

FTA

FEDERAL TRANSIT ADMINISTRATION

Understanding FTA and Its Programs

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U.S. Department of Transportation
Federal Transit Administration

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Legislative Authority

- UMTA Act of 1964 – origins in HUD
 - Reauthorizations
 - Codification in Title 49 USC Chapter 53
 - Annual Appropriations – obligation limitation for Trust Funds and actual general funds
 - Special Provisions, CRs etc. – published FR
- FTA's programs are authorized in the Federal Transit Act, as amended most recently by SAFETEA-LU (49 USC Ch 53)
- + Non-codified programs

Financial Assistance: Two Types

- **Formula Grant Programs**
 - How much money a grantee receives is determined by a formula (established in law or administrative)
- **Discretionary Grant Programs**
 - Congress or FTA determines how much money an individual grantee receives, based on competition

Categories of Assistance

- In general, FTA provides three broad categories of financial assistance through grants:
 - Planning
 - Capital
 - Operating
- For Public Transportation (excludes intercity bus and rail, school, charter and tour, exclusive taxi)

FTA Grant Programs

Formula Programs

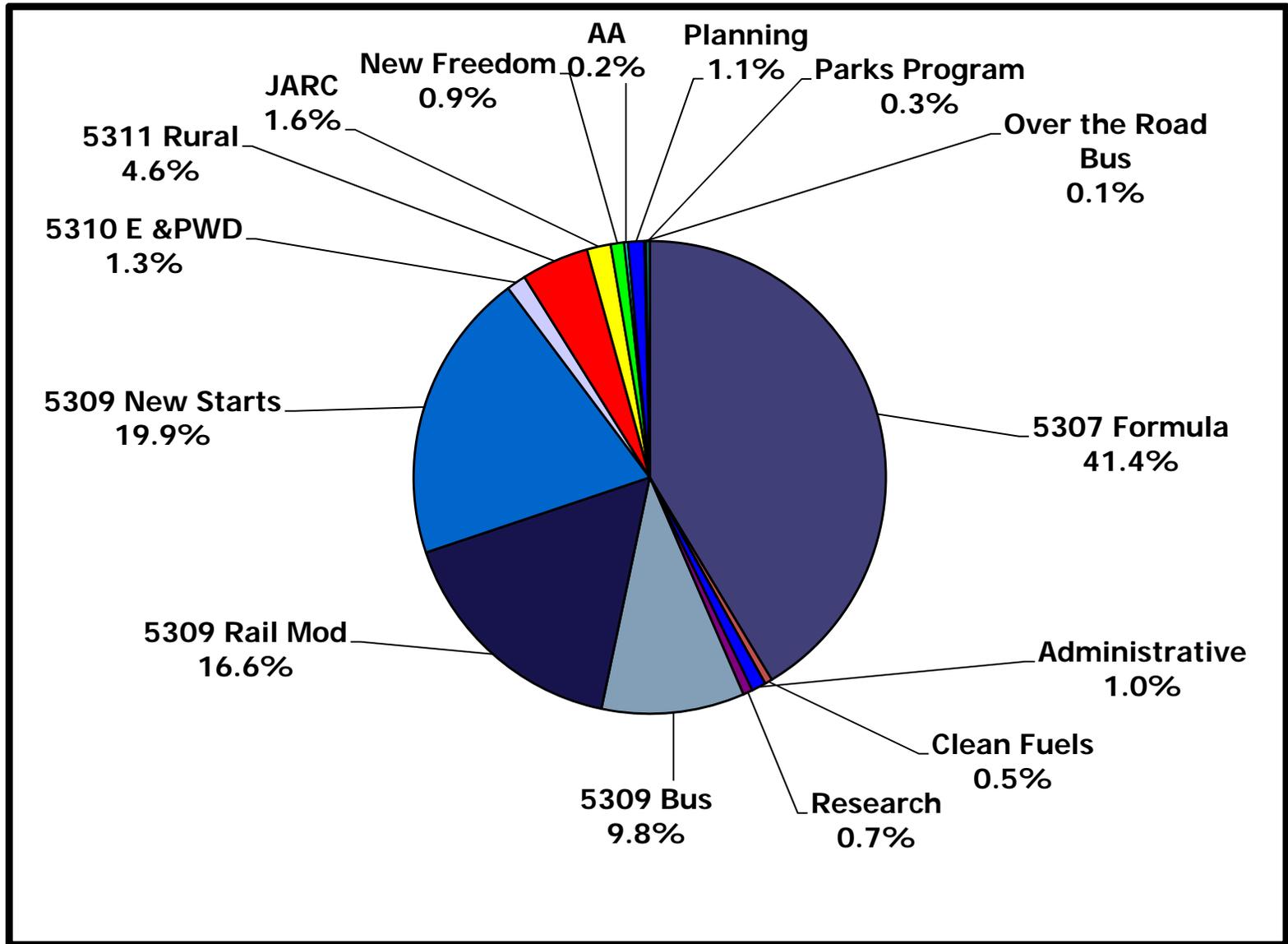
- 5303, 5304 Planning
- 5307 UZA Funds
- 5310 Elderly & Individuals with Disabilities
- 5311 Non-UZA Funds
- 5309 Fixed Guideway Mod
- 5316 JARC
- 5317 New Freedom

- WMATA and LMRO – special appropriations

Discretionary Programs

- 5308 Clean Fuels
- 5309 Bus
- 5309 New Starts/S Starts
- 5311 Tribal Transit
- 5314 Research
- 5320 Sarbanes Transit in the Parks
- 5339 AA
- Over the Road Bus
- TIGGER
- TIGER

Relative Size of Grant Programs - FY 2010



Sections 5303 and 5304 Planning Grant Programs

- Metropolitan Planning Funds (Section 5303)
 - Formula grants made to State DOTs
 - States pass the money through to the Metropolitan Planning Organizations (MPOs) at the urbanized area level
- Statewide Planning Funds (Section 5304)
 - Funding goes to the states who can use it for planning for rural and small urban areas and/or they can pass the funding through to MPOs to supplement Metro planning funds
- Highway and transit planning funds are interchangeable – can be used for either purpose

Urbanized Areas

- 3 Core programs (5307/ Fixed Guideway Mod/ New Starts) total 78% of FTA program
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Section 5307 Urbanized Area Formula Program

- Eligible recipients are public bodies
- Large Urbanized Areas (UZAs) (> 200,000 in population)
 - Funds apportioned directly to the UZAs based on population, population density, and other service factors
 - UZAs required to designate a recipient of the funds, who is responsible for deciding how the funds are used
 - Funds may be used for capital and/or planning purposes
- Small UZAs (between 50,000 and 200,000 in population)
 - All funding apportioned to the state, which then sub allocates the funding to the UZAs
 - Formula is based on population and population density
 - Funds may be used for capital, planning and/or operating purposes

Section 5309 Fixed Guideway Modernization

- Eligible recipients include public bodies
- Funds allocated by formula to urbanized areas over 200,000 in population that have fixed guideway segments that are more than one mile long and more than seven years old
- Formula for allocating funds contains seven tiers
- Formula is based on factors like miles of track, directional route-miles, and performance
- Funds may be used for capital expenses

Section 5309

New Starts/ Small Starts

- Eligible recipients include public bodies
- Funds major capital investments in fixed guideway projects, but some Small Starts not fixed guideway
- Discretionary program. Congress earmarks funding for specific projects
- Law requires that FTA rate and evaluate each project requesting New Starts funding according to specific criteria
- FTA/President recommends to Congress annually what projects should receive funding based on evaluation and project “readiness”
- Funded through multi-year grants Full Funding Grant Agreements (NS) or Project Development Agreement (SS)

Section 5339

Alternatives Analysis

- Eligible recipients include transit agencies, state DOTs, MPOs
- Funds alternatives analyses, which are prerequisites to receiving a grant under New Starts/Small Starts
- Program has a history of earmarking by Congress for specific projects, though not recently
- Enacted in SAFETEA-LU when AA became ineligible under 5309 NS

Section 5308 Clean Fuels

- Formula (unfunded) to Discretionary in SAFTEA-LU
- For EPA Non-attainment and Maintenance Areas
- UZA's only
- Specific fuel/vehicle types (limit on clean diesel)

Rural and Small Urban

- FHWA Demo for coordinated human service transportation – S. 147
- FTA program Since 1979 - \$65 M/yr for decade – now \$500M
- Administered by FHWA until FY 1984 – introduced some anomalies
- ISTEA – name change UMTA to FTA recognized transit focus beyond urban

Section 5311

Non-Urbanized Formula Program

- Funds apportioned to the states based on non-urbanized land area and population
- States decide what subrecipients to fund -- available to cities under 50,000 in population
- Subrecipients may be public bodies or private non-profit agencies
- Funds may be used for capital and/or operating expenses

Section 5311 - set-asides

- Intercity Bus – 15% of State's apportionment
- RTAP – 2% of national program – 85 to States/15 National
- Section 5311(c) Tribal Transit
 - Funding is a takedown from Section 5311 (before apportionment to States)
 - Only federally recognized Indian Tribes are eligible

Supplementary Discretionary

- Both Urban and Rural

Section 5309 Bus Discretionary

- Eligible recipients include public bodies; others eligible as subrecipients
- Discretionary capital funding for buses and bus-related facilities in both urbanized and rural areas
- Program has a history of being earmarked by Congress for specific projects but not in recent past

Specialized Focus Programs

- Section 5310 Elderly and Persons w Disabilities (formula)
 - Funds are apportioned based on each State's share of population of elderly/persons with disabilities
 - States allocate the funds to subrecipients that are mostly private non-profit entities
 - Capital projects are eligible for funding as well as acquisition of transportation services and state program administration

Specialized Focus Programs (continued)

- Section 5316 Job Access and Reverse Commute and Section 5317 New Freedom (beyond ADA)
- Funds allocated to the states and large urbanized areas
 - States and UZAs select subrecipients through competitive process
 - Eligible subrecipients include other public agencies, private non-profits and private operators

JARC	New Freedom
Formula based on low-income population	Formula based on number of persons with disabilities
Funds capital, operating, and/or planning expenses	Funds capital and/or operating expenses

Planning for 5310/ JARC/ New Freedom

- All projects must be derived from locally developed coordinated public transit – human service transportation plan

Specialized Focus Programs (continued)

- Section 5320 Paul S. Sarbanes Alternative Transportation in the Parks (discretionary)
 - Eligible recipients include Federal land management agencies and public bodies near Federal lands
 - Provides funds to support public transportation projects and alternative transportation in parks and public lands
 - Program is administered by FTA in consultation with Department of Interior

Specialized Focus Programs (continued)

- Over the Road Bus Accessibility (discretionary)
 - Eligible recipients include private for profit operators
 - Specific to vehicle type – ADA requirement for accessibility for over-the-road motorcoaches
 - 25% for Charter and tour operators/75% for Intercity
 - Enacted in TEA-21, continued in SAFETEA-LU, but not codified

Examples of Non-Codified Programs

- ARRA (Recovery Act)
- TIGGER (ARRA and TIGGER 2, but not FY 2012)
- TIGER (ARRA, + TIGER 2 and 3)
- Lower Manhattan Recovery
- WMATA (New for maintenance of system built earlier w/ \$\$ Stark-Harris)

Resources

- www.fta.dot.gov/grants - Details about the grant programs
- 49 U.S.C. Chapter 53 – The Federal Transit Act
- <http://thomas.loc.gov> – Current status of authorization and appropriations legislation
- www.fta.dot.gov – FTA’s Official Website
- FTA Office of Program Management – 202-366-4020