

## 2019 SELF-CERTIFICATION OF CDTC'S PLANNING PROCESS

The Federal Highway Administration (FHWA) and Federal Transit Administration (FTA) completed an in-person certification review in 2016. In interim years, CDTC is required to complete an annual self-certification for years that a formal federal certification does not take place. The purpose of self-certification is to document that CDTC's transportation planning process is in compliance with federal planning requirements. FHWA and FTA view self-certification as one of the critical mechanisms for ensuring the satisfactory implementation of these planning requirements. This self-certification serves as documentation that CDTC is in compliance with FAST Act planning requirements.

### A. Organizational and Required Agreements

Is the process carried out by the MPO designated by the Governor?

Yes. CDTC is the designated MPO for transportation planning and programming in the Capital District.

Does the defined metropolitan area boundary cover the area expected to become urbanized over the next 20 years?

Yes. CDTC's metropolitan area boundary for plan and TIP purposes covers the entire area of Albany, Rensselaer, Saratoga and Schenectady counties with the exception of the town of Moreau which is covered by the Adirondack/ Glens Falls Transportation Council's process. It covers the entirety of both the Albany Urbanized Area and the Saratoga Springs Urbanized Area and the areas expected to be urbanized over the next 20 years. A review of the urban area boundary based on the 2010 Decennial Census was completed and approved by CDTC's Policy Board and FHWA in 2014. The effort was coordinated with AGFTC and included a public comment period.

Are there agreements specifying roles and responsibilities of members?

Yes. CDTC's *Continuing Operations Plan* -- commonly referred to as the *Prospectus* -- presents a detailed description of CDTC, its organizational structure, and related responsibilities, as well as the procedures used to carry out the planning process. This document has been periodically amended by CDTC's Policy Board to include a new MPO planning agreement and updated continuing agreement with CDTA and NYSDOT regarding hosting arrangements through 2020. With new transportation legislation on the horizon, staff has taken the first steps toward updating the document to include a new five-year planning agenda and staffing/operating financial plan. The well-received *Guide to the Capital District Planning Committee*, which is designed to keep all MPO participants and the public informed about current roles and responsibilities.

### B. Planning/Technical

#### 1. Unified Planning Work Program (UPWP)

Is there a UPWP that accurately describes CDTC's planning activities?

Yes. CDTC maintains a two-year UPWP. CDTC adopted its UPWP in 2018 that accurately describes the planning efforts for the two-year period 2018-20. CDTC procedures are in place to update the UPWP throughout the term, if needed. The 2018-20 UPWP was amended with revised annual budgets in March 2019. The UPWP identifies all the tasks that will support the metropolitan planning process focusing on mobility for all modes, increasing safety and security, and promoting efficient system management and operations. This UPWP includes a task to explicitly consider FAST Act requirements related to performance-based planning.

Is the UPWP endorsed by the MPO on time?

Yes. The budget for 2019-20 tasks under the 2018-20 program was adopted by CDTC on March 7, 2019.

#### 2. Regional Transportation Plan

Is there a long-range transportation plan for the area endorsed by the MPO?

Yes. *The New Visions 2040 Transportation Plan* was adopted in September 2011. A major review of the plan began in January 2019 with the goal of completing an update of the 2030 plan in December, 2020. The Plan will more comprehensively discuss performance measures required under the FAST Act.

Is the plan fiscally constrained?

Yes. The New Visions Plan is based upon the best available estimates of long-range federal, state, and local revenue streams.

Does the plan meet FAST Act environmental mitigation requirements and consultation activities with Federal, State, and tribal, wildlife, land management and regulatory agencies?

Yes. Since 1980, CDTC has required careful community-oriented planning, including environmental consideration prior to committing to major projects with potentially-significant environmental impacts. Since 1993, land use management plans have been a CDTC pre-requisite for major projects and CDTC has advanced the Linkage Program as a major undertaking since 2000. CDTC and NYSDOT's habitat-oriented environmental examination of the New Karner Rd. widening element of the plan guided the plan's treatment of this long-range project. The approach was cited as best practice by the USGAO in a report to Congress. CDTC has expanded its outreach list to include all wildlife, land management and regulatory agencies. During the 2019-22 TIP update, CDTC mapped proposed projects that could have environmental impacts against natural and cultural resource locations to identify generalized environmental impacts. New Visions 2040 will continue to chart a course for environmental quality for the region. Staff continues to collaborate with CDRPC, NYSDEC, and NYSERDA to advance transportation and land use elements of the Regional Sustainability Plan by supporting a wide range of GHG emissions reductions options.

Does the plan conform to the State Implementation Plan (SIP) for air quality?

Yes. In accordance with a United States Court of Appeals South Coast Air Quality Management District vs EPA decision, a conformity determination is needed for the 1997 ozone NAAQS. In order to meet this requirement, CDTC completed a new conformity statement for the New Visions Plan and 2019-24 TIP.

Does the plan update effort address cited deficiencies?

In its March 2016 Certification report, USDOT required CDTC to provide a more comprehensive financial analysis for the Plan. CDTC revised the 2030 Plan to include more detailed financial analysis in accordance with FAST Act requirements. There were no other cited deficiencies in the CDTC's New Visions 2030 Plan.

Is the plan being implemented?

Yes. Progress in implementing the New Visions plan has been remarkable and CDTC continues to operate under the adopted principles and strategies of the plan. TIP investments have tracked the budget priorities in New Visions very closely. Additionally, a major strategy of the plan is to better integrate transportation and land use; over 70 *Community and Transportation Linkage Planning Program* studies have been initiated/completed to that end over the past 15 years.

### 3. Transportation Improvement Program (TIP)

Is there a multi-year TIP that accurately reflects the highway and transit program?

Yes. The 2019-22 TIP -- scheduled for adoption in April 2019 -- reflects current local and regional highway and transit projects. Projects were drawn from municipal, State, and regional needs analysis, and evaluated using CDTC's Benefit-Cost/Merit Spreadsheet Evaluation Process.

Does the TIP reflect FAST Act fiscal constraint requirements?

Yes. CDTC works cooperatively with NYSDOT Region 1 and CDTA to identify reasonable budgets for the CDTC metropolitan planning area and has programmed to those budgets. In response to a TIP fiscal constraint corrective action by USDOT in their March 2016 Certification Review, provided an updated Fiscal Constraint table which demonstrates and maintains fiscal balance over the STIP period for the 2016-21 TIP. The new 2019-23 TIP maintains fiscal constraint per FAST Act requirements. Further, CDTC continues to work with NYSDOT to periodically review financial assumptions and evaluate fiscal constraint and project schedules over the STIP period.

Is the TIP consistent with the Regional Transportation Plan?

Yes. CDTC's TIP development process maintains a tight relationship with New Visions, requiring explicit prioritization of available funds according to the New Visions budget distribution. As a result, the TIP reflects the CDTC principle of "steady progress" across all plan elements with a much closer relationship between plan and TIP than is typical of most MPOs elsewhere. USDOT commended CDTC's TIP process, citing the progressive nature of benefit-cost ratio together with merit-based criteria.

Does the TIP meet FAST Act consultation requirements?

Yes. CDTC's TIP development process includes broad solicitation of projects from public and non-profit organizations; real-time on-line consultation displaying the current TIP; expansion of the outreach list to include additional FAST Act mandated parties; mailed distribution of a newsletter-based summary of the draft TIP to over 1,000 parties; and a 60-day public review period prior to adoption of the TIP.

Does the TIP meet FAST Act content requirements?

The TIP contains priority lists of projects and strategies for five years; summaries of financial plans and demonstration of fiscal constraint; descriptions of each project (including project type, termini, length, etc.); identification of past obligations; identification of the relationship to the plan; description of the TIP development process; air quality conformity determinations; and documentation of the relationship of the TIP to all other federal requirements.

Are TIP amendment procedures compatible with FAST Act planning regulations?

Yes. CDTC adopts specific TIP amendment guidelines as part of the TIP document. These criteria that define thresholds for administrative action, Planning Committee action and Policy Board action align well with the SAFETEA-LU planning regulations.

Are projects identifiable on the TIP?

Yes. TIP projects are identified in a list and on a GIS-based interactive map for each county and by jurisdiction.

Does the TIP conform to the SIP?

Yes.

#### 4. Technical Studies

Are technical studies on the UPWP on schedule, allowing needed information in time for decisions?

Yes. Technical studies generally proceed on schedule, given that schedules are somewhat optimistic for the size of the CDTC staff and the staffs of participating agencies. Linkage studies have assumed a significant role in shaping the regional planning effort and connecting regional policies to local actions. CDTC continues to be recognized as a national leader across a wide range of technical and policy subjects and was cited once again in the 2016 federal certification report as a national "best practice" in twelve areas.

Collaboration and innovation continue to be hallmarks, reflected not only by Linkage but by such diverse efforts as the I-787 Hudson Waterfront Corridor Study; Regional Transportation Coordination Plan; the City of Albany, Pearl Street, Heavy Vehicle Travel Pattern Study; Regional Operations & Congestion Management planning; among others. Implementation of actions identified in these studies/plans will be pursued through the TIP and other avenues.

An enhanced emphasis is being placed on mobility management, transit, complete streets, freight and goods movement, and safety.

Further, CDTC is working on development of its first ever Regional Safety Action Plan.

#### 5. Performance Measures

Were national performance metrics developed and approved for pavement/bridge condition, NHS system performance, freight movement, safety, and traffic congestion in accordance with 23CFR Part 490?

Yes. CDTC adopted appropriate performance metrics and targets in collaboration with NYSDOT and CDTA as required by the FAST Act. Further a Performance Management Agreement between CDTC, NYSDOT, and CDTA was approved by CDTC on March 7, 2019.

#### 6. Safety Planning

Is safety planning appropriately considered in CDTC's planning process?

Yes. CDTC is working on the development of its first ever Regional Safety Action Plan. Focus group meetings were held throughout the region, and a regional safety summit was held in June 2018. CDTC also hosted a NHI speed management course and NACTO placemaking training. CDTC adopted HSIP targets set by NYSDOT.

#### 7. Is Freight and goods movement appropriately integrated into the planning process?

Yes. Freight and goods movement is completely integrated into CDTC's planning and programming processes. CDTC has an adopted Regional Freight Plan that is used to guide freight investments. As part of the plan, a Freight Priority Network was designated to facilitate efficient freight movement. Freight is integrated into CDTC's TIP project merit evaluation approach. Finally, CDTC has developed relationships with 15 public and private stakeholders via a Freight Advisory Committee.

#### 8. Special Considerations

- a. Are Civil Rights (Title VI) issues addressed in the planning process? Yes. CDTC's full compliance with Title VI issues is reflected in CDTC's work program, publications, public involvement efforts, and the general way of doing business. CDTC routinely includes an effort to perform a review of civil rights issues. CDTC has pursued DBE procedures and goals since 1984 and prepares and submits annual DBE reports in a timely manner. CDTC began explicit consideration of Title VI/Environmental Justice in the merit evaluation process used in developing the TIP in 2016 and routinely documents the distribution and impact of funded TIP, UPWP and Linkage program projects between EJ and non-EJ areas. The Equity Advisory Committee reviews programs and projects and advises on issues related to Civil Rights.
- There were no discrimination complaints received by CDTC. CDTC's outreach efforts and use of social media aim to cultivate relationships with responsive groups and seek means to further relationships with others.
- b. Are specialized transportation issues of the region's elderly and differently abled citizens addressed in the planning process? What is the status of the FAST Act required Human Services Transportation Plan? Yes. CDTA's STAR service derives from joint CDTC/CDTA Section 504 Plans (1980), revised by CDTA. An ADA plan was prepared by the Committee for Accessible Transportation which was organized by CDTA in accordance with state legislation passed in 1990. The plan was endorsed by CDTC in 1992. Annual updates have been prepared and approved. Further, CDTA and CDTC staffs were actively involved in an effort funded through a "Statewide Coordinated Transportation Study" grant and by FTA funds to achieve greater human service agency coordination and consolidation. Success with a "community transportation brokerage" arrangement was achieved with CDTA's initiation of Access Transit, Inc., funded with seed money in the TIP, although the impact of coordination by Access Transit decreased substantially with the State's Medicaid transportation changes. In 2006, CDTC assumed the lead role in developing a "Coordinated Plan" required under FAST Act, and still required to serve as the basis for Section 5310 (Enhanced Mobility of Seniors and Individuals with Disabilities). The coordinated plan was last updated and adopted in September 2015.
- The Regional Transportation Coordination Committee meets quarterly to discuss coordination opportunities and needs. Fee for service weekend service for seniors was instituted in Schenectady County, scheduling software was purchased for use by multiple human service agencies, and an accessible taxi program was developed. Staff organized county-based human services transportation provider meetings in 2016 and 2017 to discuss coordination opportunities within each county.
- c. Are ADA issues on the "highway side" of the region's transportation system being addressed? Yes. TIP projects require ADA compliance and the CDTC TIP project selection process includes evaluation criteria for projects including ADA improvements. On the planning side, CDTC documented all sidewalks in its planning area and forwarded "data packages" to each municipality that has sidewalks, and advised each one of sidewalk Transition Plan requirements under the ADA. CDTC also convenes a regional ADA Transition Plan Task Force for regional municipalities.
- d. Are air quality issues treated in a relevant and useful manner? Yes. Air quality conformity is addressed through a link-specific modeling effort for TIP and Plan efforts. Further, CDTC's New Visions "Core Performance Measures" incorporate conformity issues, hydrocarbon and nitrous oxide emissions, and the local and non-local monetary impact of emissions in the list of core measures. CDTC also is the host of the successful Clean Communities Program for the Capital District.
- e. Are energy issues treated in a relevant and useful manner? Yes. CDTC's New Visions Core Performance Measures include energy consumption in providing, maintaining and using the transportation system in the list of core measures. Further, CDTC has maintained a regular emphasis on and monitoring of energy savings attendant to its regional ridesharing programs. The new iPool2 website provides monthly and annual summaries of emissions and fuel savings. Energy consumption is also an explicit criterion in CDTC's TIP evaluation procedure, and CDTC documents the contribution of the plan and the TIP to achieving the State Energy Plan. In recent years, CDTC has implemented several pilot TDM programs in cooperation with CDTA with downtown Albany worksites and multiple private transit providers, offering transit coupons to encourage mode shift. A pilot subsidized vanpool project started in 2009, with funding from NYSERDA and NYSDOT. Additionally, CDTC has for the past seven years served as the coordinator of the Clean Communities Program for the Capital District, encouraging a shift of vehicle fleets to clean fuels with reduced dependence on foreign energy sources. The coalition has been growing steadily.

- f. Does the process involve private operators of mass transit services? Yes. In addition to specific tasks which develop service recommendations for, and with the participation of Upstate Transit, private operators are routinely involved in the process. CDTA has assumed authority over Northway Express services, in keeping with CDTC's adopted Public-Private Transit Policy. For years NYSDOT Region 1 has hosted regular "roundtables" with private operators; this now continues under CDTC and CDTA leadership. Clean Communities efforts are also of great interest and value to private operators. The regional TDM program helps integrate private operator services into the regional system. Actions in recent years have provided ongoing federal transit support to Adirondack Trailways and provided for further system integration efforts through CDTA involvement.
- g. Does the process address all FAST Act planning considerations? Yes. CDTC's planning and programming approach is explicitly holistic, elevating the consideration of economic, community compatibility, land use, goods movement and modal access elements to a level comparable to that afforded mobility and congestion. System preservation and safety are the top priorities of TIP development. CDTC developed a safety management plan and has included a security element in New Visions 2035. New safety and security principles are included as part of the plan.
- h. Does the process include consideration of products of management systems and has a metropolitan Congestion Management Process been developed from the previous Congestion Management System? Yes. CDTC first adopted its Congestion Management Process in 2007. An update to the process is incorporated into the CDTC New Visions 2040 Plan. The CMP emphasizes regional operations and travel reliability. An important part of the CMP is the Planning and Investment Principle which says that reliable traffic flow is more important than reducing congestion. Further, the Regional Operations Committee has met and articulated a game plan for a CDTC-based regional operations initiative. With respect to safety management, CDTC is working on the development of its first ever Regional Safety Action Plan. In addition, technical services will be provided to undertake safety investigations on roadways owned by local governments. Both provide guidance for selecting HSIP-eligible projects.
- i. Is there adequate opportunity for public involvement in the planning process? Yes. CDTC adopted an updated, SAFETEA-LU mandated Public Involvement Process in June 2011. All CDTC meetings are open to the public, display ads are purchased for Committee (Policy Board) meetings; all Planning and Committee meetings have "privilege of the floor" agenda items. Public outreach initiated in CDTC's "New Visions" effort has been continued with the Goods Movement Task force and its freight roundtables, the Bike & Pedestrian Transportation Task Force, and extensive outreach in such projects as the NY 5 BRT Concept Study. The New Visions 2030 effort launched a new Quality Region Task Force and five working groups. Public involvement also occurs through Center for Economic Growth, ARISE and other forums. A newsletter "In Motion" was re-established in 2009 and is used for public participation. A mailing list of approximately 1,000 is used to disseminate products such as the newsletter, draft plan or TIP for comment prior to adoption. Furthermore, in 2011 CDTC employed two social media tools, Facebook and Twitter, to engage with the public. CDTC's website is continually expanding to provide information, documents and links.
- To the greatest extent possible, CDTC's website is organized and formatted to accommodate persons with visual disabilities. Work has begun on a website translator for Limited English Proficiency (LEP) and interactive TIP mapping. Beyond this, a substantial opportunity for public involvement takes place in the context of the local Linkage studies, each of which includes extensive public outreach and meetings. CDTC's web site is constantly expanding to hold meeting information, Linkage products, discussion documents and other public material. A separate website for the Clean Communities effort is also hosted by CDTC. And in 2010 CDTC launch Capital Coexist, a bicycle awareness and education campaign with its own website ([capitalcoexist.org](http://capitalcoexist.org)). The iPool2 commuter information and Capital Co-exist bicycle awareness websites were launched, which are described above. CDTC has initiated use of social media and recently adopted a social media policy to address both the fast-changing landscape of the internet and the way many people now communicate and obtain information.
- The policy states: CDTC may use social media tools to reach a broader audience; CDTC encourages social media use to further its goals and mission(s); use of social media by CDTC is to provide relevant, timely, and useful information to the public.

## C. Administrative/Management

### 1. Progress Reports

Are progress reports prepared and submitted on time?	Yes.
<b>2. <u>Bills</u></b>	
Are bills submitted on time?	Yes. CDTC staff bills are submitted on a mutually-agreed schedule.
<b>3. <u>Audits</u></b>	
Are single audit requirements met through audits performed on an annual basis?	Yes. CDTA audits and CDTC staff audits are complete through 3/31/11.
Are any identified deficiencies corrected?	No deficiencies have been cited in the financial audits.
<b>4. <u>Annual Program</u></b>	
Are FTA contracts closed out within three years?	Yes. CDTC FTA programs are generally closed out within 20 months.
Are PL contracts closed out within six months?	Yes. All bills are submitted within six months; contracts are generally closed out within a year.
<b>5. <u>Budgets</u></b>	
Are grant budgets up to date?	Yes. Revisions are made as necessary. An annual budget update was adopted in March 2007 for the two year UPWP.
<b>6. <u>Consultant Selection</u></b>	
Are acceptable consultant selection procedures in place?	Yes. Revised consultant selection procedures were adopted in 2009. CDTC has developed a standard Memorandum of Understanding for defining roles for consultant selection and administration with local sponsors of Linkage studies.
What are the provisions for DBE's?	DBE participation is a consideration but not a "quota" in CDTC's consultant selection procedures. CDTC seeks to achieve full participation of DBEs in contracting opportunities while maintaining strict prioritization by merit.
<b>7. <u>Staff - Host Agency Relationship</u></b>	
Does the staff-host relationship support necessary recruitment, hiring and other activities of the MPO?	CDTA allows CDTC to take all necessary actions to provide and support staff operations in a timely fashion. With reduced operating assistance from New York State, CDTA is currently operating with limited cash flow to absorb CDTC's operating costs while awaiting reimbursement. This stressor to the host agency relationship will be monitored.
Does staff have the political support it needs for effective accomplishments?	CDTC is well-respected at the state and local government levels. Support can be seen by the extent of local participation in Linkage and TIP processes and the high degree of implementation (through local ordinance) of land use elements and public-private financing aspects of CDTC's planning process.
<b>8. <u>Decision-Making</u></b>	
Are committees adequately structured and staffed?	Yes.
Is decision-making carried out effectively and in a timely manner?	Yes. CDTC relies heavily on the Planning Committee, which meets eight times a year (and more, when needed). CDTC's Policy Board generally meets four times a year, allowing policy members to remain in contact with MPO issues. CDTC also has the benefit of the Administrative & Financial Standing Subcommittee of the Policy Board, which meets throughout the year to act on staffing, salary, contract and other administrative issues.
<b>9. <u>Governance</u></b>	

Are foundation documents for the MPO such as MOUs, operating procedures and financial/staffing plans reviewed and updated periodically to ensure that they are still relevant to current MPO operations?

Do members and host understand and execute their roles in a way that supports independent and unbiased work by MPO staff and sound MPO decisions?

Are working relationships with other governments, i.e. local, international and tribal government positive and effective.

CDTC follows an “organic” approach to its structure and operating procedures. This results in modification to structure and process on a regular basis. For example, CDTC last amended its structure in 2003 by adopting a membership policy affording permanent membership to all municipalities exceeding 50,000 in population. It initiated a joint regional operations committee as part of a UPWP action. Administrative procedures are the responsibility of the Administrative and Financial Standing Subcommittee and are regularly reviewed and updated; most recently to modify health insurance practices. Staffing and salary plans are approved annually by the Subcommittee.

Yes. Roles and responsibilities are spelled out in CDTC's Prospectus and Guide to the Capital District Transportation Committee.

Yes. The consensus approach to decision-making process at the CDTC table encourages open discussion to resolve issues.

#### 10. 2016 Federal Certification Corrective Actions and Recommendations

Corrective Action -- The LRTP Financial Plan does not meet the requirements of 23 CFR 450.324(f)(11) in demonstrating how the adopted plan can be implemented.

CDTC developed a more detailed plan which was submitted by the June 30, 2017 deadline. USDOT approved the plan in January, 2018.

Corrective Action -- USDOT's review of the 2016-21 TIP concluded that fiscal constraint was insufficiently demonstrated.

CDTC worked with NYSDOT Region 1 to address this corrective action. USDOT approved the revised fiscal constraint table which was approved by the Policy Board on March 31, 2017.

Recommended Action -- Provide more information on the deliverables of UPWP tasks

CDTC is addressing this recommendation.

Recommended Action - - Pursue Planning Environmental Linkage practices as much as possible.

Whenever relevant, planning is linked to NEPA. Included in CDTC's Linkage procedures is a discussion of PEL practices and PEL questionnaire that must be completed for most types of Linkage studies.

Recommended Action -- provide better TIP project descriptions in the TIP listing

CDTC continues to work with NYSDOT to improve descriptions where possible.

Recommended Action -- update Figure 1 of the 2016-21 TIP to include percentages.

Done.