



UCTC

ULSTER COUNTY TRANSPORTATION COUNCIL

**FFY 2020 ANNUAL FEDERAL AID
OBLIGATION REPORT**

Reporting Period
October 1, 2019 to September 30, 2020

February 2021

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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 **\$102.596 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 2020. Of that, \$95.396 million in federal aid was obligated for state projects in 2020. A total of \$1.307 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 \$5.893 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, private carrier Adirondack Trailways, and private non-profit agencies RUPCO and NYSARC.

The UCTC 2020-2024 TIP lists a total of 36 state and local highway, bridge, enhancement, or transit projects that had funds programmed for obligation in 2020, totaling \$87.053 million in *potential* obligations. An additional 7 projects not listed on the UCTC TIP with phases listed in FFY2020 obligated funds totaling \$18.966 million. The FFY20 obligation total for programmed projects on the UCTC TIP of \$83.630 million in federal dollars indicates that the yearly obligation rate for projects programmed for 2020 on the UCTC TIP is 96.1%. Obligation rate for state highway, bridge and trail projects for FFY2020 was 97.3% while the obligation rate for local highway, bridge and trail projects was 59.8%. 95.3% of FTA funds were obligated for transit projects.

The high obligation rate for state projects 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 2020 obligation report the second 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 2020

Reporting Period: October 1, 2019 to September 30, 2020

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

PIN	PROJECT DESCRIPTION	PROJECT SPONSOR	PROJECT PHASES OBLIGATED IN FFY 2020	TOTAL FEDERAL FUNDS PROGRAMMED ON 2020-24 TIP	FEDERAL FUNDS SCHEDULED FOR OBLIGATION FFY 2020	FEDERAL FUNDS REPORTED AS OBLIGATED FFY 2020	FUND SOURCE
STATE PROJECTS							
801846	Route 28 Esopus Creek Bridge replacement	NYS DOT	CONST, CONINSP, ROWACQU	22.504	22.504	21.341	NHPP
817749	Route 209/Fantine Kill Bridge superstructure replacement	NYS DOT	CONST, CONINSP	3.08	3.08	3.423	NHPP
823954	Paving Route 9W: Orange/Ulster Line To Chapel Hill Rd	NYS DOT	CONST, CONINSP	5.28	5.28	5.231	NHPP
880862	Rehabilitation of the Wurts St Bridge	NYS DOT	CONST, CONINSP, DETLDES, ROWACQU, ROWINCD	46.000	46.000	44.372	NHPP, STBG FLEX
881126	I587 @ Albany Ave Intersection Reconstruction	NYS DOT	CONTS, CONINSP	0.000	0.000	5.621	NHPP, HSIP
881282	Bridge rehabilitation Town Of Ulster	NYS DOT	CONST	0	0	11.232	NHPP
881354	Route 213 Sidewalks	NYS DOT	PRELDES, DETLDES, CONST, CONISP	0.888	0.888	0.765	STBG Flex
881451	Multi-County culvert replacements	NYS DOT	PRELDES, ROWINCD	3.431	0.386	0.750	NHPP
882380	Ulster Poughkeepsie Link Service	NYS DOT	OPER	1.440	0.288	0.288	STBG Flex
882407	Town of Rosendale Park and Ride lot	NYS DOT	MISC	0.520	0.260	0.260	STBG FLEX
893294	Route 209/Catskill Branch Railroad Crossing	NYS DOT	CONST, DETLDES	0	0	0.295	HSIP RR
893313	Milton Landing Park - CSX: Pedestrian Crossing	NYS DOT	DETLDES	0	0	0.026	HSIP RR
893314	Flatbush Avenue @ CSX Crossing improvements	NYS DOT	CONST, DETLDES	0	0	0.810	HSIP RR
893315	Foxhall Ave @ CSX Crossing improvements	NYS DOT	CONST, DETLDES	0	0	0.917	HSIP RR
8EST04	Empire State Trail: Dutchess And Ulster Counties	NYS DOT	CONST	0	0	0.066	STBG FLEX
					78.686	95.396	121.2%
LOCAL PROJECTS							
805111	CR 7 & 8 (NY 299) Shoulder Widening	Ulster County DPW	DETLDES, ROWACQU	4.422	0.163	0.000	STBG FLEX
817747	Route 209 Sidewalk Improvements	Town of Wawarsing	ROWACQU	0.796	0.116	0.000	STBG FLEX
875804	Kingston Rail Trail	City of Kingston	DETLDES	1.936	0.037	0.000	STBG FLEX
875927	Clinton Avenue/North Gully Bridge Rehabilitation	Village of Ellenville	ROWACQU	1.380	0.020	0.000	STBG-OFF
876161	Peck Hollow Rd over the Peck Hollow Stream bridge replacement	Town of Shandaken	ROWACQU	0.705	0.030	0.004	STBG-OFF
876175	Fantinekill Bridge Replacement: Samsonville Rd CR3	Ulster County DPW	PRELDES, DETLDES, ROWACQU	1.247	0.213	0.000	STBG-OFF
876176	Zena Rd/Sawkill Creek Bridge Replacement	Ulster County DPW	ROWACQU	1.264	0.217	0.001	STBG-OFF
876182	Ulster County Midtown Linear Park	Ulster County DPW	ROWACQU	1.376	0.088	0.020	TAP FLEX
876184	Henry St Pedestrian Improvements	City of Kingston	ROWACQU	1.210	0.020	0.000	TAP SM URBAN
876200	Hudson Valley Rail Trail Restoration Project	Town of Lloyd	DETLDES, CONST	0.181	0.181	0.181	REC TRAILS
876248	Henry W Dubois Dr Bike & Pedestrian Lanes	Town of New Paltz	PRELDES, DETLDES, ROWINCD	2.194	0.448	0.448	TAP LG URBAN
876254	Flatbush & Foxhall Ave Accessibility Improvements	City of Kingston	PRELDES, DETLDES, ROWINCD	3.615	0.549	0.5488	TAP FLEX
876255	Highland Streetscape Improvements	Town of Lloyd	PRELDES, DETLDES, ROWINCD	0.672	0.104	0.1048	TAP FLEX
					2.186	1.307	59.8%
TRANSIT PROJECTS							
8TRU14	Project Administration For UCAT	UCAT	MISC	-	0.328	0.328	FTA 5307
8TRU50	UCAT Operating Assistance	UCAT	MISC	-	0.450	0.450	FTA 5307
8TRU66	Normal Fleet Bus Replacement	UCAT	MISC	-	0.120	0.120	FTA 5307
8TRU67	Citibus Operating Assistance	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	-	0.140	0.140	FTA 5307
8TRU75	UC Capital Cost Of Contracting	ADK TRAILWAYS	MISC	-	2.206	2.206	FTA 5307
8TRU76	Preventive Maint. For UCAT	UCAT	MISC	-	0.644	0.644	FTA 5307
8TRU78	Normal Fleet Bus Replacement	UCAT	MISC	-	0.575	0.575	FTA 5307
8TRU80	Section 5310 Program UCAT	UCAT	MISC	-	0.200	0.200	FTA 5310
8TRU81	Section 5339 Program Kingston UZA	UCAT	MISC	-	0.200	0.200	FTA 5339
8TRU82	Section 5339 Program Poughkeepsie UZA	UCAT	MISC	-	0.450	0.450	FTA 5339
8TRU95	Ulster County Commuter Services. - Adirondack Trailways Maintenance Facility Expansion	ADK TRAILWAYS	DETLDES	2.400	0.288	0.000	FTA 5307
8TU004	Section 5310 Bus Purchase For Ulster-Greene Putnam NYSARC	ULSTER	MISC	-	0.115	0.115	FTA 5310
8TU005	Section 5310 Bus Purchase For RUPCO, Inc.	ULSTER	MISC	-	0.095	0.095	FTA 5310
					6.181	5.893	95.3%