

APTA PRIMER ON TRANSIT FUNDING
The Safe, Accountable, Flexible, Efficient Transportation
Equity Act: A Legacy for Users, Extensions, and
Other Related Laws, FY 2004 Through FY 2011

Revised November 17, 2011



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TRANSPORTATION
ASSOCIATION

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SAFE, ACCOUNTABLE, FLEXIBLE, EFFICIENT TRANSPORTATION EQUITY ACT: A LEGACY FOR USERS

OVERVIEW

The Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU), Public Law (P.L.) 109-59, was the authorizing law that established authority to appropriate General Revenues and to spend trust fund monies through limitations on obligations, for highways and transit, on an annual basis from Fiscal Year (FY) 2005 through FY 2009. Because SAFETEA-LU expired on September 30, 2009 and no long-term authorization law has been enacted, the authorizations of spending for FY 2010, FY 2011, and the first six months of FY 2012 have been accomplished by a series of laws that have extended the authorizations in SAFETEA-LU. SAFETEA-LU also modified sections of the United States Code (USC) that specify how federal highway and transit programs are administered and modified sections of the Internal Revenue Code of 1986 pertaining to the Highway Trust Fund (HTF) and tax benefits for travel to work. Although SAFETEA-LU was not enacted until August 10, 2005, the entire six-year period of FY 2004 through FY 2009 is treated herein as the "SAFETEA-LU period." Amounts authorized by extension laws are listed in the sections below which they apply to, but are not included in "SAFETEA-LU period" totals.

The multi-year authorization act that preceded SAFETEA-LU, the Transportation Equity Act for the 21st Century, (TEA 21) was in effect through September 30, 2003. From October 1, 2003 through August 9, 2005 the federal transit and highway programs were authorized through 12 short-term extension acts. Those extension acts that applied to FY 2005 funding were reauthorized by SAFETEA-LU when it was enacted.

FEDERAL TRANSIT FUNDING LAW

This report describes funding provisions of SAFETEA-LU, extension acts to TEA 21 and extension acts to SAFETEA-LU, and related laws that provide for transit funding. Laws not related to funding and provisions of regulations are not described. Provisions of the following laws authorize and control transit funding:

- SAFETEA-LU extensions acts extend the SAFETEA-LU authorization period from October 1, 2009 through September 30, 2011.
- SAFETEA-LU authorized the levels of transit and highway funding from FY 2005 through FY 2009 and describes the structure for newly created funding programs and changes to existing programs.
- TEA 21 extension acts extended the TEA 21 authorization period from October 1, 2003 through August 14, 2005. The TEA 21 extension acts authorized the transit program for FY 2004 but were superseded for FY 2005 by SAFETEA-LU when it became law on August 10, 2005.
- Title 49, Chapter 53 of the United States Code, Mass Transportation, contains the permanent provisions of law for administering the federal transit program. Some of those provisions are modified by SAFETEA-LU.
- Title 23 of the United States Code, Highways, contains the permanent provisions of law for administering the federal highway program. Some of those provisions are also modified by SAFETEA-LU.
- The Internal Revenue Code of 1986, Subtitle I, Trust Fund Code, contains provisions governing collection and use of motor fuel taxes for highway and transit programs. The Internal Revenue Code was extended and modified by SAFETEA-LU.
- Previous authorizing acts, as indicated in the following text, contained provisions that have been continued in SAFETEA-LU but have not been codified in 49 USC.
- Funding for transit was included the American Recovery and Reinvestment Act of 2009.
- Funding eligible for transit uses has been included in Department of Homeland Security appropriations from 2004 through 2010.

Transit spending is also affected by annual budget and appropriation actions. Budget laws determine an overall level for transportation spending each year and appropriation laws specify the funding level for each

transportation program and the purposes for which some funds may be used. Many other federal laws include provisions that affect the operation of transit services and govern the use of federal funds. These laws do not, however, provide funding for transit and are not described herein.

TRANSIT FUNDING ACTIONS FOLLOWING EXPIRATION OF SAFETEA-LU

The Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU) expired on September 30, 2009, at the end of FY 2009. Transit funding has been continued by short term laws that authorize and appropriate transit funds. The procedural laws used to dispense federal funds under SAFETEA-LU and in Title 49, Chapter 53, of the United State Code remain in effect. The information provided concerning the use of these funds as stated in the remainder of this paper remain in effect. Funding actions and amounts for SAFETEA-LU extension laws are included at appropriate points in the remainder of this document.

TRANSIT FUNDING PROVISIONS OF SAFETEA-LU

Transit agencies receive funds under the provisions of Title 49, Chapter 53, of the United States Code, as amended by SAFETEA-LU. Transit funds for FY 2004 were authorized by TEA 21 extension acts, from FY 2005 through FY 2009 by SAFETEA-LU, and for FY 2010 and FY 2011 by SAFETEA-LU extension acts. Each year new appropriation legislation must be passed to appropriate General Revenues that will fund transit programs and set an obligation limitation that allows expenditure of funds from the Mass Transit Account (MTA) of the Highway Trust Fund (HTF) for transit programs. SAFETEA-LU, however, provides guaranteed funds for appropriation each year as described below. TEA 21 and SAFETEA-LU extension acts did not guarantee funds because they were authorizing funds that were already appropriated or appropriated at the same time they were authorized.

Transit funds are distributed through both formula and discretionary programs. After funds are appropriated, amounts that are available for states and urbanized areas under formula programs are published in an apportionment notice in the *Federal Register*. Amounts for allocated programs, including amounts earmarked in legislation or Congressional Committee Reports are also published in the *Federal Register*. Allocated program funds that are not earmarked or otherwise distributed by Congress are made available to the Federal Transit Administration (FTA) for distribution.

In order to obtain federal transit funds a government agency must submit a grant application to the FTA. When the grant is approved the funds are "granted" or obligated to that agency and the agency proceeds with its procurement process or receives reimbursement for expenditures that have already been made. Federal funds pay for a portion, termed the "federal share," of a project's costs. State or local funds, termed "matching funds," must also be expended on a project. Matching ratios are described in more detail in a following section.

TRANSIT AUTHORIZATION LEVELS

SAFETEA-LU, including TEA 21 extension acts, authorizes transit funding for FY 2004 through FY 2009 with TEA 21 extensions authorizing FY 2004 and SAFETEA-LU authorizing FY 2005 through FY 2009. SAFETEA-LU extension acts authorized funds for FY 2010 and FY 2011. The federal transit program is funded from two sources, (1) General Revenues of the U.S. government and (2) revenues credited to the Mass Transit Account (MTA) of the Highway Trust Fund (HTF). Funds were first available from the MTA in FY 1983 when the Motor Fuel Tax was increased to include a portion for transit uses.

Grouping of Funding Programs: Formula, Capital Investment, and Other Programs: The organization or grouping of funds was changed by SAFETEA-LU. Under TEA 21 and the previous authorization, the Intermodal Surface Transportation Efficiency Act of 1991 (ISTEA), some funding programs were grouped into a category called "Formula Programs," some into another category called "Capital Investment Programs," and others were treated individually and not included in either category. All "Formula Programs" were either distributed by formulas or were takedowns from the formula programs. "Capital Investment Programs" included all programs that came under 49 USC 5309, even though one of those, the Fixed-Guideway Modernization program, was distributed by formula.

From FY 1983 until ISTEA was enacted in 1991, MTA funds were authorized, appropriated, apportioned, obligated, and tracked separately from General Revenue funds. The MTA funded specific programs including discretionary capital programs, elderly and disabled individuals funding, planning, and section 9B, which was an apportionment to urbanized areas for capital purposes only.

ISTEA introduced the concept of a partially unitary authorization. Specific amounts of MTA funds were authorized for all discretionary programs and formula programs and specific amounts of General Revenue funds were authorized for the same discretionary programs and formula programs. Once appropriated, these funds could be used for any purpose allowed by the program for which they were appropriated except that MTA funds could not be used for operating assistance or Interstate Transfer grants. MTA and General Revenue funds were no longer tracked separately within programs funded from both sources so long as adequate General Revenues were included in each program's total to fund any use that required General Funds, such as operating assistance. TEA 21 further reduced the need to distinguish MTA funds and General Revenues. Eligible uses for MTA capital funds were redefined and guaranteed funds from both the MTA and General Revenues are provided for each transit program.

An interpretation by the Office of Management and Budget that trust fund amounts in mixed funding source programs, those which are funded from both trust funds and General Revenues, are considered outlaid when they are appropriated, led to a change in this procedure in SAFETEA-LU. The "scoring" or counting of MTA funds as outlaid as soon as they are appropriated reduced the accounting, but not the actual, balance of funds in the MTA which restricted some FTA actions. In order to fix this scoring problem, SAFETEA-LU, beginning in FY 2006, funds programs exclusively from either the MTA or General Revenues. Since the total amount of MTA funds or General Revenues is authorized to be appropriated in only a few grouped amounts and each program is then funded from one of those grouped amounts, the organization of categories of the funding programs was changed to place programs together that would be funded from the MTA and place programs together that would be funded from General Revenues. This resulted in two former "Capital Investment" programs and some independently authorized programs being joined with the "Formula Programs" to form a new grouping called "Formula and Bus Grant" programs, all of which are funded entirely from the MTA. This new grouping is commonly referred to as Formula Programs which can lead to some confusion. Only one program, funded entirely from General Revenues, remained grouped under "Capital Investment." It should be noted that these groupings are solely for authorization of funds from specific sources and do not affect the location of programs in or how they are treated under 49 USC. A comparison of the two grouping systems is shown on Table 1.

Table 1: Grouping of Funding Programs (Section numbers are 49 USC unless otherwise noted)

Programs as Grouped in TEA 21 Extensions and SAFETEA-LU for Authorization Amounts in FY 2004 and FY 2005, see 49 USC 5338(a)	Programs as Grouped in SAFETEA-LU for Authorization Amounts in FY 2006 - FY 2009 and SAFETEA-LU Extension Acts, see 49 USC 5338(b)
<p>Formula Programs: (Funded from both the Mass Transit Account of the Highway Trust Fund and General Revenues) § 5307 Urbanized Area § 5308 Clean Fuels Formula § 5310 Elderly and Disabled § 5311 Rural Area § 5338(a)(2)(C)(i) Alaska Railroad § 3038 of TEA 21 Over-the Road Bus</p>	<p>Formula and Bus Grant Programs: (Funded from the Mass Transit Account of the Highway Trust Fund only) § 5303 Metropolitan Transportation Planning § 5304 Statewide Transportation Planning § 5307 Urbanized Area § 5308 Clean Fuels Formula § 5309(m)(2)(B) Fixed-Guideway Modernization § 5309(m)(2)(C) Bus and Bus Facility Capital § 5310 Elderly and Disabled § 5311 Rural Area § 5311(b)(3) Rural Transportation Assistance Program § 5316 Job Access and Reverse Commute § 5317 New Freedom § 5320 Alternative Transportation in Parks § 5335 National Transit Database § 5339 Alternatives Analysis § 5340 Growing States and High Density States § 3038 of TEA 21 Over-the Road Bus</p>
<p>Capital Investment Programs: (Funded from both the Mass Transit Account of the Highway Trust Fund and General Revenues) § 5308 Clean Fuels Capital Investment § 5309(m)(1)(A) Fixed-Guideway Modernization § 5309(m)(1)(B) New Starts § 5309(m)(1)(C) Bus and Bus Facility Capital § 5318 Bus Testing § 3015(b) of TEA 21 Fuel Cell Bus and Bus Facilities</p>	<p>Capital Investment Program: (Funded from General Revenues only) § 5309(m)(2)(A) New Starts</p>
<p>Planning Programs: (Funded from both the Mass Transit Account of the Highway Trust Fund and General Revenues) § 5303 Metropolitan Planning § 5313 State Planning and Research</p>	
<p>Research Programs: (Funded from both the Mass Transit Account of the Highway Trust Fund and General Revenues) § 5311(b)(2) Rural Transit Assistance Program § 5313(a) TCRP § 5314 National Planning and Research § 5315 National Transit Institute</p>	<p>Research and University Centers Programs: (Funded from General Revenues only) § 5313(a) TCRP § 5314(a)(2) ADA Nonprofit Organization § 5314(c) National Technical Assistance Center § 5315 National Transit Institute § 5312, 5313, 5314, 5322 National Research § 5506 University Centers</p>
<p>§ 3037 of TEA 21 Job Access and Reverse Commute (Funded from both the Mass Transit Account of the Highway Trust Fund and General Revenues)</p>	
<p>§ 5317(b) University Transportation Research (Funded from both the Mass Transit Account of the Highway Trust Fund and General Revenues)</p>	
<p>§ 5334 FTA Administration (Funded from both the Mass Transit Account of the Highway Trust Fund and General Revenues)</p>	<p>§ 5334 FTA Administration (Funded from General Revenues only)</p>

Overall Authorization Levels: Authorization levels under SAFETEA-LU and TEA 21 extension acts are shown on Table 2(a). The amounts for FY 2004 are amounts authorized under TEA 21 extension acts. The amounts for FY 2005 are those in SAFETEA-LU, which are equal to FY 2005 appropriation levels and are slightly less than the amounts authorized in TEA 21 extension acts. Amounts for FY 2006 through FY 2009 are SAFETEA-LU amounts. For comparative purposes, the structure of Table 2(a) is consistent with program groupings for FY 2004 and FY 2005 as reported on Table 1, left-hand column.

Table 2(b) shows amounts for SAFETEA-LU and TEA 21 extension acts beginning in FY 2004 with program groupings in the format introduced by SAFETEA-LU as reported on Table 1, right-hand column. Within groups the programs are sorted in numerical order with 49 USC references first. Table 2(c) shows amounts for the ARRA of 2009 and SAFETEA-LU extension acts for FY 2010 and FY 2011.

Table 2(a): SAFETEA-LU and TEA 21 Extension Acts Authorization Levels by Program FY 2004 through FY 2009 with Six-Year "SAFETEA-LU Period" Total in Format Used Before Enactment of SAFETEA-LU (Millions of Dollars).

Program (a)	FY 2004 (a) (Millions)	SAFETEA-LU Authorizations					Six-Year Total (Millions)
		FY 2005 (Millions)	FY 2006 (Millions)	FY 2007 (Millions)	FY 2008 (Millions)	FY 2009 (Millions)	
Total All Programs	7,309.0	7,646.3	8,622.9	8,974.8	9,730.9	10,338.1	52,622.0
Formula Programs Total	3,964.0	4,123.9	4,671.7	4,860.3	5,268.1	5,596.6	28,484.6
§ 5307 Urbanized Area	3,445.9	3,593.2	3,466.7	3,606.2	3,910.8	4,160.4	22,183.2
§ 5340 Growing States/High Density States	---	---	388.0	404.0	438.0	465.0	1,695.0
§ 5311 Rural Area	240.6	250.9	388.0	404.0	438.0	465.0	2,186.5
§ 5310 Elderly and Disabled	90.7	94.5	112.0	117.0	127.0	133.5	674.7
§ 5317 New Freedom	---	---	78.0	81.0	87.5	92.5	339.0
§ 5338(a)(2)(C) Alaska Railroad	4.8	4.8	---	---	---	---	9.7
§ 5308 Clean Fuels Formula	50.0	49.6	43.0	45.0	49.0	51.5	288.1
§ 3038 Over-the Road Bus	7.0	6.9	7.5	7.6	8.3	8.8	46.0
§ 5316 Job Access and Reverse Commute	125.0	124.0	138.0	144.0	156.0	164.5	851.5
§ 5320 Alternative Transportation in Parks	---	---	22.0	23.0	25.0	26.9	96.9
§ 5335 National Transit Database	---	---	3.5	3.5	3.5	3.5	14.0
§ 5339 Alternatives Analysis	---	---	25.0	25.0	25.0	25.0	100.0
§ 5309 Capital Investment Programs Total	3,137.5	3,312.1	3,716.3	3,869.5	4,197.8	4,459.8	22,692.9
Fixed-Guideway Modernization	1,206.5	1,204.7	1,391.0	1,448.0	1,570.0	1,666.5	8,486.7
New Starts Total	1,323.8	1,437.8	1,503.0	1,566.0	1,700.0	1,809.3	9,339.9
<i>New Starts Less Than \$75 Million</i>	---	---	---	200.0	200.0	200.0	600.0
<i>New Starts \$75 Million or More</i>	---	---	---	1,366.0	1,500.0	1,609.3	4,475.3
Bus and Bus Facilities	607.2	669.6	822.3	855.5	927.8	984.0	4,866.3
Planning Total	73.0	72.4	95.0	99.0	107.0	113.5	559.9
§ 5303 Metropolitan Transport. Planning	60.4	59.9	78.6	81.9	88.5	93.9	463.2
§ 5304 Statewide Transportation Planning	12.6	12.5	16.4	17.1	18.5	19.6	96.8
Research Total	59.0	60.6	58.0	61.0	65.5	69.8	373.8
§ 5311(b)(2) RTAP	5.3	5.2	In §5311	In §5311	In §5311	In §5311	10.5
§ 5313(a) TCRP	8.3	8.2	9.0	9.3	9.6	10.0	54.3
§ 5315 National Transit Institute	4.0	4.0	4.3	4.3	4.3	4.3	25.2
§ 5314 National Research	35.5	37.2	37.7	40.4	44.6	48.5	243.9
§ 5506 University Centers	6.0	6.0	7.0	7.0	7.0	7.0	40.0
FTA Operations	75.5	77.4	82.0	85.0	92.5	98.5	510.9

(a) Amounts from TEA 21 extension acts.

Table 2(b): SAFETEA-LU and TEA 21 Extension Acts Authorization Levels by Program FY 2004 through FY 2009 with Six-Year "SAFETEA-LU Period" Total in Format Used After Enactment of SAFETEA-LU (Millions of Dollars)

Program (a)	FY 2004 (a) (Millions)	SAFETEA-LU Authorizations					Six-Year Total (Millions)
		FY 2005 (Millions)	FY 2006 (Millions)	FY 2007 (Millions)	FY 2008 (Millions)	FY 2009 (Millions)	
Total All Programs	7,309.0	7,646.3	8,622.9	8,974.8	9,730.9	10,338.1	52,622.0
Formula Programs Total	5,850.7	6,070.6	6,979.9	7,262.8	7,872.9	8,360.6	36,546.8
§ 5303 Metropolitan Transp. Planning	60.4	59.9	78.6	81.9	88.5	93.9	463.2
§ 5304 Statewide Transportation Planning	12.6	12.5	16.4	17.1	18.5	19.6	96.7
§ 5307 Urbanized Area	3,445.9	3,593.2	3,466.7	3,606.2	3,910.8	4,160.4	22,183.2
§ 5308 Clean Fuels Formula	50.0	49.6	43.0	45.0	49.0	51.5	288.1
§ 5309(m)(2)(B) Fixed-Guideway Modern.	1,206.5	1,204.7	1,391.0	1,448.0	1,570.0	1,666.5	8,486.7
§ 5309(m)(2)(C) Bus and Bus Facilities	607.2	669.6	822.3	855.5	927.8	984.0	4,866.4
§ 5310 Elderly and Disabled	90.7	94.5	112.0	117.0	127.0	133.5	674.7
§ 5311 Rural Area	240.6	250.9	388.0	404.0	438.0	465.0	2,186.5
§ 5316 Job Access and Reverse Commute	125.0	124.0	138.0	144.0	156.0	164.5	851.5
§ 5317 New Freedom	---	---	78.0	81.0	87.5	92.5	339.0
§ 5320 Alternative Transportation in Parks	---	---	22.0	23.0	25.0	26.9	96.9
§ 5335 National Transit Database	---	---	3.5	3.5	3.5	3.5	14.0
§ 5338(a)(2)(C) Alaska Railroad	4.8	4.8	---	---	---	---	9.7
§ 5339 Alternatives Analysis	---	---	25.0	25.0	25.0	25.0	100.0
§ 5340 Growing States/High Density States	---	---	388.0	404.0	438.0	465.0	1,695.0
§ 3038 Over-the Road Bus	7.0	6.9	7.5	7.6	8.3	8.8	46.0
§ 5309 Capital Investment Programs Total	1,323.8	1,437.8	1,503.0	1,566.0	1,700.0	1,809.3	9,339.9
§ 5309(m)(2)(C) New Starts Total	1,323.8	1,437.8	1,503.0	1,566.0	1,700.0	1,809.3	9,339.9
<i>New Starts Less Than \$75 Million</i>	---	---	---	200.0	200.0	200.0	600.0
<i>New Starts \$75 Million or More</i>	---	---	---	1,366.0	1,500.0	1,609.3	4,475.3
Research Total	59.0	60.6	58.0	61.0	65.5	69.8	373.8
§ 5311(b)(2) RTAP	5.3	5.2	In §5311	In §5311	In §5311	In §5311	10.5
§ 5313(a) TCRP	8.3	8.2	9.0	9.3	9.6	10.0	54.3
§ 5315 National Transit Institute	4.0	4.0	4.3	4.3	4.3	4.3	25.2
§ 5314 National Research	35.5	37.2	37.7	40.4	44.6	48.5	243.9
§ 5506 University Centers	6.0	6.0	7.0	7.0	7.0	7.0	40.0
FTA Operations	75.5	77.4	82.0	85.0	92.5	98.5	510.9

(a) Amounts from SAFETEA-LU extension acts.

Table 2(c): SAFETEA-LU Extension Acts, and ARRA Authorization Levels by Program FY 2009 through FY 2011 in Format Used Following Enactment of SAFETEA-LU (Millions of Dollars)

Program (a)	ARRA FY 2009 (Millions)	FY 2010 (Millions) (a)	FY 2011 (Millions) (a)				
Total All Programs	8,400.0	10,529.2	10,529.2				
Formula Programs Total	7,550.0	8,360.6	8,360.6				
§ 5303 Metropolitan Transp. Planning	---	93.9	93.9				
§ 5304 Statewide Transportation Planning	---	19.6	19.6				
§ 5307 Urbanized Area	5,440.0	4,160.4	4,160.4				
§ 5308 Clean Fuels Formula	---	51.5	51.5				
§ 5309(m)(2)(B) Fixed-Guideway Modern.	750.0	1,666.5	1,666.5				
§ 5309(m)(2)(C) Bus and Bus Facilities	---	984.0	984.0				
§ 5310 Elderly and Disabled	---	133.5	133.5				
§ 5311 Rural Area	680.0	465.0	465.0				
§ 5316 Job Access and Reverse Commute	---	164.5	164.5				
§ 5317 New Freedom	---	92.5	92.5				
§ 5320 Alternative Transportation in Parks	---	26.9	26.9				
§ 5335 National Transit Database	---	3.5	3.5				
§ 5338(a)(2)(C) Alaska Railroad	---	---	---				
§ 5339 Alternatives Analysis	---	25.0	25.0				
§ 5340 Growing States/High Density States	680.0	465.0	465.0				
§ 3038 Over-the Road Bus	---	8.8	8.8				
§ 5309 Capital Investment Programs Total	750.0	2,000.0	2,000.0				
§ 5309(m)(2)(C) New Starts Total	750.0	2,000.0	2,000.0				
<i>New Starts Less Than \$75 Million</i>	---	---	---				
<i>New Starts \$75 Million or More</i>	---	---	---				
Research Total	---	69.8	69.8				
§ 5311(b)(2) RTAP	---	In §5311	In §5311				
§ 5313(a) TCRP	---	10.0	10.0				
§ 5315 National Transit Institute	---	4.3	4.3				
§ 5314 National Research	---	48.4	48.4				
§ 5506 University Centers	---	7.0	7.0				
FTA Operations	---	98.9	98.9				
Transit Investments for Greenhouse Gas and Energy Reduction (TIGGER) (b)	100.0	(c) 75.0	(c) 50.0				

(a) Amounts from SAFETEA-LU extension acts.

(b) Not authorized by SAFETEA-LU, included in ARRA.

(c) Not authorized in SAFETEA-LU extension act but appropriated by separate action, not included in "Total All Programs."

Guaranteed Funds: All transit funds and highway funds authorized by SAFETEA-LU are "guaranteed" to be appropriated in the year for which they are authorized at P.L. 109-59, Section 8001 through 8105. No funding under TEA 21 extension acts or SAFETEA-LU extension acts was guaranteed. For most extension acts funds were authorized and appropriated at the same time or appropriated first, thus a guarantee was not needed. The guarantee is a budgetary "firewall" between the guaranteed transit funds and other programs funded from the domestic discretionary budget as provided at Sections 250 and 251 of Balanced Budget and Emergency Deficit Control Act of 1985 as amended. The guaranteed funds remained subject to budgetary and appropriations action but under TEA 21 a reduction in appropriations below authorized amounts could not be used for any other purpose. Because overall domestic budgetary caps are no longer in place any reduced amount of transit funding below guaranteed levels in budget or appropriation laws can in actuality now be used to fund other programs. Because funds from a lower appropriation can now be used for other purposes, some commentators on the federal process believe the motivation for Congress to fully fund transit and highways has been reduced.

The data in the Appropriated and Apportioned Amounts section beginning on Page 19 shows that this has not occurred to any large extent.

Trust funds are also protected by a U.S. House of Representatives Rule XXI, clause 3, which, as adopted by the 112th Congress, states that " It shall not be in order to consider a general appropriation bill or joint resolution, or conference report thereon, that— (a) provides spending authority derived from receipts deposited in the Highway Trust Fund (excluding any transfers from the General Fund of the Treasury); or (b) reduces or otherwise limits the accruing balances of the Highway Trust Fund, for any purpose other than for those activities authorized for the highway or mass transit categories." House rules are reviewed and may be modified at the beginning of each new Congress. House Rules from prior Congresses had provided a similar restriction for amounts in SAFETEA-LU including funds from General Revenues.

TRANSIT FUNDING SOURCES

Federal transit programs are funded from two sources, the Mass Transit Account (MTA) of the Highway Trust Fund (HTF) and from General Revenues of the Treasury, also called General Funds. Until FY 1983 all transit funding was from General Revenues. The Surface Transportation Assistance Act of 1982 (STAA) created the MTA as a separate account in the HTF for accrual of a portion of revenues from the federal motor fuel tax for transit uses. Motor fuel taxes for highways accrue to the Highway Account (HA) of the HTF. Funds from highway related excise taxes other than motor fuel taxes accrue only to the Highway Account.

The 1982 STAA specified that 1 cent of a 5 cents per gallon increase in the federal motor fuel tax would be deposited in the newly created MTA. Since then, 20 percent of each subsequent increase in the motor fuel tax has been deposited in the MTA. Currently, 15.5 percent of the total per gallon tax on gasoline and 11.7 percent of the total per gallon tax on diesel fuel are dedicated to the MTA. The annual per gallon tax rate, as well as the tax revenue, interest revenue, and total revenue accruing to the MTA are shown on Table 3. The tax rate shown is for January 1 of each year, but the tax rate normally changes on October 1, the beginning of the fiscal year. Inconsistent fluctuations in reported tax revenue have resulted from variations in accounting practice and do not necessarily reflect an actual change in motor fuel usage or fuel tax collections.

Until FY 1999, unexpended balances in the MTA drew interest revenue. Unexpended balances are created when the FTA obligates funds, that is, commits to fund an eligible transit project such as a bus garage, but does not actually pay for the project until it is completed. The unexpended balance is the money that has been accumulated to make that payment when it comes due plus any revenues collected but not yet appropriated. The unexpended balances were invested, by law, in federal securities. The interest received, however, was a paper exchange between General Revenues and the HTF. TEA 21 eliminated this investment for both the MTA and the HA beginning in FY 1999. From that time until FY 2010, only tax revenues have been credited to the HTF. P.L. 111-117, enacted on March 18, 2010, reinstated the investment of unexpended balances in federal securities and restored funds not accrued from FY 1999 to FY 2010 by transferring \$4,800 million to the MTA. Data for actual amounts collected for the MTA from tax revenues or interest payments are not reported until after the end of a fiscal year.

Table 3: Mass Transit Account (MTA) Tax Rates and Revenues (Data from Federal Highway Administration *Highway Statistics*, annual)

Fiscal Year	Tax Rate (Cents per Gallon on January 1)	MTA Tax Revenue (Millions)	MTA Interest Revenue (Millions)	Total MTA Revenue (Millions)
1983	1	\$520	\$3	\$522
1984	1	1,236	89	1,325
1985	1	1,214	206	1,420
1986	1	1,113	283	1,395
1987	1	1,239	344	1,583
1988	1	1,277	384	1,661
1989	1	1,269	469	1,738
1990	1	1,395	581	1,977
1991	1.5	2,845	664	3,149
1992	1.5	1,070	746	1,816
1993	1.5	1,992	743	2,735
1994	1.5	2,008	684	2,691
1995	1.5	2,192	621	2,813
1996	2	2,617	665	3,282
1997	2	3,358	638	3,996
1998	2.85	3,487	839	4,326
1999	2.86	(a) 5,478	None	(a) 5,478
2000	2.86	(a) 4,673	None	(a) 4,673
2001	2.86	(a) 4,553	None	(a) 4,553
2002	2.86	(a) 4,621	None	(a) 4,621
2003	2.86	(a) 4,762	None	(a) 4,762
2004	2.86	(a) 4,926	None	(a) 4,926
2005	2.86	(a) 4,984	None	(a) 4,984
2006	2.86	(a) 4,838	None	(a) 4,838
2007	2.86	(a) 5,288	None	(a) 5,288
2008	2.86	(a) 5,307	None	(a) 5,307
2009	2.86	(a) 5,546	None	(a) 5,545
2010	2.86	(a) 4,872	---	(a) 4,872

(a) Amounts reported in *Budget of the United States Government*, annual.

The amounts and percentages of transit funds authorized by SAFETEA-LU from the Mass Transit Account and General Revenues are reported on Table 4.

Table 4: SAFETEA-LU, TEA 21 Extension Act, and SAFETEA-LU Extension Act Transit Authorization Funding Sources

Fiscal Year	Annual Amount by Funding Source			Annual Percent by Funding Source		
	Mass Transit Account	General Revenues	Total	Mass Transit Account	General Revenues	Total
	(Millions)	(Millions)	(Millions)	(Percent)	(Percent)	(Percent)
2004 (a)	5,847.2	1,461.8	7,309.0	80.00 %	20.00 %	100.00 %
2005	6,690.5	955.8	7,646.3	87.50 %	12.50 %	100.00 %
2006	6,979.9	1,643.0	8,622.9	80.95 %	19.05 %	100.00 %
2007	7,262.8	1,712.0	8,974.8	80.92 %	19.08 %	100.00 %
2008	7,872.9	1,858.0	9,730.9	80.91 %	19.09 %	100.00 %
2009	8,360.6	1,977.5	10,338.1	80.87 %	19.13 %	100.00 %
2010 (b)	8,360.6	2,168.7	10,529.8	79.40 %	20.60 %	100.00 %
2011 (b)	8,360.6	2,168.7	10,529.2	79.40 %	20.60 %	100.00 %

(a) Amounts from TEA 21 extension acts.

(b) Amounts from SAFETEA-LU extension acts.

ELIGIBLE USES FOR TRANSIT FUNDS

Transit funds can be used for a variety of expenditures as defined in 49 USC 5302 and in other sections of 49 USC and authorizing laws that authorize individual spending programs. Eligible expenditures fall into two general categories: capital expenditures, for which most federal funds may be used, and other expenditures which are limited to specific programs.

Eligible Capital Expenditures: 49 USC 5302(a)(1) defines which expenditures are eligible for capital funding grants. Eligible capital funding uses listed in 49 USC 5302 include:

- Acquiring, construction, supervising or inspecting equipment [transit vehicles and other physical assets] or transit facilities such as buildings, stations, and rights-of-way, payments for capital portion of rail trackage rights agreements, and costs associated with or incidental to these costs.
- Bus rehabilitation, bus remanufacturing, and overhauling rail rolling stock.
- Preventive maintenance.
- Some transit equipment and facility leases.
- Transit improvements that enhance economic development or incorporate private investment.
- Introduction of new technology through innovative or improved transit products.
- Provision of nonfixed route paratransit service in accordance with the Americans with Disabilities Act (up to ten percent of 49 USC 5307 apportionments only).
- Establishment of a debt service reserve to ensure timely payment on bonds for eligible projects.
- Mobility management, short-range planning and management activities to improve coordination among transit and other transportation service providers.

Other Eligible Expenditures: Expenditures for other than capital uses are authorized for specific programs. Some of these expenditures include:

- 49 USC 5307 apportionments for urbanized areas with populations of less than 200,000 persons can be used for operating expenditures.
- 49 USC 5311 apportionments for rural areas can be used for operating expenditures.
- Planning and research activities are funded from several programs.
- FTA operations costs and some non-capital costs for special programs such as Job Access and Reverse Commute are also funded by SAFETEA-LU.

Matching Ratios: Matching ratios are the percentages of project funding contributed by the federal government and by state and local governments including transit agencies. The normal matching ratio for any capital program is up to 80 to 20, or up to 80 percent federal and at least 20 percent state and local. In the case of New Starts projects, Congress and regulations have discouraged a federal match of more than 60 percent, although the statute permits an 80 percent match. For operating grants for small urbanized and rural areas and for the Job Access and Reverse Commute Program the ratio is up to 50 percent federal and at least 50 percent state and local.

The matching ratio applies only to the portion of a project funded jointly by federal and state and local governments. The portion of total project costs funded by the federal government is, in practice, often much less than the matching ratio allowed by law. For example, the federal share of all capital revenue for transit in FY 2009 was 42.2 percent, not 80 percent and the federal share of all operating revenue for transit in FY 2009 was 8.2 percent, not 50 percent. When state and local governments contribute more than their required minimum share for a capital grant, the grant is said to be "overmatched."

APPROPRIATED AND APPORTIONED AMOUNTS

The second step in making funds available for transit is an appropriation. Each year of an authorization, Congress must pass and the President sign an appropriation law that tells the Federal Transit Administration and other relevant federal agencies how much money that agency has, for the fiscal year, for each program it administers. Under the provisions of SAFETEA-LU, as described above, the funds are "guaranteed" and should be appropriated to the full level authorized. The "guarantee," however, no longer has strong enforcement provisions and does not apply to across-the-board or limited rescissions of appropriations. Nevertheless, as shown on Table 5, nearly all authorized funds have been appropriated since the inclusion of "guarantee" language in TEA 21.

During the ISTEA period, the overall appropriation was only 76.9 percent of authorized funds. After the inclusion of the "guarantee," the TEA 21 period saw an overall appropriation of 99.9 percent of guaranteed authorized funds and during the 2004 through 2009 SAFETEA-LU period 98.9 percent of all authorized funds were appropriated. These calculations do not include funds authorized in TEA 21 that were not guaranteed. Those funds that were not appropriated were primarily cut as the result of across-the-board rescissions and thus were outside of the influence of "guarantee" provisions.

An apportionment is a formal distribution of appropriated funds that identifies recipients of funds for each program and the funding amount for each recipient. Although the general action and publication is termed an apportionment, an apportionment in a strict definition is a distribution of funds by a legislative formula. Distribution of funds by discretionary action by Congress or the Department of Transportation is termed an allocation.

Table 5 reports appropriation law numbers, the dates that appropriations became law, and the date the appropriations were apportioned in the Federal Register. Short-term appropriation law extensions are normally not apportioned and those non-apportioned extensions are not included on Table 5.

Table 5: Appropriation as a Percentage of Authorization, Appropriation Law Numbers, Appropriation Date, and Federal Register Apportionment Dates Beginning in FY 1992 (Excludes Short-Term Continuing Appropriations Which Are Not Normally Apportioned)

Authorization Period	Fiscal Year	Final Authorized Amount (Millions)	Final Appropriation (Millions)	Final Appropriation as Percent of Authorization	Appropriation and Apportionment Actions		
					Appropriation Law Numbers	Date Appropriation Became Law	Date Federal Register Apportionment
ISTEA	1992	3,643.0	3,639.0	99.9%	P.L. 102-240	Dec. 18, 1991	Dec. 23, 1991
ISTEA	1993	5,235.0	3,692.6	70.5%	P.L. 102-388	Oct. 6, 1992	Oct. 14, 1992
ISTEA	1994	5,125.0	4,382.6	85.5%	P.L. 103-122	Oct. 27, 1993	Nov. 8, 1993
ISTEA	1995	5,125.0	4,414.3	86.1%	P.L. 103-331	Sept. 30, 1994	Oct. 12, 1994
ISTEA	1996	5,125.0	3,851.4	75.1%	P.L. 104-50	Nov. 15, 1995	Nov. 24, 1995
ISTEA	1997	7,250.0	4,182.2	57.7%	P.L. 104-205	Sept. 30, 1996	Oct. 7, 1996
TEA 21 (a)	1998	4,643.7	4,643.7	100.0%	P.L. 105-130	Dec. 1, 1997	Dec. 5, 1997
					P.L. 105-178	June 9, 1998	June 24, 1998
TEA 21	1999	5,315.0 (b)	5,340.0	100.5%	P.L. 105-277	Oct. 21, 1998	Nov. 6, 1998
TEA 21	2000	5,797.0 (b)	5,785.7	99.8% (c)	P.L. 106-69	Oct. 9, 1999	Oct. 28, 1999
					P.L. 106-113	Nov. 29, 1999	(d)
TEA 21	2001	6,271.0 (b)	6,260.7	99.8% (c)	P.L. 106-346	Oct. 23, 2000	Jan. 18, 2001
TEA 21	2002	6,747.0 (b)	6,747.0	100.0%	P.L. 107-87	Dec 18, 2001	Jan. 2, 2002
TEA 21	2003	7,226.0 (b)	7,179.0	99.3% (c)	P.L. 108-7	Feb. 20, 2003	Mar. 12, 2003
					P.L. 108-199	Jan. 23, 2004	Feb. 11, 2004
SAFETEA-LU (e)	2004	7,309.0	7,265.9	99.4% (c)	P.L. 108-202	Feb. 29, 2004	Mar. 29, 2004
					P.L. 108-224	Apr. 30, 2004	June 3, 2004
SAFETEA-LU (e)	2005	7,708.0	7,646.3	99.2% (c)	P.L. 108-447	Dec. 18, 2004	Dec. 29, 2004
					P.L. 109-59	Aug. 10, 2005	Sep. 12, 2005
SAFETEA-LU	2006	8,622.9	8,504.5	98.6% (c)	P.L. 109-115	Nov. 30, 2005	Dec. 20, 2005
					P.L. 109-148	Dec. 30, 2005	Feb. 3, 2006
SAFETEA-LU	2007	8,974.8	8,974.8	100.0%	P.L. 110-5	Feb. 15, 2007	Mar. 23, 2007
SAFETEA-LU	2008	9,730.9	9,491.7	97.5% (c)	P.L. 110-161	Dec. 26, 2007	Jan. 28, 2008
ARRA (f)	2009	8,400.0	8,400.0	100.0%	P.L. 111-5	Feb. 17, 2009	Mar. 5, 2009
SAFETEA-LU	2009	10,338.1	10,231.2	99.0%	P.L. 110-329	Sept. 20, 2008	Dec. 18, 2008
					P.L. 111-8	Mar. 11, 2009	Apr. 27, 2009
SAFETEA-LU (g)	2010	10,529.2	10,507.8(h)	99.8%	P.L. 111-117 (i)	Dec. 16, 2009	Feb. 16, 2010
							May 13, 2010
SAFETEA-LU (g)	2011	10,529.2	10,101.2	95.9%	P.L. 111-322	Dec. 22, 2010	Feb. 8, 2011
							May 20, 2011

(a) Includes extension of ISTEA.

(b) Guaranteed authorization level when both guaranteed and non-guaranteed funds were authorized.

(c) Includes effect of an across-the-board rescission; see Page 39 for rescissions during SAFETEA-LU period.

(d) Not dated, reapportions New Starts and Bus and Bus Capital programs only.

(e) Includes extensions of TEA 21.

(f) American Recovery and Reinvestment Act of 2009.

(g) Includes extensions of SAFETEA-LU.

(h) Includes only amounts authorized under extensions to SAFETEA-LU and included in apportionment notice.

(i) P.L. 111-117 appropriated funds for all of FY 2010 and the first quarter of FY 2011. Transit funds, however, had only been authorized through February 28, 2010. P.L. 111-147 authorized those previously appropriated funds through December 31, 2011, allowing the existing appropriation for FY 2010 to be apportioned.

FORMULA FUNDING PROGRAMS

Formula funding includes different sets of programs grouped for different purposes as described above in "Grouping of Funding Programs: Formula, Capital Investment, and Other Programs". For this presentation nine programs are included as formula programs consistent with the grouping of programs at the beginning of the SAFETEA-LU period. To find a specific program, consult the Table of Contents.

Urbanized Area Formula Program, 49 USC 5307: The Urbanized Area Formula Program was created in 1974 and revised into its current overall structure in 1982. Funds are apportioned to each of the 466 urbanized areas in the United States including Puerto Rico. An urbanized area is a contiguous urban area of 50,000 or more population that meets criteria administrated by the U.S. Bureau of Census. Urbanized areas are redefined and new urbanized areas created every ten years during the decennial census. Urbanized Area Formula funding levels are shown on Table 6.

Urbanized Area Formula Funds Eligible Uses: Urbanized area formula funds can be used for any capital expenditure defined in 49 USC 5302 (listed in "Eligible Uses for Transit Funds" above), planning, transit enhancements, operations in smaller urbanized areas as described below, and the purchase of "associated capital maintenance items," defined in 49 USC 5307(a)(1) to be items worth at least 0.5 percent of the value of the vehicle being repaired.

TEA 21 significantly changed the uses for which these funds could be expended, changes which are continued by SAFETEA-LU. Beginning in FY 1998 transit agencies in urbanized areas with populations of 200,000 or more could no longer use these funds for transit operating expenditures. Transit agencies in urbanized areas with populations of less than 200,000, however, are still allowed to use formula funds for operating expenditures. Beginning in FY 1998 urbanized area formula funds could also be used for preventive maintenance and up to ten percent of each area's apportionment could be used for operating costs associated with the provision of paratransit service required by the American's with Disabilities Act.

Table 6: Urbanized Area Formula Program Funding Levels (Thousands of Dollars)

Fiscal Year	Authorization	Final Appropriation	Fiscal Year	Authorization	Final Appropriation
2004	3,445,936	(a) 3,425,609	2009	4,160,365	4,160,365
2005	(b) 3,622,173	(c) 3,593,196	2009 ARRA (e)	5,440,000	5,440,000
2006	3,466,681	(d) 3,432,014	2010 Ext. (f)	4,160,365	4,151,709
2007	3,606,175	3,606,175	2011 Ext. (f)	4,160,365	4,151,709
2008	3,910,843	3,910,843			

(a) Includes government-wide reduction in the FY 2004 Consolidated Appropriations Act, P.L. 108-199. See page 41.

(b) Authorization amount from extension acts, reauthorized at "Final Appropriation" level by SAFETEA-LU.

(c) Includes government-wide reduction in the FY 2005 Consolidated Appropriations Act, P.L. 108-447. See page 41.

(d) Includes government-wide reduction in the FY 2006 Department of Defense Appropriations Act, P.L. 109-148. See page 42.

(e) Authorized by the American Recovery and Reinvestment Act of 2009 (ARRA), P.L. 111-5, see page 42.

(f) Authorized by SAFETEA-LU extension acts, see page 56.

Preventive maintenance permits the expenditure of funds for maintenance costs, including labor, for transit vehicles, facilities, and rights-of-way. A recipient for an urbanized area with a population of at least 200,000 is required to use at least 1 percent of the Urbanized Area Formula apportionment for transit enhancements as provided at 49 USC 5307(d)(1)(K). Required transit enhancement expenditures can be made for a variety of purposes including: historic preservation, bus shelters, scenic beautification, public art, pedestrian access and walkways, bicycle access, access to parks, signage, and improved access for persons with disabilities.

Recipients are also required to spend at least 1 percent of their Urbanized Area Formula apportionment on security investments as provided at 49 USC 5307(d)(1)(J). Categories of expenditures that fulfill the required security project expenditure include: increased lighting, increased camera surveillance, emergency telephone lines, and other projects that increase security and safety.

Urbanized Area Formula Funds Recipients: Funds for urbanized areas over 200,000 population go directly to a "designated recipient" public agency selected by agreement of all appropriate government agencies in the urbanized area as required by the planning process at 49 USC 5303, 5304, and 5306. Funds for urbanized areas with populations less than 200,000 go to transit agencies through the state's governor.

Urbanized Area Formula Funds Distribution Method: Urbanized Area Formula funds are distributed by an apportionment to urbanized areas based on formulas. Although the formulas used to apportion Urbanized Area Formula funds are based on either fixed-guideway service data for fixed-guideway apportionments or bus service and census data for bus apportionments, the apportioned funds can be used for any mode. Funds that are apportioned to an area based on fixed-guideway data for light rail, for example, can be spent on bus projects or any other mode in the urbanized area. Funds from the "Growing States and High Density States Formula Program, 49 USC 5340" described below are also distributed as part of each Urbanized Area Formula Funds recipient's apportionment. Funds from 49 USC 5340 are a part of the Urbanized Area Formula apportionment of funds and are not differentiated from those funds in any way. An additional formula for Small Transit Intensive Cities was added under SAFETEA-LU effective in FY 2006. The formulas used for distribution of Urbanized Area Formula funds are:

(1) Bus Basic Funding for urbanized areas over 1,000,000 population: This formula apportions 40.311 percent of the Urbanized Area Formula appropriation in FY 2004 and FY 2005 and 39.908 percent beginning in FY 2006. The formula is 50 percent bus revenue vehicle miles, 25 percent urbanized area population, and 25 percent urbanized area population density weighted by population.

(2) Bus Basic Funding for urbanized areas from 200,000 to 1,000,000 population: This formula apportions 14.616 percent of the Urbanized Area Formula appropriation in FY 2004 and FY 2005 and 14.470 percent beginning in FY 2006. The formula is 50 percent bus revenue vehicle miles, 25 percent urbanized area population, and 25 percent urbanized area population density weighted by population.

(3) Bus Basic Funding for urbanized areas less than 200,000 population: This formula apportions 9.320 percent of the Urbanized Area Formula appropriation in FY 2004 and FY 2005 and 9.227 percent beginning in FY 2006. The formula is 50 percent urbanized area population and 50 percent urbanized area population density weighted by population.

(4) Bus Incentive Funding for urbanized areas over 200,000 population: This formula apportions 5.565 percent of the Urbanized Area Formula appropriation in FY 2004 and FY 2005 and 5.510 percent beginning in FY 2006. The formula is the number of bus passenger miles traveled multiplied by the number of bus passenger miles traveled per dollar of operating cost.

(5) Fixed-Guideway Basic Funding for urbanized areas over 200,000 population: This formula apportions 28.862 percent of the Urbanized Area Formula appropriation in FY 2004 and FY 2005 and 28.574 percent beginning in FY 2006. The formula is 60 percent fixed-guideway revenue vehicle miles and 40 percent fixed-guideway route miles. Urbanized areas over 750,000 population that have commuter rail operations receive a minimum of 0.75 percent of the apportionment from this formula.

(6) Fixed-Guideway Incentive Funding for urbanized areas over 200,000 population: This formula apportions 1.325 percent of the Urbanized Area Formula appropriation in FY 2004 and FY 2005 and 1.312 percent beginning in FY 2006. The formula is the number of fixed-guideway passenger miles traveled multiplied by the number of fixed-guideway passenger miles traveled per dollar of operating cost. Urbanized areas over 750,000 population that have commuter rail operations receive a minimum of 0.75 percent of the apportionment from this formula.

(7) New under SAFETEA-LU, a Small Transit Intensive Cities Formula funding: This formula apportions 1 percent of the Urbanized Area Formula appropriation beginning in FY 2006. Eligible urbanized areas are those with populations less than 200,000 which exceed the average value of "performance categories" for all urbanized areas with populations from 200,000 to 999,999. The six performance categories compared are (i) passenger miles traveled per vehicle revenue mile, (ii) passenger miles traveled per vehicle revenue hour, (iii) vehicle revenue miles per capita, (iv) vehicle revenue hours per capita, (v) passenger miles traveled per capita, and (vi) passengers per capita. The apportionment for a qualifying area is equal the number of performance categories for which that area qualifies divided by the total number of performance categories for which all urbanized areas in the size group qualify. This formula does not apply to the distribution of funds from ARRA.

(8) Funds from the Growing States and High Density States Programs, 49 USC 5340: These funds are also distributed as a part of the Urbanized Area Formula apportionment. The amounts that result from 49 USC 5340 are not reported separately from amounts resulting from 49 USC 5307 in apportionments published in the Federal Register, but can be obtained by recipients from FTA regional offices. Distribution of these programs is described in a following section. Growing States and High Density States funds for urbanized areas are estimated to be approximately 84.2 percent of total funds for those programs, 68.5 percent of Growing States and 100.0 percent of High Density States, based on amounts funded in the FY 2011 apportionment of appropriations.

Estimated amounts distributed by each tier and total funding including Growing States and High Density States Funds are shown on Tables 7(a) and 7(b). The amounts shown on Tables 7(a) and 7(b) are before any takedown for Project Management Oversight.

Table 7(a): Estimated Amounts Available from Each Tier of the Urbanized Area Formula Program including Amounts from Growing States and High Density States Programs (Thousands of Dollars)

Formula Tier	FY 2004 (a)	FY 2005 (b,c)	FY 2006 (d)	FY 2007	FY 2008	FY 2009
Authorization Level						
Bus Basic Over 1,000,000 Population	1,389,097	1,460,140	1,383,484	1,439,154	1,560,741	1,660,320
Bus Basic 200,000 to 1,000,000 Population	503,663	529,422	501,629	521,813	565,899	602,005
Bus Basic Less Than 200,000 Population	321,161	337,587	319,864	332,735	360,846	383,869
Bus Incentive	191,777	201,586	191,003	198,688	215,474	229,222
Fixed-Guideway Basic	994,571	1,045,437	990,553	1,030,411	1,117,466	1,188,763
Fixed Guideway Incentive	45,666	48,002	45,482	47,312	51,309	54,583
Small Transit Intensive Cities	0	0	34,667	36,062	39,108	41,604
<i>Subtotal without GS and HDS</i>	<i>3,445,937</i>	<i>3,622,173</i>	<i>3,466,681</i>	<i>3,606,175</i>	<i>3,910,843</i>	<i>4,160,365</i>
Growing States - Approximate	0	0	133,466	138,969	150,159	159,296
High Density States - Approximate	0	0	194,000	202,000	219,000	232,500
Total Including Growing/High Density States	3,445,937	3,622,173	3,794,147	3,947,145	4,280,002	4,552,161
Appropriation Level						
Bus Basic Over 1,000,000 Population	1,380,902	1,448,459	1,369,650	1,439,154	1,560,741	1,660,320
Bus Basic 200,000 to 1,000,000 Population	500,692	525,187	496,612	521,813	565,899	602,005
Bus Basic Less Than 200,000 Population	319,267	334,886	316,665	332,735	360,846	383,869
Bus Incentive	190,646	199,973	189,093	198,688	215,474	229,222
Fixed-Guideway Basic	988,704	1,037,073	980,647	1,030,411	1,117,466	1,188,763
Fixed Guideway Incentive	45,397	47,618	45,027	47,312	51,309	54,583
Small Transit Intensive Cities	0	0	34,320	36,062	39,108	41,604
<i>Subtotal without GS and HDS</i>	<i>3,425,609</i>	<i>3,593,196</i>	<i>3,432,014</i>	<i>3,606,175</i>	<i>3,910,843</i>	<i>4,160,365</i>
Growing States - Approximate	0	0	132,131	138,969	150,159	159,296
High Density States - Approximate	0	0	192,060	202,000	219,000	232,500
Total Including Growing/High Density States	3,425,609	3,593,196	3,756,205	3,947,145	4,280,002	4,552,161

(a) Includes government-wide reduction in the FY 2004 Consolidated Appropriations Act, P.L. 108-199. See page 41.

(b) Authorization amount from extension acts, reauthorized at "Final Appropriation" level by SAFETEA-LU.

(c) Appropriation includes government-wide reduction in the FY 2005 Consolidated Appropriations Act, P.L. 108-447. See page 41.

(d) Appropriation includes government-wide reduction in the FY 2006 Department of Defense Appropriations Act, P.L. 109-148. See page 42.

Table 7(b): Estimated Amounts Available from Each Tier of the Urbanized Area Formula Program including Amounts from Growing States and High Density States Programs, continued (Thousands of Dollars)

Formula Tier	FY 2009 ARRA (a)	FY 2010 Ext. (b)	FY 2011 Ext. (b)			
Authorization Level						
Bus Basic Over 1,000,000 Population	2,192,927	1,660,320	1,660,320			
Bus Basic 200,000 to 1,000,000 Population	795,119	602,005	602,005			
Bus Basic Less Than 200,000 Population	507,008	383,869	383,869			
Bus Incentive	302,753	229,222	229,222			
Fixed-Guideway Basic	1,570,101	1,188,763	1,188,763			
Fixed Guideway Incentive	72,092	54,583	54,583			
Small Transit Intensive Cities	0	41,604	41,604			
<i>Subtotal without GS and HDS</i>	<i>5,440,000</i>	<i>4,160,365</i>	<i>4,160,365</i>			
Growing States - Approximate	233,957	159,175	159,175			
High Density States - Approximate	340,000	232,500	232,500			
Total Including Growing/High Density States	6,013,957	4,552,040	4,552,040			
Appropriation Level						
Bus Basic Over 1,000,000 Population	2,192,927	1,656,866	1,656,866			
Bus Basic 200,000 to 1,000,000 Population	795,119	600,752	600,752			
Bus Basic Less Than 200,000 Population	507,008	383,070	383,070			
Bus Incentive	302,753	228,745	228,745			
Fixed-Guideway Basic	1,570,101	1,186,290	1,186,290			
Fixed Guideway Incentive	72,092	54,469	54,469			
Small Transit Intensive Cities	0	41,517	41,517			
<i>Subtotal without GS and HDS</i>	<i>5,440,000</i>	<i>4,151,709</i>	<i>4,151,709</i>			
Growing States - Approximate	233,957	158,851	159,175			
High Density States - Approximate	340,000	232,016	232,500			
Total Including Growing/High Density States	6,013,957	4,542,577	4,543,384			

(a) Authorized by the American Recovery and Reinvestment Act of 2009 (ARRA), P.L. 111-5, see page 42.

(b) Authorized by SAFETEA-LU extension acts, see page 56.

[Rural] Other Than Urbanized Area Formula Program, 49 USC 5311: These funds are apportioned to states for use in areas other than urbanized areas, normally referred to as "rural areas." This program is more commonly called the "rural formula program." Other Than Urbanized Area Formula Program funding levels are shown on Table 8.

Table 8: [Rural] Other Than Urbanized Area Formula Program Funding Levels (Thousands of Dollars)

Fiscal Year	Authorization	Final Appropriation	Fiscal Year	Authorization	Final Appropriation
2004	240,608	(a) 239,188	2009	465,000	465,000
2005	(b) 252,913	(c) 250,890	2009 ARRA (e)	680,000	680,000
2006	388,000	(d) 384,120	2010 Ext. (f)	465,000	464,033
2007	404,000	404,000	2011 Ext. (f)	465,000	464,033
2008	438,000	438,000			

(a) Includes government-wide reduction in the FY 2004 Consolidated Appropriations Act, P.L. 108-199. See page 41.

(b) Authorization amount from extension acts, reauthorized at "Final Appropriation" level by SAFETEA-LU.

(c) Includes government-wide reduction in the FY 2005 Consolidated Appropriations Act, P.L. 108-447. See page 41.

(d) Includes government-wide reduction in the FY 2006 Department of Defense Appropriations Act, P.L. 109-148. See page 42.

(e) Authorized by the American Recovery and Reinvestment Act of 2009 (ARRA), P.L. 111-5, see page 42.

(f) Authorized by SAFETEA-LU extension acts, see page 56.

The state governor may use these funds for any transit project in a rural area, that is, any area outside of an urbanized area. The funds may be used for capital purposes or operating purposes.

For FY 2004 and FY 2005 the entire program is apportioned by a formula based on the percentage that persons living outside of urbanized areas in each state is of the total of all persons living outside of urbanized areas in the United States. Beginning in FY 2006 only 80 percent of the program is distributed among the state based on population and the remaining 20 percent is distributed based on the percentage of land area outside of urbanized areas in each state is of the total of all land area outside of urbanized areas in the United States. Political units other than states such as Puerto Rico and U.S. Territories also receive funds except for the District of Columbia, which is entirely within an urbanized area. Distribution of funds within each state or other government unit is at the discretion of the governor.

The **Rural Transportation Assistance Program (RTAP), 49 USC 5311(b)(3)**, (also termed as the Rural Transit Assistance Program) also described below under Research Programs, is funded with a maximum of 2 percent takedown of 49 USC 5311 funds beginning in FY 2006. Formerly at 49 USC 5311(b)(2) and funded from Research funds in FY 2004 and FY 2005, RTAP apportions funds to states for research, technical assistance, training, and related support services to meet the needs of transit operators in rural areas.

A new SAFETEA-LU program, **Transit on Indian Reservations, 49 USC 5311(c)** is funded as a takedown from 49 USC 5311. The funds go to Indian Tribes for any purpose eligible under 49 USC 5311. The funds will be apportioned to Indian tribes rather than states, with the FTA developing apportionment criteria. This program is funded at \$8.0 million in FY 2006 growing to \$15.0 million in FY 2009 as reported on Table 9.

Also beginning in FY 2006 additional funds from 49 USC 5340 Growing States Formula program are distributed through the Rural program. These funds are treated as if they were a part of the Rural program and are apportioned with the Rural program funds as a single apportionment. Distribution of this program is described in a following section. Growing States funds for rural areas are estimated to be approximately 31.5 percent of Growing States funds based on amounts funded in the FY 2011 apportionment of appropriations. The amounts of Rural program funds including an estimated amount from the Growing States, RTAP, and Transit on Indian Reservations programs are is shown on Tables 9(a) and 9(b).

Table 9(a): Estimated Amounts Available for the "Rural" Formula Program including Amounts from the Growing States Program (Thousands of Dollars)

Formula Tier	FY 2004 (a)	FY 2005 (b,c)	FY 2006 (d)	FY 2007	FY 2008	FY 2009
Authorization Level						
Basic Rural Formula Funds	240,608	252,913	372,240	385,920	417,240	440,700
§ 5311(b)(3) RTAP Funds	0	0	7,760	8,080	8,760	9,300
§ 5311(c) Transit on Indian Reservations	0	0	8,000	10,000	12,000	15,000
<i>Subtotal without Growing States</i>	<i>240,608</i>	<i>252,913</i>	<i>388,000</i>	<i>404,000</i>	<i>438,000</i>	<i>465,000</i>
Growing States Funds - Approximate	0	0	60,534	63,031	68,841	73,204
Total Including Growing States - Approximate	240,608	252,913	448,534	467,031	506,841	538,204
Appropriation Level						
Rural Formula Funds	239,188	250,890	368,518	385,920	417,240	440,700
§ 5311(b)(3) RTAP Funds	0	0	7,682	8,080	8,760	9,300
§ 5311(c) Transit on Indian Reservations	0	0	7,920	10,000	12,000	15,000
<i>Subtotal without Growing States</i>	<i>239,188</i>	<i>250,890</i>	<i>384,120</i>	<i>404,000</i>	<i>438,000</i>	<i>465,000</i>
Growing States Funds - Approximate	0	0	59,929	63,031	68,841	73,204
Total Including Growing States - Approximate	239,188	250,890	444,049	467,031	506,841	538,204

(a) Includes government-wide reduction in the FY 2004 Consolidated Appropriations Act, P.L. 108-199. See page 41.

(b) Authorization amount from extension acts, reauthorized at "Final Appropriation" level by SAFETEA-LU.

(c) Appropriation includes government-wide reduction in the FY 2005 Consolidated Appropriations Act, P.L. 108-447. See page 41.

(d) Appropriation includes government-wide reduction in the FY 2006 Department of Defense Appropriations Act, P.L. 109-148. See page 42.

Table 9(b): Estimated Amounts Available for the "Rural" Formula Program including Amounts from the Growing States Program, continued. (Thousands of Dollars)

Formula Tier	FY 2009 ARRA (a)	FY 2010 Ext. (b)	FY 2011 Ext. (b)			
Authorization Level						
Basic Rural Formula Funds	663,000	440,700	440,700			
§ 5311(b)(3) RTAP Funds	---	9,300	9,300			
§ 5311(c) Transit on Indian Reservations	17,000	15,000	15,000			
<i>Subtotal without Growing States</i>	<i>680,000</i>	<i>465,000</i>	<i>465,000</i>			
Growing States Funds - Approximate	106,043	73,325	73,325			
Total Including Growing States - Approximate	786,043	538,325	538,325			
Appropriation Level						
Rural Formula Funds	663,000	439,783	439,783			
§ 5311(b)(3) RTAP Funds	---	9,281	9,281			
§ 5311(c) Transit on Indian Reservations	17,000	14,969	14,969			
<i>Subtotal without Growing States</i>	<i>680,000</i>	<i>464,033</i>	<i>464,033</i>			
Growing States Funds - Approximate	106,043	73,165	73,325			
Total Including Growing States - Approximate	786,043	537,198	537,358			

(a) Authorized by the American Recovery and Reinvestment Act of 2009 (ARRA), P.L. 111-5, see page 42.

(b) Authorized by SAFETEA-LU extension acts, see page 56.

Growing States and High Density States Formula Programs, 49 USC 5340: Growing States funds are apportioned through the Urbanized Area, 49 USC 5307, and "Rural" Other than Urbanized Area, 49 USC 5311, programs as part of the apportionments of those programs. High Density States funds are apportioned only through the Urbanized Area, 59 USC 5307 program. The Growing States and High Density States Formula Programs function as if they were additional tiers for the apportionment of Urbanized Area and Rural funds. The programs are newly created under SAFETEA-LU and are first effective in FY 2006. There are two distinct formulas, each distribution is one-half of the total appropriation for the combined programs as shown on Tables 10(a) and 10(b).

Table 10(a): Growing States and High Density States Formula Program Funding Levels (Thousands of Dollars)

Formula Tier	FY 2004	FY 2005	FY 2006 (a)	FY 2007	FY 2008	FY 2009
Authorization Level						
Growing States Formula Program	No Program		194,000	202,000	219,000	232,500
High Density States Formula Program	No Program		194,000	202,000	219,000	232,500
Total 49 USC 5340 Formula Program	No Program		388,000	404,000	438,000	465,000
Appropriation Level						
Growing States Formula Program	No Program		192,060	202,000	219,000	232,500
High Density States Formula Program	No Program		192,060	202,000	219,000	232,500
Total 49 USC 5340 Formula Program	No Program		384,120	404,000	438,000	465,000

(a) Appropriation includes government-wide reduction in the FY 2006 Department of Defense Appropriations Act, P.L. 109-148. See page 42.

Table 10(b): Growing States and High Density States Formula Program Funding Levels, continued. (Thousands of Dollars)

Formula Tier	FY 2009 ARRA (a)	FY 2010 Ext. (b)	FY 2011 Ext. (b)			
Authorization Level						
Growing States Formula Program	340,000	232,500	232,500			
High Density States Formula Program	340,000	232,500	232,500			
Total 49 USC 5340 Formula Program	680,000	465,000	465,000			
Appropriation Level						
Growing States Formula Program	340,000	232,016	232,016			
High Density States Formula Program	340,000	232,016	232,016			
Total 49 USC 5340 Formula Program	680,000	464,033	464,033			

(a) Authorized by the American Recovery and Reinvestment Act of 2009 (ARRA), P.L. 111-5, see page 42.

(b) Authorized by SAFETEA-LU extension acts, see page 56.

The Growing States Formula Program, 49 USC 5340(c), receives 50 percent of the total funds for 49 USC 5340. Funds are apportioned among states based on population of each state forecast to 15 years beyond the most recent U.S. Census as a portion of the total forecast population for the States. Subapportionments between rural areas and urbanized areas within each state are made based on population. Approximately 68.5 percent of these funds were apportioned to urbanized areas and 31.5 percent to rural areas based in the FY 2011 apportionment of appropriations. Apportionments of the urbanized area amount within a state to the individual urbanized areas in that state are also based on urbanized area population for the portion each urbanized area in the state is of the population of all urbanized areas in the state.

The High Density States Formula Program, 49 USC 5340(d), receives 50 percent of the total funds for 40 USC 5340. Funds are apportioned to states that have a population greater than 370 persons per square mile. Seven states currently have population densities exceeding that level: Massachusetts, Rhode Island, Connecticut, New York, New Jersey, Delaware, and Maryland. The apportionment for each state is equal to that state's share of the United States total of an amount calculated as follows: (1) the total land area in square miles of each state is multiplied by 370; (2) that amount is multiplied by the percentage of the state's population in urbanized areas as a portion of the state's total population, (3) the new amount is then subtracted from the population of the state in urbanized areas, and (4) this new amount is totaled for all states. Each state receives an apportionment based on its portion of the total calculated for all states. Funds under this program are only distributed to urbanized areas.

Elderly Individuals and Individuals with Disabilities Formula Program, 49 USC 5310: These funds are apportioned to states, the District of Columbia, Puerto Rico, and U.S. territories using a formula based on elderly and disabled population. The funds may be distributed within each state to private non-profit corporations or associations providing mass transportation services for the elderly and disabled, or public bodies coordinating such service or providing service where no non-profit service is available. Funds may be used for capital equipment, contracted service, and state administrative costs. Program funding levels are shown on Table 11.

Table 11: Elderly Individuals and Individuals with Disabilities Funding Levels (Thousands of Dollars)

Fiscal Year	Authorization	Final Appropriation	Fiscal Year	Authorization	Final Appropriation
2004	90,653	(a) 90,118	2008	127,000	127,000
2005	(b) 95,289	(c) 94,527	2009	133,500	133,500
2006	112,000	(d) 110,880	2010 Ext. (e)	133,500	133,222
2007	117,000	117,000	2011 Ext. (e)	133,500	133,222

(a) Includes government-wide reduction in the FY 2004 Consolidated Appropriations Act, P.L. 108-199. See page 41.

(b) Authorization amount from extension acts, reauthorized at "Final Appropriation" level by SAFETEA-LU.

(f) Includes government-wide reduction in the FY 2005 Consolidated Appropriations Act, P.L. 108-447. See page 41.

(d) Includes government-wide reduction in the FY 2006 Department of Defense Appropriations Act, P.L. 109-148. See page 42.

(e) Authorized by SAFETEA-LU extension acts, see page 56.

New Freedom Program, 49 USC 5317: The New Freedom program provides formula funding for new transportation services and public transportation alternatives beyond those required by ADA to assist persons with disabilities. Funds are available for associated capital and operating costs. Newly created under SAFETEA-LU and effective in FY 2006, funding is apportioned using a formula based on the population of disabled people in a state, with 60 percent of the funds apportioned to urbanized areas with populations larger than 200,000, 20 percent to states for use in urbanized areas of fewer than 200,000 persons, and 20 percent to states for use in rural areas. Funds will be made available to transit systems and the states. The program contains language mandating coordination of transportation services with other federal human service programs. Beginning in FY 2007 projects must be included in a locally-developed human service coordinated transportation plan. New Freedom program funding levels are shown on Table 12.

Table 12: New Freedom Funding Levels (Thousands of Dollars)

Fiscal Year	Authorization	Final Appropriation	Fiscal Year	Authorization	Final Appropriation
2004	No Program		2008	87,500	87,500
2005	No Program		2009	92,500	92,500
2006	78,000	(a) 77,220	2010 Ext. (b)	92,500	92,308
2007	81,000	81,000	2011 Ext. (b)	92,500	92,308

(a) Includes government-wide reduction in the FY 2006 Department of Defense Appropriations Act, P.L. 109-148. See page 42.

(b) Authorized by SAFETEA-LU extension acts, see page 56.

Clean Fuels Formula Program, 49 USC 5308: The Clean Fuels program was newly created by TEA 21 to promote the change of motor bus propulsion systems to fuels that produce lower amounts of air pollutant emissions. Clean Fuels program funding levels are shown on Table 13.

Funds are provided for the purchase of clean fuels buses, which include buses fueled by compressed natural gas, liquefied natural gas, biodiesel fuels, batteries, alcohol-based fuels, hybrid electric, fuel cell, clean diesel, or other low or zero emissions technology. No more than 25 percent of annual grant funding can be used for clean diesel vehicles. Through FY 2005 the law provided for the apportionment of grant funds under a formula where transit agencies in air quality non-attainment areas were to apply for grants by January 1 of each year. In fact, however, these funds were transferred to the Bus and Bus Facilities Capital program during the appropriations process and allocated by Congress as part of the Bus Capital funds. Beginning in FY 2006 SAFETEA-LU makes the funds discretionary and distributes grants under the Bus Capital program. In FY 2011 these funds were not allocated by Congress in legislation or report language with final allocation by the FTA.

Table 13: Clean Fuels Formula Program Funding Levels (Thousands of Dollars)

Fiscal Year	Authorization	Final Appropriation	Fiscal Year	Authorization	Final Appropriation
2004	50,000	(a) 49,710	2008	49,000	49,000
2005	(b) 50,000	(c) 49,600	2009	51,500	51,500
2006	43,000	(d) 42,570	2010 Ext. (e)	51,500	51,393
2007	45,000	45,000	2011 Ext. (e)	51,500	51,393

(a) Includes government-wide reduction in the FY 2004 Consolidated Appropriations Act, P.L. 108-199. See page 41.

(b) Authorization amount from extension acts, reauthorized at "Final Appropriation" level by SAFETEA-LU.

(c) Includes government-wide reduction in the FY 2005 Consolidated Appropriations Act, P.L. 108-447. See page 41.

(d) Includes government-wide reduction in the FY 2006 Department of Defense Appropriations Act, P.L. 109-148. See page 42.

(e) Authorized by SAFETEA-LU extension acts, see page 56.

Clean Fuels Program funds were authorized in both the Formula Program and the Capital Investment Program through FY 2005, \$50 million from the formula program and \$50 million from the capital investment program each year from FY 1999 through FY 2004 and \$49.6 million from the formula program and \$49.6 million from the capital investment program in FY 2005 in SAFETEA-LU.

Alaska Railroad, 49 USC 5338(a)(1)(C)(i) and 5338(a)(2)(C)(i): Newly created by TEA 21, Alaska Railroad funds were authorized as a takedown from formula funds before apportionment of the urbanized area, rural, and elderly individuals and individuals with disabilities programs through FY 2005. The funds are for improvements to the Alaska Railroad's passenger operations and are administered under provisions of Section 5307, the Urbanized Area Formula Program. Funding levels are shown on Table 14.

The Alaska Railroad takedown is eliminated in SAFETEA-LU but the Alaska Railroad is made eligible to receive and have data counted for apportionment of Urbanized Area Formula funds beginning in FY 2006.

Table 14: Alaska Railroad Funding Levels (Thousands of Dollars)

Fiscal Year	Authorization	Final Appropriation	Fiscal Year	Authorization	Final Appropriation
2004	4,850	(a) 4,821	2008	No Program	
2005	(b) 4,850	(c) 4,811	2009	No Program	
2006	No Program		2010	No Program	
2007	No Program		2011	No Program	

(a) Includes government-wide reduction in the FY 2004 Consolidated Appropriations Act, P.L. 108-199. See page 41.

(b) Authorization amount from extension acts, reauthorized at "Final Appropriation" level by SAFETEA-LU.

(c) Includes government-wide reduction in the FY 2005 Consolidated Appropriations Act, P.L. 108-447. See page 41.

Alternative Transportation in Parks and Public Lands, 49 USC 5320: SAFETEA-LU establishes a new program to develop public transportation in National Parks effective in FY 2006. The program is intended to improve mobility and reduce congestion and pollution. The Departments of Transportation and Interior will work cooperatively to develop and select capital or planning projects. Eligible areas are federally owned or managed parks, refuges, or recreational areas that are open to the general public, including National Park System areas, National Wildlife Refuge System areas, Bureau of Land Management recreational areas, Bureau of Reclamation recreation areas, and National Forest System areas.

Eligible projects include rolling stock that incorporates clean fuel technology; the deployment of alternative transportation vehicles that introduce innovative technologies or methods; capital costs of coordinating the Federal land management agency public transportation systems with other public transportation systems; nonmotorized transportation systems such as pedestrian, bicycle, and nonmotorized watercraft facilities; waterborne access within or in the vicinity of an eligible area; and any other alternative transportation project that meets requirements to enhance the environment and other standards. Funding levels for the program are shown on Table 15.

Table 15: Alternative Transportation in Parks and Public Lands Funding Levels (Thousands of Dollars)

Fiscal Year	Authorization	Final Appropriation	Fiscal Year	Authorization	Final Appropriation
2004	No Program		2008	25,000	25,000
2005	No Program		2009	26,900	26,900
2006	22,000	(a) 21,780	2010 Ext. (b)	26,900	26,844
2007	23,000	23,000	2011 Ext. (b)	26,900	26,844

(a) Includes government-wide reduction in the FY 2006 Department of Defense Appropriations Act, P.L. 109-148. See page 42.

(b) Authorized by SAFETEA-LU extension acts, see page 56.

Over-the-Road Bus Accessibility Program, P.L. 105-178 Section 3038: Created by TEA 21, the name of the program was changed from Rural Transportation Accessibility Incentive (RTAI) to Over-the-Road Bus Accessibility by SAFETEA-LU. Over-the-Road Bus funds are provided for incremental costs of capital and training for complying with the requirements of the Americans with Disabilities Act. Grant recipients are selected by the Federal Transit Administration based on a series of criteria that include need for service and commitment of the grant applicant.

The funds are authorized in two programs defined by type of carrier. Intercity, Fixed-Route Over-the-Road Bus Service grants are available for any regularly scheduled, relatively long distance service, using over-the-road type buses. Other Over-the-Road Bus Service grants are available for any service using over-the-road type buses including local fixed-route service, commuter service, and charter and tour service. Funding levels are shown for both RTAI programs on Table 16.

Table 16: Over-the-Road Bus Accessibility Funding Levels (Thousands of Dollars)

Fiscal Year	Authorization	Final Appropriation	Fiscal Year	Authorization	Final Appropriation
Intercity, Fixed-Route Over-the-Road Bus Service					
2004	5,250	(a) 5,219	2008	6,225	6,225
2005	(b) 5,250	(c) 5,208	2009	6,600	6,600
2006	5,625	(d) 5,569	2010 Ext. (e)	6,600	6,586
2007	5,700	5,700	2011 Ext. (e)	6,600	6,586
Other Over-the-Road Bus Service					
2004	1,700	(a) 1,690	2008	2,075	2,075
2005	(b) 1,700	(c) 1,686	2009	2,200	2,200
2006	1,875	(d) 1,856	2010 Ext. (e)	2,200	2,196
2007	1,900	1,900	2011 Ext. (e)	2,200	2,196
Total Over-the-Road Bus Accessibility Program					
2004	6,950	(a) 6,909	2008	8,300	8,300
2005	(b) 6,950	(c) 6,894	2009	8,800	8,800
2006	7,500	(d) 7,425	2010 Ext. (e)	8,800	8,782
2007	7,600	7,600	2011 Ext. (e)	8,800	8,782

(a) Includes government-wide reduction in the FY 2004 Consolidated Appropriations Act, P.L. 108-199. See page 41.

(b) Authorization amount from extension acts, reauthorized at "Final Appropriation" level by SAFETEA-LU.

(c) Includes government-wide reduction in the FY 2005 Consolidated Appropriations Act, P.L. 108-447. See page 41.

(d) Includes government-wide reduction in the FY 2006 Department of Defense Appropriations Act, P.L. 109-148. See page 42.

(e) Authorized by SAFETEA-LU extension acts, see page 56.

CAPITAL INVESTMENT PROGRAMS

The Capital Investment Program provides funds for large projects that cannot be funded from a transit agency's formula apportionment. There are five capital investment programs: (1) Fixed-Guideway New Starts and Extensions, (2) Fixed-Guideway Modernization, and (3) Bus and Bus Facilities, which are in effect from FY 2004 through FY 2009; and the limited year programs (4) Alternatives Analysis from FY 2006 through FY 2009 and (5) Clean Fuels in FY 2004 and FY 2005. This is a categorization of capital programs based on 49 USC program provisions which differ from a categorization based on authorized amounts in 49 USC 5338(b). For an explanation of this contrast see "Grouping of Funding Programs: Formula, Capital Investment, and Other Programs" in an earlier section. The previous two authorization laws had specified capital program funding at 40 percent for Fixed-Guideway New Starts and Extensions, 40 percent for Fixed-Guideway Modernization, and 20 percent for Bus and Bus Facilities. TEA 21 extension acts and SAFETEA-LU provided specific amounts for each year from FY 2004 through FY 2009 for these programs with the calculated authorized ratios shown on Table 17(a). For comparative purposes only, the ratios for ARRA and SAFETEA-LU extensions are shown on Table 17(b).

Table 17(a): Authorized Funding Shares of Total Capital Funding for New Starts and Extensions, Fixed Guideway Modernization, and Bus and Bus Facilities Capital Programs.

Formula Tier	FY 2004	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009
Authorization Level						
New Starts and Extensions	42.87%	44.07%	40.44%	40.47%	40.50%	40.57%
Fixed-Guideway Modernization	39.08%	36.93%	37.43%	37.42%	37.40%	37.37%
Bus and Bus Facilities	18.05%	19.00%	22.13%	22.11%	22.10%	22.06%
Total Major Capital Programs	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%

Table 17(b): Authorized Funding Shares of Total Capital Funding for New Starts and Extensions, Fixed Guideway Modernization, and Bus and Bus Facilities Capital Programs, continued.

Formula Tier	FY 2009 ARRA (a)	FY 2010 Ext. (b)	FY 2011 Ext. (b)			
Authorization Level						
New Starts and Extensions	50.00%	43.01%	43.01%			
Fixed-Guideway Modernization	50.00%	35.83%	35.83%			
Bus and Bus Facilities	0.00%	21.16%	21.16%			
Total Major Capital Programs	100.00%	100.00%	100.00%			

(a) Authorized by the American Recovery and Reinvestment Act of 2009 (ARRA), P.L. 111-5, see page 42.

(b) Authorized by SAFETEA-LU extension acts, see page 56.

Allocated Funding for Fixed-Guideway New Starts and Extensions, 49 USC 5309(m)(1)(B) [FY 2004], 49 USC 5309(m)(1)(A) [FY 2005], and 49 USC 5309(m)(2)(A) [FY 2006-2009]: New Starts and Extensions funds provide the federal share of new fixed-guideway projects, either new systems or extensions to existing systems. New start projects have included busways and bus rapid transit, heavy rail systems, light rail systems, automated guideway transit systems, vintage trolleys, ferries, and commuter railroads.

New Start funds were allocated in annual appropriations laws by earmarks from FY 2004 through FY 2010. FY 2011 appropriations do not include New Starts allocations. The allocations were subsequently made by the Department of Transportation. Projects eligible for funding in annual appropriations law from FY 2005 through FY 2009 are earmarked in the SAFETEA-LU authorization. Construction funding (not including planning, analysis, and other pre-construction funding) for New Start projects is generally provided only after the federal government reviews a project and enters into a contingent funding commitment known as a Full Funding Grant Agreement (FFGA). Alternative Analysis funding is also provided under a separate program described below beginning in FY 2006. New starts and extensions funding levels are shown on Table 18.

Table 18: New Starts and Extensions Funding Levels (Thousands of Dollars)

Fiscal Year	Authorization	Final Appropriation	Fiscal Year	Authorization	Final Appropriation
2004	1,323,794	(a) 1,315,984	2009	1,809,250	1,809,250
2005	(b) 1,449,425	(c) 1,437,830	2009 ARRA (e)	750,000	750,000
2006	1,503,000	(d) 1,487,970	2010 Ext. (f)	2,000,000	2,000,000
2007	1,566,000	1,566,000	2011 Ext. (f,g)	2,000,000	1,596,800
2008	1,700,000	1,569,092			

(a) Includes government-wide reduction in the FY 2004 Consolidated Appropriations Act, P.L. 108-199. See page 41.

(b) Authorization amount from extension acts, reauthorized at "Final Appropriation" level by SAFETEA-LU.

(c) Includes government-wide reduction in the FY 2005 Consolidated Appropriations Act, P.L. 108-447. See page 41.

(d) Includes government-wide reduction in the FY 2006 Department of Defense Appropriations Act, P.L. 109-148. See page 42.

(e) Authorized by the American Recovery and Reinvestment Act of 2009 (ARRA), P.L. 111-5, see page 42.

(f) Authorized by SAFETEA-LU extension acts, see page 56.

(g) Includes government-wide rescission in the FY 2011 Department of Defense and Full-Year Continuing Appropriations Act, P.L. 112-10. See page 42.

A takedown of funds reserved only for small starts is effective beginning in FY 2007. The provision, "Capital Investment Grants Less Than \$75,000,000" at 49 USC 5309(e), provides funding for smaller projects with a federal New Starts share of less than \$75 million, including streetcar, trolley, bus rapid transit if a substantial portion of the project operates in a separate right of way in a defined corridor dedicated for public transit use during peak hours or it has other characteristics of a fixed guideway system, and commuter rail projects. Individual Small Starts projects may not have a total cost of more than \$250 million, including the maximum of \$75 million in New Starts funds. Simplified procedures and criteria apply to the program. The program is funded with a \$200 million takedown from the New Starts apportionment annually beginning in FY 2007. Amounts have not been specified in SAFETEA-LU extension acts. Funding for "Regular" New Starts and "Small" Starts is compared on Tables 19(a) and 19(b).

Table 19(a): Amounts Available for New Starts and Extensions and "Small" Starts (Thousands of Dollars)

Formula Tier	FY 2004	FY 2005 (a)	FY 2006	FY 2007	FY 2008	FY 2009
Authorization Level						
"Regular" New Starts and Extensions	1,323,794	1,449,425	1,503,000	1,366,000	1,500,000	1,609,250
"Small" Starts Less Than \$75 Million Minimum	0	0	0	200,000	200,000	200,000
Total New Starts and Extensions	1,323,794	1,449,425	1,503,000	1,566,000	1,700,000	1,809,250
Appropriation Level						
"Regular" New Starts and Extensions	1,315,984	1,437,830	1,487,970	1,366,000	---	---
"Small" Starts Less Than \$75 Million Minimum	0	0	0	200,000	---	---
Total New Starts and Extensions	1,315,984	1,437,830	1,487,970	1,566,000	1,569,092	1,809,250

(a) FY 2005 authorization amount from extension acts, reauthorized at "Final Appropriation" level by SAFETEA-LU.

Table 19(b): Amounts Available for New Starts and Extensions and "Small" Starts, continued. (Thousands of Dollars)

Formula Tier	FY 2009 ARRA (a)	FY 2010 Ext. (b)	FY 2011 Ext. (b)			
Authorization Level						
"Regular" New Starts and Extensions	---	---	---			
"Small" Starts Less Than \$75 Million Minimum	---	---	---			
Total New Starts and Extensions	750,000	2,000,000	2,000,000			
Appropriation Level						
"Regular" New Starts and Extensions	---	---	---			
"Small" Starts Less Than \$75 Million Minimum	---	---	---			
Total New Starts and Extensions	750,000	2,000,000	1,596,800			

(a) Authorized by the American Recovery and Reinvestment Act of 2009 (ARRA), P.L. 111-5, see page 42.

(b) Authorized by SAFETEA-LU extension acts, see page 56.

Formula Funding for Fixed-Guideway Modernization, 49 USC 5309(m)(1)(A) [FY 2004], 49 USC 5309(m)(1)(B) [FY 2005], and 49 USC 5309(m)(2)(B) [FY 2006-2009]: The Fixed-Guideway Modernization program (also referred to as the rail modernization program) provides funds to modernize and rehabilitate fixed-guideway transit systems. Fixed-Guideway Modernization includes all fixed-guideway modes; exclusive busways, trolley coach, ferry boat, and all types of rail transit. Fixed-Guideway Modernization funding levels are shown on Table 20.

Table 20: Fixed-Guideway Modernization Funding Levels (Thousands of Dollars)

Fiscal Year	Authorization	Final Appropriation	Fiscal Year	Authorization	Final Appropriation
2004	1,206,506	(a) 1,199,388	2009	1,666,500	1,666,500
2005	(b) 1,214,400	(c) 1,204,685	2009 ARRA (e)	750,000	750,000
2006	1,391,000	(d) 1,329,802	2010 Ext. (f)	1,666,500	1,663,033
2007	1,448,000	1,448,000	2011 Ext. (f)	1,666,500	1,633,033
2008	1,570,000	1,570,000			

(a) Includes government-wide reduction in the FY 2004 Consolidated Appropriations Act, P.L. 108-199. See page 41.

(b) Authorization amount from extension acts, reauthorized at "Final Appropriation" level by SAFETEA-LU.

(c) Includes government-wide reduction in the FY 2005 Consolidated Appropriations Act, P.L. 108-447. See page 41.

(d) Includes government-wide reduction in the FY 2006 Department of Defense Appropriations Act, P.L. 109-148. See page 42.

(e) Authorized by the American Recovery and Reinvestment Act of 2009 (ARRA), P.L. 111-5, see page 42.

(f) Authorized by SAFETEA-LU extension acts, see page 56.

Fixed-Guideway Modernization Formula Funds Recipients: Fixed-Guideway Modernization Formula Funds recipient urbanized areas are classified in two groups. The first group, called "Old Areas," includes eleven urbanized areas or subareas with older fixed-guideway systems built with no federal funding or incidental federal assistance. The Fixed-Guideway Modernization program was designed to bring these rail systems up to modern operational standards. The eleven areas are: Baltimore (commuter railroad only), Boston, Chicago/Northwestern Indiana, Cleveland, New Orleans, New York, Northeastern New Jersey, Philadelphia/Southern New Jersey, Pittsburgh, San Francisco, and Southwestern Connecticut.

The second group, called "New Areas," includes all areas with fixed-guideway systems at least seven years old that are not "Old Areas." New Areas first became eligible for Fixed-Guideway Modernization funds under ISTEA in 1992. The FY 2011 Fixed-Guideway Modernization apportionment included 52 new areas.

Fixed-Guideway Modernization Formula Funds Distribution Method: Funds are apportioned through a seven-tier formula. The tiers are funded in order in the appropriations process; any shortfall below authorized levels

would be taken from the seventh tier first, then from the sixth tier, and then from subsequent tiers in reverse numerical order. Under SAFETEA-LU Fixed-Guideway Modernization funds decline from 39.08 percent of 49 USC 5309 Capital Investment authorizations in FY 2005 to 37.43 percent in FY 2006 and 37.37 percent in FY 2009. In FY 2011 Fixed-Guideway Modernization is 35.83 percent of 49 USC 5307 authorized funds.

Tier 1: The first \$497.7 million is distributed to the eleven Old Area recipients in the following fixed amounts: Baltimore \$8,372,000; Boston \$38,948,000; Chicago/Northwestern Indiana \$78,169,000; Cleveland \$9,509,500; New Orleans \$1,730,588; New York \$176,034,461; Northeastern New Jersey \$50,604,653; Philadelphia/Southern New Jersey \$58,924,764; Pittsburgh \$13,662,463; San Francisco \$33,989,571; and Southwestern Connecticut \$27,755,000.

Tier 2: Of the next \$70.0 million: \$35.0 million for the Old Areas listed in Tier 1 and \$35.0 million to all New Areas. Within the two groups funds are distributed using Urbanized Area Formula Fixed-Guideway Basic Tier factors.

Tier 3: Of the next \$5.7 million: Pittsburgh \$3,520,320; Cleveland \$611,610; New Orleans \$330,030; and \$1,238,040 distributed to New Areas using Urbanized Area Formula Fixed-Guideway Basic Tier factors.

Tier 4: The next \$186.6 million is to distributed to all areas, both Old Areas and New Areas, in a single calculation using Urbanized Area Formula Fixed-Guideway Basic Tier factors.

Tier 5: Of the next \$70.0 million: 65 percent or \$45.5 million for Old Areas and 35 percent or \$24.5 million for New Areas. Within the two groups funds are distributed using Urbanized Area Formula Fixed-Guideway Basic Tier factors.

Tier 6: Of the next \$50.0 million: 60 percent or \$30.0 million for Old Areas and 40 percent or \$20.0 million for New Areas. Within the two groups funds are distributed using Urbanized Area Formula Fixed-Guideway Basic Tier factors.

Tier 7: Of all remaining amounts appropriated: 50 percent to Old Areas and 50 percent to New Areas. Within the two groups funds are distributed using Urbanized Area Formula Fixed-Guideway Basic Tier factors.

Data Sources and Restrictions: Data for formula calculations are taken from the National Transit Database. Data only for route segments used to calculate FY 1997 apportionments are used for New Areas in Tiers 2 and 3 and for all areas in Tier 4 calculations. Data only for route segments at least seven years old before the fiscal year in which apportionments are made are used for calculations of Tiers 5 through 7. Funds that accrue to the Old Areas and New Areas are shown for each tier and cumulatively on Table 21.

Table 21: Cumulative Fixed-Guideway Modernization Funding for Old and New Areas by Tier

Tier	Total Funding		Funding For Tier				Cumulative Funding			
	in Tier Only (Millions)	Cumulative End of Tier (Millions)	Old Areas		New Areas		Old Areas		New Areas	
			Dollars (Millions)	Percent of Total	Dollars (Millions)	Percent of Total	Dollars (Millions)	Percent of Total	Dollars (Millions)	Percent of Total
1	497.7	497.7	497.7	100.0%	0.0	0.0%	497.7	100.0%	0.0	0.0%
2	70.0	567.7	35.0	50.0%	35.0	50.0%	532.7	93.8%	35.0	6.2%
3	5.7	573.4	4.5	78.3%	1.2	21.7%	537.2	93.7%	36.2	6.3%
4 (note a)	186.6	760.0	146.8	78.7%	39.8	21.3%	684.0	90.0%	76.0	10.0%
5	70.0	830.0	45.5	65.0%	24.5	35.0%	729.5	87.9%	100.5	12.1%
6	50.0	880.0	30.0	60.0%	20.0	40.0%	759.5	86.3%	120.5	13.7%
7 (note b)	769.8	1,649.8 (c)	384.9	50.0%	384.9	50.0%	1,144.4	69.4%	505.5	30.6%

(a) Using percentage distribution calculated from FY 2005 apportionment data.

(b) At authorized funding level for FY 2009.

(c) \$1,666.5 authorization level for FY 2009 minus 1.0 percent Project Management Oversight takedown. Additional appropriations above this amount would continue to be distributed under the provisions of Tier 7.

Allocated Funding for Bus and Bus Facility Capital, 49 USC 5309(m)(1)(C) [FY 2004-2005] and 49 USC 5309(m)(2)(C) [FY 2006-2009]: The Bus and Bus Facility Capital program provides funds to purchase buses and bus related equipment including the construction of maintenance and other facilities. TEA 21 extensions included an annual takedown of \$50 million for the Clean Fuel program in FY 2003 and FY 2004. Clean Fuels funding is described in the Clean Fuels program under Formula Funding Programs.

Table 22: Bus Capital Funding (EXCLUDING ALL CLEAN FUELS FUNDS) Levels (Thousands of Dollars)

Fiscal Year	Authorization	Final Appropriation	Fiscal Year	Authorization	Final Appropriation
2004	557,200	(a) 573,795	2008	927,750	(e) 823,053
2005	(b) 625,000	(c) 620,000	2009	984,000	884,000
2006	822,250	(d) 814,028	2010 Ext. (f)	984,000	981,953
2007	855,500	855,500	2011 Ext. (f)	984,000	981,953

(a) Includes government-wide reduction in the FY 2004 Consolidated Appropriations Act, P.L. 108-199 and transfer of \$20 million (reduced to \$19.882 million) from the Job Access and Reverse Commute Program to the Capital Investment Program for Bus Capital. See page 41.

(b) Authorization amount from extension acts, reauthorized at "Final Appropriation" level by SAFETEA-LU.

(c) Includes government-wide reduction in the FY 2005 Consolidated Appropriations Act, P.L. 108-447. See page 41.

(d) Includes government-wide reduction in the FY 2006 Department of Defense Appropriations Act, P.L. 109-148. See page 42.

(e) Includes rescission in the FY 2008 Consolidated Appropriations Act, P.L. 110-161. See page 42.

(f) Authorized by SAFETEA-LU extension acts, see page 56.

Neither the \$50 million Formula Clean Fuels nor the \$50 million Bus Capital Clean Fuels amounts for FY 2004 and FY 2005 are included with Bus and Bus Facility funding levels shown on Table 22, but both are included with Bus and Bus Facility funding levels shown on Table 23. From FY 1993 through FY 2008 almost the entire bus capital appropriation was earmarked during the appropriation process. SAFETEA-LU includes authorization allocations for approximately one-half of bus capital funds for FY 2006 through FY 2009.

Table 23: Bus Capital Funding (INCLUDING CLEAN FUELS FUNDS FROM FORMULA FUNDS AND FROM BUS AND BUS FACILITY CAPITAL FUNDS) Levels (Thousands of Dollars)

Fiscal Year	Authorization	Final Appropriation	Fiscal Year	Authorization	Final Appropriation
2004	657,200	(a) 673,205	2008	976,750	(e) 872,053
2005	(b) 725,000	(c) 719,200	2009	1,035,500	935,500
2006	865,250	(d) 838,990	2010 Ext. (f)	1,035,500	1,033,346
2007	900,500	900,500	2011 Ext. (f)	1,035,500	1,033,346

(a) Includes government-wide reduction in the FY 2004 Consolidated Appropriations Act, P.L. 108-199 and transfer of \$20 million (reduced to \$19.882 million) from the Job Access and Reverse Commute Program to the Capital Investment Program for Bus Capital. See page 41.

(b) Authorization amount from extension acts, reauthorized at "Final Appropriation" level by SAFETEA-LU.

(c) Includes government-wide reduction in the FY 2005 Consolidated Appropriations Act, P.L. 108-447. See page 41.

(d) Includes government-wide reduction in the FY 2006 Department of Defense Appropriations Act, P.L. 109-148. See page 42. Only \$24.962 million in Clean Fuels Formula Funds were transferred to Bus Capital Funding.

(e) Includes rescission in the FY 2008 Consolidated Appropriations Act, P.L. 110-161. See page 42.

(f) Authorized by SAFETEA-LU extension acts, see page 56.

Alternatives Analysis, 49 USC 5339: A new Alternatives Analysis program provides \$25 million annually beginning in FY 2006 for new fixed guideway investment alternatives analyses. Earmarks are included for FY 2006 and FY 2007 and are shown in Appendix Three. Alternatives Analysis funding levels are shown on Table 24.

Table 24: Alternatives Analysis Funding Levels (Thousands of Dollars)

Fiscal Year	Authorization	Final Appropriation	Fiscal Year	Authorization	Final Appropriation
2004	No Program		2008	25,000	(b) 24,691
2005	No Program		2009	26,900	25,000
2006	22,000	(a) 21,780	2010 Ext. (c)	25,000	24,948
2007	23,000	23,000	2011 Ext. (c)	25,000	24,948

(a) Includes government-wide reduction in the FY 2006 Department of Defense Appropriations Act, P.L. 109-148. See page 42.

(b) Includes rescission in the FY 2008 Consolidated Appropriations Act, P.L. 110-161. See page 42.

(c) Authorized by SAFETEA-LU extension acts, see page 56.

Clean Fuels, 49 USC 5308: Clean Fuels program funds are authorized in both the Formula program for FY 2004 through FY 2009 and the Capital Investment program for FY 2004 and FY 2005. A description of the program is included in the preceding section about Formula programs.

OTHER SAFETEA-LU TRANSIT FUNDING PROGRAMS

The Federal Transit Administration administers several other funding programs authorized by 49 USC and other legislation.

Planning, 49 USC 5305: A new section 5305 created in SAFETEA-LU contains general provisions applicable to planning programs for both transit and highways but continues the current division of planning authorization between Metropolitan Planning and Statewide Planning. The law requires the Federal Transit Administration and Federal Highway Administration to issue final planning regulations by August 10, 2006. Total Planning funding levels are shown on Table 25. Grants may be awarded to States, authorities of the States, metropolitan planning organizations, and local governmental authorities, and agreements may be made with other departments, agencies, or instrumentalities of government to develop transportation plans and programs, plan, engineer, design, and evaluate a public transportation project; and conduct technical studies relating to public transportation. Eligible activities include studies related to management, planning, operations, capital requirements, and economic feasibility, evaluation of previously financed projects, peer reviews and exchanges of technical data, information, assistance, and related activities in support of planning and environmental

analyses among metropolitan planning organizations and other transportation planners, and other similar and related activities preliminary to and in preparation for constructing, acquiring, or improving the operation of facilities and equipment.

Table 25: Planning Funding Levels (Thousands of Dollars)

Fiscal Year	Authorization	Final Appropriation	Fiscal Year	Authorization	Final Appropriation
2004	73,000	(a) 72,569	2008	107,000	107,000
2005	(b) 73,000	(c) 72,416	2009	113,500	113,500
2006	95,000	(d) 94,500	2010 Ext. (e)	113,500	113,264
2007	99,000	99,000	2011 Ext. (e)	113,500	113,264

(a) Includes government-wide reduction in the FY 2004 Consolidated Appropriations Act, P.L. 108-199. See page 41.

(b) Authorization amount from extension acts, reauthorized at "Final Appropriation" level by SAFETEA-LU.

(c) Includes government-wide reduction in the FY 2005 Consolidated Appropriations Act, P.L. 108-447. See page 41.

(d) Includes government-wide reduction in the FY 2006 Department of Defense Appropriations Act, P.L. 109-148. See page 42.

(e) Authorized by SAFETEA-LU extension acts, see page 56.

The Metropolitan Transportation Planning Program, 49 USC 5303, apportions funds to states for distribution to Metropolitan Planning Organizations (MPOs) in urbanized areas. All provisions for Metropolitan Planning are consolidated in a new section 5303 under SAFETEA-LU. There is a requirement for separate transportation plans and transportation improvement programs. The Long Range Transportation Plan and the Transportation Improvement Program are to be updated every four years. Provisions regarding Transportation Management Areas (TMAs) are included in the metropolitan transportation planning section. Metropolitan Planning Organizations (MPOs) are encouraged to consult or coordinate with planning officials responsible for other types of planning activities affected by transportation. Safety and security are new factors to be included in metropolitan planning. In developing a Long Range Transportation Plan, MPOs will be required to include transit agencies in making funding estimates; consult with state and local agencies responsible for land use management, natural resources, environmental protection, conservation, and historic preservation; and have a participation plan that provides reasonable opportunities for all parties' comments. TMAs must be certified every four years. Program updates of state or MPO plans shall reflect these changes by July 1, 2007. Funds for the Metropolitan Transportation Planning Program are shown on Tables 26(a) and 26(b).

The Statewide Transportation Planning Program, 49 USC 5304, apportions funds to states for planning purposes. SAFETEA-LU consolidates statewide planning requirements in a new section 5304. States are allowed to enter into agreements for the purpose of planning cooperation and coordination for projects with multi-State implications. States must consider the economic vitality for rural areas as well as urbanized areas in statewide transportation planning. The Statewide Transportation Improvement Program (STIP) must be updated every four years. Safety and security are factors to be included in statewide planning. Funds for the Statewide Transportation Planning Program are shown on Tables 26(a) and 26(b).

Table 26(a): Suballocated Planning Programs Funding Levels (Thousands of Dollars)

Suballocated Program	FY 2004	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009
Authorization						
Metropolitan Transportation Planning	60,386	(b) 60,386	78,584	81,893	88,510	93,887
Statewide Transportation Planning	12,614	(b) 12,614	16,416	17,107	18,490	19,613
Final Appropriation Level						
Metropolitan Transportation Planning	(a) 60,029	(c) 59,903	(d) 77,798	81,893	88,510	93,887
Statewide Transportation Planning	(a) 12,540	(c) 12,513	(d) 16,252	17,107	18,490	19,613

(a) Includes government-wide reduction in the FY 2004 Consolidated Appropriations Act, P.L. 108-199. See page 41.

(b) Authorization amount from extension acts, reauthorized at "Final Appropriation" level by SAFETEA-LU.

(c) Includes government-wide reduction in the FY 2005 Consolidated Appropriations Act, P.L. 108-447. See page 41.

(d) Includes government-wide reduction in the FY 2006 Department of Defense Appropriations Act, P.L. 109-148. See page 42.

Table 26(b): Suballocated Planning Programs Funding Levels (Thousands of Dollars)

Suballocated Program	FY 2010 Ext. (e)	FY 2011 Ext. (e)				
Authorization						
Metropolitan Transportation Planning	93,887	93,887				
Statewide Transportation Planning	19,613	19,613				
Final Appropriation Level						
Metropolitan Transportation Planning	93,692	93,692				
Statewide Transportation Planning	19,572	19,572				

(e) Authorized by SAFETEA-LU extension acts, see page 56.

Research, 49 USC 5311(b)(3), 5313(a), 5314, 5315, and 5506: Research authorizations include funding for five programs for all or part of the FY 2004 through FY 2009 period. Three programs are in effect for the entire FY 2004 through FY 2009 period: 49 USC 5313(a) Transit Cooperative Research Program (TCRP), 49 USC 5314 National Planning and Research Programs, and 49 USC 5315 National Transit Institute; one program is in effect only in FY 2004 and FY 2005: 49 USC 5311(b)(2) Rural Transportation Assistance Program; and one program is only in effect only from FY 2006 through FY 2009: 49 USC 5506 University Centers. Combined funding levels for all research programs are shown on Table 27. The suballocation of research funds is shown on Tables 28(a) and 28(b).

Table 27: Research Funding Levels (Millions of Dollars)

Fiscal Year	Authorization	Final Appropriation	Fiscal Year	Authorization	Final Appropriation
2004	53,000	(a) 52,687	2008	65,500	65,363
2005	(b) 55,000	(c) 54,560	2009	69,750	67,000
2006	58,000	(d) 77,448	2010 Ext. (e)	69,750	65,670
2007	61,000	61,000	2011 Ext. (e)	69,750	58,882

(a) Includes government-wide reduction in the FY 2004 Consolidated Appropriations Act, P.L. 108-199. See page 41.

(b) Authorization amount from extension acts, reauthorized at "Final Appropriation" level by SAFETEA-LU.

(c) Includes government-wide reduction in the FY 2005 Consolidated Appropriations Act, P.L. 108-447. See page 41.

(d) Includes government-wide reduction in the FY 2006 Department of Defense Appropriations Act, P.L. 109-148. See page 42.

(e) Authorized by SAFETEA-LU extension acts, see page 56.

The Rural Transportation Assistance Program (RTAP), 49 USC 5311(b)(2) in FY 2004 and FY 2005 (becomes 49 USC 5311(b)(3) beginning in FY 2006), (also termed the Rural Transit Assistance Program) apportions funds to states for research, technical assistance, training, and related support services to meet the needs of transit operators in rural areas. Beginning in FY 2006, the RTAP program is funded from a maximum of 2 percent of the 49 USC 5311 "Rural" program and is listed in authorizations for that program in a previous section.

Transportation Cooperative Research Program (TCRP), 49 USC 5313(a), funds are used for national transit research, development, and technology transfer activities.

The National Planning and Research Program (NPR), 49 USC 5314, distributes funds for planning, technical studies and assistance, demonstrations, management training, research, special demonstration initiatives, and other special programs. Authorities to use appropriated funds are provided at 49 USC 5314(a)(2) for "a contract with a national nonprofit organization serving individuals with disabilities" for Americans with Disabilities Act associated research and demonstrations, \$3 million each fiscal year, and at 49 USC 5314(c) for the National Technical Assistance Center for Senior Transportation, \$1 million each fiscal year.

The National Transit Institute (NTI), 49 USC 5315, conducts educational and training programs for transit and other government employees.

The University Centers Program, 49 USC 5506, funds transportation research, disseminate the results of that research, and provides transportation related training. Section 5506 includes that part of 49 USC 5505

University Transportation Research program that had been funded from transit authorizations prior to FY 2006. 49 USC 5505 is listed separately below.

Table 28(a): Suballocated Research Programs Funding Levels (Thousands of Dollars)

Suballocated Program	FY 2004	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009
Authorization						
Rural Transportation Assistance Program	5,250	(b) 5,250	Funded in 49 USC 5311			
Transit Cooperative Research Program	8,250	(b) 8,250	9,000	9,300	9,600	10,000
National Transit Institute	4,000	(b) 4,000	4,300	4,300	4,300	4,300
University Centers	Separate Program		7,000	7,000	7,000	7,000
National Planning and Research	35,500	(b) 37,500	37,700	40,400	44,600	48,450
Final Appropriation Level						
Rural Transportation Assistance Program	(a) 5,219	(c) 5,208	Funded in 49 USC 5311			
Transit Cooperative Research Program	(a) 8,201	(c) 8,184	(d) 8,910	9,300	9,300	10,000
National Transit Institute	(a) 3,976	(c) 3,968	(d) 4,257	4,300	4,300	4,300
University Centers	Separate Program		(d) 6,930	7,000	7,000	7,000
National Planning and Research	(a) 35,291	(c) 37,200	(d) 54,351	40,400	44,763	45,700

(a) Includes government-wide reduction in the FY 2004 Consolidated Appropriations Act, P.L. 108-199. See page 41.

(b) Authorization amount from extension acts, reauthorized at "Final Appropriation" level by SAFETEA-LU.

(c) Includes government-wide reduction in the FY 2005 Consolidated Appropriations Act, P.L. 108-447. See page 41.

(d) Includes government-wide reduction in the FY 2006 Department of Defense Appropriations Act, P.L. 109-148. See page 42.

Table 28(b): Suballocated Research Programs Funding Levels, continued. (Thousands of Dollars)

Suballocated Program	FY 2010 Ext. (a)	FY 2011 Ext. (a)				
Authorization						
Rural Transportation Assistance Program	Funded in 49 USC 5311					
Transit Cooperative Research Program	10,000	10,000				
National Transit Institute	4,300	4,300				
University Centers	7,000	7,000				
National Planning and Research	48,450	48,450				
Final Appropriation Level						
Rural Transportation Assistance Program	Funded in 49 USC 5311					
Transit Cooperative Research Program	10,000	10,000				
National Transit Institute	4,300	4,300				
University Centers	7,000	7,000				
National Planning and Research	44,370	37,582				

(a) Authorized by SAFETEA-LU extension acts, see page 56.

Job Access and Reverse Commute, 49 USC 5316: The Job Access and Reverse Commute Program funds the capital and operating costs of equipment, facilities, and associated capital maintenance items related to providing access to jobs, promoting transit use by workers with non-traditional work schedules, promoting the use of vouchers by appropriate agencies, the purchase or lease of vehicles for shuttle service at suburban locations, costs associated with adding reverse commute service or to otherwise facilitate transportation to suburban job opportunities, and promoting the use of employee provided transportation and transit pass benefits. Planning and coordination activities are not eligible. Program funding levels are shown on Table 29.

Table 29: Job Access and Reverse Commute Funding Levels (Thousands of Dollars)

Fiscal Year	Authorization	Final Appropriation	Fiscal Year	Authorization	Final Appropriation
2004	125,000	(a) 104,380	2008	156,000	156,000
2005	(b) 125,000	(c) 124,000	2009	164,500	164,500
2006	138,000	(d) 136,620	2010 Ext. (e)	164,500	164,158
2007	144,000	144,000	2011 Ext. (e)	164,500	164,158

(a) Includes government-wide reduction in the FY 2004 Consolidated Appropriations Act, P.L. 108-199 and transfer of \$20 million (reduced to \$19.882 million) from the Job Access and Reverse Commute Program to the Capital Investment Program for Bus Capital. See page 41.

(b) Authorization amount from extension acts, reauthorized at "Final Appropriation" level by SAFETEA-LU.

(c) Includes government-wide reduction in the FY 2005 Consolidated Appropriations Act, P.L. 108-447. See page 41.

(d) Includes government-wide reduction in the FY 2006 Department of Defense Appropriations Act, P.L. 109-148. See page 42.

(e) Authorized by SAFETEA-LU extension acts, see page 56.

Grants can be made to local governmental authorities and agencies or nonprofit organizations, selected by Metropolitan Planning Organizations in urbanized areas of at least 200,000 populations and selected by the chief executive officer of the state for urbanized areas under 200,000 population.

Until FY 2006, funds were awarded on a competitive basis, with some amounts allocated by the FTA but most funds allocated in Congressional appropriations, with consideration given to several factors including percentage of the population that are welfare recipients, need for additional services, coordination and use of existing services, proposal of innovative approaches, and other factors. Beginning in FY 2006 funds are apportioned by a formula based on ratios involving the number of eligible low income persons and welfare recipients with 60 percent of funds going to urbanized areas with 200,000 or more population, 20 percent for urbanized areas with fewer than 200,000 population, and 20 percent to rural areas. The matching ratio is 50 percent federal and 50 percent state and local but federal funds from non-Department of Transportation programs can be used for the state and local match.

University Transportation Research, 49 USC 5505: University Transportation Research centers conduct transportation research, disseminate the results of that research, and provide transportation related training. Beginning in FY 2006 the portions of 49 USC 5505 that are funded through this program are moved to a new 49 USC 5506 and are funded through transit Research as described in a previous section. Program funding levels are shown on Table 30.

Table 30: University Transportation Research Funding Levels (Thousands of Dollars)

Fiscal Year	Authorization	Final Appropriation	Fiscal Year	Authorization	Final Appropriation
2004	6,000	(a) 5,965	2008	Part of Research Funding	
2005	(b) 6,000	(c) 5,952	2009	Part of Research Funding	
2006	Part of Research Funding		2010	Part of Research Funding	
2007	Part of Research Funding		2011	Part of Research Funding	

(a) Includes government-wide reduction in the FY 2004 Consolidated Appropriations Act, P.L. 108-199. See page 41.

(b) Authorization amount from extension acts, reauthorized at "Final Appropriation" level by SAFETEA-LU.

(c) Includes government-wide reduction in the FY 2005 Consolidated Appropriations Act, P.L. 108-447. See page 41.

National Transit Database, 49 USC 5335: These funds provide for FTA costs associated with maintenance of the National Transit Database (NTD). NTD funding levels are shown on Table 31.

Table 31: National Transit Database Funding Levels (Thousands of Dollars)

Fiscal Year	Authorization	Final Appropriation	Fiscal Year	Authorization	Final Appropriation
2004	No Program		2008	3,500	3,500
2005	No Program		2009	3,500	3,500
2006	3,500	3,465 (a)	2010 Ext. (b)	3,500	3,493
2007	3,500	3,500	2011 Ext. (b)	3,500	3,493

(a) Includes government-wide reduction in the FY 2006 Department of Defense Appropriations Act, P.L. 109-148. See page 42.

(b) Authorized by SAFETEA-LU extension acts, see page 56.

Federal Transit Administration Operations, 49 USC 5334: These funds provide for Federal Transit Administration operating costs related to administration of federal transit grant programs. FTA operations funding levels are shown on Table 32.

Table 32: Federal Transit Administration Operations Funding Levels (Thousands of Dollars)

Fiscal Year	Authorization	Final Appropriation	Fiscal Year	Authorization	Final Appropriation
2004	75,500	(a) 75,055	2008	92,500	89,300
2005	(b) 78,000	(c) 77,376	2009	98,500	94,413
2006	82,000	(d) 79,200	2010 Ext. (e)	98,911	98,911
2007	85,000	85,000	2011 Ext. (e)	98,911	98,713

(a) Includes government-wide reduction in the FY 2004 Consolidated Appropriations Act, P.L. 108-199. See page 41.

(b) Authorization amount from extension acts, reauthorized at "Final Appropriation" level by SAFETEA-LU.

(c) Includes government-wide reduction in the FY 2005 Consolidated Appropriations Act, P.L. 108-447. See page 41.

(d) Includes government-wide reduction in the FY 2006 Department of Defense Appropriations Act, P.L. 109-148. See page 42.

(e) Authorized by SAFETEA-LU extension acts, see page 56.

Project Management Oversight (PMO), 49 USC 5327: The FTA may retain funds from a portion of grant amounts to make contracts to oversee construction of major projects. In FY 2004 and FY 2005 up to 0.5 percent of Urbanized Area and Rural Formula appropriations and 1.0 percent of Capital Investment appropriations were retained for PMO uses. The amount retained was sometimes less than the prescribed maximum and unused formula funds were reapportioned in subsequent years. Beginning in FY 2006 the PMO takedown increases to 0.75 percent for section 5307 Urbanized Area Formula funds and is set at 1.0 percent for section 5309 Capital Investment programs. New 0.5 percent PMO takedowns will apply to section 5305 Planning, section 5310 Elderly Persons and Persons with Disabilities, and section 5320 Alternative Transportation in Parks and Public Lands programs. The 0.5 percent PMO takedown for section 5311 Rural funds remains the same.

RESCISSIONS AND FUNDING CHANGES IN APPROPRIATION LAWS

FY 2004 Consolidated Appropriations Act, Reduction of Appropriations, P.L. 108-199: The FY 2004 Consolidated Appropriations Act, Section 168 of Division H, required a government-wide across-the-board reduction of 0.59 percent for FY 2004 appropriations. Reductions were made by the FTA to funds for all transit programs.

FY 2005 Consolidated Appropriations Act, Reduction of Appropriations, P.L. 108-447: The FY 2005 Consolidated Appropriations Act, Section 122 of Division J, required a government-wide across-the-board reduction of 0.80 percent for FY 2005 appropriations. Reductions were made by the FTA to funds for all transit programs. These reduced amounts were the levels subsequently authorized by the Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU) when it became law on August 10, 2005.

FY 2006 Department of Defense Appropriations Act, Reduction of Appropriations, P.L. 109-148: The FY 2006 Department of Defense Appropriations Act, Chapter 8 of Title III, required a government-wide across-the-board reduction of 1.0 percent for FY 2006 appropriations. Reductions were made by the FTA to all transit programs.

FY 2008 Consolidated Appropriations Act, Rescission of Obligation Limitations, P.L. 110-161: The FY 2008 Consolidated Appropriations Act rescinded obligations limitations in Section 172 of \$104,697,038 for Bus and Bus Capital Funding and in Section 173 of \$308,900 for Alternatives Analysis.

FY 2011 Department of Defense and Full-Year Continuing Appropriations Act, P.L. 112-10: The FY 2011 Continuing Appropriations, at Section 1119 rescinded 0.2 percent of the budget authority provided in Division B of that Act or in advance appropriations for FY 2011. The rescission does not apply to appropriations funded from the Highway Trust Fund.

TRANSIT FUNDING PROGRAMS AUTHORIZED BY
LEGISLATION OTHER THAN SAFETEA-LU
(NOT AUTHORIZED BY SAFETEA-LU)

AMERICAN RECOVERY AND REINVESTMENT ACT OF 2009

American Recovery and Reinvestment Act of 2009: The American Recovery and Reinvestment Act of 2009 (ARRA), P.L. 111-5, February 17, 2009, provides additional funds for transit. The ARRA was enacted in order to stimulate the economy. The ARRA appropriated a total of \$787 billion including \$48 billion for transportation of which \$8.4 billion was specifically for transit capital investment. Transit funds were directed to seven programs. Over \$7.5 billion or nearly 90 percent of the funds were apportioned through existing Federal Transit Administration formula programs with amounts available to recipients published in the Federal Register in early March 2009. The remaining \$867 million was distributed through discretionary grants by the FTA. ARRA grants could have up to a 100 percent federal share.

ARRA funds are in addition to funds provided under the regular, on-going FTA program authorized by SAFETEA-LU. They do not replace or substitute for those funds. Table 33 shows the magnitude of the ARRA appropriation by comparing it the FY 2009 Federal Transit Assistance appropriation.

Table 33: American Recovery and Reinvestment Act of 2009 (ARRA) Compared to the FY 2009 Federal Transit Administration Appropriation Under SAFETEA-LU

Program	ARRA Transit Appropriation	FY 2009 FTA Appropriation	ARRA as a Percentage of FY 2009 Appropriation
	(Millions)	(Millions)	(Percent)
Urbanized Area Formula	5,440.0	4,160.4	130.8%
Nonurbanized Area "Rural" Formula	663.0	440.7	150.4%
Growing States and High Density States	680.0	465.0	146.2%
Fixed-Guideway Modernization	750.0	1,666.5	45.0%
New Starts and Extensions	750.0	1,809.2	41.5%
Public Transportation on Indian Reservations	17.0	15.0	113.3%
Reducing Energy Consumption and Greenhouse Gas Emissions (TIGGER)	100.0	---	---
Other Programs	---	1,674.4	---
Total	8,400.0	10,231.2	82.1%

Overall, the ARRA equals 82 percent of the value of FY 2009 FTA appropriations. The funds are concentrated

in formula programs which provide funds throughout the transit industry for any eligible capital purpose, thereby allowing agencies to use the funds as quickly as possible for their most needed investments.

The ARRA also included \$150 million additional funds to the Department of Homeland Security to fund Operational Packages and capital security projects. Operational packages include capital, training, and operating funds for canine teams, explosives detection Screening Teams, and anti-terrorism teams. The \$150 million is equal to 38.6 percent of the FY 2009 Transportation Security Administration appropriation for transit security as described in the following section.

ARRA appropriations included two programs continued into the following fiscal years. The Reducing Energy Consumption and Greenhouse Gas Emissions program, later identified as "Transit Investments for Greenhouse Gas and Energy Reduction (TIGGER) Program" was part of the ARRA "Federal Transit Administration, Transit Capital Assistance" section; ARRA does not have section and paragraph number/letter identification. TIGGER funds are for "discretionary grants to public transit agencies for capital investments that will assist in reducing the energy consumption or greenhouse gas emissions of their public transportation systems." Funding amounts for TIGGER are shown on Table 34.

An additional program, later identified as "Transportation Investment Generating Economic Recovery (TIGER)", was provided in the ARRA in the section identified as "Department of Transportation, Office of the Secretary, Supplemental Grants for a National Surface Transportation System." A total of \$1.5 billion for all modes of transportation was made available for highway, bridge, transit, port, and freight and passenger railroad grants "that will have a significant impact on the Nation, a metropolitan area, or a region." TIGER grants are discretionary. This program was continued in FY 2010 with \$600 million available for all modes (know as TIGER II) and in FY 2011 with \$527 million available for all modes (expected to be known as TIGER III). FY 2010 and FY 2011 grants provide a federal match of up to 80 percent. Funding amounts for TIGER are shown on Table 34. Tiger is a program administered by the U.S. DOT Office of the Secretary; it is not an FTA program. *These TIGER amounts are not included in historical or other tables in this report outside of this section.*

Table 34: Continuing ARRA Created Funding Programs (Thousands of Dollars)

Suballocated Program	FY 2009 ARRA	FY 2010 (a)	FY 2011 (b)	
Authorization				
Reducing Energy Consumption and Greenhouse Gas Emissions (TIGGER)	100,000	75,000	50,000	
Transportation Investment Generating Economic Recovery (TIGER)	(c)	(d)	(e)	
Final Appropriation Level				
Reducing Energy Consumption and Greenhouse Gas Emissions (TIGGER)	100,000	75,000	(f) 49,900	
Transportation Investment Generating Economic Recovery (TIGER)	(c)	(d)	(e)	

(a) Funded Public Law 111-117, December 22, 2010.

(b) Funded Public Law 112-10, April 15, 2011.

(c) \$1.5 billion appropriated for all modes of surface transportation; amount for transit results from discretionary grant selection.

(d) \$600 million appropriated for all modes of surface transportation; amount for transit results from discretionary grant selection.

(e) \$527 million appropriated for all modes of surface transportation; amount for transit results from discretionary grant selection.

(f) Includes government-wide rescission in the FY 2011 Department of Defense and Full-Year Continuing Appropriations Act, P.L. 112-10. See page 42.

DEPARTMENT OF HOMELAND SECURITY(DHS)

Department of Homeland Security (DHS) Authorizations and Appropriations: Funding was first provided for transit security uses in the Emergency Wartime Supplemental Appropriations Act of 2003, P.L. 108-11, April 16, 2003, when \$65 million was allocated to transit agencies from the appropriation for high-density, high-threat urban areas. During the SAFETEA-LU time period transit has been allocated funding annually from the DHS appropriations. From the Department of Homeland Security Appropriations Act of 2004, P.L. 108-90, October 1,

2003, \$50 million from the appropriation for high-density, high-threat urban areas was allocated to transit agencies. From the Department of Homeland Security Appropriations Act 2005, P.L. 108-334, October 18, 2004, an appropriation of \$150 million was provided for transit, intercity passenger rail transportation, and freight rail security grants. Of the \$150 million FY 2005 appropriation, \$130 million was allocated to transit agencies and an additional \$5 million was allocated from another section of the Appropriations Act for ferries that are operated by transit agencies. From the Department of Homeland Security Appropriations Act 2006, P.L. 109-90, October 18, 2005, an appropriation of \$150 million was provided for transit, intercity passenger rail transportation, and freight rail security grants. All funds are allocated by the DHS. These amounts are shown on Table 35. The amounts on Table 35 are not adjusted for rescissions *and are not included in any other summary table in this report.*

These funds can be used for security related planning, organizational activities, equipment acquisitions, training, exercises, and management and administration. Allowable expenditures in each of these categories are detailed in the DHS Transit Security Grant Program Guidelines and Application Kit. Eligible applicants include owners and operators of public transit systems.

Table 35: Department of Homeland Security Funding Levels for Transit (Thousands of Dollars)(a)

Fiscal Year	Authorization	Appropriation	Fiscal Year	Authorization	Appropriation
2004	Not Authorized	50,000 Allocated	2009	750,000	388,600
2005	Not Authorized	135,000 Allocated	2009 ARRA (e)	150,000	150,000
2006	Not Authorized	(b) Up to 150,000	2010	900,000	253,438
2007	Such Sums as Are Necessary	(c) 171,780	2011	1,100,000	(f) 249.5
2008	650,000	(d) 388,600			

(a) Amounts are not adjusted for rescissions.

(b) Includes amounts for transit, intercity passenger rail, and freight rail.

(c) Includes \$155,650,568 for rail and intercity bus, \$8,309,537 for Amtrak, and \$7,830,000 for ferry systems.

(d) Includes \$312,000,000 for rail, intercity bus and ferry, \$36,600,000 for rail and intercity bus, \$25,000,000 for Intercity Passenger Rail (Amtrak), and \$15,000,000 for freight rail.

(e) Authorized by the American Recovery and Reinvestment Act of 2009 (ARRA), P.L. 111-5, see page 40.

(f) Includes government-wide rescission in the FY 2011 Department of Defense and Full-Year Continuing Appropriations Act, P.L. 112-10. See page 42.

P.L. 110-53, the Implementing Recommendations of the 9/11 Commission Act of 2007 became law on August 3, 2007. Title 14, the National Transit Systems Security Act of 2007 provided authorizations for transit security grants from FY 2007 through FY 2011. FY 2007 and FY 2008 appropriations include specific amounts for rail transit, intercity bus, intercity rail, ferry boats, and freight rail as reported in notes to Table 35. The appropriated amount for FY 2007 was \$171.78 million, for FY 2008 was \$388.6 million, for FY 2009 was \$388.6 million, for FY 2010 was \$150.0 million, and for FY 2011 was . *These DHS amounts are not included in historical or other tables in this report outside of this section.*

FLEXIBLE FUNDING FOR TRANSIT

HIGHWAY FUNDING PROVISIONS

Title I of SAFETEA-LU, Federal-Aid Highways, authorizes funding for highway programs from FY 2005 through FY 2009. As with the transit program description above, this section treats TEA 21 extension acts that funded the highway program during FY 2004 as a part of the FY 2004 through FY 2009 SAFETEA-LU period. All or portions of several highway programs are "flexible programs" where funds can be transferred or "flexed" to transit uses. Most law affecting highway funding is codified as Title 23 of the United States Code.

Authorization Levels: The highway funding process differs from the transit process. Nearly all highway funds come from the Highway Trust Fund (HTF). HTF amounts authorized in TEA 21 extensions and SAFETEA-LU are contract authority, shown in Column B on Table 36. TEA 21 extensions and SAFETEA-LU also set two other limits, obligation ceilings and guaranteed funding levels. Obligation ceilings are the maximum amount of obligation limitations that can be appropriated in any year. An obligation limitation sets a "limit" on the maximum amount of authorized funds that can be obligated during the fiscal year. The obligation ceilings shown in Column C of Table 36 apply only to a subset of specific authorized programs; other highway programs are exempt from the ceiling on obligations.

The highway program also has guaranteed funds analogous to the guaranteed funds in the transit program. Those funds are shown in Column D on Table 36. They are higher than the obligation ceiling to guarantee funding for programs funded by General Revenues. Beginning in FY 2000 the guaranteed funds have also included a Revenue Aligned Budget Authority (RABA) provision. The RABA program is described in the next section.

Revenue Aligned Budget Authority, 23 USC 110: Revenue Aligned Budget Authority (RABA) provides a mechanism to adjust the guaranteed level of highway funding in response to changes in revenue accrued in the Highway Account of the Highway Trust Fund. The RABA process does not affect transit guarantees.

Table 36: Federal-Aid Highways Authorizations, Obligation Ceilings, and Guaranteed Funding Levels (Millions of Dollars)

Fiscal Year	Authorization (a)	Obligation Limitations (b)	Guaranteed Funding Level (c)	Appropriation (d)
(Column A)	(Column B)	(Column C)	(Column D)	(Column E)
2004	34,606.0	33,843.0	34,545.1 (e)	34,545.1
2005	37,109.0	34,422.4	31,562.0 + RABA	35,833.9
2006	38,127.7	36,032.3	33,712.0 + RABA	37,945.0
2007	40,447.1	38,244.2	34,623.0 + RABA	39,086.5
2008	41,824.6	39,585.1	35,449.0 + RABA	41,216.1
2009	41,982.0	41,200.0	36,220.0 + RABA	40,700.0
2009 ARRA	27,500.0	---	---	27,500.0
2010 (f)	41,982.0	41,107.0	---	41,107.0
2011 (g)	41,982.0	41,107.0	---	41,107.0

(a) P.L. 109-59, Section 1101 from 2005 to 2009; includes amount estimated by U.S. DOT for Equity Bonus program, excludes RABA.

(b) P.L. 109-59, Section 1102 from 2005 to 2009; excludes exempt obligations.

(c) P.L. 109-59, Section 8002 from 2005 to 2009; excludes exempt obligations.

(d) Total appropriation for Federal Highway Administration; includes appropriation of exempt obligations and general revenue appropriations.

(e) Appropriation level for FY 2004.

(f) Based on language in authorizing law, P.L. 111-147 and appropriations law, P.L. 111-117.

(g) Based on language in authorizing law, P.L. 112-5 and appropriations law, P.L. 112-10.

If Highway Account receipts exceed levels projected in P.L. 109-59 Section 8002, guarantees of limitations on obligations and authorizations of budget authority automatically increase. Conversely, if revenues are less than projected amounts, guarantees of limitations on obligations and authorizations of budget authority might be reduced. Under SAFETEA-LU a reduction caused by the RABA provision can only occur if the balance of the Highway Account of the HTF at the beginning of the fiscal year is less than \$6 billion.

If funding is increased, a portion is reserved for programs allocated by the Department of Transportation and the remainder is apportioned to programs for each state in the same proportions as authorizations exclusive of RABA are distributed. Any decrease in funding would likewise be taken from each highway program proportionately to the pre-RABA distribution.

FLEXIBILITY OF HIGHWAY FUNDS FOR TRANSIT USES

Flexibility Provisions of Highway Programs: Three programs can be used to directly fund transit projects. In two of those programs, the National Highway System (NHS) and the Congestion Mitigation and Air Quality Improvement Program (CMAQ), the funds can be used directly for specific transit projects that meet the criteria of the programs. In the third program, the Surface Transportation Program (STP), funds can be used for any project that meets criteria for funding under a Federal Transit Administration program. Of these programs, CMAQ and STP are the primary sources of transfers to transit uses.

Funds from the NHS, the Interstate Maintenance Program (IM), and the Bridge Program can be transferred to the Surface Transportation Program and then used for transit projects as if they were STP funds. Amounts from the Equity Bonus are distributed to the NHS, CMAQ, STP, IM, and Bridge programs and may then be flexed for transit uses. Although these funds are legally transferable for transit use, their primary use is for highway projects.

Any funds transferred from a highway program to a transit project will be administered by the Federal Transit Administration in the same manner as FTA funds as provided at 49 USC 5334(i), moved from 49 USC 5334(h) by SAFETEA-LU. Authorized transferable amounts from Federal-Aid Highway programs are shown on Table 37. Some transit funds are also transferable for highway uses under 49 USC 5307(b)(3).

Procedures and regulations for the transfer of funds are discussed in FTA Circulars C 9030.1D Urbanized Area Formula Program: Guidance and Application Instructions, Section II.9.a. on Page II-5, and C 9300.1B Capital Investment Program Guidance and Application Instructions, Section II.8.e. on Page II-11. These documents are available on the FTA web page under the category "Legislations, Regulations, and Guidance, FTA Circulars."

Table 37: TEA 21 Highway Funds Directly and Indirectly Flexible to Transit Uses (Millions of Dollars) (a)

Program	FY 2004 (b)	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	Six-Year Total
Congestion Mitigation and Air Quality Improvement	1,618.1	1,667.3	1,694.1	1,721.4	1,749.1	1,777.3	10,227.2
Surface Transportation Improvement	6,612.1	6,860.1	6,269.8	6,370.5	6,472.7	6,576.6	39,161.9
National Highway System	5,646.9	5,911.2	6,005.3	6,110.8	6,207.9	6,306.6	36,188.7
Interstate Maintenance, 50%	2,311.6	2,441.9	2,480.4	2,519.5	2,559.3	2,599.7	14,912.4
Bridge Program, 50%	1,985.3	2,093.9	2,126.8	2,160.2	2,194.2	2,228.7	12,789.0
Equity Bonus (c)	8,085.9	5,995.7	5,506.9	6,672.9	7,353.1	7,287.7	40,901.3
Total Directly and Indirectly Flexible Funds (c)	26,259.9	24,969.0	24,083.3	25,555.3	26,536.4	26,776.6	154,180.5
Not Flexible	8,346.1	12,140.0	14,044.5	14,981.8	15,288.3	15,205.4	79,916.0
Total Highway (Title I) Funds	34,606.0	37,109.0	38,127.7	40,447.1	41,824.6	41,982.0	234,096.5

Source: Calculated by APTA from amounts authorized in 49 USC 1101; some amounts are estimated.

(a) Amounts reported include takedowns of individual programs that may not be flexible, directly or indirectly, for transit projects. Authorized amounts only, excludes RABA and other appropriations in excess of authorization levels.

(b) Amounts for individual programs from FHWA "Notice, Supplementary Tables -- Apportionments Authorized for Fiscal Year (FY) 2004 Pursuant to the Surface Transportation Extension Act of 2003, as Amended by the Surface Transportation Extension Acts of 2004," March 21, 2005.

(c) Excludes estimated amount of Minimum Guarantee that would equal 50 percent of apportionment to Interstate Maintenance and Bridge Program that is not flexible to transit.

Highway Programs with Flexible or Transit Eligible Components: The following six sections describe those highway programs that have components that are either directly or indirectly flexible to transit uses.

Congestion Mitigation and Air Quality Improvement Program (CMAQ), 23 USC 149: The Congestion Mitigation and Air Quality Improvement Program provides funds for transit projects which are likely to contribute to the

attainment of, alone or as part of a program or strategy, a national ambient air quality standard; if the project or program has been included in a State Implementation Plan that has been approved pursuant to the Clean Air Act and the project will have air quality benefits; or if the U.S. DOT, after consultation with the Environmental Protection Agency, determines that the project or program is likely to contribute to the attainment of a national ambient air quality standard, whether through reductions in vehicle miles traveled, fuel consumption, or other factors.

Funds may be used in nonattainment areas and ozone, carbon monoxide, and particulate matter maintenance areas. States without eligible areas may use funds for STP projects. Up to 50 percent of an annual total national CMAQ appropriation in excess of \$1.35 billion may be transferred to STP, NHS, IM, Bridge, Highway Safety Improvement (HSIP), and Recreational Trails programs. SAFETEA-LU requires that states and MPOs give priority to diesel retrofit and other cost-effective emission reduction strategies.

Surface Transportation Program (STP), 23 USC 133: The Surface Transportation Program (STP) provides funds that, in addition to being used for highway projects, may be used for capital costs of transit projects eligible for assistance under the Federal Transit Act, publicly or privately owned vehicles or facilities used for intercity bus service, construction or reconstruction [to highways] necessary to accommodate other transportation modes, carpool projects, fringe and corridor parking facilities and programs, highway and transit safety improvements and programs, highway and transit research and development, and technology transfer programs.

STP funds are allocated in three categories: (a) the greater of 10 percent of the current apportionment or the amount set aside in FY 2005 is set aside for transportation enhancement; (b) 56.25 percent are suballocated to urbanized areas within each state with populations of 200,000 or more and all other areas of the state in proportion to the population in the urbanized areas and in all other areas; and (c) 33.75 percent suballocated for any area in the state. Funds transferred to STP from other highway programs are not subject to set asides or suballocations.

National Highway System (NHS), 23 USC 103(b): National Highway System (NHS) funds may be used for transit projects as part of a NHS project subject to the restrictions of the NHS. Up to 50 percent of NHS apportionments may be transferred to IM, STP, CMAQ, Recreational Trails, or Bridge programs. Up to 100 percent of NHS apportionments may be transferred to the STP with approval of the U.S. Secretary of Transportation.

Interstate Maintenance Program (IM), 23 USC 119: Up to 50 percent of Interstate Maintenance (IM) funds may be transferred to the NHS, STP, CMAQ, Recreational Trails, or Bridge programs. Transferred funds can be used for any transit project eligible for those programs.

Bridge Program, 23 USC 144: A state may transfer up to 50 percent of the state's apportionment under the Bridge Program to the state's apportionments for the NHS, IM, CMAQ, Recreational Trails, or the STP at 23 USC 126. Funds transferred may be used for any transit project eligible for those programs.

Equity Bonus, 23 USC 105: The Equity Bonus program distributes funds to states to ensure that each state's total aggregate apportionment from 14 specified programs is at least 90.5 percent of its percentage contribution to the Highway Account of the Highway Trust Fund in FY 2005 and FY 2006, 91.5 percent in FY 2007, and 92 percent in FY 2008 and FY 2009.

Each State's annual share of the first \$2.639 billion of the Equity Bonus is administered as STP funds without some sub-apportionment requirements. The remainder of each state's share is then apportioned to the IM, NHS, Bridge, CMAQ, HSIP, and STP programs proportionate to the state's share of pre-Equity Bonus apportionments.

Historical Use of Flexible Funding Programs: The amounts of funds actually transferred from highway programs to transit uses are reported on Table 38. The percentages are calculated by dividing the amounts

transferred by the appropriate highway authorization each fiscal year. The amount of highway funds available for obligation to these programs may have varied from the authorization level, hence the percentages are indicative rather than exact. Amounts for FY 2010 and FY 2011 include transfers from the American Recovery and Reinvestment Act of 2009 (ARRA). The percentages transferred for FY 2010 and FY 2011 are not reported on Table 38, Part 2 because the amounts transferred only from annual appropriations for those years are not identified.

Table 38, Part 1: Amount of Flexible Funds Transferred to Transit Uses, FY 1992 - FY 2008

Fiscal Year	Actual Flexible Funding Transfers to Transit			
	From CMAQ	From STP	From Other	Total
Funding Level (Millions of Dollars) (a)				
ISTEA Period:				
1992	177.0	25.2	101.6	303.8
1993	298.4	146.9	23.9	469.2
1994	317.0	183.2	109.5	609.7
1995	484.1	200.3	117.4	801.8
1996	344.6	324.2	111.3	780.1
1997	<u>257.9</u>	<u>185.4</u>	<u>48.3</u>	<u>491.6</u>
ISTEA Total	1,879.0	1,065.2	512.0	3,456.2
TEA 21 Period:				
1998	223.3	243.8	0.2	467.3
1999	573.0	384.4	11.8	969.2
2000	864.0	709.6	25.5	1,599.1
2001	633.1	532.1	68.2	1,233.4
2002	689.8	383.7	44.0	1,117.5
2003	<u>599.5</u>	<u>293.9</u>	<u>115.2</u>	<u>1,008.6</u>
TEA 21 Total	3,582.7	2,546.4	266.0	6,395.1
SAFETEA-LU Period:				
2004	659.8	285.2	35.9	980.9
2005	563.8	391.4	10.8	966.0
2006	650.5	665.9	9.1	1,325.5
2007	712.4	210.7	0.0	923.1
2008	617.1	277.2	0.0	894.3
2009 (b)	<u>634.6</u>	<u>646.0</u>	<u>0.0</u>	<u>1,280.6</u>
SAFETEA-LU Total	3,835.3	2,479.2	55.7	6,370.3
2010 (b)	724.6	730.3	0.0	1,454.9
Nineteen-Year Total	10,021.6	6,821.1	833.8	17,676.5

(a) Amounts refer to transfers of funds that occurred during each fiscal year.

(b) Includes funds authorized by the American Recovery and Reinvestment Act of 2009 (ARRA), P.L. 111-5 in addition to funds authorized by SAFETEA-LU and SAFETEA-LU extension acts.

Table 38 Part 2: Percent of Flexible Funds Transferred to Transit Uses, FY 1992 - FY 2008

Fiscal Year	Actual Flexible Funding Transfers to Transit			
	From CMAQ	From STP	From Other	Total
Percent of Authorized Flexible Funds That Were Transferred (a)				
ISTEA Period:				
1992	20.6 %	0.7 %	1.2 %	2.4 %
1993	29.0 %	3.6 %	0.2 %	3.2 %
1994	30.8 %	4.5 %	1.1 %	4.1 %
1995	47.1 %	4.9 %	1.2 %	5.4 %
1996	33.5 %	7.9 %	1.0 %	4.7 %
1997	<u>25.2 %</u>	<u>4.5 %</u>	<u>0.4 %</u>	<u>2.9 %</u>
ISTEA Total	31.3 %	4.5 %	0.8 %	3.8 %
TEA 21 Period:				
1998	18.7 %	5.1 %	(b)	2.6 %
1999	42.6 %	6.9 %	0.1 %	4.7 %
2000	63.6 %	12.7 %	0.2 %	7.7 %
2001	45.7 %	9.3 %	0.5 %	5.9 %
2002	49.0 %	6.6 %	0.3 %	5.2 %
2003	<u>41.8 %</u>	<u>5.0 %</u>	<u>0.8 %</u>	<u>4.6 %</u>
TEA 21 Total	45.3 %	7.6 %	0.3 %	5.3 %
SAFETEA-LU Period:				
2004	40.8 %	4.3 %	0.2 %	3.7 %
2005	33.8 %	5.7 %	0.1 %	3.9 %
2006	38.4 %	10.6 %	0.1 %	4.0 %
2007	40.7 %	3.3 %	0.0 %	3.5 %
2008	34.7 %	4.2 %	0.0 %	3.3 %
2009 (c)	---	---	---	---
SAFETEA-LU Total	---	---	---	---
2010 (c)	---	---	---	---
Nineteen-Year Total	---	---	---	---

(a) Figures refer to transfers of funds that occurred during each fiscal year. Percents are portions of funds that are directly or indirectly flexible as reported on Table 36, funds that are not flexible are not included in the calculation.

(b) Less than 0.05 %.

(c) Includes funds authorized by the American Recovery and Reinvestment Act of 2009 (ARRA), P.L. 111-5 in addition to funds authorized by SAFETEA-LU and SAFETEA-LU extensions acts, therefore the amounts available for transfer by year are not known..

APPENDIX ONE: GLOSSARY

Allocation: An allocation distributes appropriated funds among eligible recipients using methods other than formulas contained in authorizing legislation, such as Congressional earmarks or administrative procedures. For example, funds under the Fixed-Guideway New Starts and Extensions program and the Bus and Bus Facility Capital program are allocated.

Apportionment: An apportionment distributes appropriated funds among eligible recipients by a formula contained in authorizing legislation. For example, funds under the Urbanized Area Formula program, the Fixed-Guideway Modernization program, and the Elderly Individuals and Individuals with Disabilities program are apportioned. The publication of recipients and amounts for both apportioned and allocated funds in the Federal Register is also referred to as the "apportionment" or "apportionment tables."

Appropriation: An appropriation law provides authority for Federal agencies such as the Federal Transit Administration to incur obligations and to make payments out of the Treasury for specified purposes.

Authorization: An authorization law sets the maximum amount of funds that can be appropriated from budget authority or made available through limitations on obligations of contract authority annually for a period of years and makes programmatic changes to existing laws. SAFETEA-LU authorizes an annual limit on contract authority or new budget authority for the five-year period which it authorizes.

Budget Authority: New budget authority for transit is the total amount of funds appropriated annually to allow the federal government to incur financial obligations that will result in outlays for grants to recipients for transit programs or to make direct expenditures such as those to fund the operation of a government agency such as the Federal Transit Administration. Funding appropriated from trust funds can also be referred to as "new contract authority." Total available budget authority would include budget authority from prior years that has not yet been obligated.

Contract Authority: A type of budget authority that allows federal government agencies such as the Federal Highway Administration to make obligations in advance of an appropriation of liquidating funds or in anticipation of the collection of receipts for the liquidation of obligations. Programs funded from the Highway Trust Fund are funded through contract authority and the amount made available from an appropriation is set by placing a limitation on new obligations.

Flexible Funds: Flexible funds are funds from selected programs appropriated to the Federal Highway Administration that can be transferred to the Federal Transit Administration for use for transit projects under specific limitations and only at the request of state or local governments, or funds that were appropriated to the Federal Transit Administration and transferred to the Federal Highway Administration for use for highway projects, also under specific limitations and at the request of local government agencies.

General Revenues (or General Funds): Revenue that accrues to the federal government that is not credited to a specific account and is not limited to use for a particular purpose but can be used for any purpose.

Grant: The approval by the federal government of a particular project or purpose and the promise to pay a state or local government a specific amount money for that project upon its completion or at specified other times. A grant is also one type of "obligation" and "transit grants" are often referred to as "transit obligations."

Guaranteed Funding: A minimum level of funds that are guaranteed in an authorization law for appropriation each year.

Highway Account: The account within the Highway Trust Fund in which tax revenues are deposited to be used to fund Federal Highway Administration and other federal highway programs.

Highway Trust Fund: A trust fund where revenues for both the Highway Account and the Mass Transit Account are deposited. Funds from the Mass Transit Account and the Highway Account of the Highway Trust Fund are used to support federal transit and highway programs.

Mass Transit Account: The account within the Highway Trust Fund in which tax revenues to be used to fund Federal Transit Administration programs are deposited.

Obligation Limitation: A limitation in authorization law on the total amounts of obligations, commitments, or grants that can be made each year in an appropriation law.

Outlays: An outlay is the actual expenditure of federal funds by the Treasury to pay a grant or obligation or a debt incurred by the government.

Rescission: A reduction in the amount of funds under an already enacted appropriations law.

Rural Area: All areas not inside urbanized areas, formally known as "Other Than Urbanized Area."

Urbanized Area: An area designated during a decennial census that meets specific criteria including contiguous urban usage with a population of at least 50,000. Urbanized areas do not match local political boundaries and a single urbanized area may include portions that cross a state line and are in more than one state.

APPENDIX TWO: HISTORICAL TIME LINE OF THE FEDERAL TRANSIT ACT
AND OTHER LAWS AFFECTING PUBLIC TRANSPORTATION FUNDING
(Not Including Annual Appropriation Acts)

In 1964 the United States Congress found that "the welfare and vitality of urban areas, the satisfactory movement of people and goods within such areas, and the effectiveness of housing, urban renewal, highway, and other federally aided programs were being jeopardized by the deterioration or inadequate provision of urban transportation facilities and services. . . ." In response, Congress enacted the Urban Mass Transportation Act of 1964, which provided federal aid to transit agencies for capital equipment purchases.

Continuing this commitment into its fifth decade, Congress enacted the Safe, Accountable, Flexible, Efficient Transportation Equity Act - A Legacy for Users (SAFETEA-LU) in 2005. SAFETEA-LU authorizes higher levels of funding for public transportation than any previous law. It continues and improves provisions of prior authorizing laws that are important to the continuing Federal commitment to improve public transportation service throughout America.

Landmarks in the evolution of the federal public transportation assistance program over the years include:

1961: The Housing Act of 1961 [*Public Law 87-70, June 30, 1961*] provided public transportation demonstration funding and mass transportation project loans.

1964: The Urban Mass Transportation Act of 1964 [*Public Law 88-365, July 9, 1964*] established a transit aid program under the Administrator of the Housing and Home Finance Agency (HHFA). Programs under the Housing Act of 1961 were continued, a program of grants for capital projects was established, and job protection provisions were provided for affected transit employees.

1965: The Department of Housing and Urban Development Act, [*Public Law 89-174, September 6, 1965*] merged HHFA into newly created Department of Housing and Urban Development (HUD), the implementation of the law took effect on January 13, 1966.

1966: The Urban Mass Transportation Act of 1966 [*Public Law 89-562, September 8, 1966*] expanded capital funding and allowed funding for research, planning, and training.

1968: Reorganization Plan No. 2 of 1968 [*33 Fed. Reg. 6965, February 26, 1968*] transferred the transit program from HUD to the Department of Transportation (DOT) effective July 30, 1968, creating the Urban Mass Transit Administration (UMTA).

1968: The Housing and Urban Development Act of 1968 [*Public Law 90-448, August 1, 1968*] increased authorized funding levels.

1969: The Housing and Urban Development Act Amendment [*Public Law 91-152, December 24, 1969*] increased authorized funding levels.

1970: The National Environmental Policy Act of 1969 [*Public Law 91-190, January 1, 1970*] required environmental impact statements for federally assisted transit and highway projects.

1970: The Urban Mass Transportation Assistance Act of 1970 [*Public Law 91-453, October 15, 1970*] authorized a \$3.1 billion program of capital grants.

1973: The Federal-Aid Highway Act of 1973 [*Public Law 93-87, August 13, 1973*] increased the federally funded portion of public transportation capital projects from 66 2/3% to 80% and authorized the use of Federal-Aid Urban Systems highway funds and Interstate Highway Transfers for qualifying public transportation projects and created a rural public transportation demonstration program.

1974: The National Mass Transportation Assistance Act of 1974 [*Public Law 93-503, November 26, 1974*] increased authorizations for discretionary capital funding and created a formula grant program to allocate funding directly to urbanized areas that could be used for either operations or capital projects.

1975: The Federal-Aid Highway Amendments of 1974 [*Public Law 93-643, January 4, 1975*] established federal policy in Section 105 that "elderly and handicapped persons have the same right as other persons to utilize mass transportation facilities."

1978: The Federal Public Transportation Act of 1978, Title III of the Surface Transportation Assistance Act of 1978 [*Public Law 95-599, November 6, 1978*] divided the formula grant program into categorical programs that included capital grants for bus purchases, new starts, and fixed guideway modernization; established additional formula grant tiers for bus purchases and operating funds for fixed guideway systems; and added a formula program for rural places outside of urbanized areas.

1981: The Omnibus Budget Reconciliation Act of 1981 [*Public Law 97-35, August 13, 1981*] reduced authorization levels for FY 1982 from those set in the Federal Public Transportation Act of 1978.

1982: The Federal Public Transportation Act of 1982, Title III of the Surface Transportation Assistance Act of 1982 [*Public Law 97-424, January 6, 1983*] provided that 1 cent of a 5 cents per gallon increase in the Highway Trust Fund tax on motor fuels would be placed into a Mass Transit Account for capital projects, increased the portion of all funding allocated through the formula grant program, and altered the formula grant program allocation formula to include public transportation service data as well as population data.

1984: The Tax Reform Act of 1984 [*Public Law 98-396, July 18, 1984*] allowed employees to receive a *de minimis*, up to \$15 per month, tax-free fringe benefit in the form of an employer-provided public transportation subsidy or pass.

1987: The Federal Mass Transportation Act of 1987, Title III of the Surface Transportation and Uniform Relocation Assistance Act of 1987 [*Public Law 100-17, April 2, 1987*] provided that a portion of the Highway Trust Fund Mass Transit Account would be allocated by formula for capital purposes.

1990: The Americans with Disabilities Act of 1990 (ADA) [*Public Law 101-336, July 26, 1990*] required transit agencies to provide service accessible to persons with disabilities.

1990: The Omnibus Budget Reconciliation Act of 1990 [*Public Law 101-508, November 5, 1990*] raised the motor fuel tax by 5.0 cents, 2.5 cents of which was used for deficit reduction and 0.5 cents was used to raise the portion of the Highway Trust Fund tax on motor fuels to be placed in the Mass Transit Account to 1.5 cents per gallon.

1990: The Clean Air Act Amendments of 1990 [*Public Law 101-549, November 15, 1990*] recast transportation planning to provide for improved air quality.

1991: The Omnibus Transportation Employee Testing Act of 1991 [*Public Law 102-143, October 28, 1991*] mandated the establishment of anti-drug and alcohol misuse programs for safety-sensitive employees of recipients and contractors to recipients of Major Capital Investment, Urbanized Area Formula, and Rural Area Formula public transportation funds.

1991: The Federal Transit Act Amendments of 1991, Title III of the Intermodal Surface Transportation Efficiency Act of 1991 (ISTEA) [*Public Law 102-240, December 18, 1991*] extended public transportation assistance through FY 1997, increased the amounts authorized, re-named the transit law the Federal Transit Act and the Urban Mass Transportation Administration the Federal Transit Administration, and converted the rail modernization portion of Section 5309 major capital funds to a formula basis. Surface Transportation, Title I of ISTEA provided that specific funds authorized through Federal-Aid Highways programs may be used for either public transportation or highway projects. These flexible funds are to be used for the mode of transportation best suited to meeting the needs of individual areas and states.

1992: The Energy Policy Act of 1992 [*Public Law 102-486, October 24, 1992*] increased the tax-free amount of the public transportation commuter fringe benefit to \$60 per month with an inflation provision, removed the cliff provision which had made the entire benefit taxable if the monthly limit was exceeded, and extended the benefit to vanpools.

1993: The Omnibus Budget Reconciliation Act of 1993 [*Public Law 103-66, August 10, 1993*] raised the motor fuel tax by 4.3 cents, all of which would be used for deficit reduction. To take effect October 1, 1995, 0.5 cents of the motor fuel tax increase being used for deficit reduction, including amounts authorized by Public Law 101-508, would be placed in the Mass Transit Account to raise the amount deposited in the Mass Transit Account to 2.0 cents per gallon.

1994: The Federal Transit Act was codified as Title 49, Chapter 53--Mass Transportation, of the United States Code [*Public Law 103-272, July 5, 1994*].

1997: The Taxpayer Relief Act of 1997 [*Public Law 105-34, August 5, 1997*] transferred 0.85 cents of motor fuel tax being used for deficit reduction to the Mass Transit Account increasing to 2.85 cents per gallon the portion of the Highway Trust Fund tax on motor fuels to be placed in the Mass Transit Account, effective October 1, 1997.

1997: Surface Transportation Extension Act of 1997 [*Public Law 105-130, December 1, 1997*] extended ISTEA through March 31, 1998.

1998: The Federal Transit Act of 1998, Title III of the Transportation Equity Act for the 21st Century (TEA 21) [*Public Law 105-178, June 9, 1998*] extended the public transportation program through FY 2003. TEA 21 increased public transportation funding authorizations, up to 70 percent above ISTEA appropriation levels if all authorized amounts are appropriated. A total of \$41 billion was authorized for the six-year period, of which \$36 billion was guaranteed.

TEA 21 retained and improved many provisions of ISTEA including the transportation planning process and flexible funding. The distribution of formula funds among sections 5307, 5310, and 5311 was revised. The definition of eligible uses of Urbanized Area Formula capital funds was expanded to include preventive maintenance and ADA related expenditures for all urbanized areas and to include operating expenditures for urbanized areas under 200,000 population. The public transportation commuter benefit was expanded to include employee purchase of public transportation passes with pre-tax dollars.

Two new programs were created: the Clean Fuels Formula Grant program which provides funds for adoption of clean fuel technologies and the Job Access and Reverse Commute program funds projects that improve job access for current and former welfare recipients and other eligible low-income individuals. The rate of the motor fuel tax deposited in the Mass Transit Account is changed to 2.86 cents per gallon as a technical correction. The accrual of interest to the MTA from deposits of account balances in federal securities was eliminated.

2003: The Surface Transportation Extension Act of 2003 [*Public Law 108-88, September 30, 2003*] extended transit authorizing law through February 29, 2004.

2004: The Surface Transportation Extension Act of 2004 [*Public Law 108-202, February 29, 2004*] extended transit authorizing law through April 30, 2004. The Surface Transportation Extension Act of 2004, Part II, [*Public Law 108-224, April 30, 2004*] extended transit authorizing law through June 30, 2004. The Surface Transportation Extension Act of 2004, Part III, [*Public Law 108-263, June 30, 2004*] extended transit authorizing law through July 31, 2004. The Surface Transportation Extension Act of 2004, Part IV, [*Public Law 108-280, July 30, 2004*] extended transit authorizing law through September 30, 2004. The Surface Transportation Extension Act of 2004, Part V [*Public Law 108-310, September 30, 2004*] extended transit authorizing law through May 31, 2005.

2005: The Surface Transportation Extension Act of 2005 [*Public Law 109-14, May 31, 2005*] extended transit authorizing law through June 30, 2005. The Surface Transportation Extension Act of 2005, Part II, [*Public Law 109-20, July 1, 2005*] extended transit authorizing law through July 19, 2005. The Surface Transportation Extension Act of 2005, Part III, [*Public Law 109-35, July 20, 2005*] extended transit authorizing law through July 21, 2005. The Surface Transportation Extension Act of 2005, Part IV, [*Public Law 109-37, July 22, 2005*] extended transit authorizing law through July 27, 2005. The Surface Transportation Extension Act of 2005, Part V, [*Public Law 109-40, July 28, 2005*] extended transit authorizing law through July 30, 2005. The Surface Transportation Extension Act of 2005, Part VI, [*Public Law 109-42, July 30, 2005*] extended transit authorizing law through August 14, 2005.

The Federal Public Transportation Act of 2005, Title III of the Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU) [*Public Law 109-59, August 10, 2005*] reauthorized federal transit law. SAFETEA-LU authorized transit and highway funds for FY 2005 through FY 2009, replacing all extension acts passed from September 30, 2004 forward. Funding for FY 2004 was authorized by the Surface Transportation Extension Act of 2004, Part IV, (P.L. 108-280). Over the six year period FY 2004 through FY 2009, it provided a record level of federal transit investment, \$52.6 billion, an increase of 46 percent over the amount guaranteed in TEA 21. The federal transit program structure remained largely the same, retaining formula programs that target federal investment to systems and communities based on need and capital investment programs that address special needs and projects.

Beginning in FY 2006 transit programs were funded entirely from either the Mass Transit Account of the Highway Trust Fund or General Revenues in order to "fix" a problem of scoring when those funds were expended that artificially reduces the amount of funds available from the Mass Transit Account for future spending.

A new tier was added to the Urbanized Area Formula program directing funds to Small Transit Intensive Cities. Additional funds are provided for the Urbanized Area and Rural Formula programs through amounts authorized by new Growing States and High Density States programs. Amounts were specified for new programs: Transit on Indian Reservations to provide transit improvements on Indian reservation, New Freedom to provide transportation for persons with disabilities beyond the requirements of the Americans with Disabilities Act, Small Starts specifying amounts within the New Starts Program for smaller projects, Alternatives Analysis providing specified funds in addition to New Starts funds for this function, and Alternative Transportation in Parks and Public Lands to improve mobility in National Parks.

The JARC program was changed to a formula program from the existing competitive discretionary grants program. Newly eligible expenses included intercity bus and rail stations, crime prevention and security, and mobility management.

2007: The National Transit Systems Security Act of 2007, Title XIV of the Implementing Recommendations of the 9/11 Commission Act of 2007 [*Public Law 110-53, August 3, 2007*] provides authorizations for transit security grants from FY 2007 through FY 2011. Grants are made to eligible public transportation agencies for security improvements for eligible capital and operating uses. Public transportation agencies are publicly owned operators of public transportation eligible to receive funds under Chapter 53 of Title 49, United States Code.

2009: The American Recovery and Reinvestment Act of 2009 (ARRA), [*P.L. 111-5, February 17, 2009*]: authorized funds to stimulate the U.S. economy. Included in the ARRA is \$8.4 billion specifically for transit capital investment and additional funds for transit security investments.

2009: The Continuing Appropriation Resolution, 2010, [*Public Law 111-68, Division B, October 1, 2009*] extended transit authorizing law through October 31, 2009. The Interior Department and Further Continuing Appropriations, Fiscal Year 2010, [*Public Law 111-88, October 30, 2009*] extended transit authorizing law through December 18, 2009. The Department of Defense Appropriations Act, 2010, [*Public Law 111-118, December 19, 2009*] extended transit authorizing law through February 28, 2010. The Temporary Extension Act of 2010 [*Public Law 111-144, March 2, 2010*] extends transit authorizing law through March 28, 2010. The Hiring Incentive to Restore Employment Act [*Public Law 111-147, March 18, 2010*] extends transit authorizing law through December 31, 2010, repeals the prohibition of the deposit of MTA unexpended balances in federal securities, and makes a one-time transfer to the MTA to account for interest revenues not accrued from FY 1999 through FY 2010.

2010: The Continuing Appropriations and Surface Transportation Extension Act, 2011 [*Public Law 111-322, December 22, 2010*] extends transit authorizing law through March 4, 2011.

2011: The Surface Transportation Extension Act of 2011, [*Public Law 112-5, March 4, 2011*] extends transit authorizing law through September 30, 2011. The Surface and Air Transportation Programs Extension Act of 2011, Title I: Surface Transportation Extension Act of 2011, Part II, [*Public Law 112-30, September 16, 2011*] extends transit authorizing law through March 31, 2012; the authority to collect and spend Highway-related taxes in the Highway Trust Fund provided under the Internal Revenue Code of 1986 is also extended to March 31, 2012.

APPENDIX THREE: SOURCES OF FURTHER INFORMATION

Federal Transit Administration Circulars: The Federal Transit Administration issues regulations and procedures that control the funding and grant making process. Those regulations and procedures are published as guidelines in Circulars. Circulars for funding programs and their Internet web addresses are:

Urbanized Area Program: "Urbanized Area Formula Program: Grant Application Instructions," Number C 9030.1D, May 1, 2010 at http://www.fta.dot.gov/laws/circulars/leg_reg_11492.html

Rural Program: "Nonurbanized Area Formula Program Guidance and Grant Application Instructions," Number C 9040.1F, April 1, 2007 at http://www.fta.dot.gov/laws/circulars/leg_reg_6519.html

Elderly and Disabled Persons Program: "The Elderly and Persons With Disabilities Program Guidance and Application Instructions," Number C 9070.1F, May 1, 2007 at http://www.fta.dot.gov/laws/circulars/leg_reg_6622.html

New Starts, Fixed-Guideway Modernization, and Bus and Bus Facilities Programs: "Capital Investment Program Guidance and Application Instructions," Number C 9300.1B, November 1, 2008 at http://www.fta.dot.gov/laws/circulars/leg_reg_8642.html

Other Programs: Circulars for programs new under SAFETEA-LU will be issued. Additional circulars concerning planning and other programs can be found at http://www.fta.dot.gov/laws/leg_reg_circulars_guidance.html

Federal Transit Administration SAFETEA-LU Implementation: The FTA SAFETEA-LU Implementation web page provides access to a variety of documents and web pages that describe SAFETEA-LU can be found at http://www.fta.dot.gov/laws/leg_reg_4696.html

Federal Transit Administration Statistical Summaries: FTA Statistical Summaries report the amount of federal funds granted to transit sues each year. Funds are differentiated by program, state, urbanized area, and use. Quantities of products purchased are also reported. Statistical Summaries from 1999 through 2008 can be accessed at http://www.fta.dot.gov/publications/reports/other_reports/publications_1090.html

Federal Transit Administration New Starts Annual Report: The New Starts Annual report provides extensive background data on projects that are advancing through the New Starts "pipeline." Information is also presented on the status of all other authorized projects that have not yet entered the 'pipeline' in at least the alternatives analysis stage. The report provides annual recommendations on New Starts funding from the FTA to the Congress. Reports from 1997 through 2011 can be found at http://www.fta.dot.gov/planning/newstarts/planning_environment_2618.html

Federal Transit Administration Grant Program Summary Materials: Materials on the FTA web site describing the provisions of grant programs can be found at http://www.fta.dot.gov/funding/grants_financing_263.html

U.S. Department of Homeland Security: Guidance concerning transit security grants. Information for DHS grants can be found in "FY 2011 Transit Security Grant Program (TSGP)" at <http://www.fema.gov/government/grant/tsgp/index.shtm>

American Public Transportation Association SAFETEA-LU Summary Materials: Materials describing the provisions of and implementation of SAFETEA-LU can be found on the APTA web site at <http://www.apta.com/gap/legissues/authorization/Pages/default.aspx> These materials include:

- "Safe, Accountable, Flexible, Efficient Transportation Equity Act - A Legacy for Users: A Guide to Transit-Related Provisions" which summarizes changes and additions to transit law resulting from SAFETEA-LU.
- "Federal Public Transportation Law as Amended by SAFETEA-LU – Version Showing Changes" which is a Ramseyer of title 49 USC 5300 through 5340. A Ramseyer shows the law prior to change by SAFETEA-LU with provisions deleted by SAFETEA-LU struck over and provisions added by SAFETEA-LU in italics. There is also a "clean" version of the law not showing changes.
- "SAFETEA-LU Rulemaking and Notices."

Text of SAFETEA-LU: The text of SAFETEA-LU can be found at http://www.fta.dot.gov/documents/SAFETEA-LU-Full_Text_of_the_Enrolled_Bill.pdf

Text of Federal Transit Law, 49 USC 5300: The text of 49 USC 5300 through 5340 can be found at http://www.apta.com/gap/legissues/authorization/Documents/safetea_lu_clean.pdf

APPENDIX FOUR: TRANSIT PROGRAM HISTORICAL FUNDING LEVELS

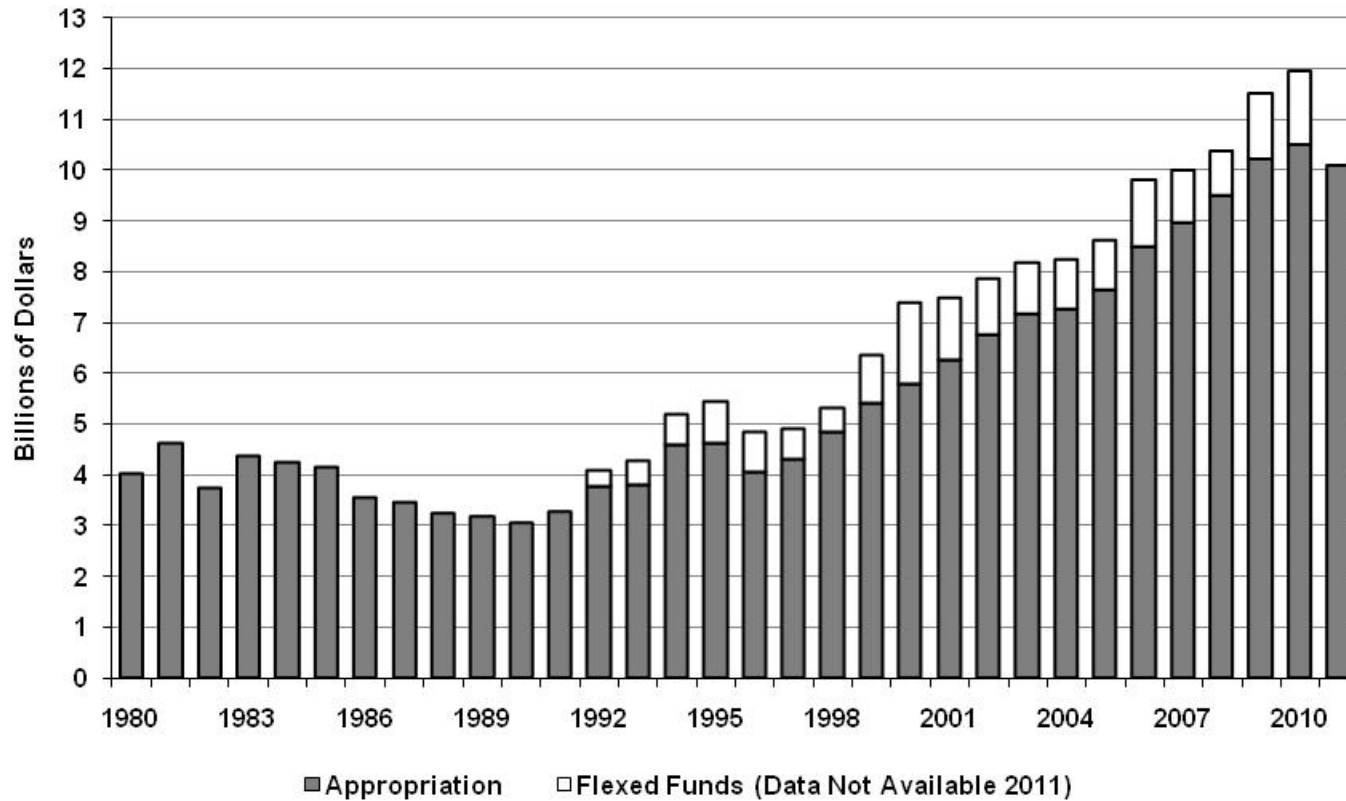
FEDERAL FUNDING FOR TRANSIT (FY 1980 - FY 2011)
AUTHORIZATIONS, ADMINISTRATION BUDGET REQUESTS,
AND APPROPRIATIONS COMPARED
(WITH APPROPRIATIONS FOR FY 1961 - FY 1979)

Note on Sources:

From FY 1961 through FY 1979, all amounts, except Urbanized Area Operating Limits, are taken from the Federal Transit Administration's *1997 Statistical Summaries*. Urbanized Area Operating Limits are taken from a variety of sources.

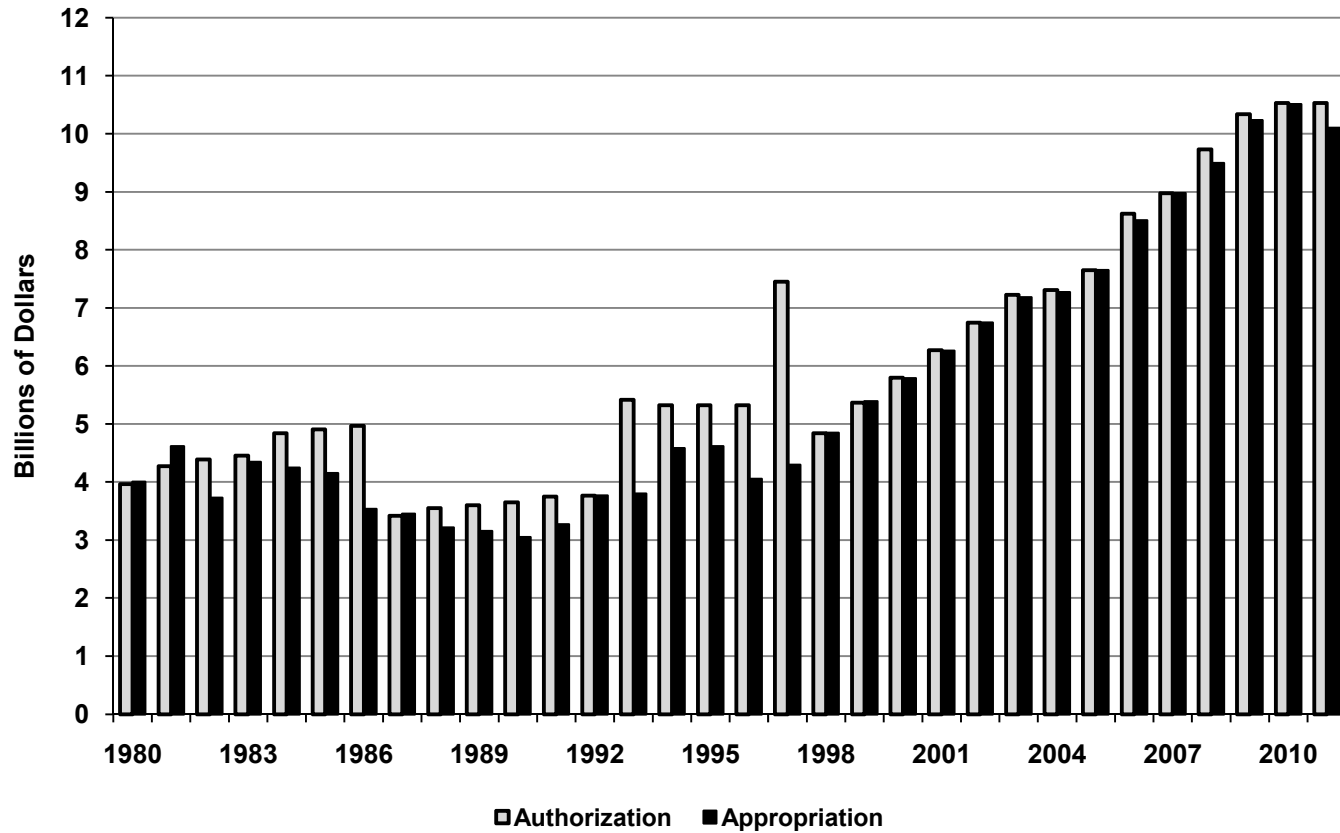
Beginning in FY 1980 amounts are taken from authorization laws and annual appropriation laws. These amounts may differ from other data sources because the amounts reported herein are as provided in the original legislation and are not adjusted for later actions rescinding any amounts and are not adjusted for any amounts that are appropriated in transit legislation for other purposes.

Federal Appropriations and Total Funding Including Flexed Funds, FY 1980 - FY 2011



Includes authorization and appropriation of primary FTA funding program only.

Federal Authorizations and Appropriations, FY 1980 - FY 2011



Includes authorization and appropriation of primary FTA funding program only.

(MILLIONS OF DOLLARS)

(MILLIONS OF DOLLARS)

Program	Actual Appropriation (All Amounts Taken from FTA "1997 Statistical Summaries")						
	FY 1961	FY 1962	FY 1963	FY 1964	FY 1965	FY 1966	FY 1967
Major Capital Investment Program Total, § 3	17.5	---	---	3.0	65.0	135.0	130.0
New Starts/Extension	---	---	---	---	---	---	---
Fixed-Guideway Modernization	---	---	---	---	---	---	---
Bus	---	---	---	---	---	---	---
Other	---	---	---	---	---	---	---
Formula Program Total	---	---	---	---	---	---	---
Urbanized Area, § 5 Total	---	---	---	---	---	---	---
Urbanized Area Capital	---	---	---	---	---	---	---
Urbanized Area Operating	---	---	---	---	---	---	---
Rural Capital and Operating, § 18	---	---	---	---	---	---	---
Elderly and Disabled, § 16(b)	---	---	---	---	---	---	---
Interstate Transfer	---	---	---	---	---	---	---
Planning and Research Total	25.0	---	---	4.8	---	---	---
Planning, § 8	---	---	---	---	---	---	---
RTAP, § 18(h)	---	---	---	---	---	---	---
All Other Research and Training	25.0	---	---	4.8	---	---	---
FTA Administration, § 12	---	---	---	0.2	0.3	0.5	0.7
Other	---	---	---	---	---	---	---
TOTAL FEDERAL TRANSIT ACT FUNDING	42.5	0.0	0.0	8.0	65.3	135.5	130.7

(MILLIONS OF DOLLARS)

(MILLIONS OF DOLLARS)

Program	Actual Appropriation (All Amounts Taken from FTA "1997 Statistical Summaries")					
	FY 1968	FY 1969	FY 1970	FY 1971	FY 1972	FY 1973
Major Capital Investment Program Total, § 3	125.0	169.1	137.0	555.7	803.7	863.7
New Starts/Extension	---	---	---	---	---	---
Fixed-Guideway Modernization	---	---	---	---	---	---
Bus	---	---	---	---	---	---
Formula Program Total	---	---	0.0	0.0	0.0	0.0
Urbanized Area, § 5 Total	---	---	---	---	---	---
Urbanized Area Capital	---	---	---	---	---	---
Urbanized Area Operating	---	---	---	---	---	---
Rural Capital and Operating, § 18	---	---	---	---	---	---
Elderly and Disabled, § 16(b)	---	---	---	---	---	---
Interstate Transfer	---	---	---	---	---	---
Planning and Research Total	---	5.0	38.0	41.0	90.0	129.8
Planning, § 8	---	5.0	8.0	15.0	25.0	33.5
RTAP, § 18(h)	---	---	---	---	---	---
All Other Research and Training	---	---	30.0	26.0	65.0	96.3
FTA Administration, § 12	0.7	0.9	1.6	3.3	6.3	6.5
Other	---	---	---	---	---	---
TOTAL FEDERAL TRANSIT ACT FUNDING	125.7	175.0	176.6	600.0	900.0	1,000.0

(MILLIONS OF DOLLARS)

(MILLIONS OF DOLLARS)

Program	Actual Appropriation (All Amounts Taken from FTA "1997 Statistical Summaries")					
	FY 1974	FY 1975	FY 1976	FY 1977	FY 1978	FY 1979
Major Capital Investment Program Total, § 3	872.0	1,330.1	1,324.5	1,228.0	1,375.0	1,175.0
New Starts/Extension	---	---	---	---	---	---
Fixed-Guideway Modernization	---	---	---	---	---	---
Bus	---	---	---	---	---	---
Formula Program Total	0.0	319.9	647.0	672.0	800.0	1,500.0
Urbanized Area, § 5 Total	---	300.0	625.0	650.0	775.0	1,403.5
Urbanized Area Capital	---	---	---	---	---	---
Urbanized Area Operating	---	300.0	625.0	650.0	775.0	1,075.0
Rural Capital and Operating, § 18	---	---	---	---	---	76.5
Elderly and Disabled, § 16(b)	---	19.9	22.0	22.0	25.0	20.0
Interstate Transfer	61.0	65.7	632.0	570.7	662.8	623.8
Planning and Research Total	72.7	81.7	113.4	104.4	125.0	123.5
Planning, § 8	37.6	36.6	47.9	43.2	55.0	55.0
RTAP, § 18(h)	---	---	---	---	---	---
All Other Research and Training	35.1	45.1	65.5	61.2	70.0	63.5
FTA Administration, § 12	5.0	6.0	13.2	12.6	20.0	16.8
Other	---	---	25.0	55.0	45.0	---
TOTAL FEDERAL TRANSIT ACT FUNDING	1,010.7	1,803.3	2,755.1	2,642.7	3,027.8	3,439.1

(MILLIONS OF DOLLARS)

(MILLIONS OF DOLLARS)

Program	FY 1980			FY 1981		
	Authorization	Carter Budget Request	Actual Appropriation	Authorization	Carter Budget Request	Actual Appropriation
Major Capital Investment Program Total, § 3	1,332.5	1,225.0	1,575.0	1,431.7	2,177.0	2,010.0
New Starts/Extension	---	---	410.0	---	525.0	485.0
Fixed-Guideway Modernization	---	---	760.0	---	1,030.0	945.0
Bus	---	---	405.0	---	622.0	580.0
Formula Program Total	1,680.0	1,450.0	1,491.0	1,775.0	1,661.0	1,527.5
Urbanized Area, § 5 Total	1,580.0	1,375.0	1,405.0	1,665.0	1,570.0	1,455.0
Urbanized Area Capital	300.0	300.0	300.0	370.0	370.0	350.0
Urbanized Area Operating	1,280.0	1,075.0	1,105.0	1,295.0	1,200.0	1,105.0
Rural Capital and Operating, § 18	100.0	75.0	86.0	110.0	91.0	72.5
Elderly and Disabled, § 16(b)	In Sec. 3	In Sec. 3	In Sec. 3	In Sec. 3	In Sec. 3	In Sec. 3
Interstate Transfer	700.0	700.0	700.0	800.0	800.0	800.0
Planning and Research Total	77.6	120.4	124.3	83.3	128.0	130.5
Planning, § 8	77.6	53.8	55.0	83.3	70.0	65.0
RTAP, § 18(h)	---	---	---	---	---	---
All Other Research and Training	In Admin.	66.6	69.3	In Admin.	58.0	65.5
FTA Administration, § 12	95.0	21.0	20.9	100.0	22.0	22.2
Other	80.0	---	90.0	80.0	155.0	125.0
TOTAL FEDERAL TRANSIT ACT FUNDING	3,965.0	3,516.4	4,001.2	4,270.0	4,943.0	4,615.2
Washington DC Metro, National Capital Transportation Act	---	---	---	---	---	---
TOTAL TRANSIT FUNDING	3,965.0	3,516.4	4,001.2	4,270.0	4,943.0	4,615.2

(MILLIONS OF DOLLARS)

(MILLIONS OF DOLLARS)

Program	FY 1982				FY 1983		
	Authorization	Carter Budget Request	Reagan Revised Request	Actual Appropriation	Authorization	Reagan Budget Request	Actual Appropriation
Major Capital Investment Program Total, § 3	1,431.7	2,333.0	1,457.0	1,590.0	1,606.0	1,501.0	1,546.0
New Starts/Extension	---	603.0	114.0	179.8	---	120.0	206.0
Fixed-Guideway Modernization	---	1,040.0	837.0	879.5	---	861.0	840.0
Bus	---	690.0	506.0	530.7	---	520.0	500.0
Formula Program Total	1,885.0	1,655.0	1,368.4	1,433.8	2,047.5	1,015.0	2,047.5
Urbanized Area § 9 Total	1,765.0	1,560.0	1,302.4	1,365.3	1,956.2	1,015.0	1,956.2
Urbanized Area Capital	455.0	455.0	330.1	330.0	1,081.2	375.0	1,081.2
Urbanized Area Operating	1,310.0	1,105.0	972.3	1,035.3	875.0	640.0	875.0
Rural Capital and Operating, § 18	120.0	95.0	66.0	68.5	91.3	0.0	91.3
Elderly and Disabled, § 16(b)	In Sec. 3	In Sec. 3	In Sec. 3	In Sec. 3	In Sec. 3	In Sec. 3	In Sec. 3
Interstate Transfer	600.0	750.0	528.0	538.0	365.0	400.0	365.0
Planning and Research Total	83.3	161.0	114.6	105.6	0.0	95.0	108.3
Planning, § 8	83.3	76.0	53.0	54.0	In Sec. 3	50.0	50.0
Rural Transit Assistance Program, § 18(h)	---	---	---	---	---	---	---
All Other Research and Training	In Admin.	85.0	61.6	51.6	In Admin.	45.0	58.3
FTA Administration, § 12	105.0	30.0	25.5	23.9	86.3	29.1	28.1
Other	80.0	216.0	33.0	36.3	---	10.0	10.0
TOTAL FEDERAL TRANSIT ACT FUNDING	4,185.0	5,145.0	3,526.5	3,727.7	4,104.8	3,050.1	4,104.9
Washington DC Metro, National Capital Transportation Act	200.0	0.0	0.0	0.0	350.0	100.0	240.0
TOTAL TRANSIT FUNDING	4,385.0	5,145.0	3,526.5	3,727.7	4,454.8	3,150.1	4,344.9

(MILLIONS OF DOLLARS)

(MILLIONS OF DOLLARS)

Program	FY 1984			FY 1985		
	Authorization	Reagan Budget Request	Actual Appropriation	Authorization	Reagan Budget Request	Actual Appropriation
Major Capital Investment Program Total, § 3	1,200.00	1,100.0	1,140.0	1,050.0	1,020.0	1,040.0
New Starts/Extension	---	---	399.5	---	400.0	422.5
Fixed-Guideway Modernization	---	---	545.5	---	520.0	487.5
Bus	---	---	195.0	---	100.0	130.0
Formula Program Total	2,750.0	1,974.0	2,414.0	2,950.0	2,414.5	2,474.5
Urbanized Area, § 9 Total	2,669.4	1,916.2	2,319.0	2,863.6	2,319.5	2,377.7
Urbanized Area Capital	1,796.8	1,641.2	1,446.0	1,988.6	1,774.0	1,507.4
Urbanized Area Operating	872.6	275.0	873.0	875.0	545.5	870.3
Rural Capital and Operating, § 18	80.6	57.8	70.0	86.4	70.0	71.8
Elderly and Disabled, § 16(b)	In Sec. 3	In Sec. 3.	25.0	In Sec. 3	25.0	25.0
Interstate Transfer	380.0	380.0	295.4	390.0	250.0	250.0
Planning and Research Total	50.0	52.0	104.8	50.0	94.8	101.0
Planning, § 8	50.0	In Sec. 3	50.0	50.0	50.0	50.0
Rural Transit Assistance Program, § 18(h)	---	---	---	---	---	---
All Other Research and Training	In Admin.	52.0	54.8	In Admin.	44.8	51.0
FTA Administration, § 12	86.0	29.7	29.2	90.0	31.5	31.0
Other	---	---	10.0	---	5.0	5.0
TOTAL FEDERAL TRANSIT ACT FUNDING	4,466.0	3,535.7	3,993.4	4,530.0	3,815.8	3,901.5
Washington DC Metro, National Capital Transportation Act	375.0	230.0	250.0	375.0	250.0	250.0
TOTAL TRANSIT FUNDING	4,841.0	3,765.7	4,243.4	4,905.0	4,065.8	4,151.5

(MILLIONS OF DOLLARS)

(MILLIONS OF DOLLARS)

Program	FY 1986				FY 1987		
	Authorization	Reagan Budget Request	Continuing Resolution Appropriation	Final Appropriation	Authorization	Reagan Budget Request	Actual Appropriation
Major Capital Investment Program Total, § 3	1,050.0	0.0	960.0	918.7	1,009.3	0.0	915.0
New Starts/Extension	---	0.0	385.0	368.4	403.7	0.0	365.0
Fixed-Guideway Modernization	---	0.0	430.0	411.5	403.7	0.0	410.0
Bus	---	0.0	145.0	138.8	100.9	0.0	140.0
Other	---	---	---	---	100.9	---	---
Formula Program Total	3,050.0	1,060.0	2,180.5	2,086.8	2,042.5	1,143.2	2,035.0
Urbanized Area, § 9 Total	2,960.6	994.0	2,087.0	1,997.6	1,941.4	1,075.7	1,925.0
Urbanized Area Capital	2,085.6	994.0	1,221.1	1,128.8	1,080.5	1,008.7	1,064.1
Urbanized Area Operating	875.0	0.0	865.9	868.8	860.9	67.0	860.9
Rural Capital and Operating, § 18	89.4	31.0	63.0	60.0	58.6	32.5	75.0
Elderly and Disabled, § 16(b)	In Sec. 3	35.0	30.5	29.2	42.5	35.0	35.0
Interstate Transfer	400.0	From HTF	218.8	210.2	200.0	From HTF	200.0
Planning and Research Total	50.0	40.0	67.4	64.5	62.4	50.0	62.4
Planning, § 8	50.0	40.0	50.0	47.9	45.0	30.5	45.0
Rural Transit Assistance Program, § 18(h)	---	---	---	---	---	---	---
All Other Research and Training	In Admin.	---	17.4	16.6	17.4	19.5	17.4
FTA Administration, § 12	90.0	27.0	30.0	28.7	31.0	26.8	31.0
Other	---	---	5.0	4.8	0.2	---	7.5
TOTAL FEDERAL TRANSIT ACT FUNDING	4,640.0	1,127.0	3,461.7	3,313.7	3,345.4	1,220.0	3,250.9
Washington DC Metro, National Capital Transportation Act	325.0	250.0	227.0	217.2	75.0	0.0	201.1
TOTAL TRANSIT FUNDING	4,965.0	1,377.0	3,688.7	3,530.9	3,420.4	1,220.0	3,452.0

HTF = Highway Trust Fund

(MILLIONS OF DOLLARS)

(MILLIONS OF DOLLARS)

Program	FY 1988			FY 1989		
	Authorization	Reagan Budget Request	Actual Appropriation	Authorization	Reagan Budget Request	Actual Appropriation
Major Capital Investment Program Total, § 3	1,012.0	0.0	980.3	1,040.0	0.0	985.0
New Starts/Extension	404.8	0.0	407.8	416.0	0.0	402.0
Fixed-Guideway Modernization	404.8	0.0	427.0	416.0	0.0	439.0
Bus	101.2	0.0	145.5	104.0	0.0	144.0
Other	101.2	0.0	---	104.0	0.0	---
Formula Program Total	2,235.0	1,289.3	1,832.0	2,260.0	1,316.5	1,705.0
Urbanized Area, § 9 Total	2,135.5	1,217.5	1,732.4	2,159.8	1,214.5	1,603.6
Urbanized Area Capital	1,222.0	1,114.1	927.7	1,241.7	1,054.5	798.9
Urbanized Area Operating	912.6	103.4	804.7	918.1	160.0	804.7
Rural Capital and Operating, § 18	64.5	36.8	64.6	65.2	67.0	66.4
Elderly and Disabled, § 16(b)	35.0	35.0	35.0	35.0	35.0	35.0
Interstate Transfer	200.0	From HTF	123.5	200.0	From HTF	200.0
Planning and Research Total	45.0	52.0	62.0	45.0	45.0	60.0
Planning, § 8	45.0	35.0	45.0	45.0	35.0	45.0
Rural Transit Assistance Program, § 18(h)	In Admin.	---	4.8	In Admin.	---	5.0
All Other Research and Training	In Admin.	17.0	12.2	In Admin.	10.0	10.0
University Centers, § 11(b)	5.0	---	5.0	5.0	---	5.0
FTA Administration, § 12	50.0	32.7	31.9	50.0	32.5	31.9
Other	3.0	---	---	---	---	---
TOTAL FEDERAL TRANSIT ACT FUNDING	3,550.0	1,374.0	3,034.7	3,600.0	1,394.0	2,986.9
Washington DC Metro, National Capital Transportation Act	0.0	130.0	180.5	0.0	128.0	168.0
TOTAL TRANSIT FUNDING	3,550.0	1,504.0	3,215.1	3,600.0	1,522.0	3,154.9

HTF = Highway Trust Fund

(MILLIONS OF DOLLARS)

(MILLIONS OF DOLLARS)

Program	FY 1990			FY 1991		
	Authorization	Reagan Budget Request	Actual Appropriation	Authorization	Bush Budget Request	Actual Appropriation
Major Capital Investment Program Total, § 3	1,065.0	0.0	982.0	1,115.0	985.0	1,115.0
New Starts/Extension	426.0	0.0	419.2	446.0	398.0	440.0
Fixed-Guideway Modernization	426.0	0.0	430.7	446.0	394.0	455.0
Bus	106.5	0.0	132.1	111.5	193.0	220.0
Other	106.5	0.0	---	111.5	0.0	---
Formula Program Total	2,285.0	1,445.7	1,724.8	2,335.0	1,176.8	1,835.0
Urbanized Area, § 9 Total	2,184.1	1,342.7	1,624.3	2,232.6	1,076.8	1,734.6
Urbanized Area Capital	1,260.2	1,223.2	822.0	1,303.2	779.0	932.3
Urbanized Area Operating	923.9	119.5	802.3	929.4	297.8	802.3
Rural Capital and Operating, § 18	65.9	68.0	65.6	67.4	65.0	65.4
Elderly and Disabled, § 16(b)	35.0	35.0	34.9	35.0	35.0	35.0
Interstate Transfer	200.0	From HTF	159.5	200.0	From HTF	160.0
Planning and Research Total	45.0	45.0	59.9	45.0	60.0	58.0
Planning, § 8	45.0	35.0	44.9	45.0	45.0	45.0
Rural Transit Assistance Program, § 18(h)	In Admin.	---	5.0	In Admin.	5.0	5.0
All Other Research and Training	In Admin.	10.0	10.0	In Admin.	10.0	8.0
University Centers, § 11(b)	5.0	---	5.0	5.0	5.0	5.0
FTA Administration, § 12	50.0	32.3	31.8	50.0	35.4	32.6
TOTAL FEDERAL TRANSIT ACT FUNDING	3,650.0	1,523.0	2,963.0	3,750.0	2,262.2	3,205.6
Washington DC Metro, National Capital Transportation Act	0.0	42.0	84.7	0.0	38.0	64.1
TOTAL TRANSIT FUNDING	3,650.0	1,565.0	3,047.7	3,750.0	2,300.2	3,269.7

HTF = Highway Trust Fund

(MILLIONS OF DOLLARS)

(MILLIONS OF DOLLARS)

Program	FY 1992				FY 1993		
	Authorization	Bush Budget Request	Appropriation	Actual Funding Level	Authorization	Bush Budget Request	Actual Appropriation
Major Capital Investment Program Total, § 3	1,345.0	350.0	1,345.0	1,342.2	2,030.0	1,000.0	1,725.0
New Starts/Extension	538.0	300.0	565.0	536.9	812.0	400.0	721.8
Fixed-Guideway Modernization	538.0	0.0	550.0	536.9	812.0	400.0	666.3
Bus	269.0	0.0	230.0	268.4	406.0	200.0	336.9
Other	---	50.0	---	---	---	---	---
Formula Program Total	1,984.7	2,599.9	2,025.0	1,983.7	2,825.9	1,603.6	1,700.0
Urbanized Area, § 9 Total	1,823.6	2,465.9	1,861.6	1,822.8	2,604.1	1,479.7	1,560.5
Urbanized Area Capital	827.6	2,171.0	1,059.4	1,020.5	1,575.6	1,263.1	758.3
Urbanized Area Operating	995.9	294.9	802.3	802.3	1,028.5	216.6	802.3
Rural Capital and Operating, § 18	106.1	89.0	108.4	106.1	151.6	86.1	90.8
Elderly and Disabled, § 16(b)	55.0	45.0	55.0	54.9	70.2	37.8	48.6
Interstate Transfer	160.0	160.0	160.0	160.0	164.8	82.0	75.0
Planning and Research Total	109.3	93.2	71.0	109.1	157.1	84.5	85.0
Metropolitan Planning, § 8	43.8	In Other	45.0	43.7	70.7	38.0	38.3
Rural Transit Assistance Program, § 18(h)	5.0	In Other	5.0	5.0	7.9	4.2	4.3
All Other Research and Training	60.5	93.2	21.0	60.4	78.5	42.3	42.5
University Centers	7.0	6.0	5.0	7.0	7.0	6.0	6.0
Federal Transit Administration Operations, § 12	37.0	40.4	37.0	37.0	50.3	41.9	38.6
TOTAL FEDERAL TRANSIT ACT FUNDING	3,643.0	3,249.5	3,643.0	3,639.0	5,235.0	2,818.0	3,629.6
Washington DC Metro, National Capital Transportation Act	124.0	80.0	124.0	124.0	182.0	182.0	170.0
TOTAL DIRECT TRANSIT FUNDING	3,767.0	3,329.5	3,767.0	3,763.0	5,417.0	3,000.0	3,799.6
Flexible Funding Transfers from FHWA (a)				303.8			469.2
TOTAL TRANSIT FUNDING				4,066.8			4,268.8

(a) Flexible funding transfers occur during the Fiscal Year based on state and local government actions, specific amounts are not designated for transfer in authorization or appropriation laws.

(MILLIONS OF DOLLARS)

(MILLIONS OF DOLLARS)

Program	FY 1994			FY 1995		
	Authorization	Clinton Budget Request	Actual Appropriation	Authorization	Clinton Budget Request	Actual Appropriation
Major Capital Investment Program Total, § 5309	2,050.0	1,771.6	1,785.0	2,050.0	1,517.0	1,725.0
New Starts/Extension	820.0	657.2	667.9	820.0	400.0	646.7
Fixed-Guideway Modernization	820.0	760.1	760.1	820.0	760.0	725.0
Bus	410.0	354.3	357.0	410.0	327.0	353.3
Other	---	---	---	---	30.0	---
Formula Program Total	2,865.1	2,433.7	2,414.9	2,865.1	2,865.0	2,500.0
Urbanized Area Total, § 5307	2,642.6	2,244.1	2,226.6	2,642.6	2,649.7	2,283.9
Urbanized Area Capital	1,587.0	1,441.8	1,424.3	1,558.9	2,049.7	1,573.9
Urbanized Area Operating	1,055.5	802.3	802.3	1,083.7	600.0	710.0
Rural Capital and Operating, § 5311	153.8	130.6	129.6	153.8	154.2	132.9
Elderly and Disabled, § 5310	68.7	59.0	58.7	68.7	61.1	59.2
Other	---	---	---	---	---	24.0
Interstate Transfer	---	45.0	45.0	---	38.5	48.0
Planning and Research Total	153.7	106.2	92.3	153.7	92.3	92.3
Planning, § 5303	69.2	59.5	41.5	69.2	41.5	41.5
RTAP	7.7	4.3	4.6	7.7	4.6	4.6
All Other Research and Training	76.9	42.5	46.1	76.9	46.1	46.1
University Centers	7.0	6.0	6.0	7.0	6.0	6.0
Federal Transit Administration Operations	49.2	39.5	39.5	49.2	43.1	43.1
TOTAL FEDERAL TRANSIT ACT FUNDING	5,125.0	4,401.9	4,382.6	5,125.0	4,561.9	4,414.3
Washington DC Metro, National Capital Transportation Act	200.0	200.0	200.0	200.0	200.0	200.0
TOTAL DIRECT TRANSIT FUNDING	5,325.0	4,601.9	4,582.6	5,325.0	4,761.9	4,614.3
Flexible Funding Transfers from FHWA (a)			609.7			801.8
TOTAL TRANSIT FUNDING			5,192.3			5,416.1

(a) Flexible funding transfers occur during the Fiscal Year based on state and local government actions, specific amounts are not designated for transfer in authorization or appropriation laws.

(MILLIONS OF DOLLARS)

(MILLIONS OF DOLLARS)

Program	FY 1996			FY 1997		
	Authorization	Clinton Budget Request (b)	Actual Appropriation	Authorization	Clinton Budget Request	Actual Appropriation
Major Capital Investment Program Total, § 5309	2,050.0	---	1,665.0	2,900.0	1,799.0	1,900.0
New Starts/Extension	820.0	725.0	666.0	1,160.0	800.0	760.0
Fixed-Guideway Modernization	820.0	---	666.0	1,160.0	725.0	760.0
Bus	410.0	---	333.0	580.0	274.0	380.0
Formula Program Total	2,865.1	---	2,052.9	4,055.9	2,152.0	2,149.2
Urbanized Area Total, § 5307	2,642.6	---	1,891.3	3,741.0	1,981.7	1,978.0
Urbanized Area Capital	1,532.8	---	1,491.3	2,605.3	1,481.7	1,578.0
Urbanized Area Operating	1,109.7	500.0	400.0	1,135.7	500.0	400.0
Rural Capital and Operating, § 5311	153.8	---	110.1	217.7	115.3	115.1
Elderly and Disabled, § 5310	68.7	---	51.6	97.2	54.9	56.0
Planning and Research Total	153.7	100.0	85.5	217.5	85.5	85.5
Planning, § 5303	69.2	---	39.5	97.9	39.5	39.5
RTAP	7.7	---	4.5	10.9	4.5	4.5
All Other Research and Training	76.9	---	41.5	108.8	41.5	41.5
University Centers	7.0	11.0	6.0	7.0	16.0	6.0
Federal Transit Administration Operations	49.2	44.2	42.0	69.6	43.7	41.5
TOTAL FEDERAL TRANSIT ACT FUNDING	5,125.0	---	3,851.4	7,250.0	4,096.1	4,182.2
Washington DC Metro, National Capital Transportation Act	200.0	200.0	200.0	200.0	200.0	200.0
TOTAL DIRECT TRANSIT FUNDING	5,325.0	3,426.9	4,051.4	7,450.0	4,296.1	4,382.2
Flexible Funding Transfers from FHWA (a)			780.1			514.1
TOTAL TRANSIT FUNDING			4,831.5			4,896.3

(a) Flexible funding transfers occur during the Fiscal Year based on state and local government actions, specific amounts are not designated for transfer in authorization or appropriation laws.

(b) Amounts estimated from textual information, amounts for all programs are not specified in structure consistent with authorizing law.

(MILLIONS OF DOLLARS)

(MILLIONS OF DOLLARS)

Program	FY 1998			FY 1999			
	Authorization	Clinton Budget Request	Actual Appropriation	Guaranteed Authorization	Total Authorization	Clinton Budget Request	Actual Appropriation
Major Capital Investment Program Total, § 5309	2,000.0	650.0	2,000.0	2,257.0	2,857.0	876.1	2,307.0
New Starts/Extension	800.0	650.0	800.0	902.8	1,302.8	876.1	902.8
Fixed-Guideway Modernization	800.0	0.0	800.0	902.8	1,002.8	0.0	902.8
Bus	400.0	0.0	400.0	401.4	501.4	0.0	501.4
Clean Fuels	0.0	0.0	0.0	50.0	50.0	0.0	In Bus
Formula Program Total	2,500.0	3,393.5	2,500.0	2,850.0	3,100.0	3,609.2	2,800.0
Urbanized Area Formula, § 5307	2,298.9	3,209.3	2,303.7	2,548.2	2,698.2	3,411.2	2,548.2
Rural Formula, § 5311	134.1	126.8	134.1	177.9	177.9	135.0	177.9
Elderly and Disabled, § 5310	62.2	57.5	62.2	67.0	67.0	63.0	67.0
Clean Fuels	0.0	0.0	0.0	50.0	150.0	0.0	In Bus
Other	4.9	0.0	0.0	6.8	6.8	0.0	6.8
Planning, § 5303	47.8	47.8	47.8	53.0	85.0	39.5	43.8
Research	44.3	43.0	44.3	45.0	76.0	46.4	54.2
Job Access and Reverse Commute	0.0	100.0	0.0	50.0	150.0	100.0	75.0
University Centers	6.0	6.0	6.0	6.0	6.0	6.0	6.0
Federal Transit Administration Operations	45.7	47.0	45.7	54.0	67.0	48.1	54.0
TOTAL TEA 21 AUTHORIZED FUNDING	4,643.7	4,287.3	4,643.7	5,315.0	6,341.0	4,725.4	5,340.0
Washington DC Metro, National Capital Transportation Act	200.0	200.0	200.0	50.0	50.0	50.3	50.0
TOTAL DIRECT TRANSIT FUNDING	4,843.7	4,487.3	4,843.7	5,365.0	6,391.0	4,775.7	5,390.0
Flexible Funding Transfers from FHWA (a)			467.3				969.2
TOTAL TRANSIT FUNDING			5,311.0				6,359.2

(a) Flexible funding transfers occur during the Fiscal Year based on state and local government actions, specific amounts are not designated for transfer in authorization or appropriation laws.

(MILLIONS OF DOLLARS)

(MILLIONS OF DOLLARS)

Program	FY 2000				
	Guaranteed Authorization	Total Authorization	Clinton Budget Request	Original Appropriation	Final Apportionment (a)
Major Capital Investment Program Total, § 5309	2,451.0	3,061.0	2,451.0	2,501.0	2,490.1
New Starts/Extension	980.4	1,390.4	980.4	980.4	969.1
Fixed-Guideway Modernization	980.4	1,080.4	980.4	980.4	980.4
Bus	440.2	540.2	440.2	540.2	540.6
Clean Fuels	50.0	50.0	50.0	In Bus	In Bus
Formula Program Total	3,098.0	3,348.0	3,310.3	3,048.0	3,048.0
Urbanized Area Formula, § 5307	2,772.9	2,922.9	2,924.3	2,772.9	2,772.9
Rural Formula, § 5311	193.6	193.6	204.2	193.6	193.6
Elderly and Disabled, § 5310	72.9	72.9	76.9	72.9	72.9
Clean Fuels	50.0	150.0	50.0	In Bus	In Bus
Other	8.5	8.5	54.8	8.5	8.5
Planning, § 5303	60.0	93.0	49.6	60.0	60.0
Research	47.0	78.0	61.4	47.0	46.7
Job Access and Reverse Commute	75.0	150.0	150.0	75.0	75.0
University Centers	6.0	6.0	6.0	6.0	6.0
Federal Transit Administration Operations	60.0	74.0	60.0	60.0	60.0
TOTAL TEA 21 AUTHORIZED FUNDING	5,797.0	6,810.0	6,088.3	5,797.0	5,785.7
Flexible Funding Transfers from FHWA (b)					1,599.1
TOTAL TRANSIT FUNDING					7,384.8

(a) Amounts apportioned for New Starts/Extensions, Bus, and Research from amounts appropriated in FY 2000 Department of Transportation Appropriations Act, P.L. 106-69 were reduced to meet government wide reduction in appropriations as required by the FY 2000 Consolidated Appropriations Act, P.L. 106-113. The reduced apportionment amounts would result from appropriation levels shown in this column; the actual FY 2000 Appropriations Act was not modified, only the apportionment levels were changed. See text for details.

(b) Flexible funding transfers occur during the Fiscal Year based on state and local government actions, specific amounts are not designated for transfer in authorization or appropriation laws.

(MILLIONS OF DOLLARS)

(MILLIONS OF DOLLARS)

Program	FY 2001				
	Guaranteed Authorization	Total Authorization	Clinton Budget Request	Original Appropriation	Final Appropriation (a)
Major Capital Investment Program Total, § 5309	2,646.0	3,266.0	2,646.0	2,696.0	2,694.6
New Starts/Extension	1,058.4	1,478.4	1,058.5	1,058.4	1,060.1
Fixed-Guideway Modernization	1,058.4	1,158.4	1,058.4	1,058.4	1,056.1
Bus	479.2	579.2	479.2	579.2	578.4
Clean Fuels	50.0	50.0	50.0	In Bus	In Bus
Formula Program Total	3,345.0	3,595.0	3,345.0	3,295.0	3,286.7
Urbanized Area Formula, § 5307	2,997.3	3,147.3	2,997.3	2,942.6	2,935.1
Rural Formula, § 5311	209.3	209.3	209.3	205.5	205.0
Elderly and Disabled, § 5310	78.9	78.9	78.9	77.4	77.2
Clean Fuels	50.0	150.0	50.0	In Bus	In Bus
Other	9.5	9.5	9.5	69.5	69.4
Planning, § 5303	63.0	97.0	63.0	63.0	62.9
Research	47.0	80	47.0	47.0	46.9
Job Access and Reverse Commute	100.0	150	150.0	100.0	99.8
University Centers	6.0	6.0	6.0	6.0	6.0
Federal Transit Administration Operations	64.0	80.0	60.0	64.0	63.9
TOTAL TEA 21 AUTHORIZED FUNDING	6,271.0	7,274.0	6,321.0	6,271.0	6,260.7
Flexible Funding Transfers from FHWA (b)					1,233.4
TOTAL TRANSIT FUNDING					7,494.1

(a) Less than Guaranteed funding level due to a government wide 0.22 percent rescission of discretionary budget authority required by the FY 2001 Omnibus Consolidated Appropriations Act, P.L. 106-554; the appropriation of \$4.5 million in additional funds in the FY 2001 Omnibus Consolidated Appropriations Act, P.L. 106-554; and the transfer of \$1.0 million to the Department of Transportation Office of Inspector General in the FY 2001 Department of Transportation Appropriations Act.

(b) Flexible funding transfers occur during the Fiscal Year based on state and local government actions, specific amounts are not designated for transfer in authorization or appropriation laws.

(MILLIONS OF DOLLARS)

(MILLIONS OF DOLLARS)

Program	FY 2002				FY 2003			
	Guaranteed Authori- zation	Total Authori- zation	Bush Budget Request	Actual Appropri- ation	Guaranteed Authori- zation	Total Authori- zation	Bush Budget Request	Actual Appropri- ation
Major Capital Investment Program Total, § 5309	2,841.0	3,471.0	2,841.0	2,891.0	3,036.0	3,666.0	3,036.0	3,110.6
New Starts/Extension	1,136.4	1,566.4	1,136.4	1,136.4	1,214.4	1,644.4	1,214.4	1,251.2
Fixed-Guideway Modernization	1,136.4	1,236.4	1,136.4	1,136.4	1,214.4	1,314.4	1,214.4	1,206.5
Bus	518.2	618.2	518.2	618.2	557.2	657.2	557.2	652.9
Clean Fuels	50.0	50.0	50.0	In Bus	50.0	50.0	50.0	In Bus
Formula Program Total	3,592.0	3,842.0	3,592.0	3,542.0	3,839.0	4,089.0	3,839.0	3,764.4
Urbanized Area Formula, § 5307	3,220.6	3,370.6	3,220.6	3,216.0	3,445.9	3,595.9	3,308.0	3,423.5
Rural Formula, § 5311	224.9	224.9	224.9	224.6	240.6	240.6	231.0	239.0
Elderly and Disabled, § 5310	84.7	84.7	84.7	84.6	90.7	90.7	87.0	90.1
Clean Fuels	50.0	150.0	50.0	In Bus	50.0	150.0	50.0	In Bus
Other	11.8	11.8	11.8	16.8	11.8	11.8	162.8	11.7
Planning, § 5303	67.0	102.0	67.0	67.0	73.0	109.0	73.0	72.5
Research	49.0	82.0	49.0	49.0	49.0	83.0	49.0	48.7
Job Access and Reverse Commute	125.0	150.0	125.0	125.0	150.0	150.0	150.0	104.3
University Centers	6.0	6.0	6.0	6.0	6.0	6.0	6.0	6.0
Federal Transit Administration Operations	67.0	84.0	67.0	67.0	73.0	91.0	76.6	72.5
TOTAL TEA 21 AUTHORIZED FUNDING	6,747.0	7,737.0	6,747.0	6,747.0	7,226.0	8,194.0	7,229.6	7,179.0
Flexible Funding Transfers from FHWA (a)				1,117.5				1,008.6
TOTAL TRANSIT FUNDING				7,864.5				8,187.6

(a) Flexible funding transfers occur during the Fiscal Year based on state and local government actions, specific amounts are not designated for transfer in authorization or appropriation laws.

(b) Less than Guaranteed funding level due to a government-wide reduction in the FY 2003 Consolidated Appropriations Resolution, P.L. 108-7 and the transfer of \$45 million (reduced to \$44.7075 million by P.L. 108-7) from Job Access and Reverse Commute to the New Starts and Extensions.

(MILLIONS OF DOLLARS)

(MILLIONS OF DOLLARS)

Program	FY 2004			FY 2005			
	Total Authori- zation	Bush Budget Request	Actual Appropri- ation	Total Authori- zation (d)	Bush Budget Request	Final Authori- zation (d)	Actual Appropri- ation
Major Capital Investment Program Total, § 5309	3,137.5	1,534.1	3,188.6	3,388.8	1,563.2	3,361.7	3,361.7
New Starts/Extension	1,323.8	1,514.9	1,316.0	1,449.4	1,531.9	1,437.8	1,437.8
Fixed-Guideway Modernization	1,206.5	(a) 1,214.4	1,199.4	1,214.4	(a) 1,238.7	1,204.7	1,204.7
Bus	607.2	0.0	673.2	725.0	0.0	719.2	719.2
Clean Fuels	In Bus	0.0	In Bus	In Bus	0.0	In Bus	In Bus
Formula Program Total	3,839.0	5,615.4	3,766.6	3,982.2	5,622.9	3,950.3	3,950.3
Urbanized Area Formula, § 5307	3,445.9	3,521.3	3,425.6	3,622.2	3,443.8	3,593.2	3,593.2
Rural Formula, § 5311	240.6	359.4	239.2	252.9	366.6	250.9	250.9
Elderly and Disabled, § 5310	90.7	87.0	90.1	95.3	88.8	94.5	94.5
Clean Fuels	In Bus	0.0	In Bus	In Bus	0.0	In Bus	In Bus
Other	11.8	163.3	11.7	11.8	166.9	11.7	11.7
Planning, § 5303	73.0	(b) 89.4	72.6	73.0	(b) 154.8	72.4	72.4
Research	53.0	(a) 43.8	52.7	55.0	(a) 44.6	54.6	54.6
Job Access and Reverse Commute	125.0	(a) 150.0	104.4	125.0	(a) 153.0	124.0	124.0
University Centers	6.0	(a) 6.0	6.0	6.0	(a) 6.0	6.0	6.0
Federal Transit Administration Operations	75.5	76.5	75.1	78.0	79.9	77.4	77.4
TOTAL SAFETEA-LU AUTHORIZED FUNDING	7,309.0	7,225.1	7,265.9	7,708.0	7,266.0	7,646.3	7,646.3
Flexible Funding Transfers from FHWA (a)			980.9				966.0
TOTAL TRANSIT FUNDING			8,246.8				8,612.3

(a) In Formula Program Total.

(b) \$19.2 million in Major Capital Investment Program Total and \$70.2 million in Formula Program Total in FY 2004 and \$31.3 million in Major Capital Investment Program Total and \$114.6 in Formula Program Total in FY 2005.

(c) Flexible funding transfers occur during the Fiscal Year based on state and local government actions, specific amounts are not designated for transfer in authorization or appropriation laws.

(d) Total Authorization from TEA 21 extension acts, Final Authorization from SAFETEA-LU. SAFETEA-LU authorization level matches previously enacted appropriation adjusted for rescission.

(MILLIONS OF DOLLARS)

(MILLIONS OF DOLLARS)

Program	FY 2006				FY 2007		
	Guaranteed Authorization	Bush Budget Request	Initial Appropriation	Final Appropriation (b)	Guaranteed Authorization	Bush Budget Request	Final Appropriation
Major Capital Investment Program Total	1,503.0	1,531.2	1,503.0	1,488.0	1,566.0	1,466.0	1,566.0
§ 5309(m)(2)(A) New Starts and Extensions	1,503.0	1,531.2	1,503.0	1,488.0	1,566.0	1,466.0	1,566.0
Formula and Bus Program Total	6,979.9	6,112.2	6,932.2	6,862.8	7,262.8	7,262.8	7,262.8
§ 5307 Urbanized Area Formula	3,466.7	3,697.3	3,466.7	3,432.0	3,606.2	3,606.2	3,606.2
§ 5340 Growing States and High Density States	388.0	---	388.0	384.1	404.0	404.0	404.0
§ 5311 Rural Formula	388.0	392.6	388.0	384.1	404.0	404.0	404.0
§ 5310 Elderly and Disabled	112.0	95.1	112.0	110.9	117.0	117.0	117.0
§ 5317 New Freedom	78.0	158.4	78.0	77.2	81.0	81.0	81.0
§ 5308 Clean Fuels	43.0	---	43.0	42.6	45.0	45.0	45.0
§ 3038 Over-the-Road Bus	7.5	7.0	7.5	7.4	7.6	7.6	7.6
§ 5309(m)(2)(B) Fixed-Guideway Modernization	1,391.0	1,326.8	1,343.2	1,329.8	1,448.0	1,448.0	1,448.0
§ 5309(m)(2)(c) Bus and Bus Facilities	822.2	---	822.2	814.0	855.5	855.5	855.5
§ 5305 Planning	95.0	153.9	95.0	94.1	99.0	99.0	99.0
§ 5316 Job Access and Reverse Commute	138.0	163.9	138.0	136.6	144.0	144.0	144.0
§ 5320 Alternative Transportation in Parks	22.0	30.0	22.0	21.8	23.0	23.0	23.0
§ 5335 National Transit Database	3.5	---	3.5	3.5	3.5	3.5	3.5
§ 5339 Alternatives Analysis	25.0	---	25.0	24.8	25.0	25.0	25.0
Other	---	87.2	---	---	---	---	---
Research and University Centers	58.0	53.8	75.2	74.4	61.0	61.0	61.0
Federal Transit Administration Operations	82.0	83.5	80.0	79.2	85.0	85.0	85.0
TOTAL SAFETEA-LU AUTHORIZED FUNDING	8,622.9	7,780.8	8,590.4	8,504.5	8,974.8	8,874.8	8,974.8
Flexible Funding Transfers from FHWA (a)				1,325.5			923.1
TOTAL TRANSIT FUNDING				9,830.0			9,897.9

(a) Flexible funding transfers occur during the Fiscal Year based on state and local government actions, specific amounts are not designated for transfer in authorization or appropriation laws.

(b) Includes 1 percent across-the-board rescission as provided in P.L. 109-148.

(MILLIONS OF DOLLARS)

(MILLIONS OF DOLLARS)

Program	FY 2008			FY 2009			ARRA of 2009 Authorization and Appropriation
	Guaranteed Authorization	Bush Budget Request	Final Appropriation	Guaranteed Authorization	Bush Budget Request	Final Appropriation	
Major Capital Investment Program Total	1,700.0	1,399.8	1,569.1	1,809.2	1,620.8	1,809.2	750.0
§ 5309(m)(2)(A) New Starts and Extensions	1,700.0	1,399.8	1,569.1	1,809.2	1,620.8	1,809.2	750.0
Formula and Bus Program Total	7,872.9	7,871.9	7,767.9	8,360.6	8,360.6	8,260.6	7,533.0
§ 5307 Urbanized Area Formula	3,910.8	3,910.4	3,910.8	4,160.4	4,160.4	4,160.4	5,440.0
§ 5340 Growing States and High Density States	438.0	437.9	438.0	465.0	465.0	465.0	680.0
§ 5311 Rural Formula	438.0	437.9	438.0	465.0	465.0	465.0	663.0
§ 5310 Elderly and Disabled	127.0	127.0	127.0	133.5	133.5	133.5	---
§ 5317 New Freedom	87.5	87.5	87.5	92.5	92.5	92.5	---
§ 5308 Clean Fuels	49.0	69.0	49.0	51.5	51.5	51.5	---
§ 3038 Over-the-Road Bus	8.3	8.3	8.3	8.8	8.8	8.8	---
§ 5309(m)(2)(B) Fixed-Guideway Modernization	1,570.0	1,569.8	1,570.0	1,666.5	1,666.5	1,666.5	750.0
§ 5309(m)(2)(c) Bus and Bus Facilities	927.8	927.6	823.1	984.0	984.0	884.0	---
§ 5305 Planning	107.0	107.0	107.0	113.5	113.5	113.5	---
§ 5316 Job Access and Reverse Commute	156.0	156.0	156.0	164.5	164.5	164.5	---
§ 5320 Alternative Transportation in Parks	25.0	25.0	25.0	26.9	26.9	26.9	---
§ 5335 National Transit Database	3.5	3.5	3.5	3.5	3.5	3.5	---
§ 5339 Alternatives Analysis	25.0	25.0	24.7	25.0	25.0	25.0	---
Research and University Centers	65.5	61.0	65.4	69.8	59.6	67.0	---
Federal Transit Administration Operations	92.5	89.3	89.3	98.5	94.4	94.4	---
TOTAL SAFETEA-LU AUTHORIZED FUNDING	9,730.9	9,422.0	9,491.7	10,338.1	10,135.4	10,231.2	---
Public Transportation on Indian Reservations	---	---	---	---	---	---	17.0
TIGGER	---	---	---	---	---	---	100.0
Flexible Funding Transfers from FHWA (a)			894.3			1,280.6	---
TOTAL TRANSIT FUNDING			10,385.0			11,511.8	8,400.0

(a) Flexible funding transfers occur during the Fiscal Year based on state and local government actions, specific amounts are not designated for transfer in authorization or appropriation laws.

(MILLIONS OF DOLLARS)

(MILLIONS OF DOLLARS)

Program	FY 2010			FY 2011		
	Authori- zation	Obama Budget Request	Final Appropri- ation	Authori- zation	Obama Budget Request	Final Appropri- ation
Major Capital Investment Program Total	2,000.0	1,827.3	2,000.0	2,000.0	1,822.1	1,596.8
§ 5309(m)(2)(A) New Starts and Extensions	2,000.0	1,827.3	2,000.0	2,000.0	1,822.1	1,596.8
Formula and Bus Program Total	8,360.6	8,852.0	8,343.2	8,360.6	(b) 8,271.7	8,343.2
§ 5307 Urbanized Area Formula	4,160.4	---	4,151.7	4,160.4	4,633.5	4,151.7
§ 5340 Growing States and High Density States	465.0	---	464.0	465.0	In UZA and Rural	464.0
§ 5311 Rural Formula	465.0	---	464.0	465.0	547.8	464.0
§ 5310 Elderly and Disabled	133.5	---	133.2	133.5	230.0	133.2
§ 5317 New Freedom	92.5	---	92.3	92.5	In E and D	92.3
§ 5308 Clean Fuels	51.5	---	51.4	51.5	---	51.4
§ 3038 Over-the-Road Bus	8.8	---	8.8	8.8	---	8.8
§ 5309(m)(2)(B) Fixed-Guideway Modernization	1,666.5	---	1,663.0	1,666.5	In Other	1,663.0
§ 5309(m)(2)(c) Bus and Bus Facilities	984.0	---	982.0	984.0	In Other	982.0
§ 5305 Planning	113.5	---	113.3	113.5	---	113.3
§ 5316 Job Access and Reverse Commute	164.5	---	164.2	164.5	---	164.2
§ 5320 Alternative Transportation in Parks	26.9	---	26.8	26.9	27.4	26.8
§ 5335 National Transit Database	3.5	---	3.5	3.5	5.0	3.5
§ 5339 Alternatives Analysis	25.0	---	24.9	25.0	---	24.9
Other	---	---	---	---	2,853.7	---
Research and University Centers	69.8	67.7	65.7	69.8	In Other	58.9
Federal Transit Administration Operations	98.9	97.5	98.9	98.9	113.6	98.7
Other	---	---	---	---	82.5	---
TOTAL SAFETEA-LU AUTHORIZED FUNDING	10,529.2	10,844.5	10,507.8	10,529.2	10,379.9	10,097.6
TIGGER	---	---	75.0	50.0	75.0	49.9
Washington Metropolitan Area Transit Authority	---	---	150.0	150.0	150.0	149.7
Flexible Funding Transfers from FHWA (a)			1,454.9			(a)
TOTAL TRANSIT FUNDING	10,529.2	10,844.5	12,187.7	10,729.2	10,604.9	---

(a) Flexible funding transfers occur during the Fiscal Year based on state and local government actions, specific amounts are not designated for transfer in authorization or appropriation laws.

(b) Program amounts exceed available total.

(MILLIONS OF DOLLARS)

(MILLIONS OF DOLLARS)

Program	FY 2012		
	Authori- zation	Obama Budget Request	Final Appropri- ation
Major Capital Investment Program Total		3,469.0	
§ 5309(m)(2)(A) New Starts and Extensions		3,469.0	
Formula and Bus Program Total		7,692.0	
§ 5307 Urbanized Area Formula		6,492.0	
§ 5340 Growing States and High Density States		---	
§ 5311 Rural Formula		766.0	
§ 5310 Elderly and Disabled		---	
§ 5317 New Freedom		---	
§ 5308 Clean Fuels		---	
§ 3038 Over-the-Road Bus		---	
§ 5309(m)(2)(B) Fixed-Guideway Modernization		---	
§ 5309(m)(2)(c) Bus and Bus Facilities		---	
§ 5305 Planning		---	
§ 5316 Job Access and Reverse Commute		---	
§ 5320 Alternative Transportation in Parks		---	
§ 5335 National Transit Database		5.0	
§ 5339 Alternatives Analysis		---	
Other		430.0	
Research and University Centers		---	
Federal Transit Administration Operations		---	
Other		11,189.0	
TOTAL SAFETEA-LU AUTHORIZED FUNDING		22,351.0	
TIGGER		---	
Other		In Above	
Flexible Funding Transfers from FHWA (a)			(a)
TOTAL TRANSIT FUNDING		---	

(a) Flexible funding transfers occur during the Fiscal Year based on state and local government actions, specific amounts are not designated for transfer in authorization or appropriation laws.