2020-2024 TIP Financial Plan
Effective 10/1/19
Introduction

A financial plan is required per 23 CFR 450.326(j). Each MPO TIP must include a financial plan that demonstrates how the TIP can be implemented; indicates resources from public and private sources that are reasonably expected to be available to carry out the program; and identifies innovative financing techniques to finance projects, programs, and strategies. Additionally, for purposes of transportation operations and maintenance, the financial plan is required to contain system-level estimates of costs and revenue sources that are reasonably expected to be available to adequately operate and maintain Federal-aid highways and public transportation. These elements and a basic explanation of all funding sources, federal, state, and local should be included in the TIP financial plan narrative.

The TIP financial plan must demonstrate fiscal constraint. It is necessary to factor all funding sources both public and private as indicated in 23 CFR 450.246(j) including sources for state and local match.

The NYSDOT Regional Planning and Program Manager (RPPM) is the contact for the MPO on the planning target estimates to be used. Transit planning targets will be distributed separately by the NYSDOT Public Transportation Bureau.

Fiscal Constraint

MPO TIPs and the STIP must be financially constrained by year using estimates of current and/or reasonably available revenues.

Federal regulation 23 CFR 450.104 states that the MTP, TIP, and STIP must all include sufficient financial information to demonstrate that included projects can be implemented using committed, available, or reasonably available revenue sources, with reasonable assurance that the federally supported transportation system is being adequately operated and maintained. For the TIP and the STIP, financial constraint/fiscal constraint applies to each program year. Additionally, projects in air quality nonattainment and maintenance areas can be included in the first 2 years of the TIP and STIP only if funds are “available” or “committed.” Fiscal constraint for FHWA is defined as establishing a TIP/STIP such that the amount of total funding programmed in each year of the TIP/STIP does not exceed the estimated committed, available, or reasonably available revenue sources including the Federal-aid fund types represented as total planning targets in this state for each of the TIP/STIP years.

FHWA will continue to review STIP performance and their national goal is to see 75% of the construction phases programmed for obligation in a Federal Fiscal Year obligated by the end of that Federal Fiscal Year. NYSDOT also enforces fiscal constraint, and Regions and MPOs will not be permitted to program Federal-aid in excess of their planning targets by FFY. MPOs and Regions should be aware that not all transactions (e.g., close-outs and modifications) run through the TIP/STIP.

Any fiscally constrained fund type can be over-programmed in a year provided:

1. The total of all fiscally constrained funding programmed in that year does not exceed the planning targets (implies a columnar total of fund types must be under-programmed to compensate).
2. The total amount of fiscally constrained fund type that is programmed in the 4-year STIP period does not exceed the amount of that fund’s planning target during the 4-year STIP period. Totals in rows (fund types) and columns (years) cannot be over-programmed.

Regional totals (TIPs and rural program) must be fiscally constrained by year and fund type for the STIP period.

FHWA, FTA and NYSDOT consider TIP years beyond the first four (4) as only informational. Therefore, MPOs do not have five (5) years to balance programming versus planning target by fund type. These must be balanced over the 4-year STIP period. To do otherwise, will not guarantee fund type fiscal constraint of the STIP initially or over its life.

For FTA, transit planning target estimates will project apportionments through 2024. Appropriations bills are annually enacted, and apportionments and allocations are published by the FTA in the Federal Register. In order to maintain and document fiscal constraint, the FTA funds that are programmed on the TIP/STIP for a year need to be consistent with the amounts shown in the Federal Register for that year. Carryover balances of unobligated FTA transit funds should be reflected in the TIP fiscal constraint table as applicable.

All NYSDOT Regions, MPOs and transit Designated Recipients are expected to follow the regulations for fiscal constraint.

It is an inevitable fact that project costs often increase or decrease after being programmed on the TIP. NYSDOT project managers constantly evaluate their projects to make sure that there is sufficient funds to complete their projects. If additional funding is required, a cost change must be processed by the MPO. Cost changes are processed by the GBNRTC’s established TIP modification process described in detail in Section 6.

Project costs may increase for the following reasons:

- Adding a phase (such as Right of Way) that was not originally deemed necessary when the project was scoped and estimated
- Bids came in higher than expected.
- The scope of the project was widened
- The limits of the project increased
- Project work element(s) were added

It is frequently necessary to identify offsets to accommodate cost increases on a project in a fully programmed TIP so that fiscal constraint can be maintained.

Consequently, projects costs may actually decrease for the following reasons:

- A phase that was originally included was not needed or was less costly than anticipated.
- Bids came in lower than expected
- The scope of the project was reduced
- The limits of the project decreased
- Original project work element(s) were removed.

When project costs decrease, the surplus funds are returned to regional allocation.

These cost changes are handled administratively in several ways:

- Transferring funds from another project in the same FFY.
• Deleting a project no longer planned to be advanced during the period of the STIP (move to a non-STIP year/delete from STIP).
• Changing the scope of the project.
• Substituting non-federal funds for federal funds in a lower priority project/phase so that the federal funds released can be added to a higher priority project/phase.

Year of Expenditure Dollars and Inflation Factors

All projects’ costs on the TIP must be shown in year of expenditure dollars. MPOs that use inflation factors other than those recommended by NYSDOT for local projects must keep documentation on how they address YOE for their projects.

Total Project Costs

Federal regulation 23 CFR 450.326(g) require that inclusion of the estimated total project cost be included in the TIP/STIP. The TIP/STIP total project must also include project costs that are programmed prior or beyond the TIP/STIP period.

Projects with an estimated total cost of $100M or more (cost in "year of expenditure" dollars) require an annual Financial Plan and all contingencies should be sufficiently detailed and managed.

It is an accepted fact that project costs may increase or decrease after TIP selection for any number of reasons. These changes are processed using the GBNRTC’s adopted “Guidelines for Adopted TIP Projects (5/11/18). More details about the GBNRTC’s project modification process can be found in Section 6 of this report.

Core Funding Programs and Project Eligibility

Federal legislation requires that revenue forecasts be developed cooperatively by the GBNRTC, the NYSDOT and the NFTA in order to identify how much funding is likely to be available for advancing transportation projects in an area. Fiscal constraint means the projects within the TIP can be realistically advanced in terms of available federal funding. In other words, it is not just a “wish list” of projects. While the TIP deals specifically with federally funded projects, the program development process creates an opportunity to comprehensively coordinate all regional transportation investments thereby maximizing funding impacts and long-range (MTP) goal attainment.

The FFY 2020-2024 TIP includes the current federal transportation authorization act known as Fixing Americas Surface Transportation (FAST Act) which was signed into law on Friday, December 4, 2015. The FAST Act authorized $305 billion over fiscal years 2016 to 2020, including $225.2 billion for highways and $48.7 billion for transit. The law provides an increase of 5.1 percent ($2.1 billion) for highway spending, which then continues to grow at 2.1 to 2.4 percent per year through FY 2020. The bill increases transit funding by nearly 18 percent over five years. The FAST Act continues nearly all of the highway and transit formula programs of MAP-21. A new federal transportation authorization is expected shortly.

TIP program development has been guided as in the past by an extensive analysis of financial resources available to the region. Included in the financial plan are federal resources from the Highway Trust Fund
and U.S. General Fund allocated in FAST Act, state motor fuel taxes, bonding authority of the State of New York, and taxing and bonding authority of local municipalities.

Project proposals are not expected to identify potential funding sources for projects but are sponsors are encouraged to submit proposals that best meet their needs. The GBNRTC/NYSDOT Region 5 team will then identify funding programs for which the proposals are eligible.

**Federal Highway Administration (FHWA) Funding Programs**

The following is a representative, but not exhaustive, list of the types of federal funding programs.

**National Highway Performance Program (NHPP)**

The FAST Act continues the National Highway Performance Program, which was established under MAP-21. The NHPP provides support for the condition and performance of the National Highway System (NHS), for the construction of new facilities on the NHS, and to ensure that investments of Federal-aid funds in highway construction are directed to support progress toward the achievement of performance targets established in a State’s asset management plan for the NHS.

The following types of projects are eligible for NHPP funds:

- Construction, reconstruction, resurfacing, restoration, rehabilitation, preservation, or operational improvements of NHS segments
- Construction, replacement (including replacement with fill material), rehabilitation, preservation, and protection (including scour countermeasures, seismic retrofits, impact protection measures, security countermeasures, and protection against extreme events) of NHS bridges and tunnels
- Bridge and tunnel inspection and evaluation on the NHS and inspection and evaluation of other NHS highway infrastructure assets
- Construction, reconstruction, resurfacing, restoration, rehabilitation, and preservation of, and operational improvements for, a Federal-aid highway not on the NHS, and construction of a transit project eligible for assistance under 40 United States Code (USC) 14501, if the project is in the same corridor and in proximity to a fully access-controlled NHS route, if the improvement is more cost-effective (as determined by a benefit-cost analysis) than an NHS improvement, and will reduce delays or produce travel time savings on the NHS route and improve regional traffic flow
- Dedicated bicycle and pedestrian facilities and bicycle and pedestrian facilities that are part of larger reconstruction, replacement, rehabilitation, and preventive maintenance projects on NHS segments
- Highway safety improvements on the NHS
- Capital and operating costs for traffic and traveler information, monitoring, management, and control facilities and programs
- Infrastructure-based ITS capital improvements
- Construction of publicly owned intra-city or inter-city bus terminals servicing the NHS.
The FAST Act added four new eligible NHPP categories:

1. Installation of vehicle-to-infrastructure communication equipment [23 U.S.C. 119(d)(2)(L)]
2. Reconstruction, resurfacing, restoration, rehabilitation, or preservation of a bridge on a non-NHS Federal-aid highway (if Interstate System and NHS Bridge Condition provision requirements are satisfied) [23 U.S.C. 119(i)]
3. A project to reduce the risk of failure of critical NHS infrastructure (defined to mean a facility, the incapacity or failure of which would have a debilitating impact in certain specified areas) [23 U.S.C. 119(j)(3)]
4. At a State’s request, the U.S. DOT may use the State's STBG funding to pay the subsidy and administrative costs for TIFIA credit assistance for an eligible NHPP project or group of projects. [23 U.S.C. 119(h)]

The Surface Transportation Program (STP) provides flexible funding that may be used by States and localities for projects to preserve and improve the conditions and performance on any Federal-aid highway, bridge and tunnel projects on any public road, pedestrian and bicycle infrastructure, and transit capital projects, including intercity bus terminals.

States are required to obligate a portion of funds (not from sub-allocated amounts) for bridges not on Federal-aid highways (off-system bridges). The amount is to be not less than 15% of the State’s FY 2009 Bridge Program apportionment.

The following types of projects are eligible for STP funds:

- Construction, reconstruction, rehabilitation, resurfacing, restoration, preservation, or operational improvements for highways, including designated routes of the Appalachian Development Highway System (ADHS) and local access roads under 40 USC 14501.
- Replacement, rehabilitation, preservation, protection, and anti-icing/deicing for bridges and tunnels on any public road, including construction or reconstruction necessary to accommodate other modes.
- Construction of new bridges and tunnels on a Federal-aid highway.
- Inspection and evaluation of bridges, tunnels and other highway assets as well as training for bridge and tunnel inspectors.
- Capital costs for transit projects eligible for assistance under chapter 53 of title 49, including vehicles and facilities used to provide intercity passenger bus service.
- Carpool projects, fringe and corridor parking facilities and programs, including electric and natural gas vehicle charging infrastructure, bicycle transportation and pedestrian walkways, and ADA sidewalk modification.
- Highway and transit safety infrastructure improvements and programs, installation of safety barriers and nets on bridges, hazard eliminations, mitigation of hazards caused by wildlife, railway-highway grade crossings.
- Highway and transit research, development, technology transfer.
- Capital and operating costs for traffic monitoring, management and control facilities and programs, including advanced truck stop electrification.
- Surface transportation planning.
- Transportation alternatives --newly defined, includes most transportation enhancement eligibilities. [See separate “Transportation Alternatives” fact sheet]
- Transportation control measures.
• Development and establishment of management systems.
• Environmental mitigation efforts (as under National Highway Performance Program).
• Intersections with high accident rates or levels of congestion.
• Infrastructure-based ITS capital improvements.
• Environmental restoration and pollution abatement.
• Control of noxious weeds and establishment of native species.
• Congestion pricing projects and strategies, including electric toll collection and travel demand management strategies and programs.
• Recreational trails projects.
• Construction of ferry boats and terminals.
• Border infrastructure projects.
• Truck parking facilities.
• Development and implementation of State asset management plan for the NHS, and similar activities related to the development and implementation of a performance based management program for other public roads.
• Surface transportation infrastructure modifications within port terminal boundaries, only if necessary to facilitate direct intermodal interchange, transfer, and access into and out of the port.
• Construction and operational improvements for a minor collector in the same corridor and in proximity to an NHS route if the improvement is more cost-effective (as determined by a benefit-cost analysis) than an NHS improvement and will enhance NHS level of service and regional traffic flow.
• Two eligibilities formerly covered by the repealed Highway Bridge Program (HBP)
  o Construction of a bridge that replaces a low water crossing of any length, a bridge that was destroyed prior to January 1, 1965, a ferry that was in existence on January 1, 1984, or any road bridge rendered obsolete by a Corps of Engineers (COE) flood control or channelization project and not rebuilt with COE funds.
  o Actions to preserve or reduce the impact of a project on the historic integrity of a historic bridge under specified conditions. [§1111; 23 USC 144(f)-(g)]

**Highway Safety Improvement Program (HSIP)**

The Highway Safety Improvement Program (HSIP) is a core Federal-aid program with the purpose to achieve a significant reduction in traffic fatalities and serious injuries on all public roads, including non-State-owned roads and roads on tribal land. The HSIP requires a data-driven, strategic approach to improving highway safety on all public roads with a focus on performance.

The HSIP consists of three main components, the Strategic Highway Safety Plan (SHSP), State HSIP or program of highway safety improvement projects and the Railway-Highway Crossing Program (RHCP), In addition, some states also have a High Risk Rural Roads (HRRR) program if they had increasing fatality rate on rural roads.

The HSIP requires a data-driven, strategic approach to improving highway safety on all public roads that focuses on performance. A highway safety improvement project is any strategy, activity or project on a public road that is consistent with the data-driven New York State Strategic Highway Safety Plan (NYSSHSP) and corrects or improves a hazardous road location or feature or addresses a highway safety problem.
The 2017-2022 NYSSHSP is available for download at:


Formula based Regional HSIP allocations will account for approximately 50% of the available HSIP funds. The remaining 50% will be administered by NYSDOT. NYSDOT funds will be used to finance statewide safety project solicitations, pedestrian safety corridors and initiatives defined during the development of 3 action plans to address pedestrian, intersection and lane departure crashes.

NYSDOT states that safety projects should be considered for eligibility in the following order of priority:

1. Targeted Locations - The Priority Investigation Locations (PIL) list provides a data driven approach that identifies sites with the potential to reduce crashes. Projects resulting from PIL studies include effective countermeasures to address the safety needs at these locations. This program directly correlates a high crash safety investigation to a safety project as specified in the legislation.
2. Targeted Crash Types – Systemic Treatments (PSAP, CARDS, SHARDS or address emphasis areas in the SHSP) or specialty PILs (locations that may not meet the criteria of a regular PIL but have specific types of accidents overrepresented.
3. Other Regionally Identified Safety Need Locations – Off system safety projects that demonstrate a clear safety need and meet the criteria outlined in 23USC148.

Federal Transit Administration Funding Programs

Section 5303, 5304, 5305 - Metropolitan, Statewide, and Nonmetropolitan Planning Programs

These programs provide funding and procedural requirements for multimodal transportation planning in metropolitan areas and States that is cooperative, continuous, and comprehensive, resulting in long range plans and short-range programs of transportation investment priorities.

The metropolitan funds (5303) are allocated to the urban areas for planning based on a long-standing formula that has not changed. The statewide planning funds (5304) are supporting the core Transit program at NYSDOT and major statewide transit initiatives (Schedule Data profile in support of 511ny, Transit projects in NYSDOT’s TDM program and other statewide or regional planning projects). These funds are not required to be placed on the TIP/STIP. Metropolitan Planning funds are part of the Unified Planning Work Program (UPWP) and the Statewide Planning funds are managed with FTA at the State level.

Section 5307/5340 - Urbanized Area Formula Program

The largest of FTA’s grant programs, this program provides grants to urbanized areas to support public transportation. Funding is distributed by formula based on the level of transit service provision, population, and other factors. Total national funding is $5.1 Billion in FY 2018 which includes the Growing States and High-Density States formula. The program remains largely unchanged with a few exceptions. In addition, the urbanized area formula for distributing funds now includes the number of low-income individuals as a factor. There is no floor or ceiling on the amounts that can be spent on job access and reverse commute activities. Additionally, these funds are not subject to the coordinated planning process or require a solicitation to program the funds.
Eligible activities include:

- Capital projects
- Planning
- Job access and reverse commute projects that provide transportation to jobs and employment, opportunities for welfare recipients and low-income workers
- Operating costs in areas with fewer than 200,000 in population
- Operating costs, up to certain limits, for grantees in areas with populations greater than 200,000, and which operate a maximum of 100 buses in fixed-route service during peak hours (rail fixed guideway excluded)

The Growing States and High Density States Formula Program (49 U.S.C. 5340) was established by SAFETEA-LU to apportion additional funds to the Urbanized Area Formula and Rural Area Formula programs. Recipients of funds are existing Urbanized Area (Section 5307) and Rural Area (Section 5311) formula fund recipients.

**Section 5309 - Fixed-Guideway Capital Investment Grants**

Also known as “New Starts/Small Starts,” this program awards grants on a competitive basis for major investments in new and expanded rail, bus rapid transit (BRT) and ferry systems. The authorization levels for this program total $2.65 Billion for FFY 2018. These funds are not included in the fiscal constraint calculations for the state because they are discretionary based on FTA’s process. As funds are awarded or Full Funding Agreements (FFA) are added for specific projects, these projects must be added to the TIP/STIP.

Eligible activities include:

- New fixed-guideways or extensions to fixed guideways (projects that operate on a separate right-of-way exclusively for public transportation, or that include a rail or a catenary system)
- Bus rapid transit projects operating in mixed traffic that represent a substantial investment in the corridor
- Projects that improve capacity on an existing fixed-guideway system

**Section 5310 – Enhanced Mobility of Seniors & Individuals with Disabilities**

This program provides formula funding to increase the mobility of seniors and persons with disabilities. Funds are apportioned based on each State’s share of the targeted populations and in the FAST Act are apportioned to both State (for all areas under 200,000) and large urbanized areas (over 200,000). The former New Freedom program (5317) is folded into this program. The New Freedom program provided grants for services with disabilities that went above and beyond the requirements of the Americans with Disabilities Act (ADA). Nationally, the enhanced 5310 program has $273 M for 2018. These funds require that projects awarded be included in the Coordinated Human Service and Public Transportation Plan that was part of the SAFETEA-LU legislation.

There are several significant changes to the program. One is that operating assistance is now an eligible expense for 5310. The program requires 55 percent of funding be planned and spent on traditional capital projects that serve seniors and individuals with disabilities where Public transit is not appropriate to serve their needs. The remainder of the funding can be used to initiate projects over and above ADA
requirements to improve access to Public Transportation for individuals with disabilities. Funding levels are determined by statistics from the American Community Survey (ACS) rolling five-year program and will be updated each year for the subsequent apportionments.

Eligible activities include:

- At least 55% of program funds must be used on capital or “traditional” 5310 projects. Examples include:
  - Buses and vans; wheelchair lifts, ramps, and securement devices; transit-related information technology systems including scheduling/routing/one-call systems; and mobility management programs.
  - Acquisition of transportation services under a contract, lease, or other arrangement. Both capital and operating costs associated with contracted service are eligible capital expenses. User-side subsidies are considered one form of eligible arrangement. Funds may be requested for contracted services covering a time period of more than one year. The capital eligibility of acquisition of services as authorized in 49 U.S.C. 5310(b)(4) is limited to the Section 5310 program.
- The remaining 45% is for other “nontraditional” projects. Under MAP-21, the program was modified to include projects eligible under the former 5317 program, described as: Capital and operating expenses for new public transportation services and alternatives beyond those required by the ADA, designed to assist individuals with disabilities and seniors. Examples include:
  - Travel training; volunteer driver programs; building an accessible path to a bus stop including curb-cuts, sidewalks, accessible pedestrian signals or other accessible features; improving signage, or way-finding technology; incremental cost of providing same day service or door-to-door service; purchasing vehicles to support new accessible taxi, rides sharing and/or vanpooling programs; and mobility management programs.
- Mobility management is eligible for 100% of 5310 funding.

**Section 5337 - State of Good Repair Grants**

The FAST act continued a new grant program to maintain public transportation systems in a state of good repair. The program replaces the fixed guideway modernization program under Section 5309. Funding is limited to fixed guideway systems (including rail, bus rapid transit, and passenger ferries) and high intensity bus (high intensity bus refers to buses operating in high occupancy vehicles (HOV) lanes). Projects are limited to replacement and rehabilitation, or capital projects required to maintain public transportation systems in a state of good repair. There is $2.993 Billion in FY 2018.

The distribution of funds is based on existing systems and therefore only Buffalo, the Hudson Valley TMA and NYMTC are awarded funds for the Fixed-guideway portion of this funding source. The New York area was identified as receiving $6.1 million in high–Intensity Bus funds but the formula for distribution is based on vehicle revenue miles and directional route miles as reported in NTD. These funds are announced each year and are subject to fiscal constraint.

Eligible activities include:

- Capital projects to maintain a system in a state of good repair, including projects to replace and rehabilitate: rolling stock; track; line equipment and structures; signals and communications; power equipment and substations; passenger stations and terminals;
security equipment and systems; maintenance facilities and equipment; and operational support equipment, including computer hardware and software

- Transit Asset Management Plan development and implementation

**Section 5339 – Bus and Bus Facilities**

A new formula grant program was established and continued under the FAST Act under Section 5339, replacing the previous Section 5309 discretionary Bus and Bus Facilities program. This capital program provides funding to replace, rehabilitate, and purchase buses and related equipment, and to construct bus-related facilities. The authorized level at the national level is $492 million for FY 2018. Each State is guaranteed to receive $3.5 million under the National Distribution program. However, the rules for administering this program do not allow Designated Recipients under 200,000 population to apply for the funds directly. To remove that inflexibility here in NYS, we have sub-allocated the 5339 to the SUZAs based on the base as well as the actual allocation to the SUZAs. An annual letter outlines the distribution of those funds to urban areas under the 200,000-population level. In addition, each urban area is allocated funds based on their share of the national allocation.

Eligible activities include:

- Capital projects to replace, rehabilitate and purchase buses, vans, and related equipment
- Construction of bus-related facilities

**Non-Core Funding Sources**

The following is a representative, but not exhaustive, list of the types of projects eligible for the Non-Core (NOT regionally allocated) funding programs. These programs are very competitive and require an application. Grant opportunities are announced to members and other interested eligible parties well in advance of deadlines. GBNRTC staff is available to provide information, necessary forms and applicant assistance.

**Congestion Mitigation and Air Quality Program (CMAQ)**

The FAST Act continued the CMAQ program to provide a flexible funding source to State and local governments for transportation projects and programs to help meet the requirements of the Clean Air Act. Funding is available to reduce congestion and improve air quality for areas that do not meet the National Ambient Air Quality Standards for ozone, carbon monoxide, or particulate matter (nonattainment areas) and for former nonattainment areas that are now in compliance (maintenance areas).

CMAQ Eligible Projects and Programs:

- Diesel engine retrofits and other advanced truck technologies
- Idle reduction
- Congestion reduction and traffic flow improvements
- Freight and intermodal
- Transportation control measures
• Transit improvements
• Bicycle and pedestrian facilities and programs
• Travel demand management
• Public education and outreach activities
• Transportation management associations
• Carpooling and vanpooling
• Carsharing
• Extreme low temperature cold start program
• Training
• Inspection and maintenance programs
• Alternative fuels and vehicles
• Innovative projects

The FAST Act added eligibility for:

• Verified technologies for non-road vehicles and non-road engines that are used in port-related freight operations located in ozone, PM10, or PM2.5 nonattainment or maintenance areas funded in whole or in part under 23 U.S.C. or chapter 53 of 49 U.S.C. [23 U.S.C. 149(b)(8)(A)(iii)]
• The installation of vehicle-to-infrastructure communications equipment. [23 U.S.C. 149(b)(9)]
• Electric vehicle and natural gas vehicle infrastructure and adds priority for infrastructure located on the corridors designated under 23 U.S.C. 151. [23 U.S.C. 149(c)(2)]
• PM2.5 set-aside funds may be used to reduce fine particulate matter emissions in a PM2.5 nonattainment or maintenance area, including—
  o Diesel retrofits;
  o Installation of diesel emission control technology on non-road diesel equipment or on-road diesel equipment that is operated on a highway construction projects; and
  o The most cost-effective projects to reduce emissions from port-related landside non-road or on-road equipment that is operated within the boundaries of the area. [23 U.S.C. 149(k)(2) & (4)]

Although Region 5 does receive a direct allocation of CMAQ funds, those funds are targeted for Jamestown, NY. Additional unallocated CMAQ funds are available through a competitive TAP/CMAQ funding solicitation every two years.

Transportation Alternatives Program (TAP)

The FAST Act eliminates the MAP-21 Transportation Alternatives Program (TAP) and replaces it with a set-aside of Surface Transportation Block Grant (STBG) program funding for transportation alternatives (TA). These set-aside funds include all projects and activities that were previously eligible under TAP, encompassing a variety of smaller-scale transportation projects such as pedestrian and bicycle facilities, recreational trails, safe routes to school projects, community improvements such as historic preservation and vegetation management, and environmental mitigation related to storm water and habitat connectivity.

The FAST Act requires all TA projects to be funded through a competitive process. Eligible applicants include all entities that were eligible to apply for TAP funds. The FAST Act also allows nonprofit entities responsible for the administration of local transportation safety programs to apply.
The following activities when carried out as part of any program or project authorized or funded under this title, or as an independent program or project related to surface transportation are eligible:

- Construction, planning, and design of on-road and off-road trail facilities for pedestrians, bicyclists, and other non-motorized forms of transportation, including sidewalks, bicycle infrastructure, pedestrian and bicycle signals, traffic calming techniques, lighting and other safety-related infrastructure, and transportation projects to achieve compliance with the Americans with Disabilities Act of 1990.
- Construction, planning, and design of infrastructure-related projects and systems that will provide safe routes for non-drivers, including children, older adults, and individuals with disabilities to access daily needs.
- Conversion and use of abandoned railroad corridors for trails for pedestrians, bicyclists, or other non-motorized transportation users.
- Construction of turnouts, overlooks, and viewing areas.
- Community improvement activities, which include but are not limited to:
  - Inventory, control, or removal of outdoor advertising;
  - Historic preservation and rehabilitation of historic transportation facilities;
  - Vegetation management practices in transportation rights-of-way to improve roadway safety, prevent against invasive species, and provide erosion control; and
  - Archaeological activities relating to impacts from implementation of a transportation project eligible under title 23.
- Any environmental mitigation activity, including pollution prevention and pollution abatement activities and mitigation
  - To address storm water management, water pollution prevention, vehicle caused wildlife mortality, connectivity among terrestrial and aquatic habitats.
- Recreational Trails Program (RTP)
- Safe Routes to School Program (SRTS)
- Planning, designing, or constructing boulevards and other roadways largely in the right-of-way of former Interstate System routes or other divided highways.

TA funds are not included in regional funding planning targets. Projects receiving TA awards will be added to the TIP following a 20-day public review and comment period via amendment in accordance to the established TIP Change Guidelines (5/13).

**NYSDOT Statewide Priority Projects**

NYSDOT reserves 25% of expected National Highway Performance Program (NHPP) funds and Surface Transportation Program (STP) Off-System Bridge funds from each MPO for statewide distribution on a statewide competitive basis. Statewide competition for these funds offers an opportunity to increase regional funding and to advance new projects considered critical to renew and strategically enhance the state’s overall transportation system. Larger, strategic, beyond preservation projects which may be beyond the funding limitations of current planning targets would be eligible for this program.

When a new round of funding is announced, NYSDOT will solicit projects and provide guidance to MPOs. Projects receiving Statewide Priority awards will be added to the TIP following a 20-day public review and comment period via amendment in accordance to the established TIP Change Guidelines (5/13).
**Better Utilizing Investments to Leverage Development (BUILD)**

The Better Utilizing Investments to Leverage Development, or BUILD Transportation Discretionary Grant program, provides a unique opportunity for the USDOT to invest in road, rail, transit and port projects that promise to achieve national objectives. Previously known as Transportation Investment Generating Economic Recovery, or TIGER Discretionary Grants, Congress has dedicated nearly $7.1 billion for ten rounds of National Infrastructure Investments to fund projects that have a significant local or regional impact.

In each competition, DOT receives hundreds of applications to build and repair critical pieces of our freight and passenger transportation networks. The BUILD program enables DOT to examine these projects on their merits to help ensure that taxpayers are getting the highest value for every dollar invested.

The eligibility requirements of BUILD allow project sponsors at the State and local levels to obtain funding for multi-modal, multi-jurisdictional projects that are more difficult to support through traditional USDOT programs. BUILD can fund port and freight rail projects, for example, which play a critical role in our ability to move freight, but have limited sources of Federal funds. BUILD can provide capital funding directly to any public entity, including municipalities, counties, port authorities, tribal governments, MPOs, or others in contrast to traditional Federal programs which provide funding to very specific groups of applicants (mostly State DOTs and transit agencies). This flexibility allows BUILD and partners at the State and local levels to work directly with a host of entities that own, operate, and maintain much of our transportation infrastructure, but otherwise cannot turn to the Federal government for support.

**Infrastructure for Rebuilding America (INFRA)**

INFRA (previously known as FASTLANE) advances a grant program established in the FAST Act of 2015 and utilizes updated criteria to evaluate projects to align them with national and regional economic vitality goals and to leverage additional non-federal funding. The program seeks to increase the impact of projects by leveraging federal grant funding and incentivizing project sponsors to pursue innovative strategies, including public-private partnerships.

The INFRA program focuses on economic vitality, leverage (including private sector participation), innovation, and performance. It provides dedicated, discretionary funding for projects that address critical issues facing our nation’s highways and bridges. INFRA grants will support fixing our nation’s crumbling infrastructure by creating opportunities for all levels of government and the private sector to fund infrastructure, using innovative approaches to improve the necessary processes for building significant projects, and increasing accountability for the projects that are built.

The USDOT will make awards under the INFRA program to both large and small projects. For a large project, the INFRA grant must be at least $25 million. For a small project, the grant must be at least $5 million. For each fiscal year of INFRA funds, 10 percent of available funds are reserved for small projects. The INFRA grant program also preserves the statutory requirement in the FAST Act to award at least 25 percent of funding for rural projects.

In FFY 18, INFRA grants in the amount of nearly $1.5 billion were awarded to 26 projects nationally. For FFY 19, $950M is available for projects.
BRIDGE-NY

BRIDGE-NY is a NY State program designed to rehabilitate and replace bridges and culverts statewide. This investment in local transportation infrastructure supports the needs of the traveling public, movement of goods and regional economic competitiveness.

The BRIDGE NY program, administered by the New York State Department of Transportation (NYSDOT), is open to all municipal owners of bridges and culverts. Projects will be awarded through a competitive process and will support all phases of project development. Projects selected for funding under the BRIDGE NY Initiative will be evaluated based on the resiliency of the structure, including such factors as hydraulic vulnerability and structural resiliency; the significance and importance of the bridge including traffic volumes, detour considerations, number and types of businesses served and impacts on commerce; and the current bridge and culvert structural conditions.

Consolidated Local Street and Highway Improvement Program (CHIPS)

The Consolidated Local Street and Highway Improvement Program (CHIPS) was established by the NYS Legislature in 1981. The program provides state funding to municipalities to support the construction and repair of highways, bridges, highway-railroad crossings, and other facilities that are not on the State highway system. These state funds may also be used for the local match portion of federal-aid TIP projects or to supplement federal funding for projects (provide a larger local match).

The applicable rules for the CHIPS Program are contained in Section 10-c of the State Highway Law. Apportionments to municipalities are calculated annually by the New York State Department of Transportation (NYSDOT) according to formulas specified in this section of the Law.

Upon approval of the State Budget, NYSDOT determines each municipality’s final CHIPS Capital apportionment for the new State fiscal year and notifies them of the available amount via the letter for the scheduled June payment and a posting to the Capital Apportionment Balances link on the CHIPS website. The 2016-17 New York budget provided $438 million in direct funding for the CHIPS.

In order to be eligible for CHIPS Capital reimbursement, the capital project must:

1. Be undertaken by a municipality
2. Be for highway-related purposes
3. Have a service life of 10 years or more with normal maintenance or comply with the exceptions below
4. Follow the CHIPS Guidelines

It is expected that the CHIPS program will continue throughout the FFY 2020-2024 TIP period. The most recent apportionments for the four local members in the GBNRTC planning area are:

<table>
<thead>
<tr>
<th>Member Agency</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Erie County</td>
<td>$8,859,075</td>
</tr>
<tr>
<td>City of Buffalo</td>
<td>$4,090,191</td>
</tr>
<tr>
<td>Niagara County</td>
<td>$2,171,530</td>
</tr>
<tr>
<td>City of Niagara Falls</td>
<td>$1,407,367</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>$16,528,163</strong></td>
</tr>
</tbody>
</table>
PAVE-NY

PAVE-NY was a new program included in the State Fiscal Year (SFY) 2015/16 – 2019/20 State Transportation Plan. It assists municipalities with the rehabilitation and reconstruction of local highways and roads by providing $100 million annually through SFY 2019-20. Funds are apportioned by NYSDOT based on the ratio of funds each municipality received under the SFY 2016-17 Consolidated Local Street and Highway Improvement Program (CHIPS).

PAVE-NY is available to New York City and all cities, counties, towns and villages that report local roadway mileage to NYSDOT pursuant to the Local Highway Inventory (LHI).

Municipal project sponsors must follow locally adopted street and highway design and construction standards. The American Association of State Highway and Transportation Officials (AASHTO) standards for local streets and highways or NYSDOT highway standards may be used for the design of municipally owned roads.

Eligible project activities include the following:

- **Highway Resurfacing:** Placement or replacement of a pavement course(s) to enable the existing pavement to achieve its design life and to provide additional strength or to improve serviceability while not degrading safety.
- **Highway Reconstruction:** A major improvement to the existing roadway structure (including drainage and shoulders). This could include realignment, construction on new alignment, and major widening such as adding one or more lanes.
- **The following work is eligible for reimbursement if it is part of a highway resurfacing or highway reconstruction project:**
  - New signs
  - New, upgraded, or coordinated traffic signals
  - Intelligent transportation systems (ITS)
  - Traffic calming installations (speed humps, etc.)
  - Guiderail (galvanized) projects
  - Removal or relocation of roadside obstacles
  - Pavement grooving

The most recent apportionments for the four local members in the GBNRTC planning area is listed below:

<table>
<thead>
<tr>
<th>Member Agency</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Erie County</td>
<td>$2,022,172</td>
</tr>
<tr>
<td>City of Buffalo</td>
<td>$933,627</td>
</tr>
<tr>
<td>Niagara County</td>
<td>$495,673</td>
</tr>
<tr>
<td>City of Niagara Falls</td>
<td>$321,246</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>$3,772,718</strong></td>
</tr>
</tbody>
</table>

The most recent apportionments for the four local members in the GBNRTC planning area is listed below:
Planning Targets

Consistent with past TIP/STIP Updates, NYSDOT is providing the attached targets for planning purposes only. The planning targets do not represent a commitment of funding on behalf of the Federal Highway Administration (FHWA) or the State.

Funding for select programs and recognized non-discretionary expenses are reserved prior to the apportionment of needs based regional planning targets. These programs include Structure Inspections, 511NY, Traffic Signal Components, Rustic Rail, Off System Bridge, and centrally managed initiatives such as Statewide Highway Safety Improvement Program (HSIP) and Bridge NY. Programs such as Surface Transportation Block Grant (STBG) set aside (formerly, Transportation Alternatives), Earmarks, Grade Crossing, Recreational Trails, Demonstration Funds, and other discretionary funding are considered non-allocated fund sources and are managed separately outside planning targets.

The transition to new 2020-2024 planning targets will occur in stages. State Fiscal Year (SFY) 19/20 will largely remain at the current values. After SFY 19/20 the new planning target levels will be in effect.

Fund balances (both positive and negative) from the previous TIP/STIP period will “rollover” into the new TIP/STIP period. Simply put:

\[
\text{Programming } \$ = \text{Planning Target} + \text{Rollover}
\]

Any overspending during the previous STIP period (a negative rollover) will reduce the amount that can be programmed during the new STIP period. Under spending during the previous STIP period increases the amount that can be programmed.

A preventive/corrective maintenance investment target has been set for the state-owned system that reflects a mandated use of the overall planning target. Unlike the previous TIP, there is no preventive/corrective maintenance target for the local program. While NYSDOT strongly encourages local municipalities to follow sound asset management principles, it is understood that local governments generally wish to use federal-aid for larger system renewal projects and use their own funds for preventive and corrective maintenance projects. NYSDOT Regions have developed their programs to meet the preventive/corrective maintenance target for the state system.

Innovative/Alternative Funding Sources

To meet the current and future demand for transportation improvements, funding resources beyond those already in place will need to be investigated and considered. Finding new revenue sources is always challenging and support may only be achieved if there is a belief that the existing funds are being spent efficiently and providers of new financing are convinced that the benefits of the transportation investment exceed the additional cost. Some additional opportunities that could be considered include:

- User-based revenue sources
- Broadening the dedicated tax-based revenues
- Public-Private partnerships

The fiscal constraint achieved in this plan also relies upon the successful application and award of federal discretionary funds to the region. To advance larger projects, federal Transportation
Improvements Generation Economic Recovery (TIGER) grants have been/continue to be used. This annual competitive grant program has allowed large projects such as Cars on Main Street (700, 600, 500, Lower Main blocks) and the Niagara Falls Intermodal Center to proceed.

Without these external innovative/alternative funding sources, many desirable projects will no longer be able to proceed.

Operations and Maintenance

NYSDOT and local GBNRTC members annually budget funds for operations and maintenance of transportation facilities including the federally supported system. In addition, both federal and state funds are provided to NYSDOT’s operations and maintenance forces for betterments to the system. NYSDOT Region 5 budgets approximately $54M per year for preventive, corrective and demand maintenance on highways and bridges. Specific activities include pavement and bridge maintenance, drainage improvements, guide rail repair, pavement markings, sign and signal maintenance, snow and ice control and numerous other maintenance activities. NYSDOT also provides funds to localities for maintenance through the Consolidated Local Street and Highway Improvement Program (CHIPS).

For the state system in Region 5, all of the regional target that is not planned for the local sponsors is budgeted for preventative, corrective and demand maintenance on highway and bridges except for HSIP $3M, CMAQ $1M and State Infrastructure Block $10M/5 years = $2M. The region blocked $21M for pavement preservation and $16M for bridge preservation for all 4 counties. The remaining funds are planned for large culverts, guiderail, OSS, signs, signals, etc. Region 5 estimates that for the pavement and bridge blocks, 40% are to fund rural area while 60% are in MPO area. Finally, on average, nearly $54M of state and federal funds planned region wide are for preservation.

The TIP also includes bridge maintenance for local bridges around $2M to $3M. It is difficult to estimate how much maintenance is planned on the local system because some requested projects planned on the TIP are maintenance while others are not. Of the $18M+/сид planner per year on local system – $1M of HSIP, approximately $5M is for preservation.

NYSDOT annually distributes Statewide Mass Transportation Operating Assistance (STOA) funds to approximately 130 transit operators. Niagara Frontier Transportation Authority (NFTA) is the principal recipient of these funds in Erie and Niagara Counties. STOA is calculated based on a per-passenger and per vehicle mile formula.

In 2019-2020, the NFTA will receive:

- $58,623,000 in STOA
- $04,100,000 from the two counties (Erie and Niagara) in 18-b or required STOA match
- $20,322,709 in Erie County Sales Tax
- $10,199,054 in Mortgage Tax
- $93,244,650 + additional special mortgage tax for capital/operations from Erie County.

Annual Structure Inspection Costs

Bridges, including those on local roads, are integral elements of our highway systems. Despite their importance, however, they are often the most neglected components of the infrastructure. Demands on
limited resources, especially competing roadway priorities for increased capacity and improved riding surfaces, too often result in deferred maintenance for bridges. The consequences are obvious -- bridges are deteriorating far faster than they are being repaired. Without adequate attention, many require replacement or closure long before they are really obsolete, further adding to the demand for limited funds, impacting safety, and discouraging both users and transportation providers.

Establishment of national bridge inspection standards and New York's Uniform Code of Bridge Inspection (NYCRR Part 165), both requiring that all structures more than 20 ft. long be inspected at least once every 24 months, have reduced the likelihood of catastrophic failure by mandating appropriate follow up after structural or safety citations.

The latest information provided by Region 5 on bridge inspection costs, including fund sources (in millions) is:

<table>
<thead>
<tr>
<th>Funding Source</th>
<th>State System</th>
<th>Local System</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>NHPP</td>
<td>$1.892</td>
<td>$1.462</td>
<td>$3.354</td>
</tr>
<tr>
<td>STBGP FLEX</td>
<td>$0.172</td>
<td>$0.172</td>
<td>$0.344</td>
</tr>
<tr>
<td>STBGP OFF-SYSTEM</td>
<td>$0.946</td>
<td>$3.956</td>
<td>$4.896</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>$3.01M</strong></td>
<td><strong>$5.590</strong></td>
<td><strong>$8.594</strong></td>
</tr>
</tbody>
</table>

**Anticipated Future Expenditures and Resources**

Many of our local streets, roads, bridges and highways were built decades ago and now require investments to rehabilitate, reconstruct and maintain them. Moving Forward 2050 will ensure that the region's infrastructure and services continue to function properly, safely and support the movement of people and goods-while at the same time prioritizing infrastructure that is both critical to the region, and supports Moving Forward's goals. Overall approaches to asset management and maintenance include: implementing systematic, aggressive road maintenance region-wide, with safety and technology upgrades; adopting advanced materials and construction techniques; and carrying out the Transit Asset Management Plan.

A Financial Plan assuring fiscal constraint is a key component of the Moving Forward 2050. Transportation plans encompass a number of projects that are to be implemented by a variety of organizations both public and private. All levels of government-federal, state, and local-have a role to play in maintaining and improving the transportation system. The fiscal constraint aspect of any regional transportation plan requires a financial plan be prepared so that the resulting plan can be used as a tool for the community to realistically establish priorities within the financial resources likely to be available. The plan must be fiscally constrained to the amount projected to be available to the region. The following Financial Plan table illustrates forecast revenues through 2050 (basis for forecasts are detailed in the Appendix). The table also shows projected expenditures over that period, including system preservation needs, also detailed in Appendix, and expenditures per strategy. The table illustrates the balance between revenues and expenditures in Moving Forward 2050.
MTP Financial Plan

Federal regulation 23 CFR § 450.324 (f) states that the metropolitan transportation planning process shall include a financial plan that demonstrates how the adopted transportation plan can be implemented.

The MPO, public transportation operator(s), and State shall cooperatively develop estimates of funds that will be available to support metropolitan transportation plan implementation, as required under § 450.314(a). All necessary financial resources from public and private sources that are reasonably expected to be made available to carry out the transportation plan shall be identified.

### MTP 2050 Expenditure Forecast ($M)

<table>
<thead>
<tr>
<th>category</th>
<th>amount ($)</th>
</tr>
</thead>
<tbody>
<tr>
<td>System Preservation</td>
<td>$6,764.57</td>
</tr>
<tr>
<td>Preservation of Highway, Bridge and Transit Systems</td>
<td>$6,764.57</td>
</tr>
<tr>
<td>Constrained Strategies Beyond Preservation</td>
<td>$3,484.82</td>
</tr>
<tr>
<td>Regional Highway System Upgrades</td>
<td>$391.47</td>
</tr>
<tr>
<td>Smartly Enhanced Safety and Mobility Corridors</td>
<td>$675.34</td>
</tr>
<tr>
<td>Secondary Corridors</td>
<td>$139.63</td>
</tr>
<tr>
<td>Smaller Cities</td>
<td>$281.14</td>
</tr>
<tr>
<td>Rural Roadways</td>
<td>$376.42</td>
</tr>
<tr>
<td>Regional Cycle Network</td>
<td>$22.00</td>
</tr>
<tr>
<td>Infrastructure for Reconsideration</td>
<td>$100.00</td>
</tr>
<tr>
<td>New Mobility &amp; Transit</td>
<td>$1,399.77</td>
</tr>
<tr>
<td><strong>Program Total</strong></td>
<td><strong>$10,249.39</strong></td>
</tr>
</tbody>
</table>
MTP 2050 Reasonable Expected Revenues

<table>
<thead>
<tr>
<th>Reasonably-Expected Revenues</th>
<th>Near-Term (FY's 2018-2030)</th>
<th>Mid-Term (FY's 2031-2040)</th>
<th>Long-Term (FY's 2041-2050)</th>
<th>Full MTP 2050 (FY's 2016-2050)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Federal</td>
<td>$2,164.71</td>
<td>$1,687.77</td>
<td>$1,947.77</td>
<td>$5,800.25</td>
</tr>
<tr>
<td>Regionally-Allocated Highway and Bridge</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>National Highway System</td>
<td>$470.49</td>
<td>$475.38</td>
<td>$525.45</td>
<td>$1,475.33</td>
</tr>
<tr>
<td>Highway Flexible</td>
<td>$215.31</td>
<td>$219.36</td>
<td>$240.47</td>
<td>$675.16</td>
</tr>
<tr>
<td>Safety</td>
<td>$47.85</td>
<td>$48.75</td>
<td>$53.44</td>
<td>$150.04</td>
</tr>
<tr>
<td>Non-Motorized/Air Duality</td>
<td>$63.80</td>
<td>$65.00</td>
<td>$71.25</td>
<td>$200.05</td>
</tr>
<tr>
<td>State-Selected Highway and Bridge</td>
<td>$160.03</td>
<td>$163.05</td>
<td>$178.73</td>
<td>$501.81</td>
</tr>
<tr>
<td>State-Selected HSIP</td>
<td>$28.91</td>
<td>$29.45</td>
<td>$32.29</td>
<td>$90.65</td>
</tr>
<tr>
<td>Directly-Apportioned Transit</td>
<td>$465.87</td>
<td>$576.14</td>
<td>$708.44</td>
<td>$1,748.65</td>
</tr>
<tr>
<td>Discretionary</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Multi-modal</td>
<td>$112.45</td>
<td>$108.62</td>
<td>$137.69</td>
<td>$358.76</td>
</tr>
<tr>
<td>Transit *</td>
<td>$60.00</td>
<td>$50.00</td>
<td>$50.00</td>
<td>$50.00</td>
</tr>
<tr>
<td>State</td>
<td>$1,499.50</td>
<td>$829.58</td>
<td>$932.15</td>
<td>$3,261.23</td>
</tr>
<tr>
<td>Dedicated Highway and Bridge to NYSDOT</td>
<td>$102.03</td>
<td>$87.75</td>
<td>$90.96</td>
<td>$280.74</td>
</tr>
<tr>
<td>Formula Highway and Bridge to Localities</td>
<td>$270.16</td>
<td>$192.45</td>
<td>$250.58</td>
<td>$713.19</td>
</tr>
<tr>
<td>Formula Transit</td>
<td>$130.05</td>
<td>$70.36</td>
<td>$87.12</td>
<td>$268.45</td>
</tr>
<tr>
<td>Thruway Contribution</td>
<td>$716.36</td>
<td>$479.00</td>
<td>$503.49</td>
<td>$1,698.85</td>
</tr>
<tr>
<td>Transit Discretionary - Capital Match *</td>
<td>$350.00</td>
<td>$60.00</td>
<td>$60.00</td>
<td>$300.00</td>
</tr>
<tr>
<td>Local</td>
<td>$219.05</td>
<td>$178.43</td>
<td>$187.56</td>
<td>$585.04</td>
</tr>
<tr>
<td>Highway</td>
<td>$160.77</td>
<td>$130.96</td>
<td>$137.66</td>
<td>$429.39</td>
</tr>
<tr>
<td>Transit</td>
<td>$58.28</td>
<td>$47.47</td>
<td>$49.90</td>
<td>$155.65</td>
</tr>
<tr>
<td>Non-Transportation (Federal, State &amp; Local)</td>
<td>$407.61</td>
<td>$92.78</td>
<td>$102.49</td>
<td>$602.88</td>
</tr>
<tr>
<td>Full MTP 2050</td>
<td>$4,290.86</td>
<td>$2,788.57</td>
<td>$3,169.97</td>
<td>$10,249.39</td>
</tr>
</tbody>
</table>

Note: Allocated revenues are for NYS area only, Erie and Niagara Counties.

* Assumes $1.5M for 5.12B Amtrak Buffalo LRT Extension includes $610M Federal share; $330M State match; $330M Local match - various sources.

GBNRTC TIP Fiscal Constraint Demonstration

Fiscal constraint remains a key component of program development and this transportation plan. Fiscally constrained means the region can only program projects for which revenues are reasonably expected to be available through federal, state, or local resources. Every effort has been made to assure revenue forecasts are reasonable and estimated project costs balance with those financial resources. Management controls are also in place to maintain fiscal integrity as projects advance.

Federal Regulation 23 CFR 450.326(k) states:

“For the TIP, financial constraint shall be demonstrated and maintained by year and shall include sufficient financial information to demonstrate which projects are to be implemented using current and/or reasonably available revenues, while federally supported facilities are being adequately operated and maintained.”

NYSDOT Region 5 works closely with the GBNRTC in the development of the MPO’s TIP and the Region’s portion of the STIP without a formal sub-allocation of planning targets to the MPO. NYSDOT has fiscal management tools available such as the use of Advanced Construction and the availability of fund source.
balances that gives them flexibility to accommodate some variations in fund source usage, and federal fund usage between years.

Should funding targets change during the life of the TIP, supplemental guidance will be issued from NYSDOT to implement changes. These changes will take place through the approved GBNRTC TIP Change Guidelines (5/13).

Subsequently, should NYSDOT planning targets decrease during the life of the TIP, existing projects will need to be modified/delayed in the current TIP in order to maintain fiscal constraint.

For the 4-year STIP period (FFY 2020-2023), anticipated federal funding for NYSDOT Region 5 has been calculated at $591.38M. Programmed funds for the MPO (GBNRTC) have been calculated at 478.06M. This results in a regional balance of $113.33M which have been programmed on the 2 counties in the Region outside of the MPO planning area (Cattaraugus and Chautauqua).

The following charts and fiscal constraint table shows planning targets for the GBNRTC MPO planning area.
MPO (GBNRTC) 4-year STIP
Federal Transit Funds (M)

<table>
<thead>
<tr>
<th>Abbreviation</th>
<th>Funding Source</th>
</tr>
</thead>
<tbody>
<tr>
<td>CMAQ</td>
<td>Congestion Mitigation Air Quality</td>
</tr>
<tr>
<td>HSIP</td>
<td>Highway Safety Improvement Program</td>
</tr>
<tr>
<td>NHPP</td>
<td>National Highway Performance Program</td>
</tr>
<tr>
<td>STBGP FLEX</td>
<td>Surface Transportation Block Grant Program Flex - includes STBGP RURAL, STBGP SM URBAN</td>
</tr>
<tr>
<td>STBGP OFF</td>
<td>STBGP Off-System Bridge</td>
</tr>
<tr>
<td>STBGP LG URB</td>
<td>STBGP Large Urban</td>
</tr>
<tr>
<td>FTA 5307</td>
<td>FTA Urbanized Area Formula Grants</td>
</tr>
<tr>
<td>FTA 5310</td>
<td>FTA Enhanced Mobility Seniors/Individuals with Disabilities</td>
</tr>
<tr>
<td>FTA 5311</td>
<td>FTA Formula Grants for Other than Urbanized Areas</td>
</tr>
<tr>
<td>FTA 5329</td>
<td>FTA Public Transportation Safety Program</td>
</tr>
<tr>
<td>FTA 5337</td>
<td>FTA State of Good Repair Grants</td>
</tr>
<tr>
<td>FTA 5339</td>
<td>FTA Bus and Bus Facilities Program</td>
</tr>
</tbody>
</table>
MPO (GBNRTC) 4-Year STIP Overall Fiscal Constraint

* Anticipated funds for all of NYSDOT Region 5. Programmed funds for MPO Planning Area only.

MPO (GBNRTC) TIP 5-year Anticipated Highway Funding Breakdown (M)

<table>
<thead>
<tr>
<th>Abbreviation</th>
<th>Funding Source</th>
</tr>
</thead>
<tbody>
<tr>
<td>CMAQ</td>
<td>Congestion Mitigation Air Quality</td>
</tr>
<tr>
<td>HSIP</td>
<td>Highway Safety Improvement Program</td>
</tr>
<tr>
<td>NHPP</td>
<td>National Highway Performance Program</td>
</tr>
<tr>
<td>STBGP FLEX</td>
<td>Surface Transportation Block Grant Program Flex - includes STBGP RURAL, STBGP SM URBAN</td>
</tr>
<tr>
<td>STBGP OFF</td>
<td>STBGP Off-System Bridge</td>
</tr>
<tr>
<td>STBGP LG URB</td>
<td>STBGP Large Urban</td>
</tr>
</tbody>
</table>
### MPO (GBNRTC) TIP 5-year Anticipated Federal Transit Funding Breakdown (M)

<table>
<thead>
<tr>
<th>Abbreviation</th>
<th>Funding Source</th>
</tr>
</thead>
<tbody>
<tr>
<td>FTA 5307</td>
<td>FTA Urbanized Area Formula Grants</td>
</tr>
<tr>
<td>FTA 5310</td>
<td>FTA Enhanced Mobility Seniors/Individuals with Disabilities</td>
</tr>
<tr>
<td>FTA 5311</td>
<td>FTA Formula Grants for Other than Urbanized Areas</td>
</tr>
<tr>
<td>FTA 5329</td>
<td>FTA Public Transportation Safety Program</td>
</tr>
<tr>
<td>FTA 5337</td>
<td>FTA State of Good Repair Grants</td>
</tr>
<tr>
<td>FTA 5339</td>
<td>FTA Bus and Bus Facilities Program</td>
</tr>
<tr>
<td>-------------</td>
<td>-----------------------------</td>
</tr>
<tr>
<td>CMAQ</td>
<td>$8,961</td>
</tr>
<tr>
<td>HSIP</td>
<td>$6,091</td>
</tr>
<tr>
<td>NHPP</td>
<td>$25,449</td>
</tr>
<tr>
<td>STBGP FLEX</td>
<td>$20,312</td>
</tr>
<tr>
<td>STBGP OFF</td>
<td>$8,592</td>
</tr>
<tr>
<td>STBGP LG URB</td>
<td>$28,667</td>
</tr>
</tbody>
</table>

**Notes:**
1. Anticipated funds are NYSDOT provided targets for the entire region (NYSDOT Region 5).
2. Programmed funds are only for MPO area (Erie and Niagara Counties) and do not include projects in Chautauqua and Cattaraugus Counties.

**Abbreviation**  | **Funding Source**
--- | ---
CMAQ | Congestion Mitigation Air Quality
HSIP | Highway Safety Improvement Program
NHPP | National Highway Performance Program
STBGP FLEX | Surface Transportation Block Grant Program Flex - includes STBGP RURAL, STBGP SM URBAN
STBGP OFF | STBGP Off-System Bridge
STBGP LG URB | STBGP Large Urban
FTA 5307 | FTA Urbanized Area Formula Grants
FTA 5310 | FTA Enhanced Mobility Seniors/Individuals with Disabilities
FTA 5311 | FTA Formula Grants for Other than Urbanized Areas
FTA 5329 | FTA Public Transportation Safety Program
FTA 5337 | FTA State of Good Repair Grants
FTA 5339 | FTA Bus and Bus Facilities Program

Based on the financials displayed in these tables and charts, NYSDOT Region 5 has determined that the GBNRTC 2020-2024 TIP is fiscally constrained to reasonably available revenues.