

Appendix A - **HOCTS Self-Certification**

Herkimer-Oneida Counties Transportation Study

2013 Self-Certification

A. REQUIRED AGREEMENTS

Transportation planning in Herkimer and Oneida Counties is carried out by the Herkimer- Oneida Counties Transportation Study (HOCTS). HOCTS is a cooperative effort by local, state, and federal agencies for conducting transportation planning activities in Herkimer and Oneida Counties. HOCTS was created during 1963 (in compliance with the Federal Highway Act of 1962) in order to establish transportation goals and objectives on a local basis. The Herkimer-Oneida Counties Governmental Policy and Liaison Committee (GP&L) has been designated as the region's Metropolitan Planning Organization (MPO) for transportation by the Governor of New York for urban the Utica-Rome Urbanized Area.

As is the case with all MPOs in New York State, HOCTS is not a legal entity in and of itself. It depends upon a host agency to provide payroll and legal services and to contract with consultants for planning studies. The Oneida County Department of Planning acts as HOCTS host agency. The current staff positions (the Transportation Program Manager, the Senior Transportation Planners (2) and an Administrative Assistant) are employed by Oneida County and work in the HOCTS staff office located in the City of Utica at the Boehlert Center at Union Station, 321 Main Street, Utica, NY 13501. The staff has the responsibility of managing consultant studies specified in the UPWP, conducting technical analyses, purchasing of supplies and equipment, and carrying out the balance of the duties necessary to function as an MPO. The host agency agreement between the HOCTS and Oneida County was renewed in 2012 for a term of ten years.

B. PLANNING/TECHNICAL

1. UPWP

The Herkimer-Oneida Counties Transportation Study adopted a Unified Planning Work Program for 2013-2014 in March of 2013. The work program includes ongoing public participation activities, data collection and performance measurement tasks, traffic modeling, technical assistance to municipalities, Geographic Information system (GIS) work, long range plan development, and corridor-planning activities described in the current Long Range Plan. The Local Transportation Planning Assistance program is also demand response to individual community requests and subject to board approval and is intended to help communities address issues in support of HOCTS goals, objectives, and principals.

2. Transportation Plan

HOCTS 2030 Long Range Plan was adopted by the Council in December 2009. A public survey for the LRP was conducted and there was an aggressive outreach campaign. The LRP lists all current State and Federal planning factors and emphasis areas. Data collection, outreach, and analysis will begin in late 2013 with anticipation of a December 2014 approval of the 2015-2035 LRP.

3. The Transportation Improvement Program (TIP)

The 2011-2015 Transportation Improvement Program is the current MPO capital program. It was approved by HOCTS in May 2010; conformity was most recently reaffirmed in March 2010. During

development of both TIP documents, fiscal constraint was applied in coordination with NYSDOT Region 2. HOCTS worked closely with its members and NYSDOT Region 2 to identify appropriate projects that could safely be deferred as a result of program limitations. Through these and similar coordinated efforts the current TIP has remained both balanced and fiscally constrained. Individual projects are clearly identifiable and are consistent with the adopted HOCTS Long Range Plan. TIP amendment procedures are consistent with guidance from federal regulatory agencies and were amended in January 2010 to refine the distinctions between amendments and administrative modifications.

4. Technical Studies and Emphasis Areas

Technical studies are proceeding consistent with the current UPWP. GIS network development and road condition scoring of network roads continues to be an emphasis area, along with bicycle and pedestrian planning for HOCTS. An enhanced emphasis is being placed on mobility management and transit operations. Overall, targeted safety evaluations and highway safety programs are an emerging focus. Finally, an integrated focus is on the enhancing the connection between transportation investments and economic development.

5. Special Considerations in the Transportation Planning Process

(a) **Title VI:** HOCTS is a designated sub-recipient under NYSDOT's DBE program and maintains ongoing compliance efforts. Title VI/DBE reports are submitted on a semi-annual basis to NYSDOT and the Council has also signed on to NYSDOT's DBE plan. HOCTS has never received any discrimination complaints. The Environmental Justice review is updated as plans and regional demographics change and will be updated in 2013. Special considerations for elderly and disabled persons are consistent with ADA requirements and are provided in the transportation planning process and in community participation projects. Specific outreach to senior organizations was conducted as part of the LRP update and FTA 5310, FTA 5316, and FTA 5317 solicitations. HOCTS public transit planning efforts includes consideration of services for elderly, disabled persons and for those who choose not to drive. MPO meetings are always held in ADA-accessible facilities. ADA compliance is monitored through the ADA paratransit services offered by the local transit operator and staff review of federally-funded projects and plans. Periodic review of local demographics continues to suggest that ethnic populations are a large portion and warrant targeted Limited English Population programs. That data will be periodically reassessed and incorporated into all transportation planning projects and programs undertaken, in conjunction with future Environmental Justice review.

(b) **Private Operators** - Consideration is given to private transportation providers. Private transportation operators will be considered and involved in any future planning efforts to develop additional services to rural areas, particularly as part of the implementation of the recently adopted Coordinated Human Services Transportation Plan. An update to a staff-developed transportation provider service directory that includes information about private services, including taxis and limousine services, and was originally developed in 2008 and updated in 2012. A Coordinated Human Services Transportation Committee has been continued for steering and guidance associated with the Plan.

(c) **Planning Factors** - Up-to-date State and Federal planning factors and emphasis areas are

used to develop HOCTS plans and programs and to guide project selection processes. HOCTS staff continues to maintain its relationships with local land use planning organizations through communication and consultation. New programming instructions consistent with NYSDOT's Forward Four principles, emphasizing maintenance and preservation activities over "worst-first" infrastructure replacement projects, have been thoroughly incorporated within the development of the draft 2014-18 TIP.

(d) Congestion Management Process– No process in place (not required for HOCTS).

(e) Public Involvement – The HOCTS Public Involvement Policy was updated and approved in 2007. An update to the Policy is planned for 2013 – 2014. HOCTS actively solicits public involvement through media, public meetings, mailings, and at events where the public gathers. HOCTS staff regularly meets with local officials, participates in public meetings, and hold public information meetings and planning forums to involve the general public and concerned businesses and agencies. Special efforts are made to involve freight and transit users in all corridors and related planning activities. Further, all meetings of HOCTS Transportation Planning and Policy Committees are open to the public. Local newspapers are notified of meetings. Legal notices are issued during the development of all core publications, announcing the opportunity for public review and comment. The HOCTS website contains all recent MPO products, meeting minutes and the most current versions of annual or recurring documents. The website allows for public comment on publications and provides opportunities for the public to contact staff to ask questions about any transportation concern they may have. Copies of the UPWP, TIP, LRP Surveys and other documents are readily available to the public at no charge, on-line, in-office and at other public locations.

C. Administrative/Management

1. **Progress Reports** are prepared and submitted on a monthly basis at the request of our Host Agency (Oneida County). They are complete and comprehensive.
2. **Bills** are submitted and paid based on the processing schedule of the host agency, Oneida County. Vendor complaints are typically infrequent but increased in 2012, mostly due to delayed State reimbursements to Oneida County.
3. **Audits** are completed in a timely manner in conjunction with the host agency.
4. **Annual Program** is closed out within 3 years in cooperation with NYSDOT.
5. **MPO Budget** is regularly monitored and updated as needed.
6. **Consultant Selection Process** HOCTS has a consultant selection process that is followed for all professional services agreements and is in compliance with the host agency's policy. Additional consideration is given to consultants that contain a minimum of 10% DBE participation.
7. **Central Staff/Host Relations** are positive. MPO staff is accorded equal status as Oneida County Department of Planning staff. Quality office space and support services to accommodate HOCTS

staff and activities are provided. Staff has good political support within the planning and programming area.

8. **Decision Making** ability is effective in the HOCTS area. The public is aware of the many issues and members listen and fully consider expressed public concerns. Committees are competently and sufficiently staffed. Technical Advisory Committee meetings are well attended; reaching consensus decisions has not been a problem. The Policy Committee meets at least twice a year with additional meetings if action is required. Policy Committee meetings are well attended. Members are consulted frequently on regional and local matters concerning their jurisdictions.
9. **Governance** - In April 2012 the HOCTS host agency, Oneida County, renewed its agreement with NYSDOT through March 2022. The format of the new agreement was consistent with a new model recently developed by NYSDOT. The hosting arrangement allows HOCTS staff to advance its work without any undue influence from any particular member municipality. The Transportation Planning and Governmental Policy and Liaison committees have consistent and balanced representation from throughout the program area, including *all* urban area municipalities.
10. **Procurement** - HOCTS staff is aware of the procurement requirements of FTA funding recipients, including those listed within the FTA Circular Guidance 4220.1F, Third Party Contracting Requirements, and the FTA Master Agreement. FTA-related expenditures are documented. Procurements by HOCTS utilizing FTA funds are infrequent.

Appendix B - **GLOSSARY OF TERMS**

TIP Project Category Definitions (Work Types) and Identifier:

- PIN (Project Identification Number) - A unique six-digit number assigned to each project by the NYSDOT regional office.

The following work-types are based on the main objective of the projects:

- BRIDGE – Construction, reconstruction, recondition, bridge preventive maintenance, painting, inspections, or any bridge or viaduct work related to include its approaches.
- CONST – Construction of a new highway on a new alignment or added lanes on an existing roadway to include initial construction of an expressway or an arterial.
- INTER – Projects where the primary objective is to provide operational improvements at specific intersections.
- MISC – Miscellaneous projects such as landscaping, noise barriers, soil boring, demonstrations (such as an Air Quality Demo), freight, and fund transfers.
- MOBIL – Traffic operations (channelization/signals, and other strategies), Transportation System Management (TSM), incident management, bike/pedestrian ways and related mobility projects.
- RECON – Major reconstruction of existing highways including sub-base and pavement.
- R&P – Recondition and Preservation, Rehabilitation, Preventive Maintenance, Resurfacing of highways
- SAFETY – Median barrier/guide rails, hazard elimination, drainage, striping, signing, traffic signals, and lighting to improve highway safety conditions.
- STUDY – Study of transportation alternatives with a specific corridor or route or a transportation problem.
- TRAFFIC – Projects designed to improve the capacity and efficiency of the traffic network, such as signalization or turning lanes.
- TRANSIT – Projects that add service or capacity to the transit network (including ferries) or projects that are capital or operating related.

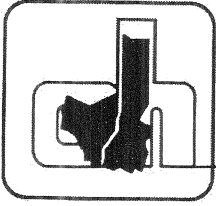
TIP Project Phase Definitions:

- SCOPING - project development involving intensive planning actions focused on evaluating a specific transportation problem and coming up with a clearly-defined project that effectively solves the problem
- RIGHT-OF-WAY - A phase or type of work in which the land needed to build a project is purchased
- PRELIMINARY DESIGN - The process of advancing preliminary engineering and obtaining formal community and environmental approval of the Initially Preferred Alternative.
- DETAILED DESIGN - A phase or type of work consisting of taking a recommended solution and scope of work defined in the project development phase and developing a final design, including right of way and construction plans.
- CONSTRUCTION - A phase or type of work involving the actual building of a project.
- INSPECTION - Inspection of project construction.

TIP Financial Definitions:

- FFY (Federal Fiscal Year) - October 1 - September 30
- SFY (New York State Fiscal Year) - April 1 - March 31

Appendix C - **RESOLUTIONS**



HERKIMER-ONEIDA COUNTIES GOVERNMENTAL POLICY AND LIAISON COMMITTEE

Boehler Center at Union Station, 321 Main St., Utica, NY 13501 Telephone (315) 798-5710 FAX: (315) 798-5852

planning@ocgov.net

GOVERNMENTAL POLICY AND LIAISON COMMITTEE

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Chairman, Herkimer County Legislature

ANTHONY J. PICENTE, JR. (Vice-Chairman)
Oneida County Executive

JAMES W. WALLACE
Herkimer County Administrator

BERNARD PEPLINSKI, SR., Chairman
Planning & Development Committee
Herkimer County Legislature

BRUCE WEAKLEY, Chairman
Highways Committee
Herkimer County Legislature

TIMOTHY J. SEYMOUR, Commissioner
Herkimer County Social Services

GERALD J. FIORINI, Chairman
Oneida County Board of Legislators

GEORGE E. JOSEPH, Majority Leader
Oneida County Board of Legislators

FRANK D. TALLARINO, Minority Leader
Oneida County Board of Legislators

BRIAN D. MILLER, Chairman
Public Works Committee
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JOHN BIALEK, Mayor
Village of New York Mills

JOHN STEPHENS, Mayor
Village of Ilion

FRANK SPATTO, Supervisor
Town of German Flatts

OWEN E. WALLER, Supervisor
Town of Verona

MARY LOU McENROY, Supervisor
Town of Paris

BRIAN M. SCHULTZ, Chairman
Central New York Regional
Transportation Authority

JOAN McDONALD, Commissioner
NYS Department of Transportation

HOWARD P. MILSTEIN, Chairman
NYS Thruway Authority

JOHN R. KENT, JR. (Secretary)
Program Director
Herkimer-Oneida Counties
Comprehensive Planning Program

HOCTS Resolution No. 2013-7

Approval of the FFY 2014-2018 Transportation Improvement Program for the Utica Urbanized Area and Rural Herkimer-Oneida Counties

WHEREAS, Part 450, Subpart B, 23 CFR Chapter I and Part 613, Subpart B, 49 CFR Chapter VI as published in the Federal Register of June 30, 1983, require the development of a Transportation Improvement Program (TIP) within the Utica Urbanized Area; and

WHEREAS, the Federal regulations require that the TIP be a staged multi-year program of transportation improvement projects consistent with the long range transportation plan, and include first year project allocations; and

WHEREAS, the Governmental Policy and Liaison Committee has been designated by the Governor of New York State as the Metropolitan Planning Organization responsible, together with the State, for the comprehensive, continuous and coordinated transportation planning process for the Utica Urbanized Area; and

WHEREAS, the Governmental Policy and Liaison Committee understands that the non-urbanized area elements of the Transportation Improvement Program as well as projects funded by sources other than those cited in the Federal regulations are identified for the purpose of comprehensiveness and for guidance to parties responsible for the implementation of such projects; and

WHEREAS, the Moving Ahead for Progress in the 21st Century (MAP-21) requires that the TIP be "Fiscally Constrained" by Federal Fiscal Year (FFY) and by fund category, and

WHEREAS, a "Project Selection" process is described in the TIP in order to advance an already approved project to the first year of the approved TIP without the need for an amendment, and

WHEREAS, there is a need to efficiently administer and implement the projects contained in the TIP, it is recognized that project costs, fund sources and scheduling shown in the TIP are reasonable estimates which may change during the course of project development; and it is the intent of the Governmental Policy and Liaison Committee through its Transportation Planning Committee to monitor such changes, "Project Selection," and indicate to program administrators changes which are not consistent with the TIP and indicate what action should be taken; and

WHEREAS, it is recognized that all projects programmed to be obligated that can not be let or implemented are construed to be included in the first year program; and

WHEREAS, the regional public and private transit operators and other interested parties have been advised of and involved in the planning process and the development of the TIP and the local share of projects is provided for in their upcoming budgets; and

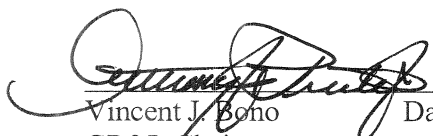
WHEREAS, the Governmental Policy and Liaison Committee, in compliance with the Clean Air Act Amendments of 1990 considers the proposed FFY 2014-2018 TIP to be consistent with the Statewide Implementation Plan (SIP) recommendations;

THEREFORE, BE IT RESOLVED, that the Governmental Policy and Liaison Committee continues its approval of the Long Range Transportation Plan; and

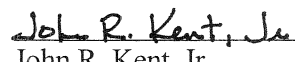
BE IT FURTHER RESOLVED, that the Governmental Policy and Liaison Committee approves the attached FFY 2014-2018 TIP for Herkimer-Oneida Counties; and

BE IT FURTHER RESOLVED, that the priorities and project selections contained in this document remain in effect until revised or amended by further TIP action; and

BE IT FURTHER RESOLVED, that the Governmental Policy and Liaison Committee directs the Secretary to submit this resolution and appropriate documentation of the program through the New York State Commissioner of Transportation to the Federal Highway Administration and Federal Transit Administration as (1) amendments to the existing State Transportation Improvement Program as necessary and appropriate, and (2) a component of the new State Transportation Improvement Program to cover Federal Fiscal Years 2014 through 2018; and

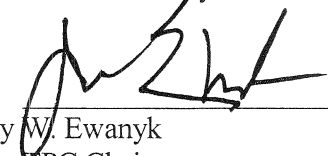

Vincent J. Bono
GP&L Chairman

5-30-13
Date

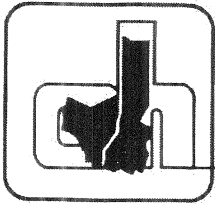

John R. Kent, Jr.
GP&L Secretary

5-30-13
Date

Recommended by the Transportation
Planning Committee


Jay W. Ewanyk
TPC Chairman

5/28/13
Date



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JOHN R. KENT, JR. (Secretary)
Program Director
Herkimer-Oneida Counties
Comprehensive Planning Program

HOCTS Resolution 2013-8

Approval of the 2013 Self Certification of HOCTS Metropolitan Planning Process.

WHEREAS, the Governmental Policy and Liaison Committee (GP&L) has been designated by the Governor of New York State as the Metropolitan Planning Organization responsible, together with the State, for the comprehensive, continuous and coordinated transportation planning process for the Utica Urbanized Area and rural Herkimer and Oneida Counties; and

WHEREAS, the State and the MPO must certify that the MPO planning process is being carried on in conformance with all applicable requirements of specific Federal acts and regulations; and

WHEREAS, it is the responsibility of the GP&L Committee to ensure that said policy, planning and programming process is consistent with applicable Federal and State Law, and is also consistent with local area objectives; and

WHEREAS, the GP&L Committee's metropolitan transportation planning process includes activities to support the development and implementation of a Regional Transportation Plan and Transportation Improvement Program (TIP) and subsequent project development activities including the environmental impact assessment process; and

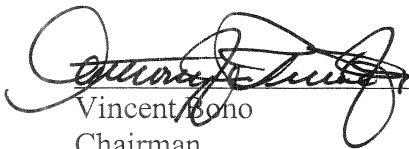
WHEREAS, the GP&L Committee's planning process is consistent with Federal laws, acts and regulations pertaining to involvement of appropriate public and private transportation providers; and

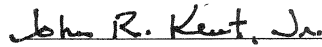
THEREFORE, BE IT RESOLVED, that in accordance with 23 CFR 450.334 and 450.314, the GP&L Committee for the Utica Urbanized Area hereby certifies that the transportation planning process is addressing the major issues in the metropolitan planning area and is being conducted in accordance with applicable requirements of:

1. 23 U.S.C 134, 49 U.S.C. 5303 and 23 CFR 450 Subpart C;
2. Section 174 and 176(c) and (d) of the Clean Air Act, as amended (42 U.S.C. 7504, 7506 (c) and (d) and 40 CFR part 93);
3. Title VI of the Civil Rights Act of 1964, as amended (42 U.S.C. 2000d-1) and 49 CFR part 21;
4. 49 U.S.C. 5352, prohibiting discrimination on the basis of race, color, creed, national origin, sex, or age in employment or business opportunity;
5. 23 CFR part 230, regarding the implementation of an equal employment program on Federal and Federal-Aid highway construction contracts;
6. 49 CFR part 26, regarding the participation of disadvantaged business enterprises in Department of Transportation projects or funding;
7. The provisions of the American with Disabilities Act of 1990 (42 U.S.C. 12101 et seq.) and 49 CFR parts 27, 37 and 38;
8. The Older Americans Act, as amended (42 U.S.C. 6101), prohibiting discrimination on the basis of age in programs or activities receiving Federal financial assistance;
9. Section 324 of title 23 U.S.C. regarding the prohibition of discrimination based on gender; and
10. Section 504 of the Rehabilitation Act of 19723 (29 U.S.C.) and 49 CFR part 27 regarding discrimination against individuals with disabilities.


BE IT FURTHER RESOLVED, that the Governmental Policy and Liaison Committee hereby certifies that the transportation planning process complies with all applicable federal laws and regulations including applicable requirements of the Federal Transit Act as amended by MAP-21; and

BE IT FURTHER RESOLVED, that the GP&L Committee hereby directs the Chairman to communicate this action to the appropriate State and Federal officials in the prescribed manner.

 5-30-13
 Vincent Bono
 Chairman
 Date

 5-30-13
 John R. Kent, Jr.
 Secretary
 Date

Recommended by the Transportation
 Planning Committee

 5/23/13
 Jay Ewanyk
 TPC Chairman
 Date