRAM ACTIVITY	FY 2019 ACTUAL	FY 2020 ENACTED	FY 2021 REQUEST
Washington Metropolitan Area Transit Authority	\$150,000	\$150,000	\$150,000

The budget requests \$150 million for WMATA to address required safety actions directed by FTA and outstanding recommendations from the National Transportation Safety Board (NTSB). Additionally, this funding leverages and ensures matching capital funding from WMATA's local compact members -- the District of Columbia, the State of Maryland, and the Commonwealth of Virginia. *Contingent upon enactment of multi-year surface transportation authorization legislation*, this funding is in addition to approximately \$330 million in Federal transit program formula funds for capital and state of good repair provided under FTA core programs.

What is this program and what does this funding level support?

The Federal Rail Safety Improvements Act, 2008, (P.L. 110–432, Title VI, Sec. 601), provided a 10-year authorization for capital and preventive maintenance projects for WMATA. Continuation of this funding in FY 2021 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. Its purpose is to provide WMATA with additional Federal funds matched by WMATA's local compact members the District of Columbia, the State of Maryland, and the Commonwealth of Virginia to make adequate investments that address critical safety needs. Safety is the Secretary of Transportation's top priority.

The beneficiaries of the program are the system riders –both commuters and visitors to the Nation's Capital, who depend on reliable and safe transit service. Many Federal employees receive transit benefits funded by their agency to use the WMATA system. WMATA received approximately \$102 million in FY 2019 from the Federal transit benefit program operated in the National Capital Region.

Since FY 2010, Congress has directed that FTA prioritize this special funding to first address the immediate safety shortfalls identified by the NTSB, which were issued in response to WMATA's July 2009 deadly rail crash.¹ WMATA is making progress to improve its safety culture and practice in response to FTA's 2015 safety management inspection and special directives issued

¹ 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>

by FTA to WMATA. Safety will continue to be the top priority of the Secretary of Transportation.

The \$150 million request leverages \$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. Without capital reinvestment, transit assets can deteriorate and ultimately affect system safety, reliability, and performance.

FY 2019 Accomplishments

Between FY 2009 and FY 2019 Congress appropriated \$1.650 billion in special funding authorized by the Federal Rail Safety Improvements Act of 2008 to help address WMATA's capital needs. The District of Columbia, the State of Maryland, and the Commonwealth of Virginia matched these funds dollar-for-dollar. Of the \$1.650 billion in Federal funds obligated to-date, approximately 85 percent (\$1.4 billion) has been spent on new rail cars, track repairs, outdoor platform restoration among other safety and infrastructure investments.

The Consolidated Appropriations Act, 2010 (Public Law 111-117), placed certain conditions on the use of these funds and required 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 have been 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.¹

FTA partners with WMATA, which is ultimately responsible for implementing projects to improve the safety and condition of the system. Grants have supported closing corrective actions identified by the NTSB, FTA, the former Tri-State Oversight Committee, the American Public Transportation Association (APTA), and WMATA. Grants supported numerous projects that improved the safety and reliability of the National Capital Region's major public transportation system.

FY 2020 Anticipated Accomplishments

WMATA will continue to work with the FTA to develop grant agreements that support ongoing investments to improve the safety of the system. FY 2020 funding will support: completing the outstanding required safety actions from FTA and the NTSB; continuing investments in the Radio Infrastructure Replacement project; continuing replacement of Automatic Train Control infrastructure; funding additional overhauls and replacing elevators and escalators; and continuing track component replacement, and railcar overhauls focused on safe operations.

What does FY 2021 funding level support?

As in previous years, in FY 2021 FTA will develop a grant agreement with WMATA detailing how and where the \$150 million in capital funds will be used. The program has been evaluated each year by whether WMATA maintains its assets in a state of good repair.

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

The funding for FY 2021 will enable WMATA to continue to improve the condition of its transit system, which transports almost two hundred million commuters and visitors in the Nation's Capital each year. This funding helps address critical safety and state of good repair needs documented by FTA and the NTSB including improved safety of railcars, track infrastructure safety improvements, and new radio and cell phone infrastructure installation. It also funds WMATA's work on its corrective action plans, which are now under the oversight of the Washington Metrorail Safety Commission, the State Safety Oversight Agency for WMATA Metrorail.

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Detailed Justification**

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TRANSIT RESEARCH

Contingent upon enactment of multi-year surface transportation authorization legislation, to carry out section 5312 of title 49, United States Code, \$8,000,000, to remain available until expended: Provided, That the amounts provided under this heading shall not be subject to any limitation on obligations for transit programs set forth in any Act.

PROGRAM AND PERFORMANCE

Transit Research will provide funding to support artificial intelligence, machine learning, robotics, and integrated safety systems innovation. The Administration is proposing to authorize the Transit Research as part of its 10-year surface transportation reauthorization proposal. The Budget requests \$95 million for the Transit Research over 10 years, including \$8 million for 2021. The request for 2021 is reflected in a separate Transmit-2 (Legislative Proposal, Not Subject to PAYGO) schedule. In the coming months, the Administration will release the details of its reauthorization proposal.

(Legislative proposal, not subject to PAYGO)

These resources are requested as part of the Administration's 10-year surface transportation reauthorization proposal for Transit Research. Transit Research supports artificial intelligence, machine learning, robotics, and integrated safety systems innovation. This schedule reflects the 2021 request for the Transit Research. Beginning in Fiscal Year 2021, activities under this account are in addition to those historically carried out under the Transit Formula Grants account of the Highway Trust Fund.

EXHIBIT III-1

TRANSIT RESEARCH
Summary by Program Activity
Appropriations, Obligations, and Exempt Obligations
(\$000)

APPROPRIATIONS TITLE	FY 2019 ACTUAL	FY 2020 ENACTED	FY 2021 REQUEST
Surface Transportation Reauthorization	\$0	\$0	\$8,000
TOTAL	\$0	\$0	\$8,000

Program and Performance Statement:

In FY 2021, FTA is requesting \$8 million for transformative research that assesses the viability of emerging safety technologies to improve public transportation.

EXHIBIT III-1A

**TRANSIT RESEARCH
SUMMARY ANALYSIS OF CHANGE FROM FY 2020 TO FY 2021
Appropriations, Obligation Limitations, and Exempt Organizations
(\$000)**

	Change From FY 2020 to FY 2021 \$000	Change From FY 2020 to FY 2021 FTE
FY 2020 ENACTED	\$0	N/A
NEW OR EXPANDED PROGRAMS SUBTOTAL, NEW OR EXPANDED PROGRAMS	\$8,000	
	\$8,000	
FY 2021 REQUEST	\$8,000	N/A

Detailed Justification for the Transit Research Program

What is the Request and What Funds are Currently Spent on the Program?

FTA's support to the transit industry has primarily consisted of capital and operating assistance. However, FTA's innovation and research activities have had a large positive impact for the funding provided as this assistance has improved transit safety, mobility, and provided a catalyst to new infrastructure such as low and no emission buses. FTA's research has not only improved public transportation systems, but it has also been an economic growth engine for American businesses. FTA's innovation and research efforts will support the following activities:

- Safety research to assist FTA in its new transit safety oversight role;
- Support to the transit industry in developing effective approaches in maintaining a state of good repair through better asset management practices;
- Research and demonstrations of promising technology and practices in making transit operations and facilities safer and more effective and energy efficient; and
- Research related to improving transit connectivity with local communities and other forms of transportation.

As part of the Administration's surface transportation reauthorization proposal, the FY 2021 Budget requests \$8 million to support artificial intelligence, machine learning, robotics and integrated safety systems innovation. These two new programs support the Department's goals of safety and innovation by reducing fatalities and injuries; and leading in the development and deployment of innovative practices for the nation's transportation system.

What are these Programs and what does this funding level support?

FTA's Public Transportation Innovation Program has four-phases of projects:

- Research that explores a concept or technology;
- Activities that develop and deploy a new concept or technology;
- Grants that demonstrate in the public transportation field new concepts or technologies; and
- Evaluations that assess and promote the findings of the activities.

The \$8 million investment would support the first two phases – research, and development and deployment. It may be possible to build toward a small pilot demonstration program depending upon the results from initial research activities.

Transit Automation and Artificial Intelligence (AI), Machine Learning, and Robotics (\$4 million) – The first phase of the two-phased study would be exploratory research to assess how AI can benefit public transit systems' effectiveness and safety. Many communities are already experimenting with smart city applications that use sensors and track information for real-time adjustments based upon machine learning. Robotic implementations are very early in the development phase, but it is critical to start now to understand their application to public

transportation services. Phase two would develop and refine approaches for the use of these three technologies to see which ones could move to a demonstration grant – a potential third phase. The program would address the following goals:

1. To assess whether new solutions using these technologies are viable and add value to public transit systems' ability to improve the traveler's experience; reduce operational costs, and drive economic benefit in the communities they serve.
2. To identify any barriers or issues relating to the deployment and use of these technologies; and
3. To provide a baseline of research to see if a demonstration program to leverage new solutions in these areas is needed.

Integrated Safety Systems Innovation (\$4 million) – This activity will evaluate the lessons learned from FTA's Safety Research Demonstration Program (SRD) that provided technical and financial support for transit agencies to pursue innovative approaches to eliminate or mitigate safety hazards. This research will help determine how to best integrate emerging technological solutions to improve safety for public transportation.

This program will investigate various safety system approaches and emerging technologies such as AI, machine learning, robotics, automation, and unmanned aerial systems that once integrated could yield solutions to transit safety issues. The program will address the following goals:

1. To ensure the safety of new technological solutions deployed by transit systems such as transit automation, artificial intelligence, machine learning, robotics, and unmanned aerial systems.
2. To assess whether such new and emerging technologies make our public transportation systems safer and reduce fatalities and injuries to public transit workers; public transit riders; pedestrians; bicyclists; and all who use or are associated with the provision of public transportation.

Additionally, solutions using these technologies require new safety standards, tests, safeguards, monitoring methods, and other safety system approaches. These areas have potential for improving public transportation efficiency, effectiveness, costs, mobility, safety, transit asset management, and congestion reduction that will benefit the economic vitality of America's businesses and communities.

**FEDERAL TRANSIT ADMINISTRATION
RESEARCH, DEVELOPMENT AND TECHNOLOGY**

**FY 2021 Exhibit and Narrative Justification
Public Transportation Innovation Title 49 U.S.C. §5312**

The FY 2021 President's Budget requests \$8 million to support artificial intelligence, machine learning, robotics, and an integrated safety systems innovation. These two new programs support the Department's goals of safety and innovation by reducing fatalities and injuries; and leading in the development and deployment of innovative practices for the nation's transportation systems.

Transit Automation and Artificial Intelligence (AI), Machine Learning, and Robotics (\$4 million) - The first phase of the two-phased study would be exploratory research to assess how AI can benefit public transit systems' effectiveness and safety. Many communities are already experimenting with smart city applications that use sensors and track information for real-time adjustments based upon machine learning. Robotic implementations are very early in the development phase, but it is critical to start now to understand their application to public transportation services. Phase two would develop and refine approaches for the use of these three technologies to see which ones could move to a demonstration grant – a potential third phase.

Integrated Safety Systems Innovation (\$4 million) – This activity will evaluate the lessons learned from the Safety Research Demonstration Program (SRD) that provided technical and financial support for transit agencies to pursue innovative approaches to eliminate or mitigate safety hazards. This research will help determine how to best integrate emerging technological solutions to improve safety for public transportation.

This program will analyze various ways to leverage safety system approaches and emerging technologies such as AI, machine learning, robotics, automation, unmanned aerial systems to yield potential solutions to transit safety issues.

**RESEARCH, DEVELOPMENT & TECHNOLOGY
DEPARTMENT OF TRANSPORTATION
FEDERAL TRANSIT ADMINISTRATION
BUDGET AUTHORITY
(In thousands of dollars)**

Account	Program	Classification (A, B, D, F or T)	FY 2019 Actual	FY 2020 Enacted	FY 2021 Request
TRANSIT FORMULA GRANTS (TF)					
PUBLIC TRANSPORTATION INNOVATION 1/					
	<i>Mobility Innovation</i>	A	8,000	10,416	-
	<i>Infrastructure</i>	A	8,360	4,736	-
	<i>Safety</i>	A	6,000	5,208	-
	<i>Technology Transfer and Performance</i>	T	-	2,000	-
	<i>Small Business Innovative Research</i>	A	640	640	-
	<i>Transit Cooperative Research Program (TCRP)</i>	A	5,000	5,000	-
	Subtotal, Transit Formula Grants		28,000	28,000	-
	<i>Non-Add Breakout</i>				
	Subtotal, Applied Research (A)		-	[6,640]	-
	Subtotal, Basic Research (B)		-	[16,000]	-
	Subtotal, Development Research (D)		-	[5,360]	-
	Subtotal, Transit Formula Grants		-	[28,000]	-
TRANSIT INFRASTRUCTURE GRANTS (GF)					
	<i>Low and No Emission Bus Testing</i>		6,000	3,000	-
	<i>Research - Innovative Mobility Solutions</i>	A	-	5,324	-
	<i>Small Business Innovative Research</i>	A	-	176	-
	Subtotal, Transit Infrastructure Grants		6,000	8,500	-
	<i>Non-Add Breakout</i>				
	Subtotal, Applied Research (A)		-	[2,250]	-
	Subtotal, Basic Research (B)		-	-	-
	Subtotal, Development Research (D)		-	[6,250]	-
	Subtotal, Transit Infrastructure Grants		-	[8,500]	-
TRANSIT RESEARCH (GF)					
	<i>Research</i>	A	-	-	7,744
	<i>Small Business Innovative Research</i>	A	-	-	256
	Subtotal, Transit Research		-	-	8,000
	<i>Non-Add Breakout</i>				
	Subtotal, Applied Research (A)		-	-	[1,000]
	Subtotal, Basic Research (B)		-	-	-
	Subtotal, Development Research (D)		-	-	[7,000]
	Subtotal, Transit Research		-	-	[8,000]
TOTAL FEDERAL TRANSIT ADMINISTRATION			34,000	36,500	8,000

1/ FY 2021: Contingent upon enactment of multi-year surface transportation authorization legislation

**INFORMATION TECHNOLOGY
DEPARTMENT OF TRANSPORTATION
FEDERAL TRANSIT ADMINISTRATION
BUDGET AUTHORITY**

FY 2021 Budget
(Budget Authority in Thousands)

Budget Account	FY 2019 Enacted	FY 2020 Request ^{1/}	FY 2021 request ^{1/}
Administrative Expenses	\$13,316	\$12,204	\$15,396
<i>Commodity IT SS WCF</i>	7,613	8,071	8,494
<i>Programmatic IT</i>	5,703	4,133	6,902
Transit Formula Grants	\$15,476	\$16,336	\$16,391
<i>Commodity IT SS WCF</i>	--	--	--
<i>Programmatic IT</i>	15,476	16,336	16,391
Total	\$28,792	\$28,540	\$31,787

^{1/}Working Capital Costs-base are draft estimates. The Office of the Chief Information Officer (OCIO) and Federal Transit Administration (FTA) will continue to work on FTA's IT estimates.

The Federal Transit Administration (FTA) is requesting **\$31.8 million** in FY 2021 for information technologies that support the full spectrum of FTA mission programs as well as the Department's initiative to transform and consolidate the management of certain IT solutions centrally by the OCIO.

Commodity IT Shared Services through the WCF

OCIO will provide FTA with commodity IT shared services in FY 2021. FTA's share is based on actual commodity IT consumption in prior years as well as planned future consumption. OCIO, in collaboration with FTA, assumed a one-to-one cost estimate to transition all commodity IT to OCIO. FTA will only be charged for services rendered.

- **Commodity IT Shared Services** - FTA requests **\$8.494 million** from the Administrative Expenses account for its share of Department investments in Cybersecurity and commodity information technology including voice, cable, and networks, desktop services, server operations, directory and messaging services, enterprise licensing and enterprise dashboards.

Programmatic IT

FTA's IT investments represents FTA funding used to support mission systems and business

support applications.

- **Administrative Expenses** – FTA requests **\$6.9 million** from the Administrative Expenses account to support the FTA website and web and business applications. This includes FTA’s Discretionary Grant System and ECHO grant payment system.
- **Transit Formula Grants** - FTA requests **\$16.4 million** from the Transit Formula Grants account to support FTA’s critical grant and grant oversight mission systems, including FTA’s Transit Award Management System (TrAMS), the National Transit Database (NTD), other oversight systems including the Oversight Tracking System (OTrak), and the hardware and software required to operate these systems.

ADMINISTRATIVE PROVISIONS

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, [2023]2024, 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, [2019]2020, 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. No funds in this or any other Act shall be used to adjust apportionments or withhold funds from apportionments pursuant to 26 U.S.C. 9503(e)(4).]

SEC. 164. Of the unobligated amounts made available for prior fiscal years to Formula Grants in Treasury Account 69-X-1129, a total of \$1,606,849 are hereby permanently cancelled: Provided, That no amounts may be cancelled from amounts that were designated by the Congress as an emergency or disaster relief requirement pursuant to the concurrent resolution on the budget or the Balanced Budget and Emergency Deficit Control Act of 1985. [An eligible recipient of a grant under section 5339(c) may submit an application in partnership with other entities, including a transit vehicle manufacturer, that intend to participate in the implementation of a project under section 5339(c) of title 49, United States Code, and a project awarded with such partnership shall be treated as satisfying the requirement for a competitive procurement under section 5325(a) of title 49, United States Code, for the named entity.]

SEC. 165. Of the unobligated amounts made available for Job Access and Reverse Commute program, as authorized by Public Law 105–178, as amended, a total of \$320,230 are hereby permanently cancelled. [None of the funds made available in this or any other Act shall be used to impede or hinder project advancement or approval for any project seeking a Federal contribution from the capital investment grant program of greater than 40 percent of project costs as authorized under 49 U.S.C. 5309.]

SEC. 166. Of the unobligated amounts made available for Research, Training, and Human Resources, as authorized by Public Law 95–599, as amended, a total of \$31,634 are hereby permanently cancelled. [None of the funds made available under this Act may be used for the implementation or furtherance of new policies detailed in the "Dear Colleague" letter distributed by the Federal Transit Administration to capital investment grant program project sponsors on June 29, 2018.]

