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of Transportation
**Federal Highway
Administration**

California Division

May 31, 2016

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In Reply Refer To:
HDA-CA

Mr. Steve Heminger
Executive Director
Metropolitan Transportation Commission
Bay Area Metro Center
375 Beale Street, Suite 800
San Francisco, CA 94105-2066

SUBJECT: Metropolitan Planning Commission (MTC) Transportation Planning
Certification Review Report

Dear Mr. Heminger

The Federal Highway Administration (FHWA) and the Federal Transit Administration (FTA) are pleased to transmit the final report for the certification review of the metropolitan transportation planning process for San Francisco Bay Area Transportation Management Area as carried out by the Metropolitan Transportation Commission (MTC).

The result of the certification review is that the FHWA and the FTA jointly certify that the transportation planning process meets the requirements of 23 CFR 450 and 49 CFR 613. This certification is valid for four years from the May 31, 2016 date on this letter.

Again, thank you and your staff for the time and assistance provided during the certification review process. If you have any questions or need further information, please contact Stew Sonnenberg of the FHWA at (916) 498-5889 or Ted Matley of the FTA at (415) 734-9468.

Sincerely,

Leslie T. Rogers
Regional Administrator
Federal Transit Administration

For
Vincent P. Mammano
Division Administrator
Federal Highway Administration

Metropolitan Transportation Commission

**Joint Certification Review of the San Francisco Bay Area
Metropolitan Transportation Planning Process**

Final Report

May 2016



Prepared by:

**The Federal Highway Administration
California Division,**

**and Federal Transit Administration
Region IX**

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1. Preface

Pursuant to 23 U.S.C. 134(k)(5) and 49 U.S.C. 5305(e), the Federal Highway Administration (FHWA) and the Federal Transit Administration (FTA) must jointly certify the metropolitan transportation planning processes in Transportation Management Areas (TMA) at least every four years. A TMA is an urbanized area, as defined by the U. S. Census, with a population of over 200,000. This requirement began with the landmark Intermodal Surface Transportation Efficiency Act of 1991 and continues today with the Fixing America's Surface Transportation (FAST) Act of 2015. This transportation planning certification review process looks beyond self-certification and is not only a review of the MPO and its staff but also includes all agencies responsible for cooperatively carrying out the transportation planning process on a daily basis.

The transportation planning certification review process includes:

- a desk review of current information on the transportation planning processes, activities, and major planning products;
- a site visit by a Federal review team that includes opportunities for public involvement within the metropolitan planning area under review; and

- o the preparation and distribution of a Final Report, which summarizes the findings and recommendations of the review team regarding the transportation planning as currently practiced in the TMA region.

The review focuses on compliance with federal regulations, challenges, successes, and experiences of the cooperative relationship between the MPO, State Department of Transportation (DOT) and transit operator in the conduct of the metropolitan planning process. Joint FTA/FHWA certification review guidelines provide agency field reviewers with latitude and flexibility to tailor the review to reflect local issues and needs. As a consequence, the scope and depth of each certification review varies.

The certification review process is one of many activities used to assess the quality of a local metropolitan planning process, compliance with applicable statutes and regulations, and the level and type of technical assistance needed to enhance the effectiveness of the planning process. Other activities provide opportunities for this type of review include Unified Planning Work Program approval, Transportation Improvement Program (TIP), air quality conformity determinations, as well as a range of other formal and less formal activities provide both FHWA/FTA an opportunity to comment on the planning process. The results of these other processes are considered in the certification review process.

As a result of this review, FHWA and FTA may take one of three actions as appropriate:

1. Jointly certify the transportation planning process; or
2. Jointly certify the transportation planning process subject to certain specified corrective actions being taken; or
3. Jointly certify the transportation planning process as the basis for approval of only those categories of programs or projects that the FHWA and FTA jointly determine, subject to certain specified corrective actions being taken.

2. Executive Summary

It is the conclusion of the federal review team that the Metropolitan Transportation Commission (MTC) TMA has made satisfactory progress in implementing the federal planning requirements in 23 U.S.C. 134(k)(5) and 49 U.S.C. 1607. Based on the findings of this review and the ongoing federal oversight of the planning activities in the MTC TMA, FTA and FHWA jointly certify the transportation planning process of the San Francisco Bay Area region. We commend MTC on 2-activities and offer the following 7-recommendations to enhance the planning process in this region:

Commendable Practices

- 1. Regional Transportation Plan (RTP) Update - Plan Bay Area**

Commendation #1

MTC is commended for their Evaluation of the Plan Bay Area Public Outreach and Participation Program prepared by MIG, December 2013. The experience gained from the current Plan Bay Area outreach effort and documented in the evaluation should prove useful in guiding future RTP public involvement efforts.

2. Agreements & Coordination

Commendation #2

MTC is commended for developing the agreement with SACOG and SJCOG that creates regular communication and coordination on issues relevant to the mega-region composing the three MPO's. This agreement is supportive of U.S. DOT's initiative to create regional cooperation across jurisdictional boundaries.

Recommendations for Improvement

1. Air Quality Travel Demand Modeling

Recommendation #1

It is recommended that MTC assess predictive abilities for operational and pricing strategies. The enhanced network resolution and adoption of class specific sensitivity to times and costs may support the evaluation of strategies identified in - and create a stronger connection with - the congestion management process.

Recommendation #2

It is recommended that MTC leverage Strategic Highway Research Program on Freight Modeling Improvements. The second Strategic Highway Research Program's (SHRP2) Freight Demand Modeling and Data Improvement Strategic Plan (C20) provides a framework for continuous improvement and innovative breakthroughs in freight transportation forecasting, planning, and data. To realize these goals, a series of activities that include national-level program initiatives and the SHRP2 Implementation Assistance Program (IAP) are underway. Key products will include case study reports and a modeling hand book covering lessons learned, applicability, and strengths and weaknesses of each project implemented. MTC and their consultants are encouraged to access these reports once completed (late 2016).

2. TIP/ Financial Plan/ Project Cost:

Recommendation #3

The certification team recommends improvement in the area of project cost estimation and clear identification of complete funding sources for major projects in the RTP. The use of an illustrative project list in the RTP should be

strongly considered as a means of identifying projects proposals that have been identified as regional investment needs but require additional funding. Projects with partial funding would be placed in this illustrative list to clearly identify funding shortfalls and their status in the RTP. This could help to alleviate confusion on whether a particular project is fully-funded. It is also recommended that project descriptions with amounts and year of allocations be used in identifying project funding plans.

3. Safety

Recommendation #4

It is recommended that MTC review the 15-Challenge Areas with strategies and specific actions to see which ones may be a priority for their region. It is suggested MTC contact Gretchen Chavez (gretchen.chavez@dot.ca.gov), Caltrans SHSP Coordinator or Ken Kochevar (ken.kochevar@dot.gov), FHWA Safety Program Manager for more information.

4. Congestion Management Process (CMP)

Recommendation #5

It is recommended that MTC ensure that the CMP is undertaken according to federal requirements for the entire region, regardless whether or not counties are Congestion Management Agencies per state law.

Recommendation #6: It is recommended that MTC ensure that the activities for the CMP are sufficiently organized within the agency so that fragmentation of data acquisition, analysis, and reporting is minimized.

Recommendation #7: It is recommended that MTC ensure that any projects or programs resulting in expansion of facilities that serve SOVs are sufficiently analyzed and reported through the Congestion Management Process.

3. Introduction

This report documents the FHWA and FTA's 2012 transportation planning certification review of the San Francisco region's metropolitan transportation planning process as carried out by the MTC, the area's metropolitan planning organization (MPO), and is structured with the information as follows:

- Review Process Summary
- Overview of the MPO
- Review Discussion & Findings
- Conclusion and the Federal Action

4. Review Process Summary

4.1 Desk Review

Prior to the site visit, the MTC provided a list of transportation planning documents pertaining to the review. The Federal review team conducted a review of these files and documentation as well as the findings and recommendations from the previous 2012 Certification Review. FHWA and FTA staff also discussed current issues and concerns related to the review.

4.2 Site Visit

The site visit portion of the review took place on February 2-3, 2016 at the MTC office located at 101 Eighth Street, Oakland, CA. The Federal Review Team consisted of the following individuals:

Federal Highway Administration

Scott Carson, Transportation Planner, FHWA California Division
Jack Lord, Planning & Air Quality Team Leader, FHWA California Division
Eric Pihl, Modeling Technical Specialist, FHWA Resource Center
Stew Sonnenberg, Air Quality Specialist, FHWA California Division (FHWA Lead)
Lance Yokota, Civil Rights Program Manager, FHWA California Division

Federal Transit Administration

Ted Matley, Community Planner, FTA Region IX (FTA Lead)
Ray Sukys, FTA Region IX

MTC's Alix Bockelman, Deputy Executive Director, Policy and Ken Kirkey, Planning Director, were present during all the site visit discussions. A complete list of individual participants is included in Appendix A.

The topics listed below were discussed during the site visit:

- Follow-up on the previous 2012 Planning Certification Review Findings
- Planning Agreements, Contracts, and Coordination Elements
- Organizational Structure and Administration
- Regional Transportation Plan (RTP) Process and Development
- Financial Planning and Fiscal Constraint
- Transit Project Costs
- Public Involvement
- Title VI/ Environmental Justice
- Freight and Goods Movement
- Overall Work Program
- Travel Demand Modeling/Forecasting
- Air Quality Conformity
- TIP Process and Development
- Congestion Management Process(CMP)

In addition to the above discussion topics, the Review Team conducted a Public Listening Session on the evening of February 2, 2016.

4.3 Public Listening Session

The Federal Review Team conducted a public listening session on Tuesday, February 2, 2016 at the MTC Dahms Auditorium. The listening session began at 5:30pm and concluded around 8:00pm. Denise Rodrigues from MTC attended the entire listening session.

MTC provided a public notice for the listening session on their website, in the local newspapers, and postcard mailers. The listening session provided the public an opportunity to provide oral and/or written comments to the review team. A summary of the public comments received from the listening session is summarized below.

Public Listening Session Summary

Approximately 30-individuals attended the Listening Session with about a dozen providing verbal comments. Several written comments were also submitted.

Some of the comments that were voiced expressed concerns such as:

- the lack of cohesion with MTC, that the agency is too large, and that MTC no longer is an advocate for Regional Planning;
- not enough funds being spent on transit;
- passenger rail should be grade-separated;
- MTC should not be involved with housing and land use decisions;
- MTC does not provide the public with transportation data;
- senior citizens are not being addressed in the transportation planning process;
- conducting a Federal Audit of MTC.

Comments were also made that MTC has done an excellent job of supporting transit agencies in the region and has a supportive working relationship with the member agencies. Agencies also noted the support MTC staff provides in advancing high priority regional projects.

Concerns were expressed that MTC did not make a priority of services necessary to help transit dependant populations, and that MTC did not adequately include participation from low income and other groups on MTC Committees created to provide input into the transportation planning process.

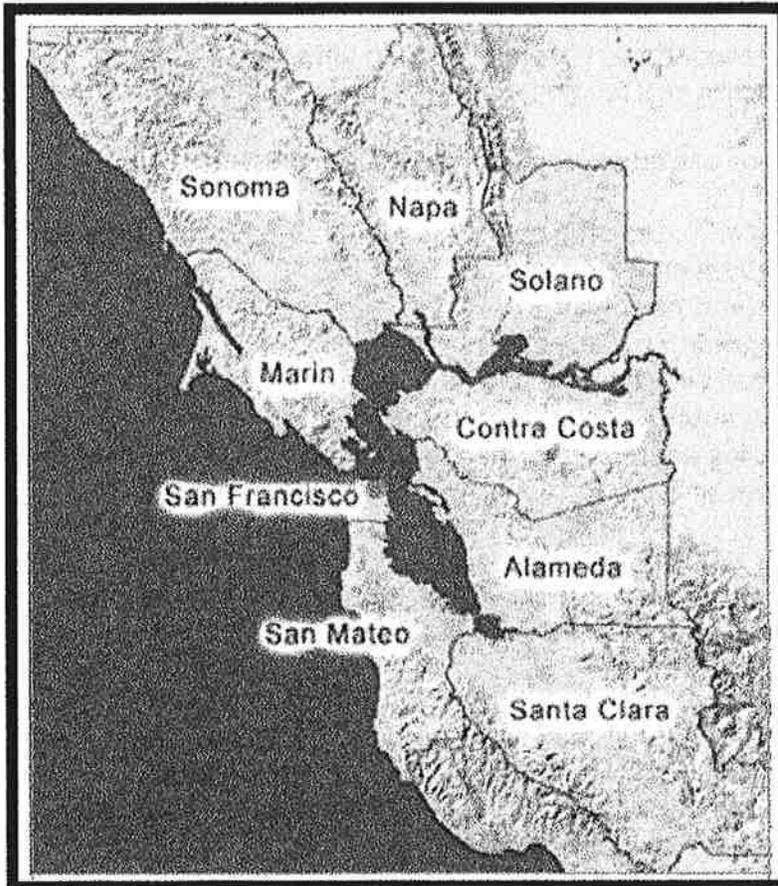
Commenter's suggested that the MTC Board was isolated from or ignored public comments, lacked any accountability to the public, and supported projects despite public concerns and evidence against the value of the projects. It was also suggested

that MTC failed to conduct a true regional planning process and that the MTC only supported the agendas of individual member agencies.

It should be noted that MTC collaborates with the Bay Area Partnership to improve the overall efficiency and operation of the region's transportation network, including developing strategies for financing and transportation improvements. Furthermore, MTC staff works with a citizen-based Policy Advisory Council on key planning and policy issues for purposes of informing Commission discussions and decisions. Public outreach and involvement activities are ongoing as part of these planning efforts.

5. Overview of the MPO

MTC is the transportation planning, coordinating and financing agency for the nine-county San Francisco Bay Area. Created by the state legislature in 1970 (California Government Code § 66500 et seq.), MTC functions as both the regional transportation planning agency—a state designation—and for federal purposes, as the region's MPO.



The Commission's work is guided by a 21-member policy board (see Appendix B for the list of Board members). Fourteen commissioners are appointed directly by local

elected officials (each of the five most populous counties has two representatives, with the board of supervisors selecting one representative, and the mayors of the cities within that county appointing another; the four remaining counties appoint one commissioner to represent both the cities and the board of supervisors). In addition, two members represent regional agencies – the Association of Bay Area Governments and the Bay Conservation and Development Commission. Finally, three nonvoting members have been appointed to represent federal and state transportation agencies and the federal housing department. Carrying out the Commission’s directives is a staff of some 130 persons headquartered at the Joseph P. Bort MetroCenter in Oakland, CA.

MTC serves a region with eight primary public transit systems, as well as numerous other local transit operators, which together carry about 500 million passengers per year. In addition, there are numerous specialized services for elderly and disabled travelers, some 20,000 miles of local streets and roads, 1,400 miles of highways, six public ports and three commercial airports. The region covers nine counties that include 101 cities. Over 7 million people reside within its 7,000 square miles.

6. Review Discussions & Findings

The Site Visit and Certification Review topics of discussion generally followed the agenda (Attachment C). In general, agenda topics were introduced by MTC staff as a way of kicking off discussions which followed by a series of observations/ questions from the Federal Review Team. The review team’s evaluation of the responses to these discussions, review of the pertinent documents, and the Federal Team’s prior knowledge of the region, formed the basis for the discussions held during the site visit.

6.1 Resolution of the 2012 Certification Review Recommendations

On site review discussions began with the 2012 Certification Review actions. While no corrective actions were identified at that time, six recommendations were provided by the review team.

2012 Recommendation #1 - It is recommended that MTC use the experience gained from this current RTP outreach effort to develop a “lessons learned” document that can be used to guide future RTP public involvement efforts.

2016 Response - MTC completed an *Evaluation of the Plan Bay Area Public Outreach and Participation Program* prepared by MIG in December 2013.

2012 Recommendation #2 - It is recommended that MTC pursue evaluations of model performance, where observed data may be available through retrospective and ‘before and after studies’ as those opportunities may arise.

2016 Response - MTC had 3-4 major efforts in this area. They agreed to maintain base years every 5-years. Retrospective analysis looked at the model in 2005, 2010. A big

change in the model is a new representation of supply. The current model system has 1400 zones. The new model will have 30,000 zones.

2012 Recommendation #3 - It is recommended that MTC further pursue implementation of Urbansim as a means of informing future year allocations of socioeconomic data for long-range planning activities.

2016 Response - MTC has made a significant investment in Urbansim since 2012. There is now a land-use modeling team that supports ABAG and Urbansim is currently being used for the RTP 2017 development. Urbansim is also being used for scenario planning. There is now a capability to compare model forecast with zoning capacity.

2012 Recommendation #4 - It is recommended that MTC evaluate the treatment of times and costs for vehicle classes (in assignment) for current or anticipated model updates.

2016 Response - MTC is adding more passenger vehicle classes to get the assignments correct. They are also identifying strategies for path choice and are looking at patch choice strategies on the transit side.

2012 Recommendation #5 - It is recommended that MTC explore the potential usefulness of the PECAS model as a source for insight about goods movement into and out of the modeling region. This will also serve as a foundation for producing economic flows that can be used to inform the regional freight truck models and to help describe future year economic and goods movement flows into and out of the modeling region.

2016 Response - The state has abandoned PECAS. As a next step MTC has issued an RFP to examine freight modeling practices. A consultant is conducting a survey of 'best practices' and will identify next steps for improving the region's freight modeling capabilities.

2012 Recommendation #6 - It is recommended that MTC incorporate all implemented Actions from the 17-Challenge Areas that are applicable into Plan Bay Area, MTC's Regional Transportation Plan.

2016 Response - This recommendation will be carried over as a revised Recommendation to the 2016 Review for 2-reasons: MTC needs more time to resolve this item and has requested clarification; and currently Caltrans has developed a new Updated SHSP that includes a draft Implementation plan and 15-Challenge Areas with strategies and specific actions.

2012 Recommendation #7 - It is recommended that MTC complete a major revision of its CMP documentation.

2016 Response - This recommendation has been substantially resolved although a recommendation on CMP will be carried over into the 2016 Review Report.

6.2 2016 Review Findings, Commendations, & Recommendations

1. **Regional Transportation Plan (RTP) Update - Plan Bay Area:** Adopted in 2013, Plan Bay Area is MTC's first Regional Transportation Plan (RTP) to incorporate a state-mandated Sustainable Communities Strategy. The RTP sets forth a regional policy and investment framework to maintain, manage and strategically expand the Bay Area's State highways, streets and roads, and transit systems. Over the years, the scope of the RTP has broadened beyond addressing the region's mobility and surface transportation infrastructure needs to include innovative ways to integrate transportation and land use, improve air quality, and address social equity and climate change. The RTP planning process has greatly expanded to include intensive interagency collaboration and public outreach and involvement. The MTC's current RTP/SCS - Plan Bay Area - integrates transportation, housing and land use as a way to reduce greenhouse gas emissions, provide for a strong regional economy and improve regional resiliency.

The Commission continues to embrace a performance-based approach to its long-range transportation planning and programming activities to focus on measureable outcomes of potential investments and the degree to which these investments support stated policies. The use of performance measures is not new to MTC. SB 1492 requires the Commission to establish performance measurement criteria on both a project and corridor level to evaluate and prioritize all new investments for consideration in the Regional Transportation Program. MTC has conducted performance assessments for the previous 3-RTP's. Adopted performance targets for Plan Bay Area (RTP/ SCS) include:

- Climate Protection
- Adequate Housing
- Healthy and Safe Communities
- Reduce the number of injuries and fatalities from all collisions
- Increase the average time walking or biking per person per day
- Open Space and Agricultural Preservation
- Equitable Access
- Economic Vitality
- Transportation System Effectiveness
- Maintain the transportation system in a state of good repair

The next RTP/SCS, Plan Bay Area 2017 is currently under development. Plan Bay Area addresses federal planning requirements as set forth in SAFETEA-LU and MAP-21. In the Bay Area, MTC works in partnership with ABAG as well as the Congestion Management Agency's, Caltrans District 4, BAAQMD, BCDC, transit agencies and local jurisdictions to update the plan. Plan Bay Area 2017, is being advanced as a focused update of the current Plan, with limited revisions to the existing plan and a strategic focus on a few emerging areas including Climate Adaptation, Evolving Transportation Technologies and Transit Capacity. Plan Bay Area 2017 is expected to be adopted in spring 2017.

Commendation #1: MTC is commended for their *Evaluation of the Plan Bay Area Public Outreach and Participation Program* prepared by MIG, December 2013. The experience gained from the current Plan Bay Area outreach effort and documented in the evaluation should prove useful in guiding future RTP public involvement efforts.

- 2. Agreements & Coordination:** Regional planning in the nine-county San Francisco Bay Area is conducted by the Association of Bay Area Governments (ABAG), the Bay Area Air Quality Management District (BAAQMD), the Regional Water Quality Control Board (RWQCB), the Bay Conservation and Development Commission (BCDC), Caltrans, and MTC. Each agency performs specific planning functions that are coordinated by a series of institutional arrangements and cooperative agreements. ABAG is the comprehensive planning agency for the region, and has negotiated agreements with most of the functional agencies to promote coordination and consistency of the planning process, to avoid duplication of efforts, and to ensure that all decision-making at the regional level is consistent with ABAG's overall goals and policy framework for the Bay Area.

MTC joined with neighboring Metropolitan Planning Organizations (MPOs) the Sacramento Area Council of Governments (SACOG) and the San Joaquin Council of Governments (SJCOG) to discuss issues that are common to the three regions encompassed in the Northern California "Mega-Region." These issues include Goods Movement, Jobs/Housing Imbalances, Regional Passenger Rail Initiatives, a northern California Economic Development Study and each of the region's Regional Transportation Plans/Sustainable Communities Strategies (RTP/SCS). The discussion resulted in an agreement that each MPO would appoint two to four elected officials to an advisory council referred to as the Mega-Region Working Group.

This effort was originally suggested through discussions amongst the executive directors of the three MPOs. The three agencies have had a good working relationship throughout the years but the combined efforts have rarely risen to policy-level decision making. The agreement sets for that the advisory council will meet three times annually to identify issues of common interest and recommend joint activities, to coordinate RTP issues of mutual interest, and to participate in joint data gathering and analysis.

Commendation #2: MTC is commended for developing the agreement with SACOG and SJCOG that creates regular communication and coordination on issues relevant to the mega-region composing the three MPO's. This initiative is supportive of U.S. DOT's initiative to create regional cooperation across jurisdictional boundaries.

- 3. Overall Work Program (OWP):** MTC has embraced the Revised OWP Process beginning with the Fiscal Year 14/15 OWP. The revised process consists of conducting the annual MPO meetings several months earlier. Now MTC generally conducts their Annual Meetings in December/ January rather than March/ April.

By holding the annual MPO meetings earlier allows for enhanced discussion on the draft OWP while it is in a preliminary stage, rather than a final draft stage. Conducting earlier annual meetings also provides more time for interagency coordination.

The planning program funds that MAP-21 provides to MTC are used for developing the long-range transportation plan, which integrates our overall transportation planning activities, including airport/seaport, intermodal facilities, transit, bicycle/pedestrian and corridor planning activities.

The work elements included in the OWP have been developed in additional detail as was previously requested by Caltrans and FHWA staff through past State Audits and Federal Planning Certifications. The work elements described in this OWP update have been expanded to provide more detail on program descriptions, objectives, planning factors addressed, key products and key implementation milestones.

- 4. Air Quality Travel Demand Modeling:** MTC has pursued significant model enhancement efforts that directly respond to recommendations from the prior review. MTC's technical process was revised to formalize updates to the model base year in five year intervals. This will ensure that modeling information will be reasonably current and applicable for project and systems level planning activities. Model updates will also be checked against past data, spanning fifteen years of observed data, to gain further insight on how well the models predict system conditions, and changes, over time. The most recent model validation effort revealed that the models met observed targets over the previous decade (2000, 2005, and 2010).

Household data from a 2013 survey and cooperative on-board survey are being used for a major model recalibration effort. The activity based model from San Diego will replace the current demand models. On the supply side, the number of traffic analysis zones and network links will increase dramatically (30,000 zones and over 3 million links), an entirely new representation of supply. Any re-estimation efforts will be determined after the models are in place. The updated model will incrementally improve on the existing model, with an improved traffic assignment method that may eventually be replaced by a 'dynamic' assignment method. For transit, MTC is leading an effort to implement a dynamic transit routing capability (under the Strategic Highway Research Program), with the potential to be implemented into the modeling procedures after the current updates are completed (2017 and beyond).

MTC has also made a considerable progress in the deployment of a land-use forecasting and allocation model, called Urbansim. A land-use modeling team was created that supports ABAG and MTC. Urbansim has been used judiciously applied to inform the 2017 plan and has proved to be useful for forecasting the

implications of zoning capacity, land-use, and transportation policies. For example, Urbansim has been used to “up-zoning” interventions around stations.

A recommendation from the previous review (Recommendation 4 - 2012) focused on the reflection of times and costs for analysis of pricing strategies. The mode choice capability includes a toll vs. non-toll “choice” to reflect user sensitivity to times and costs; the updated model will add class-specific values-of-time to better reflect traveler sensitivity to time and cost trade-offs at the path decision level.

MTC has issued an RFP to examine freight modeling practices to help inform further enhancements to freight modeling capabilities. The state has abandoned the use of the PECAS economic model for commodity level forecasting, necessitating the exploration of alternative freight forecasting methods. Other initiatives include the development of a “state of the good repair” capability to explore tradeoffs between capacity and O&M investments; for example, the implications of investing in pavements vs. new buses.

MTC is currently undergoing a significant update to the regional travel model, including new demand models and enhanced highway networks, will further improve on the advanced modeling procedures currently in place. Considerable attention to how well the model predicts outcomes in prior years (via ‘back-casting’) further ensures the application readiness of the travel models. MTC’s applied research on the role of reliability in transit choice may also prove useful as a tool to inform transit investment decisions. The successful implementation of an advanced land-use model has afforded the region enhanced capabilities for evaluating land use and transportation policies.

Recommendation #1: It is recommended that MTC assess predictive abilities for operational and pricing strategies. The enhanced network resolution and adoption of class specific sensitivity to times and costs may support the evaluation of strategies identified in - and create a stronger connection with - the congestion management process.

Recommendation #2: It is recommended that MTC leverage Strategic Highway Research Program on Freight Modeling Improvements. The second Strategic Highway Research Program’s (SHRP2) Freight Demand Modeling and Data Improvement Strategic Plan (C20) provides a framework for continuous improvement and innovative breakthroughs in freight transportation forecasting, planning, and data. To realize these goals, a series of activities that include national-level program initiatives and the SHRP2 Implementation Assistance Program (IAP) are underway. Key products will include case study reports and a modeling hand book covering lessons learned, applicability, and strengths and weaknesses of each project implemented. MTC and their consultants are encouraged to access these reports once completed (late 2016).

- 5. TIP/ Financial Plan/ Project Cost:** The MTC Region is a complex urban area populated by numerous local governments, transportation agencies, and transit providers. MTC works to integrate the agency project proposals into the Regional Transportation Plan and to build consensus on the regions investment priorities. On occasion, project sponsors have sought to promote projects that are not completely funded in the regional transportation plan. Further, MTC faces the challenge of establishing cost estimates for project at the time of inclusion in the Regional Transportation Plan. The result is that the costs of some major transit projects have been consistently underestimated and funding plans have been unclear. For example, the two largest FTA Capital Investment Grant projects have been MTC priorities for over a decade and complete funding has not been identified. Also, MTC's methodology of including projects that lack complete funding into the constrained RTP as a phase needs improvement to avoid confusion among the public and local elected officials.

Recommendation #3: The certification team recommends improvement in the area of project cost estimation and clear identification of complete funding sources for major projects in the RTP. The use of an illustrative project list in the RTP should be strongly considered as a means of identifying projects proposals that have been identified as regional investment needs but require additional funding. Projects with partial funding would be placed in this illustrative list to clearly identify funding shortfalls and their status in the RTP. This could help to alleviate confusion on whether a particular project is fully-funded. It is also recommended that project descriptions with amounts and year of allocations be used in identifying project funding plans.

- 6. Title VI & Environmental Justice:** MTC's Environmental Justice (EJ) analysis of its Plan Bay Area RTP address a variety of good performance measures, limitations of data/performance measures, likely causes of differences in impacts (providing context to the analysis) and reflects efforts to continuously improve this analysis. The documentation includes a separate Title VI analysis as specified in the FTA Title VI Circular. Additionally, MTC has conducted an equity analysis that more broadly considered impacts on communities of concerns that includes communities not covered by Title VI or EJ, e.g., seniors, disabled, no-vehicle households. MTC conducted extensive multi-phase public involvement including open houses, public hearings, on-line engagement, public opinion poll and focus groups hosted by community organizations.
- 7. Goods Movement:** MTC serves as lead to the Improving Goods Movement and Industrial Lands Access and Efficiency in Northern California. This planning study, done in coordination with San Joaquin Council of Government (SJCOG), Sacramento Area Council of Governments (SACOG), and Caltrans builds off of multiple corridor studies that have been conducted in the mega region. Study objectives expect to identify specific high priority infrastructure needs and operational policies to improve key system bottlenecks and improve the efficiency

of first and last mile access to major goods movement facilities and activity centers.

MTC also serves on the state's Freight Advisory Committee (CFAC) and continues to participate in the Committee's meetings. Caltrans recently released the California Freight Mobility Plan. The California Air Resources Board is also developing a Sustainable Freight Strategy (SFS) and will be using CFAC to advise the state on the SFS. MTC will provide a venue for partners throughout the region to engage in the statewide efforts and ensure that Bay Area interests are represented.

In early 2014, Caltrans District 4 completed a freight study in the Bay Area. MTC partnered with Alameda County Transportation Commission in the study and expects to use the study as a base to develop a comprehensive updated Regional Goods Movement Plan.

8. Safety:

Recommendation #4: It is recommended that MTC review the 15 Challenge Areas with strategies and specific actions to see which ones may be a priority to them for the Bay Area and to participate in those Challenge Areas in helping to implement the specific actions. MTC can access the new Updated SHSP and SHSP Implementation Plan (to be added by the end of April) at: <http://www.dot.ca.gov/hq/traffops/shsp/>. It is suggested MTC contact Gretchen Chavez (gretchen.chavez@dot.ca.gov), Caltrans SHSP Coordinator or Ken Kochevar (ken.kochevar@dot.gov), FHWA Safety Program Manager for more information or if they have any questions. Kenneth Kao is part of the SHSP Steering Committee and would also know about the progress and status of the SHSP. MTC might want to talk with Alan Thompson of SCAG to see what his role is and what he is doing in that region. Alan is very involved with the SHSP. His email address is THOMP50@scag.ca.gov.

9. **Congestion Management Process:** The Congestion Management Process (CMP), as outlined in 23 CFR 450.320, is designed to be a major decision-making component of the transportation planning process within a Transportation Management Area. The two prior Federal Certification reviews for MTC conducted in 2007 and 2012 each contained recommendations for improvement to the Congestion Management Process. In both cases, the recommendations stated that MTC needed to complete major revisions of their documentation of the Congestion Management Process. While MTC has made modifications since the 2012 review, we continue to recommend further improvements.

MTC must continue to be vigilant in applying the Congestion Management Process in the region. Developing a "Congestion Management Plan" is not a federal requirement. However, continuously documenting the activities and outcomes of the Congestion Management Process is critical to ensuring that policy makers make decisions that improve the mobility of people and goods.

MTC acknowledged that two of the nine counties in the region have “opted out” of their activities as state-defined Congestion Management Agencies.

Recommendation #5: It is recommended that MTC ensure that the CMP is undertaken according to federal requirements for the entire region, regardless whether or not counties are Congestion Management Agencies per state law.

MTC stated during the site visit that several sections within MTC have different responsibilities for CMP activities.

Recommendation #6: It is recommended that MTC ensure that the activities for the CMP are sufficiently organized within the agency so that fragmentation of data acquisition, analysis, and reporting is minimized.

MTC indicated that the region is not subject to substantial capacity expansions for single occupant vehicles (SOVs). However, they also identified the possibility of using “shoulder running” to improve mobility on existing facilities.

Recommendation #7: It is recommended that MTC ensure that any projects or programs resulting in expansion of facilities that serve SOVs are sufficiently analyzed and reported through the Congestion Management Process.

7. Conclusion and the Federal Action

The Federal review team wishes to thank the MTC staff for their tremendous assistance and cooperation in making the planning certification review an informative, productive, and positive exchange of discussions between the Federal review team, MTC staff, the State, and the general public.

Our review of the transportation planning process in the San Francisco Bay Area, as carried out by the MTC, has resulted in one commendation and seven recommendations for improvement.

As a result of this review, the FHWA and FTA hereby jointly certify that the metropolitan transportation planning process, performed by the Metropolitan Transportation Commission, substantially meets the requirements of 23 CFR § 450 and 49 CFR § 613.

Appendix A Review Participants

Ted Matley	FTA, Region IX
Scott Carson	FHWA, California Division
Eric Pihl	FHWA, Resource Center (Lakewood)
Stew Sonnenberg	FHWA, California Division
Lance Yokota	FHWA, California Division
Peter Pangilinan	FHWA, California Division
Keaton Browden	FHWA, California Division
Steve Heminger	MTC, Executive Director
Alix Bockelman	MTC, Deputy Executive Director, Policy
Ken Kirkey	MTC, Planning Director
Anne Richman	MTC, Programming & Allocations Director
Eva Sun	MTC
Harold Brazil	MTC
Doug Johnson	MTC
Mallory Atkinson	MTC
Ross McKeown	MTC
Ellen Griffin	MTC
Abbey Haile	MTC
Matt Maloney	MTC
Denise Rodrigues	MTC
Julani Young	Caltrans Planning, HQ

Appendix B MTC Commissioners

DAVE CORTESE, Chair	Santa Clara County
JAKE MACKENZIE, Vice Chair	Sonoma County & Cities
ALICIA C. AGUIRRE	Cities of San Mateo County
TOM AZUMBRADO	U.S. Dept. of Housing and Urban Development
JASON BAKER	Cities of Santa Clara County
TOM BATES	Cities of Alameda County
DAVID CAMPOS	City and County of San Francisco
DORENE M. GIACOPINI	U.S. Department of Transportation
FEDERAL D. GLOVER	Contra Costa County
SCOTT HAGGERTY	Alameda County
ANNE W. HALSTED	S. F. Bay Conservation and Development Commission
STEVE KINSEY	Marin County and Cities
SAM LICCARDO	San Jose Mayor's Appointee
MARK LUCE	Napa County and Cities
JULIE PIERCE	Association of Bay Area Governments
BIJAN SARTIPI	California State Transportation Agency
LIBBY SCHAAF	Oakland Mayor's Appointee
JAMES P. SPERING	Solano County and Cities
ADRIENNE J. TISSIER	San Mateo County
SCOTT WIENER	San Francisco Mayor's Appointee
AMY REIN WORTH	Cities of Contra Costa County

Appendix C Review Agenda



**U.S. DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
FEDERAL TRANSIT ADMINISTRATION**

**2016
METROPOLITAN TRANSPORTATION COMMISSION
PLANNING CERTIFICATION REVIEW
AGENDA**

Call in number: 1-888-273-3658 (Alt: 213-270-2124)
Access Code: 9427202

Tuesday, February 2

8:30 - 12:00 Discussions with MTC Staff

1. Recommendations from 2012 Certification Review
2. Transportation Improvement Program/ Financial Plan/ Project Cost
3. Regional Transportation Plan Update
4. Agreements

12:00 - 1:00 Lunch

1:00 - 4:00 Discussions with MTC staff (cont.)

5. Civil Rights/ Title VI
6. Air Quality
7. Public Involvement/Consultation

5:30 - 7:30pm Public Listening Session

Wednesday, February 3

9:00 - 10:00 Meeting with Local Agencies

10:00 - 11:00 Recap Public Listening Session

11:00-12:30 Discussions with MTC Staff (continued)

8. Freight
9. Congestion Management Process
10. Overall Work Program

12:30 - 1:00 Lunch

1:00 - 2:00 Review Team Discussions

2:00 - 3:00 Closeout with MTC Staff