

**SECTION I -  
NARRATIVES**



## INTRODUCTION AND OVERVIEW

### Overview of the Capital District Transportation Committee

The Capital District Transportation Committee (CDTC) is the designated Metropolitan Planning Organization (MPO) for the Capital District Transportation Management Area (TMA) which includes the metropolitan area of Albany, Rensselaer, Saratoga and Schenectady counties, with the exception of the Glens Falls urban area, which extends into northern Saratoga County. As the MPO, CDTC, in cooperation with the New York State Department of Transportation (NYSDOT) and the Capital District Transportation Authority (CDTA), is responsible for carrying out the continuing, comprehensive, coordinated transportation planning process for the Capital District region. Part of the planning responsibility is the maintenance of a long-range Regional Transportation Plan (RTP). CDTC's most recent RTP is called *New Visions*. Additionally, the Committee is responsible for maintaining short-range Transportation Improvement Programs (TIP's) for the metropolitan area's major highway and transit facilities.

The CDTC Policy Board is composed of representatives of local governments and transportation agencies. Its membership includes the chief elected officials of each of the region's eight cities and four counties and members representing the area's towns and villages. Representatives of NYSDOT, CDTA, the Capital District Regional Planning Commission (CDRPC), the New York State Thruway Authority, the Albany County Airport Authority, and the Albany Port District Commission complete the roster. The Federal Highway Administration (FHWA) and the Federal Transit Administration (FTA) serve as advisory members to the Committee. Through this intergovernmental forum, local and regional transportation issues are discussed, and transportation policies and programs are developed. Further information concerning the organizational structure of CDTC, its responsibilities and the responsibilities of member organizations, is presented in CDTC's Continuing Operations Plan (Prospectus) and in *A Reference Guide to the CDTC*, March 2014.

### Overview of the Transportation Improvement Program

One of the important responsibilities of CDTC is to program for the implementation of the products of the planning process through development of a staged multi-year program of transportation improvements (the Transportation Improvement Program or TIP). Federal regulations require that transit, highway and other transportation improvement projects within the Capital District metropolitan area be included in this TIP if these projects are to be eligible for federal capital or operating funding from Titles I, III and IV fund sources (see appendix C for a list of these fund sources). The program should also include, for informational purposes, non-federally funded projects and New York State Thruway Authority projects located in the region. Sufficient information must be given in project listing to:

- ◆ identify each project;

- ◆ estimate total costs and the amounts of federal, state, and local funds proposed to be obligated by project phase during the program period by federal fiscal year against those costs;
- ◆ designate the proposed type of federal funds to be used by the project;
- ◆ identify the responsible party for project implementation;
- ◆ note the exempt/non-exempt status for air quality conformity purposes, and
- ◆ identify the planning reference from which each project was derived (23 USC §134 (a)(h) or FTA §8(a)(h)).

Appendix C contains a complete list of all funding programs required to be included in the TIP. All projects in the CDTC TIP are located within a defined metropolitan area boundary, for which the air quality designation is consistent throughout. Therefore, individual project listings do not specify location in terms of metropolitan versus non-metropolitan or attainment versus non-attainment designation.

In addition, the TIP should indicate present estimates of total TIP costs and revenues for the program period. The TIP must be constrained to estimates of federal-aid revenue attributable to the CDTC area by federal fiscal year (10/1 to 9/30). Meeting this requirement has necessitated adjustments to project schedules, and certain assumptions regarding the use of flexibility among federal-aid fund sources. Project Selection Procedures, presented on page 45, provide flexibility necessary when CDTC's TIP is incorporated in the State Transportation Improvement Program (STIP).

The TIP must also meet the requirements established by the 1990 amendments to the Clean Air Act (42 USC Sections 7140 et seq.) regarding the conformity of transportation plans and programs. This Air Quality Conformity finding begins on page 57. Federal regulations also require that the TIP be approved by CDTC as the MPO for the Capital District metropolitan area, undergo a minimum 30-day public comment period, and that a public meeting be held (23 CFR §450.324(c)).

The public review period was from March 29, 2016 until May 29, 2016. A summary of those comments appears in Appendix F.

## **THE NEW YORK STATE DOT FORWARD FOUR INITIATIVE**

### **Introduction**

In May 2012, the New York State Department of Transportation informed MPO members of new policies it was instituting for the spending of transportation funds on their roads and requested that those policies to be implemented for all federal-aid spending by the MPO's, such as CDTC. The policies are referred to as the "Forward Four", which refers to four forward looking principles: Preservation First; System Not Projects; Maximize Return on Investment; and Make It Sustainable. How these principles potentially affect the programming of federal funds on the TIP is summarized below with excerpts from the Program Update Guidance and Instructions SFY 2012 to SFY 2016 published by the New York State Department of Transportation, August, 2011, which was reiterated in the TIP/STIP Policy Guidance and Instructions, For the Update Period Beginning October 2016.

### **Principal One: Preservation First**

The primary focus is on system preservation and safety. Expected resources will not support a "build new" or "worst first" approach but must have a "preserve what we have" approach. A preservation first strategy focuses on preventive, corrective and demand work using Asset Management principles and data driven decision making. The highest priority is to preserve the functionality of the existing highway system. It is very important to recognize that a preservation first strategy is a long term commitment and will take years before we fully achieve the desired results. Inherent in this approach is a short term decline in conditions as resources are concentrated on stabilizing the backlog of preservation candidates. Once these assets are in the lower-cost preservation cycle, the future year savings are applied to other candidates to bring them into a state of good repair.

### **Principal Two: System Not Projects**

Where warranted, we must also strategically advance a limited number of system replacement and expansion projects that promote economic development, livability, and system connectivity.

### **Principal Three: Maximize Return on Investment**

We will replace bridges and highways only when absolutely necessary. We will perform focused rehabilitation work, fixing only those elements in need of repair, when we determine we can buy significant life with limited investment. We will do preservation work timed appropriately within the "window of opportunity". We will target safety improvements based on accident data that identifies locations where the largest reduction in accident can be achieved for the least dollars. We will constrain the scope of work to what is required to

achieve the full remaining life of the asset and include mobility and modernization projects only when it makes strategic and economic sense.

### **Principal Four: Make It Sustainable**

We will focus on ways to preserve our existing transportation system; incorporate sustainability considerations into our decisions and actions; and support opportunities for innovation, economic growth and development. This must be done in a fiscally responsible manner by considering life cycle cost as well as fiscal cycles.

### **Strategies and Priorities**

In addition to the four principals summarized above, the NYSDOT guidance includes strategies and priorities that, if followed by the MPO, would have a practical impact on programming the TIP. The NYSDOT guidance is a change from past update efforts to one where the focus is on preserving and extending the life of our assets, maintaining and operating our system in a safe and reliable manner, and recognizing the importance of location or system criticality to its users. The guidance provides the following hierarchy of priorities, which is expected to guide actions and influence programming decisions:

- 1) Demand Response: Safety of the system is the key component. Keep the system safe and reliable through: demand and corrective maintenance to structures; demand maintenance to pavement and roadside appurtenances; and response and restitution of system closures/restrictions due to human and/or natural emergencies.
- 2) Preservation: Preserve the system through preventive maintenance and additional corrective maintenance actions.
- 3) Enhance Safety: Enhance the safety of the system through nominal and substantive safety countermeasures, including “systematic” improvements and spot locations.
- 4) System Renewal: Strategically address system critical bridge replacements/major rehabs, pavement rehabs and reconstructions. System renewal projects are considered “Beyond Preservation” projects.
- 5) Modernization: Improve the system through strategic added capacity projects (e.g., HOV lanes), major widening, addition of lanes, rest areas, or other enhancements to existing facilities. Modernization projects are considered “Beyond Preservation” projects.

## FAST ACT

### Overview

On December 1, 2015, the Fixing America's Surface Transportation Act, (FAST Act) was signed into law, funding surface transportation programs for federal fiscal years (FFY) 2016-17 through 2020-21. Overall funding in the law starts at about 5% higher than in FFY 2015-16 and increases slightly more than 2% each year after that.

CDTC's 2016-21 TIP Update was underway when the FAST Act became law. The five years of the FAST Act coincide with the five years of the CDTC 2016-21 TIP. Fund sources changed very little.

As it pertains to the CDTC TIP, the FAST Act differs from MAP-21 in some minor ways.

### Safety Funding

Federal legislation includes several ways to use the Highway Safety Improvement Program (HSIP) funding. The below describes how this funding is used under the FAST Act for highways. The fund source for this in CDTC's TIP is "Safety".

The FAST Act (FAST Act § 1113; 23 U.S.C. 148) continues the overarching requirement from MAP-21 that HSIP funds be used for safety projects that are consistent with the State's data driven, comprehensive strategic highway safety plan (SHSP) and that correct or improve a hazardous road location or feature or address a highway safety problem. States are required to have a safety data system to perform problem identification and countermeasure analysis on all public roads, adopt strategic and performance-based goals, advance data collection, analysis, and integration capabilities, determine priorities for the correction of identified safety problems, and establish evaluation procedures. HSIP projects must be identified on the basis of crash experience, crash potential, crash rate, or other data-supported means (23 USC 148(c)(2)(B)).

Under MAP-21, the HSIP statute listed a range of eligible HSIP projects. However, the list was non-exhaustive, and a State could use HSIP funds on any safety project (infrastructure-related or non-infrastructure) that met the overarching requirement. In contrast, the FAST Act limits HSIP eligibility to only those listed in statute—most of which are infrastructure-safety related. In addition, the FAST Act specifically identifies the following activities on the inclusions list:

1. Installation of vehicle-to-infrastructure communication equipment.
2. Pedestrian hybrid beacons.
3. Roadway improvements that provide separation between pedestrians and motor vehicles, including medians and pedestrian crossing islands.
4. Other physical infrastructure projects not specifically enumerated in the list of eligible projects.

The FAST Act continues the prohibition on the use of HSIP funds for the purchase, operation, or maintenance of an automated traffic enforcement system (except in a school zone). [FAST Act § 1401] Workforce development, training, and education activities remain an eligible use of HSIP funds [23 U.S.C. 504(e)] except as provided in 23 U.S.C. 120 and 130, the Federal share is 90%.

### **NHPP Funding**

Under MAP-21, NHPP funds could be spend on Interstate roads, NHS roads, and federal-aid bridges on either of those systems. The FAST Act also allows for NHPP funds to be spent on the reconstruction, resurfacing, restoration, rehabilitation, or preservation of a bridge on a federal-aid highway that is not on the NHS. To use this additional provision, States must ensure any obligations required under 119(f), NHS Bridge Condition requirements, are satisfied.

### **Freight Funding**

The FAST Act initiates two new capital programs for freight: 1) the National Highway Freight Program, and 2) The Nationally Significant Freight and Highway Projects Program. The National Highway Freight Program is a formula program (New York is expected to receive \$266M over five years) for infrastructure and operational improvements on the National Freight Network. 10% of the funding may be used on non-highway intermodal freight projects. The Nationally Significant Freight and Highway Projects Program is a discretionary program intended to primarily fund large projects (greater than \$100M in cost) with a smaller federal share.

The first round of project application was announced by USDOT late in CDTC's 2016-21 TIP Update. Consequently, there are no projects on the 2016-21 TIP utilizing either of these programs. CDTC will look for ways to take advantage of these funds as appropriate.

### **Other Funding**

Additionally, the new Surface Transportation Block Grant (STBG) incorporates some programs from previous legislation. This includes the federal TAP program from MAP-21, which continued the STP Enhancement program from previous legislation. TIP projects that have been funded with STP Enhancement or the MAP-21 TAP funding that weren't obligated by the beginning of the FAST Act utilize the funding from their otherwise discontinued fund sources.

## **2016-21 TIP UPDATE**

### **Introduction**

The 2016-21 TIP Update was the second TIP Update following the initiation of the New York State Forward Four (page 5) initiative to change the manner in which transportation funds are spent. This time, CDTC was more able to accommodate these principles.

Following the guidance provided by the NYSDOT Main Office to its Regions, CDTC started the update process with the following expectations:

1. Most of the funding would be spent on “Preservation First” projects. These are defined below.
2. Some funds could be spent on “Beyond Preservation” projects if those projects met specific criteria.
3. Some HSIP (Safety) eligible candidate projects would be evaluated by NYSDOT following a statewide solicitation, while some would or could be evaluated and solicited for by CDTC.

### **Estimation of Available Funds**

Estimating available funds is mandated by federal law to be cooperative between the State, the MPO and transit authority. For the 2016-21 TIP Update, the NYSDOT Main Office set aside highway funds for statewide initiatives, then provided allocations to its regions. Region One then produced proposed budget estimates for the CDTC area, using the Regional allocation. The planning targets proposed by Region One were accepted by the Planning Committee and used for programming. It is CDTC’s understanding that the final TIP reflects reconciliation of resource estimates for the CDTC area with those for the balance of the entire NYSDOT Region One area.

The new State TIP (STIP) will take effect October 1, 2016 and cover the period through September 30, 2020 (the four-year STIP period). The TIP will cover an additional federal fiscal year (FFY), running through September 30, 2021 (covering CDTC's full five-year period).

Available transit funds in this TIP were obtained from CDTA.

### **Preservation First Projects**

“Preservation First” projects preserve the system through preventive maintenance and additional corrective maintenance actions. These projects do not involve new construction or reconstruction; or replacement of a bridge. Rather, they seek to maintain the existing infrastructure. For bridges, this includes element specific work, which affects the repairs on only the deficient “elements” of a bridge, mitigating the need to reconstruct the entire bridge.

For pavements, this includes treatments limited to preventive and corrective maintenance, and does not include major rehabilitations and reconstructions. The Planning Committee followed these guidelines without formal action.

### **Beyond Preservation Projects**

Generally, projects that do not meet the NYSDOT definition of “Preservation First” are called “Beyond Preservation” projects. “Beyond Preservation” projects include system renewal projects that address bridge replacements and major rehabilitations; and pavement rehabilitations and reconstructions. NYSDOT has documented criteria that it will use to qualify projects as “Beyond Preservation” in its publication, TIP/STIP Policy Guidance and Instructions For the Update Period Beginning October 2016, beginning on page 14.

### **Year of Expenditure and the TIP**

During the approval process of the State Transportation Improvement Program, NYSDOT is expecting to provide FHWA and FTA with a detailed report of how the project costs in there expect year of expenditure is addressed.

Cost estimates provided by NYSDOT include increases for inflation as detailed below:

<b>SFY</b>	<b>Simple Year Over Year Inflation</b>
2015-16	0.00%
2016-17	2.00%
2017-18	4.00%
2018-19	6.00%
2019-20	8.00%
2020-21	10.00%

### **Evaluation of Candidate Projects**

For many years, CDTC has used its own Project Information Procedure to evaluate the candidate projects. The procedure is documented in Appendix H. Just prior to the 2016-21 TIP Update CDTC introduced a replacement to the qualitative portion of the procedure and a change of emphasis in the evaluation. The creation of this and how it relates to the 2016-21 TIP project selection process in detailed beginning on page 11.

## **THE EVALUATION OF QUALITATIVE PROJECT BENEFITS IN THE 2016-21 TIP PROJECT SELECTION PROCESS**

### **Introduction**

At the April 1, 2015 Planning Committee meeting CDTC Staff introduced a draft of the new merit scoring criteria to be used in project evaluations for the 2016-21 Transportation Improvement Program (TIP) update. The objectives of the new merit scoring criteria included:

- Providing a direct link between our New Visions 2040 principles, recommendations, and funding priorities and our TIP project selection so that project selection directly reflects the New Visions priorities, as required.
- Providing an easily adjustable evaluation system for when New Visions priorities change.
- Provide scores for non-quantifiable project benefits.
- Provide scores for benefits that are not included in the benefit/cost (B/C) ratio calculation.
- Providing an explicit, transparent, easily understood and complete evaluation system that better reflects the project value.
- Replacing the use of “filters” and “networks” that were not easily understood in project evaluations and potentially biased the process against rural projects.
- Augmenting, not replacing, the project B/C ratio.
- Providing incentives for sponsors to include beneficial project features in project scopes.

### **Development**

During the April meeting staff reviewed the process that was used to develop the new draft merit scoring criteria including interviewing CDTC Staff, examination of several precedents and MPO examples of best practices, and the review of relevant existing CDTC documents. Staff examined the merit scoring systems used by 13 large to medium MPOs. Seven of these MPOs used a merit scoring system, while the other MPOs’ project evaluation systems were not as explicit or transparent. The 7 MPO merit scoring systems were then analyzed in more detail. The CDTC’s new merit scoring system most closely mirrors the project evaluation systems used in:

- Nashville, Tennessee
- Boston, Massachusetts
- Seattle, Washington
- Syracuse, New York.

Some of the other MPOs with evaluation systems similar to CDTC’s includes:

- San Diego, California

- Richmond, Virginia
- Winston-Salem, North Carolina
- Northern New Jersey
- Mid-Ohio (Columbus)

During this meeting staff then reviewed the findings developed from the interviews and examinations, and discussed the recommendations. Staff handed out a draft of the merit scoring categories, and received many valuable comments from Planning Committee members regarding the use of negative scoring points, the distributions of points, and the categories themselves. Staff also received many positive responses, and finally staff reviewed the next steps.

In the following months, staff worked diligently to address the Planning Committee's and the Policy Committee's comments, and to produce the definitions or criteria for each of the numerical values in the proposed merit score sheet.

### **Testing**

Staff also tested the new evaluation system on a representative sample of 15 projects from our previous TIP project solicitations. Staff compared like projects with other like projects, i.e. pavement preservation projects with other pavement preservation projects; and assumed that the maximum merit score for each project would be 67 points and the maximum B/C ratio would be 33 points for a total project score of 100 points.

The test demonstrated that the merit scoring criteria were very clear, objective and easy to use. In the test a transit project achieved the highest merit point score, with 31 merit points. This indicates that although a score of 67 merit points is theoretically possible, in practice it would be very rare to exceed 30-35 merit points. The average merit point score in the test was 13 points. On average, the B/C ratio represented 50% of the total project score (among non-transit projects). The total project scores were relatively low in the 20's and 30's (out of 100 points), because project sponsors had not included many qualitative benefit descriptions in their previously-submitted project justification packages (applications). As a result, the total project scores in the test primarily reflected the original project B/C ratios. Staff believed that these tests were successful, and proved the effectiveness of the new merit scoring system.

At the November 4, 2015 Planning Committee meeting, staff summarized the above test results and distributed a handout about the Nashville TIP merit evaluation process, which has been used successfully for ten years. The following benefits of the proposed merit scoring criteria were again summarized:

- The merit scoring criteria are focused on creating a direct link to the New Visions Plan, since the TIP is required to be consistent with the New Visions Plan.
- The merit points reflect the project's qualitative benefits, and not the quantitative benefits found in the B/C ratio, i.e. care was taken to avoid double counting.
- The merit scoring process is transparent and easy to understand. It would replace the

- sometimes confusing filters and priority networks scoring.
- The B/C ratio would still be a very important part of the total score for each project.
  - The new scoring system is intended to incentivize New Visions project features.

At the November meeting staff also explained that, as with the current project evaluation methodology, in the proposed system the Committee would still have discretion to select projects by considering other factors, such as sponsor's project priorities and geographic balance over the entire CDTC region. Staff also said that because the B/C ratio will still be used, projects on higher volume facilities will continue to have some advantage. Finally staff explained that merit categories are balanced, i.e. projects that may not score well in some merit categories would do well in other categories. For example, interstates and some other highways that may not score well in the complete streets category would score well in the regional benefits and economic development categories.

At several Planning Committee meetings, members had discussed several options for changing the weight given the merit score and the B/C ratio, including assigning them the same weight (50 points each) and assigning the B/C ratio more points than the merit score. As a result in the November 18, 2015 Planning Committee meeting staff reviewed two scenarios – one where the maximum merit score would be 67 points and the maximum B/C ratio would be 33 points for a total project score of 100 points, and another where the maximum merit score would be 50 points and the maximum B/C ratio would be 50 points for a total project score of 100 points.

### **Use During the 2016-21 TIP Project Selection Process**

At the December 2, 2015 Planning Committee meeting, CDTC Staff and NYS DOT staff offered a joint proposal to solicit and evaluate projects using the following proposed approach. That approach included calculating each project's B/C ratio using the previously developed methods; determining each project's merit score using the proposed merit scoring categories, criteria, and score sheet; and assigning 50 points for the maximum merit score and 50 points for the maximum B/C ratio. The project evaluation results would then be reviewed by members to determine reasonableness and fairness. Based on these results, 3 possible next steps were discussed: (1) the results look good and proceed with programming; (2) provide minor adjustments to the process; (3) results are skewed and a major adjustment is needed – therefore create set-asides for later programming. A motion was made to proceed with a formal new project solicitation and the proposed staff evaluations of projects. Members approved the motion. A copy of the final merit scoring categories, criteria, and the merit score sheet are shown Appendix H, Non-Quantified Project Benefits, on page H-17.

By submission deadline of January 22, 2016 members had submitted 122 candidate projects. Staff reviewed all these projects for federal eligibility, determined that 119 were eligible, and evaluated all 119 projects calculating both a B/C ratio and merit score for each project. On February 17, 2016 staff sent project sponsors the project evaluation results for only their projects, and received several comments from sponsors. A few of the project evaluations were modified based on additional information provided by project sponsors.

At the March 2, 2016 Planning Committee meeting, members thought that the merit scores were reasonable and fair, were satisfied with the project evaluations (B/C ratios and merit scores) and used these evaluations to program 41 new projects in the 2016-21 TIP. Copies of all the documents referred to in the above paragraphs can be found on the CDTC website as part of the appropriate Planning Committee meeting's materials.

## **PROGRAMMING PROJECTS IN THE 2016-21 TIP**

### **Overview**

The goal of CDTC is to produce a “balanced” TIP that contributes to implementation of the New Visions 2040 Plan. The CDTC approach meets both the letter and spirit of federal regulations by allowing CDTC to look at the array of projects and their relative merit, and to establish a program that best implements the range of goals included in the metropolitan transportation plan.

Programming projects during the 2016-21 TIP Update consisted of several steps, some of which required the completion of previous steps, while some could be conducted in parallel with others. Therefore, the following steps are not in a strict sequential order:

- 1) **Annual Total Budget Estimates:** Estimates of total annual funding for CDTC was proposed by NYSDOT Region One, discussed with CDTC Staff, discussed with the Planning Committee, and finally, adopted by the Planning Committee.
- 2) **Solicitation for and Evaluation of Project Candidates:** Based on the total annual budget estimates and a rough estimate of the cost of existing projects, it was evident that sufficient funding existed to fund new projects. A qualitative evaluation was developed by CDTC Staff and approved for use by the Planning Committee for this TIP Update. The use of this new procedure is documented in this document, starting on page 11.
- 3) **Existing Projects:** Existing TIP projects for which federal-aid funds had already been obligated were not required to re-apply for approval as if it were a new project. Other existing TIP projects and those included in the post five-year period were discussed individually by the Planning Committee. The Planning Committee acted on each to include it in the 2016-21 TIP, include it in in the post five-year period, to require it to be treated as candidate project, or to not include it in the 2016-21 TIP in any way (this could be considered to be “removal” of the project).
- 4) **DOT Maintenance:** NYSDOT Region One proposed that about \$22.5M annually be programmed for routine maintenance activities on state roads. These projects were added as Regional Set-Asides (in some cases continuing existing set-asides) and added to the 2016-21 TIP outside of the solicitation and evaluation process.
- 5) **Transit Fund Sources:** CDTA proposed projects (in most cases continuing existing projects) to be funded with transit fund sources. These projects were approved as proposed.
- 6) **Annual Budget Estimates By Fund Source:** Estimates of annual funding by fund source was proposed by NYSDOT Region One and adopted by the Planning Committee. This was a refinement of the total annual funding referred to above.

- 7) **Programming Transit Projects:** Some transit projects were included in the 2016-21 TIP, funded with highway funds, outside of the solicitation and evaluation process. These are RG130 (Travel Demand Management & Multimodal) and RG131 (Bus Rapid Transit).
- 8) **Low Volume Roads:** Before programming individual evaluated projects, \$1M per year was set-aside for low volume roads, bridges and culverts. This is detailed in the Low Volume Set-Aside section on page 27.
- 9) **Bike/Ped Setaside:** Before programming individual evaluated projects, \$1M per year was set-aside to replenish RG103, CDTC’s bike/ped setaside. The funds were used for the programming of projects during the competitive portion of project programming.
- 10) **Programming New Projects:** After all of the above steps, projects treated as candidates were considered for inclusion in the 2016-21 TIP. Projects were programmed with regard to NYSDOT preservation goals and fund source limitations.

Along with other issues pertinent to the programming of projects in the 2016-21 TIP Update, some of the above steps are expanded upon below.

### **DOT Maintenance**

Due to various factors, including the discontinuation of the Interstate Maintenance (IM) and HBRR fund sources, some funding was set aside for DOT Maintenance. These projects are treated as regional set-asides to be implemented as block funding, according to the definition of block funding set asides below. Some of these set-asides existed in the 2013-18 TIP, while others are brand new. Bridge Inspection set-asides were eliminated because they are being funded at the state level. Projects included in the 2016-21 TIP for DOT Maintenance are listed below. They also include a designation for set-aside type, Block or Placeholder, as described in the section “Types of Regional Set-Asides” on page 17.

- RG15, 1810.10, Durable Pavement Markings Set-Aside, Block
- RG23, 1810.06, Traffic Signal Set-Aside for State Roads, Block
- RG37, 1806.61, HELP Program, Block
- RG37A, 1809.48, TMC Operating Costs, Block
- RG37B, 1809.49, TMC Engineering Support, Block
- RG37C, 1809.50, TMC ITS Set-Aside, Block
- RG118, 1810.07, ADA Compliance Set-Aside, Block
- RG132, 1809.96, Rustic Rail Replacement, Block
- RG133, 1810.03, Guiderail Replacement, Block
- RG134, 1808.98, State Bridge Miscellaneous Preservation, Block
- RG135, 1810.04, State Culvert Replacements, Block

- RG136, 1810.07, State Miscellaneous Pavement Maintenance, Block
- RG137, 1809.02, State Slope Repairs, Block

### **Transit Fund Sources**

The funding of projects from transit fund sources was handled on a separate track from highway fund sources. CDTA proposed programming specifics to fully spend the estimated transit funding. Details of projects funded with transit fund sources are in the project listings and Appendix A. Some transit projects funded with highway fund sources are expounded upon in the section Transit Projects Funded with Highway Funds, on page 28.

### **Statewide Prioritization Program**

Generally, projects that don't fit the definition of Preservation First are considered Beyond Preservation by NYSDOT. In the 2013-18 TIP, according to NYSDOT guidelines, one way to qualify for Beyond Preservation funds is to apply for such funds via the Statewide Prioritization Program (SPP). Several members of CDTC applied for projects with the result that the below projects were selected by NYSDOT for funding after the adoption of the 2013-18 TIP and subsequently added to the TIP by amendment.

- A321 (1125.18), NY 85 Reconstruction, from the Albany City Line to I-90, City of Albany, \$18.5M
- A525 (1808.21), NY 910D (Washington Avenue Extension), NY 155 to Fuller Road Rehabilitation, City of Albany \$7.2M
- SA108, S96 (1085.42) NY 146 from Aqueduct Road in Niskayuna to Riverview Road in Rexford (Clifton Park) Corridor Improvements, \$32.5M

### **STEP Projects**

During the 2016-21 TIP Update, CDTC received no information about the NYSDOT Strategic Transportation Enhancement Program (STEP) that was initiated during the 2013-18 TIP Update.

### **Types of Regional Set-Asides**

In order to clarify how programmed funds are spent from each regional set-aside, the different types of set-asides are defined below. Each regional set-aside has been designated as one type or the other.

- 1) **Block Funding:** These set-asides are for regional projects, usually multi-year, for which CDTC has no need or desire to approve individual elements as they are identified. The responsible agency can appropriate funds and implement projects as needed without adding the specifics to the TIP. An example would be RG15 (Durable Pavement Markings Set-Aside).

- 2) **Placeholder for Specific Projects:** These set-asides act as a budgetary placeholder in anticipation of specific projects being named later. Drawdowns on these set-asides need specific scopes and limits and need Planning Committee approval to be added to the TIP with funds taken from the set-aside. For some, a sponsor can propose a project be added from the set-aside via amendment letter and for others, CDTC will solicit for projects at a later time. The advantage of this type of set-aside over adding projects at an update is that the projects are normally small and/or not identified at the time of the update. This allows for easy inclusion by amendment later.
- 3) **Regional Set-Asides Designations:** The set-asides listed below, plus the ones listed as “DOT Maintenance” on page 16 together comprise a complete list of the set-asides in the 2016-21 TIP.
  - RG29, 1755.63, CDTC Technical Services, Block
  - RG103, 1TR7.02, Bicycle/Pedestrian Network, Placeholder
  - RG130, Travel Demand Management & Multimodal, Placeholder
  - RG131, Bus Rapid Transit, Placeholder
  - RG138, Low-Volume Roads, Bridges and Culverts, Placeholder

### **New Projects**

As stated above, new projects were programmed from the list of candidates, with regard to NYSDOT preservation goals and fund source limitations. The new projects not already shown above are listed below. Greater detail is shown in the project listings.

- A564, Madison Avenue from New Scotland Ave. to Lark St.: Mill & Fill
- A565, Madison Avenue from New Scotland Ave. to South Lake Ave.: Mill & Fill
- A566, New Scotland Avenue from Manning Blvd. to Onderdonk Ave.: Mill & Fill
- A567, Pearl Street from Clinton Ave. to Madison Ave.: Mill & Fill
- A568, Hudson Avenue from Tibbits Ave to the Watervliet City Line: Mill & Fill
- A569, 1045.16, NY 377 and NY 378: Mill & Fill
- A570, I-787 Pavement Joint Preservation
- A571, Krumkill Road from Font Grove Road (CR 306) to the Normanskill: Cold in Place Recycling
- A572, I-787 NB Ramp over the SME to the SME WB: Element Specific Repairs
- A573, I-90 Bridge over Erie Blvd.: Element Specific Repairs
- A574, 1528.82, I-90 Bridge over Fuller Road: Element Specific Repairs
- A575, US 9W Bridge over I-787: Element Specific Repairs
- A576, NY 144 Bridge over the Hannacrois Creek: Renew or Replace
- A577, Voorheesville Pedestrian Connectivity
- A578, NY 32 (3rd Ave.) from 1st St. (South City Line) to Broadway: Mill & Fill
- A579, Watervliet Bike Path

- A580, NY 7 Bridge over the Hudson River: Element Specific Repairs
- A581, West Old State Road: New Sidewalk
- A582, 1933.44, Green Street Grade Crossing Signal Upgrade
- R308, NY 7 Bridge over the Hudson River: Element Specific Repairs
- R309, US 9 and 20 Sidewalk Construction from Bruen Court to the Rensselaer City Line
- R310, Sand Lake Hamlets Sidewalk Enhancements
- R311, CR 18 (Hoags Corner Road) from CR 15/51 to CR 20 (Totem Lodge Road): 1.5 inch Hot Mix Overlay
- R312, CR 68 (Snyder's Lake Road) Large Culvert Replacement with a Precast Box Culvert
- R313, NY 2 over NY 22 Bridge: Replacement
- R314, CR 129 (Tamarac Road): Replace Large Culvert with an Aluminum Box Culvert
- R315, US 9 Bridge over I-90 (Exit 11): Replacement
- R316, NY 2 Bridge over the Poestenkill: Replacement
- R317, 1001.37, NY 2 Slope Repair at the intersection with Stewart Rd.
- R318, East Street from Partition St. to Third Ave.: Reconstruction
- R319, CR 51 (Burden Lake Road) from CR 18 to CR 52 and First Dyke Road: 1 ½" Hot Mix
- SA295, Pruyn Hill Pedestrian Safety, Phase II
- SA296, Zim Smith Southern Trail Extension, From Coons Crossing to Elizabeth St. Ext.
- SA297, Ashdown Rd. Bridge over the DHRR: Replacement
- SA300, 1722.44, Bundled Bridge Removals & Replacements
- SA301, Geysler Rd. (CR 43), Avenue of the Pines and NY 50 Intersection Improvements
- SA302, CR 13 (Barkersville Fayville Road) over Cadman Creek: Bridge Replacement
- S238, NY 911F (Freemans Bridge) over the Mohawk River/Erie Canal
- S239, 1525.37, Michigan Avenue Bridge over I-890: Element Specific Repairs
- S240, Sunnyside Road from Freemans Bridge Rd. (NY 911F) to the Village of Scotia Line
- S241, Erie Blvd. from Union St. to Nott St.: Mill and Fill
- S242, Broadway from 0.12 miles south of Weaver St. to Fourth Street: Mill and Fill
- S243, Mohawk-Hudson Bike-Hike Trail Rehabilitation
- S244, Highbridge Rd. & East Campbell Rd.: Sidewalks

### **Contingent Projects**

During the programming new projects from the list of candidates, it was apparent that there are some projects that received funding, that might qualify for Safety funds at a later date. If

those projects qualify for Safety funds, it would make the funding they otherwise would have received, available for additional projects. Therefore, CDTC also named two additional projects that would receive funds if they become available by some other projects receiving Safety funds.

The projects most likely to receive Safety funds are in the TIP, funded with STP-Urban, and are shown below with their total estimated costs.

- A564, Madison Avenue from New Scotland Ave. to Lark St.: Mill & Fill, \$0.642M
- A565: Madison Avenue from New Scotland Ave. to South Lake Ave.: Mill & Fill, \$0.684M

The contingent projects are not on the federal-aid program and do not show in the project listings. They are shown below with their total estimated costs.

- Candidate #103: Highbridge Road / East Campell Road, Kings Road to Hamburg Street, Pavement Preservation, \$0.666M
- Candidate #117: Rosa Road, Wendell Avenue and Nott Street Intersection, \$0.400M

## **ADDITION OF NEW PROJECTS IN PROGRAM DEVELOPMENT**

Traditionally, projects are selected for inclusion in the TIP based on the selection cooperatively developed by the CDTC Staff, NYSDOT, CDTA, other members of CDTC's Planning Committee and other interested parties. In general, the overall process requires the identification of candidate highway and transit projects, the objective evaluation of the merits of each project, and selection of projects in accordance with a set of principles. Project selection for dedicated transit funds (FTA Sections 5307, 5309, 5310, and 5311) is considered separately.

New candidate projects are evaluated for merit in three steps.

1. **Screen:** Minimum requirements were established that each project is required to meet. These screening criteria insure that every project considered for programming has a funding plan, and is eligible for federal funds.
2. **Evaluate Merit:** A project must pass screen in order to proceed to merit evaluation. The merits of every project passing screen are evaluated and summarized on a one-page fact sheet. The merit evaluation procedure used the best available information from CDTC's models, from corridor studies, and from the project sponsor.
3. **Choose Projects:** A balanced Transportation Improvement Program (TIP) contributes to a staged regional plan for maintenance of essential facilities and services, demand management and capacity improvements. Before considering new projects, the balance of the TIP's existing commitments is examined, from a variety of perspectives -- project sponsor, geographic, and by project type. Then, projects were added to the draft TIP primarily on the quantitative and qualitative merit evaluation. This is done by project category; setting programming targets based on knowledge of the existing program balance. Prior to the 2013-18 TIP Update, this was done in two rounds. The first round added projects primarily based on the quantitative evaluation and round two funded projects for any reason, insuring an opportunity for projects whose benefits don't quantify well. But with CDTC's new evaluation procedure, which greatly enhanced the qualitative analysis, these were combined into one programming step. After public review, CDTC may program a small amount funds to additional projects, in order to respond to public comment.

The project selection process for new projects is detailed in Appendix G and the project evaluation procedure is detailed in Appendix H. CDTC follows this procedure whenever evaluating projects competing for the same funds.



## RECREATIONAL TRAILS PROJECTS

The original National Recreational Trails Funding Program was authorized by the Intermodal Surface Transportation Efficiency Act of 1991 (ISTEA). It continued under the Transportation Equity Act for the 21st Century (TEA-21) as the Recreational Trails Program. This program continued under the SAFETEA-LU legislation. Under Map-21, it continued as a set-aside of the then new Transportation Alternatives Program (TAP). Current federal legislation, the FAST Act, incorporates Recreational Trails into a new program, the Surface Transportation Block Grant (STBG). The U.S. Department of Transportation, Federal Highway Administration (USDOT/FHWA) administers the Recreational Trails Program in consultation with the Department of Interior (National Park Service and Bureau of Land Management) and the Department of Agriculture (U.S. Forest Service).

The Recreational Trails Program is a state-administered, federal assistance program to provide and maintain recreational trails for both motorized and non-motorized recreational trail use. The Recreational Trails Program legislation requires that states use 40% of their funds apportioned in a fiscal year for diverse recreational trail use, 30% for motorized recreation, and 30% for non-motorized recreation.

The New York State Office of Parks, Recreation and Historic Preservation (OPRHP) is the state agency administering this program in New York. It offers communities the opportunity to receive this federal transportation funding in support of trail development, maintenance and improvement activities. Awards can range from \$5,000 to \$100,000 with 20% match requirements.

The following is a list of eligibility requirements for proposed projects:

- ◆ The proposed project must be legally and physically accessible to the public, or be a portion of an identified trailways project which, when completed, will be legally and physically accessible to the public.
- ◆ The proposed project must be physically and environmentally developable as a trailway.
- ◆ The proposed project must be planned and developed under the laws, policies and administrative procedures of the state.
- ◆ The proposed project must be identified in, or further a specific goal of, a recreational trail plan, or a statewide comprehensive outdoor recreation plan (SCORP) required by the Land and Water Conservation Fund Act of 1965.

The following is a list of eligible activities:

- ◆ Maintenance and restoration of existing recreational trails
- ◆ Development and rehabilitation of trailside and trailhead facilities and trail linkages
- ◆ Purchase or lease of trail construction and maintenance equipment
- ◆ Construction of new trails, subject to certain conditions in cases where the new trails would cross federal lands
- ◆ Acquisition of easements and fee-simple title to property for trails or trail corridors

There are also activities specified as ineligible as follows:

- ◆ Condemnation of property or the use of the value of condemned land toward the match requirement
- ◆ "Upgrading, expanding or otherwise facilitating motorized use or access to trails predominantly used by non-motorized trail users, and on which, as of May 1, 1991, motorized use was prohibited or had not occurred" (basically, encouraging motorized use of trails historically limited to non-motorized use)
- ◆ Conducting trail feasibility studies
- ◆ Routine law enforcement
- ◆ Trail planning if it is the sole purpose of the project
- ◆ Improvements to roads and/or bridges intended to be generally accessible by regular passenger cars unless they are specifically designated for recreational trail use by the managing agency
- ◆ Construction of paths or sidewalks along or adjacent to public roads or streets unless they would complete missing links between other recreational trails.

There are also project activities that receive special consideration as funding priorities:

- ◆ Clearly and specifically provide access for the disabled
- ◆ Mitigate and minimize impacts to the natural environment
- ◆ Utilize the youth conservation or service corps to perform construction and maintenance of recreational trails
- ◆ Receive Millennium Trails recognition
- ◆ Are on National Scenic Trails, National Historic Trails or trails designated as National Recreational Trails

CDTC approved funding for this program in previous TIP's as project RG96. Since CDTC was not directly approving specific projects, it granted approval to the entire list of specific known candidates for the CDTC area. Therefore, whichever projects receive approval from the OPRHP are on the TIP for the funding approved by the OPRHP. The TIP project listing showed an estimate of funding for each year in the TIP, and was not intended to be a required minimum or maximum.

The 2016-21 TIP does not include any funding for Recreational Trails projects.



## LOW VOLUME SET-ASIDE

During the 2016-21 TIP Update, CDTC recognized the need to fund projects that don't score well in the evaluation process for the presumed reason that they are low volume facilities. Therefore, CDTC set aside \$1M per year to fund low volume (defined as having an AADT of 2000 vehicles per day or less) pavements, bridges or culverts. To be eligible, a facility must be locally-owned and eligible for federal-aid. Since bridges on non-federal-aid roads are eligible for federal-aid, they are eligible for this set-aside. Both urban and rural facilities are eligible.

The definition of "low volume" varies across the country. Less populated States, most rural regions, and smaller MPOs consider roads carrying less than 500 vehicles per day (vpd) as "low volume". FHWA's functional classification process indicates roads carrying between 1,500 and 2,600 could be classified as lower volume, depending on road location and function. As stated above, CDTC used 2000 vpd.

In CDTC's programming area, the rural federal-aid mileage totals roughly 68 center-line miles. CDTC's total local urban and rural federal-aid mileage is about 830 center line miles. Facilities carrying less than 2,000 vpd total roughly 45 miles. For reference, changing the threshold to 2,600 vpd would increase the "low volume" mileage total to 52 center-line miles.

All off-system bridges are federal-aid eligible. Based on information received from NYSDOT, large off-system culverts (5'-20') unfortunately are not federal-aid eligible except when an engineering assessment shows that a smaller culvert should be replaced by a structure. Large culverts located on facilities on the federal-aid system are federal-aid eligible.

The following projects were funded during the programming of projects during the 2016-21 TIP Update. The total funding for all projects is \$2.907M.

- A568, Hudson Avenue from Tibbits Ave to the Watervliet City Line: Mill & Fill (Total Cost is \$0.729M)
- A571, Krumkill Road from Font Grove Road (CR 306) to the Normanskill, Cold in Place Recycling (Total Cost is \$0.352M)
- R311, CR 18 (Hoags Corner Road) from CR 15/51 to CR 20 (Totem Lodge Road): 1.5 inch Hot Mix Overlay (Total Cost is \$0.085M)
- R312, CR 68 (Snyder's Lake Road) Large Culvert Replacement with a Precast Box Culvert (Total Cost is \$0.351M)
- R314, CR 129 (Tamarac Road): Replace Large Culvert with an Aluminum Box Culvert (Total Cost is \$0.613M)
- R319, CR 51 (Burden Lake Road) from CR 18 to CR 52 and First Dyke Road: 1 ½" Hot Mix Overlay (Total Cost is \$0.366M)
- S240, Sunnyside Road from Freemans Bridge Rd. (NY 911F) to the Village of Scotia Line: Cold Recycling (Total Cost is \$0.411M)

## TRANSIT PROJECTS FUNDED WITH HIGHWAY FUNDS

### Introduction

While CDTA has access to capital and operating funds through the Federal Transit Administration and Title III of the FAST Act, there are some transit projects on the CDTC TIP that utilize highway funds. However, the limited availability of federal funds coupled with large needs throughout the region for basic road and bridge infrastructure maintenance further strained resources available to transit.

During the 2016-21 TIP Update CDTC added two set-asides for CDTA use. These are detailed below.

### **RG130: Multimodal and Travel Demand Management (TDM)**

The Multimodal and TDM set-aside provides transportation options to integrate transit and other modes of travel, manage congestion, and improve mobility at the regional level. As the region's leading transportation provider, CDTA is not only interested in moving people by buses but it also supports using existing transportation infrastructure (roads and bridges) as efficiently as possible. This calls for a multitude of programs that reduce travel in single-occupant vehicles. The funding for this project is \$3.0 M over five years (\$0.60 M per year).

Specific multimodal and TDM programs include:

- Mobility Management – Carshare expansion, bikeshare implementation, travel training assistance for elderly / disabled, assistance with taxi coordination
- Pedestrian-Transit Infrastructure Improvements – Sidewalk construction, traffic calming, traffic signal improvements, crosswalk enhancements, etc. specifically targeted toward areas with existing or potential for high transit ridership
- Transit Park & Ride – Purchase or extension of existing leased park & rides, establishment of new park & rides, green infrastructure, electric vehicle technology
- Mobile Fare Collection Implementation – CDTA's new Navigator smart card and mobile fare collection system makes travel easier, which encourages people to rely on their single occupant vehicle less often, thereby decreasing greenhouse gas emissions throughout the region

### **RG131: Bus Rapid Transit (BRT)**

The BRT set-aside will assist CDTA in securing \$120 million in Federal funding to implement the new River Corridor BRT (Blue Line), Washington/Western BRT (Purple Line) and to make improvements to the existing NY5 BRT (Red Line) and other corridors in need of BRT amenities and features. These three BRT lines serve corridors containing 60% of the region's transit ridership and include all 4 counties and 11 municipalities in CDTA's service area. The

funding will be used to construct aspects of the each line (e.g. Uncle Sam Transit Center) and to leverage remaining funds from the FTA Small Starts Program. The funding for this project is \$13.7 M over five years (\$2.74 M per year).

Specific BRT investments include:

- Stations – Structure, site work, utilities, street amenities, security features, and pedestrian/bicycle safety improvements of surrounding area
- Transit Priority Infrastructure – Queue-jumpers, transit signal priority, traffic signal upgrades/replacements, bus-only rights of way
- Vehicles & Maintenance – BRT branded fleet, articulated buses, garage improvements
- Transit Centers – Construction of Uncle Sam Transit Center and Crossgates Transit Center, planning/design for transit centers in Downtown Albany and Schenectady



## **LOCAL ADVANCEMENT OF PROJECTS**

Prior to the 1997-02 TIP, TIP projects were normally advanced by NYSDOT or CDTA. Beginning with the 1997-02 TIP, local (county, town, city, village or other) agencies advanced design of projects on facilities under local jurisdiction. By the time of the adoption of the 2007-12 TIP, local agencies had brought several consequential projects through design, to construction and completion. It is now considered routine for local agencies to be the lead (or implementing) agency. It is also now assumed that a local agency is the implementer of a project under its jurisdiction.

Still, NYSDOT involvement is essential in the implementation process, both as a repository of information and as an intermediary between the local agency and FHWA. An established reimbursement procedure and Municipal Agreement process is followed. For this to occur, the understanding is that the sponsoring agency will assume the lead in project development. The lead agency also takes responsibility for ensuring consistency of the project with the scope and cost approved in the TIP. Thus, delivering the ambitious agenda of projects included in the TIP is a shared responsibility.



## **FINANCING AGREEMENT FOR ALBANY-SHAKER ROAD AND WATERVLIET-SHAKER ROAD PROJECTS**

### **Background**

In response to growing development pressures in the early 1990s that included plans to reconstruct and expand the Albany International Airport, the Town of Colonie and Albany County initiated a planning effort called the Albany County Airport Area Generic Environmental Impact Study (GEIS) to develop a comprehensive plan for addressing the impacts of future growth in the area. The GEIS recommended eleven transportation actions and a plan for financing the implementation of those improvements. The plan called for careful strategy of managing development, demand management to reduce peak hour travel, and for a public/private partnership to advance 20 major roadway and transit projects. The cost of the recommended plan totaled \$125 million. The transportation analysis determined that private resources – in the form of cash, right-of-way, and design services – should cover roughly 35-40 percent, or about \$49 million of the cost of all recommended improvements.

The plan further called for: (1) placing Northway access improvements (Exit 3 or 4) entirely in the hands of the public sector for financing; (2) covering the cost of several other projects largely precipitated by local development by a combination of developer contributions and mitigation funds; and (3) jointly financing some improvements, like the Albany Shaker Road and Watervliet Shaker Road project, with a mix of public and private funds.

### **TIP Programming of Albany Shaker Road and Watervliet Shaker Road Projects**

Largely on the strength of the GEIS initiative, the Town and County's commitment to integrated transportation and community planning, and a financing plan that respected CDTC's adopted public/private financing policy, CDTC's Policy Board added the Albany Shaker Road/Watervliet Shaker Road project to the region's Transportation Improvement Program in 1997. The project was added with the understanding that the standard funding splits (80 percent Federal, 15 percent State, and 5 percent local) would have to cover half the cost of the project. Based on GEIS development forecasts, it was assumed that a combination of mitigation funds and right-of-way donations would cover the balance of the total cost of the project.

For this project, total costs (design, right-of-way, construction, and change-order) totaled \$29.6 million. The TIP required that the public share would total no more than 50 percent of the project costs, or \$14.8 million. The balance would be covered by available mitigation funds and supplemented with other public funds which would be reimbursed with mitigation funds as they are collected.

### **Exploration of Alternative Funding Methods to Cover the Cost of the Private Share**

At the time this project was programmed, CDTC participants recognized the possibility that all the mitigation funds needed to cover 50 percent of project costs might not be "in the bank" prior to letting the project, and that it would be necessary for the County -- as owner of the two roadways -- to advance some of the project costs with County funds or bond proceeds. If this were to happen, the County would be reimbursed by mitigation funds as development occurred.

Concerns over the pace of mitigation fund receipts and Albany County's responsibilities for advancing funds to cover project costs while awaiting the collections led to exploration of alternative funding methods during the development of the 1999-04 TIP. While the development plans in the airport area and the mitigation responsibilities assigned to specific projects seeking town approval were keeping pace with expectations at the time of GEIS adoption, the amount of mitigation funds collected, unspent and in escrow was modest. This is partly because funds are not fully collected until the completion of individual development projects and partly because a good portion of the mitigation responsibilities are kept "on paper" until roadway designs are complete and right-of-way credit is determined. The current 2008-10 recession further slowed the collection of mitigation funds because of the slowdown in new development in the Airport area and elsewhere in the Town.

### **The CDTC-NYSDOT-County-Town TIP Agreement**

Under federal law, CDTC may finance projects at any federal participation level up to 80 percent. Thus, no outside approval is needed for CDTC to use federal funds to cover up to 80 percent of the private share of the Albany Shaker and Watervliet Shaker Road projects at the time the funds are obligated, and replenish these funds to the TIP as mitigation costs are collected. With this in mind, CDTC adopted the following provisions in 1999 to govern the financing of these two projects:

1. Albany County committed to full 20 percent non-federal share for remaining public share of the two projects, and would receive Marchiselli funds to offset 75 percent of this share.
2. CDTC committed to cover up to 80 percent of the private half of projects and established procedures for mitigation costs to replenish these funds to the TIP.
3. Mitigation costs "in hand" at the time of the loan would be applied against the requirement for a 20 percent match on the federal share for the private half. Any additional mitigation funds in hand at the time of the loan would reduce the size of the federal commitment on the private half of the projects.
4. As further mitigation costs assigned to the corridor are received by the Town, these funds are to be held in escrow by the Town. They would then be applied to other TIP projects in the GEIS area to reduce the public share of these other projects. For

example, they could be applied through a "betterment" agreement between the Town and State to reduce the Federal costs of intersection improvements related to project A240 (Exit 3) or similar planned actions that are slated for Federal funding.

5. CDTC retained the liability to adjust future TIP commitments should mitigation costs prove insufficient over time. Should mitigation costs prove insufficient, CDTC will end up having committed a greater amount of federal funds on these projects than initially intended, but will also end up having a facility with greater reserve capacity for through traffic than initially intended. The final federal share would end up being a share that matches the CDTC public-private financing policy.
6. When mitigation funds reach a total that covers the repayment installments, additional funds are to be kept in escrow to undertake future improvements in the corridor.

In addition to CDTC approval, NYSDOT, CDTC, Albany County, and the Town of Colonie agreed to jointly concur on financial responsibilities, mitigation cost transactions, and future betterments. This practice does not require formal NYSDOT or Federal concurrence.

#### **Distribution of Mitigation Fees to the Albany Shaker Road And Watervliet Shaker Road Projects**

As of April 1, 2016 roughly \$24 million in development mitigation funds and right-of-way contributions have been collected for all Airport area FGEIS projects, of which \$11 million, including about \$3 million in right-of-way and other credits, has been allocated to the Albany Shaker Road and Watervliet Shaker Road projects. CDTC has covered the entire \$15.0 million mitigation share with federal-aid, and includes the \$7.7 million shortfall at the time the projects were let in 2001. (Including construction cost increases, the shortfall totaled \$10.6 million). As of April 1, 2016, it looks like an additional \$5.2 million in mitigation funds will be needed to "pay back" the federal advance. These "paid back" funds can be used to cover a portion of the costs of other federal-aid projects in the FGEIS plan. A detailed review of the mitigation cost program may be undertaken during 2016.



**TRANSPORTATION ENHANCEMENT PROGRAM (TEP),  
TRANSPORTATION ALTERNATIVES PROGRAM (TAP), SURFACE  
TRANSPORTATION BLOCK GRANT (STBG)**

**"Second Chance" Enhancements Program**

CDTC's commitment to bicycle, pedestrian, and canal projects goes beyond the federal Enhancement funds. At its May 27, 1999 meeting, the CDTC Policy Committee voted to endorse the 1999-04 Transportation Improvement Program, which included as project RG83 a "second chance" program setting aside \$1 million of STP-Flex funds for "high priority" Transportation Enhancements Program candidates not funded in Round One of the TEP. Following the March 21, 2000 announcement of statewide selection of projects for Round One of the Transportation Enhancements Program, CDTC solicited the responsible agencies for the highest-ranked unsuccessful candidates to inquire as to whether they wished to submit their proposals for consideration under the CDTC program. Three additional proposals were selected for funding as a result of this process: the City of Saratoga Springs' Spring Run Trail project (SA181); Schenectady County's Mohawk-Hudson Bike-Hike Trail project (S156); and the Town of Malta's Ruhle Road Bridge project (SA182).

**Transportation Enhancements Program Under TEA-21**

On June 26, 2001, CDTC sent letters to local communities and other potential applicants under New York State's second round of the TEA-21 Transportation Enhancements Program. CDTC evaluated all applications within CDTC's TIP area and identified a short list of high priority projects, which NYSDOT compared with submissions from across the state in selecting projects for funding. Five CDTC area proposals were selected for Enhancements Program funding:

1. Albany County's Mohawk-Hudson Bike-Hike Trail: Widening and Resurfacing and Amenities (A425)
2. The Town of East Greenbush's Sherwood Avenue Sidewalks (R229)
3. Zim Smith Mid-County Trail (SA195)
4. Saratoga County's Historic Hadley Bow Bridge (SA196), and
5. The Town of Glenville's Glenville and Scotia Sidewalks (S161)

**Enhancement-Type Projects Funded with Flexible Funds**

CDTC has also used additional funds (beginning with the 1997-02 TIP and continuing through the 2005-10 TIP) for bicycle, pedestrian, and canal projects. The intention is to administer these projects as if they were Enhancement Program projects. The significance of this is two-fold:

1. The Enhancement program was administered as a grant program. The federal contribution is fixed at the time of project programming at a maximum of 80% of project cost. *Any cost increases above 80% of the original project cost estimate are the responsibility of the project sponsor to absorb. Any cost decreases cannot have the effect of increasing the federal share above 80%.*
2. An agreement is negotiated with the project sponsor for project implementation. The project sponsor is the lead agency and builds the project on a reimbursement basis.

Since the original set of enhancement-type projects, others have been added. In some cases, the local match exceeds 20%. The TIP listings include a notation in the project descriptions for these projects that they will be administered as Enhancement projects (regardless of federal funding source) and that the federal contribution is capped at the specified percentage of the original total cost estimate.

TABLE 1

## ENHANCEMENT PROJECTS FUNDED WITH FLEXIBLE FUNDS

TIP#/PIN	SPONSOR	PROJECT
A377/1754.67	Voorheesville	Pedestrian Circulation
A406/1755.61	Albany (County)	Albany County Sign Management
A407/1755.62	Albany (City)	City of Albany Sign Management
A425	Albany County	Mohawk-Hudson Bike-Hike Trail
A436	Guilderland	McKownville/Western Avenue Sidewalks
A437	Cohoes	Hudson-Mohawk Bike-Hike Bridge Rehabilitation
A492	Cohoes	Erie Canal Heritage Trail
R178/1754.52	Troy	Troy-Menands Bridge Bicycle Access
R197/1754.69	Rensselaer (City)	Washington Avenue Sidewalks
R198/1754.70	North Greenbush	Brookside Avenue Sidewalks
R223/1755.66	Troy	Troy Pedestrian Bicycle Trail
R229	East Greenbush	Sherwood Avenue Sidewalks
R267	East Greenbush	Luther Rd (NY 151) Ped/Bicycle Access Improvements
SA136/1754.57	Saratoga Springs	Downtown Pedestrian Improvements
SA158/1754.71	NYSOPRHP	Peebles Island Bridge (Waterford)
SA160	Saratoga Springs	Pedestrian Improvements on Broadway
SA165	NYSTA	Rehabilitation of Lock C-5
SA181/1755.93	Saratoga Springs	Spring Run Trail Construction
SA182	Malta	Ruhle Road Pedestrian Bridge
SA195	Saratoga County	Zim Smith Mid-County Trail
SA196	Saratoga County	Historic Hadley Bow Bridge Preservation
SA200	Halfmoon	Canal Road Bike Path
SA238	Clifton Park	Erie Canal Towpath Connector
SA239	Milton	Sidewalk and Curb Project
SA246	Saratoga County	The Dix Bridge Rehabilitation Project
S140/1754.63	Schenectady (City)	Mohawk-Hudson Bikepath Improvements
S141/1754.65	Schenectady (City)	Rail corridor bridge improvements
S142/1754.64	Schenectady (City)	Kings Road sidewalks
S143/1754.66	Glenville	Lock 8 Bicycle and Pedestrian Access
S146	Schenectady (City)	State Street Transportation Corridor Streetscape
S156	Schenectady County	Mohawk-Hudson Bike-Hike Trail Connector
S161	Glenville	Glenville & Scotia Sidewalks
S165	NYSTA	Mohawk-Hudson Trail: Rotterdam Jct to Amsterdam

### Transportation Enhancement Program under SAFETEA-LU

In April of 2006, NYSDOT began solicitation for the first round of the Transportation Enhancement Program (TEP) under SAFETEA-LU. A review team with representatives from CDTC Staff, CDTA, NYSDOT Region 1, NYS Department of Health, and Parks and Trails New York evaluated all of the applications within CDTC's TIP area and developed a prioritized list of projects. This list was then forwarded to the Transportation Enhancements

Advisory Committee (TEAC) where submissions were compared from across the state. Four CDTC area proposals were selected for Enhancements Program funding:

1. Clifton Park’s Erie Canal Towpath Community Connector (TIP#)
2. The Town of East Greenbush’s Luther Rd (NY 151) Pedestrian and Bicycle Access Improvements (TIP#)
3. The City of Cohoes’ Erie Canal Heritage Trail
4. Milton’s Sidewalk and Curb Project

The second round of SAFETEA-LU enhancements began in 2008. In May of 2008, CDTC sent out solicitation letters and program information packets to all of the municipalities in the Capital District. A review team with representatives from CDTC Staff, New York State Department of State, the New York State Department of Health and CDRCP reviewed the applications using the evaluation criteria approved by the Planning Committee in May of 2008. A list of prioritized projects was forwarded to the Transportation Enhancements Advisory Committee (TEAC) where submissions were compared from across the state. NYSDOT did not participate in the MPO review of this round. Two projects in the CDTC area were selected for funding:

1. Day Peckinpaugh Motorship museum (removed from TIP)
2. Dix Bridge Rehabilitation Project (SA 253)

**After the Adoption of the 2013-18 TIP**

CDTC participated in a regional review for Transportation Enhancement Program projects in 2013. Applications were due to NYSDOT by August 16, 2013. A collaborative review team composed of representatives from CDTC, AGFTC, NYSDOT, Essex County, and Greene County reviewed, rated, and ranked all proposals submitted within the NYSDOT Region 1 area.

Funded projects were formally announced in January of 2014, as follows, and were thereafter added to the Transportation Improvement Program:

<b>Name</b>	<b>Sponsor</b>	<b>County</b>	<b>TEP Amount</b>	<b>Project Amount</b>
Delaware Avenue Hamlet Multi-Modal and Streetscape Enhancements	Town of Bethlehem	Albany	\$1.2M	\$3.1M
North Central Avenue Pedestrian Safety Project	City of Mechanicville	Saratoga	\$0.4M	\$0.5M

**Transportation Alternatives Program**

MAP-21 discontinued the Transportation Enhancement Program and created a Transportation Alternatives Program (TAP). The TAP provides funding for on- and off-road

pedestrian and bicycle facilities, infrastructure projects for improving non-driver access to public transportation and enhanced mobility, community improvement activities, and environmental mitigation; recreational trail program projects; safe routes to school projects; and projects for planning, designing, or constructing boulevards and other roadways largely in the right-of-way of former Interstate System routes or other divided highways.

MAP-21 specified suballocations to metropolitan areas. Because the Albany-Schenectady-Troy metropolitan area is over 200,000 people, MAP-21 stipulated that CDTC was responsible for selecting the successful TAP projects within that region. A statewide collaboration among NYSDOT and metropolitan planning organizations agreed to coordinate the application process, using the same timeline, eligibility, and rating and ranking criteria. Further, CDTC agreed to collaborate with NYSDOT, A/GFTC, and Essex and Greene Counties in the rating and ranking process, while ensuring that the suballocations for the Albany-Schenectady-Troy and Saratoga Springs metropolitan areas were spent in those areas.

In October 2014, the following projects in CDTC’s area were formally announced and subsequently added to the Transportation Improvement Program:

Name	Sponsor	County	TAP Amount	Project Amount
Pedestrian Improvements for Public Transit in Albany, Troy and Cohoes	Capital District Transportation Authority	Albany/Rensselaer	\$1.600M	\$2.050M
Central Park – Downtown Schenectady Trail Connection	City of Schenectady	Schenectady	\$1.101M	\$1.377M
Geyser Road-Spa State Park Bicycle-Pedestrian Trail	City of Saratoga Springs	Saratoga	\$1.600M	\$2.099M

**Surface Transportation Block Grant (STBG)**

The FAST Act formally repealed the Transportation Alternatives Program, but kept funding for those types of projects alive as part of the Surface Transportation Block Grant (STBG). TIP projects that have been funded with STP Enhancement or the MAP-21 TAP funding that weren’t obligated by the beginning of the FAST Act utilize the funding from their otherwise discontinued fund sources.



## **BICYCLE AND PEDESTRIAN SET-ASIDE RG103**

### **Introduction**

The RG41 “Spot Improvement for Bicycle and Pedestrian Access” program was established in 1997 and the RG103 “Bicycle and Pedestrian Network Set-Aside” was established in 2007. In the previous TIP update, RG103 and RG41 were combined to form RG103. This set-aside is the mechanism for funding projects that improve or maintain the Region’s bicycle and pedestrian infrastructure.

Gaps in the transportation system, like stretches of roadway with no safe space to walk or destinations that lack secure bicycle parking, are obstacles to providing safe, non-motorized access to those who cannot or choose not to own or drive a car. Despite increases in CDTC’s Bicycle & Pedestrian Network Set-Aside, formerly known as the “Spot Improvement” program, the need to maintain and connect to the non-motorized transportation system is greater than the amount of funding available.

### **New Visions**

New Visions 2040 reaffirms CDTC’s commitment to investing in bicycle and pedestrian infrastructure. New Visions Investment principle 5 is:

“Bicycle and Pedestrian Transportation – Bicycle and pedestrian travel is vital to the region’s public health, transportation, and the economy. Encouraging bicycle and pedestrian travel is a socially, economically, and environmentally responsible and healthy approach to improving the performance of our transportation system. Possible bicycle/pedestrian related improvements will be considered from the perspective of developing a system – not just based on whether a particular facility is currently used. That system of sidewalks, bike lanes, and trails will encourage safe bicycle and pedestrian use and will increase accessibility.”

While there have been no wholesale increases in transportation funding, and all transportation infrastructure, especially roads and bridges, continues to deteriorate, it is CDTC’s philosophy to make incremental progress in improving and expanding the bicycle and pedestrian transportation system.

### **New Projects in the 2016-21 TIP**

During the 2016-21 TIP Update, CDTC replenished RG103 with \$5.0M of STP-Flex funds. CDTC then drew down on those funds for the projects listed below. Note that these projects are also shown in the list of all new projects on page 18.

- A577, Voorheesville Pedestrian Connectivity
- A579, Watervliet Bike Path
- A581, West Old State Road: New Sidewalk

- R309, US 9 and 20 Sidewalk Construction from Bruen Court to the Rensselaer City Line
- R310, Sand Lake Hamlets Sidewalk Enhancements
- SA295, Pruyn Hill Pedestrian Safety, Phase II
- S243, Mohawk-Hudson Bike-Hike Trail Rehabilitation
- S244, Highbridge Rd. & East Campbell Rd.: Sidewalks

## ***NEW VISIONS AND THE TIP***

### ***The New Visions Regional Plan***

The CDTC New Visions 2040 Plan includes a set of principles to guide transportation planning and investment in the region for coming years. It also articulates a series of short-range and long-range recommendations and actions to help achieve broad regional goals, and provided an innovative budget approach to ensure implementation of the plan.

Today, it is widely accepted across the Capital District that transportation investments can add significantly to community quality of life; that transit, bike, pedestrian, goods movement and aesthetic features are equally as important as motor vehicle accommodation in highway design; that technology can be used to assist the traveler; and that ensuring economic and environmental health is an important objective of the transportation system

New Visions reflects a regional consensus of residents, businesses, state and local government representatives and transportation providers to use transportation and public policy to:

- Promote sustainable economic growth with good-paying jobs
- Revitalize urban areas
- Help build community structure in growing suburbs
- Preserve open space and agricultural land
- Make communities more walkable and livable
- Provide meaningful transit options
- Connect all residents with job opportunities
- Manage increasing traffic congestion and maintain reasonable mobility on the highway system
- Encourage land use and transportation planning

Full implementation of the New Visions 2040 Plan means steady progress with physical and technological improvements to the region's transportation system, coupled with significant land use and demand management actions that dampen the rate of travel growth. The plan focuses on managing and redesigning existing facilities, services and ways of doing business more than on physically expanding the system.

CDTC and its members have worked hard over many years to implement the New Visions plan. To a greater degree than typical for MPOs, CDTC has linked the plan to implementation. Progress has been and continues to be made across all project categories. Continued dialogue and discussion of transportation and land use policy has reaffirmed the basic New Visions plan and budgetary priorities. New Visions program recommendations ranging from a spot improvement program to significant funding for integrated transportation and land use planning have been successfully instituted by CDTC.

### **Programming Principles**

The New Visions plan includes programming principles and a budget that calls for "comparable progress" across multiple project types is stated.

New Visions principles follow four themes:

- Preserve and manage the existing investment in the region's transportation system.
- Develop the region's potential to grow into a uniquely attractive, vibrant, and diverse metropolitan area.
- Link transportation and land use planning to meet the Plan's goals for urban investment, concentrated development patterns, and smart economic growth.
- Plan and build for all modes of transportation, including pedestrian, bicycle, public transit, cars, and trucks.

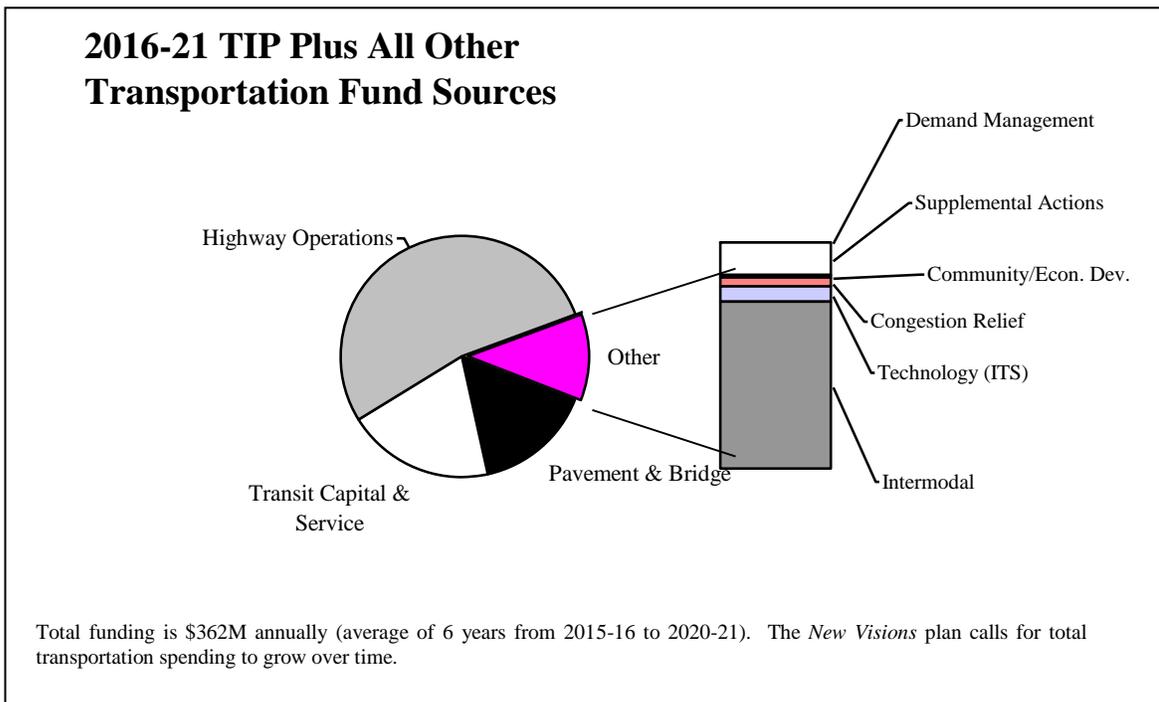
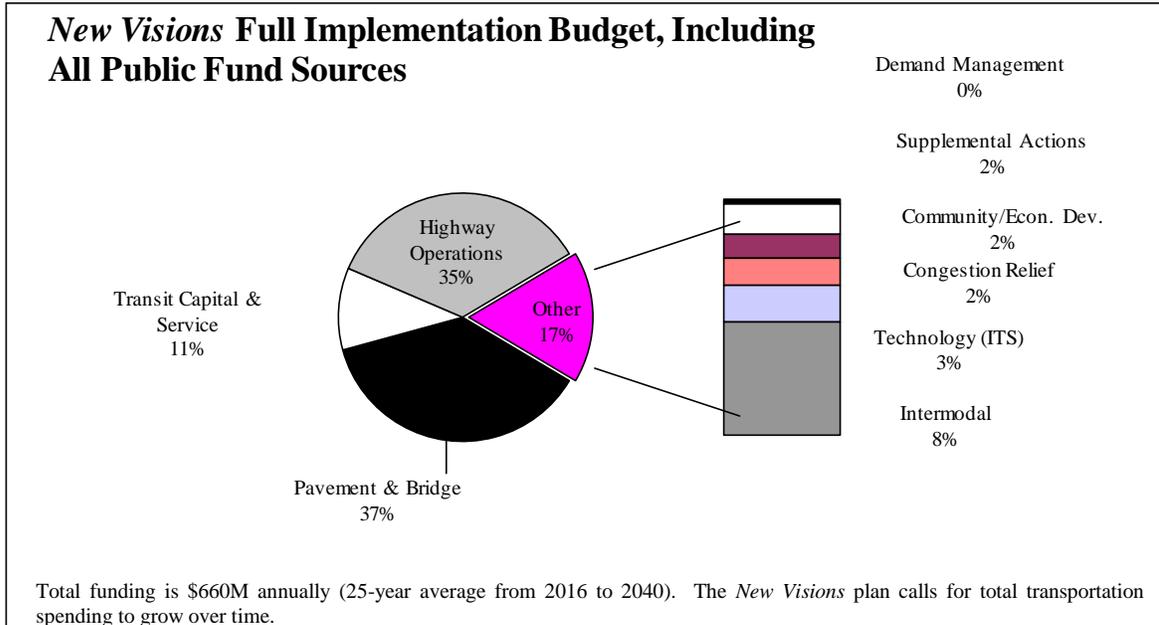
In addition to the direct budgetary link between the New Visions plan and the TIP, there are a number of policy linkages as well. Integration of the planning and investment principles adopted in New Visions influenced every aspect of TIP development, from the types of projects solicited from sponsors to the evaluation criteria used. Implementation of the projects in the TIP will continue to rely heavily on a multimodal performance-based approach to project development that takes into account community compatibility and economic development concerns.

*New Visions* budgets include all fund sources (federal, state and local) over twenty years. The two pie charts on the next page compare annualized New Vision budget targets by project type with the overall transportation-funding picture for the 2013-18 period. The contribution of the federal-aid program to meeting important regional goals in transportation is highlighted. While federal-aid provides for less than 25% of the total expenditures, it provides for significantly larger share of system improvements.

The budget is overwhelmingly dominated by system preservation – "state of good repair" categories. Highway and bridge operations, maintenance, rehabilitation and reconstruction categories alone account for 70% of the annual budget requirement. However, work in these categories includes corrective and preventive work on transit, bicycle and pedestrian accommodations, and in some cases new accommodations where none existed before. It also often includes replacement of some or all of existing water lines and sewer systems and can include other utility work.

"Supplemental Actions" includes stand-alone bicycle and pedestrian accommodations, safety improvements, and goods movement actions, beyond those improvements incorporated into other projects. Using the federal-aid program to fund these types of projects is a major factor in the achievement of a high degree of correlation between the long range budget targets and the short-range capital program.

**FIGURE 1: COMPARISON OF NEW VISIONS BUDGET TO TIP**





## PROJECT SELECTION FROM, AND AMENDING, THE TIP

Federal law requires that all projects in a given TIP be given a rank, which determines the order in which they may be obligated. CDTC has assigned the year of the element as the rank. So, all elements in the first year of the TIP are given top priority, and the projects in the second year are given second priority, etc. This, and the need for updates to project costs and scopes, as well as the addition and deletions of projects and project elements, necessitates that procedures be in place to make changes to TIP projects in between TIP Updates. Therefore, responsibility to make changes to the TIP is shown in the chart below.

There are a few procedures or principles that are not explicitly stated in the table of guidelines, but are just as much a part of those guidelines:

- A) Changes from 1) any federal fund source to NHPP and 2) any STP fund source to any other STP fund source are covered in sections 3a and 3b, respectively. Section 3c, “Change between any other Title I federal fund sources” requires additional clarification too large for a footnote to the table. A change between any other Title I fund sources would be require Planning Committee approval. In such cases, in order to approximate equity with other candidate projects, the Planning Committee should consider the priority of the subject project relative to other candidates that did or will compete for those funds. This could necessitate that the project be evaluated and compared to projects in the previous solicitation.
- B) Any action explicitly taken by the Planning Committee cannot be overridden by anything less than a Planning Committee action.
- C) For a project that is both non-CDTA and non-state but the responsibility for a change lies with CDTA or NYSDOT, consent is also required of the project implementer and (if different) also the owner of the facility or whoever is responsible for the local match.
- D) If the same action can fit more than one description in the table, the one requiring the highest action is used. For example, a project consisting of \$0.600M in matched federal-aid could have the fund source switched to local. This is a fund source switch (3)(d) requiring only NYSDOT or CDTA approval, and it is also a deletion of a project from the federal-aid program (1)(c), since all federal funds are being removed, requiring Policy Board action. Therefore, the change requires Policy Board action as the deletion of a project from the federal-aid program (1)(c).
- E) An amendment normally requiring Planning Committee approval, linked to another amendment requiring Policy Board approval, also requires Policy Board approval.
- F) In the guidelines table, 1(h), “Combining a non-preservation project with any other(s)” requires Planning Committee because it is not necessarily desirable to combine any two specific projects. The reasons for that can vary and need to be considered on a case-by-case basis.

TABLE 2

GUIDELINES FOR TIP CHANGES

Type of Change	Responsibility		
	<sup>1</sup> CDTA or NYSDOT	<sup>2</sup> Planning Committee	Policy Board <sup>3</sup>
<b>(1) Addition or Deletion</b>			
(a) Addition of project(s) from regional set-asides			
(i) From placeholder set-asides	---	Approve	---
(ii) As part of a project solicitation	---	Recommend	Approve
(b) Addition/deletion of project under or equal to \$0.500M	---	Approve	---
(c) Addition/deletion of project over \$0.500M	---	Recommend	Approve
(d) Addition/deletion of project element less than or equal to \$0.250M <sup>4</sup>	Approve	---	---
(e) Addition/deletion of project element over \$0.250M <sup>4</sup>	---	Approve	---
(f) Addition of Transportation Alternatives project after approval by state advisory committee	---	Approve	---
(g) Combining two or more existing preservation projects <sup>5</sup>	Approve	---	---
(h) Combining a non-preservation project with any other(s)	---	Approve	---
(i) Other	---	Recommend	Approve
<b>(2) Scope and/or Cost (Increase or Decrease)</b>			
(a) Over 25% (minimum \$250 k) or over \$500 k <sup>6</sup>	---	Approve	---
(b) Over 50% (minimum \$1M) or over \$3M <sup>6</sup>	---	Recommend	Approve
(c) Scope change necessitating recalculation of system-level air quality conformity of non-exempt project	---	Recommend	Approve
(d) Other significant scope change <sup>7</sup>	---	Approve	---
(e) Other	---	Recommend	Approve
<b>(3) Fund Source Change</b>			
(a) Change from any federal fund source to NHPP	Approve	---	---
(b) Change from one STP fund source to another	Approve	---	---
(c) Change between any other Title I federal fund sources <sup>8</sup>	---	Approve	---
(d) Change from federal to non-federal fund source	Approve	---	---
(e) Change from non-federal to federal fund source	---	Recommend	Approve
(f) Change between Title III federal fund sources	---	Approve	---
(g) Any other federal fund source change	---	Recommend	Approve
<b>(4) Schedule Change</b>			
(a) All affected project elements are contained in the first four years of the TIP before and after the schedule change <sup>9</sup>	Approve	---	---
(b) Any other schedule change	---	Approve	---

<sup>1</sup> CDTA has authority for transit fund sources and NYSDOT for highway fund sources.

<sup>2</sup> Changes requiring Planning Committee action are minor TIP amendments. The Planning Committee may defer approval to Policy Board, if desired.

<sup>3</sup> Changes requiring Policy Board action are major TIP amendments.

<sup>4</sup> A project element is a phase of the project (such as right-of-way acquisition), in one FFY funded by one fund source.

<sup>5</sup> Proper documentation still needs to be provided to CDTC Staff. Also, for a scope change to, or removal of, one of the original projects, a scope change would be required.

<sup>6</sup> Percentages are of total project five-year plus committed column federal cost. Use of toll credits increases the percentage.

<sup>7</sup> A significant scope change is a significant change to the project limits, type or scope.

<sup>8</sup> Change from a capital fund source to Metropolitan Planning Funds (PL) requires UPWP action by CDTC.

<sup>9</sup> This includes funds programmed in the "Committed" column of the TIP that are not obligated by September 30 of the Committed fiscal year.

## **PLANNING AND PROGRAMMING FOR HUMAN SERVICES TRANSPORTATION**

### **5310 Program: Enhanced Mobility of Seniors and Individuals with Disabilities**

MAP-21 consolidated the New Freedom program (Section 5317) into the Section 5310 Enhanced Mobility of Senior and Individuals with Disabilities Program. Accordingly, Section 5310 solicitations now request project proposals for New Freedom type activities in addition to traditional Section 5310 projects. At least 55% of the available funding awards must be programmed for traditional Section 5310 capital projects while the remaining 45% of funds allocated to an area may support public transportation projects that exceed the requirements of the ADA, projects that improve access to fixed-route service and decrease reliance by individuals with disabilities on complementary paratransit, and alternatives to public transportation that assist seniors and individuals with disabilities. Use of Section 5310 funds may be for the capital and/or operating expense of transportation services to seniors and/or individuals with disabilities. See: [http://www.fta.dot.gov/documents/C9070\\_1G\\_FINAL\\_circular.pdf](http://www.fta.dot.gov/documents/C9070_1G_FINAL_circular.pdf) for a listing of eligible projects under the two categories: 1) Eligible Capital Expenses that Meet the 55% Requirement; 2) Other Eligible Capital and Operating Expenses pages III-1- to III-15.

Another change to the 5310 program allowed MPOs, such as CDTC, to take over the administrative responsibility for the 5310 program as the designated recipient for large urbanized areas. However, CDTC and all MPOs in New York State requested that NYSDOT retain administrative responsibility for the 5310 program. While NYSDOT agreed to assume this administrative responsibility for the overall program and selected projects, MAP-21 requires that MPOs participate in the evaluation and selection of proposed 5310 projects in their metropolitan planning area. Selected projects must be listed in the MPOs Coordinated Plan and Transportation Improvement Program (TIP) and NYSDOT's Statewide Transportation Improvement Program or STIP.

In addition, funds are no longer distributed directly to the State and administered exclusively by NYSDOT. Pursuant to MAP-21, large and small urbanized area funding is now sub-allocated to those areas. Rural area funding is still distributed directly to the state.

This program continues to provide funds for capital projects such as human service agency vehicles, related equipment and mobility management; other non-capital or operating projects such as development of a regional driver training curriculum are now also eligible.

### **2015 5310 Program Project Solicitation Process and Results**

For the 2015 solicitation, \$47.5 million in funding was available for areas within New York State covering federal fiscal years 2013 through 2015. Within the CDTC planning area funding is allocated to the two urbanized areas as follows: \$ 1,617,238\* for Albany-

Schenectady-Troy and \$384,215\* for the Saratoga Springs urbanized area. (\*FFY 13, 14 and the amount estimated for FFY 2015).

The solicitation for projects opened at the end of April 2015 and applications were due June 8, 2015. NYSDOT set up the application process, in consultation with the NYS MPOs, and will administer the program both on the FTA procedures and requirements side and with sponsors of funded projects. NYSDOT established an electronic grant application and project tracking process that all applicants were required to use.

CDTC established a Rating and Ranking Committee to evaluate and select projects based on priorities and requirements set forth in the Coordinated Public Transit-Human Services Transportation Plan in effect at the time of the solicitation, which was the plan previously adopted by CDTC in 2011. (CDTC subsequently adopted a Coordinated Plan Update in September 2015. See: <http://www.cdtcmpo.org/rtcc/plan2015.pdf>)

CDTC's Rating and Ranking Committee included representatives from the: NYS Office for the Aging, NYS Education Department Adult Career and Continuing Education Services-Vocational Rehabilitation (ACCESS-VR), NYS Department of Health (DOH) Disability and Health Program, NYSDOT Region 1 Planning and CDTC Staff.

Seven applications were submitted: six within the Albany-Schenectady-Troy urbanized area and one (1) within the Saratoga Springs urbanized area. Six proposed projects were for replacement human service agency vehicles (one project included vehicles both for replacement an expansion of service) and there was one mobility management project.

Available federal funds for both urbanized areas within the CDTC planning area exceeded federal funds requested by applicants therefore it is anticipated that there will be a solicitation in the Spring 2016 for the remaining federal funds.

NYSDOT provided an electronic score sheet used by the evaluators. Each member of the CDTC Rating and Ranking Committee completed their reviews and submitted their scorecards. CDTC Staff then averaged the reviewer's individual scores resulting in passing scores for each of the seven proposed projects. (NYSDOT guidance indicated any projects receiving review committee scores less than 70 points would not be considered eligible for 5310 funding.) The results of the evaluations were submitted to CDTC's Planning Committee for their consideration at the July 1, 2015 meeting. The Planning Committee voted to approve the seven projects. As a result, these projects were placed on CDTC's TIP and the STIP.

Table 3 below includes details on each project. Each of the projects is considered a "traditional Section 5310 project", therefore the 55% threshold for use of funds for these types of projects within each urbanized area has been met.

TABLE 3

## 2015 5310 APPLICATIONS SUMMARY

**Albany - Schenectady - Troy Urbanized Area:**

<b>Applicant</b>	<b>Project Type</b>	<b>Project Description</b>	<b>Federal Share (80%) Requested</b>	<b>Local Match</b>	<b>Total Project Cost</b>
Catholic Charities	Vehicle(s)	One (1) Type I-A (16 passenger) and One (1) Type II (20 passenger) replacement vans.	\$68,441	\$17,110	\$85,551
Rensselaer ARC	Vehicle(s)	Two (2) Type II (20 passenger) replacement vans.	\$71,219	\$17,805	\$89,024
Schenectady ARC	Vehicle(s)	Two (2) Type VI (38 passenger) and two (2) Type III (24 passenger) replacement vehicles	\$261,188	\$65,297	\$326,485
Center for Disability Services	Vehicle(s)	Five (5) Type VI (38 passenger) replacement vehicles	\$356,905	\$89,226	\$446,131
Colonie Senior Services	Vehicle(s)	Two (2) Type II (20 passenger) replacement vans.	\$69,075	\$17,269	\$86,344
CDTA	Mobility Management	Continue funding for two (2) Travel Trainers	\$82,898	\$20,726	\$103,624

**Saratoga Springs Urbanized Area:**

Saratoga ARC	Vehicle(s)	Three (3) Type VI (38 passenger) vehicles (2 for replacement and 1 for expansion)	\$274,394	\$68,599	\$342,993
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Source: NYSDOT and CDTC

### **STAR - Special Transit Available by Request**

The Americans with Disabilities Act or ADA of 1990 prohibits discrimination and establishes equal opportunity and access for persons with disabilities. Transit service providers are required to comply with ADA regulations by making public transportation safe and accessible for all individuals. Among the established design principles that ensure access to transportation, ADA paratransit services are mandated for trips beginning and ending within three-quarters of a mile on each side of each regular fixed-route system during the hours the fixed route system operates.

As required by the ADA, CDTA's STAR (Special Transit Available by Request) operates within 3/4 of a mile of CDTA's fixed route system on the same days and times of the specific bus route. To become eligible to use STAR, an individual must submit a completed pre-evaluation form and be certified eligible.

Paratransit is unique in that it provides a curb-to-curb service for those unable to reach a fixed-route transit stop or station. ADA paratransit fares cannot exceed more than twice the full fare for regular fixed-route services. Additionally, paratransit allows for the option for a Personal Care Attendant (PCA) to travel with an ADA paratransit eligible individual eligible at no charge.

CDTA's STAR service began operation in the summer of 1982 and was designed for use by any Capital District resident unable to utilize CDTA's fixed route bus service because of a disability. STAR service was modified in January 1993 to comply with the guidelines set forth in the ADA. The changes affected eligibility, service area and fares. Additional changes to STAR service were instituted in January 1994 to comply with ADA milestones. "Next day" service became available in 1994; CDTA began to process requests for paratransit service up to 14 days in advance of the trip in 1994 as well. During 1995, CDTA installed a state of the art computer system to better manage the STAR service requests and routing. During 1998, CDTA refined the eligibility requirements for STAR access in an attempt to curb clientele growth and to encourage use of the accessible fixed route system. In Spring 1999, CDTA installed the Windows-based version of the STAR scheduling software which allows for faster turnaround times, automated cancellation and verification of trips and is a faster system overall.

CDTA's STAR fleet consists of 44 cutaway vehicles equipped with backdoor lifts for accessibility and the capacity to transport multiple disabled customers, including those using wheelchairs. Over the last few years, a portion of STAR service has been provided through an agreement with Advantage Taxi. New Freedom funds were used to purchase accessible taxis, which are branded with CDTA and STAR logos.

STAR ridership has increased annually since its inception. Over 283,000 people were provided specialized trips during the 2013 calendar year, making up almost 2 percent of CDTA's overall fixed route ridership. According to CDTA's 2012-2013 Annual Report the use of accessible taxis to help manage the increasing demand for STAR increased expenses

by \$1 million in 2012. The number of STAR trips has steadily increased; STAR trips as a percent of total CDTA fixed route ridership have been increasing as well.

CDTA's 2013 Transit Development Plan included a recommendation for a future update to CDTA's STAR Paratransit Operations Plan to continue to improve how CDTA delivers its service to the public. Due to the increasing demand for STAR service and associated costs, one focus of the Operations Plan will be reducing costs while maintaining current service levels.

A total of \$1.6 Million was programmed over five years in the 2016-21 TIP under project T6B using 5307 funds for the purchase of replacement and expansion STAR vehicles.



## **GREENHOUSE GAS EMISSIONS, ENERGY CONSUMPTION AND AIR QUALITY IMPACTS OF THE CDTC TIP**

### **CDTC is in Attainment for Ozone**

The CDTC area was part of a non-attainment area for air quality for many years. In 2013, the Capital region's non-attainment status changed to attainment for the 2008 ozone standard.<sup>1</sup> This is good news for the Capital District, because it is based on data that has shown that air quality has been steadily improving, and the region now has air quality conditions that are acceptable even under the newer, stricter standards for ozone. However, making continuing progress in improving air quality is still an important goal.

It should be noted that one disadvantage of the Capital District becoming an attainment area for ozone standards is that CDTC is no longer be eligible for CMAQ funding, effective September 30, 2014.

### **CDTC Actions to Improve Air Quality, Reduce Greenhouse Gas Emissions, and Reduce Energy Consumption**

CDTC has, and is continuing to address energy and air quality concerns through the TIP and the New Visions Plan.

New Visions supports energy conservation, reduction in greenhouse gas emissions and air quality in the region by advocating sustainable development patterns and site design, urban reinvestment, and community-based land use planning, along with transit, bicycle, & pedestrian investments & strong participation in the Clean Cities program. The New Visions Plan has a strong emphasis on smart growth and fostering a safe, multi-modal and well managed system that works well for all users. The plan contributes to urban revitalization, attractive suburban and rural centers, and preservation of open space, while working to reduce vehicle miles of travel and related greenhouse gas emissions; and encouraging use of alternative fuels and advanced technology vehicles. Related beneficial environmental impacts include avoidance of disruption of natural and cultural resources and protection of environmental justice populations. Protecting the environment and creating a more sustainable transportation system is an important New Visions strategy, particularly in light of global climate change.

Two of the most cost-effective methods of minimizing motor fuel consumption and traffic congestion problems are the reduction of traffic demand by CDTC's Transportation Demand

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<sup>1</sup> The United States Environmental Protection Agency (USEPA) promulgated the 2008 8-Hour Ozone National Ambient Air Quality Standards (NAAQS) on May 21, 2012 to be effective on July 20, 2012 classifying the Albany-Schenectady-Troy area attainment for the 2008 ozone standard. The EPA promulgated a new rule on July 20, 2012 revoking the Transportation Conformity requirements for 1997 8-Hour Ozone NAAQS effective on July 20, 2013. As a result, the CDTC and A/GFTC are not required to make a transportation conformity determination under the new 2008 8-Hour Ozone NAAQS.

Management program and activities of the Capital District Clean Communities Coalition, which are currently being carried out through CDTC's TIP and UPWP.

The U.S. Department of Energy's (DOE) Clean Cities program is a voluntary, locally based government/industry partnership. Capital District Clean Communities (CDCC) was formed primarily to take advantage of the environmental, public health, energy, and economic benefits that the Clean Cities program offers. CDCC's goal is to advance the energy, economic, & environmental security of the U.S. by supporting local actions to reduce petroleum use in transportation. Alternate fuels and advanced technology vehicles can benefit the Capital Region by creating commercial opportunities and by improving the environment.

The CDTC assumed the coordinator role for the CDCC in 2001. CDTC is the only MPO within NYS that supports the coordinator position. CDTC agreed to be the "home" of the Capital District Clean Communities program because the goals of the program fit well with the planning and investment principles that CDTC adopted as part of New Visions. The Capital Region provides substantial opportunities for the expansion of the alternative fuel marketplace, particularly with the large state vehicle fleet that operates in the area. Stakeholders in CDCC recognize the need to provide greater fuel choices in the Capital Region and to reduce its dependence on imported oil.

The CDCC advances the goals of the Clean Cities program through coalition building and networking. Currently, ethanol, bio-diesel, CNG, propane, hydrogen, hybrid and all-electric technologies are all part of the alternative fuel and advanced vehicle technology mix in the Capital Region and are the alternate fuels of choice in the Capital Region. In the last two years, the number of electric vehicle charging stations has grown from just 2 to almost 100, including a Tesla fast-charging station. The CDCC continues to work with large fleets and even transit operators to provide information on transitioning to alternative fuels. In 2015 the CDCC helped displace more than 1.8 million gallons of petroleum and reduce greenhouse gas emissions by over 16,000 tons through not only alternative fuels and advanced vehicle technologies but also through idle reduction policies and programs, fuel economy improvements and VMT reduction programs like ridesharing.

Travel demand management (TDM) refers to efforts to reduce auto travel and congestion by improving transit access, bicycle and pedestrian access, providing opportunities for carsharing, bikesharing, carpooling, vanpooling, and telecommuting, and other strategies. TDM reduces congestion, reduces the costs of driving, and it is an important way to reduce greenhouse gas emissions. CDTC strongly supports TDM by investing in transit, bicycle and pedestrian facilities, carpooling and land use planning. CDTC projects and investments that support TDM include:

1. Federal funding for transit service in the Capital District is a major part of the CDTC TIP. New Visions incorporates CDTA's Transit Development Plan, which will improve and grow a variety of transit services for the Capital District, increasing mobility and supporting economic development and smart regional growth. One example is CDTC's investment in the BusPlus system on the Route 5 corridor.

2. New Visions encourages development that incorporates bicycle and pedestrian accommodations into highway construction as well as city, village, and town plans and provides for recreational opportunities through creation of bike/hike trails.
3. CDTC manages the iPool2, a web-based ridesharing program, in partnership with 511NY.
4. CDTC maintains the Capital Coexist website, a localized education campaign geared towards encouraging people to bike and educating cyclists and motorists on safely coexisting when using the region's roadways.
5. Capital CarShare: CDTC supported the launch of car-sharing in Albany, with eight cars currently available. Future expansion could include Troy, Schenectady and Saratoga Springs. Providing the opportunity to rent a car on an as-needed basis makes not owning a car, or only owning one car in a household, more feasible.
6. CDTC sponsored four demonstration/trial weeks of Bike Share during the summer (2014) in Albany, Schenectady, Troy and Saratoga Springs. CDTC continues to work with these four cities and CDTA to launch bike sharing in the Capital Region.
7. Investments in Park and Ride lots have been supported by CDTC and CDTA and NYSDOT.
8. Guaranteed Ride Home: This program provides a taxi trip home for a bus rider or carpooler when they need to.

The 2016-21 TIP continues to support a number of operations and ITS (Intelligent Transportation Systems) projects which provide significant energy savings. TIP investments in the Capital Region Transportation Management Center (RG37A, RG37B, RG37C), HELP vehicles (RG37) and traffic signal improvements provide significant support to operations and ITS in the CDTC region. Operations strategies such as incident management, signal coordination, transit signal priority result in reductions in congestion and energy consumption. CDTC is exploring further ways in which operations can provide congestion benefits through the Regional Operations Committee.

The Capital Region Transportation Management Center is a traffic monitoring and response center operated by the New York State Department of Transportation in partnership with the New York State Police. The TMC is located at the New York State Police Troop G headquarters in Latham, NY and has been in continuous operation since December, 1998. Partnering with the State Police has enhanced situation awareness of regional traffic issues and decreased incident response time. The TMC is a focal point for regional traffic incident management, utilizing traffic cameras and road sensors, and it is the originator of NYSDOT regional 511 video and message feeds. The TMC enables State Troopers, DOT HELP Trucks, and other emergency personnel to respond swiftly to crash scenes and other highway problems. When it is appropriate, DOT maintenance crews are dispatched to help restore traffic flow quickly. Since the establishment of the TMC, traffic flow has improved for all Capital Region highway users. The TMC also coordinates with the Thruway Operations Center (TSOC), CDTA, and plans for traffic management during construction and special events.

The TMC is an essential tool for providing incident management services. Reliability of and predictability of travel are important goals supported by the TMC. Quick clearance of

incidents, management of traffic during construction, coordination between NYSDOT and emergency service providers are critical to minimizing delays. The TMC is an important component of the Governor's "Drivers First" initiative. Reliability and predictability of travel time on expressways benefits all users including passenger vehicles, truck freight/commodity movements and public transit such as the CDTA's Northway Express Bus Service. Planning for traffic management during construction as part of design benefits drivers.

Improving intersection operations is critically important to improving traffic flow for autos, transit vehicles and freight, and high quality access for pedestrians and cyclists. CDTC supports improvements to traffic signals that improve travel efficiency and traffic flow while reducing delay. CDTC also supports the construction of roundabouts at intersections where feasible. Examples of CDTC sponsored traffic signal and intersection improvements on the TIP are listed below.

1. ITS Transit Signal Priority on Washington and Western Avenues;
2. ITS Signal Improvements on New Scotland Avenue;
3. ITS Signal Improvements on Pawling Avenue;
4. Geyser Road/Ballston Avenue Intersection
5. Erie Boulevard/Jay Street/Nott Street/Front Street Roundabout
6. Sitterly Road at Woodin Road and Crossings Boulevard
7. Ontario Street & Delaware Avenue Intersection

Transit provides travel options, increases mobility and can support economic development. In addition, transit investments result in significant energy savings by providing an alternative to automobile use. Three percent of commuting trips in the Capital District are made by transit. Not only does this reduce gasoline usage by reducing the number of autos, but the added congestion that would occur if all transit riders were to switch to autos would result in significant increased energy consumption. The CDTC TIP continues to make a major investment in transit of \$110.6 million over five years.

Bicycle and pedestrian investments encourage more biking and walking and provide direct energy benefits by reducing auto usage. CDTC has made a strong commitment to improving bicycle and pedestrian facilities. This means incorporating ADA compliant sidewalks and pedestrian crossings, and bicycle lanes in highway construction projects; encouraging site design by developers that provides high quality pedestrian access; developing bike/hike trails; encouraging the incorporation of bicycle and pedestrian accommodations into city, village and town plans. Studies funded by CDTC to explore the feasibility of car and bike sharing, and additional monies committed to help implement local car share and bike share programs, further reinforce the commitment made to improving bicycle and pedestrian facilities.

## **CIVIL RIGHTS AND ENVIRONMENTAL JUSTICE**

### **Background**

Title VI of the Civil Rights Act of 1964 prohibits discrimination based upon race, color, and national origin. Specifically, 42 USC 2000d states that “No person in the United States shall, on the ground of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving Federal financial assistance.” The use of the word “person” is important as the protections afforded under Title VI apply to anyone, regardless of whether the individual is lawfully present in the United States or a citizen of a State within the United States.

Two Presidential Executive Orders place further emphasis upon the Title VI protections of race and national origin. Executive Order #12898 (Environmental Justice) directs federal agencies to develop strategies to address disproportionately high and adverse human health or environmental effects of their programs on minority and low-income populations. Executive Order # 13166 (Limited-English-Proficiency) directs federal agencies to evaluate services provided and implement a system that ensures that Limited English Proficiency persons are able to meaningfully access the services provided consistent with and without unduly burdening the fundamental mission of each federal agency. Additionally, each federal agency shall ensure that recipients of federal financial assistance provide meaningful access to their Limited-English-Proficiency applicants and beneficiaries.

### **Planning and Programming Treatment**

The Capital District Transportation Committee (CDTC) is committed to ensuring compliance with Civil Rights regulations. Within the context of the Transportation Improvement Program development, CDTC looks to the following to assist with full Title VI compliance:

1. CDTC's TIP is developed with a strong relationship to local planning activities. The merit evaluation process utilized for the 2016-2021 TIP includes a measure to increase scores of projects that implement a recommendation from a Linkage Study, town center plan, or similar plan and that align the transportation system with existing or desired land uses.
2. The merit evaluation process includes a positive or negative score based on the project's primary purpose and the GIS-based identification of location in relation to minority and/or low-income areas as described in CDTC's 2014 Environmental Justice Analysis.
3. The merit evaluation processes also considers the project's expected land use compatibility; community or economic development impacts; environmental issues; and business or housing dislocations.

As a result, the needs of minority and low income areas are reasonably well represented in the outcome of the TIP process. CDTC's Environmental Justice Analysis Document will be updated with more recent American Community Survey data in 2016.