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16. ABSTRACT			

As defined in the initial scope of work (SOW), the goal of this project was to identify the competencies, networks, and resources present in the Study Group, and in doing so identify their planning capacity, document any gaps in knowledge, and provide recommendations for additional aid as relevant. Transportation is more than just roads, and this study helps identify how transportation is perceived by the Study Group. As such, an important aspect of the study will be to understand and define what transportation planning means to the Study Group, tribal understanding of Caltrans' mission and vision, capacity for participation in state, regional and local transportation planning and especially their understanding of and interest in transportation as a multi-modal system. The presence of a tribal transportation-related plan for each tribe will be an important variable to track, along with identifying the type of, and level of detail in, each plan.

As discussed in Reddy et al. (2020), we conducted and completed a Pilot Study of remote interviews in March 2021 (Table 1). We reached out to 12 tribes through email and US Postal mail in February 2021. In the emails and letters, we briefly summarized our first contact in 2020, attached the questionnaire and requested an interview. If there was no response after a week, we contacted them again over email followed by a phone call. Three tribes did not respond to emails or phone calls. Two tribes completed the questionnaires and returned them to us but did not respond to our request for an interview. We interviewed six tribes, and the interviews were conducted by Seetha Reddy, Ashley Parker and David Reinke over zoom video calls.

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**CALTRANS TRANSPORTATION PLANNING NEEDS ASSESSMENT:
PILOT STUDY SUMMARY FINDINGS**

Seetha Reddy, Ashley Parker and David Reinke

April 5, 2021

As discussed in Reddy et al. (2020), we conducted and completed a Pilot Study of remote interviews in March 2021 (Table 1). We reached out to 12 tribes through email and US Postal mail in February 2021. In the emails and letters, we briefly summarized our first contact in 2020, attached the questionnaire and requested an interview. If there was no response after a week, we contacted them again over email followed by a phone call. Three tribes did not respond to emails or phone calls. Two tribes completed the questionnaires and returned them to us but did not respond to our request for an interview. We interviewed six tribes, and the interviews were conducted by Seetha Reddy, Ashley Parker and David Reinke over zoom video calls.

Table 1. Tribes contacted for the Pilot Study

Category	Tribes	Questionnaire	Interview	Comments
Large land holding, with Transportation Department and Specialist	Hoopa	No	No	No response
	Yurok	Yes	No	Tribe completed questionnaire and returned it on March 11, 2021. Tribe did not respond to request for interview but did answer the follow-up questions.
	Karuk	No	No	Tribe said they were too busy to do interview; and will complete the questionnaire at some point
	Hopland	Yes	Yes	Tribe completed questionnaire; and the interview was conducted on March 26. We augmented the questionnaire with notes from the interview and returned to Tribe for approval on March 30, 2021
	Fort Mojave	Yes	No	Tribe completed questionnaire and returned it on March 10, 2021. Tribe did not respond to request for interview, or the follow-up questions.
	Round Valley	Yes	Yes	Tribe partially completed questionnaire and sent it back on March 23, 2021. The interview was conducted on March 26. We augmented the questionnaire with notes from the interview and returned to Tribe for approval on March 30, 2021. Several questions need to be completed by Tribal staff who are out of the office.
	Morongo	Yes	Yes	Tribe completed questionnaire; and the interview was conducted on March 26. We augmented the questionnaire with notes from the interview and returned to Tribe for approval on March 30, 2021

Category	Tribe	Questionnaire	Interview	Comments
Large land holding, with no Transportation Department and Specialist	Aqua Caliente	Yes	Yes	Tribe completed questionnaire; and the interview was conducted on February 18, 2021.
Medium land holding, with no Transportation Department and Specialist	Cachil Dehe Band of Wintun Indians (Colusa Rancheria)	No	No	No response
	Mechoopda	Yes	No	Tribe completed questionnaire and returned it on February 22, 2021. Tribe did not respond to request for interview, or the follow-up questions.
Small land holding, with no Transportation Department and Specialist	Pechanga	Yes	Yes	Tribe completed questionnaire and sent it back March 5, 2021; and the interview was conducted on March 8, 2021. We augmented the questionnaire with notes from the interview and returned to Tribe for approval on March 12, 2021.
	Dry Creek Rancheria	Yes	Yes	Tribe completed questionnaire and sent it back March 5, 2021; and the interview was conducted on March 12, 2021. We augmented the questionnaire with notes from the interview and returned to Tribe for approval on March 16, 2021.

FOLLOW UP QUESTIONS

We asked six follow up questions to get insights on the effectiveness of the questionnaire.

1. Was the survey easy to understand?

Tribes responded that it was easy to understand and straight forward; the answer options were great; some questions were granular, but none were hard. Some questions were not relevant to some tribes, and some questions were repetitive, so one Tribe (Pechanga) did not answer those questions. The Aqua Caliente Tribe shared that the questionnaire may be hard to understand if the Tribal staff do not include planners.

2. Was the visual aspect of the questionnaire acceptable?

Tribes confirmed that the questionnaire was visually good, except for the open-end answer boxes which do not show the entire answer. Pechanga kept their answers short because of this.

3. Do you think there were any areas or group of questions that were redundant?

Tribes thought there were some questions which were redundant but did not give details.

4. Did the questions address planning issues of concern to the tribe?

Tribes felt it covered all the concerns. Pechanga commented that if the user is not familiar with the reservation land, it is difficult to explain on questionnaire.

5. Are you aware of the Tribal Transportation Self Governing Program (TTSGP) from USDOT (<https://www.transportation.gov/self-governance>). If so, have you signed up for it? Are you willing to share why you have or have not signed up?

Tribes were either not aware, or aware of it and signed up or not. Hopland was aware of the program but was not in favor of it; and will be continuing to work with the BIA because the Tribe is happy with the assistance it gets from BIA and feels the TTSGP assistance will not be the same. Aqua Caliente was aware of it, but not signed up as yet because the Tribe has entered into an agreement with FHWA directly since the Tribe has the capacity to do so. The Tribe felt that BIA is more of a hurdle.

6. Do you have any other input at this point?

Even though the questionnaire asks for additional input and comments, most tribes did not put any information in that area; however, responded to the question during the interview. Tribes identified several issues including information on funding , technical assistance, request to Caltrans to continue advocating for tribes, requested to open funding programs so tribes can apply, let tribes know what programs they can apply, and commented that MPOs and CAGs have a large area of responsibilities, so tribes are last to be considered which is a structural problem and not a Caltrans issue.

INITIAL THOUGHTS

After we reviewed our notes and had a discussion, we have the two following initial insights based on the Pilot Study.

1. The interviews with the six tribes reveal that specific questions can be explained, and additional information and insights can be obtained more effectively during in-person engagement; and both of these provide more accurate answers. This was especially the case with tribes who did not have a Transportation Department or Specialist, for example, Pechanga and Dry Creek Rancheria.
2. There is a great difference in the capabilities of Transportation Specialists/Planners and Transportation supervisors between tribes. Some have a good understanding and others could not understand specifics of Transportation Planning, regardless of whether they categorize themselves as being Transportation Specialists or not. In other words, whether a Tribe has a specialist or not is not necessarily a good measure of whether Transportation Planning Needs are being met.
3. We have identified three questions that should be added to the questionnaire:
 - A. Type of Land
 - i. Contiguous
 - ii. Urban
 - iii. Rural
 - iv. Text Box for additional information
 - B. Type of ownership
 - i. Fee land
 - ii. Trust
 - iii. Private

iv. Reservation

v. Text Box for additional information

C. Are you aware of the Tribal Transportation Self Governing Program (TTSGP) from USDOT (<https://www.transportation.gov/self-governance>)?

Yes/No

i. If Yes, have you signed up for it? Yes/No

ii. Are you willing to share why you have or have not signed up?

(Text Box)

REVISIONS ON QUESTIONNAIRE

We recommend the following revisions to the questionnaire based on input from tribes and our assessments during the interviews.

1. General

- The questionnaire needs to be revised to address the non-scrolling limitation of the text boxes, which was pointed out by at least two tribes.
- If an answer is no, all related cells should become inactive (both pdf and online versions).

2. Page 1. Para 3.

The questionnaire is long (a total of 29 questions plus sub-questions) and requires some detailed answers. Furthermore, some of the questions may require some collaboration within your Tribe. We understand that this will take time to complete, and we really appreciate your attention and effort.

Change to

The questionnaire includes 29 questions. We understand that this will take time to complete, and we really appreciate your attention and effort.

3. Question 1.1 Transportation Infrastructure:

Remove: Intelligent Transportation Systems

(Tribes do not understand what Intelligent Transportation Systems are and it caused confusion)

4. Question 4.

In Question 4, add a “NA” column

4. How would you characterize the current overarching state of transportation facilities on your tribal lands?

	UNACCEPTABLE	POOR	FAIR	GOOD	VERY GOOD	EXCELLENT
Roads	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Bridges	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Sidewalks	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Bike Lanes	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Overpasses	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>

Identify other transportation facilities not listed above

5. Question 6 through 6.2

PART 2 – CURRENT STATUS OF TRIBAL TRANSPORTATION PLANNING

6. Does your Tribe have a Transportation Plan?

- Yes, the Tribe has a Transportation Plan.
(Please provide the name and date of the most recent tribal Transportation Plan.)
Agua Caliente Indian Reservation Long Range Transportation Plan
- Yes, the Tribe is currently engaged in developing a Transportation Plan.
- Yes, the Tribe is currently updating the existing Transportation Plan.

If “Yes”, proceed to Question 6.1

- No, the Tribe does not have a Transportation Plan,
nor is the Tribe currently engaged in developing a Plan

If “No”, proceed to Question 7

6.1 Who developed or is developing this plan? (Please check all that apply.)

- Tribal staff only
- Tribal staff in partnership with a public agency
- Federal agency (e.g., BIA or FHWA)
- Consultant

6.2 When (year) was this plan developed or being developed?

- Year it was updated (as relevant)
2018
- Other (describe)

Change to:

Question 6: Does your Tribe have a Long-Range Transportation Plan?
(Explain what a Long-Range Transportation Plan is and what it includes)

Remove

“Please provide the name and date of the most recent tribal Transportation Plan.”

Question 6.1 Who developed or is developing this plan? (Please check all that apply.)

Tribal Staff

Public agency

Federal agency (e.g. BIA or FHWA)

Consultant

Question 6.2.

Which year was the Tribe’s Long-Range Transportation Plan developed? _____

What years does it cover in the future? _____

Was the Long-Range Transportation Plan updated? _____

IF yes,

which year was it updated? _____

Currently in process of updating

Planning to update

6. Question 8.

PART 2 – CURRENT STATUS OF TRIBAL TRANSPORTATION PLANNING

8. Has your Tribe ever engaged in long-term transportation planning for any reason?

(Please let the interviewer know if you would like clarification about transportation planning.)

Yes. Through the development of the Long Range Transportation Plan and the k

Please check all that apply:

-
- Tribal transportation plan
 - Regional Transportation Plan update
(e.g., participation in a technical advisory committee or policy advisory committee.)
 - Transportation impact studies for facilities on tribal lands such as housing or commercial development (including casinos)
 - Road improvement studies
 - Transit planning
 - Adaptation Planning
 - Active Transportation Planning
 - Other
 - Not Applicable
-

If "Yes to any of the above", proceed to Question 8.1

If "No", please proceed to Question 9

8.1 Who was the lead in carrying out the planning effort?

(e.g., tribal staff, consultants, planning staff from federal, state, or regional agencies)

Tribal Staff for the Long Range Transportation Plan. Other plans are typically pre

Change to:

Question 8. What types of transportation planning has your Tribe engaged in?

- Long-Range Tribal Transportation Plan
- Participated in Regional Transportation Plan Update (plan developed by your Regional Transportation Planning Agency)
- Transportation impact studies for facilities on tribal lands such as housing or commercial development (including casinos)
- Road improvement studies
- Transit planning
- Adaptation Planning
- Active Transportation Planning (includes walking and bicycling)
- Safety Studies
- Land use or community plan with a circulation or transportation component transportation safety plan or assessment.
- Transportation improvement or infrastructure plan

- Environmental impact report related to development on tribal lands
- Other
- Not Applicable

Combine 8.1 to the Check all that apply: Who was the lead in carrying out the planning effort? (e.g., tribal staff, consultants, planning staff from federal, state, or regional agencies)

Please check all that apply:

Transportation Planning	Tribal Staff	Consultants	Federal	State	Regional
Long-Range Tribal Transportation Plan					
Participated in Regional Transportation Plan Update (plan developed by your Regional Transportation Planning Agency)					
Transportation impact studies for facilities on tribal lands such as housing or commercial development (including casinos)					
Road improvement studies					
Transit planning					
Adaptation Planning					
Active Transportation Planning (includes walking and bicycling)					
Safety Studies					
Land use or community plan with a circulation or transportation component transportation safety plan or assessment.					
Transportation improvement or infrastructure plan					
Environmental impact report related to development on tribal lands					
Other					

Additional Notes:

Text Box

7. Question 10.

Remove Q 10.1 in its entirety because it has been consolidated with Question 8.

10. Has your Tribe developed any of the following transportation plans or studies?

Please check all that apply.

-
- Long-range transportation plan.
 - Land use or community plan with a circulation or transportation component transportation safety plan or assessment.
 - Transportation improvement or infrastructure plan.
 - Plan or study that addresses bicycling, pedestrian access, or transit issues.
 - Environmental impact report related to development on tribal lands.
 - Another type of transportation-related plan.
(Please describe the type of plan in the box below.)

 - Not Applicable
-

10.1 Provide additional information below, if any of the above are checked. For example, details about any existing plan/study or the expected date of completion, technical assistance needed, the agency that is funding the project, and who is completing the work in the text box below.

LRTP prepared by Tribal Staff with TTP funding. Local General and Specific Plans prep

8. Question 29.

29. Tribal engagement in planning process.

What are the best ways to engage your Tribe in the transportation planning process, and are there specific considerations that Caltrans should take into account in working with your Tribal government on these matters?

Reach out early on in the process to see if the Tribe would like to participate.

29.1 Please comment on how Caltrans should approach transitions in tribal leadership following regular tribal government elections to ensure continuity of ongoing transportation planning efforts.

Don't see the need to reach out unless there is a change in leadership. A letter would :

29.2 Are there tribal government elections, ceremonial events, or other tribal community considerations that should be taken into account when seeking to engage with your Tribe?

No.

29.3 To whom, and by what method, should Caltrans initiate communication with your Tribe about transportation planning matters?

For official correspondence, a letter addressed to the Chairman. For everything else,

29.4 Does your Tribe have a preferred method of communication with Caltrans?
(Please rate the following on a scale of 1 to 5, with 1 being "least preferred" to 5 being "most preferred.")

	LEAST PREFERRED				MOST PREFERRED	
	1	2	3	4	5	
In-person	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Phone calls	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Letters	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
Emails	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
Web conference	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Other (describe below):	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Other Thoughts?

None.

Additional Comments regarding this survey or on transportation issues on your tribal lands?

None.

Changes:

Question 29. Tribal engagement in planning process.

To whom should Caltrans initiate communication with the Tribe?

[text box]

Question 29.2 Does your Tribe have a preferred method of communication with Caltrans? (Please rate the following on a scale of 1 to 5, with 1 being “least preferred” to 5 being “most preferred.”)

[TABLE]

(same as former Question 29.4)

Question 29.3 Are there specific factors that Caltrans should consider when working with your Tribal government? (For example, how should Caltrans approach transitions in tribal leadership following regular tribal government elections to ensure continuity of ongoing transportation planning efforts?)

(similar to former Question 29.1)

Question 29.2 Are there regular events that Caltrans should be aware of when seeking engagement with the Tribe? (For example, tribal government elections, ceremonial events, or other tribal community gatherings that happen on a regular or yearly basis).

(similar to former Question 29.2)

Next Steps

After the questionnaire is revised and approved by Caltrans in April 2021, the remaining interviews will commence starting in May 2021.

References

Reddy, Seetha N., Ashley Parker, David Reinke
2020 *Tribal Transportation Planning Capabilities and Needs Assessment Survey Protocols and Questionnaire*. Submitted to Division of Transportation Planning, California Department of Transportation (Caltrans), Sacramento, CA Caltrans