

OVERALL WORK PROGRAM

Please discuss, in detail, how MTC develops its annual OWP. Please address the following questions as part of the discussion:

- When does the planning start for the annual OWP?
- When is the first meeting held and who is included?
- How is the program developed?
- Who determines responsibilities for the program?
- How does MTC determine program priorities?
- How are the Planning Emphasis Areas supplied by the Federal agencies incorporated into the OWP?
- Who determines what projects and activities are ultimately included as a work element in the OWP?
- How does the OWP consider freight activities? What kinds of freight activities are included in the OWP?
- How are the TEA-21 planning factors covered in the OWP?
- 23 CFR Section 450.312(a) and 314(a) states that transit operators shall be a participant in the development of the OWP. How is transit involved in the makeup of the OWP?
- The OWP should reflect all planning activities within the MTC Region. How are State (Caltrans) and local government agencies activities reflected in MTC's OWP?

Please describe and provide documentation of the public involvement process followed for the FY 2003 OWP. (Also, see the Public Involvement Section of this review guide.)

How can the Federal agencies assist MTC in the development of its OWP?

How can Caltrans assist MTC in the development of its OWP?

TRANSPORTATION IMPROVEMENT PROGRAM

TIP DEVELOPMENT

Please discuss the development of MTC's 2003 TIP.

In the discussion, please address the following questions and provide copies of MTC's TIP development procedures:

- How are FTA Section 5307 funds made available to transit operators? What is MTC's role in the selection of projects for Section 5307 funds? Please provide copies of any agreements related to the allocation of these funds.
- How are CMAQ-funded projects selected for the TIP?
- How are STP projects selected for the TIP?
- Are all transportation projects or identified phases of a project listed for Federal funding?
- Are projects consistent with the transportation plan?
- How does MTC assure that the TIP includes regionally significant projects whether or not they are Federal projects?
- Does the detail for each project provide sufficient descriptive information, cost, source of funds, the project sponsor, adequate design concept and scope for air quality analysis, and grouping by function where permitted?
- Are the TCMs clearly identified in the TIP project list?
- Did MTC experience any significant delays in the planned implementation of major projects from the previous TIP?
- Does the TIP show the Section 3 funding committed to the area in the first year of the TIP, pursuant to 23 CFR Section 450.324(m)(1)?
- What about the Section 3 funding in the second or third year of the TIP?
- Are "lump sum" TIP projects grouped by function, geographic area, and work type using classifications under 23 CFR 771.117, and consistent with the exempt project classifications contained in the US EPA conformity requirements (40 CFR part 51)?
- Does the TIP address freight considerations? Does the TIP contain any freight projects?

Please discuss the public involvement process that MTC followed for the 2003 TIP. In the discussion, please address the following questions and provide documentation where applicable:

- How were federally recognized Native American populations included in the TIP process? Please discuss and provide documentation on specific initiatives or activities undertaken by MTC to include Native Americans in the TIP development process.
- For the 2003 TIP, how did MTC seek out and consider the needs of those traditionally underserved by the existing transportation systems, including, but not limited to low-income and minority households? Please discuss and provide documentation on specific initiatives or activities undertaken by MTC to these groups in the TIP development process.
- Has MTC included a summary, analysis and report on the disposition of comments received as part of the public involvement process for the TIP?

TIP AMENDMENTS

Please discuss MTC's TIP amendment process. (Please provide a copy of MTC's approved TIP amendment procedures.) In the discussion, please address the following questions:

- How often is the TIP amended?
- How are projects selected for inclusion in a TIP amendment?
- How is financial constraint determined for a TIP amendment?
- Has MTC's Board delegated staff the authority to make administrative amendments? If so, please provide copies of the Board resolution/delegation and copies of MTC's administrative amendment procedures.

PROJECT SELECTION

Please discuss how projects were selected for inclusion in MTC's 2002 TIP. (Please provide a copy of the approved project selection procedures.) Please address the following questions in the discussion:

- Beyond the first year of the TIP, what project selection procedures have been agreed to within the metropolitan planning area for Title 23 and Federal Transit Act funded projects?
- Have expedited project selection procedures been jointly developed by MTC, the State, and transit operators to provide for the advancement of projects from the second or third year of the TIP? (Please provide a copy.)
- Has MTC developed project selection criteria that will allow it to take advantage of the expedited procedures to advance projects from the second or third year of the TIP? (Please provide a copy.)
- How does MTC consult with the State and transit operators in selecting projects for the TIP?
- How does the State cooperate with the MPO in selecting projects from the TIP?
- Has a process been established to allow MTC, the State, or transit operators to develop a revised "agreed upon" list of projects if appropriated Federal funds are significantly less than the funds authorized? (Please provide a copy.)
- What mechanisms exist in the project selection process to assure priority implementation of TCMs contained in the TIP?
- How does MTC develop and monitor "lump sum" categories of projects? How are projects selected from the listing to proceed to construction or other phase of work?

REGIONAL TRANSPORTATION PLAN

Please discuss the process MTC followed in the development of the 2002 Regional Transportation Plan (RTP). Please provide a copy of MTC's RTP development procedures. As part of the discussion, please address the following questions:

- How was the RTP developed?
- What is the time period covered by the RTP?
- How is land use addressed in the RTP?
- What type of relationship does MTC have with the land use authorities for the planning area it covers?
- Are the land use assumptions included in the RTP based on the most current data?
- How are the transportation needs of Federal defense facilities addressed by MTC?
- Does the RTP address the TEA-21 planning factors?
- How are freight considerations addressed in the RTP?
- What is the State's (Caltrans) involvement in the RTP development?
- Does the State provide projections for future revenue for the MPO? If so, are the projections adequate?
- Have public transit improvements been identified?
- How does the 2002 RTP assess the capital investment and other measures necessary to preserve the existing transportation system, as well as operations, maintenance, modernization, and rehabilitation of existing and future transportation facilities?
- Does the RTP include design concept and scope descriptions of all existing and future transit facilities for the purpose of air quality analysis and cost estimates?
- Does the RTP include a financial plan that not only compares revenue from existing and proposed sources, but also indicates that existing and proposed revenues cover all forecasted capital, operating, and maintenance costs?
- Did MTC include a summary, analysis, and report on the disposition of comments received as part of the public involvement process for the RTP?

AGREEMENTS AND COORDINATION

Please provide a copy of the latest agreements between MTC and all other government agencies, including, but not limited to, those described in 23 CFR Section 450.310.

- Are there any problems with the contents of the agreements that would require updating?
- Is there an agreement or Memorandum of Understanding (MOU) between the State and the MPO citing the responsibilities for carrying out transportation planning and programming?
- Are there agreements between MTC and the transit operators that specify cooperative procedures for carrying out transportation planning, including corridor and sub-area planning studies?
- Has MTC set up any alternative procedures for agreements such as a single cooperative agreement with the State, transit operators, and the air quality agency; or have they included all of the subject roles, responsibilities, and cooperative actions in the prospectus of their Overall Work Program?

Please discuss how MTC, the State, and transit operators cooperatively develop the OWP, RTP, and TIP as required in 23 CFR 450.312(a).

TEA-21 PLANNING FACTORS

TEA-21 consolidated the previous sixteen planning factors into seven broad areas to be considered in the planning process:

- 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.

Please discuss how MTC incorporates the TEA-21 Planning Factors into the planning process. Please address the following questions in the discussion:

- How are the planning factors taken into consideration by MTC?
 - A.) Are they a routine part of the planning process?
 - B.) Are other agencies involved?
 - C.) Which, if any, factors do not apply?
- Do the products of the planning process reflect the planning factors?
 - A.) Do plans, TIPs, OWP, air quality plans, etc. indicate consideration of the factors?
 - B.) How is this done?
 - C.) Are there other agencies involved in the decision making process?
 - D.) Has consideration of the factors resulted in changes in decisions (long-range strategies, alternatives considered, projects selected, etc.)?
- How has MTC tracked its progress in accomplishing the objectives outlined by the planning factors?
 - A.) Is the data collected regularly?
 - B.) Are other agencies involved in data collection?
 - C.) Have any new relationships with other agencies/organizations resulted from the planning factors?

PROGRAM DELIVERY / PROJECT MONITORING

Please discuss MTC's project monitoring system and the overall program delivery of the previous TIP. Please address the following questions in the discussion:

- How does MTC monitor the TIP to assure timely completion of projects?
- Are project status reports produced? If so, how often? Are such reports provided to project sponsors, FHWA, FTA, Caltrans?
- What are the primary causes of project delivery delays?
- How has MTC addressed these delays?
- How can FHWA, FTA, and Caltrans assist MTC (and local agencies) in addressing project delays?
- Did MTC experience any significant delays in the planned implementation of major projects from the previous TIP? Please provide a list of projects that were not implemented and discuss causes of the delays.

PUBLIC INVOLVEMENT

Section 450.316(b) of the metropolitan planning regulations requires that the metropolitan planning process include a public involvement process to provide complete information, timely public notice and full public access to key decisions; and to support early and continuing public involvement in developing plans and TIPs.

Please discuss and provide documentation of the public involvement process that MTC followed for the:

- 1. Overall Work Program (OWP), including amendments;**
- 2. Regional Transportation Plan (RTP), including amendments; and,**
- 3. Federal Transportation Improvement Program (TIP), including TIP Amendments.**

For each document (OWP, RTP, and TIP), please provide specifics (dates, mailings, meetings, etc.) and address the following questions in the discussion:

- How is timely information about transportation issues and processes provided to citizens, public agencies, transportation agency employees, private sector transportation providers, and others affected by transportation plans, programs, and projects?
- How is reasonable public access provided to the technical and policy information used to develop the OWP, RTP, and TIP?
- How is reasonable public access provided for the public meetings?
- How is adequate public notice given for public review and comment of key decisions, including the approval of the OWP, RTP, and TIP, and amendments? (Please summarize the public notice process that MTC followed for the OWP, RTP, TIP, and amendments.)
- How is consideration and response offered to public input received during the planning and program development processes?
- How are the needs of those traditionally under served by transportation, such as low-income and minority households, taken into account? (Also see additional Title VI and Environmental Justice questions.)
- How are Indian tribal governments involved in the development of the OWP, RTP and TIP?
- When significant written or oral comments are received, is a summary analysis and report of the disposition of the comments made part of the final OWP, RTP, or TIP?
- If the OWP, RTP, or TIP differs significantly from the one that was made available for public comment, has additional opportunity for public comment on the revised plan or program been made available?
- Is the metropolitan public involvement process coordinated with statewide public involvement processes?
- How does MTC assure that no one has been excluded from participation in, denied the benefit of, or otherwise subjected to discrimination on the basis of race, color, sex, national origin, or physical handicap, for any program receiving assistance from the USDOT?
- Are traffic, ridesharing, parking, transportation safety and enforcement agencies including the County Transportation Commissions, commuter rail operators, airport authorities, private sector transportation providers and city officials involved in MTC's planning processes?

- Are local, State and Federal environmental, resource, and permit agencies involved in MTC's planning processes?
- Are technical and other reports prepared to document the development, refinement, and update of the transportation plan, consistent with the DOT planning regulations in 23 CFR Part 450?

Has MTC reviewed its public involvement processes and evaluated their effectiveness in assuring that the processes provide full and open access to all? If so, please provide a copy of the evaluation. If not, how does MTC determine the effectiveness of its public involvement processes?

Has MTC revised its public involvement process within the last 3 years? Please provide a copy of MTC's public involvement procedures.

TITLE VI, ADA, and ENVIRONMENTAL JUSTICE

Please discuss MTC's efforts in addressing Title VI, ADA, and environmental justice throughout the transportation planning processes. Please address the following questions in the discussion:

1. What efforts have been made to engage low-income and minority populations? What issues were raised and how are their concerns documented? In what instances have comments raised during consultation resulted in changes to policy, plans, programs or projects? How does MTC respond to comments when they do not result in a change?
2. How is the public participation process evaluated? How well is the public involvement process carried out? How would different segments of the population answer this question? Does the public involvement process account for how people from specific cultures and communities obtain information? What are the real and perceived barriers to participation by minority and low-income populations?
3. What Title VI and Environmental Justice measures, benchmarks, or criteria has MTC developed? (Examples: travel time from home to work, number of low-income people who can travel from home to work in under an hour.) How were these measures developed? Who had input in their development? Does the RTP and TIP provide some measure of service across all modes?
4. How does MTC determine the needs, values and issues of low-income and minority populations? (Examples: neighborhood or community advisory groups; targeting visioning process; local studies done for other major public capital investments, such as sports arenas, jails, sewage treatment plants, hospitals; MTC interviews and involvement with businesses, community leaders, and residents; focus groups; and preference surveys.) How does MTC seek viewpoints of communities that have no spokespersons or community-based organizations?
5. Are Indian tribal governments and related public agencies involved in the development of transportation plans and programs?
6. Has MTC developed a demographic profile of the metropolitan planning area, including the locations of different racial, ethnic and low-income groups?
7. What aspects of the regional transportation system are identified as part of a regional analysis of benefits and burdens? How are benefits and burdens of the regional transportation system distributed across different racial, ethnic and economic groups?
8. How does MTC communicate information about the distribution of benefits and burdens (e.g., publications, newsletters, Internet, libraries, meetings, telephone hotlines, or storefront centers)?
9. How does MTC compare investments across different modes? How are highway capital costs compared to public transit capital costs and costs to support walking and bicycling?
10. What does MTC do to ensure that their services are accessible to persons with disabilities?

CONGESTION MANAGEMENT SYSTEMS

As a TMA, MTC is required to have a Congestion Management System (CMS) that complies with the provisions of 23 CFR 500.109.

Please discuss MTC's Congestion Management System (CMS). Provide documentation of MTC's CMS. As part of the discussion, please address the following questions:

- How has MTC incorporated the provisions of 23 CFR 450.320 and 500.109 into its CMS? (Please discuss each provision of 450.320 and 500.109)
- How are the results of the CMS incorporated into the transportation planning process?
- How does MTC assure that any project increasing single occupancy vehicle (SOV) capacity has resulted from a congestion management strategy prior to programming the project?
- How are congestion management strategies or actions that improve the mobility of people and goods considered in the planning process?
- How are travel demand reduction and operation management strategies provided for in the CMS?
- Explain how MTC's planning process provides for periodic evaluation of the effectiveness of the congestion management systems.
- How are other congestion management strategies considered in the planning process?

INTELLIGENT TRANSPORTATION SYSTEMS (ITS)

Please discuss MTC's ITS activities.

FINANCIAL PLANNING/FISCAL CONSTRAINT

Please discuss the process used by MTC to develop financial plans for the RTP and TIP.

As part of the discussion, please address the following questions:

- How are the financial plans included in the RTP and the TIP?
- Does the RTP/TIP financial plan identify revenues by source (local, private, State, and Federal)?
- What sources (the State, transit operator, etc.) does MTC use to gather information for developing revenue estimates?
- What are the sources of information for capital, operating, and maintenance costs of proposed investments?
- How does MTC establish that financial plan costs and revenue projections are based on data reflecting the existing situation and historical trends?
- Does the financial plan for the RTP and the TIP include proposed new revenue or new revenue sources?
- If new revenue sources are required to demonstrate financial constraint of the RTP and the TIP, what strategies have been identified to ensure the availability of the new funds?
- Is the TIP financially constrained by year?
- Funding for projects included in the first two years of the TIP shall be committed or reasonably be expected to be available. How does MTC assure itself that these funds are available or committed?
- Does MTC anticipate using any innovative financing techniques for major projects? If so, which ones?

Please provide a copy of MTC's financial plan for the 2002 RTP and 2003 TIP. Also, provide supporting documentation and schedules for the financial assumptions used in the development of the RTP and TIP.

AIR QUALITY CONFORMITY

How do MTC, local transit operators, and the local air pollution control district incorporate and implement the air quality goals and objectives of the 1990 CAAAs and the EPA's final rule on transportation conformity for the following:

- a.) the Overall Work Program;
- b.) the Federal Transportation Improvement Plan (TIP);
- c.) the Regional Transportation Plan (RTP);
- d.) public participation in the development of TIP/Plan conformity;
- e.) development of constrained financial plans for the MPO's TIP and RTP; and,
- f.) timely implementation of applicable SIP TCMS.

How does MTC and the local air pollution control district intend to coordinate, cooperate, and facilitate the development and implementation of the strategy demonstration plan and the conformity SIP revisions due in accordance with the EPA final rule on transportation conformity?

Is there an agreement between MTC and the air quality management district defining the responsibilities of each? (If so, please provide a copy.)

How does MTC incorporate the latest planning assumptions into the conformity process?

How does MTC handle the interagency consultation process? (Please provide a copy of MTC's interagency consultation procedures.)

CONGESTION MITIGATION AND AIR QUALITY (CMAQ) PROGRAM

Please discuss the CMAQ program within the MTC Region. (Provide a copy of any CMAQ guidance, agreements, and procedures.) As part of the discussion, please address the following questions:

- How are CMAQ projects selected for inclusion in the TIP and RTP?
- How are CMAQ projects prioritized?
- How are CMAQ funds made available to local agencies and transit operators?
- What is MTC's role in the CMAQ Program?
- Are there obstacles in the MPO's planning process that impede successful implementation or prioritization of CMAQ projects?
- Has the public, local transit operators, and the air pollution control district been actively involved in the prioritization and selection of possible CMAQ projects?

PLANNING STUDIES

What major studies has MTC completed or funded within the last 3 years? (Please provide a brief description of each completed study and a copy of the final report.)

How have these studies been incorporated into the planning process?

What studies are currently underway? (Please briefly discuss each study, including how the study will be incorporated into the planning process.) Are the studies identified in the OWP, and in the TIP, if applicable? (Provide references to the OWP and TIP.)

Has MTC's planning process identified any corridors with current or future transportation problems likely to undertake such a planning study? If so, has the study been initiated through a collaborative process that involves the MPO, Caltrans, transit operators, FTA, and FHWA? Has there been involvement by others affected by the study, including the general public? Does the study consider all reasonable alternatives for addressing the corridor needs, including cost effectiveness?

How has public involvement been incorporated into each study? Does the public involvement process for the studies differ from the public involvement process used for other MTC activities?

How does MTC, Caltrans, transit operators and local governments determine who will be the lead on the studies and how modal issues will be resolved?

What process is being used to involve the State and Federal resource agencies in the development of the studies?

Please discuss how the studies will contribute to streamlining of the NEPA process.

BOUNDARIES and DESIGNATIONS

When did MTC and Caltrans approve the current boundaries of the MPO? (Please provide a copy of the approval and a copy of a map of the boundary approved by the MPO and the State.)

Does the MPO boundary cover the area that is urbanized and the area expected to be urbanized in the next 20 years?

Has the latest census impacted MTC's boundaries? Please discuss.

Does the MPO boundary cover the entire non-attainment area, unless another agreement exists?

Has there been any re-designation of the MPO since the last certification review? (If so, please provide a copy.)

ORGANIZATIONAL STRUCTURE AND BOARD MEMBERSHIP

Please describe MTC's organizational structure. (Provide a copy of MTC's current organization charts.)

Please discuss the purpose, function, and membership of all committees (technical, policy, ad-hoc, standing, etc.).

Please discuss the make up of MTC's Board. Please address the following questions in the discussion:

- How was Board membership determined?
- What jurisdictions are represented on the Board? Are all jurisdictions represented?
- Are all transit operators represented on the Board? Which are? How was it decided which operators would be represented on the Board?
- Are any Indian tribal representatives included on the policy board?
- Do all Board members have voting privileges?
- Are votes weighted equally?
- Has MTC increased the representation of local elected transportation officials on its board?

Please discuss how Board approval actions are taken. Please address the following questions in the discussion:

- How is the agenda for Board meetings determined?
- How are issues brought to the Board?
- How does the general public bring issues to the Board?
- When and where are Board meetings held?
- What responsibilities has the Board delegated to MTC staff? (Please provide a copy of Board resolutions for the delegations.)