

Memorandum

To: CHAIR AND COMMISSIONERS

CTC Meeting: June 29-30, 2022

From: MITCH WEISS, Executive Director

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Subject: Presentation of the Draft 2022 Local Partnership Competitive Program Guidelines

Summary:

The 2022 Local Partnership Program will include two years of programming with \$400 million in funds (\$40 million formulaic incentive funding set aside; \$216 million via Formulaic; and \$144 million via Competitive) covering Fiscal Years 2023-24 and 2024-25. The 2022 Local Partnership Competitive Program represents the third cycle of the Competitive Program.

The draft guidelines were prepared by California Transportation Commission (Commission) staff in consultation with the California Department of Transportation (Caltrans), the Commission's Equity Advisory Roundtable, California Air Resources Board, California Department of Housing and Community Development, regional transportation planning agencies, local agencies, and other public stakeholders. Following the initial Senate Bill (SB)1 Programs kick-off workshop in August 2021, the Commission held seven public workshops to solicit stakeholder input and inform the 2022 Local Partnership Program Guidelines (Formulaic and Competitive). Each workshop was recorded and posted to the Commission's website.

In addition, new to this cycle, the Commission hosted 17 virtual office hour sessions from February to April 2022, where Commission staff provided technical assistance to applicants who wanted to discuss their project nominations for the 2022 Local Partnership Competitive Program. As a direct result of these sessions, four agencies will be new to the Competitive Program after working with Commission staff to verify program eligibility.

Key changes in these draft guidelines are described below. Each of the guidelines changes were developed through a collaboration with stakeholders and consensus on these changes was achieved through the Commission's public workshop process.

The Local Partnership Competitive Program Guidelines have continued to evolve to address important state policy goals, including those highlighted in the California Air Resources Board's draft 2022 Progress Report on California's Sustainable Communities and Climate Protection Act (SB 150 Report). The California Air Resources Board recommends several potential actions to achieve the state's greenhouse gas emissions reductions goals, several of which are reflected in the guidelines updates outlined in this book item. Examples include considerations for prioritizing community needs and preferences through the evaluation of community engagement, encouraging enhanced resident mobility through the evaluation of

how well a project increases accessibility and connectivity to important destinations, addressing the state's housing needs through the evaluation of how well a project supports and advances transportation efficient land-use or Prohousing principles, and encouraging projects that are mindful of the natural environment through requesting project information on climate change resilience and adaptation, as well as a project's protection of natural and working lands.

Additional information on key changes is provided below:

Climate Action Plan for Transportation Infrastructure (CAPTI)

Commission staff expanded the consideration of climate impacts and incorporating key strategies from CAPTI into the Local Partnership Program (Competitive) Guidelines. The strategies are referenced below.

Community Engagement and Equity

Community Engagement was added to the list of evaluation criteria that is used to determine project selection, replacing the current Regional and Community Project Support criterion. In addition, the SB 1 Competitive Programs Transportation Equity Supplement was incorporated as an appendix. This new supplement provides guidance on how to consider equity throughout the project nomination, as well as best practices, tools, and resources for community engagement and anti-displacement. These additions were informed by the Commission's Equity Advisory Roundtable, as well as feedback at public workshops held specifically on the topic of equity. The changes support implementation of the Commission's Racial Equity Statement, which was adopted in January 2021.

Request for Information on Climate Change Adaptation and Natural and Working Lands

In Cycle 3 of the Local Partnership Competitive Program, applicants will be asked to provide information in the areas of 1) Climate Change Resilience and Adaptation and 2) the Protection of Natural and Working Lands, and Enhancement of the Built Environment. These requests for information were informed by Caltrans and California Air Resources Board subject matter experts.

Integrating Prohousing Principles into Evaluation Criteria

Commission staff worked with staff from the California Department of Housing and Community Development to incorporate information on the Prohousing Designation Program into the evaluation criterion for Transportation, Land Use, and Housing.

Revised Matching Requirements for Small Jurisdictions

The Local Partnership Program (formulaic and competitive) requires a match for all projects. Currently taxing authorities with a voter-approved tax, toll, or fee, or applicants with an imposed fee that generates annual revenues of \$100,000 or less are only required to provide a match equal to twenty-five percent of the requested Formulaic Program funds. The current policy allows only a couple small jurisdictions to utilize the twenty-five percent match. Commission staff updated the policy to expand its impact, allowing taxing authorities and applicants that generate annual revenues of \$2 million or less to utilize the twenty-five percent match. This update will allow more small jurisdictions to better leverage their local funds.

Incorporation of the Technical Performance Measurement Methodology Guidebook

There are a number of required performance metrics, such as daily vehicle miles travelled, safety, and air quality that applicants must include in Local Partnership Program applications. Calculating the required metrics can be a challenge, especially for smaller transportation agencies.

In 2021, Commission staff led a workgroup of approximately 50 experts, including staff from Caltrans, regional agencies, local governments, and other organizations to identify required and optional performance metrics, and what methodology should be used to calculate each of the required metrics. The workgroup held six meetings over the course of approximately seven months to develop and reach consensus on the recommended performance metrics.

Caltrans, through consultant support, drafted the guidebook in partnership with Commission staff. The Performance Metrics Guidebook includes instructions on how to calculate all of the required performance metrics. Many Caltrans experts also provided technical expertise that was critical in being able to articulate a calculation methodology.

Background:

SB 1 (Chapter 5, Beall, Statutes of 2017) created the Local Partnership Program. Assembly Bill 115 (Chapter 20, Committee on Budget, Statutes of 2017) clarified SB 1 language regarding local and regional transportation agency eligibility and expanded the types of projects eligible for the program. SB 1 authorizes \$200 million annually to fund the Local Partnership Program. This legislation requires the Commission, in consultation with the Department of Transportation, regional transportation planning agencies, local agencies and other transportation stakeholders, to develop guidelines.

The 2022 Local Partnership Competitive Program Draft Guidelines describe the policy, standards, criteria, and procedures for the development, adoption, and management of the Local Partnership Program. Program Guidelines may be amended by the Commission after conducting at least one public hearing. The draft guidelines address legislative requirements, incorporate input received from various stakeholders, and include the Commission procedures for programming and project delivery.

The Local Partnership Program provides funding to counties, cities, districts, and regional transportation agencies in which voters have approved fees, tolls, or taxes dedicated solely to transportation improvements or that have imposed fees, including uniform developer fees, dedicated solely to transportation improvements. Funding for the Local Partnership Program is divided into two programs: the Formulaic Program and the Competitive Program.

On June 7, 2022, the California Air Resources Board released the draft 2022 Progress Report on California's Sustainable Communities and Climate Protection Act (SB 150 Report). SB 150 (Allen, Chapter 646, Statutes of 2017) requires the California Air Resources Board prepare a report every four years to discuss progress related to the Sustainable Communities Act, or SB 375 (Steinberg, Chapter 728, Statutes of 2008), implementation. The draft report highlights challenges to meeting regional per capita greenhouse gas emission reduction targets for light-duty passenger travel, as well as key actions to achieve the State's climate goals.

Attachment:

- Attachment A: Draft 2022 Local Partnership Competitive Program Guidelines

2022 LOCAL PARTNERSHIP COMPETITIVE PROGRAM GUIDELINES

DRAFT

Resolution G-xx-xx

California Transportation Commission



**CALIFORNIA TRANSPORTATION COMMISSION
2022 LOCAL PARTNERSHIP COMPETITIVE PROGRAM GUIDELINES**

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I. INTRODUCTION

1B. Authority and Purpose

The Road Repair and Accountability Act of 2017, (Senate Bill [SB] 1, Beall, Chapter 5, Statutes of 2017) created the Local Partnership Program and continuously appropriates two hundred million dollars (\$200,000,000) annually to be allocated by the California Transportation Commission (Commission) to local or regional transportation agencies that have sought and received voter approval of taxes or that have imposed fees, which taxes or fees are dedicated solely for transportation improvements. The Local Partnership Program was subsequently amended by Assembly Bill (AB) 115 (Committee on Budget, Chapter 20, Statutes of 2017) and AB 135 (Committee on Budget, Chapter 255, Statutes of 2017).

These guidelines describe the policy, standards, criteria, and procedures for the development, adoption and management of the Local Partnership Program. The Commission may amend these guidelines after first giving notice of the proposed amendments and conducting at least one public hearing. The Commission will make a reasonable effort to amend the guidelines prior to a call for projects or may extend the deadline for project submission to comply with the amended guidelines.

Local Partnership Program guidelines were developed in cooperation with the California Department of Transportation (Caltrans), transportation planning agencies, county transportation commissions, local agencies, and other stakeholders, pursuant to Streets and Highways Code Section 2033.

2B. Program Objectives

The primary objective of the Local Partnership Program is to provide funding to counties, cities, districts, and regional transportation agencies in which voters have approved fees or taxes dedicated solely to transportation improvements or that have imposed fees, including uniform developer fees, dedicated solely to transportation improvements [as defined by Government Code Section 8879.67(b)]. Consistent with SB 1, the Commission intends this program to balance the need to direct increased revenue to the state's highest transportation needs while fairly distributing the economic impact of increased funding [SB 1 Section 1(l)].

3B. Program Schedule

The following schedule lists the major milestones for the development and adoption of the Local Partnership Competitive Program:

Milestone	Date
Draft Guidelines presented to the Commission	June 29-30, 2022
Guidelines hearing	August 17-18, 2022
Adoption of the Guidelines and Call for Projects	August 17-18, 2022
Project nominations due	November 29, 2022
Release staff recommendations	June 8, 2023
Program adoption	June 28-29, 2023

II. ELIGIBILITY

4B. Eligible Applicants

An eligible applicant under the Local Partnership Competitive Program (Competitive Program) is a local or regional transportation agency:

- that has sought and received voter approval of taxes, tolls, or fees which taxes, tolls, or fees are dedicated solely to transportation improvements and that agency administers those taxes, tolls, or fees; or
- that imposes fees, including uniform developer fees as defined by subdivision (b) of Section 8879.67 of the Government Code, which fees are dedicated solely to transportation improvements.

5B. Eligibility Verification

Applicants that have applied in a prior programming cycle and have established eligibility must submit the following documentation with the project nomination:

- A cover letter signed by the applicant’s Executive Director (or other officer authorized by the applicant’s governing board) identifying the taxes, tolls or fees the applicant used to establish eligibility, and to affirm the taxes, tolls, or fees are currently in affect and are dedicated solely to transportation improvements.

Applicants that have applied in a prior programming cycle and need to reestablish eligibility due to expired taxes, tolls, or fees must submit the relevant required documentation listed below.

Applicants that are listed in Appendix VI must explain their eligibility in the project nomination.

Applicants with Voter-Approved Taxes, Tolls, or Fees

Applicants that are not listed in Appendix VI, and have sought and received voter approval of taxes, tolls, or fees, which taxes, tolls, or fees are dedicated solely to transportation improvements must submit all required documentation listed below with the project nomination.

- A cover letter signed by the applicant's Executive Director (or other officer authorized by the applicant's governing board) to affirm the taxes, tolls, or fees are dedicated solely to transportation improvements.
- A copy of the ordinance or resolution seeking voter approval of the tax, toll, or fee.
- Ballot information.
- Election results (Official Statement of Votes Cast).
- For tolls, fees, or taxes other than sales taxes, a copy of the relevant section of the taxing authority's most recent audited financial statements indicating the revenue generated by the tax, toll, or fee, including posting location on the internet and information about how the revenues are reported to the State.

Applicants with Imposed Fees

Applicants that have imposed fees, including uniform developer fees, and have not received voter approval of taxes, tolls, or fees are only eligible for the Local Partnership Competitive Program funding.

Applicants with imposed fees, including uniform developer fees, must submit all required documentation listed below with the project nomination:

- A cover letter signed by the applicant's Executive Director (or other officer authorized by the applicant's governing board) to affirm **the fees are imposed by the applicant** and the fees are dedicated solely to transportation improvements.
- A copy of the ordinance or resolution seeking to impose the fee.
- A copy of the relevant section of the applicant's **(or administering agency's)** most recent audited financial statements indicating the revenue generated by the imposed fee, including posting location on the internet and information about how the revenues are reported to the state.

Applicants are encouraged to submit eligibility verification documents prior to submitting the project nomination package.

6B. Eligible Projects

Eligible projects for the Local Partnership Program will be consistent with subdivisions (a) and (b) of Government Code Section 8879.70, and Streets and Highways Code Section 2032(a). The Commission encourages projects that align with the state's climate and equity goals as well as those that identify and incorporate the installation of conduit or fiber, where appropriate and feasible, along strategic corridors.

Eligible projects shall include all of the following:

- A) Improvements to the state highway system including, but not limited to, all of the following:
 - Major rehabilitation of an existing segment that extends the useful life of the segment by at least 15 years;
 - New construction to increase capacity of a highway segment that improves mobility or reduces congestion on that segment; and
 - Safety or operational improvements on a highway segment that are intended to reduce accidents and fatalities or improve traffic flow on that segment.
- B) Improvements to transit facilities, including guideways, that expand transit services, increase transit ridership, improve transit safety, enhance access or convenience of the traveling public, or otherwise provide or facilitate a viable alternative to driving.
- C) The acquisition, retrofit, or rehabilitation of rolling stock, buses, or other transit equipment, including, but not limited to maintenance facilities, transit stations, transit guideways, passenger shelters, and fare collection equipment with a useful life of at least 10 years. The acquisition of vans, buses, and other equipment necessary for the provision of transit services for seniors and people with disabilities by transit and other local agencies is an eligible project under this paragraph.
- D) Improvements to the local road system, including, but not limited to, the following:
 - Major roadway rehabilitation, resurfacing, or reconstruction that extends its useful life by at least 15 years;
 - New construction and facilities to increase capacity, improve mobility, or enhance safety; and
 - Safety or operational improvements that are intended to reduce accidents and fatalities or improve traffic flow on that segment.
- E) Improvements to bicycle or pedestrian safety or mobility with an extended useful life.
- F) Improvements to mitigate the environmental impact of new transportation infrastructure on a locality's or region's air quality or water quality, commonly known as "urban runoff," including management practices for capturing or treating urban runoff.
- G) For purposes of the Local Partnership Program, a separate phase or stage of construction for an eligible project may include mitigation of the project's

environmental impacts, including, but not limited to, sound walls, landscaping, wetlands or habitat restoration or creation, replacement plantings, and drainage facilities.

- H) Sound walls for a freeway that was built prior to 1987 without sound walls and with or without high occupancy vehicle lanes if the completion of the sound walls has been deferred due to lack of available funding for at least 20 years and a noise barrier scope summary report has been completed within the last 20 years.
- I) Road maintenance and rehabilitation.
- J) Other transportation improvement projects.

III. FUNDING

7B. Funding and Programming Cycle

The Local Partnership Program receives \$200 million annually from the Road Maintenance and Rehabilitation Account and each program cycle will include two years of funding. The 2022 Local Partnership Program (Formulaic and Competitive) will include Fiscal Years 2023-24 and 2024-25. New cycles will be programmed every two years.

The Formulaic Incentive Funding of \$20 million will be set-aside each fiscal year from the Local Partnership Program leaving \$180 million to be distributed annually, - 60% via Formulaic and 40% via Competitive.

8B. Matching Requirements

Projects funded from the Local Partnership Program (Formulaic and Competitive) will require at least a one-to-one match of private, local, federal, or state funds with the following exceptions:

- Taxing authorities with voter-approved taxes, tolls, or fees, or applicants with an imposed fee, which generates less than \$2 million annually are required to provide a match equal to 25% of the requested Competitive Program funds. This exception is based on the nominating agency's (or administering agency's) generated revenue.
- For Soundwall only projects, the expenditure of local funds to complete the Project Approval and Environmental Documentation; Plans, Specifications, and Estimates; and Right-of-Way phases may be used to meet the one-to-one match for the Construction phase.

For the purpose of calculating the required match, the Commission will, except for State Transportation Improvement Program (STIP) funding, only consider funds that are not allocated by the Commission on a project specific basis.

Local Streets and Roads Program funding may be used; however, apportionments must be received from the State Controller's Office and the project must be eligible as outlined in the Local Streets and Roads Program Guidelines.

Priority will be given to projects that have committed discretionary federal funds at time of project nomination. The commitment should be in the form of a letter or public announcement issued by the authorizing federal agency.

The matching funds must be expended concurrently and proportionally on the project phase programmed with Competitive Program funds, except as noted below. Costs incurred prior to allocation will not be counted towards the match.

The Commission may, at the time of programming or allocation, approve non-proportional spending. For projects receiving federal funds, the non-proportional spending must be approved by the Federal Highway Administration prior to allocation.

Adjustments will be made at project closeout to ensure matching funds were spent proportionally to the Competitive Program funds.

The implementing agency must provide a project funding plan through construction that demonstrates the non-Competitive Program funding in the plan (local, federal, state, private sources) is reasonably expected to be available and sufficient to complete the project.

9B. Distribution

The Competitive Program will be divided in two parts: one for taxing authorities with voter-approved taxes, tolls, or fees; and the second for applicants with only imposed fees.

The Competitive Program will be divided into these two groups based on relative tax, toll, and fee revenue of the applicants. In no case will the portion for applicants with only imposed fees be less than \$5,000,000.

The Commission may identify a contingency list of projects to be amended in the competitive program in the event a redistribution of incentive funding occurs. The contingency list will be in effect only until the adoption of the next programming cycle.

10B. Funding Restrictions

Applicants may only request funding for the Construction phase of a capital project.

A project will be considered for funding if, at time of adoption, the project has completed a project level environmental process in accordance with the California Environmental Quality Act (CEQA) and, if the project is federalized, the National Environmental Policy Act (NEPA). A project may also be considered for funding if at time of adoption it has completed the final draft of a project level environmental document in accordance with CEQA and if applicable, NEPA. Environmental clearance must be completed for CEQA and NEPA (if applicable) within 6 months of program adoption.

Funds will not be allocated to any portion of a project until all project components have completed the environmental process.

Projects on the state highway system and projects implemented by Caltrans require a Caltrans approved Project Report prior to program adoption.

The Competitive Program funds shall not supplant other committed funds.

The Competitive Program will not participate in cost increases to the project. Any cost increases must be funded from other fund sources. The implementing agency or agencies must provide evidence of their ability to absorb any cost overruns and deliver the project with no additional funding from the program.

For jointly nominated projects, the Commission expects the responsibility for payment of cost increases will be negotiated and agreed upon through a funding agreement between both nominating agencies.

The Competitive Program will only fund projects, or segments of projects that are fully funded, have independent utility, and will be ready to start Construction (contract award) by December 30, 2025.

11B. Reimbursement

The Local Partnership Program is a reimbursement program for eligible costs incurred. An implementing agency may begin incurring eligible costs upon allocation; however, reimbursement is dependent upon entering into an agreement with Caltrans. Costs incurred prior to Commission allocation and, for federally funded projects, Federal Highway Administration project approval (i.e., Authorization to Proceed) are not eligible for reimbursement.

IV. EVALUATION

12B. Screening Criteria

Project nominations will receive an initial screening by the Commission for completeness and eligibility before proceeding to the evaluation process.

An applicant submitting multiple project nominations must clearly prioritize its project nominations.

Incomplete or ineligible project nominations will not be evaluated.

Project nominations will be screened for the following:

- The Competitive Program funding request does not exceed the maximum amount (\$25 million) per project nomination.
- Demonstrate the required funding match (as outlined in Section 8B).
- Provide required documentation for eligibility verification (as outlined in Section 5B).

- Demonstrates that negative environmental/community impacts will be avoided or mitigated.
- Demonstrates that all other funds for the proposed project (segment) are committed.

13B. Project Rating Process

All project nominations that meet the screening criteria will be evaluated and selected through a competitive process.

Each project nomination will be evaluated for compliance with the objectives of the program. Each project nomination will be rated using the evaluation criteria as specified in Section 14B. Each evaluation criterion will be scored with a “High”, “Medium-High”, “Medium”, “Medium-Low”, or “Low”. The highest-ranking project nominations will be selected for funding.

The Commission may collaborate with the following state agencies when evaluating project nominations: the California Air Resources Board to review the air quality benefits; the Department of Housing and Community Development to review the land use and housing benefits; and Caltrans to review the Life-Cycle Benefit/Cost Analysis benefits.

To ensure a more equitable competition, the Commission will compare projects based on the population of jurisdiction(s) across which the tax or fee is applied. In most cases, this will be a county or city.

For voter-approved tolls, the population will be the sum of the population of the jurisdictions that voted on the toll. The following population categories will be used:

- Category I: $\geq 1,500,000$
- Category II: 700,000 to 1,499,999
- Category III: 300,000 to 699,000
- Category IV: 100,000 to 299,999
- Category V: $< 100,000$

The maximum request for Competitive Program funds is \$25,000,000 per project.

An applicant submitting multiple project nominations must clearly prioritize its projects. The Commission may elect to only evaluate the highest priority project nomination(s) submitted by each applicant.

In approving funding for inclusion in the program of projects, the Commission will give consideration to geographic balance over multiple programming cycles.

14B. Evaluation Criteria

The project nomination(s) must include documentation regarding the quantitative and qualitative measures validating the project's consistency with the Competitive Program policy objectives and the identified benefits (outputs and outcomes) of the proposed project. Each evaluation criterion must be addressed and include relative data of the performance metrics. [The Commission's SB 1 Technical Performance Measurement Methodology Guidebook](#) provides instructions on how to complete required performance metrics.

For sound wall only projects, a project nomination must be for a freeway that was built prior to 1987 without sound walls and with or without high occupancy vehicle lanes if the completion of the sound walls has been deferred due to lack of available funding for at least 20 years and a noise barrier scope summary report has been completed within the last 20 years.

For all other projects, the Commission will give higher priority, individually, to the following criteria:

- [Accessibility](#) – The project nomination should address current accessibility issues and concerns in the project area and how the project will improve accessibility and connectivity for residents and non-residents that travel or need to travel through the project area. The project should also discuss infrastructure, such as sidewalks, protected bus/bike lanes, lighting, ease of access to ramps, elevators, etc. for those with mobility devices, or the lack thereof. How will the project connect to jobs, major destinations, and residential areas, especially for disadvantaged or historically impacted and marginalized communities? If identifiable, include destinations that may be priority destinations for disadvantaged or historically impacted and marginalized communities. Describe how the project increases accessibility to key destinations for disadvantaged or historically impacted and marginalized communities, which could be identified with maps that overlay the population distribution by various demographics.
- [Air Quality & Greenhouse Gases](#) – The project nomination should address how the proposed project will reduce greenhouse gas emissions and criteria pollutants and advance the State's air quality and climate goals. Identify and discuss other environmental benefits the project will provide.
- [Community Engagement](#) - In alignment with the Commission's Racial Equity Statement, projects will be evaluated based on their ability to create mobility opportunities for all Californians, especially those from disadvantaged or historically impacted and marginalized communities. Equitable projects demonstrate meaningful and effective public participation in decision making processes, particularly by disadvantaged or historically impacted and marginalized communities. In responding to this criterion, please refer to the SB 1 Competitive Programs' Transportation Equity Supplement (Appendix III).

In considering the impacts of projects on equity, applications will be rated on how well they do the following:

- Identify disadvantaged or historically impacted and marginalized communities within the project study area and provide details on project engagement. Document the procedures by which the mobility needs of disadvantaged or historically impacted and marginalized populations are identified and considered within the planning process. Identify how the community was engaged to consider community identified project needs. If a disadvantaged or historically impacted and marginalized community is within the project study area, were they engaged? How was input received and incorporated into the project?

Identification of disadvantaged or historically impacted and marginalized communities may be satisfied through the integration of a demographic profile of the metropolitan area that includes locations of disadvantaged populations within the study area. If the applicant has already included information about community engagement in another section of the application that answers these questions, state that here as well.

A list of example indicators is included in the SB 1 Competitive Programs Transportation Equity Supplement (Appendix III).

- Identify any actions taken to protect the State's most disadvantaged or historically impacted and marginalized communities. Identify strategies included in the project scope that seek to avoid and/or minimize impacts to disadvantaged or historically impacted and marginalized communities.
- Cost Effectiveness – The project should provide positive benefits in relationship to the project costs. The Commission will consider measurable benefits using the California Life-Cycle Benefit/Cost Analysis or an alternative proposed by the applicant.
- Deliverability – Projects are rated on whether design and right-of-way certification are completed, or when they will be completed unless the project is being delivered using Design-Build or Construction Manager/General Contractor method. If using these methods, the start of construction will be the basis for the evaluation.
- Projects that leverage funds above the required matching funds amount, in the Construction phase. (Refer to Section 8B).
- Safety – The project nomination should address safety issues and concerns, including actual reported property, injury, and fatality collisions for the last 5 full years. Demonstrate how the proposed project increases safety for motorized and non-motorized users. Identify and discuss other safety measures the project will address, including health impacts.
- System Preservation – The project nomination should demonstrate how the project will improve the current conditions. Identify and discuss other performance measures the project will address.

- Transportation, Land Use, and Housing Goals
 - **Regional** - The project nomination should explain how the project will advance transportation, land use, and housing goals within the region as identified in the region's Regional Transportation Plan, Sustainable Communities Strategy (where applicable), and Regional Housing Needs Allocation. This may also include demonstrating how the project will support or align with the region's Regional Early Action Planning (REAP) grant investments or other regional planning or implementation efforts.
 - **Local** - The project nomination should explain how the project will advance local transportation, land use, and housing goals. This may include:
 1. Demonstrating, at the time of project nomination, the local jurisdiction has submitted its Housing Element annual progress report to the State of California for the current and prior year; or
 2. Demonstrating the local jurisdiction applied to the Department of Housing and Community Development's Prohousing Designation Program and meets Prohousing criteria that support efficient land use.

The project nomination must include a commitment by the local jurisdiction to continue pursuing full Prohousing Designation after receiving Local Partnership Program funding.

The Prohousing Designation Supplement developed in partnership with the California Department of Housing and Community Development is available in Appendix VI.

If housing is not an issue for the local jurisdiction, provide a detailed explanation, including an accounting of the jurisdiction's assigned local share of the Regional Housing Needs Allocation and the jurisdiction's progress toward meeting those needs documented in the jurisdiction's Housing Element annual progress report for the current and prior years.
- Vehicle-Miles Traveled – The project nomination should demonstrate how the project will minimize vehicle miles traveled while maximizing person throughput.

V. PROGRAMMING

15B. Programming Funds

The Competitive Program of projects for each fiscal year will include, for each project, the amount to be funded from the Competitive Program, and the estimated total cost of the project. Project costs in the Competitive Program will include the construction phase only.

For Caltrans implemented projects, the cost of Construction Support will be programmed separately from the Construction capital cost.

A project nomination may identify an implementing agency other than the applicant. The implementing agency assumes responsibility and accountability for the use, expenditure, and reporting of program funds.

Applicants and implementing agencies must comply with all relevant federal and state laws, regulations, policies, and procedures.

The Commission expects collaboration and cooperation between the applicant, implementing agency, and Caltrans for all projects on the state highway system.

16B. Committed / Uncommitted Funds

The Commission will program and allocate funding to projects in whole thousands of dollars and will include a project only if it is fully funded from a combination of Competitive Program funds and other committed funds and uncommitted funds.

The Commission will regard funds as committed when they are programmed by the Commission or when the applicant with discretionary authority over the funds has made its commitment to the project by ordinance or resolution.

For federal formula funds, including Regional Surface Transportation Program, Congestion Mitigation and Air Quality, and federal formula transit funds, the commitment may be by Federal Transportation Improvement Program adoption. For federal discretionary funds, the commitment may be by federal approval of a full funding grant agreement or by grant approval.

Uncommitted funds may only be from the following competitive programs:

- Solutions for Congested Corridors Program;
- Trade Corridor Enhancement Program; or
- [A federal discretionary grant program.](#)

The applicant must indicate its plan for securing a funding commitment, explain the risk of not securing that commitment, and its plan for securing an alternate source of funding should the commitment not be obtained. If a project with uncommitted funds is programmed, all funding commitments must be secured prior to July 1 of the year in which the project is programmed.

Projects programmed by the Commission in the Competitive Program will not be given priority in other programs under the Commission's purview.

17B. Letter of No Prejudice

The Commission will consider approval of a Letter of No Prejudice to advance a project programmed in the Competitive Program. Approval of the Letter of No Prejudice will allow the implementing agency to begin work and incur eligible expenses prior to

allocation. The [Letter of No Prejudice Guidelines](#) are available on the Commission's website.

18B. Title VI Requirements

Title VI of the Civil Rights Act of 1964, 42 U.S.C. 2000d et seq. ("Title VI") prohibits discrimination on the basis of race, color, or national origin in any program or activity that receives federal funds or other federal financial assistance.

Projects programmed for Competitive Program funds must comply with Title VI requirements:

The implementing agency assumes responsibility and accountability for the use and expenditure of program funds. Nominating agencies and implementing agencies must comply with all relevant federal and state laws, regulations, policies, and procedures.

The implementing agency will ensure that no person or group(s) of persons shall, on the grounds of race, color, national origin, sex, age, disability, limited English proficiency, or income status, be excluded, or otherwise subject to discrimination, related to projects programmed and allocated by the Commission, regardless of whether the programs and activities are federally funded. The implementing agency will comply with all federal and state statutes and implementing regulations relating to nondiscrimination.

A current list of Title VI nondiscrimination and related authorities is available on the Commission's website at:

<https://catc.ca.gov/programs/equity-and-public-engagement/title-vi-information>.

VI. DELIVERY

19B. Delivery Methods

The Commission supports and encourages innovative delivery methods. If a project is expected to use a delivery method other than design-bid-build, the nomination should identify the delivery method as part of the proposal. If the delivery method is unknown at time of nomination, it should be reported as soon as it is known.

For a project expected to use design-build or design-sequencing delivery method, the Commission will program the Competitive Program funds in the Construction phase of the project. The allocation however may be a combined amount to include Design, Right-of-Way, and Construction.

When using the Construction Manager/General Contractor delivery method, the project will be programmed and allocated in the same manner as design-bid-build. During the environmental or design phase, Construction Manager/General Contractor contract costs are considered environmental and/or design phase expenditures. As the project advances in the design phase, it may be desirable to separate the project into packages for efficiencies in the Construction delivery.

If this is the case, the project may be divided into separate delivery contracts and the Commission must be notified as soon as possible. The delivery dates and the scope of work must be consistent with the approved baseline agreement.

20B. Project Segmenting

Scaling a project into segments because of its size, funding or delivery schedule may be necessary for certain large corridor projects. When segmenting a project into separate independent segments, the nomination should discuss the total corridor and the reasons for segmenting the project.

The nomination should address how each segment of the corridor project will be delivered and include an estimated timeline for completing the overall project and each segment in the corridor.

The evaluation of the project will be based on the segment proposed for Competitive Program funding. Therefore, the project nomination should: clearly identify the benefits (outputs/outcomes) for the segment proposed for funding; provide a full funding plan of the segment; and demonstrate the segment has independent utility.

21B. Multimodal Projects / Modes / Contracts

Project nominations may include multiple modes to be delivered in separate contracts (i.e., roadwork, rail work, bike lanes) referred to as project modes. The applicant must clearly identify the scope of work for each project mode.

The benefits (outputs/outcomes) that will be achieved may be described for all project modes combined in the project nomination.

If the scope of a project mode includes multiple independent contracts to achieve the benefits as proposed (i.e., rail project mode may include tracks, vehicle purchases, station improvements), the project nomination must identify the scope, funding plan and schedule for each contract (each contract must have an electronic Project Programming Request form), including any contracts not requesting Competitive Program funds, but completing the balance of the project scope.

The project nomination should explain the strategy for project delivery. If after program adoption, the project is divided into more than one independent contract, it should be reported as soon as possible. In this case, a project amendment must be approved by the Commission prior to allocation.

22B. Allocations

When an agency is ready to implement a programmed project or project phase, the implementing agency will submit an allocation request to Caltrans (typically 60 days prior to an upcoming Commission meeting).

Allocation Submittal, Review and Approval Process

The following steps occur as part of the allocation approval process:

1. The implementing agency submits an allocation request to Caltrans typically 60 days prior to the Commission meeting they wish to receive allocation approval.
 - a. If the project is to be implemented by an agency other than the applicant, the allocation request must be signed by the implementing agency.
 - Include a copy of the Memorandum of Understanding or Interagency Agreement between the project applicant and implementing agency.
2. Caltrans will review the request and determine whether or not to recommend the request to the Commission for action.
3. The recommendation from Caltrans will include:
 - a. Determination of project readiness
 - b. Availability of appropriated funding
 - c. Availability of all identified and committed supplementary and matching funding
 - d. Consistency with the executed Baseline Agreement, if applicable
 - e. For a construction allocation recommendation, certification from Caltrans that the project's Plans, Specifications, and Estimate are complete, environmental and Right-of-Way clearances are secured, and all necessary permits and agreements (including railroad construction and maintenance) are executed. The Commission will only consider an allocation of construction funds to projects that are ready to advertise.

Requirements for Allocation

- A. In compliance with Section 21150 of the Public Resources Code, the Commission will not allocate funds for Plans, Specifications, and Estimate (design), Right-of-Way, or Construction prior to documentation of environmental clearance under the California Environmental Quality Act. As a matter of policy, the Commission will not allocate funds for design, Right-of-Way, or Construction of a federally funded project prior to documentation of environmental clearance under the National Environmental Policy Act (NEPA).
 - The Commission, as a Responsible Agency, must approve the environmentally cleared project for future funding consideration. The submission forms for this approval are available on the [Commission website](#).
- B. The Commission will approve the allocation in whole thousands of dollars if the funds are available and the allocation is necessary to implement the project as included in the adopted Competitive Program. If there are insufficient program funds to approve an allocation, the Commission may delay the allocation of funds to a project until the next fiscal year without requiring an extension.

If there is a cost increase to the project, the implementing agency must submit an updated electronic Project Programming Request form that identifies the cost

increase and the fund source that will cover the cost increase. If the fund source(s) is not identified to cover the cost increase, the project will be deleted from the Competitive Program.

C. Construction phase and/or Construction Support phase allocations:

- A project will not be placed on the Commission's agenda for an allocation of Construction and/or Construction support funds unless the project is ready to advertise.
- When Caltrans is the implementing agency, Right-of-Way Support and Construction Support costs must be allocated separately from Right-of-Way capital and Construction capital costs.
- The implementing agency must not award the Construction contract for a project until the Commission has approved allocation of the Competitive Program funds for the project.
- Agencies should not request a Construction phase allocation unless they are prepared to award contract(s) related to the allocation within six months of allocation approval.
- Agencies that have Commission approval to use more than one independent contract to deliver the programmed project scope must request separate allocations for each independent contract.

D. If a project or project phase is ready for implementation earlier than the fiscal year that it is programmed in the Competitive Program, the implementing agency may request an allocation in advance of the programmed year. The Commission may approve an allocation in advance of the programmed year if it finds that the allocation will not delay availability of funding for other projects.

23B. Timely Use of Funds

The Commission expects certain deadlines to be met as programmed projects are implemented. If the expected deadlines are not met and a time extension is not approved before the expiration of funds, the project will be deleted from the Competitive Program.

Deadlines

Allocation - Allocations must be requested in the fiscal year in which the funds are programmed. Funds programmed to a project expire on June 30 of the fiscal year in which the funds are programmed.

At the time of fund allocation, the Commission may extend the deadline for completion of work and the liquidation of funds, if necessary, to accommodate the proposed expenditure plan for the project.

Contract Award – Construction phase contracts must be awarded within six months of an approved allocation.

Implementing agencies must not award the contract for a project until the Commission has allocated funds for the project.

Project Completion - After award of the construction phase contract(s), the implementing agency has up to 36 months to complete (accept) the contract(s).

Extensions

If the expected deadlines are not met and a time extension is not approved before the expiration of funds, the project will be deleted from the Competitive Program. The Commission may extend the deadlines listed above under the following conditions:

- There is an unforeseen and extraordinary circumstance beyond the control of the responsible agency that has occurred and justifies the extension.
 - Extension requests should describe the specific unforeseen and extraordinary circumstance and identify the delay directly attributable to the circumstance.
- No deadline will be extended more than once.
- Each deadline extension request will be considered separately for each programmed project or project phase.
- The extension will not exceed the period of delay directly attributed to the extraordinary circumstance.
- The extension request cannot exceed the maximum period of delay identified in this section.
- The implementing agency submits a time extension request to Caltrans typically 60 days prior to the Commission meeting where the extension needs to be approved.
 - An allocation extension request must be approved by the Commission before June 30 of the fiscal year the funds are programmed.
 - Except for the allocation of funds, all time extension requests must be received by Caltrans before the expiration dates.
- Caltrans will review and prepare a written analysis of the proposed extension request and forward the written analysis and recommendation to the Commission for action.
- The Commission will consider a time extension request when Caltrans provides the request and a recommendation on how to proceed.
- If a time extension is not approved prior to the expiration of funds, the project will be deleted from the Competitive Program.

The following types of extensions may be requested in the Competitive Program:

Allocation (12 months maximum) – May be requested if a project phase cannot be allocated by June 30 in the fiscal year it is programmed.

Contract Award (12 months maximum) – May be requested if the Construction contract(s) cannot be awarded within six months of the approved allocation of funds.

Project Completion (20 months maximum) – May be requested if, after allocation, the implementing agency finds that project completion (including expenditures) will not occur within 36 months of the construction contract award.

24B. Amendments

Project amendments will be considered for the Competitive Program as follows:

- **Scope Changes** – The Commission will not consider changes to the scope of the project unless the change is minor and has no impact to the project benefits or the scope change increases the benefits of the project. The Commission should be notified as soon as a change in project scope has been identified. In the case where scope changes are significant, and the project benefits are less, the Commission will evaluate the proposed changes and make a determination to continue funding the project or deleting the project from the program through a formal amendment.
- **Cost Changes** – The Competitive Program will not participate in cost increases to the project. Any cost increases must be funded from other fund sources. If a change in the cost estimate is identified, the Commission should be notified right away in writing, explaining the change and the plan to cover the increase. A revised electronic Project Programming Request form identifying the source of funding must also be included.
- **Schedule Changes** – Schedule changes to a project will not be considered unless a time extension was approved as specified in Section 23B. For projects programmed in the last year of the Competitive Program, the implementing agency may request by December 1, 2022, to reprogram the project only once with justification. In addition to the written notification, the request must include: a cover letter from all the partners that nominated the project; a clear and concise explanation for the request; the extraordinary circumstances that led to the request; consequences if the request is not approved; and an updated electronic Project Programming Request form.

The Commission may approve the amendment request only if it finds that an unforeseen and extraordinary circumstance beyond the control of the responsible agency has occurred that justifies the change at the time the 2022 Program is adopted.

Amendment requests must be submitted as soon as an implementing agency has identified a need for one and must include documentation that supports the requested change and its impact on the scope, cost, schedule, and benefits (outputs and outcomes). Amendment requests are not guaranteed to receive approval.

General Instructions for All Amendments:

- Implementing agencies must notify Caltrans of proposed project amendments.
- Caltrans shall coordinate all amendment requests and utilize the electronic Project Programming Request form to help document the change.

- Amendment requests must be documented in writing and include the following:
 - Detailed explanation of the proposed change.
 - Reason for the proposed change. Provide documentation as applicable.
 - Impacts to the project benefits (outputs and outcomes).
 - Provide a comparison between the proposed benefits (outputs and outcomes) and those submitted in the initial project nomination, noting an increase, decrease, or no change and an explanation of the methodology used to develop the comparison.
 - Revised electronic Project Programming Request form documenting the proposed changes and the amendment request.

Caltrans will review the proposed amendment and present the agency's proposal along with Caltrans' written analysis and recommendation to Commission staff for the Commission's approval.

Commission staff will present recommended changes deemed by staff to be minor changes, such as those with little or no impact to project benefits or which increase the benefits of the project, to the Commission as a part of the project allocation request. Staff will present all other amendment changes to the Commission as project amendments.

25B. Project Cost Savings

Savings at contract award may be used to expand the scope of the project only if the expanded scope provides additional quantifiable benefits. The expanded scope must be approved by Commission staff before contract award. All other contract award savings will be returned proportionally to the Local Partnership Program and made available for redistribution in subsequent programming cycles.

Savings at project completion must be returned proportionally except when an agency has, after project programming, committed additional funds to the project to fund a cost increase. In such instances, savings at project completion may be returned to other fund types first, until the proportions match those at programming.

Any additional savings must be returned proportionally to the Local Partnership Program, through a Commission action, and will be made available for programming in subsequent programming cycles.

When used in reference to project cost savings the word "proportionally" means that savings will be returned to each funding source based on the percentage contributed from the respective source.

VII. REPORTING

26B. Project Reporting

SB 1 places responsibility on the Commission to track the performance of and report to the public how well funding recipients are delivering projects receiving Local Partnership

Program funds. The reporting requirements are outlined in the [Commission's Accountability and Transparency Guidelines](#).

27B. Project Tracking Database

Caltrans is responsible for developing, upgrading, and maintaining an electronic database record of the adopted Competitive Program and Commission actions. The database will include project specific information, including project description, location, cost, scope, schedule, expected benefits, and progress of the project and a map. The project information from the database will be accessible at www.RebuildingCA.ca.gov.

28B. Project Auditing

The audit requirements are outlined in the Commission's SB 1 Accountability and Transparency Guidelines.

29B. Workforce Development Requirements and Project Signage

Pursuant to Streets and Highways Code Section 2038, by July 1, 2023, agencies receiving Road Maintenance and Rehabilitation Account funds will need to describe how projects will address participation and investment in new or existing pre-apprenticeship training programs that focus on outreach to women, minority participants, underrepresented subgroups, formerly incarcerated individuals, and local residents to access employment opportunities. Therefore, this information should be included in the semi-annual reports submitted to Caltrans.

Additionally, the implementing agency must, for all projects, include signage stating that the project was made possible by SB 1 – The Road Repair and Accountability Act of 2017. The signage should be in compliance with applicable federal or state law, and Caltrans' manual and guidelines, including but not limited to the provisions of the [California Manual on Uniform Traffic Control Devices](#).

VIII. ATTACHMENTS

Attachment 1 – Project Nominations - Competitive Program

Project Nomination Deadline

Project nominations and supporting documentation must be submitted to the Commission by November 29, 2022.

General Project Nomination Form Submission Instructions

- All project nominations must be submitted by the deadline listed above.
- Project nominations will be treated in accordance with California Public Records Act requirements and information, subject to those requirements, may be publicly disclosed.
- Applicants must submit one (1) electronic copy of the project nomination package.
- Electronic copies should be sent via e-mail to LPP@catc.ca.gov at or before 11:59 pm on November 29, 2022. If electronic files are too large to send via a single e-mail, please break up the files and send via multiple e-mails.
- Each project nomination should be limited to 35 pages, excluding information requested in appendices.
- Each project nomination must utilize the letter convention as specified below.

A. Cover Letter

- The cover letter must be submitted with the project nomination.
- The cover letter must be addressed to the California Transportation Commission's Executive Director and clearly identify the nominating agency or agencies and implementing agency or agencies.
- The cover letter must include the signature of the Chief Executive Officer (or other officer authorized by the nominating agency's governing board), authorizing and approving the project nomination.
- Jointly nominated projects must have the duly authorized signatures of both agencies.
- Where the project will be implemented by an agency or multiple agencies other than the nominating agency, the cover letter must include the signature(s) of the Chief Executive Officer or other authorized officer(s) of the implementing agency or agencies.

B. Fact Sheet

A one or two-page fact sheet describing the project scope, cost, schedule, and benefits (outputs/outcomes), which also includes a brief narrative of how the project would impact Greenhouse Gas Emissions, how the project considers transportation equity, and how the project mitigated or avoided negative community impacts to result in better outcomes. The fact sheet should be written in "plain language" so a

non-technical audience can understand it. It also must include a high-quality project picture or rendering of at least 300 Dots Per Inch (DPI), as well as a nominating agency logo. The fact sheet will be posted on the Commission's website and therefore must meet the latest state and federal web accessibility laws. Information about [California website accessibility laws is available on the State's website.](#)

C. General Information

- **Overview:** Include a brief, one to three paragraph, non-technical description of the project, total project cost and requested amount. If the project includes multiple project modes, each project mode must be described.
- **Map:** A map (or maps) that clearly show the project location(s). Provide a brief description of the project location(s) including city and county boundaries.
- **Photos:** Photos (rendering or actual) of the project location(s).
- **Priority:** Project priority (if the applicant (nominating agency) is submitting multiple project nominations).
- **Eligible Project:** Explain (no more than one or two paragraphs) how the project is eligible based on the categories outlined in the guidelines, Section 6B.
- **Scope:** A clear, concise (no more than two paragraphs), publicly understandable description of the project scope. Include a list of outputs for the project. Make sure the outputs listed here are consistent with the outputs submitted in the electronic Project Programming Request form.
- **Independent Utility:** Explain (no more than two paragraphs) why the project is being segmented and demonstrate that the segment(s) proposed for funding has independent utility.
- **Nominating Agency/Implementing Agency Agreement:** Where the project is to be implemented by an agency other than the nominator, documentation of the agreement between the project nominator and implementing agency must be submitted with the project nomination.
- **Reversible Lanes:** A confirmation that any capacity-increasing project or a major street or highway lane realignment project was considered for reversible lanes pursuant to Streets and Highways Code Section 100.15.

D. Screening Criteria

- The electronic Project Programming Request form, (see Appendix I), must list all funding match sources (federal, state, local, and private) and other committed funds.
- Include the required documentation for eligibility verification (as outlined in Section 5B).
- A description of any negative impacts to a disadvantaged community and low-income community, in terms of displacement or other negative impacts, and any related mitigations.

E. Project Delivery

- **Delivery Method**: Specify what delivery method is being used for the project. If a delivery method other than design-bid-build is used for the project, identify the delivery method used. If the delivery method is unknown at the time of nomination, it should be reported as soon as it is known. This can be a one sentence statement, but no more than one paragraph.
- **Contracts**: If more than one contract is needed for the Construction phase and separate allocations are needed, explain in this section.
- **Schedule Risks**: In narrative form or table format, list any potential schedule risks and proposed mitigation strategies to keep the project on schedule. Examples of schedule risks include geotechnical analysis needs or concerns, complicated utility relocations, or land acquisition needs.
 - a. If the project requests allocation in the last fiscal year of the program, explain why the project will be ready for allocation on time.
- **Other Potential Risks**: A description of other potential risks considered including, but not limited to, risks associated with deliverability and engineering issues, and funding commitments.
- **Rail Company Coordination**: Include a timeline for any necessary coordination with rail companies such as the Union Pacific Railroad or the Burlington Northern Santa Fe railroad. Below are examples of rail company involvement.
 - a. A construction maintenance agreement.
 - b. Permission from a rail company is required to use, make changes to, acquire, or work on their land.
 - c. A rail company must review and approve the project design.
 - d. Any other kind of significant involvement.

If the project requires coordination with a rail company, include a timeline with the following information:

- e. When the project team will begin and end engagement with the rail company.
 - f. Average review and approval timeframes for the rail company.
 - g. Dates when the project team will secure any necessary approvals.
 - h. Any other major milestones.
- **California Environmental Quality Act (CEQA)/National Environmental Policy Act Status**:
 - a. A one to two paragraph description of where the applicant is at in the process of securing approval for CEQA and if necessary NEPA.
 - i. If the CEQA documents are not complete, in a one or two paragraph description, explain how the applicant will ensure the completion of required environmental documentation within six months of program adoption as required in the guidelines (as outlined in Section 10B).

- b. A one to two paragraph description of the environmental and community impacts as identified in the environmental document and if applicable the proposed mitigations. This can also be presented in a table format.
- c. A link to the final environmental document/s, or the draft environmental document/s, must be included for all project segments.

F. Evaluation Criteria

A quantitative and qualitative analysis of the proposed project compared to the no-build environmental alternative.

Performance Metrics: The required Performance Metrics (see Appendix II) must be submitted as part of the electronic Project Programming Request form.

For evaluation criteria that are also performance metrics, quantitative information must be included on the Performance Metrics form. Qualitative descriptions should be consistent with the information provided in the Performance Metrics form. Instructions for calculating the performance metrics can be found in the Commission's [SB 1 Technical Performance Measurement Methodology Guidebook](#).

Required Criteria: Each criterion identified in Section 14B of the guidelines must be addressed. If a criterion is not addressed, the project may not be funded in the Competitive Program. Include at least one separate paragraph addressing each criterion outlined in Section 14B. The required criteria are listed below for reference.

- Sound wall only project nominations
 - Include a noise barrier scope summary report that has been completed within the last 20 years.
- Accessibility – The project nomination should address current accessibility issues and concerns in the project area and how the project will improve accessibility and connectivity to residents and non-residents that travel or need to travel through the project area. The project should also discuss infrastructure, such as sidewalks, protected bus/bike lanes, lighting, ease of access to ramps, elevators, etc. for those with mobility devices, or the lack thereof. How will the project connect to jobs, major destinations, and residential areas, especially for disadvantaged or historically impacted and marginalized communities? If identifiable, include destinations that may be priority destinations for disadvantaged or historically impacted and marginalized communities. Describe how the project increases accessibility to key destinations for disadvantaged or historically impacted and marginalized communities, which could be identified with maps that overlay the population distribution by various demographics.
- Air Quality & Greenhouse Gases – Address how the proposed project will reduce greenhouse gas emissions and criteria pollutants and advance the State's air quality and climate goals. Identify and discuss other environmental benefits the project will provide.
- Community Engagement - In alignment with the Commission's Racial Equity Statement, projects will be evaluated based on their ability to create mobility

opportunities for all Californians, especially those from disadvantaged or historically impacted and marginalized communities. Equitable projects demonstrate meaningful and effective public participation in decision making processes, particularly by disadvantaged or historically impacted and marginalized communities. In responding to this criterion, please refer to the SB 1 Competitive Programs' Transportation Equity Supplement (Appendix III).

In considering the impacts of projects on equity, applications will be rated on how well they do the following:

- Identify disadvantaged or historically impacted and marginalized communities within the project study area and provide details on project engagement. Document the procedures by which the mobility needs of disadvantaged or historically impacted and marginalized populations are identified and considered within the planning process. Identify how the community was engaged to consider community identified project needs. If a disadvantaged or historically impacted and marginalized community is within the project study area, were they engaged? How was input received and incorporated into the project?

Identification of disadvantaged or historically impacted and marginalized communities may be satisfied through the integration of a demographic profile of the metropolitan area that includes locations of disadvantaged populations within the study area. If the applicant has already included information about community engagement in another section of the application that answers these questions, state that here as well.

A list of example indicators is included in the SB 1 Competitive Programs Transportation Equity Supplement (Appendix III).

- Identify any actions taken to protect the State's most disadvantaged or historically impacted and marginalized communities. Identify strategies included in the project scope that seek to avoid and/or minimize impacts to disadvantaged or historically impacted and marginalized communities.
- Cost Effectiveness – The project should provide positive benefits in relationship to the project costs. The Commission will consider measurable benefits using the California Life-Cycle Benefit/Cost Analysis or an alternative proposed by the applicant.
- Deliverability – Projects are rated on whether design and right-of-way certification are completed, or when they will be completed unless the project is being delivered using Design-Build or Construction Manager/General Contractor method. If using these methods, the start of construction will be the basis for the evaluation.
- Projects that leverage funds above the required matching funds amount, in the Construction phase. (Refer to Section 8B).
- Safety – The project nomination should address safety issues and concerns, including actual reported property, injury, and fatality collisions for the last 5 full years. Demonstrate how the proposed project increases safety for motorized and

non-motorized users. Identify and discuss other safety measures the project will address, including health impacts.

- System Preservation – The project nomination should demonstrate how the project will improve the current conditions. Identify and discuss other performance measures the project will address.
- Transportation, Land Use, and Housing Goals
 - **Regional** - The project nomination should explain how the project will advance transportation, land use, and housing goals within the region as identified in the region’s Regional Transportation Plan, Sustainable Communities Strategy (where applicable), and Regional Housing Needs Allocation. This may also include demonstrating how the project will support or align with the region’s Regional Early Action Planning (REAP) grant investments or other regional planning or implementation efforts.
 - **Local** - The project nomination should explain how the project will advance local transportation, land use, and housing goals. This may include:
 1. Demonstrating, at the time of project nomination, the local jurisdiction has submitted its Housing Element annual progress report to the State of California for the current and prior year; or
 2. Demonstrating the local jurisdiction applied to the Department of Housing and Community Development’s Prohousing Designation Program and meets Prohousing criteria that support efficient land use.The project nomination must include a commitment by the local jurisdiction to continue pursuing full Prohousing Designation after receiving Local Partnership Program funding. Prohousing Designation Supplement developed in partnership with the California Department of Housing and Community Development is available in Appendix VI.

If housing is not an issue for the local jurisdiction, provide a detailed explanation, including an accounting of the jurisdiction’s assigned local share of the Regional Housing Needs Allocation and the jurisdiction’s progress toward meeting those needs documented in the jurisdiction’s Housing Element annual progress report for the current and prior years.
- Vehicle-Miles Traveled – The project nomination should demonstrate how the project will minimize vehicle miles traveled while maximizing person throughput.

G. Other Project Information Areas

Provide information for the following areas:

- Climate Change Resilience and Adaptation – Identify and include project features or strategies to mitigate the impacts of climate change.
- Protection of Natural and Working Lands, and Enhancement of the Built Environment – Does the project minimize the impact on natural and working lands (e.g., forests, rangelands, farms, urban green spaces, wetlands, and soils) or incorporate natural and green infrastructure?

- Public Health – Project reduces exposure to criteria air pollutants and/or supports active modes of travel such as walking and bicycling.

If an area above is not relevant to a project, write “Not Applicable” in the project nomination.

Refer to Appendix V, *Instructions and References for Project Nomination Section G - Project Information Areas* which provides detailed information to complete this section, including instructions, tools, and resources.

H. Funding

Funding Table – Complete the table below for all project phases. This table should be consistent with the electronic Project Programming Request form submitted with the project nomination.

Phase	Fiscal Year of Allocation	Amount	Funding Source	Committed or Uncommitted

- Cost estimates: A project cost estimate which includes the amount and sources of all funds committed to the project and the basis for concluding that the funding is expected to be available. Costs should be escalated to the year of proposed implementation and be approved by the Chief Executive Officer or other authorized officer of the implementing agency.
- Required Match: Project funding must include the required funding match (as outlined in Section 8B) in the Construction phase.
- Total Project Cost: Include the total project cost. Include the total costs at the end of the table. Make sure it matches the electronic Project Programming Request form.
- Uncommitted Funds: May only be from those programs identified in Section 16B. If uncommitted funding is proposed, the project nomination must address the plan for securing a funding commitment, explain the risk of not securing that commitment, and its plan for securing an alternate source of funding.
- Cost Overruns: A description that demonstrates the ability to absorb any cost overruns and deliver the proposed project with no additional funding from this program. For Caltrans implemented projects, Caltrans must demonstrate the plan to secure alternate source(s) to fund potential cost overruns.
- Contracts: If more than one contract is needed for the Construction phase, then each contract requires a separate allocation. Explain the need for more than one contract in this section.
- Federal Discretionary Grant Funds: Identify any discretionary federal grant funds that have been committed as of the application due date, or those discretionary

federal grant funds that have been applied for and not yet committed. Proof of the commitment should be provided in the form of a letter or public announcement issued by the authorizing federal agency.

I. Other

- Interagency Cooperation - For projects on the state highway system, evidence must be provided of cooperation between the nominating agency and Caltrans. (See Appendix VII)

IX. APPENDICIES

Appendix I: Electronic Project Programming Request Form

Each project nomination must include an electronic Project Programming Request (ePPR) form. The electronic Project Programming Request form must list federal, state, local, and private funding categories by project phase and fiscal year. If the proposed project includes multiple project modes to be delivered under separate contracts, each project mode must have its own electronic Project Programming Request form. The scope, benefits, schedule and funding plan of the electronic Project Programming Request form must be consistent with the information in the project nomination. Access to the electronic Project Programming Request form may be found on the [Caltrans website](#).

Appendix II: Performance Metrics

- Please fill in the table included in this section with the requested information for the proposed project. This information must be consistent with the information in the electronic Project Programming Request form that is submitted with the application under Appendix I.
- Commission staff may contact applicants for additional information.
- Please refer to the [Senate Bill \(SB\) 1 Technical Performance Measurement Methodology Guidebook](#) which includes additional information and resources for completing the table.

Measure	Metric	Project Type	Build	Future No Build	Change	Increase/Decrease
Congestion Reduction	Change in Daily Vehicle Miles Travelled	Local Road Hwy Road Transit				
	Person Hours of Travel Time Saved	Local Road Hwy Road Transit				
Throughput	Bicyclist/Pedestrian Screen Line Counts (Optional)	Active Transportation				
System Reliability	Peak Period Travel Time Reliability Index	Hwy Road				
	Level of Transit Delay	Transit				
Safety	Number of Fatalities	All				
	Number of Serious Injuries	All				
	Rate of Fatalities	All				
	Rate of Serious Injuries	All				
Economic Development	Jobs Created	All				
Air Quality	Particulate Matter (PM 2.5 PM 10)	All				
	Carbon Dioxide (CO ₂)	All				
	Volatile Organic Compounds (VOC)	All				
	Sulphur Dioxides (SO _x)	All				
	Carbon Monoxide (CO)	All				
	Nitrogen Oxides (NO _x)	All				
Cost Effectiveness	Benefit Cost Ratio	All				
Accessibility	Number of Jobs Accessible by Mode	All				
	Access to Key Destinations by Mode	All				
	% of Population Defined as Low Income or Disadvantaged within ½ mile of rail station, ferry terminal, or high-frequency bus stop	All				

System Preservation <i>(Pavement/Bridge Rehabilitation only)</i>	Pavement Condition Index	Local Road Hwy Road				
	Bridge Condition Rating for Bridge Deck, Superstructure, Substructure	Local Road Hwy Road				
Noise Level <i>Sound walls only</i> (For reporting only)	Number of Receptors	Sound walls				
	Properties Directly Benefited	Sound walls				
	Number of Decibels	Sound walls				

Appendix III: SB 1 Competitive Programs Transportation Equity Supplement

On January 27, 2021, the Commission adopted its Racial Equity Statement, which states as follows:

The California Transportation Commission recognizes that throughout California's history, improvements to the State's transportation system have disproportionately benefitted some population groups and burdened others. The Commission condemns all forms of racism and is actively working to promote equitable outcomes through our programs, policies, and practices.

In the mid-Twentieth Century, California undertook a major expansion of transportation infrastructure aided by an influx of federal funding. While infrastructure improvements were being planned, designed, and constructed, Black, Indigenous, and other people of color were disenfranchised, lacked voting protections, and were underrepresented in government decision-making. New highways were frequently constructed through predominately Black, Latino, Asian, and low-income neighborhoods to meet the needs of primarily white suburban commuters, and through tribal lands. Racist policies and decisions also influenced the siting of other types of transportation infrastructure, such as commuter railways, and the delivery of transit services. The results of racial segregation and disinvestment of transportation funds in communities of color are still visible in cities today.

Californians who live in historically underserved communities are more likely to be negatively impacted by increased exposure to air pollution and noise from cars, trucks, ships, trains, and aircraft, and struck or killed by drivers when walking and biking. These vulnerable communities may have limited access to safe and affordable transportation options to connect residents to jobs, education, healthcare, and recreation. In addition, people of color may experience diminished safety and comfort while walking, biking, driving, or using public transportation as a result of racial discrimination in enforcement.

The Commission vows to create mobility opportunities for all Californians, especially those from underserved communities, to thrive in all aspects of life. The Commission will:

- Work to build and strengthen relationships with community-based organizations, non-profits, advocacy organizations, and other equity experts and practitioners;
- Empower the Commission's Equity Advisory Roundtable and future related efforts to help inform transportation decision making;
- Strengthen understanding of community transportation needs and challenges through the forthcoming Community Listening Sessions;
- Ensure equity, public health, and robust public engagement via our planning and programming guidelines;
- Provide expanded opportunities for Commissioner and staff training related to diversity, equity, and inclusion; and

- Feature equity topics and elevate diverse perspectives in public meetings of the Commission.

We uphold our dedication to serve and improve the quality of life for all Californians by continuing to prioritize transportation equity issues and ensuring all experience safe, affordable, and efficient transportation.

In order to further equitable outcomes through SB 1 Competitive Programs, this supplement was developed by the California Transportation Commission through collaboration with stakeholders as a resource for applicants preparing project nominations for the SB 1 Competitive Programs (Local Partnership Program, Solutions for Congested Corridors Program, and Trade Corridor Enhancement Program).

The purpose of this document is to provide information on key statistics, benefits, and communicate strategies that may be used during project development to yield more equitable outcomes. The information and strategies presented in this document may be used to help document how a project incorporates transportation equity by responding to key guidelines questions like:

- Was outreach conducted with disadvantaged or historically impacted and marginalized groups, including Black, Indigenous, and other people of color, and/or people with low incomes, within the project study area and how was that input incorporated into the project?
- What actions were taken to protect the state's most disadvantaged or historically impacted and marginalized populations within the project study area from negative project impacts?
- How did the project sponsor assess whether the project would result in any disparate impacts on the basis of race, color, socioeconomic status, gender, sexuality, or national origin? If disparate impacts were identified, were additional strategies that would have a less discriminatory impact considered and included in the project?

Further, this document can potentially serve to support future efforts to incorporate equity into Multimodal Corridor Plans.

Example Indicators Used to Identify Disadvantaged or Historically Impacted and Marginalized Groups

Pursuant to California Health and Safety Code Section 39711, disadvantaged communities are identified based on geographic, socioeconomic, public health, and environmental hazard criteria. Disadvantaged communities may include, but are not limited to, either of the following:

- 1) Areas disproportionately affected by environmental pollution and other hazards that can lead to negative public health effects, exposure, or environmental degradation.

- 2) Areas with concentrations of people that are of low income, high unemployment, low levels of homeownership, high rent burden, sensitive populations, or low levels of educational attainment.

Identifying historically impacted and marginalized groups requires recognition of localized differences. Below are examples of indicators which may be considered:

- Median Household Income: is less than 80% of the statewide median based on the most current Census Tract (ID 140) level data from the 2014-2018 American Community Survey (<\$56,982). Communities with a population less than 15,000 may use data at the Census Block Group (ID 150) level. Unincorporated communities may use data at the Census Place (ID 160) level. Data is available at the United States Census Bureau Website.
- CalEnviroScreen: An area identified as among the most disadvantaged 25% in the state according to the CalEPA and based on the most recent version of the California Communities Environmental Health Screening Tool (CalEnviroScreen) scores (score must be greater than or equal to 39.34). The mapping tool can be found [here](#) and the list can be found under “[SB 535 List of Disadvantaged Communities](#)”.
- Healthy Places Index: The Healthy Places Index includes a composite score for each census tract in the State. The higher the score, the healthier the community conditions based on 25 community characteristics. The scores are then converted to a percentile to compare it to other tracts in the State. Within the Healthy Places Index, a census tract must be in the 25th percentile or less to qualify as a disadvantaged community. The live map and the direct data can both be found on the California Healthy Places Index website.
- Native American Tribal Lands: Projects located within Federally Recognized Tribal Lands (typically within the boundaries of a Reservation or Rancheria).
- A Regional Definition such as “environmental justice communities,” “equity priority communities,” or “communities of concern.” The Regional Definition must have been developed through a robust public outreach process that includes the input of community stakeholders and must be stratified based on severity. A regional definition of disadvantaged communities must be adopted as part of a regular four-year cycle adoption of a Regional Transportation Plan (RTP) / Sustainable Communities Strategy (SCS) by a Metropolitan Planning Organization or Regional Transportation Planning Agency per obligations with Title VI of the Federal Civil Rights Act of 1964. A regional definition of disadvantaged communities must be used for the region’s broader planning purposes rather than only to apply for SB 1 Competitive Program funding.
- Other: If an applicant believes that the project benefits a disadvantaged community, but the project does not meet the aforementioned criteria due to a lack of accessible information, the applicant may submit another means of qualifying for consideration.

Suggested alternatives that can be submitted under this category may include:

- Census data that represents an assessment of the project study area. The applicant must submit for consideration a quantitative assessment, such as a survey, to demonstrate that the population contained within the study area boundary has a median household income that is at or below 80% of the state median household income.
- Seniors and elderly residents
- Car-less households
- Single-parent households
- Immigrant or foreign-born households
- Veterans
- Public transit users
- Unemployment measurements
- Households at risk of displacement due to cost-of-living burden or project siting
- Households receiving food stamps or public assistance
- Nearby amenities including shopping centers, health centers, schools, social services, and employment sites, or lack thereof
- Traffic safety indicators including collisions and injuries sustained
- Community derived safety information and indicators such as high-risk zones for pedestrians and cyclists, illegal dumping hot-spots, or school-safety priority zones
- Areas of Persistent Poverty and Historically Disadvantaged Communities as defined by the United States Department of Transportation and identified using the mapping tool at <https://www.transportation.gov/grants/mpdg-areas-persistent-poverty-and-historically-disadvantaged-communities-1>

Example Equity Benefits

The following are ways to achieve transportation equity:

1. Increase access to social, educational, and economic opportunities.
2. Improve access to and safety of active transportation and alternatives to automotive options.
3. Enhance opportunities to increase physical activity through active transportation.
4. Prioritize community identified high-need areas, such as those identified through robust community engagement processes.
5. Reduce travel times, congestion, and pollution.
6. Prioritize contracting strategies that benefit historically marginalized populations such as those communities identified above.

7. Improved accessibility to amenities including shopping centers, health centers, schools, social services, transit centers/access, and employment sites.
8. Ensuring stability in neighborhoods and communities through the successful implementation of short-term and long-term anti-displacement strategies and policies.

Example Community Engagement Strategies

Below are four examples of community engagement strategies that may be completed during the project delivery process to ensure equity. Outreach should include traditional forms of communication, including phone calls, mailers/flyers, and/or in-person events as many marginalized groups often lack access to computers and the internet.

1. Identify, reach out to, and include the perspectives of disadvantaged or historically impacted and marginalized groups. This may be done through outreach to community-based groups or organizations, such as environmental justice groups, local pedestrian and bike advocacy groups, public school leadership, local transit riders, long-distance commuters (super commuters), linguistically or physically isolated groups, seniors and elders, and youth individuals and groups. This can also include community members who may face extreme societal barriers including formerly incarcerated, undocumented, individuals with disabilities, houseless, and lesbian, gay, transgender and queer communities. Demonstrate how community perspectives were included or integrated into the project.
2. Demonstrate how community perspectives were included or integrated into the project purpose and need or scope.
3. Meaningful engagement with tribal governments and incorporate their feedback into the planning process.
4. Partner with and fund or contract local organizations to support community engagement and project completion steps.

Example Anti-Displacement Resources

1. California Department of Housing and Community Development Final 2020 Analysis of Impediments to Fair Housing Choice
 - a. <https://www.hcd.ca.gov/policy-research/plans-reports/docs/final2020ai.pdf>
 - b. Report detailing impediments to fair housing and recommendations for anti-displacement strategies.
2. Urban Displacement Project
 - a. <https://www.urbandisplacement.org>
 - b. Comprehensive website with reports, data mapping, and resources for California local, regional, and state entities.
3. Framework for Evaluating Anti-Displacement Policies

- a. <https://sites.utexas.edu/gentrificationproject/files/2019/09/Part-2.-Framework-for-Evaluating-Anti-Displacement-Policies.pdf>
 - b. Criteria that can be utilized to better understand the ways that particular policy tools can be used to address the needs of vulnerable groups impacted by displacement.
4. Greening Without Gentrification
 - a. <https://www.ioes.ucla.edu/project/prads/>
 - b. Ongoing study that identifies and classifies parks-related anti-displacement strategies.
 5. Transit-Oriented Development Without Displacement: Strategies to Help Pacoima Businesses Thrive
 - a. <https://escholarship.org/uc/item/3gr006rd>
 - b. Research study focused on commercial anti-displacement strategies that can support a predominantly immigrant-owned small business community.

Appendix IV: Prohousing Designation Supplement

This supplement was developed by the California Department of Housing and Community Development (HCD) in partnership with the California Transportation Commission, as a resource for applicants preparing project nominations for the Local Partnership Competitive Program (LPP). This supplement describes types of policies that serve as indicators of supporting efficient local land use patterns.

A project nomination for LPP funding can demonstrate that the project supports efficient land use by substantiating that the project serves a local government jurisdiction that has both:

- A. Applied to HCD for the Prohousing Designation under HCD's [Prohousing Designation Program](#), and
- B. Received written verification by HCD that the local government's application meets at least one of the Prohousing criteria described below. These criteria can include Prohousing Policies or Prohousing Enhancement Factors.

Local government jurisdictions seeking to participate in the Prohousing Designation Program, can reach HCD at ProhousingPolicies@hcd.ca.gov. Adopting local policies meeting these criteria confer benefits to local communities under LPP as well as numerous other State funding programs.

Prohousing Policies:

- Density bonus programs which exceed statutory requirements.
- Increasing allowable density in low-density, single-family residential areas beyond the requirements of state Accessory Dwelling Unit law (e.g., permitting more than one Accessory Dwelling Unit (ADU) or Junior Accessory Dwelling Unit (JADU) per single-family lot).
- Reducing or eliminating parking requirements for residential development.
- Zoning to allow for residential or mixed uses in one or more non-residential zones.
- Modification of development standards and other applicable zoning provisions to promote greater development intensity.
- Establishment of geographic areas for promoting workforce housing or sustainability, such as Workforce Housing Opportunity Zones defined in Government Code section 65620 or housing sustainability districts defined in Government Code section 66200.
- Documented practice of streamlining housing development at the project level, such as by enabling a by-right approval process or by utilizing statutory and categorical exemptions as authorized by applicable law (such as Pub. Resources Code, §§ 21155.1, 21155.4, 21159.24, 21159.25; Gov. Code, § 65457; Cal Code Regs., tit. 14, §§ 15303, 15332; Pub. Resources Code, §§ 21094.5, 21099, 21155.2, 21159.28).

- Priority permit processing or reduced plan check times for Accessory Dwelling Units, multifamily housing, or homes affordable to lower- or moderate-income households.
- Adoption of policies to reduce barriers for property owners to create Accessory Dwelling Units.
- Measures that reduce costs for transportation-related infrastructure or programs that encourage active modes of transportation or other alternatives to automobiles. Qualifying policies include, but are not limited to, publicly funded programs to expand sidewalks or protect bike/micro-mobility lanes; creation of on-street parking for bikes; transit-related improvements; or establishment of carshare programs.
- Establishment of pre-approved or prototype plans for missing middle housing types (e.g., duplexes, triplexes, and fourplexes) in low-density, single-family residential areas.

Prohousing Enhancement Factors:

- Policies that represent one element of a unified, multi-faceted strategy to promote multiple planning objectives, such as efficient land use, access to public transportation, affordable housing, climate change solutions, and/or hazard mitigation.
- Policies that promote development consistent with the state planning priorities pursuant to Government Code section 65041.1.
- Policies that go beyond state law requirements in reducing displacement of lower income households and conserving existing housing stock that is affordable to lower income households.
- Rezoning and other policies that support high-density development in Location Efficient Communities.
- Other policies that involve meaningful actions towards affirmatively furthering fair housing pursuant to Government Code section 8899.50.

Appendix V: Instructions and References for Project Nomination Section G - Project Information Areas

A. Climate Change Resilience and Adaptation

Climate change resilience refers to the capacity of any entity, such as a transportation agency, to prepare for weather-related disruptions, to recover from shocks and stressors, and to adapt and grow from a disruptive experience. Climate change impacts – including increased wildfires, droughts, landslides, rising sea levels, floods, severe storms, heat waves, and impacts to wildlife – are occurring and will only become more frequent and severe. Climate change poses many threats to our communities' health, well-being, environment, and property, and to the resilience of the State's transportation system upon which we all rely.

Climate resilience and adaptation are often discussed together; however, adaptation is typically an action or set of actions, while resilience describes the desired outcome. Resilience is achieved through a series of adaptation steps that aim to make adjustments in natural or human systems in response to actual or expected impacts from climate change and extreme weather events.

Incorporating adaptation elements into transportation projects will enhance the resiliency of California's transportation system to protect the infrastructure itself as well as Californians from climate impacts. Preparing for the impacts of climate-related disasters will also support preparedness for other potential disasters, such as earthquakes. These measures are critical to ensure the safety of Californians, the health of the State's economy, and they will extend the lifespan of our infrastructure.

Project Benefits: Climate Resilience and Adaptation

To communicate a project's benefits related to advancing climate change resilience, an applicant should identify both the climate change impact(s) that are occurring or anticipated, and the adaptive strategies. Identifying which climate change impacts will be felt, as well as the level of risk they pose, to a transportation asset is a key step in identifying the appropriate adaptation strategies.

Climate change impacts include:

- Changes in temperature, including more frequent and severe extreme heat events
- Changes in precipitation, including extreme rainfall and drought
- Wildfire
- Sea level rise and storm surge

Secondary climate change impacts include, but are not limited to the following:

- Flooding
- Severe Storms

- Landslides
- Cliff retreat

It is recommended that the applicant evaluate multiple adaptation strategies during the development of the project and provide sufficient evidence for choosing certain strategies over others.

Examples of climate change adaptation strategies:

- Including roadway warning systems for extreme weather events.
- Realigning or relocating transportation infrastructure that is impacted by sea level rise.
- Incorporating nature-based solutions, such as wetlands restoration, along transportation corridors to protect infrastructure from flooding and storm impacts.
- Including transit shelters with shade, water, or other means of cooling in locations expected to see temperature increases.
- Replacing wooden infrastructure with fire-resistant infrastructure in areas vulnerable to wildfire.
- Including energy storage solutions to both safeguard against loss of power and to support electric vehicles in case of climate-related grid disruptions (which can include public power safety shut-offs (PSPS)).
- Including a wildlife crossing element for species that are intended to shift migratory patterns due to climate change.
- Incorporating 'Complete Street' elements, such as street trees, to provide cooling and shade for pedestrians and bicyclists in locations expected to see temperature increases.
- Providing evacuation planning and infrastructure to deploy expanded throughput or transportation options and temporary increases in person throughput (such as through reversible lanes) in corridors that have been identified to support emergency evacuation.

Resources

The resources below are included to assist applicants with measuring and communicating the potential climate change impacts to projects and adaptive strategies that can be pursued. These resources are not intended to be an exhaustive list, and applicants are encouraged to also refer to local resources (climate action plans or climate adaptation plans for instance) and expert testimony.

State Resources to Identify Climate Change Impacts:

These resources were created by the State to both identify climate impacts in California as well as provide guidance on adaptation and resilience planning.

- Cal-Adapt: Cal-Adapt provides State-endorsed climate change projections for the primary climate impacts listed above through various tools and datasets, providing climate information specific to California. <http://cal-adapt.org/>
- California Heat Assessment Tool: This tool allows applicants to understand and identify how extreme heat from climate change will impact specific communities across the state. It is available here: <https://www.cal-heat.org/explore>.
- California Ocean Protection Council's Sea Level Rise Policy Guidance: For sea level rise specifically, applicants should consult the OPC's sea level rise guidance for additional information on evaluating and planning for sea level rise risk that is not captured on Cal-Adapt. https://opc.ca.gov/webmaster/ftp/pdf/agenda_items/20180314/Item3_Exhibit-A_OPC_SLR_Guidance-rd3.pdf
- Caltrans Vulnerability Assessments: To ensure the resiliency of the State Highway System, Caltrans conducted vulnerability assessments statewide to identify vulnerable segments to climate change and extreme weather events. These reports can be used to see vulnerability of the State Highway System to various climate impacts in Caltrans Districts. <https://dot.ca.gov/programs/transportation-planning/2019-climate-change-vulnerability-assessments>
- Fire Hazard Severity Zones Map: While most of California is subject to some degree of fire hazard, there are specific features that make some areas more hazardous. This mapping utility may help applicants identify areas based on the severity of fire hazard that is expected to prevail there, considering factors such as fuel, slope, and fire weather. The map is intended to be used for implementing wildland-urban interface building standards for new construction and property development standards such as road widths. This resource is available here: <https://osfm.fire.ca.gov/divisions/wildfire-planning-engineering/wildland-hazards-building-codes/fire-hazard-severity-zones-maps/>
- State Guidance on Resilience Planning: The Adaptation Planning Guide: This resource, which is accessible in an interactive format as well as for download on the State's Adaptation Clearinghouse, was created by the State in 2020 to provide guidance to local governments on local adaptation and resilience planning. It contains a step-by-step process that communities can use to plan for climate change (including identifying climate impacts), and it was designed to be flexible and responsive to community needs. It also contains a summary of statewide guidance, resources, and tools, as well as best practices, best available science, and the latest updates to state plans, policies, programs and regulations. Importantly, equity and community engagement considerations are integrated throughout all planning phases. <https://resilientca.org/apg/>
- Strategic Fire Plan for California: CalFire's Plan provides objectives to achieve a vision for infrastructure that are more fire resistant and a natural environment that is more fire resilient. Applicants may review Unit Strategic Fire Plans to explore county-specific fire management strategies and tactics that should be considered when designing projects. This resource can be found here: <https://osfm.fire.ca.gov/divisions/wildfire-planning-engineering/fire-plan/>

- **Defining Vulnerable Communities in the Context of Climate Adaptation:** This resource guide includes information on publicly available tools and resources that may be used to define vulnerable communities in an adaptation context. While definition of “vulnerable communities” provides clarity on the underlying factors of community vulnerability, and how these are exacerbated by climate impacts, a definition alone may not provide the level of detail needed to take actionable steps within the context of climate adaptation plans and implementation actions. The California Governor’s Office of Planning and Research, with input from the Integrated Climate Adaptation and Resiliency Program (ICARP) Technical Advisory Council, developed this resource guide as a starting point for practitioners to use when first considering how to define vulnerable communities in an adaptation context. https://opr.ca.gov/docs/20200720-Vulnerable_Communities.pdf
- **California’s Fourth Climate Assessment: California’s Climate Change Assessments** contribute to the scientific foundation for understanding climate-related vulnerability and informing resilience actions. There were some studies performed on transportation in the Fourth Climate Change Assessment, which can be found under “Technical Reports”. The Statewide Summary Report also offers a statewide view of climate impacts to various sectors. <http://www.climateassessment.ca.gov/>

Identifying Adaptation Strategies

- **Caltrans Adaptation Strategy Report:** This report was released in 2020 to provide information and recommendations to Caltrans on integrating adaptation into project planning and implementation. Appendix A, which starts on page 100, provides detailed information on the representative types of projects that Caltrans will likely be implementing more regularly in the future due to climate change and associated changing weather patterns. This information may also be useful for applicants in considering various adaptation strategies to climate impacts.
- **California Adaptation Clearinghouse:** The Adaptation Clearinghouse is the State of California’s consolidated searchable database of resources for local, regional, and statewide climate adaptation planning and decision-making. These resources include examples of adaptation strategies for transportation projects. Also as mentioned above, the Adaptation Planning Guide, housed on the site, can offer guidance on adaptation strategies as well. <https://resilientca.org/>
- **Sacramento Area Council of Governments (SACOG) Project-Level Adaptation Strategies Guidance Document:** This report provides guidance for transportation practitioners for addressing climate change risk at the project-level in the Sacramento Region, but practitioners working in other regions may also find it useful. https://www.sacog.org/sites/main/files/sacog_project-level_climate_adaptation_strategies_for_transportation_guidance_report.pdf
- **California Coastal Commission Sea Level Rise Policy Guidance:** This guide provides an overview of the science on sea level rise for California as well as adaptation strategies.

https://documents.coastal.ca.gov/assets/slr/guidance/2018/7_Ch7_2018AdoptedSLRGuidanceUpdate.pdf

B. Protection of Natural and Working Lands and Enhancement of the Built Environment

Natural and working lands have the potential to sequester carbon, reduce greenhouse gas emissions, and increase the capacity for California to withstand climate impacts.¹ In addition, projects can increase carbon sequestration in the natural and built environments through natural and green infrastructure. Executive Order B-30-15 directs state entities to give priority to natural and green infrastructure in its plans and investments.

This project information area looks at whether the project employs land conservation measures and integrates natural or green infrastructure.

Employ Land Conservation Measures

Projects should aim to protect natural and working lands from conversion to more intensified uses and enhance biodiversity by supporting local and regional conservation planning that focuses development where it already exists and aligns with conservation priorities to reduce transportation's impact on the natural environment. Examples of land conservation measures include:

- Prioritizing large habitat preservation, particularly in any environmentally sensitive areas, and locating construction along existing transportation corridors.
- Avoiding habitat/population fragmentation and invasive species expansion.
- Design and incorporate wildlife crossing/passage structures to allow movement of plants and animals between different habitats.
- Design structures that reduce stressors (e.g., erosion and sedimentation) impacting water bodies.
- Implement species and habitat mitigation measures, such as restoration activities or establishing permanent conservation easements.

Natural or Green Infrastructure Solutions

Projects should evaluate whether natural or green infrastructure solutions are available to integrate into design. These are natural/ecological processes and features that are engineered to supplement traditional built infrastructure, which can provide benefits such as water catchment, infiltration, and surface cooling. Examples of this hybrid use of natural infrastructure include:

- Planting trees along streets and walkways, and
- Creating urban greenspaces, such as public parks or gardens.

¹ CalEPA, et. al., January 2019 Draft California 2030 Natural and Working Lands Climate Change Implementation Plan, April 2019, available at: <https://ww2.arb.ca.gov/resources/documents/nwl-implementation-draft>.

Resources

The resources below are included to assist applicants with considering strategies that can be pursued to protect natural and working lands. These resources were created to both identify impacts on natural and working lands in California as well as provide guidance on conservation, restoration, and management activities. These resources are not intended to be an exhaustive list, and applicants are encouraged to also refer to local resources.

- **Areas of Conservation Emphasis:** The Areas of Conservation Emphasis is an effort from the California Department of Fish and Wildlife to gather spatial data on wildlife, vegetation, and habitats from across the state, and then synthesize this information into thematic maps to determine locations to prioritize biodiversity conservation, habitat connectivity, and climate change resiliency. The maps may help applicants to obtain a coarse level view of information for conservation planning purposes. Resource available here: <https://wildlife.ca.gov/Data/Analysis/Ace>
- **California 2030 Natural and Working Lands Climate Change Implementation Plan:** The natural and working lands implementation plan aims to coordinate all natural and working lands programs under a united approach that will move the State towards the combined goal of maintaining a resilient carbon sink and improved air and water quality, water quantity, wildlife habitat, recreation, and other benefits. Applicants may use this resource to explore mitigation strategies when siting projects in or near existing natural and working lands. Resource available here: <https://ww2.arb.ca.gov/our-work/programs/natural-and-working-lands>
- **California Biodiversity Collaborative:** Established by Executive Order N-82-20, the collaborative brings together state agencies, other governmental partners, California Native American tribes, experts, business and community leaders and other stakeholders from across California to protect and restore the State's biodiversity. Applicants may engage with the collaborative during the planning process to help advise on potential project impacts and mitigation strategies. Resource available here: <http://biodiversity.ca.gov/>
- **Natural Community Conservation Plans:** Working with landowners, environmental organizations, and other interested parties, a local agency oversees the numerous activities that compose the development of a Natural Community Conservation Plan. The plans help applicants identify strategies that support the regional protection of plants, animals, and their habitats, while allowing compatible and appropriate economic activity. Resource available here: <https://wildlife.ca.gov/Conservation/Planning/NCCP/Plans>
- **State Wildlife Action Plan 2015 Transportation Companion Plan:** The California State Wildlife Action Plan 2015 Update provides a vision and a framework to sustainably manage ecosystems across the state in balance with human uses of natural resources. The transportation companion plan provides guidance on methods to incorporate natural and wildlife resource conservation in transportation project planning and can help applicants identify adaptation

strategies. Resource available here:
<https://wildlife.ca.gov/SWAP/Final/Companion-Plans>

- TerraCount: This tool models the greenhouse gas and natural resource implications of different development patterns and management activities. TerraCount can allow applicants to evaluate the application of management activities including restoration activities, such as riparian restoration, and avoided conversion, such as avoided conversion of agricultural land to development. Resource available here: <https://maps.conservation.ca.gov/terraaccount/>

Appendix VI: Eligible Taxing Authorities Receiving Formulaic Funding

The following taxing authorities have been found eligible for the 2022 Local Partnership Formulaic Program.

Alameda-Contra Costa Transit District	Riverside County Transportation Commission
Alameda County Transportation Commission	Sacramento Transportation Authority
Bay Area Rapid Transit District	San Bernardino County Transportation Authority
Bay Area Toll Authority	San Diego County Regional Transportation Commission
Caltrain	San Francisco County Transportation Authority
City/County Association of Governments of San Mateo County	San Joaquin County Transportation Authority
City and County of San Francisco	San Mateo County Transportation Authority
Clearlake	San Mateo County Transit District
Contra Costa Transportation Authority	Santa Barbara County Local Transportation Authority
Council of San Benito County Governments	Santa Clara Valley Transportation Authority
El Cerrito	Santa Cruz County Regional Transportation Commission
El Paso de Robles	Santa Cruz Metropolitan Transit District
Fort Bragg	Sonoma County Transportation Authority
Fresno County Transportation Authority	Sonoma-Marín Area Rail Transit District
Imperial County Local Transportation Authority	Stanislaus County Transportation Authority
Los Angeles County Metropolitan Transportation Authority	Transportation Agency of Monterey County
Madera County Transportation Authority	Transportation Authority of Marin County
Martinez	Truckee
Merced County Transportation Authority	Tulare County Transportation Authority
Monterey-Salinas Transit District	Ukiah
Napa Valley Transportation Authority	Willits
Orange County Transportation Authority	Yuba County
Orinda	
Point Arena	

Appendix VII: State Highway System Project Impact Assessment (Form CTC-0002)

- Applicant must complete ALL fields in Sections I and II. Write N/A if not applicable. Applicant must also provide the Attachments requested in Section IV.
- Assessment Form and all attachments must be submitted to Caltrans District Contacts (contact link in Section III) no later than four (4) weeks prior to Application Due Date. Late or incomplete submissions of this form and attachments may delay applications.
 1. Applying Agency
 2. Name of Person submitting the application
 3. Title
 4. Phone
 5. Email
 6. Project Title - The title must be consistent with the application and all project documentation
 7. Indicate the State Funding Program(s) associated with the project. Check all that apply.
 8. Percentage of project area within State Right of Way: $(\text{Area within State Right of Way} \div \text{Total project area}) \times 100$
 9. Total construction cost of physical project elements within State Right of Way: Provide a separate estimate for the total construction cost (capital and support costs) of the project for only those physical elements and/or portions of elements that are on or within State Right of Way. This includes project elements within State airspace. Please refer to the completed estimates form or figures included in the project application.
 10. Indicate the anticipated environmental documentation that will be required for California Environmental Quality Act and National Environmental Policy Act (ex. Negative Declaration, EIR/ EIS, etc.) Indicate N/A if a National Environmental Policy Act document is not required.
 11. Fully describe the scope of work to be performed within State Highway Right of Way. This includes all new or modifications to any physical assets within State Right of Way.
 12. Follow the steps and linked resources to determine induced Vehicle Miles of Travel (VMT) on the State Highway System (SHS) and applicable calculations. Enter text inputs on 4, 5, or 6 as applicable. Note: Active Transportation Program (ATP) projects may not induce VMT per the ATP Guidelines. ATP applicants check number 2 and proceed to Section 13.
 13. Review the linked flowchart and resources for appropriate level of involvement. Check the applicable items in the checklist to determine appropriate process. Check the processes that apply.

Caltrans will review and retains the right to make a final determination.

Caltrans may include attachments after review identifying expected maintenance obligations and/or project risks.

STATE HIGHWAY SYSTEM PROJECT IMPACT ASSESSMENT

CTC-0002 (NEW 02/2022)

I. APPLICANT INFORMATION

1. APPLICANT

2. APPLICANT CONTACT

3. CONTACT TITLE

4. CONTACT PHONE

5. CONTACT EMAIL

II. PROJECT INFORMATION

6. PROJECT TITLE

7. PROJECT PROGRAM ATP LPP-C LPP-F LSRP SCCP SGR TCEP SHOPP STIP TIRCP

8. PERCENT OF PROJECT AREA WITHIN STATE HIGHWAY RIGHT OF WAY

9. TOTAL CONSTRUCTION COST WITHIN STATE HIGHWAY RIGHT OF WAY

10. ANTICIPATED ENVIRONMENTAL DOCUMENTATION FOR:

CEQA:

NEPA:

11. DESCRIBE THE SCOPE OF WORK TO BE DONE WITHIN STATE HIGHWAY RIGHT OF WAY

12. SB743 VEHICLE MILES OF TRAVEL (VMT) IMPACT ASSESSMENT

- 1. Project Environmental Document was approved prior to the implementation of SB 743 (or July 2020) and VMT analysis was not required. If checked, Stop. Proceed to Section 13.
- 2. Project is screened as unlikely to induce traffic under Section 5.1.1 in [Transportation Analysis under CEQA](#). If checked, Stop. Proceed to Section 13.
- 3. Project is in a [Metropolitan Statistical Area](#). If checked, proceed to step 3. If not, proceed to step 6.
- 4. Project adds lane-miles to the SHS. If yes, proceed to step 4. If the project adds other types of traffic-inducing capacity, e.g. an interchange, proceed to step 6.
-
- 5. Enter the project lane-miles in the [NCST Induced Travel Calculator](#) and report the result here.
- 6. If the project team believes induced VMT will be different than what is shown in step 4, provide a best estimate based on guidance in the [Transportation Analysis Framework](#) and [Transportation Analysis Under CEQA](#), and a brief justification here. Stop. Proceed to Section 13.
-
- 7. Provide an estimate of the project's induced VMT based on guidance in the [Transportation Analysis Framework](#) and [Transportation Analysis Under CEQA](#), and a brief justification here. Stop. Proceed to Section 13.

13. EXPECTED LEVEL OF CALTRANS INVOLVEMENT (Note: the final determination will be at the discretion of Caltrans)

Follow the [Flowchart to Determine the QMAP \(ca.gov\)](#) and [Applicant's checklist to determine the appropriate Caltrans review process \(TR-0416\)](#) to identify the applicable Caltrans review process that best fits the project parameters. Encroachment requests with completed permit application, checklists and supporting project documents must be submitted to District encroachment permit offices for further processing.

For determination of the processes required, Check the following if the project:

- a.) Will impact and Environmentally Sensitive Area, or requires an Environmental Impact Report (EIR) or Environmental Impact Statement (EIS),
- b.) Requires Federal Highway Administration (FHWA) approval,
- c.) Requires Right-of-Way dedication from Caltrans,
- d.) Requires modification to a Caltrans Bridge or Structure,
- e.) Requires Design Standard Decision Document (Reference: Highway Design Manual, Design Information Bulletin 78),
- f.) Requires Encroachment Exception Approval (Reference: Encroachment Permit Manual, Chapter 300),
- g.) None of the Above.

If any items "a" through "f" are checked a Standard Project Delivery Process is required, see #3 below. If item "g" is selected a Short Form is permitted, see #2 below.

- 1. Encroachment Permit Oversight Process - [Standard Encroachment Permit Application \(TR-0100\)](#), instructions and related forms
- 2. Project Delivery Short Form Quality Assessment Process (using a DEER) - [Design Engineering Evaluation Report Guidelines](#)
- 3. Standard Project Delivery Quality Assessment Process.

III. CALTRANS ACKNOWLEDGEMENT

SIGNATURE: _____

DATE: _____

PRINT NAME: _____

District Director, District _____

The above signature indicates, based on available information:
Caltrans acknowledges the Project

*****APPLICANTS SUBMIT TO
DISTRICT CONTACTS IN LOCAL ASSISTANCE OR
PROJECT MANAGEMENT*****

Form submissions with attachments are due
Four Weeks PRIOR to Application Deadline.

IV. ATTACHMENTS

The Project Programming Request (PPR) must be provided to Caltrans with this form. Additional information may be required by Caltrans, including, but, not limited to: (1) project level documents, (2) draft funding application(s), and/or (3) project specific maintenance obligations.

Attachment(s): _____