

2022

Trade Corridor Enhancement Program Guidelines

Adopted August 2022

Resolution G-

California Transportation Commission



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CALIFORNIA TRANSPORTATION COMMISSION
2022 TRADE CORRIDOR ENHANCEMENT PROGRAM GUIDELINES

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I. Introduction

1. Program Purpose

The objective of the Trade Corridor Enhancement Program is to fund freight infrastructure improvements on federally designated Trade Corridors of National and Regional Significance, on California's portion of the National Highway Freight Network, as identified in the California Freight Mobility Plan, and along other corridors that have a high volume of freight movement as determined by the Commission, including Senate Bill 671 Corridors. The Trade Corridor Enhancement Program will also support the goals of the National Highway Freight Program, the California Freight Mobility Plan, and the guiding principles in the California Sustainable Freight Action Plan. Projects within the boundaries of a metropolitan planning organization shall be included in an adopted regional transportation plan that includes a sustainable communities strategy determined by the State Air Resources Board to achieve the region's greenhouse gas emissions reduction targets. Attachment 6 provides a list of the various goals and guiding principles.

2. Program Authority

The Road Repair and Accountability Act of 2017 or Senate Bill (SB) 1 (Beall, Chapter 5, Statutes of 2017), established the Trade Corridor Enhancement Account to fund corridor-based freight projects nominated by local agencies and the state. Implementing legislation was enacted with the approval of SB 103 (Chapter 95, Statutes of 2017) which directs the California Transportation Commission (Commission) to allocate the Trade Corridor Enhancement Account funds and the federal National Highway Freight Program funds to infrastructure improvements along corridors that have a high volume of freight movement. The Infrastructure Investments and Jobs Act (IIJA), signed on November 15, 2021 by President Biden, continued the funding for the federal National Highway Freight Program that is used in the Trade Corridor Enhancement Program.

The Commission is responsible for programming and allocating these state and federal funds and the funds will be administered through the Trade Corridor Enhancement Program.

These guidelines describe the policy, standards, criteria, and procedures for the development, adoption and management of the Trade Corridor Enhancement Program. The guidelines were developed in consultation with stakeholders representing state, regional, and local government entities, advocacy groups and private industry.

The Commission may amend these guidelines after first giving notice of the proposed amendments. 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 in order to comply with the amended guidelines.

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3. Program Schedule

The following schedule lists the major milestones for the development and adoption of the Trade Corridor Enhancement Program:

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

II. Funding

4. Funding and Program Cycle

The 2022 Program will provide two years of programming in fiscal years 2023-24 and 2024-25 for an estimated total of \$800 million (\$800,000,000) of Trade Corridor Enhancement Program funds. Any unused balance or savings generated will be added to the available funding in the following cycle.

The 2022 Program funding will be developed based on the federal National Highway Freight Program continuing under the next federal transportation act. If necessary, adjustments to the total program funding will be made at a later date. Over the two years in this programming cycle (2023-24 and 2024-25) it is estimated that \$200 million (\$200,000,000) of National Highway Freight Program Funds will be available and that \$600 million (\$600,000,000) from the Trade Corridor Enhancement Account Fund will be available. A two-year Fund Estimate is provided in Attachment 7.

5. Distribution

The Commission supports a corridor-based programming approach to the Trade Corridor Enhancement Program, which recognizes and complements the goods movement planning work already done within the major trade corridors. The Commission also recognizes and supports the key role that the state and regions have in project identification.

After consulting the California Freight Mobility Plan and conducting a number of stakeholder workshops, the Commission has determined that the following corridors (a.k.a. freight regions) are eligible for funding under this program:

- Bay Area (Alameda, Contra Costa, Marin, Napa, San Francisco, San Mateo, Santa Clara, Solano, and Sonoma counties)

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- Central Valley (El Dorado, Placer, Fresno, Kern, Kings, Madera, Merced, Sacramento, San Joaquin, Stanislaus, Sutter, Tulare, and Yolo counties)
- Central Coast (Monterey, San Benito, San Luis Obispo, Santa Barbara, and Santa Cruz counties)
- Los Angeles/Inland Empire (Los Angeles, Orange, Riverside, San Bernardino, and Ventura counties)
- San Diego/Border (Imperial and San Diego counties)
- Other (Alpine, Amador, Butte, Calaveras, Colusa, Del Norte, Glenn, Humboldt, Inyo, Lake, Lassen, Mariposa, Mendocino, Modoc, Mono, Nevada, Plumas, Shasta, Sierra, Siskiyou, Tahoe Basin Counties, Tehama, Trinity, Tuolumne, and Yuba counties)

The Commission acknowledges that other regions may have goods movement infrastructure needs along corridors that have a high volume of freight movement that are eligible for funding. The Commission anticipates those regions will nominate their projects for consideration.

Pursuant to Streets and Highways Code, Section 2192, 40% of identified program funding shall be available for projects nominated by the **California Department of Transportation (Caltrans)**, in consultation with regional transportation agencies, and 60% of identified program funding shall be available for projects nominated by regional transportation agencies and other public agencies, including counties, cities, and port authorities, in consultation with the department.

The Commission has developed targets for distribution of the 60% of regional funds to the general freight regions identified above. The regional corridor targets **are** based on key freight indicators. **Many of these indicators were originally used** in the 2007 Goods Movement Action Plan.

In 2021, Commission staff led a workgroup of approximately 50 experts, including staff from Caltrans, regional agencies, and local governments. The workgroup held six meetings over the course of seven months to develop and come to consensus on the target methodology to be used for the Trade Corridor Enhancement Program. The following key freight indicators were used for the target methodology: value by customs district, annual truck vehicle miles travelled, average annual daily truck traffic, daily vehicle hours of delay, annual tons of emissions per day, population, maritime twenty-foot equivalent units, disadvantaged community populations, border freight, and "Other"/"Central Coast" unfunded freight costs. In general, data was aggregated by county and grouped into the larger freight regions.

In considering geographic balance for the overall program, the Commission may program below the targets in a region or regions to account for projects programmed from the statewide target.

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The targets are neither minimums, maximums, nor guarantees. They do not constrain what any agency may propose or what the Commission may approve for programming and allocation within any particular corridor.

Programming Targets		
Statewide Target		
Caltrans		\$---,---,000
Regional Corridor Targets		
	Percentage	Target
Bay Area/Central Valley	29%	\$,000
Central Coast	2.5%	\$,000
Los Angeles/Inland Empire	56%	\$,000
San Diego/Border	10%	\$,000
Other	2.5%	\$,000

6. Matching Requirements

Projects funded from the Trade Corridor Enhancement Program require a match of private, local, federal, or state funds. The required match is 30 percent.

- No match will be required for the statewide (Caltrans 40 percent) funds requested. The statewide funds occur on some projects nominated by Caltrans or projects jointly nominated by Caltrans and another agency.
- The match is required for any regional funds (60 percent for regions) requested.
- For the purpose of calculating the required match, the Commission will, except for State Transportation Improvement Program funding, only consider funds that are not allocated by the Commission on a project specific basis.
- The match will be calculated based on the total amount of regional Trade Corridor Enhancement Program funds being requested.
- When calculating the match, funds programmed in fiscal years prior to the first year of the requested Trade Corridor Enhancement Program funds will not be counted, unless non-proportional spending is approved. Please note that whether or not non-proportional

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spending is approved, funds programmed in prior program cycles do not count towards the match requirement.

- If the initial funding request is broken into separate projects later on because of project segmenting, and this impacts the regional Trade Corridor Enhancement Program funds, the local match will be re-calculated.

Costs incurred prior to allocation will not be counted towards match.

The matching funds must be expended concurrently and proportionally on the project programmed with Trade Corridor Enhancement Program funds unless the Commission approves non-proportional spending at the time of programming or allocation.

For projects receiving federal National Highway Freight Program funds, 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 Trade Corridor Enhancement Program funds.

7. Leveraging Federal Discretionary Funds

The Commission will consider approving state Trade Corridor Enhancement Program funds in advance of the normal program approval timeframes for projects that are both eligible Trade Corridor Enhancement Program projects and are also being submitted to the federal government for federal discretionary (grant) funding. Advance funds will be considered when the applicant could use state Trade Corridor Enhancement Program Funds as a non-federal match in a federal grant application to increase the grant's competitiveness.

Commission staff must have the time needed to adequately review the project, analyze potential impacts on the applicable program cycle, and make a recommendation to the Commission.

The project must demonstrate a significant freight benefit as defined in these guidelines.

These advance funds are limited to up to 50% of the applicable regional corridor target.

The federal grant must be awarded before any advance funds will be allocated via this process.

8. Funding Restrictions

Trade Corridor Enhancement Program funds shall not:

- Supplant other committed funds.
- Fund a project that is already fully funded.
- Fund a capital improvement that is required as a condition for private development approval or permits.
- Be shifted between programmed project phases/components (unless the project justifies the reason for this need and obtains special approval from the Commission to do so).
- Fund cost increases, except as noted below.

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A project must demonstrate significant public benefit in order to be eligible for funding.

All port and rail projects that are privately owned must be federalized in order to be eligible for funding. The Commission may choose to program state funds to a federalized port or rail project that is privately owned.

Trade Corridor Enhancement Program funding may be used to fund cost increases on Caltrans nominated projects. The statewide target in future programming cycles will be adjusted accordingly. The Commission will allocate the cost increase on a project by project basis consistent with Section 23 of these guidelines. For jointly nominated projects, the Commission expects cost increases will be funded based on agreements between the agencies nominating the project.

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

Projects on the state highway system and/or projects implemented by Caltrans require a Caltrans approved Project Report.

9. Reimbursement

The Trade Corridor Enhancement Program is a reimbursement program for eligible costs incurred. An 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.

10. Eligible Applicants

Eligible applicants are public entities, such as cities, counties, Metropolitan Planning Organizations, Regional Transportation Planning Agencies, port authorities, public construction authorities, and Caltrans. Project proposals from private entities must be submitted by a public agency sponsor.

The Commission expects collaboration and cooperation between the applicant, implementing agency, and Caltrans for all projects. Any notes about cost increases included in a project's Commission approved baseline agreement must be adhered to.

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

The Metropolitan Planning Organizations will be responsible for compiling project nominations from their respective agencies as described in Attachment 1 Project Nominations.

11. Eligible Projects

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To be eligible for funding under this program, a project must meet the following conditions:

- Be a freight infrastructure improvement with public benefits and meet the screening and evaluation criteria.
- Be compliant with Streets and Highways Code section 2192.
- Be consistent with Article XIX of the California Constitution.
- Meet the objectives of the Trade Corridor Enhancement Program and support the goals of the National Highway Freight Program, The California Freight Mobility Plan, and the California Sustainable Freight Action Plan.
- Be included in an adopted regional transportation plan and if applicable, consistent with a Sustainable Communities Strategy determined by the State Air Resources Board to achieve the region's greenhouse gas emissions reduction targets.

Trade Corridor Enhancement Program funds may be used for the plans, specifications, and estimates; right-of-way; and construction phases.

Projects eligible for funding under the program include, but are not limited to, the following: Highway improvements, freight rail system improvements, border improvements, port enhancements, truck corridor improvements, surface transportation, local road, and connector road improvements to effectively facilitate the movement of goods, port improvements, freight infrastructure (excluding vehicles) that enables zero-emission or near-zero emission goods movement, or environmental/community mitigation that occurs as a part of a freight infrastructure project, and freight infrastructure related advanced technology. Advanced technology includes the installation of broadband (conduit and/or fiber) where appropriate and feasible along strategic corridors.

Purchases of human-operated zero-emission or near-zero emission equipment are eligible for funding as long as they are part of an infrastructure project.

Where possible, it is the intent of the Commission that the Trade Corridor Enhancement Program work in alignment with other state and federal funding programs to support projects that achieve multiple objectives, such as freight throughput, air quality, and zero emissions goals. The Commission encourages projects that align with the state's climate and equity goals.

The Commission encourages projects that identify and incorporate the installation of conduit and/or fiber where appropriate and feasible along strategic corridors.

National Highway Freight Program Fund Requirements

In addition to meeting the requirements above, projects receiving federal National Highway Freight Program funds must also meet the following requirements.

Project must comply with the provisions of Section 167 of Title 23 of the U.S. Code of Federal Regulation and be located on the Primary Highway Freight System or a designated Critical Rural Freight Corridor or Critical Urban Freight Corridor.

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The designation of the Critical Rural Freight Corridor or Critical Urban Freight Corridor is not required at the time of project nomination; however, the designation must be federally approved prior to the project requesting allocation. Grade Crossing improvement projects, Grade Separation projects, Intermodal projects, and Intelligent Transportation System projects are not required to have a Critical Rural Freight Corridor or Critical Urban Freight Corridor designation.

Pursuant to federal statute, the Commission may not program more than **30** percent of the total federal yearly apportionment amount for freight intermodal or freight rail projects, which include the following:

- Projects within the boundaries of public or private freight rail or water facilities (including ports).
- Projects that provide surface transportation infrastructure necessary to facilitate direct intermodal interchange, transfer, and access into or out of the facility.

12. California Environmental Quality Act (CEQA) Requirements and National Environmental Policy Act

Design, right of way, and construction capital costs will only be programmed if the project has completed a project level environmental process in accordance with the California Environmental Quality Act (CEQA), within six months of program adoption.

If the project requires National Environmental Policy Act (NEPA) compliance, then design, right of way, and construction capital costs will only be programmed if the project has completed a project level environmental process in accordance with the NEPA, within six months of program adoption.

If these requirements are not met, the project will be deleted from the program.

13. 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 Trade Corridor Enhancement funds in the construction component 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,

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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 separated 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. If there is a change in cost, the change must be identified as specified in Section 23.

14. Project Segmenting

Scaling a project in 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. **Each construction phase segment must have independent utility, meaning that each segment must have stand-alone benefits specific to that segment.** The nomination should address how each segment of the corridor project will **have independent utility, and how it will** be delivered. The nomination should 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 funding. Therefore, the 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.

15. Multiple Projects / Modes / Contracts

Project nominations may include multiple modes to be delivered in separate contracts (i.e. roadwork, port/rail work, advanced technology elements) referred to as project modes. The applicant must clearly identify the scope of work for each mode. The benefits (outputs/outcomes) that will be achieved may be described for all project modes combined in the project nomination. If a proposed project mode does not show a clear connection or a benefit to the corridor, the Commission may choose not to fund that individual project mode.

If the scope of a project mode includes multiple independent contracts to achieve the benefits as proposed (i.e. roadwork, advanced technology), the application must identify the scope, funding plan and schedule for each contract (each contract should have a Project Programming Request Form), including any contracts not requesting Trade Corridor Enhancement Funds. The nomination should explain the strategy for project delivery. If subsequent to program adoption, the project is divided into independent contracts, it should be reported as soon as possible. A project amendment will need to be approved by the Commission prior to allocation.

16. Screening Criteria

Nominations will receive an initial screening by the Commission for completeness and eligibility, before moving to the evaluation process. An agency submitting multiple project applications must clearly prioritize its project nominations.

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Incomplete or ineligible applications may not be evaluated

Nominations will be screened for the following:

- The Project Nomination form in Attachment 1 must be complete, including the performance metrics form.
- Project must be an eligible project listed in Section 11 of these guidelines.

17. Project Rating Process

All project nominations that meet the screening criteria will be selected through a competitive process by evaluating the applications for compliance with the objectives of the program and rating them based on the evaluation criteria as specified in Section 18.

Each evaluation criteria will be scored with a “High”, “Medium-High”, “Medium”, “Medium-Low” or “Low”. The highest-ranking nominations will be selected for funding. The Commission may group projects for the purposes of comparing the ratings of like applications or for purposes of comparing projects within a region.

The Commission will prioritize projects jointly nominated and jointly funded by Caltrans and local agencies, and construction ready projects. Caltrans’ commitment of State Transportation Improvement Program funds or State Highway Operation and Protection Program funds will be considered joint funding.

Priority will also 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.

To maximize the effectiveness of program funds, the Commission’s intent is to fund a small number of projects which provide for the greatest benefits and may elect to only evaluate the highest priority application(s) submitted by each applicant.

The Commission may collaborate with the following state agencies when evaluating project nominations: The Air Resources Board to review the air quality benefits and Caltrans to review the Life-Cycle Benefit-Cost Analysis.

18. Evaluation Criteria

The project nomination form must include information that demonstrates how the project meets each of the criteria below.

Providing information for each of these criteria is required.

Completing the performance metrics form and required back-up information will provide quantitative information for some of these criteria.

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Where a project is proposed to improve private infrastructure, the Commission's evaluation will examine the public/private benefit assessment of the project.

Nominations will be evaluated on the following:

- Freight System Factors

These are performance metrics and instructions are in Attachment 2.

- Throughput – Project provides for increased volume of freight traffic through capacity expansion or operational efficiency to improve the interregional transportation network and move goods to, through, and from ports.
- Velocity – Project increases the speed of freight traffic moving through the distribution system, including critical freight corridors and ports.
- Reliability - Project reduces the variability and unpredictability of travel time.

- Transportation System Factors

- Safety - Project increases the safety of the public, industry workers, and traffic. This is a performance metric and instructions are in Attachment 2.
- Congestion Reduction/Mitigation - Project reduces daily hours of delay on the system and improves access to freight facilities. This is a performance metric and instructions are in Attachment 2.
- Key Transportation Bottleneck Relief - Project relieves key freight system bottlenecks where forecasts of freight traffic growth rates indicate infrastructure or system needs are inadequate to meet demand, this includes bottlenecks on critical freight corridors and near our state's borders.
- Multi-Modal Strategy - Project employs or supports multi-modal strategies to increase port and transportation system throughput while reducing truck vehicle miles/hour traveled (VMT/VHT) or truck idling times.
- Interregional Benefits - Project links regions/corridors to serve statewide or national trade corridor needs and to improve the interregional transportation network.
- Advanced Technology – Project employs advanced and innovative technology and integrates transformative ideas to increase the amplitude of benefits for the state's people, economy, and environment. Examples include Intelligent

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Transportation Systems (ITS) or supporting infrastructure for deployment of current and future technologies, **and those that include the installation of broadband (conduit and/or fiber).**

- **Zero-Emission Infrastructure - Project supports zero-emission freight infrastructure. Instructions are provided below.**
- Community Impact Factors
 - Air Quality Impact – Project reduces local and regional emissions of diesel particulate (PM 10 and PM 2.5), carbon monoxide, nitrogen oxides, greenhouse gases, and other pollutants. This is a performance metric and instructions are in Attachment 2.
 - **Community Engagement – In alignment with the Commission’s Racial Equity Statement, projects will be evaluated based on their ability to demonstrate meaningful and effective public participation in decision making processes, particularly by disadvantaged or historically impacted and marginalized communities. In responding to this criteria, please refer to the *SB 1 Competitive Programs’ Transportation Equity Supplement* (included in Attachment 5).**
 - Economic Impact – Project stimulates local economic activity, enhances trade value, preserves or creates jobs, enhances California’s freight competitiveness, improves the economy, and when looking at the overall need, benefits and cost, the project provides more benefits than costs. Jobs created and the benefit cost ratio are performance metrics and instructions are included in Attachment 2.
- Other factors, including:
 - How well the project addresses the state’s most urgent freight needs.
 - Project readiness and reasonableness of the schedule for project implementation, including the following:
 - Progress towards achieving environmental protection requirements.
 - The comprehensiveness and sufficiency of agreements with key partners (particularly infrastructure owning railroads) that will be involved in implementing the project.

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- The leveraging and coordination of funding from other private, federal, state, local or regional sources, with consideration of those sources that are discretionary compared to those that are nondiscretionary.

Zero-Emission Infrastructure Instructions

These are instructions for the zero-emission infrastructure criteria under the Transportation System Factors section of the above evaluation criteria.

For this criteria, please describe how the project supports the transition to zero-emission freight infrastructure. If this project does not support zero-emission freight infrastructure, please state that.

Actions that support the transition to zero-emission freight infrastructure include, but may not be limited to, the following:

- Building zero-emission infrastructure that supports freight.
- Improving access to freight charging or hydrogen fueling infrastructure to refuel battery electric and fuel cell powered trucks.
- As a part of a larger port freight infrastructure project, buying zero-emission or near-zero-emission human-operated equipment.

All zero-emission infrastructure, technology, battery electric charging stations, or hydrogen refueling stations must be primarily designed for freight, this includes medium and heavy-duty vehicles. In regard to zero emissions, only zero-emission freight infrastructure is eligible under the Trade Corridor Enhancement Program, unless it is included as environmental (NEPA/CEQA) mitigation that is part of a larger freight infrastructure project. Within this context, any type of zero-emission infrastructure technology is allowable. This includes electric vehicle charging, fast charging, hydrogen, or other technology, and upgrades to maintenance facilities supporting zero-emission vehicles. It also includes different charging station types. The applicant will need to demonstrate how the infrastructure is compatible with and capable of refueling freight equipment that it is intended for, that any related stakeholders were consulted, and that the infrastructure will be used and maintained once it is built. A project could potentially score higher if it is building infrastructure that supports both electric and hydrogen charging.

The benefits described should be within the project study area.

Please note that if a port freight infrastructure project meets the general eligibility guidance from section 11 of these guidelines and includes the purchase of fully automated cargo handling equipment, it is not eligible for funding. However, if a port freight infrastructure project meets the eligibility requirements in section 11 and includes the purchase of human-operated zero-emission or near-zero-emission equipment, the project is eligible for funding.

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Installation of zero-emission charging or hydrogen refueling infrastructure should be publicly accessible where feasible. Please state whether the infrastructure will be primarily for public or private use.

If the project has a mix of private and public benefits, complete the public/private cost benefit analysis requested in the “Other” section of the Nomination Form and explain what the public benefits of the project are.

Community Engagement Instructions

These are instructions for the community engagement criteria under the Community Impact Factors section of the above evaluation criteria.:

- Identify disadvantaged or historically impacted and marginalized communities within the project study area and provide details on project engagement. Identify how the project engaged the community to consider community identified project needs. If a disadvantaged or historically impacted and marginalized community is within the project study area, were they engaged with? How was input received 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 or historically impacted and marginalized communities 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* in Attachment 5.
- Identify any actions taken to protect the state’s most disadvantaged or historically impacted and marginalized populations. Identify strategies included in the project scope that seek to avoid and/or minimize impacts to disadvantaged or historically impacted and marginalized communities.

19. Other Project Information Areas

The information below is requested as a part of project applications. This information is not evaluated however it is captured for project informational purposes.

While it is expected that together, the projects funded in this program will provide diverse benefits in a variety of areas, Commission staff recognize that individual projects may not be able to demonstrate benefits in all of these areas. If an area below is not relevant to a project, please write “Not applicable” in your application.

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Below are instructions for the following subject matter areas:

- **Accessibility** – Project improves access to jobs or key destinations, improves access for specific populations, or improves transportation options.
- **Climate Change Resilience and Adaptation** – Project identifies and includes 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.

A. Accessibility

There are many different ways a project may improve access. For example, a project may improve access to jobs or key destinations by allowing people to get there faster, adding more or different routes, or improving connections between existing transportation options. A project may also improve access for a specific group of people, such as a disadvantaged community or low-income population.

Since there are many different types of projects and ways in which a project may improve access, it is up to the applicant to demonstrate how the project improves access.

The definition of improved accessibility includes but is not limited to any improvement in the ability of a person to travel to or from a destination, such as a job, improvement in the options for how a person can travel from to and from a destination, such as via car or train, and improvement in the ease with which a person can travel to or from a destination. The benefit may focus on specific people groups, such as improving access for the low-income population or people with disabilities.

Required Information

When determining access, first consider a few high level questions to help define the improvement. For example:

- What population will access be improved for?
- What modes of travel (including roads, transit, walkways, bikeways) are located near the project?
- Where are the jobs or key destinations people will be able to access?

When considering access to jobs, determine the relevance of the jobs to the people who would benefit from the improved access. For example, if the project connects a university town neighborhood where many academics live with a new e-commerce distribution center, that connection has limited benefits, because the people living in that community are not likely to

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work at the distribution center. On the other hand, if the project makes it easier for port workers who live in a suburban neighborhood to get to their jobs on the coast, that improvement may have a significant impact.

In the application, please include the following information.

- A summary statement about what type of access improvement the project is making. Access improvements may include:
 - Improving travel times for residents to jobs or key destinations.
 - Adding a road, bus, or train route that provides additional options and better travel times.
 - Adding new access points, such as a new transit stop.
 - Improving connections, by building a bike path, an overpass, a better offramp, a walking trail, etc.
 - Improving access for a specific type of community, such as a low-income, disadvantaged, disabled community or other vulnerable population.
- Specific examples that demonstrate how the access is being improved. Examples may include:
 - Creates a bike path that connects a low-income community to a local high school.
 - Adds a new offramp connecting the highway to a new warehouse, thereby allowing trucks to access the warehouse and bringing more jobs to the community.
 - Installs a new transit stop that connects a community to a local grocery store or hospital.
 - Improves traffic flow on a congested highway, allowing residents to get to their jobs and other key destinations more quickly.
 - Adds a commuter train route connecting a workforce that lives in particular area with their jobs that are located at ports.
- A map showing relevant areas that helps demonstrate the access improvement.
- Any relevant data or statistics that supports your claim.

Tools

There are a variety of different tools available to use. Below is a list of resources, with some instructions, that can be used to demonstrate access improvements.

- i. **OnTheMap**. This is a free online mapping tool available here: <https://onthemap.ces.census.gov/>. Using this map, you can identify population, jobs, and key destinations. To use this tool:
 - a) First, identify how you want to identify the location (county, workforce investment area etc.) on the “Start” tab.
 - b) Next, choose a map area to measure (a.k.a. “buffer”) on the “Selection” tab.

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- c) Click on the option that says, “Perform Analysis on Selection Area.” Different datasets will appear, such as jobs, areas of comparison, or destination.
- ii. **Poverty Data from the United States Census Bureau.** This is a free online resource available here:
<https://data.census.gov/cedsci/map?q=S1701&tid=ACSSST1Y2019.S1701&mode=selecti on&vintage=2019>. The United States Census Bureau (the same entity that provides the “OnTheMap” tool) has poverty data available by county, census tract, or other categories. This can be helpful in determining low-income areas or low-income population affected by the project. To use this tool:
 - a) At the top of the screen where it says, “State Selection Map” and “Geographies,” there is a drop down menu that allows you to choose how you would like to view the information. For example, you can choose “county.” At the top of the screen in this same area but on the right, you choose the data year you want to look at.
 - b) Click on the areas you want to select, then on the left click on the “Poverty in the Past 12 Months” option.
 - c) Next, click on the “Customize Map” button that appears on the top right of the screen. Click on “View Table,” and then “Go to Full Table” to view the results.
- iii. **TOD Database.** This is a free online mapping tool related to transit. It is available here: <https://toddata.cnt.org/>. You must create a user account in order to use this database. Not all areas in California are covered, but the major areas that have transit systems are included. The map shows existing, planned, and proposed transit in these areas. It also shows population, median household income, and other things. You can use this database to build a custom report that shows the low income population near transit.
- iv. **TransitCenter Equity Dashboard.** This is a free online map/dataset tool available here: <https://dashboard.transitcenter.org/>. This tool only has information for Los Angeles and San Francisco – Oakland. Within these areas, it has access information already gathered, and allows you to search by job type or destination, time of day, time travelling, and region. It also has other data available.
- v. **CalEnviroScreen Data File.** This is a free online datafile that is available here: <https://oehha.ca.gov/media/downloads/calenviroscreen/document/ces3results.xlsxhttps://oehha.ca.gov/media/downloads/calenviroscreen/document/calenviroscreen40resultsdat adictionaryf2021.zip>. This ZIP file contains a Microsoft Excel file which organizes data by census tract number and by county. It has many helpful datasets that can be used in demonstrating access. For example, it has a “Poverty” and “Poverty Pctl” column (column AW AX and AY in the “CES 3.0CES4.0FINAL_results” tab) that can be used to determine low income populations near transit.

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- vi. **California Climate Investments Priority Populations.** This is a free online map/dataset tool that identifies the location of disadvantaged communities and low-income communities as defined for California Climate Investments. It is available here: <https://webmaps.arb.ca.gov/PriorityPopulations/>.
- vii. **Geographic Information System (GIS) Mapping.** This is a data mapping tool that must be purchased and installed before it can be used.
 - a) Create custom data associated with custom geographies, such as Master Geographic Reference Areas, traffic analysis zones, or other geographies. The data can be prepared as a geographic data file.
 - b) Once the data is prepared, import the data into GIS as a layer.
 - c) Select a point or points on the GIS map. You can create connections or “unions” between multiple locations, and you can create connections, or “intersections” between the locations and the data layer you imported. In ArcGIS, this is in the Geoprocessing menu.

B. 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

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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.

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- 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.
- Prioritizing conservation of roadside fire-resistant native plant species that may expand fuel breaks and adaptation to fire risk.
- Integrating fire-resistant native vegetation, rocks and other hardscaping features, and road placement to limit fire spread in communities vulnerable to wildfire.

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>

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- **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".

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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

C. 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.

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>.

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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.

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.

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- **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>

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- **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/terraccount/>

20. Programming Capacity

The Trade Corridor Enhancement Program will be developed consistent with the estimated annual amount of funds available based on 50% of the revenues generated by the diesel fuel excise tax imposed by state statute and the obligation authority limits on the National Highway Freight Program.

21. Program of Projects

The program of projects is a list that is created at the beginning of each cycle that shows what Trade Corridor Enhancement Program funds were approved for each selected project. The program of projects will include, for each project, the amount to be funded from the Trade Corridor Enhancement Program, the fiscal year in which the Trade Corridor Enhancement Program Funds are programmed, and the estimated total cost of the project.

Caltrans and Commission staff will have additional details such as the phase funded for each project in their tracking documents.

Project costs must be programmed in the fiscal year the work can be done. In other words, Trade Corridor Enhancement Program Funds will be programmed in the fiscal year in which the phase is implemented, not before.

For Caltrans implemented projects, the cost of right-of-way support and construction support will be separated out and programmed separately from the right-of-way capital and construction capital cost.

22. Committed/Uncommitted Funds

The Commission will program and allocate funding to projects in whole thousands of dollars and will include a project only if the phase being funded is fully funded from a combination of Trade Corridor Enhancement 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 agency 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, Congestion Mitigation and Air Quality, and federal formula transit funds, the commitment may be by federal Transportation

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Improvement Program adoption. For federal discretionary funds, the commitment may be by federal approval of a funding grant agreement or by grant approval.

Uncommitted funds may only be from the following competitive programs: the Solutions for Congested Corridors Program, the Local Partnership 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, or the project will be removed from the program.

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

III. Project Amendments

23. Amendment Requests

Project amendments will be considered for the Trade Corridor Enhancement Program as follows:

- Scope Changes – The Commission may 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 possible of a change in project scope. 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 either continue funding the project with reduced TCEP funds or to delete the project from the program through a formal amendment.
- Cost Changes – The Trade Corridor Enhancement Program will not participate in cost increases to the project, except as allowed under Section 8 for Caltrans nominated projects. Any cost increases must be funded from other fund sources. If there is a change in the cost estimate, the Commission should be notified as soon as possible in writing explaining the change and the plan to cover the increase. A revised Project Programming Request form identifying the source of funding must also be included as described below.
- Schedule Changes – Schedule changes to a project will not be considered unless a time extension was approved as specified in Section 26. For projects programmed in the last year of the Trade Corridor Enhancement Program, the implementing agency may request to reprogram the project only once with justification. 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 Project Programming Request. The Commission may approve the request only if it finds that an unforeseen

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and extraordinary circumstance beyond the control of the responsible agency has occurred that justifies the change.

General Instructions for All Amendments:

- Implementing agencies must notify Caltrans in writing of proposed project amendments.
- Caltrans shall coordinate all amendment requests and utilize the Project Programming Request to help document the change.
- In a timely manner, Caltrans will review the proposed amendment change and forward the proposed amendment change with Caltrans' written analysis and recommendation to the Commission for the Commission's approval.
- The written notification to Caltrans must include:
 - An explanation of the proposed change.
 - The reason for the proposed change.
 - The impact the proposed change would have to the project.
 - An estimate of the impact the proposed change would have on the potential of the project to deliver the project benefits as compared to the benefits identified in the project application (increase or decrease in benefits) and an explanation of the methodology used to develop the aforementioned estimate.
 - A revised Project Programming Request form must be included in the notification.
- Project amendments requested by implementing agencies shall receive the approval of all partner and funding entities before presentation to the Commission.
- Amendment requests should be submitted in a timely manner and include documentation that supports the requested change and its impact on the scope, cost, schedule, and benefits (outputs and outcomes).
- 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.

24. Allocation Requests

The Allocation Submission, Review, and Approval Process

When an agency is ready to implement a project component/phase, the following steps will occur as part of the allocation approval process.

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1. The agency submits a request to Caltrans **at least 60 days prior** to when they wish to have the allocation approved.
 - a. This allows time for Caltrans review and recommendation, Commission staff review and recommendation, and Commission allocation.
 - b. Where the project is to be implemented by an agency other than the applicant, the allocation request must 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 Commission staff for review.
3. Commission staff will review the allocation request when it receives the request with a recommendation from Caltrans.
4. The recommendation from Caltrans must include:
 - a. A determination of project readiness
 - b. The availability of appropriated funding
 - c. The availability of all identified and committed supplementary funding
 - d. Consistency with the executed Baseline Agreement, if applicable.
 - e. Certification from Caltrans showing that a 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. **These projects are considered Ready to List (RTL) by Caltrans.**
5. Once Commission staff have reviewed the request, they will either place it on the Commission meeting agenda for a final decision or recommend additional actions take place prior to allocation.
 - a. Commission staff may ask for additional information as a part of their review.
6. A project will not be placed on the agenda for allocation unless it is ready to advertise.

Requirements for Allocation

In compliance with Section 21150 of the Public Resources Code, the Commission will not allocate funds for 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 plans, specifications, and estimate; right-of-way; or construction of a federally funded project prior to documentation of environmental clearance under the NEPA. Exceptions to this policy may be made in instances where federal law allows for the acquisition of right-of-way prior to completion of NEPA review.

Projects receiving federal National Highway Freight Program funds must comply with the provisions of Title 23 of the U.S. Code of Federal Regulation and be located on the Primary Highway Freight System or a designated Critical Rural Freight Corridor or Critical Urban Freight Corridor. The designation of the Critical Rural Freight Corridor or Critical Urban Freight Corridor must be federally approved prior to the project requesting allocation. Grade Crossing improvement projects, Grade Separation projects, Intermodal projects, and Intelligent

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Transportation System projects are not required to have a Critical Rural Freight Corridor or Critical Urban Freight Corridor designation.

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 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 Trade Corridor Enhancement Program. If there are insufficient program funds to approve an allocation, the Commission may delay the allocation of funds to a project.

25. Letter of No Prejudice

The Commission will consider approval of a Letter of No Prejudice (LONP) to advance a project programmed in the Trade Corridor Enhancement Program. Approval of the LONP will allow the agency to begin work and incur eligible expenses prior to allocation. The LONP Guidelines are on the Commission's website.

26. Timely Use of Funds

Deadlines

- **Allocation deadline.** Unless an extension is granted, allocations must be requested in the fiscal year in which the funds are programmed. If funds are not allocated within the fiscal year programmed or within the time allowed by an approved allocation extension, the project will be deleted from the Trade Corridor Enhancement Program.
- **6 month contract award deadline.** Construction phase/component contracts must be awarded within six months of allocation. If the contract(s) are not awarded within six months of allocation, the project phase/component will be deleted from the Trade Corridor Enhancement Program.

Also, the implementing agency must not award the contract for a project until the Commission has allocated funds for the project.

- **Expenditure deadline for pre-construction.** Funds allocated for right-of-way costs must be expended by the end of the second fiscal year following the fiscal year in which the funds were allocated. The implementing agency must invoice Caltrans for these costs no later than 180 days after the fiscal year in which the final expenditure occurred.
- **Construction contract completion deadline.** After award of the construction phase/component contract(s), the implementing agency has up to 36 months to complete (accept) the contract(s).

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- **10 year requirement.** Projects must commence right-of-way acquisition or actual construction with-in 10 years of receiving pre-construction funding through the Trade Corridor Enhancement Program, or the implementing agency must repay the Trade Corridor Enhancement Program funds. Repaid funds will be made available for redistribution in the subsequent programming cycle.

Extensions

Except for the allocation of funds, extension requests must be received by Caltrans prior to the deadline. **Extension requests should be submitted to Caltrans 60 days prior to when the Commission action is needed.** For allocation of funds, the time extension must be approved by the Commission by June 30th of the year the funds are programmed; otherwise the funds will lapse as specified in this section.

No deadline may be extended more than once. However, there are separate deadlines for allocations, contract award, expenditures, and project completion. Each project component has its own deadlines. The Commission may consider the extension for each of the deadlines separately.

- **Allocation extension (12 months maximum).** The Commission may extend the deadline only once for allocation and only if it finds that an unforeseen and extraordinary circumstance beyond the control of the responsible agency has occurred that justifies the extension. The extension will not exceed the period of delay directly attributed to the extraordinary circumstance and cannot exceed twelve months.
- **Contract award extension (12 months maximum).** The Commission may extend the deadline only once for contract award and only if it finds that an unforeseen and extraordinary circumstance beyond the control of the responsible agency has occurred that justifies the extension. The extension will not exceed the period of delay directly attributed to the extraordinary circumstance and cannot exceed twelve months.
- **Expenditure extension (12 months maximum).** Upon request of the implementing agency, the Commission may extend the deadlines for expenditures for any phase/component no more than one time, only if it finds that an unforeseen and extraordinary circumstance beyond the control of the responsible agency has occurred that justifies the extension. The extension will not exceed the period of delay directly attributed to the extraordinary circumstance and cannot exceed more than 12 months.
- **Project delivery extension at the time of allocation.** At the time of allocation, the Commission may extend the deadline for project delivery, which includes completion of work and the liquidation of funds. **Since expenditures will be delayed along with a change in the work schedule, an expenditure extension is part of the project delivery extension. As with any extension request,** requests for project delivery extensions shall be submitted to Caltrans prior to the allocation date.

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- **Project delivery extension after allocation.** If additional time is needed for project delivery (including expenditures) after allocation, the Commission may extend the deadline one time only if it finds that an unforeseen and extraordinary circumstance beyond the control of the responsible agency has occurred that justifies the extension. The extension will not exceed the period of delay directly attributed to the extraordinary circumstance and cannot exceed more than 20 months.
- **Schedule Changes with No Commission Action**
 - If an agency has a schedule change that does not impact the timing of the phase where Trade Corridor Enhancement Program funds are programmed, then no Commission action is needed for the Trade Corridor Enhancement Program. However, a corrected Project Programming Report should be submitted to Caltrans and Commission staff.
 - If, prior to allocation, an agency has a minor schedule change that changes the month but not the fiscal year programmed for allocation of Enhancement Program funds, no Commission action is needed. However, a corrected Project Programming Report should be submitted to Caltrans and Commission staff.

27. Project Inactivity

Once funds for a project are encumbered, project applicants are expected to invoice on a regular basis (for federal funds, see 23 CFR 630.106 and the Caltrans' Inactive Obligation Policy). Failure to do so will result in the project being deemed "inactive" and subject to de-obligation and deallocation if proper justification is not provided.

28. Project Cost Savings

Project cost savings will be evaluated taking each phase into account.

When the word "proportionally" is used in reference to project cost savings, it includes the following meanings.

- If there is a savings that affects more than one funding source, for example, there is savings in the right-of-way phase and the right-of-way phase was funded with two different types of state funds, then the savings will be returned to each funding program proportionally based on the amount of funds that were originally programmed to the phase from each fund source. The only exception is if an agency wishes to use the savings to fund a cost increase on the project as allowed in this section.

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- If the project is funded with both the 40 percent of Caltrans statewide Trade Corridor Enhancement Program funds and the 60 percent of regional Trade Corridor Enhancement Program funds, the savings will go back to each “pot” of funds based on the amount originally programmed from each funding type.

Savings at construction 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 prior to contract award. All other contract award savings will be returned proportionally and made available for redistribution in subsequent programming cycles.

Trade Corridor Enhancement Program savings may be used to fund cost increases in any project phase until the proportions match those at programming. Any additional savings must be returned proportionally at project completion, through a Commission action, and made available for programming in subsequent programming cycles.

29. 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 Trade Corridor Enhancement Program funds. The reporting requirements as outlined in the Commission's Accountability and Transparency Guidelines are required for all projects programmed in the Trade Corridor Enhancement Program.

The National Highway Freight Program funds administered under the Trade Corridor Enhancement Program will be subject to the National Performance Management Measures for assessing Performance of Freight Movement. These are Federal Highway Administration performance measures used to help identify needed transportation improvements and monitor their effectiveness. Contact Caltrans' Division of Transportation Planning for further information. Below is a link to a website about these measures:

https://ops.fhwa.dot.gov/freight/freight_analysis/perform_meas/index.htm#fhwa

30. Project Tracking Database

Caltrans is responsible for developing, upgrading and maintaining an electronic database record of the adopted Trade Corridor Enhancement Program and Commission actions. The database will include project specific information, including project description, location, cost, scope, schedule, progress of the project and a map. The project information from the database will be accessible through Caltrans' website.

31. Project Auditing

The audit requirements as outlined in the Commission's Accountability and Transparency Guidelines will be required for all projects programmed in the Trade Corridor Enhancement Program.

32. Project Signage

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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. Information about signage can be found here: <https://dot.ca.gov/programs/traffic-operations/pfi>

IV. 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.

All projects programmed for TCEP funds shall comply with Title VI requirements, as follows:

- The implementing agency assumes responsibility and accountability for the use and expenditure of program funds. Applicants 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>.

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V. Attachments

Attachment 1. Project Nominations

Nomination Deadline

Project nominations and supporting documentation must be submitted to the Commission by **November 18, 2022**. Nominations will be treated in accordance with California Public Records Act requirements and information, subject to those requirements, may be publicly disclosed.

Metropolitan Planning Organization Letter

The Metropolitan Planning Organizations (MPOs) will be responsible for compiling project nominations from their respective agencies to the Commission. Project nominations coming from Imperial County will be considered as part of the San Diego/Border programming target, but the project nominations from Imperial County will be compiled and submitted through the Southern California Association of Governments as its Metropolitan Planning Organization. All other project nominations will be submitted directly to the Commission.

Each Metropolitan Planning Organization will submit a cover letter signed by the respective Executive Director. The submittal will include:

- A full list of all nominations received, and
- Confirm consistency, or the lack of consistency, with an adopted Regional Transportation Plan and if applicable, its Sustainable Communities Strategies and adopted regional freight plan.

This cover letter is submitted by the MPOs and is separate from the cover letters that are to be submitted with each project.

The MPO cover letter is due prior to the nomination form deadline and can be submitted via email to TCEP@catc.ca.gov.

General Nomination Form Submission Instructions

- Applications must be submitted by the deadline listed above, which is November 18, 2022.
- Applicants must submit one (1) electronic copy. Electronic copies should be sent via e-mail to TCEP@catc.ca.gov.
- Each project nomination should be limited to 35 pages, excluding information requested in appendices.

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- Each project nomination must utilize the lettering convention outlined below.

A. Cover Letter

- A cover letter must be submitted with the application.
- The cover letter must be addressed to the California Transportation Commission's Executive Director.
- The cover letter must clearly identify the nominating agency or agencies.
- Signature requirements
 - Nominations from regional agencies must include the signature of the Chief Executive Officer or other authorized officer of the agency.
 - Nominations from Caltrans must include the signature of the Director of Transportation or a person authorized by the Director to submit the nomination.
 - Jointly nominated projects must have the duly authorized signatures of all agencies.
 - Where a project is to be implemented by an agency or multiple agencies other than the nominating agency, the nomination must also 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-page 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](#).

C. General Information

1. **Overview:** Include a brief, one to three paragraph, non-technical description of the project. The description should focus on why the project is a good freight project. It should include a brief project background, the project purpose, and the need for the project.
2. **Map:** A map (or maps) of the project location
3. **Priority:** Project priority (if submitting multiple nominations)

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4. **Scope:** A relatively brief (no longer than two paragraphs) description of the project scope. Include a list of outputs for the project. Make sure the outputs listed here match the outputs submitted in the Project Programming Request (PPR).
5. **Independent Utility:** A project requesting construction funds must have independent utility. If the application is requesting funds for construction and proposing a project segment, then in no more than two paragraphs, explain why the project is being segmented, and why the proposed segment has independent utility.
6. **Consistency with RTP/SCS:** Confirm that the proposed nomination is consistent with the current approved Regional Transportation Plan and Sustainable Communities Strategies. This can be a single sentence stating this fact.
7. **Nominating Agency/Implementing Agency Agreement:** If the project will be implemented by an agency other than the nominator, confirm that there is or will be a written agreement in place between the project nominator and implementing agency. This can be a single sentence stating this fact.

D. Screening Criteria

1. **Eligible Projects:** Explain how the project is consistent with the projects described in Section 11 (the eligible projects section) of the guidelines. To explain this, choose one or more of the types of eligible projects listed in section 11 of the guidelines and explain how the project fits under the category/categories selected. Either limit the discussion to one or two paragraphs or present the information in the form of a short table.

E. Project Delivery

1. **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, it should not be longer than a paragraph.
2. **Contracts:** If more than one contract will be needed for the same phase, note that in this section.
3. **Schedule Risks:** Either in paragraph form or in a table, list any potential schedule risks and your 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 to allocate on time.

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4. **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.

5. **California Environmental Quality Act (CEQA)/National Environmental Policy Act Status:**

- a. For projects requesting design, right-of-way, or construction funding:
 - i. A one to two paragraph description of where the applicant is at in the process of securing approval for CEQA and if necessary NEPA.
 - ii. A one to two paragraph description of the environmental and community impacts as identified in the environmental document and if applicable the proposed mitigations. You can also present this in a table.
 - iii. A link to the final environmental document/s, or the draft environmental document/s, must be included for all project segments.
 - iv. If your CEQA documents are not complete, then in one or two paragraphs, explain how you will ensure the completion of required environmental documentation within six months of program adoption as required in the guidelines.

F. Evaluation Criteria

Performance Metrics: The Performance Metrics form is included in these guidelines as Attachment 4. The applicant must complete the Performance Metrics form. For evaluation criteria that are also performance metrics, it is how the quantitative information is provided. Make sure the numbers from the Performance Metrics form match/align with the qualitative descriptions provided. Instructions for calculating the performance metrics can be found in the Performance Metrics Guidebook, available here: [add link](#).

Required Criteria: Each of the criteria identified in Section 18 of the guidelines must be addressed. If a criteria is not addressed, the project may not be funded in the Trade Corridor

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Enhancement Program. Include a separate paragraph addressing each of the criteria from section 18 of the guidelines. The required criteria from section 18 are listed below for reference.

1. Freight System Factors

- a. Throughput – Project provides for increased volume of freight traffic through capacity expansion or operational efficiency. This is also a performance metric.
- a. Velocity – Project increases the speed of freight traffic moving through the distribution system. This is also a performance metric.
- b. Reliability - Project reduces the variability and unpredictability of travel time. This is also a performance metric.

2. Transportation System Factors

- c. Safety - Project increases the safety of the public, industry workers, and traffic. This is also a performance metric.
- d. Congestion Reduction/Mitigation - Project reduces daily hours of delay on the system and improves access to freight facilities. This is also a performance metric.
- a. Key Transportation Bottleneck Relief - Project relieves key freight system bottlenecks where forecasts of freight traffic growth rates indicate infrastructure or system needs are inadequate to meet demand.
- b. Multi-Modal Strategy - Project employs or supports multi-modal strategies to increase port and transportation system throughput while reducing truck vehicle miles/hour traveled (VMT/VHT) or truck idling times.
- c. Interregional Benefits - Project links regions/corridors to serve statewide or national trade corridor needs.
- d. Advanced Technology – Project employs advanced and innovative technology and integrates transformative ideas to increase benefits for the state’s people, economy, and environment.
- e. Zero-Emission Infrastructure - Project supports zero-emission freight infrastructure compatible with equipment that it is intended for. Information about what information is required is included at the bottom of section 18 “Evaluation Criteria” in the guidelines.

3. Community Impact Factors

- e. Air Quality Impact - Project reduces local and regional emissions of diesel particulate (PM 10 and PM 2.5), carbon monoxide, nitrogen oxides, greenhouse gases, and other pollutants. This is also a performance metric.
- a. Economic Impact – Project stimulates local economic activity, enhances trade value, preserves or creates jobs, enhances California’s freight competitiveness, improves the economy, and when looking at the overall need, benefits and cost, the project

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provides more benefits than costs. This makes up two performance metrics, jobs created and the benefit cost ratio.

- b. Equity – Demonstrated meaningful engagement with and consideration of the needs of communities, particularly historically underserved and marginalized communities. Information about what information is required is included at the bottom of section 18 “Evaluation Criteria” in the guidelines.

4. Other Criteria

- a. How well the project addresses the state’s most urgent freight needs.
- b. Leveraging Funds – The leveraging and coordination of funding from other private, federal, state, local or regional sources, with consideration of those sources that are discretionary compared to those that are nondiscretionary.
- c. Project Readiness – Project readiness and reasonableness of the schedule for project implementation, including the following:
 - Progress towards achieving environmental protection requirements. If CEQA/NEPA information has already been provided in the “CEQA/NEPA” section above, simply reference that section.
 - The comprehensiveness and sufficiency of agreements with key partners that will be involved in implementing the project. For rail information, if it has already been provided in the “Rail Company Coordination” section above, simply reference that section.
- d. The commitment of multiple partners in the delivery of the project, as evidenced by joint nomination and/or joint funding of a project.
- e. Any other factors considered relevant at the time of application.

G. Other Project Information Areas

Please provide information about the following areas below. Instructions about what specifically is being requested can be found in section 19 “Other Information Areas” in the guidelines.

1. **Accessibility** – Project improves access to jobs or key destinations, improves access for specific populations, or improves transportation options.
2. **Climate Change Resilience and Adaptation** – Project identifies and includes project features or strategies to mitigate the impacts of climate change.
3. **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.,

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forests, rangelands, farms, urban green spaces, wetlands, and soils) or incorporate natural and green infrastructure?

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

H. Funding and Deliverability

1. **Funding Table:** Fill out the table below for all phases of the project. This should align with the PPR submitted with the application.
 - **Cost estimates:** 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:** Make sure it is clear the project funding includes the required 30% funding match for each programmed component as outlined in section 6 of the guidelines. Please note that when calculating the required match, Commission staff cannot count funds programmed in years prior to the first year in which TCEP funds are requested. Also, the match is calculated separately for each phase where TCEP funds are requested.

Include a few sentences explaining why local funds can be reasonably assumed to be available and why state funds will not result in stranded investments.

Phase	Fiscal Year of Allocation	Amount	Funding Source	Committed or Uncommitted

2. **Total Project Cost:** Include the total project cost. You can include the total costs at the end of the table or in a separate sentence or bullet. Make sure it matches the PPR.
3. **Committed/Uncommitted Funds:** If any funds are not committed, review the requirements outlined in Section 22 of the guidelines. Explain the risk of not securing the commitment, and the plan for securing an alternate source of funding if necessary.
4. **Cost Overruns:** Describe the ability to absorb any cost overruns and deliver the proposed project with no additional funding from this program, except as noted in Section 22 of these guidelines.
5. **Contracts:** If more than one contract is needed for the same phase, and as a result two separate allocations will be needed for the same phase, note that in this section.
6. **Preconstruction Requests:** If proposing to fund only preconstruction project components, explain how future construction will be funded.

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7. **Federal Grants:** Identify any discretionary federal funds (a.k.a. grants) that have been committed as of the application due date. Proof of the commitment should be provided in the form of a letter or public announcement issued by the authorizing federal agency.
8. **Ineligible Elements:** Identify any ineligible elements of a project and confirm that those ineligible elements will not be funded with Trade Corridor Enhancement Program funds.

I. Other

1. **Public/Private Benefits:** If the project includes significant benefits to private infrastructure or a private company, then please include the following analysis.
 - a. Include a list of public benefits and a list of private benefits of the project. If there is overlap in some benefits that's ok but please be as specific as possible.
 - b. Based on the total project cost, provide an estimate of what percent of the funds will directly benefit private infrastructure or a private company, and what percent will directly benefit the public.
 - c. Explain who will own the asset once the project is completed.
 - d. In light of the private benefits, explain why the public benefits of the project warrant the investment of public funds and why the share of public benefit is commensurate with the share of public funding.
2. **Interagency Cooperation:** For projects in the state highway system, evidence must be provided of cooperation between the nominating agency and Caltrans. This statement only needs to be a few sentences that explain your cooperation.
3. **Bulk Coal:** Confirmation that any new terminal project will not have significant environmental impacts, as described in related environmental documents as a result of the storage, handling, or transport of coal in bulk pursuant to Government Code Section 14525.3. In evaluating each new terminal, if related environmental documents are not yet complete, the Commission shall base their review on written confirmation from the project applicant. This can be a single sentence statement.
4. **Reversible Lanes:** 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. This does not need to be longer than a few sentences.

Attachment 2. Performance Metrics Form

Trade Corridor Enhancement Program

Existing Average Annual Vehicle Volume on Project Segment						
Existing Average Annual Truck Percent on Project Segment						
Estimated Year 20 Average Annual Vehicle Volume on Project Segment with Project						
Estimated Year 20 Average Annual Truck Percent on Project Segment with Project						
Measure	Metric	Project Type	Build	Future No Build	Change	Increase/Decrease
Congestion Reduction (Freight)	Change in Daily Vehicle Hours of Delay	All				
	Change in Daily Truck Hours of Delay	All (except rail)				
	(Optional) Person Hours of Travel Time Saved	All				
	(Optional) Daily Truck Trips Due to Mode Shift	Rail, Sea Port				
	(Optional) Daily Truck Miles Travelled Due to Mode Shift	Rail, Sea Port				
	(Optional) Other Information	All				
Throughput (Freight)	Change in Truck Volume	Highway, road, and port projects only				

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	Change in Rail Volume	Rail				
	(Optional) Change in Cargo Volume	Sea port, airport				
	(Optional) Other Information	All				
System Reliability (Freight)	Truck Travel Time Reliability Index ("No Build" Only) (Optional Metric)	National and State Highway System Only				
	(Optional) Other Information	All				
Velocity (Freight)	Travel time or total cargo transport time	All				
	(Optional) Change in Average Peak Period Weekday Speed for Road Facility	Road				
	(Optional) Average Peak Period Weekday Speed for Rail Facility	Rail				
	(Optional) Other Information	All				
Air Quality	Particulate Matter (PM 10)	All				
	Particulate Matter (PM 2.5)					
	Carbon Dioxide (CO2)					
	Volatile Organic Compounds (VOC)					

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	Sulphur Dioxides (SO _x)					
	Carbon Monoxide (CO)					
	Nitrogen Oxides (NO _x)					
Safety	Number of Fatalities	Road and Land Port				
	Rate of Fatalities per 100 Million VMT					
	Number of Serious Injuries					
	Number of Serious Injuries per 100 Million VMT					
	(Optional) Number of Non-Motorized Fatalities and Non-Motorized Serious Injuries					
	(Optional) Other Information	All				
Cost Effectiveness	Cost Benefit Ratio	All				
	(Optional) Other Information	All				
Economic Development	Jobs Created	All				
	(Optional) Other Information	All				

Attachment 3. Project Programming Request

Each application must include a Project Programming Request form. The Project Programming Request must list federal, state, local, and private funding categories by project component and fiscal year. If the proposed project includes multiple project modes to be delivered under separate contracts, each project mode must have its own Project Programming Request. The scope, benefits, schedule and funding plan of the Project Programming Request must be consistent with the information in the application. The template of the Project Programming Request form may be found at: <https://dot.ca.gov/programs/transportation-programming/office-of-capital-improvement-programming-ocip>

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Attachment 4. State Highway System Project Impact Assessment Instructions and Form (CTC-0002)

This form is only required for local projects that are not Caltrans nominated. 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 nomination
3. Title
4. Phone
5. Email
6. Project Title - The title must be consistent with the nomination 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 document 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 1 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.**

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STATE OF CALIFORNIA - CALIFORNIA TRANSPORTATION COMMISSION

Page 1 of 1

STATE HIGHWAY SYSTEM PROJECT IMPACT ASSESSMENT

CTC-0002 (NEW 02/2022)

Attachment 4

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 is screened as unlikely to induce traffic under Section 5.1.1 in [Transportation Analysis under CEQA](#). If checked, Stop. Proceed to Section 13.
- ☐ 2. Project is in a [Metropolitan Statistical Area](#). If checked, proceed to step 3. If not, proceed to step 6.
- ☐ 3. 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.
- ☐ 4. Enter the project lane-miles in the [NCST Induced Travel Calculator](#) and report the result here.
- ☐ 5. 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.
- ☐ 6. 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 \(TR-0415\)](#) 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 PROJECT

SIGNATURE:

DATE:

PRINT NAME:

District Director, District

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

***APPLICANTS SUBMIT TO
DISTRICT CONTACT LIST FOUND HERE***
<https://dot.ca.gov/programs/sb1>
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 and (2) draft funding application(s).

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Attachment 5. SB Competitive Programs Transportation Equity Supplement

SB 1 Competitive Programs Transportation Equity Supplement

On January 27, 2021, the Commission adopted its Racial Equity Statement, which 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. The results of racial segregation, legacies of policy decisions rooted in racism, and disinvestment of transportation funding in communities of color are still visible in cities today and are often represented by highways, infrequent and unreliable bus service, or commuter rail infrastructure. The Commission vows to create mobility opportunities for all Californians, especially those from underserved communities, to thrive in all aspects of life. The Commission upholds its 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 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

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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.

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- 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 may 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 's 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 some examples of ways that transportation projects may benefit 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

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Below are strong examples of community engagement strategies that may be completed during the project delivery process.

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.

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Attachment 6. Goals and Guiding Principles

2020 CFMP Goal	Related California Sustainable Freight Action Plan Guiding Principles	Related National Highway Freight Program Goals (23 USC 167)
1. Multimodal Mobility Strategic investments to maintain, enhance, and modernize the multimodal freight transportation system to optimize integrated network efficiency, improve travel time reliability, and to achieve congestion reduction.	Invest strategically to improve travel time reliability and to achieve sustainable congestion reduction on key bottlenecks on primary trade corridors. Support local and regional efforts to improve trade facilities and corridors that achieve regional environmental, public health, transportation, and economic objectives consistent with statewide policy goals.	(b)(1) Invest in infrastructure improvements and to implement operational improvements on the highways of the United States that- (b)(1)(A) strengthen the contribution of the NHFN to the economic competitiveness of the US; (b)(1)(B) reduce congestion and bottlenecks on the NHFN; (b)(1)(C) reduce the cost of freight transportation; (b)(1)(D) improve the year-round reliability of freight transportation; and (b)(1)(E) increase productivity, particularly for domestic industries and businesses that create high-value jobs (b)(6) Improve the flexibility of States to support multi-State corridor planning and the creation of multi-State organizations to increase the ability of States to address highway freight connectivity.

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2020 CFMP Goal	CSFAP	NHFP Goals (23 USC 167)
2. Economic Prosperity Grow the economic competitiveness of California's freight sector through increased system efficiency, productivity, and workforce preparation.	Grow the economic competitiveness of California's freight sector. Grow the number of well-paying employment opportunities in the freight sector.	(b)(5) Improve the efficiency and productivity of the NHFN (b)(1) Invest in infrastructure improvements and to implement operational improvements on the highways of the United States that- (b)(1)(A) strengthen the contribution of the NHFN to the economic competitiveness of the US; (b)(1)(B) reduce congestion and bottlenecks on the NHFN; (b)(1)(C) reduce the cost of freight transportation; (b)(1)(D) improve the year-round reliability of freight transportation; and (b)(1)(E) increase productivity, particularly for domestic industries and businesses that create high-value jobs

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2020 CFMP Goal	CSFAP	NHFP Goals (23 USC 167)
3. Environmental Stewardship Support strategies that may reduce, avoid and/or mitigate adverse environmental impacts from the freight transportation system.	Invest strategically to accelerate the transition to zero and near-zero emission equipment powered by renewable energy sources, including supportive infrastructure. Apply innovative and green technology, along with accompanying infrastructure and applicable practices, to optimize the efficiency of the freight transportation system. Improve system resilience by addressing infrastructure vulnerabilities associated with expected climate change impacts and natural disasters, which may include exploring opportunities to utilize natural systems to improve water quality, reduce ecosystem damage, prevent flooding, and create a cooling effect. Site freight projects to avoid greenfield development by enhancing existing freight infrastructure or targeting in fill development near compatible land uses.	(b)(7) Reduce the environmental impacts of freight movement on the NHFN. (b)(4) Use innovation and advanced technology to improve the safety, efficiency, and reliability of the NHFN

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2020 CFMP Goal	CSFAP	NHP Goals (23 USC 167)
4. Healthy Communities Enhance community health and well-being by mitigating the negative impacts of the goods movement system across California's communities.	Reduce or eliminate health, safety, and quality of life impacts on communities that are disproportionately affected by operations at major freight corridors and facilities. This includes reducing toxic hot spots from freight sources and facilities and ensuring continued net reductions in regional freight pollution.	(b)(2) Improve the safety, security, efficiency and resiliency of freight transportation in rural and urban areas.
2020 CFMP Goal	CSFAP	NHFP Goals (23 USC 167)
5. Safety and Resiliency Reduce freight-related deaths/injuries and improve system resilience by addressing infrastructure vulnerabilities associated with security threats, effects of climate change impacts, and natural disasters.	Reduce freight-related deaths and injuries, and security threats.	(b)(2) Improve the safety, security, efficiency and resiliency of freight transportation in rural and urban areas. (b)(4) Use innovation and advanced technology to improve the safety, efficiency, and reliability of the NHFN
2020 CFMP Goal	CSFAP	NHFP Goals (23 USC 167)
6. Asset Management Maintain and preserve infrastructure assets using cost-beneficial treatment as indicated in the State Highway System Management Plan (SHSMP), per the federal FAST Act, State and Highway Code 164.6, and Caltrans Director's Policy (DP-35), and other applicable	Improve the state-of-good-repair of the multi-modal freight transportation system.	(b)(3) Improve the state of good repair of the NHFN.

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state and federal statutes and regulations.		
2020 CFMP Goal	CSFAP	NHFP Goals (23 USC 167)
7. Connectivity and Accessibility Provide transportation choices and improve system connectivity for all freight modes.	Support local and regional efforts to improve trade facilities and corridors that achieve regional environmental, public health, transportation, and economic objectives consistent with statewide policy goals.	(b)(6) Improve the flexibility of States to support multi-State corridor planning and the creation of multi-State organizations to increase the ability of States to address highway freight connectivity.

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Attachment 7. Fund Estimate