

SOUTHERN CALIFORNIA ASSOCIATION OF GOVERNMENTS

Transportation Planning Certification Review

*Final Report
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Executive Summary

Federal regulations require the United States Department of Transportation (USDOT) – specifically the Federal Highway Administration (FHWA) and Federal Transit Administration (FTA) – to jointly review and evaluate the metropolitan transportation planning process of all urbanized areas that have populations totaling 200,000 or greater every four years. The Southern California Association of Governments (SCAG) Metropolitan Planning Area’s (MPA) last transportation planning process certification was completed in August 2010.

A Federal review team, of FHWA and FTA staff, conducted a desk audit and site visit. The desk audit was completed first and included an in-depth review of SCAG’s metropolitan transportation planning process and products, and SCAG’s staff provided detailed written responses to the review team’s request for information. Ensuing desk audit completion, the review team conducted the site visit on February 4-6. Integrated discussions between the review team and SCAG staff, a public listening session, and interviews with SCAG local elected, transit, and Native American Tribal Government officials occurred.

SCAG’s 2014 certification review focused on assessing SCAG’s compliance with updated metropolitan transportation planning provisions of Moving Ahead for Progress in the 21st Century (MAP-21), and strategic FHWA and FTA initiatives including:

- Organizational Structure and Board Administration
- Metropolitan Planning Area Boundaries, Agreements, and Contracts
- Financial Planning and Fiscal Constraint
- Federal Transportation Improvement Program (FTIP), Air Quality/Transportation Conformity, and Congestion Mitigation
- Public Participation, Visualization, Title VI/Environmental Justice (EJ), and Tribal Governments
- Regional Transportation Plan (RTP)
- Project Selection and Monitoring, and Program Delivery
- Overall Work Program (OWP), Planning Factors, Planning Studies, and Self-Certification
- Transportation Planning Safety and Security
- Congestion Management Process (CMP)
- Travel Demand Forecasting and Modeling
- Freight and Goods Movement Planning
- Management and Operations (M&O) and Intelligent Transportation Systems (ITS)
- Consultant Selection and Procurement

The body of this report contains applicable findings, corrective actions, recommendations, and best practices observed. Findings document conditions perceived. Corrective actions detail areas of concern, where MPO practices unsuccessfully meet Federal requirements. If left unaddressed, MPO program restrictions may be imposed. Recommendations provide potential

MPO practice improvements, and best practices highlight items found as exemplary. A summary of these items are provided in Table 1.

Review Outcome

FHWA and FTA jointly certify that the metropolitan transportation planning process performed by SCAG substantially meets requirements of 23 Code of Regulations (CFR) § 450, and all other applicable requirements. Additional information regarding all findings and recommendations may be found in the relevant sections of this report.

Table 1: Findings, Corrective Actions, Recommendations, and Best Practices Summary

Focus Area	Findings	Corrective Actions	Recommendations	Best Practices
Organizational Structure and Board Administration (23 CFR § 450.310)	Zero significant changes warrant SCAG to make organizational structure or Board modifications since 2010 review	-	-	-
Metropolitan Planning Area (MPA) Boundaries (23 CFR § 450.312)	SCAG’s MPA was adjusted per the 2010 Census and newly includes Mission Viejo urbanized area (UZA) and population 11 of Santa Barbara’s UZA	-	SCAG should enter into a Memorandum of Understanding (MOU) with Santa Barbara County Association of Governments (SBCAG) regarding Census 2010 UZA boundary changes for population 11 of Santa Barbara UZA extending Ventura County	-
Metropolitan Planning Agreements and Contracts (23 CFR § 450.314)	Sufficient agreements and contracts as required in place	-	Consider update of existing agreements and contracts that are greater than eight years old, or those due near to expire	-
Financial Planning and Fiscal Constraint (23 CFR §§ 450.322, 450.324)	Financial planning and fiscal constraint requirements met as RTP financial plan and FTIP financial analysis are consistent, which include revenues, expenditure forecasts, strategies, assumptions, and methodologies made through stakeholder collaborations	-	-	-

<p>FTIP (23 CFR § 450.324)</p>	<p>2013 FTIP last transportation improvement program developed, next update set for 2015. FTIP consistent with RTP and meets CFR requirements</p>	<p>-</p>	<p>-</p>	<p>-</p>
<p>Air Quality/ Transportation Conformity, and Congestion Mitigation (40 CFR § 93, Clean Air Act)</p>	<p>Conformity analyses and determinations, as well as congestion mitigation practices, found prepared and carried out in accordance to legislative requirements. Interagency consultation efforts deemed acceptable</p>	<p>-</p>	<p>-</p>	<p>-</p>
<p>Public Participation, Visualization, Title VI/EJ, and Tribal Governments (23 CFR § 450.316, Executive Order (E.O.) 12898)</p>	<p>Public participation plan updated in 2014, visualization techniques present in RTP and planning functions, and EJ measures, benchmarks, and criteria developed through outreach to include EJ input. Legislative requirements met</p>	<p>-</p>	<p>Utilize National Rural Transportation Assistance Program (www.nationalrtap.org) to get resources for Native American Tribal Governments</p>	<p>-</p>
<p>RTP (23 CFR § 450.322)</p>	<p>RTP meets CFR requirements and was developed through extensive outreach to involve a broad spectrum of stakeholders</p>	<p>-</p>	<p>View examples to implement MAP-21 requirements: 1. 2013 North Dakota Peer Exchange on Introducing Performance Management into the Metropolitan Planning Process – http://www.planning.dot.gov/Peer/NorthDakota/MPO Performance Mgt 06-13.pdf 2. Performance-Based Planning & Programming Guidebook – http://www.fhwa.dot.gov/planning/performance_based_planning/pbpp_guidebook/index.cfm</p>	<p>RTP public outreach activities, viewable in detail at: http://rtp.scs.scag.ca.gov/documents/2012/final_sr/2012fRTP_PublicParticipation.pdf - pp. 1 -17</p>

			Visit Transportation Planning Capacity Building (TPCB) Program Website often for upcoming events and webinars: http://planning.dot.gov/events.asp	
Project Selection and Monitoring, and Program Delivery (23 CFR § 450.330)	Requirements met: project selection follows “bottom up” principle in establishment of procedures that detail project additions, modifications, and amendments. Project monitoring and overall program delivery facilitated through internal database	-	Stay tuned to notices of discretionary funding opportunities. SCAG is encouraged to compete where they may receive award to further facilitate the organization’s transportation planning efforts To effectively engage planning partners of non-urbanized areas into decision-making processes – review “Transit at the Table III”: http://www.planning.dot.gov/documents/TransPlanning/TAT_III_FinalReport.pdf	-
OWP, Planning Factors, Planning Studies, and Self-Certification (23 CFR §§ 450.308, 450.306, 450.318, and 450.334)	SCAG, through self-certification, adequately develops an OWP adhering to USDOT and State established guidelines that addresses planning factors and incorporates planning studies	-	-	-
Transportation Planning Safety and Security (23 CFR § 450.306)	Transportation safety and security goals, objectives, policies, and performance measures incorporated into SCAG’s RTP. Transportation improvement program clearly communicates safety and security goals and objectives. Safety and security requirements determined met	-	Keep eye out for Strategic Highway Safety Program (SHSP) update process, and actively participate in interagency consultation to communicate regional priorities To address planning process security issues, refer to National Cooperative Highway Research Program (NCHRP) resource at: http://onlinepubs.trb.org/onlinepubs/nchrp/nchrp_rpt_525v3.pdf	-
CMP (23 CFR § 450.320)	2010 review CMP corrective actions	-	-	-

	adequately addressed, CMP developed to meet CFR requirements, FTIP documents how projects are moved through the CMP, and SCAG has begun implementation of eliminating \$50M project threshold from CMP review process			
Travel Demand Forecasting and Modeling (23 CFR § 450.322)	Due to complexity, modeling efforts are “state of the art”. Forecasting and analysis models undergoing major updates, and activity-based model (ABM) to replace trip-based model. All requirements found to be met	-	Encouraged to explore dynamic traffic assignment (DTA) models for a more enabled assessment of corridor plan operational strategies, and for a foundation to build stronger ties between planning and operations Encouraged to conduct validation comparisons as a way to demonstrate the detail afforded by new methods, and to verify the authenticity of information produced by models	-
Freight and Goods Movement Planning (23 CFR §§ 450.306, 450.316, 450.104)	Requirements satisfied as region is critical link for freight movement. Comprehensive Regional Goods Movement Plan and Implementation Strategy consistent with RTP, and each process accounts for various stakeholder involvement	-	Consider submission of mega region planning project on freight and goods movement in partnership with the San Diego Association of Governments (SANDAG) Checkout Georgia Statewide Freight and Logistics Plan (2012 Transportation Planning Excellence Award Winner): https://www.fhwa.dot.gov/planning/tpea/2012/2012winners.cfm#w3 View Freight Professional Development Program: http://ops.fhwa.dot.gov/freight/fpd/	-
M&O and ITS (23 CFR §§ 450.322, 450.940)	All requirements fulfilled. Mobility pyramid evaluates performance measures to ensure best-performing projects and strategies	-	-	-

	get included into RTP, and ITS Architecture integrated into planning process			
Consultant Selection and Procurement (23 CFR §§ 172.9, 172.5, 49 CFR § 18)	Procurement procedures found comprehensive and conform to required regulations and internal control standards	-	<p>Provide copy of Procurement Procedures Manual to FHWA</p> <p>Include statement in procurement manual related to compliance with federal/state regulation for prime and sub-consultants' cost including adequate financial system requirements</p> <p>Further substantiate compliance with 49 CFR § 18.42 through incorporation of appropriate language related to records retention in procurement manual</p> <p>Incorporate an evaluation of consultants into procedures manual upon completion of contracts</p> <p>Update procurement manual to clearly define noncompetitive procurement</p> <p>Visit ProcurementPro to ensure appropriate federal clauses are included in all types of federal procurements: http://www.nationalrta.org/WebApps/ProcurementPRO.aspx</p>	-

Certification Review Introduction, Purpose, and Process

Background

The Federal Highway Administration (FHWA) and Federal Transit Administration (FTA) are required at least every four years to jointly review and evaluate metropolitan transportation planning processes for each urbanized area with population greater than 200,000, hereto referred as transportation management areas (TMA). After completion of these reviews a joint certification by the FHWA and FTA results if transportation planning processes are determined to substantially meet federal planning requirements. Each review covers actions by all agencies (States, metropolitan planning organizations (MPO), transit operators, and local governments) charged with cooperatively carrying out day-to-day processes. Failure to certify is significant and may result in withholding of United States Department of Transportation (USDOT) funds. Other reasons the review is conducted are for enhanced planning process quality, and for an assurance that federally funded projects are being advanced without delay.

Purpose and Objective

Planning certification reviews serve several purposes: to evaluate the transportation planning process in metropolitan areas; provide recommendations that may help strengthen planning process aspects; and offer opportunity to recognize planning process best practices – which is equally important as identifying potential improvements.

For this review of the Southern California Association of Government's (SCAG) transportation planning processes, the review team evaluated products and materials including the Regional Transportation Plan (RTP), Federal Transportation Improvement Program (FTIP), Overall Work Program (OWP), Congestion Management Process (CMP), and other relevant areas that all may be referred to in the "Results of Certification Review" section of this document.

Specific objectives of this review focused on determining if:

- 1) Overall planning activities of SCAG are conducted in accordance with USDOT regulations, policies, and procedures – including provisions of Moving Ahead for Progress in the 21st Century Act (MAP-21), 23 Code of Federal Regulations (CFR), Clean Air Act (CAA), Title VI of Civil Rights Act, etc. as applicable.
- 2) SCAG's regional transportation planning processes are continuing, cooperative, and comprehensive, which result in development, implementation, and support of transportation system preservation and improvements.
- 3) SCAG's OWP adequately documents transportation planning activities and other significant transportation planning activities occurring in the region.
- 4) Regional transportation planning products, including the FTIP and RTP, reflect identified transportation needs, priorities, and funding resources.
- 5) RTP is multimodal in perspective, meets the needs of the traveling public and community, and is based on current data.

- 6) Concerns documented during SCAG’s 2010 certification review have been adequately addressed.

Previous Certification Review

SCAG’s last review was completed in August 2010, and in specific resulted with four corrective actions. In advance of this review, SCAG provided USDOT with a completion status update of corrective actions from the 2010 certification review (Appendix B). USDOT determined each corrective action was completed satisfactorily (Table 2).

Table 2: 2010 Certification Review Corrective Action Statuses

Corrective Action	Status
1. As Los Angeles County has fallen behind in their County CMP update cycle, SCAG staff should work with the local congestion management agency (CMA) to produce an update that provides the data and input necessary to maintain the integrity of the regional CMP. (23 Code of Federal Regulations (CFR) § 450.322)	Completed
2. SCAG staff shall consider the formulation of a non-recurring congestion system-level performance measure to add to existing measures that are part of the regional CMP. The discussion of non-recurring congestion and its role in the regional CMP should be more fully integrated into the “Congestion Management Strategy” section of the next long-range planning (LRP) document. (23 CFR § 450.322 (c)(4,6))	Completed
3. Imperial County was missing from the regional CMP analyses. SCAG staff should extend their regional congestion management analysis activities to cover the appropriate hierarchy of roads in the County, identifying congested roadway segments and evaluating appropriate management strategies. (23 CFR § 450.322(a))	Completed
4. As portions of the SCAG region are classified as a nonattainment area for meeting federal ozone, particulate matter (PM) 10 and PM2.5 air quality standards, it is imperative that SCAG enhance the documentation of alternative strategies (e.g. transportation demand modeling (TDM), operations, bike/pedestrian, etc.) selected for implementation in major corridors where significant capacity additions are planned or programmed. (23 CFR § 450.322(e))	Completed

Methodology

For SCAG’s 2010 certification review, USDOT’s team consisted of staff from the FHWA California Division Office, FHWA Office of Planning, and FTA Region 9. Subject experts from FHWA’s Resource Center also participated during applicable sessions. Prior to meeting onsite, USDOT’s review team prepared a request for information desk audit that asked questions about SCAG’s structure and planning processes. SCAG’s responses to the request for information helped provide focus for discussions during the site visit.

The review site visit began February 4 and concluded February 6, 2014. In addition to discussions with SCAG’s staff, a public listening session was held to afford the public an opportunity to provide oral and written comments. Interviews were also conducted with SCAG elected and transit operator officials, and a regional Native American Tribal Government representative. Overall the feedback gleaned from the public listening session and interviews of officials was positive in support of transportation planning processes that SCAG performs. Appendix C provides a list of the officials interviewed.

How to Use this Report

Significant findings, corrective actions, recommendations, and best practices of SCAG’s planning processes are summarized in Table 1, which is shown after the Executive Summary section of this report above. In interpretation of information this report provides, users should be aware of the definitions as follows:

Findings – are statements of fact based on USDOT observations made during the site visit and review of planning documents.

Corrective Actions – are improvements needed to correct statutory or regulatory deficiencies, which if left unaddressed could lead to a “failure to certify” finding and possible disruption of federal funds to programs and projects.

Recommendations – are other than statutory or regulatory deficiencies, yet actions identified by USDOT that represent strongly endorsed practices.

Best Practices – are those actions or procedures identified by USDOT as outstanding.



Description and Overview SCAG

Founded in 1965, SCAG is a Joint Powers Authority under California state law established as an association of local governments and agencies that voluntarily convene as a forum to address regional issues. SCAG is the MPO for 191 cities in six southern California counties: Los Angeles, Orange, Riverside, San Bernardino, Ventura, and Imperial. SCAG’s region of 38,000 square miles is home to over 18.7 million residents, and by 2030 the

population expects growth to over 22 million people. Employment opportunities will increase to over 10 million from a current base of over 7 million. SCAG is the largest MPO in the country.

SCAG develops a long-range regional transportation plan, which includes sustainable community strategy and growth forecast components, a transportation improvement program, regional housing needs allocation, and a portion of South Coast's Air Quality management plan. In 1992 SCAG expanded its governing body, the Executive Committee, to a 70-member Regional Council to help accommodate new responsibilities mandated by federal and state governments, and to provide a more broad-based representation of Southern California's cities and counties. With its expanded membership structure, SCAG created regional districts to provide for a more diverse representation. Districts were formed with the intent to serve equal populations and communities of interest. Currently the Regional Council consists of 86 members.

In addition to the six counties and 191 cities that make up SCAG's region – there are six County Transportation Commissions (CTC) primarily responsible for programming and implementing transportation projects, programs, and services. Additionally, SCAG Bylaws provide for representation of Native American tribes and Air Districts on SCAG's Regional Council (RC) and Policy Committees.

Certification Review Results

Federal Regulations

Through the desk audit and site visit, the review team assessed information and details that SCAG provided in areas required for evaluation in accordance with federal statutes and regulations.

Organizational Structure and Board Administration

Basic Requirement: Federal legislation (23 United States Code (U.S.C.) § 134(d)) requires designation of a MPO for each urbanized area with a population more than 50,000 individuals. When a MPO representing all or part of a TMA is initially designated or re-designated according to 23 CFR § 450.310(d), the policy board of the MPO shall consist of (a) local elected officials, (b) officials of public agencies that administer or operate major modes of transportation within the metropolitan area, and including representation by providers of public transportation, (c) appropriate State transportation officials. Voting membership of a MPO designated – or re-designated prior – will remain valid until a new MPO is re-designated. Re-designation is required whenever the existing MPO seeks to substantially change the proportion of voting members representing individual jurisdictions or the State or the decision-making authority or procedures established under MPO bylaws. An addition of jurisdictional or political bodies into the MPO, or of members to the policy board, generally goes without MPO re-designation requirement.

Review Finding:

SCAG’s staff is directed by various policy and technical advisory boards. SCAG’s General Assembly comprises representatives from each member jurisdiction, and meets annually to approve the budget as well as any Bylaw amendments. SCAG’s RC serves as the main governing board and consists of 86 members who approve the federally required Regional Transportation Plan as well as other plans and policies. SCAG has three policy committees – Transportation; Community, Economic and Human Development; and, Energy and Environment) – that make recommendations to the RC. There is one representative from a regional Native American Tribal Government that serves on the planning board, and all RC members have voting privileges.

Currently the RC is represented by five CTCs that have responsibility to plan and program transportation projects region-wide. Of those, two are transit operators: Los Angeles County Metropolitan Transportation Authority (Metro), and Orange County Transportation Authority (OCTA). CTCs propose county projects, implement RTP policies, programs, and projects, and also guide cities and local agencies through the “Call for Projects” process that is used to select projects. Locally prioritized projects are then forwarded to SCAG for review and acceptance. SCAG subsequently develops the Federal Transportation Improvement Program (FTIP) consistent with the RTP, inter-county connectivity, financial constraint, and air quality conformity. Numerous entities in the region, e.g. regional transit operators, thereafter receive federal, state, and local funds programmed through SCAG’s process.

SCAG’s organizational structure and Board administration practices meet regulatory requirements.

Metropolitan Planning Area Boundaries

Basic Requirement: The metropolitan planning area (MPA) boundary refers to the geographic area that metropolitan transportation planning processes must be carried out on. MPA’s shall, at minimum, cover the Census-defined urbanized area (UZA) and contiguous geographic area(s) likely to become urbanized within the 20-year forecast period covered by the RTP. UZA’s subject to the transportation planning process are typically referred to by the USDOT as the urbanized area boundary (UAB). In accordance with 23 U.S.C. § 134 (e) and 23 CFR § 450.312, the boundary should foster an effective planning process that ensures connectivity between modes and promotes overall efficiency. Boundaries should include Environmental Protection Agency (EPA)-defined nonattainment and/or maintenance areas, if applicable, in accordance with the National Ambient Air Quality Standard (NAAQS) for ozone or carbon monoxide.

Review Finding:

SCAG’s geographic study area has changed since the last census in 2010. In result, SCAG entered into Memorandum of Understanding (MOU) with the San Diego Association of Governments (SANDAG) regarding the Census 2010 urbanized area boundary changes.

Another boundary change resulting from the Census 2010 is for the Santa Barbara UZA that extends into the northwest corner of Ventura County. SCAG and the Santa Barbara Association of Governments (SBCAG) have yet to commence MOU discussions on the modification.

SCAG's MPA boundaries meet regulatory requirements.

Other Comments:

As performed with SANDAG, SCAG should establish a schedule to commence discussions with SBCAG on the planning area boundary change that resulted from the 2010 Census.

Metropolitan Planning Agreements and Contracts

Basic Requirement: In accordance with 23 U.S.C. § 134 and 23 CFR § 450.314, MPOs are required to establish relationships with State and public transportation agencies under specified agreements between the parties to work in cooperation to carry out a continuing, cooperative, and comprehensive (3C) metropolitan planning process. Agreements must identify mutual roles, responsibilities, and procedures governing cooperative efforts, and must identify the designated agency for air quality planning under the Clean Air Act to address responsibilities and situations that arise in the metropolitan area.

Review Finding:

SCAG has written agreements in place to facilitate regional planning in Southern California that include:

- a. Comprehensive Federal Transportation Planning MOU
- b. California Department of Transportation (Caltrans) Division of Transportation Planning Master Fund Transfer Agreement
- c. Transit MOUs with area transit operators
- d. Consultation Procedures of Transportation and Air Quality Conformity MOU

All of SCAG's metropolitan planning agreements and contracts adequately meet regulatory regulations.

Other Comments:

It was noticed that the Caltrans Division of Transportation Planning Master Fund Transfer Agreement expires on December 31, 2014. Discussions to update this agreement should be engaged.

Financial Planning

Basic Requirement: The metropolitan planning statute states the RTP and FTIP (23 U.S.C. § 134 (j)(2)(B)) must include a "financial plan" that "indicates resources from public and private sources expected reasonably available to carry out the program". Additionally, the Statewide Transportation Improvement Program (STIP) may include a similar financial plan (23 U.S.C. § 135 (g)(5)(F)). The financial plan purpose is to

demonstrate fiscal constraint, and these requirements are implemented for the RTP, FTIP, and STIP. Essentially these regulations provide that the RTP, FTIP, and STIP include only projects for which funding “can reasonably be expected available” [(23 CFR § 450.322(f)(10) – for RTP), 23 CFR § 450.324(h) – for FTIP), and 23 CFR § 450.216(m) – for STIP)]. Regulations additionally provide that inclusion of projects in air quality nonattainment and maintenance areas be integrated in the FTIP’s and STIP’s first two years only if funds are “available or committed”. Finally, the Clean Air Act's transportation conformity regulations specify that conformity determinations may only be made on a fiscally constrained RTP and FTIP (40 CFR § 93.108).

Review Finding:

SCAG’s financial planning process is extensive, which is a collaborative process that integrates regional technical advisory, an evaluation of data, trend-line vetting, funding scenarios, etc. To establish fiscal constraint SCAG documents key assumptions and normalizes data. SCAG accounts for cost escalations, and has made use of USDOT’s Transportation Infrastructure Finance and Innovation Act (TIFIA) Program.

All regulatory required financial planning and fiscal constraint practices were found as performed by SCAG. RTP financial plan and FTIP financial analysis are consistent, which include revenues, expenditure forecasts, strategies, assumptions, and methodologies made through stakeholder collaborations.

FTIP

Basic Requirement: 23 CFR § 450.324 requires the MPO to develop a FTIP in cooperation with State and public transit operators. Specific requirements and conditions specified in the regulations that MPOs must meet include, without limits:

- Completed FTIP update that covers a period of at least four years compatible with STIP development and approval (23 CFR § 450.324 (a))
- FTIP identifies all eligible state implementation plan (SIP) transportation control measures (TCM) with priority, and for projects included in first two years funds are available and committed (23 CFR 450.324 (i))
- FTIP includes capital and non-capital surface transportation projects, bicycle and pedestrian facilities and other transportation enhancements, and Federal Lands Highway and safety projects included in the State’s Strategic Highway Safety Plan; FTIP includes all regionally significant projects that require USDOT approval, even if projects are funded with other dollars besides Title 23 or 49; all federal and non-federal funded regionally significant projects are included in the FTIP consistent with the RTP for information purposes, and for air quality analysis in nonattainment and maintenance areas (23 CFR § 450.324 (c)(d))

Review Finding:

SCAG’s FTIP development process is collaborative with regional CTCs that work with local agencies, transit operators, and the state to prioritize projects for inclusion into

individual county transportation improvement programs (TIP). Thereafter, county TIPs are worked on with SCAG and integrated into SCAG's FTIP. SCAG's FTIP is consistent with the RTP, accounts for regional emission tests, sufficiently displays TCMs, was subject to extensive interagency consultation and public involvement, and demonstrates fiscal constraint. All FTIP requirements were determined fulfilled.

Air Quality/Transportation Conformity, and Congestion Mitigation

Basic Requirement: For MPOs the EPA classifies as air quality nonattainment or maintenance areas, many special requirements apply to the metropolitan planning process. Section 176 (c)(1) of the Clean Air Act Amendments of 1990 (CAAA) states: "Zero MPO designated under section 134 of Title 23 U.S.C shall give approval to any project, program, or plan that fails conformance to an implementation plan approved or promulgated under section 110". The Intermodal Surface Transportation Efficiency Act of 1991 (ISTEA) includes provisions in response to CAAA mandates.

Review Finding:

SCAG collaborates with regional air quality stakeholders to prepare conformity analyses and determinations for the RTP and FTIP. SCAG also works closely with all air districts to coordinate regional transportation planning and air quality planning policies, programs, technical methodologies and assumptions, public involvement processes, and congestion mitigation practices that benefit air quality. Extensive, ongoing, collaborative, and inclusive interagency consultation is implemented during development of all transportation planning products that SCAG delivers. SCAG's processes meet all air quality conformity requirements.

Public Participation, Visualization, Title VI/Environmental Justice (EJ), and Tribal Governments

Basic Requirement: The MPO is required under 23 CFR § 450.316 to engage in a metropolitan planning process that creates opportunities for public involvement, participation, and consultation through RTP and FTIP development. Consultations should include (1) a comparison of the RTP with State conservation plans or maps, if available – or (2) a comparison of the MTP with inventories of natural or historic resources, if available. Use of explicit procedures, strategies, and desired outcomes for employing visualization techniques in the RTP and FTIP are also detailed under requirements of 23 CFR § 450.316.

It has been a long-standing policy of USDOT to actively ensure nondiscrimination under Title VI of the Civil Rights Act of 1964, which states "no person in the United States shall, on the ground of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving Federal financial assistance". Title VI bars intentional discrimination, i.e. disparate treatment, as well as disparate-impact discrimination stemming from neutral policy or practice that has the effect of a disparate impact on protected groups based on race, color, or national origin. Planning regulations (23 CFR § 450.334 (a)(3)) require MPOs to self-certify that "the planning process is being carried out in accordance with

all applicable requirements of Title VI of the Civil Rights Act of 1964, as amended (42 U.S.C. § 2000d-1) and 49 CFR part 21”.

Environmental Justice Executive Order (E.O.) 12898, issued February 11, 1994, provides that “each Federal agency shall make achieving EJ part of its mission by identifying and addressing, as appropriate, disproportionately high or adverse human health and environmental effects of its programs, policies, and activities on minority populations and low-income populations...”. In compliance with this Executive Order, USDOT’s order on EJ was issued April 15, 1997. Furthermore, FHWA issued order number 6640.23 on December 2, 1998, entitled “FHWA Actions to Address EJ in Minority Populations and Low-Income Populations”, to establish policies and procedures for FHWA to use in complying with E.O. 12898. FTA Circular 4703.1, EJ Policy Guidance for FTA recipients was published August 15, 2012.

Planning regulations 23 CFR § 450.316 (a)(1)(vii) require that the needs of those “traditionally underserved” by existing transportation systems – such as low-income and/or minority households that may face challenges accessing employment and other services – be sought out and considered.

Limited English Proficiency E.O. 13166, issued August 11, 2000, directs federal agencies to evaluate services provided to Limited English Proficient (LEP) persons and implements a system that ensures LEP persons are able to meaningfully access the services provided consistent with and without unduly burdening the fundamental mission of each federal agency. Additionally, each federal agency shall ensure that recipients of federal financial assistance provide meaningful access to their LEP applicants and beneficiaries. Other requirements related to this section are included in 23 CFR § 450.322 (f)(7) and (g)(1)(2), and 23 CFR § 450.324 (b).

Review Finding:

SCAG’s public participation plan (PPP) guides the public involvement process and 3C planning process among stakeholders to ensure ongoing opportunity for broad-based participation in development and review of regional transportation plans and programs. SCAG consulted with a broad range of interested parties – involving outreach to cities and counties, CTCs, sub-regional organizations, transit operators, federal and state resource agencies, Tribal Governments, representatives of the disabled, pedestrian walkways, and bicycle facilities, environmental groups, etc. – to develop public participation plan goals, strategies, procedures, and techniques. SCAG’s PPP was last updated and adopted on April 3, 2014, which resulted from the consultation and evaluation process. This document is available at: <http://scag.ca.gov/participate/Pages/PublicParticipationPlan.aspx>.

SCAG employs visualization techniques as a strategy to better describe plans, programs, and products to a variety of stakeholders via traditional mechanisms like PowerPoint presentations, fact sheets, and electronic newsletters. Monthly RC meetings are

broadcast using streaming video with archives made available. Interactive maps are made available on a variety of subjects – e.g. renewable energy fueling/charging stations, electricity generation facilities, etc.

SCAG's EJ program includes two main elements: technical analysis and public outreach. SCAG's role is to ensure when transportation decisions are made that low-income and minority communities have ample opportunity to participate in the decision-making process and that they receive an equitable distribution of benefits without a disproportionate share of burdens. In result, SCAG's RTP includes a robust EJ report that assesses impacts of EJ population groups – and provides a set of measures for potential mitigation of adverse impacts. Many of the EJ benchmarks, measures, and criteria were developed and adopted following public and stakeholder outreach, comment, and input.

SCAG's public participation, visualization, Title VI/EJ, and Tribal Government responsibilities meet all applicable legislative requirements.

Other Comments:

SCAG does well with Native American Tribal Government communications and is encouraged to utilize the National Rural Transportation Assistance Program (www.nationalrtap.org) to obtain resources for Native American Tribal Governments.

RTP

Basic Requirement: In accordance with 23 CFR § 450.322 (a), "The metropolitan transportation planning process shall include development of a transportation plan that addresses at least a 20-year planning horizon...the transportation plan shall include both long-range and short-range strategies/actions that lead to development of a multi-modal transportation system to facilitate the safe and efficient movement of people and goods to address current and future transportation demand".

Review Finding:

SCAG's most recent RTP was developed through extensive outreach that involved workshops and meetings with many interested public and private sector parties, academia, and other stakeholders including bicycle users and advocates, citizens, environmental groups, freight shippers and service providers, ethnic and minority groups, non-profit organizations, etc. Various SCAG policy and technical committees and subcommittees guided development of RTP goals, objectives, performance measures, project prioritization, environmental mitigation, air quality conformity and timely implementation of TCMs, cost revenue estimates, and operations and management. Active transportation solutions to help address public health issues and greenhouse gas reductions were given a great interest, and EJ was a key concern through development.

SCAG's RTP was found to meet CFR and all other applicable requirements, and the public outreach efforts performed to reach 2012 RTP adoption have been identified as a best practice that others may embrace – viewable in detail at: http://rtpscs.scag.ca.gov/documents/2012/final/sr/2012fRTP_PublicParticipation.pdf, pp. 1 -17.

Other Comments:

MAP-21 is the current transportation legislation in effect. SCAG is encouraged to view the examples as follows toward continued implementation of MAP-21 requirements:

1. 2013 North Dakota Peer Exchange on Introducing Performance Management into the Metropolitan Planning Process –
http://www.planning.dot.gov/Peer/NorthDakota/MPO_Performance_Mgt_06-13.pdf
2. Performance-Based Planning & Programming Guidebook –
http://www.fhwa.dot.gov/planning/performance_based_planning/pbpp_guidebook/index.cfm

As a resource for building SCAG's technical planning expertise, SCAG is recommended to visit USDOT's Transportation Planning Capacity Building (TPCB) Program Website often for upcoming events and webinars: <http://planning.dot.gov/events.asp>.

Project Selection and Monitoring, and Program Delivery

Basic Requirement: After a FTIP meets requirements of 23 CFR § 450.324, MPOs must develop an “agreed to” list of projects for project selection purposes (23 CFR § 450.330). Nonattainment and maintenance areas must give selection priority to TCMs. Zero additional project selection thereafter is required to proceed unless appropriated Federal funds available to the MPA are significantly less than authorized amounts or where there is significant shifting of projects between years. In areas designated as TMAs, all funding shall be selected by the MPO in consultation with the state and public transit operators.

Review Finding:

The process for a project to receive federal and state funds follows a “bottom up” process and begins at the CTC level where projects are nominated by local jurisdictions and selected by counties. CTCs develop criteria consistent with the RTP to determine projects that best enhance the transportation network to address regional goals of improving mobility and promoting sustainability. Expedited project selection procedures are in place, and utilized as needed.

SCAG monitors timely completion of projects through the Federal Transportation Improvement Program (FTIP) database that CTCs are required to update, and project status discussions are frequently facilitated. SCAG's FTIP database may be viewed at: <http://webapp.scag.ca.gov/tip/login.aspx>.

SCAG works in consultation with the state and CTCs to develop the annual listing of obligated projects, which is accessible at: <http://ftp.scag.ca.gov/Pages/default.aspx>. SCAG's project selection and monitoring, and program delivery practices meet all related requirements.

Other Comments:

SCAG is recommended to stay tuned as to notices of discretionary funding opportunities and encouraged to compete where they may receive award to further facilitate transportation planning efforts. Also, to effectively engage planning partners of non-urbanized areas into decision-making processes – SCAG is encouraged to review “Transit at the Table III”, viewable at: http://www.planning.dot.gov/documents/TransPlanning/TAT_III_FinalReport.pdf.

OWP, Planning Factors, Planning Studies, and Self-Certification

Basic Requirement: MPOs are required to develop OWPs in TMAs in cooperation with State and public transit agencies that include all required elements, e.g. planning factors and planning studies, to govern work programs for expenditure of FHWA and FTA planning and research funds (23 CFR §§ 450.306, 450.308, 450.318).

Metropolitan planning process self-certification is required at least once every four years (23 CFR § 450.334). States and MPOs shall certify to FHWA and FTA that planning processes address major issues facing the area conducted in accordance with applicable requirements of 23 CFR § 450.300, and:

- 23 U.S.C. § 134 and 49 U.S.C. § 5303 and Sections 174 and 176(c) and (d) of the Clean Air Act (as applicable)
- Title VI of the Civil Rights Act of 1964
- 49 U.S.C. § 5332, prohibiting discrimination on the basis of race, color, creed, national origin, sex, or age in employment or business opportunity
- Section 1101(b) of the Safe Accountable Flexible Efficiency Transportation Equity Act: A Legacy for Users (SAFETEA-LU) and 49 CFR Part 26, regarding involvement of disadvantaged business enterprises (DBE) in USDOT-funded planning projects
- 23 CFR § 230, regarding implementation of an equal employment opportunity program on Federal and Federal-aid highway construction contracts
- Americans with Disabilities Act (ADA) and USDOT regulations governing transportation for people with disabilities (49 CFR Parts 27, 37, and 38).
- Older Americans Act as amended, prohibiting discrimination on the basis of age (Section 324 of Title 23 U.S.C.), regarding the prohibition of discrimination based on gender
- Section 504 of the Rehabilitation Act of 1973 and 49 CFR Part 27, regarding discrimination against individuals with disabilities

- All other applicable provisions of Federal law (e.g. while short of specific note in self-certification, the prohibited use of Federal funds for “lobbying” still applies and should be covered in all grant agreement documents (see 23 CFR § 630.112).

Review Finding:

SCAG’s OWP is produced collaboratively with CTCs, air quality districts, the state, and USDOT. Following SCAG RC approval the OWP is released for public review and comment, circulated in accordance with procedures outlined in SCAG’s PPP. All comments are considered and addressed in the final OWP prior to being forwarded for state and federal approval.

SCAG’s OWP includes regionally significant planning projects and studies funded through the Consolidated Planning Grant (CPG), as well as those projects funded with sources outside of the CPG. OWP tasks and products are linked to federal and state planning requirements, planning factors, and USDOT established planning emphasis areas (PEA).

SCAG strives to ensure the metropolitan transportation planning process is performed in accordance with all applicable federal and state requirements. Following RC approval of the OWP, SCAG’s Executive Director and Chief Counsel – for SCAG – declares compliance with all laws and regulations.

Transportation Planning Safety and Security

Basic Requirement: 49 U.S.C. § 5303 requires MPOs to consider safety as one of the eight planning factors, and as stated in 23 CFR § 450.306 – the metropolitan transportation planning process must provide for consideration and implementation of projects, strategies, and services that will increase transportation system safety for motorized and non-motorized users.

Federal legislation has separated security as a stand-alone element of the planning process (both for metropolitan planning (23 CFR § 450.306 (a)(3), and statewide planning (23 CFR § 450.206 (a)(3)). Regulations also state that the degree and consideration of security should be based on the scale and complexity of many different local issues.

Review Finding:

Safety is a SCAG priority and this message is conveyed to all SCAG region implementing agencies. SCAG’s RTP incorporates safety performance measures to assess safety investment performance, and SCAG is engaged with Caltrans to ensure the Strategic Highway Safety Plan (SHSP) is integrated into regional transportation planning processes. SCAG’s RTP also incorporates transportation safety and security goals, objectives, and policies, which were developed through a collaborative and cooperative process involving and engaging key stakeholder agencies. SCAG’s RTP transportation

safety and security details may be viewed
at: <http://www.scagrtп.net/MediaViewer/10938?print=true>.

All safety and security requirement met via SCAG’s relevant procedures.

Other Comments:

As SCAG stays up to date with Caltrans’ SHSP work, for continued collaborations it is encouraged that SCAG keep an eye out for the SHSP update process and to actively participate in interagency consultation to communicate regional priorities.

To continue to meet transportation security requirements, SCAG is encouraged to refer to the National Cooperative Highway Research Program (NCHRP) resource at: http://onlinepubs.trb.org/onlinepubs/nchrp/nchrp_rpt_525v3.pdf.

CMP

Basic Requirement: The State and MPO must develop a systematic approach for managing congestion through a process that “provides for safe and effective integrated management and operation of the multimodal transportation system. The CMP applies to TMAs based on a cooperatively developed and implemented metropolitan-wide strategy of new and existing transportation facilities eligible for funding under 23 U.S.C. and Title 49 U.S.C. Chapter 53 through the use of travel demand reduction and operational management strategies” (23 CFR § 450.320 (a)).

Review Finding:

Each of the CMP corrective actions from the 2010 certification review were determined adequately addressed, as shown in Table 2 earlier in this report. SCAG’s CMP is integrated into the metropolitan planning process, which is evident in the RTP. Since SCAG’s region consistently ranks as the most congested in the nation, congestion management factors into RTP visions, goals, performance measures, and investment strategies with mobility being a key principle.

SCAG’s CMP was developed in accord with the 8-step CMP approach. Interagency consultation and public involvement processes were performed in CMP development. SCAG’s regional travel demand model is the primary technical tool that identifies CMP congestion, and the two demonstrate overall consistency. SCAG’s CMP was developed to meet CFR requirements, the FTIP documents how projects are moved through the CMP, and SCAG has begun implementation of fully eliminating the \$50M threshold on projects running through the CMP from the process.

Travel Demand Forecasting and Modeling

Basic Requirement: Pursuant 23 CFR § 450.322, a RTP requires valid forecasts of future demand for transportation services, which are frequently made using travel demand models that allocate estimates of regional population, employment, and land use to person-trips and vehicle-trips by travel mode, route, and time period. Outputs of travel

demand models are used to estimate regional vehicle activity for use in motor vehicle emission models for transportation conformity determinations in nonattainment and maintenance areas, and to evaluate the impacts of alternative transportation investments being considered in the RTP.

Review Finding:

SCAG’s forecasting and analysis models are currently undergoing major updates, and the regional activity-based model is intended to replace the current trip-based model. SCAG’s activity-based model will offer improved analytical capabilities for a more expansive detailed range of transportation alternatives.

Development of small area population and employment projects for nearly 200 local jurisdictions presents unique challenges. In consequence, SCAG has undergone a reorganization more closely aligned to travel and demographic forecasters where particular attention is given to age cohorts – e.g. millennial and older populations – that may have unique preferences that travel models must account for. SCAG is currently evaluating locational choice and auto-ownership behavior of millennial populations and actively working across 15 sub-regions and 190 districts to develop, coordinate, and review local growth policies and projections.

SCAG implements a “state of the art” travel model, and the addition of experienced Parsons Brinckerhoff consultant staff should increase the likelihood that models will be available in time to support the next RTP update. A parallel technical support track for the enhanced trip-based model will ensure that local jurisdictions continue to have access to reliable forecasting methods for planning and project development activities.

SCAG’s travel demand forecasting and modeling processes meet all relevant requirements.

Other Comments:

To enable a more complete assessment of operational strategies in corridor plans and for a foundation to build stronger ties between planning and operations, SCAG is encouraged to explore the potential for dynamic traffic assignment (DTA) models. For demonstrated detail afforded by new methods and for verification of information produced by models, SCAG is encouraged to conduct validation comparisons – similar to those conducted by the Metropolitan Transportation Commission (MTC) in Northern California.

Freight and Goods Movement Planning

Basic Requirement: 23 U.S.C. § 134 (a) and 23 CFR §§ 450.306(4), 450.316(a)(b), 450.104 of the metropolitan transportation planning section indicates: “It is in the national interest to encourage and promote the safe and efficient management, operation, and development of surface transportation systems that will serve the mobility needs of people and freight and foster economic growth and development

within and between states and urbanized areas while minimizing transportation related fuel consumption and air pollution through metropolitan and statewide transportation planning processes identified in this chapter; and to encourage continued improvement and evolution of metropolitan and statewide transportation planning processes by MPOs, State departments of transportation (DOT), and public transit operators as guided by the planning factors identified in subsection (h) and section 135(d) of 23 U.S.C”.

Review Finding:

SCAG’s region is a critical link in freight and goods movement nationally, and SCAG’s RTP reflects and accounts for issues and strategies as such, which may be viewed at: http://rtpscs.scag.ca.gov/Documents/2012/final/SR/2012RTP_GoodsMovement.pdf. SCAG’s other transportation planning products integrate freight and goods movement, e.g. the OWP, FTIP, etc. In parallel with RTP development, SCAG finalized its Comprehensive Regional Goods Movement Plan, and that document is viewable at: <http://www.freightworks.org/DocumentLibrary/CRGMPIS%20-%20Final%20Report.pdf>. SCAG facilitates a steering committee that consists of railroads, ports, etc., and this group meets regularly to discuss how freight and goods movement projects may be accelerated. SCAG also leads the Southern California Goods Movement Working Group that includes regional partners such as CTCs, regional ports, and local cities.

SCAG’s processes meet all freight and goods movement planning requirements.

Other Comments:

In the case of discretionary funding availability, and with respect to the shared Mexican border, SCAG is encouraged to consider submission of a mega-region planning project on freight and goods movement in partnership with SANDAG. For more ideas and freight and goods movement input, SCAG is encouraged to check out the Georgia Statewide Freight and Logistics Plan – the 2012 Transportation Planning Excellence Award Winner: <https://www.fhwa.dot.gov/planning/tpea/2012/2012winners.cfm#w3>. Also as an additional freight resource, SCAG’s recommended to view the Freight Professional Development Program at: <http://ops.fhwa.dot.gov/freight/fpd/>.

Management & Operations (M&O) and Intelligent Transportation Systems (ITS)

Basic Requirement: Federal statute 23 U.S.C. § 134 (h)(1)(G) requires the metropolitan planning process to include consideration of projects and strategies that promote efficient system management and operation. 23 U.S.C. § 134 (i)(2)(D) provides the basis for 23 CFR § 450.322 (f)(3) that specifies operational and management strategies must improve the performance of existing transportation facilities to relieve vehicular congestion and maximize the safety and mobility of people and goods. The RTP financial plan (23 CFR § 450.322 (f)(10)(i)) and FTIP financial plan (23 CFR § 450.324 (h)) are required to contain system-level estimates of costs and revenue sources reasonably

expected available to adequately operate and maintain Federal-aid highways and public transportation.

FHWA's Final Rule and FTA Policy on ITS Architecture and Standards, issued January 8, 2001 and codified under 23 CFR Part 940 – ITS Architecture and Standards, requires all ITS projects funded by the Highway Trust Fund and Mass Transit Account to conform with national ITS architecture and USDOT-adopted ITS standards. 23 CFR § 940 states that:

- Regions and MPOs implementing ITS projects yet to advance final design prior April 8, 2005 must have a regional ITS architecture in place. All other regions and MPOs without ITS project implementations must develop a regional ITS architecture within four years their first ITS project advances to final design.
- All ITS projects funded by the Highway Trust Fund (including the Mass Transit Account) must be consistent with 23 CFR § 940 provisions – regardless whether a stand-alone or non-ITS combined project.
- Major ITS projects should move forward based on project-level architecture that clearly reflects consistency with the national ITS architecture.
- All projects shall be developed using a systems engineering process.
- Projects must use USDOT-adopted ITS standards (as appropriate).
- Compliance with the regional ITS architecture will be in accordance with USDOT oversight and Federal-aid procedures, similar to non-ITS projects.

Review Finding:

SCAG advocates a system management approach to improving the region's transportation system, which integrates an approach based on comprehensive system monitoring and evaluation and use of performance measurements to ensure the best-performing projects and strategies are integrated into SCAG's RTP. SCAG collects M&O data from a variety of sources – e.g. via Caltrans' Performance Measurement System (PeMS). SCAG informs elected officials and the public on M&O goal and objective progress through the Transportation Committee (TC) and Transportation Working Group (TWG), where also additional coordination of M&O and ITS activities are discussed.

SCAG's ITS Regional Architecture is the regional planning tool for ensuring a cooperative process to prioritize and deploy ITS technologies, and for identifying critical data connections between institutional stakeholders. SCAG's ITS Regional Architecture is integrated into the transportation planning process, and may be viewed at: <http://scag.ca.gov/programs/Pages/IntelligentTransportation.aspx>.

SCAG's M&O and ITS practices meet all regulatory requirements.

Consultant Selection and Procurement

Basic Requirement: 49 CFR Part 18 covers uniform administrative requirements for grants and cooperative agreements to state and local governments while 23 CFR § 172

gives specifics on conditions to administer engineering and design related service contracts and methods of procurement, with procedures focused on competitive negotiation, small purchases, noncompetitive negotiation, and approvals. FHWA's Auditing Transportation Programs Internal Controls Guidance Appendix C provides a checklist that details how to control the environment and activity, and how to appropriately assess risks in facilitation of consultant selection and procurement procedures.

Review Finding:

Focus was placed on discussing SCAG's Procurement Policy and Procedures Manual governing purchasing and procurement, and on non-Architecture and Engineering (A&E) consultant services. SCAG has never been audited on their procurement procedures, yet with an organizational interest to stay abreast with the most current procedures USDOT provided an Audits and Investigations contact. Overall, SCAG's procurement procedures were found comprehensive and in general conformance to Federal regulations and internal control standards.

Other Comments:

SCAG is able to provide greater assurance of conformance with Federal requirements and strengthened internal controls through update revision of its Procurement Policy and Procedures Manual, and providing USDOT a copy for review. Specifics to incorporate into the update include: related statement of compliance with federal/state regulations for prime and sub-consultant costs, including adequate financial system requirements; appropriate language related to records retention; and, information that clearly defines the term "noncompetitive procurement". SCAG's also encouraged to visit "ProcurementPro", to ensure appropriate federal clauses are included in all types of federal procurements at the following link: <http://www.nationalrtap.org/WebApps/ProcurementPRO.aspx>.

Conclusion

The outcome of this review is a determination whereby FHWA and FTA jointly certify that SCAG's planning process meets the requirements of 23 CFR § 450, and all other applicable legislation. SCAG is commended for its public outreach engagements and strong collaboration with regional partner agencies in development of transportation solutions and delivery of technical competencies. We wish to thank SCAG's staff for its tremendous assistance and cooperation in making the certification review informative, productive, and a positive exchange of frank discussions between the Federal review team, SCAG staff, State, local elected, transit operator, and Native American Tribal Government officials.

Appendix A Certification Review Participants

Michael Morris	Federal Highway Administration, California Division
Ted Matley	Federal Transit Administration, Region IX
Rick Backlund	Federal Highway Administration, California Division
Jack Lord	Federal Highway Administration, California Division
Lance Yokota	Federal Highway Administration, California Division
Jesse Glazer	Federal Highway Administration, California Division
Veneshia Smith	Federal Highway Administration, California Division
David Cohen	Federal Highway Administration, California Division
Brenda Pérez	Federal Highway Administration, California Division
Eric Pihl	FHWA, Resource Center (Lakewood)
Brian Betlyon	FHWA, Resource Center (Baltimore)
Connie Yew	FHWA, Headquarters
Ray Tellis	Federal Transit Administration, LA Metro
Charlene Lee Lorenzo	Federal Transit Administration, LA Metro
Jonathan Klein	Federal Transit Administration, LA Metro
Mary Nguyen	Federal Transit Administration, LA Metro
Tomika Monterville	Federal Transit Administration, Headquarters
Rebecca Sanchez	California Department of Transportation, District 7
Hasan Ikhata	Southern California Association of Governments
Sharon Neely	Southern California Association of Governments
Debbie Dillon	Southern California Association of Governments
Rich Macias	Southern California Association of Governments
Huasha Liu	Southern California Association of Governments
Joann Africa	Southern California Association of Governments
Naresh Amatya	Southern California Association of Governments
Mark Butala	Southern California Association of Governments
Bernice Villanueva	Southern California Association of Governments
Frank Wen	Southern California Association of Governments
Jonathan Nadler	Southern California Association of Governments
Jacob Lieb	Southern California Association of Governments
Annie Nam	Southern California Association of Governments
Philip Law	Southern California Association of Governments
Pablo Gutierrez	Southern California Association of Governments
Leyton Morgan	Southern California Association of Governments
Catherine Kirschbaum	Southern California Association of Governments
Mervin Acebo	Southern California Association of Governments
Kimberly Clark	Southern California Association of Governments
Jeff Liu	Southern California Association of Governments

Appendix B

SCAG's Address of 2010 Certification Review Corrective Actions

CORRECTIVE ACTION

1. As Los Angeles County has fallen behind in their County CMP update cycle, SCAG staff should work with the local CMA to produce an updated local program that provides the data and input necessary to maintain the integrity of the regional CMP. (23 CFR 450.322)
SCAG worked with the Los Angeles County Metropolitan Transportation Authority to ensure their county CMP was updated in a timely manner resulting in adoption of the updated County CMP in October 2010 by the Los Angeles County Metropolitan Transportation Authority Board. Subsequently, SCAG incorporated this update into its 2012-2035 Regional Transportation Plan/Sustainable Communities Strategy (RTP/SCS) and regional CMP efforts. SCAG is continuing to work the Los Angeles County Metropolitan Transportation Authority as it updates its county CMP to ensure appropriate data and input are incorporated into the next RTP/SCS and regional CMP update in 2016.
2. The SCAG staff shall consider the formulation of a non-recurring congestion, system-level performance measure to add to the existing measures that are part of the regional CMP. The discussion of non-recurring congestion and its role in the regional CMP should be more fully integrated into the "Congestion Management Strategy" section of the next LRP document. (23 CFR 450.322 (c)(4,6))
SCAG's 2012-2035 RTP/SCS includes a new performance indicator for non-recurrent highway congestion. Based on data from Caltrans' freeway PeMS, SCAG estimates that approximately 45 percent of freeway congestion is estimated to be non-recurrent. Non-recurrent congestion and strategies to manage this congestion are discussed in further detail in the Congestion Management Strategy technical report. The 2012-2035 RTP/SCS complete report, along with technical appendices, are available at: <http://rtpscs.scag.ca.gov/Pages/2012-2035-RTP-SCS.aspx>.
3. Imperial County was missing from the regional CMP analyses. SCAG staff should extend their regional congestion management analysis activities to cover the appropriate hierarchy of roads in the County, identifying congested roadway segments and evaluating appropriate management strategies. (23 CFR 450.322(a))
SCAG worked cooperatively with the Imperial County Transportation Commission (ICTC) to update the Imperial County 2012 Transportation Plan to address congestion management. The updated County Plan includes a congestion management element and also addresses transit, goods movement, and land use. County Plan strategies were subsequently incorporated into SCAG's 2012-2035 RTP/SCS and regional CMP update. SCAG will continue its cooperative efforts with ICTC to ensure that the appropriate data and input are incorporated into the next RTP/SCS and regional CMP update in 2016.

4. As portions of the SCAG region are classified as a nonattainment area for meeting the federal ozone, PM10 and PM2.5 air quality standards, it is imperative that SCAG enhance the documentation of alternative strategies (e.g., TDM, operations, bike/pedestrian, etc.) selected for implementation in major corridors where significant capacity additions are planned or programmed. (23 CFR 450.322(e))
SCAG has developed and implemented procedures with respect to the development of the FTIP to enhance documentation of alternative strategies selected for implementation in major corridors where significant capacity additions are planned or programmed. These procedures are documented in the FTIP Guidelines published biennially by SCAG to guide the development of the FTIP. As part of these procedures, project sponsors must identify and document the travel demand reduction and operational management strategies that have been incorporated into the project to address the CMP requirements. The 2013 FTIP Guidelines are available at: <http://ftip.scag.ca.gov/Pages/2013/adopted.aspx>.

Appendix C

Interviewed Local Elected, Transit Operator, and Native American Tribal Government Officials

Elected Officials

Honorable Pam O'Connor, SCAG Past President, Councilmember, City of Santa Monica

Honorable Cheryl Viegas-Walker, SCAG 2nd Vice President, Councilmember, City of El Centro

Honorable Greg Pettis, SCAG President, Councilmember, City of Cathedral City

Transit Operators

Julie Austin, Executive Director, Antelope Valley Transit Authority

Wayne Wassell, Transportation Planning Manager – Service Planning and Scheduling, Los Angeles Metro; and, SCAG Transit Technical Advisory Committee Chair

Brad McAllester, Executive Officer – Long Range Planning, Los Angeles Metro

Anna Rahtz, Acting Director of Planning, Omnitrans

Jeremiah Braynt, Planning and Scheduling Manager, Omnitrans

Native American Tribal Government Official

Honorable Andrew Masiel, Sr., Councilmember, Tribal Representative: Pechanga Band of Luiseno Indians

Appendix D

Public Meeting Notice

Public listening session notices were posted to SCAG's website on January 14, 2014, viewable at:

<http://newsletter.scag.ca.gov/scagupdate/011414.htm>.

Notification of USDOT's public listening session additionally was disseminated according to SCAG's PPP procedures.

Appendix E Certification Review Concurrence and Closure

From: Rich Macias
To: Morris, Michael (FHWA)
Cc: Joann Africa; Chidsey, Darin
Subject: RE: 2014 SCAG Certification Review Draft Report
Date: Wednesday, August 06, 2014 2:36:41 PM

Thank you Michael, we have completed our review of your final draft document and are in concurrence with the edits made per our comments. Thank you for the opportunity, we look forward to continuing to work with you as we pursue out 2015 FTIP, and 2016 RTP/SCS.

From: Morris, Michael (FHWA)
Sent: Tuesday, July 22, 2014 2:03 PM
To: Hasan Ikhata (IKHRATA@scag.ca.gov); Sharon Neely (neely@scag.ca.gov); 'dchidsey@scag.ca.gov'; 'Garth.Hopkins@dot.ca.gov' (Garth.Hopkins@dot.ca.gov); Erin Thompson (erin.thompson@dot.ca.gov); 'muhaned_aljabiry@dot.ca.gov' (muhaned_aljabiry@dot.ca.gov); Abhijit Bagde (abhijit.bagde@dot.ca.gov); 'OConnor.Karina@epamail.epa.gov' (OConnor.Karina@epamail.epa.gov)
Cc: Matley, Ted (FTA); Sukys, Raymond (FTA); Pihl, Eric (FHWA); Betlyon, Brian (FHWA); Backlund, Richard (FHWA); Hannon, Jermaine (FHWA); Lord, Jack (FHWA); Yokota, Lance (FHWA); Glazer, Jesse (FHWA); Smith, Veneshia (FHWA); Cohen, David (FHWA)
Subject: 2014 SCAG Certification Review Draft Report
Importance: High

Hi All,

First, I'd like to thank you all for your partnership to complete SCAG's 2014 Federal Certification Review desk audit and site visit. Please find attached the resulting draft report. Please review the document and respond with any comments, additions, corrections, etc. by **COB, Tuesday July 29th**. Very soon thereafter, the report will be moved on for finalization.

If you should have any questions, please feel free to contact me. Thanks again!

Regards,

Michael Morris Jr.

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