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FEDERAL TRANSIT ADMINISTRATION

FY 2016 BUDGET SUBMISSION

Administrator's Overview

For FY 2016, FTA requests \$18.4 billion, an increase of \$7.4 billion over the FY 2015 enacted level. This request aligns with the first year of the Administration's multi-year reauthorization proposal, the GROW AMERICA Act. These resources are needed to fund new transit systems and extensions to existing systems in many communities nationwide that demand them because of population increases and congestion or to address environmental concerns.

These funds will also help FTA address our nation's aging transit infrastructure and the huge rail and bus repair and replacement backlog that will continue to grow unless there is a commitment to higher funding levels proposed in the Administration's GROW AMERICA Act, and funding provided by state and local governments. It is important that we make all transit systems more reliable, efficient, desirable, and safer for the tens of millions of travelers who use them daily.

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

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

Transit eases bottlenecks on our nation's roadways, particularly in cities where traffic congestion has negative consequences -- including increased shipping times and wasted fuel. Furthermore, supporting transit reduces the nation's risk of falling victim to skyrocketing gas prices over the long-term by offering more Americans--urban, suburban, and rural--the choice to be mobile without having to get into a car and pay for gas.

To deliver a safe, reliable, and adequate public transportation system, FTA's budget focuses on key priorities including: improving safety -- FTA's highest priority; bringing transit assets into a state of good repair; and building system capacity to meet ridership demand. Together, these investments will help to bolster a transit network that improves mobility for all Americans. For safety, the budget includes \$22.8 million in formula funding for FTA's State Safety Oversight

grant program to aid grantees in meeting new transit safety requirements. Funding is also provided for FTA's Office of Safety and Oversight, which sets policies and standards for FTA's transit safety program and oversees compliance with FTA grant requirements.

The President's Budget includes \$5.7 billion in State of Good Repair funds that will be distributed by formula to transit rail systems, bus rapid transit (BRT) systems, and high-intensity motor bus systems that use high-occupancy vehicle lanes, for maintaining a state of good repair. In addition, the budget provides more than \$1.9 billion for the Bus and Bus Facilities grant program. These funds will continue the effort to focus on the 40 percent of bus assets that are in marginal or poor condition. Consistent with the proposed GROW AMERICA Act, the budget proposes to administer Bus and Bus Facilities funding through both a formula (70 percent) and a discretionary grant program (30 percent).

The budget requests \$3.3 billion to expand or provide new transit service in many communities across the country through FTA's Capital Investment Grants program. This program funds new and expanded transit services to improve capacity for fixed guideway systems in communities nationwide. During a time when many Americans look for alternatives to driving, FTA's budget request continues important and strategic investments in public transportation infrastructure, coupled with new flexibilities to provide specialized services and corridor improvements in communities with real needs.

In addition, the budget request includes \$500 million to support a new Bus Rapid Transit discretionary grant program directed at fast-growing communities. The Rapid Growth Area Transit Program provides quick access to resources to meet the transit needs of cities across the country experiencing moderate to significant population growth. This program will also allow communities to use Federal Highway formula funds as a part of the local funding match and promote a multi-modal transportation solution.

The following is an overview of key priorities in FTA's FY 2016 budget organized by goal in the Department's strategic plan.

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

Landmark legislation, Moving Ahead for Progress in the 21st Century or MAP-21, signed into law by the President on July 6, 2012, made nationwide transit safety standards a reality for the first time and gave FTA a role in helping to ensure the safe operations of transit systems across the country. The Administration's new reauthorization proposal, the GROW AMERICA Act, continues the efforts of MAP-21. This authority directly addresses glaring vulnerabilities faced by the traveling public. While there continues to be considerable concern nationwide about rail transit safety, particularly after recent high-profile collisions and other accidents that killed and injured dozens of passengers and workers and resulted in tens of millions of dollars in property damage, FTA plays an important role in enhancing the safety of transit riders.

As a result of these sweeping changes, FTA is working to ensure that uniform safety standards are in place at transit systems across the country. To support the Safety goal, FTA's request

includes a total of \$203 million. This request includes \$22.8 million to provide operational support for State Safety Oversight programs. With its new proposed authorization and resources, FTA will help address the findings of a Secretarial working group that found a dangerously lacking and haphazard approach to transit safety across the country.

Additionally, the budget includes \$25 million for FTA's Public Transportation Emergency Relief program so that FTA is prepared to quickly aid transit agencies in the wake of a natural disaster. FTA is administering through this program \$10.2 billion in recovery and resiliency funds targeted to transit systems impacted by Hurricane Sandy, but these funds cannot be used for other disasters. Finally, the budget continues \$150 million in funding to address capital needs at the Washington Metropolitan Area Transit Authority with a priority on safety improvements.

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

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

To support the State of Good Repair goal, FTA's request includes a total of \$6.7 billion. This request includes \$5.7 billion for State of Good Repair Formula Grants and almost \$1 billion for Bus and Bus Facilities Grants within the Transit Formula Grants account. These programs focus on restoring and replacing aging transportation infrastructure primarily through formula-based capital investments for fixed guideway systems, buses on high-occupancy vehicle lanes, and other bus systems. Bus and Bus Facilities grants will also help address large bus system capital investments, such as intermodal and maintenance facilities, not provided for under MAP-21.

To ensure that investments are made wisely and improve asset conditions, transit agencies must have a Transit Asset Management plan that tracks projects funded with State of Good Repair Grants. These plans will aid in the management and reporting of the condition of capital assets, as well as enable FTA and grantees to make evidence-based investment decisions. Strategic and targeted investments focused on replacing and rehabilitating aging transit infrastructure are needed to help bring our Nation's bus and rail systems into a state of good repair. Having newer and more reliable track, signal systems, vehicles and stations will help ensure safe and dependable bus and rail transit service demanded by the American public.

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

From a transportation emissions and fuel consumption standpoint, transit sets the standard among transportation modes for environmental sustainability. For this reason, FTA strives to find ways to encourage the public to take transit as well as to make transit systems themselves

more energy efficient. For FY 2016, FTA proposes \$26 million for the Environmental Sustainability goal of which \$25 million supports the Transit Research and Training program. This program supports research activities that improve the safety, reliability, efficiency, and sustainability of public transportation systems through investments in the development, testing, and deployment of innovative technologies, materials, and processes. This funding can be used to provide critical technical assistance to help grantees comply with FTA's program guidelines and requirements.

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

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

To support and enhance mobility, FTA's request includes a total of \$11.2 billion. First, \$500 million is requested for a new Rapid Growth Area Transit Program. This program will support the development of bus rapid transit projects, which may include acquisition of right-of-way or land for purposes of future enhancements to public transportation in the project corridor in communities that are experiencing fast growth which can help the economy but also strains existing infrastructure and can increase air pollution.

The budget also includes \$3.3 billion for Capital Investment Grants -- an increase of \$1.1 billion above the total FY 2015 enacted level. The request will enable FTA to continue to partner with project sponsors around the nation who are undertaking major new projects or extensions to existing projects to expand their transit services. Included in the total is funding for projects that improve the capacity of existing fixed guideway transit services in corridors that are currently over capacity and in need of expansion.

The request provides \$4.5 billion for Urbanized Area Formula grants and \$622 million for the Rural Area Formula program. Both programs provide flexibility for grantees to use funding for job access and reverse commute activities.

Finally, FTA's request includes \$500 million for a new competitive grant program that will encourage innovative solutions to address emerging transportation needs. The Fixing and Accelerating Surface Transportation (FAST) program, jointly administered with the Federal Highway Administration, will provide financial incentives to States and local governments that are implementing transformative reforms to their transportation programs.

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

To support the Quality of Life in Communities goal, FTA's request includes a total of \$162 million. This amount includes \$132 million for transportation investment planning by Metropolitan Planning Organizations (MPOs) and States and \$10 million for planning transit oriented development projects. The FY 2016 budget request also includes \$20 million under its Human Resources and Training efforts authorized under 49 U.S.C. 5322, a \$19.5 million increase over the FY 2015 enacted level. This increase will build new ladders of opportunity by enhancing the quality of life for all Americans; by creating and maintaining a safe, reliable, integrated and accessible transportation network that enhances choices for transportation users; and by providing easy access to employment opportunities and other destinations and promotes positive effects on the surrounding community.

The budget request also supports ladders of opportunity by providing human resources and workforce development programs to the transit industry, including targeting outreach efforts to increase minority and female employment and training and assistance for minority business owners. It will also provide technical assistance to help grantees comply with FTA's program guidelines and requirements.

Finally, the budget request supports improved access to transportation services for individuals with disabilities. The *Americans with Disabilities Act of 1990* (ADA) prohibits discrimination against persons with disabilities in all aspects of life, and applies to all entities, i.e., public or private regardless of funding source. Title II of the ADA extends to the entire operations of a public entity, and includes all stations in transit systems, airports facilities, intercity rail transportation system, and roadway facilities including sidewalks or pedestrian crosswalks. FTA provides guidance and funding to encourage ADA compliance in existing facilities, and also conducts compliance reviews.

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

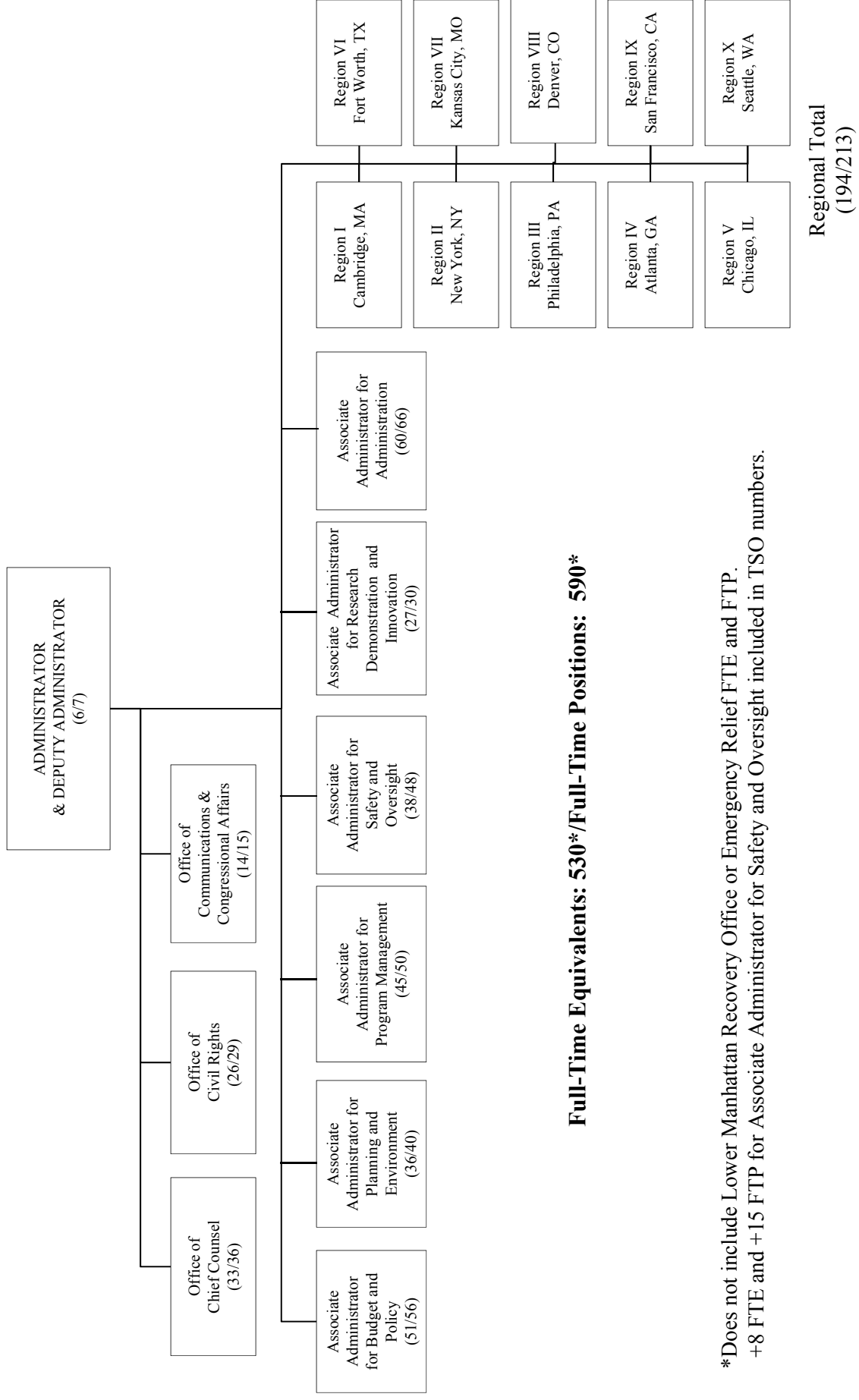
The FY 2016 budget request includes \$114 million for administrative expenses, an \$8.5 million increase over the FY 2015 enacted level. This increase acknowledges the need for effective administration of FTA's grant programs so that we can best support improved mobility across the nation. The budget proposes to fund FTA's Administrative Expenses from the Mass Transit Account of the Transportation Trust Fund instead of the General Fund.

The FY 2016 Budget requests an additional 50 full-time equivalents (FTEs) to support grant oversight and civil rights compliance as identified in recent Government Accountability Office and Office of Inspector General audits, and for legal, safety, rulemakings, procurement, finance and human resources management.

Since FY 1997, FTA has operated at roughly the same FTE level, while its program size and the number of grants it awards each year have more than doubled. This fact, coupled with the higher staffing needs of the recently established Office of Safety and Oversight demonstrates the need for more resources to effectively and efficiently carry out FTA's responsibilities and better serve the tens of millions of riders who use our public transportation system every day.

FEDERAL TRANSIT ADMINISTRATION

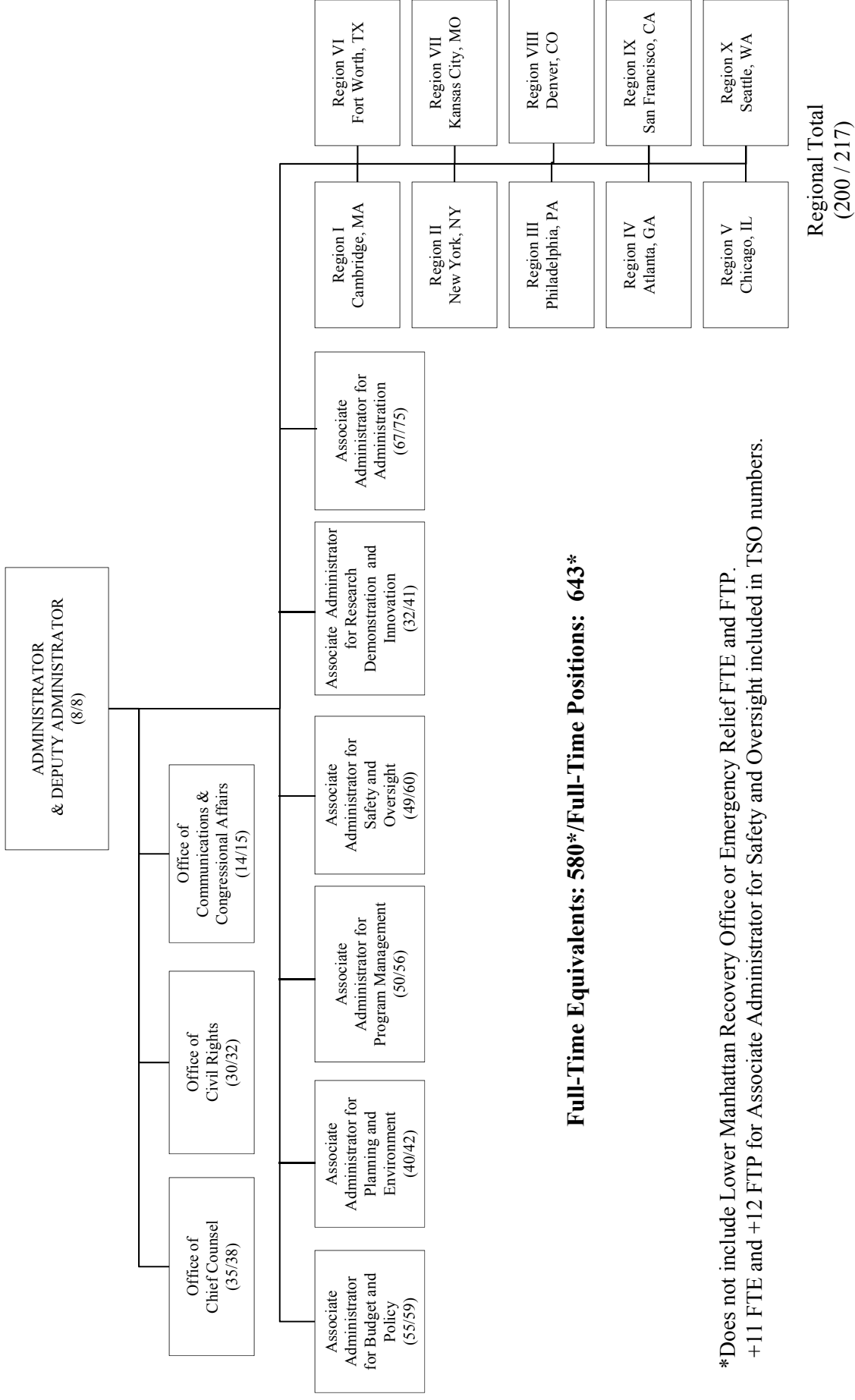
FY 2015 Administrative Organizational Chart with FTE and Full-Time Positions



*Does not include Lower Manhattan Recovery Office or Emergency Relief FTE and FTP.
+8 FTE and +15 FTP for Associate Administrator for Safety and Oversight included in TSO numbers.

FEDERAL TRANSIT ADMINISTRATION

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



*Does not include Lower Manhattan Recovery Office or Emergency Relief FTE and FTP.
+11 FTE and +12 FTP for Associate Administrator for Safety and Oversight included in TSO numbers.

EXHIBIT II-1
FEDERAL TRANSIT ADMINISTRATION
FY 2016 COMPARATIVE STATEMENT OF NEW BUDGET AUTHORITY
(\$000)

ACCOUNTS	FY 2014 ACTUAL	FY 2015 ENACTED 1/	FY 2016 REQUEST 2/
1. Transit Formula Grants (TF)	8,595,000	8,595,000	13,800,000
Administrative Expenses (TF) 3/	-	-	114,400
Subtotal, Transit Formula Grants	8,595,000	8,595,000	13,914,400
FHWA Flex Funding -- Net	1,277,000	1,300,000	1,300,000
Total, Transit Formula Grants (Obligation Limitation)	9,872,000	9,895,000	15,214,400
<i>(Liquidation of Contract Authority)</i>	9,500,000	9,500,000	13,914,400
2. Capital Investment Grants (TF) (Obligation Limitation) 4/	1,942,938	2,120,000	3,250,000
<i>(Liquidation of Contract Authority)</i>	-	-	3,250,000
3. Transit Research and Training (TF) (Obligation Limitation) 5/	43,000	33,000	60,000
Technical Assistance and Standards Development	5,000	4,500	-
Subtotal, Transit Research and Training	48,000	37,500	60,000
<i>(Liquidation of Contract Authority)</i>	-	-	60,000
4. Washington Metropolitan Area Transit Authority (GF)	150,000	150,000	150,000
5. Administrative Expenses (GF) 3/	105,933	105,933	-
6. Emergency Relief Program (TF) (Obligation Limitation)	-	-	25,000
<i>(Liquidation of Contract Authority)</i>	-	-	25,000
7. Fixing and Accelerating Surface Transportation (TF) (Obligation Limitation)	-	-	500,000
<i>(Liquidation of Contract Authority)</i>	-	-	500,000
8. Rapid Growth Area Transit Programs (TF)	-	-	500,000
<i>(Liquidation of Contract Authority)</i>	-	-	500,000
SUBTOTAL (Without FHWA Flex Funding)	<u>10,841,871</u>	<u>11,008,433</u>	<u>18,399,400</u>
GRAND TOTAL (With FHWA Flex Funding)	<u><u>12,118,871</u></u>	<u><u>12,308,433</u></u>	<u><u>19,699,400</u></u>

1/ Public Law 113-235, the Consolidated and Further Continuing Appropriations Act, 2015 provides \$8,595,000,000 in contract authority. However, in accordance with the Highway and Transportation Funding Act of 2014 (H.R. 5021) that extends authorizations for transportation programs until May 31, 2015, only \$5,722,150,685 in contract authority is authorized for the period October 1, 2014 through May 31, 2015.

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

3/ The FY 2016 Request proposes to fund Administrative Expenses from the Transit Formula Grants account of the renamed Transportation Trust Fund. In FY 2014 and FY 2015, the Administrative Expenses account received appropriations from the General Fund.

4/ The total budget for the Capital Investment Grants program in FY 2015 is \$2.148 billion. This includes \$2.120 billion in new budget authority and \$27.989 million of prior year unobligated balances.

5/ The FY 2015 Enacted level includes \$37.5 million for two accounts (\$30 million for Section 5312 and \$3 million for Section 5313) and Technical Assistance and Training (\$ 0.5 million for Section 5322 and \$4 million for Section 5314). The combined FY 2016 Budget Request for these accounts is \$60 million. Consistent with FY 2013 and prior years, FTA proposes to fund these four programs from the newly named Transit Research and Training account in FY 2016.

EXHIBIT II-2

**FEDERAL TRANSIT ADMINISTRATION
FY 2016 TOTAL BUDGETARY RESOURCES BY APPROPRIATION ACCOUNT
Appropriations, Obligation Limitations, and Exempt Organizations
(\$000)**

ACCOUNTS	FY 2014 ACTUAL	FY 2015 ENACTED 1/	FY 2016 REQUEST 2/
1. Transit Formula Grants (TF) (Obligation Limitation)	9,872,000	9,895,000	15,214,400
FTA Transit Formula Grants	8,595,000	8,595,000	13,800,000
Administrative Expenses (TF) 3/	-	-	114,400
FHWA Flex Funding -- Net	1,277,000	1,300,000	1,300,000
2. Capital Investment Grants (TF) 4/	1,942,938	2,120,000	3,250,000
3. Transit Research and Training (TF) 5/	48,000	37,500	60,000
4. Washington Metropolitan Area Transit Authority (GF)	150,000	150,000	150,000
5. Administrative Expenses (GF) 3/	105,933	105,933	-
6. Emergency Relief Program (TF) (Obligation Limitation)	-	-	25,000
7. Fixing and Accelerating Surface Transportation (TF) (Obligation Limitation)	-	-	500,000
8. Rapid Growth Area Transit Programs (TF) (Obligation Limitation)	-	-	500,000
TOTAL	12,118,871	12,308,433	19,699,400

1/ Public Law 113-235, the Consolidated and Further Continuing Appropriations Act, 2015 provides \$8,595,000,000 in contract authority. However, in accordance with the Highway and Transportation Funding Act of 2014 (H.R. 5021) that extends authorizations for transportation programs until May 31, 2015, only \$5,722,150,685 in contract authority is authorized for the period October 1, 2014 through May 31, 2015.

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

3/ The FY 2016 Request proposes to fund Administrative Expenses from the Transit Formula Grants account of the renamed Transportation Trust Fund. In FY 2014 and FY 2015, the Administrative Expenses account received appropriations from the General Fund.

4/ The total budget for the Capital Investment Grants program in FY 2015 is \$2.148 billion. This includes \$2.120 billion in new budget authority and \$27.989 million of prior year unobligated balances.

5/ The FY 2015 Enacted level includes \$37.5 million for two accounts (\$30 million for Section 5312 and \$3 million for Section 5313) and Technical Assistance and Training (\$ 0.5 million for Section 5322 and \$4 million for Section 5314). The combined FY 2016 Budget Request for these accounts is \$60 million. Consistent with FY 2013 and prior years, FTA proposes to fund these four programs from the newly named Transit Research and Training account in FY 2016.

EXHIBIT II-3

**FY 2016 BUDGET REQUEST BY DOT STRATEGIC AND ORGANIZATIONAL GOALS
FEDERAL TRANSIT ADMINISTRATION
(\$000)**

	Safety	Environmental Sustainability	State of Good Repair Infrastructure	Economic Competitiveness	Quality of Life in Communities	Organizational Excellence	Total
ACCOUNT/ PROGRAM							
Formula Grants 1/	24,478	639	6,690,164	6,942,665	142,054	114,400	13,914,400
Urbanized Area Formula	22,816			4,540,367			4,563,183
Transit Oriented Development					10,234		10,234
Planning Programs					131,820		131,820
Enhance Mobility of Seniors and Individuals with Disabilities				264,356			264,356
Formula Grants for Rural Areas				622,050			622,050
Growing States and High Density States				538,230			538,230
National Transit Institute	639	639	640	3,199			5,117
National Transit Database				3,940			3,940
Bus Testing Facility	1,023		1,024	1,023			3,070
Bus and Bus Facilities Formula Grants			969,500	969,500			1,939,000
State of Good Repair Grants			5,719,000				5,719,000
Administrative Expenses						114,400	114,400
Capital Investment Grants				3,250,000			3,250,000
WMATA	150,000						150,000
Transit Research and Training	3,750	25,000	3,750	7,500	20,000		60,000
Emergency Relief	25,000						25,000
Fixing Accelerating Surface Transportation				500,000			500,000
Rapid Growth Area Transit Programs				500,000			500,000
TOTAL	203,228	25,639	6,693,914	11,200,165	162,054	114,400	18,399,400

1/ Does not include estimated Flex Fund transfers.

EXHIBIT II-3a

**FY 2016 BUDGET REQUEST BY DOT STRATEGIC AND ORGANIZATIONAL GOALS
FEDERAL TRANSIT ADMINISTRATION
(\$000)**

DOT Outcome	Program	FY 2016 Request 1/
SAFETY		
Improve the safety of the transportation system for all users.	Transit Formula Grants	24,478
Improve the safety of the transportation system for all users.	Transit Research and Training	3,750
Improve the safety of the transportation system for all users.	Emergency Relief	25,000
Improve the safety of the transportation system for all users.	WMATA	150,000
ENVIRONMENTAL SUSTAINABILITY		
Reduced carbon/emissions and dependence on fossil fuels and improved energy efficiency	Transit Formula Grants	639
Reduced carbon/emissions and dependence on fossil fuels and improved energy efficiency	Transit Research and Training	25,000
STATE OF GOOD REPAIR		
Maintain or improve the availability, reliability, and performance of the Nation's transportation infrastructure.	Transit Formula Grants	6,690,164
Maintain or improve the availability, reliability, and performance of the Nation's transportation infrastructure.	Transit Research and Training	3,750
ECONOMIC COMPETITIVENESS		
Improve the contribution of the transportation system to the Nation's productivity and economic growth.	Transit Formula Grants	6,942,665
Improve the contribution of the transportation system to the Nation's productivity and economic growth.	Capital Investment Grants	3,250,000
Improve the contribution of the transportation system to the Nation's productivity and economic growth.	Transit Research and Training	7,500
Improve the contribution of the transportation system to the Nation's productivity and economic growth.	Fixing Accelerating Surface Transportation	500,000
Improve the contribution of the transportation system to the Nation's productivity and economic growth.	Rapid Growth Area Transit Programs	500,000
QUALITY OF LIFE IN COMMUNITIES		
Ensure federal transportation investments benefit all users by emphasizing greater public equity and accessibility.	Transit Formula Grants	142,054
Ensure federal transportation investments benefit all users by emphasizing greater public equity and accessibility.	Transit Research and Training	20,000
ORGANIZATIONAL EXCELLENCE		
A diverse and collaborative workforce that will able the Department to advance a transportation system that serves the Nation's long-term social, economic, security and environmental needs.	Transit Formula Grants	114,400
TOTAL		18,399,400

1/ Does not include estimated Flex Fund transfers.

EXHIBIT II-4

**FEDERAL TRANSIT ADMINISTRATION
FY 2016 Budget Authority
(\$000)**

Name	U.S.C. 49 Chapter 53 Section	M/D	FY 2014 ACTUAL	FY 2015 ENACTED 1/	FY 2016 REQUEST 2/
Transit Formula Grants (Contract Authority)		M	9,872,000	9,895,000	15,214,400
Transit Oriented Development	2005(b) MAP-21		10,000	10,000	10,234
Planning Programs	5305		128,800	128,800	131,820
Urbanized Area Formula Grants	5307		4,458,650	4,458,650	4,563,183
Enhanced Mobility of Seniors and Individuals with Disabilities	5310		258,300	258,300	264,356
Formula Grants for Rural Areas	5311		607,800	607,800	622,050
Bus Testing Facilities	5318		3,000	3,000	3,070
National Transit Institute	5322(d)		5,000	5,000	5,117
National Transit Database	5335		3,850	3,850	3,940
State of Good Repair Grants	5337		2,165,900	2,165,900	5,719,000
Bus and Bus Facilities Grants	5339		427,800	427,800	1,939,000
Growing States and High Density States	5340		525,900	525,900	538,230
Administrative Expenses 3/	5334, 5329, 5326		-	-	114,400
FHWA Flex Funding -- Net			1,277,000	1,300,000	1,300,000
Capital Investment Grants (TF) 4/	5309	M	1,942,938	2,120,000	3,250,000
Transit Research and Training (TF) 5/	5312-14, 5322	M	48,000	37,500	60,000
Washington Metropolitan Area Transit Authority (GF)	601, Division B, P.L. 110-432	D	150,000	150,000	150,000
Administrative Expenses (GF) 3/	5334, 5329, 5326	D	105,933	105,933	-
Emergency Relief Program (TF)	5324	M	-	-	25,000
Fixing and Accelerating Surface Transportation (TF)		M	-	-	500,000
Rapid Growth Area Transit Programs (TF/Mandatory)		M	-	-	500,000
Capital Investment Grants (Unobligated Balance Resc)			(11,429)	(121,546)	-
Research Training & Human Resources (Unobligated Balance Resc)			(419)	-	-
Urban Discretionary Grants			(679)	-	-
Job Access and reverse Commute Account (Unobligated Balance Resc)			(15,704)	-	-
Interstate Transfer Grants-Transit (Unobligated Balance Resc)			(2,687)	-	-
Washington Metro (Unobligated Balance Resc)			(523)	-	-
Formula Grants (Unobligated Balance Resc)			(65,190)	-	-
University Transportation Research (Unobligated Balance Resc)			(596)	-	-
TOTAL			12,021,644	12,186,887	19,699,400
[Mandatory]			9,872,000	9,895,000	19,549,400
[Discretionary]			2,149,644	2,291,887	150,000

1/ Public Law 113-235, the Consolidated and Further Continuing Appropriations Act, 2015 provides \$8,595,000,000 in contract authority. However, in accordance with the Highway and Transportation Funding Act of 2014 (H.R. 5021) that extends authorizations for transportation programs until May 31, 2015, only \$5,722,150,685 in contract authority is authorized for the period October 1, 2014 through May 31, 2015.

2/ In the FY 2016 Request, except for WMATA, the Administration proposes to reclassify all surface transportation budget authority and outlays as mandatory, and to also move a number of current General Fund programs into the Transportation Trust Fund.

3/ The FY 2016 Request proposes to fund Administrative Expenses from the Transit Formula Grants account of the renamed Transportation Trust Fund. In FY 2014 and FY 2015, the Administrative Expenses account received appropriations from the General Fund.

4/ The total budget for the Capital Investment Grants program in FY 2015 is \$2.148 billion. This includes \$2.120 billion in new budget authority and \$27.989 million of prior year unobligated balances.

5/ The FY 2015 Enacted Budget included \$37.5 million for two accounts (\$30 million for Section 5312 and \$3 million for Section 5313) and Technical Assistance and Training (\$ 0.5 million for Section 5322 and \$4 million for Section 5314). The combined FY 2016 Budget Request for these accounts is \$60 million. Consistent with FY 2013 and prior years, FTA proposes to fund these four programs from the newly named Transit Research and Training account in FY 2016.

EXHIBIT II-5

**FEDERAL TRANSIT ADMINISTRATION
FY 2016 OUTLAYS
(\$000)**

APPROPRIATIONS TITLE	FY 2014 ACTUAL	FY 2015 ENACTED	FY 2016 REQUEST
Transit Formula Grants (Renamed) (TF)	9,126,685	9,344,000	10,382,000
Capital Investment Grants (GF) Rebased 1/	2,073,262	2,012,000	1,552,000
Transit Research and Training (GF) Rebased 1/	31,810	47,847	71,171
Technical Assistance and Standards Development (GF) Rebased 1/	-	5,000	1,250
Administrative Expenses (GF) Rebased 1/2/	106,348	113,842	5,981
Emergency Relief Program (GF)	543,543	800,000	1,220,000
Washington Metropolitan Area Transit Authority (GF)	73,356	140,500	178,000
Grants for Energy Efficiency and Greenhouse Gas Reduction (GF)	27,320	32,413	29,643
Transit Capital Assistance, Recovery Act (GF)	174,252	158,000	-
Fixed Guideway Infrastructure Investment, Recovery Act (GF)	13,020	16,088	-
Job Access and Reverse Commute (GF)	1,792	3,660	-
Formula Grants (GF)	98,421	106,733	106,183
Discretionary Grants (TF)	9,595	9,402	1,321
Capital Investment Grants (TF)	-	-	942,000
Transit Research and Training (TF)	-	-	12,000
Public Transportation Emergency Relief Program (TF)	-	-	10,000
Fixing and Accelerating Surface Transportation (TF)	-	-	95,000
Rapid Growth Area Transit Programs (TF)	-	-	75,000
SUBTOTAL OUTLAYS	12,279,404	12,789,485	14,681,549

LIQUIDATING CASH APPROPRIATIONS

Transit Formula Program	13,914,400
Capital Investment Grants	3,250,000
Transit Research and Training	60,000
Fixing and Accelerating Surface Transportation	500,000
Rapid Growth Area Transit Programs	500,000
Emergency Relief	25,000

1\FY 2014 budget rebases outlays from discretionary to mandatory except for the WMATA account. All surface transportation funding and spending are being proposed as mandatory due to the Transportation Trust Fund (TTF) and subject to PAYGO. Outlays derived from contract authority and prior obligations of the Highway Trust Fund,

2\ The FY 2016 budget request includes a request for Administrative Expenses to be funded and expensed form the Transit Formula GrantsAaccount. As a result, the outlays for the Administrative Expenses Account only show the anticipated balance carried over from FY 2015.

EXHIBIT II-6
SUMMARY OF REQUESTED FUNDING CHANGES FROM BASE
FEDERAL TRANSIT ADMINISTRATION
Appropriations, Obligation Limitations, and Exempt Obligations
(\$000)

ADMINISTRATIVE EXPENSES

Baseline Changes

PERSONNEL RESOURCES	FY 2014 Actual	FY 2015 Enacted	Annualization of 2015 Pay Raise	Annualization of 2015 FTE	2016 Pay Raises	GSA Rent	WCF Increase/ Decrease	Inflation/ Deflation	FY 2016 Baseline Estimate	Program Increases/ Decreases	FY 2016 Request
<i>Direct FTE</i>	498	530	1.0%	32	1.3%				562	18	580
FINANCIAL RESOURCES											
Personnel Compensation & Benefits	71,917	74,589	183		780				75,552	3,773	79,325
Travel	1,104	1,624						16	1,640	402	2,042
Transportation of Things	35	100							100	2	102
Rent (GSA and Other)	7,665	7,355				74			7,429	644	8,073
Communications & Utilities	100	104						1	105	6	111
Printing	59	130						1	131	103	234
Other Services	17,292	14,095							14,320	2,004	16,323
<i>WCF</i>	3,261	3,636					120		3,756	143	3,899
<i>Other</i>	14,031	10,459						105	10,564	1,860	12,424
Supplies & Materials	235	226						2	228	125	353
Equipment	145	130						1	131	23	154
Subtotal	98,552	98,353	183	-	780	74	120	127	99,637	7,081	106,717
INFORMATION TECHNOLOGY INVESTMENTS											
Communications & Utilities	373	385						4	389	121	510
Other Services	1,681	1,869						19	1,887	(101)	1,786
Other Services WCF	4,872	4,957					164		5,121	(364)	4,757
Equipment	455	370						4	374	256	630
	7,381	7,580	-	-	-	-	164	26	7,770	(88)	7,683
TOTAL FTE									562	18	580
TOTAL FUNDING	105,933	105,933	183	-	780	74	284	153	107,406	6,994	114,400

EXHIBIT II-7

FEDERAL TRANSIT ADMINISTRATION
WORKING CAPITAL FUND
Appropriations, Obligation Limitations, Exempt Organizations and Reimbursable Obligations
(\$000)

	FY 2014 ACTUAL	FY 2015 ENACTED	FY 2016 REQUEST	FY 2015 - 2016 CHANGE
<u>DIRECT:</u>				
Administrative Expenses	\$ 7,806	\$ 8,593	\$ 8,656	\$ 63
Transit Research and Training Program	\$ 181	\$ -	\$ -	\$ -
TOTAL - Working Capital Fund	\$ 7,987	\$ 8,593	\$ 8,656	\$ 63

Note: FTA used prior-year funds from the Transit Research and Training account to support the Working Capital Fund E-Gov Initiatives in FY 2014.

EXHIBIT II-8

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

	FY 2014 ACTUAL	FY 2015 ENACTED	FY 2016 REQUEST
<u>DIRECT FUNDED BY APPROPRIATION:</u>			
Administrative Expenses	498	530	580
Capital Investment Grants - Lower Manhattan Recovery Office	4	5	5
Public Transportation Emergency Relief	23	31	40
TOTAL - FTEs	525	566	625

EXHIBIT II-9

**FEDERAL TRANSIT ADMINISTRATION
RESOURCE SUMMARY - STAFFING
FULL-TIME PERMANENT POSITIONS (FTP's)**

	FY 2014 ACTUAL	FY 2015 ENACTED	FY 2016 REQUEST
<u>DIRECT FUNDED BY APPROPRIATION:</u>			
Administrative Expenses	577	590	643
Capital Investment Grants - Lower Manhattan Recovery Office	5	5	5
Public Transportation Emergency Relief	40	40	45
TOTAL - FTPs	622	635	693

Federal Transit Administration
Crosswalk Between FY 2015 Enacted and FY 2016 - FY 2021 Reauthorization Proposal - Total Budget Authority

	FY 2015 Enacted	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Formula and Bus Grants	8,595,000,000	13,914,400,000	14,140,000,000	14,372,000,000	14,610,000,000	14,902,200,000	15,200,244,000
Administrative Expenses	-	114,400,000	120,000,000	126,000,000	132,000,000	139,000,000	146,000,000
Bus and Bus Facilities Grants	427,800,000	1,939,000,000	1,950,000,000	1,961,000,000	1,972,000,000	1,984,000,000	1,996,000,000
<i>Bus and Bus Facilities Discretionary Grants</i>	-	581,700,000	585,000,000	588,300,000	591,600,000	595,200,000	598,800,000
<i>Formula Allocation</i>	362,300,000	-	-	-	-	-	-
<i>SGR Formula</i>	-	1,357,300,000	1,365,000,000	1,372,700,000	1,380,400,000	1,388,800,000	1,397,200,000
<i>States and Territories Allocation</i>	65,500,000	-	-	-	-	-	-
Bus Testing Facility	3,000,000	3,070,335	3,146,818	3,225,801	3,307,283	3,414,360	3,524,458
Enhanced Mobility of Seniors and Individuals with Disabilities	258,300,000	264,355,823	270,941,046	277,741,473	284,757,103	293,976,415	303,455,865
Formula Grants for Rural Areas	607,800,000	622,049,823	637,545,365	653,547,297	670,055,621	691,749,381	714,055,265
<i>Appalachian Development Public Transportation Assistance Program</i>	20,000,000	20,000,000	20,000,000	20,000,000	20,000,000	20,000,000	20,000,000
<i>Formula Grants for Rural Areas</i>	543,820,600	552,742,678	567,010,322	581,751,009	596,964,201	617,220,768	638,052,020
<i>Projects of National Scope</i>	1,823,400	1,866,149	1,912,636	1,960,642	2,010,167	2,075,248	2,142,166
<i>Public Transportation on Indian Reservations</i>	30,000,000	35,000,000	35,871,500	36,764,700	37,680,141	38,618,377	39,579,974
<i>Rural Transportation Assistance Program</i>	12,156,000	12,440,996	12,750,907	13,070,946	13,401,112	13,834,988	14,281,105
Growing States and High Density States Formula	525,900,000	538,229,684	551,637,228	565,482,930	579,766,784	598,537,347	617,837,552
<i>Growing State Apportionments</i>	262,950,000	269,114,842	275,818,614	282,741,465	289,883,392	299,268,674	308,918,776
<i>High Density State Apportionments</i>	262,950,000	269,114,842	275,818,614	282,741,465	289,883,392	299,268,674	308,918,776
National Transit Database	3,850,000	3,940,263	4,038,417	4,139,778	4,244,347	4,381,762	4,523,055
National Transit Institute	5,000,000	5,117,225	5,244,697	5,376,335	5,512,139	5,690,600	5,874,097
Planning Programs	128,800,000	131,819,705	135,103,394	138,494,393	141,992,702	146,589,866	151,316,746
<i>Metropolitan Transportation Planning</i>	106,543,360	109,041,260	111,757,528	114,562,562	117,456,363	121,259,137	125,169,212
<i>Statewide Transportation Planning</i>	22,256,640	22,778,445	23,345,866	23,931,831	24,536,339	25,330,729	26,147,534
State of Good Repair Grants	2,165,900,000	5,719,000,000	5,775,000,001	5,832,000,000	5,890,000,000	5,949,000,000	6,007,800,000
<i>High Intensity Fixed Guideway Formula</i>	2,104,171,850	5,556,008,500	5,610,412,501	5,665,788,000	5,722,135,000	5,779,453,500	5,836,577,700
<i>High Intensity Motorbus State of Good Repair</i>	61,728,150	162,991,500	164,587,500	166,212,000	167,865,000	169,546,500	171,222,300
Transit Oriented Development (Discretionary Pilot)	10,000,000	10,234,449	10,489,394	10,752,670	11,024,278	11,381,201	11,748,195
Urbanized Area Formula Grants	4,458,650,000	4,563,182,693	4,676,853,640	4,794,239,323	4,915,339,743	5,074,479,068	5,238,108,767
<i>Operational Support Of State Safety Oversight</i>	22,293,250	22,815,913	23,384,268	23,971,197	24,576,699	25,372,395	26,190,544
<i>Passenger Ferry Boat Program</i>	30,000,000	30,000,000	30,000,000	30,000,000	30,000,000	30,000,000	30,000,000
<i>Urbanized Area Formula Grants</i>	4,406,356,750	4,510,366,780	4,623,469,372	4,740,268,126	4,860,763,044	5,019,106,673	5,181,918,223
Capital Investment Grants	2,120,000,000	3,250,000,000	3,315,000,000	3,380,000,000	3,450,000,000	3,520,000,000	3,590,000,000
WMATA	150,000,000	150,000,000	TBD	TBD	TBD	TBD	TBD
Emergency Relief Program	-	25,000,000	25,000,000	25,000,000	25,000,000	25,000,000	25,000,000
Fixing and Accelerating Surface Transportation	-	500,000,000	500,000,000	500,000,000	500,000,000	500,000,000	500,000,000
Rapid Growth Area Transit	-	500,000,000	525,000,000	550,000,000	600,000,000	612,000,000	624,240,000
Transit Research	33,000,000	-	-	-	-	-	-
<i>Research, Development, Demonstration and Deployment Projects</i>	30,000,000	-	-	-	-	-	-
<i>Transit Cooperative Research</i>	3,000,000	-	-	-	-	-	-
Technical Assistance and Training	4,500,000	-	-	-	-	-	-
<i>Human Resources and Training</i>	500,000	-	-	-	-	-	-
<i>Technical Assistance and Training</i>	4,000,000	-	-	-	-	-	-
Administrative Expenses	105,933,000	-	-	-	-	-	-
Transit Research and Training	-	60,000,000	61,000,000	63,000,000	67,000,000	68,000,000	70,000,000
<i>Human Resources and Training</i>	-	20,000,000	20,000,000	20,000,000	20,000,000	20,000,000	20,000,000
<i>Research, Development, Demonstration and Deployment Projects</i>	-	26,000,000	27,000,000	29,000,000	31,000,000	32,000,000	34,000,000
<i>Technical Assistance and Training</i>	-	7,000,000	7,000,000	7,000,000	9,000,000	9,000,000	9,000,000
<i>Transit Cooperative Research</i>	-	7,000,000	7,000,000	7,000,000	7,000,000	7,000,000	7,000,000
Grand Total	11,008,433,000	18,399,400,000	18,566,000,000	18,890,000,000	19,252,000,000	19,627,200,000	20,009,484,000
Trust Fund (Contract Authority)	8,595,000,000	18,249,400,000	18,566,000,000	18,890,000,000	19,252,000,000	19,627,200,000	20,009,484,000
General Fund (Budget Authority)	2,413,433,000	150,000,000	TBD	TBD	TBD	TBD	TBD

EXECUTIVE SUMMARY
TRANSIT FORMULA GRANTS

(Legislative proposal, not subject to PAYGO)

(LIQUIDATION OF CONTRACT AUTHORITY)

(LIMITATION ON OBLIGATIONS)

([HIGHWAY] *TRANSPORTATION* TRUST FUND)

[For] *Contingent upon enactment of multi-year surface transportation authorization legislation, for payment of obligations incurred in the Federal Public Transportation Assistance Program in this account, and for payment of obligations incurred in carrying out the provisions of 49 U.S.C. 5305, 5307, 5310, 5311, 5318, 5322(d), 5329(e)(6), 5335, 5337, 5339, and 5340, and section 20005(b) of Public Law 112 –141, [\$9,500,000,000] \$13,914,400,000 to be derived from the Mass Transit Account of the [Highway] Transportation Trust Fund and to remain available until expended: Provided, That prior to allocation of program funds available to carryout such sections under 49 U.S.C. 5338, \$114,400,000 shall be available for necessary administrative expenses of the Federal Transit Administration's program authorized under Chapter 53 of title 49 U.S.C., and any other applicable Federal law: Provided further, That funds available for the implementation or execution of programs authorized under 49 U.S.C. 5305, 5307, 5310, 5311, 5318, 5322(d), 5329(e)(6), 5335, 5337, 5339, and 5340, and section 20005(b) of Public Law 112–141, shall not exceed total obligations of [\$8,595,000,000] \$13,914,400,000 in fiscal year [2015] 2016. (Department of Transportation Appropriations Act, 2015.)*

TRANSIT FORMULA GRANTS

PROGRAM AND PERFORMANCE

FTA's 2016 Budget request builds upon the successes of the previous authorization, MAP-21, which provided two years of stable funding for transit programs and is consistent with the Administration's proposed multi-year surface transportation reauthorization bill, the GROW AMERICA Act. The Transit Formula Grants account is funded from the Mass Transit Account of the Transportation Trust Fund. Transit Formula Grants funds can be used for transit capital purposes including bus and railcar purchases, facility repair and construction, as well as maintenance, and where eligible, planning and operating expenses. These funds help existing transit systems provide safe and reliable transportation options, and promote economically vibrant communities.

The Budget requests \$13.9 billion for Transit Formula Grants including \$114.4 million in Administrative Expenses. In previous years, Administrative Expenses were funded from the General Fund. Furthermore, the Budget includes an additional \$1.3 billion under this account in estimated flex funding transferred from the Federal Highway Administration (FHWA) bringing the total available to \$15.2 billion. The FY 2016 Transit Formula Grants account structure includes:

Urbanized Area Formula.—\$4.563 billion. For formula grants to urbanized areas with populations of 50,000 or more. Funds may be used for any transit capital purpose. Operating costs continue to be eligible expenses for all urban areas under 200,000 in population; and, in certain circumstances, operating costs may be eligible expenses in urban areas with populations over 200,000. Additionally, Urbanized Area grants may be used to support Job Access and Reverse Commute activities.

State Safety Oversight Program.—\$22.8 million set-aside from Urbanized Area Formula. Each State with rail systems not regulated by the Federal Railroad Administration (FRA) will meet requirements for a State Safety Oversight (SSO) program. To aid grantees in meeting new requirements, funding will be provided by a formula developed by FTA based on revenue miles, route miles, and passenger miles. The maximum Federal share for these grants is 80 percent.

State of Good Repair Grants.—\$5.719 billion. For a formula-based capital maintenance program to restore and replace aging transportation infrastructure through reinvestment in existing fixed guideway systems and buses on high occupancy vehicle (HOV) lanes.

Rural Area Formula.—\$622.1 million. For formula grants to provide funds for capital, planning and operating assistance grants for transit service implemented by States in rural areas with populations of less than 50,000. Funding may also be used to support intercity bus service. Additionally, Rural Area grants may be used to support Job Access and Reverse Commute activities. Within this amount, \$30 million in formula funds and \$5 million in discretionary grants support the Public Transportation on Indian Reservations program and \$20 million to supports the Appalachian Development Public Transportation Assistance Formula Program.

Growing States and High Density States.—\$538.2 million. For funds that are divided between the Urban and Rural Area programs based on the legislative funding formula for this program.

Enhanced Mobility of Seniors and Individuals with Disabilities.—\$264.4 million. Supports local governments and public and private transportation providers that serve the special needs of these specific transit-dependent populations beyond traditional public transportation services, including complementary paratransit service. This program is a consolidation of the New Freedom and Elderly and Disabled grant programs.

Bus and Bus Facilities Grants.—\$1.939 billion. For formula funding (70%) and discretionary funding (30%) to replace, rehabilitate, and purchase buses and related equipment, and to construct bus-related facilities States may use these funds to supplement Urbanized Area and Rural Area formula grant programs. At least 10% of the discretionary funding will go to rural transit agencies.

Bus Testing Facility.—\$3.1 million. Funding supports a facility where all new bus models purchased using FTA capital assistance will be tested for compliance with performance standards for safety, structural integrity, reliability, performance (including braking performance) maintainability, emissions, noise and fuel economy. FTA must develop a Pass/Fail rating system for buses. FTA grantees will not be able to use Federal funds to purchase buses that do not receive a "pass" rating.

Planning Programs.—\$131.8 million. Funding supports cooperative, continuous, and comprehensive transportation infrastructure investment planning. The program requires that all Metropolitan Planning Organizations (MPOs) and States develop performance-driven, outcome-based transportation plans.

Transit Oriented Development Pilot.—\$10.2 million. This pilot program funds planning for projects that support transit-oriented development associated with new fixed-guideway and core capacity improvement projects.

National Transit Institute.—\$5.1 million. To fund projects that enable FTA to partner with higher education to develop and provide training and educational programs to transit employees and others engaged in providing public transit services.

National Transit Data Base (NTD) .—\$3.9 million. For operation and maintenance of the NTD, a database of nationwide statistics on the transit industry, which FTA is legally required to maintain under 49 U.S.C. 5335(a)(1)(2). NTD data serves as the basis for FTA formula grant apportionments and is used to track the condition and performance of our Nation's transit network.

Administrative Expenses.—\$114.4 million. To fund salaries, benefits and administrative expenses to carry out the FTA's stewardship of federal funds. FTA administrative expenses were provided in prior years in the Administrative Expenses account and funded from the General Fund.

DETAILED JUSTIFICATION

TRANSIT FORMULA GRANTS PROGRAMS

The FY 2016 Budget request includes \$13.9 billion for the core FTA grant programs. The Budget builds upon the successes of the previous authorization, MAP-21, which provided two years of stable funding for transit programs and is consistent with the first year of the Administration's multi-year surface transportation reauthorization proposal, the GROW AMERICA Act. The Transit Formula Grants account is funded from the Mass Transit Account of the Transportation Trust Fund. Furthermore, the Budget includes an additional \$1.3 billion under this account in estimated flex funding transferred from the Federal Highway Administration (FHWA), bringing the total available to \$15.2 billion.

These funds support the following programs: Urbanized Area Formula Grants; Formula Grants for Rural Areas, which includes Public Transportation on Indian Reservations and Appalachian Development Public Transportation Assistance programs; Enhanced Mobility of Seniors and Individuals with Disabilities; Growing States and High Density States Formula; Planning Programs; the Transit Oriented Development Pilot Program; a National Transit Institute; FTA's National Transit Database; and Administrative Expenses.

The Urbanized Area Formula program provides grants to urbanized areas (UZAs) for public transportation capital, planning, and job access and reverse commute projects, as well as operating expenses in certain circumstances. These funds constitute a core investment in the enhancement and revitalization of public transportation systems in the nation's urbanized areas, which depend on public transportation to improve mobility and reduce congestion. The Formula Grants for Rural Areas program, likewise, provides funding for public transportation capital, planning, job access and reverse commute projects and operating assistance, but this funding goes to states to support public transportation in rural areas with populations less than 50,000. This program includes set-asides for a discretionary and formula Tribal program. There is also a set-aside for the Appalachian Development Public Transportation Assistance Program (ADTAP), which allocates funds by statutory formula to States in the Appalachian Region of the United States.

Additionally, the FTA request includes support for two programs focused on addressing the nation's aging transit infrastructure as highlighted in the GROW AMERICA Act: State of Good Repair Formula Grants and an enhanced Bus and Bus Facilities program. FTA proposes to increase funding for both of these programs in FY 2016 in recognition of the Administration's goals to address a growing state of good repair backlog in the nation's infrastructure. Specifically, this will help address an estimated and growing need of more than \$86 billion to repair, rehabilitate, or replace aging public transportation investments.

This request also supports FTA's State Safety Oversight (SSO) grant program. The request will allow FTA to continue providing formula funding for SSO programs based on fixed guideway revenue miles, route miles, and passenger miles. Additionally, Urbanized Area and Rural Area grant recipients may use up to 0.5 percent of their formula funds to pay for up to 80 percent of

the cost to participate in the public transportation safety certification training program for SSO agency employees.

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

EXHIBIT III-1

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

APPROPRIATIONS TITLE	FY 2014 ACTUAL	FY 2015 ENACTED	FY 2016 REQUEST	CHANGE FY 2015-2016
Transit Oriented Development	10,000	10,000	10,234	234
Planning Programs	128,800	128,800	131,820	3,020
Urbanized Area Formula Grants	4,458,650	4,458,650	4,563,183	104,533
Enhanced Mobility of Seniors and Individuals with Disabilities	258,300	258,300	264,356	6,056
Formula Grants for Rural Areas	607,800	607,800	622,050	14,250
Bus Testing Facilities	3,000	3,000	3,070	70
National Transit Institute	5,000	5,000	5,117	117
National Transit Database	3,850	3,850	3,940	90
State of Good Repair Grants	2,165,900	2,165,900	5,719,000	3,553,100
Bus and Bus Facilities Grants	427,800	427,800	1,939,000	1,511,200
Growing States and High Density States	525,900	525,900	538,230	12,330
Administrative Expenses 2/	-	-	114,400	114,400
	8,595,000	8,595,000	13,914,400	5,319,400
Subtotal - Formula Grants				
FHWA Flex Funding - Net 3/	1,277,000	1,300,000	1,300,000	-
TOTAL	9,872,000	9,895,000	15,214,400	5,319,400

1/ Public Law 113-235, the Consolidated and Further Continuing Appropriations Act, 2015 provides \$8,595,000,000 in contract authority. However, in accordance with the Highway and Transportation Funding Act of 2014 (H.R. 5021) that extends authorizations for transportation programs until May 31, 2015, only \$5,722,150,685 in contract authority is authorized for the period October 1, 2014 through May 31, 2015.

2/ Administrative Expenses were funded from the General Fund in FY 2014 and FY 2015. In FY 2016, FTA proposes to fund this account from the Mass Transit Account of the Transportation Trust Fund.

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

EXHIBIT III-1a

**TRANSIT FORMULA GRANTS
SUMMARY ANALYSIS OF CHANGE FROM FY 2015 TO FY 2016
Appropriations, Obligation Limitations, and Exempt Organizations
(\$000)**

	Change From FY 2015 to FY 2016 (\$000)^{1/}	Change From FY 2015 to FY 2016 FTE ^{2/}
FY 2015 Base	8,595,000	530
Adjustments to Base:		
Administrative Expenses ^{2/}	-	-
Subtotal, Adjustments to Base	8,595,000	530
 NEW OR EXPANDED PROGRAMS		
Transit Oriented Development	234	
Planning Programs	3,020	
Urbanized Area Formula Grants	104,533	
Enhanced Mobility of Seniors and Individuals with I	6,056	
Formula Grants for Rural Areas	14,250	
Bus Testing Facilities	70	
National Transit Institute	117	
National Transit Database	90	
State of Good Repair Grants	3,553,100	
Bus and Bus Facilities Grants	1,511,200	
Growing States and High Density States	12,330	
Administrative Expenses ^{2/}	114,400	50
Subtotal - New or Expanded Programs	5,319,400	50
 Subtotal, FY 2016 Transit Formula Grants	13,914,400	580
 FHWA Flex Funding -- Net ^{4/}	1,300,000	
 TOTAL	15,214,400	580

1/ Public Law 113-235, the Consolidated and Further Continuing Appropriations Act, 2015 provides \$8,595,000,000 in contract authority. However, in accordance with the Highway and Transportation Funding Act of 2014 (H.R. 5021) that extends authorizations for transportation programs until May 31, 2015, only \$5,722,150,685 in contract authority is authorized for the period October 1, 2014 through May 31, 2015.

2/ FTEs are associated with Administrative Expenses.

3/ Administrative Expenses were funded from the General Fund in FY 2014 and FY 2015. In FY 2016, FTA proposes to fund this account from the Mass Transit Account of the Transportation Trust Fund.

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

EXHIBIT III-2
ANNUAL PERFORMANCE RESULTS AND TARGETS
FORMULA GRANTS

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

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

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

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

Increase the total number of urban and rural transit boardings to 11.2 billion in 2018.							
	2010*	2011*	2012*	2013	2014	2015	2016
Target				10.5B	10.6B	10.8B	10.9B
Actual	10.1B	10.3B	10.5B	10.5B	NA		

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

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

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

Increase the transit market share among commuters to work in at least 10 of the top 50 urbanized areas by population by 2018, when compared to a 2010 baseline.							
	2010	2011	2012	2013	2014	2015	2016
Target	NA	2	4	5	6	7	8
Actual	0	1	4	3	NA		

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

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

Keep the nation's transit state of good repair backlog to less than \$100 billion (current-year dollars) through 2018.	2010*	2011	2012	2013	2014	2015	2016
Target	\$77.7B	\$88B	\$90B	\$92B	\$94B	\$96B	\$98B
Actual	\$85.9	NA	NA	NA	NA		

(r) Revised

*Actual data for the 2010 state of good repair backlog of transit capital assets in need of replacement or refurbishment was released as part of the 2013 DOT Conditions & Performance Report to Congress. FTA's baseline for this metric was developed using 2008 data and reported in the 2010 DOT Conditions & Performance Report to Congress.

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

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

Reduce total transit fatalities to 0.491 per 100 million passenger miles traveled by 2018.	2010	2011	2012	2013	2014	2015	2016
Target	NA	0.547	0.543	0.538	0.530	0.520	0.510
Actual	0.533	0.535	0.602	.609 (p)	0.487 (p)		

(p) Preliminary

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

DOT Goal: Organizational Excellence

Maintain/limit average number of days to complete grant processing after submission of a completed application to less than 36 annually.	2011	2012	2013	2014	2015	2016
Target	36	36	36	36	36	36
Actual	34	29	24	25		

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

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

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

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

Program and Financing (in millions of dollars)

Identification code: 69-8530-4-7-401		2014 Actual	2015 Enacted	2016 Est.
Obligations by program activity:				
0001	LAE Administrative Expenses	114
0002	Bus and Bus Facilities Formula Grants	600
0008	State of Good Repair Grants	1,400
0900	Total new obligations	2,114
Budgetary resources:				
Budget authority:				
Appropriations, discretionary:				
1101	Appropriation (special or trust fund)	5,160
1137	Appropriations applied to liquidate contract authority	-5,160
1160	Appropriation, discretionary (total)
Appropriations, mandatory:				
1260	Appropriations, mandatory (total)
Contract authority, mandatory:				
1600	Contract authority	5,160
1640	Contract authority, mandatory (total)	5,160
1900	Budget authority (total)	5,160
1930	Total budgetary resources available	5,160
Memorandum (non-add) entries:				
1941	Unexpired unobligated balance, end of year	3,046
1966-40	Limitation [Text]	5,160
Change in obligated balance:				
Unpaid obligations:				
3000	Unpaid obligations, brought forward, Oct 1
3010	Obligations incurred, unexpired accounts	2,114
3020	Outlays (gross)	-980
3050	Unpaid obligations, end of year	1,134
Memorandum (non-add) entries:				
3100	Obligated balance, start of year
3200	Obligated balance, end of year	1,134

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

Program and Financing (in millions of dollars)

		2014	2015	2016
Identification code: 69-8530-4-7-401		Actual	Enacted	Est.
Budget authority and outlays, net:				
Mandatory:				
4090	Budget authority, gross	5,160
	Outlays, gross:			
4100	Outlays from new mandatory authority	980
4160	Budget authority, net (mandatory)	5,160
4170	Outlays, net (mandatory)	980
4180	Budget authority, net (total)	5,160
4190	Outlays, net (total)	980
Memorandum (non-add) entries:				
	Limitation on obligations (Transportation Trust			
5061	Funds)	5,160

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

Program and Financing (in millions of dollars)

		2014	2015	2016
Identification code: 69-8530-4-7-401		Actual	Enacted	Est.
Direct Obligations:				
Personnel compensation:				
11.1	Full-time permanent	-	-	59
11.3	Other than full-time permanent	-	-	3
11.9	Total personnel compensation	-	-	62
12.1	Civilian personnel benefits	-	-	17
21.0	Travel and transportation of persons	-	-	2
23.1	Rental payments to GSA	-	-	8
23.3	Communications, utilities, and miscellaneous charges	-	-	1
25.2	Other services from non-Federal sources	-	-	2
25.3	Other goods and services from Federal sources	-	-	20
25.7	Operation and maintenance of equipment	-	-	2
41.0	Grants, subsidies, and contributions	-	-	2,000
99.9	Total new obligations	-	-	2,114

Detailed Justification for Transit Formula Grants

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

FY 2016 – FORMULA GRANTS (\$000)

Program Activity	FY 2014 Actual	FY 2015 Enacted 1/	FY 2016 Request	Change from FY 2015
Transit Oriented Development	10,000	10,000	10,234	234
Planning Programs	128,800	128,800	131,820	3,020
Urbanized Area Formula Grants	4,458,650	4,458,650	4,563,183	104,533
Enhanced Mobility of Seniors and Individuals with Disabilities	258,300	258,300	264,356	6,056
Formula Grants for Rural Areas	607,800	607,800	622,050	14,250
Bus Testing Facility	3,000	3,000	3,070	70
National Transit Institute	5,000	5,000	5,117	117
National Transit Database	3,850	3,850	3,940	90
State of Good Repair Grants	2,165,900	2,165,900	5,719,000	3,553,100
Bus and Bus Facilities Grants	427,800	427,800	1,939,000	1,511,200
Growing States and High Density States	525,900	525,900	538,230	12,330
Administrative Expenses 2/	-	-	114,400	114,400
FHWA Flex Funding – Net 3/	1,277,000	1,300,000	1,300,000	-
Total	9,872,000	9,895,000	15,214,400	5,319,400

1/ Public Law 113-235, the Consolidated and Further Continuing Appropriations Act, 2015 provides \$8,595,000,000 in contract authority. However, in accordance with the Highway and Transportation Funding Act of 2014 (H.R. 5021) that extends authorizations for transportation programs until May 31, 2015, only \$5,722,150,685 in contract authority is authorized for the period October 1, 2014 through May 31, 2015.

2/ Administrative Expenses were funded from the General Fund in FY 2014 and FY 2015. In FY 2016, FTA proposes to fund this account from the Mass Transit Account of the Transportation Trust Fund.

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

FTA requests \$13.9 billion in new contract authority for the Transit Formula Grants programs, \$5.3 billion more than the FY 2015 enacted level. The majority of the increase supports programs focused on one of the Administration's highest priorities – improving the condition, performance, and safety of the nation's aging transportation infrastructure.

In FY 2016, FTA will focus on continuing to implement new and modified programs under MAP-21, and are continued under the GROW AMERICA Act, that provide grants to support capital and operating assistance. This Budget, when combined with State and local funding, will help to address the backlog of transit assets that are not in a state of good repair, improve the

safety of public transportation, ensure sound transportation planning for investments, and provide better access to transit systems in general, as well as transportation options for targeted populations.

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

What Is This Program and Why is it Necessary?

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

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

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

FY 2014 Base Accomplishments

The FY 2014 enacted amount of \$9.9 billion, including an estimated \$1.3 billion in FHWA flex funding represents a 1.4 percent increase from the FY 2013 level.

- **Improve mobility:** At current funding levels, transit ridership would be expected to increase to 10.7 billion in FY2015 – with the majority of the growth coming from transit serving urban areas.
- **Provide service and access to essential services:** FTA estimates that \$0.9 billion in Federal operating assistance would support approximately 6.2 million hours of transit service and, on average, about 449 million passenger trips. About \$1.4 billion in Federal

formula funding for preventive maintenance will support approximately 33 million hours of transit service, supplying approximately 2.3 billion passenger trips. Sustaining these investments in existing transit service levels will continue to connect people to jobs, medical appointments, education opportunities, and other destinations.

- **Support transit state of good repair:** FTA estimates that approximately \$6.0 billion of formula funding will go towards projects to replace aging assets. FTA's most recent Conditions and Performance Report identified that the national transit state of good repair backlog is \$86 billion, and at current funding levels from all levels of government, it is expected to continue to grow at around \$2.5 billion per year. These investments are anticipated to slow the rate of growth of the backlog.

FY 2015 Anticipated Accomplishments

The FY 2015 enacted level provides \$9.9 billion, including an estimated \$1.3 billion in FHWA flex funding, for the Formula Grants programs.

- **Improve mobility:** At current funding levels, transit ridership would be expected to reach 10.7 billion – with the majority of growth coming from transit serving urban areas. This commitment to transit expansion would support increasing this rate of growth, and providing more transportation options to America's communities.
- **Provide service and access to essential services:** FTA estimates that \$1.3 billion in Federal operating assistance would support more than 9 million hours of transit service and on average about 648 million passenger trips. About \$2.1 billion in Federal formula funding for preventive maintenance will support 48 million hours of transit service, supplying 3.5 billion passenger trips. Sustaining these investments in existing transit service levels will continue to connect people to jobs, medical appointments, education opportunities, and other destinations.
- **Support transit state of good repair:** FTA estimates that at least \$6 billion of formula funding will go towards projects to replace aging assets and maintain our transit infrastructure in a state of good repair. FTA's most recent Conditions and Performance Report identified that the national transit state of good repair backlog is \$86 billion, and at current funding levels from all levels of government, it is expected to continue to grow at around \$2.5 billion per year. These proposed investments slow the growth in the backlog, but also to begin the process of reversing the backlog.

The FY 2016 Budget request includes \$15.2 billion, including an estimated \$1.3 billion in FHWA flex funds for Transit Formula Grants. The 2016 program structure includes:

Urbanized Area Formula— \$4.563 billion (excludes \$22.8 million set-aside for State Safety Oversight Grants described below) is requested for this program. Funds may be used for any transit capital purpose. Operating costs continue to be eligible expenses for all urban areas under 200,000 in population and in certain circumstances operating costs may be eligible expenses in urban areas with populations over 200,000. Additionally, Urbanized Area grants may be used to

support job access and reverse commute activities. The program's goals are to increase economic competitiveness; improve the contribution of the transportation system to the Nation's productivity and economic growth by increasing the total number of urban and rural transit boardings.

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

Rural Area Formula—\$622.1 million is requested for this program to provide formula grants for capital, planning and operating assistance grants for transit services implemented by States in rural areas with populations of less than 50,000. Funding may also be used to support intercity bus service. Additionally, Rural Area grants may be used to support job access and reverse commute activities. Within this amount, \$30 million in formula funds and \$5 million in discretionary grant funds support the Public Transportation on Indian Reservations program and \$20 million supports the Appalachian Development Public Transportation Assistance Formula Program.

State Safety Oversight Program—\$22.8 million is requested for this program and is based on a 0.5 percent set-aside within the Urbanized Area Formula program. States with rail systems not regulated by the Federal Railroad Administration (FRA) must meet requirements for a State Safety Oversight (SSO) program. To aid States in meeting these requirements, funding is provided by a formula developed by FTA based on fixed guideway revenue miles, route miles, and passenger miles. The maximum Federal share for these grants is 80 percent. Funding for this program supports grantees in designing, constructing and operating the safest rail transit facilities and equipment to reduce the risk of accidents, injuries and incidents on rail transit systems by developing new technologies, procedures, and public education campaigns.

Growing States and High Density States—\$538.2 million is requested, which is divided between the Urban and Rural Area programs based on the legislative funding formula for this program.

Enhanced Mobility of Seniors and Individuals with Disabilities—\$264.4 million is requested to enhance the mobility of seniors and persons with disabilities by providing capital and operating funds for programs to serve the special needs of transit-dependent populations beyond traditional public transportation services including complementary paratransit services. FTA's FY 2013 Grants Statistical Summaries reported that grant funding provided through this program supported the purchase of 967 buses and 790 vans.

State of Good Repair Grants—\$5.719 billion is requested for this formula grant program targeted toward restoring and replacing aging transportation infrastructure for fixed guideway systems and buses on high occupancy vehicle (HOV) lanes including bus rapid transit (BRT).

Funds will be used to replace both vehicle and non-vehicle assets-where track and signaling present the biggest challenge to achieving a state of good repair.

Bus and Bus Facilities Grants—\$1.939 billion is requested and the funding is split between a formula program (\$1.357 billion or 70 percent) and a discretionary program (\$582 million or 30 percent) to replace, rehabilitate, and purchase buses and related equipment, and to construct bus-related facilities. Specifically, eligible capital projects include the purchase of buses for fleet and service expansion, bus maintenance and administrative facilities, transfer facilities, bus malls, transportation centers, intermodal terminals, park-and-ride stations, acquisition of replacement vehicles, bus rebuilds, bus preventive maintenance, passenger amenities such as passenger shelters and bus stop signs, accessory and miscellaneous equipment such as mobile radio units, supervisory vehicles, fare boxes, computers and shop and garage equipment. The FY 2013 Grants Statistical Summaries reported that 171 buses were purchased for either fleet and/or service expansion and that 22 percent of the funds obligated supported various other bus and bus facility projects.

Bus Testing Facility—\$3.1 million is requested for an FTA-funded bus testing facility which has tested 413 buses since its inception revealing almost 8,900 failures, 41 of which were critical safety hazards. The GROW AMERICA Act continues to require all new models purchased using FTA funds to be tested on a pass/fail system for compliance with performance standards for safety, structural integrity, reliability, performance (including braking performance), maintainability, emissions, noise, and fuel economy.

State Safety Oversight Programs

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

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

In turn, FTA must certify that a State's Safety Oversight program includes: assuming responsibility for oversight of rail fixed-guideway public transportation safety; enforcing federal law for rail fixed-guideway public transportation safety; and establishing a State Safety Oversight agency. SSO programs, which FTA must approve, encompass a SSO agency's capacity, organizational structure, financing, and activities. Of the *Urbanized Area* formula funds, \$22.8 million is provided for this activity (or 0.5 percent), to be distributed by a formula based on three types of mileage calculations.

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

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

MAP-21 requires FTA to establish a safety certification training program for certain public transportation industry employees and in FY 2016 expenses associated with this program and related safety training will be made available with funds authorized under Section 5338(i).

Planning Programs—\$131.8 million is requested to support cooperative, continuous, and comprehensive planning for transportation investments in metropolitan areas and throughout

States. These programs support the Department's efforts to establish a performance-based planning process that includes requirements for Metropolitan Planning Organizations (MPOs) and States.

Transit Oriented Development—\$10.2 million is requested for this pilot program, which funds planning efforts that would facilitate transit-oriented development associated with new fixed-guideway and core capacity improvement projects.

Supporting Bus and Rail State of Good Repair

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

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

In FY 2016 consistent with the GROW AMERICA Act, FTA proposes to focus the Bus and Bus Facilities program on improving the condition of the nation's bus assets, where FTA found that 40 percent were in poor or marginal condition in 2010. Funding will be divided between a state of good repair formula program (70 percent) and a discretionary program (30 percent) that will support investment in larger facility and equipment investments that are not feasible under a formula apportionment.

National Transit Institute— \$5.1 million is requested to enable FTA to partner with institutions of higher education to develop and conduct training programs for transit employees and others engaged in public transportation work. These programs support ladders of opportunity for transit employees by offering various Webinars, Video Library, and Workplace Safety courses.

National Transit Database (NTD) — \$3.9 million will support FTA's NTD, which is the primary national database for statistics on the transit industry. Approximately 820 transit authorities and 1,340 sub-recipients, primarily in rural areas, file annual reports through this Internet-based reporting system. Each year, performance data reported to the NTD is used to apportion billions of dollars in FTA formula funds to transit agencies. Furthermore, transit agencies will be required to report asset condition data to the NTD.

OVERSIGHT PROGRAM

Comparative Summary of Activity (\$000)

	<u>FY 2014</u> <u>Enacted</u>	<u>FY 2015</u> <u>Enacted</u>	<u>FY 2016</u> <u>Request</u>
Program Level- Oversight	\$75,125	\$76,896	\$145,778

Program Description:

Consistent with the President's GROW AMERICA proposal, the FY 2016 oversight budget will allow FTA to continue to meet its fundamental stewardship responsibility for managing a multi-billion dollar grant program involving more than 800 active grantees.

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

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

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

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

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

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

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

FY 2016 Oversight Program Request:

Consistent with the President's GROW AMERICA proposal, funding available for FTA's FY 2016 Oversight Program will total \$145.8 million.

FTA's FY 2016 oversight funds will address the ongoing oversight responsibilities necessary to support an \$18.4 billion annual transit program, as well as attend to the increasingly complex oversight activities required to ensure compliance with FTA's new safety authority.

MAP-21 requires FTA to establish a safety certification training program for certain public transportation industry employees and in FY 2016 expenses associated with this program and related safety training will be made available with funds authorized under Section 5338(i).

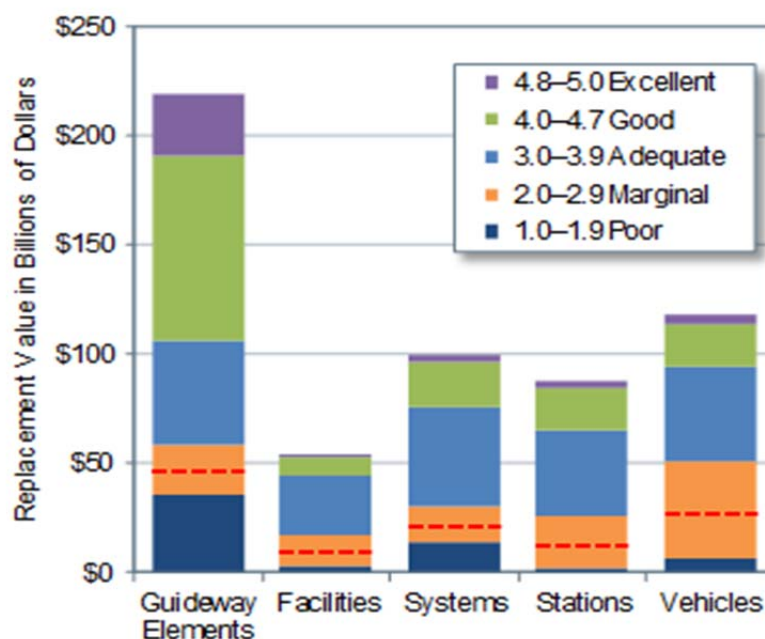
Why Is This Particular Program Necessary?

The Transit Formula Grants program is needed to provide continued Federal support for transit agencies to maintain their capital base and provide high-quality, safe and efficient service to the traveling public. Virtually all local transit agencies depend on FTA funds as a revenue source for their budgets. Therefore, the reliability and predictability of FTA formula funds, which comprise nearly 77 percent of FTA's requested FY 2016 budget, is particularly important. DOT's latest Conditions and Performance Report indicates that in 2010, Federal funds represented 19 percent of transit agencies' revenue, including 41 percent of total capital expenditures.²

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

These capital investments help to improve the condition of the nation's transit assets. Studies have shown that the nation's transit assets are suffering from years of under-investment and suboptimal asset management practices. In 2013, DOT's latest Conditions and Performance Report found that an \$86 billion investment (2010 dollars) would be required to address the national backlog of transit asset repairs and replacements. More significantly, more than 10 percent of all buses are estimated to be in need of replacement, more than five percent of all heavy rail and light rail vehicles are estimated to be in need of replacement, and more than one fifth of all track and guideway elements are estimated to be in need of replacement. The backlog of track and guideway elements alone includes \$13.7 billion worth of assets estimated to be in poor condition – the lowest rating on FTA's five point asset condition scale.

Distribution of Asset Physical Conditions by Asset Type for All Modes



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

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

agencies to make informed decisions and enable FTA to track and better account for the condition of transit assets nationwide.

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

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

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

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

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

Transit Formula Grant funds reflect a commitment to ensuring that public transit operates safely, efficiently, reliably, and sustainably so that communities can offer balanced transportation choices that help to improve mobility, reduce congestion, and encourage economic development. The Formula Grants programs provide a comprehensive approach to public transportation

investments. Funding for this account will allow FTA to provide planning, capital, and operating assistance that promote safe and efficient operation and development of public transportation systems. Such systems will serve the mobility needs of citizens while also reducing fuel consumption.

Data indicate that the nation needs to invest approximately \$86 billion simply to eliminate the backlog of transit capital assets currently in poor or marginal condition. To prevent the backlog from growing, and also to support growth in ridership, FTA's estimates suggest that the necessary annual investment over 20 years (from Federal, state, and local governments) would be \$24.5 billion per year. FTA's formula programs help address this by providing a critical financial foundation through regular and predictable Federal support to large and small transit agencies.³ The GROW AMERICA Act included a large, focused program to address this backlog in rail and fixed guideway systems. The reauthorization proposal also supports a dedicated and predictable source of funding to reduce the large backlog of bus state of good repair investments.

The FY 2016 budget request will not reduce the need for State and local governments to continue investments in transit capital and operating assets. Increased Federal investment has, historically gone hand-in-hand with increased State and local investment. These funds will help make a down payment on reducing the state of good repair backlog and ensure the traveling public, including targeted populations, have access to public transportation. Funding for planning programs will help ensure that MPO and State approaches to transportation planning are more holistic, accountable, and transparent, thereby encouraging sound investments to help ensure that the nation's state of good repair and capacity needs are met.

How Do We Know The Program Works?

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

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

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

Analyses of existing data reveal several trends that indicate that transit systems are in demand. First, system coverage, capacity, and use are increasing. As of 2012, there were 252,029 route miles of urban transit routes in the United States, more than a 5 percent increase since 2002. Meanwhile, urban transit ridership has increased 14.8 percent over the same time period, to more than 10.3 billion urban transit trips in 2012. Lastly, the number of miles a vehicle remained in service increased for both rail and non-rail public transit systems in the same time period. FTA will be able to undertake additional analyses to improve the system with the more comprehensive data collection continued under the GROW AMERICA Act. Combined with research that indicates inclusive planning practices help improve performance, the 2016 proposal for Transit Formula Grants provides a comprehensive approach to supporting the needs of public transit.

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

- Demand for public transportation is on the rise as evidenced by increased ridership and by the number of communities expanding existing systems or opening new transit systems. More transit riders help to improve mobility, but also put a strain on the capacity of existing and aging systems. Moreover, communities across the nation are looking to establish or grow existing transit services as urban populations grow and the need for specialized transportation services for elderly and disabled riders increases. The result is a need for increased investment by all levels of Government to meet repair and capacity needs.
- MAP-21 continued some formula programs but also created new programs and consolidated some programs authorized under the previous authorization. Major formula programs include grants to Urban and Rural areas, State of Good Repair, and Bus and Bus Facilities Grants. In the GROW AMERICA Act, FTA proposes to essentially maintain the MAP-21 program structure, while significantly increasing funding for State of Good Repair and Bus and Bus Facilities Grants to help address a growing transit asset backlog.
- Additionally, MAP-21 created new requirements for grantees in the areas of safety, performance-based planning, and state of good repair/asset management. FTA proposes to continue these requirements in the GROW AMERICA Act in FY 2016.
- The U.S. is seriously under-investing in both the maintenance and recapitalization of the transit systems that it has built over the last century. Data show that the nation's rail and bus systems face roughly an \$86 billion maintenance backlog that continues to grow. MAP-21 created a State of Good Repair Formula Grants program that funds replacement and rehabilitation of capital assets for fixed-guideway and bus systems operating on High Occupancy Vehicle (HOV) lanes, including bus rapid transit (BRT). Consistent with the GROW AMERICA Act, FTA's budget includes a significant increase in funding that will enable it to better address the Administration's goals of bringing these assets into a state of good repair.

- Our nation's bus systems suffer from deteriorating and aging assets. FTA found that approximately 40 percent of bus assets need significant investments to bring them into a state of good repair. The current program structure and funding does not address this issue. In particular there is no source of funds to help with large reinvestment needs, such as replacement of maintenance facilities. The FY 2016 Budget will help address the bus backlog and provide a source of funding for one-time large bus and facility investments through a combination of formula and discretionary grant funds.
- Formula funds also are provided to continue support for FTA's State Safety Oversight program, a key element of FTA's safety authority established under MAP-21 and the GROW AMERICA Act.

DETAILED JUSTIFICATION

ADMINISTRATIVE EXPENSES

For FY 2016, the President's Budget requests \$114.4 million for Administrative Expenses. The Federal Transit Administration's (FTA) Administrative Expenses appropriation provides resources for salaries, benefits and administrative expenses to carry out the Agency's stewardship of Federal funds, including: technical assistance to grantees during project development and program implementation, capital project oversight and grantee compliance, staffing the Office of Safety and Oversight to develop and administer a State Safety Oversight program funded through the Transit Formula Grants account, and support for Transit Asset Management activities, which include developing objective standards to measure capital asset condition and collecting data on the asset condition of FTA's grantees. The Administration proposes funding these programs within a multi-year surface transportation reauthorization. As part of that reauthorization proposal, FTA administrative expenses currently funded from the General Fund would be funded from the Mass Transit Account of the Transportation Trust Fund within the Transit Formula Grants account.

EXHIBIT III-1

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

	FY 2014 ACTUAL (GF)	FY 2015 ENACTED (GF)	FY 2016 REQUEST 1/ (TF)	CHANGE FY 2015 - 2016
Administrative Expenses (GF/TF)	105,933	105,933	114,400	8,467

1/ The FY 2016 Request proposes to fund Administrative Expenses from the Transit Formula Grants account of the renamed Transportation Trust Fund. In FY 2014 and FY 2015, the Administrative Expenses account received appropriations from the General Fund.

EXHIBIT III-1A

**FEDERAL TRANSIT ADMINISTRATION
ADMINISTRATIVE EXPENSES
SUMMARY ANALYSIS OF CHANGE FROM FY 2015 TO FY 2016
Appropriations, Obligation Limitations and Exempt Obligations
(\$000)**

	<u>AMOUNT</u>	<u>FTE</u>
FY 2015 BASE	105,933	530
FY 2015 Adjustments to Base:		
FY 2015 Pay Raise	183	
FY 2016 Pay Raise	780	
GSA Rent	74	
Working Capital Fund Increase/Decrease	284	
Non-Pay Inflation 1.0%	153	
FTE		32
Subtotal, Adjustments to Base	1,473	562
FY 2016 Program Changes:		
Administrative Expenses	6,994	18
Subtotal, Program Changes	6,992	18
Total, FY 2016 Administrative Expenses	114,400	580

EXHIBIT III-2
ANNUAL PERFORMANCE RESULTS AND TARGETS
ADMINISTRATIVE EXPENSES

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

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

Reduce total transit fatalities to 0.491 per 100 million passenger miles traveled by 2018.	2010	2011	2012	2013	2014	2015	2016
Target	NA	0.547	0.543	0.538	0.530	0.520	0.510
Actual	0.533	0.535	0.602	.609 (p)	0.487 (p)		

(p) Preliminary

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

DOT Goal: Organizational Excellence

Maintain/limit average number of days to complete grant processing after submission of a completed application to less than 36 annually.	2011	2012	2013	2014	2015	2016
Target	36	36	36	36	36	36
Actual	34	29	24	25		

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

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

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

Detailed Justification for the Administrative Expenses

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

FY 2016 – ADMINISTRATIVE EXPENSES (\$000)

Program Activity	FY 2014 ENACTED	FY 2015 ENACTED	FY 2016 REQUEST	Difference from FY 2015
Administrative Expenses	105,933	105,933	114,400	8,467
Total	105,933	105,933	114,400	8,467

The budget requests \$114.4 million for FY 2016, an \$8.5 million increase over the FY 2015 enacted level. The increase supports FTA core operations, mandatory expenses, and an additional 50 full-time equivalent employees (FTE) compared to FY 2015. Historically, Administrative Expenses were funded from the General Fund. Consistent with the Administration's reauthorization proposal, the GROW AMERICA Act, the FY 2016 budget proposes to fund Administrative Expenses from the Transit Formula Grants account under the Mass Transit Account of the Transportation Trust Fund.

Administrative Expenses -- FTE Summary

Program Activity	FY 2015 ENACTED	FY 2016 REQUEST	Difference from FY 2015
Administrative Expenses	530	580	50
Total	530	580	50

What Is This Program and Why is it Necessary?

The purpose of the *Administrative Expenses* budget is to fund FTA's operations including nearly all administrative functions such as salaries, benefits, travel, rent, communications, printing, contracts, supplies, equipment and all other administrative and operational costs. The FTA is comprised of a national headquarters in Washington, D.C. and 10 regional offices located around the country.

The FTA manages grant programs that support public transportation within the United States. At the end of FY 2014, there was approximately \$77 billion in net total obligations in active grants administered by the agency. Currently, most costs for administering these grants are paid out of the Administrative Expenses account and represent approximately one percent of the total FTA annual budget.

FY 2014 Base Accomplishments

- FTA issued an Advance Notice of Proposed Rulemaking (ANPRM) for Safety Transit Asset Management that solicited feedback from the transit industry on FTA's new transit asset management and safety regulatory authority.
- FTA issued a Bus Safety Study to Congress, which was required by MAP-21.
- FTA issued final policy guidance related to transit representation on Metropolitan Planning Organization (MPO) boards, as well as the Notice of Proposed Rulemaking (NPRM) for the Joint Regulation-Metropolitan and Statewide Planning Rule (Sec. 5303, 5304).
- FTA began hiring several new employees for the Office of Safety and Oversight.
- FTA issued four final and five proposed FTA program Circulars that reflect changes made by MAP-21.
- FTA processed and reviewed 2,500 new grants during the fiscal year.
- FTA issued program guidance on new reporting requirements for the National Transit Database covering requirements related to safety incident reporting, asset inventory reporting, and other National Transit Database (NTD)-related aspects of MAP-21 implementation.

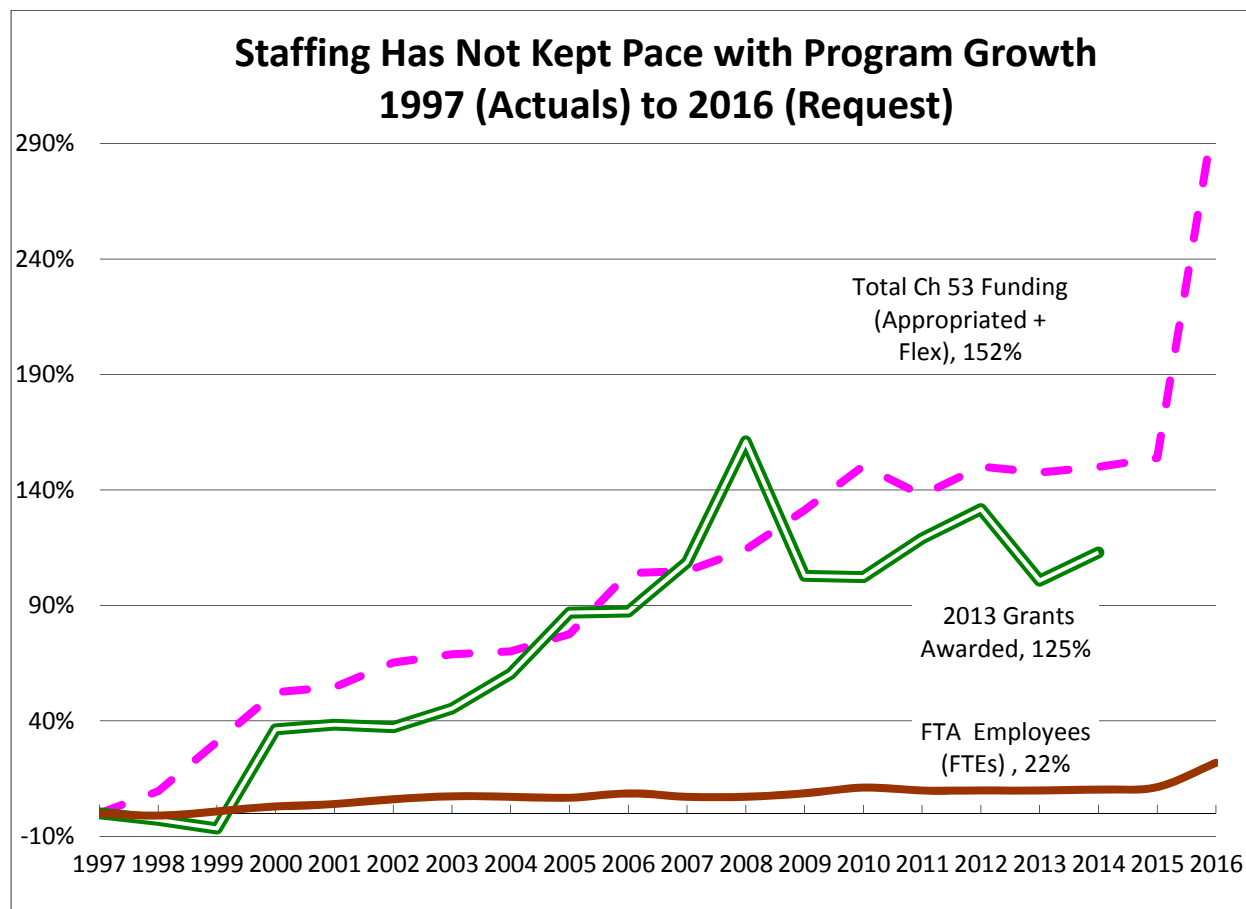
FY 2015 Anticipated Accomplishments

- FTA plans to update its financial and grant management system as well as to take steps to educate and inform current grantees about policy and procedural changes.
- FTA expects to issue a Notice of Proposed Rulemaking (NPRM) for the State Safety Oversight (SSO) program.
- FTA expects to issue five authorization reports to Congress.
- FTA expects to issue five appropriation reports to Congress.
- FTA expects to issue quarterly reports on the financial management oversight activities to Congress.
- FTA expects to issue two proposed and five final Circulars, which reflect changes made to programs by MAP-21.
- FTA expects to issue five proposed Regulations, which reflect changes to programs by MAP-21.
- FTA expects to issue one final policy guidance documents for private sector participation, which reflects changes to programs by MAP-21
- FTA expects to issue an interim policy guidance document related to Capital Investment Grants, which reflects changes to the program by MAP-21.

FTA is requesting an increase of 50 FTE (9 percent increase over the FY 2015 enacted level). The additional staff will help FTA meet its core operations in grant management oversight, environmental reviews, legal, administration, asset management, financial management, and data quality control and analysis needed to comply with MAP-21 requirements.

FTA's authorized responsibilities have grown along with the increase in program funding. Most significantly, MAP-21 provided new or expanded programs for state of good repair, capital investment grants, emergency relief grants, transit oriented pilot program and strengthens public transportation safety to address the current lack of uniform safety standards that apply to all public transportation agencies. The FY 2016 request is based on continuing these authorities while more aggressively

addressing the nation's State of Good Repair backlog and growing system capacity to meet increasing demands.



How Do You Know The Program Works?

Although FTE staffing has grown only marginally since the enactment of SAFETEA-LU in 2005, program responsibilities have increased with new programs, new regulations, and new guidance. Including estimated FHWA Flex fund transfers of approximately \$1.3 billion annually, FTA program funding levels have grown by more than \$2 billion between FY 2006 and FY 2014, and by over \$7 billion in the FY 2016 budget request compared to the FY 2015 enacted level. In FY 2014, FTA awarded 275 more grants than in FY 2006 with roughly the same staffing and resources. In FY 2014, FTA obligated approximately \$15.6 billion in all grants awarded that year.

FTA continues to strive to improve the grant-making process, as evidenced by the decrease in the average number of days to process a grant – from 40 days in FY 2010 to 25 days in FY 2014. Moreover, 95 percent of FTA grants were obligated in 60 days during FY 2014. FTA's relatively stable workforce continues to be productive and efficient to keep pace with the increase in responsibilities.

FTA maintains a set of performance metrics to monitor the outcomes of its programs. For example, FTA's rail transit safety performance, and the effectiveness of the Office of Safety and Oversight, will be measured by whether transit injury and fatality rates improve over time. To validate the causal

connection between Federal and state oversight efforts and national safety statistics, FTA plans to conduct program evaluations over time. The goal of the evaluations will be to determine if the program is designed appropriately to affect transit safety performance. To evaluate the effectiveness of its State of Good Repair formula program and related capital improvement programs, FTA will measure changes in the backlog of assets in need of repair or replacement as well as use data collected through its new Transit Asset Management reporting module of the NTD.

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

Below is an itemized breakdown of the major components of the request for FTA's Administrative Expenses budget. The salaries and benefits for 580 FTEs account for approximately 70 percent of the total FY 2016 Administrative Expenses budget. The remaining 30 percent of the administrative budget supports rent, utilities, travel, training, contracts, equipment, supplies, and related expenses.

Salaries and Benefits

Over the past decade, the role and responsibilities for the FTA have grown significantly faster than its administrative resources. The request includes funding for 580 FTEs, 50 FTEs above the FY 2015 enacted level. The 50 FTEs in this request will be dedicated to core operational needs that address audit findings in grant management and internal controls, environmental reviews, legal, administration, and financial management.

Travel

The budget request includes funding to meet the mission-critical travel requirements of successfully overseeing more than \$100 billion in active grants. FTA staff from headquarters and 10 regional offices make site visits to transit agencies and properties to conduct oversight activities, provide technical assistance in the planning and management of existing and proposed transit systems and infrastructure, engage in legal actions, and attend quarterly meetings to discuss 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 when compared to more heavily travelled urban areas. With FTA's growing responsibilities, the agency needs greater capacity to conduct mission-critical business with its partners and the public.

FTA is actively taking advantage of information technology in order to reduce the cost of travel. For example, the use of video conferencing equipment is promoted in order to have "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.

Contractual Services

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

Printing

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

Administrative Cost Savings Efforts

FTA has been forced to operate on a very lean administrative budget for over 10 years. As a result, FTA has actively looked for ways to reduce its administrative costs in order to fund mission-critical activities. We have taken advantage of most piggy-backing or co-location opportunities and do not acquire unnecessary goods or services. Below are examples of cost savings activities undertaken in FY 2014.

Subscriptions

FTA has maintained a very conservative policy regarding subscriptions to online publication services that will continue into FY 2015 and FY 2016. We have limited the number of subscriptions to just four. FTA's primary subscription is to Congressional Quarterly, which is a valuable resource for the agency to track legislation and regulatory issues.

Mission-Critical Travel

In FY 2012, OMB issued Memorandum 12-12 which transformed the travel policy and created restrictions on a currently constrained travel budget. Program Offices are to travel at a 30 percent overall decreased budget until FY 2016. While travel is essential for FTA to carry out core business functions, FTA has made a concerted effort to limit unnecessary, non-mission critical travel. For example, if an employee does not have a clear role at a conference, travel is not allowed. The FTA has encouraged their program offices to decrease the number of employees attending site visits. This has saved the FTA thousands of travel funds related to mission-critical activities. Employees are also not allowed to travel to attend optional training – or training that does not contribute directly to the ability to perform important job requirements. For FTA, mission critical travel includes:

- Site visits to oversee multi-million or multi-billion dollar projects, which is FTA's top travel priority;
- Participating in important meetings with grantees and project stakeholders to address immediate problems or issues;
- Attending selected conferences where 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 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 FTA at important meetings and other official events; and
- Travel necessary for FTA staff to carry out the agency's core business.

Mission-Critical Training

The FTA places a priority on training to improve employee productivity and performance. Although, training in FY 2014 has increased slightly, managers have to target limited training resources to ensure that staff are receiving only mission-critical training.

Conference and Large Events

The FTA is working to ensure effective and efficient spending by closely reviewing all meetings, workshops, and conferences sponsored by the agency or attended by staff. The FTA has adopted a new internal approval policy for these events. This policy includes using a system that requires staff, management, and executives to review and approve all such events.

Printing

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. FTA published a 1-2 page notice in the Federal Register and posted additional material/tables on its website, which saved tens of thousands of dollars in printing costs. FTA will explore similar options for its Notices of Funding Availability, grant announcements, and other communications.

FTA anticipates producing several programmatic regulations and guidance in FY 2015 and FY 2016. FTA will use its web page to publish tables and related documents to a Federal Register Notice to the fullest extent possible to publish tables and related documents of federal register notices while still complying with its legal requirements for printing some items .

In FY 2016, FTA plans to continue various desktop print cost reduction efforts, such as:

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

Electronic Devices

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

IT Devices – Laptop computers

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

Vehicle Fleet

Within its 10-regional office structure, FTA only maintains three vehicles in high-need regions where it is less expense to use a vehicle than take air transportation. This represents less than one percent of DOT’s total fleet. These are fuel-efficient vehicles and FTA’s FY 2016 goal is to continue to increase the use of alternative fuels in these vehicles.

Data Centers

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

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

The FY 2016 budget includes funding for core administrative activities that support FTA operations in both headquarters and in 10 regional offices located throughout the country. With the FY 2016 budget, the FTA will have approximately 580 FTEs and an annual budget of about \$18 billion. Most of these funds will be awarded through grants to over 1,000 transit agencies located throughout the country and support transit capital improvements, maintenance, and in some cases operations.

In the FY 2016 budget, nearly all of FTA’s administrative functions (salaries, benefits, travel, rent, communications, printing, contracts, supplies, equipment and other costs) are funded under the Administrative Expenses line item in the Transit Formula Grants account of the Transportation Trust Fund. The FTA functions include financial management, grants management, research, training, legal and environmental reviews, contract management, human resource management, information technology, policy and regulatory development, and safety, civil rights, and project oversight.

Without infrastructure and staff located in Washington, D.C. and in the 10 regional offices across the country, FTA would not be able to effectively deliver its multi-billion dollar transit program. FTA provides technical assistance and guidance to more than 1,000 grantees, evaluates funding applications

and awards grants, oversees grant-funded projects of which many are mega-projects with over \$1 billion of FTA funds, develops program and policy guidance for industry stakeholders, conducts research, and carries out essential financial management and organizational services.

CAPITAL INVESTMENT GRANTS

(LIQUIDATION OF CONTRACT AUTHORITY)

(LIMITATION ON OBLIGATIONS)

(TRANSPORTATION TRUST FUND)

Contingent upon enactment of multi-year surface transportation authorization legislation, for the payment of obligations incurred in carrying out the provisions of 49 U.S.C. 5309, \$3,250,000,000, to be derived from the Mass Transit Account of the Transportation Trust Fund and to remain available until expended: Provided, That funds available for the implementation or execution of activities authorized under 49 U.S.C. 5309 shall not exceed total obligations of \$3,250,000,000 in fiscal year 2016.

CAPITAL INVESTMENT GRANTS

PROGRAM AND PERFORMANCE

The FY 2016 Budget includes a total of \$3.250 billion for the Capital Investment Grants program to increase the capacity of the nation's transit network and meet ridership demands in many communities. This is accomplished by supporting the construction of new fixed guideway systems or extensions to fixed guideways, corridor-based bus rapid transit systems, and core capacity improvement projects, and accelerated project development and delivery work. These projects include heavy rail, light rail, commuter rail, bus rapid transit, and streetcar systems that are administered by communities across the country. FTA allocates resources to grantees through a multi-year, multi-step competitive process. Prior to funding, each project is required to obtain an acceptable rating under a set of statutorily defined criteria that examine project merit and local financial commitment.

The Administration is proposing to fund this program within a multi-year surface transportation reauthorization, the GROW AMERICA Act. As part of that reauthorization proposal, programs currently administered from this account would be funded from the Mass Transit Account of the Transportation Trust Fund. Additionally, a new eligibility under the Capital Investment Grants program would be created for corridor or regional bus service projects in areas under 200,000 in population.

EXHIBIT III-1

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

	FY 2014 ENACTED 1/ (GF)	FY 2015 ENACTED 2/ (GF)	FY 2016 REQUEST (TF)	CHANGE FY 2015- 2016
Capital Investment Grants (5309) (GF/TF)	1,942,938	2,120,000	3,250,000	1,130,000

1/ The total funding available for the Capital Investment Grants program in FY 2014 was \$2.132 billion. This included \$1.943 billion in new budget authority and \$189 million of prior year unobligated balances.

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

Program and Performance Statement

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

EXHIBIT III-1a

**CAPITAL INVESTMENT GRANTS
SUMMARY ANALYSIS OF CHANGE FROM FY 2015 TO FY 2016
Appropriations, Obligations, Limitations, and Exempt Obligations
(\$000)**

	Change from FY 2015 to FY 2016 <u>\$000</u>	Change from FY 2015 to FY 2016 <u>FTE</u>
FY 2015 BASE	2,120,000	N/A
Adjustments to Base:	-	
SUBTOTAL, ADJUSTMENTS TO BASE	2,120,000	
NEW OR EXPANDED PROGRAMS:		
Capital Investment Grants	1,130,000	
SUBTOTAL, NEW OR EXPANDED PROGRAMS	3,250,000	
FY 2016 REQUEST	3,250,000	

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

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

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

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

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

Increase the total number of urban and rural transit boardings to 11.2 billion in 2018.							
	2010*	2011*	2012*	2013	2014	2015	2016
Target				10.5B	10.6B	10.8B	10.9B
Actual	10.1B	10.3B	10.5B	10.5B	NA		

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

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

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

Increase the transit market share among commuters to work in at least 10 of the top 50 urbanized areas by population by 2018, when compared to a 2010 baseline.							
	2010	2011	2012	2013	2014	2015	2016
Target	NA	2	4	5	6	7	8
Actual	0	1	4	3	NA		

Public transportation's role in providing additional transportation options for America's communities is

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

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

Program and Financing (in millions of dollars)

		2014	2015	2016
Identification code: 69-8543-4-7-401		Actual	Enacted	Est.
Obligations by program activity:				
0001	Direct program activity	1,875
0900	Total new obligations	1,875
Budgetary resources:				
Budget authority:				
Appropriations, discretionary:				
1101	Appropriation (special or trust fund)	3,250
1137	Appropriations applied to liquidate contract authority	-3,250
1160	Appropriation, discretionary (total)
Contract authority, mandatory:				
1600	Contract authority	3,250
1640	Contract authority, mandatory (total)	3,250
1900	Budget authority (total)	3,250
1930	Total budgetary resources available	3,250
Memorandum (non-add) entries:				
1941	Unexpired unobligated balance, end of year	1,375
Change in obligated balance:				
Unpaid obligations:				
3000	Unpaid obligations, brought forward, Oct 1
3010	Obligations incurred, unexpired accounts	1,875
3020	Outlays (gross)	-942
3050	Unpaid obligations, end of year	933
Memorandum (non-add) entries:				
3100	Obligated balance, start of year
3200	Obligated balance, end of year	933
Budget authority and outlays, net:				
Mandatory:				
4090	Budget authority, gross	3,250
Outlays, gross:				
4100	Outlays from new mandatory authority	942

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

Program and Financing (in millions of dollars)

		2014	2015	2016
Identification code: 69-8543-4-7-401		Actual	Enacted	Est.
4160	Budget authority, net (mandatory)	3,250
4170	Outlays, net (mandatory)	942
4180	Budget authority, net (total)	3,250
4190	Outlays, net (total)	942
Memorandum (non-add) entries:				
5061	Limitation on obligations (Transportation Trust Funds)	3,250

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

Object Classification (in millions of dollars)

		2014	2015	2016
		Actual	Enacted	Est.
Identification code: 69-8543-4-7-401				
Direct obligations:				
0001	Other services from non-Federal sources	28
0900	Grants, subsidies, and contributions	1,847
	Total new obligations	-	-	1,875

Detailed Justification for the Capital Investment Grants Program

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

FY 2016 – CAPITAL INVESTMENT GRANTS (\$000)

Program Activity	FY 2014 Enacted 1/	FY 2015 Enacted 2/	FY 2016 Request	Difference from FY 2015
Capital Investment Grants (GF/TF)	1,942,938	2,120,000	3,250,000	1,130,000

1/ The total funding available for the Capital Investment Grants program in FY 2014 was \$2.132 billion. This included \$1.943 billion in new budget authority and \$189 million of prior year unobligated balances.

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

The FY 2016 Budget requests \$3.250 billion for *Capital Investment Grants* to fund four categories of projects:

- New Starts
 - Projects that receive more than \$75 million in Section 5309 discretionary funding or have an estimated total capital cost exceeding \$250 million.
- Small Starts
 - Projects that receive less than \$75 million in Section 5309 discretionary funding and have an estimated total capital cost less than \$250 million.
- Core Capacity Improvement Projects
 - Corridor-based improvement projects that enhance capacity by at least 10 percent in existing fixed-guideway corridors that are at capacity today or will be in five years.
- Accelerated Development and Delivery
 - For New and Small Starts projects currently in the program pipeline that were unable to receive a rating and funding recommendation at the time of the President's FY 2016 budget submittal, but potentially could receive an acceptable rating prior to the conclusion of FY 2016.
 - For Accelerated Project Development work for communities that have found it challenging to advance local resources for this purpose.
 - For Corridor or Regional Based Bus Service in areas under 200,000 in population (small urban and rural areas) with premium features such as use of advanced technologies, branding, and other amenities, that could meet a set of streamlined evaluation criteria.

In recent years, FTA has made great strides in improving and streamlining the Capital Investment Grants program process. This includes improving the evaluation measures to reduce reporting

burdens and accelerating the evaluation process for project sponsors, while maintaining a sufficiently rigorous process to justify the commitment of taxpayer dollars.

Of the \$3.250 billion request for the Capital Investment Grants program in FY 2016, approximately \$2.53 billion will support:

- Existing New and Small Starts construction grant agreement commitments already in place;
- New and Small Starts Projects recommended for funding in the President's FY 2015 Budget that have not yet received a construction grant agreement but expect to soon; and,
- Other New and Small Starts projects that have never been previously recommended for funding in the Budget, but FTA has evaluated, rated, and believes will be ready for a construction grant agreement during FY 2016.

Additionally, \$351 million will fund much needed improvements in corridors that are at capacity today or will be within five years under the new Core Capacity eligibility provided in MAP-21.

Lastly, \$320 million will support Accelerated Development and Delivery for projects in the Capital Investment Grants program. Specifically, approximately \$120 million would be for New and Small projects currently in the program pipeline that were unable to receive a rating and funding recommendation at the time of the President's FY 2016 budget submittal, but potentially could receive an acceptable rating of Medium or higher prior to the conclusion of FY 2016.

Approximately \$200 million would be for Accelerated Project Development work for projects in the program pipeline located in communities that have found it challenging to advance local resources for this purpose. Not less than \$75 million of the \$200 million would be for a newly proposed subsection under Section 5309 that would set-aside funding for areas under 200,000 in population (small urban and rural areas) seeking to implement corridor or regional based bus service with premium features such as use of advanced technologies, branding, and other amenities, that could meet a set of streamlined evaluation criteria.

The following is a list of existing and new grant funding agreements for projects (see next page).

Proposed FY 2016 Funding for FTA Capital Investment Grant Program
Dollars in Millions

Existing New Starts Full Funding Grant Agreements With Remaining Funding Needs - Projects Under Construction or Open for Service		
CA Regional Connector Transit Corridor	Los Angeles	\$ 115
CA Westside Subway Extension - Section 1	Los Angeles	\$ 115
CA Third Street Light Rail-Central Subway Project	San Francisco	\$ 165
CA Silicon Valley Berryessa Extension	San Jose	\$ 165
CO RTD Eagle, Denver	Denver	\$ 165
HI High Capacity Transit Corridor	Honolulu	\$ 265
MA Cambridge to Medford, Green Line Extension	Boston Area	\$ 165
NC Charlotte, Blue Line Extension-Northeast Corridor	Charlotte	\$ 115
OR Portland - Milwaukie LRT	Portland	\$ 115
Total Existing New Starts Full Funding Grant Agreements		\$ 1,385

New Starts Projects Recommended for Full Funding Grant Agreements		
CA Westside Section 2	Los Angeles	\$ 100
CA Mid-Coast Corridor	San Diego	\$ 150
CO Southeast Extension	Denver	\$ 92
MD Red Line	Baltimore	\$ 100
MD Maryland National Capital Purple Line	Washington, DC Area	\$ 100
MN Southwest LRT	Minneapolis	\$ 150
TX TEX Rail	Fort Worth	\$ 100
Total Recommended New Starts Projects		\$ 792

Core Capacity (project listed for illustrative purposes only, not yet ready for construction grants)		\$ 351
IL Red and Purple Line Modernization Project	Chicago	
NY Canarsie Line Power Improvements	New York	
TX DART Platform Extension	Dallas	

Small Starts Projects Recommended for Small Starts Grant Agreements		
CA FAX Blackstone/Kings Canyon BRT	Fresno	\$ 11
CA Van Ness Avenue BRT	San Francisco	\$ 30
CA San Rafael to Larkspur Regional Connector	San Rafael	\$ 20
NC CityLYNX Gold Line Phase 2	Charlotte	\$ 75
NV 4th St/Prater Way Corridor	Reno	\$ 6
OH Cleveland Avenue BRT	Columbus	\$ 38
TX Montana Corridor BRT	El Paso	\$ 27
UT Provo Orem BRT	Provo	\$ 71
WA Tacoma Link Light Rail Expansion	Tacoma	\$ 75
Total Small Starts		\$ 353

Accelerated Project Delivery and Development[^]	\$ 320
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Oversight Activities	\$ 49
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Grand Total	\$ 3,250
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[^] For projects that may become ready for construction grant agreements during FY 2016, accelerated project development work including planning activities, and not less than \$75 million for projects in Small Urban/Rural areas with less than 200,000 in population meeting a set of new eligibility parameters and streamlined evaluation criteria.

What Is This Program And Why Is It Necessary?

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

- New Starts -- projects that receive greater than \$75 million in Capital Investment Grants funding or have an estimated capital cost exceeding \$250 million;
- Small Starts -- projects that receive less than \$75 million in Capital Investment Grants and have a total estimated capital cost of less than \$250 million;
- Core Capacity Improvement -- projects that enhance capacity by at least 10 percent in existing fixed-guideway corridors that are at capacity today or will be in five years; and,
- Accelerated Development and Delivery --
 - For New and Small Starts projects currently in the program pipeline that were unable to receive a rating and funding recommendation at the time of the President's FY 2016 budget submittal, but potentially could receive an acceptable rating prior to the conclusion of FY 2016.
 - For Accelerated Project Development work for communities that have found it challenging to advance local resources for this purpose.
 - For Corridor or Regional Based Bus Service in areas under 200,000 in population (small urban and rural areas) with premium features such as use of advanced technologies, branding, and other amenities, that could meet a set of streamlined evaluation criteria.

Capital Investment Grants program funding directly benefits many communities across the country by supporting economic growth and sustainability, enabling transit systems to carry more passengers to meet increasing demands for transit, and by providing the public with more transportation options. Program partners include State and local governments and transit agencies. FTA provides capital funding and performs project oversight to ensure that planning projections are based on realistic assumptions and that design and construction follow acceptable industry practices. Currently, demand for Capital Investment Grants funds exceeds supply—there are more than 60 projects in the grant pipeline either with existing construction grant agreements already in place or awaiting construction grant agreements.

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

The Capital Investment Grants program is needed because it allows transit agencies to undertake major capital projects that would otherwise be infeasible for local governments and transit agencies to finance alone. Many of the nation's transit systems are struggling to keep up with the increased demand for their services as ridership continues to grow. State and local governments are resource

constrained; they rely on the multi-year funding this program provides to help fund these large-scale investments. Therefore, program funding is critical for meeting the current demand for and future needs of transit, and the economic development opportunities that are fostered with these investments in communities nationwide.

FY 2014 Accomplishments

- In December 2013, the Houston North Corridor light rail line was opened for service. FTA provided \$450 million in New Starts funds through a Full Funding Grant Agreement signed in November 2011. The Houston Southeast Line, funded with another \$450 million Full Funding Grant Agreement, is currently under construction and expected to open in 2014. Houston METRO estimates that nearly 1,800 jobs have been created during construction of the two new light rail lines. Combined, the two projects will extend the existing light rail system by an additional 12 miles and provide alternatives to congested Interstate 45 and U.S. Route 59.
- In January 2014, Capital Metro opened the first of two new MetroRapid bus rapid transit (BRT) lines, which connect several neighborhoods in Austin, TX with major business, medical, education, and entertainment hubs along a 21-mile corridor. FTA committed \$38 million in Small Starts funds to Capital Metro for the two BRT lines that have a total project cost of \$47.6 million.
- On April 30, 2014, the Florida Department of Transportation held a grand opening ceremony for the 32-mile Initial Operating Segment of SunRail in Central Florida. This commuter rail service running from DeBary in Volusia County south to Sand Lake Road in Orlando was supported by an FTA Full Funding Grant Agreement signed in July 2011 committing \$178.6 million in Capital Investment Grants funding for the \$357.2 million project. The line is expected to serve 7,400 average weekday boardings by 2030. Construction of the rail line has created thousands of jobs, according to FDOT. Across the entire rail line, more than two dozen retail, office, government, and residential development projects within a 10-minute walk of new SunRail stations are planned or under way – representing about \$1.6 billion in public and private investments altogether.
- On May 10, 2014, the City of Fort Collins, CO opened the 5-mile MAX Bus Rapid Transit line. The project was supported with an FTA Small Starts Grant Agreement signed in May 2012 committing \$65.6 million in Capital Investment Grants funding for the \$86.8 million project. The City estimated the MAX BRT line generated approximately 1,000 construction jobs and spurred local economic development along the route, including construction of hundreds of new apartment units and over 21,000 square feet of planned retail and office space.
- On June 14, 2014, the 11-mile Central Corridor light rail line, also known as the METRO Green Line, opened for service connecting many neighborhoods along the line and providing improved access to four of the largest employment areas in the state—the downtown areas of Minneapolis and St. Paul, the University of Minnesota and the Midway District—as well as the State Capitol complex. FTA provided \$474 million through the Capital Investment Grants program as well as \$4.5 million in other DOT funds toward the \$957 million project. The Metropolitan Council estimates the new light rail line will serve more than 40,000 weekday passengers by the year 2030.

- On July 26, 2014, the Washington Metropolitan Area Transit Authority Silver Line heavy rail extension opened for service. The project, which was the largest expansion of Metrorail service in 20 years—connects the nation’s capital to Tysons Corner and the Reston area of Fairfax County, VA. The 11.7-mile Silver Line Phase 1 project included five new stations, a 2,300-car commuter parking garage, the purchase of 64 rail cars, and expanded capacity at the West Falls Church rail yard. FTA provided \$900 million in FTA Capital Investment Grants funds and \$75 million in other DOT funds toward the \$3.14 billion total project cost. The new line is expected to serve approximately 85,700 daily riders by 2030.
- On August 25, 2014, a 9.6-mile bus rapid transit system in Grand Rapids, MI called the Silver Line system opened for service. The new system uses exclusive bus lanes for much of the route to offer faster, more convenient access to major downtown employers along one of the city’s busiest commercial corridors. FTA contributed approximately \$32 million toward the \$40 million total project cost, including \$19 million through its Capital Investment Grants program and \$13 million through its Bus and Bus Facilities Grant Program.
- During FY 2014, FTA signed two New Starts full funding grant agreements (FFGAs) for the Regional Connector and Westside Subway Section 1 projects in Los Angeles, CA. These two projects are expected to serve a total of 79,000 average weekday trips in their first year of operation.
- During FY 2014, FTA signed one Small Starts Grant Agreement (SSGA) for the Perris Valley Commuter Rail project in California. FTA provided \$75 million in Small Starts funds to extend the Metrolink 91 commuter rail line from Riverside to Perris, California. The extension is expected to draw 4,300 riders daily, reducing traffic on I-215 and help area commuters who have some of the longest commutes in Southern California.
- Based on official estimates of the impacts of infrastructure investments on employment generated by the Council of Economic Advisors (CEA), the FY 2014 Capital Investment Grants program funding level is estimated to support more than 26,000 jobs and generate approximately \$7.5 billion in economic benefits.¹
- During FY 2014, FTA approved three New Starts projects, 12 Small Starts projects, and one Core Capacity project into the initial phase of the Capital Investment Grants program. These projects clearly indicate the growing demand around the country for Capital Investment Grants funds to help expand transit options.

FY 2015 Anticipated Accomplishments

- FTA anticipates signing three to five full funding grant agreements (FFGAs) during FY 2015 and seven to nine Small Starts grant agreements (SSGAs).
- The New Starts projects include:
 1. Cambridge to Medford, MA Green Line Extension, expected to serve 37,900 daily trips. The FFGA for this project was signed in January 2015.
 2. Baltimore, MD Red Line, expected to serve 35,200 daily trips

¹ Estimates based on official estimate of the impacts of infrastructure investment on employment generated by Council of Economic Advisors (CEA) within the Executive Office of the President: <http://www.fhwa.dot.gov/policy/otps/pubs/impacts/>.

3. Maryland National Capital Purple Line, expected to serve 44,300 daily trips
 4. Fort Worth, TX TEX Rail, expected to serve 10,200 daily trips
- The Small Starts projects include:
 1. Oakland, CA East Bay Bus Rapid Transit project, expected to serve 27,000 daily trips. The SSGA for this project was signed in November 2014.
 2. Fort Lauderdale, FL Wave Streetcar, expected to serve 2,100 daily trips.
 3. Jacksonville, FL, BRT North, expected to serve 4,600 daily trips
 4. Jacksonville, FL, BRT Southeast, expected to serve 4,700 daily trips;
 5. Eugene, OR, West Eugene EmX Extension, expected to serve 7,400 daily trips
 6. El Paso, TX, Dyer Corridor BRT, expected to serve 3,400 daily trips

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

The \$3.250 billion budget request supports existing and new construction grant agreements for New Starts and Small Starts projects (\$2.53 billion). It also provides funding for the new Core Capacity program (\$351 million). Lastly, it provides \$320 million for accelerated project development and delivery. These projects will expand transportation options and provide economic benefits to communities where the public seeks alternatives to driving. Transit systems across the country play an important role by carrying tens of millions of riders each day to jobs, commercial centers, schools and colleges. FTA's budget request continues important and strategic investments in public transportation infrastructure to help meet these needs. Without funding at the requested level, projects with existing construction grant agreements and new projects included in the budget could be delayed leading to higher finance costs paid for by the project sponsors.

Providing a transparent and streamlined Capital Investment Grants program enables FTA to deliver more quickly important transit infrastructure projects in communities across the country. The new Core Capacity eligibility under the program provides FTA with the opportunity to invest in important capacity expansion projects in places that have proven transit demand. The \$3.250 billion request for the Capital Investment Grants program will help ensure FTA is able to effectively support the Administration's economic competitiveness, mobility, and environmental goals.

How Do We Know The Program Works?

Capital transit investments yield significant benefits.

- Every \$1 billion of Federal investment in public transportation supports approximately 13,000 jobs.
- According to industry reports, every \$1 billion invested in public transit generates an estimated \$3.5 billion in economic activity; and each year 4 billion gallons of gasoline are saved and 37 million metric tons of carbon dioxide emissions are avoided because of public transit.

- Studies have also shown that privately funded development in areas surrounding transit stations increase property values of adjacent homes and businesses by as much as 130 percent.
- Transit in America's cities saves travelers an estimated \$13.7 billion and 646 million hours in delays commuting every year.

Further, transit ridership is at the highest level in five decades. If not for the impact Hurricane Sandy had on disrupting transit in the northeastern United States, transit ridership in 2012 would have been the highest level in nearly 50 years with approximately 10.5 billion trips.

Demographic changes related to an aging population, the influx of new immigrants, and the migration of the population to urban areas will continue to affect demand for transit. Demand for transit is already evident in many communities and by the number of transit projects indicating interest in future Capital Investment Grants program funds. There are currently more than 60 projects in the grant program pipeline and their request for Capital Investment Grants program funding well exceeds the program's current funding levels.

As further evidence of the demand for transit and the success of the Capital Investment Grants program, FTA requires each New Starts project sponsor to complete a "Before-and-After Study" two years after a project has been open for service in which the sponsor must compare the estimated project capital cost with the actual cost to complete and estimated and actual ridership data. Recently, six Before-and-After studies were completed on the following projects that opened for service in 2008 and 2009:

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

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

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

- Were it not for Hurricane Sandy's impact on the largest transit system in the country (NYC--Metropolitan Transit Authority) disrupting and temporarily shutting down service, transit ridership in the United States in 2012 would have set a new record – surpassing the highest ridership in 1957 – with approximately 10.5 billion trips. Census and other demographic trends indicate that we can expect strong transit ridership growth in the future.

- The United States will face a population increase of an estimated 100 million new residents by 2050 nationwide, and much of that growth will be concentrated in cities with existing but inadequate transit services that are unable to handle the increased demand for transit.
- As the population ages, an increasing number of elderly adults depend on public transit to access medical care and other vital services. At the same time, the percentage of 14 to 34 year-olds without a driver's license continues to grow. And economists predict that unstable and rising gasoline prices are the “new normal” that will last long into the future. Taken together, these trends produce unprecedented stress and pressure on the ability of our nation’s public transportation systems to respond and provide sufficient service.
- The Capital Investment Grants 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. In fiscal years 2011 and 2012, FTA funded more New Starts and Small Starts projects than in any comparable two-year period in the program’s 30-year history—a clear indication of the intense demand from communities around the United States for new and expanded transit services. In addition, the newly proposed Rapid Growth Area Transit Program will augment the Capital Investment Grants program by:
 - (a) Specifically targeting bus rapid transit (BRT) resources at fast-growing areas. BRT services can often be implemented more quickly than other major capital investments and thus can help those areas build transit ridership and get ahead of the congestion that can come from rapid growth.
 - (b) Implementing the BRT program at a 50 percent Federal/local match to encourage an early and sound local financial commitment, in exchange for evaluation criteria that is more streamlined than that found in the Capital Investment Grants program.
 - (c) Encouraging an explicit multi-modal corridor investment by permitting the non-FTA portion of the local match to include up to 30 percent in FHWA funds for complementary street improvements that facilitate easy and safe pedestrian access to the transit line, as well as signal prioritization and other technologies that ensure BRT’s efficient operation within a corridor.
- FTA has extensive experience successfully administering the Capital Investment Grants program. These competitive grants are awarded only after the projects are evaluated and rated according to statutorily-defined criteria and the projects have progressed satisfactorily through a multi-step process defined in law.
- A new type of eligible project was added to the Capital Investment Grants program under MAP-21 called Core Capacity Improvements. These projects help increase capacity by at least 10 percent in fixed-guideway corridors already at capacity or will be in five years. There are currently three Core Capacity projects in the project development phase of the program (Chicago, New York and Dallas), and FTA has received three additional core capacity requests to enter the Capital Investment Grants program that are under review.

TRANSIT RESEARCH AND TRAINING

(LIQUIDATION OF CONTRACT AUTHORITY)

(LIMITATION ON OBLIGATIONS)

(TRANSPORTATION TRUST FUND)

Contingent upon enactment of multi-year surface transportation authorization legislation, for the payment of obligation incurred in carrying out Transit Research and Training programs under 49 U.S.C. 5312, 5313, 5314 and 5322, as amended by such authorization \$60,000,000 to be derived from the Mass Transit Account of the Transportation Trust Fund, to remain available until expended: Provided, That funds available for the implementation or execution of such programs shall not exceed total obligations of \$60,000,000 in fiscal year 2016.

. TRANSIT RESEARCH AND TRAINING PROGRAM ACCOUNT

PROGRAM AND PERFORMANCE

The FY 2016 budget presents FTA's program authorization and account structure and aligns with the first year of the Administration's multi-year reauthorization proposal, the GROW AMERICA Act. The Administration proposes to fund this account from the Mass Transit Account of the Transportation Trust Fund. The FY 2016 budget request includes \$60 million for this account and program allocations are as follows:

- **Research** – \$26 million. This program supports research activities that improve the safety, reliability, efficiency, and sustainability of public transportation by investing in the development, testing, and deployment of innovative technologies, materials, and processes.
- **Transit Cooperative Research Program-** \$7 million. This program provides funding to the National Academy of Sciences to conduct investigative research on subjects related to public transportation.
- **Technical Assistance-** \$7 million. This program enables FTA to provide technical assistance to the public transportation industry, with an emphasis on improving access for all individuals and transportation equity. Through this program, FTA is able to assist recipients to more effectively and efficiently provide public transportation, and administer Federal funding in compliance with the law.
- **Human Resources and Training-** \$20 million. This program enables FTA to carry out human resource and training activities within the transit industry, as well as to establish a competitive workforce development grant program. FTA's goal is to improve the skill-sets, knowledge, and abilities of transit industry employees that operate increasingly complex vehicle and equipment systems as well as building new pathways into the transit industry for job-seekers.

EXHIBIT III-1

**TRANSIT RESEARCH AND TRAINING PROGRAM
SUMMARY OF PROGRAM ACTIVITY
Appropriations, Obligation Limitations, and Exempt Obligations
(\$000)**

	FY 2014 ACTUAL (GF)	FY 2015 ENACTED (GF)	FY 2016 REQUEST (TF)	CHANGE FY 2015 - 2016
Transit Research and Training Program (Section 5312-14, 5322)	43,000	33,000	60,000	27,000
Transit Research and Training Program (Section 5314, 5322)	<u>5,000</u>	<u>4,500</u>	<u>-</u>	<u>-4,500</u>
TOTAL	<u>48,000</u>	<u>37,500</u>	<u>60,000</u>	<u>22,500</u>

Program and Performance Statement:

In FY 2016, FTA is requesting \$60 million to provide ongoing progressive transit research, technical assistance, training, and workforce development efforts. The research efforts will include: testing and deploying approaches to improving transit safety and state of good repair/asset management, increasing transit ridership, and meeting the service needs of targeted populations. In addition, this account will fund the *Transit Cooperative Research Program* through the National Academy of Sciences in its efforts to conduct investigative research on subjects related to public transportation. *Technical Assistance* efforts will focus on the delivery of more effective and efficient transit service and support the improved administration of Federal transit funds. Lastly, the account will support *Human Resources and Training* efforts to foster workforce development programs that help build Ladders of Opportunity in public transportation to improve the skills and capabilities of employees in the transit industry.

EXHIBIT III-1a

**TRANSIT RESEARCH AND TRAINING PROGRAM
SUMMARY ANALYSIS OF CHANGE FROM FY 2015 TO FY 2016
Appropriations, Obligation Limitations, and Exempt Obligations
(\$000)**

	Change from FY 2015 to FY 2016 AMOUNT	Change from FY 2015 to FY 2016 FTE
FY 2015 BASE	<u>37,500</u>	<u>N/A</u>
Adjustments to Base	<u>-</u>	
SUBTOTAL, ADJUSTMENTS TO BASE	37,500	
NEW OR EXPANDED PROGRAMS:		
Transit Research and Training	<u>22,500</u>	
SUBTOTAL, NEW OR EXPANDED PROGRAMS	22,500	
FY 2016 REQUEST	60,000	

EXHIBIT III-2
ANNUAL PERFORMANCE RESULTS AND TARGETS TRANSIT
RESEARCH AND TRAINING PROGRAM

The Federal Transit Administration integrates performance results into its budget request to demonstrate alignment with the Department of Transportation's 2012-2014 Strategic Plan. When evaluating these goals, please note the following:

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

The Federal Transit Administration tracks the following DOT level performance measures to demonstrate program results:

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

Increase the total number of urban and rural transit boardings to 11.2 billion in 2018.	2010*	2011*	2012*	2013	2014	2015	2016
Target				10.5B	10.6B	10.8B	10.9B
Actual	10.1B	10.3B	10.5B	10.5B	NA		

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

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

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

Increase the transit market share among commuters to work in at least 10 of the top 50 urbanized areas by population by 2018, when compared to a 2010 baseline.	2010	2011	2012	2013	2014	2015	2016
Target	NA	2	4	5	6	7	8
Actual	0	1	4	3	NA		

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

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

Keep the nation's transit state of good repair backlog to less than \$100 billion (current-year dollars) through 2018.	2010*	2011	2012	2013	2014	2015	2016
Target	\$77.7B	\$88B	\$90B	\$92B	\$94B	\$96B	\$98B
Actual	\$85.9	NA	NA	NA	NA		

(r) Revised

*Actual data for the 2010 state of good repair backlog of transit capital assets in need of replacement or refurbishment has been released as part of the 2013 DOT Conditions & Performance Report to Congress. FTA's baseline for this metric was developed using 2008 data and reported in the 2010 DOT Conditions & Performance Report to Congress.

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

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

Reduce total transit fatalities to 0.491 per 100 million passenger miles traveled by 2018.	2010	2011	2012	2013	2014	2015	2016
Target	NA	0.547	0.543	0.538	0.530	0.520	0.510
Actual	0.533	0.535	0.602	.609 (p)	0.487 (p)		

(p) Preliminary

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

**DEPARTMENT OF TRANSPORTATION
FEDERAL TRANSIT ADMINISTRATION
TRANSIT RESEARCH AND TRAINING**

Program and Financing (in millions of dollars)

		2014	2015	2016
Identification code: 69-8542-4-7-401		Actual	Enacted	Est.
Obligations by program activity:				
0001	Direct program activity	16
0900	Total new obligations	16
Budgetary resources:				
Budget authority:				
Appropriations, discretionary:				
1101	Appropriation (special or trust fund)	60
1137	Appropriations applied to liquidate contract authority	-60
1160	Appropriation, discretionary (total)	0
Contract authority, mandatory:				
1600	Contract authority	60
1640	Contract authority, mandatory (total)	60
1900	Budget authority (total)	60
1930	Total budgetary resources available	60
Memorandum (non-add) entries:				
1941	Unexpired unobligated balance, end of year	44
Change in obligated balance:				
Unpaid obligations:				
3000	Unpaid obligations, brought forward, Oct 1	0
3010	Obligations incurred, unexpired accounts	16
3020	Outlays (gross)	-12
3050	Unpaid obligations, end of year	4
Memorandum (non-add) entries:				
3100	Obligated balance, start of year	0
3200	Obligated balance, end of year	4
Budget authority and outlays, net:				
Mandatory:				
4090	Budget authority, gross	60
Outlays, gross:				
4100	Outlays from new mandatory authority	12
4160	Budget authority, net (mandatory)	60

**DEPARTMENT OF TRANSPORTATION
FEDERARAL TRANSIT ADMINISTRATION
TRANSIT RESEARCH AND TRAINING**

Program and Financing (in millions of dollars)

		2014	2015	2016
Identification code: 69-8542-4-7-401		Actual	Enacted	Est.
4170	Outlays, net (mandatory)	12
4180	Budget authority, net (total)	60
4190	Outlays, net (total)	12
Memorandum (non-add) entries:				
5061	Limitation on obligations (Transportation Trust Funds)	60

**DEPARTMENT OF TRANSPORTATION
FEDERAL TRANSIT ADMINISTRATION
TRANSIT RESEARCH AND TRAINING**

Object Classification (in millions of dollars)

		2014	2015	2016
Identification code: 69-8542-4-7-401		Actual	Enacted	Est.
Direct obligations:				
25.2	Other services from non-Federal sources	-	-	3
41.0	Grants, subsidies, and contributions	-	-	11
99.0	Subtotal, obligations, Direct obligations	-	-	14
Reimbursable obligations:				
41.0	Grants, subsidies, and contributions	-	-	2
99.9	Total new obligations	-	-	16

Detailed Justification for the Transit Research and Training Program

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

FY 2016 – TRANSIT RESEARCH AND TRAINING PROGRAM ACCOUNT (\$000)

Program Activity	FY 2014 ACTUAL	FY 2015 ENACTED	FY 2016 REQUEST	Difference from FY 2015
Transit Research and Training Program (Section 5312-14, 5322)	43,000	33,000	60,000	27,000
Technical Assistance and Training Program (Section 5314, 5322)	5,000	4,500	-	-4,500
TOTAL	48,000	37,500	60,000	22,500

For FY 2016, FTA requests \$60 million for the Transit Research and Training Program. Together, these activities support the overarching goal of strengthening public transportation in the United States.

FTA's request will be allocated as such:

- \$26 million for the *Research, Development, Demonstration and Deployment Projects* program supports applied research, data collection, analyses, and evaluations related to transit system assets such as clean energy, service quality, and industry competitiveness activities.
- \$7 million towards the *Transit Cooperative Research* program provides funds to the National Academy of Sciences to conduct investigative research on subjects related to public transportation.
- \$7 million for the *Technical Assistance* program efforts that will allow FTA to partner with national non-profits and other organizations to provide technical assistance to communities.
- \$20 million for the *Human Resources and Training* program, to build new Ladders of Opportunity by creating new employment pathways into the transit industry, improving employment training, pursuing outreach to increase minority and female employment in the public transportation sector, conducting research on the skills needed to operate and maintain increasingly complex transit vehicle and equipment systems, and supporting training and assistance for minority business owners, as well as other topics. While eligible recipients and partners are not defined in MAP-21 nor in the GROW AMERICA Act, there are a number of selection criteria that focus on creating a diverse array of projects that address challenges faced across the transit sector.

What Is This Program And Why Is It Necessary?

The *Transit Research and Training Program* funds applied research on innovative technology and practices in the public transportation sector, provides technical assistance to the transit industry, and supports public transportation workforce development efforts to create Ladders of Opportunity for employment in the transit sector.

Research, development, demonstrations, deployments, and evaluations of technology of national significance funded under this program will help improve public transportation services. FTA conducts activities through partnerships with public institutions, transit agencies, non-profits, universities, and other entities. In addition, FTA awards funding for activities that improve safety, state of good repair, and help to advance transit vehicle and system technology.

FTA's investments help enable the advancement and demonstration of proven technologies. The transit industry has thin operating margins and relies heavily on long lifespans for assets. Wide adoption of innovation is often dependent on the demonstration and deployment technologies that are proven through Federally-funded efforts.

The *Transit Cooperative Research Program (TCRP)* funds shorter-term research projects that address immediate operational issues facing the transit industry. These projects are designed to identify immediate improvements in transit safety, equipment and system design, system operations, and the economic development impact of transit investments, among other topic areas.

Management of the TCRP program is the responsibility of the Transportation Research Board (TRB) of the National Academies. Potential research topics are submitted by transit agencies, FTA, universities, the private sector, and other interested parties. Final determinations on areas of research to pursue are delegated to an independent board – the TCRP Oversight and Project Selection (TOPS) Committee every year. This committee sets research priorities in cooperation with FTA and the National Academy of Sciences.

Furthermore, *Technical Assistance* funds support compliance with the Americans with Disabilities Act (ADA), human services transportation coordination requirements, the transportation needs of elderly individuals, increased transit ridership, transportation equity needs, and any other technical assistance activities deemed necessary by FTA, such as improvements in safety and asset management.

The *Human Resources and Training* program creates Ladders of Opportunity to help build pathways for job-seekers by leveraging opportunities in the transit industry in manufacturing, operations and maintenance. This program, among other activities, awards grants to transit agencies and other entities for workforce development programs and projects that can include:

- Collaborative partnerships between transit agencies, educational institutions, and other partners to ensure that local communities benefit from the construction and operation of new transit capital projects in a region,
- Programs to recruit new employees and to train them with skills needed to fill critical vacancies in the transit industry,

- Innovative technician training and certification programs through partnerships between transit agencies and higher education,
- Development of on-line learning environments, and
- Offer professional training to develop the leadership and management skills of transit employees.

Employment trends indicate that workforce development is increasingly critical for the transit industry. According to the American Public Transportation Association (APTA), the high percentage of retirements and other types of attrition over the next decade, as well as worker skill gaps are of utmost concern to the industry.¹ This finding builds on the transportation industry's numerous workforce challenges identified by the U.S. Department of Labor including an inadequate pipeline of potential new employees, particularly among certain individuals including those with disabilities, women, and veterans; a low industry public image; and high training costs.² Together, these studies indicate a need for more training, particularly as the transit industry demands new employees.

Through the *Human Resources and Training* program, FTA will support recruiting and training the skilled work-force needed to match the expansion and innovation necessary for transit systems that are growing in ridership and complexity. These investments will help public transportation providers prepare for retirements and build a knowledgeable work-force in the transit industry that ensures systems are safe, reliable, and desirable. This program will promote innovative efforts for training, including through partnerships between industry and higher education and outreach efforts.

Funding for the Research and Training Program is needed because FTA is the only entity that funds, undertakes and manages public transportation research, technical assistance, and transit-focused workforce development from a national perspective.

Research, Development, Demonstration, and Deployment Projects support research not generally undertaken by the private sector including studies on transit policy issues, operational efficiency, and travel behavior. These projects will promote the use of clean energy and air quality improvement. The program also funds long-term, high-risk, high-potential payoff investigations of new technologies, which is critical to developing a public transportation system that is efficient, attractive, and reliable.

The *Transit Cooperative Research Program (TCRP)* funds shorter-term research projects aimed at the local level and designed to identify immediate improvements in transit safety and security, equipment and system design, system operations, and the economic development impact of transit investments. This program brings together partners which include other government entities, transit providers, and other stakeholders to decide research priorities for the transit industry. These partnerships result in more efficient and effective approaches to research that enable the transit industry to address challenges and assist with creative solutions that complement FTA's overall research activities.

FTA's *Technical Assistance Activities*, which provide resources and direct assistance, have increasingly become an essential activity to support the incessant advancement within the transit industry. This need

¹ American Public Transportation Association (2010). *APTA Preliminary Skill Development and Training Needs Report*. <http://www.apta.com/resources/profdev/workforce/Documents/APTA-Skill-Development-Report.pdf>

² The United States Department of Labor (2007). *Identifying and Addressing Workforce Challenges in America's Transportation Industry*. http://www.doleta.gov/brg/pdf/Transportation%20Report_final.pdf.

is heightened given the new requirements and programs in MAP- 21 and the GROW AMERICA Act, such as new safety regulations, planning requirements, and formula grant programs. FTA's activities will potentially include technical assistance for targeted populations; safety; economic and policy issues; state of good repair; disadvantaged business enterprises; equal opportunity programs; and capacity building programs. Furthermore, combining all technical assistance activities in one focused program area will more efficiently address the needs of transit providers nationwide.

Support of *Human Resources and Training* programs will enhance the transit providers' ability to meet their missions by constructing and enhancing the skills and capabilities of the current workforce, as well as developing new recruitment techniques and attracting new talent to a transit industry hit by attrition. FTA's partnerships may include state transit providers, local transit municipalities, universities, and non-profit entities. Through collaboration, which includes cost sharing for workforce development, FTA aims to promote innovative solutions to industry wide challenges.

A Department of Labor research report notes that demand for workers is increasing in the transit industry in the immediate and foreseeable future, particularly in key occupations such as bus drivers, mechanics, and supervisors/managers.³ To address the training needs related to a changing workforce, FTA will provide support to spur investment in expanding innovative training opportunities. FTA proposes to build new *Ladders of Opportunity* by creating new employment channels into the transit industry. This includes improving employment training, pursuing outreach to augment minority and female employment in the public transportation sector, conducting operational research, asset management of increasingly complex transit vehicle and equipment systems, and supporting training and assistance for minority business owners, as well as other focus areas.

These efforts will address the capabilities and training needs of both new and incumbent workers, as well as helping to recruit new progressive talent to the transit industry. Substantial funding will allow FTA to support diverse training experiences to our transit community that meet the needs of large and small, urban and rural transit providers. Workforce development activities will train mechanics and technicians to meet the plethora of qualifications needed for today's complex vehicle technologies and systems. Related capacity building programs will ensure sufficient skill-sets are available to fill the necessary transit leadership and management jobs of the future. In concert with funding provided through a *National Transit Institute*, funding will enable FTA to provide professional capacity building efforts targeted towards the management levels to ensure effective leadership in the transit industry.

FY 2014 Base Accomplishments

- FTA's research funding supported cutting edge research projects that have led to the adoption of new technologies that improved the safety and state of good repair of the Nation's public transportation system, as well as increased transit rider satisfaction. For example:
 - Development of a report on the use of open source data for the provision of transit service information, such as schedules, facilities, real time arrival, and situational status.

³ http://www.doleta.gov/brg/pdf/Transportation%20Report_final.pdf

- Continuation of research to analyze and demonstrate advanced control technologies and operating practices for track that is shared by light rail transit vehicles and freight trains.
- Design and fabrication of an insulator cleaning system through Safe, Inc., a small business.
- Completed a research evaluation report showcasing before and after data for some of the Mobility Services for All Americans (MSAA) projects. Results will be made available for the transit industry to implement and enforce.
- FTA's research investments also have helped demonstrate and deploy new technologies, which have aided in business growth. For example:
 - Tested new alternative fuel buses in partnership with several private and public entities. For example, the Hydraulic Hybrid Transit Bus Technology Development project. The success of this project is a joint effort with U.S. Department of Energy (USDOE) and other organizations "to expand the speed range, reduce the noise, and configure this technology onto a current model heavy-duty urban bus and evaluate its performance in a transit environment." FTA is currently providing analytical support to compare new buses to the performance of current transit buses that have undergone Altoona (PA) testing.
 - Led the effort to develop a greenhouse gas (GHG) emissions calculator that will help public transit providers choose between alternative transit, existing, and anticipated electric vehicle options.
 - Developed the International Fuel Cell Bus Collaborative website to enable commercialization of fuel cell bus technology. This project includes international partners from across industry, government, and research enterprises.
- One of the critical functions that the Transit Cooperative Research Program (TCRP) serves is to provide technical assistance in the form of working with FTA to resolve many issues that plague the transit industry. This assistance helps to ensure that transit providers understand, prioritize, and comply with achieved resolutions. This assistance is even more important as FTA's programs grow and change under new authorizations. In FY 2014, TCRP published 23 research products that included using-rail transit track inspection practices, a guide to promote the use of fixed-route transit by people with disabilities, a guide to optimizing bus warranties, research to improve transit vehicle speeds, and other areas of critical research.
- In FY 2014, FTA published 20 research products. This included full research reports, syntheses of practice, quick studies, and other research activities spanning a broad variety of themes in public transportation.
- Efforts under the *Technical Assistance* program included:

- The identification of asset management best practices, business model development, and preparation of implementation guidance and training materials. Additionally, FTA research funding supported data collection and analysis to develop an asset management tool for the transit industry.
- Technical assistance centers in areas such as senior transportation and mobility management.
- Hosted grantee roundtables and workshops to discuss issues related to the implementation of MAP-21 provisions.
- FTAs *Transportation Planning Capacity Building and Peer Exchanges* (TPCB) program provided technical assistance and information on all facets of transportation planning for the staff and officials of transit agencies, Metropolitan Planning Organizations (MPOs), and state DOTs. Peer program events enhance professionals' understanding of the federal requirements of transportation planning. In addition, the TPCB program provides new publications on various aspects of the planning process and offers planning-related course offerings through NHI and NTI.
- Under the *Human Resources and Training* program, FTA continue to oversee workforce development projects awarded in 2013 that included a distance education technician training program that covers several metropolitan areas in the western United States, a program to train technicians to work with hybrid engines in transit vehicles, programs to train veterans and high school students, efforts that will put together national courseware on signals training, and a recruitment program for young adults interested in pursuing a career in public transit.
 - FTA continues to provide indispensable mentoring support that engages mentees and assists them with developing skills in making presentations, leadership skills, and FTA-related issues involving the media and the transit industry. As a result, this program has created new leaders with progressive and advanced philosophies that will help reform the transit industry.
 - Additionally, FTA is continuing efforts towards the Careers in Transportation for Youth Internship program by working jointly with the Conference of Minority Transportation Officials (COMTO) activities. COMTO is the nation's only multi-modal advocacy organization for minority professionals and businesses in the transportation industry. It is committed to advancing the role of minority transportation professionals and businesses through targeted, collaborative training programs that are increasing the contracting potential of DBE/MBE firms. Training standards efforts with DOT modal administrations and other entities have resulted in web-based material, improvements to the archiving process, and training for standards activities for on-line use.

FY 2015 Anticipated Accomplishments

- FTA will continue supporting critical research needs for the transit industry in areas such as safety, vehicle technology, alternative fuels, resiliency and other topics.
- FTA will award and begin implementation of research projects funded through the Notice of Funding Availability in the second quarter of FY 2015. These projects will support three major thematic areas critical to the transit industry: (1) operational safety, (2) infrastructure or equipment resiliency and (3) all-hazards emergency response and recovery methods.
- FTA will award and begin implementation of low-or no emissions vehicle deployment projects funded through the Notice of Funding Availability in the second quarter of FY 2015.
- Technical Assistance activities will focus on assisting grantees in complying with safety and state of good repair/asset management requirements in MAP-21, as well as support for transit accessibility for individuals with disabilities and the elderly. These efforts will ensure compliance with Federal requirements, as well as ensure that transit agencies effectively manage their significant portfolio of vehicle and infrastructure assets.
- *Human Resources and Training* efforts will focus on building Ladders of Opportunity for job seekers into the public transportation industry. For example, helping transit agencies develop the skilled technicians and mechanics they need to operate today's increasingly complex vehicles and equipment, particularly "green technology" buses and alternative fuel propulsion vehicles will provide both substantial benefits to the transit industry and those seeking employment. Special attention will be paid to job training for veterans and the unemployed, and the projects selected will be required to show that the training provided will lead directly to job placement. These programs will ensure that transit agencies are able to recruit, train and retain the experienced staff they need to manage and operate transit service with a wave of retirements in the transit industry coming in the near future.

FY 2016 Request

To build on these accomplishments, FTA requests \$60 million in FY 2016 for the Transit Research and Training account, which funds research, development, demonstrations, and deployment of technology, the Transit Cooperative Research Program, Technical Assistance, and Human Resources and Training programs.

RESEARCH, DEVELOPMENT, DEMONSTRATION AND DEPLOYMENT PROJECTS (Section 5312) - \$26 MILLION

Research - Section 5312(b)

Consistent with MAP-21 and the GROW AMERICA Act's safety mandate for public transportation, FTA will place a high-priority on safety. These activities will support FTA's new role in establishing and enforcing a new comprehensive framework for public transportation safety and complement new national and local safety oversight activities. Potential safety research, development, demonstration and deployment activities will:

- Assist local transit agencies and state departments of transportation in decreasing transit passenger and operator injuries and fatalities;
- Support new technologies that will enable safer vehicle operation and maintenance practices; and,
- Improve transit safety culture at their respective organizations.

Potential research topic areas to support FTA's safety program include:

- Technology demonstrations to improve safety at all grade crossings on transit rail alignments in order to minimize pedestrian accidents and improve vehicle operating safety;
- Field testing of pedestrian intrusion and obstacle detection technologies to enable automatic and/or real-time transit operations response;
- Demonstration projects to improve passenger safety at transit station platforms;
- Research to improve automated detection, communication and suppression of fire on transit vehicles as well as other events requiring rapid emergency response.
- FTA will support research that focuses on the development and deployment of innovative ideas, practices and approaches that improves public transportation.

Innovation and Development – Section 5312(c)

FTA will support projects that help improve public transportation systems nationwide by developing, testing, and evaluating technologies, materials, and processes that may provide more efficient and effective delivery of public transportation services.

- Congress directed FTA to select projects that focus on the following areas:
 - Planning and forecasting modeling and simulation;
 - Capital and operating efficiencies;
 - Advanced vehicle design;
 - Advancements in vehicle technology;
 - The environment and energy efficiency;
 - System capacity, including train control and capacity improvements; or
 - Any other area that the Secretary determines is important to advance the interests of public transportation

TRANSIT COOPERATIVE RESEARCH PROGRAM (TCRP) (Section 5313) – \$7 MILLION

This program funds shorter-term research projects that address the immediate operational issues facing the transit industry. Funded through the FTA, the TCRP is governed by an independent board, the TCRP Oversight and Project Selection (TOPS) Committee. This committee sets research priorities in cooperation with FTA and the National Academy of Sciences.

TCRP funds shorter-term research projects designed to identify immediate improvements in transit safety and security, equipment and system design, system operations, and the economic development impact of transit investments, among other topic areas. The daily management of the TCRP program is the responsibility of the Transportation Research Board (TRB) of the National Academies. Potential research topics are submitted by transit agencies, FTA, universities, the private sector, and other interested parties. Final determinations on areas of research to pursue are delegated to the TOPS Committee every year.

TECHNICAL ASSISTANCE (Section 5314) - \$7 MILLION

In FY 2016, the budget provides funding for critical *Technical Assistance* activities that will allow FTA to partner with national non-profits and other organizations to provide training and guidance on how to effectively implement transit programs and meet federal requirements. This includes supporting Technical Assistance Centers with the appropriate funding levels for activities that support the mobility of senior and persons with disabilities.

HUMAN RESOURCES AND TRAINING (Section 5322) - \$20 MILLION

In FY 2016, the budget supports *Human Resources and Training* efforts authorized under 49 U.S.C. 5322. Through this program, FTA will provide human resources and workforce development programs to the transit industry, including targeting outreach efforts to increase minority and female employment and training and assistance for minority business owners. While eligible recipients and partners are not defined in MAP-21 or in the GROW AMERICA Act, there are a number of selection criteria that focus on creating a diverse array of projects that address challenges faced across the transit sector. Furthermore, FTA proposes to build new Ladders of Opportunity by creating new employment pathways into the transit industry, improving employment training, pursuing outreach to increase minority and female employment in the public transportation sector, conducting research on the skills needed to operate and maintain increasingly complex transit vehicle and equipment systems, and supporting training and assistance for minority business owners, as well as other topics.

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

The \$60 million request for *Transit Research and Training Program* will support FTA's mission by providing key research, technical assistance and workforce development support to help address the transit industry's highest priorities.

For FTA's research efforts, the funding will support activities that improve the safety, reliability, efficiency and sustainability of public transportation including:

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

The FY 2016 *Transit Cooperative Research Program* request supports FTA's research agenda by complementing FTA's longer-term research agenda and role in demonstration and deployment by supporting short-term and immediate transit research needs. Research may be related to improving safety and state of good repair by improving transit systems and connectivity with local communities and other forms of transportation. The TCRP is necessary to continue to offer practical short-term research directly to transit practitioners to assist in the efficient and effective delivery of public transportation service.

The continuation of support for *Technical Assistance* will enable FTA to continue providing assistance to programs that promote knowledge-sharing, compliance with federal law, and efficient and effective operations of the public transportation system. Through its role as the federal agency responsible for providing guidance and assistance to the public transportation system, FTA is in a unique position to bring together partners to address shared challenges and questions. Building the capacity of transit providers across the industry is extremely important, particularly given the numerous programmatic changes under MAP-21 and the GROW AMERICA Act.

The FY 2016 *Human Resources and Training* request supports industry workforce needs. Public transportation represents an area that is expected to have employment growth in the foreseeable future resulting from retirement and attrition. This, along with identified gaps in skills and a proven return on investment, suggests a high need for implementation of workforce development programs that are plentiful and diverse, which meet the needs of the transit industry.

To promote public transportation sector participation, FTA will provide up to 50 percent of the cost. FTA plans to assist agencies in developing the skilled technicians and mechanics they need to operate today's increasingly complex vehicles and equipment, with particular emphasis on "green technology" buses and alternative fuel propulsion systems. *Ladders of Opportunity* create new employment channels into the transit industry. This includes improving employment training, pursuing outreach to augment levels of minority and female employment in the public transportation sector, operational research and asset management of increasingly complex transit vehicle and equipment systems, and support of training and assistance for minority business owners, as well as other focus areas.

How Do We Know The Program Works?

FTA's support to the industry has primarily consisted of capital and operating assistance. However, FTA's activities in the area of research, technical assistance, and human resources and training have had a relatively large benefit for the amount of funding provided, as this assistance has improved the delivery of efficient and cost-effective transit service through critical guidance and innovative research.

As the primary source of public transportation assistance in the United States, FTA has a unique position as the entity best positioned to continue these efforts. For example, FTA research and demonstration projects have piloted new technologies such as electronic fare cards and hybrid vehicles that are now standard procurements for many transit agencies. FTA support in areas such as electric vehicles and safety technology continues to drive new innovation at the local and regional level.

Research funded through the Transit Cooperative Research Program has provided individual transit agencies with easy access to the combined knowledge and practices of the broader transit industry. This access has enabled decision-makers to learn from best practices and experiences in order to improve operating efficiencies, better leverage existing resources, and produce a stronger return on their investments.

In addition, FTA's efforts in the areas of technical assistance have helped transit agencies better utilize limited federal funding to improve access for people with disabilities, or how to improve public transportation for the elderly.

Finally, FTA's efforts in the area of human resources and training has provided critical national leadership in supporting innovative workforce programs that have led the way with nationally replicable models and practices. *Ladders of Opportunity* will create new employment channels into the transit industry, enhance existing employment training, pursue outreach to augment minority and female employment in the public transportation sector, conduct operational research and asset management of increasingly complex transit vehicle and equipment systems, and support training and assistance for minority business owners, as well as other focus areas.

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

- The request funds applied research of innovative technology and practices in the public transportation sector, technical assistance, and workforce development efforts.
- Technical Assistance may include support to comply with the Americans with Disabilities Act (ADA), human services transportation coordination requirements, transportation needs of elderly individuals, increased transit ridership, transportation equity needs, and any other technical assistance activities deemed necessary by FTA, such as safety and asset management.
- Through the Human Resources and Training efforts, FTA proposes to build new Ladders of Opportunity by creating new employment pathways into the transit industry, improving employment training, pursuing outreach to increase minority and female employment in the public transportation sector, conducting research on the skills needed to operate and maintain increasingly complex transit vehicle and equipment systems, and supporting training and assistance for minority business owners, as well as other topics.

PUBLIC TRANSPORTATION EMERGENCY RELIEF PROGRAM

(LIQUIDATION OF CONTRACT AUTHORITY)

(LIMITATION ON OBLIGATIONS)

(TRANSPORTATION TRUST FUND)

Contingent upon enactment of multi-year surface transportation authorization legislation, for the payment of obligations incurred in carrying out the public transportation emergency relief program under 49 United States Code. 5324, \$25,000,000 to be derived from the mass transit account of the transportation trust fund, to remain available until expended: provided, that funds available for the implementation or execution of 49 United States Code. 5324 shall not exceed total obligations of \$25,000,000 in fiscal year 2016.

PUBLIC TRANSPORTATION EMERGENCY RELIEF PROGRAM

PROGRAM AND PERFORMANCE

The 2016 Budget aligns with the first year of the Administration's multi-year reauthorization proposal, the GROW AMERICA Act. The Public Transportation Emergency Relief Program helps transit agencies restore needed transportation services immediately following disaster events. Both capital and operating costs are eligible for funding following an emergency; however, this program does not replace the Federal Emergency Management Agency's (FEMA) capital assistance program. FTA administers in this account the \$10.9 billion emergency supplemental appropriation (adjusted to \$10.2 billion after sequestration and the transfer of funds to the Office of the Inspector General and the Federal Railroad Administration) provided by the Disaster Relief Appropriations Act, 2013 (Public Law 113-2) following Hurricane Sandy. The Hurricane Sandy funds are only available for emergency relief, recovery and resiliency projects in the areas impacted by Hurricane Sandy.

The Administration proposes to move a number of current General Fund programs into the Transportation Trust Fund, as part of surface transportation reauthorization. The FY 2016 Budget request includes \$25 million to help transit agencies restore needed transportation services immediately following disaster events.

EXHIBIT III-1

PUBLIC TRANSPORTATION EMERGENCY RELIEF PROGRAM Summary by Program Activity Appropriations, Obligation Limitations, and Exempt Obligations (\$000)

	FY 2014 ACTUAL (GF)	FY 2015 ENACTED (GF)	FY 2016 REQUEST (TF)	CHANGE FY 2015 - 2016
Public Transportation Emergency Relief Program	-	-	25,000	25,000
FTEs 1/ 2/ Direct Funded Hurricane Sandy	23	31	40	9

1/ FTA received a one-time emergency supplemental appropriation of \$10.9 billion, adjusted to \$10.2 billion after sequestration and transfers to OIG and FRA under the Disaster Relief Appropriation Act, 2013 (P.L. 113-2) for Hurricane Sandy relief in January 2013. The FTEs associated with this account are funded from the Disaster Relief Appropriations Act, 2013 (P.L. 113-2) for Hurricane Sandy relief.

2/ FTA does not anticipate using Public Transportation Emergency Relief funding requested in the FY 2016 budget to fund administrative costs, including FTEs.

Program and Performance Statement

The FY 2016 budget requests \$25 million for FTA's Public Transportation Emergency Relief program. This program helps States and public transportation systems pay for protecting, repairing, and replacing equipment and facilities that may suffer or have suffered serious damage as a result of an emergency, including natural disasters such as floods, hurricanes, and tornadoes.

The program also improves coordination between DOT and the Department of Homeland Security (FEMA) to expedite assistance to public transit providers in times of disasters and emergencies.

The \$25 million requested in FY 2016 is needed so FTA is prepared to respond immediately in the event of a disaster during FY 2016. The supplemental appropriation for Hurricane Sandy relief provided in FY 2013 can only be used for recovery and mitigation related to that disaster. The requested funding level is based on data from a Government Accountability Office (GAO) study of the average cost of past transit emergencies and is the minimum amount needed to respond quickly to a disaster.

EXHIBIT III-1a

**PUBLIC TRANSPORTATION EMERGENCY RELIEF PROGRAM
SUMMARY ANALYSIS OF CHANGE FROM FY 2015 TO FY 2016
Appropriations, Obligation Limitations, and Exempt Obligations
(\$000)**

	Change from FY 2015 to FY 2016	Change from FY 2015 to FY 2016
	<u>\$000</u>	<u>FTE 1/</u>
FY 2015 BASE	-	N/A
Adjustments to Base:		
SUBTOTAL, ADJUSTMENT TO BASE	<u>-</u>	
NEW OR EXPANDED PROGRAMS:		
Program Increase	<u>25,000</u>	
SUBTOTAL, NEW OR EXPANDED PROGRAMS:	25,000	
FY 2016 REQUEST	25,000	

1/ There are no FTE associated with this account other than those funded from the Disaster Relief Appropriations Act, 2013 (P.L. 113-2). FTE estimates related to Hurricane Sandy relief include 31 FTE in FY 2014 and 31 FTE for FY 2015 and 40 FTE for FY 2016.

**DEPARTMENT OF TRANSPORTATION
FEDERAL TRANSIT ADMINISTRATION
PUBLIC TRANSPORTATION EMERGENCY RELIEF PROGRAM**

Program and Financing (in millions of dollars)

		2014	2015	2016
Identification code: 69-8519-4-7-401		Actual	Enacted	Est.
Obligations by program activity:				
0001	Direct program activity	15
0900	Total new obligations	15
Budgetary resources:				
Budget authority:				
Appropriations, discretionary:				
1101	Appropriation (special or trust fund)	25
1137	Appropriations applied to liquidate contract authority	-25
1160	Appropriation, discretionary (total)
Appropriations, mandatory:				
1260	Appropriations, mandatory (total)
Contract authority, mandatory:				
1600	Contract authority	25
1640	Contract authority, mandatory (total)	25
1900	Budget authority (total)	25
1930	Total budgetary resources available	25
Memorandum (non-add) entries:				
1941	Unexpired unobligated balance, end of year	10
1966-40	Limitation [Text]	25
Change in obligated balance:				
Unpaid obligations:				
3000	Unpaid obligations, brought forward, Oct 1
3010	Obligations incurred, unexpired accounts	15
3020	Outlays (gross)	-10
3050	Unpaid obligations, end of year	5
Memorandum (non-add) entries:				
3100	Obligated balance, start of year
3200	Obligated balance, end of year	5

**DEPARTMENT OF TRANSPORTATION
FEDERAL TRANSIT ADMINISTRATION
PUBLIC TRANSPORTATION EMERGENCY RELIEF PROGRAM**

Program and Financing (in millions of dollars)

		2014	2015	2016
Identification code: 69-8519-4-7-401		Actual	Enacted	Est.
Budget authority and outlays, net:				
Mandatory:				
4090	Budget authority, gross	25
	Outlays, gross:			
4100	Outlays from new mandatory authority	10
4160	Budget authority, net (mandatory)	25
4170	Outlays, net (mandatory)	10
4180	Budget authority, net (total)	25
4190	Outlays, net (total)	10
Memorandum (non-add) entries:				
5061	Limitation on obligations (Transportation Trust Funds)	25

**DEPARTMENT OF TRANSPORTATION
FEDERAL TRANSIT ADMINISTRATION
PUBLIC TRANSPORTATION EMERGENCY RELIEF PROGRAM**

Object Classification (in millions of dollars)

		2014	2015	2016
Identification code: 69-8519-4-7-401		Actual	Enacted	Est.
Direct obligations:				
	Personnel compensation:			
11.1	Full-time permanent	2
41.0	Grants, subsidies, and contributions	13
99.9	Total new obligations	15

Detailed Justification for the Public Transportation Emergency Relief Program

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

FY 2016 – PUBLIC TRANSPORTATION EMERGENCY RELIEF PROGRAM (\$000)

Program Activity	FY 2014 ACTUAL 1/	FY 2015 ENACTED	FY 2016 REQUEST	Difference from 2015
Public Transportation Emergency Relief Program	-	-	25,000	25,000
TOTAL	-	-	25,000	25,000

For FY 2016, the President’s Budget requests \$25 million for the Public Transportation Emergency Relief program. Through this program, FTA would provide grants to transit agencies to help resume operations as quickly as possible in the wake of a disaster.

What Is This Program And Why Is It Necessary?

The purpose of the Public Transportation Emergency Relief program is to restore transit operations as quickly as possible in the wake of a natural disaster. The program provides grants for necessary activities, including funds for evacuations, leasing vehicles from other transit agencies to restore service, and any costs eligible for temporary vehicles or facilities. Emergencies are defined as natural disasters affecting a wide area or catastrophic failure from an external cause which the Governor of a State has declared an emergency and the Secretary has concurred or the President has declared a major disaster. FTA Emergency Relief funds are available only for expenses that are not reimbursed under the Robert T. Stafford Disaster Relief and Emergency Assistance Act (42 U.S.C. 5121 et seq.) provided through FEMA.

Transit agencies currently eligible for FTA assistance under Title 49 of Chapter 53 are eligible for assistance. Like the Federal Highway Administration’s (FHWA) Emergency Relief program, the FTA program will use a “quick release” mechanism to provide funds to affected communities within days of a disaster. Grants are only for expenses not reimbursed by FEMA or private insurance and are subject to terms and conditions deemed necessary by the Secretary of Transportation. Moreover, operating costs are eligible for one year beginning on the date of the disaster declaration or for two years if the Secretary determines there is a compelling need. While the Federal share of the program is limited to 80 percent, the Secretary of Transportation may waive the local match to address an emergency.

Program beneficiaries are the local communities, States, and visitors to areas that suffer damage as a result of a natural disaster. Partners in this program are States and local governmental authorities, including transit agencies in communities designated as natural disaster areas. Another key partner is FEMA, with which FTA coordinates when providing assistance as outlined in a joint FTA and FEMA Memorandum of Agreement (MOA).

The Public Transportation Emergency Relief Program is necessary to improve the Federal government’s current system for providing emergency response assistance to transit agencies. The lessons learned after Hurricane Katrina and other disasters demonstrate that FEMA and FTA’s limited authority prior to

enactment of MAP-21 were not optimally designed to provide such aid in a timely manner (after Hurricane Katrina, FTA funded new transit connections using funding provided by FEMA between Baton Rouge and New Orleans because the local commuting patterns were severely disrupted by the storm).¹ The necessity of a Public Transportation Emergency Relief program administered by FTA was emphasized again following Hurricane Sandy in October 2012.

GAO On Emergency Relief for Transit Agencies

A 2008 Government Accountability Office (GAO) report summarized issues with FEMA and FTA disaster relief efforts as shown below:

- Although the Stafford Act authorizes federal assistance to meet emergency needs and help affected communities to resume their normal pattern of life as soon as possible, neither FEMA nor FTA had mechanisms in place to provide funding to transit providers immediately after the 2005 Gulf Coast hurricanes.
- FEMA provided funding reimbursement, requiring recipients to spend money from other sources first, and FTA had no program for emergency assistance to transit. However, transit providers had little money to spend from other sources before being reimbursed.
- According to officials from the two major transit agencies affected by the 2005 Gulf Coast hurricanes, transit operations shut down after the disasters and the agencies' revenues from fare collections and other sources were curtailed, limiting their ability to begin restoring transit services on their own.
- Furthermore, FEMA's timeliness and effectiveness in providing assistance for transit after the hurricanes were limited by the agency's lack of guidance on the types of services it could fund, and lack of criteria for the duration of the funding. Without such guidance and criteria, funding approvals took from 1 month to as long as 4 months, and officials from the two major transit agencies affected by the hurricanes contended that FEMA mission assignments ended before some emergency needs were met.
- While Hurricane Katrina was an extreme event that tested the Federal Government's disaster response and recovery capabilities, it is reasonable to expect that smaller disasters could expose similar limitations. The 2010 flooding in Nashville, Tennessee, demonstrates that localized disasters can quickly shut down the operations of medium and small transit agencies.

Federal Government support is crucial for restoring public transit services following emergencies. This is evidenced by the need for funds provided through programs administered by other Federal agencies such as FEMA and FHWA. FTA has unique, specialized experience in providing over \$10 billion in capital and operating assistance for public transportation to more than 800 grantees annually. This

¹ United States Government Accountability Office, *Emergency Transit Assistance: Federal Funding for Recent Disasters, and Options for the Future*, February, 2008, <http://www.gao.gov/new.items/d08243.pdf>

knowledge will help ensure that funds for disasters are efficiently and effectively used to operate and provide transit services during and following emergencies.

FY 2014 Base Accomplishments

- In FY 2014 FTA awarded an additional 6 recovery grants totaling \$1.8 billion to transit agencies affected by Hurricane Sandy.
- In FY 2014 FTA continued to manage a total portfolio of over \$2.4 billion in emergency relief grants.
- In FY 2014, FTA competitively allocated over \$3.6 billion for public transit resilience projects in the areas affected by Hurricane Sandy.

FY 2015 Anticipated Accomplishments

- Publish final guidance on the Public Transportation Emergency Relief Program, in consultation with FEMA and other Federal agencies responsible for disaster response and recovery.
- Continue administering the \$10.2 billion from the Disaster Relief Appropriations Act, 2013 (P.L. 113-2) through grants to States, local governments, and transit agencies affected by Hurricane Sandy.

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

Providing \$25 million in FY 2016 for the Public Transportation Emergency Relief Program will help to ensure that FTA has the ability to respond quickly to meet the needs of public transportation providers in the event of an emergency during FY 2016. The \$25 million level is based on data in a GAO study of the average cost of past transit emergencies (prior to Hurricane Sandy). During and following emergencies, public transportation is often an important resource for evacuation and recovery of areas affected by disasters. Through this program, FTA will be able to provide the capital and operating assistance to continue transit services in affected areas.

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

This program provides grants to States and local communities to restore transit operations as quickly as possible in the wake of a disaster. The program provides grants for necessary activities, including funds for evacuations, leasing vehicles from other transit agencies to restore service, and any costs eligible for temporary vehicles or facilities. Emergencies are defined as natural disasters affecting a wide area or catastrophic failure from an external cause which the Governor of a State has declared an emergency and the Secretary has concurred or the President has declared a major disaster. FTA Emergency Relief funds are available only for expenses that are not reimbursed under the Robert T. Stafford Disaster Relief and Emergency Assistance Act (42 U.S.C. 5121 et seq.) provided through FEMA.

FIXING AND ACCELERATING SURFACE TRANSPORTATION

(Legislative proposal, not subject to PAYGO)

(LIQUIDATION OF CONTRACT AUTHORITY)

(LIMITATION ON OBLIGATIONS)

(TRANSPORTATION TRUST FUND)

Contingent upon enactment of multi-year surface transportation authorization legislation, for the payment of obligations incurred in carrying out the Fixing And Accelerating Surface Transportation program under Title 49, United States Code, \$500,000,000, to be derived from the Mass Transit Account of the Transportation Trust Fund and to remain available until expended: Provided, That funds available for the implementation or execution of such program shall not exceed total obligations of \$500,000,000 in fiscal year 2016.

FIXING AND ACCELERATING SURFACE TRANSPORTATION

PROGRAM AND PERFORMANCE

The FY 2016 budget includes \$500 million for the Fixing and Accelerating Surface Transportation (FAST) program. Jointly managed by the Federal Highway Administration and the Federal Transit Administration, the FAST program will use competition and a monetary incentive to reward long-term, systematic innovation and reform in our Nation's transportation system.

EXHIBIT III-1

FIXING AND ACCELERATING SURFACE TRANSPORTATION
Summary by Program Activity
Appropriations, Obligation Limitations, and Exempt Organizations
(\$000)

<u>APPROPRIATIONS TITLE</u>	<u>FY 2014 ACTUAL</u>	<u>FY 2015 ENACTED</u>	<u>FY 2016 REQUEST</u>	<u>CHANGE FY 2015-2016</u>
Fixing and Accelerating Surface Transportation	-	-	500,000	500,000

EXHIBIT III-1a

**FIXING AND ACCELERATING SURFACE TRANSPORTATION
SUMMARY ANALYSIS OF CHANGE FROM FY 2015 TO FY 2016
Appropriations, Obligation Limitations, and Exempt Organizations
(\$000)**

	Change From FY 2015 to FY 2016 (\$000)	Change From FY 2015 to FY 2016 FTE
FY 2015 BASE	-	N/A
Adjustments to Base:	-	
SUBTOTAL, ADJUSTMENTS TO BASE	-	
NEW OR EXPANDED PROGRAMS		
Fixing and Accelerating Surface Transportation	500,000	
SUBTOTAL, NEW OR EXPANDED PROGRAMS	500,000	
FY 2016 REQUEST	500,000	

**DEPARTMENT OF TRANSPORTATION
FEDERAL TRANSIT ADMINISTRATION
FIXING AND ACCELERATING SURFACE TRANSPORTATION**

Program and Financing (in millions of dollars)

		2014	2015	2016
Identification code: 69-8517-4-7-401		Actual	Enacted	Est.
Obligations by program activity:				
0001	Direct program activity	200
0900	Total new obligations (object class 41.0)	200
Budgetary resources:				
Budget authority:				
Appropriations, discretionary:				
1101	Appropriation (special or trust fund)	500
1137	Appropriations applied to liquidate contract authority	-500
1160	Appropriation, discretionary (total)
Contract authority, mandatory:				
1600	Contract authority	500
1640	Contract authority, mandatory (total)	500
1900	Budget authority (total)	500
1930	Total budgetary resources available	500
Memorandum (non-add) entries:				
1941	Unexpired unobligated balance, end of year	300
Change in obligated balance:				
Unpaid obligations:				
3000	Unpaid obligations, brought forward, Oct 1
3010	Obligations incurred, unexpired accounts	200
3020	Outlays (gross)	-95
3050	Unpaid obligations, end of year	105
Memorandum (non-add) entries:				
3100	Obligated balance, start of year	0
3200	Obligated balance, end of year	105
Budget authority and outlays, net:				
Mandatory:				
4090	Budget authority, gross	500
Outlays, gross:				
4100	Outlays from new mandatory authority	95
4160	Budget authority, net (mandatory)	500
4170	Outlays, net (mandatory)	95

**DEPARTMENT OF TRANSPORTATION
FEDERAL TRANSIT ADMINISTRATION
FIXING AND ACCELERATING SURFACE TRANSPORTATION**

Program and Financing (in millions of dollars)

		2014	2015	2016
Identification code: 69-8517-4-7-401		Actual	Enacted	Est.
4180	Budget authority, net (total)	500
4190	Outlays, net (total)	95
Memorandum (non-add) entries:				
5061	Limitation on obligations (Transportation Trust Funds)	500

**DEPARTMENT OF TRANSPORTATION
FEDERAL TRANSIT ADMINISTRATION
FIXING AND ACCELERATING SURFACE TRANSPORTATION**

Object Classification (in millions of dollars)

		2014	2015	2016
Identification code: 69-8517-4-7-401		Actual	Enacted	Est.
Direct obligations:				
41.0	Grants, subsidies, and contributions	200

Detailed Justification for Fixing Accelerating Surface Transportation Program

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

FY 2016 – FIXING ACCELERATING SURFACE TRANSPORTATION PROGRAM

(\$000)

Program Activity	FY 2014 Enacted	FY 2015 Enacted	FY 2016 Request	Difference from FY 2015
Fixing and Accelerating Surface Transportation (TF)	-	-	500,000	500,000

The Federal Transit Administration (FTA) budget requests \$500 million for the Fixing and Accelerating Surface Transportation (FAST) program. An additional \$500 million is requested by the Federal Highway Administration (FHWA) in its budget request. FAST is funded by the Transportation Trust Fund to award grants to States, Tribes, and metropolitan planning organizations (MPOs) that adopt bold, innovative strategies and best practices in transportation that would have long-term impact on all projects across surface transportation programs. This is a new program proposed in the Administration's GROW AMERICA Act at a total of \$1.0 billion (FHWA & FTA) for each of fiscal years 2016-2021.

What Is This Program And Why Is It Necessary?

The Fixing and Accelerating Surface Transportation (FAST) program is a competitive grant program proposed in the Administration's GROW AMERICA Act at a total of \$1.0 billion (FHWA & FTA) for each of fiscal years 2016-2021. FAST will be jointly managed by FTA and FHWA. FTA's budget requests \$500 million for FAST. An additional \$500 million is requested by FHWA in its budget request. The program is designed to spur major reform in the way States and metropolitan regions make transportation policy and investments, and to encourage innovative solutions to transportation challenges. Based on the U.S. Department of Education's Race to the Top concept, the FAST program will use competition and a sizable grant incentive to reward long-term systematic innovation in our Nation's transportation system.

Long-term systematic reforms usually require change to established, customary practices. Often change to these practices requires legislation, regulation or broad restructuring of traditional programs. The FAST program offers an opportunity to effect near-term change by encouraging States and localities to move away from established practice.

There is general agreement that transportation should be a seamless, multimodal network designed to move people and goods to their destination. However, our transportation programs at the Federal, State and local level continue to operate in silos; with separate funds, rules and systems for each mode of transportation. For example, many States have legislative or constitutional prohibitions against using gas tax funds for non-roadway projects, resulting in inflexible transportation solutions and moving further from multimodal and systematic solutions.

Current practice for selecting projects within MPOs also offers opportunities for improvement. Some urban areas are represented by as many as four or five MPOs, which can inhibit regional strategies for transportation problems. Other MPOs fail to coordinate with other infrastructure and economic development activities in the region.

The Department of Transportation is pursuing multiple strategies for rectifying deficiencies in current practice for selecting projects—including seeking changes to authorizing language for transportation programs, and developing regulations and performance measures for States and localities where appropriate. The FAST program complements these efforts by offering a mechanism for inducing rapid change, through incentives rather than enforcement. As a competitive grant program, FAST will choose awardees based on the boldness of the proposal and the expected outcomes in the form of transportation benefits. Awards will be made based on the extent to which a project benefits national priorities, including reducing transportation fatalities, improving efficiency, strengthening economic competitiveness, improving state of good repair of the transportation system, and providing access to jobs and opportunity.

MPOs that are designated by the Secretary as high-performing and that meet geographic and governance best practices will each receive a set-aside from FAST of between \$1 million and \$3 million per year depending on population. The set-aside funding can be used on any project eligible under title 23 or chapter 53 of title 49, United States Code, and may be used to pay the non-Federal share of projects funded under these same titles.

As with Race to the Top, FAST needs to be a large enough program that the grant awards can incentivize States and MPOs to break from current practice. An overall \$1.0 billion program—split between \$500 million requested by FTA and \$500 million requested by FHWA—provides sufficient funding to encourage States and localities to generate bold, regional-scale project proposals. Past attempts to provide minor monetary incentives to make improvements, such as encouraging investment in freight projects with a higher Federal match, have not proven large enough to incentivize transformative project proposals.

With the funding level requested for FAST, States and localities will compete to build multimodal, regional transportation projects that achieve national goals and provide superior transportation benefits.

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

A FY 2016 funding amount of \$500 million, along with the additional \$500 million requested by FHWA, is needed to provide a strong incentive for States and MPOs to take on ambitious, innovative reforms that lead to large-scale adoption.

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

The American public benefits from the FAST program because it provides surface transportation solutions and reduced costs, allowing the public to get to their destinations more safely, more quickly, and more economically. FAST is based on the U.S. Department of Education's Race to the Top concept, which spurred significant competition, innovation and reform in our Nation's education system. Race to the Top brought unprecedented change to our education system,

particularly in raising standards and aligning policies and structures to the goal of college and career readiness. Race to the Top has helped drive states nationwide to pursue higher standards, improve teacher effectiveness, use data effectively in the classroom, and adopt new strategies to help struggling schools. FAST will similarly help to bring positive change to surface transportation projects.

Similar to the education sector, competition in transportation has proven to be a powerful incentive for States and local governments to tackle long-standing barriers to making performance-based, outcome-driven investment decisions and policies that best achieve national goals such as economic competitiveness, safety, and environmental sustainability which benefit all Americans. One way that this will be accomplished by FAST is by providing incentives for high performing MPOs that have high levels of regional collaboration, utilize performance based planning and programming to improve long-range planning and project selection, and employ equitable and regional approaches to decision making.

RAPID GROWTH AREA TRANSIT PROGRAM

(LIQUIDATION OF CONTRACT AUTHORITY)

(LIMITATION ON OBLIGATIONS)

(TRANSPORTATION TRUST FUND)

Contingent upon enactment of multi-year surface transportation authorization legislation, for the payment of obligations incurred in carrying out the Rapid Growth Area Transit program under 49 U.S.C. 5341, \$500,000,000 to be derived from the Mass Transit Account of the Transportation Trust Fund, to remain available until expended: Provided, That funds available for the implementation or execution of 49 U.S.C. 5341 shall not exceed total obligations of \$500,000,000 in fiscal year 2016.

RAPID GROWTH AREA TRANSIT PROGRAM

PROGRAM AND PERFORMANCE

The FY 2016 Budget presents FTA's program authorization and account structure for the Rapid Growth Area Transit Program and aligns with the first year of the Administration's multi-year reauthorization proposal, the GROW AMERICA Act. This newly proposed bus rapid transit (BRT) discretionary grants program will respond to the mobility needs of fast growing cities across the country to get ahead of transportation problems during periods of population and economic growth. By supporting investments in BRT systems, which may include acquisition of right-of-way or land for purposes of future enhancements to public transportation in the project corridor, this program will help to quickly increase access to affordable and flexible transportation options in these growing communities. This program is designed to quickly put Federal funds to work in these communities and support effective investment by encouraging multi-modal approaches to transportation planning.

EXHIBIT III-1

**FEDERAL TRANSIT ADMINISTRATION
RAPID GROWTH AREA TRANSIT PROGRAM
Summary by Program Activity
Appropriations, Obligation Limitations, and Exempt Obligations
(\$000)**

	FY 2014 ACTUAL	FY 2015 ENACTED	FY 2016 REQUEST (TF)	CHANGE FY 2015 - 2016
Rapid Growth Area Transit Program	-	-	500,000	500,000

Program and Performance Statement

The FY 2016 budget proposes \$500 million to provide discretionary grants to quickly establish bus rapid transit (BRT) service, which may include acquisition of right-of-way or land for purposes of future enhancements to public transportation in the project corridor in areas with rapidly growing populations. Data show that certain areas of the country have had population growth rates that if not addressed will strain existing transportation systems, lead to congestion, and eventually result in poor air quality. BRT services can often be implemented more quickly than other major capital investments and thus can help those areas build transit ridership and get ahead of the congestion than can come from rapid growth.

This program will allow these communities to quickly and effectively meet their transportation infrastructure needs by providing a 50 percent FTA funding match to encourage an early and sound local financial commitment, in exchange for project evaluation criteria that is more streamlined than that found in the Capital Investment Grants program. In addition, this program will also encourage multi-modal development along corridors by allowing up to 30 percent of the local share to be derived from funds available through Federal-Aid Highway programs. The remaining 20 percent of matching funds could be a combination of State, local, and private funds.

EXHIBIT III-1a

**RAPID GROWTH AREA TRANSIT PROGRAM
SUMMARY ANALYSIS OF CHANGE FROM FY 2015 TO FY 2016
Appropriations, Obligation Limitations, and Exempt Organizations
(\$000)**

	Change from FY 2015 to FY 2016 \$000	Change from FY 2015 to FY 2016 FTE
FY 2015 BASE	-	N/A
Adjustments to Base:	-	
SUBTOTAL, ADJUSTMENTS TO BASE	-	
NEW OR EXPANDED PROGRAMS:		
Rapid Growth Area Transit Program	500,000	
SUBTOTAL, NEW OR EXPANDED PROGRAMS	500,000	
FY 2016 REQUEST	500,000	

**DEPARTMENT OF TRANSPORTATION
FEDERAL TRANSIT ADMINISTRATION
BUS RAPID TRANSIT PROGRAM**

Program and Financing (in millions of dollars)

		2014	2015	2016
Identification code: 69-8544-4-7-401		Actual	Enacted	Est.
Obligations by program activity:				
0001	Direct program activity	250
0900	Total new obligations (object class 41.0)	250
Budgetary resources:				
Budget authority:				
Appropriations, discretionary:				
1101	Appropriation (special or trust fund)	500
1137	Appropriations applied to liquidate contract authority	-500
1160	Appropriation, discretionary (total)
Contract authority, mandatory:				
1600	Contract authority	500
1640	Contract authority, mandatory (total)	500
1900	Budget authority (total)	500
1930	Total budgetary resources available	500
Memorandum (non-add) entries:				
1941	Unexpired unobligated balance, end of year	250
Change in obligated balance:				
Unpaid obligations:				
3000	Unpaid obligations, brought forward, Oct 1	0
3010	Obligations incurred, unexpired accounts	250
3020	Outlays (gross)	-75
3050	Unpaid obligations, end of year	175
Memorandum (non-add) entries:				
3100	Obligated balance, start of year	0
3200	Obligated balance, end of year	175
Budget authority and outlays, net:				
Mandatory:				
4090	Budget authority, gross	500
Outlays, gross:				
4100	Outlays from new mandatory authority	75
4160	Budget authority, net (mandatory)	500

**DEPARTMENT OF TRANSPORTATION
FEDERARAL TRANSIT ADMINISTRATION
BUS RAPID TRANSIT PROGRAM**

Program and Financing (in millions of dollars)

		2014	2015	2016
Identification code: 69-8544-4-7-401		Actual	Enacted	Est.
4170	Outlays, net (mandatory)	75
4180	Budget authority, net (total)	500
4190	Outlays, net (total)	75
Memorandum (non-add) entries:				
5061	Limitation on obligations (Transportation Trust Funds)	500

**DEPARTMENT OF TRANSPORTATION
FEDERARAL TRANSIT ADMINISTRATION
BUS RAPID TRANSIT PROGRAM**

Program and Financing (in millions of dollars)

		2014	2015	2016
		Actual	Enacted	Est.
Identification code: 69-8544-4-7-401				
Direct obligations:				
41.0	Grants, subsidies, and contributions	250

EXHIBIT III-2
ANNUAL PERFORMANCE RESULTS AND TARGETS
RAPID GROWTH AREA TRANSIT PROGRAM

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

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

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

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

Increase the total number of urban and rural transit boardings to 11.2 billion in 2018.							
	2010*	2011*	2012*	2013	2014	2015	2016
Target				10.5B	10.6B	10.8B	10.9B
Actual	10.1B	10.3B	10.5B	10.5B	NA		

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

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

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

Increase the transit market share among commuters to work in at least 10 of the top 50 urbanized areas by population by 2018, when compared to a 2010 baseline.							
	2010	2011	2012	2013	2014	2015	2016
Target	NA	2	4	5	6	7	8
Actual	0	1	4	3	NA		

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

Detailed Justification for the Rapid Growth Area Transit Program

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

FY 2016 – RAPID GROWTH AREA TRANSIT PROGRAM (\$000)

Program Activity	FY 2014 Enacted	FY 2015 Enacted	FY 2016 Request	Difference from FY 2015
Rapid Growth Area Transit Program (TF)	-	-	500,000	500,000

The Budget requests \$500 million in FY 2016 for capital grants for Rapid Growth Area Transit projects that serve a high-traffic transportation artery located in an urbanized area that has experienced moderate to significant population growth. The funding will assist these communities in quickly addressing the strain on existing transportation systems.

Funding for this program will support up to 50 percent of the costs associated with the construction of BRT projects, which may include acquisition of right-of-way or land for purposes of future enhancements to public transportation in the project corridor in rapidly growing communities. This program will also provide incentives to leverage multi-modal funding along the corridor as 30 percent of the local funding match can be derived from Federal-Aid Highway funding for a total Federal match of 80 percent. The remaining 20 percent of matching funds could be a combination of State, local, or private funds.

What Is This Program And Why Is It Necessary?

The Rapid Growth Area Transit Program is a competitive, discretionary program that will provide much-needed capital funds to local transit agencies in urban areas that experience growth in population and in transit ridership. Under this program, a State or local government entity (including transit agencies) would be eligible to compete for these funds, after demonstrating that the area being served has experienced moderate to significant growth in population, that the transit system has experienced ridership increases, and that the government entity has the financial capability to operate the system.

BRT systems generally have specialized design, services and infrastructure to improve system quality and remove typical causes of transportation delay. Sometimes described as a "surface subway," BRT aims to combine the capacity and speed of light or heavy rail with the flexibility, lower-cost and simplicity of a bus system. As defined in 49 U.S.C. Section 5302(2), a BRT system means a bus transit system in which the majority of each line operates in a separate right-of-way dedicated for public transportation used during peak periods; and includes features that emulate the services provided by rail-fixed guideway public transportation systems. These features include defined stations, traffic signal priority, and short headway bi-directional services for a substantial part of weekday and weekend days.

While FTA has a history of making grants for BRT projects through its Capital Investments Grants program, this program will serve a unique need of providing a quick and flexible response to meet the

congestion and mobility needs of growing communities. Through a streamlined application and review process, FTA will provide growing communities with targeted investments that can quickly be implemented into high quality, high volume transit service, improving the mobility options of its residents.

The Rapid Growth Area Transit Program is necessary because it will allow transit agencies to undertake high-quality, cost-effective transit solutions to address communities experiencing strong population and transit ridership growth. It will augment the Capital Investment Grant program by:

- (a) Specifically targeting BRT resources in fast-growing areas. BRT services can often be implemented more quickly than other major capital investments and thus can help those areas build transit ridership and get ahead of the congestion that can come from rapid growth.
- (b) Implementing the program at a 50 percent match to encourage an early and sound local financial commitment, in exchange for evaluation criteria that is more streamlined than that found in the Capital Investment Grants program.
- (c) Encouraging an explicit multi-modal corridor investment by permitting the non-FTA portion of the local match to include up to 30 percent in FHWA funds for complementary street improvements that facilitate easy and safe pedestrian access to the transit line, as well as signal prioritization and other technologies that ensure BRT's efficient operation within a corridor.

This program will allow transit agencies to undertake BRT capital projects, which may include acquisition of right-of-way or land for purposes of future enhancements to public transportation in the project corridor that would otherwise be infeasible for local governments and transit agencies to finance alone. Many of the nation's transit systems struggle to keep up with the increased demand for their services as ridership continues to grow. State and local governments are resource constrained; they rely on FTA to help fund these BRT capital investments. Therefore, program funding is critical for meeting the future needs for transit and the economic development opportunities that are fostered with these investments in communities nationwide.

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

The request for \$500 million to provide discretionary grants to establish BRT service in communities experiencing moderate to significant population growth will allow these areas to quickly and wisely meet their transportation infrastructure needs. The program will provide a critical augmentation to FTA's Capital Investment Grants program by providing quick and flexible access to resources for BRT in these high growth areas. By providing funding at this level, FTA will be able to support a large number of communities that are seeking these types of high quality BRT systems.

FTA has found that capital investments such as these yield significant benefits.

- According to industry reports, every \$1 billion of Federal investment in public transportation supports approximately 13,000 jobs; every \$1 billion invested in public transit generates an estimated \$3.5 billion in economic activity according to industry reports; each year 4 billion gallons of gasoline are saved and 37 million metric tons of carbon dioxide emissions are avoided because of public transit.

- Studies have also shown that privately funded development in areas surrounding transit stations increase property values of adjacent homes and businesses by as much as 130 percent which translates into higher revenues for cities and states. Also, developers are investing millions of dollars in corporate buildings, sports facilities, and entertainment complexes around transit stations.

The growing demand for transit suggests that FTA programs are working, as evidenced by recent data. First, system coverage, capacity, and use are increasing as indicated by the 7.5 million in transit urban passenger miles (16.7 percent) from 2000 to 2010. Moreover, of the more than 10.4 billion unlinked transit trips reported in 2011, rural transit operators reported 141 million unlinked passenger trips. FTA's formula funding helps to support the 2,250 urban and rural transit providers that meet this demand by taking people to work, to shop, and to other essential services such as doctor's appointments. This primarily addresses the basic needs for maintaining and sustaining the nation's \$679 billion in transit capital assets.

Also, FTA requires each Capital Investment Grant project sponsor to complete a "Before-and-After Study" two years after a project has been open for service in which the sponsor must compare the estimated project capital cost with the actual cost to complete and estimated and actual ridership data. The Before-and-After Study for the Cleveland Health Line BRT project (opened in 2008) indicates that the project is serving 14,300 trips compared to the pre-completion estimated ridership of 13,500. A 2009 article by The Plain Dealer of Cleveland cataloged some \$3.3 billion in investments that were recently completed, underway, or planned proximate to the Health Line.

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

- By 2050, the United States will face a population increase of an estimated 100 million new residents, with a majority of that population growth occurring in middle and large urban areas. Coupled with the strong growth in transit ridership over the past decades, we can expect a strong demand for transit ridership into the future.
- The Rapid Growth Area Transit program will target investments in communities experiencing fast population increases. Through its evaluation criteria related to population and ridership growth, the program aims to anticipate and ease the stress and strain of local communities' ability to meet the growing demand for transit services.
- This program provides further support to building transit services that improve access and mobility opportunities, providing another ladder of opportunity to connect people to jobs and foster economic development.
- FTA's Capital Investment Grants program (commonly referred to as New Starts and Small Starts) is one of the largest competitive grant programs in the U.S. Government. It funds new and extended heavy rail, light rail, commuter rail, bus rapid transit, and streetcar projects. In fiscal years 2011 and 2012, FTA funded more New Starts and Small Starts projects than in any comparable two-year period in the program's 30-year history—a clear reflection of the intense demand from communities for new and expanded transit services. The Rapid Growth Area Transit Program will augment the Capital Investment Grants program by:

- (a) Specifically targeting bus rapid transit resources in fast-growing areas. BRT services can often be implemented more quickly than other major capital investments and thus can help those areas build transit ridership and get ahead of the congestion that can come from rapid growth.
 - (b) Implementing the program at a 50 percent match to encourage an early and sound local financial commitment, in exchange for evaluation criteria that is more streamlined than that found in the Capital Investment Grants program.
 - (c) Encouraging an explicit multi-modal corridor investment by offering that the non-FTA portion of the local match can include up to 30 percent in FHWA funds for complementary street improvements that facilitate easy and safe pedestrian access to the BRT, as well as signal prioritization and other technologies that ensure BRT's efficient operation within a corridor.
- Implementation of the Rapid Growth Area Transit Program will build on the experience FTA has in successfully administering the Capital Investment Grants program. However, unlike the evaluation criteria used in the Capital Investment Grant program, these competitive grants will be awarded quickly based on population and transit ridership growth and the financial capacity to pay operating expenses for the existing system and an expanded system.

WASHINGTON METROPOLITAN AREA TRANSIT AUTHORITY

For grants to the Washington Metropolitan Area Transit Authority as authorized under section 601 of division B of Public Law 110–432, \$150,000,000, to remain available until expended: *Provided*, That the Secretary shall approve grants for capital and preventive maintenance expenditures for the Washington Metropolitan Area Transit Authority only after receiving and reviewing a request for each specific project: *Provided further*, That prior to approving such grants, [the Secretary shall certify that the Washington Metropolitan Area Transit Authority is making significant progress in eliminating the material weaknesses, significant deficiencies, and minor control deficiencies identified in the most recent Financial Management Oversight Review: *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 title VI of Public Law 110–432 (112 Stat. 4968). (*Department of Transportation Appropriations Act, 2015.*)

WASHINGTON METROPOLITAN AREA TRANSIT AUTHORITY

PROGRAM AND PERFORMANCE

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

EXHIBIT III-1

WASHINGTON METROPOLITAN AREA TRANSIT AUTHORITY

Summary by Program Activity

Appropriations, Obligation Limitations, and Exempt Obligations

(\$000)

	FY 2014 ACTUAL (GF)	FY 2015 ENACTED (GF)	FY 2016 REQUEST (GF)	CHANGE FY 2015- 2016
WMATA	150,000	150,000	150,000	-

Program and Performance Statement

This program provides grants to the Washington Metropolitan Area Transit Authority (WMATA) for capital investment and rehabilitation activities. The budget requests \$150 million in FY 2016 to help return the existing system to a state of good repair, and improve the safety and reliability of service. The Secretary will use his authority to approve grants under this program to ensure that available funds first address WMATA's most critical safety needs.

EXHIBIT III-1a
WASHINGTON METROPOLITAN AREA TRANSPORTATION AUTHORITY
SUMMARY ANALYSIS OF CHANGE FROM FY 2015 TO FY 2016
Appropriations, Obligation Limitations, and Exempt Organizations
(\$000)

	Change From FY 2015 to FY 2016 (\$000)	Change From FY 2015 to FY 2016 FTE
FY 2015 Base	150,000	N/A
Adjustments to Base:	-	
SUBTOTAL, ADJUSTMENTS TO BASE	150,000	
NEW OR EXPANDED PROGRAMS		
Washington Metropolitan Area Transit Authority	-	
SUBTOTAL, NEW OR EXPANDED PROGRAMS	150,000	
FY 2016 REQUEST	150,000	

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

Program and Financing (in millions of dollars)

		2014	2015	2016
Identification code: 69-1128-0-1-401		Actual	Enacted	Est.
Obligations by program activity:				
0001	Washington Metropolitan Area Transit Authority	142	150	150
0900	Total new obligations (object class 41.0)	142	150	150
Budgetary resources:				
Unobligated balance:				
1000	Unobligated balance brought forward, Oct 1	143	150	150
Budget authority:				
Appropriations, discretionary:				
1100	Appropriation	150	150	150
1131	Unobligated balance of appropriations permanentl	-1	0	0
1160	Appropriation, discretionary (total)	149	150	150
1930	Total budgetary resources available	292	300	300
Memorandum (non-add) entries:				
1941	Unexpired unobligated balance, end of year	150	150	150
Change in obligated balance:				
Unpaid obligations:				
3000	Unpaid obligations, brought forward, Oct 1	100	169	178
3010	Obligations incurred, unexpired accounts	142	150	150
3020	Outlays (gross)	-73	-141	-179
3050	Unpaid obligations, end of year	169	178	149
Memorandum (non-add) entries:				
3100	Obligated balance, start of year	100	169	178
3200	Obligated balance, end of year	169	178	149
Budget authority and outlays, net:				
Discretionary:				
4000	Budget authority, gross	149	150	150
Outlays, gross:				
4010	Outlays from new discretionary authority	0	38	38
4011	Outlays from discretionary balances	73	103	141
4020	Outlays, gross (total)	73	141	179
4070	Budget authority, net (discretionary)	149	150	150

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

Program and Financing (in millions of dollars)

		2014	2015	2016
Identification code: 69-1128-0-1-401		Actual	Enacted	Est.
4080	Outlays, net (discretionary)	73	141	179
4180	Budget authority, net (total)	149	150	150
4190	Outlays, net (total)	73	141	179

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

Object Classification (in millions of dollars)

		2014	2015	2016
Identification code: 69-1128-0-1-401		Actual	Enacted	Est.
Direct obligations:				
41.0	Grants, subsidies, and contributions	142	150	150

Detailed Justification for Grants to the Washington Metropolitan Area Transit Authority

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

FY 2016 –WASHINGTON METROPOLITAN AREA TRANSIT AUTHORITY (\$000)

Program Activity	FY 2014 Actual	FY 2015 Enacted	FY 2016 Request	Difference from FY 2015
WMATA	150,000	150,000	150,000	-
Total	150,000	150,000	150,000	-

The budget requests \$150 million for FY 2016 for capital grant funding. This Federal contribution helps WMATA address its capital maintenance backlog, including pressing safety-related investments, to ensure matching capital funding from WMATA's local compact members.

What Is This Program?

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

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

As in previous years, in FY 2016, FTA will develop a grant agreement with WMATA detailing how and where these capital funds will be used. Since FY 2010, Congress has directed that FTA prioritize funding to first address the immediate safety shortfalls identified by the National Transportation Safety Board (NTSB), which were issued in response to WMATA's July 2009 deadly rail crash.² Safety will continue to be a top priority of FTA as it develops its grant agreements in FY 2016.

WMATA is now a mature transit system with an aging capital base. Unlike other major rail systems, WMATA lacks a dedicated local funding source. This special Federal appropriation leverages \$150 million in matching funds provided by the District of Columbia, the State of Maryland, and the Commonwealth of Virginia that WMATA needs to support proper levels of capital reinvestment.

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

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

Without adequate reinvestment, transit assets can deteriorate and ultimately affect system reliability, performance and safety.

FY 2014 Base Accomplishments

Between FY 2010 and FY 2014 Congress appropriated \$742 million in funding to address WMATA's capital needs. The District of Columbia, the State of Maryland, and the Commonwealth of Virginia matched these funds dollar-for-dollar. In total, the FTA has approved \$1.18 billion in WMATA capital projects as of June 2014. Of the \$ \$595 million in Federal funds obligated as of December 2014 to-date, approximately 87 percent (\$440 million) has been outlaid (spent).

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

FTA partners with WMATA, which is responsible for implementing projects to improve the safety and condition of the system. Grants have supported closing 395 corrective actions since FY 2010. These were corrective actions identified by the NTSB, FTA, the Tri-State Oversight Committee, APTA, and WMATA. Grants supported numerous projects that improve the safety and reliability of the National Capital Region's transportation system.

The following activities have been accomplished as of June 30, 2014 :

- \$584 million has been invested in critical rail systems and track and structures rehabilitation projects. This work includes, but is not limited to, major rebuilding efforts on the oldest parts of the system, the replacement of aging rail infrastructure assets throughout the system, development of redundant safety monitoring systems along the right-of-way, replacement of potentially disruptive track circuits, and the replacement of traction-power cable. Major milestones reached on projects that address NTSB recommendations including the replacement of track circuits, the removal of extraneous wayside communication cable and megger testing along the Red Line. Red Line contract 1 work was completed. The replacement of all No. 8 unguarded turnouts in the system were replaced with guarded turnouts.
- \$266 for upgrades and improvements to rolling stock. These investments include a major procurement to replace the 1000 Series railcars (oldest in the fleet) as well as a vigorous annual rail and bus vehicle rehabilitation/overhaul program, and systems to monitor on-board recorders in rail cars. The pilot 7000 Series railcars were received and are currently undergoing testing. The first four production railcars were recently received as well.
- \$134 million for maintenance and other facilities, including rail-yard facilities repairs and rehabilitation, a test track and commissioning facility for railcars, full rehabilitation of three bus

maintenance garages, and work to upgrade and improve Metro Police Department support facilities.

- \$122 million for maintenance equipment, including heavy-duty track equipment utilized in track rehab work, track switch machines, and safety signaling systems.
- \$101 million for investments to improve passenger facilities. This work includes a major program to rehabilitate elevators and escalators throughout the system as well as investments in the rehabilitation and restoration of rail stations.

FY 2015 Anticipated Accomplishments

WMATA will continue to work with the FTA to develop grant agreements that support ongoing investments to improve the safety of the system. A significant portion of the planned work for FY 2015 continues many of the programs and projects mentioned above. This includes continued investments in the replacement of the 1000 Series railcars, the first deliveries of the replacement railcars, completion of the test track and commissioning facility for accepting new railcars, rehabilitation of elevators and escalators, major rehabilitation work on line-segments, replacement of aging track and structure assets, development and implementation of system safety monitoring tools, rail yard and bus maintenance facility upgrades, and the procurement of track maintenance equipment.

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

The \$150 million request represents the Federal government's annual funding commitment that leverages \$150 million in local funds from the District of Columbia, the State of Maryland, and the Commonwealth of Virginia, bringing total capital funding available each year to \$300 million. The three jurisdictions have signed onto the terms of the *Federal Rail Safety Enhancement Act of 2008*, which requires that each Federal grant cover no more than 50 percent of net project costs, and that the remaining 50 percent be provided in cash from sources other than Federal funds or revenues from the operation of public mass transportation systems. Each jurisdiction has committed to providing an additional \$50 million in matching funds annually (for a total of \$150 million).

The program will be evaluated by whether over the next decade WMATA maintains its assets in a state of good repair. FTA is currently working with WMATA to determine appropriate benchmarks for assessing adequate maintenance of capital. Additionally, the FTA integrates performance results into its budget request to demonstrate alignment with the Department of Transportation's Strategic Plan.

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

Funding for FY 2016 will enable WMATA to improve the condition of its transit system, which transports tens of millions of commuters and visitors in the Nation's capital each year. This funding is a crucial part of ensuring the continued benefits of a reliable transit system, which has spurred over \$37

billion in economic development at or adjacent to Metro property and removes 500,000 automobiles daily from the region's roads, which are consistently ranked among the Nation's most congested.^{3,4}

Please note that the total invested by WMATA in these projects is higher than what has been appropriated by Congress through the PRIIA program to date. WMATA has used other funding sources to support these projects investments as appropriate.

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

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

FEDERAL TRANSIT ADMINISTRATION

ADMINISTRATIVE PROVISIONS—FEDERAL TRANSIT ADMINISTRATION

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

[SEC. 161. Notwithstanding any other provision of law, funds appropriated or limited by this Act under the heading Fixed Guideway Capital Investment of the Federal Transit Administration for projects specified in this Act or identified in reports accompanying this Act not obligated by September 30, 2019, and other recoveries, shall be directed to projects eligible to use the funds for the purposes for which they were originally provided.]

SEC. [162]161. [Notwithstanding any other provision of law, a] Any funds appropriated before October 1, [2014] 2015, 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. The Secretary may not enforce regulations related to charter bus service under part 604 of title 49, Code of Federal Regulations, for any transit agency that during fiscal year 2008 was both initially granted a 60-day period to come into compliance with part 604, and then was subsequently granted an exception from said part.]

[SEC. 164. For purposes of applying the project justification and local financial commitment criteria of 49 U.S.C. 5309(d) to a New Starts project, the Secretary may consider the costs and ridership of any connected project in an instance in which private parties are making significant financial contributions to the construction of the connected project; additionally, the Secretary may consider the significant financial contributions of private parties to the connected project in calculating the non-Federal share of net capital project costs for the New Starts project.]

[SEC. 165. Notwithstanding any other provision of law, none of the funds made available in this Act shall be used to enter into a full funding grant agreement for a project with a New Starts share greater than 60 percent.]

[SEC. 166. None of the funds in this or any other Act may be available to advance in any way a new light or heavy rail project towards a full funding grant agreement as defined by 49 U.S.C. 5309 for the Metropolitan Transit Authority of Harris County, Texas if the proposed capital project is constructed on or planned to be constructed on Richmond Avenue west of South Shepherd Drive or on Post Oak Boulevard north of Richmond Avenue in Houston, Texas.]

[SEC. 167. In developing guidance implementing 49 U.S.C. 5309(i) Program of Interrelated Projects, the Secretary shall consider projects eligible under section 5309(h) Small Starts Projects, including streetcars.]

[SEC. 168. Of the unobligated balance of amounts made available for fiscal year 2011 or prior fiscal years to carry out the discretionary bus and bus facilities program under 49 U.S.C. 5309, \$27,989,839 shall be used for new bus rapid transit projects recommended, in the President's fiscal year 2015 budget request, to be funded under the heading Department of Transportation-Federal Transit Administration-Capital Investment Grants: *Provided*, That all such projects shall remain subject to the requirements of 49 U.S.C. 5309 for New Starts, Small Starts, or Core Capacity projects, as applicable, under the Capital Investment Grants Program: *Provided further*, That such funds shall be in addition to the amounts otherwise made available by this Act for Department of Transportation-Federal Transit Administration-Capital Investment Grants.]

SEC. 162. Unobligated or recovered—(a) fiscal years 2006 through 2012 funds that were made available to carry out alternatives analysis under 49 U.S.C. 5339 may be available to carry out capital investment grants under 49 U.S.C. 5309, subject to the terms and conditions required under such section;(b) fiscal years 1999 through 2012 funds available to carry out the discretionary bus and bus facilities program under former 49 U.S.C. 5309 and the clean fuels program under former 49 U.S.C. 5308 may be made available to carry out the bus and bus facilities formula program under 49 U.S.C. 5339;(c) funds made available to carry out the job access and reverse commute program authorized by Public Law 105–178 and former 49 U.S.C. 5316 may be available to carry out such activities under the urbanized area formula grants program under 49 U.S.C. 5307 and the rural formula grants program under 49 U.S.C. 5311;(d) fiscal years 2006 through 2012 funds made available to carry out the new freedom program under former 49 U.S.C. 5317 may be made available to carry out such activities under the enhanced mobility of seniors and individual with disabilities program under 49 U.S.C. 5310;(e) funds made available to carry out the fixed guideway modernization program under former 49 U.S.C. 5309 may be available to carry out the state of good repair program under 49 U.S.C. 5337;(f) funds made available to carry out the alternative transportation in the parks program under former 49 U.S.C. 5320 may be available to carry out the bus and bus facilities formula program under 49 U.S.C. 5339; and (g) fiscal years 1999 through 2012 funds made available to carry out the over-the-road bus program under former section 3038 of Public Law 105–59 may be made available to carry out the enhanced mobility of seniors and individual with disabilities program under 49 U.S.C. 5310. Unobligated balances referenced in this section shall not be subject to the limitations on obligations for Federal Transit Administration programs.

Explanation: Under MAP-21, Congress discontinued eight FTA programs: Alternatives Analysis, Bus and Bus Facilities Discretionary, Clean Fuels, Job Access and Reverse Commute, New Freedom, the Fixed Guideway Modernization, Transit in the Parks, and Over-the-Road Bus, leaving unobligated balances. Given the complexities of issuing apportionments or Notices of Funding Availabilities under different authorizations, particularly for small amounts, FTA proposes language in this section and section 162 that would allow the agency to administer the funds under the new program rules. (Department of Transportation Appropriations Act, 2015.)

TRANSIT CAPITAL ASSISTANCE, RECOVERY ACT

The American Recovery and Reinvestment Act of 2009 provided \$6.9 billion to fund transit capital assistance to create jobs to bolster the American economy. Transit capital assistance was provided through urbanized area formula grants, non-urbanized area formula grants, and discretionary Tribal Transit grants. Funds were used for eligible capital projects, preventive maintenance, and to purchase buses and rail rolling stock. Funds were also used for a new discretionary grant program, Transportation Investments in Greenhouse Gas and Energy Reduction, to increase the use of environmentally sustainable operations in the public transportation sector. This schedule shows the obligation and outlay of remaining amounts made available for administration and oversight of these formula apportionments and discretionary grant awards and the associated capital and preventive maintenance projects and vehicle procurements.

**DEPARTMENT OF TRANSPORTATION
FEDERAL TRANSIT ADMINISTRATION
TRANSIT CAPITAL ASSISTANCE, RECOVERY ACT**

Program and Financing (in millions of dollars)

		2014	2015	2016
Identification code: 69-1101-0-1-401		Actual	Enacted	Est.
Budgetary resources:				
Budget authority:				
Change in obligated balance:				
Unpaid obligations:				
3000	Unpaid obligations, brought forward, Oct 1	336	158	...
3011	Obligations incurred, expired accounts	1
3020	Outlays (gross)	-174	-158	...
3041	Recoveries of prior year unpaid obligations, expired	-5
3050	Unpaid obligations, end of year	158
Memorandum (non-add) entries:				
3100	Obligated balance, start of year	336	158	...
3200	Obligated balance, end of year	158
Budget authority and outlays, net:				
Discretionary:				
Outlays, gross:				
4011	Outlays from discretionary balances	174	158	...
Offsets against gross budget authority and outlays:				
Offsetting collections (collected) from:				
4080	Outlays, net (discretionary)	174	158	...
4180	Budget authority, net (total)
4190	Outlays, net (total)	174	158	...

FIXED GUIDEWAY INFRASTRUCTURE INVESTMENT, RECOVERY ACT

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

**DEPARTMENT OF TRANSPORTATION
FEDERAL TRANSIT ADMINISTRATION
FIXED GUIDEWAY INFRASTRUCTURE INVESTMENT, RECOVERY ACT**

Program and Financing (in millions of dollars)

		2014	2015	2016
Identification code: 69-1102-0-1-401		Actual	Enacted	Est.
Budgetary resources:				
Budget authority:				
Change in obligated balance:				
Unpaid obligations:				
3000	Unpaid obligations, brought forward, Oct 1	29	16	...
3020	Outlays (gross)	-13	-16	...
3050	Unpaid obligations, end of year	16
Memorandum (non-add) entries:				
3100	Obligated balance, start of year	29	16	...
3200	Obligated balance, end of year	16
Budget authority and outlays, net:				
Discretionary:				
Outlays, gross:				
4011	Outlays from discretionary balances	13	16	...
4080	Outlays, net (discretionary)	13	16	...
4180	Budget authority, net (total)
4190	Outlays, net (total)	13	16	...

MISCELLANEOUS EXPIRED ACCOUNTS

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

**DEPARTMENT OF TRANSPORTATION
FEDERAL TRANSIT ADMINISTRATION
MISCELLANEOUS EXPIRED ACCOUNTS**

Program and Financing (in millions of dollars)

		2014	2015	2016
Identification code: 69-1122-0-1-401		Actual	Enacted	Est.
Budgetary resources:				
Unobligated balance:				
1000	Unobligated balance brought forward, Oct 1	1
Budget authority:				
Appropriations, discretionary:				
1131	Unobligated balance of appropriations permanentl	-1
1160	Appropriation, discretionary (total)	-1
1930	Total budgetary resources available
Budget authority and outlays, net:				
Discretionary:				
4000	Budget authority, gross	-1
4070	Budget authority, net (discretionary)	-1
4180	Budget authority, net (total)	-1
4190	Outlays, net (total)

JOB ACCESS AND REVERSE COMMUTE GRANTS

Activities have not been funded in the Job Access and Reverse Commute Grants account since 2005. In FY 2014, the unobligated balance remaining in this account was permanently rescinded. Urbanized Area formula grants may be used to support job access and reverse commute projects in fiscal year 2016.

**DEPARTMENT OF TRANSPORTATION
FEDERAL TRANSIT ADMINISTRATION
JOB ACCESS AND REVERSE COMMUTE GRANTS**

Program and Financing (in millions of dollars)

Identification code: 69-1125-0-1-401		2014 Actual	2015 Enacted	2016 Est.
Obligations by program activity:				
0689	Direct program activity	1	1	...
0900	Total new obligations (object class 41.0)	1	1	...
Budgetary resources:				
Unobligated balance:				
1000	Unobligated balance brought forward, Oct 1	16	1	...
1021	Recoveries of prior year unpaid obligations	2
1050	Unobligated balance (total)	18	1	...
Budget authority:				
Appropriations, discretionary:				
1131	Unobligated balance of appropriations permanently reduced	-16
1160	Appropriation, discretionary (total)	-16
Spending authority from offsetting collections, discretionary:				
1750	Spending auth from offsetting collections, disc (total)
1900	Budget authority (total)	-16
1930	Total budgetary resources available	2	1	...
Memorandum (non-add) entries:				
1941	Unexpired unobligated balance, end of year	1
Change in obligated balance:				
Unpaid obligations:				
3000	Unpaid obligations, brought forward, Oct 1	6	3	...
3010	Obligations incurred, unexpired accounts	1	1	...
3020	Outlays (gross)	-2	-4	...
3040	Recoveries of prior year unpaid obligations, unexpired	-2
3050	Unpaid obligations, end of year	3
Memorandum (non-add) entries:				
3100	Obligated balance, start of year	6	3	...
3200	Obligated balance, end of year	3

**DEPARTMENT OF TRANSPORTATION
FEDERARAL TRANSIT ADMINISTRATION
JOB ACCESS AND REVERSE COMMUTE GRANTS**

Program and Financing (in millions of dollars)

		2014	2015	2016
Identification code: 69-1125-0-1-401		Actual	Enacted	Est.
Budget authority and outlays, net:				
Discretionary:				
4000	Budget authority, gross	-16
	Outlays, gross:			
4011	Outlays from discretionary balances	2	4	...
4070	Budget authority, net (discretionary)	-16
4080	Outlays, net (discretionary)	2	4	...
4180	Budget authority, net (total)	-16
4190	Outlays, net (total)	2	4	...

INTERSTATE TRANSFER GRANTS-TRANSIT

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

**DEPARTMENT OF TRANSPORTATION
FEDERAL TRANSIT ADMINISTRATION
INTERSTATE TRANSFER GRANTS - TRANSIT**

Program and Financing (in millions of dollars)

		2014	2015	2016
Identification code: 69-1127-0-1-401		Actual	Enacted	Est.
Budgetary resources:				
Unobligated balance:				
1000	Unobligated balance brought forward, Oct 1	3.00	0	-
Budget authority:				
Appropriations, discretionary:				
1131	Unobligated balance of appropriations permanently re	-3	-	-
1160	Appropriation, discretionary (total)	-3	-	-
1930	Total budgetary resources available	-	-	-
Budget authority and outlays, net:				
Discretionary:				
4000	Budget authority, gross	-3	-	-
4070	Budget authority, net (discretionary)	-3	-	-
4180	Budget authority, net (total)	-3	-	-
4190	Outlays, net (total)	-	-	-

TECHNICAL ASSISTANCE AND TRAINING

The Technical Assistance and Standard Development program enables FTA to provide technical assistance to the public transportation industry and to develop standards for transit service provision, with an emphasis on improving access for all individuals and transportation equity. Through this program, FTA is able to assist grantees to more effectively and efficiently provide public transportation and administer Federal funding in compliance with the law. No funds are requested in this account for FY 2016. The Administration is proposing funding for this program within multi-year surface transportation reauthorization. As part of that reauthorization proposal, programs currently administered from this account would be continued in the Research and University Research Centers account that would be funded from the Mass Transit Account of the Transportation Trust Fund.

**DEPARTMENT OF TRANSPORTATION
FEDERAL TRANSMIT ADMINISTRATION
TECHNICAL ASSISTANCE AND TRAINING**

Program and Finance (in million of dollars)

		2014	2015	2016
Identification code: 69-1142-0-1-401		Actual	Enacted	Est.
Obligations by program activity:				
0001	Technical Assistance and Standards Development	2	5	...
0900	Total new obligations (object class 25.5)	2	5	...
Budgetary resources:				
Unobligated balance:				
1000	Unobligated balance brought forward, Oct 1	...	3	3
Budget authority:				
Appropriations, discretionary:				
1100	Appropriation	5	5	...
1160	Appropriation, discretionary (total)	5	5	...
1930	Total budgetary resources available	5	8	3
Memorandum (non-add) entries:				
1941	Unexpired unobligated balance, end of year	3	3	3
Change in obligated balance:				
Unpaid obligations:				
3000	Unpaid obligations, brought forward, Oct 1	...	2	2
3010	Obligations incurred, unexpired accounts	2	5	0
3020	Outlays (gross)	...	-5	-1
3050	Unpaid obligations, end of year	2	2	1
Memorandum (non-add) entries:				
3100	Obligated balance, start of year	0	2	2
3200	Obligated balance, end of year	2	2	1
Budget authority and outlays, net:				
Discretionary:				
4000	Budget authority, gross	5	5	0
Outlays, gross:				
4010	Outlays from new discretionary authority	0	4	0
4011	Outlays from discretionary balances	0	1	1
4020	Outlays, gross (total)	0	5	1
4070	Budget authority, net (discretionary)	5	5	0
4080	Outlays, net (discretionary)	0	5	1
4180	Budget authority, net (total)	5	5	0
4190	Outlays, net (total)	0	5	1

**DEPARTMENT OF TRANSPORTATION
FEDERAL TRANSMIT ADMINISTRATION
TECHNICAL ASSISTANCE AND TRAINING**

Program and Finance (in million of dollars)

		2014	2015	2016
Identification code: 69-1142-4-1-401		Actual	Enacted	Est.
Budgetary resources:				
Budget authority:				
Appropriations, mandatory:				
1200	Appropriation	-5
1260	Appropriations, mandatory (total)	-5
1930	Total budgetary resources available	-5
Memorandum (non-add) entries:				
1941	Unexpired unobligated balance, end of year	-5
Change in obligated balance:				
Unpaid obligations:				
3000	Unpaid obligations, brought forward, Oct 1
3020	Outlays (gross)	4
3050	Unpaid obligations, end of year	4
Memorandum (non-add) entries:				
3100	Obligated balance, start of year
3200	Obligated balance, end of year	4
Budget authority and outlays, net:				
Mandatory:				
4090	Budget authority, gross	-5
Outlays, gross:				
4100	Outlays from new mandatory authority	-4
4160	Budget authority, net (mandatory)	-5
4170	Outlays, net (mandatory)	-4
4180	Budget authority, net (total)	-5
4190	Outlays, net (total)	-4

**DEPARTMENT OF TRANSPORTATION
FEDERAL TRANSMIT ADMINISTRATION
TECHNICAL ASSISTANCE AND TRAINING**

Program and Finance (in million of dollars)

		2014	2015	2016
Identification code: 69-1142-7-1-401		Actual	Enacted	Est.
Budgetary resources:				
Budget authority:				
Appropriations, discretionary:				
1100	Appropriation	...	-5	...
1160	Appropriation, discretionary (total)	...	-5	...
Appropriations, mandatory:				
1200	Appropriation	...	5	5
1260	Appropriations, mandatory (total)	...	5	5
1900	Budget authority (total)	5
1930	Total budgetary resources available	5
Memorandum (non-add) entries:				
1941	Unexpired unobligated balance, end of year	5
Change in obligated balance:				
Unpaid obligations:				
3000	Unpaid obligations, brought forward, Oct 1
3020	Outlays (gross)	-4
3050	Unpaid obligations, end of year	-4
Memorandum (non-add) entries:				
3100	Obligated balance, start of year
3200	Obligated balance, end of year	-4
Budget authority and outlays, net:				
Discretionary:				
4000	Budget authority, gross	0	-5	0
Outlays, gross:				
4010	Outlays from new discretionary authority	0	-4	0
4011	Outlays from discretionary balances	0	0	-1
4020	Outlays, gross (total)	0	-4	-1
4070	Budget authority, net (discretionary)	0	-5	0
4080	Outlays, net (discretionary)	0	-4	-1
Mandatory:				
4090	Budget authority, gross	0	5	5
Outlays, gross:				
4100	Outlays from new mandatory authority	0	4	4

**DEPARTMENT OF TRANSPORTATION
FEDERAL TRANSMIT ADMINISTRATION
TECHNICAL ASSISTANCE AND TRAINING**

Program and Finance (in million of dollars)

		2014	2015	2016
Identification code: 69-1142-7-1-401		Actual	Enacted	Est.
4101	Outlays from mandatory balances	0	0	1
4110	Outlays, gross (total)	0	4	5
4160	Budget authority, net (mandatory)	0	5	5
4170	Outlays, net (mandatory)	0	4	5
4180	Budget authority, net (total)	0	0	5
4190	Outlays, net (total)	0	0	4

**DEPARTMENT OF TRANSPORTATION
FEDERAL TRANSMIT ADMINISTRATION
TECHNICAL ASSISTANCE AND TRAINING**

Program and Finance (in million of dollars)

		2014	2015	2016
Identification code: 69-1142-9-1-401		Actual	Enacted	Est.
Budgetary resources:				
Budget authority:				
Appropriations, discretionary:				
1100	Appropriation	-5
1160	Appropriation, discretionary (total)	-5
Appropriations, mandatory:				
1200	Appropriations, mandatory	5
1260	Appropriations, mandatory (total)	5
1900	Budget authority (total)
1930	Total budgetary resources available
Budget authority and outlays, net:				
Discretionary:				
4000	Budget authority, gross	-5
4070	Budget authority, net (discretionary)	-5
Mandatory:				
4090	Budget authority, gross	5
4160	Budget authority, net (mandatory)	5
4180	Budget authority, net (total)
4190	Outlays, net (total)

RESEARCH, TRAINING, AND HUMAN RESOURCES

Activities have not been funded in the Research, Training and Human Resources account since 2005. In FY 2015, the unobligated balance remaining in this account was permanently rescinded. Grants from the Transit Research and Training account may be used to support research and industry training projects in fiscal year 2016.

**DEPARTMENT OF TRANSPORTATION
FEDERAL TRANSIT ADMINISTRATION
RESEARCH, TRAINING, AND HUMAN RESOURCES**

Program and Financing (in millions of dollars)

		2014	2015	2016
		Actual	Enacted	Est.
Identification code: 69-1121-0-1-401				
Budgetary resources:				
Budget authority:				
Appropriations, discretionary:				
1160	Appropriation, discretionary (total)
4180	Budget authority, net (total)
4190	Outlays, net (total)

FORMULA GRANTS

This schedule shows the obligation and outlay of formula grant program funding made available in fiscal years prior to 2006. In 2016, funds requested for transit formula grant programs are included in the Transit Formula Grants account and funded exclusively by the Mass Transit Account of the Transportation Trust Fund.

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

Program and Financing (in millions of dollars)

		2014	2015	2016
Identification code: 69-1129-0-1-401		Actual	Enacted	Est.
Obligations by program activity:				
0004	Other Programs	28	18	14
0900	Total new obligations (object class 41.0)	28	18	14
Budgetary resources:				
Unobligated balance:				
1000	Unobligated balance brought forward, Oct 1	89	32	14
1021	Recoveries of prior year unpaid obligations	49
1050	Unobligated balance (total)	138	32	14
Budget authority:				
Appropriations, discretionary:				
1131	Unobligated balance of appropriations permanently reduced	-65
1160	Appropriation, discretionary (total)	-65
Spending authority from offsetting collections, discretionary:				
1700	Collected	1
1701	Change in uncollected payments, Federal sources	-14
1750	Spending auth from offsetting collections, disc (total)	-13
1900	Budget authority (total)	-78
1930	Total budgetary resources available	60	32	14
Memorandum (non-add) entries:				
1941	Unexpired unobligated balance, end of year	32	14	...
Change in obligated balance:				
Unpaid obligations:				
3000	Unpaid obligations, brought forward, Oct 1	303	183	94
3010	Obligations incurred, unexpired accounts	28	18	14
3020	Outlays (gross)	-99	-107	-107
3040	Recoveries of prior year unpaid obligations, unexpired	-49
3050	Unpaid obligations, end of year	183	94	1
Uncollected payments:				
3060	Uncollected pymts, Fed sources, brought forward, Oct 1	-16	-2	-2
3070	Change in uncollected pymts, Fed sources, unexpired	14
3090	Uncollected pymts, Fed sources, end of year	-2	-2	-2
Memorandum (non-add) entries:				
3100	Obligated balance, start of year	287	181	92
3200	Obligated balance, end of year	181	92	-1

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

Program and Financing (in millions of dollars)

		2014	2015	2016
Identification code: 69-1129-0-1-401		Actual	Enacted	Est.
	Budget authority and outlays, net:			
	Discretionary:			
4000	Budget authority, gross	-78
	Outlays, gross:			
4011	Outlays from discretionary balances	99	107	107
	Offsets against gross budget authority and outlays:			
	Offsetting collections (collected) from:			
4030	Federal sources	-1
	Additional offsets against gross budget authority only:			
4050	Change in uncollected pymts, Fed sources, unexpired	14
4070	Budget authority, net (discretionary)	-65
4080	Outlays, net (discretionary)	98	107	107
4180	Budget authority, net (total)	-65
4190	Outlays, net (total)	98	107	107

GRANTS FOR ENERGY EFFICIENCY AND GREENHOUSE GAS REDUCTIONS

Initiated within the American Recovery & Reinvestment Act (ARRA) of 2009, this program provided grants to public transit agencies for capital investments to reduce the energy consumption or greenhouse gas emissions of their public transportation operations. Activities have not been funded in this account since 2011. This schedule shows the obligations and outlays of funding made available for this program in fiscal years prior to 2012. In 2016, projects to increase energy efficiency and decrease greenhouse gas emissions can be funded with Urbanized Area Formula grants and Rural Area Formula grants.

**DEPARTMENT OF TRANSPORTATION
FEDERAL TRANSIT ADMINISTRATION
GRANTS FOR ENERGY EFFICIENCY AND GREENHOUSE GAS REDUCTIONS**

Program and Financing (in millions of dollars)

		2014	2015	2016
Identification code: 69-1131-0-1-401		Actual	Enacted	Est.
Budgetary resources:				
Budget authority:				
Appropriations, discretionary:				
1160	Appropriation, discretionary (total)
Change in obligated balance:				
Unpaid obligations:				
3000	Unpaid obligations, brought forward, Oct 1	89	62	30
3020	Outlays (gross)	-27	-32	-30
3050	Unpaid obligations, end of year	62	30	...
Memorandum (non-add) entries:				
3100	Obligated balance, start of year	89	62	30
3200	Obligated balance, end of year	62	30	...
Budget authority and outlays, net:				
Discretionary:				
Outlays, gross:				
4011	Outlays from discretionary balances	27	32	30
4080	Outlays, net (discretionary)	27	32	30
4180	Budget authority, net (total)
4190	Outlays, net (total)	27	32	30

CAPITAL INVESTMENT GRANTS

The Federal Transit Administration's (FTA) Capital Investment Grants program is designed to increase the capacity of local transit networks and to meet ridership demands in communities across the nation. The objectives of this program are accomplished by supporting the construction of new fixed guideway systems or extensions to fixed guideways, corridor-based bus rapid transit systems, and core capacity improvement projects. These projects include heavy rail, light rail, commuter rail, bus rapid transit, ferries, and streetcar systems. FTA allocates resources to grantees through a multi-year, multi-step competitive process. Prior to funding, each project is required to obtain an acceptable rating under a set of statutorily defined criteria that examine project merit and local financial commitment. The Administration is proposing to fund the Capital Investment Grants program within a multi-year surface transportation reauthorization. As part of that reauthorization proposal, programs currently administered from this account would be funded from the Mass Transit Account of the Transportation Trust Fund.

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

Program and Financing (in millions of dollars)

		2014	2015	2016
Identification code: 69-1134-0-1-401		Actual	Enacted	Est.
Obligations by program activity:				
0001	Capital investment grants	2,479	2,130	818
0003	Lower Manhattan recovery FTA Direct P.L. 107-206	26	10	10
0900	Total new obligations	2,505	2,140	828
Budgetary resources:				
Unobligated balance:				
1000	Unobligated balance brought forward, Oct 1	1,510	969	828
1021	Recoveries of prior year unpaid obligations	18
1050	Unobligated balance (total)	1,528	969	828
Budget authority:				
Appropriations, discretionary:				
1100	Appropriation	1,943	2,120	...
1131	Unobligated balance of appropriations permanently reduced	-11	-121	...
1160	Appropriation, discretionary (total)	1,932	1,999	...
Spending authority from offsetting collections, discretionary:				
1700	Collected	14
1750	Spending auth from offsetting collections, disc (total)	14
1900	Budget authority (total)	1,946	1,999	...
1930	Total budgetary resources available	3,474	2,968	828
Memorandum (non-add) entries:				
1941	Unexpired unobligated balance, end of year	969	828	...
Change in obligated balance:				
Unpaid obligations:				
3000	Unpaid obligations, brought forward, Oct 1	3,450	3,850	3,978
3010	Obligations incurred, unexpired accounts	2,505	2,140	828
3020	Outlays (gross)	-2,087	-2,012	-1,552
3040	Recoveries of prior year unpaid obligations, unexpired	-18
3050	Unpaid obligations, end of year	3,850	3,978	3,254
Memorandum (non-add) entries:				
3100	Obligated balance, start of year	3,450	3,850	3,978
3200	Obligated balance, end of year	3,850	3,978	3,254

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

Program and Financing (in millions of dollars)

		2014	2015	2016
Identification code: 69-1134-0-1-401		Actual	Enacted	Est.
Budget authority and outlays, net:				
Discretionary:				
4000	Budget authority, gross	1,946	1,999	...
	Outlays, gross:			
4010	Outlays from new discretionary authority	335	580	...
4011	Outlays from discretionary balances	1,752	1,432	1,552
4020	Outlays, gross (total)	2,087	2,012	1,552
Offsets against gross budget authority and outlays:				
Offsetting collections (collected) from:				
4033	Non-Federal sources	-14
4070	Budget authority, net (discretionary)	1,932	1,999	...
4080	Outlays, net (discretionary)	2,073	2,012	1,552
4180	Budget authority, net (total)	1,932	1,999	...
4190	Outlays, net (total)	2,073	2,012	1,552

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

Program and Financing (in millions of dollars)

		2014	2015	2016
Identification code: 69-1134-0-4-401		Actual	Enacted	Est.
Budgetary resources:				
Budget authority:				
Appropriations, mandatory:				
1200	Appropriation	-2,031
1260	Appropriations, mandatory (total)	-2,031
1930	Total budgetary resources available	-2,031
Memorandum (non-add) entries:				
1941	Unexpired unobligated balance, end of year	-2,031
Change in obligated balance:				
Unpaid obligations:				
3000	Unpaid obligations, brought forward, Oct 1
3020	Outlays (gross)	2,141
3050	Unpaid obligations, end of year	2,141
Memorandum (non-add) entries:				
3100	Obligated balance, start of year
3200	Obligated balance, end of year	2,141
Budget authority and outlays, net:				
Mandatory:				
4090	Budget authority, gross	-2,031
Outlays, gross:				
4100	Outlays from new mandatory authority	-589
4101	Outlays from mandatory balances	-1,552
4110	Outlays, gross (total)	-2,141
4160	Budget authority, net (mandatory)	-2,031
4170	Outlays, net (mandatory)	-2,141
4180	Budget authority, net (total)	-2,031
4190	Outlays, net (total)	-2,141

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

Program and Financing (in millions of dollars)

		2014	2015	2016
Identification code: 69-1134-0-7-401		Actual	Enacted	Est.
Budgetary resources:				
Budget authority:				
Appropriations, discretionary:				
1100	Appropriation	...	-1,999	...
1160	Appropriation, discretionary (total)	...	-1,999	...
Appropriations, mandatory:				
1200	Appropriation	...	1,999	2,031
1260	Appropriations, mandatory (total)	...	1,999	2,031
1900	Budget authority (total)	2,031
1930	Total budgetary resources available	2,031
Memorandum (non-add) entries:				
1941	Unexpired unobligated balance, end of year	2,031
Change in obligated balance:				
Unpaid obligations:				
3000	Unpaid obligations, brought forward, Oct 1
3020	Outlays (gross)	-589
3050	Unpaid obligations, end of year	-589
Memorandum (non-add) entries:				
3100	Obligated balance, start of year
3200	Obligated balance, end of year	-589
Budget authority and outlays, net:				
Discretionary:				
4000	Budget authority, gross	...	-1,999	...
Outlays, gross:				
4010	Outlays from new discretionary authority	...	-580	...
4011	Outlays from discretionary balances	...	-1,387	-1,513
4020	Outlays, gross (total)	...	-1,967	-1,513
4070	Budget authority, net (discretionary)	...	-1,999	...
4080	Outlays, net (discretionary)	...	-1,967	-1,513

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

Program and Financing (in millions of dollars)

		2014	2015	2016
Identification code: 69-1134-0-7-401		Actual	Enacted	Est.
Mandatory:				
4090	Budget authority, gross	...	1,999	2,031
	Outlays, gross:			
4100	Outlays from new mandatory authority	...	580	589
4101	Outlays from mandatory balances	...	1,387	1,513
4110	Outlays, gross (total)	...	1,967	2,102
4160	Budget authority, net (mandatory)	...	1,999	2,031
4170	Outlays, net (mandatory)	...	1,967	2,102
4180	Budget authority, net (total)	2,031
4190	Outlays, net (total)	589

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

Program and Financing (in millions of dollars)

		2014	2015	2016
Identification code: 69-1134-0-9-401		Actual	Enacted	Est.
Budgetary resources:				
Budget authority:				
Appropriations, discretionary:				
1100	Appropriation	-1,932
1130	Appropriations permanently reduced
1160	Appropriation, discretionary (total)	-1,932
Appropriations, mandatory:				
1200	Appropriation	1,932
1230	Appropriations and/or unobligated balance of appr
1260	Appropriations, mandatory (total)	1,932
1900	Budget authority (total)
1930	Total budgetary resources available
Budget authority and outlays, net:				
Discretionary:				
4000	Budget authority, gross	-1,932
Outlays, gross:				
4010	Outlays from new discretionary authority	-335
4011	Outlays from discretionary balances	-1,738
4020	Outlays, gross (total)	-2,073
4070	Budget authority, net (discretionary)	-1,932
4080	Outlays, net (discretionary)	-2,073
Mandatory:				
4090	Budget authority, gross	1,932
Outlays, gross:				
4100	Outlays from new mandatory authority	335
4101	Outlays from mandatory balances	1,738
4110	Outlays, gross (total)	2,073
4160	Budget authority, net (mandatory)	1,932
4170	Outlays, net (mandatory)	2,073
4180	Budget authority, net (total)
4190	Outlays, net (total)

ADMINISTRATIVE EXPENSES

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

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

Program and Financing (in millions of dollars)

Identification code: 69-1120-0-1-401		2014 Actual	2015 Enacted	2016 Est.
Obligations by program activity:				
0001	Administrative expenses	106	102	...
0002	Transit Safety Oversight	...	4	...
0003	Transit Asset Management	...	1	...
0900	Total new obligations	106	107	...
Budgetary resources:				
Unobligated balance:				
1000	Unobligated balance brought forward, Oct 1	1	1	...
Budget authority:				
Appropriations, discretionary:				
1100	Appropriation	106	106	...
1160	Appropriation, discretionary (total)	106	106	...
1930	Total budgetary resources available	107	107	...
Memorandum (non-add) entries:				
1941	Unexpired unobligated balance, end of year	1
Change in obligated balance:				
Unpaid obligations:				
3000	Unpaid obligations, brought forward, Oct 1	14	13	6
3010	Obligations incurred, unexpired accounts	106	107	0
3011	Obligations incurred, expired accounts	0	...	2
3020	Outlays (gross)	-106	-114	-6
3041	Recoveries of prior year unpaid obligations, expired	-1	...	-2
3050	Unpaid obligations, end of year	13	6	...
Memorandum (non-add) entries:				
3100	Obligated balance, start of year	14	13	6
3200	Obligated balance, end of year	13	6	...

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

Program and Financing (in millions of dollars)

		2014	2015	2016
Identification code: 69-1120-0-1-401		Actual	Enacted	Est.
Budget authority and outlays, net:				
Discretionary:				
4000	Budget authority, gross	106	106	...
	Outlays, gross:			
4010	Outlays from new discretionary authority	94	101	...
4011	Outlays from discretionary balances	12	13	6
4020	Outlays, gross (total)	106	114	6
4070	Budget authority, net (discretionary)	106	106	...
4080	Outlays, net (discretionary)	106	114	6
4180	Budget authority, net (total)	106	106	0
4190	Outlays, net (total)	106	114	6

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

Program and Financing (in millions of dollars)

		2014	2015	2016
Identification code: 69-1120-0-4-401		Actual	Enacted	Est.
Budgetary resources:				
Budget authority:				
Appropriations, mandatory:				
1200	Appropriation	-108
1260	Appropriations, mandatory (total)	-108
1930	Total budgetary resources available	-108
Memorandum (non-add) entries:				
1941	Unexpired unobligated balance, end of year	-108
Change in obligated balance:				
Unpaid obligations:				
3000	Unpaid obligations, brought forward, Oct 1
3020	Outlays (gross)	108
3050	Unpaid obligations, end of year	108
Memorandum (non-add) entries:				
3100	Obligated balance, start of year
3200	Obligated balance, end of year	108
Budget authority and outlays, net:				
Mandatory:				
4090	Budget authority, gross	-108
Outlays, gross:				
4100	Outlays from new mandatory authority	-108
4160	Budget authority, net (mandatory)	-108
4170	Outlays, net (mandatory)	-108
4180	Budget authority, net (total)	-108
4190	Outlays, net (total)	-108

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

Program and Financing (in millions of dollars)

		2014	2015	2016
Identification code: 69-1120-0-7-401		Actual	Enacted	Est.
Budgetary resources:				
Budget authority:				
Appropriations, discretionary:				
1100	Appropriation	...	-106	...
1160	Appropriation, discretionary (total)	...	-106	...
Appropriations, mandatory:				
1200	Appropriation	...	106	109
1900	Budget authority (total)	109
1930	Total budgetary resources available	109
Memorandum (non-add) entries:				
1941	Unexpired unobligated balance, end of year	109
Change in obligated balance:				
Unpaid obligations:				
3000	Unpaid obligations, brought forward, Oct 1	0
3020	Outlays (gross)	-104
3050	Unpaid obligations, end of year	-104
Memorandum (non-add) entries:				
3100	Obligated balance, start of year
3200	Obligated balance, end of year	-104
Budget authority and outlays, net:				
Discretionary:				
4000	Budget authority, gross	...	-106	...
Outlays, gross:				
4010	Outlays from new discretionary authority	...	-101	...
4011	Outlays from discretionary balances	...	-13	-6
4020	Outlays, gross (total)	...	-114	-6
4070	Budget authority, net (discretionary)	...	-106	...
4080	Outlays, net (discretionary)	...	-114	-6
Mandatory:				
4090	Budget authority, gross	...	106	109
Outlays, gross:				

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

Program and Financing (in millions of dollars)

		2014	2015	2016
Identification code: 69-1120-0-7-401		Actual	Enacted	Est.
4100	Outlays from new mandatory authority	...	101	104
4101	Outlays from mandatory balances	...	13	6
4110	Outlays, gross (total)	...	114	110
4160	Budget authority, net (mandatory)	...	106	109
4170	Outlays, net (mandatory)	...	114	110
4180	Budget authority, net (total)	109
4190	Outlays, net (total)	104

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

Program and Financing (in millions of dollars)

		2014	2015	2016
Identification code: 69-1120-0-9-401		Actual	Enacted	Est.
Budgetary resources:				
Budget authority:				
Appropriations, discretionary:				
1100	Appropriation	-106
1160	Appropriation, discretionary (total)	-106
Appropriations, mandatory:				
1200	Appropriation	106
1260	Appropriations, mandatory (total)	106
1900	Budget authority (total)
1930	Total budgetary resources available
Budget authority and outlays, net:				
Discretionary:				
4000	Budget authority, gross	-106
Outlays, gross:				
4010	Outlays from new discretionary authority	-94
4011	Outlays from discretionary balances	-12
4020	Outlays, gross (total)	-106
4070	Budget authority, net (discretionary)	-106
4080	Outlays, net (discretionary)	-106
Mandatory:				
4090	Budget authority, gross	106
Outlays, gross:				
4100	Outlays from new mandatory authority	94
4101	Outlays from mandatory balances	12
4110	Outlays, gross (total)	106
4160	Budget authority, net (mandatory)	106
4170	Outlays, net (mandatory)	106
4180	Budget authority, net (total)
4190	Outlays, net (total)

PUBLIC TRANSPORTATION EMERGENCY RELIEF PROGRAM

The 2016 Budget presents the Federal Transit Administration's (FTA) proposed reauthorization program and account structure, including the creation of a new Public Transportation Emergency Relief Program account. The Administration proposes to fund this account from the Mass Transit Account of the Transportation Trust Fund.

The 2016 Budget request includes \$25 million to help transit agencies restore needed transportation services immediately following disaster events. The Administration is proposing to fund this program within a multi-year surface transportation reauthorization. Amounts reflected in this schedule represent the new mandatory contract authority and outlays supporting these programs.

**DEPARTMENT OF TRANSPORTATION
FEDERAL TRANSIT ADMINISTRATION
Public Transportation Emergency Relief Program**

Program and Financing (in millions of dollars)

		2014	2015	2016
		Actual	Enacted	Est.
Identification code: 69-1140-0-1-401				
Obligations by program activity:				
0001	2013 Hurricane Sandy Emergency Supplemental (P.L. 113-2)	1,806	1,588	1,588
0003	2013 Hurricane Sandy Emergency Supplemental (P.L. 113-2 Administration and Oversight)	5	5	5
0900	Total new obligations	1,811	1,593	1,593
Budgetary resources:				
Unobligated balance:				
1000	Unobligated balance brought forward, Oct 1	9,578	7,767	6,174
Budget authority:				
Appropriations, discretionary:				
1160	Appropriation, discretionary (total)
1930	Total budgetary resources available	9,578	7,767	6,174
Memorandum (non-add) entries:				
1941	Unexpired unobligated balance, end of year	7,767	6,174	4,581
Change in obligated balance:				
Unpaid obligations:				
3000	Unpaid obligations, brought forward, Oct 1	376	1,643	2,436
3010	Obligations incurred, unexpired accounts	1,811	1,593	1,593
3020	Outlays (gross)	-544	-800	-1,220
3050	Unpaid obligations, end of year	1,643	2,436	2,809
Memorandum (non-add) entries:				
3100	Obligated balance, start of year	376	1,643	2,436
3200	Obligated balance, end of year	1,643	2,436	2,809
Budget authority and outlays, net:				
Discretionary:				
Outlays, gross:				
4011	Outlays from discretionary balances	544	800	1,220
4080	Outlays, net (discretionary)	544	800	1,220
4180	Budget authority, net (total)
4190	Outlays, net (total)	544	800	1,220

TRANSIT RESEARCH

The Federal Transit Administration research programs include discretionary grant support for the National Research Program, Transit Cooperative Research, and University Transportation Centers' research. The Administration is proposing funding these programs within multi-year surface transportation reauthorization. As part of that reauthorization proposal, programs currently administered from this account would be funded from the Mass Transit Account of the Transportation Trust Fund.

**DEPARTMENT OF TRANSPORTATION
FEDERAL TRANSIT ADMINISTRATION
Transit Research**

Program and Financing (in millions of dollars)

Identification code: 69-1137-0-1-401		2014 Actual	2015 Enacted	2016 Est.
Obligations by program activity:				
0001	Research and University Research Centers	12	45	45
0801	Research and University Research Centers (Reimbursable)	...	6	6
0900	Total new obligations	12	51	51
Budgetary resources:				
Unobligated balance:				
1000	Unobligated balance brought forward, Oct 1	125	157	139
1021	Recoveries of prior year unpaid obligations	1
1050	Unobligated balance (total)	126	157	139
Budget authority:				
Appropriations, discretionary:				
1100	Appropriation	43	33	...
1131	Unobligated balance of appropriations permanently r	-1
1160	Appropriation, discretionary (total)	42	33	...
Spending authority from offsetting collections, discretionary:				
1700	Collected	1
1750	Spending auth from offsetting collections, disc (total)	1
1900	Budget authority (total)	43	33	...
1930	Total budgetary resources available	169	190	139
Memorandum (non-add) entries:				
1941	Unexpired unobligated balance, end of year	157	139	88
Change in obligated balance:				
Unpaid obligations:				
3000	Unpaid obligations, brought forward, Oct 1	69	47	50
3010	Obligations incurred, unexpired accounts	12	51	51
3020	Outlays (gross)	-33	-48	-71
3040	Recoveries of prior year unpaid obligations, unexpired	-1
3050	Unpaid obligations, end of year	47	50	30
Uncollected payments:				
3060	Uncollected pymts, Fed sources, brought forward, Oct	-43	-43	-43

**DEPARTMENT OF TRANSPORTATION
FEDERAL TRANSIT ADMINISTRATION
Transit Research**

Program and Financing (in millions of dollars)

Identification code: 69-1137-0-1-401		2014 Actual	2015 Enacted	2016 Est.
3090	Uncollected pymts, Fed sources, end of year	-43	-43	-43
	Memorandum (non-add) entries:			
3100	Obligated balance, start of year	26	4	7
3200	Obligated balance, end of year	4	7	-13
Budget authority and outlays, net:				
Discretionary:				
4000	Budget authority, gross	43	33	...
	Outlays, gross:			
4010	Outlays from new discretionary authority	0	7	...
4011	Outlays from discretionary balances	33	41	71
4020	Outlays, gross (total)	33	48	71
Offsets against gross budget authority and outlays:				
Offsetting collections (collected) from:				
4030	Federal sources	-1
4070	Budget authority, net (discretionary)	42	33	...
4080	Outlays, net (discretionary)	32	48	71
4180	Budget authority, net (total)	42	33	...
4190	Outlays, net (total)	32	48	71

**DEPARTMENT OF TRANSPORTATION
FEDERAL TRANSIT ADMINISTRATION
Transit Research**

Program and Financing (in millions of dollars)

		2014	2015	2016
Identification code: 69-1137-0-4-401		Actual	Enacted	Est.
Budgetary resources:				
Budget authority:				
Appropriations, mandatory:				
1200	Appropriation	-34
1260	Appropriations, mandatory (total)	-34
1930	Total budgetary resources available	-34
Memorandum (non-add) entries:				
1941	Unexpired unobligated balance, end of year	-34
Change in obligated balance:				
Unpaid obligations:				
3000	Unpaid obligations, brought forward, Oct 1
3020	Outlays (gross)	78
3050	Unpaid obligations, end of year	78
Memorandum (non-add) entries:				
3100	Obligated balance, start of year
3200	Obligated balance, end of year	78
Budget authority and outlays, net:				
Mandatory:				
4090	Budget authority, gross	-34
Outlays, gross:				
4100	Outlays from new mandatory authority	-7
4101	Outlays from mandatory balances	-71
4110	Outlays, gross (total)	-78
4160	Budget authority, net (mandatory)	-34
4170	Outlays, net (mandatory)	-78
4180	Budget authority, net (total)	-34
4190	Outlays, net (total)	-78

**DEPARTMENT OF TRANSPORTATION
FEDERAL TRANSIT ADMINISTRATION
Transit Research**

Program and Financing (in millions of dollars)

		2014	2015	2016
Identification code: 69-1137-0-7-401		Actual	Enacted	Est.
Budgetary resources:				
Budget authority:				
Appropriations, discretionary:				
1100	Appropriation	...	-33	...
1160	Appropriation, discretionary (total)	...	-33	...
Appropriations, mandatory:				
1200	Appropriation	...	33	34
1260	Appropriations, mandatory (total)	...	33	34
1900	Budget authority (total)	34
1930	Total budgetary resources available	34
Memorandum (non-add) entries:				
1941	Unexpired unobligated balance, end of year	34
Change in obligated balance:				
Unpaid obligations:				
3000	Unpaid obligations, brought forward, Oct 1
3020	Outlays (gross)	-7
3050	Unpaid obligations, end of year	-7
Memorandum (non-add) entries:				
3100	Obligated balance, start of year
3200	Obligated balance, end of year	-7
Budget authority and outlays, net:				
Discretionary:				
4000	Budget authority, gross	...	-33	...
Outlays, gross:				
4010	Outlays from new discretionary authority	...	-7	...
4011	Outlays from discretionary balances	...	-41	-71
4020	Outlays, gross (total)	...	-48	-71
4070	Budget authority, net (discretionary)	...	-33	...
4080	Outlays, net (discretionary)	...	-48	-71
Mandatory:				
4090	Budget authority, gross	...	33	34

**DEPARTMENT OF TRANSPORTATION
FEDERAL TRANSIT ADMINISTRATION
Transit Research**

Program and Financing (in millions of dollars)

		2014	2015	2016
Identification code: 69-1137-0-7-401		Actual	Enacted	Est.
	Outlays, gross:			
4100	Outlays from new mandatory authority	...	7	7
4101	Outlays from mandatory balances	...	41	71
4110	Outlays, gross (total)	...	48	78
4160	Budget authority, net (mandatory)	...	33	34
4170	Outlays, net (mandatory)	...	48	78
4180	Budget authority, net (total)	34
4190	Outlays, net (total)	7

**DEPARTMENT OF TRANSPORTATION
FEDERAL TRANSIT ADMINISTRATION
Transit Research**

Program and Financing (in millions of dollars)

		2014	2015	2016
Identification code: 69-1137-0-9-401		Actual	Enacted	Est.
Budgetary resources:				
Budget authority:				
Appropriations, discretionary:				
1100	Appropriation	-42
1160	Appropriation, discretionary (total)	-42
Appropriations, mandatory:				
1200	Appropriation	42
1260	Appropriations, mandatory (total)	42
1900	Budget authority (total)
1930	Total budgetary resources available
Budget authority and outlays, net:				
Discretionary:				
4000	Budget authority, gross	-42
Outlays, gross:				
4011	Outlays from discretionary balances	-32
4070	Budget authority, net (discretionary)	-42
4080	Outlays, net (discretionary)	-32
Mandatory:				
4090	Budget authority, gross	42
Outlays, gross:				
4101	Outlays from mandatory balances	32
4160	Budget authority, net (mandatory)	42
4170	Outlays, net (mandatory)	32
4180	Budget authority, net (total)
4190	Outlays, net (total)

DISCRETIONARY GRANTS

In 2016, no additional liquidating cash is requested to pay previously incurred obligations in the Discretionary Grants account.

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

Program and Financing (in millions of dollars)

		2014	2015	2016
Identification code: 69-8191-0-1-401		Actual	Enacted	Est.
Obligations by program activity:				
0001	Discretionary grants	6	10	...
0900	Total new obligations (object class 41.0)	6	10	...
Budgetary resources:				
Unobligated balance:				
1000	Unobligated balance brought forward, Oct 1	14	10	...
1021	Recoveries of prior year unpaid obligations	2	0	...
1050	Unobligated balance (total)	16	10	...
1930	Total budgetary resources available	16	10	...
Memorandum (non-add) entries:				
1941	Unexpired unobligated balance, end of year	10
Change in obligated balance:				
Unpaid obligations:				
3000	Unpaid obligations, brought forward, Oct 1	8	2	3
3010	Obligations incurred, unexpired accounts	6	10	...
3020	Outlays (gross)	-10	-9	-1
3040	Recoveries of prior year unpaid obligations, unexpired	-2
3050	Unpaid obligations, end of year	2	3	2
Memorandum (non-add) entries:				
3100	Obligated balance, start of year	8	2	3
3200	Obligated balance, end of year	2	3	2
Budget authority and outlays, net:				
Discretionary:				
Outlays, gross:				
4011	Outlays from discretionary balances	10	9	1
4080	Outlays, net (discretionary)	10	9	1
4180	Budget authority, net (total)
4190	Outlays, net (total)	10	9	1

**DEPARTMENT OF TRANSPORTATION
FEDERARAL TRANSIT ADMINISTRATION
DISCRETIONARY GRANTS**

Program and Financing (in millions of dollars)

		2014	2015	2016
Identification code: 69-8191-0-1-401		Actual	Enacted	Est.
Memorandum (non-add) entries:				
	Fund balance in excess of liquidating requirements,			
5054	SOY: Contract authority	38	38	38
	Fund balance in excess of liquidating requirements,			
5055	EOY: Contract authority	38	38	38
	Limitation on obligations (Transportation Trust			
5061	Funds)

TRANSIT FORMULA GRANTS

FTA's 2016 budget request builds upon the successes of the previous authorization, MAP-21, which provided two years of stable funding for transit programs. The account structure is generally comparable to FTA's funding under MAP-21. The Transit Formula Grants account is funded from the Mass Transit Account of the Transportation Trust Fund.

Funds support the following programs: Urbanized Area Formula Grants; Formula Grants for Rural Areas, which includes Public Transportation on Indian Reservations and Appalachian Development Public Transportation Assistance programs; Enhanced Mobility of Seniors and Individuals with Disabilities; Growing States and High Density States Formula; Planning Programs; the Transit Oriented Development Pilot Program; a National Transit Institute; FTA's National Transit Database; and Administrative Expenses

The Administration proposes to reclassify all surface transportation outlays as mandatory. This schedule reclassifies discretionary outlays from obligation limitations as mandatory outlays from mandatory contract authority for the 2015 enacted levels. This schedule also creates a new baseline of mandatory contract authority that is equal to the previous discretionary obligation limitation baseline to calculate the spending increase above the baseline subject to PAYGO.

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

Program and Financing (in millions of dollars)

		2014	2015	2016
Identification code: 69-8530-0-1-401		Actual	Enacted	Est.
Obligations by program activity:				
0001	Urbanized area programs	6,953	5,481	5,062
0002	Fixed guideway modernization	116	50	13
0003	Bus and bus facility grants	499	114	29
0004	Over-the-road bus	3	5	1
0005	Clean Fuels Program	25	3	1
0006	Planning Programs	171	91	120
0007	Job Access & Reverse Commute	70	25	6
0008	Alternatives analysis program	7	24	6
0009	Alternative transportation in parks and public Lands	2	6	1
0011	Seniors and persons with disabilities	240	403	296
0012	Non-urbanized area programs	745	547	678
0013	New Freedom	36	19	5
0014	National Transit Database	1	4	4
0015	Oversight	67	125	86
0016	Transit Oriented Development	0	20	12
0017	Bus and Bus Facilities Formula Grants	292	564	452
0018	Bus Testing Facility	0	6	4
0019	National Transit Institute	10	2	4
0020	State of Good Repair Grants	1,893	2,197	2,344
0900	Total new obligations	11,130	9,686	9,124
Budgetary resources:				
Unobligated balance:				
1000	Unobligated balance brought forward, Oct 1	9,115	7,924	8,133
1013	Unobligated balance of contract authority transferred to or from other accounts [069-8083]	-18
1021	Recoveries of prior year unpaid obligations	85
1050	Unobligated balance (total)	9,182	7,924	8,133
Budget authority:				
Appropriations, discretionary:				
1101	Appropriation (special or trust fund)	9,500	9,600	9,600
1120	Appropriations transferred to other accts [069-8083]	-51
1121	Appropriations transferred from other accts [069-8083]	1,159	1,167	1,070
1137	Portion applied to liquidate contract authority used	-10,608	-10,767	-10,670
1160	Appropriation, discretionary (total)

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

Program and Financing (in millions of dollars)

		2014	2015	2016
Identification code: 69-8530-0-1-401		Actual	Enacted	Est.
Contract authority, mandatory:				
1600	Contract authority	8,595	8,595	8,595
1610	Transferred to other accounts [069-8083]	-33
1611	Transferred from other accounts [069-8083]	1,310	1,300	1,300
1640	Contract authority, mandatory (total)	9,872	9,895	9,895
1900	Budget authority (total)	9,872	9,895	9,895
1930	Total budgetary resources available	19,054	17,819	18,028
Memorandum (non-add) entries:				
1941	Unexpired unobligated balance, end of year	7,924	8,133	8,904
Change in obligated balance:				
Unpaid obligations:				
3000	Unpaid obligations, brought forward, Oct 1	14,361	16,280	16,622
3010	Obligations incurred, unexpired accounts	11,130	9,686	9,124
3020	Outlays (gross)	-9,126	-9,344	-7,544
3040	Recoveries of prior year unpaid obligations, unexpired	-85
3050	Unpaid obligations, end of year	16,280	16,622	18,202
Memorandum (non-add) entries:				
3100	Obligated balance, start of year	14,361	16,280	16,622
3200	Obligated balance, end of year	16,280	16,622	18,202
Budget authority and outlays, net:				
Discretionary:				
Outlays, gross:				
4010	Outlays from new discretionary authority	1,763	1,828	...
4011	Outlays from discretionary balances	7,363	7,516	7,544
4020	Outlays, gross (total)	9,126	9,344	7,544
4080	Outlays, net (discretionary)	9,126	9,344	7,544
Mandatory:				
4090	Budget authority, gross	9,872	9,895	9,895
4160	Budget authority, net (mandatory)	9,872	9,895	9,895
4180	Budget authority, net (total)	9,872	9,895	9,895
4190	Outlays, net (total)	9,126	9,344	7,544
Memorandum (non-add) entries:				
5052	Obligated balance, SOY: Contract authority	4,459	3,705	2,833
5053	Obligated balance, EOY: Contract authority	3,705	2,833	...
5061	Limitation on obligations (Transportation Trust Funds)	9,872	9,895	...

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

Program and Financing (in millions of dollars)

		2014	2015	2016
Identification code: 69-8530-7-1-401		Actual	Enacted	Est.
Budgetary resources:				
Budget authority:				
Appropriations, discretionary:				
1101	Appropriation (special or trust fund)	159
1137	Appropriations applied to liquidate contract auth	-159
1160	Appropriation, discretionary (total)
Memorandum (non-add) entries:				
1941	Unexpired unobligated balance, end of year	159
Change in obligated balance:				
Unpaid obligations:				
3000	Unpaid obligations, brought forward, Oct 1
3020	Outlays (gross)	-1,858
3050	Unpaid obligations, end of year	-1,858
Memorandum (non-add) entries:				
3100	Obligated balance, start of year
3200	Obligated balance, end of year	-1,858
Budget authority and outlays, net:				
Discretionary:				
Outlays, gross:				
4010	Outlays from new discretionary authority	...	-1,828	...
4011	Outlays from discretionary balances	...	-7,516	-7,544
4020	Outlays, gross (total)	...	-9,344	-7,544
4080	Outlays, net (discretionary)	...	-9,344	-7,544
Mandatory:				
4090	Budget authority, gross	159
Outlays, gross:				
4100	Outlays from new mandatory authority	...	1,828	1,858
4101	Outlays from mandatory balances	...	7,516	7,544
4110	Outlays, gross (total)	...	9,344	9,402
4160	Budget authority, net (mandatory)	159
4170	Outlays, net (mandatory)	...	9,344	9,402
4180	Budget authority, net (total)	159

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

Program and Financing (in millions of dollars)

		2014	2015	2016
		Actual	Enacted	Est.
Identification code: 69-8530-7-1-401				
4190	Outlays, net (total)	1,858
	Memorandum (non-add) entries:			
	Limitation on obligations (Transportation Trust			
5061	Funds)	10,053

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

Program and Financing (in millions of dollars)

		2014	2015	2016
Identification code: 69-8530-9-1-401		Actual	Enacted	Est.
Budgetary resources:				
Budget authority:				
Appropriations, mandatory:				
1260	Appropriations, mandatory (total)
Contract authority, mandatory:				
1600	Contract authority
1640	Contract authority, mandatory (total)
1900	Budget authority (total)
1930	Total budgetary resources available
Discretionary:				
Outlays, gross:				
4010	Outlays from new discretionary authority	-1,763
4011	Outlays from discretionary balances	-7,363
4020	Outlays, gross (total)	-9,126
4080	Outlays, net (discretionary)	-9,126
Mandatory:				
Outlays, gross:				
4100	Outlays from new mandatory authority	1,763
4101	Outlays from mandatory balances	7,363
4110	Outlays, gross (total)	9,126
4170	Outlays, net (mandatory)	9,126
4180	Budget authority, net (total)
4190	Outlays, net (total)
Memorandum (non-add) entries:				
5052	Obligated balance, SOY: Contract authority
5053	Obligated balance, EOY: Contract authority
Limitation on obligations (Transportation Trust				
5061	Funds)

Administrative Expenses

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

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

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

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

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

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

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

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

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

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

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

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

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

Administrative Expenses

- ¹³ Reflects reduction of \$140,800 (.22%) pursuant to section 1403 of P. L. 106-554; includes obligation limitation.
- ¹⁴ Includes \$25,120,000 derived from the mass transit account of the Highway Trust Fund.
- ¹⁵ Of which \$53,600,000 to be funded from the mass transit account of the Highway Trust Fund; includes obligation limitation.
- ¹⁶ Includes \$18,162,000 derived from the mass transit account of the Highway Trust Fund.
- ¹⁷ Of which \$58,400,000 to be funded from the mass transit account of the Highway Trust Fund; includes obligation limitation.
Reflects increase of \$3,586,000 for accruing Employee Pension and Health Benefits.
- ¹⁸ Does not reflect \$4,325,223 for accruing Employee Pension and Health Benefits.
- ¹⁹ Reflects reduction of \$474,500 (.65%) pursuant to section 601 of P. L. 108-7; includes obligation limitation. Does not include accruing Employee Pension and Health Benefits.
- ²⁰ Does not include \$27,748,000 derived from the mass transit account of the Highway Trust Fund.
- ²¹ Reflects reduction of \$445,450 (.59%) pursuant to section 168 (b) of P.L. 108-199, the Consolidated Appropriations Act, 2004.
- ²² Includes obligation limitation of \$60,043,640 derived from the mass transit account of the Highway Trust Fund.
- ²³ Reflects reduction of \$953,000 for working capital fund included in sec. 197 of P.L. 108-447, Consolidated Appropriations Act, 2005.
- ²⁴ Reflects reduction of \$624,000 (0.8%) pursuant to Div J, sec. 122 of P.L. 108-447, the Consolidated Appropriations Act, 2005.
- ²⁵ Includes obligation limitation of \$67,704,000 derived from the mass transit account of the Highway Trust Fund.
- ²⁶ Reflects reduction of \$800,000 (1%) pursuant to Div B, Title III, Chapter 8, Sec 3801 of the Defense Appropriations Act, P.L. 109-148.
- ²⁷ Appropriated amounts are net of .2 percent across the board rescission in PL 112-10.
- ²⁸ The President's FY 2013 budget did not include a request for appropriations in this account.
- ²⁹ A full-year 2013 appropriation for this account was not enacted at the time the budget was prepared; therefore, this account is operating under a continuing resolution (P.L. 112-175). The amounts included for 2013 reflect the annualized level which are based on annualized CR rates and include a 0.612% increase.
- ³⁰ In FY 2015, FTA proposes to combine the Administrative Expenses account within the Transit Formula account. The FY 2015 also proposes to reclassify the Administrative Expenses account from a General to a Trust fund account.
- ³¹ In FY 2016, FTA proposes to combine the Administrative Expenses account within the Transit Formula account. The FY 2016 also proposes to reclassify the Administrative Expenses account from a General to a Trust fund account.

Bus Rapid Transit Program

	Estimates	Appropriations + Oblimits
2016	500,000,000 ¹	2016

¹ In FY 2016, FTA proposes a new Rapid Growth Area Transit Program in a new reauthorization proposal.

Capital Investments Grants

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

¹ Reflects transfer of \$50,000,000 from Formula Grants pursuant to P. L. 105-277.

² Reflects transfer of \$50,000,000 from Formula Grants pursuant to P. L. 106-69.

³ Reflects transfer of \$2,452,697 from New Starts to TPR National Research pursuant to P. L. 106-069.

⁴ Reflects transfer of \$50,000,000 from Formula Grants pursuant to P. L. 106-346.

⁵ Reflects reduction of \$1,274,240 (.22%) pursuant to section 1403 of P. L. 106-554.

⁶ Reflects transfer of \$50,000,000 from Formula Grants pursuant to P. L. 107-87.

⁷ Emergency Supplemental funds, Department of Defense Appropriations/Emergency Supplemental, P.L. 107-

⁸ Supplemental Appropriations Act for Further Recovery From and Response To Terror

⁹ Proposed to be funded in Major Capital Investment Grants.

¹⁰ Reflects reduction of \$3,946,800 (.65%) pursuant to section 601 of P. L. 108-7, includes \$29,805,000 transfer Job Access and Reverse Commute and \$49,675,000 from Formula Grants. Does not include transfer to Mariti

Reflects reduction of \$3,702,250 (.59%) pursuant to section 168 (b) of P.L. 108-199, the Consolidated

¹¹ Appropriations Act, 2004.

Reflects reduction of \$3,338,824 (0.8%) pursuant to Div J, sec. 122 of P.L. 108-447, the Consolidated

¹² Appropriations Act, 2005.

¹³ 447, the Consolidated Appropriations Act, 2005.

Reflects reduction of \$14,552,340 (1%) pursuant to Div B, Title III, Chapter 8, sec. 3801, P.L. 109-148, the

¹⁴ Defense Appropriation Act, 2006

Capital Investments Grants

¹⁵ Does not reflect transfers of \$47,288,340 from Formula and Bus Grants P.L. 109-115, the "DOT Appropriations Act, 2006"

¹⁶ Does not reflect the transfer of \$2,000,000 to the DOT Office of Inspector General from section 5327(c) pursuant to P.L. 111-8, Omnibus Appropriations Act, 2009, Div. I, Title I.

¹⁷ Does not reflect \$2,000,000 transfer to the DOT Inspector General, pursuant to Omnibus Appropriations Act, 2009 (Pub Law 111-8) Division I, from funds available to execute contracts under 5327(c).

¹⁸ Does not reflect \$2,000,000 proposed transfer to the DOT Inspector General from funds available to execute contracts under 5327(c).

¹⁹ Appropriated amounts are net of .2 percent across the board rescission in PL 112-10.

²⁰ Net amount after transfers and rescissions.

²¹ The Administration proposed to cancel unobligated balances of prior year appropriations in FY 2013.

²² The President's FY 2013 budget did not include a request for appropriations in this account.

²³ A full-year 2013 appropriation for this account was not enacted at the time the budget was prepared; therefore, this account is operating under a continuing resolution (P.L. 112-175). The amounts included for 2013 reflect

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

Capital Investments Grants

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

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

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

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

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

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

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

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

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

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

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

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

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

¹³ Proposed to be funded in Major Capital Investment Grants.

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

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

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

Fast and Accelerating Surface Transportation

Estimates		Appropriations + Oblimits	
2015	500,000,000 ¹	2015	-
2016	500,000,000 ²	2016	

¹ In FY 2015, FTA proposes the Fast and Accelerating Surface Transportation in a new reauthorization proposal.

² In FY 2016, FTA proposes the Fast and Accelerating Surface Transportation in a new reauthorization proposal.

Transit Formula Grants

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

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

[Formula and Bus Grants] Liquidation of Contract Authorization

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

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

² Surface transportation reauthorizing legislation has not been enacted.

Transit Formula Grants

- ³ Reflects reduction of \$69,799,310 (1%) pursuant to Diva B, Title III, Chapter 8, Sec 3801 of the Defense Appropriations Act, P.L. 109-148.
- ⁴ Funded from the mass transit account of the Highway Trust Fund.
- ⁵ Does not reflect rescission of \$28,660,920 in unobligated contract authority pursuant to P.L. 110-161 Diva K, Title I.
- ⁶ Reflects reduction of obligation limitation and rescission of \$105,005,938 pursuant to P.L. 110-161 Div K, Title I, Section 172 and 173.
- ⁷ Reflects reduction of obligation limitation and rescission of \$100,000,000 pursuant to P.L. 111-8 Div I, Title I, Section 167.
- ⁸ Includes net \$1.407 billion flex funds transfer from the Federal Highway Administration (FHWA).
- ⁹ FTA proposes a new Consolidated Specialized Transportation Grant program that consolidates JARC, New Freedom, and Elderly and Disabled Formula Grant programs.
- ¹⁰ A full-year 2013 appropriation for this account was not enacted at the time the budget was prepared; therefore, this account is operating under a continuing resolution (P.L. 112-175). The amounts included for 2013 reflect the annualized level which are based on annualized CR rates and include a 0.612% increase.
- ¹¹ In FY 2015, FTA proposed to combine the Administrative Expenses account within the Transit Formula account. The FY 2015 also proposed to reclassify the Administrative Expenses account from a General to a Trust fund account.
- ¹² Due to the expiration of MAP-21 on May 31, 2015, only \$5.722B of FY 2015 contract authority for Transit Formula Grants (\$8.595B) is available.
- ¹³ In FY 2016, FTA proposes to combine the Administrative Expenses account within the Transit Formula account. The FY 2016 also proposes to reclassify the Administrative Expenses account from a General to a Trust fund account.

Washington Area Metro Transit Authority

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

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

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

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

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

⁵

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

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

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

Technical Assistance and Training

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

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

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

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

Human Resources and Training

Estimates		Appropriations	
2014	5,000,000 ¹	2014	0

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

Transit Cooperative Research Program

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

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

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

Transit Research and Training
[Research and University Research Centers]
[Transit Planning and Research]

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

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

Proposed legislation would replace this with funding through the Unified Transportation

² Infrastructure Investment Program.

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

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

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

⁵ obligation limitation.

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

⁶ obligation limitation.

Transit Research and Training
[Research and University Research Centers]
[Transit Planning and Research]

- ⁷ Reflects reduction of \$243,386 pursuant to P. L. 106-113.
Reflects transfer of \$2,452,697 from New Starts to TPR National Research pursuant to P. L.
⁸ 106-069.
- ⁹ Excludes \$54,280,827 in FHWA transfers.
Includes \$87,800,000 from the mass transit account of the Highway Trust Fund; includes
¹⁰ obligation limitation.
Includes \$87,606,840 from the mass transit account of the Highway Trust Fund; includes
¹¹ obligation limitation.
- ¹² Reflects reduction of \$242,000 (.22%) pursuant to section 1403 of P. L. 106-554.
Includes \$93,000,000 from the mass transit account of the Highway Trust Fund; includes
¹³ obligation limitation.
- ¹⁴ Includes \$56,000,000 from the Highway Trust Fund.
- ¹⁵ Includes \$44,125,000 from the Highway Trust Fund.
Includes \$97,800,000 from the mass transit account of the Highway Trust Fund; includes
¹⁶ obligation limitation.
- ¹⁷ Excludes \$60,049,742 in FHWA transfers.
- ¹⁸ Excludes \$59,601,236 in FHWA transfers.
Proposed to be funded in Formula Grants and Research out of the mass transit account of the
¹⁹ Highway Trust Fund.
Includes \$87,606,840 from the mass transit account of the Highway Trust Fund; includes
²⁰ obligation limitation.
Reflects reduction of \$793,000 (.65%) pursuant to section 601 of P. L. 108-7; includes
²¹ obligation limitation.
- ²² Does not Include \$56,003,000 from the Highway Trust Fund
Reflects reduction of \$743,400 (.59%), pursuant to section 168 (b) of P.L. 108-199, the
²³ Consolidated Appropriations Act, 2004.
Includes \$111,104,000 in obligation limitation derived from the mass transit account of the
²⁴ Highway Trust Fund.
Reflects reduction of \$1,024,000 (0.8%) pursuant to Div J, sec. 122 of P.L.. 108-447, the
²⁵ Consolidated Appropriations Act, 2005.
Reflects account name pursuant to SAFETEA-LU P.L. 109-59 and the DOT Appropriations
²⁶ Act, 2006 P.L.109-115.
Reflects reduction of \$752,000 (1%) pursuant to Div B, Title III, Chapter 8, sec. 3801, P.L.
²⁷ 109-148, the Defense Appropriation Act, 2006.
- ²⁸ Appropriated amounts are net of .2 percent across the board rescission in PL 112-10.
- ²⁹ The Administration proposed to fund this program from a Trust Funded account in FY 2013.
A full-year 2013 appropriation for this account was not enacted at the time the budget was
³⁰ prepared; therefore, this account is operating under a continuing resolution (P.L. 112-175).
The amounts included for 2013 reflect the annualized level which are based on annualized
CR rates and include a 0.612% increase.

Transit Research and Training
[Research and University Research Centers]
[Transit Planning and Research]

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

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

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

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

³⁵ In FY 2015, FTA appropriation language continues funding the Transit Cooperative
Research Program within the Research account .

The FY 2015 Enacted Budget included \$37.5 million for two accounts (\$30 million for
Section 5312 and \$3 million for Section 5313) and Technical Assistance and Training (\$ 0.5
³⁶ million for Section 5322 and \$4 million for Section 5314). The combined FY 2016 Budget
Request for these accounts is \$60 million. Consistent with FY 2013 and prior years, FTA
proposes to fund these four programs from the newly named Transit Research and Training
account in FY 2016.

Formula Grants

Estimates		Appropriations	
1990	0 ¹	1990	1,625,110,000
1991	1,076,800,000	1991	1,605,000,000
1992	0 ¹	1992	1,520,000,000
1993	541,299,000	1993	650,975,000
1993 (Supp.)	466,490,000		
1994	1,324,916,000	1994	1,284,916,000
1994 Investment	[699,000,000]		
1995	1,715,050,000	1995	1,341,911,000 ²
1996	1,744,200,000 ³	1996	941,975,000 ⁴
1997	221,122,000	1997	490,000,000
1998	0 ¹	1998	240,000,000
1999	0	1999	519,200,000 ^{5,6}
2000	619,600,000	2000	569,600,000 ⁷
2001	669,000,000	2001	616,640,400 ^{8,9,10}
2002	718,400,000	2002	668,307,000 ^{11,13}
2002	0 ¹²	2002	23,500,000 ¹²
2003	767,800,000	2003	713,134,300 ^{11,15}
2004	0 ¹⁴	2004	763,269,980 ¹⁶
2005	0 ¹⁴	2005	450,389,824 ^{17,18}
2006	0	2006	0
2007 (Supp.)	0	2007 (Supp.)	35,000,000 ¹⁹
2013	-72,495,539 ²⁰	2013	

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

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

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

⁴ Reflects reduction of \$950,000 for working capital funds, bonuses and awards, and field office consolidation.

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

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

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

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

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

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

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

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

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

Formula Grants

¹⁴ Proposed to be funded in Formula Grants and Research out of the mass transit account of the Highway Trust Fund.

¹⁵ Reflects reduction of \$4,990,700 (.65%) pursuant to section 601 of P.L. 108-7, reflect transfer of \$49,675,000 to Capital Investment Grants.

Reflects reduction of \$4,530,020 (.59%) pursuant to section 168 (b) of P.L. 108-199, the Consolidated
¹⁶ Appropriations Act, 2004.

Reflects reduction of \$4,032,176 (0.8%) pursuant to Div J, sec. 122 of P.L. 108-447, the Consolidated
¹⁷ Appropriations Act, 2005.

¹⁸ 447.

¹⁹ Reflects \$35,000,000 supplemental pursuant to U.S. Troop Readiness, Veterans' Care, Katrina Recovery, and Iraq Accountability Appropriations Act, 2007, Chapter 8 of Title IV - Additional Hurricane Disaster Relief and Recovery. P.L. 110-28.

²⁰ The Administration proposed to cancel unobligated balances of prior year appropriations in FY 2013.

Formula Grants
(Limitation on Obligations)
(Highway Trust Fund, Mass Transit Account)

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

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

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

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

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

⁵ Excludes \$519,200,000 appropriations.

⁶ Excludes \$569,600,000 appropriations.

⁷ 106-554.

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

⁹ Excludes \$718,400,000 appropriations.

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

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

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

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

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

¹⁵ Proposed to be funded in Formula Grants and Research out of the mass transit account of the Highway Trust Fund.

¹⁶ Reflects reduction of \$19,652,800 (.65%) pursuant to section 601 of P. L. 108-7

Excludes \$1,007,401,850 in FHWA transfers, including unobligated balance transfer of \$2,000,000 pursuant to

¹⁷ sec. 377 P.L. 108-7.

Formula Grants

¹⁸ Excludes \$1,435,902 in FTA transfers to FHWA.

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

¹⁹ Appropriations Act, 2004.

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

²⁰ Appropriations Act, 2005.

University Transportation Research

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

¹ Investment Program

² Proposed to be funded under Transit Planning and Research.

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

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

⁵ Includes \$4,789,440 Trust Fund.

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

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

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

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

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

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

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

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

¹³ Act, 2004.

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

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

¹⁵ Act, 2005.

University Transportation Research

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

¹⁷ The Administration proposed to cancel unobligated balances of prior year appropriations in FY 2013.

¹⁸ The Administration proposed to cancel unobligated balances of prior year appropriations in FY 2014.

Job Access and Reverse Commute Grants

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

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

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

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

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

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

⁶ Includes \$79,824,000 Trust Fund.

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

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

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

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

¹¹ Reflects reduction of \$975,000 (.65%) pursuant to section 601 of P. L. 108-7; includes obligation limitation.

Reflects transfer of \$44,707,500 to Capital Investment Grants.

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

¹² Appropriations Act, 2004.

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

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

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

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

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

Interstate Transfer Grants - Transit

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

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

¹ Appropriations Act, 2005.

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

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

Discretionary Grants (Limitation on Obligations)

Estimates		Limitations	
1990	0	1990	1,135,645,000
1991	1,400,000,000	1991	1,400,000,000 ⁷
1992		1992	1,356,167,000
1993	1,000,000,000	1993	1,725,000,000
1993 (Supp)	270,000,000		
1994	1,771,575,000	1994	1,781,691,000 ¹
1995	1,725,000,000	1995	1,724,904,000 ²
		1995 Rescission	-33,911,500 ³
1996	1,665,000,000 ⁴	1996	1,665,000,000
1997	1,799,000,000	1997	1,900,000,000
		1997 Rescission	-588,000,000
1998	0 ⁵	1998	2,000,000,000
1999	1,805,600,000 ⁵	1999 Rescission	-392,000,000 ⁶
		2005	0 ⁸

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

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

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

Interstate Transfer Grants - Transit

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

⁵ Proposed to be funded under Major Capital Investments.

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

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

Does not include transfers of unobligated balance pursuant to section 164 of P.L. 108-447, Consolidated

⁸ Appropriations Act, 2005.

Discretionary Grants

Liquidation of Contract Authorization

Estimates		Appropriations	
1990	---	1990	897,300,000
1991	900,000,000	1991	900,000,000
1992	1,500,000,000	1992	1,500,000,000
1993	1,000,000,000	1993	1,500,000,000
1994	1,000,000,000	1994	1,000,000,000
1994 (Supp.) Rescissi	-52,037,325	1994 (Supp.) Rescissi	-3,308,935
1995	1,500,000,000	1995	1,500,000,000
1995 (Supp.)	0	1995 (Supp.)	350,000,000
1996	1,700,000,000 ¹	1996	2,000,000,000
1996 (Supp.)	0	1996 (Supp.)	375,000,000
1997	2,000,000,000	1997	2,300,000,000
1998	2,350,000,000 ²	1998	2,350,000,000
1999	1,900,000,000 ²	1999	2,000,000,000 ³
2000	1,500,000,000 ²	2000	1,500,000,000 ³
2001	350,000,000 ²	2001	350,000,000 ³
2002	0	2002	0

¹ Investment Program

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

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

Public Transportation Emergency Relief Program

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

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

Research, Training and Human Resources

Estimates		Appropriations	
1990		1990	9,970,000
1991	10,000,000	1991	8,000,000
1992		1992	11,000,000 ¹

¹ (ISTEA).

Major Capital Investment Grants

Estimates		Appropriations	
2004	1,213,500,000	2004	0 ²
2005	1,234,192,000	2005	0 ²
2006	872,500,000	2006	0 ³

**Major Capital Investment Grants
(Limitation on Obligations)
(Highway Trust Fund, Mass Transit Account)**

Estimates		Limitations	
2004	320,594,000 ¹	2004	0 ²
2005	329,006,000 ¹	2005	0 ²
2006	690,000,000 ¹	2006	0 ³

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

² Surface transportation reauthorizing legislation has not been enacted.

³ Funded under Capital Investment Grants pursuant to SAFETEA-LU P.L.109-59 and DOT Appropriations Act, 2006 P.L. 109-115.

Transit Capital Assistance

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

¹ American Recovery and Reinvestment Act, 2009.

Fixed Guideway Infrastructure Investment

Estimates		Appropriations	
2009	-	2009	750,000,000 ¹

¹ American Recovery and Reinvestment Act, 2009.

Capital Investments Grants

Estimates		Appropriations	
2009	-	2009	750,000,000 ¹

¹ American Recovery and Reinvestment Act, 2009.

Grants for Energy Efficiency and Greenhouse Gas Reductions

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

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

EXHIBIT V-1

**TRANSIT RESEARCH AND TRAINING
DEPARTMENT OF TRANSPORTATION
BUDGET AUTHORITY
(In thousands of dollars)**

	FY 2014 Actual	FY 2015 Enacted	FY 2016 Request	FY 2016 Applied	FY 2016 Development
A. Transit Research and Training	10,000	7,500	26,000	21,580	4,420
<i>National Research Activities</i>	<i>10,000</i>	<i>7,500</i>	<i>26,000</i>	<i>21,580</i>	<i>4,420</i>
B. Technical Assistance and Standards Development (T)	-	-	7,000	-	-
C. Human Resources and Training (T)	-	-	20,000	-	-
D. Transit Cooperative Research Program (T)	3,000	3,000	7,000	-	-
E. Low to Now Emissions Program (T)	30,000	22,500	-	-	-
<i>Low to No Emissions Buses</i>	<i>26,000</i>	<i>19,500</i>	<i>-</i>	<i>-</i>	<i>-</i>
<i>Facilities and Equipment relating to Low to No Emissions Buses</i>	<i>4,000</i>	<i>3,000</i>	<i>-</i>	<i>-</i>	<i>-</i>
F. Administrative Expenses	2,193	2,193	2,193	1,820	373
Subtotal, Research & Development	12,193	9,693	28,193	23,400	4,793
Subtotal, Technology Investment (T)	29,000	22,500	34,000	-	-
Subtotal, Facilities (F)	4,000	3,000	-	-	-
Total FTA	45,193	35,193	62,193	23,400	4,793

