

# **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 2002-03, the Department will have an average full-time workforce of approximately 10,600 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 operations are devoted primarily to highway maintenance, particularly snow and ice removal. The 2002-03 Executive Budget maintains the \$202 million snow and ice control and arterial maintenance programs in the Dedicated Highway and Bridge Trust Fund. An equivalent increase in Dedicated Fund revenues is provided to fund these costs. This will enhance the financing of the transportation capital program and will not impact the agency's operations.

The Department's regulatory programs and other operations are primarily funded by fees, miscellaneous revenues and Federal aid. Approximately \$32 million 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, highway safety and aviation programs. The Department's \$4.2 million bus inspection program, formerly funded by the General Fund, is also maintained in the Dedicated Fund by the 2002-03 Executive Budget.

Federal aid of \$9.4 million and dedicated mass transit funds totaling \$5.4 million help finance the Department's remaining operating responsibilities for mass transportation, aviation and motor-carrier safety programs.

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 \$1.75 billion in 2002-03, equal to last year's record high level.

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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, motor fuel tax, motor vehicle registration fees, and miscellaneous transportation-related revenues. 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. In order to fund the retention of the Department's snow and ice control, arterial maintenance and bus inspection programs in the Dedicated Fund in 2002-03, \$205 million of additional resources will be deposited to the Trust Fund. Beyond 2002-03, additional deposits will be made to the Dedicated Fund to finance the future costs of these 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 \$1.5 billion annually in Federal Transportation Equity Act for the 21st 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 \$241.8 million, and the Marchiselli program will provide \$39.7 million in 2002-03; these levels include the conversion of the \$23.9 million CHIPS operating program to CHIPS capital. This conversion continues to fund towns, villages and cities at levels consistent with the 2001-02 operating program.

A \$20 million appropriation for rail freight and passenger projects will continue an enhanced rail program that will expand shipping opportunities for New York businesses, reduce costs for consumers and improve passenger transportation. In addition, \$15 million will be provided for the 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; a business tax surcharge levied in the New York City metropolitan region; and a portion of statewide taxes on transmission, transportation and petroleum-related businesses. Dedicated Mass Transportation Trust Fund revenues are derived from a share of the revenues deposited in the Transportation Dedicated Funds Pool which includes portions of the Petroleum Business Tax, the Motor Fuel Tax and motor vehicle fees. New appropriations to transit systems will total approximately \$1.73 billion, an increase of \$158 million, over enacted 2001-02 levels. Additionally, \$112 million of State aid is planned to be distributed to transit systems through reappropriations.

Nearly \$1.46 billion of new operating aid appropriations are recommended for the Metropolitan Transportation Authority (MTA) in 2002-03. This includes \$433 million from the Dedicated Mass Transportation Trust Fund in support of the MTA capital program. The operating 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 \$274 million in new appropriations in 2002-03, an increase of approximately \$48.6 million from enacted 2001-02 levels. Of this amount, \$111.3 million is targeted for upstate transit systems. Capital funding of \$30 million is recommended for transit systems other than the MTA from the Dedicated Mass Transportation Trust Fund. 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. During the most recently completed multi-year capital program (1995-2000), the Department delivered significant improvements in our highway infrastructure. Almost 900 State bridges were replaced or rehabilitated and 29,000 preventive bridge treatments were completed to slow deterioration. Approximately 45,400 lane miles of State highway were resurfaced, rehabilitated or given preventive maintenance treatment. These accomplishments, coupled with new materials technology, have resulted in markedly better conditions. The 2002-03 Budget will continue emphasizing strategic investments to critical infrastructure needs. As in previous years, preventive maintenance performed by State forces and private sector contractors will be an area of significant concentration. Appropriations for the preventive maintenance program will total \$386 million in 2002-03.

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 capital programs. These programs fund local 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.

**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.

**ALL FUNDS  
APPROPRIATIONS  
(dollars)**

<b>Category</b>	<b>Available 2001-02</b>	<b>Appropriations Recommended 2002-03</b>	<b>Change</b>	<b>Reappropriations Recommended 2002-03</b>
State Operations	50,237,000	47,523,000	(2,714,000)	18,439,000
Aid To Localities	1,617,263,000	1,750,108,000	132,845,000	195,079,300
Capital Projects	3,846,462,000	3,870,338,000	23,876,000	9,313,521,000
Total	<u>5,513,962,000</u>	<u>5,667,969,000</u>	<u>154,007,000</u>	<u>9,527,039,300</u>

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

Program	Full-Time Equivalent Positions (FTE)		
	2001-02	2002-03	FTE Change
	Estimated FTEs 03/31/02	Estimated FTEs 03/31/03	
Design and Construction			
Capital Projects Funds - Other	4,311	4,311	0
New York Metropolitan Transportation Council			
Special Revenue Funds - Other	83	83	0
Operations			
Special Revenue Funds - Other	32	32	0
Internal Service Funds	44	44	0
Passenger and Freight Transportation			
Special Revenue Funds - Federal	82	82	0
Special Revenue Funds - Other	143	143	0
Capital Projects Funds - Other	86	86	0
Planning and Program Management			
Capital Projects Funds - Other	645	645	0
Preventive Maintenance			
Capital Projects Funds - Other	5,015	5,015	0
Real Estate			
Capital Projects Funds - Other	242	242	0
Total	<u>10,683</u>	<u>10,683</u>	<u>0</u>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS (dollars)

Fund Type	Available 2001-02	Recommended 2002-03	Change
Special Revenue Funds - Federal	9,143,000	9,377,000	234,000
Special Revenue Funds - Other	36,539,000	33,642,000	(2,897,000)
Internal Service Funds	4,555,000	4,504,000	(51,000)
Total	<u>50,237,000</u>	<u>47,523,000</u>	<u>(2,714,000)</u>

Adjustments:	
Prior Year Deficiency	
Transportation, Department of	
General Fund	19,600,000
Appropriated 2001-02	<u>69,837,000</u>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS (dollars)

Program	Available 2001-02	Recommended 2002-03	Change
Operations			
Special Revenue Funds - Other	21,231,000	16,261,000	(4,970,000)
Internal Service Funds	4,555,000	4,504,000	(51,000)
Passenger and Freight Transportation			
Special Revenue Funds - Federal	9,143,000	9,377,000	234,000
Special Revenue Funds - Other	15,308,000	17,381,000	2,073,000
Total	<u>50,237,000</u>	<u>47,523,000</u>	<u>(2,714,000)</u>

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**STATE OPERATIONS - OTHER THAN GENERAL FUND  
SUMMARY OF APPROPRIATIONS AND CHANGES  
2002-03 RECOMMENDED  
(dollars)**

<b>Program</b>	<b>Total</b>		<b>Personal Service</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Operations	20,765,000	(5,021,000)	2,013,000	(16,000)
Passenger and Freight Transportation	26,758,000	2,307,000	11,675,000	203,000
Total	47,523,000	(2,714,000)	13,688,000	187,000

  

<b>Program</b>	<b>Nonpersonal Service</b>		<b>Maintenance Undistributed</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Operations	3,143,000	442,000	15,609,000	(5,447,000)
Passenger and Freight Transportation	10,857,000	938,000	4,226,000	1,166,000
Total	14,000,000	1,380,000	19,835,000	(4,281,000)

**AID TO LOCALITIES  
ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE  
APPROPRIATIONS  
(dollars)**

<b>Fund Type</b>	<b>Available 2001-02</b>	<b>Recommended 2002-03</b>	<b>Change</b>
General Fund	146,869,000	162,436,000	15,567,000
Special Revenue Funds - Federal	32,096,000	33,931,000	1,835,000
Special Revenue Funds - Other	1,438,298,000	1,553,741,000	115,443,000
Total	1,617,263,000	1,750,108,000	132,845,000

**AID TO LOCALITIES  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS  
(dollars)**

<b>Program</b>	<b>Available 2001-02</b>	<b>Recommended 2002-03</b>	<b>Change</b>
Additional Mass Transportation Assistance Program			
General Fund	16,145,000	55,600,000	39,455,000
Special Revenue Funds - Other	37,000,000	20,000,000	(17,000,000)
Consolidated Local Highway Assistance Program			
General Fund	23,888,000	0	(23,888,000)
Dedicated Mass Transportation Trust Program			
Special Revenue Funds - Other	324,646,000	433,300,000	108,654,000
Federal Highway Administration Local Planning			
Special Revenue Funds - Federal	10,566,000	10,566,000	0
Urban Mass Transportation Administration Local Planning			
Special Revenue Funds - Federal	2,917,000	2,917,000	0
Mass Transportation Assistance General Fund	45,000,000	45,000,000	0
Mass Transportation Special Assistance Program			
General Fund	3,000,000	3,000,000	0
Inter City Rail Passenger Service General Fund	820,000	820,000	0
Passenger and Freight Transportation			
General Fund	58,016,000	58,016,000	0
Special Revenue Funds - Federal	18,613,000	20,448,000	1,835,000
Special Revenue Funds - Other	867,306,000	887,095,000	19,789,000
Section 18-B Program			
Special Revenue Funds - Other	165,989,000	165,989,000	0
Special Transit Aid			
Special Revenue Funds - Other	43,357,000	47,357,000	4,000,000
Total	1,617,263,000	1,750,108,000	132,845,000

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## **CAPITAL PROJECTS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS (dollars)**

<b>Comprehensive Construction Program</b>	<b>Available 2001-02</b>	<b>Recommended 2002-03</b>	<b>Change</b>	<b>Reappropriations 2002-03</b>
<b>Aviation</b>				
Airport or Aviation Program				
Capital Projects Fund - Aviation (Bondable)	0	0	0	4,149,000
Capital Projects Fund - Infrastructure Renewal (Bondable)	0	0	0	1,350,000
Airport or Aviation Program -- Bondable				
Capital Projects Fund - Aviation (Bondable)	0	0	0	942,000
Airport or Aviation State Program				
Dedicated Highway and Bridge Trust Fund	6,000,000	8,000,000	2,000,000	24,668,000
Passenger Facility Charge Fund	0	0	0	0
Regional Aviation Fund	0	0	0	26,230,000
<b>Aviation</b>				
Transportation Capital Facilities Bond Fund - Aviation	0	0	0	9,870,000
Federal Airport or Aviation				
Federal Capital Projects Fund	0	0	0	19,195,000
Special Rail and Aviation Program				
Dedicated Highway and Bridge Trust Fund	0	0	0	71,000
Transportation Capital Facilities Bond Fund--Aviation				
Transportation Capital Facilities Bond Fund - Aviation	0	0	0	0
<b>Canals and Waterways</b>				
Canals and Waterways - Bondable				
Capital Projects Fund - Infrastructure Renewal (Bondable)	0	0	0	485,000
<b>Economic Development</b>				
Non-Federal Aided Highway Capital Projects				
Dedicated Highway and Bridge Trust Fund	0	15,000,000	15,000,000	34,545,000
<b>Health and Safety</b>				
Non-Federal Aided Highway Capital Projects				
Dedicated Highway and Bridge Trust Fund	4,164,000	4,211,000	47,000	0
<b>Highway Facilities</b>				
Accelerated Capacity and Transportation Improvements Fund				
Accelerated Capacity and Transportation Improvements Fund	0	0	0	75,347,000
Airport or Aviation State Program				
Dedicated Highway and Bridge Trust Fund	0	0	0	1,789,000
<b>Engineering Services</b>				
Engineering Services Fund	636,684,000	620,221,000	(16,463,000)	881,895,000
NY Metro Transportation Council Account	10,822,000	10,229,000	(593,000)	21,580,000
Federal Aid Highways - Bondable Purpose				
Capital Projects Fund - Infrastructure Renewal (Bondable)	0	0	0	9,067,000
Federal Aid Highways - Federal Purpose				
Federal Capital Projects Fund	1,490,500,000	1,491,000,000	500,000	4,766,866,000
Federal Aid Highways State				
Dedicated Highway and Bridge Trust Fund	0	0	0	0
<b>Highway Facilities</b>				
Dedicated Highway and Bridge Trust Fund	0	0	0	41,632,000
Suburban Transportation Fund	0	0	0	0
<b>Infrastructure Bond Act Projects</b>				
Capital Projects Fund - Infrastructure Renewal (Bondable)	0	0	0	7,746,000
<b>Lake Champlain Bridges Program</b>				
Lake Champlain Bridge Fund	0	0	0	0
<b>Multi-Modal</b>				
Dedicated Highway and Bridge Trust Fund	0	0	0	150,000,000
Municipal Highway - Railroad Crossing Alterations				
Capital Projects Fund - Advances	0	0	0	331,000
Dedicated Highway and Bridge Trust Fund	0	0	0	1,568,000
<b>New York State Agency Fund</b>				
Fiduciary Funds - Misc. Combined Expendable Trust Fund	50,000,000	52,000,000	2,000,000	109,263,000
Non-Federal Aided Highway Capital Projects				
Dedicated Highway and Bridge Trust Fund	1,565,477,000	1,570,862,000	5,385,000	2,684,070,000

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## CAPITAL PROJECTS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS (dollars)

<b>Comprehensive Construction Program</b>	<b>Available 2001-02</b>	<b>Recommended 2002-03</b>	<b>Change</b>	<b>Reappropriations 2002-03</b>
Other Highway Aid				
Community Projects Fund	0	0	0	0
Dedicated Highway and Bridge Trust Fund	0	0	0	4,864,000
Other Transportation Aid				
Dedicated Highway and Bridge Trust Fund	0	0	0	415,000
Priority Bond Act Projects				
Capital Projects Fund - Infrastructure Renewal (Bondable)	0	0	0	12,995,000
Road and Bridge Improvements - Bondable				
Capital Projects Fund - A.C. and T.I. Fund (Bondable)	0	0	0	74,442,000
Small and Minority and Women-Owned Small Business Assistance				
Dedicated Highway and Bridge Trust Fund	0	0	0	3,660,000
Special Parkway Rehabilitation Program				
Special Parkway Rehabilitation Fund	0	0	0	0
State Parkways				
Dedicated Highway and Bridge Trust Fund	0	0	0	0
Transportation Infrastructure Renewal Bond Fund				
Transportation Infrastructure Renewal Bond Fund	0	0	0	47,214,000
Maintenance Facilities				
Maintenance Facilities				
Dedicated Highway and Bridge Trust Fund	30,000,000	31,000,000	1,000,000	60,855,000
Mass Transportation and Rail Freight				
Marine Projects				
Dedicated Mass Transportation Fund	0	0	0	954,000
Mass Transportation				
Dedicated Mass Transportation Fund	15,815,000	15,815,000	0	67,499,000
Mass Transportation and Rail Freight				
Capital Projects Fund - Advances	0	0	0	0
Capital Projects Fund - Energy Conservation (Bondable)	0	0	0	2,036,000
Capital Projects Fund - Rail Preservation (Bondable)	0	0	0	0
Dedicated Highway and Bridge Trust Fund	10,000,000	20,000,000	10,000,000	33,025,000
Dedicated Mass Transportation Fund	27,000,000	32,000,000	5,000,000	47,469,000
Federal Capital Projects Fund	0	0	0	20,910,000
Mass Transportation and Rail Freight Bondable				
Capital Projects Fund - Infrastructure Renewal (Bondable)	0	0	0	12,808,000
Rail Freight				
Capital Projects Fund - Advances	0	0	0	23,403,000
Capital Projects Fund - Infrastructure Renewal (Bondable)	0	0	0	1,908,000
Dedicated Mass Transportation Fund	0	0	0	4,890,000
Rail Preservation and Development Fund				
Energy Conservation Through Improved Transportation Bond Fund	0	0	0	2,048,000
Rail Preservation Development Bond Fund	0	0	0	0
Small and Minority and Women-Owned Small Business Assistance				
Dedicated Mass Transportation Fund	0	0	0	5,000,000
Special Rail and Aviation Program				
Dedicated Mass Transportation Fund	0	0	0	14,341,000
Transportation Capital Facilities Bond Fund--Mass Transportation				
Transportation Capital Facilities Bond Fund - Mass Transportation	0	0	0	0
Port Development				
Port Development Bondable				
Capital Projects Fund - Infrastructure Renewal (Bondable)	0	0	0	126,000
Total	<u>3,846,462,000</u>	<u>3,870,338,000</u>	<u>23,876,000</u>	<u>9,313,521,000</u>