

California Department of Transportation

**Metropolitan Planning Organization
Overall Work Program
Guidance**



FY 2011/2012

Prepared by:
Office of Regional and Interagency Planning
Division of Transportation Planning, California Department of Transportation
November 2010

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SECTION 1
Introduction: The Overall Work Program Guidance

The Overall Work Program (OWP) Guidance package is an annual supplement to the 2010 Regional Planning Handbook. The Regional Planning Handbook describes respective roles and responsibilities for the regional agencies and Caltrans transportation planners who have regional transportation planning duties. The Regional Planning Handbook and the OWP Guidance are posted on the web at:

<http://www.dot.ca.gov/hq/tpp/offices/orip/owp/index.html>

Please note there are separate Metropolitan Planning Organization (MPO) and Regional Transportation Planning Agency (RTPA) versions of the OWP Guidance.

Key Highlights for FY 2011/2012 OWP

The following are reminders and highlights for the FY 2011/2012 OWP Process:

- Appendix D Planning Funds – Eligible Uses has been updated to include additional clarification on activities that can not be funded with Consolidated Planning Grant (CPG) funds.
- The OWP Review Checklist has been revised under the direction of FHWA’s OWP Guidance letter dated November 24, 2010.
- The California Planning Emphasis Areas will be sent out separately as soon as they are available from FHWA.
- Appendix G and H- Includes information on California Complete Streets and Smart Mobility Framework.

SECTION 2
Consolidated Planning Grant Estimates for FY 2011/2012

FHWA Metropolitan Planning (PL) Estimated Allocation
FY 2011/2012

Southern California Association of Governments (SCAG)	\$17,413,572.78
Metropolitan Transportation Commission (MTC)	\$6,965,998.82
San Diego Association of Governments (SANDAG)	\$3,390,671.71
Sacramento Area Council of Governments (SACOG)	\$2,577,377.33
Council of Fresno County Governments (COFCG)	\$1,348,194.41
Kern Council of Governments (KCOG)	\$1,213,189.31
Association of Monterey Bay Area Governments (AMBAG)	\$1,048,849.90
San Joaquin Council of Governments (SJCOG)	\$1,121,507.91
Stanislaus Council of Governments (StanCOG)	\$978,482.11
Tulare County Association of Governments (TCAG)	\$869,449.91
Santa Barbara County Association of Governments (SBCAG)	\$794,085.87
Merced County Association of Governments (MCAG)	\$709,636.62
San Luis Obispo Council of Governments (SLOCOG)	\$681,759.91
Butte County Association of Governments (BCAG)	\$665,818.19
Shasta County Regional Transportation Planning Agency (SCRTPA)	\$606,958.70
Kings County Association of Governments (KCAG)	\$610,544.21
Madera County Transportation Commission (MCTC)	\$608,329.17
Tahoe Metropolitan Planning Organization (TMPO)	\$544,137.55
TOTAL	\$42,148,564.41

The FHWA PL formula has two components:

- 1) A two-part population component which distributes funds by the proportion of the total population of each MPO based on California Department of Finance estimates each January.
- 2) An air quality component based on the proportion of federal Congestion Mitigation Air Quality (CMAQ) funds to total programmatic FHWA PL funds.

These funds are only available after passage of the State Budget and on a reimbursement basis. All Requests for Reimbursement for these funds must have the minimum local match in order to be processed.

**FTA Metropolitan Planning Program Section 5303 Funds Estimated Allocation
FY 2011/2012**

Southern California Association of Governments (SCAG)	\$7,712,080
Metropolitan Transportation Commission (MTC)	\$3,055,770
San Diego Association of Governments (SANDAG)	\$1,318,843
Sacramento Area Council of Governments (SACOG)	\$774,150
Council of Fresno County Governments (COFCG)	\$285,536
San Joaquin Council of Governments (SJCOG)	\$262,330
Association of Monterey Bay Area Governments (AMBAG)	\$272,666
Kern Council of Governments (KCOG)	\$208,119
Stanislaus Council of Governments (StanCOG)	\$200,478
Santa Barbara County Association of Governments (SBCAG)	\$196,468
Tulare County Association of Governments (TCAG)	\$102,902
Merced County Association of Governments (MCAG)	\$68,863
San Luis Obispo Council of Governments (SLOCOG)	\$67,779
Shasta County Regional Transportation Planning Agency (SCRTPA)	\$66,320
Butte County Association of Governments (BCAG)	\$58,497
Madera County Transportation Commission (MCTC)	\$43,290
Kings County Association of Governments (KCAG)	\$39,377
TOTAL	\$14,733,468

The FTA Section 5303 formula provides \$15,000 per MPO base allocation, with the remainder distributed according to each MPO's statewide percentage of urbanized area population as per the most recent census. These funds are only available after passage of the State Budget and on a reimbursement basis.

SECTION 3
2011 Annual MPO Meetings

Due to the frequent changes made to the schedule of the Annual MPO Meetings, the Office of Regional and Interagency Planning will maintain an updated schedule at the following website:

<http://www.dot.ca.gov/hq/tpp/offices/orip/owp/owp.htm>

The tentative schedule begins in February and ends in late March. For any requests to change the schedule please contact the FHWA planner assigned to the region or the Caltrans regional planning contact.

Certification Reviews

In 2010, FHWA/FTA will conduct Certification Reviews with:

- KCOG

Certification Reviews will not be held concurrently with the Annual MPO Meetings as was previously the custom. Currently, there are no dates scheduled for these reviews. FHWA and FTA will contact the MPOs directly to schedule these meetings.

SECTION 4
2011/2012 Planning Emphasis Areas (PEAs) and Federal Planning Factors

There will not be any Federal PEAs for the fiscal year 2011/2012 OWP cycle.

California Planning Emphasis Areas
for Fiscal Year 2011/2012 Overall Work Program

The California PEAs will be sent out separately as soon as they are available.

For further information, please contact Jermaine Hannon, of the FHWA California Division, at jermaine.hannon@dot.gov or (916) 498-5066.

Federal Planning Factors

The Federal Planning Factors in Title 23 of the United States Code, section 134(f) (revised in SAFETEA-LU section 6001(h)) should also be incorporated in the OWP. The Federal Planning Factors issued by Congress emphasize planning factors from a national perspective. The Federal Planning Factors as revised with new reauthorization. With the passage of SAFETEA-LU, the federal planning factors were expanded to eight. The eight planning factors (for both metro and statewide planning) are as follows:

1. Support the economic vitality of the metropolitan area, especially by enabling global competitiveness, productivity, and efficiency.
2. Increase the safety of the transportation system for motorized and non-motorized users.
3. Increase the security of the transportation system for motorized and non-motorized users.
4. Increase the accessibility and mobility of people and for freight.
5. Protect and enhance the environment, promote energy conservation, improve the quality of life, and promote consistency between transportation improvements and State and local planned growth and economic development patterns.
6. Enhance the integration and connectivity of the transportation system, across and between modes, people and freight.
7. Promote efficient system management and operation.
8. Emphasize the preservation of the existing transportation system.

SECTION 5
The MPO OWP Timeline

MPO Overall Work Program Timeline 11/12			
Key dates for the previous year's closeout through the following year's draft			
	FY 10/11 OWP	FY 11/12 OWP	FY 12/13 OWP
Beginning of State Fiscal Year 11/12: July 1, 2011			
July '11	July 31 : Q4 Progress Report due to District.		
Aug '11	August 15 : Q4 Progress Report due to ORIP By August 31 : Year End Package due to District. **		
Sep '11	September 15 : Year-End Package due to ORIP. **		
Beginning of Federal Fiscal Year 11/12: September 1, 2011			
Oct '11		October 31 : Q1 Progress Report due to District.	
Nov '11		November 15 : Q1 Progress Report due to ORIP.	November – June : MPOs/RTPAs draft, circulate and finalize OWPs
Dec '11			
Jan '12	January 1 : MPO Annual Fiscal and Compliance Audit Report due to District	January 31 : Q2/mid-year Progress Report due to District. January-February : District mid-year OWP status meeting with MPOs.	
Feb '12	February 15 : Districts send Annual Fiscal and Compliance Audit Reports to Audits, ORIP, Accounting and FHWA.	February 15 : Q2/mid-year Progress Report due to ORIP.	February - May : Individual Annual MPO meetings, <i>MPO draft OWPs due 30 days before the annual MPO meeting, but no later than March 1</i> , Districts review and circulate draft OWPs.
Mar '12			March 1 : Latest date to submit draft OWP to District.
Apr '12		April 30 : Q3 Progress Report due to District. April-May, District year-end OWP status meetings with MPOs.	
May '12		May 1 : deadline for OWP/OWPA amendments (complete package due to ORIP). May 15 : Q3 Progress Report due to ORIP	May : Adopted OWPs due to Districts, Districts approve OWPs and send to FHWA/FTA. May 1 deadline for MPO Indirect Cost Negotiation Agreements and Cost Allocation Plans due to CT Audits and Investigations. (MPO's are encouraged to submit their ICAP's with draft OWPs) .
Jun '12			June 1 : FHWA/FTA receive final MPO OWPs by June 1 and review and approve by July 1. Districts recommend OWP approval to FHWA/FTA. FHWA/FTA concur and re-approve MPO OWPs. June 30 : Final approved and adopted OWP and fully executed OWPA due to ORIP.
Beginning of State Fiscal Year 12/13: July 1, 2012			
Jul '12		July 31 : Q4 Progress Report due to District.	
Aug '12		August 15 : Q4 Progress Report due to ORIP. August 31 : Year End Package due to District.	
Sep '12		September 15 : Year End Package due to ORIP**.	

 = 10/11 OWP Closeout = 11/12 OWP Current Year = 12/13 OWP draft, review, adopt and approve

** The Year End Package must include a Certification of Expenditure by Fund Source including the Final Statement of Expenditures attachment *and* the last Request for Reimbursement for the OWP cycle clearly marked "FINAL".

SECTION 6
Caltrans OWP Information Element

To better coordinate transportation planning in each region, Caltrans Districts should prepare an informational element for inclusion in each of the regional agency OWPs. District staff shall prepare a list of the Department’s transportation planning activities in the region for the same timeframe of the OWP and provide it to the MPOs for inclusion as an informational element in the MPO’s OWP (23 CFR 450.314). The important aspect of this is to promote coordination through awareness of Caltrans and MPO planning activities and where they may complement or intersect. There are various ways of incorporating Caltrans informational elements into the OWPs and the Districts shall coordinate with the MPO to determine a format that is most appropriate. One example is to create work elements for each Caltrans activity, such as Intergovernmental (IGR)/California Environmental Quality Act (CEQA) review and System Planning. Another example is to create a matrix such as the one shown below. The CFR requirement is to show, at a minimum, the Activity Description, Product(s) and a due date.

SAMPLE FORMAT

Activity Description	Product(s)	Funding Source	Estimated Cost	Due Date
Update and development of the California Transportation Plan (CTP)	California Transportation Plan	SP & R	\$168,000	June 2010
Identify route needs and develop funding & construction strategies	Highway 99 Corridor Master Plan	TBD	TBD	On-Going
Update various Transp. Concept Reports (TCR)	Transportation Concept Reports	STATE	TBD	On-Going
Caltrans work elements for the Overall Work Program (OWP), progress reports, reimbursement and monitoring	OWP Management	Caltrans	\$252,000	February 2010 On-Going/As Needed
Update Programmed Project data, Market the tool to internal & external users, prepare quarterly reports on major activities & expenditures	California Transportation Investment System (CTIS)	N/A	TBD	On-Going

SECTION 7 OWP Review Checklist

The following checklist can assist District staff as they review draft OWPs. MPOs may also use the list to draft more complete OWPs. The list is illustrative, not inclusive.

The Content of the OWP Should:

- _____ Respond to planning priorities, including the PEAs, and the eight SAFETEA LU Planning Factors.
- _____ Comply with state and federal planning/administration program requirements and policies.
- _____ Contain the MPO's annual certification and assurances. The MPO planning process should address the major issues facing the region and should be conducted in accordance with all applicable laws.
- _____ Respond to Caltrans concerns, regional transportation issues, regional transportation planning activities and transportation problems and needs facing the region.
- _____ Reflect the progress made by the MPO in carrying out the previous year's program and its performance capabilities. All anticipated continuing activities should be clearly identified.
- _____ Contain a work element in the Draft OWP for each discretionary planning grant application for i.e., FHWA Partnership Planning, FTA Section 5304, Blueprint Planning, and Prop 84 grant. (Include only **approved** discretionary-funded projects in the Final OWP.)
- _____ Include an information element, which lists the transportation planning activities being done by other transportation planning entities in the region. As discussed in Section 6 there are various options for presenting the Caltrans informational element.
- _____ Show non-planning sources for all project work in the OWP, e.g., PIDs, transit marketing, ride matching, transportation engineering and Transportation Development Act (TDA) required activities, etc.
- _____ Respond to Air Quality and Conformity issues (please see 40 CFR 93 for Conformity requirements).
- _____ If a MPO has any indirect costs associated with the OWP they must submit an Indirect Cost Plan (ICAP) to Audits and Investigations. Once the ICAP is approved they may invoice for indirect costs.

The Financial Information in the OWP Should:

- _____ Reflect the fund source, type and amount for each work element. Also, show the same source, type and amount in the Budget Revenue Summary.
- _____ Include and identify the correct local match for each federal fund source and type.
- _____ Show consistency between the fund amounts identified within the work element/work task discussion and the fund amounts in the Budget Revenue Summary.
- _____ Identify any carryover from prior years by fund source, type, amount and fiscal year within work elements and the Budget Revenue Summary.

The Work Elements in the OWP Should:

- _____ Illustrate an organized and logical flow of work element tasks and activities from project inception to project completion.
- _____ Contains task statements which include enough detail that the work product is easily identifiable and eligibility can be easily determined. Also, the work task identifies who is responsible for performing the work.
- _____ Work elements/work tasks which will be completed over multiple years should have a schedule that details and identified significant milestones to be accomplished throughout the term of the planning grant.
- _____ Identify all planning contracts in both the task and budget statements.
- _____ All tasks and products listed are eligible uses of Federal Funds.

Draft OWP Review Circulation:

Regional agencies submit electronic and hard copies of the draft OWP to the Districts.

District regional planning staff is responsible for obtaining District and Headquarters review/comments of Draft OWPs. The District should send copies of Draft OWPs to:

- Division of Aeronautics, Attn: Terry Barrie, Office of Aviation Planning
- Division of Mass Transportation, Attn: Jila Priebe, Office of State and Federal Grants
- Division of Rail, Attn: Emily Burstein, Office of Planning and Policy
- Division of Audits and Investigations, Cliff Vose, Office of External Audits-Local Governments
- Division of Transportation Planning
 - Attn: Dara Wheeler, Office of Regional and Interagency Planning
 - Attn: Pam Korte, Office of State Planning
 - Attn: Lilibeth Green, Office of Advanced & System Planning
 - Attn: Ed Philpot, Office of Community Planning
 - Attn: Joanne McDermott, Office of Goods Movement
 - Attn: Lonora Graves, Native American Liaison Branch

Any other Headquarters or District staff deemed appropriate for OWP review, depending on the situation.

The Draft OWP Review Packages Should:

- _____ Include transmittal memo to District and Headquarters reviewing units. The transmittal memo should include specific concerns, questions and points to assist reviewing units on work elements and activities of particular interest to the Department. The memo should also include comment due date and identify the District Coordinator to whom the comments are to be returned.
- _____ A copy of the Draft OWP.

SECTION 8
Final OWP Process

How to finalize the MPO OWP:

1. MPO Board approves and sends the final OWP to the District. MPO and the District are to agree upon a deadline to ensure meeting the FTA and FHWA deadline of June 1. The District should notify ORIP if this deadline will not be met.
2. District reviews and approves final OWP.
3. District prepares transmittal letter to FHWA and FTA and *recommends* approval. Either District Director or Deputy District Director for Planning signs the letter.
4. District transmits final OWP to FHWA and FTA by June 1. District sends a copy of the transmittal and final OWP to ORIP. FHWA has requested that the final OWPs be sent to FHWA from the District with a transmittal letter rather than directly from the MPO.
5. FHWA and FTA review and approve the final OWP by July 1. A joint approval letter, issued by FTA, is sent to ORIP with a copy to the MPO. ORIP forwards a copy of the letter to the District.

All MPO OWPs (drafts, final adopted and approved, amendments and quarterly reports) should be sent to:

Federal Highway Administration
California Division
Attention: Sue Kiser
650 Capitol Mall, Suite 4-100
Sacramento, CA 95814

Federal Transit Administration
Region IX
Attention: Ray Sukys
201 Mission Street, Suite 1610
San Francisco, CA 94105

Please note: FHWA and FTA request two hard copies each of OWP submittals with approval letters. **Final OWPs are due to FHWA no later than June 1st.**

Final OWP/OWPA Package from Caltrans Districts to ORIP includes the following:

1. District OWP approval letter.
2. Two copies of the adopted and approved OWP.
3. One original OWPA bearing (original) MPO and District signatures in *blue* ink.
4. MPO letter indicating how much PL and/or FTA 5303 carryover, if any is included in the OWPA (see sections 3.07 and 3.08 of the Regional Planning Handbook for more information).
5. The MPO Governing Board resolution (or equivalent) adopting the OWP and giving authority for MPO staff to sign the OWPA.
6. Signed Certifications and Assurances. Any MPO that receives Consolidated Planning Grant (CPG) funds, FHWA PL, FTA 5303, Partnership Planning or 5304 must complete a FHWA Certification, FTA Certification and State Debarment and Suspension Certification.

Section 9
Differences between MPOs and RTPAs Matrix

There are many differences between MPOs and RTPAs when it comes to funding and administering OWPs. The following table was developed to highlight the major differences.

	MPOs	RTPAs
Funding	<ul style="list-style-type: none"> • Consolidated Planning Grant (FHWA Metropolitan Planning PL and FTA Metropolitan Planning Section 5303) • CPG funds can be carried over 	<ul style="list-style-type: none"> • Rural Planning Assistance (RPA) funds • No more than 25% of the RTPAs yearly RPA allocation can be carried over into the next fiscal year.
Discretionary Grants	<p>All MPOs/RTPAs may apply for the Partnership Planning and Transit Planning grants. Subrecipients may only apply through their MPOs/RTPAs.</p> <p>Agencies can only apply for the Rural or Small Urban Transit Planning Studies grant if their transit service area has a population of 100,000 or less.</p> <p>All RTPAs may apply for a California Regional Blueprint Planning grant.</p>	
Certification Requirements	<p>MPOs must complete the following certification requirements:</p> <ul style="list-style-type: none"> • FHWA Certification • FTA Certification & Assurances • State Debarment & Suspension Certification 	<p>RTPAs must complete the State Transportation Planning Process Certification</p> <p>RTPAs must perform the following tasks as necessary:</p> <ul style="list-style-type: none"> • RTPAs are required to complete the FHWA Certification and the State Debarment and Suspension Certification when they receive a FHWA Partnership Planning grant, a Regional Blueprint grant and/or CPG funds • RTPAs are required to complete the FTA Certification and the State Debarment and Suspension Certification when they receive a FTA Section 5304 Transit Planning grant and/or CPG funds

RTP	RTPs must be updated every four years for agencies that are non-attainment. Areas that reach attainment must update their RTP every five years.	RTPs must be updated every five years.
Invoicing Timeline	<p>FHWA PL Funds</p> <ul style="list-style-type: none"> • District must submit the RFR with encoding (done by the ORIP Fund Specialist) to Accounting within 7 calendar days • Payment should not exceed more than 30 days after the date of receipt to the District • Problems with the RFR – District must contact the agency formally by phone and in writing within 5 calendar days of receipt 	<p>RPA/Non-FHWA PL Funds</p> <ul style="list-style-type: none"> • District must submit RFR to the ORIP Fund Specialist within 10 days • Payment should not exceed more than 45 calendar days • Problems with the RFR – the District must formally notify the agency within 15 days by phone and in writing of the error in the RFR
Air Quality Conformity	Conformity must be determined at least every 4 years in non-attainment and maintenance areas, or when regionally significant amendments are made to the RTP or FTIP.	For isolated areas, conformity is done when a new non-exempt project is federally funded or approved.

APPENDIX A
FHWA Metropolitan Transportation Planning Process Certification

FHWA and FTA require MPOs to annually self-certify their planning process. Fully executed versions of the FHWA and FTA certifications must be provided with each adopted, Final OWP.

FHWA Metropolitan Transportation Planning Process Certification

In accordance with 23 CFR 450.334 and 450.220, Caltrans and _____, Metropolitan Planning Organization for the _____ urbanized area(s) hereby certify that the transportation planning process is addressing the major issues in the metropolitan planning area and is being conducted in accordance with all applicable requirements of:

- I. 23 U.S.C. 134 and 135, 49 U.S.C. 5303 through 5306 and 5323(1); as amended by the Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users;
- II. Sections 174 and 176 (c) and (d) of the Clean Air Act as amended (42 U.S.C. 7504, 7506 (c) and (d)) (**Note – only for Metropolitan Planning Organizations with non-attainment and/or maintenance areas within the metropolitan planning area boundary**);
- III. Title VI of the Civil Rights Act of 1964 and the Title VI Assurance executed by California under 23 U.S.C. 324 and 29 U.S.C. 794;
- IV. Section 1101(b) of the Transportation Equity Act for the 21st Century (Pub. L. 105-178 112 Stat. 107) regarding the involvement of disadvantaged business enterprises in the FHWA and FTA funded projects (FR Vol. 64 No. 21, 49 CFR part 26); and,
- V. The provision of the Americans With Disabilities Act of 1990 (Pub. L. 101-336, 104 Stat 327, as amended) and the U.S. DOT implementing regulations (49 CFR 27, 37 and 38).

MPO Authorizing Signature

Title

Date

Caltrans District Approval Signature

Title

Date

APPENDIX B
FTA Certifications and Assurances

**FEDERAL FISCAL YEAR 2011 CERTIFICATIONS AND ASSURANCES FOR
FEDERAL TRANSIT ADMINISTRATION ASSISTANCE PROGRAMS**

Name of Applicant: _____

The Applicant agrees to comply with applicable requirements of Categories 01 - 24. _____

OR

The Applicant agrees to comply with the applicable requirements of the following Categories it has selected:

<u>Category</u>	<u>Description</u>	
01.	Assurances For Each Applicant.	_____
02.	Lobbying.	_____
03.	Procurement Compliance.	_____
04.	Protections for Private Providers of Public Transportation.	_____
05.	Public Hearing.	_____
06.	Acquisition of Rolling Stock for Use in Revenue Services	_____
07.	Acquisition of Capital Assets by Lease.	_____
08.	Bus Testing.	_____
09.	Charter Service Agreement.	_____
10.	School Transportation Agreement.	_____
11.	Demand Responsive Service.	_____
12.	Alcohol Misuse and Prohibited Drug Use.	_____
13.	Interest and Other Financing Costs.	_____
14.	Intelligent Transportation Systems.	_____
15.	Urbanized Area Formula Program.	_____
16.	Clean Fuels Grant Program.	_____
17.	Elderly Individuals and Individuals with Disabilities Formula Program and Pilot Program.	_____
18.	Nonurbanized Area Formula Program for States.	_____
19.	Job Access and Reverse Commute Program.	_____

- 20. New Freedom Program. _____
- 21. Paul S. Sarbanes Transit in Parks Program. _____
- 22. Tribal Transit Program. _____
- 23. TIFIA Projects. _____
- 24. Deposits of Federal Financial Assistance to State Infrastructure Banks. _____

FEDERAL FISCAL YEAR 2011 FTA CERTIFICATIONS AND ASSURANCES
SIGNATURE PAGE

(Required of all Applicants for FTA assistance and all FTA Grantees with an active capital or formula project)

AFFIRMATION OF APPLICANT

Name of Applicant:

Name and Relationship of Authorized Representative:

BY SIGNING BELOW, on behalf of the Applicant, I declare that the Applicant has duly authorized me to make these certifications and assurances and bind the Applicant's compliance. Thus, the Applicant agrees to comply with all Federal statutes and regulations, and follow applicable Federal directives, and comply with the certifications and assurances as indicated on the foregoing page applicable to each application it makes to the Federal Transit Administration (FTA) in Federal Fiscal Year 2011.

FTA intends that the certifications and assurances the Applicant selects on the other side of this document, as representative of the certifications and assurances this document, should apply, as provided, to each project for which the Applicant seeks now, or may later, seek FTA assistance during Federal Fiscal Year 2011.

The Applicant affirms the truthfulness and accuracy of the certifications and assurances it has made in the statements submitted herein with this document and any other submission made to FTA, and acknowledges that the provisions of the Program Fraud Civil Remedies Act of 1986, 31 U.S.C. 3801 *et seq.*, as implementing U.S. DOT regulations, "Program Fraud Civil Remedies," 49 CFR part 31 apply to any certification, assurance or submission made to FTA. The criminal fraud provisions of 18 U.S.C. 1001 apply to any certification, assurance, or submission made in connection with a Federal public transportation program authorized in 49 U.S.C. chapter 53 or any other statute.

In signing this document, I declare under penalties of perjury that the foregoing certifications and assurances, and any other statements made by me on behalf of the Applicant are true and correct.

Signature _____

Date: _____

Name _____

Authorized Representative of Applicant

AFFIRMATION OF APPLICANT'S ATTORNEY

For (Name of Applicant):

As the undersigned Attorney for the above named Applicant, I hereby affirm to the Applicant that it has authority under state and local law to make and comply with the certifications and assurances as indicated on the foregoing pages. I further affirm that, in my opinion, the certifications and assurances have been legally made and constitute legal and binding obligations on the Applicant.

I further affirm to the Applicant that, to the best of my knowledge, there is no legislation or litigation pending or imminent that might adversely affect the validity of these certifications and assurances, or of the performance of the project.

Signature _____

Date: _____

Name _____

Attorney for Applicant

Each Applicant for FTA financial assistance (except 49 U.S.C. 5312(b) assistance) and each FTA Grantee with an active capital or formula project must provide an Affirmation of Applicant's Attorney pertaining to the Applicant's legal capacity. The Applicant may enter its signature in lieu of the Attorney's signature, provided the Applicant has on file this Affirmation, signed by the attorney and dated this Federal fiscal year.

APPENDIX C
California Department of Transportation
Debarment and Suspension Certification for Fiscal Year 2011/2012

*As required by U.S. DOT regulations on governmentwide Debarment and Suspension
(Nonprocurement), 49 CFR 29.100:*

- 1) The Applicant certifies, to the best of its knowledge and belief, that it and its contractors, subcontractors and subrecipients:
 - a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;
 - b) Have not, within the three (3) year period preceding this certification, been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, state, or local) transaction or contract under a public transaction, violation of Federal or state antitrust statutes, or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
 - c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, state, or local) with commission of any of the offenses listed in subparagraph (1)(b) of this certification; and
 - d) Have not, within the three (3) year period preceding this certification, had one or more public transactions (Federal, state, and local) terminated for cause or default.
- 2) The Applicant also certifies that, if Applicant later becomes aware of any information contradicting the statements of paragraph (1) above, it will promptly provide that information to the State.
- 3) If the Applicant is unable to certify to all statements in paragraphs (1) and (2) of this certification, through those means available to Applicant, including the General Services Administration's *Excluded Parties List System (EPLS)*, Applicant shall indicate so in its applications, or in the transmittal letter or message accompanying its annual certifications and assurances, and will provide a written explanation to the State.

**DEPARTMENT OF TRANSPORTATION
DEBARMENT AND SUSPENSION CERTIFICATION
FISCAL YEAR 2011/2012
SIGNATURE PAGE**

In signing this document, I declare under penalties of perjury that the foregoing certifications and assurances, and any other statements made by me on behalf of the Applicant are true and correct.

Signature _____ Date _____

Printed Name _____

As the undersigned Attorney for the above named Applicant, I hereby affirm to the Applicant that it has the authority under state and local law to make and comply with the certifications and assurances as indicated on the foregoing pages. I further affirm that, in my opinion, these certifications and assurances have been legally made and constitute legal and binding obligations of the Applicant.

I further affirm to the Applicant that, to the best of my knowledge, there is no legislation or litigation pending or imminent that might adversely affect the validity of these certifications and assurances or of the performance of the described project.

AFFIRMATION OF APPLICANT'S ATTORNEY

For _____ (Name of Applicant)

Signature _____ Date _____

Printed Name _____

of Applicant's Attorney

APPENDIX D

Planning Funds – Eligible Uses

As the name indicates, transportation planning funds (FHWA PL and FTA Section 5303) are to be used for activities associated with the Metropolitan planning process (23 CFR 450). A wide variety of regional transportation planning activities are eligible for transportation planning funds. This list is illustrative, not inclusive.

Regional planning studies and activities:

- Participate in Federal and State Clean Air Act transportation related air quality planning activities.
- Identify and analyze issues relating to integration of transportation and community goals and objectives in land use, housing, economic development, social welfare and environmental preservation.
- Develop and/or modify tools that allow for better assessment of transportation impacts on community livability.
- Consider alternative growth scenarios that provide information on compact development and related infrastructure needs and costs.
- Participate in appropriate local level mandates.
- Involve the public in the transportation planning process.
- Establish and maintain formal consultation with Native American Tribal Governments enabling their participation in local and state transportation planning and project programming activities.
- Identify and document transportation facilities, projects and services required to meet regional and interregional mobility and access needs.
- Define solutions and implementation issues in terms of the multimodal transportation system, land use and economic impacts, financial constraints, air quality and environmental concerns (including wetlands, endangered species and cultural resources).
- Assess the operational and physical continuity of transportation system components within and between metropolitan and rural areas, and interconnections to and through regions.
- Identify the rights of way for construction of future transportation projects, including unused rights of way needed for future transportation corridors and facilities including airports and intermodal transfer stations.
- Investigate methods to reduce vehicle travel and to expand and enhance travel services.
- Incorporate transit and intermodal facilities, bicycle transportation facilities and pedestrian walkways in plans and programs where appropriate.
- Conduct transit needs assessments and prepare transit development plans and transit marketing plans as appropriate.
- Consider airport ground transportation and transportation to ports, recreational areas and other major trip-generating sites in planning studies as appropriate.
- Develop life cycle cost analyses for all proposed transportation projects and services, and for transportation rehabilitation, operational and maintenance activities.

Regional planning consensus efforts:

- Participate with regional, local and state agencies, the general public and the private sector in planning efforts to identify and plan policies, strategies, programs and actions that maximize and implement the regional transportation infrastructure.
- Conduct collaborative public participation efforts to further extend transportation planning to communities previously not engaged in discussion.
- Create, strengthen and use partnerships to facilitate and conduct regional planning activities among California Department of Transportation (Department), MPOs, RTPAs, Native American Tribal Governments, transit districts, cities, counties, the private sector and other stakeholders.
- Develop partnerships with local agencies responsible for land use decisions to facilitate coordination of transportation planning with land use, open space, job-housing balance, environmental constraints, and growth management.
- Utilize techniques that assist in community-based development of innovative transportation and land use alternatives to improve community livability, long-term economic stability and sustainable development.
- Work with appropriate agencies and developers to reach agreement on proper mitigation measures, and strategies to finance, implement and monitor these mitigation measures; after mitigation measures are implemented and determined to be effective, report status to project sponsors.
- Use partners to identify policies, strategies, programs and actions that enhance the movement of people, goods, services and information.
- Ensure that projects developed at the regional level are compatible with statewide and interregional transportation needs.
- Review the regional project screening process, ranking process, and programming guidelines ensuring comprehensive cost/benefit analysis of all project types are considered.
- Develop and implement joint work programs with transportation and air quality agencies, including transit operators, to enhance coordination efforts, partnerships, and consultation processes; eliminate or reduce redundancies, inefficient or ineffective resource use and overlapping review and approvals.
- Identify and address issues relating to international border crossings, and access to seaports, airports, intermodal transportation facilities, major freight distribution routes, national parks, recreation areas, monuments and historic sites, military installations; and military base closures.
- Conduct planning and project activities (including corridor studies, and other transportation planning studies) to identify and develop candidate projects for the FY 2008/2009 Federal Transportation Improvement Program (FTIP).
- Preserve existing transportation facilities, planning ways to meet transportation needs by using existing transportation facilities more efficiently, with owners and operators of transportation facilities/systems working together to develop operational objectives and plans which maximize utilization of existing facilities.
- Involve federal and state permit and approval agencies early and continuously in the regional transportation planning process to identify and examine issues to develop necessary consensus and agreement; collaborate with Army Corps of Engineers, National Fish and Wildlife Service, Environmental Protection Agency and other

federal agencies responsible for permits and National Environmental Protection Act (NEPA) approvals and with state resources agencies for compliance with California Environmental Quality Act (CEQA).

- Document environmental and cultural resources, and develop and improve coordination between agencies using Geographic Information Services (GIS) and other computer-based tools.

Regional planning documents, consistent with federal and state requirements:

- Overall Work Programs (OWP) and Amendments
- Overall Work Program Agreements (OWPA) and Amendments
- Master Fund Transfer Agreements (MFTA)
- Regional Transportation Plans (RTP)
- Transportation Improvement Programs (TIP)
- RTP and TIP environmental compliance
- Corridor studies

Transportation planning funds cannot be used for project implementation, such as rideshare activities or transit administration, or non-transportation planning Transportation Development Act (TDA) administration. FHWA PL cannot be used for project development such as project initiation documents (PIDs), and project study reports (PSRs) though these activities can be funded with other federal sources. In addition, if an agency does not adhere to the Contract and Procurement process outlined in 49 CFR, Part 18.36 federal planning funds can not be used.

APPENDIX E
State of California
Transportation Planning and Programming
Requirements Regarding Tribal Governments

Federal statute and regulations require that Tribal Governments be involved in transportation planning and programming processes. The Federal Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU) reiterates and expands compliance with existing requirements and re-emphasizes the Tribal Government participation in transportation planning and programming processes that was initiated by the Intermodal Surface Transportation Efficiency Act of 1991 (ISTEA) and the Transportation Equity Act for 21st Century (TEA 21).

Regional transportation agencies are sometimes uncertain of the governance underlying the need to involve Tribal Governments and/or the appropriate methods of involvement required. The following attempts to clarify, without going into contemporary Indian law, the "why" and "how" of Tribal Governmental participation in transportation planning and programming.

GOVERNANCE

Statute

Title 23, U.S.C., Chapter 1, Sections 134 and 135, as amended by SAFETEA-LU, provides statutory guidance relative to the planning requirements. SAFETEA-LU requires that State and metropolitan agencies must consult, coordinate and consider the concerns of Tribal Governments when developing transportation plans, and the State Transportation Improvement Program (STIP).

Statewide Transportation Plan: "Each State shall develop a statewide transportation plan, with a minimum 20-year forecast period, updated at least every five years, for areas of the State, that provides for the development and implementation of the intermodal transportation system of the State."

Indian Tribal Areas- "With respect to each areas of the State under the jurisdiction of an Indian tribal government, the statewide transportation plan shall be developed in consultation with the tribal government and Secretary of the Interior."

Statewide Transportation Improvement Program (STIP) —"Each State shall develop a statewide transportation improvement program for all areas of the State."

Subpart C, Metropolitan Transportation Planning and Programming, § 450.312 Metropolitan transportation planning: Responsibilities, cooperation, and coordination,

"Where a metropolitan planning area includes Federal public lands and/or Indian tribal lands, the affected Federal agencies and Indian tribal governments shall be involved appropriately in the development of transportation plans and programs."

SAFETEA LU adds new requirements as summarize below, that expands the scope in the regulations for consultation, mitigation and participation of tribes under Sections 3005, 3006 and 6001.

Transportation Planning and Programming:

- Consultation with Tribal Governments is required for the coordination of environmental planning and transportation planning requirements when working with Tribal Governments. Environmental planning includes all environmental concerns a tribe may have – not only the cultural resources. Transportation planning includes all modes of transportation i.e., transit pedestrian, etc. The Department and regional transportation planning agencies may consider including tribal representatives on the project management team when the project will clearly impact a tribal community and/or environmental resource.
- Consultation with the Federally-recognized Tribal agencies responsible for land use management, natural resources, environmental protection, conservation, and historic preservation is required during the planning and programming processes.
- There must be a discussion of types of potential environmental mitigation activities to be developed in consultation with Federal, State and Tribal wildlife, land management and regulatory agencies in the transportation planning and programming documents.
- A “participation plan” must be developed in consultation with all interested parties, which includes tribal governments and their communities.

SAFETEA-LU has also provided new revisions to the Federal Transit Administration (FTA)—Title 49, U.S.C.:

- When developing the annual listing of obligated projects, there shall be a cooperative effort of “transit operators” that shall include “investments in pedestrian walkways and bicycle transportation facilities.” “Transit operators” include Tribal transit operators.
- A coordinated Public Transit-Human Services Transportation Plan must be developed through a process that include representatives of public, private, and non profit transportation and human services providers, as well as the public, Tribal nonprofit organizations, e.g., Indian health clinics in California are primarily incorporated as non-profit organizations.

Regulations

Code of Federal Regulations (CFR) 23, pursuant to Title 23, U.S.C., provides regulatory guidance relative to the planning requirements.

Part 450, Planning Assistance and Standards:

Subpart B, Statewide Transportation Planning, § 450.202 Applicability: "The requirements of this subpart are applicable to States and any other agencies/organizations which are responsible for satisfying these requirements."

Subpart B, § 450.208, Statewide transportation planning process: Factors, (a)(23): "The concerns of Indian tribal governments having jurisdiction over lands within the boundaries of the State."

Subpart B, § 450.210, Coordination,

(a): "In addition to the coordination required under § 450.208(a)(21) in carrying out the requirements of this subpart, each State, in cooperation with participating organizations (such as MPOs, Indian tribal governments, environmental, resource and permit agencies, public transit operators) shall, to the extent appropriate, provide for a fully coordinated process including coordination of the following:

(2): "Plans, such as the statewide transportation plan required under §450.214, with programs and priorities for transportation projects, such as the STIP;"

Subpart B, § 450.214, Statewide transportation plan,

(a): "The State shall develop a statewide transportation plan for all areas of the State."

(c): "In developing the plan, the State shall:

(2) "Cooperate with the Indian tribal government and the Secretary of the Interior on the portions of the plan affecting areas of the State under the jurisdiction of an Indian tribal government:"

Subpart C, Metropolitan Transportation Planning and Programming, § 450.312 Metropolitan transportation planning: Responsibilities, cooperation, and coordination,

(i): "Where a metropolitan planning area includes Federal public lands and/or Indian tribal lands, the affected Federal agencies and Indian tribal governments shall be involved appropriately in the development of transportation plans and programs."

Subpart C, § 450.324, Transportation improvement program: General,

- (f): The TIP shall include:
- (1): "All transportation projects, or identified phases of a project, (including pedestrian walkways, bicycle transportation facilities and transportation enhancement projects) within the metropolitan planning area proposed for funding under title 23, U.S.C., (including Federal Lands Highway projects). "

Guidelines

California Transportation Commission (CTC), Regional Transportation Plan Guidelines, approved in December 1999, and amended in December 2003.

The California Transportation Commission approved the following requirement in the Regional Transportation Guidelines: "the MPOs and RTPA should include a discussion of consultation, coordination and communication with federally recognized Tribal Governments when the community is located within the boundary of an MPO/RTPA".

The MPO/RTPAs should develop a government-to-government relationship with each of these tribes. This refers to the protocol for communicating between the MPOs/RTPAs and the Tribal Governments as sovereign nations. This consultation process should be documented in the RTP. The initial point of contact for Tribal Governments should be the Chairperson for the tribe. When unsuccessful in getting a response from the Tribe, the MPO/RTPA should re-evaluate the method used in encouraging participation from the Tribal Government and these efforts should be documented.

TRIBAL GOVERNMENT CONSULTATION vs. NATIVE AMERICAN PUBLIC PARTICIPATION

When involving Tribal Governments in the planning and programming process, transportation agencies need to consult with them---in addition to the need to include Native Americans in public participation. Establishing and maintaining government-to-government relations with Federally-recognized Tribal Governments through consultation is separate from, and precedes, the public participation process.

Consultation with Tribal Governments

Federally-recognized Tribes are familiar with the federal "consultation" process that requires agencies to identify when the agency is formally consulting with the Tribe.

CFR 23, Subpart A, § 450.104, Definitions: "Consultation means that one party confers with another identified party and, prior to taking action(s), considers that party's views."

Tribal Government refers to the recognized government, or political unit, of a Tribe.

CFR 23, Subpart B § 450.208(b): "The degree of consideration and analysis of the factors should be based on the scale and complexity of many issues, including

transportation problems, land use, employment, economic development, environmental and housing and community development objectives . . ."

Issues may also include Tribal Governments' concerns about projects outside their jurisdiction that have the potential to impact their communities or cultural resources.

It is important to know with whom you are consulting and what methods are most effective:

Each federally recognized Tribe is a sovereign government. Each Tribe has its own form of government and protocol for how business is to be conducted. There is no singular approach. Unless otherwise directed by the Tribe, correspondence should be addressed to the Tribal Chairperson.

Tribes differ in their ability to finance leaders, spokespersons or administrative support. Tribal leaders are frequently participating on their own time and money. Agencies need to be cognizant of this and act accordingly, e.g., be flexible when and where meetings are scheduled. A meeting with the Tribal Government (most often referred to as the Tribal Council) is usually the most effective way to communicate.

Providing enough time for the Tribal Government to respond is important. Most Tribal Governments meet once a month, and it may be difficult to put additional items on the agenda if not given enough time.

Public Participation

Public participation provides for public involvement of all citizens (including Native Americans), affected public agencies, representatives of transportation agency employees, freight shippers, providers of freight transportation services, private providers of transportation, representatives of users of public transit, and other interested parties of the community affected by transportation plans, programs and projects.

All Native Americans as individual citizens---regardless of whether they are members of Federally-recognized Tribes---can contribute to the public participation process. They belong to a minority, they may be low income and they may be associated with a community-based organization or be among the groups shown above. Within public participation forums, as individuals, they are not representing Tribal Governments.

APPENDIX F
Indirect Cost Allocation Plan
(ICAP) Definitions and Areas of Particular Importance

Definitions:

Indirect costs – Those costs incurred for a common or joint purpose benefiting more than one cost objective and not readily assignable to the cost objectives specifically benefited, e.g. cost of renting the office space/building, audit services, postage, utilities, and misc. supplies.

Direct costs – Any cost that can be specifically identified to a final cost objective, e.g. direct labor costs of engineers, project related travel, photocopies, rental of equipment and consultants.

Central Service Cost Allocation Plan – Documentation identifying, accumulating, and allocating or developing billing rates based on the allowable costs of services provided by a government unit on a centralized basis to its departments and agencies. The costs of these services may be allocated or billed to users.

Public Assistance Cost Allocation Plan – A narrative description of the procedures that will be used in identifying, measuring and allocating all administrative costs to all of the programs administered or supervised by State public assistance.

Indirect Cost Rate Proposal – Documentation prepared by a governmental unit or component thereof to substantiate its request for the establishment of an indirect cost rate.

Cost Allocation Plan – The Central Service Cost Allocation Plan, Public Assistance Cost Allocation Plan, and Indirect Cost Rate Proposal.

Indirect Cost Rate Calculation –

$$\frac{\text{Indirect Cost}}{\text{Direct Salaries + Fringe Benefits}}$$

Examples:

Allowable Costs – Audit services, communications, compensation for indirect personnel services, depreciation, rent, and travel.

Unallowable Costs – Alcoholic beverages, bad debts, contingencies, contributions and donations, entertainment, lobbying, equipment and other capital expenditures, certain advertising and public relations costs, certain memberships, and general government expenses.

Areas of Particular Importance:

The following items tend to be areas that are of particular importance when reviewing OWPs and its related invoices. If you have any questions regarding a cost on an invoice, please contact HQ Regional Planning staff prior to approval:

- Conflict of Interest
- Inappropriate billings
- Unsupported Direct Labor costs
- Billing of Indirect costs with no approval rate or billing incorrect rate
- Small agencies that share staff and/or accounting systems with other agencies.
- Inaccurate treatment of overtime and the effective hourly rate
- Independent audit-or- (Certified Public Accountant) performing routine accounting functions and providing an opinion on the financial statements.

The following two websites provide additional information about the ICAP procedure and definitions:

CFR Part 225.55:

http://www.whitehouse.gov/omb/fedreg/2005/083105_a87.pdf

2 CFR Part 225.55 has information on definitions, State/Local-Wide Central Service Cost Allocation Plans (Attachment C), Public Assistance Cost Allocation Plans (Attachment D), and the State and Local Indirect Cost Rate Proposals (Attachment E)

Local Assistance Procedures Manual, Chapter 5 Accounting/Invoice Section 5.14 - Obtaining Approval for Indirect Costs:

http://www.dot.ca.gov/hq/LocalPrograms/lam/prog_p/p05accin.pdf

Please contact Caltrans Audits & Investigations ataff if there are any questions about the ICAP procedure.

APPENDIX G

Key Federal Contract and Procurement Requirements

Per 49 Code of Federal Regulations, Part 18.36:

(2) Grantees and subgrantees will maintain a contract administration system which ensures that contractors perform in accordance with the terms, conditions, and specifications of their contracts or purchase orders.

(3) Grantees and subgrantees will maintain a written code of standards of conduct governing the performance of their employees engaged in the award and administration of contracts. No employee, officer or agent of the grantee or subgrantee shall participate in selection, or in the award or administration of a contract supported by Federal funds if a conflict of interest, real or apparent, would be involved. Such a conflict would arise when:

- (i) The employee, officer or agent,
- (ii) Any member of his immediate family,
- (iii) His or her partner, or

(iv) An organization which employs, or is about to employ, any of the above, has a financial or other interest in the firm selected for award. The grantee's or subgrantee's officers, employees or agents will neither solicit nor accept gratuities, favors or anything of monetary value from contractors, potential contractors, or parties to subagreements. Grantee and subgrantees may set minimum rules where the financial interest is not substantial or the gift is an unsolicited item of nominal intrinsic value. To the extent permitted by State or local law or regulations, such standards or conduct will provide for penalties, sanctions, or other disciplinary actions for violations of such standards by the grantee's and subgrantee's officers, employees, or agents, or by contractors or their agents. The awarding agency may in regulation provide additional prohibitions relative to real, apparent, or potential conflicts of interest.

(9) Grantees and subgrantees will maintain records sufficient to detail the significant history of a procurement. These records will include, but are not necessarily limited to the following: rationale for the method of procurement, selection of contract type, contractor selection or rejection, and the basis for the contract price.

(10) Grantees and subgrantees will use time and material type contracts only--

- (i) After a determination that no other contract is suitable, and
- (ii) If the contract includes a ceiling price that the contractor exceeds at its own risk.

(11) Grantees and subgrantees alone will be responsible, in accordance with good administrative practice and sound business judgment, for the settlement of all contractual and administrative issues arising out of procurements. These issues include, but are not limited to source evaluation, protests, disputes, and claims. These standards do not relieve the grantee or subgrantee of any contractual responsibilities under its contracts. Federal agencies will not substitute their judgment for that of the grantee or subgrantee unless the matter is primarily a Federal concern. Violations of law will be referred to the local, State, or Federal authority having proper jurisdiction.

12) Grantees and subgrantees will have protest procedures to handle and resolve disputes relating to their procurements and shall in all instances disclose information regarding the protest to the awarding agency. A protestor must exhaust all administrative remedies with the grantee and subgrantee before pursuing a protest with the Federal agency. Reviews of protests by the Federal agency will be limited to:

(i) Violations of Federal law or regulations and the standards of this section (violations of State or local law will be under the jurisdiction of State or local authorities) and

(ii) Violations of the grantee's or subgrantee's protest procedures or failure to review a complaint or protest. Protests received by the Federal agency other than those specified above will be referred to the grantee or subgrantee.

(3) Grantees will have written selection procedures for procurement transactions. These procedures will ensure that all solicitations:

(i) Incorporate a clear and accurate description of the technical requirements for the material, product, or service to be procured. Such description shall not, in competitive procurements, contain features which unduly restrict competition. The description may include a statement of the qualitative nature of the material, product or service to be procured, and when necessary, shall set forth those minimum essential characteristics and standards to which it must conform if it is to satisfy its intended use. Detailed product specifications should be avoided if at all possible. When it is impractical or uneconomical to make a clear and accurate description of the technical requirements, a "brand name or equal" description may be used as a means to define the performance or other salient requirements of a procurement. The specific features of the named brand which must be met by offerors shall be clearly stated; and

(ii) Identify all requirements which the offerors must fulfill and all other factors to be used in evaluating bids or proposals.

APPENDIX H

California Complete Streets & Smart Mobility Framework

New Complete Streets Law:

On September 30, 2008 Governor Arnold Schwarzenegger signed AB 1358, The California Complete Streets Act. AB 1358 impacts local general plans by adding the following language to Government Code Section 65302(b): (2)(A) Commencing January 1, 2011, upon any substantial revision of the circulation element, the legislative body shall modify the circulation element to plan for a balanced, multimodal transportation network that meets the needs of all users of the streets, roads, and highways for safe and convenient travel in a manner that is suitable to the rural, suburban, or urban context of the general plan. (2)(B) For the purposes of this paragraph, “users of streets, roads, and highways” means bicyclists, children, persons with disabilities, motorists, movers of commercial goods, pedestrians, users of public transportation, and seniors. In addition, the signing of the act required the Governor's Office of Planning and Research (OPR) to amend the General Plan Guidelines to provide local jurisdictions with guidance on how they can comply with the new regulatory statutes. In response, OPR has developed the Update to the General Plan Guidelines: Complete Streets and the Circulation Element.

The draft of the Update to the General Plan Guidelines: Complete Streets and the Circulation Element was recently available to the public for a 30 day review comment period. It is anticipated that OPR will finalize the guidelines before the new year. Visit <http://www.opr.ca.gov/> for more information.

Complete Streets at Caltrans:

On October 2, 2008, Caltrans then-Chief Deputy Director Randy Iwasaki signed a deputy (policy) directive to Caltrans employees titled Complete Streets - Integrating the Transportation System. The directive states that "the California Department of Transportation (Department) provides for the needs of travelers of all ages and abilities in all planning, programming, design, construction, operations, and maintenance activities and products on the State highway system. The Department views all transportation improvements as opportunities to improve safety, access, and mobility for all travelers in California and recognizes bicycle, pedestrian, and transit modes as integral elements of the transportation system.

"The Department develops integrated multimodal projects in balance with community goals, plans, and values. Addressing the safety and mobility needs of bicyclists, pedestrians, and transit users in all projects, regardless of funding, is implicit in these objectives. Bicycle, pedestrian, and transit travel is facilitated by creating “complete streets” beginning early in system planning and continuing through project delivery and maintenance and operations. Developing a network of “complete streets” requires collaboration among all Department functional units and stakeholders to establish effective partnerships."

The directive also required Caltrans staff to develop a directive implementation plan. The Complete Streets Implementation Action Plan was adopted in early 2010 and included 73 action items for complete streets implementation. Caltrans staff is in the process of implementing those 73 items.

For more information about the deputy directive and the Complete Streets Implementation Action Plan, visit <http://www.dot.ca.gov/completestreets>. The deputy directive has also been included in Appendix I of this guidance.

Smart Mobility Framework:

In February 2010, Caltrans then-Director Randy Iwasaki released the Smart Mobility Framework: A Call to Action for the New Decade. This report responds to today's transportation challenges with new concepts and tools, presented with a program for putting them into action. Smart Mobility addresses:

- **The State mandate to find solutions to climate change.** Achieving the State's goals for reduction of greenhouse gas (GHG) emissions requires a positive and integrated approach to our transportation future.
- **The need to reduce per capita vehicle miles traveled.** Reduced per capita auto use will lower emissions of GHG gas and conventional pollutants, reduce petroleum consumption and associated household transportation costs, and minimize negative impacts on air quality, water quality, and noise environments.
- **Demand for a safe transportation system that gets people and goods to their destinations.** Smart Mobility must be achieved with vigilant attention to serving the safety and reliability needs of the State's people and businesses. The Call to Action endorses the application of land use strategies and the use of transit, carpool, walk, and bike travel to satisfy travel needs through a shift away from higher-polluting modes.
- **The commitment to create a transportation system that advances social equity and environmental justice.** Caltrans' California Transportation Plan (CTP) already sets forth a commitment to equity, the environment, and the economy. Smart Mobility integrates social equity concerns into transportation decisions and investments.

The contents of the report include:

- Focused attention on Smart Mobility as a response to the State's interrelated challenges of mobility and sustainability.
- Six principles that shape the Smart Mobility Framework: Location Efficiency, Reliable Mobility, Health and Safety, Environmental Stewardship, Social Equity, and Robust Economy.
- The concept of place types, a contemporary approach to planning and design. Seven place types are specifically designed as tools for planning and programming that implement Smart Mobility. The place types are: Urban Centers, Close-in Compact Communities, Compact Communities, Suburban areas, Rural and Agricultural Lands, Protected Lands, and Special Use Areas.

- A set of 17 Smart Mobility performance measures, similar to metrics presently used by Caltrans but redefined to better achieve the Smart Mobility Principles. As a group, the proposed measures facilitate Caltrans' role in context-sensitive solutions, regional blueprints, sustainable communities strategies, corridor system management plans, and interstate commodity movement, and are applicable in a full range of Caltrans studies.
- Summary comments about moving forward with Smart Mobility.
- An extensive Resources section, materials that illustrate best practices and provide research evidence of the benefits of a Smart Mobility approach.

The report can be downloaded at <http://www.dot.ca.gov/hq/tpp/offices/ocp/smf.htm>

APPENDIX I
Deputy Directive Complete Streets- Integrating the Transportation System

California Department of Transportation

*Flex your power!
Be energy efficient!*

Deputy Directive

Number: DD-64-R1

*Refer to
Director's Policy:* DP-22
Context Sensitive
Solutions
DP-05
Multimodal Alternatives
DP-06
Caltrans Partnerships
DP-23-R1
Energy Efficiency,
Conservation and Climate
Change

Effective Date: October 2008

Supersedes: DD-64 (03-26-01)

TITLE Complete Streets - Integrating the Transportation System

POLICY

The California Department of Transportation (Department) provides for the needs of travelers of all ages and abilities in all planning, programming, design, construction, operations, and maintenance activities and products on the State highway system. The Department views all transportation improvements as opportunities to improve safety, access, and mobility for all travelers in California and recognizes bicycle, pedestrian, and transit modes as integral elements of the transportation system.

The Department develops integrated multimodal projects in balance with community goals, plans, and values. Addressing the safety and mobility needs of bicyclists, pedestrians, and transit users in all projects, regardless of funding, is implicit in these objectives. Bicycle, pedestrian, and transit travel is facilitated by creating “complete streets” beginning early in system planning and continuing through project delivery and maintenance and operations. Developing a network of “complete streets” requires collaboration among all Department functional units and stakeholders to establish effective partnerships.

DEFINITIONS/BACKGROUND

Complete Street – A transportation facility that is planned, designed, operated, and maintained to provide safe mobility for all users, including bicyclists, pedestrians, transit riders, and motorists appropriate to the function and context of the facility.

"Caltrans improves mobility across California"

The intent of this directive is to ensure that travelers of all ages and abilities can move safely and efficiently along and across a network of “complete streets.”

State and federal laws require the Department and local agencies to promote and facilitate increased bicycling and walking. California Vehicle Code (CVC) (Sections 21200-21212), and Streets and Highways Code (Sections 890 – 894.2) identify the rights of bicyclists and pedestrians, and establish legislative intent that people of all ages using all types of mobility devices are able to travel on roads. Bicyclists, pedestrians, and nonmotorized traffic are permitted on all State facilities, unless prohibited (CVC, section 21960). Therefore, the Department and local agencies have the duty to provide for the safety and mobility needs of all who have legal access to the transportation system.

Department manuals and guidance outline statutory requirements, planning policy, and project delivery procedures to facilitate multimodal travel, which includes connectivity to public transit for bicyclists and pedestrians. In many instances, roads designed to Department standards provide basic access for bicycling and walking. This directive does not supersede existing laws. To ensure successful implementation of “complete streets,” manuals, guidance, and training will be updated and developed.

RESPONSIBILITIES

Chief Deputy Director:

- Establishes policy consistent with the Department’s objectives to develop a safe and efficient multimodal transportation system for all users.
- Ensures management staff is trained to provide for the needs of bicyclists, pedestrians, and transit users.

Deputy Directors, Planning and Modal Programs and Project Delivery:

- Include bicycle, pedestrian, and transit modes in statewide strategies for safety and mobility, and in system performance measures.
- Provide tools and establish processes to identify and address the needs of bicyclists, pedestrians, and transit users early and continuously throughout planning and project development activities.
- Ensure districts document decisions regarding bicycle, pedestrian, and transit modes in project initiation and scoping activities.
- Ensure Department manuals, guidance, standards, and procedures reflect this directive, and identify and explain the Department’s objectives for multimodal travel.
- Ensure an Implementation Plan for this directive is developed.

Deputy Director, Maintenance and Operations:

- Provides tools and establishes processes that ensure regular maintenance and operations activities meet the safety and mobility needs of bicyclists, pedestrians, and transit users in construction and maintenance work zones, encroachment permit work, and system operations.
- Ensures Department manuals, guidance, standards, and procedures reflect this directive and identifies and explains the Department's objectives for multimodal travel.

District Directors:

- Promote partnerships with local, regional, and State agencies to plan and fund facilities for integrated multimodal travel and to meet the needs of all travelers.
- Identify bicycle and pedestrian coordinator(s) to serve as advisor(s) and external liaison(s) on issues that involve the district, local agencies, and stakeholders.
- Ensure bicycle, pedestrian, and transit needs are identified in district system planning products; addressed during project initiation; and that projects are designed, constructed, operated, and maintained using current standards.
- Ensure bicycle, pedestrian, and transit interests are appropriately represented on interdisciplinary planning and project delivery development teams.
- Provide documentation to support decisions regarding bicycle, pedestrian, and transit modes in project initiation and scoping activities.

Deputy District Directors, Planning, Design, Construction, Maintenance, and Operations:

- Ensure bicycle, pedestrian, and transit user needs are addressed and deficiencies identified during system and corridor planning, project initiation, scoping, and programming.
- Collaborate with local and regional partners to plan, develop, and maintain effective bicycle, pedestrian, and transit networks.
- Consult locally adopted bicycle, pedestrian, and transit plans to ensure that State highway system plans are compatible.
- Ensure projects are planned, designed, constructed, operated, and maintained consistent with project type and funding program to provide for the safety and mobility needs of all users with legal access to a transportation facility.
- Implement current design standards that meet the needs of bicyclists, pedestrians, and transit users in design, construction and maintenance work zones, encroachment permit work, and in system operations.
- Provide information to staff, local agencies, and stakeholders on available funding programs addressing bicycle, pedestrian, and transit travel needs.

Chiefs, Divisions of Aeronautics, Local Assistance, Mass Transportation, Rail, Transportation Planning, Transportation System Information, Research and Innovation, and Transportation Programming:

- Ensure incorporation of bicycle, pedestrian, and transit travel elements in all Department transportation plans and studies.
- Support interdisciplinary participation within and between districts in the project development process to provide for the needs of all users.
- Encourage local agencies to include bicycle, pedestrian, and transit elements in regional and local planning documents, including general plans, transportation plans, and circulation elements.
- Promote land uses that encourage bicycle, pedestrian, and transit travel.
- Advocate, partner, and collaborate with stakeholders to address the needs of bicycle, pedestrian, and transit travelers in all program areas.
- Support the development of new technology to improve safety, mobility, and access for bicyclists, pedestrians, and transit users of all ages and abilities.
- Research, develop, and implement multimodal performance measures.
- Provide information to staff, local agencies, and stakeholders on available funding programs to address the needs of bicycle, pedestrian, and transit travelers.

Chiefs, Divisions of Traffic Operations, Maintenance, Environmental Analysis, Design, Construction, and Project Management:

- Provide guidance on project design, operation, and maintenance of work zones to safely accommodate bicyclists, pedestrians, and transit users.
- Ensure the transportation system and facilities are planned, constructed, operated, and maintained consistent with project type and funding program to maximize safety and mobility for all users with legal access.
- Promote and incorporate, on an ongoing basis, guidance, procedures, and product reviews that maximize bicycle, pedestrian, and transit safety and mobility.
- Support multidisciplinary district participation in the project development process to provide for the needs of all users.

Employees:

- Follow and recommend improvements to manuals, guidance, and procedures that maximize safety and mobility for all users in all transportation products and activities.
- Promote awareness of bicycle, pedestrian, and transit needs to develop an integrated, multimodal transportation system.
- Maximize bicycle, pedestrian, and transit safety and mobility through each project's life cycle.

APPLICABILITY

All departmental employees.

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Randell H. Iwasaki

RANDELL H. IWASAKI
Chief Deputy Director

October 2, 2008

Date Signed