

A Guide to the 2013/16 Metropolitan Transportation Improvement Program

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A Guide to the Metropolitan Transportation Improvement Program

Introduction

The federally required Transportation Improvement Program (TIP), called the Metropolitan Transportation Improvement Program (MTIP)¹ in the Sacramento Region, is a comprehensive listing of transportation projects that receive federal funds, require a federal action, or are regionally significant. The Sacramento Area Council of Governments (SACOG),² as the federally designated Metropolitan Planning Organization (MPO) for the six-county Sacramento Region, prepares and adopts the MTIP every two years. The MTIP covers a four-year period and must be financially constrained by year, meaning that the amount of dollars committed to the projects (also referred to as “programmed”) must not exceed the amount of dollars estimated to be available. The MTIP must include a financial plan that demonstrates that programmed projects can be implemented. Adoption of the MTIP must be accompanied by an evaluation and determination of air quality conformity.³ Federal regulations also require an opportunity for public comment prior to MTIP approval.

Transit, highway, local roadway, bicycle and pedestrian investments are included in the MTIP. Apart from some improvements to the region’s airports and the Port of Sacramento, all regionally significant transportation projects or projects requiring federal action are part of the MTIP. All projects included in the MTIP must be consistent with the Metropolitan Transportation Plan/Sustainable Communities Strategy 2035 (MTP/SCS 2035)⁴ for the Sacramento Region.

The 2013/16 MTIP: Features and Highlights

Below are some features and highlights of the 2013/16 MTIP:

- Addresses the requirements under the Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU), enacted in August 2005. Approximately every six years, the U.S. Congress adopts a transportation act—an authorization to spend tax dollars on highways, streets, roads, transit and other transportation related projects. The provisions of SAFETEA-LU were extended under the 2010 Hire Act and have been continued under other extensions through October 2012.
- Does not address Moving Ahead for Progress in the 21st Century (MAP-21), enacted July 2012, and effective October 1, 2012. SACOG will incorporate the provisions of MAP-21 once federal guidance has been issued.
- Covers four years of programming: Federal fiscal years 2013 through 2016.
- Includes approximately 154 individual transportation projects, 395 grouped projects, and 31 grouped project listing categories.
- Programs \$2.5 billion of the \$4.3 billion of reasonably available federal, state, and local funding during the four years of the MTIP.

Investment Decisions: MTP/SCS 2035 and the MTIP

The MTP/SCS 2035, which was approved by SACOG in April 2012, guides and prioritizes all SACOG's programming decisions. It is the Sacramento Region's comprehensive roadmap to guide transportation investment over the next 23 years. The MTP/SCS 2035 invests \$35.2 billion and proactively links transportation, land use and air quality. Additionally, the MTP/SCS 2035 gives individuals more options for how to get around, with investments in walking, biking, and transit as well as roadway improvements. It focuses on six principles:

1. Smart Land Use
2. Environmental Quality and Sustainability
3. Financial Stewardship
4. Economic Vitality
5. Access and Mobility
6. Equity and Choice

The MTP/SCS 2035 identifies investment in transit at \$11.3 billion, \$2.8 billion in bicycle and pedestrian projects, \$7.4 billion in strategic investments in road and highway, and \$11.5 billion in road maintenance and rehabilitation. The MTP/SCS 2035 identifies investment of \$2.2 billion in programs and planning, such as rideshare matching, 511, Spare the Air campaigns, and Community Design grants to support local smart growth efforts.

The MTP/SCS 2035 builds on the Blueprint Preferred Growth Scenario (Blueprint), which envisions more housing and transportation choices and promotes integrated land uses and quality design for the Sacramento Region in 2050. The \$35.2 billion planned in the MTP/SCS 2035 provides the infrastructure needed to support the Blueprint influenced land uses in local jurisdictions across the six-county region.

The Blueprint encourages more livable communities by doing the following:

- Providing a variety of transportation choices
- Offering housing choices and opportunities
- Taking advantage of compact development
- Using existing assets; providing mixed land uses
- Preserving open space, farmland, natural beauty, through natural resources conservation
- Encouraging distinctive, attractive communities with quality design

MTP/SCS 2035 Consistency

Only projects consistent with the MTP/SCS 2035 are included in the 2013/16 MTIP as required by federal regulations. In accordance with the regulations, projects are reviewed for consistency with the MTP/SCS 2035 as they are amended into the MTIP. Consistency also includes the requirement that project costs in the MTIP do not exceed those in the funding constrained investment plan of the MTP/SCS 2035.

MTIP Four Year Cycle

Under SAFETEA-LU, four years of programming are contained in the 2013/16 MTIP, federal fiscal years (FFYs) 2013 through 2016. In addition, prior year and estimated funding for projects in future years (beyond the four years that comprise the 2013/16 MTIP) are included for information.

MTIP Development & Public Participation Process

SACOG is committed to a public involvement process that is transparent, proactive and provides comprehensive information, timely public notice, full public access to key decisions, and opportunities for continuing involvement. SACOG followed all the steps outlined below in the development of its 2013/16 MTIP.

Interagency Coordination and Review

SACOG develops the MTIP in cooperation with the Placer County Transportation Planning Agency (PCTPA) and the El Dorado County Transportation Commission (EDCTC), the Regional Transportation Planning Agencies (RTPAs) for Placer and El Dorado counties respectively. This process is defined in the Memoranda of Understanding executed by SACOG, PCTPA, EDCTC, and the Secretary of Housing, Business, and Transportation for the State of California.

Preparation of the MTIP and its subsequent amendments are made in coordination with the Regional Planning Partnership (Partnership) and the Transit Coordinating Committee (TCC). Their constituent members include: individual cities and counties, transit operators, PCTPA, EDCTC, Native American tribes, Caltrans, five local air districts, transportation advocates, federal agencies, and other state agencies. The Partnership and the Transit Coordinating Committee provide forums for the region's transportation industry to contribute to the policy-making and programming activities of SACOG and to facilitate coordination within the region. Also, the Partnership and the TCC play a role in the selection of funding for projects that get programmed in the MTIP.

Most of the projects in the 2013/16 MTIP have been carried over from the 2011/14 MTIP. To decide which projects to carryover, SACOG asks project sponsors to indicate which of their projects in the 2011/14 MTIP had been completed, deleted, or delayed and to update the projects that needed to be carried over. New projects must be identified in the MTP/SCS 2035 and must contain work during the 2013/16 MTIP timeframe. This preliminary list of projects is then circulated for interagency review.

Public Review

Following interagency review, the MTIP circulates for 30 days of public review and comment, consistent with procedures identified in SACOG's Public Participation Plan (PPP).⁵ Notices are posted and sent to an extensive list, including transportation agencies; other state, federal and tribal agencies; and transportation interests with the objective of continuing the consultation process for transportation planning and investments in the Sacramento region. The document is made available online. SACOG also hosts a public hearing. After the close of the public comment period, comments and SACOG's response to comments are compiled (Appendix 9). This review process is defined in detail within the SACOG PPP.

Adoption and Final Approval

After the written comment period, the MTIP document is presented to SACOG's Transportation Committee, where the public hearing is conducted. After its review, the Committee decides whether to forward the document to the Board for adoption. After Board adoption, it is sent to the Caltrans Office of Federal Programs for inclusion into the California Federal Statewide Transportation Improvement Program (FSTIP). After review and approval by Caltrans, the FSTIP is forwarded to the Federal Highway Administration (FHWA) and the Federal Transit Administration (FTA) for their review and approval. Approval by FHWA/FTA constitutes the final approval of the MTIP.

MTIP Development Schedule

June 12, 2012	Interagency review.
June 20, 2012	Presentation to Transit Coordinating Committee
June 22, 2012	Draft 2013/16 MTIP and Draft Air Quality Conformity Determination released for public review and comment.
August 15, 2012	Presentation to Transit Coordinating Committee.
July 23, 2012	Close of Draft 2013/16 MTIP/Air Quality Conformity Determination public review and comment period.
July 25, 2012	Presentation to Regional Planning Partnership.
August 2, 2012	Public Hearing during Transportation Committee meeting.
August 16, 2012	Adoption of Final 2013/16 MTIP and Air Quality Conformity Determination
October 1, 2012	2013/16 MTIP submitted to Caltrans/Air Quality Conformity Determination submitted to FHWA/FTA. (Draft submitted September 3).
November 15, 2012	2013/16 MTIP approval (anticipated) by Caltrans
December 17, 2012	2013/16 MTIP and Air Quality Conformity Determination approval (anticipated) by FHWA / FTA

Relationship of the MTIP to Other Federal and State Transportation Programs

FSTIP

Just as each metropolitan region is required to develop a federal TIP, each state is required to develop a Federal Statewide Transportation Improvement Program (FSTIP)⁶ pursuant to federal regulations. The FSTIP includes all projects with federal funds, those that require a federal action, and regionally significant transportation projects throughout the state.

In California, regional TIPs are included in the FSTIP without modification once approved by the relevant Metropolitan Planning Organization and Caltrans. Next the FSTIP receives final approval when FHWA and FTA make their required financial constraint and air quality findings. Projects must be in the FSTIP before funding authorities, such as FTA, FHWA, or Caltrans, can “obligate” funds (i.e., commit funds to contract) and therefore, before sponsors can actually spend any of these monies.

STIP

The California Transportation Commission (CTC)⁷ is required to biennially adopt, and submit to the Legislature and the Governor, a State Transportation Improvement Program (STIP)⁸. The STIP is a comprehensive listing of all major projects to be funded from specified state funding programs, including certain federal funds that flow directly to the state. As a result, many of the projects that are included in the STIP must eventually be included in the regional TIPs and the FSTIP as well. (Confusingly, “STIP” can also refer to several types of state funding that flow through the STIP.)

The STIP consists of spending programs developed at the state level by Caltrans and at the regional level by Regional Transportation Planning Agencies (RTPAs).

ITIP

Caltrans proposes an element of the STIP known as the Interregional Transportation Improvement Program, or ITIP. The ITIP comprises a portion of STIP funding intended to address transportation infrastructure needs that cross metropolitan boundaries and link the state's transportation system. For example, intercity rail and interregional highways are included in the ITIP. (Confusingly, ITIP can also refer to types of state funding that flow through the STIP.)

RTIP

The regions propose an element of the STIP known as the Regional Transportation Improvement Program, or RTIP. The RTIP comprises a portion of the STIP funding to address transportation infrastructure needs within a region. As the RTPAs in the region, SACOG, PCTPA and EDCTC approve RTIPs for the Sacramento region. The RTIPs are then forwarded to the CTC. The CTC works with the regional agency if modifications are needed to the submitted program of projects. (Confusingly, RTIP can also refer to types of state funding that flow through the STIP.)

Fund Sources Programmed in the MTIP

The 2013/16 MTIP programs transportation funding from a wide variety of sources. All of these fund sources have eligibility criteria that a project must meet in order to be considered for the fund source. Most projects have more than one source of funding. Several of the major funding sources are:

Federal Transit Administration Programs

- Section 5307 Urbanized Area Formula
- Section 5309 New Starts
- Section 5309 Fixed Guideway Modernization
- Section 5309 Bus Allocation
- Section 5310 Elderly and Disabled
- Section 5316 Job Access and Reverse Commute (JARC)

Section 5317 New Freedom Federal Highway Administration Programs

- Regional Surface Transportation Program (RSTP)
- Congestion Mitigation and Air Quality Program (CMAQ)
- Highway Bridge Program (HBP)
- Various safety programs
- High Priority Projects and other earmarks

State, Regional, and Local Programs

If state or local funds are used to match federal dollars, or if they are attached to projects that require federal approval, or if the project is considered to be regionally significant, then the associated state and local funds must be reported in the MTIP. Otherwise, state and local funds do not have to be programmed in the MTIP. State and local fund sources can include the following:

- State Transportation Improvement Program (STIP), comprising the Regional Transportation Improvement Program (RTIP) and the Interregional Transportation Improvement Program (ITIP)
- Proposition 1A and 1B Bonds, approved by voters in 2006, which include Corridor Mobility Improvement Account (CMIA), Trade Corridors Improvement Fund (TCIF), and Public Transportation Modernization, Improvement, and Service Enhancement Account (PTMISEA) funds and other bond programs
- Transportation Development Act (TDA) & State Transit Assistance (STA) funds
- Proceeds from Sacramento County half-cent transportation sales tax
- Transportation Impact Fees
- Gas Tax
- Various other funds programmed to regionally significant, locally funded projects

Air Quality Conformity

Under federal law and regulations, SACOG must analyze the MTIP to determine if it conforms to the Sacramento Region's approved federal air quality plans, known as the State Implementation Plan (SIP)⁹. SACOG models motor vehicle emissions, considering all projects in the MTIP and MTP/SCS 2035. The emissions must not exceed the Motor Vehicle Emissions Budget (MVEB) identified in the SIP and approved by the Environmental Protection Agency (EPA)¹⁰. In instances where EPA has not approved a budget, SACOG evaluates emissions output using a build/no-build test. In addition, the MTIP must provide for the timely implementation of strategies to reduce emissions that are in the SIP, called Transportation Control Measures (TCMs).

Air quality conformity (conformity) is a method to ensure that federal funding and approval go to those transportation activities that are consistent with air quality goals. Conformity applies to transportation plans, TIPs, and projects funded or approved by FHWA or FTA in areas that do not meet or previously have not met air quality standards for ozone, carbon monoxide, particulate matter types, or nitrogen oxides. These areas are known as "nonattainment areas" or "maintenance areas," respectively. A conformity determination demonstrates that the total emissions projected for a plan or program are within the emissions limits (budgets) established by the SIP, and that TCMs are implemented in a timely fashion.

SACOG analyzes the projects in the MTIP and MTP/SCS 2035, using a prescribed computer model and process, and makes a finding that those projects, if completed, would not contribute to air pollution that exceeds the amount specified in the region's clean air plan.

Transportation Control Measure (TCM) Implementation

SACOG's TCMs are recorded in Appendix D of the *2009 Sacramento Regional 8-Hour Ozone Attainment and Reasonable Further Progress Plan*.¹¹ The MTIP and MTP/SCS 2035 provide for the timely completion or implementation of the TCMs. In addition, SACOG must document that nothing in the MTIP or MTP/SCS 2035 interferes with the implementation of any TCM in the applicable implementation plan, and priority is given to TCMs. Documentation of the timely implementation of these measures is contained in the Air Quality Conformity Analysis that accompanies the 2013/16 MTIP.

Grouped Project Listings in the MTIP

Federal regulations 23 CFR 450.216(j) allows MPOs to group together projects that are not considered to be of appropriate scale for individual listing. Such projects may be grouped by function, work type or geographical area and must be consistent with the classifications under 23 CFR 771.117(c) and (d) and/or 40 CFR part 93. SACOG groups projects in accordance with the Grouped Project Listing Guidelines as developed by Caltrans in 2010.¹² The grouped project listings are consistent with the “Exempt Project” classification contained in the EPA Transportation Conformity Regulation (40 CFR part 93).

Revisions to the MTIP – Administrative Modifications and Amendments

Because of the fluctuating nature of transportation projects nearing implementation, circumstances dictate that changes be made to the MTIP following its adoption. Federal regulations in SAFETEA-LU allow for two types of revisions to the MTIP, Administrative Modifications and Amendments. SACOG processes Amendments regularly, about 4 per year, while Administrative Modifications occur more often, about 15 per year. Amendments take longer to process, as long as four to six months. In contrast, Administrative Modifications usually take one or two weeks, or may take as little as a day.

Types of Revisions

Consistent with the policies above, SACOG has further defined Administrative Modifications and Amendments by a classification system which consists of five “Types” of revisions, each with specific action, review, public participation, and approval. The information on this classification system can be found in SACOG’s PPP. The PPP is the official document that delineates the various types MTIP revisions. The five MTIP Revision Types are:

1. Administrative Modification
2. Amendment Due to Funding Changes
3. Amendment of Exempt/Non-Regionally Significant Projects
4. Amendment Requiring a Conformity Determination
5. Amendment Requiring a Conformity Determination and a New Regional Emissions Analysis

Administrative Modification Criteria and Delegated Authority

In June 2011, FHWA, FTA, and Caltrans agreed on revised administrative modification/amendment procedures. In August 2011, Caltrans delegated authority to SACOG to approve Administrative Modifications to the MTIP and FSTIP. No further approval is required for administrative modifications. The Administrative Modification Procedures¹³ and Delegated Authority are included in Appendix A-11.

Project Selection from the MTIP

Project Selection as Interpreted by Federal Regulations

The federal regulations (23 CFR 450.330) require that SACOG describe how it chooses which programmed projects may actually be delivered, or “selected” from the MTIP. This question is taken for granted in California, where all regions, including SACOG, each treat their TIP as a list of programmed projects that may be delivered. No further selection action is necessary.

SACOG's Project Selection Criteria

Once a project is programmed for a federal funding amount in a certain federal fiscal year, no further selection action is necessary for the implementing agency to proceed with the listed project once the programmed federal fiscal year has begun. Per federal regulations, all projects in the first year of the MTIP constitute an "agreed to" list of projects for project selection purposes and no further project selection action is required for the implementing agency to proceed with projects. For years 2, 3, and 4, SACOG, Caltrans, FHWA, FTA, and transit operators also agree that those projects constitute an "agreed to" list, and thus, no further project selection action is necessary.

Expedited Project Selection Procedures

All federal funds may be delivered within the four year period of the 2013/16 MTIP without necessitating an amendment to the MTIP. Federal regulations allow for the movement of projects (advancing and delaying) within the four year period of the MTIP and FSTIP subject to procedures agreed to by partnering agencies, including the State and transit operators within the region. SACOG, as the MPO for the six-county Sacramento Region, has a process in place that is consistent with the Expedited Project Selection Procedures (EPSP) outlined in 23 CFR 450.330. This process is documented in Appendix 10.

SACOG also acknowledges that any advancement or delay of projects within the four-year element of the MTIP through the EPSP will not invalidate the financial constraint of the MTIP.

Financial Constraint

The MTIP must be financially constrained, meaning that the amount of funding programmed must not exceed the amount of funding estimated to be reasonably available. In developing the 2013/16 MTIP, SACOG has taken into consideration the transportation funding revenues expected to be available during the four years of the MTIP (FFY 2012-13 through FY 2015-16), and has found the 2013/16 MTIP to be financially constrained by program and by year.

Additionally, this constraint requirement applies to each of the four program years and, because the SACOG region is an air quality non-attainment area, only projects with committed or identified funding may be programmed in the first two years of the MTIP.

Fiscal constraint requirements encompass both the operation and maintenance of capital projects in the MTIP and the estimated costs of maintaining and operating the transportation system as a whole. The framework of both SACOG's MTP/SCS 2035 and the 2013/16 MTIP meet this requirement.

The 2013/16 MTIP is mostly a compilation of previously programmed projects, reflecting previous programming actions by SACOG, PCTPA or EDCTC. The 2013/16 MTIP includes regionally significant local projects approved and funded by transportation agency partners. The 2013/16 MTIP also includes available state funds, including Proposition 1B and State Transportation Improvement Program (STIP) funds, utilizing the latest fund estimates released by the State.

SACOG continuously monitors developments in funding programs and the funding needs of transportation projects, as reflected by the MTIP project listing. Any significant changes will be reviewed by SACOG and its transportation partners; and, if needed, SACOG will take appropriate actions, such as a MTIP Amendment, to maintain the financial constraint state of the MTIP.

Measure B Explanation

The 2013/16 MTIP does not contain “Measure B,” a new future fund source anticipated in the MTP/SCS 2035. Instead, all of the funding included in the 2013/16 MTIP is based on the continuation of existing revenue sources. In contrast, the region’s long-range transportation plan, the MTP/SCS 2035, envisions a new stream of funding from an additional ½ cent sales tax measure, or an equivalent amount from an unspecified source. “Measure B,” as it’s termed, would help fund road and transit maintenance and operations within Sacramento County.

SACOG considers Measure B funding “reasonably available,” but not “committed or identified.” As mentioned earlier, only funds that are committed may be programmed in the first two years of the MTIP. Funding that is reasonably available funding may be assumed outside of the first two years of the MTIP. Consistent with these criteria, revenue collection for Measure B is expected to begin during the last two years of the 2013/16 MTIP. Measure B is assumed to be available in FFY 2015. Given prior SACOG and Sacramento Transportation Authority actions supporting the new revenue assumption, as well as recent efforts by Sacramento Regional Transit District (RT) to explore a Measure B sales tax option,¹⁴ SACOG finds that Measure B funding is reasonably available for the purposes of meeting financial constraint requirements.

No projects in the 2013/16 MTIP are funded with Measure B, even though Measure B is reasonably available. Consequently, Measure B is not listed as a fund source in the Appendix 2, Financial Summary, neither in the first two years nor the last two years.

Targets for Encumbering Transportation Funds

Delivering transportation projects within the estimated cost, scope and schedule has been one of the key issues in state transportation policy for many years. Most notably, SB 45—Kopp (Chapter 622, Statutes 1997) and AB 1012—Torlakson (Chapter 783, Statutes of 1999) established penalties for not delivering projects funded with STIP, RSTP, or CMAQ funds within certain prescribed deadlines.

SB 45 and AB 1012 give regions, counties, and sponsors incentives to deliver projects more quickly by creating negative consequences—projects stand to lose their funding if not delivered according to schedule. Under AB 1012, regions must obligate RSTP and CMAQ funds apportioned to them within three years, or the state will redirect the funding to other projects. SB 45 established a complex series of project delivery deadlines for projects in the STIP. If these deadlines are not met, the funds are redirected to other projects, in some cases, outside of the SACOG Region.

The SACOG region has maintained an excellent project delivery record. This outstanding delivery record is due to the hard work of project sponsors, Caltrans Local Assistance and the regional delivery policies developed by SACOG. SACOG constantly monitors this process in an effort to maintain its delivery record and to ensure that the maximum amount of federal funds continue to flow into the region. This monitoring includes responding to increased scrutiny for federal and state funding deadlines, the current economic environment, and anticipating future federal and state policies regarding the availability of transportation funding.

- **Federal Requirements (SAFETEA-LU)** – RSTP and CMAQ funds (among other programs) must be obligated within 4 years of apportionment. The state loses those funds not obligated to FHWA.
- **State Requirements (AB 1012)** – RSTP and CMAQ funds must be obligated within 3 years of apportionment. The region loses those funds not obligated to the state.

Annual Listing of Obligated Projects

By federal requirement, SACOG publishes at the end of each calendar year the Annual Listing of Obligated Projects¹⁵, which is a record of project delivery for the previous year. The publication of this list is in response to 23 U.S.C. 134(j)(7)(B), 23 U.S.C. 135(g)(4)(B), 49 U.S.C. 5303(j)(7)(B), and 49 U.S.C. 5304(g)(4)(B), as revised by SAFETEA-LU, that require “...an Annual Listing of projects, including investments in pedestrian walkways and bicycle transportation facilities, for which federal funds have been obligated in the preceding year shall be published or otherwise made available by the cooperative effort of the State, transit operator, and metropolitan planning organization for public review. The listing shall be consistent with the funding categories identified in each metropolitan transportation improvement program (MTIP).”

The Annual Listing of Obligated Projects is intended to increase the awareness of federal government spending on transportation projects to the public and to indicate a federal project’s progress. However, the indicator has limitations. When a project reaches a point where federal funds are ready to be expended, a request is sent from Caltrans to the U.S. Department of Transportation requesting commitment of the funds for reimbursement. (For FTA-funded projects, the obligation equivalent occurs when the FTA grant is awarded.) This commitment of funds “obligates” the funds, committing the funds to contract for reimbursement as soon as expenditures occur. This action indicates that the project is proceeding, but the action can be misleading in several ways. First, obligated projects are not necessarily initiated or completed in the same year as the obligation year. Second, the amount of the obligation will not necessarily equal the total cost of the project. Third, it is possible that unused funds may be credited back when not needed at the completion of a project phase resulting in a negative obligation.

Title VI Compliance

It is SACOG’s policy to comply with state and federal laws and regulations including Title VI of the Civil Rights Act of 1964, Americans with Disabilities Act of 1990 (ADA)¹⁶ and other federal discrimination laws and regulations, as well as the Unruh Civil Rights Act of 1959¹⁷, the California Fair Employment and Housing Act (FEHA)¹⁸, and other California State discrimination laws and regulations. SACOG does not discriminate on the basis of race, color, sex, creed, religion, national origin, age, marital status, ancestry, medical condition, disability, sexual orientation or gender identity in conducting its business. SACOG prohibits discrimination by its employees, contractors and consultants.¹⁹

Investments made in the MTIP must be consistent with Title VI and must support “Environmental Justice.” Title VI prohibits discrimination on the basis of race, color, income, and national origin in programs and activities receiving federal financial assistance. Similarly, Environmental Justice is defined by EPA as “the fair treatment and meaningful involvement of all people, regardless of race, color, sex, national origin, or income, with respect to the development, implementation and enforcement of environmental laws, regulations, and policies.” Public outreach to and involvement of individuals in low income and minority communities covered under Title VI, are critical to regional planning and programming decisions. The fundamental principles of environmental justice include:

- Avoiding, minimizing or mitigating disproportionately high and adverse health or environmental effects on minority and low-income populations;
- Ensuring full and fair participation by all potentially affected communities in the transportation decision-making process; and
- Preventing the denial, reduction or significant delay in the receipt of benefits by minority populations and low-income communities.

Environmental Justice in the Development of the MTIP

The decision process by which projects are selected for inclusion into SACOG's MTIP considers Title VI and environmental justice requirements. Projects selected for inclusion in the MTIP are consistent with the MTP/SCS 2035 as required by federal law. As part of the development of the MTP/SCS 2035, SACOG engaged in a rigorous outreach process. Key outreach efforts included:

- Presentations to over 130 community groups during the 2010 and 2011 planning process.
- Focus groups with a number of representatives from equity, public health, affordable housing, and human service groups, and minority, low-income, senior, youth, disabled and recent immigrant population.
- Translation of MTP/SCS 2035 workshop fliers into Spanish for all locations. (Spanish is the most common non-English language spoken in the region.)
- Advance preparation work with translators and translation of workshop materials into Russian and Vietnamese.
- On-site translators for participants needing translation into Russian, Asian languages, and Spanish.
- Financial assistance to low-income residents who would be burdened by the cost of transportation, plus free dial-a-ride service by Paratransit, Inc. provided by request for all workshops, including areas not in the Paratransit service area.
- Findings from eight focus groups with residents from environmental justice populations in the region, including Asian-Pacific Islander, African-American, Hispanic/Latino, Native American/American Indian, and low-income populations, conducted with support from Caltrans and the consulting firm MIG.

Consideration of findings and recommendations from a SACOG study completed in February 2011 assessing the needs of transit-dependent residents in the region to reach essential or "lifeline" destinations. The results of these efforts have helped to ensure that the projects included in MTP/SCS 2035 and their incorporation into the MTIP provide equitable planning and programming for traditionally underrepresented communities.

Environmental Justice in the Federal Funding Selection Process

Additionally, as part of the SACOG process for selecting projects to receive federal funds, applicants must formally describe in writing their agency's efforts to address and account for environmental justice at a project level. Specifically, applicants must describe the kind of outreach to the community and to other stakeholders that they have or plan to undertake. Applicants must identify if low-income or minority members of the community are given an opportunity to fully participate in the outreach. Finally, applicants must evaluate the benefits and burdens of the project with regard to low income and minority members of the community.

System Preservation, Operation, and Maintenance Costs

As mentioned above, the MTIP must be financially constrained, meaning that the amount of funding programmed must not exceed the amount of funding estimated to be reasonably available. Included in this is the requirement that the MTIP demonstrate that the region's federally supported facilities are being adequately operated and maintained. The frameworks of both SACOG's current MTP/SCS 2035 and 2013/16 MTIP take into account the expenditures and costs of system preservation, operations, and maintenance.

Past Spending on Local Street Pavement

Between 2000 and 2008, local governments in the SACOG region spent approximately \$2.1 billion on road maintenance and reconstruction, an average of about \$240 million per year for the region's more than 20 thousand lane miles of city and county roads. Routine maintenance accounts for about 60% (\$144 million/year) of these expenditures with the remaining 40% (\$96 million) going toward major reconstruction projects.

The level of investment in maintenance and reconstruction fluctuated from year to year and grew at an average annual rate of 10%. In 2008, the latest year for which data are available, local government expenditures were more than \$190 million for routine maintenance and \$135 million for reconstruction (\$325 million combined).²⁰

Data for 2008 to 2012 is not yet available. It is likely that spending decreased during these years with the coinciding downturn in the economy. As a result, it is difficult to forecast local government spending on streets and roads for the years of the MTIP, FFYs 2013 to 2016. For the purposes of demonstrating financial constraint, this analysis assumes a \$325 million average annual expenditure, consistent with 2008 spending.

Local Street Pavement Conditions

The *California Statewide Local Streets and Roads Needs Assessment* is a biannual report that details the conditions of the streets and roads in the state.²¹ The report ranks road conditions using a Pavement Condition Index (PCI) with values of zero (failed condition) to 100 (good to excellent condition). The latest update in 2010 ranks the average condition of California's local streets and roads with a score of 66, which is in the "at risk" category. The table below, "Local Streets Conditions by County," shows the PCI scores, number of lane miles, and 10-year maintenance and rehabilitation need for the six counties in the SACOG region, as identified in the report. The pavement rehabilitation need for the region equates to roughly \$518 million annually over the next 10 years. Compared to current \$325 million in expenditures for road maintenance and rehabilitation, that leaves a \$193 million dollar annual gap.

Local Street Pavement Conditions (2010 \$M Dollars)

Source: *California Local Streets and Roads Needs Assessment, February 2011*

County	2010 PCI	Lane Miles	10-Yr Need
El Dorado	58	2,480	\$562
Placer	77	4,183	\$577
Sacramento	66	10,936	\$2,505
Sutter	56	2,106	\$502
Yolo	67	2,611	\$589
Yuba	56	1,504	\$448
Total Region	N/A	23,820	\$5,183
State Average	66		

Resources for Local Streets

Unfortunately, resources available for local road pavement maintenance and rehabilitation do not keep pace with escalating costs, and there are no easy choices for more funding. Preventive maintenance is important for controlling long-term costs, but the only funds available for maintenance are the local shares of the gas tax, sales tax funds, and local general funds. These funds are nearly completely tapped. Maintenance and rehabilitation consume about 70% of the typical local road budget. Most federal and state funds are not available to assist with routine maintenance. However, if roads deteriorate and require extensive reconstruction, SACOG may tap federal and state funds to help local governments bring these roads back to a good state of repair.

Recognizing these challenges, the MTP/SCS 2035 prioritizes preservation of the existing transportation system when making investment decisions with revenues that can be used for maintenance and rehabilitation purposes. Since 1998, the region has diverted approximately 15% of state and federal transportation funds to road rehabilitation instead of road improvements. In addition to state and federal funds, the MTP/SCS 2035 calls for an additional ½ cent sales tax or equivalent funding source in Sacramento County which would help pay for additional road maintenance.

How to Read the Project Listings

The project listing provides a detailed description for each individual project in the 2013/16 MTIP. There is only one official project listing, listed in Appendix 3, called the List of Individually Listed Projects and Grouped Project Listings. Nearly every project that is exempt from regional air quality conformity analysis is rolled into a “Grouped Project Listing,” also known as a lump sum. Appendix 4 shows the detail for the projects that make up these Grouped Project Listings.

Both lists contain the following information for each project:

Data Label	Definition
SACOG ID (MTIP #)	A unique number used to identify projects in the MTIP.
Sponsor (Lead Agency)	Agency in charge of administering a project.
Project Title	Name or title of the project.
Project Description	Brief description of the project and project location.
Completion Year	Date project is to be completed.
County	The county in which the project is located.
EA Number	Not often used in SACTrak. It is a Caltrans project reference number for federally funded projects.
Exempt Category	Air quality related categories for projects exempt from air quality conformity analysis.
Fiscal Year	The federal fiscal year of revenue/funding. If it says <13, then there are revenues for FFY’s prior to 2013. If it says >16, then there are revenues projected after FFY 2016 (sometimes referred to as “Outer Years”).
Revenue Source	The funding source.
Phases (3)	The stage of the project for which the specified funds have been programmed. Phases include: <ol style="list-style-type: none"> 1. Engineering, which includes preliminary engineering, environmental, and final design; 2. Right of way engineering and acquisition, and utility relocation; 3. Construction engineering, construction support, and construction.
Total Cost	Total project funding, including prior and later-year funds.
FFY 2013, 14, etc.	Federal Fiscal year. The Federal Fiscal Year (FFY) in the MTIP is from October 1 to September 30 of the following calendar year. The 2013/16 MTIP covers the four-year period of FFY 2013, FFY 2014, FFY 2015, and FFY 2016.

Endnotes and Electronic References

- ¹The MTIP is available online at <http://www.sacog.org/mtip/>
- ² Information about SACOG is available online at <http://www.sacog.org>
- ³ Air Quality Conformity information is available online at <http://www.sacog.org/mtip/>
- ⁴ The MTP/SCS 2035 is available online at <http://www.sacog.org/2035/mtpscs/>
- ⁵ The PPP is available online at <http://www.sacog.org/mtp/ppp.cfm>
- ⁶ The FSTIP is available online at <http://www.dot.ca.gov/hq/transprog/oftmp.htm>
- ⁷ Information about the CTC is available online at <http://www.catc.ca.gov/>
- ⁸ The STIP is available online at <http://www.catc.ca.gov/programs/stip.htm>
- ⁹ The SIP is available online at <http://www.arb.ca.gov/planning/sip/sip.htm>
- ¹⁰ Information about the EPA is available online at <http://www.epa.gov/>
- ¹¹ The *2009 Sacramento Regional 8-Hour Ozone Attainment and Reasonable Further Progress Plan* is available online at <http://www.arb.ca.gov/planning/sip/planarea/sacsip/sacplanozone2009.pdf>
- ¹² The *Grouped Project Listing Guidelines* are available online at http://www.dot.ca.gov/hq/transprog/federal/fedfiles/res_publications/grouped_pjt_listings.pdf
- ¹³ Administrative Modification Procedures are posted online at http://www.dot.ca.gov/hq/transprog/federal/proc_guide.htm.
- ¹⁴ July 23, 2012, RT Approved a resolution to “Express support for further outreach, voter analysis, and consideration of alternate measures to provide local taxpayer dedicated funds for public transportation operations, projects, and services.” Minutes of the RT Board meeting are available online at <http://portal.sacrt.com/WebApps/SRTDBM/MeetingDocs/Archives/RT%20Board%20of%20Directors%20-%20August%2013,%202012-%20-%20Agenda%20Item%2001.pdf>
- ¹⁵ The *Annual Listing of Obligated Projects* is available online at <http://www.sacog.org/publications/list.cfm>
- ¹⁶ Title VI of the Civil Rights Act of 1964, Americans with Disabilities Act of 1990 is available online at <http://www.fhwa.dot.gov/civilrights/programs/tvi.htm>
- ¹⁷ Information on the Unruh Civil Rights Act is available online at http://www.disabilityaccessinfo.ca.gov/lawsregs.htm#unruh_rights_act
- ¹⁸ Information on the California Fair Employment and Housing Act (FEHA) is available online at http://www.dfeh.ca.gov/Publications_FEHADescr.htm
- ¹⁹ SACOG’s June 7, 2012, Non-Discrimination Statement is available online at <http://www.sacog.org/calendar/2012/06/strategic/pdf/10-Non-Discrimination.pdf>
- ²⁰ Data obtained from the 2000-2008 California State Controller Local Streets and Roads Reports, available online at http://www.sco.ca.gov/ard_locrep_streets.html
- ²¹ The 2010 *California Local Streets and Roads Needs Assessment* is available online at (<http://www.savecaliforniastreet.org/>)