EVALUATION REPORT OF THE 2001/02 CALIFORNIA REGIONAL TRANSPORTATION PLANS

April 2003

California Department of Transportation
Division of Transportation Planning

Prepared for the California Transportation Commission in accordance with Government Code Section 14032 (a)

Evaluation Report of the 2001/02 California Regional Transportation Plans

Prepared by

California Department of Transportation
Division of Transportation Planning
Office of Regional and Interagency Planning

April 2003

Caltrans Staff
Sharon Scherzinger – Supervising Transportation Planner
Garth Hopkins – Senior Transportation Planner
Stan Rubinstein – Associate Transportation Planner
Susan Brewer - Associate Transportation Planner

Table of Contents

Chapter **Page**

Executive Summary.....1

1 - Regional Transportation Planning in California
1-A. Background 5
1-B. The Regional Transportation Planning Process.....6
1-C. The Purpose of the Regional Transportation Plan.....7
1-D. RTP Development Costs.....7
1-E. Programming and Funding of Transportation Projects.....8
1-F. Defining Metropolitan Planning Organizations and Regional Transportation Planning Agencies 9
Map of MPOs / RTPAs.....11

2 – The RTP Evaluation Report (Purpose and Use)
2-A. Purpose of the Regional Transportation Plan Evaluation Report.....13
2-B. Use of the Regional Transportation Plan Evaluation Report 13
2-C. 1994 Regional Transportation Plan Evaluation Report.....14

3 - The 1999 California Transportation Commission Regional Transportation Planning Guidelines
3-A. Purpose and Overview of the Guidelines 15

4 - Evaluation of the Regional Transportation Plans
4-A. Criteria for Regional Transportation Plan Evaluation.....17
4-B. Regional Transportation Plan Checklist.....17
4-C. Regional Transportation Plan Evaluation Findings.....18

5 - Issues Relating to RTP Development
5-A. Purpose and Need Statements: A Foundation for Programming.....27
5-B. Building Regional Consensus 28
5-C. Emerging Trends.....29

6 - Current Regional Transportation Planning Issues and Recommendations
6-A. Overview.....33
6-B. Issues and Recommendations.....34

Appendix A. 1999 RTP Guidelines Checklist.....49

Appendix B: Evaluation of the Individual Items on the RTP Guidelines Checklist.....52

Appendix C: Background Information on Air Quality Impacts on RTPs.....64

Appendix D: Integration of the RTPs with the California Transportation Plan.....66

Appendix E: Transportation Funding.....68

Appendix F: Regional Transportation Planning Legislation Overview.....73

Appendix G: State Legislation Impacting Regional Transportation Plans.....76

Executive Summary

Background

Section 14032 of the California Government Code requires the California Department of Transportation (Department) provide a review and evaluation of the regional transportation plans (RTPs) to the California Transportation Commission (CTC). This RTP Evaluation Report provides an evaluation of the last cycle of RTPs adopted in 2001 and 2002 by the 43 Metropolitan Planning Organizations (MPOs) and Regional Transportation Planning Agencies (RTPAs) in California.

The evaluation centered on how well the MPOs and RTPAs addressed the requirements for developing these plans as identified in a document titled: "Regional Transportation Plan Guidelines" adopted by the CTC in 1999. The last RTP Evaluation Report was completed in 1994.

This RTP Evaluation Report primarily discusses two central issues:

- Overall, how well did the MPOs/RTPAs address and utilize the requirements for preparing their RTPs as identified in the RTP Guidelines. The RTPs were evaluated collectively, individual RTPs were not identified as inadequate or not fulfilling the requirements as presented in the RTP Guidelines.
- What recommendations should be discussed by the CTC to improve the current RTP process.

RTP Process

Development of the RTP is viewed as a long-term (20-year) region-wide, continuous, coordinated and comprehensive process. It involves all levels of government, public and private participation, as well as consultation with Native American Tribal Governments, all working together in a collaborative process to develop an effective plan.

The RTP serves as the long-range transportation plan for the region and has three primary functions:

1. Serve as a foundation for the programming of projects by the CTC. The RTP accomplishes this requirement by providing details of regional need to support the funding of transportation projects.
2. To meet state and federal requirements for other planning and funding activities. A well-developed RTP provides critical information that addresses regional issues that are impacted by transportation such as future land use, the location of housing, and the preservation of environmentally sensitive areas.
3. To serve as a decision-making document for local, state and federal purposes. The RTP serves as a nexus that identifies, integrates and balances a multiple of competing goals and objectives within the region.

The preparation of RTPs involves a considerable amount of time and effort. These plans also are expensive to prepare; on the average, RTPs may cost approximately $150,000 for a smaller rural RTPA and over $1 million for the larger MPOs. The state requirement for the preparation of RTPs is primarily located in California Government Code §65080 and applies to RTPAs and MPOs. The federal RTP requirement is primarily directed at MPOs.

Evaluation of the RTPs

Each RTP was evaluated on how well it adhered to the 1999 RTP Guidelines, Appendix A. This appendix is commonly referred to as the RTP checklist. This evaluation report provides an item-by-item discussion of how the RTPs addressed the checklist, this detailed discussion in located in Appendix B of this report.

Not one RTP addressed every item identified in the RTP checklist. For example, most of the plans omitted the analysis of land use and transportation related to projected housing, employment and the environment. Some MPOs/RTPAs developed their own primary RTP format, thus making it difficult to conduct an analysis of the RTPs in relation to other plans.

Recommendations to Improve the RTP Process

As a result of reviewing the current cycle of RTPs and through a series of discussions with experts both inside and out of the Department, this report set forth the following 19 recommendations to be considered by the CTC. These recommendations are discussed in Chapter 6 and divided into two categories: 1) Short-term recommendations that could be completed in approximately one year, and 2) Long-term recommendations that would take more than one year to complete.

	Short-Term Recommendations That Would Take Approximately One Year to Complete
1.	**Prepare a supplement to the RTP Guidelines** – California Government Code §65080(3)(d) require the MPOs submit their next adopted RTP to the CTC and Department by Sept. 1, 2004. RTPAs must submit their RTP by Sept. 1, 2005. This supplement would address the issues listed below and would be provided to the MPOs by December 2003.
2.	**Lack of Uniformity in RTP Format** – The format and content of the RTPs varies widely. Some MPOs/RTPAs developed their RTP to fit their own regional needs. This makes it difficult to obtain a statewide perspective. An expanded RTP checklist should be included with the supplement identifying the federal and state required items in the RTP. Each MPO/RTPA would be required to specify where these required items are located within their RTP.
3.	**Interagency Coordination** – Overall, communication and coordination between neighboring MPOs/RTPAs could be improved. Many of these regional agencies cease any transportation planning efforts at their jurisdictional boundaries. Efforts should be made by the CTC and the Department to strengthen communication and coordination between these agencies. These efforts should be documented and evaluated in the RTP.
4.	**Delay in Preparation and Adoption of RTPs** – A number of the RTPs from the last cycle were not adopted and submitted to the CTC by the statutory deadline of September 1, 2001. State law requires MPOs to submit their next RTP by September 1, 2004. RTPAs must submit their RTP by September 1, 2005. The CTC should notify these agencies their RTIPs may not be approved if the RTPs are not current and adopted.
5.	**Communication/Coordination with Native American Tribal Governments** – Although many of the RTPs undertaken efforts to communicate with the tribal governments located within their region, further efforts should be made to strengthen this process. These efforts should be documented and evaluated in the RTP.

6. **Public Involvement in the RTP Process** – Engaging the public in the RTP process has been a challenge for many MPOs and RTPAs. The CTC and the Department should assist the MPOs/RTPAs in the area by providing examples of success efforts by other agencies. Public involvement activities should be documented and evaluated in the RTP.

7. **Private Sector Involvement in the RTP Process** – Some MPOs and RTPAs could improve their efforts in bringing the goods movement and business industry into the long-term transportation planning process. The CTC and the Department should stress the importance of inviting these groups to be involved in the RTP development process. These efforts should be documented and evaluated in the RTP.

8. **RTP Environmental Impact Report** – The Environmental Impact Report (EIR) is an important and required component of the RTP. The RTP EIR describes the projected environmental impacts of the transportation projects identified in the RTP and efforts to mitigate those impacts. The supplement and future updates of the RTP Guidelines should provide additional direction on what type of information these EIRs should include.

9. **Identification of Transportation Control Measures (TCMs)** – Federal air quality regulations require TCMs to be identified in the air quality management plan (AQMP) for nonattainment and maintenance areas. These TCM's should be listed in the RTP. Many RTPs did not identify TCM's. The supplement and an update of the RTP Guidelines should contain a requirement that RTPs in air quality nonattainment or maintenance with approved AQMPs should specifically identify their TCMs.

10. **Project Intent Statements (Purpose and Need) in the RTP** – Project Intent Statements are critical to successful project development in providing justification for project project funding. The CTC should update the RTP Guidelines to provide more emphasis on the development of plan level Project Intent Statements. The development of a standard format for these statements should also be addressed.

11. **Include Unconstrained Transportation Needs in the RTP** – RTPs are required to identify projects that are financially constrained. However recent legislation (AB 631 & ACR 32) required the CTC to prepare an assessment of the unmet transportation needs in California. An update of the RTP Guidelines should require the MPOs/RTPAs to provide a separate list of the un-funded transportation projects in the RTP.

Long-Term Recommendations That Would Take More Than One Year to Complete

12. **Prepare an Update of the RTP Guidelines** – The current RTP Guidelines were adopted by the CTC in December 1999. The document should be updated to include changes in legislation and recent CTC requirements. The Guidelines would explain in more detail any information provided in the recommended supplement.

13. **Outdated Planning Documents** – RTPs are just one of the planning documents produced by local and regional agencies impacting transportation. Other documents include Circulation and Housing Elements of general plans, Airport Land Use Compatibility Plans and AQMPs. For example, 42% of all general plans in California are more than 10 years old. The CTC and the Department should work with other state agencies such as the Office of Planning and Research (OPR), Department of Housing and Community Development (HCD) and the air quality regulatory agencies to explore methods to possibly update these various documents.

14.	**Statewide Financial Information Coordination** – Presently, each MPO and RTPA is required to prepare their own individual estimate of federal, state and local transportation funds available during the 20-year life of the RTP. The CTC and Department should develop a financial forecasting framework to be adopted by the CTC that will assist the MPOs/RTPAs in their RTP funding forecasts.
15.	**Transportation Security and Safety** – California should be prepared to address federal safety and security issues as they may impact the transportation planning process. The CTC, MPOs/RTPAs and the Department should continue to monitor federal transportation reauthorization and anticipate future directions and funding directed for safety and security.
16.	**Varying Timeframes of Various Planning Documents** – Often planning documents are prepared during different times and with different timeframes. This makes it difficult for MPOs/RTPAs to prepare an RTP that includes information from these various date sources.
17.	**Performance Measurement** – The 1999 RTP Guidelines stated each RTP should identify a set of transportation performance measures reflecting the RTPs goals and objectives. Some RTPs did not identify any performance measurements. The updated RTP Guidelines should provide more specific direction on developing transportation performance measures.
18.	**Environmental Stewardship** – The goal of Environmental Stewardship is to identify environmental concerns early in the project planning/development process in order to reduce potential delays. The CTC MPOs/RTPAs and the Department should determine how this issue is addressed in the updated RTP Guidelines.
19.	**Update California Statutes Relating to the RTP Process** – The CTC and the Department should conduct a review of current statutes relating to RTPs to determine if any are out of date, or require clarification. California RTP statutes should also conform with federal requirements relating to RTPs.

Chapter 1

Regional Transportation Planning in California

1-A. Background

Formal regional transportation planning began in the United States with the passage of the Federal Highway Act of 1962. This federal landmark legislation required the formation of Metropolitan Planning Organizations, and the development of a "3 C" (continuous, coordinated and comprehensive) planning process as a condition for receiving federal funds in the Urban Areas. As part of the plans, air quality and environmental considerations were to be addressed. While some states had just one or two MPOs. California had ten in 1962, including the Southern California Association of Governments (SCAG), the largest MPO in the country in terms of land area.

Of the 43 California RTPAs currently in the state, 16 are Metropolitan Planning Organizations (MPOs) that are federally recognized and funded. These MPOs have the responsibility for transportation planning and programming in urbanized areas with a population in excess of 50,000. MPOs receive federal Metropolitan Planning funds from the FHWA (PL) and Federal Transit Administration (Section 5303). There are 28 non-urban RTPAs that conduct their planning activities primarily with Rural Planning Assistance state funds. Federal Code statues Title 23, Sections 134 authorize the designation of MPOs, transportation planning and air quality coordination, and relationships with Native American Tribal Governments.

Early experience showed that a successful transportation planning process required a multidisciplinary approach, involving a wide range of disciplines, decision-makers and interest groups. The U.S. Environmental Protection Agency was established with the passage of the National Environmental Protection Act (NEPA) (1970) to assure that environmental issues would be addressed in all areas of planning. Within this same era, the Federal Clean Air Act was passed to assure that air quality issues would be addressed. Concurrently, in 1970 the California Legislature passed, and Governor Reagan signed into legislation the California Environment Quality Act (CEQA). These state and federal laws required that the transportation plans addressed environmental and air quality issues and include specific documentation as part of the transportation planning process.

Regional transportation planning in California began with the passage of AB 69, (Government Code Chapter 1253, statues of 1972). This state landmark legislation required the establishment of regional agencies to include all areas of California and to prepare Regional Transportation Plans as a condition for receiving State transportation funds. In the RTPs, agencies were to develop transportation goals, address transportation issues and needs of the community, identify system options and alternatives, and finally develop actions and financing necessary for recommended projects. The legislation required the agencies to prepare RTPs for use in the State policy development and allocation of resources for transportation infrastructure and operations. The State legislation established an annual funding commitment to support this regional transportation planning process.

As a consequence of the state and federal legislation, transportation planning became a condition for receiving state and federal funding for projects. In addition, all transportation plans required more interagency consultation and analysis relating to air quality and environmental issues.

1-B. The Regional Transportation Planning Process

The RTP is a long-term (20-year) document. It involves the active participation of all levels of government (federal, state, regional, local), as well as Tribal Governments, private organizations and individuals working together in a collaborative process to develop an effective plan. The challenge is to identify current and future regional transportation issues, develop access, mobility, social, environmental, and land use goals, identify and evaluate feasible alternatives. Subsequently, develop plans and strategies for implementing these goals.

The Regional Transportation Planning process has a multitude of functions, including some of the following examples identified in the 1999 RTP Guidelines:

- Establish regional transportation goals and objectives
- Identify and develop transportation improvements that meet the region's mobility, accessibility, livability, and sustainability needs
- Evaluate transportation performance and identify future needs
- Contribute to the economic health of the region
- Preserve and enhance the environmental quality of the region
- Identify transportation safety and operational issues

- Identify interregional transportation issues for partnership resolution with The Department and others
- Integrate the regional transportation systems to form a seamless statewide system
- Promote equity for all system users
- Promote community vitality
- Meet state and federal requirements as a basis for project development
- Encourage use of best practices.

1-C. The Purpose of the Regional Transportation Plan

The Regional Transportation Plan has three major functions:

1. To serve as a foundation for programming of projects by the California Transportation Commission. The RTP accomplishes this requirement by providing a regional needs assessment to support the funding of transportation projects.

2. To meet State and Federal requirements for other planning and funding activities. A well-developed RTP provides critical information that addresses regional issues, such as transportation and future land use, the location, housing allocation as well as air quality and the preservation of environmentally sensitive areas.

3. To serve as a decision-making document for local, state and federal purposes. The RTP serves as a nexus that identifies integrates and balances a multiple of competing goals and objectives within the region.

1–D. RTP Development Costs

The cost associated with preparing RTPs is a major reoccurring expense for MPOs and RTPAs. These costs vary from approximately $150,000 for a smaller rural RTPA, to over $1 million dollars at the larger MPOs in the state. Both the federal and state government provide financial assistance to help offset these RTP development costs. The Federal Highway Administration (FHWA) and Federal Transit Administration (FTA) provide approximately 40 million dollars per year to the 16 MPOs in California to conduct metropolitan transportation planning activities, such as the RTPs. These federal metropolitan planning dollars are called FHWA PL and FTA 5303 funds. The funds are allocated annually to each MPO primarily on a population basis. The Southern California Association of Governments (SCAG) is the largest recipient of these funds (approximately $22 million) while the Tahoe Metropolitan Planning Organization (TMPO) receives approximately $48,000.

Federal money is not available to the RTPAs for transportation planning purposes. The State of California does provide $4 million in Rural Planning Assistance (RPA) funds annually to the RTPAs to help with the costs associated with their transportation planning activities. Like federal planning funds, the RPA funds are allocated on a population basis. Monterey County was the largest recipient of RPA funds in fiscal year 2002/03 ($262,800) and Alpine and Sierra the smallest with $62,800.

1-E. Programming and Funding of Transportation Projects

As mentioned above, two of the major functions of the RTP is to support the programming of projects and serve as a decision making document. As part of this process, the MPOs and RTPAs develop a Regional Transportation Improvement Program (RTIP) based on the projects identified and prioritized in the RTP. The regional transportation planning agency programs specific projects in the RTIP and requests state and federal funding for project implementation. The RTIP identifies the funding source, anticipated schedule of funding, and major components of project implementation. While the RTIP provides a schedule of projects over a five-year period, it is updated and submitted for approval to the CTC on a two-year cycle. As projects are implemented, other programmed projects become available for funding over the following five-year period.

Senate Bill (SB) 45, 1998 changed the decision-making responsibilities that existed between the Department and the RTPAs. SB 45 gave MPOs/RTPAs a greater role in project development, based on a major change in the funding allocation. The legislation required seventy-five percent of available state and federal transportation funds are designated for regional improvements, which RTPAs and MPOs identify in the RTIP. Twenty-five percent of available State and Federal transportation funds are designated for interregional improvements, which the Department identifies in the Interregional Transportation Improvement Program (ITIP) (Streets and Highways Code Section 164). The Department prepares the ITIP, and the MPOs and RTPAs prepare the RTIPs. There is a strong relationship between the RTP, the RTIP and the ITIP and projects in the ITIP and the RTIP must be consistent with the RTP.

1-F. Defining Metropolitan Planning Organizations and Regional Transportation Planning Agencies

Metropolitan Planning Organizations (MPOs) and Regional Transportation Planning Agencies (RTPAs) are either single or multi-county agencies. They are responsible for the preparation of RTPs and allocation of funds through the Regional Transportation Improvement Program (RTIP) process. There are 43 designated MPOs/RTPAs in California. (A map of the MPOs/RTPAs is located on page 11) California's Government Code § 65080 authorizes the designation of RTPAs and identifies requirements related to development of the RTPs, as well as the relationship of the RTPs to the RTIPs.

Code of Federal Regulations, Title 23, Section 134 created MPOs and stated how they are required to produce transportation plans in conformance with State and Federal requirements. Federal transportation agencies provide the major funding support for planning and programming of projects.

Under state legislation, (Government Code § 65080 et seq.) Regional Transportation Planning Agencies are created, funded and required to produce transportation plans in conformance with State and Federal requirements. State funding allocations provide the major support for planning activities.

At the time of adoption of the RTP Guidelines in December 1999, there were a total of 43 regional transportation-planning agencies in California; 16 were MPOs and 28 were RTPAs. Two of these MPOs (Association of Monterey Bay Area Governments and the Tahoe Metropolitan Planning Organization) are not a recognized RTPA for state funding purposes. The latest U.S. census data indicates that Madera and Kings counties will become MPOs in fiscal year 2003/04 due to population growth in their counties.

Aside from funding sources, there are some major differences in the characteristics of MPOs and RTPAs. MPOs have planning responsibility for urban areas with generally more complex, comprehensive transportation systems. RTPAs have planning responsibilities for the smaller, rural areas characterized by lower population density.

The overall transportation issue facing MPOs and RTPAs is the need to improve mobility for travelers and goods movement. The vast majority of the regions in California are

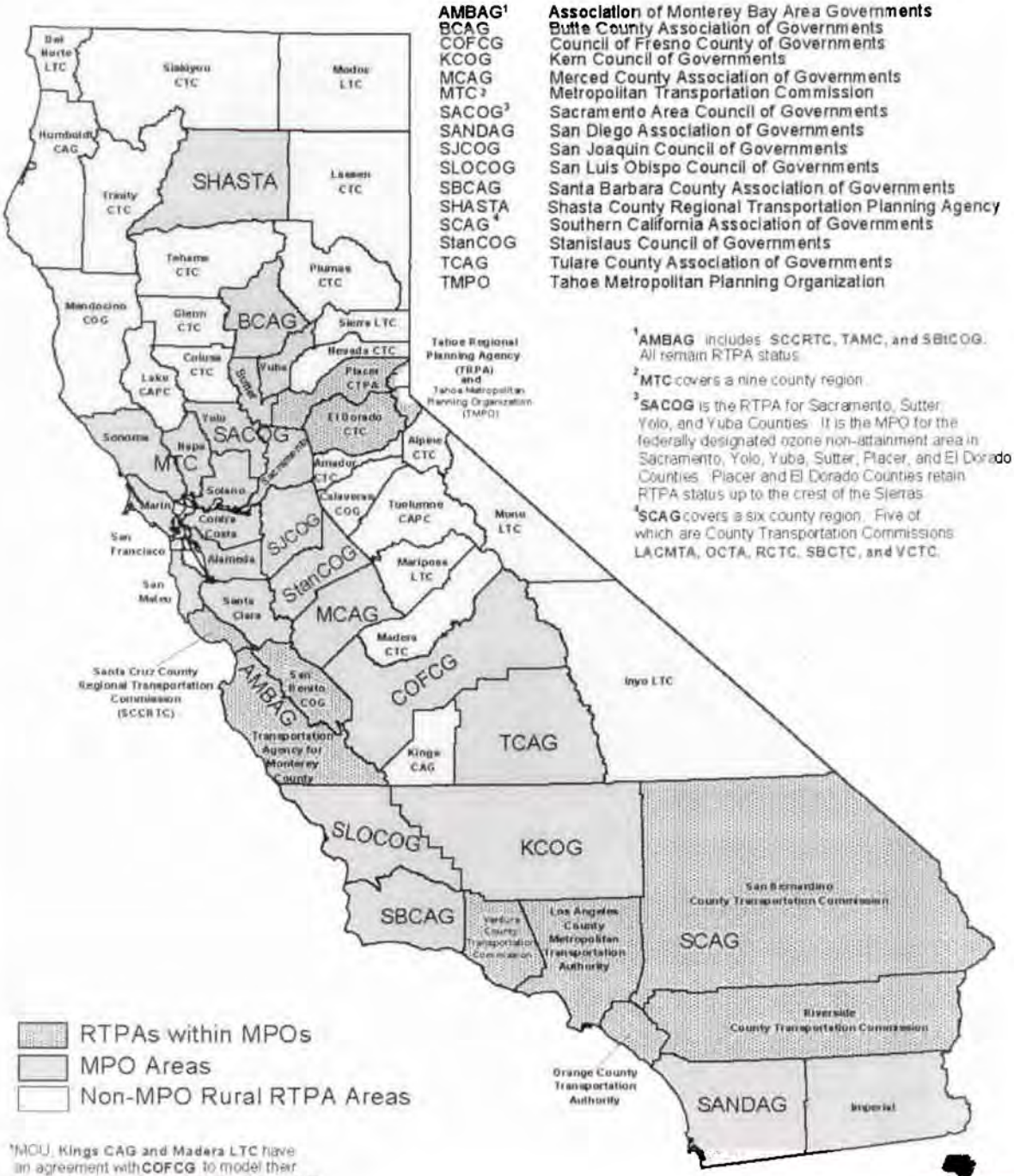
facing rapid population growth, which places increased demand on the transportation system. Vehicle miles traveled (VMT) is increasing at an even faster rate than population growth, resulting in substantial stress on the transportation system in the cities and suburbs, and even some fast growing rural areas. Many rural as well as all urban areas face the dual challenge of improving mobility for travelers, while meeting air quality goals. An additional challenge to rural RTPAs includes the lack of adequate funding due to lower population densities and longer travel distances.

Another major issue, especially in the rural areas, is that maintenance of the transportation system has not been considered part of the transportation planning process. Planning is considered "future oriented". With the decreasing percentage of funds available for the transportation system and more concern with air quality as a constraint on new projects, there is now a greater focus on looking at maintenance as an integral part of transportation planning. With the aging transportation system in all areas of California, maintenance priorities and the cost of maintenance are both becoming an integral part of the planning process.

CALIFORNIA

METROPOLITAN PLANNING ORGANIZATIONS (MPO's) and Regional Transportation Planning Agenies (RTPA's)

AMBAG[1]	Association of Monterey Bay Area Governments
BCAG	Butte County Association of Governments
COFCG	Council of Fresno County of Governments
KCOG	Kern Council of Governments
MCAG	Merced County Association of Governments
MTC[2]	Metropolitan Transportation Commission
SACOG[3]	Sacramento Area Council of Governments
SANDAG	San Diego Association of Governments
SJCOG	San Joaquin Council of Governments
SLOCOG	San Luis Obispo Council of Governments
SBCAG	Santa Barbara County Association of Governments
SHASTA	Shasta County Regional Transportation Planning Agency
SCAG[4]	Southern California Association of Governments
StanCOG	Stanislaus Council of Governments
TCAG	Tulare County Association of Governments
TMPO	Tahoe Metropolitan Planning Organization



[1]AMBAG includes SCCRTC, TAMC, and SBtCOG. All remain RTPA status.

[2]MTC covers a nine county region.

[3]SACOG is the RTPA for Sacramento, Sutter, Yolo, and Yuba Counties. It is the MPO for the federally designated ozone non-attainment area in Sacramento, Yolo, Yuba, Sutter, Placer, and El Dorado Counties. Placer and El Dorado Counties retain RTPA status up to the crest of the Sierras.

[4]SCAG covers a six county region. Five of which are County Transportation Commissions LACMTA, OCTA, RCTC, SBCTC, and VCTC.

[1]MOU, Kings CAG and Madera LTC have an agreement with COFCG to model their plan and program for conformity. San Benito has a similar arrangement with AMBAG.

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Chapter 2

The RTP Evaluation Report (Purpose and Use)

2-A. Purpose of the Regional Transportation Plan Evaluation Report

The Department has developed this Regional Transportation Plan Evaluation Report at the request of the California Transportation Commission (CTC). The report provides an evaluation of the Regional Transportation Plans (RTPs) adopted in 2001 and 2002 by the Metropolitan Planning Organizations (MPOs) and the Regional Transportation Planning Agencies (RTPAs). Department staff also reviewed the regional transportation planning process with the intent of developing recommendations for improving the regional transportation planning guidelines. As part of the evaluation Department staff looked at trends identified in the plans to determine how the State and Federal agencies and decision-makers may provide additional services and support to the regions in the future.

The Evaluation Report assesses how well the RTPs, statewide, address the legislative requirements summarized in the Guidelines, in order to increase their effectiveness as a tool for decision-makers. The evaluation does not identify deficiencies with specific RTPs or Regional Transportation Planning Agencies. However, Department staff does identify good planning practices that exemplify the intent of the guidelines.

2-B. Use of the RTP Evaluation Report

Department staff has developed this evaluation report with the intent of making the regional transportation planning process more efficient, more effective and more flexible to local needs. The methodology was to review all adopted RTPs using the Guidelines; examine how well the regional transportation planners followed the guidelines and how well the plans met the intent of state and federal legislation.

The report identifies major benefits that have developed as a consequence of the systematic, on-going regional transportation planning process as identified in the plans. While progress has been made, shortcomings and deficiencies in the regional transportation planning process do exist. Based on Department staff review of the

benefits and need for change, there are a number of recommendations for CTC consideration. These recommendations have been reviewed by representatives from the MPOs and RTPAs and their assessment is included as part of this report.

One of the primary lessons that staff from the Department, MPOs and RTPAs have learned from this process is that whatever the changes ultimately adopted, it is of paramount importance for there be sufficient lead time for the CTC to adequately communicate the changes to all regional agencies. Following up on these changes, the process must assure planners and local decision makers have a clear understanding of the requirements and how these changes benefit the region's transportation planning process.

2-C: 1994 RTP Evaluation Report

The last RTP Evaluation Report was prepared by the Department in 1994. The single largest impact on the RTP process since the preparation of this last evaluation report in 1994 was the passage of SB 45 in 1997. The 1994 RTP Evaluation Report made several recommendations that were considered during the preparation of the next RTP Guidelines adopted by the California Transportation Commission (CTC) in 1999. The three recommendations that were not included in the 1999 RTP Guidelines were: #2 - *Require both unconstrained and constrained action elements;* #3 *Establish a multi-agency task force to develop a standard mechanism for estimating twenty-year need* and #5 *Reduce the required frequency of RTP updates for rural RTPAs from two years to every five years.*

The seven recommendations contained in the 1994 RTP Evaluation Report are as follows:

1. Standardize RTP reporting requirements for the financial data.
2. Require both unconstrained and constrained action elements.
3. Establish a multi-agency task force to develop a standard mechanism for estimating twenty-year need.
4. Require discussion of interregional impacts to the transportation system in RTPs.
5. Reduce the required frequency of RTP updates for rural RTPAs from two years to every five years.
6. Integrate interregional goods movement strategies into the RTPs.
7. Coordinate deployment of advance transportation technologies with the State and between regions.

Chapter 3

The 1999 California Transportation Commission Regional Transportation Planning Guidelines

3-A. Purpose of the Guidelines

The CTC first adopted the Regional Transportation Plan Guidelines in May 1978 and since then there have been eight subsequent updates of this guidance document. The latest was adopted by the CTC and published in December 1999. This evaluation report addresses the RTPs prepared and adopted using the December 1999 Guidelines.

The CTC is responsible for issuing these RTP Guidelines (Government Code § 14522) to assist the regional agencies in development of their transportation plans, and to assure that all participants, staff and decision makers are aware of the legal requirements for receiving state and/or federal funding. The Guidelines summarize planning legislation and specify required elements, which are to serve as a framework for the RTP.

The purpose of the RTP Guidelines is to:

- Promote an integrated, statewide, multi-modal, regional transportation planning process.
- Set forth a uniform transportation-planning framework throughout California.
- Promote a transportation planning process that facilitates decision-making.
- Promote a continuous, comprehensive, and cooperative transportation planning process that facilitates the rapid and efficient development and implementation of projects while maintaining California's commitment to public health and environmental quality.
- Promote a planning process that considers the views of all stakeholders in the decision-making process.

The Guidelines are intended to provide each RTPA with federal and state planning requirements relating to development of the RTP. Government Code § 65080 requires each plan to have three components: *Policy Element, Action Element* and a *Financial Element.*

The plan should include an executive summary, as well as a needs assessment, which addresses concerns such as congestion or differential access and mobility for various segments of the population. In addition, an effective RTP includes an assessment of future transportation demand, based on economic forecasts, as well as population and employment projections. The RTP Guidelines assume that regional planners have a basic understanding of the development of the RTP, as well as analytical data and tools, such as model inventories, land use analysis, as well as employment and population projections.

RTPs that require federal support for projects are required to meet specific federal planning requirements. The RTP Guidelines identify these requirements and include consideration of seven planning factors, a public involvement process, plan contents, air quality conformity criteria procedures, criteria and procedures for the consultation process, and so forth. This information will be addressed later in the report.

Chapter 4

Evaluation of the Regional Transportation Plans

4-A. Criteria for RTP Evaluation

Since the mid 1980s the CTC has requested the Department review RTPs and provide an in-depth evaluation report relating to the general scope, content and planning issues in the plans. Over the years some regional planning agencies have expressed concern that the Department evaluations were becoming too subjective and the evaluation was not based on the Guideline requirements.

To reduce subjectivity, the CTC sponsored task force suggested there be a simple planning checklist within the Guidelines. This checklist would identify only the requirements required by state or federal statue and these would constitute the criteria for the CTC required evaluation report developed by The Department. The checklist would be submitted by the RTPAs with their adopted plans to ensure that all requirements were met. This checklist is known as "Appendix A" in the 1999 RTP Guidelines. A copy of the checklist is also provided as Appendix B in this evaluation report.

In addition to the state and federal requirements, the RTP Guidelines also provides supplemental transportation planning guidance. This planning information is provided in Appendix D, Regional Transportation Plan Details (page D-1) of the 1999 Guidelines.

This Evaluation Report assesses how well the plans conform to the CTC adopted guidelines, specifically with respect to Appendix A and makes recommendations for regional transportation planning process improvements.

4-B. Regional Transportation Plan Checklist

With the development of the CTC Guidelines, The Department staff agreed the RTP Evaluation Report would be based on a predetermined checklist of state and federal requirements. The checklist is composed of the following eight sections:

A. Regional Transportation Plan Components
B. Public Involvement

C. Policy Element
D. Action Element
E. Consistency Requirement
F. Performance Measurement
G. Environmental Considerations
H. Supporting Data.

4–C. Regional Transportation Plan Evaluation Findings

The findings identified in this section are based solely on the requirements contained in the 1999 RTP Guidelines, specifically Appendix A; the planning requirements checklist. This checklist identified all state and federally required items that must be contained in each adopted RTP. These items range from specifying the three required elements in the RTP (Policy, Action and Financial) to ensuring adequate public participation throughout the RTP process.

The following sections provide an evaluation of the primary areas identified in the RTP Guidelines checklist. A more thorough evaluation of each specific checklist item is contained in Appendix B of this report. This evaluation report describes how all of the adopted RTPs as a whole conform to the RTP Guidelines, not specifically identifying the shortfalls of any one particular RTP. However this evaluation report does identify specific RTPs that have demonstrated good RTP development practices.

Regional Transportation Plan Components

Background

The development of an RTP is based upon state and federal statutory and regulatory requirements, in addition to CTC recommendations. State law requires each MPO/RTPA to prepare and adopt an RTP directed at achieving a coordinated and balanced regional transportation system (Government Code §65080). State law also directs each RTP to include the following three components:

Policy Element – To reflect the mobility goals, policies and objectives of the region.
Action Element – To identify the programs and actions to implement the RTP
Financial Element – To summarize the cost of implementing the projects in the RTP considering a financially constrained environment.

Each RTP should also consider and incorporate, as appropriate, the transportation plans of cities, counties and tribal governments (Government Code §65080). The

plan is required to have a 10-year and 20-year time horizon. Federal regulations (Title 23, CFR Sec. 450.316) state the RTPs must also be consistent with the Civil Rights Act of 1964 and American Disabilities Act of 1990. In addition, for air quality purposes, federal regulations require the RTPs conform to the State Implementation Plan (SIP) were applicable (Title 42, CFR Sec. 7506).

Evaluation Findings

The overwhelming majority of the regional transportation plans submitted to the CTC and the Department did not included an adequate response to the above mentioned required plan components. Specifically the identification of a 10-year and 20 year time frame was problematic. In addition, most of the plans omitted the analysis of land use and transportation relationship as related to projected housing, employment and environmental changes.

The Action Element of the RTP should describe the analysis of these and other interdependent impacts that constitute long-range transportation planning. Many plans however simply include a discussion for the need to do comprehensive transportation planning but didn't actually do the job. It appears that many plans acknowledged the requirements but fell short of assuming the responsibility to actually do the necessary planning.

A best practices example of an RTP that addressed all the required components is the 2001 RTP prepared by the San Luis Obispo Council of Governments (SLOCOG). The RTP clearly identifies the three elements required to make up a plan and clearly identified the relationship between the RTP and other planning documents (i.e. SIP and general plans). It also is presented in such a format that made it easy to locate specific information.

Public Involvement

Background

Public Involvement is a major component of the RTP process. Federal regulation requires that each MPO have a transportation planning process that includes a public involvement program (Title 23 Sec. 134, 135; Title 23 CFR 450.316). This program should have a reasonable opportunity for the general public, operators of transit and freight systems, airport operators, tribal governments and other interested/affected parties to participate early in the RTP development process.

Federal regulation also requires the development of the RTP to be based on consultation with air quality and environmental agencies (Title 40, CFR Sec. 93.105).

Evaluation Findings

The overwhelming majority of the RTPs identified an active public involvement process. In addition, Department staff is aware of public involvement activities that were not identified in the RTPs. However, the guidelines are very specific in requiring documentation of consultation with specific agencies at all stages in the development of the plan. The overwhelming majority of the plans in air quality non-attainment areas did not document consultation with air quality and environmental agencies during the plan development. In addition, the consultation requirements with Native American Tribes were not addressed in most plans.

The 2001 RTP prepared by the Metropolitan Transportation Commission (MTC) was developed by the most extensive public out-reach effort in it's history. More than 4,000 residents participated during the 10-month public participation process. This process also included a total of 66 public workshops/hearings, an interactive Web survey and telephone poll of 1,600 registered voters living within the MPOs boundary.

Policy Element

Background

State law (Government Code §65080) requires each RTP to have a Policy Element as one of the documents major components. The purpose of the Policy Element is to:

1. Describe the transportation issues and regional needs.
2. Identify and quantify the regional objectives expressed in both short and long-range (10 and 20 years).
3. Maintain the internal consistency with the Financial Element fund estimates.

The Policy Element in the RTPs is expected to describe a vision that will express the region's values and concerns to be addressed over the 20-year time horizon. The Policy Element also addresses legislative, planning, financial and institutional issues and requirements, as well as any areas of institutional consensus (e.g. land use policies). The Policy Element should clearly convey the transportation policies of the region. Federal regulation (Title 40, CFR Sec. 93.106) requires MPOs located in an air quality non-attainment area and with an urbanized area greater

than 200,000 to identify the projected year to reach attainment of National Air Quality Ambient Standards (NAAQS).

Evaluation Findings

The Policy Element in the vast majority of RTPs did not describe a vision for the region over the 20-year time horizon. In addition, the majority of the RTPs did not articulate the region's planning, financial, legislative and institutional issues and requirements.

Many of the plans did identify goals and objectives; however these were rarely prioritized

The RTP prepared by the Placer County Transportation Planning Agency contains a good example of a well-prepared Policy Element. The information contained in the Element addresses all of the items as identified in the RTP Guidelines.

Action Element

Background

The Action Element is the second major component required in all RTPs. It identifies short and long term activities that address regional transportation issues and needs and all modes of transportation are discussed. The Action Element should be divided into two sections. The first section includes a discussion of the preparatory activities such as identification of existing need, assumptions, forecasting and potential alternative actions. The second section addresses the data and conclusions. The Action Element should also identify the investment strategies, alternatives and project priorities beyond what is already programmed in the RTIP.

Evaluation Findings

All of the plans identified projects. Unfortunately most plans did not provide an adequate justification for these proposed projects. Without identifying regional needs, it is not possible with any degree of certainty to identify regional solutions. In addition most plans did not relate the projects to regional policies nor funding availability. Many plans just grouped projects and provided a single dollar amount.

Many plans identified a mix of highway, transit and other modal options. But at the same time there was a lack of rationale in determining the 10-year and 20 year mix of projects.

The Action Element of the RTP prepared by the Tulare County Association of Governments is an excellent example. The Element identifies the status of the all transportation modes along with future projected demand for each of the modes. The RTP utilizes a number of maps to provide an illustration of the transportation needs, both current and future.

Consistency Requirement

Background

All RTP elements are required to be consistent within the plan and consistent with other transportation plans within the region. The first four years identified in the Financial Element shall be consistent with the four-year STIP Fund Estimate adopted by the CTC (Government Code §14525). The Goal, Policy and Objective statements shall be consistent with the Financial Element (Government Code Sec. 65080). Projects included in the ITIP and RTIP shall be consistent with the RTP (Government Code §14526).

Evaluation Findings

Meeting the consistency requirements is perhaps the most problematic aspect of the RTPS. The consistency requirements necessitates the plan be internally consistent and document this consistency. In addition, the plan is to show that projects in the ITIP and the RTIP are consistent with the RTP. Finally, the first four years (funding) in the Financial Element is to be consistent with the four-year STIP fund estimates adopted by the CTC.

At first glance these requirements appear to have easy compliance and straightforward expectations. However none of the RTPs were able to meet the objectives of the consistency requirements.

The RTP prepared for the Tehama County Transportation Commission specifically identified the 2004 and 2006 STIP funding assumptions along with their long-term revenue estimates. The policies identified in the Policy Element are clearly consistent and with the Financial Element.

Performance Measurement

Background

Each MPO/RTPA is expected to define a set of "program level" transportation system performance measures that reflect the goals and objectives adopted in the RTP. These performance measures are used to evaluate and select plan alternatives. Government Code §14530.1 requires more detailed project specific "objective criteria for measuring system performance and cost effectiveness of candidate projects" in the STIP Guidelines. The program level performance measures in the RTP set the context for judging the effectiveness of the RTIP, as a program, to assist in furthering the goals and objectives of the RTP.

Evaluation Findings

Many of the RTPs included a good faith effort in developing the foundation for a Performance Measurement process. However it appears that there is a lack of common understanding of specific steps and requirements of the Performance Measurement process. The actual foundation of performance measures begins with data collection. The successful process contains ongoing data collection. The analysis of the data demonstrates change and hopefully positive results of the plan, project or planning process. Many of the plans identified topics for measurement. These included congestion, transit trips taken, and safety related issues. There was minimal narrative as to specifically how data would be collected, how measurements would be developed and what criteria for improvements would be established.

The RTP prepared by the San Diego Association of Governments (SANDAG) addressed a total of eight performance measures in the following four categories: Mobility/Accessibility, Highways, Transit and Goods Movement. The specific objective/goal is identified in each of the eight categories along with the year when the objective/goal is expected to be reached. SANDAG also identified the current base value to be used as a starting point.

Environmental Considerations

Background

Federal regulations require the transportation planning agencies consider projects and strategies that protect and enhance the environment. The California Environmental Quality Act (CEQA) requires agencies to evaluate the

environmental consequences of their proposed actions, including environmental analysis and development of alternatives to minimize adverse environmental impacts is fundamental to the transportation planning process. The RTP shall be in compliance with CEQA (Public Resources Code §21002.1).

Evaluation Findings

There was a wide range in the quality of the discussion of environmental concerns in the RTPs. Many were very brief, lacking discussion of how the plan conforms to the State Implementation Plan (SIP). With respect to CEQA requirements, many negative declarations were inappropriately issued. When Program EIRs were prepared, they needed improvements in the analysis of cumulative impacts. In the RTP, the range of alternatives also needed improvement to fulfill the intent of the environmental legislation. .

The EIR prepared for the San Joaquin Council of Governments was found to be one of the most thorough of RTP EIRs evaluated. The EIR is addresses the wide range of environmental impacts anticipated as a result of the transportation projects contained in the RTP. The Executive Summary alone provides a good list of the impacts and possible mitigation measures for the transportation development projects.

Supporting Data

Background

Each RTP should include the following supplemental information either within the document itself or in separate documents:

1. As a basis for the RTP: inventories, analysis of inventory data, forecasts and forecast methodology, technical reports, background papers, air quality and land use plans.
2. Sub-elements of the RTP: seaport/airport plans, transit plans, ITS Early/Strategic Deployment Plans.
3. Other supporting documentation developed as part of the regional planning process.
4. Current environmental documentation.

Supporting and additional information or special studies not included in the RTPs shall be made available to the CTC and the Department upon request (Government Code §14032).

Evaluation Findings

The inclusion or identification of supporting documentation is generally minimal to non-existent. While all the RTPAs have developed plans over the years, Caltrans staff and others are required to routinely call the RTPA staff for clarification or specific information. It is rare that decision makers at the state or federal level can pick up a plan and find information or documentation that is required by legislation.

As with the majority of other plans, the RTP prepared by the Transportation Agency for Monterey County did a very good job in documenting its information sources. These sources are identified throughout the document and are easily identified and described.

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Chapter 5

Issues Relating to RTP Development

5-A. Purpose and Need Statements: A Foundation for Programming

It is critical for the MPO or RTPA to establish the rationale for project selection early in the planning process by evaluating how well the transportation system meets the needs of the community. Early public involvement in the planning process is helpful in identifying transportation issues, such as safety, access, mobility and congestion. Using this information, a "Purpose and Needs statement" for each project or group of projects is developed. As part of this process, the plan assesses the impacts, prioritize issues, and develop goals and objectives. Within the Action Element of the RTP, the regional agency needs to clearly describe the identified issues, system deficiencies, and their impacts on the traveling public in order to develop the basis for selection of projects and strategies.

The MPO/RTPA should identify short and long-term projects in the Action Element that address the identified needs and issues, and these projects should be consistent with the goals and objectives stated in the Policy Element. Each agency needs to clearly document a comparative analysis of transportation alternatives, in terms of cost, effectiveness, environmental impacts, and other factors, to show why the selected projects and strategies are the most appropriate solutions to the region's transportation problems. It is essential that selected projects address the identified transportation issues and are also sensitive to the environment.

The Action Element should also include a statement of the conceptual purpose and need; i.e. a statement of the problem that needs to be solved, to provide justification for project development. Each selected project or activity should then reference the specific regional needs, goals and objectives it is designed to address. The regional transportation needs should become the foundation for the subsequent, detailed statement of project purpose and need in the environmental document for the particular transportation improvement.

A comprehensive Purpose and Needs Statement can be developed from the above information already required in the Action Element.

However Departmental staff review of the RTPs indicates the plans need to more clearly state the need for transportation strategies and improvements and to discuss how selected alternatives meet these needs. Most RTPs fail to explain why the projects are needed or how the projects represent the most appropriate alternatives, in view of environmental constraints. If the RTP does not provide adequate justification, worthwhile projects may be delayed for years or may never be implemented.

5-B. Building Regional Consensus

The Regional Transportation Planning Process includes a combination of current social, economic and environmental information as well as projected changes over the life of the plan. For the development of a truly successful planning process, there must be a consensus among the various stakeholders as to the future of the region.

State and federal legislation requires that as part of the process, individuals, public agencies, advocacy groups, public and private goods movement and passenger operators and tribal governments within the region must all have an opportunity to contribute to the planning process. In addition, current adopted plans and strategies such as; general plans, mobility elements, airport land use plans, long range transit plans, habitat set-asides, and future right of way must all be reflected in the development of the RTP.

To assure the intent of all legislation related to public involvement is addressed, RTPs are expected to have a well-developed strategy and program involving; communication, education, outreach and support to obtain maximum amount of public involvement, interagency consultation and review of existing plans, and programs.

Neither the state nor the federal legislation makes any differentiation concerning the size of the region or potential regional social fragmentation.

While most of the RTPAs and most of the MPOs do address some of the needs for community input, not a single plan completely met the requirements of current legislation.

On the positive side, the vast majority of the plans included documentation of a strong outreach program for citizen involvement. Time, effort and resources were spent to bring individuals and groups into the process. Efforts seemed more successful in the rural areas where there was strong community cohesion. In the larger areas, many of the MPOs had difficulty in obtaining a strong community planning interest. Only when plans were being finalized and the implications of the plans were known, did citizens come forth. Unfortunately there was often a negative reaction to many aspects of the plans.

The major deficiency in all plans was the lack of interagency consultation. While consultation might have taken place, it was not generally documented in the plan. A sub-section of interagency consultation but not specifically addressed is community consultation. In the larger MPOs there are distinct communities that often transcend established political boundaries. These communities may be economically disadvantaged, or minority based or culturally unique. In recent years some of these communities have raised the specter of being unduly burdened by the planning process and deprived of community benefits.

5-C. Emerging Trends

Part of the Regional Transportation Planning Process is the responsibility to identify potential changes to the existing transportation system. Identification of these potential changes sets the stage for the development of future plans and potential strategies for funding. However, because the RTP planning guidelines were based on current state and federal legislative requirements there is not an identified requirement to identify emerging trends in the RTPs. Never-the-less, forward thinking and anticipating emerging trends is a basic characteristic of a good transportation plan.

Many of the RTPs have identified one or more of the following established trends in their RTP; Smart Growth, Goods Movement, Airport Ground Access and Advanced Transportation Systems Technology. Since the events of September 11, 2001, and the heightened perceived needs for safety and security on our roads, bridges, transit systems and airports, staff in the Department anticipates security being a federally mandated issue and addressed in the next cycles of RTP development.

- **Smart Growth**

Smart Growth is a concept with the goal that "development" serves the economy, the community and the environment. RTPs have the potential for meeting smart growth objectives by undertaking several actions. They include: (1) - coordinating land use and transportation; (2) - increasing the availability of high quality transit services; (3) - creating redundancy, resiliency and connectivity within their road networks; (4) - ensuring connectivity between pedestrian, bike, transit and road facilities; and (5) - creating places that respect community values and culture, and foster economic development. Unfortunately the objectives of "smart growth" are not specifically acknowledged, and the concept of smart growth appears in only a few of the plans of the largest MPOs and then only in brief passing.

- **Goods Movement**

Goods Movement is becoming a major issue in our State. Since California is evolving to be the fifth major economy in the entire world, there is; (1) - an expanding number of ships in our ports, (2) - the number and size of the trains on the rails is getting larger, and (3) - the expanded growth in the number trucks on the roads are resulting in far more movement in most regions. Most RTPs do not reflect adequate data to assess the current volume of goods movement nor projections of future growth. Due to competition, most private sector companies do not share basic information relating to their current size or plans for expansion. Without such information, the MPOs and RTPAs cannot adequately plan or address, the growth of the goods movement sector.

- **Airport Ground Access**

Commercial airports generate a substantial number of passenger and air cargo ground access trips. With the original planning of airports, ground access was planned to meet the current and expected ultimate capacity of passengers and cargo. With the increase in the need for air cargo capacity, and the increase in the number and size of airplanes, ground access is not keeping up with demand. One of the main reasons for this problem is that ground access relates to local land use and is often not perceived within the regional transportation planning process. Airlines and airport authorities do not take responsibility for ground access and

often resist working cooperatively within the regional transportation planning arena. This resistance is reflected in the absence of detail in the RTPs.

- **Advanced Transportation Systems Technology (ATST)**

ATS technology is a tool for increasing mobility and innovation across all modes and transportation systems. ATST is the application of communications technologies to manage the existing transportation infrastructure. ATST enables various parts or networks within the transportation system to communicate and work in an integrated fashion. Traveler technology can provide real-time traveler information, result in less congestion on the highways and make transit operate more efficiently and be a better alternative. In the goods movement industry, ATST speeds up processing and thus can assist in alleviating congestion on the highways, at weigh stations, in the permitting process and at border crossings. For managers of transportation services such as the Department and regional transportation agencies, cities, counties and transit properties, ATST affords real-time information offers an opportunity to coordinate systems with savings in time, financial and human resources both for agencies and the traveling public.

Federal law and the current RTP Guidelines require RTPs consider the use of technology as appropriate to solve transportation problems. It should be an integral part of the transportation planning process. FHWA is requiring that all federal funded projects create the regional ITS architecture and plans if they intend to use ATST and the RTPs support this by the year 2005.

Most of the MPOs/RTPAs have participated in the development of ITS Deployment Plans. These plans provide a framework and roadmap for using technology in each region to respond to user needs. These plans are a resource for the MPOs/RTPAs and can be incorporated by reference in the RTPs along with the Intelligent Transportation System (ITS) list of projects. These Plans will support the programming process and move ITS projects toward design and deployment in an orderly way that is consistent with other types of programmed projects and activities.

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Chapter 6

Current Regional Transportation Planning Issues and Recommendations

6-A. Overview

The RTP Guidelines were developed by the CTC and the Department to provide each of California's regions with a maximum amount of flexibility and self-direction. The Guidelines consisted of the minimum legal requirements for regional transportation plan development and encouraged each region to add its own regional needs and other plans and activities into the document.

Of course the major purpose of the plan is to adequately support the allocation of State and Federal transportation and transportation planning resources. Department staff review focuses on the degree to which the RTPs either supports or justifies the development of their Regional Transportation Improvement Program (RTIP). The intent is to develop a dialogue between the CTC, the Department and all of California's Regional Transportation Planning Agencies to assure these issues are addressed in the next generation of the RTPs.

During the preparation of this evaluation report, staff met with representatives from both inside and outside the Department who had knowledge of the RTP process. The purpose of these meetings was to learn from them what, if any, problems did occur during the last RTP cycle. Department staff preparing this report exchanged information in person or by telephone, with representatives of the following Departmental office or outside agencies:

- Office of Regional and Interagency Planning, Division of Transportation Planning
- Office of Advance System Planning, Division of Transportation Planning
- Office of Community Planning, Division of Transportation Planning
- Office of State Planning, Division of Transportation Planning
- Office of Goods Movement, Division of Transportation Planning
- Division of Programming
- A total of five California Department of Transportation District Transportation Planning Offices
- Governors Office of Planning and Research
- Surface Transportation Policy Project
- Rural Counties Task Force
- California Transportation Commission staff

During these meetings, each representative from the agencies above were asked the following two questions:

1. What problems/issues did you encounter during the last cycle of RTPs?
2. What (if any) suggestions could you offer to improve the current RTP process?

6-B. Issues and Recommendations

Below is a list of issues and recommendations that were identified during the interviews. It's divided into two categories: 1) Issues that should be acted upon by the CTC and the Department in the short term (approximately one year) and 2) Long term issues that are expected to take more than one year to complete.

Short-Term Recommendations That Could be Completed in Approximately One Year

1. Preparation of an RTP Guidelines Supplement

Issue

According to California Government Code §65080(d): *"Each transportation planning agency shall adopt and submit, every three years, an updated regional transportation plan to the California Transportation Commission and the Department of Transportation."* Both the 1999 RTP Guidelines and prior statute required the last cycle of RTPs were due from both MPOs and RTPAs on September 1, 2001. MPOs in California are required to submit their next adopted RTP to the CTC and the Department by September 1, 2004. The RTPAs must submit their RTPs the following year (September 1, 2005). There is not enough time to prepare a complete update of the RTP Guidelines and provide it to the MPOs prior to the completion of the 2004 RTPs.

Recommendation

The CTC should request the Department prepare a "supplement" to the 1999 RTP Guidelines. This supplement would be used in the interim until the RTP Guidelines could be updated. Along with communicating new or updated information on RTP preparation, it would contain any changes to the federal or state laws/regulations since the preparation of the last RTP Guidelines. The supplement would also contain any new directions or information to MPOs/RTPAs prior to final preparations of their RTPs.

For example, Government Code §65080.3 was added last year authorizing MPOs exceeding 200,000 in population to prepare at least one alternative-planning scenario.

The alternative-planning scenario must accommodate the same population growth but include alternatives to reduce the growth in traffic congestion and more efficiently use the existing transportation infrastructure.

Depending upon the extent of new guidance from the CTC, the supplement should be completed and provided to the MPOs no later than December 2003. This would allow the MPOs at least eight months to respond and incorporate any new guidance into their RTPs prior to the September 1st legislatively mandated adoption date.

2. ***Lack of Uniformity in RTP Format***

Issue

There is a clear lack of format uniformity among many of the RTPs. This lack of uniformity is most pronounced in the RTPs prepared primarily by the larger MPOs. Although the specific RTP format may meet the needs of the particular MPO/RTPA, the varying formats make it quite difficult to obtain a statewide perspective. California Government Code §65080 requires RTPs to have three components: a Policy Element, an Action Element and a Financial Element. Many of the RTPs contained these three distinct elements, however some did not (primarily the larger MPOs).

Lack of uniformity in the format in the RTPs became an issue when conducting any interregional or statewide analysis of the RTPs, such as the California Transportation Plan, preparing any statewide financial or safety analysis based on information in the RTPs.

Recommendation

The CTC should require future RTP updates to identify where specific information is contained in the RTPs such as the public involvement component, a description of the transportation issues in the region, or the policy and goal statements. This would allow each of the RTPs keep their own format to meet their needs, yet specify where the federal and state required items are located within the plan. The MPO/RTPA should also provide statements the projects contained in the RTIP are consistent with the RTP. Similar statements should also be provided for consistency with other planning documents such as local general plans and air quality management plans (where applicable).

3. *Interagency Coordination*

Issue

It is evident that communication and coordination on transportation issues between adjacent MPOs/RTPAs could be improved. Although there are positive examples of ongoing coordination between regional transportation agencies, some agencies should increase their effort to work with neighboring agencies on transportation issues that impact both regions. These coordination issues include jobs/housing balance and Intelligent Transportation Systems (ITS). In reviewing many of the RTPs, it was obvious the planning efforts ceased at the MPO/RTPA boundary. Planning and programming issues should also be coordinated between the MPO/RTPA and the transit agency (or agencies) operating within the MPO/RTPA boundary. Many MPOs/RTPAs may already coordinate transportation planning efforts, however this is not documented in the RTP.

Recommendation

The RTP Guidelines and supplement should stress the importance of coordination between neighboring MPOs/RTPAs. At minimum, MPOs/RTPAs should provide a copy of their draft RTPs to neighboring MPOs/RTPAs. This would provide an opportunity to share information on future transportation planning efforts and would be beneficial particularly when issues impacting the transportation system extend in to the surrounding MPO/RTPA. Any update to the RTP Guidelines should ensure the RTPs provide documentation of their coordination efforts with neighboring MPOs/RTPAs. The RTP should also provide some evaluation of this success of this effort.

4. *Delay in preparation and adoption of RTPs*

Issue

A number of the RTPs from the last cycle were not adopted by the statutory deadline of September 1, 2001.

Recommendation

The CTC should contact each MPO in California as soon as possible to ensure the agency will submit an adopted RTP near the legislatively mandated date of September 1, 2004. RTPAs should also be contacted six or eight months prior to the required September 1, 2005 date to submit their adopted RTP to the CTC and the Department. If adopted RTPs are not submitted within an adequate period, the CTC should notify the

MPO/RTPA actions would be taken to delay the acceptance of the regions RTIP until the RTP is completed and adopted.

5. *Communication/Coordination with Native American Tribal Governments*

Issue

Although strides have been made by the MPOs/RTPAs concerning government-to-government relations with the federally recognized tribes, some of the RTPs should improve their efforts of consulting with Tribal Governments located within their region on issues impacting the transportation system.

Recommendation

Every federally recognized Tribal Government located with the boundary of an MPO or RTPA should be consulted during the development of the RTP. This requirement must be stressed in the future update of the RTP Guidelines and supplement. The RTPs should document how Tribal Governments were included in the RTP process, and also if they chose not to participate. Documentation and an evaluation of the MPOs/RTPAs efforts in this area should also be included in the RTP.

6. Public Involvement in the RTP Process

Issue

Public involvement is a major component of the RTP process. Federal regulations require that each MPO have a transportation planning process that includes a public involvement program. Each RTP contained a description of the public involvement program as established by the MPO/RTPA during the preparation of the document. Having the public engaged in transportation planning issues that won't be developed for many years (if ever) is a challenge for all MPOs/RTPAs. Overall, the larger MPOs were more successful in obtaining useful input from the public during the development of their RTPs.

Recommendation

Additional training and instruction should be provided to the MPOs/RTPAs and Department staff on successful public involvement techniques utilized by other regional agencies in the state. These effective techniques include greater outreach efforts to members of traditionally underrepresented communities. This more proactive approach is needed to address Environmental Justice issues and receive input on alternatives

earlier in the planning process. Documentation and an evaluation of the MPOs/RTPAs efforts in this area should also be included in the RTP.

7. *Private sector involvement in the RTP process*

Issue

During interviews of Departmental staff conducted as part of this evaluation, it was noted there should be additional effort by the MPOs/RTPAs to include the goods movement and business community during the development of the RTP. Input from representatives of the goods movement industry such as trucking and rail is important during the development of the RTP. Their participation will ensure goods movement issues are addressed in any long-range transportation planning efforts.

Recommendation

Stress to the MPOs/RTPAs the importance of including representatives of the goods movement and business community who would be impacted by future transportation decisions. These groups could also provide valuable input in this area that could assist the MPO/RTPA during the development of their long-range transportation planning efforts. Additional training should be provided to the MPOs/RTPAs and Departmental staff on the importance of including private sector groups in the RTP process and examples of how this was successfully addressed in other regions. Documentation and an evaluation of the MPOs/RTPAs efforts in this area should also be included in the RTP.

8. *RTP Environmental Document*

Issue

The detail varied greatly in the Environmental Documents (EDs) prepared for RTPs. Some of the EDs provided detail on the impacts and mitigation efforts for the transportation projects identified in the RTP. Other EDs provided minimal information on the environmental impacts of the transportation projects. Of the total of 44 RTPs in the state, 15 agencies (34%) issued a Negative Declaration (Neg. Dec.) declaring the transportation projects identified in the RTP and RTIP would not adversely impact the community or environment. The majority of these RTP/RTIP Neg. Dec's. were issued by smaller rural RTPAs.

Additional training should also be provided to Departmental staff in each of the district offices on the ED requirements for the RTP.

Recommendation

First, the RTP Guidelines supplement should provide specific information on the requirements to be included in the ED document for the RTP. The ED should address the regional cumulative impacts resulting from the implementation of the transportation improvements identified in the RTP. These plan level impacts should include, but are not limited to; air quality, water quality, cultural resources, etc. The Program ED should address growth-inducing impacts of the RTP on the region.

Second, training should be provided to MPOs/RTPAs and district Departmental staff on the purpose of the RTPs ED and identify staff within the Department with review responsibilities.

In January 2003, Governor Davis announced his "Build California" initiative to stimulate economic growth and create new jobs in the state. One of the key ideas in this plan directed the Department and the Resources Agency to reduce by a year its environmental process for transportation projects, including adoption of integrated conservation and mitigation planning. It is very important for the Program ED to address cumulative environmental impacts of the transportation projects proposed over the 20-year life of the RTP. The Program ED should also be coordinated with other long-term environmental planning efforts such as habitat conservation plans (HCPs). These EDs are "plan level" providing the impacts on a regional scale, not at the specific "project level".

9. *Identification of Transportation Control Measures (TCM's)*

Issue

Federal air quality regulations require TCM's to be identified in the air quality management plan (AQMP) for nonattainment and maintenance areas. These TCM's in turn, should be identified in the RTP. This requirement is one of the reasons the appropriate regional air quality and transportation agencies should coordinate the development of their respective planning documents. Many of the RTP's in air quality nonattainment or maintenance areas do not specifically identify how TCM's are implemented. TCM's are identified in the air quality management plans prepared by regional air quality agencies.

Recommendation

An update of the RTP Guidelines should contain a requirement that all RTPs in Federal air quality nonattainment and maintenance have TCM's identified in an approved AQMP should specifically identify the TCM's. This list of TCM's should also include how they are planned to be implemented.

10. Project Intent Statements (Purpose and Need) in the RTP

Issue

The Action Element of the RTP is required to include a statement of the conceptual project intent for the projects identified in the Plan. Project Intent Statement is used instead of Purpose and Need Statement because the later was considered more project specific. Project intent reflects a broader description of the projects listed in the RTP. The Action Element identifies the need for the project, which is the transportation issue or deficiency that is to be addressed. It also clearly states how the proposed improvements will address the identified deficiency, or statement of purpose. It must be consistent with the goals and objectives in the policy element.

The project intent statements are critical to successful project development as these statements provide the justification for project funding. Transportation projects are competing for limited funding, and projects that are well justified tend to receive higher funding priority. In addition, the regional transportation needs should become the foundation for the subsequent, detailed statement of project purpose and need in the environmental document for the particular transportation improvement. For example, NEPA requires purpose and need statements at the project level that are consistent with those in the RTP.

Review of the RTPs indicates that plan-level project intent statements are not generally included, however, the basis for developing them is located in the Policy and Action Elements. Further refinement of existing RTP data into plan-level project intent statements is needed. The RTPs often fail to explain why the projects are needed and there is minimal consistency between the purpose and need statement in the RTP and the NEPA document. If the RTP does not provide adequate justification, worthwhile projects may be delayed for years or may never be implemented.

Recommendation

The CTC and the Department should strengthen the MPOs/RTPAs ability to develop project intent statements in the RTPs by the following:

- Rewrite or update the RTP guidelines to provide more emphasis on the importance of strengthening the project intent statements.
- Develop a format and process for plan-level project intent statements.
- Additional clarification should be provided to Department and MPO/RTPA staff concerning the types of projects that require a project intent statement in the RTP.
- Provide training to Department and MPO/RTPA staff.

11. *Include Unconstrained Transportation Needs in the RTP*

Issue

RTP's are required to identify projects that are financially constrained. However AB 631 (2002) and ACR 32 required the CTC and Department to prepare an assessment of the unmet transportation needs in the state.

Recommendation

The RTPs should also include a list of the unconstrained transportation needs within their region. This list should include the needs of the local streets and roads system, unmet transit needs and un-funded operating costs of the regional transportation system. The list would be organized by transportation corridor in order to be in a similar format as the efforts at the state level to comply with AB 631 and ACR 32. This list would be located in the Action Element and not part of the financial projections.

Long-Term Recommendations That Would Take More Than One Year to Complete

12. Prepare Update of the RTP Guidelines

Issue

The current RTP Guidelines were adopted by the CTC in December 1999. The document should be updated to include changes in legislation impacting the development of RTPs. An update of the Guidelines could also include any information, clarification or directions on the RTP process.

Recommendation

The CTC (with assistance from MPOs/RTPAs) should direct the Department to develop an updated CTC Guidelines document.

13. Outdated Planning Documents

Issue

The RTPs are just one of the planning documents that each region is required to produce. Other documents include General Plans that contain Circulation Elements, Housing Elements and Air Quality Management Plans in non-attainment/maintenance areas. Many general plans are out of date due to rapid development in many cities and counties in California over the past ten years. According to the Governor's Office of Planning and Research (OPR), approximately 42% of the 537 cities and counties in the state have general plans that are ten years or older.

Outdated general plans illustrate just one part of the complex interaction between land use and transportation planning. Up to date general plans provide valuable information to MPOs/RTPAs on future development plans in cities and counties. This information is necessary to assist transportation planners in determining where future demands on the transportation infrastructure may occur.

Recommendation

The CTC and the Department should work with other state agencies, such as the Office of Planning and Research (OPR) and the Department of Housing and Community Development (HCD). The purpose being to determine the feasibility of updating the various planning documents that should be to up to date to assist in the determination of future community growth and development of the transportation infrastructure.

14. Statewide Financial Information Coordination

Issue

Presently, each MPO/RTPA is required to prepare their own fund estimates of federal, state and local transportation funds available to them during the 20-year life of the RTP. Based on the varying levels of expertise at the MPOs/RTPAs, the ability to develop creditable estimates differs from one agency to another. The methodology used by each of the MPOs/RTPAs during the development of financial projections varies widely. In addition, both the FHWA and many MPOs/RTPAs have expressed a desire for the state to provide guidance on the development of these transportation funding estimates.

Recommendation

The CTC (with MPO/RTPA input) should request the department determine the feasibility of developing the necessary "framework" to be used by MPOs/RTPAs during their preparation of transportation funding estimates. This framework would provide the tools necessary for the MPOs/RTPAs to forecast the federal, state and local transportation funds for their region over the 20-year span of the RTP. This framework will also be a step forward in providing consistency of transportation financial forecasts statewide.

15. *Transportation Security and Safety*

Issue

With the present concerns regarding national security, the RTPs should address transportation related safety/security issues.

Recommendation

The CTC and the Department should consult with the U.S. DOT on the current federal guidance on safety/security issues. This information would be included in the future update of the RTP Guidelines. As a result of the reauthorization of TEA-21, the state should anticipate further action and direction from the federal government in the area of transportation safety and security. California should be positioned to take advantage of any federal funds made available resulting from the reauthorization of TEA-21.

16. Varying Timeframes of Various Planning Documents

Issue

The timeframes are often different for various planning documents such as RTPs, general plans and air quality management plans. For example MPOs must update their RTPs every three years and RTPAs update their RTPs every four years. State law is vague concerning how often general plans must be updated, current statutes require it must be updated "as often as needed". Like general plans, air quality management plans are usually updated by the regional air quality agencies on an "as needed basis".

Recommendation

The CTC and the Department (with input from MPOs/RTPAs) should first identify the documents that are impacted by and connected to the development of the RTP. Once this list has been prepared, Department staff should begin discussions that address the issue of varying timeframes.

17. Performance Measurement

Issue

The 1999 RTP Guidelines states: "Each RTPA should define a set of program level transportation performance measures that reflect the goals and objectives adopted in the RTP." Measuring the performance of the overall transportation system has received considerable attention from the U.S. Department of Transportation and the California Department of Transportation over the past three to four years. As with many of the other requirements contained in the 1999 RTP Guidelines, some MPOs/RTPAs did a good job in identifying methods to measure the performance of the transportation system in their regions, while others need improvement.

Recommendation

The RTP Guidelines should be updated to provide more specific direction on the development of transportation system performance measures.

18. Environmental Stewardship

Issue

Environmental stewardship in the transportation planning and project delivery processes is a growing movement at the Federal and State levels. The goal is to identify environmental concerns early in the project planning/development process so that better decisions can be made, environmental impacts can be avoided and transportation resources are spent more effectively. Engaging the resource and regulatory agencies in the long-range transportation planning/development process ensures that environmental concerns are identified and data is shared so that transportation plans can be developed that protect and preserve the environment while enhancing mobility.

Recommendation

This is a complex area where training and education is required for transportation and environmental planners in all levels of government. Several new developments would place the Department in a position to develop training and education to empower planners to work more effectively on environmental issues. These include:

- The new federal transportation reauthorization legislation.
- The Department's own teams working on Cumulative Impacts and Purpose and Need.

- Collaborative planning efforts such as the Merced County pilot program titled "Partnership for Integrated Planning (PIP) and in Riverside County the Community, Environmental and Transportation Acceptability Process (CETAP).
- The Department is also working on developing models and tools to enhance our environmental stewardship capabilities. As these efforts are conclude, the CTC and the Department should work with the appropriate Federal and State agencies (FHWA, FTA, EPA, Cal EPA, etc) to develop guidance and training on how environmental stewardship should be included in the RTP process.
- Environmental streamlining will call for the integration of planning, environmental planning, and project development, which will require resources and new procedures for Department staff and partners. To achieve this goal, the Department should rely on increased participation of Environmental Planners in the overall transportation planning effort.

19. Update California Statutes Relating to the RTP process

Issue

Some of the existing statute relating to the RTP process should be amended to bring it up-to-date. California Government Code §65080(G) addresses the items that must be contained in an RTP. Paragraph G states: "For the region defined in Section 66502, the indicators specified in this paragraph shall be supplanted by the performance measurement criteria established pursuant to subdivision (e) of Section 66535, if that subdivision is added to the Government Code by Section 1 of the Senate Bill 1995 of the 1999-2000 Regular Session."

Recommendation

Update appropriate sections of statute as necessary. California RTP statues should also conform to federal RTP regulations. For example, if federal regulations call for the RTPs to be updated every five years, then the state requirement should be changed to be more in line with the federal requirement.

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APPENDICES A - G

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APPENDIX A
1999 RTP GUIDELINES CHECKLIST

By request of the California Transportation Commission Task Force, composed of representatives of MPOs and RTPAs a checklist of legislative requirements was developed and made part of the Guidelines. The purpose of the checklist was to serve as an objective list of the state and federal requirements to be addressed in an RTP and to be completed by MPO / RTPA staff. Appendix A of the 1999 RTP Guidelines is the checklist. The following is a copy of the checklist without the "Yes" / "No" boxes.

Planning Requirements
Regional Transportation Plan Checklist

A. Regional Transportation Plan Components

1. Provides a coordinated and balanced transportation system.
2. Is action oriented.
3. Contains a short-term (10-year) time horizon.
4. Contains a long-term (20-year) time horizon.
5. Includes a Policy Element.
6. Includes an Action Element.
7. Includes a Financial Element.
8. The RTP of the MPO considers strategies to meet the seven planning factors specified in Title 23, 134(f) of the U.S. Code.
9. The RTP conforms to the State Implementation Plan (SIP).
10. The RTP of the MPO is consistent with the Civil Rights Act as identified in Title 23, CFR Sec. 450.316(b)(2).
11. The RTP of the MPO identifies actions necessary to meet the ADA as identified in Title 23, CFR Sec. 450.316(b)(3).
12. The RTP of the MPO considers, analyzes and reflects the social and environmental effects including housing, employment, community development, land use, central city development goals, etc.

B. Public Involvement

1. Includes a public involvement program that meets the requirements of Title 23, CFR Sec. 450.316(b)(1).
2. The RTP for a non-attainment area is based on consultation with air and environmental agencies and the public during all stages of development.
3. Where there are Native American Tribal Governments within the RTP boundaries, the tribal concerns have been addressed and the Plan was developed in cooperation with the tribal Government(s) and the Secretary of the Interior (Bureau of Indian Affairs) (Title 23, CFR Sec. 134, 135(e)).
4. The RTP includes opportunities for citizen involvement in the early stages of plan development.
5. The RTP for a non-attainment area identifies consultation with air agencies on the development of the plan.
6. The RTP for a non-attainment area reflects coordination with local and regional air quality planning authorities.

C. Policy Element

1. Describes the transportation issues in the region.

2. Identifies regional needs.
3. Maintains internal consistency with the financial element fund estimates.
4. Has objectives linked to the 10-year time frame.
5. Has objectives linked to the 20-year time frame.

D. Action Element

1. Addresses needs.
2. Is consistent with the adopted regional transportation goals.
3. Is consistent with the regional transportation policies.
4. Is consistent with the financial constraints.
5. Conforms to the revenues identified in the Financial Element.
6. Conforms to the costs in the Financial Element.
7. Includes a discussion of Highways.
8. Includes a discussion of Mass Transportation.
9. Includes a discussion of Aviation Transportation.
10. Includes a discussion of pedestrian needs.
11. Includes a discussion of non-motorized transportation.
12. Includes a discussion of Rail Transportation.
13. Includes a discussion of Maritime Transportation.
14. Includes a discussion of Goods Movement.

E. Consistency Requirement

1. The first four years identified in the Financial Element is consistent with the four-year STIP fund estimates adopted by the CTC.
2. The Goal Statements are consistent with the Financial Element.
3. The Policy Statements are consistent with the Financial Element.
4. The Objective Statements are consistent with the Financial Element.
5. The projects included in the ITIP are consistent with the RTP.
6. The projects included in the RTIP are consistent with the RTP.

F. Performance Measurement

1. Includes objective criteria for measuring system outcomes.

G. Environmental Considerations

1. Contains the appropriate environmental documentation.
2. Discusses the way the plan will conform to the State Implementation Plan including TCM implementation.
3. RTPs for non-attainment areas document coordination with the ARB to ensure conformity with the SIP.

H. Supporting Data

1. The RTP includes or identifies supporting documents.

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APPENDIX B: EVALUATION OF THE INDIVIDUAL ITEMS IN THE RTP GUIDELINES

(Appendix A of the RTP Guidelines, adopted by the CTC, December 1999)

A-2-1 Regional Transportation Plan Components (requirements for RTP inclusion)

A-2-1a (The Plan) Provides a coordinated and balanced transportation system

By planning definition, a coordinated and balanced transportation system is one that meets the diverse transportation needs of all the regions' inhabitants and visitors through a variety of transportation modes and interconnections. In addition, it provides opportunities for freight to move safely and efficiently through the region. The balanced transportation system provides equity in terms of mobility and access to transportation services, and does not degrade the quality of life in the region, by increasing congestion or air pollution.

A transportation system that lacks balance is one in which transportation investments might support automobile travel exclusively, without providing viable and attractive transportation alternatives to those who do not wish to drive, and to the young, the elderly, and the disabled who are unable to drive.

Most of the larger MPOs and RTPAs developed RTPs that more than adequately provided for a coordinated and balanced transportation system.

The Tulare County RTP for example provides a coordinated and balanced transportation system. All modes of transportation are addressed and the location of improvements with narrative and maps are provided.

Many of the smaller, non-MPO regions, however, did not seem to develop a coordinated system very well in their planning process. They developed their plans with emphasis on road development, with minimal attention to improving transit service, bicycle or pedestrian travel. In some regions, goods movement is not addressed at all and it was not recognized that the increased growth in truck traffic adversely impacts the entire transportation system. (Please see page 21, Action Element Discussion of Goods Movement

A-2-1b (The Plan) Is action-oriented

A well-developed RTP demonstrates a commitment to innovation, change, emerging trends and new technologies.

A large MPO, the San Diego Association of Governments RTP identifies a number of areas where new technology will be used in future transportation systems. In their needs assessment new technology will be used in a number of ways: 1-to coordinate transportation modes and services, 2-control traffic through ramp meters, 3-signal timing, 4-improve transit services through management and coordination and 5-reduce congestion through incident detection and response systems.

Unfortunately most of the plans did not reflect a commitment to innovation or creative transportation solutions. Surprisingly, most of the plans did not incorporate technological applications, despite the growth of technology since the last required submittal of the RTPs.

A-2-1c (The Plan) Contains a short-term (10-year) time horizon
State legislation requires the RTPs to follow an evolving cycle of transportation improvements. Planners and policy makers should have a long-term transportation perspective and prioritize the transportation improvements based on needs and funding availability. The 10-year time frame should reflect development of a balanced system with the projected available funding.

The great majority of the RTPs used a 10-year time horizon. Those plans that didn't include a 10-year time frame generally had a planning methodology that precluded development a 10-year time horizon.

A-2-1d (The Plan) Contains a long-term (20-year) time horizon
Unfortunately there was confusion as to what was actually a 20-year plan. The Federal Highway Administration (FHWA) requires the plan to have a minimum of 20-time horizon at the time of plan adoption by the agency policy board. Some RTPs had a 20-year time frame from 2000 to 2020 and were adopted in the 2001 calendar year. This means that the plan had an 18 or 19-year time frame and did not conform to FHWA requirements. To mitigate this issue, many RTPs identified a 25-year time frame to assure meeting the 20-year requirement.

Most RTPs provided an assessment of the 20-year regional transportation system. As expected, the level of planning detail, especially with regard to projected funding, was diminished over the 20-year time frame.

A-2-1e (The Plan) Includes a Policy Element
All RTPs are required to have a Policy Element. The intent of the RTP is to identify a regional vision to guide development of the entire transportation system. The plan's policy element is meant to reflect the values and the community beliefs that guide the development of the transportation system.

The Policy Element includes an identification of the current system and the changes that are identified in the plan. From this overview of the current system with its issues and deficiencies, the Action Element provides the basis for changing the system to meet regional transportation objectives identified in the Policy Element. The Policy Element includes land use information, demographic and employment projections, as well as environmental issues to be addressed.

In most Plans, the Policy Element presents a clear picture of the current transportation system and the context of its performance. From this information the Policy Element can provide a rational and compelling basis for changing the system to meet future needs. Additional assessment of the Policy Element is presented on page 16, "C. Policy Element of the Checklist."

A-2-1f (The Plan) Includes an Action Element
All RTPs are required to have an Action Element and every Plan did include an Action Element. The Action Element uses the policies in the Policy Element to generate lists of

potential projects. The Action Element develops assumptions, regional needs are clearly defined, scenarios are developed, forecasts are made (population, employment, income house hold formations etc.) and alternatives are proposed. Based upon this process, a list of projects that conform to all state and federal requirements is identified. Each major project should have a purpose and needs statement and address appropriate environmental concerns. Collectively the list of projects must meet air quality conformity requirements. And finally, the Action Element should prioritize the list of projects and identify the agency responsible for project implementation.

The Action Element prepared by the Merced County Association of Governments provides a good example. It clearly identifies projects, the responsible agency and strategies to meet regional priorities.

A-2-1g (The Plan) Includes a Financial Element

All RTPs are required to have a Financial Element, which clearly identifies the expected costs and source of funds for all projects in the Action Element for the duration of the 20-year time frame of the plan. As might be expected, the Financial Element is the most difficult section to develop. Estimates of funds available include a combination of local, state and federal resources and allocations that are subject to annual appropriations. Projecting available funding over a 20-year period is very difficult. In addition, state and federal allocations reflect funding priorities that might not be consistent with the regional priorities.

Many RTPs identify the planning assumptions that form the basis for the numbers in the Financial Element. For the financial data to be useful, it should be both specific and consistent from region to region. A serious and ongoing concern is the lack of data consistency in the Financial Element from one RTP to another. Unfortunately each of the RTPs is prepared using different assumptions. However, if projections of transportation funding are to be useful to policy makers, the projections should be consistent in terms of assumptions, reporting periods and level of detail.

(The following items in section A of Appendix A are specific federal requirements to be addressed by the MPOs.)

A-2-1h The RTP of the MPO considers strategies to meet the seven planning factors specified in Title 23, 134(f) of the U.S. Code.

The MPOs receive federal funds to support their regional transportation planning process. As a condition of receiving these funds the agencies are required to meet federal legislative requirements. Federal Government Code title 23 sec 134 (f) identifies seven planning factors that each MPO should consider in developing their RTP and subsequent development of the Federal / State Transportation Improvement Program.

- Support the economic vitality of the metropolitan area, especially by enabling global competitiveness, productivity, and efficiency;
- Increase the safety and security of the transportation system for motorized and non-motorized users;
- Increase the accessibility and mobility options available to people and for freight;
- Protect and enhance the environment, promote energy conservation, and improve quality of life;
- Enhance the integration and connectivity of the transportation system, across and between modes, for people and freight;

- Promote efficient system management and operation and;
- Emphasize the preservation of the existing transportation system.

While most MPOs specifically acknowledge these requirements it does appear that all actually consider these planning factors in their process.

A-2-1i The RTP conforms to the State Implementation Plan (SIP)
The State Implementation Plan (SIP) identifies California's program to meet Federal Clean Air Standards. It identifies stationary and mobile sources of pollutants, pollutant budgets and areas where standards are not met and a proposed timetable to meet air quality standards. California's Air Resources Board develops the SIP. The SIP is composed of the Air Quality Maintenance Plans prepared by Air Quality Management Districts. The Federal Clean Air Act requires each Regional Transportation Plan to conform to the SIP as a condition of receiving federal funding.

The MPO and U.S. Department of Transportation (DOT) through the Federal Highway Administration and Federal Transportation Administration, have a responsibility to ensure that the RTP within the MPO boundaries conform to the SIP. The policy board of each MPO is required to make a conformity determination on its transportation plan prior to submittal to the U.S. DOT for an independent review and conformity determination. Conformity determinations for projects outside of these boundaries are the joint responsibility of the U.S. DOT and The Department.

The overwhelming majority of the RTPs mention "air quality" within the regional transportation planning process. There is acknowledgement of the relationship between the planning and programming of projects and the need to meet air quality objectives within the timeframe identified in the SIP. With the reading of the plans, it appears that the air quality constrains are addressed without actually mentioning the SIP.

A-2-1j The RTP of the MPO is consistent with the Civil Rights Act as identified in Title 23, CFR Sec. 450.316(b)(2)
While the overwhelming majority of the RTPs developed by MPOs did not specifically mention federal civil rights legislation, there appears to be universal recognition that the planning process within California is in compliance with the Civil Rights Act.

A-2-1k The RTP of the MPO identifies actions necessary to meet the Americans with Disabilities Act (ADA) as identified in Title 23, CFR Sec. 450.316(b)(3)
Most RTPs developed by MPOs that provided detailed information relating to transit specifically addressed actions relating to meeting the needs of those with disabilities. For example the Stanislaus RTP identified specifically what each transit district in each city is doing to meet transit needs consistent with the ADA requirements.

A-2-1l The RTP of the MPO considers, analyzes and reflects the social and environmental effects including housing, employment, community development, land use, central city development goals, etc.
All of the MPOs appear to consider social and environmental effects in the development of their RTP. While no single plan specifically identifies exactly how each factor has been used, most RTPs reflect an awareness and sensitivity of the regional landscape to the regions' transportation system.

B. Public Involvement Section of the Checklist

A-2-1B1 The RTP includes a public involvement program that meets the requirements of Title 23, CFR Sec. 450.316(b)(1), and that provides opportunities for citizen involvement in the early stages of plan development.

The vast majority of the RTPs identified and documented citizen involvement in the development of their planning process. The RTPAs throughout the state have multiple town meetings and workshops. The MPOs have extensive outreach programs; some even have bilingual draft plans available in libraries and universities.

A-2-1B2 The RTP for a non-attainment area is based on consultation with environmental agencies and the public during all stages of development

Air Quality issues place additional constraints upon the transportation planning process. In regions where air quality does not meet standards for public health, emission limits are placed upon stationary and mobile air pollution sources. Air quality agencies develop an allocation of emissions between major categories of sources including mobile sources. The RTP is required to conform to this allocation, or "emission budget".

With the population growth in most areas of the state, the need for transportation services is expanding. Meeting increasing demand for transportation as well as meeting the regional air quality goals is a serious challenge for some of the regions. Transportation investments that increase vehicle miles traveled (VMT) do not necessarily achieve reductions in mobile source pollution, so the options for transportation become limited.

More emphasis needs to be placed on land use decisions, transportation demand management, and development of alternative modes of transportation, including public transit, pedestrian and bicycle travel. The "conformity" requirement is meant to assure that the RTP does conform to the State Implementation Plan, a plan that is recognized by State and Federal officials to meet the requirements of the Federal Clean Air Act. The overwhelming majority of the Plans do not mention consultation with Environmental Agencies or local Air Districts.

A-2-1B3 Where there are Native American Tribal Governments within the RTP boundaries, the tribal concerns have been addressed and the Plan was developed in cooperation with the tribal Government(s) and the Secretary of the Interior (Bureau of Indian Affairs) (Title 23, CFR Sec. 134, 135(e))

Many of the RTPs identified consultation with Native American Tribes within the context of public involvement. However, the RTP Guidelines require that tribal concerns have been addressed and the plan was adopted in cooperation with the tribal governments and the Secretary of the Interior, Bureau of Indian Affairs.

Del Norte Local Transportation Commission (DNLTC), for example, clearly made an effort to include Tribes within its area in the planning process, working with Tribal members concerning their needs. Avenues of communication included public workshops and advisory committees. Elements of the RTP reflecting involvement by Tribes within DNLTC were the Executive Summary, Public Involvement/Consultation Process, Planning Overview, and the Assessment of Needs and Public Transportation.

C. Policy Element of the Checklist

A-2-1C1 (The Policy Element) Describes the transportation issues in the region

The RTP is required to have a Policy Element. The Policy Element is expected to identify the multitude of issues facing the region during the life of the plan that is influenced by or does influence the region's transportation system. Routinely the Policy Element is compromised of regional goals, policies and objectives. These might address issues specifically concerning safety, economic development, recreational opportunities, land use, employment, environmental issues and open space. Most of the RTPs had a well-developed group of goals and policies.

The Santa Cruz County RTP has an exceptionally well-developed group of goals and policies. Six broad goals, based on public participation input are clearly defined. Within those goals are a multitude of policies designed to create a safe, efficient and effective comprehensive transportation system. Innovative policies include new technology, employee training, multi-agency coordination, goods movement, expanding transportation options and interregional consultation.

Unfortunately some plans did not have a Policy Element that would meet expectations of the CTC, state and federal decision makers. These plans contained Policy Elements that were modal specific. They had policies for highways, rail, mass transit, aviation etc. The emphasis on modal policies does not allow for a regional perspective that decision-makers want in making long term funding commitments.

A-2-1C2 (The Policy Element) Identifies regional needs

Regional needs should be identified as part of the Policy Element. The Policy Element is expected to identify the needs of the region and how the RTP would address these needs. Typically the Policy Element would identify population and economic projections, review land use developments and clearly demonstrate how the transportation system would meet future needs.

The Alpine County RTP provides a good example of identifying regional transportation needs and clearly relating specific solutions. Issues relating to congestion, allocation of resources, safety issues and many more are associated with practical solutions.

Transportation modes and the transportation system are tools to meet regional objectives. Transportation is not an end product but should be viewed to facilitate population activities. Some RTPs limited their Policy Element to providing only modal policies. Regional needs were not addressed and therefore it is unclear how the transportation system would address issues of regional concern.

A-2-1C3 (The Policy Element) Maintains internal consistency with the Financial Element fund estimates

In some Plans, there is a lack of credible documentation the Policy Element is consistent with the Financial Element. For example, the Policy Element may identify the need for additional transit improvements while the Financial Element identifies the major allocation of funds for highways and perhaps airport expansions.

A-2-1C4 (The Policy Element) Has objectives linked to the 10-year time frame

The Policy Element requires the development of short- term and long-term objectives. Short term is defined as 10 years and 20 years is the full build out. While the vast majority of the RTPs identified a list of objectives over a 10-year period, the overwhelming majority did not identify a methodology for measuring achievement of

these objectives. There appeared to be either a lack of awareness of the need for establishing a methodology or, perhaps, political resistance to identify specific milestones in the process. A more in-depth discussion of this topic is made in the Measurable Objectives portion of this section.

A-2-1C5 (The Policy Element) Has objectives linked to the 20-year time frame
As with the development of the short-term objectives, most of the RTPs contained information relating to the 20-year time frame.

D. Action Element of the Checklist

A-2-1D1 (The Action Element) Addresses needs
The Action Element of the RTP identifies transportation projects resulting from all the projections, goals, policies and objectives, public input, funding availability and the analysis of the planning process. But perhaps most basic, is the issue of justifiable needs. The Action Element should specifically identify the need for the transportation projects. Some of the RTPs reflect excellent staff work in identifying the transportation needs of the region and how the transportation projects in the Action Element meets these needs.

The Inyo County RTP provides a good example of specifically identifying the regions' transportation needs by 10 year and 20 year time frames for various modes of travel. U.S. Highways and State Routes improvements are identified along with the needed improvements by time frame. The same process is provided with city streets and various modes of transportation including pedestrian, bicycle, transit, and aviation facilities.

A-2-1D2 (The Action Element) Is consistent with the adopted regional transportation goals
The RTP should be internally consistent with all transportation projects resulting from the established goals. Unfortunately, most goals identified in the RTP are general, so as to assure that any transportation project is consistent. What is more disturbing, however, is that some transportation projects seem to contradict even the most general goals. For example, one goal might be to improve air quality. Yet many of the projects identified in the Action Element have projects that degrade ambient air quality.

A-2-1D3 (The Action Element) Is consistent with the regional transportation policies
The RTP should be internally consistent with all transportation projects resulting from, or at least consistent with, the established regional policies. Some plans show an excellent relationship between regional policies and the projects in the Action Element.

The Butte County Association of Governments RTP provides a good example of the linkage between regional policies and the projects in the Action Element. The plan discusses the need for linkages to assure that policies guide the development of projects within the framework of state and federal legislation and air quality requirements.

On the other hand, most plans don't provide a meaningful linkage. For example it may be the policy of the region to have equal access to all modes of transportation by all citizens. Yet in the Action Element there may not be a single transportation project that addresses issues of limited access in the region.

A-2-1D4 (The Action Element) Is consistent with the financial constraints
The Action Element identifies the transportation projects to be developed and the Financial Element identifies all funding projected to be available within the specified time frame. However some RTPs identify bond measures or other tax enhancements to support the development of transportation services, improvements or enhancements. Most of the RTPs do excellent work in identifying baseline projects and plan additional projects, if additional funds are available.

The Modoc County RTP identifies in great detail the current and anticipated revenues from all available sources to implement projects in the Action Element.

A-2-1D5 (The Action Element) Conforms to the revenues identified in the Financial Element
The vast majority of transportation projects identified in the Action Element are funded by a combination of state and federal resources. These resources are available for specific modes, within specific years, for specific purposes. Each transportation project or group of projects must be allocated adequate funding and identified in the Financial Element. The issue is that anticipated state and federal allocations are not guaranteed to be available in future years. The plan has to be developed using realistic assumptions on available funding identified in the Financial Element. Most plans assume available funding based on past allocations. Some plans actually fail to identify any relationship between individual projects in the Action Element and the revenues in the Financial Element.

A-2-1D6 (The Action Element) Conforms to the costs in the Financial Element
As part of the transportation planning process, the cost of providing transportation projects, services and maintenance should be clearly identified. Each project identified in the Action Element is required to include basic cost information. This information is provided so that those projects, while clearly needed, may not be financially feasible, so they should not be considered for programming.

The cost of all projects identified in the Action Element is required to match the revenues identified in the Financial Element. Many RTPs have only a "ball park estimate" of project costs. In some cases the cost of a multitude of projects is grouped under a single heading and this cost is identified in the Financial Element. In most plans it is unclear whether the cost estimates include environmental reviews and other necessary activities associated with project development.

A-2-1D7 (The Action Element) Includes a discussion of Highways
All RTPs included a discussion of highways. Some plans identified highway improvements in the Action Element while other plans used a modal approach and had a highway section that included various elements. For all regions in California, highway improvements constitute the principle form of transportation investment. While there is considerable need for alternatives to automobile travel on highways, streets, and roads, the vast majority of regional agencies direct most of the available funding to planning, maintenance and expansion of the highway system.

A-2-1D8 (The Action Element) Includes a discussion of Mass Transportation
The overwhelming majority of the plans included a discussion of Mass Transportation. In many large, urban areas, mass transit is well established and receives a consistent

revenue stream. In small, urban areas, mass transit is a small but growing presence. In the plans submitted by most rural areas, transit was briefly mentioned but not considered a viable option. Reasons provided include; low population densities and low demand, long distances and often adverse weather conditions making schedules haphazard.

A-2-1D9 (The Action Element) Includes a discussion of Aviation
All transportation plans included a discussion of Aviation. The aviation mode in an overwhelming majority of the RTPs includes a comprehensive discussion of needs and growth projections. Unfortunately there is very limited, if any, discussion concerning the issues of ground access to airports. The major airports generate enormous ground access traffic. Passengers, airport personal, airport supplies and maintenance needs as well as goods movement and parking needs all are impacted by the growth in aviation activity. Current statutes (Government Code 65081.1) require that all RTPs address ground access improvements if the primary airport is over 10,000 enplanements.

A-2-1D10 (The Action Element) Includes a discussion of pedestrian needs
Relatively few RTPs developed by the MPOs addressed pedestrian needs, despite being a required topic for inclusion in the development of the RTP. Sidewalks and walking paths are perceived as transportation components of cities and other population clusters and not the purview of the region's transportation network.

Many of the rural areas address pedestrian needs extremely well in their RTP. For example, Amador County, a rural RTPA, is developing a Pedestrian Master Plan for the entire county that includes a short-range and long-range program.

A-2-1D11 (The Action Element) Includes a discussion of non-motorized transportation
The overwhelming majority of the RTPs included a discussion of non-motorized transportation. However, because of the land-use patterns in California, characterized by wide spread, dispersed development, many plans note that the long distances between work, school, shops and residences, precludes implementation of non-motorized options for many citizens.

A-2-1D12 (The Action Element) Includes a discussion of Rail Transportation
Most plans included an appropriate discussion of Rail Transportation. In many areas of California, rail transportation either does not exist or rail provides a very low level of service. In the few areas where rail is a viable option, the plans provide a comprehensive discussion of the rail system.

The San Diego Association of Governments provides an excellent example of Rail Transportation Planning. High-speed rail is addressed in its "Goals, Policies and Issues" section, intercity and high-speed rail is addressed in its transit section, and intercity rail is addressed in its actions section.

A-2-1D13 (The Action Element) Includes a discussion of Maritime Transportation
The major maritime transportation activity in California is cargo rather than passenger transportation. The major ports of California are located in Oakland, Los Angeles, and Long Beach. These ports are discussed in their regions' RTP but in our opinion are not given adequate attention with respect to their significant impact upon their regions' transportation system. The smaller ports such as those in Stockton and Sacramento are given even less attention.

The extensive growth of goods movement through all of California's ports are expected to expand far into the future and this expansion will have profound effects upon the highway and rail systems. Unlike the other transportation segments, the maritime industry is exclusively goods movement oriented and seems to have been relegated to secondary status behind the movement of people within the regional transportation planning process. The RTPs do not identify public funds to support, maintain, or expand access to or from port facilities. However each RTP provides a minimal, general, discussion of the maritime transportation system and its impact upon the region's immediate roadway network.

A-2-1D14. (The Action Element) Includes a discussion of Goods Movement
A minority of the RTPs reflects a major recognition of the growing impact of truck related goods movement upon the region's highway system. While the trucking industry is addressed at the national level, trucks and truck movement is not directly identified within the scope of the State's planning process. However, trucking activities both greatly influence the regions' highway and rail system and is in turn impacted by public planning, policy and support of the transportation network.

The regional transportation plans generally provide the data to suggest the growing impact of goods movement and attempt to incorporate that data in projecting needs for additional highway capacity or system management strategies such as truck climbing lanes, dedicated truck lanes and "weight-in-motion" scales.

Most of the RTPs also address goods movement as related to their airports and rail systems. However as truck traffic is the dominant force in the goods movement system, the RTPs emphasize the impact of trucks on their highway system with scant attention to rail and airport goods movement related issues.

E. Consistency Requirements of the Checklist

A-2-1E1 The first four years identified in the Financial Element is consistent with the four-year STIP fund estimates adopted by the CTC
The RTPs are not required to develop or provide annual fund estimates or four-year estimates but only project development costs consistent with the Action Element. As a result, not a single plan addresses the STIP fund estimate adopted by the CTC.

A-2-1E2 The Goal Statements are consistent with the Financial Element
As was mentioned previously, all of the plan elements should be internally consistent. Goal statements should be consistent with the Financial Element. In most plans, the goals are written in such general terms that any projects identified in the Financial Element would be consistent with the regional goals.

A-2-1E3 The Policy Statements are consistent with the Financial Element
In most plans the Policy Statements are written in such general terms that consistency of the statements with the Financial Element cannot be determined with any degree of assurance.

A-2-1E14 The Objective Statements are consistent with the Financial Element
In most plans, the Objective Statements are not provided with any degree of measurement and therefore we cannot determine if the objectives are consistent with the Financial Element.

A-2-1E15 The projects included in the ITIP are consistent with the RTP
The vast majority of the plans did not address ITIP projects and therefore consistency with the RTP cannot be determined.

A-2-1E16 The projects included in the RTIP are consistent with the RTP
The vast majority of the plans did not address RTIP projects and therefore consistency with the RTP cannot be determined.

F. Performance Measurement Requirements of the Checklist

A-2-1F1 Includes objective criteria for measuring system outcomes
The RTPs are required to initiate work in developing transportation system performance measures. In order to measure progress in achieving objectives, measurable criteria must be developed and used. The incremental implementation of transportation system performance measures should reflect the relationship between goals and their measurable objectives. If the objectives are not measurable then any performance measures proposed may not indicate whether or not the objectives are achieved.

While all Plans reflect progress in developing performance measures since submittal of their last RTPs, enhanced progress will further increase Plan performance measures, their implementation and use. The degree of implementation varied among regional agencies and they are in the process of gradual implementation of performance measures.

G. Environmental Considerations of the Checklist

Checklist Items

A-2-1G1 Contains the appropriate environmental documentation
With respect to CEQA documentation, most of the MPOs and RTPAs submit a Program EIR with the RTP, rather than preparing a negative declaration. The Program EIR is generally is not very complete or well developed, however. Typically, the Program EIR documents defer evaluation of impacts until project level analysis.

In addition, cumulative impacts are generally not addressed in the Program EIR. A major project that would significantly impact the environment is often separated into pieces that have no significant impact. A small project sometimes is gradually and incrementally expanded into a considerably larger and environmentally more significant

project. Since a negative declaration has already been approved, it is harder for project opponents to make their case that the project would damage the environment.

Additional areas that need to be strengthened include the following: stronger purpose and need statements, explanation of sequencing of related projects, greater consistency with adjacent county plans, and coordination and development of strategies with adjacent counties regarding growth-related issues.

A-2-1G2 Discusses the way the plan will conform to the State Implementation Plan including TCM implementation

Regional agencies that are subject to conformity requirements do provide a summary of the results of the conformity analysis in the RTP. The summary refers to the conformity documentation, which is usually provided in one of the appendices to the RTP. In many cases, the summary in the RTP is very brief; and the discussion in the conformity determination addresses the critical issues, such as implementation of transportation control measures.

A-2-1G3 RTPs for non-attainment areas document coordination with the ARB to ensure conformity with the SIP

MPOs and RTPAs in non-attainment areas coordinate development of their RTP with the Air Resources Board as part of the interagency consultation process.

H. Supporting Data of the Checklist

A-2-1H1 The RTP includes or identifies supporting documents

Many of the RTPs do not provide or identify supporting documents. Those that do provide supporting documentation tend to provide extensive, relevant and excellent documentation.

APPENDIX C
BACKGROUND INFORMATION ON AIR QUALITY IMPACTS ON RTPs

Background: Federal and State Air Quality Requirements

Regional transportation agencies must work within the framework of both federal and state air quality laws when developing transportation plans, programs and projects. The federal Clean Air Act (CAA) of 1977 established the National Ambient Air Quality Standards (NAAQS). These standards required that certain pollutants not exceed specified levels, or thresholds. Areas with levels that exceed the standard for specified pollutants (ozone, carbon monoxide, and particulate matter) are designated non-attainment areas by the U.S. Environmental Protection Agency (U.S.EPA). The CAA introduced the concept of transportation conformity that shapes transportation decisions in non-attainment areas and areas that have adopted maintenance plans. To qualify for federal funding in these areas, transportation plans, programs, and projects must be consistent with air quality goals in the State Implementation Plan (SIP). Transportation investments cannot create new violations of Federal air quality standards, increase the frequency or severity of existing violations, or delay attainment of the standards.

The federal CAA requires each state containing non-attainment areas to develop and submit a State Implementation Plan (SIP) to the U. S. EPA, specifying emission control measures to be implemented by a specified attainment deadline to attain the NAAQS. To meet this requirement, the local Air Pollution Control Districts have the responsibility of developing the region's SIP, typically in consultation with the MPO. Because emissions from motor vehicles make a significant contribution to air pollution, the CAA requires that transportation policymakers make a commitment to programs and projects that will help achieve national air quality goals. In the development of the SIP, the Air Pollution Control Districts adopt programs to reduce transportation-related emissions through strategies that increase the efficiency of the transportation system and reduce motor vehicle use.

Examples of transportation control measures (TCMs) include programs for improved public transit, construction or restriction of roads for high-occupancy vehicles (HOV) use, employer-based transportation management plans, trip-reduction ordinances, traffic flow improvement programs that achieve emissions reductions, programs to limit or restrict vehicle use in downtown areas, and programs to control extended idling of vehicles.

A critical component of an area's SIP is the motor vehicle emission's budget, which sets the maximum emissions allowable for the area. MPOs in non-attainment and maintenance areas must prepare a conformity analysis when adopting an RTP or RTIP. The results of this analysis must demonstrate the projected emissions from the RTP and the TIP are at or below the emissions budgets in the SIP. The RTIP must be consistent with the conforming RTP, and the RTIP must conform to the SIP.

In addition, sponsors of transportation projects that require federal approval are responsible for assessing project conformity. For a transportation project to receive federal funding in a non-attainment or maintenance area, it must be in a conforming RTP and a conforming RTIP. The Federal Highway Administration and the Federal Transit

Administration have final approval of conformity determinations for RTPs, TIPs, and projects.

Conformity regulations represent the link between transportation and air quality planning. The key to success in implementing conformity regulations is through interagency consultation with local air districts and transportation planning agencies, as well as with state and federal agencies.

After development of the Federal Clean Air Act, California adopted the California Environmental Quality Act (CEQA) in 1970, with state air quality standards that are even higher than the NAAQS. Areas that meet the federal requirements, but not the stricter California standards set forth under CEQA, may still qualify for federal transportation funding and are not subject to CEQA requirements.

The purpose of CEQA is to inform governmental decision makers and the public of the potential significant environmental effects relating to proposed activities; identify ways that environmental damage can be avoided or significantly reduced; and require changes in projects through the use of alternatives or mitigation measures when feasible. If the projects proposed in the RTP will have a significant environmental impact, CEQA requires that the MPO or RTPA prepare a Program Environmental Impact Report (EIR) for the RTP. A negative declaration may be prepared if the MPO or RTPA determines the projects in the RTP will not result in any significant environmental impacts. An EIR addendum may be prepared when proposed changes to the RTP do not create any new significant environmental impacts. A Subsequent EIR is required when substantial changes occur that result in new significant environmental effects or a substantial increase in the severity of previously identified effects. While the key to conformity is interagency consultation, the key to success in implementation of CEQA regulations is identification and analysis of a range of alternatives.

APPENDIX D
INTEGRATION OF THE RTPs WITH THE CALIFORNIA TRANSPORTATION PLAN (CTP)

Within California there are a multitude of planning processes underway at any one time. Housing plans, population projection impacts, economic development, job location analysis, water resource plans, parks and recreation plans and tourist planning all vie for the public's interest. Even within the transportation arena transportation plans often are developed on parallel time frames with minimum interaction.

The regional transportation plans are required by state and federal legislation with guidelines developed by the California Transportation Commission. The Regional Transportation Planning process in California began in 1972 with the passage of the AB 69. The regions are responsible for meeting the state and federal requirements. The California Transportation Plan (CTP) has been required to be developed with federal legislation, the ISTEA of 1991. The plans serve different decision makers, have different requirements and lack uniform oversight. As the CTP is a policy document without specific identified projects there is minimal risk of overt conflicts with the RTPs.

As was previously mentioned, one of the major differences between the CTP and the RTPs is the identification of "issues". The regional transportation plans are not required to specifically identify current problems they wish to address or even "trends" that may adversely impact California's transportation system.

The CTP identifies ten "Relevant Trends" that will have a high impact upon the state's transportation system. The following discusses these trends and corresponding narrative generally found within the regional transportation plans.

1 – Population

The CTP projects California's population to increase by one third within the next 20 years. The majority of the growth will occur in the urban areas. Most of the RTPs likewise provide population projections and some even identify high regional growth areas.

2 – Demographics

The CTP addresses age characteristics of the expanding population. The young and the elderly segments of the population will be increasing as a percentage far more than the entire general population. The growth in population of these age groups would require far more transit and other transportation options than is currently available. While some of the RTPs address these same transportation related demographic issues, the emphasis of these plans is still on automobile related projects.

3 – Safety

The CTP identifies specific traffic, pedestrian, and bicycle fatalities. While accident and fatality rates have been declining, the need for safety continues to be the highest priority by transportation providers. Most of the RTPs do not address safety is an issue or trend to address.

4 – Security

The CTP addresses the issue and trends of security. As the RTPAs were just completing their RTPs, security is not identified in most of the plans. However is can be assumed that issues of security will be a major addition to plans in the future.

5 – Economy

Developing and maintaining economic vitality is a major statewide concern. Providing a supportive transportation system that results in the timely and reliable delivery of goods and services is essential to the state's economic health. Most of the RTPs do not have a direct focus on economic issues. Their goals and policies tend to be written in general terms without demonstrating the high priority that the state gives in promoting economic vitality.

6 - Environment

The CTP and the overwhelming majority of the RTPs address the issues associated with the environment. The CTP and most of the RTPs share emphasis on air quality, quality of life issues and impacts on the natural environment.

7 – Technology

The CTP addresses an emerging trend of applying advanced technology to the transportation sector. New technology is expected to provide major advances in safety and efficiency as well as provide alternatives to transportation itself. Not surprising, much less than a majority of the RTPs address new technology. Technology tends to be expensive and when unproven or new, is not readily adopted when funding is scarce.

8 – Travel Behavior

The CTP identifies "Travel Behavior" as a new trend. With the aging population, inadequate road capacity and increasing urban sprawl, there is far more traffic at more times of the day. As traffic and travel increases, congestion results far more frequently. Many of the RTPs identify increase congestion as a problem but do not address the primary causes of this trend (expect general population increases) nor generally suggest specific solutions.

9 - Increasing demand for transportation

Linked with travel behavior and an expanding population, the CTP identifies "Increasing Demand for Transportation" as a major trend to address. The RTPs are in agreement with this trend. In just about all areas of the state, the traveling population is expanding, transit readership is growing, and goods movement on the roads, at the airports and seaports is expanding.

10 – Financing Shortfall and Dilemma

The final trend identified by the CTP is the "Financing Shortfall and Dilemma". This trend is defined as "while the need for transportation and transportation services is increasing, the resources to meet these needs are decreasing". All of the RTPs are in agreement with the assessment that additional funds are necessary to meet the growing transportation needs.

APPENDIX E
TRANSPORTATION FUNDING

Transportation Equity Act for the Twenty-First Century (TEA 21)

The Transportation Equity Act for the Twenty-First Century (TEA 21) is landmark federal legislation that provided a record level of transportation revenue, increasing the predictability, equity and flexibility of funding. First created under the Intermodal Surface Transportation Efficiency Act (ISTEA) of 1992, flexible funding allowed regions and communities to consider all transportation options and their impacts on traffic congestion, air pollution, urban sprawl, economic development, and quality of life. In addition, TEA 21 improved the planning process by encouraging partnerships between state and local agencies to develop transportation investments. It also increased mobility by encouraging development of Intermodal connections in an integrated transportation system. TEA 21 will expire September 30, 2003, so policymakers are developing proposals for its reauthorization based on evaluation of successful initiatives developed under ISTEA as well as TEA 21, and identification of continuing challenges to the transportation system.

Reauthorization of TEA 21 presents an opportunity to continue to strengthen the state's transportation system by identifying areas for improvement. Review of the Financial Element of the RTPs indicates that one of the most critical issues facing the regions is the need for increased funding to meet the growing demand for transportation, while meeting requirements designed to protect our environment and our communities. Reauthorization of TEA 21 is an extremely important issue for MPOs and RTPAs because it will affect the level of funding available to regional agencies for future transportation projects.

Growing Demand for Transportation

Recent trends indicate that current sources of transportation revenue may not be sufficient to meet California's growing transportation needs in the future. Currently, California is adding over 650,000 people per year, almost a two percent annual increase in population. As of January 1, 2002, California was home to 35,037,000 people, which is a 47 percent increase since 1980. [1] The State's population is expected to continue growing at a rapid pace in the future. According to the Department of Finance, California's population is projected to reach 45,821,900 by the year 2020. [2]

In recent years, the number of miles driven on state highways in California increased even faster than the state's population.[3] Californians now make more trips and travel longer distances due to dispersed development patterns leading to greater growth in suburban areas and loss of population in the central cities. Separate zoning within these areas results in increased travel distances between home, work, and shopping. Other factors contributing to increased driving include increases in household income, the

[1] California Department of Finance: *Population Estimates for California Cities, May 2002* and *Components of Population Change.*
[2] California Department of Finance: *Interim County Population Projections, June 2001.*
[3] Legislative Analyst's Office: *California Travels; Financing Our Transportation, May 2000,* pp. 6-7.

number of households, and the number of women in the labor force. Due to funding constraints, the capacity of the highway system has not kept pace with this growing demand. The imbalance between demand for driving and supply of freeway capacity resulted in increased congestion, travel delays, and air pollution in urban areas. Future transportation policies need to improve the efficiency of the transportation system, providing financial incentives to promote better land use decisions, and encouraging greater investment in alternative transportation.

Adequacy of Future Funding to Meet the Growing Demand

California currently spends over $15 billion annually to maintain, operate, and improve its transportation system.[4] In the future, even greater resources will be needed to keep pace with increasing demand for transportation. In 1999, Senate Resolution 8 directed the CTC to provide an estimate of funding needs for California's transportation system over the following 10 years. The "SR 8 Report" concluded that the state would experience a shortfall in transportation funds of between $106.8 and $116.9 billion dollars over the ten-year period. These numbers are not precise, due to inconsistencies in accounting and reporting practices among agencies surveyed.[5]

Transportation revenue is derived from a complex array of funding sources at the federal, state, and local level. Since 1923, the largest source of transportation revenue has been state and federal fuel taxes. Currently, the state fuel tax is set at 18 cents per gallon and the federal fuel tax is 18.4 cents per gallon. Together they generate over $6 billion a year for California's transportation programs and projects. [6] Fuel taxes are easy and inexpensive to collect. They are user fees, which provide benefits to those who use the transportation system. Other forms of user fees that fund transportation improvements include tolls, transit fares, and sales tax on fuel at the current rate of 6 percent. [7] In addition, property taxes, developer fees, and benefit assessment districts provide revenue for the state's transportation investments. Finally, California traditionally raises transportation revenue from local sales tax and general funds. In 1990 and 1996, however, the State pledged general funds to repay general obligation bonds. In 2000, the Governor's Traffic Congestion and Relief Program (TCRP) and the Transportation Investment Fund provided $8.6 billion for transportation from the State General Fund. [8]

In the past, revenue from fuel taxes increased as the number of cars and the number of miles Californians drive has increased. However, the fuel tax is expected to become less effective as a revenue source in the future. For one reason, fuel taxes fail to keep pace with inflation because the tax is a flat rate, which loses purchasing power over time. Increased fuel efficiency of cars further reduces fuel-tax revenue relative to the number of miles driven. Alternative fuel vehicles, developed to improve air quality and increase energy efficiency, will increase in number due to the state requirement that 10

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[4] Financing Transportation in California: Strategies for Change, by Matthew Adams, Rachel Hiatt, Mary C. Hill, Ryan Russo, Martin Wachs, and Asha Weinstein, Institute of Transportation Studies, UC Berkeley, pg. i. **Reza will provide the final report: when I get it, double check the page number of each footnote.**

[5] Ibid, p. 2

[6] Ibid, p. 13

[7] Ibid, p. 19.

[8] Financing Infrastructure for the 21st Century, Transportation Report, p. 77

percent of cars sold in California must be zero-emission cars by 2003. [9] The legislature has the power to increase the amount charged per gallon to pay for transportation investments, but has been reluctant to do so during a period of high gas prices, in anticipation of public reaction. Fuel tax will remain the main source of transportation revenue in the short term, however, if these concerns are not addressed, it may be inadequate for California's long-term transportation needs.

Since the mid-1980's, many counties have placed limited-term sales tax measures on the ballot to generate revenue for specific transportation programs and projects, raising approximately $28 billion from 1984 to 2000. In 1998-1999, these taxes generated an estimated $1 billion, or 7 percent of the state's transportation revenue.[10] Local sales tax initiatives only fund specific, short-term capital projects that appeal to the general public. These tax measures generate revenue for a specific time period, and they all expire, or "sunset," by the year 2010 or earlier. These "local option" sales taxes cannot be extended without another vote: it is unlikely they will all be extended, due to the two-thirds vote now required, as opposed to the simple majority required when enacted.

Transportation revenue from both state and local sales tax will be impacted by overall economic conditions and future trends in consumer buying behavior. Revenue generated from state and local sales tax may decline, because increasing numbers of Internet consumers do not pay state and local sales taxes.

Long-term funding is likely to remain stagnant or diminish due to dependency primarily on the gas tax, as well as expiring sales tax measures for transportation financing. Therefore traditional revenue sources need to be thoroughly evaluated in terms of stability and effectiveness, and alternative funding sources explored in terms of equity, efficiency and public support. As a result, Assembly Concurrent Resolution (ACR) No. 32 requires the CTC, in consultation with the Department, to study potential decreases in transportation revenue for transportation planning agencies, and study alternative funding strategies.

Alternative Funding Sources

Since current revenue sources are not sufficient for California's growing transportation needs, alternative funding sources need to be explored and evaluated to develop long-term solutions and avert a funding crisis in the future. Fuel taxes can be increased to keep pace with inflation, improving fuel economy, and use of alternative fuel vehicles. One alternative to fuel taxes is a vehicle-mile-traveled (VMT) fee. Like fuel taxes, a VMT fee would be a direct user fee charged to drivers based on regular odometer readings of each vehicle. It would be a stable revenue source, regardless of increased fuel efficiency or use of zero-emission vehicles. Like fuel taxes, however, VMT fees lose

[9] Westways (AAA magazine), Nov/Dec 2000,"Taxing Our Highways, Part Two" by Martin Wachs and Dan Beal, p. 2

[10] Financing Transportation in California: Strategies for Change, by Matthew Adams, Rachel Hiatt, Mary C. Hill, Ryan Russo, Martin Wachs, and Asha Weinstein, Institute of Transportation Studies, UC Berkeley, pg. 25.

their real value over time due to inflation. In addition, the cost of administration and collection of VMT taxes may be higher than that of fuel taxes. [11]

Toll collection is not a traditional mechanism for generating transportation revenue in California, however, several new toll roads and high occupancy vehicle (HOT) lanes have been built recently. Ideally, toll collection should generate revenue for the specific corridor from which it is collected, providing a direct link between the user fee and benefits received. The development of electronic toll collection, has improved both the administrative costs and convenience to drivers. Concerns remain over public acceptance of toll collection and possible resistance to paying twice for highway investments – once in taxes, and again through tolls. To gain public support, it is recommended that toll roads be reserved for construction of new lanes or new highways, and where benefits are tangible, such as shorter travel times in congested urban areas. Concerns over social equity need to be addressed by constructing toll roads near alternative freeways.

Tolls can vary according to vehicle class so heavier vehicles pay more to compensate for extra damage to the roads. In addition, "variable pricing" or "congestion pricing" offers an opportunity for efficient management of the transportation system through incentives for travelers to drive at off-peak travel times, with tolls rising during peak periods and falling during off-peak hours. Both HOT lanes on State Route 91 in Orange County and on Interstate 15 in San Diego County successfully use a form of variable pricing. [12]

The term, "innovative financing," refers to debt financing, a departure from the state's traditional "pay as you go" transportation financing. Debt or "innovative" financing, however, does not generate new funding sources. It simply is a means of incurring debt and borrowing against future revenue. In 1998, the Transportation Infrastructure Finance and Innovation Act expanded the role of federal credit in transportation finance in the form of TIFIA loans, a financing mechanism for revenue-generating infrastructure. In 1999, TIFIA loans were approved in anticipation of future toll revenue for California's State Route 125 in San Diego. [13]

In 1996, California was one of ten states to establish a State Infrastructure Bank, which is authorized to make loans to counties, cities, and agencies for transit, city streets, county and state highways, as well as parks and school facilities. It provides California the ability to leverage state and federal funds, accelerate projects, and access low-cost capital, and ability to reuse one-time appropriations for new projects as loans are repaid.[14]
States also use Grant Anticipation Revenue vehicles (GARVEE Bonds) to fund highway improvements and Transit Grant Anticipation Notes (GANs) to fund transit investments, in anticipation of receiving federal funds in the future to repay the debt. [15] GARVEE

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[11] Financing Transportation in California: Strategies for Change, by Matthew Adams, Rachel Hiatt, Mary C. Hill, Ryan Russo, Martin Wachs, and Asha Weinstein, Institute of Transportation Studies, UC Berkeley, pg. 51-52.)

[12] Ibid, p. 58
[13] Ibid, p. 73-75
[14] Ibid, p. 75
[15] Ibid, p. 76

bonds could be considered for projects that only qualify for state funding, or for selected high-cost, high-priority projects in the future.

Increased use of debt financing for California's transportation infrastructure may be appropriate for selected projects, including new infrastructure that is directly linked to new transportation revenues. A rigorous cost-benefit analysis should indicate that the benefits of avoiding inflation and reducing congestion sooner outweigh the interest costs. When considering use of debt financing, agencies need to consider the risk of committing future revenues for repayment of principle and interest, in addition to substantial ongoing expenditures for operations, maintenance, and replacement.

California has limited experience with public-private partnerships, another type of debt financing in which private companies provide construction and operation of new infrastructure. While there are potential financial benefits, the public and private sector have conflicting goals: public agencies want to increase mobility, while private firms want to ensure a favorable return on investment, by restricting construction of new infrastructure that would divert traffic from private facilities. In general, private companies seem more interested in project construction than in operation of the transportation system. [16]

[16] Ibid, p. iii.

APPENDIX F
REGIONAL TRANSPORTATION PLANNING LEGISLATION OVERVIEW

Legislative Requirements Relating to Development of the Regional Transportation Plans Developed Prior to the Regional Transportation Plan Guidelines

RTP Development
California Government Code (GC) requires regional transportation planning agencies prepare a Regional Transportation Plan, which includes a Policy Element, an Action Element, and a Financial Element (GC, section 65080). In addition, agencies are required to conduct a public hearing prior to adopting the RTP, posting a notice at least 10 days prior to the hearing (GC, section 65090). Related legislation authorizes the California Transportation Commission (CTC) to prescribe study areas for analysis and evaluation and to issue guidelines for the preparation of the RTP (GC, section 14522).

RTIP Development
California government code § 65080 requires regional agencies and county transportation commissions to prepare and adopt a Regional Transportation Improvement Plan (RTIP) if the population of the urbanized area exceeds 50,000). In addition, the California Department of Transportation is required to prepare and submit to the CTC a review and evaluation of the RTPs and the RTIPs and any inconsistencies between them (GC, section 14032a).

EIR Requirement
The California Environmental Quality Act (CEQA) requires all public agencies in the state to assess the environmental impacts of each discretionary plan, program and project it undertakes (Public Resource Code 21000et seq.). (While not specifically identified, CEQA has been interpreted to require each RTP to have an Environmental Impact Report.) CEQA requires an environmental impact report to be prepared if a planned project will have a significant effect on the environment (Public Resource Code 21002.1d). Code of Regulations (Title 14 Division 6, Chapter 3 15000-15387) provides comprehensive CEQA regulatory guidance in areas of planning, programming, and project development. In other environmental legislation, the California Clean Air Act requires air quality plans to include reasonably available transportation control measures, and specifies performance standards for serious and severe areas (Health and Safety Code 40717).

Federal Requirements for RTP Development
United States Code, Title 23 – Highways, Section 134 (a) requires Metropolitan Planning Organizations (MPOs), in cooperation with the State, to develop transportation plans and programs for urbanized areas of the State. The goal of this legislation is to develop an intermodal transportation system within and through urbanized areas of the State that improves mobility for people and goods and minimizes transportation related fuel consumption and air pollution.

Use of Federal Funds for Planning

Section 104 (f) of the federal statutes sets aside one percent of the funds authorized for the National Highway System (NHS), STP, CMAQ, Interstate Maintenance Program, and the Bridge Program for transportation planning in urbanized areas by metropolitan planning agencies.

TEA - 21

The Transportation Equity Act of the 21st Century (TEA-21), which amended Title 23 Section 134 (f) of the United States Code, requires MPOs to consider seven planning factors when developing their transportation plans and programs:

- Support the economic vitality of the metropolitan area, especially by enabling global competitiveness, productivity, and efficiency;
- Increase the safety and security of the transportation system for users of both the motorized and non-motorized sections;
- Increase the accessibility and mobility options available to people and for freight;
- Protect and enhance the environment, promote energy conservation, and improve the quality of life;
- Enhance the integration and connectivity of the transportation system, across and between modes, for people and freight;
- Promote efficient system management and operation and;
- Emphasize the preservation of the existing transportation system.

Federal Air Quality Requirements

Regions are classified as non-attainment areas if they do not meet the national air quality standards set forth in the Clean Air Act with respect to levels of ozone and carbon monoxide. Agencies in non-attainment areas are required to prepare a State (Air Quality) Implementation Plan (SIP), which is designed to eliminate or reduce the severity and number of violations of the national air quality standards (7504b). These agencies also need to ensure that the area's transportation planning process under Title 23, Section 34 complies with the SIP requirements (7504b). Public Health and Welfare Title 42, Chapter 85, states that the MPO may not approve any plan, program or project which does not conform to the region's State Implementation Plan. Implementation of projects identified in the RTP is not to contribute to any new violations of air quality standards, increase the severity of any existing violations, or delay timely attainment of a standard or required interim emissions reductions (7506c).

California Legislative Requirements Relating to Development of the Regional Transportation Plans that became law after the 1999 Regional Transportation Plan Guidelines were adopted by the CTC

RTP Adoption Dates

Legislation amended GC, Section 65080, to require each transportation planning agency to adopt and submit an updated Regional Transportation Plan to the California Transportation Commission and the California Department of Transportation every three years, instead of every two years, beginning September 1, 2001. A transportation planning agency that is not in an urbanized area may submit a Regional Transportation Plan once every four years, beginning September 1, 2001.

Additional Policy Element Requirements

California GC section 65080 requires planning agencies to include in the RTP a Policy Element that describes the transportation issues in the region, identifies and quantifies regional needs, and describes the desired short-range and long-range transportation goals, and pragmatic objective and policy statements, which needs to be consistent with funding estimates in the Financial Element. Metropolitan Planning Organizations may quantify a set of indicators including measures of mobility and traffic congestion, means of travel, safety and security, equity and accessibility, and road and bridge maintenance.

Additional Action Element Requirements

Under California GC section 65080. (C) Planning agencies are required to develop an "action element" that describes projects and programs necessary to implement the plan and assigned implementation responsibilities. Projects may include congestion management programming activities to be carried out within the region. The Action Element may describe all projects proposed for development over a 20-year period.

Additional Financial Element Requirements

Amendments to GC, Section 65080 requires planning agencies to provide a Financial Element that summarizes the cost of plan implementation constrained by a realistic projection of available revenues. The Financial Element is to contain recommendations for allocation of funds. The first five years of the Financial Element is to be based on the five-year estimate of funds developed in accordance with Section 14524. The Financial Element may recommend the development of specified new sources of revenue, consistent with the Policy Element and Action Element.

RTPs may add additional elements of regional significance

An additional amendment to GC Section 65080 authorizes local transportation planning agencies to include factors of local significance as elements of Regional Transportation Plans, including issues of mobility for senior citizens.

Special Corridor Designation

As per GC, Section 65081.3, when adopting Regional Transportation Plans, the designated county transportation commission, regional transportation planning agency, or the Metropolitan Transportation Commission (MTC) may designate special corridors, which may include adopted state highway routes, determined to be of statewide or regional priority for long-term right-of-way preservation.

APPENDIX G
STATE LEGISLATION IMPACTING REGIONAL TRANSPORTATION PLANS

California Government Code

14000. The Legislature hereby finds and declares as follows:
(a) Continued growth in transport demand resulting from population growth, concentration of population in urban areas, and increasing mobility requirements indicate a need for innovative, as well as improved, systems to accommodate increased demand.

(b) The diversity of conditions in California is such as to require a variety of solutions to transportation problems within various areas of the state. Differences in population levels and densities, living patterns, social conditions, topography, climate, environmental circumstances, and other factors should be recognized in determining appropriate solutions to transportation problems in the various areas. Particular attention must be given to differences among the metropolitan, the less urbanized, and the more rural areas of the state. In some cases, future demands, particularly in urban corridors, may prove to be beyond the practical capabilities of a highway solution; while in other cases, environmental conditions may rule out a highway solution. In still other cases, heavy reliance upon highway transportation may prove to be satisfactory for the foreseeable future. Clearly, the appropriate mix of transportation modes throughout California to provide economical and efficient transportation service consistent with desires for mobility, will vary markedly from time to time and from area to area within the state.

In all cases, regional and local expressions of transportation goals, objectives, and policies which reflect the unique characteristics and aspirations of various areas of the state shall be recognized in transportation planning tempered, however, by consideration of statewide interests.

(c) A goal of the state is to provide adequate, safe, and efficient transportation facilities and services for the movement of people and goods at reasonable cost. The provision of adequate transportation services for persons not now adequately served by any transportation mode, particularly the disadvantaged, the elderly, the handicapped, and the young, should be an integral element of the planning process. Stimulation of the provision of transportation not only for speed and efficiency of travel, but also for convenience and enjoyment in shopping, school, cultural, and business pursuits, leisure time travel, and pedestrian travel, is also a state aim. It is the desire of the state to provide a transportation system that significantly reduces hazards to human life, pollution of the atmosphere, generation of noise, disruption of community organization, and adverse impacts on the natural environment. The desirability of utilizing corridors for multimodal transportation, where possible to improve efficiency and economy in land use, is recognized. The coastal zone should be provided with optimal transportation services consistent with local and regional goals and plans, with the objective of conserving the coastal resource.

(d) The responsibilities for decision making for California's transportation systems are highly fragmented. This has hampered effective integration of transportation planning and intermodal coordination. A comprehensive multimodal transportation planning process should be established which involves all levels of government and the private sector in a cooperative process to develop coordinated transportation plans.

(e) Accelerating change and increasing transportation problems require that California take timely action to maintain viable transportation systems. As long lead times are necessary to develop transportation systems, the planning and development of transportation in California should be coordinated by a Department of Transportation. A multimodal transportation Department in state government is in keeping with the necessities of contemporary problems and the thrust of federal involvement. However, there is no intent to diminish or preempt the

existing authorities and responsibilities of regional, local, and district transportation agencies in their handling of transportation matters which are local or regional in nature.

(f) The stimulation, continuance, and improvement of statewide, regional, and local transportation planning and development are a matter of state concern, and the state should, for this reason, provide a portion of the financial resources and assistance necessary to aid in preparing transportation plans, developing effective transportation decision making processes, and carrying out implementation programs.

14000.5. The Legislature further finds and declares that the role of the state in transportation shall be to:

(a) Encourage and stimulate the development of urban mass transportation and interregional high-speed transportation where found appropriate as a means of carrying out the policy of providing balanced transportation in the state.

(b) Implement and maintain a state highway system which supports the goals and priorities determined through the transportation planning process, which is in conformity with comprehensive statewide and regional transportation plans, and which is compatible with statewide and regional socioeconomic and environmental goals, priorities and available resources.

(c) Assist in the development of an air transportation system that is consistent with the needs and desires of the public, and in which airports are compatible in location with, and provide services meeting, statewide and regional goals and objectives.

(d) Develop a rail passenger network consistent with the needs and desires of the public, and in which the location of rail corridors and their service characteristics are compatible with statewide and regional goals and objectives, except that nothing in this section shall be construed to discourage the development of passenger rail service by privately owned carriers.

(e) Encourage research and development of technological innovation in all modes of transportation in cooperation with public agencies and the private sector.

14032. The Department shall provide reports and analyses for the commission on all of the following:

(a) The review and evaluation of regional transportation plans and improvement programs for the identification of conflicts between such plans and programs.

(b) The identification and analysis of current and potential future issues of importance to transportation within the state.

(c) The preparation of an annual and of a five-year estimate of all federal and state funds available to each region for transportation improvements.

(d) The preparation of special studies as requested by the commission.

(e) Other matters as requested by the commission.

14520. The commission shall advise and assist the Secretary of the Business, Transportation and Housing Agency and the Legislature in formulating and evaluating state policies and plans for transportation programs in the state.

14520.3. (a) The Legislature, through the enactment of Senate Bill 45 during the 1997-98 Regular Session, intends to establish priorities and processes for the programming and expenditure of state transportation funds that are at the discretion of the Legislature and the Governor.

(b) The Department is responsible for the planning, design, construction, maintenance, and operation of the state highway system and Senate Bill 45 is not intended to alter that responsibility.

(c) In addition to other responsibilities established by law, the Department is the responsible agency for performing all state highway project components specified in subdivision (b) of Section 14529 of the Government Code except for construction.

(d) The Legislature, through the enactment of this section, intends that nothing in subdivision (b) of Section 14529 of the Government Code or any other provision in the act that added this section to the Government Code shall be construed to expand or restrict the authority or responsibility of the Department, as provided by statute or the California Constitution, to perform the components described in subdivision (b) of Section 14529 of the Government Code on state highways.

14032.5. The Department may assist regional transportation planning agencies with the preparation of regional transportation plans and improvement programs by providing technical services and other assistance as determined by the director and the transportation planning agency as necessary for the timely and comprehensive discharge of the responsibilities of the transportation planning agency.

14522. In cooperation with the regional transportation planning agencies, the commission may prescribe study areas for analysis and evaluation by such agencies and guidelines for the preparation of the regional transportation plans.

65070. (a) The Legislature finds and declares, consistent with Section 65088, that it is in the interest of the State of California to have an integrated state and regional transportation planning process. It further finds that federal law mandates the development of a state and regional long-range transportation plan as a prerequisite for receipt of federal transportation funds. It is the intent of the Legislature that the preparation of these plans shall be a cooperative process involving local and regional government, transit operators, congestion management agencies, and the goods movement industry and that the process be a continuation of activities performed by each entity and be performed without any additional cost.

(b) The Legislature further finds and declares that the last attempt to prepare a California Transportation Plan occurred between 1973 and 1977 and resulted in the expenditure of over eighty million dollars ($80,000,000) in public funds and did not produce a usable document. As a consequence of that, the Legislature delegated responsibility for long-range transportation planning to the regional planning agencies and adopted a seven-year programming cycle instead of a longer range planning process for the state.

(c) The Legislature further finds and declares that the Transportation Blueprint for the Twenty-First Century (Chapters 105 and 106 of the Statutes of 1989) is a long-range state transportation plan that includes a financial plan and a continuing planning process through the preparation of congestion management plans and regional transportation plans, and identifies major interregional road networks and passenger rail corridors for the state.

65080. (a) Each transportation planning agency designated under Section 29532 or 29532.1 shall prepare and adopt a regional transportation plan directed at achieving a coordinated and balanced regional transportation system, including, but not limited to, mass transportation, highway, railroad, maritime, bicycle, pedestrian, goods movement, and aviation facilities and services. The plan shall be action-oriented and pragmatic, considering both the short-term and long-term future, and shall present clear, concise policy guidance to local and state officials. The regional transportation plan shall consider factors specified in Section 134 of Title 23 of the United States Code. Each transportation planning agency shall consider and incorporate, as appropriate, the transportation plans of cities, counties, districts, private organizations, and state and federal agencies.

(b) The regional transportation plan shall include all of the following:

(1) A policy element that describes the transportation issues in the region, identifies and quantifies regional needs, and describes the desired short-range and long-range transportation goals, and pragmatic objective and policy statements. The objective and policy statements shall be consistent with the funding estimates of the financial element. The policy element of

transportation planning agencies with populations that exceed 200,000 persons may quantify a set of indicators including, but not limited to, all of the following:
(A) Measures of mobility and traffic congestion, including, but not limited to, vehicle hours of delay per capita and vehicle miles traveled per capita.
(B) Measures of road and bridge maintenance and rehabilitation needs, including, but not limited to, roadway pavement and bridge conditions.
(C) Measures of means of travel, including, but not limited to, percentage share of all trips (work and nonwork) made by all of the following:
(i) Single occupant vehicle.
(ii) Multiple occupant vehicle or carpool.
(iii) Public transit including commuter rail and intercity rail.
(iv) Walking.
(v) Bicycling.
(D) Measures of safety and security, including, but not limited to, total injuries and fatalities assigned to each of the modes set forth in subparagraph (C).
(E) Measures of equity and accessibility, including, but not limited to, percentage of the population served by frequent and reliable public transit, with a breakdown by income bracket, and percentage of all jobs accessible by frequent and reliable public transit service, with a breakdown by income bracket.
(F) The requirements of this section may be met utilizing existing sources of information. No additional traffic counts, household surveys, or other sources of data shall be required.
(G) For the region defined in Section 66502, the indicators specified in this paragraph shall be supplanted by the performance measurement criteria established pursuant to subdivision (e) of Section 66535, if that subdivision is added to the Government Code by Section 1 of Senate Bill 1995 of the 1999-2000 Regular Session.

(2) An action element that describes the programs and actions necessary to implement the plan and assigns implementation responsibilities. The action element may describe all projects proposed for development during the 20-year life of the plan. The action element shall consider congestion management programming activities carried out within the region.

(3) (A) A financial element that summarizes the cost of plan implementation constrained by a realistic projection of available revenues. The financial element shall also contain recommendations for allocation of funds. A county transportation commission created pursuant to Section 130000 of the Public Utilities Code shall be responsible for recommending projects to be funded with regional improvement funds, if the project is consistent with the regional transportation plan. The first five years of the financial element shall be based on the five-year estimate of funds developed pursuant to Section 14524. The financial element may recommend the development of specified new sources of revenue, consistent with the policy element and action element.
(B) The financial element of transportation planning agencies with populations that exceed 200,000 persons may include a project cost breakdown for all projects proposed for development during the 20-year life of the plan that includes total expenditures and related percentages of total expenditures for all of the following:
(i) State highway expansion.
(ii) State highway rehabilitation, maintenance, and operations.
(iii) Local road and street expansion.
(iv) Local road and street rehabilitation, maintenance, and operation.
(v) Mass transit, commuter rail, and intercity rail expansion.
(vi) Mass transit, commuter rail, and intercity rail rehabilitation, maintenance, and operations.
(vii) Pedestrian and bicycle facilities.

(viii) Environmental enhancements and mitigation.
(ix) Research and planning.
(x) Other categories.
(c) Each transportation planning agency may also include other factors of local significance as an element of the regional transportation plan, including, but not limited to, issues of mobility for specific sectors of the community, including, but not limited to, senior citizens.
(d) Each transportation planning agency shall adopt and submit, every three years, an updated regional transportation plan to the California Transportation Commission and the Department of Transportation. The plan shall be consistent with federal planning and programming requirements. A transportation planning agency that does not contain an urbanized area may at its option adopt and submit a regional transportation plan once every four years beginning by September 1, 2001. Prior to adoption of the regional transportation plan, a public hearing shall be held, after the giving of notice of the hearing by publication in the affected county or counties pursuant to Section 6061.

65080.1. Once preparation of a regional transportation plan has been commenced by or on behalf of a designated transportation planning agency, the Secretary of the Business, Transportation and Housing Agency shall not designate a new transportation planning agency pursuant to Section 29532 for all or any part of the geographic area served by the originally designated agency unless he or she first determines that redesignation will not result in the loss to California of any substantial amounts of federal funds.

65080.2. A transportation planning agency which has within its area of jurisdiction a transit development board established pursuant to Division 11 (commencing with Section 120000) of the Public Utilities Code shall include, in the regional transportation improvement program prepared pursuant to Section 65080, those elements of the transportation improvement program prepared by the transit development board pursuant to Section 120353 of the Public Utilities Code relating to funds made available to the transit development board for transportation purposes.

65080.3. (a) Each transportation planning agency with a population that exceeds 200,000 persons may prepare at least one "alternative planning scenario" for presentation to local officials, agency board members, and the public during the development of the triennial regional transportation plan and the hearing required under subdivision (c) of Section 65080.
(b) The alternative planning scenario shall accommodate the same amount of population growth as projected in the plan but shall be based on an alternative that attempts to reduce the growth in traffic congestion, make more efficient use of existing transportation infrastructure, and reduce the need for costly future public infrastructure.
(c) The alternative planning scenario shall be developed in collaboration with a broad range of public and private stakeholders, including local elected officials, city and county employees, relevant interest groups, and the general public. In developing the scenario, the agency shall consider all of the following:
(1) Increasing housing and commercial development around transit facilities and in close proximity to jobs and commercial activity centers.
(2) Encouraging public transit usage, ridesharing, walking, bicycling, and transportation demand management practices.
(3) Promoting a more efficient mix of current and future job sites, commercial activity centers, and housing opportunities.
(4) Promoting use of urban vacant land and "brownfield" redevelopment.
(5) An economic incentive program that may include measures such as transit vouchers and variable pricing for transportation.
(d) The planning scenario shall be included in a report evaluating all of the following:
(1) The amounts and locations of traffic congestion.
(2) Vehicle miles traveled and the resulting reduction in vehicle emissions.

(3) Estimated percentage share of trips made by each means of travel specified in subparagraph (C) of paragraph (1) of subdivision (b) of Section 65080.

(4) The costs of transportation improvements required to accommodate the population growth in accordance with the alternative scenario.

(5) The economic, social, environmental, regulatory, and institutional barriers to the scenario being achieved.

(e) If the adopted regional transportation plan already achieves one or more of the objectives set forth in subdivision (c), those objectives need not be discussed or evaluated in the alternative planning scenario.

(f) The alternative planning scenario and accompanying report shall not be adopted as part of the regional transportation plan, but it shall be distributed to cities and counties within the region and to other interested parties, and may be a basis for revisions to the transportation projects that will be included in the regional transportation plan.

(g) Nothing in this section grants transportation planning agencies any direct or indirect authority over local land use decisions.

(h) This section does not apply to a transportation plan adopted on or before September 1, 2001, proposed by a transportation planning agency with a population of less than 1,000,000 persons.

65080.5. (a) For each area for which a transportation planning agency is designated under subdivision (c) of Section 29532, or adopts a resolution pursuant to subdivision (c) of Section 65080, the Department of Transportation, in cooperation with the transportation planning agency, and subject to subdivision (e), shall prepare the regional transportation plan, and the updating thereto, for that area and submit it to the governing body or designated policy committee of the transportation planning agency for adoption. Prior to adoption, a public hearing shall be held, after the giving of notice of the hearing by publication in the affected county or counties pursuant to Section 6061. Prior to the adoption of the regional transportation improvement program by the transportation planning agency if it prepared the program, the transportation planning agency shall consider the relationship between the program and the adopted plan. The adopted plan and program, and the updating thereto, shall be submitted to the California Transportation Commission and the Department pursuant to subdivision (b) of Section 65080.

(b) In the case of a transportation planning agency designated under subdivision (c) of Section 29532, the transportation planning agency may prepare the regional transportation plan for the area under its jurisdiction pursuant to this chapter, if the transportation planning agency, prior to July 1, 1978, adopts by resolution a declaration of intention to do so.

(c) In those areas that have a county transportation commission created pursuant to Section 130050 of the Public Utilities Code, the multicounty designated transportation planning agency, as defined in Section 130004 of that code, shall prepare the regional transportation plan and the regional transportation improvement program in consultation with the county transportation commissions.

(d) Any transportation planning agency which did not elect to prepare the initial regional transportation plan for the area under its jurisdiction, may prepare the updated plan if it adopts a resolution of intention to do so at least one year prior to the date when the updated plan is to be submitted to the California Transportation Commission.

(e) If the Department prepares or updates a regional transportation improvement program or regional transportation plan, or both, pursuant to this section, the state-local share of funding the preparation or updating of the plan and program shall be calculated on the same basis as though the preparation or updating were to be performed by the transportation planning agency and funded under Sections 99311, 99313, and 99314 of the Public Utilities Code.

65081.1. (a) After consultation with other regional and local transportation agencies, each transportation planning agency whose planning area includes a primary air carrier airport shall, in

conjunction with its preparation of an updated regional transportation plan, include an airport ground access improvement program.

(b) The program shall address the development and extension of mass transit systems, including passenger rail service, major arterial and highway widening and extension projects, and any other ground access improvement projects the planning agency deems appropriate.

(c) Highest consideration shall be given to mass transit for airport access improvement projects in the program.

(d) If federal funds are not available to a transportation planning agency for the costs of preparing or updating an airport ground access improvement program, the agency may charge the operators of primary air carrier airports within its planning area for the direct costs of preparing and updating the program. An airport operator against whom charges are imposed pursuant to this subdivision shall pay the amount of those charges to the transportation planning agency.

65081.3. (a) As a part of its adoption of the regional transportation plan, the designated county transportation commission, regional transportation planning agency, or the Metropolitan Transportation Commission may designate special corridors, which may include, but are not limited to, adopted state highway routes, which, in consultation with the Department of Transportation, cities, counties, and transit operators directly impacted by the corridor, are determined to be of statewide or regional priority for long-term right-of-way preservation.

(b) Prior to designating a corridor for priority acquisition, the regional transportation planning agency shall do all of the following:

(1) Establish geographic boundaries for the proposed corridor.

(2) Complete a traffic survey, including a preliminary recommendation for transportation modal split, which generally describes the traffic and air quality impacts of the proposed corridor.

(3) Consider the widest feasible range of possible transportation facilities that could be located in the corridor and the major environmental impacts they may cause to assist in making the corridor more environmentally sensitive and, in the long term, a more viable site for needed transportation improvements.

(c) A designated corridor of statewide or regional priority shall be specifically considered in the certified environmental impact report completed for the adopted regional transportation plan required by the California Environmental Quality Act, which shall include a review of the environmental impacts of the possible transportation facilities which may be located in the corridor. The environmental impact report shall include a survey within the corridor boundaries to determine if there exist any of the following:

(1) Rare or endangered plant or animal species.

(2) Historical or cultural sites of major significance.

(3) Wetlands, vernal pools, or other naturally occurring features.

(d) The regional transportation planning agency shall designate a corridor for priority acquisition only if, after a public hearing, it finds that the range of potential transportation facilities to be located in the corridor can be constructed in a manner which will avoid or mitigate significant environmental impacts or values identified in subdivision (c), consistent with the California Environmental Quality Act and the state and federal Endangered Species Acts.

(e) Notwithstanding any other provision of this section, a corridor of statewide or regional priority may be designated as part of the regional transportation plan only if it has previously been specifically defined in the plan required pursuant to Section 134 and is consistent with the plan required pursuant to Section 135 of Title 23 of the United States Code.

65082. (a) (1) A five-year regional transportation improvement program shall be prepared, adopted, and submitted to the California Transportation Commission on or before December 15

of each odd-numbered year thereafter, updated every two years, pursuant to Sections 65080 and 65080.5 and the guidelines adopted pursuant to Section 14530.1, to include regional transportation improvement projects and programs proposed to be funded, in whole or in part, in the state transportation improvement program.

(2) Major projects shall include current costs updated as of November 1 of the year of submittal and escalated to the appropriate year, and be listed by relative priority, taking into account need, delivery milestone dates, as defined in Section 14525.5, and the availability of funding.

(b) Except for those counties that do not prepare a congestion management program pursuant to Section 65088.3, congestion management programs adopted pursuant to Section 65089 shall be incorporated into the regional transportation improvement program submitted to the commission by December 15 of each odd-numbered year.

(c) Local projects not included in a congestion management program shall not be included in the regional transportation improvement program. Projects and programs adopted pursuant to subdivision (a) shall be consistent with the capital improvement program adopted pursuant to paragraph (5) of subdivision (b) of Section 65089, and the guidelines adopted pursuant to Section 14530.1.

(d) Other projects may be included in the regional transportation improvement program if listed separately.

(e) Unless a county not containing urbanized areas of over 50,000 population notifies the Department of Transportation by July 1 that it intends to prepare a regional transportation improvement program for that county, the Department shall, in consultation with the affected local agencies, prepare the program for all counties for which it prepares a regional transportation plan.

(f) The requirements for incorporating a congestion management program into a regional transportation improvement program specified in this section do not apply in those counties that do not prepare a congestion management program in accordance with Section 65088.3.

(g) The regional transportation improvement program may include a reserve of county shares for providing funds in order to match federal funds.

65089.2. (a) Congestion management programs shall be submitted to the regional agency. The regional agency shall evaluate the consistency between the program and the regional transportation plans required pursuant to Section 65080. In the case of a multicounty regional transportation planning agency, that agency shall evaluate the consistency and compatibility of the programs within the region.

PUBLIC UTILITIES CODE

21702. The California Aviation System Plan shall include, but not be limited to, all of the following elements:

(a) A background and introduction element, which summarizes aviation activity in California and establishes goals and objectives for aviation improvement.

(b) An air transportation issues element, which addresses issues such as aviation safety, airport noise, airport ground access, transportation systems management, airport financing, airport land use compatibility planning, and institutional relationships.

(c) A regional plan alternative element, which consists of the aviation elements of the regional transportation plans prepared by each transportation planning agency. This element shall include consideration of regional air transportation matters relating to growth, capacity needs, county activity, airport activity, and system-wide activity in order to evaluate adequately the overall

impacts of regional activity in relation to the statewide air transportation system. This element shall propose general aviation and air carrier public use airports for consideration by the commission for funding eligibility under this chapter.

(d) A state plan alternative element, which includes consideration of statewide air transportation matters relating to growth, including, but not limited to, county activity, airport activity, and system-wide activity in order to evaluate adequately the state aviation system and to designate an adequate number of general aviation and air carrier public use airports for state funding in order to provide a level of air service and safety acceptable to the public.