

RECREATIONAL TRAILS PROGRAM ROLES AND RESPONSIBILITIES

The following roles and responsibilities are outlined for the Recreational Trails Program (RTP) in New York State. The Recreational Trails Program is a Federal assistance program of the US Department of Transportation, Federal Highway Administration (FHWA), administered in New York State by the New York State Office of Parks, Recreation and Historic Preservation (OPRHP). There is a Programmatic Agreement for the Recreational Trails Program in New York State amongst the FHWA New York Division, OPRHP, and New York State Department of Transportation (NYSDOT).

In addition to the table below, the procedures for the RTP in New York State are outlined in the *NYS RTP Guide* available on OPRHP's [website](#)¹. Summary of these procedures follows. Please contact NYSORHPGrants@parks.ny.gov if you have any questions.

NYSDOT Regions and Main Office (MO):

- Typical RTP projects, located outside of the Federal-aid highway right-of-way, are *not* subject to NYSDOT's *Local Projects Manual* (LPM), formerly known as the *Procedures for Locally Administered Federal-Aid Projects Manual* (PLAFAP).
- NYSDOT Main Office Project Management Bureau (PMB) staff will assist in listing RTP projects as a group on the Statewide Transportation Improvement Program (STIP). The necessary information will be provided by NYSDOT Main Office Policy and Planning Division staff.
- NYSDOT Regional Real Estate offices will review and facilitate the signature of the Right-of-Way (ROW) Clearance Certificate by the Regional Real Estate Officers for RTP projects. Project information will be provided by NYSDOT Main Office ROW staff.

OPRHP Main Office:

- OPRHP RTP Administrator will send letter requests for phase authorizations to NYSDOT Main Office Local Programs Bureau.
- OPRHP RTP Administrator will send letter requests to FHWA RTP Administrator when any action is required of FHWA (e.g., NEPA concurrence, or any project specific or programmatic action).

Metropolitan Planning Organizations (MPOs):

- MPOs will be provided notice of RTP project solicitations and announcements of awards each year by OPRHP RTP Administrator and NYSDOT Regional Planning and Main Office Project Management Bureau staff.

Project Sponsors:

- Project sponsors will send all project documents to OPRHP Regional Grants Administrators (RGAs) and communicate with OPRHP RGAs regarding all project approvals and changes.

ACTIVITY	RESPONSIBILITY	PRE-REQUISITE ACTIVITY	COMMENTS
1. OPRHP recommends RTP grant awards based on a competitive application process and the RTP Federal Fiscal Year (FFY) apportionment	OPRHP Regions, OPRHP MO	Project Eligibility Review	See NYS RTP Guide and OPRHP website ² for more information about RTP applications
2. OPRHP Albany Office assembles list of projects and provides list to NYSDOT MO Local Programs	OPRHP MO, OPRHP RGA, Sponsor	Assemble all necessary information for STIP	Ensure that information is accurate and complete (e.g. project description)

¹ <https://parks.ny.gov/grants/recreational-trails/default.aspx>

² <https://parks.ny.gov/grants/>

RECREATIONAL TRAILS PROGRAM ROLES AND RESPONSIBILITIES

ACTIVITY	RESPONSIBILITY	PRE-REQUISITE ACTIVITY	COMMENTS
3. Add RTP Group Project to STIP (maintained by NYSDOT)	NYSDOT MO Local Programs Bureau, NYSDOT MO Statewide Planning Bureau, Metropolitan Planning Organizations (MPOs)	Notification of grant award from OPRHP	NYSDOT MO Statewide Planning Bureau coordinates with MPOs.
4. Request Federal Authorization for Preliminary Design (PRELDES) and ROW Incidental (ROWINC) Phases	OPRHP MO, NYSDOT PMB, FHWA	Adequate funds on STIP	Refer to 6-digit PIN
5. Prepare New York State Master Contract for Grants (MCG)	OPRHP MO, OPRHP RGA, Sponsor	Project on STIP, Grants Gateway Opportunity created	Contract start date is the date of initial federal authorization
6. FHWA authorizes Preliminary Design and ROW Incidental Phases	FHWA, NYSDOT MO Local Programs Bureau	OPRHP MO Request for Authorization	Project expenses are not eligible for reimbursement until FHWA has authorized the appropriate phase
7. Execute New York State Master Contract for Grants (MCG)	Sponsor, OPRHP MO, OPRHP RGA	Conditions of Award for Contract through Grants Gateway	“Grantee Contract Signatory” in Grants Gateway is the same title listed on Authorizing Resolution
8. MCG to New York State Attorney General’s Office (NYSOAG) and New York State Office of the State Comptroller (NYSOSC) for approval	OPRHP MO, NYSOAG, NYSOSC	Federal Authorization, MCG signed by OPRHP and Sponsor, State budget appropriations available	
9. Sponsor notified work can begin on Preliminary Design and ROW Incidental Phases	OPRHP RGA, OPRHP MO	Federal Authorization, MCG executed	Sponsors proceed before fully-executed MCG <i>at their own risk</i> , expenses cannot be reimbursed until MCG is fully executed
10. Select Consultant for Design or Design/Construction Inspection (CI) (if needed)	Sponsor	Executed MCG needed before Consultant Contract executed	OPRHP RGA approves consultant selection
11. Perform Preliminary Environmental Analyses for SEQRA and NEPA Determinations	Sponsor	Authorization of federal funds	Check to see if federal phase authorization has been granted before performing work
12. Prepare Draft RTP Design Report	Sponsor		

RECREATIONAL TRAILS PROGRAM ROLES AND RESPONSIBILITIES

ACTIVITY	RESPONSIBILITY	PRE-REQUISITE ACTIVITY	COMMENTS
13. Design Criteria Approval (including approval of non-standard design features and design guidance)	OPRHP RGA and MO, Sponsor (Off the National Highway System (NHS)), FHWA (*on NHS)	Data necessary to determine Design Criteria, Justification in Design Report and Recommendation from Professional Engineer	Determine appropriate design guidance and specifications based on project type, Only a Professional Engineer may recommend non-standard/non-conforming design feature approval
14. Prepare Title Abstracts, appraisals and Acquisition Maps (if needed)	Sponsor		Only if ROW Acquisition required
15. Complete SEQRA Process	Sponsor, OPRHP Environmental Analysts	SEQRA Classification determined and necessary documentation completed	For Municipalities, Sponsor is Lead Agency. For Not-for-profits, OPRHP is Lead Agency
16. NEPA Determination and Concurrence	OPRHP Environmental Analysts, FHWA Concurrence	Necessary investigation and documentation completed, review by OPRHP Environmental Specialist	As necessary, submit Design Report to FHWA for NEPA concurrence
17. Design Report Reviewed by OPRHP for completeness	OPRHP RGA, OPRHP MO	Submission of Design Report to RGA	RTP Admin provides assistance to RGA
18. Prepare Final Design Report	Sponsor	All draft review comments resolved	OPRHP to submit any outstanding documentation to FHWA for NEPA determination.
19. Design Approval including ROW Plan Approval	OPRHP RGA, OPRHP MO, Sponsor	SEQRA and NEPA determinations made, non-standard/non-conforming features approved, Final Design Report prepared, Recommendation from Professional Engineer	A Licensed Architect or Landscape Architect may make recommendation instead of a Professional Engineer based on project type
20. Request Federal Authorization for Detailed Design (DETLDES) and ROW Acquisition Phase (ROWACQ)	NYSDOT MO PMB, OPRHP MO, FHWA	SEQRA and NEPA determinations, Design Approval, ROW Plan Approved, Adequate funds on STIP, Updated Form-ROW-353c	When requesting ROWACQ authorization, Form-ROW-353c needs to be submitted by OPRHP to NYSDOT. Refer to 6-digit PIN
21. FHWA authorizes Detailed Design and ROW Acquisition Phases	FHWA	Request for Authorization	Detailed Design also referred to as Final Design
22. Sponsor notified work can begin on Detailed Design and ROW Acquisition Phases	OPRHP RGA	Federal authorization of funds, MCG executed	Federal Authorization must precede reimbursable activities
23. Prepare and complete right of way or appraisal maps (if needed)	Sponsor	ROW Acquisition Authorization	
24. Make offers to affected property owners and secure title to ROW (if needed)	Sponsor	ROW Acquisition Authorization	

RECREATIONAL TRAILS PROGRAM ROLES AND RESPONSIBILITIES

ACTIVITY	RESPONSIBILITY	PRE-REQUISITE ACTIVITY	COMMENTS
25. Prepare Construction Contract Documents including final plans, specifications and estimate	Sponsor	Design Approval, Federal Authorization for Detailed Design	
26. Acquire necessary permits	Sponsor	Necessary permits identified	
27. Determine/Approve Project EEO Goals and DBE Goal (if applicable)	NYSDOT Civil Rights Office, FHWA Civil Rights Office	Engineer's Estimate and list of contract work items	RTP projects will have 0% DBE Goals, but 49 CFR 26 still applies
28. Approve Exceptions to Competitive Bid Contracts	OPRHP RGA		
29. Prepare Right of Way Clearance Certificate	Sponsor	ROW Acquisition approval, if needed	A ROW Clearance Certificate is required for all RTP construction projects
30. Approve Right of Way Clearance Certificate	NYSDOT Regional ROW Officer	Documentation submitted to OPRHP	OPRHP MO to submit Design Report with ROW information to NYSDOT MO ROW staff for distribution to RREO for signature
31. Approve Final Plans, Specs and Construction Contract Documents	OPRHP RGA	Design Approval, ROW Clearance, Final Plans, Specs and Construction Contract Documents submitted to OPRHP RGA	
32. Select Consultant for construction inspection (CI), if CI services are not being provided by Design Consultant: Conduct Negotiations and Execute Consultant Contract	Sponsor	Executed MCG needed before Consultant Contract executed	OPRHP RGA approves consultant selection
33. Request Federal Authorization for Construction Phase	OPRHP MO, NYSDOT MO, FHWA	NEPA determination, Design Approval, Adequate funds on STIP for phase and year, approval of construction contract docs and ROW Certificate	OPRHP MO submits letter to NYSDOT referencing NEPA and ROW approval dates, Refer to 6-digit PIN, cc: FHWA
34. FHWA authorizes Construction Phase including Construction Inspection	FHWA	OPRHP MO Request for Authorization	OPRHP MO receives daily Federal Modifications and Agreements
35. Sponsor notified work can begin on Construction Phase including Inspection ("Approval to Advertise")	OPRHP RGA	Federal Obligation of funds, MCG executed	Federal Authorization must precede reimbursable activities

RECREATIONAL TRAILS PROGRAM ROLES AND RESPONSIBILITIES

ACTIVITY	RESPONSIBILITY	PRE-REQUISITE ACTIVITY	COMMENTS
36. Advertise for Bids	Sponsor	Federal Authorization for Construction Phase and notification from OPRHP RGA	Federal Authorization must precede advertisement, OPRHP RGA must approve bid documents
37. Conduct Bid Opening	Sponsor	Project Advertisement Authorized	
38. Analyze Bids and Recommend Award	Sponsor	Project Bid Opening	DBE Utilization Review, if goals applied
39. Prepare Award Package	Sponsor	Analyze bids	
40. Request Concurrence for Contract Award	Sponsor, OPRHP RGA	Documentation of bid analysis	OPRHP RGA must approve contract award.
41. Concur with Contract Award Recommendation, Notify Sponsor	OPRHP RGA	Analysis of bids and recommendation to award	Review DBE Utilization/GFE, as needed
42. Award Contract	Sponsor	OPRHP RGA concurrence, as needed	
43. Contract Administration and Construction Inspection	Sponsor		Bills must be submitted to OPRHP RGA every 6 months
44. Materials Certification and Testing, Quantities Verification, On-Site Inspection	Sponsor		Project Manager responsible for project oversight and maintaining project records
45. Approve Contract Change Orders	Sponsor, OPRHP RGA		Change Orders must be approved by OPRHP RGA
46. Sponsor submits invoices to OPRHP RGA for reimbursement every 6 months	Sponsor, OPRHP RGA	Sponsor must register for electronic payment with NYSOSC, Sponsor reimbursed through Statewide Financial System (SFS)	Payment procedures included in Contract Bid Documents and MCG, Workforce Utilization reports submitted with reimbursement requests (if needed)
47. OPRHP Main Office submits regular reimbursement requests to NYSDOT Main Office Accounting	OPRHP MO, NYSDOT MO Accounting	Sponsor has submitted payment documentation to OPRHP RGA. OPRHP RGA has approved and submitted payment.	NYSDOT MO Accounting submits bills to FMIS
48. Final Report and Final Payment	Sponsor, OPRHP RGA	All project work completed, all documentation provided to OPRHP RGA	All final reporting must be completed before final payment
49. Verify Completion, On-Site Inspection	OPRHP RGA	Sponsor notification to OPRHP RGA that all project work is complete	
50. Single Audit/Consultant Audit (if needed)	Sponsor	Construction complete	
51. Final Payment Reimbursement Request, Agreement Close-out	Sponsor, OPRHP MO, NYSOSC, FHWA	Project completed, final payment completed, close-out documentation submitted and accepted	Final determination will be made by OPRHP MO.

RECREATIONAL TRAILS PROGRAM ROLES AND RESPONSIBILITIES

THROUGHOUT LIFE OF PROJECT

ACTIVITY	RESPONSIBILITY	PRE-REQUISITE ACTIVITY	COMMENTS
A. Pay all project costs	Sponsor	MCG in effect, authorization of federal funds for the appropriate phase, Receipts for Payment	RTP is a reimbursement program
B. Prepare and submit Reimbursement Requests	Sponsor		Reimbursement requests must be submitted every 6 months
C. Process Reimbursement Requests	OPRHP RGA, OPRHP MO, NYSDOT MO Accounting		Sponsor must provide and maintain appropriate payment documentation.
D. Reimburse federal-aid eligible costs	OPRHP RGA, OPRHP MO		Sponsor reimbursed through Statewide Financial System (SFS)
E. Respond to FHWA requests for information on inactive projects	OPRHP MO		OPRHP MO will respond to quarterly requests for information on inactive projects from NYSDOT MO Accounting
F. Provide EEO/DBE participation reports to NYSDOT for all phases as needed	Sponsor		Workforce Utilization Reports (AAP33LL) submitted monthly to RGA, AGA, then NYSDOT MO Local Programs
G. Project Oversight Documentation	Sponsor		Maintain records for 6 years

ACRONYMS

ACQ	-	Right-of-way Acquisition
CFR	-	Code of Federal Regulations
CI	-	Construction Inspection
DBE	-	Disadvantage Business Enterprise
DETLDES	-	Detailed Design Phase or “Final Design” Phase
EEO	-	Equal Employment Opportunity
FFY	-	Federal Fiscal Year (October 1 – September 30)
FHWA	-	Federal Highway Administration
FMIS	-	Financial Management Information System

RECREATIONAL TRAILS PROGRAM ROLES AND RESPONSIBILITIES

GFE	-	Good Faith Effort
MCG	-	Master Contract for Grants
MO	-	Main Office
MPO	-	Metropolitan Planning Organization
NEPA	-	National Environmental Policy Act
NHS	-	National Highway System
NYSDOT	-	New York State Department of Transportation
NYSOAG	-	New York State Office of the Attorney General
NYSOSC	-	New York State Office of the State Comptroller
OPRHP	-	New York State Office of Parks, Recreation and Historic Preservation
PE	-	Preliminary Engineering
PIN	-	Project Identification Number
PMB	-	Project Management Bureau
PRELDES	-	Preliminary Design Phase
RGAs	-	Regional Grants Administrator
ROW	-	Right of Way
ROWACQ	-	Right of Way Acquisition Phase
ROWINC	-	Right of Way Incidental Phase
RREO	-	Regional Real Estate Officer
RTP	-	Recreational Trails Program
SEQRA	-	State Environmental Quality Review Act
SFS	-	State Financial System
SHS	-	State Highway System
STIP	-	Statewide Transportation Improvement Program
TIP	-	Transportation Improvement Program