

ULSTER COUNTY TRANSPORTATION COUNCIL

FFY 2017

ANNUAL FEDERAL AID OBLIGATION REPORT

**Reporting Period
October 1, 2016 to September 30, 2017**



January 2018

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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 2-3 year lifecycle.



LONG RANGE TRANSPORTATION PLAN

A Federal Aid Obligation Report together with the Metropolitan Transportation Plan (MTP) helps to evaluate an MPO's overall performance. Financial forecasts from the MTP 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 MTP 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;
- **Project Phases Obligated in FFY 2017**: the phases for which funding was actually obligated during the federal fiscal year;
- **Total Federal Funds Programmed on 2017-21 TIP**: the total amount of funding included for obligation on the 5-year TIP program;
- **Federal Funds Scheduled for Obligated in FFY 2017**: the amount funding scheduled for obligation during FFY2017;
- **Federal Funds Reported as Obligated in FFY 2017**: the amount funding found to be obligated on the project during FFY2017;
- **Fund Source**: the federal program from which funding was derived;
- **Federal Funds Remaining on the 5 Year Program**: the total federal funds obligated in 2017 subtracted from the total federal funds programmed on the 2017-21 TIP.

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 2017 FEDERAL AID OBLIGATIONS

As shown in the tables on the following pages, a total of **\$24.925 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 2017. Of that, \$14.991 million in federal aid was obligated for state projects in 2017. A total of \$4.969 million in federal aid was obligated for local highway, bridge and enhancement projects in 2017 across a variety of federal fund sources. Finally, a total of \$4.965 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 2017-2021 TIP lists a total of 36 state and local highway, bridge, enhancement, or transit projects that had funds programmed for obligation in 2017, totaling \$30.396 million in *potential* obligations. The FFY17 obligation total of \$24.925 million in federal dollars indicates that the yearly obligation rate for all projects programmed for 2017 on the UCTC TIP is 82%. Obligation rate for state highway, bridge and trail projects for FFY2017 was 91% while the obligation rate for local highway, bridge and trail projects was 56%. 100% of FTA funds were obligated for transit projects.

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 TIP project listings were originally developed in 2016 resulting in a reasonably accurate representation of the expected and realized obligation amounts in 2017. The TIP was updated October 1, 2016 for the period 2017-2021, making the 2017 obligation report the first for the 2017 – 2021 program.



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.

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UCTC Federal Aid Obligations, FHWA Projects/Phases, FFY 2017

Reporting Period: October 1, 2016 to September 30, 2017

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

PIN	PROJECT DESCRIPTION	Project Sponsor	PROJECT PHASES OBLIGATED IN FFY 2017	TOTAL FEDERAL FUNDS PROGRAMMED ON 2017-21 TIP	FEDERAL FUNDS SCHEDULED FOR OBLIGATION FFY 2017	FEDERAL FUNDS REPORTED AS OBLIGATED FFY 2017	FUND SOURCE	FEDERAL FUNDS REMAINING ON 5 YEAR PROGRAM
STATE PROJECTS								
801846	Route 28 ESOPUS CREEK BRIDGE REPLACEMENT MT TREMPER	NYS DOT	SCOPING; PRELDES	\$26.320	\$1.840	\$0.000	NHPP	\$26.320
817747	ROUTE 209 SIDEWALK IMPROVEMENTS HAMLET OF KERHONKSON TOWN OF WAWARSING	NYS DOT	ROWACQU	\$0.765	\$0.085	\$0.000	STP FLEX	\$0.765
846059	ROUTE 32 PARK AND RIDE, ROSENDALE	NYS DOT	MISC	\$0.325	\$0.052	\$0.052	STP FLEX	\$0.273
872068	ROUTE 32/I87 BRIDGE REPLACEMENT TOWN OF PLATTE KILL	THRUWAY	CONST; CONINSP	\$1.063	\$1.063	\$1.446	NHPP	\$0.000
881126	I587 @ ALBANY AVENUE	NYS DOT	ROWACQU, DETDES	\$5.354	\$0.404	\$0.465	NHPP, HSIP	\$4.889
881282	MAINT. BY CONTRACT: TOWN OF ULSTER BRIDGE REPAIR WORK	NYS DOT	CONINSIP; CONST	\$12.584	\$12.584	\$12.756	NHPP	\$0.000
881303	HUDSON VALLEY RT SOUTH ST TO S PUTT CORNERS RD	NYS DOT	PRELDES; ROWINCD	\$0.448	\$0.208	\$0.000	NHPP	\$0.448
882324	ULSTER COUNTY KINGSTON POUGHKEEPSIE BUS SERVICE	NYS DOT	OPER	\$1.360	\$0.272	\$0.272	STP FLEX	\$1.088
Total State					\$16.508	\$ 14.991	91%	



UCTC Federal Aid Obligations, FHWA Projects/Phases, FFY 2017

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

PIN	PROJECT DESCRIPTION	Project Sponsor	PROJECT PHASES OBLIGATED IN FFY 2017	TOTAL FEDERAL FUNDS PROGRAMMED ON 2017-21 TIP	FEDERAL FUNDS SCHEDULED FOR OBLIGATION FFY 2017	FEDERAL FUNDS REPORTED AS OBLIGATED FFY 2017	FUND SOURCE	FEDERAL FUNDS REMAINING ON 5 YEAR PROGRAM
LOCAL PROJECTS								
805111	COUNTY ROUTES 7 & 8 (TOURING ROUTE 299) SHOULDER WIDENING: WALLKILL RIVER TO ROUTE 44/55, TOWNS OF NEW PALTZ AND GARDINER. ULSTER COUNTY	COUNTY DPW	PRELDES, ROWINCD	\$3.785	\$0.390	\$0.390	STP FLEX	\$3.395
875713	ROUTE 213 EXTENSION (CR 4)/TONGORE CREEK	COUNTY DPW	ROWACQ, CONST, CONINSP	\$1.812	\$1.812	\$0.040	STP FLEX	\$1.772
875804	KINGSTON RAIL TRAIL: CITY OF KINGSTON, TOWN OF ULSTER	COUNTY	ROWACQU	\$1.672	\$0.048	\$0.000	STP FLEX	\$1.672
875925	D&H CANAL/O&W RR TRAIL: TOWN OF ROCHESTER	LOCAL	ROWACQ	\$0.582	\$0.069	0.000	STP FLEX	\$0.582
875990	SOUTH PUTT CORNERS ROAD (COUNTY ROUTE 17)	COUNTY	CONST, CONINSP	\$2.748	\$2.748	2.748	STP LG URBAN	\$0.000
875995	WALLKILL HAMLET SIDEWALKS, HAMLET OF WALLKILL	LOCAL	CONST, CONINSP	\$1.652	\$1.652	0.000	STP FLEX	\$1.652
876121	HUDSON VALLEY RT WEST	COUNTY	CONST, CONINSP	\$1.388	\$1.388	1.165	TAP SM URBAN	\$0.223
876146	REPAIR/REPLACE BLUESTONE SIDEWALK SAUGERTIES	LOCAL	DETLDES; PRELDES; ROWINCD	\$0.287	\$0.064	\$0.064	HPP	\$0.223
876161	TOWN OF SHANDAKEN PECK HOLLOW RD BRIDGE REPLACEMENT	LOCAL	DETLDES; PRELDES; ROWINCD	\$0.856	\$0.152	\$0.152	STP-OFF	\$0.704
876175	BRIDGE REPLACEMENT: FANTINEKILL BRIDGE OVER CR3 TOWN OF ROCHESTER	COUNTY	DETLDES; PRELDES; ROWINCD	\$1.079	\$0.153	\$0.153	STP-OFF	\$0.926
876176	BRIDGE REPLACEMENT: WOLVEN BRIDGE CARRYING ZENA ROAD OVER SAWKILL TOWN OF WOODSTOCK	COUNTY	DETLDES; PRELDES; ROWINCD	\$1.091	\$0.153	\$0.153	STP-OFF	\$0.938
876177	LUCAS TURNPIKE SHOULDERS TOWN OF ROCHESTER	COUNTY	DETLDES; PRELDES; ROWINCD	\$0.383	\$0.031	\$0.031	STP FLEX	\$0.352
876184	HENRY STREET PEDESTRIAN IMPROVEMENTS CITY OF KINGSTON	LOCAL	DETLDES; PRELDES; ROWINCD	\$1.348	\$0.104	\$0.000	TAP LG URBAN	\$1.348
876193	HORSENDEN RD RESURFACING	COUNTY	DETLDES; PRELDES; ROWINCD	\$0.130	\$0.010	\$0.010	STP FLEX	\$0.120
876194	HURLEY AVE PAVING AND COMPLETE STREETS	CITY OF KINGSTON	DETLDES; PRELDES; ROWINCD	\$0.452	\$0.021	\$0.021	STP FLEX	\$0.431
878049	CITY OF KINGSTON BROADWAY STREETScape	CITY OF KINGSTON	ROWINCD	\$2.001	\$0.128	\$0.042	STP FLEX	\$1.959
Total Local					\$ 8.923	\$ 4.969	56%	



UCTC Federal Aid Obligations, FTA Projects/Phases, FFY 2017

Reporting Period: October 1, 2016 to September 30, 2017

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

PIN	PROJECT DESCRIPTION	Project Sponsor	PROJECT PHASES OBLIGATED IN FFY 2017	TOTAL FEDERAL FUNDS PROGRAMMED ON 2017-21 TIP	FEDERAL FUNDS SCHEDULED FOR OBLIGATION FFY 2017	FEDERAL FUNDS REPORTED AS OBLIGATED FFY 2017	FUND SOURCE	FEDERAL FUNDS REMAINING ON 5 YEAR PROGRAM
TRANSIT PROJECTS								
8TRU14	PROJECT ADMINISTRATION FOR UCAT	UCAT	MISC	\$1.640	\$0.328	\$0.328	FTA 5307	\$1.312
8TRU50	OPERATING ASSISTANCE FOR UCAT	UCAT	MISC	\$3.840	\$0.300	\$0.300	FTA 5307	\$3.540
8TRU67	OPERATING ASSISTANCE FOR KINGSTON CITIBUS	CITIBUS	MISC	\$2.080	\$0.300	\$0.300	FTA 5307	\$1.780
8TRU68	CITY OF KINGSTON CITIBUS - PREVENTATIVE MAINTENANCE	CITIBUS	MISC	\$0.352	\$0.070	\$0.070	FTA 5307	\$0.282
8TRU69	CITY OF KINGSTON CITIBUS - PROJECT ADMINISTRATION	CITIBUS	MISC	\$0.723	\$0.140	\$0.140	FTA 5307	\$0.583
8TRU75	UC CAPITAL COST OF CONTRACTING ULSTER COUNTY COMMUTER SERVICES. - ADIRONDACK TRAILWAYS	LOCAL	MISC	\$9.142	\$1.924	\$1.924	FTA 5307	\$7.218
8TRU76	PREVENTIVE MAINTENANCE UCAT	UCAT	MISC	\$3.139	\$0.644	\$0.644	FTA 5307	\$2.495
8TRU78	NORMAL FLEET BUS REPLACEMENT / ELECTRONIC FARE COLLECTION SYSTEM	UCAT	MISC	\$2.554	\$0.640	\$0.640	FTA 5307	\$1.914
8TRU80	ULSTER COUNTY SECTION 5310 PROGRAM-VEHICLES AND OPERATING ASSISTANCE TO PROVIDE TRANSPORTATION FOR ELDERLY AND PERSONS WITH DISABILITIES BY PRIVATE NOT-FOR-PROFIT AGENCIES	UCAT	MISC	\$0.644	\$0.129	\$0.129	FTA 5310	\$0.515
8TRU82	UZA 454 5339 BUS FACILITIES PROGRAM UCAT	UCAT	MISC	\$0.121	\$0.121	\$0.121	FTA 5339	\$0.000
8TRU83	UZA 454 - 5339 BUS FACILITIES PROGRAM. KINGSTON CITIBUS	CITIBUS	MISC	\$0.045	\$0.045	\$0.045	FTA 5339	\$0.000
8TRU84	CAPITAL FUNDING TO REPLACE REHABILITATE AND PURCHASE BUSES & RELATED EQUIPMENT.	UCAT	MISC	\$1.620	\$0.324	\$0.324	FTA 5339	\$1.296
Total Transit						4.965		

