



U.S. Department of Transportation  
**Federal Highway Administration**  
**Federal Transit Administration**

# **Transportation Management Area Planning Certification Review Primer**

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FTA Project Contact: Victor Austin, Community Planner, Office of Planning & Environment, Phone: 202-366-2996; Email: victor.austin@dot.gov**12a. DISTRIBUTION/AVAILABILITY STATEMENT**

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**12b. DISTRIBUTION CODE****13. ABSTRACT (Maximum 200 words)**

This primer outlines key concepts and expectations of a Transportation Management Area (TMA) Planning Certification Review. Reflecting on the collective experiences of past Certification Reviews, this includes references to relevant laws and regulations, policies, and other resources to guide the TMA planning partners (Metropolitan Planning Organizations, State Departments of Transportation, and public transportation operators) responsible for managing a TMA's transportation planning process. The primer begins with an overview of the TMA Certification Review process, followed by summaries of each review topic, including considerations for a successful process.

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## **Introduction**

This primer outlines key concepts and expectations of a Transportation Management Area (TMA) Planning Certification Review. Reflecting on the collective experiences of past Certification Reviews, this includes references to relevant laws (i.e., United States Code (USC)) and regulations (i.e., Code of Federal Regulations (CFR)), policies, and other resources to guide the TMA planning partners (Metropolitan Planning Organizations (MPO), State Departments of Transportation (DOT), and public transportation operators) responsible for managing a TMA's transportation planning process.

### ***What is a TMA?***

A TMA is defined as a large urbanized area with a population over 200,000. TMAs are defined by the U.S. Census Bureau after each decennial census and officially designated by the Secretary of Transportation. If they choose, Governors and MPOs may also request additional designations for urbanized areas that are 200,000 or less in population.

### ***What is a Certification Review?***

The primary purpose of a Certification Review is to evaluate the TMA's transportation planning process for compliance with the Federal requirements of 23 USC 134(k)(5) and 49 USC 5303(k)(5). At least once every four years, Federal Highway Administration (FHWA) Divisions and Federal Transit Administration (FTA) Regions must jointly develop a report of findings and submit a transmittal letter documenting the final certification decision (i.e., if the TMA is fully meeting the requirements). This certification determination is the basis for providing ongoing allocations of Federal funds.

While FHWA and FTA review and approve planning products, provide technical assistance, and promote good practice on a routine basis, the formal assessment during a Certification Review also provides a valuable opportunity for FHWA and FTA to comprehensively assess compliance and provide advice and technical assistance to the MPO and its planning partners for enhancing the multimodal planning process and improving the quality of transportation investment decisions.

The primer is not intended to provide details on all steps or all topics covered through the Certification Review process; nor does it set a standard, establish a policy, or promote regulations for TMA planning processes. Rather, FHWA and FTA developed planning topic summaries as a resource for the MPO and its planning partners and to assist interested stakeholders and members of the public to understand and participate in the Certification Review process and the on-going multimodal planning process in each metropolitan area.

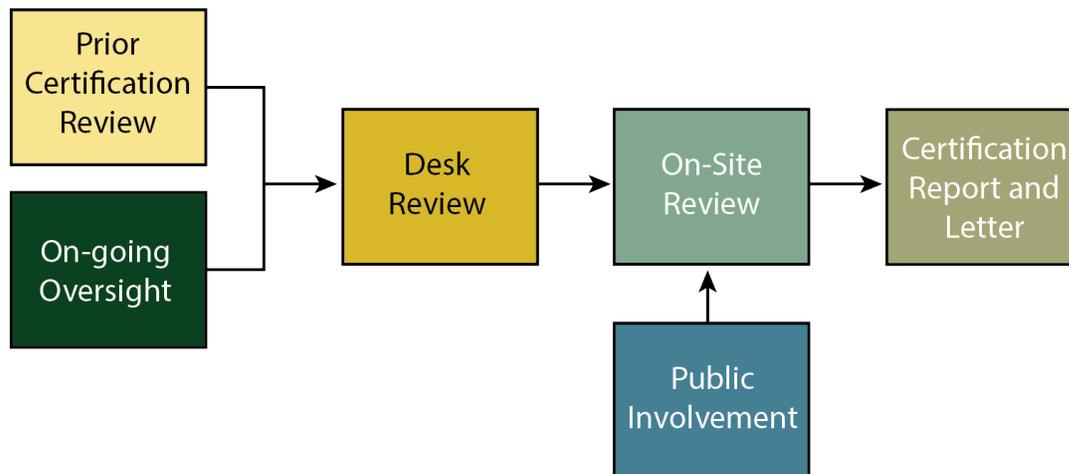
## **Certification Review Components**

Typically, Certification Reviews will take approximately six to nine months, from setting dates for the site visit, developing an agenda with priority topics to review, conducting the site visit with public input, to transmittal of the final Certification Letter and Certification Report and presentation to the MPO Policy Board.

### ***Federal Review Team***

FHWA Divisions and FTA Regions are responsible for jointly conducting the Certification Review. This Federal Team is made up of FHWA and FTA field planners assigned to lead the Certification Review process. The Federal Team can also include other subject matter expert (SMEs) within FHWA or FTA (e.g., Civil Rights Specialists, Environmental Protection Specialists, Safety Specialists, and Operations Specialists) or other partner agencies. Federal Teams are able to request support from SMEs depending on the expected focus areas for the Certification Review.

Once established, the Federal Review Team is responsible for organizing and leading the following elements of a typical Certification Review process:



*Figure 1 Certification Review Process Components*

Federal Review Teams review whether the planning process developed by MPOs and their planning partners for each TMA comply with the Federal requirements. Based on on-going oversight of the planning process in each TMA, Federal Review Teams determine topics for focus during the On-Site Review and in the Certification Report, which certifies the metropolitan planning process.

The scope of a Certification Review is determined by several factors:

***Prior Certification Report:***

Reviewing the previous Certification Report(s) provides a baseline measure to determine how the MPO and partners conducting the planning process have performed in the past, including highlighting any previous challenges and areas identified by FHWA and FTA as needing improvement based on the planning requirements. Reviewing progress on previous Federal actions is an important part of this process. See *Certification Report and Follow-Up* below or *Section 2.4 : Certification Review Findings and Actions* for more information on Federal actions.

***On-going Oversight:***

Drawing on the knowledge of routine contacts with the MPO and partner agencies is a key factor in determining compliance. By referencing its on-going oversight functions, the Federal Review Team should have a good understanding of current planning performance of the MPO and its partners prior to the start of the Certification Review. This can include on-going reviews and approvals of key planning products (e.g. Metropolitan Transportation Plan, Transportation Improvement Program, Air Quality and Transportation Conformity; Statewide Planning Findings; Unified Planning Work Program; Congestion Management Process; Public Participation Plan); information from FTA Triennial Reviews; and attendance at MPO Policy Board(s), technical or other sub-committee meetings, or public meetings.

**Desk Review:**

Using its review of previous reports and on-going oversight, the Federal Review Team may determine during the Desk Review that further discussion is necessary about particular elements of the planning process, and therefore use these as topics to focus the On-Site Review.

A critical element of the Certification Review Process is public involvement.

**Public Involvement:**

It is important that members of the public understand that their participation is an important component of the metropolitan planning process and can influence the decision-making process and selection of transportation investments. There is a Federal requirement that the public have an opportunity to participate in the Certification Review process. In addition to public involvement during the On-Site Review, in meetings organized by the Federal Review Team, there are other opportunities for the public to provide input for the Certification Review. Stakeholder groups, elected officials, and other members of the public may meet separately with the Federal Review Team, comment directly to the FHWA and FTA by mail, email, or telephone, or in some cases comment through an MPO website or other appropriate social media venue when coordinated and agreed to in advance with the Federal Review Team.

The scope of the Certification Review, including the topics the Federal Review Team identifies for focus, will determine the structure and length of the On-Site Review and Certification Report.

**On-Site Review:**

The Federal Review Team is responsible for organizing the logistics of the On-Site Review, including coordinating with the TMA planning partners on the date(s), organizing public involvement, and developing an agenda that reflects scoping work from the early stages of the Certification Review process. While the Federal Review Team reviews all of the planning requirements as part of the overall Certification Review process (see Figure 1), the On-Site Review may focus on priority topics and requirements identified as needing special attention.

**Certification Report and Follow-Up:**

The Certification Report provides details on topics identified during the Certification Review process (see Figure 1), including the Desk Review and On-Site Review. The Certification Review process identifies key findings that support the Federal actions, if any, identified in the Certification Report. The three categories of Federal actions that the Federal Review Team can use when evaluating performance of the MPO and its planning partners are 1) Corrective Actions (fails to meet compliance); 2) Recommendations (meets compliance, but suggest improvements); and 3) Commendations (exceeds expectations). The FHWA and FTA issue the Certification Report, including a Certification Letter, which certifies the metropolitan area planning process. The FHWA and FTA then coordinate with the MPO and its planning partners to develop and implement strategies for resolving areas identified as Corrective Actions and monitoring progress through on-going oversight. The FHWA and FTA may monitor recommendations and share resources or additional information in order to help the MPO and its planning partners continually enhance the metropolitan transportation planning process in the region. The FHWA and FTA may also share commendations as examples of effective practice.

See *Section 2.4 : Certification Review Findings and Actions* for more information on Federal actions.

## **Certification Primer Overview & Components**

This primer is organized into two major sections, with subsections, and includes a list of common acronyms and abbreviations:

### **Part 1 — Certification Topics**

This part provides background information on each substantive review topic, including related statutory references. It also includes issues to consider and criteria that could be used by a Certification Review Team to evaluate specific planning topics and to assist the MPO and its partner agencies to prepare for the review.

- 1.1 [MPO Structure and Agreements](#)
- 1.2 [Metropolitan Planning Area Boundaries](#)
- 1.3 [Unified Planning Work Program Development](#)
- 1.4 [Transportation Planning Process](#)
- 1.5 [Metropolitan Transportation Plan Development](#)
- 1.6 [Transportation Improvement Program Development](#)
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- 1.23 [Visualization Techniques](#)
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- 1.25 [Performance-Based Planning and Programming](#)
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### **Part 2 — Additional Considerations**

Part 2 covers special topics crucial to the metropolitan planning process and relevant to many of the topics considered in Certification Reviews and the Certification Review findings and actions.

- 2.1. [Documentation](#)
- 2.2. [Checklist for Travel Forecasting Methods](#)
- 2.3. [Intelligent Transportation Systems](#)
- 2.4. [Certification Review Findings and Actions](#)

## **Acronyms and Abbreviations**

## **Contact Information**

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## Resources

The following is a collection of additional resources to provide more detailed information on the metropolitan transportation planning process, including roles and responsibilities of the planning partners.

<a href="#"><u>FHWA Office of Planning</u></a>	This website provides an overview of the FHWA transportation planning responsibilities, including regulations, tools and guidance for planning professionals.
<a href="#"><u>FTA Office of Planning</u></a>	This website provides an overview of the FTA transportation planning responsibilities, including regulations, tools and guidance for planning professionals.
<a href="#"><u>The Transportation Planning Process Briefing Book</u></a>	The "Briefing Book" is a primer for a better understanding of Federal transportation planning regulations and requirements at the statewide and metropolitan planning levels.
<a href="#"><u>Transportation Planning Implications of TMA Designations</u></a>	This 2014 webinar describes the transportation planning activities required in TMAs, anticipated outcomes, and the procedural steps to be taken by public transportation operators, MPOs, and States to ensure that the new and changed planning responsibilities are met timely and effectively.
<a href="#"><u>Urbanized Areas and MPO/TMA Designation FAQ</u></a>	This document provides answers to commonly asked questions about how new TMAs are created and its impact on MPOs.
<a href="#"><u>Transportation Toolkit</u></a>	This document is geared toward members of the public who wish to learn how to engage in the transportation decision-making process at the local, regional, state and federal levels.
<a href="#"><u>Transportation Planning Capacity Building Website</u></a>	The Transportation Planning Capacity Building (TPCB) Program is designed to help decision makers, transportation officials, and staff resolve the increasingly complex issues they face when addressing transportation needs in their communities. This comprehensive program for training, technical assistance, and support targets State, local, regional, and Tribal governments, transit operators, and community leaders.

This primer is available electronically at the following publicly-available website: [www.planning.dot.gov](http://www.planning.dot.gov). The FHWA and FTA will update the primer periodically to include additional topics or information.

Questions about any of the topics discussed in this primer should be directed to the MPO and other transportation planning staff in your state or region. For additional support, contact your local FHWA division or FTA regional office. For information on how to reach FHWA or FTA staff, visit the FHWA and FTA websites at: [www.fhwa.dot.gov](http://www.fhwa.dot.gov) and [www.fta.dot.gov](http://www.fta.dot.gov), or the Transportation Planning Capacity Building website at [www.planning.dot.gov](http://www.planning.dot.gov).

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## Part 1 — Certification Topics

### Section 1-1 : MPO Structure and Agreements

#### Federal Statute:

23 USC 134(d)

49 USC 5303(d)

#### Primary Federal Regulations

23 CFR 450.310

23 CFR 450.314

49 CFR 613.100

#### Regulatory Basis

- Federal legislation (23 USC 134(d)) requires the designation of an MPO for each urbanized area with a population of more than 50,000 individuals. When an MPO representing all or part of a TMA is initially designated or redesignated, according to 23 CFR 450.310(d), the Policy Board of the MPO shall consist of local elected officials, officials of public agencies that administer or operate major modes of transportation within the metropolitan area, including representation by providers of public transportation, and appropriate State transportation officials.
- 23 USC 134(d) and 23 CFR 450.314(a) state the MPO, the State, and the public transportation operator shall cooperatively determine their mutual responsibilities in carrying out the metropolitan transportation planning process. These responsibilities shall be clearly identified in written agreements among the MPO, the State, and the public transportation operator serving the MPA.

#### Considerations for a Successful Process

- Periodically review and update agreements to ensure roles and responsibilities are agreed-upon, clearly documented, and meet the Federal requirements.
- Build and maintain MPO Policy Board and committee structures that are diverse and representative of the region.

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### Section 1-2 : Metropolitan Planning Area Boundaries

#### Federal Statute:

23 USC 134(e)

49 USC 5303(e)

#### Primary Federal Regulations

23 CFR 450.312

49 CFR 613.100

#### Regulatory Basis

- The metropolitan planning area boundary (MPA) refers to the geographic area in which the metropolitan transportation planning process must be carried out. 23 USC 134(e) and 23 CFR 450.312(a) state the boundaries of a MPA shall be determined by agreement between the MPO and the Governor. At a minimum, the MPA boundaries shall encompass the entire existing urbanized area (as defined by the Bureau of the Census) plus the contiguous area expected to become urbanized within a 20-year forecast period for the MTP.

#### Considerations for a Successful Process

- Review MPA boundaries after each census, and adjust as needed to ensure the appropriate geographic area is incorporated in the planning process, including areas expected to become urbanized in the next 20-years.

- Coordinate with local municipalities, MPOs, and planning partners to adjust boundaries as needed to better account for regional transportation needs.

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### **Section 1-3 : Unified Planning Work Program Development**

#### **Federal Statute:**

23 USC 134(c),(h)  
49 USC 5303(c),(h)

#### **Primary Federal Regulations**

23 CFR 420.111  
23 CFR 450.308  
49 CFR 613.100

#### **Regulatory Basis**

- 23 CFR 450.308 sets the requirement that planning activities performed under Titles 23 and 49 USC be documented in a Unified Planning Work Program (UPWP). The MPO, in cooperation with the State and public transportation operator, shall develop a UPWP that includes a discussion of the planning priorities facing the MPA and the work proposed for the next one- or two-year period by major activity and task in sufficient detail to indicate the agency that will perform the work, the schedule for completing the work, the resulting products, the proposed funding, and sources of funds.

#### **Considerations for a Successful Process**

- Demonstrate consistency with MPO mission, goals, strategies, and priorities
- Establish sound financial analysis and fiscal constraint processes
- Include all funded major transportation planning studies in the region
- Document work products, roles, schedules, and tasks
- Transmit to State and Federal agencies for review and approval by end of each fiscal year

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### **Section 1-4: Transportation Planning Process**

#### **Federal Statute:**

23 USC 134  
49 USC 5303

#### **Primary Federal Regulations**

23 CFR 450.300  
23 CFR 450.314  
49 CFR 613.100

#### **Regulatory Basis**

- 49 USC 5303 and 23 USC 134 require the transportation planning process in metropolitan areas to consider all modes of travel in the development of their plans and programs. Federal regulations cited in 23 CFR 450.314 state that the MPO in cooperation with the State and operators of publicly owned transit services shall be responsible for carrying out the transportation planning process.

#### **Considerations for a Successful Process**

- Coordinate a continuing, cooperative and comprehensive (3-C) transportation planning process with regional and statewide partners that addresses the planning factors, and ensures consistency across the development of planning products.

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## Section 1-5 : Metropolitan Transportation Plan Development

### Federal Statute:

23 USC 134(c),(i)  
49 USC 5303(c),(i)

### Primary Federal Regulations

23 CFR 450.324  
49 CFR 613.100

### Regulatory Basis

- 23 USC 134(c), (h) & (i) and 23 CFR 450.324 set forth requirements for the development and content of the Metropolitan Transportation Plan (MTP). Among the requirements are that the MTP address at least a 20-year planning horizon and that it includes both long and short range strategies that lead to the development of an integrated and multi-modal system to facilitate the safe and efficient movement of people and goods in addressing current and future transportation demand.
- The MTP is required to provide a continuing, cooperative, and comprehensive multimodal transportation planning process. The plan needs to consider all applicable issues related to the transportation systems development, land use, employment, economic development, natural environment, and housing and community development.
- 23 CFR 450.324(c) requires the MPO to review and update the MTP at least every four years in air quality nonattainment and maintenance areas and at least every 5 years in attainment areas to reflect current and forecasted transportation, population, land use, employment, congestion, and economic conditions and trends.
- The MTP must provide a description of the performance measures and performance targets used in assessing the performance of the transportation system.
- The MTP must include a system performance report that addresses the progress achieved by the MPO in meeting the performance targets.

### Considerations for a Successful Process

- Employ an inclusive public involvement effort that complies with Title VI and EJ
- Use comprehensive transportation system analyses to determine projects for inclusion that preserve existing transportation systems
- Include all regionally significant projects
- Develop and adopt with involvement from the MPO Policy Board that targets policy options, transportation needs analysis, alternative transportation options, and available financial resources

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## Section 1-6 : Transportation Improvement Program Development

### Federal Statute:

23 USC 134(j)  
49 USC 5303(j)

### Primary Federal Regulations:

23 CFR 450.326  
23 CFR 450.328  
49 CFR 613.100

### Regulatory Basis

- 23 USC 134 set forth requirements for the MPO to cooperatively develop a Transportation Improvement Program (TIP). Under 23 CFR 450.326, the TIP must meet the following requirements:
  - Must cover at least a four-year horizon and be updated at least every four years.

- Capital and non-capital surface transportation projects, bicycle and pedestrian facilities funded under Title 23 USC or Title 49 USC, except as noted in the regulations, are required to be included in the TIP.
- List project description, cost, funding source, and identification of the agency responsible for carrying out each project.
- Projects need to be consistent with the adopted MTP.
- Must be fiscally constrained and include a financial plan that demonstrates how the TIP can be implemented.
- The MPO must provide all interested parties with a reasonable opportunity to comment on the proposed TIP.
- The TIP must include a description of the anticipated effect of the programmed projects toward achieving the performance targets identified in the metropolitan transportation plan.

### **Considerations for a Successful Process**

- Develop through an interactive process with MPO Policy Board
- Document clear procedures for amending the TIP
- Include information on implementing agency and implementation schedule
- Monitor after adoption

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### **Section 1-7 : Public Outreach**

#### **Federal Statute:**

23 USC 134(i)(5)  
 23 USC 134(j)(4)&(7)  
 49 USC 5303(i)(5)  
 49 USC 5303(j)(4)&(7)

#### **Primary Federal Regulations:**

23 CFR 450.316  
 23 CFR 450.318(b)(2)  
 23 CFR 450.324(j)  
 23 CFR 450.326(b)  
 49 CFR 613.100

#### **Regulatory Basis**

- Sections 134(i)(5), 134(j)(1)(B) of Title 23 and Section 5303(i)(5) and 5303(j)(1)(B) of Title 49, require a Metropolitan Planning Organization (MPO) to provide adequate opportunity for the public to participate in and comment on the products and planning processes of the MPO. The requirements for public involvement are detailed in 23 CFR 450.316, which requires the MPO to develop and use a documented participation plan that includes explicit procedures and strategies to include the public and other interested parties in the transportation planning process.
- Specific requirements include giving adequate and timely notice of opportunities to participate in or comment on transportation issues and processes, employing visualization techniques to describe metropolitan transportation plans and TIPs, making public information readily available in electronically accessible formats and means such as the world wide web, holding public meetings at convenient and accessible locations and times, demonstrating explicit consideration and response to public input, and periodically reviewing the effectiveness of the participation plan.

### **Considerations for a Successful Process**

- Employ active efforts to encourage public involvement
- Demonstrate importance of public involvement during key stages of metropolitan transportation planning process, including:
  - Meetings with the MPO Policy Board, advisory committees, and staff;
  - Discussions on public participation, MTP, TIP, and other topics;

- The Federal Certification’s public outreach component
- Ensure potentially affected individuals have a reasonable opportunity to participate in decision-making
- Ensure concerns of all participants will be considered

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## **Section 1-8: Title VI and Nondiscrimination, Environmental Justice, and Limited English Proficiency**

### **Federal Statute:**

23 USC 324  
 29 USC 794  
 42 USC 12101  
 42 USC 2000d-1  
 49 USC 5332

### **Primary Federal Regulations:**

23 CFR 450.220  
 23 CFR 450.316  
 23 CFR 450.336(a)(3)  
 28 CFR 35  
 49 CFR 37  
 49 CFR 38  
 49 CFR 39  
 49 CFR 613.100

### **Executive Orders (EO):**

EO 12898  
 EO 13166

### **Regulatory Basis**

- Title VI of the Civil Rights Act of 1964, prohibits discrimination based upon race, color, and national origin. Specifically, 42 USC 2000d states that “No person in the United States shall, on the ground of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving Federal financial assistance.” In addition to Title VI, there are other Nondiscrimination statutes that afford legal protection. These statutes include the following: Section 162 (a) of the Federal-Aid Highway Act of 1973 (23 USC 324), Age Discrimination Act of 1975, and Section 504 of the Rehabilitation Act of 1973/Americans with Disabilities Act (ADA) of 1990. ADA specifies that programs and activities funded with Federal dollars are prohibited from discrimination based on disability.
- Executive Order #12898 (Environmental Justice) directs federal agencies to develop strategies to address disproportionately high and adverse human health or environmental effects of their programs on minority and low-income populations. In compliance with this Executive Order, USDOT and FHWA issued orders to establish policies and procedures for addressing environmental justice in minority and low-income populations. The planning regulations, at 23 CFR 450.316(a)(1)(vii), require that the needs of those “traditionally underserved” by existing transportation systems, such as low-income and/or minority households, be sought out and considered.
- Executive Order #13166 (Limited-English-Proficiency) requires agencies to ensure that limited English proficiency persons are able to meaningfully access the services provided consistent with and without unduly burdening the fundamental mission of each federal agency.

### **Considerations for a Successful Process**

- Include analysis procedures of regional data to identify minority, low-income, and/or LEP population concentrations and issues
- Establish and implement reasonable standards, measures and benchmarks,
- Monitor activities of regional transportation agencies to assess compliance with requirements, including whether the regional transportation system services are accessible

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## Section 1-9: Consultation and Coordination

### Federal Statute:

23 USC 134(g)  
23 USC 134(i)(2)(D)(ii)  
23 USC 134(i)(5)  
23 USC 134(i)(6)  
49 USC 5303(g)  
49 USC 5303(i)(2)(D)(ii)  
49 USC 5303(i)(5)  
49 USC 5303(i)(6)

### Primary Federal Regulations:

23 CFR 450.324(f)(10)  
23 CFR 450.324(h)  
23 CFR 450.316(b)(c)(d)(e)  
49 CFR 613.100

### Regulatory Basis

- 23 USC 134(g) & (i)(5)-(6) and 23 CFR 450.316(b-e) set forth requirements for consultation in developing the MTP and TIP. Consultation is also addressed specifically in connection with the MTP in 23 CFR 450.324(f)(10) and in 23 CFR 450.324(h) related to environmental mitigation.
- In developing the MTP and TIP, the MPO shall, to the extent practicable, develop a documented process that outlines roles, responsibilities, and key decision points for consulting with other governments and agencies as described below:
  - Agencies and officials responsible for other planning activities (State, local, economic development, environmental protection, airport operations, or freight)
  - Other providers of transportation services
  - Indian Tribal Government(s)
  - Federal land management agencies

### Considerations for a Successful Process

- Establish method to periodically evaluate the effectiveness of procedures
- Organize and presents information in an easily understandable format
- Demonstrate evidence that coordination occurred and any knowledge gained was used

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## Section 1-10 : List of Obligated Projects

### Federal Statute:

23 USC 134(j)(7)(B)  
49 USC 5303(j)(7)(B)

### Primary Federal Regulations:

23 CFR 450.334  
49 CFR 613.100

### Regulatory Basis

- 23 USC 134(j)(7) and 23 CFR 450.334 requires that the State, the MPO, and public transportation operators cooperatively develop a listing of projects for which Federal funds under 23 USC or 49 USC. Chapter 53 have been obligated in the previous year. The listing must include all federally funded projects authorized or revised to increase obligations in the preceding program year and, at a minimum,

the following for each project:

- The amount of funds requested in the TIP
- Federal funding obligated during the preceding year
- Federal funding remaining and available for subsequent years
- Sufficient description to identify the project
- Identification of the agencies responsible for carrying out the project

### **Considerations for a Successful Process**

- Include projects across all transportation modes receiving funding from both Federal and non-Federal sources
- Establish process for comparing the projects in the annual listing to the TIP
- Make available in accordance with the MPO(s) public participation criteria for the TIP

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## **Section 1-11 : Integrating Freight in the Transportation Planning Process**

### **Federal Statute:**

23 USC 134(h)(1)(D)

49 USC 5303(h)(1)(D)

### **Primary Federal Regulations:**

23 CFR 450.306(b)

23 CFR 450.316(a)

23 CFR 450.316(b)

49 CFR 613.100

### **Regulatory Basis**

- The MAP-21 established in 23 USC 167 a policy to improve the condition and performance of the national freight network and achieve goals related to economic competitiveness and efficiency; congestion; productivity; safety, security, and resilience of freight movement; infrastructure condition; use of advanced technology; performance, innovation, competition, and accountability, while reducing environmental impacts.
- In addition, 23 USC 134 and 23 CFR 450.306 specifically identify the need to address freight movement as part of the metropolitan transportation planning process.

### **Considerations for a Successful Process**

- Planning products consider improvements in rail, intermodal freight transfers, and intermodal connectors to enhance integration and connectivity of the transportation system across modes
- Demonstrate consistency between TIP, MTP, CMP and other planning documents and procedures
- Develop staff expertise regarding freight issues
- As an option, establish MPO Freight Advisory Committee to build technical support for considering freight, and document its influence on the transportation planning and decision-making processes in the region

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## **Section 1-12 : Environmental Mitigation**

### **Federal Statute:**

23 USC 134(h)(1)(E)

23 USC 134(i)(2)(D)

23 USC 168

49 USC 5303(i)(2)(D)

### **Primary Federal Regulations:**

23 CFR 450.320

23 CFR 450.324(f)(10)

23 CFR 450.318

Appendix A to 23 CFR Part 450

49 CFR 613.100

### **Regulatory Basis**

- 23 USC 134(i)(2)(D) and 23 CFR 450.324(f)(10) require environmental mitigation be set forth in connection with the MTP. The MTP is required to include a discussion of types of potential environmental mitigation activities for the transportation improvements and potential areas to carry out these activities, including activities that may have the greatest potential to restore and maintain the environmental functions affected by the plan.
- 23 USC 168 and Appendix A to 23 CFR Part 450 provide for linking the transportation planning and the National Environmental Policy Act (NEPA) processes. A Planning and Environmental Linkages (PEL) study can incorporate the initial phases of NEPA through the consideration of natural, physical, and social effects, coordination with environmental resource agencies, and public involvement. This will allow the analysis in the PEL study to be referenced in the subsequent NEPA document once the project is initiated, saving time and money with project implementation.

### **Considerations for a Successful Process**

- Include comprehensive discussion of potential environmental factors, such as:
  - Neighborhood cohesion and community disruption, including property acquisitions and displacements, noise, and changes to accessibility
  - Water and air quality
  - Wetlands and floodplains
  - Endangered Species
  - Park and recreation lands and wildlife refuges
  - Hazardous Waste Sites
  - Historic and archeological sites
- Document consultation and evaluation process with applicable resource agencies, including definitions of potential mitigation measures, locations, and methods for assessment

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## **Section 1-13 : Transportation Safety Planning**

### **Federal Statute:**

23 USC 134(h)(1)(B)

23 USC 148

49 USC 5303(h)(1)(B)

### **Primary Federal Regulations:**

23 CFR 450.306(b)(2)

23 CFR 450.324(h)

23 CFR 450.326(e)(1)

49 CFR 613.100

## **Regulatory Basis**

- 23 USC 134(h)(1)(B) requires MPOs to consider safety as one of ten planning factors. As stated in 23 CFR 450.306(b)(2), the planning process needs to consider and implement projects, strategies, and services that will increase the safety of the transportation system for motorized and non-motorized users.
- In addition, SAFETEA-LU established a core safety program called the Highway Safety Improvement Program (HSIP) (23 USC 148), which introduced a mandate for states to have Strategic Highway Safety Plans (SHSPs). 23 CFR 450.306 (d) requires the metropolitan transportation planning process should be consistent with the SHSP, and other transit safety and security planning.

## **Considerations for a Successful Process**

- Collaboratively develop a comprehensive approach that focuses on the transportation system and the importance of data
- Demonstrate that data are used to benchmark and measure safety concerns, and influence project selection

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## **Section 1-14 : Security in the Planning Process**

### **Federal Statute:**

23 USC 134(h)(1)(C)  
49 USC 5303(h)(1)(C)

### **Primary Federal Regulations:**

23 CFR 450.306(b)(3)  
23 CFR 450.324(h)  
49 CFR 613.100

## **Regulatory Basis**

- 23 USC 134(h)(1)(C) requires MPOs to consider security as one of ten planning factors. As stated in 23 CFR 450.306(b)(3), the Metropolitan Transportation Planning process provides for consideration of security of the transportation system.
- The regulations state that the degree and consideration of security should be based on the scale and complexity of many different local issues. Under 23 CFR 450.324(h), the MTP should include emergency relief and disaster preparedness plans and strategies and policies that support homeland security, as appropriate.

## **Considerations for a Successful Process**

- Create a local definition of security to meet both regional needs and intent of planning factor
- Establish collaboration and coordination efforts early in the planning process, including roles and responsibilities for security planning
- Communicate with local counterparts to prepare for emergency situations
- Efforts are part of or build on existing emergency preparedness process/programs

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## **Section 1-15: Nonmotorized Planning/Livability**

### **Federal Statute:**

23 USC 134(h)  
23 USC 217(g)

### **Primary Federal Regulations:**

23 CFR 450.300  
23 CFR 450.306

23 CFR 450.316  
23 CFR 450.324  
23 CFR 652  
49 CFR 613.100

### **Regulatory Basis**

- 23 USC 217(g) states that bicyclists and pedestrians shall be given due consideration in the comprehensive transportation plans developed by each MPO under 23 USC 134. Bicycle transportation facilities and pedestrian walkways shall be considered, where appropriate, in conjunction with all new construction and reconstruction of transportation facilities.
- 23 CFR 450.306 sets forth the requirement that the scope of the metropolitan planning process "will increase the safety for motorized and non-motorized users; increase the security of the transportation system for motorized and nonmotorized users; and protect and enhance the environment, promote energy conservation, improve the quality of life.

### **Considerations for a Successful Process**

- Reflect regional goals and policies related to quality of life, livability, and sustainability in the decisionmaking process.
- Proactively consider the needs of the bicycle and pedestrian stakeholders, and other nonmotorized transportation interests, and integrate into the planning process.

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## **Section 1-16 : Integration of Land Use and Transportation**

### **Federal Statute:**

23 USC 134(g)  
23 USC 134(h)(1)  
23 USC 134(i)(2)(D)  
23 USC 134(i)(5)  
49 USC 134(g)  
49 USC 5303(h)(1)  
49 USC 5303(i)(2)(D)  
49 USC 5303(i)(5)

### **Primary Federal Regulations:**

23 CFR 450.306(c)  
23 CFR 450.316  
23 CFR 450.322(d)(4)(i)  
23 CFR 450.324(f)(10)  
23 CFR 450.324(g)  
49 CFR 613.100

### **Regulatory Basis**

- 23 USC 134(g)(3) encourages MPOs to consult with officials responsible for other types of planning activities that are affected by transportation in the area (including State and local planned growth, economic development, environmental protection, airport operations, and freight movements) or to coordinate its planning process, to the maximum extent practicable, with such planning activities.
- 23 USC 134(h)(1)(E) and 23 CFR 450.306(b)(5) set forth requirements for the MTP to protect and enhance the environment, promote energy conservation, improve the quality of life, and promote consistency between transportation improvements and State and local planned growth and economic development patterns.
- Transportation planning process must be coordinated with "planned growth" and similar activities, including agencies with certain responsibilities for land and other resource management activities.

### **Considerations for a Successful Process**

- Demonstrate consistency and strengthen connection between decision-making and existing land use and livability plans, policies, and principles, including the MTP
- Show evidence of public outreach initiatives that reach beyond the usual stakeholders and interest groups through the PPP to broad breadth on public input
- Establish effective collaboration and coordination efforts early in the planning process
- Identify and fund projects deemed critical to completing regional plans

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### **Section 1-17: Travel Demand Forecasting**

#### **Federal Statute:**

23 USC 134(i)(2)(G)

49 USC 5303(i)(2)(G)

#### **Primary Federal Regulations:**

23 CFR 450.324(f)(1)

49 CFR 613.100

#### **Regulatory Basis**

- 23 CFR 450.324(f)(1) requires that the Metropolitan Transportation Plan include the projected transportation demand of persons and goods in the MPA over the period of the transportation plan. Travel demand forecasting models are used in the planning process to identify deficiencies in future year transportation systems and evaluate the impacts of alternative transportation investments. In air quality non-attainment and maintenance areas, they are also used to estimate regional vehicle activity for use in mobile source emission models that support air quality conformity determinations.

### **Considerations for a Successful Process**

- Periodically update travel demand forecast estimates to ensure current data is being incorporated in various planning analyses, including freight and passenger movements across the region, and use to prioritize investments.

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### **Section 1-18 : Air Quality**

#### **Federal Statute:**

42 USC 7401

42 USC 7506(c)(1)

#### **Primary Federal Regulations:**

23 CFR 450.312(b)

23 CFR 450.314(c),(d),(e)

23 CFR 450.322(e)

23 CFR 450.324(a),(d),(e),(f),(m)

23 CFR 450.326(a),(b),(g),(h),(k),(n),(o)

23 CFR 450.328(a),(b)

23 CFR 450.330(b),(c)

23 CFR 450.332(e)

49 CFR 613.100

#### **Regulatory Basis**

- The air quality provisions of the Clean Air Act (42 USC 7401) and the MPO provisions of Titles 23 and 49 require a planning process that integrates air quality and metropolitan transportation planning, such that transportation investments support clean air goals. Under 23 CFR 450.324(m), a conformity

determination must be made on any updated or amended transportation plan in accordance with the Clean Air Act and the EPA transportation conformity regulations of 40 CFR Part 93. A conformity determination must also be made on any updated or amended TIP, per 23 CFR 450.326(a).

- Agreements/Coordination:
  - Between MPO and designated air quality planning agency
  - Among MPO, State DOT, and State and local air quality agencies if entire area not included in MPA
  - Among the State and the MPO if more than one MPO covers the non-attainment/ maintenance area
- MTP Process
  - Coordinated MTP development with State Implementation Plan (SIP) development process, including Transportation Control Measures (TCM) development
  - Projects that significantly increase Single Occupancy Vehicle (SOV) capacity came from CMP
  - Identify and include design concept, scope of existing and future facilities
  - MPO, FTA and FHWA conformity determination on any new or revised MTP
  - Transportation and emission modeling acceptable
- MTP Content
  - Existing and future transportation facilities include design concept and scope
- TIP Process
  - MPO, FTA and FHWA conformity determination on any new or amended TIP
  - Opportunity for at least one formal public meeting
  - Identify projects designated as TCMs in the SIP
  - If amended by adding or deleting projects that affect transportation related emissions, a new conformity determination was completed
- TIP Content
  - Existing and future transportation facilities include design concept and scope
  - Include all regionally significant transportation projects proposed, regardless of funding
  - Identify TCM projects and describe their progress
  - List all projects found to conform in the previous TIP that are now part of the base case for conformity
- FHWA and FTA review of transportation planning process to ensure conformity

### **Considerations for a Successful Process**

- Agreements clearly define conformity responsibilities
- Coordinate with air quality agencies to establish budgets and implement conformity plans
- Cooperate with State, regional and local air quality agencies to establish air quality budgets
- Educate the public on air quality issues and strategies
- Include air quality considerations in major planning processes

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### **Section 1-19 : Congestion Management Process**

#### **Federal Statute:**

23 USC 134(k)(3)

49 USC 5303(k)(3)

#### **Primary Federal Regulations:**

23 CFR 450.322

23 CFR 500.109

49 CFR 613.100

#### **Regulatory Basis**

- 23 USC 134(k)(3) and 23 CFR 450.322 set forth requirements for the congestion management process (CMP) in TMAs. The CMP is a systematic approach for managing congestion through a process that provides for a safe and effective integrated management and operation of the multimodal transportation

system. TMAs designated as non-attainment for ozone must also provide an analysis of the need for additional capacity for a proposed improvement over travel demand reduction, and operational management strategies.

### **Considerations for a Successful Process**

- Adhere to the recommended 8-step CMP approach
- Include information on causes of congestion
- Include strategies that reduce SOV travel
  - For nonattainment areas, SOV capacity increasing projects should come from CMP which identifies all reasonable management strategies
- Integrate CMP with the planning process
- Develop an optional congestion management plan that includes TIP projects and strategies

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## **Section 1-20 : Management and Operations Considerations**

### **Federal Statute:**

23 USC 134(h)(1)(G)

23 USC 134(i)(2)(F)

49 USC 5303(h)(1)(G)

49 USC 5303(i)(2)(F)

### **Primary Federal Regulations:**

23 CFR 450.306(b)(7)

23 CFR 450.324(f)(5)

23 CFR 450.324(f)(11)(i)

23 CFR 450.326(j)

49 CFR 613.100

### **Regulatory Basis**

- 23 CFR 450.324(f)(5) requires the MTP include Management and Operations (M&O) of the transportation network as an integrated, multimodal approach to optimize the performance of the existing transportation infrastructure. Effective M&O strategies include measurable regional operations goals and objectives and specific performance measures to optimize system performance.
- 23 CFR 450.324(f)(11)(i) requires that the financial plan for the MTP must include system-level estimates of costs and revenue sources that are reasonably expected to be available to adequately operate and maintain Federal-aid highways and public transportation.

### **Considerations for a Successful Process**

- Consider multi-modal approach to optimize performance of existing transportation system
- Provide higher levels of service without higher cost of infrastructure improvements
- Establish coordinated program for data collection and system monitoring, including measurable objectives used to track progress

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## **Section 1-21: Financial Planning**

### **Federal Statute:**

23 USC 134(i)(2)(C)

23 USC 134(j)(1)(C)

23 USC 134(j)(2)(B)

49 USC 5303(i)(2)(E)

49 USC 5303(j)(1)(C)

49 USC 5303(j)(2)(B)

## Primary Federal Regulations

23 CFR 450.324(f)(11)  
23 CFR 450.326(j),(k),(l)  
49 CFR 613.100

## Regulatory Basis

- 23 CFR 450.324(f)(11) and 23 CFR 450.326(j),(k) outline financial planning requirements to support MTP and TIP implementation as follows:
  - Revenue estimates shall be cooperatively developed by State, MPO, and public transportation operator(s), and include all public and private sources reasonably expected to support plan implementation.
  - For nonattainment and maintenance areas, recommendations for additional financing strategies shall also be included in the MTP. Nonattainment and maintenance area projects included in the first two years of the TIP shall have funds available or committed; eligible TCM projects shall have priority.
  - System level cost estimates shall be identified for system M&O, incorporate inflation rates reflecting year of expenditure (YOE), and demonstrates consistency with existing and proposed revenue sources with all forecasted O&M and project costs. For outer years (beyond 10 years), cost ranges or bands are acceptable.
  - The financial plan may include additional projects if additional resources outside of the financial plan are identified.
  - The TIP shall be fiscally constrained by year, and be updated to maintain consistency.

## Considerations for a Successful Process

- Show how revenues are forecasted and cost estimates are derived, including non-Federal funds
- Document the cooperative development process
- Include procedures on use of innovative funding techniques and Advance Construction
- Demonstrate consistency between cost estimates in the MTP and TIP

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## Section 1-22: Self-Certifications

### Federal Statute:

No specific citation

### Primary Federal Regulations:

23 CFR 450.336  
49 CFR 613.100

## Regulatory Basis

- Self-Certification is required at least once every four years to demonstrate that the metropolitan transportation planning process requirements are being met in accordance with 23 USC 134 and 49 USC 5303
- Certification by FTA and FHWA of planning process in TMAs is required at least once every four years

## Considerations for a Successful Process

- Document Self-Certification review/adoption procedures, including any follow-up processes
- Develop reasonable criteria to establish Self-Certification
- Ensure that the MPO Policy Board is:
  - Aware of requirements and has a clear understanding of Self-Certification
  - Provided documentation/support

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## Section 1-23: Visualization Techniques

### Federal Statute:

23 USC 134(i)(6)(C)(ii)  
49 USC 5303(i)(6)(C)(ii)

### Primary Federal Regulations:

23 CFR 450.316(a)(1)(iii)  
49 CFR 613.100

### Regulatory Basis:

- Developed in consultation with all interested parties, as listed in 23 CFR 450.316(a), the participation plan shall describe procedures, strategies, and desired outcomes for employing visualization techniques to describe MTPs and TIPs.
- The MPO shall demonstrate the planning process takes advantage of a variety of techniques and advancing technologies
- The MPO shall measure the effectiveness of applied visualization techniques and efforts to evaluate/revise techniques when warranted; this includes examining feedback from the public based on clarity of outreach efforts, including value of visualization techniques

### Considerations for a Successful Process

- To enhance communications, use a variety of techniques to display information more clearly, such as creative graphics, multimedia presentations to help visualize alternatives or various scenarios, and illustrations of outputs from travel forecasting models
- Broadcast MPO Board and other planning meetings via local government access cable channels
- Incorporate visualization techniques on website for sharing information and obtaining feedback

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## Section 1-24 : Planning and Environmental Linkages

### Federal Statute

23 USC 168

### Primary Federal Regulations

23 CFR 450.212  
23 CFR 450.318  
Appendix A to 23 CFR Part 450

### Regulatory Basis

- Transportation planning regulations codified in 23 CFR 450.212 and 23 CFR 450.318 provide a process by which the following agencies may incorporate by reference and use a planning product to the maximum extent practicable and appropriate in the environmental review process of the project:
  - The lead agency for a project, with respect to an environmental impact statement, environmental assessment, categorical exclusion, or other document prepared under National Environmental Policy Act (NEPA)
  - The cooperating agency with responsibility under Federal Law, with respect to the process for and completion of any environmental permit, approval, review, or study required for a project under any Federal law other than NEPA
- Additional State guidance or processes that are relevant and which describe how the planning partners will implement and adhere to PEL approaches in that State

### Considerations for a Successful Process

- Document and incorporate PEL goals, strategies, guidance, and activities in the MTP, statewide long-range transportation plan, UPWP, and other plans, studies, or agreements
- Ensure adequate resource allocation by establishing a committee or group of champions, and

- assigning staff to support PEL efforts
- Integrate data systems which combine built and natural environmental, geographic, and transportation data from multiple agencies and/or departments
- Update MTP and other MPO plans and activities to satisfy NEPA

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## **Section 1-25 : Performance-Based Planning and Programming**

### **Federal Statute**

- 23 USC 134(c)(1)
- 23 USC 134(h)(2)
- 23 USC 134(i)(2)(B)(C)
- 23 USC 134(i)(4)(A)(B)(C)
- 23 USC 134(j)(2)(D)
- 23 USC 134(l)(1)(2)
- 23 USC 150(c)(d)(e)
- 49 USC 5303(c)(1)
- 49 USC 5303(h)(2)
- 49 USC 5303(i)(2)(B)(C)
- 49 USC 5303(i)(4)(A)(B)(C)
- 49 USC 5303(j)(2)(D)
- 49 USC 5303(l)(1)(2)
- 49 USC 5326(c)
- 49 USC 5329(d)

### **Primary Federal Regulations**

- 23 CFR 450.206
- 23 CFR 450.216
- 23 CFR 450.218
- 23 CFR 450.306
- 23 CFR 450.314
- 23 CFR 450.324
- 23 CFR 450.326

### **Regulatory Basis**

- The metropolitan transportation planning process
  - Uses a performance-based approach for decision-making
  - Identifies the following goals for the focus of the Federal-aid highway program
    - § Safety
    - § Infrastructure condition
    - § Congestion Reduction
    - § System Reliability
    - § Freight Movement and Economic Vitality
    - § Environmental Sustainability
    - § Reduced Project Delivery Delays
- Establishes performance targets that track progress towards attainment of critical outcomes for the region of the MPO
- MPO integrates goals, objectives, performance measures, and targets from other MPO and State transportation plans into the metropolitan transportation planning process
- MPOs may evaluate scenarios using locally developed measures
- MTP contains a description of the performance measures and performance targets used
- The MTP contains a system performance report
- MPO may voluntarily elect to develop multiple scenarios for consideration as part of development of the MTP and consider multiple investment scenarios
- TIP includes description of its anticipated effects on achieving the performance targets established in

the MTP

### **Considerations for a Successful Process**

- Set vision, goals, and objectives to guide all planning efforts
- Establish performance measures that capture the fundamental outcomes of the agencies goals and objectives
- Include analytic methods and decision support tools to evaluate investments
- Use project delivery and system management to provide feedback into the planning process
- Ensure coordination and collaboration with stakeholders and the public

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### **Section 1-26: Regional Models of Cooperation**

Regional Models of Cooperation (RMOC) is not a distinct topic in the planning statute and regulations. However, it is relevant to several aspects of the transportation planning process where coordination and collaboration beyond TMA boundaries are clearly required, as well as in topics where more comprehensive regional cooperation is a best practice.

RMOC is likely to be of interest in regions with complex MPO to TMA relationships, such as:

- A TMA is covered by more than one MPO
- A TMA crosses State boundaries
- An MPO planning area covers all or portions of two or more TMAs
- A public transportation operator provides public transportation service in the planning areas of more than one MPO, or across multiple TMAs
- A TMA is part of a larger air quality nonattainment or maintenance area which may require increased air quality planning and coordination
- A region is part of a megaregion (a network of connected urban areas) with multiple adjacent TMAs

### **Related Federal Regulations**

23 CFR 450.300  
23 CFR 450.310  
23 CFR 450.312  
23 CFR 450.314  
23 CFR 450.318  
23 CFR 450.322

### **Regulatory Basis**

- Relevant regulations, guidance, and programs:
  - When two or more MPOs serve the same urbanized area, establishes official, written agreements that identify areas of coordination and division of responsibilities
  - When the MPA or urbanized area boundaries extend across two or more States, coordinates transportation planning responsibilities for the entire multistate area
  - When an urbanized area extends into an adjacent MPA, establishes written agreements that coordinate and divide transportation planning responsibilities among the MPOs
  - When adjusting MPA boundaries following each Census, such adjustments should reflect the most comprehensive boundary to foster an effective planning process; this should ensure connectivity between modes, reduce access disadvantages, and promote efficient overall investment strategies
  - If more than one MPO is designated to serve an urbanized area, written agreements between TMA planning partners, including air quality agencies in nonattainment or maintenance areas, must describe how the transportation planning process will be coordinated to assure consistent MTPs and TIPs across the MPA boundaries
  - Corridor or subarea planning studies undertaken by an MPO, State, or public transportation operator should be developed jointly with other transportation planning partners to the extent practicable

- The CMP, including objectives and appropriate performance measures, must be based on a cooperative and implemented metropolitan-wide strategy

### **Considerations for a Successful Process**

- Include clear descriptions of how transportation planning responsibilities are coordinated among multiple planning agencies serving an urbanized area, multiple states, or air quality nonattainment or maintenance areas, in required planning agreements
- Establish and effectively implement cooperative planning procedures with regional partners, particularly with agencies that provide services to multiple planning areas and jurisdictions
- Consider the goals and objectives of all regional partners when establishing multi-jurisdictional plans and program
- Demonstrate a commitment to ensuring connectivity between modes and to promoting overall efficient investment strategies across MPA boundaries within an urbanized area or with adjacent urbanized areas, in MTPs, TIPs, and other planning products
- Coordinate the development of UPWPs to ensure a coordinated planning process across jurisdictions
- Strives to coordinate public outreach and engagement activities for the entire urbanized area

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## Part 2 – Additional Considerations

### Section 2-1: Documentation

#### Federal Statute

5 USC 552

23 USC 134 and 135 (various sections)

49 USC 613.100

#### Primary Federal Regulations

23 CFR 450 (various sections)

23 CFR 420.117(e)

#### Considerations

- Level of accountability for results and outcomes of planning process, including:
  - UPWP
  - PPP
  - MTP
  - TIP
  - CMP
  - Annual Listing of Obligated Projects
  - Corridor studies
  - Subarea plans
  - Modal plans (e.g. bicycle, pedestrian, transit, or freight).

#### Documentation Purposes

- Accountability
  - Builds trust with the public and among cooperating agencies
  - Increases credibility and confidence in decisions
  - Record of decisions, actions and technical information useful for future reference
- Can provide various levels of detail appropriate for different audiences
  - Accessible versions for wide distribution
  - Versions intended for the MPO Policy Board and others involved in planning process needing greater detail and background
  - Technical papers to provide transportation data/procedures and other specific information, etc.

#### Considerations for a Successful Process

- Ensure all publications are accessible and written clearly and accessible to the public
- Document procedures for various planning activities to ensure consistency over time, particularly with staff turnover.

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### Section 2-2: Checklist for Travel Forecasting Methods

#### Federal Statute

23 USC 134(i)

49 USC 5303(i)(2)(A)(ii)

42 USC 7506(c)

#### Federal Regulations

23 CFR 450.324(b),(e),(f)

40 CFR 93.122(b),(c),(d)

#### Key Indicators of Risk

- Metropolitan area designated as serious, severe, or extreme ozone or serious carbon monoxide

nonattainment area

- Metropolitan area designated as nonattainment or maintenance area.
- Travel demand models used previously by MPO FTA transit new start grant
- Major projects that will significantly increase highway capacity
- Transportation projects where there is strong and coordinated opposition by local advocacy groups
- The MPO is a defendant in, or threatened with, legal actions in which the adequacy of their travel forecasting methods was challenged

### **Key Indicators of Agency Technical Capabilities**

- Who is responsible for travel forecasting at the MPO?
- Formal MOA to delineate technical responsibilities, lines of communication and review, authorized expenditures and reimbursement procedures
- Who, if anyone, on the MPO staff is responsible for evaluating the technical work of the contractor? Formal training or experience in the use of travel forecasting methods.
- MPO organization structure includes a technical committee to review planning assumptions and forecasting methods
- Strategic plan and a guaranteed minimum level of funding in its UPWP for maintenance and improvements to its travel forecasting methods
- Peer review or other independent assessment of their travel forecasting methods

### **Documentation**

- Inventory of current state of transportation
- Key planning assumptions used in developing the forecasts
- Descriptions of the methods used to develop forecasts of future travel demand

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## **Section 2-3 : Intelligent Transportation Systems**

### **Federal Statute**

Fixing America's Surface Transportation (FAST) Act § 6002, 6005-6010  
23 USC 512-519

### **Primary Federal Regulations**

23 CFR 940

### **Regulatory Requirements**

- MPOs that are implementing ITS projects that have not advanced to final design by April 8, 2005 must have regional ITS architecture in place
- ITS projects must be consistent with 23 CFR 940
- Project level architecture consistent with national ITS architecture
- Projects use system engineering process
- As appropriate, use USDOT adopted standards Compliance in accordance with Federal-aid procedures

These provisions were not codified into 23 USC

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## **Section 2.4 : Certification Review Findings and Actions**

### **Certification Categories**

At the conclusion of the TMA Certification Review process, Federal Review Teams can issue one of four Certification categories, as follows:

- Certified (fully meets requirements): for four years
- Certified with conditions (substantially meets requirements): for four years with Corrective Actions that

define items requiring attention

- Certified with conditions and restrictions (does not meet requirements): Corrective Actions that define items required to achieve certification or certification with conditions
- Not certified (does not meet requirements): Corrective Actions that define items required to achieve certification

#### **Definitions of Federal Actions**

- **Corrective Actions:** Items that do not meet the requirements of the transportation statute and regulations with a clear timeline for resolution.
- **Recommendations:** Items that meet the statutory and regulatory requirements, but are either dated or need improvement to fully implement the metropolitan transportation planning process.
- **Commendations and noteworthy practices:** A planning activity that demonstrates innovative, highly effective, well-thought out procedures for implementing the planning requirements or represents a national model for implementation and can be cited as an example for peer metro areas of best practice nationally.

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## Acronyms and Abbreviations

ADA	Americans with Disabilities Act
CFR	Code of Federal Regulations
CMP	Congestion Management Process
DOT	Department of Transportation (State)
EJ	Environmental Justice
EO	Executive Order
FAST	Fixing America's Surface Transportation
FHWA	Federal Highway Administration
FTA	Federal Transit Administration
HSIP	Highway Safety Improvement Plan
ITS	Intelligent Transportation Systems
LEP	Limited English Proficiency
M&O	Management and Operations
MOA	Memorandum of Agreement
MPA	Metropolitan Planning Area
MPO	Metropolitan Planning Organization
MTP	Metropolitan Transportation Plan
NEPA	National Environmental Policy Act
PBPP	Performance-Based Planning and Programming
PEL	Planning and Environmental Linkages
PPP	Public Participation Plan
RMOC	Regional Models of Cooperation
SHSP	Strategic Highway Safety Plan
SIP	State Implementation Plan
SOV	Single Occupancy Vehicle
TCM	Transportation Control Measure
TIP	Transportation Improvement Program

Title VI	Title VI of the 1964 Civil Rights Act
TMA	Transportation Management Area
USC	United States Code
UPWP	Unified Planning Work Program
USDOT	United States Department of Transportation
YOE	Year of Expenditure

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