

ULSTER COUNTY TRANSPORTATION COUNCIL

FFY 2019

ANNUAL FEDERAL AID OBLIGATION REPORT

**Reporting Period
October 1, 2018 to September 30, 2019**



January 2019

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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:

<https://ulstercountyny.gov/transportation-council/transportation-improvement-plan>.

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: <https://ulstercountyny.gov/transportation-council/long-range-transportation-plan>.

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 account 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 2019**: the phases for which funding was actually obligated during the federal fiscal year;
- **Total Federal Funds Programmed on 2020-24 TIP**: the total amount of funding included for obligation on the 5-year TIP program;
- **Federal Funds Scheduled for Obligated in FFY 2019**: the amount funding scheduled for obligation during FFY2019;
- **Federal Funds Reported as Obligated in FFY 2019**: the amount funding found to be obligated on the project during FFY2019;
- **Fund Source**: the federal program from which funding was derived;

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 2019 FEDERAL AID OBLIGATIONS

As shown in the tables on the following pages, a total of **\$9.9376 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 2019. Of that, \$2.393 million in federal aid was obligated for state projects in 2019. A total of \$4.175 million in federal aid was obligated for local highway, bridge and enhancement projects in 2019 across a variety of federal fund sources. Finally, a total of \$3.369 million in federal aid was obligated for transit projects in Ulster County. Recipients of transit funds included public operators Ulster County Area Transit and Kingston Citibus and private carrier Adirondack Trailways.

The UCTC 2020-2024 TIP lists a total of 33 state and local highway, bridge, enhancement, or transit projects that had funds programmed for obligation in 2019, totaling \$12.386 million in *potential* obligations. The FFY19 obligation total of \$9.937 million in federal dollars indicates that the yearly obligation rate for all projects programmed for 2019 on the UCTC TIP is 80%. Obligation rate for state highway, bridge and trail projects for FFY2019 was 91.7% while the obligation rate for local highway, bridge and trail projects was 90.7%. 65% of FTA funds were obligated for transit projects; Adirondack Trailways was unable to obligate its annual capital cost of contracting transfer to CDTA totaling \$1.804 million. These funds have not been lost but simply held up due to technical issues associated with their annual grant application. Those funds will be bundled under a different obligation date in FFY2020.

The high obligation rate is a reflection of efforts to ensure that the TIP reflects the current project schedules via TIP amendments and modifications throughout the year. The TIP was updated October 1, 2019 for the period 2020-2024, making the 2019 obligation report the first for the 2020 – 2024 program period.



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 2019

Reporting Period: October 1, 2018 to September 30, 2019

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

| PIN | PROJECT DESCRIPTION | Project Sponsor | PROJECT PHASES OBLIGATED IN FFY 2019 | TOTAL FEDERAL FUNDS PROGRAMME | FEDERAL FUNDS SCHEDULED FOR | FEDERAL FUNDS REPORTED AS OBLIGATED | FUND SOURCE |
|-------------------------|---|-----------------------|---|-------------------------------|-----------------------------|-------------------------------------|------------------------|
| STATE PROJECTS | | | | | | | |
| 801846 | Route 28 Esopus Creek Bridge Replacement | NYS DOT | DETLDES, ROWACQU | 22 | 1.896 | 0.250 | NHPP |
| 80862 | Rehabilitation of the Wurts St Bridg | NYS DOT | ROWACQU, ROWINCD | 46 | 0.048 | 0.048 | STBG Flex, NHPP |
| 81354 | Route 213 Sidewalks | NYS DOT | PRELDES, ROWINCD | 0.968 | 0.077 | 0.077 | STBG Flex |
| 82380 | Ulster Poughkeepsie Link Service | NYS DOT | OPER | 1.440 | 0.288 | 0.288 | STBG Flex |
| 83244 | HSIP Rail Grant Ave | NYS DOT | CONST, DETLDES | 0 | 0.504 | 0.467 | HSIP RR |
| 83245 | HSIP Rail Leggs Mills Road | NYS DOT | CONST, DETLDES | 0 | 0.504 | 0.216 | HSIP RR |
| 83294 | HSIP Rail Mill Town Road | NYS DOT | CONST, DETLDES | 0 | 0.18 | 0.295 | HSIP RR |
| 83295 | HSIP Rail Glasco Turnpike | NYS DOT | CONST, DETLDES | 0 | 0.504 | 0.501 | HSIP RR |
| 83296 | HSIP Rail Peoples Road | NYS DOT | CONST, DETLDES | 0 | 0.504 | 0.501 | HSIP RR |
| | | | | | 2.609 | 2.393 | 91.7% |
| LOCAL PROJECTS | | | | | | | |
| 875781 | TILLSON AVE | Lloyd | DETLDES | 3.234 | 0.034 | 0 | STBG FLEX/ STBG LG URB |
| 875913 | RTE 32 SIDEWALKS | Kingston | CONST | 0 | 0.427 | 0.427 | STBG Flex |
| 875927 | CLINTON AVENUE/NORTH GULLY BRIDGE REHABILITATION, BIN 2262980, VILLAGE OF ELLENVILLE, ULSTER COUNTY ROW INC | Village of Ellenville | DETLDES, PRELDES, ROWINCD | 1.380 | 0.260 | 0.140 | STBG-OFF |
| 876161 | PECK HOLLOW ROAD OVER THE PECK HOLLOW STREAM BRIDGE REPLACEMENT TO BRING TO STATE OF GOOD REPAIR | Shandaken | CONINSP, CONST, DETLDES, ROWACQU | 0.704 | 0.071 | 0 | STBG-OFF |
| 876182 | ULSTER COUNTY MIDTOWN LINEAR PARK | UC Planning | ROWACQU | 1.376 | 0.001 | 0 | TAP FLEX |
| 876184 | HENRY ST PEDESTRIAN IMPROVEMENTS | Kingston | PRELDES, ROWACQU | 1.210 | 0.035 | 0 | TAP SM URBAN |
| 876194 | HURLEY AVENUE PAVING & COMPLETE STREETS PROJECT | City of Kingston | CONINSP, CONST, DETLDES, PRELDES, ROWACQU | 0 | 0.713 | 0.676 | STBG FLEX |
| 876199 | KINGSTON PROMENADE | Kingston | CONST, DETLDES | 0 | 0.168 | 0 | REC TRAILS |
| 876202 | WILBUR AVENUE PAVING CITY OF KINGSTON | City of Kingston | DETLDES, PRELDES, ROWINCD | 0.899 | 0.062 | 0.062 | STBG FLEX |
| 876207 | CITY OF KINGSTON PEDESTRIAN SAFETY IMPROVEMENTS (ROW-Inc.) | City of Kingston | DETLDES, PRELDES, ROWINCD | 0.471 | 0.059 | 0.059 | HSIP |
| 876216 | COUNTY ROAD 18/SHAWANGUNK KILL SUPERSTRUCTURE REPLACEMENT | Ulster County DPW | DETLDES, PRELDES, ROWINCD | 4.001 | 0.541 | 0.541 | STBG-OFF |
| 878049 | KINGSTON CONNECTIVITY PROJECT, ULSTER COUNTY | City of Kingston | CONINSP, CONST | 0.000 | 2.233 | 2.270 | STP ENHANCE |
| | | | | | 4.604 | 4.175 | 90.7% |
| TRANSIT PROJECTS | | | | | | | |
| 8TRU14 | PROJECT ADMINISTRATION FOR UCAT | UCAT | MISC | - | 0.328 | 0.328 | FTA 5307 |
| 8TRU50 | UCAT OPERATING ASSISTANCE | UCAT | MISC | - | 0.600 | 0.600 | FTA 5307 |
| 8TRU67 | CITIBUS OPERATING ASSISTANCED | KINGSTON CITIBUS | MISC | - | 0.300 | 0.300 | FTA 5307 |
| 8TRU68 | CITIBUS PREVENTATIVE MAINTENANCE | KINGSTON CITIBUS | MISC | - | 0.070 | 0.070 | FTA 5307 |
| 8TRU69 | CITIBUS PROJECT ADMINISTRATION | KINGSTON CITIBUS | MISC | - | 0.167 | 0.167 | FTA 5307 |
| 8TRU75 | UC CAPITAL COST OF CONTRACTING | ADK TRAILWAYS | MISC | - | 1.804 | 0.000 | FTA 5307 |
| 8TRU76 | PREVENTIVE MAINT. FOR UCAT | UCAT | MISC | - | 0.644 | 0.644 | FTA 5307 |
| 8TRU78 | NORMAL FLEET BUS REPLACEMENT | UCAT | MISC | - | 0.365 | 0.365 | FTA 5307 |
| 8TRU79 | NORMAL FLEET BUS REPLACEMENT | UCAT | MISC | - | 0.352 | 0.352 | FTA 5307 |
| 8TRU80 | SECTION 5310 PROGRAM UCAT | UCAT | MISC | - | 0.129 | 0.129 | FTA 5310 |
| 8TRU81 | BUS AND BUS FACILITIES PRGM | UCAT | MISC | - | 0.090 | 0.090 | FTA 5339 |
| 8TRU84 | BUS AND BUS FACILITIES PRGM | UCAT | MISC | - | 0.324 | 0.324 | FTA 5339 |
| | | | | | 5.173 | 3.369 | 65% |



