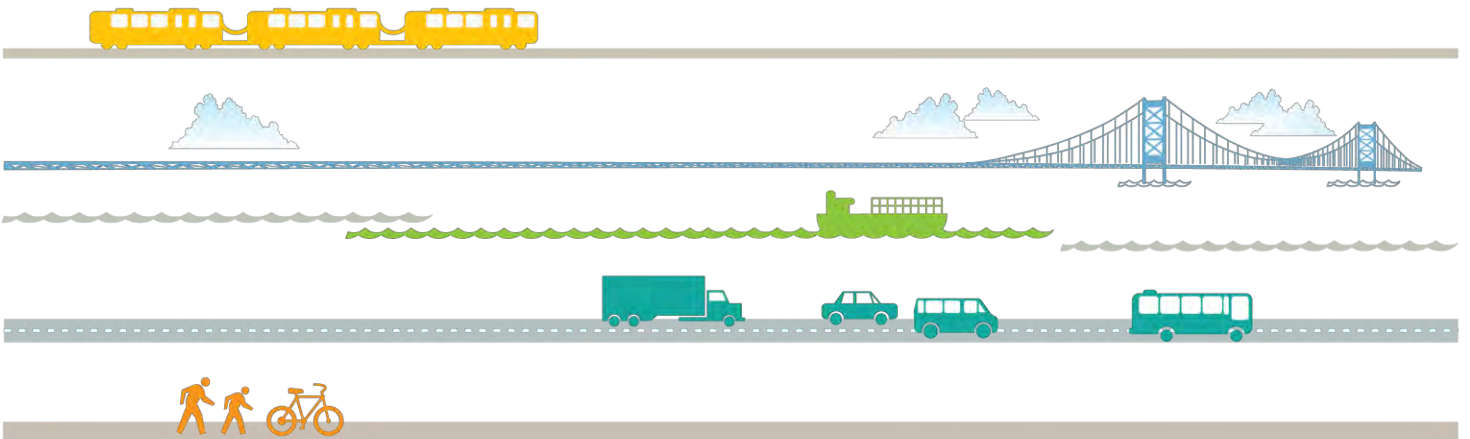


APPENDIX B

State DOT Financial and Procedural Guidance



April 3, 2014

PENNSYLVANIA’S 2015 TRANSPORTATION PROGRAM FINANCIAL GUIDANCE

This is a collaborative product jointly developed by the Pennsylvania Planning Partners – MPOs, RPOs, FHWA, FTA, the State Transportation Commission, and PENNDOT.

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BACKGROUND

The current federal surface transportation legislation is entitled the Moving Ahead for Progress in the 21st Century Act (MAP-21). It was signed into law by President Obama on July 6, 2012 and includes funding for federal fiscal years (FFY) 2013 and 2014. MAP-21 is the first multi-year highway authorization enacted since 2005.

MAP-21 is viewed by many as a milestone for the U.S. economy and the Nation's surface transportation program. By transforming the policy and programmatic framework for investments to guide the system's growth and development, MAP-21 creates a streamlined and performance-based surface transportation program and builds on many of the highway, transit, bike, and pedestrian programs and policies established in 1991.

MAP-21 dramatically impacts transportation funding decisions in Pennsylvania. One significant example is the newly established National Highway Performance Program (NHPP). The NHPP is the largest funding category (approximately 60% of the federal funding received by PennDOT). NHPP funds can only be used on a roadway network comprised of the Interstate, National Highway System, and principal arterials. This network is approximately 16% of the statewide system. While there is no doubt that this system requires significant funding, the balance of the network requires extensive investment as well. Implications of directing a majority of funding on a small fraction of our transportation system means that a large portion of that system will have only very limited funding available.

In addition, FFY 2014 ends on September 30, 2014 (MAP-21 funding expires). Approximately \$15 billion in additional revenue is required every year in order to keep federal funding flat. If this is not resolved, Pennsylvania stands to receive approximately \$8 million in FFY 2015 (compared to approximately \$1.6 billion, we receive annually). With the most recent federal shutdown and associated gridlock, the outlook does not promising for solving a significant funding gap at the federal level.

Draft financial guidance, presented in this document by the Financial Guidance Work Group, is the Group's best assessment regarding near term revenues that can support a 2015 Program update. As always, the Financial Guidance Work Group has been guided by past principles adopted by the Financial Guidance Steering Committee. These principles dictate that guidance must be based on:

- A cooperative effort;
- A long-term strategic viewpoint;
- A Commonwealth perspective;
- Existing and readily available data;
- Statewide and regional needs-based decision-making;
- Responsiveness to near-term issues and priorities; and,
- Coordination with other agencies and initiatives.

The Financial Guidance Work Group reached general agreement on draft financial guidance components at their meeting on October 9, 2013. Recommendations of the work group that are reflected in this document include the following:

- Needs based formulas have been revised to reflect the new provisions in MAP-21.
- Act 44 funds continue at a reduced level as prescribed by Act 44 of 2007.
- A zero percent revenue growth assumption in federal highway and bridge funds for the entire 2015-2018 Program is recommended by the Financial Guidance Workgroup.
- State Motor License Funds reflect a decrease due to declining revenues, discontinuation of the bridge bonding program, and debt service on existing bonds.
- State highway and bridge funding is also decreased based on revenue estimates and debt service on bonds.
- A zero percent revenue growth assumption for the federal transit program mirrors the assumptions on the federal highway side of the equation.
- State transit funding is based on estimated revenues to the Public Transportation Trust Fund.
- A 3 percent annual inflation factor is to be applied to each project cost estimate to reflect “year of expenditure” requirements.
- The Interstate Program will continue to be managed at a statewide level.

THE HIGHWAY PROGRAM

FUNDING

Funding for the development of Pennsylvania’s 2015 Transportation Program will include all Federal and state capital funding that is anticipated over the next four years. This will include State Appropriation 581 funding for highway capital projects, State Appropriations 183, and 185 funding for bridge capital projects, all federal highway and bridge funding apportioned or allocated to the Commonwealth as well as estimated federal and state transit funding. All regionally significant projects must be listed on the Program regardless of the type of funding.

State Appropriations 582 and 409 (Expanded Maintenance Program) funding is used for highway maintenance activities and is allocated to individual PennDOT County Maintenance Offices under a formula established by the State General Assembly. This funding may serve as the matching funds for Highway Restoration and Preservation projects and in such cases will represent additional funding which is provided to a region. The decision to include any state Appropriations 582 and 409 (Expanded Maintenance Program) funding in the Program will be a PennDOT decision based on an assessment of project priorities and funding availability within the individual counties.

The tables that are included in the appendices of this document include all federal funding (Except earmarks and other discretionary programs) anticipated for the four-year period covered by this program. Federal funding levels reflect zero growth. State funding levels reflect expected revenue increases generated with the passage of Act 89 in November 2013.

FUNDING DISTRIBUTION

The distribution of federal funds is provided through updated needs-based formulas and policy decisions that were determined during regular meetings of the Financial Guidance Work Group. This guidance continues to assume the practice of programming to the authorization level rather than a lower obligation level. The distribution of the highway and bridge funding is as follows:

- **Transportation Infrastructure Investment** (formerly Economic Development) – reserve \$25 million per year in state funds for transportation improvements associated with economic development opportunities. Decisions on how to utilize this funding will be at the discretion of the Secretary of Transportation.
- **Statewide Transit Flex** – reserve \$25 million per year in federal funds to flex to transit in accordance with agreements reached in conjunction with the enactment of Pennsylvania Act 3 of 1997.
- **Statewide Line Items** – reserve an average of \$40 million per year in federal and state highway and bridge funds for State and Local Bridge Inspection, Environmental Resource Agencies, DCNR Bridges, and other related statewide line items.
- **Interstate Management Program** – the Interstate system will continue to be managed on a statewide basis with the programming of funds occurring centrally by the Department of Transportation. The priority for these funds will be to maintain the existing system. Any capacity adding and non-capital (standalone ITS) projects will be advanced in coordination with the MPO/RPO and regional funds. A preliminary draft Interstate Management program will be provided to MPOs/RPOs and other stakeholders for information and consultation purposes in accordance with the attached schedule (Appendix 6). The following data will comprise the criteria by which the projects are evaluated:
 - Pavement Condition Assessment
 - Pavement Structure Age
 - Pavement Surface Age
 - Number of Resurfacings
 - International Roughness Index (IRI)
 - Overall Pavement Index
 - Traffic volume
 - Truck volume
 - Remaining Service Life
 - Bridge Condition Assessment
 - Bridge Risk Assessment
 - SD Status
 - Vertical Clearance Issues

Projects will be prioritized using various prioritization tools (i.e. Decision Lens software, Interstate Transportation Asset Management Tool (TAM), etc). Selected and programmed projects are based on prioritization, schedule and available funding.

- **Discretionary Funding (Spike)** – twenty percent of the balance of Surface Transportation Program funding will be reserved for distribution by the Secretary of Transportation in consultation with the State Transportation Commission, to offset the impact of high cost projects or programs ("spikes") which are beyond a region's allocation, or other statewide priorities.

- **National Highway Performance Program Formula (NHPP)** – twenty percent of the balance of NHPP funds will be held in a statewide reserve to advance projects on the enhanced NHPP. Projects will be selected utilizing the same criteria and prioritization tools as referenced for the Interstate Management Program above. Furthermore, an amount equal to the federal funds available to the Interstate Program in the 2013 Financial Guidance will be reserved for use by the Interstate Management Program. The remaining funds will be distributed among the urban and rural areas based upon those regions' share of bridge and highway needs on non-interstate federal aid routes on the enhanced NHS. The elements of the NHPP funds distribution are based upon 65% Bridge factors and 35% Highway factors. More specifically, the formula is further represented as follows:
 - 65% Bridge: 20% square foot deck area of all bridges > 20' and 80% square foot deck area of structurally deficient bridges > 20'
 - 35% Highway: 33% Vehicle Miles Traveled, 33% Lane Miles, 33% Poor IRI.

- **Surface Transportation Program Formula (STP, STN, STR)** – after the 20% discretionary funding set-aside, the remaining 80 percent will be distributed among the urban and rural areas based upon those regions' share of bridge and highway needs on federal aid routes not on the enhanced NHS. The elements of the STP funds distribution are based upon 65% Bridge factors and 35% Highway factors. More specifically, the formula is further represented as follows:
 - 65% Bridge: 20% square foot deck area of all bridges > 20' and 80% square foot deck area of structurally deficient bridges > 20'
 - 35% Highway: 33% Vehicle Miles Traveled, 33% Lane Miles, 33% Poor IRI.

- **Bridge Funding Formula (State)** – bridge funding will be allocated to planning regions based on square feet of deck area of structurally deficient bridges and square feet of deck area for all bridges. The factors for state bridge funds distribution is based upon the following formula: 20% (square foot deck area of state owned bridges > 8' and locally owned bridges > 20') and 80% (square foot deck area of state owned structurally deficient bridges > 8' and locally owned structurally deficient bridges > 20'). Aside from dedicated funding for off-system bridges, federal funding for bridges was not continued in MAP-21. Federally funded bridge projects will now utilize NHPP and STP funds which is reflective in the addition of bridge factors to the distribution formulas for those categories. Bridge rehabilitation, replacement, and preservation remain a Department priority.

- **Highway (Capital) Funding (State)** – Act 89 mandated 15% of available funds for both highway and bridge programs be held in reserve for highway capital projects. Remaining Highway funds will be distributed based upon each region's share of highway needs. The factors for state highway funds distribution is based upon the following formula: 33% Vehicle Miles Traveled, 33% Lane Miles, 33% Poor IRI.
- **Off System Bridges (BOF)** – off system bridge funding will be allocated to planning regions based on square feet of deck area of structurally deficient bridges and square feet of deck area for all bridges. The factors for off system bridge funds distribution is based upon the following formula: 20% (square foot deck area of state and locally owned bridges > 20') and 80% (square foot deck area of state and locally owned structurally deficient bridges > 20'). Minor collector and local functional class bridges are eligible for this category of funding.
- **Surface Transportation Program-Urban (STU)** – funding is allocated to each region with populations greater than 200,000 based on current federal formula. The federal formula suballocates STP funds within each state between urbanized areas with populations greater than 200,000 and the rest of the state in proportion to their relative share of the total state population as well as the total state urbanized area population in proportion to all other states total urbanized area population. The suballocation formula is currently based on the 2010 Federal Census.
- **Transportation Alternatives Program (TAP, TAU)** – funding for this program is similar to the STP program in that 50% of the funds are sub-allocated by population and 50% are available to any area of the state. Part of the 50% sub-allocated by population is assigned, by federal formula, to regions with populations greater than 200,000. The remaining funds sub-allocated by population and the 50% available to any area of the state are to be held in statewide reserve as mandated by regulations that prohibit the regional distribution of funds and require a statewide competitive process for selection of projects.
- **Congestion Mitigation and Air Quality (CMAQ)** – funding is distributed to the states based on federal factors which take into account each region's air quality classification. These same factors will be used to distribute the funding to the planning regions. Note that FHWA has placed a high priority on addressing congestion, particularly bottlenecks, traffic signal programs, and other recommendations supported by the Transportation Advisory Committee Report: Congestion Mitigation and Smart Transportation (May, 2009)
<ftp://ftp.dot.state.pa.us/public/pdf/STCTAC/TAC/Reports/Congestion%20Mitigation%20and%20Smart%20Transportation%20-%20May%202009%20-%20Final%20Report.pdf>.

- **Highway Safety Improvement Program (HSIP)** – \$35 million in funding for this program will be reserved statewide for various safety initiatives. An additional \$12 million is divided evenly amongst the urban and rural regions to provide a \$500,000 base amount of funding. The remaining funding will be allocated to planning regions based on the following formula: 50% fatalities and major injuries and 50% reportable crashes. Projects funded with HSIP federal funds must be included as part of an overall Department and FHWA approved Safety Program.
- **Highway-Rail Grade Crossing Safety (RRX)** – funding for this program will be held in a statewide line item. Centralizing management of this program will allow for a formalized project selection process and promote higher utilization of funding and the ability to initiate higher costs projects (see Appendix 7 for Section 130 Highway-Rail Grade Crossing Guidance).

The following are categories of funding have limitations on how and where they may be used and will be considered as additional funds to the region.

- **Special Federal Funding (SXF)** – which is earmarked for specific projects in ISTEA, TEA-21, SAFETEA-LU and other federal legislation.
- **Appalachia Development Highway (APD)** – dedicated funding was not continued in MAP-21. A balance of federal funds from SAFETEA-LU remain available and may only be used for eligible capital improvements on routes that have been designated as Appalachia highway corridors and which are included in the most recent Appalachia Development Highway System (ADHS) Cost to Complete Estimate. Further information on the ADHS including reports on the Cost to Complete Estimate can be found at: <http://www.arc.gov/adhs>
- **All Discretionary Federal Funding** – Most discretionary programs were not continued in MAP-21. Carryover funds exist in some categories which can be used for the specific awarded projects as long as funds remain available for obligation.
- **Appropriation 179** – State revenue was established under Act 26 of 1991. The funds were provided to PennDOT for distribution. Policy was established to provide the funds to underprivileged counties to cover the local match on county owned bridges. Act 89 of 2013 changed the distribution of these funds. Funds will go directly to the Counties through liquid fuels payments under a new Appropriation code beginning in Calendar Year (CY) 2014. The governor's budget office has allowed PennDOT to lapse remaining balance of Appropriation 179 funds to be utilized on existing projects with agreements already in place until the balance is exhausted.
- **Local and Private Funding** – Local and private funding is not included in the tables, and can be considered additional funding above that which is shown, if documentation supports the funds are reasonably expected to be made available. Specific guidance related to programming local, private and other sources of funding is provided in the Program Guidelines section of this guidance.

PROGRAM GUIDELINES

Program implementation will be dependent upon the actual federal obligation levels that are appropriated each year and the state funds included in the annual state budget. Because of this, the Program funding levels and implementation funding levels may differ.

The program will be fiscally constrained by year for each MPO and RPO. The tables that comprise the Appendices establish a region's annual funding constraint. PennDOT will work with MPOs and RPOs to assign projects and their associated funding to appropriate years based on a combination of project readiness and estimated funding availability.

Under previous federal regulations the program will be developed using the "year of expenditure" approach. This requires that an inflation factor is taken into account during the project cost estimating process. For project estimating purposes, a 3 percent inflation factor should be used in calculations for each year of the TIP. That is, project funding will be arrayed over the program period consistent with the amount which will be needed (including inflation) in any given year.

Low cost, short duration project phases should generally have all of their costs shown as a lump sum in a single year. Longer term, high cost project phases may have their costs spread over the several years that the specific phase will be active. In many cases, such phases will initially be advance constructed and then partially converted over several years. This action will require programming the advance construct costs for projects that are initiated prior to the beginning of the 2015 Program period (October 1, 2014), and which will require conversion funding during the 2015 Program period and beyond. All remaining project phases and costs must be included on a financially constrained long range plan.

The Pennsylvania Turnpike Commission receives funding from a variety of sources, including toll revenues, state funding earmarked in Act 26 of 1991 and Act 3 of 1997, and special federal funding earmarked by Congress. These funds are not reflected in this financial guidance. The authority for the programming of projects using these funding sources rests with the Turnpike Commission. The Turnpike Commission does implement projects that qualify for regular federal funds. If they desire to pursue regular federal funding, the Turnpike Commission will present their projects for consideration with other state and local projects within the appropriate planning region. However, all regionally significant Turnpike projects should be included on regional TIPs as required by statewide planning regulations.

As noted earlier, all regionally significant projects and phases of projects that are to be implemented in a region must be included in the Program, regardless of the type of funding to be used. Projects requiring cash flow beyond the TIP, or not fully funded on the TIP, must be listed as "later fiscal years" and included in the region's Long Range Plan. This may require revisions or amendments to the existing MPO/RPO Long Range Plan.

Note that the Final Rule on Statewide Transportation Planning and Metropolitan Transportation Planning, issued February 14, 2007, also requires that in air quality non-attainment and maintenance areas, projects included in the first two years of the STIP and TIP must be limited to those for which funds are "available" (dedicated state and federal) or "committed". Funds which

are listed on a STIP or TIP from sources that are not historically used for transportation purposes (including local and private funds) require a commitment in writing (letter of intent) by the responsible official or body having control of the funds.

DISTRIBUTION OF THE "SPIKE" FUNDING

The ultimate decisions with regard to the distribution of "spike" funding will be made by the Secretary of Transportation. Regions should align projects in accordance with their relative priorities and schedules, making every attempt to satisfy regional priorities within regional funding allocations.

Each planning region will submit its draft program to the Secretary of Transportation in accordance with the attached schedule (Appendix 6). This submission should reflect the collaborative efforts of the MPO/RPO, PennDOT, and other partners, and should clearly indicate the level of additional funding which is needed to fully implement the draft program. The Secretary will evaluate all of the draft programs and will determine the distribution of the balance of "spike" funding prior to the air quality conformity analysis period.

BEST PRACTICES

Line items provide flexibility for regions to reserve funding for projects or phases of projects that will be identified at some future date. However, with the continual "roll-over" of two years of projects each TIP update, a best practice is to limit the amount of line items in the first two years of a new TIP. Common sense planning tells us that we ought to be able to identify the vast majority of projects that will be undertaken in the first two years of the TIP. Because the schedule for the development of the 2015 Program necessitates the drafting of a program well in advance of the beginning of the program period, it is not always possible to predict all of the costs that will have to be addressed on ongoing projects. Some regions have found it to be in their best interest to program a contingency line item for unforeseen project costs which may occur due to accrued unbilled costs, advance construction conversions, updated cost estimates, and other actions which can occur between program drafting and initiation. The decision to use line items for these purposes is a local decision to be made by the respective planning partners in each region.

THE TRANSIT PROGRAM

FUNDING

Funding sources for transit improvements in Pennsylvania are federal, state, and local monies. Federal funding assumptions are based on year 2013 via MAP-21 and its anticipated successor. Federal revenue assumes no growth.

As part of an agreement between the Commonwealth and the transit community during the enactment of Act 3 of 1997, a total of \$25 million per year in federal highway funding is flexed to transit agencies for their projects. This funding is reserved in the highway financial guidance discussed previously. Federal and state funding which is available for public transit

programming is included in Appendices 3 through 5. Federal funding is based on guaranteed authorizations only, and includes a mix of urban formula, fixed guideway, new starts, and bus project funding. Additional federal fund authorizations are not included in the tables.

State funding for transit programs is provided for in Act 44 of 2007 as amended by Act 89 of 2103. Act 44 of 2007 established the Public Transportation Trust Fund (PTTF) to fund public transportation programs and projects. Public transportation funds from the following sources—Turnpike, Sales and Use Tax, Public Transportation Assistance Fund (PTAF), Capital Bond Funds, Lottery, transfers from the Motor License Fund that are not restricted to highway purposes and various fines—are deposited into the PTTF. Act 44, as amended authorizes six major public transportation programs:

- Operating Program (Section 1513)
- Asset Improvement Program for Capital projects (Section 1514)
- Capital Improvement Program (Section 1517)
- Alternative Energy Program (Section 1517.1)
- New Initiatives Program (Section 1515)
- Programs of Statewide Significance (Section 1516)

Operating Program – Operating funds are allocated among public transportation providers based on:

1. The operating assistance received in the prior fiscal year plus funding growth.
2. Funding growth over the prior year is distributed on four operating statistics:
 - a. Total passengers
 - b. Senior passengers
 - c. Revenue vehicle miles and
 - d. Revenue vehicle hours.

The local match requirement is 15% of state funding or 5% growth in local match, whichever is less. Act 44 also includes performance criteria for the evaluation of public transportation services.

Asset Improvement Program – The Asset Improvement Program is the program into which funds are deposited for the public transportation capital program. Source funding includes Turnpike funds other fees and Capital Bond funds. In accordance with Act 89 provisions, PennDOT receives a discretionary set aside equal to 5% of available funding. The balance is allocated to SEPTA (69.4%), Port Authority (22.6%) and the remainder (8%) to all other transit systems. These funds require a local match equal to 3.33% of the state grant.

New Initiatives Program – This program provides the framework to advance new or expansion of existing fixed guideway systems. Act 44 specifies criteria that must be met to receive funding under this program. The local match is established at 3.33% of the state funding. **NOTE:** No funding has been available for this program.

Capital Improvement Program – While still included as a capital program in the public transportation legislation, no new funding is deposited in this program after December 31, 2013.

Alternative Energy Capital Investment Program – This establishes a competitive grant program to implement capital improvements conversion to an alternative energy source.

Programs of Statewide Significance - Programs such as Persons with Disabilities, Welfare to Work, intercity bus and rail service, as well as technical assistance and demonstration projects, are funded using a dedicated portion of PTTF. The match requirement varies by program.

In addition to the programs authorized by Act 44, as amended, the State Lottery Law authorizes the Reduced Fare Shared-Ride Program for Senior Citizens—**Shared-Ride Program**. Lottery Funds are used to replace 85% of the fare for senior citizens 65 and older on shared ride, advanced reservation, curb to curb transportation services.

The funding in the transit tables is for planning purposes only. The actual state and federal funding that is ultimately available each year will be determined during the annual appropriations and budgeting processes.

DRAFT PROGRAM SUBMISSION

As noted earlier, each MPO and RPO is requested to submit a copy of its prioritized draft highway and bridge and transit programs to PennDOT by February 28, 2014. It is expected that all draft programs will be fiscally constrained at the time of submission. A separate document indicating additional priority projects that will not be able to advance due to fiscal constraint should accompany the draft program submission. The Secretary of Transportation will review the additional priority projects and determine the allocation of so-called "spike funds".

Appendix 1
Available Funds
2015 Financial Guidance
Highway and Bridge Funds (\$000)

Federal Funds	2015	2016	2017	2018	Total
National Highway Performance Program (NHPP)	897,323	897,323	897,323	897,323	3,589,294
Surface Transportation Program (STP)	413,623	413,623	413,623	413,623	1,654,493
Highway Safety Improvement Program (HSIP)	92,484	92,484	92,484	92,484	369,936
Congestion Mitigation and Air Quality (CMAQ)	100,491	100,491	100,491	100,491	401,964
Transportation Alternatives Program (TAP)	27,521	27,521	27,521	27,521	110,084
Railway-Highway Safety Crossings (RRX)	6,580	6,580	6,580	6,580	26,321
Subtotal -- Federal Funds	1,538,023	1,538,023	1,538,023	1,538,023	6,152,093
State Funds	2015	2016	2017	2018	Total
State Highway (Capital)	522,687	680,285	882,765	882,765	2,968,502
State Bridge	276,682	286,497	300,303	300,303	1,163,785
Subtotal -- State Funds	799,369	966,782	1,183,068	1,183,068	4,132,287
Grand Total	2,337,392	2,504,805	2,721,091	2,721,091	10,284,380

Federal and State Funds Subject to Distribution via Base Allocation Formulas (\$000)

National Highway Performance Program	2015	2016	2017	2018	Total
NHPP Apportionment	897,323	897,323	897,323	897,323	3,589,294
20% Statewide Reserve	179,465	179,465	179,465	179,465	717,859
Less Interstate Management Program	317,378	317,378	317,378	317,378	1,269,512
Less Bridge Inspection	12,000	12,000	12,000	12,000	48,000
NHPP Funds to Distribute	388,481	388,481	388,481	388,481	1,553,923

Surface Transportation Program	2015	2016	2017	2018	Total
STP Apportionment	413,623	413,623	413,623	413,623	1,654,493
Less STP-Urban Mandatory Distribution	128,496	128,496	128,496	128,496	513,982
Less Set-Aside for Off-System Bridges	73,797	73,797	73,797	73,797	295,187
Less Transit Flex	7,917	7,917	7,917	7,917	31,668
Less Bridge Inspection	12,000	12,000	12,000	12,000	48,000
Less Environmental Resource Agencies	6,200	6,200	6,200	6,200	24,800
<i>Remaining STP</i>	<i>185,214</i>	<i>185,214</i>	<i>185,214</i>	<i>185,214</i>	<i>740,856</i>
Less Spike (20% of Remaining STP)	37,043	37,043	37,043	37,043	148,171
STP Funds to Distribute	148,171	148,171	148,171	148,171	592,685

Highway Safety Improvement Program	2015	2016	2017	2018	Total
HSIP Apportionment	92,484	92,484	92,484	92,484	369,936
Less Base of \$500K to each MPO/RPO	12,000	12,000	12,000	12,000	48,000
Less Statewide Reserve	35,000	35,000	35,000	35,000	140,000
HSIP Funds to Distribute	45,484	45,484	45,484	45,484	181,936

Congestion Mitigation and Air Quality	2015	2016	2017	2018	Total
CMAQ Apportionment	100,491	100,491	100,491	100,491	401,964
Less Transit Flex	17,083	17,083	17,083	17,083	17,083
CMAQ funds to distribute	83,408	83,408	83,408	83,408	333,632

Transportation Alternatives Program	2015	2016	2017	2018	Total
TAP Apportionment	27,521	27,521	27,521	27,521	110,084
Less Recreational Trails	1,991	1,991	1,991	1,991	7,965
TAP Mandatory Distribution for Urban Areas	7,937	7,937	7,937	7,937	31,749
TAP Funds -- Statewide Competitive Program	17,593	17,593	17,593	17,593	70,370

Railway-Highway Safety Crossings	2015	2016	2017	2018	Total
Statewide Program	6,580	6,580	6,580	6,580	26,321

State Funds	2015	2016	2017	2018	Total
State Highway (Capital)	522,687	680,285	882,765	882,765	2,968,502
State Bridge	276,682	286,497	300,303	300,303	1,163,785
Total State Funds (for Discretionary Calculation)	799,369	966,782	1,183,068	1,183,068	4,132,287
Mandatory 15% Discretionary (Highway Funds)	119,905	145,017	177,460	177,460	619,843

State Highway (Capital)	2015	2016	2017	2018	Total
Highway (Capital) After Discretionary Set-Aside	402,782	535,268	705,305	705,305	2,348,659
Less Environmental Resource Agencies	1,550	1,550	1,550	1,550	6,200
Less Economic Development	25,000	25,000	25,000	25,000	100,000
State Highway (Capital) funds to Distribute	376,232	508,718	678,755	678,755	2,242,459

State Bridge	2015	2016	2017	2018	Total
State Bridge	276,682	286,497	300,303	300,303	1,163,785
Less Bridge Inspection	6,000	6,000	6,000	6,000	24,000
State Bridge funds to Distribute	270,682	280,497	294,303	294,303	1,139,785

Total Distributed/Statewide Reserve	2,210,608	2,378,021	2,594,307	2,594,307	9,777,243
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Amounts in **Bold** are further reflected on the regional distribution charts.

Appendix 2 - Highway/Bridge Base Funding Allocations for Each Region

FFY 2015 -- Highway/Bridge Base Funding Allocation (\$000)

Region	NHPP	STP	State Highway (Capital)	State Bridge	Off System Bridges	HSIP	Rail	CMAQ	TAP	STP-Urban	Total
DVRPC	121,065	20,703	58,031	40,880	10,074	11,858	0	30,904	3,782	61,224	358,521
SPC	103,097	41,065	79,603	66,358	22,158	9,506	0	18,719	1,744	28,229	370,479
Harrisburg	13,604	4,219	12,914	6,789	1,719	2,622	0	4,236	447	7,237	53,786
Scranton/WB	17,886	6,133	12,200	9,942	3,152	2,375	0	3,439	384	6,211	61,722
Lehigh Valley	21,922	4,267	13,133	10,885	1,884	2,843	0	4,989	636	10,293	70,853
NEPA	7,889	8,060	15,630	10,606	4,146	2,638	0	1,510	0	0	50,479
SEDA-COG	15,986	6,484	16,208	9,924	3,159	2,039	0	0	0	0	53,800
Altoona	2,719	1,249	2,648	2,199	603	992	0	816	0	0	11,226
Johnstown	7,480	1,568	4,528	2,951	677	1,026	0	1,108	0	0	19,337
Centre County	4,129	1,404	3,172	2,065	676	991	0	989	0	0	13,427
Williamsport	2,404	2,056	5,381	2,042	899	988	0	0	0	0	13,771
Erie	3,422	2,795	6,172	2,874	1,343	1,474	0	1,802	0	0	19,883
Lancaster	8,745	5,699	10,927	7,101	3,104	2,503	0	4,004	404	6,545	49,034
York	3,689	2,928	10,414	3,151	1,002	2,111	0	3,353	233	3,778	30,658
Reading	20,312	4,809	9,079	11,835	2,755	2,221	0	3,172	268	4,335	58,786
Lebanon	2,059	1,107	2,574	1,562	542	1,088	0	1,030	0	0	9,963
Mercer	2,167	2,591	3,375	3,291	1,545	1,057	0	749	40	643	15,457
Adams	1,664	1,264	3,605	1,670	585	1,005	0	651	0	0	10,445
Franklin	1,808	1,495	4,367	1,475	611	1,122	0	961	0	0	11,840
Total Urban	362,049	119,897	273,962	197,600	60,635	50,458	0	82,432	7,937	128,496	1,283,465
Northwest	9,940	6,834	16,637	8,316	3,255	1,704	0	0	0	0	46,686
N. Central	7,602	7,225	16,951	8,798	3,480	1,600	0	524	0	0	46,180
N. Tier	4,305	6,679	20,267	6,712	2,929	1,438	0	451	0	0	42,782
S. Alleghenies	4,583	5,731	14,405	6,638	2,801	1,575	0	0	0	0	35,733
Wayne County	1	1,805	5,575	1,565	697	709	0	0	0	0	10,353
Total Rural	26,432	28,274	73,836	32,029	13,162	7,027	0	976	0	0	181,734
Interstate Program	317,378	0	28,434	41,054	0	0	0	0	0	0	386,865
Statewide Program	0	0	0	0	0	0	6,580	0	17,593	0	24,173
Statewide Reserve	179,465	0	119,905	0	0	35,000	0	0	0	0	334,370
GRAND TOTAL	885,323	148,171	496,137	270,682	73,797	92,484	6,580	83,408	25,530	128,496	2,210,608

Appendix 2 - Highway/Bridge Base Funding Allocations for Each Region

FFY 2016 -- Highway/Bridge Base Funding Allocation (\$000)

Region	NHPP	STP	State Highway (Capital)	State Bridge	Off System Bridges	HSIP	Rail	CMAQ	TAP	STP- Urban	Total
DVRPC	121,065	20,703	78,467	42,362	10,074	11,858	0	30,904	3,782	61,224	380,439
SPC	103,097	41,065	107,635	68,764	22,158	9,506	0	18,719	1,744	28,229	400,917
Harrisburg	13,604	4,219	17,461	7,035	1,719	2,622	0	4,236	447	7,237	58,579
Scranton/WB	17,886	6,133	16,496	10,302	3,152	2,375	0	3,439	384	6,211	66,379
Lehigh Valley	21,922	4,267	17,758	11,280	1,884	2,843	0	4,989	636	10,293	75,872
NEPA	7,889	8,060	21,134	10,991	4,146	2,638	0	1,510	0	0	56,367
SEDA-COG	15,986	6,484	21,916	10,284	3,159	2,039	0	0	0	0	59,867
Altoona	2,719	1,249	3,580	2,279	603	992	0	816	0	0	12,238
Johnstown	7,480	1,568	6,122	3,058	677	1,026	0	1,108	0	0	21,038
Centre County	4,129	1,404	4,289	2,140	676	991	0	989	0	0	14,619
Williamsport	2,404	2,056	7,276	2,116	899	988	0	0	0	0	15,740
Erie	3,422	2,795	8,346	2,978	1,343	1,474	0	1,802	0	0	22,161
Lancaster	8,745	5,699	14,775	7,359	3,104	2,503	0	4,004	404	6,545	53,140
York	3,689	2,928	14,081	3,265	1,002	2,111	0	3,353	233	3,778	34,440
Reading	20,312	4,809	12,276	12,265	2,755	2,221	0	3,172	268	4,335	62,412
Lebanon	2,059	1,107	3,481	1,619	542	1,088	0	1,030	0	0	10,926
Mercer	2,167	2,591	4,564	3,410	1,545	1,057	0	749	40	643	16,765
Adams	1,664	1,264	4,875	1,730	585	1,005	0	651	0	0	11,775
Franklin	1,808	1,495	5,905	1,528	611	1,122	0	961	0	0	13,431
Total Urban	362,049	119,897	370,435	204,765	60,635	50,458	0	82,432	7,937	128,496	1,387,103
Northwest	9,940	6,834	22,496	8,618	3,255	1,704	0	0	0	0	52,847
N. Central	7,602	7,225	22,920	9,117	3,480	1,600	0	524	0	0	52,468
N. Tier	4,305	6,679	27,404	6,955	2,929	1,438	0	451	0	0	50,162
S. Alleghenies	4,583	5,731	19,478	6,879	2,801	1,575	0	0	0	0	41,046
Wayne County	1	1,805	7,538	1,622	697	709	0	0	0	0	12,373
Total Rural	26,432	28,274	99,836	33,190	13,162	7,027	0	976	0	0	208,896
Interstate Program	317,378	0	38,446	42,542	0	0	0	0	0	0	398,367
Statewide Program	0	0	0	0	0	0	6,580	0	17,593	0	24,173
Statewide Reserve	179,465	0	145,017	0	0	35,000	0	0	0	0	359,482
GRAND TOTAL	885,323	148,171	653,735	280,497	73,797	92,484	6,580	83,408	25,530	128,496	2,378,021

Appendix 2 - Highway/Bridge Base Funding Allocations for Each Region

FFY 2017 -- Highway/Bridge Base Funding Allocation (\$000)

Region	NHPP	STP	State Highway (Capital)	State Bridge	Off System Bridges	HSIP	Rail	CMAQ	TAP	STP-Urban	Total
DVRPC	121,065	20,703	104,694	44,447	10,074	11,858	0	30,904	3,782	61,224	408,751
SPC	103,097	41,065	143,611	72,149	22,158	9,506	0	18,719	1,744	28,229	440,278
Harrisburg	13,604	4,219	23,297	7,381	1,719	2,622	0	4,236	447	7,237	64,762
Scranton/WB	17,886	6,133	22,010	10,809	3,152	2,375	0	3,439	384	6,211	72,400
Lehigh Valley	21,922	4,267	23,693	11,835	1,884	2,843	0	4,989	636	10,293	82,363
NEPA	7,889	8,060	28,198	11,532	4,146	2,638	0	1,510	0	0	63,972
SEDA-COG	15,986	6,484	29,241	10,790	3,159	2,039	0	0	0	0	67,699
Altoona	2,719	1,249	4,777	2,391	603	992	0	816	0	0	13,547
Johnstown	7,480	1,568	8,168	3,208	677	1,026	0	1,108	0	0	23,235
Centre County	4,129	1,404	5,722	2,245	676	991	0	989	0	0	16,158
Williamsport	2,404	2,056	9,708	2,220	899	988	0	0	0	0	18,276
Erie	3,422	2,795	11,135	3,125	1,343	1,474	0	1,802	0	0	25,097
Lancaster	8,745	5,699	19,714	7,721	3,104	2,503	0	4,004	404	6,545	58,440
York	3,689	2,928	18,788	3,426	1,002	2,111	0	3,353	233	3,778	39,307
Reading	20,312	4,809	16,380	12,868	2,755	2,221	0	3,172	268	4,335	67,119
Lebanon	2,059	1,107	4,645	1,699	542	1,088	0	1,030	0	0	12,169
Mercer	2,167	2,591	6,089	3,578	1,545	1,057	0	749	40	643	18,458
Adams	1,664	1,264	6,504	1,815	585	1,005	0	651	0	0	13,489
Franklin	1,808	1,495	7,878	1,604	611	1,122	0	961	0	0	15,480
Total Urban	362,049	119,897	494,252	214,843	60,635	50,458	0	82,432	7,937	128,496	1,520,999
Northwest	9,940	6,834	30,015	9,042	3,255	1,704	0	0	0	0	60,790
N. Central	7,602	7,225	30,581	9,565	3,480	1,600	0	524	0	0	60,578
N. Tier	4,305	6,679	36,564	7,298	2,929	1,438	0	451	0	0	59,664
S. Alleghenies	4,583	5,731	25,988	7,217	2,801	1,575	0	0	0	0	47,895
Wayne County	1	1,805	10,058	1,701	697	709	0	0	0	0	14,973
Total Rural	26,432	28,274	133,206	34,823	13,162	7,027	0	976	0	0	243,900
Interstate Program	317,378	0	51,297	44,636	0	0	0	0	0	0	413,311
Statewide Program	0	0	0	0	0	0	6,580	0	17,593	0	24,173
Statewide Reserve	179,465	0	177,460	0	0	35,000	0	0	0	0	391,925
GRAND TOTAL	885,323	148,171	856,215	294,303	73,797	92,484	6,580	83,408	25,530	128,496	2,594,307

Appendix 2 - Highway/Bridge Base Funding Allocations for Each Region

FFY 2018 -- Highway/Bridge Base Funding Allocation (\$000)

Region	NHPP	STP	State Highway (Capital)	State Bridge	Off System Bridges	HSIP	Rail	CMAQ	TAP	STP- Urban	Total
DVRPC	121,065	20,703	104,694	44,447	10,074	11,858	0	30,904	3,782	61,224	408,751
SPC	103,097	41,065	143,611	72,149	22,158	9,506	0	18,719	1,744	28,229	440,278
Harrisburg	13,604	4,219	23,297	7,381	1,719	2,622	0	4,236	447	7,237	64,762
Scranton/WB	17,886	6,133	22,010	10,809	3,152	2,375	0	3,439	384	6,211	72,400
Lehigh Valley	21,922	4,267	23,693	11,835	1,884	2,843	0	4,989	636	10,293	82,363
NEPA	7,889	8,060	28,198	11,532	4,146	2,638	0	1,510	0	0	63,972
SEDA-COG	15,986	6,484	29,241	10,790	3,159	2,039	0	0	0	0	67,699
Altoona	2,719	1,249	4,777	2,391	603	992	0	816	0	0	13,547
Johnstown	7,480	1,568	8,168	3,208	677	1,026	0	1,108	0	0	23,235
Centre County	4,129	1,404	5,722	2,245	676	991	0	989	0	0	16,158
Williamsport	2,404	2,056	9,708	2,220	899	988	0	0	0	0	18,276
Erie	3,422	2,795	11,135	3,125	1,343	1,474	0	1,802	0	0	25,097
Lancaster	8,745	5,699	19,714	7,721	3,104	2,503	0	4,004	404	6,545	58,440
York	3,689	2,928	18,788	3,426	1,002	2,111	0	3,353	233	3,778	39,307
Reading	20,312	4,809	16,380	12,868	2,755	2,221	0	3,172	268	4,335	67,119
Lebanon	2,059	1,107	4,645	1,699	542	1,088	0	1,030	0	0	12,169
Mercer	2,167	2,591	6,089	3,578	1,545	1,057	0	749	40	643	18,458
Adams	1,664	1,264	6,504	1,815	585	1,005	0	651	0	0	13,489
Franklin	1,808	1,495	7,878	1,604	611	1,122	0	961	0	0	15,480
Total Urban	362,049	119,897	494,252	214,843	60,635	50,458	0	82,432	7,937	128,496	1,520,999
Northwest	9,940	6,834	30,015	9,042	3,255	1,704	0	0	0	0	60,790
N. Central	7,602	7,225	30,581	9,565	3,480	1,600	0	524	0	0	60,578
N. Tier	4,305	6,679	36,564	7,298	2,929	1,438	0	451	0	0	59,664
S. Alleghenies	4,583	5,731	25,988	7,217	2,801	1,575	0	0	0	0	47,895
Wayne County	1	1,805	10,058	1,701	697	709	0	0	0	0	14,973
Total Rural	26,432	28,274	133,206	34,823	13,162	7,027	0	976	0	0	243,900
Interstate Program	317,378	0	51,297	44,636	0	0	0	0	0	0	413,311
Statewide Program	0	0	0	0	0	0	6,580	0	17,593	0	24,173
Statewide Reserve	179,465	0	177,460	0	0	35,000	0	0	0	0	391,925
GRAND TOTAL	885,323	148,171	856,215	294,303	73,797	92,484	6,580	83,408	25,530	128,496	2,594,307

Appendix 2 - Highway/Bridge Base Funding Allocations for Each Region

Total FFY 2015-2018 -- Highway/Bridge Base Funding Allocation (\$000)

Region	NHPP	STP	State Highway (Capital)	State Bridge	Off System Bridges	HSIP	Rail	CMAQ	TAP	STP- Urban	Total
DVRPC	484,261	82,813	345,886	172,136	40,295	47,432	0	123,614	15,127	244,896	1,556,461
SPC	412,387	164,260	474,460	279,420	88,632	38,024	0	74,876	6,975	112,918	1,651,952
Harrisburg	54,416	16,876	76,969	28,586	6,876	10,488	0	16,943	1,788	28,947	241,888
Scranton/WB	71,545	24,533	72,716	41,862	12,609	9,499	0	13,756	1,535	24,845	272,900
Lehigh Valley	87,687	17,068	78,278	45,835	7,536	11,373	0	19,957	2,543	41,173	311,450
NEPA	31,554	32,239	93,159	44,661	16,585	10,551	0	6,041	0	0	234,790
SEDA-COG	63,945	25,936	96,606	41,788	12,636	8,154	0	0	0	0	249,065
Altoona	10,877	4,998	15,782	9,259	2,410	3,968	0	3,266	0	0	50,559
Johnstown	29,921	6,272	26,986	12,424	2,709	4,102	0	4,430	0	0	86,845
Centre County	16,518	5,617	18,905	8,696	2,705	3,964	0	3,957	0	0	60,361
Williamsport	9,618	8,223	32,072	8,599	3,597	3,954	0	0	0	0	66,063
Erie	13,689	11,181	36,789	12,101	5,372	5,895	0	7,209	0	0	92,237
Lancaster	34,982	22,796	65,129	29,902	12,417	10,013	0	16,017	1,617	26,181	219,054
York	14,755	11,712	62,072	13,267	4,006	8,443	0	13,412	933	15,112	143,713
Reading	81,246	19,237	54,115	49,837	11,019	8,883	0	12,686	1,071	17,340	255,435
Lebanon	8,237	4,429	15,345	6,579	2,167	4,353	0	4,118	0	0	45,227
Mercer	8,668	10,362	20,117	13,857	6,181	4,226	0	2,997	159	2,571	69,138
Adams	6,656	5,056	21,489	7,031	2,341	4,020	0	2,606	0	0	49,198
Franklin	7,234	5,981	26,028	6,210	2,445	4,490	0	3,844	0	0	56,232
Total Urban	1,448,196	479,588	1,632,902	832,051	242,539	201,830	0	329,729	31,749	513,982	5,712,566
Northwest	39,761	27,337	99,164	35,017	13,019	6,816	0	0	0	0	221,113
N. Central	30,407	28,898	101,033	37,045	13,921	6,401	0	2,098	0	0	219,803
N. Tier	17,221	26,718	120,798	28,262	11,717	5,751	0	1,805	0	0	212,272
S. Alleghenies	18,333	22,922	85,859	27,951	11,202	6,301	0	0	0	0	172,569
Wayne County	5	7,222	33,230	6,590	2,788	2,838	0	0	0	0	52,673
Total Rural	105,727	113,097	440,084	134,865	52,648	28,106	0	3,903	0	0	878,430
Interstate Program	1,269,512	0	169,473	172,869	0	0	0	0	0	0	1,611,854
Statewide Program	0	0	0	0	0	0	26,321	0	70,370	0	96,692
Statewide Reserve	717,859	0	619,843	0	0	140,000	0	0	0	0	1,477,702
GRAND TOTAL	3,541,294	592,685	2,862,302	1,139,785	295,187	369,936	26,321	333,632	102,119	513,982	9,777,243

Appendix 3
State Transit Funds
 Estimated Annual Funding 2015
 \$000

	OPERATOR	Asset * Improvement	New Initiatives	Operating # Assistance	Shared Ride @	5310 State Match	Total
URBAN	SEPTA	316,090	0	550,899	16,042	0	883,031
	PAAC	102,930	0	204,458	13,023	871	321,282
	AMTRAN -- Blair	0	0	2,553	0	0	2,553
	<i>Blair Senior Services</i>	0	0	0	1,176	0	1,176
	BARTA -- Berks	0	0	7,368	790	0	8,158
	BCTA -- Beaver	0	0	3,116	0	0	3,116
	CAT -- Dauphin	0	0	6,903	711	0	7,614
	CATA -- Centre	0	0	4,461	282	0	4,743
	CCTA -- Cambria	0	0	6,006	772	0	6,778
	COLTS -- Lackawanna	0	0	6,336	1,167	0	7,503
	EMTA -- Erie	0	0	7,755	995	0	8,750
	Fayette County	0	0	769	377	0	1,146
	HPT -- Hazleton	0	0	1,638	0	0	1,638
	LANTA -- Lehigh-Northampton	0	0	13,491	2,568	0	16,059
	LCTA -- Luzerne	0	0	5,046	652	0	5,698
	COLT -- Lebanon	0	0	1,570	488	0	2,058
	MMVTA -- Mid Mon Valley	0	0	2,351	0	0	2,351
	MCTA -- Monroe	0	0	1,651	617	0	2,268
	Pottstown	0	0	1,033	0	0	1,033
	<i>Suburban Transit, Inc.</i>	0	0	0	4,508	0	4,508
	RRTA -- Lancaster	0	0	5,360	1,522	0	6,882
	SVSS -- Shenango Valley	0	0	661	773	0	1,434
	Washington	0	0	1,032	0	0	1,032
	<i>WCTA -- Washington</i>	0	0	0	1,884	0	1,884
	WBT -- Williamsport	0	0	3,434	0	0	3,434
	<i>STEP, Inc.</i>	0	0	0	661	0	661
	WCTA -- Westmoreland	0	0	2,767	2,980	0	5,747
	YATA -- York/Adams	0	0	4,747	1,000	0	5,747
	Unallocated Other Urban Systems	0	0	0	0	1,733	1,733
	Urban Total	419,020	0	845,405	52,988	2,604	1,320,017
RURAL	ATA	0	0	3,731	292	0	4,023
	BTA -- Butler	0	0	740	0	0	740
	<i>Butler County</i>	0	0	0	576	0	576
	Carbon	0	0	225	575	0	800
	CATA -- Crawford	0	0	661	429	0	1,090
	DUFAST	0	0	483	0	0	483
	EMTA -- Endless Mtns.	0	0	730	825	0	1,555
	ICTA -- Indiana	0	0	1,295	417	0	1,712
	Mid-County -- Armstrong	0	0	513	357	0	870
	Mt. Carmel	0	0	284	0	0	284
	<i>Northumberland County</i>	0	0	0	639	0	639
	NCATA -- New Castle	0	0	3,665	0	0	3,665
	<i>ACTS -- Lawrence</i>	0		0	386	0	386
	STS -- Schuylkill	0	0	1,353	764	0	2,117
	TAWC -- Warren	0	0	561	358		919
	VCTO -- Venango	0	0	351	200	0	551
	Rural Total	0	0	14,592	5,818	0	20,410
	Total Other ^	0	0	4,515	15,093	0	19,608
	PennDOT Discretion	23,970	0	0	0	0	23,970
	Other Unallocated (Urban/Rural)	36,440	0	49,012	6,540	1,124	93,116
	GRAND TOTAL	479,430	0	913,524	80,439	3,728	1,477,121

* Act 89 allocates Asset Improvement funds in the following way - PennDOT 5%, the remaining 95% is distributed as follows - SEPTA 69.4%, PAAC 22.6% and other systems 8%.

Distribution for all fiscal years is based on FY 2011-12 operating statistics and uses 13/14 distributed amounts. Additional operating funding will be distributed using performance factors from the prior year and is captured in Other Unallocated under 1513 Operating.

^Attached list shows how Total Other funds are distributed in 2013. Assume similar distribution in future years.

@ Shared Ride allocation is based on 13/14 actual grants. Assume similar distribution in subsequent years.

Appendix 3
State Transit Funds
 Estimated Annual Funding 2016
 \$000

	OPERATOR	Asset * Improvement	New Initiatives	Operating # Assistance	Shared Ride @	5310 State Match	Total
URBAN	SEPTA	338,130	0	550,899	16,042	0	905,071
	PAAC	110,110	0	204,458	13,023	871	328,462
	AMTRAN -- Blair	0	0	2,553	0	0	2,553
	<i>Blair Senior Services</i>	0	0	0	1,176	0	1,176
	BARTA -- Berks	0	0	7,368	790	0	8,158
	BCTA -- Beaver	0	0	3,116	0	0	3,116
	CAT -- Dauphin	0	0	6,903	711	0	7,614
	CATA -- Centre	0	0	4,461	282	0	4,743
	CCTA -- Cambria	0	0	6,006	772	0	6,778
	COLTS -- Lackawanna	0	0	6,336	1,167	0	7,503
	EMTA -- Erie	0	0	7,755	995	0	8,750
	Fayette County	0	0	769	377	0	1,146
	HPT -- Hazleton	0	0	1,638	0	0	1,638
	LANTA -- Lehigh-Northampton	0	0	13,491	2,568	0	16,059
	LCTA -- Luzerne	0	0	5,046	652	0	5,698
	COLT -- Lebanon	0	0	1,570	488	0	2,058
	MMVTA -- Mid Mon Valley	0	0	2,351	0	0	2,351
	MCTA -- Monroe	0	0	1,651	617	0	2,268
	Pottstown	0	0	1,033	0	0	1,033
	<i>Suburban Transit, Inc.</i>	0	0	0	4,508	0	4,508
	RRTA -- Lancaster	0	0	5,360	1,522	0	6,882
	SVSS -- Shenango Valley	0	0	661	773	0	1,434
	Washington	0	0	1,032	0	0	1,032
	<i>WCTA -- Washington</i>	0	0	0	1,884	0	1,884
	WBT -- Williamsport	0	0	3,434	0	0	3,434
	<i>STEP, Inc.</i>	0	0	0	661	0	661
	WCTA -- Westmoreland	0	0	2,767	2,980	0	5,747
	YATA -- York/Adams	0	0	4,747	1,000	0	5,747
	Unallocated Other Urban Systems	0	0	0	0	1,733	1,733
	Urban Total	448,240	0	845,405	52,988	2,604	1,349,237
RURAL	ATA	0	0	3,731	292	0	4,023
	BTA -- Butler	0	0	740	0	0	740
	<i>Butler County</i>	0	0	0	576	0	576
	Carbon	0	0	225	575	0	800
	CATA -- Crawford	0	0	661	429	0	1,090
	DUFAST	0	0	483	0	0	483
	EMTA -- Endless Mtns.	0	0	730	825	0	1,555
	ICTA -- Indiana	0	0	1,295	417	0	1,712
	Mid-County -- Armstrong	0	0	513	357	0	870
	Mt. Carmel	0	0	284	0	0	284
	<i>Northumberland County</i>	0	0	0	639	0	639
	NCATA -- New Castle	0	0	3,665	0	0	3,665
	<i>ACTS -- Lawrence</i>	0		0	386	0	386
	STS -- Schuylkill	0	0	1,353	764	0	2,117
	TAWC -- Warren	0	0	561	358		919
	VCTO -- Venango	0	0	351	200	0	551
	Rural Total	0	0	14,592	5,818	0	20,410
	Total Other ^	0	0	4,515	15,093	0	19,608
	PennDOT Discretion	25,640	0	0	0	0	25,640
	Other Unallocated (Urban/Rural)	38,980	0	109,912	6,540	1,124	156,556
	GRAND TOTAL	512,860	0	974,424	80,439	3,728	1,571,451

* Act 89 allocates Asset Improvement funds in the following way - PennDOT 5%, the remaining 95% is distributed as follows - SEPTA 69.4%, PAAC 22.6% and other systems 8%.

Distribution for all fiscal years is based on FY 2011-12 operating statistics and uses 13/14 distributed amounts. Additional operating funding will be distributed using performance factors from the prior year and is captured in Other Unallocated under 1513 Operating.

^Attached list shows how Total Other funds are distributed in 2013. Assume similar distribution in future years.

@ Shared Ride allocation is based on 13/14 actual grants. Assume similar distribution in subsequent years.

Appendix 3
State Transit Funds
 Estimated Annual Funding 2017
 \$000

	OPERATOR	Asset * Improvement	New Initiatives	Operating # Assistance	Shared Ride @	5310 State Match	Total
URBAN	SEPTA	338,790	0	550,899	16,042	0	905,731
	PAAC	110,330	0	204,458	13,023	871	328,682
	AMTRAN -- Blair	0	0	2,553	0	0	2,553
	Blair Senior Services	0	0	0	1,176	0	1,176
	BARTA -- Berks	0	0	7,368	790	0	8,158
	BCTA -- Beaver	0	0	3,116	0	0	3,116
	CAT -- Dauphin	0	0	6,903	711	0	7,614
	CATA -- Centre	0	0	4,461	282	0	4,743
	CCTA -- Cambria	0	0	6,006	772	0	6,778
	COLTS -- Lackawanna	0	0	6,336	1,167	0	7,503
	EMTA -- Erie	0	0	7,755	995	0	8,750
	Fayette County	0	0	769	377	0	1,146
	HPT -- Hazleton	0	0	1,638	0	0	1,638
	LANTA -- Lehigh-Northampton	0	0	13,491	2,568	0	16,059
	LCTA -- Luzerne	0	0	5,046	652	0	5,698
	COLT -- Lebanon	0	0	1,570	488	0	2,058
	MMVTA -- Mid Mon Valley	0	0	2,351	0	0	2,351
	MCTA -- Monroe	0	0	1,651	617	0	2,268
	Pottstown	0	0	1,033	0	0	1,033
	Suburban Transit, Inc.	0	0	0	4,508	0	4,508
	RRTA -- Lancaster	0	0	5,360	1,522	0	6,882
	SVSS -- Shenango Valley	0	0	661	773	0	1,434
	Washington	0	0	1,032	0	0	1,032
	WCTA -- Washington	0	0	0	1,884	0	1,884
	WBT -- Williamsport	0	0	3,434	0	0	3,434
	STEP, Inc.	0	0	0	661	0	661
	WCTA -- Westmoreland	0	0	2,767	2,980	0	5,747
	YATA -- York/Adams	0	0	4,747	1,000	0	5,747
	Unallocated Other Urban Systems	0	0	0	0	1,733	1,733
	Urban Total	449,120	0	845,405	52,988	2,604	1,350,117
RURAL	ATA	0	0	3,731	292	0	4,023
	BTA -- Butler	0	0	740	0	0	740
	Butler County	0	0	0	576	0	576
	Carbon	0	0	225	575	0	800
	CATA -- Crawford	0	0	661	429	0	1,090
	DUFAST	0	0	483	0	0	483
	EMTA -- Endless Mtns.	0	0	730	825	0	1,555
	ICTA -- Indiana	0	0	1,295	417	0	1,712
	Mid-County -- Armstrong	0	0	513	357	0	870
	Mt. Carmel	0	0	284	0	0	284
	Northumberland County	0	0	0	639	0	639
	NCATA -- New Castle	0	0	3,665	0	0	3,665
	ACTS -- Lawrence	0		0	386	0	386
	STS -- Schuylkill	0	0	1,353	764	0	2,117
	TAWC -- Warren	0	0	561	358		919
	VCTO -- Venango	0	0	351	200	0	551
	Rural Total	0	0	14,592	5,818	0	20,410
	Total Other ^	0	0	4,515	15,093	0	19,608
	PennDOT Discretion	25,690	0	0	0	0	25,690
	Other Unallocated (Urban/Rural)	39,050	0	127,874	6,540	1,124	174,588
	GRAND TOTAL	513,860	0	992,386	80,439	3,728	1,590,413

* Act 89 allocates Asset Improvement funds in the following way - PennDOT 5%, the remaining 95% is distributed as follows - SEPTA 69.4%, PAAC 22.6% and other systems 8%.

Distribution for all fiscal years is based on FY 2011-12 operating statistics and uses 13/14 distributed amounts. Additional operating funding will be distributed using performance factors from the prior year and is captured in Other Unallocated under 1513 Operating.

^Attached list shows how Total Other funds are distributed in 2013. Assume similar distribution in future years.

@ Shared Ride allocation is based on 13/14 actual grants. Assume similar distribution in subsequent years.

Appendix 3
State Transit Funds
Estimated Annual Funding 2018
\$000

	OPERATOR	Asset * Improvement	New Initiatives	Operating # Assistance	Shared Ride @	5310 State Match	Total
URBAN	SEPTA	368,530	0	550,899	16,042	0	935,471
	PAAC	120,010	0	204,458	13,023	871	338,362
	AMTRAN -- Blair	0	0	2,553	0	0	2,553
	<i>Blair Senior Services</i>	0	0	0	1,176	0	1,176
	BARTA -- Berks	0	0	7,368	790	0	8,158
	BCTA -- Beaver	0	0	3,116	0	0	3,116
	CAT -- Dauphin	0	0	6,903	711	0	7,614
	CATA -- Centre	0	0	4,461	282	0	4,743
	CCTA -- Cambria	0	0	6,006	772	0	6,778
	COLTS -- Lackawanna	0	0	6,336	1,167	0	7,503
	EMTA -- Erie	0	0	7,755	995	0	8,750
	Fayette County	0	0	769	377	0	1,146
	HPT -- Hazleton	0	0	1,638	0	0	1,638
	LANTA -- Lehigh-Northampton	0	0	13,491	2,568	0	16,059
	LCTA -- Luzerne	0	0	5,046	652	0	5,698
	COLT -- Lebanon	0	0	1,570	488	0	2,058
	MMVTA -- Mid Mon Valley	0	0	2,351	0	0	2,351
	MCTA -- Monroe	0	0	1,651	617	0	2,268
	Pottstown	0	0	1,033	0	0	1,033
	<i>Suburban Transit, Inc.</i>	0	0	0	4,508	0	4,508
	RRTA -- Lancaster	0	0	5,360	1,522	0	6,882
	SVSS -- Shenango Valley	0	0	661	773	0	1,434
	Washington	0	0	1,032	0	0	1,032
	<i>WCTA -- Washington</i>	0	0	0	1,884	0	1,884
	WBT -- Williamsport	0	0	3,434	0	0	3,434
	<i>STEP, Inc.</i>	0	0	0	661	0	661
	WCTA -- Westmoreland	0	0	2,767	2,980	0	5,747
	YATA -- York/Adams	0	0	4,747	1,000	0	5,747
	Unallocated Other Urban Systems	0	0	0	0	1,733	1,733
	Urban Total	488,540	0	845,405	52,988	2,604	1,389,537
RURAL	ATA	0	0	3,731	292	0	4,023
	BTA -- Butler	0	0	740	0	0	740
	<i>Butler County</i>	0	0	0	576	0	576
	Carbon	0	0	225	575	0	800
	CATA -- Crawford	0	0	661	429	0	1,090
	DUFAST	0	0	483	0	0	483
	EMTA -- Endless Mtns.	0	0	730	825	0	1,555
	ICTA -- Indiana	0	0	1,295	417	0	1,712
	Mid-County -- Armstrong	0	0	513	357	0	870
	Mt. Carmel	0	0	284	0	0	284
	<i>Northumberland County</i>	0	0	0	639	0	639
	NCATA -- New Castle	0	0	3,665	0	0	3,665
	<i>ACTS -- Lawrence</i>	0		0	386	0	386
	STS -- Schuylkill	0	0	1,353	764	0	2,117
	TAWC -- Warren	0	0	561	358		919
	VCTO -- Venango	0	0	351	200	0	551
	Rural Total	0	0	14,592	5,818	0	20,410
	Total Other ^	0	0	4,515	15,093	0	19,608
	PennDOT Discretion	27,950	0	0	0	0	27,950
	Other Unallocated (Urban/Rural)	42,480	0	154,921	6,540	1,124	205,065
	GRAND TOTAL	558,970	0	1,019,433	80,439	3,728	1,662,570

* Act 89 allocates Asset Improvement funds in the following way - PennDOT 5%, the remaining 95% is distributed as follows - SEPTA 69.4%, PAAC 22.6% and other systems 8%.

Distribution for all fiscal years is based on FY 2011-12 operating statistics and uses 13/14 distributed amounts. Additional operating funding will be distributed using performance factors from the prior year and is captured in Other Unallocated under 1513 Operating.

^Attached list shows how Total Other funds are distributed in 2013. Assume similar distribution in future years.

@ Shared Ride allocation is based on 13/14 actual grants. Assume similar distribution in subsequent years.

Appendix 3
State Transit Funds
 Estimated Total Annual Funding 2015-2018
 \$000

	OPERATOR	Asset * Improvement	New Initiatives	Operating # Assistance	Shared Ride @	5310 State Match	Total
URBAN	SEPTA	1,361,540	0	2,203,596	64,168	0	3,629,304
	PAAC	443,380	0	817,832	52,092	3,484	1,316,788
	AMTRAN -- Blair	0	0	10,212	0	0	10,212
	<i>Blair Senior Services</i>	0	0	0	4,704	0	4,704
	BARTA -- Berks	0	0	29,472	3,160	0	32,632
	BCTA -- Beaver	0	0	12,464	0	0	12,464
	CAT -- Dauphin	0	0	27,612	2,844	0	30,456
	CATA -- Centre	0	0	17,844	1,128	0	18,972
	CCTA -- Cambria	0	0	24,024	3,088	0	27,112
	COLTS -- Lackawanna	0	0	25,344	4,668	0	30,012
	EMTA -- Erie	0	0	31,020	3,980	0	35,000
	Fayette County	0	0	3,076	1,508	0	4,584
	HPT -- Hazleton	0	0	6,552	0	0	6,552
	LANTA -- Lehigh-Northampton	0	0	53,964	10,272	0	64,236
	LCTA -- Luzerne	0	0	20,184	2,608	0	22,792
	COLT -- Lebanon	0	0	6,280	1,952	0	8,232
	MMVTA -- Mid Mon Valley	0	0	9,404	0	0	9,404
	MCTA -- Monroe	0	0	6,604	2,468	0	9,072
	Pottstown	0	0	4,132	0	0	4,132
	<i>Suburban Transit, Inc.</i>	0	0	0	18,032	0	18,032
	RRTA -- Lancaster	0	0	21,440	6,088	0	27,528
	SVSS -- Shenango Valley	0	0	2,644	3,092	0	5,736
	Washington	0	0	4,128	0	0	4,128
	WCTA -- Washington	0	0	0	7,536	0	7,536
	WBT -- Williamsport	0	0	13,736	11,920	0	25,656
	<i>STEP, Inc.</i>	0	0	0	2,644	0	2,644
	WCTA -- Westmoreland	0	0	11,068	0	0	11,068
	YATA -- York/Adams	0	0	18,988	4,000	0	22,988
	Unallocated Other Urban Systems	0	0	0	0	6,932	6,932
	Urban Total	1,804,920	0	3,381,620	211,952	10,416	5,408,908
RURAL	ATA	0	0	14,924	1,168	0	16,092
	BTA -- Butler	0	0	2,960	0	0	2,960
	<i>Butler County</i>	0	0	0	2,304	0	2,304
	Carbon	0	0	900	2,300	0	3,200
	CATA -- Crawford	0	0	2,644	1,716	0	4,360
	DUFAST	0	0	1,932	0	0	1,932
	EMTA -- Endless Mtns.	0	0	2,920	3,300	0	6,220
	ICTA -- Indiana	0	0	5,180	1,668	0	6,848
	Mid-County -- Armstrong	0	0	2,052	1,428	0	3,480
	Mt. Carmel	0	0	1,136	0	0	1,136
	Northumberland County	0	0	0	2,556	0	2,556
	NCATA -- New Castle	0	0	14,660	0	0	14,660
	<i>ACTS -- Lawrence</i>	0	0	0	1,544	0	1,544
	STS -- Schuylkill	0	0	5,412	3,056	0	8,468
	TAWC -- Warren	0	0	2,244	1,432	0	3,676
	VCTO -- Venango	0	0	1,404	800	0	2,204
	Rural Total	0	0	58,368	23,272	0	81,640
	Total Other ^	0	0	18,060	60,372	0	78,432
	PennDOT Discretion	103,250	0	0	0	0	103,250
	Other Unallocated (Urban/Rural)	156,950	0	441,719	26,160	4,496	629,325
	GRAND TOTAL	2,065,120	0	3,899,767	321,756	14,912	6,301,555

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^Attached list shows how Total Other funds are distributed in 2013. Assume similar distribution in future years.

@ Shared Ride allocation is based on 13/14 actual grants. Assume similar distribution in subsequent years.

Appendix 4
2015 Financial Guidance
Federal Transit Funding 2015-2018 (\$000)

Federal Transit	FFY 2015						
	Urbanized Area (5307 & 5340)	Fixed Guideway Modernization	5310	5311+	Appalachian Funds+	5539 (Bus)	Total
Allentown-Bethlehem*	7,775	0	618	0	0	885	9,278
Altoona*	1,186	0	0	0	0	0	1,186
East Stroudsburg*	1,671	0	0	0	0	0	1,671
Erie*	3,627	0	0	0	0	0	3,627
Harrisburg*	5,967	0	382	0	0	500	6,849
Hazleton*	797	0	0	0	0	0	797
Johnstown*	1,501	13	0	0	0	0	1,514
Lancaster*	8,560	0	349	0	0	538	9,447
Lebanon*	1,385	0	0	0	0	0	1,385
Monessen*	1,375	0	0	0	0	0	1,375
Philadelphia**	100,982	99,611	3,476	0	0	8,234	212,303
Pittsburgh**	31,400	19,510	1,936	0	0	2,870	55,716
Pottstown*	1,272	0	0	0	0	0	1,272
Reading*	3,528	0	284	0	0	390	4,202
Scranton/Wilkes-Barre*	3,973	0	477	0	0	424	4,874
Sharon*	634	0	52	0	0	0	686
State College*	2,628	0	0	0	0	0	2,628
Uniontown-Connellsville*	1,016	0	0	0	0	0	1,016
Williamsport*	1,929	0	0	0	0	0	1,929
York*	3,439	0	229	0	0	279	3,947
Large Urban	0	9,656	0	0	0	0	9,656
Small Urban	1,482	0	2,104	0	0	1,634	5,220
Non Urbanized	0	0	2,391	19,000	0	1,248	22,639
Intercity Bus	0	0	0	3,000	0	0	3,000
Appalachian Counties	0	0	0	0	5,000	0	5,000
TOTALS	186,127	128,790	12,298	22,000	5,000	17,002	371,217

+These funds can be used for operating, capital or technical assistance

** Systems that can use a portion of their federal 5307 funds for operating assistance

** Systems are not able to use their federal section 5307 funds for operating assistance

Appendix 4
2015 Financial Guidance
Federal Transit Funding 2015-2018 (\$000)

Federal Transit	FFY 2016						
	Urbanized Area (5307 & 5340)	Fixed Guideway Modernization	5310	5311+	Appalachia Funds+	5539 (Bus)	Total
Allentown-Bethlehem*	7,775	0	618	0	0	885	9,278
Altoona*	1,186	0	0	0	0	0	1,186
East Stroudsburg*	1,671	0	0	0	0	0	1,671
Erie*	3,627	0	0	0	0	0	3,627
Harrisburg*	5,967	0	382	0	0	500	6,849
Hazleton*	797	0	0	0	0	0	797
Johnstown*	1,501	13	0	0	0	0	1,514
Lancaster*	8,560	0	349	0	0	538	9,447
Lebanon*	1,385	0	0	0	0	0	1,385
Monessen*	1,375	0	0	0	0	0	1,375
Philadelphia**	100,982	99,611	3,476	0	0	8,234	212,303
Pittsburgh**	31,400	19,510	1,936	0	0	2,870	55,716
Pottstown*	1,272	0	0	0	0	0	1,272
Reading*	3,528	0	284	0	0	390	4,202
Scranton/Wilkes-Barre*	3,973	0	477	0	0	424	4,874
Sharon*	634	0	52	0	0	0	686
State College*	2,628	0	0	0	0	0	2,628
Uniontown-Connellsville*	1,016	0	0	0	0	0	1,016
Williamsport*	1,929	0	0	0	0	0	1,929
York*	3,439	0	229	0	0	279	3,947
Large Urban	0	9,656	0	0	0	0	9,656
Small Urban	1,482	0	2,104	0	0	1,634	5,220
Non Urbanized	0	0	2,391	19,000	0	1,248	22,639
Intercity Bus	0	0	0	3,000	0	0	3,000
Appalachian Counties				0	5,000	0	5,000
TOTALS	186,127	128,790	12,298	22,000	5,000	17,002	371,217

+These funds can be used for operating, capital or technical assistance

* Systems that can use a portion of their federal 5307 funds for operating assistance

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Appendix 4
2015 Financial Guidance
Federal Transit Funding 2015-2018 (\$000)

Federal Transit	FY 2017						
	Urbanized Area (5307 & 5340)	Fixed Guideway Modernization	5310	5311+	Appalachia Funds+	5539 (Bus)	Total
Allentown-Bethlehem*	7,775	0	618	0	0	885	9,278
Altoona*	1,186	0	0	0	0	0	1,186
East Stroudsburg*	1,671	0	0	0	0	0	1,671
Erie*	3,627	0	0	0	0	0	3,627
Harrisburg*	5,967	0	382	0	0	500	6,849
Hazleton*	797	0	0	0	0	0	797
Johnstown*	1,501	13	0	0	0	0	1,514
Lancaster*	8,560	0	349	0	0	538	9,447
Lebanon*	1,385	0	0	0	0	0	1,385
Monessen*	1,375	0	0	0	0	0	1,375
Philadelphia**	100,982	99,611	3,476	0	0	8,234	212,303
Pittsburgh**	31,400	19,510	1,936	0	0	2,870	55,716
Pottstown*	1,272	0	0	0	0	0	1,272
Reading*	3,528	0	284	0	0	390	4,202
Scranton/Wilkes-Barre*	3,973	0	477	0	0	424	4,874
Sharon*	634	0	52	0	0	0	686
State College*	2,628	0	0	0	0	0	2,628
Uniontown-Connellsville*	1,016	0	0	0	0	0	1,016
Williamsport*	1,929	0	0	0	0	0	1,929
York*	3,439	0	229	0	0	279	3,947
Large Urban	0	9,656	0	0	0	0	9,656
Small Urban	1,482	0	2,104	0	0	1,634	5,220
Non Urbanized	0	0	2,391	19,000	0	1,248	22,639
Intercity Bus	0	0	0	3,000	0	0	3,000
Appalachian Counties	0	0	0	0	5,000	0	5,000
TOTALS	186,127	128,790	12,298	22,000	5,000	17,002	371,217

+These funds can be used for operating, capital or technical assistance

* Systems that can use a portion of their federal 5307 funds for operating assistance

** Systems are not able to use their federal section 5307 funds for operating assistance

Appendix 4
2015 Financial Guidance
Federal Transit Funding 2015-2018 (\$000)

Federal Transit	FY 2018						
Urban Area	Urbanized Area (5307 & 5340)	Fixed Guideway Modernization	5310	5311+	Appalachian Funds+	5539 (Bus)	Total
Allentown-Bethlehem*	7,775	0	618	0	0	885	9,278
Altoona*	1,186	0	0	0	0	0	1,186
East Stroudsburg*	1,671	0	0	0	0	0	1,671
Erie*	3,627	0	0	0	0	0	3,627
Harrisburg*	5,967	0	382	0	0	500	6,849
Hazleton*	797	0	0	0	0	0	797
Johnstown*	1,501	13	0	0	0	0	1,514
Lancaster*	8,560	0	349	0	0	538	9,447
Lebanon*	1,385	0	0	0	0	0	1,385
Monessen*	1,375	0	0	0	0	0	1,375
Philadelphia**	100,982	99,611	3,476	0	0	8,234	212,303
Pittsburgh**	31,400	19,510	1,936	0	0	2,870	55,716
Pottstown*	1,272	0	0	0	0	0	1,272
Reading*	3,528	0	284	0	0	390	4,202
Scranton/Wilkes-Barre*	3,973	0	477	0	0	424	4,874
Sharon*	634	0	52	0	0	0	686
State College*	2,628	0	0	0	0	0	2,628
Uniontown-Connellsville*	1,016	0	0	0	0	0	1,016
Williamsport*	1,929	0	0	0	0	0	1,929
York*	3,439	0	229	0	0	279	3,947
Large Urban	0	9,656	0	0	0	0	9,656
Small Urban	1,482	0	2,104	0	0	1,634	5,220
Non Urbanized	0	0	2,391	19,000	0	1,248	22,639
Intercity Bus	0	0	0	3,000	0	0	3,000
Appalachian Counties	0	0	0	0	5,000	0	5,000
TOTALS	186,127	128,790	12,298	22,000	5,000	17,002	371,217

+These funds can be used for operating, capital or technical assistance

* Systems that can use a portion of their federal 5307 funds for operating assistance

** Systems are not able to use their federal section 5307 funds for operating assistance

Appendix 4
2015 Financial Guidance
Federal Transit Funding 2015-2018 (\$000)

Federal Transit	Total FFY 2015 - FFY 2018						
Urban Area	Urbanized Area (5307 & 5340)	Fixed Guideway Modernization	5310	5311+	Appalachian Funds+	5539 (Bus)	Total
Allentown-Bethlehem*	31,100	0	2,472	0	0	3,540	37,112
Altoona*	4,744	0	0	0	0	0	4,744
East Stroudsburg*	6,684	0	0	0	0	0	6,684
Erie*	14,508	0	0	0	0	0	14,508
Harrisburg*	23,868	0	1,528	0	0	2,000	27,396
Hazleton*	3,188	0	0	0	0	0	3,188
Johnstown*	6,004	52	0	0	0	0	6,056
Lancaster*	34,240	0	1,396	0	0	2,152	37,788
Lebanon*	5,540	0	0	0	0	0	5,540
Monessen*	5,500	0	0	0	0	0	5,500
Philadelphia**	403,928	398,444	13,904	0	0	32,936	849,212
Pittsburgh**	125,600	78,040	7,744	0	0	11,480	222,864
Pottstown*	5,088	0	0	0	0	0	5,088
Reading*	14,112	0	1,136	0	0	1,560	16,808
Scranton/Wilkes-Barre*	15,892	0	1,908	0	0	1,696	19,496
Sharon*	2,536	0	208	0	0	0	2,744
State College*	10,512	0	0	0	0	0	10,512
Uniontown-Connellsville*	4,064	0	0	0	0	0	4,064
Williamsport*	7,716	0	0	0	0	0	7,716
York*	13,756	0	916	0	0	1,116	15,788
Large Urban	0	38,624	0	0	0	0	38,624
Small Urban	5,928	0	8,416	0	0	6,536	20,880
Non Urbanized	0	0	9,564	76,000	0	4,992	90,556
Intercity Bus	0	0	0	12,000	0	0	12,000
Appalachian Counties	0	0	0	0	20,000	0	20,000
TOTALS	744,508	515,160	49,192	88,000	20,000	68,008	1,484,868

+These funds can be used for operating, capital or technical assistance

* Systems that can use a portion of their federal 5307 funds for operating assistance

** Systems are not able to use their federal section 5307 funds for operating assistance

Appendix 5
2015-2018 Federal and State Transit Funding by Region
(\$000)

Region	2015			2016			2017			2018			TOTAL		
	Federal Transit	State Transit	Total	Federal Transit	State Transit	Total	Federal Transit	State Transit	Total	Federal Transit	State Transit	Total	Federal Transit	State Transit	Total
Delaware Valley	213,575	888,572	1,102,147	213,575	910,612	1,124,187	213,575	911,272	1,124,847	213,575	941,012	1,154,587	854,300	3,651,468	4,505,768
Southwest Penna	58,107	344,507	402,614	58,107	351,687	409,794	58,107	351,907	410,014	58,107	361,587	419,694	232,428	1,409,688	1,642,116
Harrisburg	6,849	7,614	14,463	6,849	7,614	14,463	6,849	7,614	14,463	6,849	7,614	14,463	27,396	30,456	57,852
Scranton/WB	5,671	14,839	20,510	5,671	14,839	20,510	5,671	14,839	20,510	5,671	14,839	20,510	22,684	59,356	82,040
Lehigh Valley	9,278	16,059	25,337	9,278	16,059	25,337	9,278	16,059	25,337	9,278	16,059	25,337	37,112	64,236	101,348
NEPA	1,671	5,185	6,856	1,671	5,185	6,856	1,671	5,185	6,856	1,671	5,185	6,856	6,684	20,740	27,424
SEDA-COG	0	923	923	0	923	923	0	923	923	0	923	923	0	3,692	3,692
Altoona	1,186	3,729	4,915	1,186	3,729	4,915	1,186	3,729	4,915	1,186	3,729	4,915	4,744	14,916	19,660
Johnstown	1,514	6,778	8,292	1,514	6,778	8,292	1,514	6,778	8,292	1,514	6,778	8,292	6,056	27,112	33,168
Centre County	2,628	4,743	7,371	2,628	4,743	7,371	2,628	4,743	7,371	2,628	4,743	7,371	10,512	18,972	29,484
Williamsport	1,929	4,095	6,024	1,929	4,095	6,024	1,929	4,095	6,024	1,929	4,095	6,024	7,716	16,380	24,096
Erie	3,627	8,750	12,377	3,627	8,750	12,377	3,627	8,750	12,377	3,627	8,750	12,377	14,508	35,000	49,508
Lancaster	9,447	6,882	16,329	9,447	6,882	16,329	9,447	6,882	16,329	9,447	6,882	16,329	37,788	27,528	65,316
York	3,947	5,747	9,694	3,947	5,747	9,694	3,947	5,747	9,694	3,947	5,747	9,694	15,788	22,988	38,776
Reading	4,202	8,158	12,360	4,202	8,158	12,360	4,202	8,158	12,360	4,202	8,158	12,360	16,808	32,632	49,440
Lebanon	1,385	2,058	3,443	1,385	2,058	3,443	1,385	2,058	3,443	1,385	2,058	3,443	5,540	8,232	13,772
SVATS	686	1,434	2,120	686	1,434	2,120	686	1,434	2,120	686	1,434	2,120	2,744	5,736	8,480
Adams	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Franklin	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Total Urban	325,702	1,330,073	1,655,775	325,702	1,359,293	1,684,995	325,702	1,360,173	1,685,875	325,702	1,399,593	1,725,295	1,302,808	5,449,132	6,751,940
Northwest	0	2,560	2,560	0	2,560	2,560	0	2,560	2,560	0	2,560	2,560	0	10,240	10,240
Northcentral	0	4,506	4,506	0	4,506	4,506	0	4,506	4,506	0	4,506	4,506	0	18,024	18,024
Northern Tier	0	1,555	1,555	0	1,555	1,555	0	1,555	1,555	0	1,555	1,555	0	6,220	6,220
Southern Allegh.	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Wayne County	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Total Rural	0	8,621	8,621	0	8,621	8,621	0	8,621	8,621	0	8,621	8,621	0	34,484	34,484
Unallocated	37,515	94,849	132,364	37,515	158,289	195,804	37,515	176,321	213,836	37,515	206,798	244,313	150,060	636,257	786,317
Reserve/Other	8,000	43,578	51,578	8,000	45,248	53,248	8,000	45,298	53,298	8,000	47,558	55,558	32,000	181,682	213,682
Grand Total	371,217	1,477,121	1,709,911	371,217	1,571,451	1,942,668	371,217	1,590,413	1,961,630	371,217	1,662,570	2,033,787	1,484,868	6,301,555	7,786,423

* Section 5311 Federal Funding is discretionary and based on annual approval of budget deficits up to total amount appropriated for Pennsylvania.

Appendix 6

Schedule for developing and approving the 2015 Transportation Program

8/22/13 to 12/12/13	State Transportation Commission, PennDOT and planning partners conduct a pilot public outreach/public input strategy to update the 12 Year Program.
10/16/13	A conference call with all Planning Partners' and Districts is held. Department program priorities are shared along with draft financial guidance discussion.
10/30/13	A work session is held with all Planning Partners' and Districts. Department program priorities are shared along with draft financial guidance. The goal is to reach consensus on the guidance.
10/30 to 11/1/13	A three-day Planning Partners' Meeting is held in Harrisburg to discuss the program update process and other transportation issues.
By 11/1/13	Draft Financial Guidance is issued.
By 11/8/13	General and Procedural Guidance and Schedule for Developing and approving the 2015 Transportation Program are finalized.
By 11/8/13	The Department issues final guidance to planning partners for the development of the 2015 Program.
By 11/22/13	PennDOT Districts will provide updates of scopes, costs, and schedules for all carryover projects and candidate projects to planning partners.
By 11/22/13	PennDOT District project priorities are shared with planning partners. PennDOT will provide the MPO/RPOs with a listing of the draft critical carryover Interstate Management Program projects.
By 1/15/14	MPOs/RPOs/PennDOT review highway, bridge and transit projects for possible inclusion in the 2015 Program. TIP negotiations begin.
By 2/2/14	MPO and RPO "Boards" meet to discuss the 2015 schedule and guidance; set their TIP approval meeting dates for the summer of 2014.
By 2/14/14	PennDOT, via the Program Center, submits comments and proposed program revisions back to the MPOs and RPOs, including the final "spike" decisions, and share this information with the Districts and FHWA/FTA. PennDOT identifies any changes to air quality significant project lists that were developed earlier and shares this information through interagency consultation with the ICG.
By 2/28/14	State Transportation Commission meets and is updated on development of

the 2015 Program.

- By 2/28/14 MPOs and RPOs develop draft TIPs (highways/bridges and transit) and submit that information to the Program Center, appropriate District Office(s) and FHWA/FTA. TIP negotiations continue.
- By 3/1/14 Program Center completes initial review of preliminary draft TIPs to ensure that Department priorities are reflected, fiscal constraint and year of expenditure are met, and all project phases are accounted for and programmed in the proper year.
- By 3/10/14 Program Center conducts individual conference calls with MPOs, RPOs, and District Offices to review all candidate projects, to agree on projects for inclusion in the Program, and to negotiate/resolve any remaining issues.
- By 3/10/14 Interagency (FHWA, FTA, EPA, DEP & PennDOT) air quality consultation initiated. All air quality significant projects are shared with the Interagency Consultation Group (ICG) before conformity determination work begins by planning partners or PennDOT. TIP negotiations continue.
- By 3/15/14 All negotiations are concluded. MPOs, RPOs, and PennDOT reach agreement on the respective portions of the Program.
- By 3/15/14 Interagency air quality consultations are concluded and conformity analyses are underway. Environmental justice (EJ) activities are also initiated.
- By 5/15/14 MPO, RPO and PennDOT complete air quality conformity analyses.
- By 7/18/14 MPOs, RPOs, and PennDOT complete joint public comment periods on their STIP/TIPs, including conformity determinations and environmental justice requirements. All relevant documents are placed on websites for public access.
- By 7/25/14 MPOs and RPOs formally approve their individual TIPs and submit their portions of the Program to the Program Center
- By 8/14/14 State Transportation Commission approves the Twelve Year Program.
- By 8/15/14 Gov./Secretary on behalf of the Commonwealth submits the STIP to FHWA/FTA for review and approval. FHWA coordinates with EPA on the air quality conformity documents.
- By 9/30/14 PennDOT obtains joint approval from FHWA and FTA on the 2015 Program.

Appendix 7

Section 130 Highway-Rail Grade Crossing

Safety Program Guidance

BACKGROUND

Pennsylvania has received \$6.5-7.0M per year in Section 130 Highway-Rail Crossing Safety funding over the past few years, and is projected to receive ~\$6.5m per year for the foreseeable future. Until recently, these funds were distributed to the Metropolitan Planning Organizations (MPO)/Rural Planning Organizations (RPO) through a formula-based process. Project selection and funding were accomplished by the District Grade Crossing Engineers/Administrators (DGCE/A) in coordination with their Planning organizations, with assistance from the Central Office Grade Crossing Unit (CO GCU) as needed. Numerous concerns with this method were voiced by the Districts and CO staff over the years due to the fact that, in many cases, the funding available through distribution was so small that a full safety project could not be undertaken in many regions. There was also resistance to shift funds between MPOs/RPOs. These factors often left safety funds unutilized.

Early in 2013, the Federal Highway Administration (FHWA) began sharing with PennDOT the utilization rate of the Section 130 funding allocated to the state. This showed that Pennsylvania was using approximately 58% of its statewide allocation. Reviewing the data provided for all the states, showed that neighboring states who centrally managed their allocation had a much higher utilization rate (in excess of 90%, in NJ and OH), whereas states that had a decentralized management of the funds similar to PA (i.e. NY, MD) had similar utilization rates—in the 50 to 60% range.

In order to improve the state's utilization rate of the Section 130 funding, the program was shifted to the CO GCU. It is expected that the benefits of this transfer will include an opportunity to increase PA's utilization rate of the Section 130 funds, more efficiently address the top statewide crossing safety needs, address Rail corridor safety projects in regions that otherwise would not receive enough funding for the projects, and better leverage Railroad contributions to safety projects.

Guidance is provided in the Grade Crossing Manual, Publication 371, Chapter 3, *The Highway-Railroad Crossing Safety Project Process*.

FUNDING ALLOCATION

The goal of shifting management of the funds to the Central Office is to increase safety at highway-rail at-grade crossings by increasing the utilization rate of the funds distributed to the state to 100%. To help achieve this goal, the program allocation is expected to be split approximately as follows:

- 50% - Statewide Priority List (highest hazard locations [WBAPS], emergent projects, corridor safety projects)
- 50% - Projects with safety concerns not on the statewide list, local concerns, local Railroad concerns not reflected on WBAPS (i.e. near-miss history)

Appendix 7

Section 130 Highway-Rail Grade Crossing

Safety Program Guidance

PROGRAM GUIDELINES

Program implementation will be dependent on the federal obligations as communicated to the CO Grade Crossing staff by the Program Center. A two-year program of grade crossing safety projects will be developed by the CO GCU in coordination with the DGCE/As utilizing selection criteria developed by a workgroup of District and Central Office Grade Crossing staff. The program will be reviewed annually and any project or program savings as projects are accomplished will be transferred to other projects within the obligation window on a statewide basis. This annual review will take place as part of the annual Grade Crossing meeting of CO and District staff that takes place in the fall of each year. The review will be conducted by Department staff to review and approve the program, review progress of the program in odd years, and begin the process for the new program development. A four-year project window will be developed as part of this process to aid in the development of the following two-year program, as well as to assist in planning for the Railroads in order to take advantage of any funds they may be able to budget to contribute to and assist with the safety projects.

PROJECT SELECTION CRITERIA

Federal statute Title 23, Section 130 (e) (1) states “At least ½ of the funds authorized for and expended under this section shall be available for the installation of protective devices at railway-highway crossings.” Publication 371 provides further guidance on funding restrictions for the Section 130 program. The development of prioritized grade crossing projects must meet the following criteria:

1. Funds may only be used on open, public, heavy rail (freight and passenger) crossings;
2. The crossing must be identified on the top 25% of the FRA Accident Prediction System statewide.
3. Crossing surface improvement (HTS) costs cannot exceed 20% of the total project costs.
4. Corridor projects must include one project that falls within the top 25% of the FRA Accident Prediction System statewide.
5. Warning device upgrades (from existing warning devices) must provide a safety benefit and not just reflect a replacement in kind.
6. Funds may be used where a crossing falls within the terminus of a highway or bridge project if the crossing meets the top 25% criteria above.

Statewide Concerns (Statewide Priority)

The projects selection criteria for these safety improvement projects shall give priority to passive crossings (those without active warning devices), crossing closures, and larger multiple crossing safety upgrade programs in conjunction with specific Railroads that include projects under the previous two categories (corridor projects).

Appendix 7

Section 130 Highway-Rail Grade Crossing

Safety Program Guidance

Local Concerns (not on statewide priority list)

The projects selection criteria for these safety improvement projects shall take into consideration passive crossings not on the statewide priority list, but will also give priority to crossings with accident history (beyond what is shown in WBAPS), Railroad input regarding near miss experience and increased train traffic, District input on sight distance and other issues, as well as other local concerns expressed by the Planning Partners and other local officials. Other criteria used for these projects will include completion of corridor upgrades and warning signal upgrades (antiquated equipment, roundels, Constant Warning Time circuitry) deemed to be of local benefit but not on the statewide priority list.

PROGRAM DEVELOPMENT

The CO GCU will develop a prioritized list of approximately 20 projects of statewide concern utilizing the selection criteria outlined above. Each District will submit their top 10 prioritized projects to the CO GCU utilizing the selection criteria outlined for Local Concerns. The Central Office will then review each District's submission and conduct a preliminary prioritization of all the submissions based on a number of additional criteria, including:

- Adherence to selection criteria;
- Ability of Railroad to perform project within Program timeline;
- Contributions to project by Railroad, if any;
- Funding availability;
- A preliminary program of projects will be developed, and the statewide Grade Crossing Workgroup (consisting of CO GCU staff and a representative group from the DGCE/As) will convene to review the list of projects, prioritize this list, and finalize the draft program within the available funding.

The program is expected to consist of approximately 20-30 projects per year for an initial 2 year program. The program will be reviewed annually and refreshed during every two year program cycle. The finalized draft program will be reviewed with the Safety Engineer from the FHWA PA Division Office for approval prior to final program adoption.

PROGRAM TIMELINE AND EXECUTION

The timeline shown in Figure 1 outlines the milestone dates that should be met in order to develop each two year program. Project evaluation and selection should begin over a year before the Federal funds are available for obligation via the D-4232 process in October of each year. As outlined in Chapter 3 of Publication 371, the FHWA must approve the D-4232 before a PUC application can be filed and the project begun. Once the program has been approved and project implementation begun by the Districts, the progress of projects will be tracked by Central Office. Should projects fall behind during

Appendix 7
Section 130 Highway-Rail Grade Crossing
Safety Program Guidance

implementation, other projects will be considered for advancement in order to ensure utilization of that year's available funding. Semi-annual reports will be generated and distributed to the Districts to aid in tracking project execution.

November 8, 2013

**PENNSYLVANIA'S 2015
TRANSPORTATION PROGRAM
GENERAL & PROCEDURAL GUIDANCE**

This is a collaborative product jointly developed by the Pennsylvania Planning Partners – MPOs, RPOs, FHWA, FTA, the State Transportation Commission, and PennDOT.

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PENNSYLVANIA'S 2015 TRANSPORTATION PROGRAM

GENERAL AND PROCEDURAL GUIDANCE

Introduction

This Guidance describes the 2015 Transportation Program development process within the context of multiple inter-related, intergovernmental planning functions. Separate processes for the development, adoption, and administration of the Twelve Year Plan (TYP) and Statewide Transportation Improvement Program (STIP) have been coordinated and streamlined over the years. This Guidance informs and directs a unified planning process covering both documents. The first section, [General Guidance](#), identifies policies, requirements or guidance related to the general planning environment or the transportation-specific planning context within which the program development activities take place. The second section, [Program Development and Administration](#), presents policies, requirements or guidance directly related to program development activities. This section also relates guidance for modifying and monitoring the program after adoption. The Guidance includes six Appendices with one optional Appendix to streamline the document and provide additional resources: [Transportation Program Development Process Diagram](#); [TIP Submission Documentation List](#); [Sample Transportation Self-Certification Resolution](#); [Schedule for Adoption](#); [References](#); and an optional [Regional References](#).

The Transportation Program Development Process Diagram depicts the phases of the process from the introduction of transportation problems into the process, to the inclusion of the proposals and the projects on a TIP. The *TIP Submission Documentation List* encompasses the varied documentation that makes up a completed Transportation Improvement Program (TIP) and STIP, including a list of requirements and additional documentation instructions. The *Sample Certification Resolution* provides an example of one of the major TIP requirements for the Metropolitan Planning Organization (MPO). It is also helpful for identifying the comprehensive range of regulatory requirements that must be addressed in the transportation planning process. A *Schedule for Adoption* presents the timing and milestones for completing the complex series of tasks resulting in adoption of a transportation program. *References* include clickable links that can be used with an internet connection to access selected references. Finally, *Regional References* is included as an optional appendix for use by individual planning partners if they choose.

The resulting transportation program meets the varied requirements of State and Federal law, but more importantly, ensures that public investment in the Commonwealth's transportation system is effectively managed and produces an effective and practical set of transportation projects and services.

Once finalized, all 2015 Program guidance and the 2015 Program development schedule will be placed on the PennDOT website, www.dot.state.pa.us, available for program development use by the partners and general access by other interested parties. The draft and final programs will be placed on PennDOT and MPO/RPO websites as they are completed.

Roles and Responsibilities

- MPOs are responsible for developing and approving metropolitan TIPs.
- PennDOT and the Rural Planning Organization's (RPOs), as well as one independent county, are jointly responsible for developing and approving rural TIPs.
- PennDOT, through its District Offices and Central Offices in Harrisburg, functions as the lead planning agency for the Interstate Highway System, identifying projects in cooperation with the MPOs and RPOs.
- The Governor or his designee (currently the Secretary of the Pennsylvania Department of Transportation) approves the metropolitan and rural TIPs and the Interstate Program, and submits the entire STIP to the US Department of Transportation for their approval.
- The TYP, STIP, and MPO/RPO TIPs are updated every two years. The federal programming documents (STIP and TIPs) will cover a four year time frame to remain consistent with the first four years of the TYP and the first four years of MPO/RPO long range transportation plans.

Definitions

The following terms are used throughout this document.

- The terms "2015 Transportation Program" and "2015 Program" refer to both of the following transportation project listings:

2015-2018 Statewide Transportation Improvement Program and
2015-2026 Twelve Year Transportation Program

- The [Statewide Transportation Improvement Program](#) (STIP) is the official federal document mandated under current federal legislation, Moving Ahead for Progress in the 21st Century (MAP-21) of 2012.
- The [Twelve Year Transportation Program](#) (TYP) is the official state document implemented under PA Act 120 of 1970.
- [PA Act 120](#) established the State Transportation Commission (STC) and its related duties and responsibilities, and authorizes the TYP and its adoption by the STC.
- [Metropolitan Planning Organizations \(MPOs\)](#) are established under MAP-21 as planning bodies responsible for developing and approving transportation programs. MPOs cover all urbanized areas over 50,000 in population excepting small pieces of urbanized areas that extend into Pennsylvania (for example, Hagerstown, MD or Binghamton, NY). The Commonwealth has nineteen MPOs.

- Rural Planning Organizations (RPOs) are under contract to PennDOT to provide transportation planning and programming for rural areas of the Commonwealth (including urban areas with populations less than 50,000). For transportation planning and programming purposes, the RPOs are presently functioning as MPOs. The Commonwealth has four RPOs and one independent county. PennDOT is responsible for the development of the independent county TIP.
- The MPO/RPO Transportation Improvement Programs (TIPs) identify the projects in these areas that are included in the STIP. These terms are interchangeable with metropolitan and rural TIPs. All interstate projects are programmed on a separate TIP.
- “Partners” include the State Transportation Commission, the Pennsylvania Department of Transportation on behalf of the Governor, the Metropolitan Planning Organizations and Rural Planning Organizations, one independent county, public transportation properties across the Commonwealth, the Pennsylvania Turnpike Commission, the Pennsylvania Department of Environmental Protection, the U.S. Department of Transportation (Federal Highway Administration and Federal Transit Administration) and the U.S. Environmental Protection Agency (EPA).
- “Interested parties” mean citizens, affected public agencies, representatives of public transportation employees, freight shippers, providers of freight transportation services, private providers of transportation, representatives of users of public transportation, representatives of users of pedestrian walkways and bicycle transportation facilities, representatives of the physically challenged, agencies or entities responsible for safety/security operations, providers of non-emergency transportation services receiving financial assistance from a source other than title 49, U.S.C., Chapter 53, tribal governments, and other interested parties with reasonable opportunities to be involved in the metropolitan transportation planning process.

General Guidance

This Guidance document is intentionally brief. References or examples are included in the text as support tools that users may find useful for developing a broader (or deeper) understanding of the program development process or for professional development. The referenced materials are not intended to be comprehensive. The planning context for program development includes multiple elements:

Federal and State Planning and Programming Rules and Regulations (23 C.F.R. 450, 49 USC 5303-5304, PA Act 120, PennDOT DM1A (Design Manual Part 1A: Pre-TIP and TIP Program Development Procedures))

State and Regional Transportation Plans (Pennsylvania Mobility Plan, PA and Regional ITS Architectures, Region Long Range Transportation Plans, Region Operations Plans, Freight Plans, Bicycle and Pedestrian Plans, Congestion Management Processes)

Other Programs (Economic Development District Plans; County, Regional and Municipal Comprehensive Plans)

Existing PennDOT Data Systems for Asset Management, Environmental Assessment, Contracting, and Performance Review (PennDOT Multi-Modal Management System (MPMS), ECMS, CE Expert System, LPN System)

Corridor studies, Project Development Screening Forms developed from the Department's Linking Planning and NEPA, needs and feasibility studies and environmental clearance documents are also useful as decision-support tools in the development of long range transportation plans and short range programs.

General Planning Requirements

- Satisfy all Federal and State planning and programming rules and regulations. Federal transportation planning requirements are documented in 23 CFR. 450. Title VI and environmental justice requirements as well as other required planning certifications are identified in the Sample Transportation Planning Certification Resolution and Referenced appendices. Other state tenets, principles, and goals that guide transportation program development are identified in PA Act 120, and the Pennsylvania Mobility Plan.
 - Each project or project phase included in the TIP shall be consistent with the region's approved long range transportation plan.
 - Candidate major capital projects and/or air quality non-exempt projects included in the TIP should be consistent with regional long range transportation plans.

All PennDOT, regional or local plans, programs, studies, management systems, etc., as identified above are part of the planning context and also factor into program development.

- Develop the STIP and MPO/RPO TIPs among all partners and interested parties through a continuing, cooperative and comprehensive process, based upon mutual trust, data sharing (including project technical evaluation input needs), open communication and cooperation at each program development step, leading toward consensus between all planning partners regarding the most effective use of the limited transportation financial resources. Ensure

effective coordination with the providers of all modes of transportation.

- As necessary, partners will respond to new State and Federal initiatives and other changing circumstances as quickly as possible to make necessary adjustments to the joint PennDOT/MPO/RPO planning and programming process.
- Partners will program strategically; establish priorities; select transportation improvements with the greatest benefit to the Commonwealth and individual counties/regions; and give all partners the flexibility to more effectively choose and approve the best mix of projects that meet their own regional needs.
- The management and monitoring systems, corridor studies, Project Development Screening Forms developed from the Department's Linking Planning and NEPA, needs and feasibility studies and environmental clearance documentation will be used as decision-support tools in the development of long range transportation plans and short range programs.
- Transportation system preservation and management continues to be the highest priority in Pennsylvania and the individual MPO/RPO programs should emphasize system preservation and management. System preservation involves extending the life of existing facilities and their associated equipment and hardware or the repair of damage that impedes mobility or compromises safety; while, system management involves improving reliability, safety, traffic flow, and security of existing facilities and their associated equipment and hardware.
- Strengthen the linkage between land use and transportation decision-making during the development of the 2015 Transportation Program and continue to work to improve this integration process in future years.
- MPOs and RPOs are encouraged to track major changes to county and municipal comprehensive plans and zoning ordinances to determine their effects on transportation planning and programming decision-making.
- Include metropolitan and rural TIPs in the STIP that have been approved by the MPO or RPO and the Governor (or designee) and after verification of consistency with financial guidance on fiscal constraint, project funding eligibility and, completed air quality testing and analysis that demonstrates that conformity has been met, where necessary. All appropriate parties will be notified of individual projects or programs included in the STIP. Close coordination must occur with PennDOT and the STC to insure that approved TIPs are consistent with the approved first four years of the TYP.
- MPOs and RPOs should schedule their TIP approval meeting dates so that air quality conformity analyses by PennDOT's consultants can be scheduled appropriately and the TIPs can be sent to PennDOT according to the attached schedule.

Public Involvement

- Conduct meaningful public outreach and involvement activities as documented in the individual planning partner's public participation plan and PennDOT's Statewide Public Participation Plan.
 - Establish joint MPO/RPO TIP, PennDOT STIP and STC public comment periods when possible to avoid overlap, maximize return from joint outreach, avoid confusion to the public, and result in a more effective program with the most efficient use of labor across all planning partners. Seek early and coordinated input into the programming process by reviewing current programmed and candidate projects.
 - Conduct STC public involvement by the new guidance issued in the fall of 2013. Direct public involvement to utilize the website survey at www.talkpatransportation.com.
 - TIP documentation must be made available for public comment. A formal public comment time period (minimum 30 days) must be established, and a public meeting or hearing must be held by each MPO/RPO/independent county to gather all comments/concerns on the TIP and related documents.
 - The TIP Submission Documentation List in Appendix 2 identifies the documentation required for public review.
- Provide easy and complete access to all public documentation, including the draft and final TIPs, STIP and Twelve Year Program project listings, taking advantage of the Internet.

Financial Planning

- As an early part of the program development process, Pennsylvania's transportation planning partners jointly develop and approve a [Transportation Program Financial Guidance](#) document. The guidance provides sufficient information for partners and interested parties to start identifying projects, perform a project technical evaluation, negotiate, and reach consensus on their portion of the Program within fiscal constraint. The guidance:
 - Establishes funding targets for each MPO, RPO, independent county, public transportation operator, and PennDOT. The identified revenues are those that are reasonably anticipated to be available to adequately operate and maintain Federal-aid highways and public transportation in accordance with 23 C.F.R. 450.324(h).
 - Provides estimated revenue growth rates and a methodology for determining an inflation rate (for use in Year of Expenditure (YOE) calculations).
- The TIP financial plans are consolidated statewide within the STIP. Documentation shall contain system-level estimates of cost and revenue sources.
 - Cost estimates must use "year of expenditure (YOE) dollars" to reflect their cost.
 - Constrains the projects and phases of projects in the STIP by year, by available funding and within the bounds of the financial guidance.
 - Identify at a systems-level any funding gaps that may exist.
- Recognize that programs are developed around available transportation funding authorization levels and that annual obligation authority levels will restrict program/project implementation.
- Projects or phases of projects should be programmed in the Federal fiscal year in which the project is anticipated to be obligated.

- Flexing of funds between highway and public transportation will be a collaborative decision involving local officials, the MPO/RPO, the public transportation agency or agencies, PennDOT, STC and USDOT (FHWA and FTA).

Management Systems, Program Performance and Information Sharing

- In order to adequately maintain, operate and preserve existing transportation facilities, the Department and its partners shall undertake the following activities as part of an asset management-based program development process: inventory the system; determine existing conditions; develop strategies/priorities to continue to improve the system; include projects on transportation plans and programs; and implement projects as part of annual budgets. Implementation of improved asset management practices will begin with the interstate system, then progress to the NHPP, and other state-owned and local networks.
- Continue to improve the management systems including environmental planning and analysis, maintenance planning and support, the Department's Linking Planning and NEPA data tools, programming processes and systems, local network management support, and performance measurement and reporting.
 - Continue to standardize programming products (highway and public transportation project listings); develop uniform submissions to simplify reviews; and automate/computerize the programming process over time.
 - Share project and program data bases among all parties including project technical evaluation input needs. Continue to share project-specific data, especially as it relates to candidate projects that surface through individual partner activities including their public participation plans/outreach that are not included on current long range plans or programs.
 - Utilize MPMS Maps IQ mapping capabilities to better describe project/program details. Upon request, PennDOT will provide the GIS location data for projects to the MPO/RPO for its GIS use.
- Work toward more effective program and project monitoring to be done in "real time" through project database information sharing as a part of PennDOT's Multimodal Project Management System (MPMS).
- MAP-21's emphasis on performance-based transportation system management will require new or revised national performance measures in multiple program areas. Partners will have to update existing measures as needed to standards that meet or exceed the new federal requirements. PennDOT, MPOs and RPOs are encouraged to evaluate their planning efforts and introduce new or improved performance measures where appropriate.

Program Development and Administration

Development Procedures

In all cases, projects to be included in the 2015 Transportation Program, including the Interstate Management Program, will be selected cooperatively and collaboratively by the Metropolitan Planning Organizations, Rural Planning Organizations, PennDOT and State Transportation Commission with input from other involved interested parties (transit operators, etc.), primarily with regard to projects in the TIPs/first four years of the Twelve Year Program.

- The Districts will develop a list of priority needs for the operation and preservation of the interstates and expressways, betterments, bridge replacements, rehabilitation and preservation projects, and safety and congestion reduction projects, and will share that information with the appropriate MPOs and RPOs according to the attached schedule, including sufficient detail for each project needed for technical project evaluation for both air quality conformity analysis and for public review and comment. At a minimum this includes detailed project scope and limits. Together with local priorities, this information will serve as the basis to begin the 2015 Program development.
- Seek early and coordinated input into the programming process by reviewing currently programmed and candidate projects for the remaining eight years of the Twelve Year Program. Planning partners may identify and propose projects or phases of projects from their fiscally constrained long range transportation plans to PennDOT/State Transportation Commission for possible inclusion in the remaining eight years of the Twelve Year Program. On a case by case basis, the Secretary of Transportation will recommend to the State Transportation Commission additional projects or phases of projects to be listed in the remaining eight years of the Twelve Year Program. These additional projects should be on or consistent with the MPO/RPO adopted Long Range Transportation Plan.
- As planning partners and PennDOT staff continue to refine and finalize the 2015 Program, special attention must be placed on projects or phases of projects that may be or will be carried over from the 2013 Program; this matter needs to be carefully considered during the October through December 2013 time frame. Set aside funding (line item reserves) in the 2015 Program should also be considered to cover unforeseen project costs which may occur due to accrued unbilled costs, unforeseen advance construct authorizations, updated cost estimates, and other actions which might occur between program drafting and initiation.
- Address cash flow procedures, like highway advance construction and public transportation letters of no prejudice or full funding grant approvals in the program development process. Address projects with accrued unbilled costs (work on a project has been started/completed and all or a portion paid for with state or local funds, but may be eligible for Federal funds and will be submitted to FTA or FHWA during program development for Federal funding on /or after the program is approved) as appropriate. When projects in accrued unbilled status are being converted, the projects must appear on the Planning Partner's Program.
- The TIPs and STIP shall include a project or a phase of a project only if full funding can

reasonably be anticipated to be available within the time period contemplated for completion of the project based on the project phase begin and end dates. This shall also include the estimated total cost of the project's construction which may extend beyond the four years of the TIP and STIP and within the 2nd or 3rd period of the Twelve Year Transportation Program and the Long Range Transportation Program in accordance with 23 C.F.R. 450.324(i) & (e)(2).

- Utilize the Project Development Screening Forms developed from the Department's Linking Planning and NEPA effort to initiate all new projects being considered for the region TIPs and L RTPs.
- MPOs and RPOs will assist the Department and the STC in the following ways regarding the remaining eight years in the Twelve Year Program. Phases of projects that are not fully funded in the four years of the TIP will be carried over and shown in the last eight years of the Twelve Year Program. The vast majority of the funds in the remaining eight years will be covered by line items. To illustrate the linkage between planning partner long range transportation plans and the 2015 Program, each planning partner will assist PennDOT staff and the STC in preparing a narrative to be included in the Twelve Year Program document that illustrates a few of the major projects being advanced in that county or region over the next eight years and beyond. All air quality significant projects to be advanced in the last eight years must be listed and fiscal constraint maintained.

Project Requirements

Share project information and program data bases with all partners including project technical evaluation input needs.

- Include all types and categories of projects on the TIP and TYP (federal, state, local, public and private partners, special Federal, turnpike, airport, rail, and infrastructure bank, etc., but excluding county maintenance and PA Turnpike maintenance funds).
- Include all regionally significant transportation projects being advanced (project that is on a facility which serves regional transportation needs and would normally be included in the air quality modeling of the metropolitan area's transportation network) as defined in 23 C.F.R. Section 450.104.
- Public transportation operators will coordinate and cooperate with the MPO/RPO and the Department in the development of the public transportation portion of the 2015 Transportation Program. Public transportation operators will be responsible for submitting public transportation projects for the draft Transportation Program consistent with available resources.
- Provide the following information for programmed projects, including the Highway-Bridge Program, the Transit Program, and the Interstate Management Program:
 - Sufficient descriptive (detailed) material to clarify the design concept and scope as well as location of the improvement. The MPO/RPO and District Office must collaborate on the detailed descriptive information and the District must ensure the information is input in the Public Narrative field in MPMS.
 - Assign projects or phases of projects in the STIP and in the MPO/RPO TIPs by year (e.g., 2015, 2016, 2017, and 2018) based upon the latest project schedules and consistent with 23 C.F.R. 450.324(i).

- Detailed project and project phase costs should delineate between federal, state, and local shares. Each project and project phase costs should depict the amount to be obligated/encumbered for each funding category.
- Estimated phase and total costs within the TIP period reflect Year-of-Expenditure (YOE) as noted in the financial guidance.
- Identification of the agency or agencies responsible for implementing the project or phase (i.e. specific Transit Agencies, PennDOT District; MPOs/RPOs; Local Government and private partners).
- Work with all project sponsors to provide any additional information that needs to be included with each project as it is listed in the program.

Line Items

- The use of Reserve Line items programmed on the draft 2015-2018 TIP should be kept to a minimum. Every effort should be made to identify Transportation Alternatives Program (TAP), CMAQ, Safety, Bridge and Local projects in the first 2 years of the TIP.
- Selected project categories that are air quality exempt - betterment, rail/highway grade crossing, and Section 5310 - may be grouped into line items for inclusion in the program, with project specific listings to be developed at a later time by project sponsors and provided to all partners.
- Contingency line items may be used in the first year of the TIP to address uncertainties in cost estimates for carryover projects or cash flow issues such as accrued unbilled costs, advance construct, etc.

Program-specific and Other Requirements

- The Interstate Management Program for the 2015 Transportation Program will be updated by PennDOT and its planning partners.
 - Partners and the District Offices will help to identify and comment on the interstate projects.
 - Adding capacity to an interstate can be considered by coordinating a cost-sharing arrangement between the MPO/RPO TIP and the interstate program on a case-by-case basis.
 - PennDOT will manage the interstate system on a statewide basis, but will notify MPO/RPOs of Interstate Management Program amendments and modifications even when formal approval is not required.
- Proposed Highway Safety Improvement Program (HSIP) projects will be coordinated with the individual MPO/RPO, PennDOT District, Program Center, and Highway Safety and Traffic Operations Division (HSTOD) and be consistent with Strike Off Letter 470-11-02 dated January 21, 2011, the District Safety Plan, and PennDOT's Strategic Highway Safety Plan. However, other Federal funding categories can be used to program, implement and construct projects that address a documented safety need.
- Intelligent Transportation System (ITS)-type projects will be consistent with the national, state

and individual MPO/RPO ITS architectures. Work to advance transportation safety and operations initiatives that are consistent with the individual MPO/RPO Regional Operations Plans (ROP) and the Statewide Transportation Systems Operations Plan (TSOP).

- The limited number of capacity adding projects to be considered for advancement in nonattainment transportation management areas (TMAs) must be consistent with the Region's Congestion Management Process (CMP).
- The Department will request a list of turnpike projects from the Turnpike Commission and distribute the list to all planning partners, in advance of Air Quality Conformity time line requirements, so the projects can be included in appropriate Transportation Improvement Programs. Turnpike projects requesting Federal funding that are selected for inclusion on a TIP will be assigned MPMS numbers; those that have no Federal funding will need to be identified another way on the TIP.

Requirements for TIP Documentation

A [TIP Submission Documentation List](#) is included as Appendix 4. After each TIP is approved by an MPO/RPO, all documentation indicated on the list must be submitted to PennDOT. To ensure completion, a checklist is included as part of this Appendix.

- If possible utilize the Center for Program Development and Management's Share Point Website for the submission Regional TIPS. Five copies of the completed TIP must be provided to the Program Center in PennDOT according to the schedule in Appendix 4. Program Center staff will complete the remaining portions of the checklist and forward it to FHWA/FTA with the STIP.
- The Program Center will complete a statewide checklist similar to the metropolitan checklist and forward it to FHWA/FTA with the STIP. Specific requirements or additional explanations for selected items are provided in the appendix.

Program Administration

The 2015 Transportation Program must continue to be responsive to necessary programming changes after adoption. Changes to the TIP and STIP are enacted through TIP Modification Procedures adopted at both the region and state levels. Changes to the TIPs and delivery of completed projects are monitored by the planning partners and the subject of various program status reports.

- Projects in the first year of the program shall constitute an "agreed to" list of projects for subsequent scheduling and implementation. Expedited selection procedures may be used if agreed to under each MPO/RPOs modification procedures. The modification procedures that were approved by each MPO and RPO for the 2013 Program should be used as a starting point for the development of their 2015 Program modification procedures. The 2015 program modification procedures must also be part of the public comment period on the recommended 2015 Program.
- It is recommended that project selection requirements and program modification procedures

permit the movement of projects or phases of projects anywhere within the first four years of the STIP/TIP while maintaining year by year financial constraints.

- Coordinate program modifications, including those for the Interstate Management Program, with all partners to insure that the metropolitan and rural Transportation Improvement Programs and the Statewide Transportation Improvement Program are consistent with the Twelve Year Program and county/regional long range plans and vice versa and work toward the development and implementation on a streamlined amendment approval processes.
- Track progress of program and project implementation and share the findings with the planning partners and the public. This is the MPO/RPO Progress Report detailing obligations that is sent by PennDOT to the MPOs/RPOs quarterly. (As listed on Appendix 2 items 13 and 14. This is a MAP-21 requirement for state DOTs, MPOs and public transportation properties.) An additional report detailing project completion and total cost will be developed by PennDOT and shared with Planning Partners on a quarterly basis.

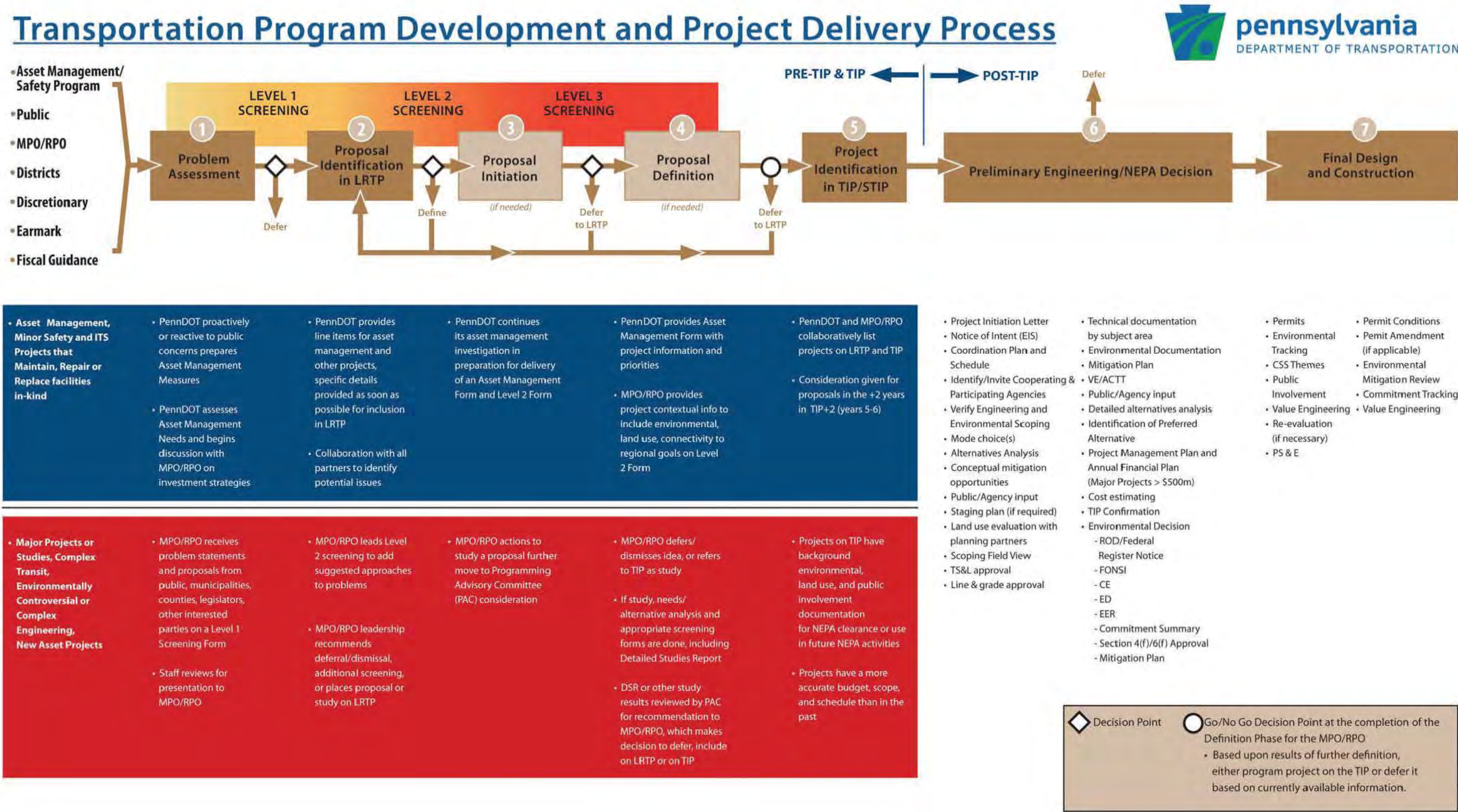


Figure 1.1

Appendix 2

TIP Submission Documentation List

After each TIP is approved by an MPO/RPO, documentation must be submitted to PennDOT that includes the following information: Appendix 2 is a guide for TIP submission – The actual TIP checklist is listed separately in the Document.

- (1) Cover Letter which documents the organization and date of MPO/RPO TIP adoption;
- (2*) Highway-Bridge Program Project Listing (public version with long narrative);
- (3*) Public Transportation Program Project Listing (public version with long narrative);
- (4*) Public Transportation Financial Capacity Analysis (for appropriate operators as determined by the provisions of FTA Circular 7008.1A.)
- (5*) Air Quality Conformity Determination Report (in non-attainment areas only);
- (6) Air Quality Resolution (in nonattainment areas only);
- (7) Self-Certification Resolution;
- (8*) TIP Modification Procedures;
- (9*) MPO/RPO Public Participation Plans;
- (10) Document TIP Public Comment;
- (11*) Environmental Justice Summary;
- (12) Document the project prioritization and selection process;
- (13) List major regional projects from the previous TIP(s) (implemented);
- (14) List major regional projects from the previous TIP (with significant delays); and,
- (15) TIP checklist

Items identified with an asterisk (*) must be available for review during the required public comment period.

TIP Submission Documentation List

Specific requirements or additional explanations are provided below for selected TIP items.

Project Lists (items 2 and 3)

Projects included on the Highway – Bridge Project List and the Public Transportation Project List must meet requirements identified in ‘Projects’ in the Project Development section. Projects identified in the adopted TIPs and on the PennDOT Interstate Program are also included in the STIP by signature of the Governor or his representative and in the TYP upon adoption by the STC.

Financial Plan (item 4)

TIP Financial Plans are produced at the statewide level by the Financial Guidance Work Group and documented by the Program Center and the STIP executive summary. No additional MPO/RPO documentation is needed. Financial planning requirements are noted in the General Guidance section and under ‘Project Requirements’ in the Program Development and Administration section.

A Public Transportation Financial Capacity Analysis will be included by appropriate operators as determined by the provisions of FTA Circular 7008.1A.

Air Quality Conformity (item 5 and 6)

Perform air quality conformity analyses consistent with the U.S. Environmental Protection Agency’s Transportation Conformity Rule, recent Federal court rulings and the Pennsylvania Transportation Conformity State Implementation Plan (SIP) in non-attainment and maintenance areas.

Include an Air Quality Report and an Air Quality Resolution in nonattainment areas.

MPO Self Certification Resolution (item 7)

Prepared only by MPOs to certify that the transportation planning process is being carried out in accordance with all applicable federal requirements. A sample resolution that identifies the various requirements is attached. Non-TMA MPOs must include documentation to ensure compliance.

TIP Modification Procedures (item 8)

TIP Modification requirements are identified under Program Administration in the Program Development and Administration section.

Public Involvement (items 9 and 10)

Public involvement in the development of the transportation program is carried out in accordance with the procedures identified in existing Planning Partner public participation plans and the general guidance provisions of this document. A copy of the MPO/RPO Public Participation Plan, the advertisement of the required 30-day public comment period, and documentation of the agency’s

response to public comment are required in the MPO/RPO TIP submission.

Environmental Justice (EJ) Summary (item 11)

Summarizes the regional transportation program's impacts on minority and low-income populations as required by Executive Order 12898. MPOs/RPOs develop the EJ summaries, which must include the community profiles and methodology used in the assessment.

Project Prioritization Process (item 12)

Provide written documentation of the Partner's project prioritizing process utilized for TIP development and the Department's prioritizing process utilized for the Interstate Management Program. The MPO/RPO submission should include a summary of how it relates to the LRTP vision, goals and objectives.

List of Major Projects from the previous TIP (items 13 and 14)

Two lists will be provided: one list identifies major projects that were completed during the previous TIP. The second list identifies major projects that experienced significant delay during the previous TIP period. The lists will be developed by the MPO/RPO with information provided by the PennDOT Districts.

TIP Checklist

This is the official documentation to ensure that the key components of the final TIP submission are complete. The checklist is included in this document.

Planning Partner:

Non-attainment Area:Yes____ No____

Identify the Pollutant(s):

Maintenance Area:Yes____ No____

Transportation Management Area:Yes____ No____

			Shaded Stakeholder to Provide Response Others Check to Indicate Response Verified			
	Information Items	Response Type	MPO/RPO	Program Center	FHWA	FTA
1. Public Participation Documentation:	Public comment period:	Date Range				
	Public meeting(s)-Date/Time/Location:	Date/Time/Location				
	Public meeting notice contains info about special needs/ADA Compliance?	Yes / No				
	Does the TIP Documentation contain a summary that provides a general overview of the transportation planning and TIP development process?	Yes / No				
	Does the summary explain the project selection process and/or project evaluation criteria procedures?	Yes / No				
	Environmental Justice documentation?	Yes / No				
	Public involvement outreach activities consistent with Public Participation Plan?	Yes / No				
	Were any public comments (written or verbal) received and addressed?	Yes / No				
	If Yes, were they provided in the TIP Documentation submitted to PennDOT?	Yes / No				
2. TIP Adoption:	Date TIP adopted by Planning Partner: / Was TIP included in STIP without modification	Meeting Date				
		Yes / No				
3. TIP Consistency with Long Range Transportation Plan (if applicable):	Is the Long Range Transportation Plan (LRTP) MAP-21 compliant?	Yes / No				
	Is the TIP consistent with LRTP?	Yes / No				
	Years covered by the LRTP:	Date Range				
	Date LRTP Adopted by Planning Partner:	Meeting Date				
	Anticipated date for new LRTP:	Date				
4. Air Quality Non-attainment and Maintenance Areas:	Is the area in an AQ non-attainment or maintenance area? If yes, then answer the following questions:	Yes / No				
	Have all projects been screened through an interagency consultation process?	Yes / No				
	Conformity date for the LRTP:	Yes / No				
	In non-attainment and maintenance areas, do projects contain sufficient detail for air quality analysis?	Yes / No				
5. Financial Constraint:	Is the TIP financially constrained, by year by allocations?	Yes / No				
	Any additional funds programmed above FGWG allocations (i.e. Spike funds, Earmarks, etc)? If YES, identify the TOTAL amount and TYPES of additional funds by Year: 2015 2016 2017 2018 Comments	Yes / No				
		Total \$ Amt by Fund Type				
		Total \$ Amt by Fund Type				
		Total \$ Amt by Fund Type				
		Total \$ Amt by Fund Type				
	Was the TIP projects screened against the individual funding program eligibility requirements?	Yes / No				
	Does the STIP Financial information contain system level estimates of cost and revenue sources?	Yes / No				
	Estimated total cost, which may extend beyond the TIP years?	Yes / No				
	Compare the amount of Federal Funds to be obligated during each program year of the TIP against Financial Guidance by Year: FFY 2013 FFY 2014 FFY 2015 FFY 2016 Explain any differences:	TIP (\$)	Financial Guidance			

			Shaded Stakeholder to Provide Response Others Check to Indicate Response Verified			
	Information Items	Response Type	MPO/RPO	Program Center	FHWA	FTA
6. MPO Self Certification:	Does the TIP submittal contain the MPO Self Certification resolution?	Yes / No				
	For the Non-TMA MPO's does the self certification contain documentation to indicate compliancy?	Yes / No				
7. Transit Fiscal Disclosure:	Financial capacity Document	Yes / No				
8. Required Submission materials as documented in General and Procedural Guidance: Items identified with an asterisk (*) must be available for review during the public comment period.	Cover Letter	Yes / No				
	* Highway and Bridge Listing with public narrative	Yes / No				
	* Public Transportation Listing with public narrative	Yes / No				
	* Public Transportation Financial Capacity Analysis	Yes / No				
	* Air Quality Conformity Determination Report	Yes / No				
	Air Quality Resolution	Yes / No				
	Self certification resolution	Yes / No				
	* TIP Modification Procedures	Yes / No				
	30-day Public Comment Advertisement	Yes / No				
	* Public Participation Plan	Yes / No				
	* Environmental Justice Summary	Yes / No				
	* Documented Public Comments received	Yes / No				
	Project Selection Process Documentation					
	List major projects from the previous TIP that were implementated and any significant delays in the planned implementation of major projects?	Yes / No				
	Any noteworthy practices that deserve statewide recognition?					
	Any issues that need improvements?	Yes / No				
	If Yes, explain:					
	Were the required information, as documented in the General & Procedural Guidance submitted?	Yes / No				
Any issues to be incorporated into the Planning Finding?	Yes / No					
9. Completed or Reviewed by:	Planning Partner: _____ Date: _____					
	PennDOT Program Center: _____ Date: _____					
	FHWA: _____ Date: _____					
	FTA: _____ Date: _____					

Appendix 3

Sample MPO Self-Certification Resolution

The resolution on the following page is prepared only by MPOs to certify that the transportation planning process is being carried out in accordance with all applicable federal requirements.

CERTIFYING ORGANIZATION

RESOLUTION NUMBER

RESOLUTION OF THE [ORGANIZATION] to certify that the metropolitan transportation planning process is being carried out in accordance with all applicable federal requirements and that the local process to enhance the participation of the general public, including the transportation disadvantaged, has been followed in developing the Transportation Improvement Program and the LRTP.

WHEREAS, 23 CFR Part 450.334 specifies that, concurrent with submittal of the proposed TIP to the FHWA and the FTA as part of the STIP approval, Metropolitan Planning Organizations (MPOs) shall certify that the metropolitan transportation planning process is being carried out in accordance with all applicable requirements; and

WHEREAS, Sections 134 and 135 of Title 23 USC, 49 USC 5303-5304, and 23 CFR Part 450 set forth the national policy that the MPO designated for each urbanized area is to carry out a continuing, cooperative, and comprehensive multimodal transportation planning process, including the development of a metropolitan transportation plan and a transportation improvement program (TIP) and establish policies and procedures for MPOs to conduct the metropolitan planning process; and

WHEREAS, the Transportation Improvement Program (TIP) continues to be financially constrained as required by 23 CFR Part 450.324 and the Federal Transit Administration (FTA) policy on the documentation of financial capacity, published in FTA Circular 7008.1A; and

WHEREAS, the requirements of Sections 174 and 176(c) and (d) of the Clean Air Act, as amended (42 USC 7504, 7506(c) and (d)) and 40 CFR Part 93 have been met for non-attainment and maintenance areas; and

WHEREAS, the requirements of Title VI of the Civil Rights Act of 1964 as amended (42 USC 2000d-1) and 49 CFR Part 21; 49 USC 5332, prohibiting discrimination on the basis of race, color, creed, national origin, sex or age in employment or business opportunity ; The Older Americans Act, as amended (42 USC 6101), prohibiting discrimination on the basis of age in programs or activities receiving Federal financial assistance; 23 USC Section 324, prohibiting discrimination based on gender; Section 504 of the Rehabilitation Act of 1973 (29 USC 794), the American Disabilities Act of 1990 (42 USC 12101 et seq.), and 49 CFR Parts 27, 28, and 29, regarding discrimination against individuals with disabilities have been met; and

WHEREAS, the requirements of Section 1101(b) of SAFETEA-LU (Public Law 109-59) and 49 CFR Part 26 regarding the involvement of disadvantaged or minority business enterprises in FHWA funded planning projects and FTA funded projects have been met; and

WHEREAS, the provisions of 23 CFR part 230, regarding the implementation of an equal employment opportunity program on Federal and Federal-aid highway construction contracts have been addressed; and

WHEREAS, the requirements of Executive Order 12898 (Federal Order to Address Environmental Justice in Minority Populations and Low Income Populations) have been met; and

WHEREAS, the provision of 49 CFR part 20 prohibiting recipients of federal funds from using those funds for lobbying purposes has been met; and

NOW, THEREFORE, BE IT RESOLVED that the [Organization], the Metropolitan Planning Organization (MPO) for the [Name] Transportation Management Area (TMA) certifies that its metropolitan transportation planning process is being carried out in accordance with all applicable provisions of federal law and certifies that the local process to enhance the participation of the general public, including the transportation disadvantaged, has been followed in developing the region's transportation plans and programs, including the FFY [enter FFY range] Transportation Improvement Program (TIP).

I, [Name of Certifying Officer], HEREBY CERTIFY that I am [Name of Office] of the [ORGANIZATION]: that the foregoing resolution was adopted, in accordance with the By-Laws, by the Members of said Commission at a meeting duly called and held on the xxth day of month 20yy, and that said resolution is now in full force and effect.

IN TESTIMONY WHEREOF I hereto subscribe my name as [Name of Office].

[Name of Office]

Appendix 4

Schedule for developing and approving the 2015 Transportation Program

8/22/13 to 12/12/13	State Transportation Commission, PennDOT and planning partners conduct a pilot public outreach/public input strategy to update the 12 Year Program.
10/16/13	A conference call with all Planning Partners' and Districts is held. Department program priorities are shared along with draft financial guidance discussion.
10/30/13	A work session is held with all Planning Partners' and Districts. Department program priorities are shared along with draft financial guidance. The goal is to reach consensus on the guidance.
10/30 to 11/1/13	A three-day Planning Partners' Meeting is held in Harrisburg to discuss the program update process and other transportation issues.
By 11/1/13	Draft Financial Guidance is issued.
By 11/8/13	General and Procedural Guidance and Schedule for Developing and approving the 2015 Transportation Program are finalized.
By 11/8/13	The Department issues final guidance to planning partners for the development of the 2015 Program.
By 11/22/13	PennDOT Districts will provide updates of scopes, costs, and schedules for all carryover projects and candidate projects to planning partners.
By 11/22/13	PennDOT District project priorities are shared with planning partners. PennDOT will provide the MPO/RPOs with a listing of the draft critical carryover Interstate Management Program projects.
By 1/15/14	MPOs/RPOs/PennDOT review highway, bridge and transit projects for possible inclusion in the 2015 Program. TIP negotiations begin.
By 2/2/14	MPO and RPO "Boards" meet to discuss the 2015 schedule and guidance; set their TIP approval meeting dates for the summer of 2014.
By 2/14/14	PennDOT, via the Program Center, submits comments and proposed program revisions back to the MPOs and RPOs, including the final "spike" decisions, and share this information with the Districts and FHWA/FTA. PennDOT identifies any changes to air quality significant project lists that were developed earlier and shares this information through interagency consultation with the ICG.
By 2/28/14	State Transportation Commission meets and is updated on development of

the 2015 Program.

- By 2/28/14 MPOs and RPOs develop draft TIPs (highways/bridges and transit) and submit that information to the Program Center, appropriate District Office(s) and FHWA/FTA. TIP negotiations continue.
- By 3/1/14 Program Center completes initial review of preliminary draft TIPs to ensure that Department priorities are reflected, fiscal constraint and year of expenditure are met, and all project phases are accounted for and programmed in the proper year.
- By 3/10/14 Program Center conducts individual conference calls with MPOs, RPOs, and District Offices to review all candidate projects, to agree on projects for inclusion in the Program, and to negotiate/resolve any remaining issues.
- By 3/10/14 Interagency (FHWA, FTA, EPA, DEP & PennDOT) air quality consultation initiated. All air quality significant projects are shared with the Interagency Consultation Group (ICG) before conformity determination work begins by planning partners or PennDOT. TIP negotiations continue.
- By 3/15/14 All negotiations are concluded. MPOs, RPOs, and PennDOT reach agreement on the respective portions of the Program.
- By 3/15/14 Interagency air quality consultations are concluded and conformity analyses are underway. Environmental justice (EJ) activities are also initiated.
- By 5/15/14 MPO, RPO and PennDOT complete air quality conformity analyses.
- By 7/18/14 MPOs, RPOs, and PennDOT complete joint public comment periods on their STIP/TIPs, including conformity determinations and environmental justice requirements. All relevant documents are placed on websites for public access.
- By 7/25/14 MPOs and RPOs formally approve their individual TIPs and submit their portions of the Program to the Program Center
- By 8/14/14 State Transportation Commission approves the Twelve Year Program.
- By 8/15/14 Gov./Secretary on behalf of the Commonwealth submits the STIP to FHWA/FTA for review and approval. FHWA coordinates with EPA on the air quality conformity documents.
- By 9/30/14 PennDOT obtains joint approval from FHWA and FTA on the 2015 Program.

Appendix 5: References ([html links](#) in blue)

Transportation Program Documents

[Twelve Year Program](#) (current)

[State Transportation Improvement Program](#) (current)

Pennsylvania's 2015 Transportation Program Financial Guidance

Pennsylvania's 2015 Transportation Program General and Procedural Guidance

Federal References

<u>Name of Legislation</u>	<u>Citation / Regulations</u>	<u>Comment</u>
MAP-21 of 2012	23 USC Sections 134-135 49 USC 5303-5304 23 CFR Part 450 23 CFR Part 230 49 CFR Parts 20 49 CFR Parts 26 49 CFR Parts 27, 28, 29	Statewide Transportation Planning Metropolitan Transp. Planning equal employment prohibits lobbying Disadvantaged Business Enterprises individuals with disabilities
Clean Air Act, as amended		
Title VI of Civil Rights Act of 1964, as amended	42 USC 200d-1 49 USC 5332 49 USC Part 21 (superceded)	discrimination
Older Americans Act as amended	42 USC 6101	age discrimination
[----]	23 USC Section 324	gender discrimination
Rehabilitation Act of 1973, as amended	29 USC 701 29 USC 794	individuals with disabilities
American Disabilities Act of 1990	42 USC 1210	individuals with disabilities
[----]	Executive Order 12898	environmental justice

State References

[PA Act 120 of 1970](#)

[Transportation Funding and Advisory Committee](#)

[State Environmental Justice Work](#)

- [Center for Program Development EJ Website](#)
- [PUB 737 EVC EJ Moving Forward](#)
- [PUB 746 Project Level EJ Guidance](#)

[PA On Track](#)

[Pennsylvania Mobility Plan](#)

PennDOT Design Manual Part 1A:

[Pre-TIP and TIP Program Development Procedures \(Sep 2010\)](#)

STIP Modification Procedures (appendix to STIP)

[Public Participation Plan for Statewide Planning](#)

[PA ITS Architecture](#)

Appendix 6: Regional References (optional)

Region References (references edited for each planning region)

Suggest that MPOs/RPOs edit this section, keeping what is applicable and provide a hyperlink where sources are available on the internet. References that aren't applicable can be deleted.

Region Long Range Transportation Plan

Region Transportation Improvement Program

Region Public Participation Plan

Region ITS Architecture

Region Operations Plan

Region Congestion Management Process

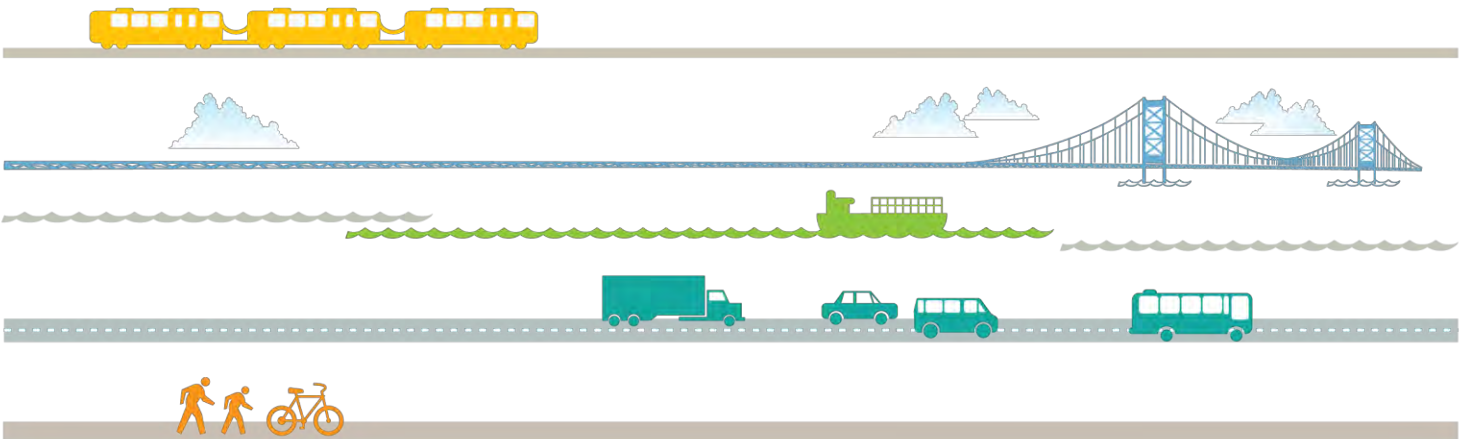
Region Freight Plan

Region Bicycle and Pedestrian Plan

Economic Development District Plans (as applicable, determined by MPO/RPO)

County and Municipal Comprehensive Plans (as applicable, determined by MPO/RPO)

*SEPTA's Financial Capacity
Assessment*



SOUTHEASTERN PENNSYLVANIA TRANSPORTATION AUTHORITY
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In accordance with FTA Circular 7800.1A, the following is provided as documentation that the Southeastern Pennsylvania Transportation Authority has the financial capacity to carry out the operating and capital projects included in the Fiscal Year 2015-2018 Transportation Improvement Program.

A. Scope of Operations

The Southeastern Pennsylvania Transportation Authority (SEPTA) was formed by an act of the Pennsylvania General Assembly in 1964 in order to provide public transportation services to Bucks, Chester, Delaware, Montgomery and Philadelphia Counties. Over the years, SEPTA acquired the assets of several private transportation companies. Today, SEPTA is the sixth-largest public transportation system in the United States and is responsible for operating:

- 118 Bus Routes
- 13 Regional Rail Lines
- 8 Trolley Lines
- The Broad Street Line and the Market-Frankford Line (subway/elevated)
- The Norristown High Speed Line (an interurban heavy rail line)
- 3 Trackless Trolley Routes
- Customized Community Transportation (CCT), demand response services for seniors and individuals with disabilities
- Four small bus circulator and shuttle services

In Philadelphia, City Transit Operations provides a network of 86 subway, subway-elevated, trolley, trackless trolley and bus routes. In Fiscal Year 2013, approximately 950,000 (unlinked) passenger trips were generated per weekday.

SEPTA's Railroad Operations serves all five counties with a network of 13 regional rail lines, serving approximately 126,000 (unlinked) passenger trips per weekday in Fiscal Year 2013. This service also operates to Newark, Delaware and to Trenton and West Trenton, New Jersey.

Suburban Operations (Victory and Frontier Divisions) provides service in the suburbs, north and west of the City of Philadelphia, with a network of 46 bus, trolley, and heavy rail routes serving approximately 74,000 (unlinked) passenger trips per weekday in Fiscal Year 2013.

Customized Community Transportation (CCT) serves Philadelphia and the surrounding counties and schedules approximately 7,300 customized weekday trips for seniors and persons with disabilities.

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SEPTA's four small bus circulator and shuttle services connect fixed route operations to business, health and educational centers, as well as to park and ride facilities. In Fiscal Year 2013, these services provided transportation for approximately 4,000 passengers per weekday.

B. Historical Trends

SEPTA's historical trends are outlined in Appendix A, Financial and Statistical Summary, for each of the past five fiscal years, Fiscal 2009 through Fiscal 2013. Passenger fares during this period increased from \$403.3 million to \$441.7 million, or 2.4% per year. Operating expenses during the five year period increased from \$1,101.5 million to \$1,239.9 million, or 3.1% per year. Operating subsidies increased from \$645.2 million to \$746.5 million, or 3.9% per year. Operations for the Fiscal Years 2009 through 2013 resulted in a relatively small surplus each year as total revenues exceeded total expenses by \$1.7 million for the five year period. Fiscal Years 2010 through 2013 also reflect the gain or loss on investment related to the adoption of Governmental Accounting Standards Board Statement No. 53 in Fiscal Year 2010.

Transportation usage increased during the five year period. The number of passengers carried increased from 348.3 million total unlinked passenger trips in FY 2009 to 358.4 million unlinked trips in FY 2013. Service supplied, in the form of total actual vehicle revenue miles, also increased for the five year period from 89.0 million to 90.6 million, or 0.4% per year.

SEPTA was able to meet its financial obligations during the five year period and its long-term debt, incurred for capital expenditures, increased from \$338.0 million at June 30, 2009 to \$524.9 million at June 30, 2013. SEPTA's recovery ratio, expressed as a percentage of total operating revenues to total operating expenses, remained relatively high ranging between 38.8% and 41.5% during the five year period.

C. Current Condition

For FY 2013, the most recent fiscal year for which comparative information is available, total passenger fares decreased 0.9% over the prior fiscal year. This decrease was partially due to a decrease in ridership of 1.4% that was impacted by the suspension of rail and transit service in October 2012 due to Hurricane Sandy and stagnant employment growth in the area. Operating expenses increased 0.6% primarily due to increases in wages, fringe benefits, fuel and electric. FY 2013 operating subsidies increased 1.3% over FY 2012 primarily due to lower than expected passenger revenue that resulted from the ridership decrease. FY 2013 ended with a relatively small surplus as total revenues exceeded total expenses by \$90,000.

The Authority ended Fiscal Year 2013 with audited financial results consistent with its balanced budget.

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D. Financial Projections

With the passage of Act 89 of 2013, a dedicated, long-term funding solution for transportation in Pennsylvania was enacted. This legislation promised to end years of uncertainty with regard to SEPTA's operating subsidy. State funding is expected to grow steadily over the next four years. Act 89 is projected to nearly double SEPTA's annual capital budget by FY 2018. Act 89 also provides new bondable revenue sources for transit. In the future, SEPTA anticipates issuing bonds for certain capital projects, such as rail car acquisitions, to assist in financing the capital program.

Appendix B, Financial Projections Consolidated Budget, provides the detailed projections through Fiscal Year 2020.

Forecast Assumptions By Category:

Passenger Revenue

The revenue growth for Fiscal Year 2015 includes the effect of the July 1, 2013 fare increase. An additional fare increase is projected for Fiscal Year 2017.

Shared Ride Revenue

This revenue category is forecasted to grow by approximately 1% over the five-year period.

Other Revenue

This other revenue category is expected to decrease slightly during Fiscal Year 2015. Income from advertising, parking lot fees, and station naming rights is reflected in this category. Investment income is also included.

Expenses

SEPTA began medical self-insurance effective August 1, 2012 to mitigate the effects of rising health insurance expense. The Other Expense categories anticipate third party supplier's price increases, while aggressive management of claims and installation of cameras on SEPTA's vehicles and at stations have resulted in a significant savings in the Injury and Damages expense. Decreases have been budgeted for Propulsion Power and Fuel.

Subsidy

The subsidy categories reflect the anticipated funding levels of the Public Transportation Trust Fund.

E. Capital Program

The Fiscal Year 2015 Capital Budget was developed based on following principles:

SOUTHEASTERN PENNSYLVANIA TRANSPORTATION AUTHORITY
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- Forecasted Federal, State and Local Funding Levels; and
- Budgeting based on Annual Cashflow Projections and Financial Obligations.

Funding Assumptions

The following references were used to develop the programming amounts for SEPTA's Fiscal Year 2015 Capital Budget and Fiscal Years 2015-2026 Capital Program:

- Federal funding levels consistent with the current transportation funding authorization, Moving Ahead for Progress in the 21st Century Act (MAP-21).
- Financial guidance for state funding from Act 89 of 2013; and
- City/Counties local match requirements on federal and state funding.

Fiscal Year 2015 Projects

SEPTA's Fiscal Year 2015 Capital Budget totals \$571.8 million, an 86 percent increase over the FY 2014 Capital Budget. Available funds are allocated among projects that will advance strategic objectives, bring assets to a state of good repair, meet the Authority's financial obligations, and implement system improvements to enhance transit service. Capital investments are focused on the following areas:

Catching Up

Projects will return the system to a state of good repair via restoration or replacement of transit infrastructure that has exceeded its useful life. Projects will address the State of Good Repair backlog and preserve transit service for current and future customers. Projects include substations, bridges, track, communication and signal systems, and other essential infrastructure.

Congestion Mitigation Strategies

In partnership with PennDOT, this program will support the reconstruction of Interstate 95 through congestion mitigation strategies.

Financial Obligations

This includes payments for capital leases, Amtrak trackage rights, and debt service on SEPTA's bonds.

New Payment Technologies

This project will install cutting-edge fare payment and collection systems to improve customer convenience and replace antiquated equipment.

Positive Train Control

This project will upgrade the Regional Rail signal systems to enhance service quality, ensure compatibility with other rail operators, and meet federal requirements.

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Vehicle Replacements and Overhauls

Projects programmed include the Bus Purchase Program, Paratransit Vehicle Purchase, Utility Fleet Renewal and the Vehicle Overhaul Program. SEPTA will take steps for acquiring new locomotives, trolleys and Regional Rail cars.

F. Financial Capability

SEPTA has the financial capacity to carry out the projects included in the FY 2015-2018 Transportation Improvement Program (TIP).

SEPTA is designated by the Governor of Pennsylvania as the sole recipient of Section 5307 Urbanized Area formula funds for the five-county Southeastern Pennsylvania region of Bucks, Chester, Delaware, Montgomery, and the City of Philadelphia. As such, the Authority submits, executes, and administers over \$300 million in federal and state grants annually. SEPTA's Fiscal Year 2011 Federal Transit Administration (FTA) Triennial Review reported no deficiencies. SEPTA is the first of the ten largest transit agencies to undergo a FTA Triennial Review with a "no deficiencies" determination.

The Commonwealth of Pennsylvania's Public Transportation Trust Fund provides SEPTA with financial resources for transit capital projects. In order to create a sustainable program and to leverage transportation investments, the State of Pennsylvania has established the match requirement of the Federal grant commitments as a top priority of the State Trust Fund. Additionally, local governments, such as the City of Philadelphia and the Counties of Bucks, Chester, Delaware, and Montgomery contribute a percentage of the local share. This funding is provided through the Annual Capital Budget process for each government entity.

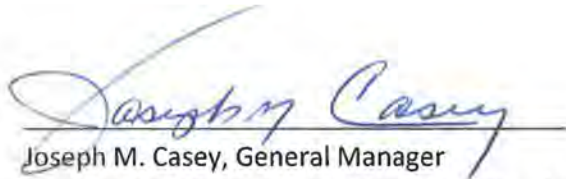
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CERTIFICATION

In accordance with Circular 7800.1A and based on the updated operating and capital needs as outlined in this Financial Capacity Assessment, SEPTA certifies that it has the financial capacity to provide the services and capital projects included in the DVRPC FY 2015-2018 Transit Improvement Program (TIP).

A handwritten signature in blue ink, reading "Joseph M. Casey", is written over a horizontal line.

Joseph M. Casey, General Manager
Southeastern Pennsylvania Transportation Authority

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Appendices

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Appendix A - SEPTA Financial and Statistical Summary

Southeastern Pennsylvania Transportation Authority
Financial and Statistical Summary
For Fiscal Years Ended June 30,
(Amounts in thousands)

	2009	2010	2011	2012	2013	% Change FY 2012 to FY 2013	Average Annual % Change FY 2009 to FY 2013
Passenger Fares	\$ 403,257	\$ 394,441	\$ 437,953	\$ 445,559	\$ 441,656	-0.9%	2.4%
Shared Ride Program	<u>20,530</u>	<u>20,226</u>	<u>20,130</u>	<u>19,225</u>	<u>18,786</u>	-2.3%	-2.1%
Total Revenues Based on Ridership	423,787	414,667	458,083	464,784	460,442	-0.9%	2.2%
Other Operating Revenues	<u>32,846</u>	<u>31,181</u>	<u>33,198</u>	<u>31,382</u>	<u>33,056</u>	5.3%	0.2%
Total Operating Revenues	456,633	445,848	491,281	496,166	493,498	-0.5%	2.0%
Operating Subsidies	<u>645,198</u>	<u>702,394</u>	<u>693,592</u>	<u>736,587</u>	<u>746,478</u>	1.3%	3.9%
Total Revenue	1,101,831	1,148,242	1,184,873	1,232,753	1,239,976	0.6%	3.1%
Operating Expenses (a)	<u>1,101,497</u>	<u>1,147,754</u>	<u>1,184,551</u>	<u>1,232,262</u>	<u>1,239,886</u>	0.6%	3.1%
Surplus	\$ 334	\$ 488	\$ 322	\$ 491	\$ 90		
Investment Gain (loss) re: GASB 53		<u>(5,815)</u>	<u>8,007</u>	<u>1,760</u>	<u>470</u>		
Surplus/ (Deficit) After Investment Gain (loss)		\$ (5,327)	\$ 8,329	\$ 2,251	\$ 560		
Operating Revenue to Expense Ratio	41.5%	38.8%	41.5%	40.3%	39.8%		
Passengers Carried (Annual							
Unlinked Passenger Trips)	348,315	346,884	358,843	363,498	358,439	-1.4%	0.7%
Actual Vehicle/Car Revenue Miles	88,999	88,709	89,656	90,051	90,600	0.6%	0.4%
Unrestricted Cash and Investments, at Year-end	\$ 75,951	\$ 73,766	\$ 112,313	\$ 80,277	\$ 96,925	20.7%	6.9%
Long-term Debt, at Year-end	\$ 338,020	\$ 383,245	\$ 353,186	\$ 546,326	\$ 524,865	-3.9%	13.8%

(a) Excludes reserve increases related to other postemployment benefits.

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Appendix B - Financial Projections Consolidated Budget

<u>Amounts in thousands ('000)</u>	<u>Budget</u>		<u>Projection</u>			
	<u>FY 2015</u>	<u>FY 2016</u>	<u>FY 2017</u>	<u>FY 2018</u>	<u>FY 2019</u>	<u>FY 2020</u>
				Fare Increase		
REVENUE						
Passenger Revenue	\$ 478,950	\$ 486,134	\$ 493,426	\$ 540,795	\$ 548,907	\$ 557,141
Shared Ride Revenue	19,100	19,291	19,484	19,679	19,876	20,075
Other Income	34,860	35,209	35,561	35,917	36,276	36,639
TOTAL OPERATING REVENUE	\$ 532,910	\$ 540,634	\$ 548,471	\$ 596,391	\$ 605,059	\$ 613,855
EXPENSES						
Labor & Fringe Benefits	\$ 931,424	\$ 960,444	\$ 989,843	\$ 1,020,184	\$ 1,051,672	\$ 1,084,411
Materials and Services	251,283	261,401	268,733	276,285	284,064	292,076
Injury & Damage Claims	42,400	42,400	42,400	42,400	42,400	42,400
Propulsion Power	35,000	36,000	36,800	36,800	37,900	39,000
Fuel	46,300	47,689	49,120	50,594	52,112	53,675
Other Expenses (Incl. Depreciation)	20,798	21,422	22,065	22,727	23,409	24,111
TOTAL EXPENSES	\$ 1,327,205	\$ 1,369,356	\$ 1,408,961	\$ 1,448,990	\$ 1,491,557	\$ 1,535,673
DEFICIT BEFORE SUBSIDY	\$ (794,295)	\$ (828,722)	\$ (860,490)	\$ (852,599)	\$ (886,498)	\$ (921,818)
OPERATING SUBSIDY						
Federal	78,921	82,570	86,256	89,979	93,739	97,536
State	624,327	651,048	675,522	665,389	691,653	719,122
Local	88,042	92,099	95,707	94,144	98,019	102,073
Other	3,005	3,005	3,005	3,087	3,087	3,087
TOTAL SUBSIDY	\$ 794,295	\$ 828,722	\$ 860,490	\$ 852,599	\$ 886,498	\$ 921,818
SURPLUS/(DEFICIT)	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -