

ULSTER COUNTY TRANSPORTATION COUNCIL

FFY 2015

ANNUAL FEDERAL AID OBLIGATION REPORT

**Reporting Period
October 1, 2014 to September 30, 2015**



February 2016

ULSTER COUNTY TRANSPORTATION COUNCIL

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BACKGROUND

UCTC is responsible for the development of a Metropolitan Transportation Plan (MTP) and a Transportation Improvement Program (TIP) that encourages and promotes the safe and efficient development, management, and operation of surface transportation systems to serve the mobility needs of people and freight in the county and the region. In addition, UCTC is responsible for the development of a Unified Planning Work Program (UPWP) that includes a discussion of the planning priorities facing the Metropolitan Planning Area. The intent of such a work plan is to coordinate all transportation-related planning activities in Ulster County.

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 Ulster County Transportation Council (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 a listing of all federally funded projects on the TIP, for 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).

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.ulstercountyny.gov/planning/tip.html>.

The TIP typically receives a number of amendments and revisions throughout its 5-year lifecycle. Other data sources include information provided by the New York State Department of Transportation Region 8 office and data from local departments and agencies.



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 UCTC Year 2040 LRTP 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 down turn 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 and project schedules.

FEDERAL AID OBLIGATIONS

To ensure that the public has an accurate understanding of how federal funds are actually being spent on transportation projects, Congress, in the Fixing America's Surface Transportation (FAST) Act, included a requirement that the organizations responsible for approving the Transportation Improvement Program publish an annual listing of project obligations.

Obligation in the context of this report is the Federal Government's legal commitment to pay the federal share of a project's cost. An obligated project is one that has been authorized by the federal agency as meeting eligibility requirements for federal funds. Projects for which funds have been obligated are not necessarily initiated or completed in the program year. For obligations on a construction project, typically the project needs to complete a competitive bid process and begin construction if an acceptable bid is received. Alternatively, projects may have obtained permission to proceed to construction using local funds, with the ability to be obligated and reimbursed with federal funds at a later date. Some of the projects or project phases listed in this report may already have been completed.

The amount of the obligation usually does not equal the total cost of the project. This is because an obligation is typically for only one phase of a multi-phased project. The obligation only accounts for federal funds allocated to the project. The figures exclude any matching state and local funds that are likely necessary as well.

Once funds have been obligated, the project sponsor/lead agency begins incurring eligible project expenses and then requests reimbursement from the eligible grant recipient. The reimbursement



request must demonstrate that the recipient incurred the costs consistent with the project agreement and all federal requirements.

The list of obligated projects is organized in a manner consistent with the Transportation Improvement Program (TIP). For each project identified, the list includes the following:

- **PIN**: a Project Identification Number (PIN) that NYSDOT uses to track projects;
- **Project Description**: a narrative description used to define the nature and location of the project;
- **Project Sponsor**: the lead agency in charge of carrying out the project;
- **Total Federal Project Cost**: the total amount of federal funds budgeted for the project in its entirety, excluding state and local funds;
- **Federal Funds Programmed on TIP**: the planned amount of funding programmed for obligation on the TIP that year;
- **Source**: the federal program from which funding was derived;
- **Project Phases Obligated in FFY 2015**: the phases for which funding was actually obligated during the federal fiscal year;
- **Federal Funds Obligated in FFY 2015**: the amount obligated (in millions of dollars)

Project Phases

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.
 - (PE: covers all phases for design – Scoping, Preliminary Design & Detail Design)
- **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.
 - (ROW: covers both RI and RA phases)



- **Construction (CONST):** 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 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.).

FEDERAL FISCAL YEAR 2015 FEDERAL AID OBLIGATIONS

As shown in the table on the following pages, a total of \$22.907 million in Federal Highway Administration and Federal Transit Administration aid was obligated for various local and state highway, bridge, trail and transit project phases in Ulster County in FFY 2015. Of that, \$12.462 million in federal aid was obligated for state projects in 2015. A total of \$4.287 million in federal aid was obligated for local highway, bridge and enhancement projects in 2015 across a variety of federal fund sources. Finally, a total of \$6.158 million in federal aid was obligated for FTA projects in Ulster County. Recipients of FTA funds included public operators Ulster County Area Transit and Kingston Citibus and private carrier Adirondack Trailways.

The UCTC 2014-2018 TIP lists a total of 37 state and local highway, bridge, enhancement or transit projects that had funds programmed for obligation in 2015, totaling \$37.565 million. The FFY15 obligation total of \$22.907 million in federal dollars indicates that the yearly obligation rate for all projects programmed for 2015 on the UCTC TIP is 61%. The further out from the initial development of the TIP, the less likely project obligations will match the programmed amount. Project scheduling needs frequently change and are often no longer properly reflected in the TIP, resulting in a reduced obligation rate. The declining obligation rate emphasizes the need for project sponsors to remain on schedule or request schedule changes to ensure funds do not go unobligated. The TIP project listings were developed in 2013 resulting in a reasonably accurate representation of the expected and realized obligation amounts in 2015. . The next TIP update will be completed October 1, 2016 for the period 2017-2021.

Federal funding for projects can become unobligated for various reasons. Unobligated federal funding does not carry over into the next FFY, rather, it expires at the end FFY if unclaimed by the project sponsor. Unobligated federal funds represent an opportunity cost for other Ulster County municipalities that may be waiting to receive federal aid for a project. In this sense, projects programmed but not acted upon hold up federal funding that could otherwise be utilized by other project sponsors waiting for federal aid. UCTC staff will continue to work closely with NYSDOT and



local project sponsors to stay on top of project priorities and help sponsors move their projects to implementation. Staff will also continue to assist project sponsors with the identification of unused federal aid and process TIP amendments to modify transportation priorities to help utilize federal aid obligation authority before it expires.



UCTC Federal Aid Obligations, FHWA Projects/Phases, FFY 2015

Reporting Period: October 1, 2014 to September 30, 2015

Federal Highway Administration (FHWA) Funds Listed in Millions of Dollars

PIN	PROJECT DESCRIPTION	Project Sponsor	PROJECT PHASES OBLIGATED IN FFY 2015	TOTAL FEDERAL PROJECT COST	FEDERAL FUNDS OBLIGATED PRIOR to FFY 2015	FEDERAL FUNDS PROGRAMMED ON 2014-18 TIP	FEDERAL FUNDS REMAINING	FUND SOURCE	FEDERAL FUNDS OBLIGATED FFY 2015
State Projects									
846059	TOWN OF ROSENDALE PARK AND RIDE LOT	NYSDOT	OPER	\$0.224	\$0.064	\$0.160	\$0.125	STP FLEX	\$0.035
846317	ROUTE 213 OVER RONDOUT CREEK	NYSDOT	DETLDES, CONST	\$4.912	\$0.000	\$4.912	-\$0.138	STP FLEX	\$5.050
880862	WURTS STREET/DOCK STREET BRIDGE REHAB	NYSDOT	PRELDES, DETLDES	\$9.280	\$0.000	\$0.480	\$8.800	STP FLEX	\$0.480
881126	INTERSCETION RECONSTRUCTION: I-587@ALBANY AVENUE & BROADWAY	NYSDOT	PRELDES, ROWINCD	\$4.735	\$0.000	\$4.735	\$4.374	HSIP - HWY SAFETY, NHPP	\$0.361
881269	PM PAVING, ROUTE 212, ULSTER	NYSDOT	CONST	\$5.456	\$0.000	\$5.456	\$1.788	STP FLEX	\$3.668
882325	VILLAGE OF NEW PALTZ PARK & RIDE LOT ON ROUTE 32	NYSDOT	OPER	\$0.224	\$0.064	\$0.160	\$0.125	STP FLEX	\$0.035
882342	KINGSTON PARK & RIDE LOT EXPANSION	NYSDOT	CONST	\$0.807	\$0.807	\$0.807	-\$1.842	STP FLEX	\$1.842
893271	CSXT @ BOICES LANE	NYSDOT	CONST	\$0.990	\$0.000	\$0.990	\$0.000	HSIP RAIL	\$0.990
Total State									\$ 12.462
Local Projects									
875620	BRIDGE REPLACEMENT: SAWKILL ROAD / SAWKILL CREEK	COUNTY DPW	PE	\$3.540	\$0.014	\$3.540	\$3.387	STP FLEX	\$0.139
875801	HICKORY STREET/BEERKILL, ELLENVILLE	LOCAL	CONST	\$1.280	\$0.000	\$1.280	-\$0.002	SMALL URBAN	\$1.282
875879	BRIDGE REPLACEMENT DENNING RD/EAST BRANCH OF NEVERSINK RIVER	COUNTY DPW	CONST	\$2.444	\$0.012	\$2.404	-\$0.108	STP OFF-SYS BRIDGE	\$2.540
876114	ELLENVILLE CENTRAL SCHOOL DISTRICT	LOCAL	CONST	\$0.233	\$0.047	\$0.233	\$0.000	SAFE RTS TO SCHOOL	\$0.186
876121	HUDSON VALLEY RAIL TRAIL WEST (PHASE 4)	ULSTER COUNTY	PRELDES, DETLDES, ROWINCD	\$1.596	\$0.000	\$1.596	\$1.456	TAP SM URBAN	\$0.140
Total Local									\$ 4.287



UCTC Federal Aid Obligations, FTA Projects/Phases, FFY 2015

Reporting Period: October 1, 2014 to September 30, 2015

Federal Transit Administration (FHWA) Funds Listed in Millions of Dollars

PIN	PROJECT DESCRIPTION	Project Sponsor	PROJECT PHASES OBLIGATED IN FFY 2015	TOTAL FEDERAL PROJECT COST	FEDERAL FUNDS OBLIGATED PRIOR to FFY 2015	FEDERAL FUNDS PROGRAMMED ON 2014-18 TIP	FEDERAL FUNDS REMAING	FUND SOURCE	FEDERAL FUNDS OBLIGATED FFY 2015
Transit Projects									
8TRU67	OPERATIONS FOR CITY OF KINGSTON CITIBUS	CITIBUS	MISC	\$1.950	\$0.800	\$1.400	\$0.900	FTA 5307	\$0.250
8TRU68	CITY OF KINGSTON CITIBUS - PREVENTATIVE MAINTENANCE	CITIBUS	MISC	\$0.490	\$0.200	\$0.360	\$0.220	FTA 5307	\$0.070
8TRU69	KINGSTON CITIBUS - PROJECT ADMINISTRATION	CITIBUS	MISC	\$1.020	\$0.420	\$0.740	\$0.460	FTA 5307	\$0.140
8TRU74	KINGSTON CITIBUS - NORMAL FLEET REPLACEMENT	CITIBUS	MISC	\$0.100	\$0.000	\$0.100	\$0.000	FTA 5307	\$0.100
8TRU14	ULSTER COUNTY PROJECT ADMINISTRATION	UCAT	MISC	\$1.865	\$0.794	\$1.428	\$0.714	FTA 5307	\$0.357
8TRU50	ULSTER COUNTY AREA TRANSIT - OPERATING ASSISTANCE	UCAT	MISC	\$1.234	\$0.000	\$1.234	\$0.900	FTA 5307	\$0.334
8TRU64	UCAT FLEET BUS REPLACEMENT	UCAT	MISC	\$1.224	\$0.000	\$1.224	\$1.016	FTA 5307	\$0.358
8TRU75	UC CAPITAL COST OF CONTRACTING TO ADIRONDACK TRAILWAY	LOCAL	MISC	\$9.958	\$0.932	\$9.026	\$5.412	FTA 5307	\$3.614
8TRU76	ULSTER COUNTY PREVENTIVE MAINTENANCE	UCAT	MISC	\$3.720	\$2.112	\$2.328	\$1.104	FTA 5307	\$0.504
8TRU80	ULSTER COUNTY SECTION 5310 PROGRAM	UCAT	MISC, OPER	\$0.965	\$0.000	\$0.965	\$0.393	FTA 5310	\$0.335
8TRU81	ULSTER COUNTY SECTION 5339 PROGRAM	UCAT	MISC	\$0.384	\$0.000	\$0.384	\$0.288	FTA 5339	\$0.096
Total Transit								\$	6.158
Total FHWA and FTA Funds Obligated in 2015 \$ 22.907									

