

ULSTER COUNTY TRANSPORTATION COUNCIL

FFY 2010

ANNUAL FEDERAL AID OBLIGATION REPORT

**Reporting Period
October 1, 2009 to September 30, 2010**

FHWA FUNDED PROJECTS ONLY



December 3, 2010

ULSTER COUNTY TRANSPORTATION COUNCIL

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BACKGROUND

The U.S. Department of Transportation requires every metropolitan area with a population over 50,000 to have a designated MPO in order to qualify for the receipt of Federal highway and public transportation funds. In 2003, the Governor of New York State designated the UCTC as the MPO responsible for transportation planning in Ulster County. As the designated MPO, the UCTC is responsible for making final decisions for programming transportation improvements in the Kingston Urbanized area and a portion of the Poughkeepsie-Newburgh Transportation Management Area (TMA).

Federal regulations require an annual listing of bridge, highway and transit projects, including pedestrian and bicycle facilities, which Federal transportation funds have been obligated in the preceding year. An *obligation* is the U.S. Department of Transportation's legal commitment to pay the Federal share of a project's cost. Projects for which funds have been obligated are not necessarily initiated or completed in a given program year and the amount of the obligation in a single year will not necessarily equal the total cost of the project. This annual listing of Federal aid obligations must be made available for public review by the Metropolitan Planning Organization (MPO). The listing must be consistent with the funding categories identified in the adopted Transportation Improvement Program (TIP).

On January 30, 2008, the UCTC Policy Committee agreed to report Federal Aid Obligations semiannually to more closely monitor the progress of implementing Federal aid projects in Ulster County.

TRANSPORTATION IMPROVEMENT PROGRAM

The TIP is a five-year financial plan that identifies the project costs, funding sources, phase types and implementation schedule of federally funded transportation improvements. TIP projects must be consistent with the overall goals and objectives identified in the Long Range Transportation Plan. The TIP can be viewed online at <http://www.co.ulster.ny.us/planning/tip.html>.

LONG RANGE TRANSPORTATION PLAN

A Federal Aid Obligation Report together with the Long Range Transportation Plan (LRTP) helps to evaluate an MPO's overall performance. Financial forecasts from the LRTP help establish a baseline for which Federal aid obligations can be compared and help measure an MPO's ability to implement projects. The current annual LRTP Federal aid target for Ulster County is approximately \$15 million. The LRTP update for the county for year 2035 can be viewed online at <http://www.co.ulster.ny.us/planning/lrtp.html>.

A continuation of underperforming Federal Aid Obligation Reports may indicate one or more of the following: 1) financial forecasts improperly calculated; 2) a downturn in the economy resulting in less Federal aid available for programming; 3) the

complexity of the Federal aid process; 4) insufficient local funding to match the Federal aid projects programmed; and 5) changing priorities.

The list of obligated projects is organized in a manner consistent with the Transportation Improvement Program (TIP). For each project identified, the list includes 1) a Project Identification Number (PIN) that NYSDOT uses to track projects; 2) a narrative description of the project; 3) project phases identified on the TIP; 4) amount programmed on the TIP; 5) total project cost; 6) date project or phase was obligated; and 7) amount of Federal funds obligated.

Phases of TIP projects are categorized in the following manner:

- Scoping: This phase includes meetings with project developers and designers, local government representatives, and other involved parties. Decisions are made regarding specific elements that will be included in the project and the range of design alternatives that will be investigated.
- Preliminary Design/Engineering (PD): This phase includes basic engineering work on each alternative, traffic studies, environmental analyses, and other work specific to the project. Public outreach in accordance with state and Federal requirements is used to gain community input on the project. A preferred alternative is selected to advance the project.
- Detailed Design (DD): This phase includes detailed engineering work on the preferred alternative. This phase results in the development of plans and specifications that a construction contractor will work from.
- Right-of-Way Incidentals (RI): This phase includes preparation work required prior to right-of-way acquisition.
- Right-of-Way Acquisition (RA): This phase includes the acquisition of right-of-way (property) necessary to complete the project. Acquisition can be achieved through the purchase of property or an easement.
- Construction (C): This phase includes all work necessary to build the project.
- Construction Inspection (CI): This phase includes ongoing inspection to ensure construction is performed properly and conforms to specifications.
- Miscellaneous/Other (MISC): This phase is usually associated with public transportation projects. It usually involves the purchase and acquisition of vehicles and associated preventive maintenance, though in some cases, such as for station, parking, and maintenance/storage facilities, the construction of fixed or permanent facilities is undertaken. This phase type also includes funding for agency staff and/or contractors to perform work that supports the transportation system (e.g., bridge inspection, traffic center operations, etc.).

Table 1 identifies project phases obligated over the past one year.

FEDERAL AID SCHEDULED FOR OBLIGATION, BUT NOT OBLIGATED

Approximately \$8.415 million in Federal aid was eligible for obligation in Ulster County over the past one year, but not obligated. Table 2 identifies project phases eligible for obligation, but not yet obligated.

SUMMARY

Ulster County did well in terms of its obligation performance in FFY 2010. With total of \$17.055 million of Federal fund obligated in FFY 2010, Ulster County exceeded the annual Federal aid obligation target of \$15 million set in the LRTP. However, it should be noted that majority of the total Federal funds obligated in FFY 2010 was associated with the American Recovery and Reinvestment Act of 2009 (ARRA) signed into law by President Obama February 17, 2009. The availability of the ARRA funds greatly impacted approval process for other Federal funds. As a result, \$8.415 million of Federal funding was not obligated in the county. Overall, the county's obligation performance in FFY 2010 was similar to that in FFY 2009.

Several lingering issues remain. The New York State Department of Transportation (NYSDOT) tracks Federal aid obligations for all Federal aid transportation projects on an internal accounting system called "PSS." The Federal Highway Administration (FHWA) also has the ability to track Federal aid obligations internally. MPO staff now has access to an online application called "eSTIP", which offers access to limited Federal aid obligation information. While these three sources of information are helpful they appear to offer inconsistent obligation data for the purposes of developing Federal aid obligation reports. A closer look is needed to understand why this inconsistency exists and if any remedy can be implemented.

Table 1: Annual List of Federal Aid Obligations

Reporting Period: October 1, 2009 to September 30, 2010

Federal Highway Administration (FHWA) Funds in Millions of Dollars

PIN	PROJECT DESCRIPTION (LEAD AGENCY)	PROJECT PHASE IDENTIFIED ON TIP/STIP	AMOUNT PROGRAMMED ON TIP	TOTAL PROJECT COST	PROJECT PHASES OBLIGATED (OBLIG. DATE)	TOTAL FEDERAL FUNDS OBLIGATED
State Projects Obligated						
823938	ROUTE 9W AT YOUNG AVENUE INTERSECTION IMPROVEMENTS	PD, DD, RI, RA	0.945	0.945	PD, RI (04/10)	0.060
846059	NYSDOT WILL REIMBURSE THE TOWN OF ROSENDALE FOR THE CONSTRUCTION, LEASE, AND MAINTENANCE OF A P & R LOT ON ROUTE 32	MISC	0.300	0.300	MISC (09/10)	0.067
881126	I-587 @ ALBANY AVENUE & BROADWAY INTERSECTION IMPROVEMENTS (NYSDOT)	ALL PHASES	5.671	5.671	S, PD, (01/10) PARTIALLY AC'd	0.234
882324	ULSTER - DUTCHESS COUNTIES: POUGHKEEPSIE TRAIN STATION BUS SERVICE FROM 1/1/2010 TO 12/31/2010	MULTICOUNTY MISC	0.000	0.340	MULTICOUNTY MISC (12/09) AC'd	0.272
881136	ROUTE 28 PMI: ROUTE 375 TO ULSTER/DELAWARE COUNTY LINE (NYSDOT)	C, CI	8.250	8.250	C, CI (11/09)	8.250
TOTAL STATE OBLIGATIONS						8.883
Local Projects Obligated						
875514	NEW PALTZ RD / CONRAIL BRIDGE REPLACEMENT (ULSTER COUNTY)	C, CI	2.896	2.896	C, CI (11/09) Partially AC'd	2.837
875618	GREENKILL AVENUE / BROADWAY (NYS ROUTE 28) CITY OF KINGSTON. BRIDGE REPLACEMENT OF BIN 2019580	PD, DD, RI, RA, C, CI	2.093	2.093	PD, DD, RI (08/10)	0.236
875781	TILLSON AVE: FROM ROUTE 92 TO ROUTE 44/55: SAFETY ALIGNMENT WORK. TOWN OF LLOYD, HAMLET OF HIGHLAND	PD, DD, RI, RA, C, CI	3.918	3.918	PD, DD, RI (08/10)	0.300
875804	KINGSTON RAIL TRAIL	PD, DD, RI, RA, C, CI	0.881	0.881	PD, DD, RI (08/10)	0.112
875914	HUDSON VALLEY RAIL TRAIL (TOWN OF LLOYD)	PD, DD, RI, C, CI	3.619	3.619	C, CI (11/09)	2.610
875928	BOICES LANE @ MORTON BOULEVARD: BOICES LANE REPAVING PROJECT	PD, DD, RI, RA, C, CI	0.301	0.301	PD, DD, RI (10/09) AC'd	0.036
876018	IMPROVE KINGSTON STREETS: FAIR STREET, JOHN STREET, MAIN STREET, NORTH FRONT STREET & WALL STREET, CITY OF KINGSTON	C, CI	1.671	1.671	C, CI (08/10)	1.436
876029	WASHINGTON AVENUE SIGNALS @ SCHWENK DRIVE & NORTH FRONT STREET, CITY OF KINGSTON	PD, DD, RI, RA, C, CI	0.370	0.370	PD, DD, RI (09/10)	0.065
101604	KINGSTON: THE ULSTER COUNTY TRANSPORTATION COUNCIL FOR METROPOLITAN TRANSPORTATION PLANNING FROM 4/1/2010 TO 3/31/2011 (ULSTER COUNTY).	MULTICOUNTY PLANNING	0.000	0.550	MULTICOUNTY PLANNING (3/10) AC'd	0.440
8RT809	MOHAWK PRESERVE REC TRAILS PROJECT SHAWANGUNK CARRIAGE RD SYSTEM	MISC	0.000	0.125	MISC (02/10) AC'd	0.100
TOTAL LOCAL OBLIGATIONS						8.172
Annual Obligation Summary						
TOTAL FHWA FUNDS OBLIGATED						17.055
TOTAL FEDERAL AID ELIGIBLE FOR OBLIGATION						25.470
TOTAL FEDERAL AID ELIGIBLE - BUT NOT OBLIGATED						8.415

Source: FHWA, NYSDOT and the Year 2035 LRTP.

Note: Advance Construction or "AC" is a term whereby by the Federal Highway Administration (FHWA) establishes an eligibility date for incurring costs, but there is no commitment of Federal Funds. If the project follows all Federal regulations, the project may be "converted" to regular Federal-aid at a later date as long as NYSDOT has the obligation authority and specific federal funds available. Federal funds are not committed until this conversion takes place but the eligibility date for costs is the date the FHWA established at the time it "AC'd" the project. No costs can be claimed (reimbursed) from FHWA until an AC'd project is fully or partially converted.

Table 2: Annual List of Projects/Phases Eligible for Obligation, But Not Obligated

Reporting Period: October 1, 2009 to September 30, 2010

Federal Highway Administration (FHWA) Funds in Millions of Dollars

PIN	PROJECT DESCRIPTION (LEAD AGENCY)	PROJECT PHASE IDENTIFIED ON TIP/STIP	AMOUNT PROGRAMMED ON TIP	TOTAL PROJECT COST	PROJECT PHASES ELIGIBLE FOR OBLIGATION (OBLIG. DATE)	TOTAL FEDERAL FUNDS NOT OBLIGATED
State Projects Not Obligated						
801842	ROUTE 28 OVER ESOPUS CREEK BRIDGE REHABILITATION. TOWN OF SHANDAKEN, ULSTER COUNTY. BIN 1091290	S, PD, DD, C, CI	1.988	1.988	C, CI	1.424
812210	RT 212/TANNERY BROOK BRIDGES REPLACEMENT, TOWN OF WOODSTOCK. (NYSOT)	DD, RA, C, CI	9.220	9.220	DD, RA (12/09)	0.336
817743	ROUTE 209/ROCHESTER CREEK BRIDGE REPLACEMENT	ALL PHASES	2.390	2.390	C, CI (04/10)	1.792
823937	ROUTE 9W @ MALDEN TURNPIKE INTERSECTION IMPROVEMENT. TOWN OF SAUGERTIES	ALL PHASES	0.473	2.256	PD, DD, RI, RA (12/09)	0.473
839133	ROUTE 55/RONDOUT CREEK BRIDGE DECK REPLACEMENT, TOWN OF WAWARSING (NYSOT)	DD, RA, C, CI	1.910	1.910	C, CI (04/10)	0.000
846310	ROUTE 213/RONDOUT CREEK BRIDGE DECK REPLACEMENT - TOWN OF ULSTER. (NYSOT)	S, PD, DD	0.220	0.220	S (02/10)	0.026
881067	WASHINGTON AVE (981K) @ SAWKILL RD INTERSECTION IMPROVEMENT. INTERSECTION RECONSTRUCTION AND OTHER SAFETY IMPROVEMENTS ON WASHINGTON AVENUE BETWEEN THE THRUWAY ROUNABOUT AND THE ESOPUS CREEK BRIDGE. TOWN OF ULSTER	ALL PHASES	5.193	5.193	PD, DD, RI, RA (12/09)	0.473
8T0444	ROUTE 299 CORRIDOR NEW PALTZ (NYSOT)	ALL PHASES	8.573	8.573	PD, DD, RI, RA (12/09)	0.642
	State Total		29.967	31.750		5.166
Local Projects Not Obligated						
875666	MUD TAVERN ROAD (CR 9)/ DWAARKILL: BRIDGE REPLACEMENT. TOWN OF SHAWANGUNK. BIN 3347210	RA, C, CI	1.519	1.519	DD, RA (11/09)	0.228
875712	GLASCO TURNPIKE/PLATTEKILL CREEK: BRIDGE REPLACEMENT, TOWN OF SAUGERTIES; WAS 8T9746; BIN 3347690	RA, C, CI	1.020	1.020	C, CI (11/09)	0.816
875714	MOSSY BROOK ROAD/COXING KILL: BRIDGE REPLACEMENT, TOWN OF ROSENDALE; WAS 8T9748; BIN 3347040	RA, C, CI	1.045	1.045	RA (11/09)	0.020
875801	HICKORY STREET/BEERKILL BRIDGE REHABILITATION (VILLAGE OF ELLENVILLE)	RA, C, CI	1.547	1.547	RA	0.016
875879	DENNING RD/EAST BRANCH OF NEVERSINK RIVER: BRIDGE REPLACEMENT. BIN 3347090	RA, C, CI	2.550	2.550	RA (11/09)	0.040
875914	HUDSON VALLEY RAIL TRAIL (TOWN OF LLOYD)	PD, DD, RI, C, CI	3.619	3.619	PD, DD, RI (07/10)	0.288
875925	D&H CANAL/O&W RR TRAIL: ROCHESTER LINE TO EASTERN STATE CORRECTIONAL FACILITY (TOWN OF WAWARSING)	PD, DD, RI, RA, C, CI	0.787	0.787	DD, RI (07/10)	0.109
875928	BOICES LANE @ MORTON BOULEVARD: BOICES LANE REPAVING PROJECT	PD, DD, RI, RA, C, CI	0.300	0.300	RA, C, CI (11/09)	0.206
875929	ENTERPRISE DRIVE: BOICE'S LANE TO LOHMIER LANE, TOWN OF ULSTER	PD, DD, RI, RA, C, CI	0.575	0.575	RA, C, CI (07/10)	0.408
875990	PAVEMENT REHAB-SOUTH PUTT CORNERS ROAD: ROUTE 299 TO ROUTE 32, RECONDITION TOP COAT, INSTALL SIX FOOT WIDE HEAVY DUTY SHOULDER, MOVE GUIDERAIL TO ACCOMMODATE NEW SHOULDER. TOWN OF NEW PALTZ	PD, DD, RI, RA, C, CI	1.274	1.274	PD, DD, RI (11/09)	0.116
876008	DOWNTOWN AREA PEDESTRIAN IMPROVEMENTS (VILLAGE OF SAUGERTIES)	PD, DD, RI, RA, C, CI	0.877	0.877	R (11/09)	0.148
876093	CITY OF KINGSTON ROADWAY REHABILITATION AND PREVENTATIVE MAINTENANCE INITIATIVE (PMI) PAVING (FORMERLY PIN: 8T0551) (FORMERLY PIN: 8TRU55)	PD, DD, C, CI	2.650	2.650	PD, DD (07/10)	0.280
878021	GARDINER SIDEWALKS - ROUTE 44/55: WALLKILL VALLEY RAIL TRAIL TO TOWN MEETING HALL, TOWN OF GARDNER	Misc, C, CI	1.142	1.142	C, CI (11/09)	0.202
8T0449	KINGSTON AREA INTERMODAL CENTER	ALL PHASES	10.193	10.193	DD, RA (09/10)	0.720
8T0453	KINGSTON/ULSTER RIVER LINE CROSSING. RAILROAD CROSSING IMPROVEMENTS. C/KINGSTON, T/ULSTER	ALL PHASES	3.681	3.681	PD, DD, RA (11/09)	0.316
8T0454	ULSTER & DELAWARE RAILROAD TRAIL STAGE 1	PD, DD, RI, RA, C, CI	4.001	4.001	PD, DD, RA (11/09)	0.400
	Local Total		36.780	36.780		3.249
	TOTAL UNOBLIGATED					8.415