

October 6-7, 2016  
RTP Guidelines Workgroup Meeting  
Caltrans Basement Boardroom – 1120 N Street Sacramento, CA

The RTP Guidelines Workgroup met in Sacramento on October 6<sup>th</sup> and 7<sup>th</sup> to discuss Chapters 1, 2, 4, and 7 of the RTP Guidelines for MPOs. The meeting was attended by various representatives from Federal, State, and Regional agencies as well as advocacy organizations. A list of in-person attendees is attached. A teleconference and WebEx option was provided for workgroup members to participate remotely. Individuals participating remotely included representatives from the Air Resources Board, regional agencies, the Legislature, and advocacy organizations.

### **Day 1 - October 6<sup>th</sup> Summary**

#### **Performance Measurement Panel**

Day 1 began with a panel discussion of performance measures. A panel comprised of Regional, State, and Federal agency representatives provided an update on the current practice of performance measurement in the regional planning process and an overview of the new federal performance measurement requirements. The performance measures discussion was intended to inform the development of the new Chapter 7 of the RTP Guidelines. First, Ms. Elisa Arias, Project Manager for the San Diego Association of Governments' (SANDAG) RTP, provided a statewide overview of how Metropolitan Planning Organizations (MPOs) utilize performance measures in their current RTPs. A comprehensive overview was provided for the varying terms used amongst practitioners for the different applications of performance management – performance measures, performance monitoring metrics, and performance targets. A summary of how the four largest MPOs used performance management in their respective RTPs was discussed. Ms. Arias also briefed the workgroup on a collaborative effort led by SANDAG (2013 Performance Indicators Report) to identify a common set of standardized transportation indicators for California MPOs and state agencies. Overall, more than 200 performance indicators were collected that were nested within the 7 national performance goal areas. The conclusion was clear, performance management needs to be flexible to suit the diverse characteristics of California, including diverse geography, urban and rural settings, limited data availability across regions, and difficulty with data governance. [Click here](#) for the complete slide presentation.

The second panelist, Mr. Wade Hobbs, Federal Highway Administration (FHWA), California Division, outlined the federal rulemaking process that has followed the most recent federal surface transportation reauthorization legislation, Moving Ahead for Progress in the 21<sup>st</sup> Century (MAP-21) and Fixing America's Surface Transportation (FAST) Acts. There are several federal rules aimed at achieving [7 national performance goals](#) and will provide State Departments of Transportation (DOT), such as Caltrans, and MPOs the regulations necessary to implement the MAP-21/FAST Acts. Overall, the rulemaking and implementation process is taking years longer than originally anticipated. The process for finalizing the rules involves intense coordination between State DOTs, MPOs, and Transit Operators. The FHWA maintains the [schedule for the final rulemaking](#) timeline and the Federal Transit Administration (FTA) also maintains responsibility for other rulemakings that are completed or in process of being developed. Information for FTA rulemakings are available at: <https://www.transit.dot.gov/TAM/rulemaking> and <https://www.transit.dot.gov/regulations-and-guidance/safety/map-21fast-act-safety-related-rulemaking>. [Click here](#) for the complete slide presentation.

The last panelist, Giles Giovinazzi, Caltrans Federal Liaison, wrapped up the discussion with Caltrans efforts to implement the federal performance management measures, starting with the Safety Performance Measure Final Rule. Caltrans will lead similar efforts for other federal rules as they become final. Caltrans is currently in the process of planning stakeholder engagement and working with FHWA on a training workshop for safety performance measure target setting, anticipated in November 2016. Caltrans will begin collaborating with MPOs in October to schedule the FHWA training in November and a workshop in December to kick-off the target setting process, which includes the State targets (possibly due August 2017) and MPO targets (possibly due February 2018). If the process stays on track, it appears that MPOs will be accounting for the safety performance measures in their RTPs after May 27, 2018. More information about Caltrans MAP-21/FAST Act implementation efforts are available at: [http://www.dot.ca.gov/hq/transprog/map21/map21\\_implementation.htm](http://www.dot.ca.gov/hq/transprog/map21/map21_implementation.htm).

### **Discussion of Draft Chapter 7 – Performance Measurement**

After consultation with state agencies, Performance Measurement information was extracted from Chapter 6 into a standalone chapter (Chapter 7) to highlight state goals and new federal requirements. Caltrans staff provided an overview of the changes to Chapter 7 resulting from state agency and advocacy organization comments which are captured in red font.

MPO workgroup members raised concerns with the language at the top of p. 204 which refers to Governor’s Executive Order B-30-15 as a requirement for regional agencies. Some MPOs also raised that they were seeking independent legal counsel on the inclusion of the Governor’s Executive Order B-30-15 as a requirement for regional agencies. California State Transportation Agency (Transportation Agency) representatives disagreed with this interpretation and supported the inclusion of B-30-15 as a requirement and the reference to Government Code 14522.

Feedback from MPO workgroup members emphasized the need to clearly convey federal and state requirements in Chapter 7. It was suggested that Chapter 7 be re-organized to contain separate sections identifying federal requirements, state requirements, and a section describing the state of performance measurement practice. Planning practice examples, resources and data source information will be provided in Appendix M. Based on workgroup direction, Staff will be reorganizing Chapter 7 into the following sections: 7.1 Federal Requirements, 7.2 State Requirements, and 7.3 Performance Measurement Planning Examples. These consensus-based revisions will be circulated to the workgroup for further discussion later in the month of October as needed.

### **Discussion of Draft Chapter 1 – Introduction**

MPO workgroup members raised concerns with the last sentences of the first paragraphs on pages 3 and 4 which refer to Governor’s Executive Order B-30-15 as a requirement for regional agencies. Some MPOs also raised that they were seeking independent legal counsel on the inclusion of the Governor’s Executive Order B-30-15 as a requirement for regional agencies. Transportation Agency representatives disagreed with this interpretation and supported the inclusion of B-30-15 as a requirement and the reference to Government Code 14522.

Practitioners requested that the Introduction clearly define “best practice” and questioned if this was the proper term to use. The workgroup had a robust discussion and agreed that the term “best practice” was not appropriate for the Guidelines as it implied a baseline standard which may not be achievable for

all MPOs given fiscal and technical resource constraints. The term “Planning Practice Example” was agreed upon as an appropriate term and will replace “best practice” throughout the document.

Section 1.2 on p. 7 includes a discussion on RTPs and the California Transportation Plan (CTP). MPO workgroup members requested the fiscally constrained nature of the RTP be identified in the last sentence on p. 7 to clearly convey the difference between the aspirational nature of the CTP and the fiscally constrained RTPs. The workgroup did not object to this request and staff will insert RTP fiscal constraint language.

Minor clarifications were requested by workgroup members to remove outdated language from pages 15-16.

### **Day 2 - October 7<sup>th</sup> Summary**

The workgroup spent the first part of Day 2 recapping the consensus-based edits to Chapters 7 and 1 that were discussed on Day 1. This was done for the benefit of those workgroup members that were unable to attend both days and to clearly capture the consensus of the workgroup on these issues. Where the group was unable to achieve consensus on certain language it was removed or modified.

#### **Draft Chapter 7 Consensus Edits:**

Due to the lack of workgroup consensus on the inclusion of Executive Order B-30-15 as a requirement and the reference to Government Code Section 14522, such references were removed from p. 204.

#### **Draft Chapter 1 Consensus Edits:**

Due to the lack of workgroup consensus on the inclusion of Executive Order B-30-15 as a requirement and the reference to Government Code Section 14522, the following modifications will be made to Chapter 1:

- The last sentence of the first paragraph on p. 3 will be modified to read: “...the RTP ~~must~~ *should* also support state goals for transportation, environmental quality, economic growth, and social equity.”
- The last sentence of the first paragraph on p. 4 will be struck: “~~In select cases, a “shall” or “should” is determined by a combination of general statutory authority of Government Code Section 14522 combined with direction provided to state agencies from Governor’s Executive Orders.~~”

### **Discussion of Draft Chapter 2 – Regional Transportation Plan Process**

Under Section 2.2, p. 26-30 (Background on State Climate Change Legislation and Executive Orders), MPO workgroup members commented that AB 1482, AB 246, SB 350, and SB 379 do not apply to regional agencies or the regional transportation planning process. Practitioners requested that these bills be removed or clearly qualified as state and not regional requirements. The workgroup discussed this request and reached the following consensus:

- Section 2.2 will be organized to reflect AB 32, SB 32, and SB 375 as directly applicable to the regional transportation planning process. AB 1482 and SB 350 will be clearly qualified as state-level policies that MPO’s should consider. SB 379 will be removed as it is specific to only local

governments. SB 379 is mentioned in Chapter 6 in the specific context of Climate Change Adaptation.

- Based on the lack of consensus regarding the applicability of Executive Orders to regional agencies, the workgroup agreed to include a qualifying sentence on p. 29 under Executive Orders on Climate Change Issues which specifying the applicability of the Executive Orders to State Agencies and strike the reference to B-30-15 and Government Code 14522 as requirements for regional agencies at the top of p. 30.

Under Section 2.3 p. 29-32 (Promoting Public Health and Health Equity) the workgroup discussed the need to include some qualifying language in the third paragraph on p. 31 which acknowledges that improving transportation infrastructure is one of several ways to improve physical activity, decrease traffic collisions, and improve one's health, safety, and neighborhood cohesion. Practitioners requested some citations to support this paragraph. Staff will work with advocates to obtain citations.

P. 32 includes three bullets providing examples of how RTP's can integrate public health. MPO workgroup members observed that these were actually examples of considerations for RTP environmental analysis and suggested they be moved to Chapter 5 (Environmental Considerations) and also include reference to ARB's Air Quality and Land Use Planning Handbook. These three bullets could then be replaced with plan level examples from Appendix L. The workgroup agreed and staff will make these edits in consultation with CALCOG and advocates.

Section 2.6 (Consistency with Other Planning Documents) on p. 35, workgroup members requested that Tribal Transportation Plans (if applicable) and Federal Lands Management Plans (if applicable) be added to the list.

Practitioners observed that the Context Sensitive Solutions (CSS) and Planning and Environmental Linkages (PEL) sections on p. 39-41 contain references to project level detail that is not available during the long range planning phase. To improve the usability of these sections, Caltrans Planning, Design, and Environmental staff will develop language to better capture the applicability of CSS and PEL to the regional planning process.

Under Corridor System Management Planning on p. 43, clarifications were requested to remove the bullet which recommends identifying funding by corridor as this is not applicable to the RTP. Additionally, the Federal requirement reference to 23 USC 134 was determined to be a typo and will be removed.

Under Section 2.10 on p. 46 (and Appendix C – RTP Checklist p. 219) workgroup members from advocacy organizations expressed their support for the expansion of the RTP Checklist to include Environmental Justice and Social Equity provisions.

#### **Discussion of Draft Chapter 4 – Consultation and Coordination**

Caltrans staff explained that discussion of Chapter 3 (Regional Travel Demand Modeling) will take place at the October 27<sup>th</sup> workgroup meeting. Discussion then jumped to Chapter 4.

Section 4.1 (Consultation and Coordination) p. 93, MPO workgroup members suggested using the list of entities specified in Gov. Code Section 65080(b)(2)(F) in the first paragraph. The workgroup agreed to this approach, inclusive of public health stakeholder groups.

Section 4.3 (Social Equity Factors) p. 97 under bullet #4, MPO workgroup members requested that the source of funding used by FresnoCOG to award mini-grants be specified as this type of activity is not eligible to be funded with federal formula planning funds and it should be clear what type of funding MPOs can use if they would like to replicate FresnoCOG's efforts in their own regions. Staff will consult with FresnoCOG and include a reference to the funding source used for this effort.

MPO workgroup members expressed concern with local-hire information included on p. 98 as this is a project level consideration that is beyond the scope of the RTP. Staff will coordinate with CALCOG, Policy Link, the Cleaner Freight Coalition, and the Caltrans Division of Local Assistance to discuss how this information could be incorporated into local project development guidance such as the Local Assistance Procedures Manual.

Practitioners requested that Section 4.6 (Consultation with Interested Parties) p. 104 focus on federal requirements for consultation and Section 4.7 (Input & Consultation with Local Elected Officials on SCS Development) be expanded to include state requirements for consultation from SB 375 requirements in Gov. Code 65080(b)(2)(F) inclusive of Public Health representatives. The workgroup agreed to this approach and directed staff to make these changes.

Caltrans Regional Planning suggested specifically defining Transportation Equity in Chapter 4 and also offered to assist with the definition of these types of terms throughout the document.

### **Wrap-Up and Next Steps**

Staff thanked all workgroup participants for their time and input. Staff will prepare summary notes and work on consensus-based edits to Chapters 1, 2, 4, and 7 as directed by the workgroup. Revised Chapters will be circulated to the workgroup for additional review later in the month of October as needed.

Staff reminded workgroup members that written comments on the MPO and RTPA versions of the guidelines are requested on October 14<sup>th</sup>. Please visit Caltrans RTP Guidelines [website](#) for links to the draft guidelines, information on providing comments, and upcoming workgroup meeting information.

The next RTP Guidelines workgroup meeting will be held October 12<sup>th</sup> 9:30am – 4:00pm at the Fresno State Foundation Board Room located at 4910 N. Chestnut Avenue Fresno, CA. The agenda is available [here](#). Call-in and WebEx options are available for workgroup members to participate remotely.

Written comments on the CTP Guidelines are requested on October 14<sup>th</sup>. Please visit Caltrans CTP Guidelines [website](#) for links to the draft CTP Guidelines, information on providing comments and upcoming CTP Guidelines workgroup meeting information. The next CTP Guidelines workgroup meeting will be held October 26<sup>th</sup> in Sacramento.



# Regional Transportation Plan and California Transportation Plan Guidelines Workgroup Meeting Sign-In

Friday October 7, 2016 9:30pm -3:00pm Caltrans Headquarters Basement Board Room 1120 N Street Sacramento, CA

Name	Organization	Email
Heather Adamson	AMBAG	
Tanisha Taylor	Cal COG	
<del>Ed Philpot</del>	<del>Caltrans</del>	
Bill Sadler	SRTSNP	
Erica Rogers Whitcomb	PolicyLink	
Ed Philpot	Caltrans	
Manile Mortensen	Caltrans	
Dylan Stone	MCTC	
Wade Hobbs	FHWA	wade.hobbs@dot.gov
Kim Anderson	SJCOC	
Elisa Anias	SANDAG	

# Performance Measurement Panel

Workgroup Meeting for the  
Regional Transportation Plan Draft Guidelines

October 6, 2016

# Regional Transportation Plans and Performance Measures

- Performance Based Framework
- Overview of MPO Activities
- California's Efforts Toward Common Performance Monitoring Indicators
- Performance Based Planning – Successes Achieved and Challenges

## REGIONAL LEVEL



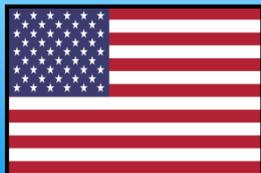
- Regional Transportation Plans
- Sustainable Communities Strategies (SB 375)

## STATE LEVEL



- California Blueprint (SB 391)
- California Transportation Plan 2040
- Regional Transportation Plan (RTP) Guidelines

## FEDERAL LEVEL



- MAP-21/FAST Act performance measures rulemaking process
- Steps toward target-setting coordination

## REGIONAL LEVEL



## MPO

## Performance-Based Planning Activities



- Plan Bay Area adopted July 2013 – 10 performance measures + rigorous project performance analysis
- Plan Bay Area 2040 adoption anticipated 2017– 13 performance targets + expanded project performance analysis evaluating expansion, efficiency, and state of good repair projects consistently across modes
- Vital Signs Initiative: ongoing performance monitoring of 36 indicators via interactive website + Snapshots dashboard tool



- San Diego Forward: The Regional Plan adopted October 2015 – 22 performance measures with enhanced project evaluation process
- 2019 Regional Plan - further streamline performance measures and incorporate MAP-21 metrics; ongoing performance monitoring efforts and reporting



- 2016-2040 RTP/SCS adopted April 2016 – 23 performance measures for RTP/SCS alternatives evaluation. 18 performance metrics for monitoring environmental justice and 27 measures to support on-going monitoring
- Developed online regional performance monitoring tool

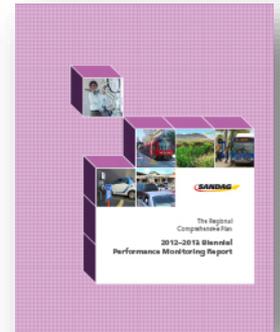


- 2036 MTP/SCS adopted February 2016 – 60 performance measures with emphases on land use, transportation, environment, and equity
- Biannual releases of Performance Monitoring Report

## REGIONAL LEVEL



- **Regional Plan Performance Measures**
- **Regional Comprehensive Plan Performance Monitoring Report:** urban form, transportation, housing, natural habitats, water and air quality, economic prosperity, water supply, energy, and San Diego region-Mexico border transportation
- **State of the Commute:** travel experience throughout the region including: transit ridership, mode choice, and major commute routes from the traveler's perspective including travel time and delay



REGIONAL LEVEL



**ECONOMY**

**ECONOMIC VITALITY**

- Increase access to jobs by all modes
- Preserve the share of jobs in middle-wage industries
- Reduce per-capita delay on freight network

**TRANSPORTATION SYSTEM EFFECTIVENESS**

- Increase non-auto mode share
- Reduce auto maintenance costs
- Reduce transit delay associated with aged infrastructure

**ENVIRONMENT**

**CLIMATE PROTECTION**

- Reduce per-capita greenhouse gas emissions from cars and light-duty trucks

**HEALTHY AND SAFE COMMUNITIES**

- Reduce adverse health impacts

**OPEN SPACE AND AGRICULTURAL PRESERVATION**

- Direct all non-agricultural development within the urban footprint

**EQUITY**

**ADEQUATE HOUSING**

- House all of the region's projected housing growth

**EQUITABLE ACCESS**

- Decrease housing + transport costs for lower-income households
- Increase share of affordable housing
- Do not increase the risk of displacement

**Goals and Targets**

STATE LEVEL



# 2013 Statewide Effort

## Indicators: Purpose and Framework

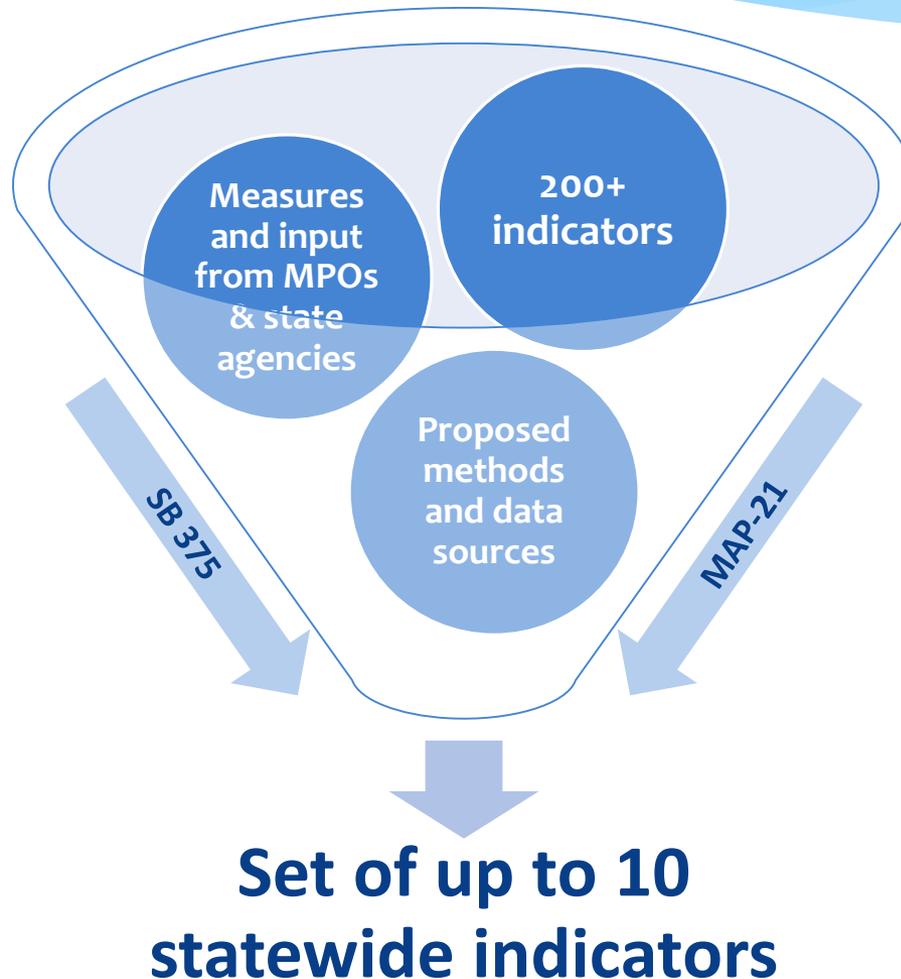
- Purpose: **to identify a common set of standardized transportation indicators** for California MPOs and state agencies (effort led by SANDAG and funded by California Strategic Growth Council)
- **Address issues of importance across the state**, going beyond the requirements in MAP-21 and dealing with key sustainability issues
- **Focus on observed indicators** (rather than modeled measures)
- **Rely upon consistent statewide data sources** (when available) and identify clear methodologies for each indicator

## STATE LEVEL



# Indicators: Selection Process

- Total and congested VMT per capita
- Commute mode share
- State of good repair
- Highway buffer index
- Fatalities/serious injuries per capita and per VMT



- Transit accessibility
- Travel time to jobs
- Change in agricultural land
- CO<sub>2</sub> emissions per capita



# Indicators: Future Measures

*pending data source availability*

Category	Future Statewide MPO Indicators
<b>Congestion Reduction</b>	<ul style="list-style-type: none"> <li>• Congested arterial VMT per capita</li> <li>• Bike miles traveled and walk miles traveled</li> <li>• Non-commute mode share</li> </ul>
<b>System Reliability</b>	<ul style="list-style-type: none"> <li>• Transit/rail travel time reliability</li> </ul>
<b>Economic Vitality</b>	<ul style="list-style-type: none"> <li>• Residential and employment densities for new growth</li> <li>• Housing/transportation affordability index</li> </ul>



# Successes Achieved

- Close coordination and collaboration among State agencies and MPOs on regional GHG target setting
- Coordination with U.S. DOT and Caltrans on MAP-21/FAST Act Performance-Based Planning rulemaking and target setting

# Challenges to Date

- A diverse state: highly urbanized, small urban and rural areas
- Limited data availability for various modes
- Data governance

# Transportation Performance Management under MAP-21 and the FAST Act

Wade Hobbs  
Planning and Air Quality  
FHWA California Division  
October 6, 2016

# Transportation Performance Goals

## Federal-aid Highways

23 U.S.C. 150(b)

1. Safety
2. Infrastructure Condition
3. Congestion Reduction
4. System Reliability
5. Freight Movement and Economic Vitality
6. Environmental Sustainability
7. Reduced Project Delays

# Transportation Performance Goals

## Federal Transit Assistance

### 49 U.S.C. 5301

1. Provide funding to support public transportation
2. Improve the development and delivery of capital projects
3. Establish standards for the state of good repair
4. Promote 3C planning that improves the performance of the transportation network
5. Establish a technical assistance program for recipients
6. Continue Federal support for public transit providers to deliver high quality service to all users
7. Support research, development, demonstration, and deployment projects dedicated to assisting in the delivery of efficient and effective public transportation service; and
8. Promote the development of the public transportation workforce

# U.S. DOT Rulemaking

## Transportation Performance Management

### **Joint FTA/FHWA**

- Transportation Planning, MPO Coordination and Planning Area Reform.

### **FTA**

- Transit Asset Management (TAM) Plans and State of Good Repair (SGR) Performance Measures.
- Safety Plans and Performance Measures

### **FHWA**

- Safety Performance Measures & HSIP
- Pavement and Bridge Performance Measures
- System Performance Measures (NHS, Interstate freight and CMAQ)

# Status of Federal Rulemaking

## Transportation Performance Management

### Final Rules

- Safety Performance Measure [81 FR 13881]
- HSIP [81 FR 13722]
- Transportation Planning [81 FR 34049]
- Transit Asset Management [81 FR 48890]

### Proposed Rules

- Pavement & Bridge Performance Measures [80 FR 325]
- Highway Asset Management Plan [80 FR 9231]
- NHS System Performance, Freight and CMAQ Performance Measures [81 FR 23805]

# Status of Federal Rulemaking

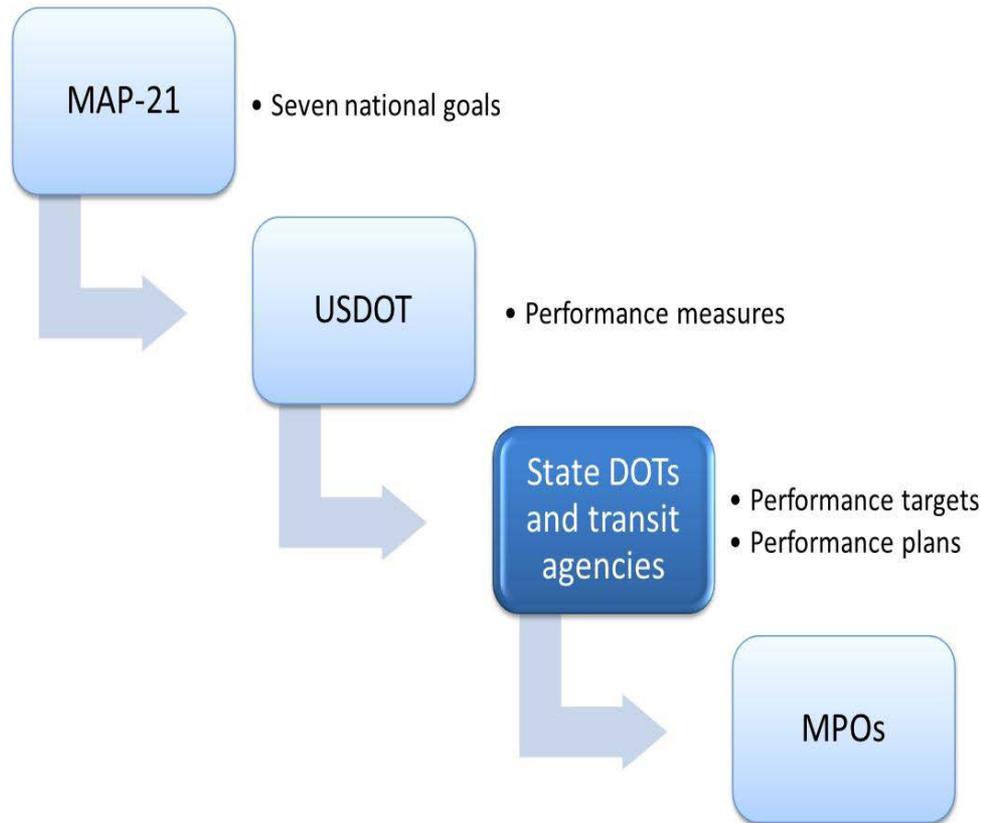
## Transportation Performance Management

### Proposed Rules

(Continued)

- Public Transportation Safety Program [80 FR 48794]
- National Public Transportation Safety Plan [81 FR 6372]
- Public Transportation Agency Safety Plan [81 FR 6343]
- MPO Coordination and Planning Area Reform [81 FR 41473]

# State DOT and Transit Agency Performance Targets



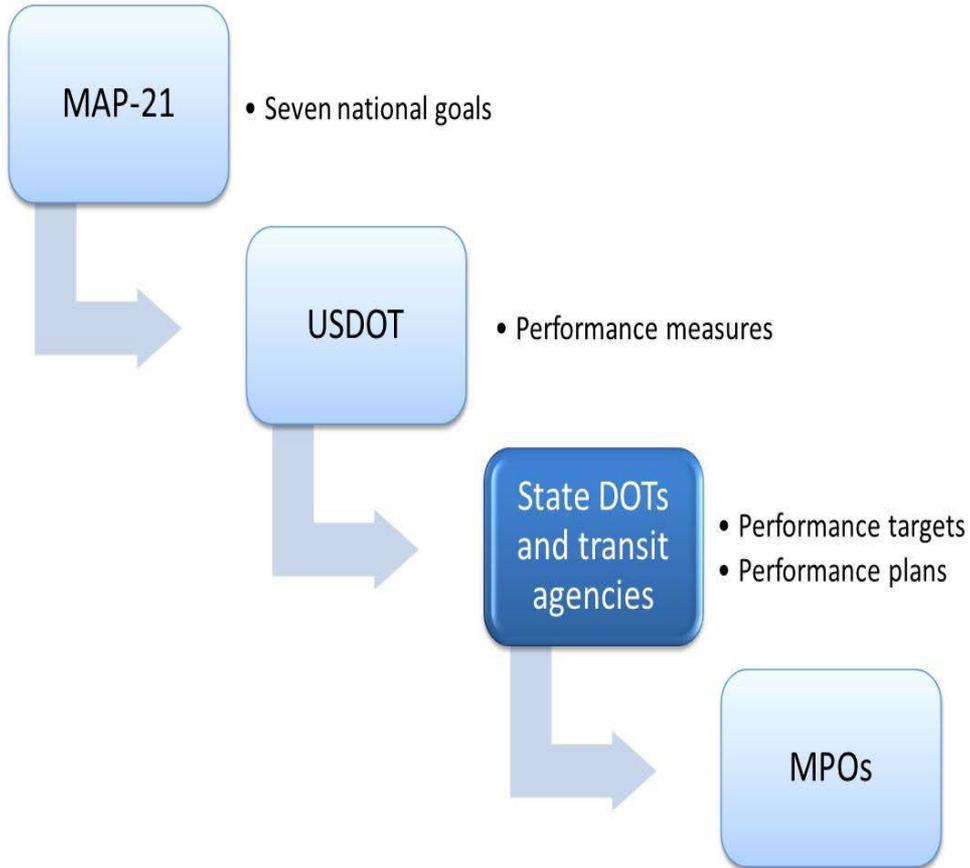
## Transit Agencies:

- Establish State of Good Repair SGR performance targets not later than **3 months** after TAM Rule
- Establish Safety performance targets **1 year** after the Agency Safety Plan Final Rule

## State DOTs:

- Establish performance targets not later than **1 year** after 150(c) measures established

# State DOT and Transit Agency Performance Plans



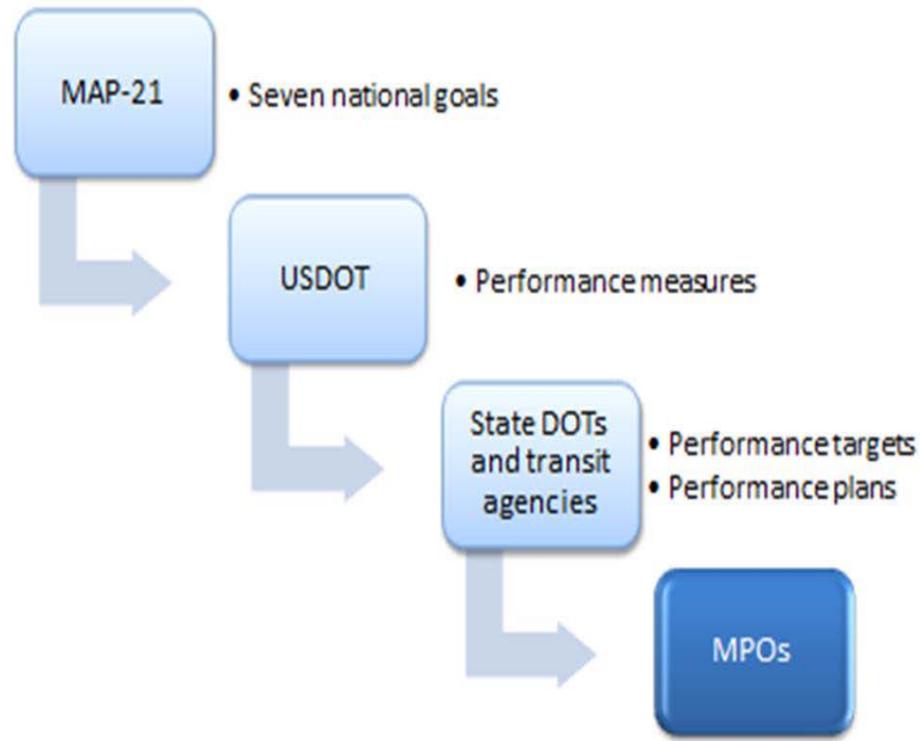
## FTA Grantees

- Transit Asset Management (TAM) Plan
- Public Transportation Agency Safety Plan

## FHWA Grantees

- State Highway Safety Improvement Plan
- State NHS Asset Management Plan
- Congestion Management Plan (TMA > 1 million)
- State Freight Plan (optional)

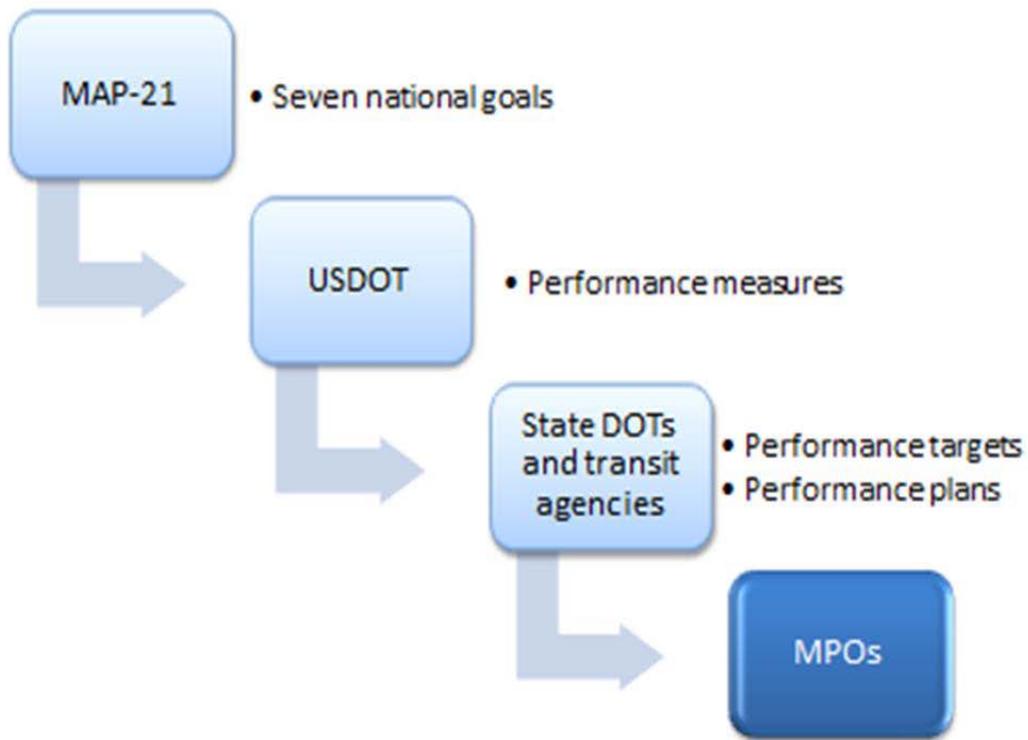
# Metropolitan Planning Organization (MPO) Performance Targets



MPO's will establish Performance targets within **180 days** after State and public transportation providers establish performance targets

- In coordination with providers of public transportation to select SGR and safety targets
- In coordination with State to select 150(c) targets

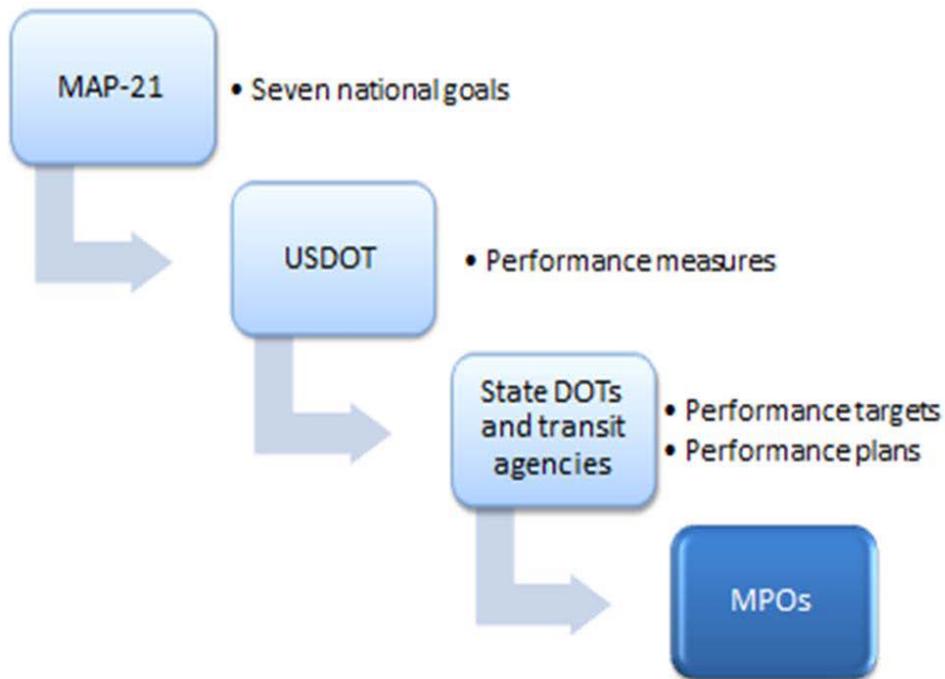
# MPO Integration of State DOT and Transit Agency Performance Management Plans



**MPOs** integrate the State DOT and Transit Agencies Performance Plans: goals, objectives, performance measures and performance targets, into the metropolitan transportation planning processes and products.

# Metropolitan Planning Organization (MPO)

## Performance Management in Plans and Programs



### Transportation Plans:

- Include Performance Measures and Respective Targets
- Includes a **System Performance Report** describing the progress achieved in meeting performance targets

### Transportation Improvement Programs

- Make progress toward achieving performance targets
- Links investment priorities to performance targets

# FAST Act Changes to MAP-21 Performance Management Provision

With the following exceptions, *the FAST Act makes no changes to the performance management provisions established by MAP-21:*

- Freight Performance Reporting
- Performance Period Adjustment
- Interstate Pavement Conditions Penalty Criteria

For More Information Visit the Federal Highway Administration  
Transportation Performance Management Website at:

[www.fhwa.dot.gov/TPM/](http://www.fhwa.dot.gov/TPM/)