

**Department of Transportation**  
**American Rescue Plan (ARP) Act**  
**FY 2021 Year-End Financial Summary**  
*(in thousands)*

<b>Operating Administration</b>	<b>Appropriation</b>	<b>Budget Authority</b>	<b>Made Available</b>	<b>Obligations</b>	<b>Outlays</b>	<b>Unobligated Balance</b>	<b>% Obligated</b>	<b>% Outlaid</b>
<b>Federal Aviation Administration</b>		<b><u>\$8,009,000</u></b>	<b><u>\$8,000,628</u></b>	<b><u>\$4,341,497</u></b>	<b><u>\$333,607</u></b>	<b><u>\$3,667,503</u></b>	<b><u>54%</u></b>	<b><u>4%</u></b>
	Airport Improvement Program (M)	\$8,000,000	\$8,000,000	\$4,340,869	\$332,979	\$3,659,131	54%	4%
	Employee Leave Fund (M)	\$9,000	\$628	\$628	\$628	\$8,372	7%	7%
<b>Federal Transit Administration</b>		<b><u>\$30,461,356</u></b>	<b><u>\$28,223,794</u></b>	<b><u>\$7,778,574</u></b>	<b><u>\$805,727</u></b>	<b><u>\$22,682,782</u></b>	<b><u>26%</u></b>	<b><u>3%</u></b>
	Transit Infrastructure Grants (M)	\$30,461,356	\$28,223,794	\$7,778,574	\$805,727	\$22,682,782	26%	3%
<b>Federal Railroad Administration</b>		<b><u>\$1,700,000</u></b>	<b><u>\$1,698,000</u></b>	<b><u>\$1,698,000</u></b>	<b><u>\$1,698,000</u></b>	<b><u>\$2,000</u></b>	<b><u>100%</u></b>	<b><u>100%</u></b>
	NE Corridor Grants to Amtrak (M)	\$970,388	\$969,388	\$969,388	\$969,388	\$1,000	100%	100%
	National Network Grants to Amtrak (M)	\$729,612	\$728,612	\$728,612	\$728,612	\$1,000	100%	100%
<b>Office of the Secretary of Transportation</b>		<b><u>\$3,000,000</u></b>	<b><u>\$3,000,000</u></b>	<b><u>\$413,368</u></b>	<b><u>\$187,588</u></b>	<b><u>\$2,586,632</u></b>	<b><u>14%</u></b>	<b><u>6%</u></b>
	Aviation Manufacturing Jobs Protec. (M)	\$3,000,000	\$3,000,000	\$413,368	\$187,588	\$2,586,632	14%	6%
<b>Department of Transportation Total</b>		<b>\$43,170,356</b>	<b>\$40,922,422</b>	<b>\$14,231,439</b>	<b>\$3,024,921</b>	<b>\$28,938,917</b>	<b>33%</b>	<b>7%</b>

**Federal Aviation Administration:** ARP includes \$8 billion in funding for relief to airports and rent relief to eligible airport concessions and \$9 million to support FAA employees COVID-19 related leave.

**FY 2021 Q4 Accomplishments:**

- On June 22, FAA announced Airport Rescue Grants allocations, which provided roughly \$8 billion in funding for relief to 3,047 airports, including \$800 million for rent relief to eligible airport concessions.
- FAA has obligated 712 general grants for 1,147 airports totaling \$4.3 billion, representing over half of the total appropriation, and expended over \$330 million.

**FY 2022 Q1 Outlook:**

- FAA will continue processing remaining general and concessions relief grant applications. FAA will continue reimbursing airport sponsors' eligible expenses. FAA will issue updated guidance on concessions relief.

**Federal Transit Administration:** The \$30.5 billion received by FTA through ARP supports existing programs such as the urbanized and rural transit formula programs to offset lost revenue. ARP funds also support intercity bus operators and include \$2.2 billion for urban and rural areas that require additional assistance.

**FY 2021 Q4 Accomplishments:**

- FTA has allocated \$28.2 billion across 4 programs to provide relief for transit agencies impacted by COVID-19.
- FTA has supported the obligation of \$7.8 billion in a total of 248 grants across the country. For example, FTA awarded \$330.8 million to the San Francisco Bay Area Rapid Transit District to fund critical continued public transit operations operating expenses with ARP funds.
- FTA has disbursed over \$805 million to recipients to support expenses incurred in operating continued transit service to meet the needs of essential employees and underserved communities reliant on transit.

- On September 7, FTA made \$2.2 billion in ARP Additional Assistance funds available through a Notice of Funding Opportunity (NOFO), and on September 14, FTA made \$25 million in ARP Route Planning Restoration funding available through a NOFO.

#### **FY 2022 Q1 Outlook:**

- In the next three months, FTA expects to obligate over \$1.8 billion in additional ARP funding.

**Federal Railroad Administration:** Similar to previous COVID-19 supplementals, the \$1.7 billion received by FRA through ARP is intended to offset lost revenue and support continued operations for Amtrak.

#### **FY 2021 Q4 Accomplishments:**

- Through August, Amtrak had expended over \$302 million in ARP funds. Amtrak anticipates carrying over ARP funds into FY 2022, due to prioritizing expenditure of the earlier CRSSA appropriation and stronger than forecasted travel demand in the latter half of FY 2021. The carryover ARP funds will continue to offset lost revenues in FY 2022 due to COVID-19.
- Amtrak ridership continues to improve, with more rapid recovery month-to-month since vaccines became widely available in the spring. Official ridership numbers for July were over 1.8 million passengers, the highest since the pandemic began and approximately 62 percent of Amtrak's equivalent July 2019 ridership. Through July, total fiscal year ridership was 8.8 million passengers, which already exceeded Amtrak's initial FY 2021 projection of 8.6 million passengers for the full fiscal year. The increased ridership is due to both increased demand and increasing the number of trains operating across the network. Amtrak added over 130 weekly round trips since the beginning of July on the Northeast Corridor and State-Supported service lines (Long Distance routes were fully restored by June). Only eight of Amtrak's routes are not operating at pre-COVID service levels.
- From a financial perspective, through July, Amtrak had incurred a net operating loss of \$910 million and is on pace to beat their initial \$1.5 billion forecasted loss.

#### **FY 2022 Q1 Outlook:**

- Amtrak ridership typically peaks in the summer months and decreases in the winter. While Amtrak may not be able to sustain the same level of month-over-month growth experienced since April, Amtrak is forecasting continued ridership recovery into FY 2022. However, the COVID delta variant may be affecting recent demand, as unofficial ridership data for August and September showed decreases from July highs.
- Amtrak and its state partners plan to continue restoring service frequencies on the Northeast Corridor and State-Supported service lines during FY 2022, with capacity expected to reach approximately 95 percent of FY 2019 levels.

**Office of the Secretary of Transportation:** ARP included a new program, the Aviation Manufacturing Jobs Protection (AMJP) Program, which provides \$3 billion to help cover employee compensation at eligible aircraft manufacturing, maintenance, and repair businesses.

#### **FY 2021 Q4 Accomplishments:**

- Opened the formal application process just over 90 days after enactment.
- Publicly announced 313 eligible awards, totaling \$482 million in AMJP financial assistance, to help protect more than 22,500 U.S. workers against involuntary layoff, furloughs, or reductions in pay or benefits. These awards were offered to businesses based in 37 states plus Puerto Rico.
- Approximately 60 percent of these awards were for businesses with fewer than 100 employees, and 80 percent for businesses with fewer than 250 employees.

- DOT announced these awards less than six months after enactment.
- OST obligated approximately \$404 million prior to year-end, and authorized disbursements totaling \$202 million (of which \$187 million were processed by year-end).

**FY 2022 Q1 Outlook:**

- Complete evaluation of a second round of applications, which DOT decided to invite because of apparent confusion about the relationship between the AMJP Program and the Employee Retention Tax Credit (ERTC) program.
- DOT anticipates publicly announcing additional awards in early-to-mid November, with the intention of officially awarding the agreements by late November, followed promptly by initial disbursements.
- DOT will also be soliciting an independent program evaluation, focused particularly on the number of applications received and factors that may have affected industry response. Preliminary information suggests that the principal issue was timing—i.e., some businesses and associations have indicated that the economic recovery is already far enough along that some eligible businesses no longer needed this particular type of financial assistance.

<b>Department of Transportation</b> <b>Coronavirus Response and Relief Supplemental Appropriations (CRRSA) Act</b> <b>FY 2021 Year-End Financial Summary</b> <i>(in thousands)</i>								
<b>Operating Administration</b>	<b>Appropriation</b>	<b>Budget Authority</b>	<b>Made Available</b>	<b>Obligations</b>	<b>Outlays</b>	<b>Unobligated Balance</b>	<b>% Obligated</b>	<b>% Outlaid</b>
<b>Federal Aviation Administration</b>		<b><u>\$2,000,000</u></b>	<b><u>\$2,000,000</u></b>	<b><u>\$1,999,034</u></b>	<b><u>\$580,791</u></b>	<b><u>\$966</u></b>	<b><u>100%</u></b>	<b><u>29%</u></b>
	Airport Improvement Program (D)	\$2,000,000	\$2,000,000	\$1,999,034	\$580,791	\$966	100%	29%
<b>Federal Highway Administration</b>		<b><u>\$10,000,000</u></b>	<b><u>\$10,000,000</u></b>	<b><u>\$4,274,192</u></b>	<b><u>\$1,924,990</u></b>	<b><u>\$5,725,808</u></b>	<b><u>43%</u></b>	<b><u>19%</u></b>
	Highway Infrastructure Programs (D)	\$10,000,000	\$10,000,000	\$4,274,192	\$1,924,990	\$5,725,808	43%	19%
<b>Federal Transit Administration</b>		<b><u>\$14,000,000</u></b>	<b><u>\$14,000,000</u></b>	<b><u>\$7,262,025</u></b>	<b><u>\$3,769,948</u></b>	<b><u>\$6,737,975</u></b>	<b><u>52%</u></b>	<b><u>27%</u></b>
	Transit Infrastructure Grants (D)	\$14,000,000	\$14,000,000	\$7,262,025	\$3,769,948	\$6,737,975	52%	27%
<b>Federal Railroad Administration</b>		<b><u>\$1,000,000</u></b>	<b><u>\$1,000,000</u></b>	<b><u>\$1,000,000</u></b>	<b><u>\$998,985</u></b>	<b><u>\$0</u></b>	<b><u>100%</u></b>	<b><u>100%</u></b>
	NE Corridor Grants to Amtrak (D)	\$655,431	\$655,431	\$655,431	\$655,431	\$0	100%	100%
	National Network Grants to Amtrak (D)	\$344,569	\$344,569	\$344,569	\$343,554	\$0	100%	100%
<b>Office of the Secretary of Transportation</b>		<b><u>\$23,332</u></b>	<b><u>\$23,332</u></b>	<b><u>\$23,332</u></b>	<b><u>\$23,281</u></b>	<b><u>\$0</u></b>	<b><u>100%</u></b>	<b><u>100%</u></b>
	Essential Air Service (M)	\$23,332	\$23,332	\$23,332	\$23,281	\$0	100%	100%
	Salaries and Expenses (SCASDP - D)	[\$4,000]	[\$4,000]	[\$4,000]	\$0	\$0	0%	0%
<b>Department of Transportation Total</b>		<b>\$27,023,332</b>	<b>\$27,023,332</b>	<b>\$14,558,583</b>	<b>\$7,297,995</b>	<b>\$12,464,749</b>	<b>54%</b>	<b>27%</b>

#### **CRRSA Implementation and Execution through Q4 FY 2021:**

- FAA announced the availability of CRRSA grant funding on February 12. Including the allocation of unallocated CARES funds, CRRSA provided roughly \$2.28 billion in funding for relief to 3,048 airports, including \$200 million for airport concessions relief. As of September 30, FAA has obligated over 2,087 general grants for 2,968 airports and 326 concessions grants, representing over 99.9% of appropriated funds, and expended over \$580 million. Approximately \$1 million, mostly declined concessions rent relief allocations, remain and will be returned to the Treasury. Although FAA reallocated approximately \$1.3 million in declined general grant funds, the reallocation of concessions funds would have resulted in very small amounts going to each airport and would have been resource intensive for both FAA and airports to administer
- FHWA has apportioned all Highway Infrastructure Program funding to the States, and has provided \$48 million directly to Tribes, while working with the Bureau of Indian Affairs (BIA) at the Department of Interior to provide \$66 million for those Tribes with direct agreements with BIA. To date FHWA has obligated \$4.2 billion to 46 States for Surface Transportation Block Grants.
- FTA made CRRSA grant funding available in January 2021 and has awarded 284 grants for \$7.3 billion
- FRA obligated and disbursed CRRSA funds to Amtrak in February 2021. Through August, Amtrak had expended about \$932 million (93%) of the \$1 billion provided.
- OST awarded \$4M in additional SCASDP grants using CRRSA funding on July 27<sup>th</sup>, 2021. Funds were obligated in September.

#### **Expected Activity through Q1 FY 2022:**

- FAA will continue reimbursing airport sponsors' eligible expenses.
- FTA is actively processing CRRSA grants, with approximately 75 grants currently under reviewed requesting nearly \$5 billion.
- FRA will continue to track expenditure of CRRSA funding for Amtrak.

<b>Department of Transportation</b> <b>Coronavirus Aid, Relief, and Economic Security (CARES) Act</b> <b>FY 2021 Year-End Financial Summary</b> <i>(in thousands)</i>								
<b>Operating Administration</b>	<b>Appropriation</b>	<b>Budget Authority</b>	<b>Made Available</b>	<b>Obligations</b>	<b>Outlays</b>	<b>Unobligated Balance</b>	<b>% Obligated</b>	<b>% Outlaid</b>
<b>Federal Aviation Administration</b>		<b><u>\$10,025,000</u></b>	<b><u>\$10,024,919</u></b>	<b><u>\$9,812,927</u></b>	<b><u>\$7,474,396</u></b>	<b><u>\$212,073</u></b>	<b><u>98%</u></b>	<b><u>75%</u></b>
	Operations (D)	\$25,000	\$24,919	\$24,919	\$23,922	\$81	100%	96%
	Airport Improvement Program (D)	\$10,000,000	\$10,000,000	\$9,788,008	\$7,450,474	\$211,992	98%	75%
<b>Federal Transit Administration</b>		<b><u>\$25,000,000</u></b>	<b><u>\$25,000,000</u></b>	<b><u>\$24,484,708</u></b>	<b><u>\$20,519,349</u></b>	<b><u>\$515,292</u></b>	<b><u>98%</u></b>	<b><u>82%</u></b>
	Transit Infrastructure Grants (D)	\$25,000,000	\$25,000,000	\$24,484,708	\$20,519,349	\$515,292	98%	82%
<b>Federal Railroad Administration</b>		<b><u>\$1,018,250</u></b>	<b><u>\$1,018,250</u></b>	<b><u>\$1,018,250</u></b>	<b><u>\$1,018,250</u></b>	<b><u>\$0</u></b>	<b><u>100%</u></b>	<b><u>100%</u></b>
	NE Corridor Grants to Amtrak (D)	\$492,000	\$492,000	\$492,000	\$492,000	\$0	100%	100%
	National Network Grants to Amtrak (D)	\$526,000	\$526,000	\$526,000	\$526,000	\$0	100%	100%
	Safety and Operations (D)	\$250	\$250	\$250	\$250	\$0	100%	100%
<b>Office of the Secretary of Transportation</b>		<b><u>\$57,753</u></b>	<b><u>\$57,753</u></b>	<b><u>\$57,753</u></b>	<b><u>\$56,302</u></b>	<b><u>\$0</u></b>	<b><u>100%</u></b>	<b><u>97%</u></b>
	Essential Air Service (M)	\$56,000	\$56,000	\$56,000	\$54,549	\$0	100%	97%
	Salaries and Expenses (D)	\$1,753	\$1,753	\$1,753	\$1,753	\$0	100%	100%
<b>Federal Motor Carrier Safety Administration</b>		<b><u>\$150</u></b>	<b><u>\$150</u></b>	<b><u>\$150</u></b>	<b><u>\$150</u></b>	<b><u>\$0</u></b>	<b><u>100%</u></b>	<b><u>100%</u></b>
	Operations and Programs (M)	\$150	\$150	\$150	\$150	\$0	100%	100%
<b>Maritime Administration</b>		<b><u>\$4,134</u></b>	<b><u>\$3,844</u></b>	<b><u>\$3,844</u></b>	<b><u>\$3,778</u></b>	<b><u>\$290</u></b>	<b><u>93%</u></b>	<b><u>91%</u></b>
	Operations & Training (D)	\$3,134	\$2,844	\$2,844	\$2,778	\$290	91%	89%
	State Maritime Academy Operations (D)	\$1,000	\$1,000	\$1,000	\$1,000	\$0	100%	100%
<b>Office of the Inspector General</b>		<b><u>\$5,000</u></b>	<b><u>\$425</u></b>	<b><u>\$425</u></b>	<b><u>\$425</u></b>	<b><u>\$4,575</u></b>	<b><u>9%</u></b>	<b><u>9%</u></b>
	Salaries and Expenses (D)	\$5,000	\$425	\$425	\$425	\$4,575	9%	9%
<b>Department of Transportation Total</b>		<b><u>\$36,110,287</u></b>	<b><u>\$36,105,341</u></b>	<b><u>\$35,378,057</u></b>	<b><u>\$29,072,651</u></b>	<b><u>\$732,230</u></b>	<b><u>98%</u></b>	<b><u>81%</u></b>

#### **CARES Implementation and Execution through Q4 FY 2021:**

- CARES funding is almost fully obligated, with approximately \$700 million remaining between FAA and FTA.
- FAA has obligated 2,148 grants to 3,229 airports totaling approximately \$8.9 billion, which includes 41 development addenda totaling \$163 million, and has expended over \$7.4 billion (nearly three-quarters of the total appropriation).
- FTA has outlaid approximately 82% of the CARES Act funding and is continuing work on liquidating obligations.
- Amtrak has fully expended all CARES Act funding provided by FRA.
- OIG obligated additional funding to support CARES Act oversight in September 2021.

#### **Expected Activity through Q1 FY 2022:**

- FAA will continue reimbursing airport sponsors' eligible expenses. There are nine airports that have not yet applied for or declined their allocations. FAA will continue to process those applications, as well as applications for development addenda, as they are received.
- Similarly, FTA continues to award CARES Act grants, and is currently processing about 64 applications for over \$162 million.
- Continued obligations from OIG will occur as oversight and review of CARES Act and other COVID-supplemental funding is initiated.