

AIRPORT IMPROVEMENT PROGRAM

Objective: Provides grants to owners of public use airports (mostly municipal with the exception of reliever airport owners who might be private).

Administering Agency: NYS Department of Transportation; US Department of Transportation

Specific Program URL: NA

NYS Object Code: 65502

Year Established: 1970

Catalog of Federal Domestic Assistance No.: 20.106

Legal Authority:

Law: NY Laws of 1967, Chapter 717, Section 36 and Article B, Section 306; US PL 97-248 and PL 100-233

Regulation: NA

Program Contact:

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 (518) 457-2821
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Fiscal Contact:

Carlton Boorn
 Director
 Accounting Bureau
 Office of Budget and Finance
 NYS Department of Transportation
 1220 Washington Avenue
 Albany, NY 12232
 (518) 457-2424
 E-Mail: NA

Eligibility: Counties, Cities, Towns, Villages, Public Authorities and Private Airports designated as reliever airports. Must have received a Federal grant first, before a State grant is awarded.

Type of Program and Special Restrictions: Optional, without any State or Federal mandated requirements. Must be used for specific projects.

Action Required to Receive Aid: Competitive application for aid required.

Description of Aid:

Flow of Funds: Federal and State to Local. Monies are provided as a reimbursement.

Type of Aid: Project Grant

Formula: NA

Matching Requirement: Federal 90-75%. Fifty percent of remaining costs after Federal funds are deducted are State share of match, 50 percent are Local. Federal share varies between 75 percent at big airports and 90 percent at smaller commercial service and general aviation airports.

Maintenance of Effort: Facility must remain operational over a 20 year period.

Amounts Appropriated:

	<u>Federal Funds*</u>	<u>State General Funds</u>	<u>State Spec. Rev.</u>
SFY 99-00	NA	NA	4,500,000
SFY 00-01	NA	NA	6,000,000
SFY 01-02	NA	NA	6,000,000

*New York is not a pass-through State for Federal AIP funds.

Amounts Disbursed:

	<u>Federal Funds</u>	<u>State General Funds</u>	<u>State Spec. Rev.</u>
SFY 00-01	99,772,974	NA	4,105,451
SFY 01-02	162,833,539	NA	6,793,923

**AIRPORT IMPROVEMENT & REVITALIZATION
ACT OF 1999 (AIR '99)**
(Technical Assistance Program)

Objective: Provides for current needs of the State's public use airports.

Administering Agency: NYS Department of Transportation

Specific Program URL: NA

NYS Object Code: NA

Year Established: 1999

Catalog of Federal Domestic Assistance No.: NA

Legal Authority:

Law: NY Transportation Law, Article 2, Section 141

Regulation: NA

Program Contact:

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Fiscal Contact:

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Eligibility: Public use airports included in the State Aviation System's Plan (SASP), Counties, Cities, Towns, Villages, Public Authorities and Private Owners.

Type of Program and Special Restrictions: State/Local grant and loan program. Eligibility limited to specific project types. Limited to \$300,000. Promotional limited to \$35,000. Bi-State authority airports not eligible.

Action Required to Receive Aid: Applications submitted when funding available.

Description of Aid:

Grant and loan program. Matching requirement varies by size and type of airport. Matching requirement: General aviation airports and commercial service airports with less than 50,000 annual enplanements - 90%; Commercial service airports with 50,000 - 700,000 annual enplanements - 80%; Commercial service with 700,000 or more annual enplanements - 70%. Technical assistance - 80%. Must maintain the project for its useful life as defined in the legislation. See also the Airport Improvement Program.

CONSOLIDATED LOCAL STREET AND HIGHWAY IMPROVEMENT PROGRAM (CHIPS)

Objective: To assist localities in financing the construction, reconstruction, or improvement of highways, bridges, highway-railroad crossings, and other facilities that are not on the State highway system.

Administering Agency: NYS Department of Transportation

Specific Program URL: NA

NYS Object Code: 65101

Year Established: 1982

Catalog of Federal Domestic Assistance No.: NA

Legal Authority:

Law: NY Highway Law, Section 10-c

Regulation: NA

Program Contact:

Steven Ainspan
Local Programs Unit
NYS Department of Transportation
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Albany, NY 12232
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E-Mail: SAINSPAN@GW.STATE.NY.US

Fiscal Contact:

NA

Eligibility: Counties, Cities, Towns and Villages. Municipality must own road mileage.

Type of Program and Special Restrictions: Mandated, required by State law or regulations. All money must be spent on capital projects having a highway-related purpose and an expected useful service life of at least 10 years. Monies may not be used for debt service.

Action Required to Receive Aid: Municipalities must certify that the capital projects have a minimum 10 year service life and that project disbursements were made during the specified reimbursement period for a particular quarterly payment.

Description of Aid:

Flow of Funds: State to Local. Capital funds are provided as a reimbursement for local cash expenditures made by municipalities..

Type of Aid: Ongoing

Formula: Based on road mileage and motor vehicle registrations.

Matching Requirement: NA

Maintenance of Effort: NA

Amounts Appropriated:

	<u>Federal Funds</u>	<u>State General Funds</u>	<u>State Spec. Rev.</u>
SFY 00-01	NA	58,797,000	217,900,000
SFY 01-02	NA	23,888,000	217,900,000
SFY 02-03	NA	NA	241,788,000

Amounts Disbursed:

	<u>Federal Funds</u>	<u>State General Funds</u>	<u>State Spec. Rev.</u>
SFY 00-01	NA	58,797,000	198,713,792
SFY 01-02	NA	23,888,000	217,936,873

Comments: Prior to SFY 91-92, the CHIPS Program was a single direct grant program funded entirely out of the State's General Fund. In SFY 91-92, the CHIPS Program was restructured into two separate components: (1) an Operation and Maintenance (O&M) component funded out of the State's General Fund; and (2) a Capital reimbursement component funded from the proceeds of bonds (State Special Revenue) issued by the NYS Thruway Authority. In SFY 02-03, no CHIPS O&M funding was included in the State budget.

**DEDICATED MASS TRANSPORTATION TRUST FUND,
NON-MTA CAPITAL PURPOSE
STATEWIDE (NON-MTA) MULTI-YEAR
TRANSIT CAPITAL PROGRAM**

Objective: Supports transit capital infrastructure for both public and private mass transit systems statewide, except for the MTA.

Administering Agency: NYS Department of Transportation

Specific Program URL: NA

NYS Object Code: NA

Year Established: 1996

Catalog of Federal Domestic Assistance No.: NA

Legal Authority:

Law: NY State Finance Law, Section 89C

Regulation: NA

Program Contact:

Ron Epstein
Transit Services Bureau
NYS Department of Transportation
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(518) 457-8343
E-Mail: NA

Fiscal Contact:

Carlton Boorn
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NYS Department of Transportation
1220 Washington Avenue
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(518) 457-2424
E-Mail: NA

Eligibility: Municipal sponsors including counties, cities, and transportation authorities.

Type of Program and Special Restrictions: Transit capital projects.

Action Required to Receive Aid: Sponsorship by municipality as described above for public transit capital need.

Description of Aid:

Flow of Funds: State reimburses municipal sponsor for 100% of capital costs, subject to State contract.

Type of Aid: Project Grant - capital only.

Formula: Need-based as compared to total Statewide transit capital needs.

Matching Requirement: 100% State funding, cannot be used to match Federal funds.

Maintenance of Effort: NA

Amounts Appropriated:

	<u>Federal Funds</u>	<u>State Dedicated Funds</u>	<u>State Spec. Rev.</u>
SFY 00-01	NA	12,000,000	NA
SFY 01-02	NA	12,000,000	NA
SFY 02-03	NA	14,000,000	NA

Amounts Disbursed:

	<u>Federal Funds</u>	<u>State Dedicated Funds</u>	<u>State Spec. Rev.</u>
SFY 00-01	NA	6,275,000	NA
SFY 01-02	NA	2,740,000	NA

FEDERAL TRANSIT ADMINISTRATION ASSISTANCE TECHNICAL STUDIES (FTA)

Objective: Funds studies for comprehensive transportation planning and coordinated support transit studies within eligible urban areas in accordance with Federal grant agreements.

Administering Agency: NYS Department of Transportation; US Department of Transportation

Specific Program URL: NA

NYS Object Code: 65404

Year Established: 1974

Catalog of Federal Domestic Assistance No.: 20.505

Legal Authority:

Law: NY Laws of 1990, Chapter 53; US Urban Mass Transportation Act of 1964

Regulation: NA

Program Contact:

John McNeill
Acting Director
MPO Bureau
NYS Department of Transportation
1220 Washington Avenue
Albany, NY 12232
(518) 457-3229
E-Mail: JMcNeill@gw.dot.state.ny.us

Fiscal Contact:

Elizabeth Booth
Associate Accountant
Revenue Division
NYS Department of Transportation
1220 Washington Avenue
Albany, NY 12232
(518) 457-1986
E-Mail: ebooth@gw.dot.state.ny.us

Eligibility: Metropolitan Planning Organization work programs within eligible urban areas.

Type of Program and Special Restrictions: Optional, but once chosen subject to mandated State and Federal requirements. Must be in accordance with State approved unified work program and Federal approved grant agreement.

Action Required to Receive Aid: Non-competitive application for aid required.

Description of Aid:

Flow of Funds: Federal to State to Local (Pass-through). Monies are provided as a reimbursement of incurred eligible costs.

Type of Aid: Ongoing

Formula: NA

Matching Requirement: Consult program contact.

Maintenance of Effort: NA

Amounts Appropriated:

	<u>Federal Funds</u>	<u>State General Funds</u>	<u>State Spec. Rev.</u>
SFY 00-01	4,996,473	NA	NA
SFY 01-02	5,262,941	NA	NA
SFY 02-03	5,603,614	NA	NA

Amounts Disbursed:

	<u>Federal Funds</u>	<u>State General Funds</u>	<u>State Spec. Rev.</u>
SFY 00-01	1,975,921	NA	NA
SFY 01-02	828,699	NA	NA

FERRY BOAT DISCRETIONARY PROGRAM

Objective: Provides a special funding category for the construction of ferry boats and ferry terminals.

Administering Agency: NYS Department of Transportation for the Federal Highway Administration

Specific Program URL: www.dot.state.ny.us

NYS Object Code: NA

Year Established: 1991

Catalog of Federal Domestic Assistance No.: NA

Legal Authority:

Law: 1991 ISTEPA, Section 1064 (Public Law 102-240); TEA-21, Section 1027 (Public Law 105-178)

Regulation: 23 USC 129(c)

Program Contact:

Barry Hecht
Transit Services Bureau
NYS Department of Transportation
1220 Washington Avenue, Bldg. 4, Rm. 115
Albany, NY 12232-0414
(518) 457-8343
E-Mail: NA

Fiscal Contact:

Same

Eligibility: Ferry/Facilities providing a link on a public road (other than Interstate) or providing passenger only service; ferry and/or facilities to be constructed or improved must be either publicly owned, operated or a public authority has majority ownership interest where it is demonstrated that the ferry operation provides substantial public benefits.

Type of Program and Special Restrictions: Optional, but recipients are subject to State and Federal regulations.

Action Required to Receive Aid: Application for aid required.

Description of Aid:

Flow of Funds: Federal to State to Local Grantee

Type of Aid: Project Grant - Limited Duration (1 Federal fiscal year)

Formula: NA

Matching Requirement: 20% Local (grantee) match to 80% Federal funding of entire project cost.

Maintenance of Effort: NA

Amounts Appropriated:

	<u>Federal Funds</u>	<u>State Dedicated Funds</u>	<u>State Spec. Rev.</u>
SFY 00-01	243,000	NA	NA
SFY 01-02	1,300,000	NA	NA
SFY 02-03	9,300,000	NA	NA

Amounts Disbursed: Not Provided

FHWA CORE HIGHWAY INFRASTRUCTURE PROGRAMS

Congestion Mitigation - Air Quality (CMAQ), Highway Bridge Reconstruction & Rehabilitation (HBRR), National Highway System (NHS), Surface Transportation Program (STP), Safety Infrastructure & Hazard Elimination Programs

Objective: Improves safety, mobility and infrastructure while protecting and enhancing communities and natural environment. Replaces and rehabilitates structurally deficient or functionally obsolete highway bridges on and off the Federal-aid system, reduces transportation related emissions, provides for improved connections to major intermodal terminals, mitigates hazards caused by wildlife, and railway-highway grade crossings.

Administering Agency: NYS Department of Transportation

Specific Program URL: <http://www.fhwa.dot.gov/tea21/factsheets/index.htm>

NYS Object Code: NA

Year Established: 1998

Catalog of Federal Domestic Assistance No.: 20.205

Legal Authority:

Law: Transportation Equity Act for the 21st Century (TEA-21), P.L. 105-178. 23 U.S.C. Various Sections: 133 for STP & STP HE, 103 & 104 for NHS, 144 for HBRR, 149 for CMAQ, 152 for STP HE.

Regulation: 23 CFR

Program Contact

James W. Harris, P.E.
Director
Program Management Division
NYS Department of Transportation
1220 Washington Avenue
Building 5, Room 523
Albany, NY 12232
(518) 457-4056
E-Mail: NA

Fiscal Contact

NA

Eligibility: State Governments, Municipalities, and Public Transportation Authorities through a State Highway Agency.

Type of Program and Special Restrictions: Optional, but once chosen subject to mandated State and Federal requirements. HBRR funds may be applied to projects on all highway bridges on any road (on or off Federal-aid system). Otherwise, facility to be improved must be on Federal-aid system. See program contact for specific restrictions.

Action Required to Receive Aid: Competitive application for aid required; inclusion on a Transportation Improvement Program (TIP) in urbanized areas required.

Description of Aid:

Flow of Funds: Federal to State. State to Local as a reimbursement. State monies are provided in advance.

Type of Aid: Project Grant (reimbursement).

Formula: NA

Matching Requirement: Varies, generally 20%, 10% for safety improvements. Contact Program Contact.

Maintenance of Effort: NA

Amounts Appropriated:

	<u>Federal Funds</u>	<u>State General Funds</u>	<u>State Spec. Rev.</u>
FFY 00-01	1,185,800,000	NA	NA
FFY 01-02	1,196,500,000	NA	NA

Amounts Disbursed:

	<u>Federal Funds</u>	<u>State General Funds</u>	<u>State Spec. Rev.</u>
FFY 00-01	NA	NA	NA
FFY 01-02	NA	NA	NA

FHWA LOCAL PLANNING PROGRAM

Objective: Funds studies for comprehensive transportation planning and coordinated support studies within eligible urban areas in accordance with Federal grant agreements.

Administering Agency: NYS Department of Transportation; US Department of Transportation

Specific Program URL: NA

NYS Object Code: 65503

Year Established: 1974

Catalog of Federal Domestic Assistance No.: 20.205

Legal Authority:

Law: NY Laws of 1990, Chapter 53; 23 USC 104F

Regulation: NA

Program Contact:

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MPO Bureau
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Fiscal Contact:

Elizabeth Booth
Associate Accountant
Revenue Division
NYS Department of Transportation
1220 Washington Avenue
Albany, NY 12232
(518) 457-1986
E-Mail: ebooth@gw.dot.state.ny.us

Eligibility: Metropolitan Planning Organizations work programs within eligible urban areas.

Type of Program and Special Restrictions: Optional, but once chosen subject to mandated State and Federal requirements. Must be in accordance with State approved unified work program and Federal grant agreement.

Action Required to Receive Aid: Non-competitive application for aid required.

Description of Aid:

Flow of Funds: Federal to State to Local (Pass-through). Monies are provided as a reimbursement of incurred eligible costs..

Type of Aid: Ongoing

Formula: Based on urban population and lane miles.

Matching Requirement: Consult program contact.

Maintenance of Effort: NA

Amounts Appropriated:

	<u>Federal Funds</u>	<u>State General Funds</u>	<u>State Spec. Rev.</u>
SFY 00-01	16,080,818	7,106,000	NA
SFY 01-02	16,398,054	3,075,000	NA
SFY 02-03	16,665,004	3,125,000	NA

Amounts Disbursed:

	<u>Federal Funds</u>	<u>State General Funds</u>	<u>State Spec. Rev.</u>
SFY 00-01	9,362,487	NA*	NA
SFY 01-02	11,740,466	NA*	NA

*Not Provided

HIGHWAY BRIDGE REPLACEMENT AND REHABILITATION DISCRETIONARY PROGRAM

Objective: Provides funds to assist the States and municipalities in their programs to replace and rehabilitate deficient highway bridges and to seismic retrofit bridges located on any public road.

Administering Agency: NYS Department of Transportation

Specific Program URL: NA

NYS Object Code: NA

Year Established: 1978

Catalog of Federal Domestic Assistance No.: NA

Legal Authority:

Law: Transportation Equity Act for the 21st Century (TEA-21), Section 144(g) of 23 USC

Regulation: NA

Program Contact

James W. Harris, P.E.
Director
Program Management Division
NYS Department of Transportation
1220 Washington Avenue
Building 5, Room 523
Albany, NY 12232
(518) 457-4056
E-Mail: NA

Fiscal Contact

NA

Eligibility: State and Municipal Governments. Applications compete at the National level. \$10,000,000 minimum project cost.

Type of Program and Special Restrictions: Optional, but once chosen subject to mandated State and Federal requirements.

Action Required to Receive Aid: Competitive application process with selections made at the National level. Transportation Improvement Program (TIP) inclusion is required in metropolitan areas.

Description of Aid:

Flow of Funds: Federal to State and State to Local. Monies are provided as a reimbursement.

Type of Aid: Project Grant

Formula: NA

Matching Requirement: 80% Federal, 20% State/Local

Maintenance of Effort: NA

Amounts Appropriated:

	<u>Federal Funds</u>	<u>State General Funds</u>	<u>State Spec. Rev.</u>
FFY 00-01	100,000,000	NA	NA
FFY 01-02	100,000,000	NA	NA

Amounts Awarded to NYS Projects:

	<u>Federal Funds</u>	<u>State General Funds</u>	<u>State Spec. Rev.</u>
FFY 00-01	NA	NA	NA
FFY 01-02	9,100,000	NA	NA

INDUSTRIAL ACCESS PROGRAM (IAP)

Objective: Provides funding for highway, bridge and rail freight (spur) improvements that will facilitate economic development and result in jobs being created or retained in New York State.

Administering Agency: NYS Department of Transportation

Specific Program URL: NA

NYS Object Code: 71120

Year Established: 1985

Catalog of Federal Domestic Assistance No.: NA

Legal Authority:

Law: NY Laws of 1985, Chapter 54

Regulation: IAP Rules and Regulations, 1993

Program Contact:

Gregory M. Knox
 Program Manager
 Freight & Economic Development Division
 NYS Department of Transportation
 1220 Washington Avenue
 Albany, NY 12232-0876
 (518) 457-7331
 E-Mail: gknox@gw.dot.state.ny.us

Fiscal Contact:

NA

Eligibility: Counties, Cities, Towns, Villages, Public Authorities, Local Development Agencies and Industrial Development Agencies.

Type of Program and Special Restrictions: Optional, but once chosen subject to mandated State requirements.

Awards are limited to \$1,000,000 in the form of a 60 percent grant and 40 percent interest free loan. Facilities that are retail in nature are not eligible. Completed project must be available for public use.

Action Required to Receive Aid: Competitive application for aid required.

Description of Aid:

Flow of Funds: State to Local Municipal Sponsor. Monies are provided as a reimbursement.

Type of Aid: Project Grant/Loan

Formula: Consult program contact.

Matching Requirement: Local and private financial participation is expected, although no formula is applied.

Maintenance of Effort: Thirty years for bridge projects, 20 years for highway and rail projects are required.

Amounts Appropriated:

	<u>Federal Funds</u>	Highway and Bridge <u>Trust Fund</u>	<u>State Spec. Rev.</u>
SFY 00-01	NA	25,000,000	NA
SFY 01-02	NA	25,000,000	NA
SFY 02-03	NA	15,000,000	NA

Amounts Disbursed:

	<u>Federal Funds</u>	Highway and Bridge <u>Trust Fund</u>	<u>State Spec. Rev.</u>
SFY 00-01	NA	7,275,000	NA
SFY 01-02	NA	9,250,000	NA

INNOVATIVE BRIDGE RESEARCH AND CONSTRUCTION DISCRETIONARY PROGRAM

Objective: Funds are made available for projects to demonstrate innovative methods and materials relating to repair, rehabilitation and construction of bridges.

Administering Agency: NYS Department of Transportation
Specific Program URL: NA

NYS Object Code: NA

Year Established: 1998

Catalog of Federal Domestic Assistance No.: NA

Legal Authority:

Law: Transportation Equity Act for the 21st Century (TEA-21), Section 503(b)(3), Section 503(b)(4), 23 USC.

Regulation: NA

Program Contact

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Program Management Division
NYS Department of Transportation
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(518) 457-4056
E-Mail: NA

Fiscal Contact

NA

Eligibility: State and Municipal Governments. Applications compete at the National level.

Type of Program and Special Restrictions: Optional, but once chosen subject to State and Federal requirements.

Action Required to Receive Aid: Competitive application process. Prioritized lists submitted to FHWA, Washington. Selections made at the National level. Transportation Improvement Program (TIP) inclusion in metropolitan areas.

Description of Aid:

Flow of Funds: Federal to State to Local.

Type of Aid: Project Grant

Formula: NA

Matching Requirement: 100% Federal for all innovative project elements.

Maintenance of Effort: NA

Amounts Appropriated:

	<u>Federal Funds</u>	<u>State General Funds</u>	<u>State Spec. Rev.</u>
FFY 00-01	17,000,000	NA	NA
FFY 01-02	17,200,000	NA	NA

Amounts Awarded to NYS Projects:

	<u>Federal Funds</u>	<u>State General Funds</u>	<u>State Spec. Rev.</u>
FFY 00-01	800,000	NA	NA
FFY 01-02	700,000	NA	NA

JOBS ACCESS AND REVERSE COMMUTE

Objective: Increases opportunities for persons on welfare and low income individuals to access transportation service(s) including reverse commute service(s) designed to facilitate the transition from welfare to work.

Administering Agency: NYS Department of Transportation; US Department of Transportation, Federal Transit Administration

Specific Program URL: NA

NYS Object Code: NA

Year Established: 1998

Catalog of Federal Domestic Assistance No.: 20.509

Legal Authority:

Law: Transportation Equity Act for the 21st Century, Section 3037

Regulation: Notice: Job Access and Reverse Commute Competitive Grants, November 6, 1998

Program Contact:

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ITS III
Passenger Policy and Program Evaluation
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(518) 457-2100
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Fiscal Contact:

NA

Eligibility: Local agencies and authorities, non-profit organizations and designated recipients under the FTA section 5307 program are eligible applicants. Local agencies and authorities include states, local governments, metropolitan planning organizations, public transit agencies and tribal organizations.

Type of Program and Special Restrictions: Federal Discretionary Transportation Program for transportation services to welfare recipients and low income persons.

Action Required to Receive Aid: Regional Transportation Plans must be developed and an application is required. Complete applications including recommendation as appropriate by the Metropolitan Planning Organizations (MPOs) or the State must be submitted to the FTA by the established deadline.

Description of Aid: Federal funds can be used to pay for up to 50% of operating and capital costs associated with the provision of transportation service(s) to welfare recipients and low income persons.

Amounts Appropriated:

	<u>Federal Funds</u>	<u>State General Funds</u>	<u>State Spec. Rev.</u>
SFY 00-01	75,000,000	NA	NA
SFY 01-02	100,000,000	NA	NA
SFY 02-03	125,000,000	NA	NA

Amounts Disbursed: Not Provided

Comments: Metropolitan Planning Organizations select applicants in areas over 200,000 in population. In small urban areas between 50,000 and 200,000 in population and rural areas, states select the applicants.

MARCHISELLI PROGRAM (MUNICIPAL STREETS & HIGHWAYS PROGRAM)

Objective: Assists local municipalities in meeting the non-Federal share of costs required to match Federal Aid for off (Federal) system highway and bridge capital projects.

Administering Agency: NYS Department of Transportation

Specific Program URL: NA

NYS Object Code: NA

Year Established: 1991

Catalog of Federal Domestic Assistance No.: NA

Legal Authority:

Law: NY Laws of 1991, Chapter 329 as amended by Chapter 330; NY Highway Law, Section 80-b. Funding authorization provided by NY Laws of 1994, Chapter 167.

Regulation: NA

Program Contact:

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NYS Department of Transportation
1220 Washington Avenue
Albany, NY 12232
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Fiscal Contact:

NA

Eligibility: Counties, Cities, Towns and Villages. In order to be eligible for Marchiselli (State) funding, projects must first be on the Federal Aid program. Specific project phases must be included (i.e., listed) in the current Legislative "Green Book" publication on Marchiselli appropriations.

Type of Program and Special Restrictions: Optional, but once chosen subject to mandated State and Federal requirements. This is a "reimbursement type" program funded from tax-exempt Thruway Bond revenue. Special restrictions include a requirement that monies be used on highway and bridge projects with an expected service life of ten years or more, and that funding may not be used for public debt service.

Action Required to Receive Aid: Municipalities are required to execute a local resolution and agreement with the Department of Transportation. In cases where the State administers the Federally-aided project phase, the municipality is required to deposit the full non-Federal share of each phase's estimated cost. In cases where the locality administers the work, no deposit is required.

Description of Aid:

Flow of Funds: NYS Thruway Bond Revenue-to-Local Municipality via periodic (usually quarterly) reimbursement checks (as actual payments are processed by the State Comptroller).

Type of Aid: Ongoing, reimbursement of the eligible non-Federal costs.

Formula: Seventy-five percent of eligible non-federal project costs processed to date, limited by the lower of either the State legislated "Green Book" budget allocation amount or the amount of the maximum State Marchiselli match listed in the local agreement.

Matching Requirement: If State administered, locality must first deposit 100 percent of the estimated non-Federal cost share.

Maintenance of Effort: NA

Amounts Appropriated:

	<u>Federal Funds</u>	<u>State General Funds</u>	<u>State Spec. Rev.</u>
SFY 00-01	NA	NA	39,700,000
SFY 01-02	NA	NA	39,700,000
SFY 02-03	NA	NA	39,700,000

Amounts Disbursed:

	<u>Federal Funds</u>	<u>State General Funds</u>	<u>State Spec. Rev.</u>
SFY 00-01	NA	NA	26,691,000
SFY 01-02	NA	NA	32,011,000

MASS TRANSPORTATION OPERATING ASSISTANCE

Objective: Provides transit operating assistance to both public and private sponsored transit operations in New York State in order to stabilize and maintain fares and service levels.

Administering Agency: NYS Department of Transportation

Specific Program URL: NA

NYS Object Code: 65201

Year Established: 1974

Catalog of Federal Domestic Assistance No.: NA

Legal Authority:

Law: NY Transportation Law, Sections 18-b and 14-g, NY Finance Law, Section 88-a

Regulation: 17 NYCRR 975

Program Contact:

Michael Heath
 Transit Operating Assistance Program
 Passenger Transportation Division
 NYS Department of Transportation
 1220 Washington Avenue
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 (518) 457-2100
 E-Mail: mheath@gw.dot.state.ny.us

Fiscal Contact:

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 (518) 457-2424
 E-Mail: NA

Eligibility: Counties, Cities, Public Authorities and Directly Sponsored Major Intercity Carriers. Eligible mass transportation services are available to the general public on a regular and continuing basis and have pre-determined and publicly posted fares, service hours and also shall have printed schedules. Minimum fare for transfer fee of 30 cents per passenger (half fare for elderly, young or transit disabled) must be collected.

Type of Program and Special Restrictions: Optional, but once chosen subject to mandated State requirements. MTOA monies may only be used to meet current operating expenses. Private carriers subject to maximum profit review annually.

Action Required to Receive Aid: Non-competitive application for aid required on a quarterly basis.

Description of Aid:

Flow of Funds: State to Local. Monies are provided by statutory schedule for authorities, or on formula basis for non-authorities.

Type of Aid: Ongoing

Formula: For non-authority participants. Upstate systems: 40.5 cents/revenue passenger and 69 cents/revenue vehicle mile. Additional 5 cents/revenue passenger and 30 cents/population (on a quarterly basis) for Americans with Disabilities Act (ADA) paratransit service. Downstate systems: 40.5 cents/revenue passenger and 69 cents/revenue vehicle mile. Additional 5 cents/revenue passenger and 30 cents/population (on a quarterly basis) for ADA paratransit service. Additional 50% of system fare/uniticket passenger for uniticket service.

Matching Requirement: State 50%, Local 50% of the local match required portion.

Maintenance of Effort: NA

Amounts Appropriated:

	<u>Federal Funds</u>	<u>State General Funds*</u>	<u>State Spec. Rev.**</u>	<u>Dedicated Taxes***</u>
SFY 00-01	NA	161,511,500	165,989,000	1,249,789,000
SFY 01-02	NA	122,161,000	202,989,000	1,250,309,000
SFY 02-03	NA	181,616,000	165,989,000	1,385,752,000

*\$103,016,000 requires a local match.

**Requires a local match.

***Includes Dedicated Mass Transportation Trust Fund.

MASS TRANSPORTATION OPERATING ASSISTANCE (cont.)

Amounts Disbursed:

	<u>Federal Funds</u>	<u>State General Funds*</u>	<u>State Spec. Rev.**</u>	<u>Dedicated Taxes***</u>
SFY 00-01	NA	159,831,000	165,989,000	1,237,460,429
SFY 01-02	NA	122,161,000	202,989,000	1,215,232,985

*\$103,016,000 requires a local match.

**Requires a local match.

***Includes Dedicated Mass Transportation Trust Fund

NATIONAL HISTORIC COVERED BRIDGE PRESERVATION PROGRAM

Objective: Provides funding for the rehabilitation, repair, preservation, and restoration of the Nation's historic covered bridges.

Administering Agency: NYS Department of Transportation

Specific Program URL: NA

NYS Object Code: NA

Year Established: 1998

Catalog of Federal Domestic Assistance No.: NA

Legal Authority:

Law: Transportation Equity Act for the 21st Century (TEA-21), Section 1224.

Regulation: NA

Program Contact

James W. Harris, P.E.
Director
Program Management Division
NYS Department of Transportation
1220 Washington Avenue
Building 5, Room 523
Albany, NY 12232
(518) 457-4056
E-Mail: NA

Fiscal Contact

NA

Eligibility: State or Municipal Governments. Applications compete at the National level.

Type of Program and Special Restrictions: Optional, but once chosen subject to State and Federal requirements.

Action Required to Receive Aid: Competitive application process. Prioritized lists submitted to FHWA, Washington. Selections made at the National level. Transportation Improvement Program (TIP) inclusion in metropolitan areas.

Description of Aid:

Flow of Funds: Federal to State to Local.

Type of Aid: Project Grant

Formula: NA

Matching Requirement: 80% Federal, 20% State/Local.

Maintenance of Effort: NA

Amounts Appropriated:

	<u>Federal Funds</u>	<u>State General Funds</u>	<u>State Spec. Rev.</u>
FFY 00-01	8,000,000	NA	NA
FFY 01-02	10,000,000	NA	NA

Amounts Awarded to NYS Projects:

	<u>Federal Funds</u>	<u>State General Funds</u>	<u>State Spec. Rev.</u>
FFY 00-01	300,000	NA	NA
FFY 01-02	200,000	NA	NA

PUBLIC LANDS HIGHWAYS DISCRETIONARY PROGRAM

Objective: Provides funding for roadway rehabilitation and reconstruction to improve access to and within Federal lands of the nation.

Administering Agency: NYS Department of Transportation

Specific Program URL: NA

NYS Object Code: NA

Year Established: 1930

Catalog of Federal Domestic Assistance No.: NA

Legal Authority:

Law: Transportation Equity Act for the 21st Century (TEA-21), Sections 202, 203 and 204 of 23 USC.

Regulation: NA

Program Contact

James W. Harris, P.E.
Director
Program Management Division
NYS Department of Transportation
1220 Washington Avenue
Building 5, Room 523
Albany, NY 12232
(518) 457-4056
E-Mail: NA

Fiscal Contact

NA

Eligibility: State and Municipal Governments. Applications compete at the National level.

Type of Program and Special Restrictions: Optional, but once selected, subject to State and Federal requirements.

Action Required to Receive Aid: Competitive application process. Prioritized lists submitted to FHWA. Selections made at the National level. Transportation Improvement Program (TIP) inclusion in metropolitan areas.

Description of Aid:

Flow of Funds: Federal to State to Local.

Type of Aid: Project Grant

Formula: NA

Matching Requirement: 100% Federal

Maintenance of Effort: NA

Amounts Appropriated:

	<u>Federal Funds</u>	<u>State General Funds</u>	<u>State Spec. Rev.</u>
FFY 00-01	83,600,000	NA	NA
FFY 01-02	83,600,000	NA	NA

Amounts Awarded to NYS Projects:

	<u>Federal Funds</u>	<u>State General Funds</u>	<u>State Spec. Rev.</u>
FFY 00-01	800,000	NA	NA
FFY 01-02	300,000	NA	NA

PUBLIC TRANSPORTATION FOR NONURBANIZED AREAS

Objective: Supports establishment and maintenance of public transit programs in nonurbanized areas.

Administering Agency: NYS Department of Transportation; US Department of Transportation

Specific Program URL: www.dot.state.ny.us/publictransit

NYS Object Code: 65402¹

Year Established: 1978

Catalog of Federal Domestic Assistance No.: 20.509

Legal Authority:

Law: US Urban Mass Transportation Act of 1964, 49 USC 5311, et. seq.

Regulation: US FTA Circular 9040.1E

Program Contact:

Ron Epstein
Transit Services Bureau
NYS Department of Transportation
1220 Washington Avenue, Bldg. 4, Rm. 115
Albany, NY 12232-0414
(518) 457-8343
E-Mail: NA

Fiscal Contact:

Same

Eligibility: Counties, Cities, Indian Reservations and Public Transportation Authorities. May include State agencies, local public bodies and agencies thereof, Indian tribes, and operators of public transportation services, including intercity bus service, in rural and small urban areas (under 50,000 population). Private operators of transit services may participate in program only through contracts with eligible recipients. Urbanized areas, as defined by the US Bureau of the Census, are not eligible.

Type of Program and Special Restrictions: Optional, but once chosen subject to mandated State and Federal requirements. All funded services must be open to the general public on an equal opportunity basis.

Action Required to Receive Aid: Letter of interest from eligible recipient. Non-competitive application for aid required if it is for operating assistance, an application for aid is required for capital assistance.

Description of Aid:

Flow of Funds: Federal to State to Local.

Type of Aid: Ongoing if capital assistance, scheduled payments for projects if operating assistance.

Formula: Funds for operating assistance are distributed on the basis of nonurbanized area population and service statistics of rural public transportation operators.

Matching Requirement: Federal share for operating assistance limited to 50 percent of net operating deficit. Up to 50 percent of non-Federal share may be matched by certain other Federal programs. Remaining non-Federal share must be met by a combination of State or local sources. Capital projects - Federal 80%; State 10%; Local 10%

Maintenance of Effort: NA

Amounts Appropriated:

	<u>Federal Funds</u>	<u>State General Funds</u>	<u>State Spec. Rev.</u>
SFY 00-01	11,845,000	NA	NA
SFY 01-02	12,713,000		
SFY 02-03	13,948,000		

Amounts Disbursed: Not Provided

¹Refers to FTA Nonurbanized Areas.

RURAL TRANSIT ASSISTANCE PROGRAM (RTAP)

(Technical Assistance Program)

Objective: Provides funding for training, technical assistance, and related activities to small urban and rural transportation operators.

Administering Agency: NYS Department of Transportation; US Federal Transit Administration

Specific Program URL: www.dot.state.ny.us/pubtrans/rtap.html

NYS Object Code: NA

Year Established: 1987

Catalog of Federal Domestic Assistance No.: NA

Legal Authority:

Law: NA

Regulation: 49 USC Sec. 5311(b)(2)

Program Contact:

Paul Ouderkirk
Technical Assistance Section
NYS Department of Transportation
State Campus, Building 4, Room 134
1220 Washington Avenue
Albany, NY 12232-0414
(518) 457-8335
E-Mail: pouderkirk@dot.state.ny.us

Fiscal Contact:

Ron Epstein
Transit Services Bureau
NYS Department of Transportation
1220 Washington Avenue, Bldg. 4, Rm. 115
Albany, NY 12232-0414
(518) 457-8343
E-Mail: NA

Eligibility: Counties, Cities, Towns and Private Non-Profit Groups.

Type of Program and Special Restrictions: Optional, but once chosen subject to mandated State and Federal requirements.

Action Required to Receive Aid: Non-competitive application for aid required. Certain training materials are provided to eligible operators statewide automatically.

Description of Aid:

Provides training courses and materials free of charge to small urban (under 50,000) and rural transit operators. Provides reimbursement of travel and registration costs to operators to attend training conferences, workshops and seminars. Provides technical assistance resources.

TEA-21 TRANSPORTATION ENHANCEMENTS PROGRAM

Objective: Provides Federal funding for transportation-related local projects outside the "normal" types of projects. The projects are designed to strengthen the cultural, aesthetic and environmental aspects of the national intermodal transportation system.

Administering Agency: NYS Department of Transportation

Specific Program URL: NA

NYS Object Code: NA

Year Established: 1991

Catalog of Federal Domestic Assistance No.: NA

Legal Authority:

Law: Transportation Equity Act for the 21st Century (TEA-21), Section 133(d)(2) of 23 USC

Regulation: NA

Program Contact:

James W. Harris, P.E.
Director
Program Management Division
NYS Department of Transportation
Building 5, Room 523
1220 Washington Avenue
Albany, NY 12232
(518) 457-4056
E-Mail: NA

Fiscal Contact:

NA

Eligibility: State and Municipal Governments. Non-governmental groups may apply through governmental sponsorship.

Type of Program and Special Restrictions: Optional, but subject to same State and Federal requirements applying to all Federally funded local projects.

Action Required to Receive Aid: Competitive application process, TIP inclusion in urbanized areas.

Description of Aid:

Reimbursement program; requires 20% local match; innovative financing available. Completed projects to be open to the public.

Amounts Appropriated:

	<u>Federal Funds</u>	<u>State General Funds</u>	<u>State Spec. Rev.</u>
FFY 99-00	25,000,000	NA	NA
FFY 00-01	27,000,000	NA	NA
FFY 01-02	27,500,000	NA	NA

Amounts Disbursed: Not Provided

TEMPORARY ASSISTANCE FOR NEEDY FAMILIES (TANF) BLOCK GRANT

Objective: Increases opportunities for TANF recipients to access transportation service(s) and activities designed to meet employment related travel needs.

Administering Agency: NYS Department of Transportation, NYS Department of Labor; US Department of Health and Human Services (HHS)

Specific Program URL: NA

NYS Object Code: NA

Year Established: 2000-01

Catalog of Federal Domestic Assistance No.: NA

Legal Authority:

Law: US PL 11104-193, PL 105-33

Regulation: TANF Final Rule (64 Fed. Reg., April 1999)

Program Contact - Transportation:

Judith Kuba
ITS III
Passenger Policy and Program Evaluation
NYS Department of Transportation
Building 4, Room 146
1220 Washington Avenue
Albany, NY 12232
(518) 457-2100
E-Mail: jkuba@gw.dot.state.ny.us

Program Contact - Labor:

Stephanie Boshart
Program Development
Welfare to Work Division
NYS Department of Labor
Building 12, Room 223B
State Campus
Albany, NY 12240
(518) 485-6290
E-Mail: NA

Eligibility: Both local social services districts and public transportation systems were eligible to apply for funding under the TANF Transportation Program. Under the "new" TANF funded Community Solutions for Transportation (CST) Program **only** local social services districts are eligible to apply.

Type of Program and Special Restrictions: TANF Transportation Program funds made available in SFY 1997-98 and 1998-99 may only be used for the provision of transportation services to TANF recipients for employment and other eligible TANF activities. The "new" TANF funded Community Solutions for Transportation (CST) Program is being funded out of the TANF appropriations made available in SFY 1999-00 and SFY 2000-01. Eligibility for service in the new CST Program has been expanded to include TANF recipients and low income persons whose income does not exceed 200% of the federal poverty level.

Action Required to Receive Aid: Application must be submitted.

Description of Aid: Federal funds can be used to pay for up to 100% of the cost to provide service to TANF recipients and low income persons.

Amounts Appropriated and Disbursed: Contact New York State Department of Labor.

TRANSPORTATION AND COMMUNITY AND SYSTEM PRESERVATION PILOT PROGRAM

Objective: Provides funding for planning and implementation of transportation strategies and projects which improve efficiency of the transportation system, reduce environmental impacts, ensure access to jobs, provide infrastructure investments and encourage private sector investment.

Administering Agency: NYS Department of Transportation

Specific Program URL: NA

NYS Object Code: NA

Year Established: 1998

Catalog of Federal Domestic Assistance No.: NA

Legal Authority:

Law: Section 1221 of the Transportation Equity Act for the 21st Century (TEA-21)

Regulation: NA

Program Contact

James W. Harris, P.E.
Director
Program Management Division
NYS Department of Transportation
1220 Washington Avenue
Building 5, Room 523
Albany, NY 12232
(518) 457-4056
E-Mail: NA

Fiscal Contact

NA

Eligibility: State, Municipal Governments, MPOs and Local Agencies.

Type of Program and Special Restrictions: Optional, but once selected, subject to State and Federal requirements.

Action Required to Receive Aid: Competitive application process with selections made at the National level.

Description of Aid:

Flow of Funds: Federal to State to Local.

Type of Aid: Project Grant

Formula: NA

Matching Requirement: 100% Federal, however, local match is encouraged.

Maintenance of Effort: NA

Amounts Appropriated:

	<u>Federal Funds</u>	<u>State General Funds</u>	<u>State Spec. Rev.</u>
FFY 00-01	25,000,000	NA	NA
FFY 01-02	276,000,000	NA	NA

Amounts Awarded to NYS Projects:

	<u>Federal Funds</u>	<u>State General Funds</u>	<u>State Spec. Rev.</u>
FFY 00-01	1,200,000	NA	NA
FFY 01-02	16,100,000	NA	NA

TRANSPORTATION FOR ELDERLY PERSONS AND PERSONS WITH DISABILITIES

Objective: Capital assistance for organizations that provide service to elderly persons and persons with disabilities when public service is unavailable, insufficient or inappropriate.

Administering Agency: NYS Department of Transportation for the Federal Transit Administration

Specific Program URL: www.dot.state.ny.us

NYS Object Code: NA

Year Established: 1974

Catalog of Federal Domestic Assistance No.: 20.513

Legal Authority:

Law: 49 USC 5310, et seq.

Regulation: US FTA Circular C9070.1E

Program Contact

Ron Epstein
Transit Services Bureau
NYS Department of Transportation
1220 Washington Avenue, Bldg. 4, Rm. 115
Albany, NY 12232-0414
(518) 457-8343
E-Mail: NA

Fiscal Contact

Same

Eligibility: Private nonprofit corporations: public bodies approved by State to coordinate services for the elderly and persons with disabilities; and public bodies which certify to the Governor that no nonprofit corporations are readily available in an area to provide the service.

Type of Program and Special Restrictions: Optional, but once chosen subject to State and Federal regulations.

Action Required to Receive Aid: Application must be submitted.

Description of Aid:

Flow of Funds: Federal to State to Grantee

Type of Aid: Capital per application

Formula: NA

Matching Requirement: Federal assistance limited to 80%, non-Federal share from grantee.

Maintenance of Effort: NA

Amounts Appropriated:

	<u>Federal Funds</u>	<u>State General Funds</u>	<u>State Spec. Rev.</u>
SFY 00-01	4,912,556	NA	NA
SFY 01-02	5,900,000	NA	NA
SFY 02-03	6,500,000	NA	NA

Amounts Disbursed: Not Provided

URBAN MASS TRANSPORTATION ASSISTANCE CAPITAL IMPROVEMENT

Objective: Supports capital improvement in both public and private mass transportation systems in metropolitan and other urban areas.

Administering Agency: NYS Department of Transportation; US Department of Transportation

Specific Program URL: NA

NYS Object Code: 65401

Year Established: 1964

Catalog of Federal Domestic Assistance No.: 20.500

Legal Authority:

Law: US Federal Transit Act of 1991

Regulation: NA

Program Contact:

Ron Epstein
Transit Services Bureau
NYS Department of Transportation
1220 Washington Avenue, Bldg. 4, Rm. 115
Albany, NY 12232-0414
(518) 457-8343
E-Mail: NA

Fiscal Contact:

Carlton Boorn
Director
Accounting Bureau
Office of Budget and Finance
NYS Department of Transportation
1220 Washington Avenue
Albany, NY 12232
(518) 457-2424
E-Mail: NA

Eligibility: State Governments and Municipal Sponsors including Counties, Cities, Towns and Transportation Authorities. Projects assembled by State for local and regional transit sponsors.

Type of Program and Special Restrictions: Optional, but once chosen subject to mandated State and Federal requirements. Section 5309 monies may be used for capital purposes while Section 5307 monies can be used for capital and planning purposes.

Action Required to Receive Aid: Competitive application for aid is required for Section 5309 monies. Non-competitive application for aid is required for Section 5307 monies.

Description of Aid:

Flow of Funds: Federal to Local Sponsor; State reimburses Local Sponsor for ten percent of total capital costs.

Type of Aid: Project Grant

Formula: Based on population for Federal Section 5307, State funding based on receipt of Federal grant.

Matching Requirement: Federal 80%, State 10%, Local 10%

Maintenance of Effort: NA

Amounts Appropriated:

	<u>Federal Funds</u>	<u>State Dedicated Funds</u>	<u>State Spec. Rev.</u>
SFY 00-01	NA	15,568,000	NA
SFY 01-02	NA	15,815,000	NA
SFY 02-03	NA	15,815,000	NA

Amounts Disbursed:

	<u>Federal Funds</u>	<u>State Dedicated Funds</u>	<u>State Spec. Rev.</u>
SFY 00-01	NA	20,403,000	NA
SFY 01-02	NA	7,677,000	NA

*Includes funding to match STP and CMAQ Federal funding.