



# SOUTHERN CALIFORNIA ASSOCIATION of GOVERNMENTS

## TECHNICAL WORKING GROUP (TWG)

Thursday, January 16<sup>th</sup> 2013: 10:00 a.m.

SCAG Offices  
818 West 7<sup>th</sup> Street, 12<sup>th</sup> Floor  
Board Room  
Los Angeles, CA 9007  
(213) 236-1800

Teleconferencing Information:  
Number: 1-888-808-6929

Silent Live Web PowerPoint Presentations: <https://www.connectmeeting.att.com>  
Meeting #: 8888086929 | Participant Code: 2361866

### AGENDA

#### Introductions

1. Update on the Schedule for the 2016 RTP/SCS (Naresh Amatya) 15 min.

#### Discussion Items

2. Pavement and Bridge Condition Database/Management (Naresh Amatya) 15 min.
3. Implementation/Monitoring Framework for the 2012-2035 RTP/SCS 15 min.
  - Sustainable Communities Strategies Follow Up (Ping Chang)
4. SB743 – OPR's Preliminary Evaluation of Alternative Methods of Transportation Analysis (Ping Chang) 15 min.

#### Technical Update Items

5. State Active Transportation Program Draft Guidelines (Alan Thompson) 15 min.
6. Current Schedule of One-on-One Meetings with Local Jurisdictions (Ping Chang) 5 min.
7. Update on Subregional Delegation Deadline (Peter Brandenburg) 5 min.
8. Comments/Around the Table Discussion 5 min.



## TECHNICAL WORKING GROUP (TWG)

December 19, 2013

### **Meeting Summary**

Following is a summary of discussions of the Technical Working Group meeting of December 19, 2013.

### **Introduction Item**

#### **1. Agenda Outlook**

Naresh Amatya, SCAG staff, provided an agenda outlook for the working group for the development of the 2016 RTP/SCS. Mr. Amatya discussed the format and content of potential agenda items in the course of the development of the 2016 RTP/SCS and solicited input from the group. The working group provided some initial feedback on the agenda outlook. Mr. Amatya assured the group that the list need not be considered as final and that there will be additional opportunities along the way to keep it pertinent and relevant.

### **Discussion Items**

#### **2. Implementation/Monitoring Framework for the 2012-2035 RTP/SCS**

##### **Transportation Strategies/Programs/Projects**

Naresh Amatya, SCAG staff, stated a key focus in the development of the 2016 RTP/SCS is the implementation of 2012 RTP/SCS strategies with a view toward potential adjustments or refinements. Tarek Hatata, System Metrics Group, presented the overall framework for monitoring progress on transportation projects, strategies and programs in the 2012 RTP/SCS. Mr. Hatata noted the next steps would be to develop reporting templates and collect monitoring data.

##### **Sustainable Communities Strategies**

Ping Chang, SCAG staff, provided an overview of the SCS Implementation/Monitoring Framework. Mr. Chang noted the 2012-2035 RTP/SCS establishes regional goals and performance measures. Additionally, MAP-21 establishes requirements for performance-based planning and MPOs in the state have been working together to identify a draft set of performance monitoring indicators. Mr. Chang noted that there is generally a time lag between the implementation actions and the realization of performance outcomes. For

example, the impacts of a specific plan for transit-oriented development may take many years to realize. For the 2012 RTP/SCS it is suggested that a greater emphasis is placed on implementation monitoring as the implementation of major transportation projects as well as the changes in land use will take time to evolve and their effects realized. It was noted most implementation actions will be taken by the cities, counties, county transportation commissions and SCAG.

The working group discussed implementation/monitoring for the 2012-2035 RTP/SCS.

### **3. One-on-One Meetings with local Jurisdictions to Update SCAG's Socioeconomic Data for the 2016-2040 RTP/SCS**

Kimberly Clark, SCAG staff, stated one-on-one meetings will be conducted with every jurisdiction in the SCAG region as part of the bottom up local input process. These data sets will feed into the later technical stages in the development of the 2016 RTP/SCS. It was noted Stage 1 of this process involved contacting each local jurisdiction and assembling local land use data then returning that information back to the jurisdictions in the form of the SCAG Map Book for review and comment. Stage 2 has begun and will focus primarily on the refinement of a region wide socioeconomic dataset which will include population households and employment for target years. It was noted the one-on-one meetings engage local jurisdictions, increases data input, accuracy and insures local jurisdictions are fully informed of the process. To date Map Books have been distributed to Imperial, Riverside, San Bernardino and Ventura counties. The working group discussed data collecting efforts.

### **4. Pavement and Bridge Condition Database/Management**

Item deferred to January meeting.

### **Technical Update Items**

### **5. Pilot Test of Reliability Tools Funded by SHRP-2**

Naresh Amatya, SCAG staff, noted reliability has been an important issue related to the highway and transit system. It was an important part of the 2012 RTP/SCS as well as MAP-21. SCAG is part of the team led by SMG that was awarded a grant as a pilot site to test three reliability tools that have been developed under the Strategic Highway Research Program. Ryan Kuo, SCAG staff, provided a technical report on work that has been performed thus far to test the tools. He reported that I-5 in Orange County and the urbanized portion of I-210 were used as test cases to investigate the effectiveness of the reliability tools. Mr. Kuo discussed the findings with the working group. The group provided some valuable feedback in response to a set of specific questions that were posed to the group.

## **6. Status of General Plan Guidelines Update**

Ping Chang, SCAG staff, stated that the Governor's office of Planning and Research is in the process of updating the general plan guidelines. The previous update was in 2003. The primary objective is to consider the new policies particularly those related to Sustainable Communities Strategy, climate change, infill, renewable energy, public health and social equity. It is also felt this update may be used to provide local jurisdictions some additional GIS data support. There is also interest in providing a feedback mechanism to the state. A draft of the general plan guidelines is anticipated early 2014 and the final guidelines completed in 2014.

The next meeting of the TWG will be Thursday, January 16, 2014.



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Item 1 Attachment: Update on the Schedule for the 2016 RTP/SCS

# Agenda Outlook for the Development of the 2016 RTP/SCS

(Revised 1/9/14)

## Framework/Overarching Issues

- Potential approach/process, coordination between various technical working groups and policy committees, and updated overall schedule for the development of the 2016 RTP/SCS
- Performance Based Planning and implications of MAP-21
- Role of Technology in the 2016 RTP/SCS

## General topic areas

- Growth Forecast/Land Use
  - Local Input Process
  - Technical assumptions/methodology/data/analysis in the 2012 RTP/SCS
  - Potential changes in the 2016 RTP/SCS to technical assumptions/methodology/data/analysis
  - Updated forecast/land use distribution for 2016 RTP/SCS
- Sustainable Communities Strategy
  - Overview of SCS in the 2012 RTP/SCS
  - Current status of SCS implementation
  - Emerging issues/themes that could influence 2016 SCS
  - Updated SCS for 2016 RTP/SCS
- Transportation Finance
  - Overview of baseline and innovative funding sources adopted in the 2012 RTP/SCS including underlying technical assumptions/methodology/analysis
  - Overview of cost assumptions/cost modal for the 2012 RTP/SCS
  - Progress update on 2012 RTP/SCS revenue/cost
  - Potential changes/focus areas and emerging issues in the 2016 RTP/SCS
  - Finance Plan for 2016 RTP/SCS
- Model and Tools to be used in the 2016 RTP/SCS
- Transportation Conformity
- Program EIR
- Environmental Justice

## Major Modal/Strategy Areas

- Goods Movement (GM) Strategy
  - Overview of GM Strategy in the 2012 RTP/SCS with a focus on technical assumptions (including technology assumptions)/data/analysis
  - Progress update on the GM Strategy with focus on emerging issues and implications on the 2016 RTP/SCS

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- Updated GM Strategy for the 2016 RTP/SCS
- Transit (HSR, Rail and Bus)
  - Overview of Transit Strategy in the 2012 RTP/SCS
  - Progress update on the Transit Strategy and emerging issues/challenges that could influence the 2016 RTP/SCS
  - Updated Transit Strategy for the 2016 RTP/SCS
- Active Transportation
  - Overview of Active Transportation Strategy in the 2012 RTP/SCS
  - Progress update on Active Transportation Strategy and emerging issues and their implications to the 2016 RTP/SCS
  - Progress status of 1<sup>st</sup> Mile/Last Mile Study and its integration into the 2016 RTP/SCS
  - Updated Active Transportation Strategy for the 2016 RTP/SCS
- Highways/HOV/HOT/Toll Roads/Express Lanes
  - Overview of Highway/HOV/HOT/Toll Roads/Express Lanes proposed in the 2012 RTP/SCS with a focus on technical assumptions/analysis
  - System Preservation and system operation focus in the 2012 RTP/SCS and our current efforts on Pavement and Bridge condition database/management
  - Progress update and emerging issues related to highways/HOV/HOT/Toll Roads/Express Lanes
  - Highways Improvement Element in the 2016 RTP/SCS
- Aviation
  - Overview of Aviation program in the 2012 RTP/SCS with a focus on ground transportation improvements
  - Progress update on the current status of the Aviation component of the 2012 RTP/SCS and emerging issues that may influence the 2016 RTP/SCS
  - Updated Aviation Element of the 2016 RTP/SCS
- Transportation Demand Management and Transportation System Management (TDM/TSM)
  - Overview of TDM/TSM in the 2012 RTP/SCS, including underlying assumptions
  - Progress status of TDM/TSM and emerging issues
  - Updated TDM/TSM Element for the 2016 RTP/SCS
- Others
  - Zero/Near Zero/Clean Technology Applications, including Slow Speed Electric Vehicle programs
  - Emerging New Technology Applications



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Item 2 Attachment: Pavement and Bridge Condition Database/Management

# Southern California Association of Governments

## Technical Working Group

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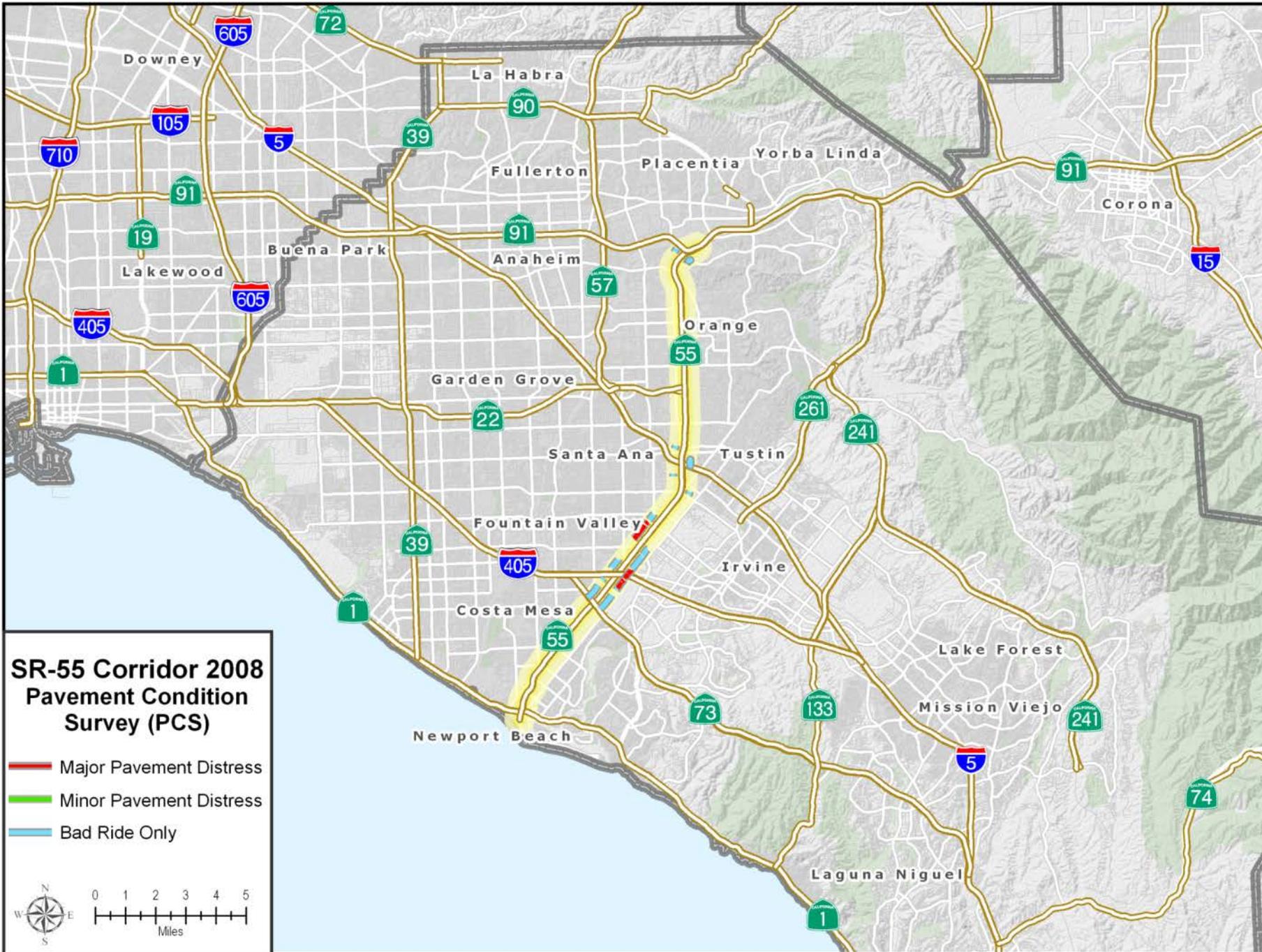
December 19, 2013

## Potential Preservation Framework

## The 2012 RTP/SCS emphasized the importance of preservation

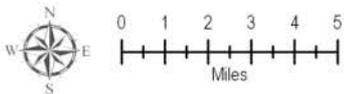
- Unmet needs through 2035 were estimated for transportation infrastructure and equipment:
  - SHOPP Plan for State Highway System (Roads and Bridges)
  - Statewide Needs Assessment for Transit
  - Statewide Needs Assessment for Local Roads
  
- This time around, SCAG is trying to get more detailed data to better inform decision makers and allow for scenario analysis:
  - Building on the update of the statewide needs assessment
  - Building on the recently developed statewide pavement management system
  - Potentially focusing on specific routes (on the SHS and on local roads)

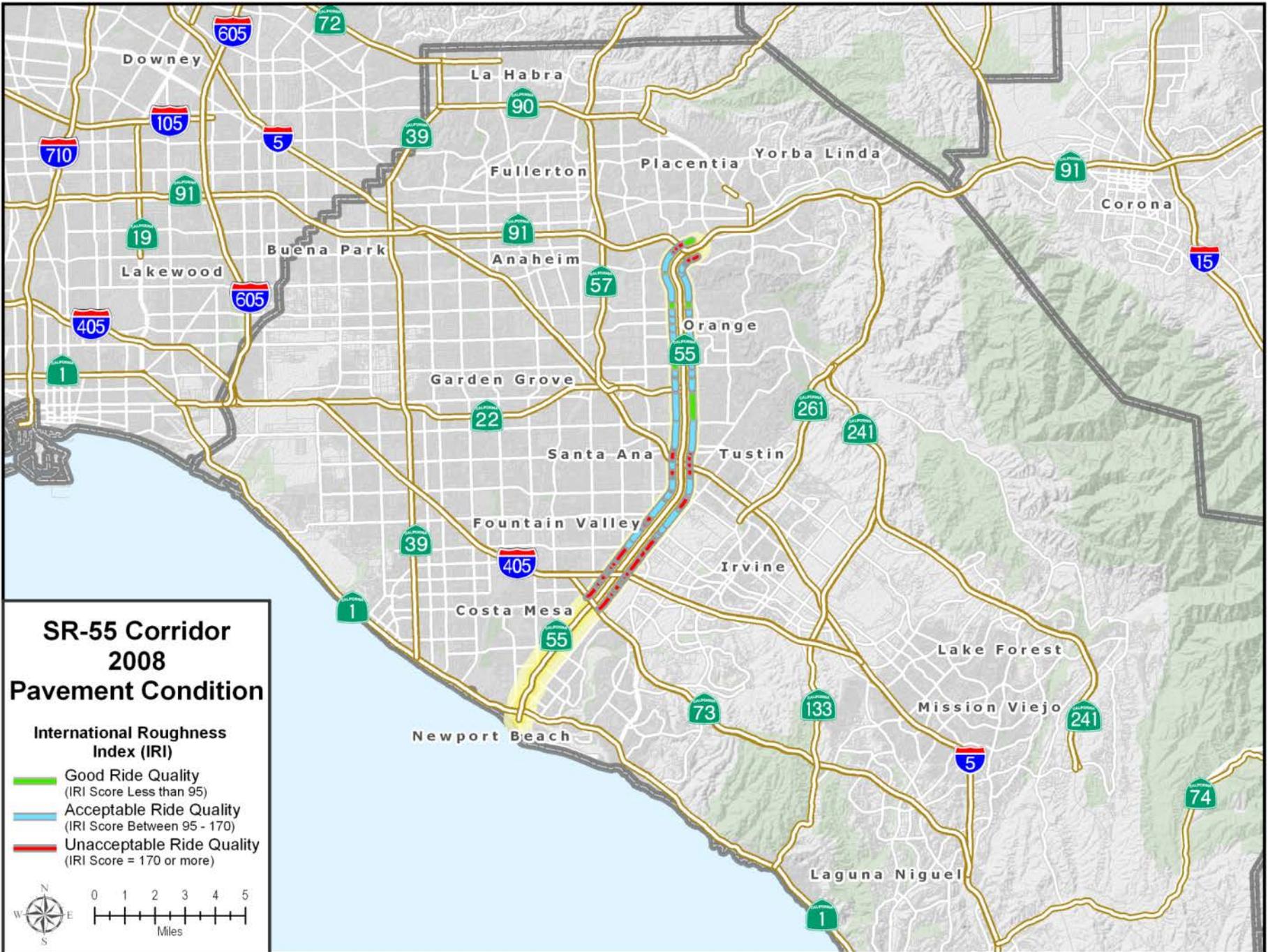
## 1. SHS Pavement Conditions



**SR-55 Corridor 2008  
Pavement Condition  
Survey (PCS)**

- Major Pavement Distress
- Minor Pavement Distress
- Bad Ride Only

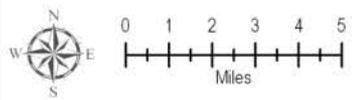




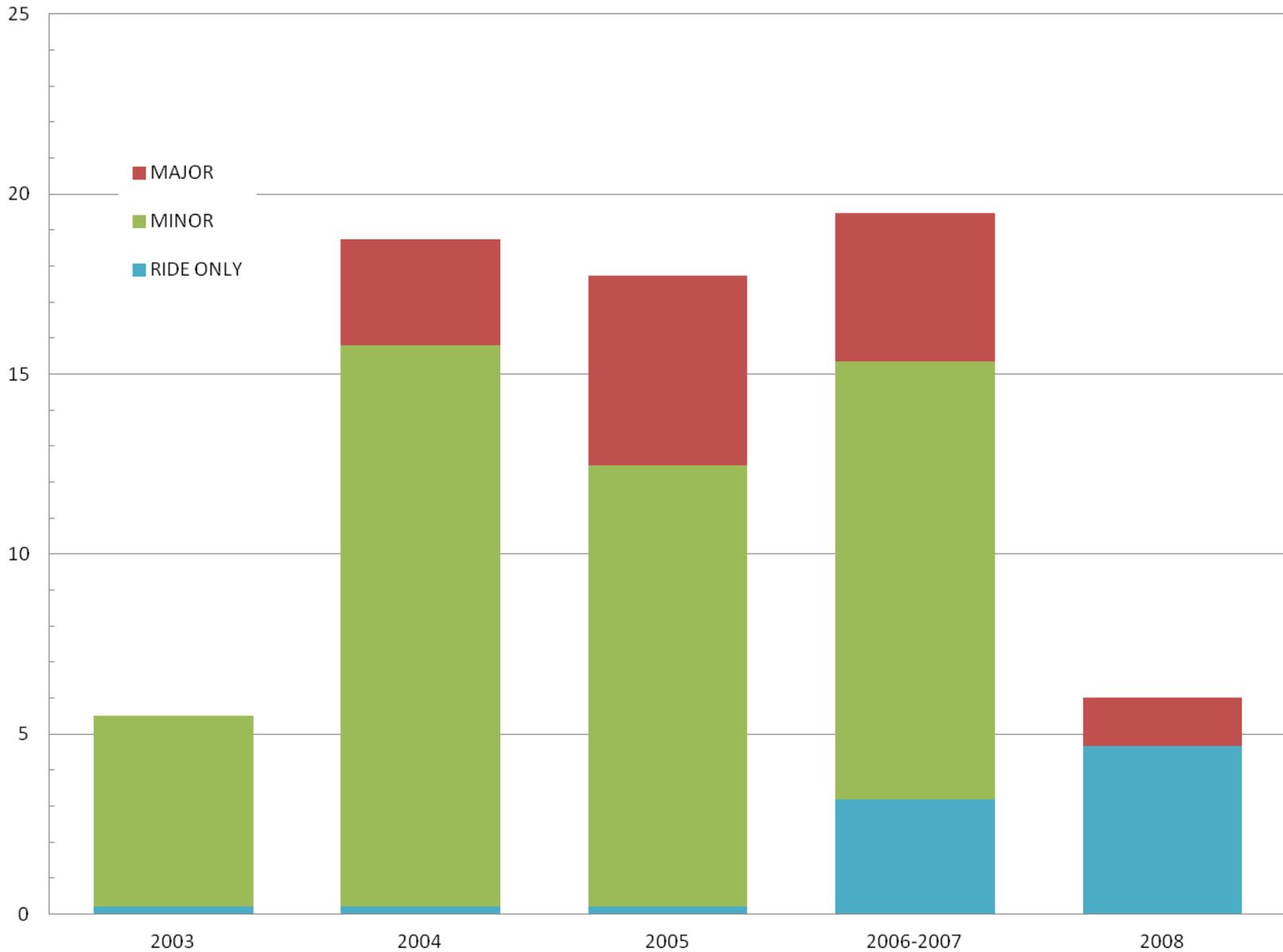
## SR-55 Corridor 2008 Pavement Condition

International Roughness  
Index (IRI)

- █ Good Ride Quality  
(IRI Score Less than 95)
- █ Acceptable Ride Quality  
(IRI Score Between 95 - 170)
- █ Unacceptable Ride Quality  
(IRI Score = 170 or more)



# Distressed Lane Miles by Type



## The recently developed State pavement management system would help with scenario analysis

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- We already have access to all SHS data from 2011
- Data has been updated recently for some of the SHS
- Funding scenarios would have to be run by Caltrans (they have indicated that they would help)

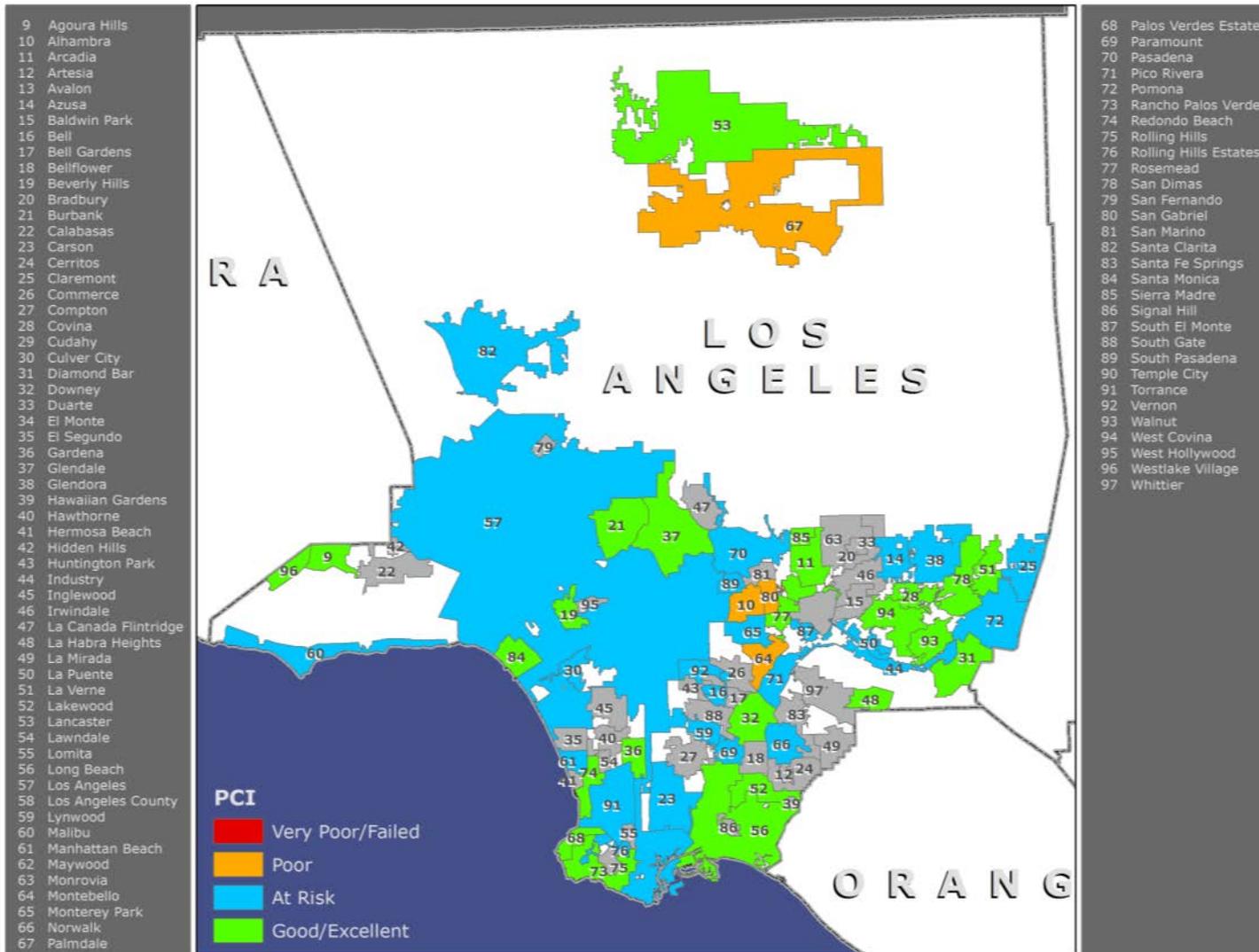
## **2. Current Summary Pavement Conditions for Local Roads**

## We developed some examples using the 2012 statewide survey

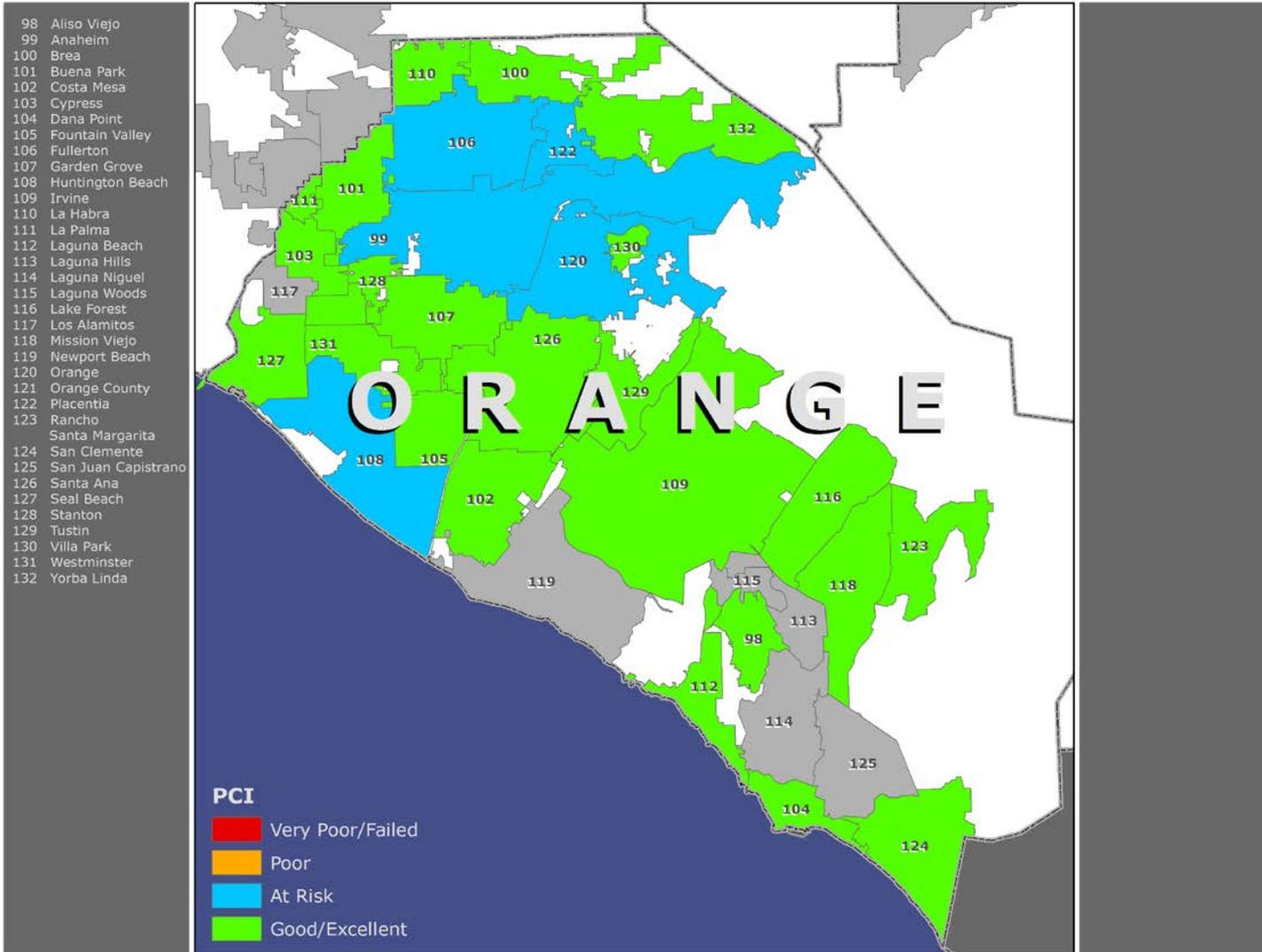
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- Summary conditions can be displayed by jurisdiction
- Some data (about 1/3) is missing and had to be estimated in 2012
- This can improve this time around by combining SCAG and State initiatives
- Analytics (i.e., scenario analysis) are possible with summary data

# Los Angeles County

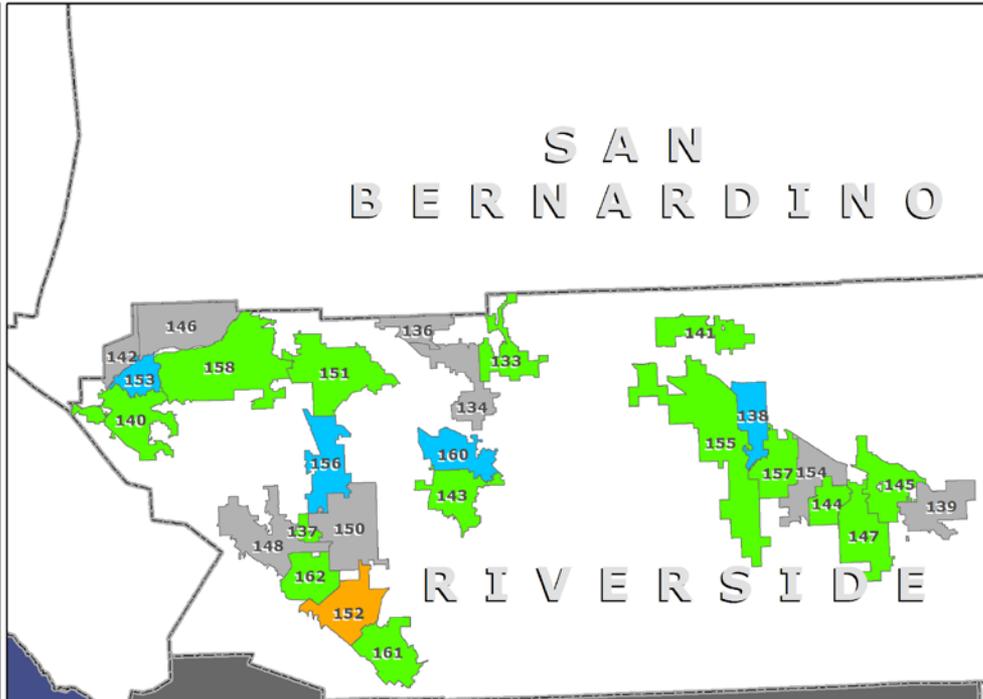


# Orange County



# Riverside County

- 133 Banning
- 134 Beaumont
- 135 Blythe
- 136 Calimesa
- 137 Canyon Lake
- 138 Cathedral City
- 139 Coachella
- 140 Corona
- 141 Desert Hot Springs
- 142 Eastvale
- 143 Hemet
- 144 Indian Wells
- 145 Indio
- 146 Jurupa Valley
- 147 La Quinta
- 148 Lake Elsinore
- 149 Morongo Band of Mission Indians
- 150 Menifee
- 151 Moreno Valley
- 152 Murrieta
- 153 Norco
- 154 Palm Desert
- 155 Palm Springs
- 156 Perris
- 157 Rancho Mirage
- 158 Riverside
- 160 San Jacinto
- 161 Temecula
- 162 Wildomar



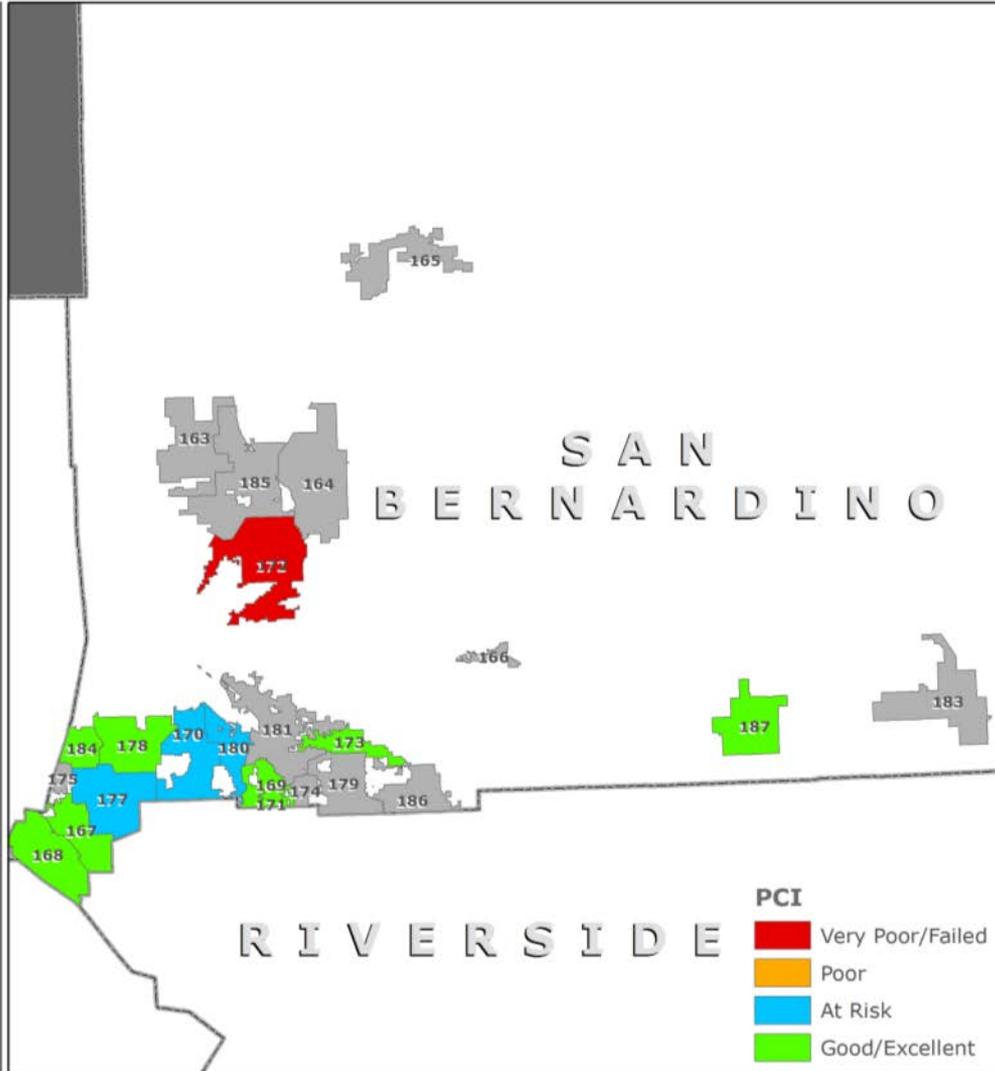
**PCI**

- Very Poor/Failed
- Poor
- At Risk
- Good/Excellent



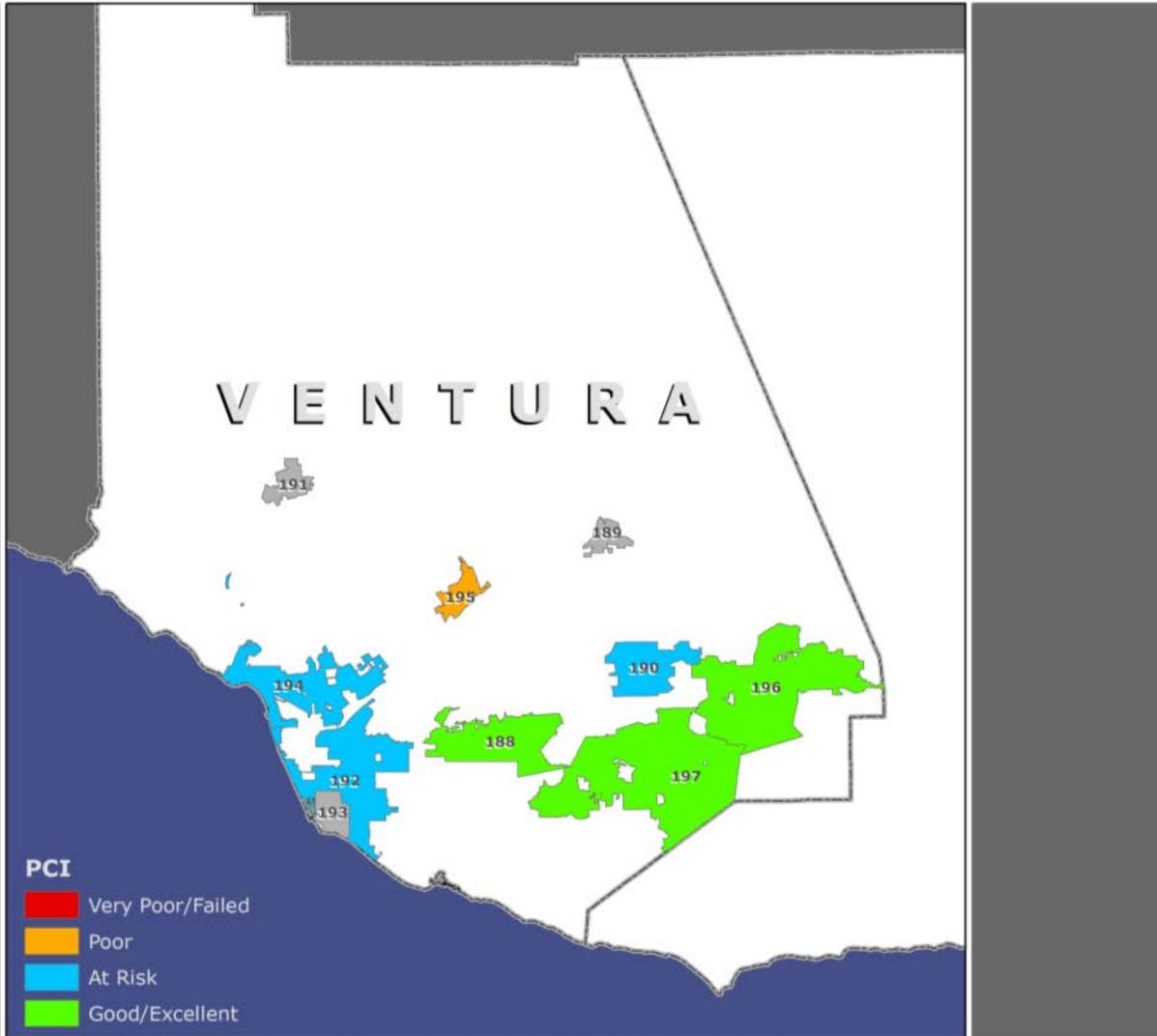
# San Bernardino County

- 163 Adelanto
- 164 Apple Valley
- 165 Barstow
- 166 Big Bear Lake
- 167 Chino
- 168 Chino Hills
- 169 Colton
- 170 Fontana
- 171 Grand Terrace
- 172 Hesperia
- 173 Highland
- 174 Loma Linda
- 175 Montclair
- 176 Needles
- 177 Ontario
- 178 Rancho Cucamonga
- 179 Redlands
- 180 Rialto
- 181 San Bernardino
- 183 Twentynine Palms
- 184 Upland
- 185 Victorville
- 186 Yucaipa
- 187 Yucca Valley



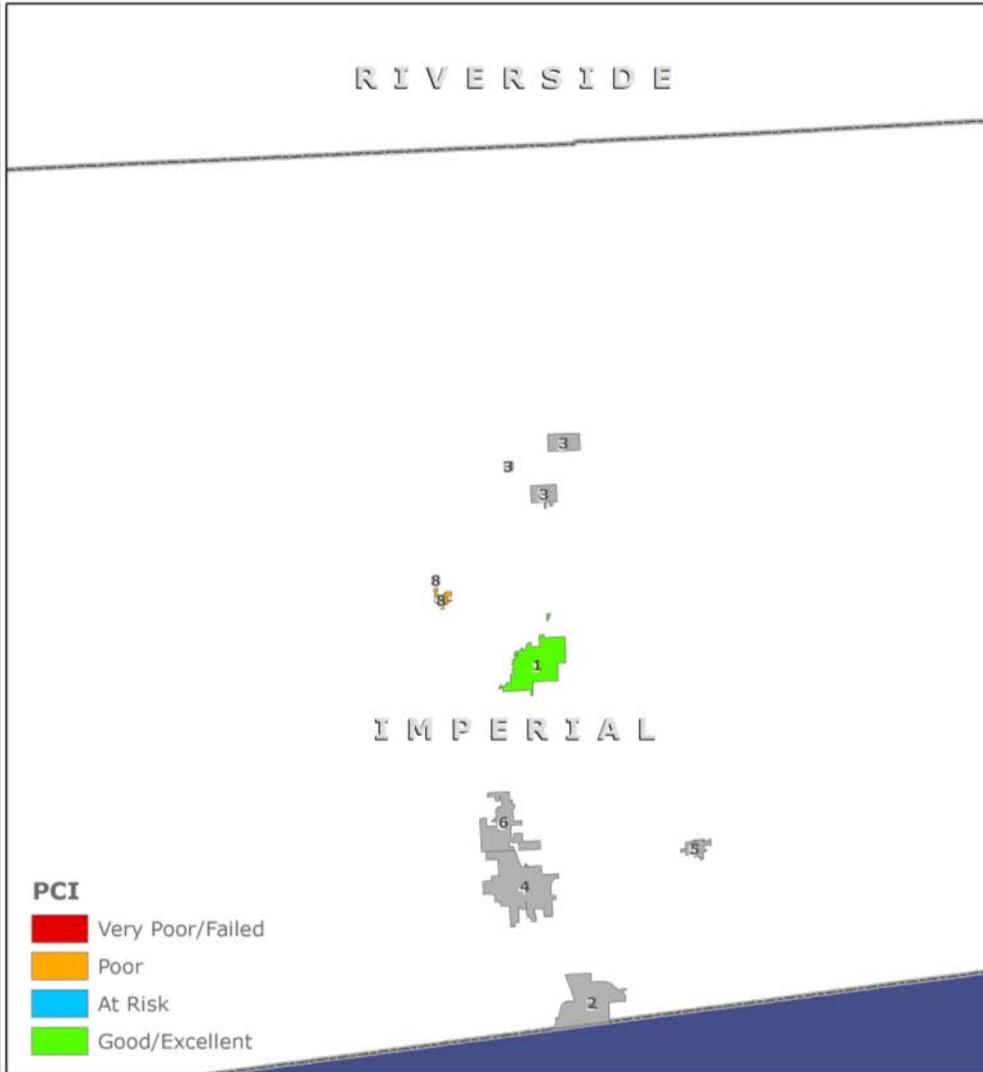
# Ventura County

- 188 Camarillo
- 189 Fillmore
- 190 Moorpark
- 191 Ojai
- 192 Oxnard
- 193 Port Hueneme
- 194 San Buenaventura
- 195 Santa Paula
- 196 Simi Valley
- 197 Thousand Oaks



# Imperial County

- 1 Brawley
- 2 Calexico
- 3 Calipatria
- 4 El Centro
- 5 Holtville
- 6 Imperial
- 8 Westmorland



### 3. Local Bridge Needs Projections

# SCAG can rely on FHWA's bridge conditions data for local bridges to perform what-if analyses

Description	Value by Year										
	Base	2013	2014	2015	2016	2017	2018	2019	2020	2021	2022
<b>Annual Budget: \$0M</b>											
Needs (\$M)		878	1,150	1,371	1,636	1,722	1,894	2,104	2,598	3,099	3,650
Cumulative Work Done (\$M)		0	0	0	0	0	0	0	0	0	0
Avg. Health Index	91.09	90.19	89.28	88.36	87.45	86.53	85.60	84.68	83.76	82.83	81.90
Avg. Sufficiency Rating	82.64	81.68	80.76	79.47	78.55	77.68	76.25	73.98	71.62	69.41	66.77
% Structurally Deficient	23.52	28.47	32.10	37.64	41.82	47.58	53.25	57.06	60.35	63.44	66.14
<b>Annual Budget: \$20M</b>											
Needs (\$M)		878	130	1,331	1,575	1,642	1,793	1,966	2,400	2,736	3,171
Cumulative Work Done (\$M)		20	40	60	80	100	120	140	160	180	200
Avg. Health Index	91.09	90.21	89.38	88.52	87.68	86.83	86.04	85.27	84.43	83.71	82.91
Avg. Sufficiency Rating	82.64	81.74	80.91	79.76	78.95	78.21	76.95	74.92	72.81	70.94	68.52
% Structurally Deficient	23.52	28.41	31.71	37.08	40.83	46.69	51.51	54.73	57.95	60.46	63.25
<b>Annual Budget: \$40M</b>											
Needs (\$M)		878	1,061	1,242	1,451	1,497	1,614	1,729	1,948	2,132	2,404
Cumulative Work Done (\$M)		40	80	120	160	200	240	280	320	360	400
Avg. Health Index	91.09	90.32	89.51	88.77	88.18	87.66	87.01	86.63	86.11	85.55	84.86
Avg. Sufficiency Rating	82.64	81.83	81.01	80.11	79.44	78.92	77.80	76.22	74.67	73.18	71.08
% Structurally Deficient	23.52	28.10	31.25	35.88	39.06	42.22	46.92	46.72	47.89	50.33	52.99
<b>Annual Budget: \$50M</b>											
Needs (\$M)		878	1,051	1,222	1,388	1,422	1,466	1,539	1,793	1,940	2,014
Cumulative Work Done (\$M)		50	100	150	200	250	300	350	400	450	500
Avg. Health Index	91.09	90.33	89.54	89.00	88.56	88.12	87.81	87.41	87.02	86.62	85.98
Avg. Sufficiency Rating	82.64	81.85	81.10	80.32	79.76	79.33	78.48	77.05	75.62	74.33	72.33
% Structurally Deficient	23.52	28.07	31.13	35.01	36.98	38.72	40.55	41.00	41.77	43.93	46.54
<b>Annual Budget: \$60M</b>											
Needs (\$M)		878	1,041	1,202	1,326	1,351	1,412	1,435	1,677	1,800	1,861
Cumulative Work Done (\$M)		60	120	180	240	300	360	420	480	540	600
Avg. Health Index	91.09	90.34	89.67	89.21	88.81	88.80	88.56	88.02	87.80	87.28	87.28
Avg. Sufficiency Rating	82.64	81.88	81.16	80.47	79.96	79.78	79.22	77.74	76.55	75.08	73.86
% Structurally Deficient	23.52	28.03	30.77	33.75	35.10	33.39	34.91	36.88	36.90	40.52	38.52
<b>Annual Budget: \$80M</b>											
Needs (\$M)		878	1,020	1,124	1,267	1,267	1,282	1,345	1,385	1,391	1,362
Cumulative Work Done (\$M)		80	160	240	320	400	480	560	640	720	800
Avg. Health Index	91.09	90.36	89.98	89.70	90.06	89.76	89.95	90.48	91.03	92.14	92.58
Avg. Sufficiency Rating	82.64	81.93	81.47	80.92	80.95	80.74	80.32	79.87	79.58	79.85	79.78
% Structurally Deficient	23.52	27.95	29.16	30.20	26.35	27.41	27.11	24.09	23.03	22.31	20.83
<b>Annual Budget: \$100M</b>											
Needs (\$M)		878	998	1,052	1,135	1,099	1,096	1,050	980	932	898
Cumulative Work Done (\$M)		100	200	300	400	500	600	700	800	899	998
Avg. Health Index	91.09	90.44	90.29	90.95	91.00	91.59	93.34	94.47	94.62	94.58	94.52
Avg. Sufficiency Rating	82.64	82.01	81.68	81.71	81.69	81.81	82.34	82.40	82.34	82.03	81.61
% Structurally Deficient	23.52	27.77	26.61	21.52	21.60	18.95	17.36	14.89	14.05	15.12	15.50

## 4. Transit Needs

## We can build on statewide needs assessment and direct discussions with local agencies

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- Metro is developing an asset management tool we can likely use for updated data and what-if analysis
- We will use updated Metro numbers when they become available and build on previous statewide efforts
- It is unlikely that we can conduct significant what-if analyses with transit preservation.

**Discussion**



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Item 3 Attachment: Implementation/Monitoring Framework for the 2012-2035  
RTP/SCS

## **Performance Monitoring and Assessment for RTP/SCS**

**Revised Draft, January 12, 2014**

### **Introduction and Summary**

Through an extensive bottom-up collaborative process, the 2012-2035 RTP/SCS establishes regional goals and performance measures through which the performance of the plan could be monitored and assessed. For each performance measure, the plan also includes the desired outcome.

This paper outlines the scope of activities to monitor and assess the implementation of the 2012-2035 RTP/SCS. It also provides a basis for the development of performance measures for monitoring for the 2016-2040 RTP/SCS. The paper first addresses key considerations for regional monitoring and assessment. It then highlights the two different levels of regional monitoring: implementation actions vs. performance outcomes. An important challenge of regional monitoring is to assess the performance outcomes in relation to implementation actions and other factors such as demographic changes and business cycles.

### **Key Considerations**

Plan development, implementation, and monitoring/assessment are three interrelated components of the regional planning process. Historically, regional planning agencies have focused predominantly only on the plan development component. There has been increasing awareness of the interrelatedness among the three components and the need to take a more holistic approach.

The 2012 RTP/SCS contains two sets of performance measures. The first set is intended to be used for evaluating different plan alternatives during the plan development process. The second set is intended to be used to monitor the plan performance. While the two sets overlap in some areas, they are not exactly the same. This paper focuses on the second set, i.e. performance measures for monitoring purpose.

The proposed scope of regional monitoring takes into considerations the following development after the adoption of the 2012-2035 RTP/SCS. First, MAP-21 (recent federal transportation reauthorization) passed in July 2012 which establishes requirements of performance-based planning. In addition, MPOs in California has worked together and identified a draft set of performance monitoring indicators.

### **Levels of Monitoring**

There are two levels of monitoring focus. The first level focuses on the implementation actions while the other focuses on the performance outcomes.

The term “implementation actions” is used in a broad way relative to the adoption of the regional RTP/SCS. It includes downstream activities which contribute to the RTP/SCS goals and desired outcomes. Implementation actions may include activities ranging from local general plan update, open space

acquisition, TOD ordinance, rideshare program, transit projects and HOV lane construction. Implementation actions generally would take place at the local or regional levels.

The term “performance outcomes” is used to describe the impacts of the implementation actions on the sustainability of and qualities of life in the region. They are in the areas of, for example, location efficiency, accessibility and mobility, safety and health, environmental quality, etc.

In regional planning, there is generally a time lag between the execution of implementation actions and the realization of performance outcomes. This is particularly the case in land use-related implementation actions. For example, after the completion of a TOD specific plan, it may take several years until the first TOD project is built. Outcomes are also evolving over time and are not static in nature. Given the 2012-2035 RTP/SCS was adopted only in April 2012, the initial focus of regional monitoring is proposed to be on documenting implementation actions while beginning to establish the basis of outcome-based monitoring.

### **Monitoring of Implementation Actions**

Most implementation actions for the RTP/SCS will be taken by the cities, counties, county transportation commissions and SCAG.

### **Types of Implementation Actions**

It should be noted that there are different types of implementation actions based on their nature as the following:

- Plan/Policy:
  - Studies, plans (e.g. general plan updates, specific plans, community plans), research and evaluation of options, demonstration projects, inventories (e.g. sidewalk conditions)
- Program:
  - For example, rideshare program, recycling program
- Process:
  - For example, streamlined development review process for infill projects
- Regulation:
  - For example, zoning codes
- Development:
  - Land development projects, transportation projects, other major infrastructure projects
- Public Participation and Outreach:
  - Educating, promoting, and marketing initiatives
- Funding and Financing:
  - Public funding and financing opportunities: e.g. cap & trade proceeds, mileage-based user fees, affordable housing trust funds
  - Joint private-public funding and financing opportunities
- Others

While each implementation action has its own process, for the purpose of RTP/SCS, the focus is on documenting the initiation and completion of key actions.

To monitor the implementation of the RTP/SCS, the following planning categories of actions are proposed:

- Local general plan related actions
- Active transportation and travel demand management (TDM)
- Transportation network and transportation system management (TSM)
- Other land use/transportation related actions
- Environmental sustainability and Environmental Justice
- Environmental review process
- Funding
- Other

Please note that actions taken under many categories such as “local general plan related”, “active transportation and travel demand management” or “transportation network related” may have safety and health consequences.

### **Mechanisms**

Mechanisms to collect information of implementation actions may include the following:

- RTP/SCS local input process
- Survey of local jurisdictions and CTCs
- On-going research of best practices for implementation
- IGR process/database for proposed projects
- FTIP database for transportation projects
- Implementation progress report (from subregions taking the delegation for the 2016 RTP/SCS)

Attachment 1 includes the categories and examples of specific implementation actions that SCAG staff plans to collect relevant information. Attachment 1 could also be used as a reference and guide for subregions that take the delegation for developing the subregional SCS for the 2016-2040 RTP/SCS.

### **Monitoring of Outcomes**

In addition to monitoring the implementation actions, staff will also begin to establish the basis to monitor the associated performance outcomes. While implementation actions may be taken, for example, by a city or county, the performance outcomes will focus primarily at the regional level. SCAG is currently pursuing the development of tools to facilitate the monitoring and assessment of performance outcomes across geographic scales. Finally, subregions that take delegation to develop the subregional SCS for the 2016-2040 are not expected to conduct monitoring of performance outcomes at the subregional level.

Attachment 2 was developed building upon the table of performance measures for monitoring in the 2012-2035 RTP/SCS. In Attachment 2, while all existing performance measures from the 2012 RTP/SCS

are listed, potential additional performance measures for monitoring are noted subject to further input and discussion. These potential additional performance measures consider the upcoming MAP-21 requirements, and the collective work of California MPOs in identifying (draft) common performance measures for monitoring the outcome of SB 375 implementation. It should be noted that the U.S. DOT is expect to establish performance measures through rule-making with adoption scheduled by April 2015. Accordingly, additional performance measures for monitoring (from what are currently noted in Attachment 2) may be needed to comply with the MAP-21 requirements. Attachment 2 could be used as an initial starting point for the development of performance measures for monitoring for the 2016-2040 RTP/SCS.

Finally, to facilitate the discussion process, comments received on Attachment 2 that require further discussion are summarized in Attachment 3.

**ATTACHMENT 1 - MONITORING OF IMPLEMENTATION ACTIONS (Draft, 1/12/14)**

<b>Category of Actions</b>	<b>Specific Implementation Actions</b>	<b>How</b>	<b>Who</b>
<b>Local General Plan/Zoning</b>	General Plan updates to support RTP/SCS (e.g., TOD, infill, concentrating destinations & complete communities)	Survey/IGR	Monitoring Staff
	Zoning update to support RTP/SCS	Survey/IGR	Monitoring Staff
	Specific plans overlapping with the Transit Priority Area per SB 743	Survey/IGR	Monitoring Staff
	Housing element compliance	On-going	Monitoring Staff
<b>Active Transportation and TDM</b>	Complete streets policy/Bike or pedestrian plan/	Survey	AT Staff
	TDM programs/ordinances (e.g., rideshare and telecommuting )	Survey	Transit Staff
	Parking management plan/ordinance	Survey	Monitoring Staff
<b>Transportation Network and TSM</b>	Timely implementation of FTIP Projects	FTIP database	FTIP staff
	Planning to support high speed rail		Transportation Staff
	Update of regional and county ITS architecture		Transportation Staff
	Express lane implementation		Transportation Staff
<b>Other Transportation/Land Use</b>	Safe Routes to School Plan/Program	Survey	AT Staff
	Traffic calming plans/projects		AT Staff
	Active design guidelines		AT Staff
<b>Environmental Sustainability</b>	Climate action plans	Survey	Sustainability Staff
	Plans to protect open space and park lands	Survey	Sustainability Staff
	Programs/policies/ordinances for energy efficiency, renewable, energy, green building, zero or near zero emission vehicles, water consumption efficiency	Survey	Sustainability Staff
	Develop Regional PEV Readiness Plan (e.g., charging infrastructure)	Study	Sustainability Staff
<b>Environmental Justice</b>	Mitigation (e.g., air filter installation) for housing within 500 feet from high volume roadways		Monitoring Staff
<b>Funding</b>	Planning funds received for the region supportive of SCS	Survey	Monitoring Staff
	Development/impact fee ordinance		Monitoring Staff
	Dedicated federal funding for freight		Trans. Finance Staff
	Affordable housing trust fund		Monitoring Staff
<b>Environmental Review Process</b>	CEQA streamlining cases	Survey	Monitoring Staff
<b>Others</b>	SCAG Joint Work Programs with CTCs	On-going	SCAG/CTC Staff

**ATTACHMENT 2 - MONITORING OF IMPLEMENTATION OUTCOMES (Draft, 1/12/14)**

<b>Outcome</b>	<b>Performance Measures</b>	<b>Definition</b>	<b>Data Sources</b>	<b>Notes</b>	
<b>Location Efficiency</b>	<i>Land consumption (agricultural land)</i>		CA Farmland Monitoring	Draft MPO common indicator	
	Share of growth in HQTA		ACS, Info Group, CA EDD, CNT		
	Annual household transportation cost				
	Percent income spent on housing and transportation		CNT		
<b>Mobility &amp; Accessibility</b>	Acres of parks & open space /1,000 residents		SCAG GIS database		
	Highway non-recurrent delay for mixed flow and high occupancy lanes		Caltrans PeMS		
	<i>Average commute time</i>	<i>Average travel time for work trips</i>	ACS	Draft MPO common indicator	
	<i>Mode share (work trips)</i>		ACS	Draft MPO common indicator	
<b>Reliability</b>	<i>Percent of congested VMT</i>		Caltrans PeMS	Draft MPO common indicator	
	Variability of travel time for auto and trucks		Caltrans PeMS		
	<b>Safety and Health</b>	Fatalities	<i>Number</i> and per VMT of fatalities	Caltrans TASAS	Additions per MAP-21 requirements
		Serious injuries	<i>Number</i> and per VMT of serious injuries	Caltrans TASAS	Additions per MAP-21 requirements
<b>Environmental Quality</b>	Asthma incidences & exacerbation	The share of population who are ever diagnosed with asthma	CA Health Interview Survey		
	Percent of households living within 500 feet from high volume roadways		SCAG GIS database		
	Pre-mature deaths due to PM2.5		ARB		
<b>Preservation</b>	Ambient air quality conditions	Number of days exceeding federal standards			
	<i>CO2 emissions reduction per capita</i>			Draft MPO common indicator	
	<i>State of Good Repair</i>	Pending MAP-21 rule-making by U.S. DOT		Additions per MAP-21 requirements	

**Additional performance measures/indicators for monitoring (subject to further research and data availability as identified in 2012 RTP/SCS) include the following:**

- Daily amount of walking and biking related to work and non-work trips; annual household energy use (transportation+space heating; annual household water consumption;
- Percent of households with walk access to neighborhood services; percent of jobs within 15 minutes walk of transit;
- Percent of population within 1/2 mile (or 10 minute walk) of high frequency transit stop (every 10 minutes during peak periods);
- Percent of households living > 65 decibels noise; Percent of residents within 1/2 mile walk to parks and open space;
- Lost lane miles for highways, percent seat miles utilized for transit

***Italics: Potential additional measures for monitoring considering MAP-21 and draft MPO common set indicators subject to further input***

**Acronyms**

ACS: American Community Survey      EDD: Employment Development Department      CNT: Center for Neighborhood Technology  
 PeMS: Performance Measurement System      TASAS: Traffic Accident Surveillance and Analysis System

### **ATTACHMENT 3**

#### **Summary of Comments on Attachment 2 for Further Discussion**

(As of January 12, 2014)

- Performance measures on “Annual household transportation cost” and “Percent of housing and transportation costs” include personal choice and preferences. Decoupling is needed.
- May need to re-consider the performance measure of “percent of households living within 500 feet from high volume roadways”.
- Suggest to replace the “asthma incidences” measures with “percent of fleet that is zero or near-zero emissions”.
- Consider breaking the Attachment into two separate lists: the first for mandated items that will be used for modeling and the second would be for additional monitoring that SCAG wants to do but is not mandated to do.



**SOUTHERN CALIFORNIA  
ASSOCIATION of GOVERNMENTS**

Item 4 Attachment: SB743 – OPR’s Preliminary Evaluation of Alternative Methods  
of Transportation Analysis



EDMUND G. BROWN JR.  
GOVERNOR

STATE OF CALIFORNIA  
GOVERNOR'S OFFICE *of* PLANNING AND RESEARCH



KEN ALEX  
DIRECTOR

## Preliminary Evaluation of Alternative Methods of Transportation Analysis

December 30, 2013

As required by statute, the Governor's Office of Planning and Research is developing a new way to measure environmental impacts related to transportation. This is an opportunity both to reduce costs associated with environmental review, and, importantly, to achieve better fiscal, health and environmental outcomes. We need your help in this effort.

### I. Introduction

On September 27, 2013, Governor Brown signed [Senate Bill 743](#) (Steinberg, 2013). Among other things, SB 743 creates a process to change analysis of transportation impacts under the California Environmental Quality Act (Public Resources Code section 21000 and following) (CEQA). Currently, environmental review of transportation impacts focuses on the delay that vehicles experience at intersections and on roadway segments. That delay is measured using a metric known as "level of service," or LOS. Mitigation for increased delay often involves increasing capacity (i.e. the width of a roadway or size of an intersection), which may increase auto use and emissions and discourage alternative forms of transportation. Under SB 743, the focus of transportation analysis will shift from driver delay to reduction of greenhouse gas emissions, creation of multimodal networks and promotion of a mix of land uses.

Specifically, SB 743 requires the Governor's Office of Planning and Research (OPR) to amend the CEQA Guidelines (Title 14 of the California Code of Regulations sections and following) to provide an alternative to LOS for evaluating transportation impacts. Particularly within areas served by transit, those alternative criteria must "promote the reduction of greenhouse gas emissions, the development of multimodal transportation networks, and a diversity of land uses." (New Public Resources Code Section 21099(b)(1).) Measurements of transportation impacts may include "vehicle miles traveled, vehicle miles traveled per capita, automobile trip generation rates, or automobile trips generated." (*Ibid.*) OPR also has discretion to develop alternative criteria for areas that are not served by transit, if appropriate. (*Id.* at subd. (c).)

Though a draft of the Guidelines revisions is not required until July 1, 2014, OPR is seeking early public input into its direction. This document provides background information on CEQA, the use of LOS in transportation analysis, and a summary of SB 743's requirements. Most importantly, it also contains OPR's preliminary evaluation of LOS and different alternatives to LOS. It ends with a description of open

questions and next steps. In developing a better alternative to LOS, OPR will rely heavily on input from all stakeholders. We hope that you will share your thoughts and expertise in this effort.

Input may be submitted electronically to [CEQA.Guidelines@ceres.ca.gov](mailto:CEQA.Guidelines@ceres.ca.gov). Please include “LOS Alternatives” in the subject line. While electronic submission is preferred, suggestions may also be mailed or hand delivered to:

Christopher Calfee, Senior Counsel  
Governor’s Office of Planning and Research  
1400 Tenth Street  
Sacramento, CA 95814

Please submit all suggestions before **February 14, 2014 at 5:00 p.m.**

## II. CEQA Background

Since SB 743 requires a change in the analysis of transportation impacts under CEQA, this section provides a brief overview of CEQA’s requirements.

CEQA generally requires public agencies to inform decision makers and the public about the potential environmental impacts of proposed projects, and to reduce those environmental impacts to the extent feasible. The rules governing that environmental analysis are contained in the Public Resources Code, in the administrative regulations known as the CEQA Guidelines, and in cases interpreting both the statute and the CEQA Guidelines.

Many projects are exempt from CEQA. Typically, however, some form of environmental analysis must be prepared. If a project subject to CEQA will not cause any adverse environmental impacts, a public agency may adopt a brief document known as a Negative Declaration. If the project may cause adverse environmental impacts, the public agency must prepare a more detailed study called an Environmental Impact Report (EIR). An EIR contains in-depth studies of potential impacts, measures to reduce or avoid those impacts, and an analysis of alternatives to the project.

The key question in an environmental analysis is whether the project will cause adverse physical changes in the environment. CEQA defines the “environment” to mean “the *physical* conditions that exist within the area which will be affected by a proposed project, including land, air, water, minerals, flora, fauna, noise, or objects of historic or aesthetic significance.” (Pub. Resources Code, § 21060.5 (emphasis added).) As this definition suggests, the focus of environmental review must be on physical changes in the environment. Generally, social and economic impacts are not considered as part of a CEQA analysis. (CEQA Guidelines, § 15131.)

Once an agency determines that an impact might cause a significant adverse change in the environment, it must consider feasible mitigation measures to lessen the impact. (Pub. Resources Code, § 21002.) Specifically, a lead agency may use its discretionary authority to change a project proposal to avoid or minimize significant effects. (CEQA Guidelines, § 15040(c).) The authority to mitigate must respect constitutional limitations, however. Mitigation measures must be related to a legitimate governmental

interest, and must be “roughly proportional” to the magnitude of the project’s impact. (CEQA Guidelines, § 15126.4(a)(4).)

### III. Background on Measures of Automobile Delay

Many jurisdictions currently use “level of service” standards, volume to capacity ratios, and similar measures of automobile delay, to assess potential traffic impacts during a project’s environmental review. Level of service, commonly known as LOS, is a measure of vehicle delay at intersections and on roadway segments, and is expressed with a letter grade ranging from A to F. LOS A represents free flowing traffic, while LOS F represents congested conditions. LOS standards are often found in local general plans and congestion management plans.

Traffic has long been a consideration in CEQA. (See, e.g., *Fullerton Joint Union High School Dist. v. State Bd. of Education* (1982) 32 Cal. 3d 779, 794 (school district’s reorganization could potentially affect the environment by altering traffic patterns).) In 1990, the Legislature linked implementation of congestion management plans, including LOS requirements, with CEQA. (Gov. Code, § 65089(b)(4).) LOS has been an explicit part of CEQA analysis since at least the late 1990’s, when the sample environmental checklist in the CEQA Guidelines asked whether a project would exceed LOS standards. (See former CEQA Guidelines, App. G. § XV; see also, *Sacramento Old City Assn. v. City Council* (1991) 229 Cal. App. 3d 1011, 1033 (addressing claims of an EIR’s inadequacy related to level of service analysis).)

### IV. Problems with using LOS in CEQA

Though, as explained above, LOS has been used in CEQA for many years, it has recently been criticized for working against modern state goals, such as emissions reduction, development of multimodal transportation networks, infill development, and even optimization of the roadway network for motor vehicles. The following are key problems with using LOS in CEQA:

**LOS is difficult and expensive to calculate.** LOS is calculated in several steps:

- First, the number of vehicle trips associated with a project must be estimated.
- Second, after estimating the number of vehicle trips generated by the project, an analysis requires assumptions about the path that those vehicles may take across the roadway network.
- Third, traffic levels must be estimated at points along the roadway network, as compared to traffic that might occur without the project.
- Fourth, microsimulation models are used to determine traffic outcomes of volume projections.

Thus, an analysis under LOS typically requires estimates of trip generation, estimates of trip distribution, conducting existing traffic counts at points along the network, and an analysis and comparison of traffic function at each point for future project and “no project” scenarios.

**LOS is biased against “last in” development.** Typical traffic analyses under CEQA compare future traffic volumes against LOS thresholds. A project that pushes LOS across the threshold triggers a significant impact. In already developed areas, existing traffic has already lowered LOS closer to the threshold. Because the LOS rating used to determine significance of the project’s impact is determined by total traffic (existing traffic plus traffic added by the project), infill projects disproportionately trigger LOS thresholds compared to projects in less developed areas.

**LOS scale of analysis is too small.** LOS is calculated for individual intersections and roadway segments. As traffic generated by a project fans out from the project, it substantially affects a few nearby intersections and roadway segments, then affects more distant intersections and roadway segments by a smaller amount. LOS impacts are typically triggered only at the nearby intersections and roadway segments where the change is greatest. Projects in newly developed areas typically generate substantially more vehicle travel than infill projects,<sup>1</sup> but that traffic is more dispersed by the time it reaches congested areas with intersections and roadway segments operating near the thresholds. As a result, while outlying development may contribute a greater amount of total vehicle travel and cause widespread but small increases in congestion across the roadway network, it may not trigger LOS thresholds. Further, piecemeal efforts to optimize LOS at individual intersections and roadway segments may not optimize the roadway network as a whole. Focusing on increasing vehicle flow intersection-by-intersection or segment-by-segment frequently results in congested downstream bottlenecks, in some cases even worsening overall network congestion.<sup>2</sup>

**LOS mitigation is itself problematic.** Mitigation for LOS impacts typically involves reducing project size or adding motor vehicle capacity. Without affecting project demand, reducing the size of a project simply transfers development, and its associated traffic, elsewhere. When infill projects are reduced in size, development may be pushed to less transportation-efficient locations, which results in greater total travel. Meanwhile, adding motor vehicle capacity may induce additional vehicle travel, which negatively impacts the environment and human health.<sup>3</sup> It also negatively impacts other modes of transportation, lengthening pedestrian crossing distances, adding delay and risk to pedestrian travel, displacing bicycle and dedicated transit facilities, and adding delay and risk to those modes of travel.

**LOS mischaracterizes transit, bicycle, and pedestrian improvements as detrimental to transportation.** Tradeoffs frequently must be made between automobile convenience and the

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<sup>1</sup> For information on the relationship between infill and compact development, and vehicle travel and GHG emissions, see [Growing Cooler, Evidence on Urban Development and Climate Change](#), September 2007.

<sup>2</sup> This phenomenon is called Braess’ Paradox. For a description, see Braess, Dietrich. 1968, translated 2005. “On a Paradox of Traffic Planning.” *Transportation Science*, 39 (4), pp. 446-450. ISSN 0041-1655. For prevalence, see Steinberg, Richard and Zangwill, Willard I. (1983) The prevalence of Braess' paradox. *Transportation science*, 17 (3). pp. 301-318. ISSN 0041-1655

<sup>3</sup> Duranton, Gilles, and Matthew A. Turner. 2011. "The Fundamental Law of Road Congestion: Evidence from US Cities." *American Economic Review*, 101(6): 2616-52.

provision of safe and efficient facilities for users of transit and active modes. Since LOS measures the delay of motor vehicles, any improvement for other modes that might inconvenience motorists is characterized as an impediment to transportation.

**Use of LOS thresholds implies false precision.** Calculating LOS involves a sequence of estimates, with each step using the output of the previous step. Imprecision in an early step can be amplified throughout the sequence. While it is difficult to estimate the distribution of future trips across the network with a high level of precision, the calculation of congestion levels is highly sensitive to that estimate. Further, LOS is typically reported in environmental analyses without acknowledging potential uncertainty or error.

**As a measurement of delay, LOS measures motorist convenience, but not a physical impact to the environment.** Other portions of an environmental analysis will account for vehicular emissions, noise and safety impacts.

## V. SB 743

SB 743 marks a shift away from auto delay as a measure of environmental impact. It does so in several ways.

First, it allows cities and counties to designate “infill opportunity zones” within which level of service requirements from congestion management plans would no longer apply. (See, SB 743, § 4 (amending Gov. Code, § 65088.4).)

Second, it requires OPR to develop criteria for determining the significance of transportation impacts of projects within transit priority areas, and further provides OPR with discretion to develop such criteria outside of transit priority areas. The Secretary for the Natural Resources Agency must then adopt the new criteria in an update to the CEQA Guidelines. (See, SB 743, § 5 (adding Pub. Resources Code § 21099).)

Third, and perhaps most importantly, once the CEQA Guidelines containing the new criteria are certified, “automobile delay, as described solely by level of service or similar measures of vehicular capacity or traffic congestion shall not be considered a significant impact on the environment pursuant to this division, except in locations specifically identified in the guidelines, if any.” (*Id.* at subd. (b)(2).)

SB 743 includes legislative intent to help guide the development of the new criteria for transportation impacts. For example, Section 1 of the bill states: “New methodologies under the California Environmental Quality Act are needed for evaluating transportation impacts that are better able to promote the state’s goals of reducing greenhouse gas emissions and traffic-related air pollution, promoting the development of a multimodal transportation system, and providing clean, efficient access to destinations.” Further, subdivision (b) of the new Section 21099 requires that the new criteria “promote the reduction of greenhouse gas emissions, the development of multimodal transportation networks, and a diversity of land uses.” It also suggests several possible alternative measures of

potential transportation impacts, including, but not limited to: “vehicle miles traveled, vehicle miles traveled per capita, automobile trip generation rates, or automobile trips generated.”

Notably, SB 743 does not limit the types of projects to which the new transportation criteria would apply. Rather, it simply authorizes the development of criteria for the “transportation impacts of projects[.]” (New § 21099(b)(1); see also subd. (c)(1) (referring only to “transportation impacts”).) The Legislature intended the new criteria to apply broadly. An early version of this provision, in SB 731, would have limited the new criteria to “transportation impacts for residential, mixed-use residential, or employment center projects [on] infill sites within transit priority areas.” (See, SB 731 (Steinberg), amended in Assembly August 6, 2013.) Therefore, OPR will investigate criteria that would apply to all project types, including land use development, transportation projects, and other relevant project types.

An earlier version of SB 731 would have limited the application of these changes by determining that automobile delay is not an environmental impact only in transit priority areas. (See, SB 731(Steinberg), amended in Assembly September 9, 2013, at § 12 (“Upon certification of the guidelines by the Secretary of the Natural Resources Agency pursuant to this section, automobile delay, as described solely by level of service or similar measures of capacity or congestion within a transit priority area, shall not support a finding of significance”) (emphasis added).) As adopted in SB 743, however, automobile delay may only be treated as an environmental impact “in locations specifically identified in the guidelines, if any.” (New § 21099(b)(2).) Further, subdivision (c) explicitly authorizes OPR to develop criteria outside of transit priority areas. Given the statement of legislative intent that new transportation metrics are needed to better promote the state’s goals, OPR intends to investigate metrics and criteria that will apply statewide.

## VI. OPR Goals and Objectives in Developing Alternative Criteria

In developing alternative transportation criteria and metrics, OPR must choose metrics that “promote the reduction of greenhouse gas emissions, the development of multimodal transportation networks, and a diversity of land uses.” (New Section 21099(b)(1).) In addition to this statutory directive, OPR will also weigh other factors in evaluating different criteria. Those additional factors include:

**Environmental Effect.** The California Supreme Court has directed that CEQA “be interpreted in such manner as to afford the fullest possible protection to the environment within the reasonable scope of the statutory language.” (*Friends of Mammoth v. Board of Supervisors* (1972) 8 Cal. 3d 247, 259.) OPR, therefore, seeks to develop criteria that maximize environmental benefits, and minimize environmental harm.

**Fiscal and Economic Effect.** Our state and local governments have limited fiscal resources. The state’s planning priorities are intended to, among other things, strengthen the economy. (Gov. Code, § 65041.1.) In evaluating alternative criteria, OPR seeks criteria that will lead to efficient use of limited fiscal resources, for example by

reducing long run infrastructure maintenance costs, and to the extent relevant in the CEQA context, promotion of a stronger economy.

**Equity.** OPR will look for alternative criteria that treat people fairly. The state’s planning priorities are intended to promote equity. (Gov. Code, § 65041.1.) OPR seeks to develop criteria that facilitate low-cost access to destinations. Further, OPR recognizes that in its update to the General Plan Guidelines, OPR must provide planning advice regarding “the equitable distribution of new public facilities and services that increase and enhance community quality of life throughout the community, given the fiscal and legal constraints that restrict the siting of these facilities.” (Gov. Code, § 65040.12.) In addition, OPR must also provide advice on “promoting more livable communities by expanding opportunities for transit-oriented development so that residents minimize traffic and pollution impacts from traveling for purposes of work, shopping, schools, and recreation.” (*Ibid.*) Though this advice must be developed within the General Plan Guidelines, OPR recognizes that similar issues may be relevant in the context of evaluating transportation impacts under CEQA.

**Health.** OPR recognizes that “[h]ealthy and sustainable communities are the cornerstones of the state’s long-term goals.” (Environmental Goals and Policy Report, Discussion Draft (September 2013), at p. 26.) OPR will, therefore, look for alternative criteria that promote the health benefits associated with active transportation and that minimize adverse health outcomes associated with vehicle emissions, collisions and noise.

**Simplicity.** The purpose of environmental analysis is to inform the public and decision-makers of the potential adverse effects of a project. (Pub. Resources Code, § 21003(b).) Environmental documents must “be written in plain language and may use appropriate graphics so that decision makers and the public can rapidly understand the documents.” (CEQA Guidelines, § 15140.) OPR, therefore, seeks to develop criteria that are as simple and easy to understand as possible. The criteria should enable the public and other interested agencies to participate meaningfully in the environmental review process.

**Consistency with Other State Policies.** SB 743 included legislative intent that the alternative criteria support the state’s efforts related to greenhouse gas reduction and the development of complete streets. OPR will also be guided by the state’s planning priorities, and in particular, the promotion of infill development, as described in Government Code section 65041.1.

**Access to destinations.** Even as it serves and impacts many other interests, the fundamental purpose of the transportation network is to provide access to destinations for people and goods. A transportation network does this by providing mobility and supporting proximity. In growing communities, some degree of roadway congestion is

inevitable<sup>4</sup>; we cannot “build our way out of congestion” by adding roadway capacity because doing so induces additional vehicle travel. Therefore, accommodating better proximity of land uses and improving the overall efficiency of network performance is essential for providing and preserving access to destinations. Transit and active mode transportation options can play a key role in providing access to destinations and supporting proximity.

The objectives described above need not be the only considerations in selecting alternative criteria. In fact, OPR invites your input into these objectives. *Are these the right objectives? Are there other objectives that should be considered?*

## VII. Preliminary Evaluation of the Alternative Criteria

This section provides OPR’s preliminary evaluation of the alternative metrics set forth in SB 743, as well as other metrics suggested during our initial outreach. This preliminary evaluation asks whether the alternative satisfies the objectives set forth in SB 743, as well as OPR’s own objectives described above. It also attempts to identify which mitigation measures and project alternatives might flow from use of each candidate metric. Finally, this evaluation seeks to identify the level of difficulty of using each metric, including availability of models and data required.

### Vehicle Miles Traveled

*Variant 1: per capita for residential, per employee for employment centers, per trip for commercial*  
*Variant 2: per person-trip for all projects*

Vehicle Miles Traveled (VMT)<sup>5</sup> is one of two metrics specified by SB 743 for consideration. VMT counts the number of miles traveled by motor vehicles that are generated by or attracted to the project. VMT captures motorized trip generation rates, thereby accounting for the effects of project features and surrounds. It also captures trip length, and so can also account for regional location, which is the most important single determinant of vehicle travel. Although VMT counts only motor vehicle trips, not trips taken by other modes, it registers the benefits of transit and active transportation trips insofar as they reduce motor vehicle travel. In this way, VMT captures the environmental benefits of transit and active mode trips.

Of the metrics we consider here, VMT is relatively simple to calculate. Assessing VMT is substantially easier than assessing LOS because it does not require counting existing trips, estimating project trip distribution, or traffic microsimulation for determining congestion. Assessing VMT requires only estimates of trip generation rates and trip length, and can be readily modeled using existing tools such as the U.S. Environmental Protection Agency’s EPA’s MXD model.

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<sup>4</sup> Duranton, Gilles, and Matthew A. Turner. 2011. "The Fundamental Law of Road Congestion: Evidence from US Cities." *American Economic Review*, 101(6): 2616-52.

<sup>5</sup> For additional information about VMT and its relationship to environmental impacts, see U.S. Environmental Protection Agency, “[Our Built and Natural Environments: A Technical Review of the Interactions Between Land Use, Transportation, and Environmental Quality](#) (2nd Edition),” June 2013.

Mitigation to reduce VMT can include designing projects with a mix of uses, building transportation demand management (TDM) features into the project, locating the project in neighborhoods that have transit or active mode transportation opportunities, or contributing to the creation of such opportunities. Since VMT is sensitive to regional location, it can also be mitigated by choosing a more central location for the project.

Used as a transportation metric under CEQA, VMT could encourage reduction of motor vehicle travel, increase transit and active mode transportation, and increase infill development.

### **Automobile Trips Generated**

*Per capita for residential, per employee for employment centers*

Automobile trips generated (ATG) is one of two metrics specified by SB 743 for consideration. ATG counts the number of motor vehicle trips that are generated by or attracted to the project. ATG thereby accounts for the effects of project features and project surroundings (i.e., the availability of transit). It does not, however, account for the length of the trip, and therefore it does not account for regional location, the most important determinant of vehicle travel<sup>6</sup>. Although ATG counts only motor vehicle trips, not trips taken by other modes, it registers the benefits of transit and active transportation trips insofar as they reduce motor vehicle trips taken. In this way, ATG captures some of the environmental benefits of transit and active mode trips.<sup>7</sup>

Of all the metrics considered, ATG is the easiest to calculate. It does not require counts of existing traffic, estimation of project trip distribution, or traffic microsimulation for determining congestion. In fact, calculating ATG is simply the first step in calculating most of the other metrics, including LOS.

Mitigation for ATG can include locating a project in an area that facilitates transit or active mode transportation, such as an infill or transit oriented location, and including transportation demand management features in the project.

Used as a transportation metric under CEQA, ATG could encourage reduction of motor vehicle travel, increased active mode transportation, and increased infill development. Because it omits regional location, however, it may be less effective at achieving those ends than VMT.

### **Multi-Modal Level of Service**

Multi-Modal Level of Service (MMLOS) is a metric of user comfort for travelers on various modes. Along with the traditional motor vehicle LOS metric, MMLOS includes additional ratings for transit, walking

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<sup>6</sup> Reid Ewing & Robert Cervero (2010) [Travel and the Built Environment](#), Journal of the American Planning Association, 76:3, 265-294, DOI: 10.1080/01944361003766766.

<sup>7</sup> For more information on the ATG metric, see [Automobile Trips Generated: CEQA Impact Measure & Mitigation Program](#), City of San Francisco, October 2008.

and biking modes. It rates intersections and roadway segments, delivering an A through F grade for each mode at each location. However, like LOS, MMLOS does not account for the total extent of motor vehicle travel, just its effect near the project. It also does not examine the transportation system on the scale of an entire trip length for other modes. The most commonly used MMLOS methodology is that put forth by the 2010 Highway Capacity Manual.

Assessing MMLOS requires detailed data on existing conditions for each mode of travel at intersections and roadway segments analyzed, plus trip generation and distribution by mode from the project. MMLOS is more difficult to calculate than LOS. Further, the methodology for non-motorized modes continues to develop. MMLOS is the subject of expert debate. For example, increased pedestrian traffic may be a desirable environmental outcome rather than an impact to be mitigated. Meanwhile, reducing the number of motor vehicle lanes on a street with bicycle lanes can benefit cyclists, but can degrade MMLOS under the Highway Capacity Manual's methodology.

Impacts determined by MMLOS can be mitigated by adding motor vehicle capacity, improving transit service, and/or adding amenities for transit and active mode travelers. Since transportation facilities near infill projects often already support a variety of modes, projects in these locations may require more mitigation than projects further from these amenities, potentially discouraging infill development.

MMLOS could act either to increase or reduce motor vehicle travel, depending on the relative weight of ratings between modes. It could encourage development of transit and active mode facilities, potentially increasing use of those modes. However, because it would assign the burden of those mitigations to development, it has the potential to raise infill costs and thereby reduce infill development.

### **Fuel Use**

*Per capita for residential, per employee for employment centers, per trip for commercial*

Fuel use counts the amount of fuel used by vehicle trips generated by or attracted to the project. In doing so, it captures motorized trip generation rates, thereby accounting for the effects of project features and surrounds. It also captures trip length, and so can also account for regional location, which is the most important single determinant of vehicle travel. Finally, it also captures fuel efficiency, which is affected by vehicle mix and traffic conditions. Although fuel use counts only motor vehicle trips, not trips taken by other modes, it registers the benefits of trips taken by other modes insofar as they reduce motor vehicle travel. In this way, Fuel Use captures the environmental benefits of transit and active mode trips.

Assessing Fuel Use with precision would require the application of microsimulation tools over the area affected by project motorized vehicle traffic. Alternately, a fuel efficiency multiplier could be applied to VMT, but that would eliminate sensitivity to roadway operations, rendering this metric equivalent to the VMT metric.

Mitigation for Fuel Use can include building in transportation demand management (TDM) features as part of the project, locating the project in neighborhoods that supply transit or active mode transportation opportunities. Also, because Fuel Use traces the full extent of motor vehicle trips and therefore is sensitive to regional location, it can also be mitigated by choosing a more central location for the project. Mitigation measures for Fuel Use might also include improving motor vehicle traffic operations and speeds. However, to the extent that these mitigation measures would induce demand, they would lose effectiveness. In the coming years, fuel efficiency improvements will necessitate shifting thresholds, and zero emissions vehicles could eventually render the metric irrelevant. Also, permeation of electric-drive vehicles with regenerative braking reduces the effect of traffic operations improvements on fuel use.

Used as a transportation metric under CEQA, Fuel Use would act to reduce motor vehicle travel, except where transportation operations improvements or capacity expansions induce more travel in the long run. It would tend to increase transit and active mode transportation, although it could penalize their operation if they have a negative effect on motor vehicle traffic operations. Finally, it would tend to increase infill development, with the same caveats.

### **Motor Vehicle Hours Traveled**

*Per capita for residential, per employee for employment centers, per trip for commercial*

Motor Vehicle Hours Traveled (VHT) counts the time taken by motor vehicle trips generated by or attracted to the project. In doing so, it captures motorized trip generation rates, thereby accounting for the effects of project features and project surroundings. It also captures trip length, and so can account for regional location, which is the most important single determinant of vehicle travel. Finally, it also captures travel time, which is affected by traffic conditions. Although VHT counts only motor vehicle trips, not trips taken by other modes, it registers the benefits of trips taken by other modes insofar as they reduce motor vehicle travel. In this way, VHT captures the environmental benefits of transit and active mode trips.

Assessing VHT with precision would require the application of more sophisticated modeling tools than those needed to assess VMT. In some areas, those tools may not be available or data might not be available to support them.

Mitigation for VHT can include building in transportation demand management (TDM) features as part of the project, locating the project in neighborhoods that supply transit, or active mode transportation opportunities. Because VHT traces the full extent of motor vehicle trips and therefore is sensitive to regional location, it can also be mitigated by choosing a more central location for the project. In the near term, VHT could be mitigated by increasing travel speeds, e.g. by increasing vehicle capacity. In the long run, however, increased travel speeds generate additional vehicle travel, eventually re-congesting the roadway and congesting traffic. Increased vehicle speeds may also adversely affect bicycle and pedestrian travel.

As a metric, VHT could act to reduce motor vehicle travel, except if it were used to justify roadway expansion to create short-run benefit without considering long-run induced demand. VHT would in many cases tend to increase transit and active mode transportation, although it would penalize their operation if they have a negative effect on traffic operations. Finally, in some cases VHT would remove a barrier to infill development, although mitigation measures that increase roadway capacity could have the opposite effect.

### **Presumption of Less Than Significant Transportation Impact Based on Location**

Development in centrally-located areas and areas served by transit generally impacts the regional transportation network substantially less than outlying development. Given the lower motor vehicle trip generation rates and shorter trip distances that have been shown for projects in such areas compared with projects elsewhere, project location could serve as predetermined “transportation-beneficial development” areas. Such areas might be presumed to cause less than significant regional transportation impacts. These areas could be mapped so as to be easily identified. Projects outside of such areas may require additional analysis, and mitigation if necessary, using one of the metrics described above.

## **VIII. Open questions and next steps**

The discussion above described OPR’s initial impressions of several suggested transportation metrics. Many open questions remain at this point. Some of those open questions, as well as next steps, are set forth below.

1. SB 743 requires that whatever metric is developed, it must promote reductions in greenhouse gas emissions. Increases in roadway capacity for automobiles may lead to increases in noise, greenhouse gas emissions and other air pollutants. SB 743 similarly provides that air quality, noise, safety and other non-delay effects related to transportation will remain a part of a CEQA analysis.
  - a. Are there environmental impacts related to transportation other than air quality (including greenhouse gas emissions), noise and safety? If so, what is the best measurement of such impacts that is not tied to capacity?
  - b. Are there transportation-related air quality, noise and safety effects that would not already be addressed in other sections of an environmental analysis (i.e., the air quality section or noise section of an initial study or environmental impact report)? If so, what is the best measurement of such impacts that is not tied to capacity?
  - c. Would consistency with roadway design guidelines normally indicate a less than significant safety impact?

2. What are the best available models and tools to measure transportation impacts using the metrics evaluated above? SB 743 allows OPR to establish criteria “for models used to analyze transportation impacts to ensure the models are accurate, reliable, and consistent with the intent of” SB 743. Should OPR establish criteria for models? If so, which criteria?
3. SB 743 provides that parking impacts of certain types of projects in certain locations shall not be considered significant impacts on the environment. Where that limitation does not apply, what role, if any, should parking play in the analysis of transportation impacts?

OPR will continue conducting research and meeting with stakeholders while this preliminary evaluation is being publicly reviewed. Following the close of the comment period, OPR will evaluate the input it receives, and develop a discussion draft of the alternatives to LOS and relevant changes to the CEQA Guidelines. The public will be invited to provide input on that discussion draft. If necessary, OPR may further revise the discussion draft based on that input. OPR intends to transmit a final draft of the changes to the CEQA Guidelines to the Natural Resources Agency by July 1, 2014.



SOUTHERN CALIFORNIA  
**ASSOCIATION of GOVERNMENTS**

Item 5 Attachment: State Active Transportation Program Draft Guidelines

**DRAFT**  
**ACTIVE TRANSPORTATION PROGRAM**  
**GUIDELINES**

**12/30/13**

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## INTRODUCTION

### BACKGROUND

The Active Transportation Program was created by Senate Bill 99 (Chapter 359, Statutes 2013) and Assembly Bill 101 (Chapter 354, Statutes 2013) to encourage increased use of active modes of transportation, such as biking and walking.

These guidelines describe the policy, standards, criteria, and procedures for the development, adoption and management of the Active Transportation Program. They were developed in consultation with the Active Transportation Program Workgroup. The workgroup includes representatives from Caltrans, other government agencies, and active transportation stakeholder organizations with expertise in pedestrian and bicycle issues, including Safe Routes to School programs.

The Commission must hold at least two public hearings prior to adopting these guidelines. The Commission may amend the adopted guidelines after conducting at least one public hearing. The Commission shall make a reasonable effort to amend the guidelines prior to the call for projects or may extend the deadline for project submission in order to comply with the amended guidelines.

### PROGRAM GOALS

Pursuant to statute, the goals of the Active Transportation Program are to achieve:

- Increase the proportion of trips accomplished by biking and walking.
- Increase the safety and mobility of non-motorized users.
- Advance the active transportation efforts of regional agencies to achieve greenhouse gas reduction goals as established pursuant to Senate Bill 375 (Chapter 728, Statutes of 2008) and Senate Bill 391 (Chapter 585, Statutes of 2009).
- Enhance public health, including reduction of childhood obesity through the use of programs including, but not limited to, projects eligible for Safe Routes to School Program funding.
- Ensure that disadvantaged communities fully share in the benefits of the program.
- Provide a broad spectrum of projects to benefit many types of active transportation users.

### PROGRAM SCHEDULE

The guidelines for an initial two-year program of projects must be adopted by March 26, 2014 (within six months of the enactment of the authorizing legislation). No later than 45 days prior to adopting the initial set of guidelines for the Active Transportation Program, the Commission must submit the draft guidelines to the Joint Legislative Budget Committee.

Subsequent programs must be adopted not later than April 1 of each odd-numbered year, however, the Commission may alternatively elect to adopt a program annually.

The following schedule lists the major milestones for the development and adoption of the 2014 Active Transportation Program:

- December 11, 2013: Commission adopts Fund Estimate
- January 22, 2014: Guidelines hearing, South
- January 29, 2014: Guidelines hearing, North

- February 3, 2104: Guidelines submitted to the Joint Legislative Budget Committee
- March 20, 2014: Commission adopts Active Transportation Program Guidelines
- March 21, 2014: Call for projects
- May 21, 2014: Project applications to Commission
- May 21, 2014: Large MPO guidelines to Commission (optional)
- June 25, 2014: Commission approves or rejects MPO guidelines
- August 20, 2014: Commission adopts Active Transportation Program (statewide and rural/small urban portions). Projects not programmed distributed to large MPOs based on location.
- September 30, 2014: Deadline for MPO project programming recommendations to the Commission.
- November 2014: Commission programming of MPO selected projects.

## FUNDING

### SOURCE

The Active Transportation Program is funded from various federal and state funds appropriated in the annual Budget Act. These are:

- 100% of the federal Transportation Alternative Program funds, except for federal Recreation Trail Program funds appropriated to the Department of Parks and Recreation.
- \$21 million of federal Highway Safety Improvement Program funds or other federal funds.
- State Highway Account funds.

In addition to furthering the goals of this program, all Active Transportation Program projects must meet eligibility requirements specific to the Active Transportation Program's funding sources.

### DISTRIBUTION

State and Federal law segregate the Active Transportation Program into multiple, overlapping components. The Active Transportation Program Fund Estimate shall indicate the funds available for each of the program components. Consistent with these requirements, the Active Transportation Program funds shall be distributed as follows:

1. Forty percent to Metropolitan Planning Organizations in urban areas with populations greater than 200,000.

These funds shall be distributed based on total county population. The funds programmed and allocated under this paragraph shall be selected through a competitive process by the MPOs in accordance with these guidelines.

Projects selected by MPOs may be in either large urban, small urban, or rural areas.

25% of the funds in each MPO must benefit disadvantaged communities.

The following statutory requirements apply specifically to the Southern California Association of Governments (SCAG)

- SCAG shall consult with county transportation commissions, the Commission, and Caltrans in the development of competitive project selection criteria.
  - The criteria used by SCAG should include consideration of geographic equity, consistent with program objectives.
  - SCAG shall place priority on projects that are consistent with plans adopted by local and regional governments within the county where the project is located.
  - SCAG shall obtain concurrence from the county transportation commissions.
2. Ten percent to small urban and rural regions with populations of 200,000 or less, with projects competitively awarded by the Commission to projects in those regions. Federal law segregates Transportation Alternative Program into separate small urban and rural competitions; ~~therefore this portion of the program will be segregated into separate Small Urban and Rural programs~~ based upon their relative share of the state population. Small Urban areas are those with populations of 5,001 to 200,000. Rural areas are those with populations below 5,000.

25% of the funds in the Small Urban and Rural programs must benefit disadvantaged communities.

Projects within the boundaries of a MPO with an urban area with a population of greater than 200,000 are not eligible for funding in the Small Urban or Rural programs.

3. Fifty percent to projects competitively awarded by the Commission on a statewide basis.

25% of the funds in the statewide competitive program must benefit disadvantaged communities.

In the initial three years of the program, \$24 million per year of the statewide competitive program is available for safe routes to schools projects, with at least \$7.2 million for non-infrastructure grants, including funding for a state technical assistance resource center.

## MATCHING REQUIREMENTS

Projects requesting up to \$1 million and that do not benefit a disadvantaged community shall include at least 10% in matching funds. All projects requesting \$5 million or more shall include at least 20% in matching funds. The source of the match funds cannot be state or federal funds subject to allocation by the Commission. The match must be in the same component as the Active Transportation Program funding. Additionally, match funds must be expended after Commission Active Transportation Program allocation funds, and concurrently and proportionally to the Active Transportation Program funds.

Large MPOs, in administering a competitive selection process, may require a **different** funding match for projects selected through their competitive process. Applicants from within a large MPO should be aware that the requirements in these two competitions may differ.

## FUNDING FOR ACTIVE TRANSPORTATION PLANS

The Commission will make a percentage of Active Transportation Program funding available for the funding of active transportation plans in disadvantaged communities. The percentage of funding available for active transportation plans will be based on the percentage of Active Transportation Program that request funding for plans. This percentage will be applied first to the statewide competitive program then

subsequently to the rural and small urban portion of the program. A large MPO in administering its portion of the program may use the same percentage methodology to determining the funding available for active transportation plans within the MPO or it may propose an alternate methodology.

The first priority for the funding of active transportation plans will be for cities, counties, school districts, or transit districts that have neither a bicycle plan, a pedestrian plan, a safe routes to schools plan, nor an active transportation plan. The second priority for the funding of active transportation plans will be for cities or counties that have a bicycle plan or a pedestrian plan but not both.

## REIMBURSEMENT

The Active Transportation Program is a reimbursement program for costs incurred. Reimbursement is requested through the invoice process detailed in Chapter 5, Accounting/Invoices, Local Assistance Procedures Manual. Costs incurred prior to Commission allocation and, for federally funded projects, Federal Highway Administration project approval (i.e. Authorization to Proceed) are not eligible for reimbursement.

## ELIGIBILITY

### ELIGIBLE APPLICANTS

The applicant for Active Transportation Program funds assumes responsibility and accountability for the use and expenditure of program funds. Applicants must be able to comply with all the federal and state laws, regulations, policies and procedures required to enter into a Local Administering Agency-State Master Agreement (Master Agreement). Refer to Chapter 4, Agreements, of the Local Assistance Procedures Manual for guidance and procedures on Master Agreements. The following entities, within the State of California, are eligible to apply for Active Transportation Program funds:

- **Local, Regional or State Agencies**- Examples include city, county, MPO\*, and Regional Transportation Planning Agency.
- Caltrans\*
- Transit Agencies - Any agency responsible for public transportation that is eligible for funds under the Federal Transit Administration.
- Natural Resource or Public Land Agencies - Federal, Tribal, State, or local agency responsible for natural resources or public land administration Examples include:
  - State or local park or forest agencies
  - State or local fish and game or wildlife agencies
  - Department of the Interior Land Management Agencies
  - U.S. Forest Service
- School districts, local education agencies, or schools – May include any public or nonprofit private school. Projects **must** benefit the general public, and not only a private entity.
- Tribal Governments - Federally-recognized Native American Tribes.
- **Private nonprofit tax-exempt organizations may apply for Recreational Trail Projects. Projects must benefit the general public, and not only a private entity.**
- Any other entity with responsibility for oversight of transportation or recreational trails that the Commission and Caltrans determine to be eligible.

For funding awarded to a tribal government, a fund transfer to the Bureau of Indian Affairs is required. A tribal government may also partner with another eligible entity to apply if desired.

*\* State DOTs and MPOs are not eligible project sponsors for the federal TAP funds appropriated to the Active Transportation Program. Therefore, funding awarded to projects submitted directly by Caltrans and MPOs are limited to other Active Transportation Program funds. Caltrans and MPOs may partner with an eligible entity to expand funding opportunities.*

## PARTNERING WITH IMPLEMENTATING AGENCIES

Entities that are unable to apply for Active Transportation Program funds, enter into a Master Agreement with the State, or unfamiliar with the requirements to administer a Federal-Aid Highway Program project may partner with an eligible applicant that can implement the project. This arrangement should be formalized through a signed Memorandum of Understanding or Interagency Agreement between the project applicant and implementing agency, documentation of which must be included with the project application.

The implementing agency will be responsible and accountable for the use and expenditure of program funds.

## ELIGIBLE PROJECTS

All projects shall be selected through a competitive process and must meet one or more of the program goals. Because the majority for funds in the Active Transportation Program are federal funds, most infrastructure projects and all non-infrastructure projects must be federal-aid eligible:

- Infrastructure Projects: Capital improvements that will further the goals of this program. This typically includes the planning, design, and construction of facilities.
- Non-infrastructure Projects: Education, encouragement, and enforcement activities that further the goals of this program. The Commission intends to focus funding for non-infrastructure projects on pilot and start-up projects that can demonstrate funding for ongoing efforts. These grants are not intended to fund ongoing program operations. Non-infrastructure projects are not limited to those benefiting school students.
- Infrastructure projects with non-infrastructure components.

In order to maximize the effectiveness of program funding and to encourage the aggregation of small projects into a comprehensive bundle of projects, the minimum request for Active Transportation Program funds for an infrastructure project, excluding Safe Routes to Schools projects, that will be considered is \$500,000 \$250,000. MPOs, in administering a competitive selection process, may use different minimum funding size. Use of a minimum project size greater than \$500,000 must be approved by the Commission prior to the MPO's call for projects.

## EXAMPLE PROJECTS

Below is a list of projects considered generally eligible for Active Transportation Program funding. This list is not intended to be comprehensive; other types of projects that are not on this list may also be eligible if they further the goals of the program.

- Development of new bikeways and walkways that improve mobility, access, or safety for non-motorized users.
- Improvements to existing bikeways and walkways, which improve mobility, access, or safety for non-motorized users.

- Elimination of hazardous conditions on existing bikeways and walkways.
- Preventative maintenance of bikeways and walkways with the primary goal of extending the service life of the facility.
- Installation of traffic control devices to improve the safety of pedestrians and bicyclists.
- Safe Routes to School projects that improve the safety of children walking and bicycling to school, in accordance with Section 1404 of Public Law 109-59.
- Safe routes to transit projects, which will encourage transit by improving biking and walking routes to mass transportation facilities and school bus stops.
- Secure bicycle parking at employment centers, park and ride lots, rail and transit stations, and ferry docks and landings.
- Bicycle-carrying facilities on public transit, including rail and ferries.
- Recreational trails and trailheads, park projects that facilitate trail linkages or connectivity to non-motorized corridors, and conversion of abandoned railroad corridors to trails.
- Education programs to increase bicycling and walking, and other non-infrastructure investments that demonstrate effectiveness in increasing active transportation, including:
  - Developing bike-to-work or school day/month programs.
  - Conducting bicycle and/or pedestrian counts, walkability and/or bikability assessments or audits, or pedestrian and/or bicycle safety analysis to inform plans and projects.
  - Conducting pedestrian and bicycle safety education programs.
  - Development and publishing of community walking and biking maps, including school route/travel plans.
  - Developing walking school bus/bike train programs.
  - Components of open streets events directly linked to the promotion of a new infrastructure project.
  - Targeted enforcement activities around high pedestrian and/or bicycle injury and/or fatality locations (intersections or corridors). These activities cannot be general traffic enforcement but must be tied to improving pedestrian and bicyclist safety.
  - School crossing guard training.
  - School bicycle clinics.
- Development of a bike, pedestrian or active transportation plan.

## PROJECT TYPE REQUIREMENTS

As discussed in the Funding Distribution section (above), State and Federal law segregate the Active Transportation Program into multiple, overlapping components. Below is an explanation of the requirements specific to these components.

## DISADVANTAGED COMMUNITIES

For a project to contribute toward the Disadvantaged Communities funding requirement, the project shall clearly demonstrate a benefit to a community that meets any of the following criteria:

- The median household income is less than 80% of the statewide average based on zip code level data from the American Community Survey. Data is available at [http://www.dof.ca.gov/research/demographic/state\\_census\\_data\\_center/american\\_community\\_survey/](http://www.dof.ca.gov/research/demographic/state_census_data_center/american_community_survey/).

- An area identified as among the most disadvantaged 10% in the state according to latest versions of the California Communities Environmental Health Screening Tool (CalEnviroScreen) scores. Scores are available at <http://oehha.ca.gov/ej/ces11.html>.
- At least 75% of public school students in the project area are eligible to receive free or reduced-price meals under the National School Lunch Program. Data is available at <http://www.cde.ca.gov/ds/sd/sd/files/sp.asp>. Applicants using this measure shall indicate how the project benefits the school students in the project area or, for projects not directly benefiting school students, explain why this measure is representative of the larger community.

If a project applicant believes a project benefits a disadvantaged community but the project does not meet the aforementioned criteria, the applicant may submit for consideration a quantitative assessment of why the community should be considered disadvantaged.

MPOs, in administering a competitive selection process, may use different criteria for determining which projects benefit Disadvantaged Communities if the criteria are approved by the Commission prior to the MPO's call for projects.

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## SAFE ROUTES TO SCHOOL PROJECTS

For a project to contribute toward the Safe Routes to School funding requirement, the project shall directly increase safety and convenience for public school students to walk and/or bike to school. Safe Routes to Schools infrastructure projects must be located within two miles of a public school or public school bus stop. Other than traffic education and enforcement activities, non-infrastructure projects do not have a location restriction.

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## RECREATIONAL TRAILS PROJECTS

For Recreational Trails types of projects to be eligible for Active Transportation Program funding, the projects must meet the federal requirements of the Recreational Trails Program ([http://www.fhwa.dot.gov/environment/recreational\\_trails/](http://www.fhwa.dot.gov/environment/recreational_trails/)) as such projects may not be eligible for funding from other sources.

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## TECHNICAL ASSISTANCE RESOURCE CENTER

In 2010, Caltrans entered into a multi-year interagency agreement with the California Department of Public Health and the University of California, San Francisco to act as the Technical Assistance Resource Center for the Safe Routes to Schools program. The purpose of the center is to build and support capacity among local and regional Safe Routes to School projects with an emphasis on non-infrastructure projects.

Typical center roles have included:

- Providing technical assistance and training to help agencies deliver existing and future projects and to strengthen community involvement in future projects including those in disadvantaged communities.
- Developing and providing educational materials to local communities by developing a community awareness kit, creating an enhanced Safe Routes to Schools website, and providing other educational tools and resources.
- Participating in and assisting with the Safe Routes to Schools Advisory Committee.

- Assisting with program evaluation.

The Commission intends to comply with the statutory requirement to fund a state technical assistance center by expanding the existing Safe Routes to Schools Technical Assistance Resource Center interagency agreement to include the serving entire active transportation program. Should this not occur, the Commission will consider grant applications to fund additional technical assistance activities.

## PROJECT SELECTION PROCESS

### PROJECT APPLICATION

Active Transportation Program project applications are available at [www.dot.ca.gov](http://www.dot.ca.gov)

A project nomination shall include the signature of the Chief Executive Officer or other officer authorized by the applicant's governing board. Where the project is to be implemented by an agency other than the applicant, the documentation of the agreement between the project applicant and implementing agency. A project nomination shall also include documentation of all other funds committed to the projects.

Project nominations should be addressed or delivered to:

#### Caltrans

1120 N Street  
Sacramento, CA 95814

Except for applications submitted through an optional MPO supplemental call for project, the Commission will consider only projects for which five hard copies and one electronic copy of a complete nomination are received by *May 21, 2014*. By the same date, an additional copy shall also be sent to the Regional Transportation Planning Agency or County Transportation Commission within which the project is located and to the MPO if the project is located within a multi-county MPO.

### SEQUENTIAL PROJECT SELECTION

All project applications, except for applications submitted through an optional MPO supplemental call shall be submitted to the Caltrans for consideration in the statewide competition. The Commission will consider approval of a competitive grant only when it finds that the grant request meets the requirements of statute and that the project has a commitment of any supplementary funding needed for a full funding plan.

Projects not selected for programming in the statewide competition shall be considered in the large MPO run competitions or the state run Small Urban or Rural competitions.

A large urban MPO may elect to have a supplemental MPO specific call for projects. The projects received in this call shall be considered along with those not selected through the statewide competition.

A large urban MPO choosing to use the same project selection criteria and weighting, minimum project size, and definition of disadvantage communities for its competitive selection process may defer its project selection to the Commission.

### MPO COMPETITIVE PROJECT SELECTION

Projects not selected for programming in the statewide competition shall be considered by the MPOs in administering a competitive selection process. A MPO choosing to use the same project selection criteria and weighting, minimum project size, match requirement, and definition of disadvantage communities as used by the Commission for the statewide competition may defer its project selection to the Commission.

A MPO, with Commission approval, may use a different project selection criteria or weighting, minimum project size, match requirement, or definition of disadvantage communities for its competitive selection process. **Use of a minimum project size of \$500,000 or less, or of a smaller match requirement than in the statewide competitive program does not require prior Commission approval.** A MPO may also elect to have a supplemental MPO specific call for projects. The projects received in this call shall be considered along with those not selected through the statewide competition.

In administering a competitive selection process, a MPO shall use a multidisciplinary advisory group to assist in evaluating project applications. Following its competitive selection process, a MPO shall submit its programming recommendations to the Commission along with a list of the members of its multidisciplinary advisory group.

## SCREENING CRITERIA

Demonstrated needs of the applicant:

A project that is already fully funded will not be considered for funding in the Active Transportation Program. The Commission **will** make an exception to this policy by allowing the supplanting of federal funds on a project for the 2014 Active Transportation Program.

Consistence with a regional transportation plan:

All projects submitted must be consistent with the relevant adopted regional transportation plan that has been developed and updated pursuant to Government Code Section 65080.

## SCORING CRITERIA

Proposed projects will be rated and ranked on the basis of applicant responses to the below criteria. Project programming recommendations may not be based strictly on the rating criteria because of the various components of the Active Transportation Program and the requirements of the various fund sources.

- Potential for increased walking and bicycling, especially among students, including the identification of walking and bicycling routes to and from schools, transit facilities, community centers, **employment centers**, and other destinations; and including increasing and improving connectivity and mobility of non-motorized users. (0 to **30** points)
- Potential for reducing **the number and/or rate of** pedestrian and bicyclist fatalities and injuries, including the identification of safety hazards for pedestrians and bicyclists. (0 to **25** points)
- **Public participation and Planning.** (0 to 15 points)

Identification of the community-based local public participation process that culminated in the project proposal, which may include noticed meetings and consultation with local stake holders. Project applicants must clearly how the local participation process **resulted in the identification and prioritization of the proposed project.**

For projects costing \$1 million or more, an emphasis will be placed on projects that demonstrate consistency with an adopted city or county bicycle transportation plan, pursuant to Section 891.2, pedestrian plan, safe routes to school plan, active transportation plan, **trail plan or circulation element of a general plan**. In future funding cycles, the Commission expects to make consistency with an approved active transportation plan a requirement for large projects.

- Cost-effectiveness, defined as maximizing the impact of the funds provided. (0 to **10** points)

Applicants shall **discuss the relative costs and benefits of the range of alternative considered** and quantify the safety and mobility benefit in relationship to total project cost.

Caltrans shall develop a benefit/cost model for **infrastructure and non-infrastructure** active transportation projects in order to improve information available to decision makers at the state and MPO level in future programming cycles.

- **Improved public health through the targeting of at-risk or vulnerable populations. (0 to 10 points)**
- Benefit to disadvantaged communities. (0 to 10 points)
- Use of the California Conservation Corps or a qualified community conservation corps, as defined in Section 14507.5 of the Public Resources Code, as partners to undertake or construct applicable projects in accordance with Section 1524 of Public Law 112-141. **Points will be deducted if an applicant does not seek corps participation or if an applicant intends not to utilize a corps in a project in which the corps can participate.** (0 to -5 points)

Direct contracting with the California Conservation Corps or a qualified community conservation corps without bidding is permissible provided that the responsible agency demonstrates cost effectiveness per 23 CFR 635.204 and obtains approval from Caltrans. A copy of the agreement between the responsible agency and the proposed conservation corps shall be included in the project application as supporting documentation.

- Applicant's performance on past grants. This may include project delivery, project benefits (anticipated v. actual), and use of the California Conservation Corps or qualified community conservation corps (planned v. actual). Applications from agencies with poor performance records on past grants may be excluded from competing or may be penalized in scoring. (**0 to -10** points)

## PROJECT EVALUATION COMMITTEE

Commission staff will form a multidisciplinary Project Evaluation Committee is to assist in evaluating project applications. In forming the Project Evaluation Committee, staff will seek participants with expertise in bicycling and pedestrian transportation, including Safe Routes to Schools type projects, and in projects benefiting disadvantaged communities, and will seek representation from state agencies, large MPOs, small urban and rural areas, and non-governmental organizations. Priority for participation in the evaluation committee will be given to those who do not represent a project sponsor or applicant, or will not benefit from projects submitted by others.

In reviewing and selecting projects to be funded by federal funds in the Recreational Trails Program, the Commission staff will collaborate with the Department of Parks and Recreation to evaluate proposed projects

MPOs, in administering a competitive selection process, shall use a multidisciplinary advisory group, similar to the aforementioned Project Evaluation Committee, to assist in evaluating project applications.

## PROGRAMMING

### PROJECT PROGRAMMING

Following at least one public hearing, the Commission will adopt an annual program of projects for the Active Transportation Program, by April 1 of each odd numbered year. The Active Transportation Program shall be developed consistent with the fund estimate and the amount programmed in each fiscal year shall not exceed the amount identified in the fund estimate.

The program of projects for each fiscal year will include, for each project, the amount to be funded from the Active Transportation Program, and the estimated total cost of project construction or equipment acquisition, including any additional supplementary funding. Project costs in the Active Transportation Program will include all project support costs and all project listings will specify costs for each of the following components: (1) completion of all permits and environmental studies; (2) preparation of plans, specifications, and estimates; (3) right-of-way capital outlay (4) support for right-of-way acquisition; (5) construction capital outlay; and (6) construction management and engineering, including surveys and inspection. The cost of each project cost component will be listed in the Active Transportation Program no earlier than in the fiscal year in which the particular project component can be delivered.

When proposing to fund only preconstruction components for a project, the applicant should demonstrate the means by which it intends to fund the construction of a useable segment, consistent with the regional transportation plan or the Caltrans interregional transportation strategic plan.

When project design, right-of-way or construction are programmed before the sponsoring agency completes the environmental process, updated cost estimates, updated analysis of the project's cost effectiveness, and updated analysis of the project's ability to further the goals of the program shall be submitted to the Commission following completion of the environmental process. If this updated information indicates that a project is expected to accomplish fewer benefits or is less cost effective as compared with the initial project application, future funding for the project may be deleted from the program. For the MPO selected competitions, this information should be submitted to the MPO. It is the responsibility of the MPO to recommend that the project be deleted from the program if warranted.

The Commission will program and allocate funding to projects in whole thousands of dollars and will include a project only if it is fully funded from a combination of Active Transportation Program and other committed funding. The Commission will regard funds as committed when they are programmed by the Commission or when the agency with discretionary authority over the funds has made its commitment to the project by ordinance or resolution. For federal formula funds, including Surface Transportation Program, Congestion Mitigation and Air Quality Improvement Program, and federal formula transit funds, the commitment may be by Federal Transportation Improvement Program adoption. For federal discretionary funds, the commitment may be by federal approval of a full funding grant agreement or by grant approval.

~~The Commission may approve an amendment to the Active Transportation Program at any time. An amendment must appear in an agenda published 10 days in advance of the Commission meeting. Amendments do not require the 30-day notice that applies to a State Transportation Improvement~~

~~Program (STIP) amendment. Amendments to the MPO selected portion of the program must be approved by the MPO prior to Commission approval.~~

If the program of projects adopted by the Commission does not program the full capacity identified in the fund estimate for a given fiscal year, the balance will remain available for future program amendments to advance programmed projects. A balance not programmed in one fiscal year will carry over and be available for projects in the following fiscal year, except that unprogrammed funds will not carry over into a subsequent fund estimate.

The intent of the Commission is to consolidate the allocation of federal funds to as few projects as practicable. Therefore, the smallest project may be designated, at the time of programming, for state-only funding.

## ALLOCATIONS

The Commission will consider the allocation of funds for a project when it receives an allocation request and recommendation from Caltrans in the same manner as for the STIP (see section 64 of the STIP guidelines). The recommendation will include a determination project readiness, the availability of appropriated funding, and the availability of all identified and committed supplementary funding.

Where the project is to be implemented by an agency other than the applicant, the allocation request shall include a copy of the Memorandum of Understanding or Interagency Agreement between the project applicant and implementing agency

The Commission will approve the allocation if the funds are available, the allocation is necessary to implement the project as included in the adopted Active Transportation Program.

In order to ensure the timely use of all program funds, the Commission will, in the last quarter of the fiscal year, allocate funds to projects programmed in a future fiscal year on a first-come, first served basis. If there are insufficient funds, the Commission may delay the allocation of funds to a project until the next fiscal year without requiring an extension. Should requests for allocations exceed available capacity, the Commission will give priority to projects programmed in the current-year.

Allocation requests for a project in the MPO selected portion of the program must include a recommendation by the MPO.

In compliance with Section 21150 of the Public Resources Code, the Commission will not allocate funds for design, right-of-way, or construction prior to documentation of environmental clearance under the California Environmental Quality Act. As a matter of policy, the Commission will not allocate funds for design, right-of-way, or construction of a federally funded project prior to documentation of environmental clearance under the National Environmental Policy Act. Exceptions to this policy may be made in instances where federal law allows for the acquisition of right-of-way prior to completion of National Environmental Policy Act review.

If a project requests an allocation of funds in an amount that is less than the amount programmed, that allocation savings may be allocated to a programmed project advanced from a future fiscal year. A MPO, in administering its competitive portion of the Active Transportation Program, shall determine which projects to advance and make that recommendation to the Commission. Unallocated funds in one fiscal year will carry over and be available for projects in the following fiscal year, except that unallocated funds will not carry over into a subsequent fund estimate.

## PROJECT DELIVERY

Active Transportation Program allocations must be requested in the fiscal year of project programming, and are valid for award for six months from the date of allocation unless the Commission approves an extension. **However, if there are insufficient funds, the Commission may delay the allocation of funds to a project until the next fiscal year without requiring an extension.** **If there are insufficient funds, the Commission may delay the allocation of funds to a project until the next fiscal year without requiring an extension.** Applicants may submit and the Commission will evaluate extension requests in the same manner as for STIP projects (see section 66 of the STIP guidelines) except that extension to the period for project allocation and for project award will be limited to twelve months. Extension requests for a project in the MPO selected portion of the program must include a recommendation by the MPO, consistent with the preceding requirements

Whenever programmed funds are not allocated within this deadline, the project will be deleted from the Active Transportation Program. Funds available following the deletion of a project may be allocated to a programmed project advanced from a future fiscal year. A MPO, in administering its competitive portion of the Active Transportation Program, shall determine which projects to advance and make that recommendation to the Commission. Unallocated funds in one fiscal year will carry over and be available for projects in the following fiscal year, except that unallocated funds will not carry over into a subsequent fund estimate.

The responsible agency must enter into a cooperative agreement with Caltrans and, if the project is federally funded, obligate the federal funds within six months.

Funds allocated for project development or right of way costs must be expended by the end of the second fiscal year following the fiscal year in which the funds were allocated. After the award of a contract, the project sponsor has up to 36 months to complete (accept) the contract. At the time of fund allocation, the Commission may extend the deadline for completion of work and the liquidation of funds if necessary to accommodate the proposed expenditure plan for the project. The project sponsor has six months after contract acceptance to make the final payment to the contractor or vendor, prepare the final Report of Expenditure and submit the final invoice to Caltrans for reimbursement.

**If the amount of a contract award is less than the amount allocated, or if the final cost of a component is less than the amount awarded, the saving generated will not be available for future programming or allocation.**

Caltrans will track the delivery of Active Transportation Program projects and submit to the Commission a quarterly report showing the delivery of each project component.

## PROJECT INACTIVITY

Once funds for a project are encumbered, project applicants are expected to invoice on a regular basis (for federal funds, see 23 CFR 630.106 and the Caltrans' Inactive Obligation Policy). Failure to do so will result in the project being deemed "inactive" and subject to deobligation if proper justification is not provided.

## PROJECT REPORTING

As a condition of the project allocation, the Commission will require the implementing agency to submit **quarterly semi-annual** reports on the activities and progress made toward implementation of the project

and a final delivery report. An agency implementing a project in the MPO selected portion of the program shall also submit copies of its semi-annual reports and of its final deliver report to the MPO. The purpose of the reports is to ensure that the project is being executed in a timely fashion and is within the scope and budget identified when the decision was made to fund the project. Costs associated with reporting are an eligible project cost.

Within ~~six months~~ one year of the project becoming operable, the implementing agency shall provide a final delivery report to the Commission which includes:

- The scope of the completed project as compared to the programmed project.
- Before and after photos documenting the project.
- The final costs as compared to the approved project budget.
- Its duration as compared to the project schedule in the project application.
- Performance outcomes derived from the project as compared to those described in the project application. This should include before and after pedestrian and/or bicycle counts, and an explanation of the methodology for conduction counts.
- Actual use of the California Conservation Corps or qualified community conservation corps as compared to the use in the project application.

For the purpose of this section, a project becomes operable when the construction contract is accepted or acquired equipment is received, or in the case of non-infrastructure activities, when the activities are complete.

Caltrans shall audit a sample of Active Transportation Program projects to determine whether project costs incurred and reimbursed are in compliance with the executed project agreement or approved amendments thereof; state and federal laws and regulations; contract provisions; and Commission guidelines, and whether project deliverables (outputs) and outcomes are consistent with the project scope, schedule and benefits described in the executed project agreement or approved amendments thereof.

## ROLES AND RESPONSIBILITIES

### CALIFORNIA TRANSPORTATION COMMISSION (COMMISSION)

The Commission responsibilities include:

- Adopt guidelines and policies for the Active Transportation Program.
- Adopt Active Transportation Program Fund Estimate.
- Evaluate projects, including the forming of the Project Evaluation Committee.
- Adopt a program of projects, including:
  - The statewide portion of the Active Transportation Program,
  - The rural portion of the Active Transportation Program,
  - The small urban portion of the Active Transportation Program, and
  - The MPO selected portion of the program based on the recommendations of the MPOs.
  - Ensure that at least 25% of the funds benefit disadvantage communities.
- Allocate funds to projects.
- Report to the legislature.

### CALIFORNIA DEPARTMENT OF TRANSPORTATION (CALTRANS)

Caltrans has the primary responsibility for the administration of the Active Transportation Program. Responsibilities include:

- Provide statewide program and procedural guidance to the Districts (i.e. provide project evaluation of materials and instructions), conducts outreach through various networks such as, but not limited to, the Active Transportation Program website, and at conferences, meetings, or workgroups.
- Solicit project applications for the program.
- Facilitate the Project Evaluation Committee.
- Perform eligibility reviews of Active Transportation Program projects.
- Review project applications for scope, cost, schedule, and completeness.
- Recommend project to the Commission for programming and allocation.
- Notify applicants of the results after each call for projects.
- Track project implementation.
- Serve as the main point of contact in project implementation after notifying successful applicants of award.

## METROPOLITAN PLANNING ORGANIZATIONS WITH LARGE URBANIZED AREAS

These MPOs are responsible for overseeing a competitive project selection process in accordance with these guidelines. The responsibilities include:

- Ensure that at least 25% of the funds in each MPO must benefit disadvantage communities.
- If using different project selection criteria or weighting, minimum project size, match requirement, or definition of disadvantage communities for its competitive selection process, the MPO must obtain Commission approval prior to the MPO's call for projects. **Use of a minimum project size of \$500,000 or less, or of a smaller match requirement than in the statewide competitive program does not require prior Commission approval.**
- If electing to have a supplemental MPO specific call for projects, the projects within the MPO boundaries that were not selected through the statewide competition shall be considered along with those received in the supplemental call for projects.
- In administering a competitive selection process, a MPO shall use a multidisciplinary advisory group to assist in evaluating project applications.
- In administering a competitive selection process, a MPO shall explain how the projects recommended for programming by the MPO include a broad spectrum of projects to benefit pedestrians and bicyclists. The explanation shall include a discussion of how the recommended projects benefit students walking and cycling to school.
- A MPO choosing to use the same project selection criteria and weighting, minimum project size, and definition of disadvantage communities for its competitive selection process may defer its project selection to the Commission.
- Approve amendments to the MPO selected portion of the program prior to Commission approval.
- Recommend allocation requests for a project in the MPO selected portion of the program.
- Determine which projects to advance and make that recommendation to the Commission.

The following statutory requirements apply specifically to the Southern California Association of Governments (SCAG)

- SCAG shall consult with county transportation commissions, the Commission, and Caltrans in the development of competitive project selection criteria. The criteria should include consideration of geographic equity, consistent with program objectives.
- SCAG shall place priority on projects that are consistent with plans adopted by local and regional governments within the county where the project is located.
- SCAG shall obtain concurrence from the county transportation.

## REGIONAL TRANSPORTATION PLANNING AGENCIES OUTSIDE A MPO WITH LARGE URBANIZED AREAS AND A MPO WITHOUT LARGE URBANIZED AREAS

These Regional Transportation Planning Agencies and MPOs may make recommendations or provide input to Commission regarding the projects within their boundaries that are applying for Active Transportation Program funding.

## PROJECT APPLICANT

Project applicants nominate Active Transportation Program projects for funding consideration. If awarded Active Transportation Program funding for a submitted project, the project applicant has contractual responsibility for carrying out the project to completion in accordance with federal, state, and local laws and regulations, and these guidelines. For capital projects, the project applicant will be responsible for the ongoing operations and maintenance of the facility.

## ACTIVE TRANSPORTATION PLAN

A city, county, county transportation commission, regional transportation planning agency, MPO, school district, or transit district may prepare an active transportation plan. A plan prepared by a city or county may be integrated into the circulation element of its general plan or a separate plan. An active transportation plan shall include, but not be limited to, the following components:

- a) The estimated number of existing bicycle trips and pedestrian trips in the plan area, both in absolute numbers and as a percentage of all trips, and the estimated increase in the number of bicycle trips and pedestrian trips resulting from implementation of the plan.
- b) The number and location of collisions, serious injuries, and fatalities suffered by bicyclists and pedestrians in the plan area, both in absolute numbers and as a percentage of all collisions and injuries, and a goal for collision, serious injury, and fatality reduction after implementation of the plan.
- c) A map and description of existing and proposed land use and settlement patterns which shall include, but not be limited to, locations of residential neighborhoods, schools, shopping centers, public buildings, major employment centers, and other destinations.
- d) A map and description of existing and proposed bicycle transportation facilities.
- e) A map and description of existing and proposed end-of-trip bicycle parking facilities.
- f) A description of existing and proposed policies related to bicycle parking in public locations, private parking garages and parking lots and in new commercial and residential developments.
- g) A map and description of existing and proposed bicycle transport and parking facilities for connections with and use of other transportation modes. These shall include, but not be limited to, parking facilities at transit stops, rail and transit terminals, ferry docks and landings, park and ride lots, and provisions for transporting bicyclists and bicycles on transit or rail vehicles or ferry vessels.

- h) A map and description of existing and proposed pedestrian facilities at major transit hubs. These shall include, but not be limited to, rail and transit terminals, and ferry docks and landings.
- i) A description of proposed signage providing wayfinding along bicycle and pedestrian networks to designated destinations.
- j) A description of the policies and procedures for maintaining existing and proposed bicycle and pedestrian facilities, including but not limited to the maintenance of smooth pavement, freedom from encroaching vegetation, maintenance of traffic control devices including striping and other pavement markings, and lighting.
- k) A description of bicycle and pedestrian safety, education, and encouragement programs conducted in the area included within the plan, efforts by the law enforcement agency having primary traffic law enforcement responsibility in the area to enforce provisions of the law impacting bicycle and pedestrian safety, and the resulting effect on accidents involving bicyclists and pedestrians.
- l) A description of the extent of citizen and community involvement in development of the plan, including, but not limited to, letters of support.
- m) A description of how the active transportation plan has been coordinated with neighboring jurisdictions and is consistent with other local or regional transportation, air quality, or energy conservation plans, including, but not limited to, general plans and a Sustainable Community Strategy in a Regional Transportation Plan.
- n) A description of the projects and programs proposed in the plan and a listing of their priorities for implementation, including the methodology for project prioritization and a proposed timeline for implementation.
- o) A description of past expenditures for bicycle and pedestrian facilities and programs, and future financial needs for projects and programs that improve safety and convenience for bicyclists and pedestrians in the plan area. Include anticipated revenue sources and potential grant funding for bicycle and pedestrian uses.
- p) A description of staffing needs to implement projects and programs and current staff resources dedicated to bicycle and pedestrian uses.
- q) A resolution showing adoption of the plan by the city, county or district. If the active transportation plan was prepared by a county transportation commission, regional transportation planning agency, MPO, school district or transit district, the plan should indicate the support via resolution of the city(s) or county(s) in which the proposed facilities would be located.

A city, county, school district, or transit district that has prepared an active transportation plan may submit the plan to the county transportation commission or transportation planning agency for approval. The city, county, school district, or transit district may submit an approved plan to Caltrans in connection with an application for funds active transportation facilities which will implement the plan.

## FEDERAL REQUIREMENTS

Unless programmed for state-only funding, project applicants must comply with the provisions of Title 23 of the U.S. Code of Federal Regulations and with the processes and procedures contained in the Caltrans Local Assistance Procedure Manual and the Master Agreement with Caltrans. Below are examples of federal requirements that must be met when administering Active Transportation Program projects.

- National Environmental Policy Act (NEPA) compliance and documentation is required on all projects. Refer to Chapter 6, Environmental Procedures, of the Local Assistance Procedures Manual for guidance and procedures on complying with NEPA and other federal environmentally related laws.
- Project applicants may not proceed with the final design of a project or request "Authorization to proceed with Right-of-Way" or "Authorization to proceed with Construction" until Caltrans has signed a Categorical Exclusion, a finding of No Significant Impact, or a Record of Decision. Failure to follow this requirement will make the project ineligible for federal reimbursement.
- If the project requires the purchase of right of way (the acquisition of real property), the provisions of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 apply. For more information, refer to Chapter 13, Right of Way, of the Local Assistance Procedures Manual.
- If the project applicant requires the consultation services of architects, landscape architects, land surveyors, or engineers, the procedures in the Chapter 10, Consultant Selection, of the Local Assistance Procedures Manual must be followed.
- Contract documents are required to incorporate applicable federal requirements such as Davis Bacon wage rates, competitive bidding, Disadvantaged Business Enterprises/Equal Employment Opportunity provisions, etc. For more information, refer to Chapter 9, Civil Rights and Disadvantaged Business Enterprises, and Chapter 12, Plans, Specifications & Estimate, of the Local Assistance Procedures Manual

Failure to comply with federal requirements may result in the repayment to the State of Active Transportation Program funds.

## DESIGN STANDARDS

Chapter 11, Design Standards, of the Caltrans Local Assistance Procedure Manual describes statewide design standards, specifications, procedures, guides, and references that are acceptable in the geometric, drainage, and structural design of Local Assistance projects. The chapter also describes design exception approval procedures. These standards and procedures shall be used for all Active Transportation Program projects. With each programming cycle, Caltrans shall report on the number and nature of design exceptions requested, whether those design exceptions were approved or denied, and when denied the reason for the denial.

For capital projects, the project applicant will be responsible for the ongoing operations and maintenance of the facility.

All facilities constructed using Active Transportation Program funds cannot revert to a non-Active Transportation Program use for a minimum of 20 years or its actual useful life, whichever is less, without approval of the Commission.

## PROGRAM EVALUATION

The Active Transportation Program will be evaluated for its effectiveness in increasing the use of active modes of transportation in California. Applicants that receive funding for a project will be asked to collect and submit data to Caltrans as described in the "Project Reporting" section.

By December 31, 2014, the Commission will post its website information about the initial program of projects, including a list of all projects programmed and allocated in each portion of the program, by region, and by project type, along with information on grants awarded to disadvantaged communities,

After 2014, the Commission will include in its annual report to the Legislature a discussion on the effectiveness of the program in terms of planned and achieved improvement in mobility and safety and timely use of funds, and will include a summary of its activities relative to the administration of the Active Transportation Program including:

- Projects programmed,
- Projects allocated
- Projects completed to date by project type,
- Projects completed to date by geographic distribution,
- Projects completed to date by benefit to disadvantaged communities, and
- Projects completed to date with the California Conservation Corps or qualified community conservation corps.

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Item 6 Attachment: Current Schedule of One-on-One Meetings with Local  
Jurisdictions

## **Schedule of One-on-One Meetings with Local Jurisdictions to Provide Assistance for a Bottom-up Local Input Process**

January 16, 2014

At the October 3, 2013 CEHD meeting, staff presented the sample package for local input on SCAG's growth forecast and land use datasets for the 2016 RTP/SCS. Starting in November, all 197 local jurisdictions in the SCAG region have been contacted and were requested to provide input on their current and anticipated population, households, and employment figures for 2012, 2020, 2035, and 2040. Also included in this submission was a survey to jurisdictions requesting information on local open space plans, policies, and approaches, along with the details of local policies that support the principles of development outlined in the 2012 RTP/SCS.

This is in accordance with Stage 2 of the Bottom-up Local Input Process ("local control – regional collaboration") for the 2016 RTP/SCS, as outlined in previous communication with local jurisdictions:

- Stage 1 - Preliminary General Plan, Zoning, Existing Land Use, and Resource Data Collection and Review (March 2013 - September 13, 2013)
- Stage 2 - Review of Base Year 2012 Socioeconomic Data and Future Years' (2020, 2035, and 2040) Growth Forecast, and Local Survey (November 2013 - May 2014); and
- Stage 3 - Land Use Scenario Planning Exercises (May 2014 –September 2014)

In order to facilitate the review of this data and to ensure that each jurisdiction is fully informed of the 2016 RTP/SCS planning process, SCAG staff will be presenting at each subregion's regularly scheduled planning directors' sessions and will schedule individual sessions with local jurisdictions to collect data, answer questions, and provide individual assistance.

SCAG staff, in coordination with the region's 15 subregional organizations, are working to schedule these sessions with local jurisdictions during the months of January, February, and March of this year. The months of April and May 2014 will be reserved for second meetings with jurisdictions, as needed.

By the end of January, presentations will have been made at the Orange County COG Technical Advisory Committee, South Bay Cities COG Livable Communities Working Group, Ventura County City-County Planners' Association, Coachella Valley Association of Governments Technical Planning Sub-Committee, SANBAG Planning Directors Meeting, WRCOG Planning Directors Technical Advisory Committee, and the Meeting of the Gateway Cities Planning Directors. Staff have also have met with nearly 10% of all local jurisdictions. The schedule of SCAG's current and future engagement with local jurisdictions for this effort is included on the next page.

To ensure adequate resources are allocated, staff from various departments will be involved and Frank Wen, Manager, Research & Analysis Department, will serve as the main point of contact and may be reached at: 213-236-1854 or [RTPLocalInput@scag.ca.gov](mailto:RTPLocalInput@scag.ca.gov).

# Schedule of One-on-One Meetings with Local Jurisdictions for the 2016 RTP/SCS by Subregion

Schedule is Subject to Modification

January 2014						
Su	Mo	Tu	We	Th	Fr	Sa
29	30	31	1	2	3	4
5	6	7	8	9	10	11
12	13	14	15	16	17	18
19	20	21	22	23	24	25
26	27	28	29	30	31	1
2	3	4	5	6	7	8

**Imperial County Transportation Commission (ICTC)**  
**Coachella Valley Association of Governments (CVAG)**  
**Ventura Council of Governments (VCOG)**  
**San Bernardino Associated Governments (SANBAG)**  
**City of Los Angeles Subregion**

February 2014						
Su	Mo	Tu	We	Th	Fr	Sa
26	27	28	29	30	31	1
2	3	4	5	6	7	8
9	10	11	12	13	14	15
16	17	18	19	20	21	22
23	24	25	26	27	28	1
2	3	4	5	6	7	8

**Gateway Cities Council of Governments (GCCOG)**  
**South Bay Cities Council of Governments (GCCOG)**  
**San Gabriel Valley Association of Governments (SGVCOG)**  
**Western Riverside Council of Governments (WRCOG)**

March 2014						
Su	Mo	Tu	We	Th	Fr	Sa
23	24	25	26	27	28	1
2	3	4	5	6	7	8
9	10	11	12	13	14	15
16	17	18	19	20	21	22
23	24	25	26	27	28	29
30	31	1	2	3	4	5

**Las Virgenes-Malibu Council of Governments (LVMCOG)**  
**Arroyo Verdugo Subregion**  
**Westside Cities Council of Governments**  
**San Fernando Valley Council of Governments**  
**North Los Angeles Subregion**  
**Orange County Council of Governments (OCCOG)**

April 2014						
Su	Mo	Tu	We	Th	Fr	Sa
30	31	1	2	3	4	5
6	7	8	9	10	11	12
13	14	15	16	17	18	19
20	21	22	23	24	25	26
27	28	29	30	1	2	3
4	5	6	7	8	9	10

**Second Meetings with Local Jurisdictions, as Requested**

May 2014						
Su	Mo	Tu	We	Th	Fr	Sa
27	28	29	30	1	2	3
4	5	6	7	8	9	10
11	12	13	14	15	16	17
18	19	20	21	22	23	24
25	26	27	28	29	30	31
1	2	3	4	5	6	7

**Second Meetings with Local Jurisdictions, as Requested**



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Item 7 Attachment: No Attachment