

## Memorandum

To: DISTRICT DEPUTY DIRECTORS for  
Planning and Public Transportation  
DIVISION CHIEFS for:

Date: February 4, 2002

Aeronautics  
Environmental  
Local Assistance  
Mass Transportation  
New Technology and Research  
Programming  
Rail  
Division of Transportation Planning Office Chiefs

From: **DEPARTMENT OF TRANSPORTATION**  
**Division of Transportation Planning**

Subject: Regional Planning Handbook

Attached are Chapters 1-4 and 6-7 of the *Regional Planning Handbook*, which supersede the *1989 Delegation Handbook*. Please share it particularly with transportation planners who work with overall work programs and regional transportation plans.

For easy access, reference, and sharing, the *Handbook* is on the web at:

<http://www.dot.ca.gov/hq/tpp/Offices/ORIP/owp/owp.htm>

Many thanks to all of you who reviewed and commented on draft versions of the *Handbook*. We have incorporated your recommendations and edits extensively, and encourage you to e-mail us suggestions for updates, as needed.

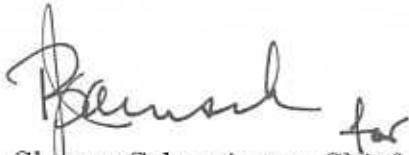
We plan to circulate a draft version of Chapter 5, *Third Party Contracts*, for your review and comment in the near future.

Also attached is the December 2001 update of our *Regional Planning and Native American Tribal Government Contacts* list. Like the *Handbook*, it is posted on our website.

District Deputy Directors, et al.  
February 4, 2002  
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bj/sd/handbook

# *California Department of Transportation*

## **REGIONAL PLANNING HANDBOOK**

*Caltrans*

**For individuals with sensory disabilities, this document is available in Braille, large print, on audiocassette, or compute disk. To obtain a copy in one of these alternate formats, please call or write to the California Department of Transportation Office of Regional and Interagency Planning, 1120 N Street, Room 5302, (MS-32), Sacramento, California 95814. Or call (916) 653-2355 or (800) 735-2929 TTY.**

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# 1 INTRODUCTION

Within the California Department of Transportation (Department), regional transportation planning is done by transportation planners in the Districts and in the Office of Regional and Interagency Planning (ORIP), in the Division of Transportation Planning at Headquarters, Sacramento.

This Handbook describes the respective roles and responsibilities for District Transportation Planners with regional transportation planning duties, and for Transportation Planners within ORIP.

The focus is Department interaction with the Metropolitan Planning Organizations (MPOs) and Regional Transportation Planning Agencies (RTPAs) in regard to Overall Work (OWPs) and Regional Transportation Plans (RTPs), with a special emphasis on the monitoring of ORIP-administered transportation planning funds: state Rural Planning Assistance (RPA) and federal Consolidated Planning Grant (CPG).

The Handbook will be updated as procedures change. It is supplemented annually with *OWP Guidance* packages and with requests for grant applications. The annual supplements focus on information that changes from year-to-year.

This Handbook replaces the May 18, 1989 version of the *Regional Planning Delegation Handbook*, all earlier versions thereof, and any interim or proposed partial revisions.

## 1.01 Regional Transportation Planning

Regional Transportation Planning is long-range (20+ years), area-wide, and involves federal, state, regional, and local agencies; Native American Tribal Governments, public entities, private and community based organizations, and individuals working together to identify future regional transportation needs and to plan how these needs can and will be met. “Future ... needs” means both near and long-term. “Identify future regional transportation needs” may also include programming specific projects to address immediate problems.

The purpose of regional transportation planning is to prepare and provide for the region’s mobility in a fiscally and environmentally responsible manner consistent with the needs and preferences within the community.

## 1.02 3C Planning: Continuing, Cooperative and Comprehensive

Regional transportation planning is based on the 3Cs articulated in federal transportation law: continuing, cooperative and comprehensive. It is on-going, not a single completed action. All modes of transportation, including pedestrian walkways and bicycle transportation facilities, shall be considered. (Title 23, United States

Code, Section 134 and Title 49, United States Code, Section 3004) It involves all parties in the development of a shared mobility vision, including improving the transition among modes in the multi-modal transportation system.

Another way of expressing the 3Cs concept is integrated planning, involving all transportation and transit agencies and providers working together with members of the public to improve intermodal mobility in the region.

Transportation concepts and improvements are considered during the planning and programming phases, and are then implemented. Implementation may involve bus purchases, operation of a traveler information service, or for a bikeway, a pedestrian path, or a roadway: project development, environmental, right of way, design, award, and construction. These phases should be iterative and coordinated.

### 1.03 Metropolitan Planning Organizations (MPOs) and Regional Transportation Planning Agencies (RTPAs)

Among the key regional transportation planning entities in California are sixteen metropolitan planning organizations (MPOs), fourteen of which are also regional transportation planning agencies (RTPAs), and twenty-eight RTPAs that are not MPOs.

Federal law defines an MPO as a forum for cooperative transportation decision making. RTPAs are created pursuant to California law and although State law does not define RTPA, Government Code Section 65080 identifies some RTPA responsibilities, e.g., to adopt a regional transportation plan and to prepare and adopt a regional transportation improvement program. Government Code Section 29532 provides an RTPA shall be statutorily created, or be a council of governments, or a local transportation commission. Federal law suggests an MPO for urbanized areas over 50,000 population.

The MPOs are generally councils/associations of government. The RTPAs are local/county transportation commissions, councils/associations of government and/or statutorily-created regional transportation planning agencies. (See Section 1.08 for definitions for MPO and RTPA.)

MPOs and RTPAs perform generally similar transportation planning work. For example, both prepare an annual overall work program and both develop regional transportation plans and program projects into transportation improvement programs.

Some MPOs serve a single county and some serve several counties. With the exception of the Sacramento Area Council of Governments (SACOG) and the Association of Monterey Bay Area Governments (AMBAG), their MPO and RTPA boundaries are the same. Neither AMBAG nor the Tahoe Metropolitan Planning Organization (TMPO) is an RTPA.



Twenty-six non-MPO RTPAs serve only one county. El Dorado County Transportation Commission and Placer County Transportation Planning Agency are the RTPAs for their respective counties to the crest of the Sierra Mountains. The area east of the crest in these two counties is part of the Tahoe Regional Planning Agency (TRPA), which has the same boundaries as TMPO. TRPA is the RTPA and TMPO is the MPO. Their areas also include portions of Nevada (See the map on page 1-3 for the complete breakdown of MPOs/RTPAs in the State of California).

MPOs and RTPAs are the entities who receive state and/or federal transportation planning funds to implement regional transportation planning through the activities detailed in their overall work programs (OWPs). These funds are used to identify needed transportation improvements in sufficient detail to serve as a foundation for project purpose and need in regional transportation plans (RTPs) and environmental documents.

As needed, MPOs and RTPAs may enter into agreements or memoranda of understanding (MOUs) with adjacent MPOs/RTPAs regarding cross-jurisdictional issues, e.g. to prepare inter-urban/inter-area corridor studies, to perform air quality conformity analyses if the air basin has different boundaries from those of the MPO/RTPA, to assess feasibility of inter-urban/inter-area commuter rail service, etc.

## 1.04 The Core Regional Transportation Planning Document and Products

The core regional transportation planning document is the overall work program (OWP) and its core product is the regional transportation plan (RTP).

The OWP and RTP are directly and inextricably interconnected: OWP activities support the RTP and development of the RTP is an OWP activity. The RTP is implemented through OWP activities, i.e., development of the Regional Transportation Improvement Program (RTIP) and the Federal Transportation Improvement Program (FTIP) are OWP activities.

OWP is a California variant of what federal regulations refer to as a unified planning work program. Federal regulations do not define it, but list what it must contain, depending on the size of the MPO and various other factors. The least complex contents are a description of what work is to be accomplished, when, by whom and using which funding source.

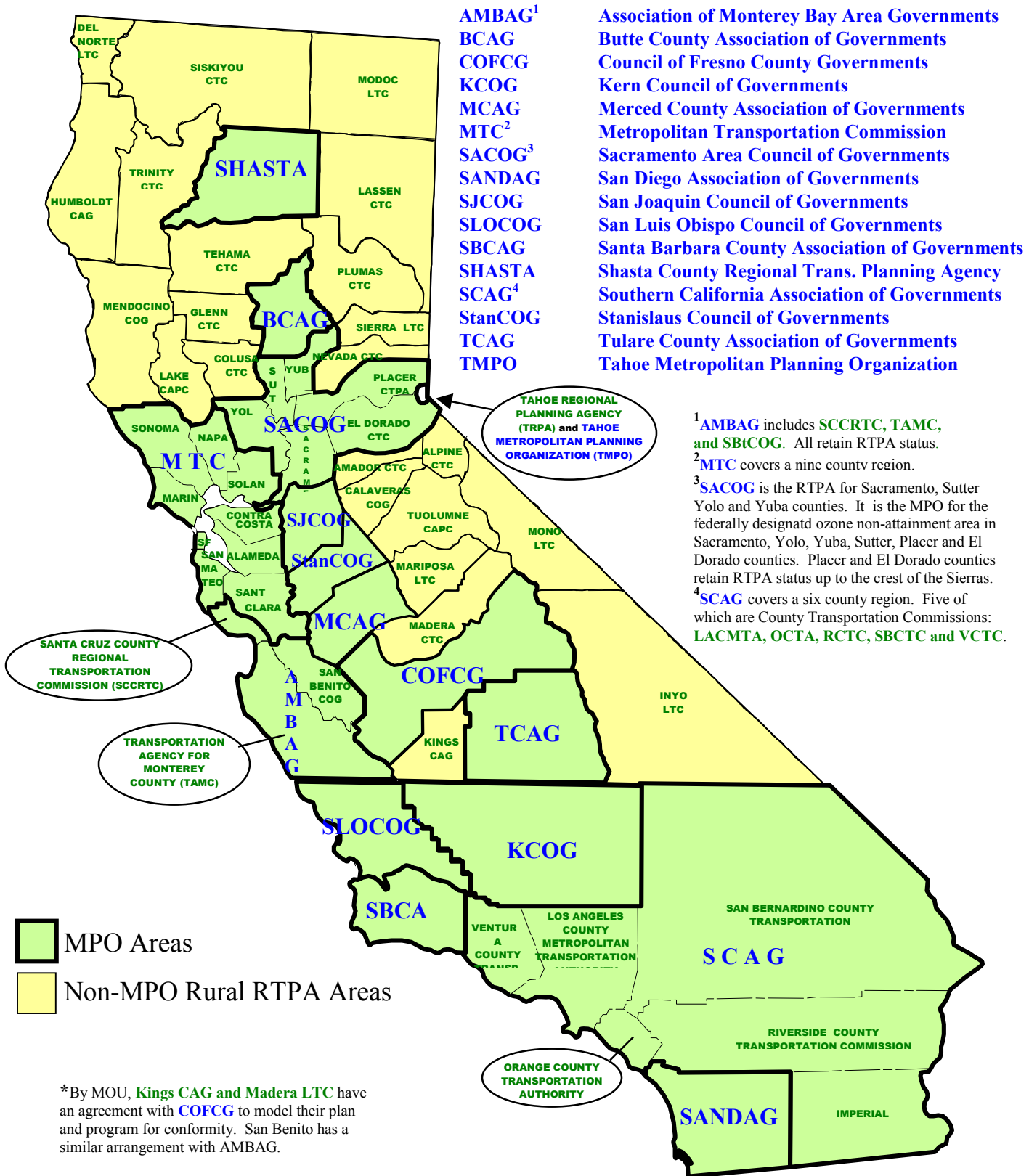
Essentially the OWP is a one-year scope of work for transportation planning activities and funding sources. It is a statement of proposed work and estimated costs that tie specific available transportation planning funding sources to specific transportation planning activities to be accomplished during the state fiscal year.

# CALIFORNIA

## METROPOLITAN PLANNING ORGANIZATIONS (MPO's)

and

## Regional Transportation Planning Agencies (RTPA's)



Federal law uses the term metropolitan transportation plan (MTP) and defines the term as the official intermodal transportation plan that is developed and adopted through the metropolitan transportation planning process for the metropolitan planning area. California law uses the term regional transportation plan, but does not define it. Statutes relative to legislative intent (Gov. Code Section 65070), preparation and contents (Gov. Code Section 65080), and public hearing (Gov. Code Section 65090), effectively provide a definition.

As with most plans, the RTP has a long-term horizon (not less than 20 years within the entire life of the RTP) and identifies existing and future transportation needs in the region. Although it includes rough cost estimates for the transportation proposals and is fiscally constrained (i.e., the total anticipated cost of the proposals is limited to the total reasonably anticipated revenues for the term of the plan), specific fund sources are usually not identified for the individual transportation proposals. The RTP is defined as a project under the California Environmental Quality Act and in air quality non-attainment areas it must conform to the State Implementation Plan (SIP). (See Sections 6.04 and 6.09.)

## 1.05 Transportation Planning Funding Administered by ORIP

ORIP administers two transportation planning fund:

- Rural Planning Assistance (RPA)
- Consolidated Planning Grant (CPG)

RPA is state transportation planning funding allocated by the Department per population formula to twenty-eight rural RTPAs. (None of the rural RTPAs is an MPO.) It is provided on a reimbursement basis, after costs are incurred and paid for using local funds. In 2000/2001, the annual RPA total increased from \$2 million to \$4 million. (Sections 4.02 and 4.03 provide additional information about RPA.) It is a State Budget line item.

CPG is federal funding which totals approximately \$40 million annually. The amount can increase or decrease contingent upon California's federal apportionment. (Chapter 3 provides more detail about CPG.)

Reference may be made to other funding sources, but the fund encumbrance, administration and invoicing procedures described in this Handbook only apply to RPA and CPG.

## 1.06 Authority

Regional transportation planning authorities are found in Titles 23 and Title 49 of United States Code (USC), and in Sections 65080 et seq., and 29532 et seq., of the Government Code.

Governing Regulations are found in the Code of Federal Regulations (CFR) and the California Code of Regulations.

Federal accounting and auditing requirements are as per Titles 48 and 49 USC and CFR, the Single Audits Act of 1984, and Office of Management and Budget (OMB) and Federal Transit Administration (FTA) Circulars and guidance. State accounting and auditing requirements are as per the Government Code, the Public Utilities Code, the Public Contracts Code, and the Health and Safety Code.

Other key authorities include Government Code Section 6500 et seq., Streets and Highways Code, Presidential Executive Orders 12372, 12612, and 12898, the State Budget, the State Administrative Manual, the California Labor Code, the Older Americans Act, the Civil Rights Restoration Act of 1987, the Americans with Disabilities Act, the Clean Air Act Amendments, Title VI USC, and the California Environmental Quality Act (CEQA).

The Department Director has delegated authority for most regional transportation planning responsibilities to the District Directors in Executive Orders, *Confirmation of and Delegation of Authority*. These twelve Executive Orders reference and incorporate the Director's Policy for *Program Management* (Number 16, effective 12-1-94).

ORIP in the Division of Transportation Planning (DOTP) at Department Headquarters, Sacramento, provides oversight and statewide guidance relative to these authorities.

## 1.07 Reference Materials

In this Handbook, forms and samples are interspersed with the text or are included in the Appendix. Companion and reference documents are cited by web address.

The most current ORIP products are posted on the Department Homepage:

<http://www.dot.ca.gov/hq/tpp/Offices/ORIP/ORIP.htm>

The web version of the Handbook includes hypertext links to all referenced websites.

## 1.08 Terms and Acronyms Frequently Used in this Handbook

There are thousands of transportation and transportation planning terms and acronyms with more added each day. However, familiarity with the following terms and acronyms is essential to understanding concepts in this Handbook.

Allocation                      A distribution of funds by formula or agreement.

Apportionment	Distribution of federal funds by a statutory formula to the states' Governors for allocation by them to the grant recipients.
Appropriation	An official action (e.g. passage of a law) to make funds available, with specific limitations as to amount, purpose and duration.
Encumber	The formal processes, which commit funds for a specific purpose, e.g., commitment of Rural Planning Assistance (RPA) to an RTPA, or FHWA Metropolitan Planning (PL) funds to an MPO.
FHWA, FTA	The Federal Highway Administration and the Federal Transit Administration are two of the modal agencies in the United States Department of Transportation (US DOT).
ISTEA	Intermodal Surface Transportation Efficiency Act of 1991; federal transportation legislation signed into law in 1991.
MPO	Metropolitan planning organizations are the regional planning entities in urbanized areas, usually an area with a population of 50,000 or more.  Although the Tahoe region does not include an urbanized area 50,000 or larger, the Transportation Equity Act for the 21 <sup>st</sup> Century (TEA-21), specifies the Tahoe region may establish an MPO.
ORIP	Office of Regional and Interagency Planning in the Department's Division of Transportation Planning, Headquarters, Sacramento.
Reimbursement	State or federal transportation planning funds paid back to the MPO/RTPA for transportation planning work activities in the OWP already done by the MPO/RTPA, or on behalf of the RTPA/MPO by a contractor or consultant, and already paid for using local funds.
RTPA	Regional transportation planning agency, the regional planning entity referenced in California law; e.g., a county transportation commission, a statutorily created RTPA, an association of governments, a council of governments, etc. Fourteen of California's forty-three RTPAs are also MPOs. (Government Code Section 29532 et. seq.)

TEA-21	Transportation Equity Act for the 21 <sup>st</sup> Century; federal legislation signed into law in 1998; successor to ISTEA.
Unexpended Carryover	Three federal CPG funding sources administered by ORIP -- FHWA Metropolitan Planning (PL), FTA Metropolitan Planning (§ 5303), and FTA State Planning and Research § 5313(b) -- need not be fully expended during the fiscal year in which they are apportioned and allocated. The recipient may carry over any unexpended amounts to the next fiscal year.

Four websites for glossaries of transportation planning terms:

<http://www.fhwa.dot.gov/environment//conformity/basic5gd.htm>

<http://www.dot.ca.gov/dist3/departments/planning/149tcr/149glossary.html>

<http://www.dot.ca.gov/dist3/departments/planning/32tcr/32tcrdefine.html>

<http://www.dot.ca.gov/dist3/departments/planning/505tcr/505tcr.define.html>

## 2 OVERALL WORK PROGRAM (OWP)

Annually, each MPO/RTPA develops and formally adopts an Overall Work Program (OWP).

The OWP introduces the agency and provides an overview of the region, with a focus on its transportation goals, objectives, and the actions to achieve them. The OWP is a scope of work for transportation planning activities, including their estimated cost, the funding sources to pay for them, and their completion schedule.

Although the OWP reflects work to be performed by in-house MPO/RTPA staff or work the agency contracts out, preparation of the OWP should involve collaboration among all transportation partners in the region: Department, transit providers, community based organizations, railroads/maritime ports/airports, bicycle and pedestrian interests, Native American tribal governments, congestion management agencies, state and federal agencies, the public, including minority and low-income populations etc.

Because it is intended to provide a comprehensive overview of transportation planning, activities to be completed by other entities within the region should also be included. These may be shown as actual work elements, but are more generally simply listed in a chart or matrix either in the body of the OWP or in the appendix. (See Sample Chart)

### Sample Other Entities' Transportation Planning Activities Chart

Activity Title	Activity Description	Product(s)	Comments

Regional transportation planning staff in the District are the initial and principal point of planning contact between Department and the MPO/RTPA. They have primary review, monitoring and administration responsibilities for the MPO's/RTPA's OWPs. These staff provide the MPO/RTPA with the Department's transportation planning activities in the region.

Regional transportation planning staff at ORIP provide tools and guidance to support the efforts of the District regional planners.

### 2.01 The Purpose and Contents of the OWP

The OWP is the MPO's/RTPA's transportation planning structure for the state fiscal year, July 1 through June 30. It can also be used for other purposes, such as:

- The MPO's/RTPA's annual operations plan for the state fiscal year
- The MPO's/RTPA's planning budget for the state fiscal year
- A work monitoring and management tool for the MPO/RTPA Governing Board

- An easy reference for members of the public who wish to know the “who/what/when/where” and cost of transportation planning activities in the region.

The OWP Budget Revenue Summary is an at-a-glance overview of the entire year’s transportation planning activities and funding. The individual work elements provide more specific information and work completion timelines. (See Section 2.04c for more information.)

In the OWP, the MPO’s/RTPA’s decision-making, partnering, public participation and other approaches are explained. For example, work is accomplished at the staff level through advisory committees, workshops, data gathering, public participation, outreach, and information sharing efforts. Binding decisions are made by a vote of the MPO/RTPA Governing Board at regularly scheduled meetings after MPO/RTPA staff and advisory committees provide informational input and make recommendations. Members of the public have the opportunity to present their views and express their support or opposition at Board meetings.

## 2.02 The OWP is Part of a Funding Contract

In conjunction with the Overall Work Program Agreement (OWPA) and the regional transportation planning Master Fund Transfer Agreement (MFTA), the OWP constitutes the annual funding contract between the state and the MPO/RTPA for Consolidated Planning Grant (CPG) and/or Rural Planning Assistance (RPA). It is also the annual application for CPG/RPA. (See Chapter 3 for more information about CPG.)

The MFTA is an on-going, multi-year agreement, which prevails until it is amended, updated or replaced. In it, the MPO/RTPA agrees to submit an OWP each year and to incorporate, by reference, the MFTA as an express part of each OWP via the OWPA. The MPO/RTPA also agrees to comply with all applicable state and federal laws, regulations and requirements. (See Section 2.05 for more information.)

Although the MFTA is a complex legal document, it is sufficiently generic to not require annual renegotiation. Detail is added through the OWP and OWPA. This three-document arrangement is straightforward and practical, and much less expensive for the MPO/RTPA and the state than renegotiating a completely new fund transfer contract each year.

The provisions of the MFTA also apply to the MPO’s/RTPA’s contractors and subcontractors.

## 2.03 The MFTA/OWP/OWPA Trio Only Encumbers CPG and/or RPA

Although the OWP is a comprehensive document that includes a wide variety of funding sources, the regional planning MFTA and the OWPA only apply to CPG and/or RPA.



There are other applications, agreements, and fund transfer arrangements for transportation planning funds not administered by ORIP.

Even if there is a fully executed MFTA between the state and the MPO/RTPA, the current year's CPG and/or RPA cannot be encumbered for the MPO/RTPA until it has a Final OWP adopted by the MPO/RTPA, approved by the Department, and a fully completed and executed *original* OWPA on file in ORIP.

Transportation planning work commenced prior to the above occurrences cannot be reimbursed and reimbursement can only occur until after passage of the State Budget on or about July 1.

## 2.04 The Three Components of the OWP

Although OWPs vary in length, complexity, and format, in general, they include the kinds of information categorized into the following three components:

- Introduction or prospectus
- Work elements
- Budget Revenue Summary

The federal unified planning work program contents are divided into five categories (tasks, federally funded studies and all relevant state and local planning activities regardless of funding source, funding sources by project, schedule of activities, and responsible entity for each task or study), but include the same essential contents as the three OWP components.

### 2.04.a Introduction or Prospectus

The OWP introduction or prospectus provides the context for understanding the work activities proposed and gives information about the region. For example, the following information should be provided:

- The regional transportation planning approach.
- Agency organizational structure and interagency arrangements.
- Decision-making.
- Public Participation/Involvement.
- Significant regional characteristics and issues, demographics, transportation needs, priorities and goals.
- Planning Emphasis Areas (PEAs) and the seven TEA-21 planning factors.
- Progress made toward implementing the Regional Transportation Plan.

### 2.04.b Work Elements

Work elements identify specific planning activities to be performed during the term of the OWP. There should be a separate work element for each activity and each work element should include:

- A title and work element number.
- A purpose or objective statement.
- An identification of previous, ongoing and future years' work.
- A description of tasks, products, completion dates, responsible entities (including contractors).
- A table showing all fund sources and uses of these funds (e.g., staff, consultants).

For OWPs with many different work elements, reference may be facilitated if the elements are grouped by category, e.g., Air Quality Planning, Transit Planning, Corridor Planning, Forecasting, etc.

For multi-year work elements, the activities to be completed, as well as the sources and uses, are shown separately by year. For prior years, the accomplished activities are summarized and the work element budget should show both the estimated sources and uses as shown in prior years' OWPs, and actual expenditures. For the current and future years, the sources and uses are estimates.

If there are federal funds in the work element, the required percentage of local match, i.e., non-federal local funds or local "in-kind" contributions must be shown. (See Section 3.05 for more information about local match.)

*The Appendix includes a sample Work Element.*

## 2.04.c Budget Revenue Summary

Although each work element entry includes a listing of its funding sources and types and to whom those funds will be disbursed, *all* OWP sources and uses are also listed in a comprehensive Budget Revenue Summary table. Some other titles for the summary are: Revenue and Expenditure Summary, Funding Table, etc.

Itemized by work element and funding sources and types, the summary shows all estimated funds for each work element, all recipients of funds, and all work elements funded by each source. If there are prior years' unexpended and/or unencumbered funds in the OWP, they **must** be identified separately from the current year's allocations and/or awards.

Consistency of funding amount entries throughout the OWP is vitally important, i.e.; the amounts in the Budget Revenue Summary must accurately reflect the amounts in the individual work elements. Totals for individual sources may not exceed allocations or awards. (Sections 2.05 and 3.07 provide more information about unexpended carryover.)

*The Appendix includes a sample Budget Revenue Summary.*

## 2.05 The OWPA

The Overall Work Program Agreement (OWPA) is a one-page document signed by the MPO/RTPA and the District. The signatures on the OWPA formalize the annual CPG and/or RPA contract upon passage of the State Budget.

The MPO/RTPA generates an original signed OWPA and forwards it to the District. The authorized MPO/RTPA signatory is usually the Executive Director or the Finance Officer, as per Governing Board delegation. Although the Board action adopting the OWP is very specific, often the delegation authority is fairly generic.

The District signatory is the District Director or her/his delegatee. After the District obtains the necessary signature on the original OWPA, (signed in **blue** ink to more easily distinguish original signatures from photocopies) the District makes a photocopy of it for its file and for the MPO/RTPA and forwards the original to the ORIP District Liaison. ORIP's Fund Specialist uses the OWPA to encumber CPG and/or RPA on behalf of the MPO/RTPA for the term of the OWP.

ORIP requires one original signature OWPA. The District and/or the MPO/RTPA may also prefer (or require) originals rather than photocopy versions. In such instances the two parties need to determine how many additional originals need to be generated.

The OWPA must accurately reflect the OWP. This means a new OWPA must be submitted each year with the Final adopted OWP. An OWPA amendment must be submitted each time there is an OWP amendment that changes the total amount of CPG and/or RPA, including any increases or decreases in federal/local match amounts consistent with mandatory (minimum) percentages.

There are separate OWPA forms for MPOs and RTPAs. It is the District's responsibility to assure the correct version of the form is used and all fill-in information is accurate. To assure this, the District should check that:

- The totals in the funding columns are consistent with the amounts in the OWP work elements and Budget Revenue Summary.
- Allocations are not exceeded.
- The local match for each federal fund source and type reflects the mandatory (minimum) percentage precisely.

For CPG, the "mandatory local match" amount entered on the OWPA is based on the total amount of each federal funding source and type. For example: total PL dollars in the OWP divided by the PL federal participation rate (.8853) multiplied by the local match rate (.1147) = mandatory local match. (Section 3.05 provides more information about local match.)

Total PL = \$100

$\$100 \div .8853 = \$112.96$

$\$112.96 \times .1147 = \$12.96$

Mandatory local match for \$100 PL is \$12.96

Unexpended carryover from prior years should generally not be included in the Final OWP and OWPA because reconciliation of balances usually occurs after the Final OWP is adopted by the MPO/RTPA and approved by the District. (See Section 3.07 for more detail.) After balance reconciliation, the MPO/RTPA amends activities to be funded with carryover into the OWP and amends carryover funds into the OWP and the OWPA.

Because the OWPA cannot include separate line entries for current versus prior years' balances, the ORIP Fund Specialist requires a letter or memo from the MPO/RTPA to identify current year versus carryover amounts when carryover funds are included or amended into the OWP and OWPA. In the Budget Revenue Summary, carryover funds must be listed in a separate column from current year's funds and must be identified by funding source, and type. (See Section 3.06 and 3.07 for more information about unexpended carryover.)

**There is no carryover of RPA or FHWA State Planning and Research – Planning Partnership Element.**

*The Appendix includes sample MPO and RTPA OWPA's.*

## 2.06 OWP Timeline

The full cycle of an OWP from draft through audit closeout is approximately two years.

The draft portion of the cycle may begin as early as October and may continue into June of the following calendar year. The administration and accomplishment of the OWP spans the state fiscal year, i.e., July 1 through June 30. Closeout commences with the end of the state fiscal year and extends to January 1 of the next calendar year when the MPO's/RTPA's Annual Fiscal and Compliance Audit Report is due to the District. (See Timelines on pages 2-8 and 2-9.)

All these activities should be reflected in the MPO's/RTPA's current OWP.

Draft OWPs for RTPAs are due to the Districts and ORIP by March 1.

Draft OWPs for MPOs are due to the Districts and ORIP 30 days before the Intermodal Planning Group (IPG) meeting or March 1, whichever occurs first.

## 2.07 OWP Guidance

Toward the end of the calendar year, ORIP prepares and distributes *OWP Guidance* consistent with which the MPO/RTPA drafts its OWP for the next fiscal year.

The *OWP Guidance* includes:

- A timetable
- A review checklist

- The planning emphasis areas (PEAs)
- The current year's actual FHWA Metropolitan Planning (PL) amounts to use as next year's estimated FHWA PL amounts
- Actual FTA § 5303 appropriations
- Estimated totals for FHWA State Planning and Research – Partnership Planning Element and FTA State Planning and Research § 5313(b) discretionary grants
- The current year's actual RPA amounts to use as next year's estimated RPA amounts.

The MPOs use the FHWA PL estimates in the *OWP Guidance* in their Final OWPs. If these amounts change after passage of the federal budget, the OWPs and the OWPAs need to be amended accordingly.

The rural RTPAs use the RPA estimates in the *OWP Guidance* in their Final OWPs. If these amounts change after passage of the State Budget, the OWPs and OWPAs need to be amended accordingly.

**Neither CPG nor RPA is approved for use until after passage of the State Budget.**

In response to a request from the Rural Counties Task Force (an organization of the twenty-eight rural RTPAs), ORIP began to prepare separate RTPA and MPO *OWP Guidance*, beginning with the 2001/02 cycle.

ORIP distributes the *OWP Guidance* to the Districts with instructions to share it with MPOs/RTPAs. ORIP also posts the *OWP Guidance* at:

<http://www.dot.ca.gov/hq/tpp/Offices/ORIP/ORIP.htm>

## 2.08 Planning Emphasis Areas (PEAs)

Each year FHWA/FTA jointly develop Planning Emphasis Areas (PEAs) to promote priority themes for consideration in transportation planning (i.e. for inclusion in the OWP). The PEAs are published in the Federal Register, usually toward the end of the calendar year and ORIP includes them in the annual *OWP Guidance*. Generally, the Department accepts the PEAs as the state planning priorities.

Some RTPAs/MPOs discuss their PEAs-related work in the OWP introduction or prospectus. Others include matrixes to indicate the PEAs-related work elements. If one (or more) of the PEAs is not addressed, the reason should be clearly stated.

Like the PEAs, the seven planning factors in TEA-21, Title 23 United States Code, Section 134(f) should be incorporated in the OWP. (See Sample Matrix which is applicable to both PEAs and/or the TEA-21 Planning Factors.)

The next federal transportation authorization may provide new planning factors from which the PEAs are developed.

## MPO OWP Timeline

2000/2001 Overall Work Program Close Out Prior Year		2001/2002 Overall Work Program Accomplish Current Year	2002/2003 Overall Work Program Draft, Review, Adopt Approve Next Year
July 1-June 30 = State Fiscal Year			
Jul - 01	<u>July 31</u> , Q4 Progress Report due to District.	After passage of the State Budget, Accounting encumbers funds for MPOs using complete and accurate OWPs/OWPAs. MPOs begin work after funds are encumbered.	
Aug - 01	<u>August 15</u> , Q4 Progress Report due to ORIP <u>By August 31</u> , Year End Package due to District. **		
Sep - 01	<u>September 15</u> , Year End Package due to ORIP. **		
October 1- September 30 = Federal Fiscal Year			
Oct - 01		<u>October 31</u> , Q1 Progress Report due to District. FHWA PL actual #s for 2001/2002 after passage of federal budget, ORIP notifies Districts. Districts notify MPOs. MPOs amend OWPs/OWPAs to show actual PL #s.	<u>October - December</u> , Annual IPG Interagency Meeting, FTA Certs and Assurances, FHWA Planning Certs., Tentative MPO IPG meeting schedule, FHWA/FTA issue annual PEAs, FTA §5303 actual #s (after Federal budget passes), FHWA PL estimate #s, ORIP's annual OWP Guidance.
Nov - 01		<u>November 15</u> , Q1 Progress Report due to ORIP.	<u>November - June</u> MPOs draft, circulate and finalize OWPs.
Dec - 01			
Jan - 02	<u>January 1</u> , Annual Fiscal and Compliance Audit Report due to District	<u>January 31</u> , Q2/mid-year Progress Report due to District. <u>January-February</u> , District mid-year OWP status meeting with MPOs.	<u>February - May</u> Individual MPO IPG meetings, <b>MPO draft OWPs due 30 days before IPG meeting, but no later than March 1,</b> Districts review and circulate draft OWPs,
Feb - 02	<u>February 15</u> , Districts send Annual Fiscal and Compliance Audit Reports to Audits, ORIP, Accounting and FHWA.	<u>February 15</u> , Q2/mid-year Progress Report due to ORIP.	MPO Indirect Cost Negotiation Agreements and Cost Allocation Plans due to Districts (Districts forward to Audits).
Mar - 02			
Apr - 02		<b><u>April 1</u>, deadline for 2001/2002 OWP amendments (complete package due to ORIP).</b> <u>April 30</u> , Q3 Progress Report due to District.	<u>April-May</u> , District year end OWP status meetings with MPOs.
May - 02		<u>May 15</u> , Q3 Progress Report due to ORIP.	
Jun - 02			Final, adopted OWPs due, Districts approve OWPs, FHWA/FTA approve MPO OWPs.
July 1-June 30 = State Fiscal Year			
Jul - 02		<u>July 31</u> , Q4 Progress Report due to District.	Before <u>July 1</u> , Final approved and adopted OWP and fully executed OWPA due to ORIP. After passage of the State Budget, Accounting encumbers funds for MPOs using complete and accurate OWPs/OWPAs.
Aug - 02		<u>August 15</u> , Q4 Progress Report due to ORIP. <u>August 31</u> , Year End Pkg. due to District.	
Sep - 02		<u>September 15</u> , Year End Package due to ORIP.	

For MPOs and RTPA recipients of federal Consolidated Planning Grant funds, the Year End Package also includes a Certification of Expenditure by Fund Source including the Final Statement of Expenditures attachment.

## RTPA OWP Timeline

2000/2001 Overall Work Program Close Out Prior Year		2001/2002 Overall Work Program Accomplish Current Year	2002/2003 Overall Work Program Draft, Review, Adopt Approve Next Year
July 1-June 30 = State Fiscal Year			
Jul - 01	<u>July 31</u> , Q4 Progress Report due to District.	After passage of the State Budget, Accounting encumbers funds for RTPAs using complete and accurate OWPs/OWPAs. RTPAs begin work after funds are encumbered.	
Aug - 01	<u>August 15</u> , Q4 Progress Report due to ORIP By <u>August 31</u> , Year End Package due to District. **		
Sep - 01	<u>September 15</u> , Year End Package due to ORIP. **		
October 1- September 30 = Federal Fiscal Year			
Oct - 01		<u>October 31</u> , Q1 Progress Report due to District.	<u>October - December</u> , ORIP's annual OWP Guidance.
Nov - 01		<u>November 15</u> , Q1 Progress Report due to ORIP.	<u>November - June</u> RTPAs draft, circulate and finalize OWPs.
Dec - 01			
Jan - 02	<u>January 1</u> , Annual Fiscal and Compliance Audit Report due to District	<u>January 31</u> , Q2/mid-year Progress Report due to District. <u>January-February</u> , District mid-year OWP status meeting with RTPAs.	<u>February - May</u> Districts review and circulate draft OWPs,
Feb - 02	<u>February 15</u> , Districts send Annual Fiscal and Compliance Audit Reports to Audits, ORIP and Accounting.	<u>February 15</u> , Q2/mid-year Progress Report due to ORIP.	
Mar - 02			<b><u>March 1</u> RTPA draft OWPs due.</b>
Apr - 02		<b><u>April 1</u>, deadline for 2001/2002 OWP amendments (complete package due to ORIP).</b> <u>April 30</u> , Q3 Progress Report due to District.	<u>April-May</u> , District year end OWP status meetings with MPOs.
May - 02		<u>May 15</u> , Q3 Progress Report due to ORIP.	
Jun - 02			Final, adopted OWPs due, Districts approve OWPs.
July 1-June 30 = State Fiscal Year			
Jul - 02		<u>July 31</u> , Q4 Progress Report due to District.	Before <u>July 1</u> , Final approved and adopted OWP and fully executed OWPA due to ORIP. After passage of the State Budget, Accounting encumbers funds for RTPAs using complete and accurate OWPs/OWPAs.
Aug - 02		<u>August 15</u> , Q4 Progress Report due to ORIP. <u>August 31</u> , Year End Pkg. due to District.	
Sep - 02		<u>September 15</u> , Year End Package due to ORIP.	

For RTPAs who only get Rural Planning Assistance, a Year End Package consists of the Final Invoice, i.e. the last Request for Reimbursement for the OWP cycle clearly marked "FINAL".

### Sample Matrix for TEA-21 Planning Factors or PEAs

TEA 21 Seven Planning Factors						
	Work Element 1	Work Element 2	Work Element 3	Work Element 4	Work Element 5	Work Element 6
1. Support economic vitality, especially by enabling global competitiveness, productivity, and efficiency.	X	X			X	
2. Increase safety and security of transportation system for motorized and non-motorized users.		X		X		X
3. Increase accessibility and mobility options available to people and for freight.	X		X		X	
4. Protect and enhance the environment, promote energy conservation, and improve quality of life.			X	X		
5. Enhance integration and connectivity of the transportation system across and between modes, for people and freight.	X					X
6. Promote efficient system management and operation.			X		X	
7. Emphasize preservation of the existing transportation system.		X				X

## 2.09 District Review of the Draft OWP

Regional planning staff in the Districts are the initial and primary point of transportation planning contact between Department and the MPO/RTPA. The draft OWPs are submitted to the Districts for review. District staff should:

- Review the draft OWP (primary reviewer).
- Identify and resolve task, schedule, budget, and compliance concerns with the MPO/RTPA.
- Route the draft OWP for review and comment to other units within the District and Headquarters, as appropriate.
- Receive comments from the other Department units, and prepare a comprehensive formal Department comment letter to the MPO/RTPA, with copies to the reviewing units, and ORIP. District comment letters regarding MPO OWPs are also copied to FHWA/FTA.

Development and adoption of the OWP is a lengthy procedure for MPOs/RTPAs. District Regional Planning staff should bear this in mind as they review, route and comment on draft OWPs. They should forward *OWP Guidance* to the MPOs/RTPAs as early as possible. They should send comment letters in a timely manner. Comment letters should be comprehensive, i.e., they should include all the Department's comments.

The District reviews draft OWPs with two different emphases, conceptual and technical.



The conceptual evaluation focuses on the OWP as a whole to determine whether the activities accomplish the transportation planning goals of the region. The technical evaluation focuses on compliance.

The conceptual review considers whether the activities in the OWP:

- Respond to District concerns.
- Consider regional mobility issues and requirements.
- Address transportation needs facing the region.
- Contribute to implementation of the Regional Transportation Plan.
- Include required products such as Regional Transportation Plans, Transportation Improvement Programs, air quality conformity, as appropriate.
- Incorporate the applicable PEAs and the seven TEA-21 planning factors. If any of these is not included, the reason for not including any of them should be stated.

The technical review of the OWP centers on points such as:

- Are funding amounts consistent throughout?
- Do the budget figures add up correctly?
- Are the activities eligible uses for the regional transportation planning funding sources? (See Section 4.02 for a listing of eligible uses.)
- Have federal match requirements been satisfied?
- Has progress made in the previous year's OWP been described?
- Do the task statements, project schedules, and costs seem realistic?
- Are all regional transportation planning contracts, and grants listed?
- Have Title VI compliance considerations been included?

MPO draft OWPs are also sent to the FHWA/FTA. The draft may be sent either by the MPO directly or through the District, as MPO/District preference and custom dictate, but it is the District's responsibility to make sure the draft is provided to the FHWA/FTA.

District regional planners should find the OWP review checklist in the annual *OWP Guidance* a helpful draft OWP and final OWP review tool. (See the OWP Development and Review Flowchart on page 2-13.)

## 2.10 District Staff Circulate the Draft OWP

After District staff have completed their own careful review, they circulate the draft OWP to, and solicit comments from, ORIP and other affected units in the District and in Headquarters. ORIP is always included, but the contents of the draft OWP will dictate which other units should participate in the review.

Because the OWP is comprehensive, the regional transportation planning activities and projects in the work elements relate to, impact, and correlate with, projects, activities and responsibilities of various District and Headquarters units. Staff in affected units should be provided the opportunity to review and comment.

What is expected from these reviewers should be clearly stated in the District's request for review and comment transmittal memo. In the memo:

- Specific work elements, activities and/or products should be identified.
- Relevant questions should be posed.
- Related accomplishments should be cited.
- Pertinent Department activities should be mentioned.

Some District units to whom District staff might circulate the draft OWP are:

- Traffic Operations
- Systems Planning and/or Traffic Forecasting
- Local Assistance Engineer
- Project Management
- Community Planning
- IGR/CEQA Coordinators
- Title VI Liaison
- Transit/Public Transportation Planning

Among Headquarters units to whom District staff might circulate the draft OWP are:

- The Division of Transportation Planning
  - Office of Regional and Interagency Planning (**always!**)
  - Office of Goods Movement
  - Office of Community Planning
  - Office of State Planning
  - Office of Advanced and System Planning
- Aeronautics
- Mass Transportation
- Rail
- New Technology and Research
- Any other affected Division

**Note: Headquarters Local Assistance does not review draft OWPs. They do, however, require copies of Final OWPs.**

Thorough and comprehensive review of the draft OWP by all affected Department areas is of critical importance. The District needs to communicate all the Department's substantive concerns in one comment letter during the OWP draft stage when issues may be more easily resolved. The District collects and is the repository for all Department comments and *should send them in a single comment letter. The District should not piecemeal comments to the MPOs/RTPAs.*

Obviously if major problems are discovered after the comment letter is sent to the RTPA/MPO, the District still needs to work with the MPO/RTPA to resolve them. But, after the OWP is adopted, making changes may be more costly and may delay OWP work.

## 2.11 The District Copies the Comment Letter to Reviewing Units and ORIP.

The District coordinates its own comments with input received from District and Headquarters reviewing units in a comprehensive letter to the MPO/RTPA. The letter is copied to ORIP, to all District and Headquarters reviewing units who provided comments. As the primary contact with the MPO/RTPA, the District determines, consistent with state and federal requirements, which comments will be included in the letter and which are better handled informally between District staff and MPO/RTPA staff.

District staff provides the FHWA/FTA copies of the comment letters the District writes to the MPOs.

## 2.12 ORIP OWP Responsibilities

The following are ORIP responsibilities:

- Develop the annual *OWP Guidance*.
- Allocate regional transportation planning funds.
- Encumber CPG and RPA through Accounting.
- Advise Districts of statewide transportation policy issues, proposed legislation and new legal and regulatory requirements.
- Review all draft OWPs from a statewide policy perspective.

## 2.13 District and ORIP Cooperation

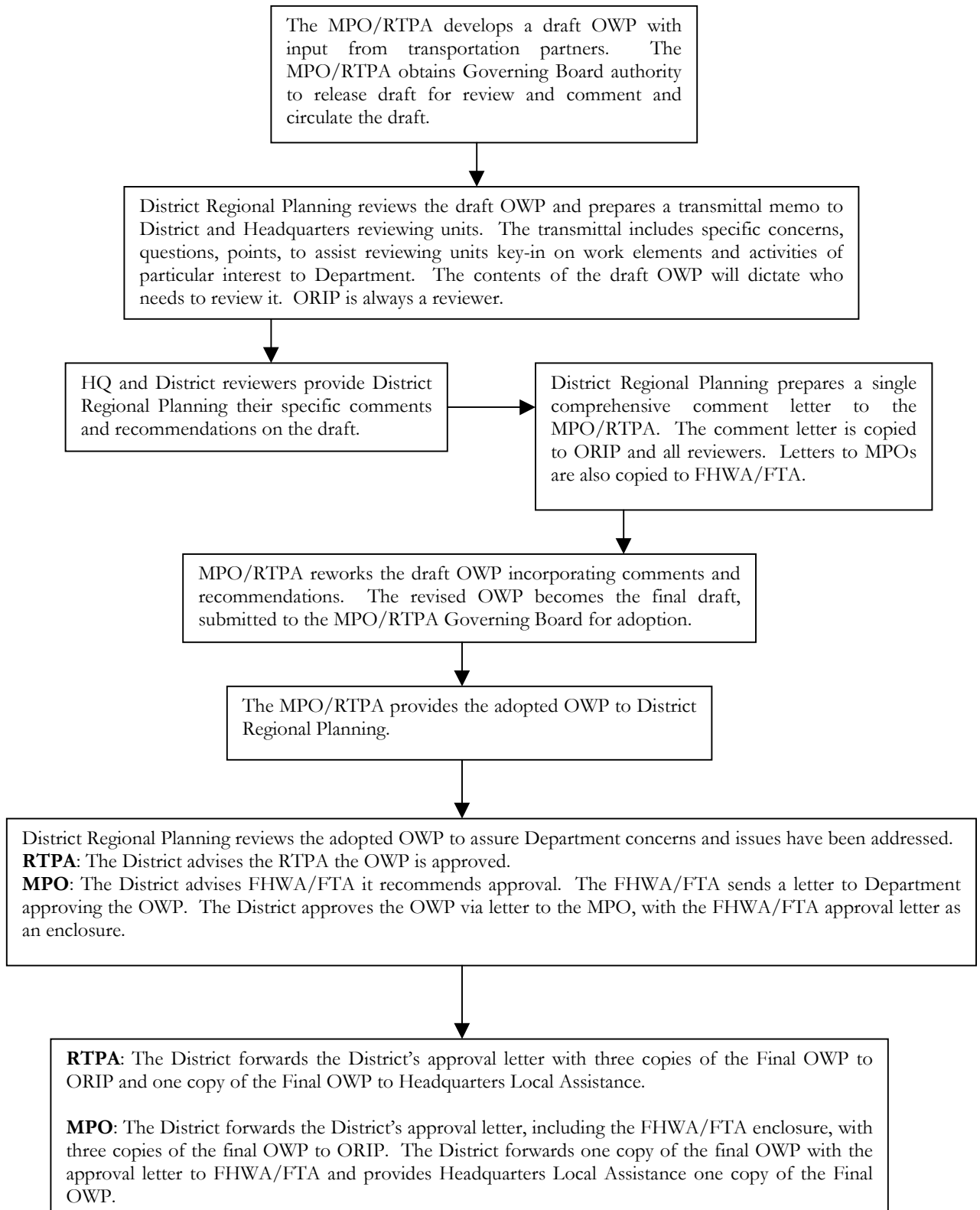
The District has the primary OWP review, monitoring and approval responsibility. ORIP comments to the District when there are issues or concerns that jeopardize OWP approval.

There is an ORIP liaison assigned to each District and although District and ORIP responsibilities are different, they are complementary.

The District informs ORIP about District and MPO/RTPA staffing changes, successes or problems the MPO/RTPA might be experiencing, and regional transportation planning-related issues, e.g., important accomplishments, high profile work elements, politically sensitive or significant issues.

ORIP informs the Districts about new legislation and regulations, funding matters, new approaches and procedures, statewide transportation planning issues of interest to the region(s), and regional lobbying efforts to the Department Director, the Secretary of the Business, Transportation and Housing Agency, and/or the Governor's Office.

## OWP DEVELOPMENT AND REVIEW



## 2.14 Intermodal Planning Group (IPG) Meetings for MPOs

Between February and June of each year, the FHWA/FTA schedule interagency review meetings of the MPOs, Intermodal Planning Group (IPG) meetings. In addition to FHWA/FTA, the MPO and the District, representatives from Headquarters, and other transportation partners often attend. The purpose of the meeting is to discuss transportation issues, trends, accomplishments, and any problems the MPO may be experiencing. The District should complete and distribute the OWP comment letter prior to the IPG meeting and the concerns expressed in the letter should be discussed at the IPG meeting.

Because both next year's draft OWP and progress on the current year's OWP are included in the discussion, it is important that all attendees have time to review the OWPs prior to the meeting. For this reason, MPO draft OWPs must be submitted to the District at least thirty days before the IPG meeting, or March 1, whichever is earlier.

The *OWP Guidance* at <http://www.dot.ca.gov/hq/tpp/Offices/ORIP/ORIP.htm> includes the current fiscal year's draft IPG Schedule.

## 2.15 Triennial Certifications

MPOs which are transportation management areas (TMAs), i.e., which include an urbanized area 200,000 persons or larger, are subject to a triennial federal certification review. (See Triennial Schedule Chart.)

The federal agency representatives review the TMA's self-certification, i.e., its compliance with the laws listed in the FHWA/FTA certifications and assurances.

Although in the past the IPG and certification meetings have occurred at the same time, FHWA/FTA may begin to schedule the certification meetings earlier, perhaps in the summer months, thus making their findings available for follow-up discussion at the IPG meetings the next year. The intention of splitting the two would be to permit better focus at each, because their purposes are different. Generally certification meetings last approximately two days.

**The Triennial TMA Certification Schedule Years**

MPO	2001	2002	2003	2004	2005	2006	2007
Santa Barbara (SBCAG)			XX			XX	
San Diego (SANDAG)			XX			XX	
San Joaquin (SJCCOG)	XX			XX			XX
Fresno (COFCG)	XX			XX			XX
Southern California (SCAG)	XX			XX			XX
Sacramento (SACOG)		XX			XX		
Stanislaus (StanCOG)		XX			XX		
Kern (KCOG)		XX			XX		
San Francisco (MTC)			XX		XX		

Additionally, those MPOs which receive more than \$250,000 in FTA § 5303 annually must submit their Equal Employment Opportunity (EEO) Program by September 30 triennially (2001, 2004, 2007, 2010 etc). The EEO Programs are required per, and must comply with, Urban Mass Transportation Administration (UMTA) Circular 4704.1. They should be submitted to the Districts, whose responsibility it is to review the reports for compliance with the UMTA Circular.

The Districts maintain copies of the reports for their files and submit the original to ORIP within two weeks of receipt from the MPOs. ORIP checks the reports and forwards them to FTA.

At present, only Southern California Association of Governments (SCAG), Metropolitan Transportation Commission (MTC), San Diego Association of Governments (SANDAG) and Sacramento Area Council of Governments (SACOG) receive more than \$250,000 in FTA § 5303 funds annually.

Copies of the circular may be obtained from ORIP and information about triennial EEO reporting may be found at: <http://www.fta.dot.gov/office/program/gmw/22EEO.doc>

## 2.16 Certifications and Assurances

The latest versions of the federal certifications and assurances are published annually in the *Federal Register* and are included in the *OWP Guidance* prepared each year by ORIP.

District staff must carefully compare the certifications and assurances in the OWP against those in the current *OWP Guidance*. The legal citations may change from year to year and an inaccuracy of a few letters or numbers in the citation may have significant legal implications.

MPOs receive both FHWA PL and FTA § 5303 each year and must always include two certifications and assurances in their OWPs. FTA requires the “Federal FY – Certifications and Assurances for FTA Assistance” and both FTA and FHWA require the “Metropolitan Transportation Planning Process Certification.” As long as Tahoe Metropolitan Planning Organization (TMPO) does not receive FTA § 5303 funds, it only needs to include the FTA certifications and assurances if it is awarded an FTA § 5313(b) grant.

RTPAs need to include the planning process certification if they receive an FHWA State Planning and Research – Partnership Planning Element grant and need to provide the FTA assistance certifications and assurances when they receive an FTA § 5313(b) grant.

The Civil Rights Restoration Act of 1987 clarified the intent of Congress to include all programs and activities of Federal-aid recipients, subrecipients and contractors, i.e., recipients of any federal funds are required to comply with non discrimination on the basis of race, color, national origin, sex, disability and age, whether or not federal funding is used for the specific activity in question.

Because all RTPAs receive some federal funding, consistent with the intention of the Act, RTPAs will be asked to certify their regional transportation planning efforts and processes comply with federal Civil Rights provisions.

Government Code Section 65080 stipulates regional transportation plans shall consider factors specified in Section 134 of Title 23 of USC, and the plan shall be consistent with federal planning and programming requirements.

Beginning with the 2002/2003 cycle, the RTPA Certification format is provided in the annual *OWP Guidance* and is required to be included in all (non-MPO) RTPA OWPs.

Certifications must be executed by an individual to whom the Governing Board has delegated signature authority (usually the Executive Director or Finance Officer). The District Director or her/his delegatee also signs the certification. The FTA Certifications and Assurances include an affirmation signed by the applicant's/recipient's attorney-at-law.

The Department's Office of Civil Rights is structuring Title VI/environmental justice reviews of recipients of federal transportation funds. Civil Rights will review approaches and practices to establish a compliance baseline for each recipient of federal funds, make recommendations as appropriate, and periodically monitor progress.

## 2.17 Approving the Final OWP

Prior to approving the OWP, District staff review the MPO/RTPA Governing Board-adopted Final OWP to assure Department concerns have been adequately addressed. The OWP cannot be approved if significant issues have not been resolved.

The Final OWP should only include committed funds. The FHWA PL and RPA totals included in the *OWP Guidance* are deemed committed amounts even though totals may change after passage of the federal and state budgets, respectively. (Sections 3.06 and 3.07 discuss permitted inclusion of CPG discretionary grants and unexpended CPG carryover balances in the draft and Final OWP.)

RTPAs: The District Office is responsible for approving (or disapproving) the Final OWP. When the Department's issues have been resolved, the District advises the RTPA in writing of the Department's approval of the Final OWP. ORIP and the Title VI Program are sent a copy of the approval letter.

MPOs: The District Office is responsible for state approval (or disapproval) of the MPO's Final OWP. When the Department's issues including compliance with Title VI and related statutes have been resolved, the District advises FHWA/FTA that the state *recommends* approval. –

FHWA and FTA may prepare a joint reply or may send separate approval letters. Their approval may be addressed to the District with copies to the MPO or it may be addressed to the MPO with copies to the District. There

is not statewide uniformity on this procedure. With either procedure, after the FHWA/FTA provide their written approval, the District advises the MPO in writing of the Department's approval of the Final OWP and encloses the FHWA/FTA approval letter.

ORIP and the Title VI Program are copied the District approval letter to the MPO, including the FHWA/FTA approval enclosure.

After the OWP and the OWPA are finalized, the District transmits these to their ORIP liaison. An OWP/OWPA transmittal package includes the following:

- ✓ District OWP approval letter
- ✓ FHWA/FTA OWP approval letter (MPOs only)
- ✓ Three copies of the approved and adopted OWP
- ✓ One original OWPA bearing (original) MPO/RTPA and District signatures in **blue** ink
- ✓ The MPO/RTPA Governing Board resolution (or equivalent) adopting the OWP
- ✓ Governing Board action authorizing MPO/RTPA to sign the OWPA

Although the Governing Board resolution adopting the OWP is very specific, the action authorizing signature of the OWPA may be more generic. If the Chair of the Governing Board signs the OWPA, no authorizing action document is required.

If the MPO/RTPA receives an FTA § 5313(b) or FHWA SP&R-Partnership Planning grant, the OWP must include the work to be performed and the products to be completed, and the OWPA must include the grant amount. The OWPA submittal package must also include a copy of the grant award notification letter.

ORIP requests three copies of the OWP:

- (1) ORIP liaison's desk working copy
- (2) ORIP lending copy available to other Headquarters staff
- (3) Official ORIP file copy.

## 2.18 ORIP Requests an Electronic Version of the Final Adopted and Approved OWP

In addition to three hardcopies of each Final adopted OWP, ORIP requests an electronic copy of the Final OWP. Districts should obtain these from the MPOs/RTPAs and should e-mail them to their ORIP liaison.



## 2.19 Accomplishing the OWP

After passage of the State Budget, if ORIP has received the required documentation from the District, the ORIP Fund Specialist works with Accounting (which in turn works with the State Controller) to encumber transportation planning funds for the MPO/RTPA. The MPO/RTPA can then proceed to do the work and accomplish the activities in its Final OWP. Periodically the MPO/RTPA sends invoices, called Request for Reimbursement, to the Districts. (Invoicing is discussed in Sections 4.04, 4.05, 4.06, and 4.07.)

Throughout the year, the District monitors completion of the MPO's/RTPA's OWP regional transportation planning activities and products. District staff maintains close communication with the MPO/RTPA as a member of advisory committees and working groups for various OWP work elements and by attending meetings, etc.

District regional transportation planning staff facilitates communication between various District and Headquarters units and the MPO/RTPA. The District keeps the MPO/RTPA informed about pertinent Department matters and keeps Department informed about pertinent MPO/RTPA matters.

## 2.20 OWP Amendments

Amendment of the OWP requires many of the same steps as development and adoption of the original OWP. District Regional Planning staff should bear this in mind and work to approve OWP amendments in a timely manner.

It is critical that the OWP accurately reflects the transportation planning activities of the MPO/RTPA. If funding, schedules, work products, etc., change, the OWP needs to be revised to reflect these changes. The significance of the changes determines whether this can be accomplished administratively or whether a formal amendment is required.

The state and federal fiscal years are not the same. The state fiscal year begins July 1 and ends June 30, and the federal fiscal year begins October 1 and ends September 30. The Department receives the official FHWA PL appropriation for the current year after passage of the federal budget. Since OWPs follow the state fiscal year, after passage of the federal budget (approximately October 1), many MPO OWPs need to be amended to update FHWA PL amounts and activities, and the OWPs need to be amended to reflect the current FHWA PL amount.

After closeout of the prior year's OWP, the MPO/RTPA, the District and the ORIP Fund Specialist need to reconcile unexpended CPG carryover balances. After reconciliation, the affected MPOs/RTPAs may amend their OWPs to add-in unexpended CPG carryover and the activities to be funded therewith. OWPs **must** be amended to agree with the amended OWPs. (See Section 3.07 for more information about unexpended carryover.)

The RPA amounts in the *OWP Guidance* also are estimates. If there are substantial population changes in one or more counties, the RPA distribution may change, resulting in

an increase or decrease in the amount of RPA a rural county receives. Also, the anticipated \$4 million per year in RPA is not committed until it is included in the State Budget signed by the Governor.

**The FHWA PL and RPA estimates in the *OWP Guidance* are used for the Final OWP and the initial OWPA.**

## 2.21 Administrative Amendments

An administrative amendment is accomplished unilaterally by the MPO/RTPA and copies are provided to the transportation planning partners. These amendments involve insignificant changes, which do not affect delivery of regional transportation planning products. One example of an administrative amendment is the correction of errata.

There also may be amendments which change work elements in the OWP, but do not involve transportation planning work elements, funds, activities and products. These may be considered administrative amendments so long as the changes do not result in a diversion of MPO/RTPA staff time and emphasis to the detriment of transportation planning activities and products.

## 2.22 Formal Amendments

Given the time and effort required to amend an OWP, District's should first seriously consider if the MPO/RTPA needs to adopt a formal amendment to the OWP.

The Districts need to use some discretion in determining what actually requires a formal OWP amendment. If the activities and products in an existing work elements prove to be more expensive than estimated, the MPO/RTPA, may add in local funding through an informal OWP amendment, handled between the District and the MPO/RTPA. Or, if there is a modest schedule slippage to complete work activities or products, this also may be taken care of with an informal amendment.

A formal amendment is required if there are substantive changes to work elements funded with CPG and/or RPA *or* if the changes (regardless of funding type) impact regional transportation planning activities. The MPO/RTPA cannot change work activities or redirect funds prior to the District's approval of a formal amendment.

If an OWP amendment causes the information on the OWPA to be inaccurate, updating the OWPA is required.

Some examples of changes which require a formal amendment:

- Addition/deletion of a work element funded with CPG and/or RPA.
- Addition/deletion of a work element which impacts regional transportation planning.

- A change in scope of a work element funded with CPG and/or RPA *or* which impacts regional transportation planning activities.
- A change in scope of a work element which affects the OWP as a whole.
- Increase/decrease in total CPG and/or RPA in the OWP.

A change in scope means altering the broad purpose or objective of a work element. For FTA Section 5313(b) and FHWA State Planning and Research- Partnership Planning grants, a schedule change constitutes a change which requires amendment of both the OWP and the grant application.

Districts provide any and all amendments to ORIP and consult with ORIP prior to approving formal amendments.

## 2.23 Concurrence is Required Before the District Approves an OWP Amendment

Although the District generally has responsibility for amendment approval, some OWP changes require concurrence.

Reduction in scope-of-work or addition of work elements and projects funded with CPG require ORIP and FHWA/FTA concurrence. Changes-in-scope are discouraged for CPG discretionary grants because they are competitively awarded.

Reduction in scope-of-work or addition of work elements and projects funded with RPA, requires ORIP's concurrence.

Change-in-scope-amendments involving discretionary state and federal grants administered by Division of Transportation Planning's Office of Core Program Management and Support, by the Office of Community Planning, and by the Office of Policy Analysis and Research require the applicable Office's concurrence. Such changes are discouraged because these grants are competitively awarded.

Offices whose concurrence is required are encouraged to respond expeditiously, for example via e-mail, if possible.

## 2.24 Approving an Amendment

The steps for approving an amendment are similar to those for approving the OWP: after Governing Board authorization, the MPO/RTPA provides the District with an amendment. The District reviews it and determines whether it can be approved. If other District or Headquarters units are affected by the amendment, it is shared with them. Amendments are always provided to ORIP.

If concurrence is required, the District does not approve the amendment without first obtaining concurrence.

Activities cannot be added/deleted/changed and funds cannot be added/deleted/redirected until the District approves the OWP amendment.

## 2.25 The District Provides ORIP All OWP and OWPA Amendment Information

Both the District and ORIP need to have current and completely accurate copies of the OWPs, which reflect all changes, whether they are considered correction of errata, administrative, informal or formal amendments.

The District always provides the ORIP liaison with the most current OWP and OWPA.

An OWP amendment package includes a transmittal memo, which briefly explains the amendment, with all *affected* pages of the OWP attached, e.g., revised work element pages, a revised Budget Revenue Summary, and a resolution from the MPO/RTPA Board approving the amendment. If the total CPG and/or RPA changes, the package includes an amended fully executed (signed in **blue** ink to more easily distinguish original signature from photocopies) original OWPA.

If the District does not have sole authority to approve the amendment, evidence of concurrence is also part of the OWP amendment package.

The above are needed to keep the funding contract components accurate and current, to inform ORIP about regional planning activities, to accurately track funds in the MPO/RTPA account, and, as applicable, for federal oversight and review.

## 2.26 The Deadline for OWP Amendments is April 1

The deadline for amending the current fiscal year's OWP is April 1 (i.e. the amendment package must be received in ORIP by April 1).

This deadline is established to allow time to encumber additional funds, if applicable, to process invoices, and to allow the MPO/RTPA sufficient time to complete all work during the current state fiscal year funding cycle.

In *extraordinary and compelling* instances and *on a case-by-case basis*, requests for extension of the April 1 deadline *may* be considered by ORIP. There is no assurance deadline extensions will be granted.

A complete Request for Extension package from the District to ORIP consists of an explanatory memo with attachments documenting the request.

The memo includes:

- A summary and analysis of the proposed change(s).
- An explanation of the special circumstances of the extension request.
- A statement of the consequences of *not* granting the extension.
- An assurance the work can be completed and funds expended by June 30. The District's recommendation to approve or deny approval.

The required attachments to the District's memo include:

- The revised OWP work element(s).
- Authority from the MPO's/RTPA's Board to make the changes.
- Evidence of concurrence, as applicable.

Due to the time required for Accounting to redirect funds (which may involve the State Controller), amendments which involve an OWPA amendment, will almost never be considered after April 1. However, should a Request for Extension involve an amendment of the OWPA, an amended, fully executed, original OWPA also needs to be among the memo attachments.

## 2.27 Monitoring Progress

After the OWP is approved and the CPG/RPA funds are encumbered, the District is responsible for monitoring progress on the OWP through:

- Participation on technical advisory committees and working groups, meeting attendance, and other direct interaction with the MPO/RTPA.
- Review of Quarterly Progress and Expenditure Reports.
- Conducting Mid-year Reviews and/or participating in IPG and triennial certification meetings.
- Review for accuracy of Requests for Reimbursement and the supporting invoice materials.

**Note: RPA and/or CPG cannot be used to reimburse MPO/RTPA work commenced prior to:**

- (1) **Approval and adoption of the OWP**
- (2) **Submittal of a complete and fully executed OWPA to ORIP *and***
- (3) **Adoption of the State Budget.**

The District works closely with the MPO/RTPA to assure that activities are being completed on schedule, reimbursed work is accurately charged, and reimbursement is occurring timely. If there appear to be problems, the District provides immediate assistance.

If the delays with one work element are so significant the MPO/RTPA anticipates rescoping the activity or postponing activities to the next state fiscal year, the funding from the delayed

work element may need to be redirected. If a work element is progressing well, but is more costly than anticipated, funds from the delayed work element may be freed up to be used for an underfunded work element. This requires an OWP amendment before activities are changed and funds redirected.

## 2.28 Quarterly Progress and Expenditure Reports

To assure effective communication of OWP progress and to provide opportunity for timely intervention by the District, if intervention is needed, the MPO/RTPA is required to submit a Quarterly Progress and Expenditure Report within 30 days after the end of each quarter. These Reports are submitted to the District, which provides copies to ORIP.

The quarterly report describes work progress (or delays in work) and invoicing during the quarter to accomplish the OWP. The Reports are due to the Districts within 30 days after the end of each quarter of the state fiscal year:

- 1<sup>st</sup> quarter = Reports covering July 1 through September 30 are due October 31.
- 2<sup>nd</sup> quarter = Reports covering October 1 through December 31 are due January 31.
- 3<sup>rd</sup> quarter = Reports covering January 1 through March 31 are due April 30.
- 4<sup>th</sup> quarter = Reports covering April 1 through June 30 are due July 31.

**The District forwards copies to ORIP within two weeks after the above due dates.**

The District's Quarterly Progress and Expenditure Report transmittal memo to ORIP should highlight key aspects, particularly any fiscal and/or progress problems.

Originally in two components (a narrative and a spreadsheet format), the quarterly report has been combined into a single spreadsheet format, the Quarterly Progress and Expenditures Report. This report only needs to address regional transportation planning related activities and work elements funded with CPG and/or RPA.

The spreadsheet includes the opportunity for brief comments to reference MPO/RTPA accomplishments and/or problems for the quarter. If work is not progressing on schedule, this should be stated and new target dates should be provided; either the date when activities will be back on schedule or a new anticipated completion dates.

MPOs/RTPAs are encouraged to continue to prepare a more comprehensive narrative quarterly report. Narratives provide a convenient summary of work progress for Governing Boards, transportation planning partners, members of the public, and others.

The Quarterly Progress and Expenditure Report spreadsheet includes:

- The work element by number and title.
- The percentage of work completed to date.
- The expected completion date, or a statement work activities are on-going.
- A list of tasks and products completed during the quarter.

- Total funds budgeted for the work element by funding source and type.
- Year-to-date expenditures of all planning funds.
- Total RPA and/or CPG expended during the quarter.
- Dollar amount expended by planning fund source and type.
- The local match dollar amount and its identification as funds or in-kind services.

The quarterly reports keep the District regional transportation planner and the District's ORIP liaison current with OWP progress.

If OWP activities are off schedule it may be appropriate to amend the OWP to reflect the new schedule. If CPG and/or RPA funds are to be redirected, or if funding changes impact regional transportation planning activities, an amendment is required.

After the end of each fiscal year, the District submits the MPOs' quarterly reports for the year to the FHWA/FTA. Although the District provides ORIP quarterly reports throughout the year, the District also forwards ORIP the annual collection of quarterly reports transmitted to FHWA/FTA.

Some MPOs prefer to submit quarterly and/or end of year reports directly to FHWA/FTA, with copies to the District. In this case, it remains the District's responsibility to assure quarterly reporting is occurring, to review such reports, and to provide copies to ORIP.

The District also obtains and reviews copies of end products funded with state or federal sources. The District makes these available to ORIP and/or FHWA/FTA upon request. Products funded with FTA Section 5313(b) and FHWA State Planning and Research – Partnership Planning grants must always be provided to ORIP.

*The Appendix includes sample MPO and RTPA Quarterly Progress and Expenditures Reports.*

## 2.29 Mid-Year Reviews

By mid-January, the District should schedule a Mid-Year review meeting with the MPO/RTPA to review progress on the OWP.

District staff should be particularly aware of progress of the RTPA's OWP work activities funded with RPA. Unexpended RPA lapses at the end of the state fiscal year. To preclude any RPA being lost, the RTPAs, the Districts and ORIP should work to redirect any RPA that an RTPA cannot expend for any reason. It is critical to free up such funds in a timely manner because there are other RTPAs who can make good use of any RPA funds that are in danger of lapsing. Redirection of funds would be discussed with the Rural Counties Task Force, which includes the twenty-eight RTPA recipients of RPA.

### 3 THE CONSOLIDATED PLANNING GRANT (CPG)

In 1997, FHWA/FTA instituted a transportation planning funds process called the Consolidated Planning Grant (CPG).

In California, the four CPG fund sources and types are:

- FHWA Metropolitan Planning (FHWA PL)
- FTA Metropolitan Planning, Section 5303 (FTA § 5303)
- FHWA State Planning and Research -- Partnership Planning Element
- FTA State Planning and Research, Section 5313(b) (FTA § 5313(b))

FHWA PL is a set aside, not to exceed one percent of a state's funds authorized to be appropriated, after deductions, as per Section 104, Title 23 USC (also see § 420.103, Title 49 CFR). This totaled slightly more than \$30 million in 2002/2003.

FTA § 5303 annual authorized appropriations are set forth in Section 5338, Title 49 USC. This totaled approximately \$9.5 million in 2002/2003.

FHWA and FTA State Planning and Research grant funds are available as set forth in Section 307 (c) (1), Title 23 USC and Section 5338, Title 49 USC. This totaled approximately \$850,000 for FHWA State Planning and Research – Partnership Planning Element and approximately \$1.6 million for FTA § 5313 (b) in 2001/2002.

There are some key differences among these components:

- The Metropolitan Planning (FHWA PL and FTA § 5303) components are allocated to MPOs from the annual federal appropriation to California. RTPAs do not receive these funds.
- The two State Planning and Research discretionary grants - FHWA Partnership Planning Element and FTA § 5313(b) - must be applied for annually and are competitively awarded. RTPAs and MPOs may apply.
- FHWA and FTA funds are administered on different time lines. Around October 1, FHWA funds are allocated for the current federal fiscal year, and with the federal budget, FTA funds are appropriated for the following federal fiscal year.
- FHWA PL and FTA § 5303 may be carried over from year-to-year, with no carryover time limit. FTA § 5313(b) must be expended within three years, consistent with the grant application representations. FHWA State Planning and Research – Partnership Planning Element lapses at the end of the state fiscal year (except 2000/2001 funds may be expended in 2001/2002).

Each year, ORIP solicits applications for FHWA State Planning and Research – Partnership Planning Element and FTA § 5313(b) discretionary grants through a request for grant applications process. The grant application package provides more specific information about these grants, filing periods, rating criteria, etc.



### 3.01 Metropolitan Planning, FHWA PL and FTA § 5303

MPOs receive FHWA PL and FTA § 5303 funds each year to develop transportation plans and programs in urbanized areas of the state. All sixteen MPOs receive FHWA PL funds and fifteen of the sixteen MPOs receive FTA § 5303 funds each year. (TMPO does not currently receive FTA § 5303 funds.)

The percentage of the California allocation of FHWA PL and FTA § 5303 each MPO receives is determined by a formula agreed to by the MPOs, Department and FHWA/FTA.

The FHWA PL formula has three components:

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

The FTA § 5303 formula has two components:

- (1) A base allocation
- (2) A population component which distributes funds according to the MPO's percentage of statewide urbanized area population as of the most recent decennial census.

The FHWA PL formula refers to *total population*, but the FTA § 5303 formula refers to *urbanized area population*.

Per Title 23 U.S.C. § 104 (f), an amount not to exceed one percent of funds authorized to be appropriated for expenditure upon programs (less authorized deductions as per § 104(a)) is set aside for metropolitan planning, i.e. FHWA PL.

Per Title 49 U.S.C. § 5338 (c) and (h) (i) amounts authorized for FTA § 5303, and 5313 (b) are set forth by year.

### 3.02 FHWA State Planning and Research – Partnership Planning Element

Any MPO/RTPA may compete for FHWA State Planning and Research – Partnership Planning Element, but proposals must be jointly submitted with Department. Grants are for Department and MPOs/RTPAs to jointly perform and jointly fund transportation planning studies having statewide benefit and/or multi-regional significance.

### 3.03 FTA State Planning and Research § 5313(b)

MPOs/RTPAs may compete for FTA § 5313(b) grants, on their own behalf or on behalf of one or more subrecipients. Examples of subrecipients are transit operators, public agencies, private non-profit or community based organizations, universities, training institutes, and Native American tribal governments.

There are three components:

- Transit Technical Planning Assistance
- Statewide Planning Studies
- Transit Professional Development.

Transit Technical Studies grants fund the preparation of public transit and/or intermodal transportation planning efforts in rural areas.

Statewide Planning Studies grants fund transit issue studies of statewide or multi-regional significance, to reduce urban congestion through transit, and/or improved transit service.

Transit Professionals Development grants fund training for transit planning professionals and student interns using public or private training entities (not MPO/RTPA or transit agency in-house staff) with public transportation expertise.

### 3.04 California's Implementation of the CPG

Rather than each MPO/RTPA (and any other recipient of a CPG discretionary grant) applying individually to FHWA/FTA, Department makes application for all of California. Through Headquarters Accounting, ORIP annually establishes CPG expenditure authorizations (EAs.) Pre-CPG, this was a District responsibility.

Districts no longer need to obligate/deobligate funds each fiscal year and ORIP has standardized invoices and procedures. The transfer of CPG funds is accomplished through a single Master Fund Transfer Agreement between Department and each MPO/RTPA rather than several source-specific fund transfer agreements.

To satisfy federal Intergovernmental Review requirements per Presidential Executive Order 12372, ORIP now files Office of Management and Budget Forms STD 424 with the State Clearinghouses on behalf of all MPOs/RTPAs.

### 3.05 Local (Non-Federal) Match

Like most other federal funding sources, CPG requires a state or local match. The non-federal match rate for FHWA PL funds is 11.47 percent, and beginning in July 2001, and continuing through the end of TEA-21, fiscal year 2003, the non-federal match required for FTA § 5303 and FTA § 5313(b) is 11.47 percent.

The non-federal match required for FHWA State Planning and Research – Partnership Planning Element is 20 percent.

**The ORIP Fund Specialist can provide a spreadsheet with preset calculations to assist Districts and MPOs/RTPAs to accurately compute local match. The spreadsheet is also available on the ORIP website.**

- The local match is a percentage of the total of the federal participation amount plus the required non-federal participation amount. It is not just a percentage of the federal participation amount.
- The match is calculated project-by-project. It is not a percentage of total federal funds in the OWP. (On the OWPA, the match is calculated on the total of each CPG funding source and type in the OWP.)
- If different federal sources and types are among a project’s funding sources, a match must be calculated for each federal source and type.

Three examples of local match calculation are:

- 1.) The local match rate is calculated on the total of the federal participation amount plus the required (non-federal) local share amount, not just the federal participation amount.

Assuming an 11.47% local match rate, to determine the local match amount if only the federal participation amount and federal participation percentage rate are known:

The total of the federal participation amount (\$88.53) divided by the federal participation percentage rate (.8853) equals the total of federal participation and mandatory local match.

$$\$88.53 \div .8853 = \$100 \text{ (total federal participation and mandatory local match)}$$

This total (\$100) multiplied by the local match rate (.1147) yields the local match amount.

$$\$100 \times .1147 = \$11.47 \text{ (local match amount)}$$

- 2.) The local match rate is calculated project-by-project. It is not a percentage of total federal funds in the OWP.

Each work element in the OWP, the OWP Budget Revenue Summary, and Request for Reimbursement must reflect the mandatory local match. Including more than the mandatory local match in one work element (sometimes called “overmatching”) cannot be “balanced” with less than the mandatory local match in a different work element (sometimes called “undermatching”).

3.) If more than one federal source is among a project's funding sources, local match must be calculated for each federal source.

The project includes an \$80 federal participation amount of State Planning and Research – Partnership Planning Element funds, which require a 20% local share, and an \$88.53 federal participation amount of FHWA PL funds, which require an 11.47% local share.

$\$80 \div .80 = \$100 \times .20 = \$20$  (local match for the State Planning and Research – Partnership Planning Element portion), and  
 $\$88.53 \div .8853 = \$100 \times .1147 = \$11.47$  (local match for the FHWA PL portion)

Each Request for Reimbursement must show at least the mandatory local match amount. This means a lower match amount (undermatch) on one Request for Reimbursement cannot be compensated for with a higher match (overmatch) on a previous or subsequent Request for Reimbursement.

However, federal participation may also be matched with services, i.e. work performed which benefits the project, but which is not funded with federal funds. This is called “in-kind” or “soft match”. Some examples of “soft match” are the value of community advisory committee members’ services, the value of volunteer services, and the value of services provided to a specific MPO/RTPA planning work activity by a subregional agency or city or county staff.

In the instance of “in-kind” or “soft-match” local participation, the District needs to verify such services are not funded with a different federal funding source and such services are not also inadvertently charged as Indirect Costs. The MPO/RTPA needs to provide solid supporting documentation when “in-kind” is used as the local match.

If federal sources are used to fund consultant contracts, a “hard” match, i.e. non-federal funds, is preferred. If “in-kind” match is to be used, the District needs to carefully review the in-kind services match to assure it:

1. Was funded with non-federal funds (e.g., Planning Programming and Monitoring (PPM), local sales tax measure, etc.), and
2. Adds some benefit to the consultant contract, i.e. makes it better or less expensive. For example, a local agency may provide data the consultant will not need to be paid to provide or adds some benefit to the MPO/RTPA relative to the consultant contract.

### 3.06 When to include CPG Discretionary Grant Funds in OWPs and OWPAs

Although for information purposes the draft OWP should include work activities to be funded with CPG discretionary funds applied-for-but-not-yet-awarded, the Final OWP should generally only include **committed** funding, i.e., fully funded work elements.

In response to requests from MPOs/RTPAs, applied-for-but-not-yet-granted CPG discretionary grant funds and the work activities to be funded therewith may be included in the Final OWP. In this instance, both the activities in the individual work elements and the Budget Revenue Summary must clearly be marked to show there is no assurance that CPG discretionary grant funds will be awarded and there is no assurance that the work activities proposed to be funded therewith will be accomplished.

Only committed funds are shown on the executed OWPA. If a CPG discretionary grant is later awarded, the OWPA must be amended to include it.

If applied-for-but-not-awarded CPG discretionary grants are not shown in the Final OWP, after award they, and the work activities they will fund, need to be amended into the OWP and the OWPA will need to be amended to reflect these grant funds.

### 3.07 Unexpended Carryover

There is no carryover of RPA, or FHWA State Planning and Research – Planning Partnership Element funds.

An MPO may use unexpended FHWA PL and FTA § 5303 funds in a future fiscal year provided the following are met:

- The MPO/RTPA has submitted a Certification of Expenditure by Fund Source, including the Final Statement of Expenditures, within sixty days after the end of every state fiscal year, executed by an individual to whom the Governing Board has designated signature authority (usually the Executive Director or Finance Officer.)

*and*

- The District, MPO and the ORIP Fund Specialist have reconciled the unexpended FHWA PL and/or FTA § 5303 balances at the end of each fiscal year.

An MPO/RTPA recipient may use FTA § 5313(b) funds in a future year provided the following is met:

- The District, MPO/RTPA and the ORIP Fund Specialist have reconciled the unexpended FTA § 5313(b) balances at the end of each fiscal year and the three year time limit to expend has not been exceeded, i.e., year of award plus two years. (Both the OWP work element and the grant application must reflect the expenditure schedule.)

Anticipated CPG carryover amounts and work to be accomplished therewith should be included in the draft OWP for information purposes. Unexpended FHWA PL or FTA § 5303 carryover from prior years should generally not be included in the Final OWP and OWPA because reconciliation of balances usually occurs after the Final OWP is adopted by the MPO/RTPA and approved by the District. After balance reconciliation, the MPO/RTPA amends activities to be funded with carryover into the OWP and amends carryover funds into the OWP and the OWPA.

If an MPO has substantial amounts of carryover, a portion thereof may be included in the Final OWP, i.e., an amount to which the MPO, the District and the ORIP Fund Specialist

agree. This amount would generally be the reconciled carryover from the previous year less any amounts encumbered via the current OWP and OWPA. Any remaining carryover can be amended into the Final OWP after reconciliation is completed.

The OWPA cannot include separate current year and carryover entry lines. The combined total of the current year's amount plus any carryover amount must be entered on the respective CPG fund source and type line. Along with the OWPA, the MPO/RTPA must provide an explanatory letter or memo specifying:

- Current year amounts
- Carryover amounts by CPG fund source, type, and allocation year

Beginning with 2000/01, FTA § 5313 (b) may be carried over but must be liquidated within three years of award. Funds must be expended as per the grant application and schedule and as shown in the OWPs for the applicable fiscal years. If there are changes, both the grant application and the OWP work element must be amended.

Both the original fully executed OWPA (signed in **blue** ink to more easily distinguish original signatures from photocopies) and the executed original of the MPO/RTPA explanatory memo or letter are filed with the ORIP Fund Specialist.

## 4 ORIP-ADMINISTERED TRANSPORTATION PLANNING FUNDS

Of the various local, state and federal fund sources and types that may be included in the OWP, this Handbook only addresses funds administered by ORIP, i.e., federal Consolidated Planning Grant (CPG) and state Rural Planning Assistance (RPA). (See Chapter 3 for more information about CPG.)

RPA is annually allocated to the rural, non-MPO RTPAs. RPA must be fully expended during the one year term of the OWP. It may *not* be carried over from one state fiscal year to another. The RTPA loses unexpended amounts June 30 when the state fiscal year ends.

### 4.01 Non-ORIP-Administered Transportation Planning Funds

Application for and encumbrance of non-ORIP administered transportation planning funds are not covered by the regional transportation planning MFTA and the OWPA. More information is available at the listed websites.

The Division of Aeronautics administers aviation planning funds:

<http://www.dot.ca.gov/hq/planning/aeronaut/>

Planning, Programming and Monitoring (PPM) funds are administered by Division of Local Assistance:

<http://www.dot.ca.gov/hq/LocalPrograms/>

Transportation Development Act (Local Transportation Fund and State Transit Assistance) funds are administered by the Division of Mass Transportation:

<http://www.dot.ca.gov/hq/MassTrans/>

Beginning with the fiscal year 2001/2002 cycle, there is a combined Division of Transportation Planning grant application solicitation package, which includes:

- FHWA State Planning and Research – Planning Partnership Element
- FTA § 5313(b) Elements
- Environmental Justice Element
- Community Based Transportation Planning Element

Despite the combined grant application solicitation package, the Environmental Justice Element, and Community Based Transportation Planning Element grants cannot be encumbered through the regional transportation planning MFTA and the OWPA, and cannot be invoiced using ORIP Requests for Reimbursement.

## 4.02 Use of Transportation Planning Funds

As the name implies, transportation planning funds are to be used for transportation planning. They cannot be used for project development such as project study reports (PSRs) or project implementation. For example, studying whether a traffic impact fee would benefit transportation in the region and even determining appropriate fee levels are acceptable uses, but implementation of the traffic impact fee program goes beyond planning and is not an acceptable use.

Some examples of eligible uses for transportation planning funds include:

- Transportation plans and transportation planning studies.
- Transportation Improvement Programs.
- Environmental Impact Reports and Master EIRs for RTPs and TIPs.
- Corridor studies and corridor preservation studies, including major investment studies.
- Transportation-related air quality planning and modeling activities.
- Public involvement/consensus building, and evaluations and analyses of their effectiveness.
- Government-to-government formal consultation with Native American tribal governments.
- Identification of mobility and access needs and assessment of system continuity within and between areas and regions.
- Overall Work Programs/Agreements/Amendments and planning Fund Transfer Agreements.
- Development of policies and strategies to enhance movement of people, goods, services, and information.
- Transit, bicycle, and pedestrian plans and transit needs assessments.
- Consideration of transportation benefit to communities.
- Coordination of transportation planning coordination with land use, open space, jobs-housing, environmental, and growth management planning.
- Ensuring compatibility of locals, regional, statewide and interregional plans.
- Evaluation of transportation issues involving international borders, seaports, airports, intermodal facilities, freight hubs, and recreation sites.
- The study of methods to reduce vehicle travel and enhance mobility options.
- Identification of policies, strategies, and programs to preserve transportation facilities and optimize transportation infrastructure utility.
- Involvement of federal permit and approval agencies early/continuously in the planning process.
- Development of transportation planning and travel forecasting tools and models.
- Smart growth studies.



#### 4.03 25% Limit on use of Rural Planning Assistance (RPA) for Administrative Purposes

Not more than twenty-five percent of Rural Planning Assistance (RPA) money should be expended for the rural RTPA's administrative purposes. This was the limitation imposed on State Subvention funds and it carries over to its successor, RPA. District staff should review the draft OWP for adherence to this limit.

To distinguish an "administrative use" from a "planning use", the District may need to request clarification from the RTPA, particularly if activities in the OWP are grouped into broad and generic categories and not described with specificity.

For example the terms "clerical support" and "photocopies" appear to obviously be administrative. If, however, "clerical support" means mailing invitations to a transit planning round table meeting, this may be a component of a transit planning activity. Likewise, if "photocopies" means reproducing these mailers, this too may be a component of that same transit planning activity.

District staff should work with the RTPA partners to assure OWP language is sufficiently descriptive to avoid confusion.

#### 4.04 MPO Indirect Cost Negotiation Agreement and Cost Allocation Plan or MPO Letter of No Interest (in Federal Reimbursement for Indirect Costs)

If an MPO wishes to receive federal reimbursement for indirect costs (i.e., overhead defined as costs benefiting more than one work activity or causing disproportionate efforts to assign to specific work attributable to its planning program), it must submit an Indirect Cost Negotiation Agreement and Cost Allocation Plan to the District between February and May, for the fiscal year to begin July 1.

If an MPO does not wish such reimbursement, it must submit a letter stating it does not wish to participate. The Letter of No Interest must be submitted to the District between February and May, for the fiscal year to begin July 1.

The District forwards either the Indirect Cost Negotiation Agreement and Cost Allocation Plan or the Letter of No Interest for each MPO to Headquarters Audits and Investigations (Audits) every year.

The District should ensure the Indirect Cost Negotiation Agreement states the indirect cost rate is a "fixed-rate with a carry-forward provision". The carry-forward provision is required by the FHWA/FTA as the method of reconciling estimated, indirect costs, identified at the beginning of the year, with actual indirect rates at the year's end. If the MPO has questions, the District should direct them to Audits.

Audits returns the approved Agreement and Plan to the District, which transmits it to the MPO. The District retains a file copy.

Some MPOs submit their Indirect Cost Negotiation Agreement and Cost Allocation Plan directly to Audits. Since Audits has primary review responsibility and because the approved Agreement and Plan are forwarded through the District to the MPO, this is not problematic.

It is the District's responsibility to assure the MPO's Agreement and Plan, or the MPO's Letter of No Interest, is sent to Audits, whether it is routed through the District or sent directly to Audits.

## 4.05 Requests for Reimbursement (Invoices)

Once the MPO/RTPA has an adopted and approved OWP, has a fully executed original OWPA filed with the ORIP Fund Specialist, and the State Budget has been signed by the Governor, the MPO/RTPA can commence work and request reimbursement.

CPG and RPA are provided on a reimbursement basis only. To invoice for OWP work, which has been completed and for which it has paid, the MPO/RTPA submits a Request for Reimbursement – usually monthly or quarterly. (See Invoicing Procedures Flowcharts on pages 4-7, 4-8 and 4-9.)

Unless the MPO's/RTPA's MFTA provides differently, invoices may not be submitted more frequently than once per month. If Requests for Reimbursement will be less frequent than quarterly, District staff should work especially closely with MPO/RTPA staff to assure OWP activities and products are progressing on schedule and Requests for Reimbursement will be submitted timely.

ORIP has developed Request for Reimbursement forms for:

- MPOs invoicing CPG
- RTPAs invoicing RPA
- RTPAs invoicing §5313(b) and/or SPR-Partnership Planning funds

ORIP District liaisons provide electronic versions of these forms to the Districts.

*The Appendix includes sample Requests for Reimbursement*

## 4.06 Timely District Review of Requests for Reimbursement

It is the District's responsibility to review all Requests for Reimbursement, and ensure that invoices are bona fide, accurate, and that the billings are for eligible, delivered products, completed in accordance with work elements in the OWP. It is strongly recommended that Districts require MPOs/RTPAs to also submit a financial summary with every Request for Reimbursement.

Requests for Reimbursement must be reviewed and processed in a timely manner. The District has a total of fifteen days from date of receipt in the District, to review and process Requests. Within the initial fifteen days, the District must send the Request to Accounting, or the District must formally notify the MPO/RTPA, both by phone and in writing, of an error in the Request (Section 4.07 provides information about Inaccurate Requests for Reimbursement).

If ORIP needs to code the Request, District time is reduced to ten days. The ORIP Fund Specialist needs to code MPO Requests and RTPA requests for §5313(b) and/or SPR-Partnership Planning. The District should forward these requests to the ORIP Fund Specialist at least five days prior to the end of the initial fifteen-day period.

Accounting has fifteen days to authorize payment and the State Controller's Office has another fifteen days to issue the actual payment check.

*The Appendix includes a sample Financial Summary.*

For CPG, the District also verifies the Request for Reimbursement reflects the appropriate local match amount. (Section 3.05 provides information about local match).

MPO: The District faxes a copy of the MPO's Request to the ORIP Fund Specialist who works with the District to code the bottom of that Request.

The ORIP Fund Specialist then faxes the coded Request to the District with a coversheet (Form 100) advising Accounting the coding is consistent with the processes agreed to between the ORIP Fund Specialist and Accounting.

**The District should make no changes to the Form 100 from the ORIP Fund Specialist.** Accounting has directed its staff to only process MPO Requests for Reimbursement that include the Form 100 coding accuracy confirmation coversheet.

The District's Senior Transportation Planner whose unit is responsible for OWP review, administration and monitoring signs the Request for Reimbursement

If the District signs the Request for Reimbursement prior to it being faxed to the ORIP Fund Specialist, the signature affirms the District's agreement with, and approval of, the MPO's Request. If the District elects to sign the Request for Reimbursement only after the ORIP Fund Specialist provides coding information, the act of faxing the Request to ORIP Fund Specialist signifies the District's agreement with, and approval of, its content. The District should affirm its approval with a brief statement on the fax transmittal sheet to the Fund Specialist.

The District sends the Request for Reimbursement and the ORIP Fund Specialist's Form 100 to Accounting via interoffice mail or fax.

RTPA (FTA §5313(b) and/or FHWA State Planning and Research – Partnership Planning Element): The District faxes a copy of the RTPA's Request to the ORIP Fund Specialist who works with the District to code the bottom of that Request.

The ORIP Fund Specialist then faxes the coded Request to the District with a coversheet (Form 100) advising Accounting the coding is consistent with the processes agreed to between the ORIP Fund Specialist and Accounting.

**The District should make no changes to the Form 100 from the ORIP Fund Specialist.** Accounting has directed its staff to only process RTPA Requests for Reimbursement for CPG that include the Form 100 coding accuracy confirmation coversheet.

The District's Senior Transportation Planner whose unit is responsible for OWP review, administration and monitoring signs the Request for Reimbursement

If the District signs the Request for Reimbursement prior to it being faxed to the ORIP Fund Specialist, the signature affirms the District's agreement with, and approval of, the RTPA's Request. If the District elects to sign the Request for Reimbursement only after the ORIP Fund Specialist provides coding information, the act of faxing the Request to ORIP Fund Specialist signifies the District's agreement with, and approval of, its content. The District should affirm its approval with a brief statement on the fax transmittal sheet to the Fund Specialist.

The District sends the Request for Reimbursement and the ORIP Fund Specialist's Form 100 to Accounting via interoffice mail or fax.

RTPA (RPA): If the District agrees the RTPA's Request for Reimbursement is accurately completed and the amounts requested are appropriate, the District sends the fully completed signed Request to Accounting via interoffice mail or fax.

## 4.07 Inaccurate Reimbursement Requests/Dispute Notification Form

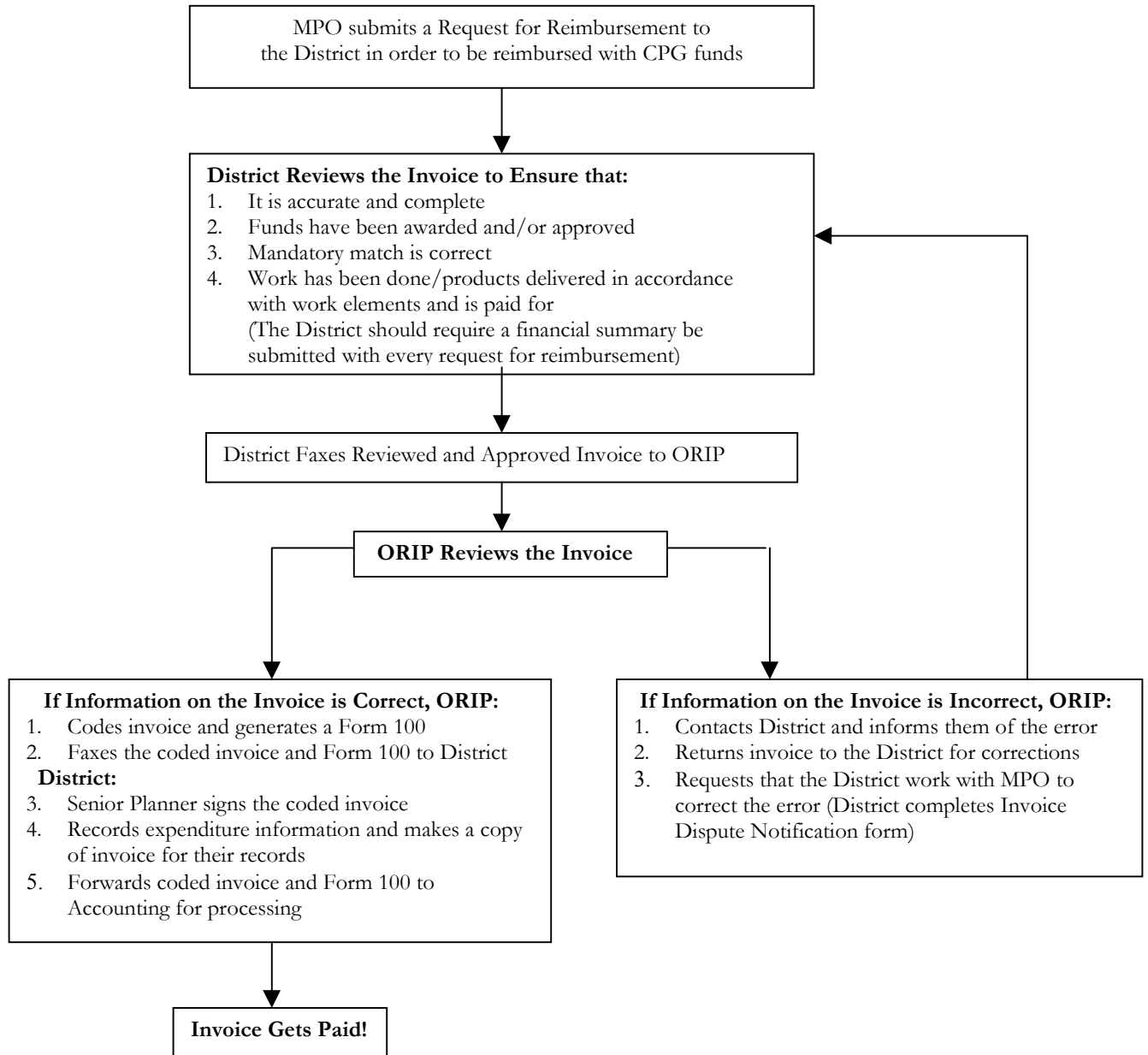
Within 15 working days of receipt, the District must notify the MPO/RTPA if the District finds an inaccuracy in a Request for Reimbursement.

District staff works with the MPO/RTPA to correct any and all errors prior to forwarding a Request for Reimbursement to Accounting for payment. This involves both telephone and written communication with the MPO/RTPA.

For example:

- District staff phones the MPO/RTPA to discuss the specific Request for Reimbursement concerns, *and*
- District staff makes a written record of both the specific concern and the phone conversation communicating the concern using Invoice Dispute Notification form STD 209.

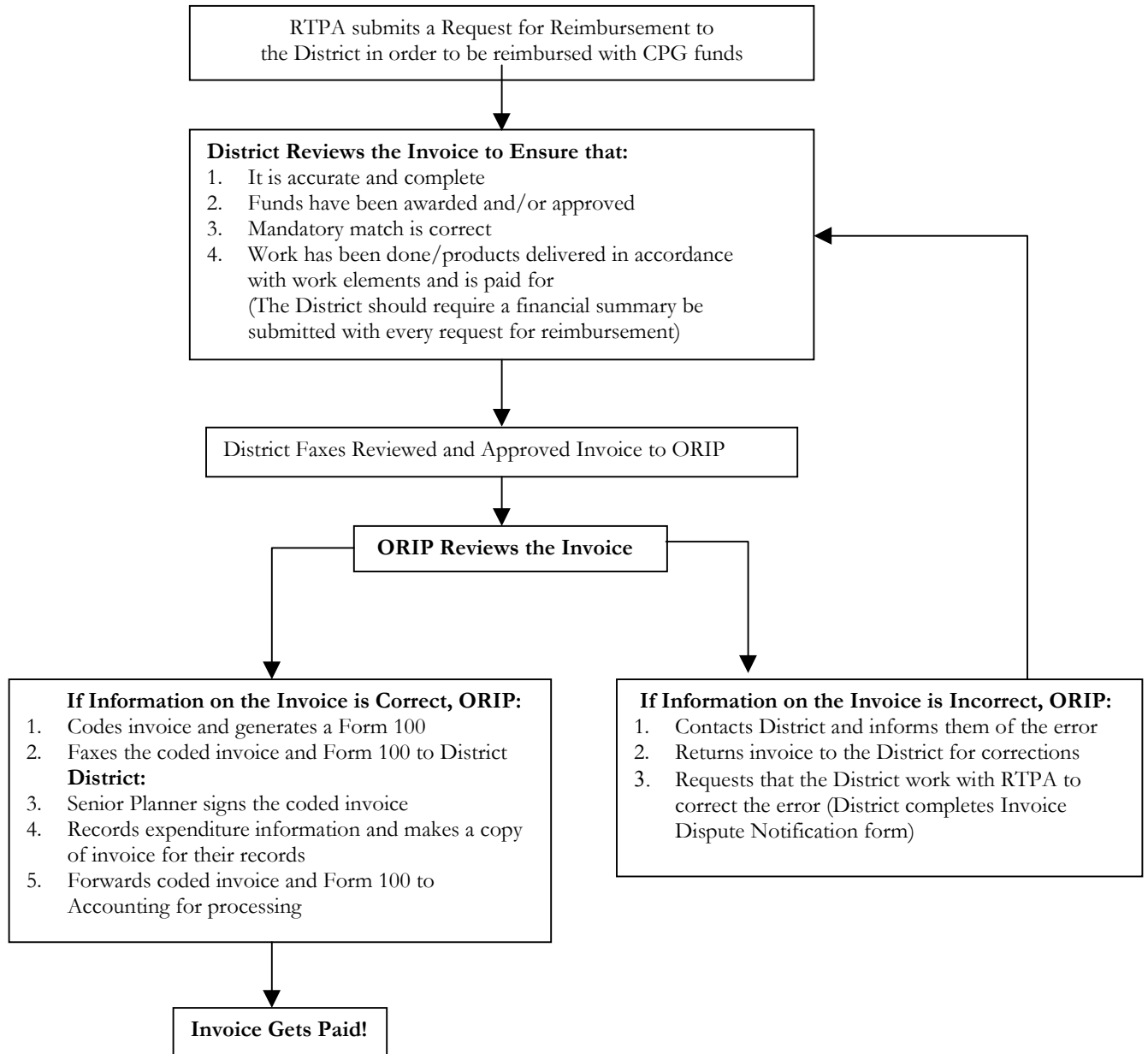
## INVOICING PROCEDURE FOR MPOs



*If the District finds inaccuracies in the invoice, they must work with the MPO to get a corrected invoice.  
(See Section 4.07 for more information.)*

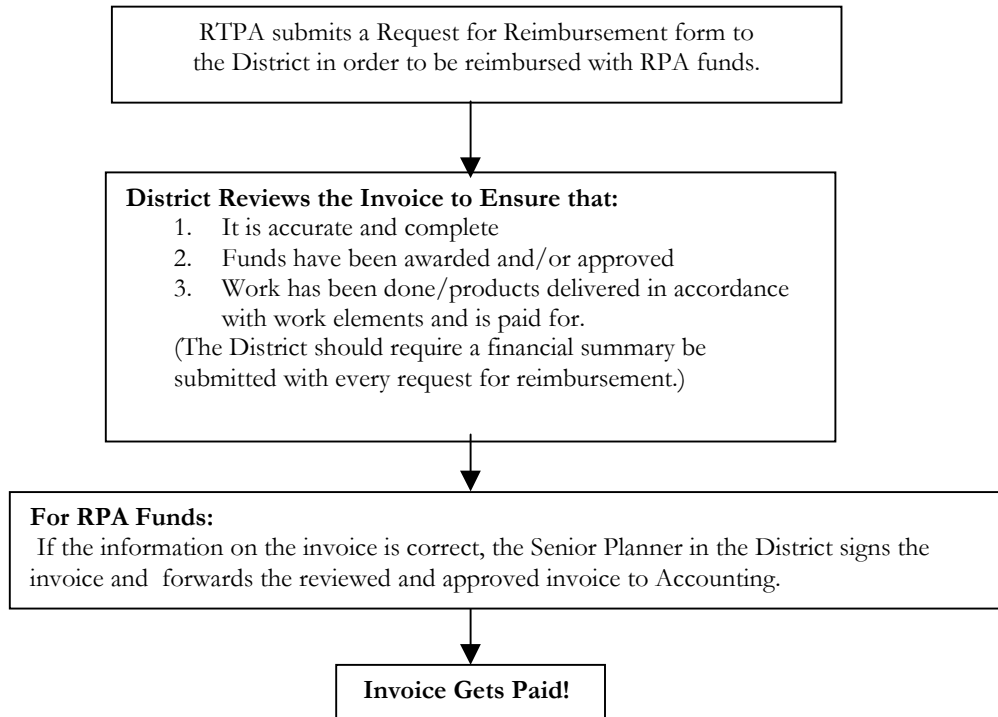
# INVOICING PROCEDURE FOR RTPAs

(FTA § 5313 (b) and FHWA SP&R – Partnership Planning Grants)



*If the District finds inaccuracies in the invoice, they must work with the RTPA to get a corrected invoice.  
(See Section 4.07 for more information.)*

## INVOICING PROCEDURE FOR RTPAs (RPA ONLY)



*If the District finds inaccuracies in the invoice, they must work with the RTPA to get a corrected invoice.  
(See Section 4.07 for more information.)*

Form STD 209 is a multi-copy NCR (no carbon required) form. Within 15 working days of receipt of the inaccurate Request for Reimbursement, the District must send the white and goldenrod copies to the MPO/RTPA. The white copy is for the MPO's/RTPA's file. The goldenrod copy is to be returned to the District with a corrected Request for Reimbursement.

If the District fails to adhere to the 15 working day mandated notice timeframe, the District is liable for paying interest on the Request balance. To avoid this interest penalty, the District must document its communication with the MPO/RTPA about the inaccuracy in the Request for Reimbursement.

Contact your ORIP liaison to obtain copies of STD 209.

### 4.08 Closeout/Year-End Package

After the end of the state fiscal year, i.e. within 60 days after June 30, each RTPA/MPO must closeout the OWP through submittal of a Year-End Package.

ORIP and Accounting use the Certification of Expenditure by Fund Source to close the MPO's (and, if applicable, the RTPA's) account for the fiscal year. This document is critical to enable Department to accurately track funds. It is of great importance to assure CPG carryover balances are accurately credited to the MPO's/RTPA's account. The Year-End Package information is the basis for reconciling carryover of FHWA PL and FTA § 5303 for MPOs and carryover of FTA § 5313(b) for MPOs/RTPAs. FTA Section 5313 (b) may only be carried over consistent with grant application representations.

### **MPO Year-end Package**

The following documents make up the year-end package for the MPOs:

- Request for Reimbursement clearly marked "FINAL" (advising that no additional reimbursement requests will be submitted for the OWP),
- Certification of Expenditure by Fund Source that has been executed by an entity who has specific signature authority from the Governing Board (usually the Executive Director or Finance Officer) and
- Final Statement of Expenditures – a summary of the total amount of federal funds expended for a work element by fund source and type, i.e., each component of the CPG. It must match the reported expenditures contained in the Certification of Expenditure by Fund Source.

After the District has received the coded Request for Reimbursement marked "Final" from the ORIP Fund Specialist, they can then proceed to compile the year-end package. The District forwards the complete package to the ORIP Fund Specialist. The ORIP Fund Specialist will forward a copy to Accounting.

### **RTPA Year-end Package (RPA Funds Only)**

For RTPAs who receive only RPA, the Year-End Package consists of the RTPA's last Request for Reimbursement clearly marked "FINAL". This is to advise Accounting that there will be no additional Requests for Reimbursement submitted for the OWP. A Certification of Expenditure by Fund Source does not have to be submitted by RTPAs expending only RPA funds.

### **RTPA Year-end Package (FTA § 5313(b) and/or FHWA SPR-Partnership Planning)**

RTPAs that have billed for discretionary funds (FTA § 5313(b) and/or FHWA SPR-Partnership Planning) must complete a Certification of Expenditure by Fund Source that has been executed by an entity who has specific signature authority from the Governing Board (usually the Executive Director or Finance Officer).

The completed Certification of Expenditure by Fund Source, including the Final Statement of Expenditures and a Request for Reimbursement clearly marked "FINAL" (advising that no additional reimbursement requests will be submitted for



the OWP) makes up the year-end package. After the District has received the coded Request for Reimbursement marked “Final” from the ORIP Fund Specialist, they can then proceed to compile the year-end package.

The District forwards the complete package to the ORIP Fund Specialist. The ORIP Fund Specialist forwards a copy to Accounting.

*The Appendix includes a sample Certification of Expenditure by Fund Source, including the Final Statement of Expenditures.*

## 4.09 Annual MPO/RTPA Fiscal and Compliance Audit

As stipulated in the MFTA, and as a condition of receiving transportation planning funds, MPOs/RTPAs undergo an annual fiscal and compliance audit. This audit may be part of another audit, e.g. a federal or Transportation Development Act audit.

- The annual fiscal and compliance audit report must be submitted to the District within 180 days after June 30, i.e. by January 1st of the following calendar year.
- District staff reviews the audit report to ensure correct CPG and RPA planning funds amounts.
- If the auditor identifies deficiencies in an MPO’s/RTPA’s accounting or administrative system, the MPO/RTPA and the District must work to develop a corrective action plan. The identified deficiencies will determine the corrective action needed. It may be straightforward, e.g., increasing records retention to at least three years or attaching billing/payment information to the invoice, or it may be more complicated, e.g., developing a better accounting and monitoring procedure.
- **The District must provide ORIP a copy of the corrective action plan.**
- **The District must monitor and evaluate resolution of any deficiencies and provide ORIP written progress reports.**

## 4.10 Audit Report Distribution

MPOs submit five audit copies and RTPAs submit three copies of the audit to the District.

Within 45 days after receipt, i.e. no later than February 15, the District shall distribute copies of the audit report as follows:

RTPAs:

- District retains one copy for review and reference.
- District forwards one copy to ORIP.
- District forwards one copy to Headquarters Audits & Investigations.

MPOs:

- District retains one copy for review and reference.
- District forwards one copy to ORIP.
- District forwards one copy to Headquarters Audits and Investigations.
- District forwards one copy to Headquarters Accounting
- District forwards one copy to FHWA/FTA at:  
980 Ninth Street, Suite 400, Sacramento, CA 95814-2724

Some MPOs/RTPAs submit their Audit Reports directly to FHWA/FTA and/or to Headquarters Audits and Investigations. It is the District's monitoring responsibility to assure the Audit Report is submitted whether it is routed through the District or directly to FHWA/FTA and/or to Audits and Investigations at Department Headquarters, Sacramento.

## 4.11 Records Retention

As stipulated in the MFTA, all documents, books and records connected with the funds transferred to the MPO/RTPA, and performance requirements related to those funds, must be retained. The retention period is three years from the date of the final payment to the MPO/RTPA or until audit resolution is achieved, whichever is later. In the event of multi-year projects, all records must be retained for a minimum of three years after the project's closeout year. Like other conditions, record retention applies to the MPO's/RTPA's contractors and sub-contractors.

The records shall be available for inspection by state and/or federal representatives and requested copies shall be provided to them without cost.

A sampling of the kinds of records that need to be retained includes:

- OWPs and amendments
- OWPA's and amendments
- MFTAs
- Requests for Reimbursement and Final Requests for Reimbursement, Fund tracking spreadsheets
- Invoices, payable/receivable records, and financial summaries
- Certification of Expenditure by Fund Source including the Final Statement of Expenditures
- Quarterly Progress and Expenditures Reports
- Final products, requests for proposal, contracts, procurement procedures, etc.

The above-described record retention period is the minimum. The MPOs/RTPAs may elect to establish longer retention periods or may be required to establish longer retention periods for statutory reasons.

## 4.12 Electronic Submittals and Databases

In an effort to facilitate availability accessibility to transportation partners and users, MPOs/RTPAs are requested to submit electronic versions of overall work programs (OWPs), regional transportation plans (RTPs), and other documents and information. After adoption, MPOs/RTPAs should submit electronic products to the Districts, which will forward them to their liaisons in ORIP. As appropriate, these will be posted on the ORIP website listed in Section 1.07.

ORIP has implemented electronic Quarterly Progress and Expenditures Reports to track ORIP-administered transportation planning funding expenditures and balances. This is a tool for the MPO/RTPA, Districts and ORIP to monitor OWP progress, timely use of funds, etc. In the future the Reports will provide information for an ORIP funds tracking database. After implementation, this “real time” information database will be posted on the ORIP website. Access will be universal “read only” with restricted data entry to optimize data integrity.

## 6 REGIONAL TRANSPORTATION PLAN (RTP)

Both state and federal law require regional agencies to develop a regional transportation plan (RTP). Called a metropolitan transportation plan (MTP) in federal law and by some MPOs, the RTP is a comprehensive, 20+ year vision of the region's transportation system. It identifies problems, projects regional growth and suggests proposals to accommodate growth, and maintain regional quality of life. The RTP must be realistic and reflect fiscal constraints. If the region is a federally-designated air quality non-attainment area, the RTP must conform to the State Implementation Plan (SIP), the state's plan to achieve healthy air quality. (See Section 6.04, Air Quality Conformity.)

Like the OWP, the RTP is developed by the MPO/RTPA in concert with the transportation partners in the region and with full public involvement. District regional transportation planning is a key member of the RTP development team (e.g., as technical advisory committee and/or working group member, as a provider of data, etc.) and it is District staff's responsibility to assure Department's interests and priorities are represented and advocated as the RTP is developed. This chapter describes the District's interaction with MPOs/RTPAs as they develop and adopt the RTP.

### 6.01 *The RTP Guidelines*

State and federal RTP statutes are the basis for the California Transportation Commission's (CTC) *Regional Transportation Plan Guidelines*. Updated as needed, the latest *RTP Guidelines*, adopted by the CTC in December 1999, were drafted by a task force composed of transportation planning partners. ORIP served as staff to the task force and the project.

The intent of the *RTP Guidelines* is to promote:

- Integrated, statewide, multimodal, regional transportation planning and set forth a uniform regional transportation planning framework throughout California;
- Transportation planning which support decision-making;
- Continuing, comprehensive, and coordinated transportation planning that facilitates the rapid and efficient development and implementation of projects while maintaining California's commitment to public health and environmental quality; and
- Planning which integrates the public into decision-making.

The *RTP Guidelines* are the comprehensive RTP reference manual. They are posted on the ORIP website.

### 6.02 RTP Purpose and Contents

The RTP shall achieve a coordinated and balanced regional transportation system, including, but not limited to, mass transportation, highway, railroad, maritime, bicycle, pedestrian, goods movement, and aviation facilities and services. It shall be action-oriented and pragmatic, address system maintenance and preservation as well as expansion, and consider both short-term (+/- 10-year) and long-term (20+ year) time periods.

It should be internally consistent and should clearly describe the planning assumptions and methodology used to analyze and prioritize transportation improvements, i.e. all projects should clearly flow from the Policy, Action, and Financial Elements. The RTP should be externally consistent, i.e., recognize and/or incorporate, as appropriate, other adopted plans and programs that impact the regional transportation system.

To be programmed in a Federal Transportation Improvement Program (FTIP), a project must first be included in an adopted, conforming RTP. (See Section 6.04 for more information about “conforming”.)

The RTP shall include the following components:

- A Policy Element that reflects the mobility goals, policies and objectives of the region.
- An Action Element that identifies programs and actions to implement the RTP.
- A Financial Element that summarizes the cost of implementing the RTP within realistic financial assumptions, i.e., a financially constrained environment.

The RTP should also include the following:

- An Executive Summary that provides a regional perspective, and identifies the challenges and transportation objectives to be achieved.
- A Needs Assessment that facilitates project development. Part of the assessment should be transportation system outcome performance objectives and measures.
- References to regional environmental issues.

If the region includes a primary air-carrier airport (i.e., more than 10,000 enplanements annually) the RTP must also include an Airport Ground Access Improvement Program. State legislation, SB 45 (1997), specifies projects included in the Interregional Transportation Improvement Program (ITIP) shall be coordinated and consistent with the RTP.

Four key points from the 1999 *RTP Guidelines* are the need:

1. To define a set of program level transportation system performance measures.
2. For better project identification and to more clearly discuss purpose and need of RTP alternatives, strategies and projects.
3. To indicate funding priorities and implementation procedures for local road and transit maintenance and rehabilitation.
4. For more cooperative planning and programming of capital and operational improvements on the interregional system through the RTPs and the regional transportation improvement programs.

Some federal RTP requirements are:

- Consistency with Title VI of the Civil Rights Act of 1964 and environmental justice.
- Actions needed to meet the American with Disabilities Act (ADA) of 1990.

- A public participation process, which is inclusive, particularly for traditionally underserved and underrepresented groups.
- A short-term (10-year) and a long-term (minimum 20-year) time horizon.
- Analysis of the RTP's likely social and environmental effects upon housing, employment, community development, land use, central city development goals, etc.
- Air quality conformity in non-attainment areas.
- Fiscal constraint.
- Assessment of the effectiveness of the public participation process and the equity of the transportation proposals on all components of the community.
- Documentation of formal consultation with Native American tribal governments and consideration of their transportation needs.

Key environmental concerns should be identified in the planning phase, commensurate with the level of detail available. A brief statement of the conceptual purpose and need in the RTP should be included to allow subsequent project level activities to reference the rationale for including projects in the plan. Minor projects can be grouped into a “programmatic” statement of purpose and need, corresponding to the level of detail of this stage.

### 6.03 Financially Constrained

The need to “financially constrain” the RTP was part of the Intermodal Surface Transportation Efficiency Act (ISTEA) of 1991. Basically, this means making an estimate of anticipated transportation funding over the 20+ year life of the RTP and limiting estimated expenditures for projects to this amount.

Additional revenue sources, e.g., bonds or sales tax measures, may be included in the long-term funding estimate if there is an affirmative action on the part of the jurisdictions which commits them to pursue these sources.

Although TEA-21 maintains financial constraint, it allows inclusion of “illustrative projects”, i.e., projects that would be in the RTP if additional revenues were available, but there is no requirement to identify such revenues. Illustrative projects do not have the same status as projects, which are financially constrained. They are not included for air quality conformity purposes and they cannot be programmed directly into the transportation TIP.

### 6.04 Air Quality Conformity

The U.S. Environmental Protection Agency has established national ambient air quality standards (NAAQS). The NAAQS relate to various pollutants, e.g., ozone, carbon monoxide, nitrous oxides, particulate matter 2.5 and 10 microns or smaller, etc. For some pollutants, such as ozone and carbon monoxide, the severity of non-attainment is graduated, as are the required remedial actions. Areas whose ambient air quality does not meet the NAAQS are termed non-attainment.

States with non-attainment areas must prepare plans called state implementation plans (SIPs) that outline actions to meet the NAAQS. In air quality non-attainment areas, RTPs must conform to the SIP. Like financial constraint, air quality conformity is a requirement from

ISTEA carried forward in TEA-21. It is a process to ensure federal funding and approvals are only given to those transportation activities, which are consistent with air quality goals.

Conformity is essentially modeling anticipated transportation system emissions based on traffic model results in order to determine if the proposed transportation system is consistent with progress in the SIP. Conformity is demonstrated by meeting emissions levels (budgets) where they apply, by meeting other emissions tests, and by implementing transportation control measures as required by the SIP.

In serious and worse ozone non-attainment areas, land use and growth assumptions shall be documented and compared with historical trends. There must be consistency between transportation alternatives and land use projections for different options.

Generally, conformity analyses are done by the MPO. If an RTPA region is non-attainment, the RTPA may enter into an agreement with an adjacent MPO or may enter into an arrangement with Department to perform air quality conformity analysis of the RTP.

## 6.05 The RTP Should Be Consistent with Other Plans in the Region

The RTP should be consistent with other plans and programs of regional significance. For example, there should be discussion how projects developed in the RTP:

- Support local land use and population projections
- Are sensitive to identified environmental concerns,
- Address economic development and social equity issues identified in the city and county general plans for the region.

Some examples of plans/programs with which the RTP should be consistent are:

- Housing and circulation elements of local general plans
- Congestion management programs
- Long range transit plans
- Significant redevelopment plans
- Specific plans for development of large areas of the community
- Development agreements for large projects
- Local and regional airport plans (Airport Master Plans, Airport Land Use Plans, Comprehensive Land Use Plans, Regional Aviation System Plans)

## 6.06 Department Plans which Impact RTPs

Plans prepared by the Department staff in the Districts and in Headquarters and work done by MPOs/RTPAs complement one another. Among the Department plans to consider are:

**California Transportation Plan (CTP):** The CTP is developed by the Department and submitted to the Governor. It includes a policy element describing state transportation policies and system performance objectives, a strategies element incorporating broad system concepts and strategies partially synthesized from RTPs, and a recommendations element

that includes economic and population forecasts and proposes recommendations to the Legislature and Governor. RTPs should implement the vision and goals in the CTP. There is no statutory update schedule for the CTP. It is revised or rewritten as needed.

**California Aviation System Plan (CASP):** Prepared by the Department every five years as required by Public Utilities Code 21701, the CASP integrates regional aviation system planning on a statewide basis. The aviation component of the RTP should be consistent with the CASP. If there is a commercial airport in the region, ground access shall be addressed.

**Interregional Transportation Strategic Plan (ITSP):** The ITSP describes the framework in which the state will carry out its Interregional Improvement Program (IIP) responsibilities and how it will program the Interregional Transportation Improvement Program (ITIP). There is a direct relationship between the ITSP and the ITIP, the RTP and the Regional Transportation Improvement Program (RTIP); and between the ITIP/RTIPs and the State Transportation Improvement Program (STIP.) There is also a direct relationship between all these and federal transportation improvement programs, the MPOs' Federal Transportation Improvement (FTIP, called a Metropolitan Improvement Program [MTIP] by some MPOs) and the state's Federal State Transportation Improvement Program (FSTIP).

**District System Management Plan (DSMP):** Prepared by each District, the DSMP identifies Department priorities for transportation system improvements.

**State Highway Operations and Protection Plan (SHOPP):** The SHOPP is a 10-year state highway safety, rehabilitation, and traffic operations plan prepared by the Department to address statewide needs. (The acronym SHOPP is also used for the funding source and the 4-year program of projects.)

## 6.07 Key Review Points

Development and adoption of the RTP is a lengthy activity for MPOs/RTPAs. It entails data preparation and interpretation, public participation and involvement, consensus building, formal consultation with federally-recognized Native American Tribal Governments in the region, and many other steps, procedures and products. District Regional Planning staff should bear this in mind as they review and route draft RTPs. Comment letter should be provided in a timely manner and should be comprehensive, i.e., they should include all the Department's comments.

The *RTP Guidelines* include a comprehensive RTP checklist which MPO/RTPA should complete and District staff should carefully review to assure the RTP:

- Contains both short term (10-year) and long-term (20+ year) horizons.
- Includes the three required elements, action, policy and financial.
- Sets forth transportation system outcome performance objectives and measures.
- Evidences compliance with CEQA. (See Section 6.09)
- Considers strategies to meet the seven broad planning factors in TEA-21.
- Complies with Title VI, environmental justice, and ADA.



- Assesses current modes of transportation and the potential for new travel options.
- Predicts future needs for travel and goods movement.
- Includes actions to address mobility and accessibility needs.
- References and documents public policy decisions by local, regional, state, and federal officials regarding transportation expenditures and financing.
- Identifies needed transportation improvements in sufficient detail to:
  - Develop the Federal Transportation Improvement Program (FTIP), the Regional Transportation Improvement Program (RTIP) and the Interregional Transportation Improvement Program (ITIP).
  - Facilitate National Environmental Protection Act (NEPA)/404 integration decisions.
  - Identify project purpose and need.
  - Develop an estimate of emissions impacts for demonstrating conformity with the air quality targets identified in the SIP (non-attainment areas only).
  - Promote consistency among the California Transportation Plan, the RTP and other transportation plans developed by cities, counties, districts, private organizations, Tribal governments, and state and federal agencies in responding to statewide and interregional transportation issues and needs.
- Provides a forum for (1) participation and cooperation and (2) partnerships that reconcile transportation issues, which transcend regional boundaries.
- Involves the public, federal, State and local agencies, as well as local elected officials, early in the transportation planning process, and includes them in discussions and decisions on the social, economic, air quality and environmental issues related to transportation.

The RTP must be adopted at least every three years; every four years if the region does not include an urbanized area. Air quality non-attainment areas are required to update RTPs consistent with federal time frames. It must be inclusive and equitable, e.g., modes, access for users, public participation, government-to-government interaction with Native American Tribal governments (i.e., formal consultation).

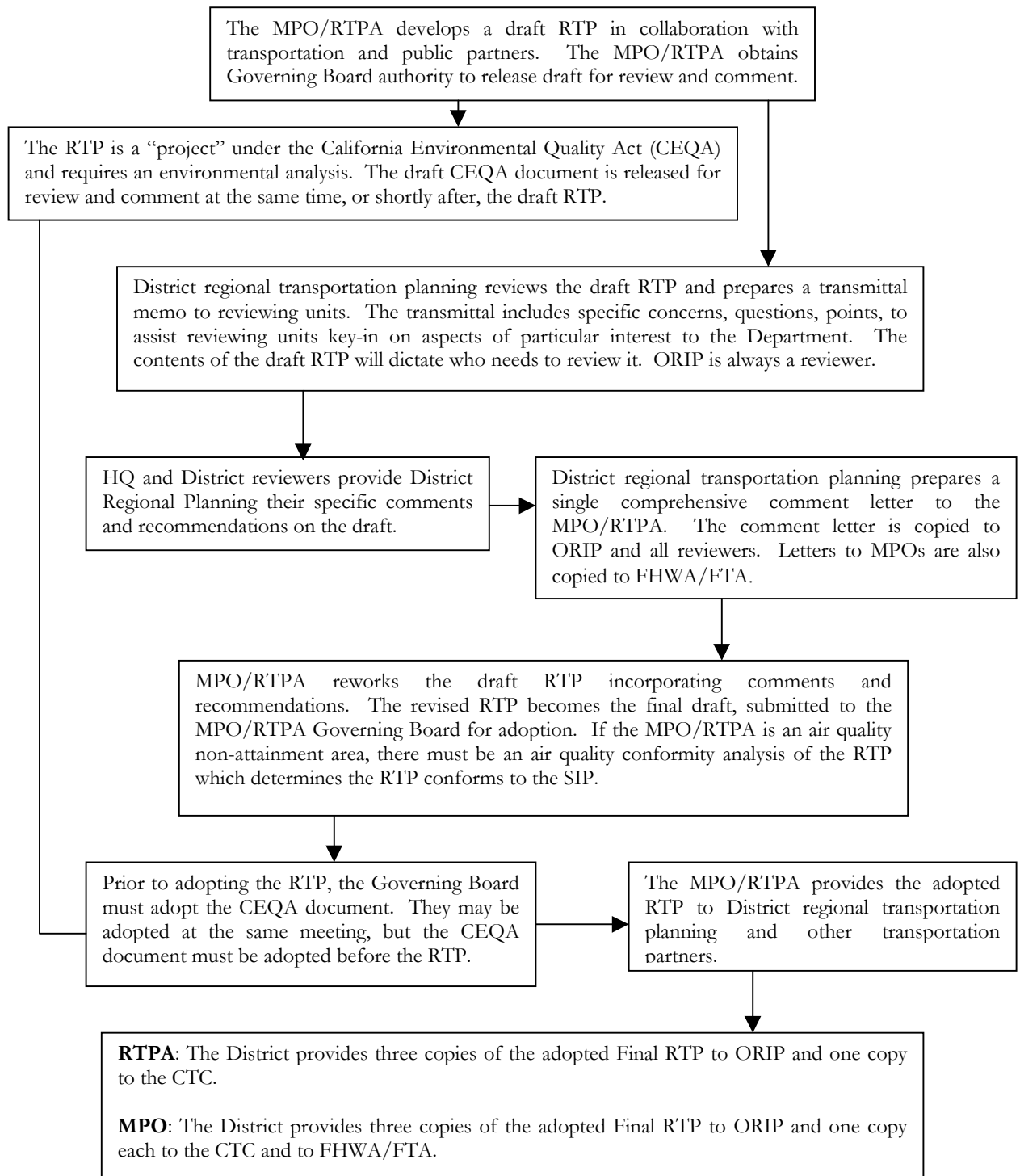
## 6.08 RTP Development and District Circulation of the Draft RTP

District regional transportation planning staff is the communication link between the MPO/RTPA and the Department and, as appropriate, other units in the District and Headquarters. Input is provided as the RTP is drafted and when the District circulates the draft RTP among affected District and Headquarters units for review and comment. (See RTP Development and Review Chart on page 6-7.)

Generally, the same units and entities to whom District staff circulates the OWP should be consulted about the draft RTP (See Sections 2.9 and 2.10 for a sample listing).

The District prepares the Department's comments on the draft RTP. Unlike the OWP, the District/Department does not approve/disapprove the RTP.

## RTP DEVELOPMENT AND REVIEW



## 6.09 The RTP is a Project under CEQA

Under the California Environmental Quality Act (CEQA), an environmental evaluation needs to be done of the draft RTP. Completion of the CEQA Initial Study will determine whether an environmental impact report, a negative declaration, a supplemental document or another environmental document, etc., is appropriate.

Although the District is a member of the RTP development team, the District also needs to carefully review and, as appropriate, comment on the environmental document. District size and organizational structure will determine whether this review is completed by the District's regional transportation planning staff, by District IGR/CEQA staff, or perhaps even staff in Environmental. The responsibility to assure District review of the environmental document rests with the Regional Transportation Planning Branch.

It is strongly advised that the regional transportation planner who is familiar with the draft RTP always also become familiar with the environmental document.

Although an environmental review under the National Environmental Policy Act (NEPA) is not required, MPOs/RTPAs may elect to advance the preliminary identification of key issues and environmental constraints as well as some level of cumulative impact analysis to the RTP planning stage. This is the most meaningful time to address regional cumulative impacts. Early identification of environmental issues and constraints allows for plan modifications and provides better impact avoidance opportunity. This may mean beginning the NEPA process at the RTP stage rather than at the project stage.

## 6.10 The Final RTP

Department, FHWA/FTA, transit agencies and providers, interest groups and all other partners, users and stakeholders participate in drafting and revising the RTP, but only the MPO/RTPA Governing Board approves and adopts it.

For air quality non-attainment areas, only projects in a conforming RTP and a conforming transportation improvement program (TIP) are eligible for federal transportation funding.

The air quality conformity analyses are provided to FHWA/FTA who must approve the air quality conformity of the RTP before it is deemed a conforming RTP.

The District obtains final RTP copies, including the Governing Board's approval resolution, and provides copies to the California Transportation Commission (CTC). MPO RTPs are forwarded to FHWA/FTA, either by the MPO or by the District, as per MPO/District practice. It is District responsibility to assure the CTC, and FHWA/FTA are provided copies.

## 6.11 The District Provides ORIP all RTPs and RTP Environmental Documents

As with OWPs, the District forwards copies of all draft and final RTPs and related documentation, including the environmental documents and Governing Board resolutions approving the RTP and the environmental document, to ORIP.

If air quality conformity applies, ORIP is provided a copy of the transmittal letter to FHWA/FTA wherein air quality conformity protocol and conclusions are detailed. ORIP is also provided FHWA's/FTA's air quality conformity federal comment and approval/disapproval letters.

Like the OWP, ORIP also requests an electronic version of the Final adopted RTP.

ORIP staff monitors RTPs to assess whether they are updated timely, to track statewide transportation trends and concerns and air quality conformity issues, and periodically, at the request of the CTC, to report on RTP progress, trends, and compliance with current *RTP Guidelines*. ORIP also uses this information to comment on proposed legislation, which would impact RTPs.

## 7

# FULL PARTICIPATION REGIONAL TRANSPORTATION PLANNING

As stated in Section 1.02, regional transportation planning is a 3Cs approach: continuing, cooperative and comprehensive. It involves the entire community: individuals, federal, state, regional and local agencies, and public, private and community based organizations all working together to identify how future regional transportation needs will be met.

Comprehensive regional transportation planning can be understood from several perspectives, among which are mode, participation and setting. All modes shall be considered. Decisions shall be made with the full participation of the entire community. Consistent with a collaboratively crafted vision, the region will work together to determine how best to provide a full range of transportation options for all system users.

As stated in the seven planning factors in TEA-21, the goal is to:

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

## 7.01 A Public Participation Plan/Public Involvement Program

Each MPO/RTPA shall have a structure for public participation and involvement which is the foundation for transportation planning decisions:

- Which consider the transportation system as a whole and involve the entire community, and
- Which consider the interplay and impact of transportation on other regional factors such as the economy, the environment and quality of life.

This structure should be periodically reviewed, its effectiveness evaluated, and changes made to better ensure full public participation and involvement. Like transportation planning efforts, review, update and evaluation of the public participation structure should fully involve all stakeholders.

Changes to the transportation system can have profound impacts on a region. Full, open and active involvement of all users and stakeholders is essential for successful regional transportation planning.

A partial listing of who should be involved includes:

- Community members and groups, and community based organizations
- Individuals and groups with special interests and advocacy positions, e.g., ethnic, economic, environmental, modal, age, access, neighborhood
- Public and private transit operators, including paratransit
- Private sector carpools/rideshare coordinators/transportation management agencies
- Emergency responders
- Regional airport and seaport operators, managers and authorities
- Trucking and freight rail operators and advisory councils
- Local, regional, intercity, commuter, and high speed rail planners and providers
- Local and regional planning agencies, e.g., city/county government, congestion management agencies, affected individuals and agencies in adjacent regions
- Native American Tribal Governments (formal consultation)
- State transportation agencies, e.g., California Highway Patrol, Department (Districts, affected HQ functions such as Mass Transportation, Aeronautics, New Tech, Local Assistance, Traffic Operations)
- Federal agencies, e.g., FWHA/FTA, EPA, Bureau of Indian Affairs, resource agencies such as US Forest Service, National Park Service, National Marine and Fishery Service, Fish and Wildlife Service, and the US Army Corps of Engineers
- State resources entities, e.g., California Air Resources Board, California Resources Agency, Coastal Commission, California Energy Commission, California Environmental Protection Agency, State Water Board, Regional Water Quality Control Board, State Department of Fish and Game, Regional Waste Board
- Intelligent Transportation System interests such as the California Alliance for Advanced Transportation Systems.

The *RTP Guidelines* specify the following relative to public involvement during the development of the RTP:

- The regional agency seeks out and considers the needs of those traditionally under-served by existing transportation systems, including but not limited to low-income and minority households,

- In non-attainment areas, the RTP is based on consultation with air and environmental agencies and the public, and reflects coordination with local and regional air quality planning authorities,
- Includes citizen involvement in the early stages of plan development, and
- Where there are Native American Tribal Governments within RTP boundaries, the tribal concerns have been addressed and the RTP was developed in cooperation with the Tribal Governments formal consultation and the Secretary of the Interior.

## 7.02 Native American Tribal Governments and Communities

Native American Tribal Governments' and communities' participation in transportation planning is **essential**. Both ISTEA and TEA-21 recognize a unique status for Native American Tribal Governments and include provisions to ensure federal tribal trust obligations are met. The Department has committed to foster the development of formal government-to-government relations between the Tribes and MPOs/RTPAs.

The Department's Director signed Director's Policy Number 19, entitled *Working with Native American Communities*, on August 29, 2001. In addition to a policy statement, the document includes intended results, responsibilities and applicability.

*The Appendix includes Director's Policy Number 19.*

ORIP's Native American Liaison Branch has developed a Transportation Guide for Native Americans. The guide is a tool to assist transportation entities within California, both Native American and non-Native American, understand requirements and procedures for planning and funding transportation projects. The Handbook is posted on ORIP's Native American web-site

<http://www.dot.ca.gov/hq/tpp/offices/ORIP/NatAmer/NatAmer.htm>.

In California there are more than one hundred federally-recognized Native American Tribal Governments and there are numerous state or federal highways within the borders of their rancherias or reservations. There are also many transportation improvements and proposals which impact Tribal governments, whether or not they are actually located on rancherias or reservations. For this and other reasons, MPOs/RTPAs should work with Tribal governments in their planning areas, government-to-government.

There are also many non-federally recognized Tribal governments, and MPOs/RTPAs should establish similar relationships with these Tribal governments, even though they do not presently have federally-recognized status.

The particulars of the relationship between the MPO/RTPA and the Tribal government will be determined through dialogue and negotiations of the involved parties. Some Tribal governments may elect to join, fully or in part, the transportation planning activities of the MPO/RTPA. In such instances, the parties may decide it is appropriate to include the Tribal government's representative as a voting member on the MPO's/RTPA's Governing Board.

After dialogue between the MPO/RTPA, some Tribal governments may elect to establish transportation planning independent from the MPO/RTPA. This is up to the parties to determine through government-to-government negotiations (formal consultation).

Many Native Americans who do not reside on Tribal lands, live in our rural and urban communities. These individuals should be among all the other community members included in the MPO's/RTPA's full public participation transportation planning efforts and decisions.



*California Department of  
Transportation*

**APPENDICES**

*Caltrans*

## SAMPLE WORK ELEMENT

### ELEMENT 02-004: AIR QUALITY PLANNING ANALYSIS & COORDINATION

**OBJECTIVE:** To implement the requirements of the federal Clean Air Act Amendments (CAAA) of 1990 to ensure that projects are delivered that do not impede the region's air quality goals including preparation of conformity determinations on the Metropolitan Transportation Plan and the Metropolitan Transportation Improvement Program. To promote clean-fuel projects consistent with the State Implementation Plan (SIP) for the Sacramento area. To coordinate and support efforts to develop mobile source control measures that will ensure positive future conformity determinations.

**DISCUSSION:** To maintain eligibility for federal funding, SACOG, as the Metropolitan Planning Organization (MPO) for this area, must prepare a positive air quality conformity determination prior to approving the transportation plan or program. The State Implementation Plan for Air Quality calls for a program to reduce NOx emissions from on-road and off-road heavy-duty vehicles by five tons per day by 2005. SACOG will work with its partner agencies to specify how these reductions will be achieved. This element is coordinated with and enhanced by activities under Interagency Relations and Program Management; Public Information, Outreach and Education; and Project Delivery and Programming.

#### PROJECTS:

1. **AIR QUALITY CONFORMITY (Federal Requirement)** *Project # 02-004-01*

The main emphasis during FY 2001/02 will be to prepare conformity determinations for the Metropolitan Transportation Plan (MTP) for 2025 and any amendments to the FY 2001/02 Metropolitan Transportation Improvement Program (MTIP) for the Yuba/Sutter and Sacramento federal nonattainment areas. SACOG will also prepare any additional conformity determinations on an as-needed basis. As part of the air-quality consultation process, SACOG will continue to hold monthly meetings of the Regional Planning Partnership to review procedures, assumptions, timelines, and completed conformity determinations. In addition, SACOG will work with the local air districts and the Environmental Protection Agency (EPA) to adopt the consultation section of the draft inter-agency conformity model rule and to finalize other sections of the draft model rule as guidance becomes available from EPA.

#### *End Products:*

- a. Conformity Determination on Draft 2025 Metropolitan Transportation Plan (March 2002)
- b. Conformity determinations on any amendments to the 1999 MTP and FY 2000/01 MTIP (as needed)
- c. Adoption of inter-agency consultation section of the draft State Implementation Plan conformity rule (June 2002)

2. **DEVELOPMENT OF 2003 STATE IMPLEMENTATION PLAN** *Project # 02-004-02*  
(Supports State and Federal Requirements)

The California Air Resources Board (CARB) is beginning the process to develop strategies for inclusion in the 2003 State Implementation Plan for the Sacramento ozone nonattainment area. Under this element, SACOG will work with CARB to develop

strategies to reduce emissions that contribute to ozone and inhalable particles.

*End Products:*

- a. Provide transportation model output from the SACMET model to the California Air Resources Board for input into the development of the 2003 SIP (as needed)
- b. Provide other data to CARB for the development of the 2003 SIP, as requested (Ongoing)
- c. List of potential measures for inclusion in the 2003 SIP (June 2002)

**SACOG RESOURCES: .73 FTE's**

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<u>INCOME</u>	<u>PROPOSED</u>	<u>EXPENDITURES</u>	<u>PROPOSED</u>
FHWA (PL)	\$ 76,500	SACOG	\$ 117,000
FTA 5303	5,500		
EDCTC	2,000		
PCTPA	7,000		
TDA Planning	26,000		
<b>TOTAL</b>	<b>\$117,000</b>	<b>TOTAL</b>	<b>\$117,000</b>

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FY 2001/2002 OVERALL WORK PROGRAM DIRECT SERVICES EXPENDITURE SUMMARY

ACCOUNT NUMBER	ELEMENT	Code	132	01	03	05	06	08	09	Other
		TOTAL BUDGET	Salaries/ Benefits	Indirect Services	Meetings	Printing	Consultant	Legal Services	Pass Thru Funding Agreements	
02-001	Interagency Relations and Program Management	\$122,000	\$77,244	\$43,256	\$1,000	\$500	\$0	\$0	\$0	\$0
01	Interagency Relations & Program Management	122,000	77,244	43,256	1,000	500	0	0	0	0
02-002	Project Delivery and Programming	\$1,020,565	\$529,208	\$296,357	\$9,000	\$11,000	\$170,000	\$5,000	\$0	\$0
02	State Programming	112,500	68,910	38,590	4,000	1,000	0	0	0	0
03	Federal Programming	120,000	73,077	40,923	1,000	5,000	0	0	0	0
04	Project Delivery	190,500	106,731	59,769	3,000	1,000	20,000	0	0	0
04	TDA Administration	597,565	290,490	157,075	1,000	4,000	150,000	5,000	0	0
02-003	Multimodal Transp Ping & Coord	1,028,980	377,558	211,432	15,000	25,000	400,000	0	0	0
01	Metropolitan Transportation Plan - 2025	385,490	179,801	100,689	10,000	20,000	75,000	0	0	0
02	Pedestrian and Bicycle	40,000	24,678	13,821	500	1,000	0	0	0	0
03	Cal Traction Preservation & Purchase Plan Study	220,000	31,090	500	500	1,000	170,000	0	0	0
04	Intelligent Transportation Systems	108,000	61,859	34,641	2,500	2,000	5,000	0	0	0
05	Update of Early Deployment Plan *	150,000	0	0	0	0	150,000	0	0	0
06	Passenger Rail Improvements	1,500	321	179	500	500	0	0	0	0
07	Planning Coordination	86,000	54,808	30,692	500	0	0	0	0	0
08	Corridor Studies	40,000	25,000	14,000	500	500	0	0	0	0
02-004	AQ Ping, Analysis/ Coordination	117,000	71,154	39,846	2,000	4,000	0	0	0	0
01	Air Quality Conformity	83,000	51,282	28,718	1,000	2,000	0	0	0	0
02	Development of 2003 SIP	34,000	19,872	11,128	1,000	2,000	0	0	0	0
02-005	Transit Planning & Coordination	285,256	105,035	58,821	600	800	50,000	0	50,000	0
01	SRTD Transit Planning	74,000	16,256	8,544	0	200	0	0	50,000	0
02	Paratransit, Inc. Monitoring & Evaluation	69,600	44,359	24,841	200	200	0	0	0	0
03	Transit Coordination	68,000	43,333	24,267	200	200	0	0	0	0
04	Yuba-Sutter Short Range Transit Plan *	53,056	2,087	1,169	200	200	50,000	0	0	0
02-006	Regional Monitoring and Forecasting	933,514	472,125	284,389	11,000	6,000	180,000	0	0	0
01	Regional Monitoring	343,500	210,577	117,923	4,000	1,000	10,000	0	0	0
02	Regional Forecasting	87,000	54,808	30,692	1,000	500	0	0	0	0
03	Travel Model Development - Phase 1	402,500	150,054	89,040	3,000	2,000	150,000	0	0	0
04	Travel Model Development - Phase 2 *	0	0	0	0	0	0	0	0	0
05	Census Data Distribution	100,514	48,080	26,928	3,000	2,500	20,000	0	0	0
02-007	Geographic Information Systems	713,855	364,660	204,210	6,200	3,500	135,285	0	0	0
01	GIS Applications	374,058	203,863	114,175	5,000	1,000	50,000	0	0	0
02	Parcel-Level Base Map Development/Update	122,000	76,282	42,718	1,000	2,000	0	0	0	0
03	Sacramento GIS Cooperative	40,000	25,641	14,359	0	0	To Be Determined	0	0	0
04	Yolo GIS Cooperative	77,285	4,487	2,513	0	0	70,285	0	0	0
05	Aerial Photography	100,512	54,367	30,445	200	500	15,000	0	0	0
02-008	Public Info/Outreach & Advocacy	915,287	445,377	249,410	6,500	54,000	160,000	0	0	0
01	Regional Information Center	173,625	110,016	61,609	1,000	1,000	0	0	0	0
02	Education, Outreach & Marketing	266,678	138,973	76,705	3,000	50,000	0	0	0	0
03	Graphic Design and Layout	85,000	52,885	29,615	500	2,000	0	0	0	0
04/05	Legislation and Public Affairs	389,984	145,593	81,461	2,000	1,000	160,000	0	0	0
02-009	Services	587,756	213,339	119,471	6,473	5,473	0	0	0	223,000
01	Capitol Valley SAFE	211,687	131,244	73,497	3,473	3,473	0	0	0	0
02	Glenn County SAFE	3,000	1,923	1,077	0	0	0	0	0	0
03	Rideshare	353,069	60,172	44,897	3,000	2,000	0	0	0	223,000
02-009	Special Projects & Local Tech Assist	1,771,413	255,385	143,015	8,200	5,400	1,284,413	0	75,000	0
01	Airport Land Use Commission (ALUC)	82,000	52,308	29,282	200	0	0	0	0	0
02	Sacramento TAQ Cooperative	75,000	0	0	0	0	0	0	75,000	0
03/04	Sacto. Emergency Clean Air and Transp. Program	522,413	39,744	22,256	1,000	2,000	457,413	0	0	0
05	Regional AQ Ping/Coord Study for Transit Ops	500,000	76,923	43,077	3,000	2,000	375,000	0	0	0
06	Public Opinion Poll on MTP for 2025	30,000	6,410	3,590	0	0	20,000	0	0	0
07	Comprehensive Land Use/Transit Study *	215,000	80,000	44,000	4,000	1,200	85,000	0	0	0
08	U.S. 50 Outreach Project	347,000	0	0	0	0	347,000	0	0	0
	<b>TOTAL</b>	<b>\$7,455,636</b>	<b>\$2,911,085</b>	<b>\$1,630,207</b>	<b>\$65,973</b>	<b>\$115,673</b>	<b>\$2,379,698</b>	<b>\$5,000</b>	<b>\$125,000</b>	<b>\$223,000</b>

**OVERALL WORK PROGRAM AGREEMENT**

1. The undersigned signatory MPO hereby commits to complete, this fiscal year FY (beginning July 1, 2001 and ending June 30, 2002), the annual Overall Work Program (OWP), a copy of which was approved on   date   and is attached as part of this OWP Agreement.
2. All of the obligations, duties, terms and conditions set forth in the Master Fund Transfer Agreement (MFTA), numbered   number   and executed with an effective date of   date   between   agency name   (MPO) and the Department of Transportation (STATE), are incorporated herein by this reference as part of this OWP Agreement for this FY.
3. The federal letters of approval from the Federal Transit Administration (FTA), dated   date  , and from the Federal Highway Administration (FHWA), dated   date  , and attachments, if applicable, which approved the attached OWP, are by this reference made an express part of this OWP Agreement.
4. MPO agrees to comply with FTA and FHWA matching requirements for "Consolidated Planning Grant" funds obligated and encumbered against this OWP Agreement. This OWP Agreement obligates and encumbers only these following federal funds: FHWA – Metropolitan Planning (PL), federal/local – 88.53/11.47; FHWA State Research and Planning (SP&R) – Partnership Planning, federal/local – 80/20; FTA Section 5303, federal/local – 88.53/11.47 and FTA Section 5313(b), federal/local – 88.53/11.47 as are specifically identified in Section 5 below. All local match funds are to be provided from non-federal sources.
5. Subject to the availability of funds this FY OWP funds encumbered by STATE include, but may not exceed, the following:

<u>Funding Source</u>	<u>Funding</u>	<u>Mandatory Local Match</u>
FHWA PL	\$ _____	\$ _____
FTA Sect. 5303	\$ _____	\$ _____
FTA Sect. 5313 (b)	\$ _____	\$ _____
FHWA SP&R Partnership Planning	\$ _____	\$ _____

6. Should MPO expend funds in excess of those encumbered against this FY OWP Agreement, those costs shall be borne solely by MPO.

Department of Transportation (STATE)	Name of Agency (MPO)
Authorized Signature	Authorized Signature
Printed Name of Person Signing	Printed Name of Person Signing
Title	Title

**(For Use by Caltrans Accounting Only)**

The total amount of all federal funds encumbered by this document is \$ \_\_\_\_\_

Fund Title: \_\_\_\_\_

**(For Use by Caltrans Accounting Only)**

The total amount of all State funds encumbered by this document is \$ \_\_\_\_\_

Fund Title: \_\_\_\_\_

<u>Item</u>	<u>Chapter Statute Fiscal Year</u>	<u>Item</u>	<u>Chapter Statute Fiscal Year</u>
E.A. /Subjob	Encumbrance Document Number	E.A. /Subjob	Encumbrance Document Number
	(For Accounting Use Only)		(For Accounting Use Only)

I hereby certify upon my own personal knowledge that budgeted funds are available for the period and expenditure purpose stated above.

\_\_\_\_\_  
Signature of Department of Transportation Accounting Officer

\_\_\_\_\_  
Date

**OVERALL WORK PROGRAM AGREEMENT**

1. The undersigned signatory RTPA hereby commits to complete, this fiscal year FY (beginning July 1, 2001 and ending June 30, 2002), the annual Overall Work Program (OWP), a copy of which was approved on   date   and is attached as part of this OWP Agreement.
2. All of the obligations, duties, terms and conditions set forth in the Master Fund Transfer Agreement (MFTA), numbered   number   and executed with an effective date of   date   between   agency name   (RTPA) and the Department of Transportation (STATE), are incorporated herein by this reference as part of this OWP Agreement for this FY.
3. This OWP Agreement obligates and encumbers only these following funding sources: State Highway Account – Rural Planning Assistance (RPA) funds, Federal Highway Administration (FHWA) State Research and Planning (SP&R) – Partnership Planning Element (FHWA – SP&R Part. Planning) and Federal Transit Administration Section 5313(b) (FTA Sect. 5313(b) as are specifically identified in Section 4 below. RTPA agrees to comply with FHWA and FTA matching requirements for “Consolidated Planning Grant” funds obligated and encumbered against this OWP Agreement: FHWA – SP&R Part. Planning, federal/local – 80/20; and/or FTA Sect. 5313(b), federal/local – 88.53/11.47. All local match funds are to be provided from non-federal sources. RPA and FHWA – SP&R Part. Planning funds are available only for this FY.

4. Subject to the availability of funds, this FY OWP funds encumbered by STATE include, but may not exceed, the following:

<u>Funding Source</u>	<u>Funding</u>	<u>Mandatory Local Match, if applicable</u>
RPA – State Highway Account	\$ _____	\$ _____
FHWA –SP & R Part. Planning	\$ _____	\$ _____
FTA Sect. 5313 (b)	\$ _____	\$ _____

5. Should RTPA expend funds in excess of those encumbered by STATE against this OWP Agreement, those costs shall be borne solely by RTPA.

Department of Transportation (STATE)	Name of Agency (RTPA)
Authorized Signature	Authorized Signature
Printed Name of Person Signing	Printed Name of Person Signing
Title	Title

<b>(For Use by Caltrans Accounting Only)</b>	<b>(For Use by Caltrans Accounting Only)</b>
The total amount of all federal funds encumbered by this document is \$: _____	The total amount of all State funds encumbered by this document is \$: _____
Fund Title: _____	Fund Title: _____

<u>Item</u>	<u>Chapter Statute Fiscal Year</u>	<u>Item</u>	<u>Chapter Statute Fiscal Year</u>
E.A. /Subjob	Encumbrance Document Number	E.A. /Subjob	Encumbrance Document Number
	(For Accounting Use Only)		(For Accounting Use Only)

I hereby certify upon my own personal knowledge that budgeted funds are available for the period and expenditure purpose stated above.

\_\_\_\_\_  
Signature of Department of Transportation Accounting Officer

\_\_\_\_\_  
Date







**MPO LOCATED SOMEWHERE IN CALIFORNIA**

**Anywhere, CA 95000**

CONSOLIDATED PLANNING GRANT (CPG)

Federal Highway Administration (FHWA) and Federal Transit Administration (FTA)

REQUEST FOR REIMBURSEMENT

INVOICE NUMBER     1    , Fiscal Year 2001-2002

The **MPO LOCATED SOMEWHERE IN CALIFORNIA**, a Metropolitan Planning Organization requests reimbursement in the amount of \$21,372.64 for the period beginning 7/01/01 through and inclusive of 7/31/01. I certify that I am a duly authorized representative of **MPO LOCATED SOMEWHERE IN CALIFORNIA** and the request for reimbursement is consistent with the terms of the Master Fund Transfer Agreement, dated **DAY MFTA SIGNED**, entered into between **MPO LOCATED SOMEWHERE IN CALIFORNIA** and the State of California, Department of Transportation. The reimbursement request is for work completed in accordance with the **2001- 02** approved Overall Work Program. I certify that all State and federal matching requirements have been met.

2001-02 OWPA Authorized	\$ 1,000,000.00
Total Invoices Year-to-Date	\$ 21,372.64
*Current Invoice	\$ 21,372.64
Balance	\$ 978,627.36

**\*Current invoice Breakdown. This portion must be completed by local agency to receive reimbursement.**

			Local Funds	and/or	In-Kind Service
FHWA PL Funds	\$ 17,800.84	Local Match (11.47%) for PL	\$ 2,306.29		
FTA Sec. 5303 Funds	\$ 3,571.80	Local Match (11.47%) for Sec. 5303	\$ 462.76		
FTA Sec. 5313(b) Funds		Local Match (11.47%) for Sec. 5313(b)	\$ -		
FHWA SPR Funds		Local Match (20%) for SPR	\$ -		

Partnership Planning ONLY

Name & Title (please print) \_\_\_\_\_ Signature \_\_\_\_\_ Date \_\_\_\_\_

**Department of Transportation Use Only**

I certify that I am duly authorized by the Department of Transportation to approve a payment to **MPO LOCATED SOMEWHERE IN CALIFORNIA** in the amount of \$ \_\_\_\_\_. **MPO LOCATED SOMEWHERE IN CALIFORNIA** has an approved Overall Work Program and the request for reimbursement is consistent with the Master Fund Transfer Agreement between the State of California, Department of Transportation and **MPO LOCATED SOMEWHERE IN CALIFORNIA**. This authorization to pay acknowledges receipt of services in full.

Vendor# \_\_\_\_\_ Accounting Use Only \_\_\_\_\_  
 Name (please print) \_\_\_\_\_ Signature \_\_\_\_\_ Date \_\_\_\_\_

TC ___ Source Dist 74	Source Unit 162	Chg. Dist EA	Subjob	FA 6	ObjCode 049
<b>Amount \$</b>		RPI ___ N	<b>Encumbrance Document #</b>		
TC ___ Source Dist 74	Source Unit 162	Chg. Dist EA	Subjob	FA 6	ObjCode 049
<b>Amount \$</b>		RPI ___ N	<b>Encumbrance Document #</b>		
TC ___ Source Dist 74	Source Unit 162	Chg. Dist EA	Subjob	FA 6	ObjCode 049
<b>Amount \$</b>	FY	RPI ___ N	<b>Encumbrance Document #</b>		
TC ___ Source Dist 74	Source Unit 162	Chg. Dist EA	Subjob	FA 6	ObjCode 049
<b>Amount \$</b>	FY	RPI ___ N	<b>Encumbrance Document #</b>		
TC ___ Source Dist 74	Source Unit 162	Chg. Dist EA	Subjob	FA 6	ObjCode 049
<b>Amount \$</b>	FY	RPI ___ N	<b>Encumbrance Document #</b>		
TC ___ Source Dist 74	Source Unit 162	Chg. Dist EA	Subjob	FA 6	ObjCode 049
<b>Amount \$</b>	FY	RPI ___ N	<b>Encumbrance Document #</b>		
TC ___ Source Dist 74	Source Unit 162	Chg. Dist EA	Subjob	FA 6	ObjCode 049
<b>Amount \$</b>	FY	RPI ___ N	<b>Encumbrance Document #</b>		

Date Dist received Invoice \_\_\_\_\_ Invoice Dispute Notification Sent \_\_\_\_\_ Date Invoice Sent to HQ Accounting \_\_\_\_\_



**RTPA  
Address  
City, State**  
**RURAL PLANNING ASSISTANCE (State Highway Account Only)**  
**REQUEST FOR REIMBURSEMENT Fiscal Year 2001/02**

<b>Agency Invoice No.</b> _____ <b>Progress Payment No.</b> _ <b>No.</b> _____ <b>EA 984150 Subjob</b> _____ <b>Internal Revenue Service No.</b> _____
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The fill in agency name, a Regional Transportation Planning Agency, requests reimbursement in the amount of \_\_\_\_\_. For the period beginning date and through and inclusive of date.

I certify that I am a duly authorized representative of fill in agency name and the request for reimbursement is consistent with the terms of the Master Fund Transfer Agreement dated fill in date entered into between fill in agency name and the STATE. The reimbursement request is for work completed in accordance with the 2001-02 approved Overall Work Program. I certify that all STATE matching requirements have been met.

2001/02 RPA OWPA Authorized \$	\$ _____
Invoices Year to Date	\$ _____
<b>Current Invoice</b>	<b>\$</b> _____
Balance	<b>\$</b> _____

Name (Please print)	Signature	Date
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**(Department of Transportation Use Only)**

I certify that I am duly authorized by the Department of Transportation to approve payment to fill in agency name in the amount of \_\_\_\_\_. fill in agency name has an approved Overall Work Program and the request for reimbursement is consistent with the Master Fund Transfer Agreement between the STATE and fill in agency name. This authorization to pay acknowledges receipt of services billed.

Name (Please print)	Signature	Date
Phone Number _____		

MPO LOCATED SOMEWHERE IN CALIFORNIA

WORK ELEMENT NUMBER	TOTAL BUDGETED		FY 01/02 BILLING PERIOD TOTAL 7/01/01-7/31/01				
	(ALL FUNDING SOURCES)	TOTAL PL BUDGETED	EXPENDITURES (ALL FUNDING SOURCES)	FEDERAL PL (88.53%)	LOCAL MATCH (11.47)	TOTAL (100%)	FEDERAL YEAR TO DATE
101	79,385.00	57,000.00	4,506.27	3,235.59	419.20		3,235.59
111	12,166.00	9,000.00	0.00	0.00	0.00	0.00	0.00
112	128,000.00	79,000.00	16,242.49	10,024.66	1,298.80	11,323.19	10,024.66
113	4,183.00	2,000.00	0.00	0.00	0.00	0.00	0.00
114	49,200.00	16,000.00	4,003.29	1,301.88	168.67	1,470.52	1,301.88
211	35,378.00	28,000.00	1,437.52	1,137.73	147.40	1,285.10	1,137.73
231	85,274.00	60,000.00	1,094.21	769.90	99.75	869.63	769.90
241	86,000.00	50,000.00	2,289.45	1,331.08	172.46	1,503.50	1,331.08
	479,586.00	301,000.00		<b>17,800.84</b>	<b>2,306.29</b>	16,411.10	17,800.84

WORK ELEMENT NUMBER	TOTAL BUDGETED		TOTAL TO EXPENDITURES		LOCAL MATCH (11.47)	TOTAL (100%)	FEDERAL YEAR TO DATE
	(ALL FUNDING SOURCES)	SEC 5303 (ALL FUNDING SOURCES)	SEC 5303 (88.53%)	SEC 5303 (11.47)			
101	79,385.00	57,000.00	4,506.27	681.15	88.25	769.40	681.15
112	128,000.00	128,000.00	16,242.49	1,776.52	230.17	2,006.69	1,776.52
113	4,183.00	1,539.00	0.00	0.00	0.00	0.00	0.00
114	49,200.00	8,000.00	4,003.29	650.94	84.34	735.28	650.94
211	35,378.00	3,000.00	1,437.52	121.90	15.79	137.69	121.90
231	85,274.00	10,000.00	1,094.21	128.32	16.63	144.95	128.32
241	86,000.00	8,000.00	2,289.45	212.97	27.59	240.56	212.97
	467,420.00	170,539.00		<b>3,571.80</b>	<b>462.76</b>	4,034.56	3,571.80

MPO LOCATED SOMEWHERE IN CALIFORNIA

FY 01/02  
BILLING PERIOD  
7/01/01-7/31/01

**MPO/RTPA  
Address  
City, State**

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Certification of Expenditure by Fund Source  
Fiscal Year 2001/02

I certify that I am a duly authorized representative of the **MPO/RTPA** and the following statement of expenditure of funds is consistent with the terms of the Master fund Transfer Agreement, dated \_\_\_\_\_, entered into between the **MPO/RTPA** and the State.

I have attached a copy of the Statement of Expenditures by fund source and work element. Matching funds are identified. The expenditures shown are for work completed in accordance with the Fiscal Year 2001/02 approved Overall Work Program. I certify that all state and federal matching requirements have been met.

Metropolitan Planning (PL/FHWA)	\$	_____
FTA Section 5303	\$	_____
FTA Section 5313(b)	\$	_____
SPR – Partnership Planning	\$	_____
<b>Total Consolidated Grant</b>		_____

I understand that this represents a final statement of expenditure for the 2000/01 fiscal year and no future requests for reimbursement will be processed by the State for payment.

\_\_\_\_\_  
Name (Please print)

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Title (Please print)

\_\_\_\_\_  
Date

# DIRECTOR'S POLICY

Number: 19

Effective Date: 08-29-01

Supersedes: New

**TITLE** Working with Native American Communities

## **POLICY**

When working on issues affecting Native American communities, the Department of Transportation (Department) acts consistently, respectfully and sensitively. When there are regulatory, statutory and/or procedural impediments limiting the Department's ability to work effectively and consistently with Native American communities, the Department seeks to resolve such impediments.

The Department establishes and adheres to government-to-government relationships when interacting with federally recognized California Native American Tribes (Tribal Governments). The Department:

- Acknowledges these tribes as unique and separate governments within the United States.
- Ensures that its programs and activities avoid or minimize adverse impacts to cultural and other resources.
- Recognizes and respects important California Native American rights, sites, traditions and practices.
- Consults with Tribal Governments prior to making decisions, taking actions or implementing programs that may impact their communities.

## **INTENDED RESULTS**

When engaging in activities or developing policies that affect Native American tribal rights or trust resources, the Department acts in a knowledgeable, sensitive and respectful manner.

Native American communities include lands held in trust by Tribal Governments, communities of non-federally recognized tribes, tribal members of California tribes living outside the exterior boundaries of a reservation or rancheria, Native Americans that are not part of a California tribe living in California.

## **RESPONSIBILITIES**

**Director:** Works with Tribal Governments to achieve the intended results of this policy either directly or through subordinates.



Deputy Director, Planning and Modal Programs:

- Has lead responsibility for the development and implementation of departmental policy regarding issues impacting Native American communities.
- Coordinates the activities of and serves as the Director's representative and ex-officio member to the Director's Native American Advisory Committee.
- Advises Districts, Divisions, agencies and states to resolve issues or concerns of Native American communities.

Deputy Director, Civil Rights:

- Develops and implements departmental policy on issues regarding Civil Rights, Disadvantaged Business Enterprises (DBE) and Tribal Employment Rights Ordinances (TERO) as they relate to Native Americans and Native American communities.
- Advises Tribal Governments and the Department on Title VI provisions as they relate to Native Americans.

Deputy Director, Project Delivery:

- Develops and implements departmental policy on issues regarding environmental and cultural resources as they relate to Native American communities.
- Develops procedures to implement this policy as it relates to project delivery issues.

Deputy Director, Maintenance and Operations: Develops procedures to implement this policy as it relates to the maintenance and operation of State transportation facilities.

District Directors:

- Promote, establish and manage government-to-government relationships between the Department and Tribal Governments.
- Coordinate District activities with the Native American Liaison Branch.

Division Chiefs and Program Manager: Develop procedures to implement this policy as it relates to their respective areas of responsibility.

Chief, Division of Transportation Planning:

- Oversees the Department's Native American Liaison Branch that:
  - Serves as Department ombudspersons on Native American issues and initial contact for Native American legal issues.
  - Serves as liaisons between the Department, Tribal Governments and other involved third parties to promote government-to-government relationships.
  - Provides information, training and facilitation services related to issues affecting Native American communities.

Chief, Division of Environmental Analysis:

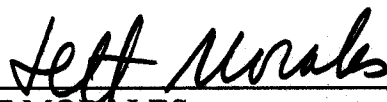
- Oversees the Native American Cultural Studies Branch.
- Develops policies and procedures implementing applicable State and federal environmental and cultural resources laws that affect Native American communities.
- Acknowledges and complies with applicable tribal environmental laws.

Managers and Supervisors: Ensure that their subordinates are informed of and comply with this policy.

Employees: Ensure that the Department is represented in a knowledgeable, sensitive and respectful manner when engaging in activities that impact Native American communities.

**APPLICABILITY**

Everyone who works for the Department in any capacity including contractors, consultants and subcontractors.

  
\_\_\_\_\_  
JEFF MORALES  
Director

8/29/01  
\_\_\_\_\_  
Date Signed