



U.S. Department  
of Transportation  
**Federal Highway  
Administration**

**California Division**

December 15, 2014

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(916) 498-5001  
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In Reply Refer To:  
HAD-CA

Ms. Rachel Falsetti  
Chief, Division of Transportation Programming  
California Department of Transportation  
1120 N Street  
Sacramento, CA 95814

**SUBJECT:** Approval of the 2015 Federal Statewide Transportation Improvement Program

Dear Ms. Falsetti:

We have completed our review of California's proposed 2014/15 - 2018/19 Federal Statewide Transportation Improvement Program (2015 FSTIP) and Statewide and Metropolitan Planning Certifications and related supporting documentation submitted by the California Department of Transportation (Caltrans) on November 15, 2014. The Federal Transit Administration (FTA) and the Federal Highway Administration (FHWA) approve the 2015 FSTIP and this approval supersedes California's 2013 FSTIP and all subsequent amendments to the 2013 FSTIP that were approved by the FHWA and FTA on or after December 14, 2012.

Section 450.218 of Title 23, Code of Federal Regulations, requires the State to submit the updated FSTIP concurrently to the FTA and the FHWA at least every four years for joint approval. California's proposed 2015 FSTIP includes the project and project phase listings for proposed transportation projects located outside the planning area boundaries of the the State's designated Metropolitan Planning Organizations (MPOs). California's proposed 2015 FSTIP also incorporates, by reference, those projects included in 2015 Federal Transportation Improvements Programs (FTIPs) that were adopted in 2014 by the eighteen designated MPOs in California. This approval includes the eight MPO 2015 FTIP Amendments adopted prior to the FSTIP public review period.

The FHWA and the FTA have completed the air quality conformity determinations required by 23 CFR 450.216(b) for the MPO FTIPs in areas of the State designated as nonattainment or maintenance for national ambient air quality standards (NAAQS).

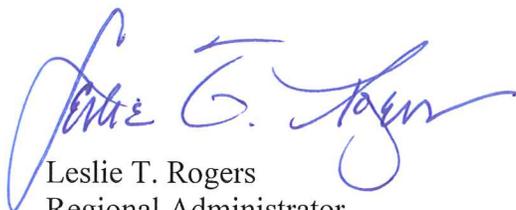
Based on our review of the information submitted with the State's proposed 2015 FSTIP, including revenue and proposed project funding information required to demonstrate financial constraint, and documentation for statewide and metropolitan planning process in support of California's Statewide Planning Certification, we are approving the 2015 FSTIP as proposed.

Any project or project phase listed in a MPO FTIP that is not included in the MPO's Regional Transportation Plan, is not approved for inclusion in the FSTIP pursuant to 23 CFR §§450.216(k) and 450.324(g).

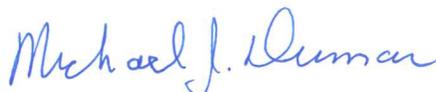
Our FSTIP approval action includes project listings that indicate no funds are proposed for obligation during the four-year program period from 2014/15 to 2018/19. These projects and project phases cannot be advanced to implementation without an action by the FHWA and the FTA on the FSTIP pursuant to 23 CFR 450.216(l) and 450.328(e). Further, project or project phase funding included in the 2015 FSTIP that is listed/proposed for obligation outside the four year program cycle is accepted by the FHWA and the FTA as 'informational' in accord with 23 CFR §§450.216(a) and 450.324(a).

We are approving the 2015 FSTIP with the understanding that the eligibility of individual projects for funding is subject to the applicant's satisfaction of all FHWA and FTA funding requirements. This joint FHWA and FTA approval of the FSTIP does not constitute an eligibility determination for the federal funds proposed for obligation on the listed projects. If you have questions or need additional information concerning our approval of the 2015 FSTIP, please contact Wade Hobbs in the FHWA California Division office at (916) 498-5027, or by email at [Wade.Hobbs@dot.gov](mailto:Wade.Hobbs@dot.gov); or Ted Matley in the FTA Region IX office at (415) 744-2590, or by email at [Ted.Matley@dot.gov](mailto:Ted.Matley@dot.gov).

Sincerely,



Leslie T. Rogers  
Regional Administrator  
Federal Transit Administration



For  
Vincent P. Mammano  
Division Administrator  
Federal Highway Administration

cc: (email)

Ray Sukys, FTA Region IX

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cc:

2015 FSTIP Binder

WEH/



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In Reply Refer To:  
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Ms. Rachael Falsetti, Chief  
Division of Transportation Programming  
California Department of Transportation  
1120 N Street  
Sacramento, CA 95814

SUBJECT: PLANNING FINDING - 2015 FSTIP

Dear Ms. Falsetti:

The Federal Highway Administration (FHWA) and the Federal Transit Administration (FTA) must make a determination that each metropolitan Federal Transportation Improvement Program (FTIP) is based on a continuing, cooperative and comprehensive transportation planning process prior to approving the Federal Statewide Transportation Improvement Program (FSTIP). Approval of the FSTIP includes metropolitan FTIPs that have been incorporated by reference. This federal Planning Finding determines that all projects in the FSTIP are based on a planning process in accord with 23 U.S.C. 134 and 135, and 49 U.S.C. 5303 and 5304. This is the documented Planning Finding for the State of California's 2015 FSTIP and all the incorporated FTIPs for the following metropolitan planning organization (MPO) planning areas:

1. Association of Monterey Bay Area Governments,
2. Butte County Association of Governments,
3. Fresno Council of Governments,
4. Kern Council of Governments,
5. Kings County Association of Governments,
6. Madera County Transportation Commission,
7. Merced County Association of Governments,
8. Metropolitan Transportation Commission,
9. Sacramento Area Council of Governments,
10. San Diego Association of Governments,
11. San Joaquin Council of Governments,
12. San Luis Obispo Council of Governments,
13. Santa Barbara County Association of Governments,
14. Shasta Regional Transportation Agency,
15. Southern California Association of Governments,
16. Stanislaus Council of Governments,
17. Tahoe Regional Planning Agency, and
18. Tulare County Association of Governments.

We note that some subject areas of the statewide and metropolitan transportation planning processes are in need of additional attention and/or improvement:

1. Metropolitan Planning Organization Representation: On June 2, 2014, the FHWA and the FTA jointly issued guidance (79 Federal Register 31214) on implementing the provisions of MAP-21 that require representation of providers of public transportation in each MPO that serves a transportation management area (TMA). Representation by providers of public transportation in each MPO that serves a TMA will better enable each MPO to define performance targets and to develop plans and TIPs that support an intermodal transportation system for the metropolitan planning area. Including representation by providers of public transportation in each MPO that serves an area designated as a TMA is an essential element of MAP-21s performance management framework and will support the successful implementation of a performance-based approach to transportation decision-making. The joint guidance requires representation by providers of public transportation in each MPO that serves an area designated as a TMA by October 1, 2014. Designated TMAs should coordinate with Caltrans Regional Planning, FTA and FHWA concerning how they intend to comply with this regulation.
2. Carryover of Unexpended Consolidated Planning Grant (CPG) Funds, including FHWA Metropolitan Planning (PL) and FTA §5303 Programs: The Caltrans 2013 Regional Planning Handbook describes the roles and responsibilities of the MPO and Caltrans planning program staff concerning the programming and use of unexpended apportionments of Federal CPG Funds. Within California, CPG funds do not need to be fully expended during the fiscal year in which they are appropriated and allocated or awarded, and as a result, the recipient may carryover unexpended amounts to the next or subsequent fiscal year(s).

Observations by FHWA and FTA during the annual review of planning work programs indicated a number of MPOs in California are carrying an excessive amount of CPG carryover funding. Those MPOs with an excessive balance of carryover CPG funds, for example, those with carryover balances in excess of a single year's CPG apportionment, should address the planned use of these carryover funds as part of the annual planning work program development. The FHWA and the FTA recommend that Caltrans update the Regional Planning Handbook prior to the next FSTIP approval to address those instances where an excessive balance has been accumulated by MPOs, and to ensure the timely use of apportioned CPG funds.

3. Timely Resolution of MPO Audit Findings: FHWA and FTA have observed a number of instances where the finding(s) resulting from an audit of a California MPO have remained in discussion, unresolved, for a year or more. To assist in the timely resolution of audit findings, we encourage Caltrans Regional Planning staff to involve the FHWA and FTA early in the discussions of MPO audit findings, particularly those instances where delays in resolving the audit findings are occurring or are likely to occur.

4. The following are outstanding recommendations for improvement from the December 14, 2012, or earlier Statewide Planning Findings that warrant continued attention in both the statewide and metropolitan planning processes:
  - A. Core MPO Planning Functions: The MPO Overall Work Programs (OWP) must identify the Core Planning Functions and what work will be done during the program year to advance those functions. The Core Functions typically include: Overall Work Program; Public Participation and Education; Metropolitan Transportation Plan; Federal Transportation Improvement Program; Congestion Management Process (required for TMAs); and the Annual Listing of Projects.
  - B. MAP-21 Implementation: New Performance-Based Transportation Planning Requirements: Sections 1201 & 1202 of MAP-21 require that the metropolitan and statewide transportation planning processes provide for the establishment and use of a performance-based approach to transportation decision making to support the national goals described in 23 USC 150(b) and 49 USC 5301(c). MAP-21 requires each State and each MPO to establish performance targets that address the performance measures described in 23 USC 150(c) [MAP-21 section 1203] in accord with the following schedule:
    - i. Pursuant to 23 USC 150(c), the U.S. DOT Secretary, in consultation with the State DOTs, MPOs and other stakeholders, shall promulgate a rulemaking that establishes performance measures and standards.
    - ii. Not later than 1 year after the U.S. DOT Secretary has promulgated the final rulemaking, each State shall set performance targets that reflect the measures identified in 23 USC 150(d)(3), (4), (5), and (6).
    - iii. Pursuant to 23 USC 134(h)(2)(C), not later than 180 days after the State or provider of public transportation establishes the performance targets, each MPO shall establish performance targets.
  - C. 2010 Census, New Transportation Management Areas (TMAs) and Congestion Management Process: There were a number of changes in the urbanized areas defined by the 2010 Census from those defined by the 2000 Census. In California, the Santa Clarita and Visalia urbanized areas exceeded 200,000 in population as determined by the 2010 Census. Titles 23 and 49 of the United States Code require that urbanized areas over 200,000 population be designated TMAs by the Secretary of Transportation. Designated TMAs are subject to special planning and programming requirements. The Santa Clarita urbanized area is within the boundaries of an MPO currently addressing all TMA requirements. The MPO for the Visalia TMA, the Tulare County Association of Governments, is working to comply with the Congestion Management Process requirements in 23 CFR 450.320.
  - D. Consultation with Indian Tribal governments and Federal land management agencies: MPOs are required to develop a documented procedure that outlines the roles, responsibilities, and key decision points for consulting with Indian Tribal governments and Federal land management agencies pursuant to 23 CFR 450.316(e). We recommend the Caltrans Regional Planning staff review these

requirements with the non-TMA MPOs within California to ensure documented procedures are established in accordance with the Federal regulations.

- E. Improvement opportunities related to the implementation of Title VI Requirements in Metropolitan and Statewide Planning including the development and utilization of an analytical process for assessing the regional benefits and burdens of transportation system investments on different socio-economic groups.
5. Outstanding Corrective Actions from TMA Certification Reviews: There are three outstanding corrective actions identified through the MPO/TMA certification reviews in the State of California since the December 14, 2012, FSTIP Planning Finding. Specifically, the TMA certification review for one MPO/ TMA cited the need to: 1) develop and execute a cooperative agreement with the State DOT and appropriate transit providers that outlines the roles and responsibilities of each agency in the transportation planning process; 2) develop and utilize the appropriate methodologies to evaluate the effectiveness of its Public Participation Plan (PPP) and take actions needed to ensure a full and open participation process, and; 3) develop a detailed work plan and timeline for full compliance with all portions of the Congestion Management Process (CMP) requirements detailed in 23 CFR 450.320 by September 30, 2016.

Accordingly, the Federal Highway Administration's California Division and the Federal Transit Administration Region IX offices, find that California's 2015 Federal Statewide Transportation Improvement Program (FSTIP) is based on a transportation planning process that meets the requirements of 23 U.S.C. Sections 134 and 135 and 49 U.S.C. Sections 5303-5306.

Sincerely,



Leslie T. Rogers  
Regional Administrator  
Federal Transit Administration



For  
Vincent P. Mammano  
Division Administrator  
Federal Highway Administration

cc: (e-mail)

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Jermaine Hannon, FHWA CADO

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2014/15 FSTIP Binder

WEH/