

U.S. Dept.
of Trans.-
Financing Fed.
Aid Highway

FEDERAL-AID-HIGHWAYS

U.S. DEPARTMENT OF TRANSPORTATION

Federal Highway Administration

May 1979

CONGRESSIONAL PROCEDURES (SIMPLIFIED, TYPICAL PROCESS)

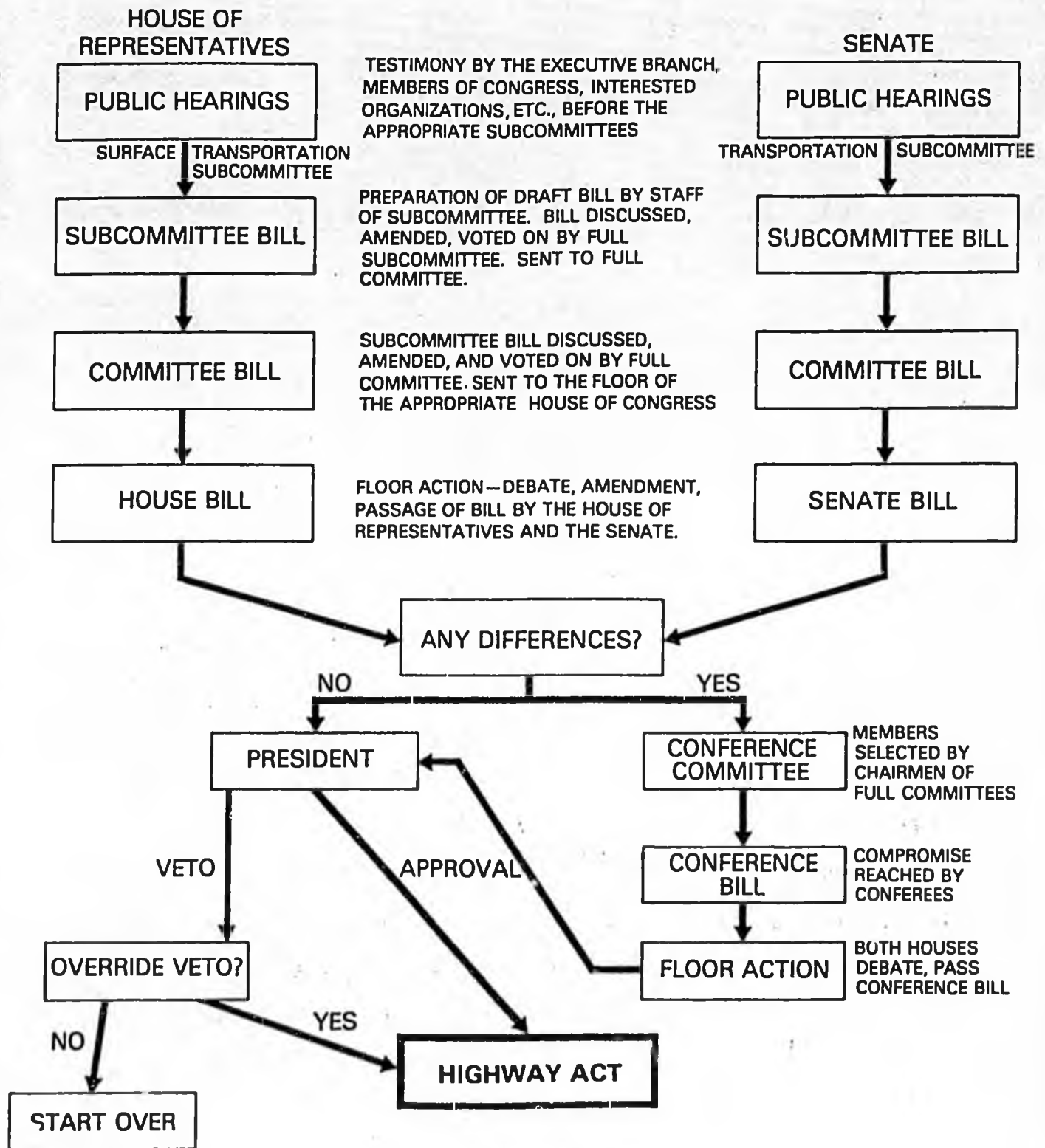


FIGURE 1

FINANCIAL PROCEDURES FOR CONTRACT AUTHORITY PROGRAMS

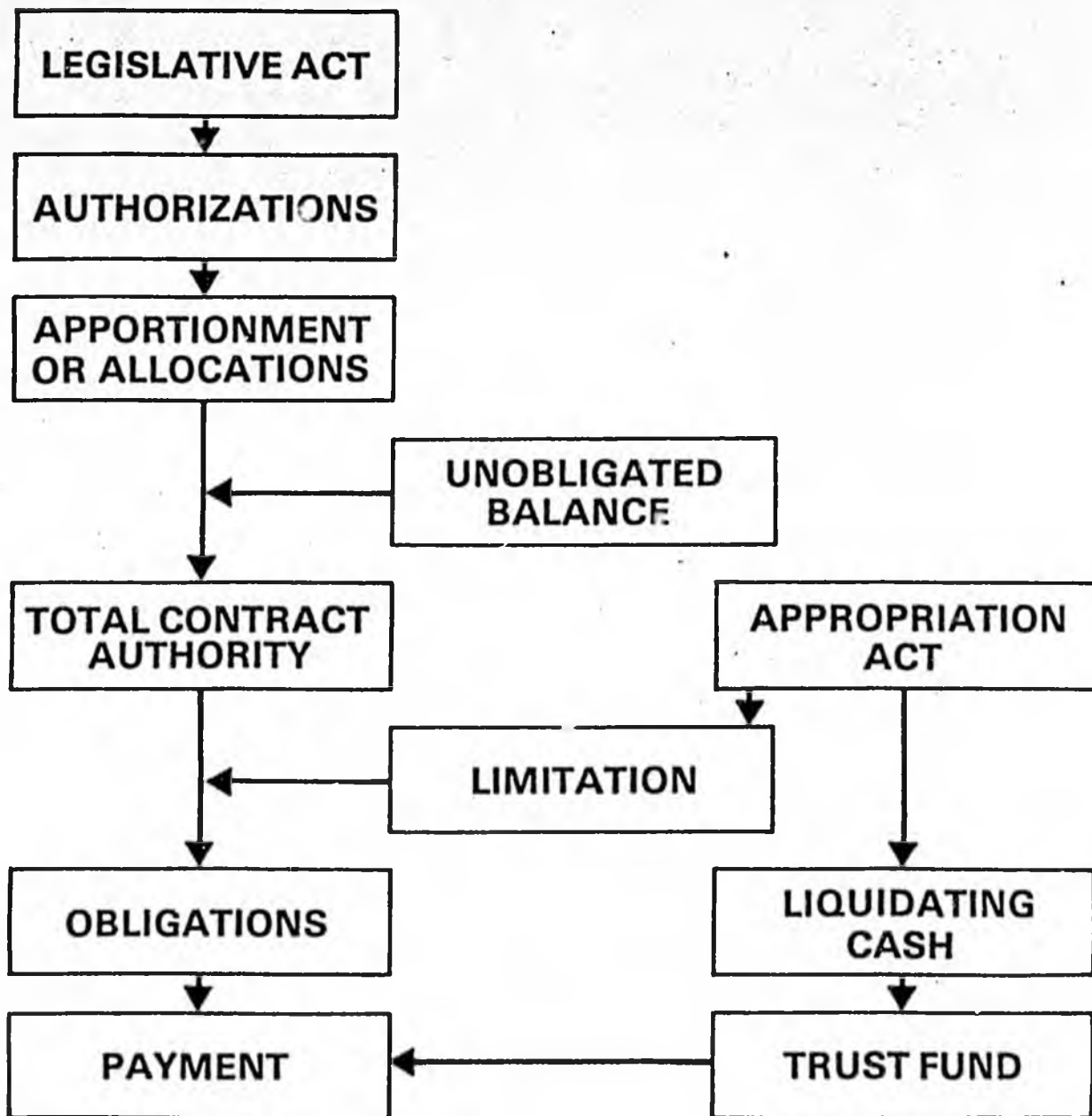


FIGURE 2

FINANCIAL PROCEDURES FOR APPROPRIATED BUDGET AUTHORITY PROGRAMS

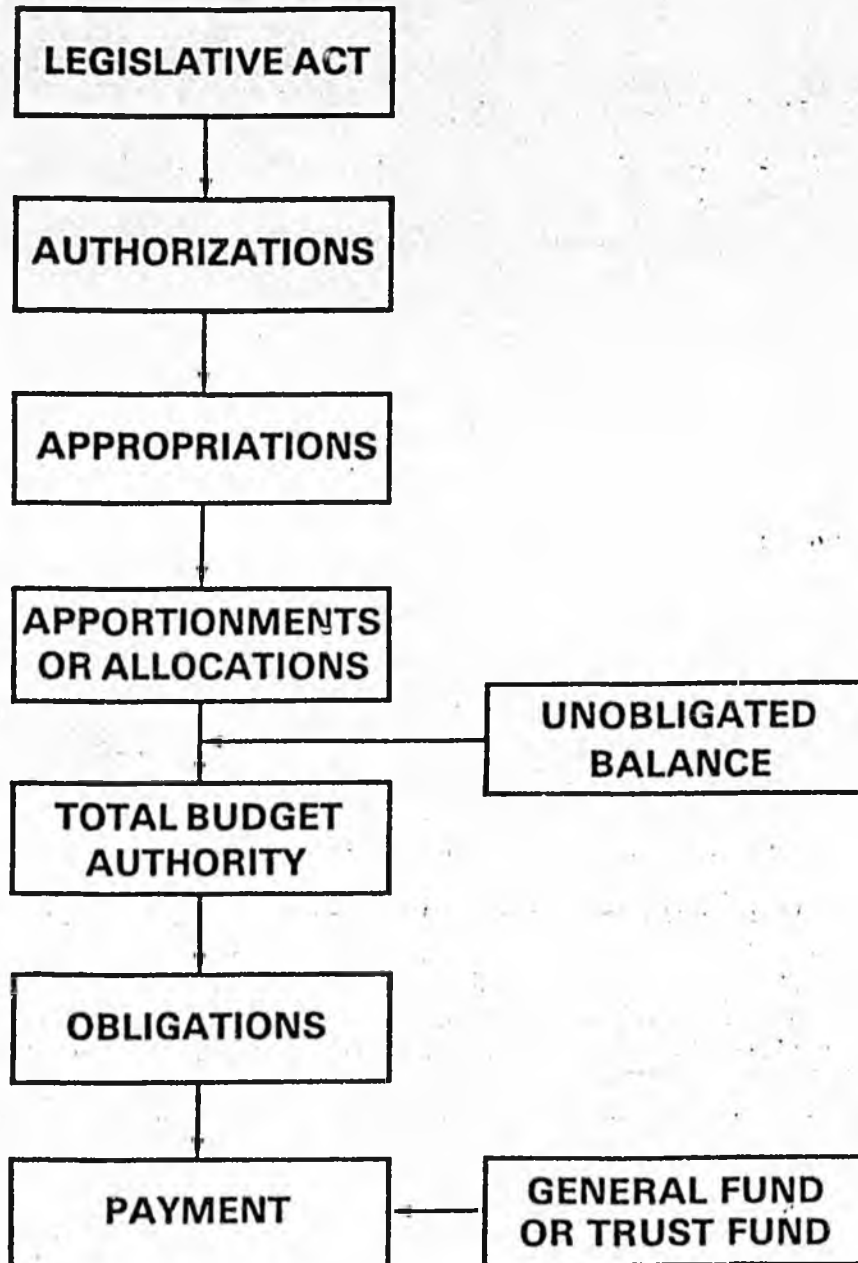


FIGURE 3

FINANCIAL PROCEDURES (CONTRACT AUTHORITY PROGRAMS)

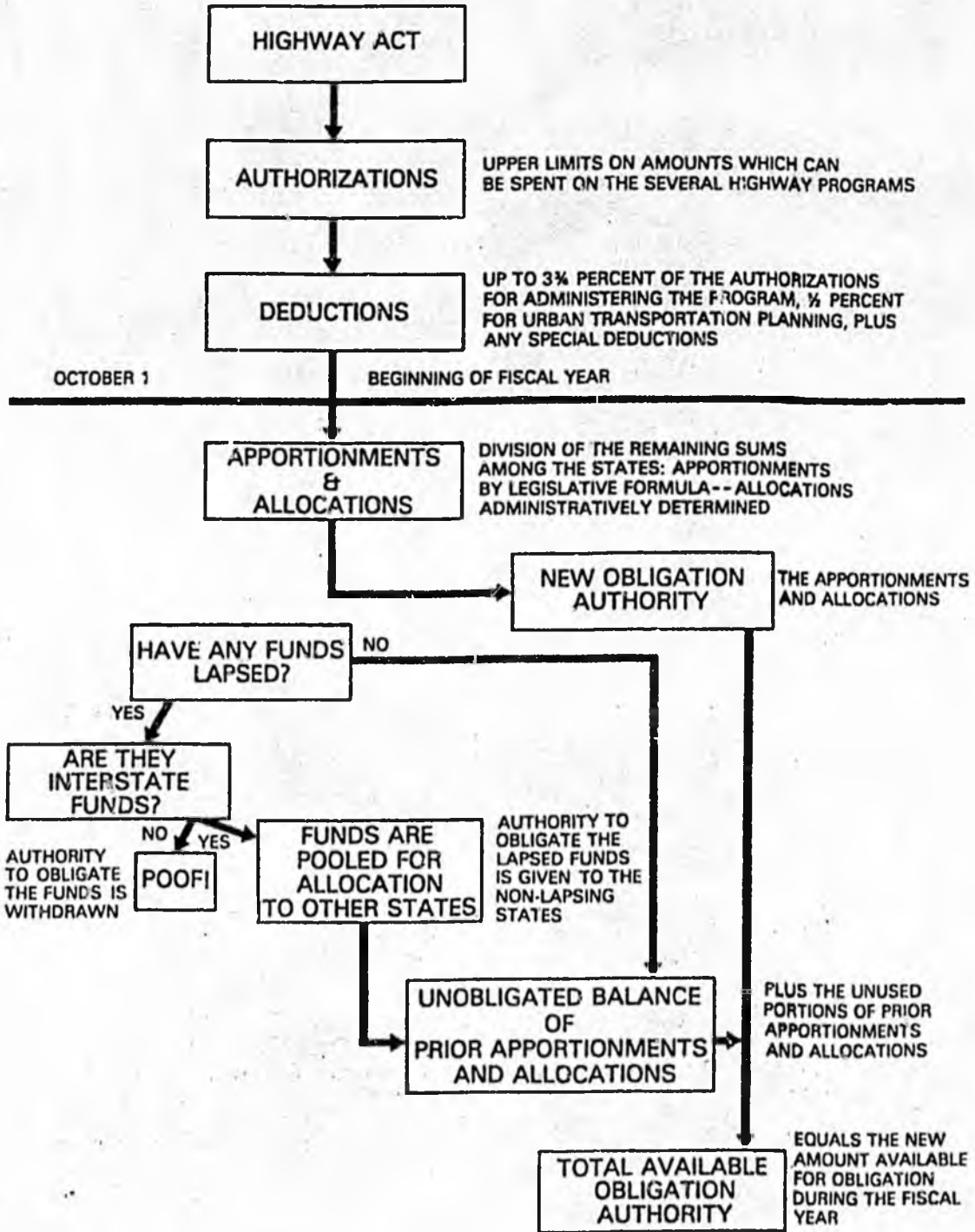
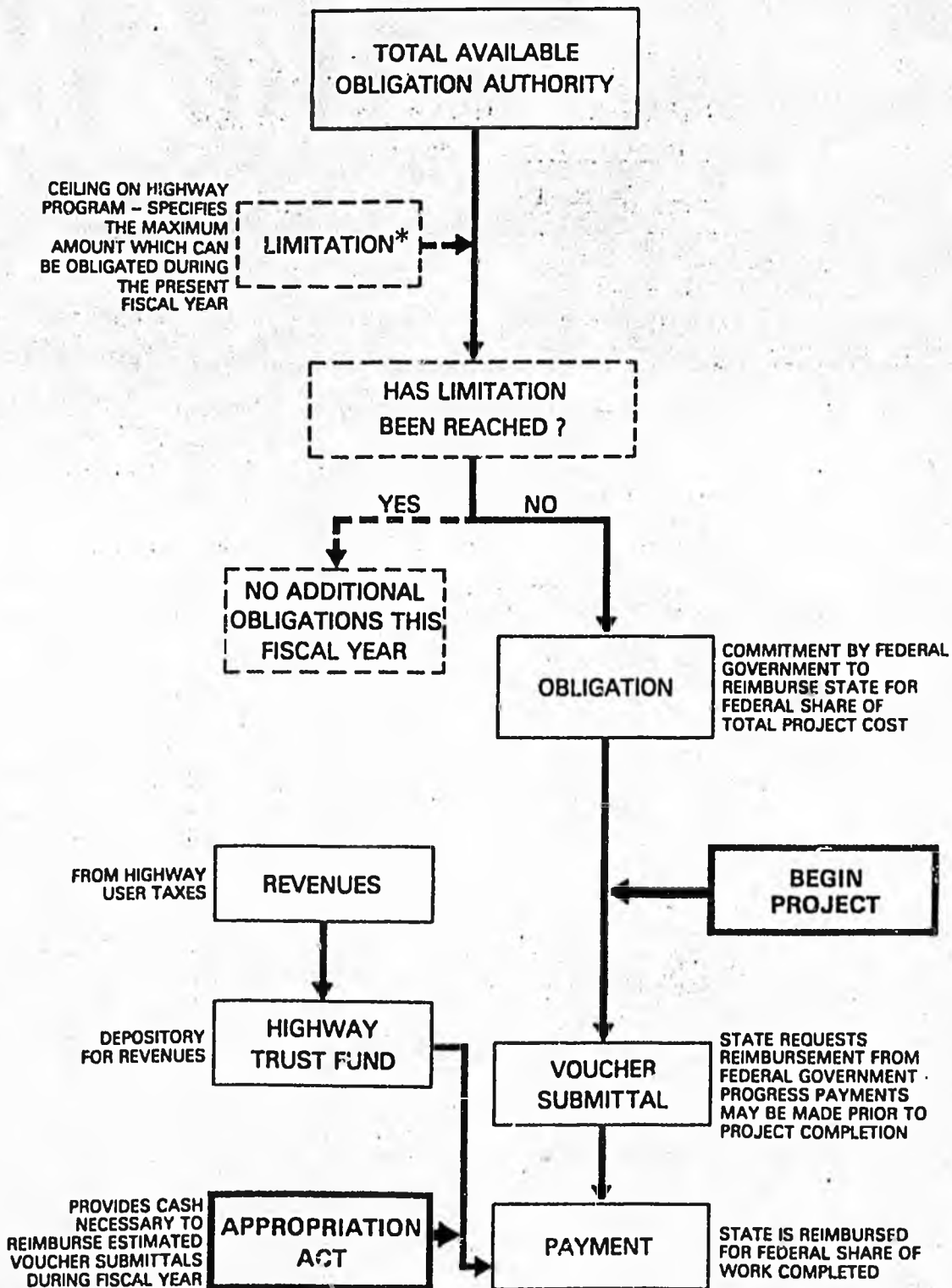


FIGURE 7



* LIMITATION MAY BE INITIATED BY THE EXECUTIVE BRANCH OR THE CONGRESS

FIGURE 7 (cont.)

APPENDIX A

FEDERAL

Glossary

Allocation--An administrative distribution of funds among the States.

This is done for funds which do not have legislatively mandated distribution formulas.

Apportionment--A term which refers to a legislatively prescribed division or assignment of funds. An apportionment is based on prescribed formulas in the law and consists of dividing authorized obligation authority for a specific program among the States.

Appropriation--Act of legislative body which makes funds available for expenditure with specific limitations as to amount, purpose, and duration. In most cases, permits money previously authorized to be obligated and payments made. But for the highway program operating under contract authority, appropriations specify amounts of funds that Congress will make available to liquidate prior obligations.

Authorization--Basic substantive legislation which empowers an agency to implement a particular program and which also establishes an upper limit on the amount of funds which can be appropriated for that program.

Impoundment--Any action or inaction by an officer or employee of the United States that precludes the obligation or expenditure of budget authority provided by Congress. Present law does not define impoundment, but replaces it with the terms "deferral" and "rescission."

Limitation on Obligations--Any action or inaction by an officer or employee of any branch of the United States Government that limits the amount of Federal assistance that may be obligated during a specified time period. A limitation on obligations does not affect the scheduled apportionment or allocation of funds; it just controls the rate at which these funds may be used.

APPENDIX B

Fiscal Characteristics of Highway Program Authorized
by the Surface Transportation Assistance Act of 1978

The following table lists the highway and highway safety programs administered by the Department of Transportation that were authorized by the 1978 Surface Transportation Assistance Act of 1978 and summarizes the following important fiscal characteristics:

- (1) Source of funding—Trust Fund or General Funds of the Treasury.
- (2) Federal share of a project's cost.
- (3) Type of budget authority—contract authority or appropriated budget authority.
- (4) Period of availability of funds.

Major Program Category	Trust Fund or General Fund	Federal Share	Contract Authority or Appropriated Budget Authority	Availability of Authorizations (Years)
Interstate Completion	T	90*	C	2
Interstate Resurfacing	T	75*	C	2
Interstate One-Half Percent Minimum	T	75-90*	C	2 ^{a/}
Primary	T	75*	C	4
Secondary	T	75*	C	4
Urban	T	75*	C	4
Forest Highways	T	100	C	4
Public Lands Highways	T	100	C	4
Economic Growth Center Development Highways	T	75*	C	4
Emergency Relief	T	75-100*	C	3
Territorial Highways	C	100	AB	b/
Northern Mariana Islands	C	100	AB	b/
Northeast Corridor Demonstration Project	G	80-100	AB	c/
Great River Road				
a) On-System	T	75*	C	4
b) Off-System	G	75	AB	b/
Control of Outdoor Advertising	C	75	AB	b/
Safer Off-System Roads	G	75*	AB	b/
Access Highways to Lakes	G	75	AB	c/
Urban High Density	T	90	C	4
Special Carpool/Vanpool	T	75	AB	c/
Bridges on Federal Dams	T	100	C	1
Demonstration Projects—Railroad Highway Crossings	2/3 T	95	AB	c/
Special Bicycle Program	1/3 C			
	1/2 T	75	AB	c/
	1/2 C			
Overseas Highway	T	70	AB	d/
Access Control Demonstration	T	75	C	4
Bypass Highway Demonstration	T	90	C	4
Integrated Motorist Information System	T	90	C	4
Highway Safety Programs (23 USC 402)	T	75*	C	4
Safety Research and Development (23 USC 307(a) and 403)	T	100	AB	c/
Bridge Replacement and Rehabilitation	T	80	C	4
Pavement Marking	T	100	C	4 ^{e/}
Hazard Elimination	T	90	C	4
Rail-Highway Crossings	T	90	C	4
National Maximum Speed Limit	T	75	AB	b/
Schoolbus Driver Training	T	75	C	4
Innovative Project Grants	T	75	AB	b/
Accident Data	T	100	AB	c/
Highway Safety Education and Information	T	100	AB	d/

* May be increased up to 95 percent for States with large areas of public lands.

- a/ Interstate one-half percent minimum funds are available for 2 years if used for Interstate purposes, for 4 years if transferred for use on other Federal-aid systems.
- b/ Authorizations are available for appropriation for multiple fiscal years. Once appropriated, the funds are available as specified in the Appropriation Act.
- c/ Authorizations are available for appropriation for one fiscal year only. Once appropriated funds are available as specified in the Appropriation Act.
- d/ Authorizations are available for appropriation without time limit.
- e/ Pavement Marking authorizations are available for 4 years; however, if not used by States in 2 years, they are withdrawn and reallocated to other States.

APPENDIX C-1

Apportionment Formulas

Formulas for apportioning authorized sums for certain classes of Federal-aid highways are specified by statute. These are shown below.

<u>Fund</u>	<u>Factors</u>	<u>Weight</u>	<u>Statute*</u>	<u>Minimum Apportionment</u>
Primary System	Area	2/9	104(b)(1)	1/2 percent (except for D.C.)
	Rural Population	2/9		
	Rural Delivery Route Mileage and Intercity Mail Route Mileage	2/9		
	Urban*** Population	1/3		
Secondary System	Area	1/3	104(b)(2)	1/2 percent (except for D.C.)
	Rural Population	1/3		
	Rural Delivery Route Mileage and Intercity Mail Route Mileage	1/3		
Interstate System (for completion only)	Relative Federal Share of Cost to Complete the System**	1	104(b)(5)(A)	1/2 percent (including Alaska) as specified in Sec. 104(b)(1) of the 1978 STAA
Interstate Resurfacing, Restoration, and Rehabilitation	Interstate System Lane Miles in Use for More than 5 Years	3/4	104(b)(5)(B)	-----
	Vehicle Miles Traveled on Interstate System Lanes in Use for More than 5 Years	1/4		
Urban System	Urban*** Population	1	104(b)(6)	1/2 percent
Urban Transportation Planning	Urbanized**** Population	1	104(f)(2)	1/2 percent
National Scenic & Recreational Highway (Great River Road)	Relative Needs	1	148(d)	-----
Hazard Elimination	Total Population	3/4	157(e)	1/2 percent*****
	Public Road Mileage	1/4		
Forest Highways	Area of Forests	1/2	202(a)	-----
	Value of Forests	1/2		
Safer Off-System Roads	Area	2/9	219(b)	-----
	Rural Population	2/9		
	Off-System Road Mileage	2/9		
	Urban Population	1/3		
Highway Safety Programs	Total Population	3/4	402(c)	1/2 percent*****
	Public Road Mileage	1/4		
Rail-Highway Crossing	Area	1/12	Sec. 203(d) of the 1973 Highway Act	-----
	Rural Population	1/12		
	Rural Delivery Route Mileage and Intercity Mail Route Mileage	1/12		
	Urban Population	1/4		
	Number of Rail-Highway Crossings	1/2		
Bridge Replacement & Rehabilitation	Relative Needs	1	144(e)	1/4 percent (8 percent maximum)

* Denotes appropriate section in Title 23, U.S.C., unless otherwise indicated.
 ** Apportionment factors are contained in the periodic reports, "A Revised Estimate of the Cost of Completing the National System of Interstate and Defense Highways," submitted to Congress as required in 23 U.S.C. 104(b)(5)(A).
 *** Places of 5,000 or more persons.
 **** Usually places of 50,000 or more persons--definition contained in 23 U.S.C. 101(a).
 ***** Except that the Virgin Islands, Guam, and American Samoa each get only one-third percent.

U. S. DEPARTMENT OF TRANSPORTATION
Federal Highway Administration

Table 2 - Status of FY 1980 Limitation on the Federal-Aid Highway Program
Pursuant to PL 96-304 and Order of the United States District Court

as of July 8, 1980

(thousands of dollars)

States	Total FY 1980 Limitation	Obligations October 1, 1979 Thru July 8, 1980	Unobligated Balance	1/ Amount Reserved	Available For Obligation
Alabama	137,810	124,801	13,009	699	12,310
Alaska	103,105	84,700	18,405	991	17,414
Arizona	104,742	83,273	21,469	0	21,469
Arkansas	65,716	53,838	11,878	0	11,878
California	481,521	392,531	88,990	4,790	84,200
Colorado	106,239	105,706	533	6	527
Connecticut	53,732	37,989	15,743	364	15,379
Delaware	27,943	22,664	5,279	133	5,146
Florida	438,085	438,085	0	0	0
Georgia	271,262	271,262	0	0	0
Hawaii	57,494	30,649	26,845	0	26,845
Idaho	31,116	23,803	7,313	341	6,972
Illinois	271,624	271,542	82	0	82
Indiana	130,222	107,698	22,524	1,172	21,352
Iowa	123,171	123,154	17	0	17
Kansas	129,091	128,941	150	0	150
Kentucky	183,131	179,538	3,593	0	3,593
Louisiana	169,935	127,529	42,406	0	42,406
Maine	40,151	31,821	8,330	0	8,330
Maryland	492,091	491,874	217	0	217
Massachusetts	113,670	89,480	24,190	0	24,190
Michigan	200,454	165,234	35,220	1,884	33,336
Minnesota	138,868	112,904	25,964	1,398	24,566
Mississippi	46,821	36,374	10,447	562	9,885
Missouri	154,492	153,726	766	41	725
Montana	81,796	41,655	40,141	0	40,141
Nebraska	57,178	46,285	10,893	586	10,307
Nevada	62,004	62,004	0	0	0
New Hampshire	37,406	30,675	6,731	122	6,609
New Jersey	122,561	85,886	36,675	0	36,675
New Mexico	52,790	40,325	12,465	633	11,832
New York	410,432	359,540	50,892	414	50,478
North Carolina	155,421	128,592	26,829	1,444	25,385
North Dakota	52,506	48,032	4,474	240	4,234
Ohio	180,755	145,709	35,046	1,858	33,188
Oklahoma	90,612	90,610	2	0	2
Oregon	86,710	65,848	20,862	0	20,862
Pennsylvania	444,770	348,287	96,483	0	96,483
Rhode Island	29,366	21,374	7,992	377	7,615
South Carolina	58,437	44,755	13,682	674	13,008
South Dakota	50,673	41,919	8,754	400	8,354
Tennessee	164,335	149,443	14,892	802	14,090
Texas	471,937	471,585	352	0	352
Utah	90,665	86,873	3,792	0	3,792
Vermont	31,500	21,276	10,224	0	10,224
Virginia	170,793	137,162	33,631	1,790	31,841
Washington	204,085	182,545	21,540	1,105	20,435
West Virginia	218,074	218,060	14	0	14
Wisconsin	120,819	120,819	0	0	0
Wyoming	55,134	45,457	9,677	521	9,156
Dist. of Col.	13,133	6,616	6,517	227	6,290
Puerto Rico	29,409	29,048	361	10	351
Subtotal	7,615,387	6,799,096	816,291	23,584	792,707
Administration	183,000				
Forest Highway	1,613				
Total	7,800,000				

1/ Reserved from availability pursuant to Order of the United States District Court, Eastern District of Arkansas, Western Division. State of Arkansas, ex rel. Arkansas State Highway Commission vs Neil Goldschmidt, Secretary of Transportation of the United States. Funds have not been reserved from the amount required to prevent lapse.

U. S. DEPARTMENT OF TRANSPORTATION Attachment 1
FEDERAL HIGHWAY ADMINISTRATIONDistribution of 80 percent of \$8.75 Billion
Limitation on Federal-Aid Highway Program Obligations for FY 1981

(thousands of dollars)

<u>State</u>	<u>80 Percent Amount</u>
Alabama	125,806
Alaska	101,761
Arizona	89,018
Arkansas	67,546
California	502,734
Colorado	94,691
Connecticut	112,624
Delaware	30,357
Florida	251,254
Georgia	205,744
Hawaii	74,666
Idaho	46,598
Illinois	233,394
Indiana	123,127
Iowa	110,970
Kansas	97,932
Kentucky	135,626
Louisiana	191,658
Maine	40,140
Maryland	204,726
Massachusetts	146,722
Michigan	194,466
Minnesota	149,862
Mississippi	68,802
Missouri	139,854
Montana	64,491
Nebraska	64,786
Nevada	52,930
New Hampshire	37,646
New Jersey	163,739
New Mexico	80,502
New York	375,768
North Carolina	146,355
North Dakota	48,696
Ohio	208,470
Oklahoma	71,875
Oregon	86,449
Pennsylvania	340,382
Rhode Island	55,683
South Carolina	90,825
South Dakota	47,978
Tennessee	151,509
Texas	357,550
Utah	75,252
Vermont	38,471
Virginia	199,813
Washington	184,214
West Virginia	99,970
Wisconsin	108,467
Wyoming	52,859
Dist. of Col.	53,048
Puerto Rico	26,720
Subtotal	6,824,526
Undistributed Forest Highway Administration	1,706,132 33,342 <u>186,000</u>
Total	8,750,000