

# ***PART III***

## ***CAPITAL PROGRAM AND FINANCING PLAN***





# ***CAPITAL PROGRAM AND FINANCING PLAN***

## ***OVERVIEW OF FIVE-YEAR CAPITAL PROGRAM AND FINANCING PLAN***

The Five-Year Capital Program and Financing Plan is submitted with the Executive Budget in accordance with section 22-c of the State Finance Law. It consists of two sections, the Financing Plan and the Capital Program Plan, which provide financing and capital planning information for the current fiscal year and the five-year projection period from 2003-04 through 2007-08. The recommendations reflected in the Plan include capital disbursements, debt issuances, State-supported debt levels, and debt service costs. These amounts are based on Article VII legislation which provides specific bonding authorizations and the Executive Budget bills which provide required capital and debt service appropriations. As required by statute, the Plan will be updated following the enactment of the State Budget.

The Financing Plan section provides a summary of agency capital spending by financing source and on a program and agency basis. In addition, the Financing Plan provides detailed information on the State's bonded obligations, including the level of State-supported debt outstanding, debt issuances, retirements, and debt service costs.

The Capital Program Plan section describes agency capital goals and objectives, including a discussion of recommended projects and changes from prior year plans. The Capital Program Plan provides a discussion of the recommended methods for financing ongoing capital programs or initiatives, and agency schedules of projected appropriations, commitments and disbursements. The agency narratives also provide a summary of each agency's capital maintenance efforts.

## ***HIGHLIGHTS***

The Five-Year Capital Program and Financing Plan continues to reflect the State's commitment to finance essential capital spending. The Plan incorporates targeted capital investments that continue to encourage economic growth and job creation, educate the next workforce, preserve the environment, and protect the health and safety of all New Yorkers. Capital spending recommendations focus on projects that achieve the core missions of each agency's program, while continuing to renovate and maintain State facilities. These critical investments are financed while maintaining Governor Pataki's commitment to recently enacted statutory initiatives that have successfully reformed the State's debt management practices. In addition, administrative actions facilitated by the enactment of those statutory measures have reduced the State's debt service costs. Those initiatives include the following:

- Enactment of legislation in 2002 to authorize the State and its issuing authorities to prudently use a limited amount of variable rate obligations and interest rate exchange and similar agreements to reduce costs and diversify the State-supported debt portfolio;
- Issuance of lower cost State Personal Income Tax Revenue Bonds by the State's authorized issuers to improve the marketability and creditworthiness of State-supported bonds, expand the investor base, consolidate the issuance of multiple bonding programs and reduce borrowing costs;
- The refunding of State-supported bonds (including the use of variable rate bonds and interest rate exchange agreements) to generate significant net present value savings;

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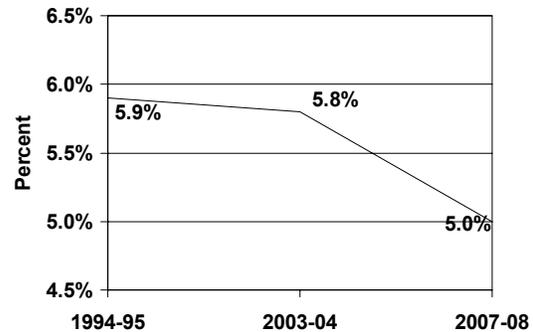
- The use of \$1 billion in deposits to the Debt Reduction Reserve Fund in 2000-01 and 2001-02 to eliminate high cost debt and increase pay-as-you-go spending and reduce taxpayer costs by over \$1.5 billion; and
- Implementation of the Debt Reform Act of 2000 to ensure that State-supported debt levels and debt service costs remain affordable.

### ENSURING DEBT LEVELS REMAIN AFFORDABLE

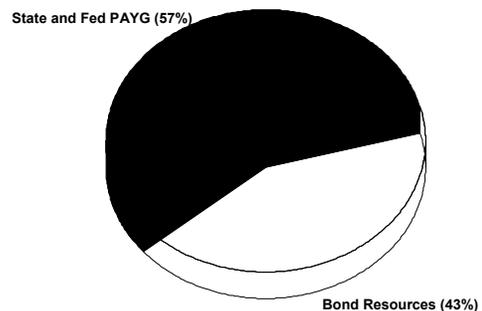
Executive Budget recommendations included in the Five-Year Capital Program and Financing Plan are financed by a responsible mix of pay-as-you-go resources and State-supported bonds while ensuring that State debt is prudently used and remains affordable. Over the Plan:

- The five-year average annual growth in total State-supported debt outstanding is projected to be 1.6 percent — less than the 4.2 percent average annual growth in personal income.
- Total State debt is projected to decline as a percent of personal income — from about 5.8 percent in 2003-04 to about 5 percent in 2007-08.
- Total debt service costs as a percent of All Funds receipts is projected to increase modestly from 3.8 percent in 2003-04 to about 4.7 percent in 2007-08.
- Like the previous five-year plan, the portion of capital spending for this five-year plan projected to be financed with State and Federal pay-as-you-go (PAYG) resources continues to average 57 percent from 2003-04 to 2007-08.

**Debt as a Percent of Personal Income Declines**



**57 Percent of Capital Spending Financed with Cash Resources**



As shown in the following table, the Capital Program and Financing Plan continues to recommend debt levels and costs that are well within the constraints established by the Debt Reform Act of 2000. The Act applies to all new debt issued on and after April 1, 2000 and imposes phased-in caps which limit new debt outstanding to four percent of State personal income and new debt service costs to five percent of All Funds receipts.

**New Debt Outstanding**  
(millions of dollars)

| Year             | Personal Income | Cap % | Actual / Capital Plan Recommendation | Recommendation Below Cap |
|------------------|-----------------|-------|--------------------------------------|--------------------------|
| 2000-01 (Actual) | 655,583         | 0.75  | 0.38%                                | 0.37%                    |
| 2001-02 (Actual) | 682,206         | 1.25  | 0.67%                                | 0.58%                    |
| 2002-03          | 690,812         | 1.65  | 1.29%                                | 0.36%                    |
| 2003-04          | 712,209         | 1.98  | 1.65%                                | 0.33%                    |
| 2004-05          | 742,048         | 2.32  | 1.87%                                | 0.45%                    |
| 2005-06          | 775,678         | 2.65  | 2.05%                                | 0.60%                    |
| 2006-07          | 811,819         | 2.98  | 2.19%                                | 0.79%                    |
| 2007-08          | 850,239         | 3.32  | 2.31%                                | 1.01%                    |

## FINANCING PLAN

### New Debt Service Costs (millions of dollars)

| Year             | All Funds Receipts | Cap % | Actual / Capital Plan Recommendation | Recommendation Below Cap |
|------------------|--------------------|-------|--------------------------------------|--------------------------|
| 2000-01 (Actual) | 83,527             | 0.75  | 0.09%                                | 0.66%                    |
| 2001-02 (Actual) | 84,312             | 1.25  | 0.36%                                | 0.89%                    |
| 2002-03          | 90,620             | 1.65  | 0.57%                                | 1.08%                    |
| 2003-04          | 90,219             | 1.98  | 1.02%                                | 0.96%                    |
| 2004-05          | 92,483             | 2.32  | 1.37%                                | 0.95%                    |
| 2005-06          | 93,897             | 2.65  | 1.66%                                | 0.99%                    |
| 2006-07          | 98,375             | 2.98  | 1.87%                                | 1.11%                    |
| 2007-08          | 103,239            | 3.32  | 2.01%                                | 1.31%                    |

To ensure that the statutory caps and other debt limitations imposed by the Debt Reform Act are made permanent, the Governor will again propose a Constitutional Debt Reform bill. The bill would:

- Constitutionally mandate the State-supported debt outstanding and debt service caps now imposed by the Debt Reform Act;
- Ban “back door” borrowing;
- Constitutionally authorize a limited amount of revenue-backed debt and require at least one-half of all new debt to be approved by the voters; and
- Authorize multiple general obligation bond act proposals.

Like many other states, New York State plans to sell (i.e., securitize) its tobacco payments (an asset) through an asset-backed securitization. Unlike other transactions, New York will utilize other revenues to distinguish the State’s tobacco bonds from those of other States. To securitize its tobacco payments, the Executive Budget recommends the sale of the tobacco payment stream to a statutorily created corporation that is a subsidiary of the Municipal Bond Bank Agency. In exchange for the sale of the asset, the State will receive upfront payments from the sale of tobacco bonds. Payments will be used as part of a multi-year plan to restore budget balance, providing a bridge to higher levels of recurring savings as New York’s finances adjust to slower economic growth. (Please see the “Financial Plan Overview” section of this Appendix for additional information). The debt service on the tobacco bonds will be paid by the corporation from its purchase of the State’s tobacco payments and other non-State receipts. Thus, the corporation’s tobacco bonds are not State-supported debt and are not reflected in the Capital Program and Financing Plan.

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This section discusses the financing sources for each agency’s capital program. Projected levels of spending by fiscal year are arrayed according to the expected sources of funding. These include State and Federal pay-as-you-go resources, and proceeds from the issuance of general obligation and authority bonds.

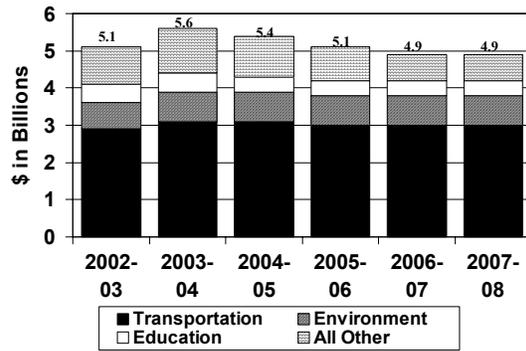
The Financing Plan section of the Capital Program and Financing Plan presents the State’s current assumptions about future Federal grants, general obligation bond authorizations, the use of State-supported debt, General Fund transfers, and support from other resources. The capital and debt service disbursements, as reflected in the financial plans for the Capital Projects Funds and the Debt Service Funds presented in this section, correspond to the Financial Plan projections contained in the Executive Budget. This section also includes schedules of bond issuances, retirements, debt outstanding and associated debt service costs for all State-supported debt.

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### SPENDING IS PRIORITIZED TO PRESERVE AND MAINTAIN ESSENTIAL CAPITAL INVESTMENTS

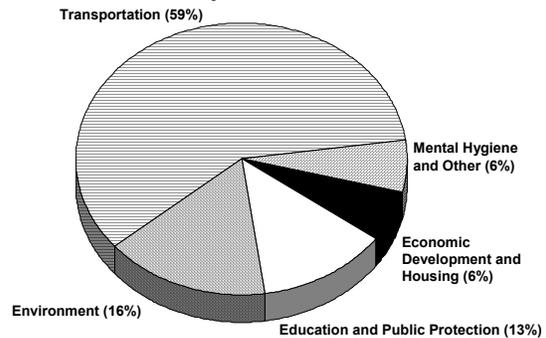
Spending over the five-year Capital Plan is primarily focused on investments that achieve the core missions of each agency's capital program and preserve and maintain the State's diverse capital infrastructure. To maintain support for these targeted investments, the Executive Budget recommends capital spending during the Plan of \$25.8 billion, or about \$5.2 billion annually, and capital appropriations and reappropriations of about \$44.2 billion (net of transfers). The recommended new appropriations and reappropriations continue to support disbursements under existing capital programs that are essential to promote and encourage economic development and job growth, educate our youth and develop the talents of the workforce, preserve the environment, and protect the health and safety of New Yorkers.

**Targeted Investments**  
Preserve the State's Capital Infrastructure



Transportation spending, primarily for improvements to the State's highways and bridges, continues to account for the largest share of total spending over the Five-Year Capital Plan — 59 percent. Another 16 percent is for environmental purposes, including projects supported by the voter-approved Clean Water/Clean Air Bond Act, approximately 13 percent is projected for education and public protection, and six percent is for economic development and housing. The remaining six percent will be spent in mental hygiene and other areas.

**Capital Spending Supports Core Capital Investments**



**CAPITAL SPENDING BY FUNCTION**  
2002-2003 THROUGH 2007-2008  
(thousands of dollars)

|                                  | 2002-2003        | 2003-2004        | 2004-2005        | 2005-2006        | 2006-2007        | 2007-2008        |
|----------------------------------|------------------|------------------|------------------|------------------|------------------|------------------|
| Transportation                   | 2,924,942        | 3,090,079        | 3,124,467        | 3,005,453        | 2,971,352        | 2,967,898        |
| Environment and Recreation       | 699,188          | 825,857          | 829,135          | 828,216          | 826,402          | 828,967          |
| Education                        | 500,615          | 471,161          | 417,899          | 441,730          | 441,730          | 441,730          |
| Public Protection                | 244,300          | 258,440          | 239,233          | 232,350          | 222,000          | 208,590          |
| Mental Hygiene                   | 171,985          | 202,842          | 192,742          | 193,491          | 201,843          | 196,581          |
| Housing and Economic Development | 413,728          | 592,950          | 410,790          | 237,200          | 112,200          | 112,200          |
| Other                            | 108,515          | 203,126          | 161,225          | 125,900          | 108,579          | 108,000          |
| <b>Total</b>                     | <b>5,063,273</b> | <b>5,644,455</b> | <b>5,375,491</b> | <b>5,064,340</b> | <b>4,884,106</b> | <b>4,863,966</b> |

Capital Projects Funds spending in 2003-04 is projected at \$5.6 billion, or \$581 million higher than the revised projection for 2002-03. The increase is attributable to higher spending associated with prior year commitments in the areas of economic development (\$181 million), transportation (\$165 million), and the environment (\$127 million). In addition, spending from

Federal resources devoted to support the reconstruction of Route 9A in the wake of the World Trade Center disaster will increase by \$67 million. Key spending recommendations included in 2003-04 and over the four remaining years of the Plan are discussed below.

- Transportation capital spending, which includes the last two years (2003-04 and 2004-05) of the five-year Department of Transportation (DOT) Capital Plan, provides for highway and bridge construction levels that will total \$1.65 billion annually, or \$100 million less than 2002-03 levels. When engineering costs and programs for other modes of transportation are added, capital spending for transportation will average \$3.0 billion annually over the Five-Year Capital Plan. This level of funding reflects prioritized spending that will facilitate commerce and maintain and preserve important investments in the State's transportation infrastructure.
- The DOT Plan continues to help reduce the local costs associated with various transportation projects. Funding for local transportation programs, including the Consolidated Highway Improvement Program (CHIPS) and the Marchiselli Program, will be over \$320 million in 2003-04 and is projected to total over \$1.5 billion over the Capital Plan.
- Environment capital appropriations and reappropriations of \$5.4 billion will continue to focus on the clean up of environmental hazards. The Capital Plan, beginning in 2004-05, includes \$105 million in annual disbursements from the Hazardous Waste Remedial Fund to support \$138 million in spending recommended by the Governor's State Superfund Refinancing Bill. Average annual spending of \$123 million from the Environmental Protection Fund will continue to finance an array of critical environmental and recreational activities, including the Hudson River Park project and other municipal park projects. In addition, Clean Water/Clean Air Bond Act reappropriations are recommended for air and water quality improvements and the restoration of industrial sites financed by the \$1.75 billion Bond Act approved by the voters in 1996.
- Department of Correctional Services capital appropriations and reappropriations total over \$1.8 billion. Public protection spending will average \$232 million annually over the five years, and will focus on preserving and maintaining existing facilities.
- Education appropriations and reappropriations of \$6.1 billion will finance a new \$2.5 billion SUNY Multi-Year Capital Investment Program and a new \$1.2 billion CUNY Multi-Year Capital Investment Program to continue to finance capital projects at various academic facilities, residence halls, community colleges, and at SUNY hospitals. Capital investments financed under the new Programs will focus on critical health and safety projects, technology projects, and the construction and renovation of existing facilities. Reappropriations of \$105 million will also support the completion of the \$195 million RESCUE program administered by the State Education Department and the J2K Universities program administered by the Office of Science, Technology and Academic Research (NYSTAR).
- Housing appropriations and reappropriations of over \$1 billion will continue to facilitate the construction and preservation of the State's low and moderate-income housing stock. The Capital Plan includes average annual spending of over \$110 million to maintain State support for low and moderate-income rental and home ownership, and homeless housing programs.
- Mental Hygiene appropriations and reappropriations total almost \$2.3 billion. Spending will continue to support essential health and safety, rehabilitation and maintenance projects needed to preserve and maintain both State and community-based facilities operated and/or licensed by the Office of Mental Health, the Office of Mental Retardation and Developmental Disabilities, and the Office of Alcoholism and Substance Abuse Services.
- Office of General Services appropriations and reappropriations of \$574 million will continue plans for the construction, rehabilitation, consolidation and renovation of State office buildings to achieve space efficiencies and reduce operational costs. The Plan projects that spending of \$89 million for the rehabilitation of the Alfred E. Smith

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State Office Building (AESOB) will continue through 2004-05. In addition, the Plan includes a new appropriation of \$19.5 million to provide spending authority to finance the balance of the \$21 million Elk Street parking garage in Albany.

- Economic development reappropriations of \$1.2 billion continue to support the Regional Economic Development Program authorized in 2002-03. This program provides support for projects financed under the Centers of Excellence, Empire Opportunity Fund, Gen\*NY\*sis, Community Capital Assistance, Multi-Modals and RESTORE Programs that were established to foster collaboration between the academic research community and the business sector in order to develop and commercialize new products and technologies, to promote critical private sector investment in emerging high technology fields, and to create and expand technology related businesses and employment. In addition, the Program also finances projects that create or retain jobs or increase business activity through the construction and rehabilitation of research and development facilities, incubators and industrial parks, downtown parks, downtown commercial revitalization, brownfield redevelopment, as well as other types of activities. The Capital Plan also continues to provide reappropriations for other previously authorized economic development programs to finance various environmental, higher education, and high technology initiatives throughout the State. Those programs include the Community Enhancement Facilities Assistance Program (CEFAP), the Strategic Investment Program, NYSTAR Capital Facilities Program, and the Economic Development and Natural Resources Preservation Program (EDNRP).
- Office of Children and Family Services appropriations and reappropriations of \$129 million support preservation and health and safety projects at the State's residential and non-residential youth facilities.

### ***ESSENTIAL CAPITAL SPENDING IS PRUDENTLY FINANCED***

The State will continue its commitment to maintain and preserve its vast capital assets and responsibly manage the use of debt by financing essential capital investments with a prudent combination of State and Federal pay-as-you-go resources, State general obligation bonds, and public authority State-supported bonds.

Over the five-year Plan, 57 percent of total capital spending will be financed with cash resources — with 22 percent of total capital spending attributable to State pay-as-you-go resources and almost 35 percent attributable to Federal grants. The percentage of the Plan financed with authority bond proceeds and general obligation bonds is 39 percent and four percent, respectively.

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### CAPITAL SPENDING BY FINANCING SOURCES 2002-2003 THROUGH 2007-2008 (thousands of dollars)

| Financing Source         | <u>2002-2003</u> | <u>2003-2004</u> | <u>2004-2005</u> | <u>2005-2006</u> | <u>2006-2007</u> | <u>2007-2008</u> |
|--------------------------|------------------|------------------|------------------|------------------|------------------|------------------|
| State Pay-As-You-Go      | 1,134,503        | 1,168,874        | 1,305,855        | 1,183,668        | 1,090,923        | 1,014,751        |
| Federal Pay-As-You-Go    | 1,471,885        | 1,656,795        | 1,792,575        | 1,843,029        | 1,837,872        | 1,837,771        |
| General Obligation Bonds | 266,013          | 265,542          | 233,574          | 218,984          | 166,235          | 111,800          |
| Authority Bonds          | 2,190,872        | 2,553,244        | 2,043,487        | 1,818,659        | 1,789,076        | 1,899,644        |
| <b>Total</b>             | <u>5,063,273</u> | <u>5,644,455</u> | <u>5,375,491</u> | <u>5,064,340</u> | <u>4,884,106</u> | <u>4,863,966</u> |

### CAPITAL PROJECTS PERCENTAGE MIX OF FINANCING SOURCES 2002-2003 THROUGH 2007-2008

| Financing Source         | <u>2002-2003</u> | <u>2003-2004</u> | <u>2004-2005</u> | <u>2005-2006</u> | <u>2006-2007</u> | <u>2007-2008</u> |
|--------------------------|------------------|------------------|------------------|------------------|------------------|------------------|
| State Pay-As-You-Go      | 23               | 21               | 24               | 23               | 22               | 21               |
| Federal Pay-As-You-Go    | 29               | 29               | 34               | 36               | 38               | 38               |
| General Obligation Bonds | 5                | 5                | 4                | 4                | 3                | 2                |
| Authority Bonds          | 43               | 45               | 38               | 37               | 37               | 39               |
| <b>Total</b>             | <u>100</u>       | <u>100</u>       | <u>100</u>       | <u>100</u>       | <u>100</u>       | <u>100</u>       |

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**CAPITAL PROJECTS FINANCED BY  
STATE AND FEDERAL PAY-AS-YOU-GO RESOURCES  
2002-2003 THROUGH 2007-2008  
(thousands of dollars)**

|   | <u>2002-2003</u> | <u>2003-2004</u> | <u>2004-2005</u> | <u>2005-2006</u> | <u>2006-2007</u> | <u>2007-2008</u> |
|---|------------------|------------------|------------------|------------------|------------------|------------------|
| <b>Transportation</b>                                       |                  |                  |                  |                  |                  |                  |
| Department of Transportation                                | 1,990,983        | 1,991,052        | 2,094,031        | 2,021,310        | 1,955,047        | 1,885,565        |
| Department of Motor Vehicles                                | 14,788           | 116,401          | 138,902          | 157,766          | 153,440          | 152,104          |
| Thruway Authority   | 2,000            | 2,000            | 2,000            | 2,000            | 2,000            | 2,000            |
| <b>Environment and Recreation</b>                           |                  |                  |                  |                  |                  |                  |
| Department of Environmental Conservation                    | 208,985          | 242,641          | 388,585          | 388,582          | 387,517          | 392,517          |
| Environmental Facilities Corporation                        | 0                | 0                | 0                | 0                | 0                | 0                |
| Office of Parks, Recreation and Historic Preservation       | 10,248           | 14,400           | 14,400           | 14,400           | 14,400           | 14,400           |
| Adirondack Park Agency                                      | 0                | 0                | 0                | 0                | 0                | 0                |
| Hudson River Park Trust                                     | 35,000           | 40,000           | 18,326           | 0                | 0                | 0                |
| Department of Agriculture and Markets                       | 1,924            | 1,600            | 1,600            | 1,600            | 1,600            | 1,600            |
| Energy Research and Development Authority                   | 0                | 0                | 13,250           | 13,250           | 13,250           | 13,250           |
| <b>Public Protection</b>                                    |                  |                  |                  |                  |                  |                  |
| Department of Correctional Services                         | 1,500            | 0                | 0                | 0                | 0                | 0                |
| Division of State Police                                    | 4,600            | 2,800            | 2,800            | 3,500            | 3,500            | 3,500            |
| Office of Homeland Security                                 | 0                | 7,590            | 2,750            | 150              | 0                | 0                |
| Division of Military and Naval Affairs                      | 16,600           | 25,450           | 41,375           | 40,700           | 30,500           | 17,090           |
| <b>Education</b>  |                  |                  |                  |                  |                  |                  |
| State Education Department                                  | 4,504            | 4,630            | 4,630            | 4,630            | 4,630            | 4,630            |
| City University of New York                                 | 9,100            | 9,100            | 9,100            | 9,100            | 9,100            | 9,100            |
| State University of New York: Senior Colleges               | 89,483           | 83,000           | 82,000           | 82,000           | 82,000           | 82,000           |
| Community Colleges  | 1,217            | 5,000            | 6,000            | 6,000            | 6,000            | 6,000            |
| <b>Mental Hygiene</b>                                       |                  |                  |                  |                  |                  |                  |
| Office of Mental Health                                     | 32,859           | 35,550           | 37,318           | 36,500           | 34,800           | 34,800           |
| Office of Mental Retardation and Developmental Disabilities | 38,342           | 41,215           | 41,725           | 43,070           | 44,166           | 45,400           |
| Office of Alcoholism and Substance Abuse Services           | 5,061            | 5,679            | 6,633            | 7,864            | 8,991            | 8,991            |
| <b>Housing and Economic Development</b>                     |                  |                  |                  |                  |                  |                  |
| Division of Housing and Community Renewal                   | 13,024           | 11,610           | 14,575           | 14,575           | 14,575           | 14,575           |
| Office of Temporary and Disability Assistance               | 1,750            | 1,500            | 0                | 0                | 0                | 0                |
| Urban Development Corporation                               | 0                | 0                | 0                | 0                | 0                | 0                |
| Office of Science, Technology, and Academic Research        | 0                | 2,000            | 0                | 0                | 0                | 0                |
| <b>Other</b>  |                  |                  |                  |                  |                  |                  |
| All State Agencies World Trade Center                       | 6,300            | 73,310           | 60,200           | 51,700           | 26,300           | 33,500           |
| Office of General Services                                  | 40,200           | 32,200           | 43,200           | 56,000           | 65,479           | 60,000           |
| Office of Children and Family Services                      | 7,866            | 7,044            | 4,530            | 2,000            | 1,000            | 1,000            |
| Judiciary   | 0                | 0                | 0                | 0                | 0                | 0                |
| Department of State   | 0                | 0                | 0                | 0                | 0                | 0                |
| Department of Health  | 70,054           | 69,897           | 70,500           | 70,000           | 70,500           | 70,500           |
| <b>Total State and Federal Pay-As-You-Go Financing</b>      | <u>2,606,388</u> | <u>2,825,669</u> | <u>3,098,430</u> | <u>3,026,697</u> | <u>2,928,795</u> | <u>2,852,522</u> |

### **STATE PAY-AS-YOU-GO**

State pay-as-you-go financing reflects payments for capital programs on a current basis from current State revenues. Pay-as-you-go resources include: General Fund taxes; other taxes and user fees set aside or dedicated for specific capital programs; repayments from local governments and public authorities for their share of projects; and transfers from other funds, including the General Fund. Over the Five-Year Plan, State pay-as-you-go resources of almost \$5.8 billion will support 22 percent of total spending.

Approximately \$3.1 billion of State pay-as-you-go financing over the Five-Year Plan is from the Dedicated Highway and Bridge Trust Fund (DHBTF). The DHBTF receives receipts from the petroleum business tax, motor fuel tax, highway use tax, auto rental tax, motor vehicle and other transportation-related fees. Receipts deposited to the DHBTF are used to finance projects on a pay-as-you-go basis, to pay debt service on DHBTF and CHIPS bonds, and to ensure that the debt service coverage requirements provided by the DHBTF bond covenants are satisfied.

Capital spending supported by General Fund receipts is classified as a transfer to the various Capital Projects Funds. The General Fund transfer, which is reflected in total State pay-as-you-go spending, is projected at \$206 million in 2003-04 and will average \$289 million annually over the Plan. The General Fund transfer primarily finances minor rehabilitation projects of facilities operated by the Office of General Services, the Department of Environmental Conservation and the Department of Mental Hygiene. Annual General Fund transfers of \$5 million in 2003-04 and \$69 million in 2004-05 and thereafter to the new Hazardous Waste Remedial Fund will continue to support the cleanup of hazardous waste sites.

State pay-as-you-go resources derived from statutorily dedicated revenues that finance projects for environmental and recreational purposes are projected to average approximately \$202 million annually. In addition to the \$36 million in miscellaneous receipts from industry fees that are deposited into the Hazardous Waste Remedial Fund, the Environmental Protection Fund (EPF) will continue to receive annual deposits of real estate transfer taxes (\$112 million) and other miscellaneous receipts (approximately \$11 million annually). The State Park Infrastructure Fund (SPIF), which continues to be supported by park fees and other miscellaneous revenues, will finance about \$22 million annually in improvements to the State's park system.

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## CAPITAL PROJECTS FINANCED BY STATE PAY-AS-YOU-GO RESOURCES 2002-2003 THROUGH 2007-2008 (thousands of dollars)

|  | <u>2002-2003</u> | <u>2003-2004</u> | <u>2004-2005</u> | <u>2005-2006</u> | <u>2006-2007</u> | <u>2007-2008</u> |
|--|------------------|------------------|------------------|------------------|------------------|------------------|
| <b>Transportation</b>  |                  |                  |                  |                  |                  |                  |
| Department of Transportation                                   | 754,938          | 643,286          | 611,831          | 480,831          | 386,475          | 310,884          |
| Department of Motor Vehicles                                   | 14,788           | 116,401          | 138,902          | 157,766          | 153,440          | 152,104          |
| Thruway Authority  | 2,000            | 2,000            | 2,000            | 2,000            | 2,000            | 2,000            |
| <b>Environment and Recreation</b>                              |                  |                  |                  |                  |                  |                  |
| Department of<br>Environmental Conservation                    | 66,485           | 100,141          | 246,085          | 246,082          | 245,017          | 250,017          |
| Environmental Facilities Corporation                           | 0                | 0                | 0                | 0                | 0                | 0                |
| Office of Parks, Recreation<br>and Historic Preservation       | 7,692            | 11,900           | 11,900           | 11,900           | 11,900           | 11,900           |
| Adirondack Park Agency   | 0                | 0                | 0                | 0                | 0                | 0                |
| Hudson River Park Trust  | 35,000           | 40,000           | 18,326           | 0                | 0                | 0                |
| Department of Agriculture and Markets                          | 1,924            | 1,600            | 1,600            | 1,600            | 1,600            | 1,600            |
| Energy Research and Development<br>Authority                   | 0                | 0                | 13,250           | 13,250           | 13,250           | 13,250           |
| <b>Public Protection</b>                                       |                  |                  |                  |                  |                  |                  |
| Department of Correctional Services                            | 1,500            | 0                | 0                | 0                | 0                | 0                |
| Division of State Police                                       | 4,600            | 2,800            | 2,800            | 3,500            | 3,500            | 3,500            |
| Office of Homeland Security                                    | 0                | 7,590            | 2,750            | 150              | 0                | 0                |
| Division of Military<br>and Naval Affairs                      | 6,600            | 9,150            | 11,200           | 9,850            | 7,500            | 7,500            |
| <b>Education</b>   |                  |                  |                  |                  |                  |                  |
| State Education Department                                     | 4,504            | 4,630            | 4,630            | 4,630            | 4,630            | 4,630            |
| City University of New York                                    | 9,100            | 9,100            | 9,100            | 9,100            | 9,100            | 9,100            |
| State University of New York:<br>Senior Colleges               | 89,483           | 83,000           | 82,000           | 82,000           | 82,000           | 82,000           |
| Community Colleges   | 1,217            | 5,000            | 6,000            | 6,000            | 6,000            | 6,000            |
| <b>Mental Hygiene</b>  |                  |                  |                  |                  |                  |                  |
| Office of Mental Health  | 32,859           | 35,550           | 37,318           | 36,500           | 34,800           | 34,800           |
| Office of Mental Retardation<br>and Developmental Disabilities | 38,342           | 41,215           | 41,725           | 43,070           | 44,166           | 45,400           |
| Office of Alcoholism and<br>Substance Abuse Services           | 5,061            | 5,679            | 6,633            | 7,864            | 8,991            | 8,991            |
| <b>Housing and Economic Development</b>                        |                  |                  |                  |                  |                  |                  |
| Division of Housing and<br>Community Renewal                   | 3,540            | 1,610            | 4,575            | 4,575            | 4,575            | 4,575            |
| Office of Temporary and<br>Disability Assistance               | 1,750            | 1,500            | 0                | 0                | 0                | 0                |
| Urban Development Corporation                                  | 0                | 0                | 0                | 0                | 0                | 0                |
| Office of Science, Technology,<br>and Academic Research        | 0                | 2,000            | 0                | 0                | 0                | 0                |
| <b>Other</b>   |                  |                  |                  |                  |                  |                  |
| Office of General Services                                     | 40,200           | 32,200           | 43,200           | 56,000           | 65,479           | 60,000           |
| Office of Children<br>and Family Services                      | 7,866            | 7,044            | 4,530            | 2,000            | 1,000            | 1,000            |
| Judiciary  | 0                | 0                | 0                | 0                | 0                | 0                |
| Department of Health   | 5,054            | 5,478            | 5,500            | 5,000            | 5,500            | 5,500            |
| <b>Total State Pay-As-You-Go Financing</b>                     | <u>1,134,503</u> | <u>1,168,874</u> | <u>1,305,855</u> | <u>1,183,668</u> | <u>1,090,923</u> | <u>1,014,751</u> |

**FEDERAL PAY-AS-YOU-GO**

Federal pay-as-you-go resources support spending financed by grants from the Federal Government, primarily for highways and bridges, drinking water and water pollution control facilities, public protection, and housing. Over the Plan, Federal grants account for almost 35 percent of total capital spending. In 2002-03 and over the five-year Capital Plan Federal disbursements of more than \$245 million will support the reconstruction of Route 9A as the result of damage caused by the attacks on the World Trade Center.

The largest components of Federal pay-as-you-go spending are for transportation and the environment (including Federal spending for Department of Health Safe Drinking Water projects), averaging \$1.5 billion and almost \$210 million per year, respectively. Beginning in 2003-04 and thereafter, the Capital Plan anticipates additional Federal aid under the 2003 Transportation Act of approximately \$236 million annually.

**CAPITAL PROJECTS FINANCED BY  
FEDERAL GRANTS PAY-AS-YOU-GO RESOURCES  
2002-2003 THROUGH 2007-2008  
(Thousands of Dollars)**

|  | <u>2002-2003</u> | <u>2003-2004</u> | <u>2004-2005</u> | <u>2005-2006</u> | <u>2006-2007</u> | <u>2007-2008</u> |
|--|------------------|------------------|------------------|------------------|------------------|------------------|
| <b>Transportation</b>                                    |                  |                  |                  |                  |                  |                  |
| Department of Transportation                             | 1,236,045        | 1,347,766        | 1,482,200        | 1,540,479        | 1,568,572        | 1,574,681        |
| <b>Environment and Recreation</b>                        |                  |                  |                  |                  |                  |                  |
| Department of  |                  |                  |                  |                  |                  |                  |
| Environmental Conservation                               | 142,500          | 142,500          | 142,500          | 142,500          | 142,500          | 142,500          |
| Office of Parks, Recreation<br>and Historic Preservation | 2,556            | 2,500            | 2,500            | 2,500            | 2,500            | 2,500            |
| Department of Health                                     | 65,000           | 64,419           | 65,000           | 65,000           | 65,000           | 65,000           |
| <b>Public Protection</b>                                 |                  |                  |                  |                  |                  |                  |
| Division of Military and<br>Naval Affairs                | 10,000           | 16,300           | 30,175           | 30,850           | 23,000           | 9,590            |
| <b>Housing and Economic Development</b>                  |                  |                  |                  |                  |                  |                  |
| Division of Housing and<br>Community Renewal             | 9,484            | 10,000           | 10,000           | 10,000           | 10,000           | 10,000           |
| <b>Other</b>   |                  |                  |                  |                  |                  |                  |
| All State Agencies World Trade Center                    | 6,300            | 73,310           | 60,200           | 51,700           | 26,300           | 33,500           |
| <b>Total Federal Grants Pay-As-You-Go Financing</b>      | <u>1,471,885</u> | <u>1,656,795</u> | <u>1,792,575</u> | <u>1,843,029</u> | <u>1,837,872</u> | <u>1,837,771</u> |

**GENERAL OBLIGATION BOND FINANCING**

General obligation bond financing of capital projects is accomplished through the issuance of full-faith and credit State bonds that have been authorized by the voters. The Plan assumes the continued implementation of eight previously authorized bond acts (four for transportation and four for environmental and recreational programs). Over the Five-Year Plan, the bulk of general obligation bond financed spending (\$681 million), supports environmental protection projects approved by the 1996 Clean Water/Clean Air Bond Act. Spending from the 1988 ACTION bonds for highways and bridges and the 1986 Environmental Quality Bond Act for hazardous waste remediation will average \$53 million over the Plan. Spending authorizations from the remaining five bond acts will be virtually depleted by the end of the Plan.

Spending supported by general obligation bonds totals almost five percent in 2003-04, primarily from the 1996 Clean Water/Clean Air Bond Act and 1986 Environmental Quality Bond Act. Capital spending supported by general obligation bonds declines to about two percent of total spending by the end of the Plan, reflecting the impact of the spend-down from authorizations other than the Clean Water/Clean Air Bond Act. Overall, this category accounts for four percent of the Plan's total capital spending.

## FINANCING PLAN

**CAPITAL PROJECTS FINANCED BY  
GENERAL OBLIGATION BONDS  
2002-2003 THROUGH 2007-2008  
(Thousands of Dollars)**

|   | <u>2002-2003</u> | <u>2003-2004</u> | <u>2004-2005</u> | <u>2005-2006</u> | <u>2006-2007</u> | <u>2007-2008</u> |
|---|------------------|------------------|------------------|------------------|------------------|------------------|
| <b>Transportation</b>                                 |                  |                  |                  |                  |                  |                  |
| Department of Transportation                          |                  |                  |                  |                  |                  |                  |
| Action - 1988   | 12,000           | 10,000           | 8,000            | 6,000            | 4,000            | 2,000            |
| Infrastructure Renewal - 1983                         | 5,000            | 5,000            | 5,000            | 5,000            | 5,000            | 5,000            |
| Energy Conservation - 1979                            | 200              | 200              | 200              | 200              | 200              | 200              |
| Transportation Capital Facilities - 1967              | 800              | 400              | 400              | 400              | 400              | 400              |
| <b>Environment and Recreation</b>                     |                  |                  |                  |                  |                  |                  |
| Department of Environmental Conservation              |                  |                  |                  |                  |                  |                  |
| Clean Water/Clean Air 1996                            | 120,963          | 141,590          | 141,590          | 141,590          | 125,000          | 100,000          |
| EQBA 1986   | 70,000           | 70,000           | 70,000           | 60,000           | 27,154           | 0                |
| EQBA 1972   | 2,130            | 3,000            | 3,000            | 3,000            | 3,000            | 3,000            |
| Pure Waters 1965                                      | 2,400            | 1,600            | 1,200            | 1,200            | 1,200            | 1,200            |
| Office of Parks, Recreation and Historic Preservation |                  |                  |                  |                  |                  |                  |
| EQBA 1986   | 1,711            | 3,343            | 3,775            | 1,185            | 281              | 0                |
| EQBA 1972   | 400              | 0                | 0                | 0                | 0                | 0                |
| Environmental Facilities Corporation                  |                  |                  |                  |                  |                  |                  |
| Clean Water/Clean Air 1996                            | 292              | 292              | 292              | 292              | 0                | 0                |
| Energy Research and Development Authority             |                  |                  |                  |                  |                  |                  |
| Clean Water/Clean Air 1996                            | 117              | 117              | 117              | 117              | 0                | 0                |
| <b>Other</b>  |                  |                  |                  |                  |                  |                  |
| Department of Health                                  |                  |                  |                  |                  |                  |                  |
| Clean Water/Clean Air 1996                            | 50,000           | 30,000           | 0                | 0                | 0                | 0                |
| <b>Total General Obligation Bond Financing</b>        | <u>266,013</u>   | <u>265,542</u>   | <u>233,574</u>   | <u>218,984</u>   | <u>166,235</u>   | <u>111,800</u>   |

## AUTHORITY BOND FINANCING

Authority bond-financed capital spending is reimbursed by the proceeds of bonds sold by State public authorities pursuant to contractual agreements with the State. Consistent with efforts to responsibly manage the use of the State-supported debt and control both the costs and levels of bonded obligations, approximately 39 percent of total spending will be prudently financed with authority bond proceeds.

The table of authority bond-financed spending includes those capital programs for which spending is included in the State's Financial Plan. While this includes the majority of such financings, certain programs that are financed directly from bond proceeds (such as the School District Capital Outlays Program and the \$1.2 billion Regional Development Program) are not counted by the State Comptroller as spending although they are counted as State-supported debt, since neither the capital disbursements nor the receipt of bond proceeds are reflected by the Comptroller as activity from State funds or accounts. However, to more accurately reflect the levels of Capital Plan spending that is financed by bond proceeds, the Capital Plan reflects disbursements for the School District Capital Outlays Program and the Regional Development Program.

The largest component of spending financed by authority bonds over the five-year Capital Plan is within the Dedicated Highway and Bridge Trust Fund (44 percent). Dedicated Highway and Bridge Trust Fund (DHBTF) bonds that are issued to support the last two years of the current five-year DOT Capital Plan are projected at \$965 million in 2003-04 and \$876 million in 2004-05. DHBTF bond issuances in 2005-06 through 2007-08 will support construction letting levels of \$1.65 billion, and will average approximately \$885 million over the Plan.

## FINANCING PLAN

Authority bond-financed spending for non-transportation programs decreases from approximately \$1.6 billion in 2003-04 to about \$979 million in 2007-08. This change primarily reflects the “spend out” of certain education and economic development programs, including RESCUE, the Strategic Investment Program, and the \$1.2 billion Regional Development Program.

| <b>CAPITAL PROJECTS FINANCED BY<br/>AUTHORITY BONDS RESOURCES<br/>2002-2003 THROUGH 2007-2008<br/>(thousands of dollars)</b> |                  |                  |                  |                  |                  |                  |
|--|------------------|------------------|------------------|------------------|------------------|------------------|
|  | <u>2002-2003</u> | <u>2003-2004</u> | <u>2004-2005</u> | <u>2005-2006</u> | <u>2006-2007</u> | <u>2007-2008</u> |
| <b>Transportation</b>  |                  |                  |                  |                  |                  |                  |
| Department of Transportation   | 899,171          | 965,026          | 875,934          | 812,777          | 851,265          | 920,629          |
| <b>Environment and Recreation</b>  |                  |                  |                  |                  |                  |                  |
| Department of<br>Environmental Conservation  | 115,000          | 190,000          | 58,000           | 88,000           | 138,000          | 188,000          |
| Office of Parks, Recreation<br>and Historic Preservation   | 0                | 0                | 0                | 0                | 0                | 0                |
| Energy Research and Development<br>Authority   | 13,250           | 13,250           | 0                | 0                | 0                | 0                |
| Environmental Facilities Corporation   | 1,768            | 9,605            | 0                | 0                | 0                | 0                |
| <b>Public Protection</b>   |                  |                  |                  |                  |                  |                  |
| Department of Correctional Services  | 188,000          | 188,000          | 188,000          | 188,000          | 188,000          | 188,000          |
| Judiciary  | 18,600           | 18,600           | 308              | 0                | 0                | 0                |
| Homeland Security  | 15,000           | 8,000            | 2,000            | 0                | 0                | 0                |
| <b>Education</b>   |                  |                  |                  |                  |                  |                  |
| State University of New York   | 215,000          | 280,000          | 310,000          | 340,000          | 340,000          | 340,000          |
| State Education Department   | 160,107          | 69,304           | 0                | 0                | 0                | 0                |
| Office of Science, Technology<br>and Academic Research   | 21,204           | 20,127           | 6,169            | 0                | 0                | 0                |
| <b>Mental Hygiene</b>  |                  |                  |                  |                  |                  |                  |
| Office of Mental Health  | 62,438           | 90,611           | 79,494           | 79,506           | 87,218           | 79,530           |
| Office of Mental Retardation<br>and Developmental Disabilities   | 11,111           | 8,151            | 6,216            | 6,301            | 6,395            | 6,510            |
| Office of Alcoholism and<br>Substance Abuse Services   | 22,174           | 21,636           | 21,356           | 20,250           | 20,273           | 21,350           |
| <b>Housing and Economic Development</b>  |                  |                  |                  |                  |                  |                  |
| Division of Housing and<br>Community Renewal   | 77,910           | 77,840           | 70,875           | 69,625           | 69,625           | 69,625           |
| Office of Temporary and<br>Disability Assistance   | 23,000           | 23,000           | 28,000           | 28,000           | 28,000           | 28,000           |
| Urban Development Corporation  | 14,300           | 40,000           | 25,000           | 0                | 0                | 0                |
| All State Departments and Agencies   |                  |                  |                  |                  |                  |                  |
| Regional Economic Development  | 200,000          | 325,000          | 250,000          | 125,000          | 0                | 0                |
| Strategic Investment Program   | 60,000           | 112,000          | 22,340           | 0                | 0                | 0                |
| Economic Development and Natural<br>Resource Preservation Program  | 23,744           | 0                | 0                | 0                | 0                | 0                |
| <b>Other</b>   |                  |                  |                  |                  |                  |                  |
| Office of Children<br>and Family Services  | 10,595           | 32,094           | 17,295           | 11,200           | 10,300           | 8,000            |
| Department of Health   | 0                | 0                | 50,000           | 50,000           | 50,000           | 50,000           |
| Office of General Services   | 38,500           | 61,000           | 32,500           | 0                | 0                | 0                |
| <b>Total Authority Bond Financing</b>  | <u>2,190,872</u> | <u>2,553,244</u> | <u>2,043,487</u> | <u>1,818,659</u> | <u>1,789,076</u> | <u>1,899,644</u> |

### **CAPITAL PROJECTS FUNDS FINANCIAL PLAN**

The following table provides an explanation of the receipt, disbursement, transfer and general obligation bond amounts contained in the Plan and how they correspond to the applicable Governmental Funds financial plans. All amounts are reflected on a cash basis in the fiscal year during which the spending or receipt activity is expected to occur. Since capital disbursements have been discussed in previous sections of Appendix II, the following information is provided as a description of the receipt categories which support capital

## ***FINANCING PLAN***

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spending. Receipts include taxes, miscellaneous receipts (authority and general obligation bond reimbursements, miscellaneous receipts, and other repayments), Federal grants, and transfers from other Governmental Funds.

Taxes dedicated to capital programs are estimated to account for approximately 29 percent of the total receipts supporting capital spending during the Plan. The Dedicated Highway and Bridge Trust Fund (DHBTF) receives receipts from the petroleum business tax, motor fuel tax, highway use tax, auto rental tax, motor vehicle and other transportation-related fees. Over the Five-Year Plan, total annual DHBTF taxes will average approximately \$1.7 billion annually. In addition, \$112 million of annual real estate transfer taxes are deposited to the Environmental Protection Fund.

Miscellaneous receipts include bond proceeds and certain fees. The fees are primarily for environmental or transportation purposes, and are deposited into capital projects funds for specific programs. Authority bond proceeds, which reimburse the State for capital disbursements, are linked directly to spending, although these receipts may not be received in the same fiscal year in which spending activity occurs. For example, some design work or site acquisition may occur prior to construction and the sale of bonds. For this Plan, miscellaneous receipts are projected to comprise 37 percent of capital projects funds receipts. A further description of this receipts category is provided in the "Explanation of Receipt Estimates" section of this Appendix.

Federal grants reimburse the State for the Federal share of construction projects. Reimbursements are received primarily for spending on transportation, environment and recreation, housing and public protection projects. Federal grants are anticipated to provide 29 percent of capital projects receipts in this Plan.

The five percent balance of capital project financing, is supported by transfers from other funds. The primary transfer in support of capital spending is made from the State's General Fund and is comprised of transfers to the Capital Projects Fund for routine project spending, and to the Hazardous Waste Remedial Fund to support Superfund spending. Over the five years of the Plan, the transfers from the General Fund represent approximately one percent of total State General Fund spending.

## FINANCING PLAN

**CAPITAL PROJECTS FUNDS FINANCIAL PLAN  
PREPARED ON THE CASH BASIS OF ACCOUNTING  
2002-2003 THROUGH 2007-2008**

(Thousands of Dollars)

|  | <u>2002-2003</u> | <u>2003-2004</u> | <u>2004-2005</u> | <u>2005-2006</u> | <u>2006-2007</u> | <u>2007-2008</u> |
|--|------------------|------------------|------------------|------------------|------------------|------------------|
| Opening funds balances                 | (267,419)        | (489,489)        | (495,163)        | (514,516)        | (527,624)        | (544,761)        |
| <b>Receipts:</b>                       |                  |                  |                  |                  |                  |                  |
| Taxes                                  | 1,685,800        | 1,765,100        | 1,810,675        | 1,773,875        | 1,778,275        | 1,798,875        |
| Miscellaneous receipts                 | 2,487,459        | 2,790,026        | 2,280,492        | 2,036,193        | 2,009,936        | 2,121,403        |
| Federal grants                         | <u>1,482,175</u> | <u>1,667,725</u> | <u>1,802,065</u> | <u>1,852,606</u> | <u>1,847,422</u> | <u>1,847,321</u> |
| Total receipts                         | <u>5,655,434</u> | <u>6,222,851</u> | <u>5,893,232</u> | <u>5,662,674</u> | <u>5,635,633</u> | <u>5,767,599</u> |
| <b>Disbursements:</b>                  |                  |                  |                  |                  |                  |                  |
| Grants to local governments            | 1,160,594        | 1,261,705        | 1,015,326        | 857,165          | 641,513          | 582,956          |
| Capital projects                       | <u>3,902,679</u> | <u>4,382,750</u> | <u>4,360,165</u> | <u>4,207,175</u> | <u>4,242,593</u> | <u>4,281,010</u> |
| Total disbursements                    | <u>5,063,273</u> | <u>5,644,455</u> | <u>5,375,491</u> | <u>5,064,340</u> | <u>4,884,106</u> | <u>4,863,966</u> |
| <b>Other financing sources (uses):</b> |                  |                  |                  |                  |                  |                  |
| Transfers from other funds             | 194,809          | 225,956          | 323,211          | 332,989          | 334,512          | 330,267          |
| Transfers to other funds               | (1,231,140)      | (1,057,826)      | (1,086,705)      | (1,163,031)      | (1,266,976)      | (1,365,413)      |
| Bond and note proceeds                 | <u>222,100</u>   | <u>247,800</u>   | <u>226,400</u>   | <u>218,600</u>   | <u>163,800</u>   | <u>111,200</u>   |
| Net other financing sources (uses)     | <u>(814,231)</u> | <u>(584,070)</u> | <u>(537,094)</u> | <u>(611,442)</u> | <u>(768,664)</u> | <u>(923,946)</u> |
| Changes in funds balances              | <u>(222,070)</u> | <u>(5,674)</u>   | <u>(19,353)</u>  | <u>(13,108)</u>  | <u>(17,137)</u>  | <u>(20,313)</u>  |
| Closing funds balances                 | <u>(489,489)</u> | <u>(495,163)</u> | <u>(514,516)</u> | <u>(527,624)</u> | <u>(544,761)</u> | <u>(565,074)</u> |

### DEBT FINANCING

Financing the construction of and improvements to long-term capital assets through borrowing is an integral part of the State's Capital Program and Financing Plan. This section describes the affordability and impact of bond-financed capital spending on the amount of State-supported debt and debt service expenditures throughout the Plan. Supporting this analysis are separate tables for debt issuances, debt retirements, debt outstanding and debt service.

### GROWTH IN DEBT OUTSTANDING IS REDUCED

Statutorily capping new debt levels to four percent of personal income ensures that the growth in debt does not outpace the growth in personal income — a measure commonly used by the financial community to assess affordability. Over time, the debt outstanding cap imposed by the Debt Reform Act ensures that New York's total debt burden is reduced to no more than four percent of State personal income. Over the Plan:

- The five-year average annual growth in total debt outstanding of 1.6 percent is significantly less than the projected average annual growth in personal income of 4.2 percent.
- Total debt outstanding as a percent of personal income will decline from 5.7 percent in 2002-03 to 5 percent in 2007-08.
- Total debt outstanding will increase from \$39.4 billion in 2002-03 to \$42.6 billion in 2007-08, or by an annual average of 1.6 percent.
- New debt outstanding as a percent of State personal income is projected to be well below the statutory debt reform caps.

## ***FINANCING PLAN***

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### ***ENSURING DEBT SERVICE COSTS REMAIN AFFORDABLE***

The debt service table shows the amount of resources devoted to financing the principal and interest costs on new and currently outstanding State-supported debt. The table includes projected total annual debt service by program and issuer, and includes debt service on general obligation bonds, as well as lease-purchase and contractual obligations issued by State agencies, public authorities, and municipalities through financing agreements with the State.

As a result of the Governor's prudent debt management initiatives, debt service costs will continue to remain affordable over the Plan. Total debt service costs as a percent of All Funds receipts is projected to increase modestly from 3.8 percent in 2003-04 to about 4.7 percent in 2007-08. The increase is primarily due to debt management actions in 2002-03 and 2003-04 that have significantly reduced debt service costs. Those debt management actions include numerous statutory and administrative initiatives that have lowered the State's cost of borrowing by:

- Refunding State-supported bonds (including the use of variable rate bonds and interest rate exchange agreements) to generate significant net present value savings. Refunded bonds include correctional and youth facilities bonds, LGAC bonds, and SUNY higher educational facilities bonds.
- Modernizing the financing structure of State-supported bonds to eliminate unnecessary debt service reserve funds to lower debt levels; and
- Issuing lower cost State Personal Income Tax Revenue Bonds to improve the marketability and creditworthiness of State-supported bonds and lower debt service costs.

Debt service costs also reflect the prudent diversification of the State-supported debt portfolio by responsibly using variable rate bonds and interest rate exchange agreements within the limitations and guidelines imposed by legislation enacted in 2002. That legislation provides that issuers of State-supported bonds may enter into variable rate debt instruments that result in a maximum total net variable rate exposure of 15 percent of State-supported debt. Subject to various criteria established in the legislation to effectively manage risk, such issuers may also enter into interest rate exchange agreements in a total notional amount that does not exceed 15 percent of State-supported debt.

Over the Capital Program and Financing Plan period, the State's authorized issuers will have or are expected to enter into variable rate debt instruments that increase the State's net variable rate exposure and exposure to interest rate exchange agreements (e.g., swaps) as a percent of debt outstanding that is within prudent limits acceptable to the rating agencies. A portion of the interest rate exchange agreements are projected to be synthetic fixed rate LIBOR swaps (i.e., the State or authorized issuer receives a variable rate (i.e., 65 percent of LIBOR) that is roughly equivalent to the rate it pays on its variable rate bonds and pays a below-the-bond-market fixed swap rate).

As shown in the following table, after adjusting the net variable rate exposure to account for the possibility that the 65 percent of LIBOR rate the State receives is not roughly equivalent to the rate it pays on its variable rate bonds, the State's net variable rate exposure is 8.1 percent in 2002-03 and 10.6 percent in 2007-08 — an amount that remains within the State's 15 percent maximum exposure to net variable rate debt instruments. In addition, the total notional amount of existing and projected interest rate exchange and similar agreements as a percentage of debt outstanding is projected to increase from 9.2 percent in 2002-03 to 11.2 percent in 2007-08.

## FINANCING PLAN

|  | 2002-03 | 2003-04 | 2004-05 | 2005-06 | 2006-07 | 2007-08 |
|--|---------|---------|---------|---------|---------|---------|
| Net Variable Rate Cap  | 5,912   | 6,150   | 6,226   | 6,296   | 6,346   | 6,384   |
| Statutory Outstanding Net Variable Rate Obligations              | 1,939   | 2,243   | 2,472   | 2,632   | 2,745   | 2,838   |
| Policy Reserve for LIBOR Swaps                                   | 1,263   | 1,667   | 1,667   | 1,667   | 1,667   | 1,667   |
| Percent of Net Variable Rate Exposure to Debt Outstanding        | 8.1     | 9.5     | 10.0    | 10.2    | 10.4    | 10.6    |
|  | 2002-03 | 2003-04 | 2004-05 | 2005-06 | 2006-07 | 2007-08 |
| Interest Rate Exchange Cap                                       | 5,912   | 6,150   | 6,226   | 6,296   | 6,346   | 6,384   |
| Notional Amount of Interest Rate Exchange Agreements             | 3,609   | 4,763   | 4,763   | 4,763   | 4,763   | 4,763   |
| Percent of Interest Rate Exchange Agreements to Debt Outstanding | 9.2     | 11.6    | 11.5    | 11.4    | 11.3    | 11.2    |

### DEBT ISSUANCES

Projected debt issuances will finance strategic capital investments that will continue to support the State's transportation infrastructure, encourage economic development and job creation, improve educational facilities, protect the environment, and maintain correctional and mental hygiene facilities. Over the Five-Year Plan, annual debt issuances will decline from \$3.3 billion in 2003-04 to \$2.8 billion in 2007-08, or by an annual average of about four percent.

Over the Five-Year Plan, annual issuances will average approximately \$2.8 billion. Lower cost State Personal Income Tax Revenue bonds, which are supported by a pledge of 25 percent of State personal income receipts, will account for 51 percent of total issuances over the Five-Year Plan. State Personal Income Tax Revenue Bonds have effectively reduced borrowing costs by improving the marketability and creditworthiness of State-supported obligations and by permitting the consolidation of multiple bonding programs to reduce administrative costs.

Over the Five-Year Plan, State Personal Income Tax Revenue Bonds will be issued under five functional purposes, as shown below:

- **Education Revenue Bonds Issued by the Dormitory Authority:** To support SUNY and CUNY, RESCUE and J2K Universities (2003-04 issuance of \$134 million). To improve the administration of the SUNY and CUNY higher educational facilities bonding programs and reduce annual debt service costs, annual bond sales will be sized to more closely correspond with projected disbursements. This change will eliminate the need for a CUNY higher educational facilities bond sale in 2003-04 and reduce the size of the SUNY and CUNY sales required in 2004-05. This administrative change will not adversely impact the advancement of projects or the new SUNY and CUNY Multi-Year Capital Investment Plans.
- **Environmental Revenue Bonds Issued by the Environmental Facilities Corporation:** To support the State Revolving Fund and Pipeline for Jobs and other environmental programs (2003-04 issuance of \$181 million).
- **Transportation Revenue Bonds Issued by the Thruway Authority:** To support CHIPs and other non-Dedicated Highway transportation purposes (2003-04 issuance of \$335 million).
- **Economic Development and Housing Revenue Bonds Issued by the Empire State Development Corporation, the Dormitory Authority and Housing Finance Agency:** To support Housing, the Strategic Investment Program (SIP), Stadia, economic development projects in the Buffalo area, the Community Enhancement Facilities Assistance Program (CEFAP), and the \$1.2 billion Regional Economic Development Program (2003-04 issuances of \$632 million).
- **State Facilities and Equipment Revenue Bonds Issued by the Empire State Development Corporation and the Dormitory Authority:** To support Correctional Facilities, Youth Facilities, State Office Buildings, Elk Street Parking Garage, Homeland Security, and equipment bonds. (2003-04 issuance of \$371 million).

## ***FINANCING PLAN***

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State Personal Income Tax Revenue Bond issuances reflect one-time bonding authorization in 2003-04 to finance approximately \$202 million of capital disbursements, including \$141 million for environment projects, \$24 million in local transportation projects, and \$37 million for renovation of various State and judicial facilities and homeland security capital projects. The remaining four years of the Capital Plan assume disbursements to finance these programs will continue to be financed with cash.

Remaining issuances in 2003-04 will be financed by bonding programs which are supported by other streams of revenues or voter approved general obligation bonds. General obligation bonds will be issued to implement projects financed by the voter-approved Clean Water/Clean Air Bond Act and other prior bond acts, predominantly the 1986 Environmental Quality Bond Act.

Over the Five-Year Plan, Dedicated Highway and Bridge Trust Fund bonds, which are issued by the Thruway Authority and supported by dedicated motor fuel and motor vehicle related taxes, will average \$938 million annually. In conjunction with additional State and Federal pay-as-you-go resources, these issuances will support construction letting levels of \$1.65 billion annually under the Department of Transportation's Highway and Bridge Construction Program. Dedicated Highway bond issuances account for the largest share of the Plan's debt issuances, or 33 percent.

SUNY Dormitory Facilities bonds, which are issued by the Dormitory Authority and supported by dormitory fees and rents charged to the residing population, will average \$55 million annually over the Plan. The bonds will support the expansion and renovation of SUNY dormitory facilities to provide safe housing for a growing student population under the new SUNY Multi-Year Capital Investment Program.

Mental Hygiene bonds, which are issued by the Dormitory Authority and supported by patient revenues, will average \$191 million over the Plan. These issuances will support capital projects to preserve and maintain both State and community-based facilities operated and/or licensed by the Office of Mental Health, the Office of Mental Retardation and Developmental Disabilities, and the Office of Alcoholism and Substance Abuse Services.

The current interest rate environment remains relatively favorable for municipal bond issuers. The Division forecasts that long-term, tax-exempt fixed rates on new issuances will range from 5.5 percent to 6.5 percent throughout the Capital Plan period. Short-term tax-exempt rates and taxable rates are expected to average about 2.6 percent and 3.8 percent, respectively. Projected debt issuances also reflect debt management strategies that reduce borrowing costs, including the use of shorter-term maturities.

### ***DEBT RETIREMENTS***

The retirements table presents the annual repayment of principal for State-supported debt for each fiscal year within the Plan. It accounts for retirements as of the payment date due to bondholders, rather than the actual date the State makes the cash payment. For example, if principal payments are due on April 1, the bonds are considered outstanding on March 31, even if the State is contractually obligated to make payments to the trustee prior to that date. Retirements from both outstanding State-supported debt and debt expected to be issued during the course of the Plan are included in the retirements table.

The rate at which State-supported debt is retired or paid off has a significant impact on the State's ability to utilize bonds for its capital programs. The Plan will continue to use shorter term maturities for bonds issued to support CEFAP, SIP and the \$1.2 billion Regional Economic Development Program. In addition, ten-year maturities will continue to be used for taxable programs. These debt management efforts will have a positive impact on the rate at which State-supported debt is retired.

Over the Plan, retirements of State-supported debt are projected to average \$2.2 billion annually. Over the Plan period, retirements will increase for many of the State’s largest bonding programs, including those for CHIPs, the Dedicated Highway and Bridge Trust Fund, SUNY, CUNY, Correctional Services and Mental Hygiene.

**BOND AUTHORIZATIONS**

Legal authorizations for the State to enter into contractual agreements with public authorities are provided in the enabling statutes of each authority. Those statutes generally contain limits, or caps, on the amount of bonds that can be issued for a program. As the bond cap is reached, or additional bondable appropriations are enacted, legislation is also enacted to raise the statutory caps to the level necessary to accommodate bondable capital needs.

Bond caps can provide authorizations to finance a single year’s appropriations or can be for multi-year periods. In addition, the authorizations specify whether the cap is on the total bonds sold, including cost of issuance (gross), or only for project costs (net). The bond caps included in the Executive Budget reflect recommended bonding authorizations for the:

- Dormitory Authority to support the new SUNY and CUNY Multi-Year Capital Investment Programs that will continue to finance capital projects at various educational facilities, dormitory facilities and community colleges; and for the renovation and expansion of the Court of Appeals building and improvements to the Albany Justice Building;
- Empire State Development Corporation for capital projects that will preserve and maintain the State’s correctional facilities; provide for Homeland Security; improve and maintain State Facilities; promote downtown and inner harbor economic development in the Buffalo area; and finance equipment needs essential to the delivery of services by various State agencies;
- Environmental Facilities Corporation to support various environmental and recreational projects, including safe drinking water projects, and capital projects at the West Valley Nuclear Service Center;
- Housing Financing Agency to support various low and moderate-income housing programs; and
- Thruway Authority to support local transportation projects.

**Bond Authorizations  
(thousands of dollars)**

| <b>Issuer</b>                        | <b>Program</b>                                 | <b>Current Cap</b> | <b>Recommended Cap</b> | <b>Type of Cap</b> |
|--------------------------------------|--|--------------------|------------------------|--------------------|
| Dormitory Authority                  | CUNY Senior Community Colleges                 | 3,415,000          | 4,200,000              | Gross              |
| Dormitory Authority                  | SUNY Senior Colleges                           | 3,200,000          | 4,700,000              | Gross              |
| Dormitory Authority                  | SUNY Community Colleges                        | 405,000            | 420,000                | Net                |
| Dormitory Authority                  | SUNY Dormitory Facilities                      | 175,000            | 210,000                | Net                |
| Dormitory Authority                  | Courthouse Improvements                        | 20,800             | 37,600                 | Net                |
| Empire State Development Corporation | Correctional Facilities                        | 4,550,693          | 5,167,793              | Gross              |
| Empire State Development Corporation | Homeland Security                              | 15,000             | 25,000                 | Net                |
| Empire State Development Corporation | State Office Building Improvements             | 12,000             | 22,000                 | Net                |
| Empire State Development Corporation | Downtown and Inner Harbor Economic Development | N/A                | 50,000                 | Net                |
| Empire State Development Corporation | Agency Equipment Needs                         | N/A                | 70,000                 | Net                |
| Environmental Facilities Corporation | Environmental Infrastructure Projects          | 135,000            | 277,000                | Net                |
| Housing Finance Agency               | Various Housing Programs                       | 1,410,000          | 1,526,000              | Net                |
| Thruway Authority                    | Local Transportation Projects (CHIPS)          | 3,811,440          | 3,835,330              | Net                |

# FINANCING PLAN

## DEBT SERVICE FUNDS FINANCIAL PLAN

### PROJECTED STATE-SUPPORTED DEBT OUTSTANDING 2002-2003 THROUGH 2007-2008 (thousands of dollars)

|   | 2002-2003         | 2003-2004         | 2004-2005         | 2005-2006         | 2006-2007         | 2007-2008         |
|---|-------------------|-------------------|-------------------|-------------------|-------------------|-------------------|
| <b>GENERAL OBLIGATION</b>   | 3,973,918         | 3,876,095         | 3,773,650         | 3,662,697         | 3,484,163         | 3,251,387         |
| <b>LOCAL GOVERNMENT ASSISTANCE CORPORATION</b>                                | 4,527,340         | 4,428,200         | 4,292,940         | 4,149,853         | 4,016,406         | 3,877,297         |
| <b>OTHER LEASE-PURCHASE AND CONTRACTUAL-OBLIGATION FINANCING ARRANGEMENTS</b> |                   |                   |                   |                   |                   |                   |
| Transportation  |                   |                   |                   |                   |                   |                   |
| Metropolitan Trans Authority  | 2,395,205         | 2,395,205         | 2,353,925         | 2,310,930         | 2,265,955         | 2,218,820         |
| Dormitory Authority   |                   |                   |                   |                   |                   |                   |
| Albany County Airport   | 35,595            | 33,965            | 32,255            | 30,465            | 28,585            | 26,600            |
| Thruway Authority:  |                   |                   |                   |                   |                   |                   |
| Consolidated Local Highway Improvement  | 2,599,700         | 2,779,880         | 2,944,362         | 3,088,225         | 3,212,438         | 3,319,414         |
| Dedicated Highway & Bridge  | 5,292,021         | 5,956,467         | 6,451,869         | 6,843,245         | 7,251,117         | 7,651,209         |
| Education   |                   |                   |                   |                   |                   |                   |
| Dormitory Authority:  |                   |                   |                   |                   |                   |                   |
| SUNY Educational Facilities   | 4,353,092         | 4,252,597         | 4,177,649         | 4,390,737         | 4,587,030         | 4,734,916         |
| SUNY Dormitory Facilities   | 560,110           | 644,803           | 666,047           | 685,861           | 706,035           | 725,927           |
| SUNY Upstate Community Colleges   | 480,468           | 503,320           | 525,095           | 545,307           | 564,172           | 581,352           |
| CUNY Educational Facilities   | 3,262,292         | 3,139,925         | 3,113,016         | 3,149,694         | 3,223,931         | 3,290,156         |
| State Education Department  | 69,820            | 67,990            | 66,065            | 64,045            | 61,920            | 59,685            |
| Library for the Blind   | 16,670            | 16,030            | 15,360            | 14,655            | 13,915            | 13,140            |
| SUNY Athletic Facilities  | 25,200            | 25,200            | 24,270            | 23,305            | 22,300            | 21,250            |
| RESCUE  | 133,596           | 173,555           | 160,606           | 147,177           | 133,217           | 118,663           |
| University Facilities (Jobs 2000)   | 24,630            | 41,268            | 40,003            | 35,462            | 30,724            | 25,772            |
| Judicial Training Institute   | 15,165            | 14,630            | 14,070            | 13,485            | 12,870            | 12,225            |
| School District Capital Outlays   | 94,449            | 85,621            | 76,531            | 67,108            | 57,323            | 47,166            |
| Health  |                   |                   |                   |                   |                   |                   |
| Dormitory Authority/DOH   | 428,195           | 417,155           | 405,490           | 393,155           | 380,110           | 365,943           |
| Mental Hygiene  |                   |                   |                   |                   |                   |                   |
| Dormitory Authority/MCFFA:  | 3,513,237         | 3,684,834         | 3,710,653         | 3,724,127         | 3,720,667         | 3,708,429         |
| Public Protection   |                   |                   |                   |                   |                   |                   |
| ESDC:   |                   |                   |                   |                   |                   |                   |
| Prison Facilities   | 3,764,998         | 3,929,343         | 4,022,537         | 4,077,122         | 4,121,402         | 4,175,008         |
| Youth Facilities  | 186,085           | 201,095           | 205,678           | 199,630           | 195,099           | 186,924           |
| Homeland Security   | 14,445            | 24,200            | 23,320            | 22,417            | 21,481            | 20,510            |
| Environment   |                   |                   |                   |                   |                   |                   |
| Environmental Facilities Corp/ERDA:   |                   |                   |                   |                   |                   |                   |
| Riverbank Park  | 59,520            | 57,840            | 56,085            | 54,240            | 52,305            | 50,250            |
| Water Pollution Control   | 149,154           | 170,445           | 160,821           | 159,001           | 155,590           | 162,454           |
| Pilgrim Sewage Treatment  | 8,600             | 8,200             | 7,800             | 7,300             | 6,700             | 6,100             |
| State Park Infrastructure   | 11,235            | 10,370            | 9,460             | 8,495             | 7,475             | 6,395             |
| Fuel Tanks  | 9,915             | 7,515             | 5,060             | 2,550             | 0                 | 0                 |
| Pipeline for Jobs (Jobs 2000)   | 12,705            | 20,159            | 18,223            | 16,185            | 14,039            | 11,781            |
| Environmental Infrastructure  | 118,370           | 245,005           | 267,598           | 315,859           | 409,118           | 545,658           |
| West Valley   | 68,685            | 68,950            | 54,010            | 38,330            | 28,104            | 19,775            |
| ESDC:   |                   |                   |                   |                   |                   |                   |
| Pine Barrens  | 13,370            | 12,755            | 12,110            | 11,435            | 10,725            | 9,980             |
| State Building/Equipment  |                   |                   |                   |                   |                   |                   |
| ESDC:   |                   |                   |                   |                   |                   |                   |
| Empire State Plaza  | 65,912            | 55,108            | 45,120            | 36,032            | 27,638            | 19,886            |
| State Buildings   | 14,005            | 13,416            | 12,782            | 12,098            | 11,361            | 10,568            |
| State Capital Projects  | 228,260           | 220,780           | 212,835           | 204,395           | 195,430           | 185,900           |
| ESDC / DA   |                   |                   |                   |                   |                   |                   |
| State Buildings   | 145,415           | 222,182           | 224,939           | 217,405           | 209,664           | 201,655           |
| Certificates of Participation   | 185,420           | 182,569           | 253,845           | 297,426           | 309,079           | 309,166           |
| Housing   |                   |                   |                   |                   |                   |                   |
| Housing Finance Agency  | 1,164,056         | 1,241,066         | 1,286,996         | 1,327,086         | 1,365,930         | 1,405,077         |
| Economic Development  |                   |                   |                   |                   |                   |                   |
| Triborough Bridge and Tunnel Authority/Javits Center                          | 292,220           | 268,040           | 242,100           | 214,280           | 184,445           | 152,445           |
| ESDC/DA   |                   |                   |                   |                   |                   |                   |
| University Technology Centers   | 167,412           | 156,813           | 145,806           | 134,317           | 123,197           | 111,585           |
| Onondaga Convention Center  | 41,505            | 40,060            | 38,525            | 36,895            | 35,170            | 33,340            |
| Sports Facilities   | 122,795           | 133,700           | 128,559           | 123,119           | 117,224           | 110,997           |
| Community Enhancement Facilities  | 253,335           | 279,141           | 214,200           | 155,966           | 105,806           | 88,130            |
| Natural Resources Preservation  | 19,790            | 15,195            | 10,375            | 5,320             | 0                 | 0                 |
| Child Care Facilities   | 29,465            | 28,525            | 27,440            | 26,330            | 25,190            | 24,010            |
| Buffalo Inner Harbor  | 0                 | 25,500            | 49,037            | 45,064            | 40,851            | 36,384            |
| Strategic Investment Program  | 148,135           | 178,550           | 151,805           | 107,713           | 61,926            | 18,270            |
| Regional Economic Development Program   | 306,000           | 638,785           | 764,360           | 771,778           | 693,199           | 610,159           |
| JOBS Now  | 13,795            | 11,240            | 8,600             | 5,860             | 3,000             | 0                 |
| <b>Total Other Financing Arrangements</b>                                     | <b>30,914,047</b> | <b>32,698,993</b> | <b>33,437,293</b> | <b>34,160,635</b> | <b>34,803,458</b> | <b>35,433,077</b> |
| <b>TOTAL STATE-SUPPORTED DEBT</b>   | <b>39,415,305</b> | <b>41,003,288</b> | <b>41,503,884</b> | <b>41,973,185</b> | <b>42,304,028</b> | <b>42,561,761</b> |

\* Excludes bonds that were both legally and economically defeased.

# FINANCING PLAN

**PROJECTED STATE-SUPPORTED DEBT SERVICE  
2002-03 THROUGH 2007-08  
(Thousands of Dollars)**

|   | 2002-2003        | 2003-2004        | 2004-2005        | 2005-2006        | 2006-2007        | 2007-2008        |
|---|------------------|------------------|------------------|------------------|------------------|------------------|
| <b>GENERAL OBLIGATION</b>   | 572,212          | 526,896          | 509,341          | 507,502          | 516,037          | 510,414          |
| <b>LOCAL GOVERNMENT ASSISTANCE CORPORATION</b>                                | 244,679          | 251,572          | 303,513          | 308,275          | 351,209          | 362,818          |
| <b>OTHER LEASE-PURCHASE AND CONTRACTUAL-OBLIGATION FINANCING ARRANGEMENTS</b> |                  |                  |                  |                  |                  |                  |
| Transportation  |                  |                  |                  |                  |                  |                  |
| Metropolitan Trans Authority  | 10,686           | 124,120          | 165,093          | 165,097          | 165,091          | 165,092          |
| Dormitory Authority   |                  |                  |                  |                  |                  |                  |
| Albany County Airport   | 3,512            | 3,510            | 3,510            | 3,510            | 3,512            | 3,508            |
| Thruway Authority:  |                  |                  |                  |                  |                  |                  |
| Consolidated Local Highway Improvement  | 246,075          | 161,335          | 306,244          | 333,274          | 360,432          | 387,723          |
| Dedicated Highway & Bridge  | 586,299          | 693,085          | 749,498          | 798,704          | 875,528          | 946,664          |
| Education   |                  |                  |                  |                  |                  |                  |
| Dormitory Authority:  |                  |                  |                  |                  |                  |                  |
| SUNY Educational Facilities   | 295,549          | 389,852          | 404,457          | 418,101          | 439,938          | 474,198          |
| SUNY Dormitory Facilities   | 40,015           | 51,481           | 62,483           | 66,987           | 68,520           | 70,602           |
| SUNY Upstate Community Colleges   | 34,117           | 40,401           | 42,451           | 45,153           | 47,856           | 50,188           |
| CUNY Educational Facilities   | 217,321          | 333,870          | 337,417          | 341,654          | 348,713          | 360,492          |
| State Education Department  | 7,917            | 7,570            | 7,551            | 7,552            | 7,549            | 7,549            |
| Library for the Blind   | 1,635            | 1,723            | 1,719            | 1,722            | 1,722            | 1,722            |
| SUNY Athletic Facilities  | 1,206            | 1,772            | 2,228            | 2,228            | 2,231            | 2,229            |
| RESCUE  | 8,998            | 19,929           | 21,285           | 21,291           | 21,287           | 21,288           |
| University Facilities (Jobs 2000)   | 170              | 5,422            | 6,427            | 6,538            | 6,542            | 6,541            |
| Judicial Training Institute   | 1,399            | 1,489            | 1,481            | 1,483            | 1,483            | 1,482            |
| School District Capital Outlays   | 785              | 13,112           | 13,109           | 13,111           | 13,112           | 13,112           |
| Health  |                  |                  |                  |                  |                  |                  |
| Dormitory Authority/DOH   | 36,084           | 36,068           | 35,364           | 35,368           | 35,367           | 35,368           |
| Mental Hygiene  |                  |                  |                  |                  |                  |                  |
| Dormitory Authority/MCFFA:  | 324,965          | 157,931          | 352,993          | 363,231          | 388,441          | 383,340          |
| Public Protection   |                  |                  |                  |                  |                  |                  |
| ESDC:   |                  |                  |                  |                  |                  |                  |
| Prison Facilities   | 167,835          | 233,481          | 292,216          | 329,666          | 339,108          | 348,651          |
| Youth Facilities  | 7,435            | 18,041           | 19,549           | 21,190           | 21,928           | 22,555           |
| Homeland Security   | 191              | 1,234            | 1,808            | 1,805            | 1,809            | 1,809            |
| Environment   |                  |                  |                  |                  |                  |                  |
| Environmental Facilities Corp/ERDA:   |                  |                  |                  |                  |                  |                  |
| Riverbank Park  | 4,842            | 4,835            | 4,839            | 4,837            | 4,836            | 4,837            |
| Water Pollution Control   | 25,593           | 15,659           | 47,717           | 43,350           | 40,171           | 30,674           |
| Pilgrim Sewage Treatment  | 695              | 685              | 663              | 737              | 806              | 768              |
| State Park Infrastructure   | 1,476            | 1,476            | 1,473            | 1,476            | 1,476            | 1,477            |
| Fuel Tanks  | 2,625            | 2,631            | 2,583            | 2,530            | 2,457            | 0                |
| Pipeline for Jobs (Jobs 2000)   | 1,521            | 1,906            | 3,104            | 3,069            | 3,066            | 3,064            |
| Environmental Infrastructure  | 0                | 9,454            | 20,816           | 30,351           | 43,045           | 60,430           |
| West Valley   | 14,749           | 16,453           | 18,333           | 12,009           | 9,570            | 5,132            |
| ESDC:   |                  |                  |                  |                  |                  |                  |
| Pine Barrens  | 1,281            | 1,282            | 1,280            | 1,281            | 1,280            | 1,282            |
| State Building/Equipment  |                  |                  |                  |                  |                  |                  |
| ESDC:   |                  |                  |                  |                  |                  |                  |
| Empire State Plaza  | 34,431           | 34,437           | 34,432           | 34,436           | 34,435           | 34,432           |
| State Buildings   | 20,557           | 20,663           | 20,778           | 20,826           | 20,482           | 18,468           |
| State Capital Projects  | 20,377           | 20,374           | 20,373           | 20,370           | 20,375           | 20,371           |
| ESDC/DA:  |                  |                  |                  |                  |                  |                  |
| State Buildings   | 6,815            | 11,204           | 15,773           | 16,310           | 16,315           | 16,400           |
| Certificates of Participation   | 101,107          | 56,660           | 33,008           | 62,705           | 96,081           | 108,204          |
| Housing   |                  |                  |                  |                  |                  |                  |
| Housing Finance Agency  | 73,962           | 82,612           | 116,309          | 124,815          | 129,506          | 132,926          |
| Economic Development  |                  |                  |                  |                  |                  |                  |
| Triborough Bridge and Tunnel Authority/Javits Center                          | 41,881           | 41,959           | 41,966           | 41,965           | 41,963           | 41,966           |
| ESDC/DA:  |                  |                  |                  |                  |                  |                  |
| University Technology Centers   | 20,059           | 20,343           | 20,340           | 20,340           | 19,416           | 19,417           |
| Onondaga Convention Center  | 3,767            | 3,863            | 3,866            | 3,869            | 3,866            | 3,863            |
| Sports Facilities   | 8,876            | 11,193           | 12,495           | 12,545           | 12,524           | 12,549           |
| Community Enhancement Facilities  | 36,814           | 50,193           | 68,046           | 67,867           | 38,665           | 23,096           |
| Natural Resource Preservation   | 5,284            | 5,399            | 5,408            | 5,430            | 0                | 0                |
| Child Care Facilities   | 2,397            | 2,600            | 2,600            | 2,599            | 2,603            | 2,601            |
| Buffalo Inner Harbor  | 0                | 0                | 3,536            | 7,080            | 6,945            | 6,945            |
| Strategic Investment Program  | 3,943            | 33,884           | 47,210           | 50,083           | 50,042           | 46,100           |
| Regional Econ. Dev. Programs  | 0                | 38,521           | 89,322           | 113,287          | 123,473          | 123,050          |
| JOBS Now  | 0                | 3,141            | 3,144            | 3,142            | 3,139            | 3,143            |
| Other State Purposes  |                  |                  |                  |                  |                  |                  |
| Debt Reduction  | 0                | 53,000           | 0                | 0                | 0                | 0                |
| Variable Rate and Other Savings Actions                                       | (50,000)         | (200,000)        | (25,000)         | (25,000)         | 0                | 0                |
| <b>Total Other Financing Arrangements</b>                                     | <b>2,375,245</b> | <b>2,639,850</b> | <b>3,441,297</b> | <b>3,659,977</b> | <b>3,876,703</b> | <b>4,025,304</b> |
| <b>TOTAL STATE-SUPPORTED DEBT SERVICE*</b>                                    | <b>3,192,137</b> | <b>3,418,319</b> | <b>4,254,151</b> | <b>4,475,754</b> | <b>4,743,950</b> | <b>4,898,536</b> |

\* Excludes bonds that were both legally and economically defeased.

# FINANCING PLAN

PROJECTED STATE-SUPPORTED BOND ISSUANCES  
2002-2003 THROUGH 2007-2008  
(thousands of dollars)

|   | 2002-2003        | 2003-2004        | 2004-2005        | 2005-2006        | 2006-2007        | 2007-2008        |
|---|------------------|------------------|------------------|------------------|------------------|------------------|
| <b>GENERAL OBLIGATION</b>   | 222,100          | 247,800          | 226,400          | 218,600          | 163,800          | 111,200          |
| <b>OTHER LEASE-PURCHASE AND CONTRACTUAL-OBLIGATION FINANCING ARRANGEMENTS</b> |                  |                  |                  |                  |                  |                  |
| Transportation  |                  |                  |                  |                  |                  |                  |
| Metropolitan Trans Authority  | 679,450          | 0                | 0                | 0                | 0                | 0                |
| Thruway Authority:  |                  |                  |                  |                  |                  |                  |
| Consolidated Local Highway Improvement  | 250,915          | 334,905          | 315,083          | 310,112          | 306,990          | 306,990          |
| Dedicated Highway & Bridge  | 919,346          | 1,022,701        | 928,490          | 861,544          | 902,342          | 975,867          |
| Education   |                  |                  |                  |                  |                  |                  |
| Dormitory Authority:  |                  |                  |                  |                  |                  |                  |
| SUNY Educational Facilities   | 264,240          | 25,518           | 77,520           | 374,340          | 359,040          | 313,140          |
| SUNY Dormitory Facilities   | 154,520          | 106,000          | 42,400           | 42,400           | 42,400           | 42,400           |
| SUNY Upstate Community Colleges   | 16,300           | 35,700           | 35,700           | 35,700           | 35,700           | 35,700           |
| CUNY Educational Facilities   | 155,475          | 0                | 102,000          | 175,440          | 222,972          | 222,972          |
| RESCUE  | 73,916           | 52,439           | 0                | 0                | 0                | 0                |
| University Facilities (Jobs 2000)   | 24,630           | 20,642           | 3,111            | 0                | 0                | 0                |
| School District Capital Outlays   | 94,449           | 0                | 0                | 0                | 0                | 0                |
| Mental Hygiene  |                  |                  |                  |                  |                  |                  |
| Dormitory Authority/MCFFA:  | 123,172          | 234,011          | 201,703          | 184,900          | 168,608          | 165,780          |
| Public Protection   |                  |                  |                  |                  |                  |                  |
| ESDC:   |                  |                  |                  |                  |                  |                  |
| Prison Facilities   | 466,690          | 191,760          | 191,760          | 191,760          | 191,760          | 191,760          |
| Youth Facilities  | 35,880           | 22,440           | 15,606           | 11,475           | 9,588            | 8,160            |
| Homeland Security   | 14,445           | 10,200           | 0                | 0                | 0                | 0                |
| Environment   |                  |                  |                  |                  |                  |                  |
| Environmental Facilities Corp/ERDA:   |                  |                  |                  |                  |                  |                  |
| Water Pollution Control   | 28,580           | 28,560           | 28,560           | 28,560           | 28,560           | 28,560           |
| Pipeline for Jobs (Jobs 2000)   | 3,060            | 8,670            | 0                | 0                | 0                | 0                |
| West Valley   | 13,525           | 13,515           | 0                | 0                | 0                | 0                |
| Environmental Infrastructure  | 118,370          | 130,560          | 30,600           | 61,200           | 112,200          | 163,200          |
| State Building/Equipment  |                  |                  |                  |                  |                  |                  |
| ESDC / DA   |                  |                  |                  |                  |                  |                  |
| State Facilities  | 58,260           | 80,282           | 9,690            | 0                | 0                | 0                |
| Certificates of Participation   | 0                | 66,624           | 102,000          | 102,000          | 102,000          | 102,000          |
| Housing   |                  |                  |                  |                  |                  |                  |
| Housing Finance Agency  | 237,660          | 104,499          | 101,439          | 100,164          | 100,164          | 100,164          |
| Economic Development  |                  |                  |                  |                  |                  |                  |
| ESDC/DA   |                  |                  |                  |                  |                  |                  |
| Sports Facilities   | 0                | 15,300           | 0                | 0                | 0                | 0                |
| Community Enhancement Facilities  | 51,460           | 71,342           | 0                | 0                | 0                | 0                |
| Buffalo Inner Harbor  | 0                | 25,500           | 25,500           | 0                | 0                | 0                |
| Strategic Investment Program  | 151,775          | 58,772           | 13,433           | 0                | 0                | 0                |
| Regional Econ. Dev. Programs  | 306,000          | 357,000          | 178,500          | 76,500           | 0                | 0                |
| JOBS Now  | 13,795           | 0                | 0                | 0                | 0                | 0                |
| <b>Total Other Financing Arrangements</b>                                     | <u>4,255,914</u> | <u>3,016,940</u> | <u>2,403,096</u> | <u>2,556,094</u> | <u>2,582,324</u> | <u>2,656,693</u> |
| <b>TOTAL STATE-SUPPORTED BOND ISSUANCES</b>                                   | <u>4,478,014</u> | <u>3,264,740</u> | <u>2,629,496</u> | <u>2,774,694</u> | <u>2,746,124</u> | <u>2,767,893</u> |

# FINANCING PLAN

**PROJECTED STATE-SUPPORTED DEBT RETIREMENTS**  
**2002-2003 THROUGH 2007-2008**  
(thousands of dollars)

|   | 2002-2003        | 2003-2004        | 2004-2005        | 2005-2006        | 2006-2007        | 2007-2008        |
|---|------------------|------------------|------------------|------------------|------------------|------------------|
| <b>GENERAL OBLIGATION</b>   | 390,399          | 345,623          | 328,845          | 329,553          | 342,334          | 343,977          |
| <b>LOCAL GOVERNMENT ASSISTANCE CORPORATION</b>                                | 93,555           | 99,140           | 135,260          | 143,087          | 133,446          | 139,109          |
| <b>OTHER LEASE-PURCHASE AND CONTRACTUAL-OBLIGATION FINANCING ARRANGEMENTS</b> |                  |                  |                  |                  |                  |                  |
| Transportation  |                  |                  |                  |                  |                  |                  |
| Metropolitan Trans Authority  | 0                | 0                | 41,280           | 42,995           | 44,975           | 47,135           |
| Dormitory Authority   |                  |                  |                  |                  |                  |                  |
| Albany County Airport   | 1,550            | 1,630            | 1,710            | 1,790            | 1,880            | 1,985            |
| Thruway Authority:  |                  |                  |                  |                  |                  |                  |
| Consolidated Local Highway Improvement  | 104,775          | 154,725          | 150,601          | 166,249          | 182,778          | 200,014          |
| Dedicated Highway & Bridge  | 312,410          | 358,255          | 433,088          | 470,168          | 494,470          | 575,775          |
| Education   |                  |                  |                  |                  |                  |                  |
| Dormitory Authority:  |                  |                  |                  |                  |                  |                  |
| SUNY Educational Facilities   | 126,582          | 126,014          | 152,468          | 161,252          | 162,747          | 165,254          |
| SUNY Dormitory Facilities   | 20,935           | 21,307           | 21,156           | 22,585           | 22,226           | 22,508           |
| SUNY Upstate Community Colleges   | 12,380           | 12,848           | 13,925           | 15,488           | 16,835           | 18,520           |
| CUNY Educational Facilities   | 121,427          | 122,367          | 128,908          | 138,763          | 148,735          | 156,746          |
| State Education Department  | 1,755            | 1,830            | 1,925            | 2,020            | 2,125            | 2,235            |
| Library for the Blind   | 620              | 640              | 670              | 705              | 740              | 775              |
| SUNY Athletic Facilities  | 0                | 0                | 930              | 965              | 1,005            | 1,050            |
| RESCUE  | 5,200            | 12,480           | 12,948           | 13,430           | 13,960           | 14,554           |
| University Facilities (Jobs 2000)   | 0                | 4,004            | 4,376            | 4,541            | 4,738            | 4,952            |
| Judicial Training Institute   | 510              | 535              | 560              | 585              | 615              | 645              |
| School District Capital Outlays   | 0                | 8,828            | 9,090            | 9,423            | 9,785            | 10,158           |
| Health  |                  |                  |                  |                  |                  |                  |
| Dormitory Authority/DOH   | 10,480           | 11,040           | 11,665           | 12,335           | 13,045           | 14,167           |
| Mental Hygiene  |                  |                  |                  |                  |                  |                  |
| Dormitory Authority/MCFFA:  | 139,387          | 62,413           | 175,885          | 171,426          | 172,068          | 178,018          |
| Public Protection   |                  |                  |                  |                  |                  |                  |
| ESDC:   |                  |                  |                  |                  |                  |                  |
| Prison Facilities   | 70,173           | 27,415           | 98,566           | 137,175          | 147,480          | 138,155          |
| Youth Facilities  | 7,645            | 7,430            | 11,023           | 17,523           | 14,119           | 16,336           |
| Homeland Security   | 0                | 445              | 880              | 903              | 937              | 970              |
| Environment   |                  |                  |                  |                  |                  |                  |
| Environmental Facilities Corp/ERDA:   |                  |                  |                  |                  |                  |                  |
| Riverbank Park  | 1,600            | 1,680            | 1,755            | 1,845            | 1,935            | 2,055            |
| Water Pollution Control   | 17,535           | 7,269            | 38,184           | 30,380           | 31,970           | 21,697           |
| Pilgrim Sewage Treatment  | 400              | 400              | 400              | 500              | 600              | 600              |
| State Park Infrastructure   | 820              | 865              | 910              | 965              | 1,020            | 1,080            |
| Fuel Tanks  | 2,350            | 2,400            | 2,455            | 2,510            | 2,550            | 0                |
| Pipeline for Jobs (Jobs 2000)   | 910              | 1,216            | 1,936            | 2,037            | 2,146            | 2,258            |
| Environmental Infrastructure  | 0                | 3,925            | 8,007            | 12,939           | 18,941           | 26,660           |
| West Valley   | 11,530           | 13,250           | 14,940           | 15,679           | 10,227           | 8,328            |
| ESDC:   |                  |                  |                  |                  |                  |                  |
| Pine Barrens  | 585              | 615              | 645              | 675              | 710              | 745              |
| State Building/Equipment  |                  |                  |                  |                  |                  |                  |
| ESDC:   |                  |                  |                  |                  |                  |                  |
| Empire State Plaza  | 11,762           | 10,804           | 9,988            | 9,088            | 8,394            | 7,752            |
| State Buildings   | 546              | 589              | 634              | 684              | 737              | 793              |
| State Capital Projects  | 7,035            | 7,480            | 7,945            | 8,440            | 8,965            | 9,530            |
| Housing   |                  |                  |                  |                  |                  |                  |
| Housing Finance Agency  | 31,326           | 27,489           | 55,509           | 60,075           | 61,320           | 61,016           |
| Economic Development  |                  |                  |                  |                  |                  |                  |
| Triborough Bridge and Tunnel Authority/Javits Center                          | 24,185           | 24,180           | 25,940           | 27,820           | 29,835           | 32,000           |
| ESDC/DA   |                  |                  |                  |                  |                  |                  |
| University Technology Centers   | 10,264           | 10,599           | 11,007           | 11,489           | 11,120           | 11,612           |
| Onondaga Convention Center  | 1,375            | 1,445            | 1,535            | 1,630            | 1,725            | 1,830            |
| Sports Facilities   | 4,135            | 4,395            | 5,141            | 5,440            | 5,895            | 6,227            |
| Community Enhancement Facilities  | 41,895           | 45,536           | 64,941           | 58,234           | 50,160           | 17,676           |
| Natural Resources Preservation  | 4,380            | 4,595            | 4,820            | 5,055            | 5,320            | 0                |
| Child Care Facilities   | 0                | 940              | 1,085            | 1,110            | 1,140            | 1,180            |
| Buffalo Inner Harbor  | 0                | 0                | 1,963            | 3,973            | 4,213            | 4,467            |
| Strategic Investment Program  | 3,640            | 28,357           | 40,179           | 44,091           | 45,788           | 43,655           |
| Regional Econ. Dev. Programs  | 0                | 24,215           | 52,925           | 69,081           | 78,580           | 83,040           |
| JOBS Now  | 0                | 2,555            | 2,640            | 2,740            | 2,860            | 3,000            |
| <b>Total Other Financing Arrangements</b>                                     | <u>1,225,597</u> | <u>1,231,995</u> | <u>1,664,795</u> | <u>1,832,753</u> | <u>1,939,501</u> | <u>2,027,074</u> |
| <b>TOTAL STATE-SUPPORTED RETIREMENTS</b>                                      | <u>1,709,551</u> | <u>1,676,758</u> | <u>2,128,900</u> | <u>2,305,393</u> | <u>2,415,281</u> | <u>2,510,160</u> |

\* Includes bonds that were both legally and economically defeased.

# FINANCING PLAN

**DEBT SERVICE FUNDS FINANCIAL PLAN**  
**PREPARED ON THE CASH BASIS OF ACCOUNTING**  
**2002-2003 THROUGH 2007-2008**  
(Thousands of Dollars )

|   | <u>2002-2003</u>   | <u>2003-2004</u>   | <u>2004-2005</u>   | <u>2005-2006</u>   | <u>2006-2007</u>   | <u>2007-2008</u>   |
|---|--------------------|--------------------|--------------------|--------------------|--------------------|--------------------|
| <b>Opening Fund Balances</b>              | 168,969            | 176,697            | 179,845            | 178,250            | 165,591            | 180,946            |
| <b>Receipts</b>                           |                    |                    |                    |                    |                    |                    |
| Taxes                                     | 6,858,100          | 7,643,800          | 8,061,600          | 8,597,200          | 9,225,500          | 9,890,900          |
| Miscellaneous Receipts                    | 626,381            | 701,650            | 649,576            | 658,236            | 662,116            | 679,445            |
| <b>Subtotal Receipts</b>                  | <u>7,484,481</u>   | <u>8,345,450</u>   | <u>8,711,176</u>   | <u>9,255,436</u>   | <u>9,887,616</u>   | <u>10,570,345</u>  |
| <b>Disbursements</b>                      |                    |                    |                    |                    |                    |                    |
| Debt Service                              | 3,091,029          | 3,361,993          | 4,244,883          | 4,472,547          | 4,743,221          | 4,898,518          |
| State Operations                          | 7,000              | 7,500              | 7,500              | 7,500              | 7,500              | 7,500              |
| <b>Subtotal Disbursements</b>             | <u>3,098,029</u>   | <u>3,369,493</u>   | <u>4,252,383</u>   | <u>4,480,047</u>   | <u>4,750,721</u>   | <u>4,906,018</u>   |
| <b>Other Financing Sources (Uses)</b>     |                    |                    |                    |                    |                    |                    |
| Transfers From Other Funds                | 4,584,945          | 4,831,016          | 5,279,770          | 5,358,211          | 5,500,339          | 5,590,292          |
| Transfers To Other Funds                  | (8,963,669)        | (9,803,825)        | (9,740,158)        | (10,146,259)       | (10,621,879)       | (11,239,671)       |
| <b>Net Other Financing Sources (Uses)</b> | <u>(4,378,724)</u> | <u>(4,972,809)</u> | <u>(4,460,388)</u> | <u>(4,788,048)</u> | <u>(5,121,540)</u> | <u>(5,649,379)</u> |
| <b>Changes in Fund Balances</b>           | <u>7,728</u>       | <u>3,148</u>       | <u>(1,595)</u>     | <u>(12,659)</u>    | <u>15,355</u>      | <u>14,948</u>      |
| <b>Closing Fund Balances</b>              | <u>176,697</u>     | <u>179,845</u>     | <u>178,250</u>     | <u>165,591</u>     | <u>180,946</u>     | <u>195,894</u>     |

**CAPITAL PROGRAM**

This section provides a narrative description of the programmatic objectives of agencies over the Five-Year Capital Plan. These agency narratives also highlight accomplishments, new initiatives, and long-term financial requirements.

The accompanying tables provide five years of appropriation, commitment and disbursement projections for each program. Commitment levels in these tables reflect the value of contracts expected to be entered into by each agency in a given year. Each agency narrative compares the Plan's recommended commitment levels with last year's levels. The reappropriation projections reflect the unexpended balance of the original appropriation, and any unused amounts continue to be shown until the project is completed.

This section also includes summary schedules of disbursements, which aggregate the information presented in the individual agency tables. These summary tables eliminate transactions which simply move monies from one fund to another and, therefore, reflect only projections of disbursements for capital projects. This adjustment provides comparability between the Plan's summary of disbursements and the State's Financial Plan.

This section of the Plan is organized programmatically. Each program area begins with a functional overview, followed by each agency's narrative and financial summary tables. The programmatic areas are transportation, environment and recreation, public protection, education, mental hygiene, housing and other.

All State agencies and authorities with State-supported capital programs have capital maintenance systems. Agencies are required to develop five-year maintenance plans, which include an assessment of assets with a replacement value of at least \$5 million, and that reflect an asset's age, condition, condition goals, maintenance activities, and remaining useful life. In addition, every five years, agencies are also required to perform an independent evaluation of their maintenance plans to ensure that the recommended maintenance activities are consistent with current capital needs.

The capital maintenance plan summaries are included in the agency narratives, since the maintenance plans are a critical part of an agency's five-year capital plan. The appropriations reflected in each agency's five-year capital plan reflect a needs-assessment, which will continue to be refined as an agency implements an asset maintenance system.

# ***CAPITAL PROGRAM PLAN***

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## ***TRANSPORTATION***

New York's diverse transportation system plays a crucial role in our economy. The State's 239,000 lane miles of roads, 19,500 bridges, 4,000 railroad miles, 147 public use airports, 12 major ports and over 70 mass transit systems are among our most valuable resources. These important assets are managed and maintained by a network of State agencies, public authorities, local governments and private entities.

The Executive Budget capital plan includes \$14.5 billion for 2003-04 through 2007-08 that will improve our transportation facilities and spur our economy with job-producing investments. Additional funds are also included for projects that will repair and reconstruct facilities damaged in the September 11 attack on the World Trade Center. State support of the capital program of the Metropolitan Transportation Authority (MTA) will total more than \$2.5 billion through the Aid to Localities budget during the plan period.

### ***DEPARTMENT OF TRANSPORTATION***

The Department of Transportation is primarily responsible for maintaining and rehabilitating the State's system of highways and bridges, which includes over 40,000 State highway lane miles and over 7,500 bridges. Private contractors perform all major construction and repair work, while DOT provides seasonal maintenance and repair. The Department also oversees and funds programs that help defray local capital expenses associated with road and bridge projects, including the Consolidated Highway Improvement Program (CHIPS) and the Marchiselli Program.

The 2003-04 through 2007-08 Capital Program Plan assumes highway and bridge construction levels totaling \$1.65 billion in each year of the Plan period. This reflects an annual reduction of \$100 million from previously planned levels. Supporting this construction level, the Plan also provides for engineering, planning and program management costs of more than \$550 million annually, reflecting an average annual reduction of approximately \$70 million.

The Capital Program Plan also provides:

- More than \$1.3 billion for local capital programs, including the CHIPS and Marchiselli programs;
- \$20 million annually for a rail freight and passenger program that will preserve and improve the State's rail system;
- \$9 million annually for the Industrial Access Program which promotes job creation and retention by encouraging business expansion with highway, rail and port projects;
- \$31 million annually for DOT maintenance facilities and equipment; and
- \$8 million annually to help local and State airports match Federal aviation aid.

Preventive maintenance continues to be a key component of the DOT's activities. Since preventive activities extend the life of a road or bridge, they are more cost-effective in the long run than major reconstruction. For highways, the goal of keeping water and other materials away from the base of the highway is accomplished through activities such as crack sealing, pothole repair, joint repair and drainage repair. Painting, washing, joint repair and maintaining drainage are key elements to extending the life of State bridges. A total of \$1.9 billion will be available for the planned preventive maintenance activities over the next five years.

The Department's maintenance activities are supported by 313 sites around the State which encompass over 700 building types, including 60 maintenance headquarters, 125 maintenance sub-headquarters, 236 salt storage areas, 34 bridge crew facilities, two special

## ***CAPITAL PROGRAM PLAN***

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crew facilities, a sign shop and 70 other storage and reload sites. The average age of the infrastructure is over 30 years. The total size of the infrastructure is approximately four million gross square feet.

The Department's maintenance facilities plan consists of an annual review of its overall needs and a prioritization of its projects. The program goal is to upgrade and repair its infrastructure based on evaluation of the condition, proposed use and corresponding health, safety and environmental concerns.

The Executive Budget enhances the revenue flow into the Dedicated Highway and Bridge Trust Fund in order to maintain the revenue-to-debt-service coverage ratio that is required to sell bonds for the highway program. In addition to revenues previously dedicated to the Trust Fund, the Executive Budget will move approximately \$50 million of transportation-related revenues and expenses from the General Fund to the Trust Fund in 2003-04 and \$190 million in 2004-05. The revenues include certain Department of Motor Vehicle (DMV) fee revenues and a portion of the State's taxes on transportation and transmission companies. The expenses include operating expenses of DOT and DMV.

### ***TRANSIT PROGRAMS***

Mass transportation systems play an essential role in the State's economic and social networks. More than 25 percent of workers in New York State travel to work via mass transportation. Mass transit systems also alleviate ill effects on air quality by relieving traffic congestion.

The Capital Program will provide \$2.7 billion of State support for the capital programs of transit systems throughout New York. This State assistance includes:

- Over \$2.5 billion of State funding for the MTA capital program, to be provided to the Authority via Aid-to-Localities appropriations from the Dedicated Mass Transportation Trust Fund; and
- More than \$157 million of State aid for the capital programs of other transit systems throughout the State, to be used for bus acquisitions, maintenance facility improvements and other projects. In addition, a portion of the non-MTA transit dedicated fund resources will be used to enhance operating aid for these systems.

### ***DEPARTMENT OF MOTOR VEHICLES***

The Department of Motor Vehicles issues driver's licenses and vehicle registrations, promotes highway safety, and collects revenues used for transportation purposes, including capital projects. The five-year plan recommends funding \$718.6 million of the Department's transportation-related cash expenses from the Dedicated Highway and Bridge Trust Fund.

### ***CANALS***

The New York State Canal Corporation maintains, operates, develops and makes capital improvements to the 524-mile navigable waterway which includes 57 locks, numerous dams, reservoirs and water control structures. Revenues from canal tolls and other user fees are deposited into the Canal System Development Fund and, in accordance with the State Constitution, are used exclusively for the canals. Maintenance on the canals is conducted on an ongoing basis to ensure that canal facilities operate properly and that public safety is maintained.

# CAPITAL PROGRAM PLAN

**TRANSPORTATION, DEPARTMENT OF  
SUMMARY OF  
PROJECTED APPROPRIATIONS, COMMITMENTS, AND DISBURSEMENTS  
2003-2004 THROUGH 2007-2008  
(thousands of dollars)**

| Program Summary  | APPROPRIATIONS        |                  |                  |                  |                  |                  | Total<br>2003-2008 |
|--|-----------------------|------------------|------------------|------------------|------------------|------------------|--------------------|
|  | Reappro-<br>priations | 2003-2004        | 2004-2005        | 2005-2006        | 2006-2007        | 2007-2008        |                    |
| Aviation   | 74,771                | 8,000            | 8,000            | 8,000            | 8,000            | 8,000            | 40,000             |
| Highway Facilities   | 9,114,312             | 3,264,121        | 3,267,079        | 3,176,464        | 3,194,095        | 3,205,684        | 16,107,443         |
| Maintenance Facilities                                       | 53,818                | 31,000           | 31,000           | 31,000           | 31,000           | 31,000           | 155,000            |
| Mass Transportation and Rail Freight                         | 254,922               | 69,115           | 69,815           | 69,815           | 69,815           | 69,815           | 348,375            |
| Ports and Waterways  | 1,496                 | 0                | 0                | 0                | 0                | 0                | 0                  |
| <b>Total</b>   | <b>9,499,319</b>      | <b>3,372,236</b> | <b>3,375,894</b> | <b>3,285,279</b> | <b>3,302,910</b> | <b>3,314,499</b> | <b>16,650,818</b>  |
| <b>Fund Summary</b>  |                       |                  |                  |                  |                  |                  |                    |
| Capital Projects Fund - A.C. and T.I. Fund<br>(Bondable)     | 69,478                | 0                | 0                | 0                | 0                | 0                | 0                  |
| Capital Projects Fund - Advances                             | 22,777                | 0                | 0                | 0                | 0                | 0                | 0                  |
| Capital Projects Fund - Aviation (Bondable)                  | 4,097                 | 0                | 0                | 0                | 0                | 0                | 0                  |
| Capital Projects Fund - Energy Conservation<br>(Bondable)    | 2,036                 | 0                | 0                | 0                | 0                | 0                | 0                  |
| Capital Projects Fund - Infrastructure Renewal<br>(Bondable) | 45,617                | 0                | 0                | 0                | 0                | 0                | 0                  |
| Dedicated Highway and Bridge Trust Fund                      | 3,139,228             | 1,565,809        | 1,563,515        | 1,472,900        | 1,490,531        | 1,502,120        | 7,594,875          |
| Dedicated Mass Transportation Fund                           | 157,433               | 49,115           | 49,815           | 49,815           | 49,815           | 49,815           | 248,375            |
| Engineering Services Fund                                    | 859,620               | 0                | 0                | 0                | 0                | 0                | 0                  |
| Federal Capital Projects Fund                                | 5,018,377             | 1,697,000        | 1,700,000        | 1,700,000        | 1,700,000        | 1,700,000        | 8,497,000          |
| Miscellaneous New York State Agency Fund                     | 136,400               | 50,000           | 52,000           | 52,000           | 52,000           | 52,000           | 258,000            |
| NY Metro Transportation Council Account                      | 23,044                | 10,312           | 10,564           | 10,564           | 10,564           | 10,564           | 52,568             |
| Regional Aviation Fund                                       | 21,212                | 0                | 0                | 0                | 0                | 0                | 0                  |
| <b>Total</b>   | <b>9,499,319</b>      | <b>3,372,236</b> | <b>3,375,894</b> | <b>3,285,279</b> | <b>3,302,910</b> | <b>3,314,499</b> | <b>16,650,818</b>  |

| Program Summary                          | COMMITMENTS      |                  |                  |                  |                  |
|--|------------------|------------------|------------------|------------------|------------------|
|  | 2003-2004        | 2004-2005        | 2005-2006        | 2006-2007        | 2007-2008        |
| Aviation                                 | 8,000            | 8,000            | 8,000            | 8,000            | 8,000            |
| Highway Facilities                       | 3,252,974        | 3,250,707        | 3,160,092        | 3,177,723        | 3,189,312        |
| Maintenance Facilities                   | 31,000           | 31,000           | 31,000           | 31,000           | 31,000           |
| Mass Transportation and Rail Freight     | 67,815           | 69,815           | 69,815           | 69,815           | 69,815           |
| <b>Total</b>                             | <b>3,359,789</b> | <b>3,359,522</b> | <b>3,268,907</b> | <b>3,286,538</b> | <b>3,298,127</b> |
| <b>Fund Summary</b>                      |                  |                  |                  |                  |                  |
| Dedicated Highway and Bridge Trust Fund  | 1,554,662        | 1,547,143        | 1,456,528        | 1,474,159        | 1,485,748        |
| Dedicated Mass Transportation Fund       | 47,815           | 49,815           | 49,815           | 49,815           | 49,815           |
| Federal Capital Projects Fund            | 1,697,000        | 1,700,000        | 1,700,000        | 1,700,000        | 1,700,000        |
| Miscellaneous New York State Agency Fund | 50,000           | 52,000           | 52,000           | 52,000           | 52,000           |
| NY Metro Transportation Council Account  | 10,312           | 10,564           | 10,564           | 10,564           | 10,564           |
| <b>Total</b>                             | <b>3,359,789</b> | <b>3,359,522</b> | <b>3,268,907</b> | <b>3,286,538</b> | <b>3,298,127</b> |

| Program Summary  | Estimated<br>2002-2003 | DISBURSEMENTS    |                  |                  |                  |                  | Total<br>2003-2008 |
|--|------------------------|------------------|------------------|------------------|------------------|------------------|--------------------|
|  |                        | 2003-2004        | 2004-2005        | 2005-2006        | 2006-2007        | 2007-2008        |                    |
| Aviation   | 17,135                 | 20,338           | 9,239            | 7,600            | 20,800           | 1,400            | 59,377             |
| Highway Facilities   | 3,503,968              | 3,269,926        | 3,250,697        | 3,086,273        | 2,964,772        | 3,083,801        | 15,655,469         |
| Maintenance Facilities                                       | 25,184                 | 27,544           | 26,400           | 28,824           | 59,801           | 13,700           | 156,269            |
| Mass Transportation and Rail Freight                         | 50,847                 | 64,203           | 61,194           | 77,691           | 118,817          | 59,486           | 381,391            |
| <b>Total</b>   | <b>3,597,134</b>       | <b>3,382,011</b> | <b>3,347,530</b> | <b>3,200,388</b> | <b>3,164,190</b> | <b>3,158,387</b> | <b>16,252,506</b>  |
| <b>Fund Summary</b>  |                        |                  |                  |                  |                  |                  |                    |
| Capital Projects Fund - A.C. and T.I. Fund<br>(Bondable)     | 12,000                 | 10,000           | 8,000            | 6,000            | 4,000            | 2,000            | 30,000             |
| Capital Projects Fund - Advances                             | 500                    | 500              | 500              | 500              | 500              | 500              | 2,500              |
| Capital Projects Fund - Aviation (Bondable)                  | 800                    | 400              | 400              | 400              | 400              | 400              | 2,000              |
| Capital Projects Fund - Energy Conservation<br>(Bondable)    | 200                    | 200              | 200              | 200              | 200              | 200              | 1,000              |
| Capital Projects Fund - Infrastructure Renewal<br>(Bondable) | 5,000                  | 5,000            | 5,000            | 5,000            | 5,000            | 5,000            | 25,000             |
| Dedicated Highway and Bridge Trust Fund                      | 1,647,609              | 1,724,107        | 1,703,034        | 1,547,035        | 1,499,742        | 1,497,003        | 7,970,921          |
| Dedicated Mass Transportation Fund                           | 42,100                 | 45,908           | 46,917           | 49,485           | 50,400           | 52,286           | 244,996            |
| Engineering Services Fund                                    | 624,927                | 219,086          | 80,528           | 30,303           | 15,420           | 6,360            | 351,697            |
| Federal Capital Projects Fund                                | 1,246,335              | 1,358,696        | 1,491,690        | 1,550,056        | 1,578,121        | 1,584,231        | 7,562,794          |
| NY Metro Transportation Council Account                      | 11,663                 | 13,057           | 11,261           | 11,409           | 10,407           | 10,407           | 56,541             |
| Regional Aviation Fund                                       | 6,000                  | 5,057            | 0                | 0                | 0                | 0                | 5,057              |
| <b>Total</b>   | <b>3,597,134</b>       | <b>3,382,011</b> | <b>3,347,530</b> | <b>3,200,388</b> | <b>3,164,190</b> | <b>3,158,387</b> | <b>16,252,506</b>  |

# CAPITAL PROGRAM PLAN

**THRUWAY AUTHORITY, NEW YORK STATE  
SUMMARY OF  
PROJECTED APPROPRIATIONS, COMMITMENTS, AND DISBURSEMENTS  
2003-2004 THROUGH 2007-2008  
(thousands of dollars)**

| <b>APPROPRIATIONS</b>                        |                                |                  |                  |                  |                  |                  |                            |
|--|--------------------------------|------------------|------------------|------------------|------------------|------------------|----------------------------|
|  | <b>Reappro-<br/>priations</b>  | <b>2003-2004</b> | <b>2004-2005</b> | <b>2005-2006</b> | <b>2006-2007</b> | <b>2007-2008</b> | <b>Total<br/>2003-2008</b> |
| <b>Program Summary</b>                       |                                |                  |                  |                  |                  |                  |                            |
| Canal Development Program                    | 1,631                          | 2,000            | 2,000            | 2,000            | 2,000            | 2,000            | 10,000                     |
| Total  | 1,631                          | 2,000            | 2,000            | 2,000            | 2,000            | 2,000            | 10,000                     |
| <b>Fund Summary</b>                          |                                |                  |                  |                  |                  |                  |                            |
| New York State Canal System Development Fund | 1,631                          | 2,000            | 2,000            | 2,000            | 2,000            | 2,000            | 10,000                     |
| Total  | 1,631                          | 2,000            | 2,000            | 2,000            | 2,000            | 2,000            | 10,000                     |
| <b>COMMITMENTS</b>                           |                                |                  |                  |                  |                  |                  |                            |
|  | <b>2003-2004</b>               | <b>2004-2005</b> | <b>2005-2006</b> | <b>2006-2007</b> | <b>2007-2008</b> |                  |                            |
| <b>Program Summary</b>                       |                                |                  |                  |                  |                  |                  |                            |
| Canal Development Program                    | 2,000                          | 2,000            | 2,000            | 2,000            | 2,000            |                  |                            |
| Total  | 2,000                          | 2,000            | 2,000            | 2,000            | 2,000            |                  |                            |
| <b>Fund Summary</b>                          |                                |                  |                  |                  |                  |                  |                            |
| New York State Canal System Development Fund | 2,000                          | 2,000            | 2,000            | 2,000            | 2,000            |                  |                            |
| Total  | 2,000                          | 2,000            | 2,000            | 2,000            | 2,000            |                  |                            |
| <b>DISBURSEMENTS</b>                         |                                |                  |                  |                  |                  |                  |                            |
|  | <b>Estimated<br/>2002-2003</b> | <b>2003-2004</b> | <b>2004-2005</b> | <b>2005-2006</b> | <b>2006-2007</b> | <b>2007-2008</b> | <b>Total<br/>2003-2008</b> |
| <b>Program Summary</b>                       |                                |                  |                  |                  |                  |                  |                            |
| Canal Development Program                    | 2,000                          | 2,000            | 2,000            | 2,000            | 2,000            | 2,000            | 10,000                     |
| Total  | 2,000                          | 2,000            | 2,000            | 2,000            | 2,000            | 2,000            | 10,000                     |
| <b>Fund Summary</b>                          |                                |                  |                  |                  |                  |                  |                            |
| New York State Canal System Development Fund | 2,000                          | 2,000            | 2,000            | 2,000            | 2,000            | 2,000            | 10,000                     |
| Total  | 2,000                          | 2,000            | 2,000            | 2,000            | 2,000            | 2,000            | 10,000                     |

# ***CAPITAL PROGRAM PLAN***

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**METROPOLITAN TRANSPORTATION AUTHORITY**  
**SUMMARY OF**  
**PROJECTED APPROPRIATIONS, COMMITMENTS, AND DISBURSEMENTS**  
**2003-2004 THROUGH 2007-2008**  
 (thousands of dollars)

|                                       | APPROPRIATIONS        |           |           |           |           | Total<br>2003-2008 |
|---------------------------------------|-----------------------|-----------|-----------|-----------|-----------|--------------------|
|                                       | Reapprop-<br>riations | 2003-2004 | 2004-2005 | 2005-2006 | 2006-2007 |                    |
| <hr/>                                 |                       |           |           |           |           |                    |
| Program Summary                       |                       |           |           |           |           |                    |
| Metropolitan Transportation Authority | 36,000                | 0         | 0         | 0         | 0         | 0                  |
| Total                                 | 36,000                | 0         | 0         | 0         | 0         | 0                  |
| <hr/>                                 |                       |           |           |           |           |                    |
| Fund Summary                          |                       |           |           |           |           |                    |
| Capital Projects Fund - Advances      | 36,000                | 0         | 0         | 0         | 0         | 0                  |
| Total                                 | 36,000                | 0         | 0         | 0         | 0         | 0                  |

# CAPITAL PROGRAM PLAN

**MOTOR VEHICLES, DEPARTMENT OF  
SUMMARY OF  
PROJECTED APPROPRIATIONS, COMMITMENTS, AND DISBURSEMENTS  
2003-2004 THROUGH 2007-2008  
(thousands of dollars)**

| <b>APPROPRIATIONS</b>                   |                                |                  |                  |                  |                  |                  |                            |
|---|--------------------------------|------------------|------------------|------------------|------------------|------------------|----------------------------|
|   | <b>Reappro-<br/>priations</b>  | <b>2003-2004</b> | <b>2004-2005</b> | <b>2005-2006</b> | <b>2006-2007</b> | <b>2007-2008</b> | <b>Total<br/>2003-2008</b> |
| <b>Program Summary</b>                  |                                |                  |                  |                  |                  |                  |                            |
| Transportation Support                  | 0                              | 120,468          | 141,900          | 160,100          | 155,400          | 154,100          | 731,968                    |
| Total                                   | 0                              | 120,468          | 141,900          | 160,100          | 155,400          | 154,100          | 731,968                    |
| <b>Fund Summary</b>                     |                                |                  |                  |                  |                  |                  |                            |
| Dedicated Highway and Bridge Trust Fund | 0                              | 120,468          | 141,900          | 160,100          | 155,400          | 154,100          | 731,968                    |
| Total                                   | 0                              | 120,468          | 141,900          | 160,100          | 155,400          | 154,100          | 731,968                    |
| <b>COMMITMENTS</b>                      |                                |                  |                  |                  |                  |                  |                            |
|   |                                | <b>2003-2004</b> | <b>2004-2005</b> | <b>2005-2006</b> | <b>2006-2007</b> | <b>2007-2008</b> |                            |
| <b>Program Summary</b>                  |                                |                  |                  |                  |                  |                  |                            |
| Transportation Support                  |                                | 120,468          | 141,900          | 160,100          | 155,400          | 154,100          |                            |
| Total                                   |                                | 120,468          | 141,900          | 160,100          | 155,400          | 154,100          |                            |
| <b>Fund Summary</b>                     |                                |                  |                  |                  |                  |                  |                            |
| Dedicated Highway and Bridge Trust Fund |                                | 120,468          | 141,900          | 160,100          | 155,400          | 154,100          |                            |
| Total                                   |                                | 120,468          | 141,900          | 160,100          | 155,400          | 154,100          |                            |
| <b>DISBURSEMENTS</b>                    |                                |                  |                  |                  |                  |                  |                            |
|   | <b>Estimated<br/>2002-2003</b> | <b>2003-2004</b> | <b>2004-2005</b> | <b>2005-2006</b> | <b>2006-2007</b> | <b>2007-2008</b> | <b>Total<br/>2003-2008</b> |
| <b>Program Summary</b>                  |                                |                  |                  |                  |                  |                  |                            |
| Transportation Support                  | 14,788                         | 116,401          | 138,902          | 157,766          | 153,440          | 152,104          | 718,613                    |
| Total                                   | 14,788                         | 116,401          | 138,902          | 157,766          | 153,440          | 152,104          | 718,613                    |
| <b>Fund Summary</b>                     |                                |                  |                  |                  |                  |                  |                            |
| Dedicated Highway and Bridge Trust Fund | 14,788                         | 116,401          | 138,902          | 157,766          | 153,440          | 152,104          | 718,613                    |
| Total                                   | 14,788                         | 116,401          | 138,902          | 157,766          | 153,440          | 152,104          | 718,613                    |

## ***CAPITAL PROGRAM PLAN***

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### ***ENVIRONMENT AND RECREATION***

The Department of Environmental Conservation (DEC) and the Office of Parks, Recreation and Historic Preservation (OPRHP) are the agencies responsible for preserving and protecting the State's extensive environmental, historic and cultural resources and providing recreational opportunities for its citizens. Each agency is responsible for the development and maintenance of a wide array of capital facilities.

A major focus of DEC over the next five years will be the continued clean up of environmental hazards under both the 1986 Environmental Quality Bond Act as well as the Governor's proposed Superfund Refinancing bill. Additionally, both DEC and OPRHP will continue to implement the Clean Water/Clean Air (CWCA) Bond Act, proposed by the Governor, and endorsed by the voters in November 1996. The Bond Act authorized a total of \$1.75 billion for projects vital to the State's environmental and economic health.

#### ***DEPARTMENT OF ENVIRONMENTAL CONSERVATION***

The Department of Environmental Conservation (DEC) is charged with protecting the State's natural resources. Department responsibilities include cleaning up solid and hazardous waste disposal sites, enforcing air and water quality standards, maintaining hundreds of flood and coastal erosion projects, and stewardship of approximately four million acres of State land. The Department also provides safe opportunities for outdoor recreation including hunting, fishing, camping, hiking and other activities. DEC manages hundreds of facilities including dams, boat launch sites, campgrounds, fish hatcheries, wildlife management areas and a ski area.

DEC's capital program enhances and maintains the infrastructure necessary to provide a safe environment, and an estimated \$654 million in capital disbursements will support these activities in 2003-04. DEC's Capital Plan directs resources to projects to ensure compliance with health and safety requirements and State and Federal environmental mandates. In 2003-04, new General Fund appropriations of \$29.6 million are recommended to address these needs, and to maintain and upgrade campgrounds, environmental centers and camps, fish hatcheries and other Department-owned buildings and facilities, maintain flood control structures, and fund shore protection projects for communities threatened by coastal erosion. Recommendations also include \$10 million for remediation of Onondaga Lake.

The 2003-04 Executive Budget recommends new disbursements totaling \$142 million from the 1996 Clean Water Clean Air Bond Act (CWCA) for projects to be administered by DEC. Another \$30 million is planned to be disbursed by the Department of Health for the Safe Drinking Water Program. The CWCA Bond Act funds such important activities as: water quality improvement projects, landfill closure and recycling projects, brownfields projects, safe drinking water projects and air quality improvement projects. The total authorization of \$1.75 billion has been made available from the Bond Act.

Another key element of DEC's capital program is the Environmental Protection Fund (EPF), a dedicated fund supported by revenues of approximately \$125 million annually. The Executive Budget includes new appropriations of \$125 million for 2003-04 to fund a host of critical environmental and recreational activities including: recycling; waterfront revitalization projects; non-point source water pollution control; farmland preservation; open space land acquisition; Hudson River Estuary Management and municipal parks projects; the Hudson River Park project; the restoration and preservation of historic barns; and stewardship projects on State-owned parks and lands. Additional EPF appropriations of \$500 million through 2007-08 will continue funding these important activities.

## ***CAPITAL PROGRAM PLAN***

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The Department's Capital Plan also fully supports the Governor's State Superfund Refinancing Bill that provides for funding of \$138 million — consisting of \$105 million for the State Superfund and Voluntary Cleanup programs, and \$33 million for the Oil Spill Program. This program will be funded equally by the State and industry, and will maintain the most stringent environmental and public health standards in the nation. The new State Superfund is scheduled to begin in 2003, since the existing 1986 Environmental Quality Bond Act hazardous waste funds of \$1.1 billion are fully committed.

In 2003-04, the level of contract commitments projected in the Department's capital plan is \$494.1 million. This is consistent with the completion of appropriations for the CWCA Bond Act which was fully authorized in 2002-03. Future year commitments are also consistent with appropriation levels recommended over the next five years.

The Department's capital maintenance plan focuses on preservation and preventive maintenance at its various lands, facilities and other structures. The Department manages a vast array of assets that vary in age, condition and useful life, including: approximately four million acres of land; 260 boat launching and fishing access sites; 100 flood control structures; 52 campgrounds; 12 fish hatcheries; one game farm; four environmental education camps; five environmental education centers; one tree nursery; and the Belleayre Mountain ski center. The Department has recently developed a computerized maintenance management system to facilitate planning and preventive maintenance for these extensive resources.

### ***OFFICE OF PARKS, RECREATION AND HISTORIC PRESERVATION***

The Office of Parks, Recreation and Historic Preservation operates 167 State parks and 35 historic sites that provide a place for visitors to relax and learn about New York's natural, historic and recreational treasures. More than 60 million people visit the State parks each year.

The State's park system is one of the oldest and best developed in the nation, featuring 27 golf courses, 76 developed beaches, 53 swimming pools, and more than 5,000 buildings. Since the majority of facilities at State parks were built more than 50 years ago, a primary component of the capital program is devoted to maintenance and rehabilitation.

For 2003-04, the capital plan supports approximately \$22.2 million in capital disbursements from various sources. For new appropriations, \$29.6 million is recommended for capital projects from the State Park Infrastructure Fund (SPIF), a dedicated fund consisting of revenues generated from day use and camping fees at the parks, as well as other miscellaneous revenues. Support is also provided for the Office's capital program from Fiduciary funds and Federal resources. In addition, funding will be available from the Environmental Protection Fund to improve park facilities and protect the fragile natural resources at State parks. These funds are included in the Department of Environmental conservation capital budget.

The Office's five-year capital plan reflects the priority needs of the various parks and historic sites. A total of \$90 million, mainly from SPIF, is planned to be spent on projects to improve health and safety and preserve facilities, and includes actions to:

- Restore historic sites;
- Rehabilitate park utility, sanitary, and water systems;
- Improve selected roads and bridges;
- Upgrade public comfort stations and campground wash houses;
- Maintain and improve park buildings, cabins and pool facilities; and
- Develop newly acquired park lands.

## ***CAPITAL PROGRAM PLAN***

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The Office's capital maintenance plan for 2003-04 concentrates investments in preservation and protection of its many facilities. The Office's assets consist of approximately 5,000 buildings which vary in age, condition and useful life including: historic buildings, offices, cabins, comfort stations, maintenance/storage buildings, restaurants, visitor/nature centers, pump houses and toll booths. The Office plans to focus its 2003-04 maintenance efforts primarily on site restoration, roof repair, and exterior construction projects.

Ongoing redevelopment of the Niagara Reservation will continue with the opening of facilities initiated in 2002-03, including improved restroom facilities, enhanced handicap accessibility and the historic restoration of Goat Island.

The level of contract commitments projected in OPRHP's capital plan is approximately \$37 million in 2003-04. Future year commitments reflect projected activity from both new appropriations and prior year appropriations.

### ***ENVIRONMENTAL FACILITIES CORPORATION***

The Environmental Facilities Corporation (EFC) is charged with helping local governments, State agencies and private industry comply with State and Federal environmental laws. EFC responsibilities include administering the Clean Water (CWSRF) and Drinking Water (DWSRF) State Revolving Funds; assisting New York businesses finance environmental projects through the Industrial Finance Program (IFP); and helping municipalities, State agencies, and businesses comply with environmental laws and regulations through the Technical Advisory Services (TAS) program, the Financial Assistance to Business (FAB) program and the Pipeline for Jobs program.

EFC, in conjunction with the Department of Environmental Conservation (DEC), administers low-interest financings to recipients for water pollution control facilities via the CWSRF. As of December 9, 2002, the CWSRF has made 1,016 loans for approximately \$7.8 billion to 415 recipients across the State. The Capital Plan for DEC estimates commitments of \$850 million from Federal and State funds for the CWSRF over five years.

The Drinking Water State Revolving Fund is a program administered by EFC, in conjunction with the Department of Health (DOH), that provides low-interest financings, including grants, to publicly- and privately-owned community water systems and to nonprofit, non-community water systems for the construction of eligible safe drinking water projects. The DWSRF has made 258 loans, 66 State Assistance Payments and 30 Federal Assistance Payments worth approximately \$856 million to 204 recipients across the State as of December 9, 2002. DOH's Five-Year Capital Plan anticipates commitments for the DWSRF of \$485 million in Federal and State funding, including \$30 million from the 1996 CWCA Bond Act.

In addition to appropriations to finance costs related to the 1996 Clean Water/Clean Air Bond Act, EFC's Capital Program includes the reappropriation of \$11.4 million for the Pipeline for Jobs program with commitments through 2003-04. This program was created to provide recipients with financial assistance for the planning, design and construction of eligible projects that are intended to create, improve, or extend water supply facilities for economic development.

### ***HUDSON RIVER PARK TRUST***

The Hudson River Park Trust (the Trust) is responsible for designing, developing, constructing, and maintaining the 550 acre Hudson River Park, which will extend five miles along the Hudson River waterfront from Battery Park City to 59th Street. During 2003-04, the

## ***CAPITAL PROGRAM PLAN***

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Trust will continue to refine the framework and scope of the Hudson River Park, develop detailed cost estimates, explore alternative sources of funding and continue to oversee project design and construction.

The 2003-04 Executive Budget recommends \$31 million in new appropriations for the Trust for capital costs associated with the planning, design and construction of Park projects. Specifically, \$15 million is provided for Park development from the Environmental Protection Fund (EPF) within the Department of Environmental Conservation (DEC). In addition, the Budget provides a State-funded advance appropriation of \$16 million, which will be repaid by New York City as part of its share of Hudson River Park's continued development costs. The level of contract commitments projected in the Trust's capital plan is approximately \$16 million. Additional commitments of \$15 million are reflected in the EPF.

# CAPITAL PROGRAM PLAN

**ENVIRONMENTAL CONSERVATION, DEPARTMENT OF  
SUMMARY OF  
PROJECTED APPROPRIATIONS, COMMITMENTS, AND DISBURSEMENTS  
2003-2004 THROUGH 2007-2008  
(thousands of dollars)**

|   | APPROPRIATIONS        |                |                |                |                | Total          |                  |
|---|-----------------------|----------------|----------------|----------------|----------------|----------------|------------------|
|   | Reappro-<br>priations | 2003-2004      | 2004-2005      | 2005-2006      | 2006-2007      | 2007-2008      | 2003-2008        |
| <b>Program Summary</b>                      |                       |                |                |                |                |                |                  |
| Administration                              | 2,206                 | 1,000          | 0              | 0              | 0              | 0              | 1,000            |
| Air Resources                               | 103,390               | 0              | 0              | 0              | 0              | 0              | 0                |
| Clean Water Clean Air Implementation        | 7,925                 | 2,527          | 1,176          | 0              | 0              | 0              | 3,703            |
| Clean Water/Clean Air 96                    | 184,979               | 0              | 0              | 0              | 0              | 0              | 0                |
| Design and Construction Supervision         | 14                    | 0              | 0              | 0              | 0              | 0              | 0                |
| Environment and Recreation                  | 291,369               | 125,000        | 125,000        | 125,000        | 125,000        | 125,000        | 625,000          |
| Environmental Protection and Enhancements   | 124,310               | 0              | 0              | 0              | 0              | 0              | 0                |
| Fish and Wildlife                           | 9,645                 | 1,700          | 1,000          | 1,000          | 1,000          | 1,000          | 5,700            |
| Lands and Forests                           | 17,509                | 4,175          | 1,000          | 1,000          | 1,000          | 1,000          | 8,175            |
| Marine Resources                            | 9,386                 | 3,000          | 0              | 0              | 0              | 0              | 3,000            |
| Operations                                  | 49,452                | 26,264         | 10,000         | 35,000         | 60,000         | 60,000         | 191,264          |
| Recreation                                  | 2,368                 | 2,500          | 700            | 700            | 700            | 700            | 5,300            |
| Solid and Hazardous Waste Management        | 284,957               | 0              | 0              | 0              | 0              | 0              | 0                |
| Solid Waste Management                      | 242,240               | 130,845        | 105,650        | 105,650        | 105,675        | 105,675        | 553,495          |
| Water Resources                             | 934,015               | 208,143        | 219,000        | 249,000        | 299,000        | 349,000        | 1,324,143        |
| Total                                       | <u>2,263,765</u>      | <u>505,154</u> | <u>463,526</u> | <u>517,350</u> | <u>592,375</u> | <u>642,375</u> | <u>2,720,780</u> |
| <b>Fund Summary</b>                         |                       |                |                |                |                |                |                  |
| Capital Projects Fund                       | 115,941               | 29,629         | 21,350         | 46,350         | 71,375         | 71,375         | 240,079          |
| Capital Projects Fund - 1996 CWA (Bondable) | 801,441               | 0              | 0              | 0              | 0              | 0              | 0                |
| Capital Projects Fund - Advances            | 91,179                | 25,895         | 1,000          | 1,000          | 1,000          | 1,000          | 29,895           |
| Capital Projects Fund - Authority Bonds     | 69,137                | 51,174         | 60,000         | 90,000         | 140,000        | 190,000        | 531,174          |
| Capital Projects Fund - EQBA (Bondable)     | 67,584                | 991            | 0              | 0              | 0              | 0              | 991              |
| Capital Projects Fund - EQBA 86 (Bondable)  | 284,963               | 0              | 0              | 0              | 0              | 0              | 0                |
| Capital Projects Fund - PWBA (Bondable)     | 25,709                | 8,168          | 0              | 0              | 0              | 0              | 8,168            |
| Clean Air Fund                              | 11,384                | 0              | 0              | 0              | 0              | 0              | 0                |
| Clean Water Clean Air Implementation Fund   | 7,925                 | 2,527          | 1,176          | 0              | 0              | 0              | 3,703            |
| Enterprise Fund                             | 175                   | 0              | 0              | 0              | 0              | 0              | 0                |
| Environmental Protection Fund               | 415,679               | 125,000        | 125,000        | 125,000        | 125,000        | 125,000        | 625,000          |
| Federal Capital Projects Fund               | 360,459               | 156,770        | 150,000        | 150,000        | 150,000        | 150,000        | 756,770          |
| Financial Security Fund                     | 1,884                 | 0              | 0              | 0              | 0              | 0              | 0                |
| Forest Preserve Expansion Fund              | 118                   | 0              | 0              | 0              | 0              | 0              | 0                |
| Hazardous Waste Remedial Fund               | 0                     | 105,000        | 105,000        | 105,000        | 105,000        | 105,000        | 525,000          |
| Hudson River Habitat Restor. Fund           | 351                   | 0              | 0              | 0              | 0              | 0              | 0                |
| Natural Resource Damages Fund               | 9,836                 | 0              | 0              | 0              | 0              | 0              | 0                |
| Total                                       | <u>2,263,765</u>      | <u>505,154</u> | <u>463,526</u> | <u>517,350</u> | <u>592,375</u> | <u>642,375</u> | <u>2,720,780</u> |

# CAPITAL PROGRAM PLAN

**ENVIRONMENTAL CONSERVATION, DEPARTMENT OF  
SUMMARY OF  
PROJECTED APPROPRIATIONS, COMMITMENTS, AND DISBURSEMENTS  
2003-2004 THROUGH 2007-2008  
(thousands of dollars)**

**COMMITMENTS**

|   | 2003-2004 | 2004-2005 | 2005-2006 | 2006-2007 | 2007-2008 |
|---|-----------|-----------|-----------|-----------|-----------|
| <b>Program Summary</b>                    |           |           |           |           |           |
| Administration                            | 500       | 500       | 500       | 500       | 500       |
| Air Resources                             | 2,500     | 3,150     | 500       | 500       | 500       |
| Clean Water Clean Air Implementation      | 2,527     | 2,527     | 0         | 0         | 0         |
| Environment and Recreation                | 125,000   | 125,000   | 125,000   | 125,000   | 125,000   |
| Fish and Wildlife                         | 1,000     | 1,000     | 1,000     | 1,000     | 1,000     |
| Lands and Forests                         | 1,000     | 1,000     | 1,000     | 1,000     | 1,000     |
| Marine Resources                          | 200       | 200       | 200       | 200       | 200       |
| Operations                                | 10,000    | 10,000    | 35,000    | 60,000    | 60,000    |
| Recreation                                | 700       | 700       | 700       | 700       | 700       |
| Solid and Hazardous Waste Management      | 105,991   | 105,000   | 105,000   | 105,000   | 105,000   |
| Solid Waste Management                    | 650       | 650       | 650       | 650       | 650       |
| Water Resources                           | 244,016   | 211,500   | 241,500   | 291,525   | 341,525   |
| Total                                     | 494,084   | 461,227   | 511,050   | 586,075   | 636,075   |
| <b>Fund Summary</b>                       |           |           |           |           |           |
| Capital Projects Fund                     | 29,629    | 21,350    | 46,350    | 71,375    | 71,375    |
| Capital Projects Fund - Advances          | 25,895    | 1,000     | 1,000     | 1,000     | 1,000     |
| Capital Projects Fund - Authority Bonds   | 51,174    | 60,000    | 90,000    | 140,000   | 190,000   |
| Capital Projects Fund - EQBA (Bondable)   | 991       | 0         | 0         | 0         | 0         |
| Capital Projects Fund - PWBA (Bondable)   | 8,168     | 0         | 0         | 0         | 0         |
| Clean Air Fund                            | 2,000     | 2,650     | 0         | 0         | 0         |
| Clean Water Clean Air Implementation Fund | 2,527     | 2,527     | 0         | 0         | 0         |
| Environmental Protection Fund             | 125,000   | 125,000   | 125,000   | 125,000   | 125,000   |
| Federal Capital Projects Fund             | 142,500   | 142,500   | 142,500   | 142,500   | 142,500   |
| Financial Security Fund                   | 200       | 200       | 200       | 200       | 200       |
| Hazardous Waste Remedial Fund             | 105,000   | 105,000   | 105,000   | 105,000   | 105,000   |
| Natural Resource Damages Fund             | 1,000     | 1,000     | 1,000     | 1,000     | 1,000     |
| Total                                     | 494,084   | 461,227   | 511,050   | 586,075   | 636,075   |

**DISBURSEMENTS**

|   | Estimated<br>2002-2003 | 2003-2004 | 2004-2005 | 2005-2006 | 2006-2007 | 2007-2008 | Total<br>2003-2008 |
|---|------------------------|-----------|-----------|-----------|-----------|-----------|--------------------|
| <b>Program Summary</b>                      |                        |           |           |           |           |           |                    |
| Administration                              | 650                    | 0         | 0         | 0         | 0         | 0         | 0                  |
| Air Resources                               | 22,584                 | 14,405    | 15,658    | 17,274    | 5,745     | 2,550     | 55,632             |
| Clean Water Clean Air Implementation        | 3,219                  | 2,527     | 2,527     | 2,527     | 0         | 0         | 7,581              |
| Clean Water/Clean Air 96                    | 18,250                 | 33,817    | 31,250    | 31,486    | 30,056    | 33,709    | 160,318            |
| Environment and Recreation                  | 79,769                 | 106,000   | 104,944   | 105,000   | 104,071   | 115,670   | 535,685            |
| Environmental Protection and Enhancements   | 35,231                 | 21,000    | 16,056    | 16,000    | 15,929    | 9,330     | 78,315             |
| Fish and Wildlife                           | 1,309                  | 900       | 900       | 1,200     | 1,450     | 1,600     | 6,050              |
| Lands and Forests                           | 1,098                  | 25        | 120       | 417       | 667       | 967       | 2,196              |
| Marine Resources                            | 700                    | 450       | 500       | 450       | 450       | 550       | 2,400              |
| Operations                                  | 12,130                 | 12,600    | 12,500    | 11,250    | 10,464    | 9,750     | 56,564             |
| Recreation                                  | 762                    | 0         | 0         | 100       | 200       | 300       | 600                |
| Solid and Hazardous Waste Management        | 69,994                 | 70,000    | 70,000    | 60,000    | 27,154    | 0         | 227,154            |
| Solid Waste Management                      | 40,656                 | 128,642   | 123,731   | 122,873   | 124,550   | 128,750   | 628,546            |
| Water Resources                             | 238,754                | 263,335   | 289,710   | 316,666   | 361,135   | 381,541   | 1,612,387          |
| Total                                       | 525,106                | 653,701   | 667,896   | 685,243   | 681,871   | 684,717   | 3,373,428          |
| <b>Fund Summary</b>                         |                        |           |           |           |           |           |                    |
| Capital Projects Fund                       | 19,499                 | 400       | 11,400    | 11,400    | 11,400    | 11,400    | 46,000             |
| Capital Projects Fund - 1996 CWA (Bondable) | 121,372                | 141,999   | 141,999   | 141,999   | 125,000   | 100,000   | 650,997            |
| Capital Projects Fund - Advances            | 7,152                  | 7,450     | 7,400     | 7,400     | 7,400     | 7,400     | 37,050             |
| Capital Projects Fund - Authority Bonds     | 38,000                 | 49,000    | 58,000    | 88,000    | 138,000   | 188,000   | 521,000            |
| Capital Projects Fund - EQBA (Bondable)     | 2,130                  | 3,000     | 3,000     | 3,000     | 3,000     | 3,000     | 15,000             |
| Capital Projects Fund - EQBA 86 (Bondable)  | 70,000                 | 70,000    | 70,000    | 60,000    | 27,154    | 0         | 227,154            |
| Capital Projects Fund - PWBA (Bondable)     | 2,400                  | 1,600     | 1,200     | 1,200     | 1,200     | 1,200     | 6,400              |
| Clean Air Fund                              | 2,000                  | 2,000     | 2,650     | 0         | 0         | 0         | 4,650              |
| Clean Water Clean Air Implementation Fund   | 3,219                  | 2,527     | 2,527     | 2,527     | 0         | 0         | 7,581              |
| Environmental Protection Fund               | 115,000                | 127,000   | 121,000   | 121,000   | 120,000   | 125,000   | 614,000            |
| Federal Capital Projects Fund               | 142,500                | 142,500   | 142,500   | 142,500   | 142,500   | 142,500   | 712,500            |
| Financial Security Fund                     | 500                    | 200       | 200       | 200       | 200       | 200       | 1,000              |
| Forest Preserve Expansion Fund              | 20                     | 25        | 20        | 17        | 17        | 17        | 96                 |
| Hazardous Waste Remedial Fund               | 0                      | 105,000   | 105,000   | 105,000   | 105,000   | 105,000   | 525,000            |
| Natural Resource Damages Fund               | 1,314                  | 1,000     | 1,000     | 1,000     | 1,000     | 1,000     | 5,000              |
| Total                                       | 525,106                | 653,701   | 667,896   | 685,243   | 681,871   | 684,717   | 3,373,428          |

# CAPITAL PROGRAM PLAN

**PARKS, RECREATION AND HISTORIC PRESERVATION, OFFICE OF  
SUMMARY OF  
PROJECTED APPROPRIATIONS, COMMITMENTS, AND DISBURSEMENTS  
2003-2004 THROUGH 2007-2008  
(thousands of dollars)**

| <b>APPROPRIATIONS</b>                              |                                |                  |                  |                  |                  |                  |                            |
|--|--------------------------------|------------------|------------------|------------------|------------------|------------------|----------------------------|
|  | <b>Reappro-<br/>priations</b>  | <b>2003-2004</b> | <b>2004-2005</b> | <b>2005-2006</b> | <b>2006-2007</b> | <b>2007-2008</b> | <b>Total<br/>2003-2008</b> |
| <b>Program Summary</b>                             |                                |                  |                  |                  |                  |                  |                            |
| Federal Capital Projects Fund                      | 8,352                          | 7,500            | 5,000            | 5,000            | 5,000            | 5,000            | 27,500                     |
| Maintenance and Improvement of Existing Facilities | 78,275                         | 35,805           | 35,250           | 35,250           | 35,250           | 35,805           | 177,360                    |
| Natural Heritage Trust                             | 300                            | 0                | 0                | 0                | 0                | 0                | 0                          |
| Outdoor Recreation                                 | 1,013                          | 0                | 0                | 0                | 0                | 0                | 0                          |
| Parks EQBA   | 9,725                          | 0                | 0                | 0                | 0                | 0                | 0                          |
| Total  | <u>97,665</u>                  | <u>43,305</u>    | <u>40,250</u>    | <u>40,250</u>    | <u>40,250</u>    | <u>40,805</u>    | <u>204,860</u>             |
| <b>Fund Summary</b>                                |                                |                  |                  |                  |                  |                  |                            |
| Capital Projects Fund                              | 1,248                          | 0                | 0                | 0                | 0                | 0                | 0                          |
| Capital Projects Fund - EQBA 86 (Bondable)         | 9,725                          | 0                | 0                | 0                | 0                | 0                | 0                          |
| Federal Capital Projects Fund                      | 8,352                          | 7,500            | 5,000            | 5,000            | 5,000            | 5,000            | 27,500                     |
| Fiduciary Funds - Misc. Combined Expendable        |                                |                  |                  |                  |                  |                  |                            |
| Trust Fund   | 14,720                         | 5,000            | 5,000            | 5,000            | 5,000            | 5,000            | 25,000                     |
| Misc. Capital Projects                             | 3,449                          | 1,200            | 1,200            | 1,200            | 1,200            | 1,200            | 6,000                      |
| Outdoor Recreation Development Bond Fund           | 230                            | 0                | 0                | 0                | 0                | 0                | 0                          |
| Parks and Recreation Land Acquisition Bond Fund    | 783                            | 0                | 0                | 0                | 0                | 0                | 0                          |
| State Parks Infrastructure Fund                    | 59,158                         | 29,605           | 29,050           | 29,050           | 29,050           | 29,605           | 146,360                    |
| Total  | <u>97,665</u>                  | <u>43,305</u>    | <u>40,250</u>    | <u>40,250</u>    | <u>40,250</u>    | <u>40,805</u>    | <u>204,860</u>             |
| <b>COMMITMENTS</b>                                 |                                |                  |                  |                  |                  |                  |                            |
|  |                                | <b>2003-2004</b> | <b>2004-2005</b> | <b>2005-2006</b> | <b>2006-2007</b> | <b>2007-2008</b> |                            |
| <b>Program Summary</b>                             |                                |                  |                  |                  |                  |                  |                            |
| Federal Capital Projects Fund                      |                                | 2,500            | 2,500            | 2,500            | 2,500            | 2,500            |                            |
| Maintenance and Improvement of Existing Facilities |                                | 34,490           | 32,050           | 31,050           | 31,050           | 31,605           |                            |
| Total  |                                | <u>36,990</u>    | <u>34,550</u>    | <u>33,550</u>    | <u>33,550</u>    | <u>34,105</u>    |                            |
| <b>Fund Summary</b>                                |                                |                  |                  |                  |                  |                  |                            |
| Federal Capital Projects Fund                      |                                | 2,500            | 2,500            | 2,500            | 2,500            | 2,500            |                            |
| Fiduciary Funds - Misc. Combined Expendable        |                                |                  |                  |                  |                  |                  |                            |
| Trust Fund   |                                | 4,425            | 2,000            | 1,000            | 1,000            | 1,000            |                            |
| Misc. Capital Projects                             |                                | 1,000            | 1,000            | 1,000            | 1,000            | 1,000            |                            |
| State Parks Infrastructure Fund                    |                                | 29,065           | 29,050           | 29,050           | 29,050           | 29,605           |                            |
| Total  |                                | <u>36,990</u>    | <u>34,550</u>    | <u>33,550</u>    | <u>33,550</u>    | <u>34,105</u>    |                            |
| <b>DISBURSEMENTS</b>                               |                                |                  |                  |                  |                  |                  |                            |
|  | <b>Estimated<br/>2002-2003</b> | <b>2003-2004</b> | <b>2004-2005</b> | <b>2005-2006</b> | <b>2006-2007</b> | <b>2007-2008</b> | <b>Total<br/>2003-2008</b> |
| <b>Program Summary</b>                             |                                |                  |                  |                  |                  |                  |                            |
| Federal Capital Projects Fund                      | 2,556                          | 2,500            | 2,500            | 2,500            | 2,500            | 2,500            | 12,500                     |
| Maintenance and Improvement of Existing Facilities | 23,692                         | 16,325           | 13,900           | 12,900           | 12,900           | 12,900           | 68,925                     |
| Parks EQBA   | 2,111                          | 3,343            | 3,775            | 1,185            | 281              | 0                | 8,584                      |
| Total  | <u>28,359</u>                  | <u>22,168</u>    | <u>20,175</u>    | <u>16,585</u>    | <u>15,681</u>    | <u>15,400</u>    | <u>90,009</u>              |
| <b>Fund Summary</b>                                |                                |                  |                  |                  |                  |                  |                            |
| Capital Projects Fund                              | 1,100                          | 0                | 0                | 0                | 0                | 0                | 0                          |
| Capital Projects Fund - EQBA (Bondable)            | 400                            | 0                | 0                | 0                | 0                | 0                | 0                          |
| Capital Projects Fund - EQBA 86 (Bondable)         | 1,711                          | 3,343            | 3,775            | 1,185            | 281              | 0                | 8,584                      |
| Federal Capital Projects Fund                      | 2,556                          | 2,500            | 2,500            | 2,500            | 2,500            | 2,500            | 12,500                     |
| Fiduciary Funds - Misc. Combined Expendable        |                                |                  |                  |                  |                  |                  |                            |
| Trust Fund   | 16,000                         | 4,425            | 2,000            | 1,000            | 1,000            | 1,000            | 9,425                      |
| Misc. Capital Projects                             | 2,209                          | 1,000            | 1,000            | 1,000            | 1,000            | 1,000            | 5,000                      |
| State Parks Infrastructure Fund                    | 4,383                          | 10,900           | 10,900           | 10,900           | 10,900           | 10,900           | 54,500                     |
| Total  | <u>28,359</u>                  | <u>22,168</u>    | <u>20,175</u>    | <u>16,585</u>    | <u>15,681</u>    | <u>15,400</u>    | <u>90,009</u>              |

# CAPITAL PROGRAM PLAN

**ENVIRONMENTAL FACILITIES CORPORATION  
SUMMARY OF  
PROJECTED APPROPRIATIONS, COMMITMENTS, AND DISBURSEMENTS  
2003-2004 THROUGH 2007-2008  
(thousands of dollars)**

|   | <b>APPROPRIATIONS</b>         |                  |                  |                  |                  |                  | <b>Total<br/>2003-2008</b> |
|---|-------------------------------|------------------|------------------|------------------|------------------|------------------|----------------------------|
|   | <b>Reappro-<br/>priations</b> | <b>2003-2004</b> | <b>2004-2005</b> | <b>2005-2006</b> | <b>2006-2007</b> | <b>2007-2008</b> |                            |
| <b>Program Summary</b>                    |                               |                  |                  |                  |                  |                  |                            |
| Clean Water - Clean Air Implementation    | 0                             | 292              | 292              | 292              | 0                | 0                | 876                        |
| Pipeline for Jobs Program                 | 11,373                        | 0                | 0                | 0                | 0                | 0                | 0                          |
| Total                                     | 11,373                        | 292              | 292              | 292              | 0                | 0                | 876                        |
| <b>Fund Summary</b>                       |                               |                  |                  |                  |                  |                  |                            |
| Capital Projects Fund - Authority Bonds   | 11,373                        | 0                | 0                | 0                | 0                | 0                | 0                          |
| Clean Water Clean Air Implementation Fund | 0                             | 292              | 292              | 292              | 0                | 0                | 876                        |
| Total                                     | 11,373                        | 292              | 292              | 292              | 0                | 0                | 876                        |

|   | <b>COMMITMENTS</b> |                  |                  |                  |                  |
|---|--------------------|------------------|------------------|------------------|------------------|
|   | <b>2003-2004</b>   | <b>2004-2005</b> | <b>2005-2006</b> | <b>2006-2007</b> | <b>2007-2008</b> |
| <b>Program Summary</b>                    |                    |                  |                  |                  |                  |
| Clean Water - Clean Air Implementation    | 292                | 292              | 292              | 0                | 0                |
| Pipeline for Jobs Program                 | 9,605              | 0                | 0                | 0                | 0                |
| Total                                     | 9,897              | 292              | 292              | 0                | 0                |
| <b>Fund Summary</b>                       |                    |                  |                  |                  |                  |
| Capital Projects Fund - Authority Bonds   | 9,605              | 0                | 0                | 0                | 0                |
| Clean Water Clean Air Implementation Fund | 292                | 292              | 292              | 0                | 0                |
| Total                                     | 9,897              | 292              | 292              | 0                | 0                |

|   | <b>DISBURSEMENTS</b>           |                  |                  |                  |                  |                  |                            |
|---|--------------------------------|------------------|------------------|------------------|------------------|------------------|----------------------------|
|   | <b>Estimated<br/>2002-2003</b> | <b>2003-2004</b> | <b>2004-2005</b> | <b>2005-2006</b> | <b>2006-2007</b> | <b>2007-2008</b> | <b>Total<br/>2003-2008</b> |
| <b>Program Summary</b>                    |                                |                  |                  |                  |                  |                  |                            |
| Clean Water - Clean Air Implementation    | 292                            | 292              | 292              | 292              | 0                | 0                | 876                        |
| Pipeline for Jobs Program                 | 1,768                          | 9,605            | 0                | 0                | 0                | 0                | 9,605                      |
| Total                                     | 2,060                          | 9,897            | 292              | 292              | 0                | 0                | 10,481                     |
| <b>Fund Summary</b>                       |                                |                  |                  |                  |                  |                  |                            |
| Capital Projects Fund - Authority Bonds   | 1,768                          | 9,605            | 0                | 0                | 0                | 0                | 9,605                      |
| Clean Water Clean Air Implementation Fund | 292                            | 292              | 292              | 292              | 0                | 0                | 876                        |
| Total                                     | 2,060                          | 9,897            | 292              | 292              | 0                | 0                | 10,481                     |

# CAPITAL PROGRAM PLAN

HUDSON RIVER PARK TRUST  
SUMMARY OF  
PROJECTED APPROPRIATIONS, COMMITMENTS, AND DISBURSEMENTS  
2003-2004 THROUGH 2007-2008  
(thousands of dollars)

| <b>APPROPRIATIONS</b>            |                                |                  |                  |                  |                  |                  |                            |
|----------------------------------|--------------------------------|------------------|------------------|------------------|------------------|------------------|----------------------------|
|                                  | <b>Reappro-<br/>priations</b>  | <b>2003-2004</b> | <b>2004-2005</b> | <b>2005-2006</b> | <b>2006-2007</b> | <b>2007-2008</b> | <b>Total<br/>2003-2008</b> |
| <b>Program Summary</b>           |                                |                  |                  |                  |                  |                  |                            |
| Regional Development             | 69,656                         | 16,000           | 0                | 0                | 0                | 0                | 16,000                     |
| Total                            | 69,656                         | 16,000           | 0                | 0                | 0                | 0                | 16,000                     |
| <b>Fund Summary</b>              |                                |                  |                  |                  |                  |                  |                            |
| Capital Projects Fund - Advances | 69,656                         | 16,000           | 0                | 0                | 0                | 0                | 16,000                     |
| Total                            | 69,656                         | 16,000           | 0                | 0                | 0                | 0                | 16,000                     |
| <b>COMMITMENTS</b>               |                                |                  |                  |                  |                  |                  |                            |
|                                  | <b>2003-2004</b>               | <b>2004-2005</b> | <b>2005-2006</b> | <b>2006-2007</b> | <b>2007-2008</b> |                  |                            |
| <b>Program Summary</b>           |                                |                  |                  |                  |                  |                  |                            |
| Regional Development             | 16,000                         | 0                | 0                | 0                | 0                |                  |                            |
| Total                            | 16,000                         | 0                | 0                | 0                | 0                |                  |                            |
| <b>Fund Summary</b>              |                                |                  |                  |                  |                  |                  |                            |
| Capital Projects Fund - Advances | 16,000                         | 0                | 0                | 0                | 0                |                  |                            |
| Total                            | 16,000                         | 0                | 0                | 0                | 0                |                  |                            |
| <b>DISBURSEMENTS</b>             |                                |                  |                  |                  |                  |                  |                            |
|                                  | <b>Estimated<br/>2002-2003</b> | <b>2003-2004</b> | <b>2004-2005</b> | <b>2005-2006</b> | <b>2006-2007</b> | <b>2007-2008</b> | <b>Total<br/>2003-2008</b> |
| <b>Program Summary</b>           |                                |                  |                  |                  |                  |                  |                            |
| Regional Development             | 35,000                         | 40,000           | 18,326           | 0                | 0                | 0                | 58,326                     |
| Total                            | 35,000                         | 40,000           | 18,326           | 0                | 0                | 0                | 58,326                     |
| <b>Fund Summary</b>              |                                |                  |                  |                  |                  |                  |                            |
| Capital Projects Fund - Advances | 35,000                         | 40,000           | 18,326           | 0                | 0                | 0                | 58,326                     |
| Total                            | 35,000                         | 40,000           | 18,326           | 0                | 0                | 0                | 58,326                     |

## PUBLIC PROTECTION

The capital planning process provides the Department of Correctional Services (DOCS) with the means to ensure adequate bed capacity and to maintain a safe and secure environment in existing facilities. The Division of State Police (DSP) and the Division of Military and Naval Affairs (DMNA) capital programs ensure that existing facilities continue to be maintained.

### DEPARTMENT OF CORRECTIONAL SERVICES

The focus of the 2003-04 capital projects recommendation is to preserve and maintain the State's existing prison infrastructure. The capital program ensures that all housing, medical, program, and support space remains functional, safe, and secure.

The Department's substantial rehabilitation and preservation requirements are due to several factors, including the age of many of the State's prisons and the changing needs of the inmate population, particularly in the area of health care. New capacity was created during the 1980's, often by converting older institutions from other uses to prisons. The focus of that effort was on security, not upgrading the structural integrity and infrastructure of these very old facilities.

The Department's Preventive Maintenance Program Plan addresses this situation by providing funds for the system repairs and replacements necessary to keep capacity in service. Kitchen, heating, ventilation, hot water, electric and roofing systems are among the major problem areas requiring rehabilitation.

The Capital Asset Maintenance Plan is designed to preserve the useful life of the facilities and infrastructure. In evaluating assets, DOCS has established a rating system to identify the condition of its physical plant as a tool for prioritizing essential rehabilitation projects. The following table identifies the capital asset group, age and condition of DOCS assets:

| Capital Asset Group | Age Range     | Condition |      |      | Total |
|---------------------|---------------|-----------|------|------|-------|
|                     |               | Good      | Fair | Poor |       |
| Minimum Security    | 4 to 75 yrs.  | 15        | 1    | 0    | 16    |
| Medium Security     | 8 to 100 yrs. | 33        | 4    | 0    | 37    |
| Maximum Security    | 0 to 150 yrs. | 14        | 3    | 0    | 17    |
| Support             | 40 to 60 yrs. | 2         | 0    | 0    | 2     |
|                     | <b>Total</b>  | 64        | 8    | 0    | 72    |

The program, consistent with the above objectives, recommends new capital project appropriations of approximately \$1 billion over the next five years, and \$762 million in reappropriations. These appropriations are grouped programmatically, allowing the Department to manage the flow of projects, respond to emergencies and adjust priorities to accommodate changes in facility conditions.

The DOCS Capital program is funded primarily from appropriations made from the Correctional Facilities Capital Improvement Fund, which is reimbursed by proceeds from bonds issued by the Empire State Development Corporation. The five year disbursement projection is \$940 million for the Maintenance and Improvement Program.

### DIVISION OF MILITARY AND NAVAL AFFAIRS

The Division of Military and Naval Affairs operates more than 120 facilities statewide, including: more than 60 Army National Guard Armories, 28 operations and maintenance facilities, 6 Air Guard bases, 3 aviation support facilities, 4 training facilities and Camp Smith.

## ***CAPITAL PROGRAM PLAN***

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The total size of the infrastructure is over five million square feet, and the average age of the infrastructure is approximately 74 years. According to the National Guard Bureau, New York's infrastructure is the oldest in the nation and its overall condition is fair.

The highlight of the Division's 2003-08 Five Year Comprehensive Capital Maintenance Plan is the continuation of the Federal Military Construction program, which began in 2002-03. Under this program, the Federal government will fund more than 90 percent of the estimated \$100 million cost of replacing or expanding armories, recruitment centers and equipment maintenance facilities across New York State over the next five to seven years.

The Division's traditional capital program will also continue with its emphasis on maintenance and repair programs, technological upgrades, and energy efficiency projects. Infrastructure repair and upgrade projects are prioritized by the condition and proposed use of affected structures and corresponding health, safety and environmental concerns. Addressing the backlog of projects at existing facilities will be made easier by the recent decision to phase out some older, less utilized facilities, as this will allow for the redirection of resources to facilities that play more critical roles in supporting the Division's primary mission of maintaining its military readiness posture.

### ***DIVISION OF STATE POLICE***

The priorities of the Division of State Police (DSP) Capital Plan are to maintain the safety and integrity of State Police facilities across the State. Total disbursements for the Division's five-year capital plan are estimated at \$16.1 million and will accommodate ongoing maintenance and improvement of State Police facilities.

The Capital Asset Maintenance Plan for the facilities of the Division of State Police is designed to preserve the useful life of the facilities and infrastructure. Over the past several years capital initiatives have been focused on the repair and replacement of roofs, windows, access roadways, heating and ventilation systems, electrical systems and necessary improvements to facilities to meet health and safety needs. The plan for the next five years maintains the same focus.

| <b>Capital Asset Group</b>    | <b>Age Range</b> | <b>Condition</b> |             |             | <b>Total</b> |
|-------------------------------|------------------|------------------|-------------|-------------|--------------|
|                               |                  | <b>Good</b>      | <b>Fair</b> | <b>Poor</b> |              |
| Forensic Investigation Center | 5 years          | 1                | 0           | 0           | 1            |
| Troop Headquarters            | 24-45 years      | 9                | 0           | 0           | 9            |
| Zone Headquarters             | 28-52 years      | 0                | 2           | 0           | 2            |
| Stations                      | 2-35 years       | 2                | 0           | 1           | 3            |
|                               | <b>Total</b>     | 12               | 2           | 1           | 15           |

The commitments for 2002-03 totaled \$4.6 million which will return to \$2.8 million in 2003-04. The 2003-04 Capital Plan assumes entering into commitments for new projects needed to rehabilitate State Police facilities to ensure their safety.

# CAPITAL PROGRAM PLAN

## CORRECTIONAL SERVICES, DEPARTMENT OF SUMMARY OF PROJECTED APPROPRIATIONS, COMMITMENTS, AND DISBURSEMENTS 2003-2004 THROUGH 2007-2008 (thousands of dollars)

|   | APPROPRIATIONS        |                |                |                |                |                | Total<br>2003-2008 |
|---|-----------------------|----------------|----------------|----------------|----------------|----------------|--------------------|
|   | Reappro-<br>priations | 2003-2004      | 2004-2005      | 2005-2006      | 2006-2007      | 2007-2008      |                    |
| <b>Program Summary</b>                                    |                       |                |                |                |                |                |                    |
| Maintenance and Improvement of Existing Facilities        | 500,091               | 205,000        | 205,000        | 205,000        | 205,000        | 205,000        | 1,025,000          |
| Medical Facilities  | 18,406                | 0              | 0              | 0              | 0              | 0              | 0                  |
| UDC Financed and Other New Facility Capacity<br>Expansion | 244,164               | 0              | 0              | 0              | 0              | 0              | 0                  |
| Total   | <u>762,661</u>        | <u>205,000</u> | <u>205,000</u> | <u>205,000</u> | <u>205,000</u> | <u>205,000</u> | <u>1,025,000</u>   |
| <b>Fund Summary</b>                                       |                       |                |                |                |                |                |                    |
| Capital Projects Fund                                     | 932                   | 0              | 0              | 0              | 0              | 0              | 0                  |
| Correctional Facilities Capital Improvement Fund          | 751,571               | 205,000        | 205,000        | 205,000        | 205,000        | 205,000        | 1,025,000          |
| Federal Capital Projects Fund                             | 10,158                | 0              | 0              | 0              | 0              | 0              | 0                  |
| Total   | <u>762,661</u>        | <u>205,000</u> | <u>205,000</u> | <u>205,000</u> | <u>205,000</u> | <u>205,000</u> | <u>1,025,000</u>   |

|  | COMMITMENTS    |                |                |                |                |
|--|----------------|----------------|----------------|----------------|----------------|
|  | 2003-2004      | 2004-2005      | 2005-2006      | 2006-2007      | 2007-2008      |
| <b>Program Summary</b>                             |                |                |                |                |                |
| Maintenance and Improvement of Existing Facilities | 175,000        | 175,000        | 175,000        | 175,000        | 175,000        |
| Total  | <u>175,000</u> | <u>175,000</u> | <u>175,000</u> | <u>175,000</u> | <u>175,000</u> |
| <b>Fund Summary</b>                                |                |                |                |                |                |
| Correctional Facilities Capital Improvement Fund   | 175,000        | 175,000        | 175,000        | 175,000        | 175,000        |
| Total  | <u>175,000</u> | <u>175,000</u> | <u>175,000</u> | <u>175,000</u> | <u>175,000</u> |

|  | DISBURSEMENTS          |                |                |                |                |                | Total<br>2003-2008 |
|--|------------------------|----------------|----------------|----------------|----------------|----------------|--------------------|
|  | Estimated<br>2002-2003 | 2003-2004      | 2004-2005      | 2005-2006      | 2006-2007      | 2007-2008      |                    |
| <b>Program Summary</b>                             |                        |                |                |                |                |                |                    |
| Maintenance and Improvement of Existing Facilities | 174,500                | 188,000        | 188,000        | 188,000        | 188,000        | 188,000        | 940,000            |
| Medical Facilities                                 | 15,000                 | 0              | 0              | 0              | 0              | 0              | 0                  |
| Total  | <u>189,500</u>         | <u>188,000</u> | <u>188,000</u> | <u>188,000</u> | <u>188,000</u> | <u>188,000</u> | <u>940,000</u>     |
| <b>Fund Summary</b>                                |                        |                |                |                |                |                |                    |
| Capital Projects Fund                              | 1,500                  | 0              | 0              | 0              | 0              | 0              | 0                  |
| Correctional Facilities Capital Improvement Fund   | 188,000                | 188,000        | 188,000        | 188,000        | 188,000        | 188,000        | 940,000            |
| Total  | <u>189,500</u>         | <u>188,000</u> | <u>188,000</u> | <u>188,000</u> | <u>188,000</u> | <u>188,000</u> | <u>940,000</u>     |

# **CAPITAL PROGRAM PLAN**

**MILITARY AND NAVAL AFFAIRS, DIVISION OF  
SUMMARY OF  
PROJECTED APPROPRIATIONS, COMMITMENTS, AND DISBURSEMENTS  
2003-2004 THROUGH 2007-2008  
(thousands of dollars)**

|  | <b>APPROPRIATIONS</b>         |                  |                  |                  |                  |                  | <b>Total<br/>2003-2008</b> |
|--|-------------------------------|------------------|------------------|------------------|------------------|------------------|----------------------------|
|  | <b>Reappro-<br/>priations</b> | <b>2003-2004</b> | <b>2004-2005</b> | <b>2005-2006</b> | <b>2006-2007</b> | <b>2007-2008</b> |                            |
| <b>Program Summary</b>                             |                               |                  |                  |                  |                  |                  |                            |
| Design and Construction Supervision                | 4,600                         | 9,100            | 3,100            | 1,400            | 1,400            | 1,700            | 16,700                     |
| Maintenance and Improvement of Existing Facilities | 18,200                        | 31,500           | 75,300           | 10,300           | 10,300           | 10,000           | 137,400                    |
| Total  | <u>22,800</u>                 | <u>40,600</u>    | <u>78,400</u>    | <u>11,700</u>    | <u>11,700</u>    | <u>11,700</u>    | <u>154,100</u>             |
| <b>Fund Summary</b>                                |                               |                  |                  |                  |                  |                  |                            |
| Capital Projects Fund                              | 10,100                        | 16,600           | 7,000            | 7,000            | 7,000            | 7,000            | 44,600                     |
| Federal Capital Projects Fund                      | 12,700                        | 24,000           | 71,400           | 4,700            | 4,700            | 4,700            | 109,500                    |
| Total  | <u>22,800</u>                 | <u>40,600</u>    | <u>78,400</u>    | <u>11,700</u>    | <u>11,700</u>    | <u>11,700</u>    | <u>154,100</u>             |

|  | <b>COMMITMENTS</b> |                  |                  |                  |                  |
|--|--------------------|------------------|------------------|------------------|------------------|
|  | <b>2003-2004</b>   | <b>2004-2005</b> | <b>2005-2006</b> | <b>2006-2007</b> | <b>2007-2008</b> |
| <b>Program Summary</b>                             |                    |                  |                  |                  |                  |
| Design and Construction Supervision                | 5,900              | 4,400            | 1,400            | 1,400            | 1,400            |
| Maintenance and Improvement of Existing Facilities | 31,500             | 74,000           | 10,300           | 10,300           | 10,300           |
| Total  | <u>37,400</u>      | <u>78,400</u>    | <u>11,700</u>    | <u>11,700</u>    | <u>11,700</u>    |
| <b>Fund Summary</b>                                |                    |                  |                  |                  |                  |
| Capital Projects Fund                              | 16,600             | 7,000            | 7,000            | 7,000            | 7,000            |
| Federal Capital Projects Fund                      | 20,800             | 71,400           | 4,700            | 4,700            | 4,700            |
| Total  | <u>37,400</u>      | <u>78,400</u>    | <u>11,700</u>    | <u>11,700</u>    | <u>11,700</u>    |

|  | <b>DISBURSEMENTS</b>           |                  |                  |                  |                  |                  |                            |
|--|--------------------------------|------------------|------------------|------------------|------------------|------------------|----------------------------|
|  | <b>Estimated<br/>2002-2003</b> | <b>2003-2004</b> | <b>2004-2005</b> | <b>2005-2006</b> | <b>2006-2007</b> | <b>2007-2008</b> | <b>Total<br/>2003-2008</b> |
| <b>Program Summary</b>                             |                                |                  |                  |                  |                  |                  |                            |
| Design and Construction Supervision                | 5,326                          | 5,750            | 4,375            | 3,100            | 2,200            | 1,290            | 16,715                     |
| Maintenance and Improvement of Existing Facilities | 11,274                         | 19,700           | 37,000           | 37,600           | 28,300           | 15,900           | 138,500                    |
| Total  | <u>16,600</u>                  | <u>25,450</u>    | <u>41,375</u>    | <u>40,700</u>    | <u>30,500</u>    | <u>17,190</u>    | <u>155,215</u>             |
| <b>Fund Summary</b>                                |                                |                  |                  |                  |                  |                  |                            |
| Capital Projects Fund                              | 6,600                          | 9,150            | 11,200           | 9,850            | 7,500            | 7,600            | 45,300                     |
| Federal Capital Projects Fund                      | 10,000                         | 16,300           | 30,175           | 30,850           | 23,000           | 9,590            | 109,915                    |
| Total  | <u>16,600</u>                  | <u>25,450</u>    | <u>41,375</u>    | <u>40,700</u>    | <u>30,500</u>    | <u>17,190</u>    | <u>155,215</u>             |

# CAPITAL PROGRAM PLAN

**STATE POLICE, DIVISION OF  
SUMMARY OF  
PROJECTED APPROPRIATIONS, COMMITMENTS, AND DISBURSEMENTS  
2003-2004 THROUGH 2007-2008  
(thousands of dollars)**

| <b>APPROPRIATIONS</b>                              |                               |                  |                  |                  |                  |                  |                            |
|--|-------------------------------|------------------|------------------|------------------|------------------|------------------|----------------------------|
|  | <b>Reappro-<br/>priations</b> | <b>2003-2004</b> | <b>2004-2005</b> | <b>2005-2006</b> | <b>2006-2007</b> | <b>2007-2008</b> | <b>Total<br/>2003-2008</b> |
| <b>Program Summary</b>                             |                               |                  |                  |                  |                  |                  |                            |
| Maintenance and Improvement of Existing Facilities | 7,681                         | 2,800            | 2,800            | 3,500            | 3,500            | 3,500            | 16,100                     |
| New Facilities                                     | 333                           | 0                | 0                | 0                | 0                | 0                | 0                          |
| Total  | <u>8,014</u>                  | <u>2,800</u>     | <u>2,800</u>     | <u>3,500</u>     | <u>3,500</u>     | <u>3,500</u>     | <u>16,100</u>              |
| <b>Fund Summary</b>                                |                               |                  |                  |                  |                  |                  |                            |
| Capital Projects Fund                              | 8,014                         | 2,800            | 2,800            | 3,500            | 3,500            | 3,500            | 16,100                     |
| Total  | <u>8,014</u>                  | <u>2,800</u>     | <u>2,800</u>     | <u>3,500</u>     | <u>3,500</u>     | <u>3,500</u>     | <u>16,100</u>              |

| <b>COMMITMENTS</b>                                 |                  |                  |                  |                  |                  |
|--|------------------|------------------|------------------|------------------|------------------|
|  | <b>2003-2004</b> | <b>2004-2005</b> | <b>2005-2006</b> | <b>2006-2007</b> | <b>2007-2008</b> |
| <b>Program Summary</b>                             |                  |                  |                  |                  |                  |
| Maintenance and Improvement of Existing Facilities | 2,800            | 2,800            | 3,500            | 3,500            | 3,500            |
| Total  | <u>2,800</u>     | <u>2,800</u>     | <u>3,500</u>     | <u>3,500</u>     | <u>3,500</u>     |
| <b>Fund Summary</b>                                |                  |                  |                  |                  |                  |
| Capital Projects Fund                              | 2,800            | 2,800            | 3,500            | 3,500            | 3,500            |
| Total  | <u>2,800</u>     | <u>2,800</u>     | <u>3,500</u>     | <u>3,500</u>     | <u>3,500</u>     |

| <b>DISBURSEMENTS</b>                               |                                |                  |                  |                  |                  |                  |                            |
|--|--------------------------------|------------------|------------------|------------------|------------------|------------------|----------------------------|
|  | <b>Estimated<br/>2002-2003</b> | <b>2003-2004</b> | <b>2004-2005</b> | <b>2005-2006</b> | <b>2006-2007</b> | <b>2007-2008</b> | <b>Total<br/>2003-2008</b> |
| <b>Program Summary</b>                             |                                |                  |                  |                  |                  |                  |                            |
| Maintenance and Improvement of Existing Facilities | 4,504                          | 2,722            | 2,545            | 3,500            | 3,500            | 3,500            | 15,767                     |
| New Facilities                                     | 96                             | 78               | 255              | 0                | 0                | 0                | 333                        |
| Total  | <u>4,600</u>                   | <u>2,800</u>     | <u>2,800</u>     | <u>3,500</u>     | <u>3,500</u>     | <u>3,500</u>     | <u>16,100</u>              |
| <b>Fund Summary</b>                                |                                |                  |                  |                  |                  |                  |                            |
| Capital Projects Fund                              | 4,600                          | 2,800            | 2,800            | 3,500            | 3,500            | 3,500            | 16,100                     |
| Total  | <u>4,600</u>                   | <u>2,800</u>     | <u>2,800</u>     | <u>3,500</u>     | <u>3,500</u>     | <u>3,500</u>     | <u>16,100</u>              |

# ***CAPITAL PROGRAM PLAN***

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## ***EDUCATION***

Capital planning is vital to the teaching, research and public service missions of both the State University (SUNY) and the City University (CUNY) systems. Capital Plans ensure that facilities are appropriately designed and developed to meet current and future needs and provide a safe and healthy environment for students, faculty, and staff. The State Education Department's (SED) capital programs encompass the rehabilitation of schools for the deaf, the blind, Native Americans, and the Department's various administrative offices.

### ***STATE UNIVERSITY OF NEW YORK***

The State University of New York is the largest public university system in the nation, with 64 campuses (including 30 community colleges) serving over 402,000 students. The goal of SUNY's capital program is to provide and preserve the physical infrastructure needed for the education of its students.

The 34 State-operated campuses include approximately 3,000 classroom, dormitory, library, laboratory, athletic, student activity and hospital buildings. Nearly 85 percent of SUNY's facilities exceed 20 years of age and are in need of renovation, rehabilitation, and repair. Accordingly, SUNY's capital program continues to emphasize the preservation of its existing State-operated facilities. Capital priorities at SUNY's 30 community colleges include major rehabilitation as well as targeted new construction at various campuses to accommodate changing academic needs.

SUNY's capital planning process starts with the development of facility master plans for each campus to identify new construction and rehabilitation projects. For State-operated colleges, these plans are then developed into a system-wide, five-year University Master Capital Plan approved by the SUNY Board of Trustees. For community colleges, master plans are submitted to the local Boards of Trustees. The Trustees then select priority projects for inclusion in SUNY's formal capital budget request.

The 2003-04 Executive Budget recommends a new Multi-Year Capital Investment Program that will provide \$2.5 billion over the next five years to respond to the needs and priorities of SUNY campuses. The \$2.5 billion program includes \$224 million in remaining educational facility appropriation authority available from the previous Multi-Year Capital Improvement Program and \$335 million for SUNY Residence Halls.

The new \$2.5 billion Multi-Year Capital Investment Program includes:

- \$1,640 million for academic facilities;
- \$350 million for hospitals;
- \$210 million for community colleges; and
- \$335 million for residence halls.

The \$2.5 billion Multi-Year Capital Investment Program includes \$1.7 billion in State-supported bonding, \$150 million in new State-supported hard dollar projects, and \$685 million that is funded through non-State sources such as hospital and dormitory revenues. This new capital initiative will enable the University to continue its plan for revitalizing campuses through: the rehabilitation of existing buildings; construction and adaptation of facilities to meet current academic needs; and the use of technology for instruction, research, and community service.

Major components of the capital program for 2003-04 through 2007-08 include:

- Hospital projects to enable the three SUNY hospitals to undertake revenue-generating initiatives recommended in the hospitals' strategic plans, to address accreditation deficiencies, and to meet critical rehabilitation and repair needs.

## ***CAPITAL PROGRAM PLAN***

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- Campus core projects to meet critical health, safety, and preservation needs, and to respond to new and changing academic requirements.
- Technology and campus development projects to promote innovative ways of teaching and learning.
- Campus matching projects to leverage private donations.
- System-wide infrastructure projects to address needs such as underground utility projects.
- Campus improvements and quality of life projects to improve the overall appearance of SUNY campuses and their responsiveness to student needs.
- Community college capital projects including replacement of heating and cooling systems as well as construction of new academic facilities.
- Residence hall projects for both new and renovated facilities.

SUNY's Multi-Year Capital Investment Program continues to emphasize projects that address health and safety, rehabilitation, and preservation needs. These include projects to address code violations, meet accreditation standards, provide access for the disabled, preserve the integrity of SUNY's capital plant, and address deferred maintenance needs. Given the age of SUNY's physical plant, capital funding for senior colleges will be spent primarily on preservation and rehabilitation needs. The "remaining useful life" of SUNY buildings is based on the actual condition of the asset or building components, rather than age. As part of SUNY's capital planning process, building condition surveys have been performed on all SUNY-owned buildings.

For 2003-04, contract commitments are projected to reach \$330 million reflecting activity levels consistent with the awarding of construction contracts for educational facilities. Total disbursements for both the State-operated and community colleges are estimated at almost \$368 million in 2003-04, and are expected to increase to approximately \$428 million in 2005-06 to reflect current commitment levels. Future disbursements are expected to remain relatively flat.

SUNY's bond cap will be increased by \$1.5 billion, for a total bonding authorization of \$4.7 billion to cover SUNY's planned bond sales for the new Multi-Year Capital Investment Program. The bond cap also reflects efforts to improve the administration of the SUNY higher educational facilities bonding program and to reduce annual debt service costs by ensuring that the size of annual bonds sales corresponds more closely with projected disbursements. This administrative change will not adversely impact the advancement of projects or the new SUNY Multi-Year Capital Investment Program.

### ***CITY UNIVERSITY OF NEW YORK***

The City University of New York's physical plant is comprised of 11 senior colleges, 6 community colleges, a graduate center, law school and Central Administration, serving more than 200,000 full-time and part-time students in over 25 million gross square feet of space.

CUNY's capital planning process begins with the development of a facility master plan for each campus, which details existing and anticipated facilities necessary to accommodate projected campus enrollment needs. The facility master plans provide the framework for development of the annual capital budget request and the University's Five-Year Capital Plan. CUNY's rehabilitation projects are identified through building condition surveys, conducted jointly by the Dormitory Authority and CUNY

Major projects at CUNY senior and community colleges are supported by bonds issued by the Dormitory Authority. The State pays the debt service on senior college projects other than Medgar Evers College. For community colleges and Medgar Evers College, debt

## ***CAPITAL PROGRAM PLAN***

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service costs are shared with the City of New York. CUNY's minor rehabilitation projects for health and safety and preservation purposes are primarily supported by State General Fund appropriations.

The 2003-04 Executive Budget's capital recommendations include a new \$1.2 billion Multi-Year Capital Investment Program for CUNY, which provides for facility and infrastructure improvements at City University senior and community colleges consistent with the University's needs and priorities. Funded projects encompass critical health and safety, preservation and handicapped access projects, as well as the completion of ongoing projects at John Jay College and the construction of a new academic building for Medgar Evers College. CUNY's bond cap will be increased by \$800 million, for a total bonding authorization of \$4.2 billion to cover CUNY's planned bond sales for the new Multi-Year Capital Investment Program. The bond cap also reflects efforts to improve the administration of the CUNY higher educational facilities bonding program and to reduce annual debt service costs by ensuring that the size of annual bonds sales corresponds more closely with projected disbursements. This administrative change will not adversely impact the advancement of projects or the new CUNY Multi-Year Capital Investment Plan.

CUNY's capital program for 2003-04 provides \$250.7 million to support the first year of the new Multi-Year Capital Investment Program.

### ***STATE EDUCATION DEPARTMENT***

The State Education Department's capital program provides for the maintenance of administrative facilities in Albany, the School for the Blind in Batavia, the School for the Deaf in Rome, and the three Native American schools on the Onondaga, St. Regis Mohawk and Tuscarora reservations.

The 2003-04 Executive Budget includes Capital Projects Fund appropriations of \$3.75 million with disbursements projected to total \$4.6 million. These appropriations include \$1.5 million for various rehabilitation and renovation projects at the St. Regis Mohawk and the Tuscarora Elementary Schools. No new Capital Advance Funds are recommended.

For fiscal year 2003-04, the projected level of contract commitments is \$4.6 million. Projects previously funded are being designed and awarded as anticipated.

### ***NEW YORK STATE OFFICE OF SCIENCE, TECHNOLOGY AND ACADEMIC RESEARCH***

NYSTAR will continue to administer a \$95 million capital program to provide funding for construction and rehabilitation of public and private university research facilities. Authorized in the 1999-2000 enacted Budget, this funding supports the construction and rehabilitation of state-of-the-art laboratories, and assists New York State in attracting and retaining high technology-related jobs. The program is financed through bonds issued by the Dormitory Authority.

# CAPITAL PROGRAM PLAN

**STATE UNIVERSITY OF NEW YORK  
SUMMARY OF  
PROJECTED APPROPRIATIONS, COMMITMENTS, AND DISBURSEMENTS  
2003-2004 THROUGH 2007-2008  
(thousands of dollars)**

|  |  | <b>APPROPRIATIONS</b>         |                  |                  |                  |                  | <b>Total</b>     |                  |
|--|--|-------------------------------|------------------|------------------|------------------|------------------|------------------|------------------|
|  |  | <b>Reappro-<br/>priations</b> | <b>2003-2004</b> | <b>2004-2005</b> | <b>2005-2006</b> | <b>2006-2007</b> | <b>2007-2008</b> | <b>2003-2008</b> |
| <b>Program Summary</b>                         |  |                               |                  |                  |                  |                  |                  |                  |
| Maintenance and Improvements                   |  | 1,736,551                     | 2,561,000        | 0                | 0                | 0                | 0                | 2,561,000        |
| New Facilities                                 |  | 19,666                        | 0                | 0                | 0                | 0                | 0                | 0                |
| Total  |  | <u>1,756,217</u>              | <u>2,561,000</u> | <u>0</u>         | <u>0</u>         | <u>0</u>         | <u>0</u>         | <u>2,561,000</u> |
| <b>Fund Summary</b>                            |  |                               |                  |                  |                  |                  |                  |                  |
| Capital Projects Fund                          |  | 97,469                        | 150,000          | 0                | 0                | 0                | 0                | 150,000          |
| Capital Projects Fund - Advances               |  | 1,176,411                     | 1,826,000        | 0                | 0                | 0                | 0                | 1,826,000        |
| State University Capital Projects Fund         |  | 121,870                       | 250,000          | 0                | 0                | 0                | 0                | 250,000          |
| State University Residence Hall Rehabilitation |  |                               |                  |                  |                  |                  |                  |                  |
| Fund   |  | <u>360,467</u>                | <u>335,000</u>   | <u>0</u>         | <u>0</u>         | <u>0</u>         | <u>0</u>         | <u>335,000</u>   |
| Total  |  | <u>1,756,217</u>              | <u>2,561,000</u> | <u>0</u>         | <u>0</u>         | <u>0</u>         | <u>0</u>         | <u>2,561,000</u> |

|  |  | <b>2003-2004</b> | <b>2004-2005</b> | <b>2005-2006</b> | <b>2006-2007</b> | <b>2007-2008</b> |
|--|--|------------------|------------------|------------------|------------------|------------------|
| <b>Program Summary</b>                         |  |                  |                  |                  |                  |                  |
| Maintenance and Improvements                   |  | 330,000          | 350,000          | 370,000          | 390,000          | 410,000          |
| Total  |  | <u>330,000</u>   | <u>350,000</u>   | <u>370,000</u>   | <u>390,000</u>   | <u>410,000</u>   |
| <b>Fund Summary</b>                            |  |                  |                  |                  |                  |                  |
| Capital Projects Fund                          |  | 30,000           | 30,000           | 30,000           | 30,000           | 30,000           |
| Capital Projects Fund - Advances               |  | 250,000          | 270,000          | 290,000          | 310,000          | 330,000          |
| State University Capital Projects Fund         |  | 20,000           | 20,000           | 20,000           | 20,000           | 20,000           |
| State University Residence Hall Rehabilitation |  |                  |                  |                  |                  |                  |
| Fund   |  | <u>30,000</u>    | <u>30,000</u>    | <u>30,000</u>    | <u>30,000</u>    | <u>30,000</u>    |
| Total  |  | <u>330,000</u>   | <u>350,000</u>   | <u>370,000</u>   | <u>390,000</u>   | <u>410,000</u>   |

|  |  | <b>Estimated<br/>2002-2003</b> | <b>2003-2004</b> | <b>2004-2005</b> | <b>2005-2006</b> | <b>2006-2007</b> | <b>2007-2008</b> | <b>Total<br/>2003-2008</b> |
|--|--|--------------------------------|------------------|------------------|------------------|------------------|------------------|----------------------------|
| <b>Program Summary</b>                         |  |                                |                  |                  |                  |                  |                  |                            |
| Maintenance and Improvements                   |  | 305,700                        | 368,000          | 398,000          | 428,000          | 428,000          | 428,000          | 2,050,000                  |
| Total  |  | <u>305,700</u>                 | <u>368,000</u>   | <u>398,000</u>   | <u>428,000</u>   | <u>428,000</u>   | <u>428,000</u>   | <u>2,050,000</u>           |
| <b>Fund Summary</b>                            |  |                                |                  |                  |                  |                  |                  |                            |
| Capital Projects Fund                          |  | 36,700                         | 39,000           | 39,000           | 39,000           | 39,000           | 39,000           | 195,000                    |
| Capital Projects Fund - Advances               |  | 215,000                        | 280,000          | 310,000          | 340,000          | 340,000          | 340,000          | 1,610,000                  |
| State University Capital Projects Fund         |  | 24,000                         | 24,000           | 24,000           | 24,000           | 24,000           | 24,000           | 120,000                    |
| State University Residence Hall Rehabilitation |  |                                |                  |                  |                  |                  |                  |                            |
| Fund   |  | <u>30,000</u>                  | <u>25,000</u>    | <u>25,000</u>    | <u>25,000</u>    | <u>25,000</u>    | <u>25,000</u>    | <u>125,000</u>             |
| Total  |  | <u>305,700</u>                 | <u>368,000</u>   | <u>398,000</u>   | <u>428,000</u>   | <u>428,000</u>   | <u>428,000</u>   | <u>2,050,000</u>           |

# CAPITAL PROGRAM PLAN

CITY UNIVERSITY OF NEW YORK  
SUMMARY OF  
PROJECTED APPROPRIATIONS, COMMITMENTS, AND DISBURSEMENTS  
2003-2004 THROUGH 2007-2008  
(thousands of dollars)

|   | APPROPRIATIONS        |                  |           |           |           |           | Total<br>2003-2008 |
|---|-----------------------|------------------|-----------|-----------|-----------|-----------|--------------------|
|   | Reappro-<br>priations | 2003-2004        | 2004-2005 | 2005-2006 | 2006-2007 | 2007-2008 |                    |
| <b>Program Summary</b>                            |                       |                  |           |           |           |           |                    |
| Maintenance and Improvements                      | 173,856               | 1,056,500        | 0         | 0         | 0         | 0         | 1,056,500          |
| New Facilities                                    | 352,459               | 0                | 0         | 0         | 0         | 0         | 0                  |
| Program Changes and Expansion                     | 3,745                 | 0                | 0         | 0         | 0         | 0         | 0                  |
| Total   | <u>530,060</u>        | <u>1,056,500</u> | <u>0</u>  | <u>0</u>  | <u>0</u>  | <u>0</u>  | <u>1,056,500</u>   |
| <b>Fund Summary</b>                               |                       |                  |           |           |           |           |                    |
| Capital Projects Fund                             | 55,143                | 25,000           | 0         | 0         | 0         | 0         | 25,000             |
| Capital Projects Fund - Advances                  | 472,946               | 1,031,500        | 0         | 0         | 0         | 0         | 1,031,500          |
| City University of New York Capital Projects Fund | 1,971                 | 0                | 0         | 0         | 0         | 0         | 0                  |
| Total   | <u>530,060</u>        | <u>1,056,500</u> | <u>0</u>  | <u>0</u>  | <u>0</u>  | <u>0</u>  | <u>1,056,500</u>   |

|                                  | COMMITMENTS    |                |                |                |                |
|----------------------------------|----------------|----------------|----------------|----------------|----------------|
|                                  | 2003-2004      | 2004-2005      | 2005-2006      | 2006-2007      | 2007-2008      |
| <b>Program Summary</b>           |                |                |                |                |                |
| Maintenance and Improvements     | 250,680        | 250,680        | 250,680        | 250,680        | 250,680        |
| Total                            | <u>250,680</u> | <u>250,680</u> | <u>250,680</u> | <u>250,680</u> | <u>250,680</u> |
| <b>Fund Summary</b>              |                |                |                |                |                |
| Capital Projects Fund            | 10,000         | 10,000         | 10,000         | 10,000         | 10,000         |
| Capital Projects Fund - Advances | 240,680        | 240,680        | 240,680        | 240,680        | 240,680        |
| Total                            | <u>250,680</u> | <u>250,680</u> | <u>250,680</u> | <u>250,680</u> | <u>250,680</u> |

|                               | DISBURSEMENTS          |              |              |              |              |              | Total<br>2003-2008 |
|-------------------------------|------------------------|--------------|--------------|--------------|--------------|--------------|--------------------|
|                               | Estimated<br>2002-2003 | 2003-2004    | 2004-2005    | 2005-2006    | 2006-2007    | 2007-2008    |                    |
| <b>Program Summary</b>        |                        |              |              |              |              |              |                    |
| Maintenance and Improvements  | 8,600                  | 8,351        | 9,100        | 9,100        | 9,100        | 9,100        | 44,751             |
| Program Changes and Expansion | 500                    | 749          | 0            | 0            | 0            | 0            | 749                |
| Total                         | <u>9,100</u>           | <u>9,100</u> | <u>9,100</u> | <u>9,100</u> | <u>9,100</u> | <u>9,100</u> | <u>45,500</u>      |
| <b>Fund Summary</b>           |                        |              |              |              |              |              |                    |
| Capital Projects Fund         | 9,100                  | 9,100        | 9,100        | 9,100        | 9,100        | 9,100        | 45,500             |
| Total                         | <u>9,100</u>           | <u>9,100</u> | <u>9,100</u> | <u>9,100</u> | <u>9,100</u> | <u>9,100</u> | <u>45,500</u>      |

# CAPITAL PROGRAM PLAN

**EDUCATION DEPARTMENT, STATE  
SUMMARY OF  
PROJECTED APPROPRIATIONS, COMMITMENTS, AND DISBURSEMENTS  
2003-2004 THROUGH 2007-2008  
(thousands of dollars)**

|   | APPROPRIATIONS        |              |              |              |              |              | Total<br>2003-2008 |
|---|-----------------------|--------------|--------------|--------------|--------------|--------------|--------------------|
|   | Reappro-<br>priations | 2003-2004    | 2004-2005    | 2005-2006    | 2006-2007    | 2007-2008    |                    |
| <b>Program Summary</b>                      |                       |              |              |              |              |              |                    |
| Administration                              | 3,656                 | 2,000        | 3,630        | 3,630        | 3,630        | 3,630        | 16,520             |
| Cultural Education Center                   | 16,830                | 0            | 0            | 0            | 0            | 0            | 0                  |
| Education Building                          | 2,836                 | 0            | 0            | 0            | 0            | 0            | 0                  |
| Rebuild Schools to Uphold Education Program | 57,000                | 0            | 0            | 0            | 0            | 0            | 0                  |
| School for the Blind                        | 3,910                 | 0            | 0            | 0            | 0            | 0            | 0                  |
| School for the Deaf                         | 501                   | 250          | 0            | 0            | 0            | 0            | 250                |
| Schools For Native American Reservations    | 0                     | 1,500        | 0            | 0            | 0            | 0            | 1,500              |
| Washington Avenue Armory                    | 300                   | 0            | 0            | 0            | 0            | 0            | 0                  |
| Total                                       | <u>85,033</u>         | <u>3,750</u> | <u>3,630</u> | <u>3,630</u> | <u>3,630</u> | <u>3,630</u> | <u>18,270</u>      |
| <b>Fund Summary</b>                         |                       |              |              |              |              |              |                    |
| Capital Projects Fund                       | 14,003                | 3,750        | 3,630        | 3,630        | 3,630        | 3,630        | 18,270             |
| Capital Projects Fund - Advances            | 14,030                | 0            | 0            | 0            | 0            | 0            | 0                  |
| Capital Projects Fund - Authority Bonds     | 57,000                | 0            | 0            | 0            | 0            | 0            | 0                  |
| Total                                       | <u>85,033</u>         | <u>3,750</u> | <u>3,630</u> | <u>3,630</u> | <u>3,630</u> | <u>3,630</u> | <u>18,270</u>      |

|  | COMMITMENTS  |              |              |              |              |
|--|--------------|--------------|--------------|--------------|--------------|
|  | 2003-2004    | 2004-2005    | 2005-2006    | 2006-2007    | 2007-2008    |
| <b>Program Summary</b>                   |              |              |              |              |              |
| Administration                           | 2,000        | 2,000        | 0            | 0            | 0            |
| Cultural Education Center                | 0            | 0            | 0            | 1,000        | 1,000        |
| Education Building                       | 1,630        | 1,630        | 3,630        | 3,630        | 3,630        |
| School for the Blind                     | 0            | 250          | 500          | 0            | 0            |
| School for the Deaf                      | 250          | 0            | 500          | 0            | 0            |
| Schools For Native American Reservations | 750          | 750          | 0            | 0            | 0            |
| Total                                    | <u>4,630</u> | <u>4,630</u> | <u>4,630</u> | <u>4,630</u> | <u>4,630</u> |
| <b>Fund Summary</b>                      |              |              |              |              |              |
| Capital Projects Fund                    | 4,630        | 4,630        | 4,630        | 4,630        | 4,630        |
| Total                                    | <u>4,630</u> | <u>4,630</u> | <u>4,630</u> | <u>4,630</u> | <u>4,630</u> |

|   | DISBURSEMENTS          |               |              |              |              |              | Total<br>2003-2008 |
|---|------------------------|---------------|--------------|--------------|--------------|--------------|--------------------|
|   | Estimated<br>2002-2003 | 2003-2004     | 2004-2005    | 2005-2006    | 2006-2007    | 2007-2008    |                    |
| <b>Program Summary</b>                      |                        |               |              |              |              |              |                    |
| Administration                              | 1,629                  | 2,412         | 2,708        | 3,630        | 3,052        | 3,630        | 15,432             |
| Capital Outlay Transition Grants            | 100,107                | 0             | 0            | 0            | 0            | 0            | 0                  |
| Cultural Education Center                   | 1,350                  | 340           | 1,030        | 500          | 195          | 0            | 2,065              |
| Design and Construction Supervision         | 100                    | 0             | 0            | 0            | 0            | 0            | 0                  |
| Education Building                          | 650                    | 240           | 22           | 300          | 1,023        | 0            | 1,585              |
| Rebuild Schools to Uphold Education Program | 60,000                 | 69,304        | 0            | 0            | 0            | 0            | 69,304             |
| School for the Blind                        | 400                    | 388           | 282          | 200          | 100          | 1,000        | 1,970              |
| School for the Deaf                         | 375                    | 250           | 88           | 0            | 260          | 0            | 598                |
| Schools For Native American Reservations    | 0                      | 1,000         | 500          | 0            | 0            | 0            | 1,500              |
| Total                                       | <u>164,611</u>         | <u>73,934</u> | <u>4,630</u> | <u>4,630</u> | <u>4,630</u> | <u>4,630</u> | <u>92,454</u>      |
| <b>Fund Summary</b>                         |                        |               |              |              |              |              |                    |
| Capital Projects Fund                       | 4,504                  | 4,630         | 4,630        | 4,630        | 4,630        | 4,630        | 23,150             |
| Capital Projects Fund - Advances            | 100,107                | 0             | 0            | 0            | 0            | 0            | 0                  |
| Capital Projects Fund - Authority Bonds     | 60,000                 | 69,304        | 0            | 0            | 0            | 0            | 69,304             |
| Total                                       | <u>164,611</u>         | <u>73,934</u> | <u>4,630</u> | <u>4,630</u> | <u>4,630</u> | <u>4,630</u> | <u>92,454</u>      |

# CAPITAL PROGRAM PLAN

SCIENCE, TECHNOLOGY AND ACADEMIC RESEARCH, OFFICE OF  
**SUMMARY OF  
 PROJECTED APPROPRIATIONS, COMMITMENTS, AND DISBURSEMENTS  
 2003-2004 THROUGH 2007-2008**  
 (thousands of dollars)

|   | APPROPRIATIONS        |           |           |           |           | Total     |           |
|---|-----------------------|-----------|-----------|-----------|-----------|-----------|-----------|
|   | Reappro-<br>priations | 2003-2004 | 2004-2005 | 2005-2006 | 2006-2007 | 2007-2008 | 2003-2008 |
| Program Summary                         |                       |           |           |           |           |           |           |
| Research Facilities                     | 49,500                | 0         | 0         | 0         | 0         | 0         | 0         |
| Total                                   | 49,500                | 0         | 0         | 0         | 0         | 0         | 0         |
| Fund Summary                            |                       |           |           |           |           |           |           |
| Capital Projects Fund                   | 2,000                 | 0         | 0         | 0         | 0         | 0         | 0         |
| Capital Projects Fund - Authority Bonds | 47,500                | 0         | 0         | 0         | 0         | 0         | 0         |
| Total                                   | 49,500                | 0         | 0         | 0         | 0         | 0         | 0         |

|   | COMMITMENTS |           |           |           |           |
|---|-------------|-----------|-----------|-----------|-----------|
|   | 2003-2004   | 2004-2005 | 2005-2006 | 2006-2007 | 2007-2008 |
| Program Summary                         |             |           |           |           |           |
| Research Facilities                     | 22,127      | 6,169     | 0         | 0         | 0         |
| Total                                   | 22,127      | 6,169     | 0         | 0         | 0         |
| Fund Summary                            |             |           |           |           |           |
| Capital Projects Fund                   | 2,000       | 0         | 0         | 0         | 0         |
| Capital Projects Fund - Authority Bonds | 20,127      | 6,169     | 0         | 0         | 0         |
| Total                                   | 22,127      | 6,169     | 0         | 0         | 0         |

|   | DISBURSEMENTS          |           |           |           |           | Total     |           |
|---|------------------------|-----------|-----------|-----------|-----------|-----------|-----------|
|   | Estimated<br>2002-2003 | 2003-2004 | 2004-2005 | 2005-2006 | 2006-2007 | 2007-2008 | 2003-2008 |
| Program Summary                         |                        |           |           |           |           |           |           |
| Research Facilities                     | 21,204                 | 22,127    | 6,169     | 0         | 0         | 0         | 28,296    |
| Total                                   | 21,204                 | 22,127    | 6,169     | 0         | 0         | 0         | 28,296    |
| Fund Summary                            |                        |           |           |           |           |           |           |
| Capital Projects Fund                   | 0                      | 2,000     | 0         | 0         | 0         | 0         | 2,000     |
| Capital Projects Fund - Authority Bonds | 21,204                 | 20,127    | 6,169     | 0         | 0         | 0         | 26,296    |
| Total                                   | 21,204                 | 22,127    | 6,169     | 0         | 0         | 0         | 28,296    |

**MENTAL HYGIENE**

The Department of Mental Hygiene capital program is administered through the three agencies within the Department — the Office of Mental Health (OMH), the Office of Mental Retardation and Developmental Disabilities (OMRDD), and the Office of Alcoholism and Substance Abuse Services (OASAS).

Capital projects for all Mental Hygiene agencies are supported by the General Fund and bonds issued by the Dormitory Authority. These financing mechanisms support the maintenance and rehabilitation of facilities operated by both the State and not-for-profit agencies, as well as the development of new community services for populations, which the State serves.

In an effort to streamline the payment of construction contractors and reduce capital construction costs, most bonded State capital projects have, since 1999, been funded directly from bond proceeds held at the Dormitory Authority. This funding mechanism eliminates most State spending of bond proceeds from the published tables shown in this document. This accounting treatment has no impact on capital projects for the Mental Hygiene agencies.

**OFFICE OF MENTAL HEALTH**

The Office of Mental Health (OMH) provides high quality services to an inpatient population of approximately 5,400 on 23 separate, active campuses containing 28 institutions: 17 adult, six children and youth, three forensic and two research facilities. In addition, the Agency helps fund the capital construction of hundreds of community residential sites, various mental health related general hospital projects, including psychiatric inpatient and specialized emergency rooms, and a number of non-residential community programs.

The 2003-04 Capital Plan includes appropriations and disbursements for OMH State-operated institutions that will continue to fund projects necessary to meet health and life safety codes, Joint Commission on Accreditation of Healthcare Organizations (JCAHO) accreditation standards, current Federal Medicaid certification requirements, and other projects which remediate environmental deficiencies, improve energy efficiency, preserve long-term facilities and consolidate campus facilities.

**State Operations**

New 2003-04 appropriations of \$137 million and reappropriations of \$402 million for OMH State-operated institutions support essential rehabilitation projects which preserve patient and staff health and safety and ensure compliance with facility accreditation standards. The 2003-04 State Operations capital budget reflects the proposed closure of three adult facilities: Hutchings PC, Middletown PC and Elmira PC.

OMH's capital maintenance plan ensures that the investments in the OMH infrastructure are preserved, both to realize its maximum useful life and to prevent costly repairs in the future. A recent assessment report identifies OMH's capital assets by group, age, and condition:

| Capital Asset Group                  | Age Range    | Condition |      |      | Total |
|--------------------------------------|--------------|-----------|------|------|-------|
|                                      |              | Good      | Fair | Poor |       |
| Residential/Hospital Buildings       | 1-100+       | 66        | 39   | 1    | 106   |
| Psychiatric Rehabilitation Buildings | 1-100+       | 47        | 47   | 0    | 94    |
| Administrative Support Buildings     | 1-100+       | 131       | 160  | 0    | 291   |
|                                      | <b>Total</b> | 244       | 246  | 1    | *491  |

\* excludes 725 vacant buildings and those with non-OMH tenants.

## **CAPITAL PROGRAM PLAN**

### ***Aid to Localities***

For OMH community programs, new 2003-04 appropriations of \$78 million and reappropriations of \$153 million will fund the development of new residential beds and the preservation and maintenance of the community infrastructure. Specifically, \$65 million in new appropriations will support the State's contribution towards 1,000 of the new 2,000 bed pipeline announced in the 2003-04 Executive Budget, whereas recommended reappropriations continue previously authorized bed initiatives, including New York/New York II, Community Mental Health Reinvestment and the 1999-00 \$50 million capital initiative. A total of \$53 million in disbursements, including \$6 million financed from the General Fund, is recommended for 2003-04. This local capital funding will support the development of over 1,600 new Single Room Occupancy and Community Residence beds, including 112 beds for children and youth.

### ***OFFICE OF MENTAL RETARDATION AND DEVELOPMENTAL DISABILITIES***

The Office of Mental Retardation and Developmental Disabilities (OMRDD) offers services in a variety of settings, ranging from homes and small facilities, to large institutional developmental centers. As in the past, the Five-Year Capital Plan for OMRDD continues to focus on serving consumers in the most appropriate settings, and keeping all programs safe for both consumers and staff.

In support of this goal, the Capital Plan recommends a total of \$458 million in new appropriations over the five-year period. For 2003-04, the Capital Plan recommends new appropriations of \$90 million and reappropriations of \$166 million, funding the following:

- Projects necessary to maintain health and safety standards for existing facilities and ensure conformance with all Federal and State certification standards;
- Minor rehabilitation projects for existing State- and voluntary-operated community facilities;
- Environmental modifications to existing State- and voluntary-operated residential and day program space to improve accessibility for individuals with disabilities;
- Completion of 100 State-operated beds authorized in 2001-02, in accordance with OMRDD's NYS-CARES development plan; and
- Improvements to secure or specialized treatment units which provide services to persons with severe behavioral challenges.

The bulk of the OMRDD Capital Plan — 75 percent — is dedicated to the preservation of State facilities, to ensure both quality care for consumers, and continued Federal accreditation. Based on a recent assessment of OMRDD facilities by the Dormitory Authority of the State of New York, the following table identifies the capital asset group, age and condition of OMRDD assets:

| <b>Capital Asset Group</b> | <b>Age Range</b> | <b>Condition</b> |             |             | <b>Total</b> |
|----------------------------|------------------|------------------|-------------|-------------|--------------|
|                            |                  | <b>Good</b>      | <b>Fair</b> | <b>Poor</b> |              |
| Institutional              | 1-75             | 62               | 216         | 99*         | 377          |
| Community                  | 1-55             | 977              | 52**        | 0           | 1,029        |
|                            | <b>Total</b>     | 1,039            | 268         | 99          | 1,406        |

\* All 99 buildings are vacant and classified as programmatically obsolete, meaning they are not scheduled for short- or long-term use.

\*\* According to agency estimates, at any point in time approximately five percent of State-operated community homes require minor maintenance work and are, therefore, rated as fair.

The Capital Plan for OMRDD will be financed through a mix of current resources and bond proceeds. Over the five years, nearly 55 percent will be financed on a pay-as-you-go basis. It should be noted, however, that bonded appropriations do not generally support community development or NYS-CARES. Rather, the majority of community development since 1996-97 has been accomplished through private financing rather than the use of

## ***CAPITAL PROGRAM PLAN***

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State-backed Dormitory Authority bonding. Accordingly, capital costs associated with the majority of not-for-profit community development — including the NYS-CARES initiative — are not reflected in the Five-Year Capital Plan.

### ***OFFICE OF ALCOHOLISM AND SUBSTANCE ABUSE SERVICES***

The Office of Alcoholism and Substance Abuse Services (OASAS) supports a network of providers offering a continuum of services to treat and prevent chemical dependency. While the majority of this system is operated by voluntary not-for-profit organizations, the State itself operates 13 Addiction Treatment Centers (ATCs). The Capital Plan recommends new appropriations of \$184 million over the next five years to support projects throughout the system. These projects focus primarily on ensuring the health and safety of the system's clients, and the preservation of both State and voluntary facilities.

Annually, approximately \$34 million is appropriated to support capital projects within a network of community-based residential and ambulatory treatment centers, chemical dependence outpatient clinics, and methadone clinics. Reappropriations for 2003-04 provide authorization necessary to complete the development of 100 residential treatment beds for either women with children or adolescents, as provided for in the 2000-01 enacted budget. Moreover, sufficient amounts are included in the Plan to continue the 213 bed treatment initiative enacted as part of the 1997-98 Budget.

In addition, approximately \$1.5 million is appropriated annually to support critical maintenance projects in the State ATCs. While twelve of the thirteen State-operated facilities are considered fixed assets of other agencies, OASAS is nevertheless responsible for their maintenance. Eleven of the thirteen facilities are located on the grounds of Office of Mental Health Psychiatric Centers while another facility is located at the Department of Corrections' Willard Drug Treatment Campus. The following table presents the age and condition of the single Office of Alcoholism and Substance Abuse Services capital asset.

| <u>Capital Asset Group</u> | <u>Age Range</u> | <u>Condition</u> |             |             |
|----------------------------|------------------|------------------|-------------|-------------|
|                            |                  | <u>Good</u>      | <u>Fair</u> | <u>Poor</u> |
| Kingsboro ATC              | 7                |                  | X           |             |

# CAPITAL PROGRAM PLAN

**MENTAL HEALTH, OFFICE OF  
SUMMARY OF  
PROJECTED APPROPRIATIONS, COMMITMENTS, AND DISBURSEMENTS  
2003-2004 THROUGH 2007-2008  
(thousands of dollars)**

|  | <b>APPROPRIATIONS</b>         |                  |                  |                  |                  |                  | <b>Total<br/>2003-2008</b> |
|--|-------------------------------|------------------|------------------|------------------|------------------|------------------|----------------------------|
|  | <b>Reappro-<br/>priations</b> | <b>2003-2004</b> | <b>2004-2005</b> | <b>2005-2006</b> | <b>2006-2007</b> | <b>2007-2008</b> |                            |
| <b>Program Summary</b>                           |                               |                  |                  |                  |                  |                  |                            |
| Administration                                   | 6,625                         | 3,300            | 3,300            | 3,300            | 3,300            | 3,300            | 16,500                     |
| Design and Construction Supervision              | 9,837                         | 10,000           | 8,500            | 8,500            | 8,500            | 8,500            | 44,000                     |
| Maintenance and Improvements of State Facilities | 377,317                       | 123,700          | 103,200          | 103,200          | 103,200          | 103,200          | 536,500                    |
| Non-Bondable Projects                            | 8,000                         | 1,000            | 1,000            | 1,000            | 1,000            | 1,000            | 5,000                      |
| Voluntary Facilities                             | 153,326                       | 77,482           | 12,494           | 86,506           | 11,518           | 11,530           | 199,530                    |
| Total  | <u>555,105</u>                | <u>215,482</u>   | <u>128,494</u>   | <u>202,506</u>   | <u>127,518</u>   | <u>127,530</u>   | <u>801,530</u>             |
| <b>Fund Summary</b>                              |                               |                  |                  |                  |                  |                  |                            |
| Capital Projects Fund                            | 68,081                        | 42,000           | 44,000           | 43,000           | 43,000           | 43,000           | 215,000                    |
| Mental Hygiene Capital Improvement Fund          | 487,024                       | 173,482          | 84,494           | 159,506          | 84,518           | 84,530           | 586,530                    |
| Total  | <u>555,105</u>                | <u>215,482</u>   | <u>128,494</u>   | <u>202,506</u>   | <u>127,518</u>   | <u>127,530</u>   | <u>801,530</u>             |

|  | <b>COMMITMENTS</b> |                  |                  |                  |                  |
|--|--------------------|------------------|------------------|------------------|------------------|
|  | <b>2003-2004</b>   | <b>2004-2005</b> | <b>2005-2006</b> | <b>2006-2007</b> | <b>2007-2008</b> |
| <b>Program Summary</b>                           |                    |                  |                  |                  |                  |
| Administration                                   | 3,300              | 3,300            | 3,300            | 3,300            | 3,300            |
| Design and Construction Supervision              | 9,500              | 8,500            | 8,500            | 8,500            | 8,500            |
| Maintenance and Improvements of State Facilities | 124,200            | 103,200          | 103,200          | 103,200          | 103,200          |
| Non-Bondable Projects                            | 1,000              | 1,000            | 1,000            | 1,000            | 1,000            |
| Voluntary Facilities                             | 49,000             | 38,000           | 38,000           | 38,000           | 35,000           |
| Total  | <u>187,000</u>     | <u>154,000</u>   | <u>154,000</u>   | <u>154,000</u>   | <u>151,000</u>   |
| <b>Fund Summary</b>                              |                    |                  |                  |                  |                  |
| Capital Projects Fund                            | 40,500             | 40,500           | 44,000           | 44,000           | 41,000           |
| Mental Hygiene Capital Improvement Fund          | 146,500            | 113,500          | 110,000          | 110,000          | 110,000          |
| Total  | <u>187,000</u>     | <u>154,000</u>   | <u>154,000</u>   | <u>154,000</u>   | <u>151,000</u>   |

|  | <b>DISBURSEMENTS</b>           |                  |                  |                  |                  |                  | <b>Total<br/>2003-2008</b> |
|--|--------------------------------|------------------|------------------|------------------|------------------|------------------|----------------------------|
|  | <b>Estimated<br/>2002-2003</b> | <b>2003-2004</b> | <b>2004-2005</b> | <b>2005-2006</b> | <b>2006-2007</b> | <b>2007-2008</b> |                            |
| <b>Program Summary</b>                           |                                |                  |                  |                  |                  |                  |                            |
| Administration                                   | 2,977                          | 3,300            | 3,300            | 3,300            | 3,300            | 2,500            | 15,700                     |
| Design and Construction Supervision              | 1,324                          | 1,500            | 1,500            | 1,500            | 1,500            | 3,200            | 9,200                      |
| Maintenance and Improvements of State Facilities | 67,458                         | 69,282           | 70,700           | 70,700           | 76,700           | 68,100           | 355,482                    |
| Non-Bondable Projects                            | 2,000                          | 1,000            | 1,000            | 1,000            | 1,000            | 1,000            | 5,000                      |
| Voluntary Facilities                             | 23,538                         | 52,079           | 41,312           | 40,506           | 40,518           | 40,530           | 214,945                    |
| Total  | <u>97,297</u>                  | <u>127,161</u>   | <u>117,812</u>   | <u>117,006</u>   | <u>123,018</u>   | <u>115,330</u>   | <u>600,327</u>             |
| <b>Fund Summary</b>                              |                                |                  |                  |                  |                  |                  |                            |
| Capital Projects Fund                            | 32,859                         | 35,550           | 37,318           | 36,500           | 34,800           | 34,800           | 178,968                    |
| Mental Hygiene Capital Improvement Fund          | 64,438                         | 91,611           | 80,494           | 80,506           | 88,218           | 80,530           | 421,359                    |
| Total  | <u>97,297</u>                  | <u>127,161</u>   | <u>117,812</u>   | <u>117,006</u>   | <u>123,018</u>   | <u>115,330</u>   | <u>600,327</u>             |

# CAPITAL PROGRAM PLAN

**MENTAL RETARDATION AND DEVELOPMENTAL DISABILITIES, OFFICE OF  
SUMMARY OF  
PROJECTED APPROPRIATIONS, COMMITMENTS, AND DISBURSEMENTS  
2003-2004 THROUGH 2007-2008  
(thousands of dollars)**

|   | APPROPRIATIONS        |               |               |               |               |               | Total<br>2003-2008 |
|---|-----------------------|---------------|---------------|---------------|---------------|---------------|--------------------|
|   | Reappro-<br>priations | 2003-2004     | 2004-2005     | 2005-2006     | 2006-2007     | 2007-2008     |                    |
| <b>Program Summary</b>                  |                       |               |               |               |               |               |                    |
| Community Services Program              | 23,700                | 18,886        | 18,973        | 19,063        | 19,164        | 19,279        | 95,365             |
| Design and Construction Supervision     | 0                     | 5,000         | 5,000         | 5,000         | 5,000         | 5,000         | 25,000             |
| Institutional Services Program          | 125,112               | 43,454        | 44,078        | 45,140        | 46,112        | 47,089        | 225,873            |
| Non-Bondable Projects                   | 1,000                 | 1,000         | 1,000         | 1,000         | 1,000         | 1,000         | 5,000              |
| Voluntary Facilities                    | 15,877                | 21,741        | 20,085        | 20,952        | 21,726        | 22,595        | 107,099            |
| Total                                   | <u>165,689</u>        | <u>90,081</u> | <u>89,136</u> | <u>91,155</u> | <u>93,002</u> | <u>94,963</u> | <u>458,337</u>     |
| <b>Fund Summary</b>                     |                       |               |               |               |               |               |                    |
| Capital Projects Fund                   | 51,804                | 49,151        | 49,864        | 51,132        | 51,933        | 53,326        | 255,406            |
| Mental Hygiene Capital Improvement Fund | 113,885               | 40,930        | 39,272        | 40,023        | 41,069        | 41,637        | 202,931            |
| Total                                   | <u>165,689</u>        | <u>90,081</u> | <u>89,136</u> | <u>91,155</u> | <u>93,002</u> | <u>94,963</u> | <u>458,337</u>     |

|   | COMMITMENTS   |               |               |               |               |
|---|---------------|---------------|---------------|---------------|---------------|
|   | 2003-2004     | 2004-2005     | 2005-2006     | 2006-2007     | 2007-2008     |
| <b>Program Summary</b>                  |               |               |               |               |               |
| Community Services Program              | 16,613        | 16,700        | 16,790        | 16,876        | 16,908        |
| Design and Construction Supervision     | 5,000         | 5,000         | 5,000         | 5,000         | 5,000         |
| Institutional Services Program          | 42,454        | 43,078        | 44,140        | 45,239        | 46,003        |
| Non-Bondable Projects                   | 1,000         | 1,000         | 1,000         | 1,000         | 1,000         |
| Voluntary Facilities                    | 14,841        | 15,185        | 16,052        | 17,249        | 18,011        |
| Total                                   | <u>79,908</u> | <u>80,963</u> | <u>82,982</u> | <u>85,364</u> | <u>86,922</u> |
| <b>Fund Summary</b>                     |               |               |               |               |               |
| Capital Projects Fund                   | 42,878        | 43,591        | 44,859        | 46,249        | 46,798        |
| Mental Hygiene Capital Improvement Fund | 37,030        | 37,372        | 38,123        | 39,115        | 40,124        |
| Total                                   | <u>79,908</u> | <u>80,963</u> | <u>82,982</u> | <u>85,364</u> | <u>86,922</u> |

|   | DISBURSEMENTS          |               |               |               |               |               | Total<br>2003-2008 |
|---|------------------------|---------------|---------------|---------------|---------------|---------------|--------------------|
|   | Estimated<br>2002-2003 | 2003-2004     | 2004-2005     | 2005-2006     | 2006-2007     | 2007-2008     |                    |
| <b>Program Summary</b>                  |                        |               |               |               |               |               |                    |
| Community Services Program              | 8,773                  | 11,000        | 11,000        | 12,000        | 12,400        | 13,100        | 59,500             |
| Design and Construction Supervision     | 8,000                  | 5,000         | 5,000         | 5,000         | 5,000         | 5,000         | 25,000             |
| Institutional Services Program          | 19,082                 | 19,200        | 19,081        | 18,800        | 19,080        | 19,200        | 95,361             |
| Voluntary Facilities                    | 13,598                 | 14,166        | 12,860        | 13,571        | 14,081        | 14,610        | 69,288             |
| Total                                   | <u>49,453</u>          | <u>49,366</u> | <u>47,941</u> | <u>49,371</u> | <u>50,561</u> | <u>51,910</u> | <u>249,149</u>     |
| <b>Fund Summary</b>                     |                        |               |               |               |               |               |                    |
| Capital Projects Fund                   | 38,342                 | 41,215        | 41,725        | 43,070        | 44,166        | 45,400        | 215,576            |
| Mental Hygiene Capital Improvement Fund | 11,111                 | 8,151         | 6,216         | 6,301         | 6,395         | 6,510         | 33,573             |
| Total                                   | <u>49,453</u>          | <u>49,366</u> | <u>47,941</u> | <u>49,371</u> | <u>50,561</u> | <u>51,910</u> | <u>249,149</u>     |

# CAPITAL PROGRAM PLAN

**ALCOHOLISM AND SUBSTANCE ABUSE SERVICES, OFFICE OF  
SUMMARY OF  
PROJECTED APPROPRIATIONS, COMMITMENTS, AND DISBURSEMENTS  
2003-2004 THROUGH 2007-2008  
(thousands of dollars)**

|  | <b>APPROPRIATIONS</b>         |                  |                  |                  |                  |                  | <b>Total<br/>2003-2008</b> |
|--|-------------------------------|------------------|------------------|------------------|------------------|------------------|----------------------------|
|  | <b>Reappro-<br/>priations</b> | <b>2003-2004</b> | <b>2004-2005</b> | <b>2005-2006</b> | <b>2006-2007</b> | <b>2007-2008</b> |                            |
| <b>Program Summary</b>                                 |                               |                  |                  |                  |                  |                  |                            |
| Administration   | 0                             | 1,025            | 1,094            | 1,075            | 1,110            | 1,145            | 5,449                      |
| Community Alcoholism and Substance Abuse<br>Facilities | 102,822                       | 31,560           | 31,560           | 31,560           | 31,560           | 31,560           | 157,800                    |
| Design and Construction Supervision                    | 1,250                         | 2,000            | 2,000            | 2,000            | 2,000            | 2,000            | 10,000                     |
| Institutional Services Program                         | 14,092                        | 1,500            | 1,500            | 1,500            | 1,500            | 1,500            | 7,500                      |
| Non-Bondable Projects                                  | 0                             | 750              | 750              | 750              | 750              | 750              | 3,750                      |
| Total  | <u>118,164</u>                | <u>36,835</u>    | <u>36,904</u>    | <u>36,885</u>    | <u>36,920</u>    | <u>36,955</u>    | <u>184,499</u>             |
| <b>Fund Summary</b>                                    |                               |                  |                  |                  |                  |                  |                            |
| Capital Projects Fund                                  | 15,882                        | 9,085            | 9,154            | 9,135            | 9,170            | 9,205            | 45,749                     |
| Mental Hygiene Capital Improvement Fund                | 102,282                       | 27,750           | 27,750           | 27,750           | 27,750           | 27,750           | 138,750                    |
| Total  | <u>118,164</u>                | <u>36,835</u>    | <u>36,904</u>    | <u>36,885</u>    | <u>36,920</u>    | <u>36,955</u>    | <u>184,499</u>             |

|  | <b>COMMITMENTS</b> |                  |                  |                  |                  |
|--|--------------------|------------------|------------------|------------------|------------------|
|  | <b>2003-2004</b>   | <b>2004-2005</b> | <b>2005-2006</b> | <b>2006-2007</b> | <b>2007-2008</b> |
| <b>Program Summary</b>                                 |                    |                  |                  |                  |                  |
| Administration   | 1,062              | 1,094            | 1,127            | 1,161            | 1,175            |
| Community Alcoholism and Substance Abuse<br>Facilities | 22,002             | 21,897           | 21,587           | 20,775           | 20,870           |
| Design and Construction Supervision                    | 3,610              | 3,445            | 3,300            | 3,248            | 3,275            |
| Institutional Services Program                         | 500                | 475              | 350              | 559              | 600              |
| Non-Bondable Projects                                  | 100                | 100              | 100              | 100              | 100              |
| Total  | <u>27,274</u>      | <u>27,011</u>    | <u>26,464</u>    | <u>25,843</u>    | <u>26,020</u>    |
| <b>Fund Summary</b>                                    |                    |                  |                  |                  |                  |
| Capital Projects Fund                                  | 6,367              | 6,633            | 6,864            | 8,991            | 9,107            |
| Mental Hygiene Capital Improvement Fund                | 20,907             | 20,378           | 19,600           | 16,852           | 16,913           |
| Total  | <u>27,274</u>      | <u>27,011</u>    | <u>26,464</u>    | <u>25,843</u>    | <u>26,020</u>    |

|  | <b>DISBURSEMENTS</b>           |                  |                  |                  |                  |                  | <b>Total<br/>2003-2008</b> |
|--|--------------------------------|------------------|------------------|------------------|------------------|------------------|----------------------------|
|  | <b>Estimated<br/>2002-2003</b> | <b>2003-2004</b> | <b>2004-2005</b> | <b>2005-2006</b> | <b>2006-2007</b> | <b>2007-2008</b> |                            |
| <b>Program Summary</b>                                 |                                |                  |                  |                  |                  |                  |                            |
| Administration   | 982                            | 1,062            | 1,094            | 1,075            | 1,110            | 1,106            | 5,447                      |
| Community Alcoholism and Substance Abuse<br>Facilities | 23,053                         | 21,914           | 24,691           | 24,389           | 26,431           | 27,135           | 124,560                    |
| Design and Construction Supervision                    | 3,000                          | 3,610            | 1,729            | 2,300            | 1,348            | 1,600            | 10,587                     |
| Institutional Services Program                         | 200                            | 729              | 475              | 350              | 375              | 500              | 2,429                      |
| Non-Bondable Projects                                  | 100                            | 100              | 100              | 100              | 100              | 100              | 500                        |
| Total  | <u>27,335</u>                  | <u>27,415</u>    | <u>28,089</u>    | <u>28,214</u>    | <u>29,364</u>    | <u>30,441</u>    | <u>143,523</u>             |
| <b>Fund Summary</b>                                    |                                |                  |                  |                  |                  |                  |                            |
| Capital Projects Fund                                  | 5,061                          | 5,679            | 6,633            | 7,864            | 8,991            | 8,991            | 38,158                     |
| Mental Hygiene Capital Improvement Fund                | 22,274                         | 21,736           | 21,456           | 20,350           | 20,373           | 21,450           | 105,365                    |
| Total  | <u>27,335</u>                  | <u>27,415</u>    | <u>28,089</u>    | <u>28,214</u>    | <u>29,364</u>    | <u>30,441</u>    | <u>143,523</u>             |

## HOUSING

### DIVISION OF HOUSING AND COMMUNITY RENEWAL

The State's housing capital programs provide grants, low-interest loans and technical assistance to facilitate construction and preservation of the State's low- and moderate-income housing stock. State capital funds are combined with Federal funds, low-cost mortgages and available private sector investments to finance activities that, absent the State's involvement, would not be financially feasible.

In addition to developing and maintaining low-cost housing, the housing capital programs foster economic growth across the State by creating additional construction jobs and encouraging new private sector investment in distressed areas.

The State's housing capital appropriations are made to the Division of Housing and Community Renewal (DHCR), the State agency charged with coordinating the State's housing policies and programs. The individual housing programs are implemented through four public benefit corporations: the Housing Trust Fund Corporation (HTFC); the Affordable Housing Corporation (AHC), the Homeless Housing Assistance Corporation (HHAC); and the Housing Finance Agency (HFA). DHCR staff perform the administrative functions generally associated with low-income housing programs as well as overseeing the State's involvement in Federal capital programs. HFA staff provide administrative support for the State programs that generally target moderate-income households.

The Capital Plan recommends \$104.2 million in appropriations in 2003-04 to fund six housing capital programs:

- \$29 million to the Low-Income Housing Trust Fund program to provide grants of up to \$75,000 per unit to construct or renovate low-income apartment projects. The Capital Plan maintains 2003-04 funding levels for this program through 2007-08;
- \$25 million to the Affordable Homeownership Development Program, which provides grants of up to \$25,000 to low- and moderate-income households to assist in the acquisition or renovation of their homes. The Capital Plan maintains 2003-04 funding levels for this program through 2007-08;
- \$30 million to the Homeless Housing Assistance Program (HHAP) which provides grants to not-for-profit corporations and municipalities to expand and improve the supply of permanent, transitional and emergency housing for homeless persons;
- \$12.8 million to the Public Housing Modernization Program to subsidize repairs at 74 State-supervised public housing projects across the State. A total of \$400,000 from this appropriation will be reserved to fund capital activities aimed at reducing illegal drug activities at these projects. The Capital Plan maintains 2003-04 funding levels for this program through 2007-08;
- \$7.0 million for the Homes for Working Families program to continue this award-winning initiative which combines State funds with other available public and private sector moneys, Federal Low Income Tax Credit proceeds and non-State supported bond funds to construct affordable rental housing for low- and moderate-income households; and,
- \$400,000 for the Housing Opportunities Program, which provides grants to low-income elderly homeowners for emergency home repairs. The Capital Plan maintains 2003-04 funding levels for this program through 2007-08.

In addition to State-funded programs, HTFC also awards and disburses Federal moneys pursuant to the U.S. Department of Housing and Urban Development's HOME program. This program provides grants to not-for-profit groups and local governments to partially fund the construction or rehabilitation of low- and moderate-income housing.

## ***CAPITAL PROGRAM PLAN***

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The Executive Budget also includes a reappropriation of \$11.3 million to continue programs funded from the State's Housing Assistance Fund (HAF). The HAF was established in 1988 with a one-time appropriation to fund eight housing construction and development programs serving low- and moderate-income households with specific housing needs.

The 2003-04 Capital Plan contemplates the commitment of State housing funds in the year in which funds are appropriated. Requests for funding from the State's various housing programs are reviewed and evaluated on an annual basis by program staff. These applications are submitted by private and not-for-profit sponsors of proposed low- and moderate-income housing projects. The applications are scored and ranked on a competitive basis and the review process culminates in award notifications for the most effective projects in meeting the State's housing needs.

### ***OFFICE OF TEMPORARY AND DISABILITY ASSISTANCE***

The Office of Temporary and Disability Assistance (OTDA) administers the Homeless Housing Assistance Program (HHAP) which provides grants to not-for-profit corporations and municipalities to expand and improve the supply of permanent, transitional, and emergency housing for homeless persons. To date, over \$512 million in HHAP commitments have resulted in more than 490 capital projects statewide and a projected 9,500 housing units for the homeless. HHAP also links its projects to other State and Federal funding sources to deliver appropriate support services to help tenants move toward greater self-determination and economic self-sufficiency.

The SFY 2003-04 Capital Plan maintains the HHAP commitment level at \$30 million for each year of the Five-Year Plan. This includes \$5 million for the development of housing for persons with HIV or AIDS. The Plan also continues the \$14 million initiative begun in SFY 1997-98 to develop over 250 domestic violence shelter beds in New York City. The project is anticipated to be completed by the end of calendar year 2004.

# CAPITAL PROGRAM PLAN

## HOUSING AND COMMUNITY RENEWAL, DIVISION OF SUMMARY OF PROJECTED APPROPRIATIONS, COMMITMENTS, AND DISBURSEMENTS 2003-2004 THROUGH 2007-2008 (thousands of dollars)

| Program Summary  | APPROPRIATIONS        |               |               |               |               |               | Total<br>2003-2008 |
|--|-----------------------|---------------|---------------|---------------|---------------|---------------|--------------------|
|  | Reappro-<br>priations | 2003-2004     | 2004-2005     | 2005-2006     | 2006-2007     | 2007-2008     |                    |
| Affordable Housing Corporation                         | 90,400                | 25,000        | 25,000        | 25,000        | 25,000        | 25,000        | 125,000            |
| Homes for Working Families Program                     | 10,000                | 7,000         | 7,000         | 7,000         | 7,000         | 7,000         | 35,000             |
| Housing Assistance Fund                                | 11,333                | 0             | 0             | 0             | 0             | 0             | 0                  |
| Housing Opportunity Program For Elderly                | 800                   | 400           | 400           | 400           | 400           | 400           | 2,000              |
| Housing Program Capital Improvement                    | 19,720                | 0             | 0             | 0             | 0             | 0             | 0                  |
| Low Income Housing Trust Fund                          | 121,175               | 29,000        | 29,000        | 29,000        | 29,000        | 29,000        | 145,000            |
| Maintenance and Improvements of Existing<br>Facilities | 8,604                 | 0             | 0             | 0             | 0             | 0             | 0                  |
| New Facilities   | 36,645                | 0             | 10,000        | 10,000        | 10,000        | 10,000        | 40,000             |
| Public Housing Modernization Program                   | 78,950                | 12,800        | 12,800        | 12,800        | 12,800        | 12,800        | 64,000             |
| State Housing Bond Fund                                | 7,344                 | 0             | 0             | 0             | 0             | 0             | 0                  |
| <b>Total</b>   | <b>384,971</b>        | <b>74,200</b> | <b>84,200</b> | <b>84,200</b> | <b>84,200</b> | <b>84,200</b> | <b>411,000</b>     |
| <b>Fund Summary</b>                                    |                       |               |               |               |               |               |                    |
| Capital Projects Fund                                  | 28,945                | 0             | 4,000         | 4,000         | 4,000         | 4,000         | 16,000             |
| Federal Capital Projects Fund                          | 35,420                | 0             | 10,000        | 10,000        | 10,000        | 10,000        | 40,000             |
| Housing Assistance Fund                                | 11,333                | 0             | 0             | 0             | 0             | 0             | 0                  |
| Housing Program Fund                                   | 301,929               | 74,200        | 70,200        | 70,200        | 70,200        | 70,200        | 355,000            |
| State Housing Bond Fund                                | 7,344                 | 0             | 0             | 0             | 0             | 0             | 0                  |
| <b>Total</b>   | <b>384,971</b>        | <b>74,200</b> | <b>84,200</b> | <b>84,200</b> | <b>84,200</b> | <b>84,200</b> | <b>411,000</b>     |

| Program Summary                         | COMMITMENTS   |               |               |               |               |
|---|---------------|---------------|---------------|---------------|---------------|
|   | 2003-2004     | 2004-2005     | 2005-2006     | 2006-2007     | 2007-2008     |
| Affordable Housing Corporation          | 25,000        | 25,000        | 25,000        | 25,000        | 25,000        |
| Homes for Working Families Program      | 7,000         | 7,000         | 7,000         | 7,000         | 7,000         |
| Housing Opportunity Program For Elderly | 400           | 400           | 400           | 400           | 400           |
| Low Income Housing Trust Fund           | 29,000        | 29,000        | 29,000        | 29,000        | 29,000        |
| New Facilities                          | 0             | 10,000        | 10,000        | 10,000        | 10,000        |
| Public Housing Modernization Program    | 12,800        | 12,800        | 12,800        | 12,800        | 12,800        |
| <b>Total</b>                            | <b>74,200</b> | <b>84,200</b> | <b>84,200</b> | <b>84,200</b> | <b>84,200</b> |
| <b>Fund Summary</b>                     |               |               |               |               |               |
| Capital Projects Fund                   | 0             | 4,000         | 4,000         | 4,000         | 4,000         |
| Federal Capital Projects Fund           | 0             | 10,000        | 10,000        | 10,000        | 10,000        |
| Housing Program Fund                    | 74,200        | 70,200        | 70,200        | 70,200        | 70,200        |
| <b>Total</b>                            | <b>74,200</b> | <b>84,200</b> | <b>84,200</b> | <b>84,200</b> | <b>84,200</b> |

| Program Summary  | DISBURSEMENTS          |               |               |               |               |               | Total<br>2003-2008 |
|--|------------------------|---------------|---------------|---------------|---------------|---------------|--------------------|
|  | Estimated<br>2002-2003 | 2003-2004     | 2004-2005     | 2005-2006     | 2006-2007     | 2007-2008     |                    |
| Affordable Housing Corporation                         | 25,700                 | 25,000        | 25,000        | 25,000        | 25,000        | 25,000        | 125,000            |
| Homes for Working Families Program                     | 7,700                  | 7,000         | 7,000         | 7,000         | 7,000         | 7,000         | 35,000             |
| Housing Assistance Fund                                | 4,000                  | 4,000         | 0             | 0             | 0             | 0             | 4,000              |
| Housing Opportunity Program For Elderly                | 400                    | 400           | 400           | 400           | 400           | 400           | 2,000              |
| Housing Program Capital Improvement                    | 990                    | 1,035         | 575           | 575           | 575           | 575           | 3,335              |
| Low Income Housing Trust Fund                          | 30,250                 | 31,150        | 30,250        | 29,000        | 29,000        | 29,000        | 148,400            |
| Maintenance and Improvements of Existing<br>Facilities | 1,900                  | 0             | 0             | 0             | 0             | 0             | 0                  |
| New Facilities   | 10,034                 | 10,575        | 10,000        | 10,000        | 10,000        | 10,000        | 50,575             |
| Public Housing Modernization Program                   | 11,500                 | 11,900        | 12,800        | 12,800        | 12,800        | 12,800        | 63,100             |
| <b>Total</b>   | <b>92,474</b>          | <b>91,060</b> | <b>86,025</b> | <b>84,775</b> | <b>84,775</b> | <b>84,775</b> | <b>431,410</b>     |
| <b>Fund Summary</b>                                    |                        |               |               |               |               |               |                    |
| Capital Projects Fund                                  | 3,540                  | 1,610         | 4,575         | 4,575         | 4,575         | 4,575         | 19,910             |
| Federal Capital Projects Fund                          | 9,484                  | 10,000        | 10,000        | 10,000        | 10,000        | 10,000        | 50,000             |
| Housing Assistance Fund                                | 4,000                  | 4,000         | 0             | 0             | 0             | 0             | 4,000              |
| Housing Program Fund                                   | 75,450                 | 75,450        | 71,450        | 70,200        | 70,200        | 70,200        | 357,500            |
| <b>Total</b>   | <b>92,474</b>          | <b>91,060</b> | <b>86,025</b> | <b>84,775</b> | <b>84,775</b> | <b>84,775</b> | <b>431,410</b>     |

# CAPITAL PROGRAM PLAN

**TEMPORARY AND DISABILITY ASSISTANCE, OFFICE OF  
SUMMARY OF  
PROJECTED APPROPRIATIONS, COMMITMENTS, AND DISBURSEMENTS  
2003-2004 THROUGH 2007-2008  
(thousands of dollars)**

|                           | <b>APPROPRIATIONS</b>         |                  |                  |                  |                  |                  | <b>Total<br/>2003-2008</b> |
|---------------------------|-------------------------------|------------------|------------------|------------------|------------------|------------------|----------------------------|
|                           | <b>Reappro-<br/>priations</b> | <b>2003-2004</b> | <b>2004-2005</b> | <b>2005-2006</b> | <b>2006-2007</b> | <b>2007-2008</b> |                            |
| <b>Program Summary</b>    |                               |                  |                  |                  |                  |                  |                            |
| Supported Housing Program | 141,736                       | 30,000           | 30,000           | 30,000           | 30,000           | 30,000           | 150,000                    |
| Total                     | <u>141,736</u>                | <u>30,000</u>    | <u>30,000</u>    | <u>30,000</u>    | <u>30,000</u>    | <u>30,000</u>    | <u>150,000</u>             |
| <b>Fund Summary</b>       |                               |                  |                  |                  |                  |                  |                            |
| Capital Projects Fund     | 1,500                         | 0                | 0                | 0                | 0                | 0                | 0                          |
| Housing Program Fund      | 140,236                       | 30,000           | 30,000           | 30,000           | 30,000           | 30,000           | 150,000                    |
| Total                     | <u>141,736</u>                | <u>30,000</u>    | <u>30,000</u>    | <u>30,000</u>    | <u>30,000</u>    | <u>30,000</u>    | <u>150,000</u>             |

|                           | <b>COMMITMENTS</b> |                  |                  |                  |                  |
|---------------------------|--------------------|------------------|------------------|------------------|------------------|
|                           | <b>2003-2004</b>   | <b>2004-2005</b> | <b>2005-2006</b> | <b>2006-2007</b> | <b>2007-2008</b> |
| <b>Program Summary</b>    |                    |                  |                  |                  |                  |
| Supported Housing Program | 30,000             | 30,000           | 30,000           | 30,000           | 30,000           |
| Total                     | <u>30,000</u>      | <u>30,000</u>    | <u>30,000</u>    | <u>30,000</u>    | <u>30,000</u>    |
| <b>Fund Summary</b>       |                    |                  |                  |                  |                  |
| Housing Program Fund      | 30,000             | 30,000           | 30,000           | 30,000           | 30,000           |
| Total                     | <u>30,000</u>      | <u>30,000</u>    | <u>30,000</u>    | <u>30,000</u>    | <u>30,000</u>    |

|                           | <b>DISBURSEMENTS</b>           |                  |                  |                  |                  |                  |                            |
|---------------------------|--------------------------------|------------------|------------------|------------------|------------------|------------------|----------------------------|
|                           | <b>Estimated<br/>2002-2003</b> | <b>2003-2004</b> | <b>2004-2005</b> | <b>2005-2006</b> | <b>2006-2007</b> | <b>2007-2008</b> | <b>Total<br/>2003-2008</b> |
| <b>Program Summary</b>    |                                |                  |                  |                  |                  |                  |                            |
| Supported Housing Program | 24,750                         | 24,500           | 28,000           | 28,000           | 28,000           | 28,000           | 136,500                    |
| Total                     | <u>24,750</u>                  | <u>24,500</u>    | <u>28,000</u>    | <u>28,000</u>    | <u>28,000</u>    | <u>28,000</u>    | <u>136,500</u>             |
| <b>Fund Summary</b>       |                                |                  |                  |                  |                  |                  |                            |
| Capital Projects Fund     | 1,750                          | 1,500            | 0                | 0                | 0                | 0                | 1,500                      |
| Housing Program Fund      | 23,000                         | 23,000           | 28,000           | 28,000           | 28,000           | 28,000           | 135,000                    |
| Total                     | <u>24,750</u>                  | <u>24,500</u>    | <u>28,000</u>    | <u>28,000</u>    | <u>28,000</u>    | <u>28,000</u>    | <u>136,500</u>             |

**OTHER**

**OFFICE OF GENERAL SERVICES**

The Office of General Services (OGS) is responsible for the operation, maintenance, and renovation of 46 major and 84 ancillary State-owned and operated buildings located throughout the State. The estimated replacement value of these 130 buildings is over \$4.5 billion. The 2003-04 Executive Budget emphasizes investments in the Office's asset management program, which includes preservation of facilities and preventive maintenance components aimed at reducing the number of emergencies and avoiding costly out year projects. Maintenance activities are undertaken by in-house staff, temporary service and outside contractors to protect existing capital assets and prevent further deterioration of the infrastructure. The asset management program for 2003-04 will fund high priority projects that will preserve the integrity of buildings and maintain a safe and healthy environment for the State's employees and the public. The Office will also have the flexibility to address critical infrastructure needs, while accommodating significant customer-tenant issues.

The Office continues to make significant capital investments in office facilities in the Albany area and future projects include the modernization of the Alfred E. Smith Office Building, a new parking garage at Elk Street and continued critical repairs at the State Capitol.

The OGS preventive maintenance program plan concentrates on projects intended to bring essential capital assets to a level at which they can achieve their life expectancy at a minimal cost to the State. To accomplish this, the Office has developed a facility condition assessment system that assesses the architectural, structural, mechanical, electrical and site components of each facility. This system identifies resource requirements and assures maintenance adequacy, while allowing managers to define, develop, and prioritize cost estimates for capital repairs and replacement projects.

The preventive maintenance program plan is focused on the goals of maximizing the useful life of facilities, improving the reliability of systems and equipment, and providing the means for determining equipment management and replacement needs. According to industry standards, the average building is constructed to last a minimum of 40 years, while parking lots can last more than 25 years with routine maintenance. However, since many of the assets managed by the Office, such as the State Capitol and the Executive Mansion, are historically significant, their useful life can be considered indefinite. Over the long-term, maintenance efforts will continue to enhance facilities by improving the building appearance and upgrading the overall condition as a capital asset. The program is estimated to require \$8 million in capital funding in 2003-04 to maintain the current infrastructure.

In evaluating its assets, the Office has established the following rating categories: good (shows normal wear and tear); poor (displays definite deterioration and may have unusable portions); and scrap (not usable). According to the most recent assessment of assets, 70 percent of the Office's buildings are rated in good condition, with 28 percent being rated in poor condition. The average age of office and support buildings is 35 years.

The following table identifies the capital asset group, age and condition of the Office's assets.

## ***CAPITAL PROGRAM PLAN***

|  | <b>Age Range</b> | <b>Condition</b> |             |                | <b>Total</b> |
|--|------------------|------------------|-------------|----------------|--------------|
|  |                  | <b>Good</b>      | <b>Poor</b> | <b>Unrated</b> |              |
| Empire State Plaza and Downtown Operations | To 120 yrs.      | 37               | 0           | 0              | 37           |
| Harriman State Office Building Campus      | To 40 yrs.       | 12               | 14          | 0              | 26           |
| Upstate Region                             | To 70 yrs.       | 16               | 16          | 0              | 32           |
| Lease/Purchase                             | To 50 yrs.       | 5                | 0           | 0              | 5            |
| Downstate Region                           | To 70 yrs.       | 7                | 0           | 3              | 10           |
| Parking Services                           | To 40 yrs.       | 14               | 6           | 0              | 20           |
|  | <b>Total</b>     | 91               | 36          | 3              | 130          |

To address the challenges that lie ahead, the Office has developed a strategic plan that will provide for the orderly rehabilitation and renovation of facilities. That plan, coupled with on-going maintenance efforts, will ensure that the Office will achieve its long-term goals, while addressing the pressing needs of the State's infrastructure.

### ***OFFICE OF CHILDREN AND FAMILY SERVICES***

The Office of Children and Family Services (OCFS) operates 40 residential youth facilities and 8 non-residential programs which serve nearly 2,000 youth, ages seven to 21. These facilities operate at a variety of security levels which range from secure centers, primarily housing juvenile offenders who were tried as adults, to community-based residences. The OCFS Capital Plan reflects the State's continued commitment to ensure that housing, program, and support space remains functional, safe, and secure.

The OCFS capital planning process will continue to identify improvements to its facilities to meet health and safety standards, and provide for program enhancements related to population needs. The agency's capital program focuses on the need to maintain the structural integrity of existing capital assets and to initiate facility modifications. This year's Capital Plan includes funding for health and safety, and environmental and facility preservation projects.

The Capital Plan also continues funding for the Child Care Facilities Development Program, which provides financial assistance for the construction or rehabilitation of child day care centers throughout the State. In addition, Section 529 of the Social Services Law requires the Office of Children and Family Services to maintain the community house within the Tonowanda Indian Reservation. This year's plan provides additional funding necessary to maintain the community house that was built in 1936.

The Office of Children and Family Services capital program is funded from the Capital Projects Fund, the Youth Facilities Improvement Fund, and the Miscellaneous Capital Projects Fund. Disbursements from the Youth Facilities Improvement Fund are reimbursed by bond proceeds issued by the Empire State Development Corporation. Disbursements for the Child Care Facilities Development Project are reimbursed by bond proceeds issued by the New York State Dormitory Authority.

Recommended disbursements of \$94.5 million are projected to support the OCFS Five-Year Plan for capital maintenance and improvement activities including \$69.3 million for facility rehabilitation and improvement projects; \$3 million for facility security enhancements; \$13.5 million for environmental compliance projects and \$8.7 million for the Child Care Facilities Development Program. The capital plan also projects \$20 million in fiscal year 2003-04 contract commitments, down \$72.8 million from 2002-03 projected levels. This decrease reflects the elimination of plans to construct a new facility.

In 2003-04, the Office of Children and Family Services capital maintenance program will include ongoing and new projects aimed at preserving the useful life of its facilities and infrastructure. Many of the Office's youth facilities are more than 30 years old and in "fair"

## ***CAPITAL PROGRAM PLAN***

condition, indicating the need for repair and/or improvement. The chart below lists Office of Children and Family Services facilities and group homes with information regarding age, remaining useful life and condition.

| <b>Asset / Asset Group</b>      | <b>Age</b> | <b>Remaining Useful Life</b> | <b>Condition</b> |             |             |                 |
|---------------------------------|------------|------------------------------|------------------|-------------|-------------|-----------------|
|                                 |            |                              | <b>Good</b>      | <b>Fair</b> | <b>Poor</b> | <b>Obsolete</b> |
| Brookwood SC                    | 40/5       | >10                          | X                |             |             |                 |
| Goshen SC                       | 40         | 5-10                         |                  | X           |             |                 |
| MacCormick SC                   | 20         | 5-10                         |                  | X           |             |                 |
| Allen RC                        | 53         | 5-10                         |                  | X           |             |                 |
| Bronx RC                        | 70         | 5-10                         |                  | X           |             |                 |
| Gossett RC                      | 7          | >10                          | X                |             |             |                 |
| Highland RC                     | 40         | <5                           |                  |             | X           |                 |
| Industry School                 | 70+        | 5-10                         |                  | X           |             |                 |
| Lansing RC                      | 60/8       | 5-10                         | X                | X           |             |                 |
| McQueen RC                      | 65         | <5                           |                  |             | X           |                 |
| Oatka RC                        | 20/8       | 5-10                         |                  | X           |             |                 |
| Parker Training                 | 60         | >10                          | X                | X           |             |                 |
| Pyramid RC                      | 70         | <5                           |                  | X           |             |                 |
| Tyron RC                        | 39         | 5-10                         |                  | X           |             |                 |
| Buffalo                         | 50+        | <5                           |                  |             |             | X               |
| New 25 Bed Facilities           | 8          | >10                          | X                |             |             |                 |
| Old 25 Bed Facilities           | 40+        | 5-10                         |                  | X           | X           |                 |
| All Group Homes                 | 30+        | <5                           |                  | X           | X           |                 |
| Youth Leadership Academy        | 7          | >10                          | X                |             |             |                 |
| Adirondack Wilderness Challenge | 7          | >10                          | X                |             |             |                 |

### ***DEPARTMENT OF HEALTH***

The focus of the Department of Health's (DOH) capital program is protecting the health and safety of its patients, employees and visitors. An integral part of this plan is to maintain and improve its capital assets which include five health care facilities: Helen Hayes Hospital in West Haverstraw and four veterans' homes in Oxford, St. Albans, Batavia, and the recently opened Montrose Veteran's Home in the Hudson Valley. The Department also maintains the Wadsworth Center for Laboratories and Research, which is comprised of three laboratories located in Albany County.

In January 1999, pursuant to an operating agreement between the two parties, responsibility for operation of the Roswell Park Cancer Institute was transferred from the Department to the Roswell Park Cancer Institute Corporation. The Corporation is now responsible for the ongoing maintenance of Roswell's capital assets.

For 2003-04, DOH's Capital Program includes both ongoing and new projects to address major capital needs with estimated total disbursements of \$100 million. Planned projects will preclude potentially more costly future capital expenditures while minimizing interruptions in clinical care services and laboratory functions. In addition, the Department will continue its participation in implementing the Safe Drinking Water Program, which will be financed through a \$65 million Federal appropriation in 2003-04.

Commitments are estimated at \$515 million over the five-year plan, including \$30 million from the Clean Water/Clean Air (CWCA) Bond Act, \$255 million from Federal funds and \$225 million from the Capital Projects Fund for the Safe Drinking Water Program. The balance reflects planned projects for DOH facilities.

The Capital Plan includes \$27 million over the next five years for capital maintenance. The Department's goals are to ensure a safe environment, preserve infrastructure and related equipment and to promote energy efficiency.

## ***CAPITAL PROGRAM PLAN***

The Department's capital program is financed by CWCA Bond Act proceeds, Federal grants, Special Revenue funds, and the State's General Fund. Debt Service on outstanding Dormitory Authority bonds will continue to be supported by patient care revenues.

| <b>Capital Asset Group</b>                     | <b>Age Range</b> | <b>Condition</b> |             |             | <b>Total</b> |
|--|------------------|------------------|-------------|-------------|--------------|
|  |                  | <b>Good</b>      | <b>Fair</b> | <b>Poor</b> |              |
| Helen Hayes Hospital                           | 19-100           | 4                | 10          | 5           | 19           |
| Wadsworth Center for Laboratories and Research | 4-55             | 6                | 18          | 0           | 24           |
| Veteran's Nursing Homes:                       |                  |                  |             |             |              |
| Oxford   | 3-100            | 3                | 2           | 2           | 7            |
| St. Albans                                     | 10               | 1                | 0           | 0           | 1            |
| Batavia  | 8                | 1                | 0           | 0           | 1            |
| Montrose                                       | 2                | 1                | 0           | 0           | 1            |
|  | <b>Total</b>     | 16               | 30          | 7           | 53           |

## ***DEPARTMENT OF AGRICULTURE AND MARKETS***

The Department of Agriculture and Markets, in conjunction with the Industrial Exhibit Authority, is responsible for operating the New York State Fair and maintaining its buildings and grounds. The Fairgrounds include 28 major buildings and 100 other structures, the majority of which have a useful life of greater than 10 years and are in good overall condition.

| <b>Capital Asset Group</b> | <b>Age Range</b> | <b>Condition</b> |             |             | <b>Total</b> |
|----------------------------|------------------|------------------|-------------|-------------|--------------|
|                            |                  | <b>Good</b>      | <b>Fair</b> | <b>Poor</b> |              |
| Various Fair Buildings     | 5 to 93 yrs.     | 110              | 14          | 4           | 128          |

For 2003-04, the capital plan supports approximately \$1.6 million in capital disbursements and a total of \$600,000 in new appropriations from the General Fund to repair and rehabilitate the Fair's facilities to ensure a safe and enjoyable experience for all Fair patrons and participants. An additional \$6.4 million in disbursements will be made available for similar projects through 2007-08.

The 2003-04 Executive Budget also recommends continued spending from Special Revenue funds for the Fair (financed by revenues from public/private partnership agreements and year-round operation of the Fairgrounds) to complete needed improvements at various Fairgrounds buildings.

The Department's capital maintenance plan for the next five years prioritizes those projects that will preserve, rehabilitate and improve Fairgrounds buildings, land and infrastructure for year-round use, and continue to protect the State's investment in the facility. In addition, Fairgrounds structures are upgraded continually to meet more stringent building code requirements, including safety and accessibility for the disabled.

For 2003-04, the level of commitments projected in the Capital Plan is \$1.6 million. Projects that were previously funded are being designed and awarded as anticipated. Future year commitments are consistent with planned appropriation levels over the next five years.

## ***ECONOMIC DEVELOPMENT***

For 2003-04, the Capital Plan continues the \$1.2 billion Centers of Excellence/Empire Opportunity Fund/Gen\*NY\*sis/RESTORE Program which is being administered by the Empire State Development Corporation (ESDC) and the Dormitory Authority of the State of New York (DA). This program was established to foster collaboration between the academic research community and the business sector in order to develop and commercialize new products and technologies; to promote critical private sector investment in emerging high technology fields; and to create and expand technology related businesses and employment. In addition, the Program also finances projects that create or retain jobs or increase business

## ***CAPITAL PROGRAM PLAN***

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activity through the construction and rehabilitation of research and development facilities, incubators and industrial parks; downtown commercial revitalization; brownfield redevelopment; as well as other types of activities.

The Capital Plan includes reappropriations for previously authorized environmental, higher education, cultural and economic development projects including: \$425 million for the Community Enhancement Facilities Assistance Program (CEFAP) authorized in 1997-98; \$172.3 million for the Strategic Investment Program (SIP) authorized in 2000-01; \$95 million for the Office of Science, Technology and Academic Research's (NYSTAR) Capital Facilities Program authorized in 1999-00; \$50 million for economic development projects in the Buffalo area authorized in 2000-01; \$23.7 million for the Economic Development and Natural Resources Preservation Program (EDNRP) authorized in 1999-00; and \$15 million for the construction of a stadium to house the Rochester Rhinos Soccer franchise authorized in 2000-01. Public authority bonds support these programs.

### ***ENERGY RESEARCH AND DEVELOPMENT AUTHORITY***

The Energy Research and Development Authority (ERDA) owns and manages the Western New York Nuclear Service Center at West Valley in Cattaraugus County, the site of a former nuclear fuel reprocessing facility and an inactive low-level radioactive waste disposal area.

The Authority's Capital Plan reflects its continuing role in a joint Federal-State Demonstration Project to treat and dispose of liquid nuclear waste at the Center and decommission the reprocessing facility. The Plan also includes ERDA's on-going maintenance costs at the disposal area to ensure its compliance with environmental laws.

ERDA's Capital Maintenance Plan indicates that the Western New York Service Center is approximately 35 years of age, in good condition, with a remaining useful life that will extend to the conclusion of the decommissioning of the site. The maintenance goal at the site is to preserve the facility in a state of good repair.

The 2003-04 commitment level of \$13.4 million also includes the anticipated cost for ERDA's role in the Clean Water/Clean Air Bond Act.

### ***JUDICIARY***

The 2003-04 Judiciary request includes reappropriations totaling \$28.7 million. This includes \$25 million for the continued renovation and expansion of the Court of Appeals building and \$3.7 million for expenses associated with improvements to the Appellate Division, Third Judicial Department quarters located within the Justice building in Albany.

# CAPITAL PROGRAM PLAN

**GENERAL SERVICES, OFFICE OF  
SUMMARY OF  
PROJECTED APPROPRIATIONS, COMMITMENTS, AND DISBURSEMENTS  
2003-2004 THROUGH 2007-2008  
(thousands of dollars)**

|  | <b>APPROPRIATIONS</b>         |                  |                  |                  |                  |                  | <b>Total<br/>2003-2008</b> |
|--|-------------------------------|------------------|------------------|------------------|------------------|------------------|----------------------------|
|  | <b>Reappro-<br/>priations</b> | <b>2003-2004</b> | <b>2004-2005</b> | <b>2005-2006</b> | <b>2006-2007</b> | <b>2007-2008</b> |                            |
| <b>Program Summary</b>                                     |                               |                  |                  |                  |                  |                  |                            |
| Design and Construction Supervision                        | 20,322                        | 13,000           | 9,071            | 11,760           | 12,600           | 12,600           | 59,031                     |
| Maintenance and Improvement of Real Property<br>Facilities | 208,480                       | 112,500          | 34,129           | 44,240           | 47,400           | 47,400           | 285,669                    |
| Petroleum Storage Tank                                     | 500                           | 0                | 0                | 0                | 0                | 0                | 0                          |
| Total  | <u>229,302</u>                | <u>125,500</u>   | <u>43,200</u>    | <u>56,000</u>    | <u>60,000</u>    | <u>60,000</u>    | <u>344,700</u>             |
| <b>Fund Summary</b>  |                               |                  |                  |                  |                  |                  |                            |
| Capital Projects Fund                                      | 133,623                       | 106,000          | 43,200           | 56,000           | 60,000           | 60,000           | 325,200                    |
| Capital Projects Fund - Advances                           | 5,479                         | 0                | 0                | 0                | 0                | 0                | 0                          |
| Capital Projects Fund - Authority Bonds                    | 90,200                        | 19,500           | 0                | 0                | 0                | 0                | 19,500                     |
| Total  | <u>229,302</u>                | <u>125,500</u>   | <u>43,200</u>    | <u>56,000</u>    | <u>60,000</u>    | <u>60,000</u>    | <u>344,700</u>             |

|  | <b>COMMITMENTS</b> |                  |                  |                  |                  |
|--|--------------------|------------------|------------------|------------------|------------------|
|  | <b>2003-2004</b>   | <b>2004-2005</b> | <b>2005-2006</b> | <b>2006-2007</b> | <b>2007-2008</b> |
| <b>Program Summary</b>                                     |                    |                  |                  |                  |                  |
| Design and Construction Supervision                        | 11,413             | 7,500            | 5,600            | 3,771            | 1,000            |
| Maintenance and Improvement of Real Property<br>Facilities | 30,787             | 35,700           | 50,400           | 56,229           | 59,000           |
| Total  | <u>42,200</u>      | <u>43,200</u>    | <u>56,000</u>    | <u>60,000</u>    | <u>60,000</u>    |
| <b>Fund Summary</b>  |                    |                  |                  |                  |                  |
| Capital Projects Fund                                      | 42,200             | 43,200           | 56,000           | 60,000           | 54,521           |
| Capital Projects Fund - Advances                           | 0                  | 0                | 0                | 0                | 5,479            |
| Total  | <u>42,200</u>      | <u>43,200</u>    | <u>56,000</u>    | <u>60,000</u>    | <u>60,000</u>    |

|  | <b>DISBURSEMENTS</b>           |                  |                  |                  |                  |                  | <b>Total<br/>2003-2008</b> |
|--|--------------------------------|------------------|------------------|------------------|------------------|------------------|----------------------------|
|  | <b>Estimated<br/>2002-2003</b> | <b>2003-2004</b> | <b>2004-2005</b> | <b>2005-2006</b> | <b>2006-2007</b> | <b>2007-2008</b> |                            |
| <b>Program Summary</b>                                     |                                |                  |                  |                  |                  |                  |                            |
| Design and Construction Supervision                        | 6,800                          | 11,413           | 7,500            | 5,600            | 3,771            | 1,000            | 29,284                     |
| Maintenance and Improvement of Real Property<br>Facilities | 71,900                         | 81,787           | 68,200           | 50,400           | 56,229           | 59,000           | 315,616                    |
| Total  | <u>78,700</u>                  | <u>93,200</u>    | <u>75,700</u>    | <u>56,000</u>    | <u>60,000</u>    | <u>60,000</u>    | <u>344,900</u>             |
| <b>Fund Summary</b>  |                                |                  |                  |                  |                  |                  |                            |
| Capital Projects Fund                                      | 52,500                         | 42,200           | 43,200           | 56,000           | 60,000           | 54,521           | 255,921                    |
| Capital Projects Fund - Advances                           | 0                              | 0                | 0                | 0                | 0                | 5,479            | 5,479                      |
| Capital Projects Fund - Authority Bonds                    | 26,200                         | 51,000           | 32,500           | 0                | 0                | 0                | 83,500                     |
| Total  | <u>78,700</u>                  | <u>93,200</u>    | <u>75,700</u>    | <u>56,000</u>    | <u>60,000</u>    | <u>60,000</u>    | <u>344,900</u>             |

# CAPITAL PROGRAM PLAN

**CHILDREN AND FAMILY SERVICES OFFICE OF  
SUMMARY OF  
PROJECTED APPROPRIATIONS, COMMITMENTS, AND DISBURSEMENTS  
2003-2004 THROUGH 2007-2008  
(thousands of dollars)**

| <b>APPROPRIATIONS</b>                           |                               |                  |                  |                  |                  |                  | <b>Total</b>     |
|---|-------------------------------|------------------|------------------|------------------|------------------|------------------|------------------|
|   | <b>Reappro-<br/>priations</b> | <b>2003-2004</b> | <b>2004-2005</b> | <b>2005-2006</b> | <b>2006-2007</b> | <b>2007-2008</b> | <b>2003-2008</b> |
| <b>Program Summary</b>                          |                               |                  |                  |                  |                  |                  |                  |
| Child Care Facilities Development Program       | 8,724                         | 0                | 0                | 0                | 0                | 0                | 0                |
| Design and Construction Supervision             | 4,000                         | 4,000            | 2,000            | 2,000            | 2,000            | 2,000            | 12,000           |
| Executive Direction and Administrative Services | 7,498                         | 0                | 0                | 0                | 0                | 0                | 0                |
| Maintenance and Improvement of Facilities       | 29,185                        | 13,930           | 6,000            | 5,000            | 5,000            | 5,000            | 34,930           |
| Program Improvement or Program Change           | 11,686                        | 2,100            | 3,000            | 3,000            | 3,000            | 3,000            | 14,100           |
| Youth Center                                    | 6,600                         | 0                | 0                | 0                | 0                | 0                | 0                |
| Total   | <u>67,693</u>                 | <u>20,030</u>    | <u>11,000</u>    | <u>10,000</u>    | <u>10,000</u>    | <u>10,000</u>    | <u>61,030</u>    |
| <b>Fund Summary</b>                             |                               |                  |                  |                  |                  |                  |                  |
| Capital Projects Fund                           | 13,877                        | 2,930            | 1,000            | 1,000            | 1,000            | 1,000            | 6,930            |
| Capital Projects Fund - Authority Bonds         | 8,724                         | 0                | 0                | 0                | 0                | 0                | 0                |
| Misc. Capital Projects                          | 7,000                         | 0                | 0                | 0                | 0                | 0                | 0                |
| Youth Facilities Improvement Fund               | 38,092                        | 17,100           | 10,000           | 9,000            | 9,000            | 9,000            | 54,100           |
| Total   | <u>67,693</u>                 | <u>20,030</u>    | <u>11,000</u>    | <u>10,000</u>    | <u>10,000</u>    | <u>10,000</u>    | <u>61,030</u>    |

| <b>COMMITMENTS</b>                        |                  |                  |                  |                  |                  |
|---|------------------|------------------|------------------|------------------|------------------|
|   | <b>2003-2004</b> | <b>2004-2005</b> | <b>2005-2006</b> | <b>2006-2007</b> | <b>2007-2008</b> |
| <b>Program Summary</b>                    |                  |                  |                  |                  |                  |
| Design and Construction Supervision       | 4,000            | 2,000            | 2,000            | 2,000            | 2,000            |
| Maintenance and Improvement of Facilities | 11,900           | 6,000            | 5,000            | 5,000            | 5,000            |
| Program Improvement or Program Change     | 4,100            | 3,000            | 3,000            | 3,000            | 3,000            |
| Total                                     | <u>20,000</u>    | <u>11,000</u>    | <u>10,000</u>    | <u>10,000</u>    | <u>10,000</u>    |
| <b>Fund Summary</b>                       |                  |                  |                  |                  |                  |
| Capital Projects Fund                     | 2,900            | 1,000            | 1,000            | 1,000            | 1,000            |
| Youth Facilities Improvement Fund         | 17,100           | 10,000           | 9,000            | 9,000            | 9,000            |
| Total                                     | <u>20,000</u>    | <u>11,000</u>    | <u>10,000</u>    | <u>10,000</u>    | <u>10,000</u>    |

| <b>DISBURSEMENTS</b>                            |                                |                  |                  |                  |                  |                  | <b>Total</b>     |
|---|--------------------------------|------------------|------------------|------------------|------------------|------------------|------------------|
|   | <b>Estimated<br/>2002-2003</b> | <b>2003-2004</b> | <b>2004-2005</b> | <b>2005-2006</b> | <b>2006-2007</b> | <b>2007-2008</b> | <b>2003-2008</b> |
| <b>Program Summary</b>                          |                                |                  |                  |                  |                  |                  |                  |
| Child Care Facilities Development Program       | 0                              | 8,724            | 0                | 0                | 0                | 0                | 8,724            |
| Design and Construction Supervision             | 3,312                          | 5,200            | 2,300            | 2,000            | 2,000            | 2,000            | 13,500           |
| Executive Direction and Administrative Services | 3,300                          | 2,400            | 1,500            | 0                | 0                | 0                | 3,900            |
| Maintenance and Improvement of Facilities       | 11,303                         | 16,843           | 10,855           | 8,600            | 8,000            | 6,000            | 50,298           |
| Program Improvement or Program Change           | 330                            | 5,971            | 7,170            | 2,600            | 1,300            | 1,000            | 18,041           |
| Youth Center                                    | 216                            | 0                | 0                | 0                | 0                | 0                | 0                |
| Total   | <u>18,461</u>                  | <u>39,138</u>    | <u>21,825</u>    | <u>13,200</u>    | <u>11,300</u>    | <u>9,000</u>     | <u>94,463</u>    |
| <b>Fund Summary</b>                             |                                |                  |                  |                  |                  |                  |                  |
| Capital Projects Fund                           | 4,866                          | 5,044            | 3,030            | 2,000            | 1,000            | 1,000            | 12,074           |
| Capital Projects Fund - Authority Bonds         | 0                              | 8,724            | 0                | 0                | 0                | 0                | 8,724            |
| Misc. Capital Projects                          | 3,000                          | 2,000            | 1,500            | 0                | 0                | 0                | 3,500            |
| Youth Facilities Improvement Fund               | 10,595                         | 23,370           | 17,295           | 11,200           | 10,300           | 8,000            | 70,165           |
| Total   | <u>18,461</u>                  | <u>39,138</u>    | <u>21,825</u>    | <u>13,200</u>    | <u>11,300</u>    | <u>9,000</u>     | <u>94,463</u>    |

# CAPITAL PROGRAM PLAN

**HEALTH, DEPARTMENT OF  
SUMMARY OF  
PROJECTED APPROPRIATIONS, COMMITMENTS, AND DISBURSEMENTS  
2003-2004 THROUGH 2007-2008  
(thousands of dollars)**

| Program Summary  | APPROPRIATIONS        |               |                |                |                |                | Total<br>2003-2008 |
|--|-----------------------|---------------|----------------|----------------|----------------|----------------|--------------------|
|  | Reappro-<br>priations | 2003-2004     | 2004-2005      | 2005-2006      | 2006-2007      | 2007-2008      |                    |
| Design and Construction Supervision                      | 452                   | 0             | 0              | 0              | 0              | 0              | 0                  |
| Laboratories and Research                                | 9,048                 | 4,000         | 4,000          | 8,000          | 0              | 0              | 16,000             |
| Maintenance and Improvements of Existing<br>Institutions | 21,908                | 7,600         | 7,600          | 15,200         | 0              | 0              | 30,400             |
| New Institution Construction                             | 20,000                | 0             | 0              | 0              | 0              | 0              | 0                  |
| Rehabilitation and Improvements                          | 1,500                 | 0             | 0              | 0              | 0              | 0              | 0                  |
| Safe Drinking Water - Clean Water/Clean Air 96           | 40,000                | 0             | 0              | 0              | 0              | 0              | 0                  |
| Water Resources  | 150,788               | 65,000        | 115,000        | 115,000        | 115,000        | 115,000        | 525,000            |
| <b>Total</b>   | <b>243,696</b>        | <b>76,600</b> | <b>126,600</b> | <b>138,200</b> | <b>115,000</b> | <b>115,000</b> | <b>571,400</b>     |
| <b>Fund Summary</b>                                      |                       |               |                |                |                |                |                    |
| Capital Projects Fund                                    | 32,908                | 11,600        | 11,600         | 23,200         | 0              | 0              | 46,400             |
| Capital Projects Fund - 1996 CWA (Bondable)              | 40,000                | 0             | 0              | 0              | 0              | 0              | 0                  |
| Capital Projects Fund - Advances                         | 20,000                | 0             | 0              | 0              | 0              | 0              | 0                  |
| Capital Projects Fund - Authority Bonds                  | 0                     | 0             | 50,000         | 50,000         | 50,000         | 50,000         | 200,000            |
| Federal Capital Projects Fund                            | 150,788               | 65,000        | 65,000         | 65,000         | 65,000         | 65,000         | 325,000            |
| <b>Total</b>   | <b>243,696</b>        | <b>76,600</b> | <b>126,600</b> | <b>138,200</b> | <b>115,000</b> | <b>115,000</b> | <b>571,400</b>     |

| Program Summary  | COMMITMENTS    |                |                |               |               |
|--|----------------|----------------|----------------|---------------|---------------|
|  | 2003-2004      | 2004-2005      | 2005-2006      | 2006-2007     | 2007-2008     |
| Laboratories and Research                                | 2,370          | 1,500          | 1,200          | 1,500         | 1,500         |
| Maintenance and Improvements of Existing<br>Institutions | 3,700          | 3,500          | 2,250          | 5,000         | 5,000         |
| Rehabilitation and Improvements                          | 4,000          | 4,000          | 2,150          | 0             | 0             |
| Safe Drinking Water - Clean Water/Clean Air 96           | 30,000         | 0              | 0              | 0             | 0             |
| Water Resources  | 60,408         | 113,555        | 114,900        | 79,000        | 79,000        |
| <b>Total</b>   | <b>100,478</b> | <b>122,555</b> | <b>120,500</b> | <b>85,500</b> | <b>85,500</b> |
| <b>Fund Summary</b>                                      |                |                |                |               |               |
| Batavia Rehabilitation and Improvement                   | 0              | 1,000          | 0              | 0             | 0             |
| Capital Projects Fund                                    | 5,478          | 53,555         | 55,500         | 55,500        | 55,500        |
| Capital Projects Fund - 1996 CWA (Bondable)              | 30,000         | 0              | 0              | 0             | 0             |
| Federal Capital Projects Fund                            | 65,000         | 65,000         | 65,000         | 30,000        | 30,000        |
| Helen Hayes Rehabilitation and Improvement               | 0              | 1,000          | 0              | 0             | 0             |
| Oxford Rehabilitation and Improvement                    | 0              | 1,000          | 0              | 0             | 0             |
| St. Albans Rehabilitation and Improvement                | 0              | 1,000          | 0              | 0             | 0             |
| <b>Total</b>   | <b>100,478</b> | <b>122,555</b> | <b>120,500</b> | <b>85,500</b> | <b>85,500</b> |

| Program Summary  | Estimated<br>2002-2003 | DISBURSEMENTS |                |                |                |                | Total<br>2003-2008 |
|--|------------------------|---------------|----------------|----------------|----------------|----------------|--------------------|
|  |                        | 2003-2004     | 2004-2005      | 2005-2006      | 2006-2007      | 2007-2008      |                    |
| Design and Construction Supervision                      | 243                    | 234           | 0              | 0              | 0              | 0              | 234                |
| Laboratories and Research                                | 1,252                  | 1,900         | 1,695          | 2,250          | 1,500          | 500            | 7,845              |
| Maintenance and Improvements of Existing<br>Institutions | 3,188                  | 2,992         | 3,805          | 2,750          | 4,000          | 5,000          | 18,547             |
| Rehabilitation and Improvements                          | 371                    | 352           | 0              | 0              | 0              | 0              | 352                |
| Safe Drinking Water - Clean Water/Clean Air 96           | 50,000                 | 30,000        | 0              | 0              | 0              | 0              | 30,000             |
| Water Resources  | 65,000                 | 64,419        | 115,000        | 115,000        | 115,000        | 115,000        | 524,419            |
| <b>Total</b>   | <b>120,054</b>         | <b>99,897</b> | <b>120,500</b> | <b>120,000</b> | <b>120,500</b> | <b>120,500</b> | <b>581,397</b>     |
| <b>Fund Summary</b>                                      |                        |               |                |                |                |                |                    |
| Capital Projects Fund                                    | 5,054                  | 5,478         | 5,500          | 5,000          | 5,500          | 5,500          | 26,978             |
| Capital Projects Fund - 1996 CWA (Bondable)              | 50,000                 | 30,000        | 0              | 0              | 0              | 0              | 30,000             |
| Capital Projects Fund - Authority Bonds                  | 0                      | 0             | 50,000         | 50,000         | 50,000         | 50,000         | 200,000            |
| Federal Capital Projects Fund                            | 65,000                 | 64,419        | 65,000         | 65,000         | 65,000         | 65,000         | 324,419            |
| <b>Total</b>   | <b>120,054</b>         | <b>99,897</b> | <b>120,500</b> | <b>120,000</b> | <b>120,500</b> | <b>120,500</b> | <b>581,397</b>     |

# CAPITAL PROGRAM PLAN

**AGRICULTURE AND MARKETS, DEPARTMENT OF  
SUMMARY OF  
PROJECTED APPROPRIATIONS, COMMITMENTS, AND DISBURSEMENTS  
2003-2004 THROUGH 2007-2008  
(thousands of dollars)**

|                        |       | <b>APPROPRIATIONS</b>         |                  |                  |                  |                  | <b>Total</b>     |                  |
|------------------------|-------|-------------------------------|------------------|------------------|------------------|------------------|------------------|------------------|
|                        |       | <b>Reappro-<br/>priations</b> | <b>2003-2004</b> | <b>2004-2005</b> | <b>2005-2006</b> | <b>2006-2007</b> | <b>2007-2008</b> | <b>2003-2008</b> |
| <b>Program Summary</b> |       |                               |                  |                  |                  |                  |                  |                  |
| State Fair             |       | 2,451                         | 2,600            | 2,600            | 2,600            | 2,600            | 2,600            | 13,000           |
|                        | Total | 2,451                         | 2,600            | 2,600            | 2,600            | 2,600            | 2,600            | 13,000           |
| <b>Fund Summary</b>    |       |                               |                  |                  |                  |                  |                  |                  |
| Capital Projects Fund  |       | 451                           | 600              | 600              | 600              | 600              | 600              | 3,000            |
| Misc. Capital Projects |       | 2,000                         | 2,000            | 2,000            | 2,000            | 2,000            | 2,000            | 10,000           |
|                        | Total | 2,451                         | 2,600            | 2,600            | 2,600            | 2,600            | 2,600            | 13,000           |

|                        |       | <b>2003-2004</b> | <b>2004-2005</b> | <b>2005-2006</b> | <b>2006-2007</b> | <b>2007-2008</b> |
|------------------------|-------|------------------|------------------|------------------|------------------|------------------|
| <b>Program Summary</b> |       |                  |                  |                  |                  |                  |
| State Fair             |       | 1,600            | 1,600            | 1,600            | 1,600            | 1,600            |
|                        | Total | 1,600            | 1,600            | 1,600            | 1,600            | 1,600            |
| <b>Fund Summary</b>    |       |                  |                  |                  |                  |                  |
| Capital Projects Fund  |       | 600              | 600              | 600              | 600              | 600              |
| Misc. Capital Projects |       | 1,000            | 1,000            | 1,000            | 1,000            | 1,000            |
|                        | Total | 1,600            | 1,600            | 1,600            | 1,600            | 1,600            |

|                        |       | <b>Estimated<br/>2002-2003</b> | <b>2003-2004</b> | <b>2004-2005</b> | <b>2005-2006</b> | <b>2006-2007</b> | <b>2007-2008</b> | <b>Total<br/>2003-2008</b> |
|------------------------|-------|--------------------------------|------------------|------------------|------------------|------------------|------------------|----------------------------|
| <b>Program Summary</b> |       |                                |                  |                  |                  |                  |                  |                            |
| State Fair             |       | 1,924                          | 1,600            | 1,600            | 1,600            | 1,600            | 1,600            | 8,000                      |
|                        | Total | 1,924                          | 1,600            | 1,600            | 1,600            | 1,600            | 1,600            | 8,000                      |
| <b>Fund Summary</b>    |       |                                |                  |                  |                  |                  |                  |                            |
| Capital Projects Fund  |       | 924                            | 600              | 600              | 600              | 600              | 600              | 3,000                      |
| Misc. Capital Projects |       | 1,000                          | 1,000            | 1,000            | 1,000            | 1,000            | 1,000            | 5,000                      |
|                        | Total | 1,924                          | 1,600            | 1,600            | 1,600            | 1,600            | 1,600            | 8,000                      |

# CAPITAL PROGRAM PLAN

**EMPIRE STATE DEVELOPMENT CORPORATION  
SUMMARY OF  
PROJECTED APPROPRIATIONS, COMMITMENTS, AND DISBURSEMENTS  
2003-2004 THROUGH 2007-2008  
(thousands of dollars)**

| <b>APPROPRIATIONS</b>                            |                                |                  |                  |                  |                  |                  |                            |
|--|--------------------------------|------------------|------------------|------------------|------------------|------------------|----------------------------|
|  | <b>Reappro-<br/>priations</b>  | <b>2003-2004</b> | <b>2004-2005</b> | <b>2005-2006</b> | <b>2006-2007</b> | <b>2007-2008</b> | <b>Total<br/>2003-2008</b> |
| <b>Program Summary</b>                           |                                |                  |                  |                  |                  |                  |                            |
| Economic Development                             | 65,050                         | 0                | 0                | 0                | 0                | 0                | 0                          |
| Regional Development                             | 425,000                        | 0                | 0                | 0                | 0                | 0                | 0                          |
| Total  | 490,050                        | 0                | 0                | 0                | 0                | 0                | 0                          |
| <b>Fund Summary</b>                              |                                |                  |                  |                  |                  |                  |                            |
| Capital Projects Fund - Authority Bonds          | 65,050                         | 0                | 0                | 0                | 0                | 0                | 0                          |
| Community Enhancement Facilities Assistance Fund | 425,000                        | 0                | 0                | 0                | 0                | 0                | 0                          |
| Total  | 490,050                        | 0                | 0                | 0                | 0                | 0                | 0                          |
| <b>COMMITMENTS</b>                               |                                |                  |                  |                  |                  |                  |                            |
|  | <b>2003-2004</b>               | <b>2004-2005</b> | <b>2005-2006</b> | <b>2006-2007</b> | <b>2007-2008</b> |                  |                            |
| <b>Program Summary</b>                           |                                |                  |                  |                  |                  |                  |                            |
| Economic Development                             | 25,000                         | 25,000           | 0                | 0                | 0                |                  |                            |
| Regional Development                             | 15,000                         | 0                | 0                | 0                | 0                |                  |                            |
| Total  | 40,000                         | 25,000           | 0                | 0                | 0                |                  |                            |
| <b>Fund Summary</b>                              |                                |                  |                  |                  |                  |                  |                            |
| Capital Projects Fund - Authority Bonds          | 40,000                         | 25,000           | 0                | 0                | 0                |                  |                            |
| Total  | 40,000                         | 25,000           | 0                | 0                | 0                |                  |                            |
| <b>DISBURSEMENTS</b>                             |                                |                  |                  |                  |                  |                  |                            |
|  | <b>Estimated<br/>2002-2003</b> | <b>2003-2004</b> | <b>2004-2005</b> | <b>2005-2006</b> | <b>2006-2007</b> | <b>2007-2008</b> | <b>Total<br/>2003-2008</b> |
| <b>Program Summary</b>                           |                                |                  |                  |                  |                  |                  |                            |
| Economic Development                             | 14,300                         | 40,000           | 25,000           | 0                | 0                | 0                | 65,000                     |
| Total  | 14,300                         | 40,000           | 25,000           | 0                | 0                | 0                | 65,000                     |
| <b>Fund Summary</b>                              |                                |                  |                  |                  |                  |                  |                            |
| Capital Projects Fund - Authority Bonds          | 14,300                         | 40,000           | 25,000           | 0                | 0                | 0                | 65,000                     |
| Total  | 14,300                         | 40,000           | 25,000           | 0                | 0                | 0                | 65,000                     |

# CAPITAL PROGRAM PLAN

**STRATEGIC INVESTMENT PROGRAM  
SUMMARY OF  
PROJECTED APPROPRIATIONS, COMMITMENTS, AND DISBURSEMENTS  
2003-2004 THROUGH 2007-2008  
(thousands of dollars)**

| <b>APPROPRIATIONS</b>                   |                                |                  |                  |                  |                  |                  |                            |
|---|--------------------------------|------------------|------------------|------------------|------------------|------------------|----------------------------|
|   | <b>Reappro-<br/>priations</b>  | <b>2003-2004</b> | <b>2004-2005</b> | <b>2005-2006</b> | <b>2006-2007</b> | <b>2007-2008</b> | <b>Total<br/>2003-2008</b> |
| <b>Program Summary</b>                  |                                |                  |                  |                  |                  |                  |                            |
| Strategic Investment Program            | 172,319                        | 0                | 0                | 0                | 0                | 0                | 0                          |
| Total                                   | 172,319                        | 0                | 0                | 0                | 0                | 0                | 0                          |
| <b>Fund Summary</b>                     |                                |                  |                  |                  |                  |                  |                            |
| Capital Projects Fund - Authority Bonds | 172,319                        | 0                | 0                | 0                | 0                | 0                | 0                          |
| Total                                   | 172,319                        | 0                | 0                | 0                | 0                | 0                | 0                          |
| <b>COMMITMENTS</b>                      |                                |                  |                  |                  |                  |                  |                            |
|   | <b>2003-2004</b>               | <b>2004-2005</b> | <b>2005-2006</b> | <b>2006-2007</b> | <b>2007-2008</b> |                  |                            |
| <b>Program Summary</b>                  |                                |                  |                  |                  |                  |                  |                            |
| Strategic Investment Program            | 112,000                        | 22,340           | 0                | 0                | 0                |                  |                            |
| Total                                   | 112,000                        | 22,340           | 0                | 0                | 0                |                  |                            |
| <b>Fund Summary</b>                     |                                |                  |                  |                  |                  |                  |                            |
| Capital Projects Fund - Authority Bonds | 112,000                        | 22,340           | 0                | 0                | 0                |                  |                            |
| Total                                   | 112,000                        | 22,340           | 0                | 0                | 0                |                  |                            |
| <b>DISBURSEMENTS</b>                    |                                |                  |                  |                  |                  |                  |                            |
|   | <b>Estimated<br/>2002-2003</b> | <b>2003-2004</b> | <b>2004-2005</b> | <b>2005-2006</b> | <b>2006-2007</b> | <b>2007-2008</b> | <b>Total<br/>2003-2008</b> |
| <b>Program Summary</b>                  |                                |                  |                  |                  |                  |                  |                            |
| Strategic Investment Program            | 60,000                         | 112,000          | 22,340           | 0                | 0                | 0                | 134,340                    |
| Total                                   | 60,000                         | 112,000          | 22,340           | 0                | 0                | 0                | 134,340                    |
| <b>Fund Summary</b>                     |                                |                  |                  |                  |                  |                  |                            |
| Capital Projects Fund - Authority Bonds | 60,000                         | 112,000          | 22,340           | 0                | 0                | 0                | 134,340                    |
| Total                                   | 60,000                         | 112,000          | 22,340           | 0                | 0                | 0                | 134,340                    |

# CAPITAL PROGRAM PLAN

**ECONOMIC DEVELOPMENT AND NATURAL RESOURCE PRESERVATION  
SUMMARY OF  
PROJECTED APPROPRIATIONS, COMMITMENTS, AND DISBURSEMENTS  
2003-2004 THROUGH 2007-2008  
(thousands of dollars)**

| <b>APPROPRIATIONS</b>                   |                                |                  |                  |                  |                  |                  |                            |
|---|--------------------------------|------------------|------------------|------------------|------------------|------------------|----------------------------|
|   | <b>Reapprop-<br/>riations</b>  | <b>2003-2004</b> | <b>2004-2005</b> | <b>2005-2006</b> | <b>2006-2007</b> | <b>2007-2008</b> | <b>Total<br/>2003-2008</b> |
| <b>Program Summary</b>                  |                                |                  |                  |                  |                  |                  |                            |
| Economic Development                    | 23,744                         | 0                | 0                | 0                | 0                | 0                | 0                          |
| Total                                   | 23,744                         | 0                | 0                | 0                | 0                | 0                | 0                          |
| <b>Fund Summary</b>                     |                                |                  |                  |                  |                  |                  |                            |
| Capital Projects Fund - Authority Bonds | 23,744                         | 0                | 0                | 0                | 0                | 0                | 0                          |
| Total                                   | 23,744                         | 0                | 0                | 0                | 0                | 0                | 0                          |
| <b>DISBURSEMENTS</b>                    |                                |                  |                  |                  |                  |                  |                            |
|   | <b>Estimated<br/>2002-2003</b> | <b>2003-2004</b> | <b>2004-2005</b> | <b>2005-2006</b> | <b>2006-2007</b> | <b>2007-2008</b> | <b>Total<br/>2003-2008</b> |
| <b>Program Summary</b>                  |                                |                  |                  |                  |                  |                  |                            |
| Economic Development                    | 23,744                         | 0                | 0                | 0                | 0                | 0                | 0                          |
| Total                                   | 23,744                         | 0                | 0                | 0                | 0                | 0                | 0                          |
| <b>Fund Summary</b>                     |                                |                  |                  |                  |                  |                  |                            |
| Capital Projects Fund - Authority Bonds | 23,744                         | 0                | 0                | 0                | 0                | 0                | 0                          |
| Total                                   | 23,744                         | 0                | 0                | 0                | 0                | 0                | 0                          |

# CAPITAL PROGRAM PLAN

**ECONOMIC DEVELOPMENT CAPITAL  
SUMMARY OF  
PROJECTED APPROPRIATIONS, COMMITMENTS, AND DISBURSEMENTS  
2003-2004 THROUGH 2007-2008  
(thousands of dollars)**

| <b>APPROPRIATIONS</b>                   |                                |                  |                  |                  |                  |                  |                            |
|---|--------------------------------|------------------|------------------|------------------|------------------|------------------|----------------------------|
|   | <b>Reappro-<br/>priations</b>  | <b>2003-2004</b> | <b>2004-2005</b> | <b>2005-2006</b> | <b>2006-2007</b> | <b>2007-2008</b> | <b>Total<br/>2003-2008</b> |
| <b>Program Summary</b>                  |                                |                  |                  |                  |                  |                  |                            |
| Regional Development                    | 1,200,000                      | 0                | 0                | 0                | 0                | 0                | 0                          |
| Total                                   | 1,200,000                      | 0                | 0                | 0                | 0                | 0                | 0                          |
| <b>Fund Summary</b>                     |                                |                  |                  |                  |                  |                  |                            |
| Capital Projects Fund - Authority Bonds | 1,200,000                      | 0                | 0                | 0                | 0                | 0                | 0                          |
| Total                                   | 1,200,000                      | 0                | 0                | 0                | 0                | 0                | 0                          |
| <b>COMMITMENTS</b>                      |                                |                  |                  |                  |                  |                  |                            |
|   | <b>2003-2004</b>               | <b>2004-2005</b> | <b>2005-2006</b> | <b>2006-2007</b> | <b>2007-2008</b> |                  |                            |
| <b>Program Summary</b>                  |                                |                  |                  |                  |                  |                  |                            |
| Regional Development                    | 325,000                        | 250,000          | 125,000          | 0                | 0                |                  |                            |
| Total                                   | 325,000                        | 250,000          | 125,000          | 0                | 0                |                  |                            |
| <b>Fund Summary</b>                     |                                |                  |                  |                  |                  |                  |                            |
| Capital Projects Fund - Authority Bonds | 325,000                        | 250,000          | 125,000          | 0                | 0                |                  |                            |
| Total                                   | 325,000                        | 250,000          | 125,000          | 0                | 0                |                  |                            |
| <b>DISBURSEMENTS</b>                    |                                |                  |                  |                  |                  |                  |                            |
|   | <b>Estimated<br/>2002-2003</b> | <b>2003-2004</b> | <b>2004-2005</b> | <b>2005-2006</b> | <b>2006-2007</b> | <b>2007-2008</b> | <b>Total<br/>2003-2008</b> |
| <b>Program Summary</b>                  |                                |                  |                  |                  |                  |                  |                            |
| Regional Development                    | 200,000                        | 325,000          | 250,000          | 125,000          | 0                | 0                | 700,000                    |
| Total                                   | 200,000                        | 325,000          | 250,000          | 125,000          | 0                | 0                | 700,000                    |
| <b>Fund Summary</b>                     |                                |                  |                  |                  |                  |                  |                            |
| Capital Projects Fund - Authority Bonds | 200,000                        | 325,000          | 250,000          | 125,000          | 0                | 0                | 700,000                    |
| Total                                   | 200,000                        | 325,000          | 250,000          | 125,000          | 0                | 0                | 700,000                    |

# CAPITAL PROGRAM PLAN

**ENERGY RESEARCH AND DEVELOPMENT AUTHORITY, NEW YORK STATE  
SUMMARY OF  
PROJECTED APPROPRIATIONS, COMMITMENTS, AND DISBURSEMENTS  
2003-2004 THROUGH 2007-2008  
(thousands of dollars)**

|  | <b>APPROPRIATIONS</b>         |                  |                  |                  |                  |                  | <b>Total<br/>2003-2008</b> |
|--|-------------------------------|------------------|------------------|------------------|------------------|------------------|----------------------------|
|  | <b>Reappro-<br/>priations</b> | <b>2003-2004</b> | <b>2004-2005</b> | <b>2005-2006</b> | <b>2006-2007</b> | <b>2007-2008</b> |                            |
| <b>Program Summary</b>                             |                               |                  |                  |                  |                  |                  |                            |
| Clean Water - Clean Air Implementation             | 0                             | 117              | 117              | 117              | 0                | 0                | 351                        |
| Western New York Nuclear Service Center<br>Program | 0                             | 13,250           | 13,250           | 13,250           | 13,250           | 13,250           | 66,250                     |
| Total  | <u>0</u>                      | <u>13,367</u>    | <u>13,367</u>    | <u>13,367</u>    | <u>13,250</u>    | <u>13,250</u>    | <u>66,601</u>              |
| <b>Fund Summary</b>                                |                               |                  |                  |                  |                  |                  |                            |
| Capital Projects Fund                              | 0                             | 13,250           | 13,250           | 13,250           | 13,250           | 13,250           | 66,250                     |
| Clean Water Clean Air Implementation Fund          | 0                             | 117              | 117              | 117              | 0                | 0                | 351                        |
| Total  | <u>0</u>                      | <u>13,367</u>    | <u>13,367</u>    | <u>13,367</u>    | <u>13,250</u>    | <u>13,250</u>    | <u>66,601</u>              |

|  | <b>COMMITMENTS</b> |                  |                  |                  |                  |  |
|--|--------------------|------------------|------------------|------------------|------------------|--|
|  | <b>2003-2004</b>   | <b>2004-2005</b> | <b>2005-2006</b> | <b>2006-2007</b> | <b>2007-2008</b> |  |
| <b>Program Summary</b>                             |                    |                  |                  |                  |                  |  |
| Clean Water - Clean Air Implementation             | 117                | 117              | 117              | 0                | 0                |  |
| Western New York Nuclear Service Center<br>Program | 13,250             | 13,250           | 13,250           | 13,250           | 13,250           |  |
| Total  | <u>13,367</u>      | <u>13,367</u>    | <u>13,367</u>    | <u>13,250</u>    | <u>13,250</u>    |  |
| <b>Fund Summary</b>                                |                    |                  |                  |                  |                  |  |
| Capital Projects Fund                              | 13,250             | 13,250           | 13,250           | 13,250           | 13,250           |  |
| Clean Water Clean Air Implementation Fund          | 117                | 117              | 117              | 0                | 0                |  |
| Total  | <u>13,367</u>      | <u>13,367</u>    | <u>13,367</u>    | <u>13,250</u>    | <u>13,250</u>    |  |

|  | <b>DISBURSEMENTS</b>           |                  |                  |                  |                  |                  | <b>Total<br/>2003-2008</b> |
|--|--------------------------------|------------------|------------------|------------------|------------------|------------------|----------------------------|
|  | <b>Estimated<br/>2002-2003</b> | <b>2003-2004</b> | <b>2004-2005</b> | <b>2005-2006</b> | <b>2006-2007</b> | <b>2007-2008</b> |                            |
| <b>Program Summary</b>                             |                                |                  |                  |                  |                  |                  |                            |
| Clean Water - Clean Air Implementation             | 117                            | 117              | 117              | 117              | 0                | 0                | 351                        |
| Western New York Nuclear Service Center<br>Program | 13,250                         | 13,250           | 13,250           | 13,250           | 13,250           | 13,250           | 66,250                     |
| Total  | <u>13,367</u>                  | <u>13,367</u>    | <u>13,367</u>    | <u>13,367</u>    | <u>13,250</u>    | <u>13,250</u>    | <u>66,601</u>              |
| <b>Fund Summary</b>                                |                                |                  |                  |                  |                  |                  |                            |
| Capital Projects Fund                              | 13,250                         | 13,250           | 13,250           | 13,250           | 13,250           | 13,250           | 66,250                     |
| Clean Water Clean Air Implementation Fund          | 117                            | 117              | 117              | 117              | 0                | 0                | 351                        |
| Total  | <u>13,367</u>                  | <u>13,367</u>    | <u>13,367</u>    | <u>13,367</u>    | <u>13,250</u>    | <u>13,250</u>    | <u>66,601</u>              |

# CAPITAL PROGRAM PLAN

**JUDICIARY  
SUMMARY OF  
PROJECTED APPROPRIATIONS, COMMITMENTS, AND DISBURSEMENTS  
2003-2004 THROUGH 2007-2008  
(thousands of dollars)**

|                         |  | <b>APPROPRIATIONS</b>         |                  |                  |                  |                  | <b>Total</b>     |                  |
|-------------------------|--|-------------------------------|------------------|------------------|------------------|------------------|------------------|------------------|
|                         |  | <b>Reappro-<br/>priations</b> | <b>2003-2004</b> | <b>2004-2005</b> | <b>2005-2006</b> | <b>2006-2007</b> | <b>2007-2008</b> | <b>2003-2008</b> |
| <u>Program Summary</u>  |  |                               |                  |                  |                  |                  |                  |                  |
| Courthouse Improvements |  | 28,700                        | 0                | 0                | 0                | 0                | 0                | 0                |
| Total                   |  | 28,700                        | 0                | 0                | 0                | 0                | 0                | 0                |
| <u>Fund Summary</u>     |  |                               |                  |                  |                  |                  |                  |                  |
| Capital Projects Fund   |  | 28,700                        | 0                | 0                | 0                | 0                | 0                | 0                |
| Total                   |  | 28,700                        | 0                | 0                | 0                | 0                | 0                | 0                |

|                         |  | <b>2003-2004</b> | <b>2004-2005</b> | <b>2005-2006</b> | <b>2006-2007</b> | <b>2007-2008</b> |
|-------------------------|--|------------------|------------------|------------------|------------------|------------------|
| <u>Program Summary</u>  |  |                  |                  |                  |                  |                  |
| Courthouse Improvements |  | 18,600           | 308              | 0                | 0                | 0                |
| Total                   |  | 18,600           | 308              | 0                | 0                | 0                |
| <u>Fund Summary</u>     |  |                  |                  |                  |                  |                  |
| Capital Projects Fund   |  | 18,600           | 308              | 0                | 0                | 0                |
| Total                   |  | 18,600           | 308              | 0                | 0                | 0                |

|                         |  | <b>Estimated<br/>2002-2003</b> | <b>2003-2004</b> | <b>2004-2005</b> | <b>2005-2006</b> | <b>2006-2007</b> | <b>2007-2008</b> | <b>Total<br/>2003-2008</b> |
|-------------------------|--|--------------------------------|------------------|------------------|------------------|------------------|------------------|----------------------------|
| <u>Program Summary</u>  |  |                                |                  |                  |                  |                  |                  |                            |
| Courthouse Improvements |  | 18,600                         | 18,600           | 308              | 0                | 0                | 0                | 18,908                     |
| Total                   |  | 18,600                         | 18,600           | 308              | 0                | 0                | 0                | 18,908                     |
| <u>Fund Summary</u>     |  |                                |                  |                  |                  |                  |                  |                            |
| Capital Projects Fund   |  | 18,600                         | 18,600           | 308              | 0                | 0                | 0                | 18,908                     |
| Total                   |  | 18,600                         | 18,600           | 308              | 0                | 0                | 0                | 18,908                     |

# CAPITAL PROGRAM PLAN

**HOMELAND SECURITY  
SUMMARY OF  
PROJECTED APPROPRIATIONS, COMMITMENTS, AND DISBURSEMENTS  
2003-2004 THROUGH 2007-2008  
(thousands of dollars)**

|                        |  | <b>APPROPRIATIONS</b>         |                  |                  |                  |                  | <b>Total</b>     |                  |
|------------------------|--|-------------------------------|------------------|------------------|------------------|------------------|------------------|------------------|
|                        |  | <b>Reappro-<br/>priations</b> | <b>2003-2004</b> | <b>2004-2005</b> | <b>2005-2006</b> | <b>2006-2007</b> | <b>2007-2008</b> | <b>2003-2008</b> |
| <b>Program Summary</b> |  |                               |                  |                  |                  |                  |                  |                  |
| Homeland Security      |  | 23,500                        | 12,500           | 0                | 0                | 0                | 0                | 12,500           |
| Total                  |  | 23,500                        | 12,500           | 0                | 0                | 0                | 0                | 12,500           |
| <b>Fund Summary</b>    |  |                               |                  |                  |                  |                  |                  |                  |
| Capital Projects Fund  |  | 23,500                        | 12,500           | 0                | 0                | 0                | 0                | 12,500           |
| Total                  |  | 23,500                        | 12,500           | 0                | 0                | 0                | 0                | 12,500           |

|                        |  | <b>2003-2004</b> | <b>2004-2005</b> | <b>2005-2006</b> | <b>2006-2007</b> | <b>2007-2008</b> |
|------------------------|--|------------------|------------------|------------------|------------------|------------------|
| <b>Program Summary</b> |  |                  |                  |                  |                  |                  |
| Homeland Security      |  | 12,500           | 0                | 0                | 0                | 0                |
| Total                  |  | 12,500           | 0                | 0                | 0                | 0                |
| <b>Fund Summary</b>    |  |                  |                  |                  |                  |                  |
| Capital Projects Fund  |  | 12,500           | 0                | 0                | 0                | 0                |
| Total                  |  | 12,500           | 0                | 0                | 0                | 0                |

|                        |  | <b>Estimated<br/>2002-2003</b> | <b>2003-2004</b> | <b>2004-2005</b> | <b>2005-2006</b> | <b>2006-2007</b> | <b>2007-2008</b> | <b>Total<br/>2003-2008</b> |
|------------------------|--|--------------------------------|------------------|------------------|------------------|------------------|------------------|----------------------------|
| <b>Program Summary</b> |  |                                |                  |                  |                  |                  |                  |                            |
| Homeland Security      |  | 15,000                         | 15,590           | 4,750            | 150              | 0                | 0                | 20,490                     |
| Total                  |  | 15,000                         | 15,590           | 4,750            | 150              | 0                | 0                | 20,490                     |
| <b>Fund Summary</b>    |  |                                |                  |                  |                  |                  |                  |                            |
| Capital Projects Fund  |  | 15,000                         | 15,590           | 4,750            | 150              | 0                | 0                | 20,490                     |
| Total                  |  | 15,000                         | 15,590           | 4,750            | 150              | 0                | 0                | 20,490                     |

# CAPITAL PROGRAM PLAN

**WORLD TRADE CENTER  
SUMMARY OF  
PROJECTED APPROPRIATIONS, COMMITMENTS, AND DISBURSEMENTS  
2003-2004 THROUGH 2007-2008  
(thousands of dollars)**

| <b>APPROPRIATIONS</b>         |                                |                  |                  |                  |                  |                  |                            |
|-------------------------------|--------------------------------|------------------|------------------|------------------|------------------|------------------|----------------------------|
|                               | <b>Reappro-<br/>priations</b>  | <b>2003-2004</b> | <b>2004-2005</b> | <b>2005-2006</b> | <b>2006-2007</b> | <b>2007-2008</b> | <b>Total<br/>2003-2008</b> |
| <b>Program Summary</b>        |                                |                  |                  |                  |                  |                  |                            |
| World Trade Center            | 342,000                        | 0                | 0                | 0                | 0                | 0                | 0                          |
| Total                         | 342,000                        | 0                | 0                | 0                | 0                | 0                | 0                          |
| <b>Fund Summary</b>           |                                |                  |                  |                  |                  |                  |                            |
| Federal Capital Projects Fund | 342,000                        | 0                | 0                | 0                | 0                | 0                | 0                          |
| Total                         | 342,000                        | 0                | 0                | 0                | 0                | 0                | 0                          |
| <b>DISBURSEMENTS</b>          |                                |                  |                  |                  |                  |                  |                            |
|                               | <b>Estimated<br/>2002-2003</b> | <b>2003-2004</b> | <b>2004-2005</b> | <b>2005-2006</b> | <b>2006-2007</b> | <b>2007-2008</b> | <b>Total<br/>2003-2008</b> |
| <b>Program Summary</b>        |                                |                  |                  |                  |                  |                  |                            |
| World Trade Center            | 6,300                          | 73,310           | 60,200           | 51,700           | 26,300           | 33,500           | 245,010                    |
| Total                         | 6,300                          | 73,310           | 60,200           | 51,700           | 26,300           | 33,500           | 245,010                    |
| <b>Fund Summary</b>           |                                |                  |                  |                  |                  |                  |                            |
| Federal Capital Projects Fund | 6,300                          | 73,310           | 60,200           | 51,700           | 26,300           | 33,500           | 245,010                    |
| Total                         | 6,300                          | 73,310           | 60,200           | 51,700           | 26,300           | 33,500           | 245,010                    |

# **CAPITAL PROGRAM PLAN**

**SUMMARY OF  
PROJECTED APPROPRIATIONS, ALL FUNDS, ALL PROGRAMS  
BY FUND TYPE, AND MAJOR FUND, 2003-2004 THROUGH 2007-2008  
(thousands of dollars)**

|  | APPROPRIATIONS        |                  |                  |                  |                  |                  | Total<br>2003-2008 |
|--|-----------------------|------------------|------------------|------------------|------------------|------------------|--------------------|
|  | Reappro-<br>priations | 2003-2004        | 2004-2005        | 2005-2006        | 2006-2007        | 2007-2008        |                    |
| Capital Projects Funds Type                                  |                       |                  |                  |                  |                  |                  |                    |
| Capital Projects Fund  | 704,121               | 474,895          | 211,448          | 261,797          | 268,458          | 269,886          | 1,486,484          |
| Capital Projects Fund - Advances                             | 1,908,478             | 2,899,395        | 1,000            | 1,000            | 1,000            | 1,000            | 2,903,395          |
| Capital Projects Fund - A.C. and T.I. Fund<br>(Bondable)     | 69,478                | 0                | 0                | 0                | 0                | 0                | 0                  |
| Capital Projects Fund - EQBA (Bondable)                      | 67,584                | 991              | 0                | 0                | 0                | 0                | 991                |
| Capital Projects Fund - PWBA (Bondable)                      | 25,709                | 8,168            | 0                | 0                | 0                | 0                | 8,168              |
| Capital Projects Fund - Infrastructure Renewal<br>(Bondable) | 45,617                | 0                | 0                | 0                | 0                | 0                | 0                  |
| Capital Projects Fund - Aviation (Bondable)                  | 4,097                 | 0                | 0                | 0                | 0                | 0                | 0                  |
| Capital Projects Fund - Energy Conservation<br>(Bondable)    | 2,036                 | 0                | 0                | 0                | 0                | 0                | 0                  |
| Capital Projects Fund - EQBA 86 (Bondable)                   | 294,688               | 0                | 0                | 0                | 0                | 0                | 0                  |
| Capital Projects Fund - 1996 CWA (Bondable)                  | 841,441               | 0                | 0                | 0                | 0                | 0                | 0                  |
| Capital Projects Fund - Authority Bonds                      | 1,745,047             | 70,674           | 110,000          | 140,000          | 190,000          | 240,000          | 750,674            |
| Dedicated Highway and Bridge Trust Fund                      | 3,139,228             | 1,686,277        | 1,705,415        | 1,633,000        | 1,645,931        | 1,656,220        | 8,326,843          |
| State University Residence Hall Rehabilitation<br>Fund       | 360,467               | 335,000          | 0                | 0                | 0                | 0                | 335,000            |
| New York State Canal System Development Fund                 | 1,631                 | 2,000            | 2,000            | 2,000            | 2,000            | 2,000            | 10,000             |
| State Parks Infrastructure Fund                              | 59,158                | 29,605           | 29,050           | 29,050           | 29,050           | 29,605           | 146,360            |
| Environmental Protection Fund                                | 415,679               | 125,000          | 125,000          | 125,000          | 125,000          | 125,000          | 625,000            |
| Federal Capital Projects Fund                                | 5,938,254             | 1,950,270        | 2,001,400        | 1,934,700        | 1,934,700        | 1,934,700        | 9,755,770          |
| Youth Facilities Improvement Fund                            | 38,092                | 17,100           | 10,000           | 9,000            | 9,000            | 9,000            | 54,100             |
| Housing Program Fund   | 442,165               | 104,200          | 100,200          | 100,200          | 100,200          | 100,200          | 505,000            |
| Engineering Services Fund                                    | 859,620               | 0                | 0                | 0                | 0                | 0                | 0                  |
| Mental Hygiene Capital Improvement Fund                      | 703,191               | 242,162          | 151,516          | 227,279          | 153,337          | 153,917          | 928,211            |
| Correctional Facilities Capital Improvement Fund             | 751,571               | 205,000          | 205,000          | 205,000          | 205,000          | 205,000          | 1,025,000          |
| Hazardous Waste Remedial Fund                                | 0                     | 105,000          | 105,000          | 105,000          | 105,000          | 105,000          | 525,000            |
| Other Funds  | 622,481               | 256,136          | 4,785            | 3,609            | 3,200            | 3,200            | 270,930            |
| Eliminations*  | (1,149,984)           | (250,753)        | (278,940)        | (286,324)        | (288,764)        | (286,690)        | (1,391,471)        |
| Type Subtotal  | <u>17,889,849</u>     | <u>8,261,120</u> | <u>4,482,874</u> | <u>4,490,311</u> | <u>4,483,112</u> | <u>4,548,038</u> | <u>26,265,455</u>  |
| Capital Projects Funds - Bond Proceeds                       | 1,462,841             | 0                | 0                | 0                | 0                | 0                | 0                  |
| Fiduciary Fund Type  | 151,120               | 55,000           | 57,000           | 57,000           | 57,000           | 57,000           | 283,000            |
| Special Revenue Fund Type                                    | 191,861               | 59,427           | 60,379           | 60,379           | 60,379           | 60,379           | 300,943            |
| Eliminations*  | (1,462,841)           | (0)              | (0)              | (0)              | (0)              | (0)              | (0)                |
| Total (All Fund Types)                                       | <u>18,232,830</u>     | <u>8,375,547</u> | <u>4,600,253</u> | <u>4,607,690</u> | <u>4,600,491</u> | <u>4,665,417</u> | <u>26,849,398</u>  |

\* Reflects eliminations for 'netting out' of transfers between funds which are not capital program disbursements.

# CAPITAL PROGRAM PLAN

**SUMMARY OF  
PROJECTED APPROPRIATIONS, ALL FUNDS, ALL PROGRAMS  
BY FUND TYPE, AND MAJOR FUND, 2003-2004 THROUGH 2007-2008  
(thousands of dollars)**

|  | DISBURSEMENTS          |                  |                  |                  |                  |                  | Total<br>2003-2008 |
|--|------------------------|------------------|------------------|------------------|------------------|------------------|--------------------|
|  | Estimated<br>2002-2003 | 2003-2004        | 2004-2005        | 2005-2006        | 2006-2007        | 2007-2008        |                    |
| Capital Projects Funds Type                                  |                        |                  |                  |                  |                  |                  |                    |
| Capital Projects Fund  | 275,349                | 253,396          | 239,019          | 246,489          | 248,012          | 243,867          | 1,230,783          |
| Capital Projects Fund - Advances                             | 357,759                | 327,950          | 336,226          | 347,900          | 347,900          | 353,379          | 1,713,355          |
| Capital Projects Fund - A.C. and T.I. Fund<br>(Bondable)     | 12,000                 | 10,000           | 8,000            | 6,000            | 4,000            | 2,000            | 30,000             |
| Capital Projects Fund - EQBA (Bondable)                      | 2,530                  | 3,000            | 3,000            | 3,000            | 3,000            | 3,000            | 15,000             |
| Capital Projects Fund - PWBA (Bondable)                      | 2,400                  | 1,600            | 1,200            | 1,200            | 1,200            | 1,200            | 6,400              |
| Capital Projects Fund - Infrastructure Renewal<br>(Bondable) | 5,000                  | 5,000            | 5,000            | 5,000            | 5,000            | 5,000            | 25,000             |
| Capital Projects Fund - Aviation (Bondable)                  | 800                    | 400              | 400              | 400              | 400              | 400              | 2,000              |
| Capital Projects Fund - Energy Conservation<br>(Bondable)    | 200                    | 200              | 200              | 200              | 200              | 200              | 1,000              |
| Capital Projects Fund - EQBA 86 (Bondable)                   | 71,711                 | 73,343           | 73,775           | 61,185           | 27,435           | 0                | 235,738            |
| Capital Projects Fund - 1996 CWA (Bondable)                  | 171,372                | 171,999          | 141,999          | 141,999          | 125,000          | 100,000          | 680,997            |
| Capital Projects Fund - Authority Bonds                      | 445,216                | 684,760          | 444,009          | 263,000          | 188,000          | 238,000          | 1,817,769          |
| Dedicated Highway and Bridge Trust Fund                      | 1,662,397              | 1,840,508        | 1,841,936        | 1,704,801        | 1,653,182        | 1,649,107        | 8,689,534          |
| State University Residence Hall Rehabilitation<br>Fund       | 30,000                 | 25,000           | 25,000           | 25,000           | 25,000           | 25,000           | 125,000            |
| New York State Canal System Development Fund                 | 2,000                  | 2,000            | 2,000            | 2,000            | 2,000            | 2,000            | 10,000             |
| State Parks Infrastructure Fund                              | 4,383                  | 10,900           | 10,900           | 10,900           | 10,900           | 10,900           | 54,500             |
| Environmental Protection Fund                                | 115,000                | 127,000          | 121,000          | 121,000          | 120,000          | 125,000          | 614,000            |
| Federal Capital Projects Fund                                | 1,482,175              | 1,667,725        | 1,802,065        | 1,852,606        | 1,847,421        | 1,847,321        | 9,017,138          |
| Youth Facilities Improvement Fund                            | 10,595                 | 23,370           | 17,295           | 11,200           | 10,300           | 8,000            | 70,165             |
| Housing Program Fund   | 98,450                 | 98,450           | 99,450           | 98,200           | 98,200           | 98,200           | 492,500            |
| Engineering Services Fund                                    | 624,927                | 219,086          | 80,528           | 30,303           | 15,420           | 6,360            | 351,697            |
| Mental Hygiene Capital Improvement Fund                      | 97,823                 | 121,498          | 108,166          | 107,157          | 114,986          | 108,490          | 560,297            |
| Correctional Facilities Capital Improvement Fund             | 188,000                | 188,000          | 188,000          | 188,000          | 188,000          | 188,000          | 940,000            |
| Hazardous Waste Remedial Fund                                | 0                      | 105,000          | 105,000          | 105,000          | 105,000          | 105,000          | 525,000            |
| Other Funds  | 45,671                 | 41,218           | 31,656           | 30,153           | 27,217           | 27,217           | 157,461            |
| Eliminations*  | (642,485)              | (356,948)        | (310,333)        | (298,353)        | (283,667)        | (283,675)        | (1,532,976)        |
| Type Subtotal  | <u>5,063,273</u>       | <u>5,644,455</u> | <u>5,375,491</u> | <u>5,064,340</u> | <u>4,884,106</u> | <u>4,863,966</u> | <u>25,832,358</u>  |
| Capital Projects Funds - Bond Proceeds                       | 0                      | 0                | 0                | 0                | 0                | 0                | 0                  |
| Fiduciary Fund Type  | 16,000                 | 4,425            | 2,000            | 1,000            | 1,000            | 1,000            | 9,425              |
| Special Revenue Fund Type                                    | 55,763                 | 60,965           | 60,828           | 60,894           | 60,807           | 62,693           | 306,187            |
| Eliminations*  | (0)                    | (0)              | (0)              | (0)              | (0)              | (0)              | (0)                |
| Total (All Fund Types)                                       | <u>5,135,036</u>       | <u>5,709,845</u> | <u>5,438,319</u> | <u>5,126,234</u> | <u>4,945,913</u> | <u>4,927,659</u> | <u>26,147,970</u>  |

\* Reflects eliminations for 'netting out' of transfers between funds which are not capital program disbursements.