

ULSTER COUNTY TRANSPORTATION COUNCIL

FFY 2014

ANNUAL FEDERAL AID OBLIGATION REPORT

**Reporting Period
October 1, 2013 to September 30, 2014**



January 2015

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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 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 current annual LRTP Federal aid target for Ulster County is approximately \$15 million per year during the 2011 to 2015 five year cycle.ⁱ The UCTC Year 2035 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 Transportation Equity Act for the 21st Century (1998) and continuing in the Moving Ahead for Progress in the 21st Century Act (MAP-21, 2013), 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 2014**: the phases for which funding was actually obligated during the federal fiscal year;
- **Federal Funds Obligated in FFY 2014**: 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 2014 FEDERAL AID OBLIGATIONS

As shown in the table on the following page, a total of \$12.212 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 2014. Of that, \$7.044 million in federal aid was obligated for state projects in 2014. \$4.4 million of this state share was allocated through the harsh winter accelerated paving projects program. A total of \$2.214 million in federal aid was obligated for local highway, bridge and enhancement projects in 2014 across a variety of Federal fund sources.

The UCTC 2014-2018 TIP lists a total of 29 state and local highway, bridge, enhancement or transit projects that had funds programmed for obligation in 2014. The FFY14 obligation total of \$12.212 million in federal dollars indicates that UCTC and NYSDOT are performing in line with the total annual obligations. The TIP Project listings were developed in 2013 resulting in an accurate representation of the expected and realized obligation amounts in 2014. The further out from the initial development of the TIP, the less likely project obligations will match the programmed amount.

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 2014									
Reporting Period: October 1, 2013 to September 30, 2014									
Federal Highway Administration (FHWA) Funds Listed in Millions of Dollars									
PIN	PROJECT DESCRIPTION	Project Sponsor	PROJECT PHASES OBLIGATED IN FFY 2014	TOTAL FEDERAL PROJECT COST	FEDERAL FUNDS OBLIGATED PRIOR to FFY 2014	FEDERAL FUNDS PROGRAMMED ON 2014-18 TIP	FEDERAL FUNDS REMAINING	FUND SOURCE	FEDERAL FUNDS OBLIGATED FFY 2014
State Projects									
870456	ULSTER COUNTY PARK & RIDE	NYS DOT	ROWINCD, SCOPING, ROWACQU, DETLDES, PRELDES	\$2.936	\$0.000	\$2.936	\$2.578	FTA 5307	\$0.358
882343	SAUGERTIES PARK & RIDE	NYS DOT	PE, CONST	\$0.743	\$0.000	\$0.743	\$0.000	URBANIZED AREA FORMULA GRANTS	\$0.743
882342	KINGSTON PARK & RIDE LOT EXPANSION	NYS DOT	PE, CONST	\$0.807	\$0.000	\$0.807	\$0.000	URBANIZED AREA FORMULA GRANTS	\$0.807
882325	VILLAGE OF NEW PALTZ PARK & RIDE LOT ON ROUTE 32	NYS DOT	OPER	\$0.224	\$0.032	\$0.160	\$0.160	FLEX	\$0.032
881215	SHAWANGUNK MOUNTAINS SCENIC BYWAYS	NYS DOT	CONST	\$0.800	\$0.128	\$0.800	\$0.000	SCENIC BYWAYS	\$0.672
846059	TOWN OF ROSENDALE PARK AND RIDE LOT	NYS DOT	OTHER	\$0.224	\$0.032	\$0.160	\$0.160	FLEX	\$0.032
839141	CORRECTIVE PAVEMENT TREATMENT RT 55-SULLY CO LINE-W/OF OUTLET	NYS DOT	CONST	\$4.400	\$0.000	\$4.400	\$0.000	FLEX	\$4.400
Total State									\$ 7.044
Local Projects									
875804	KINGSTON RAIL TRAIL	COUNTY	ROWINCD, PE	\$1.100	\$0.000	\$1.100	\$0.904	FLEX	\$0.196
875620	BRIDGE REPLACEMENT: SAWKILL ROAD / SAWKILL CREEK	COUNTY DPW	ROWACQU	\$3.540	\$0.000	\$3.540	\$3.526	STP-OFF	\$0.014
875990	SOUTH PUTT CORNERS ROAD (CR 17): RT. 299 TO RT. 32	COUNTY DPW	ROWACQU	\$1.646	\$0.000	\$1.646	\$1.448	LARGE URBAN	\$0.198
875666	BRIDGE REPLACEMENT: MUD TAVERN ROAD (CR 9) / DWAAKILL	COUNTY DPW	CONST	\$1.062	\$0.040	\$1.022	\$0.000	Bridge Off System	\$1.022
875781	TILSON AVE: ROUTE 92 TO ROUTE 4455, HIGHLAND	Town of Lloyd	ROWINCD, ROWACQU	\$3.028	\$0.000	\$3.028	\$2.778	LARGE URBAN	\$0.250
875618	GREENKILL AVENUE/BROADWAY BRIDGE REPLACEMENT, KINGSTON	City of Kingston	ROWACQU	\$2.983	\$0.000	\$2.983	\$2.960	STP-OFF	\$0.023
875995	WALLKILL HAMLET SIDEWALKS	Town of Shawangunk	ROWACQU	\$1.819	\$0.167	\$1.652	\$1.572	FLEX	\$0.080
876029	WASHINGTON AVENUE SIGNALS @ SCHWEIK DRIVE & NORTH FRONT ST	City of Kingston	CONST	\$0.311	\$0.000	\$0.311	\$0.000	SMALL URBAN	\$0.311
876114	ELLENVILLE CENTRAL SCHOOL DISTRICT	Village of Ellenville	MISC, PRELDES	\$0.233	\$0.000	\$0.233	\$0.186	SAFE ROUTES TO SCHOOL	\$0.047
876109	KINGSTON CITY SCHOOL DISTRICT	City of Kingston	PE	\$0.489	\$0.000	\$0.489	\$0.416	SAFE ROUTES TO SCHOOL	\$0.073
Total Local									\$ 2.214
UCTC Federal Aid Obligations, FTA Projects/Phases, FFY 2014									
Reporting Period: October 1, 2013 to September 30, 2014									
Federal Transit Administration (FTA) Funds Listed in Millions of Dollars									
PIN	PROJECT DESCRIPTION	Project Sponsor	PROJECT PHASES OBLIGATED IN FFY 2014	TOTAL FEDERAL PROJECT COST	FEDERAL FUNDS OBLIGATED PRIOR to FFY 2014	FEDERAL FUNDS PROGRAMMED ON 2014-18 TIP	FEDERAL FUNDS REMAINING	FUND SOURCE	FEDERAL FUNDS OBLIGATED FFY 2014
Transit Projects									
8TRU83	ULSTER COUNTY SECTION 5339 PROGRAM	CITIBUS	MISC	\$0.038	\$0.000	\$0.038	\$0.000	FTA 5339	\$0.038
8TRU68	CITY OF KINGSTON CITIBUS - PREVENTATIVE MAINTENANCE	CITIBUS	MISC	\$0.450	\$0.130	\$0.360	\$0.290	FTA 5307	\$0.070
8TRU71	KINGSTON CITIBUS TRANSIT IMPROVEMENTS	CITIBUS	MISC	\$0.100	\$0.000	\$0.100	\$0.000	FTA 5307	\$0.100
8TRU67	OPERATIONS FOR CITY OF KINGSTON CITIBUS	CITIBUS	MISC	\$1.950	\$0.550	\$1.100	\$1.150	FTA 5307	\$0.250
8TRU69	KINGSTON CITIBUS - PROJECT ADMINISTRATION	CITIBUS	MISC	\$1.020	\$0.280	\$0.740	\$0.600	FTA 5307	\$0.140
8TRU15	ULSTER COUNTY BUS SHELTER PROGRAM	UCAT	MISC	\$0.120	\$0.040	\$0.080	\$0.040	FTA 5307	\$0.040
8TRU80	ULSTER COUNTY SECTION 5310 PROGRAM	UCAT	MISC	\$0.765	\$0.130	\$0.524	\$0.524	FTA 5310	\$0.131
8TRU82	ULSTER COUNTY SECTION 5339 PROGRAM	UCAT	MISC	\$0.142	\$0.000	\$0.142	\$0.000	FTA 5339	\$0.142
8TRU50	ULSTER COUNTY AREA TRANSIT OPERATING ASSISTANCE	UCAT	MISC	\$0.622	\$0.000	\$0.622	\$0.476	FTA 5307	\$0.146
8TRU14	ULSTER COUNTY PROJECT ADMINISTRATION	UCAT	MISC	\$1.865	\$0.437	\$1.428	\$1.071	FTA 5307	\$0.357
8TRU76	ULSTER COUNTY PREVENTIVE MAINTENANCE	UCAT	MISC	\$3.720	\$1.392	\$2.328	\$1.104	FTA 5307	\$0.720
8TRU63	UCAT FLEET BUS REPLACEMENT	UCAT	MISC	\$0.820	\$0.000	\$0.820	\$0.000	FTA 5307	\$0.820
Total Transit									\$ 2.954
Total FHWA and FTA Funds Obligated in 2014 \$ 12.212									



Endnotes:

ⁱ Refer to Year 2035 UCTC L RTP, *Table 6-2: Total Anticipated Funding Resources Compared to Needs*, page 6-13. \$15m is calculated by adding the Federal Highway Administration Funds 2011-2015 column (omitting IM and STP Rail) and dividing across the five-year program span. Therefore, $\$75.86\text{m}/5 = \sim\$15\text{m}/\text{year}$.

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