



**U.S. Department
of Transportation**

BUDGET ESTIMATES

FISCAL YEAR 2022

FEDERAL TRANSIT ADMINISTRATION

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

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FEDERAL TRANSIT ADMINISTRATION

FY 2022 BUDGET SUBMISSION

Administrator's Overview

The Federal Transit Administration (FTA) Budget for Fiscal Year (FY) 2022 is **\$13.5 billion**, an increase of \$533.2 million above the FY 2021 enacted level. The FY 2022 Budget proposes funding for programs that align with the Administration's priorities by ensuring the safety of public transit, creating equitable economic recovery from COVID-19 while improving core assets, focusing investments to meet racial equity and economic inclusion goals, mitigating the climate crisis and improving the resilience of our transportation networks, and preparing to transform our transportation system to address future technologies and opportunities for partnerships. The proposed investments will serve to bring core assets toward a state of good repair, improve transportation access and affordability, reduce vehicle miles traveled, accelerate the transition of the Nation's 136,000 transit buses and vans to zero emission technologies, create and sustain jobs in local communities, and advance transformative projects.

The Budget continues to build on the successes of the FAST Act by investing in transit infrastructure, ensuring continued safety and compliance oversight, and providing technical assistance to nearly 4,000 local public transit systems that operate buses, subways, light rail, commuter rail, ferries and on-demand service for seniors and individuals with disabilities. Through these investments, FTA will continue to support safe, equitable and affordable transportation options for Americans in every community.

The FY 2022 Budget will further implement the President's Executive Orders through programs that will support the Nation's long term recovery from COVID-19, improve racial equity, reduce greenhouse gas emissions to mitigate the climate crisis, and support equitable economic growth in urban, suburban, and rural communities across the country.

American Jobs Plan: This budget provides a foundation for the funding proposed in the American Jobs Plan, which calls on Congress to invest an additional \$85 billion to modernize existing transit and help agencies expand their systems to meet rider demand. Decades of declining public investment have led to an over \$105 billion backlog in transit state of good repair needs with more than 27,000 buses and vans, 2,200 rail cars, 200 passenger stations, 300 maintenance facilities, and hundreds of miles of track, guideway, signals, and power systems in need of replacement, leading to service delays and disruptions that leave riders stranded and discourage transit use. The American Jobs Plan will repair hundreds of stations along with track, signals, and other infrastructure and fund vehicle replacement. It will also expand transit and rail into new communities across the country. The American Jobs Plan also provides funding to replace 50,000 diesel transit vehicles with zero-emission vehicles.

Transit Formula Grants: \$10.15 billion will support existing core transit programs, including Planning Grant Programs, Urbanized Area Formula Grants, Rural Area Formula Grants, State of Good Repair Formula Grants, Grants for Buses and Bus Facilities, Enhanced Mobility of Seniors and Individuals with Disabilities, State Safety Oversight, Public Transportation Innovation, Technical Assistance and Workforce Development, Bus Testing, and the National Transit Database.

Capital Investment Grants (CIG): \$2.473 billion will supplement State, local, and private investment in the construction of major capital projects that provide new and expanded transit service. The request includes support for projects with existing Full Funding Grant Agreements. The request also supports funding for two New Starts projects and six Small Starts projects that are approaching construction grant agreements, and other projects that may become ready for CIG funding during FY 2022, as well as projects eligible for the Expedited Project Delivery Pilot Program. These project investments support economic growth, affordable transportation choices, and create and sustain jobs in local communities. The \$2.473 billion will be invested as follows:

- \$1.56 billion for 17 existing construction grant agreements, including 13 New Starts and four Core Capacity projects;
- \$158.12 million for two New Starts projects not yet under construction grants;
- \$303.00 million for six Small Starts projects not yet under construction grants;
- \$427.22 million in funding for other projects that may become ready for CIG or Expedited Project Delivery funding during FY 2022;
- \$24.73 million for FTA oversight of these projects.

Washington Metropolitan Area Transit Authority (WMATA): \$150 million will fund capital projects to help return the existing system to a state of good repair and to improve the safety and reliability of service throughout the WMATA system. This funding will support WMATA in addressing ongoing safety deficiencies and improve the reliability of service throughout the Metrorail system. WMATA will continue to receive additional funding under FTA's core formula programs for capital and preventive maintenance to address state of good repair needs.

Administrative Expenses: \$131.5 million will support FTA's grant management, project development, technical assistance, program and safety oversight, and core operations. These funds will support a highly capable workforce of 541 full-time equivalents located in ten regional offices throughout the country and Washington, DC. These employees manage a portfolio of active grants totaling more than \$100 billion and provide technical assistance and guidance to 4,000 transit providers.

Transit Infrastructure Grants: \$550 million will support transformative projects under four new programs, including the Zero Emission Bus Grant Program, Transit Modernization Sprint Grants, Climate Resilience and Adaptation Grants, and Integrated Smart Mobility Pilot Grants.

- **\$250 million** will support the **Zero Emission System Transformation Program** to fund competitive grants for the purchase of approximately 265 new zero emission buses and associated infrastructure to help transition the Nation's bus fleets to zero-emission technologies.
- **\$200 million** will support the **Transit Modernization Sprint Program** to fund competitive grants to reduce the over \$100 billion transit state of good repair backlog and accelerate equitable economic growth and competitiveness.
- **\$50 million** will support the **Climate Resilience and Adaptation Program** to fund competitive grants to improve the resilience of transit assets to climate-related hazards by

protecting transit stations, tunnels, tracks, and other infrastructure from flooding, extreme temperatures, and other climate-related hazards.

- **\$50 million** will support the **Integrated Smart Mobility (ISM) Pilot Program** to fund up to five pilot projects that will support transit agencies in adopting innovative approaches to mobility that will improve safety, accessibility, and equity in access to community services and economic opportunities, including first and last mile operations.

Transit Research: \$30 million will support research, demonstration, and deployment projects that will leverage new mobility trends in a post-COVID world; accelerate the adoption of zero-emission buses in public transit; and advance transit safety innovation research.

- **\$15 million** will support new mobility trends research in a post-COVID world. The research will undertake demonstration projects to study: route optimization strategies to better match demand and supply; integration of public transportation with other non-transit mobility options such as shared bicycles and scooters; and first and last mile innovations to improve access and safety for all transit users, including underserved communities.
- **\$10 million** will support research to accelerate the adoption of zero-emission buses, including the analysis of vehicle specifications and development of operational, charging, and related infrastructure requirements, to provide transit agencies with the information necessary to make informed decisions.
- **\$5 million** will support safety innovations research and demonstration projects to identify, develop, demonstrate, and deploy the systems, processes, and technologies necessary for public transportation to remain the safest mode of transportation per passenger.

Technical Assistance and Training: \$7.5 million will fund technical assistance and training activities to increase the capacity and capabilities of States and transit agencies to: attract and retain the next generation of the transit workforce; effectively implement transit programs and meet Federal requirements; and transform transit to meet the mobility, equity, climate and safety challenges facing communities and the Nation.

**AMERICAN JOBS PLAN: BUILD WORLD-CLASS TRANSPORTATION
INFRASTRUCTURE: FIX HIGHWAYS, REBUILD BRIDGES, AND UPGRADE PORTS,
AIRPORTS, RAIL AND TRANSIT SYSTEMS**

President Biden is calling on Congress to make a historic and overdue investment in our roads, bridges, rail, ports, airports, and transit systems. The President's plan will ensure that these investments produce good-quality jobs with strong labor standards, prevailing wages, and a free and fair choice to join a union and bargain collectively. These investments will advance racial equity by providing better jobs and better transportation options to underserved communities. These investments also will extend opportunities to small businesses to participate in the design, construction, and manufacturing of new infrastructure and component parts. President Biden's plan will deliver infrastructure Americans can trust, because it will be more resilient to floods, fires, storms, and other threats, and not fragile in the face of these increasing risks.

The President's plan invests an additional \$621 billion in transportation infrastructure and resilience:

- Within this amount, **\$540 Billion** would reside in the Department of Transportation for its programs allocated over a five-year period, and is in addition to the base amounts included in the FY 2022 Budget request.
- Separately, the American Jobs Plan also provides \$50 billion make our infrastructure more resilient of which **\$7.5 Billion** would be provided to the Department of Transportation.
- Aside from Department of Transportation funding, the American Jobs Plan calls for **\$74 Billion** in additional infrastructure investments, including \$8 Billion to the U.S. Army Corps of Engineers for Inland Waterways and Harbor Projects, \$3 Billion to the General Services Administration for land ports of entry, \$20 Billion to the Environmental Protection Agency for school bus electrification, and \$43B for non-transportation resilience programs.

Detailed information about the American Jobs Plan can be found within the FY 2022 Budget Highlights located at:

<https://www.transportation.gov/mission/budget/fiscal-year-2022-budget-highlights>

SURFACE TRANSPORTATION REAUTHORIZATION

The President's vision for addressing our Transportation Safety and Infrastructure needs relies on three building blocks:

The FY 2022 Budget

First, the FY 2022 President's Budget provides discretionary and mandatory funding in core programs to continue the current portfolio of transportation programs and includes targeted funding elements to address the Administration's current priorities particularly in the transit and rail areas.

Surface Transportation Reauthorization

The President's plan also recognizes that the current surface authorization act – Fixing America's Surface Transportation Act (FAST Act) – expires this fiscal year. Since Congress is now considering multi-year legislation that would begin in FY 2022, the budget displays flat levels equal to the last year of the FAST Act for simplicity. **This is not a policy decision that the next reauthorization should equal FAST ACT levels, but rather a technical presentation to ensure consistency between the American Jobs Plan (AJP) and the traditional DOT accounts.** Surface authorization acts have traditionally provided mandatory funding for highway, transit, and safety programs from excise tax revenue deposited into the Highway Trust Fund (HTF). Additionally, surface authorization acts establish certain programs that Congress funds through the annual appropriations process. For example, the FAST Act was the first time a rail title was included in a multi-year surface reauthorization package.

American Jobs Plan

Finally, the \$621 billion in investments proposed in the American Jobs Plan represent investments in addition to the base amounts included in the FY 2022 President's Budget request.

The FY 2022 Budget request reflects the American Jobs Plan funding as budget authority provided over five years. Funding is grouped in nine new program accounts that align with the major portions of the AJP, but funding is not assigned to specific DOT Budget Accounts.

The President's FY 2022 request does not include a formal legislative reauthorization proposal. Rather, the President's Budget documents present key Administration reauthorization principles, which align with the foundation of the AJP. These include:

- Safety
- Equitable Economic Strength and Improving Core Assets
- Ensuring Investments Meet Racial Equity and Economic Inclusion Goals

- Resilience and Addressing Climate Change
- Transformation of our Nation's Transportation Infrastructure

To reflect this, the FY 2022 President's Budget shows flat funding of contract authority in current Highway Trust Fund accounts throughout the full 10-year Budget window. These flat-line levels do not represent funding or program design recommendations by the Administration.

When the Congress takes up the AJP and Surface Transportation reauthorization, the Administration looks forward to working collaboratively with Congress to infuse its key principles and policy proposals into legislation, and to add additional funding and policy proposals proposed in the American Jobs Plan. The Administration seeks to work with Congress to reflect the American Jobs Plan and key principles in legislative measures to advance ambitious investments in infrastructure, including surface transportation reauthorization.

How does this impact programs not impacted by AJP goals?

For other programs that receive discretionary appropriations and mandatory programs unaffected by surface authorization, the FY 2022 Budget presents detailed information consistent with DOT's prior budget requests.

JUSTICE40

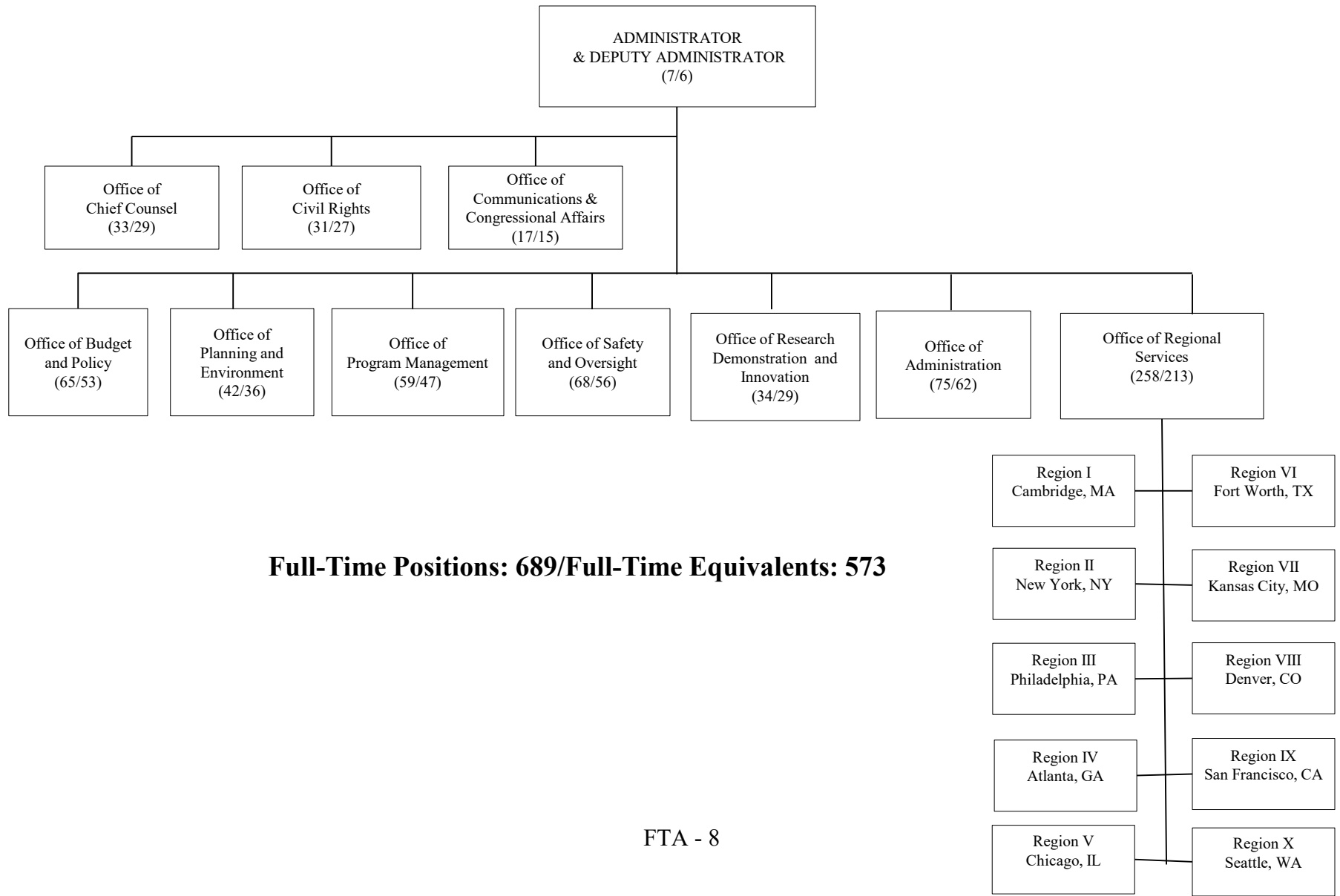
Executive Order 14008, issued on January 27, 2021, created a government-wide “Justice40” Initiative with the goal of delivering 40 percent of the overall benefits of relevant federal investments to disadvantaged communities and tracking performance toward the goal through an Environmental Justice Scorecard.

The Justice40 Initiative has the potential to deliver benefits that could include increased access to renewable energy and energy efficiency improvements, public transit, water infrastructure, climate-resilient affordable housing, training and workforce development, reductions in legacy pollution, and equitable and just community development, among others. There are important considerations in the development, implementation, and evaluation of such a wide-reaching and complex initiative. To advance Justice40 goals the Department is considering options in areas such as, but not limited to, incorporating criteria in the Department’s discretionary grant programs, developing implementable definitions for “investment benefit” and “disadvantaged communities” as it relates to programmatic activities, public engagement strategies with stakeholders to define and further understand “investment benefits” that can be targeted for disadvantaged and underserved communities, and developing a Department-wide Environmental Justice Scorecard.

In the coming months, the Department will be working to ensure that subsequent programs, targets, and metrics fulfill the ambition of the Justice40 Initiative to deliver meaningful and measurable benefits to disadvantaged and underserved communities.

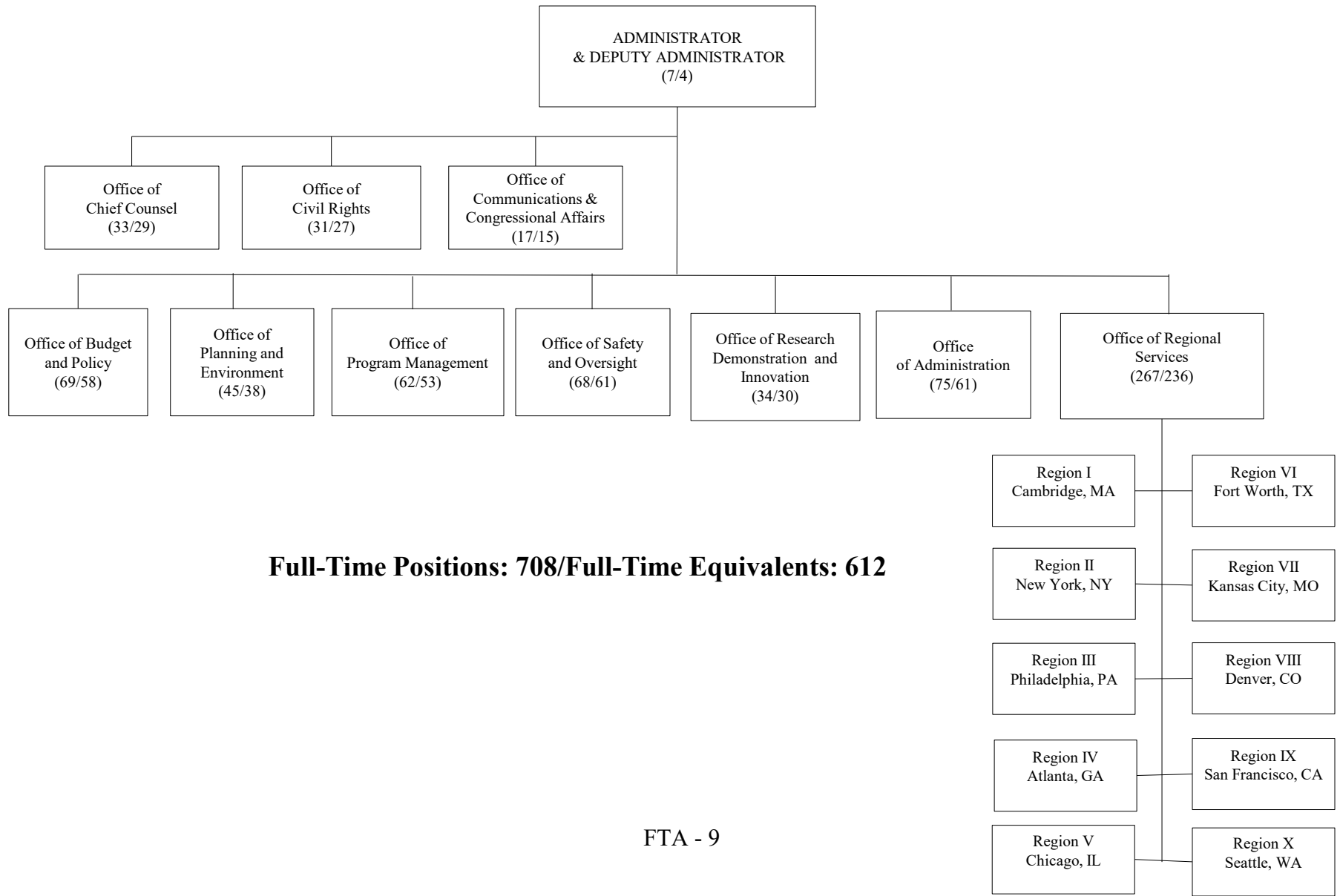
FEDERAL TRANSIT ADMINISTRATION

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



FEDERAL TRANSIT ADMINISTRATION

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



Full-Time Positions: 708/Full-Time Equivalents: 612

FEDERAL TRANSIT ADMINISTRATION

FY 2022 Organizational Chart with Full-Time Positions (FTP) and Projected Full-Time Equivalents (FTE)

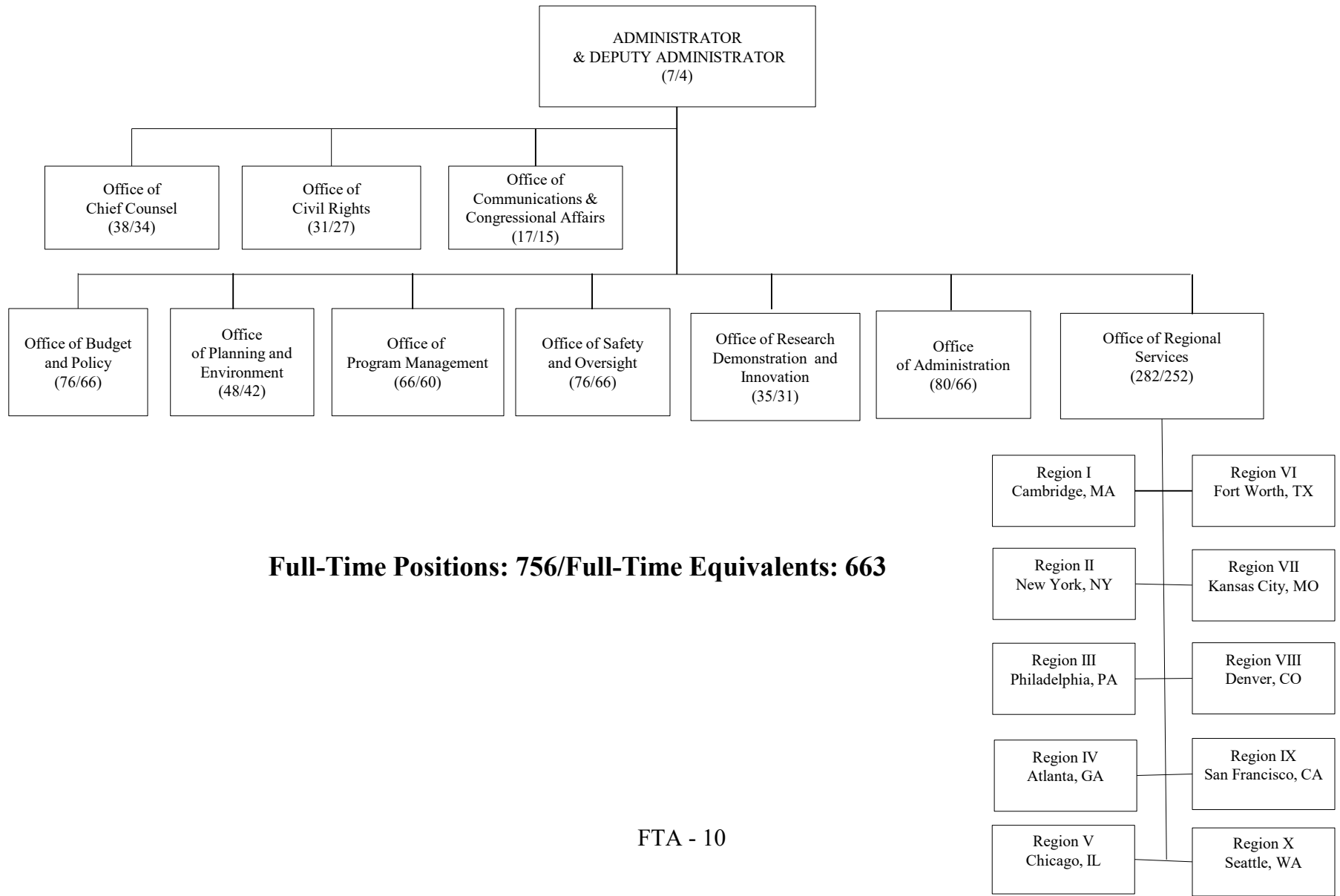


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EXHIBIT II-1
FY 2022 BUDGET AUTHORITY
FEDERAL TRANSIT ADMINISTRATION
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ACCOUNT NAME	M / D	FY 2020 ACTUAL	FY 2020 CARES Act	FY 2021 ENACTED	FY 2021 CRRSA	FY 2021 American Rescue Plan	FY 2022 PRESIDENT'S BUDGET
Transit Formula Grants (TF)	M	\$10,150,348		\$10,150,348			\$10,150,348
Capital Investment Grants (GF)	D	\$1,978,000		\$2,014,000			\$2,473,000
Washington Metropolitan Area Transit Authority (GF)	D	\$150,000		\$150,000			\$150,000
Administrative Expenses (GF)	D	\$117,000		\$121,052			\$131,500
Technical Assistance and Training (GF)	D	\$5,000		\$7,500			\$7,500
Transit Infrastructure Grants (GF) 1/	D/M	\$510,000	\$25,000,000	\$516,220	\$14,000,000	\$30,461,356	\$550,000
Transit Research (GF)	D						\$30,000
Gross New Budget Authority		\$12,910,348	\$25,000,000	\$12,959,120	\$14,000,000	\$30,461,356	\$13,492,348
Transfers: FHWA Flex Funding		1,222,000		1,300,000			1,300,000
Rescissions		(1,960)					
NET NEW BUDGET AUTHORITY:		\$14,130,388	\$25,000,000	\$14,259,120	\$14,000,000	\$30,461,356	\$14,792,348
[Mandatory BA]		\$10,150,348		\$10,150,348		\$30,461,356	\$10,150,348
[Discretionary BA]		\$3,980,040	\$25,000,000	\$4,108,772	\$14,000,000		\$4,642,000

1/ Supplemental funding from the American Rescue Plan Act of 2021, is classified as mandatory funding (M) and enacted for within the discretionary (D) Transit Infrastructure Grants account.

EXHIBIT II-2
FY 2022 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 2020 ACTUAL	FY 2020 CARES	FY 2021 ENACTED	FY 2021 CRRSA	FY 2021 American Rescue Plan 1/	FY 2022 PRESIDENT'S BUDGET
Transit Formula Grants (Contract Authority)		M	\$10,150,348	\$0	\$10,150,348	\$0	\$0	\$10,150,348
Transit Oriented Development	2005(b)		\$10,000		\$10,000			
Planning Programs	5305		\$142,036		\$142,036			
Urbanized Area Formula Grants	5307		\$4,929,452		\$4,929,452			
Enhanced Mobility of Seniors and Individuals with Disabilities	5310		\$285,575		\$285,575			
Pilot Program for Enhanced Mobility	3006 (b)		\$3,500		\$3,500			
Formula Grants for Rural Areas	5311		\$673,300		\$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		\$2,683,798		\$2,683,798			
Buses and Bus Facilities Grants	5339		\$808,654		\$808,654			
Growing States and High Density States	5340		\$570,033		\$570,033			
Capital Investment Grants (GF)		D	\$1,978,000	\$0	\$2,014,000	\$0	\$0	\$2,473,000
New Start	5309(d)		\$1,458,220		\$1,169,000			\$1,275,701
Core Capacity	5309(e)		\$300,000		\$525,000			\$442,343
Small Start	5309(h)		\$100,000		\$200,000			\$303,005
Expedited Project delivery pilot program	3005(b)		\$100,000		\$100,000			
Other CIG Projects/Expedited Project Delivery Pilot Program	5309/3005(b)							\$427,221
Oversight			\$19,780		\$20,000			\$24,730
Washington Metropolitan Area Transit Authority (GF)	601, Division B, P.L. 110- 432	D	\$150,000	\$0	\$150,000	\$0	\$0	\$150,000
Administrative Expenses (GF)	5334	D	\$117,000		\$121,052	\$0	\$0	\$131,500
Safety Oversight [non-add]	5329		[\$4,000]		[\$4,000]			[\$4,000]
Transit Asset Management [non-add]	5326		[\$1,000]		[\$1,000]			[\$1,000]
Technical Assistance and Training (GF)	5314	D	\$5,000		7,500			7,500
Transit Infrastructure Grants 1/		D/M	\$510,000	\$25,000,000	\$516,220	\$14,000,000	\$30,461,356	\$550,000
Urbanized Area Formula Program	5307			\$13,748,722		\$13,271,311	\$26,111,581	
Ferry Boat	5307(h)				\$8,000			
Urbanized & Rural Additional Assistance	5307/5311						\$2,207,561	
New Starts, Small Starts, Core Capacity	5309						\$1,675,000	
Enhanced Mobility of Seniors and Individuals with Disabilities	5310					\$50,035	\$50,000	
Formula Grants for Rural Areas	5311		\$40,000	\$1,989,462	\$40,000	\$678,654	\$417,214	
Research, Development, Demonstration and Deployment Projects	5312		\$5,500		2,000			
Low or NO Emission Bus Testing	5312(h)		\$3,000					
Bus Testing Facility	5318		-		2,000			
Competitive Grants to Eligible Entities to Assist Areas of Persistent Poverty			\$8,500		16,220			
State of Good Repair Grants	5337			\$7,485,375	40,000			
High Density State Apportionments	5340		\$40,000	\$1,701,441	40,000			
Bus and Bus Facilities Grants	5339		\$413,000		368,000			
Zero Emission System Transformation Grants								\$250,000
Transit Modernization Sprint Competitive Grants								\$200,000
Climate Resilience and Adaptation Competitive Grants								\$50,000
Integrated Smart Mobility Pilot Grants								\$50,000
Oversight				\$75,000				
Transit Research	5312	D	-		-			30,000
Gross Budgetary Resources			\$12,910,348	\$25,000,000	\$12,959,120	\$14,000,000	\$30,461,356	\$13,492,348
Transfers: FHWA Flex Funding			1,222,000		1,300,000			1,300,000
Rescissions			(1,960)					
TOTAL BUDGETARY RESOURCES:			14,130,388	25,000,000	14,259,120	14,000,000	30,461,356	14,792,348
[Mandatory]			\$10,150,348		\$10,150,348		\$30,461,356	\$10,150,348
[Discretionary]			\$3,980,040	\$25,000,000	\$4,108,772	\$14,000,000		\$4,642,000
[Obligation Limitation]								

1/ Supplemental funding from the American Rescue Plan Act of 2021, is classified as mandatory (M) funding and accounted for within the discretionary (D) Transit Infrastructure Grants account.

EXHIBIT II-5
SUMMARY OF REQUESTED FUNDING CHANGES FROM FY 2021 to FY 2022
Federal Transit Administration
Administrative Expenses
Appropriations, Obligation Limitations, and Exempt Obligations
(\$000)

Baseline Changes														
Account Name: Administrative Expenses	FY 2020 ACTUAL 1/2/	FY 2021 ENACTED	Annualization of Prior Pay Raises	Annualization of new 2021 FTE	2022 Pay Raises	Compensable Days (261 days)	GSA Rent	Base Adjustments	Transfer	WCF Increase/ Decrease 3/	Inflation/ Deflation	FY 2022 Baseline Estimate	Program Changes	FY 2022 President's Budget
			1.0%		2.7%									
PERSONNEL RESOURCES (FTE)														
Direct FTE	498	516		5								521	20	541
<u>FINANCIAL RESOURCES</u>														
ADMINISTRATIVE EXPENSES														
Salaries and Benefits	\$83,281	\$85,703	\$214	\$833	\$1,758				731			\$89,239	\$3,426	\$92,665
FECA (Worker's Compensation)	\$63	\$66										\$66	\$3	\$69
Travel	\$1,950	\$373									\$4	\$377	\$14	\$391
Training	\$1,569	\$1,700									\$17	\$1,717	\$66	\$1,783
Transportation	\$25	\$134									\$1	\$135	\$5	\$141
GSA Rent	\$8,892	\$8,610					\$117					\$8,727		\$8,727
Communications, & Utilities	\$547	\$1,050									\$11	\$1,061		\$1,061
Printing	\$100	\$100										\$100		\$100
Working Capital Fund 3/												\$0		\$0
Other Base services	\$5,887	\$4,126								\$2,551		\$6,677		\$6,677
Transit Subsidy	\$434	\$628										\$628		\$628
Information Technology	\$4,289	\$6,782								\$149		\$6,931		\$6,931
Contracts	\$9,509	\$11,348									\$46	\$11,394	\$485	\$11,880
Supplies	133	142									\$1	\$143	\$6	\$149
Equipment	321	\$190									\$2	\$192	\$7	\$199
Grants	\$0	\$0										\$0		\$0
Settlements	\$0	\$100										\$100		\$100
Admin Total	\$117,000	\$121,052	\$214	\$833	\$1,758	\$0	\$117	\$731	\$0	\$2,700	\$82	\$127,488	\$4,012	\$131,500

1/Does not include \$5.3 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/Working Capital Fund costs are estimates.

EXHIBIT II-5
SUMMARY OF REQUESTED FUNDING CHANGES FROM FY 2021 to FY 2022
Federal Transit Administration
Transit Formula Grants
Appropriations, Obligation Limitations, and Exempt Obligations
(\$000)

Account Name: Transit Formula Grants	FY 2020 Actual 1/	FY 2021 Enacted	Baseline Changes					WCF Increase/Decrease	Inflation and other adjustments to base	FY 2022 Baseline Estimate	Program Increases/Decreases	FY 2022 President's Budget
			Annualization of 2021 Pay Raises	Annualization of new FY 2021 FTE	2022 Pay Raises	Compensable Days (261 days) 1/	GSA Rent					
			1%		2.70%							
PERSONNEL RESOURCES (FTE)												
Direct FTE	33	33										33
<u>FINANCIAL RESOURCES</u>												
Salaries and Benefits	\$5,496	\$5,553	\$14		\$113				\$47			
FECA (Worker's Compensation)												
Travel												
Training												
Transportation												
GSA Rent												
Communications, & Utilities												
Printing												
Working Capital Fund												
Other Base services												
Transit Subsidy												
Information Technology												
Contracts	\$69,882	\$69,825							-\$174			
Supplies												
Equipment												
Grants	\$10,074,970	\$10,074,970										
Settlements												
Transit Formula Grants Total	\$10,150,348	\$10,150,348	\$14		\$113				-\$127	\$10,150,348		\$10,150,348

1/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 2021 to FY 2022
Federal Transit Administration
Capital Investment Grants
Appropriations, Obligation Limitations, and Exempt Obligations
(\$000)

Account Name: Capital Investment Grants	FY 2020 Actual 1/2/	FY 2021 Enacted	Baseline Changes				WCF Increase/Decrease	Inflation and other adjustments to base	FY 2022 Baseline Estimate	Program Increases/Decreases	FY 2022 President's Budget
			Annualization of 2021 Pay Raises	2022 Pay Raises	Compensable Days (261 days)	GSA Rent					
PERSONNEL RESOURCES											
(FTE)											
Direct FTE											
FINANCIAL RESOURCES											
Salaries and Benefits											
FECA (Worker's Compensation)											
Travel											
Training											
Transportation											
GSA Rent											
Communications, & Utilities											
Printing											
Working Capital Fund											
Other Base services											
Transit Subsidy											
Information Technology											
Contracts	\$19,780	\$20,000							\$20,000	\$4,730	\$24,730
Supplies											
Equipment											
Grants	\$1,958,220	\$1,994,000							\$1,994,000	\$454,270	\$2,448,270
Settlements											
Capital Investment Grants Total	\$1,978,000	\$2,014,000							\$2,014,000	\$459,000	\$2,473,000

1/ 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.

EXHIBIT II-5
SUMMARY OF REQUESTED FUNDING CHANGES FROM FY 2021 to FY 2022
Federal Transit Administration
Transit Investment Grants
Appropriations, Obligation Limitations, and Exempt Obligations
(\$000)

Account Name: Transit Investment Grants	FY 2020 Actual 1/	FY 2021 Enacted 2/	Baseline Changes						FY 2022 Baseline Estimate	Program Increases/ Decreases	FY 2022 President's Budget
			Annualization of 2021 Pay Raises	2022 Pay Raises	Compensable Days (261 days)	GSA Rent	WCF Increase/ Decrease	Inflation and other adjustments to base			
PERSONNEL RESOURCES											
(FTE)											
Direct FTE											
FINANCIAL RESOURCES											
Salaries and Benefits											
FECA (Worker's Compensation)											
Travel											
Training											
Transportation											
GSA Rent											
Communications, & Utilities											
Printing											
Working Capital Fund											
Other Base services											
Transit Subsidy											
Information Technology											
Contracts	\$3,297	\$3,360							\$3,360	\$2,140	\$5,500
Supplies											
Equipment											
Grants	\$506,703	\$512,860							\$512,860	\$31,640	\$544,500
Settlements											
Transit Infrastructure Grants											
Total	\$509,999	\$516,220							\$516,220	\$33,780	\$550,000

1/ Does not reflect \$25 billion per FY 2020 CARES Act supplemental.

2/Does not reflect \$14 billion per FY 2021 CRRSA Act supplemental.

EXHIBIT II-5
SUMMARY OF REQUESTED FUNDING CHANGES FROM FY 2021 to FY 2022
Federal Transit Administration
Washington Metropolitan Area Transit Authority
Appropriations, Obligation Limitations, and Exempt Obligations
(\$000)

Account Name: Washington Metropolitan Area Transit Authority	Baseline Changes								FY 2022 Baseline Estimate	Program Increases/ Decreases	FY 2022 President's Budget
	FY 2020 Actual	FY 2021 Enacted	Annualization of 2021 Pay Raises	2022 Pay Raises	Compensable Days (261 days)	GSA Rent	WCF Increase/ Decrease	Inflation and other adjustments to base			
PERSONNEL RESOURCES											
(FTE)											
Direct FTE											
FINANCIAL RESOURCES											
Salaries and Benefits											
FECA (Worker's Compensation)											
Travel	\$20	\$4							\$4		\$4
Training											
Transportation											
GSA Rent											
Communications, & Utilities											
Printing											
Working Capital Fund											
Other Base services											
Transit Subsidy											
Information Technology											
Contracts	\$1,480	\$1,496							\$1,496		\$1,496
Supplies											
Equipment											
Grants	\$148,500	\$148,500							\$148,500		\$148,500
Settlements											
WMATA Total	\$150,000	\$150,000							\$150,000		\$ 150,000

EXHIBIT II-5
SUMMARY OF REQUESTED FUNDING CHANGES FROM FY 2021 to FY 2022
Federal Transit Administration
Technical Assistance
Appropriations, Obligation Limitations, and Exempt Obligations
(\$000)

Account Name: Technical Assistance	FY 2020 Actual	FY 2021 Enacted	Baseline Changes					Inflation and other adjustments to base	FY 2022 Baseline Estimate	Program Increases/ Decreases	FY 2022 President's Budget
			Annualization of 2021 Pay Raises	2022 Pay Raises	Compensable Days (261 days)	GSA Rent	WCF Increase/ Decrease				
PERSONNEL RESOURCES											
(FTE)											
Direct FTE											
<u>FINANCIAL RESOURCES</u>											
Salaries and Benefits											
FECA (Worker's Compensation)											
Travel											
Training											
Transportation											
GSA Rent											
Communications, & Utilities											
Printing											
Working Capital Fund											
Other Base services											
Transit Subsidy											
Information Technology											
Contracts											
Supplies											
Equipment											
Grants											
Settlements											
Technical Assistance Total											

EXHIBIT II-5
SUMMARY OF REQUESTED FUNDING CHANGES FROM FY 2021 to FY 2022
Federal Transit Administration
Transit Research
Appropriations, Obligation Limitations, and Exempt Obligations
(\$000)

Account Name: Transit Research	FY 2020 Actual	FY 2021 Enacted	Baseline Changes					FY 2022 Baseline Estimate	Program Increases/ Decreases	FY 2022 President's Budget	
			Annualization of 2021 Pay Raises	2022 Pay Raises	Compensable Days (261 days) 1/	GSA Rent	WCF Increase/ Decrease				Inflation and other adjustments to base
PERSONNEL RESOURCES											
(FTE)											
Direct FTE											
FINANCIAL RESOURCES											
Salaries and Benefits											
FECA (Worker's Compensation)											
Travel											
Training											
Transportation											
GSA Rent											
Communications, & Utilities											
Printing											
Working Capital Fund											
Other Base services											
Transit Subsidy											
Information Technology											
Contracts											
Supplies											
Equipment											
Grants											
Settlements											
Transit Infrastructure Grants											
Total	\$0	\$0							\$0	\$0	\$30,000

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

	FY 2020	FY 2021	FY 2022
	ACTUAL	ENACTED	PRESIDENT'S
			BUDGET
DIRECT:			
Administrative Expenses			
Working Capital Fund	\$10,610	\$11,536	\$14,236
TOTAL	<u>\$10,610</u>	<u>\$11,536</u>	<u>\$14,236</u>

EXHIBIT II-7

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

	FY 2020 ACTUAL	FY 2021 ENACTED	FY 2022 PRESIDENT'S BUDGET
<u>DIRECT FUNDED BY APPROPRIATION</u>			
Administrative Expenses 1/	498	516	541
Capital Investment Grants - Lower Manhattan Recovery Office	2	-	-
Public Transportation Emergency Relief	27	30	29
Transit Formula Grants	33	33	33
Coronavirus Aid, Relief, and Economic Security (CARES) Act, 2020	1	30	50
Coronavirus Response and Relief Supplemental Appropriations (CRRSA) Act, 2021		3	10
TOTAL FTEs	561	612	663

1/ The Office of the Chief Information Officer (OCIO) will continue to provide FTA IT shared services and begin to consolidate FTA IT investments centrally in FY 2020. As part of the consolidation of IT functions under the WCF, FTA will transfer up to 4 FTE supporting IT to the OCIO in FY 2020.

2/ Includes FY 2020 CARES Act and FY 2021 CRRSA Act.

EXHIBIT II-8

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

	FY 2020 ACTUAL	FY 2021 ENACTED	FY 2022 PRESIDENT'S BUDGET
<u>DIRECT FUNDED BY APPROPRIATION</u>			
Administrative Expenses 1/	593	608	628
Capital Investment Grants - Lower Manhattan Recovery Office	2	-	-
Public Transportation Emergency Relief	33	31	31
Transit Formula Grants	36	36	37
Coronavirus Aid, Relief, and Economic Security (CARES) Act, 2020	25	30	50
Coronavirus Response and Relief Supplemental Appropriations (CRRSA) Act, 2021		3	10
TOTAL POSITIONS	689	708	756

1/ The Office of the Chief Information Officer (OCIO) will continue to provide FTA IT shared services and begin to consolidate FTA IT investments centrally in FY 2020. As part of the consolidation of IT functions under the WCF, FTA will transfer up to 4 FTP supporting IT to the OCIO in FY 2020.

2/ Includes FY 2020 CARES Act and FY 2021 CRRSA Act.

ADMINISTRATION RESEARCH, DEVELOPMENT & TECHNOLOGY
DEPARTMENT OF TRANSPORTATION
FEDERAL TRANSIT ADMINISTRATION
BUDGET AUTHORITY
(\$000)

Program	FY 2020 Actual	FY 2021 Enacted	FY 2022 President's Budget	Applied	Tech Transfer	Facilities	Experimental Development	Major Equipment, R&D Equipment
TRANSIT FORMULA GRANTS								
PUBLIC TRANSPORTATION INNOVATION								
Mobility Innovation Program	\$12,416	\$3,672						
Small Business Innovation Research Program	\$640	\$640						
Infrastructure Program	\$2,736	\$6,480						
Transit Cooperative Research Program (TCRP)	\$5,000	\$5,000						
Safety Research and Demonstration (SRD), Innovations in Transit Public Safety and Integrated Safety Systems Innovation.	\$5,208	\$10,208						
Technology Transfer and Performance	\$2,000	\$2,000						
Subtotal, Transit Formula Grants	\$28,000	\$28,000						
TRANSIT INFRASTRUCTURE GRANTS								
Low to No Emissions Bus Testing and Research - Innovative Mobility Solutions)	\$3,000							
Small Business Innovative Research	\$176							
Research - Innovative Mobility Solution	\$5,324	\$1,000						
Research - Accelerate Innovative Mobility		\$1,000						
Subtotal, Transit Infrastructure Grants	\$8,500	\$2,000						
TRANSIT RESEARCH								
Research Program			\$29,040	\$20,000			\$9,040	
Small Business Innovation Research Program			\$960				\$960	
Subtotal, Transit Research			\$30,000	\$20,000			\$10,000	
TOTAL FEDERAL TRANSIT ADMINISTRATION	\$36,500	\$30,000	\$30,000	\$20,000			\$10,000	

**FY 2022 BUDGET
INFORMATION TECHNOLOGY
DEPARTMENT OF TRANSPORTATION
FEDERAL TRANSIT ADMINISTRATION
BUDGET AUTHORITY
(\$000)**

Budget Account	FY 2020 ACTUAL	FY 2021 ENACTED	FY 2022 PRESIDENT'S BUDGET
Administrative Expenses	\$9,897	\$15,518	\$16,228
<i>Commodity IT SS WCF</i>	\$7,814	\$7,992	\$7,937
<i>Programmatic FTA IT</i>	\$730	\$6,146	\$6,911
<i>IT- Other FTA Office Contributions</i>	\$1,353	\$1,380	\$1,380
Transit Formula Grants- Oversight Funding	\$22,128	\$16,453	
<i>Programmatic FTA IT</i>	\$16,465	\$16,240	
<i>Administrative-FTA IT</i>	\$5,460	\$0	
<i>IT- Other FTA Office Contributions</i>	\$203	\$213	
Total	\$32,025	\$31,971	\$16,228

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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 payment of obligations incurred in the Federal Public Transportation Assistance Program in this account, and for payment of obligations incurred in carrying out the provisions of 49 U.S.C. 5305, 5307, 5310, 5311, 5312, 5314, 5318, 5329(e)(6), 5335, 5337, 5339, and 5340, as amended by the Fixing America's Surface Transportation Act, section 20005(b) of Public Law 112–141, and section 3006(b) of the Fixing America's Surface Transportation Act, \$10,800,000,000, to be derived from the Mass Transit Account of the Highway Trust Fund and to remain available until expended: *Provided*, That funds available for the implementation or execution of programs authorized under 49 U.S.C. 5305, 5307, 5310, 5311, 5312, 5314, 5318, 5329(e)(6), 5335, 5337, 5339, and 5340, as amended by the Fixing America's Surface Transportation Act, 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 in fiscal year [2021]2022: *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.

Transit Formula Grants

FY 2022 Budget includes \$10.15 billion that will support existing core transit programs, including Planning Grant Programs, Urbanized Area Formula Grants, Rural Area Formula Grants, State of Good Repair Formula Grants, Grants for Buses and Bus Facilities, Enhanced Mobility of Seniors and Individuals with Disabilities, State Safety Oversight, Public Transportation Innovation, Technical Assistance and Workforce Development, Bus Testing, and the National Transit Database. These programs provide critical funding to support public transportation systems in communities across the United States and address the following priorities:

Safety: Safety is FTA's top priority. Since 2012, FTA has developed a robust regulatory framework to oversee transit safety and protect riders, transit workers and the public. The request will address and improve safety efforts through the administration of a national safety program and program compliance oversight process to advance safe, reliable, and equitable transit service through the U.S. It will also encourage the reporting of critical safety-sensitive transit data and information.

Transformational Investment: The request will provide critical funding for the modernization of the Nation's transit assets. Through the repair and replacement of aged vehicles, facilities and equipment, this funding will begin to reduce the \$105 billion deferred maintenance backlog and transform transit to meet the mobility needs of all Americans. Funding will also expand transit access to communities across the country that do not have access to high quality transit and invest in the future of mobility through innovative research and deployment projects to increase the reach of existing systems. FTA's core programs will continue to support transit projects to link communities to educational opportunities, including community colleges, and job centers.

Transportation Equity: FTA's Civil Rights enforcement and oversight programs will ensure consistent and systemic fair, just, and impartial treatment for all individuals, particularly persons of color who live in underserved communities; members of religious minorities; lesbian, gay, bisexual, transgender, and queer (LGBTQ+) persons; persons with disabilities; persons who live in rural areas; and persons otherwise adversely affected by persistent poverty or inequality. The investments proposed in the budget will address the transportation needs of underserved communities and ensure that the benefits of transportation investments reach all communities.

Addressing Climate Change: The budget addresses the climate crisis by supporting transportation options that reduce emissions, investing in the adoption of zero emission vehicles and by demonstrating and deploying innovative technologies and practices to further reduce emissions and improve the resilience of the nation's public transportation systems to climate-related hazards.

Job Creation and Workforce development: The request supports the growing need for employment training, outreach to under-represented populations, and training and assistance for veteran and minority business opportunities. In addition, the Nation's transit agencies have faced continued frontline workforce shortages, especially in positions relating to bus operation and bus maintenance. Addressing these shortages by developing a skilled transit workforce will create good-paying, secure jobs for workers in communities throughout the country.

EXHIBIT III-1

TRANSIT FORMULA GRANTS

Summary by Program Activity

Appropriations, Obligation Limitations, and Exempt Organizations

(\$000)

APPROPRIATIONS TITLE	FY 2020 ACTUAL	FY 2020 CARES ACT	FY 2021 ENACTED	FY 2021 CRRSA	FY 2021 AMERICAN RESCUE PLAN	FY 2022 PRES. BUDGET
Transit Oriented Development Planning	\$10,000		\$10,000			
Planning Programs Urbanized Area	\$142,036		\$142,036			
Formula Grants	\$4,929,452		\$4,929,452			
Enhanced Mobility of Seniors and Individuals with Disabilities	\$285,575		\$285,575			
Pilot Program for Enhanced Mobility	\$3,500		\$3,500			
Formula Grants for Rural Areas	\$673,300		\$673,300			
Public 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	\$2,683,798		\$2,683,798			
Buses and Bus Facilities Grants	\$808,654		\$808,654			
Growing States and High Density States	\$570,033		\$570,033			
Gross Budgetary Resources	\$10,150,348		\$10,150,348	-	-	\$10,150,348
Transfers: FHWA Flex Funding	\$1,300,000		\$1,300,000	-	-	\$1,300,000
TOTAL	\$11,450,348		\$11,450,348	-	-	\$11,450,348

TRANSIT FORMULA GRANTS

PROGRAM AND PERFORMANCE

The FY 2022 Budget request includes \$10.15 billion for existing core transit programs, including State and Metropolitan Planning Formula Grants, Urbanized Area Formula Grants, Rural Area Formula Grants, State of Good Repair Formula Grants, Grants for Buses and Bus Facilities, Enhanced Mobility of Seniors and Individuals with Disabilities, State Safety Oversight, Public Transportation Innovation, Technical Assistance and Workforce Development, Bus Testing, and the National Transit Database under the Mass Transit Account of the Highway Trust Fund. These programs support formula and competitive grants, contracts, and cooperative agreements with transit agencies, State departments of transportation, academia, and the private sector.

EXHIBIT III-1A

**TRANSIT FORMULA GRANTS
SUMMARY ANALYSIS OF CHANGE FROM FY 2021 TO FY 2022
Appropriations, Obligation Limitations, and Exempt Organizations
(\$000)**

	Change From FY 2021 Enacted to FY 2022 \$000	Change From FY 2021 to FY 2022 FTE
FY 2021 ENACTED	\$10,150,348	33
FY 2022 REQUEST	\$10,150,348	33

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Capital Investment Grants (CIG) Detailed Justification

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CAPITAL INVESTMENT GRANTS

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 (Public Law 114–94), [\$2,014,000,000] **\$2,473,000,000**, to remain available until ***expended*** [September 30, 2024: *Provided*, That of the amounts made available under this heading, \$1,169,000,000 shall be available for projects authorized under section 5309(d) of title 49, United States Code, \$525,000,000 shall be available for projects authorized under section 5309(e) of title 49, United States Code, \$200,000,000 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): *Provided Further*, That funds allocated pursuant to 49 U.S.C. 5309 to any project during fiscal years 2015 or 2017 shall remain allocated to that project until December 31, 2021.] (*Department of Transportation Appropriations Act, 2021.*)

CAPITAL INVESTMENT GRANTS

PROGRAM AND PERFORMANCE

The FY 2022 Budget request includes \$2.473 billion for the Capital Investment Grants (CIG) and Expedited Project Delivery (EPD) Pilot Programs to expand local transit networks and increase capacity on existing crowded transit lines. The objectives of these programs are accomplished by supporting the construction of new fixed guideway systems or extensions to fixed guideways, corridor-based bus rapid transit systems, and core capacity improvement projects. These projects include heavy rail, light rail, commuter rail, bus rapid transit, and streetcar systems. FTA awards construction grants for CIG projects only after the proposed project has completed a multi-year, multi-step competitive process outlined in statute. Prior to funding, each CIG project is required to obtain an acceptable rating under a set of statutorily defined criteria that examine project merit and local financial commitment. EPD Pilot Program projects are required by law to be seeking no more than a 25 percent Federal share. Because the Federal government is a minority investor, the law specifies an expedited review and approval process by FTA.

EXHIBIT III-1
CAPITAL INVESTMENT GRANTS
Summary by Program Activity
Appropriations, Obligation Limitations, and Exempt Obligations
(\$000)

	FY 2020 ACTUAL	FY 2020 CARES Act	FY 2021 ENACTED	FY 2021 CRRSA	FY 2021 American Rescue Plan	FY 2022 PRESIDENT'S BUDGET
Capital Investment Grants	\$1,978,000	-	\$2,014,000	-	-	\$2,473,000
TOTAL	<u>\$1,978,000</u>	<u>-</u>	<u>\$2,014,000</u>	<u>-</u>	<u>-</u>	<u>\$2,473,000</u>

Program and Performance Statement

The Capital Investment Grants (CIG) 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. The FY 2022 Budget request includes \$2.473 billion to supplement State, local, and private investment in the construction of major capital projects that provide new and expanded transit service. The request supports projects that have existing full funding grant agreements already in place. The request also supports funding for two New Starts projects, six Small Starts Projects, and other projects that may become ready for CIG construction grant funding during FY 2022, including projects in the Expedited Project Delivery Pilot Program.

EXHIBIT III-1A

**CAPITAL INVESTMENT GRANTS
SUMMARY ANALYSIS OF CHANGE FROM FY 2021 TO FY 2022
Appropriations, Obligation Limitations, and Exempt Organizations
(\$000)**

	Change From FY 2021 to FY 2022 (\$000)	Change From FY 2021 to FY 2022 FTE
FY 2021 EXPECTED FAST ACT EXTENSION (REBASELINE)	\$2,014,000	N/A
PROGRAM INCREASES:		
Capital Investment Grants/Expedited Project Delivery Pilot Program	<u>\$459,000</u>	
SUBTOTAL, PROGRAM INCREASES	\$459,000	
FY 2022 REQUEST	\$2,473,000	

Detailed Justification for the Capital Investment Grants

FY 2022 – CAPITAL INVESTMENT GRANTS - BUDGET REQUEST (\$000)

PROGRAM ACTIVITY	FY 2020 ACTUAL	FY 2020 CARES Act	FY 2021 ENACTED	FY 2021 CRRSAA	FY 2021 American Rescue Plan	FY 2022 PRESIDENTS BUDGET
Capital Investment Grants	\$1,978,000	-	\$2,014,000	-	-	\$2,473,000

The FY 2022 Budget requests \$2.473 billion for the CIG/EPD Pilot Programs to support the following project categories:

- \$1.560 billion for 17 existing Full Funding Grant Agreements (FFGAs), including 13 New Starts and four Core Capacity projects;
- \$158.12 million for two New Starts projects not yet under construction grants;
- \$303.00 million for six Small Starts projects not yet under construction grants;
- \$427.22 million in funding for other projects that may become ready for Section 5309 CIG funding or Section 3005(b) EPD Pilot Program funding during FY 2022;
- \$24.73 million for oversight (1.0% of the FY 2022 funding level.)

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

The CIG/EPD Pilot Programs are competitive discretionary grant programs that fund 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 the CIG program at 49 U.S.C. 5309:

- 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;
- Core Capacity Improvements -- 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; and,

The EPD Pilot Program in Section 3005 (b) of the FAST Act funds projects that utilize public-private partnerships, are seeking up to 25 percent in Federal funds, and are 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/EPD funding level proposed in FY 2022 continues to invest in expanding the Nation's infrastructure. These investments meet the goals of:

- Improving access to opportunities for disadvantaged populations;
- Reducing emissions and improving air quality to address climate change through incentives built into the program that promote green vehicles and facilities;
- Supporting economic recovery and future growth; and
- Spurring domestic manufacturing and assembly of the vehicles and component parts under Buy America requirements.

CIG and EPD Pilot 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 CIG projects are not eligible for funding unless they receive a *medium* or better rating.

FTA does not sign a CIG construction grant agreement for a 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; and any remaining uncertainties regarding the non-CIG sources of funding.

The CIG and EPD Pilot Program 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 2020 Accomplishments

FTA supported existing full funding grant agreements and provided funding to new CIG and EPD Pilot Program projects. The \$1.978 billion in FY20 funding appropriated by Congress for the CIG and EPD Pilot Programs supported the following categories:

- \$1.458 billion for New Starts projects that FTA allocated to 17 projects;
- \$300 million for Core Capacity projects that FTA allocated to two projects;
- \$100 million for Small Start projects that FTA allocated to four projects;
- \$100 million for the Section 3005 (b) Expedited Project Delivery (EPD) Pilot Program that FTA allocated to one project; and
- \$19.78 million for FTA oversight (1.0% of the appropriation.)

FY 2021 Anticipated Accomplishments

FTA supported existing full funding grant agreements and provided funding to new CIG projects. The \$2.014 billion in FY 2021 funding appropriated by Congress for the CIG and EPD Pilot Programs supported the following categories:

- \$1.169 billion for New Starts that FTA allocated to 13 projects;
- \$525 million for Core Capacity that FTA allocated to three projects;
- \$200 million for Small Starts that FTA allocated to four projects;
- \$100 million for the Section 3005 (b) Expedited Project Delivery (EPD) Pilot Program not yet allocated by FTA; and
- \$20 million for FTA oversight (1.0% of the appropriation).

What benefits will be provided to the American public through this request and why are these programs necessary?

Prior to the pandemic, nationwide transit ridership numbers reached 9.87 billion trips during 2019. Census and other historical demographic trends indicate that we can expect transit ridership growth in the future. 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 15 to 34-year-olds without a driver's license continues to grow. Taken together, these trends increase the demand on our nation's public transportation systems to respond and provide sufficient service.

During the pandemic, public transit helped essential workers get to and from work and provided a way to deliver essential services and supplies to people in need. The CIG program will help support the nation's economic recovery by providing funding for infrastructure investment and expansion.

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 65 projects in the CIG program seeking funding including those under existing construction grant agreements and those in the earlier phases of development. The number of projects seeking CIG funding has grown significantly in recent years—a clear indication of the demand from communities around the United States for new and expanded transit services.

Federal Transit Administration - Proposed FY 2022 Funding For the Capital Investment Grants and Expedited Project Delivery Pilot Programs			
Funding in Millions			
Existing New Starts Full Funding Grant Agreements			
South Central/Downtown Hub	Phoenix, AZ	\$	100.0
Westside Subway Section 1	Los Angeles, CA	\$	100.0
Westside Subway Section 2	Los Angeles, CA	\$	100.0
Westside Subway Section 3	Los Angeles, CA	\$	100.0
Mid-Coast Corridor Transit Project	San Diego, CA	\$	100.0
Double Track	Northern Indiana	\$	50.0
West Lake	Northern Indiana	\$	100.0
Green Line Extension	Boston, MA	\$	48.4
National Capital Purple Line	Maryland	\$	94.8
Southwest Light Rail	Minneapolis, MN	\$	100.0
Streetcar Main Street Extension	Kansas City, MO	\$	24.4
Federal Way Link Extension	Seattle, WA	\$	100.0
Lynwood Link Extension	Seattle, WA	\$	100.0
Subtotal Existing New Starts Full Funding Grant Agreements			\$ 1,117.6
Existing Core Capacity Full Funding Grant Agreements			
Peninsula Corridor Electrification Project	San Carlos, CA	\$	74.0
BART Transbay Core Capacity Project	San Francisco, CA	\$	143.3
Portal North Bridge	Seacaucus, NJ	\$	125.0
Red and Purple Line Modernization Project Phase 1	Chicago, IL	\$	100.0
Subtotal Existing Core Capacity Full Funding Grant Agreements			\$ 442.3
Recommended New Starts Projects			
Northwest Extension Phase 2	Phoenix, AZ	\$	58.1
METRO Gold Line Bus Rapid Transit	St. Paul, MN	\$	100.0
Subtotal Recommend New Starts Projects			\$ 158.1
Recommended Small Starts Projects			
Rapid Transit	Rochester, MN	\$	56.1
Expo Center Bus Rapid Transit	Austin, TX	\$	17.8
Pleasant Valley Bus Rapid Transit	Austin, TX	\$	18.3
RapidRide I Line	Seattle, WA	\$	55.6
Pacific Avenue/SR 7 Bus Rapid Transit	Tacoma, WA	\$	75.2
East-West Bus Rapid Transit	Madison, WI	\$	80.0
Subtotal Recommended Small Starts Projects			\$ 303.0
Projects That May Become Ready for Capital Investment Grants or Expedited Project Delivery Pilot Program Funds (projects listed are illustrative)			
BART Silicon Valley Phase II Extension	San Jose, CA	\$	427.2
Hudson Tunnels	New York-New Jersey		
Second Avenue Subway Phase 2	New York, NY		
RapidRide Roosevelt Project	Seattle, WA		
Oversight Activities			\$ 24.7
Grand Total			\$ 2,473.0

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ADMINISTRATIVE EXPENSES

For necessary administrative expenses of the Federal Transit Administration's programs authorized by chapter 53 of title 49, United States Code, [\$121,052,000]***\$131,500,000*** which shall remain available until September 30, [2022]***2023***., 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 2022 President's budget, the Secretary of Transportation shall transmit to Congress the annual report on Capital Investment Grants, including proposed allocations for fiscal year 2022.]

ADMINISTRATIVE EXPENSES

PROGRAM AND PERFORMANCE

The Federal Transit Administration's (FTA) Administrative Expenses appropriation provides resources for salaries, benefits, and administrative expenses for 541 full-time equivalent employees (FTEs) to carry out the Agency's stewardship of over \$13 billion in Federal funds.

Priorities for the FY 2022 Administrative Expenses appropriation include continuing to award and monitor almost \$70 billion in supplemental grant funding provided in response to COVID-19, strengthening and expanding the framework of the robust State Safety Oversight Program and safety for all modes of transit. Implementing three new grant programs under the Transit Infrastructure Grant Account. Also included is Accident Investigation Oversight, continued implementation of the FAST Act to include policy updates and strategic planning; providing technical assistance to grantees during project development and program implementation; Project Management Oversight and grantee compliance; and support for Transit Asset Management activities, which includes developing objective standards to measure capital asset conditions and collecting data on the asset conditions of FTA grantees.

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

	FY 2020 ACTUAL	FY 2020 CARES ACT	FY 2021 ENACTED	FY 2021 CRRSA	FY 2021 American Rescue Plan	FY 2022 REQUEST
Administrative Expenses	\$117,000	\$0	\$121,052	\$0	\$0	\$131,500

Program and Performance Statement

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. The request includes \$131.5 million to support FTA core operations and manage its grant making, project development, technical assistance, and program and safety oversight activities. These funds will support an essential workforce located in ten regional offices throughout the country and Washington, DC.

EXHIBIT III-1A
ADMINISTRATIVE EXPENSES
SUMMARY ANALYSIS OF CHANGE FROM FY 2021 TO FY 2022
Appropriations, Obligation Limitations, and Exempt Organizations
(\$000)

	Change From FY 2021 to FY 2022 \$000s	Change From FY 2021 to FY 2022 FTE
FY 2021 ENACTED	\$121,052	516
FY 2022 ADJUSTMENT TO BASE:		
Annualization of 2021 Pay Raise 1%	214	
FY 2022 Pay Raise 2.7%	1,758	
Annualization of New FTE	833	5
FERS- Benefits increase	731	
GSA Rent increase	117	
Non-pay inflation	82	
Working Capital Fund Increase	2,700	
SUBTOTAL, ADJUSTMENT TO BASE	\$6,436	521
SUBTOTAL, PROGRAM INCREASES	\$4,011	20
FY 2022 REQUEST	\$131,500	541

Detailed Justification for the Administrative Expenses

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

FY 2022 – ADMINISTRATIVE EXPENSES (\$000)

PROGRAM ACTIVITY	FY 2020 ACTUAL 1/	FY 2020 CARES ACT	FY 2021 ENACTED	FY 2021 CRRSA	FY 2021 AMERICAN RESCUE PLAN	FY 2022 REQUEST
Salaries and Expenses	\$83,344	\$0	\$85,769	\$0	\$0	\$92,734
Program Costs	\$33,656	\$0	\$35,283	\$0	\$0	\$38,766
Total	\$117,000	\$0	\$121,052	\$0	\$0	\$131,500
FTE	498		516			541

The FY 2022 Budget requests \$131.5 million and 541 full-time equivalents (FTEs), an increase of \$10.45 million and 25 FTEs over the FY 2021 enacted level. The changes in the FY 2022 Budget request include:

- An increase of \$214 thousand for annualization of prior year payraises.
- An increase of \$2.49 million for FY 2022 payraise and FERS expenses.
- An increase of \$117 thousand for GSA rent.
- \$2.7 million increase for the Working Capital Fund.
- A net increase of \$4.93 million to support 25 FTEs and other inflationary costs. FTE increase is needed to adequately carry out FTA's safety and grant management roles, manage project development and delivery, and the support the processing and management of FTA's 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 \$13.5 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 review and 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.

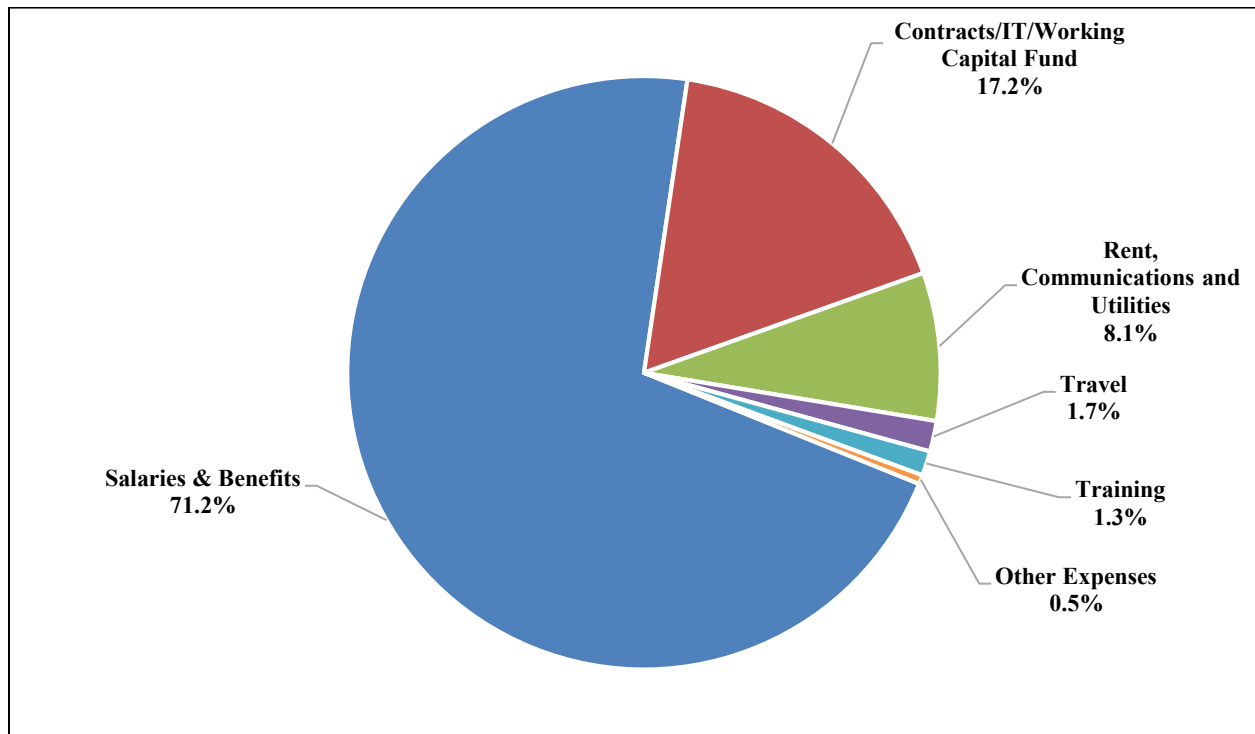
FY 2020 Accomplishments

- Implemented 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.
- Issued Safety Bulletin (SB 19-03) to alert the transit industry to safety considerations associated with rail transit grade crossings.
- Engaged with industry and continue stakeholder outreach, including training programs, to ensure compliance with the Public Transportation Agency Safety Plan Rule by December 31, 2020 and the Safety Certification Training Rule by August 20, 2021.
- Established the Public Transportation Agency Safety Plan Technical Assistance Center, providing 12 webinars, 30 guidance documents, nine workshops, 138 plan reviews to over 1,000 stakeholders and delivered 134 industry trainings to 6,482 participants.

- Awarded \$7.5 million to eight projects in eight states that will test systems to prevent and mitigate suicide and trespassing hazards on rail transit systems; improve the operational safety of shared corridor fixed guideway systems, including highway-rail grade crossings; and improve the operational safety of rail transit services in the U.S.
- Assessed compliance with the State Safety Oversight (SSO) Rule program audits, reduced the program burden hours by 95% and launched new web-based system SSO reporting tool to facilitate the agencies' annual SSO reporting requirement through a streamlined reporting process.
- Completed comprehensive and specialized program management reviews to ensure compliance with Federal grant requirements.
- Implemented a quality assurance program and developed a baseline for quality standards for the program oversight process.
- Continued to reduce the state of good repair backlog through grants and applying transit asset management strategies.
- Improved service options for targeted populations.
- Supported transportation projects in opportunity zones through numerous grant competitions.
- Reduced the number of inactive grants in FTA's grant portfolio.
- Maintained 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.
- Continued 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.
- Improved consistency of environmental reviews through internal in-person training and external web-based training, and continue to provide technical assistance for environmental matters.
- Published 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.
- Published "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.
- Coordinated distribution of over 14 million cloth face coverings for transit employees and passengers at 2,200 transit agencies across the country to reduce the risk of COVID-19 among transit passengers and employees.

- Increased transportation funding in rural and small urban areas through numerous grant competitions.
- Improved major capital project oversight.
- Undertook Before-and-After Studies to document the outcomes of Major Capital Investment Grant projects.
- Collected and published the first round of state of good repair performance targets and publish the first inventory and condition assessments of every transit system building.
- Established a dashboard on performance metrics across the research portfolio and the research priorities of safety, infrastructure, and mobility innovation. Thus, metrics such as recipient cost-share, investments in new technology, grant closeout rates, and grant awards are available across all lines of business.
- Investigated and closed nearly 90 complaints filed by transit riders against local transit agencies alleging discrimination-- about 85% filed under the Americans with Disabilities Act.

FY 2020 Administrative Expenses Budget Breakdown



FY 2021 Anticipated Accomplishments

- Administer new grant programs identified under Transit Infrastructure Grants and administer almost \$70 billion in supplemental appropriations provided in response to COVID-19.
- 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.
- Provide Federal funding and proactive technical assistance to help transit agencies support the phased reopening of local economies.
- Deliver a modernized OTrak system that captures the program oversight process from A-to-Z including direct grantee interface for document collection and findings management.
- Conduct Quality Assurance reviews as a part of a Performance Analysis program to measure the effectiveness of Program Oversight reviews.
- 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.
- Publish the second round of state of good repair targets, as well as the actual results for the first round of state of good repair targets.
- Begin identifying data reported to FTA's National Transit Database related to autonomous vehicles and service related to partnerships with transportation network companies (TNCs) for the first time.

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

The FY 2022 Budget request supports 541 Full Time Equivalents (FTE) from the Administrative Expenses account. 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 71 percent of the \$131.5 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 29 percent of the administrative budget supports non-personnel costs such as rent, utilities, travel, training, contracts, equipment, supplies, and related expenses. Compulsory costs typically increase annually and include 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 succession planning agency-wide.

Both MAP-21 and the FAST Act provided new and significantly expanded program authorities that strengthen public transportation safety requirements at the Federal level. These authorities include the issuance of nationwide transit safety directives, restrictions or prohibitions on operations at unsafe transit agencies, a review and report of the safety standards and protocols used in public transportation systems to examine the effectiveness of existing standards and protocols. The FAST Act continues the focus on urban and rural transit systems nationwide and provides equity in transit investments in the nation's rural and small urban communities. The FY 2022 budget request is based on continuing these activities while continuing to aggressively address the nation's nearly \$105 billion State of Good Repair backlog, and the need to improve the performance and reliability of transit systems.

FTA Administrative Expenses (AE) Summary - FY 2021 -FY 2022
(\$000)

Appropriation	FY 2020 ACTUAL	FY 2021 ENACTED	FY 2022 PRESIDENT'S BUDGET
Administrative Expenses (AE)			
Salaries and Benefits	\$83,344	\$85,769	\$92,734
Travel	\$1,950	\$373	\$391
Training	\$1,569	\$1,700	\$1,783
Transportation	\$25	\$134	\$141
Rent	\$8,892	\$8,610	\$8,727
Communications & Utilities	\$547	\$1,050	\$1,061
Printing	\$100	\$100	\$100
Working Capital Fund	\$10,610	\$11,536	\$14,236
Contracts	\$9,509	\$11,348	\$11,879
Supplies	\$133	\$142	\$149
Equipment	\$321	\$190	\$199
Settlements	-	\$100	\$100
Total	\$117,000	\$121,052	\$131,500
<i>PC&B as a % of total AE</i>	<i>71%</i>	<i>71%</i>	<i>71%</i>
<i>All other costs as a % of total AE</i>	<i>29%</i>	<i>29%</i>	<i>29%</i>

Federal Transit Administration Expenses

Personnel Compensation and Benefits: \$92,734,000

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 2022 Budget requests \$92.7 million for salaries and benefits and related expenses for 541 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 and requirements for competitive programs including the Capital Investment Grants Program and almost \$70 billion in supplemental appropriations in response to COVID-19.

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: \$391,000

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 travel amount is adjusted to reflect restrictions as a result of COVID-19. The FTA staff at headquarters and 10 regional offices make site visits to transit agencies and properties to conduct quarterly reviews, technical assistance, program delivery and oversight activities such as:

- Capital Investment Grant project development
- TIFIA and RRIF 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 1,000 direct grantees and 3,000 sub recipients nationwide.

Transportation: \$141,000

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: \$1,783,000

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: \$8,727,000

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: \$1,061,000

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: \$11,879,000

The budget request includes contracts that provide acquisition, administrative support, learning and knowledge management, transit asset management, internal control reviews, 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. Thus, 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: \$14,236,000

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.

Supplies and Materials: \$149,000

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: \$199,000

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 Opportunity (NOFO), grant announcements, and other required communications. FTA anticipates printing funding apportionments and programmatic guidance updates in FY 2021 and FY 2022. 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 2022, 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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TRANSIT INFRASTRUCTURE GRANTS

For necessary expenses for Zero Emission System Transformation grants, Climate Resilience and Adaptation grants, Integrated Smart Mobility grants, and Transit Modernization Sprint grants, \$550,000,000, to remain available until expended: Provided, That of the sums provided under this heading--

(1) \$250,000,000 shall be available for competitive Zero Emission System Transformation grants to eligible entities for the purchase or lease of zero emission buses and associated infrastructure: Provided further, That eligible entities are designated recipients, local governmental authorities, States, and Indian Tribes: Provided further, That an eligible subrecipient is any entity eligible to be a recipient: Provided further, That the Federal share for projects funded under this paragraph shall not exceed 80 percent of the net project cost;

(2) \$50,000,000 shall be available for competitive Climate Resilience and Adaptation grants to eligible entities for capital projects that improve the resilience of transit assets related to climate hazards by protecting transit infrastructure, including stations, tunnels, and tracks, from flooding, extreme temperatures, and other climate-related hazards: Provided further, That eligible entities are designated recipients, local governmental authorities, States, and Indian Tribes: Provided further, That an eligible subrecipient is any entity eligible to be a recipient: Provided further, That the Federal share for projects funded under this paragraph shall not exceed 80 percent of the net project cost;

(3) \$50,000,000 shall be available for no more than five competitive Integrated Smart Mobility grants to eligible entities for planning and capital projects that support the adoption of innovative approaches to mobility that will improve safety, accessibility, and equity in access to community services and economic opportunities, including first and last mile options such as optimizing transit route planning and using integrated travel planning and payment systems: Provided further, That eligible entities are designated recipients, local governmental authorities, States, and Indian Tribes: Provided further, That an eligible subrecipient is any entity eligible to be a recipient: Provided further, That the Federal share for projects funded under this paragraph shall not exceed 80 percent of the net project cost; and

(4) \$200,000,000 shall be available for competitive Transit Modernization Sprint grants for capital projects to address the nation's critical state of good repair needs: Provided further, That eligible entities are designated recipients, local governmental authorities, States, and Indian Tribes: Provided further, That an eligible subrecipient is any entity eligible to be a recipient: Provided further, That the Federal share for projects funded under this paragraph shall not exceed 80 percent of the net project cost:

Provided further, That the amounts made available under this heading shall be derived from the general fund: Provided further, That the amounts made available under this heading shall not be subject to any limitation on obligations for transit programs set forth in this or any other Act: Provided further, That notwithstanding any other provision of law, 1 percent of the funds provided for grants under this heading shall be available for administrative expenses and ongoing program management oversight as authorized under sections 5334 and 5338(f)(2) of title 49, United States Code, and shall be in addition to any other appropriations available for such purpose: Provided further, That unless otherwise specified, applicable requirements under chapter 53 of title 49, United States Code, shall apply to the amounts made available under this heading.

[For an additional amount for buses and bus facilities grants under section 5339 of title 49, United States Code, low or no emission grants under section 5339(c) of such title, formula grants to rural areas under section 5311 of such title, high density state apportionments under section 5340(d) of such title, state of good repair grants under section 5337 of such title, ferry boats grants under section 5307(h) of such title, bus testing facilities under section 5318 of such title, grants to areas of persistent poverty, innovative mobility solutions grants under section 5312 of such title, and accelerating innovative mobility initiative grants under section 5312 such title, \$516,220,000, to remain available until expended: Provided, That of the sums provided under this heading—] [(1) \$243,000,000 shall be available for the buses and bus facilities grants as authorized under section 5339 of such title, of which \$118,000,000 shall be available for the buses and bus facilities formula grants as authorized under section 5339(a) of such title, and \$125,000,000 shall be available for buses and bus facilities competitive grants as authorized under section 5339(b) of such title;] [(2) \$125,000,000 shall be available for the low or no emission grants as authorized under section 5339(c) of such title: Provided, That the minimum grant award shall be not less than \$750,000;] [(3) \$40,000,000 shall be available for formula grants for rural areas as authorized under section 5311 of such title;] [(4) \$40,000,000 shall be available for the high density state apportionments as authorized under section 5340(d) of such title;] [(5) \$40,000,000 shall be available for state of good repair grants as authorized under section 5337 of such title;] [(6) \$8,000,000 shall be available for ferry boat grants as authorized under section 5307(h) of such title: Provided, That of the amounts provided under this subparagraph, \$4,000,000 shall only be available for low or zero-emission ferries or ferries using electric battery or fuel cell components and the infrastructure to support such ferries;] [(7) \$2,000,000 shall be available for the operation and maintenance of the bus testing facilities selected under section 5318 of such title;] [(8) \$16,220,000 shall be available for competitive grants to eligible entities to assist areas of persistent poverty: Provided, That the term "areas of persistent poverty" means any county that has consistently had greater than or equal to 20 percent of the population living in poverty during the 30 year period preceding the date of enactment of this Act, as measured by the 1990 and 2000 decennial census and the most recent Small Area Income and Poverty Estimates as estimated by the Bureau of the Census; any census tract with a poverty rate of at least 20 percent as measured by the 2014–2018 5-year data series available from the American Community Survey of the Bureau of the Census; or any territory or possession of the United States: Provided further, That grants shall be for planning, engineering, or development of technical or financing plans for projects eligible under chapter 53 of title 49, United States Code: Provided further, That eligible entities are those defined as eligible recipients or subrecipients under sections 5307, 5310 or 5311 of title 49, United States Code, and are in areas persistent poverty: Provided further, That the Federal Transit Administration should complete outreach to such counties and the departments of transportation within applicable States via personal contact, webinars, web materials and other appropriate methods determined by the Administrator of the Federal Transit Administration: Provided further, That State departments of transportation may apply on behalf of eligible entities within their States: Provided further, That the Federal Transit Administration should encourage grantees to work with nonprofits or other entities of their choosing in order to develop planning, technical, engineering, or financing plans: Provided further, That the Federal Transit Administration shall encourage grantees to partner with non-profits that can assist with making projects low or no emissions;] [(9) \$1,000,000 shall be available for the demonstration and deployment of innovative mobility solutions as authorized under section 5312 of title 49, United States Code: Provided, That such amounts shall be available for competitive grants or cooperative agreements for the development of software to facilitate the provision of demand-response public transportation service that dispatches public transportation fleet vehicles through riders mobile devices or other advanced means: Provided further, That the Secretary shall evaluate the potential for software developed with grants or cooperative agreements to be shared for use by public transportation agencies; and] [(10) \$1,000,000 shall be for the accelerating innovative mobility initiative as authorized under section

5312 of title 49, United States Code: Provided, That such amounts shall be available for competitive grants to improve mobility and enhance the rider experience with a focus on innovative service delivery models, creative financing, novel partnerships, and integrated payment solutions in order to help disseminate proven innovation mobility practices throughout the public transportation industry:] [Provided further, That projects funded under paragraph (8) of this heading shall be for not less than 90 percent of the net total project cost: Provided further, That amounts made available by this heading shall be derived from the general fund: Provided further, That the amounts made available under this heading shall not be subject to any limitation on obligations for transit programs set forth in any Act.] [For an additional amount for "Transit Infrastructure Grants", \$14,000,000,000, to remain available until expended, to prevent, prepare for, and respond to coronavirus: Provided, That of the amounts appropriated under this heading in this Act—] [(1) \$13,271,310,572 shall be for grants to recipients eligible under chapter 53 of title 49, United States Code, and administered as if such funds were provided under section 5307 of title 49, United States Code (apportioned in accordance with section 5336 of such title (other than subsections (h)(1) and (h)(4))), and section 5337 of title 49, United States Code (apportioned in accordance with such section), except that funds apportioned under section 5337 shall be added to funds apportioned under 5307 for administration under 5307: Provided, That the Secretary of Transportation (referred to under this heading in this Act as the "Secretary") shall allocate the amounts provided in the preceding proviso under sections 5307 and 5337 of title 49, United States Code, in the same ratio as funds were provided under the Further Consolidated Appropriations Act, 2020 (Public Law 116–94; 133 Stat. 2534) and shall allocate such amounts not later than 30 days after the date of enactment of this Act: Provided further, That the amounts allocated to any urbanized area from amounts made available under this paragraph in this Act when combined with the amounts allocated to that urbanized area from funds appropriated under this heading in title XII of division B of the CARES Act (Public Law 116–136; 134 Stat. 599)) may not exceed 75 percent of that urbanized area's 2018 operating costs based on data contained in the National Transit Database: Provided further, That for any urbanized area for which the calculation in the preceding proviso exceeds 75 percent of the urbanized area's 2018 operating costs, the Secretary shall distribute funds in excess of such percent to urbanized areas for which the calculation in the preceding proviso does not exceed 75 percent, in the same proportion as amounts allocated under the first proviso of this paragraph in this Act: Provided further, That no recipient in an urbanized area may receive more than \$4,000,000,000 from the amounts allocated under this paragraph in this Act in combination with the amounts provided under this heading in title XII of division B of the CARES Act (Public Law 116–136; 134 Stat. 599) until 75 percent of the funds provided to the recipient under this heading in such title XII are obligated and only after the recipient certifies to the Secretary that the use of such funds in excess of such amount is necessary to prevent layoffs or furloughs directly related to demonstrated revenue losses directly attributable to COVID-19;] [(2) \$50,034,973 shall be for grants to recipients or subrecipients eligible under section 5310 of title 49, United States Code, and the Secretary shall apportion such funds in accordance with such section: Provided, That the Secretary shall allocate such funds in the same ratio as funds were provided under the Further Consolidated Appropriations Act, 2020 (Public Law 116–94; 133 Stat. 2534) and shall allocate such funds not later than 30 days after the date of enactment of this Act; and] [(3) \$678,654,455 shall be for grants to recipients or subrecipients eligible under section 5311 of title 49, United States Code (other than subsections (b)(3), (c)(1)(A), and (f)), and the Secretary shall apportion such funds in accordance with such section: Provided, That the Secretary shall allocate such funds in the same ratio as funds were provided under the Further Consolidated Appropriations Act, 2020 (Public Law 116–94; 133 Stat. 2534) and shall allocate funds within 30 days of enactment of this Act: Provided further, That the amounts allocated to any State (as defined in section 5302 of title 49, United States Code) for rural operating costs from amounts made available under this heading in this Act when combined with the amounts allocated to each such State for rural operating costs from funds appropriated under this heading in title XII of division

B of the CARES Act (Public Law 116–136; 134 Stat. 599) may not exceed 125 percent of that State's combined 2018 rural operating costs of the recipients and subrecipients in the State based on data contained in the National Transit Database: Provided further, That for any State for which the calculation in the preceding proviso exceeds 125 percent of the State's combined 2018 rural operating costs of the recipients and subrecipients in the State, the Secretary shall distribute funds in excess of such percent to States for which the calculation in the preceding proviso does not exceed 125 percent in the same proportion as amounts allocated under the first proviso of this paragraph in this Act:] [Provided further, That the Secretary shall not waive the requirements of section 5333 of title 49, United States Code, for funds appropriated under this heading in this Act or for funds previously made available under section 5307 of title 49, United States Code, or section 5311, 5337, or 5340 of such title as a result of COVID-19: Provided further, That the provision of funds under this heading in this Act shall not affect the ability of any other agency of the Government, including the Federal Emergency Management Agency, a State agency, or a local governmental entity, organization, or person, to provide any other funds otherwise authorized by law: Provided further, That notwithstanding subsection (a)(1) or (b) of section 5307 of title 49, United States Code, section 5310(b)(2)(A) of that title, or any provision of chapter 53 of that title, funds provided under this heading in this Act are available for the operating expenses of transit agencies related to the response to a COVID-19 public health emergency, including, beginning on January 20, 2020, reimbursement for operating costs to maintain service and lost revenue due to the COVID-19 public health emergency, including the purchase of personal protective equipment, and paying the administrative leave of operations or contractor personnel due to reductions in service: Provided further, That to the maximum extent possible, funds made available under this heading in this Act and in title XII of division B of the CARES Act (Public Law 116–136; 134 Stat. 599) shall be directed to payroll and operations of public transit (including payroll and expenses of private providers of public transportation), unless the recipient certifies to the Secretary that the recipient has not furloughed any employees: Provided further, That such operating expenses are not required to be included in a transportation improvement program, long-range transportation plan, statewide transportation plan, or a statewide transportation improvement program: Provided further, That private providers of public transportation shall be considered eligible subrecipients of funding provided under this heading in this Act and in title XII of division B of the CARES Act (Public Law 116–136; 134 Stat. 599): Provided further, That unless otherwise specified, applicable requirements under chapter 53 of title 49, United States Code, shall apply to funding made available under this heading in this Act, except that the Federal share of the costs for which any grant is made under this heading in this Act shall be, at the option of the recipient, up to 100 percent: Provided further, That the amount made available under this heading in this Act shall be derived from the general fund of the Treasury and shall not be subject to any limitation on obligations for transit programs set forth in any Act: Provided further, That the Federal share of costs for any unobligated grant funds under section 5310 of title 49, United States Code, as of the date of enactment of this Act shall be, at the option of the recipient, up to 100 percent: Provided further, That of the amounts made available under this heading in this Act, up to \$10,000,000 may be retained by the Administrator of the Federal Transit Administration to fund ongoing program management and oversight activities described in sections 5334 and 5338(f)(2) of title 49, United States Code, and shall be in addition to any other appropriations for such purpose: Provided further, That the amounts repurposed under this heading in this Act that were previously designated by the Congress as an emergency requirement pursuant to the Balanced Budget and Emergency Deficit Control Act of 1985 are designated by the Congress as an emergency requirement pursuant to section 251(b)(2)(A)(i) of the Balanced Budget and Emergency Deficit Control Act of 1985: Provided further, That such amount is designated by the Congress as being for an emergency requirement pursuant to section 251(b)(2)(A)(i) of the Balanced Budget and Emergency Deficit Control Act of 1985.] (Coronavirus Response and Relief Supplemental Appropriations Act, 2021.)

TRANSIT INFRASTRUCTURE GRANTS

PROGRAM AND PERFORMANCE

The FY 2022 Budget requests \$550 million for Transit Infrastructure Grants. This request will support four new transit infrastructure programs: Zero Emission System Transformation Program, Transit Modernization Sprint Grants, Climate Resilience and Adaptation Grants, and Integrated Smart Mobility Pilot Grants.

EXHIBIT III-1
TRANSIT INFRASTRUCTURE GRANTS
Summary by Program Activity
Appropriations, Obligations, and Exempt Obligations
(\$000)

APPROPRIATIONS TITLE	FY 2020 ACTUAL	FY 2020 CARES ACT	FY 2021 ENACTED	FY 2021 CRRSA	FY 2021 AMERICAN RESCUE PLAN	FY 2022 REQUEST
Urbanized Area Formula Program	-	\$22,696,292	-	\$13,261,831	\$26,110,112	-
Buses and Bus Facilities Grants	\$413,000	-	\$368,000	-	-	-
Low to No Emissions Bus Testing	\$3,000	-	-	-	-	-
Research, Development, Demonstration and Deployment Projects	\$5,500	-	\$2,000	-	-	-
Competitive grants to eligible entities to assist areas of persistent poverty	\$8,500	-	\$16,220	-	-	-
Bus Testing Facility	-	-	\$2,000	-	-	-
State of Good Repair Grants	-	-	\$40,000	-	-	-
Growing Sates and High Density States	\$40,000	-	\$40,000	-	-	-
Formula Grants for Rural Areas	\$40,000	\$2,228,708	\$40,000	\$678,170	\$417,214	-
Ferry Boat	-	-	\$8,000	-	-	-
Enhanced Mobility of Seniors and Individuals with Disabilities	-	-	-	\$49,999	\$50,000	-
New Starts, Small Starts, Core Capacity	-	-	-	-	\$1,675,000	-
Urbanized & Rural Additional Assistance	-	-	-	-	\$2,207,561	-
Zero Emission System Transformation Grants	-	-	-	-	-	\$250,000
Climate Resilience and Adaptation Grants	-	-	-	-	-	\$50,000
Competitive Integrated Smart Mobility Grants	-	-	-	-	-	\$50,000
Competitive Transit Modernization Sprint Grants	-	-	-	-	-	\$200,000
FTA Administration (Sec. 5334) & Oversight (Sec. 5338(f)(2))	-	\$75,000	-	\$10,000	\$1,467	-
TOTAL	\$510,000	\$25,000,000	\$516,220	\$14,000,000	\$30,461,354	\$550,000

Program and Performance Statement

The FY 2022 Budget requests \$550 million for Transit Infrastructure Grants. This request will support four new transit infrastructure programs: Zero Emission System Transformation Program, Transit Modernization Sprint Grants, Climate Resilience and Adaptation Grants, and Integrated Smart Mobility Pilot Grants.

EXHIBIT III-1A

**TRANSIT INFRASTRUCTURE GRANTS
SUMMARY ANALYSIS OF CHANGE FROM FY 2021 TO FY 2022
Appropriations, Obligation Limitations, and Exempt Organizations
(\$000)**

	Change From FY 2021 Enacted to FY 2022 \$000	Change From FY 2021 to FY 2022 FTE
FY 2021 ENACTED	\$516,220	-
PROGRAM INCREASES		
Buses and Bus Facilities Grants	(\$368,000)	-
Research, Development, Demonstration and Deployment Projects	(\$2,000)	-
Competitive grants to eligible entities to assist areas of persistent poverty	(\$16,220)	-
Bus Testing Facility	(\$2,000)	-
State of Good Repair Grants	(\$40,000)	-
Growing Sates and High Density States	(\$40,000)	-
Formula Grants for Rural Areas	(\$40,000)	-
Ferry Boat	(\$8,000)	-
SUBTOTAL, NEW OR EXPANDED PROGRAMS	(\$516,220)	-
NEW OR EXPANDED PROGRAMS		
Climate Resilience and Adaptation Grants	\$250,000	-
Intergrated Smart Mobility	\$50,000	-
Transit Modernization Sprint Grants	\$50,000	-
National Transit Database	\$200,000	-
SUBTOTAL, NEW OR EXPANDED PROGRAMS	\$550,000	-
FY 2022 REQUEST	\$550,000	-

Detailed Justification for Transit Infrastructure Grants

What Is the Request and What Funds Are Currently Spent on the Program?

The FY 2022 Budget requests \$550 million. This includes \$250 million for a new Zero Emission System Transformation Competitive Grant program, \$200 million for Transit Modernization Sprint Competitive grants, \$50 million for Integrated Smart Mobility Pilot Grants and \$50 million for Climate Resilience and Adaptation Competitive Grants.

- *Zero Emission System Transformation Competitive Grants* - \$250 million for transformative grants to fund the transition of approximately 265 new zero emission buses and associated infrastructure to zero emission technologies and to improve the resilience of transit assets vulnerable to increased hazards related to the climate crisis.
- *Climate Resilience and Adaptation Competitive Grants* - \$50 million for competitive grants that will support improvements to the resilience of transit assets to climate-related hazards by protecting transit stations, tunnels, tracks and other infrastructure from flooding, extreme temperatures, and other climate-related hazard.
- *Competitive Integrated Smart Mobility Pilot Grants* - \$50 million to support transformational investments in up to five projects that support a combination of active transportation, shared use mobility, and public transit improvements. In addition to addressing door to door safety, these projects will support the transformation of transportation to an integrated services model. It will also support innovative approaches to mobility that will improve accessibility and equity in access to community services and economic opportunities including first and last mile operations.
- *Competitive Transit Modernization Sprint Grants* - \$200 million to invest in the recapitalization of transit assets that are in marginal or poor condition and contribute to the elimination of the \$105 billion backlog in deferred maintenance.

In FY 2022, FTA will focus on implementing new programs that will improve the safety and reliability of public transportation, purchase buses for fleet and service expansion, improve bus maintenance and administrative facilities, as well as provide more efficient and reliable transportation options for senior citizens and individuals with disabilities who rely on bus service or paratransit service.

A small portion of these funds (one percent) will be used to provide program or project oversight to ensure that Federal funds are used cost-effectively and in accordance with applicable laws and regulations. Oversight is supported through a statutory percentage takedown from the amount of the total requested for Transit Infrastructure Grants. FTA's Project Management Oversight program provides *project-level* oversight of major capital projects while FTA's Management, Financial Management, Triennial Review (program compliance) and Procurement Oversight activities focus on *program-level* oversight.

FY 2020 Accomplishments

In response to the COVID-19 pandemic, The Coronavirus Aid, Relief, and Economic Security (CARES) Act was enacted to provide emergency assistance and health care response for individuals, families and businesses. FTA allocated \$25 billion to recipients of urbanized area and rural area formula funds, with \$22.7 billion to large and small urban areas and \$2.2 billion to rural areas. Funding was provided at a 100-percent federal share, with no local match required, and is available to support capital, operating, and other expenses generally eligible under those programs to prevent, prepare for, and respond to COVID-19.

Under the authority of FTA's Emergency Relief Program, expanded the eligibility of federal assistance available under the Urbanized Area Formula Program and Formula Grants for Rural Areas Program for emergency-related capital and operating expenses to help transit agencies respond to COVID-19 in states where the Governor has declared an emergency .

Established an Emergency Relief docket that allows transit providers in states where the Governor has declared an emergency related to COVID-19 to request temporary relief from federal requirements under 49 U.S.C. Chapter 53 as well as any non-statutory FTA requirements.

The FY 2020 enacted level also included \$510 million for the Transit Infrastructure Grants account and for the following purposes:

- *Buses and Bus Facilities Grants*—\$413 million to replace, rehabilitate, and purchase buses and related equipment, and to construct bus-related facilities, including low or no emission vehicles.. Specifically, eligible capital projects include the purchase of buses for fleet and service expansion, bus maintenance and administrative facilities, transfer facilities, bus malls, transportation centers, intermodal terminals, park-and-ride stations, acquisition of replacement vehicles, bus rebuilds, bus preventive maintenance, passenger amenities such as passenger shelters and bus stop signs, accessory and miscellaneous equipment such as mobile radio units, supervisory vehicles, fare boxes, computers and shop and garage equipment.
- *Low or No Emission Bus Testing* - \$3 million provides funding test low or no emission bus components.
- *Research, Development, Demonstration and Deployment Projects* - \$5.5 million for projects and activities to advance innovative public transportation research, demonstration, deployment, development and testing.
- *Competitive grants to eligible entities to assist areas of persistent poverty* - \$8.5 million for planning, engineering, or development of technical or financing plans for projects eligible under Chapter 53 of Title 49.
- *High Density State Apportionments* - \$40 million was allocated between the Urban and Rural Area programs based on the legislative funding formula for this program.
- *Formula Grants for Rural Areas* - \$40 million. This program provides formula grants for capital, planning and operating assistance to States and Federally recognized Indian tribes to support public transportation in rural areas with populations less than 50,000. Funding may also be used to support intercity bus service and job access and reverse commute projects.

FY 2021 Anticipated Accomplishments

In response to COVID-19 pandemic, \$14 billion was made available from the Coronavirus Response and Relief Supplemental Appropriations Act (CRRSAA) and \$30.5 billion from American Rescue Plan Act (ARPA) of 2021. Both CRRSAA and ARPA funds will be made available at 100-percent federal share and primarily directed to operations and payroll. Funding focused on urban and rural areas, tribal governments, and enhanced mobility of seniors and individuals with disabilities in communities that demonstrate additional pandemic-associated needs. The following highlight some of the activities to address the COVID-19 pandemic:

- FTA continues to hold regular conference calls and listening sessions with transit stakeholders and posted Frequently Asked Questions (FAQs) on its website to provide guidance to the transit industry, ensuring that transit service continues to be available to make communities strong and provide essential service to support the economy.
- FTA implemented flexibilities under FTA's Emergency Relief Program to allow Urban Area (5307) and Rural Area (5311) formula funding to be used at 100 percent federal share for COVID-19 related expenses, including operations expenses for large urban recipients.
- FTA issued Safety Advisory 20-1 (Recommended Actions to Reduce the Risk of COVID-19 Among Transit Employees and Passengers).
- Distributed more than 14 million cloth face coverings to 2,200 transit systems.

In addition to supplemental funding, \$516.2 million was enacted for the Transit Infrastructure Grants account for the following purposes:

- *Buses and Bus Facilities Grants*—\$368 million in formula funding (\$118 million of the total) and competitive funding, including low or no emission vehicles, (\$250 million of the total) to replace, rehabilitate, and purchase buses and related equipment, and to construct bus-related facilities. Specifically, eligible capital projects include the purchase of buses for fleet and service expansion, bus maintenance and administrative facilities, transfer facilities, bus malls, transportation centers, intermodal terminals, park-and-ride stations, acquisition of replacement vehicles, bus rebuilds, bus preventive maintenance, passenger amenities such as passenger shelters and bus stop signs, accessory and miscellaneous equipment such as mobile radio units, supervisory vehicles, fare boxes, computers and shop and garage equipment.
- *Research, Development, Demonstration and Deployment Projects* - \$2 million for projects and activities to advance innovative public transportation research, demonstration, deployment, development and testing.
- *Competitive grants to eligible entities to assist areas of persistent poverty* - \$16.2 million for planning, engineering, or development of technical or financing plans for projects eligible under Chapter 53 of Title 49.
- *Bus Testing Facility* - \$2 million for an FTA-funded bus testing facility which has tested 413 buses since its inception and identified almost 8,900 test failures, 41 of which were critical safety hazards. Public transportation law requires all new bus models purchased using FTA funds to be tested on a pass/fail system for compliance with performance standards for safety, structural integrity, reliability, performance (including braking performance), maintainability, emissions, noise, and fuel economy.

- *State of Good Repair Grants* - \$40 million for capital grants to restore and replace aging transportation infrastructure through reinvestment in existing rail fixed guideway systems and high-intensity motorbus systems.
- *High Density State Apportionments* - \$40 million is allocated between the Urban and Rural Area programs based on the legislative funding formula for this program.
- *Ferry Boat* - \$8 million in competitive funding for capital projects to support existing ferry service, establish new ferry service, and repair and modernize ferry boats, terminals, and related facilities and equipment. Funds may not be used for operating expenses, planning, or preventive maintenance.

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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 the Passenger Rail Investment and Improvement Act of 2008 (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 the Passenger Rail Investment and Improvement Act of 2008 (Public Law 110-432).

EXHIBIT III-1
WASHINGTON METROPOLITAN AREA TRANSIT AUTHORITY (WMATA)
Summary by Program Activity
Appropriations, Obligation Limitations, and Exempt Obligations
(\$000)

	(A)	(B)	(C)	(D)	(E)	(F)
	FY 2020 ACTUAL	FY 2020 CARES Act	FY 2021 ENACTED	FY 2021 CRRSA	FY 2021 American Rescue Plan	FY 2022 PRESIDENT'S BUDGET
WMATA	\$ 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 for capital projects to help return the existing system to a state of good repair and to improve the safety and reliability of service throughout the WMATA system. This funding will support WMATA in addressing ongoing safety deficiencies and improve the reliability of service throughout the Metrorail system. In addition, WMATA will continue to receive additional funding annually under FTAs core formula programs for capital and preventive maintenance to address state of good repair needs.

EXHIBIT III-1A

WASHINGTON METROPOLITAN AREA TRANSIT AUTHORITY

SUMMARY ANALYSIS OF CHANGE FROM FY 2021 TO FY 2022

Appropriations, Obligation Limitations, and Exempt Organizations

(\$000)

	Change From FY 2021 to FY 2022 (\$000)	Change From FY 2021 to FY 2022 FTE
FY 2021 ENACTED	\$150,000	N/A
FY 2022 REQUEST	\$150,000	

Detailed Justification for the Washington Metropolitan Area Transit Authority

FY 2022 – WASHINGTON METROPOLITAN AREA TRANSIT AUTHORITY (\$000)

PROGRAM ACTIVITY	FY 2020 ENACTED	FY 2021 PRES. BUD.	FY 2022 TARGET	FY 2022 REQUEST
Washington Metropolitan Area Transit Authority	\$150,000	\$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. In addition, WMATA will continue to receive additional funding annually under FTAs core formula programs for capital and preventive maintenance to address state of good repair needs.

In FY 2020, WMATA received \$876 million under the Coronavirus Aid, Relief, and Economic Security (CARES) Act. In FY 2021, WMATA received \$714 million under the Coronavirus Response and Relief Supplemental Appropriations Act and an additional \$1 billion under the American Rescue Plan Act.

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 appropriations along with the Further Consolidated Appropriations Acts of 2020 (P.L. 116-94) and 2021 (P.L. 116-68), for the capital and preventive maintenance projects for WMATA. While the Federal Rail Safety Improvements Act has not been reauthorized to date, each annual appropriation since the expiration of the Federal Rail Safety Improvements Act has provided WMATA with \$150 million in funding. Continuing this funding in FY 2022, will help WMATA address its reinvestment and maintenance backlog to improve the safety and reliability of service. Funding will 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 one of the Secretary of Transportation's top priorities.

The beneficiaries of the program are the system riders – both commuters and visitors to the Nation's Capital and surrounding areas, 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 \$102 million in fares 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 direct 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, and place the highest priority on those investments that will improve the safety of the system before approving such grants.

The \$150 million request leverages \$148.5 million (after the statutory reduction of 1% or \$1.5 million for Federal oversight) in matching funds by the District of Columbia, the State of Maryland, and the Commonwealth of Virginia. The three jurisdictions have signed on to the terms of the Federal Rail Safety Enhancement Act of 2008, as continued in the Further Consolidated Appropriations Act of 2020 and the Consolidated Appropriations Act, 2021 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 will deteriorate and ultimately affect system safety, reliability, and performance.

FY 2020 Accomplishments

Between FY 2010 and FY 2020 Congress appropriated \$1.8 billion in direct funding authorized by the Federal Rail Safety Improvements Act of 2008 and the Further Consolidated Appropriations Act of 2020 to help address WMATA's priority safety and state of good repair objectives. 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 89 percent (\$1.47 billion) has been spent on new rail cars, track repairs, and 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, installing guarded turnouts, buying equipment for wayside worker protection, and installing rollback protection on rail 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 its 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 including procurement of the 7000 series rail cars, scheduled railcar overhauls to maintain safe railcar operation, implementation of radio and cellular infrastructure throughout the system in the event of an emergency, and other priority safety improvements.

FY 2021 Anticipated Accomplishments

The Consolidated Appropriations Act, 2021 also placed certain conditions on the use of these funds and required that WMATA place the “highest priority on those investments that will improve the safety of the system.” WMATA will continue to work with FTA to develop grant agreements that support ongoing investments to improve the safety of the system. FY 2021 funding supports completing the outstanding required safety actions from FTA and the NTSB; ongoing investments in radio and cellular infrastructure improvement; continuing replacement of Automatic Train Control infrastructure; critical rehabilitation of outdoor platforms; funding will support the overhaul and replacing elevators and escalators; and continuing to track component replacement, and railcar renovations focused on safe operations.

What does FY 2022 funding level support?

As in previous years, FTA will develop a grant agreement with WMATA detailing how the \$150 million in new capital funds will be used. The program has been evaluated each year by whether WMATA maintains its assets in a state of good repair and FTA will review projects to ensure the highest priority is placed on investments that will improve safety and reliability of the Metrorail system. Project expected in FY 2022 should include rehabilitation of outdoor station platforms, radio and cellular infrastructure installation, replacement of Automatic Train Control infrastructure, scheduled railcar overhauls, and other high priority safety and state of good repair initiatives.

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

WMATA’s transit services are a critical component of the National Capital Region’s transportation network, and is a key factor for businesses starting and relocating to the region. Its capital improvement program is designed to improve rail, bus and paratransit service to customers.

This funding helps address critical safety and state of good repair needs documented by FTA and the NTSB, including the improved safety of railcars, track infrastructure safety improvements, and radio and cellular infrastructure installation. Ongoing platform rehabilitation supports ADA and equity goals by providing level-boarding at station platforms that have severely deteriorated. These projects will improve the effectiveness and efficiency of WMATA railcar service by addressing critical safety and a backlog of repair needs. By continuing to support this program, measurable gains towards safety, equity and economic recovery, will be achieved.

A continued commitment to ensure a strong, safe, equitable and reliable transit infrastructure allows WMATA to stand behind its commitment to social equity in transit access across all areas of business.

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Transit Research (TR) Detailed Justification

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TRANSIT RESEARCH

For necessary expenses to carry out section 5312 of title 49, United States Code, \$30,000,000 to remain available until expended.

PROGRAM AND PERFORMANCE

Transit Research will provide funding to support research, demonstration and deployment projects that will leverage new mobility trends in a post-COVID world; accelerate the adoption of zero-emission buses in public transit; and advance transit safety innovation research. The FY 2022 budget requests \$30 million.

EXHIBIT III-1

TRANSIT RESEARCH

Summary by Program Activity

Appropriations, Obligation Limitations, and Exempt Obligations

(\$000)

	FY 2020 ACTUAL	FY 2020 CARES Act	FY 2021 ENACTED	FY 2021 CRRSA	FY 2021 American Rescue Plan	FY 2022 PRESIDENT'S BUDGET
Transit Research Program (5312)	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 30,000
TOTAL	<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ 30,000</u>

Program and Performance Statement:

Transit Research will provide funding to support research, demonstration and deployment projects that will leverage new mobility trends in a post-COVID world; accelerate the adoption of zero-emission buses in public transit; and advance transit safety innovation research. The FY 2022 budget requests \$30 million.

EXHIBIT III-1A

TRANSIT RESEARCH

SUMMARY ANALYSIS OF CHANGE FROM FY 2021 TO FY 2022

Appropriations, Obligation Limitations, and Exempt Organizations

(\$000)

	Change From FY 2021 to FY 2022 (\$000)	Change From FY 2021 to FY 2022 FTE
FY 2021 ENACTED	\$0	0
PROGRAM INCREASES		
Program		
Transit Research	\$30,000	0
SUBTOTAL, PROGRAM INCREASES	\$30,000	0
FY 2022 REQUEST	\$30,000	0

Detailed Justification for the Transit Research Program

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

The FY 2022 Budget requests \$30 million to support Public Transportation Innovation in the following key areas:

- \$15 million for New Mobility Trends research that supports the administration's rebalancing investments to meet racial equity, economic inclusion as well as transformation and "future proofing" goals;
- \$10 million for research that supports the administration's climate, resilience, equitable economic strength, and improving core assets goals by accelerating the adoption of zero-emission buses and associated electrification infrastructure;
- \$5 million for safety research that supports the administration's safety goal; and

The FY 2022 Budget request supports the Department's strategic priorities of safety, improving core assets, racial equity and economic inclusion, working towards zero-emissions by 2050, and building transformative, innovative projects today, while future-proofing our infrastructure to build back better and leave coming generations with a safe, equitable, and sustainable transportation system.

FTA's support of the transit industry has primarily consisted of capital and operating assistance, particularly a financial lifeline for transit agencies to provide essential services during the COVID-19 pandemic. As America transitions to a post-pandemic future, research and innovation will play an increasingly important role in helping transit reinvent itself and adopt to new work and travel patterns, as well as tackling historic challenges of advancing equity for all, reducing climate pollution, and accelerating equitable economic growth.

FTA's FY 2022 priorities will build upon a proven track record. Our recent research and demonstration projects have provided the transit industry with innovative tools and practices (such as track worker warning systems) to operate transit systems in a safer manner and with an improved safety culture. Research has leveraged new mobility technologies such as micro transit, dynamic trip planning and integrated payment applications to promote seamless travel and more mobility options for all travelers, including travelers with disabilities, travelers from rural areas, and lower income travelers. Additionally, FTA's research on innovative infrastructure management technologies, such as using unmanned aerial systems, artificial intelligence and robotics to monitor transit assets, may lead to promising practices to help improve infrastructure state of good repair and resiliency. Industry stakeholders have embraced these technologies in areas where they were tested. As of the summer of 2020, almost half of the industry stakeholders who demonstrated an FTA-sponsored technology reported that they plan to adopt it into their ongoing operations (with approximately 36 percent indicating they had not yet made a decision about adopting the technology).

Proven mobility solutions and vehicle technologies have been broadly accepted by the transit industry. For years, FTA has supported research on cleaner, more energy efficient vehicles, and

the percentage of all transit vehicles that run on alternative fuels (such as compressed natural gas, hybrid-electric, and battery electric) has increased to 36 percent in 2019 (the latest year that data is available). Intelligent Transportation Systems (ITS) technology such as real-time vehicle arrival information which was once limited to demonstration programs is now becoming widely adopted by transit agencies and paid for with conventional formula funding.

FTA's FY 2022 innovation and research efforts will help deliver the following outcomes:

- More efficient, effective, and higher quality public transportation services through utilizing new, more equitable mobility technologies that will help agencies transform and adapt to post-COVID-19 ridership, while addressing economic inclusion, transformation, and "future proofing" public transit systems. The overarching expected impact will be ways to track equity, and a more sustainable public transit industry as evidenced by significantly improving ridership from COVID-19 related levels.
- An accelerated transition from conventional (i.e. diesel and gasoline fueled) vehicles to zero-emission vehicles, such as battery electric and fuel cell electric buses, as evidenced by greater numbers of zero-emission vehicles in the public transit industry; effective transitions to electrification maintenance and operational jobs that ensure equitable economic strength, and building public transit's core assets back better.
- Reduced risk of transit safety incidents, injuries and fatalities for transit workers, riders, pedestrians, and bicyclists.

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

The \$30 million investment will support the following key areas:

Innovative and Equitable Mobility Trends Research (\$15 million) – provides focused research on ways to enhance mobility and access to opportunity in a post-COVID world, in particular for underserved populations and with the goal of helping everyone use transportation to reach their full potential. FTA will research solutions in the following key areas:

- Dynamic route optimization and fleet management strategies to better match demand and supply, especially as public transit agencies move to more on-demand choices for riders;
- Integrating public transportation options with other non-transit mobility options such as shared bicycles and scooters;
- Assessing the utility of advanced technologies that can integrate mobile apps across different public transit agencies; back-office data integration strategies for ensuring access to real-time information for informed traveler choices that ensure equity and access;
- First and last mile innovations to improve access and ensure safety for all transit users, including underserved communities;
- Developing novel, bold, and realistic operational concepts for integrated mobility to accelerate public transportation transformation and promote climate smart and equitable mobility outcomes;
- Identifying and developing opportunities for SAE level 4 equitable, automated demand-response services and automated bus rapid transit (BRT);

- Continuing to evaluate the capabilities of automated driver assistance systems to increase safety for bus operators and passengers;
- Equitable and frictionless integrated mobility payments systems through emerging payment technologies and multimodal partnerships;
- Emerging multi-modal operations and management systems;
- Understanding impact of automation on transit operations and workforce;
- Supporting equitable, accessible, climate smart, artificial intelligence (AI) enabled user-centric ride choices.

These priorities will help FTA implement Executive Order 13985 *Advancing Racial Equity and Support for Underserved Communities Through the Federal Government*. These research activities will support the administration’s goals of rebalancing investments to meet racial equity, economic inclusion as well as transformation and “future proofing.”

Accelerating Zero-Emission Implementation Research (**\$10 million**) will promote the transition to a clean energy economy and will be part of a whole of government strategy to mitigate climate change. FTA’s research and demonstration programs will provide critical information to help transit agencies make more informed decisions in their journeys to achieve zero-emissions innovations and services.

Research topics include, but are not limited, to the following key areas:

- Electrification infrastructure and charging system planning, deployment, and maintenance options, and how those affect public transit systems’ operations including issues and needs associated with working with utilities, including determining types of substations that may be needed, charging systems’ software and applications, and on-route charging options and network optimization;
- Research on innovations in zero-emission systems maintenance and asset management needs, utilizing artificial intelligence, simulation and modeling techniques;
- Methods/calculators for assessing success in reducing harmful emissions; and
- Research synthesis with battery-electric systems, electric powertrains and components innovations.

These priorities will help further Executive Order 14008 *Tackling the Climate Crisis at Home and Abroad*. The research activities will support the administration’s goals of climate and resilience as well as equitable economic strength and improving core assets.

Safety Innovations Research (\$5 million) – includes demonstration projects that identify, develop, demonstrate and deploy the systems, processes and technologies necessary for public transportation to remain the safest mode of transportation for both passengers (including the most vulnerable transit users) and transit operators and employees.

This area includes research on innovative asset management strategies for safety-critical infrastructure and cybersecurity considerations for public transportation systems.

Conduct research into the following areas:

- Safety implications of automated rail and bus systems, and new technologies that protect both riders and pedestrians from rail and bus-related accidents.
- Includes connected infrastructure and smart-city systems that better integrate transit vehicles with mixed traffic and travelers.
- Ensuring the safety of rail crossings.
- Innovations that reduce the incidents of persons struck by rail vehicles, whether intentionally or because of trespassing.
- Safety and accessibility of a multi-modal public transit ecosystem including all micro-mobility devices, walkways, crossings, bus stops, terminals, and embarking/disembarking from transit vehicles and light/heavy rail.
- Safety issues on buses and light/heavy rail associated with criminal behavior including assaults, human trafficking, and robberies.
- Public health safety in transit vehicles and stations in a post-COVID-19 world.
- Assess and, as needed, address whether any equity issues exist with regard to disproportionate impact of injuries and fatalities for disadvantaged communities.

FTA has always had a strong focus on safety, but with these research activities, safety research will address the administration's goal to support the most vulnerable users who make transportation choices and address the disproportional effect of crashes on disadvantaged communities. Additionally, FTA will continue research that leverages innovative technologies that improve safety in all aspect of the public transportation system.

Small Business Innovation Research (SBIR) (3.2% of the total request) –A portion of the request will be dedicated to support US small businesses explore technological projects with the potential for commercialization. The purpose of the SBIR program is to support scientific excellence and technological innovation through the investment of Federal research funds in critical American priorities to build a strong national economy. The program was established to stimulate technological innovation; meet Federal research and development needs; foster and encourage participation in innovation and entrepreneurship by women and socially or economically disadvantaged persons; and increase private-sector commercialization of innovations derived from federal research and development funding.

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**Technical Assistance, Workforce and Training (TA)
Detailed Justification**

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TECHNICAL ASSISTANCE, WORKFORCE AND TRAINING

For necessary expenses to carry out section 5314 of title 49, United States Code, \$7,500,000, to remain available until September 30, [2022] 2023: Provided, That the assistance provided under this heading does not duplicate the activities of section 5311(b) or section 5312 of title 49, United States Code.

TECHNICAL ASSISTANCE AND TRAINING ACCOUNT

PROGRAM AND PERFORMANCE

The FY 2022 budget requests \$7,500,000 million for technical assistance and workforce programs and projects working closely with public transit agencies and nonprofit cooperative agreement partners.

EXHIBIT III-1
TECHNICAL ASSISTANCE AND TRAINING
Summary by Program Activity
Appropriations, Obligation Limitations, and Exempt Obligations
(\$000)

	FY 2020 ACTUAL	FY 2020 CARES Act	FY 2021 ENACTED	FY 2021 CRRSA	FY 2021 American Rescue Plan	FY 2022 PRESIDENT'S BUDGET
Technical Assistance and Training	\$5,000	\$-	\$7,500	\$-	\$-	\$7,500
TOTAL	<u>\$5,000</u>	<u>\$-</u>	<u>\$7,500</u>	<u>\$-</u>	<u>\$-</u>	<u>\$7,500</u>

Program and Performance Statement:

The FY 2022 budget requests \$7.5 million for technical assistance and training activities. These funds will increase the capacity and capabilities of States and transit agencies to attract and retain the next generation of the transit workforce, effectively implement transit programs and meet federal requirements, and transform transit to meet the mobility, equity, climate and safety challenges facing communities and the nation.

EXHIBIT III-1a

**TECHNICAL ASSISTANCE AND TRAINING
SUMMARY ANALYSIS OF CHANGE FROM FY 2021 TO FY 2022
Appropriations, Obligations, Limitations, and Exempt Obligations
(\$000)**

	Changes from FY 2021 to FY 2022 (\$000)	Changes from FY 2021 to FY 2022 (FTE)
FY 2021 ENACTED	\$7,500	-
FY 2022 REQUEST	\$7,500	-

Detailed Justification for the Technical Assistance Program

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

FY 2022 – TECHNICAL ASSISTANCE AND TRAINING - BUDGET REQUEST (\$000)

PROGRAM ACTIVITY	FY 2020 ACTUAL	FY 2020 CARES Act	FY 2021 ENACTED	FY 2021 CRRSAA	FY 2021 American Rescue Plan	FY 2022 PRESIDENTS BUDGET
Technical Assistance and Training	\$5,000	\$-	\$7,500	\$-	\$-	\$7,500

For FY 2022, FTA is requesting \$7.5 million for technical assistance and workforce programs and projects working closely with public transit agencies and nonprofit cooperative agreement partners.

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

This program enables FTA to provide technical assistance, workforce development, standards, and training to the public transportation industry. This funding will support projects and programs in two of these areas: technical assistance and workforce development. These activities will provide technical assistance to transit agencies so that they can transform transit to implement innovative, sustainable, and resilient solutions and set transit up to be “future proofed”. Additionally, technical assistance projects will address equity and climate change goals. Funds will also continue to support the new workforce development center to retain, recruit, reskill and upskill transit staff to support transit operations and advanced technologies as well as traditional transit roles as public transit agencies face significant retirements. From a frontline workforce perspective, one major area is assisting public transit agencies to have the right personnel who can operate and maintain climate-friendly, low and zero emission vehicles.

These activities will promote best practices across mobility, accessibility, asset management and maintenance, advanced technology, sustainability, resilience, and operations to allow public transit agencies to more effectively and efficiently provide public transportation service.

These funds will foster a competent and capable transportation workforce: new infrastructure and advances in technology mixed with shortages for frontline workforce necessitate a much stronger and deeper financial commitment to create and sustain workforce programs. With the potential of agencies to use ½ of 1% of their formula grants for workforce initiatives, agencies need support from FTA to help identify the most promising practices that enable them to hire, train, and retain a high-quality diverse workforce. FTA’s new Transit Workforce Development Technical Assistance Center (TWC) will be a new resource to monitor transit workforce needs, develop a strategic plan to address those needs, and help agencies hire, train, and retain the diverse workforce needed for today and tomorrow. As an example, the TWC will provide targeted workforce development technical assistance to agencies to promote more effective and efficient training of frontline workers involved in public transportation maintenance and operations, which is needed to support transformations in public transportation services and assets; and implement technical assistance activities through

collaborative partnerships between transit agency management and labor, including apprenticeships, thereby providing an opportunity to begin addressing social inequities that exist in public transit and creating diversity within and among the transit industry workforce. The TWC will also support transit agencies as they transition to new, climate-friendly technologies, such as low and no emission vehicles; transit automation; real-time smart systems; and new service models. Especially as the administration focuses on building back better, there will be many exciting new opportunities presented by advanced technologies for the transit workforce – good paying jobs with the potential for strong, long-term career paths.

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

- Provides assistance to the transit industry to reskill and upskill transit agency staff to operate and maintain low and zero emission vehicles, working towards developing a fully zero-emission transit fleet over the next few decades.
- Help public transit agencies retain and recruit a diverse workforce capable of providing all aspects of agency services.
- Establish and promote promising practices to further equitable, accessible mobility in public transit systems.
- Develop useful resources to help transit agencies move from fossil fuel to zero-emissions fleets including information on how to choose the right zero-emission bus; how to plan, deploy, and maintain charging infrastructure; and how to develop agreements with utility companies.

Investments in workforce initiatives reduces costs and increases additional revenue opportunities for transit agencies. Increased workforce retention saves operational costs and improves customer service. Additionally, recruiting and retaining enough staff, and reskilling and upskilling those staff members helps transit agencies put more innovative, climate-friendly services into the community and produces more jobs that brings increased revenue to communities and principalities. Technical assistance centers provide critical information, assistance, outreach, and subject matter expertise that augment public transit agency capabilities and often provides support to help agencies tailor programs to their specific needs in critical areas.

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Section 4 – Research, Development and Technology

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**FEDERAL TRANSIT ADMINISTRATION
RESEARCH, DEVELOPMENT AND TECHNOLOGY
(\$000)**

Program	FY 2020 Actual	FY 2021 Enacted	FY 2022 President's Budget	Applied	Tech Transfer	Facilities	Experimental Development	Major Equipment, R&D Equipment
TRANSIT FORMULA GRANTS								
PUBLIC TRANSPORTATION INNOVATION								
<i>Mobility Innovation Program</i>	\$12,416	\$3,672						
<i>Small Business Innovation Research Program</i>	\$640	\$640						
<i>Infrastructure Program</i>	\$2,736	\$6,480						
<i>Transit Cooperative Research Program (TCRP)</i>	\$5,000	\$5,000						
<i>Safety Research and Demonstration (SRD), Innovations in Transit Public Safety and Integrated Safety Systems Innovation.</i>	\$5,208	\$10,208						
<i>Technology Transfer and Performance</i>	\$2,000	\$2,000						
Subtotal, Transit Formula Grants	\$28,000	\$28,000						
TRANSIT INFRASTRUCTURE GRANTS								
<i>Low to No Emissions Bus Testing and Research - Innovative Mobility Solutions)</i>	\$3,000							
<i>Small Business Innovative Research</i>	\$176							
<i>Research - Innovative Mobility Solution</i>	\$5,324	\$1,000						
<i>Research - Accelerate Innovative Mobility Initiatives</i>		\$1,000						
Subtotal, Transit Infrastructure Grants	\$8,500	\$2,000						
TRANSIT RESEARCH								
<i>Research Program</i>			\$29,040	\$20,000			\$9,040	
<i>Small Business Innovation Research Program</i>			\$960				\$960	
Subtotal, Transit Research			\$30,000	\$20,000			\$10,000	
TOTAL FEDERAL TRANSIT ADMINISTRATION	\$36,500	\$30,000	\$30,000	\$20,000			\$10,000	

FY 2022 Exhibit and Narrative Justification
Public Transportation Innovation Title 49 U.S.C. §5312

The FY 2022 budget includes \$30 million of General Funds for transformative research to support New Mobility Trends, research that accelerates the adoption of zero-emission buses, and Safety Innovations research. This program provides funding for projects and activities to advance equitable, accessible innovative mobility; supports the administration’s climate change goals by accelerating the adoption of zero-emission buses and associated electrification infrastructure; and support the administration’s safety goals, especially as they relate to addressing disproportional impacts of assaults, injuries, and deaths in marginalized communities.

The FTA's support of public transportation in the United States consists primarily of technical and financial assistance for capital investment and operations. A series of three federal pandemic relief funding packages provided a financial lifeline for transit agencies to sustain payroll and provide essential transportation service during the COVID-19 pandemic. As America transitions to a post-pandemic future, research and innovation will play an increasingly important role in helping transit reinvent itself and adapt to new work and travel patterns while tackling historic inequities, reducing greenhouse gas emissions, and accelerating equitable economic growth.

FTA’s FY 2022 priorities address the administration’s priorities and, often, build upon previous research to address these priorities. From a safety perspective, recent research and demonstration projects provided the transit industry with innovative tools and practices (such as track worker warning systems) to operate transit systems in a safer manner and with an improved safety culture. A new focus – mobility – will build upon the additional funding invested in these areas to delve deeper into the issues that affect equity in mobility and enhance travelers to make climate-smart decisions. Mobility research will also examine economic inclusion as well as transformation and “future proofing.” The FTA’s research on innovative infrastructure will shift to focusing heavily to support public transit agencies achieve zero-emissions operations to support the administration climate change goals.

Industry stakeholders have embraced the technologies developed through FTA’s research projects. As of the summer of 2020, almost half of the industry stakeholders who demonstrated FTA-sponsored technology reported that they plan to adopt it into their ongoing operations. Just as the public transit industry is working to increase the use of data science methods to analyze and understand their activities, FTA launched a major data-analytic initiative several years ago. One of the major outcomes of this effort, to develop business intelligence tools, is the ability to track and analyze a number of research results.

Summary of Research Programs

Fiscal Year 2020

The major activities for FTA's research program in FY2020 were to finalize notices of funding opportunity for the demonstration programs that were competed and announced in FY2021. Additionally, FTA continued to manage the over \$100 million in active research programs across the three priorities of safety, infrastructure, and mobility innovation. FTA also worked closely with the public transit industry and the Transit Vehicle Innovation Program to enhance the Low or No Emission Bus and Component Testing Centers' activities.

In FY 2020, FTA continued to work to solve the problem of measuring success for our research programs. The FTA worked to finalize specific measures and targets to assess success on a yearly basis for public transportation innovation research. In FY 2019 and FY 2020, FTA invested in and built out a strong analytical capability through data science techniques, resources, and personnel. The FTA's data scientist is the lead for managing the collection and analysis of research data; and monitoring anticipated outcomes.

Beginning in FY2021, FTA will implement a performance measurement framework for its three current research priority areas: safety, mobility innovation, and infrastructure. The FTA drafted measures of efficiency, effectiveness, and quality for each priority. The performance measures follow FTA's nested research framework approach where the results of specific projects feed into measures for broader research topics. The FTA identified output and outcome measures. The FTA created an inventory of datasets that include transit service provided (i.e. from FTA's National Transit Database – NTD), travel patterns (using data from the Census and the National Household Travel Survey), the location of transit service (using the National Transit Map), and data that relates transit usage to environmental and health outcomes. This inventory may be a source of future performance measures and analysis to identify new research needs or the impact of FTA funded services. The FTA also developed a technology inventory identifying and categorizing the approximately 45 technologies and the implementation status of each technology on a quarterly basis. For demonstration programs, FTA is statutorily required to have an independent evaluation of the program within two years of implementation.

Fiscal Year 2021

Since January 2020, FTA issued and announced the recipients of over \$60 million of funding across the previous three research priority areas: safety, mobility innovation, and infrastructure. Thirty million was for projects assessing solutions in mobility innovation – especially transit automation, mobility on demand, and integrated cashless/contactless payment. FTA continues to support projects for the Accessible Transportation Technology Research Program.

To address the public transit issues associated with the COVID-19 Public Health Emergency, FTA announced awards for almost \$16 million to study areas such as vehicle, facility, equipment, and infrastructure cleaning and disinfection; exposure mitigation measures; contactless payment; and measures that strengthen public confidence in transit such as real-time information on crowding using social media – crowd sourcing etc.

About \$7 million was announced for a continuation of FTA's safety research demonstrations that utilize advanced technology to improve safety in transit systems – this program focuses on safety in rail crossings, and trespassing and mitigating suicides. Another infrastructure research program was the \$2 million real-time asset management program which is awarding cooperative agreements to some transit agencies to assess the use of advanced technologies such as sensors, cameras, digital twinning to ensure effective maintenance of core assets in public transportation. Finally, \$1.6 million funded several bus compartment redesign projects to improve safety and human factors associated with bus workstation areas including changes that help a bus operator have better visibility while turning the bus, protection from assaults, and greater rider as well as pedestrian safety.

The FTA also completed the implementation of a robust data-analytic strategy and is now tracking performance measures across all three research areas on a quarterly basis.

Fiscal Year 2022

The FY 2022 budget includes \$30 million from the general fund for a Transit Research.

In FY 2022, FTA's Safety research program will continue to provide leadership and vision in the development and management of initiatives that improve the safety of passengers, employees, emergency responders, and all others who encounter the public transportation system, especially in infectious disease prevention. The FTA will continue to support research on new technologies and practices that can reduce fatalities and injuries, reduce the spread of infectious diseases, improve safety culture, identify risks, and assess processes that can help transit agencies operate public systems in a safer manner to reduce injuries and fatalities. The COVID-19 global health crisis affected transit agencies across the U.S., including drastically decreasing ridership and infecting and killing transit workers. The FTA anticipates that this research will help prevent future pandemics from having a drastic effect on transit systems in the U.S. In addition, new safety research projects will explore inequities and disproportionate impacts of assaults, injuries, and fatalities of individuals of marginalized communities who work in or utilize public transit services.

The FY 2022 budget will build upon prior years' funding to examine ways to utilize advanced technologies in the evolving mobility ecosystems, especially related to improving the customer's experience using artificial intelligence; ensuring racial equity and economic inclusion; and validating the efficacy of mobility performance metrics for integrated mobility. Another area of focus is public involvement and community partnerships to develop local data that can inform equity analyses and subsequently improve transportation investment decisions. Additionally, as public transit agencies move to zero-emission fleets, there is an opportunity to find ways to incentivize travelers to make smart climate choices, and for transit agencies to be cognizant of promising practices in operations to support climate change and economic vitality for their communities in their mobility management activities. Finally, as transit agencies reinvent themselves post the COVID-19 public health emergency, FTA can help develop various operational concepts of what a transit-led integrated mobility ecosystem may look like, how it may function, demonstrate the technical and institutional feasibility of these concepts, and measure impacts, including equity and climate outcomes. Much of this work may be able to build upon outcomes from the mobility innovation projects awarded in FY2021.

In FY 2022, FTA will embark on a major new investment in zero-emission charging infrastructure and operations to support the administration's climate change goals by accelerating the adoption of zero-emission buses and associated electrification infrastructure. This builds upon the results of previous low or no emissions research, including the \$76 million national fuel cell bus program. Additionally, FTA will explore how advanced technologies such as digital twinning, artificial intelligence, modeling/simulation, robotics, and the use of unmanned aerial systems can help public transit agencies build back better, and enhance public transportation systems across the United States.

For FY 2022, the Technology Transfer and Performance program will continue to facilitate the implementation of research and technology development and to advance the interests of public transportation; monitor, report on, and improve outreach efforts to drive research to practice; enhance the ability of transit agencies to deploy the results of research and technology investments, and assess any governance barriers identified in demonstration programs; and develop a framework through which the implementation of research and technology development that advances the interests of public transportation is disseminated throughout the nation.

In FY 2022, the Small Business Innovations Research (SBIR) programs will receive \$960 thousand and FTA intends to ensure that the topics for SBIR projects directly address the administrations goals to grow more U.S. based businesses in key markets associated with achieving zero-emissions in public transportation, and address economic equity by supporting small businesses in historically disadvantaged communities.

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**FY 2022 Budget
Information Technology
Department of Transportation
Federal Transit Administration
Budget Authority
(\$000)**

Budget Account	FY 2020 ACTUAL	FY 2021 ENACTED	FY 2022 PRESIDENT'S REQUEST
Administrative Expenses	\$9,897	\$15,518	\$16,228
Commodity IT, SS, WCF	\$7,814	\$7,992	\$7,937
Programmatic FTA IT	\$730	\$6,146	\$6,911
IT- Other FTA Office Contributions	\$1,353	\$1,380	\$1,380
Transit Formula Grants- Oversight Funding	\$22,128	\$16,453	
Programmatic FTA IT	\$16,465	\$16,240	
Administrative-FTA IT	\$5,460	\$0	
IT- Other FTA Office Contributions	\$203	\$213	
Total	\$32,025	\$31,971	\$16,228

The Federal Transit Administration (FTA) is requesting **\$16.23 million** in FY 2022 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 in shared service solutions.

OCIO will continue to provide all modes Commodity IT Shared Services in FY 2022 to achieve economies of scale and increase consistency of cybersecurity protections across the Department. Commodity IT Shared Services include IT functions and activities dedicated to basic support services, including network operations, end-user computing, telecommunications services, and server operations.

FTA requests **\$7.94 million** from the Administrative Expenses account for Commodity IT Shared Services. FTA's share was 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.

- FTA requests 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 which are provided through the Working Capital Fund.

FTA IT

The following major mission-critical IT system will be maintained by FTA in FY 2022. This system is only a subset of all IT systems that support FTA and is reported in OMB's CIMS tool.

- **FTA General Support Systems (GSS):** FTA requests **\$3.95 million** in the Administrative Funding account for the development, modernization, and enhancement (DME), and operations and maintenance (O&M) of this mission-critical project.
 - GSS supports several FTA business support applications, including the FTA website and FTA local support for Microsoft Teams and Microsoft SharePoint activities.

FTA- Other IT Support

The following critical IT services will be maintained by FTA in FY 2022 for other programs, projects, FTA regional offices and transition activities to Departmental enterprise shared service commodity IT solutions. FTA requests an additional \$1.38 million in the Administrative Funding account.

- Software licensing support
- Telecommunications maintenance and updates through ITSS
- Laptop replacement and refresh purchases through ITSS
- Miscellaneous IT supply purchases
- Minor business applications
- FTA contributions to Departmental systems

ADMINISTRATIVE PROVISIONS

[(INCLUDING RESCISSIONS)]

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 "Capital Investment Grants" of the Federal Transit Administration for projects specified in this Act or identified in the explanatory statement described in section 4 (in the matter preceding division A of this consolidated Act) not obligated by September 30, [2024] 2025, 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, [2020] 2021, 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. None of the funds made available by this Act or any other Act shall be used to adjust apportionments or withhold funds from apportionments pursuant to section 9503(e)(4) of the Internal Revenue Code of 1986 (26 U.S.C. 9503(e)(4)).

[SEC. 164. 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. None of the funds made available by this Act 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 section 5309 of title 49, United States Code.]

[SEC. 166. None of the funds made available in this Act may be used by the Department of Transportation to implement any policy that requires a capital investment grant project to receive a medium or higher project rating before taking actions to finalize an environmental impact statement.]

[SEC. 167. 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 rescinded: Provided, That no amounts may be rescinded from amounts that were designated by the Congress as an emergency or disaster relief requirement pursuant to a concurrent resolution on the budget or the Balanced Budget and Emergency Deficit Control Act of 1985.]

[SEC. 168. Of the unobligated amounts made available for the Job Access and Reverse Commute program, as authorized by Public Law 105–178, as amended, a total of \$320,230 are hereby permanently rescinded.]

[SEC. 169. 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 rescinded.]

SEC. [169A]/64. Any unexpended balances from amounts previously appropriated for low or no emission vehicle component assessment under 49 U.S.C. 5312(h) under the headings "Transit Formula Grants" and "Transit Infrastructure Grants" in fiscal years 2016 through 2020 may be used by the facilities selected for such vehicle component assessment for capital projects in order to build new infrastructure and enhance existing facilities in order to expand bus and component testing capability, in accordance with the industry stakeholder testing objectives and capabilities as outlined through the work of the Federal Transit Administration Transit Vehicle Innovation and Deployment Centers program and included in the Center for Transportation and the Environment report submitted to the Federal Transit Administration for review. Federal Transit Administration for review.