



Mid-Hudson Valley Transportation Management Area

2013 FHWA/FTA Certification Review



U.S. Department of Transportation
Federal Highway Administration



U.S. Department of Transportation
Federal Transit Administration

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Mid-Hudson Valley

Transportation Management Area

Transportation Certification Review

Poughkeepsie Dutchess County Transportation Council · Orange County Transportation Council · Ulster County Transportation Council

Certification Report: June 2014

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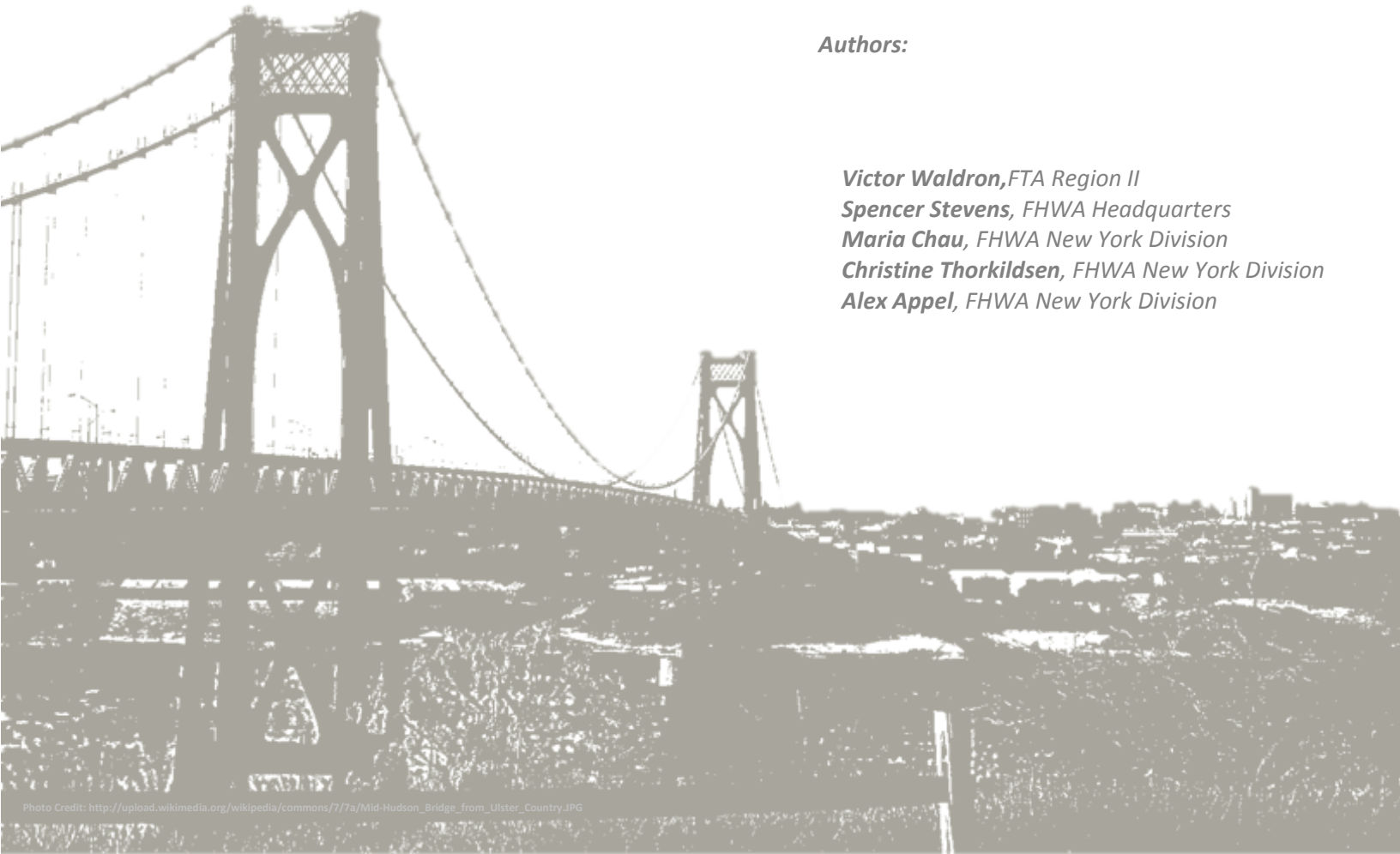
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Preface

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. 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) Section 134 of Title 23, U.S.C., and sections 5303-5306 of Title 49;
- 2) Sections 174 and 176(c) and (d) of the Clean Air Act;
- 3) Title VI of the Civil Rights Act of 1964 and Title VI assurance executed by each State;
- 4) Section 1003(b) of ISTEA regarding the involvement of disadvantaged business enterprises in the FHWA and FTA funded planning projects;
- 5) Americans with Disabilities Act of 1990 and U.S. DOT regulations “Transportation for Individuals with Disabilities”;
- 6) Provisions of the Older Americans Act, as amended (42 U.S.C. 6101);
- 7) The provisions of 49 CFR part 20 regarding restrictions on influencing certain Federal activities; and
- 8) All other applicable provision of Federal law.

The Federal certification review evaluates the regional Transportation Management Area’s transportation planning process, identifies their 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 four 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 four 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.

During the spring of 2013, FHWA and FTA conducted a certification review of the transportation planning process in Dutchess, Orange, and Ulster Counties in the Mid-Hudson Valley TMA urbanized area as carried out by the Poughkeepsie Dutchess County Transportation Council (PDCTC), Ulster County Transportation Council (UCTC), and Orange County Transportation Council (OCTC). This report documents the Federal review.

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Executive Summary

Main Conclusions

The individual and coordinated transportation planning processes in the Mid-Hudson Valley TMA, as carried out by the Poughkeepsie-Dutchess County Transportation Council (PDCTC), the Orange County Transportation Council (OCTC), and the Ulster County Transportation Council (UCTC) are professional endeavors and are hereby certified with corrective actions required.

Background

The Federal Highway Administration and the Federal Transit Administration reviewed the Mid-Hudson Valley TMA transportation planning process in accordance with the requirement of *23 CFR 450.334* that all urbanized areas over 200,000 be reviewed at least every four years to assure that the planning process is in accordance with federal regulations.

The review included a desk-audit, a site visit to the City of Kingston, the Village of Goshen, and the City of Poughkeepsie, and discussions with member agencies and the Central Staff.

Noteworthy Practices

There are many examples of good transportation planning practices in the Mid-Hudson process. We note, for example, the high-level of coordination between the three MPOs that form the Mid-Hudson Valley TMA. This working relationship has assisted them in many coordinated planning activities and is especially highlighted in the success of their project selection process during the *American Recovery and Reinvestment Act (ARRA)*. We also note that the UCTC's Long Range Plan (LRP) was lauded in the *Florida DOT LRP Citizen Friendly Best Practice* publication for the clarity of their document. All three MPOs are commended for both their individual visions and their overall shared vision for expanding and improving non-motorized transportation options in the region.

Corrective Actions, Recommendations, And Concerns

Besides the frequent commendations of existing practices, the report contains three corrective actions that need to be completed within 6 months of receipt of this report (meaning the date of the Federal Certification letter) and recommendations for consideration in furthering program excellence. The corrective actions are as follows:

- 1) Due to the recent change of the urbanized area, as defined by the 2010 Census, the Mid-Hudson Valley TMA must complete an agreement with NJTPA that identifies areas of coordination and the division of transportation planning responsibilities between the two TMAs,
- 2) The TMA must address the requirements for their *Congestion Management Plan* from the previous certification review and,
- 3) OCTC must revise the layout of their UPWP to include all required elements.

Challenges

There are many challenges that face the Mid-Hudson Valley TMA. The Region faces an aging infrastructure; maintaining the current system is made more difficult by increases in material and labor costs and the uncertainty of federal, state, and local transportation funding. Staffing resources at the state, MPO and local level have diminished due to a number of retirements, including NYSDOT staff who had worked closely with the TMA in the past.

The coordination between the three MPOs is one of the greatest strengths and assets of the Mid-Hudson TMA. The challenge will be working together as the transportation community transitions to performance management with requirements of the Moving Ahead for Progress for the 21st Century legislation (MAP-21).

Introduction to the Certification Review Process

Regulation: 23 U.S.C. 134(k)(5)(A), 49 U.S.C. 5303(k)(5)(A)

(5) Certification. -

(A) In general. - The Secretary shall -

(i) ensure that the metropolitan planning process of a metropolitan planning organization serving a transportation management area is being carried out in accordance with applicable provisions of Federal law; and

(ii) subject to subparagraph (B), certify, not less often than once every 4 years that the requirements of this paragraph are met with respect to the metropolitan planning process.

Background

The primary purpose of the Federal Certification Review is to ensure that the MPO process is satisfactorily implementing the planning requirements of 23 U.S.C. 134 and 49 U.S.C. 5303. The findings that result from the review hopefully will improve the effectiveness and efficiency of the planning process. There are also broader benefits to the review, as the Federal Team identifies good or innovative practices to share with other states and metropolitan planning organizations.

Overview of the 2013 Certification Review

The 2013 certification review of Mid-Hudson officially began in April 2013 with a joint FHWA/FTA letter to Mr. Mike Hein, Ulster County Executive, Mr. Marcus Molinaro, Dutchess County Executive, and PDCTC Chairman, and Mr. Edward A. Diana, Orange County Executive and OCTC Chairperson, informing the TMA about the upcoming review and identifying the primary topics for the review (Appendix A). The dates of the site visit were coordinated with Mr. Mark Debald, the Transportation Program Administrator of Poughkeepsie-Dutchess County Transportation Council (PDCTC), Mr. Dennis Doyle, the Director of Planning and Director of Ulster County Transportation Council (UCTC), and Mr. John Czamanske, the Deputy Commissioner of Planning and Staff Director of Orange County Transportation Council (OCTC). The Mid-Hudson staff notified their member agencies and the public about this review.

In preparation for the on-site visit, FHWA and FTA conducted an internal desk audit of the three MPO's (PDCTC, OCTC, UCTC) materials, including the Mid-Hudson 2010 self-certification statement, the 2013-2014 Unified Planning Work Programs, the 2011-2015 Transportation Improvement Programs, and their most recent Long Range Transportation Plans.

Site Visit

The Federal Review Team conducted the site visit from May 29th through May 30th, 2013. The Federal Team consisted of Victor Waldron (FTA, Region 2 Office), Spencer Stevens (FHWA HQ Office of Planning), Maria Chau, Christine Thorkildsen, and Alex Appel (FHWA HQ, NY Division).

The certification review was structured so that the initial meeting was a joint meeting with all three MPOs' staffs to discuss the planning issues, products and coordination that are required in a TMA. The next three meetings were individual meetings with each MPO to evaluate the MPO's capabilities and operations in its respective county, including the areas outside the TMA boundary. The detailed discussions were primarily with the respective County Planning senior/transportation planning staff, the staffs of the three MPOs, and NYSDOT Region 8 and Main Office staff. The agenda for the site visits is shown in 'Appendix B' and a list of participants is shown in 'Appendix C'.

Public Input

As part of the certification review process the Federal Review Team solicits input from the communities and stakeholders within the region where they are offered the opportunity to submit written comments on the Mid-Hudson Valley Transportation Management Area's transportation planning process. Between the initiation letter that was sent to the TMA and the on-site review it was decided that the 30 day public comment period would be instituted. Solicitations of written comments were publicized through the individual MPOs. Comments needed to be received by June 15th. These arrangements were made through the generous assistance of Mid-Hudson Valley TMA staff.

No written comments were received.

Corrective Actions, Recommendations, and Commendations

Below is the list of *Corrective Actions*, *Recommendations* and *Commendations* from the Federal Team's review of work products and processes that are the result of the TMA's transportation planning process. Each of these comments can also be found at the end of their respective certification topic sections.

Corrective Actions

1. *Agreements and Contracts*

- The Mid-Hudson Valley TMA shall complete an agreement with North Jersey Transportation Planning Authority (NJTPA) that identifies areas of coordination and the division of transportation planning responsibilities among the two TMAs (due to changes in the UZA boundary after the 2010 Census).

The agreement shall be completed within six months of the receipt of this report.
(See 23 CFR 450.314(d))

2. *Congestion Management Process*

- The TMA must revisit the corrective actions and recommendations issued by FHWA/FTA during the 2010 Certification Review process when it updates its current CMP. In particular, the TMA must work towards:
 - Developing multimodal performance measures
 - Creating an implementation schedule and identifying funding sources for improvements, and
 - Identifying a process for periodic assessment of the effectiveness of implemented strategies

Within six months of receipt of this report, the TMA must have a work plan that outlines how it plans on addressing this *Corrective Action* in the CMP update.
(See 23 CFR 450.320)

3. *Unified Planning Work Program*

- OCTC shall change the format of the main body of the document to ensure each activity and task includes information on whether MPO staff or consultant will perform the work, the resulting products, project schedule, and a summary of the total amounts and sources of Federal and matching funds. (See 23 CFR 450.308(c))

These actions should be completed for the 2014-2015 UPWP.

Recommendation

1. Agreements and Contracts

- UCTC and PDCTC should update their operating procedures to include MAP-21 definitions for TIP administration modification and amendment.
- PDCTC and OCTC should revisit conformity agreements with NYMTC and DEC given the change to the 8-hour ozone standard and changes to the air quality non-attainment area boundaries and update.

2. Long Range Transportation Plan

- OCTC should align its next Long Range Plan horizon date with the other two MPOs.
- OCTC should work to incorporate performance measures into the transportation plan.
- OCTC should include a broader discussion of types of potential environmental mitigation activities and potential areas to carry out these activities.

3. Unified Planning Work Program

- OCTC and PDCTC should try to fully utilize their annual allocation of UPWP funds to avoid accumulating backlog funds.

4. Transportation Improvement Program/Financial Plan/ Annual List of Obligations

- We recommend that UCTC and OCTC clearly label a 'Financial Plan' section in the TIP documents for clarity purposes.
- We recommend OCTC include the TIP narrative along with the TIP list on their webpage so that information is readily available to the public and stakeholders.
- We recommend OCTC update their website with the FFY 2013 obligations report and refer to this document as "Annual Listing of Obligated Projects" in order to avoid confusion and to maximize availability to the public.
- Given MAP-21's emphasis on performance measures for the federal-aid transportation program and the federal and state emphasis on project obligation and project completion, we recommend that the MPOs consider evaluating 'project delivery readiness' for the deliverability of all projects using federal-aid funds.

5. Transit Activities – Human Services Transportation Plan

- The MPOs should complete a TMA-wide transit study.

6. Integrating Freight in the Transportation Planning Process

- Given the increase emphasis on goods movement, the Federal Review Team recommends that the Mid-Hudson TMA develop a joint Regional Freight Plan to assist the TMA in better understanding goods movement needs in the Region and to coordinate goods movement priorities with NYSDOT in their process of developing a State Freight Plan.
- The Federal Review Team recommends that the Mid-Hudson TMA increase outreach to private sector stakeholders for greater input on their freight planning process. These

include non-traditional stakeholders and users of the system such as shippers and receivers, trucking companies, logistics firms, and manufacturing companies.

- The Federal Review Team recommends that the Mid-Hudson TMA consider providing additional training for staff in the area of freight planning (*National Highway Institute* provides training courses).

7. *Title VI and Environmental Justice*

- With the assistance of NYSDOT, the MPOs should create, either individually or as a TMA, a *Title VI Nondiscrimination Implementation Plan* documenting their Title VI Program activities and outlining the goals and objectives relevant to Title VI that:
 - Identifies a Title VI Coordinator including responsibilities of that role
 - Outlines complaint procedures for the TMA
 - Includes Title VI assurance language which is also required in all consultant contracts
 - Identifies an action plan and areas of internal review
- The TMA should include a list of goals on improving the outreach and inclusion of the special emphasis groups in their Title VI Nondiscrimination Implementation Plan. It should include the results from data collection and analysis, containing the data for the identified special emphasis groups (minority, low income, and LEP populations and persons with disabilities) and use the most recent census data. When the plan is to be updated it should include an accomplishment report based on the goals set forth in their Title VI Nondiscrimination Implementation Plan. (23 CFR 200.9(b)(10))
- Each MPO should seek Title VI training opportunities with NYSDOT as they become available.

8. *Public Involvement*

- OCTC should improve access to the MPO section of the county's website.

9. *Management and Operations Considerations / Intelligent Transportation Systems*

- The three MPOs should participate in NYSDOT Region 8's planned update of its Regional ITS Architecture per 'Action Item 3-6' as found in the TMA's 2005 Congestion Management Process Report.
- The three MPOs should ensure that if any MPO member agency plans to advance ITS projects using federal funds, the project must be included in the Region's ITS Architecture.

Commendation

1. *Long Range Transportation Plan*

- PDCTC and UCTC developed transportation *Performance Measures* in connection with the goals of their LRTPs to better evaluate and communicate the performance of the transportation network within their MPO areas.
- UCTC was highlighted in the *Long Range Transportation Plan Citizen-Friendly Best Practices* by the Florida Department of Transportation Office of Policy and Planning for their Long Range Plan being clear, well-written and supported with a level of detail that effectively communicates to the public.

2. *Transportation Improvement Program/Financial Plan/ Annual List of Obligations*
 - We commend the comprehensive and accessible level of detail the PDCTC provides in their TIP narrative.
3. *Non-Motorized Bicycle/Pedestrian and Trails*
 - All three MPOs are commended for both their individual visions and their overall shared vision for expanding and improving non-motorized transportation options in the region.
4. *Title VI and Environmental Justice*
 - All three MPOs have worked diligently to assure successful Title VI/Environmental Justice programs.
5. *Congestion Management Process*
 - The scale of the TMA's CMP is appropriate given the documented congestion levels in the region.
 - The TMA is commended for completion of its 2011 tri-county Travel Time Survey, which will provide valuable data for the next iteration of the CMP.
6. *Management and Operations Considerations/ Intelligent Transportation Systems*
 - During its TIP project selection process, the PDCTC's TIP project selection criteria awards points to projects that "include use of ITS technology."
 - Local transit operators (including Dutchess County LOOP, the City of Poughkeepsie, and Ulster County Area Transit) are deploying ITS technologies, including automatic vehicle location (AVL) sensors and transit signal priority (TSP).
7. *Visualization*
 - PDCTC is commended for developing their "TIP Viewer" which provides access to their members, stakeholders, partnering agencies, and the public to view project information on an interactive map which links to websites.
 - PDCTC is commended for using visualization to analyze and communicate the CR 93 Corridor Management Plan in the Town of Wappinger. Trans CAD was used to analyze and develop land use alternatives. Trans Modeler was used to produce micro-simulations that assisted decision-makers.
 - OCTC is commended for the extended use of visualization in their Newburgh Area Transportation & Land Use Study which included several productions of micro-simulations that assisted in the public involvement process.

Status of 2010 Certification Review Findings

The Federal Review Team reviewed the 2010 Certification Review findings. There were five *Corrective Actions* and seven *Recommendations* along with their state listed below.

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

Corrective Action	Status
<p>Organizational Structure All three MPOs need to review their <i>Operating Procedures</i> and either make the necessary revisions thereto or adopt new written agreements covering the roles and responsibilities for cooperative planning, planning roles and responsibilities, the development/sharing of financial information for TIPs and Metropolitan Transportation Plans, and the development of the annual listing of obligated projects. This should be accomplished by May 1, 2010.</p>	<p>Completed</p>
<p>Public Involvement Process OCTC needs to revise its website to a format that is more conducive to providing easier public access to information, offer a clear opportunity for the public to comment on MPO matters, and better reflect that OCTC is an MPO rather than merely a subunit of the County. This should be accomplished by October 1, 2010. Although not a corrective action per se, we strongly recommend that PDCTC pursue a similar effort.</p>	<p>Improved <small>See p.7 Recommendation #8</small></p>
<p>Unified Planning Work Program UCTC needs to include the resulting products and schedule for completing work for all UPWP projects. This must be accomplished in the 2010-2011 UPWP.</p>	<p>Completed</p>
<p>Metropolitan Transportation Plan OCTC needs to publish the <i>2035 Plan</i> in hard copy form as soon as practicable. The Plan needs to include an estimate of needs and financial tables. The Plan should also include a table of planned investment strategies for the limited funding. This should be accomplished by October 1, 2010.</p>	<p>Completed</p>
<p>Memorandum of Understanding on Air Quality Within six months after EPA approves or finds adequate a specific emissions budget for the Ozone nonattainment area, a Memorandum of Understanding must be developed that satisfies the requirements of 23 CFR 450.314 (b). This is to be a written agreement among the NYSDOT, NYSDEC, affected local agencies, and the three MPOs (PDCTC, OCTC and NYMTC) describing the process for cooperative planning and analysis of all projects within the nonattainment or maintenance area. The agreement must also indicate how the total transportation-related emissions for the nonattainment or maintenance area are treated for determining conformity.</p>	<p>Completed</p>

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

Recommendations	Status
Transportation Improvement Program	
<input type="checkbox"/> The MPOs should reevaluate their TIP revision guidelines in light of the new definitions of Amendment and Administrative Modification.	Completed
Public Involvement Process	
<input type="checkbox"/> The MPOs should work to clarify the relationship between the TIP and the STIP on their websites.	Completed
<input type="checkbox"/> OCTC should consider publishing a quarterly newsletter.	Advised
<input type="checkbox"/> The MPOs should revise their public involvement procedures to reflect how they are incorporating the use of visualization and consulting with resource agencies.	Completed
<input type="checkbox"/> The MPOs should work to clarify the relationship between TIP and STIP information on their website.	Completed
Metropolitan Transportation Plan	
<input type="checkbox"/> The MPOs should work to incorporate Performance Measures into the transportation plan.	Completed & In Progress for MAP-21
<input type="checkbox"/> UCTC should try to harmonize its next Plan horizon date with the other two MPOs.	Planned for 2015
<input type="checkbox"/> The next versions of the MPOs Plans should include a broader discussion of types of potential environmental mitigation activities and potential areas to carry out these activities.	In Progress
<input type="checkbox"/> The MPOs should consider having a jointly written section covering TMA-wide issues included in each individual Plan.	Completed
Congestion Management Process	
<input type="checkbox"/> Performance measures and strategies: The development of a congestion management process (CMP) should result in multimodal system performance measures and strategies appropriate to assess the extent of congestion. The Mid-Hudson Valley’s CMP does identify performance measures (V/C) and this is mentioned in the metropolitan transportation plans and the TIPs. The CMP needs to also identify appropriate strategies to assess the extent of congestion.	Partially Completed See p.5 Corrective Action #2
<input type="checkbox"/> A process to evaluate the causes of congestion is needed.	Not Completed See p.5 Corrective Action #2
<input type="checkbox"/> Implementation schedule & funding source for identified improvements: The CMP should identify an implementation schedule, implementation responsibilities, and possible funding sources for each strategy (or combination of strategies) proposed for implementation.	Not Completed See p.5 Corrective Action #2
<input type="checkbox"/> Periodic assessment: Implementation of a process for periodic assessment of the effectiveness of implemented strategies, in terms of the area’s established performance measures. We recognize that the current CMP does call for reevaluation; however, this needed action is still outstanding.	Not Completed See p.5 Corrective Action #2

Unified Planning Work Programs	
<input type="checkbox"/> The MPOs should consider evaluating the potential benefits that the CDTC's Linkage Program approach could have in their individual areas.	Completed
<input type="checkbox"/> The OCTC should ensure drawdown of UPWP carry over funds to avoid additional accumulation of backlog funds.	In Progress
Title VI/Environmental Justice	
<input type="checkbox"/> A recommendation for each MPO is to analyze the extent of outreach to EJ communities by overlaying addresses from mailing lists and comments received onto maps of EJ communities and TIP projects. Although this may provide limited information, it may provide an insight to the level of outreach achieved.	Completed
<input type="checkbox"/> OCTC needs to present Title VI/EJ statistics on its website and include a fuller discussion in its planning documents on how Title VI/EJ considerations are used.	Completed
Security Planning	
<input type="checkbox"/> The MPOs should open a discussion with their members on their appropriate role in furthering coordination and cooperation among member agencies on security issues. The UPWP should set aside funding for MPO staff professional development.	Completed

Mid-Hudson Valley Overview, MPO Boundaries, and Organizational Structure

“23 U.S.C. and Section 8 of the Federal Transit Act ... require that a Metropolitan Planning Organization (MPO) be designated for each urbanized area and that the metropolitan area has a continuing, cooperative and comprehensive transportation planning process that results in plans and programs that consider all transportation modes and supports metropolitan community development and social goals.”

23 CFR Section 450.300

Every urban area in the United States of more than 50,000 persons, as recognized by the U.S. Census Bureau, must have a designated Metropolitan Planning Organization (MPO) in order to qualify for federal highway and transit funding. The MPO is to be the forum for cooperative transportation decision-making for the metropolitan planning area. Those areas with an urbanized population of 200,000 or more persons are classified as Transportation Management Areas subject to additional Federal requirements and scrutiny. One of these additional requirements is for the Federal Highway Administration and Federal Transit Administration to specifically review and evaluate the MPOs transportation planning process at least every four years, and to certify that the MPO is (or is not) meeting said regulations.

Overview and MPO Boundaries

Following the 1990 Census, the Bureau of the Census identified the Poughkeepsie-Newburgh, NY area as an urbanized area, with a population at the time that exceeded 300,000. The area covered by the TMA boundary includes parts of three Counties: Dutchess County (including the City of Poughkeepsie), Orange County (including the Cities of Newburgh and Middletown), and the southeastern portion of Ulster County. Locally, TMA is referred to as the Mid-Hudson Valley, NY TMA in deference to the fact that part of Ulster County is also within the TMA boundary. U.S. Secretary of Transportation officially designated the Poughkeepsie-Newburgh, NY area as a Transportation Management Area. Three independent MPOs are involved in the transportation planning processes within the TMA: the Poughkeepsie-Dutchess County Transportation Council (PDCTC), the Orange County Transportation Council (OCTC), and the Ulster County Transportation Council (UCTC). Since all of the three are involved in planning within the TMA, all three MPOs are subject to the FHWA/FTA certification reviews. This is the third Federal certification review of this TMA.

In 1982, New York Governor Hugh Carey designated the Poughkeepsie-Dutchess County Transportation Council (PDCTC), the Newburgh-Orange County Transportation Council (NOCTC), and the New York Metropolitan Transportation Council (NYMTC) as the recognized MPOs for their respective urbanized areas. Even though Dutchess and Orange Counties were now organizationally separated from the NYC metropolitan transportation process, they still coordinate with NYMTC as matters pertain to the extended region. In the 1990 Census, the Poughkeepsie urbanized area grew westward across the Hudson River into Ulster County (Town of Lloyd). PDCTC subsequently expanded its planning boundary and its voting membership to include representation from Ulster County. The Poughkeepsie and Newburgh urbanized areas continued to expand, so much so that they had grown together across the lower part of Ulster County and became the Poughkeepsie-Newburgh urbanized area. The 2000 Census also identified Kingston as Ulster County's first

urbanized area, and despite the fact that Kingston’s census urban area boundary did not geographically cover the TMA portion of Ulster County, the State and local officials established the Ulster County Transportation Council (UCTC) that covered the entire county of Ulster. UCTC together with the two previously existing MPOs became the Mid-Hudson Valley TMA.

Organizational Structure: Policy Committee and Membership

All three MPOs are similarly structured. The **Policy Committees** are the main decision-making bodies composed of the principal elective officials of general-purpose local governments, as well as principal officials of regional and State transportation agencies. The Policy Committees have the ultimate responsibility for setting the direction of the MPO’s transportation planning activities and approving the products thereof (e.g., Long Range Plan, Transportation Improvement Program and Unified Planning Work Program). Meetings are held ‘as needed’ and have met about six times annually. The official name of the Policy Committee in each MPO (according to approved Operating Procedures) is slightly different: PDCTC – “Executive Committee”; UCTC – “Policy Committee”; OCTC – “Executive Committee”, however, their functions are essentially the same.

Under MAP-21, MPOs in urbanized areas designated as transportation management areas “must include officials of public transit agencies that administer or operate major modes of transportation, as well as representatives of public transit operators, on MPO policy boards”. All three MPOs in the MHV TMA have already satisfied this requirement through the following representation:

MPO	Transit Agency	Coverage	Representative
UCTC	<i>Citibus</i> <i>Ulster County Area Transit</i>	City of Kingston Ulster County	Mayor of City of Kingston Ulster County Executive
OCTC	Orange County MTA	Orange County Regional, Incl. Dutchess and Orange County Government	MTA Chairman
PDCTC	<i>City of Poughkeepsie Transit</i> <i>Dutchess County Public Transit</i>	City of Poughkeepsie Dutchess County	Mayor of City of Poughkeepsie Dutchess County Executive

Each MPO policy committee votes by consensus. Consensus is defined as “unanimity of affected parties”, and the Chairman may judge the extent to which members are affected by proposed committee actions and declare whether or not a consensus exists. All affected voting members have an equal vote (i.e., virtual veto) over any major decision affecting them.

Consensus is not a federal requirement. This arrangement was consciously encouraged by NYSDOT when MPOs were first being formed in the 1970s. At that time, the national perception was that the State DOTs controlled all decisions since they controlled almost all of the Federal transportation funds. NYSDOT laudably chose to ameliorate this perception by urging MPOs to adopt a consensus

voting structure, whereby even the smallest member had a virtual veto on the MPO policy committees. The policy committees meet on an 'as-need' basis.

Below the Policy Committees are the Technical Committees, which are composed of individuals from the staffs of all voting and non-voting OCTC members. The Technical Committees, which meet monthly, bimonthly, or quarterly, are responsible for the supervision of all planning activities conducted by the staffs. If decisions are being made voting is by consensus of those members present at a meeting. The Technical Committees are responsible for assisting staff on proposed programs and projects to be addressed in the Long-range Transportation Plan, the UPWP and the TIP, and for making recommendations to the policy committees regarding policy issues.

2013 Certification Topics

The Federal Review Team selected Certification Review topics to discuss with the Mid-Hudson Valley TMA related to the federal regulations MPOs operate under. The federal findings on these topics inform the Federal Review Team in determining if an MPO should be certified or re-certified. The Team considers the in-person meeting, the desk audit, and observations of the MPO's operations. The findings are detailed in the following sections along with corrective actions, recommendations, and commendations.

Below is a list of the topics:

Coordination of the three MPOs

Agreements and Contracts, Consultation and Coordination, Management and Operations

Long Range Transportation Plan

Unified Planning Work Program

Transportation Improvement Program

Transit Activities – Human Services Transportation Plan

Non-Motorized Bicycle/Pedestrian - Trails

Integrating Freight in the Transportation Planning Process

Title VI and Environmental Justice

Congestion Management Process

Management and Operations Considerations / Intelligent Transportation Systems

Metropolitan Planning Area Boundaries

Public Involvement

Safety, Security, and Emergency Planning

Visualization in Planning

Basic Requirement

“Transportation Management Area (TMA) means an urbanized area with a population over 200,000 as defined by the Bureau of the Census and designated by the Secretary of Transportation...”

The Mid-Hudson Valley TMA is unique in New York in that it is formed by three separate and independent MPOs – the Poughkeepsie-Dutchess County Transportation Council (PDCTC), the Orange County Transportation Council (OCTC), and the Ulster County Transportation Council (UCTC). Each of these MPOs is hosted by their county’s planning department and each of the MPO membership structures, committee structures, and voting procedures are similar.

The TMA experiences a high level of cooperation amongst the three MPOs and their state partners. In March 2006, the three MPOs and NYSDOT Region 8 signed a Memorandum of Understanding which covers the following areas: *Shared Products*, such as the Congestion Management Process; the allocation of FTA 5307 funds; data and information sharing, such as traffic counts, travel time surveys, geographic information systems products and federal highway classifications, decision making, staffing, and professional services and financial support.

The MPO staffs hold meetings as necessary concerning TMA requirements and coordinate on work activities such as planning studies and other work products. This partnership between the three MPOs is especially highlighted during the *American Recovery and Reinvestment Act (ARRA)* where the existing relationship assisted in their ability to work together. This high level of coordination continues to expand as the TMA faces various challenges such as staff reduction, fiscal constraint on Federal-Aid, a growing list of infrastructure needs, and uncertainty in the availability of federal funds. Setting priorities has become much more critical as well as exploring additional transportation planning activities that can be shared.

The MPOs individually develop other federal planning work products separately such as the Long Range Transportation Plan (LRTP), Unified Planning Work Program (UPWP), and Transportation Improvement Program (TIP). In each of the work products the three MPOs provide information on the partnership that makes up their TMA.

Basic Requirement

Federal legislation (23 U.S.C. 134) requires the MPO to work in cooperation with the state and public transportation agencies in carrying out a continuing, cooperative, and comprehensive (3C) metropolitan planning process. These agencies are allowed to determine their mutual roles and responsibilities, and they develop procedures governing their cooperative efforts. These working relationships must be formally established, usually through agreements or memorandum of understanding between the MPO and the State, and between the MPO and the public transit operators [23 CFR 450.314(a)]. The regulations also require an agreement between the MPO and the designated agency for air quality planning under the Clean Air Act.

Finding

The regulations require that where there is more than one MPO in an urbanized area, there shall be a written agreement among the MPOs, the State(s), and the public transportation operator(s) describing how the metropolitan transportation planning processes will be coordinated to assure the development of consistent metropolitan transportation plans and TIPs across the Metropolitan Planning Area (MPA) boundaries.

As referenced in the prior section, the three MPOs and the NYSDOT Region 8 Director (as Secretary for each MPO) signed a Memorandum of Understanding on March 7, 2006, detailing the mutual coordination within the TMA. They agree to coordinate and collaborate on items of mutual MPO interest that include, at a minimum, the Congestion Management Process, Federal Transit Administration 5307 funds, transportation modeling, forecasts, map products, and federal highway classifications. In addition, the MPOs agree to share meeting and agenda information, long range transportation plans, UPWP's, TIP'S and other items of mutual MPO interest.

As a result of the 2010 U.S. Census, a small part of Urbanized Area (UZA) 89 now extends into the state of New Jersey. The North Jersey Transportation Planning Authority (NJTPA) and OCTC each passed separate resolutions agreeing that the New York/New Jersey state line is the boundary of their respective MPAs, however, NJTPA and OCTC have not executed a formal written agreement that identifies areas of coordination and the division of transportation planning responsibilities between the two MPOs.

Lastly, OCTC and PDCTC along with NYMTC completed a Memorandum of Understanding in October 2010 outlining cooperation and coordination regarding air quality conformity activities. Since that agreement was signed the 8-hour ozone National Ambient Air Quality Standard (2008) came into effect and both Dutchess and Orange Counties were classified in attainment (Orange County is still non-attainment for fine particulate matter (PM_{2.5}). Due to these changes the agreement should be revised in order to reflect the current situation.

Corrective Action

- The Mid-Hudson Valley TMA shall complete an agreement with North Jersey Transportation Planning Authority (NJTPA) that identifies areas of coordination and the division of transportation planning responsibilities among the two TMAs (due to changes in the UZA boundary after the 2010 Census).

The agreement shall be completed within six months of the receipt of this report.
(See 23 CFR 450.314(d))

Recommendation

- UCTC and PDCTC should update their operating procedures to include MAP-21 definitions for TIP administration modification and amendment.
- PDCTC and OCTC should revisit conformity agreements with NYMTC and DEC given the change to the 8-hour ozone standard and changes to the air quality non-attainment area boundaries and update.

Commendation

- None at this time.

Basic Requirement

23 CFR §450.322 (a) the metropolitan transportation planning process shall include the development of a transportation plan addressing no less than a 20-year planning horizon as of the effective date. The transportation plan shall include both Long-range and short-range strategies/actions that lead to the development of a multi-modal transportation system to facilitate the safe and efficient movement of people and goods in addressing current and future transportation demand. In nonattainment and maintenance areas, the effective date of the transportation plan shall be the date of a conformity determination issued by the FHWA and the FTA. In attainment areas, the effective date of the transportation plan shall be its date of adoption by the MPO.

Finding

PDCTC

The Poughkeepsie Dutchess County Transportation Council officially adopted their Long Range Transportation Plan *Moving Dutchess: The 2040 Metropolitan Transportation Plan for Dutchess County* on November 21st, 2011. As recommended during the previous certification review in 2010, PDCTC has completed the following: 1) established performance measures in this plan to quantify progress on meeting the LRTP's goals (Chapter 7), 2) included a broader discussion of types of potential environmental mitigation activities and potential areas to carry out these mitigation activities throughout the document and 3) included a section on addressing TMA-wide issues (Chapter 3). Though the performance measures were selected prior to the passage of MAP-21 many of them align with the measures indicated in MAP-21. The section on performance measures relies on available data to measure existing conditions for key aspects of the transportation system. These performance measures are identified and defined, including a baseline with goals for 2040. These measures include: highway performance, bridge performance, transit performance, multiple occupant vehicle use, bicycle and pedestrian transportation, transportation safety, natural resources, livability/smart growth, public participation, and project delivery.

UCTC

On August 31, 2010 UCTC signed a resolution that adopted the *Ulster County Transportation Council 2035 Long Range Transportation Plan*. As recommended during the previous certification review in 2010, UCTC has completed the following: 1) established performance measures in this plan to quantify progress on meeting the LRTP's goals (Chapter 9), 2) included a broader discussion of types of potential environmental mitigation activities and potential areas to carry out these activities (Chapter 3), and 3) included a section on addressing TMA-wide issues (Chapter 3). Though the performance measures were selected prior to the passage of MAP-21 many of them align with the measures indicated in MAP-21. This plan also includes a performance monitoring

plan that defines a selection of performance measures and provides a baseline and goal of the measurements. These include: volume-to-capacity ratio, crash rate, pavement condition rating, federal-aid obligation ratio, park and ride lot utilization, bridge condition rating, transit fare box recovery ratio, rate of multiuse trail development, daily vehicle miles traveled, and public opinion survey.

UCTC's plan was highlighted in the *Long Range Transportation Plan Citizen-Friendly Best Practices* by the Florida Department of Transportation Office Of Policy Planning for being well written and well organized, with sufficient detail to support plan elements.¹

UCTC is due to update their Long Range Plan next year (2015).

OCTC

The Orange County Transportation Council Executive Committee approved the *Orange County Transportation Council Long Range Transportation Plan 2011-2040* on December 8th, 2011. As recommended from the previous certification review in 2010, OCTC includes a section describing the TMA and their relationship with the two other MPOs in the TMA area but does not address TMA-wide issues.

Recommendation

- OCTC should align its next Long Range Plan horizon date with the other two MPOs.
- OCTC should work to incorporate performance measures into the transportation plan.
- OCTC should include a broader discussion of types of potential environmental mitigation activities and potential areas to carry out these activities.

Commendation

- PDCTC and UCTC developed transportation *Performance Measures* in connection with the goals of their LRTP to better evaluate and communicate the performance of the transportation network within their MPO area.
- UCTC was highlighted in the *Long Range Transportation Plan Citizen-Friendly Best Practices* by the Florida Department of Transportation Office of Policy and Planning for their Long Range Plan being clear and well-written and supported with a level of detail that communicates to the public effectively.

¹ *Long Range Transportation Plan Citizen-Friendly Best Practices* - Florida Department of Transportation Office Of Policy and Planning , Section 3-12 <http://www.dot.state.fl.us/planning/policy/metrosupport/LRTPReport.pdf>

Basic Requirement

MPO's are required to develop Unified Planning Work Programs (UPWPs) in Transportation Management Areas (TMA's) to govern work programs for the expenditure of FHWA and FTA planning and research funds. The UPWP must be developed in cooperation with the State and public transit agencies and include the required elements.

Finding:

The Unified Planning Work Programs (UPWPs) serve as a basis and condition for all FHWA and FTA funding assistance for transportation planning within the three TMA MPOs. UPWPs describe all metropolitan transportation planning and transportation-related air quality planning activities anticipated within the next 1- or 2-year period, regardless of funding source. MPOs develop these documents in cooperation with the State and public transit agencies. The degree of detail in the UPWPs differs according to the type of area, with the TMA areas generally having more activities than non-TMA areas. All three MPOs in this TMA have opted for the one-year UPWP format.

PDCTC

The activities in PDCTC's 2013-2014 UPWP are well distributed between data development and analysis; long range and short range planning; TIP development; and planning emphasis areas. Highlights of PDCTC's work program include: implementing recommendations identified in *Moving Dutchess*, reporting on the plan's performance measures, updating the 2008 Coordinated Public Transit-Human Services Transportation Plan to better identify service gaps among elderly and disabled transportation services, updating the Council's 1996 Bicycle-Pedestrian Plan, completing a Sidewalk Inventory and Improvement Plan for the Pine Plains Town Center, conducting one or more Safety Assessments at high-crash locations, continuing the Council's pavement condition monitoring program for County roads, supporting local transit providers to improve transit operations throughout the County, and completing the Council's annual traffic count program. PDCTC is commended for linking these UPWP activities to the goals, objectives and recommendations of their current long range plan, *Moving Dutchess*.

In the current UPWP, NYSDOT provides 15% of the required non-federal match funds and Dutchess County Planning & Development provides the other 5%. The total match funds are \$187,915 for the FHWA PL program and \$28,585 for the FTA Section 5303 program, making the total non-federal UPWP total of \$216,500. PDCTC has an unprogrammed balance of \$535,401 and has indicated that a large portion of this excess funding is due to cost savings from conducting planning work with PDCTC staff rather than outside consultants.

UCTC

In 2013-2014, UCTC is devoting about half of its planning activities to project level Long Range Planning (\$459,625 out of \$821,450 total) activities that specifically emphasize long range project level planning and analysis. Highlighted activities include: analysis of priority investigation location

data among congested roadway segments to reduce traffic fatalities, Ulster County Greenway Compacts that looks to establish priority growth and priority conservation areas, initiation of a Safe Routes to School Demonstration Project to identify significant gaps and safety issues, Kingston Broadway Corridor Conceptual Design Project to improve circulation, Rosendale Circulation Study to improve connections between key recreational attractions and Main Street District, and the Ulster and Delaware Rail Corridor Plan for the purpose of converting large segments of the corridor into a public, multi-use trail.

In the current UPWP, NYSDOT's 15% non-federal match funds amounts to \$107,168 for the FHWA PL program and \$16,050 for the FTA Section 5303 program, making the total State match contribution of \$123,218. Ulster County provides the other 5% of the required non-federal match: \$35,723 for the PL program and \$5,350 for the Section 5303 program, which represents a UPWP total of \$41,073. UCTC has a federal funding carryover of \$492,312 for 2013-2014 that UCTC intends to utilize for work on their Long Range Transportation Plan update beginning in FY 2015.

OCTC

The MPO has devoted significant planning resources to activities included under its UPWP category of Long Range Transportation Planning and Transit Coordination and Planning, constituting \$1,378,371 of the 2013-2014 UPWP total of \$2,129,063. These activities include the continued implementation of key recommendations of the County-wide Transit Study and the Southeastern Orange County (SEOC) Traffic and Land Use Study, the Newburgh Area Transportation and Land Use Study, various levels of transit system management and planning activities that lay the groundwork for a new Non-Motorized Transportation Plan.

In the current UPWP, NYSDOT's 15% non-federal match funds amounts to \$348,899 total for both the PL and FTA Section 5303 programs. Orange County provides the other 5% of the required non-federal match: \$106,453 for the PL program and \$9,847 for the Section 5303 program, which represents a UPWP total of \$116,300. The total non-matched federal funding carryover is \$1,416,544. OCTC has the entire carryover balance programmed in their current UPWP.

Corrective Action

- OCTC shall change the format of the main body of the document to ensure each activity and task includes information on whether MPO staff or consultant will perform the work, the resulting products, project schedule, and a summary of the total amounts and sources of Federal and matching funds. (See 23 CFR 450.308(c))

These actions should be completed for the 2014-2015 UPWP.

Recommendations

- OCTC and PDCTC should try to fully utilize their annual allocation of UPWP funds to avoid accumulating backlog funds.

Commendation

- None at this time

Basic Requirement

23 CFR 450.324 requires the MPO to develop a TIP in cooperation with the State and public transit operators. Specific requirements and conditions, as specified in the regulations, include, but are not limited to:

- *An updated TIP covering a period of at least four years that is compatible with the State Transportation Improvement Program (STIP) development and approval process; [23 CFR 450.324 (a)]*
- *The TIP should identify all eligible TCM's included in the STIP and give priority to eligible TCM's and projects included for the first two years which have funds available and committed; [23 CFR 450.324 (i)]*
- *The TIP should include capital and non-capital surface transportation projects, bicycle and pedestrian facilities and other transportation enhancements; Federal Lands Highway projects and safety projects included in the State's Strategic Highway Safety Plan. The TIP and STIP must include all regionally significant projects for which an FHWA or the FTA approval is required whether or not the projects are to be funded with Title 23 or Title 49 funds. In addition, all federal and non-federally funded, regionally significant projects must be included in the TIP and STIP and consistent with the Metropolitan Transportation Plan (MTP) for information purposes and air quality analysis in nonattainment and maintenance areas; [23 CFR 450.324 (c),(d)]*

Finding

This review covers the 2011 – 2015 TIP cycle. Since then the MPOs that form the Mid-Hudson Valley TMA have approved their most recent TIP which covers the 2014-2018 federal fiscal year. The sections below cover the individual MPOs TIP development process during the 2011-2015 TIP cycle and touches on some TIP development of the 2014-2018 TIP cycle. All three of the MPOs' 2011-2015 TIPs comply with all the basic planning requirements in 23 CFR 450.324.

PDCTC

The 2011 – 2015 *Poughkeepsie-Dutchess County Transportation Council - Transportation Improvement Program* was approved by the voting members of the council on August 20, 2010. Overall the TIP document is very well written and provides sections that adequately explain the TIP process and necessary components in the development of the TIP. The Federal Review Team found the PDCTC TIP narrative to be comprehensive with a good amount of detail.

In 2013 PDCTC launched their GIS TIP Viewer which is a web-based map that provides the public with visual geographic information on all the federal-aid transportation projects in Dutchess county. This online map links each project location to information such as project description, budget and schedule. We commend PDCTC for their initiative and further discuss this in the 'Visualization in Planning' section.

UCTC

The 2011 – 2015 *Ulster County Transportation Council - Transportation Improvement Program* was approved by the voting members of the council on August 31, 2010. Overall the TIP document is well written and provides sections that adequately explain the TIP process and necessary components in the development of the TIP. The Federal Review Team notes that the 2011-2015 TIP does not include a ‘Financial Plan’ which is required by the 23 CFR 450.324(h), however the 2014-2018 TIP does include tables in the “Fiscal Constraint” section that account for the estimated funding available to be programmed for both FHWA and FTA projects. We recommend that a “Financial Plan” section be clearly identifiable in the TIP document.

OCTC

The 2011– 2015 *Orange County Transportation Council - Transportation Improvement Program* was approved by the OCTC Executive Committee on August 24th, 2010. Overall the TIP document provides a narrative that that adequately explains the TIP process and necessary components in the development of the TIP. The Federal Team notes that the 2011-2015 TIP includes a section on the ‘Overview of Funding Breakdown’, which covers most of the information that is required to be included in a ‘Financial Plan’ under 23 CFR 450.324(h). We recommend that the Financial Plan section be clearly identifiable in future TIP documents and that Capital Program tables with Federal Funding resources demonstrate fiscal constraint.

The 2014-2018 TIP on OCTC’s website provides a list of projects but does not include the narrative that was submitted to NYSDOT and FHWA. We recommend OCTC include that narrative on their website along with their TIP list so that information is readily available to stakeholders.

The FFY 2013 ‘Annual List of Obligated Projects’ which is referred to as ‘OCTC Obligations Reports’ is not posted on OCTC’s website. The latest version is from FFY 2012. We recommend OCTC update their website with the FFY 2013 obligations report and refer to this document as “Annual Listing of Obligated Projects” in order to avoid confusion.

Mid-Hudson Valley TMA TIP Obligation Rate

The Federal Review Team notes from the STIP Performance FFY 2013 table on FHWA projects provided by NYSDOT, the TMA’s un-amended obligation rate of projects falls under 25% with a total of 47 programmed projects. This number improves with the amended obligation rate of projects with all the MPO’s over 66.7%, however the number of projects drop significantly to 13 programmed projects. Given MAP-21’s emphasis of performance measurement for the federal-aid transportation program and the federal and state emphasis on project obligation and project completion, we recommend that the MPOs consider evaluating the ‘project delivery readiness’ of projects on the TIP and prior to projects being added the TIP to increase the project obligation rate. This can include reviewing environmental considerations that impede the project from moving forward; insufficient funding for the project on the local, state and federal side, and right-of-way considerations.

Recommendation

- We recommend that UCTC and OCTC clearly label a 'Financial Plan' section in the TIP documents for clarity purposes.
- We recommend OCTC include the TIP narrative along with the TIP list on their website so that information is readily available to the public and stakeholders.
- We recommend OCTC update their website with the FFY 2013 obligations report and refer to this document as "Annual Listing of Obligated Projects" in order to avoid confusion and to maximize availability to the public.
- Given MAP-21's emphasis on performance measures for the federal-aid transportation program and the federal and state emphasis on project obligation and project completion, we recommend that the MPOs consider evaluating 'project delivery readiness' for the deliverability of all projects using federal-aid funds.

Commendation

- We commend the comprehensive and accessible level of detail the PDCTC provides in their TIP narrative.
- See commendation in 'Visualization in Planning' section.

Basic Requirement

The MPO, under MAP-21 was directed to ensure that public transportation providers were brought to the table as part of the policy board in order to better plan for the needs of the region as it relates to transportation opportunities. This type of partnership serves in the development of the mass transit investments as well as the development of all human service coordination efforts.

Finding

Coordination among the MPOs and the region’s public transit operators is paramount for the successful delivery of transit services that meet the needs of the region and also to ensure the proper development of programs and/or projects that reflect the trip needs of an area. The PDCTC, OCTC, UCTC and the major transit operators for the Mid-Hudson Valley region are successful in achieving this coordination.

Most transit service in the three counties is provided by a myriad of small public and private entities rather than a regional transit authority. The Metropolitan Transit Authority (MTA) does operate commuter railroad services in the region and is a voting member of the PDCTC and OCTC policy committees, however, MTA’s presence is not as dominant (transit service wise) as in other TMAs.

We believe that the requirement for the public transit operators to sign agreements with the MPOs outlining planning roles and responsibilities is satisfied. The FTA designated recipients in the TMA area are: Dutchess County, City of Poughkeepsie, Metropolitan Transportation Authority, Orange County, City of Kingston, and Ulster County. All are voting members of their respective MPO Policy Committees and would have had to vote “yes” on the operating procedures which describe the planning roles and responsibilities.

Dutchess County Public Transit

There is a range of local public bus, paratransit, and private carrier services in Dutchess County. The most visible public bus services are the Dutchess County Public Transit Bus System and the City of Poughkeepsie Bus System. Dutchess County’s Transit Bus provides public transit service to Dutchess County through two modes of service: fixed route service and demand response services like Dial-A-Ride and Paratransit. Dutchess County maintains a fleet of approximately 50 vehicles. LOOP runs a RailLink bus service in cooperation with the Metro-North railroad.

The City of Poughkeepsie Transit System is a small system (nine vehicles) run by the City that circulates throughout the City and the immediate surrounding areas.

There are four other transit operators servicing the Dutchess County area: MTA Metro-North Railroad, Amtrak, Adirondack Trail ways, and Short line Bus (the latter two are private operators). Both public and private bus carriers provide connecting service to 7 of the 8 Metro-North Stations

in Dutchess County. In addition, Amtrak has two stops in Dutchess County providing service between New York City and Albany.

Orange County Transit Service

The County is served by twelve (12) private and municipality-operated regional, local, and dial-a-bus services. Local routes mainly serve the transit-dependent public within commercial and retail areas in the cities of Newburgh and Middletown, as well as the Village of Kiryas Joel. Regional inter-county service primarily serves those commuting to the greater metro New York area. For rail commutes to New York City, the County is served by MTA Metro-North's Railroad's Port Jervis Line, located on the west side of the Hudson River. Many residents prefer to use the Metro North Beacon Station, located east of the Hudson, because the Hudson line service is more frequent and direct.

Ulster County Transit Service

Approximately 2% of work trips in Ulster County are made by public transit. There are seven public and private transit operators that serve Ulster County. Ulster County Area Transit (UCAT) and City of Kingston Bus (or CitiBus) are public operators mainly providing local service, while the remaining five private operators offer longer distance travel service. UCAT operates twelve fixed routes throughout the County. Local service within the City of Kingston is provided by CitiBus, which offers three deviated-fixed route, as well as paratransit and dial-a-ride service.

FTA Section 5307 funds for Poughkeepsie-Newburgh urbanized area

There is a federal requirement regarding the allocation of Section 5307 funds within the TMA area:

“Procedures or agreements that distribute sub-allocated Surface Transportation Program or Section 5307 (formerly section 9) funds to individual jurisdictions or modes within the metropolitan area by predetermined percentages or formulas are inconsistent with the legislative provision that require MPOs in cooperation with the State and transit operators to develop a prioritized and financially constrained TIP and shall not be used unless they can be clearly shown to be based on considerations required to be addressed as part of the planning process.” 23 CFR 450.324 (l)

The above requirement presents challenges in developing and prioritizing each respective TIP while also coordinating regional priorities. Each of the MPO areas must not only ask themselves how does their TIP reflect the priorities of the County, but also the priorities of the region as a whole, and how is this being reflected in the planning process? Another challenge is recognizing the needs of private operators who generate revenue vehicle miles. There are approximately fifteen (15) private bus operators that serve the TMA.

Being part of a TMA, the three MPOs must coordinate and agree on how the Section 5307 funds will be split among the MPOs. Each MPO must then determine how those funds will be distributed within the County through their respective MPO planning processes. For each FFY, the TMA has decided that the proposed split for Section 5307 funds be sub-allocated based on planning factors that achieve: “preservation of the existing transportation system”, “enhancing the integration and connectivity of the transportation system, across and between modes”, and the State's goals of the

"Mobility, Reliability and Safety". Priority results areas are reflected in the methodology as well as the goal of ensuring continued and *enhanced* commuter bus services at a reasonable cost to the consumer.

Designated recipients sub-allocate to public agencies and in-turn, enter into a third party contract with a private operator for service. Although there is no requirement to allot a certain amount to private operators, the MPOs agree that this is a way to recognize the preventative maintenance needs of private operators. For all three MPOs, preventative maintenance is a priority. The remaining amount of 5307 funds is available for open competition among the MPOs or cooperative programming based on needs as identified through TMA coordination and planning. Specific criteria for allocating this "unallocated" funding have been established. Overall, the cooperation among the three areas in developing the method distributing the Section 5307 funds among the various operators has been exemplary.

Recommendation

- The MPOs should complete a TMA-wide transit study.

Commendation

- None at this time.

Basic Requirement

According to 23 CFR §450.300(a) the MPO process should carry out a continuing, cooperative, and comprehensive multimodal transportation planning process that includes accessible pedestrian walkways and bicycle transportation facilities.

Finding

UCTC

In 2006, UCTC completed its Trail Feasibility Study, providing a detailed analysis of rail corridors in the county for potential trail development. A built out trail system would encourage tourism, economic development, outdoor recreation, healthier lifestyles and develop safe non-motorized transportation alternatives. UCTC is currently developing the Ulster and Delaware Rail Corridor Plan, to convert 38.6 miles of “underutilized rail corridor” into a multi-use trail that connects the City of Kingston to Catskill Park and Ashokan Reservoir. The trail’s proposed name is the Catskill Mountain Rail Trail, and it would eventually link with the Hurley (O&W) and Wallkill Valley Rail Trails and could eventually connect to Walkway over the Hudson and trails in Dutchess and Orange Counties.

PDCTC

As of March 2014 Dutchess County updated their county-wide Bicycle and Pedestrian Plan to identify priorities to make walking and bicycling better transportation options for more people. The update provides policy and design guidance to municipalities, so that they can improve conditions for walking and bicycling. The Bicycle and Pedestrian Plan’s vision behind the plan is holistic, focusing on ways to improve non-motorized such as walking and bicycling access to schools, transit, parks, and other key activity centers as well as for recreation. It also provides design guidelines for walking and bicycling facilities and highlights education and encouragement programs to improve safety and promote walking and bicycling, thus laying the ground work for communities to implement.

In addition, PDCTC expressed that they were fortunate to have an energetic group of local volunteers who assisted in their sidewalk initiative. This effort provides two additional benefits that complement the MPO’s objectives. One is to gather local feedback in a cost effective manner and the second serves as an outreach method that engages their stakeholders and further develop their relationship with the community.

OCTC

Orange County is currently working on plans to extend the Heritage Trail approximately 10 miles from Goshen to Middletown. Completion of this extension will double the length of the existing trail and provide a very valuable off-street route through the center of the county. Orange County is also

working to prepare a Non-Motorized Transportation Plan, which will be a substantial update of its 1998 Bicycle and Pedestrian Plan.

Recommendation

- None at this time.

Commendation

- All three MPOs are commended for both their individual visions and their overall shared vision for expanding and improving non-motorized transportation options in the region.

Basic Requirement

In 1991 under the ISTEA legislation freight transportation planning requirements, especially intermodal considerations were added to metropolitan planning regulations. ISTEA made it a national policy "to encourage and promote development of a national intermodal transportation system in the United States to move goods and people in an energy efficient manner provide the foundation for improved productivity growth, strengthen the nation's ability to compete in the global economy and obtain the optimum yield from the nation's transportation resources" [23 USC 134 (a)(1); 49 USC §302(e)]. The trend in emphasizing the need to invest in goods movement continues to grow with the passage of successive national transportation legislation. The newest legislation, MAP-21, includes a section on National Freight Policy and Prioritization of Projects to Improve Freight Movement.

Finding

While planning for freight has been a consideration in the transportation planning process since ISTEA, the passage of the recent transportation legislation, MAP-21, increases the emphasis on freight considerations. MAP-21 is the first transportation legislation that contains a National Policy on Freight and Goods Movement. This includes freight movement as a performance measure. The MPOs may want to consider freight movement in their performance measures to monitor progress in their own region for goods movement. In consideration of MAP-21, NYSDOT is in the process of developing a State Freight Plan and a joint advisory committee. Currently there are no dedicated studies or plans that address freight issues amongst the three MPOs; however there is growing interest to develop a regional freight plan. Each of the MPOs participates in the NYSAMPO Freight Working Group which started in 2012.

In the past several years there have been several major operational improvements to the connections between highways, as well as rail crossing improvements. The Mid-Hudson Valley area is at a cross roads between several major interstate highways: I-87, I-84, and Route 17 (future I-86). Trucks pass through from NYC to Montreal or Buffalo on I-87 (New York State Thruway) and I-84 from Pennsylvania into Connecticut. The recent project connecting I-87 to I-84 vastly improved the operation and time it takes for passenger and freight movement alike. Freight trains and oil tankers move along the west side of the Hudson River down from Canada, Chicago, North Dakota, and Albany. In recent years there have been a number of projects programmed in the STIP to improve at grade crossings in the Mid-Hudson Valley using Railway-Highway Crossing Improvement Program (HSIP) funds.

OCTC

The *Orange County Transportation Council Long Range Transportation Plan 2011-2040* contains a general overview of the freight assets in the Region. Chapter 6, Air & Freight Services, includes information on the county's four airports, various freight operations in connection to the interstates, rail operations and maritime port activities services. Orange County is the nexus of where I-87, I-84, and Rt. 17 converge, and where trucks pass through connecting New England to the rest of the country. The OCTC LRTP acknowledges that freight trends for the past and future in the Region are not well understood and that they need to devote planning resources to conduct a detailed freight study². This has been a challenge in part due to OCTC staffing changes. OCTC has a working relationship with the Port Authority of New York and New Jersey and has been participating in the Authority's Government Advisory Council in the development of their Goods Movement Plan.

UCTC

UCTC's *Long Range Transportation Plan* provides an overview of the freight assets in the Region including information on truck volume, waterborne tonnage, and rail and aviation assets. UCTC has assisted NYSDOT with corridor studies relating to freight and developed a working relationship with CSX during the development of the recent safety project involving CSX at-grade crossings. The MPO hasn't engaged in much outreach to private sector stakeholders of other modes and there haven't been any studies or plans specific to freight mobility. According to UCTC's recent MPO Freight Program Assessment, the MPO does comment on freight transportation and freight access issues such as freight distribution centers, access to hospitals, stores, the community in general in their review of Regional Comprehensive Land Use Plans.

PDCTC

PDCTC's *Long Range Transportation Plan* provides an overview of the freight assets in the region. Currently, freight planning responsibilities are a collateral duty for one PDCTC staff person. This staff person also participates in the NYSAMPO Freight Working Group. Even through outreach to public and private stakeholders in the region, no specific freight issues have been identified. PDCTC expressed that most of the truck traffic is local. There is a Gap distribution facility located in Fishkill, NY that immediately enters I-84 but it is not known to pose substantial impacts to local traffic. Dutchess County is on the east side of the Hudson River, and rail service is limited to passengers only. PDCTC's recent MPO Freight Program Assessment identifies that they completed a Goods Movement Plan in 1996.

² Orange County Transportation Council Long Range Transportation Plan 2011-2040, p. 45

Recommendation

- Given the increase emphasis on goods movement, the Federal Review Team recommends that the Mid-Hudson TMA develop a joint Regional Freight Plan to assist the TMA in better understanding goods movement needs in the region and to coordinate goods movement priorities with NYSDOT in their process of developing a State Freight Plan.
- The Federal Review Team recommends that the Mid-Hudson TMA increase outreach to private sector stakeholders for greater input on their freight planning process. These include non-traditional stakeholders and users of the system such as shippers and receivers, trucking companies, logistics firms, and manufacturing companies.
- The Federal Review Team recommends that the Mid-Hudson TMA consider providing additional training for staff in the area of freight planning (*National Highway Institute* provides training courses).

Commendation

- None at this time

Title VI and Environmental Justice

Basic Requirement

Title VI of the Civil Rights Act of 1964 guarantees equal protection under law and prohibits intentional discrimination based on race, color, national origin, sex, age, and disability. Title VI includes the Executive Order 12898 for Environmental Justice, which seeks to ensure that services and benefits are fairly distributed to all people, regardless of race, national origin, or income, and that they have access to meaningful participation. In transportation programs, this includes:

- Avoiding, minimizing, or mitigating disproportionately high and adverse human health and environmental effects (social and economic) on minority and low-income populations.*
- Ensuring the full and fair participation in the transportation decision-making process by all potentially affected communities.*
- Preventing the denial of, reduction in or a significant delay in the receipt of benefits by minority and low-income populations.*

Finding

A key element in addressing Title VI requirements during the planning process is having an effective public involvement process. This involves providing complete, comprehensible information, timely public notice, full public access to key decisions and an opportunity for early and continuing involvement. Review of the public involvement process should be ever-evolving in order to identify areas for improvement. The MPOs that comprise the TMA are encouraged to update their Public Participation Plans in order to continually improve their programs.

The next update of each MPO's Title VI Nondiscrimination Plan should include an accomplishment report based on the goals set forth in the current plan. This plan should capture the results from the data collected during this period within the planning process that is relevant to the protected groups to assure nondiscrimination in the planning and project selection process.

MPOs use data from the most recent Census, Bureau of Labor Statistics, National Household Travel Survey and internal surveys for analysis to assure nondiscrimination of the protected groups under Title VI (race, color, national origin, age, sex, disability, low income and Limited English proficiency (LEP)) in the project selection process or any program or product the MPO produces for the public.

Each MPO was reviewed to determine how Title VI is addressed, with the following findings:

UCTC

UCTC has a designated Title VI Coordinator who is responsible to assure compliance with all state and federal Title VI regulations. This coordinator ensures that UCTC uses various strategies to meet the public involvement Title VI requirements through such means as announcements on their website, newspapers and direct mailings. UCTC also provide transit access to public meetings on major studies. When a project is being planned UCTC invites advisory groups from the community to assist with the planning and decision-making process. They plan on deploying a new website which will feature automatic translation to address the Limited English Proficiency requirement. UCTC has a well-structured complaint process through their website and email, telephone consultation and offers assistance in filing a complaint.

In addition, UCTC has incorporated Environmental Justice considerations in their qualitative and quantitative planning processes. They analyze and evaluate EJ issues through detailed community profiles and transit service overviews. UCTC routinely evaluates this process to determine the effectiveness of these activities. They utilize Disadvantaged Business Enterprises and documents and transmit that information to NYSDOT DBE participation on a semi-annual basis.

OCTC

The OCTC Public Participation Plan was last updated in 2012, which is periodically reviewed that plan for its effectiveness. They reach out to community based organizations to include their input into project planning. OCTC provides information and outreach materials for planning initiatives in areas with large LEP populations which are made available in languages other than English. Public meeting are held in locations that are ADA accessible and translators are provided if requested. OCTC's public outreach activities include email correspondence, announcements on their website, newspaper and postal mailings. They utilize Disadvantaged Business Enterprises and documents and transmit that information to NYSDOT DBE participation on a semi-annual basis. Their website includes clear definition of Title VI, a copy of their Title VI Plan, policy statement, complaint procedure and a complaint form.

OCTC uses many different data sources to analyze demographic information to examine the distribution of benefits and burdens in their plans, programs and projects. Their latest EJ plan was updated in 2012.

PDCTC

PDCTC has a designated Title VI Coordinator who is responsible to assure compliance with all state and federal Title VI regulations. They collect and analyze demographic data from a variety of sources to gain comprehensive understanding of the community. During the development of planning studies or project programming PDCTC reaches out to the community, often forming advisory groups to assist with their planning products. While they do not have an LEP plan, PDCTC integrates LEP needs into routine planning activities. An Environmental Justice analysis was performed for their 2014-2018 TIP as well as their 'Moving Dutchess' plan in 2011. PDCTC has an in-depth complaint procedure with a 24 hour turn around response time. They utilize Disadvantaged Business Enterprises and documents and transmit that information to NYSDOT DBE participation on a semi-annual basis. PDCTC's evaluation of their Public Participation Plan is continually on-going.

Recommendation

- With the assistance of NYSDOT, the MPOs should create, either individually or as a TMA, a *Title VI Nondiscrimination Implementation Plan* documenting their Title VI Program activities and outlining the goals and objectives relevant to Title VI that:
 - Identifies a Title VI Coordinator including responsibilities of that role
 - Outlines complaint procedures for the TMA
 - Includes Title VI assurance language which is also required in all consultant contracts
 - Identifies an action plan and areas of internal review
- The TMA should include a list of goals on improving the outreach and inclusion of the special emphasis groups in their Title VI Nondiscrimination Implementation Plan. It should

include the results from data collection and analysis, containing the data for the identified special emphasis groups (minority, low income, and LEP populations and persons with disabilities) and use the most recent census data. When the plan is to be updated it should include an accomplishment report based on the goals set forth in their Title VI Nondiscrimination Implementation Plan. (23 CFR 200.9(b)(10))

- Each MPO should seek Title VI training opportunities with NYSDOT as they become available.

Commendation

- All three MPOs have worked diligently to assure successful Title VI/EJ programs.

Basic Requirement

The MPO is required, under 23 CFR 450.316, to engage in a metropolitan planning process that creates opportunities for public involvement, participation and consultation throughout the development of the MTP and the TIP and is also included in 23 CFR 450.322 (f) (7) and (g) (1) (2), (i) and 23 CFR 450.324 (b).

Finding

Public Participation Plans

The three MPOs of the TMA have each adopted their own public involvement policies, although only PDCTC specifically labels their document as a *Public Participation Policy*. Each clearly outlines the minimum requirements for public outreach and involvement, and each policy supports proactive processes that encourage broad participation. They provide timely public notice, public access to key decisions, and support for early and continuing public involvement in developing their planning products. In addition, each MPO realizes the value of websites as a tool to provide timely information and receive public input. We recommend that this effort continue and be enhanced. Websites can also provide information on TMA coordination, neighboring MPO links, and regional efforts. We also recommend that each MPO make efforts to periodically evaluate the effectiveness of the public involvement plans and outreach efforts.

PDCTC

PDCTC adopted its Public Participation Policy on October 19, 2007. The policy provides PDCTC's purpose and guidelines for public participation in the planning process. It not only addresses the MPO responsibility during the development of planning products to keep the public engaged, but it also shares exactly at what point the public should seek to involve themselves as the products are developed. To compliment this main policy is the publication: *A Citizen's Guide to PDCTC*. This two page primer is an excellent guide for citizens to obtain a basic understanding of PDCTC's role and planning process.

PDCTC's website is dedicated to MPO activities and is housed within the "Dutchess County" website. It provides an introduction of what an MPO does, and it provides clear and easy access to their planning products and other publications.

OCTC

Public Involvement Procedures are described in part 8 of the OCTC Operating Procedures, approved in June 2012.

Public participation efforts are generally targeted at the OCTC Sub-regional level with the goal of obtaining a balanced view of community interests and to assist as many people as possible in their

understanding of transportation issues, projects and services. The 2010 Certification Review recommended that access to the OCTC website be improved. This is still true. While some improvement can be seen, the site still portrays the MPO as a subunit of the County's planning department rather than an independent organization. OCTC should continue to work to improve its web presence and distinction from Orange County government.

UCTC

The UCTC adopted Public Involvement Procedures as contained in the UCTC 2003 Operating Procedures (updated as of 2008), similar to that of OCTC procedures. The procedures also describe providing information through its website. As with OCTC and PDCTC, UCTC's procedures are a thorough and complete outline of a good public participation process.

Recommendation

- OCTC should improve access to the MPO section of the website, within their county website.

Commendation

- None at this time

Basic Requirement

The State (s) and the MPO must develop a systematic approach for managing congestion through a process that “provides for safe and effective integrated management and operation of the multimodal transportation system. The Congestion Management Process (CMP) applies to transportation management areas (TMA’s) based on a cooperatively developed and implemented metropolitan-wide strategy of new and existing transportation facilities eligible for funding under 23 USC and Title 49 USC Chapter 53 through the use of travel demand reduction and operational management strategies.” (23 CFR 450.320 (a))

Finding

Due to the Mid-Hudson Valley region’s designation as a TMA, it is required to develop a Congestion Management Process. The region’s current joint CMP was adopted by its three MPOs in two parts: the first, “Congestion Management System for the Mid-Hudson Valley Transportation Management Area,” was adopted in September 2005. The second, “Step 2 Report: Congested Roads,” was adopted in June 2006. The CMP establishes a four-step process by which each county measures and defines recurring congestion within its respective jurisdiction:

1. Measure and define congestion through data collection and travel demand modeling,
2. Locate congested intersections and links,
3. Manage congestion through transportation demand and system management techniques
4. Integrate the CMP into current planning processes and reassess its effect.

In the near term, the MPOs of the MHV TMA intend to use the CMP to locate and manage severe, recurring congestion on road corridors and intersections in the TMA. Their long-term expectation is to expand the CMP to analyze non-recurring congestion, and to also identify congestion related to other modes of transportation (public transit, bicycle, and pedestrian).

Findings in the previous Federal Certification Review (2009) pointed to a number of areas within the MHV TMA’s CMP where the MPOs could make improvements. These included four Corrective Actions, which are listed below:

- Performance Measures and Strategies: The development of a CMP should result in multimodal system performance measures and strategies appropriate to assess the extent of congestion. (The MHV’s CMP does identify performance measures...[but it] does not identify appropriate strategies)
- A Process to Evaluate the Causes of Congestion
- Implementation Schedule and Funding Source for Identified Improvements: The CMP still needs to identify an implementation schedule, implementation responsibilities, and possible funding sources for each strategy...proposed for implementation
- Periodic Assessment: of the effectiveness of implemented strategies in terms of the area’s established performance measures.

Due to the fact that the last CMP documentation (June 2006's "Step 2 Report") published by the Mid-Hudson Valley TMA predates both the previous FHWA/FTA Planning Certification Review and the 2007 FHWA/FTA Final Planning Rule, the TMA continues to remain subject to the aforementioned Corrective Actions.

Corrective Action

- The TMA must revisit the corrective actions and recommendations issued by FHWA/FTA during the 2010 Certification Review process when it updates its current CMP. In particular, the TMA must work towards:
 - Developing multimodal performance measures
 - Creating an implementation schedule and identifying funding sources for improvements, and
 - Identifying a process for periodic assessment of the effectiveness of implemented strategies

Within six months of receipt of this report, the MHVTMA must have a work plan that outlines how it plans on addressing this *Corrective Action* in the CMP update.
(See 23 CFR 450.320)

Recommendation

- None at this time

Commendations

- The scale of the MHV TMA's CMP is appropriate given the documented congestion levels in the region.
- The TMA should be commended for its 2011 completion of its Regional Travel Time Survey, which will provide valuable data as the CMP is advanced for more than 70 corridors in the tri-county area.

Basic Requirement

According to 23 CFR 940.9, all regions implementing Intelligent Transportation Systems (ITS) projects are mandated to have in place Regional ITS Architectures. A region's ITS Architecture is a strategic vision, created "to guide the development of ITS projects and programs and be consistent with ITS strategies and projects and programs contained in applicable transportation plans." Furthermore, all ITS projects that are funded by the Highway Trust Fund (including the Mass Transit Account) must be able to demonstrate compliance not just with the region's ITS Architecture, but also with the other elements of a systems engineering analysis (23 CFR 940.11). These elements include the identification of applicable ITS standards, identification of agency roles and responsibilities, an analysis of alternative system configurations and technology options, and a description of procedures necessary for the operation and maintenance of the system.

Finding

Nationally, due to a variety of different factors, the integration of management and operations/ITS strategies within the planning process has proven to be somewhat of a challenge. The three MPOs of the Mid-Hudson Valley TMA have made strides towards bringing ITS and operations into the planning process, but there remains room for improvement. In each MPO's Long-Range Transportation Plan, for example, each agency emphasizes the importance of travel demand management and ITS investments. These investments include the continued support of the Hudson Valley Transportation Management Center (HVTMC) and the deployment of ITS technologies at the roadside and on applicable transit corridors. Additionally, each LRTP features a discussion of the congestion in its respective urban areas and the ITS/Operational solutions proposed to help with congestion mitigation.

OCTC

OCTC describes its vision of I-84 developing into the "northern distributor of traffic [in the region] from the north, east, [and] west," and stresses the importance of ensuring that the corridor and its diversion points are fully instrumented with variable message signs (VMS) and other ITS hardware. It also lists the development and aggressive promotion of "transportation-demand and systems management techniques" as one of the MPO's objectives. The ITS section of the LRTP is undercut by OCTC's acknowledgement that both "the need to keep bridges and pavements in satisfactory condition" and the increased role of "privately-developed traffic applications" will likely limit the investment of public funds in ITS.

PDCTC

With respect to ITS and operations, PDCTC takes a slightly narrower approach than the other MPOs, choosing to highlight specific goals, projects, and operational improvements planned at the city, village, and hamlet level, rather than an area-wide operational strategy. Many of these improvements focus on access management, traffic signals, and roundabouts. This narrower focus

is reflected again in the “Recommendations and Financial Plan” section of the LRTP. The Council notes that “Highway Operations” are a focus, but limits their activities to “intersection, turning lane, and traffic signal projects to improve traffic operations and reduce congestion.” While the overall congestion patterns in the PDCTC area are not nearly as extreme as those found in the NYMTC counties of the Lower Hudson Valley, future iterations of PDCTC’s LRTP might warrant a discussion of potential highway and transit ITS strategies that could be deployed region-wide.

UCTC

Finally, UCTC’s LRTP mentions regional applications of ITS (including region-wide deployments of EZPass, VMS, pedestrian countdown timers, and transit AVL) and places an additional emphasis on the integration of demand management and operational strategies. The MPO also notes that it has convened a Traffic Operations and Public Safety (TOPS) Committee to evaluate congestion issues (focused specifically on emergency vehicle navigation of congested corridors). In addition to these specific goals and activities, UCTC lists “encourage the use of ITS for all modes of travel/ TSP demo in Kingston” as Objective 8A of the Council.

With respect to FHWA/FTA Final Rule/Policy 940 and the Region’s ITS Architecture, there remains significant room for improvement in the Mid-Hudson Valley TMA. The Region’s ITS Architecture has not been updated since 2003 and none of the core planning documents published by the MPOs that make up the TMA acknowledge their use of the Architecture, or even its existence. While this might sound troublesome, this is not particularly uncommon nationally--planners and operators have, for the most part, struggled to find areas for their programs to intersect. The MPOs of the MHVTMA should use 23 CFR §450.306 (f), describing the requirement for the metropolitan transportation planning process to be consistent with the Regional ITS Architecture “to the extent practicable” as an opportunity to engage NYSDOT Region 8 as it moves in the near future to update the Region’s Architecture. Ideally, involvement in the Regional Architecture update would generate the momentum necessary at the MPO level to ensure the Architecture remains relevant and useful in future TIP programming and plan development. According to FHWA guidance (plan4operations.dot.gov) “given the authority that most MPOs have in regional transportation decision-making, they are in a unique position to ensure that the ITS architecture is relevant for informing the transportation planning process.”

Recommendation

- The three MPO’s should participate in NYSDOT Region 8’s planned update of its Regional ITS Architecture per ‘Action Item 3-6’ as found in the 2005 Congestion Management Process report.
- The three MPO’s should ensure that if any MPO member agency plans to advance ITS projects using federal funds, the project must be included in the Region’s ITS Architecture.

Commendation

- During its TIP project selection process, PDCTC awards points to projects that “include use of ITS technology.”

- Local transit operators (including Dutchess County Public Transit, the City of Poughkeepsie, and Ulster County Area Transit) are deploying ITS technologies, including automatic vehicle location (AVL) sensors and transit signal priority (TSP).

Basic Requirement

The metropolitan planning area boundary (MPA) refers to the geographic area in which the metropolitan transportation planning process must be carried out. The MPA shall, at a minimum, cover the Census-defined, urbanized area (UZA's) and the contiguous geographic area(s) likely to become urbanized within the 20-year forecast period covered by the Metropolitan Transportation Plan. Adjustments to the UZA as a result of the transportation planning process are typically referred to by FHWA as the adjusted urbanized area boundary (UAB). In accordance with 23 U.S.C. 134 (e), the boundary should foster an effective planning process that ensures connectivity between modes and promotes overall efficiency. The boundary should include Environmental Protection Agency (EPA)-defined nonattainment and/or maintenance areas, if applicable, in accordance with the National Ambient Air Quality Standard (NAAQS) for ozone or carbon monoxide.

Finding

The 2010 Census expanded the UZAs of all three principal municipalities within this TMA. Kingston expanded within Ulster County, Poughkeepsie expanded within Dutchess County and across the river into Ulster and Orange Counties. There was “bleed over” from Goshen in Orange County into Passaic in Sussex County, NJ. During the site visit, the review team was informed that NYSDOT was working with the MPOs to smooth, or adjust their UABs and this was expected to be completed by the end of FFY2013 with adjustments to functional classification to follow. There was concern expressed by the review team that an MOU with the North Jersey Transportation Planning Agency (NJTPA) needed to be finalized to explain the coordination between Orange County Transportation Council and their adjacent NJ TMA. This MOU with NJTPA needs to document coordinated planning along the NJ/NY border and specifically for the Census defined Poughkeepsie-Newburgh, NY-NJ UZA.

It is understood that this local coordination may need to begin with NYSDOT and NJDOT formalizing their coordination and collaboration along the shared border.

Corrective Action:

- See Corrective Action in *Agreements and Contracts, Consultation and Coordination, Management and Operations* section. The MOU between the Mid-Hudson Valley TMA and the NJTPA needs to be completed to document coordinated planning along the NJ/NY border and specifically for the Census defined Poughkeepsie-Newburgh, NY-NJ UZA. Coordination of UZA Boundary Smoothing at the NY/NJ border could be particularly challenging without this agreement. (23 CFR 450.314(d))

Commendation

- None at this time

Basic Requirement

MPOs are required to consider safety as one of eight planning factors. As stated in 23 CFR 450.306, the metropolitan transportation planning process provides for consideration and implementation of projects, strategies, and services that will increase the safety of the transportation system for motorized and non-motorized users.

Likewise, MPOs are required to consider security as one of the eight planning factors. As stated in 23 CFR 450.306(a)(3) the metropolitan transportation planning process provides for consideration and implementation of projects, strategies, and services that will increase the security of the transportation system for motorized and non-motorized users.

Finding

Safety Planning

Each of the MPOs outline quite extensively in their Long Range Transportation Plans the availability of various safety programs such as the *Highway Safety Improvement Program, High Risk Rural Roads Program, Safe Routes to School*, and how they collaborate with the State and local agencies in addressing safety concerns in their respective MPO jurisdictions. They provide multi-year statistics of the fatalities in their towns and villages, and discuss the various programs from the state and local traffic safety boards. The MPOs also participate in the NYSAMPO Safety Working Group.

In 2008 the New York State Association of Metropolitan Planning Organizations (NYSAMPO) published Safety Assessment Guidelines. The purposes of these assessments are to:

- 1) Identify existing conditions in the field
- 2) Examine how road users are affected by day and night time conditions
- 3) Identify low-cost, short-range safety improvements as well as more expensive short long-range improvements.

PCTC has participated in several Safety Assessments focusing on addressing high crash locations on County-owned roads. They've created interdisciplinary teams with local and county representatives including enforcement, engineering, etc. to identify issues and suggest improvements which keep their community engaged in their activities.

Security Planning

The TMA planning process does an adequate job of incorporating security into the planning process. They have coordinated with state, county and regional efforts, working with the Metropolitan Transit Authority (MTA) enforcement and the counties' Emergency Management Plans and have considered various scenarios such as hurricanes, terrorism, and mass evacuation

due to their proximity to New York City. In 2011 the Region was hit by both Irene, a catastrophic hurricane, and Lee, a severe tropical storm. There is a heightened awareness of security and emergency planning concerns and the MPOs have assisted emergency efforts during these times. Specifically we heard about Dutchess County's emergency management using its GIS system to plan detour routes with the State Police that were utilized during Hurricane Sandy.

Recommendation

- None at this time

Commendation

- None at this time

Basic Requirement

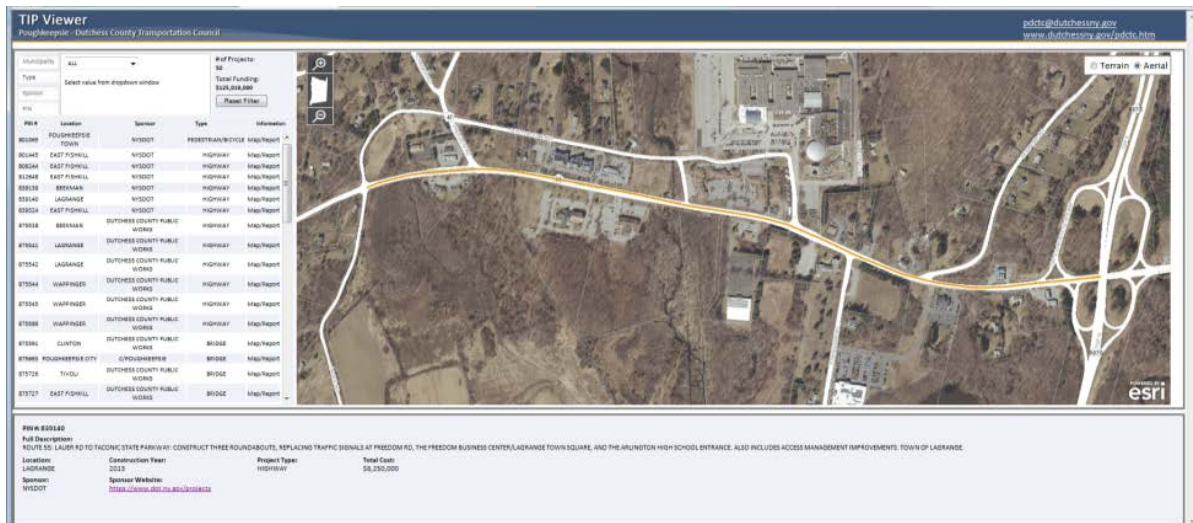
The requirements for the use of visualization techniques in metropolitan plans and TIPs can be found as part of 23 CFR 450.316 - Interested parties, participation and consultation. The specific section is 23 CFR 450.316(a)(1)(iii), and the reference reads as follows: The participation plan shall describe explicit procedures, strategies, and desired outcomes for: Employing visualization techniques to describe metropolitan transportation plans and TIPs. The Effective date: for all MPOs, including TMAs is March 16, 2007.

Finding

Communicating information well to the public, stakeholders, decision-makers and partnering agencies is an important task in the transportation planning process. Using visual information can be one of the most effective ways in conveying concepts, projects, programs, and plans. PDCTC and OCTC provides examples of effective visualization in the transportation planning process, one being PDCTC’s recently launched TIP Viewer using GIS to display all the federally-funded Transportation projects in their MPO area and the other is the use of visualization and micro simulation for both their PDCTC’s *County Route 93 (CR93) Corridor Management Plan* and OCTC’s *Newburgh Area Transportation & Land Use Study 2012*.

PDCTC

The TIP viewer is an interactive GIS tool that can be accessed through the World Wide Web and has open access to the public. It provides their members, stakeholders, partnering agencies, and the public with visual information on the location of the projects in the TIP and provides project details and a link to project sponsor’s website if one is available.



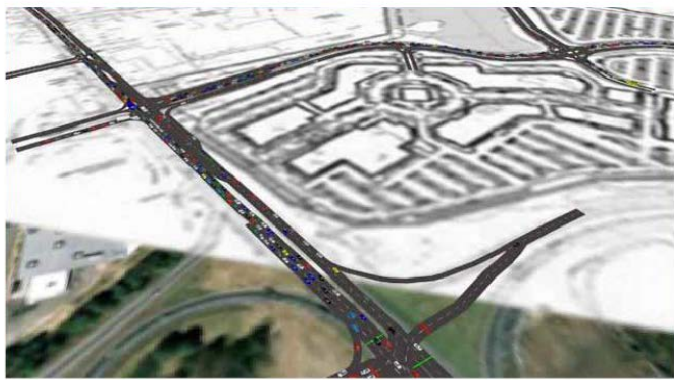
PDCTC: TIP Viewer

In 2009 PDCTC initiated their CR 93 Corridor Management Plan in Town of Wappinger. This project required a fair amount of public outreach as the increase in population along this segment of the road proliferated the volume of traffic in certain locations of the route during peak times. PDCTC effectively utilized visualization during the corridor's planning process providing the public with aerial views of the road's existing conditions and potential improvements. These proposals were developed using three transportation software programs with visualization capabilities. Trans CAD was used develop growth projections such as population and employment. Synchro was used to test intersection capacity under various scenarios and Trans modeler was used to analyze the traffic flow to public and decision-makers further communicating how to corridor improve impact their community.

OCTC



Caption: Image from VISSIM simulation model of NY Route 300 Corridor at NY Route 17K.



From 2008-2011 OCTC conducted their 'Newburgh Area Transportation and Land Use Study'. The scope of the study included nine municipalities of the Newburgh urban area. The study developed a build-out analysis in VISUM which included a multimodal analysis of roadways, transit, and non-motorized planning elements. This generated a travel model which assisted in the development of alternative scenarios, and traffic simulations in VISSIM.

They also focused on nearly twenty hot spots which included key intersections. The used of multiple visualization methods including traffic simulations assisted in conveying the study scope and goals to the public and provided visual traffic analyses to the project team that led to recommendations of the different scenarios in the study.

OCTC: 'Newburgh Area Transportation and Land Use Study' traffic simulation

Recommendation

- None at this time

Commendation

- PDCTC is commended for the development of their 'TIP Viewer' which provides access to their members, stakeholders, partnering agencies, and the public to view project information from an interactive GIS map.
- PDCTC is commended for their use of visualization to analyze and communicate the CR 93 Corridor Management Plan in Town of Wappinger. Trans CAD was used to analyze and develop alternatives. Trans Modeler was used to produce micro-simulations that assisted decision-makers.
- OCTC is commended for the extended use of visualization in their Newburgh Area Transportation & Land Use Study which included several productions of micro-simulations that assisted in the public involvement process.

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, Suite 719
Clinton Avenue & North Pearl Street
Albany, NY 12207

In Reply Refer To:
TRO-02
HEP-NY

April 17, 2013

Mr. Mike Hein
Ulster County Executive
Ulster County Transportation Council
PO Box 1800, 244 Fair Street
Kingston, New York 12402-1800

Mr. Marcus Molinaro
Dutchess County Executive, and Chairman
Poughkeepsie-Dutchess County Transportation Council
27 High Street
Poughkeepsie, New York 12601

Mr. Edward A. Diana
Orange County Executive, and Chairperson
Orange County Transportation Council
124 Main Street
Goshen, New York 10924

Re: Poughkeepsie-Newburgh Transportation Management Area Certification Review

Dear Sirs:

The Federal Highway Administration (FHWA) and Federal Transit Administration (FTA) will conduct a Certification Review of the transportation planning process for the Poughkeepsie-Newburgh Transportation Management Area (also known as the Mid-Hudson Valley TMA, or MHVTMA), affecting three Metropolitan Planning Organizations (MPOs): Poughkeepsie-Dutchess County Transportation Council (PDCTC), Orange County Transportation Council (OCTC), and the Ulster County Transportation Council (UCTC) on May 29-30, 2013. These dates were selected in consultation with staff of the three MPOs. The review will begin in the morning of May 29th and will look at the cooperative planning process of MHVTMA as a whole, as well as the planning processes as conducted by the staffs of the OCTC, UCTC, and PDCTC individually. At the present time, we see our discussions as primarily with the three MPOs' staffs, together with some of the local member agencies, and we welcome any of the member agencies to be present to offer comments and their insights.



Appendix A FHWA/FTA Letter (Cont.)

Moving Ahead for Progress in the 21st Century of 2012 (MAP-21) continues the requirement for Federal certification of the transportation planning process in urbanized areas over 200,000 population once every four years. Certification reviews are conducted with the objective of evaluating the transportation planning process against the regulatory requirements in 23 CFR Parts 450 & 500 and 49 CFR Part 613. Additionally, we intend to highlight notable practices, exchange information, and identify opportunities for improvements.

On-site discussions will focus on the following:

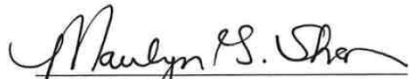
- Status of recommendations from the previous certification
- Metropolitan Planning Area Boundaries
- Coordination of the three MPOs with regard to their products and processes. This may cover:
 - Congestion Management Process
 - Data collection
 - Other Joint Studies
 - Agreements and Contracts
 - Unified Planning Work Programs
 - Transportation Planning Process
 - TIP Development and Project Selection
 - Regional Transportation Plan Development
 - Financial Planning
- Title VI, Environmental Justice, and public involvement
- Management and Operations Considerations / Intelligent Transportation Systems
- Transportation Safety/ Security/ Emergency Planning
- Integrating Freight in the Transportation Planning Process
- Visualization Techniques
- OCTC, UCTC, and PDCTC organizational structure, including participation/involvement of members, area transit operators, and other stakeholders in the transportation planning process

There will be an opportunity for the public, including key MPO committee members or other local elected officials, and special interest groups, to talk directly with FHWA and FTA staff in an open public meeting concerning their views on the conduct of the transportation planning process in the Poughkeepsie-Newburgh region. This review will also allow the public to participate through a 30 day comment period.

Appendix A FHWA/FTA Letter (Cont.)

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 Mr. Victor Waldron of FTA, (212) 668-2183 and Ms. Maria Chau of FHWA (518) 431-8878. We look forward to our on-site visit.

Sincerely,



Marilyn G. Skazor
Regional Administrator
Federal Transit Administration, Region 2



Jonathan D. McDade
Division Administrator
Federal Highway Administration, New York

Appendix B: Certification On-Site Review Agenda

Mid-Hudson Valley Transportation Management Area Certification Review Agenda/Itinerary

DOT Review Team

Maria Chau, FHWA NY Division
Victor Waldron, FTA Region 2
Spencer Stevens, HQ FHWA
Christine Thorkildsen, FHWA NY Division
Alex Appel, FHWA NYC Metro Office

Wednesday, May 29

9:30am-10:00am: **Introduction**

10:00am-2:30pm: **Joint Meeting** (we will work lunch in there somewhere)

- TMA Status: Regional issues/challenges/opportunities (30 mins, Mid-Hudson)
 - MPO Boundaries (FTA/FHWA*, Mid-Hudson 15 mins)
 - 2009 Certification Review (FTA/FHWA, Mid-Hudson 15 mins)
 - Corrective Actions
 - Recommendations
 - 2013 Certification Review Agenda (V. Waldron - 10 mins)
-
- Coordination of the three MPOs:
 - Data collection (15 mins – FTA/FHWA)
 - Joint Studies (15 mins – FTA/FHWA)
 - Agreements and Contracts (15 mins – FTA/FHWA)
 - FTA programs (20 mins – V. Waldron)
 - Integrating Freight in the Transportation Planning Process (20 mins - M. Chau)
 - Title VI and Environmental Justice (30 mins – C. Thorkildsen)
 - Congestion Management Process (15 min A. Appel)
 - Mgmt & Ops Considerations / Intelligent Transportation Systems (30 min A. Appel)

2:30pm-5:00pm **PDCTC** (See agenda on page 2)

Thursday, May 30

8:30am-9:30am: **Review Team Meeting and travel to Kingston**

9:30am-12:00pm: **UCTC** (See agenda on page 2)

12:00pm-1:30pm: **Review Team Lunch and travel to Goshen**

1:30pm-4:00pm: **OCTC** (See agenda on page 2)

4:00pm-5:00pm: **Review Team Wrap-up** (as needed)

Appendix B: Certification On-Site Review Agenda (Cont.)

Individual MPO Meetings Agenda:

- Organizational structure and staff size/capabilities (V. Waldron)
- Agreements and Contracts (V. Waldron)
- Planning process
 - MTP (M.Chau)
 - Unified Planning Work Programs (V.Waldron)
 - TIP (M.Chau)
 - Project management/delivery, asset management, fiscal constraint, eSTIP
 - Schedule/process for next TIP (FTA/FHWA*)
 - Financial planning (FTA/FHWA*)
 - Involvement of members, public, transit ops & other stakeholders (V. Waldron)
 - Opportunity to meet with members / stakeholders
- Transportation Safety/ Security/ Emergency Planning (20 mins – S.Stevens)
- Visualization Techniques (20 mins - M. Chau)



Appendix C: Attendee's List

John Czamanske	OCTC, MPO Director
Ahmed Ismail	OCTC, Planning Staff
Rob Parrington	OCTC, Planning Staff
Dennis Doyle	UCTC, MPO Director
Brian Slack	UCTC, Planning Staff
David Staas	UCTC, Planning Staff
Bob D'Bella	UCAT, Director
Mark Debald	PDCTC, MPO Director
Jen Cocozza	PDCTC, Planning Staff
Emily Dozier	PDCTC, Planning Staff
Michele Bager	NYSDOT – State Planning Bureau
Maria Perez	NYSDOT – Office of Civil Rights
Marc Boucher	NYSDOT – Public Transportation Bureau
Victor Waldron	FTA Region 2
Alex Appel	FHWA – NY Division, ITS Operations Planner
Spencer Stevens	FHWA – HQ, Planning Specialist
Maria Chau	FHWA – NY Division, Senior Community Planner
Christine Thorkildsen	FHWA – NY Division, Community Planner

Appendix D: Acronyms/Glossary

Source: *Transportation Planning Process: Key Issues Appendices (Page 61-65)*

Acronyms		Appendix: Acronyms	
3-C	Continuing, Cooperative and Comprehensive Planning Process	MPO	Metropolitan Planning Organization
AASHTO	American Association of State Highway and Transportation Officials	MTP	Metropolitan Transportation Plan
BTS	Bureau of Transportation Statistics	NAA	Nonattainment Area
CAA	Clean Air Act as amended in 1990	NAAQS	National Ambient Air Quality Standards
CE	Categorical Exclusions	NADO	National Association of Development Organizations
CMAQ	Congestion Mitigation and Air Quality improvement program	NEPA	National Environmental Policy Act of 1969
CMP	congestion management process	NHS	National Highway System
CO	carbon monoxide	NOI	Notice of Intent
COG	Council of Governments	NOx	nitrogen oxide
CPI	Consumer Price Index	PL	Planning Funds
CSS	context sensitive solutions	PM	particulate matter
DEIS	Draft Environmental Impact Statement	PPM	parts per million
DOT	Department of Transportation	ROD	Record of Decision
EA	Environmental Assessment	RPO	Regional Planning Organization
EIS	Environmental Impact Statement	SAFETEA-LU	Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users
EJ	Environmental Justice	SDOT	state DOT
EPA	Environmental Protection Agency	SHSP	Strategic Highway Safety Plan
FAA	Federal Aviation Administration	SIB	State Infrastructure Bank
FEIS	Final Environmental Impact Statement	SIP	State Implementation Plan
FHWA	Federal Highway Administration	SOV	single-occupancy vehicle
FONSI	Finding of No Significant Impact	SPR	State Planning and Research Funds
FTA	Federal Transit Administration	STIP	Statewide Transportation Improvement Program
FY	fiscal year	STP	Surface Transportation Program
GIS	Geographic Information Systems	TCM	Transportation Control Measure
HC	hydrocarbons	TDM	Transportation Demand Management
HOV	high-occupancy vehicle	TEA-21	Transportation Equity Act for the 21st Century
I/M	Inspection and Maintenance	TIFIA	Transportation Infrastructure Finance and Innovation Act of 1998
IHS	Interstate Highway System	TIP	Transportation Improvement Program
IM	Interstate Maintenance	TMA	Transportation Management Area
ISTEA	Intermodal Surface Transportation Efficiency Act of 1991	TMIP	Travel Model Improvement Program
ITS	Intelligent Transportation Systems	TOD	Transit-Oriented Development
LRSTP	Long-Range Statewide Transportation Plan	TRB	Transportation Research Board
L RTP	Long-Range Transportation Plan	UA	urbanized area
M&O	management and operations	UPWP	Unified Planning Work Program
		VOC	Volatile Organic Compound

Appendix D: Acronyms/Glossary (Con't)

Source: *Transportation Planning Process: Key Issues Appendices (Page 61-65)*

The Transportation Planning Process: Key Issues

Glossary

A

Administrative Modification

A minor revision to a long-range statewide transportation or metropolitan transportation plan, TIP, or STIP that includes minor changes to project/project phase costs, minor changes to funding sources of previously included projects, and minor changes to project/project phase initiation dates. An administrative modification is a revision that does not require public review and comment, redemonstration of fiscal constraint, or a conformity determination (in nonattainment and maintenance areas).

Amendment

A revision to a long-range statewide or metropolitan transportation plan, TIP, or STIP, that involves major change to a project included in a MTP, TIP, or STIP, including the addition or deletion of a project or a major change in project cost, project/project phase initiation dates, or a major change in design concept or design scope (e.g., changing project termini or the number of through traffic lanes). Changes to projects that are included only for illustrative purposes do not require an amendment. An amendment is a revision that requires public review and comment, redemonstration of fiscal constraint, or a conformity determination (for MTPs and TIPs involving "non-exempt" projects in nonattainment and maintenance areas). In the context of a long-range statewide transportation plan, an amendment is a revision approved by the state in accordance with its public involvement process.

Area Sources

Small stationary and non-transportation pollution sources that are too small and/or numerous to be included as point sources but may collectively contribute significantly to air pollution (e.g., dry cleaners).

Attainment Area

Any geographic area in which levels of a given criteria air pollutant (e.g., ozone, carbon monoxide, PM10, PM2.5, and nitrogen oxide) meet the health-based National Ambient Air Quality Standards (NAAQS) for that pollutant. An area may be an attainment area for one pollutant and a nonattainment area for others. A "maintenance area" (see definition below) is not considered an attainment area for transportation planning purposes.

C

Capacity

A transportation facility's ability to accommodate a moving stream of people or vehicles in a given time period.

Capital Program Funds

Financial assistance from the transit major capital programs of 49 U.S.C. Section 5309. This program enables the Secretary of Transportation to make discretionary capital grants and loans to finance public transportation projects divided among fixed guideway (rail) modernization; construction of new fixed guideway systems and extensions to fixed guideway systems; and replacement, rehabilitation, and purchase of buses and rented equipment, and construction of bus-related facilities.

Carbon Monoxide (CO)

A colorless, odorless, tasteless gas formed in large part by incomplete combustion of fuel. Human activities (i.e., transportation or industrial processes) are largely the source for CO emissions.

Clean Air Act (CAA)

The original Clean Air Act was passed in 1963, but the national air pollution control program is actually based on the 1970 revision of the law. The Clean Air Act as amended in 1990 made major changes and contains the most far-reaching revisions of the 1970 law.

Conformity (Air Quality)

A CAA (42 U.S.C. 7506[c]) requirement that ensures that federal funding and approval are given to transportation plans, programs and projects that are consistent with the air quality goals established by a State Implementation Plan (SIP). Conformity, to the purpose of the SIP, means that transportation activities will not cause new air quality violations, worsen existing violations, or delay timely attainment of the National Ambient Air Quality Standards (NAAQS). The transportation conformity rule (40 CFR part 93) sets forth policy, criteria, and procedures for demonstrating and assuring conformity of transportation activities.

Congestion Management Process (CMP)

A systematic approach required in transportation management areas (TMAs) that provides for effective management and operation, based on a cooperatively developed and implemented metropolitan-wide strategy of new and existing transportation facilities eligible for funding under title 23 U.S.C. and title 49 U.S.C. through the use of operational management strategies. Provides information on transporta-

tion system performance and finds alternative ways to alleviate congestion and enhance the mobility of people and goods, to levels that meet state and local needs.

Congestion Mitigation and Air Quality Improvement (CMAQ) Program

A federal-aid funding program created under ISTEA. Directs funding to projects that contribute to meeting national air quality standards. CMAQ funds generally may not be used for projects that result in the construction of new capacity available to SOVs (single-occupancy vehicles).

D

Department of Transportation (DOT) When used alone, indicates the U.S. Department of Transportation. In conjunction with a place name, indicates state, city, or county transportation agency (e.g., Illinois DOT, Los Angeles DOT).

E

Emissions Budget

The part of the State Implementation Plan (SIP) that identifies the allowable emissions levels, mandated by the National Ambient Air Quality Standards (NAAQS), for certain pollutants emitted from mobile, stationary, and area sources. The emissions levels are used for meeting emission reduction milestones, attainment, or maintenance demonstrations.

Environmental Justice (EJ)

Environmental justice assures that services and benefits allow for meaningful participation and are fairly distributed to avoid discrimination. (See also "Title VI.")

Environmental Mitigation Activities

Strategies, policies, programs, actions, and activities that, over time, will serve to avoid, minimize, or compensate for (by replacing or providing substitute resources) the impacts of to or disruption of elements of the human and natural environment associated with the implementation of a long-range statewide transportation plan or MTP. The human and natural environment includes, for example, neighborhoods and communities, homes and businesses, cultural resources, parks and recreation areas, wetlands and water sources, forested and other natural areas, agricultural areas, endangered and threatened species, and the ambient air. The environmental mitigation strategies and activities are intended to be regional in scope, and may not necessarily address potential project-level impacts.

Appendix D: Acronyms/Glossary (Cont.)

Source: *Transportation Planning Process: Key Issues Appendices (Page 61-65)*

Appendix: Glossary

Environmental Protection Agency (EPA)

The federal regulatory agency responsible for administering and enforcing federal environmental laws, including the Clean Air Act, the Clean Water Act, the Endangered Species Act, and others.

F

Federal Highway Administration (FHWA)

A branch of the U.S. Department of Transportation that administers the federal-aid highway program, providing financial assistance to states to construct and improve highways, urban and rural roads, and bridges. The FHWA also administers the Federal Lands Highway Program, including survey, design, and construction of forest highway system roads, parkways and park roads, Indian reservation roads, defense access roads, and other Federal Lands roads.

Federal Transit Administration (FTA)

A branch of the U.S. Department of Transportation that administers federal funding to transportation authorities, local governments, and states to support a variety of locally planned, constructed, and operated public transportation systems throughout the U.S., including buses, subways, light rail, commuter rail, streetcars, monorail, passenger ferry boats, inclined railways, and people movers.

Financial Plan

The documentation required to be included with a MTP and TIP (optional for the long-range statewide transportation plan and STIP) that demonstrates the consistency between reasonably available and projected sources of federal, state, local, and private revenues and the costs of implementing the proposed transportation system improvements.

Financial Programming

A short-term commitment of funds to specific projects identified in both the regional and the statewide Transportation Improvement Program.

Fiscal Constraint

Making sure that a given program or project can reasonably expect to receive funding within the time allotted for its implementation. The MTP, TIP, and STIP must include sufficient financial information for demonstrating that projects in the MTP, TIP, and STIP can be implemented using committed, available, or reasonably available revenue sources, with reasonable assurance that the federally supported transportation system is being adequately operated and maintained. For the TIP and the STIP, financial constraint/fiscal

constraint applies to each program year. Additionally, projects in air quality nonattainment and maintenance areas can be included in the first two years of the TIP and STIP only if funds are "available" or "committed."

Formula Capital Grants

Federal transit funds for transit operators, allocated by FTA, and used to purchase rolling stock (e.g., buses and trains) as well as design and construct facilities (e.g., shelters, transfer centers, etc.).

G

Geographic Information System (GIS)

Computerized data management system designed to capture, store, retrieve, analyze, and display geographically referenced information.

H

High-Occupancy Vehicle (HOV)

Vehicles carrying two or more people. The number that constitutes an HOV for the purposes of HOV highway lanes may be designated differently by different transportation agencies.

I

Intelligent Transportation Systems (ITS)

Electronics, photonics, communications, or information processing used singly or in combination to improve the efficiency or safety of a surface transportation system. The National ITS architecture is a blueprint for the coordinated development of ITS technologies in the U.S., providing a systems framework to guide the planning and deployment of ITS infrastructure.

Intermodal

The ability to connect, and connections between, differing modes of transportation.

Intermodal Surface Transportation Efficiency Act of 1991 (ISTEA)

Legislative initiative by the U.S. Congress that restructured and authorized federal funding for transportation programs; provided for an increased role for regional planning commissions/MPOs in funding decisions; and required comprehensive regional and statewide long-term transportation plans.

Interstate Highway System (IHS)

The specially designated system of highways, begun in 1956, which connects the principal metropolitan areas, cities, and industrial centers of the United States. Also connects the U.S. to internationally significant routes in Canada and Mexico.

L

Land Use

Refers to the manner in which portions of land or the structures on them are used (or designated for use in a plan), i.e., commercial, residential, retail, industrial, etc.

Long-Range Statewide Transportation Plan (LRSTP)

The official, statewide, multimodal transportation plan covering no less than 20 years developed through the statewide transportation planning processes.

Long-Range Transportation Plan (LRTP)

A document resulting from regional or statewide collaboration and consensus on a region's or state's transportation system, and serving as the defining vision for the region's or state's transportation systems and services. In metropolitan areas, this is the official multimodal transportation plan addressing no less than a 20-year planning horizon that is developed, adopted, and updated by the MPO through the metropolitan transportation planning process.

M

Maintenance Area

Any geographic region of the United States that the EPA previously designated as a nonattainment area for one or more pollutants pursuant to the CAA Amendments of 1990, and subsequently redesignated as an attainment area subject to the requirement to develop a maintenance plan under section 175A of the CAA, as amended.

Metropolitan Planning Area

The geographic area determined by agreement between the metropolitan planning organization (MPO) for the area and the Governor, in which the metropolitan transportation planning process is carried out.

Metropolitan Planning Organization (MPO)

The policy board of an organization created and designed to carry out the metropolitan transportation planning process for urbanized areas with populations greater than 50,000, and designated by local officials and the Governor of the state.

Metropolitan Transportation Plan (MTP)

The official multimodal transportation plan addressing no less than a 20-year planning horizon that is developed, adopted and updated by the MPO through the metropolitan transportation planning process.

Appendix D: Acronyms/Glossary (Cont.)

Source: *Transportation Planning Process: Key Issues Appendices (Page 61-65)*

The Transportation Planning Process: Key Issues

Glossary

Mode

A specific form of transportation, such as automobile, subway, bus, rail, air, bicycle, or foot.

N

National Ambient Air Quality Standards (NAAQS)

Federal standards that set allowable concentrations and exposure limits for various pollutants. The EPA established these standards pursuant to section 109 of the CAA. Air quality standards have been established for the following six criteria pollutants: ozone (or smog), carbon monoxide, particulate matter, nitrogen dioxide, lead, and sulfur dioxide.

National Environmental Policy Act of 1969 (NEPA)

Established requirements that any project using federal funding or requiring federal approval, including transportation projects, examine the effects of proposed and alternative choices on the environment before a federal decision is made.

Nonattainment Area (NAA)

A geographic region of the United States that has been designated by the EPA as a nonattainment area under section 107 of the CAA for any pollutants for which an NAAQS exists, meaning that federal air quality standards are not being met.

O

Operational and Management Strategies

Actions and strategies aimed at improving the performance of existing and planned transportation facilities to relieve congestion and maximize the safety and mobility of people and goods.

Ozone (O₃)

Ozone is a colorless gas with a sweet odor. It is a secondary pollutant formed when VOCs and NO_x combine in the presence of sunlight. Ozone is associated with smog or haze conditions. Although the ozone in the upper atmosphere protects us from harmful ultraviolet rays, ground-level ozone—resulting from human and natural sources—produces an unhealthy environment in which to live.

P

Particulate Matter (PM-10 and PM 2.5)

Particulate matter consists of airborne solid particles and liquid droplets. Particulate matter may be in the form of fly ash, soot, dust, fog, fumes, etc. These particles are classified as “coarse” if they are smaller than 10 microns, or “fine” if they are smaller than 2.5 microns. Coarse airborne particles are produced during grinding operations, or from the physical disturbance of dust by natural air turbulence processes, such as wind. Fine particles can be a by-product of fossil fuel combustion, such as diesel and bus engines. Fine particles can easily reach remote lung areas, and their presence in the lungs is linked to serious respiratory ailments such as asthma, chronic bronchitis, and aggravated coughing. Exposure to these particles may aggravate other medical conditions such as heart disease and emphysema and may cause premature death. In the environment, particulate matter contributes to diminished visibility and particle deposition (soiling).

Performance Measures

Indicators of how well the transportation system is performing with regard to such measures as average speed, reliability of travel, and accident rates. Used as feedback in the decisionmaking process.

Planning Funds (PL)

Primary source of funding for metropolitan planning administered by the FHWA.

Public Participation / Public Involvement

The active and meaningful involvement of the public in the development of transportation plans and programs.

R

Regional Council of Governments (COG)

Regional councils of governments are multipurpose, multijurisdictional public organizations. Created by local governments to respond to federal and state programs, regional councils bring together participants at multiple levels of government to foster regional cooperation, planning and service delivery. They may also be called planning commissions, development districts, or other names, and may or may not include the structure and functions of Metropolitan Planning Organizations (MPOs).

S

SAFETEA-LU

The Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU). SAFETEA-LU authorized the federal surface transportation programs for highways, highway safety, and transit for the 5-year period 2005-2009.

Sources (Pollution)

Refers to the origin of air contaminants. Can be point (coming from a defined site) or non-point (coming from many diffuse sources). Stationary sources include relatively large, fixed facilities such as power plants, chemical process industries, and petroleum refineries. Area sources are small, stationary, non-transportation sources that collectively contribute to air pollution, and include such sources as dry cleaners and bakeries, surface coating operations, home furnaces, and crop burning. Mobile sources include on-road vehicles such as cars, trucks, and buses; and off-road sources such as trains, ships, airplanes, boats, lawnmowers, and construction equipment. Common mobile source-related pollutants are carbon monoxide (CO), hydrocarbons (HC), nitrogen oxides (NO_x), and particulate matter (PM-10 and PM 2.5).

Stakeholders

Individuals and organizations involved in or affected by the transportation planning process. Include federal/state/local officials, MPOs, transit operators, freight companies, shippers, users of the transportation infrastructure, and the general public.

State Implementation Plan (SIP)

The portion (or portions) of the implementation plan (as defined in section 302(q) of the CAA), or most recent revision thereof, which has been approved under section 110 of the CAA, or promulgated or approved under section 301(d) of the CAA and which implements the relevant requirements of the CAA. Although the SIP is produced by the state environmental agency (not the MPO) to monitor, control, maintain, and enforce compliance with the NAAQS, it must also be taken into account in the transportation planning process.

State Infrastructure Bank (SIB)

A revolving fund mechanism for financing a wide variety of highway and transit projects through loans and credit enhancement. SIBs are designed to complement traditional federal-aid highway and transit grants by providing states increased flexibility for financing infrastructure investments.

Appendix D: Acronyms/Glossary (Cont.)

Source: *Transportation Planning Process: Key Issues Appendices (Page 61-65)*

Appendix: Glossary

State Planning and Research Funds (SPR)
Primary source of funding for statewide long-range planning, administered by the FHWA.

Statewide Transportation Improvement Program (STIP)
A statewide prioritized listing/program of transportation projects covering a period of four years that is consistent with the long-range statewide transportation plan (LRSTP), metropolitan transportation plans (MTPs), and transportation improvement plans (TIPs), and is required for projects to be eligible for funding under title 23 U.S.C. and title 49 U.S.C. Chapter 53.

Surface Transportation Program (STP)
Federal-aid highway funding program that supports a broad range of surface transportation capital needs, including many roads, transit, sea and airport access, vanpool, bike, and pedestrian facilities.

T

Telecommuting
Employment utilizing electronic communications (by telephone, computer, fax, etc.) with a physical office, either from home or from another site, instead of traveling to and working in the office.

Title VI
Title VI of the Civil Rights Act of 1964 prohibits discrimination in any program receiving federal assistance. (See "Environmental Justice")

Transportation Control Measure (TCM)
Any measure that is specifically identified committed to in the applicable SIP that is either one of the types listed in section 108 of the CAA or any other measure for the purpose of reducing emissions or concentrations of air pollutants from transportation sources by reducing vehicle use or changing traffic flow or congestion conditions. Notwithstanding the above, vehicle technology-based, fuel-based, and maintenance-based measures that control the emissions from vehicles under fixed traffic conditions are not TCMs.

Transportation Demand Management (TDM)
Programs designed to reduce demand for transportation through various means, such as the use of public transit and of alternative work hours.

Transportation Equity Act for the 21st Century (TEA-21)
Legislated in 1998, TEA-21 authorized approximately \$217 billion in federal funding for transportation investment for FYs 1998-2003. Used for highway, transit, and other surface transportation programs.

Transportation Improvement Program (TIP)
A prioritized listing/program of transportation projects covering a period of four years that is developed by an MPO as part of the metropolitan transportation planning process, consistent with the metropolitan transportation plan (MTP), and required for projects to be eligible for funding under title 23 U.S.C. and title 49 U.S.C. Chapter 53.

Transportation Infrastructure Finance and Innovation Act of 1998 (TIFIA)
A federal credit program under which the DOT may provide three forms of credit assistance—secured (direct) loans, loan guarantees, and standby lines of credit—for surface transportation projects of national or regional significance. The fundamental goal is to leverage federal funds by attracting substantial private and non-federal co-investment in critical improvements to the nation's surface transportation system.

Transportation Management Area (TMA)
An urbanized area with a population of 200,000 or more, as defined by the U.S. Bureau of the Census and designated by the Secretary of Transportation, or any additional area where TMA designation is requested by the Governor and the MPO and designated by the U.S. Secretary of Transportation.

Trust Fund
A fund credited with receipts that are held in trust by the government and earmarked by law for use in carrying out specific purposes and programs in accordance with an agreement or a statute.

U

Unified Planning Work Program (UPWP)
A statement of work identifying the planning priorities and activities to be carried out within a metropolitan planning area. At a minimum, a UPWP includes a description of the planning work and resulting products, who will perform the work, time frames for completing the work, the cost of the work, and the source(s) of funds.

Urbanized Area (UA)
A geographic area with a population of 50,000 or more, as designated by the U.S. Bureau of the Census.

V

Visualization Techniques
Methods used by states and MPOs in the development of transportation plans and programs with the public, elected and appointed officials, and other stakeholders in a clear and easily accessible format such as maps, pictures, and/or other displays to promote improved understanding of existing or proposed transportation plans and programs.

Appendix D: Acronyms/Glossary (Cont.)

Additional Acronym List

AVL	Automatic Vehicle Location
CFR	Code of Federal Regulations
CMP	Congestion Management Process
FHWA	Federal Highway Administration
FTA	Federal Transit Administration
ITS	Intelligent Transportation Systems
LEP	Limited English Proficiency
L RTP	Long-Range Transportation Plan
M&O	Management and Operations
MHV	Mid-Hudson Valley
MPO	Metropolitan Planning Organization
NYSDOT	New York State Department of Transportation
OCTC	Orange County Transportation Council
PDCTC	Poughkeepsie-Dutchess County Transportation Council
TIP	Transportation Improvement Program
TMA	Transportation Management Area
TOPS	Traffic Operations and Public Safety Committee (UCTC)
TSP	Transit Signal Priority
TTI	Travel Time Index
USC	United States Code
USDOT	United States Department of Transportation
UCTC	Ulster County Transportation Council
VMS	Variable Message Sign

Appendix E: Map of TMA

Source: Map 1: UCTC 2013-2014 UPWP

Figure 1: Mid-Hudson Valley Transportation Management Area (TMA)

