



**United States
Department of Transportation**

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In Reply Refer To:
TRO-02
HPM-NY

September 22, 2020

Ms. Kathy Sheehan
CDTC Chairperson, City of Albany, Mayor
Capital District Transportation Committee
1 Park Place
Albany, New York 12205

RE: 2020 Federal Certification Letter and Report for CDTC

Dear Mayor Sheehan;

The Federal Highway Administration (FHWA) and Federal Transit Administration (FTA) are pleased to submit our 2020 Certification Review Report on the Capital District Transportation Committee (CDTC) transportation planning process in the Albany-Schenectady-Troy, NY Transportation Management Area (TMA). We find that the overall transportation planning process conducted by CDTC meets and/or exceeds the requirements mentioned in 23 CFR Section 450.336 and 49 USC 5303. Therefore, it is our pleasure to inform you that the CDTC planning process is hereby certified effective September 22, 2020.

Included in the Certification Review Report are ten (10) topic areas related to the federal metropolitan transportation planning process with twelve (12) recommendations for consideration in furthering program excellence, and seven (7) commendations to recognize best practices.

Our report recognizes many noteworthy achievements. They include: 1) CDTC's high level of coordination and consultation in the transportation planning process, 2) CDTA's award in 2017 from the American Public Transit Association (APTA) for *Outstanding Public Transportation System Achievement Award*, 3) the 2016 Regional Freight and Goods Movement Plan which guided funding awarded to the Capital Region in the State Freight Plan, 4) CDTC's statewide leadership in Safety and the recent completion of the Local Road Safety Action Plan (2019), and 5) CDTC's commitment to the transportation planning process during this global pandemic.

We would like to discuss our conclusions and recommendations with the CDTC Policy Board after CDTC has had an opportunity to review our finding. Our goal remains to help CDTC carry out the requirements for an effective metropolitan transportation planning process for the good of both the public and the overall transportation system.

Mayor Kathy Sheehan
September 2020

We especially would like to thank Michael Franchini and the CDTC staff for their time and assistance in preparing for this Certification Review. This has been a particularly challenging year with the global pandemic and controversies that have impacted many cities nationally, including the cities of the Capital Region. Their assistance helped make this first virtual certification review in the state a success. Additionally, the professionalism of the MPO staff and the products produced are clear examples of what good metropolitan planning processes can achieve.

We thank you and Stephen Iachetta, the Planning Committee Chair, for meeting with FHWA and FTA virtually to discuss CDTC's planning process. Additionally, we would like to thank the Policy Board members, the Planning Committee members, and all stakeholders who participated in the interviews we conducted and for providing comments during the certification review.

If you have any questions concerning this review, please contact Maria Chau (FHWA) at (518) 431-8878 and Richelle Gosman (FTA) at (212) 824-2432.

Sincerely,

\Original signed by

Richard J. Marquis
Division Administrator
Federal Highway Administration
New York Division

\Original signed by

Stephen Goodman, P.E.
Regional Administrator
Federal Transit Administration
Region II

Enclosure

cc: Peter D. Lopez, *Regional Administrator*, Environmental Protection Agency, Region 2
Ron Epstein, *Executive Deputy Commissioner, Assistant Commissioner, Policy and Planning Division & Chief Financial Officer*, NYSDOT
Lynn Weiskopf, *Director, Office of Policy Planning, and Performance*, NYSDOT Main Office
Michael T. Flynn, *Acting Director, Statewide Planning Bureau*, NYSDOT Main Office
Pat Barnes, P.E., *Regional Director*, NYSDOT Region 1
Robert Rice, *Regional Planning and Program Manager*, NYSDOT Region 1
Carm Basile, *CEO*, Capital District Transportation Authority
Michael Franchini, *Executive Director*, CDTC
Donald Burns, *Director, Planning and Program Development*, FTA Region 2
Anna Price, *Director, Office of Program Management*, FHWA NY Division
Richelle Gosman, *Community Planner*, FTA Region 2
Maria Chau, *Senior Community Planner*, FHWA NY Division

bcc: Corbin Davis, Planning Oversight & Stewardship Team, FHWA, Washington, DC
(HEPP-10) (Room E72-109) (enclosure via email)
Victor Austin, Office of Planning and Environment, FTA, Washington DC (TPE-10)(RoomE43-303)

MPO File:
Planning Day File
Reading File

CAPITAL DISTRICT TRANSPORTATION COMMITTEE

CERTIFICATION REVIEW REPORT

August 2020

Overview of Federal Certification Requirements

In accordance with 23 U.S.C. 134(k) and 49 U.S.C. 5303(k), the Federal Highway Administration (FHWA) and the Federal Transit Administration (FTA) are required to review, evaluate, and certify the metropolitan transportation planning process in each Transportation Management Area (TMA), an urbanized area of 200,000 population or more, at least every four years.

As a result, FHWA and FTA have jointly undertaken the review of metropolitan transportation planning process of the Capital District Transportation Committee. The intent of the statutory and regulatory requirements is to develop a transportation system that serves the mobility interests of people and freight through a multifaceted metropolitan planning process. The certification review is to assure that the planning process is addressing the major issues facing the area, and that the planning process is being conducted in accordance with:

- (1) 23 U.S.C. 134, 49 U.S.C. 5303, and this subpart;*
- (2) In nonattainment and maintenance areas, sections 174 and 176(c) and (d) of the Clean Air Act, as amended (42 U.S.C. 7504, 7506(c) and (d)) and 40 CFR part 93;*
- (3) Title VI of the Civil Rights Act of 1964, as amended (42 U.S.C. 2000d-1) and 49 CFR part 21;*
- (4) 49 U.S.C. 5332, prohibiting discrimination on the basis of race, color, creed, national origin, sex, or age in employment or business opportunity;*
- (5) Section 1101(b) of the FAST Act (Pub. L. 114-357) and 49 CFR part 26 regarding the involvement of disadvantaged business enterprises in DOT funded projects;*
- (6) 23 CFR part 230, regarding the implementation of an equal employment opportunity program on Federal and Federal-aid highway construction contracts;*
- (7) The provisions of the Americans with Disabilities Act of 1990 (42 U.S.C. 12101 et seq.) and 49 CFR parts 27, 37, and 38;*
- (8) The Older Americans Act, as amended (42 U.S.C. 6101), prohibiting discrimination on the basis of age in programs or activities receiving Federal financial assistance;*
- (9) Section 324 of title 23 U.S.C. regarding the prohibition of discrimination based on gender; and*
- (10) Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794) and 49 CFR part 27 regarding discrimination against individuals with disabilities.*
- (11) Super Circular Reference - 2 CFR Part 200*
- (12) All other applicable provision of Federal law.*

Background on Federal Finding Actions

The Federal certification review evaluates a Metropolitan Planning Organization (MPO's) transportation planning process, identifies strengths and weaknesses (as appropriate), and makes recommendations for improvements. Following the review and evaluation, FHWA and FTA can take one of four certification actions:

- Full certification of the transportation planning process: this allows federally funded programs and projects of any type to be approved in the TIP over the next three years in accordance with the continuing planning process.
- Certification subject to specified corrective actions being taken: this allows all projects to move forward in the process while corrective actions are taken; this option may take the form of a temporary certification for a certain number of months rather than the full three years.
- Limited certification: this allows only certain specified categories of program and project funding to move forward while corrective actions are being taken.
- Certification withheld: approval of funding in whole or in part for attributed FHWA and FTA funds that the metropolitan area receives is stopped until the deficiencies in the planning process are corrected.

Within the context of the certification review the following terms may be used: Corrective Action, Recommendations, and Commendations.

- Corrective Action includes those items that fail to meet the requirements of the transportation statute and regulations, thus seriously impacting the outcome of the overall process. The expected change and timeline for accomplishing it are clearly defined.
- Recommendations are those items that, while somewhat less substantial and not regulatory, are still significant enough that FHWA and FTA are hopeful that State and local officials will consider taking some action. Typically, recommendations involve the state of the practice or technical improvements instead of regulatory requirements.
- Commendations and noteworthy practices are those elements that demonstrate innovative, highly effective, well-thought-out procedures for implementing the planning requirements. Elements addressing items that have frequently posed problems nationwide could be cited as noteworthy practices.

Overview of the 2020 Certification Review

The 2020 certification review with CDTC began in December 2019 with a joint letter from FHWA/FTA to Ms. Kathy Sheehan, CDTC Policy Board Chair, informing the MPO about the upcoming review and identifying the primary topics for the review ([Appendix A](#)). The dates of the site visit were coordinated with Mr. Michael Franchini, the Executive Director of CDTC. The New York State Department of Transportation (NYSDOT), the Capital District Transportation Authority (CDTA), and the New York State Department of Environmental Conservation (NYSDEC) were notified by receiving individual copies of the letter. The CDTC staff informed their member agencies and the public of this review.

In preparation for the certification review, the FHWA and FTA conducted an internal desk audit of the materials produced by CDTC.

Members of the Federal Team include Richelle Gosman, Uzoma Anukwe (FTA, Region 2 Office), Maria Chau, Gautam Mani, Carlos Gonzales, Tim Crothers, Tim O'Donoghue, and Emmett McDevitt (FHWA New York Division Office).

COVID-19's Impact on the Certification Review

The Federal Team had originally scheduled an in-person site visit from March 23-25, 2020. However, a few weeks before the review, the novel coronavirus (COVID-19) began spreading in the United States. A week before the review, restrictions were put in place on in-person meetings on the state and national level. The Federal Team and CDTC agreed to delay the review and monitor the situation for a time to reschedule the review. When it became apparent that options to meet in person were limited, FHWA, FTA, and CDTC decided to conduct a virtual face-to-face certification review. The Federal Team and CDTC explored various virtual meeting platforms, eventually deciding on Microsoft Teams, hosted by USDOT, and Zoom, hosted by CDTC. This is the first virtual certification review conducted in New York State.

The Federal Team strived to conduct the virtual certification review to keep the interactions of the virtual face-to-face sessions as close to an in-person review as possible to maintain robust conversations for the full experience of a certification review.

The virtual review for the topical sessions took place between May 26 - 28, 2020 using MS Teams. These discussions were primarily with Michael Franchini (CDTC Executive Director), members of the CDTC staff, NYSDOT Representatives (NYSDOT Statewide Planning Bureau and Region One Planning and Program Management Group), and the Capital District Transportation Authority (CDTA).

An agenda of the topical sessions and a list of participants can be found in [Appendix C](#) & [D](#).

Members, Stakeholders, and Public Input

Additionally, the Federal Team sought input from Policy Board and Planning Committee members, and the stakeholders and the public within the Region. FHWA and FTA conducted virtual interviews with the Policy Board Chair, Mayor Kathy Sheehan, on June 11th and Planning Committee Chair, Stephen Iachetta, AICP, on May 21st via Teams. On June 4th, the Federal Team met virtually with the Policy Board and Planning Committee via Zoom, and on June 5th, stakeholders and the public were offered the opportunity to participate in a virtual interview meeting via Zoom. The public was also offered opportunities to provide written comments via survey monkey, email, or via post on CDTC's transportation planning process. The opportunities were publicized through the press release service

from CDTC ([Appendix E](#)). These arrangements were made through the generous assistance of CDTC. A summary of comments received through these interviews can be found [Appendix F](#). Generally, comments received on how CDTC conducts the transportation planning process were very positive. CDTC enjoys an excellent working relationship amongst their members and stakeholders.

Summary of Commendations, Recommendations, and Corrective Actions

This section includes the compiled list of recommendations, and commendations from the Federal Team's review of work products and processes that are the result of the MPO transportation planning process. Each of these comments correlate to the finding respective to the Certification topics in the next section.

As a result of this review there are no corrective actions, 12 recommendations and, 7 commendations for CDTC. A status of the findings from the previous Certification Review in 2016 can be found in [Appendix B](#).

Recommendations (12)

Unified Planning Work Programs

- (1) The Federal Team recommends that in the next UPWP, the discussion of planning priorities facing the MPA tie back to include context to the reader on how the planning studies and activities selected for funding in the UPWP connect back to the planning priorities facing the MPA.
- (2) CDTC should work with NYSDOT to submit the upcoming UPWP expenditure report to FHWA and FTA within ninety (90) days after the end of the reporting period or within an agreed upon time with FHWA and FTA. The Federal Team encourages CDTC to share the expenditure report with their Policy Board and Planning Committee.
- (3) While CDTC aligns the planning studies and activities in their UPWP to the priorities in their LRTP, the Federal Team recommends that CDTC consider the balance of investment of UPWP planning studies and activities to the vision and goals in their LRTP.

TIP Development and Project Selection

- (4) The Federal Team encourages CDTC to monitor the performance of the unamended TIP, given the recent drop in performance. If in subsequent years there continues to be a decline to the unamendment TIP obligation rate, CDTC should consider diagnosing the group of projects encountering issues to obligation more systematically.

Consultation-Coordination / Public Participation

- (5) In addition to CDTC's new Equity Advisory Committee, CDTC should consider other opportunities to include members in their planning committee and subcommittee groups that are reflective of the demographics of the Region.

Freight Planning

- (6) The Federal Team strongly recommends that CDTC continue to actively use its Freight Advisory Committee (FAC) as a vehicle to support applications for discretionary federal grants, such as BUILD and INFRA. At a time where increased weight is given to applications that leverage non-federal funding sources, CDTC's continuous engagement work with the private sector through FAC makes it well positioned to take advantage of these opportunities.

Intelligent Transportation Systems – Congestion Management Process

The Federal Team recommends that CDTC:

- (7) Formally adopt the Congestion Management Process (CMP) white paper, as their current adopted CMP is from 2007 which is past the period of time Federal agencies deem reasonable for periodical updates for a CMP in accordance with 23 CFR 450.322(d)(6).
- (8) Support the establishment of a stand-alone multi-disciplinary Traffic Incident Management (TIM) working group and development of TIM performance measures that include Clearance Times.
- (9) Consider whether CDTC has a role to play in encouraging the use of communications standards (e.g. NTCIP) or in otherwise ensuring that partner agency ITS deployments are inter-operable.

Security Planning

- (10) CDTC should consider documenting (in a checklist or some other format) the steps that must be undertaken to transition the operations of the MPO staff and MPO activities in emergency situations.
- (11) The Federal Team encourages CDTC to consider expanding their role in transportation security, emergency preparedness, and resiliency planning for the Region given the increase in severe weather events and the state's initiative with climate change.

Performance-Based Planning

- (12) To build on the MPO's progress in performance-based programming and trade-off capabilities between different performance areas, the Federal Team encourages CDTC to explore usage of federal resources related to multi-operational decisional analysis. Resources and tools are continuing to evolve, but at the time of this report, one useful resource on this topic is NCHRP Report 921: <http://www.trb.org/Publications/Blurbs/180176.aspx>.

Commendations (7)

Unified Planning Work Programs

- (1) CDTC actively uses the planning scenarios included in the New Visions 2040 Long Range Transportation Plan (LRTP) as a foundation to select and conduct planning studies to address resiliency and potential impacts by extreme weather events.

Transit Activities - Human Services Transportation Plan

- (2) The Federal Team commends CDTC for its role in developing a transit system that was named *Best Mid-Size Public Transportation System in North America* by the American Public Transportation Association (APTA) in 2017. CDTC's partnership with the Capital District Transportation Authority (CDTA) is evident in the planning products as well as the day-to-day processes involved in managing and expanding the regional transit system. The Federal Team recognizes that without that strong working relationship with CDTC, an award of this magnitude would not have been possible.

Consultation-Coordination / Public Participation

- (3) CDTC is commended for the high level of engagement in fostering strong consultation and coordination with their members and stakeholders throughout the transportation planning process. This is coupled with how CDTC implements the transportation planning process where the goals and visions of the New Visions 2040 LRTP are supported by planning studies and activities, and carried out as projects in the TIP through their Merit Based prioritization process. Members and partners agree that CDTC provides opportunities for them to take ownership in the transportation planning process in a well vetted and systematic way to best consider transportation decisions in Federal transportation investments for the Region.

Freight Planning

- (4) The Federal Team commends CDTC for the activities and leadership of its Freight Advisory Committee and for the depth and consistency of its engagement with public sector agencies at all levels, private sector freight stakeholders and related businesses, and academic institutions to greatly enhance freight planning efforts in the Region. The Federal Team recognizes that through these continuous partnerships, CDTC was able to develop a robust, thorough Regional Freight and Goods Movement Plan that guides investments in freight locally, helps accurately inform statewide freight planning in New York, and increases the value that the MPO brings to the Region.

Intelligent Transportation Systems – Congestion Management Process

- (5) CDTC is commended for its robust data-driven approach, in partnership with the University at Albany (SUNY), Albany Visualization and Informatics Lab (AVAIL), that has allowed it to understand the impacts of congestion throughout the region and develop strategies and recommendations aimed at improving reliability based on demonstrated need.

Safety Planning

- (6) CDTC was the first MPO in New York to detail a Local Road Safety Action Plan that looked at data throughout the Metropolitan Planning Area in an effort to assess the safety needs and priorities for meeting performance-related objectives. This plan, supported by data, will help guide future project and program decisions. This will also help advise committee members of the priorities that they should consider when proposing projects on the TIP.

Security Planning

- (7) In light of COVID-19, CDTC is commended for their swift efforts in adapting to new working conditions and continuing the operations of the MPO transportation planning process with their members and stakeholders.

2020 Certification Review Findings

The Federal Team selected the topics to discuss with the MPO for the certification review. These topics relate to the federal regulations that MPOs operate under and are chosen for a variety of reasons. These reasons include whether the topic is considered an area of emphasis, a high risk, a new initiative in transportation legislation, or a reoccurring challenge. Topics are also selected to highlight a best practice.

According to the Federal Team's review of the transportation planning process in the Capital Region, CDTC meets all the basic federal requirements. The federal regulatory requirements for each of the topics can be found in [Appendix G](#). Additionally, topic headings are hyperlinked to the regulatory reference.

The following are the findings from our assessment of these activities and are the bases for *Commendations* and *Recommendations* found in the previous section. Where the MPO employs practices that the Federal Team considers very good but may not rise to the level of a commendation we mark them in these findings as *Notable*.

Unified Planning Work Programs

- The Federal Team finds that CDTC has a well-integrated transportation planning process, which connects the priorities represented in the New Visions 2040 Long Range Transportation Plan with the planning studies, linkage studies, and activities represented in the UPWP and links these priorities to project selections in the TIP through a Merit Based Scoring system and Benefit Cost Ratio that reflects the goals of the Region.
- *Linking LRTP Scenario Planning to Planning Studies addressing Resiliency:* CDTC actively uses the planning scenarios included in the New Visions 2040 LRTP as a foundation to select and conduct planning studies to address resiliency, potential impacts by extreme weather events, and climate change.
- *Metropolitan Planning Area (MPA) Planning Priority Discussion:* The planning studies and activities covered in the 2018-2020 and the 2020-2022 UPWP generally contain sufficient information required by 23 CFR 420; however, the discussion of the planning priorities facing the MPA according to 23 CFR 450.308(c) can be more descriptive to provide readers context of why the studies and activities were selected for funding in the UPWP and how they relate to planning priorities facing the MPA.
- *Balance of Federal Metropolitan Planning Funds (PL) Investments to Regional Priorities:* In reviewing the 2016-2018 and 2018-2020 UPWPs, the Federal Team conducted an investment analysis on the types of planning studies and activities represented in the UPWPs by categories compared to the goals discussed in their LRTP. These categories include Transit, Bridge and Pavement, Safety, ITS/Operations, CMP, Civil Rights, Bike and Ped, Trails, and Complete Street. Overall investments on planning studies and activities ranging between 3% to 10% by category compared to all PL funding. The Federal Team found that investment in Bicycle and Pedestrian, Trails, and Complete Street planning studies and activities had the highest amount of investment at 21% of the overall PL funding with an additional 11% for linkage studies related to the same category.
- *Expenditure Reports:* In recent years, all the MPOs in NYS have been submitting expenditure reports on their UPWPs as per 23 CFR 420.117. CDTC submitted their expenditure report to NYSDOT a few months after the end of the State Fiscal year (March 31, 2019). Due to adjustments that needed to be resolved between CDTC and NYSDOT the final expenditure report was delayed and were not submitted to FHWA and FTA until March 2020.

TIP Development and Project Selection

- *Notable: TIP Development and Merit Based Scoring/ Benefit Cost:* In 2019, CDTC engaged in updating and developing the 2020 – 2024 TIP for the Capital Region. CDTC had revamped the method in which projects were selected in the previous 2017 – 2021 TIP update, which prioritized and selected projects through a Merit Based system and Benefit/Cost ratio. The Merit Based system includes eleven (11) categories that clearly support the transportation planning process by linking the priorities in the Region outlined in the 2040 New Visions LRTP to planning studies conducted prior to the project. These areas include Regional Benefits, Community, Quality of Life & Equity, Appropriate Infrastructure, Multi-Modalism, Environmental & Health, Economic Development, Safety & Security, Operations & Technology, Freight, Innovation, and Project Delivery.
- CDTC continued to use this same method for this TIP development cycle, as it generates a robust and rigorous screening process for project prioritization and is generally well received by CDTC members and partners.
- *Obligation Rate of Unamended TIP:* Project delivery continues to be an important focus for FHWA and FTA. FHWA monitors the performance of the STIP annually by the obligation rate of the unamended S/TIP. This includes the number of projects programmed for the construction phase for that federal fiscal year compared to the portion that was obligated. This percentage serves as an indicator that the State and MPO have considered the deliverability of projects during the planning process before it is included in the S/TIP for the year it is programmed. The FHWA National target is 75% obligation on the unamended S/TIPs. In the Capital Region for FFY 2016, 2017, 2018, and 2019 CDTC obligated 40%, 68.2%, 61.1%, and 48.3%, respectively, of their unamended TIP. There is a 12.8% drop in the obligation rate of the unamended TIP from 2018 to 2019.
- The number of projects from the unamended TIP not being obligated in the year it is programmed may indicate inefficiencies in project scheduling or cost estimates for the construction phase.
- The CDTC Planning Committee closely monitors the status of projects, holding project sponsors accountable for the delivery of projects on a monthly basis. However, when the Federal Team inquired whether they were aware of the reason(s) why there was a decrease in performance this past year, CDTC staff offered that this may be an off year since the two years prior CDTC had seen significant improvements to the performance of their unamended TIP and were not certain why the performance in 2019 had decreased.

Transit Activities - Human Services Transportation Plan

- CDTA has been the MPO's host agency since 1982.
- CDTA, the provider of public transportation within the TMA, is a member of the Policy Board, satisfying the requirements of 23 USC 134 (d)(2) and 49 USC 5303 (d)(2)(B). The CEO of CDTA, Carm Basile, is the transit representative to CDTC's Policy Board and currently serves as its Vice-Chair.
- Investment in Transit is one of the fifteen stated Planning and Investment Principles used to guide the current update of the LRTP, New Visions 2050.
- CDTC convened a Transit Task Force in 2019 in support of the LRTP update. The Task Force worked to draft a Transit White Paper in which it proposes planning and investment principles meant to

guide CDTC's decisions during plan development.

- The region's Coordinated Public Transit-Human Service Transportation Plan was last updated in 2019 and will be incorporated into the LRTP update. The plan successfully uses outreach and data to assess the current mobility environment in the region, identify the mobility and access needs of transportation disadvantaged populations, and to propose strategies and resources to address those needs.
- A major activity programmed in the UPWP is the development of a Transit Access Toolkit. The Transit Access Toolkit emerged as a priority in a White Paper and will aim to assist municipalities in designing multi-modal stops and stations in a way that make them most accessible to all groups of people, including pedestrians and individuals with disabilities.
- There is approximately \$380 million programmed in the TIP for transit projects. Much of the regional investment in transit has been dedicated to development of CDTA's bus rapid transit (BRT) system.
- CDTC has demonstrated a strong partnership with CDTA over the past several years, working with the transit agency to meet recent federal requirements, including the development of a Transit Asset Management Plan, setting and adopting performance targets for asset management, and in the current development of CDTA's System Safety Plan and associated targets.
- In 2017, the Capital District Transportation Authority (CDTA) was selected as the Best Mid-Size Public Transportation System in North America by the American Public Transit Association (APTA), receiving the prestigious *Outstanding Public Transportation System Achievement Award*. CDTA was commended by APTA CEO Richard A. White "for its successful community partnerships that have led to record ridership over the last several years, showing how vital CDTA is for the Capital Region." These partnerships and innovations include the bicycle community with bike share, Bus Rapid Transit with business districts and institutions of higher education, and technology upgrades with smartcards and the mobile payment program, *Navigator*.

Consultation and Coordination/Public Participation

- *Level of Engagement at CDTC:* The Federal Team found that the level of engagement for consultation and coordination in the transportation planning process from members of the Policy Board, Planning Committee, planning subgroups, and stakeholders was very high. CDTC cultivates an open and inclusive planning process welcoming everyone to the table. One notable detail that made an impression on the Federal Team during the interviews is that it was repeatedly expressed that CDTC provided a highly transparent and collaborative forum for regional transportation decision making and many wished that other entities such as rural communities were available to join in the process.
- CDTC's Public Involvement process uses a myriad of methods to reach out to the Region. They recently added Zoom to their repertoire to conduct virtual meetings. CDTC has a well-represented online presence including Facebook, YouTube, Twitter, and Instagram. Within the community CDTC takes special measure to be inclusive of minority and environmental justice populations by connecting with community leaders from non-profit organizations, religious organizations, and residence alike. They continue to seek innovative methods to solicit input from the Region and recently piloted *Meeting in a Box* for anyone in the community to host smaller gatherings for input

for the LRTP update and are in the process of initiating virtual public involvement methods which is a FHWA Every Day Counts 5 initiative as well for the LRTP update.

- *Demographic representation at CDTC:* CDTC being mindful of minority and environmental justice populations created an Equity advisory committee in 2019 who are tasked with reviewing projects and issues relevant to their communities. While this is still a relatively new addition to CDTC, they contributed to the development of the latest TIP development cycle.
- In comparison to the demographics of the Region from the US Census, ethnic minorities are generally underrepresented on the planning committee, advisory committees, working groups, and task force. This is a challenge for many MPOs across upstate New York.

Freight Planning

- CDTC has developed an exemplary program to continuously and effectively address freight planning needs in the Capital Region. CDTC's freight planning efforts have included the development of its 2016 Regional Freight and Goods Movement Plan and 2020 Freight White Paper, its ongoing partnerships with the private and academic sectors and non-traditional partners via its Freight Advisory Committee, and its specific engagement with environmental justice communities in recognizing and addressing unique impacts of freight movement in these areas.
- *2016 Regional Freight and Goods Movement Plan and 2020 Freight White Paper:* CDTC completed its initial Regional Freight and Goods Movement Plan in May of 2016. The plan was developed in an extremely collaborative manner amongst freight stakeholders across all modes of transportation throughout the region. The Plan very thoroughly describes existing conditions and the manner in which the freight network in the region operates, outlines a Strengths-Weaknesses-Opportunities-Threats (SWOT) analysis for all transportation modes, and puts forward a series of clear recommendations to improve freight movement in the region. The Plan also outlines a series of performance measures with which to measure success.
- Through its prioritization of projects, the CDTC Regional Freight and Goods Movement Plan served as a strong foundation for CDTC to inform the development of New York's State Freight Plan, increasing the value of CDTC's planning process to investments in the Region. In 2020, as part of its update of its LRTP, CDTC released a draft Freight White Paper that updates elements of the 2016 Regional Freight and Goods Movement Plan where needed and summarizes key elements of the regional freight network. The White Paper demonstrates ongoing attention to freight in the region, and recognizes the challenges and opportunities affecting all freight modes.
- *Freight Advisory Committee (FAC):* CDTC's FAC continues to provide a vehicle to improve regional knowledge of freight movement and to guide MPO investments in freight. The FAC meets quarterly and regularly provides educational opportunities such as tours of freight facilities in the region. The FAC plays an active role in developing and reviewing TIP projects that improve the movement of goods, designating CDTC's Freight Priority Network, and disseminating information about funding opportunities with a freight emphasis such as INFRA and BUILD. In addition to bringing in State DOT, representatives from the trucking industry, manufacturing and distribution businesses, FHWA and MARAD, the FAC also includes active participation from agencies such as the New York State Energy

Research and Development Authority (NYSERDA) and from academic institutions in the Region. The strong partnerships that CDTC has formed with the Port of Albany and Albany International Airport are very noteworthy among MPOs and help to increase the value of CDTC to the region. CDTC's consistency and consideration in engaging a wide variety of stakeholders across all sectors to improve freight efficiency and promote sound economic development in the region is quite unique among MPOs.

- *Engagement with Environmental Justice Communities:* CDTC's planning process around freight recognizes the unique historical and ongoing negative impacts that freight infrastructure and operations have often had on environmental justice communities. CDTC's TIP project screening criteria account specifically for introduction or mitigation of noise, air quality, and safety issues. CDTC has used its partnerships in the region to effectively assess freight impacts under existing conditions and with proposed projects in environmental justice areas, and has worked actively with impacted communities to develop mitigation strategies. A major example of CDTC's engagement with environmental justice areas in the area of freight was with the South Pearl Street Heavy Vehicle Travel Pattern Study. CDTC was able to leverage its existing relationships with both the Port of Albany, private freight-related businesses and community leaders in the South Pearl Street area to collaboratively assess conditions and develop strategies for mitigation. Due to CDTC's pro-active engagement, the South Pearl Street Heavy Vehicle Traffic Pattern Study contained some recommendations that the City of Albany could implement to mitigate adverse impacts of freight for residents and business owners in the area.

Intelligent Transportation Systems – Congestion Management Process (CMP)

- CDTC maintains the position, strongly backed by its data analysis efforts, that strategies deployed to reduce the congestion experienced in the Capital Region are best focused on improving travel time reliability through multi-modal strategies that mitigate or eliminate the negative impacts of non-recurring events. Some congestion may be deemed acceptable, and to an extent even desirable, by the community in that it may reflect the vitality of the region, provided that the system is well managed. Likewise, as vehicle miles traveled (VMT) growth is projected to be minimal, investments in highway capacity increases are not considered justifiable when the deployment of demand management strategies, incident management strategies, and technologies that can optimize use of existing infrastructure have the potential to more effectively and efficiently improve mobility and accessibility.
- *2020 ITS CMP White Paper:* CDTC staff have led a robust process to develop an ambitious Congestion Management Process plan with significant input from the Regional Operations and Safety Advisory Committee (ROSAC), which includes local, regional, state, and federal transportation and first responder agency representatives. This has been a data-driven process, using an analysis tool developed by the Albany Visualization and Informatics Lab (AVAIL) of the University at Albany to understand the impacts of congestion, as captured in National Performance Management Research Data Set (NPMRDS) data. The CMP is divided into 8 actions, including defining objectives, an ITS priority network, and performance measures, collection and analysis of data to identify needs, identifying existing strategies, recommendation of new strategies, and evaluation of the effectiveness of strategies.

- These existing strategies that CDTC supports are focused on improving reliability, accessibility and demand management across modes. They include a variety of signal coordination, connectivity, and prioritization improvements. There is long-standing strong support for the regional Traffic Management Center (TMC), whose operations – such as facilitating the quick clearance of incidents, traveler information dissemination, dynamic traffic management, support of the Highway Emergency Local Patrols, and assisting in emergency response and special event management, are described as the most effective ways to reduce non-recurring delay. Travel Demand Management (TDM) strategies such as those captured in the CDTA Transit Development Plan, development incorporating bicycle and pedestrian accommodations, ride-matching services, a guaranteed ride home program, and vehicle and bike-sharing programs are used to reduce congestion and improve access to alternative means of transportation. CDTC also partnered with NYSDOT to develop an Integrated Corridor Management (ICM) plan along the I-87/US 9 corridor and was a key partner in a 2016 update of the Regional ITS Architecture.
- Key to the CMP is a set of 12 recommendations that have the potential to significantly improve reliability within the region and address a number of needs of partner agencies and the transportation system as a whole. Of particular note is a proposed Community Traffic Engineering Services Program that would provide a vehicle for the CDTC to partner with municipalities to provide traffic engineering consultant support, lead roles for the CDTC in developing a Transportation Systems Management and Operations (TSMO) plan and forming a multi-agency Traffic Incident Management Committee, and four recommendations that could optimize how signals are timed, coordinated, and otherwise managed and upgraded. Additionally, CDTC states their intention to develop in-house microsimulation capabilities to assess corridor performance and TSMO strategies – which seems likely to become a valuable asset to support partner agency projects and programs.

Safety Planning

- CDTC is meeting all Federal Requirements related to Safety.
- CDTC has always relied heavily on data as the foundation of their safety priorities within the region. The collection and analysis of data has allowed CDTC to make project and program decisions based on high risk areas and high-risk factors. CDTC prioritizes safety in all steps of the planning process from the weighted project ranking, their set aside projects, or their development of safety PI&E campaigns. Their leadership in statewide committees, influence in statewide safety program development, and participation in safety training, audits, and peer exchanges shows a dedication to safety regionally and statewide.
- CDTC also has been out in front with guiding the development of statewide capital programs such as the Pedestrian Safety Action Plan (PSAP) program and related Public Service Announcements (PSA) by the Department of Health. In addition, CDTC through their participation in the Statewide Committee has also represented all of the MPO's in the development of the Statewide Roadside Departure Safety Action Plan.

Security Planning

- *Security Planning:* CDTC addresses security planning in their *Regional Operations and Safety Advisory Committee White Paper* where the MPO has defined their level of involvement as

“traditional” and “convener” role. CDTC mainly serves as a support to existing security and emergency services such as enforcement, NYSDOT, local governments and municipalities, and Local Emergency Planning Committees.

- *Adjustments to CDTC from COVID-19:* CDTC recently updated their Continuing Operations Plan to include emergency scenarios such as pandemics in light of COVID-19 for how CDTC would operate. The update captured steps and considerations that the MPO took to continue operating on both the staffing level and also MPO functions such as Policy Board and Planning Committee meetings. These considerations include available technologies to the staff, ability to provide remote access to the team, and conducting virtual meetings. In all it took CDTC 5 days for the MPO staff to be fully operational remotely while they acquired the virtual platform, Zoom, to convene their Policy Board and Planning Committee meetings. Given the rapid changes that took place under this pandemic situation CDTC’s quick transition speak of their resiliency and commitment to the transportation planning process.

Performance-Based Planning and Programming

- Through its planning process, CDTC is currently meeting federal requirements related to Transportation Performance Management (TPM) and Performance Based Planning and Programming (PBPP) through a closely coordinated process with NYSDOT, CDTA, and local stakeholders. CDTC’s LRTP and TIP development processes show clear consideration for the impacts that investments have on meeting both federally required and MPO developed performance targets, and for explaining the performance of the transportation system to member agencies and the public.
- *Performance Based Planning and Programming Agreement, Target Setting, and Coordination:* CDTC, NYSDOT, and CDTA adopted a standalone Performance Management Agreement on April 19, 2018 that meets federal requirements for written procedures on the performance-based planning process in metropolitan areas. The agreement applies to all federal performance measures and outlines roles and responsibilities for communication of targets, data sharing, and reporting. So far, CDTC has chosen to support the state targets for all FHWA measures that apply. CDTC’s coordination process with NYSDOT and CDTA, and through its own advisory committees, has allowed for timely and informed adoption of targets. The Performance Management Agreement is accessible to the public on CDTC’s website.
- *TIP Development:* CDTC’s 2019-2024 TIP includes a clear description of how, once implemented, the TIP will support the state’s performance targets and those outlined by the CDTA. The TIP’s “FHWA/FTA Performance Management” section includes quantitative data describing the condition of the transportation system at the time of TIP adoption. The TIP document thoroughly describes how CDTC’s entire program contributes towards each of the performance targets, and shows how the performance measures are taken into account in CDTC’s merit scoring criteria.
- *LRTP System Performance Report and Communicating Performance Information:* CDTC’s current LRTP does not have a System Performance Report, as CDTC has not amended or updated its Plan since the implementation date of the Federal Planning Rule of May 27, 2018. However, CDTC has published a draft Performance Based Planning and Programming White Paper that will serve as its System Performance Report when its LRTP is updated in September 2020. The White Paper contains all of the required elements for the LRTP System Performance Report, including detailed local data

about the performance of the transportation system currently and information about targets adopted. The White Paper links back each of the federally required performance measures to the Long-Range Plan goals and subcommittee activities. Most notably, the White Paper contains detailed information on how all of CDTC's activities, including infrastructure investments and plans or studies, contribute towards achievement of each of the performance targets. In addition, the White Paper displays trends in the data through use of "gauges" to help ensure this report conveys data to multiple audiences.

- *Notable:* CDTC's draft LRTP System Performance Report (currently called the Performance Based Planning and Programming White Paper) very effectively connects LRTP goals and the activities of CDTC's freight advisory committees to performance measurement and achievement of performance targets, considers how all MPO activities have contributed towards performance outcomes, and conveys complex data trends through the use of performance management "gauges."

Planning Environmental Linkage

- *Notable:* The CDTC regularly conducts pre- National Environmental Policy Act (NEPA) planning studies that yield information about existing transportation conditions, future traffic, and possible solutions to optimize transportation conditions for its users. The I-787/Hudson Waterfront Corridor Study is an example of CDTC coordinating extensively with NYSDOT, the City of Albany, and other jurisdictions to capture planning-level information for the NEPA process.
- A Planning Environmental Linkage (PEL) study is currently funded to evaluate potential replacement options for [State Route 378 Troy-Menands Bridge](#). Given CDTCs experience conducting studies and the agency's ability to organize across disciplines, the agency is well positioned to capture planning-level data and carry it into the NEPA process. NYSDOT is the lead for this PEL study, which will benefit greatly from CDTCs data repository and its experience cooperating with regional stakeholders.

Appendix A: FHWA/FTA Letter



**United States
Department of Transportation**

Federal Transit Administration – Region 2
One Bowling Green, Suite 429
New York, NY 10004-1452

Federal Highway Administration – NY Division
Leo O'Brien Federal Building,
11 A Clinton Avenue, Suite 719
Albany, NY 12207

In Reply Refer To:
TRO-02
HEP-NY

December 6, 2019

Mayor Kathy Sheehan
Chair, Capital District Transportation Committee
1 Park Place
Albany, New York 12205

Dear Mayor Sheehan:

The Federal Highway Administration (FHWA) and the Federal Transit Administration (FTA) will be conducting a Certification Review of the transportation planning process for your metropolitan area between March 23 to March 25, 2020. These dates were selected in consultation with the staff director of the Capital District Transportation Committee (CDTC), which is the designated Metropolitan Planning Organization (MPO) for the Albany-Schenectady-Troy, NY area.

Titles 23 and 49 of The United States Code require the Secretary of Transportation to identify urbanized areas over 200,000 in population as Transportation Management Areas (TMA). As a result of the 2010 Census, the Albany-Schenectady-Troy, NY Urbanized Area continues to be a TMA. TMA's are subject to special planning and programming requirements. In accordance with 23 USC 134 (k)(5), the Secretary must certify compliance of the MPO in each TMA with the metropolitan planning regulations not less than once every four years. This is a joint responsibility of the FHWA and FTA. The four-year cycle runs from the date of the previously jointly signed Certification Report, which was October 2016.

The primary purpose of the Certification Review is to ensure that the planning requirements of 23 USC 134 and 49 USC 5303 are being satisfactorily implemented. As in past reviews, we intend to highlight good practices, exchange information, and identify opportunities for improvements. The review in March will include a field visit from the Federal Review Team and the opportunity for public participation. During the in-person review we would like the opportunity to discuss the transportation planning process with members of the Policy Board and Planning Committee. For specific topics areas highlighted for the review, we anticipate holding discussions primarily with the MPO's staff; local member agencies may also be present to offer comments and their insights.

Appendix A: FHWA/FTA Letter (Cont'd)

2

Focal points for the Certification Review meeting may include the following:

- Status of recommendations from previous certification
- Unified Planning Work Programs
- TIP Development and Project Selection
- Transit Activities- Human Services Transportation Plan
- Public Participation Plan
- Performance Based Planning
- Planning Environmental Linkage
- Transportation Safety Planning / Security in the Planning Process
- Integrating Freight in the Transportation Planning Process
- Intelligent Transportation Systems / Congestion Management Process

There will be an opportunity for the public, including key MPO committee members or other local elected officials and special interest groups, to provide comments to FHWA and FTA staff concerning their views of the conduct of the transportation planning in the Capital Region. This review will also allow the public to participate through a 30-day comment period.

By January 31, 2020, we request that CDTC provide us with a description of the status of recommendations from previous 2016 certification and a description of what CDTC does to incorporate those recommendations in the planning process. You may accompany the descriptions with any backup documentation that you would like to provide.

Further details, including a draft agenda and list of questions for the on-site discussion will follow under separate cover. The Federal contacts for the review are Maria Chau, FHWA, (518) 431-8878, and Richelle Gosman, FTA, (212) 824-2432. The review is a positive means to advance our mutual goals to maximize the effectiveness of the planning process. We look forward to our on-site visit.

Sincerely,

\Original signed by\



Richard J. Marquis
Division Administrator
Federal Highway Administration
New York Division

\Original signed by\



Stephen Goodman
Regional Administrator
Federal Transit Administration
Region II

Enclosure

cc: Peter D. Lopez, *Regional Administrator*, Environmental Protection Agency, Region 2

Appendix A: FHWA/FTA Letter (Cont'd)

3

Pat Barnes, P.E., *Regional Director*, NYSDOT Region 1
Robert Rice, *Regional Planning and Program Manager*, NYSDOT Region 1
Ron Epstein, *Executive Deputy Commissioner, Assistant Commissioner, Policy and Planning Division & Chief Financial Officer*, NYSDOT
Marty Neveu, *Director of Statewide Planning Bureau*, NYSDOT Main Office
Carm Basile, *CEO*, Capital District Transportation Authority
Michael Franchini, *Executive Director*, CDTC
Donald Burns, *Director, Planning and Program Development*, FTA Region 2
Anna Price, *Director, Office of Program Management*, FHWA NY Division
Richelle Gosman, *Community Planner*, FTA Region 2
Maria Chau, *Senior Community Planner*, FHWA NY Division

Appendix B: Status of 2016 Certification Review Findings

The following is a summary of the Corrective Actions and Recommendations from the 2016 Certification Review. There were two corrective actions and fifteen recommendations which are listed below. FHWA and FTA reviewed the responses and have found them satisfactory.

The following is the status on the **Corrective Actions**:

Corrective Actions	Status
<p>Long Range Transportation Plan</p> <ul style="list-style-type: none"> ▪ The LRTP Financial Plan does not meet the requirements of 23 CFR 450.324(f)(11)(i-viii) in demonstrating how the adopted regional transportation plan can be implemented. CDTC must update the Financial Plan and amend it into the LRTP by June 30th, 2017. The Financial Plan should clearly identify revenue sources and contain the forecast of revenue and cost estimates using identified inflation rates to reflect 'year of expenditure dollars' demonstrating fiscal constraint. 	<p>Completed</p> <ul style="list-style-type: none"> ▪ CDTC updated and amended their LRTP Financial Plan in New Vision 2040 providing sufficient detail demonstrating how the adopted regional transportation plan can be implemented. Additionally CDTC provided sufficient information in identifying revenue sources and cost estimates according to 23 CFR 450.324(f)(11)(i-viii)
<p>Transportation Improvement Program</p> <ul style="list-style-type: none"> ▪ The 2016-2021 Transportation Improvement Program (TIP) does not demonstrate fiscal constraint by year as required by 23 CFR 450.326(k). Our review of the TIP indicated that it did not meet fiscal constraint with 21% being over programmed in the 1st year and 7% in 3rd year. The MPO must provide an updated Fiscal Constraint table which demonstrates and maintains fiscal constraint by year by March 30th, 2017 to ensure that transportation funding is accurately reflected in the TIP. 	<p>Completed</p> <ul style="list-style-type: none"> ▪ CDTC updated their TIP fiscal constraint table by working with the Policy Board and Planning Committee to adjust projects in the TIP in the years where Federal-aid funding was overprogrammed to demonstrated fiscal constraint by year per 23 CFR 450.326(k).

The following is the status on the **Recommendations**:

Recommendations	Status
<p>Long Range Transportation Plan</p> <ul style="list-style-type: none"> ▪ The Federal Team recommends that the CDTC utilizes the following resources to develop financial plans in order to satisfy the regulations contained in 23 CFR 450.324(f)(11)(i-viii): <ul style="list-style-type: none"> ▪ USDOT Transportation Planning Capacity Building website ▪ Fiscal Constraint in Long-Range Transportation Planning: Best Practices Case Studies 	<p>Completed</p> <ul style="list-style-type: none"> ▪ CDTC has developed a financial plan which meets the federal requirements. See link to updated New Visions Financial Plan
<p>Unified Planning Work Program</p> <ul style="list-style-type: none"> ▪ We recommend that CDTC provide information on the deliverables of work plan activities and when a task began, when work plan activities are scheduled to begin with an estimated completion date. ▪ The Federal Team encourages the CDTC to continue pursuing Planning Environmental Linkage practices in the development of their plans and studies such as the I-787 Hudson Waterfront Corridor Study. Linking the planning process to the National Environmental Policy Act (NEPA) process will position plans and planning studies in streamlining the environmental phase and be relevant beyond the planning process, especially in linking a planning study’s Vision and Goals with NEPA Purpose and Need. 	<p>Completed</p> <ul style="list-style-type: none"> ▪ CDTC has provided this information in our UPWP (see link) and in our annual Summary and Expenditure Report. ▪ Because CDTC’s linkage studies are always used as the basis for future capital improvements, we think they are examples of PEL on a smaller scale. These studies significantly reduce the need for existing conditions and alternative analyses, public outreach, and preliminary design, resulting in significant cost savings. Some examples where linkage studies informed and supported capital improvements within a year of the study completion include: <ul style="list-style-type: none"> - Albany Waterfront Connector Feasibility Study - Delaware Ave. Complete Streets Feasibility Study - Albany Shaker Road Corridor Study - Freemans Bridge Road Complete Streets Concept Plan In each of the above cases, the capital improvement was the alternative recommended by the CDTC linkage study. <p>CDTC will use PEL practices and questionnaire in the I-787 feasibility engineering study being proposed in the New York State Assembly, and in the NY 378 Troy Menands Bridge Study (TIP nos. A605 and R344).</p>

Recommendations	Status
<p>Transportation Improvement Program</p> <ul style="list-style-type: none"> ▪ The Federal Team found that some Project Descriptions (ie. ITS projects) were missing scope, element, location, and purpose. We recommend that CDTC reviews the STIP Project Description Reference to provide clarity in TIP descriptions for the federal agencies and the public. ▪ The Federal Team recommends CDTC reviews the performance of their unamended TIP and evaluates the schedule of the projects in the TIP for readiness to be obligated in the year they are programmed. We recommend CDTC consider amending the TIP prior to the end of the Federal Fiscal Year to reflect projects whose schedules align with obligations for the corresponding federal fiscal year. ▪ We recommend CDTC update Figure 1. (Page 65) in the 2016-2021 TIP to include percentages in the TIP portion of the pie chart’s comparison. 	<p>Completed</p> <ul style="list-style-type: none"> ▪ Since 2016 CDTC and NYSDOT have expended significant additional resources ensuring that all the TIP/STIP project descriptions were accurate and adequate. ▪ CDTC and NYSDOT now amend TIP projects at the beginning and prior to the end of each fiscal year to ensure that project schedules align with their obligations. ▪ This was done in the 2016-2021 and the 2019-2024 TIPs. See link page 75.
<p>Title VI, Civil Rights, & Related Requirements</p> <ul style="list-style-type: none"> ▪ In light of recent webinars and guidance from USDOT and Headquarters, we recommend CDTC begin to expand its consideration of EJ impacts in program and project-level decision making to include all populations protected under Title VI/Nondiscrimination program, (race, color, national origin, age, sex, disability, low-income, and LEP). This type of expansion would also be appropriate for public outreach efforts as well as impact considerations. 	<p>Completed</p> <ul style="list-style-type: none"> ▪ CDTC has significantly expanded our Environmental Justice/Equity program since the last in-person certification. We have: <ul style="list-style-type: none"> - Established an Equity Advisory Committee which meets regularly and reviews all CDTC’s products, and project and study recommendations. - Added Environmental Justice criteria to our TIP project evaluation. - Along with the City of Albany completed the S. Pearl Street Truck Study which recommended strategies for reducing truck traffic in front of the Ezra Prentice Homes. - As part of our Ladders of Opportunity emphasis, distributed a transportation gaps survey to over 100 people involved with health, juvenile justice, local government, and community organizing. - With consultant assistance completed the report, “Moderated Focus Groups: Experiences of Micro-Navigation in New York State’s Capital Region.” - Expanded our Equity discussion in our New Visions 2050 long-range regional transportation plan. See page 12 and other pages in link

Recommendations	Status
<ul style="list-style-type: none"> ▪ We recommend that CDTC includes information of the Title VI Coordinator, Title VI Assurance, and complaints procedure in their Title VI plan in an easily accessible location on their website and not only in the website as a downloadable pdf file. 	<ul style="list-style-type: none"> ▪ Our recently updated and approved Title VI Plan now includes these requirements, and this information is easily accessible on our website. See link.
<p>Integrating Freight into the Transportation Planning Process</p> <ul style="list-style-type: none"> ▪ We encourage CDTC to continue working with NYSDOT and the NYSAMPO Freight Working Group in the prioritization of freight projects, especially during the development of the State Freight Plan. ▪ We encourage CDTC to consider working with freight stakeholders in the Region to develop projects of National or Regional Significance based on the recommendations from the CDTC’s Freight and Goods Movement Study to compete for upcoming FASTlane Grant and TIGER Grant funding opportunities. 	<p>Completed</p> <ul style="list-style-type: none"> ▪ CDTC worked very closely with NYSDOT on the development of the State Freight Plan. Members of our Freight Advisory Committee, which includes NYSDOT, reviewed the State Plan and submitted comments. We also coordinated the NYSAMPO Freight Working Group’s review and comments of the State Plan. As a result, most of CDTC’s Regional Freight Plan’s prioritization of regional freight projects is included in the new State Plan, and several of our recommended regional freight projects have received federal funding. ▪ Projects of National and Regional Significance are found on pages 114 – 116 of our Regional Freight Plan (See link) CDTC ensures that all our Freight Advisory Committee members are aware of these federal project solicitations, and offers assistance to any municipality in our planning area interested in submitting applications for these programs.
<p>Intelligent Transportation System</p> <ul style="list-style-type: none"> ▪ The Federal Team recommends that CDTC ensures the consistency between the Regional ITS Architecture (RITSA) and regional planning documents. CDTC should provide project descriptions in the TIP that reflects the type of ITS work being funded and link it to ITS service packages in the Regional ITS Architecture when necessary. 	<p>Completed</p> <ul style="list-style-type: none"> ▪ In 2016, an update to the NY Capital Regional ITS Architecture was completed. The CDTC Congestion Management Process included in the draft New Visions 2050 Plan recognizes the NY Capital Regional ITS Architecture. See link, page 26. CDTC intends to continue to work with NYSDOT Region 1 staff and all other regional architecture stakeholders to maintain, update, and utilize the architecture for deployment of future ITS.

Recommendations	Status
<ul style="list-style-type: none"> ▪ The Federal Team recommends that NYSDOT Region 1 and CDTC consider supporting the establishment of a stand-alone multi-disciplinary Traffic Incident Management (TIM) working group and development of TIM performance measures. ▪ In addition, we recommend CDTC recognize the need to address growing cybersecurity risks in the development and implementation of technologies. 	<ul style="list-style-type: none"> ▪ FHWA presented a Planning for Reliability Workshop September 11-12, 2019, hosted by CDTC. The workshop was an excellent opportunity for dialogue between CDTC staff, A/GFTC staff, NYSDOT operations staff, NYSDOT planning staff, and NYS Thruway operations staff. One of the outcomes of this workshop was strong support for a stand-alone multi-disciplinary Traffic Incident Management (TIM) working group, as well as support for CDTC TIM performance measures. The CDTC Congestion Management Process included in the draft New Visions 2050 Plan recommends the establishment of a stand-alone multi-disciplinary Traffic Incident Management (TIM) working group. TIM performance measures are included in the CMP. See page 29 and page 12 respectively in the above CMP link. ▪ The draft New Visions 2050 Plan recommends making cyber-security a priority. This topic is emphasized in the Safety and Security White Paper and in the Environment and Technology White Paper, which are part of the draft New Visions 2050 Plan. See multiple pages in link
<p>Safety & Security Planning</p> <ul style="list-style-type: none"> ▪ With the advent of National Performance Measures we encourage CDTC to continue working with FHWA and NYSDOT on implementing strategies for locals to compete for HSIP funding to address High Accident Locations (HAL). ▪ We encourage CDTC members and staff to consider developing a Continuity of Operations Plan (COOP) as a measure to plan for operating through emergency events. 	<p>Completed</p> <ul style="list-style-type: none"> ▪ CDTC works very closely with FHWA and NYSDOT to assist municipalities interested in competing for HSIP funding. Our new Local Road Safety Action Plan (See link) analyzes crash data on all local roads and recommends relevant strategies and projects. We also have included crash data analysis, road safety assessments, traffic signal operational analysis, and intersection analysis as eligible projects for our UPWP task, Technical Assistance Program. ▪ The CDTC Continuity of Operations Plan is currently being updated, and will be available at the next certification.

Appendix C: Certification Review Agenda

CDTC 2020 Virtual Certification Review Schedule – FINAL

Tuesday, May 26th		Join Microsoft Teams Meeting	
	Session Topic	Session Leads	
PM: 12:30 – 12:45	Introductions	FHWA: Maria Chau FTA: Richelle Gosman	
12:45 to 2:45	Overview of MPO / MPO Highlights / Regional Issues CDTC to provide highlights on transportation planning and activities especially items not listed in Certification Review Topics (LRTP development, Bike/Ped, linkage program, etc.)	CDTC: * See list on following page	
2:45 to 3:00	Break		
3:00 to 3:45	Status of Items from Previous Review	FHWA: Maria Chau FTA: Richelle Gosman CDTC: Mike Franchini, Glenn Posca, & Chris O'Neill (MIP fiscal constr. & Financial Plan, etc.)	
3:45 to 4:30	UPWP	FHWA: Maria Chau FTA: Richelle Gosman CDTC: Mike Franchini	
Wednesday, May 27th		Join Microsoft Teams Meeting	
AM: 9:00 to 10:00	TIP Development / Performance	FHWA: Maria Chau FTA: Richelle Gosman CDTC: Glenn Posca, Jacob Beeman	
10 to 10:10	Break		
10:10 to 11:10	Consultation and Coordination / Public Participation	FHWA: Maria Chau FTA: Richelle Gosman CDTC: Jen Ceponis, Carrie Ward	
11:10 to 12:15	Lunch Break		
12:15 to 12:30	Set up for next sessions Join Microsoft Teams Meeting		
PM: 12:30 to 1:15	Transit	FTA: Richelle Gosman CDTC: Sandy Misiewicz, Carrie Ward	
1:15 to 1:25	Break		
1:25 to 2:10	Planning Environmental Linkage	FHWA: Carlos Gonzalez, Tim O'Donoghue CDTC: Mike Franchini, Sandy Misiewicz	
2:10 to 2:20	Break		
2:20 to 3:50	Safety/Security/Resiliency	FHWA: Emmett McDevitt, Maria Chau CDTC: Sandy Misiewicz, Jen Ceponis, Andrew Tracy (cybersecurity)	
3:50 to 4:00	Close out for the day	FHWA: Maria Chau FTA: Richelle Gosman	
Thursday, May 28th		Join Microsoft Teams Meeting	
AM: 9:00 to 9:45	Freight Planning	FHWA: Gautam Mani CDTC: Chris Bauer	
9:45 to 9:55	Break		
9:55 to 10:40	ITS/Operations/Architectures – Congestion Management Process	FHWA: Tim Crothers CDTC: Andrew Tracy, Chris O'Neill	
10:40 to 10:50	Break		
10:50 to 11:35	Performance Based Planning	FHWA: Gautam Mani CDTC: Jacob Beeman	
11:35 to 11:45	Break		
11:45 to 12:00	Close out for the day	FHWA: Maria Chau FTA: Richelle Gosman	
Monday, June 1st		(Tentative – pending scheduled interviews) Session appointment to be sent	
PM: 1:00 to 2:00	Close out	FHWA: Maria Chau FTA: Richelle Gosman	

Appendix C: Certification Review Agenda (Cont'd)

CDTC 2020 Virtual Certification Review Schedule – FINAL

***List of presenters for session:** Overview of MPO / MPO Highlights / Regional Issues (CDTC) - provide highlights on transportation planning and activities especially items not listed in Certification Review Topics

1. LRTP development – Jen Ceponis and Chris O’Neill
2. Bike/Ped – Jen Ceponis and Jordan Solano-Reed
3. Linkage program – Sandy Misiewicz
4. Complete Streets – Carrie Ward and Chris Bauer
5. Infrastructure – Andrew Tracy and Jacob Beeman
6. Mobility & Capital Coexist – Rima Shamieh and Jordan Solano-Reed
7. Environment & Technology – Jen Ceponis and Chris O’Neill
8. Clean Communities – Jacob Beeman
9. Title VI and ADA – Carrie Ward
10. GIS & Data Management – Teresa LaSalle
11. Smart Communities – Jen Ceponis
12. Equity – Carrie Ward

Public Commenting / Interview Schedule:

Virtual Interview with CDTC Policy Board Chair: Mayor Kathy Sheehan

Thursday, June 4th 11am – 12pm

Virtual Interview w/ CDTC Planning Committee Chair: Stephen Iachetta

Thursday, May 21st 11am – 12pm

Policy Board member / Planning Committee member interviews

Thursday, June 4th, 9:30 – 10:30 a.m.

Stakeholder / Public interviews

Friday, June 5th, 10:00 – 11:00 a.m.

Public Input via Survey Monkey:

<https://www.surveymonkey.com/r/G6KWKK2>.

Appendix D: Certification Review Participants

CDTC

Michael V. Franchini	Executive Director
Christopher O’Neill	Principal Transportation Planner
Sandra Misiewicz	Principal Transportation Planner
Glenn Posca	Senior Transportation Planner II
Teresa LaSalle	Senior Transportation Planner II
Jennifer Ceponis	Senior Transportation Planner II
Christian Bauer	Senior Transportation Planner
Carrie Ward	Senior Transportation Planner
Jacob Beeman	Transportation Planner
Rima Shamieh	Transportation Planner
Jordon Solano-Reed	Transportation Planner

CDTA

Ross Farrell	Planning Director
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NYSDOT

Michael Flynn	Acting Director, Statewide Planning Bureau, Main Office
Lisa Cataldo	Senior Transportation Analyst, Statewide Planning Bureau, Main Office
Robert Rice	Regional Planner & Program Manager, Region 1
Greg Wichser	Professional Engineer 2 (Civil/Transportation), Region 1
Leslie Bassett	TMC Director, Region 1

Federal Review Team

FHWA NY Division

Maria Chau	Senior Community Planner – Review Lead
Gautam Mani	Community Planner
Carlos Gonzalez	Community Planner
Tim Crothers	ITS Operations Engineer
Tim O’Donoghue	Area Engineer, Region 1
Emmett McDevitt	Safety Engineer

FTA Region 2

Richelle Gosman	Community Planner – Review Lead
Uzoma Anukwe	Community Planner

FHWA/FTA Participants

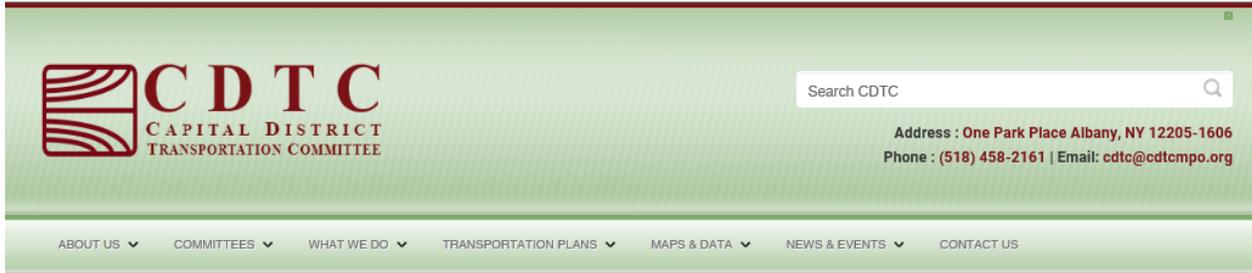
Jennifer Terry	FTA, Community Planner
Allison Weber	FHWA, Transportation Specialist
Kevin Smith	FHWA, Financial Specialist
Maria Calderon	FHWA, Financial Specialist
Derek McRae	FHWA, PDP Financial Specialist
Brandon Oliver	FHWA, PDP ROW Specialist

Appendix D: Certification Review Participants (Continued)

Policy Board, Planning Committee, Stakeholder Group Interview Participants

Adam Yagelski	Director of Planning & Zoning, Town of East Greenbush
Amy Henges	New York State Thruway Authority
Audrey Burneson	Transportation Planner, NYSDOT, Region 1
Bradley Birge	Administrator of Planning & Economic Development, City of Saratoga Springs
Charles Welge	Director, Public Health Planning and Education (Albany County Depart. of Health)
Elizabeth Kormos	Village Trustee, Village of Ballston Spa
Greg Wichser	Professional Engineer 2 (Civil/Transportation), NYSDOT, Region 1
Ifeachor Potts	Program Manager, Alliance for Positive Health
Ivan Ramos	Bicycle Pedestrian Advocate
Jen Viggiani	Open Space, Town of Clifton Park
John Scavo	Planning Director, Town of Clifton Park
Jose Holguin-Veras	Professor, Rensselaer Polytechnic Institute
Mark A. Castiglione, AICP	Executive Director, Capital District Regional Planning Commission
Robert Rice	Regional Planning and Program Manager, NYSDOT, Region 1
Steve Iachetta,	Airport Planner, Albany International Airport, CDTC Planning Committee Chair
Thomas C. Werner	Saratoga County
Todd Finkle	The Arc of Rensselaer County
Toufiq Zahan	Transit Specialist, NYSDOT, Region 1

Appendix E: Public Involvement Notices



Federal Certification

Federal Certification 2020

Every four years our partners at the Federal Highway Administration (FHWA) and Federal Transit Administration (FTA) conduct an evaluation of the Capital District Transportation Committee's effectiveness as an agency. The evaluation includes everything our agency works on from transportation planning to public outreach.

You are invited to participate in a 1-hour long virtual session with FHWA and FTA on Friday, June 5th at 10:00 AM. You must [register to participate](#). To view the meeting without registering, watch on [CDTC's YouTube Channel](#). This can be watched live or at your convenience.

Public feedback is an essential part of this review. Ways to provide input include completing the survey below or sending comments to any of the following agency contacts.

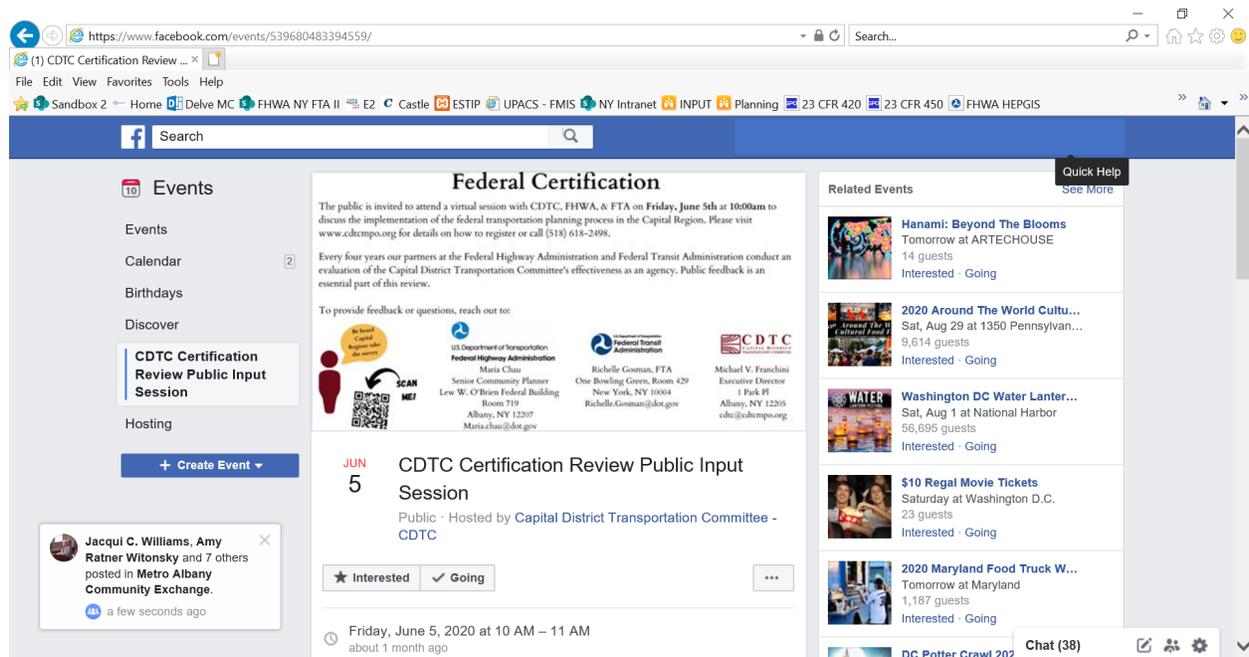
<p>Public Input Survey</p>  <p>Complete a short survey</p>	<p>Federal Highway Administration</p> <p>Maria Chau</p> <p>Senior Community Planner</p> <p>Lew W. O'Brien Federal Building Room 719 Albany, NY 12207</p> <p>Maria.chau@dot.gov</p>	<p>Federal Transit Administration</p> <p>Richelle Gosman</p> <p>Community Planner</p> <p>One Bowling Green Room 429 New York, NY 10004</p> <p>Richelle.Gosman@dot.gov</p>	<p>Capital District Transportation Committee</p> <p>Michael V. Franchini</p> <p>Executive Director</p> <p>1 Park Place Albany, NY 12205</p> <p>cdtc@cdtcmpo.org</p>
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Focus Areas for the CDTC 2020 Federal Certification

Long-Range Transportation Plan & Development

Safety, Security & Resiliency

Appendix E: Public Involvement Notices (Cont'd)



Federal Certification

The public is invited to attend a virtual session with CDTC, FHWA, & FTA on **Friday, June 5th at 10:00am** to discuss the implementation of the federal transportation planning process in the Capital Region. Please visit www.cdtempo.org for details on how to register or call (518) 618-2498.

Every four years our partners at the Federal Highway Administration and Federal Transit Administration conduct an evaluation of the Capital District Transportation Committee's effectiveness as an agency. Public feedback is an essential part of this review.

To provide feedback or questions, reach out to:




 U.S. Department of Transportation
Federal Highway Administration
 Maria Chau
 Senior Community Planner
 Lew W. O'Brien Federal Building
 Room 719
 Albany, NY 12207
Maria.chau@dot.gov


 U.S. Department of Transportation
Federal Transit Administration
 Richelle Gosman, FTA
 One Bowling Green, Room 429
 New York, NY 10004
Richelle.Gosman@dot.gov


CDTC
 CAPITAL DISTRICT
 TRANSPORTATION COMMITTEE
 Michael V. Franchini
 Executive Director
 1 Park Pl
 Albany, NY 12205
cdtc@cdtempo.org

Appendix F: Public Comments and Interview Summary

Interview with the CDTC Policy Board & Planning Committee Members (June 4, 2020)

Questions

1. *From your perspective, how well do you understand the CDTC transportation planning process?*

Summary Response: Generally, members of the Policy Board and Planning Committee understood the transportation planning process well and cited examples of how this process supported regional transportation planning effectively. Those who were newer to the process expressed that they found the process to be effective, inclusive, diverse, and transparent.

2. *From your perspective, how well is the CDTC transportation planning process working to effectively improve transportation in the Region?*

Summary Response: Members of the interview were pleased with the effectiveness of the process for Regional Transportation Planning. With the 27-member Policy Board that includes Federal, State, County, City, Town, and Village representatives, the interviewees reinforced that it was a great partnership and everyone had the opportunity to have their interests represented at the CDTC table. Members are multimodal and find the process useful in coming to agreement on decisions made for transportation investment that impacts the Region and also to gain assistance and funding for projects for their locale where planning may not have taken place if it were not for CDTC.

3. *Are there opportunities for you to provide input on transportation issues and plans, such as the long-range transportation plan and other studies and issues?*

Summary Response: Yes, CDTC members resoundingly responded that CDTC's transportation planning process for the LRTP, TIP, and UPWP development is well publicized through multiple methods including letters that inform members of the current actions and activities, CDTC's newsletter that is sent to their mailing list, outreach through CDTC's updated website from 2016, and social media presence and materials available at libraries.

4. *Are there opportunities for people of all ages, abilities, incomes, and races to provide input in the transportation planning process?*

Summary Response: Yes, CDTC members responded that CDTC provides opportunities for all ages, abilities, incomes, and races to provide input in the transportation planning process. At the beginning of every Policy Board or Planning Committee meeting, a time slot is made available for visitors to voice any issues or concerns with the transportation planning process. CDTC has multiple advisory committees and task groups available for anyone in the community to join in where many stakeholders, advocacy groups, and members of the public participate. CDTC started their Equity Advisory Committee in 2019, tasked with reviewing projects, planning studies, etc. for Environmental Justice areas.

Appendix F: Public Comments and Interview Summary (Cont'd)

5. *What are some things that work well?*

Summary Response: Regional partnership and respect on the Federal, State, and Local level. Transparency, inclusion, and trust in the implementation of CDTC's transportation planning process. Information exchange and education. CDTC staff stays up to date on new methods, policies, and opportunities in Transportation Planning and effectively informs and educates members and stakeholders of these areas.

6. *What areas do you think can be improved?*

Summary Response: Several of the members responded on areas that could be improved, including: 1) How can CDTC bring rural areas in the MPA to the table for their input on Regional Transportation Planning? Sometimes these areas are not aware of CDTC and it may be difficult to get the right contact information for these municipalities; 2) Local match can be a barrier, are there other methods like in-kind match? 3) How can we help the public understand the difference between CDTA and CDTC? and 4) How do we prepare for the future? There was a consensus that Resiliency and Sustainability need to be a focus for Regional Planning.

Interview with Non-Public Agency Stakeholders (June 5, 2020)

Questions

1. *From your perspective, how well do you understand the CDTC transportation planning process?*

Summary Response: Members of the public and stakeholders expressed that CDTC staff is helpful in educating them on the transportation planning process and that the stakeholders found that their input to advocate for bicycle-pedestrian and complete streets was fairly considered in the transportation planning process.

2. *From your perspective, how well is the CDTC transportation planning process working to effectively improve transportation in the Region?*

Summary Response: The transportation planning process is effective in the Region because the process is transparent and inclusive. CDTC staff are knowledgeable and provide both qualitative and quantitative analysis on the website, which clearly explains how the process works.

3. *Are there opportunities for you to provide input on transportation issues and plans, such as the long-range transportation plan and other studies and issues?*

Summary Response: Yes, CDTC staff ensures that ample opportunities are available for the public to provide input in the long-range transportation plan and other studies and issues. CDTC staff ensures that the process is open and that they are responsive. CDTC keeps the Policy Board and Planning Committee and local municipalities informed for grant opportunities such as recreational trails, TAP-

Appendix F: Public Comments and Interview Summary (Cont'd)

CMAQ and other funding opportunities, which is very helpful to local municipalities who otherwise may not be aware. CDTC staff has done excellent outreach on the Local Safety Plan, the Regional Trail Plan, Capital Car share, CDPHP Bike share.

4. Are there opportunities for people of all ages, abilities, incomes, and races to provide equal access and opportunity for input in the transportation planning process?

Summary Response: Yes, CDTC provides multiple means of providing input including committees, workshops, surveys, webinar series. CDTC staff have even reached out to the Shenendehowa youth group, and others on bike-ped safety. Additionally, in 2019, CDTC initiated their Equity Advisory Committee.

5. What are some things that work well?

Summary Response: The stakeholders expressed areas that work well with CDTC, including: 1) Access to grant opportunities for smaller local municipalities; 2) South Pearl St. Heavy Vehicle Transportation Study; 3) Linkage Studies for parking, traffic circulation; and 4) CDTC does a fantastic job in reaching to all stakeholders and, particularly, fostering innovation. A clear example of the latter is CDTC's stellar involvement in National Cooperative Highway Research Program (NCHRP) projects with RPI. The CDTC staff has been very involved in these research efforts, which have resulted in numerous products that benefit CDTC operations and the country as a whole.

6. What areas do you think can be improved?

Summary Response: The stakeholders expressed areas that could be improved, including: 1) for locals to lower or be able to use in-kind match for the linkage program like the NYSDEC programs; 2) that while bridges and highways are the backbone to the transportation system, they seem to get lost in the planning process compared to other modes; and 3) that main roads as they're built aren't being built to serve all needs such as bicycles and pedestrians and that the infrastructure should serve all users.

Public Comment Survey (Open from May 9, 2020 – June 9, 2020)

There were twelve (12) respondents. Ten (10) identified as White, one (1) as Black, and one (1) as Other. Seven (7) of the respondents indicated that they were members of a Sub-Committee, Technical Committee, Advisory Committee, or a Working Group Member, two (2) were Planning Committee Members, two (2) were Advocacy Representatives, and once (1) indicated that he or she had no affiliation with CDTC.

Question 1: *From your perspective, how well do you understand CDTC's role in the Region and CDTC transportation planning process?*

Appendix F: Public Comments and Interview Summary (Cont'd)

Summary Response

Overall, respondents indicate that they understand CDTC's role and the transportation planning process very well. CDTC's work to provide a forum for open communication among a diverse constituency is highlighted.

Responses

1. Understand it well.
2. CDTC's role in transportation planning is clear and explicit
3. I have a good working understanding of CDTC's role in the region and of the CDTC transportation planning process from both academic study and practical experience. From my standpoint, CDTC also effectively communicates in a variety of ways its role to various constituencies and the public at large.
4. very well
5. Very well.
6. I understand the role of CDTC in controlling Federal transportation funding. It provides a forum for all those involved in transportation to share ideas and make decisions together.
7. We are expanding our understanding of its value and potential as we increase our involvement.
8. extremely well
9. Very well
10. Some what
11. I sit as a representative on the environmental justice review board and I believe the CDTC is a fair and transparent agency.
12. Crucial planner of infrastructure planning to adapt to changing environment and commercial activity vital to the capital district moving goods and people

Question 2: *From your perspective, how well is the CDTC transportation planning process working to effectively improve transportation in the Region?*

Summary Response

Respondents recognize that CDTC's process leads to transportation plans that offer multimodal solutions to transportation issues.

Responses

1. effectively improve transportation in the Region? The CDTC has given support to the creation of many trails throughout Clifton Park and Halfmoon. We really like them and are grateful for these new trails. They provide a new way for us to travel on foot or on bicycle. CDTC is definitely improving transportation in the region. The only problem is that some plans made by the towns never get put to use for one reason or another.
2. CDTC provides meaningful lines of bi-directional communications in development of regional plans.

Appendix F: Public Comments and Interview Summary (Cont'd)

3. The CDTC transportation planning process is working very effectively improve transportation in the Region. Some highlights, from my standpoint are: CDTC's explicit focus on and funding activities relative to the land use-transportation nexus; CDTC employs diverse working groups and advisory committees which include key stakeholders, have spearheaded valuable programs and activities; CDTC's long term plan engages with critical issues, such as how technology and automation will affect transportation, and CDTC's public involvement is multi-dimensional; and CDTC provides an ongoing forum for practitioners to respond to changing needs and address emerging issues.
4. we still don't fully act as a region
5. Very well. More of our challenges come from NYSDOT.
6. I think CDTC has done an excellent job of improving transportation in our area.
7. Our CDTC continues to have an impact on transportation in our region
8. extremely well
9. Yes.
10. Good
11. I believe they are a neutral party that has a wide scope to improve all modes of transportation in our region including bike, pedestrian and traditional modes of transportation.
12. You have some of the best people in the business managing the program there!

Question 3: *Are there opportunities for you to provide input on transportation issues and plans, such as the long-range transportation plan and other studies and issues?*

Summary Response

Respondents suggest that there is ample opportunity for the public to participate in CDTC activities, including in-person public hearings, meetings, workshops, and written surveys.

Responses

1. Yes; Face-to-face and online meetings are open to everyone. As for input on studies and issues, the CDTC has open surveys where anyone can give feedback and ask questions.
2. CDTC provides multiple opportunities for input (public hearings, various meetings, workshops, surveys, etc.)
3. Yes. CDTC provides a variety of mechanisms for practitioners to contribute, including at Planning Committee meetings, participation in advisory committees, and written comment. CDTC also provides a variety of ways, including contemporary use of social media and online platforms, for the public to contribute. CDTC is also always willing to engage local decision makers by, e.g., making presentations at Board meetings.
4. yes, but most people don't participate
5. They listen and respond

Appendix F: Public Comments and Interview Summary (Cont'd)

6. yes, as a member of the Planning Committee
7. We have ample opportunity and TIMELY opportunity, but we are not sure where CDTC stands in the state, federal and local budgetary processes that are determinate processes.
8. yes
9. Yes, always
10. yes
11. Yes
12. Yes

Question 4: *Are there opportunities for people of all ages, abilities, incomes, and races to provide equal access and opportunity for input in the transportation planning process?*

Summary Response

Most respondents are satisfied with CDTC's efforts to engage various stakeholder groups and their work to improve engagement. There is recognition that these efforts may not actually reach all communities.

Responses

1. Yes; CDTC does not discriminate. Anyone can attend a meeting, and nobody is restricted from giving input. We, for example, are a club of middle schoolers (<https://shenfl.wixsite.com/cpmac>), and we are welcomed and supported by the CDTC. They are very enthusiastic to help us.
2. CDTC has been particularly sensitive to address equity interests. Representation of youth on committees is encouraged.
3. Yes. CDTC maintains an explicit focus on equity and strives to engage diverse groups and publics through multiple mechanisms.
4. in a legal sense yes, but it doesn't reach every community
5. I'm glad for the on-line meetings.
6. Yes
7. We are working on expanding our outreach. In the last 2 years we have made significant improvement
8. yes
9. Yes
10. Yes
11. Yes, very much so with public comment and community engagement
12. Yes

Appendix F: Public Comments and Interview Summary (Cont'd)

Question 5: What are some things that work well and what areas do you think can be improved?

Summary Response

Respondents share that CDTC's staff and approaches to engagement allow members of the public who wish to be involved in the planning process to engage. There are recommendations that online engagement approaches remain available in the post-pandemic era. Respondents also recognize that implementation could be improved by altering local match requirements and engaging more jurisdictions in the region.

Responses (1 Respondent Skipped Question)

1. Everyone has a say in the transportation planning process. We see 10-20 year old plans that are great, but have not led to anything yet. This process is slow.
2. CDTC is effective in leveraging multiple regional assets and communicating with its publics. Region could benefit from adoption / implementation of Complete Streets policies by additional jurisdictions.
3. CDTC's management of the federal aid process, including engaging a diverse group of agencies, authorities, and municipalities is a strength, as is the explicit focus on consensus-driven decision making. CDTC's staff are knowledgeable, capable, and available, and provide local practitioners a resource and way to plug in to larger conversations. I also think CDTC effectively addresses, through the lens of quality of life, emerging strategies to improve mobility and accessibility, and I think there is ample evidence around the region of the success of these strategies. I also think CDTC does a good job of balancing the needs of a region with diverse settlement types and patterns while addressing what, from a professional practice standpoint, what "ought" to or could be. As a relatively new member of the Planning Committee, it can be challenging for the uninitiated without the benefit of experience to get up to speed with the Committee's work and the federal aid process.
4. fully fund and build the regional greenways system
5. Can all of the training be made on-line, rather than going to the CDTC conference room??
6. Their funding of planning works well. It could be improved by lowering the matching dollars and allowing in kind matching.
7. I think that the current structure of the commission affords those who wish to be informed, not just reactionary. The current CDTC process offers access, education, and understanding of the role of data, its use (and misuse) in transportation planning. To the credit of our commission they have worked to improve the utilization of data by encouraging us to interrogate the data...making CDTA responsive to us as "insiders" in the planning process. It makes the public participation for meaningful (I hope) for the professional staff.
8. meetings, accessibility of staff and professional interest in every municipality's plans. Staff even attend our study advisory committee and other planning initiatives.
9. the members of the CDTC are very thorough with their research of the regional area of traffic incidents and where improvements can be made. Frequent meetings are held which are always informative and allow for open conversation and questions.

Appendix F: Public Comments and Interview Summary (Cont'd)

10. Using technology like zoom or online platforms for more community input post pandemic. The CDTC must encourage large scale projects to build a website to keep our community informed on the progress of a particular project and use a platform for people to provide feedback.
11. Seeking input from all interested parties...disappointing sometime the poor turnout for excellent programs

Appendix G: Regulatory Basis of Planning Topics

Unified Planning Work Program

23 CFR 450.308 and 420 set the requirement that planning activities performed under Titles 23 and 49 U.S.C. be documented in a Unified Planning Work Program (UPWP). The MPO, in cooperation with the State and public transportation operator, shall develop a UPWP that includes a discussion of the planning priorities facing the MPA and the work proposed for the next one- or two-year period by major activity and task in sufficient detail to indicate the agency that will perform the work, the schedule for completing the work, the resulting products, the proposed funding, and sources of funds.

TIP Development and Project Selection

23 U.S.C. 134(c), (h) & (j) set forth requirements for the MPO to cooperatively develop a Transportation Improvement Program (TIP). Under 23 CFR 450.326, the TIP must meet the following requirements:

- *Must cover at least a four-year horizon and be updated at least every four years.*
- *Surface transportation projects funded under Title 23 U.S.C. or Title 49 U.S.C., except as noted in the regulations, are required to be included in the TIP.*
- *Make progress toward achieving the performance targets.*
- *A description of the anticipated effect of the TIP toward achieving the performance targets (to the maximum extent practicable).*
- *List project description, cost, funding source, and identification of the agency responsible for carrying out each project.*
- *Projects need to be consistent with the adopted MTP.*
- *Must be fiscally constrained.*
- *The MPO must provide all interested parties with a reasonable opportunity to comment on the proposed TIP.*

Transit

49 U.S.C. 5303 and 23 U.S.C. 134 require the transportation planning process in metropolitan areas to consider all modes of travel in the development of their plans and programs. Federal regulations cited in 23 CFR 450.314 state that the MPO in cooperation with the State and operators of publicly owned transit services shall be responsible for carrying out the transportation planning process.

Freight

MAP-21 established in 23 U.S.C. 167 a policy to improve the condition and performance of the national freight network and achieve goals related to economic competitiveness and efficiency; congestion; productivity; safety, security, and resilience of freight movement; infrastructure condition; use of advanced technology; performance, innovation, competition, and accountability, while reducing environmental impacts.

In addition, 23 U.S.C. 134 and 23 CFR 450.306 specifically identify the need to address freight movement as part of the metropolitan transportation planning process.

Appendix G: Regulatory Basis of Planning Topics (Cont'd)

Intelligent Transportation Systems

The FHWA Final Rule and FTA Policy on Intelligent Transportation Systems (ITS) Architecture and Standards, issued on January 8, 2001 and codified under 23 CFR Part 940 ITS Architecture and Standards, requires that all ITS projects funded by the Highway Trust Fund and the Mass Transit Account conform to the national ITS architecture, as well as to U.S. DOT-adopted ITS standards. 23 CFR 940 states that:

- *At the issuance date (January 8, 2001) of the Final Rule/Policy, regions and MPOs implementing ITS projects that have not advanced to final design by April 8, 2005, must have a regional ITS architecture in place. All other regions and MPOs not currently implementing ITS projects must develop a regional ITS architecture within four years from the date their first ITS project advances to final design.*
- *All ITS projects funded by the Highway Trust Fund (including the Mass Transit Account), whether they are stand-alone projects or combined with non-ITS projects, must be consistent with the provisions laid out in 23 CFR 940.*
- *Major ITS projects should move forward based on a project-level architecture that clearly reflects consistency with the national ITS architecture.*
- *All projects shall be developed using a systems engineering process.*
- *Projects must use U.S. DOT-adopted ITS standards as appropriate.*
- *Compliance with the regional ITS architecture will be in accordance with U.S. DOT oversight and Federal-aid procedures, similar to non-ITS projects.*

Congestion Management Process

23 U.S.C. 134(k)(3) and 23 CFR 450.322 set forth requirements for the congestion management process (CMP) in TMAs. The CMP is a systematic approach for managing congestion through a process that provides for a safe and effective integrated management and operation of the multimodal transportation system. TMAs designated as non-attainment for ozone must also provide an analysis of the need for additional capacity for a proposed improvement over travel demand reduction, and operational management strategies.

23 CFR 450.324(f)(5) requires the MTP include Management and Operations (M&O) of the transportation network as an integrated, multimodal approach to optimize the performance of the existing transportation infrastructure. Effective M&O strategies include measurable regional operations goals and objectives and specific performance measures to optimize system performance.

Transportation Safety Planning

23 U.S.C. 134(h)(1)(B) and (h)(2) require MPOs to consider safety as one of ten planning factors. As stated in 23 CFR 450.306(b)(2), the planning process needs to consider and implement projects, strategies, and services that will increase the safety of the transportation system for motorized and non-motorized users. In addition, SAFETEA-LU established a core safety program called the Highway Safety Improvement Program (HSIP) (23 U.S.C. 148), which introduced a mandate for states to have Strategic Highway Safety Plans (SHSPs). 23 CFR 450.306(d) requires the metropolitan transportation planning process to be consistent with the SHSP, and other transit safety and security planning.

Appendix G: Regulatory Basis of Planning Topics (Cont'd)

Transportation Security Planning

U.S.C. 134(h)(1)(C) requires MPOs to consider security as one of ten planning factors. As stated in 23 CFR 450.306(b)(3), the Metropolitan Transportation Planning process provides for consideration of security of the transportation system.

The regulations state that the degree and consideration of security should be based on the scale and complexity of many different local issues. Under 23 CFR 450.324(h), the MTP may include emergency relief and disaster preparedness plans and strategies and policies that support homeland security, as appropriate.

Public Participation

Sections 134(i)(6), 134(j)(1)(B) of Title 23 and Section 5303(i)(5) and 5303(j)(1)(B) of Title 49, United States Code, require a Metropolitan Planning Organization (MPO) to provide adequate opportunity for the public to participate in and comment on the products and planning processes of the MPO. The requirements for public involvement are detailed in 23 CFR 450.316, which requires the MPO to develop and use a documented participation plan that includes explicit procedures and strategies to include the public and other interested parties in the transportation planning process.

Specific requirements include giving adequate and timely notice of opportunities to participate in or comment on transportation issues and processes, employing visualization techniques to describe metropolitan transportation plans and TIPs, making public information readily available in electronically accessible formats and means such as the world wide web, holding public meetings at convenient and accessible locations and times, demonstrating explicit consideration and response to public input, and periodically reviewing the effectiveness of the participation plan.

Performance Based Planning and Programming

23 U.S.C. 150(b) identifies the following national goals for the focus of the Federal-aid highway program: Safety, Infrastructure Condition, Congestion Reduction, System Reliability, Freight Movement and Economic Vitality, Environmental Sustainability, and Reduced Project Delivery Delays. Under 23 U.S.C. 134(h)(2), the metropolitan planning process shall provide for the establishment and use of a performance-based approach to transportation decision-making to support the national goals, including the establishment of performance targets.

23 CFR 450.306(d) states that each MPO shall establish performance targets to support the national goals and track progress towards the attainment of critical outcomes. Each MPO shall coordinate with the relevant State to ensure consistency, to the maximum extent practicable, and establish performance targets not later than 180 days after the State or provider of public transportation establishes its performance targets. The selection of performance targets that address performance measures described in 49 U.S.C. 5326(c) and 49 U.S.C. 5329(d) shall be coordinated to the maximum extent practicable, with public transportation providers to ensure consistency with the performance targets that public transportation providers establish under 49 U.S.C. 5326(c) and 49 U.S.C. 5329(d). Additionally, each MPO shall integrate the goals, objectives, performance measures, and targets from other performance-based plans and programs integrated into the metropolitan transportation planning process.

23 CFR 450.314(h) states that the MPO, the State, and the public transportation operator shall jointly develop specific written provisions PBPP, which can either be documented as part of the metropolitan planning agreements or in some other means.

Appendix G: Regulatory Basis of Planning Topics (Cont'd)

23 CFR 450.324(f) states that MTPs shall include descriptions of the performance measures and performance targets used in assessing the performance of the transportation system, a system performance report evaluating the condition and performance of the transportation system with respect to the performance targets, and progress achieved in meeting the performance targets in comparison with system performance recorded in previous reports.

23 CFR 450.326(d) states that the TIP shall include, to the maximum extent practicable, a description of the anticipated effect of the programmed investments with respect to the performance targets established in the MTP, the anticipated future performance target achievement of the programmed investments, and a written narrative linking investment priorities to those performance targets and how the other PBPP documents are being implemented to develop the program of projects.

23 CFR 450.340 states that MPOs have two years from the effective dates of the planning and performance measures rule to comply with the requirements.

Planning Environmental Linkage

PEL is an approach to decision-making that considers environmental and community goals early in the planning stage and carries them into project development, design, and construction.

23 U.S.C. 134(i)(2)(D) and 23 CFR 450.324(f)(10) requires environmental mitigation be set forth in connection with the MTP. The MTP is required to include a discussion of types of potential environmental mitigation activities for the transportation improvements and potential areas to carry out these activities, including activities that may have the greatest potential to restore and maintain the environmental functions affected by the plan.

23 U.S.C. 168 and Appendix A to 23 CFR Part 450 provide for linking the transportation planning and the National Environmental Policy Act (NEPA) processes. A Planning and Environmental Linkages (PEL) study can incorporate the initial phases of NEPA through the consideration of natural, physical, and social effects, coordination with environmental resource agencies, and public involvement. This will allow the analysis in the PEL study to be referenced in the subsequent NEPA document once the project is initiated, saving time and money with project implementation.

One Federal Decision (OFD) - In 2017, the Federal Executive Order (EO) 13807 created an additional impetus to link planning and environmental decision-making processes. The EO sets a goal of reducing the time to complete required environmental reviews and authorization decisions for major infrastructure projects, as One Federal Decision, to not more than two years.

Appendix H: Acronyms

3C	The Continuing, Cooperative, and Comprehensive planning process
AADT	Average Annual Daily Traffic
ADA	Americans with Disabilities Act
APTA	American Public Transit Association
ATMS	Advanced Traffic Management System (ITS)
AVAIL	Albany Visualization and Informatics Lab
BPAC	Bicycle and Pedestrian Advisory Committee
BRT	Bus Rapid Transit
BUILD	Better Utilizing Investments to Leverage Development (Discretionary Grant: Formerly TIGER)
CAA	Clean Air Act
CDRPC	Capital District Regional Planning Commission
CDTA	Capital District Transportation Authority
CDTC	Capital District Transportation Committee
CEO	Chief Executive Officer
CFR	Code of Federal Regulations – the regulations of federal agencies
CMAQ	Congestion Mitigation/Air Quality Improvement Program
CMP	Congestion Management Process
COP	Continuing Operations Plan
COVID-19	Coronavirus (SARS-CoV-2, 2019 Novel Coronavirus, nCov)
CSCMP	Council of Supply Management Professionals
CSS	Context Sensitive Solutions
DOT	Department of Transportation
EJ	Environmental Justice
EO	Executive Order
FAC	Freight Advisory Committee
FAST Act	Fix America Surface Transportation Act
FHWA	Federal Highway Administration
FTA	Federal Transit Administration
GE	General Electric
GTSC	Governor’s Traffic Safety Council
HAL	High Accident Location
HSIP	Highway Safety Improvement Program
HSTP	Human Services Transportation Plan
ICM	Integrated Corridor Management
INFRA	Infrastructure For Rebuilding America (USDOT Discretionary Grant: Formerly FASTLane)
ITS	Intelligent Transportation System
LEP	Language English Proficiency
LEPC	Local Emergency Planning Committees
LRP/LRTP	Long Range Plan or Long Range Transportation Plan
MARAD	United States Maritime Administration
MAP-21	Moving Ahead for Progress in the 21 Century
MPA	Metropolitan Planning Area
MPO	Metropolitan Planning Organization
MTP	Metropolitan Transportation Plan (or “Plan”)
NCHRP	National Cooperative Highway Research Program

Appendix H: Acronyms (Cont'd)

NEPA	National Environmental Policy Act
NHS	National Highway System
NTCIP	National Transportation Communications for Intelligent Transportation System Protocol
NYSAMPO	New York State Association of Metropolitan Planning Organizations
NYSDEC	New York State Department of Environmental Conservation
NYSDOT	New York State Department of Transportation
NYSERDA	New York State Energy Research and Development Authority
NYSTA	New York State Thruway Authority
O&M	Operations and Maintenance
PBPP	Performance Based Planning and Programming
PEL	Planning Environmental Linkage
PI&E	Public Information and Education
PL	Federal Metropolitan Planning Funds
PSA	Public Service Announcement
PSAP	Pedestrian Safety Action Plan
RITSA	Regional ITS Architecture
ROSAC	Regional Operations and Safety Advisory Committee
SHSP	State Strategic Highway Safety Plan
STIP	State Transportation Improvement Program
SUNY	State University of New York
SWOT	Strength Weaknesses Opportunities Threats
TDM	Travel Demand Management
TIGER	Transportation Investment Generating Economic Recovery
TIM	Traffic Incident Management
TIP	Transportation Improvement Program
TMA	Transportation Management Area
TMC	Traffic Management Center
TSMO	Transportation Systems Management and Operations
UPWP	Unified Planning Work Program
USC	United States Code – the codified laws of Congress
USDOE	U.S. Department of Energy
USDOT	U.S. Department of Transportation
USEPA	U.S. Environmental Protection Agency
VMT	Vehicle Miles Traveled