

ULSTER COUNTY TRANSPORTATION COUNCIL

FFY 2016

ANNUAL FEDERAL AID OBLIGATION REPORT

**Reporting Period
October 1, 2015 to September 30, 2016**



February 2017

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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. 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 2016**: the phases for which funding was actually obligated during the federal fiscal year;
- **Federal Funds Obligated in FFY 2016**: 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 2016 FEDERAL AID OBLIGATIONS

As shown in the table on the following pages, a total of **\$15.295 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 2016. Of that, \$2.194 million in federal aid was obligated for state projects in 2016. A total of \$7.327 million in federal aid was obligated for local highway, bridge and enhancement projects in 2016 across a variety of federal fund sources. Finally, a total of \$5.774 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 32 state and local highway, bridge, enhancement or transit projects that had funds programmed for obligation in 2016, totaling \$19.476 million. The FFY16 obligation total of \$15.295 million in federal dollars indicates that the yearly obligation rate for all projects programmed for 2016 on the UCTC TIP is 79%. 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 developed in 2013 resulting in a reasonably accurate representation of the expected and realized obligation amounts in 2016. The TIP was updated October 1, 2016 for the period 2017-2021, making the 2016 obligation report the last for the 2014 – 2018 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.



UCTC Federal Aid Obligations, FHWA Projects/Phases, FFY 2016

Reporting Period: October 1, 2015 to September 30, 2016

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

PIN	PROJECT DESCRIPTION	Project Sponsor	PROJECT PHASES OBLIGATED IN FFY 2016	TOTAL FEDERAL PROJECT COST	FEDERAL FUNDS OBLIGATED PRIOR to FFY 2016	FEDERAL FUNDS PROGRAMMED ON 2014-18 TIP	FEDERAL FUNDS REMAINING	FUND SOURCE	FEDERAL FUNDS OBLIGATED FFY 2016
State Projects									
846059	ROUTE 32 PARK AND RIDE, ROSENDALE	NYS DOT	MISC	\$0.224	\$0.094	\$0.160	\$0.098	STP FLEX	\$0.032
846317	ROUTE 213 OVER RONDOUT CREEK BRIDGE	NYS DOT	DETLDES, CONST	\$4.912	\$5.050	\$4.912	-\$0.637	STP FLEX	\$0.499
880862	WURTS STREET/DOCK STREET	NYS DOT	DETLDES	\$9.280	\$0.480	\$0.480	\$7.756	STP FLEX	\$1.044
881126	1587 @ ALBANY AVENUE	NYS DOT	PRELDES, ROWINC	\$4.807	\$0.000	\$0.476	\$4.620	HSIP, NHPP	\$0.187
881215	SHAWANGUNK MOUNTAIN SCENIC BYWAY OVERLOOK REHABILITATIONS	NYS DOT	CONST	\$1.000	\$0.128	\$6.720	\$0.440	SCENIC BYWAYS	\$0.432
Total State									\$ 2.194
Local Projects									
875618	GREENKILL AVENUE/BROADWAY	LOCAL	CONST, CONINSP	\$2.983	\$0.000	\$2.983	\$0.023	STP OFF	\$2.960
875620	SAWKILL ROAD/SAWKILL CREEK	COUNTY DPW	CONST, CONINSP	\$3.540	\$0.014	\$3.540	\$0.000	STP FLEX	\$3.526
875713	ROUTE 213 EXTENSION (CR 4)/TONGORE CREEK	COUNTY DPW	ROWACQ	\$1.820	\$0.000	\$1.692	\$1.700	STP FLEX	\$0.120
875781	TILSON AVE: ROUTE 9W TO ROUTE 44/55	LOCAL	ROWACQ	\$3.028	\$0.000	\$3.028	\$2.778	STP FLEX	\$0.250
875804	KINGSTON RAIL TRAIL	COUNTY	ROWACQ	\$1.100	\$0.196	\$1.100	\$0.857	STP FLEX	\$0.047
876109	SRTS CITY OF KINGSTON SCHOOL DISTRICT	LOCAL	CONINSP	\$0.490	\$0.074	\$0.490	\$0.000	SRTS	\$0.416
876122	VILLAGE OF NEW PALTZ SIDEWALKS	VILLAGE OF NEW PALTZ	PRELDES, DETLDES, ROWINC	\$0.202	\$0.000	\$0.202	\$0.194	TAP LARGE URBAN	\$0.008
Total Local									\$ 7.327



UCTC Federal Aid Obligations, FTA Projects/Phases, FFY 2016

Reporting Period: October 1, 2015 to September 30, 2016

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

PIN	PROJECT DESCRIPTION	Project Sponsor	PROJECT PHASES OBLIGATED IN FFY 2016	TOTAL FEDERAL PROJECT COST	FEDERAL FUNDS OBLIGATED PRIOR to FFY 2016	FEDERAL FUNDS PROGRAMMED ON 2014-18 TIP	FEDERAL FUNDS REMAINING	FUND SOURCE	FEDERAL FUNDS OBLIGATED FFY 2016
State Projects									
8TRU14	PROJECT ADMINISTRATION FOR THE ULSTER COUNTY AREA TRANSPORTATION (UCAT) SYSTEM. ULSTER COUNTY	UCAT	MISC	\$1.865	\$1.151	\$1.428	\$0.357	FTA 5307	\$0.357
8TRU28	PURCHASE OF ONE (1) 30 FOOT LOW FLOOR CUTAWAY BUS FOR THE ULSTER COUNTY AREA TRANSPORTATION (UCAT) SYSTEM. ULSTER COUNTY	UCAT	MISC	\$0.200	\$0.000	\$0.200	\$0.000	FTA 5307	\$0.200
8TRU50	ULSTER COUNTY AREA TRANSIT - OPERATING ASSISTANCE	UCAT	MISC	\$1.234	\$0.334	\$1.234	\$0.600	FTA 5307	\$0.300
8TRU64	NORMAL FLEET REPLACEMENT FOR THE ULSTER COUNTY AREA TRANSPORTATION (UCAT) SYSTEM. ULSTER COUNTY	UCAT	MISC	\$1.224	\$0.720	\$1.224	\$0.000	FTA 5307	\$0.504
8TRU66	NORMAL FLEET BUS REPLACEMENT SCHEDULE	UCAT	MISC	\$0.341	\$0.000	\$0.341	\$0.000	FTA 5307	\$0.341
8TRU67	OPERATIONS FOR CITY OF KINGSTON CITIBUS	CITIBUS	MISC	\$1.650	\$0.750	\$1.400	\$0.600	FTA 5307	\$0.300
8TRU68	CITY OF KINGSTON CITIBUS - PREVENTATIVE	CITIBUS	MISC	\$0.430	\$0.210	\$0.360	\$0.150	FTA 5307	\$0.070
8TRU69	CITY OF KINGSTON CITIBUS - PROJECT ADMINISTRATION	CITIBUS	MISC	\$0.880	\$0.420	\$0.880	\$0.310	FTA 5307	\$0.150



UCTC Federal Aid Obligations, FTA Projects/Phases, FFY 2016

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

PIN	PROJECT DESCRIPTION	Project Sponsor	PROJECT PHASES OBLIGATED IN FFY 2016	TOTAL FEDERAL PROJECT COST	FEDERAL FUNDS OBLIGATED PRIOR to FFY 2016	FEDERAL FUNDS PROGRAMMED ON 2014-18 TIP	FEDERAL FUNDS REMAINING	FUND SOURCE	FEDERAL FUNDS OBLIGATED FFY 2016
State Projects									
8TRU75	UC CAPITAL COST OF CONTRACTING ULSTER COUNTY COMMUTER SERVICES. - ADIRONDACK TRAILWAYS	LOCAL	MISC	\$9.075	\$3.614	\$9.075	\$3.608	FTA 5307	\$1.853
8TRU76	PREVENTIVE MAINTENANCE FOR THE ULSTER COUNTY AREA TRANSPORTATION (UCAT) SYSTEM. ULSTER COUNTY	UCAT	MISC	\$2.832	\$1.728	\$2.328	\$0.552	FTA 5307	\$0.552
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, OPER	\$0.965	\$0.572	\$0.965	\$0.262	FTA 5310	\$0.131
8TRU81	ULSTER COUNTY 5339 BLOCK BUS FACILITIES PROGRAM. THIS CAPITAL PROGRAM PROVIDES FUNDING TO REPLACE, REHABILITATE, AND PURCHASE BUSES AND RELATED EQUIPMENT, AND TO CONSTRUCT BUS-RELATED FACILITIES.	UCAT	MISC	\$0.384	\$0.096	\$0.384	\$0.192	FTA 5339	\$0.096
8TRU84	CAPITAL FUNDING TO REPLACE REHABILITATE AND PURCHASE BUSES & RELATED EQUIPMENT.	UCAT	MISC	\$1.296	\$0.000	\$1.296	\$0.648	FTA 5339	\$0.648
882324	ULSTER COUNTY-POUGHKEEPSIE TRAIN STATION BUS SERVICE, KINGSTON TO POUGHKEEPSIE	UCAT	OPER	\$2.176	\$0.816	\$1.360	\$1.088	STP FLEX	\$0.272

Total Transit \$ 5.774

Total FHWA and FTA Funds Obligated in 2015 \$ 15.295

