How to Read the STIP Project List: Excel files

The Statewide Transportation Improvement Program (STIP) has been downloaded in Excel spreadsheet format for easy analysis of this website (https://www.dot.ny.gov/programs/stip), click on “STIP Project Listing”. The information has been downloaded to two different tabs. The first tab is the same information shown on the printed STIP report. The second includes (where information is available) on the specific fund source of the non-Federal dollar match to the Federal dollars (the NFA fund source).

The list of projects in the STIP is ordered by project identification numbers (PIN). For NYSDOT PINs generally, the first digit each PIN identifies the NYSDOT Regional Office (e.g. PIN 400001 is in Region 4), note two Regions have a slightly different rule- with ‘0’ indicating Region 10 (Long Island), and ‘X’ indicating Region 11 (New York City). Also Statewide projects may use a letter as the first digit. With MTA PINs and other agency PINs, they follow their own numbering system. Note that if a NYSDOT PIN exists, then a project must be identified with this PIN, otherwise an agency can (with the approval by the Main Office) use another numbering scheme. Note NYSDOT does not have any PINs for MTA projects (unless they are on the highway system).

The following summarizes each field found on the Excel download of the eSTIP. Generally there is a record for each unique PIN, each phase of that PIN, and each year that the phase is being funded. On the same record are both the Federal and ‘match’ funds (non-Federal-Aid matching funds—or NFA).

PROJECT LIST CONTENTS

1ST Tab (STIP Project Listing):

<table>
<thead>
<tr>
<th>Field Name</th>
<th>Data description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Region</td>
<td>numeric code that identifies the NYSDOT Region – see corresponding names on STIP Project Listing download page under “NYSDOT Region.”</td>
</tr>
<tr>
<td>MPO</td>
<td>abbreviation of the Metropolitan Planning Organization (MPO) where the project is located; “RURAL” indicates a location outside of MPO boundaries, also note that the three subdivisions of NYMTC (NYCTCC, N/STCC, MHSTCC) are treated as MPOs within the model. The MPO transportation areas are defined as:</td>
</tr>
</tbody>
</table>

- AGFTC: Adirondack - Glens Falls Transportation Council
- BMTS: Binghamton Metropolitan Transportation Study
- CDTC: Capital District Transportation Committee
- ECTC: Elmira - Chemung Transportation Council
- GTC: Genesee Transportation Council
- GBNRTC: Greater Buffalo - Niagara Regional Transportation Council
- HOCTS: Herkimer - Oneida Counties Transportation Study
- ITCTC: Ithaca - Tompkins County Transportation Council
- MHSTCC: Mid-Hudson South Transportation Coordinating Committee **
- NYCTCC: New York City Transportation Coordinating Committee **
- NYMTC: New York Metropolitan Transportation Council **
- N/STCC: Nassau/Suffolk Transportation Coordinating Committee **
- OCTC: Orange County Transportation Council
- PDCTC: Poughkeepsie - Dutchess County Transportation Council
- SMTC: Syracuse Metropolitan Transportation Council
** Although NYMTC is an MPO, it is not found within the eSTIP model, the three subdivisions of NYMTC are each treated as a separate MPO (NYCTCC, N/STCC, MHSTCC).

**PIN**

same as “PIN” on the PDF Adobe Format reports; a unique ID code up to ten-characters for all phases of the same project.

**County**

indicates county of project location, or “Multi” if multiple counties are included in the project scope. Note the MTA uses “systemwide” to denote projects that encompass their system.

**Air Quality**

indicates whether projects are “Exempt” or non-exempt (“NON”) or not applicable (“N/A”) concerning air quality analysis requirements. “N/A” is not applicable, meaning the project is not located within an air quality non-attainment or maintenance area. “NON” means that the project is “Non-Exempt” for regional transportation conformity analysis, and “Exempt” means the project is exempt for regional transportation conformity analysis.

The alpha-numeric exempt codes are used to help determine the exact category of the exemption. (For a complete list of all specific exempt codes see end of this document.)

**Resp Agency**

indicates lead agency for the project, or “local” if it’s a local municipality.

**Project Description**

the location and affected features of the project are identified, with additional detail needed for federal agency review.

**Short Description**

brief narrative describing the location and affected features of the project.

**PhaseType**

Phases are specific actions that occur as a project progresses to completion. The following phase descriptions are in use:

- **SCOPING** Scoping
- **PRELDES** Preliminary Design
- **DETLDES** Detailed Design
- **ROWINCD** ROW-Incidentals
- **ROWACQU** ROW-Acquisition
- **CONST** Construction, Railroad Force Account, Utilities, and other construction
- **CONINSP** Construction Inspection
- **OPER** Operating
- **MISC** Maintenance, Transit, and other miscellaneous activities
Federal fiscal year (FFY) in which funding for each phase is to be obligated. The Federal Fiscal Years included in this STIP are:

2014 - October 1, 2013 through September 30, 2014
2015 - October 1, 2014 through September 30, 2015
2016 - October 1, 2015 through September 30, 2016
2017 - October 1, 2016 through September 30, 2017

**FA FundType**  This is the STIP version of the fund source used for each phase of the project. For a complete list of the Federal Fund sources please see Appendix II at the end of this document.

**FA Cost**   Federal-Aid Funds (in $ millions) for the PIN, phase, federal cost and year (record).

**NFA Rollup**  Total amount of Non-Federal-Aid Funds (in $ millions) for that record. Note that non-federal aid fund sources are not needed by FHWA on the STIP and therefore are not identified as to source on this tab. The 2nd tab identifies the specific NFA fund source. In addition MPO’s TIP identifies the specific Non-federal aid fund source.

**PhaseStatus**  indicates whether the record is “Programmed” (generally future years) or “Obligated” (current or previous years).

**PhaseID**  number code to track project phases.

**2nd Tab (STIP records, but with Non-federal sources identified):**
(fields not found on the first tab, but found on the second tab)

<table>
<thead>
<tr>
<th>Field Name</th>
<th>Data description</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>NFA Fund</strong></td>
<td>The Non-Federal-Aid fund sources are:</td>
</tr>
<tr>
<td>LOCAL</td>
<td>Funds from a local government or municipality that is only for use in that area/municipality; includes local transit authorities that are not MTA.</td>
</tr>
<tr>
<td>MTA</td>
<td>Metropolitan Transportation Authority; funds from a local MTA that are designated for use only with projects in that MTA.</td>
</tr>
<tr>
<td>OTHER</td>
<td>Is a variety of funding sources that falls between LOCAL and STATE; includes funds from NYSDEC, Ports, Out of State, Bridge Authorities, other State Agencies, Private Funding, or Route 9A (FTA or LMDC).</td>
</tr>
<tr>
<td>SDF</td>
<td>State Dedicated Funds; a state dedicated fund source that is generated through a state gasoline tax and is for highway and transit improvement projects throughout the state.</td>
</tr>
</tbody>
</table>
STATE  Funding from a variety of New York State sources, excluding transit and highway funds from the State Dedicated Fund (SDF), including NYS Legislative Member items, Marchiselli or SHIP programs, State Transit Operating Assistance (STOA), NYS Bond Issues, NYS Match, or miscellaneous SDF (Rail, etc…).

TWY  Funds from the New York State Thruway Authority for use in NYS Thruway projects only.

**NFA Cost**  amount of (a particular) non-federal funds (in millions) associated with project phase

**Phase ID**  number code to track each phase (or record).

**NFA Rec**  number code to track non-Federal-aid records.
APPENDIX J-1
AIR QUALITY EXEMPT CODES

Highway and transit projects of the types listed below are exempt from the requirement to determine air quality conformity. Such projects may proceed toward implementation even in the absence of a conforming transportation plan and TIP. However, a particular action of the type listed below is not exempt if the MPO, in consultation with the Interagency Consultation Group (ICG), concurs that it has regionally significant emissions impacts.

In addition to these codes, NYMTC uses a suffix – a “P” following the letter and a number code used to indicate the project was on the previous TIP, while a “Z” indicates a new project.

The following coded list of exempt projects is derived from “Table 2 - Exempt Projects” in 40 CFR Part 93.126, 40 CFR Part 93.127, (Revised per January 24, 2008 Federal Register), and 6 NYCRR Part 240.

A. Safety
A1. Railroad/highway crossing
A2. Projects that correct, improve, or eliminate a hazardous location or feature
A3. Safer non-Federal-aid system roads
A4. Shoulder improvements
A5. Increasing sight distance
A6. Highway Safety Improvement Program implementation
A7. Traffic control devices and operating assistance other than signalization projects (including ITS maintenance and ITS operations for incident management / safety warnings)
A8. Railroad/highway crossing warning devices
A9. Guiderails, median barriers, crash cushions
A10. Pavement resurfacing and/or rehabilitation
A11. Pavement marking demonstration
A12. Emergency relief (23 U.S.C. 125)
A13. Fencing
A14. Skid treatments
A15. Safety roadside rest areas
A16. Adding medians
A17. Truck climbing lanes outside the urbanized area
A18. Lighting improvements
A19. Widening narrow pavements or reconstructing bridges (no additional travel lanes)
A20. Emergency truck pullovers
B. Mass Transit

B1. Operating assistance to transit agencies (or entities that provide transit service)
B2. Purchase of support vehicles
B3. Rehabilitation of transit vehicles
B4. Purchase of office, shop, and operating equipment for existing facilities
B5. Purchase of operating equipment for vehicles (e.g. radios, fareboxes, lifts, etc.)
B6. Construction or renovation of power, signal, and communications systems (including new systems to inform passengers of transit line schedule/status)
B7. Construction of small passenger shelters and information kiosks
B8. Reconstruction or renovation of transit buildings and structures (e.g., rail or bus buildings, storage and maintenance facilities, stations, terminals, and ancillary structures)
B9. Rehabilitation or reconstruction of track structures, track, and track-bed in existing rights-of-way
B10. Purchase of new buses and rail cars to replace existing vehicles or for minor expansions (< 10%) of the fleet. (NOTE: ICG recommends case-by-case consultation for all expansions)
B11. Construction of new bus or rail storage/maintenance facilities categorically excluded in 23 CFR 771

C. Air Quality and Other

C1. Continuation of ride-sharing and van-pooling promotion activities at current levels
C2. Bicycle and pedestrian facilities
C3. Planning and technical studies that do not involve or lead directly to construction
C4. Grants for training and research programs
C5. Planning activities conducted pursuant to titles 23 and 49 U.S.C.
C6. Federal-aid systems revisions
C7. Engineering to assess social, economic, and environmental effects of the proposed action or alternatives to that action
C8. Noise attenuation
C9. Emergency or advance land acquisitions (23 CFR 710.503)
C10. Acquisition of scenic easements
C11. Plantings, landscaping, etc.
C12. Sign removal
C13. Directional and informational signs (including ITS maintenance and ITS operations projects)
C14. Transportation enhancement activities (except rehabilitation and operation of historic transportation buildings, structures, or facilities)
C15. Repair of damage caused by natural disasters, civil unrest, or terrorist acts, except projects involving substantial functional, locational or capacity changes

Projects Exempt from Regional Emissions Analysis

40 CFR Part 93.127 includes “Table 3 - Projects Exempt from Regional Emissions Analysis,” which is also presented in 6 NYCRR Part 240.28. Such projects are exempt from regional emissions analysis requirements, but require consideration of the local effects with respect to CO or PM-10 concentrations to determine if a hot-spot analysis is required prior to making a project-level conformity determination. These projects may then proceed to the project development process, even in the absence of a conforming plan and TIP.

D. “Hot-Spot” Project-Level Conformity Analysis
   D1. Intersection channelization projects
   D2. Intersection signalization projects at individual intersections
   D3. Interchange reconfiguration projects
   D4. Changes in vertical and horizontal alignment
   D5. Truck size and weight inspection stations
   D6. Bus terminals and transfer points

J1. Block of Funds, no projects

K1. Exempt/not regionally significant through interagency consultation - and does not have a code listed above, for example, park-and-ride lot less than 100 spaces.

K2. Project is subject to general conformity - and is not subject to the regional emissions analysis requirements under transportation conformity.
APPENDIX II
FEDERAL-AID FUND SOURCE CODES

Highway and transit projects of the types listed below are exempt from the requirement to determine air quality conformity. Such projects may proceed toward implementation even in the absence of a conforming transportation plan and TIP. However, a particular action of the type listed below is not exempt if the MPO, in consultation with the Interagency Consultation Group (ICG), concurs that it has regionally significant emissions impacts.

The federal-aid fund sources (used for STIP purposes) are abbreviated:

<table>
<thead>
<tr>
<th><strong>Fund Source Code</strong></th>
<th><strong>Full Name and description</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>CMAQ</td>
<td>Congestion Mitigation and Air Quality</td>
</tr>
<tr>
<td>DISCR FA</td>
<td>Discretionary Federal-Aid, includes several discretionary programs</td>
</tr>
<tr>
<td>FBD</td>
<td>Ferryboat Discretionary; funds are administered by FHWA for the construction of ferryboats and ferryboat terminal facilities</td>
</tr>
<tr>
<td>FTA 5307</td>
<td>FTA Section 5307 funds for urbanized areas.</td>
</tr>
<tr>
<td>FTA 5309</td>
<td>FTA Section 5309 funds for new starts, rail modernization and other rail or bus improvements.</td>
</tr>
<tr>
<td>FTA 5309 NS</td>
<td>New NEW STARTS program under MAP 21, see FTA 5309 for full description</td>
</tr>
<tr>
<td>FTA 5309 SS</td>
<td>Continuation of SMALL STARTS program under MAP 21</td>
</tr>
<tr>
<td>FTA 5310</td>
<td>FTA Section 5310 funds for elderly and disabled transp. service</td>
</tr>
<tr>
<td>FTA 5311</td>
<td>FTA Section 5311 funds for rural areas</td>
</tr>
<tr>
<td>FTA 5316</td>
<td>FTA Section 5316 Job Access Reverse Commute</td>
</tr>
<tr>
<td>FTA 5317</td>
<td>FTA Section 5317 New Freedom program, to reduce transp. barriers to individuals with disabilities.</td>
</tr>
<tr>
<td>FTA 5324</td>
<td>Emergency Relief program, help with expenses resulting from natural disasters</td>
</tr>
<tr>
<td>FTA 5329</td>
<td>Safety program, support safety oversight work</td>
</tr>
<tr>
<td>FTA 5337</td>
<td>State of Good Repair program, replaces fixed guideway modernization program under 5309</td>
</tr>
<tr>
<td>FTA 5339</td>
<td>New formula grant program is established under Section 5339, replacing the previous Section 5309 discretionary Bus and Bus Facilities program</td>
</tr>
<tr>
<td>Code</td>
<td>Description</td>
</tr>
<tr>
<td>------------</td>
<td>-----------------------------------------------------------------------------</td>
</tr>
<tr>
<td>FTA MISC</td>
<td>FTA non-traditional funds (e.g. USDOT’s TIGER II program)</td>
</tr>
<tr>
<td>FTA NA</td>
<td>Code used to de-program FTA project on an amendment</td>
</tr>
<tr>
<td>HPP</td>
<td>High Priority Program; earmark-type projects list in legislation, included for use of remaining funds.</td>
</tr>
<tr>
<td>HSIP</td>
<td>Highway Safety Improvement Program</td>
</tr>
<tr>
<td>HSIP RAIL</td>
<td>HSIP Rail Safety Program; a set-aside program of HSIP-Safety</td>
</tr>
<tr>
<td>N/A</td>
<td>Not Applicable (funded with only non-federal funds)</td>
</tr>
<tr>
<td>NHPP</td>
<td>National Highway Performance Program (MAP 21) funds to support condition and performance of the NHS</td>
</tr>
<tr>
<td>OTHER FA</td>
<td>Fund name used for non-traditional funds that are managed by FHWA</td>
</tr>
<tr>
<td>REC TRAILS</td>
<td>Recreational Trails</td>
</tr>
<tr>
<td>SAFE RT SCH</td>
<td>Safe Routes to School Program, encourages children to walk and bike to school, included for use of remaining funds</td>
</tr>
<tr>
<td>STP ENHANCE</td>
<td>Surface Transportation Program (Enhancement), included for use of remaining funds</td>
</tr>
<tr>
<td>STP FLEX</td>
<td>Surface Transportation Program (Flexible)</td>
</tr>
<tr>
<td>STP LG URBAN</td>
<td>Surface Transportation Program (Large Urban)</td>
</tr>
<tr>
<td>STP-OFF</td>
<td>Surface Transportation Program – Off-NHS system</td>
</tr>
<tr>
<td>TAP LG URBAN</td>
<td>Transportation Alternatives Program (Large Urban – MAP 21) provides for a variety of alternative transportation projects that were previously eligible activities under separately funded programs. Funds are sub-allocated to urbanized areas with over 200,000 population.</td>
</tr>
<tr>
<td>TAP RURAL</td>
<td>Transportation Alternatives Program (Rural – MAP 21) provides for a variety of alternative transportation projects that were previously eligible activities under separately funded programs. Funds are sub-allocated to areas with a population of 5,000 or less.</td>
</tr>
<tr>
<td>TAP SM URBAN</td>
<td>Transportation Alternatives Program (Small Urban– MAP 21) provides for a variety of alternative transportation projects that were previously eligible activities under separately funded programs. Funds are sub-allocated to small urbanized areas with population equal to or less than 200,000 population.</td>
</tr>
</tbody>
</table>