



UCTC

ULSTER COUNTY TRANSPORTATION COUNCIL

**FFY 2021 ANNUAL FEDERAL AID
OBLIGATION REPORT**

**Reporting Period
October 1, 2020 to September 30, 2021**

January 2022

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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:

<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 2045 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 2020:** 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 2020:** the amount funding scheduled for obligation during FFY2020;
- ▶ **Federal Funds Reported as Obligated in FFY 2020:** the amount funding found to be obligated on the project during FFY2020;
- ▶ **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 2020 FEDERAL AID OBLIGATIONS

As shown in the tables on the following pages, a total of **\$36.378 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 2021. Of that, \$21.901 million in federal aid was obligated for state projects in 2021. A total of \$7.385 million in federal aid was obligated for local highway, bridge and enhancement projects in 2020 across a variety of federal fund sources. Finally, a total of \$7.091 million in federal aid was obligated for transit projects in Ulster County. Recipients of transit funds included public operators Ulster County Area Transit and private carrier Adirondack Trailways.

UCTC works closely with NYSDOT to ensure that all Federal funding for transportation projects is obligated as scheduled. “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, underscoring the importance of ensuring an annual obligation rate of 100%. 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 2021

Reporting Period: October 1, 2020 to September 30, 2021

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

PIN	PROJECT SPONSOR	PROJECT DESCRIPTION	PROJECT PHASES OBLIGATED	FEDERAL FUND SOURCE	FEDERAL FUNDS REPORTED AS OBLIGATED
STATE PROJECTS					
801846	NYS DOT	ROUTE 28/ESOPUS CREEK-BRIDGE REPLACEMENT - BIN 1091290	DETAILED DESIGN	NHPP	\$ 770,422
801847	NYS DOT	ROUTE 28 SHARED USE PATH	DETAILED DESIGN	NHPP	\$ 60,000
817751	NYS DOT	PAVING: ROUTES 209, 199 AND 32 - TOWN OF ULSTER	CONSTRUCTION	NHPP	\$ 6,888,294
			CONS INSP	NHPP	\$ 1,032,480
846064	NYS DOT	ROUTE 32 AT NYSTA INTERSECTION ENGINEERING	MISC	EARMARK REPURPOSING	\$ 62,603
881517	NYS DOT	ADA SIDEWALKS & RAMPS WITH ROW: REGIONWIDE, EMPHASIS ON ULSTER COUNTY	PRELIMINARY DESIGN	STBG FLEX	\$ 20,000
880862	NYS DOT	WURTS STREET/DOCK STREET	CONSTRUCTION	NHPP	\$ 4,790,389
			CONS INSP	NHPP	\$ 2,600,000
881303	NYS DOT	EMPIRE STATE TRAIL: HUDSON VALLEY RT - WALLKILL VALLEY RT	CONSTRUCTION	HWY SAFETY IMPR PGM	\$ (110,048)
881540	NYS DOT	ROUTE 299 RESURFACING: OHIOVILLE ROAD TO ROUTE 9W	CONSTRUCTION	NHPP	\$ 3,692,678
			CONST INSP	NHPP	\$ 1,147,200
882380	NYS DOT	ULSTER COUNTY-POUGHKEEPSIE TRAIN STATION BUS SERVICE	MISC	STBG FLEX	\$ 288,000
893313	NYS DOT	MILTON LANDING PARK - CSX: PEDESTRIAN CROSSING LIGHTS & GATES	CONSTRUCTION RAILROAD FORCE ACCOUNT	RAIL GRADE CROSSING SETASIDE	\$ 659,400
					\$ 21,901,418

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LOCAL PROJECTS					
805111	ULSTER CTY	COUNTY ROUTES 7 & 8: WALLKILL RIVER TO RT. 44/55	ROW ACQ	STBG FLEX	\$ 40,000
875804	ULSTER CTY	KINGSTON RAIL TRAIL	DETAILED DESIGN	STBG FLEX	\$ 18,160
			ROW ACQ	STBG FLEX	\$ (18,160)
875927	VIL ELLENVILLE	CLINTON AVENUE/NORTH GULLY BRIDGE REHAB	DETAILED DESIGN	STBG OFF	\$ 5,534
876122	VIL NEW PALTZ	VILLAGE OF NEW PALTZ SIDEWALKS	CONSTRUCTION	TAP URBAN	\$ 192,000
			CONST INSP	TAP URBAN	\$ 9,600
876161	TN SHANDAKEN	PECK HOLLOW ROAD/PECK HOLLOW STREAM	CONSTRUCTION	STBG OFF	\$ 594,700
			CONST INSP	STBG OFF	\$ 79,800
			DETAILED DESIGN	STBG OFF	\$ 25,650
876175	ULSTER CTY	SAMSONVILLE ROAD (CR 3)/MOMBACCUS CREEK BRIDGE REPLACEMENT	DETAILED DESIGN	STBG OFF	\$ 100,000
			PREL. DESIGN	STBG OFF	\$ 112,000
876176	ULSTER CTY	ZENA ROAD (CR 30)/SAWKILL CREEK BRIDGE REPLACEMENT	DETAILED DESIGN	STBG OFF	\$ 100,000
			PREL. DESIGN	STBG OFF	\$ 116,000
876182	ULSTER CTY	ULSTER COUNTY MIDTOWN LINEAR PARK	CONSTRUCTION	TAP FLEX	\$ 1,204,044
			CONST INSP	TAP FLEX	\$ 137,600
			DETAILED DESIGN	TAP FLEX	\$ 8,668
			ROW INCD	TAP FLEX	\$ 6,012
876184	CITY OF KINGSTON	HENRY STREET PEDESTRIAN IMPROVEMENTS:BROADWAY-WALL ST	DETAILED DESIGN	TAP SMALL URBAN	\$ 37,600
876194	CITY OF KINGSTON	HURLEY AVENUE PAVING & COMPLETE STREETS PROJECT	CONSTRUCTION	STBG FLEX	\$ 1,585
			DETAILED DESIGN	STBG FLEX	\$ (785)
			ROW INCD	STBG FLEX	\$ (800)
876207	CITY OF KINGSTON	CITY OF KINGSTON PEDESTRIAN SAFETY IMPROVEMENTS	CONSTRUCTION	HWY SAFETY IMPR PGM	\$ 411,000
			CONST INSP	HWY SAFETY IMPR PGM	\$ 61,000

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876216	ULSTER CTY	COUNTY ROAD 18/SHAWANGUNK KILL SUPERSTRUCTURE REPLACEMENT	CONSTRUCTION	STBG OFF	\$ 3,577,054
			CONST INSP	STBG OFF	\$ 428,450
876248	TOWN OF NEW PALTZ	HENRY W DUBOIS DRIVE BIKE & PEDESTRIAN LANES	ROW ACQ	TAP URBAN	\$ 20,000
876254	CITY OF KINGSTON	KINGSTON: FLATBUSH & FOXHALL AVE ACCESSIBILITY IMPROVEMENTS	PRELIMINARY DESIGN	RAIL GRADE CROSSING SETASIDE	\$ 22,500
878049	CITY OF KINGSTON	KINGSTON CONNECTIVITY PROJECT	CONSTRUCTION	EARMARK REPURPOSING	\$ 13,932
			RIGHT OF WAY ACQUISITION	EARMARK REPURPOSING	\$ (13,932)
893307	TOWN OF ULSTER	BOICES LANE / CSX RR TRAFFIC SIGNAL ENGINEERING T/O ULSTER	DETAILED DESIGN	RAIL GRADE CROSSING SETASIDE	\$ 48,000
			PRELIMINARY DESIGN	RAIL GRADE CROSSING SETASIDE	\$ 48,000
					\$ 7,385,212
TRANSIT PROJECTS					
8TRU75	ADK TRAILWAYS	CAPITAL COST OF CONTRACTING	MISC	FTA 5307	\$ 2,206,000
8TRU95	ADK TRAILWAYS	CAPITAL COST OF CONTRACTING	MISC	FTA 5307	\$ 2,112,000
					\$ 4,318,000

Note: UCAT utilized other NYS American Rescue Plan funds for operation and other associated costs in FFY21; no federal grants were submitted during the reporting year.