

# **DEPARTMENT OF TRANSPORTATION**

## **MISSION**

The Department of Transportation directly maintains and improves the State's more than 40,000 highway lane miles and 7,500 bridges. In addition, the Department partially funds locally-operated transit systems, local government highway and bridge construction and rail and airport programs.

## **ORGANIZATION AND STAFFING**

The Department is headed by a Commissioner appointed by the Governor. The Department's main office is in Albany, with 11 regional offices in Albany, Utica, Syracuse, Rochester, Buffalo, Hornell, Watertown, Poughkeepsie, Binghamton, Hauppauge and New York City. The Department also maintains highway maintenance and equipment repair facilities across the State.

In 2000-01, the Department will have a full-time workforce of approximately 10,692 employees. Employees perform such activities as highway maintenance, snow and ice removal, highway and bridge design and construction inspection. In addition, the Department's staff inspects school and charter buses, regulates commercial transportation, oversees public transportation systems and State-owned airports and provides administrative support for the Department.

## **FISCAL BACKGROUND AND BUDGET HIGHLIGHTS**

The Department is responsible for the implementation of the highway and bridge program. It is supported primarily by revenues from the Petroleum Business Tax, highway use and motor fuel taxes, and motor vehicle fees. Substantial Federal aid is also used to support the program.

The Department's operating budget is devoted primarily to highway maintenance, particularly snow and ice removal. These activities are supported in large part through State tax dollars in the General Fund, which provides approximately 74.9 percent of the funding.

Approximately \$41.9 million or 19.7 percent of total funding for Department operations is derived from fees, including those imposed on trucks registered to transport products throughout the State, landing fees and rents levied at Republic Airport, internal service fees paid by other State agencies for consolidated printing services and revenues generated by the sale and rental of Department property, such as commercial leasing of land for parking or storage. These funds support a number of agency activities, including administrative support services, snow and ice removal, highway safety and aviation programs.

Federal aid of \$7.1 million and \$4.4 million in dedicated mass transit funds help finance the remaining 5.4 percent of operations primarily for mass transportation, aviation and motor-carrier safety programs.

Snow and ice control services constitute the bulk of the Department's state operations budget. Recommendations include over \$110 million for State maintenance crews to control snow and ice and \$21.9 million to fund snow and ice control by municipalities.

Capital appropriations provide funding for construction and reconstruction projects on State highways, bridges, railways, and airports, as well as financing the engineering staff and private-sector consultants who work on these projects. The highway and bridge construction level will total \$1.6 billion in 2000-01, initiating the first year of a new five-year transportation plan that commits over \$14 billion for the Department's capital programs.

## **TRANSPORTATION**

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The centerpiece of the State's Highway and Bridge Program is the Dedicated Highway and Bridge Trust Fund, established in 1993. The Trust Fund derives its revenues from highway user fees, portions of the petroleum business tax, the motor fuel tax and motor vehicle registration fees. These funds are used both on a pay-as-you-go basis and to pay debt service on bonds issued by the Thruway Authority to finance portions of the State and local highway programs.

The Engineering Services Fund supports the Department's engineering, planning and construction inspection activities. The Fund derives its revenues primarily from Federal aid and Dedicated Fund resources, in accordance with the funding source of individual projects.

The Department of Transportation's State and local highway capital program is the recipient of approximately \$1.4 billion annually in Federal Transportation Equity Act for the 21<sup>st</sup> Century (TEA-21) funding, distributed by Federal formulas and used only for federally approved projects primarily approved by local Metropolitan Planning Organizations.

Local highway and bridge capital programs include the Consolidated Highway Improvement Program (CHIPS) and the Municipal Streets and Highways Program ("Marchiselli" Program). These programs are funded by bonds issued by the Thruway Authority with debt service paid from the State's Dedicated Highway and Bridge Trust Fund. The CHIPS capital program will be funded at \$217.9 million, and the Marchiselli program will provide \$39.7 million in 2000-01; these levels represent a continuation of the 1999-2000 level, commensurate with the State highway and bridge program. CHIPS operating aid totals \$23.9 million, a \$34.9 million reduction from 1999-2000 levels. The reduction reflects elimination of CHIPS operating aid to counties and New York City. A new \$10 million appropriation for rail freight and passenger projects will fund the first year of an \$80 million five-year rail program that will expand shipping opportunities for New York businesses, reduce costs for consumers and improve passenger transportation. This new commitment builds on the State's current rail initiatives: an \$85 million freight program and a \$185 million passenger program. In addition, \$25 million will be provided for the first year of a \$125 million Industrial Access Program to promote job creation and retention by encouraging business expansion with highway, rail and port projects.

The Aid to Localities budget is comprised primarily of appropriations supported by State taxes dedicated to public transportation through the Mass Transportation Operating Assistance (MTOA) Fund and the Dedicated Mass Transportation Trust Fund. Mass Transportation Operating Assistance Fund revenues are derived from a 1/4 percent sales tax and a business tax surcharge levied in the New York City metropolitan region, as well as a portion of statewide taxes on transmission and transportation companies and petroleum-related businesses, which also fund the Dedicated Mass Transportation Trust Fund through a supplemental tax. State operating assistance to transit systems will total over \$1.5 billion, a decrease of \$97 million, reflecting a return to normal levels of aid after a release of balances from the MTOA Fund in 1999-2000.

Over \$1.3 billion in State operating aid is recommended for the Metropolitan Transportation Authority (MTA) in 2000-01. This includes \$324.6 million from the Dedicated Mass Transportation Trust Fund in support of the MTA capital program. State aid supports over one-fifth of the Authority's annual operating budget. The assistance includes \$45 million in General Fund support for the MTA as the State's contribution to reduced fares for New York City school children. The City will match this contribution.

Transit operators other than the MTA will receive a total of \$208.9 million in State operating assistance in 2000-01, a decrease of \$16.5 million from 1999-2000. Of this amount, \$71.5 million is targeted for upstate transit systems. Capital funding of \$27.7 million is recommended for transit systems other than the MTA from the Dedicated Mass

Transportation Trust Fund as the first year of a \$146 million five-year capital plan. This capital program funds a variety of transit-related needs, primarily bus purchases and a portion of the required match to Federal transit capital aid.

### **PROGRAM HIGHLIGHTS**

#### **HIGHWAYS AND BRIDGES**

Improving the State's vital transportation infrastructure remains the agency's highest priority. By the end of 1999-2000, the Department will have successfully completed the 1995-2000 Capital Program, delivering significant improvements in our highway infrastructure. Over 900 State bridges will have been replaced or rehabilitated and 30,000 preventive bridge treatments will have been completed to slow deterioration. Approximately 43,900 lane miles of state highway will have been treated. These accomplishments, coupled with new materials technology, have resulted in markedly better conditions. The new 2000-2005 program will continue our level of investment, emphasizing strategic investments to critical infrastructure needs. Preventive maintenance performed by State forces and private sector contractors will continue to be an area of significant concentration. Appropriations for the preventive maintenance program will total \$387.4 million in 2000-01.

State staff and private-sector consultants perform the planning, property acquisition, design engineering, environmental reviews, surveying, materials and soils testing, and construction inspection associated with the Department's capital program. Construction of virtually all highway and bridge projects is performed by private firms.

The State makes a significant investment in helping localities maintain safe roads and bridges through its CHIPS and Marchiselli programs. These programs primarily fund construction projects, with the majority performed by private firms.

Through its safety inspections of school and charter buses and its regulation of commercial transport, the Department also focuses its resources on passenger safety and environmental issues. In 2000-01, the Department will continue implementing the Governor's initiative to inspect heavy duty trucks and buses for emissions that can damage air quality.

#### **PUBLIC TRANSPORTATION**

The Department provides oversight and funding for more than 70 locally operated public transportation systems, including the Metropolitan Transportation Authority, the four upstate regional transportation authorities and other (usually county-sponsored) transit systems. These systems provide bus, subway, light rail and commuter rail services, as well as "paratransit" services designed to meet the needs of disabled people, as required by the Federal Americans with Disabilities Act.

State financial assistance to transit systems is supported by the Mass Transportation Operating Assistance Fund and the Dedicated Mass Transportation Trust Fund as well as the General Fund. In addition, State law authorizes the imposition of an additional mortgage recording tax in regions covered by the Metropolitan Transportation Authority and the four upstate transit authorities. These moneys are collected by the affected counties and transmitted directly to the transit systems.

# TRANSPORTATION

## ALL FUNDS APPROPRIATIONS

Category	Available 1999-00	Appropriations Recommended 2000-01	Change	Reappropriations Recommended 2000-01
State Operations	\$214,333,000	\$212,638,000	-\$1,695,000	\$30,057,000
Aid To Localities	1,704,716,725	1,559,070,000	-145,646,725	219,943,000
Capital Projects	3,449,947,000	3,481,620,000	+ 31,673,000	8,509,954,000
Total	\$5,368,996,725	\$5,253,328,000	-\$115,668,725	\$8,759,954,000

## ALL FUND TYPES LEVELS OF EMPLOYMENT BY PROGRAM ANNUAL SALARIED POSITIONS

Program	Available 1999-00	2000-01 Recommended Average Fill Level			Change
		Personal Service (Regular)	Maintenance Undistributed	Total Recommended 2000-01	
Design and Construction					
Capital Projects Funds - Other	4,515	....	4,497	4,497	-18
New York Metropolitan Transportation Council					
Special Revenue Funds - Other	68	68	....	68	....
Operations					
General Fund	3,430	3,430	....	3,430	....
Special Revenue Funds - Other	31	31	....	31	....
Internal Service Funds	44	44	....	44	....
Passenger and Freight Transportation					
General Fund	95	95	....	95	....
Special Revenue Funds - Federal	69	69	....	69	....
Special Revenue Funds - Other	152	152	....	152	....
Planning and Program Management					
Capital Projects Funds - Other	636	....	636	636	....
Preventive Maintenance					
Capital Projects Funds - Other	1,429	1,429	....	1,429	....
Real Estate					
Capital Projects Funds - Other	241	....	241	241	....
Total	10,710	5,318	5,374	10,692	-18

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available 1999-00	Recommended 2000-01	Change
General Fund	\$169,928,000	\$159,262,000	-\$10,666,000
Special Revenue Funds - Federal	6,332,000	7,064,000	+ 732,000
Special Revenue Funds - Other	33,515,000	41,709,000	+ 8,194,000
Internal Service Funds	4,558,000	4,603,000	+ 45,000
Total	\$214,333,000	\$212,638,000	-\$1,695,000

# TRANSPORTATION

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1999-00	Recommended 2000-01	Change
Clean Air			
Special Revenue Funds - Other . . . . .	\$998,000	\$587,000	-\$411,000
Operations			
General Fund . . . . .	166,187,000	155,512,000	-10,675,000
Special Revenue Funds - Other . . . . .	10,711,000	19,053,000	+ 8,342,000
Internal Service Funds . . . . .	4,558,000	4,603,000	+ 45,000
Passenger and Freight Transportation			
General Fund . . . . .	3,741,000	3,750,000	+ 9,000
Special Revenue Funds - Federal . . . . .	6,332,000	7,064,000	+ 732,000
Special Revenue Funds - Other . . . . .	21,806,000	22,069,000	+ 263,000
<b>Total . . . . .</b>	<b>\$214,333,000</b>	<b>\$212,638,000</b>	<b>-\$1,695,000</b>

## STATE OPERATIONS — GENERAL AND OFFSET FUNDS SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2000-01 RECOMMENDED

Program	Total Personal Service		Personal Service Regular (Annual Salaried)		Holiday/Overtime Pay (Annual Salaried)	
	Amount	Change	Amount	Change	Amount	Change
Operations . . . . .	\$124,910,000	+ \$759,000	\$109,149,000	+ \$759,000	\$15,761,000	. . . .
Passenger and Freight Transportation . . . . .	3,750,000	+ 9,000	3,750,000	+ 9,000	. . . .	. . . .
<b>Total . . . . .</b>	<b>\$128,660,000</b>	<b>+ \$768,000</b>	<b>\$112,899,000</b>	<b>+ \$768,000</b>	<b>\$15,761,000</b>	<b>. . . .</b>

## STATE OPERATIONS — GENERAL FUND SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 2000-01 RECOMMENDED

Program	Total		Maintenance Undistributed	
	Amount	Change	Amount	Change
Operations . . . . .	\$30,602,000	-\$11,434,000	\$30,602,000	-\$11,434,000
<b>Total . . . . .</b>	<b>\$30,602,000</b>	<b>-\$11,434,000</b>	<b>\$30,602,000</b>	<b>-\$11,434,000</b>

## STATE OPERATIONS — OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 2000-01 RECOMMENDED

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Clean Air . . . . .	\$587,000	-\$411,000	\$317,000	+ \$83,000
Operations . . . . .	23,656,000	+ 8,387,000	1,911,000	+ 71,000
Passenger and Freight Transportation . . . . .	29,133,000	+ 995,000	10,450,000	+ 274,000
<b>Total . . . . .</b>	<b>\$53,376,000</b>	<b>+ \$8,971,000</b>	<b>\$12,678,000</b>	<b>+ \$428,000</b>

Program	Nonpersonal Service		Maintenance Undistributed	
	Amount	Change	Amount	Change
Clean Air . . . . .	\$270,000	-\$494,000	. . . .	. . . .
Operations . . . . .	2,831,000	+ 31,000	\$18,914,000	+ \$8,285,000
Passenger and Freight Transportation . . . . .	15,690,000	+ 407,000	2,993,000	+ 314,000
<b>Total . . . . .</b>	<b>\$18,791,000</b>	<b>-\$56,000</b>	<b>\$21,907,000</b>	<b>+ \$8,599,000</b>

# TRANSPORTATION

## AID TO LOCALITIES ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available 1999-00	Recommended 2000-01	Change
General Fund . . . . .	\$172,390,725	\$130,724,000	-\$41,666,725
Special Revenue Funds - Federal . . . . .	26,003,000	27,568,000	+ 1,565,000
Special Revenue Funds - Other . . . . .	1,506,323,000	1,400,778,000	-105,545,000
Total . . . . .	<u>\$1,704,716,725</u>	<u>\$1,559,070,000</u>	<u>-\$145,646,725</u>

## AID TO LOCALITIES ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1999-00	Recommended 2000-01	Change
Consolidated Local Highway Assistance Program			
General Fund . . . . .	\$58,797,000	\$23,888,000	-\$34,909,000
Dedicated Mass Transportation Trust Program			
Special Revenue Funds - Other . . . . .	252,700,000	324,646,000	+ 71,946,000
Federal Highway Administration Local Planning			
Special Revenue Funds - Federal . . . . .	7,106,000	7,106,000	. . . .
Urban Mass Transportation Administration Local Planning			
Special Revenue Funds - Federal . . . . .	2,717,000	2,717,000	. . . .
Mass Transportation Assistance			
General Fund . . . . .	45,000,000	45,000,000	. . . .
Mass Transportation Special Assistance Program			
General Fund . . . . .	3,000,000	3,000,000	. . . .
Inter City Rail Passenger Service			
General Fund . . . . .	4,126,300	820,000	-3,306,300
Passenger and Freight Transportation			
General Fund . . . . .	58,016,000	58,016,000	. . . .
Special Revenue Funds - Federal . . . . .	16,180,000	17,745,000	+ 1,565,000
Special Revenue Funds - Other . . . . .	1,037,108,000	866,736,000	-170,372,000
Section 18-B Program			
Special Revenue Funds - Other . . . . .	165,989,000	165,989,000	. . . .
Special Transit Aid			
Special Revenue Funds - Other . . . . .	50,526,000	43,407,000	-7,119,000
Community Projects			
General Fund . . . . .	3,451,425	. . . .	-3,451,425
Total . . . . .	<u>\$1,704,716,725</u>	<u>\$1,559,070,000</u>	<u>-\$145,646,725</u>

# TRANSPORTATION

## CAPITAL PROJECTS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Comprehensive Construction Program	Available 1999-00	Recommended 2000-01	Change	Reappropriations 2000-01
<b>Aviation</b>				
Airport or Aviation Program				
Capital Projects Fund - Aviation (Bondable) . . . . .	. . . . .	. . . . .	. . . . .	\$6,411,000
Capital Projects Fund - Infrastructure Renewal (Bondable) . . . . .	. . . . .	. . . . .	. . . . .	1,604,000
Airport or Aviation State Program				
Dedicated Highway and Bridge Trust Fund . . . . .	\$6,000,000	\$6,000,000	. . . . .	23,454,000
Passenger Facility Charge Fund . . . . .	1,500,000	. . . . .	-\$1,500,000	4,150,000
Regional Aviation Fund . . . . .	35,000,000	. . . . .	-35,000,000	35,000,000
Federal Airport or Aviation				
Federal Capital Projects Fund . . . . .	. . . . .	10,000,000	+ 10,000,000	12,957,000
Special Rail and Aviation Program				
Dedicated Highway and Bridge Trust Fund . . . . .	. . . . .	. . . . .	. . . . .	326,000
Transportation Capital Facilities Bond Fund--Aviation				
Transportation Capital Facilities Bond Fund - Aviation . . . . .	. . . . .	. . . . .	. . . . .	11,626,000
<b>Canals and Waterways</b>				
Canals and Waterways - Bondable				
Capital Projects Fund - Infrastructure Renewal (Bondable) . . . . .	. . . . .	. . . . .	. . . . .	485,000
<b>Economic Development</b>				
Non-Federal Aided Highway Capital Projects				
Dedicated Highway and Bridge Trust Fund . . . . .	10,000,000	25,000,000	+ 15,000,000	10,000,000
<b>Highway Facilities</b>				
Accelerated Capacity and Transportation Improvements Fund				
Accel Capacity and Transport Improvemts Fund . . . . .	. . . . .	. . . . .	. . . . .	87,492,000
Airport or Aviation State Program				
Dedicated Highway and Bridge Trust Fund . . . . .	. . . . .	. . . . .	. . . . .	3,500,000
Engineering Services				
Engineering Services Fund . . . . .	559,388,000	558,704,000	-684,000	987,997,000
NY Metro Transportation Council Account . . . . .	8,031,000	8,210,000	+ 179,000	18,664,000
Federal Aid Highways - Bondable Purpose				
Capital Projects Fund - Infrastructure Renewal (Bondable) . . . . .	. . . . .	. . . . .	. . . . .	9,764,000
Federal Aid Highways - Federal Purpose				
Federal Capital Projects Fund . . . . .	1,350,000,000	1,400,000,000	+ 50,000,000	4,018,279,000
Federal Aid Highways State				
Dedicated Highway and Bridge Trust Fund . . . . .	. . . . .	. . . . .	. . . . .	. . . . .
Highway Facilities				
Dedicated Highway and Bridge Trust Fund . . . . .	. . . . .	. . . . .	. . . . .	45,266,000
Suburban Transportation Fund . . . . .	. . . . .	. . . . .	. . . . .	74,009,000
Infrastructure Bond Act Projects				
Capital Projects Fund - Infrastructure Renewal (Bondable) . . . . .	. . . . .	. . . . .	. . . . .	7,747,000
Lake Champlain Bridges Program				
Lake Champlain Bridge Fund . . . . .	. . . . .	. . . . .	. . . . .	. . . . .
Municipal Highway - Railroad Crossing Alterations				
Capital Projects Fund - Advances . . . . .	. . . . .	. . . . .	. . . . .	331,000
Dedicated Highway and Bridge Trust Fund . . . . .	. . . . .	. . . . .	. . . . .	1,568,000
New York State Agency Fund				
Fiduciary funds - Misc Combined Expendible Trust Fund . . . . .	50,000,000	50,000,000	. . . . .	50,000,000
Non-Federal Aided Highway Capital Projects				
Dedicated Highway and Bridge Trust Fund . . . . .	1,358,150,000	1,341,138,000	-17,012,000	2,649,275,000
Other Highway Aid				
Community Projects Fund . . . . .	. . . . .	. . . . .	. . . . .	. . . . .
Dedicated Highway and Bridge Trust Fund . . . . .	. . . . .	. . . . .	. . . . .	5,074,000
Other Transportation Aid				
Dedicated Highway and Bridge Trust Fund . . . . .	. . . . .	. . . . .	. . . . .	423,000
Priority Bond Act Projects				
Capital Projects Fund - Infrastructure Renewal (Bondable) . . . . .	. . . . .	. . . . .	. . . . .	13,636,000
Road and Bridge Improvements - Bondable				
Capital Projects Fund - A.C. and T.I. Fund (Bondable) . . . . .	. . . . .	. . . . .	. . . . .	83,672,000
Small and Minority and Women-Owned Small Business Assistance				
Dedicated Highway and Bridge Trust Fund . . . . .	. . . . .	. . . . .	. . . . .	3,700,000
Special Parkway Rehabilitation Program				
Special Parkway Rehabilitation Fund . . . . .	. . . . .	. . . . .	. . . . .	. . . . .
State Parkways				
Dedicated Highway and Bridge Trust Fund . . . . .	. . . . .	. . . . .	. . . . .	. . . . .
Transportation Infrastructure Renewal Bond Fund				
Transportation Infrastructure Renewal Bond Fund . . . . .	. . . . .	. . . . .	. . . . .	51,278,000
<b>Maintenance Facilities</b>				
Maintenance Facilities				
Dedicated Highway and Bridge Trust Fund . . . . .	26,250,000	30,000,000	+ 3,750,000	61,717,000

# TRANSPORTATION

Comprehensive Construction Program	Available 1999-00	Recommended 2000-01	Change	Reappropriations 2000-01
Mass Transportation and Rail Freight				
Marine Projects				
Dedicated Mass Transportation Fund . . . . .	.....	.....	.....	954,000
Mass Transportation				
Dedicated Mass Transportation Fund . . . . .	14,628,000	15,568,000	+ 940,000	68,290,000
Mass Transportation and Rail Freight				
Capital Projects Fund - Advances . . . . .	.....	.....	.....	.....
Capital Projects Fund - Energy Conservation (Bondable) . . . . .	.....	.....	.....	2,136,000
Capital Projects Fund - Rail Preservation (Bondable) . . . . .	.....	.....	.....	.....
Dedicated Highway and Bridge Trust Fund . . . . .	13,000,000	10,000,000	-3,000,000	15,050,000
Dedicated Mass Transportation Fund . . . . .	18,000,000	27,000,000	+ 9,000,000	34,989,000
Federal Capital Projects Fund . . . . .	.....	.....	.....	25,618,000
Mass Transportation and Rail Freight Bondable				
Capital Projects Fund - Infrastructure Renewal (Bondable) . . . . .	.....	.....	.....	10,099,000
Rail Freight				
Capital Projects Fund - Advances . . . . .	.....	.....	.....	25,495,000
Capital Projects Fund - Infrastructure Renewal (Bondable) . . . . .	.....	.....	.....	6,290,000
Dedicated Mass Transportation Fund . . . . .	.....	.....	.....	5,582,000
Rail Preservation and Development Fund				
Energy Conservation Through Improved Transportation Bond Fund . . . . .	.....	.....	.....	2,151,000
Rail Preservation Development Bond Fund . . . . .	.....	.....	.....	.....
Small and Minority and Women-Owned Small Business Assistance				
Dedicated Mass Transportation Fund . . . . .	.....	.....	.....	5,000,000
Special Rail and Aviation Program				
Dedicated Mass Transportation Fund . . . . .	.....	.....	.....	28,768,000
Transportation Capital Facilities Bond Fund--Mass Transportation				
Transportation Capital Facilities Bond Fund - Mass Transportation . . . . .	.....	.....	.....	1,000
Port Development				
Port Development Bondable				
Capital Projects Fund - Infrastructure Renewal (Bondable) . . . . .	.....	.....	.....	126,000
Total . . . . .	<u>\$3,449,947,000</u>	<u>\$3,481,620,000</u>	<u>+ \$31,673,000</u>	<u>\$8,509,954,000</u>